

**VOLUME 2 AIR OPERATOR AND AIR AGENCY CERTIFICATION  
AND APPLICATION PROCESS**

**CHAPTER 4 THE CERTIFICATION PROCESS—TITLE 14 CFR PART 135**

**Section 6 Safety Assurance System: Single-Pilot, Single Pilot-in-Command,  
and Basic Part 135 Operations**

**2-456 GENERAL.** This section provides direction and guidance to inspectors for the certification of Title 14 of the Code of Federal Regulations (14 CFR) part 135 operators of limited size and scope who are not required to comply with all regulatory requirements for manuals, training programs, and management positions. These operators normally need less extensive manuals or training programs and will have fewer management positions than more complex part 135 operators. However, these operations will not be permitted a reduction in safety standards due to their limited size and scope. See Volume 2, Chapter 4, Section 1, Safety Assurance System: Phase 1—Preapplication, paragraph 2-342 for specific part 135 definitions.

**2-457 CERTIFICATION PROCESS.** Processing applications for certificates to conduct single-pilot, single pilot-in-command (PIC), and basic part 135 operations will generally follow the same certification procedures as other applicants. Certification of these applicants may take less time since fewer documents, facilities, and other items require Federal Aviation Administration (FAA) evaluation. Applicable differences in the certification process for single-pilot, single PIC, and basic part 135 operators are discussed in this chapter.

**2-458 SPECIAL AIRWORTHINESS CONSIDERATIONS.** Any single-pilot, single PIC, or basic part 135 certificate holder may elect to maintain aircraft under part 135, § 135.411(a)(2). Maintenance programs under § 135.411(a)(2) require more extensive written procedures than those usually required for small operators by § 135.23. Compliance with § 135.411(a)(2) requires a more complex maintenance program and may require small operators to employ additional qualified management personnel. Therefore, regardless of the minimum standards for personnel and manuals established elsewhere in this section, Part D of the operations specifications (OpSpecs) authorizing aircraft maintenance under § 135.411(a)(2) shall not be issued to these types of operators unless the certificate-holding district office (CHDO) determines that the operator has appropriate personnel and manuals to provide adequate means of compliance with § 135.411(a)(2).

**2-459 CERTIFICATION PROCESS DIFFERENCES FOR SINGLE-PILOT AND SINGLE PIC OPERATORS.** This paragraph describes deletions, modifications, and additions to the certification process for single-pilot and single PIC applicants.

### **A. Differences in the Preapplication Phase.**

1) In the Preapplication Statement of Intent (PASI), the applicant must state that the proposed operation will employ either one pilot or only one PIC. The applicant should enter this statement in item 10 of the PASI. A single PIC applicant must attach to the PASI a brief statement identifying regulations from which deviations will be requested (e.g., § 135.21 and § 135.341). This statement will include the number of seconds in command (SIC) the applicant proposes to use.

2) During the preapplication meeting, the content and scope of the initial compliance statement shall be established by the certification project manager (CPM). The CPM must ensure that an applicant clearly understands the level of detail expected in the initial and final compliance statements. The applicant may abbreviate the initial compliance statement, where appropriate. However, an initial compliance statement that does not clearly document an applicant's knowledge of regulatory requirements is unacceptable. The initial compliance statement (and later, the final compliance statement) provides the only written evidence of a single-pilot or single PIC operator's understanding of 14 CFR requirements. Simple, conventional requirements for a single-pilot operator using a four-seat, single-engine airplane in day, visual flight rules (VFR)-only operations within the United States differ considerably from the requirements for a single-pilot operation using a Cessna 441 turboprop airplane in day and night, all-weather, international operations. In this example, part 135 does not require either operator to have manuals, training programs, or a full complement of management personnel. An examination of regulatory requirements that may apply to each operator's specific situation may reveal differences in the proposed types of operation, which would cause significant differences in the content and scope of the initial and final compliance statements. In the case of operators not required to maintain manuals in accordance with § 135.21, the compliance statement should be maintained and updated as regulations and operator configuration evolve.

3) The applicant's primary operations official and the single-pilot or single PIC (if different from the primary operations official) should attend the preapplication meetings. A person who is competent to discuss aircraft maintenance requirements for the applicant should also attend the meetings.

NOTE: For example, Akers Realty Corporation owns a Bell Jet Ranger helicopter and applies for a part 135 certificate. The individual with the authority to allow use of the helicopter is Mr. Bill Akers, vice president of sales. Mr. Terry Larson is the only pilot and Mr. Akers' sales manager. City Copters Inc., a Fixed-Base Operator (FBO), does the maintenance. In this situation, it would be appropriate for Mr. Akers, Mr. Larson, and a representative from the City Copters maintenance department to attend the preapplication meetings.

## **B. Differences in the Formal Application Phase.**

1) Formal application attachments for company general manuals and company training curriculums are not required to be submitted with the formal application for a single-pilot applicant, nor the single PIC applicant if the single PIC applicant is requesting full deviations from §§ 135.21 and 135.341. For those single PIC applicants that are not requesting a full deviation from §§ 135.21 and 135.341, those sections shall be submitted.

2) For single-pilot and single PIC operators, attachments required to be submitted with the formal application are as follows:

- Schedule of Events (SOE);
- Documents of purchase, contracts, leases, and/or Letter of Intent (LOI);
- Initial compliance statement; and
- Management qualification résumés.

3) The management qualification résumés are only required for the principal owner and company officers who are primarily responsible for operational control of the part 135 activities within the organization. The management résumés will provide assistance when determining compliance with 14 CFR part 119, § 119.69. Examples of management qualification résumés to be submitted for these applicants are described as follows:

a) A plastic products manufacturer based in Wilmington, DE, owns a King Air and applies for a certificate to operate under part 135. The company employs 1,400 people and has only one pilot. The company president has an office in New York City and keeps the plane in Wilmington, DE. The only person who can authorize use of the aircraft is the Wilmington plant manager. In this case, résumés are required for the president and the Wilmington plant manager.

b) Another example is the pilot/owner applicant when the pilot/owner will be the single-pilot or single PIC. In this situation, only the résumé of the pilot/owner is required.

## **C. Differences in the Design Assessment (DA) Phase.** The differences are as follows:

1) Inspectors will evaluate any material submitted by applicants for acceptance or approval regardless of whether it is required. If, for example, a single PIC operator chooses to submit a complete General Operations Manual (GOM) rather than request a deviation, that manual must be evaluated and must meet the same criteria for acceptance as a required manual. The same would apply to training programs required under § 135.341, except that program requires approval rather than acceptance. Unacceptable submissions that are not corrected require denial of the application. It is irrelevant whether 14 CFR specifically requires the submitted material. The following items are not required by regulation for single-pilot operators and will not be evaluated unless the applicant chooses to develop and submit these items to the FAA:

- GOMs;
- General Maintenance Manuals (GMM), if appropriate; and
- Pilot training program curriculums.

2) Other documents and items required to be submitted during the document DA phase will be evaluated, including the following:

- The operator's flight-locating procedures (required by § 135.79); and
- Procedures to provide hazardous material (hazmat) training (required by part 135 subpart K).

#### **D. Differences in the Performance Assessment (PA) Phase.**

1) For single PIC operators, each SIC identified on the proposed certificate holder's OpSpecs must pass the entire check required by § 135.293 while occupying the normal SIC duty station (usually the right pilot seat in airplanes).

2) There are no differences in the PA phase for single-pilot operators. For example, a proposed operation may have only one person (this person may be the owner, pilot, and mechanic) who uses a single-engine airplane in day VFR operations. Evaluators will use the same careful process for the aircraft, facilities, equipment, records, and pilot/owner competency as the one used for a larger, more complex operator. Although the scope of the operation may require fewer demonstrations or inspections, every operator must meet the safety standards required by 14 CFR. Proving tests may be required by Volume 3, Chapter 29, Proving and Validation Tests.

#### **E. Differences in the Administrative Function Phase.**

1) Single-pilot or single PIC operators will be issued the appropriate standard OpSpec paragraph which identifies by name one individual authorized as the pilot or PIC. For single PIC operators, no more than three individuals shall be authorized as SICs.

2) A single PIC operator may be issued an OpSpec paragraph authorizing deviations from §§ 119.69(a), 135.21(a), and 135.341(a).

**2-460 CONCEPT OF A BASIC PART 135 OPERATOR.** Basic part 135 operators are limited in size and scope. This paragraph establishes conditions that an operator must meet to qualify as a basic part 135 operator and specifies the extent of authorized deviations from the manual, management personnel, and training program requirements of part 135. Basic part 135 operators are required to have management personnel, manuals, and training curriculums adapted to their smaller, less complex operations. Subparagraphs 2-465A through E discuss these requirements in detail. For classification as a basic part 135 operator, the operator must meet each of the following conditions and limitations:

- No more than five pilots, including SICs, are used in the operation;
- No more than five aircraft are used in the operation;
- No more than three different types of aircraft are used in the operation;

- No aircraft type certificated for more than nine passenger seats is used in the operation;
- No Category II (CAT II) or Category III (CAT III) operations are conducted; and
- No operations are conducted outside the United States, Canada, Mexico, and the Caribbean (which includes the Bahamas).

## **2-461 CHECK PILOT APPROVAL FOR SINGLE-PILOT, SINGLE PIC, AND BASIC PART 135 OPERATORS.**

**A. Approval Despite Deviations.** Recent experience indicates single PIC and basic part 135 operators who hold deviations granted by OpSpec paragraphs A037–A039 have demonstrated the management skills, organizational abilities, and good regulatory compliance record to warrant the appointment of check pilots.

**B. Check Pilot Appointments.** Check pilot appointments should be limited to only those operators who have demonstrated to the satisfaction of the assigned principal operations inspector (POI) all of the above important characteristics.

1) “Single-pilot” operators may be granted approval to use a check pilot who is presently employed by another certificate holder. The check pilot must be authorized to serve as a check pilot in the same make, model, and series (M/M/S) of aircraft. These operators are limited to one check pilot approval at any one time.

2) “Single PIC” operators may be granted approval to use a check pilot presently employed by another certificate holder if the other certificate holder operates the same M/M/S of aircraft and the check pilot is currently approved as a check pilot on that type of aircraft. The check pilot must also meet all the requirements of part 135 to serve as a check pilot. At the discretion of the POI, these check pilots may be authorized to give to both the single PIC and/or any of the SICs listed in paragraph A039 of the OpSpecs the proficiency or competency checks required by part 135. These operators are limited to one check pilot approval at a time.

3) “Basic 14 CFR Part 135 On-Demand Operations Only” and “Basic 14 CFR Part 135 Commuter and On-Demand” certificate holders may be granted approval to use check pilots after receiving approval for a check pilot curriculum in their approved training programs.

NOTE: When approving check pilots for multiple operators, inspectors should see Volume 3, Chapter 20, Section 6, paragraph 3-20-6-23 for additional guidance.

4) For a basic part 135 operator-issued OpSpec paragraph A037, Basic 14 CFR Part 135 Operator—Commuter and On Demand Operations, or A038, Basic Title 14 CFR Part 135 Operator—On Demand Operations Only, the following selections are required:

a) If no check pilot other than an Operating Experience (OE) check pilot is used for commuter operations, select OpSpec A037c(7).

b) For on-demand operations only, if no check pilot is used, select OpSpec A038b(7).

c) Select the appropriate paragraph A037b(2)(a) or A038a(3)(a).

## **2-462 PROCEDURE FOR APPROVING DEVIATION FROM MANAGEMENT EXPERIENCE.**

**A. Initial Actions.** When an operator requests approval for a deviation from the management experience requirements of § 119.71, the operator must specify the deviations requested and the justifications for them. The POI will review the certificate holder's request and follow the guidance found in Volume 2, Chapter 2, Section 3.

