

VOLUME 1 GENERAL INSPECTOR GUIDANCE AND INFORMATION

CHAPTER 3 INSPECTOR RESPONSIBILITIES, ADMINISTRATION, ETHICS AND CONDUCT

Section 1 Safety Assurance System: Responsibilities of Aviation Safety Inspectors

1-156 GENERAL. This chapter addresses many, but not all, of the responsibilities, standards of conduct, and credentials of aviation safety inspectors (ASI). This section describes the general responsibilities of the ASI. ASIs of the Federal Aviation Administration (FAA) play a key role in ensuring that the United States aviation system continues to be the safest in the world. This responsibility for safety in air travel covers almost every facet of aviation, including the certification of aircraft and airmen, the operation and maintenance of aircraft, aircraft manufacturing, and the approval of new aircraft design. Within Flight Standards, ASIs are divided by specialty into the groups of Maintenance and Avionics (Airworthiness), Operations, Dispatch, and Cabin Safety.

1-157 OTHER RESPONSIBILITIES. ASIs participate in other activities, such as accident prevention and the issuance of authorizations. ASIs also perform many other duties, including the ones that:

- Make a deposition or court appearance;
- Process a voluntary surrender of an operator's certificate; and
- Provide technical assistance.

1-158 INSPECTOR PRACTICES.

A. Inspector Findings. Inspectors must be consistent and document all findings in the Data Collection Tools (DCT) or Program Tracking and Reporting Subsystem (PTRS), for them or for the principal inspector (PI) to assess and analyze. The PI must ensure that inspection results are accurate, timely, and are conveyed to the certificate holder accurately. They must ensure the certificate holder corrects or mitigates findings. The PI will track the certificate holder's progress on corrective actions.

B. Inspector Plan. The inspector must have a plan prior to starting their inspections. They must prepare by reviewing data on what the area of concern may be. Merely printing the DCT or guidance is not planning. For those in the Safety Assurance System (SAS), there is a checklist prior to starting data collection to acknowledge prior to starting the inspection. The inspector should brief the certificate holder prior to beginning the inspection and then provide an out briefing of the findings, either negative or positive.

1) In-Brief. The inspector should conduct an in-briefing with available certificate holder management, certificate holder representatives, or others as the inspection warrants. The brief may or may not be a formal briefing—it depends on the type of inspection being performed. The following are recommended items to cover in the briefing:

- a) Confirm the inspection objectives, scope, and criteria.
- b) Explain that the inspection scope may be expanded, if necessary.
- c) Discuss the inspection methods and techniques that will be used.
- d) Review inspection documentation, such as checklists, job aids, and forms.
- e) Verify current revision status of documentation previously received.
- f) Outline the overall inspection process.
- g) Confirm any inspection timetables and other arrangements previously made with the certificate holder.
- h) Confirm any administrative requirements.
- i) Inquire about onsite safety, emergency, and security procedures.

2) Post-Inspection Briefings. The inspector should conduct an out briefing with available certificate holder management, certificate holder representatives, or others as the inspection warrants and summarize any negative or positive findings. The inspector should explain any follow-up action that may take place. Negative findings should be provided to the certificate holder in writing within 15 days of the close of the inspection item. If the inspector is using SAS, they will track the action using the Action Item Tracking Tool (AITT) until all outstanding findings have been closed. In a large certificate management office (CMO), if the PI is not the data collector, they are aware of the outcome and they will send a letter when the activity has been closed and the Analysis, Assessment, and Action (AAA) module has been accomplished. The inspector will conduct an out-briefing with the certificate holder's management team. During this meeting, the inspector should:

- a) Confirm the purpose and scope of the inspection.
- b) Identify documents the team reviewed and used during the inspection, including the revision level or date of revision.
- c) When appropriate under Compliance Program consideration, provide positive observations.
- d) Provide a preliminary result of all discrepancies or observations. Make sure the certificate holder management team has a complete understanding of the observations and findings, including expected future actions. If no discrepancies were noted, this must also be conveyed to the certificate holder management team during this briefing.

NOTE: Documenting the findings during debriefing helps in the certificate holders' understanding of the issues, and what they need to review in order to redesign their systems to correct or mitigate safety concerns.

e) Discuss the process for administering findings.

f) Ask whether any points need to be clarified. Request feedback from the certificate holder and resolve outstanding issues.

NOTE: All corrected “on-the-spot” findings identified by those using the DCTs will be documented per SAS guidance, as outlined in Volume 10, Safety Assurance System Policy and Procedures; and Volume 14, Compliance and Enforcement.

RESERVED. Paragraphs 1-159 through 1-175.

VOLUME 1 GENERAL INSPECTOR GUIDANCE AND INFORMATION**CHAPTER 3 INSPECTOR RESPONSIBILITIES, ADMINISTRATION,
ETHICS AND CONDUCT****Section 6 Operations Inspector Qualifications and Currency Overview**

1-260 OBJECTIVE. This section contains the qualification and currency requirements applicable to Operations inspectors conducting certification and surveillance of flight-related functions.

1-261 BACKGROUND. This section was developed to consolidate information to easily identify qualification and currency requirements for inspectors in the performance of the Operations inspector job functions. The section does not include all inspector job functions. Inspectors may also find qualification requirements in Order 8900.1 sections that address the particular job function. With the development and future amendment of this section, duplicate information will be removed from the respective sections and consolidated in the matrix found within this section. Until all information has been included in the matrix and removed from the respective sections, Operations inspector qualification requirements will be based on the section with the most recent amendment date.

1-262 CREWMEMBER STATUS—TRAINING AND CURRENCY REQUIREMENTS.

The Operations Inspector Qualifications and Currency Requirements Matrix (Figure 1-2) was developed to reference qualification and currency requirements the inspector must meet to conduct specified job functions. Each row of Figure 1-2 represents a job function, and the columns represent the qualifications. Figure 1-2 includes references to Order 8900.1 where applicable guidance information is available. Inspectors must also refer to the AFS Participant Flight Operations Manual (FOM) details related to qualifications and currency.

1-263 RISK MANAGEMENT FOR INSPECTOR JOB FUNCTIONS IN FLIGHT.

The flight-related job functions required of an inspector will vary widely in complexity and associated risk. In order to manage the risk associated with job tasks involving a flight, the inspector must follow the Flight Standards Service risk assessment policy for job functions involving flight. For all flights, inspectors must identify risk and apply mitigations to minimize risk.

Figure 1-2. Operations Inspector Qualifications and Currency Requirements Matrix

Policy Division(s)	Job Function (Note 13)	Medical Required (Note 1)	Category/Class Rating	Type Rating in Subject Aircraft	12 Month Formal Training (Note 2)	24 Month Formal Training in Category (Note 3)	EBC Current (Note 4)
1 AFS-800	Part 61 pilot certification practical test as a required crewmember, including safety pilot. (See Volume 5, Chapter 1, Section 2, paragraphs 5-27, 5-29, and 5-30.)	2 nd	Yes	Yes	Yes	Yes	Yes
2 AFS-800	Part 61 pilot certification practical test from observer seat. (See Volume 5, Chapter 1, Section 2, paragraphs 5-27, 5-29, and 5-30.)	No	Yes	Yes	Yes	Yes	No
3 AFS-200/ AFS-800	Part 91K/121/125/135/141/142 competency/proficiency check as a required crewmember, including safety pilot. (See Volume 3, Chapter 19, Section 7, paragraph 3-1282 and Volume 5, Chapter 1, Section 2, paragraphs 5-27 and 5-32, parts 91K, 121, 125 and 135 only.)	2 nd	Yes	Yes	Yes	Yes	Yes (Note 6)
4 AFS-200/ AFS-800	Part 91K/121/125/135/141/142 competency/proficiency check from observer seat. (See Volume 3, Chapter 19, Section 7, paragraph 3-1282.)	No	Yes	Yes	Yes	Yes	No (Note 6)

Policy Division(s)	Job Function (Note 13)	Medical Required (Note 1)	Category/ Class Rating	Type Rating in Subject Aircraft	12 Month Formal Training (Note 2)	24 Month Formal Training in Category (Note 3)	EBC Current (Note 4)
5 AFS-800	Special medical test (flight). (See Volume 5, Chapter 8, Section 1, paragraph 5-1526.)	2 nd	Yes	Yes	Yes	Yes	Yes
6 AFS-800	Title 49 U.S.C. § 44709 reexamination. (See Volume 5, Chapter 7, Section 1, paragraph 5-1422.)	2 nd (Note 7)	Yes	Yes	Yes	Yes	Yes
7 AFS-200/ AFS-600/ AFS-800	Original/ongoing part 183 evaluation as a required crewmember, including safety pilot. (See Volume 13, Chapter 6, Section 1, subparagraph 13-517B.)	2 nd	Yes	Yes	Yes	Yes	Yes
8 AFS-200/ AFS-600	Original part 183 evaluation (TCE/APD) from observer seat. (See Volume 13, Chapter 1.)	No	Yes	Yes	Yes	Yes	Yes per MOU
9 AFS-200/ AFS-600	Ongoing part 183 evaluation (TCE/APD) from observer seat. (See Volume 13, Chapter 1.)	No	Yes	Yes	No	Yes	Yes per MOU (Note 8)
10 AFS-600/ AFS-800	Original part 183 evaluation (DPE) from observer seat. (See Volume 13, Chapter 6, Section 1, subparagraph 13-517B.)	No	Yes	Yes (Note 10)	No	No	No

Policy Division(s)	Job Function (Note 13)	Medical Required (Note 1)	Category/ Class Rating	Type Rating in Subject Aircraft	12 Month Formal Training (Note 2)	24 Month Formal Training in Category (Note 3)	EBC Current (Note 4)
11 AFS-600/ AFS-800	Ongoing part 183 evaluation (DPE) from observer seat. (See Volume 13, Chapter 6, Section 1, subparagraph 13-517B.)	No	Yes	Yes (Note 10)	No	No	No
12 AFS-200	Part 121/135 line check from observer seat. (See Volume 3, Chapter 19, Section 13, subparagraph 3-19-13-3B.)	No	Yes	No	No	No	No
13 AFS-200/ AFS-800	Part 91K/121/125/135 check airman/check pilot observation from observer seat (initial).	No	Yes	(Note 9)	No	No	No
14 AFS-200	Part 91K/121/125/135 check airman/check pilot observation from observer seat (ongoing).	No	Yes	(Note 9)	No	No	No
15 AFS-200/ AFS-800	Part 91K/121/135 flight instructor observation from observer seat. (See Volume 3, Chapter 20, Section 2.)	No	Yes	(Note 9)	No	No	No
16 AFS-200/ AFS-800	Part 91K/121/125/135 proving or validation tests when the qualified Operations inspector occupies an observer seat.	No	Yes	(Note 12)	(Note 12)	(Note 12)	(Note 12)
17 AFS-800	Part 133 observation from the ground.	No	Yes	No	No	No	No

Policy Division(s)	Job Function (Note 13)	Medical Required (Note 1)	Category/ Class Rating	Type Rating in Subject Aircraft	12 Month Formal Training (Note 2)	24 Month Formal Training in Category (Note 3)	EBC Current (Note 4)
18 AFS-800	Part 133 observation in aircraft.	Yes	Yes	Yes	Yes	Yes	Yes
19 AFS-800	Part 137 chief supervisor observation.	No	Yes (Note 14)	No	No	No	No

Notes for Figure 1-2, Operations Inspector Qualifications and Currency Requirements Matrix:

(1) Inspectors conducting certification (pilot evaluating, testing, and checking) job functions as a required crewmember, including safety pilot, must hold a second-class medical certificate.

(2) Inspectors assigned to only one aircraft requiring a type rating must complete formal training in that aircraft every 12 months. Inspectors assigned to two aircraft of the same category requiring a type rating must complete formal training every 12 months, alternating between the two aircraft.

All inspectors assigned to Group I and Group II helicopters must maintain event-based currency (EBC) in both Group I and Group II helicopters. Inspectors assigned only to Group I helicopters must complete formal training every 12 months.

Groups are defined in the AFS Participant Flight Operations Manual, chapter 4, available in the Flight Standards Information Management System (FSIMS).

(3) For gyroplane, lighter-than-air, glider, weight-shift, and powered parachute, a Flight Standards Flight Program check recorded on Federal Aviation Administration (FAA) Form 4040-2, FAA Crewmember Check Record, may substitute for formal training, unless an agency-funded formal course exists.

(4) In order to be EBC current, the inspector must have completed the required tasks and flight program requirements. EBC current does not refer to qualifications including formal training and medical certification.

(5) Note deleted from previous version of this table.

(6) An inspector must complete all required non-Memorandum of Understanding (MOU) tasks in the FOM chapter 4, Table 4-19 (not otherwise completed under the MOU), prior to conducting certification (pilot evaluating, testing, and checking) job functions outside the MOU.

(7) If the Title 49 of the United States Code (49 U.S.C.) § 44709 reexamination is conducted in a flight simulation training device (FSTD), the inspector is not required to hold a valid second-class medical certificate at the time of the reexamination.

(8) EBC currency is not required in the subject aircraft. However, EBC currency is required in at least one EBC assignment in the same category and class.

(9) The inspector must be qualified in the category and class, and hold a type rating if the aircraft to be used is a type-rated aircraft, but does not need to hold a type rating in the subject aircraft. An inspector must be type-rated in an airplane that has a passenger capacity of 30 seats or more, or a payload capacity of more than 7,500 pounds, to conduct the observation in an airplane of these capacities. The inspector would need to hold an airplane type rating to do airplane job functions requiring a type rating, or a helicopter type rating to do helicopter job functions requiring a type rating, but would not have to hold the type rating in the specific make/model for which the observation/job function occurs.

(10) Not required for designees managed under the specialty aircraft examiner program.

(11) Note deleted from previous version of this table.

(12) See Volume 3, Chapter 29, Section 5, Subparagraph 3-2381A1), Qualified Operations Inspector.

(13) Evaluations or observations utilizing Robinson helicopters:

- With access to flight controls: aviation safety inspectors (ASI) must comply with the applicable Special Federal Aviation Regulations (SFAR) 73 pilot-in-command (PIC) requirements.
- Without access to flight controls: No compliance with SFAR 73 required.

(14) Observations of Title 14 of the Code of Federal Regulations (14 CFR) part 137 Unmanned Aircraft Systems (UAS) operations can be accomplished by any General Aviation Operations (GAOP) inspector.

RESERVED. Paragraphs 1-264 through 1-279.

VOLUME 2 AIR OPERATOR AND AIR AGENCY CERTIFICATION AND APPLICATION PROCESS

CHAPTER 9 CERTIFICATION OF A PART 141 PILOT SCHOOL

Section 1 Initial Certification or Renewal of a Part 141 Pilot School

2-1066 PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODES.

- A. Initial Certificate:** 1240.
- B. Renew Certificate:** 1374.
- C. Reissue Certificate:** 1375.

2-1067 OBJECTIVE. Determine whether an applicant for a Title 14 of the Code of Federal Regulations (14 CFR) part 141 pilot school qualifies to operate as a pilot school or provisional pilot school. This is a certificated entity, and successful completion of this task results in the issuance, renewal, or denial of Federal Aviation Administration (FAA) Form 8000-4, Air Agency Certificate. These procedures facilitate the issuance of a provisional pilot school certificate, for added ratings (amendments), and for a pilot school certificate renewal.

2-1068 GENERAL. Before beginning any certification process, inspectors should review Volume 3, Chapter 1, The General Process for Approval or Acceptance of Air Operator Applications, Section 1; and Volume 2, Chapter 1, Section 1, Safety Assurance System: General Information and the Certification Process. Definitions of the terms used in this chapter are contained in Volume 3, Chapter 53, Section 1, Introduction to Part 141 Related Tasks.

2-1069 PREAPPLICATION PHASE. The applicant initiates the process leading to certification as a provisional pilot school. The applicant contacts the appropriate Flight Standards District Office (FSDO) to obtain pertinent information concerning a path to certification as a provisional pilot school. For an initial certification, inspectors should discuss the following items with an applicant during an initial inquiry about a part 141 certificate. These items may also be reviewed during renewal or during amendment, as necessary.

A. Pilot School Ratings. The term “pilot school rating” used in part 141, § 141.11 describes the certification and rating courses that can be approved for part 141 pilot schools. Pilot school ratings are listed on a part 141 pilot school’s Air Agency Certificate. For schools that submit training course outlines (TCO) and the associated syllabi and must meet minimum time requirements of part 141, in accordance with § 141.55(d) or (e) (as appropriate), it is imperative that these schools’ TCOs and syllabi cover all of the aeronautical knowledge areas and flight training required for the rating and course. Inspectors must ensure the pilot school ratings listed on an Air Agency Certificate reflect the certification and rating courses in accordance with § 141.11(b)(1) as listed below.

NOTE: Part 141 appendix M does not appear in § 141.11. However, it is one of the possible certification courses that can be listed on an Air Agency Certificate.

1) Certification and Rating Courses (Part 141 Appendices A through J and M).

- Recreational Pilot Course,
- Private Pilot Course,
- Instrument Rating Course,
- Combined Private Pilot and Instrument Rating Course,
- Commercial Pilot Course,
- Airline Transport Pilot (ATP) Course,
- Flight Instructor Course,
- Flight Instructor Instrument Course,
- Ground Instructor Course,
- Additional Aircraft Category or Class Rating Course, and
- Aircraft Type Rating Course.

2) Special Curriculum Course Under § 141.57, Special Curricula, and Part 141 Appendix K, Special Preparation Courses.

- Pilot Refresher Course,
- Flight Instructor Refresher Course (FIRC),
- Ground Instructor Refresher Course,
- Agricultural Aircraft Operations Course,
- Rotorcraft External-Load Operations Course,
- Special Operations Course,
- Test Pilot Course, and
- ATP Certification Training Program (CTP).

3) Part 141 Appendix L, Pilot Ground School Course.

B. Recreational Pilot Course. The approval of one or more courses of training that result in the original issuance of a recreational pilot certificate entitles the school to have a recreational pilot rating placed on its school certificate. The approval of one or all of the following certification courses entitles the school to a recreational pilot rating for the following courses, as appropriate:

- Airplane—Single-Engine,
- Rotorcraft—Helicopter, and/or
- Rotorcraft—Gyroplane.

C. Private Pilot Course. The approval of one or more courses of training that result in the original issuance of a private pilot certificate entitles the school to have a private pilot rating placed on its school certificate. The approval of one or all of the following certification courses entitles the school to a private pilot rating for the following courses, as appropriate:

- Airplane—Single-Engine,
- Airplane—Multiengine,
- Rotorcraft—Helicopter,

- Rotorcraft—Gyroplane,
- Powered-Lift,
- Glider,
- Lighter Than Air (LTA) Airship, and/or
- LTA Balloon.

D. Instrument Rating Course. The approval of one or more courses of training that result in the original issuance of an instrument rating entitles the school to have an instrument rating placed on its school certificate. The approval of one or all of the following certification courses entitles the school to an instrument rating for the following courses, as appropriate:

- Instrument—Airplane,
- Instrument—Helicopter, and/or
- Instrument—Powered-Lift.

E. Commercial Pilot Course. The approval of one or more courses of training that result in the original issuance of a Commercial Pilot Certificate entitles the school to have a commercial pilot rating placed on its school certificate. The approval of one or all of the following certification courses entitles the school to a commercial pilot rating for the following courses, as appropriate:

- Airplane—Single-Engine,
- Airplane—Multiengine,
- Rotorcraft—Helicopter,
- Rotorcraft—Gyroplane,
- Powered-Lift,
- Glider,
- LTA Airship, and/or
- LTA Balloon.

F. ATP Course. The approval of one or more courses of training that result in the original issuance of an ATP Certificate entitles the school to have an ATP rating placed on its school certificate. The approval of one or all of the following certification courses entitles the school to an ATP rating for the following courses, as appropriate:

- Airplane—Single-Engine,
- Airplane—Multiengine,
- Rotorcraft—Helicopter, and/or
- Powered-Lift.

G. Flight Instructor Course. The approval of one or more courses of training that result in the original issuance of a flight instructor certificate entitles the school to have a flight instructor rating placed on its school certificate. The approval of one or all of the following

certification courses entitles the school to a flight instructor rating for the following courses, as appropriate:

- Airplane—Single-Engine,
- Airplane—Multiengine,
- Rotorcraft—Helicopter,
- Rotorcraft—Gyroplane,
- Powered-Lift, and/or
- Glider.

H. Flight Instructor Instrument Rating Course. The approval of one or more courses of training that result in the original issuance of a flight instructor certificate with an instrument rating entitles the school to have a flight instructor instrument rating placed on its school certificate. The approval of one or all of the following certification courses entitles the school to a flight instructor instrument rating for the following courses, as appropriate:

- Flight Instructor Instrument—Airplane,
- Flight Instructor Instrument—Helicopter, and/or
- Flight Instructor Instrument—Powered-Lift.

I. Ground Instructor Course. The approval of one or more courses of training that result in the original issuance of a ground instructor certificate entitles the school to have a ground instructor rating placed on its school certificate. The approval of one or all of the following certification courses entitles the school to a ground instructor rating for the following courses, as appropriate:

- Ground Instructor Instrument—Basic,
- Ground Instructor Instrument—Advanced, and/or
- Ground Instructor Instrument—Instrument.

J. Additional Aircraft Category or Class Rating Course. The approval of one or more courses of training that results in the issuance of an additional aircraft category or class rating to an existing pilot certificate entitles the school to have “Additional Aircraft Category or Class Rating” placed on its school certificate. The approval of one or all of the following additional aircraft rating courses entitles the school to the above listed rating.

- Airplane—Single-Engine,
- Airplane—Multiengine,
- Rotorcraft—Helicopter,
- Rotorcraft—Gyroplane,
- Powered-Lift,
- Glider,
- LTA Airship, and/or
- LTA Balloon.

K. Aircraft Type Rating Course. The approval of one or more courses of training that result in the issuance of an aircraft type rating entitles the school to have aircraft type rating placed on its school certificate. The approval of one or all of the following aircraft type rating courses entitles the school to an aircraft type rating for the following courses, as appropriate:

- A type rating in an airplane category, single-engine class;
- A type rating in an airplane category, multiengine class;
- A type rating in a rotorcraft category, helicopter class; and/or
- A type rating in a powered-lift category.

L. Special Preparation Course. Under part 141 appendix K, the approval of one or more courses of training that prepares the graduate with the necessary skills, competency, and proficiency to exercise safely the privileges of a certificate, rating, or authorization for which the course is established. This course entitles the school to have that special preparation course rating (e.g., pilot refresher course or agricultural aircraft operations course) placed on its school certificate. The approval of one or all of the following special preparation courses entitles the school to a pilot school rating for the following courses, as appropriate:

- Pilot Refresher Course,
- FIRC,
- Ground Instructor Refresher Course,
- Agricultural Aircraft Operations Course,
- Rotorcraft External-Load Operations Course,
- Special Operations Course,
- Test Pilot Course, and/or
- ATP CTP.

M. Pilot Ground School Course. The approval of one or more ground school courses under the provisions of part 141 appendix L entitles the school to have a pilot ground school rating placed on its school certificate.

N. Special Curriculum Course. The approval of a special curriculum course under § 141.57 entitles the school to have “Special Curriculum Course” appear on its school certificate, the student enrollment certificate, and the graduation certificate. This applies to a curriculum that is not already prescribed in the appendices of part 141. The special curriculum course must contain features that could achieve a level of proficiency equivalent to that achieved by a training course prescribed in the appendices of part 141 or the requirements of 14 CFR part 61. Some examples include high performance training, complex aircraft training, tailwheel training, model transition training, technically advanced aircraft (TAA) training, turboprop transition training, mountain flying, and many others that may not necessarily lead to a certificate or rating, but are otherwise specialized training.

O. Certification Team Assignment. As described in the procedures in Volume 2, Chapter 1, Section 1, the FSDO manager assigns the applicant a certification team. The manager also designates one member of the team as the certification project manager (CPM).

P. Contact With the Appropriate FSDO. When the prospective applicant contacts the FSDO, the FSDO manager and assigned inspector(s) will outline the part 141 certification requirements, aircraft requirements, and FAA policy and procedures. This is a time for the prospective applicant to ask questions, learn what is required to be certificated as a provisional pilot school, and learn what will be necessary to maintain the part 141 pilot school's certificate. This is a time for the assigned inspectors to learn about the applicant and what resources will be necessary in order to support the prospective applicant during the certification process.

Q. Letter of Intent (LOI). During the preapplication phase, the inspector's FSDO should brief the applicant on submitting an LOI that includes the following:

- 1) Statement of intent (SOI) to become a certificated pilot school under part 141.
- 2) The company's legal name and any doing business as (DBA) names, the principal operation's base address, the primary airport address, the mailing address, telephone numbers, and email addresses.
- 3) Make and model (M/M) of aircraft, number of aircraft, numbers of each type of aircraft, and if available, aircraft registration numbers of the proposed part 141 pilot school's aircraft.
- 4) Listing any FAA-qualified or approved full flight simulators (FFS), flight training devices (FTD), or Aviation Training Devices (ATD) that will be used for training credit for a certificate or rating.
- 5) Estimated date when operations are planned to begin.
- 6) Training courses to be offered and ratings requested with any training course(s).
- 7) Name and qualifications of a proposed chief instructor for each course, and name and qualifications of any assistant chief instructor(s), if applicable, for each course who will be employed by the proposed part 141 pilot school.
- 8) Training aids to be used, including computer programs.
- 9) Intent to use computers, tablets, or other electronic devices for course delivery or portions of course delivery, including the use of electronic recordkeeping and the use of tablets during the operation of an aircraft.
- 10) Recordkeeping methods, including electronic logbooks and other electronic data storage, and the proposed method of security with these devices.
- 11) Any intended use of tablets in order to provide students with copies of syllabi, to be used by students in flight courses, or for student recordkeeping.

12) Three separate, three-letter designators (in order of preference) for use in Letters of Authorization (LOA) and certificate management.

13) Proposed maintenance on the training aircraft, and if they will be contracting their maintenance out to another source.

R. FSDO Review of the LOI. The appropriate FSDO will review all submissions and provide feedback to the applicant within 30 days of receiving an LOI. The FSDO will determine if the LOI provides sufficient information for the certification process to continue. The preapplication phase ends and the formal application phase begins with receipt of the completed FAA Form 8420-8, Application for Pilot School Certification.

S. The Applicant's Responsibility. It is the applicant's responsibility to know, understand, and be prepared to comply with relevant parts of 14 CFR parts 61, 91, and 141. It is also the applicant's responsibility to contact the appropriate FSDO for guidance, ask questions if something is not understood, and devote the necessary time, financial, and human resources during the certification process. Ultimately, the applicant is responsible to its prospective students to deliver quality instruction based on a well-thought-out course of instruction.

T. The Appropriate FSDO's Responsibility. It is the appropriate FSDO's responsibility to devote the time and resources to new and existing part 141 pilot schools and explain and answer questions the applicant may have. The FSDO will keep the applicant apprised on the status of their application.

U. Joint Responsibility. The applicant and the assigned FSDO personnel on the certification team must work together in order for the application to result in the initial certification of a provisional pilot school. This joint responsibility does not end with the certification of a part 141 pilot school; rather, this joint responsibility is an ongoing process.

2-1070 FORMAL APPLICATION PHASE. The formal application phase begins when FAA Form 8420-8 is submitted to the appropriate FSDO.

A. Requested Part 141 Pilot School Training Courses and Ratings. Each part 141 pilot school training course must be listed on the FAA Form 8420-8 when the application is submitted. Because the process to certificate a provisional pilot school is complex, inspectors should suggest to the applicant they begin the certification process by requesting certification for one or two rating courses only. After the initial certification, the part 141 pilot schools are encouraged to add more ratings and courses to its certificate as needed.

B. Signatures on FAA Form 8420-8. All applications must be signed, either in ink on paper or electronically. FAA Form 8420-8 contains information on who is authorized to sign the form. This depends on whether the applicant is an individual, partnership, corporation, company, club, or association.

C. TCO and Syllabus. A TCO and syllabus are required for each course under a rating when the formal application is submitted. The TCO describes the content of a particular course by statement of objectives, description of teaching aids, definition of evaluative criteria, indication of desired outcomes, and duties and responsibilities of the chief instructor and other

personnel. The syllabus is an outline and summary of the topics to be covered in a training course.

D. Electronic Recordkeeping/Manual/Signature Systems. Handwritten signatures, paper records, and paper manuals continue to be acceptable. However, an applicant may use electronic submissions, including submitting an electronic application (FAA Form 8420-8), electronic TCOs, and electronic syllabi, and may maintain a system of electronic recordkeeping. During the preapplication phase, the prospective applicant must inform the FAA of its intent to utilize electronic submissions for all TCOs, syllabi, records, and applications. One electronic TCO submission is equal to two paper copy submissions. As outlined in Advisory Circular (AC) 120-78, Electronic Signatures, Electronic Recordkeeping, and Electronic Manuals, applicants and certificate holders intending to use electronic recordkeeping, TCOs, syllabi, applications, training records, or other documents must inform the appropriate FSDO prior to implementing an electronic system. To obtain authorization, the applicant must submit a letter to the appropriate FSDO describing the proposed computer and electronic system, including the proposed sections or revision to the part 141 pilot school's electronic recordkeeping, TCOs, syllabi, applications, and other documents.

NOTE: Authorization of electronic systems can be done after certification provided the guidance in this paragraph and the AC is followed.

E. The Formal Application Meeting. If the certification team convenes a formal application meeting, all Operations, Maintenance, and Avionics members of the team should be present.

F. Meeting Topics. The meeting should review, but not be limited to, the following:

- The application.
- The Schedule of Events (SOE), if applicable.
- TCO and syllabus.
- Personnel including the chief instructor and assistant chief instructor, aircraft, and facility requirements.
- Electronic recordkeeping, signature, and/or manual systems.
- How approvals and authorization will be issued by automated LOA through the Web-based Operations Safety System (WebOPSS).
- Training aircraft qualifications.
- What training aircraft will be used.
- Plan for the maintenance of training aircraft.

G. Application Denial. Within 30 days of a denial of an application, the appropriate FSDO must substantiate this denial with a letter to the applicant. The letter from the appropriate FSDO must state the reasons for the denial, and what actions are needed by the applicant in order to obtain a part 141 pilot or provisional pilot school authorization. An applicant may reapply at any time for a rating(s) in the same manner as prescribed for initial application. At the discretion of the appropriate FSDO, reinspection of previously approved areas may not be necessary.

2-1071 DOCUMENT COMPLIANCE PHASE. The applicant's proposed TCO and syllabus for each course, system for student record documentation, personnel records documentation, student safety guide, and training records of the chief instructor, assistant chief instructor, assigned instructors to a course, and check instructors, as well as other documents, are reviewed during the document compliance phase in depth to ensure compliance with part 141.

A. TCOs. TCOs must be submitted in duplicate. However, submission of TCOs and syllabi may be done electronically, with one electronic submission equal to two paper copies. During initial approval of the TCO, the inspector may request only one paper copy for review. Once the TCO has met all the requirements, the applicant submits the required two paper copies, or one electronic copy.

B. Commercially Produced Syllabi. Commercially produced syllabi should be submitted a minimum of 30 days before the expected training begins. Aviation safety inspectors (ASI) do not need to do any further review on these commercially produced syllabi as these syllabi have already been reviewed by the Airmen Certification and Training Branch and have received a letter indicating the syllabus has been found to meet the part 141 standards for that rating and course, provided the syllabus is not used in a § 141.57 special curriculum course. Refer to §§ 141.53 and 141.55. This letter from the Airmen Certification and Training Branch is submitted with the syllabus.

NOTE: When the part 141 pilot school uses a commercially developed syllabus, it must ensure the syllabus remains up-to-date. The part 141 pilot school can only use the FAA-approved version. In the event of a commercial syllabus revision, the part 141 pilot school must submit to the appropriate FSDO the updated syllabus for review and approval.

C. Special Curricula. A pilot school or provisional pilot school may apply for approval to conduct a special course of pilot training provided the training curriculum is not one that is prescribed in the appendices of part 141. A special course of airman training must contain features that can be expected to achieve a level of pilot competency equivalent in scope and depth to that achieved by the curriculum prescribed in the appendices of part 141 or the requirements of part 61. This includes any ground instruction required for a certificate or rating. A Designated Pilot Examiner (DPE) may only conduct a practical test for pilot certification provided the applicant has completed all of the pilot school/provisional pilot school's special curriculum training course requirements and has received a graduation certificate for the entire course of training. Provisional pilot schools and pilot schools may not issue a graduation certificate unless the entire course is completed. A pilot school may not apply for examining authority unless the training course meets the requirements set forth in the appropriate appendices of part 141. A pilot school may not apply for a training course with reduced training minimums under § 141.55(d) or (e) unless that pilot school holds a pilot school certificate and has held the rating and course for at least 24 calendar-months. A pilot school with a provisional pilot school certificate is not eligible for a course with reduced training minimums in this section. If a pilot school applies for a special course of airman training with reduced training times, that pilot school must comply with the provisions set forth in § 141.55(d) and (e). In accordance with § 141.55(d)(3) and (e)(4), a pilot school may not be approved for examining authority for a special course of airman training that has been approved for reduced training

times. A provisional pilot school may not apply for a special course of airman training with reduced training times under § 141.55(d) and (e).

1) Required Documentation. An original and one copy, or one electronic original, of a proposed special curriculum must be submitted along with a cover letter requesting FAA approval at least 60 days before the training is scheduled to begin. Approval or denial should be accomplished within 30 days, allowing the school sufficient time to develop a TCO based on the special curriculum.

2) Special Curriculum Graduation Certificate. The graduation certificate the pilot school or provisional pilot school issues will state that the student has completed the special curriculum course. Before the pilot or provisional pilot school issues the graduation certificate, the student must have completed the entire special curriculum course including all stage checks and the final end-of-course test. This must be explained to the pilot or provisional pilot school applicant who wishes to develop a special curriculum course.

3) Special Curriculum Approved. When a special curriculum is approved, each page of the original and office copies should be dated and signed by the Principal Operations Inspector (POI). The original paper copy, or the signed electronic copy, of the special curriculum should be returned to the school.

4) Special Curriculum Disapproved. When a special curriculum is disapproved, the original and copy, and any electronic submissions submitted to the FAA, should be returned to the applicant along with a letter clearly explaining why the materials were disapproved (see Figure 2-63, Sample Letter Disapproving Special Curricula or TCOs). A copy of the letter to the applicant is retained in the school's file at the appropriate FSDO. If major changes to a special curriculum or TCO are necessary, the letter to the school should clearly state the additional items that will be needed for review when resubmitted.

D. Internet-Based Training. An applicant for a part 141 pilot school certificate seeking to utilize internet-based training must comply with § 141.53(d), ensuring security, integrity, confidentiality, availability, access control, and identification/authentication of its internet-based training course.

1) A part 141 pilot school may use a commercially produced internet course if it meets all of the requirements of § 141.53.

2) The internet training provider (ITP) will receive a letter from the General Aviation and Commercial Division stating that its syllabus and content meets the requirements of part 141.

3) The applicant for a part 141 pilot school may receive a letter from the ITP stating that its course appears to meet the FAA's internet-based requirements and meets the syllabus requirements of part 141.

4) The ASI approving the TCO, which includes the syllabus, may use this letter in verifying the internet-based training meets the requirements of part 141. However, the

appropriate FSDO retains the final authority for the approval of this ITP for use in the school's TCO.

E. Training Agreements. A part 141 pilot school may elect to provide flight training to an institution of higher education. The training agreement could make the institution of higher education eligible under part 61, § 61.169 to receive an LOA for certifying its graduates for an ATP Certificate under the academic and aeronautical experience requirements in § 61.160. The training agreement under § 141.26(b) is a bridging document for a rating and course. This allows an institution of higher education to provide the aeronautical knowledge training in a rating and course and a flight training provider to provide the flight training in that exact same rating and course. Each provider in this training agreement should use the same syllabus.

F. Part 61 Amendments. If ground or flight time requirements are amended in part 61, at the time of renewal of the part 141 pilot school certificate, affected TCOs must be amended to meet these new training time requirements.

2-1072 DEMONSTRATION AND INSPECTION PHASE. During the demonstration and inspection phase, the applicant's facilities and equipment are inspected, and ASIs observe personnel in the performance of their duties. Emphasis in this phase is on compliance with the regulations and safe operating practices for a part 141 provisional pilot school.

A. Facilities and Training Aids. A pilot school is required to have certain facilities in order to obtain and maintain an FAA Form 8000-4. Included in these facilities are the business office and main base of operations, pilot briefing areas, aeronautical knowledge training facilities, use of airports, and satellite bases.

1) The applicant having ownership of the required facilities or by having a written agreement with the facility owners may show continuous use of facilities. A written agreement must state that the applicant has the required continuous use of the necessary facilities for at least 6 months from the date of the application for the initial certification or renewal of a school certificate.

2) Each pilot school or provisional pilot school is required to maintain a principal business office with a mailing address the same as that on the school certificate. The purpose of a principal business office is to provide a specific location for the required school files and records, and a location where the operation of school business may be conducted. This requirement should not be construed to mean that all school functions, such as scheduling flights and training functions, must be conducted at the principal business office.

a) While part 141 does not require that a business office be a room with four walls and a door, the regulation does prohibit the sharing of a single business office by more than one pilot school. Therefore, walls or partitions to ensure separation from another pilot school's activity should conspicuously isolate the business office.

b) The business office should be situated so the required school files and student training records are kept up-to-date and available to students and instructors alike. This serves the purpose of providing on-the-spot information regarding training progress and other business interests.

c) If the pilot school should choose to change the location of its business office or base of operations, the school is required to notify the appropriate FSDO in writing of the planned move at least 30 days prior to the change. Such written notice should be accompanied by a new application, FAA Form 8420-8, showing the change of address or the change in the base of operations as appropriate. In any case, the notice of a change of operating base must be accompanied by necessary amendments to approved TCOs.

3) A school is required to have continuous use of a pilot briefing area at each airport where training flights originate. This does not include airports used as destinations for cross-country flight training. The briefing area must meet the requirements of § 141.43. Pilots not participating in the school's training programs can use the briefing facilities, provided that orderly school functions are maintained. However, no other pilot school may use the area during the period it is to be used by the applicant. Briefing areas are subject to FSDO approval under the provisions of § 141.43.

a) To meet the requirements of § 141.43, the equipment should include a chalkboard and tables of adequate size to lay out aeronautical charts, and also support the use of computers and internet access.

b) If a school offers instrument or commercial pilot courses, it is required to have access to a Flight Service Station (FSS). A telephone, either by landline or other telephone communications such as the use of cell phones, is required in the briefing room.

c) To preclude a disruption of schedules due to excessive travel time and a lack of communications between the flight line, business office, and briefing area, the area should be located near enough to the airport where training flights originate.

4) The FAA recognizes that pilot training methods differ from other kinds of training. Pilot schools enroll students with widely varying backgrounds, goals, and varying degrees of motivations and aviation experience. For this reason, it is understandable that it is not always possible to schedule large classes for aeronautical knowledge training at one time. Individual instruction is often necessary for maximum benefit to a particular student. Therefore, it is anticipated that FAA-approved schools will use classrooms, small isolated rooms, training booths, or other areas with an instructor or a training aid, as appropriate. Each aeronautical knowledge training area is required to be heated, lighted, and ventilated to meet the applicable building code requirements for the area concerned. All ground instructional facilities used by the applicant must be shown to the appropriate FSDO to verify it meets the requirements of § 141.45.

5) A certificate holder may use training aids to improve communication between instructors and students.

a) Training aids are instructional aids defined by the National Education Association (NEA) as "devices that assist an instructor in the teaching and learning processes by presenting, supporting, or supplementing material, usually intermittently. They are not self-supporting." The key factor is that such aids support, supplement, or reinforce.

b) Identified in each course outline, training aids should be easily understood, readily visible, and compatible with the learning outcomes expected in the completion standards for the lesson. They must be accurate and appropriate to the course. The effectiveness of aids is judged by their organization, sequencing, pattern of logic, and their overall effectiveness when used in support of obtaining the objectives and standards prescribed by the training syllabus.

c) Recent years have seen an abundance of excellent new material and techniques in training aids. The aids present many advantages for the school. Each school must keep in mind the teaching goals to be achieved, including the continuous monitoring of student progress necessary to develop effectively the knowledge of each student according to the training syllabus. Aids do not replace the instructor. It is not expected that students be sent off alone to learn from a training aid.

d) Notwithstanding the complexity or design of a training aid, the chief instructor or an authorized, qualified representative must determine through personal review or testing that the standards for each lesson have been attained through use of the training aid. The purpose of this personal review or testing is to ensure that students meet the completion standards and understand missed questions if a knowledge test is given. Only through such evaluation can the instructor make a sound determination that the student should progress to the next lesson or that the student requires review of subjects or procedures previously covered. This helps in determining the effectiveness of the training aid.

6) An applicant for a pilot school or provisional pilot school certificate must show that it has the continuous use of each airport where training flights originate (airports where flights are dispatched or initiated, such as main or satellite bases).

a) Airports the applicant uses where flights originate must meet the requirements of § 141.38. Note that § 141.38(b) only applies for airports used for airplanes or gliders.

b) Landing area outline lights, water area boundary lights, or temporary lighting such as flare pots or deployed portable electric runway lighting systems do not meet the requirements of § 141.38(e).

c) Though the wind tee and tetrahedron may serve as landing direction or wind indicators, according to the FAA-H-8083-25, Pilot's Handbook of Aeronautical Knowledge, the Aeronautical Information Manual (AIM) cautions against using the tetrahedron as a wind indicator. The wind tee, under certain circumstances, may be either an active runway or wind indicator.

d) When required, the traffic direction indicator (refer to § 141.38(d)) must show the direction of traffic patterns for all runways regardless of landing or takeoff direction.

NOTE: When referring to pilot schools approved for LTA balloons, the term "airport" should be taken to mean launch site. An important training element in balloon training is proper site selection. Before the launch of a balloon, an instructor authorized by the school must approve the site. The specific equipment requirements of § 141.38 (i.e., runway lights, traffic direction indicators, and wind direction indicators) are inappropriate for LTA balloon operations. Wind direction

may be determined by means of a pilot balloon. The area downwind from the launch site should be free of obstructions for 100 feet for each knot of wind. For example, a 4-knot wind requires a 400-foot area free of obstruction downwind. Landing site selection will be determined by the pilot in command (PIC).

B. Satellite Bases. A pilot school may conduct aeronautical knowledge or flight training in an approved course of training at one or more satellite bases. A satellite base may be located outside of the United States, and the same procedures apply if the satellite school was located in the United States. The FSDO should coordinate this satellite base outside of the United States with the International Program Division to determine the associated fees in accordance with 14 CFR part 187. An assistant chief instructor must be designated for each satellite base. The airport, facilities, aircraft, and personnel used at the satellite base must meet the requirements of part 141, including approval of the satellite base and its facilities in the approved TCOs for courses provided at those locations. A copy of the school's Air Agency Certificate and a copy of the automated letter indicating the list of approved courses for the school must be displayed at the satellite base. The school's record in the enhanced Vital Information Database (eVID) will indicate the satellite base. The FSDO with oversight for the pilot school may coordinate satellite base inspections with another FSDO when necessary.

1) The ASI who has oversight for the part 141 school will contact the Aviation Data Branch for a separate and unique designator code for each satellite pilot school that is based on the primary school designator. This is for recordkeeping and to ensure the satellite school is associated with the primary base. However, the satellite school does not receive a separate Air Agency Certificate. The main base and each satellite school location should have their own entry in eVID.

2) The holder of a provisional pilot school certificate or pilot school certificate may conduct training at a location other than the primary address on record and would not be required to apply for a satellite base of operations, provided the secondary location is within the same metro area, town, or airport as the provisional pilot school or pilot school. The pilot school or provisional pilot school would need to utilize the same chief instructor, flight instructors, and TCO and syllabus on record for that course. Those training locations must be located within the same appropriate FSDO and must be sanctioned and approved by that same appropriate FSDO. If a valid reason exists, training may be conducted for periods up to 7 consecutive days at a satellite base, excluding any satellite base outside of the United States, without approval of the appropriate FSDO. For example, runways may be closed at the main operations base for maintenance, or other activities may be underway on the airport. The appropriate FSDO must be notified in writing if training is conducted at a satellite base for more than 7 consecutive days.

3) When the appropriate FSDO is notified that a school will conduct training at an unapproved satellite base for more than 7 consecutive days, an operations inspector should determine if the operations are of a temporary nature or if they will involve extended use of the unapproved base. If, in the opinion of the operations inspector, temporary use of the unapproved base will not derogate safety or the quality of training, temporary operations at that base may be authorized for a period of time not to exceed 30 days.

- 4) If operations at the unapproved satellite base will exceed a period of 30 days, the school should apply to the appropriate FSDO for the approval of a satellite base on FAA Form 8420-8. Along with the application, two copies of the appropriate amendments for each approved training course to be given at the satellite base must be submitted.
- 5) Each satellite base that approval is requested for is inspected to ensure that each meets the requirements of part 141 and training, as described in each approved course of training, can be effectively accomplished. (See Volume 6, Chapter 7, Section 1, Conduct Facility Inspection of a Part 141 Pilot School.)
- 6) If a satellite base is located in an area under the jurisdiction of another FSDO, the FSDOs involved must coordinate directly with each other.
- 7) If the applicant intends to conduct training at a satellite base located in another FSDO's area, the FSDO where the applicant's principal business office and main operating base is located is responsible for inspection and approval of the satellite base.
 - a) The appropriate FSDO may request assistance directly to the satellite or geographic FSDO, manager to manager. (In some FSDOs, the geographic unit rather than a satellite FSDO may be responsible for surveillance and inspection.)
 - b) If a satellite or geographic FSDO determines that it cannot provide the requested assistance (because of inspector workload or other reasons), the appropriate FSDO needs to request assistance from their respective division manager.
 - c) Coordination between all FSDOs where the school maintains a satellite base must be accomplished before issuance of the FAA Form 8000-4.
- 8) The inspector completing FAA Form 8420-8, as shown in Figure 2-64, Sample FAA Form 8420-8, Application for Pilot School Certification, Filled Out for Approval of Satellite Base, accomplishes approval of the satellite base. One copy of the form may be returned to the applicant, and one copy is placed in the school files at the FSDO. Amendments to each course of training to be given at the satellite base are approved individually, as appropriate.
- 9) When an application is disapproved, the applicant should be notified in writing (see Figure 2-65, Sample Letter Denying Satellite Base). This notification should include all of the reasons why the application was disapproved.
- 10) When an operator plans to conduct training at a location other than the main base of operations for more than 7 consecutive days, they must notify the appropriate FSDO. The new training location is not considered a separate school operating under the main base Operating Certificate number designation; a separate Operating Certificate is not issued. Appropriate FSDOs should coordinate efforts to ensure that standardized certification of applicants within their FSDO area occurs and that the necessary work program functions are accomplished.

C. Aircraft, FFSs, FTDs, and ATDs (§§ 141.39 and 141.41). Each aircraft used for pilot training by a school located in the United States is required to be a civil aircraft of U.S. registry. If the school's training facility is located outside the United States and the training

will be conducted outside the United States, the aircraft may be a civil aircraft of foreign registry. Training aircraft must have a valid Standard Airworthiness Certificate, Special Airworthiness Certificate in the primary category, or a Special Airworthiness Certificate in the light-sport category. Aircraft used for a course of training specific to a special operation such as agricultural aircraft operations, external-load operations, and similar aerial work operations (e.g., banner towing and skywriting) may be certificated in the restricted category (part 91, § 91.313 and 14 CFR part 21, § 21.25(b)). No other Special Airworthiness Certificate is acceptable. If the school's training facility is located outside the United States and the training will be conducted outside the United States, the aircraft must have a standard or primary airworthiness certificate or an equivalent certification from the foreign aviation authority. If an FAA-qualified FFS or FTD or an FAA-authorized ATD is used in an approved training course, the details of its utilization should be clearly stated in the training syllabus and the learning objectives should be well defined.

