VOLUME 3 GENERAL TECHNICAL ADMINISTRATION

CHAPTER 18 OPERATIONS SPECIFICATIONS

Section 6 Parts D and E Maintenance OpSpecs/MSpecs/LOAs

3-921 GENERAL.

NOTE: All 300-series and nonstandard 500-series operations specifications (OpSpecs)/management specifications (MSpecs)/training specifications (TSpecs)/letters of authorization (LOA) (Parts A, B, C, D, E, and H) require approval by the appropriate headquarters (HQ) policy division. Title 14 of the Code of Federal Regulations (14 CFR) parts 61, 91, 91 subpart K (part 91K), 125 (including part 125 Letter of Deviation Authority (A125 LODA) holders), 133, 137, and 141 operators' nonstandard operational requests must be approved by the General Aviation and Commercial Division (AFS-800). Title 14 CFR parts 121, 135, and 142 nonstandard operational requests must be approved for issuance by the Air Transportation Division (AFS-200). Parts 91K, 121, 125 (including A125 LODA holders), 135, and 14 CFR part 145 repair stations and all airworthiness nonstandard requests must be approved by the Aircraft Maintenance Division (AFS-300). All Weather Operations (AWO) relating to instrument procedures must be approved by the Flight Technologies and Procedures Division (AFS-400) and AFS-200 or AFS-800, as appropriate. Nonstandard authorizations for 14 CFR part 129 foreign operators require approval from the International Programs and Policy Division (AFS-50) (see Volume 12, Chapter 2, Section 6).

NOTE: All text added to an OpSpec/MSpec/TSpec or LOA through the use of nonstandard text entered in the nonstandard text block (sometimes referred to as "Text 99") must also be approved by the appropriate HQ policy division. For detailed guidance on the process for obtaining HQ approval for nonstandard authorizations, principal inspectors (PI) must read the guidance contained in Volume 3, Chapter 18, Section 2.

NOTE: A revision of a listed document within a table does not require reissuance of the OpSpec/MSpec unless the manual title or document number changes, or when a table requires the most current revision to be identified.

OPSPEC/MSPEC D070—INTEGRATION OF AIRCRAFT FUEL TANK MAINTENANCE AND INSPECTION INSTRUCTIONS INTO A CAMP. DECOMMISSIONED. For certificate holders/foreign persons/foreign air carriers; OpSpec/MSpec D070 was superseded by OpSpec/MSpec/LOA D097.

OPSPEC/MSPEC D072—AIRCRAFT MAINTENANCE—CONTINUOUS AIRWORTHINESS MAINTENANCE PROGRAM (CAMP) AUTHORIZATION.

A. OpSpec/MSpec D072. This OpSpec/MSpec is issued to operators subject to a Continuous Airworthiness Maintenance Program (CAMP) under 14 CFR part 91, § 91.1109; 14 CFR part 121; and 14 CFR part 135, § 135.411(a)(2). OpSpec/MSpec D072 contains the

conditions that must be met for a certificate holder to operate their aircraft and lists the reference documents that contain the details of the operator's program.

B. Certificate Holder/Program Manager. The certificate holder/program manager is authorized to conduct operations using identified aircraft maintained in accordance with the CAMP and the limitations specified in these OpSpecs/MSpecs.

C. OpSpec/MSpec D072 CAMP Authorization. Table 1 must contain the following:

1) Each of the aircraft authorized to be maintained in accordance with the CAMP by make, model, and series (M/M/S).

2) The document(s) that encompasses all 10 elements of a CAMP. The certificate holder/program manager may have multiple manuals that encompass the CAMP. The principal inspector (PI) may elect to list all the manuals encompassing the CAMP or if one manual references all the other manuals, then preferably he or she may list only that particular manual.

3) The certificate holder/program manager's assigned number(s) of the CAMP document(s).

NOTE: Title 14 CFR part 125 operators are required to have an inspection program and are not subject to the requirements of a CAMP (refer to part 125, § 125.247). OpSpec/MSpec D072 is issued to parts 91 subpart K (part 91K), 121, and 135 operators with a CAMP requirement.

OPSPEC/MSPEC/LOA D073—APPROVED INSPECTION PROGRAM. Issue D073 to an operator, certificate holder, or A125 LODA holder (125M) who is required to use, or chooses to use, an inspection program approved by the FAA. There are four different applications of OpSpec/MSpec/LOA D073. Each D073 is worded differently to reflect the requirements of the applicable regulation.

A. Different Applications of D073.

1) Title 14 CFR part 91 subpart K (part 91K) – Issue MSpec D073 to authorize an operator to use an Approved Aircraft Inspection Program (AAIP) under § 91.1109(b).

2) Title 14 CFR part 135 – Issue OpSpec D073 to authorize a certificate holder to use an AAIP under § 135.419.

NOTE: You will also issue OpSpec/MSpec D101 through D104 as applicable.

3) Title 14 CFR part 125 – Issue OpSpec D073 to authorize a certificate holder to use an AAIP under § 125.247(a)(3).

4) Title 14 CFR part 125 – Issue LOA D073 to authorize a Letter of Deviation Authority (LODA) holder (125M) to use an approved airplane inspection under § 125.247(a)(3).

B. Inspection Program Requirements. Parts 91K, 135, and 125 (including 125M) require a certificate holder, operator, or A125 LODA holder to include the approved inspection program in its required manual (refer to § 91.1025(L), § 135.419(e), § 135.23(o), and § 125.249(a)(3)). To comply with the regulations and have control of the inspection program, the operator, certificate holder, or A125 LODA holder must either control the section of their manual that contains the inspection program as an approved section, or include the program in a separate manual or document which is part of the certificated holder's manual. Either way, the certificate holder or operator must have a control in place to prevent any changes to the inspection program without prior FAA approval.

OPSPEC D074—RELIABILITY PROGRAM AUTHORIZATION: ENTIRE AIRCRAFT.

A. OpSpec D074 Authorization. OpSpec D074 is authorized for operators subject to a Continuous Airworthiness Maintenance Program (CAMP) under 14 CFR part 121 and 14 CFR part 135, § 135.411(a)(2). This OpSpec authorizes the use of a maintenance reliability program that contains standards for determining maintenance intervals and processes. This program controls the inspection, check, overhaul, or restoration times for the entire aircraft and is the sole control as far as OpSpecs are concerned. Each make, model, and series (M/M/S) of aircraft controlled by reliability and its approved reliability document shall be identified in this OpSpec. Guidance for approving a reliability program is found in Volume 3, Chapter 40.

B. Reliability Program Authorization. OpSpec D074, Table 1 must contain the following:

1) The M/M/S of each aircraft controlled by a reliability program; the level of detail in specifying the series of aircraft should match the detail in the operator's program.

2) The document name that encompasses the reliability program and the certificate holder's assigned number(s) of the reliability document.

3) The current revision date of the reliability document, placed in the "Document Date" block.

OPSPEC D075—RELIABILITY PROGRAM AUTHORIZATION: AIRFRAME, POWERPLANT, SYSTEMS, OR SELECTED ITEMS. OpSpec D075 is authorized for operators subject to a Continuous Airworthiness Maintenance Program (CAMP) under 14 CFR part 121 and 14 CFR part 135, § 135.411(a)(2). This OpSpec authorizes the use of a maintenance reliability program containing the standards for determining maintenance intervals and processes. The program controls the inspection, check, overhaul, or restoration time for airframe, powerplant, systems, or individually selected items within a system (hydraulic system, pumps, valves, actuators, etc.) and must be identified in the OpSpecs.

A. Maintenance Time Limitations Section. Airframe, powerplant, systems, or items controlled by reliability will be identified in the "Maintenance Time Limitations" section by an asterisk or other identifier and a note.

B. Referenced Document. If preferred, a certificate holder may reference in the "Maintenance Time Limitations" section a document approved by the Administrator. The referenced document will contain at least that information required by the "Maintenance Time Limitations" section.

C. Program Approval. Guidance for approving this program is found in Volume 3, Chapters 40 and 43.

1) Components not subject to the certificate holder's partial reliability program must be controlled by a time limitations manual or document. This manual or document must be listed in OpSpec D088, Table 1.

2) Table 1 must contain the following:

- The make, model, and series (M/M/S) of each aircraft controlled by a reliability program; the level of detail in specifying the series of aircraft should match the detail in the operator's program;
- The document name that encompasses the partial reliability program, and the certificate holder's assigned number(s) of the partial reliability document; and
- The current revision date of the partial reliability document.

NOTE: Operators authorized OpSpec D075 must be issued OpSpec D088.

NOTE: This OpSpec does not apply to 14 CFR part 125 operators.

OPSPEC/MSPEC D076—SHORT-TERM ESCALATION AUTHORIZATION.

A. OpSpec/MSpec D076. This OpSpec/MSpec is authorized for operators subject to a Continuous Airworthiness Maintenance Program (CAMP) under 14 CFR part 91, § 91.1109; 14 CFR part 121; and 14 CFR part 135, § 135.411(a)(2). OpSpec/MSpec D076 authorizes a certificate holder/program manager to use short-term escalation procedures with aircraft, powerplant, systems, or selected items without preapproval by the principal inspector (PI).

B. Short-Term Escalations. Certificate holders who have short-term escalation procedures incorporated into their reliability program (OpSpec D074) or partial reliability program (OpSpec D075) do not need an OpSpec/MSpec D076 authorization for items covered in those programs. Items not subject to a partial reliability program must have OpSpec/MSpec D076 authorization to use short-term escalations.

NOTE: See Volume 3, Chapter 37.

C. Limitations. Table 1 references the aircraft by make, model, and series (M/M/S) and the limitations (if applicable) placed on that particular M/M/S. The limitations in Table 1 are primarily for airframe check and inspection intervals. Engines and their components, as well as airframe components and appliances, are generally not limited-except for the 10 percent, not to exceed 500 hours.

1) The limitations section of this table is used to restrict a particular M/M/S task below the maximum allowable 10 percent, not to exceed 500 hours. An example would be if an aircraft "A" check has an interval of 200 hours (200 x 10 percent = 20 hours), and the PI limited the "A" check short-term escalation to not exceed 15 hours, then the PI should list that task in Table 1.

2) It can also be used to eliminate certain tasks from being eligible for short-term escalation. An example would be if the operator was not permitted short-term escalations on a particular M/M/S aircraft "B" check.

3) If the limitations section of this table is left blank, then the operator is authorized to short-term escalate all items to the maximum interval described in their manual.

NOTE: If restrictions and eliminations are requested for engine, engine components, airframe components, and appliances, then they may be listed in the limitations for that particular M/M/S as well.

OPSPEC D077—MAINTENANCE CONTRACTUAL ARRANGEMENT AUTHORIZATION: FOR AN ENTIRE AIRCRAFT.

A. OpSpec D077 Authorization. OpSpec D077 is authorized for operators subject to a Continuous Airworthiness Maintenance Program (CAMP) under 14 CFR part 121 and 14 CFR part 135, § 135.411(a)(2). This OpSpec authorizes a certificate holder to use a part 121 or § 135.411(a)(2) certificate holder's approved maintenance program for the maintenance of its entire aircraft. If applicable, this includes participation in the contractor's reliability program (see Volume 3, Chapters 40 and 42). Title 14 CFR part 125, §§ 125.245 and 125.247 authorize the operator subject to an Approved Aircraft Inspection Program (AAIP) under part 125 to enter into a contractual agreement for the accomplishment of maintenance, preventive maintenance (PM), alterations, or required item inspections as identified in the operator's manual.

B. OpSpec D077. Table 1 must contain the following information:

1) Contractor Name and Address. This field must list the contractor with whom the certificate holder has entered into an agreement for the specific maintenance function listed.

2) Contract Date. Self-explanatory.

3) Aircraft Make, Model, and Series (M/M/S). Self-explanatory.

4) Powerplant M/M/S. Self-explanatory.

5) Maintenance Function. List the maintenance function(s) performed per the contract.

OPSPEC D078—MAINTENANCE CONTRACTUAL ARRANGEMENT AUTHORIZATION: FOR SPECIFIC MAINTENANCE.

A. OpSpec D078 Authorization. OpSpec D078 is authorized for operators subject to a Continuous Airworthiness Maintenance Program (CAMP) under 14 CFR part 121 and 14 CFR part 135, § 135.411(a)(2). This OpSpec authorizes a certificate holder to use another part 121 or § 135.411(a)(2) certificate holder's approved maintenance program for specific maintenance functions. This OpSpec identifies the functions to be performed by the contractor on the certificate holder(s) aircraft listed in the table. This OpSpec may be used for one or more contracts, aircraft/engine makes and models, or components (see Volume 3, Chapter 42).

B. OpSpec D078. OpSpec D078 authorizes and identifies the functions to be performed by the contractor on the certificate holder's aircraft listed in the table. Table 1 must contain the following information:

1) Contractor. This field must list the contractor with whom the certificate holder has entered into agreement for the specific maintenance function listed.

2) Contract Number and Contract Date. Self-explanatory.

3) Aircraft Make, Model, and Series (M/M/S). Self-explanatory.

4) Specific Maintenance Function. This field can be as general as stating "All" for the entire aircraft and engines, or it can list specific inspections or checks.

NOTE: This OpSpec only applies to the performance of maintenance and inspections.

OPSPEC D079—RELIABILITY PROGRAM CONTRACTUAL ARRANGEMENT AUTHORIZATION.

A. OpSpec D079 Authorization. This OpSpec authorizes operators subject to a Continuous Airworthiness Maintenance Program (CAMP) under 14 CFR part 121 and 14 CFR part 135, § 135.411(a)(2) to participate in another part 121 or § 135.411(a)(2) contractor's FAA-approved reliability program for its aircraft, powerplant, systems, or selected components (see Volume 3, Chapter 41).

NOTE: Operators authorized under OpSpec D079 will be automatically issued OpSpec D088.

B. OpSpec D079. Table 1 must contain the following information:

1) Contractor. This field must list the contractor with whom the certificate holder has entered into agreement for the specific reliability function listed.

2) Contract Number and Contract Date. Identifying number from contract (if applicable) and date signed.

3) Aircraft Make, Model, and Series (M/M/S). Self-explanatory.

4) Reliability Program Name and Number. Name of program and number assigned by contractor.

5) Reliability Program Date. Date of current revision.

OPSPEC D080—LEASED AIRCRAFT MAINTENANCE PROGRAM AUTHORIZATIONS: U.S.-REGISTERED AIRCRAFT.

A. OpSpec D080 Authorization. This OpSpec authorizes operators subject to a Continuous Airworthiness Maintenance Program (CAMP) under 14 CFR part 121 and 14 CFR part 135, § 135.411(a)(2) to use a lessor's approved maintenance program for the leased aircraft. OpSpec D080 applies only to leases of aircraft intended to return to the lessor at a time specified in the lease.

B. Leased Aircraft Maintenance Program Authorizations. The certificate holder is authorized to maintain the aircraft listed in Table 1 in accordance with the lessor's approved maintenance program for the specific make, model, and series (M/M/S) of aircraft and lease agreements identified in Table 1, except as provided in Table 2.

NOTE: Table 2 identifies specific items that will be maintained in accordance with the certificate holder's approved maintenance program.

NOTE: Specific maintenance program requirements of the certificate holder that are different than the lessor's program will be listed in Table 2.

OPSPEC D081—PARTS POOL AGREEMENT AUTHORIZATION.

A. OpSpec D081 Authorization. This OpSpec authorizes a 14 CFR part 121 certificate holder operating outside the United States under the provisions of part 121, § 121.361(b) to enter into a parts pooling agreement with foreign air carriers or agencies whose employees do not hold U.S. airman certificates (see Volume 3, Chapter 39).

B. Parts Pool Agreement Authorization. Table 1 must list the participants, along with their location, who are eligible to provide parts to the certificate holder.

OPSPEC D082—PRORATED TIME AUTHORIZATION.

A. OpSpec D082 Authorization. This OpSpec authorizes operators subject to a Continuous Airworthiness Maintenance Program (CAMP) under 14 CFR part 121 and 14 CFR part 135, § 135.411(a)(2) to use aircraft for which inspection and overhaul times have been established using the prorating process.

B. Prorated Time Authorization. Table 1 lists each aircraft by registration, serial number, and make, model, and series (M/M/S) that shall be maintained in accordance with the adjusted times identified in the certificate holder's proration document. The table must list the individual proration document number assigned by the air carrier and current effective date.

OPSPEC D083—SHORT-TERM ESCALATION AUTHORIZATION FOR BORROWED PARTS SUBJECT TO OVERHAUL REQUIREMENTS.

A. OpSpec D083 Authorization. This OpSpec authorizes operators subject to a Continuous Airworthiness Maintenance Program (CAMP) under 14 CFR part 121 and 14 CFR part 135, § 135.411(a)(2) relief from approved overhaul time limits when borrowing parts from another certificate holder.

B. A Certificate Holder's Authorization to Use a Borrowed Part. Provided that all of the conditions listed in the OpSpec are met, the certificate holder is authorized to use a borrowed part (overhauled) from another operator when time in service of the available part exceeds the certificate holder's approved overhaul time limit.

OPSPEC D084—SPECIAL FLIGHT PERMIT WITH CONTINUOUS AUTHORIZATION TO CONDUCT FERRY FLIGHTS. This OpSpec authorizes 14 CFR part 119 certificate holders with an approved continuing flight authorization program to issue a special flight permit with continuing authorization to conduct ferry flights. This permit can only be issued under the guidelines set forth in 14 CFR part 21, § 21.197(c).

NOTE: Table 1 must reference the certificate holder's manual(s) that contains the approved continuing flight authorization program.

NOTE: The issuance/authorization of OpSpec D084 does not approve the continuing authorization to conduct a ferry flight program (CAFP) but simply authorizes the use of the procedures listed in Table 1 of OpSpec D084. The certificate holder should have a separate control in place for an acceptance/approval process of their manuals and/or sections of their manual system relating to the CAFP by the FAA.

MSPEC D084—SPECIAL FLIGHT PERMIT WITH CONTINUOUS AUTHORIZATION TO CONDUCT FERRY FLIGHTS. This MSpec authorizes 14 CFR part 91 subpart K (part 91K) program managers subject to a Continuous Airworthiness Maintenance Program (CAMP) under part 91, § 91.1411 to issue a special flight permit with continuing authorization to conduct ferry flights. This permit can only be issued under the guidelines as set forth in 14 CFR part 21, § 21.197(c).

NOTE: Table 1 must reference the certificate holder's manual(s) that contains the policies, procedures, conditions, and limitations necessary to conduct the ferry flight.

NOTE: The issuance/authorization of MSpec D084 does not approve the continuing authorization to conduct a ferry flight program (CAFP) but simply authorizes the use of the procedures listed in Table 1 of MSpec D084. The certificate holder should have a separate control in place for an acceptance/approval process of their manuals and/or sections of their manual system relating to the CAFP by the FAA.

OPSPEC/MSPEC D085—AIRCRAFT LISTING. Title 14 CFR part 119 certificate holders conducting operations under 14 CFR part 121, 125, or 135 who are required to maintain liability insurance coverage under Title 49 of the United States Code (49 U.S.C.) § 41112 and its implementing regulation, 14 CFR part 205, § 205.4(b), must list their authorized aircraft in these OpSpecs/MSpecs. Program managers are required to list all aircraft in MSpec D085.

A. Liability Insurance Coverage. Section 205.4(b) states, in part, that "aircraft shall not be listed in the carrier's operations specifications with the FAA and shall not be operated unless liability insurance coverage is in force." All part 119 certificate holders conducting operations noted above are required to have continuous, effective liability insurance coverage that is in effect to ensure that the public is protected in the event of an accident. Effective liability insurance coverage is a condition for them to hold Office of the Secretary of Transportation (OST) economic authority.

B. Non-Use Suspension. For air carrier certificate holders who request to hold the liability insurance coverage in suspension on aircraft for specific periods of non-use, refer to OpSpec A501 and OpSpec D106.

C. Certificate Holders Operating Aircraft Under 14 CFR Part 125. These certificate holders are not required to maintain liability insurance; although, they are required to list authorized airplanes by type and registration number on their OpSpecs, per part 125, § 125.31(b)(2).

D. Aircraft Not in Revenue Service. The aircraft listing may also contain the certificate holder's aircraft that are not in revenue service. These aircraft include, but are not limited to, those that are undergoing heavy maintenance, in storage, awaiting parts, newly purchased, or being altered. However, the certificate holder must have procedures specifying how these aircraft are handled while they are conformed to regulatory requirements for operations in air transportation and before they are released for operations in air transportation. This applies to part 119 certificate holders conducting operations under 14 CFR part 121, 125, or 135, regardless of the kind of operations conducted.

NOTE: Aircraft that the certificate holder newly acquires may be placed on the aircraft listing, without a conformity inspection, to permit the certificate holder to operate the aircraft under 14 CFR part 91 and to conduct those maintenance, preventive maintenance (PM), or alteration activities necessary to conform the aircraft to regulatory requirements for operations in common carriage. Under no circumstance should an air carrier certificate holder who is authorized to conduct operations under either part 121 or 135 be issued a deviation under § 125.3. The prohibitive language of part 119, § 119.5(h) does not permit any aviation safety inspector (ASI) to issue such a deviation to an Air Carrier Certificate holder authorized to conduct common carriage operations under part 121 or 135.

E. Aircraft Used Under an Interchange Agreement.

1) Due to compatibility problems with the Web-based Operations Safety System (WebOPSS), the use of the asterisk to identify aircraft used under an interchange agreement must be discontinued. Other methods are under study and will be incorporated into WebOPSS and this chapter when completed. Until that time, the FAA asks that the interchange aircraft be placed at the end of the OpSpec D085 aircraft listing for ease of identification.

2) The table(s) must list the aircraft registration number, serial number, nose number (if applicable), and aircraft make, model, and series (M/M/S).

OPSPEC D086—MAINTENANCE PROGRAM AUTHORIZATION FOR TWO-ENGINE AIRPLANES USED IN EXTENDED RANGE OPERATION.

A. OpSpec D086 Authorization. This OpSpec authorizes operators subject to a Continuous Airworthiness Maintenance Program (CAMP) under 14 CFR parts 121 and 135, as applicable, to use certain approved aircraft in Extended Operations (ETOPS). Airworthiness aviation safety inspectors (ASI) must be familiar with OpSpec B342 and shall coordinate with the principal operations instructor (POI) before approving OpSpec D086 (see Volume 4, Chapter 6).

B. Maintenance Program Authorization for Two-Engine Airplanes Used in ETOPS. Complete the following tables as described below:

1) Table 1 must include the approved aircraft registration number, airplane make, model, and series (M/M/S), and the maximum diversion time in minutes.

2) Table 2 identifies the reliability program, which continually assesses the propulsion and airframe systems with the extended-range fleet. The following must be included:

a) Airplane M/M/S. Self-explanatory.

b) Powerplant M/M/S. Self-explanatory.

c) Program Name. Enter the name of the reliability program.

d) Program Number. Assigned number of the program by the air carrier.

e) Program Date. Enter date of approval.

3) Table 3 identifies the Configuration, Maintenance, and Procedures (CMP) document for ETOPS and must include the following:

a) Airplane M/M/S. Self-explanatory.

b) Powerplant M/M/S. Self-explanatory.

c) FAA-Approved CMP Document Name/Number. Enter document name and assigned number for which the CMP is contained.

d) Document Date. Enter the date that the above document was originally approved.

e) FAA-Approved Amendment No. Enter the current amendment number and date, if applicable, for the above approved document.

OPSPEC D087—MAINTENANCE PROGRAM AUTHORIZATION FOR LEASED FOREIGN-REGISTERED AIRCRAFT OPERATED BY U.S. AIR CARRIERS. This OpSpec authorizes certificate holders under 14 CFR part 121 and 135 to maintain leased, foreign-registered aircraft by adopting the foreign air carrier's maintenance program.

NOTE: If a principal inspector (PI) approves a revision to an adopted foreign maintenance program, that approval must be done on an individual basis by amending this OpSpec.

A. OpSpec D087 Authorization. Table 1 must be completed as follows:

1) Foreign Air Carrier. Enter the name of the foreign air carrier.

2) Aircraft M/M/S. Self-explanatory.

3) Identification/Registration Number. Self-explanatory.

4) Lease Date. Self-explanatory.

5) Maintenance Program Revision Number/Date. Revision number and date of the foreign air carrier's leased maintenance program—original approval of the maintenance program must be identified with "ORIG."

NOTE: If during the lease period a part 121 or 135 certificate holder operating a foreign aircraft has accepted the foreign air carrier's maintenance inspection program as its own, all parties are reminded that the foreign-registered aircraft is still subject to the country of origin's rules and regulations. If the foreign airworthiness certificate is enforcing the maintenance inspection, program and time limitations cannot be altered by the part 121 or 135 certificate holder lessee without prior approval of the country of origin's Civil Aviation Authority (CAA). If a change is requested, it must be through the foreign air carrier who will request the change. If the foreign CAA agrees to the changes, the approval is forwarded to the part 121 or 135 certificate holder via the foreign air carrier. The part 121 or 135 certificate holder will make a request for any changes through the FAA certificate-holding district office (CHDO). If all parties agree, the PIs may amend the inspection time and this OpSpec.

B. Differences Between the Certificate Holder's Adopted and Approved Programs. Table 2 identifies differences/exceptions between the certificate holder's adopted maintenance programs for leased, foreign-registered aircraft and the certificate holder's approved program (if applicable). Each item or system that is considered a difference or exception must be listed in Table 2 as follows:

1) Air Transport Association of America (ATA) Chapter. Enter the ATA code for the applicable item or system.

2) Primary Maintenance Process. List maintenance requirements for the item or system (overhaul, inspect, replace, etc.).

3) Inspection and Check Period. List inspection and/or check frequency/interval.

4) Other. This field can be used for general comments.

NOTE: Do not combine items into one row of this table. Each item must be broken down into ATA chapters and listed individually in this table.

OPSPEC D088—MAINTENANCE TIME LIMITATIONS AUTHORIZATION.

A. OpSpec D088 Authorization. This OpSpec authorizes operators subject to a Continuous Airworthiness Maintenance Program (CAMP) under 14 CFR parts 91 subpart K (part 91K) and 121, and operators subject to an inspection program under 14 CFR part 125, § 125.247 (as well as operators under 14 CFR part 135, § 135.411(a)(2) and those who have an Approved Aircraft Inspection Program (AAIP) requiring a maintenance time limitations manual) to use a separate approved document or approved section in the certificate holder/operator's manual. This OpSpec is issued to approve the time limitations of each maintenance task not covered under the partial reliability or Continuing Analysis and Surveillance System (CASS) program (part 125 is not included in the reliability statement) (see Volume 3, Chapters 40 and 43 for further information).

NOTE: This OpSpec may be issued in conjunction with OpSpec D075, as necessary.

B. Parts 91K, 121, and 135 Maintenance Time Limitations Authorization. Table 1 must include the following:

1) Aircraft Make, Model, and Series (M/M/S). Self-explanatory.

2) Manual/Document Name and Number. Manual name and air carrier assigned number for that manual that houses the FAA-approved time limitations for maintenance tasks not covered under the partial reliability program.

3) Manual/Document Date. List the date of the current revision of the manual.

C. Part 125 and 125M (A125 LODA) Maintenance Time Limitations Authorization: Aircraft Engine Maintenance/Overhaul Program. Table 1 must include the following:

- Registration Number,
- Serial Number,
- Approved Engine Overhaul Period, and
- Support Manual or Document.

OPSPEC/MSPEC D089—MAINTENANCE TIME LIMITATIONS SECTION.

A. Operators Subject to a Continuous Airworthiness Maintenance Program (CAMP). This OpSpec authorizes operators subject to a CAMP under 14 CFR part 91, § 91.1109; 14 CFR part 121; and 14 CFR part 135, § 135.411(a)(2) requiring a maintenance time limitations manual to use a separate approved document or approved section in the certificate holder/program manager's manual (see Volume 3, Chapter 43).

NOTE: In compliance with 14 CFR part 119, § 119.49(a)(8), Time Limitations OpSpecs issued to part 135 certificate holders conducting commuter operations with aircraft not maintained under a CAMP will be issued OpSpec D073, D101, D102, D103, D104, and D105, as applicable.

B. Referenced Document(s). The referenced documents must be approved by the Administrator and must have procedures for affecting revisions and revision control acceptable to the Airworthiness principal inspector (PI) (refer to § 119.49(a)(8)).

NOTE: Each certificate holder conducting domestic, flag, or commuter operations must obtain OpSpecs containing all of the following: time limitations, or standards for determining time limitations, for overhauling, inspecting, and checking airframes, engines, propellers, rotors, appliances, and emergency equipment.

C. Maintenance Time Limitations Section. Table 1 must include the following:

1) Aircraft Make, Model, and Series (M/M/S). Self-explanatory.

2) Manual/Document Name and Number. Manual name and assigned air carrier number for that manual that houses the FAA-approved time limitations for maintenance tasks.

3) Manual/Document Date. List the date of the current revision of the manual.

NOTE: This OpSpec is to be issued only if the operator is not issued OpSpec D074 or D075.

OPSPEC D090—COORDINATING AGENCIES FOR SUPPLIER'S EVALUATION (C.A.S.E.).

A. OpSpec D090 Authorization. This OpSpec authorizes operators subject to a Continuous Airworthiness Maintenance Program (CAMP) under 14 CFR part 121 and 14 CFR part 135, § 135.411(a)(2) to become a member of the Coordinating Agencies for Supplier's Evaluation (C.A.S.E.) program.

B. Authorizing Certificate Holders to Use C.A.S.E. This OpSpec authorizes certificate holders to use C.A.S.E. as a means of qualifying a vendor for services, parts, and materials to satisfy the requirements of part 121, § 121.373 and/or § 135.431, as applicable.

OPSPEC D091—REQUIREMENTS: AIR CARRIER MAINTENANCE PROVIDERS. The new term "essential maintenance" has replaced "substantial maintenance." The newly revised version of OpSpec D091, which has two tables, has replaced the former three-table addition. The new design specifically addresses the Required Inspection Items (RII). This OpSpec is issued to air carriers certificated under 14 CFR part 119 conducting operations under 14 CFR part 121.

A. Essential Maintenance. Essential maintenance encompasses any RII onwing accomplishment after any maintenance or alteration. This maintenance, if done improperly or if improper parts or materials were used, would result in a failure effect that would endanger the continued safe flight and landing of the airplane. Essential maintenance is the accomplishment of the designated air carrier inspection item onwing. Essential maintenance does not encompass any offwing maintenance.

B. Guidance.

1) Before issuing an initial OpSpec D091, or when the certificate holder adds an essential maintenance provider to the certificate holder's maintenance provider listing required by part 121, § 121.369(a), ensure that the certificate holder has conducted an onsite audit of each essential maintenance provider or the added essential maintenance provider, as appropriate. The certificate holder's onsite audit should, at least, determine that the essential maintenance provider has:

- An organization that is adequate to perform essential maintenance, and
- Competent personnel and adequate facilities and equipment for the proper performance of essential maintenance.

2) In addition, ensure that the certificate holder has provisions within its Continuing Analysis and Surveillance System (CASS) to determine that each essential maintenance provider listed in its maintenance provider listing performs essential maintenance in accordance with the certificate holder's maintenance program and manual.

C. Further Information. See Volume 6, Chapter 2, Section 40 for information about the meaning of essential maintenance and for additional, more detailed guidance for issuing this OpSpec.

D. Accomplishing Maintenance with Other Maintenance Providers. The certificate holder is authorized to make arrangements with other persons (maintenance providers) to accomplish maintenance, preventive maintenance (PM), or alterations on its behalf.

E. Listing Maintenance Providers. The certificate holder shall list in their manual system (not in this OpSpec) the maintenance providers required by § 121.369(a). Each maintenance provider shall be listed by corporate or company name, business address and location, and a general description of the contracted work, using the following categories:

1) Aircraft Maintenance.

a) Heavy Maintenance. An example of heavy maintenance is the inspection and repair of the aircraft airframe performed at specified time intervals. These intervals are based

upon the guidelines of the aircraft manufacturer, National Aviation Authority (NAA), FAA, or European Aviation Safety Agency (EASA), as further refined by the airline/operator. Scheduled inspections are typically based on a fixed number of flight hours. There are four levels of inspection for commercial jet aircraft, usually termed "A," "B," "C," and "D" checks. "A" and "B" checks are normally considered part of line maintenance. "C" and "D" checks are classified as "heavy maintenance."

b) Line Maintenance. Line maintenance includes light regular checks that ensure the aircraft is fit for flight, troubleshooting, defect rectification, and component replacement. Aviation Maintenance Technicians (AMT) diagnose and correct issues on the aircraft and carry out these checks on an ad hoc basis or scheduled interval. Line maintenance consists of three primary activity categories: transit checks, daily/weekly checks, and "A" checks. Historically, line maintenance included "B" checks, which rarely exist these days.

2) Aircraft Engine Work. This includes off airplane maintenance of aircraft engines.

3) Propeller Work. This includes off airplane maintenance of propellers and propeller control components.

4) Component Work. This includes off airplane maintenance of individual components.

5) Specialized Service. This includes services such as x-ray, plating, eddy current, painting, shot peening, plasma spray, composite structures maintenance, weighing, welding, etc.

F. Table 1. The certificate holder shall provide its assigned principal maintenance inspector (PMI) with the maintenance provider listing referenced in § 121.369(a). Additionally, if this listing is incorporated within a larger manual or series of manuals, the certificate holder shall provide the appropriate volume and section number to indicate where the maintenance provider listing can be found (refer to the Table 1 sample below).

Table 1

Document Name and Number	Volume/Chapter/Section

G. Table 2. The certificate holder shall make the location and name(s) of the individual(s) responsible for the listing referenced in subparagraph E1)b) available to the assigned PMI. The phone number, email address, and physical mailing address must be provided for the named individual(s).

Table 2

Name of Individual	Phone	E-Mail Address	Mailing Address	Date Updated

OPSPEC/MSPEC D092—AIRPLANES AUTHORIZED FOR OPERATIONS IN DESIGNATED REDUCED VERTICAL SEPARATION MINIMUM AIRSPACE.

A. OpSpec/MSpec D092 Authorization. This OpSpec/MSpec authorizes operators under 14 CFR parts 91 subpart K (part 91K), 121, 125, and 135 to allow certain approved aircraft to operate in Reduced Vertical Separation Minimum (RVSM) airspace.

B. Authorization for Airplanes Used for Operations in RVSM Airspace. Table 1 must include the registration number and the make, model, and series (M/M/S) of the aircraft approved for RVSM airspace.

3-567 OPSPEC D093—HELICOPTER NIGHT VISION GOGGLE OPERATIONS (HNVGO) MAINTENANCE PROGRAM.

A. OpSpec D093 Authorization. This OpSpec is issued to operators authorized to conduct Helicopter Night Vision Goggle Operations (HNVGO) under the limitations and provisions of 14 CFR part 135 and current OpSpec A050 using specific approved aircraft.

B. HNVGO Maintenance Program. OpSpec D093, Table 1 must include the aircraft registration number, serial number, and make, model, and series (M/M/S), and the name of the maintenance document with the current revision number/letter for the Night Vision Imaging System (NVIS). Additionally, the maintenance document(s) for the night vision goggles (NVG) with the current revision number/letter must be listed in the table.

Table 1 – Authorized NVIS and NVG Maintenance Documents

Aircraft Registration Number	Aircraft Serial Number	Aircraft M/M/S	STC Number	Maintenance Document for Aircraft NVIS w/ Revision Number	Maintenance Document for NVG w/ Revision Number

OPSPEC/MSPEC/TSPEC/LOA D095—MINIMUM EQUIPMENT LIST (MEL) AUTHORIZATION.

A. OpSpec/MSpec/TSpec/LOA D095 Authorization. This OpSpec/MSpec/ TSpec/LOA is issued to operators under 14 CFR parts 91, part 91 subpart K (part 91K), 121, 125, 125 Letter of Deviation Authority (A125 LODA) holders, 135, and 142 authorized to use an approved minimum equipment list (MEL).

B. MEL Authorization. This table must list the make, model, and series (M/M/S) of the aircraft authorized to use an MEL. Table 1 is found on authorized D095 for those operators under parts 91, 91K, 121, 125, A125 LODA holders, 135, and 142.

1) Aircraft M/M/S. Must be filled in. Add multiple M/M/S aircraft as required.

2) Limitations and Conditions. Use if appropriate, but not required. One of the uses of this column is to allow for differentiating aircraft by registration number and/or serial

number in cases where just the aircraft M/M/S may not be sufficient to specify particular aircraft affected by the D095.

Table 1 – Parts 91K, 121, 125, A125 LODA Holders, 135, and 142

Aircraft M/M/S	Limitations and Conditions

OPSPEC/MSPEC/LOA D097—AGING AIRCRAFT PROGRAMS. OpSpec/MSpec/LOA D097 is for Aging Aircraft Programs for 14 CFR parts 91K, 121, and 125.

A. Issuance. The issuance of this OpSpec signifies the FAA has reviewed the operator/certificate holder/program manager's policies and procedures incorporated into their maintenance and/or inspection programs for compliance with the Aging Aircraft Program rules. Table 1 of D097 will consist of three columns that list:

- The Aging Aircraft Program rules;
- The manual and section where the policy and procedures are located for the applicable Aging Aircraft Program; and
- The date of the manual and section where the current policy and procedures are located for the applicable Aging Aircraft Program.

NOTE: Figure 3-195 below illustrates a D097 Table 1 that lists the various 14 CFR part rules. The operator/certificate holder/program manager will have a specific OpSpec D097 template for their operation.

Figure 3-195. Sample D097 Table 1 – Aging Aircraft Maintenance Programs

Aging Aircraft Program Rules	Operator/Certificate Holder/Program Manager's Maintenance and/or Inspection Program Policy and Procedures (Manual and Section)	Date
Repairs Assessment for Pressurized Fuselages — § 91.1505, § 121.1107, § 125.505		
Supplemental Inspections — § 121.1109		
Electrical Wiring Interconnection Systems (EWIS) Maintenance Program — § 121.1111		
Fuel Tank System Maintenance Program — § 121.1113		
Flammability Reduction Means — § 121.1117, § 125.509		
Fuel Tank System Inspection Program — § 91.1507, § 125.507		

B. Submission to Principal Inspector (PI) for Review. Initial submission and any later revisions to the operator/certificate holder/program manager's maintenance and/or inspection program policy and procedures must be submitted to the PI for review for compliance with the Aging Aircraft Program rules.

OPSPEC/MSPEC D101—ADDITIONAL MAINTENANCE REQUIREMENTS—AIRCRAFT ENGINE, PROPELLER, AND PROPELLER CONTROL (GOVERNOR).

A. OpSpec/MSpec D101 Authorization. This OpSpec applies to all certificate holders and program managers who maintain aircraft under 14 CFR part 91, § 91.1109 and 14 CFR part 135, § 135.411(a)(1). This includes aircraft subject to an Approved Aircraft Inspection Program (AAIP) under § 135.419 (see Volume 3, Chapter 38 or Volume 2, Chapter 4).

B. Additional Maintenance Requirements. Table 1 must include the following:

- Airplane make, model, and series (M/M/S);
- Engine, propeller, and governor make and model;
- Engine, propeller, and governor maintenance document that contains the additional maintenance requirements;
- Engine, propeller, and governor time in service interval; and
- Limitations and conditions (if applicable).

OPSPEC/MSPEC D102—ADDITIONAL MAINTENANCE REQUIREMENTS—ROTORCRAFT.

A. OpSpec/MSpec D102 Authorization. This OpSpec/MSpec applies to all certificate holders/program managers who maintain aircraft under 14 CFR parts 91, § 91.1109 and 14 CFR part 135, § 135.411(a)(1). This includes aircraft subject to an Approved Aircraft Inspection Program (AAIP) under § 135.419 (see Volume 3, Chapter 38 or Volume 2, Chapter 4).

B. Additional Rotorcraft Maintenance Requirements. Table 1 must include the following:

- Rotorcraft type;
- Engine make and model;
- Engine, rotor main, and auxiliary maintenance document that contains the additional maintenance requirements; and
- Engine time in service interval.

OPSPEC D103—ADDITIONAL MAINTENANCE REQUIREMENTS—SINGLE-ENGINE INSTRUMENT FLIGHT RULES (SEIFR).

A. OpSpec D103 Authorization. This OpSpec applies to all certificate holders maintaining aircraft under 14 CFR part 135. Part 135, § 135.411(c) requires the air carrier that uses a single-engine aircraft in passenger-carrying IFR operations to maintain the aircraft in accordance with § 135.421(c), (d), and (e).

B. Additional SEIFR Maintenance Requirements. Table 1 must include the following:

- Registration number;
- Serial number;
- Aircraft make, model, and series (M/M/S);
- Maintenance instructions/document that contains the additional maintenance requirements; and
- Other limitations as necessary (e.g., engine trend monitoring, oil analysis program, etc.).

OPSPEC/MSPEC D104—ADDITIONAL MAINTENANCE REQUIREMENTS—EMERGENCY EQUIPMENT.

A. OpSpec/MSpec D104 Authorization. This OpSpec/MSpec applies to all certificate holders/program managers maintaining aircraft under 14 CFR part 135, § 135.411(a)(1). This includes aircraft subject to an Approved Aircraft Inspection Program (AAIP) under § 135.419 (see Volume 3, Chapter 38 or Volume 2, Chapter 4).

B. Additional Emergency Equipment Maintenance Requirements. Table 1 must include the following:

- Emergency equipment items;
- Maintenance document that contains the additional maintenance requirements; and
- "Limitations and Provisions" field contains the intervals/frequency of the additional maintenance requirements (in hours, cycles, calendar-time, etc.).

OPSPEC D105—AIR CARRIER EMERGENCY EVACUATION SYSTEMS (EES) MAINTENANCE PROGRAM REQUIREMENTS.

A. OpSpec D105 Authorization. This OpSpec applies to all 14 CFR part 119 certificate holders conducting operations under 14 CFR part 121. The OpSpec must be issued to all air carriers and if their aircraft are not equipped per the Type Certificate Data Sheet (TCDS), then place "NA" in the applicable section of the table. OpSpec D105 contains the conditions and requirements for emergency evacuation systems (EES) that must be met on a continuing basis for all airplanes operated under part 121. This OpSpec is one of the required OpSpecs issued to all certificate holders conducting operations under part 121.

B. Review the Operator's Program. Review the operator's program to ensure that all conditions of this OpSpec are met. If the review is satisfactory, issue the OpSpec.

OPSPEC D106—AIRCRAFT IN LONG-TERM MAINTENANCE OR STORAGE.

A. OpSpec D106 Authorization. This OpSpec applies to all certificate holders maintaining aircraft in accordance with 14 CFR part 121 or 135 who request to hold the liability insurance coverage (required by their economic authority) in suspension on aircraft for specific periods of non-use, such as long-term maintenance or long-term storage (refer to OpSpec A501 and OpSpec D106).

B. Long-Term Maintenance or Storage. Table 1 must contain the following:

1) End of Operation. Enter the day on which the air carrier elects to cease operating the aircraft.

2) Registration Number. Enter the aircraft registration number.

3) Serial Number. Enter the aircraft serial number.

OPSPEC D301—AIRCRAFT NETWORK SECURITY PROGRAM (ANSP) AUTHORIZATION.

A. OpSpec D301. OpSpec D301 is issued to operators who use aircraft with special conditions for electronic information security that requires operator action under 14 CFR parts 121 (includes combined 121/135), 125 (including part 125 Letter of Deviation Authority (A125 LODA) holders), and 129 (only operators with U.S.-registered aircraft). This OpSpec contains the conditions that must be met for a certificate holder to operate their aircraft and lists the reference documents that contain the details of the operator's program.

NOTE: A description of aircraft requiring a special condition can be found in Volume 3, Chapter 61, Section 1.

NOTE: The Aircraft Maintenance Division, Avionics Branch (AFS-360) in cooperation with the Office of Information & Technology (AIT) Security and Privacy Risk Management Staff (AIS-020) will proactively assist the principal avionics inspector (PAI) with program evaluation and approval. AFS-360 will evaluate all initial ANSP program approvals, the addition of fleet types to an existing ANSP, or at the request of the PAI. Changes that are considered routine and do not involve an operator's computer infrastructure can be reviewed and approved by the PAI.

NOTE: Part 129 foreign operators requesting D301 authorization do not require approval from the International Programs and Policy Division (AFS-50).

B. Certificate Holder. The certificate holder is authorized to conduct operations using identified aircraft maintained in accordance with the ANSP and the limitations specified in these OpSpecs.

C. OpSpec D301 ANSP Authorization. Table 1 must contain the following:

1) Each of the aircraft authorized to be maintained in accordance with the ANSP by make, model, and series (M/M/S).

2) The manufacturer's aircraft security document name, number, revision number, and date of revision.

NOTE: The certificate holder's ANSP requires revision within 30 days to incorporate changes when the manufacturer's aircraft security document changes. Reissuance of this OpSpec is required each time the manufacturer's aircraft security document is revised.

3) The document(s) that encompasses all elements of an ANSP. The certificate holder may have multiple manuals that encompass the ANSP. The PAI may elect to list all the manuals encompassing the ANSP or, if one manual references all the other manuals, preferably list only that particular manual.

Figure 3-194. Sample D301 Table 1 – Aircraft Authorized ANSP

Aircraft M/M/S	Manufacturer's Aircraft Security Document Name and Number	Certificate Holder's ANSP
A350-900	A350 XWB Security Handbook, D11040869, V3.1, December 4, 2014	ABC Airlines Company Manual XYZ, Chapter 46, Section 3
B747-8	Boeing Doc. No. D925U723-01, Original, November 11, 2011	ABC Airlines Company Manual XYZ, Chapter 46, Section 2
B787-8	Boeing Doc. No. D615Z008-04, Rev. A, November 25, 2009	ABC Airlines Company Manual XYZ, Chapter 46, Section 1

NOTE: Document revision levels and dates are examples only and do not reflect the current status of manufacturers' documents

OPSPEC D485. DECOMMISSIONED.

OPSPEC E096—AIRCRAFT WEIGHING. This OpSpec authorizes certificate holders operating multiengine aircraft under 14 CFR parts 91 subpart K (part 91K), 121, 125, and 135 to use one of two aircraft Weight and Balance (W&B) control programs.

A. Individual Aircraft Weights. The certificate holder is authorized under part 91K; part 121, § 121.135; part 125, § 125.91(b); and part 135, § 135.185(a) to use individual aircraft weights outlined in the certificate holder's procedures for controlling the empty weight and center of gravity (CG) of its multiengine aircraft.

B. Average Fleet Aircraft Weights. The certificate holder is authorized under part 91K, § 121.153(b), or § 135.185(b)(2) to use average fleet aircraft weights outlined in the operator's W&B control program.

NOTE: This OpSpec does not authorize the use of average fleet aircraft weights for a part 135 reciprocating-powered aircraft of nine or less passenger seats. For further information, see E096 and the current edition of Advisory Circular (AC) 120-27, Aircraft Weight and Balance Control.

C. Procedures. Conduct final review of this OpSpec per the guidance in Volume 3, Chapter 47, Section 1.

D. Individual Aircraft Weight Requirements. The procedures for controlling each individual (multiengine) aircraft empty weight and CG, referenced in Table 1 must include the following:

- List of aircraft by make, model, and series (M/M/S);
- Weighing interval (do not cite regulation); and
- W&B control procedures.

E. Fleet Aircraft Weight Requirements. Fleet aircraft weights outlined in the certificate holder's W&B control program in Table 2 must include the following:

- Aircraft by M/M/S;
- Fleet weighing sample interval; and
- Fleet W&B control program.

NOTE: Parts D and E OpSpecs may be approved only by the assigned Airworthiness principal inspectors (PI) or by aviation safety inspectors (ASI) authorized by the unit supervisor to sign for the PIs in their absence. Specific paragraphs within Part A of the OpSpecs are the joint responsibility of Operations and Airworthiness PIs. Approval of Part A OpSpecs may be indicated by the signature of any one of the three assigned PIs.

RESERVED. Paragraphs 3-922 through 3-985.

VOLUME 5 AIRMAN CERTIFICATION

CHAPTER 2 TITLE 14 CFR PART 61 CERTIFICATION OF PILOTS AND FLIGHT INSTRUCTORS

Section 13 Issue a Gold Seal Flight Instructor Certificate

5-566 PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODE. 1528 (as appropriate, for renewal, reinstatement, added rating, or upon application).

5-567 OBJECTIVE. This task determines if an applicant is eligible for a Gold Seal Flight Instructor Certificate. Successful completion of this task results in the issuance of a Temporary Airman Certificate for a gold seal flight instructor or the denial of a Gold Seal Flight Instructor Certificate.

5-568 GENERAL.

A. Purpose of a Gold Seal Flight Instructor Certificate. Flight Instructor Certificates with distinctive gold seals are issued to instructors who currently meet certain qualifications. These certificates are intended to identify those instructors who have high personal qualifications and good records as active flight instructors. The Federal Aviation Administration (FAA) hopes to issue as many gold seal certificates as possible to provide an incentive for flight instructors to improve their qualifications.

B. Renewal and Eligibility. The holder of a Gold Seal Flight Instructor Certificate who applies for renewal does not need to reestablish his or her eligibility for a gold seal.

C. Issuance. If the applicant meets the criteria stated in subparagraph 5-571E, the aviation safety inspector (ASI) may add a gold seal to the instructor's certificate upon renewal or reinstatement, when adding an additional rating, or upon initial application.

5-569 PREREQUISITES AND COORDINATION REQUIREMENTS.

A. Prerequisites:

- Knowledge of the requirements of Title 14 of the Code of Federal Regulations (14 CFR) part 61 and FAA policies, and
- Qualification as an ASI (Operations) or aviation safety technician (AST).

B. Coordination. This task requires coordination with the:

- Airworthiness unit,
- Airmen records section of the Airmen Certification Branch (AFS-760),
- Enforcement Information System (EIS), and
- Accident Incident Data System (AIDS).

5-570 REFERENCES, FORMS, AND JOB AIDS.

A. References (current editions):

- Title 14 CFR Parts 1, 61, and 91.
- PTRS Procedures Manual (PPM).
- Advisory Circular (AC) 61-65, Certification: Pilots and Flight and Ground Instructors.

B. Forms:

- FAA Form 8060-4, Temporary Airman Certificate (Figure 5-61).
- FAA Form 8710-1, Airman Certificate and/or Rating Application (Figure 5-60).

C. Job Aids. Job Task Analysis (JTA) O3.1.54, Issue a Gold Seal Flight Instructor Certificate.

5-571 PROCEDURES.

A. Schedule an Appointment. An ASI or AST must inform the applicant to bring the following documents to the appointment:

- Flight Instructor Certificate,
- Ground Instructor Certificate,
- Commercial Pilot Certificate with an instrument rating or an Airline Transport Pilot (ATP) Certificate (unrestricted or restricted), and
- A reliable record of flight instruction.

B. The Applicant Arrives for the Appointment.

1) Collect the documents listed above.

2) Open the PTRS Record.

C. Review FAA Form 8710-1.

1) In section I, Application Information, ensure that the applicant has checked the box for "Flight Instructor" and indicated "Initial," "Renewal," or "Reissuance," as appropriate. The applicant should also have inserted the words "Gold Seal" on the line next to the words "Specify other."

2) Check the application for accuracy, using the instructions on the form attachment. The applicant is not to complete section II.

3) In section III, Record of Pilot Time, the applicant must list at least the aeronautical experience required for the Airman Certificate and rating sought. Graduates of 14 CFR part 141 pilot schools or 14 CFR part 142 training centers must provide their aeronautical experience in this section of FAA Form 8710-1, even though the graduation

certificate is evidence of having completed the course of training. If aeronautical experience has no bearing on the airman certification action being sought, then it is not necessary for an applicant to complete section III. For example, with flight instructor renewal applications, flight instructor reinstatement applications, ground instructor qualification applications, pilot type rating applications, and utilization of a Bilateral Aviation Safety Agreement (BASA), aeronautical experience does not have a bearing on the airman certification action, and thus the applicant would not be required to complete section III. However, all applicants are encouraged to complete section III, because the application remains on file with the FAA and can be used to substantiate past aeronautical experience if a person were to ever lose his or her logbook.

D. Verify the Applicant's Identity. Inspect acceptable forms of identification to verify the applicant's identity (see Volume 5, Chapter 1, Section 3). Compare the identification with the personal information provided on FAA Form 8710-1.

1) If the ASI or AST can verify the applicant's identity, continue the issuing process.

2) If the ASI or AST cannot verify the applicant's identity because of a lack of or inadequate identification, explain what types of identification are acceptable. Advise the applicant to return with appropriate identification to reapply.

3) If the applicant's identity appears to be different from the information supplied on FAA Form 8710-1, or if it appears that an attempt at falsification has been made, do not issue FAA Form 8060-4. (See Volume 7, Chapter 6.)

E. Required Criteria. Inspect the applicant's certificates and record of flight instruction to determine if the applicant meets the following criteria at the time of application:

1) Holds a Flight Instructor Certificate and at least a Commercial Pilot Certificate with an instrument rating or an ATP Certificate (unrestricted or restricted) with instrument privileges. Glider flight instructors need not hold an instrument rating;

2) Holds a Ground Instructor Certificate with an advanced or instrument ground instructor rating; and

3) Within the past 24 months, has accomplished one of the following:

- Trained and recommended at least 10 applicants for certificates or ratings, and at least 80 percent of these applicants must have passed the flight test on their first attempt;
- Conducted at least 20 practical tests as a Designated Pilot Examiner (DPE) or 20 graduation tests as chief flight instructor for an approved pilot school course; or
- A combination of the above two (two practical tests equal one trained and recommended applicant).

F. Discrepancies. If a discrepancy that cannot be immediately corrected exists in any of the documents, return the application and all submitted documents to the applicant. Inform

the applicant why he or she is ineligible and explain how the applicant may correct the discrepancies.

G. The Applicant Meets Requirements. If an applicant meets all of the requirements for a Gold Seal Flight Instructor Certificate, the ASI or AST should issue FAA Form 8060-4 with the appropriate flight instructor ratings.

1) Prepare the certificate in duplicate, per Volume 5, Chapter 1, Section 5.

2) Enter the words "Gold Seal" as shown in Figure 5-61, Sample FAA Form 8060-4, Temporary Airman Certificate—Gold Seal Certificate.

3) Number the certificate with the same certificate number that appears on the applicant's superseded Flight Instructor Certificate.

4) Complete the ASI/AST certification section. Sign the reverse side of FAA Form 8710-1.

5) Forward the completed file to AFS-760.

H. Complete the PTRS Record. Complete the PTRS record in accordance with the PPM.

5-572 TASK OUTCOMES. Completion of this task results in either the:

- Issuance of a Temporary Airman Certificate for a gold seal flight instructor, or
- Denial of issuance of a Gold Seal Flight Instructor Certificate.

NOTE: If the ASI or AST denies the applicant a Gold Seal Flight Instructor Certificate, record the action in the PTRS.

5-573 FUTURE ACTIVITIES:

- Renewal of Flight Instructor Certificate.
- Reinstatement of Flight Instructor Certificate.
- Added rating to Flight Instructor Certificate.

Figure 5-60. Reissuance with Gold Seal—Sample FAA Form 8710-1

TYPE OR PRINT ALL ENTRIES IN INK

Form approved OMB No: 2120-0021
Expires 04/30/2018

U.S. Department of Transportation
Federal Aviation Administration

Airman Certificate and/or Rating Application

I. APPLICATION INFORMATION (Mark 'X' in all the blocks applicable to the certificate or rating for which you are applying):

Certificates	Ratings	Other Information/Requests
Pilot: ☐ Student ☐ Recreational ☒ Flight ☐ Private ☐ Commercial ☐ Ground ☐ ATP-Restricted ☐ ATP Instructor:	Category and/or Class: ☐ ASE ☐ AME ☐ Land ☐ Sea ☐ Helicopter ☐ Balloon ☐ Glider ☐ Gyroplane ☐ Airship ☐ Powered-Lift Instrument: ☐ Airplane ☐ Helicopter ☐ Powered-Lift Ground Instructor: ☐ Basic ☐ Advanced ☐ Instrument Type Rating:	☐ Initial ☐ Reexamination ☐ Instrument Proficiency Check ☐ Renewal ☒ Reissuance ☐ Medical Flight Test ☐ Reinstatement ☐ Flight Review ☐ Limitation Removal Specify other: Gold Seal

A. Name (Last, First, Middle)	B. SSN (US Only)	C. Date of Birth (MM/DD/YYYY)	D. Place of Birth (City and State) or (City and Country)
Buford, Ronald Rudyard	Do Not Use	02/14/1983	Pittsburgh, PA

E1. Residential Address (Including City, State, Zip Code, and Country)	E2. Mailing Address (This address will be printed on the permanent airman certificate, if different than block E1.)	F. Citizenship / Nationality	G. Do you read, speak, write, & understand the English language?
7375 Red Greenway Richmond, VA 23250		☒ USA ☐ Other specify:	☒ Yes ☐ No

H. Height (inches)	I. Weight (pounds)	J. Hair Color	K. Eye Color	L. Sex
74	190	Blond	Blue	☒ Male ☐ Female

M. Do you hold, or have you ever held an FAA pilot certificate?	M1. Grade of Certificate	M2. Certificate Number	M3. Date Issued
☒ Yes ☐ No	Commercial	1234567	08/05/2005
N. Do you hold, or have you ever held a Medical Certificate?	N1. Class of Certificate	N2. Name of Medical Examiner	N3. Date Issued
☒ Yes - FAA ☐ Yes - Foreign ☐ No	Second Class	John D. Smith, MD	04/19/2013

O. Have you ever been convicted for violation of any Federal or State statutes relating to narcotic drugs, marijuana, or depressant or stimulant drugs or substances? *Do not include alcohol offenses involving motor vehicle mode of transportation as those offenses are covered on the FAA Form 8500-8, Airman Medical Application Form.* ☐ Yes ☒ No — O1. Date of Final Conviction

II. CERTIFICATE OR RATING APPLIED FOR ON BASIS OF:

☐ A Completion of Test or Activity	1. Aircraft to be used (If flight test required)	2. Total time in this aircraft and/or approved FFS or FTD (hours):	a. Flight Time	b. As Pilot-in-Command
☐ B U.S. Military Competence or Experience	1. U.S. Military Service	2. Date Rated in U.S. Military		3. Rank or Grade
	4. List Military aircraft for which you have:	a. logged pilot time or provided flight instruction (IP) (make and model)	b. passed an Instrument Proficiency Check (Pilot or CFI) - (make and model)	
☐ C Graduate of an Approved Course	1. Training Agency or Training Center:	1a. Name	1b. Location (City and State)	1c. Certification Number / 1d. Part 142? ☐ Yes ☐ No
	2. Curriculum From Which Graduated (Level, Category, and Class and/or Type Rating)			3. Date
☐ D Holder of Foreign License	1. Country that Issued the Foreign Pilot License	2. Grade of Foreign Pilot License	3. Foreign Pilot License Number	
	4. Ratings Held on Foreign Pilot License (FAA equivalent only – e.g. ASEL, AMEL, Type rating, etc.)			
☐ E Air Carrier Training Program	1. Name of Air Carrier	2. Date Training Began	3. Accomplished Training Program ☐ Initial ☐ Upgrade ☐ Transition ☐ Recurrent	

III. RECORD OF PILOT TIME *(Do not write in the shaded areas)*

	Total	Instruction Received	Solo	PIC and SIC	Cross Country Instruction Received	Cross Country Solo	Cross Country PIC/SIC	Instrument	Night Instruction Received	Night Take-Off / Landing	Night PIC/SIC	Night Take-Off/Landing PIC/SIC
Airplanes				PIC / SIC			PIC / SIC				PIC / SIC	PIC / SIC
Rotorcraft				PIC / SIC			PIC / SIC				PIC / SIC	PIC / SIC
Powered Lift				PIC / SIC			PIC / SIC				PIC / SIC	PIC / SIC
Gliders				PIC / SIC								
Lighter-Than-Air				PIC / SIC			PIC / SIC				PIC / SIC	PIC / SIC
FFS												
FTD												
ATD												

Number of				
	Flights	Aero-Tows	Ground Launches	Powered Launches
Gliders				
Lighter-than-air				

Class Totals

	SEL	MEL	SES	MES
Airplane PIC				
Airplane SIC				
Rotorcraft	Helicopter		Gyroplane	
Lighter-than-air	Balloon		Airship	
	SE	ME	Helicopter	
FFS				
FTD				
ATD				

IV. Have you previously failed the practical test for the certificate or rating for which you are applying? ☐ Yes ☒ No If Yes, enter date of last disapproval

V. APPLICANT'S CERTIFICATION: I certify that all statements and answers provided by me on this application form are complete and true to the best of my knowledge and I agree that they are to be considered as part of the basis for issuance of any FAA certificate to me. I have received the Pilot's Bill of Rights Written Notification of Investigation that accompanies this form. I have also read and understand the Privacy Act statement that accompanies this form.