**B. POI Responsibilities.** When a deviation is approved under § 119.71(f), the POI will ensure that the operator notes the deviation in the appropriate section of the certificate holder's company manual. In addition, the CHDO will ensure that a record of the deviation is in OpSpec paragraph A005.

NOTE: During the annual review of the OpSpecs, the POI must determine currency and applicability of the deviations listed in OpSpec A005.

**2-463 DEVIATIONS FOR BASIC PART 135 OPERATORS.** When an applicant meets the requirements for a basic part 135 operator, certain deviations from part 135 may be authorized. These deviations are as follows:

- Reduction in the content of the operator's manual (refer to § 135.21(a));
- Different management positions or different numbers of management positions (refer to § 119.69(a)); and
- Limited modification of training program requirements (refer to § 135.341(a)).

**2-464 DELEGATION OF AUTHORITY TO APPROVE DEVIATIONS.** The manager of the CHDO assigned certification responsibilities is authorized to approve deviations from §§ 135.21(a) and 135.341(a) for a single PIC or basic part 135 operator applicant who proposes to conduct on-demand passenger, cargo-carrying operations, or scheduled cargo-carrying operations. The CHDO manager will process § 119.71 management deviation requests in accordance with Volume 2, Chapter 2, Section 3. If the CHDO manager grants a deviation to an operator for basic part 135, and subsequently that operator proposes to operate scheduled passenger carrying operations, the CHDO manager must forward this request to the Air Transportation Division (AFS-200) and the Aircraft Maintenance Division (AFS-300) for approval, as appropriate. Deviations from §§ 135.21(a) and 135.341(a) for a basic part 135 operator applicant who proposes to conduct scheduled passenger (commuter) operations must be forwarded to AFS-200 for approval.

**2-465 LIMITATION OF AUTHORITY TO APPROVE DEVIATIONS.**

**A. Single PIC or Basic Part 135 Operator.** The authority to approve deviations from §§ 135.21(a) and 135.341(a) for part 135 operators and applicants, other than scheduled passenger, is delegated to the CHDO manager.

**B. Management Personnel.** An approved deviation from the number of management positions required by § 119.69(a) will not be granted to any operator authorized to conduct scheduled passenger (commuter) operations. For additional information regarding part 119 management positions, see Volume 2, Chapter 2, Section 3.

**C. Manual Content.** All basic part 135 operators shall have a manual that includes at least the information required by the following sections of part 135. Deviation from the manual content requirements of these sections of part 135 is not authorized.

- Section 135.23(a)—Management personnel;
- Section 135.23(b)—Weight and Balance (W&B);
- Section 135.23(c)—Information from OpSpecs;
- Section 135.23(e)—Airworthiness information;
- Section 135.23(f)—Recording mechanical irregularities;
- Section 135.23(g)—Recording corrective action for mechanical irregularities;
- Section 135.23(h)—Obtaining service and maintenance;
- Section 135.23(i)—Use of minimum equipment lists (MEL), if applicable;
- Section 135.23(j)—Fuel handling;
- Section 135.23(k)—Passenger briefing;
- Section 135.23(l)—Flight locating; and
- Section 135.23(o)—Approved inspection program.

**D. Training Program Requirements.** Deviation from training program requirements of § 135.341(a) for basic part 135 operators is limited.

**E. Approved Deviations.** The only deviation that may be approved is authorization for a basic part 135 operator to have portions of its training conducted by another part 135 operator or a training organization that specializes in providing ground, simulator, and aircraft training.

1) The training organization must provide training equivalent to that required by part 135 subpart H. In all cases, the basic part 135 operator must train its personnel using only programs acceptable to the FAA and specifically authorized by the terms of the deviation. If a basic part 135 operator wishes to change any item in a training program that may affect the quality of training, the POI and the authorized manager must completely reexamine the authorization for deviation to avoid degrading operational standards.

2) The basic part 135 operator must provide to the FAA a written plan detailing how training will be implemented. The plan must accompany the request for deviation. A copy of the other part 135 operator's (or training organization's) curriculums must be attached to the plan. Before deviation is granted, the plan (and attached training curriculums) must be evaluated and accepted by the CPM or assigned POI, and the manager authorized to approve the deviation. Although these curriculums are not required to be "approved" in the same manner specified in Volume 3, Chapter 19, Training Programs and Airman Qualifications, they must specify training that equals the quality required for "approved" curriculums.

3) The written plan must include procedures for maintaining individual crewmember training records. The basic part 135 operator must maintain the records required by § 135.63. The plan must include provisions for certification of individual training records by the organization that conducts the training.

4) A basic part 135 operator must always prepare and keep current curriculum segments for basic indoctrination training (refer to § 135.329(a)(1)), Crew Resource Management (CRM) training (refer to § 135.330), and crewmember emergency training (refer to § 135.331). These curriculum segments will be evaluated and approved in accordance with Volume 3, Chapter 19.

**2-466 CERTIFICATION PROCESS DIFFERENCES FOR BASIC PART 135 OPERATORS.** This paragraph describes deletions, modifications, and additions to the certification process described in Volume 2, Chapter 4, Sections 1 through 5.

**A. Preapplication Phase.** The differences are as follows:

1) The applicant must attach to the PASI a brief statement identifying the regulations from which they are requesting a deviation. The statement will present justifications for the proposed deviations and include descriptions of the size and scope of the proposed operation.

2) During the preapplication meeting, the CPM will ensure that the applicant's representatives thoroughly understand that the requested deviations will not be allowed unless the justifications presented with the application merit granting the request. The operator should consider developing alternative plans for certification if any request for deviation is denied.

**B. Formal Application Phase.** The differences are as follows:

1) If a basic part 135 operator is requesting any deviations, those deviations must be identified in a letter and attached to the application. This letter must identify each regulation for each deviation the applicant is requesting. The letter must also identify all documents the applicant is submitting in support of the request for deviation.

2) When a formal application is accepted from a basic part 135 operator, which requires approval of a deviation by the CHDO, a copy of the application (and the pertinent attachments) shall be forwarded to the regional Flight Standards division (RFS). The copy shall be accompanied by the recommendations of the CPM along with the approval/denial by the district office manager and any background information that supports the decision.

3) If permission to deviate is denied, the CPM shall notify the applicant. It may be necessary to reject the entire formal application. However, if the applicant has previously prepared an acceptable, alternative plan to proceed with certification (even though the request for deviation may be denied), and this plan was made part of the original formal application, denial of a request for deviation may not require rejection of the whole formal application.

4) When a formal application submitted by a basic part 135 operator includes a request for deviation from the training requirements of § 135.341(a) involving a third party (e.g., a training organization or another part 135 operator), a copy of the application and pertinent attachments shall be forwarded to the RFSD within 5 business days. The copy will be accompanied by recommendations from the CPM and district office manager concerning the request for deviation. The RFSD manager shall review and, after coordination with the regional or district office responsible for the training organization or other part 135 operator, determine what action will be taken on the request. When a training organization is involved (other than a part 135 operator), the RFSD shall obtain concurrence from AFS-200 before authorizing the deviation. The RFSD shall notify the CPM and district office manager of the acceptability of the request for deviation.

5) Until the applicant has satisfactorily completed the certification process, any grant of deviation must be temporary. The deviations will be made effective as of the date the certificate is issued.

6) Each deviation must include a provision for automatic invalidation of the deviation when the operator no longer meets the criteria for classification as a basic part 135 operator.

**C. DA Phase.** There are no differences.

**D. PA Phase.** There are no differences.

**E. Administrative Function Phase.** There is one difference in the certification phase. Each basic part 135 operator shall be issued an appropriate standard OpSpec paragraph authorizing limited deviation from §§ 119.69(a), 135.21(a), and 135.341(a).

NOTE: Inspectors should utilize Figure 2-12, Part 135 Certification Job Aid and Schedule of Events for Single-Pilot, Single PIC, and Basic Applicants, to complete the single-pilot, single PIC, and basic part 135 operator certification process.

**Figure 2-12. Part 135 Certification Job Aid and Schedule of Events for Single-Pilot, Single PIC, and Basic Applicants**

<b>PTRS Code/ Input</b>	<b>I. PREAPPLICATION PHASE</b>	<b>Date(s) Received</b>	<b>Date(s) Returned for Changes</b>	<b>Date Accepted</b>	<b>Insp. Initials</b>
	A. REVIEW PREAPPLICATION STATEMENT OF INTENT (PASI) B. TITLE 14 OF THE CODE OF FEDERAL REGULATIONS (14 CFR) PART 119 RÉSUMÉS C. SCHEDULE OF EVENTS (SOE)				
	<b>II. FORMAL APPLICATION PHASE</b>				
	NOTE: Enter information provided by the applicant and update prepopulated fields as appropriate within the Certificate Holder Operating Profile (CHOP).				
	A. REVIEW APPLICANT'S SUBMISSIONS 1. FORMAL APPLICATION LETTER				
	a. Full and Official Name (Legal)				
	b. Mailing Address				
	c. Primary Operating Location (Principal Operations Base)				
	d. Name and Address of Applicant's Agent for Service				
	e. Key Management Personnel Names				
	2. FORMAL APPLICATION ATTACHMENTS				
	a. SOE				
	b. Initial Compliance Statement				
	c. Proposed Operations Specifications (OpSpecs)				
	d. Company General Manuals (Operations and Maintenance)				

**Figure 2-12. Part 135 Certification Job Aid and Schedule of Events for Single-Pilot, Single PIC, and Basic Applicants (Continued)**

	<p>e. New-Hire Training Curricula, to include:</p> <ul style="list-style-type: none"> <li>• Basic Indoctrination</li> <li>• Crewmember Emergency Training</li> <li>• Pilot—Ground &amp; Flight Training to Include: Initial, Upgrade, Transition, Differences &amp; Recurrent, as applicable</li> <li>• Flight Attendant (F/A) Ground Training to Include: Initial, Transition &amp; Recurrent, as applicable*</li> <li>• Hazardous Materials (Hazmat) Training</li> <li>• Initial/Transition Check Airmen Training</li> <li>• Initial/Transition Flight Instructor Training</li> <li>• Security Training</li> </ul>				
	<p>f. Management Qualification Résumés</p>				
	<p>g. Documents of Purchase/Contract/Lease/Letters of Intent (LOI)</p>				
	<p>h. Applicant completed Element Performance Data Collection Tools (EP DCT)</p>				
	<p>B. EVALUATE FEDERAL AVIATION ADMINISTRATION (FAA) RESOURCE CAPABILITY BASED ON SOE</p>				
<p>REMARKS:</p>					

**Figure 2-12. Part 135 Certification Job Aid and Schedule of Events for Single-Pilot, Single PIC, and Basic Applicants (Continued)**

	C. FORMAL APPLICATION MEETING 1. SCHEDULE MEETING Date:                      Time: 2. DISCUSS EACH SUBMISSION 3. RESOLVE DISCREPANCIES/OPEN ITEMS 4. REVIEW CERTIFICATION PROCESS 5. REVIEW IMPACT IF SOE NOT MET				
	D. ISSUE LETTER ACCEPTING/REJECTING APPLICATION				
REMARKS:					
	<b>III. DESIGN ASSESSMENT (DA) PHASE</b>				
	A. EVALUATE APPLICABLE TRAINING PROGRAMS 1. TRAINING CURRICULA				
	a. Basic Indoctrination				
	b. Crewmember Emergency Training				
	c. Pilot Initial Ground & Flight Training				
	d. Pilot Recurrent Training				
	e. Pilot Transition/Upgrade/Differences Training				
	f. F/A Initial Ground Training (as applicable)*				
	g. F/A Transition/Recurrent Training (as applicable)*				
	h. Security Training				
	i. Hazmat				
	j. Check Airman/Flight Instructor				