- 1) A valid FAA Statement of Qualification (SOQ) (for FFS or FTD) or LOA (for ATD) must accompany each simulation trainer or FTD.
- 2) Each aircraft used by a school for flight training and solo flights must comply with § 141.39 and must be inspected and maintained in accordance with the requirements for aircraft operated for hire under part 91 subpart E. If the school's training facility is located outside the United States, and the training will be conducted outside the United States, the aircraft may meet equivalent maintenance and inspection requirements from the foreign aviation authority.
 - a) This requires aircraft used in an approved course of training to have 100-hour inspections and annual inspections or to be maintained following a procedure prescribed under § 91.409(c).
 - b) It should be clearly understood that these inspection requirements include aircraft used for dual instruction, solo, and PIC flights.
 - c) Aircraft to be used by pilot schools will be inspected by an Airworthiness inspector.
- 3) When a student enrolled in an approved school provides an aircraft for personal use in an approved course, that aircraft must meet the requirements of the training aircraft described in the appropriate TCO. In addition, that aircraft must meet the same inspection requirements as aircraft operated by the approved school.
- 4) Aircraft used for instrument training should be equipped as follows to meet the requirements of part 141:
 - a) If the approved training syllabus requires flights under instrument flight rules (IFR), the aircraft used must be one in which instrument flight is authorized by its operating limitations and by its equipment.

b) If the approved training syllabus requires only simulated IFR operations, the aircraft must be equipped and maintained for IFR operations. However, IFR operations need not be authorized by its operating limitations.

c) An aircraft not completely equipped for IFR operations may be used for instruction in the control and maneuvering of an aircraft by reference to instruments if it is approved in the TCO. For example, an airplane need only be equipped with appropriate flight instruments needed for the basic instrument portion of a course.

5) The commercial pilot certification course (airplane), set forth in part 141 appendix D, requires flight instruction in an airplane with retractable gear, flaps, and controllable propeller.

a) Single or multiengine airplanes may be used to fulfill this requirement. Use of an appropriately equipped multiengine airplane to meet the complex airplane requirements for a Commercial Single-Engine Airplane Certificate does not result in the issuance of a multiengine rating.

b) If a school applies for a commercial pilot certification course (airplanes) with a seaplane class rating (using seaplanes for the entire course), a special curriculum should be submitted under § 141.57 that includes the general requirements of part 141 appendix D, Commercial Pilot Certification Course. The complex airplane used in such a course must have flaps, a controllable propeller, and floats. The use of an amphibian airplane in a commercial pilot certification or course could qualify a student for both a land and sea class rating, provided the TCO was so approved.

6) A variety of airplanes are used in pilot training. Some are uncomplicated while others are more complicated, and their checklists vary accordingly. The requirements for a checklist defined in the terms of “pretakeoff” and “prelanding” in § 141.75(a) are broad and allow less complicated aircraft to be equipped with relatively simple checklists. The FAA expects (because of good operating practices) that schools should expand checklists for aircraft that are more complicated.

7) Under § 141.75, when the manufacturer provides a pilot’s operating handbook (POH) or Aircraft Flight Manual (AFM), it (or a copy) must be carried aboard the aircraft. The primary purpose of carrying the handbook (or a copy) aboard the aircraft is to provide the pilot with information such as performance data, servicing instructions, and Weight and Balance (W&B) information. Some handbooks contain checklists that may be useful in developing a standard checklist. They should be available to the pilot during emergency procedures training or an actual emergency, particularly when there is only one pilot aboard the aircraft.

8) The training syllabus should clearly state the full extent of how that approved training course will use an ATD, FTD, and/or FFS. The objectives for the use of simulation training should be well-defined.

9) Section 141.41(a) prescribes the FFS and FTD requirements when used to obtain flight training credit allowances in an approved pilot training course curriculum.

Section 141.41(b) provides the criteria for ATDs used to obtain flight training credit in an approved pilot training course curriculum.

a) Part 141 provides maximum simulation training credits for the minimum experience requirements for a certificate or rating. The provisions in part 141 allow a certain percentage of training credit for total instruction requirements in FFS, FTD, or ATD.

b) Discretion must be used when approving a training syllabus that substitutes instruction in an FTD or FFS for the flight time required in a complex airplane. Any use of an FFS or FTD in lieu of flight time in a complex airplane must be justified with clearly stated objectives in the training syllabus, that are applicable to the skills required to safely operate a complex airplane. Approval of the TCO must be based on the ability of the FFS or FTD to provide effective training for a complex airplane.

c) Guidance from the National Simulator Program Branch will be necessary to qualify a school's FFS or FTD. An ATD requires an LOA issued by the General Aviation and Commercial Division.

d) In addition to the permitted use of FFSs, FTDs, and ATDs that are covered in the appendices of part 141, § 61.4 also facilitates the approval and use of these trainers.

e) A pilot school may submit a course curriculum that exceeds the permitted time credits for ATDs, FTDs, or FFSs. In general, a training provider should not be discouraged from providing additional training in these devices. However, when a TCO contains time that exceeds the maximum credit allowed for an ATD, FTD, and/or FFS, only the time permitted by the appropriate appendix to part 141 or by the device's LOA/approval/qualification, as appropriate, can be credited to meet the minimum aeronautical experience requirements for that certificate or rating. The FAA LOA may not exceed a regulatory limitation. For example, if the aeronautical experience requirements permit 5 hours in a training device to be credited, the device's LOA/approval/qualification cannot be used to authorize crediting of more than 5 hours toward the minimum aeronautical experience requirements.

D. Chief Instructor and Assistant Chief Instructor Tests. For designation as chief instructor or an assistant chief instructor, a person must hold the appropriate certificates and ratings, including medical certification, and must meet the PIC requirements of § 61.57. During the demonstration phase, the chief instructor (and assistant chief, if one is being designated) must pass both a knowledge test and a proficiency test, as applicable. The knowledge test covers teaching methods, applicable provisions to the AIM, applicable provisions of parts 61, 91, and 141, and the objectives and approved course completion standards appropriate to the course. The proficiency test covers instructional skills and their ability to train students on the flight procedures and maneuvers appropriate to the applicable course. Both the chief and assistant chief instructor tests are administered by an FAA inspector. The school should keep a record of these tests. Volume 5, Chapter 12, Section 1, Conduct a Chief/Assistant Chief Instructor Practical Test for 14 CFR Part 141 Pilot School, provides detailed information on conducting these proficiency tests.

E. Check Instructor Tests. For designation as a check instructor for a part 141 course, a person must hold the appropriate certificates and ratings, including medical certification, and must meet the PIC requirements of § 61.57. During the demonstration phase, a check instructor must pass both a knowledge and proficiency test on those items found in § 141.37 given by the chief instructor or assistant chief instructor. The person who meets the eligibility requirements must be designated in writing by the chief instructor to conduct student stage checks, end of course tests, and instructor proficiency checks. The appropriate FSDO must approve the check instructor.

F. Flight Instructor Responsibilities. Part 141 requires all flight instructors employed by a school to be qualified to teach each course of training they are assigned. Certain knowledge and proficiency tests, to be accomplished before being assigned to an approved course of training, are also prescribed. If the chief instructor or assistant chief instructor also flight instructs in the course they are assigned to, they must also comply with this section.

1) The instructor must satisfactorily accomplish a proficiency check in each M/M of aircraft used in that training course in which the person provides training (e.g., Cessna 150 and Cessna 172) before giving any flight instruction in the particular aircraft.

a) This proficiency check is given to the instructor by the designated chief instructor, assistant chief instructor, or check instructor.

b) The instructor must accomplish a recurrent proficiency check in one of the aircraft the instructor trains students every 12 months thereafter for each course of training.

c) The pilot school must maintain a record of these proficiency checks to show compliance with § 141.79(d).

2) The chief instructor, assistant chief instructor, or check instructor must brief all instructors teaching that course on the objectives and standards of the course.

a) The pilot school must maintain a record verifying this briefing to show compliance with §§ 141.79(d) and 141.81(c).

b) At any time, an inspector may ask an instructor to explain the objectives and standards of an approved course.

3) The instructor must maintain records of instructor briefings and instructor practical tests in either a logbook or in the permanent school records at the home base of operations.

4) Student pilots cannot be authorized to start a solo practice flight from an airport until an authorized flight instructor, who is present at the airport, has approved the flight. Solo cross-country flights, when properly approved by the school's certificated instructor from the originating airport, are considered to have approval for the entire flight (§ 141.79(b)).

a) If unexpected weather or mechanical problems delay a student en route or a student intends to remain overnight, the school should either:

- Arrange for another instructor based at the point of delay to dispatch the flight, or
- Have a school instructor dispatch the flight by telephone.

b) Cross-country flights should be made to specific airports that the school determines are suitable. The operator may wish to provide students with a list of these suitable airports or include the list in the appropriate TCO.

5) All certificated instructors must meet the FAA Aviation English Language Standard (AELS) as described in AC 60-28, FAA English Language Standard for an FAA Certificate Issued Under 14 CFR Parts 61, 63, 65, and 107.

6) Instructors who work for a part 141 pilot school must be able to assess if an applicant for a certificate or rating, or holder of an FAA certificate, does or does not meet the FAA regulatory English language eligibility requirements for his or her respective part 61 FAA certificate. If the enrollee/certificate holder's ability to meet the FAA AELS is in question, the instructor must refer that individual to the appropriate FSDO so that an ASI can make an AELS determination in accordance with Volume 5, Chapter 14, Section 1. This responsibility also applies to a chief instructor, any assistant chief instructor, and any Airman Certification Representative (ACR) associated with the pilot school.

G. Other School Personnel.

1) Section 141.33 states that an applicant for a pilot school or provisional pilot school certificate must show that there are adequate personnel and authorized instructors, including a chief instructor, for each course of training. All instructors (flight or ground) must be qualified and competent to perform their assigned duties.

2) In addition, each dispatcher, aircraft handler, line crewman, and serviceman to be used must have been instructed in the procedures and responsibilities of employment. The inspector should recommend that the pilot school keep a record of this instruction in the employee's personnel file.

H. Terminating the Demonstration and Inspection Phase. When all demonstrations and inspections are complete and any demonstrations or inspections are considered unsatisfactory, the applicant should be expeditiously advised in writing of corrective actions needed. The appropriate demonstration or inspection will be rescheduled accordingly.

2-1073 CERTIFICATION PHASE.

A. Completion of Reports. The certification team will confirm that all required items have been reviewed, inspected, and approved. Once all items have been addressed as satisfactory or not applicable, the certification team can complete the certification process. The next step is for the certification team to complete all applicable documents, prepare the certification file, and send the entire file to FSDO management for review and signature.

B. Ratings. FAA Form 8000-4 must list the various pilot school ratings for which a pilot school/provisional pilot school qualifies under §§ 141.11 and 141.57, if applicable. These ratings

do not specifically address each approved course of training that a school may be authorized to give. Under the broad listing of pilot school ratings found in §§ 141.11 and 141.57, if applicable, a school could be authorized to conduct nearly a hundred different courses.

C. Approved Courses. The certification team issues a list of approved courses of training, identifying each authorized course by its title, along with the FAA Form 8000-4. All courses must conform to the ratings listed in § 141.11 and/or § 141.57. Automated LOAs through WebOPSS will be issued instead of individual letters written by the appropriate FSDO to the applicant. See Volume 3, Chapter 18, Section 14, Parts A, B, and D Letters of Authorization for Part 141 Pilot Schools.

NOTE: If a list of approved courses is amended, the original is returned to the appropriate FSDO. The list remains in effect until it is amended or the school certificate is expired, surrendered, suspended, or revoked.

2-1074 SCHOOL ENROLLMENT, GRADUATION, AND TRAINING RECORDS.

A. Enrollment. When a certificate holder enrolls or reenrolls a student in an approved course of training, § 141.93 requires the student be furnished the following information and materials:

- 1) A certificate of enrollment containing the name of the course the student is enrolled in and the date of enrollment.
- 2) A copy of the training syllabus required under § 141.55(c)(7).
- 3) A copy of the safety procedures and practices developed by the school, such as procedures for the use of training aids, off-limit areas, handling of aircraft, parking instructions, and other safety instructions that the school deems necessary. These safety procedures must include the following:
 - a) The weather minimums required for dispatching dual and solo flights. For example, minimum ceiling visibility and wind velocities for local flights and specific weather minimums for cross-country flights.
 - b) The procedures for starting and taxiing aircraft on the ramp.
 - c) The precautions and procedures for aircraft fire.
 - d) The redispach procedures after unplanned landings on and off airports. This should include emergency security of the aircraft and a list of telephone numbers of persons to contact.
 - e) The procedures for listing aircraft discrepancies and how corrective action is taken, including the importance of not using an aircraft with a listed discrepancy until a properly qualified person determines its airworthiness.
 - f) The securing of aircraft when not in use.

- g) The fuel reserves necessary for local and cross-country flights.
- h) The avoidance of other aircraft in flight and on the ground.
- i) The minimum altitude limitations certain minimum altitudes may be specified for teaching and practicing stalls or other maneuvers.
- j) The instructions concerning simulated forced landings. Instructions should be clear on simulated emergency landings with respect to engine cooling down during prolonged glides, proper engine leaning, proper procedures for setting zero thrust, engine response with rapid throttle application, and a specific minimum altitude for terminating simulated emergency landings and other instructions deemed necessary by the school.
- k) The assigned practice areas, including descriptions and diagrams of the areas and special instructions with respect to how to operate in them, how to get to them, and minimum altitudes en route.
- l) Any instructions or guidance that the school believes necessary to provide the highest standards of safety and operational control expected of an FAA-approved school.

B. Student Graduation Certificate. A certificate holder must issue a graduation certificate to each student who completes its approved course of training. The certificate holder may not issue a graduation certificate to a student, or recommend a student for a pilot certificate or rating, unless the student has completed all of the training requirements of that course. Section 61.71 states that a person who graduates from an approved training program under part 141 is considered to have met the applicable aeronautical experience, aeronautical knowledge, and areas of operation requirements of part 61, if that person presents the graduation certificate and passes the required practical test as appropriate within the 60-day period after the date of graduation. Should an applicant not accomplish pilot certification within 60 days of the date of graduation certificate, additional training and an additional final progress check may be accomplished, facilitating the issuance of a new graduation certificate, unless expressly prohibited by the TCO.

C. Combined Course. Some TCOs may encompass “combined courses” such as a combined Private Certificate and Instrument Rating under part 141 appendix M, or a combined instrument rating and commercial certificate using special curriculum course approval under § 141.57. Part 141 appendix D, paragraph 2(b)(2) for the commercial pilot certification course also describes an allowance to be concurrently enrolled in an instrument rating course. In these cases, a single graduation certificate is issued at the completion of the entire course. However, as with conventional single-course TCOs, should an applicant not accomplish pilot certification within 60 days of the date of graduation certificate, additional training and an additional final progress check may be accomplished, facilitating the issuance of an updated graduation certificate, unless expressly prohibited by the TCO.

D. Training Records. Each pilot school and provisional pilot school must keep accurate and current records of each student’s participation and accomplishments in an approved course.

- 1) A student's personal logbook is not considered an acceptable record under § 141.101.
- 2) For each student, the training record should include:
 - The date of the student's enrollment.
 - A chronology of the student's attendance, subjects, and flights.
 - The names and grades of any tests taken.
 - The date of graduation, termination of training, or transfer.
- 3) The record should also show the credit allowed for a student transferring from another school, if applicable.
- 4) Whenever a student graduates, terminates training, or transfers, the chief instructor must certify the record.
- 5) Pilot schools must retain each student's record for at least 1 year from the date the student graduates, terminates a course, or transfers to another school.
- 6) On a student's request, a pilot school must make a copy of a student's record available to the student. The pilot school must also permit the FAA to view any or all student records upon request.

2-1075 RENEWAL, AMENDMENT, AND CANCELLATION.

A. Renewal. A pilot school or provisional pilot school certificate, and any associated ratings or examining authority on that certificate, expires at the end of the 24th month after the month it was issued. A provisional pilot school may apply for a pilot school certificate once they meet all of the requirements found in § 141.5, including § 141.5(d) and (e), and need not wait 24 months to apply for a pilot school certificate. A pilot school may not apply for examining authority until they have held the rating for at least 24 consecutive months preceding the month of application for examining authority. Note that the time holding the rating as provisional pilot school counts towards the 24 consecutive months. The pilot school may not apply for reduced ground and or flight minimums until they have held their pilot school certificate for a period of at least 24 consecutive calendar-months. The pilot school may not apply for examining authority if the course is one with reduced ground and or flight minimums.

NOTE: Under § 141.83, the pilot school must maintain the quality of training. Failure to do so may result in suspension or revocation of their pilot school certificate.

- 1) Application for renewal of an FAA Form 8000-4 must be made at least 30 days before the certificate expires.
 - a) Application is made by submitting two copies of FAA Form 8420-8, completed as shown in Figure 2-66, Sample FAA Form 8420-8, Application for Pilot School Certification, Filled Out for Renewal.

b) A school may apply for the renewal of any or all of the courses (TCOs) it holds, and/or it may apply for the addition of new courses.

c) Examining authority should be renewed at the same time the school certificate is renewed.

d) An institution of higher education that holds a valid LOA issued by the General Aviation and Commercial Division, that gives it the authority to certify its graduates meet the reduced aeronautical experience requirements for an ATP Certificate, will have the LOA revalidated for content and currency every 2 years.

2) A school must meet the same requirements for renewal as for original certification. However, there is no requirement for a pilot school to meet the quantity of training under § 141.5(e) when it renews its Air Agency Certificate. Therefore, upon the receipt of an application for the renewal of a school certificate, the appropriate FSDO should conduct the same evaluation of qualifications and inspection of facilities as required for original certification. However, if the FSDO is very familiar with the school's operation or has recently inspected it, there may be no need for an extensive reinspection or for reexamination of instructors. The FSDO always has the option of a full inspection.

3) When all requirements are met, a new FAA Form 8000-4 is issued and is valid for additional 24 calendar-months. The original certificate number is reissued and the provisional pilot school's eVID record is appropriately updated.

a) Renewal of pilot school certificates and ratings is discussed in § 141.27. If a pilot school does not meet the recent quality of training requirements of § 141.5(d), but otherwise meets the requirements of § 141.7 at the time of renewal, the FSDO may issue a provisional pilot school certificate and the eVID would be updated to reflect the change. However, a school with examining authority and/or reduced time courses loses examining authority and/or reduced time courses when downgraded to a provisional school.

b) Section 141.5(d) states that, in order to issue a pilot school certificate, the school must have established a pass rate of 80 or higher for all: "(1) Knowledge tests leading to a certificate or rating; (2) Practical tests leading to a certificate or rating; (3) End-of-course tests for an approved training course specified in appendix K of this part; and (4) End-of-course tests for special curricula courses approved under § 141.57." A pilot school only needs to maintain a passing rate of 80 percent, and comply with §§ 141.27 and 141.83 when renewing a pilot school certificate.

NOTE: A pilot school applying for renewal of their current Air Agency Certificate need not meet the requirements of § 141.5(e) that describe graduating at least 10 different people from the school's approved training courses. This requirement is only applicable to a "provisional" pilot school qualifying for an initial (or first-time) pilot school certificate. Existing pilot school certificate renewals only need to meet the renewal criteria requirements described in §§ 141.27(a)(2) and 141.83.

c) If, after another renewal period (24 calendar-months), the school that is now a provisional pilot school does not meet the quality and quantity requirements of § 141.5(d) and/or (e), the school must wait a period of 180 days before reapplying for certification as a provisional school. All training conducted during that 180 days must meet the requirements of part 61, including passing knowledge and practical tests for certificates or ratings.

NOTE: In the event a provisional pilot school associated with an institution of higher education does not meet the quality requirements specified in § 141.5(d) at the time of certification expiration, the POI will notify the General Aviation and Commercial Division to address, on a case-by-case basis, students enrolled in the curriculum that may qualify them for an ATP Certificate with reduced aeronautical experience. Refer to § 61.160.

d) If renewal of a rating is denied or a course of training does not meet the appropriate requirements, the applicant is notified in writing of the reasons for the denial of the rating.

e) In addition, the school must be advised, in writing, that continued training in any course of training in question cannot be used to meet part 141 requirements until appropriate changes are made and the courses again meet the requirements of part 141 (see Figure 2-67, Sample Notice of Course Cancellation).

4) A new list of approved courses should be issued with the same expiration date as the Air Agency Certificate (FAA Form 8000-4).

5) Any change in the overall status of the certificate for a provisional pilot school or pilot school (e.g., the need to reissue a provisional pilot school certificate) associated with an institution of higher education that has the authority to certify its graduates are eligible for a reduced aeronautical experience ATP Certificate, must be conveyed to the General Aviation and Commercial Division to determine if the school's status change affects the authority of the institution of higher education.

B. Amendment. Application for amendment of an FAA Form 8000-4 is made to the appropriate FSDO. The FAA can also initiate the amendment under Title 49 of the United States Code (49 U.S.C.) and 14 CFR part 13.

1) Application for the approval of a course of training that results in the addition of a rating to an FAA Form 8000-4 is made by submitting two copies of FAA Form 8420-8 with the amendment checked (as shown in Figure 2-68, Sample FAA Form 8420-8, Application for Pilot School Certification, Filled Out for Amendment), two copies of the course of training, and a cover letter requesting approval of the course.

a) After review of the course, an inspection of the school's facilities and personnel should be made, as necessary, to ensure that training can be conducted in accordance with the proposed course, before it is approved.

b) If the school inspection is satisfactory, a new FAA Form 8000-4 bearing the new ratings will be issued, along with an amended list of approved courses. The amended certificate should bear the original number, the original expiration date, and the reissue date.

2) An application for the deletion of a rating from an FAA Form 8000-4 may be accepted in the form of a letter from the certificate holder.

a) Such a letter must be signed by a person authorized to sign for the school, such as the person who signed the original application or a person in a similar position in the school.

b) No inspection is required for deletion of a rating.

c) The FSDO issues a new certificate bearing the original number, the original expiration date, and a reissue date. The deleted rating is omitted from the certificate and a new list of approved courses is issued. The old certificate should be retained in the FSDO school file for 2 years.

3) A change in the ownership of a pilot school does not terminate that certificate if the new owner applies for an appropriate amendment to the certificate by submitting two copies of FAA Form 8420-8 within 30 days after the date that the change in ownership occurs. The new ownership may not involve a change in the facilities, instructor personnel, or training course. There is no prohibition for a non-U.S. citizen or company to own a part 141 provisional pilot school or pilot school.

4) A change of ownership involving a change in the school facilities, instructor personnel, or training courses terminates the school certificate. The school may be issued another certificate when it demonstrates that it meets all the requirements for original certification.

5) When a certificated school changes its name only, and the name change involves no change in ownership, facilities, instructor personnel, or training courses, a new certificate is issued in the new name, bearing the same certificate number, ratings, and original expiration date. An inspection is not required under such circumstances.

6) An application for an amendment to a previously approved special curriculum or TCO is made by submitting two copies of the curriculum or one electronic copy of the outline pages to be amended to the appropriate FSDO.

a) Each proposed amendment should be accompanied by a cover letter explaining the basic changes and the intent, and requesting FAA approval.

b) Approval or disapproval is accomplished in the same manner as the original approval or disapproval.

c) If a certificate amendment requires an inspection of the aircraft to be used, all specialists should sign FAA Form 8420-8 under the "Recommendations of Inspector(s)" block.

7) Any changes to the pilot school that would cause the certificate holder to no longer be able to offer training for the instrument-airplane rating or the Commercial Pilot Certificate in the airplane category, if the school holds institutional authority and a training agreement under § 141.26, must be conveyed to the General Aviation and Commercial Division for any additional action.

C. Cancellation. An FAA Form 8000-4 can be canceled by the school or by the FSDO as the result of actions taken under 49 U.S.C. and part 13.

1) The appropriate FSDO may suspend or revoke FAA Form 8000-4 on any grounds that would be a cause for denying an application for the original certificate. In such a case, the certificate must be surrendered to the FAA in a manner prescribed by the Regional Counsel.

2) The holder of an FAA Form 8000-4 may request cancellation of the certificate or any rating at any time. The request should be submitted in writing to the appropriate FSDO, accompanied by the FAA Form 8000-4 to be canceled. The request must be signed by the person or persons authorized to sign for the certificate holder.

a) If there is no violation action pending or contemplated against the school, the FSDO may accept the certificate for cancellation.

b) If enforcement action is pending or contemplated, the applicant should be advised that acceptance for cancellation must await the decision of the Regional Counsel and the school will be notified of the action taken. The school's request should then be forwarded to the Regional Counsel's office with a summary of the circumstances under which it was submitted. Cancellation should be effective only after clearance is received from that office.

3) If a request for the surrender of a rating or ratings on an FAA Form 8000-4 is accepted, a new certificate should be issued bearing the ratings that remain valid and the original expiration date.

4) A cancellation, suspension, or revocation of FAA Form 8000-4 issued to a pilot school associated with an institution of higher education that has the authority to certify its graduates are eligible for a reduced aeronautical experience ATP Certificate must be conveyed to the General Aviation and Commercial Division.

2-1076 PREREQUISITES AND COORDINATION REQUIREMENTS.

A. Prerequisites. Requires knowledge of the regulatory requirements of part 141 and FAA policies, and qualification as an ASI (Operations).

B. Coordination. Requires coordination with the airworthiness unit, the Aviation Data Branch, the Airman Testing Branch, and possibly the National Simulator Program Branch.

2-1077 REFERENCES, FORMS, AND JOB AIDS.**A. References (current editions):**

- Title 14 CFR Parts 1, 11, 60, 61, 91, 97, and 141.
- AC 61-136, FAA Approval of Aviation Training Devices and Their Use for Training and Experience.
- AC 61-138, Airline Transport Pilot Certification Training Program.
- AC 61-139, Institution of Higher Education's Application for Authority to Certify its Graduates for an Airline Transport Pilot Certificate with Reduced Aeronautical Experience.
- AC 120-40, Airplane Simulator Qualification.
- AC 120-78, Electronic Signatures, Electronic Recordkeeping, and Electronic Manuals.
- AC 141-1, Part 141 Pilot Schools, Application, Certification, and Compliance.
- Volume 2, Chapter 9, Section 2, Introduction to Part 141 Airworthiness Related Tasks.
- Volume 2, Chapter 9, Section 3, Evaluate Airworthiness Issues of Part 141 Pilot School.

B. Forms:

- FAA Form 8000-4, Air Agency Certificate (Figure 2-62).
- FAA Form 8420-8, Application for Pilot School Certification (see Figures 2-64, 2-66, 2-68, and 2-69).

C. Job Aids:

- Sample letters and figures.
- Job Task Analyses (JTA) 3.4.7, 3.4.9, 3.4.11, 3.4.13, 3.4.17, 3.4.18, 3.4.20, 3.4.21, 3.4.22, and 3.4.23.

2-1078 PREAPPLICATION PHASE PROCEDURES.**A. Initial Inquiry.** Upon initial inquiry from an applicant, determine the following:

- The identity of applicant and address of the principal base of operations,
- Any intended satellite base,
- The type of ownership (private, corporate, etc.),
- The proposed curriculum,
- The types of aircraft,
- The intended chief instructor and that instructor's experience level,
- The possible use of ATDs,
- The possible use of commercially produced syllabi,

- If the operator intends to request examining authority for renewing or amending only, and
- If the operator intends to use contract training.

B. Applicant Resources. Ensure the applicant has current copies of parts 61, 91, and 141, and AC 141-1. If there is any question, explain:

- The general applicability and definition of terms.
- The certification requirements.
- The operating rules of part 141.
- The required records and reports.

C. Open a PTRS Record. PTRS code 1240 cannot be opened and saved unless a designator for the school application has been obtained from the Aviation Data Branch and that designator placed in the appropriate box in the PTRS form. (See Volume 2, Chapter 1, Section 3 for more details on obtaining a designator.) The letter “P” is used as the alpha suffix element for the temporary designation of an applicant who has stated intent to apply for an FAA certificate. Once PTRS code 1240 is opened, update this PTRS record as the certification progresses. Once the Air Agency Certificate is used, change the designator last letter to an “S”, which means the applicant has received certification, make a notation in the PTRS and close out the PTRS code 1240.

D. LOI. Request an LOI from the applicant. (See subparagraph 2-1069Q for content of an LOI and Figure 2-70, Sample Letter of Intent.)

E. FSDO Review of LOI. Within 30 days of the FAA’s receipt of an LOI, review it to determine that it provides sufficient information for the certification process to continue.

F. Application. Based on the review of the LOI, if the applicant appears to meet the basic eligibility requirements, give the applicant at least three copies of FAA Form 8420-8.

1) Discuss how to complete these forms. Advise the applicant to review AC 141-1 and the regulations before completing and returning the application to the appropriate FSDO.

2) Advise the applicant to submit the original and copies with original signatures.

3) Explain the certification process to the applicant, including the requirements for:

- The Preapplication Phase,
- The Formal Application Phase,
- The Document Compliance Phase,
- The Demonstration and Inspection Phase, and
- The Certification Phase.

G. Preapplication Meeting.

1) The applicant may contact the appropriate FSDO and make an appointment to meet with a manager. The appropriate FSDO manager and assigned inspector will outline the part 141 certification requirements, aircraft requirements, and FAA policy and procedures.

2) Determine if a preapplication meeting is necessary, based on the following considerations about the applicant:

- a) Any previous part 141 operating experience;
- b) The size and scope of operation;
- c) The area of operation; and
- d) The applicant's apparent ability to comply with requirements.

3) If a preapplication meeting is not necessary, schedule a date and time for a formal application meeting.

4) If a preapplication meeting is necessary, schedule a date and time. At the meeting, discuss the following:

- The area of operation (primary airport and any satellite bases);
- The operation as an individual, corporation, or partnership;
- Any previous experience with part 141 operations;
- The categories and classes of aircraft to be used in training courses;
- The number and types of training courses to be offered;
- The possible need for any waivers or exemptions;
- The qualifications and experience of instructors;
- The applicability of parts 61, 91, and 141;
- AC 141-1;
- Any previous or pending enforcement actions against the applicant or proposed personnel;
- The type of training aircraft, quantity of each type of aircraft, and if available, aircraft registration; and
- Who will perform maintenance on the proposed training aircraft, and if they will be contracting their maintenance out to another source.

H. Establish a FSDO Working File. This file will form the basis for the eventual operator file if certification is successful. Place any correspondence, documents, etc., in this file. Using office procedures, conduct an Enforcement Information System (EIS)/Accident Incident Data System (AIDS) check on the chief instructor applicant or assistant chief instructor applicant.

1) If the applicant has no previous enforcement or accident/incident history, place the EIS/AIDS report in the FSDO file.

2) If the EIS/AIDS report shows a prior enforcement or accident/incident, evaluate the results to determine if the problems were related to flight training. If the problems do relate to flight training, ensure the applicant is able to meet the requirements for designation as a chief instructor or assistant chief instructor.

I. Terminating the Preapplication Phase. This ends the preapplication phase. The formal application phase begins with the receipt of the completed application form.

2-1079 FORMAL APPLICATION PHASE PROCEDURES. Within 30 days of receiving an application, the certification team should review it and determine whether it is of sufficient quality to proceed with certification.

A. Application Review. Review the application only to determine if it is of sufficient quality to continue with certification (i.e., the applicant supplied enough information on the application and/or LOI). Review it in depth during the document compliance phase. An example of a properly completed application for an initial certification is shown in Figure 2-69, Sample FAA Form 8420-8, Application for Pilot School Certification, Filled Out for Initial Certification.

B. Application Incomplete or Inaccurate. If the application is not complete or not accurate, notify the applicant in writing of changes needed before certification can continue (see Figure 2-72, Sample Letter Indicating Application is Unsatisfactory). Return the application for any necessary corrections.

C. Need for Formal Application Meeting. Determine if the optional formal application meeting is necessary.

1) If a formal application meeting is not necessary, schedule the certification inspections. Review the procedures required during the demonstration and inspection phase with the applicant.

2) If a formal application meeting is necessary, schedule a date and time.

D. Formal Application Meeting.

1) Discuss the following items that would have been covered in a preapplication meeting, if none was conducted:

- The application.
- The SOE, if applicable.
- The TCOs and syllabi.
- The personnel, aircraft, and facility requirements.
- The FFS, FTD, and ATD requirements.
- An inspection of facilities related to any contractual training agreements.
- Section 141.23, Advertising Limitations.

2) Discuss any discrepancies in the application and their corrective actions.

3) Discuss the requirements that must be met during the demonstration and inspection phase.

E. Terminating the Formal Application Phase. This completes the formal application phase. The next phase is the document compliance phase.

2-1080 DOCUMENT COMPLIANCE PHASE PROCEDURES. After accepting the application, the team ensures each document is complete and correct through an indepth review.

A. Document Review. The certification team evaluates the following items.

1) Check the application. (Note that the blocks on the application are not numbered.) Check that the application contains the following information (beginning with upper left corner):

a) The legal name and any appropriate DBA of the proposed school, telephone number, address of the principal business office, location of the main operations base, and the location of any satellite bases.

b) Whether the application is for original issuance, approval of satellite base, or change of name or ownership. Appropriate boxes should be marked for issuance, renewal, or amendment of the certificate.

c) The training courses for which approval is sought. Check the space provided on the reverse of the form for additional courses.

d) The application is signed and dated in the last section by the applicant or authorized officer (original signatures on each application form):

- A person acting as an individual should personally sign the application.
- All partners should sign an application from a partnership.
- An officer who is authorized by the corporation bylaws and certified by the corporate secretary should sign an application from a corporation.
- The president or other such officer or director should sign an application from a company, club, or association, as authorized by the organization's secretary.

e) The next section is for FAA use only. Confirm that the applicant did not mark or complete this section.

2) Check the qualifications of all proposed chief instructors, assistant chief instructors, and check instructors for each course that approval is sought for and the qualifications of all other instructors. Refer to §§ 141.35 through 141.37.

a) If not already accomplished, following office procedures, contact EIS to determine the chief instructor's, assistant chief instructor's, and other instructors' enforcement, accident, and incident histories.

b) Verify employment history pertaining to parts 61 and 141, and other related aviation experience.

3) Evaluate the TCOs. Volume 3, Chapter 53, Section 2, Approve Training Course Outlines for a Part 141 Pilot School, provides detailed information on TCOs and the associated syllabi.

4) Evaluate any commercially developed or FAA/Industry Training Standards (FITS)-developed training syllabi. Ensure that:

- The school fully understands the objectives and standards of the commercially developed or FITS-developed training syllabi.
- The school can actually give the training in the manner described in the syllabus.
- The syllabus contains all required pilot operations for the related course.
- The syllabus and related training aids are on a current revision schedule.

5) Evaluate the special curriculum. Special curricula developed under § 141.57 must be evaluated with flexibility in mind. Special curricula may be used in experimental curricula under research and development. When approving special curricula, the inspector must ensure that the curricula cover the aeronautical knowledge areas and flight proficiency areas of operations listed in the appropriate appendices of part 141. The inspector must determine that objectives, content, and completion standards are not less than those contained in the appropriate practical test standards (PTS) or Airman Certification Standards (ACS).

6) Check the aircraft checklists, minimum equipment lists (MEL), safety practices and procedures, etc., when applicable. (Refer to §§ 141.75 and 141.95.)

7) Check the graduation certificates required by § 141.95 to ensure that they contain at least the information indicated in § 141.95(b).

8) Ensure that the applicant can track enrollment information (i.e., that the student was enrolled in the school's approved course of training before receiving the instruction and training that is certified).

9) Review the maintenance program (airworthiness).

B. Unsatisfactory Items. If there are any unsatisfactory items, advise the applicant in writing that they must be corrected before certification can continue.

1) Place a reasonable time limit on when the corrections must be completed.

2) If the applicant does not respond within 90 days of the time limit, send the entire application package back to the applicant with a cover letter stating that the certification process is terminated.

3) Make the appropriate work entry in the PTRS.

C. Terminating the Document Compliance Phase. When all documents are satisfactory, conclude the document compliance phase and arrange scheduling for the demonstration and inspection phase.

2-1081 DEMONSTRATION AND INSPECTION PROCEDURES. During the demonstration and inspection phase the team must ensure these steps are accomplished:

A. Conduct Chief Instructor Proficiency Test. Administer a knowledge and proficiency test to the chief instructor(s) and any assistant chief instructors. (See Volume 5, Chapter 12, Section 1.) Verify the chief instructor and any assistant chief instructor(s) meet the FAA AELS as outlined in AC 60-28.

B. Recordkeeping Requirements. Inspect the applicant's recordkeeping system for compliance with §§ 141.67, 141.77, 141.85, 141.93, and 141.101.

C. Inspect Aircraft. The Airworthiness inspector conducts the aircraft inspection. See Volume 2, Chapter 9, Sections 2 and 3. Operations inspectors may examine each aircraft for the requirements of § 141.75.

D. Conduct a Base Inspection. See Volume 6, Chapter 7, Section 1.

E. Inspect Satellite Bases. See Volume 6, Chapter 7, Section 1 and § 141.91.

F. Inspect FFSs, FTDs, ATDs, Training Aids, and Other Equipment. Refer to §§ 141.41 and 141.45. If a simulator must be approved or qualified, contact the National Simulator Program Branch.

G. Terminating the Demonstration and Inspection Phase. When all demonstrations and inspections are complete, the demonstration and inspection phase is concluded.

1) If any demonstrations are unsatisfactory, advise the applicant immediately of corrective actions. If necessary, confirm the discrepancies in writing (see Figure 2-73, Sample Letter Indicating Discrepancies Found During Inspection). Reschedule the inspections accordingly.

2) When all demonstrations and inspections are satisfactory, proceed with the certification phase.

2-1082 CERTIFICATION PHASE PROCEDURES. When all certification requirements have been met, obtain an Air Agency Certificate number. (See Volume 2, Chapter 1, Section 3.)

A. Complete Inspection Reports and Job Aids.

1) On the application, in the section marked, "For FAA Use Only," indicate approval; provisional pilot school or pilot school; effective date of the certificate; and expiration date of the certificate. Indicate if the task was a renewal or amendment to a certificate, if applicable. Make any necessary comments and sign the application. The POI assigned to that pilot school will then sign and date the application.

2) Ensure all items on the certification/inspection job aid are resolved. Initial the job aid and place in the FSDO file.

B. Prepare and Issue the Air Agency Certificate. Use FAA Form 8000-4 (Figure 2-62).

1) Enter the certificate holder's full legal name directly below the words "This certificate is issued to." Show other names (such as any DBA) on the certificate. If necessary, list DBAs on a separate, attached letter (see Figure 2-74, Sample Part 141 Letter Listing DBAs).

2) Enter the address of the certificate holder's base of operations directly below the certificate holder's name. Use a post office box address only if the address reflects the physical location of the base of operations.

3) Enter the certificate number, as obtained in Volume 2, Chapter 1, Section 3, on the certificate.

4) Enter the date all requirements for certification are met.

5) Enter the four-character, alphanumeric designator and city and state of the appropriate FSDO under the signature line of the form (e.g., EA21, Richmond, VA).

6) Submit the certificate to the FSDO manager for signature.

a) Use the full title of the person signing the certificate.

b) Enter the FSDO acronym and number in the office space (e.g., WP FSDO 04).

C. Prepare List of Approved Courses. Prepare a list of approved courses, issue the appropriate LOAs and issue with the Air Agency Certificate. See Volume 3, Chapter 18, Section 14 on issuing part 141 LOAs.

D. Certificate Denial. If any certification requirement is not met, issue a letter of denial (see Figure 2-75, Sample Letter Denying Certificate). Specify the reasons for denial. On the application, in the section "For FAA Use Only" indicate disapproval. Make any necessary comments and sign. Have the FSDO manager sign and date the application.

E. Certification Report. Assemble a certification report containing the following:

- A copy of the LOI, if applicable,
- A certification job aid (see Figure 2-76, Part 141 Certification Job Aid),
- The application,
- The SOE (see Figure 2-77, Part 141 Schedule of Events),
- A copy of the Air Agency Certificate issued, and
- A summary of any difficulty encountered during certification and its resolution.

F. MEL. Issue an LOA to operate with an MEL, if applicable (see Volume 4, Chapter 4, Section 2, MEL Requirements for 14 CFR Parts 91, 137, and 142 Operations).

G. All Appropriate Information in the eVID Air Agency Basic File.

H. FSDO File. The CPM must ensure an official office file is established after certification is complete. The file must contain at least the following:

- The material from any working file used up to this point, including the TCO and syllabi;
- The certification report and attachments;
- The EIS/AIDS profile on applicant and personnel, including a negative report, if applicable;
- The approved MELs, if applicable;
- The surveillance reports; and
- All general correspondence relevant to the school or the FAA.

I. PTRS. Make the final PTRS work entry for this task.

2-1083 TASK OUTCOMES. Completion of the task results in either:

A. Certificate. A certificate issued that authorizes operations under part 141.

B. Record. A record on file consisting of the following:

- Written notification to the applicant denying the certificate, and
- Indication of the return of all documents to the applicant.

C. Letter Confirming Termination. A letter to the applicant confirming termination of the certification process per the applicant's request (see Figure 2-78, Sample Letter Confirming Termination of Certification Process at Applicant's Request).

2-1084 FUTURE ACTIVITIES.

A. Develop Post-Certification Plan. When developing a post-certification plan, perform additional surveillance or inspections during the first 90 days the organization is in business. This may require assistance from other FSDOs.

B. Conduct Surveillance. According to the established post-certification program, conduct surveillance at appropriate intervals.

C. Renewal of Certificate. Part 141 pilot school Air Agency Certificates are valid for 2 years and the pilot school must submit an application for renewal to maintain their pilot school status.

D. Amendment of Certificate. Amend the Air Agency Certificate at the operator's request or the FAA's determination.

Figure 2-62. FAA Form 8000-4, Air Agency Certificate

UNITED STATES OF AMERICA
DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

Air Agency Certificate

Number

(Enter cert. number obtained from AFS-620)

This certificate is issued to:

(Enter name of school)

Whose business address is

(Enter address of main base of operations)

upon finding that its organization complies in all respects with the requirements of the Federal Aviation Regulations relating to the establishment of an Air Agency, and is empowered to operate an approved

(Enter the appropriate kind of school)

With the following ratings:

(List all the ratings the pilot school or provisional pilot school is authorized for)

This certificate, unless cancelled, suspended, or revoked, shall continue in effect

(Date 24 calendar-months from date of issuance)

Date issued:

(MMM DD, YYYY)

By direction of the Administrator

(Have district manager sign)

This Certificate is not Transferable, AND ANY MAJOR CHANGE IN THE BASIC FACILITIES OR IN THE LOCATION THEREOF, SHALL BE IMMEDIATELY REPORTED TO THE APPROPRIATE REGIONAL OFFICE OF THE FEDERAL AVIATION ADMINISTRATION.

Any alteration of this certificate is punishable by a fine of not exceeding \$1000, or imprisonment not exceeding 3 years, or both.

FAA FORM 8000-4 (1-67) SUPERSEDES FAA FORM 390 AFS ELECTRONIC FORMS SYSTEM-V 2.2

Figure 2-63. Sample Letter Disapproving Special Curricula or TCOs

FAA Letterhead

[Date]

Carolyn Brannon
Brannon Aviation
Fairfax Airport
P.O. Box 123
Fairfax, VA 23456

Dear Ms. Brannon:

We are unable to approve your [name of course] training course outline (TCO) [or special curriculum] for the following reasons:

All other TCOs [and/or special curricula] have been approved and are reflected in your list of approved courses. If you wish to continue to seek approval for the [above course or special curriculum], you may reapply when appropriate corrections have been made.

Sincerely,

[POI's Signature]

Figure 2-64. Sample FAA Form 8420-8, Application for Pilot School Certification, Filled Out for Approval of Satellite Base

**US Department of Transportation
Federal Aviation Administration**

APPLICATION FOR PILOT SCHOOL CERTIFICATION

Form approved: CMB No. 2120-0009

APPLICANT - Read submittal and signature instructions on reverse.

NAME OF SCHOOL C. Brannon d/b/a Brannon Aviation		TELEPHONE NO. (555) 345-3456	ADDRESS OF PRINCIPAL BUSINESS OFFICE 13206 Poplar Tree Road, Fairfax, VA 11234
LOCATION OF MAIN OPERATIONS BASE Fairfax Airport, Fairfax, VA		LOCATION OF SATELLITE BASE(S) Centerville Airport	
APPLICATION IS HEREBY MADE FOR: Approval of Satellite Base			
<input type="checkbox"/> Issuance of a Pilot School Certificate and associated ratings to conduct the training courses identified below, and for the approval of these courses (three copies of each course outline are attached); also, examining authority is requested for the courses appropriately checked.			
<input type="checkbox"/> Renewal of a Pilot School Certificate and associated ratings currently numbered _____, which expires on _____			
<input type="checkbox"/> without changes to the currently approved course outlines, <input type="checkbox"/> with addition of course(s) identified below for which approval is requested (three copies of each course outline is attached), including request for examining authority for the course(s) appropriately checked. <input type="checkbox"/> with deletion of course(s) identified below from the curriculum.			
<input type="checkbox"/> Amending the current Pilot School Certificate and associated ratings numbered _____, which expires on _____			
<input type="checkbox"/> by adding the course(s) identified below for which approval is requested (three copies of each course outline are attached), including request for examining authority where appropriate checked. <input type="checkbox"/> for deletion of the course(s) identified below from the curriculum.			
IDENTIFICATION OF TRAINING COURSES		NOTE: Where examining authority for a course is desired, place an "X" in the box adjacent to the course identification.	
<input type="checkbox"/>	_____	<input type="checkbox"/>	_____
<input type="checkbox"/>	_____	<input type="checkbox"/>	_____
<input type="checkbox"/>	_____	<input type="checkbox"/>	_____
<input type="checkbox"/>	_____	<input type="checkbox"/>	_____
<input type="checkbox"/>	_____	<input type="checkbox"/>	_____
<input type="checkbox"/>	_____	<input type="checkbox"/>	_____
(If more space is needed, continue on reverse in space provided)			
I (WE) certify that I am (we are) familiar with Part 141 of the Federal Aviation Regulations, and, to the best of my (our) knowledge, believe that my (our) school meets the requirements for certification as prescribed therein.			
		<i>Carolyn S. Brannon</i> Signature and Title(s)	
		Carolyn S. Brannon Owner	
Nov 1, 2006			
Date			
FOR FAA USE ONLY			
<input checked="" type="checkbox"/> APPROVED - <input type="checkbox"/> a Provisional Pilot School Certificate <input type="checkbox"/> a Pilot School Certificate, either with associated ratings bearing the number shown above is issued effective _____ and which expires on _____			
<input type="checkbox"/> Renewal <input type="checkbox"/> without amendments <input type="checkbox"/> with amendments <input type="checkbox"/> Amendments <input type="checkbox"/> DISAPPROVED			
SIGNATURE OF APPROVING OFFICIAL <i>Donal L. Jones</i>		TITLE Supervising Inspector	DATE Jan 29, 2007

FAA Form 8420-8 (1-02) Recommendations of Inspector(s) on reverse

Figure 2-65. Sample Letter Denying Satellite Base

FAA Letterhead

[Date]

[Applicant's Name and Address]

Dear [Name]:

We are unable to approve your application for a satellite base at [location] for the following reasons:

[List reasons]

When you feel your organization meets the certification requirements for a satellite base, you may reapply to this office.