Signature of Applicant	Date (MM/DD/YYYY)
Ronald Buford	09/01/2013

FAA Form 8710-1 (07-17) Supersedes Previous Edition

Page 1 of 2

Figure 5-60. Reissuance with Gold Seal—Sample FAA Form 8710-1 (Continued)

Instructor Action

☐ Accepted Student Pilot Application – I have personally reviewed the applicant's information and verified the person meets the eligibility requirements and verified applicant's identification ☐ Rejected Student Pilot Application
☐ Flight Review ☐ Instrument Proficiency Check ☐ Recommendation - I have personally instructed the applicant and consider this person ready to take the test.

Date	Authorized Flight Instructor's Signature (Print Name and Sign)	Flight Instructor Certificate Number	Certificate Expiration Date

Air Agency's Recommendation

The applicant has successfully completed our _____ course, and is recommended for certificate or rating without further practical test.

Date	Agency Name and Number	Official Signature

Designated Examiner or Airman Certification Representative Report

☐ Student Pilot Certificate Issued (Copy attached)
☐ I have personally reviewed this applicant's pilot logbook and/or training record, and I certify that the individual meets the applicable requirements of 14 CFR Part 61 for the certificate or rating sought.
☐ I have personally reviewed this applicant's graduation certificate, and found it to be appropriate and in order, and have returned the certificate.
☐ I have personally tested and/or verified this applicant in accordance with pertinent procedures and standards with the result indicated below.
☐ I have personally delivered the Written Notification under the Pilot's Bill of Rights to the applicant.
☐ Approved – Temporary Certificate Issued (Original Attached) ☐ Disapproved – Disapproval Notice Issued (Original Attached)

Location of Test (Name of Facility or Airport, City, State)	Duration of Test: Ground / Oral	FFS / FTD	Flight

Certificate or Rating Being Applied For (Grade, Category, Class and/or Type Rating)	Type(s) of Aircraft Used	Registration Number(s)

Date	Examiner's Signature (Print Name & Sign)	Certificate Number	Designation Number	Designation Expires

Evaluator's Record (Use for All ATP Certificate(s) and/or Type Rating(s))

	Inspector	Examiner	Signature and Certificate Number	Date
Ground / Oral	☐	☐		
Approved FFS/FTD Check	☐	☐		
Aircraft Flight Check	☐	☐		
Advanced Qualification Program	☐	☐		

Aviation Safety Inspector or Technician Report

I have personally tested this applicant in accordance with or have otherwise verified that this applicant complies with, pertinent procedures, standards, policies, and or necessary requirements with the result indicated below. (The approved box need only checked if the Inspector is the one that issued the temporary airman certificate)
☒ I have personally delivered the Written Notification under the Pilot's Bill of Rights to the applicant.
☒ Approved – Temporary Certificate Issued (Original Attached) ☐ Disapproved – Disapproval Notice Issued (Original Attached)

Location of Test (Name of Facility or Airport, City, State)	Duration of Practical Test: Ground / Oral	FFS / FTD	Flight

Certificate or Rating Being Applied For (Grade, Category, Class and/or Type Rating)	Type(s) of Aircraft Used	Registration No.(s)

Certification Activities:
☐ Examiner's Recommendation Provided/Reviewed ☐ Accepted ☐ Rejected
☐ Student Pilot Certificate Issued
☒ Reissue or exchange of pilot, CFI, or G.I. certificate
☐ Change of name, nationality, gender or date of birth
☐ SIC Type Rating issued under § 61.55(b) (Part 91)
☐ Ground Instructor Certificate Issued ☐ Basic ☐ Advanced ☐ Instrument
☐ Flight Instructor Certificate Issued ☐ Initial ☐ Renewal ☐ Reinstatement
Instructor Renewal Based On: ☐ Activity ☐ Training Course ☐ Test ☐ Duties and Responsibilities ☐ Military Instructor Proficiency Check
☐ Certificate or Rating Based on Approved FAA Qualification Criteria Not Identified on Page 1
☐ Special medical test conducted – report forwarded to issuing medical office or AAM-300
☐ Special Test-Reexamination (44709) conducted ☐ Approved ☐ Disapproved

Training Course (FIRC) Name	Graduation Certificate Number	Date of FIRC Graduation Certificate

Date	Inspector's Signature (Print Name & Sign)	Certificate Number	FAA Office (e.g. SO-15, WP-19)
09/01/2013	John Doe *John Doe*	7654321	EA-21

Attachments:
☐ Student Pilot Certificate (Copy)
☐ College Transcript (Official)
☐ ATP CTP Graduation Certificate
☐ Knowledge Test Report
☒ Temporary Airman Certificate
☐ Notice of Disapproval
☒ Superseded Airman Certificate

Airman's Identification (ID) (US driver's license or passport recommended)	Applicant Information (required if printed on 2 pages)
Form of ID: VA Driver's License	Name: Buford, Ronald Rudyard
ID Number (If issued by State, include State): A1234567	Date of Birth: 02/14/1983
Expiration Date (must be valid): 02/14/2019	Certificate Number: 1234567
Telephone Number: 555-555-5555	E-Mail Address: rbuford@yahoo.com

☒ Meets Aviation English Language Standard ☐ Does Not Meet Aviation English Language Standard ☐ Referred to FSDO for Aviation English Language Standard Determination
REMARKS:

FAA Form 8710-1 (07-17) Supersedes Previous Edition Page 2 of 2

Figure 5-61. Sample FAA Form 8060-4, Temporary Airman Certificate—Gold Seal Certificate

I. UNITED STATES OF AMERICA
DEPARTMENT OF TRANSPORTATION – FEDERAL AVIATION ADMINISTRATION
ii. TEMPORARY AIRMAN CERTIFICATE

III. CERTIFICATE NO. 5124435CFI

THIS CERTIFIES THAT IV. GLORIA ANN MAJORS
1508 WILLIAMS LANE
V. PRESCOTT, CA 95127

DATE OF BIRTH	HEIGHT	WEIGHT	HAIR	EYES	SEX	NATIONALITY VI.
01-08-74	65 IN.	130	BLACK	BROWN	F	USA

IX. has been found to be properly qualified and is hereby authorized in accordance with the conditions of issuance on the reverse of this certificate to exercise the privileges of

FLIGHT INSTRUCTOR

RATING AND LIMITATIONS
XII. AIRPLANE SINGLE ENGINE
INSTRUMENT AIRPLANE

VALID ONLY WHEN ACCOMPANIED BY PILOT CERTIFICATE NUMBER 005124435; EXPIRES 03-31-2008

XIII.

THIS IS ☐ AN ORIGINAL ISSUANCE ☒ A REISSUANCE OF THIS GRADE OF CERTIFICATE: GOLD SEAL

DATE OF SUPERSEDED AIRMAN CERTIFICATE: 03-13-2004

BY DIRECTION OF THE ADMINISTRATOR

X. DATE OF ISSUANCE: 03-30-2006

X. SIGNATURE OF EXAMINER OR INSPECTOR: James E. Smith
JAMES E. SMITH, WP03

EXAMINER'S DESIGNATION NO. OR INSPECTOR'S REG. NO.: 001234567

DATE DESIGNATION EXPIRES: --

vii. AIRMAN'S SIGNATURE: Gloria Ann Majors

SAMPLE

RESERVED. Paragraphs 5-574 through 5-590.

VOLUME 5 AIRMAN CERTIFICATION

CHAPTER 5 TITLE 14 CFR PART 65—AIRMEN OTHER THAN FLIGHT CREWMEMBERS

Section 4 Certificate Part 65 Repairman/Added Privileges

5-1191 PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODES.

A. Maintenance: 3510.

B. Avionics: 5510.

5-1192 OBJECTIVE. This section provides guidance and describes procedures for certificating applications for repairman certificates and added privileges in accordance with Title 14 of the Code of Federal Regulations (14 CFR) part 65, § 65.103.

5-1193 GENERAL.

A. Eligibility. Applicants for repairman certification are employed by repair stations or air carriers. Practical experience of at least 18 months or formal training appropriate for the position, as well as the satisfaction of the Administrator, are the basis for issuance of a repairman certificate. Applicants must be at least 18 years of age and able to read, write, speak, and understand English.

B. Personnel Requirements. According to 14 CFR part 121, § 121.709; part 135, § 135.443; and part 145, § 145.159, an applicant may choose to use repairmen to meet the applicable personnel requirements within the air carrier or repair station. This use is limited to the specific job for which the air carrier or repair station has employed the person to perform or supervise.

1) Repairman certificates are not required for repair stations located outside the United States.

2) An air carrier or repair station may assign an applicant employee to a position requiring at least one of the following:

- Responsibility for the work of a shop or department that performs maintenance;
- Authorization to sign the Airworthiness Release, Maintenance Record Entry according to the air carrier's manual, or authorization for return to service for the repair station in accordance with the Repair Station Manual (RSM); or
- Performance of inspections required by the air carrier's manual, if applicable.

3) A repairman employed by an air carrier that also holds a repair station certificate may apply for one certificate if the duties are the same in both operations. The Airmen Certification Branch (AFS-760) will issue one certificate with the same privileges listing each

operation in the limitations section. If a repairman is employed at either the operator or the repair station and subsequently wishes to be added to the other, certification will be handled as an added privilege.

4) A repairman employed and certificated by more than one repair station or by more than one operator, where the employers are distinctly different business entities, will need a separate airman certificate for each repair station or operator.

5) A repairman employed by a repair station using stations at different locations may serve in any station in that system in accordance with § 145.107(b).

C. Required Documentation. With each request for a certificate/rating, an applicant should submit the following:

1) One copy of Federal Aviation Administration (FAA) Form 8610-2, Airman Certificate and/or Rating Application, with items I through IV completed. Applicants should check the box for "Repairman Certificate" and indicate the privileges sought.

2) Pilot's Bill of Rights (PBR) Written Notification of Investigation (FAA Order 8900.1, Volume 14, Chapter 1, Section 3, Figure 14-1-3B, Sample Written Notification to an Airman Applicant).

3) A positive form of picture identification, with current name (e.g., a State-issued driver's license, passport, or U.S. military identification), presented in person at the time of application and temporary certificate issue. Applicants must provide a signature and a physical address where they can be located. Aviation safety inspectors (ASI) should record the identification method in the "Remarks" section on the back of FAA Form 8610-2 along with any noted expiration date.

4) A letter of recommendation from the applicant's employer clearly stating that the applicant meets the requirements of § 65.101. The letter should describe the specialized jobs the applicant will perform or supervise as a repairman.

D. Ratings. Ratings for an applicant employed by an air carrier or repair station should coincide with ratings issued at the repair station limited to the specific job for which the person is employed to perform or supervise.

1) In no instance should anyone issue a repairman certificate with an airframe and/or powerplant rating to circumvent the process of obtaining a mechanic certificate. If someone has issued a repairman certificate with airframe and/or powerplant ratings, request that the airman surrender the certificate. Issue a repairman certificate with the appropriate privileges and limitations.

2) Reserve repairman certificates for applicants that have special skills, e.g.:

- Argon heliarc welding,
- Cylinder plating,
- Nondestructive testing,

- Propeller overhaul,
- Electrical system analysis and repair (reserve this type of certificate for specific systems only, such as flight guidance data bus and power distribution), or
- Radio and/or instrument repair (for these repairman certificates, you may enter the applicable privileges as "radio and instrument" or "radio" or "instrument").
- This list is not all-inclusive. It provides examples of skills whose scope is in keeping with a repairman rating.

5-1194 COORDINATION REQUIREMENTS. This task may require coordination between maintenance and avionics ASIs.

5-1195 REFERENCES, FORMS, AND JOB AIDS.

A. References (current editions):

- Advisory Circular (AC) 65-24, Certification of a Repairman (General).
- Volume 14, Chapter 1, Section 3, Providing Written Compliance Philosophy Explanation and Pilot's Bill of Rights Notification.
- FAA Order 8900.2, General Aviation Airman Designee Handbook.

B. Forms:

- FAA Form 8610-2, Airman Certificate and/or Rating Application.
- FAA Form 8060-4, Temporary Airman Certificate.
- PBR Written Notification of Investigation (FAA Order 8900.1, Volume 14, Chapter 1, Section 3, Figure 14-1-3B, Sample Written Notification to an Airman Applicant).

C. Job Aids:

- Table 5-4, Instructions for Completing FAA Form 8610-2.
- Figure 5-137A, Sample Temporary Airman Certificate (Repairman).
- Figure 5-137B, Sample Application Form (Repairman).
- Figure 5-137C, Sample Letter of Recommendation (Repairman).
- Figure 5-138, Instructions for Completing a Temporary Airman Certificate.
- Job Task Analysis (JTA) 3.1.23, Issue a Repairman Certificate or Added Privilege.

5-1196 PROCEDURES.

A. Verify Eligibility. Ensure that the applicant is at least 18 years of age and reads, writes, speaks, and understands English.

NOTE: All applicants for airman certificates must apply in person and present positive identification at the time of application. Acceptable forms of positive

identification include the applicant's current name (e.g., a State-issued driver's license, passport, or U.S. military identification). Record the method of identification in the "Remarks" section of FAA Form 8610-2, along with any noted expiration date, and ensure that the applicant signs the form.

B. Review Application and Letter of Recommendation.

1) Ensure that the applicant marks the box for "Repairman Certificate" and indicates the privilege(s) sought on the front of FAA Form 8610-2. Determine if the applicant meets the requirements of part 65.

NOTE: AFS-760 no longer requires that the "Applicant's Certification," A or B, on the reverse side of FAA Form 8610-2, be filled out for a repairman certificate unless the date of issue on the temporary certificate and the applicant's certification in block IV are not the same.

NOTE: The date on the temporary certificate and the date of the applicant's certification statement on either the front side (section IV) or back side (A and B) of FAA Form 8610-2 (as applicable) must coincide.

NOTE: The temporary certificate FAA Form 8060-4 provided to the applicant may be completed in dark ink and handwritten; however, the temporary certificate provided to AFS-760 must be typewritten.

2) Verify that the letter of recommendation contains the following elements:

- A statement certifying that the applicant meets the requirements of the privilege(s)/limitation(s) sought (e.g., "John Doe has met the requirements under 14 CFR § 65.101."), and
- A statement recommending the applicant for the privilege(s)/limitation(s) sought (e.g., "Mr. John Frank Johnson is being recommended for radio and instrument ratings.").

3) Ensure the repairman ratings shown on the temporary airman certificate match the ratings shown in the letter of recommendation.

NOTE: "Duties" do not need to be shown in the letter of recommendation, only the appropriate repairman ratings that coincide with the repairman ratings sought and shown on the FAA Form 8060-4.

4) It is acceptable for the letter of recommendation to show the applicant's identification method.

5) FAA inspectors must complete their portion of the documentation of the applicant's receipt of the written notifications (FAA Order 8900.1, Volume 14, Chapter 1, Section 3, Figure 14-1-3B) regardless of whether the applicant signs the acknowledgment of receipt.

Table 5-4. Instructions for Completing FAA Form 8610-2

Section I – Applicant Information:

A. Name: First, Middle, Last – Applicant must enter his/her legal name.
B. Social Security Number – Disclosure of the Social Security number is optional; however, *item B cannot be left blank*. Enter a U.S. Social Security number, "DO NOT USE," or "NONE."
C. DOB – Applicant must enter his/her date of birth using 8-digit format Month/Day/Year (MM/DD/YYYY).
D. Height – Applicant must enter his/her height in inches.
E. Weight – Applicant must enter his/her weight in pounds.
F. Hair – Applicant must spell out his/her hair color. Acceptable colors are bald, brown, black, blond, gray, and red.
G. Eyes – Applicant must spell out his/her eye color. Acceptable colors are brown, black, blue, hazel, gray, and green.
H. Sex – Enter M for male or F for female.
I. Nationality (Citizenship) – Applicant enters the country in which he/she maintains citizenship. If dual citizenship, enter one on the application and the certificate will show the other as a limitation (e.g., "Dual citizenship includes Canada.").
J. Place of Birth – Applicant enters the city and State if born in the United States. If the city is unknown, enter the county and State. If the applicant was born outside the United States, enter the name of the city and country, or province and country. If the applicant was not born in a city and country or a province and country, enter that information in the "REMARKS" area.
K. Permanent Mailing Address – Applicant enters the number and street, city, State, and ZIP Code.

NOTE: A post office address is not acceptable for the purpose of applying for an airman certificate, unless the applicant resides on a rural route, a boat, or in some other manner that requires the use of a post office box, rural route, or a personal mailbox for an address. If the applicant uses a P.O. Box, rural route, personal mailbox, or business address as the preferred mailing address, the applicant must furnish a map or written directions to his/her residence or furnish the actual residence address.

NOTE: These directions are not required for APO/FPO type addresses.

L. Have you ever had an airman certificate suspended or revoked? – Applicant must check either the YES box or the NO box. (Refer to 14 CFR part 65, § 65.11.)
M. Do you now, or have you ever, held an FAA airman certificate? – Applicant must check either the YES box or the NO box. If YES, specify the type of certificate held.
N. Have you ever been convicted for violation of any federal or state statutes pertaining to narcotic drugs, marijuana, and depressant or stimulant drugs or substances? – Applicant must check either the YES box or the NO box. If YES, the applicant must give the DATE OF FINAL CONVICTION using 8-digit format Month/Day/Year (MM/DD/YYYY). Refer to § 65.12.

Section II – Certificate or Rating Applied for on Basis of:
The applicant shall check Box C – Letter of Recommendation.
Section III – Record of Experience:
The applicant completes the "FROM" and "TO" boxes (under "Dates: Month and Year") by entering his/her dates of employment, using 6-digit format Month/Year (MM/YYYY). The applicant must have at least 18 months of experience or formal training acceptable to the Administrator to be eligible for a repairman certificate. NOTE: If the dates are close to the 18-month requirement, AFS-760 requires the 8-digit format Month/Day/Year (MM/DD/YYYY) that will have to be handwritten in. The applicant then enters the employer's name and location (city and State) and the type of work performed. If the applicant is applying based on formal training, then he/she should indicate a statement in this area or as an attachment.
Section IV – Applicant's Certification:
Item A – Signature: The applicant signs FAA Form 8610-2 as he/she normally signs his/her name above or beside his/her typed or printed name. For verification purposes, the inspector will require the applicant to present a current photo ID (e.g., a State-issued driver's license, military ID, passport, etc.). Record the name and method used for verification in the "REMARKS" section. NOTE: If the applicant uses a State-issued driver's license as the verification method, the "REMARKS" section must include the State that issued the license and expiration date.

5-1197 TASK OUTCOMES.

A. Complete the PTRS Record.

B. Issue Certificate. When you have determined that the applicant meets all the requirements for certification, sign the application as approved and complete FAA Form 8060-4 in duplicate.

NOTE: The inspector's approval date must be the same date as shown on the temporary certificate, using 8-digit format Month/Day/Year (MM/DD/YYYY) for both dates.

1) The term "Pending" on FAA Form 8060-4 is a valid certificate number when the applicant has not held a permanent numbered certificate. Otherwise, enter the permanent certificate number.

2) Do not use Social Security numbers.

NOTE: The reverse side of FAA Form 8060-4 contains conditions of issuance and further states it is an interim certificate subject to approval of the FAA pending issue of a certificate of greater duration. As such, the FAA considers the use of "Pending" during this interim period equivalent to a digital numbered certificate for the purpose of the recording requirements found in 14 CFR part 43.

3) Check the "Airman Information" portion of the National Vital Information Subsystem (NVIS) to determine whether the applicant already possesses a certificate. An applicant seeking added privileges to a specific certificate must surrender the applicable superseded certificate held at the time of application approval.

4) Give the applicant a copy of FAA Form 8060-4. Both the applicant and the ASI must print and sign this form.

5) Complete the "FAA Inspector's Report" portion on the reverse side of FAA Form 8610-2. Ensure you have marked the "Approved" box, along with the approval date (same date and 8-digit format as the temporary airman certificate), inspector's printed name, signature, and the FAA district office. Ensure you have shown the airman's method of identification in the "Remarks" section.

NOTE: If the FAA Form 8610-2 is on a two-page application (duplex printing was not used), ensure the airman's name, certificate number or pending, and date of birth is annotated on the second page.

NOTE: Mark the "Approved" box when the temporary certificate is issued.

6) Send the following to AFS-760:

- The original FAA Form 8610-2,
- The letter of recommendation,
- The airman certificate (for an added privilege, as applicable),
- PBR Written Notification of Investigation, and
- The original FAA Form 8060-4.

C. Deny Certificate. If you disapprove the application, return it to the applicant with a letter explaining the denial. The ASI must sign, date, enter the "FAA District Office" identifier and check the "Disapproved" box within the "FAA Inspector's Report" area on page 2 of the FAA Form 8610-2.

5-1198 FUTURE ACTIVITIES.

A. Records Review. Review repair station and air carrier records to determine if the scope of the applicant's employment is consistent with the job described in the letter of recommendation.

B. Surrendered Certificates. Send airman certificates surrendered in accordance with § 65.15(c) to AFS-760 with a brief statement relating to the circumstances.

NOTE: Due to the new scanning system at AFS-760, you must annotate all cancellation requests with only one airman per page. AFS-760 can no longer accept a list of repairmen for cancellation. AFS-760 will return all lists to the Flight Standards District Office (FSDO) for correction.

C. Change of Address, Name, Gender, or Nationality.

1) Change of Address. The holder of an airman certificate issued under part 65 must notify the FAA in writing within 30 days after any change in permanent mailing address. The certificate holder may submit the change of address by using Aeronautical Center (AC) Form 8060-55, Change of Address, a letter, or the online services on the AFS-760 website (http://www.faa.gov/licenses_certificates/airmen_certification/). Also, ensure the certificate holder furnishes directions or a map if using a post office box or rural route.

2) Change of Name/Nationality/Date of Birth (DOB)/Gender. The applicant must first make an appointment with an FAA inspector. The applicant must complete FAA Form 8610-2 (sections I and IV). The inspector will identify and notate the required documentation presented in the remarks block of FAA Order 8610-2. The latest required documentation can be found at the following website: https://www.faa.gov/licenses_certificates/airmen_certification/name_change/.

D. Reconstruction of Lost Certification Files.

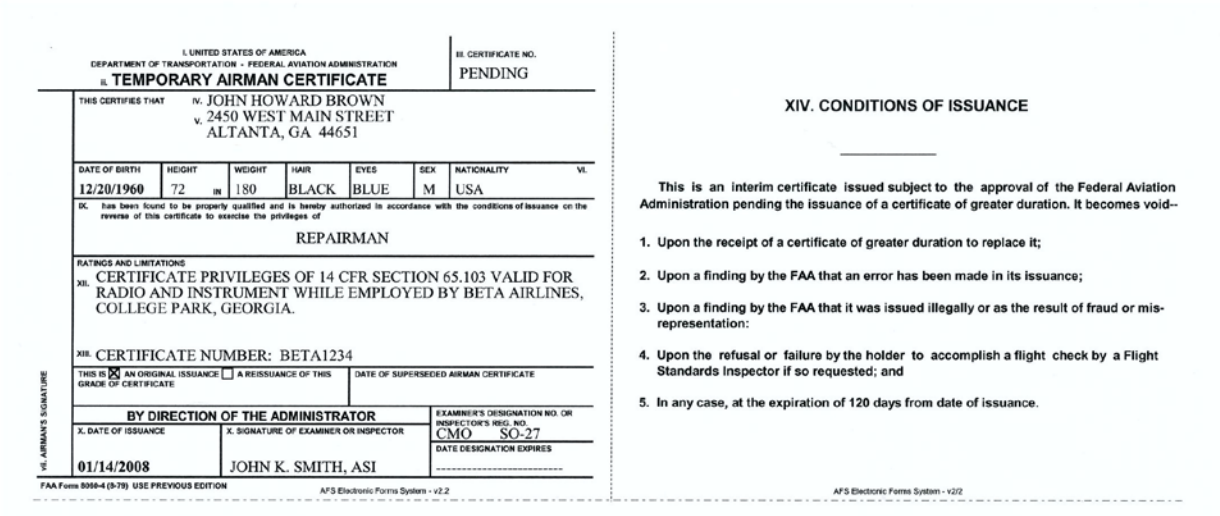
1) A copy of the original FAA Form 8610-2 and FAA Form 8060-4, with signature on both forms, is required. If no copy exists, provide the information that appeared on the original application on a new FAA Form 8610-2 and FAA Form 8060-4, complete with new signatures but with the original dates (applicant and inspector), and a PBR Written Notification of Investigation.

2) In the upper right-hand block of FAA Form 8610-2, place the wording "Reconstructed File" in red ink.

3) Forward all information regarding the certification file through the FSDO to: FAA, Attn: Airmen Certification Branch (AFS-760), P.O. Box 25082, Oklahoma City, OK 73125-0082.

NOTE: You do not need to mail an emergency field-issue temporary certificate with the reconstructed file package. You can maintain these at the FSDO.

Figure 5-137A. Sample Temporary Airman Certificate (Repairman)



I. UNITED STATES OF AMERICA
DEPARTMENT OF TRANSPORTATION - FEDERAL AVIATION ADMINISTRATION
II. TEMPORARY AIRMAN CERTIFICATE

III. CERTIFICATE NO.
PENDING

THIS CERTIFIES THAT IV. JOHN HOWARD BROWN
V. 2450 WEST MAIN STREET
ALTANTA, GA 44651

DATE OF BIRTH	HEIGHT	WEIGHT	HAIR	EYES	SEX	NATIONALITY VI.
12/20/1960	72 IN	180	BLACK	BLUE	M	USA

IX. has been found to be properly qualified and is hereby authorized in accordance with the conditions of issuance on the reverse of this certificate to exercise the privileges of

REPAIRMAN

RATINGS AND LIMITATIONS
XII. CERTIFICATE PRIVILEGES OF 14 CFR SECTION 65.103 VALID FOR RADIO AND INSTRUMENT WHILE EMPLOYED BY BETA AIRLINES, COLLEGE PARK, GEORGIA.

XIII. CERTIFICATE NUMBER: BETA1234

THIS IS [X] AN ORIGINAL ISSUANCE [ ] A REISSUANCE OF THIS GRADE OF CERTIFICATE
DATE OF SUPERSEDED AIRMAN CERTIFICATE

BY DIRECTION OF THE ADMINISTRATOR

X. DATE OF ISSUANCE	X. SIGNATURE OF EXAMINER OR INSPECTOR	EXAMINER'S DESIGNATION NO. OR INSPECTOR'S REG. NO.
01/14/2008	JOHN K. SMITH, ASI	CMO SO-27
		DATE DESIGNATION EXPIRES ----------

VII. AIRMAN'S SIGNATURE

FAA Form 8060-4 (5-79) USE PREVIOUS EDITION
AFS Electronic Forms System - v2.2

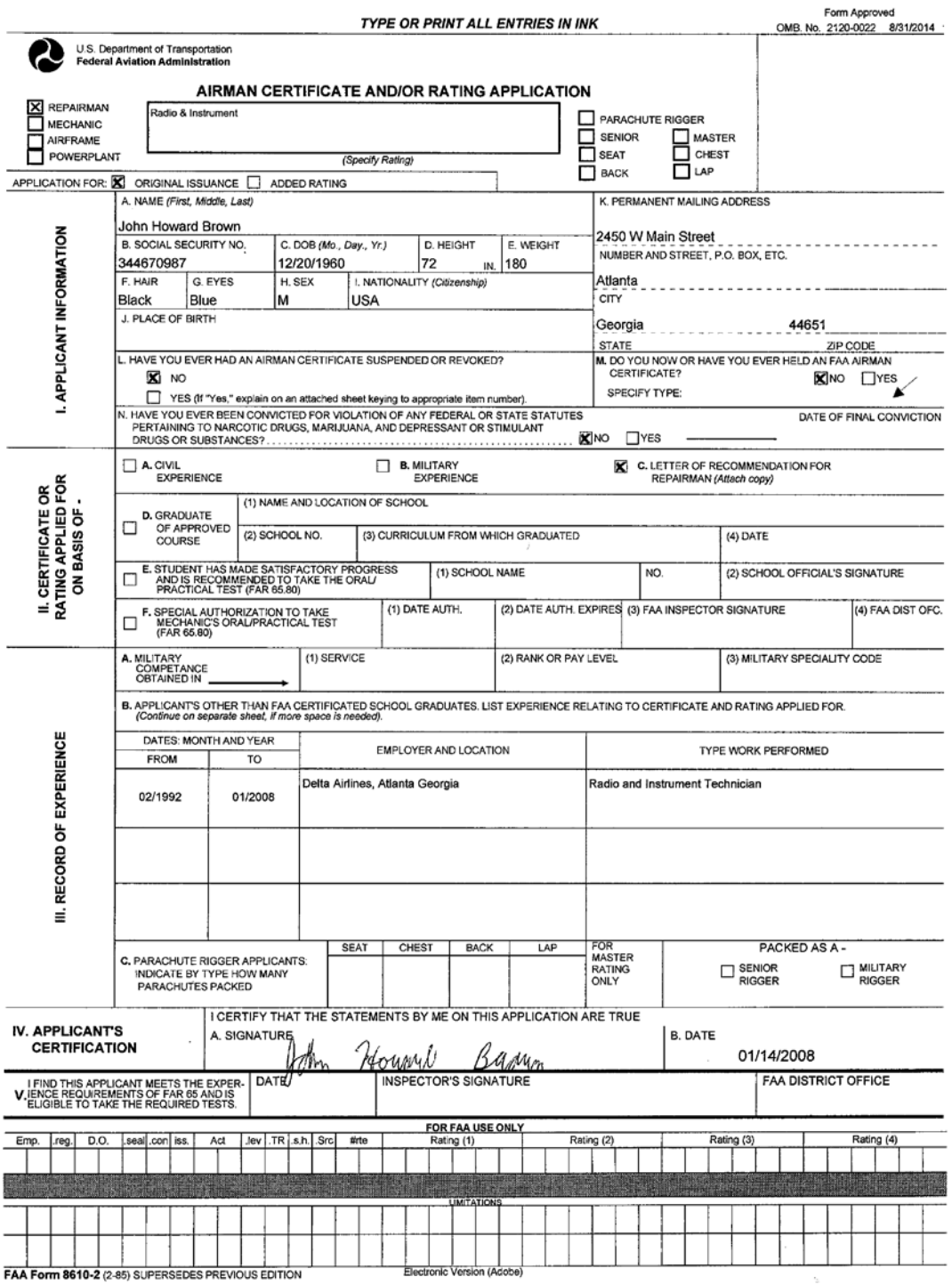
XIV. CONDITIONS OF ISSUANCE

This is an interim certificate issued subject to the approval of the Federal Aviation Administration pending the issuance of a certificate of greater duration. It becomes void--

1. Upon the receipt of a certificate of greater duration to replace it;
2. Upon a finding by the FAA that an error has been made in its issuance;
3. Upon a finding by the FAA that it was issued illegally or as the result of fraud or mis-representation:
4. Upon the refusal or failure by the holder to accomplish a flight check by a Flight Standards Inspector if so requested; and
5. In any case, at the expiration of 120 days from date of issuance.

AFS Electronic Forms System - v2/2

Figure 5-137B. Sample Application Form (Repairman)



TYPE OR PRINT ALL ENTRIES IN INK

Form Approved
OMB No. 2120-0022 8/31/2014

U.S. Department of Transportation
Federal Aviation Administration

AIRMAN CERTIFICATE AND/OR RATING APPLICATION

☒ REPAIRMAN
☐ MECHANIC
☐ AIRFRAME
☐ POWERPLANT

Radio & Instrument
(Specify Rating)

☐ PARACHUTE RIGGER
☐ SENIOR ☐ MASTER
☐ SEAT ☐ CHEST
☐ BACK ☐ LAP

APPLICATION FOR: ☒ ORIGINAL ISSUANCE ☐ ADDED RATING

I. APPLICANT INFORMATION

A. NAME (First, Middle, Last): John Howard Brown

B. SOCIAL SECURITY NO.: 344670987
C. DOB (Mo., Day., Yr.): 12/20/1960
D. HEIGHT: 72 IN.
E. WEIGHT: 180
F. HAIR: Black
G. EYES: Blue
H. SEX: M
I. NATIONALITY (Citizenship): USA
J. PLACE OF BIRTH:

K. PERMANENT MAILING ADDRESS
2450 W Main Street
NUMBER AND STREET, P.O. BOX, ETC.
Atlanta
CITY
Georgia 44651
STATE ZIP CODE

L. HAVE YOU EVER HAD AN AIRMAN CERTIFICATE SUSPENDED OR REVOKED?
☒ NO
☐ YES (If "Yes," explain on an attached sheet keying to appropriate item number).

M. DO YOU NOW OR HAVE YOU EVER HELD AN FAA AIRMAN CERTIFICATE? ☒ NO ☐ YES
SPECIFY TYPE:

N. HAVE YOU EVER BEEN CONVICTED FOR VIOLATION OF ANY FEDERAL OR STATE STATUTES PERTAINING TO NARCOTIC DRUGS, MARIJUANA, AND DEPRESSANT OR STIMULANT DRUGS OR SUBSTANCES? ☒ NO ☐ YES
DATE OF FINAL CONVICTION

II. CERTIFICATE OR RATING APPLIED FOR ON BASIS OF -

☐ A. CIVIL EXPERIENCE
☐ B. MILITARY EXPERIENCE
☒ C. LETTER OF RECOMMENDATION FOR REPAIRMAN (Attach copy)

☐ D. GRADUATE OF APPROVED COURSE
(1) NAME AND LOCATION OF SCHOOL
(2) SCHOOL NO.
(3) CURRICULUM FROM WHICH GRADUATED
(4) DATE

☐ E. STUDENT HAS MADE SATISFACTORY PROGRESS AND IS RECOMMENDED TO TAKE THE ORAL/PRACTICAL TEST (FAR 65.80)
(1) SCHOOL NAME
NO.
(2) SCHOOL OFFICIAL'S SIGNATURE

☐ F. SPECIAL AUTHORIZATION TO TAKE MECHANIC'S ORAL/PRACTICAL TEST (FAR 65.80)
(1) DATE AUTH.
(2) DATE AUTH. EXPIRES
(3) FAA INSPECTOR SIGNATURE
(4) FAA DIST OFC.

III. RECORD OF EXPERIENCE

A. MILITARY COMPETANCE OBTAINED IN →
(1) SERVICE
(2) RANK OR PAY LEVEL
(3) MILITARY SPECIALITY CODE

B. APPLICANT'S OTHER THAN FAA CERTIFICATED SCHOOL GRADUATES. LIST EXPERIENCE RELATING TO CERTIFICATE AND RATING APPLIED FOR. (Continue on separate sheet, if more space is needed).

DATES: MONTH AND YEAR FROM	TO	EMPLOYER AND LOCATION	TYPE WORK PERFORMED
02/1992	01/2008	Delta Airlines, Atlanta Georgia	Radio and Instrument Technician

C. PARACHUTE RIGGER APPLICANTS: INDICATE BY TYPE HOW MANY PARACHUTES PACKED

SEAT	CHEST	BACK	LAP

FOR MASTER RATING ONLY
PACKED AS A - ☐ SENIOR RIGGER ☐ MILITARY RIGGER

IV. APPLICANT'S CERTIFICATION

I CERTIFY THAT THE STATEMENTS BY ME ON THIS APPLICATION ARE TRUE
A. SIGNATURE: John Howard Brown
B. DATE: 01/14/2008

V. I FIND THIS APPLICANT MEETS THE EXPERIENCE REQUIREMENTS OF FAR 65 AND IS ELIGIBLE TO TAKE THE REQUIRED TESTS.
DATE
INSPECTOR'S SIGNATURE
FAA DISTRICT OFFICE

FOR FAA USE ONLY

Emp.	reg.	D.O.	seal	con	iss.	Act	Jev	TR	s.h.	Src	#rte	Rating (1)	Rating (2)	Rating (3)	Rating (4)

LIMITATIONS

FAA Form 8610-2 (2-85) SUPERSEDES PREVIOUS EDITION
Electronic Version (Adobe)

Figure 5-137B. Sample Application Form (Repairman) (Continued)

Results of Oral and Practical Tests

MECHANIC

I. GENERAL - Airframe and powerplant

ORAL TEST PASS ☐ EXPIRATION DATE: FAIL ☐

QUES. NO.

PRACTICAL TEST PASS ☐ EXPIRATION DATE: FAIL ☐

PROJ. NO.

II. AIRFRAME STRUCTURES

ORAL TEST PASS ☐ EXPIRATION DATE: FAIL ☐

QUES. NO.

PRACTICAL TEST PASS ☐ EXPIRATION DATE: FAIL ☐

PROJ. NO.

III. AIRFRAME SYSTEMS AND COMPONENTS

ORAL TEST PASS ☐ EXPIRATION DATE: FAIL ☐

QUES. NO.

PRACTICAL TEST PASS ☐ EXPIRATION DATE: FAIL ☐

PROJ. NO.

IV. POWERPLANT THEORY AND MAINTENANCE

ORAL TEST PASS ☐ EXPIRATION DATE: FAIL ☐

QUES. NO.

PRACTICAL TEST PASS ☐ EXPIRATION DATE: FAIL ☐

PROJ. NO.

V. POWERPLANT SYSTEMS AND COMPONENTS

ORAL TEST PASS ☐ EXPIRATION DATE: FAIL ☐

QUES. NO.

PRACTICAL TEST PASS ☐ EXPIRATION DATE: FAIL ☐

PROJ. NO.

PARACHUTE RIGGER

TYPE			
	SEAT	PASS ☐	FAIL ☐
	BACK	PASS ☐	FAIL ☐
	CHEST	PASS ☐	FAIL ☐
	LAP	PASS ☐	FAIL ☐
		PASS ☐	FAIL ☐

REMARKS

Georgia Driver's License
#4UR123456
Expires 12/31/2018

Page 2 John Howard Brown
12/20/1960

DESIGNATED EXAMINER'S REPORT

I have personally tested this applicant in accordance with pertinent procedures and standards, and

I HAVE INDICATED THE RESULT AS: ☐ APPROVED *(Temporary Certificate Issued)* ☐ APPROVED *(Temporary Certificate **NOT** Issued)* ☐ DISAPPROVED ☐ FAR 65.80 - ORAL/PRACTICAL PASSED

ATTACH-MENTS: ☐ REPORT OF WRITTEN TEST ☐ SUPERSEDED CERTIFICATE ☐ LETTER ☐ FAA FORM 8610-2 ☐ TEMPORARY CERTIFICATE ☐ SEAL SYMBOL CARD

DATE TEST COMPLETED	EXAMINER'S SIGNATURE	DESIGNATION NO.

APPLICANT'S CERTIFICATION

THIS BLOCK MUST BE COMPLETED BY THE APPLICANT AT THE TIME OF ISSUANCE OF TEMPORARY CERTIFICATE (FAA FORM 8060-4)

A. HAVE YOU EVER HAD AN AIRMAN CERTIFICATE SUSPENDED OR REVOKED? ☐ NO ☐ Yes If "Yes," explain on an attached sheet.

B. HAVE YOU EVER BEEN CONVICTED FOR VIOLATION OF ANY FEDERAL OR STATES STATUTES PERTAINING TO NARCOTIC DRUGS, MARIJUANA, DEPRESSANT OR STIMULANT DRUGS OR SUBSTANCES? ☐ NO ☐ YES → DATE OF FINAL CONVICTION

I CERTIFY THAT THE STATEMENTS BY ME ARE TRUE.

A. SIGNATURE **B.** DATE

FAA INSPECTOR'S REPORT

I HAVE -
☒ EXAMINED THIS APPLICANT'S PAPERS.
☐ PERSONALLY TESTED THIS APPLICANT IN ACCORDANCE WITH PERTINENT PROCEDURES AND STANDARDS.

WITH THE INDICATED RESULT -
☒ APPROVED
☐ DISAPPROVED

PARACHUTE SEAL SYMBOL ASSIGNED _____
☐ ANSWER SHEET GRADED (Military Competency)

DATE	INSPECTOR'S SIGNATURE	FAA DISTRICT OFFICE
01/14/2008	Nesley Crudup	SO-27

Figure 5-137C. Sample Letter of Recommendation (Repairman)

XYZ Airlines
1234 Airport Road
Anywhere, USA 23250

Phone: (404) 305-7200
Fax: (404) 305-7201

Mr. Joe Inspector
FAA FSDO EA 21
0000 Huntsman Rd
Richmond, VA 23250

XYZ Airlines would like to recommend John Howard Brown for certification as a Repairman with ratings of Radio and Instrument.

Mr. Brown has demonstrated his abilities in the areas of radio components and instrument components. His duties and responsibilities include technical supervision of technicians performing repairs at this location.

Mr. Brown meets the qualification requirements of Title 14 of the Code of Federal Regulations (14 CFR) part 65, § 65.101.

Sincerely,

[Signature]

Figure 5-138. Instructions for Completing a Temporary Airman Certificate

To issue FAA Form 8060-4, Temporary Airman Certificate, for an application to work at a repair station/air carrier, fill out the form as indicated below:

A. In Item III, type the word "Pending." As of June 2002, all original certificates will be assigned a unique certificate number. Enter "Pending" if original. A unique 9-digit certificate number will be assigned; do not use a Social Security number as a certificate number.

B. In Item IX, type the word "Repairman."

C. In Item XII, type the following: "Certificate privileges of 14 CFR part 65, § 65.103 valid for [applicable privileges] while employed by [name of repair station or air carrier, city, State]."

D. In Item XIII, type the repair station or air carrier certificate number.

E. Check the box for an original issuance or the box for a reissuance of certificate, whichever is applicable.

F. If an added rating or an exchange, ensure the date of superseded certificate is shown.

G. In Item X, ensure the date of issuance is the same as the inspector's approval date in the "FAA Inspector's Report."

H. In Item X, ensure the inspector printed his/her name, signed his/her name, and provided the region identifier and FAA district office identification.

I. The term "PENDING" on the FAA Form 8060-4 is a valid certificate number when the applicant has not held a permanent numbered certificate. Otherwise, enter the permanent certificate number.

Forward all information regarding the certification file through the FSDO to:

FAA
Airmen Certification Branch, AFS-760
P.O. Box 25082
Oklahoma City, OK 73125-0082

RESERVED. Paragraphs 5-1199 through 5-1215.

VOLUME 5 AIRMAN CERTIFICATION

CHAPTER 5 TITLE 14 CFR PART 65—AIRMEN OTHER THAN FLIGHT CREWMEMBERS

Section 6 Certificate Repairman for Light-Sport Aircraft (§ 65.107)

5-1246 PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODES.

A. Maintenance: 3527.

B. Avionics: 5527.

5-1247 OBJECTIVE. This section provides guidance for the issuance of Repairman Certificates for light-sport aircraft (LSA) and the cancellation of surrendered certificates.

5-1248 GENERAL. The Federal Aviation Administration (FAA) may issue Repairman Certificates for the following LSA classes:

- Airplane,
- Glider,
- Gyroplane,
- Lighter-than-air aircraft,
- Powered parachutes, and
- Weight-shift-control aircraft.

NOTE: The FAA will only issue a Title 14 of the Code of Federal Regulations (14 CFR) part 65, § 65.107 certificate with an inspection rating containing a gyroplane class aircraft to an airman that owns a gyroplane that was originally certificated under 14 CFR part 21, § 21.191(i)(1) prior to January 31, 2008.

A. Definitions. For the purpose of this section, the following definitions apply:

1) Experimental Light-Sport Aircraft (ELSA). An ELSA is an aircraft issued an experimental certificate under § 21.191(i).

2) Special Light-Sport Category Aircraft (SLSA). Called “special” by industry, an SLSA is an aircraft issued a Special Airworthiness Certificate under § 21.190.

B. Ratings. The FAA may issue the following ratings for Repairman Certificates for LSA under § 65.107:

1) Inspection Ratings.

a) Inspection ratings are limited to aircraft with an ELSA airworthiness certificate that the applicant owns. The classes of eligible aircraft are:

- Airplane,
- Glider,
- Gyroplane,
- Lighter-than-air aircraft,
- Powered parachutes, and
- Weight-shift-control aircraft.

b) The class, registration number, and serial number will identify the owner's aircraft on the Repairman Certificate. The Repairman Certificate can list more than one class if the repairman accomplishes required class training and owns the additional aircraft.

NOTE: A § 65.107 certificate with an inspection rating containing a gyroplane class aircraft may be issued to a new gyroplane owner, provided the original gyroplane certificate met § 21.191(i)(1) requirements, and all other § 65.107 certificate requirements with an inspection rating have been met.

2) Maintenance Ratings.

a) The FAA issues maintenance ratings for the following SLSA:

- Airplane,
- Weight-shift-control aircraft,
- Powered parachutes,
- Lighter-than-air aircraft, and
- Glider.

b) The Repairman Certificate will identify the class of SLSA to be inspected or maintained. The Repairman Certificate can list more than one class if the repairman accomplishes required training.

NOTE: The FAA will not issue a maintenance rating for gyroplane class because gyroplanes do not have a § 21.190 certificate.

C. Certificates. The FAA issues two kinds of airworthiness certificates to LSA:

1) The operating limitations for ELSA require that they have an annual condition inspection every 12 calendar-months. The following people may perform this inspection:

- The owner who has a Repairman Certificate with an inspection rating, and the Repairman Certificate identifies that aircraft by class, registration, and serial number;
- A repairman with a maintenance rating for the appropriate class of ELSA;

- A mechanic with Airframe and Powerplant (A&P) ratings who meets the requirements of § 65.81 for the appropriate class of ELSA; or
- An appropriately rated 14 CFR part 145 repair station.

2) SLSA may be operated for private use or for flight training, rental, or towing operations for hire. Aircraft used for flight training and towing require a 100-hour inspection.

a) One of the following people must inspect and maintain the SLSA:

- A repairman with a maintenance rating for the appropriate class of LSA;
- A mechanic with A&P ratings who meets the requirements of § 65.81 for the appropriate class of SLSA; or
- An appropriately rated part 145 repair station.

b) The FAA will not issue an SLSA Special Airworthiness Certificate for gyroplane class because § 21.190 does not allow it.

NOTE: To maintain SLSA, part 145 repair stations, A&P mechanics, and light-sport repairmen must have the necessary data and tools available to maintain the appropriate class of SLSA (i.e., airplane, weight-shift-control, lighter-than-air, powered parachute, or glider).

5-1249 LIGHT-SPORT REPAIRMAN ELIGIBILITY REQUIREMENTS. The applicant must be:

- A U.S. citizen or a citizen of a foreign country lawfully admitted for permanent residence in the U.S.;
- At least 18 years old;
- Able to read, speak, write, and understand the English language (if for medical reasons the applicant cannot meet one of these requirements, the FAA may place limits on the certificate to make sure the applicant can safely perform the actions authorized by the certificate and rating); and
- Able to demonstrate the requisite skill to determine if the aircraft is in a condition for safe operation by passing an FAA-accepted training course designed for each rating and/or class of LSA to be worked on.

5-1250 PRIVILEGES AND LIMITATIONS OF THE REPAIRMAN (LSA) CERTIFICATE. The FAA issues two ratings on the Repairman (LSA) Certificate: inspection and maintenance. The Repairman (LSA) Certificate will identify the rating(s) and appropriate limitation(s) by class.

A. Inspection Rating. The owner of an ELSA may apply for a Repairman (LSA) Certificate with an inspection rating after successful completion of required training. The privileges of the repairman (LSA) with inspection rating will be limited to the experimental LSA that is owned by the certificate holder and will be identified by the class, registration number, and serial number on the Repairman Certificate. This is similar to the privilege granted a holder of a Repairman Certificate for amateur-built aircraft under § 65.104.

B. Maintenance Rating. Any individual may apply for a Repairman (LSA) Certificate with a maintenance rating after successful completion of required training. The repairman may only inspect or maintain SLSA of the same class in which he or she is rated. This rating allows the individual to perform annual condition inspections on an LSA certificated as an ELSA or on an SLSA aircraft. In addition, a repairman with an LSA maintenance rating may also perform maintenance and 100-hour inspections; comply with Airworthiness Directives (AD), 14 CFR part 39, and/or Safety Directives as required by FAA-accepted industry-developed consensus standards, and recorded as per 14 CFR part 91, § 91.417(a)(1)(v) on FAA-approved products installed in an LSA only; and perform with applicable manufacturer's Service Bulletins (SB) on an SLSA for which the repairman is rated.

5-1251 TRAINING REQUIRED FOR INSPECTION AND MAINTENANCE RATING. For an inspection rating, the applicant must complete a 16-hour training course, accepted by the FAA, on the inspection procedures of a particular class of ELSA. The repairman with a maintenance rating must complete the required amount of training for each class of LSA as detailed below:

NOTE: For an in-depth explanation of the training requirements for light-sport repairmen with the maintenance rating, refer to FAA Order 8000.84, Procedures to Accept Industry-Developed Training for Light-Sport Repairmen.

A. Airplane. A total of 120 hours of instruction.

B. Weight-Shift-Control Aircraft. A total of 104 hours of instruction.

C. Powered Parachute. A total of 104 hours of instruction.

D. Lighter-Than-Air Aircraft. A total of 80 hours of instruction.

E. Glider. A total of 80 hours of instruction. To maintain powered gliders, a total of 125 hours of instruction is required.

NOTE: For a glider add-on to an airplane (see subparagraph 5-1252A), a total of 139 hours of instruction is required; refer to Order 8000.84 for module completion requirements.

5-1252 MAJOR REPAIRS/MAJOR ALTERATIONS.

A. Accomplishing Major Repairs or Alterations. Only a repairman (LSA) with a maintenance rating, a certificated mechanic with A&P ratings, or a certificated repair station (CRS) may accomplish major repairs and major alterations on SLSA. The manufacturer must provide the technical data for such a repair or alteration and identify the training needed, if any, to perform that repair or alteration. This limitation is necessary because SLSA are built under an industry-developed consensus standard and not under an FAA type certificate (TC) or Production Certificate (PC), so Civil Aviation Regulation (CAR) 3 and 14 CFR part 23 standards do not apply. In addition, the required training for repairman certification does not include all the training necessary for the performance of major repairs or alterations on a product produced under an FAA approval.

B. Required Training. To perform major repairs or major alterations on FAA-approved products, the light-sport repairman (maintenance) must have received training from the FAA-approved product manufacturer or equivalent, and perform the work in accordance with 14 CFR part 43. The person returning to service major repairs or major alterations on FAA TC'd products, using FAA-approved data, has to meet the requirements of § 65.95.

5-1253 CREDIT FOR LSA PRACTICAL EXPERIENCE TOWARD MECHANIC QUALIFICATION REQUIREMENTS UNDER § 65.77.

A. Practical Experience Requirements. A repairman (LSA) with a maintenance rating may document time working on either ELSA or SLSA. To apply for a mechanic's certificate under part 65 subpart D, the repairman must show that he or she has at least 18 months of practical experience working on either powerplants or airframes for a singular rating, or that he or she has at least 30 months of practical experience working on powerplants and airframes concurrently when applying for both ratings at the same time. To be eligible, the applicant must have verifiable experience in 50 percent of the subject areas listed for the rating sought (refer to 14 CFR part 147 appendices B, C, and D). One month's practical experience is 160 hours of documented time. This practical experience can include aircraft certificated LSA, Experimental Amateur-Built, standard certificated aircraft, and military aircraft.

B. Documentation. This documented practical experience presented must show the date, registration, and serial number of the LSA aircraft on which the LSA repairman performed maintenance. The experience must be verifiable. The only practical experience that you can document on ELSA certificated under § 21.191(i)(1) is the time performing an annual condition inspection or 100-hour inspections.

C. Factory Training. Factory training received by the applicant from a manufacturer of powerplants or aircraft for SLSA type-specific components may be counted as practical experience. Copies of the certificates from manufacturers are in addition to the documented practical experience record package presented to the FAA for review.

5-1254 DURATION OF REPAIRMAN (LSA) CERTIFICATES.

A. Certificate with Inspection Rating. A Repairman (LSA) Certificate with an inspection rating remains valid until the repairman no longer owns the LSA identified on the Repairman Certificate, or until the certificate is surrendered, suspended, or revoked by the FAA. If the repairman with an inspection rating sells the LSA, he or she should keep the Repairman Certificate so that he or she can apply the guidance contained in the note below towards another certificate rating.

B. Certificate with Maintenance Rating. A Repairman (LSA) Certificate with a maintenance rating remains valid until that repairman certificate is surrendered, suspended, or revoked by the FAA.

NOTE: Unless the Repairman (LSA) Certificate is surrendered or revoked, all completed courses taken for the initial issuance of the repairman (LSA) rating(s) (inspection or maintenance) remain valid and do not expire for further issuance towards another certificate or rating.

5-1255 COORDINATION REQUIREMENTS. This task may require coordination with other Airworthiness aviation safety inspectors (ASI) familiar with the applicant's skill and knowledge. For unusual conditions or situations, contact the Aircraft Maintenance Division (AFS-300).

5-1256 REFERENCES, FORMS, AND JOB AIDS.

A. References (current editions):

- FAA Order 8000.84, Procedures to Accept Industry-Developed Training for Light-Sport Repairmen.
- Title 14 CFR Part 65, § 65.107, Repairman Certificate (Light-Sport Aircraft): Eligibility, Privileges, and Limits.
- Volume 14, Chapter 1, Section 2, Flight Standards Service Compliance Action Decision Procedure.
- Volume 14, Chapter 1, Section 3, Providing Written Compliance Philosophy Explanation and Pilot's Bill of Rights Notification (Figure 14-1-3B, Sample Written Notification to an Airman Applicant).

B. Forms:

- FAA Form 8060-4, Temporary Airman Certificate.
- FAA Form 8610-2, Airman Certificate and/or Rating Application.

C. Job Aids. None.

5-1257 PROCEDURES.

A. Receive the Application. To apply for a Repairman (LSA) Certificate with either an inspection or maintenance rating, the applicant must provide the following documentation to any Flight Standards District Office (FSDO):

1) A positive form of picture identification that includes the applicant's signature (e.g., a current U.S. driver's license, passport, or U.S. military identification) presented in person at the time of application and temporary certificate issuance. In addition, the applicant must provide an address where the applicant currently resides. An applicant can use a P.O. Box, rural route, Aviation Maintenance Technician School (AMTS) address, personal mailbox, commercial mail drop, or other mail drop as the applicant's preferred mailing address; however, the applicant must also furnish either a physical residential address; a map or written directions to the applicant's physical address; or a 911 address located by Global Positioning System (GPS) coordinates. This information must be included with the application.

a) In special cases where the applicant resides on a boat, the applicant should include the name of the boat and the dock/slip number. If the applicant resides in a recreational vehicle (RV), the applicant should include the applicable tag number and registration number.

b) ASIs should record the identification method in the "Remarks" section on the back of FAA Form 8610-2, and ensure that the applicant meets the minimum age and citizenship requirements. Attach applicable map or directions to the applicant's residence to FAA Form 8610-2, if required.

2) One completed Pilot's Bill of Rights (PBR) (see Volume 14, Chapter 1, Section 3, Figure 14-1-3B, Sample Written Notification to an Airman Applicant).

3) A completed FAA Form 8610-2.

a) The applicant marks the "Repairman" block at the top of the form and specify the rating requested (e.g., light-sport inspection or light-sport maintenance) in the box next to the "Repairman" block, and then check either the "Original Issuance" or "Added Rating" block.

NOTE: See Table 5-6, Instructions for Completing FAA Form 8610-2 (Light-Sport Aircraft), for specific instructions.

b) Without any assistance, the applicant must read and sign the "Applicant's Certification" section on the front of the form in the proper location in the presence of an FAA Airworthiness ASI. If there is doubt that the applicant can read, write, and understand the English language, have the applicant verbally read the "Applicant's Certification" block on the front of the form. If further testing is needed, refer to advisory circular (AC) 60-28, English Language Skill Standards Required by 14 CFR Parts 61, 63, and 65.

4) Proof that the applicant has received 16 hours of FAA-accepted training for the inspection rating, or 80/120 hours of FAA-accepted training for the maintenance rating in the class of LSA the LSA repairman will be maintaining. Proof of training would be a certificate of training or graduation certificate. The certificate of training or graduation certificate for either inspection or maintenance rating must have an FAA acceptance number, name of the organization giving the training, hours of training received, name of the instructor, and name of the course. This information should be in section III, under "Employer and Location" (e.g., "Canadian Valley Tech Center, LSRIPP000001, 03/04/2008"). See the sample certificate in Figure 5-138D, Sample Application Form (Light-Sport Aircraft), FAA Form 8610-2.

5) Class of LSA on which the applicant received training and the date the applicant completed instruction. If there is doubt concerning the validity of the certificate of training/graduation, contact the Light Sport Aviation Branch (AFS-610) and check the class number and dates of instruction.