**Figure 2-12. Part 135 Certification Job Aid and Schedule of Events for Single-Pilot, Single PIC, and Basic Applicants (Continued)**

	k. Maintenance Personnel				
	<b>B. EVALUATE MANAGEMENT QUALIFICATIONS</b>				
	1. DIRECTOR OF OPERATIONS (DO) (Principal Owner/Principal Ops Official*)				
	2. CHIEF PILOT*				
	3. DIRECTOR OF MAINTENANCE (DOM)*				
	4. REQUEST FOR DEVIATION LETTER(S) (part 119, § 119.71(f))				
	<b>C. EVALUATE APPLICABLE MANUALS</b> NOTE: See 14 CFR part 135, § 135.23 for a detailed list of requirements.				
	1. GENERAL OPERATIONS MANUAL (GOM)				
	a. Management Persons Required Under § 119.69(a)				
	b. Applicable OpSpec Sections				
	c. Emergency Plan/Accident Notification				
	d. Pilot in Command (PIC) Knowledge of: Required Airworthiness Inspections, Reporting and Recording of Mechanical Irregularities, Minimum Equipment List (MEL)/Logbook Knowledge and Out Station Maintenance/Serviceing				
	e. Procedures for the Release for, or Continuation of, Flight with Inoperable or Unserviceable Equipment				
	2. GENERAL MAINTENANCE MANUAL (GMM)				
	3. FAA-APPROVED AIRPLANE FLIGHT MANUAL (AFM)				

**Figure 2-12. Part 135 Certification Job Aid and Schedule of Events for Single-Pilot, Single PIC, and Basic Applicants (Continued)**

4. AIRCRAFT CHECKLISTS				
a. Normal				
b. Abnormal				
c. Emergency				
5. F/A MANUAL (AS APPLICABLE)				
6. DESTINATION AIRPORT ANALYSIS (AS APPLICABLE)*				
7. MEL				
8. CONFIGURATION DEVIATION LIST (CDL) (AS APPLICABLE)				
9. MAINTENANCE TECHNICAL MANUALS (AS APPLICABLE):				
a. Airframe/Powerplant				
b. Structural Repair				
c. Parts Catalogue				
d. Inspection Procedures				
e. Manufacturer's or Vendor's Manual				
f. Wiring Manual				
g. Overhaul Manual				
10. FUELING/REFUELING PROCEDURES				
11. FLIGHT LOCATING (AS APPLICABLE)				
12. WEIGHT AND BALANCE (W&B) LIMITATIONS				
13. HAZMAT RECOGNITION AND/OR ACCEPTANCE				
14. SECURITY PROGRAM				
15. CONTINUOUS AIRWORTHINESS MAINTENANCE PROGRAM (CAMP) (IF APPLICABLE)				
REMARKS:				

**Figure 2-12. Part 135 Certification Job Aid and Schedule of Events for Single-Pilot, Single PIC, and Basic Applicants (Continued)**

	D. OTHER EVALUATIONS (AS APPLICABLE)*				
	1. AIRCRAFT LEASE				
	2. MAINTENANCE CONTRACTS/AGREEMENTS				
	3. SERVICING CONTRACTS/AGREEMENTS				
	4. EXEMPTION/DEVIATION REQUESTS/JUSTIFICATION				
	5. AIRCRAFT PROVING OR VALIDATION TEST PLAN (IF APPLICABLE)				
	6. ENVIRONMENTAL ASSESSMENT				
	7. FINAL COMPLIANCE STATEMENT				
	8. INITIATE OPSPECS PREPARATION DATA SHEET				
	9. TRAINING CONTRACTS				
	10. DEICING/ANTI-ICING				
	11. EXIT ROW SEATING (20-30 SEAT ON-DEMAND OR COMMUTER 10 OR MORE SEATS)*				
	12. ANTIDRUG AND ALCOHOL MISUSE PREVENTION PROGRAM				
	13. COMPLETE ASSIGNED ED DCT				
REMARKS:					

**Figure 2-12. Part 135 Certification Job Aid and Schedule of Events for Single-Pilot, Single PIC, and Basic Applicants (Continued)**

	<b>IV. PERFORMANCE ASSESSMENT (PA) PHASE</b>				
	A. EVALUATE APPLICANT CONDUCTING TRAINING				
	1. TRAINING FACILITIES				
	2. TRAINING SCHEDULES				
	3. FLIGHTCREW MEMBER TRAINING*				
	a. Basic Indoctrination				
	b. Emergency Training				
	c. Ground Training				
	d. Flight Training				
	4. CHECK AIRMAN/FLIGHT INSTRUCTOR				
	5. F/A TRAINING*				
	a. Basic Indoctrination				
	b. Emergency Training				
	c. Ground Training				
	6. HAZMAT				
	7. SECURITY TRAINING				
	8. MAINTENANCE TRAINING				
	a. Mechanics/Repairmen				
	b. Inspection Personnel				
	c. Ground Handling/Serviceing				
	d. Station Personnel				
REMARKS:					

**Figure 2-12. Part 135 Certification Job Aid and Schedule of Events for Single-Pilot, Single PIC, and Basic Applicants (Continued)**

	B. CREWMEMBER TESTING AND/OR CERTIFICATION				
	1. PILOTS				
	2. F/As*				
REMARKS:					
	C. AIRCRAFT CONFORMITY INSPECTION				
	D. MAIN OPERATIONS BASE				
	E. MAIN MAINTENANCE BASE				
	F. RECORDKEEPING:				
	1. CREWMEMBER:				
	a. Training				
	b. Flight & Rest Times				
	c. Qualifications				
	G. MAINTENANCE:				
	1. AIRCRAFT RECORDS				
	2. PERSONNEL TRAINING				
	3. PERSONNEL DUTY TIME LIMITATIONS				
	H. FLIGHT/TRIP RECORDS				
	I. EMERGENCY AND EMERGENCY EVACUATION DUTIES AND PROCEDURES				
	J. AIRCRAFT PROVING TEST(S) (AS APPLICABLE)				
	K. VALIDATION TEST(S) (AS APPLICABLE)				
	L. PROOF OF DEPARTMENT OF TRANSPORTATION (DOT) ECONOMIC AUTHORITY (AIR CARRIERS ONLY)				
REMARKS:					

**Figure 2-12. Part 135 Certification Job Aid and Schedule of Events for Single-Pilot, Single PIC, and Basic Applicants (Continued)**

	<b>V. ADMINISTRATIVE FUNCTION PHASE</b>				
	A. APPROVE OPSPECS				
	B. PRESENT CERTIFICATE & OPSPECS TO CERTIFICATE HOLDER				
REMARKS:					
	C. PREPARE CERTIFICATION REPORT				
	1. ASSEMBLE REPORT				
	a. PASI				
	b. Certification Job Aid				
	c. Formal Application Letter				
	d. SOE				
	e. Final Compliance Statement				
	f. Proving/Validation Test Evaluation Report				
	g. Copy of OpSpecs				
	h. Copy of Certificate				
	i. Summary of Difficulties				
	j. Suggestions to Improve Certification Process				
	2. DISTRIBUTE REPORT				
REMARKS:					

**Figure 2-12. Part 135 Certification Job Aid and Schedule of Events for Single-Pilot, Single PIC, and Basic Applicants (Continued)**

	D. DEVELOP POSTCERTIFICATION SURVEILLANCE PROGRAM 1. WITHIN GEOGRAPHICAL AREA				
	2. OUTSIDE GEOGRAPHICAL AREA				
REMARKS:					
*—Denotes processes/steps that may not be required of single-pilot, single PIC, or basic part 135 operators					

**RESERVED.** Paragraphs 2-467 through 2-480.

## VOLUME 2 AIR OPERATOR AND AIR AGENCY CERTIFICATION AND APPLICATION PROCESS

### CHAPTER 11 CERTIFICATION OF A PART 145 REPAIR STATION

#### Section 10 Safety Assurance System: Certifying/Renewing/Amending a Part 145 Repair Station Located Outside the Territories of the United States and Not Under a BASA/MIP

**2-1327 REPORTING SYSTEM(S).** Use Safety Assurance System (SAS) automation and the associated Data Collection Tools (DCT) for initial certification, renewal and updating Vitals configuration.

#### **2-1328 GENERAL.**

**A. Direction and Guidance.** This section is to be used in conjunction with Volume 2, Chapter 11, Sections 1 through 6 and 13, for the certification/renewal and amendment of Title 14 of the Code of Federal Regulations (14 CFR) part 145 repair stations.

**B. Professional Conduct.** Each aviation safety inspector (ASI) assigned to an International Field Office (IFO) must be conscious of sensitive issues associated with working in the international environment. Inspectors must conduct themselves with the highest degree of professionalism while assigned outside the United States (U.S.). An inspector must be courteous and respectful when dealing with foreign nationals and the various officials of the foreign aviation authorities (AA). Inspectors should understand that, while working for the Federal Aviation Administration (FAA), their every action represents the U.S. Government. The FAA expects IFO employees to be fully aware that they are guests in a foreign country and they should recognize national culture within their working environment. The FAA expects IFO inspectors to observe the above guidance during all phases of the certification/renewal/amendment process.

**2-1329 OBJECTIVE.** This section contains additional requirements for certification/renewal/amendment, national certification, line station authorization surveillance, and geographic authorizations of a part 145 repair station located outside the U.S. in a country without a Bilateral Aviation Safety Agreement (BASA) with Maintenance Implementation Procedures (MIP) with the U.S. (Peer Group G).

#### **2-1330 PREREQUISITES AND COORDINATION REQUIREMENTS.**

##### **A. Prerequisites:**

- Knowledge of the regulatory requirements of part 145 and completion of FAA Course 21058, Certification and Surveillance of Part 145 Repair Stations.
- Successful completion of the Airworthiness Inspector Indoctrination course(s) or equivalent.
- Previous experience with certification or surveillance of part 145 repair stations.

**B. Coordination.** This task requires coordination between Maintenance and Avionics ASIs. Additionally, multiregional and IFO coordination may be required.

**2-1331 REFERENCES, FORMS, AND JOB AIDS.****A. References (current editions):**

- Title 14 CFR Parts 43 and 145.
- Advisory Circular (AC) 187-1, Flight Standards Service Schedule of Charges Outside the United States.
- FAA Order 8130.2, Airworthiness Certification of Products and Articles.
- FAA Order 8130.21, Procedures for Completion and Use of the Authorized Release Certificate, FAA Form 8130-3, Airworthiness Approval Tag.
- Volume 2, Chapter 11, Sections 1 thru 6, and 13.
- Volume 10, Safety Assurance System Policy and Procedures.
- Volume 12, Chapter 14, Section 1, Policy.
- Volume 14, Chapter 1, Section 2, Flight Standards Service Compliance Action Decision Procedure.
- The applicable Maintenance Agreement Guidance (MAG).

**B. Forms:**

- FAA Form 8000-4, Air Agency Certificate.
- FAA Form 8000-4-1, Repair Station Operations Specifications (Web-Based Operations Safety System (WebOPSS) or Automated Repair Station Operations Specifications (OpSpecs)).
- FAA Form 8130-3, Authorized Release Certificate, Airworthiness Approval Tag.
- FAA Form 8310-3, Application for Repair Station Certificate and/or Rating.
- FAA Form 8400-6, Preapplication Statement of Intent.
- MAG applicable forms.

**C. Job Aids.** None.**2-1332 INITIAL CERTIFICATION—PREAPPLICATION PHASE 1 AND FORMAL APPLICATION PHASE 2.**

**A. General.** This section provides the IFOs with additional requirements when they perform an initial certification of part 145 repair stations located outside the U.S. Certificates for repair stations located outside the U.S. have a limited duration. Initial certification is limited to 12 months from the date the certificate is issued. Thereafter, the FAA will renew the certificate or rating for a 24-month period if the repair station has operated per the applicable requirements of part 145 within the preceding period.