Sincerely,

[POI's Signature]

Figure 2-66. Sample FAA Form 8420-8, Application for Pilot School Certification, Filled Out for Renewal

US Department of Transportation Federal Aviation Administration

APPLICATION FOR PILOT SCHOOL CERTIFICATION

Form approved: OMB No. 2120-0009

APPLICANT - Read submittal and signature instructions on reverse.

NAME OF SCHOOL C. Brannon, d/b/a Brannon Aviation	TELEPHONE NO. (555) 345-3456	ADDRESS OF PRINCIPAL BUSINESS OFFICE 13206 Poplar Tree Road, Fairfax, VA 11234
LOCATION OF MAIN OPERATIONS BASE Fairfax Airport, Fairfax, VA		LOCATION OF SATELLITE BASE(S) Centerville Airport

APPLICATION IS HEREBY MADE FOR:

Issuance of a Pilot School Certificate and associated ratings to conduct the training courses identified below, and for the approval of these courses (three copies of each course outline are attached); also, examining authority is requested for the courses appropriately checked.

Renewal of a Pilot School Certificate and associated ratings currently numbered **CSB-S-025**, which expires on **11/30/06**

without changes to the currently approved course outlines; with addition of course(s) identified below for which approval is requested (three copies of each course outline is attached), including request for examining authority for the course(s) appropriately checked; with deletion of course(s) identified below from the curriculum.

Amending the current Pilot School Certificate and associated ratings numbered _____, which expires on _____

by adding the course(s) identified below for which approval is requested (three copies of each course outline are attached), including request for examining authority where appropriately checked; for deletion of the course(s) identified below from the curriculum.

IDENTIFICATION OF TRAINING COURSES NOTE: Where examining authority for a course is desired, place an "X" in the box adjacent to the course identification.

<input checked="" type="checkbox"/> Private Pilot	<input type="checkbox"/>
<input checked="" type="checkbox"/> Instrument Rating	<input type="checkbox"/>
<input checked="" type="checkbox"/> Commercial Pilot	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

(If more space is needed, continue on reverse in space provided)

I (WE) certify that I am (we are) familiar with Part 141 of the Federal Aviation Regulations, and, to the best of my (our) knowledge, believe that my (our) school meets the requirements for certification as prescribed therein.

Carolyn S. Brannon
Signature and Title(s)
Carolyn S. Brannon
Owner

10/31/06
Date

FOR FAA USE ONLY

APPROVED- a Provisional Pilot School Certificate a Pilot School Certificate, either with associated ratings bearing the number shown above is issued effective _____ and which expires on _____ DISAPPROVED

Renewal without amendments with amendments Amendments

SIGNATURE OF APPROVING OFFICIAL	TITLE	DATE
---------------------------------	-------	------

FAA Form 8420-8 (1-02) Recommendations of Inspector(s) on reverse

Figure 2-67. Sample Notice of Course Cancellation

FAA Letterhead

[Date]

[Applicant's Name and Address]

Dear [Name]:

After reviewing your application for renewal of your pilot school certificate and conducting the appropriate inspection, we require that you cease [name of course] training immediately for the following reasons:

[List reasons]

Failure to cease [name of course] training shall result in enforcement action against your certificate.

All other courses of training and pilot school ratings inspected at the time of renewal were acceptable, and you may continue to conduct training under them. When you feel that your organization meets the certification requirements for [name of course], you may apply for reinstatement of the course.

Sincerely,

[POI's Signature]

Figure 2-68. Sample FAA Form 8420-8, Application for Pilot School Certification, Filled Out for Amendment



US Department
of Transportation
**Federal Aviation
Administration**

APPLICATION FOR PILOT SCHOOL CERTIFICATION

Form approved: OMB No. 2120-0009

APPLICANT - Read submittal and signature instructions on reverse. CERT For FAA Use Only
NO.

NAME OF SCHOOL C. Brannon d/b/a Brannon Aviation	TELEPHONE NO. (555) 345-3456	ADDRESS OF PRINCIPAL BUSINESS OFFICE 13206 Poplar Tree Road, Fairfax, VA 11234
LOCATION OF MAIN OPERATIONS BASE Fairfax Airport, Fairfax, VA	LOCATION OF SATELLITE BASE(S) Centerville Airport	

APPLICATION IS HEREBY MADE FOR:

Issuance of a Pilot School Certificate and associated ratings to conduct the training courses identified below, and for the approval of these courses (three copies of each course outline are attached); also, examining authority is requested for the courses appropriately checked.

Renewal of a Pilot School Certificate and associated ratings currently numbered _____, which expires on _____

without changes to the currently approved course outlines, with addition of course(s) identified below for which approval is requested (three copies of each course outline is attached), including request for examining authority for the course(s) appropriately checked; with deletion of course(s) identified below from the curriculum.

Amending the current Pilot School Certificate and associated ratings numbered **CSB-S-025-A**, which expires on _____

by adding the course(s) identified below for which approval is requested (three copies of each course outline are attached), including request for examining authority where appropriately checked; for deletion of the course(s) identified below from the curriculum.

IDENTIFICATION OF TRAINING COURSES NOTE: Where examining authority for a course is desired, place an "X" in the box adjacent to the course identification.

<input type="checkbox"/> Agricultural Aircraft Operations	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

(If more space is needed, continue on reverse in space provided)

I (WE) certify that I am (we are) familiar with Part 141 of the Federal Aviation Regulations, and, to the best of my (our) knowledge, believe that my (our) school meets the requirements for certification as prescribed therein.

10/31/06

Date

Signature and Title(s)

Carolyn S. Brannon

Carolyn S. Brannon

Owner

FOR FAA USE ONLY

APPROVED- a Provisional Pilot School Certificate a Pilot School Certificate, either with associated ratings bearing the number shown above is issued effective _____ and which expires on _____ DISAPPROVED

Renewal without amendments with amendments Amendments

SIGNATURE OF APPROVING OFFICIAL	TITLE	DATE
---------------------------------	-------	------

FAA Form 8420-8 (1-02) Recommendations of Inspector(s) on reverse

Figure 2-69. Sample FAA Form 8420-8, Application for Pilot School Certification, Filled Out for Initial Certification



US Department
of Transportation
**Federal Aviation
Administration**

APPLICATION FOR PILOT SCHOOL CERTIFICATION

Form approved: OMB No. 2120-0009

APPLICANT - Read submittal and signature instructions on reverse.

NAME OF SCHOOL C. Brannon d/b/a Brannon Aviation	TELEPHONE NO. (555) 345-3456	ADDRESS OF PRINCIPAL BUSINESS OFFICE 13206 Poplar Tree Road, Fairfax, VA 11234
LOCATION OF MAIN OPERATIONS BASE Fairfax Airport, Fairfax, VA		LOCATION OF SATELLITE BASE(S)

APPLICATION IS HEREBY MADE FOR:

Issuance of a Pilot School Certificate and associated ratings to conduct the training courses identified below, and for the approval of these courses (three copies of each course outline are attached); also, examining authority is requested for the courses appropriately checked.

Renewal of a Pilot School Certificate and associated ratings currently numbered _____, which expires on _____

without changes to the currently approved course outlines, with addition of course(s) identified below for which approval is requested (three copies of each course outline is attached), including request for examining authority for the course(s) appropriately checked, with deletion of course(s) identified below from the curriculum.

Amending the current Pilot School Certificate and associated ratings numbered _____, which expires on _____

by adding the course(s) identified below for which approval is requested (three copies of each course outline are attached), including request for examining authority where appropriately checked; for deletion of the course(s) identified below from the curriculum.

IDENTIFICATION OF TRAINING COURSES NOTE: Where examining authority for a course is desired, place an "X" in the box adjacent to the course identification.

<input type="checkbox"/> Private Pilot	<input type="checkbox"/>
<input type="checkbox"/> Instrument Rating	<input type="checkbox"/>
<input type="checkbox"/> Commercial Pilot	<input type="checkbox"/>
<input type="checkbox"/> Flight Instructor	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

(If more space is needed, continue on reverse in space provided)

I (WE) certify that I am (we are) familiar with Part 141 of the Federal Aviation Regulations, and, to the best of my (our) knowledge, believe that my (our) school meets the requirements for certification as prescribed therein.

May 10, 2006

Date

Signature and Title(s)

Carolyn S. Brannon

Carolyn S. Brannon

Owner

FOR FAA USE ONLY

APPROVED- a Provisional Pilot School Certificate a Pilot School Certificate, either with associated ratings bearing the number shown above is issued effective **11/15/06** DISAPPROVED

and which expires on **11/30/08**

Renewal without amendments with amendments Amendments

SIGNATURE OF APPROVING OFFICIAL <i>Barbara D. Hostetler</i>	TITLE Supervising Inspector	DATE June 1, 2006
---	---------------------------------------	-----------------------------

FAA Form 8420-8 (1-02) Recommendations of Inspector(s) on reverse

Figure 2-70. Sample Letter of Intent

RUTHIE'S FLYING SCHOOL
888 CHANDELLE CIRCLE
BELLVILLE, IL 35454
312-555-1212

March 15, 2018

Federal Aviation Administration
Flight Standards District Office #3
DuPage County Airport
West Chicago, IL 60185

Gentlemen:

This is to notify the Federal Aviation Administration (FAA) of our intent to become an approved pilot school under Title 14 of the Code of Federal Regulations (14 CFR) part 141. Our company's legal name is Ruthie's Flying Service, 888 Chandelle Circle, Bellville, IL 35454, and our email address is ruthie@ruthies.com.

We are prepared to begin operations on July 1, 2018 and are ready for your certification inspection at this time. Enclosed is an electronic submission of FAA Form 8420-8, Application for Pilot School Certificate. Operations will be confined to the DuPage County Airport. We plan to operate: two Cessna 152s, one Cessna 172, and a Piper Comanche (PA-24-250) that meets the complex aircraft requirements for commercial pilot certification.

Courses identified on FAA Form 8420-8 will be supervised by our chief instructor, Mr. Robert Cartwright, holder of ATP Certificate number 555121128. He meets the requirements of § 141.35 and his instructor resume is available for verification when you conduct your certification inspection.

Also enclosed are three copies of each training course outline (TCO) for your review and approval. Our requested three-letter certificate designators are EPS, ELS, and SFS, in that order of preference. We plan on using a file cabinet and paper to log students' progress. No computers will be used at this time.

Sincerely,

Ruth Vaght
President

Figure 2-71. Sample Letter Indicating Certification Process Cannot Continue Because of Pending Enforcement Action

FAA Letterhead

[Date]

[Name and Address of Applicant]

Dear [Name]:

This letter is to inform you that your application for a pilot school certificate cannot be processed because of enforcement action [pending/taken] against [cite the specific certificate—Airman, other air operator certificate, etc.]. Until such time that this enforcement action is fulfilled, you are ineligible for certification.

Enclosed with this letter is a copy of your application and the training course outlines (TCO) you submitted for approval.

Should you wish to discuss this matter, please contact this office at [telephone number].

Sincerely,

[FSDO Manager's Signature]

Figure 2-72. Sample Letter Indicating Application is Unsatisfactory

FAA Letterhead

[Date]

[Name and Address of Applicant]

Dear [Name of Applicant]:

The enclosed FAA Form 8420-8, Application for Pilot School Certificate, is returned because [cite discrepancies].

Enclosed are three blank application forms that you may use to reapply when the above items are corrected. In order to continue the certification process, the corrected applications must be received no later than [date, no longer than 30 days from the date of the letter]. If we do not hear from you by that date, we will consider the certification process terminated.

If you have any questions concerning this matter, please feel free to contact this office at [telephone number].

Sincerely,

[CPM's Signature]

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Figure 2-73. Sample Letter Indicating Discrepancies Found During Inspection

FAA Letterhead

[Date]

[Name and Address of School]

Dear [Name]:

These discrepancies were found during a Title 14 of the Code of Federal Regulations (14 CFR) part 141 certification inspection conducted as part of your certification as an air agency under part 141.

[List each discrepancy]

[List methods of correcting the discrepancies, if appropriate]

[Indicate a reasonable length of time for the corrections to be made (not to exceed 90 days from the date of the letter)]

[Indicate that if no response is received within 90 days, the certification process will be terminated]

Sincerely,

[CPM's Signature]

Figure 2-74. Sample Part 141 Letter Listing DBAs

FAA Letterhead

[Date]

[Air Agency's Name and Address]

Dear [Name]:

This letter, accompanied by Air Agency Certificate No. [number] issued to [legal name of school] on [date of issuance], authorizes the following additional persons to exercise the privileges and limitations of the certificate.

[List all DBA names]

Sincerely,

[FSDO Manager's Signature]

Figure 2-75. Sample Letter Denying Certificate

FAA Letterhead

[Date]

[Name and Address of Applicant]

Dear [Name of Applicant]:

Your application for a pilot school certificate is denied because of the following reasons:

[List specific items that have not been corrected in the document compliance phase or demonstration and inspection phase within a reasonable time (i.e., not to exceed 90 days from the time the applicant was notified of the discrepancy).]

[If applicable, cite any false or fraudulent information that was provided.]

[If applicable, indicate why TCOs were not approved.]

[If applicable, specifically list the lack of qualifications of personnel or deficiencies in facilities and equipment.]

If you have any questions concerning this matter, please contact this office at [telephone number].

Sincerely,

[FSDO Manager's Signature]

Figure 2-76. Part 141 Certification Job Aid

NAME OF SCHOOL:	CERTIFICATION TEAM:				
	Name:		Specialty:		
ADDRESS:	INSP. INITIAL	DATE	YES	NO	NA
1. Initial contact handled by					
2. LOI					
3. Preapplication meeting					
4. Applicant provided resources/advised how to obtain					
5. Formal application meeting					
6. Application properly completed and submitted					
7. TCOs submitted (§ 141.53)					
a. TCO contains description of each room used for aeronautical knowledge training (§ 141.55)					
b. TCO describes all training aids					
c. TCO describes each training device/simulator used					
d. TCO lists airports at which training flights originate					
e. TCO describes minimum instructor qualifications					
f. TCO describes trainee’s enrollment qualifications					
g. TCO describes each lesson’s objectives and training standards					
h. TCO describes tests and checks used to measure each stage of training					
8. Verification of flight instructor’s qualifications (§ 141.33)					
9. Chief instructor/assistant for ground school course has 1 year experience in approved school (§ 141.35/§ 141.36)					
10. Enrollment method meets the requirements of § 141.93					
11. Safety procedures/practices developed (§ 141.93)					

12. Graduation certificates appropriate (§ 141.95)					
13. Method for student recordkeeping (§ 141.101)					
14. MEL approved					
15. School has use of aircraft appropriate for each course (§ 141.75)					
a. U.S.-registered standard category					
b. At least two-place with full-functioning dual controls					
c. Maintained in accordance with parts 43 and 91					
d. Inspected by Airworthiness inspector					
(1) Optional equipment installation					
(2) Airworthiness Directive (AD) records current					
(3) In-house or contract maintenance observed					
(4) Aircraft for IFR courses properly equipped/maintained					
e. Electronic components/communications equipment inspected (Avionics)					
f. Checklists required by § 141.75					
16. Chief instructor/assistance for each course tested (§ 141.35/§ 141.36)					
a. Knowledge test					
b. Proficiency test					
17. Chief instructor's method to test other instructors					
18. Pilot briefing areas (§ 141.43)					
19. Aeronautical knowledge training facilities (§ 141.45)					
20. Airports (§ 141.38)					
a. Continuous use where flights originate (§ 141.38)					
b. One runway/takeoff area for normal takeoff at full gross weight (§ 141.38)					
c. Wind direction indicator (§ 141.38)					

d. Traffic direction indicator (if required by § 141.38)					
e. Permanent runway lights (if required by § 141.38)					
21. FFSs or FTDs (§ 141.41)					
a. Cockpit meets requirements of § 141.41					
b. Simulates rotation around three axes (§ 141.41)					
c. Minimum instruments/equipment required by § 91.205 (§ 141.41)					
d. For visual flight rules (VFR) instruction, a means of simulating visual flight conditions (§ 141.41)					
e. For IFR instruction, a means of recording flight path (§ 141.41)					
22. Training aids meet requirements of § 141.41					
23. Certificate number obtained from the Aviation Data Branch					
24. Air Agency Certificate prepared and issued					
25. List of approved courses prepared					
26. Issue LOAs					
27. Certification report and appropriate FSDO file prepared					
28. Surveillance plan developed					
29. Other					

REMARKS:

Figure 2-77. Part 141 Schedule of Events

NAME OF SCHOOL:	NAMES OF MANAGEMENT PERSONNEL:				
	Name		Title		
ADDRESS:	SCHOOL DATE READY	FAA DATE REC'D	FAA RET'D	FAA DATE APP'D	INSP INIT
1. LOI					
2. Application (FAA Form 8420-8)					
3. TCOs					
4. Special curricula (if applicable)					
5. Recordkeeping procedures					
6. Enrollment method					
7. Safety procedures/practices					
8. Graduation certificates					
9. Instructors' qualifications					
10. Chief instructor/assistant practical test					
11. Base inspection (including satellite bases)					
12. Appropriate aircraft for each course					
13. Aircraft conformity inspections (Airworthiness)					
14. FFS, FTD, or ATD inspection					
15. Training aids inspection					
16. Pilot briefing areas					
17. Aeronautical knowledge training facilities					
18. Airports					
19. Proposed date to start operations					
20. Issue LOA					
21. Other					

Figure 2-78. Sample Letter Confirming Termination of Certification Process at Applicant's Request

FAA Letterhead

[Date]

[Name and Address of Applicant]

Dear [Name of Applicant]:

This letter confirms your request to terminate the project to certificate you as an air agency under Title 14 of the Code of Federal Regulations (14 CFR) part 141.

All materials submitted for review are enclosed with this letter. Any attempt to reapply after the date of this letter will require reinitiating the entire certification process.

Sincerely,

[CPM's Signature]

RESERVED. Paragraphs 2-1085 through 2-1100.

VOLUME 2 AIR OPERATOR AND AIR AGENCY CERTIFICATION AND APPLICATION PROCESS

CHAPTER 11 CERTIFICATION OF A PART 145 REPAIR STATION

Section 6 Safety Assurance System: Part 145 Repair Station Ratings and Classifications Under 14 CFR Part 145, §§ 145.59 and 145.61

2-1257 REPORTING SYSTEM(S). Use Safety Assurance System (SAS) automation and the associated Data Collection Tools (DCT) for certification.

2-1258 PURPOSE. The purpose of this section is to explain the ratings contained in Title 14 of the Code of Federal Regulations (14 CFR) part 145, §§ 145.59 and 145.61.

NOTE: Ratings specify the types of articles the repair station is rated to perform maintenance, preventive maintenance, or alterations. They specify what the repair station is allowed to do. Ratings exist as a means of authorizing repair stations to perform maintenance and alterations. A repair station may only perform the maintenance, preventive maintenance, or alterations for which it is rated. Repair stations should not receive ratings solely to maintain aircraft, engines, propellers, or component part (article) not approved under a Federal Aviation Administration (FAA) Type Certificate Data Sheet (TCDS), such as certain military aircraft, engines, or components. Specific ratings issued to a repair station are dependent on the equipment, personnel, technical data, and housing and facilities of the repair station. Depending on how a repair station intends to perform maintenance, it may require multiple and/or different ratings.

2-1259 GENERAL. Certificated repair stations are authorized to perform maintenance, preventive maintenance, and alterations on products that have an approved FAA TCDS, or used on aircraft with an approved TCDS. Section 145.201(a)(1) requires a repair station to perform maintenance in accordance with 14 CFR part 43. Part 43, § 43.1(a) states, in part, that “this part prescribes rules governing the maintenance, preventative maintenance, rebuilding, and alteration of any—(1) aircraft having a U.S. airworthiness certificate...” Repair stations should not receive ratings to maintain noncertificated products or those products not approved under 14 CFR part 21, such as certain military aircraft, engines, or components.

A. Adding or Removing an Article to an Existing Limited Rating.

1) Adding or removing an article to an existing limited rating is an amendment to the rating, not an added rating. This requires the repair station to make application to the FAA, listing by type, make, or model, as appropriate, each article under an existing rating.

2) The Air Agency Certificate (FAA Form 8000-4) will not change. An amendment to the rating will require submission of FAA Form 8310-3, Application for Repair Station Certificate and/or Rating. Once acceptable to the aviation safety inspector (ASI), the application is finalized and operations specifications (OpSpecs) are revised to authorize the addition or removal of an article. For example:

a) A repair station currently holds a limited airframe rating, limited to Cessna 150 series aircraft, and would like to add Piper PA-28 series aircraft.

b) The repair station submits FAA Form 8310-3 to the responsible Flight Standards office with the request to add the Piper aircraft (block 2 checked "Other" explaining the reason).

c) The ASI verifies that the repair station meets all of the applicable requirements for the new make/model/series (M/M/S) aircraft. The Piper PA-28 aircraft is added to the OpSpecs under the limited airframe rating. The Air Agency Certificate would not change. The limitation section in OpSpecs should carefully be reviewed to depict any limitations the repair station is not capable of performing to avoid any unintended authorizations.

B. Adding or Removing a Rating to the Air Agency Certificate.

1) Adding or removing a rating to an Air Agency Certificate requires changing the ratings on the Air Agency Certificate and OpSpecs. This requires the repair station to make application to the FAA, listing by type, make, or model, as appropriate, each article under the new rating(s).

2) The Air Agency Certificate (FAA Form 8000-4) is required to be reissued. The repair station will require submission of FAA Form 8310-3. Once acceptable to the ASI, the application is finalized and the Air Agency Certificate and OpSpecs are issued with the new rating(s) to authorize the addition/removal of article(s). For example:

a) A repair station currently holds a limited airframe rating and would like to add a limited engine rating.

b) The repair station requests adding the additional limited engine rating by submitting FAA Form 8310-3 (block 2 checked "Change in Rating," block 3 checked for the limited engine rating) to the responsible Flight Standards office.

c) The ASI verifies that the repair station meets all of the applicable requirements for adding the engine rating for the new M/M/S engine(s). The Air Agency Certificate will be issued to include the limited engine rating. The date of the issuance in parentheses will follow the added rating. The OpSpecs will be amended to add the limited engine rating with the M/M/S and appropriate limitations. The limitation section in OpSpecs should carefully be reviewed to depict any limitations the repair station is not capable of performing to avoid any unintended authorizations.

NOTE: Air Agency Certificates and OpSpecs are legal documents. Language should clearly specify the authorizations, ratings, and/or limitations being approved. When filling out the Air Agency Certificate, there must not be any erasures, strikeovers, or typographical errors. The Air Agency Certificate must be signed by the office manager or a delegated manager.

C. Adding or Removing Articles from a Capability List (CL). A repair station with a limited rating may use a CL as authorized by § 145.215 to identify articles within the scope of

ratings of the repair station's certificate with an established capability for maintenance, preventive maintenance, or alterations. An application (FAA Form 8310-3) is not required to make revisions to a CL. A CL should identify the level of capability of each article listed (e.g., overhaul, repair, inspect, test, etc.). Once the article or subassembly is identified on the CL, there is no need to list "individual series" contained under the make and model, provided the classification is defined.

1) The ASI will receive a copy of the CL, or any revisions to the list, and will verify the repair station met all applicable regulatory requirements for the self-evaluation. The OpSpecs will indicate the certificate holder is authorized and the articles are covered under the existing ratings and limitations.

a) If the repair station is not appropriately rated, or does not maintain or have the necessary tools, equipment, housing, facilities, and trained personnel to perform the required maintenance on the article(s) listed on the CL, reject the CL list.

b) Initiate a transmittal document indicating the date, document, and revision number of the rejected CL.

c) Return all copies to the applicant with an explanation of discrepancies requiring correction and instructions for resubmitting the documents.

D. Geographic Authorization. A repair station outside the United States may be issued geographic authorization to maintain U.S.-registered aircraft operated under 14 CFR part 121 or 135, where an appropriately rated repair station is not available in that country. Geographic authorization is not a rating; it is authorization in OpSpec B050 which allows line maintenance to be performed outside of the repair station's domiciled country. The responsible Flight Standards office management must concur with the issuance of geographic authorization, and must consider the surveillance responsibilities and resource requirements. Coordination efforts with an International Field Office (IFO) and air carrier CMO with oversight responsibilities in that country should be considered to mitigate resources and travel expenses.

2-1260 CLASS RATINGS UNDER § 145.59. Class ratings are issued to repair stations that can demonstrate capability to maintain a representative number of makes and models of products under this rating. A class rating does not have restrictions for a specific product. If any restrictions or limitations apply, then a limited rating would be issued in lieu of the class rating. Normally, the FAA will not issue a class rating on an initial repair station certification. New applicants should be issued a limited rating until such time the repair station can demonstrate the capability to perform enough work to establish a representative number of makes and models for a class rating.

NOTE: The ASI should exercise discretion when using the term "representative number," as this will vary with the type of application and the depth and complexity of the work performed. For example, an airframe Class 4 rating would normally be issued when the applicant demonstrates the ability to maintain one of each make in that class (i.e., Boeing 747, Airbus A320, MD-11, and large all-metal construction helicopters).

A. Airframe. Airframe is defined in 14 CFR part 1, § 1.1 as the fuselages, booms, nacelles, cowlings, fairings, airfoil surfaces (including rotors but excluding propellers and rotating airfoils of engines), and landing gear of an aircraft and their accessories and controls. The following class ratings are listed under “Airframe:”

1) Class 1. A composite construction of small aircraft. Gross takeoff weight (GTOW) is 12,500 lbs. or less, of which a major portion of the airframe structure is constructed of composite material, made of at least two types of substances, regardless of kind of covering utilized (e.g., Cirrus, HondaJet, Stemme Glider).

2) Class 2. A composite construction of large aircraft. GTOW is more than 12,500 lbs., of which a major portion of the airframe structure is constructed of composite material, made of at least two types of substances, regardless of kind of covering utilized (e.g., Boeing 787, Airbus A350, Airbus A380, Airbus Helicopters H160).

3) Class 3. An all-metal construction of small aircraft. GTOW is 12,500 lbs. or less, of which a major portion of the airframe structure, regardless of kind of covering utilized, is all-metal construction (e.g., Cessna 172, Piper PA-31, Pilatus PC-12, Cessna 425, Bell 206).

4) Class 4. An all-metal construction of large aircraft. GTOW is more than 12,500 lbs., of which a major portion of the airframe is all metal construction (e.g., Boeing 747, McDonnell Douglas MD-11, Airbus A320, Sikorsky S-70).

Table 2-10. Airframe Ratings and Classifications Under § 145.59

Rating	Class	Definitions and Notes
Airframe	Class 1: Composite construction of small aircraft Class 2: Composite construction of large aircraft Class 3: All-metal construction of small aircraft Class 4: All-metal construction of large aircraft	Airframe ratings are issued to repair stations for the performance of maintenance and alterations on airframes, airframe structure, landing gear, and aircraft systems for which it is rated. An airframe rating is necessary to perform aircraft line or hangar maintenance, and major repairs and alterations on the aircraft. However, it may not maintain or alter a type certificated engine or propeller, radios, or instruments without additional rating(s). Authorized maintenance under an airframe rating: <ol style="list-style-type: none"> 1. The removal, installation, and functional test on installed powerplants, propellers, accessories, radios, and instruments are authorized under an airframe rating. 2. Maintenance (excluding major repair and alterations) expressly permitted by the Aircraft Maintenance Manual (AMM) containing the technical instructions for conducting maintenance on installed powerplants, accessories, propellers, radios, and instruments. 3. Title 14 CFR part 91, § 91.409 inspections of installed engines and propellers expressly permitted by the AMM.

		<ol style="list-style-type: none"> 4. Airframe major repair or alteration in 14 CFR part 43 appendix A. 5. Structural repairs and alterations permitted by the AMM, Structural Repair Manual (SRM), or other FAA-approved data. 6. Maintenance of aircraft components, such as: seats, seatbelts, berths, galley and galley appliances (coffee pots, refrigerators, carts), lavatories, cabinetry, cabin/flight deck interior foam and fabric upholstered parts, passenger convenience equipment, inflight entertainment systems, dividers, bulkheads, curtains, windows, any other interior structure, aircraft composite components, aircraft painting, electrical wiring harnesses and distribution systems, cargo ball mats, cargo floor roller tracks and motorized rollers, floor or side locks and rails, and cargo unit load devices (ULD). <p>NOTE: Additional ratings should be considered if the work performed under an airframe rating is questionable or is not clearly defined in the regulations. AMMs contain limited data for on-wing maintenance to powerplants, propellers, radios, instruments, and accessories, but may not have the required data for maintaining these articles. The Component Maintenance Manual (CMM) or Overhaul Manual may contain the repair data requiring special tooling or special skills normally not associated with an airframe rating. An airframe rating may not be appropriate for the following type of maintenance:</p> <ol style="list-style-type: none"> 1. An accessory, appliance, or component part is removed from the aircraft for maintenance or alteration and internal sections are repaired or replaced using data not associated with the airframe rating. 2. Major repairs or alterations to a powerplant, propeller, appliance, radios, instruments, or accessories under part 43 appendix A require additional ratings. 3. Additional ratings are required for altimeter system and air traffic control (ATC) tests and inspections, as required in §§ 91.411 and 91.413. 4. The aircraft maintenance records are not receiving a maintenance release for that equipment, as required by § 43.9(a), due to the component was removed and was not reinstalled onto the aircraft. 5. Maintaining powerplants, propellers, radios, instruments, or accessories. Maintaining these articles involves data not associated with the AMMs.
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B. Powerplant. Aircraft engine is used or intended to be used for propelling aircraft. It includes turbo-superchargers, magnetos, carburetors, appurtenances, and other accessories necessary for proper operation of the powerplant, but does not include propellers. The following class ratings are listed under “Powerplant:”

- 1) **Class 1.** Reciprocating engines of 400 horsepower or less.
- 2) **Class 2.** Reciprocating engines of more than 400 horsepower.
- 3) **Class 3.** Turbine engines.

NOTE: Although the regulations do not define “powerplant,” they do define “aircraft engine.” The term powerplant and engine are synonymous for this guidance.

Table 2-11. Powerplant Rating and Classifications Under § 145.59

Rating	Class	Definitions and Notes
Powerplant	Class 1: Reciprocating engines of 400 horsepower or less Class 2: Reciprocating engines of more than 400 horsepower Class 3: Turbine engines	A powerplant rating provides the privilege of maintaining and performing maintenance and alterations on powerplants installed or removed from an aircraft, and components needed for its operation within the limitations in its OpSpecs, but not to adjoining airframe or propeller components. Authorized maintenance under a powerplant rating: <ol style="list-style-type: none"> 1. Removal and installation of propellers from an engine, and the removal and installation of accessories from an engine. 2. Opening and closing of access panels, doors, cowling, and nacelles, as needed, to gain access to the powerplant, controls, or accessories. 3. Powerplant major repair or alterations in 14 CFR part 43 appendix A. 4. Maintenance (excluding major repair and alterations) expressly permitted by the Engine Maintenance Manual (EMM) containing the technical instructions for conducting maintenance on accessories and components. 5. Maintenance on removed engine components or parts of an engine where a function or step of a process is performed (such as nondestructive inspection (NDI), plating, heat treatment, welding, plasma spraying, laser shot peening) using FAA-accepted or approved data.

		<p>NOTE: Additional ratings should be considered if the work performed under a powerplant rating is questionable or is not clearly defined in the regulations. A powerplant rating may not be appropriate for the following type of maintenance:</p> <ol style="list-style-type: none"> 1. A repair station will need an airframe rating to remove or install powerplants from an aircraft. 2. An engine accessory or appliance is removed from the engine for maintenance or alteration and internal sections are repaired or replaced using data not associated with the engine rating. The EMM may not have the required data for such repairs. The Component Maintenance Manual (CMM) or Overhaul Manual may contain the repair data requiring special tooling or special skills normally not associated with a powerplant rating. 3. Major repairs and alterations performed on articles that do not fall under powerplant in part 43 appendix A. 4. The powerplant maintenance records are not receiving a maintenance entry for that equipment as required by § 43.9(a) due to the component was removed and was not reinstalled onto the engine. 5. Maintaining or altering airframes, propellers, radios, instruments, or accessories. Maintaining these articles involves data not associated with the EMMs.
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NOTE: When determining the appropriate rating for auxiliary power units (APU), an APU is an accessory by virtue of its function of providing power to the aircraft when the aircraft is not in flight. However, some of the newer models of aircraft also use APUs as powerplants, which further blurs the lines between general aviation (GA) and corporate or commuter aircraft. ASIs should consider those articles used as the primary means of propulsion for these newer aircraft as powerplants, not APUs, and should rate repair stations appropriately. However, repair stations performing maintenance or alterations on APUs used strictly to produce auxiliary power for transport-category aircraft should obtain a limited accessory rating.

C. Propeller. A propeller is a device for propelling an aircraft that has blades on an engine-driven shaft and that, when rotated, produces by its action on the air a thrust approximately perpendicular to its plane of rotation. It includes control components normally supplied by its manufacturer, but does not include main and auxiliary rotors or rotating airfoils of engines. The following class ratings are listed under “Propeller:”

1) **Class 1.** All fixed pitch and ground adjustable propellers of wood, metal, or composite construction.

2) **Class 2.** All other propellers, by make.

NOTE: For a Class 2 propeller rating, there must be a list of propellers by make contained in the OpSpecs.

Table 2-12. Propeller Ratings and Classifications Under § 145.59

Rating	Class	Definitions and Notes
Propeller	Class 1: All fixed pitch and ground adjustable propellers of wood, metal, or composite construction Class 2: All other propellers, by make	A propeller rating provides the privilege of maintaining and performing maintenance and alterations on propellers and propeller components installed or removed from the aircraft, for which it is rated and within the limitations in its OpSpecs, but not to adjoining airframe or powerplant components. A repair station certificated as a propeller, powerplant, or airframe-rated repair station may remove and install propellers and the attaching hardware on an aircraft. Authorized maintenance under a propeller rating: <ol style="list-style-type: none"> 1. Removal and installation of propellers, propeller accessories, and propeller spinner dome from an engine. 2. Opening and closing of access panels, doors, cowling, and nacelles, as needed, to gain access to the propeller controls, or accessories. 3. Propeller major repair or alterations in 14 CFR part 43 appendix A. 4. Balance and testing for proper tracking and pitch-changing mechanisms on aircraft. 5. Repair or replace components applicable for the propeller operation.

D. Radio.

1) **Radio Ratings.** Radio class ratings are categorized under communication, navigation, and radar classes. Modern avionics equipment typically integrates communications and navigation functions into a single appliance. Also, radar equipment or a radio that operates using pulse technology also serves communication and/or navigation functions. The combination of functionality and operations of these articles may require the repair station to attain a rating for all three classes, depending on the complexity of the articles being maintained, and upon determining the repair station can maintain a representative amount of articles within each class.

2) **Radio Class Ratings.** The following class ratings are listed under “Radio:”

- a) Class 1: Communication equipment.
- b) Class 2: Navigational equipment.
- c) Class 3: Radar equipment.

Table 2-13. Radio Ratings and Classifications Under § 145.59

Rating	Class	Definitions and Notes
Radio	Class 1: Communication equipment	Radio transmitting and/or receiving equipment used in an aircraft to send or receive communications in flight, regardless of carrier frequency or type modulation used. This equipment includes auxiliary and related aircraft inter-phone systems, amplifier systems, electrical or electronic inter-crew signaling devices, and similar equipment. Does not include equipment for navigating or aiding navigation of aircraft, equipment used for measuring or terrain clearance, other measuring equipment operated on radio or radar principles, or mechanical, electrical, gyroscopic, or electronic instruments that are a part of communications radio equipment.
	Class 2: Navigational equipment	A radio system used in an aircraft for en route or approach navigation. This does not include equipment operated on pulsed radio frequency principals, or equipment used for measuring altitude or terrain clearance.
	Class 3: Radar equipment	An aircraft electronic system operated on radar or pulsed radio frequency principles.
<p>NOTE: A radio-rated repair station may remove or install complete communication and navigation systems and equipment onto an airframe. This includes tests, inspections, repairs, and alterations associated with aircraft wiring, antennas, connectors, relays, radio instruments, painting and refinishing equipment, and marking calibration or other information on panels and components. Major alteration and repairs of radios are authorized. Installation requiring alterations to the aircraft structure must be performed, supervised, and inspected by qualified personnel with airframe structure experience that can provide approval for return to service of the aircraft after the repairs or alterations. The fabrication of tuning shafts, brackets, cable assemblies, and other similar components used in radios or aircraft radio installations and prepare Weight and Balance (W&B) reports may also be authorized under the radio rating.</p>		

E. Instrument.

1) **Instrument Ratings.** The instrument rating is divided into four classes (mechanical, electrical, gyroscopic, and electronic) based on the article’s general principles of operation. Multiple class ratings may be necessary to perform repairs on these articles.

NOTE: ASIs must verify that a repair station obtains the appropriate supporting requirements for the capabilities it is requesting.

2) **Instrument Class Ratings.** The following class ratings are listed under “Instrument:”

- a) Class 1: Mechanical.
- b) Class 2: Electrical.
- c) Class 3: Gyroscopic.
- d) Class 4: Electronic.

Table 2-14. Instrument Ratings and Classifications Under § 145.59

Rating	Class	Definitions and Notes
Instrument	Class 1: Mechanical	A diaphragm, bourdon tube, aneroid, optical, or mechanically-driven centrifugal instrument used on aircraft to operate aircraft, including tachometers, airspeed indicators, pressure gauges' drift sights, magnetic compasses, altimeters, or similar mechanical instruments.
	Class 2: Electrical	Self-synchronous and electrical indicating instruments and systems, including remote indicating instruments, cylinder head temperature gauges, or similar electrical instruments.
	Class 3: Gyroscopic	An instrument or system using gyroscopic principles and motivated by air pressure or electrical energy, including automatic pilot control units, turn and bank indicators, directional gyros, and their parts and flux gate and gyrosyn compasses.
	Class 4: Electronic	An instrument whose operation depends on electron tubes, transistors, or similar devices, including capacitance type quantity gauges, system amplifiers, and engine analyzers.
NOTE: An instrument-rated repair station may maintain, inspect, test, calibrate, and alter instruments, including removal and installation of instruments onto an airframe. Major alteration and repairs of instruments are authorized. The function of installation may include fabrication of instrument panels and other installation structural components. Installation requiring alterations to the aircraft structure must be performed, supervised, and inspected by qualified personnel with airframe structural experience that can provide approval for return to service of the aircraft after the structural repairs or alterations.		

Table 2-15. Authorized Repair Station Ratings for §§ 91.411 and 91.413 Testing

To perform air traffic control (ATC) transponder testing and inspections as described in 14 CFR part 43 appendix F or altimeter system tests and inspections as described in part 43 appendix E, authorized repair station ratings for 14 CFR part 91, §§ 91.411 and 91.413 testing would require different ratings for the following conditions:	
Condition	Rating
Part 91, § 91.411	
Component removal or installation.	Instrument rating Class 1, or Limited instrument rating of a particular make and model (unless limited from this function), or Airframe rating appropriate to airplane or helicopter.
Integrated system tested on aircraft without removal or installation, normal operation of system without disassembly of aircraft.	Instrument rating Class 1, or Limited instrument rating appropriate to the make and model of appliance to be tested, or Limited rating appropriate to the test to be performed, or Airframe rating appropriate to airplane or helicopter to be tested.
Specific components tested on the bench (may not satisfy all requirements).	Instrument rating Class 1, or Limited instrument rating appropriate to the make and model of appliance to be tested, or Airframe rating appropriate to airplane or helicopter tested.
Part 91, § 91.413	
Component removal or installation.	Radio rating Class 3, or Limited Radio rating appropriate to the appliance (unless limited from this function), or Airframe rating appropriate to airplane or helicopter tested.
Integrated system tested on aircraft without removal or installation, normal operation of system without disassembly of aircraft.	Radio rating Class 3, or Limited radio rating appropriate to the make and model of transponder to be tested, or Limited rating appropriate to the test to be performed.
Specific components tested on the bench (may not satisfy all requirements).	Radio rating Class 3, or Limited radio rating of a particular make and model.

F. Accessories.

1) Accessory Ratings. An accessory is an appliance, part, mechanism, equipment, or apparatus that is used or intended to be used in operating or controlling an aircraft in flight, is installed in or attached to the aircraft, and is not part of an airframe, aircraft engine, or propeller. The accessory rating is divided into mechanical, electrical, and electronic classes, based on an article's principle of operation. The combination of functionality and operations of these articles may require the repair station to attain a rating for all three classes, depending on the complexity of the article.

NOTE: Because night vision goggles (NVG) are no longer novel, unique, or unusual in application, and more repair stations perform and seek to perform this type of maintenance, it is no longer appropriate to issue a limited rating for specialized services for future NVG ratings. Since NVGs are certificated as appliances (and they meet the requirement of a Class 3 accessory), the FAA should issue a Class 3 accessory or limited accessory rating, as appropriate, to repair stations that apply for a rating and that meet the requirements of part 145.

2) Accessory Class Ratings. The following class ratings are listed under "Accessory:"

- a) Class 1: Mechanical.
- b) Class 2: Electrical.
- c) Class 3: Electronic.

Table 2-16. Accessory Ratings and Classifications Under § 145.59

Rating	Class	Definitions and Notes
Accessory	Class 1: Mechanical	A mechanical accessory that depends on friction, hydraulics, mechanical linkage, or pneumatic pressure for operation, including aircraft wheel brakes, mechanically-driven pumps, carburetors, aircraft wheel assemblies, shock absorber struts, and hydraulic servo units.
	Class 2: Electrical	An electrical accessory that depends on electrical energy for its operation, and a generator, including starters, voltage regulators, electric motors, electrically-driven fuel pumps, magnetos, or similar electrical accessories.
	Class 3: Electronic	An electronic accessory that depends on the use of an electron tube transistor, or similar device, including supercharger, temperature, air conditioning controls, or similar electronic controls.

NOTE: An accessory rated repair station may perform maintenance on accessories removed from an aircraft, engine, or propeller for which it is rated and within the limitations in its OpSpecs.

2-1261 LIMITED RATINGS UNDER § 145.61.

A. Limited Rating Issuance. Repair stations are issued limited ratings for the performance of maintenance and alterations on particular makes and models of airframes, powerplants, propellers, radios, instruments, accessories, and/or parts thereof; or if it performs only specific maintenance requiring equipment and skills not ordinarily performed under other repair station ratings. Such a rating may be limited to a specific model aircraft, engine, constituent part, or to any number of parts made by a particular manufacturer.

NOTE: Review the notes and authorized maintenance in paragraph 2-1260 for the general application of a rating and type of work authorized.

B. Limited Rating Applicability. Limited ratings listed in § 145.61 are limited to not only a particular article's make or model, but may also be limited to certain maintenance functions. In this case, the OpSpecs would identify the process or specification and any additional limitations, but the make/model column could contain "all models." The limitations column would identify any limitations to its maintenance capabilities, such as, "Limited to plasma spray operations on Pratt and Whitney series turbine blades." This rating allows the repair station to plasma spray all Pratt and Whitney turbine blades, regardless of the Pratt and Whitney model.

C. Limited Rating Types. The FAA may only issue the following limited ratings:

- Airframes of a particular make and model;
- Engines of a particular make and model;
- Propellers of a particular make and model;
- Instruments of a particular make and model;
- Radio equipment of a particular make and model;
- Accessories of a particular make and model;
- Landing gear components;
- Floats, by make;
- Nondestructive inspection (NDI), testing, and processing;
- Emergency equipment;
- Rotor blades, by make and model;
- Aircraft fabric work; and
- Any other purpose for which the FAA finds the applicant's request is appropriate.

NOTE: The limited rating, "any other purpose for which the FAA finds the applicant's request is appropriate," is intended to be issued for repair stations that wish to perform maintenance on items and other component parts that do not necessarily fit into one of the other 12 limited ratings. This action provides future and current certificate holders another option for ratings that will better define the types of articles the repair station may perform maintenance on. It will reduce the number of limited airframe ratings issued for component part work for which an airframe rating is not needed. Similarly, articles could be provided for by the limited "other" category. These could include items such as: aircraft interiors, upholstery, serving carts, cabinets, unit load devices (ULD), cargo pallets or

containers, coffee makers, and litters; and specifications such as testing in accordance with part 43 appendix F.

1) Limited Specialized Service. Limited specialized service ratings are issued for a special maintenance function when the function is performed in accordance with a specification approved by the FAA. A specialized service rating is not appropriate if the technical data is explicitly listed in the article's manufacturer's maintenance manuals, instructions for continued airworthiness (ICA), or air carrier's Continuous Airworthiness Maintenance Program (CAMP). The approval for return to service can be accomplished under the article's overall rating (e.g., airframe, powerplant, accessory, etc.). The specialized service rating is required when the technical data needs to be FAA approved, instructions don't exist, or the rating is not appropriate for the maintenance performed on the article. The OpSpecs must include the specifications used by the repair station to perform that service in accordance with § 145.61(c). No function of a limited rating for specialized service may be contracted out. Per § 145.61(c), "The specification may be—

- A civil or military specification currently used by industry and approved by the FAA, or
- A specification developed by the applicant and approved by the FAA."

NOTE: The repair station may seek a limited specialized service rating using technical data such as civil or Military Specifications (MIL-SPEC) currently used by industry. Many civil and MIL-SPECs are generic and may not be sufficient to repair complex articles used in the aviation industry today. For example, they may lack critical min/max dimensional serviceable limitations to ensure airworthiness of the product being inspected or repaired. The specification used for a repair must be sufficient to return an article to its original or properly altered condition. To ensure the data is adequate for the rating sought, the ASI should seek concurrence from the Aircraft or Engine Certification Office (ACO/ECO) before authorizing the rating in OpSpecs. The ASI may contact the Aircraft Evaluation Group (AEG) who will coordinate assistance with the correct ACO/ECO branch.

2) Limited Specialized Service Requirements. The limited specialized service rating would require a repair station to have the housing, facilities, equipment, tools, trained personnel, and data to perform the process on an article. The specification on the OpSpecs would set forth the minimum standards for performing the generic process (specialized service). For example, the specification would include an explanation of the housing, facilities, equipment, tools, trained personnel, and data necessary for the overall process. The applicable manufacturer's maintenance manual, air carrier manual, or other FAA-accepted or FAA-approved data would define the specific parameters associated with performing the process on the particular aviation article.

3) Unusual and Unique Processes. At the onset of the performance of a new, unusual, and/or unique process, a limited specialized service rating may be appropriate if the repair station performs the process as described in subparagraph 2-1261C1). The process may eventually become common and more appropriately identified by a rating other than a limited rating for specialized services. In these cases, future repair station ratings will be issued in the

more appropriate class. Ratings for currently rated repair stations can only be changed by application from the repair station or as a result of enforcement action. A repair station with a limited rating for specialized services in this circumstance should be advised of the change in classification. The FAA may recommend to the repair station that they apply for a change of rating.

D. Limited Rating Identification. OpSpecs should identify the manufacturer and the make/model. In certain rare occasions, the term “all” may be appropriate when identifying the make/model. When using “all” to denote the make/model, the principal inspector (PI) must use good judgment and carefully consider potential unintended consequences. If the inspector is not careful, use of the word “all” could inadvertently authorize work beyond the desired intent. For example, use of the word “all” may seem appropriate to authorize structural repairs on all models of aircraft manufactured by Mooney International Corporation. However, unless the PI excludes several early production models, this authorization may inadvertently allow structural repairs on both wood and metal primary structures. The use of “all” provides that the rating will include any future products that may be developed that fall within the listed limitation as well as all past products.

NOTE: Limited ratings may incorporate a CL if the repair station has elected to employ one. For example, a repair station without a CL might receive a limited airframe rating for the performance of transponder testing on a specific make/model aircraft, in accordance with part 43 appendix F. A repair station that employs a CL may list the transponder make/model on the CL. For the performance of transponder testing on a specific make/model aircraft, the aircraft must be listed on OpSpecs.