B. Review the Application. The inspector will:

1) Review the documentation submitted by the applicant for accuracy and completeness.

2) FAA inspectors must complete their portion of the documentation of the applicant's receipt of the written notifications (see Volume 14, Chapter 1, Section 3, Figure 14-1-3B), regardless of whether the applicant signs the acknowledgment of receipt.

3) Copy and return the original proof of training certificate to the applicant.

4) When issuing the Repairman Certificate, check the appropriate blocks on the "FAA Inspector's Report" block at the bottom of the second page and provide the date, signature, and FSDO identification. Ensure the approved box is checked. Ensure the "Remarks" section has the airman's identification method annotated (e.g., "Oklahoma driver's license # 12235758, expires 04/30/2030").

NOTE: If FAA Form 8610-2 is on a two-page application (i.e., duplex printing was not used), ensure the airman's name and date of birth (DOB) are typed or printed on the second page.

C. Complete FAA Form 8060-4 (see Figure 5-138C, Sample Temporary Airman Certificate (Repairman—Light-Sport Aircraft), FAA Form 8060-4).

1) In block III, insert the word "pending."

2) In block IV, fill out the name, address, and physical description.

3) In block IX, for an inspection or maintenance rating, insert the words "Repairman (Light-Sport Aircraft)."

4) In block XII, first insert the word "Inspection." Directly underneath, put the class of LSA (e.g., airplane, glider, powered parachute, weight-shift-control, gyroplane, or lighter-than-air), followed by the aircraft's registration number and serial number.

5) In block XII, for a maintenance rating, insert the word "Maintenance," followed by the class (or classes) of LSA the repairman is qualified to work on (e.g., airplane, glider, powered parachute, weight-shift-control, and/or lighter-than-air).

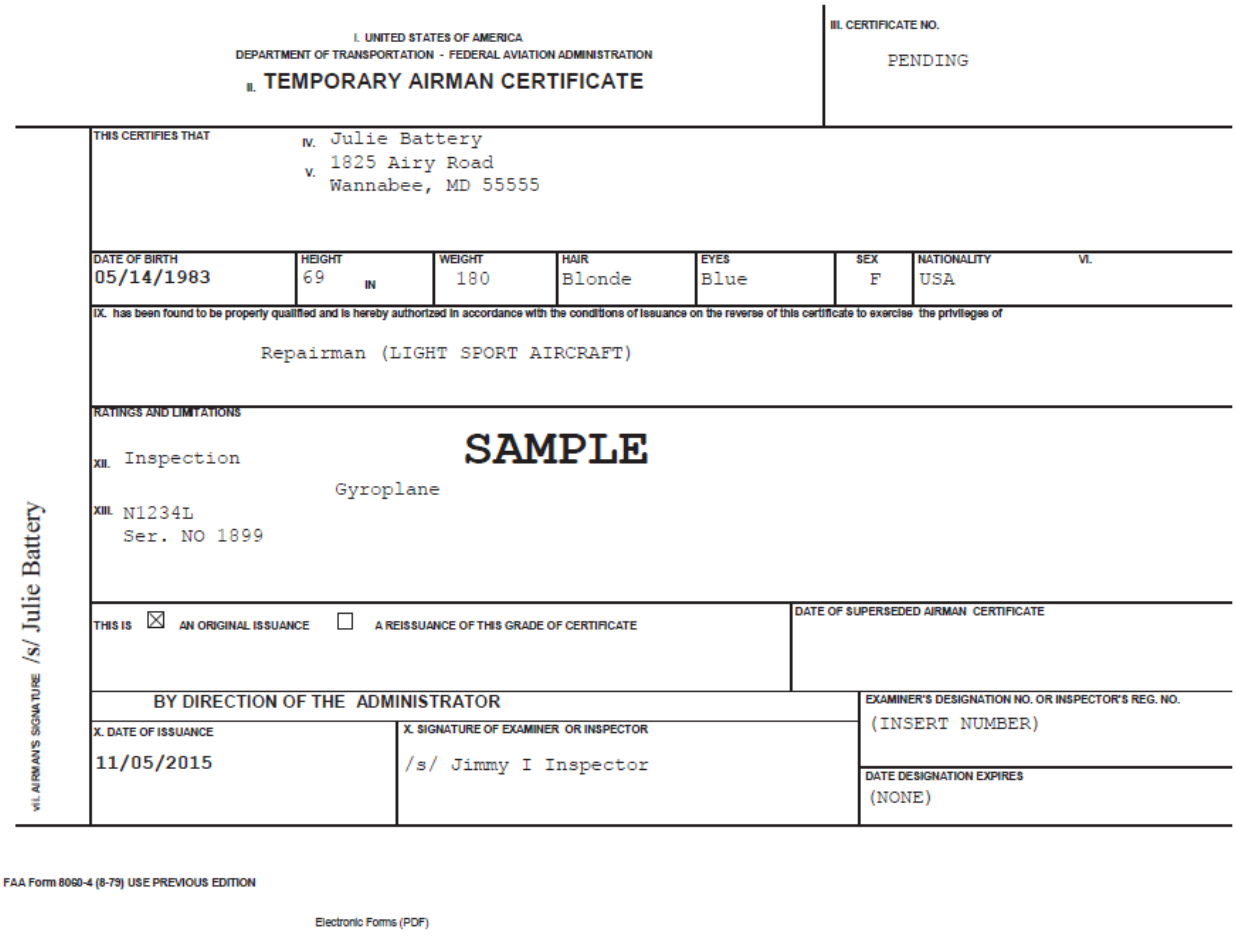
NOTE: If the applicant is applying for more than one class rating on the original issuance, only one FAA Form 8610-2 and the set of two of FAA Form 8060-4 are required, as long as section III and the temporary certificate have all the required information for all class ratings he or she seeks.

6) Review FAA Form 8060-4 for accuracy. When issuing the rating, the inspector signs and dates block X, ensuring the applicant signs FAA Form 8610-2 in block IV.

NOTE: The date of issuance in block X must be the same date the inspector signed the report. Ensure that the inspector's name, credentials number, region, and district office number are reflected on the temporary certificate.

NOTE: The temporary certificate, FAA Form 8060-4, provided to the applicant may be completed in dark ink and handwritten; however, the temporary certificate provided to the Airmen Certification Branch (AFS-760) must be typewritten.

Figure 5-138C. Sample Temporary Airman Certificate (Repairman—Light-Sport Aircraft), FAA Form 8060-4



I. UNITED STATES OF AMERICA
DEPARTMENT OF TRANSPORTATION - FEDERAL AVIATION ADMINISTRATION
II. TEMPORARY AIRMAN CERTIFICATE

III. CERTIFICATE NO.: PENDING

THIS CERTIFIES THAT
IV. Julie Battery
V. 1825 Airy Road
Wannabee, MD 55555

DATE OF BIRTH	HEIGHT	WEIGHT	HAIR	EYES	SEX	NATIONALITY VI.
05/14/1983	69 IN	180	Blonde	Blue	F	USA

IX. has been found to be properly qualified and is hereby authorized in accordance with the conditions of issuance on the reverse of this certificate to exercise the privileges of

Repairman (LIGHT SPORT AIRCRAFT)

RATINGS AND LIMITATIONS

XII. Inspection

SAMPLE

Gyroplane

XIII. N1234L
Ser. NO 1899

VII. AIRMAN'S SIGNATURE /s/ Julie Battery

THIS IS ☒ AN ORIGINAL ISSUANCE ☐ A REISSUANCE OF THIS GRADE OF CERTIFICATE

DATE OF SUPERSEDED AIRMAN CERTIFICATE

BY DIRECTION OF THE ADMINISTRATOR

X. DATE OF ISSUANCE: 11/05/2015

X. SIGNATURE OF EXAMINER OR INSPECTOR: /s/ Jimmy I Inspector

EXAMINER'S DESIGNATION NO. OR INSPECTOR'S REG. NO.: (INSERT NUMBER)

DATE DESIGNATION EXPIRES: (NONE)

FAA Form 8060-4 (8-79) USE PREVIOUS EDITION

Electronic Forms (PDF)

Table 5-6. Instructions for Completing FAA Form 8610-2 (Light-Sport Aircraft)

NOTE: The applicant can omit section II.

Section I: Applicant Information
A. Name: First, Middle, Last—Applicant must enter his or her legal name. B. Social Security Number (SSN)—Disclosure of the SSN is optional; however, *item B cannot be left blank*. Enter a U.S. SSN, "DO NOT USE," or "NONE." C. DOB—Applicant must enter his or her DOB using an 8-digit format (Month, Day, Year (MM/DD/YYYY)). D. Height—Applicant must enter his or her height in inches. E. Weight—Applicant must enter his or her weight in pounds. F. Hair—Applicant must spell out his or her hair color. Acceptable colors are bald, brown, black, blond, gray, white, and red. G. Eyes—Applicant must spell out his or her eye color. Acceptable colors are brown, black, blue, hazel, gray, and green. H. Sex—Enter "M" for male or "F" for female. I. Nationality (Citizenship)—Applicant enters the country in which he or she maintains citizenship. If dual citizenship, enter one on the application and the certificate will show the other as a limitation (e.g., "Dual citizenship includes Canada."). J. Place of Birth—Applicant enters the city and State if born in the U.S. If the city is unknown, enter the county and State. If the applicant was born outside the U.S., enter the name of the city and country, or province and country. If the applicant was not born in a city and country or a province and country, enter that information in the "Remarks" area. K. Permanent Mailing Address—Applicant enters the number and street, city, State, and zip code. NOTE: A post office address is not acceptable for the purpose of applying for an Airman Certificate, unless the applicant resides on a rural route, a boat, or in some other manner that requires the use of a P.O. Box, rural route, or personal mailbox for an address. If the applicant uses a P.O. Box, rural route, personal mailbox, or business address as the preferred mailing address, the applicant must furnish a map or written directions to his or her residence, or furnish the actual residence address. NOTE: These directions are not required for Army Post Office (APO), Fleet Post Office (FPO), or Diplomatic Post Office (DPO) type addresses. L. Have you ever had an Airman Certificate suspended or revoked?—Applicant must check either the "YES" box or the "NO" box. (Refer to requirements in § 65.11.) M. Do you now or have you ever held an FAA Airman Certificate?—Applicant must check either the "YES" box or the "NO" box. If "YES," specify the type of certificate held.

N. Have you ever been convicted for violation of any Federal or State statutes pertaining to narcotic drugs, marijuana, and depressant or stimulant drugs or substances?—Applicant must check either the "YES" box or the "NO" box. If "YES," the applicant must give the "Date Of Final Conviction" using an 8-digit format (Month, Day, Year (MM/DD/YYYY)). Refer to § 65.12.

Section III: Record of Experience

For inspection ratings, the applicant must provide in block III, Record of Experience, under Employer and Location, the training course, course number, and date of completion, and under Type of Work Performed, the registration number, serial number, and class of ELSA the applicant owns. An applicant who owns multiple ELSA (in the same or different classes) may apply for adding additional aircraft. When adding additional aircraft, the applicant will check the "Added Rating" box on a new application form and list the additional aircraft in block III. All aircraft the certificate holder owns may be listed on one Repairman Certificate (e.g., "Class—airplane, N161TB, Serial No. CH2-9-0990-0888").

NOTE: "Dates: Month and Year" blocks on left side in this section are not used for light-sport repairman purposes. All dates for LSA course completion will use an 8-digit format (Month, Day, Year, (MM/DD/YYYY)).

NOTE: For maintenance ratings, the applicant must provide in block III the class(es) of SLSA to be maintained, entity name that provided the training, and the light-sport repairman maintenance (LSRM) number and graduation date.

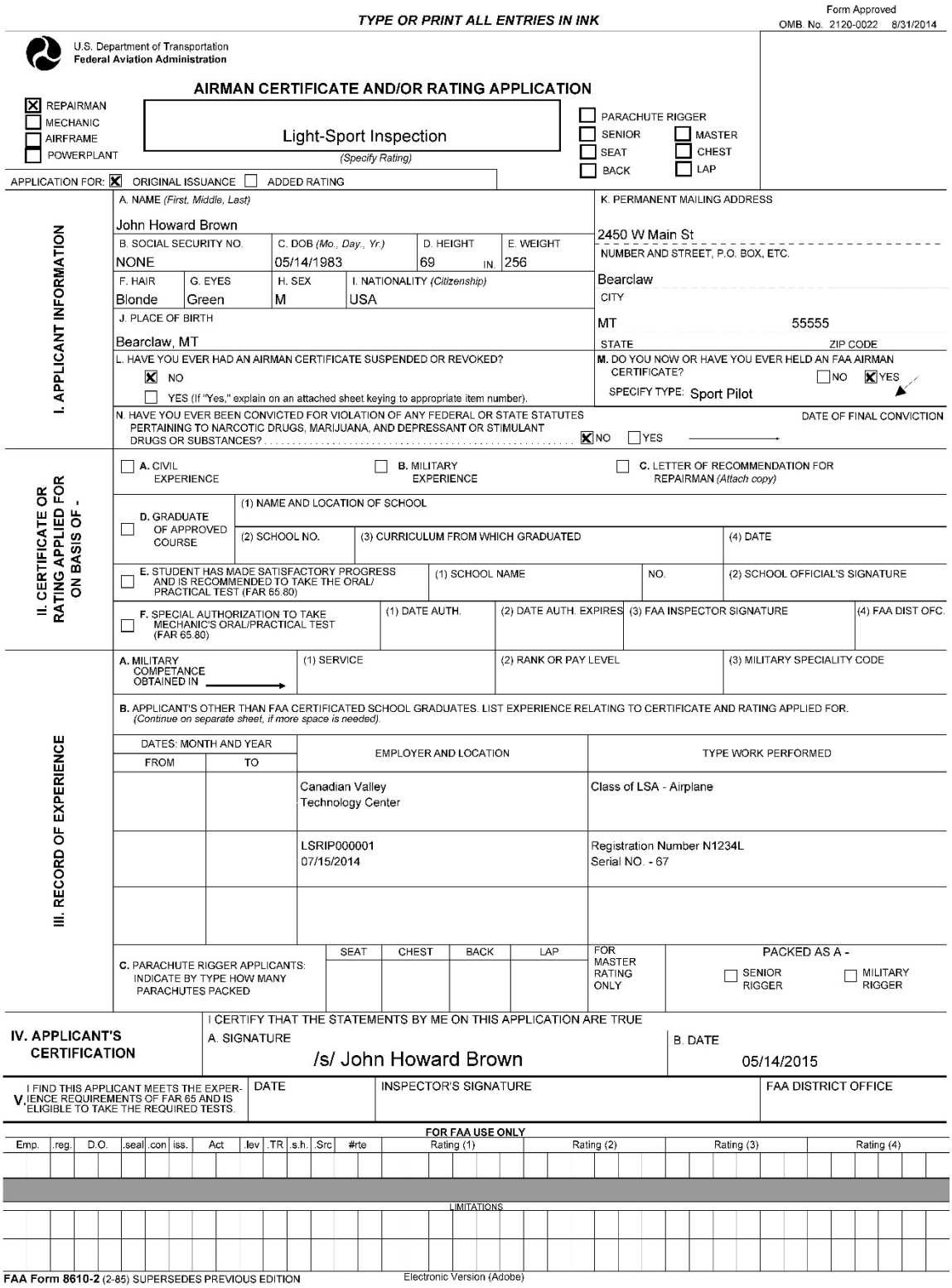
Section IV: Applicant's Certification—Item A & Item B

Item A—Signature: The applicant signs FAA Form 8610-2; he or she normally signs his or her name above or beside his or her typed or printed name. For verification purposes, the inspector will require the applicant to provide identification showing a photograph (e.g., a current U.S. driver's license, U.S. military identification, or passport). Record the name and number of the document used for verification in the "Remarks" section.

NOTE: If the applicant uses a driver's license as the verification method, the "Remarks" section must include the State that issued the license and expiration date. Additional information regarding mailing address and place of residence may have to be attached as stated in subparagraph 5-1257A1), as applicable.

NOTE: AFS-760 no longer requires that the applicant fill out the "Applicant's Certification" section, box A or B, on the reverse side of FAA Form 8610-2 for a Repairman Certificate, unless the date of issue on the temporary certificate and the applicant's certification in block IV are not the same date.

Figure 5-138D. Sample Application Form (Light-Sport Aircraft), FAA Form 8610-2



TYPE OR PRINT ALL ENTRIES IN INK

Form Approved
OMB. No. 2120-0022 8/31/2014

U.S. Department of Transportation
Federal Aviation Administration

AIRMAN CERTIFICATE AND/OR RATING APPLICATION

☒ REPAIRMAN
☐ MECHANIC
☐ AIRFRAME
☐ POWERPLANT

Light-Sport Inspection
(Specify Rating)

☐ PARACHUTE RIGGER
☐ SENIOR ☐ MASTER
☐ SEAT ☐ CHEST
☐ BACK ☐ LAP

APPLICATION FOR: ☒ ORIGINAL ISSUANCE ☐ ADDED RATING

I. APPLICANT INFORMATION

A. NAME (First, Middle, Last): John Howard Brown

B. SOCIAL SECURITY NO.: NONE
C. DOB (Mo., Day., Yr.): 05/14/1983
D. HEIGHT: 69 IN.
E. WEIGHT: 256
F. HAIR: Blonde
G. EYES: Green
H. SEX: M
I. NATIONALITY (Citizenship): USA

J. PLACE OF BIRTH: Bearclaw, MT

K. PERMANENT MAILING ADDRESS
2450 W Main St
NUMBER AND STREET, P.O. BOX, ETC.
Bearclaw
CITY
MT 55555
STATE ZIP CODE

L. HAVE YOU EVER HAD AN AIRMAN CERTIFICATE SUSPENDED OR REVOKED?
☒ NO
☐ YES (If "Yes," explain on an attached sheet keying to appropriate item number).

M. DO YOU NOW OR HAVE YOU EVER HELD AN FAA AIRMAN CERTIFICATE? ☐ NO ☒ YES
SPECIFY TYPE: Sport Pilot

N. HAVE YOU EVER BEEN CONVICTED FOR VIOLATION OF ANY FEDERAL OR STATE STATUTES PERTAINING TO NARCOTIC DRUGS, MARIJUANA, AND DEPRESSANT OR STIMULANT DRUGS OR SUBSTANCES? ☒ NO ☐ YES
DATE OF FINAL CONVICTION

II. CERTIFICATE OR RATING APPLIED FOR ON BASIS OF -

☐ A. CIVIL EXPERIENCE
☐ B. MILITARY EXPERIENCE
☐ C. LETTER OF RECOMMENDATION FOR REPAIRMAN (Attach copy)

☐ D. GRADUATE OF APPROVED COURSE
(1) NAME AND LOCATION OF SCHOOL
(2) SCHOOL NO.
(3) CURRICULUM FROM WHICH GRADUATED
(4) DATE

☐ E. STUDENT HAS MADE SATISFACTORY PROGRESS AND IS RECOMMENDED TO TAKE THE ORAL/PRACTICAL TEST (FAR 65.80)
(1) SCHOOL NAME
NO.
(2) SCHOOL OFFICIAL'S SIGNATURE

☐ F. SPECIAL AUTHORIZATION TO TAKE MECHANIC'S ORAL/PRACTICAL TEST (FAR 65.80)
(1) DATE AUTH.
(2) DATE AUTH. EXPIRES
(3) FAA INSPECTOR SIGNATURE
(4) FAA DIST OFC.

III. RECORD OF EXPERIENCE

A. MILITARY COMPETANCE OBTAINED IN
(1) SERVICE
(2) RANK OR PAY LEVEL
(3) MILITARY SPECIALITY CODE

B. APPLICANT'S OTHER THAN FAA CERTIFICATED SCHOOL GRADUATES. LIST EXPERIENCE RELATING TO CERTIFICATE AND RATING APPLIED FOR. (Continue on separate sheet, if more space is needed).

DATES: MONTH AND YEAR FROM	TO	EMPLOYER AND LOCATION	TYPE WORK PERFORMED
		Canadian Valley Technology Center	Class of LSA - Airplane
		LSRIP000001 07/15/2014	Registration Number N1234L Serial NO. - 67

C. PARACHUTE RIGGER APPLICANTS: INDICATE BY TYPE HOW MANY PARACHUTES PACKED

SEAT	CHEST	BACK	LAP

FOR MASTER RATING ONLY
PACKED AS A - ☐ SENIOR RIGGER ☐ MILITARY RIGGER

IV. APPLICANT'S CERTIFICATION

I CERTIFY THAT THE STATEMENTS BY ME ON THIS APPLICATION ARE TRUE
A. SIGNATURE: /s/ John Howard Brown
B. DATE: 05/14/2015

V. I FIND THIS APPLICANT MEETS THE EXPERIENCE REQUIREMENTS OF FAR 65 AND IS ELIGIBLE TO TAKE THE REQUIRED TESTS.
DATE
INSPECTOR'S SIGNATURE
FAA DISTRICT OFFICE

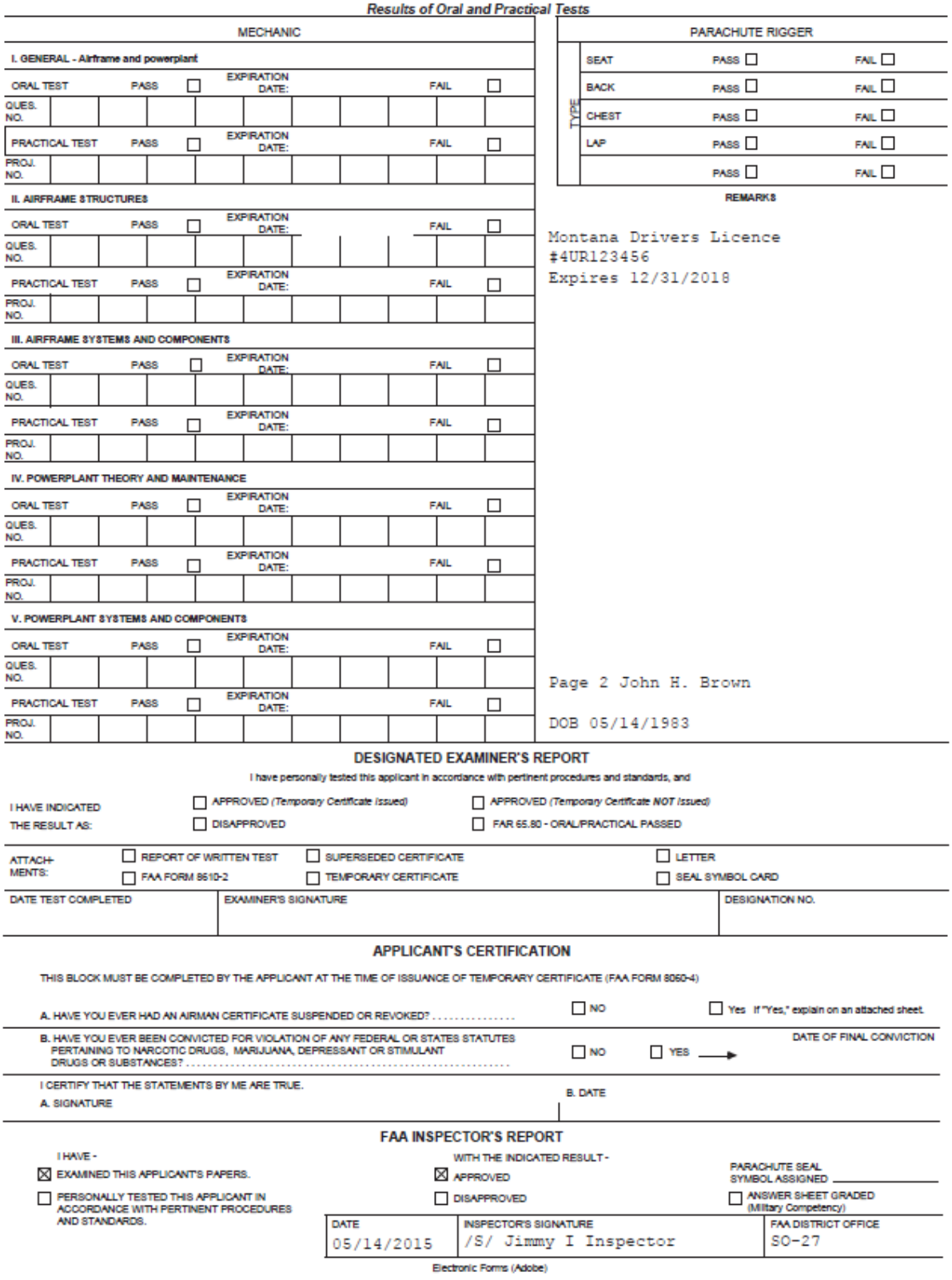
FOR FAA USE ONLY

Emp.	.reg.	D.O.	.seal	.con	iss.	Act	.lev	.TR	.s.h.	.Src	#rte	Rating (1)	Rating (2)	Rating (3)	Rating (4)

LIMITATIONS

FAA Form 8610-2 (2-85) SUPERSEDES PREVIOUS EDITION
Electronic Version (Adobe)

Figure 5-138D. Sample Application Form (Light-Sport Aircraft), FAA Form 8610-2 (Continued)



Results of Oral and Practical Tests

MECHANIC

I. GENERAL - Airframe and powerplant

ORAL TEST PASS ☐ EXPIRATION DATE: FAIL ☐

QUES. NO.

PRACTICAL TEST PASS ☐ EXPIRATION DATE: FAIL ☐

PROJ. NO.

II. AIRFRAME STRUCTURES

ORAL TEST PASS ☐ EXPIRATION DATE: FAIL ☐

QUES. NO.

PRACTICAL TEST PASS ☐ EXPIRATION DATE: FAIL ☐

PROJ. NO.

III. AIRFRAME SYSTEMS AND COMPONENTS

ORAL TEST PASS ☐ EXPIRATION DATE: FAIL ☐

QUES. NO.

PRACTICAL TEST PASS ☐ EXPIRATION DATE: FAIL ☐

PROJ. NO.

IV. POWERPLANT THEORY AND MAINTENANCE

ORAL TEST PASS ☐ EXPIRATION DATE: FAIL ☐

QUES. NO.

PRACTICAL TEST PASS ☐ EXPIRATION DATE: FAIL ☐

PROJ. NO.

V. POWERPLANT SYSTEMS AND COMPONENTS

ORAL TEST PASS ☐ EXPIRATION DATE: FAIL ☐

QUES. NO.

PRACTICAL TEST PASS ☐ EXPIRATION DATE: FAIL ☐

PROJ. NO.

PARACHUTE RIGGER

TYPE

SEAT	PASS ☐	FAIL ☐
BACK	PASS ☐	FAIL ☐
CHEST	PASS ☐	FAIL ☐
LAP	PASS ☐	FAIL ☐
	PASS ☐	FAIL ☐

REMARKS

Montana Drivers Licence
#4UR123456
Expires 12/31/2018

Page 2 John H. Brown

DOB 05/14/1983

DESIGNATED EXAMINER'S REPORT

I have personally tested this applicant in accordance with pertinent procedures and standards, and

I HAVE INDICATED THE RESULT AS: ☐ APPROVED (Temporary Certificate Issued) ☐ APPROVED (Temporary Certificate NOT Issued) ☐ DISAPPROVED ☐ FAR 65.80 - ORAL/PRACTICAL PASSED

ATTACHMENTS: ☐ REPORT OF WRITTEN TEST ☐ SUPERSEDED CERTIFICATE ☐ LETTER ☐ FAA FORM 8610-2 ☐ TEMPORARY CERTIFICATE ☐ SEAL SYMBOL CARD

DATE TEST COMPLETED | EXAMINER'S SIGNATURE | DESIGNATION NO.

APPLICANT'S CERTIFICATION

THIS BLOCK MUST BE COMPLETED BY THE APPLICANT AT THE TIME OF ISSUANCE OF TEMPORARY CERTIFICATE (FAA FORM 8060-4)

A. HAVE YOU EVER HAD AN AIRMAN CERTIFICATE SUSPENDED OR REVOKED? ☐ NO ☐ Yes If "Yes," explain on an attached sheet.

B. HAVE YOU EVER BEEN CONVICTED FOR VIOLATION OF ANY FEDERAL OR STATES STATUTES PERTAINING TO NARCOTIC DRUGS, MARIJUANA, DEPRESSANT OR STIMULANT DRUGS OR SUBSTANCES? ☐ NO ☐ YES → DATE OF FINAL CONVICTION

I CERTIFY THAT THE STATEMENTS BY ME ARE TRUE.

A. SIGNATURE B. DATE

FAA INSPECTOR'S REPORT

I HAVE -

☒ EXAMINED THIS APPLICANT'S PAPERS.

☐ PERSONALLY TESTED THIS APPLICANT IN ACCORDANCE WITH PERTINENT PROCEDURES AND STANDARDS.

WITH THE INDICATED RESULT -

☒ APPROVED

☐ DISAPPROVED

PARACHUTE SEAL SYMBOL ASSIGNED _____

☐ ANSWER SHEET GRADED (Military Competency)

DATE	INSPECTOR'S SIGNATURE	FAA DISTRICT OFFICE
05/14/2015	/S/ Jimmy I Inspector	SO-27

Electronic Forms (Adobe)

5-1258 TASK OUTCOMES.

A. Complete the PTRS Record.

B. Issue the Temporary Certificate. After determining that the applicant meets all the requirements for certification, approve the application by signing it. Complete FAA Form 8060-4 in duplicate.

NOTE: The date of issue on the temporary certificate must be the same date the Airworthiness ASI signed in his or her report on the back of FAA Form 8610-2.

1) Give the applicant a completed FAA Form 8060-4. Both the applicant and the inspector must sign this form.

2) Send FAA Form 8610-2, the original typed FAA Form 8060-4, and copies of the LSA training certificates to AFS-760 within 10 business days. Complete the "FAA Inspector's Report" section on the reverse side of FAA Form 8610-2. Ensure the "Approved" box is marked and the approval date (same date as the temporary certificate), inspector's signature, and the FAA district office are entered. Ensure the method of identification is shown in the "Remarks" section.

C. Deny Certificate. If you disapprove the application, return it to the applicant with a letter explaining the denial.

D. Change of Name/Nationality/DOB/Gender. If surrendering a certificate due to name, nationality, DOB, or gender change, the applicant must first make an appointment with an FAA inspector. The inspector will positively identify the applicant and review all court documents reflecting the change. The applicant must complete FAA Form 8610-2 (sections I and IV). On approval, the inspector will issue a temporary airman certificate to the applicant. Go to the following website to see the latest required documents for these actions: https://www.faa.gov/licenses_certificates/airmen_certification/name_change/.

E. Reconstruction of Lost Certification Files.

1) A copy of the original FAA Form 8610-2 and FAA Form 8060-4 with signatures on both forms is required. If no copy exists, provide the information that appeared on the original application on a new FAA Form 8610-2 and FAA Form 8060-4, complete with new signatures but with the original dates (applicant and inspector).

2) In the upper right-hand block of FAA Form 8610-2, place the wording "Reconstructed File" in red ink.

3) Forward all information regarding the certification file through the FSDO to: FAA, Attn: Airmen Certification Branch (AFS-760), P.O. Box 25082, Oklahoma City, OK 73125.

NOTE: There is no need to mail an emergency field-issue temporary certificate with the reconstructed file package. Maintain these at the FSDO.

5-1259 FUTURE ACTIVITIES. See Volume 14, Chapter 1, Section 2 to correct any safety issues, aircraft standard deviations, or regulatory maintenance noncompliance.

RESERVED. Paragraphs 5-1260 through 5-1275.

VOLUME 5 AIRMAN CERTIFICATION

CHAPTER 5 TITLE 14 CFR PART 65—AIRMEN OTHER THAN FLIGHT CREWMEMBERS

Section 7 Evaluate a Part 65 Inspection Authorization

5-1276 PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODES.

A. Maintenance: 3512.

B. Avionics: 5512.

5-1277 OBJECTIVE. This section provides guidance for issuing an Inspection Authorization (IA).

5-1278 GENERAL. FAA-G-8082-11, Inspection Authorization Knowledge Test Guide, and FAA-G-8082-19, Inspection Authorization Information Guide, serve as references and study guides for persons interested in obtaining an IA. The test guides also contain an example Federal Aviation Administration (FAA) Form 8610-1, Mechanic's Application for Inspection Authorization-Privacy Act, with blocks 1 through 13 completed as required for an application by an IA applicant.

A. Limitations. There is no limit on the number of IAs that may be issued by a given field office. Do not refuse a qualified applicant the opportunity to take the test.

B. Obtaining Required Data. Aviation safety inspectors (ASI) should determine that the holders of an IA or applicants for an IA have the availability of current changes for advisory circulars (AC) and other pertinent FAA publications. ASIs should offer guidance for obtaining the required data, as requested. However, the responsibility for obtaining this material rests with the holder of the IA.

5-1279 ELIGIBILITY. The ASI must establish the applicant's eligibility before allowing the applicant to test. None of the requirements of Title 14 of the Code of Federal Regulations (14 CFR) part 65, § 65.91 can be waived by the ASI.

A. Certification. The applicant must hold a current Mechanic Certificate, with both Airframe and Powerplant (A&P) ratings, that has been in effect for at least 3 years. If the ASI is unable to determine that the applicant meets the 3-year requirement based on the Mechanic Certificate issue date or a review of the Safety Performance Analysis System (SPAS) data, the ASI should contact the Airmen Certification Branch (AFS-760) for verification of the original date of issue. The applicant must have been actively engaged in maintaining certificated aircraft for at least the 2-year period before applying.

B. Actively Engaged. "Actively engaged" means having an active role in exercising the privileges of an A&P Mechanic Certificate in the maintenance of civil aircraft. Applicants who inspect, overhaul, repair, preserve, or replace parts on aircraft, or who supervise (i.e., direct and

inspect) those activities, are actively engaged. The ASI may use evidence or documentation presented by the applicant showing inspection, overhaul, repair, preservation, or replacement of parts on aircraft or supervision of these activities.

C. Maintenance Records. This evidence or documentation, when required, could include records showing performance or supervision of aircraft maintenance, return-to-service documents, and/or copies of maintenance record entries to determine the type of maintenance activity performed, considering any special expertise required. The quantity of maintenance activity demonstrates if the applicant was actively engaged.

D. Teaching or Instructing. Individuals employed teaching or instructing solely in an academic environment are generally not considered actively engaged. Individuals teaching and/or instructing in a 14 CFR part 147 approved Aviation Maintenance Technician School (AMTS), when also engaging in the maintenance of certificated aircraft and/or aircraft-related instruction equipment, certificated or maintained in accordance with 14 CFR, can be considered actively engaged.

E. Fixed Base of Operation. There must be a fixed base of operation at which the applicant can be located in person or by telephone during a normal work week. This base need not be the place where the applicant will exercise the IA.

F. Equipment, Facilities, and Data. The applicant must have available the equipment, facilities, and inspection data necessary to conduct proper inspection of A&Ps, propellers, or any related part or appliance. This data must be current as required by rule.

1) Equipment. Equipment should be available to the IA when performing inspections, so as to determine if the manufacturer's specification and/or limits remain within the service limits as established for the particular A&P, propeller, part, and/or appliance under inspection. This might include basic hand tools, compression testers, magneto timing lights, or disks and devices applicable for determining control surface travel, cable tension, or propeller blade angles, as applicable.

2) Facilities. A facility should be available during the inspection to provide for the proper environmental protection of the aircraft, powerplant, propeller, or appliance being inspected. Consideration should be given to any adverse effect by wind, rain, temperatures, or other inhibiting elements on the product being inspected.

3) Data.

a) Evidence of FAA-required technical data can be in the form of access to the FAA's website (http://www.faa.gov) for technical data such as Airworthiness Directives (AD), ACs, Type Certificate Data Sheets (TCDS), and specifications. These documents are available for download without charge. As an IA applicant, you should be expected, during initial application or renewal, to show evidence you possess this data and its currency, or show to an ASI's satisfaction your ability to access this data through the FAA's website.

b) Manufacturer's maintenance manuals, Service Bulletins (SB), service instructions, or other instructions provided by the manufacturer must be available to the

IA applicant when such inspections are being performed. This data may be necessary to properly conduct inspections on A&Ps, propellers, or related parts or appliances. The IA applicant or IA holder must have available inspection data necessary to properly conduct inspections of A&Ps, propellers, or any related part or appliance during performance of his or her privileges.

NOTE: The IA is responsible for having these documents available during the performance of inspections, repairs, or alterations of aircraft in accordance with 14 CFR part 43, and it is the IA's responsibility to obtain them. The FAA cannot provide this data to the public except under certain specific circumstances; therefore, the FAA does not place copies of these types of documents on the FAA website.

G. Knowledge Test. The applicant must pass the Inspection Authorization (IAR) Knowledge Test, testing the ability to inspect according to safety standards for approval for return to service of an aircraft, related part, or appliance after major repairs or major alterations, and annual or progressive inspections performed under part 43. There is no practical test required for an IA.

NOTE: The ASI should see paragraph 5-1285, Procedures, for additional instructions on determining an applicant's eligibility.

5-1280 IAR KNOWLEDGE TEST. The knowledge test establishes the applicant's ability to read, understand, interpret, and apply the regulations, policies, and procedures set forth in FAA publications. The ASI should discuss the test procedures with the applicant, ensuring the applicant understands the test procedures.

A. Required Documents. The following documents will be required at the test site:

- A valid government-issued identification with current photo ID.
- A completed FAA Form 8610-1, with blocks 1 through 13 completed by the applicant, and original signature of approving inspector in block 14, as noted in the following procedures section. Also, the Pilot's Bill of Rights (PBR) notice must be completed (see paragraph 5-1285).

B. Time Limit. There is a 3-hour time limit that the computer controls.

C. Questions. The test has 50 questions and 1 section.

D. Passing Score. The minimum passing score is 70, and if the applicant fails the test, there will be a 90-day waiting period before they may retake it. An attempt to retest prior to the waiting period is contrary to part 65 and could result in revocation of any or all Airman Certificates held by the applicant.

E. Testing Center (Organization Designation Authorization (ODA) Airman Knowledge Testing (AKT) Unit Member Test Site). The test center will provide all reference material; the applicant need not take IA reference materials to the test. The Airman Testing Standards Branch (AFS-630) has responsibility for test center functions and oversight.

F. Testing Arrangements. The applicant is responsible for making arrangements with the ODA AKT unit member test sites for the knowledge test as outlined in FAA-G-8082-11.

5-1281 DURATION OF AN IA. An IA expires March 31 of each odd-numbered year (i.e., 2009, 2011, etc.) and ceases to be effective whenever any of the following occurs:

- The authorization is surrendered, suspended, or revoked. When this occurs, the inspector will request that the holder return the authorization, FAA Form 8310-5, Inspection Authorization.
- The holder fails to meet the renewal requirements of § 65.91(c)(1) through (4).
- The holder fails to meet the first year's activity (i.e., 2008, 2010, etc.) requirements as described in § 65.93(a)(1) through (5).
- The holder no longer has a fixed base of operation or no longer has the equipment, facilities, and inspection data required by § 65.91(c)(3) and (4).

5-1282 PRIVILEGES OF AN IA.

A. Exercising Privileges. When exercising the privileges of an IA, the holder may:

- Inspect and approve for return to service major repairs and major alterations, if the work was performed according to technical data approved by the Administrator.
- Perform an annual inspection.
- Perform or supervise a progressive inspection (refer to § 65.95).

NOTE: An IA holder cannot approve for return to service an aircraft maintained and inspected under a Continuous Airworthiness Maintenance Program (CAMP) based on his or her IA.

B. Major Repairs and Alterations. An IA holder cannot approve for return to service major repairs, major alterations, or inspection on an aircraft maintained in accordance with a CAMP. An IA's authorization allows for the return to service after major repairs and alterations made in accordance with part 43.

C. Authorization. When operating away from the district office that has geographic responsibility, an IA holder should notify the district office in the area where the work will be performed before exercising the authorization. The IA holder must submit FAA Form 337, Major Repair and Alteration (Airframe, Powerplant, Propeller, or Appliance), to the Aircraft Registration Branch (AFS-750) as required by part 43 appendix B.

D. Change of Location. An IA holder who changes the fixed base of operation may not exercise the privilege of the authorization before notifying the district office or International

Field Office (IFO) for the area where the new base is located. This notification must be in writing.

5-1283 COORDINATION REQUIREMENTS. None.

5-1284 REFERENCES, FORMS, AND JOB AIDS.

A. References (current editions):

- Title 14 CFR Part 65, Certification: Airmen Other Than Flight Crewmembers.
- AC 43.9-1, Instructions for Completion of FAA Form 337.
- AC 65-30, Overview of the Aviation Maintenance Profession.
- FAA-G-8082-11, Inspection Authorization Knowledge Test Guide.
- FAA-G-8082-19, Inspection Authorization Information Guide.
- FAA Order 8080.6, Conduct of Airman Knowledge Tests.
- Volume 14, Chapter 1, Section 3, Providing Written Compliance Philosophy Explanation and Pilot's Bill of Rights Notification.

B. Forms:

- FAA Form 8310-5, Inspection Authorization.
- FAA Form 8610-1, Mechanic's Application for Inspection Authorization-Privacy Act.
- Figure 14-1-3B, Sample Written Notification to an Airman Applicant, in Volume 14, Chapter 1, Section 3.

C. Job Aids. None.

5-1285 PROCEDURES.

A. Establishing Eligibility. The applicant's eligibility should be determined prior to taking the IAR Knowledge Test. The ASI conducting the eligibility interview must hold a Mechanic Certificate with A&P ratings.

1) Instruct the applicant to complete one PBR notice (FAA Order 8900.1, Volume 14, Chapter 1, Section 3, Figure 14-1-3B), and sign two originals of FAA Form 8610-1 (original signatures). After successful completion of the IAR Knowledge Test, one original FAA Form 8610-1 and the PBR notice will be sent to AFS-760, and the other original FAA Form 8610-1 will remain in the district office.

2) Require the applicant to provide positive proof of identification. The applicant must present a current photo ID and provide a signature on the form, as well as the applicant's actual physical address if it is different from the mailing address in FAA Form 8610-1, block 3. Acceptable forms of identification include, but are not limited to:

- A State-issued driver's license,
- Government ID cards,

- Passports,
- Alien residency cards, and
- Military ID cards.

B. Review for Completeness. When the applicant completes FAA Form 8610-1, the ASI determines that the applicant meets the requirements stated on the form, including the prior 2-year work requirement as noted in FAA Form 8610-1, block 11. The ASI may wish to contact the employing agency listed in block 11 of the application for verification of § 65.91 requirements. The ASI will then:

1) Conduct a search of the Enforcement Information System (EIS) to determine if any suspension or revocations are in effect against the Mechanic Certificate.

2) Review the applicant's publications and technical data as listed in FAA-G-8082-11 or FAA-G-8082-19, appendix 2, and determine:

- That it is complete,
- That it is current, and
- How the material will be kept current.

C. Establishing Qualifications.

1) The ASI will interview the applicant to the extent necessary to determine that the applicant is qualified per the requirements for the authorization as specified in § 65.91(c)(1) through (4). The ASI may wish to visit the applicant's facility if necessary to verify that the applicant meets these requirements prior to granting permission to test.

2) Once you have established qualification, note this in item 14 of FAA Form 8610-1 by checking the endorsement box. The approving inspector will then sign the first signature block of item 14, and print his or her name under the signature. The ASI will complete item 14 by adding the office identification and date in the appropriate block of that section and will enter the statement "Endorsement expires in 30 days" in item 12, "Remarks."

NOTE: Advise applicants that upon receiving a passing test result, they must return to the authorizing district office and preferably meet with the authorizing ASI for issuance of the IA.

NOTE: If the applicant plans to relocate within 30 days of anticipated IA appointment or testing, the applicant should make initial application at the district office having geographic responsibility over their new location.

D. Instructions for Testing.

1) The ASI will instruct the applicant to present required identification, a completed FAA Form 8610-1 signed by the interviewing FAA ASI, and an authorized calculator at the test site. The ASI will inform the applicant where they may take the test. The IAR Knowledge Test is available at only one location in most Flight Standards District Office (FSDO) districts. If the applicant fails the test, the applicant may retest after 90 days by presenting the failed test report

at the test site. The applicant may return to the FSDO for new authorization to test or when the applicant returns with a passing test report. The ASI issuing the IA may wish to review the applicant's qualification again if a substantial amount of time has elapsed in the testing process (6 months or more), in addition to recording results on a new FAA Form 8610-1 at that time. Testing may be allowed at a test site in another district office's area of jurisdiction. The ASI may call AFS-630 at the Mike Monroney Aeronautical Center (MMAC) in Oklahoma City, OK, at 405-954-2990, for the locations of test sites.

2) The ASI should open a file in the mechanic's name accessible to other FSDO personnel, as needed. The file will hold one of the two original signed copies of FAA Form 8610-1 until the applicant returns with a passing test result.

3) When the applicant returns with a test report, the ASI should review it, noting the number of tests taken and their dates. If the applicant has taken the test more than once, the ASI should determine the reason. It may be that the applicant has used the option of retaking a passed test after 30 days in hopes of obtaining a better score, or has fraudulently retaken a failed test in less than the 90-day waiting period. If the ASI cannot determine this locally through questioning of the testing facility and/or applicant, the ASI will contact AFS-630 at 405-954-2990 for a complete review of the applicant's testing activity.

5-1286 TASK OUTCOMES.

A. Complete the PTRS Record.

B. Issue the IA. When the applicant returns to the selected district office with a passing score, the ASI issuing the IA authorization should ensure blocks 1 through 13 of the duplicate office file FAA Form 8610-1 were complete correctly and that the ODA AKT unit member test site destroyed the other original FAA Form 8610-1. The ASI should now complete the duplicate original FAA Form 8610-1 held in the office file as follows:

1) Block 12, Remarks: Enter the statement "FAA Form 8310-5 issued (date)."

2) Block 14, Record of Action: The ASI checks "Issuance" and then dates and signs the last signature block of item 14 and prints his or her name under the signature.

3) Type all information on the face of FAA Form 8310-5.

4) Enter the mechanic's full name in the space provided.

5) Make certain that the Mechanic Certificate number entered on FAA Form 8310-5 is the same as that appearing on the applicant's Mechanic Certificate.

6) Have the applicant sign FAA Form 8310-5 in ink.

7) Forward one original completed FAA Form 8610-1, along with the original IAR Knowledge Test and the PBR notice, to AFS-760. Retain the other original FAA Form 8610-1 for the district office files.

8) Enter IA information into the enhanced Vital Information Database (eVID). Print the eVID entry and place a copy in the IA file as office policy dictates.

NOTE: The test site retains and destroys the FAA Form 8610-1 that the applicant takes to the test site. This is to preclude the applicant from fraudulently reusing the form to retake the test in less than 90 days if the test is failed.

5-1287 FUTURE ACTIVITIES:

- Inform the IA holder of the requirement to report any change of base of operation.
- Conduct IA renewal and routine surveillance.

RESERVED. Paragraphs 5-1288 through 5-1305.

VOLUME 6 SURVEILLANCE

CHAPTER 6 PART 137 INSPECTIONS

Section 1 Conduct a Part 137 Base Inspection

6-1446 PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODE. 1616.

6-1447 OBJECTIVE. The objective of this task is to determine that the principal base of operations for an applicant for a Title 14 of the Code of Federal Regulations (14 CFR) part 137 Operating Certificate, or for an existing operator, meets the regulatory requirements of the certificate. Successful completion of this task results in an indication of satisfactory or unsatisfactory in the operator's district office file.

6-1448 GENERAL.

A. Title 14 CFR Requirements. Title 14 CFR does not specify what type of physical facilities an agricultural operator must have. This is usually governed by state and local regulations and to some extent by regulations of the Environmental Protection Agency (EPA).

B. Inspection Coverage. Federal Aviation Administration (FAA) inspectors have no enforcement authority for state, local, United States Department of Agriculture (USDA), or EPA areas. If the inspector suspects there might be a violation of a non-aviation regulation, they should inform the operator. Aviation safety inspectors (ASI) should coordinate with the local EPA, USDA, or state office having jurisdiction over the operation and request assistance.

C. Aviation Safety. The inspector's duty is to determine that the operator's practices and procedures at the base of operations conform to 14 CFR insofar as it applies.

6-1449 SPECIFIC AREAS OF CONCERN.

A. Preparation. Before going to an agricultural operator to conduct surveillance, it is important that the inspector review the district office file on the operator. This will give the inspector insight into the type of operation being conducted (i.e., private, commercial, or congested area operation). In the case of a newly certificated operator, weak areas noted in the certification report should be studied, then closely examined during the inspection.

B. Examination of Operator Records.

1) A discussion with the operator and review of the records should indicate to the inspector if any business names are being used other than the ones appearing in the part 137 Operating Certificate and Web-based Operations Safety System (WebOPSS) paragraph A001.

2) The records shall be located where the operator has designated the principal base of operations. Unusual circumstances may dictate that the records may temporarily be at a different location, and the inspector must use some judgment in evaluating such a situation.

3) Private agricultural operators are not required to maintain records in accordance with part 137, § 137.71. When reviewing commercial operator records, the inspector may find that the records are copies of bills or invoices sent to the operator's customers. Since there is no set procedure on what form commercial operator records must be, any method used by the operator is satisfactory as long as it maintains the minimum requirements of § 137.71(a)(l), (2), and (3), which includes:

a) Name and address of person to whom services were rendered;

b) Date of service; and

c) Name and quantity of material dispensed.

4) Pilot records are usually kept separate from the operating records, and they must meet the requirements of § 137.71(a)(4). Operators should be encouraged to keep pilot records and dispensing records together to provide a more complete record if it is ever requested.

5) An operator, including a private operator, must present evidence that each person used in the agricultural operations has been informed of their duties and responsibilities.

C. Private Operators. Since a private operator is not required to keep records, the inspector must discuss the private operator's operations in sufficient detail for the inspector to ensure that operations for compensation or hire are not being conducted. The inspector must verify that only the property or the crop, in which the operator has an interest or ownership, is all that is being serviced. Leases or other written agreements can be accepted as proof of bona fide property interest. This has been a weak area in the past, but, in the attempt to ensure compliance, the inspector must take care not to make the discussion seem accusatory. If, on the other hand, the inspector has received complaints about the private operator, the appropriate investigatory procedures must be followed. (See Volume 7, Chapter 5, Conduct a Complaint Investigation; or Volume 7, Chapter 6, Conduct an Investigation of FAA Flight Operations to Determine Compliance, as appropriate.)

D. Aircraft Inspection. A detailed examination of the aircraft is usually conducted by an Airworthiness inspector. See Volume 6, Chapter 6, Section 5 for details of airworthiness inspection requirements. However, when circumstances prevent airworthiness from being represented during the inspection, the Operations inspector should ensure that all available aircraft and their aircraft maintenance documents are examined for at least a current annual inspection, for installation of seatbelts and shoulder harnesses, to ensure that all required equipment is installed and operational, and for a facsimile of the part 137 Operating Certificate on board.

1) Original airworthiness and registration certificates are not required to be kept in the aircraft, but they must be available at the base of operations from which dispensing operations are conducted. The test for determining a "base of operations" is the basing of maintenance facilities and personnel.

2) With respect to aircraft modifications, Airworthiness inspectors must be consulted.

E. Air Traffic Control (ATC) Coordination. The inspector must ensure that the operator has made prior arrangements with airport management and ATC before operating in and around airports.

F. Night Operations. Night operations may be conducted under certain conditions. The following is guidance which is useful for the ASI in assessing the safety considerations of such operations.

1) Agricultural aircraft operating between sunset and sunrise must adhere to the provisions of 14 CFR part 91, §§ 91.205(c)(2) and (3), and 91.209. However, § 137.47 permits an agricultural aircraft to operate without position lights if prominent unlighted objects are visible for at least 1 mile.

a) Agricultural aircraft without position lights may conduct takeoffs and landings at airports with a functioning control tower only as authorized by ATC.

b) Takeoffs and landings at uncontrolled airports can be conducted only with the permission of the airport management and when other aircraft operations, requiring position lights, are not in progress.

2) The operator should be encouraged to establish safety practices and procedures for the operator's particular operation, including night operations. The following guidelines are some, but certainly not all, suggestions for these practices and procedures.

a) The field where night operations are to be conducted should be checked from the ground in daylight with the ground personnel, if they are used, or with the supervisor of the operation. A plan for working the field should be developed. The pilot may find it advantageous to diagram the field and indicate the approximate locations of any obstructions, which could affect the safety of the operation.

b) Immediately before a night operation, the pilot should obtain any information available concerning the possibility of a temperature inversion in the area of operation. Inversions cause suspension in the air of dust particles and liquid droplets that can result in an uncontrollable drift problem. Operations should not be conducted in areas of temperature inversions.

c) When chemical dust is dispensed, the resulting cloud could spread in such a way that the horizon, flaggers, or other ground references become obscured. If this condition occurs, the operation must be halted until ground references are once again visible.

d) The operator should establish flight experience qualifications for pilots conducting night operations. For example, an operator may require pilots to acquire 15 to 25 hours in operations in proximity to the area of proposed night operations. Another, more specific qualification would be to require a pilot to work an area during daylight before working the same area at night.

e) Operators should also consider establishing minimum field sizes, based on the number, location, and kind of obstructions, for night dispensing operations. For example,

1. A relatively small field (1,500 feet by 1,500 feet) may be safe if bounded on only two sides by obstructions.

2. A larger field (1,500 feet by 2,500 feet) could be safe with obstructions on three sides.

3. Operations at fields with obstructions on all four sides should be considered only if the field is 2,500 feet by 2,500 feet or larger.

4. These dimensions are only suggestions and are not standards established by the FAA. The operator should establish standards appropriate to the geographical area where operations are conducted and the type of equipment they are operating.

6-1450 GUIDELINES FOR BASE INSPECTIONS.

A. Coordination. When an Airworthiness inspector cannot attend the base inspection, the Operations inspector should tailor the inspection to examine the aspects of an inspection that the Airworthiness inspector would normally do. For example,

1) The inspector should be prepared to examine the equipment, such as the aircraft and dispensing equipment.

2) The inspector should also observe preflight checks performed by the pilots, such as verifying the integrity of the dispersal equipment, loading of the appropriate amounts (weight) of chemicals, etc.

3) The inspector should coordinate with an Airworthiness inspector to ensure follow-up inspections of any items outside of the Operations inspector’s expertise.

B. Levels of Deficiency and Appropriate Corrective Action. The following are some examples of various deficiencies that might occur in an inspection and the appropriate action to take for the situation. The actions described are based on two assumptions.

1) First, if a discrepancy is found, the base inspection is completed anyway. After inspection, all deficiencies and recommended corrective actions would be summarized in a note to the file and/or in remarks to the PTRS data sheet.

2) Second, an unsatisfactory report often calls for an enforcement investigation. Unsatisfactory reports are usually based on obvious violations found during the inspection. There are intermediate stages between satisfactory and unsatisfactory results, any of which may result in a satisfactory inspection with corrective action.

a) A spot correction involves a discrepancy, which was noted and corrected during the inspection and which was not a violation. Because it was corrected on the spot, it may require no further action. An example of a spot correction might be: The inspector does not find a facsimile of the agricultural aircraft operator's certificate on board the aircraft. The corrective action would consist of the inspector notifying the operator of this discrepancy. During the remainder of the inspection, the operator makes a copy of the certificate and places it in the aircraft. No other corrective action would be necessary if the inspector found that no agricultural operations were conducted without the facsimile on board. However, the inspector shall mark the PTRS sheet with an "I" to indicate information. The inspector shall note the discrepancy and the spot correction on the data sheet and/or the job aid.

b) A followup action involves deficiencies or lack of pilot knowledge or skill that do not involve a violation but which requires action other than a spot correction. For example, during the inspection the inspector noted that a required placard was not in place on the aircraft and a replacement for the placard was not readily available. However, there was no evidence that the aircraft had been operated without the placard. The corrective action would consist of the inspector verbally advising the operator that the placard must be in place before the aircraft is operated again. At the office the inspector would confirm this in writing to the operator and schedule a followup inspection to determine if the placard was replaced. The inspector shall mark the PTRS data sheet with an "F" to indicate a followup action.

c) A blatant violation could be cause for a finding of unsatisfactory for the base inspection. For example, during the inspection the inspector finds that a new chief supervisor has been designated and has acted in that capacity but has not completed the knowledge and skill test. The inspector shall mark the PTRS data sheet with an "E" to indicate the inspection resulted in an enforcement investigation. (See Volume 7, Chapter 6 and FAA Order 2150.3, FAA Compliance and Enforcement Program.)

C. Discrepancies Between District Office Files and Operator Files. When a discrepancy is found between office records kept on the operator and records maintained by the operator, the inspector shall determine which set of records is current, approved, and correct. The outdated records must be brought up to date. For example, the operator's records indicate a change in the address of the base of operations, of which the FAA was not aware. District office records must be corrected to reflect the current address. The inspector must determine whether an enforcement action is necessary.

6-1451 INITIAL CERTIFICATION VS. LATER SURVEILLANCE. When this task is performed as the base inspection for an original certification (during the Demonstration and Inspection Phase of the certification process), there are necessarily some items that cannot be inspected. For example, an applicant for an agricultural aircraft Operator's Certificate would not have a certificate or certificate facsimile examined. For an original certification, the inspector marks the "N/A" column on the job aid (Figure 6-71, Part 137 Base Inspection Job Aid) for items that cannot be evaluated.

6-1452 PREREQUISITES AND COORDINATION REQUIREMENTS.

A. Prerequisites. This task requires knowledge of the regulatory requirements of part 137 and FAA policies and qualification as an ASI (Operations).

B. Coordination. This task requires coordination with the airworthiness unit.

6-1453 REFERENCES, FORMS, AND JOB AIDS.

A. References (current edition):

- Title 14 CFR Parts 1, 61, 91, and 137.
- PTRS Procedures Manual (PPM).
- Advisory Circular (AC) 137-1, Certification Process for Agricultural Aircraft Operators.

B. Forms:

- FAA Form 8000-36, Program Tracking and Reporting Subsystem Data Sheet.
- FAA Form 1360-33, Record of Visit, Conference, or Telephone Call.
- Current Copy of the Pilot's Bill of Rights Notification.

C. Job Aids. Figure 6-71, Part 137 Base Inspection Job Aid.

6-1454 PROCEDURES.

A. Pre-Inspection Activities.

1) Determine the need for the inspection.

- District office work program schedule;
- Requested by the Regional Office (RO);
- As a result of complaints;
- As part of the certification process; and
- As per FAA Order 1800.56, National Flight Standards Work Program Guidelines.

2) Determine if the inspection is to be conducted with or without notice to the operator. Conduct initial certification inspections as per the submitted Schedule of Events (SOE).

a) If the inspection is to be conducted with notice to the operator, notify the operator by telephone of the day, time, and nature of the inspection. Record the notification on FAA Form 1360-33 and place it in the operator's file.

b) If the inspection is to be conducted without notice to the operator, schedule the day and time.