**B. Perceived Need.** Part 145, § 145.51(c)(1) requires that the applicant show the necessity for a part 145 Air Agency Certificate and rating(s). The applicant must have a current or future operational or economic need (a perceived need) for the maintenance, preventive maintenance, or alteration of aeronautical articles subject to FAA regulatory oversight. The applicant can express this perceived need by including a statement from an operator of a U.S.-registered aircraft; a foreign-registered aircraft operated under the provisions of 14 CFR part 121 or part 135; a company that maintains or alters articles to be installed on U.S.-registered

aircraft, indicating that the repair station's services are required; or documentation from a leasing company or supplier/distributor showing that the applicant's services are necessary, provided the applicant can confirm in writing that the leasing company or supplier/distributor is doing business with operators of U.S.-registered aircraft.

**C. Fees.** The applicant must show that the fee prescribed by 14 CFR part 187 has been paid. For fee collection for air agency actions, the IFO should follow the guidance in Volume 12, Chapter 13, Section 1, paragraph 12-689, Fee Collection. The certificate holder should deposit the fee per part 187, IFO procedures, AFS-001-000-W2, and AC 187-1. However, during the certification phase, the inspector will confirm that the appropriate FAA fee has been paid in full per part 187 and AC 187-1.

**D. Personnel Certification.** The personnel certification requirements of 14 CFR part 65 do not apply to supervisors or personnel authorized to return an article for return to service in repair stations located outside the U.S. However, they must ensure the personnel:

1) Have been trained in or have 18 months practical experience with the methods, techniques, practices, aids, equipment, and tools used to perform the maintenance, preventive maintenance, or alterations; and

2) Are thoroughly familiar with the applicable regulations and proficient in the use of the various inspection methods, techniques, practices, aids, equipment, and tools appropriate for the work being performed and approved or returned to service. The FAA reserves the right to interview the applicant's supervisors, inspectors, and/or personnel responsible for final approval for return to service.

NOTE: The FAA may accept the personnel certification requirements in the country where the repair station is located, provided the English language requirements are met.

**E. English Language Requirements for Technical Data.** The FAA recognizes the national language of the country where the repair station is located. The repair station may convert technical data, such as operators' instructions for continued airworthiness (ICA), manufacturers' maintenance manuals, or type certificate holders' (TCH) continuous airworthiness data, into the national language. The repair station may also convert internal documents, such as workcards, worksheets, and shop travelers.

NOTE: The repair station must establish procedures in its Repair Station Manual (RSM) that ensure that its English language copies of technical data, and any internal documents developed from this technical data, are current and complete. The main base of the repair station should retain the English language copy of the technical data. The repair station must make the data available to the FAA upon request.

**F. National Certification.** FAA policy requires the FAA to advise the country's AA of FAA certification. The FAA need not obtain AA concurrence, but the FAA will take under consideration any safety information related to the applicant. Section 145.53(a) states, in part, "A person who meets the requirements...of this part is entitled to a repair station certificate."

The FAA will request a copy of the applicant's Air Agency Certificate and limitations document. Some countries might not issue repair station certification, and in such instances, part 145 enables the FAA to issue a certificate.

**G. Geographic Authorization.** A geographic authorization is an approval provided to an airframe-rated facility located outside the U.S. to perform maintenance under contract for a U.S. air carrier or for an operator of U.S.-registered aircraft under 14 CFR part 129 at a location outside the country where the repair station is located. The FAA issues a geographic authorization (OpSpec B050) to respond to the maintenance needs of a U.S. air carrier, or of part 129 operators.

NOTE: The FAA normally does not issue this authorization during an initial certification. See Volume 2, Chapter 11, Section 8, paragraph 2-1285, Initial/Amendment—Prerequisites and Coordination Requirements, for amending a certificate for geographic authorization.

## **2-1333 INITIAL CERTIFICATION—ADMINISTRATIVE PHASE 5.**

### **A. Processing and Payment of Fees.**

1) The IFO will notify the Approved Maintenance Organization (AMO), in writing, of the fee for processing the part 145 certificate. AC 187-1 establishes these fees. The AMO will send this fee in accordance with the IFO's prescribed procedures.

2) Refer to AC 187-1 for applicable fees.

3) The IFO will issue a certificate and OpSpecs only after it receives payment of the prescribed fee. The IFO may grant additional time for the payment of fees.

**B. Prepare the Air Agency Certificate.** When the applicant has met all regulatory requirements, the principal inspector (PI) will prepare the Air Agency Certificate in accordance with Volume 2, Chapter 11, Section 5. For repair stations located outside the United States, you will also include the following:

1) Insert the expiration date after the statement "This certificate unless canceled, suspended, or revoked, shall continue in effect." The renewal of a repair station located outside the U.S. should be issued for an initial certification period of 12 months. Thereafter, the FAA may renew the certificate for a 24-month period from the date of renewal (refer to § 145.55), unless coordinated through the International Field Office Management Branch (AFS-54).

2) At the very bottom of the certificate, strike out the last line referring to "Any alteration of this certificate."

**C. Certification Report.** In addition to the items that compose the certification as contained in Volume 2, Chapter 11, Section 5, include the following:

- 1) The document identifying the need or perceived need.
- 2) Proof of fee paid for the certification.

## **2-1334 INITIAL CERTIFICATION—TASK OUTCOMES.**

**A. Responsibilities for SAS Custom Data Collection Tool (C DCT) and Vitals Information Entries.** The inspector will:

- 1) Follow the certification process in Volume 10.
- 2) Complete the appropriate SAS C DCT, as required.

**B. Complete the Task.** Completion of the certification task will result in the following:

- 1) Document in the Vitals Information tab the initial certification date.
- 2) Issuance of the Air Agency Certificate and required OpSpecs authorizations.
- 3) Notification to the Transportation Security Administration (TSA) per Volume 2, Chapter 11, Section 13, when the FAA part 145 certification and Air Agency Certificate has been issued.
- 4) Retain the original certification report in the IFO office file.
- 5) Letter to the AA of the country where the repair station is located, advising it that the FAA certificate and OpSpecs have been issued. The letter should also request that the air agency advise the IFO anytime the AA takes certificate action or identifies serious concerns against that repair station.
- 6) Letter to the applicant indicating the IFO denied the issuance of the certificate, if applicable.
- 7) Letter to the applicant confirming termination of the certification process, if applicable.

## **2-1335 RENEWAL OF THE CERTIFICATE.**

**A. Renewal Timeframe.** A repair station located outside the U.S. must renew its certificate 12 months after its initial certification, and thereafter no more than 24 months from the date of its last renewal.

NOTE: Although the regulation indicates a 24-month renewal period, inspectors must perform annual surveillance of repair stations, per current policy.

**B. Application Submission Timeframe.** The repair station must submit a new application 30 days before the expiration date of its certificate.

**C. IFO.** The IFO must track renewal dates to establish an effective yearly work program.

### **2-1336 RENEWAL—DESIGN ASSESSMENT PHASE 3.**

**A. Documents.** ASIs should ensure that all documents for the formal application package have been submitted and are complete. Verify the inclusion of:

- 1) Completed FAA Form 8310-3.
- 2) A document showing there is a continuing need for the repair station to maintain U.S.-registered aircraft or articles.
- 3) A list of contractors, if changes have been made to the list since the repair station's last renewal. A copy of those changes must be included in the package.
- 4) The RSM/Quality Control Manual (QCM), if either of the manuals has been revised since the repair station's last renewal. A copy of the revision must be provided with the application package.

**B. Application Package.** Review the content of each submitted document for regulatory compliance. The documents to be reviewed include:

- 1) The completed FAA Form 8310-3.
- 2) A document showing the repair station meets the continuing need requirement of § 145.51(c)(1).

a) Repair stations located outside the U.S. must continue to show that their certificate is necessary to maintain U.S. aircraft or articles as required by § 145.51(c). The purpose for this requirement is to not burden the FAA's resources in certifying and recertification of such repair stations if they are not going to be supporting U.S.-registered aircraft and products. Implicit is the concern over expending those FAA resources in surveillance of such repair stations. However, some flexibility is necessary in implementing this policy, and it must not be applied arbitrarily.

NOTE: The Assistant Chief Counsel for the Regulations Division (AGC-200) provided a legal interpretation of §§ 145.51(c) and 145.55(b) concerning the showing of need by a foreign repair station. The full text of the memorandum, dated December 9, 2008, is available at:  
[http://www.faa.gov/about/office\\_org/headquarters\\_offices/agc/pol\\_adjudication/agc200/interpretations/data/interps/2008/manager-sf-wp-03%20-%20\(2008\)%20legal%20interpretation.pdf](http://www.faa.gov/about/office_org/headquarters_offices/agc/pol_adjudication/agc200/interpretations/data/interps/2008/manager-sf-wp-03%20-%20(2008)%20legal%20interpretation.pdf).

b) If the repair station cannot establish continuing need, the FAA will renew the repair station certificate based on the repair station's previous continuing need statement. However, the FAA will advise the repair station in writing that if the repair station is still unable to show a continuing need at the time of its next renewal, the FAA may not renew the certificate.

c) A renewal applicant does not have to submit an activity report for each article for which it is rated. A single document indicating that minor or no changes were made to its customer list will satisfy the need requirements. The need can be verified during the inspection phase.

3) The repair station's list of maintenance functions contracted to another entity, if changes have been made. Refer to § 145.217 and Volume 2, Chapter 11, Sections 1 and 5, for additional information.

**C. Review the RSM/QCM or Section.** If revisions are made to these manuals, the revisions should be reviewed as they are submitted. In some cases, a repair station may elect to revise its manuals for its certificate renewal. Regardless of when they are submitted, the FAA must accept these revisions. The revision's inclusion should not delay the renewal process. The FAA may elect to review the revisions and accept or reject them after the certificate renewal has been completed based on the old manuals. Acceptance of the revision must be accomplished per Volume 6, Chapter 9, Section 7.

NOTE: Repair stations do not need to wait until the IFO accepts revisions to implement them. However, if the FAA finds a revision unacceptable, the repair station must have a procedure in place that describes how articles returned to service will be addressed.

**D. Document Any Deficiencies.** Conduct a thorough and comprehensive review of all documents. If deficiencies are found in any document, return it to the applicant with a letter outlining the deficient areas. Inform the applicant that the certification process will not continue until all deficiencies are resolved or a corrective action plan (CAP) is agreed upon. The applicant must provide the FAA with a written response with an approximate date by which the applicant will correct the errors and resubmit the document. The inspector's letter to the applicant must be as clear and complete as possible to avoid causing delays from documents being mailed back and forth without resolving issues.

**E. Review CAP.** Continue with the renewal process if the repair station provides a CAP that satisfies the requirements of the application package.

1) If the applicant fails to submit a CAP or correct the deficiencies within the specified time agreed to between them and the FAA, the FAA will terminate the application for renewal.

2) If the FAA finds the written CAP acceptable, or if the applicant has corrected the deficiencies, it may continue renewing the repair station certificate. See subparagraph 2-1337D1).

3) If a CAP exists from the previous year's inspection/renewal, the PI must review that plan. During the demonstration and inspection phase of the renewal, the PI must verify that those deficiencies/findings have been corrected.

#### **2-1337 RENEWAL—PERFORMANCE ASSESSMENT PHASE 4.**

**A. Renewal Procedures.** When performing a certificate renewal inspection, follow the facility inspection procedures identified in Volume 6, Chapter 9, Section 20. Additionally, use the applicable System or Subsystem Performance Data Collection Tool (SP DCT).