E. Limited Engine Rating. Repair stations require an appropriate limited engine rating when performing maintenance or alterations on engines. Inspections of engines performed under 14 CFR part 91, § 91.409 and removal and replacement of engines and components installed on an aircraft may be performed under an appropriate airframe rating as described in the airframe maintenance manuals. An engine requiring repair or alteration as a result of the aircraft inspection would require a limited engine rating.

NOTE: Because maintenance procedures, tools, equipment, and technical data may differ between manufacturers, ASIs must verify a repair station obtains the appropriate supporting requirements for the capabilities it is requesting.

F. Limited Rating Limitations. The current OpSpecs allow the proper identification of the limitation of makes and models, as well as maintenance functions in the “Limitations” section. Limitations must not be vague and undefined. It is important that the repair station clearly understand its privileges and any associated limitations. When issuing a limited rating, the PI must adequately describe the scope of the rating and any associated limitations in a clearly understood manner. Vague or misunderstood OpSpecs could lead to operations outside the intended scope of the certificate.

1) When necessary, use of the limitations column may further limit the intended scope of the rating. The PI should use good judgment and carefully consider possible unintended consequences of not specifying limitations. If painting, for instance, is the only maintenance function a repair station intends to perform, the limitation should read, “Limited to painting airframe structure and components on Boeing 737 series aircraft,” or similar language. If the repair station’s limitation is performing maintenance on only a certain part of the airframe, that language should specify the manufacturer, make, and model of the component, and describe exactly what the repair station is limited to do.

NOTE: Painting of aircraft may also involve other maintenance functions such as balancing of flight controls. The repair station should have the ability or be authorized to contract out those functions.

2) Powerplant maintenance has also found numerous “niche” businesses that may include the performance of a specific maintenance function on a wide variety of powerplants. In this case, the OpSpecs would identify the manufacturer, but the make/model column could contain “all models” instead of identifying each model. The limitations column would identify any limitations to its maintenance capabilities, such as, “Limited to plasma spray operations on Pratt and Whitney series turbine blades.” This rating allows the repair station to plasma spray all Pratt and Whitney turbine blades, regardless of the powerplant model the blades were from. The OpSpecs would also need to list additional manufacturers if the repair station has the technical data, tools, and equipment to perform this maintenance function on those additional powerplants.

2-1262 EXPERIMENTAL AIRCRAFT. Occasionally repair stations request ratings or additions to their OpSpecs to perform work on certain experimental aircraft (e.g., amateur built, Unmanned Aircraft Systems (UAS), Optionally Piloted Aircraft (OPA), or experimental light-sport) or other products to which part 43 does not apply.

A. Part 43 Applicable Aircraft. Part 43 provides that it applies only to certain products. Those products are:

- Aircraft having a U.S. airworthiness certificate (with certain exceptions);
- Foreign-registered civil aircraft used in common carriage or carriage of mail under part 121 or 135; and
- Airframes, aircraft engines, propellers, appliances, and component parts of the above aircraft.

B. Part 43 Non-Applicable Aircraft. Part 43 does not apply to any aircraft for which the FAA has issued an experimental certificate:

- Unless a different kind of certificate was previously issued to that aircraft; or
- Under the provisions of part 21, § 21.191(i)(3) and the aircraft was previously issued a special light-sport certificate under § 21.190.

C. Part 145 Repair Station Rules. The applicability of the repair station rule (refer to § 145.1) is clear that part 145 contains the rules a repair station must follow related to its

performance of maintenance, preventive maintenance, or alterations of an aircraft, airframe, aircraft engine, propeller, appliance, or component part to which part 43 applies.

D. Part 43 Non-Applicable Product Requests. The FAA office receiving a request to add a product to which part 43 does not apply, to a certificate (rating, OpSpecs, CL, or FAA-approved maintenance function) will advise the repair station making this request that repair station ratings are not issued for products to which part 43 does not apply and those products will not be added. This includes any aircraft identified under § 43.1(b) as having been issued an experimental airworthiness certificate unless that aircraft was previously issued a different kind of airworthiness certificate. It would be inappropriate to issue ratings to a repair station for the performance of maintenance on a product to which part 43 (and therefore part 145) does not apply.

1) When a part 145 repair station performs maintenance on a component part (article) or aircraft that is not FAA type certificated, or does not have a U.S. airworthiness certificate (articles not under the FAA's jurisdiction), the repair station is not exercising the privileges of its FAA-issued repair station certificate. Those activities are not governed by maintenance or repair station regulations.

2) No current regulation in part 145 prohibits a repair station from completing maintenance on articles not under the FAA's jurisdiction and providing approval for return to service by issuing an FAA Form 8130-3, or any other document, to record activities that are not regulated by the FAA.

E. Experimental Aircraft Operating Limitation Provisions. Experimental aircraft operating limitations may contain a provision that certain maintenance or inspections may be performed by a certificated repair station. A repair station may perform such work in accordance with the provisions of the limitations issued for the aircraft. Any work performed by a repair station in accordance with the limitation issued to the aircraft may satisfy the requirements of the limitations, but the repair station is not exercising certificate privilege when it applies its certificate number to any work for which part 43 does not apply.

NOTE: The maintenance provider may release an aircraft that holds an experimental certificate for aircraft and/or a UAS, upon completion of maintenance based on the owner's written request and limitations specification provided, but are not exercising the privileges of their certificate when they return to service the experimental aircraft. Additionally, the holder of the mechanic certificate may perform maintenance per owner request and in accordance with the limitations issued for the aircraft.

2-1263 COORDINATION REQUIREMENTS. This task requires coordination among the ASIs (Airworthiness) and may require coordination with multiple offices.

RESERVED. Paragraphs 2-1264 through 2-1269.

VOLUME 2 AIR OPERATOR AND AIR AGENCY CERTIFICATION AND APPLICATION PROCESS

CHAPTER 11 CERTIFICATION OF A PART 145 REPAIR STATION

Section 12 Safety Assurance System: Initial, Renewal, or Amendment of a Part 145 Repair Station Located Outside the Territories of the United States and Under an Agreement

2-1371 REPORTING SYSTEM(S). Use Safety Assurance System (SAS) automation and the associated Data Collection Tools (DCT).

2-1372 GENERAL.

A. Objective. This section provides guidance for the International Field Office (IFO) aviation safety inspectors (ASI) for Federal Aviation Administration (FAA) repair stations located outside the territories of the United States under Maintenance Implementation Procedures (MIP) of a Bilateral Aviation Safety Agreement (BASA). It describes the procedures for certifying, renewing, and amending a Title 14 of the Code of Federal Regulations (14 CFR) part 145 certificated repair station (CRS). The FAA may find the applicant meets part 145, § 145.53(b) and issue a certificate under MIP. ASIs must use this section in conjunction with the applicable Maintenance Agreement Guidance (MAG) of that country. However, the MAG supersedes this section if conflicts exist between the two documents.

B. BASA Listing. The International Program Division (AFS-50), Aircraft Maintenance Division (AFS-300), and Aircraft Certification Service, International Division (AIR-400), list the status of countries on the FAA's website at:
http://www.faa.gov/aircraft/air_cert/international/bilateral_agreements/baa_basa_listing/.

NOTE: Any maintenance facility that was certificated by the FAA prior to the applicable MIP and does not hold an aviation authority (AA) part 145 certificate with equivalent ratings to meet the MIP requirements, may continue to exercise the privileges of its part 145 certificate with the understanding that the FAA will continue independent regulatory oversight, certificate renewal, and continued monitoring in lieu of these procedures. The International Field Management Branch (AFS-54) and the Aircraft Maintenance Division must be informed of the existing FAA facilities that fall outside of the MIP requirements. Once the MIP is in effect, all initial part 145 certifications must follow the MIP procedures.

2-1373 BACKGROUND.

A. FAA-Certificated Repair Stations. The FAA certifies repair stations located outside the United States that operate under the provisions of part 145. The certification of these repair stations responds to the need to perform maintenance, alteration, or modification of aeronautical products subject to U.S. airworthiness regulations in foreign countries. Maintaining aircraft and components outside the United States has continued to expand with the corresponding increase in international air travel and rise in the number of foreign-manufactured aeronautical products used by U.S. operators.

B. Foreign Certification. Similarly, foreign countries have also experienced an increase in the use of U.S. facilities to perform maintenance, alteration, or modification of aeronautical products subject to foreign national requirements. AAs in countries where certificated maintenance facilities are located have also developed their own extensive inspection, surveillance, evaluation, and certification programs. The AAs have developed these programs to ensure that repair facilities accomplish maintenance, preventive maintenance, and modification/alteration of aeronautical products subject to their airworthiness regulations according to specific national standards.

C. FAA and AA Surveillance. In the absence of a BASA and corresponding MIP, a repair facility in a foreign country that performs work on aeronautical products subject to the airworthiness regulations of that country and on aeronautical products subject to the airworthiness regulations of the United States may be required to be inspected, surveilled, and evaluated by the FAA and the AA. Therefore, the repair facility must conform to two or more sets of standards—the FAA’s and the AA’s.

D. MIP Provisions. The conclusion of a MIP provides for:

1) FAA acceptance of AA recommendations for certification and renewal, and documentation of surveillance findings when the FAA issues certificates to repair stations based outside of the United States.

2) AA acceptance of FAA recommendations for certification and renewal, and documentation of surveillance findings when the AA issues certificates to U.S.-based repair stations.

3) Either of the above results in increased efficiency by reducing or eliminating duplicate surveillance, evaluation, and inspection of repair facilities conducted by the FAA and the AA. The FAA and the AA achieve program goals when they reduce or eliminate duplicate activities while maintaining equivalent levels of safety.

E. MIPs’ Regulatory Basis. The FAA and the AA base MIPs on an evaluation of 14 CFR parts 43 and 145 regulations governing repair stations and foreign national regulations governing Approved Maintenance Organizations (AMO). FAA Order 8000.85, FAA Program for the Establishment of a MIP Under the Provisions of a BASA, is the basis for the development of a MIP. The MIP evaluation is designed to determine the areas where these regulations and requirements are harmonized or equivalent, or identify areas where they differ. The evaluation also determines the FAA’s and AA’s ability to carry out surveillance on each other’s behalf. The differences are explained in the MAG.

F. MAG Provisions. The MAG is the procedural document authorized by the MIP which explains the special conditions requirements and defines the processes for each of the AA’s recommendations for certification, renewal, and acceptance of eligible repair stations and AMOs. Each MIP will have MAG procedures that are relevant for that particular country.

2-1374 PREREQUISITES AND COORDINATION REQUIREMENTS.**A. Prerequisites:**

- Knowledge of parts 43 and 145 requirements.
- Completion of the Airworthiness Inspector Indoctrination course(s), or equivalent.
- Previous experience with certification or surveillance of part 145 repair stations.
- Completion of FAA Course 21058, Certification and Surveillance of Part 145 Stations, or equivalent.
- Completion of web-based training or equivalent briefing on the applicable MAG for the country.

B. Coordination. This task may require coordination with:

- The repair station applicant.
- The AA of the country in which the repair station is located.
- The Aircraft Maintenance Division.
- The International Program Division.
- The International Field Management Branch.
- FAA Coordinators (as applicable).

2-1375 REFERENCES, FORMS, AND JOB AIDS.**A. References (current editions):**

- Title 14 CFR Parts 43 and 145.
- Advisory Circular (AC) 145-10, Repair Station Training Program.
- AC 187-1, Flight Standards Service Schedule of Charges Outside the United States.
- FAA Order 8130.2, Airworthiness Certification of Aircraft.
- FAA Order 8130.21, Procedures for Completion and Use of the Authorized Release Certificate, FAA Form 8130-3, Airworthiness Approval Tag.
- Volume 2, Chapter 11, Certification of a Part 145 Repair Station:
 - Section 1, Safety Assurance System: Phase 1—Preapplication.
 - Section 2, Safety Assurance System: Phase 2—Formal Application (SAS Business Process Modules 1 and 2).
 - Section 3, Safety Assurance System: Phase 3—Design Assessment (SAS Business Process Modules 2, 3, and 4).
 - Section 4, Safety Assurance System: Phase 4—Performance Assessment (SAS Business Process Modules 2, 3, and 4).
 - Section 5, Safety Assurance System: Phase 5—Administrative Functions.
 - Section 13, Safety Assurance System: Procedures for Collaborating with TSA During a Security Audit for Part 145 Repair Stations (Located Within and Outside the United States and its Territories) Both Under and Not Under a Maintenance Implementation Procedure.
- Volume 10, Safety Assurance System Policy and Procedures.

- Volume 14, Chapter 1, Section 2, Flight Standards Service Compliance Action Decision Procedure.
- The applicable MAG.

B. Forms:

- FAA Form 8000-4, Air Agency Certificate.
- FAA Form 8000-4-1, Repair Station Operations Specifications (Web-based Operations Safety System (WebOPSS) or Automated Repair Station Operations Specifications (OpSpecs)).
- FAA Form 8130-3, Authorized Release Certificate, Airworthiness Approval Tag.
- FAA Form 8310-3, Application for Repair Station Certificate and/or Rating.
- FAA Form 8400-6, Preapplication Statement of Intent.
- AA approval certificate and documentation defining the AMO's limitations or scope of work/approval.
- AA recommendation for FAA certification/renewal/amendment.
- MAG applicable forms.

C. Job Aids. The applicable MAG includes job aids as appendices.

2-1376 FAA RESPONSIBILITIES/ACTIONS.

A. The FAA Coordinator (AFS-54). The FAA Coordinator (AFS-54) will:

- Serve as the primary liaison with the FAA National Coordinator (AFS-300) on matters regarding policy and policy interpretation for FAA-certificated repair stations located outside the United States.
- Be the primary liaison for communication with the AA with which the FAA has an Aviation Safety Agreement concerning matters involving terms of the applicable agreement.
- Review Sampling Inspection System (SIS) candidates submitted by the FAA Coordinator (IFO) for risk-based justification and then provide a list of candidates to the FAA National Coordinator for concurrence.
- Monitor the activities of FAA Coordinators (IFO) through document reviews and periodic audits to ensure compliance with established standards.
- Provide guidance and assistance to FAA Coordinators located in the IFOs.
- Make suggested recommendations for changes to the MAG/MIP to the FAA National Coordinator.
- Participate and/or assist the Aircraft Maintenance Division as requested in training/workshops to the AAs and industry.

B. The FAA Coordinator (IFO). The FAA Coordinator (IFO) will:

- 1) Be assigned as an FAA IFO Coordinator for specific countries.
- 2) Be the primary focal point for communication with AA representatives in countries with which the FAA has an Aviation Safety Agreement.

- 3) Ensure the necessary training on the BASA/MIP procedures and MAG requirements is complete.
- 4) Establish a line of communication with the appropriate AA representative to ensure any issues/concerns regarding BASA/MIP are resolved.
- 5) Monitor the FAA certificate expiration dates.
- 6) Ensure FAA ratings do not exceed AA ratings per the MAG.
- 7) Ensure any additional fixed locations and line maintenance locations meet the MAG authorized locations.
- 8) Maintain repair station files and ensure the current safety system is utilized for risk assessment.
- 9) Identify information to be shared with the AA.
- 10) Ensure all outstanding findings have a corrective action plan (CAP) agreed upon by the FAA and the AA.
- 11) Conduct the analysis and determination for FAA sampling inspections for FAA facilities under the MIP agreement using the MAG procedures.
- 12) Monitor renewal package discrepancies from AAs/repair stations.

2-1377 CERTIFICATION PROCESS—GENERAL INFORMATION.

A. General. An AMO based in a country in which has a MIP with the United States can apply for a part 145 certificate under a MIP. The applicable MAG, section C, describes the certification procedures for the specific country.

B. FAA, AA, and Repair Station Responsibilities. Refer to the MAG, section C, for the process, procedures, and responsibilities.

C. Fees.

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

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

NOTE: Fees under the Agreement are normally limited to administrative fees. The FAA SIS of repair stations or AAs is not a category of fees in 14 CFR part 187 and should not be included.

D. Geographic Authorizations. A geographic authorization may be issued to a repair station outside the United States to maintain U.S.-registered aircraft outside the country where the repair station certificate is held. Geographic authorizations may only be issued to a repair station rated for an entire aircraft, such as a Boeing 757. On initial certification, the FAA normally does not consider issuing geographic authorization. The inspector must review the applicable MAG to determine if geographic authorization is agreed upon. Coordinate surveillance of a geographic authorization with the AA to ensure the location is authorized and under the AA surveillance. Coordinate with the U.S. air carrier certificate management office (CMO) for proper training requirements and any objections to the request.

E. Hazardous Materials (Hazmat). If the repair station and/or its contractors and subcontractors are performing a job function concerning transportation of dangerous goods (hazmat), the repair station must train its employees to International Civil Aviation Organization (ICAO) hazmat standards.

NOTE: The repair station shall certify in writing that the appropriate employees have been trained as defined in § 145.53(d).

F. Line Stations. The term “line stations” is a common term among AAs, while the FAA uses the term “line maintenance authorization” in relation to part 145. This is to advise the ASI that these terms are synonymous when applied under the terms of a MIP. The FAA certificate must only cover additional line stations which are under the surveillance of an AA. See the applicable country MAG requirements and procedures.

G. Perceived Need. Section 145.51(c)(1) requires that the applicant show the necessity for a part 145 Air Agency Certificate and rating(s). The applicant must have a current or future operational or economic need (a perceived need) for the maintenance, preventative maintenance, or alteration of aeronautical articles subject to FAA regulatory oversight. The applicant can express this perceived need by including a statement from an operator of U.S.-registered aircraft; a foreign-registered aircraft operated under the provisions of 14 CFR part 121 or part 135; a company that maintains or alters articles to be installed on U.S.-registered aircraft, indicating that the repair station’s services are required; or documentation from a leasing company or a supplier/distributor showing that the applicant’s services are necessary, provided the applicant can confirm in writing that the leasing company or supplier/distributor is doing business with operators of U.S.-registered aircraft.

H. Transmittal Documents. Transmittal documents include cover letters, memos, emails, faxes, or any other media acceptable to the IFO. ASIs may accept or reject a certificate holder’s submission(s) using a transmittal document that shows the date, the document, and a detailed explanation of discrepancies noted. The IFO will maintain office copies of correspondence with the certificate holder in its folder, or will maintain them electronically, if so equipped.

I. Unimpeded Access. Per § 145.223(a), a CRS must allow the FAA to inspect that repair station at any time to determine compliance. The repair station/AMO should ensure that, where possible, there is clear delineation between work areas with civil and military applications within the repair station/AMO.

2-1378 INITIAL CERTIFICATION PROCESS. The FAA, AA, and applicant will accomplish initial certification in accordance with this section in conjunction with the MAG, section C.

A. Preapplication Package.

- 1) The IFO will receive a Preapplication Statement of Intent (PASI) (FAA Form 8400-6) and the certificate configuration vitals information addressed in the MAG, from the AA.
- 2) The IFO will review the package, and obtain the precertification and final certification numbers from the Aviation Data Branch.
- 3) The inspector will check the “Information only” block and enter the date the IFO received and reviewed the PASI.
- 4) The IFO will transmit the certification numbers to the AA in accordance with the MAG.
- 5) Ensure the Transportation Security Administration (TSA) remains informed of foreign repair station applications early in the certification process. (See Volume 2, Chapter 11, Section 13, for contact information.)

B. Formal Application Package.

- 1) Once the ASI receives the application package, he or she will ensure that it is complete per the MAG, section C.
- 2) If the ASI finds the documentation supporting an initial application *satisfactory*, he or she will then continue to process the application per the MAG, section C.
- 3) When all of the application documentation is reviewed and found to meet the requirements of the MAG, the FAA will invoice the repair station in accordance with AC 187-1. Once the repair station has paid the appropriate fee, the following will be accomplished:
 - a) Update SAS Configuration Module 1 Vitals Information.
 - b) If the ASI finds the documentation supporting an initial application *unsatisfactory*, he or she will prepare a letter or email (through the office manager to the AA) indicating the deficiencies. The AA in turn will notify the applicant of the FAA’s findings. The applicant must correct all deficiencies within 60 days of the FAA’s notification to the AA for the application process to continue. If the application process is terminated, the ASI must close out all certification files and complete the SAS automation to terminate the certification.
- 4) When the ASI completes the review of the application package as specific in the applicable MAG, he or she will sign FAA Form 8310-3, block 10.

NOTE: The FAA will not receive or need to review the FAA supplement prior to certification. The AA is required to retain one current copy of the FAA supplement as well as the document that shows an evidence of the perceived need for a part 145 certificate (written in English). The AA will make these available to the FAA on request.

C. FAA Form 8000-4. The ASI will complete FAA Form 8000-4, paying particular attention to the following:

- 1) After “Number,” insert the certificate number assigned to the facility, per the current air agency numbering system.
- 2) Under “This certificate is issued to,” insert the official name of the applicant’s business, as shown on the application form.
- 3) Under “whose business address is,” insert the address/location of the applicant’s business, as shown on the application form.
- 4) After “to operate an approved,” insert the words “Repair Station.”
- 5) Under “with the following ratings,” insert the limited rating(s) issued. The ratings must be listed by the general category, such as airframe, powerplant, or radio.
- 6) Under the ratings, enter the following statement, “[Under the Provisions of FAA-xxxxxx MIP].” Insert the name of the applicable authority in the MIP. The statement will identify the repair stations that meet the MIP requirements.

NOTE: Any maintenance facility that the FAA certificated prior to the date of entry into force of the MIP, and did not hold an AA part 145 certificate with equivalent ratings, may continue to exercise the privileges of its part 145 certificate with the understanding that the FAA will continue independent regulatory oversight, certificate renewal, and continued monitoring. In the cases of these facilities not under the MIP, surveillance will continue as SAS Peer Group G.

7) Limited ratings are issued to a repair station that maintains only a particular type of airframe, engine, propeller, radio, instrument, or accessory or part thereof, or provides specialized maintenance requiring equipment and skills not ordinarily performed under other repair station ratings. Such a rating may be limited to a specific model aircraft, engine, or constituent part, or to any number of parts made by a particular manufacturer.

NOTE: The ASI should ensure that the appropriate FAA rating is applied to the certificate by using the cross-reference charts in the applicable MAG, section A.

8) When ratings are added or amended, show the date of each issuance in parentheses after the added or amended rating.

9) Under “Date issued,” insert the issuance date of the certificate. This will be the date of original certification.

10) The ASI must adjust the part 145 certificate’s expiration date to coincide with the AA-recommended schedule, which the AA should note on the appropriate surveillance form. However, the date that the ASI inserts after “must continue in effect” should not be more than 12 months from the original (initial) certificate issue date.

11) Under “By direction of the Administrator,” insert the name of the office manager and office identifier.

12) For the Air Agency Certificate of a repair station, the ASI should cross out the language at the bottom of the form that states, “Any alteration of this...or both.”

13) The ASI should provide an annual list to the AA of each repair station that is due for renewal during the next fiscal year. (The ASI should determine the format and timeframe to submit this list.) This advanced notification will allow an AA to schedule its surveillance and resources to accommodate the renewal process.

14) Prepare FAA Form 8000-4, which the IFO manager (or delegate) must sign.

15) Notify the TSA that a certificate was issued.

NOTE: The IFO must recognize that the MIP requires close cooperation and coordination between the AA and the IFO. Therefore, the FAA should make every attempt to provide AAs with adequate information to enable them to utilize and schedule its resources in an efficient manner.

D. FAA Repair Station OpSpecs.

1) Complete the appropriate OpSpecs with the vital information and necessary ratings and authorizations.

2) The FAA ratings must be under the direct surveillance of an AA and comply with the MAG. Using the rating matrix in the applicable MAG, ensure the FAA ratings do not exceed the ratings issued by the AA. The applicant should apply for any additional ratings to ensure the type of work performed is properly rated.

NOTE: OpSpec A003 must include the FAA ratings. The limitation block should include the following or similarly worded statement: “The ratings and limitations contained in Operations Specification A003 are not intended to authorize maintenance that may exceed the scope of the ratings and limitations contained in the certificate issued by the [insert name] Aviation Authority.” Only limited ratings should be approved outside of the United States.

3) The ASI should select the appropriate paragraph in OpSpec A001 for a MIP not associated with the European Union (EU) agreement.

4) The FAA will only recognize a repair station's line station when it is under the direct surveillance of an AA and complies with the MAG. Refer to the applicable MAG for additional information on line maintenance authorizations. Ensure the requirement for a perceived need is obtained from the AA for the OpSpec D107 locations. Communicate with the U.S. air carrier's appropriate Flight Standards Office to ensure there are no concerns or objections before issuing OpSpec D107.

5) FAA issuance of specialized services rating requires FAA approved data. The IFO and the applicable Aircraft Certification Office (ACO) may coordinate the repair station's specification for approval. The ASI must review the MIP special conditions for the AA acceptance of data. If the data is acceptable under the special conditions, the ASI will record the FAA-approved data in OpSpecs, if acceptable.

NOTE: If the FAA approved data is not acceptable to the AA under the special conditions, the MAG will contain procedures for the appropriate provisions. The following or a similarly worded statement may be included in the limitation: "The data is not authorized for the use on [insert MIP country] registered aircraft or aeronautical products intended for installation on [insert MIP country] registered aircraft."

6) Complete OpSpecs that reference a capability list (CL).

7) The ASI will forward the original certificate and two original OpSpecs to the repair station. The repair station may sign both original OpSpecs and return one to the IFO. The ASI will then provide the AA with a copy of the certificate and the signed OpSpec.

NOTE: To expedite the signing of OpSpecs and issuance of certificates, emailing documents is acceptable.

E. ASI Responsibilities for SAS Custom Data Collection Tool (C DCT) and Vitals Information. The ASI will:

1) Complete the appropriate SAS modules as required. The AA will complete the FAA surveillance form (refer to the MAG, section C).

2) Review the FAA surveillance form to ensure compliance with the MAG. There should not be any open discrepancies during initial certification.

3) Upload the report into SAS as an attachment.

2-1379 ADDITIONAL FIXED LOCATIONS UNDER ONE FAA CERTIFICATE.

A. Requirements of Additional Fixed Locations. The repair station must hold a valid AA certification and be in compliance with the most current AA regulations. The FAA may issue the repair station a certificate that covers additional fixed locations as specified in the applicable MAG. The FAA will issue an OpSpec (A101) that identifies each location covered under the FAA certificate. Refer to the MAG for additional guidance.

B. New Fixed Locations Being Planned by the Repair Station. If applicable, a repair station that intends to add a new additional fixed location under its FAA certificate must complete FAA Form 8310-3 for each new location. The application should include the address of each location, the telephone and fax numbers, email address (if available), and the AA office with oversight responsibility.

C. FAA Surveillance Form. The AA must provide the FAA with a completed FAA surveillance form for each additional fixed location with a recommendation.

2-1380 CERTIFICATE RENEWAL PROCESS.

A. Effectiveness of a Renewal Certificate. Certificate renewals can be issued for 24 months per § 145.55. If the repair station certificate expires either during the time between inspections or due to unusual circumstances, the FAA may need to issue a short-term certificate of up to 90 days if the applicant demonstrates an ability and willingness to correct the noted deficiencies. The FAA may not extend a certificate past the 24-month period.

B. Renewal Requirements Under the MAG. Repair stations located in a country which has a BASA/MIP with the United States may request a renewal of an existing part 145 certification by using the procedures in the MAG, section C. When an AA follows the terms and conditions of the MAG, the ASI should accept the surveillance and recommendations for renewal of a part 145 certificate. The FAA should ensure if additional OpSpecs are necessary (e.g., line maintenance authorization, additional facilities locations, electronic procedures, or work away from station).

1) The FAA, AA, and repair station will accomplish the renewal certification in accordance with this section in conjunction with the applicable MAG, section C.

2) For renewal, only one FAA surveillance form is required to cover all facilities under one AA approval certificate.

C. Application Submission Timeframe. The repair station must submit a new application 30 days before the expiration date of its certificate. It is highly recommended to submit the application at least 90 days before expiration.

NOTE: The ASI must adjust the part 145 certificate's renewal expiration date to coincide with the AMO's AA-recommended surveillance schedule. If conflicts arise between the AA recommendation for renewal and the FAA-allowable timeframes, the AA and the ASI should agree on a date that meets part 145 requirements. However, the date indicated after the "must continue in effect" statement should not be more than 24 months from the original certificate renewal date and must align with the AA surveillance schedule, unless there is a need to issue an extension.

D. Findings and Corrective Actions. The ASI must review all documents in the renewal application package to verify they are complete and acceptable. The ASI will also verify that there are no outstanding issues involving corrective actions by reviewing the AA's findings in the recommendations section of the FAA surveillance form. Inspectors must conduct

themselves with the highest degree of professionalism when communicating any issues with foreign nationals. The FAA will follow the corrective action policy as follows:

1) The MIP allows the FAA to recognize the AA's corrective action without additional FAA action. The AA must provide the FAA with a recommendation on the appropriate surveillance form indicating any of the findings/discrepancies listed below. The AA must attach the CAP to the FAA surveillance form when submitted to the FAA. The following are reportable (Level 1) issues that should be described on the FAA surveillance form:

- Serious failure to comply with national regulations and requirements;
- Failure to comply with FAA special conditions identified in the MIP;
- Failure to use FAA-approved or accepted data in accordance with the reciprocal acceptance of repair data in the MIP;
- Failure of the AMO to maintain a working quality control system or internal self-audit system; and/or
- Any finding resulting in suspension, surrender, limitation, or revocation.

2) When the AA finds significant safety (Level 1) issues using the criteria above, it may provide the FAA with a nonrecommendation if the repair station has not taken corrective action and if the AA has not accepted a plan for corrective action. The following procedures apply:

a) The FAA will renew the repair station's certificate only after corrective action has taken place or the AA has submitted an acceptable CAP with the appropriate surveillance form. The FAA may issue a new certificate up to a 90-day extension while corrective action is taking place. Once the repair station has completed all corrective actions to the satisfaction of both the FAA and the AA, the FAA should renew the certificate for the remaining 24 months from its original renewal date in order to maintain the renewal schedule.

b) Extension should be issued only with the AA's agreement.

c) If the AA findings result in a suspension, limitation, or revocation, take immediate action and investigate the significant safety issues. Follow the Compliance and Enforcement policy in Volume 14, Chapter 1, Section 2.

NOTE: If the AA finding is not a violation under part 43 or 145, but does not meet the MIP special conditions, the FAA may have to initiate continued independent regulatory oversight, certificate renewal, and continued monitoring not under the MIP provisions. Notify the FAA Coordinator (AFS-54) in these situations.

d) The ASI must enter significant safety issues/finding into SAS and take appropriate action. The ASI will ensure that he or she follows SAS guidance for Modules 4 and 5 for Data Collection, Data Reporting, and principal inspector (PI) Analysis, Action, and tracking of CAPs in the Action Item Tracking Tool (AITT).

3) If the ASI finds the documentation supporting a repair station's renewal application *unsatisfactory*, he or she will prepare a letter or email (through the office manager to the AA) indicating the deficiencies. The AA, in turn, will notify the repair station of the FAA's findings. The repair station must correct all deficiencies within the allotted MAG timeframe for the renewal application process to continue. If the application process is terminated, the ASI must close out all certification files and complete the SAS.

E. Fees. The repair station must pay the necessary fees by following the procedures in subparagraph 2-1376C, Fees.

F. Preparing the Certificate and OpSpec. The ASI should complete this process in the same manner as the initial certification process.

G. ASI Responsibilities for the SAS C DCT and Vitals Information. The ASI should complete this process in the same manner as the initial certification process:

- 1) Enter all significant findings from the FAA surveillance form into the SAS.
- 2) Upload the FAA surveillance form into SAS.
- 3) Ensure that he or she follows SAS guidance for Modules 4 and 5 for Data Collection, Data Reporting, and PI Analysis, Action, and tracking of CAPs in the AITT.
- 4) Update the SAS Configuration Module 1 Vitals Information.

2-1381 CERTIFICATE AMENDMENT PROCESS. Refer to the MAG for requirements and procedures.

A. FAA Responsibilities.

1) Based on the AA's recommendation, the ASI will determine if the repair station meets all the requirements for the amendment. The ASI will complete FAA Form 8310-3 and issue the repair station a revised part 145 certificate and a revised OpSpec. For any additional ratings, date the ratings in parentheses on FAA Form 8000-4 using the format MM/DD/YYYY.

2) The ASI will forward to the repair station the certificate and OpSpecs. The FAA will provide the AA with a copy of the certificate and the repair station signed OpSpec as soon as possible.

B. Address Change. The repair station must submit a new application prior to moving to a new facility or changing its address. The AA will review the application and may authorize continued work while the applicant moves to another facility. The applicant should provide a written contingency plan to the AA. The FAA will receive the application and make appropriate certificate revisions.

C. Change in Ownership (Amendment to Certificate). When a repair station sells or transfers ownership of its organization, the new owner must submit a new application in accordance with § 145.57. If the amendment to a certificate involves a change in ownership that

does not affect or alter the formed basis of the original certification (location, facilities, or personnel) because of the sale or transfer of assets, the following apply:

1) If the sale or transfer of assets, normally called a financial takeover, does not affect the employees, facilities, equipment, or daily operation of the repair station, only a new application is required for an amendment to the existing certificate. The applicant would keep the existing certificate number and can continue operations.

2) New owners must stipulate in writing that they clearly understand they may be held liable for work performed under previous management and the potential of release of information under the Freedom of Information Act (FOIA) before receiving permission to retain the existing certificate number.

3) On the revised Air Agency Certificate (FAA Form 8000-4), the "Date issued" should always reflect the original certification date for the certificate number identified on the Air Agency Certificate.

4) If the new owner requests a new certificate number, and the sale or transfer of ownership does not affect the employees, facilities, equipment, or daily operation of the repair station, this process is administrative in nature. The FAA does not attempt to regulate the transfer of ownership of a business. Rather, the FAA's main concern in a situation that involves the change of ownership is whether any of the elements that form the basis for the original certification have been altered because of the sale. In this situation, the FAA can amend the existing certificate for the issuance of a new certificate number. The applicant should provide a written contingency plan for continued operations and agree on a date of issuance for the new certificate. This should ensure the maintenance entries required by part 43, § 43.9 or § 43.11 are appropriate, as the new certificate name and number applies to in process and future maintenance.

NOTE: If there are safety concerns with the daily operation and disruptions in the process of work performed, the applicant may have to stop operating under the existing certificate while the FAA and AA processes the new application requirements under § 145.57.

D. Change in Ownership (New Certificate). In situations that involve a change in ownership that affects or alters the formed basis of the original certification (location, facilities, or personnel), or disrupts the work performed in a way that could inherit risk due to the sale, the following apply:

1) The new owner must apply for an application for certificate in accordance with § 145.51.

NOTE: The privileges of a repair station certificate are not transferable without proper application.

2) This may entail a complete initial certification for the issuance of a new certificate under the MAG. The new owner should propose a written contingency plan to the AA for the transition of the significant changes.

3) A change to the certificate must include the hazmat letter in compliance with § 145.53(d).

NOTE: ASIs should contact their regional general counsel office when faced with questions concerning whether limited liability corporations or changes in stockholder ownership constitute a transfer of repair station assets, and for applicants with previously revoked certificates.

4) The original certificate and OpSpecs are required to be surrendered. Obtain a letter from the new owner and agree on a proposed date of the surrender.

E. Name Change. When a repair station changes the name of its organization, that does not affect or alter the formed basis of the original certification; the owner must submit a new application. The repair station would keep the existing certificate number and can continue normal operations. Amend the certificate and OpSpecs as required.

F. ASI Responsibilities for the SAS C DCT and Vitals Information. The ASI will ensure that he or she has entered the data from the FAA surveillance form within 30 days after task completion. The ASI will update the SAS Configuration Module 1 Vitals Information.

2-1382 TASK OUTCOMES.

A. Complete the Task.

1) Follow SAS Volume 10 guidance for Modules 4 and 5 for Data Collection, along with PI Analysis, Assessment, and AITT.

2) Update the SAS Configuration Module 1 Vitals Information, in the same manner with the data provided by the repair station. Ensure the “Bilateral Agreement” block is checked and the AA certificate number is documented in SAS.

B. Document the Task. Place all supporting paperwork in the certificate holder’s office file. The ASI will prepare and file the following documents in the IFO’s official file:

- A completed FAA Form 8310-3;
- A copy of the completed FAA surveillance form (refer to the MAG section) for the repair station and for each additional fixed location and/or line station;
- If applicable, a list of the additional fixed locations in which the repair station intends on utilizing its FAA certificate privileges;
- A list of line station authorizations, as applicable;
- The repair station’s letter certifying that it has trained its employees in the transportation of dangerous goods in accordance with ICAO standards, if applicable;
- A copy of the AMO’s AA part 145 certificate and scope of work/approval;
- A copy of the statement/document of need showing the necessity for the certificate; and
- A copy of the CL, as required.

2-1383 FUTURE ACTIVITIES. Follow the MAG procedures and SAS guidance in Volume 10 to plan future risk-based surveillance in SAS.

- The FAA Coordinator (AFS-54) may select an AA or a repair station for the SIS and provide a list to the FAA National Coordinator for concurrence.
- The FAA Coordinator (IFO) will identify risks and provide justification for a SIS inspection and coordinate with the FAA Coordinator (AFS-54).

RESERVED. Paragraphs 2-1384 through 2-1387.

VOLUME 3 GENERAL TECHNICAL ADMINISTRATION**CHAPTER 29 PROVING AND VALIDATION TESTS****Section 7 Request for Deviation of Proving Test Hours**

3-2416 GENERAL. Title 14 of the Code of Federal Regulations (14 CFR) part 91, § 91.1041; part 121, § 121.163; and part 135, § 135.145 contain authority for the Federal Aviation Administration (FAA) to reduce the proving flight hours specified in the basic regulation. Improvements in technology, training methods, communications, and established safe operating practices can enable an applicant to demonstrate compliance with applicable regulatory requirements in less time than the hours specified. Advanced simulation, Line-Oriented Flight Training (LOFT) scenarios, loading and maintenance exercises, and operational research and statistical analysis are some of the means applicants may use to demonstrate competence. As part of the plan, the applicant may request a deviation from the applicable regulatory requirements. The request must explain how the applicant intends to demonstrate regulatory compliance with a reduced hour program. If the applicant's plan contains a request for reduction, it must include at least the following additional information:

A. Total Hours of Operation. The plan must include the total number of hours that the applicant proposes to fly in the reduced program.

B. Flight Experience Résumé. The plan must include a flight experience résumé for each flightcrew member that the applicant intends to use during the proving flight. This résumé must include:

- Certificates;
- Total flight time;
- Any previous experience in the aircraft being tested;
- Years of experience with the applicant;
- Any other experience in parts 91 subpart K (part 91K), 121, and/or 135 operations (as applicable); and
- Other transport experience, such as military.

NOTE: If the certificate holder does not know which crewmembers the applicant will use for proving runs when the plan is submitted, this information can follow later.

C. Justification Statement. The statement must contain, but is not limited to:

- Applicant experience with part 91K, 121, or 135 operations;
- Applicant experience with aircraft of the same class (part 121) or type (part 91K or 135); and
- Applicant experience with the airports and areas of en route operation into which the aircraft will operate.

D. Other Information. The plan must include any other information requested by either the principal inspectors (PI) or the certification project manager (CPM), if applicable, or any information that the applicant believes will be useful in justifying the reduction. Other information could include nighttime routes to be flown or special airports to be observed.

3-2417 EVALUATING THE APPLICANT'S REQUEST.

A. Evaluation Considerations. The following are topics that the test team should consider when evaluating the request:

- 1) If the aircraft has not been used previously in air transportation by a U.S. certificate holder, to what extent has the aircraft been operated by foreign operators?
- 2) For newly certificated aircraft, how familiar is the test team with the aircraft?
- 3) For aircraft that are new to the applicant but that have been proven previously in part 121 or part 135 operations, to what extent is the overall operation affected by the new aircraft (changing from part 135 to part 121, domestic to flag)?
- 4) To what extent is the new aircraft substantially different from aircraft previously flown by the applicant (such as changing from turboprop to turbojet, unpressurized to pressurized, or narrow body to wide body)?
- 5) To what extent is the applicant's route structure affected by the request (e.g., inauguration of international routes and use of Special Areas of Operation (SAO))?
- 6) What is the experience level of personnel involved in the operation (e.g., flight and cabin crewmembers' previous experience in the operation of this type of aircraft)?
- 7) How does the applicant propose to conduct the proving flights (e.g., a few long-range versus several short-range flights)?
- 8) What level of management experience exists in the company with this type or similar type or make of aircraft?

B. Flight Hour Reduction Guide. The applicant may make a request for reduction in proving flight hours when the proving test plan is submitted. The FAA proving test team may approve these reductions at the field level. Test teams should use Table 3-108 below as a guide to determine whether a reduced flight hour program is suitable.

Table 3-108. Flight Hour Reduction Guide

SITUATION	PERCENT REDUCTION
New aircraft not previously proven by another part 121, part 135, or part 91K operator	0%
New operator having no management experience with aircraft category and class	10%
Existing part 135 or 91K operator having no management experience in part 121 operations and vice versa	15%
Existing operator having no management experience with aircraft category and class	20%
New operator having management experience with aircraft category and class	20%
Existing operator having management experience with same category and class	25%

NOTE: For proving run reduction requests, see Table 3-109 below.

3-2418 COORDINATION REQUIREMENTS AND APPROVAL AUTHORITY FOR PROVING FLIGHT HOUR DEVIATIONS. Any deviations granted in response to an applicant's request for a reduction in the required proving flight hours should be coordinated and approved according to Table 3-109.

Table 3-109. Coordination Requirements and Approval Authority for Proving Run Flight Hour Reductions

HOUR REDUCTION	COORDINATION REQUIRED	APPROVAL AUTHORITY
PART 121		
Up to 15 hours	None	Principal Operations Inspector (POI)
More than 15 hours	AFS-220	AFS-220
PARTS 135/91K		
Up to 5 hours	None	POI or Flight Standards District Office (FSDO) Manager
5 hours up to 10 hours	None	FSDO Manager
More than 10 hours	AFS-250/800	AFS-250/800

A. Letter of Approval or Denial of Deviation. If the FAA approves a request for a deviation to the required number of proving flight hours, inform the applicant by letter that the deviation is approved. The letter approving the deviation must also indicate acceptance of the applicant's proving flight plan. If the FAA denies the request, inform the applicant of the decision by a letter that explains the reasons for denial.

B. Conditions of Approval. When the FAA approves a deviation, the test team must ensure that the applicant understands that the deviation specifies the *minimum* number of proving flight hours that must be planned and that additional proving flights may be required if the applicant fails to demonstrate the ability to comply with all applicable regulations. The applicant should also be advised that potential delays due to problems such as maintenance, additional crewmember training requirements, and weather may extend the proving flight schedule, which could affect the date the applicant intends to start revenue operations.

RESERVED. Paragraphs 3-2419 through 3-2435.

VOLUME 4 AIRCRAFT EQUIPMENT AND OPERATIONAL AUTHORIZATIONS**CHAPTER 2 ALL WEATHER TERMINAL AREA OPERATIONS****Section 10 Safety Assurance System: Maintenance/Inspection Programs for Low Approach and Landing Minimums****4-416 REPORTING SYSTEM(S).**

A. Program Tracking and Reporting Subsystem (PTRS). For Title 14 of the Code of Federal Regulations (14 CFR) parts 91 and 125, use activity code 5435.

B. Safety Assurance System (SAS). For 14 CFR parts 121 and 135, use SAS automation. This section is related to SAS Element 4.6.1 (AW) Avionics Special Emphasis Programs.

4-417 OBJECTIVE. This section provides guidance for evaluating applications for lower approach and landing minimums in respect to the appropriate support program.

4-418 GENERAL.**A. Responsibilities.**

1) The Aviation Safety Inspector—Avionics' (ASI-AV) primary responsibility is to provide technical support to the Aviation Safety Inspector—Operations (ASI-OP) and the applicant. The responsibility for monitoring all applicants during the evaluation period should be coordinated between the ASI-AVs and ASI-OPs, to include:

- Approvals,
- In-flight evaluation observations, and
- Surveillance.

2) The applicant is responsible for obtaining and submitting all documents that establish the eligibility of its aircraft, such as:

- The required maintenance/inspection program necessary for continued eligibility;
- The applicant's minimum equipment list (MEL), with the limitations for Category I (CAT I) operations, if applicable; and
- An acceptable means for maintaining the reliability of the flight guidance control and associated systems.

B. Qualifications for Low Approach and Landing Minimums. Low approach and landing minimums are issued to qualified operators operating under part 91, 121, 125, or 135. While the operating rules for each of these authorizations may vary significantly, the approval guidelines do not. Approval for low or minimum approaches in all categories will require regulatory compliance in the following three major areas:

- Airborne equipment and systems,
- Flightcrew and maintenance personnel qualifications, and
- Lowered minimum procedures, including a maintenance/inspection program.

C. Deviations.

1) Deviations will not be made without coordination between the ASI-AVs and ASI-OPs. All requests for deviations must be forwarded by the ASI-OP to the Avionics Branch and the following operation branches, as applicable:

- Air Carrier Training Systems and Voluntary Safety Programs Branch (for parts 121 and 135), or
- Commercial Operations Branch (for parts 91 and 125).

2) The applicant will be advised not to proceed in operating under its lower minimum proposal until the deviation request is resolved.

4-419 PREREQUISITES AND COORDINATION REQUIREMENTS.

A. Prerequisites.

- Knowledge of the regulatory requirements of parts 91, 121, 125, and 135, as applicable.
- Successful completion of the Airworthiness Inspector Indoctrination course(s), or previous equivalent.

B. Coordination. This task requires coordination with the ASI-AVs and ASI-OPs, the applicant, the Aircraft Evaluation Group (AEG), and the Aircraft Certification Office (ACO), if necessary.

4-420 REFERENCES, FORMS, AND JOB AIDS.

A. References (current editions):

- Title 14 CFR Parts 23, 25, and 61.
- Advisory Circular (AC) 120-118, Criteria for Approval/Authorization of All Weather Operations (AWO) for Takeoff, Landing, and Rollout.

B. Forms. None.

C. Job Aids:

- Job Task Analysis (JTA): 3.3.33, 3.3.144.
- Volume 4, Chapter 2, Section 2, Safety Assurance System: Approval of U.S. Operators for Special Authorization Category I and All Category II/III Operations—Parts 91 (Large Aircraft), 91K, 121, 125, and 135 (Figure 4-6, Category II/III Approval Job Aid (Avionics/Maintenance) for Parts 91, 91K, and 125).

4-421 CAT I OPERATIONS. The ASI-AV's responsibilities for CAT I authorizations are to evaluate the flight director (FD) and/or autopilot systems. The Principal Operations Inspector (POI) is responsible for determining the overall suitability of an operator's CAT I capabilities.

4-422 CATEGORY II (CAT II) EQUIPMENT APPROVAL UNDER PARTS 91 AND/OR 135 (9 OR LESS).

A. Lower Approach Minimum Approval. An application for lower approach minimum authority will specify the basis for the aircraft approval to conduct lower minimum approaches. This authority will be based on:

- Type certification and the Airplane Flight Manual (AFM)/Rotorcraft Flight Manual (RFM),
- Supplemental Type Certification (STC),
- Operational evaluation, or
- Any acceptable combination of the above.

B. Requirements for CAT II Approval.

1) Requirements for CAT II approval for General Aviation (GA) operators have been established in part 91, §§ 91.189, 91.191, 91.193, 91.205, and part 91 appendix A. These sections specify:

- Required instruments and items of equipment,
- Methods of approval,
- Evaluation program conduct,
- Calibration standards, and
- Maintenance/inspection programs.