3) Review the district office file on the operator for previous violations, complaints, accidents, and other inspection reports. Note any areas which require special attention.

4) Review with the airworthiness or avionics units for a plan of action and for any specific problem areas.

5) Open PTRS file.

B. Conduct Base Inspection. Use the job aid in Figure 6-71 to assist during the inspection.

1) Inspect aircraft (airworthiness).

2) Determine if chief supervisor and other pilots are qualified (§ 137.19(b) and (c)).

3) Determine if knowledge and skill tests have been conducted and their results (§ 137.19(e)(1) and (2)(b)). For congested area operations, determine that each pilot in command (PIC) meets the experience requirements (§ 137.53(b)(1) and (2)).

4) If the operator conducts congested area operations, determine that the congested area plan (CAP) has been FAA-approved as per Volume 3, Chapter 52, Section 2, Evaluate a Part 137 Congested Area Operations Plan.

5) Determine that the applicant understands the limitations involved with agricultural aircraft operations, which include:

- Limitations on passenger carrying;
- Weight and Balance (W&B) limitations;
- Limitations on operating without position lights;
- Limitations on dispensing in congested areas;
- Limitations on not observing standard airport traffic patterns; and
- Section 91.119 limitations concerning ferrying to and from dispensing sites.

6) Determine that commercial operator records meet the requirements of § 137.71.

7) If all items in the inspection are satisfactory, note the outcome on the job aid.

8) If the inspection is not satisfactory, inform the operator immediately. Note the outcome on the job aid. Confirm unsatisfactory items in writing to the applicant (Figure 6-72, Letter to Operator Confirming Unsatisfactory Items). Initiate an enforcement investigation, if appropriate. (See Volume 7, Chapter 6.)

C. Debrief Operator. Discuss with the operator any areas needing improvement. Additionally, if applicable, discuss areas which may require an Enforcement Investigative Report (EIR) and the normal enforcement action process.

D. Inspection Reports. Place the job aid and a copy of any correspondence with the operator in the operator's district office file.

E. PTRS. Close PTRS file.

6-1455 TASK OUTCOMES. The satisfactory completion of this task results in either:

- An indication in the district office file that all items were satisfactory; or
- An indication in the district office file of unsatisfactory items.

6-1456 FUTURE ACTIVITIES.

- Additional inspections on follow up items;
- Additional inspections as per program guidelines; or
- Possible enforcement investigation when inspections reveal a violation of 14 CFR or the conditions of the Operating Certificate.

Figure 6-71. Part 137 Base Inspection Job Aid

14 CFR PART 137 BASE INSPECTION JOB AID						
NAME OF OPERATOR	CERTIFICATION TEAM Name _____ _____		Specialty _____ _____			
ADDRESS:	_____		_____			
ITEMS INSPECTED		**INSP. INITIAL**	**DATE**	**SAT**	**UN-SAT**	**N/A**
1. Certificate conforms to district office copy.						
2. Chief supervisor same as district office records.						
3. Operator uses appropriate aircraft.						
a. Aircraft certificated and Airworthy.						
b. Aircraft equipped for agricultural operations.						
c. Inspection of load-carrying or attaching devices.						
d. Inspection of optional equipment installation.						
e. Airworthiness Directives (AD) current.						
f. Inspection of installation and function of spray or diffusion dry dispersal equipment and jettisoning device.						
g. In-house or contract maintenance observed.						
h. Minimum equipment lists (MEL) current and approved by Web-based Operation Safety System (WebOPSS) paragraph D095.						
i. Certificate facsimiles on board all aircraft used in agricultural operation.						

Figure 6-71. Part 137 Base Inspection Job Aid (Continued)

4. Chief supervisor and other pilots.					
a. Airman and medical certificate appropriate.					
b. Knowledge test passed (§ 137.19(e)(1)).					
c. Skill test passed (§ 137.19(e)(2)).					
d. Pilots used in congested area operations meet requirements of § 137.53(b)(1) and (2).					
5. Congested area operations conducted.					
a. Operator has Federal Aviation Administration (FAA)-approved plan.					
b. Plan includes approval by appropriate government officials.					
c. Plan provides for air traffic control (ATC) coordination, if required.					
d. Plan includes a complete description of the operation.					
e. Plan lists all aircraft used by make and model (M/M) and N-number.					
f. Aircraft have current annual and/or 100-hour inspections (§137.53(c)(1)).					
g. Plan lists all pilots used by name, certificate grade, and certificate number.					
h. Plan includes appropriate maps, charts, and diagrams.					
i. Plan has a specific method for halting operation if safety may be compromised.					
k. Plan clearly describes who is conducting the operation and what is being contracted.					

Figure 6-71. Part 137 Base Inspection Job Aid (Continued)

6. The operator conforms to:					
a. Prohibitions on passenger carrying.					
b. Weight and Balance (W&B) limits.					
c. Limitations on operating without position lights.					
d. Limitations on dispensing in congested areas.					
e. Limitations on not observing standard traffic patterns.					
f. Limitations on restricted category aircraft, if used (§ 91.313(b) and (c)).					
g. Section 91.119 limitations on ferrying to and from dispensing sites.					
7. Commercial operator recordkeeping.					
a. Name of each person provided service.					
b. Date service provided.					
c. Name and quantity of material dispensed.					
d. Name of each pilot used and date § 137.19(e) was met.					
e. Records kept for at least 12 months.					
8. Bona fide property interest (private operators).					
REMARKS:					
Inspector's Signatures:					

Figure 6-72. Letter to Operator Confirming Unsatisfactory Items

[*FAA Letterhead*]

[*Date*]

[*Operator's name and address*]

Dear [*Operator's name*]:

This letter is to confirm those items that were unsatisfactory in the base inspection conducted on [indicate date].

[*The inspector should list each item and indicate:*

(a) Whether sufficient corrective action has been taken by the operator,

(b) That enforcement action may be initiated, and

(c) If a followup inspection is required to determine if corrective action has been completed when that inspection will take place.]

Sincerely,

[*Certification Project Manager's signature (if initial certification) or Principal Operations Inspector's signature (if surveillance of an established operator)*]

RESERVED. Paragraphs 6-1457 through 6-1475.

VOLUME 6 SURVEILLANCE

CHAPTER 7 PART 141 INSPECTIONS

Section 1 Conduct Facility Inspection of a Part 141 Pilot School

6-1551 PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODES.

A. Initial Certification. Use activity code: 1371 TECH/ADMN/AGNC/EVAL TNG FACIL.

B. Surveillance. Use activity codes:

- 1640 SURVL/AGNCY/FACILITY INSP.
- 1646 SURVL/AGNCY/AMN TNG/CURRICULUM.
- 1647 SURVL/AGNCY/TNG FACILITY/EQUIP.
- 1648 SURVL/AGNCY/PROF CHIEF/ASST FI.
- 1649 SURVL/AGNCY/STUDENT RECORDS.
- 1650 SURVL/AGNCY/PERSONNEL RECORDS.
- 1651 SURVL/AGNCY/PHASE CHECKS.
- 1652 SURVL/AGNCY/RAMP.
- 1653 SURVL/AGNCY/ACFT/DOCUMENTS.
- 1654 SURV/AGNCY/SIMLTR-TNG DEV DOC.
- 1671 SURVL/AIRM/ACR EXAMINER.

6-1552 OBJECTIVE. Determine whether an applicant for a Title 14 of the Code of Federal Regulations (14 CFR) part 141 certificate meets the certification requirements, or an existing school continues to comply with the regulations. Successful completion of this task results in an indication of a satisfactory or an unsatisfactory inspection.

6-1553 GENERAL. The initiative for this task comes from either the Flight Standards District Office (FSDO) work program schedule or the Regional Office (RO). Facility inspections are always conducted during the initial certification of a pilot school and at 24-month intervals during the certification renewal. They also may be conducted during spot checks initiated for quality control purposes. A facility inspection generally covers all areas pertinent to the certificate.

6-1554 GUIDELINES FOR CONDUCTING FACILITY INSPECTIONS.

A. Coordination. When an Airworthiness aviation safety inspector (ASI) cannot attend the facility inspection, the Operations ASI should tailor the inspection to examine the aspects that an Airworthiness ASI would normally examine. For example:

1) The ASI should be prepared to examine any available aircraft.

2) The ASI should coordinate with the principal maintenance inspector (PMI) and the principal avionics inspector (PAI) to ensure followup inspections of any items outside of the Operations ASI's expertise.

B. Levels of Deficiency and Appropriate Corrective Action. Following are some examples of various deficiencies that might occur in an inspection, and the appropriate action to take for each situation. The actions described are based on two assumptions.

1) Even if a discrepancy is found, the ASI continues the facility inspection for all items. After inspection, all the deficiencies and recommended corrective actions are summarized in a note to the file and/or in remarks in the PTRS.

2) An unsatisfactory report may initiate an enforcement investigation. Unsatisfactory reports are based usually on obvious violations found during the inspection. There are intermediate stages between satisfactory and unsatisfactory results, any of which may result in a satisfactory inspection with corrective action.

a) A spot correction involves a discrepancy that was not a violation and was noted and corrected during the inspection. Because it was corrected on-the-spot, it may require no further action. An example of a spot correction is as follows: The ASI finds a student record that does not contain the student's date of graduation in the appropriate box. However, a photocopy of the student's graduation certification with the date is included with the record. The corrective action consists of the ASI verbally notifying the school of this discrepancy. During the remainder of the inspection, the chief instructor enters the record according to the school's procedures. Additional corrective action is not necessary. The ASI will note the discrepancy and the spot correction in PTRS and/or the job aid.

b) A followup action involves a deficiency or a lack of pilot knowledge or skill that does not involve a violation, but does require action other than a spot correction. For example, during an inspection the ASI notes that the pretakeoff and prelanding checklists were not in the aircraft and those copies of the checklists were not readily available. There was no evidence that the aircraft had been operated for student instruction without the checklists. The corrective action consists of the ASI verbally advising the operator that the checklists must be in place before the aircraft is operated again for instruction in a Federal Aviation Administration (FAA)-approved course. At the office, the ASI confirms this in writing to the operator and schedules a followup inspection to determine if the checklists were replaced. The ASI will note the discrepancy by marking the PTRS and/or the job aid with an "F" as a reminder that followup action is required.

c) A blatant violation is cause for a finding of "unsatisfactory" for the facility inspection. For example, during the inspection an ASI finds that training was conducted for more than 60 days without a chief instructor. The ASI marks the PTRS with an "E" indicating that the inspection resulted in an enforcement investigation (see Volume 14, Chapter 1, Section 2, Flight Standards Service Compliance Action Decision Procedure, and FAA Order 2150.3, FAA Compliance and Enforcement Program).

C. Spot Checks on Chief Instructor and Other Instructors During an Inspection. Spot-check the knowledge and skill of the instructors that a school uses. Spot checks of instructors are necessary to verify continuing compliance and to ensure that the chief instructors are fulfilling their responsibilities in standardizing instruction.

D. Discrepancies Between FSDO Files and Operator Files. When a discrepancy is found between office records kept on the operator and records maintained by the operator, the ASI determines which set of records is current, approved, and correct. The outdated records must be brought up to date. For example, if the operator's records indicate a change in address of the base of operations that the FAA was not aware of, FSDO records must be altered to reflect the correct address. The ASI determines whether an enforcement action is necessary and updates the enhanced Vital Information Database (eVID) files.

6-1555 INITIAL CERTIFICATION VS. LATER SURVEILLANCE. When this task is performed as the facility inspection for an original certification during the demonstration and inspection phase of the certification process, some items cannot be inspected. For example, an applicant for an application will not have complete student records for the ASI to examine. For an original certification, the ASI marks the "N/A" column on the job aid (see Figure 6-87, Part 141 Facility Inspection Job Aid, for items that cannot be evaluated).

6-1556 PREREQUISITES AND COORDINATION REQUIREMENTS.

A. Prerequisites. This task requires:

- Knowledge of the regulatory requirements of part 141 and FAA policies.
- Qualification as an ASI (Operations).

B. Coordination. This task requires coordination with the principal operations inspector (POI) and the airworthiness unit.

6-1557 REFERENCES, FORMS, AND JOB AIDS.

A. References (current editions):

- Title 14 CFR Parts 1, 61, 91, and 141.
- FAA Order 2150.3, FAA Compliance and Enforcement Program.

B. Forms. None.

C. Job Aids:

- Part 141 Facility Inspection Job Aid (Figure 6-87).
- Sample letters and figures.
- Job Task Analyses (JTA): 2.4.1 (OP), 2.4.2 (OP), 2.4.6 (OP), 2.4.7 (OP), 3.4.9 (OP), 3.4.11 (OP), 3.4.12 (OP), 3.4.18 (OP), 3.4.19 (OP), and 3.4.20 (OP).

6-1558 PROCEDURES.

A. Conduct Pre-Inspection Activities.

1) Determine the need for the inspection.

a) Is the inspection scheduled on the FSDO work program?

b) Is the inspection a request of the RO or of headquarters (HQ)?

c) Is the inspection the result of complaints?

d) Is the inspection part of the certification process?

2) Determine if the inspection is to be conducted with or without notice to the school. Conduct initial certification inspections according to the submitted Schedule of Events.

a) If the inspection is to be conducted with notice to the school, notify the school in writing of the day, time, and nature of the inspection (see Figure 6-85, Letter Informing School of Facility Inspection).

b) If the inspection is to be conducted without notice to the school, schedule the day and time.

3) Review the school's FSDO file for complaints, previous enforcement history, accident/incident history, previous facility inspections and surveillance reports, and previous regional or national work program actions.

4) Review the school's FSDO file with the airworthiness or the avionics units for a plan of action and for any specific problem areas.

B. Open the PTRS Record.

C. Conduct Facility Inspection.

1) Determine if the following documents are current, complete, and accurate (for a certificated air agency, a sampling may be sufficient):

- School certificates (part 141, § 141.19).
- List of approved courses.
- Facility use agreement.
- Type of advertisement (§ 141.23).
- Chief/assistant instructor records.
- Flight instructor records.
- Student records (§§ 141.95 and 141.101).
- Enrollment certificates (§ 141.93).
- Graduation certificates (§ 141.95).
- Aircraft records (including aircraft checklist).

- Practical test standards (PTS).
- Training course outline (TCO) revisions (must match revisions in FSDO file).

2) Inspect the following physical facilities and equipment for compliance:

- Airports (§ 141.38).
- Aircraft (airworthiness).
- Full flight simulators (FFS), flight training devices (FTD), aviation training devices (ATD), and training aids (§ 141.41).
- Pilot briefing areas (§ 141.43).
- Ground training facilities (§ 141.45).

3) Check these additional points:

- Compliance with provisions of limitations (§ 141.77).
- Flight training (§ 141.79).
- Quality of training (§ 141.83).
- Chief instructor responsibilities (§ 141.85).

D. Follow Procedures for a Satisfactory Facility Inspection. If the facility inspection is satisfactory, indicate the outcome on the job aid (Figure 6-87).

1) For an initial certification, ensure that the job aid becomes part of the certification report.

2) For post-certification surveillance, place the job aid in the FSDO file on the school.

E. Follow Procedures for an Unsatisfactory Facility Inspection.

1) If the facility inspection was unsatisfactory when conducted as part of an initial certification, inform the applicant immediately of the discrepancies.

a) Advise how to correct any deficiencies or discrepancies.

b) Confirm the findings in writing (see Figure 6-86, Letter Confirming Results of Inspection), including a suspension date for correction of deficiencies.

c) Note the outcome on the job aid.

d) Ensure that the job aid is included in the certification report.

2) If the facility inspection was unsatisfactory when conducted as part of post-certification surveillance, note the outcome on the job aid.

a) Place the job aid in the FSDO file on the school.

b) Determine if an enforcement investigation is required (see Volume 7, Chapter 6).

F. Conduct Post-Inspection Actions. Discuss any findings discovered during the inspection with the school. Bring areas that need improvement to the attention of the school. Compliment the areas that exceed certification or inspection requirements.

G. Close the PTRS Record.

6-1559 TASK OUTCOMES. Completion of this task results in either of the following:

- An indication of a satisfactory facility inspection in the FSDO file on the school, or
- A letter indicating an unsatisfactory inspection and indicating areas of deficiency or discrepancy.

6-1560 FUTURE ACTIVITIES:

- Schedule followup inspections for any deficiencies.
- Possible enforcement investigation on items not in compliance.

Figure 6-84. Reserved

Figure 6-85. Letter Informing School of Facility Inspection

FAA Letterhead

[Date]

[School Name and Address]

Dear [Name]:

Inspectors from this office will conduct an inspection of your pilot school at [time] on [date]. The purpose of this inspection is to determine whether your school is operating in accordance with 14 CFR part 141.

Enclosed is a copy of the inspection job aid for your review. This job aid will be used to assist us in conducting the inspection. If you have any questions, please contact this office [telephone number].

Sincerely,

[Principal Operations Inspector's signature]

Figure 6-86. Letter Confirming Results of Inspection

FAA Letterhead

[Date]

[School Name and Address]

Dear [Name]:

The results of the inspection of your pilot school conducted on [date] are as follows:

List the discrepancies and the specific 14 CFR requirement.

Note any corrective action that was taken or needs to be taken.

Note the dates of followup inspections, if necessary.

Indicate that any items not corrected by a specific date may result in enforcement action, if already certificated.

If all discrepancies were resolved by the date of this letter, indicate that no enforcement action is pending.

Sincerely,

[Principal Operations Inspector's signature]

Figure 6-87. Part 141 Facility Inspection Job Aid

NAME OF SCHOOL:	INSPECTION TEAM				
	Name		Specialty		
ADDRESS:	**INSP. INI-TIAL**	**DATE**	**SAT**	**UNS**	**N/A**
1. TCOs					
a. Current					
b. Conforms to copy from district office file					
c. All changes FAA-approved					
2. Verification of flight instructor's qualifications					
3. Chief instructor/assistant for each course					
4. Enrollment procedures conform to § 141.93					
5. Copies of enrollments sent to district office					
6. Safety procedures/practices as per § 141.93					
7. Graduation certificates as per § 141.95					
8. Recordkeeping as per § 141.101					
9. Minimum equipment lists (MEL) current (if applicable)					
10. Aircraft meet requirements of § 141.39/141.75					
11. Chief instructor standardization of all instructors					
12. Pilot briefing areas (§ 141.43)					
13. Ground training facilities (§ 141.45)					
14. Airports (§ 141.38)					
15. Flight Simulators/Flight Training Devices (§ 141.41(a) and (b))					
16. Training aids (§ 141.41(c))					
17. Air Agency Certificate matches one on file					
18. List of current approved courses					
19. Other					
REMARKS:					

RESERVED. Paragraphs 6-1561 through 6-1575.

VOLUME 6 SURVEILLANCE

CHAPTER 11 OTHER SURVEILLANCE

Section 5 Surveillance of Sport Parachute Activities

6-2246 PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODES.

A. Operations: 1661, 1696.

B. Maintenance: 3627, 3628, 3678, 3694. 3681.

C. Avionics: 5627, 5681, 5694.

6-2247 OBJECTIVE. This section contains surveillance procedures conducted at Drop Zones (DZ) for inspectors when observing sport parachute operations. Sport parachute surveillance usually involves aircraft, pilots, parachute riggers, owners, operators, aircraft mechanics, and parachutists. This does not include surveillance of a parachute demonstration conducted under a Certificate of Authorization (COA) (e.g., sporting events, stadiums, over or into open-air assembly of persons, or congested areas). See Volume 6, Chapter 11, Section 10, paragraph 6-2378, Observance of Parachute Jumps, for surveillance procedures related to these activities.

A. Recommendations. The National Transportation Safety Board's (NTSB) findings have raised safety concerns regarding the sport parachute operations industry, which may increase Federal Aviation Administration (FAA) surveillance per current Federal regulations. Refer to Title 14 of the Code of Federal Regulations (14 CFR) parts 43, 61, 65, 91, and 105 for legal regulatory requirements.

B. Parachute Operations. The 14 CFR parts noted in this section address issues such as aircraft maintenance, pilot certification, rigger certification, aircraft operations, and inspection recording requirements, including parachute operations. Additionally, aircraft may be subject to the applicability of 14 CFR part 125 (20-seat capacity or more, or a maximum payload capacity of 6,000 pounds or more, and performing operations when common carriage is not involved) when operations meet the requirements of part 125.

C. Code of Federal Regulations (CFR) Compliance. This increased surveillance and reporting of sport parachute operations will help determine compliance with the current 14 CFR parts that are applicable to sport parachute operations.

6-2248 GENERAL.

A. DZ. A DZ, by definition per part 105, § 105.3, is "any pre-determined area upon which parachutists or objects land after making an intentional parachute jump or drop. The center-point target of a drop zone is expressed in nautical miles from the nearest VOR facility when 30 nautical miles or less; or from the nearest airport, town, or city depicted on the

appropriate Coast and Geodetic Survey World Aeronautical Chart or Sectional Aeronautical Chart, when the nearest VOR facility is more than 30 nautical miles from the drop zone."

B. Parachute Operation. Parachute operation staff includes owners, operators, pilots, parachute instructors, aircraft mechanics, and parachute riggers.

C. Sport Parachutist Seatbelt Requirements. The FAA does not consider sport parachutists as passengers when evaluating the regulatory compliance status of such operations. However, this does not eliminate the requirement for the use of safety belts set forth in part 91, § 91.107. Parachutists may use the floor of the aircraft as a seat, provided that the person is on board for the purpose of engaging in sport parachuting and the aircraft is approved for and equipped with floor-mounted seatbelt installations adequate for all parachutists.

D. United States Parachute Association (USPA). The sport parachute industry is largely self-regulated, with most sport parachute operators belonging to the USPA.

1) The USPA has established a group member program as a way for sport parachute schools, centers, and clubs to provide its affiliates with resources, such as recommended aircraft inspection programs, pilot safety information, and safety procedures.

2) The USPA is the only national skydiving organization currently recognized by the FAA.

3) The USPA "D" license is the only license that meets the master parachute license requirement of § 105.45.

4) Inspectors may verify USPA credentials by emailing uspa@uspa.org.

E. Aircraft Accident Notification. Per Title 49 of the Code of Federal Regulations (49 CFR) part 800, the NTSB requires notification and reporting of aircraft accidents or incidents under 49 CFR part 830. NTSB investigations involving accident aircraft during sport parachute operations have uncovered numerous safety concerns. The safety concerns listed below include pilot operations, parachute riggers, and aircraft operation and maintenance:

- Lack of use of an approved restraint system by parachutists during flight.
- Inadequate aircraft maintenance and inspections.
- Contaminated fuel.
- Pilot inattention to aircraft Weight and Balance (W&B).
- Aircraft modifications without proper FAA approvals.
- Lack of approved Flight Manual Supplements (FMS).
- Issues with pilot certification, flight currency, and training.
- Problems with parachute airworthiness, to include lack of compliance with Technical Standard Order (TSO)-C23, Personnel Parachutes Assemblies and Components.
- Lack of aircraft operational placards installed at certification, if required (see Supplemental Type Certificate (STC), aircraft Type Certificate Data Sheet (TCDS), or pilot's operating handbook (POH)).

6-2249 COORDINATION REQUIREMENTS.

A. Aviation Safety Inspector (ASI) Duties. When performing surveillance on parachute operations, it is helpful to coordinate the inspection with the operator.

B. District Surveillance. Each Flight Standards District Office (FSDO) should conduct sport parachute surveillance occurring within district boundaries as stipulated in FAA Order 1800.56, National Flight Standards Work Program Guidelines. ASIs can perform surveillance as a team, and an ASI experienced in sport parachute activities is recommended as a part of the inspection team when performing parachute operation surveillance.

6-2250 REFERENCES AND JOB AIDS (current editions).

A. References:

- Title 14 CFR Part 65 Subpart F.
- Title 14 CFR Part 91, § 91.409.
- Title 14 CFR Part 105.
- TSO-C23, Personnel Parachute Assemblies and Components.
- Advisory Circular (AC) 105-2, Sport Parachuting.
- FAA-H-8083-17, Parachute Rigger Handbook.

B. Job Aids:

- TCDS of applicable aircraft.
- FAA Order 8130.2, Airworthiness Certification of Aircraft.
- Volume 4, Chapter 9, Section 1, Perform Field Approval of Major Repairs and Major Alterations.
- USPA website: http://www.uspa.org.
- AC 43.9-1, Instructions for Completion of FAA Form 337.
- AC 90-66, Recommended Standard Traffic Patterns and Practices for Aeronautical Operations at Airports Without Operating Control Towers.
- FAA Orders & Notices website: https://employees.faa.gov/tools_resources/orders_notices.

6-2251 PROCEDURES.

A. Preparation. Prior to performing the parachute operation inspection, the ASI or ASI teams should be familiar with the following five points as they apply to parachute operations.

1) Aircraft.

- Aircraft maintenance and inspection.
- Aircraft modifications for sport parachute operations in accordance with FAA certification procedures.

NOTE: Modifications include type certificates (TC), STCs, amended TCs, alterations, and field approvals.

2) Pilots.

- Pilot certification—minimum commercial certificate, medical certification, and recent flight experience.
- Experience levels regarding parachute operations.
- Skydive aircraft formation flying (if applicable).

3) Parachute Harness and Container.

- Sport parachute harness and reserve parachutes (verify these are labeled per a TSO-C23 specification).
- TSO parachute pack date (refer to § 105.43(b)(1) and (2)).

4) Part 65 Parachute Rigger. Parachute riggers working with the operator: verify compliance with part 65 subpart F.

5) Parachute Operation. Section 105.3 defines parachute operations as "the performance of all activity for the purpose of, or in support of, a parachute jump or a parachute drop. This parachute operation can involve, but is not limited to, the following persons: parachutist, parachutist in command and passenger in tandem parachute operations, drop zone or owner or operator, jump master, certificated parachute rigger, or pilot."

B. Inspection Guidance.

1) Aircraft Inspection Programs. Aircraft inspection programs may vary between piston- and turbine-powered aircraft. The inspection program must satisfy applicable requirements of § 91.409. For part 125 aircraft, refer to part 125, § 125.247(e)(1) through (3). A maintenance record review can verify the inspection program used.

2) Modified or Altered Aircraft. Modified or altered aircraft used for sport parachute operations may have an FAA-approved flight manual supplement in the Aircraft Flight Manual (AFM), and/or placarded instructions installed per the applicable TC, STC, or field approval. Some older aircraft using FAA Form 337, Major Repair and Alteration (Airframe, Powerplant, Propeller, or Appliance), field approvals may list only placarded instructions for speed and door operation and may include installed skydiver restraint systems.

3) Pilot in Command (PIC). The PIC of an aircraft performing sport parachute operations for hire must hold at least a Commercial Pilot Certificate and a second class medical certificate. They must also meet the recent flight experience for the category of aircraft being flown per part 61, § 61.57. Pilots may have received specialized training for sport parachute flight operations. The training experience should include aircraft-type-specific performance data training, skydive aircraft formation flying (if applicable), preflight performance, postflight inspections, W&B, airport and traffic pattern operations, specific airplane limitations needed to comply with as a result of STC changes or modifications, maintenance reporting procedures

of discrepancies, and emergency procedures for each aircraft flown. Special attention should be given to ensure that the subject aircraft's W&B limitations are not exceeded under the loading conditions described in 14 CFR part 23, §§ 23.23 and 23.25, or equivalent standard under which the subject aircraft was certificated and a current and up-to-date equipment list is available. PICs should be familiar with the maintenance status and requirements of the aircraft. No PIC of an aircraft may allow any person to conduct a parachute operation from that aircraft unless the requirements of §§ 105.21, 105.23, 105.25, 105.43, and 105.45 are met. Verification of load manifest for the operations along with certifications of parachutists performing jump operations from an aircraft is validation the requirements are met. The PIC shall ensure all operations are conducted in accordance with the requirements of part 105.

4) Aircraft Operating with a Door Open or Removed. Aircraft may operate with a door opened or removed, in accordance with the AFM, a TC, amended TC, STC, or other FAA approvals. For instructions to attain a door open or removed FAA authorization, refer to Order 8130.2.

5) Single-Harness Dual-Parachute System. The sport skydiver single-harness dual-parachute system has one main parachute, one reserve parachute approved per TSO-C23, and a single-person harness and container approved per TSO-C23. The main parachute must have been packed within 180 days before the date of its use by a certificated parachute rigger, the person making the next jump with that parachute, or a noncertificated person under the direct supervision of a certificated parachute rigger, as required by § 105.43. Refer to § 105.45(a) for parachutist-in-command requirements and operations and § 105.45(b) for tandem parachute system requirements, which includes tandem parachute manufacturers' approved Automatic Activation Devices (AAD).

6) Parachute Rigger. A parachute rigger certificated through part 65, § 65.111 packs the TSO-C23-approved reserve or emergency parachute, and it must have been packed within 180 days of its use if using synthetic material, or within 60 days if using organic materials. Check the reserve parachute packing card for pack date compliance. Refer to § 65.131 and § 105.43.

7) One-Time Demonstration Skydive Operation. A one-time demonstration skydive operation may have a FSDO (ASI-Operations)-issued COA to operate per § 105.21. For demonstration jumps located in certain Class B, C, or D airspaces, a COA may be required. The COA coordinates aircraft operations with the FAA air traffic control (ATC) facility having jurisdiction over the airspace. Refer to § 91.145, if applicable. Refer to § 105.23 for parachute operations into airports.

8) Observe Parachute Packing Operations. If you observe parachute packing operations by a parachute rigger, the person making the next jump, or a noncertificated person under the direct supervision of a certificated parachute rigger, confirm they are working per part 105 subpart C.

9) Aircraft Fuel Supply. Visually verify that the fuel supply used to fuel the operator's aircraft is filtered and changed within the manufacturers' recommended period. Also,

visually verify the pump or fuel truck can be operated safely, and is properly equipped for aircraft-to-fuel supply bonding.

10) AADs. AADs are used by parachutists for increased parachute operational safety. AADs must be maintained in accordance with the manufacturers' provided instructions for maintenance and inspection. For tandem parachute operations under § 105.45, AADs are mandatory equipment per 14 CFR, and are approved for use by the parachute manufacturer, not the FAA.

6-2252 OUTCOME OF THIS SURVEILLANCE.

A. PTRS Input. Inspectors will identify any surveillance and findings by entering "SPORTJUMP" in the "National Use" field of the PTRS record. Use the following PTRS codes, as they apply:

- Ramp (1661, 3627, or 5627);
- Parachute Jumps (1696);
- Spot (3628 or 5681);
- Aircraft Records (3694 or 5694); and
- Part 65 Rigger, Senior, or Master (3678 or 5677).

B. Inspections. In accordance with Order 1800.56, conduct inspections on each parachute operation/DZ located within the FSDO jurisdiction.

RESERVED. Paragraphs 6-2253 through 6-2265.

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CHAPTER 2 TECHNICAL GROUPS, BOARDS, AND NATIONAL RESOURCES

Section 13 Aircraft Evaluation Groups

8-40 GENERAL. This section outlines the roles and responsibilities of the Aircraft Evaluation Group (AEG), which is a technical resource for aviation safety inspectors (ASI). The AEG serves as Flight Standards Service (AFS) technical subject matter experts (SME) for operational and engineering activities. AEG ASI specialties are in operations and airworthiness (i.e., maintenance and avionics). The AEG also serves as a liaison with the Aircraft Certification Service (AIR) Aircraft Certification Offices (ACO) during the initial certification of an aircraft and continues throughout the service life of the aircraft.

A. Background. The Federal Aviation Administration (FAA) established the AEG to provide Aircraft Certification Directorates support for the managing of aircraft certification programs. The AEG also assists in the oversight of continued airworthiness and operational aspects of the aircraft throughout its operational life.

1) FAA Order 8000.51, Aircraft Certification Directorates' Delegation of Authority, established the Aircraft Certification Directorate system in 1982. To implement the directorate concept, it was necessary to realign certain functions previously performed by regional Flight Standards divisions (RFSD), the Air Transportation Division (AFS-200), and the Aircraft Maintenance Division (AFS-300) in FAA headquarters (HQ).

2) Formerly, each RFSD, with operational responsibilities for Flight Operations Evaluation Boards (FOEB), Flight Standardization Boards (FSB), and Maintenance Review Boards (MRB) handled by the same division, performed its respective certification functions. Board members from regions having operators that place the new aircraft in service assist the RFSDs.

a) AIR has four certification directorates:

- Transport Airplane,
- Engine and Propeller,
- Small Airplane, and
- Rotorcraft.

b) The RFSD provides all technical services to the directorates through its AEG. FAA Order FS 1100.1, Flight Standards Service Organizational Handbook, contains the AEG mission and functional statements, and specifies responsibility for establishing and conducting operations and maintenance technical boards.

c) FAA Order 8900.1 contains current instructions and guidelines for the AEGs concerning the various operations and maintenance boards, and complements other guidance concerning the Aircraft Certification Directorate system. These boards encompass all U.S.-registered aircraft and foreign-manufactured (State of Design Holder) aircraft certificated for operation by U.S. air carriers and operators.

d) It should be noted the Engine and Propeller Directorate is unique in that its certificated products are incorporated into aircraft certificated by other directorates. The referral to aircraft in this chapter also includes engines and propellers, as appropriate.

B. AEG ASI Role. AEG specialists are fully qualified AFS ASIs and are SMEs in their fields. The AEG ASIs work with AFS, AIR, and industry personnel during the certification process and throughout the operational life of the aircraft. AEGs evaluate, as appropriate:

- Aircraft, engine or propeller, and associated systems for operational and maintenance suitability evaluations;
- Flightcrew type rating requirements (via the FSB);
- Minimum equipment required for dispatch (via the FOEB);
- Continued airworthiness (via the MRB and Maintenance Type Board (MTB));
- Instructions for continued airworthiness (ICA); and
- Airworthiness Directives (AD), alternate methods of compliance (AMOC), and mandatory continuing airworthiness information.

8-41 AEG RESPONSIBILITIES. An AEG ASI has a variety of responsibilities, which includes, but is not limited to, the following:

A. Airworthiness Maintenance ASIs.

1) Participate in the Type Certification Board (TCB) as a board member to make decisions related to maintenance of aircraft produced by the aircraft manufacturer.

2) Serve as a maintenance representative on FOEBs.

3) Serve as MRB Chairman. For details, see Volume 8, Chapter 2, Section 7.

4) Serve as a focal point for maintenance information on assigned aircraft and powerplant related to achievement of reliability and evaluation of maintenance requirements. Maintenance requirements include:

- Service Difficulty Reports (SDR)/Malfunction and Defect Reports (M&D),
- Alert Service Bulletins (SB),
- National Transportation Safety Board (NTSB) and FAA safety recommendations,
- FAA HQ, regions, and field technical support,
- Safety Alerts for Operators (SAFO),
- ADs,
- AMOCs,
- Mandatory continuing airworthiness information,
- Accident and incident reports,
- Time between overhaul (TBO) escalation,
- Repair specification data, and
- Extended Operations (ETOPS).

5) Provide AEG outreach during AD development. For details, see Volume 8, Chapter 2, Section 9.

6) Provide expert consultation in support of accident and incident investigations, analysis, and implementation of corrective actions related to assigned aircraft/powerplant.

7) Perform aircraft maintainability evaluations to determine the acceptability of ICAs.

8) As assigned members of the Organization Management Team (OMT), supervise Organization Designation Authority (ODA) delegation and assist in approving ODA manuals. AEG representatives review the ICAs and support the ACOs regarding yearly technical inspections.

9) Evaluate conformance to operational suitability and maintenance requirements.

10) Provide technical support, as an AFS liaison, to ACOs/Engine Certification Offices (ECO).

11) Evaluate the aircraft, its systems, and the manufacturer's recommended procedures for unique operational characteristics.

12) Validate maintenance procedures for product manufacturers by ensuring a product meets established standards through sampling and teardown.

13) Evaluate to determine the acceptability of ICAs of new and modified products, and evaluate ICAs provided by foreign regulatories for harmonization.

14) Approve changes to Maintenance Steering Group – 3rd Task Force (MSG-3) analysis for task optimization/evolution.

15) Serve as a resource specialist for principal maintenance inspector (PMI) councils.

16) Participate in the activities of the International Maintenance Review Board Policy Board (IMRBPB), attending meetings as directed by AFS-300, and in the activities of the FAA MRB Policy Board (MRBPB), attending meetings as directed by office management.

17) Participate in Aviation Rulemaking Advisory Committee (ARAC) and Aging Transport Systems Rulemaking Advisory Committee (ATSRAC) studies.

18) Work with, evaluate, and formulate the use of new technologies (e.g., software, structural health monitoring, composites, electronic flight bag, etc.).

19) Oversee IMRBPB Issue Paper 44, Evolution/Optimization Guidelines in regards to Original Equipment Manufacturers (OEM)/type certificate holders (TCH).

20) Evaluate proposed advisory circulars (AC) and Orders, as required.

B. Avionics ASIs.

1) Participate in the TCB as a board member to make decisions related to maintenance of aircraft produced by the aircraft manufacturer.

2) Serve as an avionics representative on FOEBs.

3) Serve as a focal point for maintenance information on assigned aircraft and powerplant related to achievement of reliability and maintenance requirements. Maintenance requirements include:

- SDRs,
- Alert SBs,
- NTSB and FAA safety recommendations,
- FAA HQ, regions, and field technical support,
- SAFOs,
- ADs,
- AMOCs,
- Mandatory continuing airworthiness information, and
- Accident and incident reports.

4) Provide AEG outreach. For details, see Volume 8, Chapter 2, Section 9.

5) Provide expert consultation in support of accident investigations, incident investigations, analysis, and implementation of corrective actions related to assigned aircraft/powerplant.

6) Perform aircraft maintainability evaluations to determine the acceptability of ICAs.

7) As assigned members of the OMT, supervise ODA delegation and assist in approving ODA manuals. AEG representatives review the ICAs and support the ACOs regarding yearly technical inspections.

8) Provide technical support, as an AFS liaison, to the ACOs.

9) Evaluate the aircraft/powerplant systems and the manufacturer's recommended procedures for unique operational characteristics.

10) Evaluate to determine the acceptability of ICAs of new and modified products, and evaluate ICAs provided by foreign regulatories for harmonization.

11) Ensure a product meets established standards through sampling and teardown.

12) Serve as a resource specialist for principal avionics inspector (PAI) councils—Advisory Group.

13) Evaluate proposed ACs and Orders, as required.

C. Operations ASIs.

1) Participate in the TCB as a board member to make decisions related to aircraft systems and configuration by assessing operational suitability requirements that can/will be met during the aircraft design and type certification process.

2) Evaluate and determine the minimum flightcrew member training, checking, and currency requirements used for the development of an aircraft FSB report.

3) Participate in flightcrew complement determinations and evaluate aircraft for new/common/same type rating.

4) Establish special training requirements for unique flight characteristics.

5) Establish pilot type rating needs and requirements.

6) Develop and revise the Master Minimum Equipment Lists (MMEL).

7) Serve as the MMEL Industry Group (MMEL-IG) co-chairperson. This position will serve as the FAA liaison between the MMEL-IG and the FAA to coordinate reviews and approvals of MMEL Policy Letters (PL).

8) Provide operational guidance for ADs and SDRs.

9) Review and evaluate Airplane Flight Manual (AFM) and Rotorcraft Flight Manual (RFM) and supplements.

10) Serve as Chairman for FSBs and FOEBs for assigned aircraft.

11) Conduct initial flight checks of AFS operations ASIs, aircraft manufacturer's initial pilot cadre, initial operator pilots, and FAA engineering flight test pilots for aircraft type.

12) Coordinate with the National Simulator Program (NSP) on the evaluation of data packages for aircraft flight simulation design, acceptance, and approval.

13) Evaluate proposed ACs and Orders, as required.

8-42 ACCIDENT OR INCIDENT INVESTIGATION SUPPORT. When accidents or incidents involving AEG-assigned aircraft occur, investigating Flight Standards District Offices (FSDO) should use the experience of AEG ASIs to support the investigation or to develop corrective actions. These AEG ASIs are assigned to aircraft types and are able to address operational safety concerns, such as crew procedures, flight operations, maintenance, and, to a limited extent, human factors (HF).

8-43 BOARDS CONDUCTED BY THE AEG. The AEG provides many of its technical services through the FOEBs, FSBs, and MRBs. Membership on MRBs, however, is restricted to Airworthiness and Avionics ASIs. Volume 8, Chapter 2 covers current instructions and

guidelines for conducting these boards. These boards encompass all U.S.-registered aircraft and foreign-manufactured aircraft certificated for operation by U.S. air carriers and operators.

8-44 AEG ISSUE PAPERS (IP). AEG develops IPs as a means for identifying and resolving significant technical, regulatory, and administrative issues occurring during the type certification or type validation processes. IPs provide a structured means for describing and tracking the resolution of significant issues occurring during a project.

NOTE: AEG IPs must be developed and tracked using the procedures defined in FAA Order 8110.112, Standardized Procedures for Usage of Issue Papers and Development of Equivalent Levels of Safety Memorandums, when an IP is required. Additionally, IPs must be coordinated with the applicable Primary ACO (PACO) Project Officer/Project Manager.

8-45 LOCATIONS. The locations of AEGs are as follows:

A. The Kansas City Aircraft Evaluation Group (MKC-AEG), Kansas City, Missouri. This AEG is responsible for those airplanes certified under Title 14 of the Code of Federal Regulations (14 CFR) part 23, including commuter category airplanes and Special Federal Aviation Regulation (SFAR) 41 airplanes, some small airplanes certificated under 14 CFR part 25, and gliders and airships.

B. The Southwest Region's Fort Worth Aircraft Evaluation Group (FTW-AEG), Fort Worth, Texas. This AEG is responsible for rotorcraft certificated under 14 CFR parts 27 and 29, and vertical lift.

C. Boston Aircraft Evaluation Group (BOS-AEG), Burlington, Massachusetts. This AEG is responsible for aircraft engines and propellers certificated under 14 CFR parts 33 and 35.

D. Seattle Aircraft Evaluation Group (SEA-AEG), Seattle, Washington. This AEG is responsible for part 25 airplanes, such as Boeing and Airbus.

E. Long Beach Aircraft Evaluation Group (LGB-AEG), Long Beach, California. This AEG is responsible for part 25 airplanes, such as Bombardier and Gulfstream.

NOTE: FAA certification of foreign-built aircraft is handled by the AEG responsible for that particular aircraft (e.g., ASW-25 for foreign-built helicopters).

RESERVED. Paragraphs 8-46 through 8-61.

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CHAPTER 2 TECHNICAL GROUPS, BOARDS, AND NATIONAL RESOURCES

Section 9 Aircraft Evaluation Group Outreach in the Airworthiness Directives Process

8-2-9-1 INTRODUCTION.

A. Purpose. The section establishes the Aircraft Evaluation Group's (AEG) roles and responsibilities regarding outreach during the development and implementation of an Airworthiness Directive (AD). The purpose of the outreach process is to provide technical information regarding pending ADs to the appropriate certificate-holding district offices (CHDO). An AEG outreach program is a key communication and coordination tool among Flight Standards Service (AFS), Aircraft Certification Service (AIR), Original Equipment Manufacturers (OEM)/design approval holders (DAH), and operators. This technical information and communications will help the CHDO support operators' AD management process.

B. General. The AEG is an AFS organization responsible for determining the operational suitability of newly certificated and modified aircraft. The AEG plays a critical role in pilot qualifications, flightcrew training, Master Minimum Equipment Lists (MMEL), and continuing airworthiness requirements. The AEG is instrumental in reviewing and determining the operational suitability of ADs by providing consultation, coordination, and assistance to the Aviation Safety Engineer (ASE), who develops ADs. The AEG's assigned AD process responsibilities include:

1) Providing an operational/maintenance perspective to the AD development process.

2) Providing technical consultation to the Federal Aviation Administration's (FAA) certificate management offices (CMO).

3) Serving as a liaison with the Aircraft Certification Office (ACO).

4) Acting as an intermediary between the OEMs/DAHs and the CMOs for distributing service instructions and other forms of alerts (e.g., all Operator Letters and Maintenance Alerts).

C. Background.

1) On September 2, 2008, an Independent Review Team (IRT), appointed by then Secretary of Transportation Mary E. Peters, published a report titled "Managing Risks in Civil Aviation: A Review of the FAA's Approach to Safety." This report evaluated and recommended improvements to the FAA's safety culture and its aviation safety system.

2) As a result of the events of noncompliance and from the FAA audit, the FAA created an AD Compliance Review Team, which completed two reports titled "Airworthiness Directives: Process Review Technical Report" (published June 3, 2009 and July 8, 2009). These reports reviewed the process of developing and implementing ADs and ensuring compliance.

The reports included several findings and recommendations, one of which involved the need for the AEG to be more involved in developing and implementing ADs. The Compliance Review Team also found that the FAA field offices did not communicate with the AEGs on AD issues, nor did they communicate with ACOs when AD compliance issues arose.

3) To address these findings and to prevent future disagreements between the FAA and operators, the FAA created guidance regarding AEGs and their roles in the AD process.

8-2-9-3 AEG OUTREACH.

A. Determining Outreach. An AD is written when an unsafe condition exists in a product (e.g., aircraft, engine, propeller, or appliance) and is likely to exist or develop in other products of the same type design. The ASE generates an AD worksheet, which requires coordination with the AEG focal, per FAA-IR-M-8040.1, Airworthiness Directives Manual. At this time, the AEG will conduct an analysis, as detailed in subparagraph D1) below, and determine if AEG outreach is required.

B. Role of the AEG. The AEG serves in a pivotal role in coordination among ACOs and/or directorates and aviation safety inspectors (ASI) during AD development. Each group is invested in monitoring airworthiness concerns, identifying unsafe conditions, and developing and implementing effective corrective actions to maintain the trust of the traveling public.

C. Elements of an AEG Outreach Program. While an AEG outreach program can be tailored to specific needs, it should contain, at a minimum, the following elements:

1) Outreach Analysis. Determine if outreach is needed and, if so, which operators are affected.

2) Research. Contact the CHDO to gather information about the Service Bulletin (SB) and the accomplishment of the SB's incorporation by reference into the AD.

3) Collaboration. Work with the affected CHDO to ensure the AD is understood, and also to answer any questions from the field.

4) Response. The AEG provides feedback to the ACO regarding any operational suitability issues that arise from an outreach.

D. Implementing the Elements of an AEG Outreach Program. The AEG implements an outreach program during the development of an AD as outlined in FAA-IR-M-8040.1, chapter 6, Drafting, Coordinating, Issuing, Publishing, and Distributing ADs. The outreach should occur as early as possible in the SB and AD development activity to ensure that any feedback regarding operational suitability can be addressed without impacting timely AD issuance. The following paragraphs outline when the four elements of an AEG outreach program should take place during the AD development process.

1) Outreach Analysis. The AEG determines during the AD worksheet drafting phase if outreach is needed (refer to FAA-IR-M-8040.1, chapter 6, paragraph 2). As seen in

Figure 8-2-9A, Flowchart for Determining Aircraft Evaluation Group Outreach, outreach may be needed if any one of the following conditions exists:

- Requirements of the AD are not easily understandable and supporting policy/guidance is not available;
- Compliance with the AD requires new/novel concepts (e.g., new inspection techniques or new maintenance process) that can hinder compliance with the AD; or
- The intent, scope, or content of the AD is based on assumptions that could be invalidated by foreseeable technology changes (e.g., innovative processes within Nondestructive Testing (NDT), or new materials).

2) Research. While an AD is being drafted (refer to FAA-IR-M-8040.1, chapter 6, paragraph 3), the AEG will determine the affected CHDOs and will gather information regarding the SB for the AD and determine how it would affect AD implementation.

NOTE: ASIs should be aware that Sensitive Security Information (SSI) AD guidance is located in FAA-IR-M-8040.1, chapter 6, paragraph 10f; and Volume 6, Chapter 2, Section 36.

3) Collaboration. While an AD is in the review and coordination phase (refer to FAA-IR-M-8040.1, chapter 6, paragraph 5), the AEG communicates and works with the affected CHDOs to ensure the requirements of the AD and referenced SB are understood and provides further guidance, if needed. The AEG should determine if assistance is needed from the ACO in presenting AD requirements.

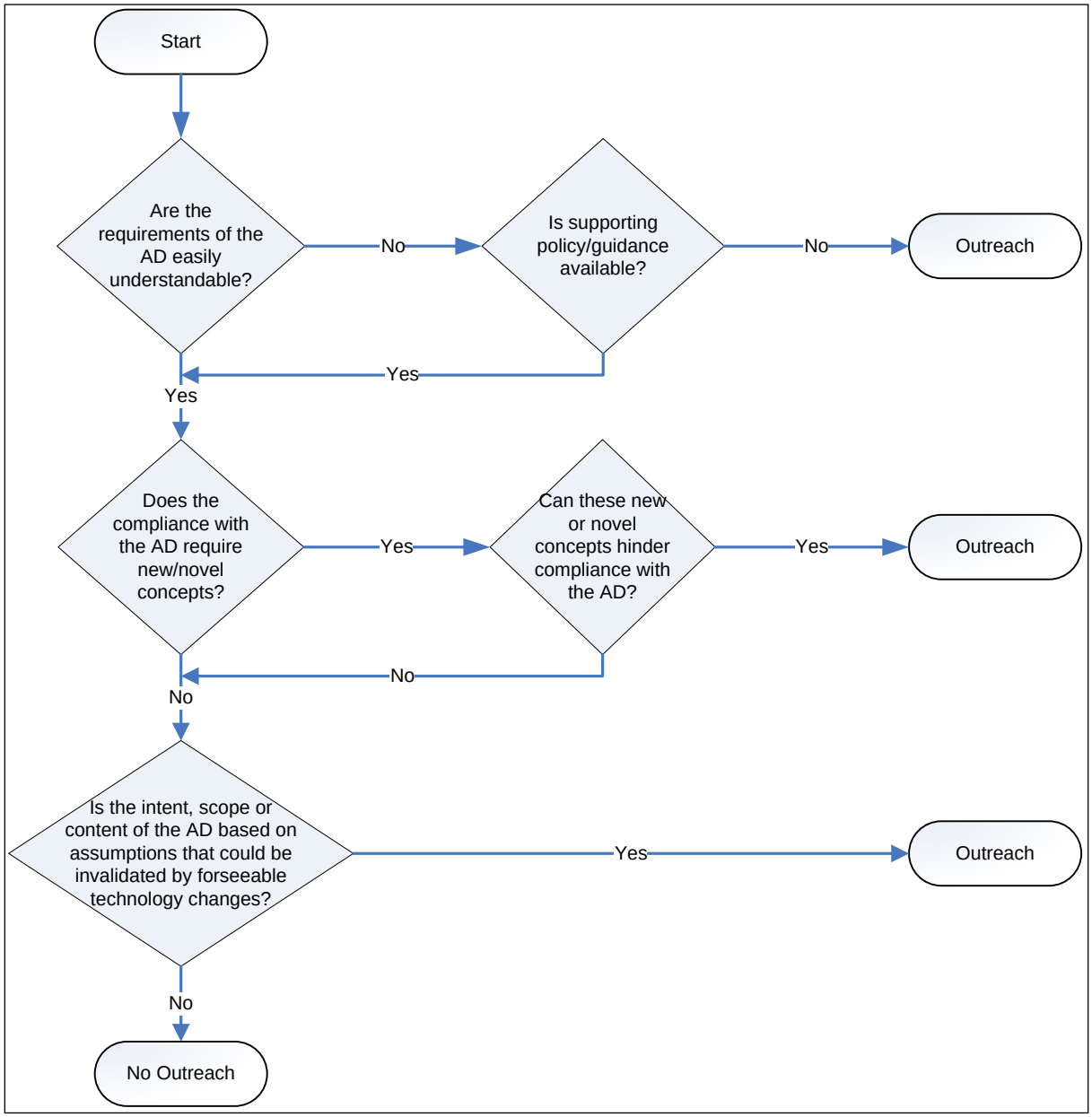
4) Response. The AEG provides feedback to the ACO regarding operational suitability and maintainability issues that arise during the outreach process. Note that the AEG feedback should be done before an AD is signed (refer to FAA-IR-M-8040.1, chapter 6, paragraph 7).

NOTE: According to Title 14 of the Code of Federal Regulations (14 CFR) part 11 appendix 1, ex parte contact occurs when “not all parties to an issue were present when it was discussed. An ex parte contact involving rulemaking is any communication between FAA and someone outside the government regarding a specific rulemaking proceeding, before” the publication of a final rule or the withdrawal of a Notice of Proposed Rulemaking (NPRM).

E. Incorporating Outreach in AEG Policies and Procedures. The AEG should develop a process that defines its policies and procedures to incorporate the AEG outreach process and communicate with the affected CHDOs and ACOs. This process should address:

- How to activate outreach,
- Which groups to provide outreach,
- What technical concerns the outreach will address, and
- How to communicate and coordinate information during outreach.

Figure 8-2-9A. Flowchart for Determining Aircraft Evaluation Group Outreach



8-2-9-5 through 8-2-9-19 RESERVED.

VOLUME 8 GENERAL TECHNICAL FUNCTIONS

CHAPTER 5 GENERAL AIRWORTHINESS AND AVIONICS TECHNICAL FUNCTIONS

Section 1 Issue Airworthiness Certificate for an Aircraft

8-320 PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODES.

A. Maintenance: 3402, 3406.

B. Avionics: 5402.

8-321 OBJECTIVE. This section provides guidance for certificating an aircraft.

8-322 GENERAL.

A. Responsibilities for Airworthiness Certification. The Manufacturing Inspection District Office (MIDO) aviation safety inspectors (ASIs) are primarily responsible for the original airworthiness certification of all aircraft. The MIDO has the option, with proper coordination, to delegate this responsibility to a Flight Standards District Office (FSDO) having appropriately qualified Airworthiness ASIs. Airworthiness ASIs in the Flight Standards Service (AFS) are primarily responsible for recurrent certifications.

B. Original and Recurrent Certification. The considerations for determining if a certification is original or recurrent are contained in Federal Aviation Administration (FAA) Order 8130.2, Airworthiness Certification of Aircraft. When it is unclear whether a given activity is an original or recurrent certification, the affected offices should coordinate, as necessary, to establish mutual agreement on the responsible office.

8-323 PREREQUISITES AND COORDINATION REQUIREMENTS.

A. Prerequisites. Familiarity with the type and concept of aircraft being certificated.

B. Coordination. This task requires coordination with the operator/applicant and the MIDO.

8-324 REFERENCES, FORMS, AND JOB AIDS.

A. References (current editions):

- Title 14 of the Code of Federal Regulations (14 CFR) Parts 21, 39, 43, 45, 47, and 91.
- Order 8130.2, Airworthiness Certification of Aircraft.
- Aircraft manufacturer’s manuals.
- Type Certificate Data Sheet (TCDS).

B. Forms. Certification forms, as required per Order 8130.2.

C. Job Aids. Job Task Analyses (JTA) 3.2.1, 3.2.9, 3.2.10, 3.2.12, 3.2.13, 3.2.14, 3.2.15, and 3.2.27.

8-325 PROCEDURES.

A. Review the Application. Review for the following:

- Eligibility;
- Completeness;
- Whether the aircraft is new, original, used, or recurrent;
- Request for a special purpose for restricted category aircraft must be listed on the type certificate (TC);
- One of the categories for a multiple airworthiness certificate must be restricted category; and
- Applications for aircraft built from spare and surplus parts must demonstrate the construction began before August 5, 2004 (only one aircraft per applicant).

B. Inspect the Aircraft.

1) Coordinate with the operator/applicant to schedule inspection of the aircraft.

2) Ensure that the aircraft conforms to the requirements of the TCDS per Order 8130.2.

3) Review aircraft, engine, and propeller records, as necessary.

4) Verify compliance with Airworthiness Directives (AD).

5) Review the status of time-limited components.

C. Complete Forms. Complete the applicable forms in accordance with the requirements of Order 8130.2.

D. Review Certification Packages. Review all completed certification packages for completeness and accuracy before forwarding to the Aircraft Registration Branch (AFS-750).

E. Forward Certification Package. Forward the original certification package with a copy of the Certificate of Airworthiness to AFS-750.

8-326 TASK OUTCOMES.

A. Complete the PTRS Record.

B. Complete the Task. Successful completion of this task will result in the issuance of an airworthiness certificate.

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

8-327 FUTURE ACTIVITIES. None.

RESERVED. Paragraphs 8-328 through 8-342.

VOLUME 14 COMPLIANCE AND ENFORCEMENT

CHAPTER 1 FLIGHT STANDARDS SERVICE COMPLIANCE POLICY

Section 2 Flight Standards Service Compliance Action Decision Procedure

14-1-2-1 GENERAL. The Federal Aviation Administration's (FAA) central mission is to promote safety in civil aeronautics. The agency establishes regulatory standards and requirements in Title 14 of the Code of Federal Regulations (14 CFR) parts 1 through 199 under the statutory authority in Title 49 of the United States Code (49 U.S.C.), Subtitle VII. Under 49 U.S.C. § 40113, the FAA Administrator has broad authority to take action that the Administrator considers necessary to carry out his or her statutory responsibilities and powers relating to safety in air commerce, including conducting investigations; prescribing regulations, standards, and procedures; and issuing orders.

A. Purpose. This section provides the structure to guide Flight Standards Service (AFS) personnel through AFS Compliance Policy implementation. It outlines the process to address deviations from rules, standards, or procedures, resolve them, and return the individual or entity to full compliance. This decisionmaking structure requires an open and transparent exchange of safety information to correct noncompliance and ensure that the risk of recurrence is acceptably mitigated. The exchange of information should occur during interviews, in written statements, and in reviewing and providing supporting documentation, etc.

B. Scope. The use of Compliance Action (CA) is the initial means of addressing all alleged, suspected, or identified instances of noncompliance. (See paragraphs 14-1-2-7 and 14-1-2-9 for specific Aviation Safety Action Program (ASAP) and Voluntary Disclosure Reporting Program (VDRP) requirements). CAs will be used to correct all noncompliance and deviations until a determination is made that CA is not appropriate. This includes apparent violations of regulations and/or statutes as well as deviations from other established standards or procedures. AFS personnel must keep the following in mind during all interactions with airmen and entities:

1) Except as described herein, where older AFS policy conflicts with Volume 14, Chapter 1, Sections 1 and 2, this newer policy must be followed until it is superseded.

2) When in doubt as to the appropriate course of action or policy to follow, aviation safety inspectors (ASI) should work through their Front Line Managers (FLM) and office managers with the appropriate policy owners for clarification.

C. Background. Volume 14, Chapter 1, Section 1, provides important background and reference information on the FAA Compliance Philosophy (CP) and the evolution of AFS Compliance Policy and CA. Pilot's Bill of Rights (PBR) notification must be provided as described in Volume 14, Chapter 1, Section 1, subparagraph 14-1-1-11G, and Volume 14, Chapter 1, Section 3.