**B. Line Station Authorization Surveillance.** A repair station must conduct a quality control (QC) system audit to ensure compliance with its QC procedures. The ASI should review the audits of line stations to ensure the repair station has visited each of its line stations once per year. The QC audit should provide a report for each line station showing which station the inspector audited, the date of the audit, what the inspector audited, and findings and corrective action identified during the audit. Once a year, the ASI should perform a physical inspection of a minimum 10 percent sampling of line stations to confirm the effectiveness of the repair station's QC procedures.

NOTE: Line stations outside the geographic boundary of the country where the certificated facility is located will not receive a line station authorization. An authorization request for line stations outside these boundaries must follow the geographic authorization process. See Volume 2, Chapter 11, Section 8, paragraphs 2-1286 through 2-1292.

**C. Geographic Authorization Surveillance.** A geographic authorization may be issued to a repair station outside the U.S. to maintain U.S.-registered aircraft outside the country where the repair station certificate is held (see Volume 3, Chapter 18, Section 10). See Volume 2, Chapter 11, Section 8, paragraph 2-1286, Initial/Amendment—Prerequisites and Coordination Requirements, for amending a certificate for and guidance on geographic authorization.

1) A repair station QC system is required to audit its geographic authorization location annually to ensure compliance with the RSM and QC procedures. The ASI should review the audits to ensure compliance with the repair station's approved manuals.

2) If the repair station's geographic authorizations are within the geographic boundaries of the certificate-holding district office (CHDO), the ASI should perform an annual 10 percent sampling of the geographic authorization locations.

3) The inspector should coordinate surveillance of a geographic authorization with the U.S. air carrier certificate management office (CMO) to reduce the possibility of duplicate surveillance and increase the efficient use of resources.

**D. Findings/Deficiencies.** Due to the distance, travel, expense, and short timeframe requirements associated with repair stations located outside the U.S., the inspector should apply the following policy regarding deficiencies/findings noted during the document review and inspection phases:

1) If the FAA discovers deficiencies in document review and inspection phase for renewal or after conducting an inspection (surveillance), the FAA may allow the applicant sufficient time after notification to correct the deficiencies or to submit a CAP, depending on the nature of the deficiencies.

2) Once the applicant has submitted the CAP and prior to acceptance of the plan, the PI will review it and ensure it meets the following requirements:

a) The timeframe for correcting the deficiencies/findings must be 90 days or less.

b) The correction plan must adequately address the deficiencies/findings.

c) The plan must require the applicant to advise the PI in writing when the deficiencies/findings have been corrected.

d) The plan must also contain a procedure for the repair station to validate the process/procedure used to correct the deficiencies/findings. This validation should take place within 90 days or less after the correction was implemented.

3) If the FAA finds the written CAP acceptable, it may renew the repair station certificate.

4) If the part 145 repair station certificate expires either during the time between inspections or due to unusual circumstances, the FAA may need to issue a short-term certificate of up to 90 days if the applicant demonstrates an ability and willingness to correct the noted deficiencies. The FAA may not extend the certificate past the 24-month period.

5) Depending on the nature of the deficiencies, the FAA may amend the repair station's ratings. In any of the above situations, after the FAA is satisfied with all corrective action, it will reissue the certificate using the original renewal date. The repair station should not gain renewal time or an advantage by having additional time allowed for the correction of deficiencies.

## **2-1338 RENEWAL—ADMINISTRATIVE PHASE 5.**

### **A. Fees for Processing.**

1) The IFO will notify the AMO, in writing, of the fee for processing the part 145 certificate. AC 187-1 establishes these fees. The AMO will send this fee in accordance with the IFO's prescribed procedures. The IFO should also follow Volume 12, Chapter 13, Section 1.

2) Verify that the fees have been paid in full. Deposit the fee per part 187 and IFO procedures. It is permissible to issue a renewal certificate pending receipt of the fee. Due to normal corporate accounting practices, it may take a few weeks before the fee is transmitted.

NOTE: All activities associated with surveillance related to a repair station certificate are chargeable as FAA fees per part 187. Calculate all fees per AC 187-1.

a) If the IFO does not receive the fee within a reasonable period of time, it should advise the repair station in writing that certificate action may be required if the fee is not transmitted as soon as possible.

b) The IFO should establish office policy regarding timeframes and procedures for fee payments. The IFO should be familiar with local mail and electronic transaction timeframes.

**B. Prepare the Air Agency Certificate.** When the applicant has met all regulatory requirements, the PI will prepare the Air Agency Certificate in accordance with Volume 2, Chapter 11, Section 5. For repair stations located outside the U.S. you will also include the following:

1) Insert the expiration date after the statement “This certificate unless canceled, suspended, or revoked, shall continue in effect.” The renewal of a repair station located outside the U.S. should be issued for an initial certification period of 12 months. Thereafter, the FAA will renew the certificate for a 24-month period from the date of renewal (refer to § 145.55) unless coordinated through AFS-54.

2) At the very bottom of the certificate strike out the last line referring to “Any alteration of this certificate.”

3) The IFO will issue a certificate and OpSpecs only after it receives payment of the prescribed fee. The IFO may grant additional time for the payment of fees.

**C. Certification Report.** In addition to the items that compose the certification as contained in Volume 2, Chapter 11, Section 5, include the following:

1) A document identifying the need or perceived need.

2) The proof of fee paid for the certification.

## **2-1339 RENEWAL—TASK OUTCOMES.**

**A. Responsibilities for SAS C DCT and Vitals Information Entries.** The inspector will:

1) Complete the appropriate SAS C DCT as required.

2) Update the SAS Configuration Module 1 Vitals Information.

3) Document in the Vitals Information the renewal inspection date.

**B. Complete the Task.** Completion of the certification task will result in the following:

- 1) Issuance of an Air Agency Certificate and OpSpecs.
- 2) Send a letter to:
  - a) The AA of the country where the repair station is located, advising it that the FAA certificate and OpSpecs have been issued; the letter should also request that the AA advise the IFO anytime they take certificate action or identify serious concerns against that repair station; or
  - b) The applicant, indicating the IFO denied the issuance of the certificate, as applicable; or
  - c) The applicant, confirming termination of the certification process, as applicable.
- 3) Retain the original certification report in the IFO.

**2-1340 RENEWAL—FUTURE ACTIVITIES.** The IFO must ensure an orderly transition from the certification process to certificate management. The ASI should perform followup inspections and surveillance inspections, as required.

**2-1341 AMENDMENT TO OR TRANSFER OF CERTIFICATE.**

**A. New Application.** Section 145.57 requires that a repair station submit a new application in the following situations:

- 1) The holder of a repair station certificate must apply for a change to its certificate if it changes the location of the repair station, or requests adding or amending a rating. The repair station certificate holder must notify the FAA in advance and the FAA may prescribe conditions that the repair station must follow when moving to a new address or location.
- 2) If the holder of the repair station certificate sells or transfers its assets, the new owner must apply for an amended certificate in accordance with § 145.51. On occasion, repair station ownership changes without changing the facilities and personnel. An example of this type of change would be a stock transfer or a monetary takeover that does not change or affect the location, tools, equipment, or management personnel.

NOTE: ASIs should contact their regional general counsel office when asked questions concerning whether limited liability corporations or changes in stockholder ownership constitute a transfer of repair station assets.

- 3) If the repair station and/or its contractors or subcontractors are performing a job function concerning transportation of hazardous materials (hazmat), the repair station must train its employees to the International Civil Aviation Organization's (ICAO) hazmat standards. The repair station must also provide the FAA with a letter certifying that the appropriate employees

have been trained to the ICAO standard, as described in Volume 2, Chapter 11, Section 1, subparagraph 2-1190E, Hazmat, unless the letter is already in the repair station certification file.

**B. Certificate Number.** The inspector should recommend a new certificate number, due to the Freedom of Information Act (FOIA) and liability issues. ASIs should inform prospective owners that they might be held liable for work performed under previous management. To retain the old number, new owners must stipulate in writing that they clearly understand the potential for release of information under the FOIA when retaining the old certificate number.

**2-1342 AMENDMENT—APPLICATION—ADDING AN ADDITIONAL RATING.** The ASI should follow the initial certification procedures in Volume 2, Chapter 11, Section 7.

**A. Preapplication Statement of Intent (PASI).** A PASI is not required for a change or amendment to a certificate.

- 1) An application meeting is not required for amending a Repair Station Certificate.
- 2) The repair station must submit a completed application (FAA Form 8310-3).
- 3) The repair station must submit a revised letter of compliance that covers the additional ratings.

**B. Change to Facility or Address Change.**

1) The repair station must submit a new application when a change to the facility affects the repair station certificate. Examples of facility changes include adding additional space or reducing the size of the facility.

2) The repair station must submit a new application prior to moving to a new facility or changing its address. The FAA will review the application and may authorize continued work while the applicant moves to another facility.

**C. Change in Ownership.** When a repair station sells or transfers ownership of its organization, the new owner must submit a new application.

1) If the sale or transfer of ownership, normally called a financial takeover, does not affect the employees, facilities, equipment, or daily operation of the repair station, only a new application is required.

2) An applicant must submit a new application and manuals for an ownership change that affects the repair station's daily operation, such as a management change or a facility or equipment change. The application process is the same as for a new application. (See paragraphs 2-1332 through 2-1334, for initial certification procedures.) However, applicants may continue to operate under the existing certificate while the FAA processes the new certification package, unless the ASI and the Regional Flight Standards District Office (RFSDO) determine that a safety concern prohibits continued operation.

**2-1343 AMENDMENT—GEOGRAPHIC AUTHORIZATION.**

**A. Criteria for Issuing Geographic Authorization.** Geographic authorization is different from work away from the station or line station maintenance authorization. The repair station must fulfill the criteria listed below. The ASI should ensure that:

- 1) The repair station has an airframe rating for a complete aircraft, such as a Boeing 757 or an Airbus 320.
- 2) The make/model aircraft is operating into the requested location. The aircraft being operated into the requested location need not be the aircraft with a part 129 authorization.
- 3) The FAA will not issue a geographic authorization at a location where an appropriately rated repair station already exists, unless the U.S. operator shows why the additional geographic authorization is necessary. For example, legitimate reasons for issuing the rating may be that locally rated repair stations cannot meet operator schedules or cannot deal with additional workload.
- 4) Each geographic authorization is included in the repair station's internal self-evaluation program. The program must include an annual evaluation and report of each geographic authorization location. This report must be made available to the FAA on request.

NOTE: Geographic authorization may not be issued to a location within the U.S. and its territories. The FAA has determined that ample certificated repair stations (CRS) are located within the U.S. to provide service. The intent of a geographic authorization is to give U.S. operators and foreign operators holding a part 129, § 129.14 authorization the ability to meet the requirements of their maintenance programs in locations where appropriately rated FAA-certificated repair stations are not available.

**B. Geographic Authorization Procedures.** The IFO will:

- 1) Receive notice of the air carrier's need. The process starts when the air carrier notifies its CHDO that it needs the services of a repair station at a location where a geographic authorization is required for the repair station.

NOTE: An operator under § 129.14 will use the IFO that issued the § 129.14 authorizations.

- 2) Receive a letter from the repair station requesting geographic authorization. The letter should explain how the repair station will meet the criteria in subparagraph 2-1343A, Criteria for Issuing Geographic Authorization, and include a copy of the RSM procedures section addressing geographic authorizations and responsibilities.
- 3) When eligibility for geographic authorization is established, coordinate closely with the air carrier CHDO to ensure that duplicate efforts do not occur.