2) AC 120-118 is available to assist operators in developing and obtaining approval of CAT II equipment installations and maintenance/inspection programs.

C. Operational Evaluation Programs. Engineering coordination should be requested when necessary, particularly for those aircraft in which the functions and limitations of the automated systems are significant factors for safe operation.

D. FD Systems. ASI-AVs will be aware that single FD systems with dual displays in which the second display repeats only the instrument landing system (ILS) information on the pilot's display will not meet the requirements for two ILS receiving systems.

E. Optional Avionics Equipment. Optional avionics equipment installed by the operator will either be approved in the field or referred to the ACO for an engineering evaluation. The evaluation can assist in determining if flight testing is required, what limitations may apply, and whether or not the installation may require an STC. If an STC is required, ASI-AVs will assist in the accomplishment of a compliance and conformity inspection, as necessary, when requested by the ACO. Optional equipment that may be installed and require approval includes the following:

- FD systems,
- Automatic throttle control systems,
- Autopilot and approach coupler systems,
- Speed control command systems,
- System fault detection and warning systems, and
- Radio altimeters (RA).

F. Alterations. Aviation safety inspectors (ASI) should carefully review proposals to alter installed avionics equipment required for a particular Category (CAT) of operation and handle them in accordance with established procedures. Each proposal should be evaluated for its effect on system performance, compatibility with the original standard, and compliance with CAT II criteria.

1) When manufacturer-proposed alterations to existing avionics equipment appear to be major, the ASI will verify the approval status before sanctioning incorporation of the change by the operator. If Federal Aviation Administration (FAA) approval of the alteration is not clearly indicated in the manufacturer's instructions, the operator will obtain such approval before performing the alteration.

2) An ASI-AV will exercise a cautious approach to field approval of alterations. Pressure from any source must not discourage the ASI-AV from verifying that the alteration is being made in accordance with approved technical data and that the technical evaluation is clearly within the scope of the ASI-AV's training, experience, and approval authority.

3) ASIs will also carefully examine alterations originating in an operator's engineering department and, when necessary, refer them to the appropriate ACO.

4-423 CAT II/CATEGORY III (CAT III) EQUIPMENT APPROVAL UNDER PART 121/135 (10 OR MORE).

A. Large Aircraft Criteria. Operators using large aircraft operating under part 121 will meet the requirements in this chapter.

NOTE: AC 120-118 is available to assist operators in developing and obtaining approval of CAT II/III equipment installations and maintenance/inspections programs.

B. Turbojet Criteria. All operators using turbojet aircraft must comply with the aircraft systems evaluation criteria that applies to part 121 operators. Applicants certificated under part 135 using turbojet aircraft will also use the aircraft system evaluation criteria applicable to part 121 operators.

C. Systems Evaluation Approval. Systems evaluation approval should be accomplished in accordance with AC 120-118.

D. CAT II/III.

1) The aircraft requirements for Lower Landing Minimums (LLM) include requirements for the total aircraft performance and associated systems. The acceptance of an aircraft in either CAT must be completely based on performance and approved FAA data.

2) Upon receiving an operator's request for LLM authorization, the assigned ASI-AV should immediately contact the type certificating office. This action is to determine whether the aircraft has been approved for such operation and what equipment and systems have been approved. If the aircraft has not been LLM-certified, the ASI should request assistance from the appropriate ACO so that an application for an STC can be properly consolidated.

4-424 CONTINUOUS AIRWORTHINESS MAINTENANCE PROGRAM (CAMP) OR APPROVED INSPECTION PROGRAM FOR LLM.

A. Requirements. This section outlines the requirements for the CAMP (part 91 subpart K (part 91K) (optional), part 121, or part 135) and approved inspection program (parts 91K and 125 including A125 Letter of Deviation Authority (LODA) holders). This type of operation will need a detailed evaluation supported by well-defined maintenance, training, and reliability programs. All maintenance and reliability supporting documents become part of the accepted program. A monthly utilization/reliability summary will be established for the applicable aircraft and is given to the FAA for the initial data collection/demonstration period of 1 year. Reporting after the initial period will be accomplished in accordance with the certificate holder's CAMP.

B. Initial Program. The initial program should also include appropriate programs identified in the Maintenance Review Board (MRB) document. The frequency of maintenance actions may be revised when sufficient experience has been gained to justify a change, and when there is no conflict with the certification requirements. MRB-specified tasks and/or other approved maintenance procedures may be revised to ensure the required airborne equipment will continue to meet total system performance, accuracy, availability, reliability, and integrity for the operation.

C. Reliability. The reliability of systems and/or components set forth as substantiation for the LLM certification becomes the performance criteria for the program. Reliability reporting is not required for CAT I programs.

1) Controlled monitoring of the LLM system reliability will require that the operator, after initial evaluation, incorporate the pertinent systems and components into the approved reliability program. If the LLM system reliability does not meet the approved program, the operator will be allowed a reasonable time period in which to improve the reliability.

2) The ACO responsible for the type certification should be advised when the monthly removal rate is exceeded, and also informed of the probable cause. Reliability reporting is necessary when operational approval was based on probability analysis.

D. Maintenance Manual. The maintenance manual will identify all special techniques, maintenance/inspection frequencies, and test equipment requirements to support the program. It

will also specify the method of controlling the operational status of the aircraft. Those technicians qualified to release an aircraft for LLM must be identified.

E. Procedures. The operator's procedures must include a method for manual distribution to assure availability to the appropriate maintenance facility.

F. Method of Approval. Operators will show the method of approval of required equipment as listed in the maintenance portion of the manual.

G. Training. The operator must provide a training and recurrent training program. The list of personnel must be current. All maintenance personnel authorized to carry out this approved maintenance program must have training on the applicable aircraft systems and the approved policy and procedures of the certificate holder's approved LLM aircraft maintenance program authorization. Only those persons trained and qualified should be permitted to perform LLM maintenance/inspections.

H. Airborne Systems. The designs of LLM airborne systems are divided into two categories: those that provide continuous LLM system monitoring, and those that do not provide continuous monitoring. For those systems that do not provide continuous monitoring, the operational demand for LLM airborne systems with exposure to numerous hidden functions requires that the aircraft be either periodically exercised or functionally checked. This is to ensure that all systems are operational and that no dormant failure has occurred. The initial program will provide either a periodic LLM approach or periodic system functional check. Aircraft certified with continuous LLM systems monitoring are an exception however, and may not require periodic exercise or a function check. Advanced aircraft designs can provide continuous system monitoring; minimizing or eliminating the need for interactive test procedures such as built-in test equipment (BITE) or special support equipment. This design capability is demonstrated at certification and should be referenced in the relevant maintenance manual. Aircraft certified with continuous monitoring LLM systems include an alerting function to automatically notify the flightcrew of specific non-normal airplane system conditions. In addition, a maintenance message is registered in the central maintenance computer, alerting maintenance personnel to any malfunctions that affect the LLM capability.

I. Experience. Until sufficient experience and data is available (excluding the 6 month demonstration), it is recommended the aircraft status period not exceed 35 days for aircraft that are not certified with continuous LMM system monitoring. Failure to exercise the system by simulated LLM approach or functionally checking the system within 35 days should automatically place the aircraft in a non-LLM status. The aircraft must maintain this status until the required functional check is made.

4-425 PROGRAM DEVELOPMENT.

A. Initial Development. At the time of formal application, the ASI-AV will begin to monitor development activity. Participation in all meetings with an applicant will usually require coordination with the ASI-OP. It is important for the operator to include all key personnel in any meetings.

B. The Operator's Lower Minimums Program. The operator's lower minimums program must be developed and the procedures used during the evaluation period. Part D operations specifications (OpSpecs) must reflect all special LLM maintenance requirements that were developed to support repetitive evaluation of LLM systems and equipment.

4-426 MAINTENANCE/INSPECTION PROGRAMS. The proposed maintenance/inspection programs must be tailored to the applicant's operations and maintenance organization. All maintenance and reliability supporting documents become part of the accepted program.

A. Requirements for Maintenance/Inspection Programs. Maintenance/inspection programs will provide for the proper maintenance and inspection of equipment and aircraft systems.

B. Control and Accountability. Emphasis will be placed on control and accountability of all areas associated with LLM approvals. These areas primarily encompass the following:

- Initial and recurrent training on flight guidance control systems,
- The use of test equipment,
- The differences in aircraft systems between aircraft in an operator's fleet,
- Special procedures for airworthiness release and control of the aircraft approach status,
- Initial and recurrent training in all areas of the lower minimums program, and
- Training for new personnel and equipment types.

C. Operational Status of the Aircraft. The method for controlling the operational status of LLM aircraft equipment must include procedures that keep flight, dispatch, and maintenance personnel aware of that status.

D. Purchase of Avionics Equipment Package Installations. Some manufacturers and repair stations may develop GA maintenance/inspection programs in conjunction with their CAT II avionics equipment installation "package." The contents of such programs should be thoroughly evaluated for compliance and maintainability with LLM regulations.

E. Requalification Procedures. The program must include procedures for requalification of an aircraft for lower minimums following maintenance on any required system. This must include tests after replacements, resetting in rack, and interchange of components.

F. Approval. The ASI-AV will indicate approval of the maintenance program portion of the operator's CAT II/III manual by signing and dating each page of the program. When the ASI-AV accepts the manuals and provides them in electronic format, the operator should follow the guidance in AC 120-78, Electronic Signatures, Electronic Recordkeeping, and Electronic Manuals, to provide a means for the ASI-AV to indicate approval of applicable CAT II/III maintenance program manual sections (e.g., electronic signature or hard copy signature page).

4-427 MAINTENANCE TRAINING PROGRAMS. ASI-AVs, during the course of normal surveillance, will evaluate the maintenance facilities performing CAT II/III equipment

maintenance to ensure that the training provided meets the requirements of lower minimum standards.

4-428 EXISTING CAMP/APPROVED INSPECTION PROGRAM.

A. Develop Programs. Programs can be developed to be compatible with the existing maintenance/inspection program, as long as there is a clear distinction between normal and lower minimum requirements.

B. Proposal. When an operator's proposal is based on an existing maintenance/inspection program, the ASI must ensure that all procedures will provide for the lower minimums program requirements. Caution will be exercised when an applicant has used a program approved for use by another operator for developing its own.

C. Proposal/Existing Program Areas for Close Review. The following areas of the proposal and/or existing programs will be closely reviewed:

- The existing maintenance or inspection program;
- The existing reliability or Continuing Analysis and Surveillance System (CASS) program;
- The training program;
- The initial evaluation checks for existing aircraft and for new aircraft; and
- The existing parts pool, borrowed parts procedure, and control of spare parts.

NOTE: An operator's existing reliability program may be accepted when shown to be adequate for its lower minimum operations.

4-429 TEST EQUIPMENT AND STANDARDS.

A. Performance Standards, Tolerances, and Calibration Procedures.

1) Performance standards, tolerances, and calibration procedures applicable to ILS equipment have been adequately covered by:

- Technical Standard Orders (TSO),
- RTCA, Inc. documents, and
- Manufacturers' instruction manuals.

2) These standards or their equivalent are generally considered acceptable for inclusion in maintenance/inspection programs for equipment operated to the landing minimums of CAT I. Such standards may not be adequate for CAT II/III. Those that will not provide CAT system performance will be revised to provide the required level of performance.

B. LLM Tolerances. In many cases, the tolerances for CAT II/III airborne equipment are more rigid than those for CAT I. Therefore, the equipment used to inspect, test, and bench check CAT II/III equipment may require more frequent test and calibration.

C. Established Standards and Tolerances. Standards and tolerances established in the maintenance/inspection program for testing and calibrating airborne equipment and systems that are required for CAT II/III operations will not be relaxed following program approval without adequate substantiation that system performance will not be degraded.

4-430 BITE TEST, RETURN TO SERVICE, AND CONTINUOUS MONITORING.

A. BITE Test. The BITE test is a maintenance tool that can be used for return to service if certified by the aircraft manufacturer. The proper procedure for return to service is to perform an operational ground or functional flight check. The procedures in the manufacturer's maintenance manual, including the provisions of BITE, the fault isolation manual, the aircraft maintenance manual, and the operator's FAA-approved MEL are all essential portions in the process for an aircraft to be returned to service.

B. Return to Service Approval. For those aircraft for which BITE is minimal, non-existent, or that have a mix of digital and analog equipment, a more comprehensive functional test using test procedures and equipment prescribed in the manufacturer's maintenance manual must be accomplished before approval for return to service. On repeat discrepancies, the functional test must consist of the most comprehensive test in the maintenance manual for aircraft that have different levels of test complexities.

C. Return to Service Procedures. The CAT II/III maintenance program will address the procedures for return to service.

D. Continuous Monitoring. Aircraft certified with continuous LLM system monitoring may require a return to service test after line replaceable unit (LRU) replacement. Those aircraft may not require a ground assurance test to return them to full LLM capability, unlike LLM airborne systems without continuous monitoring. References to continuous monitoring should be found in the relevant instructions for continued airworthiness (ICA).

4-431 MAINTENANCE PERIOD EXTENSIONS—GA.

A. Applications for Extensions.

1) The Flight Standards District Office (FSDO) will consider applications for extensions of maintenance periods for GA operators at the completion of one maintenance cycle of at least 12 calendar-months. Operators should apply to the responsible Flight Standards office for the area in which the operator is located.

2) The FSDO will consider the following factors in granting an extension:

- Records of CAT II approaches due to malfunctioning equipment,
- Number of CAT II approaches (actual and simulated),
- Maintenance records of CAT II equipment failures,
- Service history of known trends toward malfunctioning,
- Unit mean time between failures (MTBF), and
- Records of functional flight checks.

B. Check, Test, and Inspection Extensions. Extensions to the check, test, and inspection periods may be granted if factors indicate that the performance and reliability of the CAT II/III instruments and equipment will not be adversely affected. GA extension periods, in most cases, would be 1 calendar-month for tests, inspections, and functional flight checks, and 4 calendar-months for bench checks. The operator's program should include procedures for obtaining the extensions.

C. Increased Extension Periods. The extension periods suggested in subparagraph 4-431B may be increased at the discretion of the ASI-AV.

4-432 FUNCTIONAL FLIGHT CHECKS. Some operators have submitted programs that provide for functional flight checks. This procedure must not be approved unless all airworthiness requirements have been satisfied before dispatch. In no instance can a functional flight check be substituted for the certification of complete systems or equipment operation.

4-433 REPORTS AND RECORDS.

A. Responsibilities of Recordkeeping. The owner's/operator's organization will provide training to persons responsible for these reports in appropriate parts of the proposed LLM program.

B. CAT III or Any Autoland CAT. For a period of 1 year after the initial autoland authorization, a monthly report of airborne equipment malfunctions during actual approaches should be submitted to the certificate-holding office. Reports after the initial period should be made annually or per the operator's established reliability and reporting requirements.

4-434 PROCEDURES.

A. Review the Maintenance/Inspection Program. Review the applicant's maintenance/inspection program to ensure that it contains control and accountability over the following:

- All maintenance accomplished on lower minimum required systems and equipment;
- All alterations to systems and equipment;
- Approach status of each aircraft at all times;
- Return to service procedures to upgrade aircraft to CAT II/III status;
- Spare equipment;
- Maintenance calibration, use of test equipment, and records/reporting requirements;
- Repetitive and chronic discrepancies to ensure the affected aircraft remains out of lower minimums approach status until positive corrective actions is made; and
- All aircraft in the fleet that have not been evaluated for lower minimums approaches.

B. Review the Existing Maintenance/Inspection Programs. Ensure that the existing maintenance/inspection program has procedures for the following:

- Identifying chronic discrepancies and corrective action followup;
- Keeping aircraft with chronic and/or repetitive discrepancies out of a lower minimum status until positive corrective action is taken;
- Training maintenance personnel assigned to reliability analysis;
- Conducting initial evaluation checks for existing aircraft and new aircraft to the fleet before inclusion in the operator's lower minimum operations;
- A means for identifying all CAT II/III components used in the applicable aircraft systems in the existing parts pool, parts borrowing procedure, and control of spare parts;
- Ensuring that calibration standards for all test equipment used for maintaining lower minimum systems and equipment are met;
- Ensuring that each flightcrew and persons with operational dispatch authority are aware of any equipment malfunction that may restrict lower minimum operations; and
- Submitting any changes to the LLM maintenance program to the FAA for acceptance and approval by the Principal Avionics Inspector (PAI) before any changes are adopted.

C. Review the Functional Flight Checks. If a functional flight check has been submitted, ensure that the following information is included:

- Maintenance clearance and/or concurrence before an aircraft is returned to a lower minimum status, even if the functional flight check was found to be satisfactory;
- Request for a flight check by maintenance in the aircraft log; and
- Maintenance entry acknowledging the results and the action taken.

D. Evaluate the Supporting Data. Unless the applicant provides supporting approval data, the ASI-AV will coordinate with the ASI-OP and the ACO responsible for the type certificate (TC) to determine the acceptability of each aircraft for the authorizations requested.

E. Review the MEL. Appropriate sections of the MEL must be revised to identify CAT II/III required systems and special procedures, if applicable.

F. Review the Personnel Training Requirements. Ensure that there are procedures for the following:

1) All maintenance personnel involved and authorized to carry out this approved maintenance program must have initial and recurrent specialized training on the applicable aircraft systems and the approved policy and procedures of the certificate holder's approved LLM aircraft maintenance program authorization.

2) Ensuring personnel contracted to perform CAT II/III related maintenance are qualified and the program requirements are made available to these persons.

3) Personnel not qualified to perform maintenance on CAT II systems and equipment, including flightcrew and dispatch, will be trained in the airworthiness release requirements of the lower minimums program.

4-435 TASK OUTCOMES.

A. Complete the PTRS Record.

B. Follow SAS Guidance for Modules 4 and 5.

C. Complete the Task. The POI has the primary responsibility to grant the operator approval for lower minimums after concurrence from the appropriate Flight Standards office. It is the ASI-AV's primary responsibility to evaluate and approve the CAT II/III maintenance requirements and associated support programs after concurrence of the appropriate Flight Standards office. Successful completion of this task will therefore consist of coordination with the ASI-OP for sending all original CAT II and III documentation to the appropriate Flight Standards office for review and concurrence.

4-436 FUTURE ACTIVITIES. None.

RESERVED. Paragraphs 4-437 through 4-450.

VOLUME 5 AIRMAN CERTIFICATION**CHAPTER 2 TITLE 14 CFR PART 61 CERTIFICATION OF PILOTS AND
FLIGHT INSTRUCTORS****Section 15 Issue a Part 61 Pilot and/or Flight Instructor Certificate Based on Military
Pilot Qualifications****5-616 PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY
CODE. 1532.**

5-617 OBJECTIVE. The objective of this task is to determine if an applicant is eligible for a pilot or flight instructor certificate and associated ratings based on military pilot qualifications. Completion of this task results in the issuance or denial of a pilot and/or flight instructor certificate.

5-618 GENERAL.**A. Applicability.**

1) Pilot Certificate. Per Title 14 of the Code of Federal Regulations (14 CFR) part 61, § 61.73(a) and (b), the Federal Aviation Administration (FAA) may issue the following on the basis of military pilot qualifications to military pilots and former military pilots in the U.S. Armed Forces (Army, Navy, Marine Corps, Air Force, and Coast Guard). Note that the United States Public Health Service Commissioned Corps and the National Oceanic and Atmospheric Administration (NOAA) Commissioned Officer Corps are not armed services and are not eligible for the following based on their qualifications in those uniformed services.

- A Commercial Pilot Certificate with the appropriate aircraft category and class rating,
- An instrument rating with the appropriate aircraft rating, or
- A type rating.

2) Foreign Pilot. Per § 61.73(a) and (c), a Commercial Pilot Certificate and ratings under paragraph (a) of this section may be issued to a military pilot currently in the Armed Forces of a foreign contracting State to the Convention on International Civil Aviation assigned to pilot duties in the U.S. Armed Forces, for purposes other than receiving flight training. For a list of applicable International Civil Aviation Organization (ICAO) Member States, refer to <http://www.icao.int/about-icao/Pages/member-states.aspx>.

3) Flight Instructor. Per § 61.73(g), a flight instructor certificate with appropriate ratings may be issued to a U.S. military instructor pilot, a former U.S. military instructor pilot, a U.S. military pilot examiner, or a former U.S. military pilot examiner.

4) Night Vision Goggles (NVG) Endorsement. The FAA does not issue NVG endorsements based on military qualifications. The only items authorized to be issued based on military qualifications are listed in § 61.73. Refer to § 61.31(k)(3)(i), which states that the endorsements required under § 61.31(k)(1) and (2) do not apply if a person can document

satisfactory completion of a pilot proficiency check on NVG operations conducted by the U.S. Armed Forces.

5) Unmanned Aircraft System (UAS) or Remotely Piloted Aircraft (RPA)

Pilots. The following guidance applies to UAS and RPA pilots interested in obtaining FAA pilot certificates and ratings. The U.S. Armed Forces use various designations for their UAS pilots. Some military UAS pilots are dual-rated. This means they graduated from a military manned aircraft pilot training program and received an aeronautical designation as a military pilot plus they graduated from an unmanned pilot training program and received a designation as a remote pilot. Some military UAS pilots have only graduated from an unmanned pilot training program. Although some of the military unmanned pilot training programs contain manned aircraft familiarization curriculum segments, a military UAS pilot trainee does not graduate as a military manned aircraft pilot. Flight Standards District Offices (FSDO) have reported an increased level of interest by military UAS pilots in obtaining FAA pilot certificates and ratings. Some offices have erroneously assumed that § 61.73 allows military UAS pilots to apply for FAA pilot certificates and ratings based on their military experience.

a) **Military Pilot Training.** Only those persons who graduate from a military manned aircraft pilot training program are eligible for part 61 pilot certificates or ratings under the provisions of § 61.73. Military UAS pilot experience does not qualify for any pilot or flight instructor certificate with an airplane, rotorcraft, glider, lighter-than-air, or powered-lift category rating, nor does it currently qualify for an FAA Remote Pilot Certificate. FAA regulations do not currently permit the experience acquired while operating an unmanned aircraft (UA) to be logged to meet the aeronautical experience requirements for FAA certification for manned aircraft or to meet the recency-of-experience requirements of part 61. Manned aircraft flight time accrued in the military during a training course for a UA can count towards the experience requirements of part 61 for a certificate or rating outside of § 61.73, provided it meets the definitions of pilot time and/or flight time, as defined in § 61.1.

b) **FAA Instrument Rating.** Military UAS experience time does not qualify for an initial instrument rating or an instrument rating to be added to any FAA pilot certificate. There is no provision to do so in § 61.65 or § 61.73.

c) **FAA Remote Pilot Certificate.** There is no avenue for the issuance of an FAA Remote Pilot Certificate based on military UAS experience. There is no provision to do so in part 61 or 14 CFR part 107.

6) Aviation Safety Inspector (ASI)/Aviation Safety Technician (AST)/Military Competency Examiner (MCE) Actions.

a) Do not accept an application for an airman certificate or rating in a manned aircraft under part 61 if the applicant is seeking to credit military UAS experience towards the aeronautical experience requirements.

b) Do not accept an official U.S. Armed Forces record to meet the requirements of § 61.73(h)(2) that shows the person graduated from a U.S. Armed Forces undergraduate pilot training school and received a rating qualification as a remote aircraft pilot.

c) Only accept an official U.S. Armed Forces record to meet the requirements of § 61.73(h)(2) that shows the person graduated from a U.S. Armed Forces undergraduate pilot training school and received a rating qualification as a manned aircraft pilot.

d) Only accept an official U.S. Armed Forces record showing the person passed a pilot proficiency check and instrument proficiency check (IPC) in an aircraft as a military pilot from a U.S. Armed Forces undergraduate pilot training school to meet § 61.73(h)(3).

e) Do not accept recorded military flight simulation training device (FSTD) time that does not meet 14 CFR part 60, § 60.11 requirements. Most military FSTDs are not certified and maintained in accordance with FAA standards.

f) Do not accept personal logbook entries in place of official records to meet the requirements of § 61.73.

B. General Information for Pilot and Flight Instructor Certificates Issued on the Basis of Military Pilot Qualifications.

1) No practical test is required for the issuance of a certificate based on military pilot qualifications.

2) Actions to issue a pilot certificate based on military qualifications apply to current and former military pilots in the U.S. Armed Forces and certain military pilots from a foreign contracting State to the Convention on International Civil Aviation. These military pilots must present official U.S. military records as defined in § 61.73(b) through (f). Other applicants may appear to be military pilots when they are not. Applicants such as civilians employed by the U.S. Armed Forces, contractors to the U.S. Armed Forces, police, and employees of other government agencies are not to be issued pilot certificates based on § 61.73 and their employment.

3) Actions to issue a flight instructor certificate based on military qualifications apply to current and former U.S. military instructor pilots, and current and former U.S. military pilot examiners. Unlike applicants for pilot certificates, military pilots from a foreign contracting State to the Convention on International Civil Aviation are not eligible for a flight instructor certificate based on § 61.73. These military flight instructor applicants must present official U.S. military records as defined in § 61.73(g). Other applicants may appear to be pilots and flight instructors in the U.S. Armed Forces when they are not. Applicants such as civilians employed by the U.S. Armed Forces, contractors to the U.S. Armed Forces, police, and employees of other government agencies are not to be issued pilot certificates based on § 61.73 and their employment.

4) New or existing airman certificates may have aircraft category, class, type ratings, and instrument ratings, if applicable, added under § 61.73. Only the ratings that meet the § 61.73 criteria can be issued through this process.

5) Aircraft category and class ratings based on military pilot qualifications may be added to an Airline Transport Pilot (ATP) Certificate as commercial pilot privileges.

6) All type ratings shown on the superseded certificate carry forward to the higher certificate level within that category and class of aircraft without further testing. For example, a military pilot applying under the provisions of § 61.73(b) who holds a B-737, DC-3, and SK-61 type rating at the Commercial Pilot Certificate level satisfactorily completes at a later date an ATP practical test in a CE-750. At that time, the B-737 and DC-3 type ratings would elevate to the ATP Certificate level. The SK-61 would not elevate because the practical test was in a multiengine airplane. When the person satisfactorily completes an ATP practical test in a helicopter, the SK-61 would elevate to the ATP Certificate level. Similarly, when adding an aircraft type rating using military pilot qualifications to an existing ATP Certificate with the same category and class rating, that type rating would match the ATP level without further testing.

7) There is no time limit on being a “current” or “former” U.S. military pilot, instructor pilot, or U.S. military pilot examiner in applying for and being issued a certificate under § 61.73.

8) An applicant is not eligible for a pilot certificate, flight instructor certificate, instrument rating, or type rating based on military pilot qualifications if the applicant has been removed from flying status because of lack of proficiency or disciplinary action involving aircraft operations while on active flying status. Refer to § 61.73(a).

9) Unless otherwise authorized by the Administrator, a person whose FAA airman certificate has been revoked, suspended, or surrendered shall not be eligible to have that certificate reissued under § 61.73. See paragraphs 5-623 and 5-624 for additional information.

10) The applicant does not need to possess a valid medical certificate when applying for a certificate or rating under § 61.73.

5-619 COMMERCIAL PILOT CERTIFICATE ELIGIBILITY. The following provides the general eligibility criteria for the issuance of a Commercial Pilot Certificate on the basis of military pilot qualifications and without reference to the applicant’s flight time.

A. Current Military Pilots and Former Military Pilots in the U.S. Armed Forces. Per § 61.73(b), these applicants must present the following:

- 1) Evidentiary documents as described in § 61.73(h)(1), (2), and (3):
 - a) An official U.S. Armed Forces record that shows the person graduated from a U.S. Armed Forces pilot training program/school and was awarded aeronautical designation as a military pilot, typically evidenced by issuance of aeronautical orders (see Table 5-7, Acceptable Records for Various Armed Services); and
 - b) An official U.S. Armed Forces record that shows the pilot passed a pilot proficiency check and IPC (if the applicant wants to add an instrument rating) in a manned aircraft as a military pilot. These checks are not specific to the ratings sought by the applicant.
- 2) An unexpired knowledge test report that shows the person passed the appropriate knowledge test, if applicable. See subparagraph 5-619C for further guidance.

3) Official U.S. military records showing compliance with either of the following regulatory requirements:

a) Section 61.73(b)(3)(i): before the date of the application, passing an official U.S. military pilot proficiency check and IPC in a U.S. Armed Forces operated aircraft of the kind of aircraft category, class, and type, if class or type of aircraft is applicable, for the ratings sought; or

b) Section 61.73(b)(3)(ii): before the date of application, logging 10 hours of pilot time as a military pilot in a U.S. Armed Forces operated aircraft in the kind of aircraft category, class, and type, if a class rating or type rating is applicable, for the aircraft rating. For the purposes of meeting § 61.73(b)(3), the FAA considers pilot time as a military pilot to be any military pilot time obtained during the successful completion of a manned U.S. military pilot training program resulting in the designation as a military pilot or manned military pilot time after training completion.

B. Military Pilots in the Armed Forces of a Foreign Contracting State to ICAO.

A person who is a military pilot in the Armed Forces of a foreign contracting State to ICAO and is assigned to pilot duties in the U.S. Armed Forces, for purposes other than receiving flight training, may apply for a Commercial Pilot Certificate and ratings under § 61.73(a), provided that person complies with the following:

- 1) Presents the following evidentiary documents as described in § 61.73(h)(4):
 - a) An official U.S. Armed Forces record that shows the person is a military pilot in the U.S. Armed Forces (§ 61.73(h)(4)(i));
 - b) An official U.S. Armed Forces record that shows the person is assigned as a military pilot in the U.S. Armed Forces for purposes other than receiving flight training (§ 61.73(h)(4)(ii));
 - c) An official record that shows the person graduated from a military pilot training program/school from the Armed Forces from a foreign contracting State to the Convention on International Civil Aviation or from the U.S. Armed Forces, and received a qualification as a military pilot; and
 - d) An official U.S. Armed Forces record that shows that the person passed a U.S. Armed Forces pilot proficiency check and IPC in an aircraft as a military pilot in the U.S. Armed Forces. These checks are not specific to the ratings sought by the applicant.
- 2) A report that shows successful passing of the appropriate knowledge test, if applicable. See subparagraph 5-619C for further guidance.

3) Official U.S. military records showing compliance with either of the following regulatory requirements:

a) Section 61.73(c)(3)(i): before the date of the application, passing an official U.S. military pilot proficiency check and IPC in a U.S. Armed Forces operated aircraft of the kind of aircraft category, class, or type, if class or type of aircraft is applicable, for the ratings; or

b) Section 61.73(c)(3)(ii): before the date of the application, logging 10 hours of pilot time as a military pilot in a U.S. Armed Forces operated aircraft of the kind of category, class, and type of aircraft, if a class rating or type rating is applicable, for the aircraft rating. For the purposes of meeting § 61.73(c)(3), the FAA considers pilot time as a military pilot to be any military pilot time obtained during the successful completion of a manned U.S. military pilot training program resulting in the designation as a military pilot or manned military pilot time after training completion. For foreign pilots to log pilot time, the pilot must be assigned to pilot duties in the U.S. Armed Forces for purposes other than receiving flight training.

C. Knowledge Test Requirements for a Pilot Certificate.

1) An applicant for original issuance of a Commercial Pilot Certificate based on military pilot qualifications must pass a military competence knowledge test within 24 calendar-months preceding the month of application. At the current time, there are two such tests: Military Competency Airplane (MCA) and Military Competency Helicopter (MCH). The FAA is developing a new test, the Commercial Pilot – Military Competency Non-Category Specific (MCN) Aeronautical Knowledge Test, that is not specific to airplane or helicopter, which will replace the MCA and MCH. The new MCN test and the new Commercial Pilot–Military Competence Airman Certification Standards (ACS) were released on October 15, 2018. Unexpired MCA or MCH knowledge tests results will be valid until the expiration date of the airman’s test results. To determine which Airman Knowledge Test Report (AKTR) with passing results may be used when applying for a Commercial Pilot Certificate in accordance with § 61.73(b)(2), see Table 5-8, Acceptable Military Competency Knowledge Tests for Commercial Pilot Certificate Eligibility. The most current information about testing requirements for all pilot certificates is located at https://www.faa.gov/training_testing/testing/media/testing_matrix.pdf. An applicant who is qualified for multiple ratings on a Commercial Pilot Certificate based on military pilot qualifications need only pass one pilot military competence knowledge test. For example, an applicant applying for both airplane and helicopter ratings on the basis of military pilot qualifications needs to complete either the MCA or MCH, but not both. As of October 15, 2018, only the MCN test is available.

NOTE: An applicant who is rated in powered-lift aircraft need only pass one military competence knowledge test, MCA or MCH. As of October 15, 2018, only the MCN is available for testing.

2) A knowledge test is required per § 61.63(b)(4) if an applicant currently holds a glider or lighter-than-air balloon rating on a pilot certificate and wants to add one of these aircraft category ratings: airplane, rotorcraft, or powered-lift.

3) An additional knowledge test is not required in either of the following instances:

a) To add an additional class rating onto an existing pilot certificate, provided the applicant already holds an airplane, rotorcraft, powered-lift, weight-shift-control, Powered Parachute (PPC), or airship rating at that pilot certificate level per § 61.63(c)(4); or

b) To add an additional aircraft type rating to an existing certificate, if the applicant holds airplane, rotorcraft, powered-lift, or airship rating on the pilot certificate per § 61.63(d)(5).

D. Instrument Rating on the Pilot Certificate. An instrument rating may be issued only if the applicant meets the requirements in § 61.73(d):

1) Has passed an IPC in the U.S. Armed Forces in the aircraft category for the instrument rating sought, and

2) Has an official U.S. Armed Forces record that shows the person is instrument pilot qualified by the U.S. Armed Forces to conduct instrument flying on Federal airways in that aircraft category and class for the instrument rating sought.

E. Type Ratings. An aircraft type rating may only be issued for a type of aircraft that has a comparable civilian type designation issued by the FAA Administrator. Civil type designations and their approved equivalent military aircraft may or may not have been evaluated by the Aircraft Evaluation Group (AEG). Those approved by the Administrator must be on the published FAA type designations list. Only the military aircraft in the Equivalent Military Designation column are eligible for a civil aircraft type rating. This list is located at <http://registry.faa.gov/typeratings/>.

F. Glider Rating on the Pilot Certificate. Consider the following information before issuing a glider category rating based on military pilot qualifications:

1) An applicant may receive an initial Commercial Pilot Certificate with a glider category rating on the basis of military pilot qualifications. The applicant must pass the military competency aeronautical knowledge test. There is no specific test for the glider category. The applicant need not hold an FAA pilot certificate at the time of application.

2) Many military pilot training programs contain glider training. However, this glider training is only a prerequisite for training in a powered aircraft category (e.g., airplane) and does not result in a military glider rating qualification. As with all ratings obtained on the basis of military pilot qualifications, an official U.S. Armed Forces record that shows the person graduated from a U.S. Armed Forces pilot training program and was awarded an aeronautical designation as a military pilot is required. A record or order that states that the applicant has been assigned pilot duties in a glider aircraft may be used to satisfy this requirement. Note that a student pilot record/order does not satisfy this requirement.

G. Powered-Lift Rating on the Pilot Certificate. The following should be considered before issuing a powered-lift rating based on military pilot qualifications:

- 1) The following aircraft are considered to be in the powered-lift category:
 - The Bell-Boeing V-22 Osprey,
 - The McDonnell Douglas AV-8 Harrier,
 - The F-35B STOVL (short takeoff/vertical landing) variant, and
 - Any aircraft type certificated (TC) by the FAA as powered-lift.
- 2) The training and testing completed by pilots operating airplanes are also necessary for those operating powered-lift aircraft. Therefore, an applicant may be issued an airplane category rating with a class rating that corresponds to the powered-lift aircraft flown. The following examples are used to illustrate this point:
 - a) Applicants who meet the criteria for a powered-lift rating based on experience in the V-22 are considered qualified to also receive an Airplane Multiengine Land (AMEL) rating. Such applicants would receive both the powered-lift category and the airplane category with multiengine land class ratings at the commercial level.
 - b) Applicants who meet the criteria for a powered-lift rating based on experience in the F-35B and AV-8 are considered qualified to also receive an Airplane Single-Engine Land (ASEL) rating. Such applicants would receive both the powered-lift category and the airplane category with single-engine land class rating at the commercial level.
 - c) Applicants may not use military experience in a powered-lift aircraft to obtain an FAA pilot or flight instructor certificate with a rotorcraft category.

H. Previous “Limited to Center Thrust” Limitation.

1) Previous guidance required a “Limited to Center Thrust” limitation to be placed on the pilot certificate if the applicant could only demonstrate experience in an airplane that did not have a published minimum controllable airspeed with the critical engine inoperative (V_{MC}) established by the manufacturer. The FAA reconsidered this policy and removed all military airplanes from the list of center thrust aircraft. Applicants may be issued a Commercial Pilot Certificate with an airplane multiengine rating with no limitations. Reasons for this change include:

a) Military aircraft are not certificated under the same standards found for civilian aircraft. The manufacturer of a military aircraft is not required to determine or publish a V_{MC} , even if the same design would require the manufacturer to establish a V_{MC} under 14 CFR parts 23 and 25.

b) Military pilots operating multiengine airplanes are trained and tested on addressing in-flight single-engine failure. This training and testing includes the accompanying issues of asymmetrical thrust and potential loss of control during single-engine operations.

2) No “Limited to Center Thrust” limitation should be placed on a pilot certificate or rating that is issued on the basis of military pilot qualifications. Airmen who currently have a “Limited to Center Thrust” restriction may have that restriction removed by reapplying for the

Commercial Pilot Certificate. The applicant will be required to show all of the documentation required by § 61.73 and described by this guidance.

I. Acceptable Records for a Pilot Certificate. For a list of acceptable records that may be presented by the applicant as evidence of piloting record and status in the U.S. Armed Forces, see Table 5-7. Records may also be supplemented with electronic pilot logbooks as additional evidence of meeting the requirements for a pilot certificate or rating.

J. Logging Cross-Country Flight Time. The FAA recognizes that pilots who have logged flight time acquired in a military aircraft may not have distinguished cross-country flight time from total flight time. In that case, the FAA will allow applicants to make a reasonable estimation of their cross-country flight time as defined in § 61.1. This time, which cannot exceed the pilot's total time in the applicable category and class, may be used to meet the aeronautical experience requirements in the applicable 14 CFR section. Pilots who annotate their estimation of cross-country time in their logbook will be considered to have logged this time for the purposes of meeting the aeronautical experience requirements of part 61.

5-620 FLIGHT INSTRUCTOR CERTIFICATE ELIGIBILITY. The following provides the general eligibility criteria for a flight instructor certificate issued on the basis of military pilot qualifications. This guidance applies only to current U.S. military instructor pilots, U.S. military pilot examiners, former U.S. military instructor pilots, and former U.S. pilot examiners. Unlike the Commercial Pilot Certificate, a flight instructor certificate may not be issued on the basis of military pilot qualifications to a military aviator in the Armed Forces of a foreign contracting State to the Convention on International Civil Aviation.

A. Documentation. Per § 61.73(g), applicants seeking a flight instructor certificate must present the following information:

1) A Commercial Pilot or ATP Certificate with the appropriate aircraft category and class rating, if a class rating is appropriate, for the flight instructor rating sought. Private pilot privileges on the airman's Commercial Pilot or ATP Certificate do not qualify for a rating on the applicant's flight instructor certificate.

2) An instrument rating, or instrument privileges, on the pilot certificate that is appropriate to the flight instructor rating sought.

3) A knowledge test report that shows the person passed the Military Competence Instructor (MCI) knowledge test within the 24 calendar-months prior to the month of application. If the U.S. military instructor pilot or pilot examiner already holds an FAA-issued flight instructor or ground instructor certificate, the knowledge test report is not required. Applicants should refer to testing information at https://www.faa.gov/training_testing/testing/media/testing_matrix.pdf.

4) An official U.S. Armed Forces record or order that shows the person is (or was) qualified as a U.S. Armed Forces military instructor pilot or pilot examiner for the flight instructor rating sought.

5) An official U.S. Armed Forces record or order that shows the person completed a U.S. Armed Forces instructor pilot or pilot examiner training course and received an aircraft rating qualification as a military instructor pilot or pilot examiner in a manned aircraft that is appropriate to the flight instructor rating sought.

6) An official U.S. Armed Forces record or order that shows that the person passed a U.S. Armed Forces instructor pilot or pilot examiner proficiency check in a manned aircraft as a military instructor pilot or pilot examiner that is appropriate to the flight instructor rating sought. For U.S. Navy and Marine Corps aviators, a letter signed by a squadron commander showing Naval Air Training and Operating Procedures Standardization (NATOPS) instructor pilot or flight examiner designation will meet the requirements of subparagraph 4) above.

B. Knowledge Test Requirements for a Flight Instructor Certificate. Except for the holder of an existing flight instructor certificate issued under part 61 subpart H, an applicant must pass the MCI knowledge test within the preceding 24 calendar-months to be eligible for an original issuance of the flight instructor certificate issued under § 61.73(g). The MCI knowledge test satisfies the knowledge test requirement of § 61.73(g)(3)(i).

1) A military applicant is not required to take any other knowledge tests associated with the flight instructor certificate, such as the fundamentals of instructing (FOI) knowledge test or the traditional instructor knowledge test associated with the category sought.

2) An applicant is not authorized to substitute another knowledge test in lieu of the MCI knowledge test.

3) An applicant who holds a flight instructor certificate with only a sport pilot rating is required to take and pass the MCI knowledge test before being issued additional ratings under § 61.73(g).

C. Instrument Rating on the Instructor Certificate. An applicant may apply for an instrument rating on the applicant's flight instructor certificate in accordance with the provisions of § 61.73(g). The applicant must present satisfactory documentation showing that the applicant was designated as an instrument instructor pilot or as a military pilot examiner qualified to evaluate instrument proficiency.

D. Glider Rating on the Flight Instructor Certificate. The following should be considered before issuing a glider rating based on military pilot qualifications:

1) The applicant must present satisfactory documentation showing that the applicant was designated as a glider instructor pilot or as a military pilot examiner qualified to evaluate glider proficiency.

2) It is permissible for an applicant to receive a glider rating on the basis of military pilot qualifications without holding or applying for an additional category.

E. Powered-Lift Rating on the Flight Instructor Certificate. The following should be considered before issuing a powered-lift rating based on military pilot qualifications:

- 1) The following aircraft are considered to be in the powered-lift category:
 - The Bell-Boeing V-22 Osprey,
 - The McDonnell Douglas AV-8 Harrier,
 - The F-35B STOVL (short takeoff/vertical landing) variant, and
 - Any aircraft TC'd by the FAA as powered-lift.
- 2) Applicants may not use military experience in a powered-lift aircraft to obtain an FAA-issued flight instructor certificate with any other aircraft category.

F. Add Additional Ratings to an Existing Flight Instructor Certificate. A military instructor pilot or military pilot examiner applicant who holds a current flight instructor certificate may apply for additional flight instructor ratings in accordance with § 61.73(g). The following should be considered when reissuing a flight instructor certificate with additional ratings:

- 1) The existing flight instructor certificate cannot be expired and must not currently be surrendered, cancelled, suspended, or revoked.
- 2) If eligible, the applicant will have the new category and/or class ratings added on the flight instructor certificate. However, the new certificate will be issued with the same expiration date as found on the certificate held at the time of application, unless the applicant is also eligible for renewal in accordance with one of the provisions in § 61.197(a)(2).

EXAMPLE: An applicant currently holds a flight instructor certificate with an Airplane Single Engine (ASE) rating. The applicant applies for and presents satisfactory documentation for a rotorcraft helicopter rating in accordance with § 61.73(g), but has not met any of the requirements for flight instructor certificate renewal. The date of application is January 12, 2013, and the current flight instructor certificate expires March 31, 2014. The applicant may be issued a flight instructor certificate containing the ASE rating and rotorcraft helicopter rating but will keep the same expiration date of March 31, 2014.

G. Renew an Existing Flight Instructor Certificate.

- 1) Unless otherwise authorized by the Administrator, a person whose FAA airman certificate has been revoked, is currently suspended, has been surrendered, or has expired shall not be eligible to have that certificate reissued under § 61.73.
- 2) Military instructors who hold a flight instructor certificate may choose to renew their certificates by presenting a record showing that, within the preceding 24 calendar-months from the month of application, they passed an official U.S. Armed Forces military instructor pilot proficiency check (refer to § 61.197(a)(2)(iv)). Outside of the provisions found in § 61.197(a)(2)(iv), an applicant may not renew his or her flight instructor certificate on the basis of military pilot qualifications.
- 3) It is permissible for an instructor who meets one of the renewal criteria specified in § 61.197(a)(2) to simultaneously apply for renewal and an additional flight instructor

certificate rating. These two activities can be accomplished on one copy of FAA Form 8710-1, Airman Certificate and/or Rating Application. However, both tasks must be clearly identified.

4) In cases where an applicant is eligible for certificate renewal, the expiration date on the new certificate shall be indicated in accordance with § 61.197(b). Except as provided below, if an applicant makes this application within the 3 calendar-months preceding the month of the current flight instructor certificate expiration date, the new expiration date will be 24 calendar-months from the current date of expiration. If the application is made outside of the 3 calendar-months preceding the current month of expiration, the new expiration date will be 24 calendar-months from the date of the application. For those applicants renewing on the basis of completing a flight instructor refresher clinic (FIRC), both the FIRC graduation certificate and the application must be within 3 calendar-months preceding the expiration month of the current flight instructor certificate. Per § 61.197(b)(2)(ii), if the FIRC graduation certificate is dated outside the 3 calendar-months preceding the expiration month of the current flight instructor certificate, the expiration date must be 24 calendar-months from the date the applicant signed FAA Form 8710-1.

H. Reinstate an Expired Flight Instructor Certificate.

1) A military applicant who is the holder of an expired flight instructor certificate can reinstate that certificate if the applicant can provide a record showing that within the previous 6 calendar-months from the date of application for reinstatement the applicant passed a U.S. Armed Forces instructor pilot or pilot examiner proficiency check, or completed a U.S. Armed Forces instructor pilot or pilot examiner training course and received an additional aircraft rating qualification as a military instructor pilot or pilot examiner that is appropriate to the flight instructor rating sought (refer to § 61.199).

a) The FAA has provided a temporary provision within § 61.199(c), valid from August 27, 2018, until it expires on August 26, 2019. The temporary provision is described in Final Rule 83 FR 30232, Regulatory Relief: Aviation Training Devices, Pilot Certification, Training, and Pilot Schools; and Other Provisions. It allows military instructors who obtained their initial flight instructor certificate under part 61 subpart H prior to October 20, 2009, to reinstate that instructor certificate based on military competence rather than by completing a practical test. The applicant would need to provide an official U.S. Armed Forces record showing that he or she had successfully completed an instructor pilot or pilot examiner proficiency check that would qualify as a new category and/or class rating, or instrument rating on the applicant's expired FAA Flight Instructor certificate.

b) If the applicant does not meet the criteria described above, the holder of an expired flight instructor certificate must otherwise reinstate that certificate as prescribed in § 61.199 before adding any additional ratings based on military pilot qualifications. The applicant passing an official U.S. military pilot check and/or IPC in a U.S. Armed Forces operated aircraft that was more than 6 calendar-months from the date of the application does not qualify for the reinstatement of a flight instructor certificate.

2) Notwithstanding the above, Special Federal Aviation Regulation (SFAR) 100-2 allows the FAA to accept expired flight instructor certificates for renewals from eligible U.S. military and civilian personnel who are assigned outside the United States in support of U.S. Armed Forces operations. This action is necessary to avoid penalizing U.S. military and civilian personnel who are unable to meet the regulatory time limits in the current regulations. Refer to SFAR 100-2 for further guidance.