14-1-2-3 TASK PREREQUISITES AND SIGNIFICANT INTERFACES. This task requires use of critical thinking, working interdependently, and completion of formal and on-the-job training (OJT) for Compliance and Enforcement (or later replacement courses).

A. Significant Interfaces:

- Airmen/organizations/others involved with the apparent noncompliance or deviation;
- FLMs and office managers;
- Principal inspectors (PI) and other certificate management personnel; and
- Policy owners.

B. References (current editions):

1) FAA Order 8900.1:

- Volume 1, Chapter 2, The Federal Aviation Administration and Flight Standards History, Organization, and Regulatory Responsibilities.
- Volume 1, Chapter 3, Inspector Responsibilities, Administration, Ethics and Conduct.
- Volume 3, Chapter 19, Section 14, Safety Assurance System: Remedial Training and Tracking—Part 121 Pilots.
- Volume 3, Chapter 60, Procedures for Aviation Safety Inspector Decisionmaking.
- Volume 5, Chapter 7, Reexamination of an Airman.
- Volume 7, Chapter 2, Instructions for Investigating a Vehicle/Pedestrian Deviation (V/PD) by a Mechanic Taxiing an Aircraft on an Airport's Movement Area, Section 1, General.
- Volume 10, Safety Assurance System Policy and Procedures.
- Volume 11, Chapter 1, Section 1, Voluntary Disclosure Reporting Program for Air Carriers and Regulated Entities.
- Volume 11, Chapter 2, Section 1, Safety Assurance System: Aviation Safety Action Program.
- Volume 14, Compliance and Enforcement:
  - Chapter 1, Flight Standards Service Compliance Policy.
  - Chapter 2, Investigation and Enforcement-Related Tasks.
  - Chapter 3, Special Considerations.
  - Appendices.
- Volume 15, Chapter 6, Section 1, FAASTeam Program Manager/Regional FAASTeam Point of Contact Duties and Roles to Facilitate Remedial Training.
- Any task that identifies an apparent noncompliance or deviation.

2) Other Documents:

- FAA Program Tracking and Reporting Subsystem (PTRS) Procedures Manual (PPM) (which includes information on releasability under the Freedom of Information Act (FOIA)): http://fsims.faa.gov/wdocs/other/ptrs_procedures_manual.htm.

- FOIA Exemptions Summary Sheet: https://my.faa.gov/content/dam/myfaa/org/staffoffices/afn/administration/foia/foia_tool_kit/worktools/FOIA-Exemptions-Summary.pdf.
- Pertinent Federal aviation statutes and regulations.

C. Additional Policy Guidance (current editions):

- FAA Order 2150.3, FAA Compliance and Enforcement Program.
- FAA Order 8000.88, PRIA Guidance for FAA Inspectors.
- FAA Order 8000.373, Federal Aviation Administration Compliance Philosophy.

D. Definitions.

1) Actions for Organizations. This includes improvements to systems, procedures, operating practices, or training programs. This also includes restricting or removing authority through operations specifications (OpSpecs) to manage operational risk in the public interest, and communicating risk to the certificate holder. FAA actions for regulatory deviations may be documented in PTRS using the *752 “OTHER” or *753 “CONVENE SAT” CA activity numbers.

2) Additional Training. Any training for individuals remediated through their organization’s approved training program, through another required training program for their job function or work environment (such as carrier or repair station employees receiving Security Identification Display Area (SIDA) or ramp driver training from the airport), or the FAA Safety Team (FAASTeam) remedial training (RT) process. See subparagraph 9) below for the definition of RT and Volume 14, Chapter 3, Section 2 for additional information.

3) Compliance Action (CA). Action taken by AFS personnel (not the certificate holder) to (1) correct an airman/organization/noncertificated person’s deviation from standards when the deviation was not a result of intentional, reckless, or criminal behavior, or a pattern of negative behaviors or performance; or (2) communicate nonregulatory safety hazards, risks, concerns, or recommendations. See subparagraph 14-1-2-7D1) for exclusions.

NOTE: Distinct CA PTRS records are only created to document regulatory deviations. When a nonregulatory or nonstatutory deviation or safety recommendation/concern is documented in the PTRS, it must be distinguished from regulatory/statutory deviations per subparagraph 14-1-2-9B. The recommendation/concern comment may be made in the PTRS or Safety Assurance System (SAS) record for the underlying activity which led to the discovery, or added to a related regulatory CA activity record.

4) Corrective Action. Action taken by airmen/organizations/noncertificated persons (not AFS personnel) to correct a noncompliance with a rule or deviations from standards or procedures and to mitigate hazards/risks.

5) Counseling. Oral or written counseling of airmen, organization personnel, or noncertificated National Airspace System (NAS) participants such as passengers. The common

practice of counseling may be used by an ASI at any appropriate time to clarify a person's understanding and convey regulatory information, best practices, or safety concerns/issues, including the recommendation of additional training or education where no regulatory deviation occurred. However, PTRS CA Counseling *750 activity records are only created for deviations from statutory or regulatory standards.

6) Education. Providing or making referrals to safety, training, or other aviation educational resources, such as those found at FAASafety.gov or other publicly available sources, to share best practices or recommend additional study in areas of identified risk. Education is recommended when knowledge, skill, or system/process improvements would be beneficial. It can be used in conjunction with a CA or Enforcement Action, or recommended when no regulatory/statutory deviation has occurred.

7) Enforcement Action. Formal administrative and legal enforcement actions taken in accordance with Volume 14, Chapter 2 and Order 2150.3. Enforcement Actions are not CAs as described in this order.

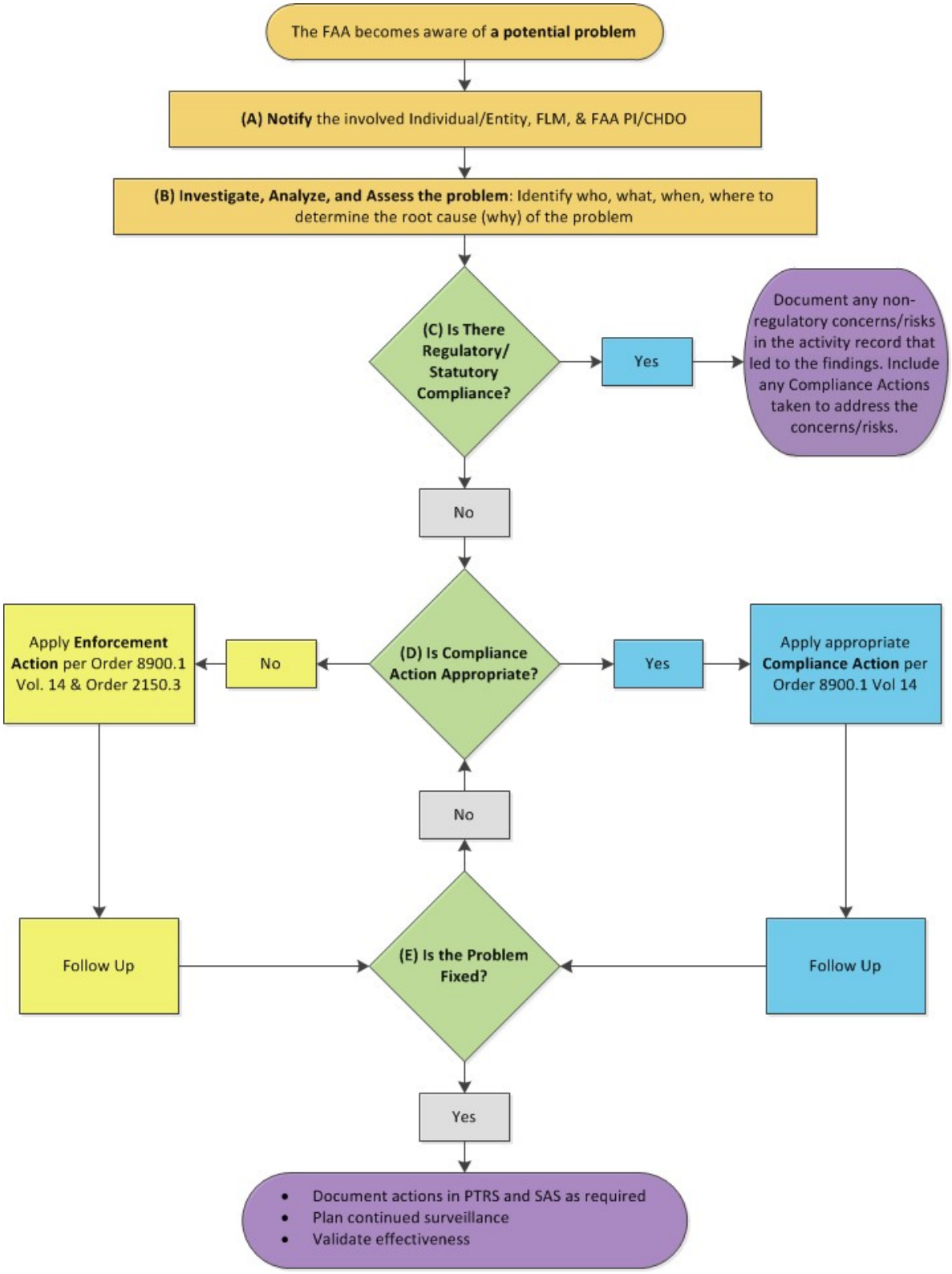
8) On-the-Spot Correction. A quick fix of a simple mistake or other apparent deviation which does not require additional followup. The fix must be observed or verified by the ASI. Examples include adding missing information or a signature to an incomplete form; retrieving a certificate from home or receiving temporary authority from the Airmen Certification Branch (AFS-760) before exercising certificate privileges; stowing luggage or equipment blocking an emergency exit; correcting an incorrect instrument setting; or installing missing fasteners. On-the-spot may be selected any time it is used within SAS; however, a PTRS CA on-the-spot *751 activity record is only created for deviations from statutory or regulatory standards.

9) Remedial Training (RT). A form of CA which uses education and training to allow airmen who have committed an inadvertent apparent deviation to enhance their knowledge and skills. RT is a program authorized as described in Volume 14, Chapter 3, Section 2 and administered by the FAASTeam per Volume 15, Chapter 6, Section 1 that ASIs recommend for certificated airmen when training is the appropriate action to take for a deviation from statutory or regulatory standards. Use of RT requires coordination between the referring ASI and the FAASTeam through office management. RT as defined above generally excludes airmen who were using their certificates subject to an approved training program at the time of the apparent deviation. Those airmen should be remediated through their organization's approved training program. See documentation instructions in subparagraph 14-1-2-9F4)h) and Volume 14, Chapter 3, Section 2 for additional information and exceptions.

E. PTRS and SAS Reporting. CAs used to correct statutory or regulatory noncompliance must be recorded in PTRS using the activity numbers in subparagraph 14-1-2-9E. When SAS data collection and surveillance leads to discovery of a regulatory noncompliance, a PTRS record is required to document the CAs taken to correct the issue in addition to the SAS documentation required by Volume 10.

14-1-2-5 PROCESS FLOW MAP.

Figure 14-1-2A. Compliance Action Decision Process



14-1-2-7 PROCEDURES.

A. Notification. Communication at initial notification should match the specific facts and circumstances. For example, the immediate verbal notification provided during a ramp check that results in an on-the-spot correction may be all that is necessary. However, significant safety hazards and ongoing operational risks discovered during surveillance of an organization would likely require immediate contact via telephone or other means, and be followed up in writing (through the PI, when appropriate).

1) Address Immediate Safety Concerns. ASIs should take immediate action to mitigate significant safety hazards and ongoing operational risks. Therefore, when an ASI becomes aware of an immediate safety concern, he or she must take timely steps to notify the airman or responsible person who can take the appropriate action to prevent it from continuing.

2) Non-Immediate Issues. ASIs have more time to fully understand actual or apparent deviations that have terminated (e.g., pilot deviations) where no immediate threat to the NAS exists. In these cases, the ASI may exercise judgment on whether or not it is prudent to immediately contact the airman or responsible person.

3) PBR. For transparency, a CP and PBR Brochure (see Appendix 14-1, Compliance Philosophy and Pilot's Bill of Rights Brochure) has been developed and must be used when conducting CA investigations. Formal notification with a Letter of Investigation (LOI) (including PBR text for airmen) is only required for Enforcement Action (see Volume 14, Chapter 1, Section 1, subparagraph 14-1-1-11G and Volume 14, Chapter 1, Section 3 for due process and the CP/PBR Brochure).

4) Coordination. If the event involves an organization, the ASI must notify the appropriate oversight office concerning the noncompliance and any action that was taken to address an immediate safety concern. The oversight office may take over and continue the appropriate process. In all cases, ASIs should work interdependently, keep their FLM informed appropriately, and coordinate any follow-up communication with the PI/certificate-holding district office (CHDO).

5) Checking Compliance History. ASIs must check surveillance, CA, and enforcement histories of certificated and noncertificated persons/entities prior to making or communicating final CA decisions. This does not preclude an ASI from making an on-the-spot-correction or providing immediate counseling. In all cases, the ASI must inform the person/entity that further action may be required after history is checked.

6) Timely Processing. In all cases, the goal is to restore compliance now and for the future. Regardless of whether the event requires immediate notification to the regulated entity, the remaining procedures in this section should be completed in a timely manner. When addressing regulatory and/or statutory noncompliance, it is important to determine eligibility for CA as early as possible and to determine the appropriate type of correspondence needed with the airman/entity. For airmen, the National Transportation Safety Board (NTSB) 6-month-stale complaint rule[1] applies if certificate action is to be taken. The ASI should keep their FLM

[1] Refer to Title 49 of the Code of Federal Regulations (49 CFR) § 821.33.

informed of their activities and, when applicable, coordinate certificate holder communication with the PI/CHDO.

7) ASAP Considerations. The investigating ASI must determine whether the entity has an ASAP covering an involved employee group by accessing the AFS ASAP web page at http://www.faa.gov/about/initiatives/asap/media/asap_participants.pdf. See Volume 11, Chapter 2, Section 1 for more CHDO coordination information.

8) Initial Documentation Considerations. When FAA action is necessary to correct a regulatory deviation, the appropriate CA or Enforcement Action PTRS record should be created (although not necessarily completed) within 3 business-days of the ASI's determination per PPM guidelines.[2]

B. Investigate, Analyze, and Assess the Problem. The procedures in this paragraph are designed to aid in the Root Cause Analysis (RCA) of the apparent deviation. FAA safety personnel must identify who did what, where, when, and why. Determining why the event happened and identifying the underlying root cause(s) is the purpose of the investigation. Compliance will only be ensured if the cause(s) of the event are clearly established, understood, and corrected. When a regulatory deviation is identified and associated with an entity, the ASI must consult with the PI/CHDO to make this assessment, or provide information for the PI/CHDO to make the assessment.

NOTE: ASIs must continue to gather information and remain engaged with the responsible parties in order to conduct a thorough and unbiased investigation.

1) Gather the Facts. Consider taking the following suggested actions, based on the ASI's determination of the information needed in each specific situation. This list is neither mandatory nor all-inclusive:

a) Reviewing records, including air traffic control (ATC) forms and data from the Knowledge Services Network (KSN).

b) Reviewing technical documents (e.g., manufacturer's maintenance manuals, Airplane Flight Manual (AFM), or Rotorcraft Flight Manual (RFM)).

c) Interviewing the party or parties involved (acquiring witness statements, if necessary).

d) Acquiring technical information from other agencies (e.g., the National Weather Service (NWS) and ATC).

e) Inspecting and taking photographs of items associated with the event, including physical evidence such as skid marks or damaged parts.

[2] Refer to the PPM, chapter 2, section 2, subparagraph 3F.

2) Ask the Questions. Consider the following suggested lines of inquiry, based on the ASI's determination of the information needed in each specific situation. This list is neither mandatory nor all-inclusive:

a) Objective description of the event: what happened?

b) What possible outcome(s) could have resulted?

c) Why did the people involved select that course of action?

d) What was the operation being done or attempted?

e) What was the expected process/procedure?

f) What information was available to the individual(s) involved about the task/operation?

g) What were the conditions?

- Workload;
- Task complexity;
- Distractions;
- Personal and organization interfaces;
- Physical working environment;
- Competency of individual(s) involved (i.e., knowledge, training, experience related to the task/operation);
- Availability, quality, and clarity of technical and procedural information;
- Availability of supervision or consultation with others;
- Adequacy of resources (e.g., tools, facilities, personnel, supplies);
- Constraints (equipment; time; environmental conditions; other rules, e.g., environmental, occupational); and
- External pressures (e.g., time pressure, production, service demands, and organizational policies).

h) What controls were in place?

- Controls that could have prevented the error/failure; and
- Remaining controls that prevented the error/failure from having a more severe outcome.

i) Why were the controls that failed ineffective (in the opinion of the interviewee or the evaluator conducting the analysis)?

j) Recommendations for improvement (in the opinion of the interviewee or the evaluator conducting the analysis).

3) Analyze the Event.

a) Critical thinking involving careful, objective analysis is the key to understanding the event. Analysis of each event should focus on determining the nature of the problem, the conditions under which it occurred, the controls that failed (and may fail again in the future), and the most effective proposed corrective action(s).

b) Before deciding on CA as the mitigation, determine if the airman/organization is proactive, cooperative, and capable of participating in effective corrective or preventive action. An inability to comply requires a more formal process of correction.

NOTE: An entity's refusal to speak with the FAA, or the obtaining of legal counsel, does not automatically rule out CA. Airmen and organizations are free to exercise their rights without repercussions. An entity that complies with FAA requirements to regain and maintain compliance is considered cooperative. However, if the ASI cannot adequately determine the facts of the case, or cannot identify appropriate remediation(s) that are consented to and successfully accomplished by the involved parties, the ASI must still use due diligence on behalf of the public's safety interest. Such due diligence may include reexamination, re-inspection, or suspension pending compliance to determine that the certificated entity is qualified, competent, and proficient.

c) The determination must be based reasonably on observable behaviors and the facts and circumstances in each case.

- Does the airman/organization consistently perform in a positive manner toward regulatory requirements?
- Does the airman/organization understand or recognize its role in the deviation?
- Does the airman/organization cooperate with FAA personnel to achieve compliance?
- Does the airman/organization take the necessary actions to come into and maintain compliance?
- Are there repeated failures to take corrective actions or repeated deviations?
- Is the airman/organization noncompliant in more than one area? Does it involve multiple personnel?

NOTE: The fact that multiple areas or personnel are involved may indicate a management or system failure (unsatisfactory supervision/procedures, misplaced priorities, goal conflicts, etc.).

d) ASIs should assess all available facts and circumstances associated with *current* and *previous* deviations. ASIs should evaluate the event for possible systemic issues; this is particularly important for a frequently cited regulation.

e) Depending upon the specific circumstances associated with each event, repeated deviations from the same regulation may not indicate a common systemic failure. Often on the surface it appears that the same regulation is being repeatedly violated due to the broadly defined wording of most regulations. However, every situation has a unique set of facts. A review of the specific circumstances may find that the deviations are due to entirely different causes.

f) Effective corrective action begins by clearly defining the real problem. Additional CA can be taken in cases where the actual root cause was not previously identified and addressed. Recurring findings often happen because an organization:

1. Solved the wrong problem;

2. Fixed the outcome only;

3. Fixed the symptoms only; or

4. Corrected only one problem, when two or more problems exist.

C. Is There Compliance? Once the problem is completely understood, review the regulations applicable to the event. The following question can now be answered: Is there regulatory and statutory compliance?

1) If Yes (A Regulatory/Statutory Deviation *Did Not* Occur). The CP and policy should be applied to address safety concerns in the NAS where no clear regulatory requirement exists.[3] AFS personnel can communicate or transfer risks and make recommendations to regulated and nonregulated entities and document those AFS actions as described in this section. Document these nonregulatory concerns, potential risks, or recommendations in the PTRS (and/or SAS as appropriate) within the activity that led to the discovery per subparagraph 14-1-2-9B. Include all ASI and/or certificate holder actions to communicate or transfer the concerns/potential risks and to correct the identified problem(s). Coordinate communication to the certificate holder with the PI/CHDO and notify the PI, CHDO, and/or the FLM of any concerns or risks. In communications with the certificate holder, clearly identify that FAA concerns/recommendations are to make improvements or use best practices, but they are not regulatory requirements.

2) If No (A Regulatory/Statutory Deviation *Did* Occur). Determine the most efficient and effective course of action to reestablish compliance. CA should be used if the individual or entity sufficiently meets the criteria of subparagraph 14-1-2-7B3) above, and the noncompliance does not entail intentional, reckless, or criminal behavior (see Volume 14, Chapter 1, Section 1, subparagraph 14-1-1-7E).

[3] From Volume 1, Chapter 2, Section 3, subparagraph 1-141C, also consider submitting "safety recommendations in accordance with the procedures outlined in FAA Order 8020.11, Aircraft Accident and Incident Notification, Investigation, and Reporting. If the safety recommendation proposes rulemaking, inclusion of the information required by 14 CFR part 11, § 11.25 aids the appropriate FAA office in responding to the recommendation."

3) Additional Considerations for Regulatory/Statutory Noncompliance.

a) For events that have ceased, the question, "Was There Regulatory/Statutory Compliance," is still appropriate to ask in this step. The noncompliance does not have to be occurring at the present time in order for a CA to be documented.

b) There may be instances where an ASI becomes aware of a deviation that has occurred after the airman or responsible person has taken steps to address the noncompliance and prevent its reoccurrence. The procedures in this section must still be completed (in coordination with the PI/CHDO, when applicable) to decide if the appropriate fix to the problem has been applied, to determine if any validation or followup surveillance is needed, and to document the issue.

1. If sufficient corrective action has been taken or implemented by the airman or responsible person, the ASI can document the action(s) using the *752 "Other" PTRS activity code.

2. Determine whether additional validation or followup surveillance is needed and plan/document accordingly. This should be done in coordination with the PI/CHDO when applicable.

3. If the corrective action taken by the airman or responsible person is not adequate to the address the underlying root cause(s) of the noncompliance, the ASI may take additional action as described in this section.

D. Is CA Appropriate?

1) Potential Exclusions. CA may not be appropriate based on the specific facts of the event under review, or because of other policies or commitments that require a different agency response, as described in Volume 14, Chapter 1, Section 1 and this section. AFS must follow policy and process commitments made to Congress, the Inspector General (IG), and other external parties. Examples include, but are not limited to, Airworthiness Directives (AD),[4] ASAPs,[5] Aviation Safety Reporting Program (ASRP),[6] flight operations quality assurance (FOQA),[7] all noncompliance by military and foreign pilots,[8] Special Emphasis Enforcement Programs,[9] and VDRPs.[10] See subparagraphs 14-1-2-7A7) and 14-1-2-9A for additional ASAP and VDRP requirements, and Volume 14, Chapter 1, Section 1, subparagraph 14-1-1-7E on enforcement action.

[4] See Volume 3, Chapter 60, Section 1.
[5] See Volume 11, Chapter 2, Section 1.
[6] Refer to Order 2150.3, Chapter 2, Compliance and Enforcement Policy and Objectives.
[7] See Volume 11, Chapter 2, Section 2.
[8] See Volume 7, Chapter 1, Section 2.
[9] Refer to Order 2150.3, Chapters 2; 7, Sanction Guidance Policies; and Appendix H, Compliance and Enforcement Bulletins.
[10] See Volume 11, Chapter 1, Section 1.

2) If Yes (CA *Is* Appropriate). Take appropriate CA, such as:

a) On-the-spot correction, counseling, or education;

b) Additional training (requires interface with PI/CHDO when applicable), or RT for airmen;

c) Improvements to systems, procedures, operational practices, or training programs for regulated entities (requires interface with PI/CHDO);

d) Documenting corrective action that may have already been initiated or implemented by the airman or entity; and

e) Any other action that would correct the noncompliance and address the underlying safety concern.

3) If No (CA *Is Not* Appropriate). Take appropriate action. Refer to Volume 14, Chapter 2, and Order 2150.3 to initiate Enforcement Action.

E. Is the Problem Fixed?

1) Plan Followup Surveillance Activities. The ASI will validate CA, or Enforcement Action, effectiveness when necessary.

a) Followup is normally not needed for simple mistakes, lack of understanding, or diminished skills which have been corrected with on-the-spot corrections, oral/written counseling, or (for General Aviation (GA) airmen) RT completed per Volume 15, Chapter 6.

b) Company program, manual, or procedure changes normally require followup to validate that the change is put in place and that it has the intended result (coordinate with the PI/CHDO). If followup activities have been created and linked to the original CA or Enforcement Action record in comments and there is no other reason to keep the original record open, the original record may be closed.

c) The ASI must consult on proper followup and documentation with his or her FLM when complex or long-term followup is needed, and with the appropriate PI/CHDO when an air agency/carrier/operator or letter of authorization (LOA) holder is involved.

2) If Yes (The Problem *Is* Fixed). Close the CA PTRS with documentation, as described in paragraph 14-1-2-9.

3) If No (The Problem *Is Not* Fixed). Is further CA appropriate and warranted?

a) If yes, document within PTRS the additional CAs necessary to ensure the effectiveness of root cause fixes. Continue followup.

b) If no, then an unsuccessful CA has occurred (e.g., the airman chooses not to participate, is unable to take effective corrective action, or new information/behavior makes CA

inappropriate). Terminate the CA PTRS record and initiate Enforcement Action in accordance with Volume 14, Chapter 2, and Order 2150.3. Trigger the enforcement PTRS record from the CA PTRS record. (See additional PTRS documentation requirements in paragraph 14-1-2-9.) Regardless of the enforcement action outcome, continue communicating with the certificate holder to mitigate the safety issues involved to an acceptable level (i.e., return the certificate holder to compliance and prevent recurrence).

NOTE: Unless opened in error (see subparagraph 14-1-2-9K), a terminated CA requires Enforcement Action. (See Volume 14, Chapter 1, Section 1, subparagraph 14-1-1-11G and Chapter 1, Section 3 for the CP/PBR Brochure and due process considerations and subparagraph 14-1-2-9I for additional policy on Compliance Actions with Unsuccessful Corrective Action Completion.)

F. External Communication/Correspondence. The steps discussed in the Compliance Action Decision Process (CADP) are meant as an aid for addressing noncompliance. Based on the particulars of each case, AFS personnel are expected to use the most efficient and effective means to find and fix the safety issue(s). AFS personnel must use critical thinking and interdependence to determine the appropriate level of external communication/correspondence necessary for each situation and the specific facts involved. Refer to the communication/correspondence guidelines in Appendix 14-3, Compliance Action Communication/Correspondence Guidelines.

1) The following information must be conveyed during verbal communications and/or written correspondence concerning a CA (except when there is repeated communication/correspondence with the same entity and the information below has already been conveyed):

a) Initial communication and/or correspondence:

1. A statement that the event appears eligible (or may be eligible) for CA.

2. A statement that enforcement action is not being pursued based on known information.

b) Completion of a CA. A statement that the event has been closed as a CA describing the type of action taken.

2) Corrective actions that take time or are complex in nature should be documented in writing (email or letter as appropriate to the facts and circumstances), including FAA expectations and clear suspense dates for responses.

3) Communication/Correspondence to an organizational entity that extend beyond addressing the immediate safety concerns must be coordinated with the appropriate PI/CHDO.

4) If an email or letter is sent to an individual (not an organizational entity) requesting information, the CP/PBR Brochure (see Appendix 14-1) and the Privacy Act Notice (see Appendix 14-2, Privacy Act Notice) should be included.

5) Follow existing AFS and office policies for correspondence and record retention.

NOTE: Under the current expunction policy and retention schedule, there is no authority to destroy records related to CAs.

14-1-2-9 PTRS/SAS CA RECORD DOCUMENTATION REQUIREMENTS.

A. ASAP and VDRP Data Protected from Disclosure. An impediment to further development of voluntary information sharing programs is the reluctance of some persons to share information that may later be released through a FOIA request or other means. For that reason, the legal protections cited below were put in place.

1) All records submitted to the FAA for review regarding ASAP, including information predicated upon the ASAP report, are protected from release to the public in accordance with the provisions of the current edition of FAA Order 8000.82, Designation of Aviation Safety Action Program (ASAP) Information as Protected from Public Disclosure under 14 CFR Part 193.

2) All records submitted to the FAA for review regarding VDRP, including information submitted via the web-based VDRP system, are protected from release to the public in accordance with the provisions of the current edition of FAA Order 8000.89, Designation of Voluntary Disclosure Reporting Program (VDRP) Information as Protected from Public Disclosure under 14 CFR Part 193.

3) For the reasons cited above, no CA PTRS records will be completed for an accepted ASAP or VDRP event. ASAP and VDRP corrective actions documentation and PTRS requirements for accepted and excluded reports are detailed in Volume 11 and Volume 14, Chapter 3, Section 12. Additional information on ASAP and VDRP documentation is found in N 8900.352.

B. Documentation for Nonregulatory/Nonstatutory Issues or Events. As noted in Figure 14-1-2A, Compliance Action Decision Process, there is the potential for an ASI to have concerns or recommendations, following a surveillance or other encounter with an airman or other entity, that do not involve regulatory or statutory noncompliance.

1) If there are no other regulatory/statutory findings, do not create a CA PTRS record. These concerns/recommendations are documented in the primary activity record (in the appropriate SAS comment field as described in the next paragraph, or in the surveillance or other PTRS record). In both SAS and PTRS, clearly identify and document these nonregulatory concerns/recommendations in a comment (in PTRS, using a separate comment with the appropriate primary area code, a keyword list of “911,” and an opinion code of “I”). If CA is taken for other regulatory or statutory findings, additional concerns/recommendations may be documented in the same CA PTRS record in a separate comment coded as described above. Documenting these concerns will help the FAA identify potentially systemic issues during future activities.

2) Nonregulatory safety concerns and/or recommendations with no apparent regulatory or statutory deviation are documented in the SAS record for the underlying activity

that led to identification of the concern (such as a Design Assessment (DA)/Performance Assessment (PA) or random inspection (RI)) in accordance with Volume 10 policy using the "Inspector Action Taken" field when available, or the "Supporting Comments" field.

3) See additional documentation requirements in subparagraph 14-1-2-9F below.

C. General Requirements for Documenting Regulatory/Statutory Deviations. All CAs for regulatory or statutory deviations (by all ASIs, including those primarily using SAS) will be documented with a PTRS record using the activity numbers in subparagraph 14-1-2-9E and as outlined in the PPM. A distinct PTRS record will be created for each airman and organization involved. Multiple specific CAs for the same airman/entity may be used when appropriate. If at least one specific CA activity number is used, any additional actions for the same certificate holder or person may be documented with separate comments in the same PTRS record.

1) When a CA PTRS is completed, the comments must provide a description of the problem, the overall planned corrective action, and show how the deviation was permanently fixed, which may require linking the record to future followup activities.

2) ASIs must make quality entries and FLMs must verify that all CAs recorded in PTRS answer the questions of "Who, What, When, Where, and Why," [11] including each root cause that led to the deviation. Once the cause(s) are clearly identified and documented, the comments must document the immediate as well as long-term corrective actions (see subparagraphs 14-1-2-7E1) and 14-1-2-9H for discussion of followup). Documentation must be clear and stand alone in later history searches, showing the noncompliance stopped and that any fixes put in place to prevent recurrence were effective. The answers to these questions and requirements should be readily identifiable. A complete and comprehensive report demonstrates that a quality work activity was performed.

D. Multiple Records Requirement. PTRS records used to document the CA are not a replacement for the record used to document the primary activity (such as surveillance or accident investigation) during which the deviation was found.

1) If an ASI finds a deviation during (for example) a routine facility inspection (other than a joint audit per Volume 11) and determines that CA is appropriate to address the deviation, then the ASI would complete a PTRS record for both the facility inspection and the CA.

a) The PTRS generated for the CA should be triggered from the PTRS record for the primary activity. The parent transmittal record ID number will appear automatically in the "Related Record" field of the triggered CA record.

b) The ASI must manually enter tracking of triggered record(s) in the parent record. The activity number(s)/record ID(s) of the triggered record(s) should be entered in the comment section using the appropriate Primary Area, Keyword "907," and Opinion Code "I,"

[11] Refer to the PPM, chapter 4, section 2, paragraph 2.

per the PPM, Chapter 4, Recording PTRS Activities. Refer also to the PPM, Appendix B, How to Tie Records to Their Followups, for triggering and linking records.

c) The parent surveillance or other PTRS record which led to the discovery is closed with a results code of "F" for followup when CA(s) is (are) taken. The parent record may be closed before the CA is completed.

d) If, however, any enforcement action is taken as an initial result of the parent activity, the parent PTRS record is closed with a results code of "E" for enforcement. Multiple actions for one event, such as separate enforcement actions for a company and captain and a CA for a first officer, are triggered (if possible) from the same parent PTRS record.

2) There may be instances where it is appropriate to take a CA to address noncompliance for an organization, and, additionally, take CA for personnel working for that organization. Separate CA PTRS entries are created for each entity or person that receives a CA. If possible, trigger the CA PTRS records from the single parent record as described in the paragraph above. Coordinate any followup and non-immediate communication with the PI/CHDO when applicable.

E. Appropriate Activity Code. Choose the appropriate PTRS INVESTG/COMPLIANCE ACTION to document responses to the regulatory or statutory deviations. (See subparagraph 14-1-2-9B for documenting nonregulatory responses.) See definitions in subparagraph 14-1-2-3D for additional information. Activity Numbers are as follows, with the asterisks representing a 1, 3, or 5 (Operations 1000-series, Maintenance 3000-series, and Avionics 5000-series):

NOTE: CA PTRS records will not be created for accepted ASAP or VDRP reports.

1) *749 Additional Training. All additional training processes documented by non-FAASTeam ASIs per this order. See Volume 14, Chapter 3, Section 2, for additional information and see RT documentation instructions in subparagraph 14-1-2-9F4)h).

2) *750 Counseling. Applies to any person participating in the NAS. Used to document oral or written counseling of individuals for deviations from regulatory or statutory standards.

3) *751 On-the-Spot Correction. Used to document correction of regulatory or statutory deviations that meet the subparagraph 14-1-2-3D definition.

4) *752 Other. For regulatory CAs that do not fit in another specific category. May also be used when appropriate to document corrective action(s) initiated or completed by airmen/organizations prior to the FAA's discovery of the deviation.

5) *753 Convene SAT. Used by SAS ASIs only when choosing to convene a System Analysis Team (SAT) in response to a safety concern or deviation.

F. Required Fields. Complete all required fields in the PTRS record and include the following information in accordance with the PPM chapter 4.

NOTE: Unless discovered and documented in SAS as described in subparagraph 14-1-2-9G, nonregulatory safety concerns and/or recommendations with no apparent regulatory or statutory deviation are documented in the PTRS record for the activity that led to the discovery using the same criteria below for regulatory noncompliance, except where noted below.

1) Section I: "Who" was involved; the four-letter designator for an entity or the certificate number and name for an individual airman.

2) Section II: Include additional relevant personnel information (such as an instructor or additional crewmember involved) as described in the PPM at page 4-17, subparagraph B, including any certificate number(s) in the "Remarks" field (additional "Who" involved).

3) Section III: Include any relevant information.

4) Section IV: Include comments which document the following:

a) "What" happened: Describe the noncompliance event, the specific regulatory requirement (SRR) (including the rule or statute citation), and how the requirement was not met. Include additional "When" and "Where" details not captured in Section I, and explain the role of all personnel involved or listed in Section II. For nonregulatory safety issues, concerns, or recommendations, the SRR is not required; describe what happened to raise the issue.

b) All identified hazards or ineffective risk controls, including behaviors, that led to the issue.

c) (Regulatory findings only.) "Why" it happened: A brief summary of the analysis and a listing of the underlying root cause(s) that resulted in noncompliance. The ASI should critically review and validate any analysis or root cause(s) provided by a certificate holder.

d) The mitigating or corrective action(s) taken by the person/entity to correct the problem, if any, and when those action(s) were taken.

e) (Regulatory findings only.) Whether the person/entity completed all corrective action(s) to the FAA's satisfaction.

f) Whether any other FAA action was taken or is still required (additional followup, reexamination/re-inspection, enforcement, etc.), including the ASI's recommendations on the controls, monitoring, and feedback required to mitigate risks and ensure compliance.

g) If applicable, document use of SAS risk management process (RMP) or SAT. See the definition in subparagraph 14-1-2-9G2) specific to the "Convene SAT" PTRS activity.

h) If used, RT under Volume 15 must be noted in the *749 "Additional Training" CA PTRS record comment section, including details of the referring ASI's offer of RT and acceptance by the airman and the FAASTeam Program Manager's (FPM)/Regional FAASTeam Point of Contact's (RFPOC) *950 PTRS activity's full record ID number. The referring ASI's record must remain open until the RT process outcome is known from the FPM/RFPOC and documented by the ASI in the "Additional Training" record. See Volume 14, Chapter 3, Section 2, and Volume 15, Chapter 6, Section 1 for additional instructions.

i) If applicable, related PTRS records must be linked with coded comments per subparagraph 14-1-2-9D1) above (keyword "907-I").

j) When completed, ASIs should review the record(s) and subparagraphs 14-1-2-9C1) and 14-1-2-9C2) to verify they have completed an adequate compliance history record for future review as to what the problem was and how it was fixed.

G. SAS Instructions. CA PTRS records recorded in SAS comment fields will include "CAPTRS" (without quotes or spaces) and the full record transmittal ID number as shown in this example: CAPTRSEA61201512345.

CAPTRS	EA61	2015	12345
Compliance Action PTRS	Office Code	Year created	Unique record identifier

1) SAS users must use CA and document PTRS numbers in accordance with Volume 10, Chapters 5 and 6, and Volume 14.

2) If a SAT is used, create a "Convene SAT" PTRS record with sufficient comments to describe the reason for convening the SAT and to locate the SAT record in SAS. SAT activities and outcomes only need to be documented in SAS, not the PTRS record. This will provide PI visibility to the CA within the SAS data, and also office/national visibility for identified concerns within the PTRS data.

3) All SAS ASIs directly conducting surveillance (Module 4, including principal and non-principal personnel) should take appropriate CAs (such as on-the-spot corrections) for regulatory deviations when and where issues are identified. Use the "Inspector Action Taken" field, if available in the Data Collection Tool (DCT) being used, to describe the issue and include CAPTRS and the full PTRS record ID number for CA taken. If that field is not available (i.e., in a Random, En Route, or Custom DCT), use the "Supporting Comments" field. In all instances, the important thing is to fix the immediate safety issue and document it per general Volume 14, Chapter 1, Section 2 and Volume 10 guidance in PTRS. Notify the PI per Volume 10, Chapter 5, Section 1.

4) PI: During Module 5 Analysis, Assessment, and Action (AAA), the PI identifies issues requiring action/followup and tracks them with the Action Item Tracking Tool (AITT), which may include a CAPTRS created and entered in Module 4 by the PI or another ASI. When a PI identifies a new regulatory deviation from AAA requiring additional action or followup, the PI creates a new CA record and enters "CAPTRS" and the full PTRS record ID number in the AITT in the "Explanation" field, under "Action Justification." When the PI

assesses a regulatory deviation has occurred and selects either a "3 Regulatory Issues" or "4 Regulatory/Systemic Issues," then the "Action Justification" field and the AITT must contain the PTRS record transmittal ID. See Volume 10, Chapter 6, Section 2.

H. Followup Surveillance Activities. When additional followup is required and is able to be completed soon by the discovering ASI, the initial CA PTRS record can remain open to document any short- or mid-term followup validation required. For complex or long-term followup, trigger (if possible) any additional followup surveillance activities needed to validate CA effectiveness from the CA PTRS record, then close the CA record as completed with a comment linking it to the planned follow-up activity. (See step E in Figure 14-1-2A.)

1) If followup confirms compliance, close the PTRS. Document SAS records as described above and in accordance with Volume 10 policy.

2) If followup fails to confirm full compliance has been restored, reevaluate if CA or Enforcement Action is appropriate. (See step E in Figure 14-1-2A and subparagraphs 14-1-2-7D and 14-1-2-7E above.)

I. CAs with Unsuccessful Corrective Action Completion.

1) If agreed-upon corrective action(s) were implemented but failed to achieve their intended purpose, revised or additional corrective actions should be developed and implemented. This is a normal and expected process that should be documented in either the original CA PTRS record comments or in the comments of triggered followup surveillance PTRS.

2) When the airman/entity fails to complete agreed-upon corrective actions to the FAA's satisfaction, the ASI documents the situation as follows:

a) Provide the details in the CA PTRS as described in subparagraph 14-1-2-9F4).

b) Terminate the CA PTRS record with a "T" in the results code.

c) Trigger any resulting Enforcement Action PTRS record from the parent CA PTRS record.

d) Link the records per subparagraph 14-1-2-9D.

e) Document related FAA and certificate holder mitigation actions in the enforcement PTRS record.

J. Data Quality Guidelines, Review, and Job Aid.

1) ASIs must make timely entries that meet the criteria in subparagraph 14-1-2-9F and answer the questions of "Who, What, When, Where, and Why" as described in the PPM. A complete and comprehensive report demonstrates that a quality work activity was performed.

2) FLMs, or other delegated personnel, must review all regulatory/statutory CA records to assure policy is followed and that records are clear and complete enough to stand

alone as useful information when accessed in the future. The answers to the questions and requirements in subparagraphs 14-1-2-9C and F should be readily identifiable to others without first-hand experience with the facts.

3) Appendix 14-4, Compliance Action Documentation Review Job Aid, contains a job aid and additional references to assist the ASI in creating quality entries, help others perform efficient reviews, and provide a standardized mechanism for providing feedback concerning documentation requirements.

K. CA Records Opened in Error. If a PTRS record is opened in error, terminate the CA. This may be done when the identified noncompliance is later proven incorrect, when a requirement to take enforcement action is later discovered, or for other reasons requiring the activity to be terminated.

1) Close the PTRS record with a "T" in the results code.

2) Provide with explanatory comments including applicable parts of subparagraphs 14-1-2-9F4)f), i), and j). The rest of subparagraph 14-1-2-9F4) no longer applies.

14-1-2-11 TASK OUTCOMES. The completion of this task results in:

- ASIs using critical thinking and working interdependently to find and fix safety problems in the NAS as efficiently and effectively as possible;
- Conserving FAA resources by using the most effective means to return an individual or entity that holds an FAA certificate, approval, authorization, or license to full compliance and to prevent recurrence;
- Increased cooperation from airmen and entities when interacting with ASIs; and
- Increased voluntary compliance with FAA regulations.

14-1-2-13 FUTURE ACTIVITIES.

A. Analysis and Interdependence. "ASIs should continually analyze data available on their assigned [certificates for] trends, findings or problem areas that may point to issues regarding compliance and that may require corrective actions. Inspectors should also make recommendations to management for changes in [surveillance plans and policies] if adverse patterns, trends, or problem areas are discovered. Inspectors should coordinate their findings with the supervisor and office manager [and the PI/CHDO, when applicable] when potential adverse safety data is detected and make adjustments to their work program as necessary." [12]

B. Enforcement Cases Reconsideration. There may instances where initiated enforcement cases are later determined to be eligible for CA. See Appendix 14-5, Guidance for Review of Enforcement Cases Under the FAA's Compliance Philosophy, for additional guidance.

[12] Refer to the PPM, chapter 2, section 2, subparagraph 4C.

C. Other Activities:

- Continue followup when appropriate to validate that airman/organization corrective actions were effective;
- Search the National PTRS (NPTRS) data for prior CA records and other record keyword 907/911 comments when responding to new suspected or actual airman/organization noncompliance or deviations;
- Review SAS Module 4 and 5 reports and the Short Term Solutions (STS) Reports, especially the SAS Compliance and Enforcement Action Comprehensive Report. Periodic review of these reports can help identify SAS documented CA data (see Volume 10, Chapter 6, Section 1); and
- Initiate Enforcement Action when CA is not appropriate or effective.

14-1-2-15 through 14-1-2-29 RESERVED.

VOLUME 14 COMPLIANCE AND ENFORCEMENT

CHAPTER 3 SPECIAL CONSIDERATIONS

Section 2 Additional Training Supplemental Information

14-3-2-1 GENERAL. This section clarifies the use and applicability of various airman training options available within Flight Standards (AFS) policy to address safety concerns and apparent deviations.

14-3-2-3 APPLICABILITY. This section applies to AFS personnel involved in making decisions about requiring additional training for all certificated individuals, and for uncertificated individuals employed at certificated organizations. This section supplements the information found in Volume 14, Chapter 1, Section 2, Flight Standards Service Compliance Action Decision Procedure, and clarifies the applicability of the various types of additional training for individuals which AFS personnel may recommend or require per Federal Aviation Administration (FAA) Order 8900.1.

A. Additional Training Required. AFS should only require individual airmen to complete additional training in response to an actual or apparent regulatory or statutory deviation.

B. Additional Training or Education Recommended. Without an actual or apparent regulatory or statutory deviation, AFS should only recommend additional training or education for the non-regulatory area of concern or deficiency. Such recommendations must be documented in the Safety Assurance System (SAS) or Program Tracking and Reporting Subsystem (PTRS) and any airman correspondence as separately identified non-regulatory recommendations as described in Volume 14, Chapter 1, Section 2, subparagraphs 14-1-2-7C1), 14-1-2-9C3), and 14-1-2-9B. Recommendations to airmen may be made verbally, via email, or by letter, at the inspector's discretion per local office procedures. In all cases, they must be documented in SAS/PTRS comments.

14-3-2-5 REMEDIAL TRAINING (RT). Remedial Training, when capitalized or abbreviated as RT, is an AFS term of art which applies only to training conducted in accordance with Volume 15, Chapter 6, administered by the FAA Safety Team (FAASTeam). RT is available to all eligible airmen as defined in paragraph 14-3-2-7, except when the airman certificate was being used in operations where the airman was subject to an approved training program at the time of the apparent deviation (with some exceptions). RT is defined in Volume 14, Chapter 1, Section 2, subparagraph 14-1-2-3D.

14-3-2-7 RT AUTHORITY, SCOPE, AND ELIGIBILITY.

A. Authority. RT was formerly within the Administrative Enforcement Action process, which required an Enforcement Investigative Report (EIR) to be opened for RT. On September 3, 2015, FAA Order 2150.3, FAA Compliance and Enforcement Program, was revised to remove RT from the enforcement process. RT criteria and procedures in Volume 14, Chapter 1, Section 2; Volume 15, Chapter 6; and in this section must be followed until incorrect RT policy elsewhere in this order is revised.

B. Scope. For the purpose of FAASTeam-administered RT eligibility, "airman" as used in this section refers to any individual certificated under Title 14 of the Code of Federal Regulations (14 CFR) part 61, 63, 65, 107, or 145 (except for part 65 subpart B air traffic control (ATC) tower operators). This section provides guidance to the referring office on determining eligibility for RT, offering RT to the airman, and referring the airman to the FAASTeam through the office manager.

C. Eligibility Criteria. RT applies to unintentional deviations from statutory or regulatory standards committed by certain airmen. This program applies to individual airman certificate holders, *excluding* those who were: 1) using their certificate in operations conducted under 14 CFR part 91 subpart K (91K), 121, 129, or 135; and 2) covered by an approved training program at the time of the deviation (with some exceptions, as described in the subparagraphs below). These excluded airmen should be remediated under their operator's training program at the discretion of the principal inspector (PI). The PI may use the general guidelines in this section and/or the operator's training program to determine appropriate additional training with input from the referring aviation safety inspector (ASI) and the operator. FAASTeam resources should not be used.

NOTE: Airmen who are no longer employed where they committed an apparent deviation while covered by an employer's training program may be eligible for RT.

1) Part 135 single pilot operators (which have no training programs) are eligible for RT.

2) Pilots for part 135 basic operators should generally be remediated under the operator's training program or by the training organization with whom the basic operator has an agreement. However, pilots serving in operations for a part 135 basic operator or a part 91K or part 135 single pilot-in-command (PIC) operator may be eligible if approved deviations from required management positions or other factors result in no appropriate company trainer with oversight of the trainee candidate. In such instances, other air carrier/operator check pilots, Designated Pilot Examiners (DPE), or other appropriate FAA designees should be considered as training providers. The designee's experience should be considered when determining whether the designee has the appropriate knowledge and skill to remediate the airman considering the airman's deviation from statutory or regulatory standards. When in doubt as to the eligibility of an airman for RT, the responsible PI's field office manager will make the determination with input from the investigating ASI, PI, and their Front Line Managers (FLM) based on the facts and circumstances of each case, Volumes 14 and 15 policy, and available FAA resources.

3) Part 145 airmen may be excluded from RT. If the investigating ASI and PI determine that the airman's deficient areas are within the scope of the training programs or manuals required by part 145, § 145.163, § 145.165, § 145.207, or § 145.211, the airman is normally excluded from eligibility for RT. These excluded airmen should be remediated under their repair station's training program at the discretion of the PI. The PI may use the general guidelines in this section and/or the repair station's training program to determine appropriate additional training with input from the investigating ASI and the repair station. FAASTeam resources should not be used.

4) Part 145 airmen may be eligible for FAASTeam RT if approved deviations from required management positions or other factors result in no appropriate company trainer with oversight of the trainee candidate. In such instances, Designated Mechanic Examiners (DME) or other appropriate FAA designees should be strongly considered as training providers for part 145 trainees. When in doubt as to the eligibility of an airman for RT, the responsible PI's field office manager will make the determination with input from the investigating ASI, PI, and their FLMs based on the facts and circumstances of each case, Volumes 14 and 15 policy, and available FAA resources.

5) RT will not be conducted by the investigating or referring inspector, FAASTeam Program Manager (FPM)/Regional FAASTeam Point of Contact (RFPOC), the PI, or any other FAA personnel. This does not prevent attendance in any scheduled FAASTeam-sponsored safety event as part of an RT agreement. The investigating inspector, based on the facts of the case, recommends that the airman may be eligible for RT.

14-3-2-9 RT PROCEDURES.

A. ASI. Using Volume 14, Chapter 1, Section 2, the inspector determines whether Compliance Action (CA) is appropriate, and whether RT should be offered. Additional RT guidance and applicability is found in Volume 15, Chapter 6.

1) It is permissible for the ASI to contact the airman informally to offer participation in RT. However, in all cases, the ASI must send the formal RT offer letter (see Figure 14-3-2A, Sample Compliance Action Remedial Training Offer), with the Pilot's Bill of Rights (PBR) notification,[1] as this will serve as documentation that the airman was given the offer to participate in RT.

2) Student pilots and their instructors are both eligible for CA, including RT. When evaluating a student pilot for CA, careful consideration must also be given to the student's flight instructor, and whether both require action of some kind for a student's deviation.

a) A student flying solo is still under the supervision of an instructor. Action may be required with one or both airmen.

b) A student may be offered RT for areas in which the student either had or had not received training prior to the event. Reexamination of a student's knowledge or skill is not appropriate because the student was not examined and certificated in these areas. However, reexamination of a student's qualifications to hold a medical certificate is appropriate.

c) An instructor may be offered RT for areas in which instruction given was inadequate and/or an endorsement given was inappropriate to the point of regulatory deviation. If it is determined that the instructor deviated from regulatory standards (e.g., part 61, § 61.195(d), Limitations on Endorsements), then a CA (RT or otherwise) may be appropriate to correct the problem.

[1] See Volume 14, Chapter 1, Section 3 for PBR notification policy and use of the Compliance Philosophy and Pilot's Bill of Rights Brochure for PBR notification.

3) The inspector investigating the apparent deviation determines an airman's eligibility for the RT program based on an assessment of the specific facts and circumstances and the airman's observable behaviors and record (see Volume 14, Chapter 1, Section 2). If appropriate, the ASI makes an initial informal offer of RT (verbally or via email).

4) If the airman agrees to proceed with the RT, the ASI informs the airman that a member of the FAASTeam will contact the airman to discuss their RT course. The airman should be instructed to notify the ASI if the FAASTeam has not contacted them within the following 7 calendar-days. The ASI must document the airman's agreement to participate in RT with a signed letter from the airman and in the *749 (Additional Training) activity CA PTRS record comments.

5) When the airman agrees to participate in the RT program, the referring inspector (ASI) will send a formal written offer for the participation in RT. A sample letter to be sent by the ASI is in Figure 14-3-2A, which must include the PBR notification content.[2] If the airman does not return the acceptance letter within 10 calendar-days of the receipt of the RT offer, the ASI will consider the airman ineligible for RT. The ASI should use other enforcement tools such as administrative or legal enforcement actions to address the apparent deviation.

6) If the airman agrees to participate in the RT program and has a similar deviation prior to signing the RT agreement (developed by the FPM/RFPOC), the ASI should review the specifics of both deviations. The ASI should exercise critical thinking and interdependence in determining whether the subsequent deviation is an indication of being either unable or unwilling to comply with the regulations.

a) If it is determined that the person is unable or unwilling to comply with the regulations, then the ASI should withdraw the airman from the RT program and initiate an enforcement action.

b) Note that once the airman has signed the RT agreement, the specific task and/or knowledge areas of deficiency will have been identified, explained to, and agreed upon by the airman, thus increasing the expectation to avoid similar deviations.

7) The ASI will open the appropriate CA PTRS record and record appropriate information in accordance with Volume 14, Chapter 1, Section 2.

a) Operations: 1749.

b) Maintenance: 3749.

c) Avionics: 5749.

[2] See Volume 14, Chapter 1, Section 3 for PBR notification policy and use of the Compliance Philosophy and Pilot's Bill of Rights Brochure for PBR notification.

8) The ASI will notify his or her office manager of the RT acceptance by the airman. An email notification from the referring ASI to their office manager will contain the following information:

a) Airman contact information and the responsible office for the airman's domicile, if different from the referring ASI's office.

b) A copy of the signed RT offer indicating acceptance to participate.

c) A summary of the facts surrounding the case.

d) Recommended number of knowledge and/or practical hours of training.

e) Recommended topics to be covered in training.

f) The date the RT agreement needs to be satisfactorily accomplished by the airman.

g) The referring ASI's *749 Additional Training PTRS record ID number.

9) RT will not be conducted by the referring inspector, an FPM, a PI, or any other FAA personnel. This does not prevent airman attendance in any scheduled FAASTeam-sponsored safety event as part of an RT agreement, even if the referring inspector is present.

10) Once the RT is assigned to an FPM or RFPOC, the ASI will forward any information that they believe will be necessary for the drafting of an RT course. ASIs may use local and regional FPM/RFPOC resources as necessary to develop the required information package. The ASI will provide the FPM/RFPOC the record ID for the triggered *950 PTRS record, if applicable. If not, the ASI will provide their *749 PTRS number to the FPM/RFPOC and obtain their record ID for insertion in the comment section of the CA PTRS record.

11) If notified by the FPM/RFPOC that the airman elects to contest RT and that a Letter of Rescission was sent to the airman, in accordance with Volume 15, Chapter 6, Section 1, subparagraph 15-6-1-11E, the ASI will then pursue another appropriate CA, FAA reexamination, or administrative or legal enforcement action.

12) If notified by the FPM/RFPOC that there are new areas of concern or deficiency, the ASI may investigate further and must make a new determination of whether CA and additional RT is appropriate. The ASI may make a new RT offer and begin the process again or take other appropriate action.

13) Upon notification that the training and receipt of all original RT documentation is complete, the referring/investigating inspector will send a Letter of Completion to the airman. (See Figure 14-3-2B, Sample Letter of Completion, for an example of a Letter of Completion.) The inspector will file the RT with the original documentation in accordance with the applicable office file plan.

B. Office Manager.[3] Once notified by the referring ASI via email of an airman's acceptance of RT, the manager will assign the RT activity to the local FPM or notify the office manager who has AFS work assignment jurisdiction over the airman's domicile to coordinate assignment of FAASTeam resources. The office manager will forward the referring ASI's notification email with a copy to the RFPOC and referring ASI. If there is no local FPM, the manager will forward the referral to the RFPOC.

C. RT as Part of a Legal Settlement. If RT is incorporated into a settlement agreement or consent order by the Office of the Chief Counsel, Enforcement Division (AGC-300), the referring or investigating ASI shall obtain a copy of the airman's signed agreement/consent order from AGC-300. The ASI should forward a copy of the enforcement agreement/order to the office manager in place of the signed RT offer letter referenced in subparagraph 14-3-2-9A1). The RT process is administered in the normal way by the FPM/RFPOC involved. On successful completion of the RT, the ASI will work with AGC-300 to modify the RT Letter of Completion (see Figure 14-3-2B) to accurately reflect the facts and circumstances of AGC-300's agreement/order with the airman. The ASI will provide final copies of RT-related documentation and any other correspondence with the airman to AGC-300 for addition to the case file.

D. Additional Procedures. See Volume 15, Chapter 6, Section 1 for additional RT procedures.

14-3-2-11 OTHER TYPES OF ADDITIONAL TRAINING. The additional training for applicable airmen listed in this paragraph may be documented using CA "Additional Training" PTRS activity number *749. No signed training agreement with the airman is needed. When airman training is determined to be the most efficient and effective solution per Volume 14, Chapter 1, Section 2, PIs must work with operators, carriers, and agencies with approved training programs to ensure they employ the appropriate remedial actions for deviations by their employees. AFS expects employers to take the lead in addressing employee deficiencies under their approved training programs. If the airman is not being trained or scheduled for training to the PI's satisfaction, or if the airman is separated from employment, the PI will work interdependently with his or her FLM and office management to determine an appropriate and timely FAA response. Decisions on enforcement actions and reexamination must be made timely to comply with the stale complaint rule.[4]

NOTE: To correct an airman's knowledge and/or skill deficiency that led to statutory/regulatory noncompliance, ASIs may recommend training in a legal enforcement case against the airman (suspension pending compliance) and/or the employer (to compel their action to retrain an employee).

A. Taxiing/Towing. Volume 7, Chapter 2, Section 1 covers training for both certificated and uncertificated mechanics and repairmen involved in a Vehicle/Pedestrian Deviation (V/PD) while taxiing/towing, which may include carrier-required taxi and tow training, or airport-required movement area driver training. AFS specifies the corrective actions of "training" (if the airman was previously untrained) or "retraining" (if the airman was previously trained) for

[3] The office manager with authority to assign work to the referring ASI and local FAASTeam resources. Historically this has been the Flight Standards District Office (FSDO) manager.
[4] Refer to Title 49 of the Code of Federal Regulations (49 CFR) part 821, § 821.33.

these events. FAASTeam personnel are not involved with this training. The policy is under review for possible changes to terminology, documentation requirements, and revision of the AFS agreement with FAA Airports (ARP). These training/retraining events may be recorded as CAs in the PTRS record using the ASI's appropriate specialty activity code of *749.