NOTE: Certification and surveillance of geographic authorization is the responsibility of the IFO. However, this does not relieve the CHDO of its responsibilities for surveillance of the air carrier's adherence to part 121, § 121.369. The CHDO's coordination with IFOs outside the U.S. is an efficient method of surveillance of air carrier operations in areas normally requiring the CHDO to use resources better used in other areas. Geographic authorization is limited to line-maintenance-type operations.

- 4) Receive a copy of the contract from the air carrier's CHDO.
- 5) Provide the CHDO with a copy of the repair station's commitment to meet subparagraph 2-1343A criteria.
- 6) Receive a copy of the repair station's self-evaluation report, if applicable. If this is an initial or an added geographic authorization location, the repair station must give the FAA a copy of its self-evaluation report, in which it expresses its ability to function at the requested location.
- 7) Review the self-evaluation report to ensure that the repair station has trained personnel, tooling, equipment, manuals, and inspection processes to support the requested geographic authorization.
- 8) Revise the repair station OpSpecs to include the initial or new geographic authorization location. The OpSpecs must list each authorization by location address, make, and model of aircraft. Additionally, list the air carrier customer name and the section of its appropriate air carrier manual by which maintenance will be performed.
- 9) On an initial geographic authorization, revise the repair station certificate to list the geographic authorization directly below the airframe rating.
- 10) Forward the revised certificate and OpSpecs to the repair station and send a copy to the CHDO.

NOTE: Do not delay sending a copy of the revised certificate and OpSpecs to the repair station. Delays may adversely affect air carriers meeting their operational schedules.

### **C. Surveillance Requirement for Geographic Authorization.**

- 1) It is not necessary for the IFO or the CHDO to conduct onsite surveillance for a request to add a new location. A repair station may add an additional location without further showing.
- 2) When conducting repair station certificate renewal or off-year surveillance, the ASI must review the repair station's geographic authorization self-evaluation reports to ensure that the FAA has evaluated each location within the previous year.

3) The IFO must establish an office policy requiring inspectors performing surveillance in a city or country to visit the locations where a repair station has a geographic authorization, provided the visit does not require additional travel within the country or create expenditure of added travel resources. This means the inspector must travel to the locations using ground transportation and must complete the visit within their normal workday, unless otherwise authorized by their supervisor.

4) Forward an explanation of the fees to the repair station's ASI for inclusion in the repair station certificate's renewal cost, which include all times and costs associated with surveillance of a geographic authorization.

5) A CHDO may not charge the repair station for any surveillance of geographic authorization it performs as part of its air carrier surveillance.

6) Close coordination must occur between the CHDO, the IFO where the geographic authorization is located, and the certificate holder's IFO to reduce the possibility of multiple surveillance activities. All findings associated with a geographic authorization must be coordinated between offices involved with the geographic location.

7) The IFO that retains the repair station certificate is also responsible for compliance and/or enforcement activity. It must communicate findings with the air carrier CHDO. Any additional compliance and/or enforcement action relating to the air carrier is the responsibility of the air carrier CHDO.

**2-1344 AMENDMENT—APPLICATION PHASE.** Repair stations adding ratings or changes to a certificate will use the same process as renewal of a certificate discussed in paragraphs 2-1335 through 2-1339, but must also include:

- A copy of FAA Form 8310-3, including a list of functions that the applicant intends to contract to another facility;
- A revised letter of compliance that addresses the items changed, such as added rating or address change;
- A document showing the need for the certificate, as described in subparagraph 2-1332B, Perceived Need; and
- If applicable, a revised letter certifying employees have been trained to ICAO hazmat standards, as described in Volume 2, Chapter 11, Section 1, subparagraph 2-1190E.

**2-1345 AMENDMENT—DESIGN ASSESSMENT PHASE.** Follow the same renewal process as indicated in paragraphs 2-1336 through 2-1339. The ASI should review any manual revision required by the application for an added rating or change to the certificate for compliance with part 145. Repair stations should process manual revisions and documentation findings as discussed in paragraph 2-1332, Initial Certification—Preapplication Phase 1 and Formal Application Phase 2.

**2-1346 AMENDMENT—PERFORMANCE ASSESSMENT PHASE.** This phase should follow the same requirements as indicated in paragraphs 2-1332 through 2-1334, as appropriate to the requested change to the repair station certificate and OpSpecs.

**2-1347 AMENDMENT—ADMINISTRATIVE PHASE.** Amendments to a repair station certificate and OpSpecs must be accomplished as indicated in this section and must reflect the applicant's requested change.

**2-1348 AMENDMENT—TASK OUTCOMES.** This should follow the same requirements as indicated in paragraphs 2-1332 through 2-1334, as appropriate.

**2-1349 AMENDMENT—FUTURE ACTIVITIES.** The IFO must ensure that an orderly transition occurs from the certification process to continued oversight surveillance. Perform followup inspection and surveillance inspections, as required by the SAS oversight process.

**RESERVED.** Paragraphs 2-1350 through 2-1354.

## VOLUME 2 AIR OPERATOR AND AIR AGENCY CERTIFICATION AND APPLICATION PROCESS

### CHAPTER 11 CERTIFICATION OF A PART 145 REPAIR STATION

#### Section 13 Safety Assurance System: Procedures for Collaborating with TSA During a Security Audit for Part 145 Repair Stations (Located Within and Outside the United States and its Territories) Both Under and Not Under a Maintenance Implementation Procedure

#### 2-1388 PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODES.

A. **Maintenance:** 3240.

B. **Avionics:** 5240.

#### 2-1389 GENERAL.

A. **Purpose.** This section provides guidance on how to notify the Transportation Security Administration (TSA) of initial certification of repair stations located within and outside the United States (U.S.) as a result of Title 49 of the Code of Federal Regulations (49 CFR) part 1554.

B. **Scope.** This guidance applies to aviation safety inspectors (ASI), managers, and their delegates located in the Federal Aviation Administration's (FAA) certificate-holding district offices (CHDO) and International Field Offices (IFO).

#### C. Definitions.

1) **Manager.** Someone who is in charge of a business, department, etc. Within the FAA, it would be the CHDO or IFO manager.

2) **Delegate.** A person who is chosen or elected to act for others. Within the FAA, it would be a person assigned by the office manager.

3) **Regional Operations Center (ROC).** TSA ROC.

#### 2-1390 INTRODUCTION.

A. **Interaction with the TSA.** This section provides the procedures that CHDO and IFO managers and their delegates must follow before the TSA performs a security review of repair stations located within and outside the U.S. that operate under Title 14 of the Code of Federal Regulations (14 CFR) part 145. Additionally, it advises FAA ASIs and managers to ensure that the TSA is informed, per subparagraph 2-1395B, when an FAA part 145 certification and Air Agency Certificate has been issued.

## **B. Interaction with Domestic and Foreign Personnel.**

1) Each ASI assigned to a CHDO or IFO must be aware of the sensitive nature associated with working with a foreign country.

2) FAA personnel must conduct themselves with the highest level of professionalism while assigned outside the U.S. They must be courteous and respectful when conducting business with foreign nationals and with various officials of foreign aviation authorities (AA). They should understand that while working for the FAA, their every action represents the U.S. government. The FAA expects IFO employees to be fully aware that they are guests in a foreign country and to recognize national culture within their working environment.

### **2-1391 BACKGROUND.**

**A. Approval of Legislation and Updates to Regulations.** On December 12, 2003, Vision 100–Century of Aviation Reauthorization Act was signed into law. It was amended on August 3, 2007 by Public Law (PL) 110-53, Implementing Recommendations of the 9/11 Commission Act of 2007. As a result, Section 1616 of PL 110-53 updated Title 49 of the United States Code (49 U.S.C.) § 44924.

**B. Suspension of Certifying Foreign Repair Stations.** PL 110-53 required that final regulations for repair stations be issued no later than August 2008 and required the TSA to complete audits of foreign repair stations within 6 months after publication of 49 CFR part 1554. The final regulations were not issued by the August 2008 deadline, and consequently the FAA Administrator was barred from certifying additional foreign repair stations.

**C. Resuming Certification of Foreign Repair Stations.** Due to the publication of 49 CFR part 1554, the FAA may certificate new foreign repair station applicants. The FAA will notify the TSA when an FAA part 145 certification has concluded and an Air Agency Certificate is issued.

**2-1392 INITIATING AND MAINTAINING COMMUNICATION.** The FAA should only communicate with the TSA when an FAA part 145 certification has been completed and an Air Agency Certificate has been issued.

**2-1393 CERTIFICATION.** During the certification process, the CHDO and IFO manager (or delegate) coordinates with the applicant to ensure that the appropriate management personnel are available during the inspection. ASIs will follow the certification process as outlined in Volume 2, Chapter 11, Sections 1–5.

**A. Repair Stations Located Within the U.S. and its Territories.** When managing the certification of part 145 repair stations/satellites located within the U.S. and its territories, ASIs will use Volume 2, Chapter 11, Section 2, during the preapplication phase.

**B. Repair Stations Located Outside the U.S. and Not Under Maintenance Implementation Procedures (MIP).** When managing the certification of part 145 repair stations located outside the U.S. and its territories and not under a MIP, ASIs will use Volume 2, Chapter 11, Section 10, for the preapplication phase.

**C. European Union (EU)-Based Approved Maintenance Organizations (AMO).**

When managing the certification of a European Aviation Safety Agency (EASA) Part-145 AMO based in the EU that is applying for a 14 CFR part 145 approval, ASIs will use Volume 2, Chapter 11, Section 11, for the initial certification process.

**2-1394 COORDINATION.** During the certification process, the ASI will coordinate with team members and the applicant and keep the FAA Manager (or delegate) informed to ensure that the appropriate management personnel are available during the inspection in order to manage FAA resources. The FAA Manager (or delegate) will inform the applicant that the TSA has no role in the certification process. The TSA will communicate and work directly with the applicant to arrange the TSA security audit.

**2-1395 COMMUNICATION.**

**A. Communication During the Certification Process.** The FAA must use the Certification Service Oversight Process (CSOP) process to track the certification process and inform the applicants of their status of their application. Refer to <https://avssp.faa.gov/avs/afsprojects/AFS-900/CSOP/SitePages/Home.aspx>.

**B. Completion of the Demonstration Phase.** ASIs must follow the certification process per specific sections in this order when the applicant meets all regulatory requirements. Upon completion of the FAA's certification phase, the FAA manager (or delegate) will inform the TSA when an FAA part 145 certification and Air Agency Certificate has been issued. The FAA may provide the TSA with the name, location, and repair station point of contact (POC). The email addresses listed below must be used to notify the TSA:

- 1) For repair stations located within the U.S.: ARS@tsa.dhs.gov.
- 2) For repair stations located outside of the U.S.: FRS@tsa.dhs.gov.

**RESERVED.** Paragraphs 2-1396 through 2-1410.

**VOLUME 3 GENERAL TECHNICAL ADMINISTRATION****CHAPTER 18 OPERATIONS SPECIFICATIONS****Section 13 Safety Assurance System: Add an Aircraft to an Existing Part 121/135 Certificate Holder's Operations Specifications (Airworthiness)**

**3-18-13-1 REPORTING SYSTEM(S).** Use Safety Assurance System (SAS) automation and the associated Data Collection Tools (DCT). See SAS Element 4.4.4, Aircraft Acceptance Process.

**3-18-13-3 OBJECTIVE.** The objective of this section is to provide instructions and guidance to aviation safety principal inspectors (PI) when tasked to issue or amend Operations Specification (OpSpec) D085, Aircraft Listing, for:

- An existing certificate holder adding an additional aircraft (newly manufactured or used) of the same make and model that the certificate holder is currently operating; or
- An existing certificate holder that adds a new make and model (type) of aircraft to its operations.

NOTE: See Volume 3, Chapter 18, Section 6, Parts D and E Maintenance OpSpecs/MSpecs/LOAs, for a description and details of D085.