I. Acceptable Records for a Flight Instructor Certificate. For a list of acceptable records that may be presented by the applicant as evidence of piloting record and status in the U.S. Armed Forces, see Table 5-7. Records may also be supplemented with electronic pilot logbooks as additional evidence of meeting the requirements for a pilot certificate or rating.

5-621 PREREQUISITES AND COORDINATION REQUIREMENTS.

A. Prerequisites. This task requires knowledge of the regulatory requirements of part 61 and FAA policies and qualification as an ASI (Operations), AST, or MCE. When differences in guidance appear between this order and FAA Order 8900.2, General Aviation Airman Designee Handbook, MCEs must use the document with the most current revision date.

B. Coordination.

- 1) This task may require coordination with the Airmen Certification Branch.
- 2) If clarification on any of the guidance or procedures is needed, contact the Airmen Certification and Training Branch.

5-622 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.
- AC 60-28, FAA English Language Standard for an FAA Certificate Issued Under 14 CFR Parts 61, 63, 65, and 107.
- SFAR 100-2, Relief for U.S. Military and Civilian Personnel Who Are Assigned Outside the United States in Support of U.S. Armed Forces Operations.

B. Forms:

- FAA Form 8060-4, Temporary Airman Certificate (see Figures 5-69, 5-71, and 5-104).
- FAA Form 8710-1, Airman Certificate and/or Rating Application (see Figures 5-67, 5-68, 5-70, and 5-103).

C. Job Aids:

- Tables 5-7 and 5-8.
- Sample Figures 5-67 through 5-71 and 5-103 through 5-104.

5-623 ISSUE A PILOT CERTIFICATE.

A. Open a PTRS Record (ASI or AST Only). If an applicant is applying for both a pilot certificate and a flight instructor certificate, then two applications must be processed and separate PTRS entries must be made.

B. Integrated Airman Certification and Rating Application (IACRA). The applicant is encouraged to utilize the IACRA system whenever possible for all applications for Commercial Pilot Certificates and ratings.

- 1) IACRA can be accessed at <https://iacra.faa.gov/iacra/>.
- 2) The guidance contained in the rest of this paragraph can be applied to applications made through IACRA as well as through the paper FAA Form 8710-1, although the process steps may be performed in a different order. References to the instructions for FAA Form 8710-1 should be taken to also include the IACRA work instructions.
- 3) Notwithstanding the guidance below, no documentation should be mailed to the Airmen Certification Branch when completing the application via IACRA. See Volume 5, Chapter 2, Section 4, subparagraph 5-287C for guidance on how to process corrected IACRAs.

C. Review the Front Side of FAA Form 8710-1. Verify which certificate and/or rating the applicant is applying for before reviewing the application. Check FAA Form 8710-1 to ensure the applicant filled out sections I through V accurately. The instructions for completing the form are attached to the application. See the samples at the end of this section for further guidance, including Figure 5-67, Sample FAA Form 8710-1, Page 1, Application for Commercial AMEL, Instrument Airplane Based on Military Pilot Qualifications.

- 1) Section I: If the applicant is qualified for a pilot certificate, the applicant should check the “Commercial” block and “Instrument” block (if applicable). Section I, blocks A through O, must be completed.
- 2) Section IIB: Blocks 1 through 4 must be completed. Special emphasis should be made to section IIB to ensure it has been completed appropriately.
 - a) Block 1: Should contain the Branch of Service of the U.S. Armed Forces.
 - b) Block 2: Should contain the date rated as a military pilot.
 - c) Block 3: Should contain the rank or grade.

d) Block 4a and/or 4b: Should contain the specific military aircraft for each specific category/class or type rating that was used in logging pilot time or for which the military proficiency checks were obtained.

3) Completion of section III is recommended but not required. Sections IV and V are self-explanatory.

4) On the reverse side of FAA Form 8710-1, the instructor's action or air agency's recommendation is not required.

D. Verify Applicant's Identity.

1) Inspect the applicant's military identification or other acceptable forms of identification to establish the applicant's identity. (See Volume 5, Chapter 1, Section 3 and AC 61-65, Certification: Pilots and Flight and Ground Instructors).

2) Compare the identification with the information provided on FAA Form 8710-1.

a) If the applicant's identity cannot be verified for lack of documentation or inadequate documentation, request that the applicant return with the appropriate identification.

b) If the applicant's identity appears to be falsified, do not proceed (see Volume 5, Chapter 1, Section 3, paragraph 5-54). If an MCE suspects the applicant's identity appears to be different from the information supplied on FAA Form 8710-1, or it appears that an attempt at falsification has been made, discontinue the task and immediately report the matter to the FSDO.

E. Establish Eligibility for the Commercial Pilot Certificate and/or Additional Ratings.

1) The applicant must present the applicable documents required by § 61.73 and described in paragraph 5-619 and Table 5-7.

2) 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 of the reasons why the certificate or rating cannot be issued, and explain how the applicant may correct the discrepancies. If the applicant is not eligible for the certificate or rating sought, inform the applicant of the reasons for ineligibility and explain how the applicant may obtain the certificate or rating.

3) Inform the applicant that if his or her certificate has been revoked and has not been reissued, or if his or her pilot certificate is currently suspended or surrendered, he or she is not eligible to have that certificate reissued under § 61.73.

a) When an ASI or AST is establishing eligibility and has access to the Safety Performance Analysis System (SPAS), the ASI should conduct a review to determine if the applicant's pilot certificate has been revoked without subsequent reissuance, or if his or her pilot certificate is currently suspended.

b) If an ASI or AST does not have access to SPAS, or when an MCE is performing the check, the ASI, AST, or MCE should ask the applicant if his or her pilot certificate has been revoked without subsequent reissuance, or if his or her pilot certificate is currently suspended. If the applicant indicates that either condition is true, inform the applicant he or she is not eligible for the certificate and discontinue the task.

NOTE: If the Airmen Certification Branch discovers a revocation or suspension is pending on an applicant, the Airmen Certification Branch will reject the issuance of the permanent airman certificate and return the complete application package to the corresponding FSDO. If returned, the FSDO must attempt to contact the pilot to inform him or her that he or she is ineligible and request that the airman return the Temporary Airman Certificate.

F. Issue a Temporary Airman Certificate for a Commercial Pilot.

1) If the applicant is eligible, issue a Commercial Pilot Certificate for the appropriate category, class, and/or aircraft type rating(s). Aircraft category and class ratings are listed in § 61.5; aircraft type ratings are listed at <http://registry.faa.gov/typeratings/>. Notwithstanding the preceding, if the applicant holds an ATP Certificate, issue the category and class ratings obtained through military pilot qualifications at the commercial pilot level. Type ratings may be added to an existing ATP Certificate with no additional notation.

2) Prepare FAA Form 8060-4, in duplicate, indicating the grade of certificate in block IX and the ratings in block XII. See Figure 5-69, Sample FAA Form 8060-4 Issued by ASI/AST.

a) Below are the category and class ratings that the applicant may be eligible to receive on FAA Form 8060-4, block XII:

- Airplane Single-Engine Land,
- Airplane Multiengine Land,
- Rotorcraft Helicopter,
- Glider, and
- Powered-Lift.

b) If the applicant is qualified for an instrument rating, issue the following ratings as appropriate:

- Instrument Airplane,
- Instrument Helicopter, or
- Instrument Powered-Lift.

c) Enter the following operating limitations, as appropriate, in block XIII on the certificate:

1. If the applicant is not qualified for an instrument rating, but is qualified for a Commercial Pilot Certificate with an airplane rating, issue the limitation, “THE CARRIAGE OF PASSENGERS FOR HIRE IN (airplanes) (powered-lifts) ON CROSS-COUNTRY FLIGHTS IN EXCESS OF 50 NAUTICAL MILES OR AT NIGHT IS PROHIBITED.”

2. If the applicant holds an ATP Certificate and is adding a class and/or category rating, enter “COMMERCIAL PRIVILEGES” before the appropriate rating.

d) If the applicant is qualified in a military aircraft that has a civilian type designation, issue the appropriate type rating (see subparagraph 5-619E). A list of civilian type designations is provided at <http://registry.faa.gov/typeratings/>.

NOTE: As an example, section IIB on FAA Form 8710-1 might indicate that a C-12 aircraft was flown in the military. According to the type rating table, the manufacturer serial number of the C-12 determines whether a type rating should be awarded to the applicant. In the case where the category and class will be the only rating placed on the certificate, it would be beneficial to add a note to the application package when the type rating will not be awarded. This will help alleviate unnecessary returns from the Airmen Certification Branch, since the type rating table indicates that the applicant may be entitled to an airplane multiengine class rating along with an associated type rating. Without this indication, the Airmen Certification Branch would have no way to determine if this type rating was omitted in error.

3) Sign, and have the applicant sign, both the original and the copy of FAA Form 8060-4 in ink. The typewritten original Temporary Airman Certificate will be mailed in with the application package to the Airmen Certification Branch. The date the ASI, AST, or designee signs the Temporary Airman Certificate must match the date reflected in the appropriate report completed on the back of FAA Form 8710-1.

a) For ASIs and ASTs, ensure the ASI's or AST's certificate number and FAA office is shown in the lower portion of FAA Form 8060-4. If the AST does not hold a certificate number, enter “AST” (in the “Examiner's Designation No. or Inspector's Reg. No.” field).

b) For MCEs, mark all the appropriate blocks and enter the designation number and “Designation Expires” (see Figure 5-70, Sample FAA Form 8710-1, Page 2, Application for Commercial AMEL, Instrument Airplane Based on Military Pilot Qualifications and Completed by DPE Authorized as MCE).

4) Issue the copy to the applicant.

5) Return to the applicant all submitted documents (except the application).

G. Additional Information Requirements.

1) Inform the applicant that an appropriate FAA-issued medical certificate may be required before the privileges of the certificate can be exercised. The applicant should refer to § 61.23 for a complete description. Note specifically that a medical certificate is not required

when a military pilot of the U.S. Armed Forces possesses a current medical examination authorizing pilot flight status issued by the U.S. Armed Forces and the flight does not require higher than a third-class medical certificate, per § 61.23(b)(9).

2) Inform the applicant that all of the applicable recent experience requirements found in §§ 61.56, 61.57, and 61.58 must be obtained before acting as pilot in command (PIC) or a required crewmember.

H. Complete the Back of FAA Form 8710-1 and Prepare the Certification File.

1) Complete either the “Aviation Safety Inspector or Technician Report” or the “Designated Examiner or Airman Certification Representative Report” section, as appropriate, on the reverse side of FAA Form 8710-1. See the samples in Figures 5-68 and 5-70. The following should be noted:

a) Only check blocks that are in the report that correspond to the position of the person conducting the certification (see Figures 5-68 and 5-70). Only an ASI or AST may fill in any of the blocks in the “Aviation Safety Inspector or Technician Report” section. This includes the blocks found under the “Certification Activities” and “Certificate or Rating Based on” area.

b) Check the applicable blocks in the report, including:

- The “Written Notification under the Pilot’s Bill of Rights” block, and
- The “Approved” or “Disapproved” block.

c) Complete the “Certificate or Rating Being Applied For” block. This block should contain the commercial certificate and a description of the associated ratings.

For example:

1. For someone who is applying for a Commercial Pilot Certificate with an airplane category, multiengine class, and instrument airplane rating, place “Commercial Pilot, AMEL/INSTA” in the block and type rating if appropriate, such as BE-400/MU-300.

2. For someone who is applying for a Commercial Pilot Certificate with a rotorcraft category, helicopter class, and instrument helicopter rating, place “Commercial Pilot, Rotorcraft Helicopter & Instrument Helicopter” in the block and type rating if appropriate, such as S-70 or SK-64.

d) The other fields in the report above the signature row do not need to be completed (“Location of Test,” “Duration of Practical Test,” “Type(s) of Aircraft Used,” and “Registration No.(s)”).

2) Date, print name, and sign the application in the appropriate report section. Complete the following:

a) For an ASI or AST, complete the “Date,” “Inspector’s Signature (Print Name & Sign),” “Certificate Number,” and “FAA Office” fields (see Figure 5-68). If the AST does not hold a certificate number, enter “AST” in the “Certificate Number” field.

b) For a designee, complete the “Date,” “Examiner’s Signature (Print Name & Sign),” “Certificate Number,” “Designation Number,” and “Designation Expires” fields (see Figure 5-70). The date the ASI, AST, or designee signed the report must match the date of the Temporary Airman Certificate.

3) Complete the following sections located at the bottom of the form:

a) Check the appropriate blocks in the “Attachments” section.

b) Complete the “Airman’s Identification (ID)” section. The telephone number is not required but is highly recommended in case it becomes necessary to contact the airman later concerning the application or temporary certificate.

c) Complete the “Applicant Information” section only if the copy of FAA Form 8710-1 is on a two-page application consisting of two separate pieces of paper (i.e., it is not printed on the front and back of one piece of paper).

d) Complete the “REMARKS” section if necessary.

I. Complete the PTRS Record (ASI or AST Only).

5-624 ISSUE A FLIGHT INSTRUCTOR CERTIFICATE.

A. Open a PTRS Record (ASI or AST Only). If an applicant is applying for both a pilot certificate and a flight instructor certificate, then two applications must be processed and separate PTRS entries must be made.

B. IACRA. IACRA possesses the ability to process flight instructor certificates issued on the basis of military pilot qualifications. In this case, an individual applying for both a pilot certificate and a flight instructor certificate may use IACRA or the paper FAA Form 8710-1 for each certificate.

C. Review the Front Side of FAA Form 8710-1. Verify which certificate and/or rating the applicant is applying for before reviewing the application. Check FAA Form 8710-1 to ensure the applicant filled out sections I through V accurately. The instructions for completing the form are attached to the application. See the samples at the end of this section for further guidance, including a sample original flight instructor certificate (Figure 5-104, Sample FAA Form 8060-4 for Flight Instructor Based on Military Pilot Qualifications, Issued by ASI/AST).

1) Section I: If the applicant is qualified for a flight instructor certificate, the applicant should check the “Flight” instructor block and the “Initial” or “Renewal” block as appropriate. Section I, blocks A through O, must be completed.

2) Section IIB: Blocks 1 through 4 must be completed. Special emphasis should be made to section IIB to ensure it has been completed appropriately.

- a) Block 1: Should contain the Branch of Service of the U.S. Armed Forces.
 - b) Block 2: Should contain the date rated as a military flight instructor/examiner.
 - c) Block 3: Should contain the rank or grade.
 - d) Block 4a and/or 4b: Should contain the military aircraft specific to the rating(s) sought that was used in logging pilot time or for which the military proficiency checks were obtained.
- 3) Sections IV and V are self-explanatory.
 - 4) On the reverse side of FAA Form 8710-1, the instructor's action or air agency's recommendation is not required.

D. Verify Applicant's Identity.

- 1) Inspect the applicant's military identification or other acceptable forms of identification to establish the applicant's identity (see Volume 5, Chapter 1, Section 3 and AC 61-65).
- 2) Compare the identification with the information provided on FAA Form 8710-1.
 - a) If the applicant's identity cannot be verified for lack of documentation or inadequate documentation, request that the applicant return with the appropriate identification.
 - b) If the applicant's identity appears to be falsified, do not proceed (see Volume 5, Chapter 1, Section 3, paragraph 5-54). If an MCE suspects the applicant's identity appears to be different from the information supplied on FAA Form 8710-1, or it appears that an attempt at falsification has been made, discontinue the task and immediately report the matter to the FSDO.

E. Establish Eligibility for the Flight Instructor Certificate and/or Additional Ratings.

- 1) The applicant must present the applicable documents required by § 61.73(g) and described in paragraph 5-620.
- 2) 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 of the reasons why the certificate or rating cannot be issued, and explain how the applicant may correct the discrepancies. If the applicant is not eligible for the certificate or rating sought, inform the applicant of the reasons for ineligibility and explain how the applicant may obtain the certificate or rating.
- 3) Inform the applicant that if his or her flight instructor certificate has been revoked and has not been reissued, or if his or her flight instructor certificate is currently suspended or surrendered, he or she is not eligible to have that certificate reissued under § 61.73.

a) When an ASI or AST is establishing eligibility and has access to SPAS, the ASI should conduct a review to determine if the applicant's flight instructor certificate has been revoked without subsequent reissuance, or if the flight instructor certificate is currently suspended.

b) If an ASI or AST does not have access to SPAS, or when a designee is performing the check, the ASI or MCE should ask the applicant if his or her flight instructor certificate has been revoked without subsequent reissuance, or if his or her pilot certificate is currently suspended. If the applicant indicates that either condition is true, inform the applicant he or she is not eligible for the certificate and discontinue the task.

NOTE: If the Airmen Certification Branch discovers a revocation or suspension is pending on an applicant, the Airmen Certification Branch will reject the issuance of the Temporary Airman Certificate and return the complete application package to the corresponding FSDO. If returned, the FSDO must attempt to contact the flight instructor to inform him or her that he or she is ineligible and request that the airman return the Temporary Airman Certificate.

F. Establish Expiration Date for Flight Instructor Certificate. See subparagraphs 5-620F–H for additional information.

1) An applicant for an initial flight instructor certificate should be issued a Temporary Airman Certificate indicating an expiration date that is 24 calendar-months from the date of issuance.

2) An applicant who is applying to add a rating to an existing and current flight instructor certificate, who does not meet one of the renewal criteria specified in § 61.197(a)(2), should be issued a Temporary Airman Certificate indicating the expiration date on the existing flight instructor certificate.

3) An applicant who is applying for either of the following should be issued a Temporary Airman Certificate indicating an expiration date that is in accordance with § 61.197(b).

a) Adding a rating and simultaneously renewing a flight instructor certificate (through one of the renewal criteria listed in § 61.197(a)(2)); or

b) Renewing based on the military proficiency check described by § 61.197(a)(2)(iv) without adding an additional rating.

G. Issue a Temporary Airman Certificate for a Flight Instructor Certificate.

1) If the applicant is eligible, issue a flight instructor certificate for the appropriate category and class rating(s). Aircraft category and class ratings are listed in § 61.5.

2) Prepare FAA Form 8060-4 in duplicate, indicating “flight instructor certificate” in block IX and the appropriate category and class ratings in block XII. See Figure 5-104.

a) Below are the category and class ratings that the applicant may be eligible to receive on FAA Form 8060-4, block XII:

- Airplane Single Engine,
- Airplane Multiengine,
- Rotorcraft Helicopter,
- Glider, or
- Powered-Lift.

b) For an instrument instructor rating, indicate the following ratings, as appropriate, on FAA Form 8060-4, block XII:

- Instrument Airplane,
- Instrument Helicopter, or
- Instrument Powered-lift.

c) Enter the following operating limitations, as appropriate, in block XIII on the certificate: “Valid only when accompanied by pilot certificate number [insert pilot certificate number]. Expires [enter the appropriate expiration date].”

3) Type name and sign, and have the applicant sign, both the original and the copy of FAA Form 8060-4 in ink. The typewritten original Temporary Airman Certificate will be mailed in with the application package to the Airmen Certification Branch. The date the ASI, AST, or designee signs the Temporary Airman Certificate must match the date reflected in the appropriate report completed on the back of FAA Form 8710-1.

a) For ASIs and ASTs, ensure the ASI’s or AST’s certificate number and FAA office is shown in the lower portion of FAA Form 8060-4. If the AST does not hold a certificate number, enter “AST” (in the “Examiner’s Designation No. or Inspector’s Reg. No.” field).

b) For MCEs, mark all the appropriate blocks and enter the designation number and “Date Designation Expires.”

4) Issue the copy to the applicant.

5) Return to the applicant all submitted documents (except the application).

H. Complete the Back of FAA Form 8710-1.

1) Complete either the “Aviation Safety Inspector or Technician Report” or the “Designated Examiner or Airman Certification Representative Report” section, as appropriate, on the reverse side of FAA Form 8710-1. See Figure 5-103, Sample FAA Form 8710-1 Application for Flight Instructor Based on Military Pilot Qualifications, Processed by ASI/AST. The following should be noted:

a) Only check blocks that are in the report that correspond to the position of the person conducting the certification.

b) Check the applicable blocks in the report, including:

- The “Written Notification under the Pilot’s Bill of Rights” block, and
- The “Approved” or “Disapproved” block.

c) Complete the “Certificate or Rating Being Applied For” field. This field should contain the flight instructor certificate and a description of the associated ratings. For example:

1. For someone who is applying for a flight instructor certificate with an airplane category, multiengine class, and instrument airplane rating, place “Flight Instructor, AME & INST-A” in the block.

2. For someone who is applying for a flight instructor certificate with a rotorcraft category, helicopter class, and instrument helicopter rating, place “Flight Instructor, RH & INST-H” in the block.

d) The other fields in the report above the signature row do not need to be completed (“Location of Test,” “Duration of Practical Test,” “Type(s) of Aircraft Used,” and “Registration No.(s)”).

2) Date, print name, and sign the application in the appropriate report section. Complete the following:

a) For an ASI or AST, complete the “Date,” “Inspector’s Signature (Print Name & Sign),” “Certificate Number,” and “FAA Office” fields. If the AST does not hold a certificate number, enter “AST” in the “Certificate Number” field.

b) For a designee, complete the “Date,” “Examiner’s Signature (Print Name & Sign),” “Certificate Number,” “Designation Number,” and “Designation Expires” fields. The date the ASI, AST, or designee signed the report must match the date of the Temporary Airman Certificate.

3) Complete the following sections located at the bottom of the form:

a) Check the appropriate blocks in the “Attachments” section.

b) Complete the “Airman’s Identification (ID)” section. The telephone number is not required but is highly recommended in case it becomes necessary to contact the airman later concerning the application or temporary certificate.

c) Complete the “Applicant Information” section only if the copy of FAA Form 8710-1 is on a two-page application consisting of two separate pieces of paper (i.e., it is not printed on the front and back of one piece of paper).

d) Complete the “REMARKS” section if necessary.

4) Attach the applicable documents that are listed in the “Attachments” column to the application.

5) Forward the completed file to the Airmen Certification Branch as described below:

a) For ASIs or ASTs, within 5 business-days after processing.

b) For designees, forward the certification file to the managing FAA office for review within 7 business-days after completion of the file.

I. Complete the PTRS Record (ASI or AST Only).

5-625 TASK OUTCOMES. Completion of this task results in the issuance or denial of a Temporary Airman Certificate.

5-626 FUTURE ACTIVITIES.

- The applicant may return for added class and/or category ratings.
- The applicant may return for an added type rating. See paragraph 5-618.

Table 5-7. Acceptable Records for Various Armed Services

Records may also be supplemented with electronic pilot logbooks as additional evidence of meeting the requirements for a pilot certificate or rating.

SERVICE	ACCEPTABLE RECORDS
U.S. Air Force	Aeronautical Orders Awarding: Pilot, Senior Pilot, Command Pilot AF Form 8, Certificate of Aircrew Qualification AF Form 942, Record of Evaluation
U.S. Army	Aeronautical Orders Awarding: Army Aviator Badge, Senior Aviator Badge, Master Aviator Badge DA Form 759, Individual Flight Record and Flight Certificate – Army DA Form 7120-R, Commander’s Task List DA Form 7122-R, Crew Member Training Record Instructor Pilot Course/Instrument Examiner Course Diploma
U.S. Coast Guard	OPNAV 3710/31, Aviators Flight Log Book Note: Verification of instrument qualification is located in the section designated “Qualification and Achievements” per COMDTINST M3710.1G, Coast Guard Air Operations Manual, Appendix E.
U.S. Marines and U.S. Navy	OPNAV 3710/2, NATOPS Instrument Rating Request OPNAV 3710/7, NATOPS Qualification Rating OPNAV 3760/31, Aviators Flight Log Book OPNAV 3760/32, NATOPS Flight Personnel Training/Qualification Jacket Note: For instructor pilot or examiner, a letter from a Squadron Commander showing NATOPS instructor pilot or examiner designation.

Table 5-8. Acceptable Military Competency Knowledge Tests for Commercial Pilot Certificate Eligibility

Commercial Pilot	Acceptable Before 10/15/2018	Acceptable Beginning 10/15/2018	Acceptable After 10/31/2020
Airplane (only)	MCA	MCA or MCN	MCN only
Helicopter (only)	MCH	MCH or MCN	MCN only
Powered-Lift (only)	MCA or MCH	MCA or MCH or MCN	MCN only
Glider (only)	MCA or MCH	MCA or MCH or MCN	MCN only
Qualified in any combination listed above	MCA or MCH	MCA or MCH or MCN	MCN only

Figure 5-67. Sample FAA Form 8710-1, Page 1, Application for Commercial AMEL, Instrument Airplane Based on Military Pilot Qualifications

Form approved OMB No. 2120-0021
08/31/2019

TYPE OR PRINT ALL ENTRIES IN INK

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: <input type="checkbox"/> Student <input type="checkbox"/> Recreational <input type="checkbox"/> Flight <input type="checkbox"/> Private <input checked="" type="checkbox"/> Commercial <input type="checkbox"/> Ground <input type="checkbox"/> ATP-Restricted <input type="checkbox"/> ATP Instructor: <input type="checkbox"/> ASE <input type="checkbox"/> Helicopter <input type="checkbox"/> Gyroplane <input type="checkbox"/> Airship Category and/or Class: <input type="checkbox"/> ASE <input checked="" type="checkbox"/> AME <input checked="" type="checkbox"/> Land <input type="checkbox"/> Sea <input type="checkbox"/> Helicopter <input type="checkbox"/> Balloon <input type="checkbox"/> Glider <input type="checkbox"/> Powered-Lift <input type="checkbox"/> Airship <input type="checkbox"/> Added Rating Type Rating: BE-400 <input type="checkbox"/>	Instrument: <input checked="" type="checkbox"/> Airplane <input type="checkbox"/> Helicopter <input type="checkbox"/> Powered-Lift Ground Instructor: <input type="checkbox"/> Basic <input type="checkbox"/> Advanced <input type="checkbox"/> Instrument	<input checked="" type="checkbox"/> Initial <input type="checkbox"/> Reexamination <input type="checkbox"/> Instrument Proficiency Check <input type="checkbox"/> Renewal <input type="checkbox"/> Reissuance <input type="checkbox"/> Medical Flight Test <input type="checkbox"/> Reinstatement <input type="checkbox"/> Flight Review <input type="checkbox"/> Limitation Removal Specify other: Military Qualifications <input type="checkbox"/> IPL

A. Name (Last, First, Middle): DOE, JOHN FRANK
 B. SSN (us only): Do not use
 C. Date of Birth: 12/01/1980
 D. Place of Birth (City and State) or (City and Country): Tulsa, OK

E1. Residential Address (Including City, State, Zip Code, and Country): 3912 NW 18th Street, Oklahoma City, OK 73111
 E2. Mailing Address (This address will be printed on the permanent airman certificate, if different than block E1.)
 F. Citizenship / Nationality: USA Other
 G. Do you read, speak, write, & understand the English language? Yes No
 H. Height (inches): 72
 I. Weight (pounds): 195
 J. Hair Color: Brown
 K. Eye Color: Brown
 L. Sex: Male Female

M. Do you hold, or have you ever held an FAA pilot certificate? Yes No
 M1. Grade of Certificate
 M2. Certificate Number
 M3. Date Issued

N. Do you hold, or have you ever held a Medical Certificate? Yes - FAA Yes - Foreign Yes - Military No
 N1. Class of Certificate
 N2. Name of Medical Examiner
 N3. Date Issued

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. Competence or Experience
 1. U.S. Military Service
 U.S. Air Force
 2. Date Rated in U.S. Military: 12/15/2013
 3. Rank or Grade: Major, O-4
 4. List Military aircraft for which you have:
 a. logged pilot time or provided flight instruction (IP) (make and model) T-1A
 b. passed an Instrument Proficiency Check (Pilot or CFI) (make and model) T-1A

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	Cross Country		Instrument	Night Instruction Received	Night Take-Off / Landing	Night PIC/SIC	Night Take-Off/Landing PIC/SIC	Number of					
				Instruction Received	Solo						PIC and SIC	PIC/SIC	Flights	Aero-Tows	Ground Launches	Powered Launches
Airplanes																
Rotorcraft																
Powered Lift																
Gliders																
Lighter-Than-Air																
FFS																
FTD																
ATD																

N. Have you previously received a Notice of Disapproval or been denied for any reason for the certificate AND/OR rating for which you are applying? Yes No

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: John Frank Doe Date: 04/20/2018

FAA Form 8710-1 (10-17) Supersedes Previous Edition Page 1 of 2

Figure 5-68. Sample FAA Form 8710-1, Page 2, Application for Commercial AMEL, Instrument Airplane Based on Military Pilot Qualifications Completed by ASI/AST

Instructor Action			
<input type="checkbox"/> Accepted Student Pilot Application - I have personally reviewed the applicant's information and verified the person meets the eligibility requirements and verified applicants identification <input type="checkbox"/> Flight Review		<input type="checkbox"/> Rejected Student Pilot Application <input type="checkbox"/> 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			
<input type="checkbox"/> Accepted Student Pilot Application <input type="checkbox"/> 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. <input type="checkbox"/> I have personally reviewed this applicant's graduation certificate, and found it to be appropriate and in order, and have returned the certificate. (Original ATP CTP graduation certificate must be attached) <input type="checkbox"/> I have personally tested and/or verified this applicant in accordance with pertinent procedures and standards with the result indicated below.		<input type="checkbox"/> Rejected Student Pilot Application <input type="checkbox"/> I have personally delivered the Written Notification under the Pilot's Bill of Rights to the applicant.	
<input type="checkbox"/> Approved - Temporary Certificate Issued (Original Attached) <input type="checkbox"/> 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	<input type="checkbox"/>	<input type="checkbox"/>	_____
Approved FFS/FTD Check	<input type="checkbox"/>	<input type="checkbox"/>	_____
Aircraft Flight Check	<input type="checkbox"/>	<input type="checkbox"/>	_____
Advanced Qualification Program	<input type="checkbox"/>	<input type="checkbox"/>	_____
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)			
<input checked="" type="checkbox"/> I have personally delivered the Written Notification under the Pilot's Bill of Rights to the applicant.			
<input type="checkbox"/> Accepted - Student Pilot Application <input checked="" type="checkbox"/> Approved - Temporary Certificate Issued (Original Attached) <input type="checkbox"/> Disapproved - Disapproval Notice Issued (Original Attached)		<input type="checkbox"/> Rejected - Student Pilot Application	
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)
Commercial AMEL INSTA BE-400, MU-300			
Certification Activities:		Certificate or Rating Based on:	
<input type="checkbox"/> Examiner's Recommendation Provided/Reviewed <input type="checkbox"/> Accepted <input type="checkbox"/> Rejected <input type="checkbox"/> Application for Student Pilot Certificate Accepted <input type="checkbox"/> Reissue or exchange of pilot, CFL or G.I. certificate <input type="checkbox"/> Change of name, nationality, gender or date of birth <input type="checkbox"/> SIC Type Rating issued under § 61.55(b) (Part 91)		<input type="checkbox"/> Approved FAA Qualification Criteria not Identified on Page 1 <input checked="" type="checkbox"/> Military Competency <input type="checkbox"/> Foreign License <input type="checkbox"/> Special medical test conducted - report forwarded to issuing medical office or AAM-300 <input type="checkbox"/> Special Test-Reexamination (44703) conducted <input type="checkbox"/> Approved <input type="checkbox"/> Disapproved	
<input type="checkbox"/> Basic <input type="checkbox"/> Advanced <input type="checkbox"/> Instrument		<input type="checkbox"/> Initial <input type="checkbox"/> Renewal <input type="checkbox"/> Reinstatement Instructor Renewal Based On: <input type="checkbox"/> Activity <input type="checkbox"/> Training Course <input type="checkbox"/> Test <input type="checkbox"/> Duties and Responsibilities <input type="checkbox"/> Military Instructor Proficiency Check	
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)
04/20/2018	Rey G. Johnson <i>Rey G. Johnson</i>	6543211	SW-11
Attachments: <input type="checkbox"/> Certifying Statement <input type="checkbox"/> College Transcript (Official) <input type="checkbox"/> ATP CTP Graduation Certificate <input checked="" type="checkbox"/> Knowledge Test Report <input checked="" type="checkbox"/> Temporary Airman Certificate <input type="checkbox"/> Notice of Disapproval <input type="checkbox"/> Superseded Airman Certificate		Airman's Identification (ID) (US driver's license or passport recommended) Form of ID Oklahoma Drivers License ID Number (If issued by State, include State) 456663232 Expiration Date (must be valid) 12/31/2018 Telephone Number 555-555-5555	Applicant Information (required if printed on 2 pages) Name JOHN FRANK DOE Date of Birth 12/01/1980 Certificate Number Pending E-Mail Address
		<input checked="" type="checkbox"/> Meets Aviation English Language Standard <input type="checkbox"/> Does Not Meet Aviation English Language Standard <input type="checkbox"/> Referred to FSO for Aviation English Language Standard Determination REMARKS:	

Figure 5-69. Sample FAA Form 8060-4 Issued by ASI/AST

I. UNITED STATES OF AMERICA DEPARTMENT OF TRANSPORTATION - FEDERAL AVIATION ADMINISTRATION II. TEMPORARY AIRMAN CERTIFICATE						III. CERTIFICATE NO. Pending	
THIS CERTIFIES THAT IV. John Frank Doe V. 3912 NW 18th Street Oklahoma City, OK 73111							
DATE OF BIRTH	HEIGHT	WEIGHT	HAIR	EYES	SEX	NATIONALITY	VI.
12/01/1980	72 IN	195	Brown	Brown	M	USA	
IX. has been found to be properly qualified and is hereby authorized in accordance with the conditions of issuance on the reverse of this certificate to exercise the privileges of Commercial Pilot							
RATINGS AND LIMITATIONS Airplane Multiengine Land XII. Instrument Airplane							
XIII. BE-400, MU-300							
THIS IS <input checked="" type="checkbox"/> AN ORIGINAL ISSUANCE <input type="checkbox"/> A REISSUANCE OF THIS GRADE OF CERTIFICATE					DATE OF SUPERSEDED AIRMAN CERTIFICATE		
BY DIRECTION OF THE ADMINISTRATOR						EXAMINER'S DESIGNATION NO. OR INSPECTOR'S REG. NO. SW-11 6543211	
X. DATE OF ISSUANCE 04/20/2018		X. SIGNATURE OF EXAMINER OR INSPECTOR <i>Rey G. Johnson</i> Rey G. Johnson				DATE DESIGNATION EXPIRES	
VII. AIRMAN'S SIGNATURE <i>John Frank Doe</i>							
FAA Form 8060-4 (8-79) USE PREVIOUS EDITION							
Electronic Forms (PDF)							

Figure 5-70. Sample FAA Form 8710-1, Page 2, Application for Commercial AMEL, Instrument Airplane Based on Military Pilot Qualifications and Completed by DPE Authorized as MCE

- Page 1 remains the same as shown in Figure 5-67.

Instructor Action				
<input type="checkbox"/> Accepted Student Pilot Application - I have personally reviewed the applicant's information and verified the person meets the eligibility requirements and verified applicants identification		<input type="checkbox"/> Rejected Student Pilot Application		
<input type="checkbox"/> Flight Review	<input type="checkbox"/> Instrument Proficiency Check	<input type="checkbox"/> 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				
<input type="checkbox"/> Accepted Student Pilot Application		<input type="checkbox"/> Rejected Student Pilot Application		
<input checked="" type="checkbox"/> 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.				
<input type="checkbox"/> I have personally reviewed this applicant's graduation certificate, and found it to be appropriate and in order, and have returned the certificate. (Original ATP CTP graduation certificate must be attached)				
<input checked="" type="checkbox"/> I have personally tested and/or verified this applicant in accordance with pertinent procedures and standards with the result indicated below.				
<input checked="" type="checkbox"/> I have personally delivered the Written Notification under the Pilot's Bill of Rights to the applicant.				
<input checked="" type="checkbox"/> Approved - Temporary Certificate Issued (Original Attached)		<input type="checkbox"/> Disapproved - Disapproval Notice Issued (Original Attached)		
Location of Test (Name of Facility or Airport, City, State)			Duration of Test	
			Ground / Oral	Flight
Certificate or Rating Being Applied For (Grade, Category, Class and/or Type Rating)		Type(s) of Aircraft Used	Registration Number(s)	
Commercial AMEL INSTA BE-400, MU-300				
Date	Examiner's Signature (Print Name & Sign)	Certificate Number	Designation Number	Designation Expires
04/20/2018	Emmett L. Hughes	1123456	SW-11-1551	12/31/2018
Evaluator's Record (Use for All ATP Certificate(s) and/or Type Rating(s))				
	Inspector	Examiner	Signature and Certificate Number	Date
Ground / Oral	<input type="checkbox"/>	<input type="checkbox"/>		
Approved FFS/FTD Check	<input type="checkbox"/>	<input type="checkbox"/>		
Aircraft Flight Check	<input type="checkbox"/>	<input type="checkbox"/>		
Advanced Qualification Program	<input type="checkbox"/>	<input type="checkbox"/>		
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)				
<input type="checkbox"/> I have personally delivered the Written Notification under the Pilot's Bill of Rights to the applicant.				
<input type="checkbox"/> Approved - Temporary Certificate Issued (Original Attached)		<input type="checkbox"/> Disapproved - Disapproval Notice Issued (Original Attached)		
<input type="checkbox"/> Accepted - Student Pilot Application		<input type="checkbox"/> Rejected - Student Pilot Application		
Location of Test (Name of Facility or Airport, City, State)			Duration of Practical Test	
			Ground / Oral	Flight
Certificate or Rating Being Applied For (Grade, Category, Class and/or Type Rating)		Type(s) of Aircraft Used	Registration No. (s)	
Certification Activities:		Certificate or Rating Based on		
<input checked="" type="checkbox"/> Examiner's Recommendation Provided/Reviewed		<input type="checkbox"/> Approved FAA Qualification Criteria not Identified on Page 1		
<input checked="" type="checkbox"/> Accepted <input type="checkbox"/> Rejected		<input type="checkbox"/> Military Competency <input type="checkbox"/> Foreign License		
<input type="checkbox"/> Application for Student Pilot Certificate Accepted		<input type="checkbox"/> Special medical test conducted - report forwarded to issuing medical office or AAM-300		
<input type="checkbox"/> Reissue or exchange of pilot, CFI, or GI. certificate		<input type="checkbox"/> Special Test-Reexamination (44709) conducted		
<input type="checkbox"/> Change of name, nationality, gender or date of birth		<input type="checkbox"/> Approved <input type="checkbox"/> Disapproved		
<input type="checkbox"/> SIC Type Rating issued under § 61.55(b) (Part 91)				
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-16, WP-19)	
04/20/2018	Rey G. Johnson			
Attachments:				
<input type="checkbox"/> Certifying Statement		Airman's Identification (ID) (US driver's license or passport recommended)		Applicant Information (required if printed on 2 pages)
<input type="checkbox"/> College Transcript (Official)		Form of ID		Name
<input type="checkbox"/> ATP CTP Graduation Certificate		Oklahoma Drivers License		JOHN FRANK DOE
<input checked="" type="checkbox"/> Knowledge Test Report		ID Number (if issued by State, include State)		Date of Birth
<input checked="" type="checkbox"/> Temporary Airman Certificate		456663232		12/01/1980
<input type="checkbox"/> Notice of Disapproval		Expiration Date (must be valid)		Certificate Number
<input type="checkbox"/> Superseded Airman Certificate		12/31/2018		Pending
		Telephone Number		E-Mail Address
		555-555-5555		
		<input checked="" type="checkbox"/> Meets Aviation English Language Standard <input type="checkbox"/> Does Not Meet Aviation English Language Standard <input type="checkbox"/> Referred to FSO for Aviation English Language Standard Determination		
REMARKS:				

Figure 5-71. Sample FAA Form 8060-4 Issued by DPE Authorized as MCE

I. UNITED STATES OF AMERICA DEPARTMENT OF TRANSPORTATION - FEDERAL AVIATION ADMINISTRATION						III. CERTIFICATE NO. Pending	
II. TEMPORARY AIRMAN CERTIFICATE							
THIS CERTIFIES THAT							
IV. John Frank Doe V. 3912 NW 18th Street Oklahoma City, OK 73107							
DATE OF BIRTH	HEIGHT	WEIGHT	HAIR	EYES	SEX	NATIONALITY	VI.
12/01/1980	72 IN	195	Brown	Brown	M	USA	
IX. has been found to be properly qualified and is hereby authorized in accordance with the conditions of issuance on the reverse of this certificate to exercise the privileges of Commercial Pilot							
RATINGS AND LIMITATIONS							
XII. Airplane Multiengine Land Instrument Airplane							
XIII. BE-400, MU-300							
THIS IS <input checked="" type="checkbox"/> AN ORIGINAL ISSUANCE <input type="checkbox"/> A REISSUANCE OF THIS					DATE OF SUPERSEDED AIRMAN CERTIFICATE		
GRADE OF CERTIFICATE							
BY DIRECTION OF THE ADMINISTRATOR						EXAMINER'S DESIGNATION NO. OR INSPECTOR'S REG. NO.	
X. DATE OF ISSUANCE		X. SIGNATURE OF EXAMINER OR INSPECTOR <i>Emmet L. Hughes</i>				SW-11-1551	
08/20/2018		Emmett L. Hughes				DATE DESIGNATION EXPIRES	
VII. AIRMAN'S SIGNATURE <i>John Frank Doe</i>							
FAA Form 8060-4 (8-79) USE PREVIOUS EDITION							
Electronic Forms (PDF)							

Figure 5-103. Sample FAA Form 8710-1 Application for Flight Instructor Based on Military Pilot Qualifications, Processed by ASI/AST

Form approved OMB No. 2120-0021
08/31/2019

TYPE OR PRINT ALL ENTRIES IN INK

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: <input type="checkbox"/> Student <input type="checkbox"/> Private <input type="checkbox"/> ATP-Restricted <input type="checkbox"/> ATP	Instructor: <input type="checkbox"/> Recreational <input type="checkbox"/> Commercial <input type="checkbox"/> Ground	Category and/or Class: <input type="checkbox"/> ASE <input type="checkbox"/> Helicopter <input type="checkbox"/> Gyroplane Type Rating: BE-400	<input checked="" type="checkbox"/> AME <input type="checkbox"/> Balloon <input type="checkbox"/> Airship <input type="checkbox"/> Added Rating	<input checked="" type="checkbox"/> Land <input type="checkbox"/> Sea <input type="checkbox"/> Glider <input type="checkbox"/> Powered-Lift	Instrument: <input type="checkbox"/> Airplane <input type="checkbox"/> Helicopter <input type="checkbox"/> Powered-Lift	Ground Instructor: <input type="checkbox"/> Basic <input type="checkbox"/> Advanced <input type="checkbox"/> Instrument	<input checked="" type="checkbox"/> Initial <input type="checkbox"/> Renewal <input type="checkbox"/> Reinstatement	<input type="checkbox"/> Reexamination <input type="checkbox"/> Reissuance <input type="checkbox"/> Flight Review	<input type="checkbox"/> Instrument Proficiency Check <input type="checkbox"/> Medical Flight Test <input type="checkbox"/> Limitation Removal	Specify other: Military Qualifications <input type="checkbox"/> IPL

A. Name (Last, First, Middle): DOE, JOHN FRANK
 B. SSN (us only): Do not use
 C. Date of Birth: 12/01/1980
 D. Place of Birth (City and State) or (City and Country): Tulsa, OK

E1. Residential Address (Including City, State, Zip Code, and Country): 3912 NW 18th Street, Oklahoma City, OK 73111
 E2. Mailing Address (This address will be printed on the permanent airman certificate, if different than block E1.):
 F. Citizenship / Nationality: USA Other
 G. Do you read, speak, write, & understand the English language? Yes No
 H. Height (inches): 72
 I. Weight (pounds): 195
 J. Hair Color: Brown
 K. Eye Color: Brown
 L. Sex: Male Female

M. Do you hold, or have you ever held an FAA pilot certificate? Yes No
 M1. Grade of Certificate: Commercial
 M2. Certificate Number: Pending
 M3. Date Issued: 04/20/2018
 N. Do you hold, or have you ever held a Medical Certificate? Yes - FAA Yes - Foreign Yes - Military No
 N1. Class of Certificate:
 N2. Name of Medical Examiner:
 N3. Date Issued:

O. Have you ever been convicted of 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: US Air Force
 2. Date Rated in U.S. Military: 11/01/2015
 3. Rank or Grade: Major, O-4
 4. List Military aircraft for which you have:
 a. logged pilot time or provided flight instruction (IF) (make and model): T-1A
 b. passed an Instrument Proficiency Check (PIB or CFI) - (make and model): T-1A

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	Number of				
													Flights	Aero-Tows	Ground Landings	Powered Landings	
Airplanes				FC SIC			FC SIC				FC SIC	FC SIC	Glider Lighter-than-air				
Rotorcraft				FC SIC			FC SIC				FC SIC	FC SIC	Class Totals				
Powered Lift				FC			FC				FC	FC	Airplane	FC	FC	FC	FC
				SIC			SIC				SIC	SIC		SEL	MEL	SES	MES
Glider				FC			FC				FC	FC	Rotorcraft	Helicopter		Gyroplane	
				SIC			SIC				SIC	SIC					
Lighter-Than-Air				FC			FC				FC	FC	Lighter-than-air	Balloon		Airship	
				SIC			SIC				SIC	SIC					
FFS													FFS	SE	ME	Helicopter	
FTD													FTD				
ATD													ATD				

IV. Have you previously received a Notice of Disapproval or been denied for any reason for the certificate AND/OR rating for which you are applying? Yes No

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: John Frank Doe Date: MM/DD/YYYY 04/20/2018

FAA Form 8710-1 (10-17) Supersedes Previous Edition Page 1 of 2

Figure 5-103. Sample FAA Form 8710-1 Application for Flight Instructor Based on Military Pilot Qualifications, Processed by ASI/AST (Continued)

Instructor Action			
<input type="checkbox"/> Accepted Student Pilot Application - I have personally reviewed the applicant's information and verified the person meets the eligibility requirements and verified applicants identification <input type="checkbox"/> Flight Review <input type="checkbox"/> Instrument Proficiency Check <input type="checkbox"/> Recommendation - I have personally instructed the applicant and consider this person ready to take the test.		<input type="checkbox"/> Rejected Student Pilot Application	
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			
<input type="checkbox"/> Accepted Student Pilot Application <input type="checkbox"/> 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. <input type="checkbox"/> I have personally reviewed this applicant's graduation certificate, and found it to be appropriate and in order, and have returned the certificate. (Original ATP CTP graduation certificate must be attached) <input type="checkbox"/> I have personally tested and/or verified this applicant in accordance with pertinent procedures and standards with the result indicated below.		<input type="checkbox"/> Rejected Student Pilot Application <input type="checkbox"/> I have personally delivered the Written Notification under the Pilot's Bill of Rights to the applicant.	
<input type="checkbox"/> Approved - Temporary Certificate Issued (Original Attached) <input type="checkbox"/> 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	<input type="checkbox"/>	<input type="checkbox"/>	_____
Approved FFS/FTD Check	<input type="checkbox"/>	<input type="checkbox"/>	_____
Aircraft Flight Check	<input type="checkbox"/>	<input type="checkbox"/>	_____
Advanced Qualification Program	<input type="checkbox"/>	<input type="checkbox"/>	_____
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)			
<input checked="" type="checkbox"/> I have personally delivered the Written Notification under the Pilot's Bill of Rights to the applicant.			
<input type="checkbox"/> Accepted - Student Pilot Application <input checked="" type="checkbox"/> Approved - Temporary Certificate Issued (Original Attached) <input type="checkbox"/> Disapproved - Disapproval Notice Issued (Original Attached)		<input type="checkbox"/> Rejected - Student Pilot Application	
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: <input type="checkbox"/> Examiner's Recommendation Provided/Reviewed <input type="checkbox"/> Accepted <input type="checkbox"/> Rejected <input type="checkbox"/> Application for Student Pilot Certificate Accepted <input type="checkbox"/> Reissue or exchange of pilot, CFI, or G.I. certificate <input type="checkbox"/> Change of name, nationality, gender or date of birth <input type="checkbox"/> SIC Type Rating issued under §61.55(b) (Part 91)		Certificate or Rating Based on: <input type="checkbox"/> Approved FAA Qualification Criteria not Identified on Page 1 <input checked="" type="checkbox"/> Military Competency <input type="checkbox"/> Foreign License <input type="checkbox"/> Special medical test conducted - report forwarded to issuing medical office or AAM-300 <input type="checkbox"/> Special Test-Reexamination (44709) conducted <input type="checkbox"/> Approved <input type="checkbox"/> Disapproved	
<input type="checkbox"/> Ground Instructor Certificate Issued <input type="checkbox"/> Basic <input type="checkbox"/> Advanced <input type="checkbox"/> Instrument		<input checked="" type="checkbox"/> Flight Instructor Certificate Issued <input checked="" type="checkbox"/> Initial <input type="checkbox"/> Renewal <input type="checkbox"/> Reinstatement Instructor Renewal Based On: <input type="checkbox"/> Activity <input type="checkbox"/> Training Course <input type="checkbox"/> Test <input type="checkbox"/> Duties and Responsibilities <input type="checkbox"/> Military Instructor Proficiency Check	
Training Course (FIRC) Name		Graduation Certificate Number	Date of FIRC Graduation Certificate
Flight Instructor Airplane Multiengine			
Date	Inspector's Signature (Print Name & Sign)	Certificate Number	FAA Office (e.g. 80-15, WP-15)
04/20/2018	Rey G. Johnson <i>Rey G. Johnson</i>	6543211	SWV-11
Attachments: <input type="checkbox"/> Certifying Statement <input type="checkbox"/> College Transcript (Official) <input type="checkbox"/> ATP CTP Graduation Certificate <input checked="" type="checkbox"/> Knowledge Test Report <input checked="" type="checkbox"/> Temporary Airman Certificate <input type="checkbox"/> Notice of Disapproval <input type="checkbox"/> Superseded Airman Certificate		Airman's Identification (ID) (US driver's license or passport recommended) Form of ID Oklahoma Drivers License ID Number (if issued by State, include State) 456663232 Expiration Date (must be valid) 12/31/2018 Telephone Number 555-555-5555	
		Applicant Information (required if printed on 2 pages) Name JOHN FRANK DOE Date of Birth 12/01/1980 Certificate Number Pending E-Mail Address	
<input checked="" type="checkbox"/> Meets Aviation English Language Standard <input type="checkbox"/> Does Not Meet Aviation English Language Standard <input type="checkbox"/> Referred to FSO for Aviation English Language Standard Determination REMARKS:			

VOLUME 6 SURVEILLANCE**CHAPTER 2 PARTS 121, 135, AND 91 SUBPART K INSPECTIONS****Section 38 Safety Assurance System: Evaluate a Part 121/135.411(a)(2) Operator Aircraft Storage Program**

6-1036 REPORTING SYSTEM. Use Safety Assurance System (SAS) automation. This section is related to SAS Element 4.2.1 (AW) Maintenance/Inspection Requirements.