B. Part 121 Pilot RT. Volume 3, Chapter 19, Section 14, Safety Assurance System: Remedial Training and Tracking—Part 121 Pilots (and Advisory Circular (AC) 121-39, Air Carrier Pilot Remedial Training and Tracking Program), covers "the review and approval of pilot remedial training and tracking for certificate holders conducting operations under Title 14 of the Code of Federal Regulations (14 CFR) part 121." The "remedial training" in Volume 3 is a requirement of the air carrier's approved training program and part of checking its flightcrews. Also see Volume 11, Chapter 2, Section 1, Safety Assurance System: Aviation Safety Action Program, and AC 120-66, Aviation Safety Action Program (ASAP), for additional information regarding training information protection. These functions are outside the scope of the Volume 15, Chapter 6 RT process. Part 121 pilots must be remediated under the carrier's approved training program.

C. Other Airmen Subject to Part 91 Subpart K (91K), 121, 135, or 145 Training Programs. See subparagraph 14-3-2-7C above for specific applicability, eligibility, and exclusions.

D. Order 2150.3. FAA Legal Counsel describes taking a variety of enforcement and non-enforcement FAA actions as being for "remedial purposes" in Order 2150.3, chapters 2 and 7. Inspectors are advised to clarify the meaning of the terms "education," "additional training," and "remedial training" as defined in Volume 14, Chapter 1, Section 2 and the appropriate AFS policy which applies when communicating with airmen or other regulated entities and legal counsel.

14-3-2-13 REPEATED TRAINING AND/OR REEXAMINATION. Additional training, including RT, may be offered again in a new subject area to an airman currently involved in additional training or reexamination when the FAA or training provider identifies a new area of concern or deficiency which was not part of the original training agreement (whether formal under Volume 15 or informal between the PI and operator/agency) or request for reexamination.

A. Airmen Undergoing RT. See Volume 15, Chapter 6, Section 1, subparagraph 15-6-1-11E2) for details.

B. Certificated or Non-Certificated Airmen Currently Training Under an Approved Training Program as Agreed to for Remedial Purposes Between the PI and Training Program Approval Holder (TPAH). The newly identified concern or deficiency must be independently evaluated under Volume 14, Chapter 1, Section 2 as appropriate for CA. If appropriate, a new training agreement may be reached between the PI and the TPAH, within applicable policy.

C. Airmen Being Reexamined Under Title 49 of the United States Code (49 U.S.C.) § 44709. The newly identified concern or deficiency must be independently evaluated under Volume 14, Chapter 1, Section 2 as appropriate for CA. If appropriate, a new RT offer may be

made by the investigating ASI, or a new training agreement may be considered by the PI and the TPAH, based on policy in this section and eligibility criteria in Volume 15, Chapter 6, Section 1, subparagraph 15-6-1-1B.

14-3-2-15 REEXAMINATION POLICY. Volume 5, Chapter 7, Reexamination of an Airman, has not yet been aligned with the FAA Compliance Philosophy (CP). Policy in Volumes 14 and 15 take precedence for the applicability of CA. See Volume 14, Chapter 1, Section 1, subparagraph 14-1-1-1B. Contact the CP Focus Team to resolve policy questions using the contact information at http://fsims.faa.gov/PICDetail.aspx?docId=AFS-FTCE.

Figure 14-3-2A. Sample Compliance Action Remedial Training Offer

[DATE] [Place letter on office letterhead]
[NAME]
[ADDRESS]
[CITY, STATE ZIP]

Subject: Remedial Training Offer

[Title] [Name]:

Personnel of this office are investigating an apparent deviation that involved [insert brief description]. In reviewing your apparent deviation, we have considered all available facts and concluded that you are eligible to participate in the FAA remedial training (RT) program. This letter is to formally offer you RT. If you would like to participate in RT in place of other FAA actions, you must sign and return the response below with a copy of this letter within 10 calendar-days. The final determination on your eligibility for the RT program is an FAA decision, not subject to appeal.

To successfully complete this RT course, you must comply with the following terms:

1. You must obtain the required training from a source approved by the responsible Flight Standards office/FAA Safety Team (FAASTeam) Program Manager (FPM)/Regional FAASTeam Point of Contact (RFPOC). Guidance in selecting an approved source of training will be provided.

2. Once RT begins, you must make periodic progress reports to the FPM/RFPOC.

3. If you continue to conduct operations and have a similar deviation, this may be deemed as unwillingness to comply and could result in the RT offer being withdrawn.

4. You must complete all elements of the RT syllabus and meet the completion standards within 30 calendar-days of signing the training agreement. The training agreement and any additional requirements will be coordinated in an upcoming meeting with the FPM/RFPOC if you accept this offer.

5. All expenses incurred for the prescribed training will be borne by you. When the assigned RT has been successfully completed, we will consider this matter closed.

Should you have any further questions, please feel free to contact me.

Sincerely,

[Signature]

[Typed Name]
Aviation Safety Inspector
[Contact information (phone/email)]

I [ ] accept the offer for me to participate in remedial training.

I [ ] decline the offer for me to participate in remedial training.

Date: Signature:

Figure 14-3-2B. Sample Letter of Completion

[Date]
[Name]
[Address]

Dear [Name]:

This letter is in regard to [enter brief description]. As a result of our discussion with you on [insert date], you agreed to complete a program of remedial training (RT) as an appropriate corrective action. You have submitted evidence showing satisfactory completion of [enter training agreement requirements, such as "6 hours of ground instruction and 3 hours of flight instruction"] in the subjects and procedures specified in your training agreement.

Based on your satisfactory completion of the RT program, additional FAA action will not be pursued. In place of such action, we are issuing this Letter of Completion. This letter constitutes neither an admission nor an adjudication of a violation.

We appreciate your cooperation in this matter and expect your full compliance with the regulations in the future.

Sincerely,

[Name], Aviation Safety Inspector
[Contact information (phone/email)]

14-3-2-17 through 14-3-2-31 RESERVED.

VOLUME 15 FAA SAFETY TEAM POLICIES AND PROCEDURES

CHAPTER 6 REMEDIAL TRAINING

Section 1 FAASTeam Program Manager/Regional FAASTeam Point of Contact Duties and Roles to Facilitate Remedial Training

15-6-1-1 GENERAL. The Federal Aviation Administration (FAA) Safety Team (FAASTeam) supports the FAA Compliance Philosophy (CP) and Flight Standards Service (AFS) Compliance Policy through the remedial training (RT) process. The goal of CP is to correct safety issues that underlie deviations from standards as effectively, quickly, and efficiently as possible; to return an individual or entity that holds an FAA certificate, approval, authorization, or license to full compliance; and to prevent recurrence. FAASTeam Program Managers (FPM) are involved in the identification and development of the appropriate training curriculum based on input from the referring aviation safety inspector (ASI).

A. Purpose. This section describes the procedures and training options to be considered by the FPM/Regional FAASTeam Point of Contact (RFPOC) when developing an appropriate RT course syllabus or training agreement, and when managing the RT program until it has been completed.

B. Scope, Applicability, and Eligibility Criteria. See Volume 14, Chapter 3, Section 2.

C. Goal. The goal of the RT program is to gain future compliance with FAA regulations through training, thereby enhancing safety in the National Airspace System (NAS). The FAA recognizes that some deviations arise from factors such as flawed procedures, simple mistakes, lack of understanding, or diminished skills. The FAA believes that deviations of this nature can most effectively be corrected through Root Cause Analysis (RCA) and training or education for airmen, as well as appropriate improvements to procedures or training programs for regulated entities, which are documented and verified to ensure effectiveness. However, reluctance in adopting these methods to remediate deviations or instances of repeated deviations might result in enforcement.

15-6-1-3 DEFINITIONS. See Volume 14, Chapter 1, Section 2, subparagraph 14-1-2-3D.

15-6-1-5 TASK PREREQUISITES AND SIGNIFICANT INTERFACES.

NOTE: FAASTeam staff must have knowledge of Title 14 of the Code of Federal Regulations (14 CFR) applicable to their assigned duties, FAA policies, and appointment as an FPM or RFPOC.

A. Program Tracking and Reporting Subsystem (PTRS) Activity Code. See Table 15-6-1A, Remedial Training PTRS.

1) **Operations:** 1950.

2) **Maintenance:** 3950.

3) Avionics: 5950.

Table 15-6-1A. Remedial Training PTRS

PTRS Activity Code	National Use	Primary Area	Key Word	Description	Performance Target	LDR **12XXFAFAAST**
1950 or 3950 or 5950	(Leave Blank)	K	999	Remedial Training	On Demand	RT0010

B. Significant Interfaces. This task requires coordination with the following organizations or individuals:

- The referring ASI (person who referred the airman to the FAASTeam);
- The responsible Flight Standards District Office (FSDO) or other appropriate manager;
- AFS field office managers and staffs;
- Certificated and noncertificated airmen, air operators, and air agencies;
- The educational product, service, and facility providers;
- The airman offered RT;
- The FAASTeam Representative (REP) volunteer workforce; and
- The RFPOC.

C. Automation Tools:

- National FAASTeam website at http://www.FAASafety.gov;
- Safety Performance Analysis System (SPAS); and
- Air traffic quality assurance (ATQA).

D. References.

NOTE: To ensure you are using the most current information, check the Flight Standards Information Management System (FSIMS).

1) Procedural Guidance (current editions):

- FAA Order 1380.51, Program Tracking and Reporting Subsystem.
- PTRS Procedures Manual (PPM).
- Volume 14, Chapter 1, Sections 1 and 2; and Chapter 3, Section 2.
- FAA Order 2150.3, FAA Compliance and Enforcement Program.
- FAA Order 8000.373, Federal Aviation Administration Compliance Philosophy.

2) Forms:

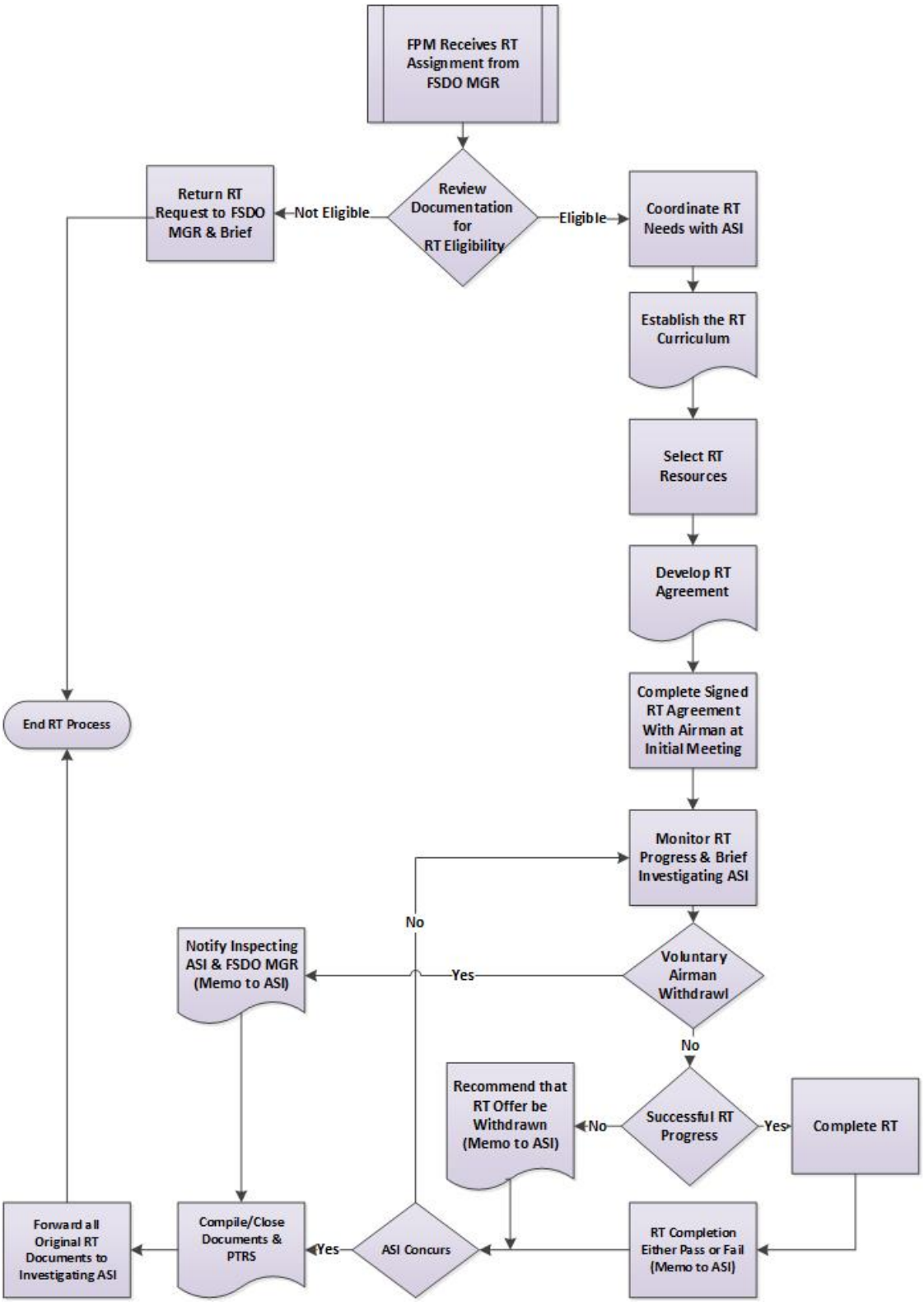
- Job aids. [Reserved]
- FAA Form 8000-36, Program Tracking and Reporting System Data Sheet.

- Sample Compliance Action Remedial Training Offer (see Volume 14, Chapter 3, Section 2, Figure 14-3-2A).
- Accepted Format for Remedial Training Agreement (Figure 15-6-1B).
- Sample Remedial Training Agreement Letter (Figure 15-6-1C).
- Notification of Successful Remedial Training Completion (Figure 15-6-1D).
- Notification of Failure of Remedial Training Completion (Figure 15-6-1E).
- Notification of Voluntary Airman Withdrawal (Figure 15-6-1F).
- Notification of Recommended Airman Withdrawal (Figure 15-6-1G).
- Sample Remedial Training Completion Certification from Remedial Training Provider (Figure 15-6-1H).
- Sample Letter of Rescission (Figure 15-6-1J).
- Privacy Act Notice (see Volume 14, Appendix 14-2).

15-6-1-7 BACKGROUND. The FAA CP is intended to find problems and correct them as effectively, quickly, and efficiently as possible. The FAA CP builds on and clarifies the existing policy latitude to use non-enforcement methods first, where appropriate, to achieve compliance, such as RT (refer to Order 8000.373 and Volume 14, Chapter 1 for additional information).

15-6-1-9 RT PROCESS FLOW.

Figure 15-6-1A. Remedial Training Process Flow Map



15-6-1-11 PROCEDURES.

A. RT Initial Offer.

1) The ASI investigating the apparent deviation determines an airman's eligibility for the RT program based on an assessment of the specific facts and circumstances and the airman's observable behaviors and record (see Volume 14, Chapter 1, Section 2). If appropriate, the ASI makes an initial informal offer of RT (verbally or via email).

2) When the airman agrees to participate in the RT program, the referring ASI will send a formal written offer for the participation in RT following the procedures in Volume 14, Chapter 3, Section 2.

B. FPM or RFPOC RT Assignment.

1) The RFPOC should be involved in the coordination of FPM resources between managers for offices without an FPM. The RFPOC may be assigned to manage the RT if office resources are not available.

2) The FPM/RFPOC will open the appropriate PTRS record.

a) Operations: 1950.

b) Maintenance: 3950.

c) Avionics: 5950.

3) The FPM/RFPOC will:

a) Provide the *950 PTRS record ID number to the referring ASI; and

b) Enter a separate comment in the record with the referring ASI's *749 PTRS record ID number using the appropriate Primary Area, Keyword "907," and Opinion Code "I," per chapter 4 of the PPM. Refer also to PPM appendix B for triggering and linking records.

C. Develop RT Curriculum and Agreement.

1) The FPM/RFPOC will:

a) Review all RT referral information. If, after reviewing the referral, the FPM/RFPOC determines that the airman should be considered ineligible, the referral is returned to the referring office manager with a briefing of the FPM/RFPOC's findings.

b) Review the Compliance Action requirements and overall process in Volume 14, Chapter 1, Section 2, and supplemental information in Volume 14, Chapter 3, Section 2.

NOTE: If the RT is the result of a runway incursion, please see paragraph 15-6-1-15, Runway Incursion RT Special Provisions Guidance, for special instructions.

c) Coordinate with the referring ASI regarding scope and objectives, and review the content of the proposed RT with the referring ASI and/or responsible manager.

d) Develop the RT curriculum. Discuss the case with the referring ASI and/or responsible manager and clarify any points of confusion about the need for training and appropriate training; this would include a review of the proposed curriculum with the ASI and/or responsible manager prior to the initial meeting with the airman. The RT curriculum must be designed such that the airman must demonstrate sufficient knowledge to preclude recurrence of the apparent deviation. The RT curriculum will be developed by an FPM/RFPOC or ASI (if no FPM/RFPOC resources are available) who is within the specialty applicable to the RT curriculum. This does not preclude either FPM/RFPOC specialty from managing an RT case.

e) Determine RT resources to accomplish RT curriculum. The following are resources that the FPM should consider when developing the RT course:

- Applicable online courses on www.FAASafety.gov;
- Available online training from another respected source;
- Available local training from an FAA-certificated school (e.g., 14 CFR Part 141 Pilot Schools, Part 147 Maintenance Schools, etc.);
- Available local training from an FAA-certificated airman actively engaged in testing or training (e.g., DPE, certificated flight instructor (CFI), or DME);
- FAASTeam REP; and
- Any other appropriately rated individual specifically qualified to provide the desired training (i.e., experienced in the type of aircraft involved in the violation).

NOTE: The FPM/RFPOC should take into account the availability of instructional resources in the airman's area of operation. If necessary, the FPM/RFPOC may request that the closest FSDO or responsible office provide a list of approved training sources. The FPM/RFPOC should assist the airman in selecting a training source near where the airman resides and will be the final authority as to suitability of the selection. The FAA prefers the use of parts 141 and 147 approved schools and other training establishments periodically inspected by the FAA because of their high standards for training and recordkeeping. CFIs or maintenance instructors that are familiar with FAASTeam online resources are preferred as RT instructors. The FPM/RFPOC may train unfamiliar instructors to be knowledgeable resources.

2) Develop the RT agreement (see Figure 15-6-1B). The RT agreement should normally require no more than 21 calendar-days for completion after the airman signs the training agreement.

3) Training completion time. RT completion times will vary depending on the requirements of the training syllabus. The FPM should ensure that the training is completed in a timely manner using the following guidelines:

a) The RT syllabus should normally require no more than 21 calendar-days for completion after the airman signs the training agreement.

b) If the airman requires more than 21 calendar-days to complete the training, it could indicate the airman's lack of qualification. If this is the case, it would require reexamination under 49 U.S.C. § 44709(a).

c) The FPM may extend the RT agreement completion date if the extension is necessitated by urgent extenuating circumstances, such as illness or injury of the airman, death in the airman's family, illness, continuous poor weather, or prolonged aircraft unavailability. Extensions should be coordinated with the referring office/inspector.

d) Unless serious illness or injury of the airman is involved, an extended deadline should not exceed 6 months from the date the apparent violation was known to the FAA.

4) Schedule/conduct the initial meeting with the airman. This meeting must include the following:

a) The FPM/RFPOC must provide the training timeline for RT completion as well as an explanation of the process if the RT is not accomplished in the prescribed time. (See Figure 15-6-1E.)

b) The FPM/RFPOC must explain that the airman will bear all expenses incurred for the prescribed training.

c) The FPM/RFPOC must describe to the eligible airman the proposed course of training and training objectives as detailed in the proposed RT curriculum.

d) Before finalizing the RT agreement, the FPM/RFPOC must solicit input from the airman to make the training experience more effective and efficient.

e) The FPM/RFPOC must discuss the human factors aspects of the event to determine if there are any additional educational outreach actions that the RT provider should complete.

f) The FPM/RFPOC must also take the opportunity to discuss the following with the airman:

1. The top 10 General Aviation (GA) accident causes.

2. Familiarization with the www.FAASafety.gov website:

- Registration on the site;
- Training available;
- Setting preferences to receive email notifications; and
- The Pilot Proficiency Program (WINGS) or Aviation Maintenance Technician (AMT) Program.

g) The FPM/RFPOC must carefully explain that while a need for RT has been identified, the Administrator has chosen not to require reexamination under 49 U.S.C. § 44709, because sufficient evidence of lack of qualification was not present during the investigation. However, should evidence of a lack of qualification such as the inability to complete the prescribed RT be uncovered, the FAA could still require reexamination.

h) The FPM/RFPOC must discuss the fact that if the airman conducts tasks identified in the RT agreement without supervision (e.g., without a qualified instructor or supervising mechanic) and has a similar deviation, this may be deemed as an unwillingness to comply and could result in the RT offer being withdrawn. The FPM/RFPOC must advise the airman to avoid exercising his or her certificate without supervision on tasks which involve the knowledge or skills that are included in the training curriculum until successfully completing the RT. It can be noted that the tasks identified in the RT agreement represent mutually agreed-upon areas of deficiency. The FPM/RFPOC should explain to the airman that caution to avoid similar operations is not limited to the geographic location where the deviation took place (e.g., an airport or specific airspace).

i) The FPM/RFPOC must ensure that the meeting does not develop into an informal discussion about the merits of the case.

j) If at any time the airman elects to contest the matter in litigation, the FPM/RFPOC must advise that the RT agreement will be returned to the referring ASI, and the ASI will determine the next action to take. The FPM/RFPOC will brief their manager on the ASI's decision to rescind the airman's RT offer.

k) The FPM/RFPOC will explain that the clearly stated objectives of the RT agreement will be satisfied when successful completion of training has been documented, by the agreed completion date, on the airman's record at www.FAASafety.gov or by a document endorsed by the RT provider (e.g., logbook entry, completion of training statements, or completion certificates).

NOTE: The airman must appear in person for the meeting. The requirement for a personal meeting may be waived only under very unusual circumstances that would make an actual meeting impracticable or impose an undue hardship on the airman. Under such circumstances, the discussion may take place by telephone. However, the airman's original signature must be on the RT agreement. If the Regional POC is performing the FPM duties in an RT case, it may not be practical for the POC to travel to the local office for a meeting with the airman. In such a case, the meeting can be conducted by telephone or by other electronic means.

5) The FPM/RFPOC will make a final determination of eligibility at the initial meeting. If, after the FPM meets with the airman, the FPM determines that the airman does not wish to participate in RT, does not present positive compliance behavior, or is otherwise not eligible, the FPM/RFPOC will discuss FPM findings with the referring ASI. The FPM/RFPOC and ASI will work together to reach a consensus of opinion whenever possible. Disagreements should be professionally elevated until resolved. If both ASI and FPM concur, the FPM will inform the airman and make a written recommendation to the referring ASI that the RT offer should be withdrawn. (See Figure 15-6-1G.)

6) When the FPM/RFPOC and the airman reach an agreement on the training, they will both sign an agreement outlining the terms and conditions of the RT course.

7) The FPM/RFPOC sends the RT provider a blank RT completion certification letter template and advises to return a signed copy when training has been completed. (See Figure 15-6-1H.)

D. Monitor RT Progress to Ensure Completion. During the conduct of the training, the FPM/RFPOC will monitor the progress and brief the referring ASI as to the status of the training as it is being accomplished as stated in the RT agreement. If training progress is not occurring as agreed, the FPM/RFPOC should notify, in writing (e.g., email or other local memoranda), the referring ASI as soon as practical.

NOTE: There may be some instances where the FPM/RFPOC recommends that an airman's RT be considered complete without the airman accomplishing the full amount of training hours specified in the RT agreement. Such instances may arise if the airman is unable to complete the training requirements due to illness, life events, etc. Consideration should be given to airmen who complete the WINGS program or the AMT Awards program. It is ultimately up to the referring ASI whether or not to accept this recommendation from the FPM/RFPOC and issue the Letter of Completion. See Volume 14, Chapter 3, Section 2 for additional referring ASI instructions when RT is part of a Letter of Correction or other enforcement settlement.

E. Verify Airman Has Met or Failed to Meet Objectives.

1) The FPM/RFPOC will verify that the airman has successfully met, or failed to meet, the objectives outlined in the RT agreement. All documentation will be compiled and the *950 PTRS activity record completed by the FPM/RFPOC for the RT. When an airman fails to complete the agreed-upon RT to the FAA's satisfaction, terminate the *950 activity record with a "T" in the results field along with explanatory comments.

NOTE: In the event the referring ASI disagrees with the FPM/RFPOC's recommendation for the airman's withdrawal, failure, or completion of an RT program, the FPM/RFPOC and the ASI will work together to reach a consensus of opinion whenever possible. Disagreements should be professionally elevated until resolved.

2) If the training provider identifies new areas of concern or deficiency outside the scope of the training agreement, the FPM/RFPOC will provide all available information to the referring ASI. The FPM/RFPOC must clearly explain to the airman and include the new concern/deficiency information in the initial RT Letter of Completion or Rescission as a separate item requiring additional followup from the referring ASI. The RT provider will complete the RT completion certification that the FPM/RFPOC provided as part of the RT documents during the curriculum development. (See Figure 15-6-1H.)

3) The FPM/RFPOC will verify with the RT provider that the RT completion certificate was properly completed. Copy and retain all RT agreement and training documents until verification that the referring ASI has received the originals. Electronic copies are acceptable.

4) The FPM/RFPOC will notify the referring inspector (recommend a courtesy copy/message to the assigning office manager) that the training has been completed and forward all original RT documentation to the referring inspector for filing.

5) The FPM/RFPOC will close the *950 PTRS activity record with comments consistent with the Figure 15-6-1-B section IV information from the training provider, including:

a) Whether the airman withdrew or was recommended for withdrawal before beginning training, and if training began;

b) Each type of training (e.g., flight, ground, seminar, or online);

c) A brief description of each training topic and length;

d) The name of each training provider;

e) The certificate number of each certificated training provider;

f) Whether or not the training was completed successfully;

g) Any other applicable information (including newly discovered deficiencies); and

h) The referring ASI's *749 PTRS record ID number in a separate comment coded as described in subparagraph 15-6-1-11B3) above.

F. Referring ASI Procedures. See Volume 14, Chapter 3, Section 2 for additional requirements.

15-6-1-13 TASK OUTCOMES. Completion of this task results in a useful historical record of the RT event and one of the following:

- The airman successfully completing RT and the FPM/RFPOC notifying the referring ASI (Figure 15-6-1C);
- The airman being unsuccessful and the FPM/RFPOC notifying the referring ASI (Figure 15-6-1D);
- The airman voluntarily withdrawing from RT and the FPM/RFPOC notifying the referring ASI (Figure 15-6-1E); or
- The FPM/RFPOC recommending airman be withdrawn from RT and notifying the referring ASI (Figure 15-6-1F).

15-6-1-15 RUNWAY INCURSION RT SPECIAL PROVISIONS GUIDANCE.

A. RT Runway Incursion Procedures. In addition to the current referenced RT guidance in Volumes 7 and 14, the following are the RT runway incursion procedures. The FPM or RFPOC, as appropriate, must take into account the provisions of this section when drafting RT agreements. Further, the FPM or RFPOC will coordinate with their respective Regional Runway Safety Group office to determine if any additional information needs to be included in the RT agreement.

B. Special Emphasis. Additional procedures exist for RT that is being offered to airmen as a result of a runway incursion due to the special emphasis that has been placed on runway incursions by FAA Aviation Safety (AVS).

1) RT programs that result from a runway incursion will include a standardized modular ground training curriculum called the Runway Incursion Remedial Training Program (RIRTP) available at www.FAASafety.gov.

2) The FPM, in collaboration with the referring ASI, is expected to use interdependence and critical thinking to evaluate the discrete facts of the runway incursion event and assign the module(s) that will fix the problem, ensuring that the outcome is consistent with regulations, policies, and the specific circumstances.

3) If the airman has previously completed an RIRTP, the ASI will determine if repeating an RIRTP will mitigate any future reoccurrences or if litigation should be used.

4) Additional ground training topics may be included as part of the RIRTP curriculum if warranted by the runway incursion event.

5) An authorized flight or ground instructor (preferably a FAASTeam REP) that is approved by the FPM or RFPOC must give the ground training required by the RIRTP.

6) The FPM or RFPOC may include additional flight training requirements as part of the RIRTP if warranted by the particular facts of the runway incursion event.

7) During the conduct of the RIRTP, the instructor will evaluate the airman's knowledge of the required subject areas and proficiency in the maneuvers and procedures required in the RIRTP.

NOTE: For the purpose of RT, the airman may accomplish flight training in a flight simulation training device (FSTD) if the FPM or RFPOC finds the use of the FSTD appropriate. The airman must be agreeable to the use of an FSTD in the curriculum.

8) Additional provisions required for runway incursions classified as Category A or Category B include the following:

a) Flight training must be included as part of the RT curriculum. This may include, but it is not limited to, taxi procedures, landing procedures, takeoff procedures, and ATC communications.

b) A CFI who is a current DPE or Former ASI (FASI) must conduct the flight and ground training.

1. If a DPE is used, the FPM or RFPOC should explain to the DPE that they will not be performing certification duties or tasks during this training; rather, the examiner will be providing ground and flight instruction to the airman as a CFI and determining if the airman has an acceptable level of knowledge and proficiency of only the tasks required by the curriculum.

2. If a FASI is used, the following requirements must be met:

- The FASI must hold a current CFI certificate appropriate to the RT syllabus requirements.
- The FPM must verify the FASI's currency in testing and/or training airmen within the last 30 calendar-days.
- The FPM must ensure the FASI has current knowledge of runway incursion causal factors and mitigation strategies.
- The FPM must review the modular RIRTP assigned to the airman with the FASI.

Figure 15-6-1B. Accepted Format for Remedial Training Agreement

I. A training agreement must contain the following elements at a minimum:

A. The proposed/required source(s) of training.
B. A clearly stated training objective(s).
C. A firm completion date (no more than 30 calendar-days).
   1. Extensions may be approved with coordination between the Federal Aviation Administration (FAA) Safety Team (FAASTeam) Program Manager (FPM)/Regional FAASTeam Point of Contact (RFPOC) and aviation safety inspector (ASI).
   2. Extensions should not exceed 6 months from date of apparent deviation.
D. A waiver of right regarding the stale complaint rule.
E. A clear training syllabus that can be easily followed by the Training Provider that includes:
   1. A clear syllabus objective.
   2. A definitive syllabus content and scope (e.g., flight, ground, and/or technical training, as appropriate).
   3. Minimum training completion standards (e.g., FAA Practical Test Standards (PTS)).
F. Documents that will prove acceptable verification of completion of training requirements.
G. A statement regarding the airman's responsibility in the burden of costs.
H. A statement that if the airman conducts operations in the tasks identified in the remedial training (RT) agreement and has a similar deviation, this may be deemed as an unwillingness to comply and would result in RT being withdrawn.

II. Training must be accomplished by a source and/or facility acceptable to the assigned FPM or RFPOC. The FAA does not conduct any training, except a specific FAASTeam-sponsored Aviation Safety Meeting may be appropriate as part of an RT program. Other examples of acceptable sources are listed below:

A. Applicable courses on www.FAASafety.gov.
B. Available online training from another respected source.
C. Title 14 of the Code of Federal Regulations (14 CFR) part 141 approved schools or other flight schools with adequate facilities.
D. Title 14 CFR part 147 approved schools or other Maintenance Technician schools with adequate facilities.
E. Available local training from an FAA-certificated airman actively engaged in testing or training (e.g., Designated Pilot Examiner (DPE), certificated flight instructor (CFI), Designated Mechanic Examiner (DME), Airframe and Powerplant (A&P)/Inspection Authorization (IA), etc.).
F. Numerous volunteer FAASTeam Representatives (REP) who pose specialized knowledge of the training objectives.
G. Other persons of specialized skill related to the training objectives who are otherwise experienced training providers.

Figure 15-6-1B. Accepted Format for Remedial Training Agreement (Continued)

H. An appropriate air traffic control (ATC) facility (in cases involving runway safety and airspace management).
I. A designated medical examiner.
J. Civil Aerospace Medical Institute (CAMI) presentations in Oklahoma City and at aviation events nationwide.
K. Military resources (e.g., physiological training centers).
L. Other training resources as appropriate (e.g., Crew Resource Management (CRM) training provided by contractors).
M. Technical training conducted by a manufacturer, maintenance organization, or employer.

III. The airman and/or the Training Provider must provide periodic progress reports to the assigned FPM/RFPOC to ensure that all elements of the RT agreement will be accomplished within the prescribed time limit. The FPM/RFPOC should reach an agreement with the airman as to the form, manner, and frequency of these reports (e.g., weekly "how goes it" calls from the airman's Training Provider).

Note: Reports indicating negative progress must be sent to the referring ASI, in writing, as soon as practical.

IV. The Training Provider must provide written documentation indicating the airman's satisfactory completion of the RT curriculum to the airman who will in turn provide the documentation to the FPM/RFPOC. This documentation will be in the form of a written endorsement from the person or persons conducting the RT and records of progress or phase checks, etc. The endorsements will indicate each element of the training for which instruction was given and the level of proficiency achieved. The endorsements will include the Training Provider's name, authorizing signature, certificate number (as appropriate), date, and scope and duration of training provided to include the number of hours accomplished (as applicable). An example of this documentation that can be modified as needed and used by the FPM/RFPOC and RT provider is found in Figure 15-6-1C.

V. The RT curriculum must be part of the training agreement and contain the following:

A. Pilot Proficiency Program (WINGS)/Aviation Maintenance Technician (AMT) accredited seminars, online courses found on FAASafety.gov, as appropriate, shall be utilized to fulfill training requirements. Such information can be found under "Activities, Courses, Seminars, & Webinars."
1. "Course Catalog" includes a variety of online training courses (free or pay for use).
2. "Find Seminars" provides a search tool for local safety events.
3. "Find Activities" provides a search tool for flight and ground training/activities.
4. Airmen will be required to be registered on FAASafety.gov as a user.

Figure 15-6-1B. Accepted Format for Remedial Training Agreement (Continued)

B. Duration of required training (hours, calendar-days, tasks, etc.): Types of training and hourly requirements for both pilots and mechanics should be the minimum required to correct the underlying behavior that caused the regulatory deviation. Any less or any more than the times recommended in this section would indicate that RT may not be the most effective means of fixing the problem.
   1. Ground school training for pilots or for mechanics/repairmen involved in vehicle/pedestrian deviations should not be less than 1 hour and no more than 10 hours of instruction.
   2. Flight training should require no less than 1 hour and no more than 8 hours of instruction. (Approved flight simulation training devices (FSTD) can be used in lieu of aircraft flight training when appropriate.)
   3. Mechanic/repairman RT for administrative (paperwork) noncompliance should not be less than 1 hour and no more than 8 hours of instruction.
   4. Mechanic/repairman RT for technical noncompliance should require no less than 1 hour and no more than 40 hours of instruction.

C. An explanation that the need for additional training due to unsatisfactory performance during RT that is beyond that which was initially required or if the objectives of the RT agreement cannot be successfully reached, the airman may be withdrawn from the RT Program and considered for enforcement action or reexamination under Title 49 of the United States Code (49 U.S.C.) § 44709(a).

VI. The RT agreement must contain a statement that the airman understands that all costs related to the RT are borne by the airman.

VII. The RT agreement must define a firm completion date (no more than 30 calendar-days) to satisfactorily complete the requirements of the agreement.

VIII. The RT agreement must include the following statement:

I, [insert airman name], agree to comply with the terms and conditions specified in this Remedial Training (RT) Agreement. I understand that failure to complete any element of this agreement within the prescribed period of time may result in my removal from the RT program and appropriate administrative or legal enforcement action and/or reexamination under Title 49 of the United States Code (49 U.S.C.) § 44709(a). If legal enforcement action is taken, I waive my right under section 821.33 of the National Transportation Safety Board's (NTSB) Rules of Practice (Title 49 of the Code of Federal Regulations (49 CFR) part 821, § 821.33), to move to dismiss the FAA's complaint as stale.

Figure 15-6-1C. Sample Remedial Training Agreement Letter

[DATE]

[NAME]
[ADDRESS]
[CITY, STATE ZIP]

Subject: Remedial Training Agreement

[Title] [Name]

This remedial training (RT) agreement and curriculum was created by [FPM/RFPOC name], FAA Safety Team (FAASTeam) Program Manager (FPM) or Regional FAASTeam Point of Contact (RFPOC), on the basis of a referral received from Inspector [referring aviation safety inspector's (ASI) name], allowing you (aforementioned airman) to participate in the RT program. Accordingly, your signature on this agreement signifies your concurrence to complete the prescribed course of RT (enclosure) within the assigned period of time. To complete this RT program successfully, you must comply with the following:

1. You must obtain the required training from designated/approved source(s). The source(s) is approved/designated by the FPM/RFPOC who drafted your RT agreement.

2. All expenses/costs incurred by or as a result of the prescribed training must be borne by you.

3. Once training begins, you are required to make periodic progress reports to the FPM/RFPOC assigned to your RT program.

4. If you continue to conduct operations in the areas identified in this RT agreement and have a similar deviation, this may be deemed as unwillingness to comply and would result in RT being withdrawn.

5. You are required to complete all elements of the RT curriculum and meet acceptable completion standards no later than [Date RT to be completed by].

6. You are required to provide the FPM/RFPOC with written documentation indicating satisfactory completion of the prescribed RT. You must provide the original (or certified copy) of a written certification issued by the RT Provider(s). The written certification must describe each element of the curriculum for which instruction was given and the level of proficiency you have achieved.

Figure 15-6-1C. Sample Remedial Training Agreement Letter (Continued)

Any endorsements will include the Training Provider's name, authorizing signature, certificate number (as appropriate), date, scope and duration of training provided to include the number of hours accomplished (as applicable). A certificate of satisfactory completion will suffice for prescribed Web-based (online course) training (e.g., www.FAASafety.gov, Pilot Proficiency Program (WINGS), Aviation Maintenance Technician (AMT), Aircraft Owners and Pilots Association–Air Safety Foundation (AOPA-ASF), etc.).

If the objectives of this RT agreement cannot be successfully reached, you may be referred back to Inspector [referring ASI's name] to be withdrawn from the RT program.

1 of 2

I, [Insert Airman's Name], agree to comply with the terms and conditions specified in this remedial training (RT) agreement. I understand that failure to complete any element of this agreement within the prescribed period of time may result in my removal from the RT program and administrative or legal enforcement action and/or reexamination under Title 49 of the United States Code (49 U.S.C.) § 44709(a).

Airman Signature	Certificate Number	Date
	XXX-XXX	
[Insert FPM/RFPOC Name]	Routing Number	Date

FAASTeam Program Manager

Regional FAASTeam Point of Contact

Enclosure: Remedial Training Curriculum

2 of 2

Figure 15-6-1C. Sample Remedial Training Agreement Letter (Continued)

Sample Remedial Training Curriculum Enclosure

REMEDIAL TRAINING CURRICULUM – Sample 1 (see Figures 15-6-1K and 15-6-1L for more samples)

Objective: To improve the airman's knowledge and pilot proficiency in flight planning with emphasis on fuel management, cross-country flight planning, the use of navigation charts, and the use of the GNS 430 for cross-country navigation.

Content:

A. A minimum of 4 hours of ground instruction on the following subjects:

1. FAASafety.gov Learning Center Course, "The Art of Aeronautical Decision Making" by AFS-800 (online course). (1.0 hours)
2. Cross-country flight planning with emphasis on Cirrus SR-22 performance/fuel consumption charts. (1.5 hours)
3. Programming and use of the GNS 430 for visual flight rules (VFR) cross-country operations. (1.0 hours)
4. Cirrus SR-22 emergency procedures – engine failure/loss of power. (0.5 hours)

B. A minimum of 4 hours of flight instruction to include:

1. Flight Task Activity Number A100125-09 (Airplane Single-Engine Land (ASEL)-Navigation) found in the Pilot Proficiency Program (WINGS) on FAASafety.gov. Activity to be demonstrated using appropriate navigation charts and the GNS 430 when applicable.
2. Demonstrate proficiency utilizing the GNS 430 during flight to include in-flight changes and the ability to find the nearest airports.
3. Cirrus SR-22 emergency procedures – engine failure/loss of power.

Completion Standards: The training will have been successfully completed when the assigned remedial training (RT) provider, by oral testing and practical demonstration, certifies that the airman has completed instruction in the above mentioned tasks in accordance with the RT curriculum. When applicable, the above mentioned tasks will be completed to the level of proficiency stated in the Private Pilot Practical Test Standards (PTS) (the current edition of FAA-S-8081-14) [insert applicable FAA PTS reference]. Documentation must be provided to the FAA Safety Team (FAASTeam) Program Manager (FPM) as stated in the RT agreement.

I agree to comply with the terms and conditions specified in this letter. I understand that failure to complete any element of this agreement within the prescribed period of time may result in my removal from the RT program and administrative or legal enforcement action and/or reexamination under Title 49 of the United States Code (49 U.S.C.) § 44709(a). If legal enforcement action is taken, I waive my right under section 821.33 of the National Transportation Safety Board's (NTSB) Rules of Practice (Title 49 of the Code of Federal Regulations (49 CFR) part 821, § 821.33), to move to dismiss the FAA's complaint as stale.

[Insert name] Date: [Insert date]

Figure 15-6-1D. Notification of Successful Remedial Training Completion

Federal Aviation Administration

MEMORANDUM

Date: October 1, 2015

To: [Insert Name], Aviation Safety Inspector, [Insert Office Routing Symbol]

From: [Insert Name], FAASTeam Program Manager (FPM), Regional FAASTeam Point of Contact (RFPOC) [Insert Phone]

Through: [Insert Name], Manager, [Insert Office Routing Symbol], [Insert Phone]

Subject: Remedial Training – [Insert Airman's Name]

Notification of Successful Remedial Training Completion

This Memorandum serves as notification that Airman [Insert Airman's Name], referred by you to the FAASTeam on [Insert Date of RT Referral], successfully completed all of the minimum requirements of the Remedial Training Agreement on [Insert Date of RT Completion].

I have reviewed the airman's Remedial Training progress and I am satisfied that all of the training objectives requested in your referral have been satisfied. Additionally, I have concurrence of completion from the Remedial Training Provider.

I hereby return all pertinent original documentation to you, the referring ASI.

Please refer to Program Tracking and Reporting Subsystem ID# [Insert PTRS ID#] for pertinent details regarding the FAASTeam response to your referral.

This memorandum concludes the FAASTeam action herein.

Figure 15-6-1E. Notification of Failure of Remedial Training Completion

Federal Aviation Administration

MEMORANDUM

Date: October 1, 2015

To: [Insert Name], Aviation Safety Inspector, [Insert Office Routing Symbol]

From: [Insert Name], FAASTeam Program Manager (FPM), Regional FAASTeam Point of Contact (RFPOC) [Insert Phone]

Through: [Insert Name], Manager, [Insert Office Routing Symbol], [Insert Phone]

Subject: Remedial Training – [Insert Airman's Name]

Notification of Failure of Remedial Training Completion

This Memorandum serves as notification that Airman [Insert Airman's Name], referred by you to the FAASTeam on [Insert Date of RT Referral], has failed to successfully complete the minimum requirements of the Remedial Training Agreement.

I have reviewed the airman's Remedial Training progress and discussed any shortcomings with the selected Remedial Training Provider(s) and the airman. Because the airman has failed to meet the expectations of the Agreement within the allotted timeframe, Remedial Training has failed to achieve the desired results in this instance.

I hereby return all pertinent original documentation to you, the referring ASI. Please refer to Program Tracking and Reporting Subsystem ID# [Insert PTRS ID#] for pertinent details regarding the FAASTeam response to your referral.

This memorandum concludes the FAASTeam action herein.

Figure 15-6-1F. Notification of Voluntary Airman Withdrawal

Federal Aviation Administration

MEMORANDUM

Date: October 1, 2015

To: [Insert Name], Aviation Safety Inspector, [Insert Office Routing Symbol]

From: [Insert Name], FAASTeam Program Manager (FPM), Regional FAASTeam Point of Contact (RFPOC) [Insert Phone]

Through: [Insert Name], Manager, [Insert Office Routing Symbol], [Insert Phone]

Subject: Remedial Training – [Insert Airman's Name]

Notification of Voluntary Airman Withdrawal

On [Insert Effective Date], Airman [Insert Airman's Name] voluntarily withdrew from the Remedial Training Program. You had referred this airman to the FAASTeam on [Insert Date of RT Referral].

The airman has stated his/her reason(s) for withdrawal is/are [State Reason(s) for Withdrawal].

I am returning all pertinent original documentation to you, the referring ASI. Please refer to Program Tracking and Reporting Subsystem ID# [Insert PTRS ID#] for pertinent details regarding the FAASTeam response to your referral.

This memorandum concludes the FAASTeam action herein.

Figure 15-6-1G. Notification of Recommended Airman Withdrawal

Federal Aviation Administration

MEMORANDUM

Date: October 1, 2015

To: [Insert Name], Aviation Safety Inspector, [Insert Office Routing Symbol]

From: [Insert Name], FAASTeam Program Manager (FPM), Regional FAASTeam Point of Contact (RFPOC) [Insert Phone]

Through: [Insert Name], Manager, [Insert Office Routing Symbol], [Insert Phone]

Subject: Remedial Training – [Insert Airman's Name]

Notification of Recommended Airman Withdrawal

This Memorandum serves as recommendation that the Remedial Training offer made to Airman [Insert Airman's Name], referred by you to the FAASTeam on [Insert Date of RT Referral], be withdrawn.

I have reviewed the airman's Remedial Training progress and discussed any shortcomings with the selected Remedial Training Provider(s) and the airman. Because the airman has failed to meet Remedial Training expectations, it is my recommendation that you withdraw airman's Remedial Training Referral and proceed with appropriate followup action as applicable.

The specific reason(s) for this recommendation is/are [State Reason(s) for Recommendation].

I hereby return all pertinent original documentation to you, the referring ASI. Please refer to Program Tracking and Reporting Subsystem ID# [Insert PTRS ID#] for pertinent details regarding the FAASTeam response to your referral.

This memorandum concludes the FAASTeam action herein.

Figure 15-6-1H. Sample Remedial Training Completion Certification from Remedial Training Provider

TO: Jane L. Smith
FAASTeam Program Manager (or Regional FAASTeam Point of Contact)
Blythe Flight Standards District Office
2600 Cactus Blvd.
Blythe, CA 92225

FROM: _____
Remedial Training Provider's Name (print)

_____
Address

_____
City State ZIP

This is to certify that Mr. John D. Doe has satisfactorily completed the following tasks from the remedial training (RT) program curriculum dated [RT agreement signed date] (online courses not shown). I have given Mr. Doe training on these tasks from the prescribed RT curriculum and the level of proficiency achieved by Mr. Doe is described below. Proficiency level was determined by practical demonstration and oral testing.

Objective: To improve the airman's knowledge and pilot proficiency in flight planning with emphasis on fuel management, cross-country flight planning, the use of navigation charts and the use of the Garmin GNS 430 for cross-country navigation.

Content:

A. Four hours of ground instruction on the following subjects:
   1. Cross-country flight planning with emphasis on Cirrus SR-22 performance/fuel consumption charts. (hours, e.g., 1.2)
   2. Programming and use of the GNS 430 for visual flight rules (VFR) cross-country operations. (hours)
   3. Cirrus SR-22 emergency procedures – engine failure/loss of power. (hours)

B. Four hours of flight instruction consisting of the following tasks:
   1. Flight Task Activity Number A100125-09 (Airplane Single-Engine Land (ASEL)-Navigation) found in the Pilot Proficiency Program (WINGS) on FAASafety.gov. Activity to be demonstrated using appropriate navigation charts and the GNS 430 when applicable (Activity No. A100125-09 validated in WINGS). (hours)
   2. Demonstrate proficiency utilizing the GNS 430 during flight to include in-flight changes and the ability to find the nearest airports. (hours)
   3. Cirrus SR-22 emergency procedures – engine failure/loss of power. (hours)

Figure 15-6-1H. Sample Remedial Training Completion Certification from Remedial Training Provider (Continued)

Level of Proficiency Achieved: The above tasks were completed to the level of proficiency stated in the applicable Practical Test Standards (PTS) (FAA-S-8081-[insert standard used]). Scope and comments are attached.

Signature: _____

Applicable Certificate No.: _____ Expires: _____

Date signed: _____

2 of 2

Figure 15-6-1J. Sample Letter of Rescission

[Insert date]

[Insert name]
[Insert address]

Dear [Insert name]:

This is to inform you that we find you have not complied with the remedial training (RT) agreement executed on [insert date], requiring that you complete specified RT. Specifically, your supervising flight instructor, [insert name], advised us that you have not [insert description of RT agreement conditions not met, such as "begun the flight instruction in navigation procedures you agreed to have completed"] by [insert name of training provider]. Further, you were scheduled to participate in [insert description of other items if necessary] but you did not attend or advise us of any rescheduling of the training elements per the terms of the RT agreement.

In view of your failure to complete the terms of the RT agreement, we have terminated your participation in the RT program effective this date. We are referring you back to the [insert Flight Standards office name] for their followup.

Sincerely,

[Insert name]
FAASTeam Program Manager/Regional FAASTeam Point of Contact

Figure 15-6-1K. Sample Remedial Training Curriculum – Maintenance Technician

REMEDIAL TRAINING CURRICULUM – MAINTENANCE TECHNICIAN (Sample)

Objective: To improve the airman's knowledge and Aircraft Maintenance proficiency in recordkeeping requirements with emphasis on the consequences in failure to follow procedures and addressing Airworthiness Directives (AD).

Content:

A. A minimum of 4 hours of education on the following subjects:

1. FAASafety.gov Course, "Failure to Follow Procedures – INSPECTIONS," by the FAA Safety Team (FAASTeam)/Achieve (online course) and complete the end of course exam (corrected to 100 percent). (2 hours)
2. Attend the upcoming FAASTeam Safety Seminar, "Decoding Airworthiness Directives (AD)," being conducted [state location, date, and time]. (2 hours)

B. A minimum of 4 hours of individual instruction with the appointed training provider to include:

1. Tasks detailed in the Aviation Mechanic General (AMG), Practical Test Standards (PTS), FAA-S-8081-26, Section I, Maintenance Forms and Records, Objective 2 to the demonstration of Skill (practical) to the Level 3 Performance Standard. (2 hours)
2. Tasks detailed in the AMG, PTS, FAA-S-8081-26, Section I, Maintenance Forms and Records, Objective 3(c) and 3(e) to the demonstration of Skill (practical) to the Level 3 Performance Standard. (2 hours)

Completion Standards: The training will have been successfully completed when the assigned remedial training (RT) provider, by oral testing and practical demonstration, certifies that the airman has completed instruction in the above mentioned tasks in accordance with the RT curriculum. Documentation must be provided to the FAASTeam Program Manager (FPM)/Regional FAASTeam Point of Contact (RFPOC) as stated in the RT agreement.

Completion Date: [insert date]

Failure to complete any element of this agreement within the prescribed period of time will result in your removal from the RT program and commencement of other appropriate FAA reexamination or enforcement action.

[Insert name] Date: [insert date]
FAASTeam Program Manager/Regional FAASTeam Point of Contact

I agree to comply with the terms and conditions specified in this letter. I understand that failure to complete any element of this agreement within the prescribed period of time may result in my removal from the RT program and administrative or legal enforcement action and/or reexamination under Title 49 of the United States Code (49 U.S.C.) § 44709(a). If legal enforcement action is taken, I waive my right under section 821.33 of the National Transportation Safety Board's (NTSB) Rules of Practice (Title 49 of the Code of Federal Regulations (49 CFR) part 821, § 821.33), to move to dismiss the FAA's complaint as stale.

[Insert name] Date: [insert date]

Figure 15-6-1L. Sample Remedial Training Curriculum – Flight Operations

REMEDIAL TRAINING CURRICULUM – FLIGHT OPERATIONS (Sample)

Syllabus Objective: To improve the airman's knowledge and proficiency in visual flight rules (VFR) radio navigation, cross-country flying, and operating procedures in terminal control areas (TCA).

Syllabus Content:

(1) A minimum of 6 hours of ground instruction on the following subjects:

(a) Reading aeronautical charts.

(b) Operation of navigation equipment (both Global Positioning System (GPS) and Very high frequency Omnidirectional Range (VOR)).

(c) Limitations of navigation equipment (both GPS and VOR).

(d) Cross-country navigation using pilotage and radio navigation (both GPS and VOR).

(e) Air traffic control (ATC) procedures for operating in TCAs under VFR.

(2) At least one visit to the Metropolis TCA radar facility to participate in "Operation Rain Check." Travel time, to and from the Metropolis Airport, cannot be credited toward the 6-hour ground instruction requirement.

(3) Three hours of flight instruction in the following procedures:

(a) Operation of navigation equipment (both GPS and VOR).

(b) Cross-country navigation using pilotage and radio navigation (both GPS and VOR).

(c) VFR operating procedures in TCAs.

Completion Standards: The training will have been successfully completed when, by oral testing and practical demonstration, the airman demonstrates proficiency in the above subjects and procedures in accordance with the applicable practical test standards (PTS) to the supervising instructor.

Completion Date: [insert date]

Failure to complete any element of this agreement within the prescribed period of time will result in your removal from the remedial training (RT) program and commencement of other appropriate Federal Aviation Administration (FAA) reexamination or enforcement action.

[Insert name] Date: [insert date]
FAASTeam Program Manager/Regional FAASTeam Point of Contact

I agree to comply with the terms and conditions specified in this letter. I understand that failure to complete any element of this agreement within the prescribed period of time may result in my removal from the RT program and administrative or legal enforcement action and/or reexamination under Title 49 of the United States Code (49 U.S.C.) § 44709(a). If legal enforcement action is taken, I waive my right under section 821.33 of the National Transportation Safety Board's (NTSB) Rules of Practice (Title 49 of the Code of Federal Regulations (49 CFR) part 821, § 821.33), to move to dismiss the FAA's complaint as stale.

[Insert name] Date: [insert date]

15-6-1-17 through 15-6-1-31 RESERVED.

VOLUME 15 FAA SAFETY TEAM POLICIES AND PROCEDURES

CHAPTER 11 CONDUCT A SAFETY EVENT

Section 1 Conducting a Safety Event

15-11-1-1 GENERAL. Aviation safety events provide a valuable service to the aviation community by communicating current, accurate, and relevant information regarding regulations, procedures, and safety techniques to meet the mission and goals of the Flight Standards Safety Promotion Program. The program goals meet the initiatives and strategies from the Federal Aviation Administration (FAA) Administrator, including the National FAA Safety Team (FAASTeam) Performance Plan (NPP).

A. Purpose. This task provides guidance to plan, schedule, and conduct a safety event in support of the FAASTeam mission.

B. Scope. This task applies to FAASTeam Program Managers (FPM), Regional FAASTeam Points of Contact (RFPOC), National FAASTeam Branch (AFS-850) staff, and FAASTeam Representatives (REP).

15-11-1-3 TASK PREREQUISITES AND SIGNIFICANT INTERFACES.

A. Program Tracking and Reporting Subsystem (PTRS) Activity Code.

1) Operations: 1931*.

2) Maintenance: 3931*.

3) Avionics: 5931*.

NOTE: *X931 is the PTRS code for an event for a General Aviation (GA) audience. Codes for targeted groups within GA are listed in the National FAASTeam PTRS/LDR Work Instruction found on the national FAASTeam Knowledge Services Network (KSN) site.

B. Significant Interfaces. This task requires coordination with the following organizations or individuals:

- The national FAASTeam branch manager and staff,
- RFPOCs,
- FPMs,
- FAASTeam REPs managing or participating in the event,
- Guest speakers or contributors participating in the event,
- Facility providers, and
- Designees (Designated Pilot Examiners (DPE) and Designated Mechanic Examiners (DME)).

C. Automation Tools:

- FAASTeam website at www.FAASafety.gov;
- Safety Program Airman Notification System (SPANS); and
- National FAASTeam KSN site.

D. References.

1) Legal References. [Reserved]

2) Regulatory Guidance. [Reserved]

3) Procedural Guidance (current editions):

- FAASTeam Website Help Manual.
- FAASTeam Representative Manual.
- NPP.
- FAA Order 1380.51, Program Tracking and Reporting Subsystem.
- PTRS Procedures Manual (PPM).

E. Additional Guidance. [Reserved]

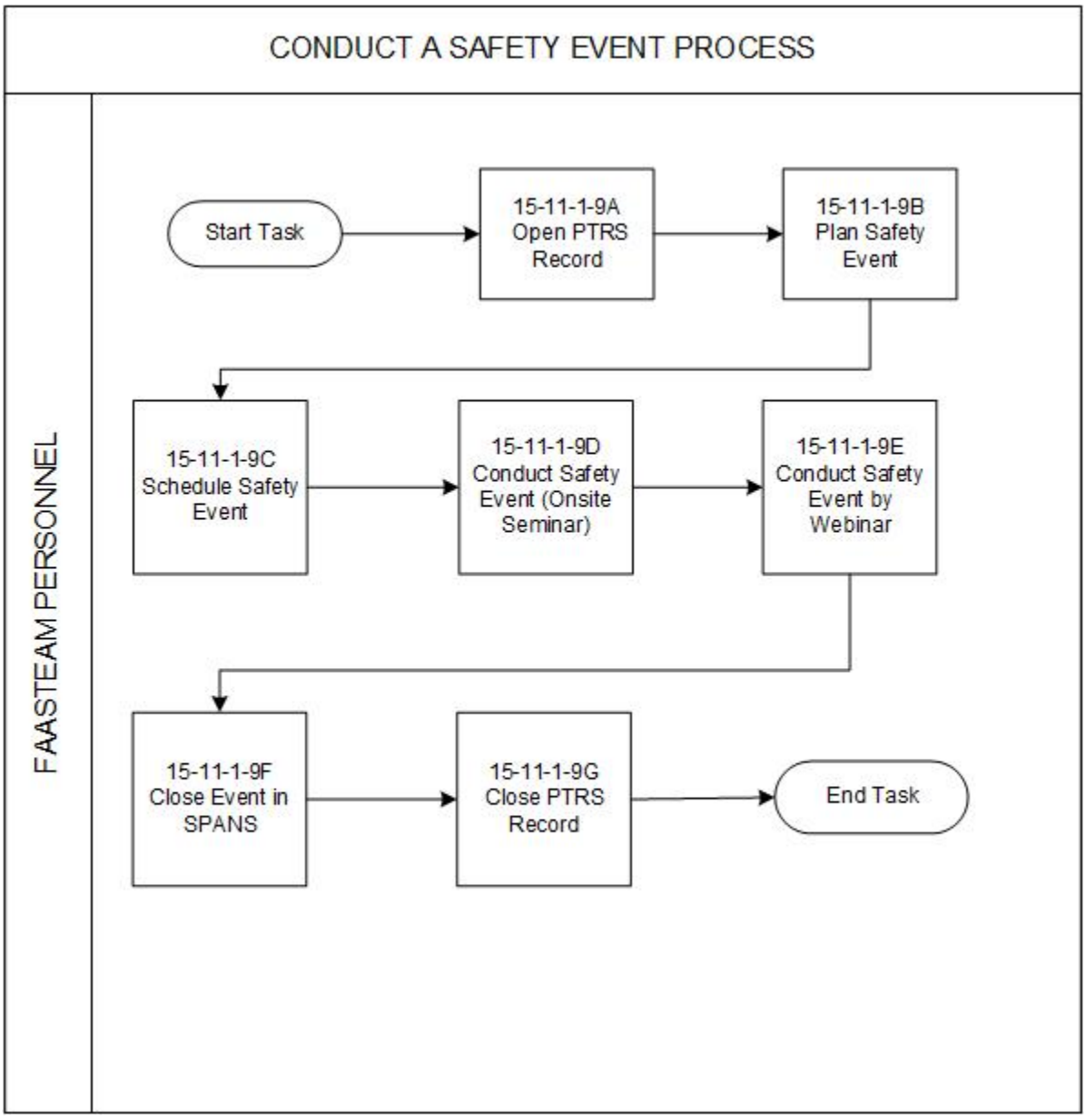
F. Forms. FAA Form 8000-36, Program Tracking and Reporting System Data Sheet.