**3-18-13-5 GENERAL.** An aircraft must meet the following conditions for airworthiness.

**A. Type Certificate (TC).** The aircraft must conform to its TC. An aircraft conforms to its TC and type design when the aircraft configuration and the installed components are consistent with the drawings, specifications, and other data that are part of the TC. This also includes conformity to any Supplemental Type Certificate (STC) and field-approved alterations to the aircraft.

**B. Condition for Safe Operation.** The aircraft must be in a condition for safe operation. The condition of the aircraft relative to wear and deterioration (skin corrosion, window delaminating and crazing, fluid leaks, tire wear, etc.) must be acceptable. (Refer to the current edition of Federal Aviation Administration (FAA) Order 8130.2, Airworthiness Certification of Products and Articles.)

**C. Standard Airworthiness Certificate.** The aircraft must have a standard airworthiness certificate. This certificate remains valid as long as:

- The aircraft meets its approved TC;
- The aircraft is in a condition for safe operation; and
- Maintenance, preventative maintenance, and alterations are performed in accordance with Title 14 of the Code of Federal Regulations (14 CFR) parts 21, 43, and 91.

**D. Aircraft Flight Manual (AFM).** The aircraft must conform to the "Limitations" and "Supplement" sections within the approved AFM.

**3-18-13-7 PREREQUISITES AND COORDINATION REQUIREMENTS.****A. Prerequisites.**

- Completion of aviation safety inspector (ASI), Airworthiness Indoctrination course or equivalent.
- Knowledge of the regulatory requirements of 14 CFR parts 91, 121, and 135.

**B. Coordination.** This task requires coordination with the assigned operations PI and/or the Flight Standards National Field Office (FSNFO) (AFS-900) for part 121, if necessary.

**3-18-13-9 REFERENCES, FORMS, AND JOB AIDS.****A. References (current editions):**

- Title 14 CFR Parts 91, 121, and 135.
- Volume 3, Chapter 18, Operations Specifications.
- Volume 10, Safety Assurance System Policy and Procedures.

**B. Forms:**

- Aircraft Information Form.
- Tracking Report.
- Schedule of Events.

**C. Job Aids:**

- Major Change Process Document (MCPD) Work Instructions.
- Schedule of Events.
- Required Document List.
- Aircraft Configuration Control Document (ACCD).
- Tabletop Scenario Worksheet.
- Proving Flight Scenario Worksheet.

**3-18-13-11 ACTION.**

**A. Add Additional Aircraft of the Same Make and Model.** When a certificate-holding district office (CHDO) receives notification from a certificate holder that they intend to add an additional aircraft to their certificate of the same make and model they currently operate, the following actions must be accomplished:

1) When a certificate holder takes delivery of a new aircraft from an aircraft manufacturer or leasing company, and the certificate holder currently has the authorization to operate that particular make and model, the aircraft can be added to the certificate holder's OpSpec paragraph D085, provided that the certificate holder complies with the following procedures:

a) The certificate holder (part 121/135 10 or more) must have procedures in their manual of sufficient detail that would prevent it from operating the aircraft in revenue service before an aircraft conformity evaluation is accomplished.

b) The aircraft is on the certificate holder's maintenance program, or for part 135, § 135.411(a)(1) nine or less, annual/100-hour inspection, manufacturer's program, or Approved Aircraft Inspection Program (AAIP) for that particular make and model.

2) The certificate holder can then operate the aircraft in accordance with part 91 flight rules to a base where an aircraft conformity evaluation will be accomplished.

NOTE: Operations under part 121 or 135 may require additional inspections, tests, or the installation of additional instruments and/or equipment before operating in revenue service. If the certificate holder intends to obtain a previously operated aircraft (used) and place it on their certificate, the CHDO and the certificate holder must follow the procedure contained in Order 8130.2 for special flight permits (SFP).

3) PIs should ensure that a part 121/135 10 or more certificate holder's maintenance program has policy and procedures that aircraft/equipment to be added to an operating certificate conforms to its type design and operational rules.

NOTE: Volume 10, Chapter 9, Section 1, provides an extensive checklist of items for aircraft configuration in the ACCD. Provided as guidance for PIs assigned to certificate holders under part 121, PIs with oversight for part 135 certificate holders should adapt the list to the applicable rules of part 135.

4) PIs should ensure that a certificate holder adding an aircraft to OpSpecs has established procedures for bridging aircraft onto its certificate (see Volume 3, Chapter 16).

NOTE: When the CHDO determines that an aircraft can be added on a certificate holder's OpSpec paragraph D085, it must also consider, if applicable, OpSpec paragraph D092. Additionally, the CHDO must add the aircraft to the certificate holder's configuration data in the SAS automation.

NOTE: See Volume 3, Chapter 18, Section 6, for descriptions and details of D085 and D092.

**B. Add New Make and Model.** When a CHDO receives notification from a certificate holder of their intent to add a new make and model (type) aircraft to an existing certificate holder's OpSpecs, the CHDO manager should first determine if they need technical assistance from AFS-900. When making this determination, the manager should consider if the ASIs assigned to the project have adequate training in the task, have the necessary experience with the certificate holder's operation, and have experience with the type of aircraft proposed for addition to the certificate holder's OpSpecs.

NOTE: Before adding any affected airplanes (turbine-powered and air ambulance) to the OpSpecs of any certificate holder seeking authorization to conduct airplane air ambulance operations, the PIs must review Volume 11, Chapter 8, Section 1, for additional information.

1) If they do or do not need assistance from AFS-900, CHDO personnel should follow the guidance provided in Volume 10, Chapter 11, Sections 1 and 2 (MCPD).

2) The design of the MCPD guides the activities of PIs during the addition of a new aircraft make and model to a certificate holder's OpSpecs.

3) The MCPD uses a structured system safety-based approach to assess the design and performance of the certificate holder's proposed changes. The basis of this approach is on reviewing the air carrier's revised policies and procedures as an integrated whole rather than two separate parts. It incorporates SAS guidance, as explained in Volume 10, that follows the general process for approval or acceptance as described in Volume 3, Chapter 1, and its basis is the regulatory requirements of 14 CFR part 119, § 119.51(c)(1) through (c)(4). This process can be tailored to suit any project; however, there will be no modification or deletion of regulatory requirements and requirements based on FAA policy without permission from the Office of the Director, AFS-1.

a) There are five phases that make up the MCPD:

- Phase 1—Initial Inquiry.
- Phase 2—Application.
- Phase 3—Element Design Assessment (EDA).
- Phase 4—Element Performance Assessment (EPA).
- Phase 5—Administrative Functions.

b) The MCPD includes steps that require actions for an AFS-900 certification section team leader (TL) to perform. The AFS-900 certification section TL function will only be appropriate when the process, by request of the CHDO manager, includes AFS-900.

4) If the CHDO needs assistance from AFS-900, the CHDO manager should notify AFS-900 via email. This notification should include the following minimum information:

- The name of the certificate holder,
- The location of the certificate holder's principal base of operations,
- The kind(s) of change(s) to the operation,
- The type of airplane(s), and
- The proposed date for implementation.

5) Although the addition of a new aircraft make and model to a certificate holder's OpSpecs is not an initial certification event, the MCPD process includes many of the steps and forms used for initial certification. See Volume 2, Chapter 3, for initial certification procedures.

NOTE: When the CHDO determines that an aircraft can be added on a certificate holder's OpSpec paragraph D085, it must also consider (if applicable) OpSpec paragraph D092. Additionally, the CHDO must ensure the aircraft is properly added to the certificate holder's configuration data in the SAS automation.

NOTE: See Volume 3, Chapter 18, Section 6, for descriptions and details of D085 and D092.

**C. Conformity Inspection Requirements.** Aircraft conformity is the responsibility of the certificate holder. PIs should ensure that part 121/135 10 or more certificate holders have in their maintenance and inspection program, policy and procedures in enough detail to ascertain conformity of the aircraft for the type of operation to be conducted.

NOTE: When surveillance requirements exist due to system safety principles, PIs should accomplish an aircraft conformity evaluation in accordance with this guidance, handbook chapters, and applicable regulations. For part 121/135 10 or more certificate holders, a new aircraft conformity maintenance and inspection program developed by the certificate holder would require surveillance the first time the certificate holder uses the program, whereas an established maintenance and inspection program would require surveillance on an as-required basis, determined by system safety risk factors. As a reference, the PI will see Figure 10-9-1A, Request List, in Volume 10, Chapter 9, Section 1, for the review of required documents.

### **3-18-13-13 TASK OUTCOMES.**

**A. Follow SAS Guidance.** Follow SAS guidance in completing applicable DCTs.

**B. Complete the Task.** Complete applicable SAS DCTs. If design and performance are affirmed, issue OpSpec D085—Aircraft Listing. See Volume 3, Chapter 18, Section 6, for a description and details of OpSpec D085. If design and performance are not affirmed, return to the certificate holder for corrections. Once corrections are found acceptable, issue OpSpec D085.

**C. Document the Task.** File all supporting paperwork in the certificate holder/program manager's office file.

**3-18-13-15 FUTURE ACTIVITIES.** Follow SAS guidance for planning and accomplishing future risk-based surveillance.

**3-18-13-17 through 3-18-13-31 RESERVED.**

**VOLUME 13 FLIGHT STANDARDS DESIGNEES****CHAPTER 2 AIRCREW DESIGNATED EXAMINER PROGRAM****Section 3 Safety Assurance System: Aircrew Program Designees and Designated Flight Engineers in an Aircrew Designated Examiner Program**

**13-106 GENERAL.** This section contains information and guidance to be used by certificate managers, principal operations inspectors (POI), and inspectors concerning aircrew program designees (APD) and designated flight engineer examiner (DFEE) responsibilities, and the selection, training, supervision, and administrative control of APDs/DFEES in an Aircrew Designated Examiner (ADE) program. This section is related to Safety Assurance System (SAS) Element 2.1.5 (OP), Appropriate Airmen/Crewmember Checks and Qualifications.

**13-107 PRIVILEGES OF APDs/DFEES.** All certification conducted by an APD/DFEE must be limited to the privileges of the APD/DFEE's airman certificate, the APD/DFEE's Certificate of Authority (COA), the APD/DFEE's letter of authority (LOA), one certificate type (pilot or Flight Engineer (FE)), and one aircraft type.

**A. Privileges.** An APD is authorized to perform airman certification in one type of aircraft for an operator's pilots who have been trained under the operator's Federal Aviation Administration (FAA)-approved training program. A DFEE in an ADE program is authorized to perform airman certification for an operator's FE candidates who have been trained under the operator's FAA-approved training program.

**B. Limitations.**

1) Evaluation of any applicant by an APD/DFEE when the examiner has instructed that student or when the examiner has recommended the applicant is not recommended and must be approved by the POI or aircrew program manager (APM) on a case-by-case basis.

2) APDs/DFEES may not conduct FAA knowledge tests, special medical evaluations, tests for waivers, or any test for competency under Title 49 of the United States Code (49 U.S.C.) § 44709 (formerly Section 609a of the Federal Aviation Act of 1958 (FA Act)). Applicants for such tests must be referred to the APM or the local district office, Flight Standards District Office (FSDO), or certificate management office (CMO).

**C. Designation as an Examiner Outside of an ADE Program.** An individual's designation as an APD/DFEE does not prevent the individual from obtaining a designation as an examiner in another program or capacity. When an APD/DFEE holds a designation, the privileges and limitations that may be exercised outside of the ADE program must be specified on the COA and LOA. The privileges and limitations listed on the COA issued outside an ADE program do not apply to the ADE program.