6-1037 OBJECTIVE. This section provides information and guidance to evaluate aircraft storage programs used by air carriers operating under Title 14 of the Code of Federal Regulations (14 CFR) parts 121 and 135 for acceptance.

6-1038 BACKGROUND. The primary purpose of an aircraft storage program is preservation. Storage programs are intended to preserve the aircraft in a known state through methods, techniques, and procedures designed to mitigate or eliminate the adverse effects of the storage environment and non-operation of the aircraft. An effective storage program will allow the operator to readily return the stored aircraft to an operational status.

6-1039 DEFINITIONS. For the purposes of this section, the following definitions apply:

A. Storage (General). An air carrier's aircraft is considered stored when it is removed from active, operational status for any reason while the aircraft remains on the certificate holder's operations specifications (OpSpecs). The level of preservation depends on the length of storage, the aircraft design features, and the storage environment (inside/outside, etc.).

B. Short-Term Storage. An aircraft is subject to short-term preservation procedures when it is removed from operational status for less than 60 days.

C. Intermediate-Term Storage. An aircraft is subject to intermediate-term preservation procedures when it is removed from operational status for more than 60 days, but less than 120 days.

D. Long-Term Storage. An aircraft is subject to long-term preservation procedures when it is removed from operational status for 120 days or more.

6-1040 GENERAL.

A. Out of Service (OTS). Occasionally, and for a variety of reasons, an air carrier will take an aircraft OTS for a period of time. Depending on the circumstances, the time period can be a couple of days to a number of years to indefinitely.

B. Level of Preservation. The level of preservation depends on variables, such as the planned length of storage and the storage environment. For example, a large transport category aircraft taken OTS due to excess capacity and stored for an indefinite period outside on the ramp at San Francisco International Airport (SFO) should have a more comprehensive level of

preservation than an identical aircraft taken OTS for storage and placed in a desert climate like Roswell, New Mexico.

6-1041 AIR CARRIER AIRCRAFT STORAGE PROGRAMS. As stated earlier, aircraft storage programs are intended to mitigate or eliminate the effects of a non-operational status by implementing various levels of preservation.

A. Maintenance Function. Consistent with 14 CFR part 1, preservation is included in the scope of the maintenance function along with inspection, repair, overhaul, and the replacement of parts.

B. Requirements. Aircraft storage programs are an integral part of the air carrier maintenance programs required by part 121, § 121.367 and part 135, § 135.425. Storage programs are developed and documented consistent with 14 CFR part 43, § 43.13(c) in the manual as required by §§ 121.135, 121.369, and 135.425. Air carrier aircraft storage programs do not require any specific Federal Aviation Administration (FAA) approvals other than the § 43.13(c) process.

C. Uniqueness. Each air carrier should have a storage program that is unique to its type of aircraft make, model, and series (M/M/S), storage environment, and operational needs. Inspectors should not expect a storage program to be exactly the same from one carrier to the next.

D. Procedures. Generally, aircraft storage programs will have procedures for placing the aircraft in various levels of preservation, for de-preserving the aircraft when placing it back in service, for accomplishing inspections or other maintenance designed to mitigate or eliminate the effects of preservation, and de-preservation, and for documenting all of these actions.

E. Recommended Storage Programs. Some aircraft manufacturers have recommended storage programs currently in place. These programs are not to be considered mandatory for air carriers to implement. Air carriers may use all, some, or none of these recommendations while developing their own specific storage program. However, it is important to note that some manufacturers may have specific airworthiness requirements based on proper storage/preservation and that the carrier must address these requirements when returning the aircraft to an Airworthy condition.

6-1042 AIRCRAFT OPSPECS LISTING. Air carrier aircraft that are removed from service and preserved in accordance with the air carrier's storage program should remain on the aircraft OpSpecs listing. If the aircraft is removed from OpSpecs, the air carrier loses the authority to perform maintenance on that aircraft as well as the authority to use its storage program. Air carrier aircraft removed from the aircraft listing come under the requirements of § 43.13(a) and (b), rather than the air carrier maintenance program. Furthermore, the air carrier's principal maintenance inspector (PMI) loses the oversight responsibility/authority for those aircraft that are not on the air carrier's aircraft listing. However, if the air carrier places an aircraft in a non-operational status, but doesn't preserve it to an appropriate level in accordance with a storage program, then the PMI should remove that aircraft from the aircraft OpSpecs listing. The PMI can take this action under the provisions of 14 CFR part 119, § 119.51(a)(1), due to the

safety concerns of creating an unknown airworthiness status by not preserving the aircraft. The public interest is served by not allowing the aircraft to be used in air transportation until the operator demonstrates the required airworthiness status to the FAA.

6-1043 STORED AIR CARRIER AIRCRAFT SCHEDULED MAINTENANCE REQUIREMENTS.

A. Authorization. OpSpec D072, Aircraft Maintenance—Continuous Airworthiness Maintenance Program (CAMP) Authorization, gives the air carrier the authorization to conduct operations under part 121 as long as the requirements set forth in the OpSpec are complied with. It is important to understand that these OpSpec authorization requirements are for operational aircraft. Aircraft placed in storage, with or without a storage program, are not intended for operation; therefore, they do not fall under the requirements of the OpSpec until the carrier intends to operate the aircraft.

B. Air Carrier Aircraft. Since air carrier aircraft that have been placed in a non-operational status and preserved are not being operated, they are not required to be maintained in accordance with the maintenance schedule listed on OpSpec D088, Maintenance Time Limitations Authorization, or OpSpec D089, Maintenance Time Limitations Section.

C. Other Requirements. However, the storage program may include other scheduled maintenance requirements or other required actions that are particular to the storage environment and to the level of storage. For example, engine runs may be required on a weekly basis for engines that have not been preserved. Another example is servicing dehumidifying equipment/material on a scheduled basis. Still another example is moving the aircraft from one side of the ramp to the other and turning it 180 degrees every 3 months. In any case, in addition to the procedures implemented to preserve the aircraft and place it in storage, the storage program should contain a schedule for accomplishment of all tasks required to maintain the aircraft in the intended level of preservation.

6-1044 STORED AIR CARRIER AIRCRAFT AIRWORTHINESS CERTIFICATES.

Depending on the level of preservation, intended length of storage, and the security of the aircraft, the air carrier should consider removing the Standard Airworthiness Certificate and the certificate of registration from each stored aircraft for safekeeping.

A. Evaluation Factors. Inspectors must consider a number of factors when evaluating an FAA Standard Airworthiness Certificate issued to a stored aircraft. One is the unlimited or indefinite expiration date. Two others are validity and effectiveness. Valid means that the Standard Airworthiness Certificate has been executed with the proper legal authority and formalities; it is legitimate. Effectiveness means that the certificate remains in force; it has legal meaning. Still another factor to consider is that the effectiveness of the Standard Airworthiness Certificate is derived from the terms and conditions listed in block 6 on the Standard Airworthiness Certificate itself and further described in 14 CFR part 21, § 21.181(a)(1).

B. Effectiveness. The text in block 6 of the Standard Airworthiness Certificate states:

“Unless sooner surrendered, suspended, revoked, or a termination date is otherwise established by the Administrator, this airworthiness certificate is

effective as long as the maintenance, preventive maintenance, and alterations are performed in accordance with parts 21, 43, and 91 of the Federal Aviation Regulations, as appropriate, and the aircraft is registered in the United States.”

C. Aircraft Operation. It is implicit in the terms and conditions of block 6 that the subject aircraft is being or will be operated. However, when an aircraft is preserved and placed in storage, it is similarly implicit that the aircraft is not going to be operated. However, because there is no expiration date, the Standard Airworthiness Certificate of a preserved and stored aircraft is not to be considered revoked, suspended, or terminated as a result. The Standard Airworthiness Certificate remains valid and the block 6 terms and conditions still apply. The Standard Airworthiness Certificate becomes ineffective when the requirements for maintenance, preventive maintenance (PM), and alterations pursuant to parts 21, 43, and 14 CFR part 91 are not complied with.

D. Preserved and Stored Aircraft. In accordance with the terms and conditions in block 6, the Standard Airworthiness Certificate of a preserved and stored aircraft is restored to a state of being effective when all maintenance, PM and alterations required by the air carrier maintenance program are complied with. The air carrier storage program should have clear procedures for ensuring that all of the maintenance program requirements as well as the appropriate regulatory requirements are complied with before approving it for return to service.

6-1045 UTILIZATION OF PARTS FROM AIRCRAFT IN STORAGE. It is common practice for air carriers to remove parts from aircraft that are in storage (regardless if the aircraft is on OpSpec D085, Aircraft Listing, or not). Aviation safety inspectors (ASI) must remember that the FAA has no regulatory authority to dictate where carriers obtain their parts. The responsibility lies with the carrier/installer to determine that all parts used on type-certificated (TC) products are acceptable for installation. The major concern is maintenance requirements becoming “overdue” on parts that have been installed on aircraft while in storage. The air carriers receiving inspection process must detail the procedures to ensure this responsibility.

6-1046 AIRCRAFT MOVEMENT WHILE IN STORAGE STATUS. Movement (operation) of a stored aircraft from one place to another by air with the intention of keeping it in storage should be an unusual event. However, before any operation of an air carrier aircraft that has been preserved and stored in accordance with the air carrier’s storage program can take place, the air carrier must complete procedures for de-preserving the aircraft and accomplish those maintenance actions necessary to return the aircraft to an Airworthy status. The storage program should clearly outline these procedures and maintenance actions.

A. Overdue Airworthiness Directive (AD). If the aircraft is not being moved to accomplish maintenance, movement of a preserved and stored aircraft can become complex if AD requirements and scheduled maintenance requirements are past due. PMIs should pay close attention to the special flight permit restrictions and requirements of any overdue AD, as well as the terms and conditions of the air carrier’s continuing authorization to issue special flight permits for maintenance, if appropriate.

B. Procedures and Actions. The procedures and actions required for operating a preserved and stored aircraft from one storage place to another should not be significantly different from those for returning the aircraft to a full operational status.

C. Stage 2 Noise Restrictions. Aircraft subject to Stage 2 noise restrictions must be flown subject to the additional requirements of part 91, § 91.858.

D. OpSpecs. If the aircraft is on the air carrier's OpSpecs, then the PMI of the air carrier will provide oversight of the movement of the aircraft. If the aircraft is not on an Air Carrier Certificate, then the PMI in the geographical area the aircraft is located will provide oversight.

6-1047 RETURN TO SERVICE FOLLOWING STORAGE. Storage programs are meant to preserve an aircraft, not require the accomplishment of normal scheduled maintenance. At a minimum, certificate holders must ensure the aircraft conforms to applicable airworthiness requirements and limitations of their maintenance program and the regulations. It must be understood that all time, especially calendar time, accrued while in storage must be counted when determining what scheduled maintenance is due once the aircraft is returned to service.

6-1048 OPSPEC D106, AIRCRAFT IN LONG-TERM MAINTENANCE OR STORAGE.

The statutory and regulatory basis requiring liability insurance coverage is in Title 49 of the United States Code (49 U.S.C.) § 41112 and its implementing regulation, and 14 CFR part 205, § 205.4(b). 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 Air Carrier Certificate holders are required to have continuous, effective liability insurance coverage and in effect, to ensure that the public is protected in the event of an accident. Effective liability insurance coverage is a condition for an air carrier to hold Office of the Secretary of Transportation (OST) economic authority.

A. Liability Insurance. However, in some circumstances, maintaining liability insurance coverage on an aircraft not in operation can produce economic hardship for an Air Carrier Certificate holder (e.g., when an Air Carrier Certificate holder's operation is seasonal, an aircraft is undergoing long term maintenance, or it is in long term storage). Therefore, to comply with the requirements of § 205.4(b) and accommodate the economic needs of the certificate holders, OpSpec A501, Liability Insurance Suspension for Seasonal Operations, and OpSpec D106, were developed.

B. OpSpec A501. OpSpec A501 is issued to an Air Carrier Certificate holder who requests to completely cease all kinds of operations for all of its aircraft for a designated period of time. The issuance of OpSpec A501 voluntarily holds all of the Air Carrier Certificate holder's OpSpecs, with the exception of OpSpec A501, in a state of suspension for the established period of time, as listed in OpSpec A501.

C. OpSpec D106. OpSpec D106 is issued to those Air Carrier Certificate holders who wish to suspend the aircraft liability insurance on specific aircraft that are in long term maintenance or storage and for which it is not necessary or practicable to meet the requirements of § 205.4(b). These aircraft cannot be used in any Air Carrier Certificate holder's operations during this time. The issuance of this OpSpec voluntarily holds Parts A, B, C, and H of the

OpSpecs in suspense for only those aircraft listed in Table 1 of OpSpec D106. Part D maintenance paragraphs are not suspended, which allows the maintenance programs to remain active.

D. Activation. At no time will OpSpecs A501 and D106 be active at the same time. These OpSpecs were developed as separate provisions for specific needs.

E. Application. This section applies only to air carriers that have implemented storage programs. Carriers who do not choose to implement storage programs do not need provisions to keep their Part D maintenance paragraphs active, as they will not be maintaining their aircraft in accordance with their maintenance program.

6-1049 COORDINATION REQUIREMENTS. This task requires coordination with Airworthiness and Operations ASIs.

6-1050 REFERENCES, FORMS, AND JOB AIDS.

A. References (current editions):

- Title 14 CFR Parts 21, 119, 121, and 135.
- Volume 6, Chapter 2, Section 42, Safety Assurance System: Surveillance of Parts 121 and 135 (With OpSpec D072) Certificate Holder Contract Maintenance Provider Programs and Maintenance Provider Airworthiness Agreements, if applicable.
- Volume 3, Chapter 43, Evaluate a Continuous Airworthiness Maintenance Program.

B. Forms. None.

C. Job Aids. None.

6-1051 PROCEDURES.

A. Review the Manual. The certificate holder's manual or other document should define adequate procedures to preserve aircraft while in storage. The areas of preservation in the paragraphs below will prevent the deterioration of the airplane, engines, structure, finish, and/or system components. Certificate holders may have all of these, some of these, or even additional areas in their manual based on the complexity of their aircraft and the amount of time it will be in storage. Certificate holders must consider the location where the aircraft will be stored; i.e., inside and protected from the environment, or outside, in which case environmental conditions must be considered (high winds, humidity, unusual pollutants, etc.). The need for repetitive inspections to ensure preservation methods are adequate must also be considered. The areas of preservation may include the following:

1) **Airframe.** This may include:

- Installation of protective coverings and closing of all external openings (except drains);
- Parking/mooring procedures;
- Installation of safety pins;
- Washing of aircraft (due to environment, may be repetitive);
- Landing gear strut servicing, lubricating and protection of the oleo;
- Tire inflation and rotation;
- Fuel system decontamination;
- Gust locks;
- Primary and secondary flight control cycling and lubrication;
- Protection of windows;
- Procedures for the removal of parts or components;
- Inspection of seats and carpet for moisture/mildew (if stored in humid environments);
- Preserving lavatories and water systems; and
- Opening of closets, cabinets, and interior doors to supply ventilation and to prevent mildew.

2) **Engine/Auxiliary Power Unit (APU).** This may include:

- Procedures to operate the engine/APU on an established interval;
- Complete preservation of the engine/APU (e.g., pickling); and
- Procedures for the removal of parts or components.

3) **Electrical.** This may include:

- Opening/closing of circuit breakers;
- Battery servicing/disconnection;
- Removal of batteries from emergency devices, such as megaphone, flashlights, power supplies for emergency lights, emergency beacons, etc.; and
- Procedures for the removal of parts or components.

4) **Operational Checks.** This may include:

- Procedures to transition the aircraft from preservation to a state acceptable for engine operations and operational checks of systems, back to the preserved state; and
- Operational checks of hydraulics, electrical, engine, fuel systems and avionics, etc.

B. Review Contracts with Air Carrier Maintenance Providers. A maintenance provider may be used to store and preserve aircraft. These providers are required to perform all functions in accordance with the certificate holder's manual and be monitored by the operator's Continuing Analysis and Surveillance System (CASS) (See Volume 6, Chapter 2, Section 40).

If contracts were negotiated, the PMI should review this document to ensure the certificate holder's manual procedures will be followed (see Volume 6, Chapter 2, Section 42).

C. Review Procedures for Movement of the Aircraft in a Storage Status.

Occasionally, certificate holders may need to fly an aircraft that is in storage to another location to perform maintenance. The air carrier must have procedures in place to ensure an aircraft, which does not meet its TC, is in safe condition for the intended flight. The manual must include procedures to:

1) Ensure that flights conducted under this provision are conducted in accordance with OpSpec D084, Special Flight Permit with Continuous Authorization to Conduct Ferry Flights, and/or OpSpec D095, Minimum Equipment List (MEL) Authorization.

NOTE: The subject aircraft must be listed on OpSpec D085 in order to be operated as authorized in OpSpecs D084 and D095. If the aircraft is not listed on OpSpec D085, then the requirements of § 21.197(a) apply.

2) De-preserve the aircraft based on any preservation methods used during storage (i.e., protective coverings/Standard Airworthiness Certificates, engine pickling, and fuel system additives).

3) Conduct inspections or operational checks necessary to ensure the aircraft is safe for the intended flight.

4) Ensure that the aircraft is evaluated for inoperative systems or removed components/accessories and their effect on the intended flight. This includes determining Weight and Balance (W&B) changes on the aircraft.

5) Obtain approval from personnel with authority and responsibility for authorizing the movement of aircraft in storage status.

6) Determine that ADs, which must be complied with before flight, are so complied with.

D. Review Procedures for Returning the Aircraft to an Airworthy Condition.

Regardless of what procedures a certificate holder has in its manual on preserving an aircraft in storage, the manual must have procedures on how to return an aircraft to Airworthy condition once taken out of storage. These procedures must include a records check and compliance audit of the maintenance program. All time-limited (flight-hours, cycles, or calendar) items that went overdue during the storage period must be brought back into compliance. Review the manual to determine if it includes procedures to:

1) Define lines of responsibility and authority for personnel involved in ensuring the aircraft is returned to service properly.

2) Audit the current status of the aircraft to the maintenance program and comply with required tasks, including ADs, life-limited components, Certification Maintenance Requirements (CMR), avionics databases, etc.

3) De-preserve the aircraft based on any preservation methods used during storage (i.e., protective coverings/Standard Airworthiness Certificates, engine pickling, and fuel system additives).

4) Conduct other inspections and operational checks, as deemed necessary, based on the amount of time the aircraft was in storage and the environment to which it was exposed.

5) Conduct any operational check flights or test flights prior to return to service.

6-1052 TASK OUTCOMES.

A. Follow SAS Guidance for Modules 4 and 5.

B. Complete the Task. Successful completion of this task will result in the acceptance of the storage program submitted as part of the CAMP. If requested by the air carrier, issue OpSpec D106.

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

6-1053 FUTURE ACTIVITIES. Follow SAS guidance.

RESERVED. Paragraphs 6-1054 through 6-1070.

VOLUME 13 FLIGHT STANDARDS DESIGNEES**CHAPTER 1 AIR TRANSPORTATION DESIGNATED EXAMINERS****Section 2 Managing Programs****Source Basis:**

- **Section 183.1, Scope.**
- **Section 183.11, Selection.**
- **Section 183.13, Certification.**
- **Section 183.15, Duration of Certificates.**
- **Section 183.17, Reports.**
- **Section 183.23, Pilot Examiners.**
- **Section 183.25, Technical Personnel Examiners.**
- **Administrative.**

13-24 PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODES. Operations: 1551, 1552, 1553, 1554, 1555, 1559, 1561, 1562, 1563, 1564, 1595, 1664, 1665, 1666, 1668, 1669, 1670, 1671, 1672, and 1673.

13-25 OBJECTIVE. This section provides specific inspector guidance on the selection, appointment, oversight, training, renewal, and termination of designees in the Aircrew Designated Examiner (ADE) program, including aircrew program designees (APD), as well as inspector guidance on certain aspects of the Training Center Evaluator (TCE) program and the Designated Aircraft Dispatch Examiner (DADE) program.

13-26 GENERAL.**A. Selection of Examiners.**

1) This paragraph applies to the selection of examiners in the ADE program. Preferred sources for examiner candidates are:

- Airmen who are actively engaged in the activity for which examinations are to be conducted, and
- Retired or former inspectors.

2) Prior experience as a designated examiner or aviation safety inspector (ASI) may be considered to meet the examiner requirement for check pilot experience.

NOTE: Selection criteria for TCEs are located in Volume 3, Chapter 54, Section 2. Selection criteria for DADEs are located in Volume 13, Chapter 3.

B. Qualifications of APDs. Candidates must have the following qualifications:

1) A recommendation from the operator that includes a résumé of training and professional experience;

2) A good record as a pilot and flight instructor and a good record of compliance with Title 14 of the Code of Federal Regulations (14 CFR) (isolated and unrelated violations or incidents are not disqualifying);

3) Approval as a check pilot for the operator in its 14 CFR part 121 or 135 training program;

4) A reputation for integrity and dependability in the industry and the community;

5) An Airline Transport Pilot (ATP) Certificate and applicable type rating for pilot examiners. Examiners authorized to conduct evaluations in aircraft must possess at least a third class medical certificate. A medical certificate is not required for simulator evaluators;

6) Successful completion of the operator's approved training program in which the candidate will be authorized to conduct evaluations for the issuance of certificates; and

7) Satisfactory completion of a formal ground school conducted by the Federal Aviation Administration (FAA) that includes the subjects contained in paragraph 13-33.

NOTE: See Volume 13, Chapter 2, Section 3 for more detail regarding APD qualifications. See Volume 3, Chapter 54, Section 2 for more detail regarding TCE qualifications.

C. Qualifications of Candidates Other Than Pilots. Examiner candidates who are not pilots must have the following qualifications:

1) Designated Flight Engineer Examiner (DFEE) candidates must have successfully completed the operator's approved training program in which the candidate will be authorized to conduct evaluations for the issuance of certificates, or the training program conducted by the training center and the appropriate training in the differences between the operator's approved training program and that of the training center;

2) DFEE and aircraft dispatcher examiner candidates must have satisfactorily completed a formal ground school conducted by the FAA that includes the subjects contained in paragraph 13-33;

3) Hold the appropriate airman certificate and rating(s), if applicable;

4) Status as a check Flight Engineer (FE) or dispatcher supervisor, as appropriate, in the operator's training program;

5) A recommendation from the operator that includes a résumé of training and professional experience; and

6) A good record of compliance with 14 CFR (isolated and unrelated violations or incidents are not disqualifying).

D. Oversight. Effective oversight of designated examiners is founded on a strategy of risk management (RM) in which oversight by a certificate holder, as well as the FAA, includes a continual process of weighing the harm potential of any hazard against the likelihood of its occurrence, and taking appropriate preventive action. The FAA must allocate sufficient resources, including manpower and funds, to ensure effective management and efficient oversight of any designee. Flight Standards District Office (FSDO) and certificate management office (CMO) managers continually evaluate the effectiveness of their respective designee processes, and are responsible for prompt response and feedback to designees. Evaluations should be data-driven and based upon objective evidence, and any decisions must be documented.

13-27 DESIGNATED EXAMINERS ABROAD. An examiner may be designated to serve at locations outside of the United States, provided the designated examiner will examine only U.S. citizens or applicants trained under a training center's approved program, or individuals employed as flightcrew members of a part 121 or 135 air carrier and trained under that operator's approved training program. An FAA inspector must adequately supervise the designated examiner's activities. Principal Operations Inspectors (POI) may depend upon inspectors provided by International Field Offices (IFO) or by a Safety Assurance office for this supervision. A person who is not a U.S. citizen may be designated as an examiner abroad only when the need cannot be filled by a U.S. citizen and the individual has met the U.S. certification requirements for the examining authority requested.

13-28 PREREQUISITES AND COORDINATION REQUIREMENTS.

A. Prerequisites. This task requires knowledge of applicable 14 CFR parts 61, 63, 65, 91, 121, 135, 142, and 183 regulations and FAA policies, and qualification as an ASI (Operations) with designee oversight responsibilities.

B. Coordination. This task may require coordination between the managing FAA office and/or the Air Transportation Division.

13-29 REFERENCES, FORMS, AND JOB AIDS.

A. References (current editions):

- Title 14 CFR Parts 1, 61, 63, 91, 121, 135, 142, and 183.
- Title 49 of the United States Code (49 U.S.C.).
- PTRS Procedures Manual (PPM).

B. Forms:

- FAA Form 8000-5, Certificate of Designation.
- FAA Form 8000-36, Program Tracking and Reporting System Data Sheet.
- FAA Form 8060-4, Temporary Airman Certificate.
- FAA Form 8060-5, Notice of Disapproval of Application.
- FAA Form 8430-9, Certificate of Authority.
- FAA Form 8710-6, Examiner Designation and Qualification Record.

C. Job Aids. None.

13-30 DESIGNEE APPLICATION. Examiner candidates must submit the following before designation:

A. Qualifications. A completed statement of professional qualifications on FAA Form 8710-6. The specialist will review the candidate's qualifications to ensure that the candidate meets the requirements and standards for an examiner designation.

B. Certificate of Authority (COA). A copy of a completed and current FAA Form 8430-9 (see Figure 13-2, Sample FAA Form 8430-9, Certificate of Authority), if the candidate currently holds an examiner designation(s) and examiner letters of authority (LOA) issued to the candidate.

C. Letters of Approval. Copies of any current check pilot or check FE letters of approval issued to the candidate.

13-31 PROCESSING INITIAL EXAMINER DESIGNATIONS. Specialists will ensure that all the requirements for an examiner designation have been met and will prepare the necessary paperwork as follows:

A. PTRS Codes (Part 183):

- 1551—Pilot Examiner—Large/Turbine (Airline Transport Pilot Examiner (ATPE)/Designated Pilot Examiner (DPE)).
- 1552—Pilot Examiner—Other (DPE).
- 1553—Pilot Proficiency Examiner (PPE).
- 1555—Aircraft Dispatcher.
- 1559—TCE.
- 1561—Flight Engineer Examiner (FEE).
- 1562—APD.

B. FAA Form 8710-6. After the examiner applicant has completed and signed the front of FAA Form 8710-6, the specialist will complete the form as follows:

1) On the back of the form under the block labeled “Additional Qualifications,” enter the certificates, ratings, and aircraft type, as applicable, for which the designated examiner is authorized to conduct certification tests.

2) Check both sides of the form for accuracy and completeness.

3) Enter the type of designation, “APD/DFEE” or “TCE,” followed by the certificate and airplane type in the space labeled, “Type of Designation,” below the District Certificate Management or Regional block (e.g., APD/ATP/AMEL B-727).

4) Enter the designated examiner's Airman Certificate number and designation identification in the space labeled, “Certificate of Authority Issued” in the space titled “No.”

If the examiner candidate is to be an APD for an air carrier, use the designator for that air carrier. If the candidate is to be a TCE, use the designator for the training center.

5) Enter the expiration date, which is normally the last day of the month in the following year corresponding to the month of designation. Special circumstances may call for an earlier expiration date.

6) Enter the applicable FSDO in the “DO to Serve Under” block.

7) Sign the “Inspector’s Signature” block.

C. Examiner Designation Numbers. For APDs and TCEs, the airman’s certificate number, coupled with the applicable four-character air carrier or training center designator, may be used in all instances when an examiner designation number may be called for. If the examiner candidate is to be an APD for an air carrier, use the designator for that air carrier. If the candidate is to be a TCE, use the designator for the training center (e.g., an APD for Delta Air Lines, Inc. (DALA) would be 123456789DALA).

D. Other Forms. Specialists will prepare FAA Form 8000-5 (see Figure 13-3, Sample FAA Form 8000-5, Certificate of Designation), and FAA Form 8430-9 (see Figure 13-2). The originals of these forms will be issued to the designated examiner. Copies will be retained in the appropriate designee file.

E. Approval Authority. The office manager, POI, Training Center Program Manager (TCPM), or an inspector authorized to act for these individuals will indicate approval of each examiner candidate by completing the first line of the district office/CMO action block on FAA Form 8710-6, and by signing the LOA and the appropriate spaces on FAA Forms 8710-6, 8430-9, and 8000-5.

F. LOA. The inspector approving the candidate’s designation as an examiner will prepare the LOA. The LOA serves two purposes:

- It specifies the exact authority conveyed to the examiner by the designation, which may not be possible to include on FAA Form 8430-9 due to space limitations; and
- It provides a record of approval and a basis for subsequent amendment and dissemination of information to affected FAA offices, which may be transmitted via email.

13-32 DESIGNEE FILE. The managing Flight Standards office must maintain a file on each of its designees. The records may be maintained electronically if the electronic recordkeeping system meets the requirements of the current edition of FAA Order 1350.14, Records Management, and the FAA Records Management Manual. The file must comply with Order 1350.14, and for standardization must contain the following information:

NOTE: If any of these items are unavailable, the FAA office should include a written notation to that effect in the designee file.

- A copy of the current LOA;
- FAA Form 8000-5, Certificate of Designation, for the most recent designation;
- FAA Form 8430-9, Certificate of Authority, for the most recent designation;
- FAA Form 8710-6, Examiner Designation and Qualification Record, for the original designation and the most recent renewal;
- Violations history, if any, available from the Enforcement Information System (EIS);
- Records of surveillance/inspection of the designee (e.g., copy of PTRS record); and
- Records of discussion or counseling, if any.

NOTE: Electronic FAA records which may be accessed through the FAA's electronic records systems (e.g., PTRS, Safety Performance Analysis System (SPAS), Enhanced Flight Standards Automation System (eFSAS), and enhanced Vital Information Database (eVID) need not be duplicated and maintained in the designee's file folder. However, it should be noted that PTRS alone does not retain records to meet this requirement in full.

13-33 EXAMINER CANDIDATE TRAINING AND OBSERVATION. The specialist will ensure that examiner candidates are trained and observed in their functions prior to designation. TCEs must complete the employing center's approved instructor and TCE training as well as the training described in this section.

A. Candidate Training. Examiner candidates must be trained in certification policies, procedures, and standards. The specialist must ensure that the candidate is trained in the following specific areas:

- 1) The knowledge, abilities, and skill requirements for the original issuance of the certificate and added ratings, as applicable;
- 2) The procedures, methods, and techniques associated with administering the required certification tests;
- 3) Examiner responsibilities, authority, and limitations under 14 CFR and applicable FAA orders;
- 4) The use of FAA forms and job aids associated with the particular examiner function; and
- 5) Administrative procedures and relationships with supervisory inspectors.

NOTE: See Volume 13, Chapter 3 for DADE training requirements. See Volume 3, Chapter 54 for TCE training requirements.

B. Representing the FAA. Inspectors will stress to examiner candidates that in performing the functions of an examiner, they are representatives of the Administrator. Candidates must understand that matters such as company loyalties, economic conditions, union affiliations, and seniority are not relevant to the certification of airmen.

C. FAA Observation of the Candidate. After the examiner candidate has been trained, a qualified inspector will observe the examiner candidate conducting a complete certification test consisting of oral, simulator, and aircraft portions (or practical evaluation), as applicable. The following methods of observation may be used, in descending order of preference:

1) Actual Certification Evaluation. The preferred method is that the inspector observes an examiner conducting all portions of an actual certification test.

2) Simulated Certification Evaluation. When circumstances make the observation of an actual certification test impractical, inspectors may observe the examiner candidate conducting a competency or proficiency check as if the check were being conducted for certification.

3) Other Methods. Other methods, such as the inspector acting as the applicant, may be used when the preferred methods are not practical.

NOTE: The requirements for valid TCE observations are clarified and explained further in Volume 3, Chapter 54, Section 2, which supersedes the requirements for observation noted in this section.

D. Recording Examiner Training. Specialists who conduct training for an examiner candidate will complete FAA Form 8000-36, using activity code 1586 for each TCE candidate trained and 1595 for each other examiner candidate trained. The inspector will use FAA Form 8000-36, Section IV and J783, to identify the type of training activities that are conducted.

13-34 OVERSIGHT AND SUPPORT OF DESIGNATED EXAMINERS. Specialists are responsible for the oversight and support of designated examiners. However, any FAA employee working with the designee has the responsibility to provide input to the specialist on the performance of the designee. The following guidance applies:

A. Meeting With Examiners. Specialists will ensure competent performance by each designated examiner in respect to handling of applicants, maintenance of desired test standards, and accurate completion and processing of certification paperwork. Designated examiners should be encouraged to contact their specialists to resolve questions or difficulties. Sufficient contact is essential and will include regular and special meetings and annual briefings, as follows:

1) Regular Safety Standardization Meetings. Specialists will conduct regularly scheduled meetings, at least annually, with designated examiners for the purpose of maintaining desirable standards and effective working relationships. These meetings will be recorded in the PTRS.

2) **Special Safety Standardization Meetings.** Specialists will call special meetings whenever a significant change affects the process of FAA airman certification in respect to air transportation examiners.

3) **Annual FAA Briefing of Examiner.** Each designated examiner must attend an annual briefing, conducted by a specialist, that specifically addresses the functions of a designated examiner. This briefing may be accomplished in conjunction with a safety standardization meeting, but must be accomplished as a condition of renewal.

B. Examiner Supplies and Materials. Specialists will ensure that each designated examiner has access to the materials necessary for the examiner's tasks. The following materials will be made available before designation of any candidate, and revisions to the materials will be made readily accessible to the designee thereafter:

- Volume 3, Chapter 20;
- Volume 5;
- Appropriate Job Aids;
- FAA Form 8060-4;
- FAA Form 8060-5; and
- FAA Form 8000-36.

13-35 SHARED OVERSIGHT OF EXAMINERS. A check pilot may be designated as more than one type of designated examiner or as a designated examiner for more than one operator. In such a case, more than one inspector may supervise a designated examiner. The following guidance applies:

A. Supervisory Responsibilities. POIs and managers should delegate responsibility for supervising all of a designated examiner's activities to a single inspector when practical. It may be necessary, however, for the supervisory responsibility to be divided in accordance with the activities the designated examiner is authorized to perform. For example, a check pilot might be approved as an APD by authority of a FSDO in Florida; under that authority the examiner might conduct B747 type ratings for an operator whose certificate is held in that state. The same person might also be DPE for General Aviation (GA) by authority in Colorado. In such a case, the examiner would be supervised by an Aircrew Program Manager (APM) in Florida for B747 activities and by an appropriately rated inspector in Colorado for GA activities.

B. Responsibility for Maintaining Designee Files. An inspector must be assigned the responsibility for maintaining a particular designated examiner's file. When more than one FSDO is involved, a file should normally be maintained by each office for which the designated examiner performs air transportation functions.

C. Procedure for Granting Additional Examination Authority. The training and observations required for an examiner's second designation must be completed before the designated inspector can amend the examiner's FAA Form 8710-6, FAA Form 8000-5, FAA Form 8430-9, and LOA.

1) When the authority is requested for an examiner to be designated for a second operator, the examiner candidate must complete qualification as a check pilot for the second operator as a precondition of designation.

2) The inspector tasked with performing any required observations of the designated examiner is responsible for notifying the inspector who maintains the designated examiner's file once the observations have been completed and the check pilot designation has been made for the second operator.

D. Expiration Date. All designations expire on the expiration date on FAA Form 8710-6, FAA Form 8430-9, and the LOA, which is normally the last day of the month in the following year corresponding to the month of designation. Title 14 CFR part 183 calls for a 1-year term to expiration. Special circumstances may call for an earlier expiration date, but not a later one.

13-36 AMENDMENT OF DESIGNATED EXAMINER DESIGNATIONS.

A. Authority. The manager responsible for maintaining a designated examiner's records file may amend an examiner's FAA Forms 8000-5, 8710-6, and 8430-9 and LOA at any appropriate time. An amendment is appropriate when any of the following elements of a designated examiner's certification authority is changed:

- Designation,
- Certificate,
- Aircraft type,
- Operator, or
- Training center.

B. Amendment Procedure. When an FAA Form 8000-5 is amended, the inspector must cancel any previously issued form by marking the words "CANCELED" across the face of the certificate and issue a new one. When FAA Form 8000-5 is amended to include more than one designation, FAA Form 8710-6 must also be amended. The specialist will enter an adequate description of each designation in the "Additional Qualifications Limitations" block. FAA Form 8430-9 will be changed as well to reflect the additional authorizations. When more than one FSDO or CMO is involved, the office supervising each activity must be listed on this certificate. The specialist will show the additional authorities and limitations on the LOA and forward copies to the affected offices.

C. Administrative Steps. The administrative steps for the issuance of an amended Certificate of Designation are the same as those outlined for initial designation. (See paragraph 13-31.)

13-37 RENEWAL OF DESIGNATIONS.**A. PTRS Codes (Part 183):**

- 1551—Pilot Examiner—Large/Turbine (ATPE/DPE).
- 1552—Pilot Examiner—Other (DPE).
- 1553—PPE.
- 1555—Aircraft Dispatcher.
- 1559—TCE.
- 1561—FEE.
- 1562—APD.

B. Need for Renewal. Before renewal, each managing Flight Standards office must determine that there is an ongoing need to renew the designation and that the office has the ability to continue managing the designee.

C. Expiration. An examiner designation expires no later than the last day of the month in the following year corresponding to the month of original issue or most recent renewal. The renewal process will normally be accomplished within 3 calendar-months before the current designation expires.

NOTE: An examiner designation issued on January 15, 2009, would expire on January 31, 2010. The renewal process would normally be conducted in the period from November through January, completing the process no later than the end of January.

D. Renewal Process. The examiner will not conduct any evaluations after the expiration date if he or she has not been renewed and issued a new FAA Form 8430-9. If the renewal process is not completed within 30 days following the expiration date, the examiner may be reinstated using the same process used for initial designation. At expiration, a designation does not continue in force. The inspector should ensure that the need for a designated examiner continues to exist before considering renewal. If conditions necessitating an examiner continue to exist, the examiner's designation is normally renewed in the month corresponding to the month of original issue or most recent renewal. Inspectors should use the following procedures.

1) Required Forms. The inspector assigned to the designated examiner will renew the designation after satisfactory completion of the required annual observation and required annual briefing. The following forms will be updated:

- A new FAA Form 8000-36. Initiate this form to record the renewal action after all actions have been completed.
- FAA Form 8430-9.
- FAA Form 8710-6.
- LOA.

2) Annual FAA Observation of Check.

a) PTRS codes (part 183):

- 1664—Pilot Examiner—Large/Turbine (ATPE/DPE).
- 1665—Pilot Examiner—Other (DPE).
- 1666—PPE.
- 1668—FEE.
- 1669—Aircraft Dispatcher.
- 1672—APD.
- 1673—TCE.

b) Within the 3 calendar-months before expiration, the examiner will be observed conducting a complete check. In the case of pilot examiners (e.g., APD, TCE), this evaluation will include observation of oral, simulator, and aircraft evaluation activities, as applicable. The observation will be conducted by the specialist, or by another appropriately rated inspector appointed by the specialist.

c) For renewal purposes, inspectors may observe designated examiners conducting the following activities, in descending order of preference:

- A certification check,
- A proficiency check, or
- A competency check.

NOTE: The requirements for valid TCE observations are clarified and explained further in Volume 3, Chapter 54, Section 2, which supersedes the requirements for observation noted in this section.

NOTE: If the necessary observations cannot be accomplished within the required timeframe, the inspector should evaluate the continued need for an evaluator, or if the opportunity exists to perform the observation early, then the renewal can take place early, by resetting the designee with a new expiration date.

d) Similarly, participation in a line observation program and demonstration of instructional proficiency need to be accomplished on only one of the operators. When an individual is authorized to evaluate personnel of more than one operator, the observations should be rotated among the operators' programs. On the other hand, an APD for the B747 who is concurrently a DPE for gliders needs at least two annual FAA observations, one in each activity.

e) The designated examiner is responsible for scheduling each required annual FAA observation and each annual briefing far enough in advance to ensure that they may be accomplished before expiration. A designated examiner who is beyond expiration may not conduct any certification activity on behalf of the Administrator until all annual requirements are met and the renewal has been completed.

f) Each designated examiner must attend an annual briefing, conducted by an inspector, that specifically addresses the functions of a designated examiner. This briefing may be accomplished in conjunction with a safety standardization meeting. The briefing should cover the following:

- Designee's roles and responsibilities,
- Paperwork discrepancies,
- Applicable changes to 14 CFR,
- New FAA policy and procedures,
- Conduct of the practical test,
- Review and updating test scenarios,
- Feedback on approved training courses,
- Foreign student applicants, and
- Regional and national issues (trends, best practices, etc.).

13-38 PROCESSING DESIGNATED EXAMINER CERTIFICATION PAPERWORK.

Part 183, § 183.17 requires that designated examiners make reports as prescribed by the Administrator. Designated examiners will forward airman certification paperwork to the designated FSDO for review, processing, and transmittal to the Airmen Certification Branch. When a multiple designation with more than one supervising office is involved, certification paperwork will be sent to the supervising office for each designation. This paperwork will only be submitted to, and processed by, the specified office; it may not be accepted by other offices.

A. Designated Examiner Responsibilities. Designated examiners must complete the airman certification paperwork in accordance with the requirements of Volume 13. The paperwork must be accurate, complete, and timely. Designated examiners must complete the PTRS datasheets for each test conducted. Satisfactory fulfillment of this responsibility is a requirement for renewed designation as an examiner.

B. Specialist Responsibilities. Specialists are responsible for training designated examiners on correct documentation. Specialists should provide the designated examiners with ample PTRS datasheets and should ensure that as much information as possible is overprinted on these forms. Inspectors may overprint forms or job aids in any convenient manner, such as by pen, pencil, or copy machine.

13-39 REVIEW OF DESIGNATED EXAMINER DECISIONS. If an airman is dissatisfied with a designated examiner's decision, the airman may appeal to the specialist for a retest. The airman must submit the appeal in writing and indicate the reasons for protesting the designated examiner's decision. The responsible inspector will review the matter and decide if retesting is appropriate. If the inspector grants a retest, a new application must be completed by the airman, and the entire test must be accomplished again with an FAA inspector.

13-40 TERMINATION. Termination is the action by the FAA to not renew or to rescind a designee's authority at any time for any reason the Administrator considers appropriate.

NOTE: ASIs should keep in mind that a termination of designation may be appealed by the designee. Therefore, documentation relating to designee deficiencies or termination should be included in the designee's file.

A. Types of Termination. There are two types of designee termination:

1) Termination for cause is a negative finding based on a designee's performance. (See Figure 13-4, Sample Letter of Termination (For Cause).)

2) Termination not-for-cause can be for any reason not specific to a designee's performance (e.g., lack of need for the designee by the FAA office or voluntary surrender). (See Figure 13-5, Sample Letter of Termination (Not-for-Cause).)

B. Examples of Deficiencies. The following are examples of deficiencies in a designee's performance of duties:

1) Unsatisfactory performance in any phase of designee duties or responsibilities, including the inability to accept or carry out the managing FAA office's instructions;

2) Any actions by the designee that may reflect poorly on the FAA, such as misuse of the designation or failure to maintain a reputation for integrity and dependability in the industry and the community;

3) The inability of the designee to work constructively with the FAA office personnel or the public;

4) Evidence that the designee's general and/or professional qualifications and requirements were not met at the time of the original designation or at any time thereafter;

5) A designee's inability to demonstrate satisfactory performance during a knowledge and skill evaluation or during an initial or recurrent training seminar; or

6) A designee's failure to maintain, or inability to demonstrate, qualifications for any certificate, rating, or examiner designation held.

C. Documentation. The managing FAA office will document deficiencies in performance in the designee file. Any correspondence relating to the designee's deficiencies, including but not limited to corrective action taken or a record of additional training, should be included as well.

13-41 TERMINATION AND APPEAL PROCEDURES.

A. Decision to Terminate. Designations are terminated under the general conditions contained in 49 U.S.C. § 44702. The appointing FAA office manager makes the decision to terminate a designee. (See the examples of deficiencies cited in subparagraph 13-40B.)

B. Notification. The FAA office manager's decision regarding the termination of a designation will be provided to the designee in writing, and the reasons cited will be as specific

as possible. Upon notification of termination, the designee must immediately cease the exercise of his or her designee privileges.

C. Documentation. If the managing FAA office terminates a designation, the following actions must also take place:

1) The ASI will ensure that the eVID and/or the Designee Information Network (DIN) is updated and should notify any other FAA offices with jurisdictional oversight of other designations held by the individual; and

2) The designee file will be updated to reflect the appropriate designation status (e.g., termination, appeal pending, reinstatement).