G. Job Aids. [Reserved]

15-11-1-5 BACKGROUND. [Reserved]

15-11-1-7 CONDUCT A SAFETY EVENT PROCESS FLOW.

Figure 15-11-1A. Conduct a Safety Event Process Flowchart



15-11-1-9 PROCEDURES.

A. Open PTRS Record (see flowchart process step 15-11-1-9A).

B. Plan Safety Event (see flowchart process step 15-11-1-9B).

1) Review the NPP and the FAASTeam Flight Standards District Office (FSDO) Report.

2) Assess FSDO district demographics (e.g., airmen population, facilities, and schools).

3) Determine the type of event to be scheduled, based on data (e.g., onsite seminar or Webinar).

4) Consider dates, times, locations, topics, and participants. Be aware of other major events in the area that may conflict with the date and time of your event.

a) Consider adequacy of facility (e.g., space, environmental lighting, and acoustics). Attempt to procure appropriate meeting space available at no charge. If facility rental is required, coordinate with the FSDO Management Team for funding approval before committing to any rental fees.

b) Consider Americans with Disabilities Act of 1990 (ADA) requirements if requested by a participant. Coordinate with the FSDO Management Team and RFPOC for assistance with this request.

c) Arrange for parking. There should be adequate parking for automobiles and, if necessary, aircraft. If attendees need to make any special arrangements to access parking, that information should be noted in the SPANS announcement. If fly-in attendees are anticipated, any pertinent information regarding the airport facilities and transportation should be included.

5) Select/develop an appropriate presentation for the event.

a) Select from approved presentations on the national FAASTeam KSN site.

b) A locally developed presentation may be considered if an appropriate presentation is not available in the Approved Presentations section of the national FAASTeam KSN site. The responsible manager must approve locally developed presentations.

6) Determine if appropriate handout material is available. (Refer to FAASTeam products on www.FAASafety.gov. Use the “Resources” drop-down menu, then select “Online Resources.”)

C. Schedule Safety Event (see flowchart process step 15-11-1-9C).

1) Schedule start and end times considering potential attendee travel situations (e.g., distance, traffic, and weather).

2) Create a notification using SPANS on www.FAASafety.gov. Refer to the current version of the FAASTeam website help manual for detailed instructions on how to best utilize SPANS features to publish an event.

3) The SPANS approval process:

a) SPANS outreach (including notification of seminars, webinars, and notices) produced by an FPM (or an FPM's FAASTeam REP) must be approved by the RFPOC in the FPM's home region.

b) For SPANS outreach that will remain within the FPM's district, the FPM's point of contact (POC) will review the materials for errors and compliance with FAASTeam policy and then approve or return them to the FPM for revision.

c) For SPANS outreach that will go beyond the FPM's district but remain within the region:

1. The FPM's POC will coordinate the outreach with the other district offices that the outreach will affect for their awareness and to resolve any issues.

2. The FPM's POC will review the materials for errors and compliance with FAASTeam policy and then approve or return them to the FPM for revision.

d) For SPANS outreach that will go beyond the originating region:

1. The POC from the originating region will contact the POC(s) in the other region(s) that the outreach will affect for their awareness and to resolve any issues.

2. The FPM's POC will review the materials for errors and compliance with FAASTeam policy and then approve or return them to the FPM for revision.

NOTE: SPANS is defaulted to send emails 14 calendar-days prior to the event date, to allow airmen ample time to review and sign up for the event. POCs should recognize that notifications of less than 14 days may be necessary due to unique event circumstances and should approve them on a case-by-case basis. However, systemic or habitual short-notice notifications should be evaluated with the FPM and/or FAASTeam REP.

4) Comply with the SPANS Policy for Safety Events that Charge Fees. Fees may be charged for a safety event as long as the event and SPANS listing (posted on the web only) meet the following criteria:

a) The event must be entered into SPANS by a FAASTeam REP with appropriate www.FAASafety.gov privileges.

b) Select "Yes" for the "Event has a Cost" radio button. The actual fee to attend the event is not to be shown in the SPANS listing.

c) The event description must clearly inform the reader how to determine the fee and to whom the fee is paid.

d) The attendance fee cannot be paid to or be processed through the FAA.

e) The FAA or FAA personnel do not receive any money from the event.

f) The event must be conducted by a FAASTeam REP or FAASTeam Industry Member (FIM).

g) The safety message of the event outweighs the marketing message of a specific product.

h) The event qualifies for and is approved for the FAA's Pilot Proficiency Program (WINGS) and/or Aviation Maintenance Technician (AMT) credit.

i) If email notifications of the event are desired, the following guidance must be followed in addition to subparagraphs a) through h) above:

1. The sponsor of the event must be a not-for-profit organization or a government group.

2. The fee must be reasonable and used to help cover expenses (e.g., room rental, refreshments, and speaker fees).

NOTE: Direct policy questions for SPANS events with a fee to the FSDO Management Team and RFPOC. Policy questions that cannot be resolved at this level may be elevated to AFS-850.

5) Consider additional publicity options.

a) Prepare a news release for local newspapers, television stations, and radio stations, if applicable.

b) Post flyers at prominent locations within the aviation community, such as Fixed-Base Operators (FBO) and flight schools.

c) Arrange for announcement of the program in local airport or airmen group newsletters or calendars of events.

D. Conduct Safety Event (Onsite Seminar) (see flowchart process step 15-11-1-9D).

1) Prepare or download the event sign-in sheet from SPANS on www.FAASafety.gov.

2) Arrive onsite early enough to allow ample time to prepare the facility and presentation equipment.

a) Establish a location for the sign-in sheet. Place the sign-in sheet in a highly visible location. It may be beneficial to have a volunteer, preferably a FAASTeam REP, assist in having the attendees sign in properly.

b) Ensure the availability of sufficient equipment to support the presentation (e.g., projectors, screens, and sound system).

3) Greet the audience upon arrival and direct them to handout materials (if available) and the sign-in sheet.

4) Conduct the presentation.

a) Promote FAASTeam website registration, awards programs (WINGS and AMT awards), and current special emphasis items. Recognize all who participated in or contributed to the event presentation.

b) Collect the sign-in sheet, check it for legibility, and confirm all participants are listed.

c) Return the facility to its original state.

E. Conduct Safety Event by Webinar (see flowchart process step 15-11-1-9E).

1) Go to the Webinar tab on the national FAASTeam KSN site and follow the Webinar Job Aid to set up the webinar.

2) Conduct the presentation.

3) Close the webinar event.

F. Close Event in SPANS (see flowchart process step 15-11-1-9F). Ensure attendance and event costs are recorded in SPANS within 7 business-days after completing each event. For a recurring event, it would also be helpful to capture each SPANS event as a template for future use.

G. Close PTRS Record (see flowchart process step 15-11-1-9G).

15-11-1-11 TASK OUTCOMES. The completion of this task results in:

- Dissemination of critical safety information to airmen,
- Better relations between the aviation community and the FAA,
- Improved airman education regarding accident/incident causal factors and regulatory changes,
- Increased numbers of airmen motivated to improve their skills and proficiency through use of the WINGS/AMT awards programs,
- Greater compliance with FAA regulations, and
- Completion of the NPP.

15-11-1-13 FUTURE ACTIVITIES. Future activities include:

- Continuing effective safety program presentations, and
- Modifying events as necessary to improve effectiveness and impact.

15-11-1-15 through 15-11-1-25 RESERVED.

VOLUME 17 SAFETY MANAGEMENT SYSTEM

CHAPTER 4 SAFETY MANAGEMENT SYSTEM VOLUNTARY PROGRAM

Section 3 Continued Operational Safety—Certificate Management Team Monitoring and Surveillance

17-4-3-1 PURPOSE. This section provides guidance for Certificate Management Teams (CMT) to perform continued oversight of a certificate holder's applied safety management processes.

17-4-3-3 SAFETY MANAGEMENT SYSTEM VOLUNTARY PROGRAM (SMSVP) EXPECTATIONS. Volume 17, Chapter 4, Section 1, paragraph 17-4-1-13 clearly states that the CMT is expected to provide ongoing surveillance support to validate a certificate holder's continued conformance to the SMSVP Standard. By doing so, it is anticipated that the CMT will realize significant benefits when performing its certificate holder oversight responsibilities. Regardless, failure of either the certificate holder or the CMT to adequately meet its obligations to SMSVP requirements may result in Safety Management System Program Office (SMSPO) withdrawal of "State recognition."

17-4-3-5 APPLICATION OF SAFETY MANAGEMENT SYSTEM (SMS) TO CONTINUED OPERATIONAL SURVEILLANCE. Once safety management processes and activities have been integrated into the certificate holder's technical processes, the CMT must broaden the scope of its normal surveillance to include the certificate holder's SMS activities. Under a fully functioning SMS, when an inspector finds a regulatory violation or process nonconformance, his or her most important concern is, "Why didn't the certificate holder's SMS processes identify this problem, and if it was identified, why did the SMS not contain and/or correct this problem?" A certificate holder's SMS increases organizational safety awareness and reduces "plausible excuses of ignorance" regarding systemic safety issues.

17-4-3-7 CMT SURVEILLANCE RECORDS. A CMT must record all safety management assessment activities to demonstrate certificate holder conformance with the SMSVP Standard. CMT surveillance activities, associated with safety management, must be recorded in the Safety Assurance System (SAS) data repository. This is accomplished by using Data Collection Tools (DCT) and associated questions sets designed into existing tools to assess safety management activities.

NOTE: For those certificate holders not in SAS, the CMT will make Program Tracking and Reporting Subsystem (PTRS) entries as defined in the Continued Operational Safety (COS) job aids.

Figure 17-4-3A. Safety Management System Voluntary Program Standard

1. Purpose of This Attachment. The Safety Management System Voluntary Program (SMSVP) Standard, when properly applied, is the basis for formal State recognition of a certificate holder's Safety Management System (SMS). The SMSVP Standard, while resembling Title 14 of the Code of Federal Regulations (14 CFR) Part 5, Safety Management Systems, is a separate document used by the Flight Standards Service (AFS) SMS Program Office (SMSPO) to evaluate SMSVP participants.

2. Applicability. The SMSVP Standard details the minimum conformance expectations participants must maintain for State recognition of its SMS. Adherence to the SMSVP Standard does not replace compliance with other FAA regulatory requirements. The certificate holder may establish more stringent requirements in its system than those in this Standard.

SAFETY MANAGEMENT SYSTEM VOLUNTARY PROGRAM STANDARD

Subpart A—General.

5.1 Applicability.
(a) A certificate holder desiring to implement an SMS must meet all requirements of this Standard and be found acceptable using the validation process as described in the Safety Management System Voluntary Program.

5.3 General Requirements.
(a) Any certificate holder required to have a Safety Management System under this Standard must submit the Safety Management System to the Administrator for acceptance. The SMS must be appropriate to the size, scope, and complexity of the certificate holder's operation and include at least the following components:

(1) Safety policy in accordance with the requirements of subpart B of this Standard;
(2) Safety risk management in accordance with the requirements of subpart C of this Standard;
(3) Safety assurance in accordance with the requirements of subpart D of this Standard; and
(4) Safety promotion in accordance with the requirements of subpart E of this Standard.

(b) The Safety Management System must be maintained in accordance with the recordkeeping requirements in subpart F of this Standard.

(c) The Safety Management System must ensure compliance with the relevant regulatory standards in chapter I of Title 14 of the Code of Federal Regulations.

5.5 Definitions.
Hazard means a condition that could foreseeably cause or contribute to an aircraft accident as defined in Title 49 of the Code of Federal Regulations (49 CFR) part 830, § 830.2.
Risk means the composite of predicted severity and likelihood of the potential effect of a hazard.
Risk control means a means to reduce or eliminate the effects of hazards.
Safety assurance means processes within the SMS that function systematically to ensure the performance and effectiveness of safety risk controls and that the organization meets or exceeds its safety objectives through the collection, analysis, and assessment of information.
Safety objective means a measurable goal or desirable outcome related to safety.
Safety performance means realized or actual safety accomplishment relative to the organization's safety objectives.
Safety policy means the certificate holder's documented commitment to safety, which defines its safety objectives and the accountabilities and responsibilities of its employees in regards to safety.
Safety promotion means a combination of training and communication of safety information to support the implementation and operation of an SMS in an organization.
Safety Risk Management means a process within the SMS composed of describing the system, identifying the hazards, and analyzing, assessing and controlling risk.

Subpart B—Safety Policy.

5.21 Safety Policy.

(a) The certificate holder must have a safety policy that includes at least the following:

(1) The safety objectives of the certificate holder.

(2) A commitment of the certificate holder to fulfill the organization's safety objectives.

(3) A clear statement about the provision of the necessary resources for the implementation of the SMS.

(4) A safety reporting policy that defines requirements for employee reporting of safety hazards or issues.

(5) A policy that defines unacceptable behavior and conditions for disciplinary action.

(6) An emergency response plan that provides for the safe transition from normal to emergency operations in accordance with the requirements of 5.27.

(b) The safety policy must be signed by the accountable executive described in 5.25.

(c) The safety policy must be documented and communicated throughout the certificate holder's organization.

(d) The safety policy must be regularly reviewed by the accountable executive to ensure it remains relevant and appropriate to the certificate holder.

5.23 Safety Accountability and Authority.

(a) The certificate holder must define accountability for safety within the organization's safety policy for the following individuals:

(1) Accountable executive, as described in 5.25.

(2) All members of management in regard to developing, implementing, and maintaining SMS processes within their area of responsibility, including, but not limited to:

(i) Hazard identification and safety risk assessment.

(ii) Assuring the effectiveness of safety risk controls.

(iii) Promoting safety as required in subpart E of this Standard.

(iv) Advising the accountable executive on the performance of the SMS and on any need for improvement.

(3) Employees relative to the certificate holder's safety performance.

(b) The certificate holder must identify the levels of management with the authority to make decisions regarding safety risk acceptance.

5.25 Designation and Responsibilities of Required Safety Management Personnel.

(a) *Designation of the accountable executive.* The certificate holder must identify an accountable executive who, irrespective of other functions, satisfies the following:

(1) Is the final authority over operations authorized to be conducted under the certificate holder's certificate(s).
(2) Controls the financial resources required for the operations to be conducted under the certificate holder's certificate(s).
(3) Controls the human resources required for the operations authorized to be conducted under the certificate holder's certificate(s).
(4) Retains ultimate responsibility for the safety performance of the operations conducted under the certificate holder's certificate.

(b) *Responsibilities of the accountable executive.* The accountable executive must accomplish the following:
(1) Ensure that the SMS is properly implemented and performing in all areas of the certificate holder's organization.
(2) Develop and sign the safety policy of the certificate holder.
(3) Communicate the safety policy throughout the certificate holder's organization.
(4) Regularly review the certificate holder's safety policy to ensure it remains relevant and appropriate to the certificate holder.
(5) Regularly review the safety performance of the certificate holder's organization and direct actions necessary to address substandard safety performance in accordance with 5.75.

(c) *Designation of management personnel.* The accountable executive must designate sufficient management personnel who, on behalf of the accountable executive, are responsible for the following:
(1) Coordinate implementation, maintenance, and integration of the SMS throughout the certificate holder's organization.
(2) Facilitate hazard identification and safety risk analysis.
(3) Monitor the effectiveness of safety risk controls.
(4) Ensure safety promotion throughout the certificate holder's organization as required in subpart E of this Standard.
(5) Regularly report to the accountable executive on the performance of the SMS and on any need for improvement.

5.27 Coordination of Emergency Response Planning.
Where emergency response procedures are necessary, the certificate holder must develop and the accountable executive must approve as part of the safety policy, an emergency response plan that addresses at least the following:

(a) Delegation of emergency authority throughout the certificate holder's organization;

(b) Assignment of employee responsibilities during the emergency; and

(c) Coordination of the certificate holder's emergency response plans with the emergency response plans of other organizations it must interface with during the provision of its services.

Subpart C—Safety Risk Management.

5.51 Applicability.
A certificate holder must apply safety risk management to the following:
(a) Implementation of new systems.

(b) Revision of existing systems.

(c) Development of operational procedures.

(d) Identification of hazards or ineffective risk controls through the safety assurance processes in subpart D of this Standard.

5.53 System Analysis and Hazard Identification.
(a) When applying safety risk management, the certificate holder must analyze the systems identified in 5.51. Those system analyses must be used to identify hazards under paragraph (c) of this section, and in developing and implementing risk controls related to the system under 5.55(c).

(b) In conducting the system analysis, the following information must be considered:
(1) Function and purpose of the system.
(2) The system's operating environment.
(3) An outline of the system's processes and procedures.
(4) The personnel, equipment, and facilities necessary for operation of the system.

(c) The certificate holder must develop and maintain processes to identify hazards within the context of the system analysis.

5.55 Safety Risk Assessment and Control.
(a) The certificate holder must develop and maintain processes to analyze safety risk associated with the hazards identified in 5.53(c).

(b) The certificate holder must define a process for conducting risk assessment that allows for the determination of acceptable safety risk.

(c) The certificate holder must develop and maintain processes to develop safety risk controls that are necessary as a result of the safety risk assessment process under paragraph (b) of this section.

(d) The certificate holder must evaluate whether the risk will be acceptable with the proposed safety risk control applied, before the safety risk control is implemented.

Subpart D—Safety Assurance.

5.71 Safety Performance Monitoring and Measurement.

(a) The certificate holder must develop and maintain processes and systems to acquire data with respect to its operations, products, and services to monitor the safety performance of the organization. These processes and systems must include, at a minimum, the following:

(1) Monitoring of operational processes.

(2) Monitoring of the operational environment to detect changes.

(3) Auditing of operational processes and systems.

(4) Evaluations of the SMS and operational processes and systems.

(5) Investigations of incidents and accidents.

(6) Investigations of reports regarding potential noncompliance with regulatory standards or other safety risk controls established by the certificate holder through the safety risk management process established in subpart C of this Standard.

(7) A confidential employee reporting system in which employees can report hazards, issues, concerns, occurrences, incidents, as well as propose solutions and safety improvements.

(b) The certificate holder must develop and maintain processes that analyze the data acquired through the processes and systems identified under paragraph (a) of this section and any other relevant data with respect to its operations, products, and services.

5.73 Safety Performance Assessment.

(a) The certificate holder must conduct assessments of its safety performance against its safety objectives, which include reviews by the accountable executive, to:

(1) Ensure compliance with the safety risk controls established by the certificate holder.

(2) Evaluate the performance of the SMS.

(3) Evaluate the effectiveness of the safety risk controls established under 5.55(c) and identify any ineffective controls.

(4) Identify changes in the operational environment that may introduce new hazards.

(5) Identify new hazards.

(b) Upon completion of the assessment, if ineffective controls or new hazards are identified under paragraphs (a)(2) through (5) of this section, the certificate holder must use the safety risk management process described in subpart C of this Standard.

5.75 Continuous Improvement.

The certificate holder must establish and implement processes to correct safety performance deficiencies identified in the assessments conducted under 5.73.

Subpart E—Safety Promotion.

5.91 Competencies and Training.
The certificate holder must provide training to each individual identified in 5.23 to ensure the individuals attain and maintain the competencies necessary to perform their duties relevant to the operation and performance of the SMS.

5.93 Safety Communication.
The certificate holder must develop and maintain means for communicating safety information that, at a minimum:
(a) Ensures that employees are aware of the SMS policies, processes, and tools that are relevant to their responsibilities.

(b) Conveys hazard information relevant to the employee's responsibilities.

(c) Explains why safety actions have been taken.

(d) Explains why safety procedures are introduced or changed.

Subpart F—SMS Documentation and Recordkeeping.

5.95 SMS Documentation.
The certificate holder must develop and maintain SMS documentation that describes the certificate holder's:
(a) Safety policy.

(b) SMS processes and procedures.

5.97 SMS Records.
(a) The certificate holder must maintain records of outputs of safety risk management processes as described in subpart C of this Standard. Such records must be retained for as long as the control remains relevant to the operation.

(b) The certificate holder must maintain records of outputs of safety assurance processes as described in subpart D of this Standard. Such records must be retained for a minimum of 5 years.

(c) The certificate holder must maintain a record of all training provided under 5.91 for each individual. Such records must be retained for as long as the individual is employed by the certificate holder.

(d) The certificate holder must retain records of all communications provided under 5.93 for a minimum of 24 consecutive calendar-months.

Figure 17-4-3B. SMS Safety Policy Design Validation

Certificate Holder Designator:	Date:
	Process Area/Department Application:

SUPPLEMENTAL INFORMATION
Purpose: (Certificate Holder Responsibility) Implement and document a commitment to safety, which defines its safety objectives and employee safety accountabilities and responsibilities. **Objective:** (FAA Responsibility) Validate that the certificate holder has effectively designed an SMS that incorporates a commitment to safety. **Related Code of Federal Regulations (CFR):** Safety Management System Voluntary Program (SMSVP) Standard 5.21 through 5.27. **Related FAA Policy/Guidance:** Advisory Circular (AC) 120-92, Safety Management Systems for Aviation Service Providers.

1.0 - Safety Policy		
1.1 - Safety Policy		
1)	Does the certificate holder's SMS have a safety policy that includes at least the following minimum requirements: • The certificate holder's safety objectives; • A commitment to fulfill the organization's safety objectives; • A clear statement to commit the necessary resources for implementation of the SMS; • A safety reporting policy that defines requirements for employee reporting of safety hazards or issues; • A policy that defines unacceptable behavior and conditions for disciplinary action; and • An emergency response plan that provides for the safe transition from normal to emergency operations in accordance with the requirements of 5.27, Coordination of Emergency Response Planning?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.21(a)		
Remarks:		

2)	Does the certificate holder require that its safety policy be: • In accordance with all applicable regulatory requirements in 14 CFR and must reflect the certificate holder's commitment to safety (5.21(a)); • Be signed by the accountable executive described in 5.25 (5.21(b)); • Documented and communicated throughout their organization (5.21(c)); and • Be regularly reviewed by the accountable executive to ensure it remains relevant and appropriate to the certificate holder (5.21(d))?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.21(b); 5.21(c); and 5.21(d)		
Remarks:		

1.2 - Safety Accountability and Authority

1)	Does the organization's documentation define safety accountability for all organizational personnel, specifically: • The accountable executive (described in 5.25); • All members of management in regard to developing, implementing, and maintaining SMS processes within their area of responsibility; and • Employees relative to the certificate holder's safety performance?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.23(a)(1); 5.23(a)(2); 5.23(a)(3)		
Remarks:		

1.3 - Designation & Responsibility of Required Safety Management Personnel

1)	Does the certificate holder's processes require that all members of management develop, implement, and maintain SMS processes within their area of responsibility to include, but not limited to: • Hazard identification and safety risk assessment; • Assuring the effectiveness of safety risk controls; • Promoting safety as required in subpart E, Safety Promotion; and • Advising the accountable executive on the performance of the SMS and on any need for improvement?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.23(a)(2)		
Remarks:		

2)	Do the certificate holder's safety management processes identify the levels of management with the authority to make decisions regarding safety risk acceptance?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.23(b)		
Remarks:		
3)	Do the certificate holder's safety management processes require the accountable executive to designate sufficient management personnel who, on behalf of the accountable executive, are responsible for: • Coordinating implementation, maintenance, and integration of the SMS throughout the certificate holder's organization; • Facilitating hazard identification and safety risk analysis; • Monitoring effectiveness of safety risk controls; • Ensuring safety promotion is communicated throughout the certificate holder's organization are required in subpart E, Safety Promotion; and • Regularly reporting to the accountable executive on the performance of the SMS and any need for improvement?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.25(c)		
Remarks:		
1.4 - Coordination of Emergency Response Planning		
1)	Where emergency response procedures are necessary, does the certificate holder develop and the accountable executive approve as part of the safety policy, an emergency response plan that addresses at least the following: • Delegation of emergency authority throughout the organization; • Assignment of employee responsibilities during the emergency; and • Coordination of the emergency response plan with the emergency response plans of other affected organizations (e.g., code share partners, airports, contractors, affiliates, etc.)?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.21(a)(6); 5.27; 5.27(a); 5.27(b); 5.27(c)		
Remarks:		

1.5 - SMS Documentation		
1)	Does the certificate holder have a process to develop and maintain SMS documentation that describes their safety policy, processes, and procedures?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.95(a); 5.95(b); 5.3(b)		
Remarks:		

Figure 17-4-3C. SMS Safety Risk Management Design Validation

Certificate Holder Designator:	Date:
	Process Area/Department Application:

SUPPLEMENTAL INFORMATION
Purpose: (Certificate Holder Responsibility) Incorporate a process within the SMS designed to identify, analyze, and assess the hazards to mitigate the associated risks. **Objective:** (FAA Responsibility) Validate that the certificate holder has effectively designed an SMS which incorporates a process to identify, analyze, and assess the hazards to mitigate the associated risks. **Related Code of Federal Regulations (CFR):** Safety Management System Voluntary Program (SMSVP) Standard 5.51 through 5.55. **Related FAA Policy/Guidance:** Advisory Circular (AC) 120-92, Safety Management Systems for Aviation Service Providers.

2.0 - Safety Risk Management		
2.1 - Applicability		
1)	Does the certificate holder's SMS require that the organization apply the Safety Risk Management (SRM) process when any of the following conditions occur: • Implementation of new systems; • Revision of existing systems; • Development of operational procedures; and • Identification of hazards or ineffective risk controls identified through the safety assurance processes contained in the SMSVP Standard subpart D.	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.51(a), (b), (c), and (d)		
Remarks:		

2)	Does the certificate holder's SMS define safety accountability for members of management, within their areas of responsibility and authority, regarding development, implementation, and maintenance of hazard identification and risk assessment processes?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.23(a)(2)(i)		
Remarks:		
3)	Does the certificate holder's SMS identify management personnel responsible to facilitate hazard identification and safety risk analysis?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.25(c)(2)		
Remarks:		
2.2 - System Analysis and Hazard Identification		
2.2.1 Process - System Description and Analysis		
1)	When applying SRM, does the certificate holder have a process to describe and analyze the system for use in identifying hazards considering the following information: • The function and purpose of the system; • The system's operating environment; • An outline of the system's processes and procedures; and • The personnel, equipment, and facilities necessary for operation of the system?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.53(a) and (b)		
Remarks:		

2.2.2 Process - Hazard Identification		
1)	Does the certificate holder's SRM process(es) include specific processes to identify hazards within the context of the system analysis?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.53(c)		
Remarks:		

2.3 - Safety Risk Assessment and Control		
2.3.1 Process - Analyze Safety Risk		
1)	Does the certificate holder's SRM include specific processes to analyze safety risk associated with hazards identified in 5.53(c)?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.55(a)		
Remarks:		
2.3.2 Process - Safety Risk Assessment		
1)	Does the certificate holder's SRM include specific processes for conducting risk assessment that allows for the determination of acceptable safety risk?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.55(b)		
Remarks:		
2)	Does the certificate holder's SRM documentation clearly identify the levels of management with the authority to make decisions regarding safety risk acceptance for the company?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.23(b)		
Remarks:		

2.3.3 Process - Safety Risk Control		
1)	Does the certificate holder's SRM include specific processes to ensure that risk controls are developed which are necessary as a result of the safety risk assessment process?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.53(a), 5.55(c)		
Remarks:		
2)	Does the certificate holder evaluate, prior to SRM risk control implementation, that the identified risk will be acceptable with the risk control applied?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.55(d)		
Remarks:		
3)	Does the certificate holder's risk management process evaluate the effectiveness of implemented safety risk controls, which includes reviews by the accountable executive?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.73(a)(3)		
Remarks:		
2.4 - SMS Documentation and Recordkeeping		
1)	Does the certificate holder have a process to develop and maintain SMS documentation that describes their SRM processes and procedures?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.95(b)		
Remarks:		

2)	Does the certificate holder's SMS require the organization have a process to maintain records of their SRM outputs for as long as the control(s) remain relevant to their operation, to include: • Records of identified hazards or no hazard risk acceptance; • Records of associated risks with identified hazards, as applicable; • Records of analysis for each risk, as applicable; and • Records of new risk controls approved to mitigate unacceptable risks, as applicable?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.97(a)		
Remarks:		

Figure 17-4-3D. SMS Safety Assurance Design Validation

Certificate Holder Designator:	Date:
Process Area/Department Application:	

SUPPLEMENTAL INFORMATION
Purpose: (Certificate Holder Responsibility) Incorporate processes that ensure effective safety risk controls which meet or exceed safety objectives through the collection, analysis, and assessment of data.
Objective: (FAA Responsibility) Validate that the certificate holder has effectively designed processes that ensure effective safety risk controls which meet or exceed safety objectives through the collection, analysis, and assessment of data.
Related Code of Federal Regulations (CFR): Safety Management System Voluntary Program (SMSVP) Standard 5.71 through 5.75.
Related FAA Policy/Guidance: Advisory Circular (AC) 120-92, Safety Management Systems for Aviation Service Providers.

3.0 - Safety Assurance		
3.1 - Safety Performance Monitoring and Measurement		
1)	Does the certificate holder's SMS have processes to acquire and monitor data within the operational environment to detect changes related to the safety performance of the organization including: • Products and services; and • Operational processes?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.71(a)(1); 5.71(a)(2)		
Remarks:		
3.1.1 Process - Auditing Operational Processes & Systems		
2)	Does the certificate holder's SMS have processes to audit the safety performance of its operational processes, systems, products, and services?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.71(a)(3)		
Remarks:		

3.1.2 Process - Evaluations of SMS, Operational Processes & Systems		
3)	Does the certificate holder's SMS have processes to evaluate the safety performance of its operational processes, systems, products, and services?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.71(a)(4)		
Remarks:		

3.1.3 Process - Investigations of Incidents, Accidents & Potential Noncompliance		
4)	Does the certificate holder's SMS have processes to investigate its operational processes, systems, products, and services that include: • Incidents and accidents; and • Reports regarding potential noncompliance or other safety risk controls established in subpart C?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.71(a)(5); 5.71(a)(6)		
Remarks:		

3.1.4 Process - Confidential Employee Reporting System		
5)	Does the certificate holder's SMS have a confidential reporting system(s) to monitor safety performance that allows employees to: • Report hazards, issues, concerns, occurrences, and incidents; and • Propose solutions and safety improvements?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.71(a)(7)		
Remarks:		

3.1.5 Process - Analysis of Data		
6)	Does the certificate holder's SMS have procedures to analyze data acquired from their safety assurance processes described in 5.71(a)(1)–(7), and any other relevant data with respect to its operations, products, and services, including at a minimum: • Monitoring of operational processes; • Monitoring of the operational environment to detect changes; • Auditing of operational process and systems; • Evaluations of the SMS and operational processes and systems; • Investigations of incidents and accidents; • Investigations of reports regarding noncompliance with regulations or risk controls established under subpart C, SRM; and • Confidential safety reporting from employees on hazards, concerns, incidents, etc.?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.71(b)		
Remarks:		

3.2 - Process - Safety Performance Assessment		
1)	Does the certificate holder's SMS require the organization to regularly report on the system's safety performance and does the accountable executive review these reports (5.25(b)(5); 5.25(c)5; 5.73(a); 5.75) to: • Ensure compliance with their established safety risk controls (5.73(a)(1)); • Evaluate the performance of the SMS (5.73(a)(2)); • Evaluate the safety risk control effectiveness established under 5.55(c) with identification of ineffective controls (5.73(a)(3)); • Identify changes in the organization's operational environment that may introduce new hazards (5.73(a)(4)); and • Identify new hazards (5.73(a)(5))?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.25(b) and (c); 5.73(a); 5.75		
Remarks:		

2)	Does the certificate holder's organization define accountability for assuring the effectiveness of safety risk controls for all managers in their areas of responsibility?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.23(a)(2)(ii)		
Remarks:		
3)	Does the certificate holder's processes and procedures ensure that for ineffective controls or new hazards identified during safety performance assessments, they apply Safety Risk Management (SRM) as described in subpart C?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.73(b)		
Remarks:		
4)	Does the certificate holder's SMS designate management personnel who, on behalf of the accountable executive, are responsible for: • Coordinating implementation, maintenance, and integration of the SMS throughout their organization; • Facilitating hazard identification and safety risk analysis; • Monitoring the effectiveness of safety risk controls; • Ensuring safety promotion throughout their organization as required in subpart E; and • Regularly reporting to the accountable executive on the performance of the SMS and on any need for improvement?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.25(c)(1) through 5.25(c)(5)		
Remarks:		

3.3 - Continuous Improvement		
1)	Does the certificate holder have a process to ensure that the accountable executive directs actions necessary to address substandard safety performance in the system?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.75; 5.25(b)(5)		
Remarks:		

3.4 - SMS Documentation and Recordkeeping		
1)	Does the certificate holder have a process to develop and maintain SMS documentation that describes their safety assurance processes and procedures?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.95(b)		
Remarks:		
2)	Does the certificate holder's SMS contain a process to maintain records of their safety assurance process outputs for a minimum of 5 years?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.3(b); 5.97(b)		
Remarks:		

Figure 17-4-3E. SMS Safety Promotion Design Validation

Certificate Holder Designator:	Date:
	Process Area/Department Application:

SUPPLEMENTAL INFORMATION
Purpose: (Certificate Holder Responsibility) Incorporate a combination of training and communication of safety information to support the implementation and operation of an SMS in an organization. **Objective:** (FAA Responsibility) Validate that the certificate holder has effectively designed an SMS that incorporates training and communication of safety information throughout the organization. **Related Code of Federal Regulations (CFR):** Safety Management System Voluntary Program (SMSVP) Standard 5.91 through 5.93. **Related FAA Policy/Guidance:** Advisory Circular (AC) 120-92, Safety Management Systems for Aviation Service Providers.

4.0 - Safety Promotion		
4.1 - General Expectations		
1)	Does the certificate holder's SMS define accountability for all members of management to promote safety within their area of responsibility in regards to developing, implementing, and maintaining SMS processes?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.23(a)(2)(iii)		
Remarks:		
4.2 - Competencies and Training		
1)	Does the certificate holder's SMS provide training to each individual identified in 5.23 that ensures the individuals attain and maintain the competencies necessary to perform their duties relevant to the operation and performance of the SMS?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.23(a), 5.91		
Remarks:		

2)	Does the certificate holder's SMS specify that the accountable executive designate management personnel who, on behalf of the accountable executive, ensure that safety is promoted throughout the organization as required by subpart E?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.25(c)(4)		
Remarks:		

4.3 - Safety Communication

1)	Does the certificate holder have a process to develop and maintain a means for communicating safety information that: • Ensures employees are aware of the SMS policies, processes, and tools relevant to their responsibilities; • Conveys hazard information relevant to the employee's responsibilities; • Explains why safety actions have been taken; and • Explains why safety procedures are introduced or changed?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.93		
Remarks:		

4.4 - SMS Documentation and Recordkeeping

1)	Does the certificate holder have a process to develop and maintain documentation that describes the organization's SMS processes and procedures?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.95(b)		
Remarks:		

2)	Does the certificate holder maintain employee records of all safety management-related training provided under 5.91 for each individual and retain such records for as long as the individual is employed by the certificate holder?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.3(b), 5.97(c)		
Remarks:		
3)	Does the certificate holder retain the records of all safety communications provided under 5.93 for a minimum of 24 consecutive calendar-months?	☐ Yes ☐ No
SMSVP Standard 03-09-2015: 5.3(b), 5.97(d)		
Remarks:		

Figure 17-4-3F. SMS Safety Policy Design Demonstration

Certificate Holder Designator:	Date:
Design Job Aid Reference – Policy	Process Area/Department Application:

Performance Objective:
Certificate Management Teams (CMT) need to validate, to the extent necessary, that the organization's safety policy has been conveyed to employees throughout the organization to include:

- A safety reporting policy for employee reporting of safety hazards or issues;
- A policy that defines unacceptable behavior and conditions for disciplinary action;
- Safety accountability within the organization.

Directions:
There are five basic subobjectives associated with this design demonstration:

1) The certificate holder has applied its design requirements to system operations;

2) Certificate holder personnel have the competencies to perform their safety management-related duties and responsibilities (i.e., qualification, training, knowledge, and experience);

3) Process area/department personnel are appropriately applying the documented process procedures approved in their guidance documents;

4) The expected outputs of the process application are achieved; and

5) Gaps in the certificate holder's process design are identified during CMT validations.

During design validation, the CMT reviewed and accepted the certificate holder's safety policy. The CMT must now confirm that the certificate holder has communicated this policy to employees applying or supporting its technical operations. The CMT should substantiate:

1) The certificate holder's communication guidance is being followed; and

2) The effectiveness of the certificate holder's communication strategy (i.e., employees understand how they can directly support safety policy in their day-to-day work activities).

A certificate holder's safety policy must also define its process for reporting "safety hazards or issues." Safety policy validation can be undertaken during regularly scheduled surveillance activities, or independently. Validating safety policy reporting and communications procedures can be done by interviewing employees at all levels of an organization.

Criteria:

- The certificate holder's process must effectively communicate its safety policy at all levels of the organization to existing, new, and temporary employees, as applicable.

- All levels of management should be aware of their responsibility and accountability for safety in their organization. Individual managers are responsible for developing, implementing, and maintaining SMS processes within their technical areas. Members of management must be aware of their accountability and competence at:

    - Hazard identification and safety risk assessment;
    - Assuring the effectiveness of safety risk controls;
    - Promoting safety; and
    - Advising the accountable executive on the performance of the SMS and any need for improvement.

- All employees at all levels must know what is acceptable and unacceptable behavior and conditions for disciplinary action.

- All employees at all levels must know or be able to find the process for safety hazard and issue reporting (employee reporting). Several validation samples of personnel actually completing a hard copy or electronic sample submission should be accomplished.

  NOTE: Processing identified hazards may be accomplished as a separate validation activity or as a part of the safety policy validation, if the certificate holder's process is not complex. If the certificate holder uses a corrective or preventive action process to resolve hazard reports, the CMT may wish to review the hazard report processing when it validates the corrective or preventive action process. The CMT should determine that the record includes information on the source of the input (e.g., Hazard Reporting Process – Department) (see Figure 17-4-3N, SMS Continuous Improvement Process Design Demonstration).

Validation Repeatability: It is recommended that this validation be repeated in as many technical operational areas as necessary to ensure that organization's communications mechanisms effectively accomplish the stated objective of this test. It is further recommended that the CMT add these validations to its regular surveillance activities and not expend resources on independent "SMS only" validation work for an area/department, unless the area/department sampling demonstrates failure.

Organizational Manual Reference(s) Used for the Process Area Assessed in This Validation Test:

SUPPLEMENTAL INFORMATION
Purpose: (Certificate Holder Responsibility) Implement a safety policy that includes the detection and reporting of unacceptable behavior and the conditions for the disciplinary action and accountability of the safety within their organization. **Objective:** (FAA Responsibility) Confirm through design demonstration that the implementation of the safety policy has been effectively conveyed to all employees throughout the organization.

Data Collection Tool Questions – Record of Results: **YES** **NO**

1	Do employees at all levels of the organization demonstrate awareness of their system for employee reporting of safety hazards or issues? Note(s): The demonstration of employee awareness is assessed from employee interviews. Ref: *SMSVP Standard 03-09-2015, 5.21(a)(4)*		
2	Do employees at all levels of their organization demonstrate awareness of unacceptable safety behavior and conditions for disciplinary action? Note(s): The demonstration of employee awareness is assessed from employee interviews. Ref: *SMSVP Standard 03-09-2015, 5.21(a)(5)*		
3	Do employees at all levels of the organization demonstrate awareness of their defined safety accountability (i.e., can they relate safety objective(s) to their job)? Note(s): The demonstration of employee awareness is assessed from employee interviews. Ref: *SMSVP Standard 03-09-2015, 5.21(a)(1); 5.23(a)*		

Figure 17-4-3G. SMS Emergency Preparedness/Response Design Demonstration

Certificate Holder Designator:	Date:
Design Job Aid Reference – Policy	Process Area/Department Application:

Performance Objective:
Certificate Management Teams (CMT) need to validate, to the extent necessary, that the certificate holder can effectively transition from normal operations to emergency operations without compromising safety. A secondary objective is to ensure that managers in contact with other organizations also having emergency response plans (ERP) have documented evidence that their respective ERPs are coordinated.

Directions:
There are five basic subobjectives associated with this design demonstration:

1) The certificate holder has applied its design requirements to system operations;

2) Certificate holder personnel have the competencies to perform their safety management-related duties and responsibilities (i.e., qualification, training, knowledge, and experience);

3) Process area/department personnel are appropriately applying the documented process procedures approved in their guidance documents;

4) The expected outputs of the process application are achieved; and

5) Gaps in the certificate holder's process design are identified during CMT validations.

The certificate holder's ERP process was reviewed and accepted during CMT design validation. The CMT must now ensure these processes are effective by validating the certificate holder's ability to move select individuals out of normal daily operations and that those operations continue to effectively function during their absence.

It is important to verify that when key decisionmakers are unavailable to fulfill their responsibilities, the certificate holder has position proxies or a backup plan to maintain the affected processes. The CMT must ensure that the organization's "backup strategy" (people and processes) will work.

A certificate holder's ERP documentation should identify substitutes for those that must participate in emergency activities and are unavailable to perform normal duties. The CMT may test:

1) How the person is notified of their additional duties;

2) That, as a proxy, they have the competencies (training) to perform the additional duties; and

3) That the person is knowledgeable of these duties or can identify appropriate guidance required for performance.

The CMT will require evidence that the certificate holder is coordinating its ERP with other organizations' emergency plans. Evidence of coordinated ERPs may be located in meeting minutes, documents, and/or supplier contracts. When the certificate holder documents its ERP coordination in proprietary documents (e.g., contracts, etc.) it may provide excerpts (redacted information) as proof of performance.

Criteria: The CMT uses a certificate holder's ERP to identify several key samples for testing.

- That proxies for risk decisionmakers have been identified, that have been removed from normal operations to conduct emergency operations.
- The limitation of the authority of those proxies is defined.
- A proxy has the authorities and competencies (training) required by the organization to make safety-related decisions for the process area (e.g., Safety Risk Management (SRM) activities, corrective action oversight, etc.).
- The organization shows satisfactory documentation that ERPs are coordinated with external business partners that have ERPs (e.g., code share partners, airports, etc.).

Validation Repeatability: Validations for proxies should be sampled using the ERP to identify process area samples. The CMT may test each process area individually during normal, routine surveillance or the CMT may perform a single "tabletop" activity to verify proxies' knowledge of their duties and responsibilities. Certificate holder's ERP coordination with external parties may be validated as a single activity if they have developed a common record repository.

Organizational Manual Reference(s) Used for the Process Area Assessed in This Validation Test:

SUPPLEMENTAL INFORMATION
Purpose: (Certificate Holder Responsibility) Implement an ERP as necessary, without compromise to safety including documented organizational interfaces.
Objective: (FAA Responsibility) Confirm through design demonstration that the certificate holder can effectively transition from normal operations to emergency operations without compromising safety.

Data Collection Tool Questions – Record of Results: **YES NO**

1	Does the certificate holder clearly identify "proxies" and the assignment and limitations of their authority to perform safety management responsibilities when select individuals are moved from daily into emergency operations? Note(s): A proxy is delegated emergency authority to represent and perform duties of an individual during their absence. Ref: *SMSVP Standard 03-09-2015, 5.27(a); 5.27(b)*		
2	Does the proxy understand their defined limitations and authority as documented by the certificate holder for instances where emergency authority is delegated? Ref: *SMSVP Standard 03-09-2015, 5.27(a)*		
3	Does the certificate holder have documentation that those identified with delegated authority (proxies) have the competencies (i.e., qualification, training, knowledge, and experience) required by the organization to make safety-related decisions for their process area (e.g., SRM activities, corrective action oversight, etc.)? Ref: *SMSVP Standard 03-09-2015, 5.91*		
4	Does the certificate holder have documentation that emergency response plans are coordinated with external business partners that have emergency response plans (e.g., code share partners, airports, etc.)? Ref: *SMSVP Standard 03-09-2015, 5.27(c)*		

Figure 17-4-3H. SMS SRM (Process/Department Owner) Design Demonstration

Certificate Holder Designator:	Date:
Design Job Aid Reference – Safety Risk Management	Process Area/Department Application:

Performance Objective:
Certificate Management Teams (CMT) need to validate, to the extent necessary, that those individuals or groups: accept supplier guidance materials into their process area; and/or have the authority to draft and approve new or revised procedural changes for their process area, can effectively apply the organization's Safety Risk Management (SRM) process to those process procedures.

> NOTE: There is another validation test for the corporate level SRM Process (see Figure 17-4-3J, SMS SRM (Organizational) Design Demonstration). In this test, multiple process areas are affected and process owners must interact determining the perceived risks and mitigations (e.g., adding a new aircraft fleet, implementing new multifaceted software solution across process areas, etc.).

Directions:
There are five basic subobjectives associated with this design demonstration:

1) The certificate holder has applied its design requirements to system operations;

2) Certificate holder personnel have the competencies to perform their safety management-related duties and responsibilities (i.e., qualification, training, knowledge, and experience);

3) Process area/department personnel are appropriately applying the documented process procedures approved in their guidance documents;

4) The expected outputs of the process application are achieved; and

5) Gaps in the certificate holder's process design are identified during CMT validations.

The certificate holder's SRM process was reviewed and accepted during CMT design validation. Next, the CMT must ensure that process owners throughout the system can perform SRM. Since SRM is applicable only to "design change," the CMT should evaluate how guidance documents, used by the certificate holder's workforce, are revised. The CMT should identify those drafting and authorizing guidance document changes. During this evaluation the CMT may find that a manager does not always draft guidance changes or review supplier provided documents for acceptance into the system. It is, therefore, important to identify who is actually performing work associated with the SRM process steps and determine what risk acceptance authority they have under the certificate holder's defined process.

Understanding that new or revision of personnel guidance is vital to SRM applications, the CMT should concentrate on the organization's application of SRM in their document control and approval process. Realizing that any design change in these documents has an SRM recording requirement attached to it, it is important that the CMT validate:

1) What person(s) is making decisions regarding design change for the process area;
2) Is there documented evidence that this person(s) has been trained to perform these duties; and
3) Who has been designated to sign off on the document (accept risk) for the process area?

In smaller organizations, a single person may have the authority to perform the entire SRM process steps. In larger organizations or organizations with complex process areas (e.g., maintenance department for large airlines, etc.), the authority to perform specific aspects of the SRM process may be delegated to subordinates. In these situations, the CMT needs to identify the first SRM decisionmaker (hazard identification) and trace the process up through the chain of command until the person authorized to "accept risk" (i.e., sign off the design change) is identified.

For SRM samples that result in the development of new controls added to a process procedure, there should be a documented record of the outputs for the following processes:

1) Identified hazards;
2) Associated risks for each hazard;
3) Analysis for each risk; and
4) Any new control(s).

Criteria:

- The person conducting an SRM required activity is given that authority by the certificate holder. Training is documented to demonstrate competency to perform the specified activity(ies).

- The required records for each required SRM activity are complete (minimum record is a "no hazard" signoff for new or revised process/procedural change). When decisionmakers identify risks and new controls, the required records are:

    - List of hazards;
    - List of risks associated with each hazard;
    - Analysis of each risk; and
    - Record of mitigation (controls).

- Escalation and Traceability – when a single person is not responsible for all decisions related to the SRM process, the "decisionmaking chain of command" must be evaluated to ensure:

- Persons performing some, but not all, SRM process activities are authorized by the organization to do so and competent (trained) to perform those activities.
- Escalation interfaces of SRM activities from one level of process manager to a higher level of process manager allows a positive transfer to occur.
- Escalation of SRM process activities is traceable from one process owner to another.
- Transference of SRM process steps between authorized personnel is monitored to prevent failure of the transfer process.

Validation Repeatability: The CMT shall repeat the validations in all process areas and for as many process owners or process owner escalations as the CMT finds necessary to ensure full integration of the SRM process to the lowest levels of decisionmaking within a process area. Since SRM is one of the most critical SMS components, SRM process owner validation must be very thorough.

Organizational Manual Reference(s) Used for the Process Area Assessed in This Validation Test:

SUPPLEMENTAL INFORMATION
Process Purpose: (Certificate Holder Responsibility) Implement safety risk of all safety-critical processes at the process owner and/or department level.
Objective: (FAA Responsibility) Confirm through design demonstration that the certificate holder can effectively apply the organization's Safety Risk Management (SRM) process to all safety-critical processes within the process owner's department.

Data Collection Tool Questions – Record of Results: **YES** **NO**

1	Do individuals or groups that accept supplier guidance materials into their process area(s) understand that updates or changes to these materials requires safety risk management be conducted before it is used in the system? Ref: *SMSVP Standard 03-09-2015, 5.51*		
2	Do individuals or groups that have the authority to draft and approve new or revised process and procedural changes for their process area(s), understand their responsibility to conduct safety risk management on those changes/materials before they are used in the system? Ref: *SMSVP Standard 03-09-2015, 5.51*		
3	Does the certificate holder clearly define individuals or groups that are performing safety risk management process steps and accepting risk for the process area(s) being assessed? Ref: *SMSVP Standard 03-09-2015, 5.23(a) and (b)*		
4	Does the certificate holder have documentation showing the individuals who complete safety risk management-related process steps have the competencies (i.e., qualification, training, knowledge, and experience) to properly perform those activities? Ref: *SMSVP Standard 03-09-2015, 5.91*		

5	When the organization has identified hazards or ineffective risk controls, can the SRM process documentation be traced to ensure the following recording requirements are met: • Record(s) of identified hazards or lack of hazards; • A list of risks associated with each existing hazard; • Analysis of each risk; • Record of mitigation (controls) for unacceptable risks; • Record of safety risk acceptance decision(s) by authorized individual/group; and • Verification of safety risk control effectiveness prior to final risk acceptance? Ref: *SMSVP Standard 03-09-2015, 5.3(a)(2), 5.51(d), 5.73(a)(3)*		

Figure 17-4-3J. SMS SRM (Organizational) Design Demonstration

Certificate Holder Designator:	Date:
Design Job Aid Reference – Safety Risk Management	Process Area/Department Application:

Performance Objective:
Certificate Management Teams (CMT) must validate, to the extent necessary, the certificate holder's process for conducting integrated Safety Risk Management (SRM) when multiple departments are affected by a system change.

> NOTE: This SRM test is not to be confused with a process owner/department level SRM, if the certificate holder defines different process steps for "multidepartment" SRM (see Figure 17-4-3H, SMS SRM (Process/Department Owner) Design Demonstration). It is highly recommended that process owner/department SRM be assessed before testing the corporate SRM process.

Directions:
There are five basic subobjectives associated with this design demonstration:

1) The certificate holder has applied its design requirements to system operations;

2) Certificate holder personnel have the competencies to perform their safety management-related duties and responsibilities (i.e., qualification, training, knowledge, and experience);

3) Process area/department personnel are appropriately applying the documented process procedures approved in their guidance documents;

4) The expected outputs of the process application are achieved; and

5) Gaps in the certificate holder's process design are identified during CMT validations.

The organization's corporate SRM process was reviewed and accepted during CMT design review validation. The CMT next ensures that process owners/department representatives can perform corporate level SRM.

The certificate holder has a process to identify hazards and associated risks, analyze risks, and develop new risk controls that affect multiple process owner/departments within its organization. SRM decisionmaking and recording requirements are the same as those for "process owner/department SRM," except there are more complex interfaces between departments and require process owner/department leadership to coordinate the required risk mitigations. In addition, final risk acceptance for an organization may be made at a management level above the process owner or by a committee. It is important that the CMT understand and validate these differences between the corporate and process area SRM processes, as applicable.

The CMT will determine whether the corporate level interfaces allow for all required SRM activities to be completed and documented. The CMT will ensure that those conducting corporate SRM activities have the authority and competencies (training) required. It is recommended that corporate SRM validation follow the process owner SRM validations. This allows the CMT to identify how individual process owners process SRM risk decisions within their technical area before they participate in the "higher level" corporate SRM process.

The corporate level SRM performance validation test is one of two final validation tests jointly conducted by the CMT, SMS Program Office, and certificate holder.

Criteria:

- The person(s) conducting the corporate level SRM activities have been given the authority by the certificate holder and it is documented the person(s) are competent to perform the specified activity(ies).

- The records for each required SRM activity are complete.

- The certificate holder has included, through documented record, each process owner stakeholder who must contribute to a collective risk decision and their respective inputs have been recorded as required by the corporate SRM process (e.g., meeting minutes with attendance rosters, required process owner submissions attached to meeting minutes, etc.).

Validation Repeatability: This performance validation only needs to be conducted once. It is normally one of the last validation tests before the certificate holder's SMS is accepted. The CMT and Safety Management System Program Officer (SMSPO) will perform this validation jointly. It is highly recommended that a corporate SRM test include as many process owner areas/departments as possible. If the test sample does not include all process owner areas, the CMT should require that all process owners/departments are represented during a test (i.e., during a tabletop exercise). This sequence allows the CMT and SMSPO to ask pertinent questions.

Organizational Manual Reference(s) Used for the Process Area Assessed in This Validation Test:

SUPPLEMENTAL INFORMATION
Purpose: (Certificate Holder Responsibility) Integrate SRM across multiple departments when affected by changes to their environment/systems.
Objective: (FAA Responsibility) Confirm through design demonstration, the certificate holder is capable of conducting integrated SRM when multiple departments are affected by a system change.

Data Collection Tool Questions – Record of Results: **YES NO**

1	When multiple departments are affected by a system change, is there clear documentation that all affected process owners participate in a collective (organizational) risk assessment? Ref: *SMSVP Standard 03-09-2015, 5.51*		
2	When the organization has identified hazards or ineffective risk controls, can the SRM process documentation be traced to ensure the following recording requirements are met: • Record(s) of identified hazards or lack of hazards; • A list of risks associated with each existing hazard; • Analysis of each risk; • Record of mitigation (controls) for unacceptable risks; • Record of safety risk acceptance decision(s) by authorized individual/group; and • Verification of safety risk control effectiveness prior to final risk acceptance? Ref: *SMSVP Standard 03-09-2015, 5.3(a)(2), 5.51(d), 5.73(a)(3)*		
3	Does the certificate holder have documentation showing the individuals or group who complete the organizational safety risk management-related process steps have the competencies (i.e., qualification, training, knowledge, and experience) to properly perform those activities? Ref: *SMSVP Standard 03-09-2015, 5.91*		
4	Does the certificate holder clearly document that the individual(s), who have the authority to accept risk for the organizational SRM process, are appropriately performing that responsibility? Ref: *SMSVP Standard 03-09-2015, 5.23(b), 5.55(b)*		
5	Is there documentation that certificate holder personnel have provided their respective inputs required by the organization's SRM process? Note(s): Inputs can include meeting minutes with attendance rosters, required process owner submissions attached to meeting minutes, etc. Ref: *SMSVP Standard 03-09-2015, 5.55(b)*		

Figure 17-4-3K. SMS Audit Process Design Demonstration

Certificate Holder Designator:	Date:
Design Job Aid Reference – Safety Assurance	Process Area/Department Application:

Performance Objective:
Certificate Management Teams (CMT) need to validate, to the extent necessary, that the certificate holder is periodically conducting audits to assess process function against defined process requirements. The CMT must ensure that the organization uses competent auditors, their reviews are system-wide, and there is an effective process to identify and correct nonconformance.

Directions:
There are five basic subobjectives associated with this design demonstration:

1) The certificate holder has applied its design requirements to system operations;

2) Certificate holder personnel have the competencies to perform their safety management-related duties and responsibilities (i.e., qualification, training, knowledge, and experience);

3) Process area/department personnel are appropriately applying the documented process procedures approved in their guidance documents;

4) The expected outputs of the process application are achieved; and

5) Gaps in the certificate holder's process design are identified during CMT validations.

The certificate holder is expected to conduct audits to monitor the system to ensure that it functions as designed. Audits should be conducted by personnel with requisite competencies in the process area being reviewed to ensure an in-depth and detailed audit is performed. Often, audits are conducted by auditors independent of the process area. However, an auditor that does not have detailed knowledge of the process requirements, and the intended outcomes, usually provides only obvious process nonconformance.

It is important that the CMT ensure that audits are performed on all operational processes and systems. It is also important that the certificate holder identifies the minimum baseline frequency of assessments to satisfactorily monitor the process area and may develop an audit schedule to facilitate this. However, the organization may elect to perform additional process audits for a variety of reasons (e.g., effectiveness validation of a corrective action, a mitigation activity for a risk being monitored, an independent assessment by the evaluations team, etc.).

The CMT must ensure that auditor-identified nonconformance items are acted upon. The CMT may confirm correction of the nonconformance by determining if the certificate holder is using a corrective action tracking log or other method. Whatever the certificate holder uses, the audit should not be closed out until nonconformance items are transferred to the appropriate resolution process.

Criteria:

- Each critical process area/department is within the scope of the audit process and there is a strategy or audit schedule for periodic monitoring to occur.
- Audits are conducted by qualified personnel with competencies in the audit areas.
- Audit findings of nonconformance are appropriately tracked and corrective or preventive action (negative trends), and any associated action plans, are appropriately closed out.
- Corrective or preventive actions resulting from audits are not closed without effectiveness verification by qualified personnel.
- Corrective or preventive actions resulting from audits were spot checked by the CMT to ensure all proposed actions were implemented prior to closing the action. The CMT should choose as many verification samples as it feels appropriate to ensure process owners are following through on proposed actions. Often a CMT will choose its sampling based on identified process risks or process criticality.
- For corrective or preventive actions resulting from audits that identify a procedural change, there must be appropriate objective evidence of SRM being conducted (see Figure 17-4-3H, SMS SRM (Process/Department Owner) Design Demonstration).