**13-108 SELECTION OF AN APD/DFEE.**

**A. Eligibility Requirements.** The following apply to the selection of APD and DFEE candidates:

- 1) Must be employed by the operator either full-time, part-time, or under contract to the operator.
- 2) Must possess the appropriate airman certificate, class rating, and type rating, if applicable.
- 3) Must be an FAA-approved proficiency check pilot or check FE, as applicable, for the operator for the aircraft in which the APD/DFEE candidate is to perform examiner duties. To perform examiner duties in an aircraft in flight, APD candidates must also be an FAA-approved line check pilot—all seats and proficiency check pilot—aircraft for the operator for that aircraft.
- 4) Should have served as a check pilot or check FE for a minimum of 1 year (APD candidates—preferably 6 months as a proficiency check pilot) before designation as an APD/DFEE. (Check pilot/check FE experience in other types of aircraft and in service with other operators may be credited. Crediting of past experience, including length of time and type of check pilot/check FE, is at the discretion of the POI and APM.)
- 5) Must possess an above-average level of knowledge, ability, and experience.
- 6) Must have a good record of compliance with Title 14 of the Code of Federal Regulations (14 CFR) (isolated and unrelated violations or incidents are not disqualifying).

**B. Evaluation of Qualifications.** The APD/DFEE candidate must submit a complete statement of professional qualifications on FAA Form 8710-6, Examiner Designation and Qualification Record. The APM must review the qualifications to determine whether the candidate meets the requirements and standards for an APD/DFEE designation. If the candidate is eligible, the APM may recommend to the POI that the candidate be designated as an APD/DFEE. An APD/DFEE selection must be agreed upon by the APM, the POI, and the operator.

**13-109 APD TRAINING AND EVALUATION.** The APM must train and evaluate the prospective APD/DFEE on APD/DFEE duties and responsibilities as follows:

**A. Training.** Inspectors should ensure that the APD/DFEE is trained and evaluated in at least the following areas:

- The knowledge, ability, and skill requirements for the original issuance of the Airline Transport Pilot (ATP) Certificate and added ratings, as applicable (FE certificate and added rating for DFEE candidates);
- The procedures, methods, and techniques associated with administering the required certification tests;
- The responsibilities, authority, and limitations of an examiner under 14 CFR;

- The use of FAA forms and job aids associated with the particular APD/DFEE function; and
- The administrative procedures and supervisory relationships that exist in an ADE program.

NOTE: The POI and the APMs must stress to examiner candidates that in performing their duties as an APD/DFEE, they are representatives of the Administrator and responsible to the Administrator. Prospective APDs/DFEEs must understand that company politics, economics, union loyalties, and seniority issues are not relevant when certificating airmen.

**B. Evaluation.** After formal training, an APD/DFEE candidate must observe the APM in conducting a complete oral test, flight test, the necessary briefings, and the completion of the certification paperwork. The APM must then observe and evaluate the APD/DFEE candidate in conducting at least one complete oral test and complete flight test, including the necessary briefings and certification paperwork for the certificate or added rating involved.

### **13-110 SUPERVISION AND ADMINISTRATIVE CONTROL OF APDs/DFEEs.**

The APM assigned to a particular aircraft type is responsible for the supervision of APDs and DFEEs who conduct airman certification activities for that aircraft type. Inspectors should evaluate the supervisory and administrative process, taking into account the following:

**A. Working Relationships.** An APM observes and counsels APDs and DFEEs. An APM should emphasize to APDs and DFEEs appropriate methods for handling applicants, maintaining desired test standards, and completing and processing certification and Program Tracking and Reporting Subsystem (PTRS) paperwork. An APM should endeavor to maintain a working relationship with each APD and DFEE which promotes the examiner's confidence in the performance of their duties and in their interactions with their assigned APM. An APM must conduct regular meetings with the program's APDs and DFEEs for the purpose of maintaining these effective working relationships. During the APD/DFEE meetings, a close and continuing dialogue for the clarification of problem areas should be developed. Special meetings should be held when there is any change to FAA airman certification requirements, policies, or procedures affecting the particular APD/DFEE or the program in general. An APM should attend crewmember safety and standardization meetings held by the operator.

**B. APD/DFEE Supplies and Materials.** An APM must ensure that APDs and DFEEs have continuing access to the following materials, including current amendments and additional supplies, as needed:

- Order 8900.1, Volumes 5 and 13.
- All appropriate job aids.
- FAA Form 8710-1, Airman Certificate and/or Rating Application (Pilot).
- FAA Form 8400-3, Application for an Airman Certificate and/or Rating (FE).
- FAA Form 8060-4, Temporary Airman Certificate.
- FAA Form 8060-5, Notice of Disapproval of Application.
- FAA Form 8000-36, Program Tracking and Reporting System Data Sheet, which may be overprinted to facilitate standardization of data entered into the system.

**13-111 CERTIFICATE-HOLDING DISTRICT OFFICE (CHDO) APD/DFEE**

**ADMINISTRATIVE FILES.** The CHDO will maintain a file on each APD/DFEE. Inspectors must ensure that the CHDO file contains the following documents for each APD/DFEE:

- FAA Form 8710-6, Examiner Designation and Qualification Record, for original issuance and each renewal.
- FAA Form 8430-9, Certificate of Authority, for original issuance and each renewal.
- LOA for original issuance and each renewal, change of authority, and change of limitations.
- FAA Form 8000-5, Certificate of Designation.
- Any pertinent correspondence.

**13-112 PROCESSING INITIAL APD/DFEE DESIGNATIONS.**

**A. APM Responsibilities.** When processing an initial APD/DFEE designation, the APM must ensure that all requirements for designation have been met. The APM must prepare all of the necessary additional paperwork. The APM must complete the back of FAA Form 8710-6 and sign the space labeled “Inspector’s Signature.” The APM must enter the words “Aircrew Program Designee” or “Designated Flight Engineer Examiner” and the aircraft type in the space labeled “Type of Designation” under the “District Certificate Management or Regional” block. The APM must record the APD/DFEE designation number under the space labeled “Certificate of Authority Issued” in the space titled “No.” The expiration date is the last day of the month that is 1 year from the date of designation. The “DO to Serve Under” space should be left blank by the APM.

**B. POI Approval.** The POI, or an inspector authorized to act for the POI, must indicate approval by completing the first line of the block labeled “District Certificate Management or Regional” on FAA Form 8710-6 and then sign in the appropriate space. POIs, or authorized inspectors, must also sign FAA Form 8000-5, FAA Form 8430-9, and the LOA. The originals of these forms must be issued to the APD/DFEE, and copies must be retained in the APD/DFEE’s file in the CHDO.

**C. APD Designation Numbers (Examiner Designation Numbers).** For APDs and DFEEs, the airman’s certificate number coupled with the applicable four-character designator for the operator may be used in all instances when an Examiner Designation Number may be called for (e.g., 123456789DALA for an APD/DFEE at Delta Airlines). The four-character suffix will allow for differentiation between programs when there is more than one ADE program within a CHDO.

**13-113 RENEWAL OF APD DESIGNATIONS.** APD/DFEE designations must be renewed every 12 calendar-months as follows:

**A. Renewal Date.** The renewal date is 1 month prior to the expiration date. An APD/DFEE may not conduct certification tests after the expiration date.

**B. Renewal Application.** See Volume 13, Chapter 1, Section 2, paragraph 13-37, Renewal of Designations, for renewal procedures. In order to renew a designation, an APD/DFEE must submit the following documentation to the APM:

- The expiring FAA Form 8430-9;
- A newly completed FAA Form 8710-6; and
- Evidence of having attended, during the past 12 calendar-months, at least one APD/DFEE safety meeting or a briefing conducted by the APM (such as a notation on the back of the FAA Form 8430-9, signed by the APM).

**C. Annual Observation.** At least once within the year preceding an APD/DFEE's renewal, the examiner must be observed conducting a complete certification. The observation is made by the APM or by another appropriately rated inspector designated by the APM or POI. Preferably, this observation should take place within 3 calendar-months before the current designation expires (PTRS code 1672). To complete the observation, the APD/DFEE must conduct at least one oral examination and one complete flight evaluation. When an examiner designation is renewed, the day and month will normally remain the same, and only the year will be changed.

NOTE: If it is acceptable in an operator's approved training program for the entire proficiency or flight check to be accomplished in a full flight simulator (FFS), then the APM is not required to observe the APD/DFEE in the aircraft for a renewal.

**D. APM and POI Responsibility.** Before renewing an APD/DFEE designation, the APM and POI must determine whether the APD/DFEE's services have been satisfactory, whether the APD/DFEE's level of activity warrants a redesignation, and whether the APD/DFEE's services continue to be needed. The examiner's level of activity may be determined from the PTRS.

**E. Processing a Renewal.** The administrative steps for renewal are the same as those outlined for original designation (see paragraph 13-112).

**13-114 AMENDMENT OF APD/DFEE DESIGNATIONS.** An APD/DFEE may be issued only one FAA Form 8430-9. An APD/DFEE's examining authority should normally be cancelled when the APD/DFEE enters transition training on a new aircraft type. The POI may designate a former APD/DFEE, provided the following actions have been completed:

**A. Pilot in Command (PIC)/FE Training.** The APD/DFEE must have completed the operator's approved PIC or FE ground and flight training for the new aircraft. The APM must determine whether the designee has accumulated sufficient experience on the new aircraft to accumulate an above-average level of knowledge of its systems and operations.

**B. Check Pilot/Check FE Training.** An APD must have completed the operator's check pilot training and be approved as a proficiency check pilot for the new aircraft. A DFEE must have completed the operator's check FE training and be approved as a check FE for the new aircraft.

**C. Interview and Review.** The APM for the new aircraft must hold an interview with the APD/DFEE to establish an appropriate working relationship and review the administrative processing (paperwork/documentation) procedures for certification activities.

**D. Oral Examination/Flight Evaluation.** The APM for the new aircraft must observe the APD/DFEE conducting at least one complete oral examination and complete flight evaluation, as appropriate to the certificate or type rating involved, on the new aircraft type.

**E. Issuance of New Designation.** The administrative steps for the issuance of the new designation are the same as those outlined for initial designation (see paragraph 13-112).

**13-115 PROCESSING APD/DFEE CERTIFICATION PAPERWORK.** An APD/DFEE must forward the airman certification paperwork to the CHDO for review, processing, and transmittal to the Airmen Certification Branch (AFS-760). The paperwork must be accepted and processed only by the CHDO and not by any other district office. Use of the Integrated Airman Certification and/or Rating Application (IACRA) program for processing applications is highly encouraged.

**A. APD/DFEE Responsibilities.** An APD/DFEE must complete the airman certification paperwork in accordance with the requirements of Volume 5, Chapters 1, 3, and 4, as applicable. An APD/DFEE will complete the PTRS data sheet for each evaluation function conducted. An APD/DFEE is responsible for the accurate, complete, and timely submission of certification paperwork. Satisfactory fulfillment of this responsibility is a condition for continued designation as an APD/DFEE.

**B. APM Responsibilities.** An APM is responsible for training each APD/DFEE in correct documentation procedures.

**13-116 REVIEW OF APD/DFEE'S DECISION.** If an airman is dissatisfied with an APD/DFEE's decision, the airman may appeal to an APM for a reevaluation. The airman must submit the appeal in writing and indicate the reasons for protesting the APD/DFEE's decision. The APM must review the matter and decide if reevaluation is warranted. If a reevaluation is granted, a new application must be completed, and the entire evaluation must be reaccomplished by an FAA inspector.

**13-117 TERMINATION OF APD/DFEE DESIGNATIONS.** An APD/DFEE designation may be terminated or canceled for cause by the POI at any time. See Volume 13, Chapter 1, Section 2 for applicable procedures.

**RESERVED.** Paragraphs 13-118 through 13-135.