Validation Repeatability: The CMT may wish to assess the completeness of the audit process as a single validation activity if a specified person or group in the organization manages the audit program. If validated in this manner, the CMT may pick specific audit findings of nonconformance for multiple process owner areas to validate the audit process from the data collection phase through the correction phase.

The organization's audit process should require individual process owners to conduct their own internal process audits. The CMT should validate the completeness of the process owner audits using multiple validation activities (process owner by process owner).

Regardless of how audits are organized, it is recommended that the certificate holder's audit outputs be compared against the CMT assessments to discern whether the audit yielded outputs "equal to" or "better than" the CMT assessment outputs. The certificate holder's audits should always be more thorough than that of an external assessor, including those of the FAA.

Organizational Manual Reference(s) Used for the Process Area Assessed in This Validation Test:

SUPPLEMENTAL INFORMATION
Purpose: (Certificate Holder Responsibility) Perform periodic audits to assess process performance against defined process requirements, and process nonconformance identification and correction procedures. **Objective:** (FAA Responsibility) Confirm through design demonstration that the certificate holder is periodically performing audits to assess process performance against the defined requirements.

Data Collection Tool Questions – Record of Results: **YES** **NO**

1	For the process area being assessed, is the certificate holder completing its planned audits on all safety processes to gather data for use in assessing system performance? Ref: *SMSVP Standard 03-09-2015, 5.71(a)(3)*		
2	Are the certificate holder's process area audits being conducted by personnel who have the identified competencies (i.e., qualification, training, knowledge, and experience) to appropriately assess the assigned process? Ref: *SMSVP Standard 03-09-2015, 5.91*		
3	Does the certificate holder's audit findings document that nonconformances are appropriately assigned and corrected? Ref: *SMSVP Standard 03-09-2015, 5.71(a)*		

Figure 17-4-3L. SMS Evaluation Process Design Demonstration

Certificate Holder Designator:	Date:
Design Job Aid Reference – Safety Assurance	Process Area/Department Application:

Performance Objective:
Certificate Management Teams (CMT) need to validate, to the extent necessary, that a person or group within the certificate holder organization is analyzing aggregate data to measure and evaluate process area performance. These evaluations must include the status of defined organizational objectives and the status of process owner compliance with required safety management activities. Evaluations are independently reported to executive management.

Directions:
There are five basic subobjectives associated with design demonstration:

1) The certificate holder has applied its design requirements to system operations;

2) Certificate holder personnel have the competencies to perform their safety management-related duties and responsibilities (i.e., qualification, training, knowledge, and experience);

3) Process area/department personnel are appropriately applying the documented process procedures approved in their guidance documents;

4) The expected outputs of the process application are achieved; and

5) Gaps in the certificate holder's process design are identified during CMT validations.

The certificate holder is expected to conduct evaluations to monitor performance across the system. Evaluations should be conducted by an individual or team independent of the process owners/department managers. Evaluations should target aggregate data from multiple data sources including: results of audits, trend data from department records generated, records required to measure progress towards defined safety objectives, corrective action/preventive action effectiveness, observations, or any other relevant data.

The individual or group should have unrestricted access to executive management as an independent reporting source. The CMT will assess the certificate holder's ability to manage safety through independent evaluations of processes and activities. It is important that the CMT understand the inputs used for evaluations to ensure that evaluations are being appropriately applied across the system.

Criteria:

- Ensure each process area/department is within the scope of the evaluations process.
- Ensure that the evaluation person/team reports to executive management independent of process owner/department management to validate process performance claims by those managers.
- Ensure that evaluation reports assess whether the organization is meeting its safety objectives.
- An effective evaluation process should consider the following inputs:
    - Results of audits;
    - Results of investigations;
    - Results of corrective or preventive actions to include effectiveness evaluations;
    - Results of actions directed by executive management reviews;
    - Results of continuous monitoring activities directed by process owners;
    - Results of hazard reporting; and
    - Results of new control effectiveness that were implemented by process owners since the last evaluations reporting period.

Validation Repeatability: The CMT may wish to validate the completeness of the evaluations process as a single validation activity after all SMS expectations have been implemented system-wide and this data is available for evaluation. This ensures that there is enough aggregate data from all process owner areas to ensure evaluation completeness. Once the CMT is confident that evaluations are being conducted system-wide, it may only be necessary to validate one evaluation. The CMT should review how the results of the evaluations are reported to executive management (reporting mechanism) and how the certificate holder ensures repeatability (e.g., a management review type process which may include evaluation reports, etc.).

Conversely, the CMT may wish to conduct several validation activities if they determine that independent process area evaluations reviews would offer greater flexibility to the CMT during the validation process.

Organizational Manual Reference(s) Used for the Process Area Assessed in This Validation Test:

SUPPLEMENTAL INFORMATION
Purpose: (Certificate Holder Responsibility) Measure, evaluate, and report to executive management process area data on performance and compliance of required safety management activities. **Objective:** (FAA Responsibility) Confirm through design demonstration that the certificate holder measured, evaluated and reported to executive management, the process area data on performance and compliance of required safety management activities.

Data Collection Tool Questions – Record of Results: **YES** **NO**

1	Does the certificate holder conduct evaluations to monitor safety-related performance across its systems and operational processes? Ref: *SMSVP Standard 03-09-2015, 5.71(a)(1)*		
2	Does the certificate holder review and analyze the aggregate data acquired from various safety assurance input sources such as: • Audits; • Investigations; • Corrective/preventive actions including effectiveness evaluations; • Actions directed by executive management reviews; • Continuous monitoring activities directed by process owners; • Hazard reporting; and • New control effectiveness after implementation? Ref: *SMSVP Standard 03-09-2015, 5.71(b)*		
3	Do the certificate holder's evaluation reports assess whether the organization is meeting its defined safety objectives? Ref: *SMSVP Standard 03-09-2015, 5.73(a)*		
4	Does the person/team who performs safety evaluations within the certificate holder's organization report directly to executive management to independently validate process area safety performance? Note(s): These evaluations are to be separate from process owner/department management reports. Ref: *SMSVP Standard 03-09-2015, 5.23(a)(2)(iv), 5.25(c)(5)*		

Figure 17-4-3M. SMS Investigation Process Design Demonstration

Certificate Holder Designator:	Date:
Design Job Aid Reference – Safety Assurance	Process Area/Department Application:

Performance Objective:
Certificate Management Teams (CMT) need to validate, to the extent necessary, that those persons/positions assigned to conduct investigations of incidents and accidents are capable of performing those duties. The CMT will determine if a certificate holder's investigation process follows a formal process to collect and analyze target specific data (e.g., accidents, incidents, regulatory violations, etc.). The CMT will assess if the process determines causal factors and develop process corrections, as necessary, to correct system deficiencies and improve the safety performance of the organization.

Directions:
There are five basic subobjectives associated with design demonstration:

1) The certificate holder has applied its design requirements to system operations;

2) Certificate holder personnel have the competencies to perform their safety management-related duties and responsibilities (i.e., qualification, training, knowledge, and experience);

3) Process area/department personnel are appropriately applying the documented process procedures approved in their guidance documents;

4) The expected outputs of the process application are achieved; and

5) Gaps in the certificate holder's process design are identified during CMT validations.

The steps of an investigations process is not substantially different than the process steps associated with a certificate holder's corrective action processes. Investigations are focused on defined events (e.g., accident, incident, etc.) and may require special data collection activities to aid process owners in their analysis and subsequent corrective actions (e.g., one investigatory practice may include interview information from event witnesses). The required investigation process steps should be defined by the organization in its guidance documents. The CMT only needs to ensure that personnel, authorities, competencies, and process steps are understood and/or demonstrated in defined accident or incident documentation.

Therefore, it is important that investigation records identify "who" conducted certain activities so the CMT can validate authorities and competencies of those individuals.

Criteria:

- The investigation process steps should be understood by those persons/positions defined by the organization.
- Any accident or incident investigation process steps should be completed using actual samples.
- The person/position responsible to complete the investigation includes any documentation required by the certificate holder.
- Investigations are implemented in a timely manner to preserve evidence associated with the event.
- Any investigation activities requiring an interface with other processes used to maintain system integrity (e.g., SRM, Preventive Action/Preventive Action, Voluntary Self Disclosure, etc.) are complete and traceable to the associated investigation.
- Investigations should not be fully closed until the certificate holder has validated all required actions required by the certificate holder investigation process were implemented.
- Required actions must be evaluated for effectiveness before the investigation is considered complete (determine whether system deficiencies have been corrected to improve the safety performance of the organization).

Validation Repeatability: The CMT may wish to validate the investigations process by selecting samples from completed accident or incident investigation records to ensure process steps were completed by authorized personnel. The CMT may wish to combine the investigations process validation with other, similar, corrective action processes or independently validate the investigations process. If a specific person or team coordinates investigations for the entire organization, the validation may be completed as a one-time event by interviewing the coordinator and reviewing documentation samples. If the certificate holder identifies multiple process owners as having investigation authority, more samples may be warranted. To save time, the CMT may wish to perform a tabletop exercise with parties responsible to conduct investigations on behalf of the certificate holder and then sample associated records as a separate validation event.

Organizational Manual Reference(s) Used for the Process Area Assessed in This Validation Test:

SUPPLEMENTAL INFORMATION
Purpose: (Certificate Holder Responsibility) Implement a formal process for investigating incidents and accidents including determination of causal factors and a process for developing corrective actions to improve the safety performance of the organization.
Objective: (FAA Responsibility) Confirm through design demonstration that the formal process for investigating incidents and accidents determines causal factors and develops corrective actions to improve the safety performance of the organization.

Data Collection Tool Questions – Record of Results: **YES** **NO**

1	Do personnel that conduct investigations of incidents, accidents or other certificate holder defined events have the competencies (i.e., qualification, training, knowledge, and experience) to perform their safety management-related duties and responsibilities? Ref: *SMSVP Standard 03-09-2015, 5.71(a)(5)*		
2	Do personnel that are qualified to conduct investigations of incidents, accidents, or other certificate holder defined events follow the organization's process to collect and analyze investigatory data? Ref: *SMSVP Standard 03-09-2015, 5.71(a)(5)*		
3	Are corrective actions resulting from the investigatory process being evaluated for effectiveness (i.e., determine whether system deficiencies and ineffective controls have been corrected to improve the safety performance of the organization)? Note(s): Before the investigation is considered complete, system deficiencies and ineffective controls must be corrected. Ref: *SMSVP Standard 03-09-2015, 5.73(a)(3), 5.75*		
4	As a result of an investigation leading to new or revised processes or procedures, does the certificate holder have clear documentation showing that the safety risk management process was completed prior to deployment into the system? Ref: *SMSVP Standard 03-09-2015, 5.51(a), (b), and (c)*		

Figure 17-4-3N. SMS Continuous Improvement Process Design Demonstration

Certificate Holder Designator:	Date:
Design Job Aid Reference – Safety Assurance	Process Area/Department Application:

Performance Objective:
Certificate Management Teams (CMT) need to validate, to the extent necessary, that technical process integrity is being managed to correct substandard safety performance by implementing corrective or preventive action when necessary. It is important that the CMT ensures that the certificate holder takes defined action when a process nonconformance has occurred or negative trends suggest a potential nonconformance will occur.

Directions:
There are five basic subobjectives associated with design demonstration:

1) The certificate holder has applied its design requirements to system operations;

2) Certificate holder personnel have the competencies to perform their safety management-related duties and responsibilities (i.e., qualification, training, knowledge, and experience);

3) Process area/department personnel are appropriately applying the documented process procedures approved in their guidance documents;

4) The expected outputs of the process application are achieved; and

5) Gaps in the certificate holder's process design are identified during CMT validations.

The certificate holder is expected to monitor its system processes in a variety of ways (e.g., audit, evaluations, hazard reporting, investigations, daily/weekly/monthly record reviews, etc.). When any monitoring mechanism identifies actual or potential process failure, the certificate holder must take action to correct or prevent a nonconformance and maintain process integrity to its original design expectation. The CMT will validate that process owners responsible for these actions complete all the required process steps in the certificate holder's process, provide proof of action implementation, and have not closed the action until an "effectiveness evaluation" has been completed.

The effectiveness evaluation should be defined by the process owner during the action determination phase of the process and should be documented on a tracking record to direct the follow-up evaluation. The effectiveness evaluation may be conducted by the process owner/proxy or another person/group/department in the organization that can understand the follow-up evaluation requirements.

Corrections and preventions should be closed in a timely manner. ("Timely" means that the organization has proof that they are actively moving toward resolution or they have set targeted objectives and recorded progress on those objectives.) Often lengthy corrections/preventions are associated with complex or expensive solutions. If noncomplex corrections and/or preventions are not making progress toward final solution, the CMT should discuss the issue(s) with the

process owner to determine causes for the delays. It should be noted that the organization should implement temporary risk mitigations (e.g., cease an operation, use communication backup plans, perform frequent checks, etc.) until the final action plan is fully implemented. The CMT should also question the integrity of the temporary mitigations that were put in place until the corrective or preventive action is implemented.

One way to ensure an effective preventive/corrective action process is to use a tracking system. Some attributes and activities associated with an effective preventive/corrective action tracking process are as follows:

- The document used to track preventive/corrective action has sufficient "general information" to identify the input source (e.g., audit finding, employee report, etc.), date opened, unique tracking number for traceability reference, and the identification of the responsible process owner who will oversee the process activities, and other process owner interfaces.
- The tracking document provides the immediate actions used to "contain" the problem, allowing the process to continue functioning safely until a final solution is implemented.
- The tracking document provides a location to record root cause analysis associated with the process.
- The action plan is not closed without an effectiveness evaluation by qualified personnel.
- In addition to reviewing the status of a large sample of tracking documents for specific process owners/departments, specific action plans should be selected by the CMT representative to validate that all process steps identified in the action plan were fully implemented. There should be sufficient evidence to verify full implementation of the selected samples.
- For corrective or preventive actions leading to a process design change, there should be clear, traceable evidence to a completed Safety Risk Management (SRM) process record.

Criteria:

- The certificate holder must establish and implement processes to correct identified substandard safety performance.

Validation Repeatability: The CMT may decide to validate the corrective or preventive action process independently or add to a regularly planned assessment where records would be easily accessed. The CMT may also decide to perform the validation in two phases:

1) Perform a high level validation of the corrective or preventive action process by thorough examination of associated records and validating signature authorities, process training records, and timely closure of the process action plans; and

2) Select specific samples that require onsite validations and add these validation activities to regular surveillance activities for specific process owners/departments.

The CMT may decide to add this validation to selected, prescheduled, process area surveillance activities. During surveillance activity, the inspector should ask to see the process owner's documentation as required by the certificate holder's process (e.g., tracking records from audits, management review, employee reports, investigations, continuous monitoring, etc.) and complete the review defined in the previous paragraph. Basically, the only difference in this approach is the CMT's preference as to how it wishes to initiate the assessment.

Regardless of technique, it is very important that the CMT performs enough validation activities to ensure the consistency of process owners "follow through" across the organization.

Organizational Manual Reference(s) Used for the Process Area Assessed in This Validation Test:

SUPPLEMENTAL INFORMATION
Purpose: (Certificate Holder Responsibility) Manage technical process integrity through corrective or preventive actions, including current and future nonconformance.
Objective: (FAA Responsibility) Confirm through design demonstration that the certificate holder managed its technical process integrity through corrective or preventive actions, including current and future nonconformance.

Data Collection Tool Questions – Record of Results: **YES NO**

1	Is there clear documentation that the designated process owners who implement corrective or preventive actions for the certificate holder maintain the safety performance of their process area(s)? Ref: *SMSVP Standard 03-09-2015, 5.23, 5.73*		
2	Is there clear documentation that all levels of organizational management contribute mitigation strategies to correct negative safety trends or potential nonconformance within the system? Note(s): Levels of organizational management can be found on an organizational chart. Ref: *SMSVP Standard 03-09-2015, 5.23(a)(2), 5.25, 5.75*		
3	Do all the certificate holder's members of management and personnel, relative to their safety performance, have the competencies required by the organization to perform those functions (i.e., qualification, training, knowledge, and experience)? Ref: *SMSVP Standard 03-09-2015, 5.23(a) 5.91*		
4	Does the certificate holder analyze the quality of all relevant data outputs of continuous improvement actions at the appropriate levels of the organization? Ref: *SMSVP Standard 03-09-2015, 5.71(b)*		
5	For corrective or preventive actions leading to new or revised process design, does the certificate holder have clear documentation showing that the safety risk management process was completed prior to deployment into the system? Ref: *SMSVP Standard 03-09-2015, 5.51(a) and (b), 5.55(c)*		

Figure 17-4-3P. SMS Accountable Executive Review Design Demonstration

Certificate Holder Designator:	Date:
Design Job Aid Reference – Policy	Process Area/Department Application:

Performance Objective:
Certificate Management Teams (CMT) must validate, to the extent necessary, that the certificate holder's accountable executive is involved in the system-wide safety management efforts. The accountable executive must have adequate knowledge to play an active role in directing actions relevant to resolving safety performance deficiencies in the system.

Directions:
There are five basic subobjectives associated with design demonstration:

1) The certificate holder has applied its design requirements to system operations;

2) Certificate holder personnel have the competencies to perform their safety management-related duties and responsibilities (i.e., qualification, training, knowledge, and experience);

3) Process area/department personnel are appropriately applying the documented process procedures approved in their guidance documents;

4) The expected outputs of the process application are achieved; and

5) Gaps in the certificate holder's process design are identified during CMT validations.

The certificate holder's accountable executive was identified using a SMSVP job aid during design validation. The accountable executive is defined as a key leadership individual in the organization's business tier that has ultimate authority over safety operations and organizational resources. As a result, it is important that the accountable executive is aware of safety performance data and information collected from the system so that he/she may direct any necessary actions and/or resources to support safety initiatives.

It is important that the accountable executive:

1) Hold periodic meetings to review collected data and information to assess the safety performance of the organization;

2) At a minimum, review key data/information inputs defined by the SMSVP Standard; and

3) Direct appropriate action, as warranted.

Accountable executive directed actions should be processed in the same manner as other corrections made in system processes. These methods include corrective and/or preventive action, investigations, SRM process corrections, etc.

Criteria:

- The organization has a process for the accountable executive review (e.g., management review).
- Objective evidence can be obtained to support that executive management reviews are being performed.
- Management reviews should include those required by the accountable executive, but at minimum:
    - Information on the effectiveness of safety risk controls (usually results from audits for each process owner/department, external audits, continuous monitoring outputs, voluntary disclosure reporting program, etc.).
    - Information on the effectiveness of safety risk controls established since the last reporting period (these reports are usually the results of the effectiveness evaluations from corrective or preventive actions and SRM).
    - Information on changes to operational environments and associated new hazards (e.g., things not in control of the certificate holder: regulatory changes, airport configuration changes, changes to approach or en route procedures, vendor status changes, etc.).
    - Information on new hazards identified throughout the system through any safety assurance mechanism used by the organization.
    - Other aggregate information, that relates to the effectiveness of the organization's safety management efforts towards meeting its stated safety objectives.

  NOTE: Meeting minutes from accountable executive reviews are convenient recording locations for revalidation or edits to the organization's safety policy. This record is sufficient evidence of a "signed safety policy," which is required to be communicated throughout the organization.

Validation Repeatability: This validation need only be conducted once and as one of the final CMT validation process activities. However, this final test must be conducted with the SMSPO. It is important that the certificate holder has completed full SMS implementation, so it can define what system reports are appropriate for the management review process(es). Finally, the accountable executive must take appropriate action to address any substandard safety performance. This validation may be repeated if the certificate holder does not follow its defined process and the minimum data/information detailed above was not included during the CMT validation assessment.

NOTE: It is often difficult to identify directed actions resulting from meeting minutes unless a template is used to list defined actions to be carried forward to the next management review. Using this technique removes the "guess work" associated with deciphering discussions contained in meeting minutes.

Certificate holder use of a template or "actions table" for the meeting minutes is strongly encouraged.

Organizational Manual Reference(s) Used for the Process Area Assessed in This Validation Test:

SUPPLEMENTAL INFORMATION
Purpose: (Certificate Holder Responsibility) Designate an accountable executive who is involved in the system-wide safety management efforts.
Objective: (FAA Responsibility) Confirm through design demonstration that the certificate holder accountable executive has adequate knowledge and plays an active role in directing actions relevant to resolving safety performance deficiencies in the system.

Data Collection Tool Questions – Record of Results:

		YES	NO
1	Does the certificate holder have documentation showing that the accountable executive is periodically reviewing and assessing the organization's safety management performance? Ref: *SMSVP Standard 03-09-2015, 5.25(b)(5), 5.73*		
2	Does the certificate holder have documentation showing that the accountable executive directs actions to address substandard safety performance? Ref: *SMSVP Standard 03-09-2015, 5.25(b)(5)*		
3	Does the certificate holder have documentation showing the directives of the accountable executive are tracked and reported upon at the next regular review or as required? Ref: *SMSVP Standard 03-09-2015, 5.25(b), 5.73, 5.97*		

Figure 17-4-3Q. SMS Records Retention Process Design Demonstration

Certificate Holder Designator:	Date:
Design Job Aid Reference – Policy, Safety Risk Management and Safety Assurance	Process Area/Department Application:

Performance Objective:
Certificate Management Teams (CMT) will validate, to the extent necessary, that the organization has record retention capability conforming to the SMSVP Standard in either paper or electronic media. The ability of the organization to retrieve archived records shall be tested.

Directions:
There are five basic subobjectives associated with design demonstration:

1) The certificate holder has applied its design requirements to system operations;

2) Certificate holder personnel have the competencies to perform their safety management-related duties and responsibilities (i.e., qualification, training, knowledge, and experience);

3) Process area/department personnel are appropriately applying the documented process procedures approved in their guidance documents;

4) The expected outputs of the process application are achieved; and

5) Gaps in the certificate holder's process design are identified during CMT validations.

The certificate holder is required to maintain records demonstrating conformance with applicable SMSVP standards and provide historical reference documents for ongoing decisionmaking.

The CMT must ensure that the certificate holder is capable of storing data for the required time periods defined in the SMSVP Standard and those required to retrieve stored data can do so in a "timely" manner. For paper records, access, protection from damage and misfiling are components of a good process. For electronic records, access, backup and protection from loss or overwrite are components of a good process. The CMT should test the certificate holder's record systems by requesting evidence that stored historical data matches the maximum retention period requirement.

For example: If today's date is 12/01/13 and there is a 24-month retention requirement, the certificate holder should be able to produce records from 12/01/11. If today's date is 12/01/18 and the retention requirement is unlimited, then records must be accessible back to the initial date of creation.

> NOTE: If there is no "master record tracking document" defining the initial inception date of record, there is no standard to measure the historical completeness of a given record.

It is difficult to determine if something is missing from recorded history if one does not know what is supposed to be in the historic file in the first place. Therefore, the CMT must always identify the evaluation standard it will use to test the records retention system before examining individual records or files.

For example: For personnel records, the CMT should pick individuals from actual surveillance activities to determine required training from the sample. Since training records are required to be retained as long as the individual is employed, ask the management representative for employee records of individuals who are working in the process area. If employees have SMS training modules in their job description, this should be documented in a training matrix detailing the requirement and process area. The CMT, for process procedure records, should identify a specific process for assessment with a revisions log or document history. The CMT evaluator should then check the archived documents by composition or approval date to validate the document retention requirement.

Criteria:

- "Unlimited" record retention requirement: records of SRM outputs for as long as the control remains relevant to the operation (i.e., each revision level of a process procedure should have SRM records from the date of original SMS acceptance). Employee competencies and training records must be retained as long as the individual is employed.
- Five-year record retention requirement: Safety Assurance outputs (e.g., investigations, audits, corrective and preventive action, continuous process monitoring records (whether by day, week, or month) and employee hazard reports).
- Twenty-four-month record retention requirement: Safety communications, (e.g., the "why" documentation that includes bulletins, training records/curricula, records of corrective or preventive actions that require retraining of employees, meeting or briefing notes where "why" is explained, checklists of items reviewed at production meetings, etc.).

  NOTE: While it is commendable that a certificate holder can control its documents in an orderly fashion, if records are not being used for their intended purpose, then the records retention process is just a compliance drill. To prevent this, the CMT should ensure training records are periodically audited by the certificate holder to validate that its training process is working. When SRM is conducted, records from past SRM decisions should be reviewed as part of the analysis process.

Validation Repeatability: This validation is applicable to all process areas. In a large organization, the CMT may wish to select specific samples from process area subgroups and perform a one-time check; applying those samples to all record media used by that process group.

If the organization is smaller, management often requires its individual process owners to maintain records applicable to their area/department. In these situations, the CMT may wish to perform multiple validations on process areas with several process owners.

Regardless of the certificate holder's size, it is important the CMT identify the records custodian(s) and perform enough validation activities to feel confident in the certificate holder's ability to meet the SMSVP records retention requirements.

Organizational Manual Reference(s) Used for the Process Area Assessed in This Validation Test:

SUPPLEMENTAL INFORMATION
Purpose: (Certificate Holder Responsibility) Implement a record retention process to comply with all regulatory record requirements.
Objective: (FAA Responsibility) Confirm through design demonstration that the certificate holder has a record retention process that complies with all regulatory record requirements.

Data Collection Tool Questions – Record of Results:		**YES**	**NO**
1	Did the certificate holder's personnel adequately demonstrate that they can retrieve required safety management records (both current and historical) as defined in their records process to include: • Safety risk management outputs as long as the control remains relevant to the operation (5.97(a)); • Five-year record retention requirement for the outputs of its safety assurance processes (5.97(b)); • Record of training for each individual to be retained for as long as they are employed by the certificate holder (5.97(c)); and • Twenty-four-calendar-month record retention requirement for safety communications (5.97(d))? Ref: *SMSVP Standard 03-09-2015, 5.97*		

Figure 17-4-3R. SMS Safety Communications Design Demonstration

Certificate Holder Designator:	Date:
Design Job Aid Reference – Safety Promotion	Process Area/Department Application:

Performance Objective:
Certificate Management Teams (CMT) will validate, to the extent necessary, that the certificate holder has communicated safety information throughout its organization to ensure that employees are aware of their safety-related responsibilities, and other critical safety-related information.

Directions:
There are five basic subobjectives associated with design demonstration:

1) The certificate holder has applied its design requirements to system operations;

2) Certificate holder personnel have the competencies to perform their safety management-related duties and responsibilities (i.e., qualification, training, knowledge, and experience);

3) Process area/department personnel are appropriately applying the documented process procedures approved in their guidance documents;

4) The expected outputs of the process application are achieved; and

5) Gaps in the certificate holder's process design are identified during CMT validations.

The certificate holder is required to communicate safety-related information to its employees.

The SMSVP Standard identifies three communications requirements:

1) Communications between management and employees ensures awareness of their specific safety management duties and responsibilities (e.g., employee guidance documents, manuals, training records and curricula, bulletins, etc.).

2) Communications between management and employees resulting from identified hazard information that impacts specific employee groups (e.g., bulletins, production meetings, training records and curricula, etc.).

3) Communications explaining why safety actions were taken to include why the addition of new controls or imposed corrective actions were implemented to correct process nonconformance or negative trends.

When a new process or procedural control is implemented, the affected employees (revised procedure) need to know why the new control was implemented. In other words, employees affected by the change should understand the basic objectives of the new control. By communicating the "why" behind a change, employees are better able to help management reach the proposed objectives.

NOTE: The intent of this requirement is reinforcing to the certificate holder that it cannot expect employees to support desired outcomes if they don't know what they are. Employees will often not remember the "why" when questioned about a changed process but should be aware they contribute to the overall safety of their organization. The CMT should also question the integrity of temporary mitigations before the mitigation is implemented. The CMT will have to sample enough employees to assess whether it believes the organization's communication method is effective and meets the intent of the SMSVP communications requirement.

Criteria:

- The organization's process must ensure that all employees throughout the organization are aware of the safety management system.
- The organization's process must ensure that any safety-critical information is conveyed to the appropriate lines of business.
- The organization must have a process that ensures that an explanation is communicated to employees on why particular safety actions are taken.
- The organization must have a process that ensures that an explanation is communicated to employees on why a safety procedure is introduced or changed.

Validation Repeatability: This validation is applicable to all process areas. The CMT may wish to select samples from process area subgroups in a large organization and perform a one-time check to access communication media used by the certificate holder. In a smaller organization all communication may be company-wide. Communications in a small, medium, or large organization may be in the form of newsletters, safety bulletins, training media, meetings, etc.

Regardless of the certificate holder's size, it is important that the CMT identify the processes used for communicating safety information and performs enough validation activities to feel confident in the organization's ability to meet the SMSVP communications requirement.

Organizational Manual Reference(s) Used for the Process Area Assessed in This Validation Test:

SUPPLEMENTAL INFORMATION
Purpose: (Certificate Holder Responsibility) Implement a process for communicating safety-critical information throughout its organization to ensure that employees are aware of their safety-related responsibilities.
Objective: (FAA Responsibility) Confirm through design demonstration that the certificate holder communicates safety information throughout its organization to its employees, including their safety-related responsibilities, and other critical safety-related information.

Data Collection Tool Questions – Record of Results: **YES** **NO**

1	Does the certificate holder demonstrate that, per 5.97(d): • Safety-critical information is communicated at all appropriate personnel levels (5.93(a) and (b)); and • Employees have received an explanation as to why particular company safety actions are taken (i.e., new or revised policies/procedures or changes that impact their working conditions) (5.93(c) and (d))? Note(s): The demonstration of employee awareness is assessed from employee interviews and documentation. Ref: *SMSVP Standard 03-09-2015, 5.93(a), (b), (c), and (d), 5.97(d)*		
2	Does the certificate holder's safety communication process explain to employees safety policies, processes, procedures, and actions relevant to their responsibilities? Note(s): The demonstration of employee awareness is assessed from employee interviews. Ref: *SMSVP Standard 03-09-2015, 5.93*		

Figure 17-4-3S. Transitioning from SMS Pilot Project to the SMS Voluntary Program

SMS Pilot Project (SMSPP) and the SMS Voluntary Program (SMSVP). Since 2007, the SMSPP has provided the FAA and certificate holders significant experience and lessons learned for good safety management implementation strategies.

Establishing a permanent way for certificate holders to have their SMS integrated into day-to-day operations or recognized for international operations is a logical evolution of the SMSPP. For that reason, the Flight Standards Service National Field Office (AFS-900) has created the SMSVP. As a result, all current SMSPP participants are automatically in the SMSVP, unless required by regulation to establish an SMS. In those cases, certificate holders will follow issued regulations and referenced advisory materials.

While certificate holders are "automatically" entered into the SMSVP, their SMS implementation efforts must correspond to the SMSVP structure. The Safety Management System Program Office (SMSPO) and certificate management teams (CMT) will use design validations to measure progress. The SMSPO and certificate holders' CMTs will work to ensure that progress is properly acknowledged and past work is not lost.

This figure describes the process that SMSPP participants will use to transition to the SMSVP. This process will be discontinued once all SMSPP participants have transitioned to the SMSVP. If a certificate holder does not wish to make this transition, they may withdraw from the SMSPP and any Flight Standards Service (AFS) acknowledgement letters will be null and void.

1. Phase 1 – Certificate Holder's Implementation Transition. Certificate holders will revise their implementation plans to the SMSVP Standard (Figure 17-4-3A). It is recommended that the certificate holder and CMT become familiar with the SMSVP Standard to realize the few differences between the Advisory Circular (AC) 120-92A Framework and the SMSVP Standard (see Figure 17-4-3T). After familiarization, the SMSPO recommends that the certificate holder take the following steps to revise its implementation efforts:

a. The certificate holder should identify any new SMSVP expectations that are different from its original implementation plan conceived under AC 120-92A, Appendix 1, Aviation Service Provider Safety Management System Framework: Functional Expectations.

b. The certificate holder should determine what changes or modifications/revisions will have to be implemented to meet the new expectations.

c. The status of each expectation should be annotated on a revised Implementation Plan. This may be as simple as adding a "status" column to the existing plan and annotating whether the expectation:

   i. Has been met;
   ii. Requires revision; or
   iii. Remains in progress (the expectation is still under initial development).

d. All remaining work on the revised implementation plan should include:

   i. Any revised manual references;
   ii. The person responsible; and
   iii. Anticipated completion dates for documentation and full implementation. These dates will be used by the CMT to develop its validation plan for expectations still under development.

e. The certificate holder will re-submit its revised SMSVP Implementation Plan to the CMT, using the revision process formally agreed upon between the certificate holder and CMT.

   NOTE: While the certificate holder may develop its Implementation Plan in any form or manner it chooses, the plan must be acceptable to the CMT. Under the SMSVP, the plan must include dates that the certificate holder expects its documentation to be completed and target dates when documented requirements will be implemented into its system. The CMT will use these dates to develop its validation project plan required under the SMSVP (see Volume 17, Chapter 4, Section 2).

2. CMT Review and Acknowledging of the Certificate Holder's Revised Implementation Plan. While the certificate holder's revised plan will contain relatively few changes, the CMT verification activities will shift to design validations using the SMSVP validation tools. The following process steps will be used by the CMT to accomplish the transition:

a. The CMT will use the attached "Bridging Document" to familiarize themselves with the changes between the AC 120-92A Framework and the SMSVP Standard. The CMT shall ensure that the certificate holder has revised its plan to address the appropriate SMSVP Standard references and has made a status determination for each requirement on the revised plan.

b. The CMT will review the certificate holder's status claim and decide if:

   i. The expectation has been met;
   ii. The expectation requires revision; or
   iii. The expectation remains "in-progress" (still under initial development).

c. The CMT will provide the certificate holder written notification of any status disagreement and upon acceptable correction by the certificate holder, accept the revised plan as formal conversion to the SMSVP.

   NOTE: Although the SMSPO is the final authority on the SMSVP standards differences of opinion over revised plan suitability between the CMT and certificate holder may be referred to the SMS Regional Point of Contact (RPOC) for resolution. The CMT and/or RPOC may request assistance from the SMSPO to answer any technical questions, or request a meeting in facilitating the transition process.

From the certificate holder's revised Implementation Plan, the CMT will develop its Validation Project Plan using the guidance contained in this chapter (see Volume 17, Chapter 4, Section 2, subparagraph 17-4-2-3E) and complete all remaining validation work in accordance with this document.

NOTE: The CMT may request assistance from the SMSPO to assist with development of the validation project plan.

3. PTRS Procedures. The person with "transition plan oversight" will open a PTRS record to record CMT completion of the SMS transition from SMSPP to SMSVP activities:

i. Enter activity number 1045/3045/5045 as appropriate;
ii. Enter "SMSVPIPT" (SMS Implementation Plan Transition) in the "National Use" box; and
iii. Record any additional information in the Comments section, as required.

Figure 17-4-3T. Bridging Document Differences Between AC 120-92A and the SMSVP Standard

The following table lists the differences between the Advisory Circular (AC) 120-92A, Appendix 1 Framework and the SMS Voluntary Program Standard.

The document is intended to assist CMT's transition from the SMS Pilot Project to the SMSVP expectations. It may also be used by a certificate holder to assist in documenting changed expectations in its SMS Implementation Plan.

Disclaimer: *FAA certificate-holding offices are not obligated to accept or reject a certificate holder submission using this document. The SMSVP Standard is the primary reference to be used in the SMSVP.*

Primary Reference to be Used in the SMSVP. SMSPP Process Based on AC 120-92A	**SMSVP Standard Based on NPRM Part 5**	**Differences Between SMSPP Framework to SMSVP Standard**	**Redline Changes from Previous SMSVP Standard to Revised SMSVP Standard Based on Part 5 Final Rule**
If a certificate holder has implemented or is implementing an SMS using AC 120-92A, Appendix 1, these are the processes they have developed or are developing:	Title 14 CFR part 5 is the foundation document for the SMSVP Standard, but the Standard, not 14 CFR part 5, is how participants are evaluated:	As follows are the noted differences between AC 120-92A and the SMSVP Standard. It is important to the CMT to focus on the processes impact of the change to ensure conformance to the Standard. *Words in **bold** are key words to focus your review.*	No change

Primary Reference to be Used in the SMSVP. SMSPP Process Based on AC 120-92A	SMSVP Standard Based on NPRM Part 5	Differences Between SMSPP Framework to SMSVP Standard	Redline Changes from Previous SMSVP Standard to Revised SMSVP Standard Based on Part 5 Final Rule
Component 1.0 Safety Policy and Objectives	SMSVP Standard 5.3(a)(1) and 5.21–5.27	• Ensure that the company designates an accountable executive and replaces the term "**Top Management**" with the term "**Accountable Executive**" in their manuals and documentation. [Wording and management concept change]	5.3 was updated to read as follows: (a) Any certificate holder required to have a Safety Management System under this Standard must submit the Safety Management System to the Administrator for acceptance. The SMS must be appropriate to the size, scope, and complexity of the certificate holder's operation and include at least the following components: (1) Safety policy in accordance with the requirements of subpart B of this Standard ~~part~~ (2) Safety risk management in accordance with the requirements of subpart C of this Standard ~~part~~; (3) Safety assurance in accordance with the requirements of subpart D of this Standard ~~part~~; and (4) Safety promotion in accordance with the requirements of subpart E of this Standard ~~part~~.
	5.5 Definitions		*Hazard* means a condition that could foreseeably cause or contribute to an aircraft accident as defined in 49 CFR 830.2.

Primary Reference to be Used in the SMSVP. SMSPP Process Based on AC 120-92A	SMSVP Standard Based on NPRM Part 5	Differences Between SMSPP Framework to SMSVP Standard	Redline Changes from Previous SMSVP Standard to Revised SMSVP Standard Based on Part 5 Final Rule
Element 1.1 Safety Policy	SMSVP Standard 5.21(a)(2) and 5.23	• Ensure that the company's Safety Policy contains a **commitment to fulfill** the organization's **safety objectives**. [Bold text not addressed in AC 120-92A]	Changed to require signature by accountable executive. ~~(b) The safety policy must be in accordance with all applicable regulatory requirements in Chapter I of Title 14 of the Code of Federal Regulations and must reflect the certificate holder's commitment to safety.~~ (b) The safety policy must be signed by the accountable executive described in 5.25. (c) The safety policy must be documented and communicated throughout the certificate holder's organization. (d) The safety policy must be regularly reviewed by the accountable executive to ensure it remains relevant and appropriate to the certificate holder.
Element 1.1(2)(e)	SMSVP Standard 5.21(a)(4)	• Ensure that the company's Safety Policy defines **requirements (replaces "encourages")** for employee reporting of safety hazards or issues. [Wording and process change. Review existing process to ensure conformance with the SMSVP Standard conformance.]	No change
Element 1.1(b)(2)(f)	SMSVP Standard 5.21(a)(5)	• Ensure that the company's safety policy defines **unacceptable behavior** and **conditions for disciplinary action**. [Change from AC 120-92A (Element 1.1b(2)(f)]	No change

Primary Reference to be Used in the SMSVP. SMSPP Process Based on AC 120-92A	SMSVP Standard Based on NPRM Part 5	Differences Between SMSPP Framework to SMSVP Standard	Redline Changes from Previous SMSVP Standard to Revised SMSVP Standard Based on Part 5 Final Rule
Element 1.4	SMSVP Standard 5.21(a)(6)	• Ensure that the company's Safety Policy contains an emergency response plan which provides for the **safe transition** from normal to emergency operations in accordance with the requirements of 5.27. [Bold text not addressed in AC 120-92A]	No change
Element 1.1(2)(k)	SMSVP Standard 5.21(d)	• Ensure that the company's Safety Policy requires regular reviews by the **accountable executive** (replaces "**organization/company/etc**.") to ensure that it remains relevant and appropriate to the certificate holder. [Wording and process change]	No change
Element 1.2	SMSVP Standard 5.23(a)(2)	• Ensure that the company's Safety Policy defines **management's accountability** for safety for SMS processes **within their area of responsibility**, including, but not limited to: (i) **Hazard identification** and safety risk assessment. (ii) **Assuring the effectiveness of safety risk controls**. [Bold text not addressed in AC 120-92A]	No change

Primary Reference to be Used in the SMSVP. SMSPP Process Based on AC 120-92A	SMSVP Standard Based on NPRM Part 5	Differences Between SMSPP Framework to SMSVP Standard	Redline Changes from Previous SMSVP Standard to Revised SMSVP Standard Based on Part 5 Final Rule
Element 1.2 Management Commitment and Safety Accountabilities	SMSVP Standard 5.23 and 5.25	• Ensure that the company has documentation that **identifies an accountable executive** who, irrespective of other functions, satisfies the following: **(1) Is the final authority over operations authorized to be conducted under the certificate(s).** **(2) Controls the financial resources required for the operations to be conducted under the certificate(s).** **(3) Controls the human resources required for the operations authorized to be conducted under the certificate(s).** **(4) Retains ultimate responsibility for the safety performance of the operations conducted under the certificate.** [Bold text not addressed in AC 120-92A]	No change
Element 1.2(3)(a)	SMSVP Standard 5.25(b)(2)	• Ensure that the company requires the **accountable executive** to accomplish the development (replaces the term "**define**") and sign the organization's Safety Policy. [Wording and process change]	No change
Element 1.2	SMSVP Standard 5.25(b)(5)	• Ensure that the company requires the **accountable executive** (replaces the term "**management**") to **assess the SMS performance**, to review the **safety performance** and direct actions to **address substandard performance**. [Wording and process change not addressed in AC 120-92A]	No change

Primary Reference to be Used in the SMSVP. SMSPP Process Based on AC 120-92A	SMSVP Standard Based on NPRM Part 5	Differences Between SMSPP Framework to SMSVP Standard	Redline Changes from Previous SMSVP Standard to Revised SMSVP Standard Based on Part 5 Final Rule
Element 1.3 Key Safety Personnel	SMSVP Standard 5.25(c)	• Ensure that the company requires the **accountable executive** (replaces the term "**top management**") must designate **a management representative (replaces the term "a member of management")** who must be responsible for the following: [Wording and process change] **(1) Facilitating hazard identification and safety risk analysis; and** **(2) Monitoring the effectiveness of safety risk controls.** [Bold text not addressed in AC 120-92A]	Replaced management representative with management personnel and adjusted job responsibilities. (c) *Designation of management personnel*. The accountable executive must designate sufficient management personnel who, on behalf of the accountable executive, are responsible for the following: (1) Coordinate implementation, maintenance, and integration of the SMS throughout the certificate holder's organization. (2) Facilitate hazard identification and safety risk analysis. (3) Monitor the effectiveness of safety risk controls. (4) Ensure safety promotion throughout the certificate holder's organization as required in subpart E of this Standard. (5) Regularly report to the accountable executive on the performance of the SMS and on any need for improvement.
Element 1.4 Emergency Preparedness and Response	SMSVP Standard 5.27	• Where emergency procedures are necessary, the **accountable executive and management representative must develop as part of the Safety Policy of the certificate holder**, an emergency response plan that addresses at least the following: **(1)** Delegation of **emergency authority** throughout the organization; and **(2)** Assignment of **employee responsibilities during the emergency.** [Bold text not addressed in AC 120-92A]	Changed to the following: Where emergency response procedures are necessary, the certificate holder must develop and the accountable executive must approve as part of the safety policy, an emergency response plan that addresses at least the following:

Primary Reference to be Used in the SMSVP. SMSPP Process Based on AC 120-92A	SMSVP Standard Based on NPRM Part 5	Differences Between SMSPP Framework to SMSVP Standard	Redline Changes from Previous SMSVP Standard to Revised SMSVP Standard Based on Part 5 Final Rule
Element 1.5 SMS Documentation and Records	SMSVP Standard 5.95 and 5.97	• Ensure that the company requires the following **record retention times: (1) Outputs of SRM must be retained as long as controls are relevant; (2) Outputs of SA records must be retained for a minimum of 5 years; (3) Training records must be retained for a minimum of 24 consecutive calendar-months; and (4) Records of all communications provided under 5.93 for a minimum of 24 consecutive calendar-months.** [Bold text not addressed in AC 120-92A]	5.97(c) has been updated to read: (c) The certificate holder must maintain a record of all training provided under 5.91 for each individual. Such records must be retained for as long as the individual is employed by the certificate holder.
Component 2.0 Safety Risk Management (SRM)	Subpart C, Safety Risk Management, SMSVP Standard 5.3(a)(2), SMSVP Standard 5.51, 5.53, and 5.55	Intentionally left blank.	Deleted some language for clarification. A certificate holder must apply safety risk management to the following:
Element 2.1 Hazard Identification and Analysis	Intentionally left blank.	Intentionally left blank.	No change

Primary Reference to be Used in the SMSVP. SMSPP Process Based on AC 120-92A	SMSVP Standard Based on NPRM Part 5	Differences Between SMSPP Framework to SMSVP Standard	Redline Changes from Previous SMSVP Standard to Revised SMSVP Standard Based on Part 5 Final Rule
Process 2.1.1 System Description and Task Analysis	SMSVP Standard 5.53(a) and (b), System Analysis and Hazard Identification	• Ensure that procedures are in place, when conducting the system analysis, to require consideration of: **(1) Function and purpose of the system.** **(2) The system's operating environment.** **(3) An outline of the system's processes and procedures.** **(4) The personnel, equipment, and facilities necessary for operation of the system.** [Bold text not addressed in AC 120-92A]	5.53(a) changed as follows: (a) When applying safety risk management, the certificate holder must analyze the systems identified in 5.51. Those system analyses must be used to identify hazards under paragraph (c) of this section, and in developing and implementing risk controls related to the system under 5.55(c).
Process 2.1.2 Identify Hazards	SMSVP Standard 5.53(c), System Analysis and Hazard Identification	No change noted.	No change
Element 2.2 Risk Assessment and Control	Intentionally left blank.	Intentionally left blank.	No change
Process 2.2.1 Analyze Safety Risk	SMSVP Standard 5.55(a), Safety Risk Assessment and Control	No change noted.	No change
Process 2.2.2 Assess Safety Risk	SMSVP Standard 5.55(b), Safety Risk Assessment and Control	The certificate holder **must define a process for conducting risk assessment** that allows for the determination of acceptable safety risk. [Bold text not addressed in AC 120-92A]	5.55(b) updated by deleting the following sentence: ~~"Acceptable safety risk must, at a minimum, comply with the applicable regulatory requirements set forth in Chapter I of Title 14 of the Code of Federal Regulations."~~

Primary Reference to be Used in the SMSVP. SMSPP Process Based on AC 120-92A	SMSVP Standard Based on NPRM Part 5	Differences Between SMSPP Framework to SMSVP Standard	Redline Changes from Previous SMSVP Standard to Revised SMSVP Standard Based on Part 5 Final Rule
Process 2.2.3 Control/Mitigate Safety Risk	SMSVP Standard 5.55(c), Safety Risk Assessment and Control	The certificate holder **must develop and maintain processes to develop safety risk controls** that are necessary as a result of the safety risk assessment process under paragraph (b) of this section. [Bold text not addressed in AC 120-92A]	Renumbered 5.55(c)(1) to 5.55(d). Deleted: ~~5.55(c)(2) The safety risk controls must, at a minimum, comply with the applicable regulatory requirements set forth in Chapter I of title 14 of the Code of Federal Regulations.~~
Component 3.0 Safety Assurance	Subpart D, Safety Assurance, SMSVP Standard 5.3(a)(3), 5.71, 5.73, and 5.75	Intentionally left blank.	No change
Element 3.1 Safety Performance Monitoring and Measurement	Intentionally left blank.	Intentionally left blank.	No change
Process 3.1.1 Continuous Monitoring	SMSVP Standard 5.71(a)(1) and (2), Safety Performance Monitoring and Measurement	• The certificate holder must develop and maintain processes and systems to acquire data with respect to its operations, products, and services to monitor the safety performance of the organization. These processes and systems must include, at a minimum, the following: (1) Continuous monitoring of operational processes; and (2) **Periodic monitoring** of the **operational environment to detect changes.** [Bold text not addressed in AC 120-92A]	Changed 5.71(a)(1) and (2) to read as follows: (a) The certificate holder must develop and maintain processes and systems to acquire data with respect to its operations, products, and services to monitor the safety performance of the organization. These processes and systems must include, at a minimum, the following: (1) ~~Continuous~~ Monitoring of operational processes. (2) ~~Continuous~~ Monitoring of the operational environment to detect changes.

Primary Reference to be Used in the SMSVP. SMSPP Process Based on AC 120-92A	SMSVP Standard Based on NPRM Part 5	Differences Between SMSPP Framework to SMSVP Standard	Redline Changes from Previous SMSVP Standard to Revised SMSVP Standard Based on Part 5 Final Rule
Process 3.1.2 Internal Audits by Operational Departments	SMSVP Standard 5.71(a)(3), Safety Performance Monitoring and Measurement	• The certificate holder must develop and maintain processes and systems to acquire data with respect to its operations, products, and services to monitor the safety performance of the organization. These processes and systems must include, at a minimum, auditing of operational processes **and systems.** [The term "Systems" is not addressed in AC 120-92A in reference to this process. This is an optional wording change as there are no functional differences in the processes.]	No change
Process 3.1.3 Internal Evaluation	SMSVP Standard 5.71(a)(4), Safety Performance Monitoring and Measurement	• The certificate holder must develop and maintain processes and systems to acquire data with respect to its operations, products, and services to monitor the safety performance of the organization. These processes and systems must include, at a minimum, evaluations of the SMS and operational processes **and systems.** [The term "Systems" is not addressed in AC 120-92A in reference to this process. This is an optional wording change as there are no functional differences in the processes.]	No change
Process 3.1.4 External Auditing of the SMS	SMSVP Standard 5.71(a)(3), Safety Performance Monitoring and Measurement	• There is no wording or functional change required with this process. This process is included in the SMSVP 5.71(a)(3). [Combining of processes]	No change

Primary Reference to be Used in the SMSVP. SMSPP Process Based on AC 120-92A	SMSVP Standard Based on NPRM Part 5	Differences Between SMSPP Framework to SMSVP Standard	Redline Changes from Previous SMSVP Standard to Revised SMSVP Standard Based on Part 5 Final Rule
Process 3.1.5 Investigation	SMSVP Standard 5.71(a)(5) and (6), Safety Performance Monitoring and Measurement	No change noted.	No change
Process 3.1.6 Employee Reporting and Feedback System	SMSVP Standard 5.71(a)(7), Safety Performance Monitoring and Measurement	• The term "**Employee Reporting and Feedback System,**" has been replaced with the term "**Confidential Employee Reporting System**" [This is an optional wording change as there are no functional differences in the processes.] and • The certificate holder must develop and maintain processes and systems to acquire data with respect to its operations, products, and services to monitor the safety performance of the organization. These processes and systems must include, at a minimum, the following: (7) A confidential employee reporting system in which employees can report **including, but not limited to hazards, issues, concerns, occurrences, incidents**, as well as propose solutions and safety improvements. [Bold text is not addressed in AC 120-92A with reference to the Employee Reporting System]	Changed 5.71(a)(7) to read as follows: ~~(7) A confidential employee reporting system in which employees can report, including, but not limited to: Hazards, issues, concerns, occurrences, incidents, as well as propose solutions and safety improvements.~~ (7) A confidential employee reporting system in which employees can report hazards, issues, concerns, occurrences, incidents, as well as propose solutions and safety improvements.

Primary Reference to be Used in the SMSVP. SMSPP Process Based on AC 120-92A	SMSVP Standard Based on NPRM Part 5	Differences Between SMSPP Framework to SMSVP Standard	Redline Changes from Previous SMSVP Standard to Revised SMSVP Standard Based on Part 5 Final Rule
Process 3.1.7 Analysis of Data	SMSVP Standard 5.71(b), Safety Performance Monitoring and Measurement	• The certificate holder must develop and maintain processes and systems to acquire data with respect to its operations, products, and services to monitor the safety performance of the organization. These processes and systems must include, at a minimum, processes, the following: (8) The certificate holder must develop and maintain processes that analyze the data acquired through the processes and systems identified under paragraph (a) of this section and any other relevant data with respect to its operations, **products, and services.** [Bold text is not addressed in AC 120-92A. There is a requirement for this process in the AC but it only refers to "operations." Review existing process, if "operations" includes products and services, no change is required.]	No change
Process 3.1.8 System Assessment	SMSVP Standard 5.73(a)(1), Safety Performance Assessment	No change noted.	5.73(a)(1) has been changed to read: ~~(1) Ensure the certificate holder's compliance with the applicable regulatory requirements in Chapter I of title 14 of the Code of Federal Regulations and additional safety risk controls established by the certificate holder.~~ (1) Ensure compliance with the safety risk controls established by the certificate holder. 5.73(a)(5) has been changed to read: (5) Identify ~~potential~~ new hazards.

Primary Reference to be Used in the SMSVP. SMSPP Process Based on AC 120-92A	SMSVP Standard Based on NPRM Part 5	Differences Between SMSPP Framework to SMSVP Standard	Redline Changes from Previous SMSVP Standard to Revised SMSVP Standard Based on Part 5 Final Rule
Element 3.2 Management of Change	SMSVP Standard 5.73(a)(4), Safety Performance Assessment	• This process has been included with 5.73(a)(4). [Combining of processes]	No change
Element 3.3 Continuous Improvement	SMSVP Standard 5.75, Continuous Improvement	No change noted.	5.75 has been changed to read: The certificate holder must establish and implement processes to correct safety performance ~~substandard~~ deficiencies identified in the assessments conducted under 5.73.
Process 3.3.1 Preventive/ Corrective Action	SMSVP Standard 5.75, Continuous Improvement	No change noted.	No change
Process 3.3.2 Management Review	SMSVP Standard 5.73(a)(4), Safety Performance Assessment	This process has been included with 5.73(a)(4). [Combining of processes]	No change
Component 4.0 Safety Promotion	Subpart E, Safety Promotion, SMSVP Standard 5.3(a)(4)	Intentionally left blank.	No change
Element 4.1 Competencies and Training	SMSVP Standard 5.91, Competencies and Training	No change noted.	5.91 has been changed by deleting the word qualifications and replacing with the word competencies. The certificate holder must provide training to each individual identified in 5.23 to ensure the individuals attain and maintain the ~~qualifications~~ competencies necessary to perform their duties relevant to the operation and performance of the SMS.

Primary Reference to be Used in the SMSVP. SMSPP Process Based on AC 120-92A	SMSVP Standard Based on NPRM Part 5	Differences Between SMSPP Framework to SMSVP Standard	Redline Changes from Previous SMSVP Standard to Revised SMSVP Standard Based on Part 5 Final Rule
Process 4.1.1 Personnel Expectations (Competence)	SMSVP Standard 5.91, Competencies and Training	No change noted.	No change
Process 4.1.2 Training	SMSVP Standard 5.91, Competencies and Training	No change noted.	No change
Element 4.2 Communication and Awareness	**SMSVP Standard:** 5.21(d) The safety policy must be documented and communicated throughout the certificate holder organization. 5.25(b)(3) [the accountable executive will] Communicate the safety policy throughout the certificate holder's organization.	**AC 120-92A, Appendix 1** **Element 1.1b(2)(j):** Be communicated with visible management endorsement to all employees and responsible parties.	No change

Figure 17-4-3U. Definitions

A. Causal Factors. Causal factors are that set of elements that affect an event's outcome. A causal factor is not necessarily a root cause, because whereas removing a causal factor can benefit an outcome, it does not with certainty prevent recurrence of an undesirable event. (See "root cause" and "root cause analysis.")

B. Conformance. Means agreement in nature or form of a presented document, process, or system.

C. Continued Operational Safety (COS). Routine recurring Performance Assessments (i.e., routine surveillance through safety inspections). Also includes certificate management, the management of major changes in operation (i.e., system configuration changes).

D. Corporate Safety Risk Management (SRM). As used in this document is a process to identify hazards and associated risks, analyze risks, and develop new risk controls affecting multiple process owner areas/departments within the organization. Final risk acceptance for Corporate SRM may be accomplished at a management level above the process owner/department level, or by a committee.

E. Corrective Action. A corrective action addresses a nonconformity that has occurred.

F. Design Demonstration. An activity that demonstrates, for purposes of validation, that a certificate holder's design of safety management processes function in an operational environment.

G. Design Review. Determines if a certificate holder's safety management processes conform to the Safety Management System Voluntary Program (SMSVP) Standard.

H. Gap Analysis. Compares existing processes, procedures, programs, and activities to the SMSVP Standard.

I. Hazard. Means a condition that can foreseeably cause or contribute to an aircraft accident as defined in Title 49 of the Code of Federal Regulations (49 CFR) part 830, § 830.2.

J. Preventive Action. A preventive action addresses the potential for a nonconformity to occur.

K. Risk. Means the composite of predicted severity and likelihood of the potential effect of a hazard.

L. Risk Control. A means to reduce or eliminate the effects of hazards.

M. Root Cause. The root cause of a nonconformity or undesirable event is that factor that would with certainty result in the event not occurring were it not present.

N. Root Cause Analysis (RCA). A method for identifying the underlying causal factor of a nonconformity or undesirable event. A causal factor is considered the root cause if its removal from the event sequence prevents the undesirable event from recurring.

O. Root Cause Analysis Corrective Action Plan. A formalized plan to eliminate the causal factor that resulted in a nonconformity or undesirable event by addressing the factor determined to be the root cause.

P. Safety Assurance. Means processes within the SMS that function systematically to ensure the performance and effectiveness of safety risk controls and that the organization meets or exceeds its safety objectives through the collection, analysis, and assessment of information.

Q. Safety Management System (SMS). Means the formal, top-down, organization-wide approach to managing safety risk and assuring the effectiveness of safety risk controls. It includes systematic procedures, practices, and policies for the management of safety risk.

R. Safety Objective. Means a measurable goal or desirable outcome related to safety.

S. Safety Performance. Means realized or actual safety accomplishment relative to the organization's safety objectives.

T. Safety Policy. Means the certificate holder's documented commitment to safety, which defines its safety objectives and the accountabilities and responsibilities of its employees in regards to safety.

U. Safety Promotion. Means a combination of training and communication of safety information to support the implementation and operation of an SMS in an organization.

V. Safety Risk Management (SRM). Means a process within the SMS composed of describing the system, identifying the hazards, and analyzing, assessing and controlling safety risk.

W. System. Means a group of interacting, interrelated, or interdependent elements forming a complete whole.

X. Validation. CMT activities involving observations, audits, and certificate management functions that provide sufficient information for the CMT to assess whether a certificate holder's system design achieves stated objectives and meets published SMS standards.

Y. Validation Plan. Means a forecast of resources needed to perform applicable assessments to confirm a certificate holder's safety management activities and processes.

17-4-3-9 through 17-4-3-23 RESERVED.