D. Appeal of Termination.

1) The following types of terminations cannot be appealed:

- Termination based on lack of need or the inability of the FAA office to manage the designee,
- Termination based on the loss of a prerequisite certification,
- Termination based on the designee's failure to meet training requirements,
- Termination based on the fact that a designee is no longer employed by the air carrier/training center, or
- Termination based on the employing air carrier/training center's decision to no longer use an employee as an APD/TCE.

2) If the designee wishes to appeal his or her termination, the designee must make the request in writing within 14 calendar-days of receipt of the written notification of the FAA office manager's decision by sending a letter to the FAA office manager to request an appeal.

3) The FAA office manager will forward the appeal request to the Regulatory Support Division.

4) The Regulatory Support Division manager or delegate overseeing the appeal will convene an appeal panel composed of three members:

- A Regulatory Support Division representative;
- An Air Transportation Division representative; and
- A Flight Standards office manager not associated with the office that terminated the designee.

5) The appeal panel will review the termination decision and make a final decision within 45 calendar-days of the appeal.

6) The designee will be notified in writing of the appeal panel's decision within 15 calendar-days of the appeal panel's decision.

NOTE: The appeal panel's decision is final.

7) All documentation (e.g., outcome, members of the appeal panel, communication with the designee or the Safety Assurance office) associated with the appeal must be forwarded to the managing FAA office for inclusion in the designee's file.

E. PTRS. The inspector closes the PTRS record. In addition to the standard PTRS code for termination (1565), one of the following key words should be entered in the "Comment" section to describe the reason for termination:

- 786—Voluntary [Not-for-Cause].
- 787—Involuntary-Need [Not-for-Cause].
- 788—Involuntary-Performance [For Cause].
- 789—Involuntary-Other [For Cause].

F. Update Designee File. After completion of this task, the specialist must update the designee file to include:

- A copy of the designee's documentation evidencing the voluntary surrender of the designation;
- Documentation of the termination of the designee's authority, including supporting documentation; or
- Documentation of the outcome of the designee's appeal to the appeal panel, including reinstatement, if applicable.

Figure 13-2. Sample FAA Form 8430-9, Certificate of Authority

DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION CERTIFICATE OF AUTHORITY		DESIGNATION NO. SW-17-1234
DESIGNEE'S SIGNATURE 	NAME Jim Little	DESIGNATION EXPIRES 9-94
	Is authorized to act in the capacity of a PE - Airplane	
	AT FIXED BASE OF OPERATION Little Rock, Arkansas, District	
	for the Administrator	
	09-23-93 (DATE)	 Don Brown (SIGNATURE)
FAA FORM 8430-9 (1-70)		

The bearer has received all pertinent instructions and is authorized to act in the capacity set forth on this Certificate of Authority while under the supervision of the following district office or offices:

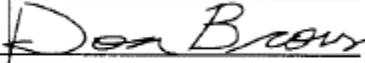
Office	Date	Inspector's signature
LIT FSDO	9-23-93	
BTR FSDO	10-15-93	

Figure 13-3. Sample FAA Form 8000-5, Certificate of Designation



Certificate of Designation

Reposing special trust and confidence in the integrity, diligence, and discretion of

who has been found to have the necessary knowledge, skill, experience, interest, and impartial judgment to merit special public responsibility, I hereby designate as

with authorization to act in accordance with the regulations and procedures prescribed by the Federal Aviation Administration relating to this designation.

Issued at

By Direction of the Administrator

Dated

Certificate No.

Figure 13-4. Sample Letter of Termination (For Cause)

FAA Letterhead

CERTIFIED MAIL

[Date]

Designee Number: [designee's number]

[Designee's name and address]

Dear [Designee's Name]:

This letter is to inform you that your Federal Aviation Administration (FAA) designation as a [type of designee, e.g., DPE or TCE] is terminated pursuant to [14 CFR § 183.15(b)(4)/14 CFR § 183.15(b)(6)/49 U.S.C. § 44702(d)(2)]. [You must immediately cease exercising the privileges of your designation.] OR [Pursuant to our (telephone conference/meeting) on (date), you were to cease exercising the privileges of your designation on (date).]

Your designation is being terminated [for not performing your duties under your designation] OR [because you no longer meet the eligibility requirements for the designation]. [Cite the reference to the regulation(s)/policy that was violated/noncompliant.]

You may submit a request for appeal in writing to this office no later than 14 calendar-days from the date of receipt of this letter. At that time, you should include any evidence or statement concerning this matter with your written request for appeal. You will be notified of the outcome of the appeal within 60 calendar-days after our receipt of your written request for appeal.

Sincerely,

[Safety Assurance Office Manager/National Program Office Manager signature]

Figure 13-5. Sample Letter of Termination (Not-for-Cause)

FAA Letterhead

CERTIFIED MAIL

[Date]

Designee Number: [designee's number]

[Designee's name and address]

Dear [Designee's Name]:

This letter is to inform you that your Federal Aviation Administration (FAA) designation as a [type of designee, for example DPE or TCE] is terminated pursuant to [14 CFR § 183.15(b)(1)/14 CFR § 183.15(b)(5)/49 U.S.C. § 44702(d)(2).] [You must immediately cease exercising the privileges of your designation.] OR [Pursuant to our (telephone conference/meeting) on (date), you were to cease exercising the privileges of your designation on (date).]

Your designation is being terminated because [you voluntarily surrendered your designation authority on (date)] OR [this office is no longer in need of your assistance].

This termination is not for cause and may not be appealed. We appreciate your service to the FAA.

Sincerely,

[Safety Assurance Office Manager/National Program Office Manager signature]

RESERVED. Paragraphs 13-42 through 13-53.

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

- **Section 183.1, Scope.**
- **Section 183.11, Selection.**
- **Section 183.13, Certification.**
- **Section 183.15, Duration of Certificates.**
- **Section 183.17, Reports.**
- **Section 183.23, Pilot Examiners.**
- **Section 183.25, Technical Personnel Examiners.**
- **Administrative.**

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

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

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

B. Limitations.

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

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

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

13-108 SELECTION OF AN APD/DFEE.

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

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

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

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

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

- The knowledge, ability, and skill requirements for the original issuance of the Airline Transport Pilot (ATP) Certificate and added ratings, as applicable (FE certificate and added rating for DFEE candidates);
- The procedures, methods, and techniques associated with administering the required certification tests;
- The responsibilities, authority, and limitations of an examiner under 14 CFR;
- The use of FAA forms and job aids associated with the particular APD/DFEE function; and
- The administrative procedures and supervisory relationships that exist in an ADE program.

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

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

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

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

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

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

- Volumes 5 and 13.
- All appropriate job aids.

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

13-111 PROCESSING INITIAL APD/DFEE DESIGNATIONS.

A. APM Responsibilities. When processing an initial APD/DFEE designation, the APM must ensure that all requirements for designation have been met. The APM must prepare all of the necessary additional paperwork. The APM must complete the back of FAA Form 8710-6 and sign the space labeled “Inspector’s Signature.” The APM must enter the type of designation, “APD/DFEE” or “TCE,” and the aircraft type in the space labeled “Type of Designation” under the “District Certificate Management or Regional” block (e.g., APD/ATP/AMEL B-727). The APM must record the APD/DFEE designation number under the space labeled “Certificate of Authority Issued” in the space titled “No.” The expiration date is the last day of the month that is 1 year from the date of designation. The “DO to Serve Under” space should be left blank by the APM.

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

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

13-112 RENEWAL OF APD DESIGNATIONS. APD/DFEE designations must be renewed every 12 calendar-months as follows:

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

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

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

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

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

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

E. Processing a Renewal. The administrative steps for renewal are the same as those outlined for original designation (see paragraph 13-111).

13-113 AMENDMENT OF APD/DFEE DESIGNATIONS. An APD/DFEE may be issued only one FAA Form 8430-9. An APD/DFEE's examining authority should normally be cancelled when the APD/DFEE enters transition training on a new aircraft type. The POI may designate a former APD/DFEE, provided the following actions have been completed.

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

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

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

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

E. Issuance of New Designation. The administrative steps for the issuance of the new designation are the same as those outlined for initial designation (see paragraph 13-111).

13-114 PROCESSING APD/DFEE CERTIFICATION PAPERWORK. An APD/DFEE must forward the airman certification paperwork to the managing Flight Standards office for review, processing, and transmittal to the Airmen Certification Branch. The paperwork must be accepted and processed only by the managing Flight Standards office. Use of the Integrated Airman Certification and Rating Application (IACRA) program for processing applications is highly encouraged.

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

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

13-115 REVIEW OF APD/DFEE'S DECISION. If an airman is dissatisfied with an APD/DFEE's decision, the airman may appeal to an APM for a reevaluation. The airman must submit the appeal in writing and indicate the reasons for protesting the APD/DFEE's decision. The APM must review the matter and decide if reevaluation is warranted. If a reevaluation is granted, a new application must be completed, and the entire evaluation must be reaccomplished by an FAA inspector.

13-116 TERMINATION OF APD/DFEE DESIGNATIONS. An APD/DFEE designation may be terminated or canceled for cause by the POI at any time. See Volume 13, Chapter 1, Section 2 for applicable procedures.

RESERVED. Paragraphs 13-117 through 13-135.

VOLUME 17 SAFETY MANAGEMENT SYSTEM**CHAPTER 1 GENERAL****Section 2 Miscellaneous Safety Management System Information****17-1-2-1 SAFETY MANAGEMENT SYSTEMS (SMS) AND SYSTEM SAFETY.**

Systems can be described in terms of integrated networks of people and other resources performing activities that accomplish some mission or goal in a prescribed environment. Management of the system's activities involves planning, organizing, directing, and controlling these assets toward the organization's goals. Several important characteristics of systems and their underlying process are known as process attributes or safety attributes when they are applied to safety-related operational and support processes. These process attributes must have safety concepts built into their design if they are to result in improved safety outcomes. The Federal Aviation Administration's (FAA) and the Aviation Safety (AVS) safety management, oversight philosophy, and policies are being used to develop the practice of system safety so that it more completely incorporates SMS and Risk-Based Decision Making (RBDM) in oversight. These principles include the safety attributes. These safety attributes form the basis for all oversight activity and surveillance. As a result, they are integrated into all the Safety Assurance System (SAS) Data Collection Tools (DCT) and questions. These safety attributes apply to all certificate holders, whether they have a formal SMS or not. The concepts behind each attribute should be leveraged into the organization's processes and procedures. The safety attributes include:

A. Responsibility. Per Volume 10, Chapter 1, Section 4, the responsibility attribute is "A clearly identified individual who is accountable for ensuring financial and human resources to ensure the safety and quality performance of the certificate holder." This attribute requires traceability to "where the buck stops" in an organization. In every organization, there must be an individual that is responsible for oversight of the operations and ensuring appropriate resources are available to meet the operational requirements. In an organization with an SMS, this individual is the accountable executive. It is important to note that responsibility cannot be delegated in an organization.

B. Authority. Per Volume 10, Chapter 1, Section 4, the authority attribute is "A clearly identifiable, qualified, and knowledgeable person who effectively plans, directs, and controls resources; changes procedures; and makes key determinations including safety risk acceptance decisions." It is important to note that this attribute is not necessarily pointing at regulatory positions required under Title 14 of the Code of Federal Regulations (14 CFR) part 119 or 145. This attribute is focused on the process owners in the organization. They may or may not appear on an organizational chart. The process owners are assigned the authority to oversee, effectively manage and control resources, identify hazards, perform risk assessments, and make changes to processes and procedures within their process areas.

C. Procedures. Per Volume 10, Chapter 1, Section 4, the procedures attribute is "Methods or practices that are written or unwritten, regulatory or nonregulatory, designed into a process that a certificate holder/applicant uses to accomplish a desired result." Unwritten methods refer to certificate holders/applicants that are not required by regulation to have

documented procedures. The lack of written documentation does not indicate a lack of procedures. This attribute looks at the structure of the process to ensure the desired result is achieved. There are no 14 CFR part 5 or Safety Management System Voluntary Program (SMSVP) Standard references for this attribute as it applies to all processes and procedures in an organization, regulatory or not. However, part 5 and the SMSVP Standard do require that Safety Risk Management (SRM) be performed any time one of the triggers in part 5, § 5.51 is met. They also require a certificate holder to document their SMS safety objectives as well as processes and procedures (§ 5.91). It is also important to note that a procedure explains how to accomplish a task and policy defines what should be accomplished.

D. Controls. Per Volume 10, Chapter 1, Section 4, the controls attribute is “The checks and restraints that exist within a process that ensure the potential effects of risks are reduced to an acceptable level.” Controls will not necessarily remove risk from an identified hazard, but they will reduce the risk to an acceptable level. Controls can be procedural or physical defenses against the risks. Controls are a result of RBDM. They can be proactive, built into a procedure during SRM, or reactive, after identifying a new hazard or condition through the Safety Assurance (SA) processes.

E. Process Measurement. Per Volume 10, Chapter 1, Section 4, the process measurement attribute is “A method to monitor and measure the outputs and performance of a process, and to identify problems, or potential problems, in order to take corrective action.” For certificate holders that have a formal SMS, this attribute focuses on the SA functions of data collection and assessment to ensure safety controls and procedures are working as intended. It also monitors the organization’s safety objectives to ensure progress is being made to achieve them.

F. Interfaces. Per Volume 10, Chapter 1, Section 4, the interfaces attribute is “Interactions between processes that must be managed in order to ensure desired outcomes.” This is one of the most important attributes, as the certificate holder must ensure that process owners or departments within the organization communicate when processes or procedures are introduced or revised. The communication is critical to ensure no hazards are introduced to other areas or processes within the organization. Early communication can prevent introduction of hazards into the system.

G. Safety Ownership. Per Volume 10, Chapter 1, Section 4, the safety ownership attribute is “An individual’s understanding of how his or her role contributes to the overall safety of the organization.” This seventh attribute has been added as the FAA moves into a new era in oversight that includes the effects of culture on a system. The FAA is emphasizing RBDM and critical thinking to increase awareness that the culture of an organization plays a role in its management of safety. Both the safety culture and the climate of the workforce make up the overall safety of the organization. This attribute refers to how well the organization promotes the ownership of overall safety of the process to each employee who has some level of responsibility within that process. The goal is to measure the degree to which individuals at all levels in the organization demonstrate understanding or awareness of how their individual actions affect the overall management of safety within the organization as a whole.

17-1-2-3 APPROVING/ACCEPTING MANUALS. Part 5 and the SMSVP Standard both require the certificate holder to document their safety policy and SMS processes and procedures. It is not specified where this documentation must be located. Therefore, inclusion of SMS employee guidance in an aviation certificate holder's manual system has no impact on Certificate Management Team (CMT) approval or acceptance of required manuals under existing inspector guidance.

A. Use of a Disclaimer. A disclaimer provides the appropriate Flight Standards office a means of identifying inclusion of a certificate holder's safety management policy, processes, and procedures within its manual system, without impact to the Flight Standards office's approval/acceptance process. The disclaimer further clarifies that the office's approval/acceptance of a manual does not constitute FAA recognition of the certificate holder's SMS processes under the SMSVP Standard or part 5.

B. Example Disclaimer. The following disclaimer may be used:
“[Approval/Acceptance] of this [manual/document/procedure] does not constitute approval or acceptance of guidance pertaining to the certificate holder's SMS.”

17-1-2-5 LOADING SMS CUSTOM DATA COLLECTION TOOLS (C DCT) TO AN EXISTING CERTIFICATE IN SAS. The certificate holder's SMS must be validated by the CMT to determine conformance with the SMSVP Standard. Each CMT establishes its own validation strategy based on the size and complexity of the certificate holder's organization. SMS validation is recorded in SAS automation when the CMT completes the required design assessments using design validation C DCTs and design demonstration assessments using design demonstration validation C DCTs. The prebuilt C DCTs to be used for SMS validation are available to principal inspectors (PI) in their respective drop-down menus. The C DCTs mirror the job aids in Volume 17, Chapter 3, Section 3.

A. Validation Project Plan (VPP). The CMT will develop a VPP to define the number of assessments to be accomplished to validate the certificate holder's SMS implementation. Once the VPP document is complete, the PIs must add the appropriate number of SMS C DCTs to the Configuration Module 1 in the SAS automation by adding a certificate holder-initiated change request. To meet this requirement, the PI can select the National/Regional SMS C DCTs. The intent is to have a 1:1 ratio of C DCTs to VPP required assessments. This strategy will allow progress monitoring throughout the CMT validation period.

B. Scheduling and Completion of C DCTs. The C DCTs may be scheduled during any quarter to balance the workload. The CMT may wish to schedule all the C DCTs during the last quarter of scheduled implementation activity. When a C DCT is ready to be completed, the CMT should complete the assessments on a hard copy document. After this is accomplished, the CMT would then move the appropriate C DCT into the current quarter, record the “yes” answers on the C DCT, and save the C DCT to the SAS database. If validation activity is managed correctly, the VPP and number of SAS C DCTs should match (1:1 ratio) at the end of the validation activities.

C. Use of Job Aids. During validation activities, the requirement is to get “yes” answers for all questions on each C DCT. Since each C DCT question represents an SMSVP

Standard/part 5 requirement, a “yes” answer is the only acceptable response that will allow completion of each validation activity. Therefore, it is recommended that the job aids in Volume 17, Chapter 3, Section 3 be utilized for validation activities. The advantages of utilizing these job aids are twofold. First, documentation can take place on the job aids and then be transferred to the corresponding C DCT when all “yes” answers are attained. Second, and equally important, the Design Demonstration Job Aids provide additional guidance written for the PI on things to consider when completing the design validation activity.

D. Incomplete Assessments. C DCTs which have been closed out before each question has been validated constitute an incomplete validation assessment. The only way to resolve incomplete assessments is to query the SAS database to identify questions which have not been answered with a “yes” response. Query tools are available in SAS to accomplish this task. Once this has been accomplished, the PI must create a C DCT with the unanswered questions to finish the incomplete validation assessment(s) and update the CMT VPP to reflect the additional assessment (1:1 ratio). Table 17-1-2A lists the C DCTs available for SMS validation activities in SAS. These correspond to the job aids in Volume 17, Chapter 3, Section 3. The table also lists the entry required to be used in the “National Use” field when recording C DCT completion in the Program Tracking and Reporting Subsystem (PTRS).

Table 17-1-2A. SMS C DCT Design Validation Tools

C DCT Name	N/R/L Entry	C DCT Type
SMS–Safety Policy Design Validation (AW)	SMSDESVAL	Design Validation
SMS–Safety Policy Design Validation (OP)	SMSDESVAL	Design Validation
SMS–Safety Risk Management Design Validation (AW)	SMSDESVAL	Design Validation
SMS–Safety Risk Management Design Validation (OP)	SMSDESVAL	Design Validation
SMS–Safety Assurance Design Validation (AW)	SMSDESVAL	Design Validation
SMS–Safety Assurance Design Validation (OP)	SMSDESVAL	Design Validation
SMS–Safety Promotion Design Validation (AW)	SMSDESVAL	Design Validation
SMS–Safety Promotion Design Validation (OP)	SMSDESVAL	Design Validation
SMS–Safety Policy Design Demonstration (AW)	SMSDEMVAL	Design Demonstration
SMS–Safety Policy Design Demonstration (OP)	SMSDEMVAL	Design Demonstration
SMS–Emergency Preparedness/Response Design Demonstration (AW)	SMSDEMVAL	Design Demonstration

C DCT Name	N/R/L Entry	C DCT Type
SMS–Emergency Preparedness/Response Design Demonstration (OP)	SMSDEMVAL	Design Demonstration
SMS–SRM (Process/Department Owner) Design Demonstration (AW)	SMSDEMVAL	Design Demonstration
SMS–SRM (Process/Department Owner) Design Demonstration (OP)	SMSDEMVAL	Design Demonstration
SMS–Safety Communications Design Demonstration (AW)	SMSDEMVAL	Design Demonstration
SMS–Safety Communications Design Demonstration (OP)	SMSDEMVAL	Design Demonstration
SMS–Records Retention Process Design Demonstration (AW)	SMSDEMVAL	Design Demonstration
SMS–Records Retention Process Design Demonstration (OP)	SMSDEMVAL	Design Demonstration
SMS–SRM (Organizational) Design Demonstration (AW)	SMSDEMVAL	Design Demonstration
SMS–SRM (Organizational) Design Demonstration (OP)	SMSDEMVAL	Design Demonstration
SMS–Accountable Executive Review Design Demonstration (AW)	SMSDEMVAL	Design Demonstration
SMS–Accountable Executive Review Design Demonstration (OP)	SMSDEMVAL	Design Demonstration
SMS–Continuous Improvement Process Design Demonstration (AW)	SMSDEMVAL	Design Demonstration
SMS–Continuous Improvement Process Design Demonstration (OP)	SMSDEMVAL	Design Demonstration
SMS–Investigation Process Design Demonstration (AW)	SMSDEMVAL	Design Demonstration
SMS–Investigation Process Design Demonstration (OP)	SMSDEMVAL	Design Demonstration
SMS–Audit Process Design Demonstration (AW)	SMSDEMVAL	Design Demonstration
SMS–Audit Process Design Demonstration (OP)	SMSDEMVAL	Design Demonstration
SMS–Evaluation Process Design Demonstration (AW)	SMSDEMVAL	Design Demonstration
SMS–Evaluation Process Design Demonstration (OP)	SMSDEMVAL	Design Demonstration

17-1-2-7 VOLUNTARY SELF-DISCLOSURE AND MONITORING PROGRAMS.

A. Aviation Safety Action Program (ASAP). An ASAP is an employee reporting system that certificate holders may use to gather information from employees on safety compliance and performance issues. ASAPs are intended for air carriers that operate under 14 CFR parts 121 and 135, and major domestic repair stations certificated under part 145. The goal of an ASAP is to enhance aviation safety by encouraging voluntary reporting of safety issues and events that come to the attention of employees. The program encourages an employee to voluntarily report safety issues even though they may involve a potential violation(s) of 14 CFR. This program may be used as part of a confidential employee reporting program to meet the requirements of § 5.71(a)(7).

NOTE: While ASAP originally was limited to pilots and flight engineers, the program can be expanded to include flight attendants, dispatchers, and mechanics.

B. Continuing Analysis and Surveillance System (CASS). A CASS is a currently required system for part 121 and part 135 (10 or more) certificate holders that is used to ensure the performance and effectiveness of maintenance and inspection programs, to identify deficiencies, and to determine and implement appropriate action under part 121, § 121.373 and part 135, § 135.431. A typical CASS includes internal auditing of the maintenance and inspection programs, analysis of the resulting data, and development of corrective actions to those programs. This system would be an appropriate process required under part 5 subpart D and would be accepted as one means of complying with the provisions of § 5.71(a)(1), (2), (3), (5), and (7).

C. Voluntary Disclosure Reporting Program (VDRP). The VDRP is an FAA program designed for certificate holders to promptly report regulatory violations and show that corrective actions were taken to address the violations. As used in SA, the certificate holder could track the reports submitted through the VDRP, analyze the reports to identify compliance trends, and develop and report corrective actions. This program may be used to meet a portion of the requirements of § 5.71(a)(6).

D. Flight Operations Quality Assurance (FOQA). FOQA, also known as flight data monitoring or Flight Data Analysis (FDA), is a method of capturing, analyzing, and/or visualizing the data generated by an aircraft moving through the air from one point to another. FOQA is a formal voluntary program which may be implemented by aircraft operators. If implemented, it could require installation of extensive flight data recording systems which facilitate rapid transfer of recorded data, de-identification of that data, and agreements between pilot organizations and the certificate holders, which defines how this information may be used. Data received from a FOQA program would be used as part of the information inputs under § 5.71(a)(3) and (5).

NOTE: The United States does not require FOQA as a part of an SMS at this time, but many foreign countries have mandated it as part of the International Civil Aviation Organization (ICAO) SMS requirements.

E. Line Operations Safety Audits (LOSA). A LOSA is an observational program for collecting safety-related data during normal operations. Monitoring routine operations identifies at-risk behaviors so that they can be proactively managed. It is a means for a company to self-assess its safety margins by utilizing trained observers during normal operations. A LOSA is one way to meet the requirements of § 5.71(a)(1) and (2). Managing risks has become increasingly important in modern organizations. The aviation industry is maturing in its preference for proactive intervention over post-accident remediation. Systems such as the National Aeronautics and Space Administration's (NASA) Aviation Safety Reporting System (ASRS) and the maintenance ASAP encourage air carrier and repair station employees to voluntarily report unsafe conditions. However, those systems are used reactively following adverse events. LOSAs address aviation safety proactively.

F. Advanced Qualification Program (AQP). An AQP is a voluntary alternative to the traditional regulatory requirements under parts 121 and 135 for pilot training and checking. Under an AQP, the FAA is authorized to approve significant departures from traditional requirements, subject to justification of an equivalent or higher level of safety. The program entails a systematic front-end analysis of training requirements from which explicit proficiency objectives for all facets of pilot training are derived. It seeks to integrate the training and evaluation of cognitive skills at each stage of a curriculum. For pass/fail purposes, pilots must demonstrate proficiency in scenarios that test both technical and Crew Resource Management (CRM) skills together. Air carriers participating in the AQP must design and implement data collection strategies, which are diagnostic of cognitive and technical skills. In addition, they must implement procedures for refining curricula content based on quality control data. Data generated from an AQP can be utilized in an SMS program to improve safety as a part of the SA monitoring processes.

17-1-2-9 FLOW-DOWN OF REQUIREMENTS.

A. Part 5/SMSVP Requirements. The SMS requirements of part 5 and the SMSVP Standard are intended to be applied to individual certificate holders. This rule/standard does not require the certificate holder to require SMSs on the part of contractors, code-share partners, or other business affiliates. This rule/standard permits the use of contractors as a data source, but will not mandate this requirement. Associated policy and advisory documents will not specify or imply these requirements as conditions of acceptance. A certificate holder may include an SMS in its negotiated business arrangements, consistent with the common practice in industry where air carriers require registration under such programs as SAE AS9100, International Air Transport Association (IATA) Operational Safety Audit (IOSA), and Coordinating Agency for Supplier Evaluation (C.A.S.E.) audits. Contractual requirements for arrangements do not relieve the certificate holder from its responsibilities under this rule/standard. The SMSVP Standard and part 5 require SMS SRM processes be applied anytime one of four triggers is met. The four triggers are defined as:

- Implementation of new systems,
- Revision of existing systems,
- Development of operational procedures, and
- Identification of hazards or ineffective risk controls through the SA processes.

B. Common Misconceptions About Operator and Vendor Interactions.

1) One of the questions routinely received is how should certificate holders address updated vendor guidance that is brought into their organization. One question asks, “Do individuals or groups that accept supplier guidance materials into their process area(s) understand that updates or changes to these materials requires SRM be conducted before it is used in the system?” This question is used to determine if the certificate holder is performing SRM on vendor guidance prior to incorporating it into their processes and procedures.

2) If a certificate holder uses a manufacturer’s maintenance program and the manufacturer makes changes, their process has not changed. They are still using the manufacturer’s maintenance program, so the system has not changed. Therefore, they have not met one of the four triggers and do not have to do SRM.

3) Under an SMS, while the certificate holder is using the manufacturer’s maintenance program, the task cards, manuals, etc., these are considered part of the certificate holder’s maintenance “system.” If they are revised, a competent individual must review the changes to determine if any new hazards have been introduced into the system. The certificate holder can use a high-level review of the revision pages to make this determination. In other words, the certificate holder would not be expected to read every task card word for word.

4) There is an operational control issue in our above question that we expect certificate holders to manage. The certificate holder has an obligation to protect all operational processes and procedures that affect aircraft operations. Any contractor providing a service, whether physical or digital, to the certificate holder should be treated the same. The product provided, whether manuals, spare parts, or training has to be accepted into the system by someone who is authorized to accept risk on behalf of the certificate holder. As a result, a certificate holder must accept the risk for the product a vendor is providing and must document a “no hazard – risk acceptance decision.”

5) Since many vendors, especially those providing flight information, happen to be very reliable, the method of risk acceptance can be as easy as the certificate holder wishes to make it. This is a requirement for both part 5 and the SMSVP Standard. This demonstrates operational control over the supplier materials. Once a certificate holder agrees to use vendor-supplied materials, it becomes the certificate holder’s responsibility to ensure no new risks are introduced.

6) The issue of electronic downloads might create a new problem for the certificate holder. For example, if the downloads are purchased and come directly from the vendor to the flightcrew Electronic Flight Bags (EFB), an employee of the certificate holder no longer needs to coordinate distribution. The issue to be evaluated is, “did a change of distribution methods change the certificate holder’s responsibilities for the product?” Just because the handling and distribution got easier, did the responsibility for operational control disappear with convenience? Before the download occurs, the certificate holder has to accept it into their system. Many certificate holders have “special airports” training and if a procedural change occurs at that airport, vendors are not expected to send an alert to the operator that their training department must revise training. Blindly accepting supplier products into the certificate holder’s safety

system is not acceptable: someone has to sign for them, even if they consciously decide to not consider the change or impact it might have on the operation. This is an issue of decision making and accountability: when employees have to sign for something, they are normally more cautious. The same vendor argument could be made about an aircraft manufacturer's maintenance work cards. Work cards tend to be developed to meet the manufacturer's lawyer's needs, and not the needs of the average Airframe and Powerplant (A&P) or repairman. This is an example where the certificate holder has to rewrite the work cards so they are useful to their workforce. The certificate holder should not trust anyone or anything entering their system without its passing through a risk acceptance process first. The certificate holder needs to understand their responsibility to fulfill their obligation to control their system. Acceptance of a new manual or revision of an existing manual meets the requirements of a trigger from § 5.51 and, therefore, requires that an SRM be conducted on the revision.

17-1-2-11 through 17-1-2-29 RESERVED.

VOLUME 17 SAFETY MANAGEMENT SYSTEM**CHAPTER 3 SAFETY MANAGEMENT SYSTEM VOLUNTARY PROGRAM****Section 1 General**

17-3-1-1 PURPOSE. This chapter provides guidance for Federal Aviation Administration (FAA) Flight Standards Service personnel to evaluate Safety Management Systems (SMS) of certificate holders participating in the Safety Management System Voluntary Program (SMSVP); and assists certificate holders with previous FAA SMS implementations and third-party SMSs in transitioning to the SMSVP.

NOTE: U.S. and international SMS initiatives and implementation efforts underscore the importance of standardizing SMS applications, where possible.¹

17-3-1-3 AUDIENCE. This chapter serves as guidance to assist Flight Standards Safety Assurance and Office of Safety Standards personnel in SMS evaluation. This chapter is expected to be used by certificate-holding offices (certificate management offices (CMO) or Flight Standards District Offices (FSDO)) whose certificate holders have requested FAA recognition of their SMSs. A secondary audience is certificate holders who want to implement an SMS accepted by the FAA.

NOTE: All Safety Management System Pilot Project (SMSPP) participants were automatically entered into the SMSVP and may remain in the SMSVP until required by regulation to develop an SMS. For the purpose of this chapter, “CMT” refers to a Certificate Management Team, a CMO/certificate management unit (CMU), or a FSDO/Flight Standards office with certificate oversight responsibilities. Additional definitions are located in Volume 17, Chapter 1, Section 1.

17-3-1-5 PURPOSE OF THE SMSVP. The SMSVP is how the FAA conforms to the International Civil Aviation Organization’s (ICAO) definition of an SMS “acceptable to the State.”² An SMS required by regulation or developed within this voluntary program meets or exceeds ICAO SMS requirements and will be accepted by other ICAO Member States.

NOTE: Certificate holders in the SMSVP must meet all program requirements to achieve and maintain FAA acceptance.

¹ The SMSVP Standard is how participants’ SMS development is measured. While similar to Title 14 of the Code of Federal Regulations (14 CFR) part 5, Safety Management Systems for Part 121 Certificate Holders, the SMSVP Standard, which is not part 5, is how the SMSVP conformance is determined. SMS is an international initiative, so wherever developed, a properly constituted SMS includes safety policy, Safety Risk Management (SRM), Safety Assurance (SA), and safety promotion.

² ICAO Annex 19, Safety Management, chapter 4.

NOTE: Questions concerning this chapter should be directed to the Flight Standards Safety Management System Program Office (SMSPO) at 9-NATL-SMS-ProgramOffice@faa.gov.

17-3-1-7 SMSVP PROCESS OVERVIEW. SMSVP implementation and validation is a major configuration change to a certificate holder's operational profile. The procedure used and described in this section is based on the Major Change Process contained in Volume 10, Chapter 11. The following process phases are defined in Volume 17, Chapter 3, Section 2:

- Preparation Phase;
- CMT Implementation Plan Review Phase;
- Documentation Validation Phase;
- Design Demonstration Phase;
- Administrative Process Phase; and
- Continued Operational Safety (COS).

17-3-1-9 SMSPO RESPONSIBILITY AND AUTHORITY. The SMSPO is part of the Safety Analysis and Promotion Division and is the Office of Primary Responsibility (OPR) and focal point for Flight Standards SMS initiatives. As such, the SMSPO "owns" the SMSVP and is responsible for development of guidance and job aids pertaining to the SMSVP.

17-3-1-11 SMSVP GENERAL INFORMATION. A certificate holder may develop and implement an SMS in any manner it deems appropriate. However, when a certificate holder requests FAA recognition of its SMS, the certificate holder must submit an implementation plan to its CMT for validation against the SMSVP Standard. Guidance on implementation plan review and approval is located in Volume 17, Chapter 3, Section 2, paragraph 17-3-2-3.

A. Requesting Entry into the SMSVP. When requesting entry into the SMSVP, certificate holders should send a letter or email to the SMSPO at the address listed in subparagraph 17-3-1-13C. The letter must contain:

- A statement that your company's top management is committed to establishing and maintaining an SMS program within the organization.
- A commitment to dedicate the necessary financial and personnel resources to implement and maintain the SMS.
- A request for entry into the FAA SMSVP.
- Signature(s) of a member or members of top management.

NOTE: After this request has been received by the SMSPO, coordination will take place with the organization's CMT to schedule dates for an initial briefing.

B. Monitoring Certificate Holders' SMSVP Standard Conformance. This chapter addresses SMS implementation within the SMSVP. Once the FAA recognizes a certificate holder's SMS, its appropriate Flight Standards office will monitor ongoing conformity with the SMSVP Standard. Failure to maintain SMSVP standards may result in the SMSPO withdrawing the certificate holder's "Active Conformance" status. Monitoring ongoing conformity is accomplished using the Safety Assurance System (SAS) Data Collection Tools (DCT) for COS,

as discussed in Volume 10. If a nonconformity has been identified, the CMT will use Element Performance Data Collection Tools (EP DCT) or the SMS Custom Data Collection Tools (C DCT) in SAS to evaluate if the nonconformity is the result of a performance or design issue with the SMS. Safety attributes assigned to these questions will aid in the root cause evaluation of the process failure. Once the failure has been determined, the certificate holder should be given sufficient time to rewrite their processes, train, evaluate, and implement them into their system. This could take 6 months to accomplish a “comprehensive review and fix.” Once the certificate holder has developed their procedures and implemented them, the CMT will reevaluate the area to ensure conformance with the SMSVP Standard. Principal inspectors (PI) will record all nonconformities in SAS or the Program Tracking and Reporting Subsystem (PTRS) (as appropriate) to maintain a record of the certificate holder’s corrective actions to ensure the certificate holder has returned to SMSVP Standard conformance. This documentation will also be used to ensure conformance in future surveillance.

C. SMS Implementation Progress. After a letter requesting admission into the SMSVP is received, an initial workshop will be scheduled when the SMSPO resources, the certificate holder, and CMT are all available. After the initial workshop has been completed, it is expected that the certificate holder will submit and have approved within 12 consecutive calendar-months, an implementation plan that describes their activities and timeline for full SMS acceptance. SMS implementation plans are discussed in Volume 17, Chapter 3, Section 2, paragraph 17-3-2-1. A fully implemented and validated SMS is expected within 36 months of the initial workshop. Failure to meet these timelines could result in removal from the SMSVP. The SMSPO maintains a database which tracks the expected progress dates for certificate holders. The following categories denote the progress expected:

1) SMSVP Active Applicant. The certificate holder and CMT have committed to sufficiently support the SMS implementation and validation processes.

2) SMSVP Active Participant. The SMSVP initial workshop has been completed and the certificate holder officially begins and maintains its implementation efforts.

3) SMSVP Active Conformance. The CMT and SMSPO acknowledge full implementation of the certificate holder’s SMS. The certificate holder is expected to use and continually improve its safety management processes.

NOTE: When a certificate holder fails to meet SMSVP standards, it may be downgraded to an SMSVP “Non-Active Participant.”

NOTE: The SMSPO has sole authority to authorize or withdraw recognition of a certificate holder’s SMS. The SMSPO’s primary objective is to assist CMTs in validating SMS development and help certificate holders maintain their Active Conformance status. The SMSPO will maintain an SMSVP Status Roster of all participants.

D. Recognition of Full Implementation. After SMS full implementation is recognized, the certificate holder is expected to use and continually improve its safety management processes. The CMT is expected to perform its certificate oversight duties where SMS is one of

a number of performance measures determining COS. The SMSPO periodically verifies the certificate holder's conformance to the SMSVP Standard by review of CMT oversight data.

E. SMSVP Withdrawal. SMSVP participants are free to withdraw from the SMSVP at any time. If the certificate holder withdraws after SMSVP recognition, it must notify its CMT and the SMSPO and their status will be changed to "Voluntary Withdrawal" and the effective date recorded in the Status Roster.

17-3-1-13 SMS DUTIES AND RESPONSIBILITIES.

A. CMT. The CMT is responsible for validating the certificate holder's management system applications during both the implementation process and after full implementation. Office management is responsible for allocating the resources to accomplish this requirement.

NOTE: It is strongly recommended that a CMT committed to supporting its certificate holder's SMSVP participation identify a point of contact (POC) to oversee CMT validation activities and communicate with the SMSPO.

B. Certificate Holder. The FAA authorizes a certificate holder to provide an aviation service or product. In SMS development, a certificate holder designates an accountable executive who has final authority over operations authorized under its certificate and is ultimately responsible for the company's safety performance. He or she signs and submits the SMS implementation plan on behalf of his or her company. The accountable executive's signature is a commitment to provide adequate resources for SMS development, implement SMS in all relevant areas of the organization, and ensure ongoing conformance to the SMSVP Standard.

C. SMSPO. In addition to the duties detailed in paragraph 17-3-1-9, the SMSPO may be contacted for guidance and policy interpretation through the CMT. SMSPO support is readily available upon request for all preapplication, validation, and COS activities.

NOTE: To request SMSPO support services, please contact the SMSPO at:

Email: 9-NATL-SMS-ProgramOffice@faa.gov
 Letter: Attn: SMS Program Office
 Safety Analysis and Promotion Division
 13873 Park Center Road, Suite 475
 Herndon, VA 20171

D. Safety Standards POC, Office of Air Carrier Safety Assurance and Office of General Aviation Safety Assurance, Within the Office of Foundational Business. The Safety Standards POC within the Office of Foundational Business's staff, with the assistance of the SMSPO, stays abreast of the latest SMS developments and information. They are appointed subject matter experts (SME) and resources for the CMTs.

E. Senior Technical Specialist (STS). The STS for safety management is the FAA's senior SMS SME and the official Aviation Safety (AVS) SMS advisor. The STS resides in the Safety Analysis and Promotion Division. The STS consults on all internal and external SMS development, technical issues, rulemaking, and policy formation. In addition to the SMSPO,

the STS works closely with industry, government agencies, advocacy groups, and international organizations to advance SMS and its application within the National Airspace System (NAS).

17-3-1-15 SMS REFERENCES. This paragraph references additional resources available to CMTs during review and validation of a certificate holder's SMSVP submissions.

A. Related Publication. Advisory Circular (AC) 120-92, Safety Management Systems for Aviation Service Providers.

B. Job Aids. SMS Implementation and Validation job aids are located in Volume 17, Chapter 3, Section 3, Figures 17-3-3B–R. COS job aids are located in Figures 17-3-3S–V.

17-3-1-17 through 17-3-1-29 RESERVED.

VOLUME 17 SAFETY MANAGEMENT SYSTEM**CHAPTER 3 SAFETY MANAGEMENT SYSTEM VOLUNTARY PROGRAM****Section 1 General**

17-3-1-1 PURPOSE. This chapter provides guidance for Federal Aviation Administration (FAA) Flight Standards Service personnel to evaluate Safety Management Systems (SMS) of certificate holders participating in the Safety Management System Voluntary Program (SMSVP); and assists certificate holders with previous FAA SMS implementations and third-party SMSs in transitioning to the SMSVP.

NOTE: U.S. and international SMS initiatives and implementation efforts underscore the importance of standardizing SMS applications, where possible.³

17-3-1-3 AUDIENCE. This chapter serves as guidance to assist Flight Standards Safety Assurance and Office of Safety Standards personnel in SMS evaluation. This chapter is expected to be used by the responsible Flight Standards offices whose certificate holders have requested FAA recognition of their SMSs. A secondary audience is certificate holders who want to implement an SMS accepted by the FAA.

NOTE: All Safety Management System Pilot Project (SMSPP) participants were automatically entered into the SMSVP and may remain in the SMSVP until required by regulation to develop an SMS. For the purpose of this chapter, “Certificate Management Team (CMT)” refers to the responsible Flight Standards office with certificate oversight responsibilities. Additional definitions are located in Volume 17, Chapter 1, Section 1.

17-3-1-5 PURPOSE OF THE SMSVP. The SMSVP is how the FAA conforms to the International Civil Aviation Organization’s (ICAO) definition of an SMS “acceptable to the State.”⁴ An SMS required by regulation or developed within this voluntary program meets or exceeds ICAO SMS requirements and will be accepted by other ICAO Member States.

NOTE: Certificate holders in the SMSVP must meet all program requirements to achieve and maintain FAA acceptance.

³ The SMSVP Standard is how participants’ SMS development is measured. While similar to Title 14 of the Code of Federal Regulations (14 CFR) part 5, Safety Management Systems for Part 121 Certificate Holders, the SMSVP Standard, which is not part 5, is how the SMSVP conformance is determined. SMS is an international initiative, so wherever developed, a properly constituted SMS includes safety policy, Safety Risk Management (SRM), Safety Assurance (SA), and safety promotion.

⁴ ICAO Annex 19, Safety Management, chapter 4.

NOTE: Questions concerning this chapter should be directed to the Flight Standards Safety Management System Program Office (SMSPO) at 9-NATL-SMS-ProgramOffice@faa.gov.

17-3-1-7 SMSVP PROCESS OVERVIEW. SMSVP implementation and validation is a major configuration change to a certificate holder's operational profile. The procedure used and described in this section is based on the Major Change Process contained in Volume 10, Chapter 11. The following process phases are defined in Volume 17, Chapter 3, Section 2:

- Preparation Phase;
- CMT Implementation Plan Review Phase;
- Documentation Validation Phase;
- Design Demonstration Phase;
- Administrative Process Phase; and
- Continued Operational Safety (COS).

17-3-1-9 SMSPO RESPONSIBILITY AND AUTHORITY. The SMSPO is part of the Safety Analysis and Promotion Division and is the Office of Primary Responsibility (OPR) and focal point for Flight Standards SMS initiatives. As such, the SMSPO "owns" the SMSVP and is responsible for development of guidance and job aids pertaining to the SMSVP.

17-3-1-11 SMSVP GENERAL INFORMATION. A certificate holder may develop and implement an SMS in any manner it deems appropriate. However, when a certificate holder requests FAA recognition of its SMS, the certificate holder must submit an implementation plan to its CMT for validation against the SMSVP Standard. Guidance on implementation plan review and approval is located in Volume 17, Chapter 3, Section 2, paragraph 17-3-2-3.

A. Requesting Entry into the SMSVP. When requesting entry into the SMSVP, certificate holders should send a letter or email to the SMSPO at the address listed in subparagraph 17-3-1-13C. The letter must contain:

- A statement that your company's top management is committed to establishing and maintaining an SMS program within the organization.
- A commitment to dedicate the necessary financial and personnel resources to implement and maintain the SMS.
- A request for entry into the FAA SMSVP.
- Signature(s) of a member or members of top management.

NOTE: After this request has been received by the SMSPO, coordination will take place with the organization's CMT to schedule dates for an initial briefing.

B. Monitoring Certificate Holders' SMSVP Standard Conformance. This chapter addresses SMS implementation within the SMSVP. Once the FAA recognizes a certificate holder's SMS, the responsible Flight Standards office will monitor ongoing conformity with the SMSVP Standard. Failure to maintain SMSVP standards may result in the SMSPO withdrawing the certificate holder's "Active Conformance" status. Monitoring ongoing conformity is accomplished using the Safety Assurance System (SAS) Data Collection Tools (DCT) for COS,

as discussed in Volume 10. If a nonconformity has been identified, the CMT will use Element Performance Data Collection Tools (EP DCT) or the SMS Custom Data Collection Tools (C DCT) in SAS to evaluate if the nonconformity is the result of a performance or design issue with the SMS. Safety attributes assigned to these questions will aid in the root cause evaluation of the process failure. Once the failure has been determined, the certificate holder should be given sufficient time to rewrite their processes, train, evaluate, and implement them into their system. This could take 6 months to accomplish a “comprehensive review and fix.” Once the certificate holder has developed their procedures and implemented them, the CMT will reevaluate the area to ensure conformance with the SMSVP Standard. Principal inspectors (PI) will record all nonconformities in SAS or the Program Tracking and Reporting Subsystem (PTRS) (as appropriate) to maintain a record of the certificate holder’s corrective actions to ensure the certificate holder has returned to SMSVP Standard conformance. This documentation will also be used to ensure conformance in future surveillance.

C. SMS Implementation Progress. After a letter requesting admission into the SMSVP is received, an initial workshop will be scheduled when the SMSPO resources, the certificate holder, and CMT are all available. After the initial workshop has been completed, it is expected that the certificate holder will submit and have approved within 12 consecutive calendar-months, an implementation plan that describes their activities and timeline for full SMS acceptance. SMS implementation plans are discussed in Volume 17, Chapter 3, Section 2, paragraph 17-3-2-1. A fully implemented and validated SMS is expected within 36 months of the initial workshop. Failure to meet these timelines could result in removal from the SMSVP. The SMSPO maintains a database which tracks the expected progress dates for certificate holders. The following categories denote the progress expected:

NOTE: When a certificate holder fails to meet SMSVP standards, it may be downgraded to an SMSVP “Non-Active Participant.”

1) SMSVP Active Applicant. The certificate holder and CMT have committed to sufficiently support the SMS implementation and validation processes.

2) SMSVP Active Participant. The SMSVP initial workshop has been completed and the certificate holder officially begins and maintains its implementation efforts.

3) SMSVP Active Conformance. The CMT and SMSPO acknowledge full implementation of the certificate holder’s SMS. The certificate holder is expected to use and continually improve its safety management processes.

NOTE: The SMSPO has sole authority to authorize or withdraw recognition of a certificate holder’s SMS. The SMSPO’s primary objective is to assist CMTs in validating SMS development and help certificate holders maintain their Active Conformance status. The SMSPO will maintain an SMSVP Status Roster of all participants.

D. Recognition of Full Implementation. After SMS full implementation is recognized, the certificate holder is expected to use and continually improve its safety management processes. The CMT is expected to perform its certificate oversight duties where SMS is one of a

number of performance measures determining COS. The SMSPO periodically verifies the certificate holder's conformance to the SMSVP Standard by review of CMT oversight data.

E. SMSVP Withdrawal. SMSVP participants are free to withdraw from the SMSVP at any time. If the certificate holder withdraws after SMSVP recognition, it must notify its CMT and the SMSPO and their status will be changed to "Voluntary Withdrawal" and the effective date recorded in the Status Roster.

17-3-1-13 SMS DUTIES AND RESPONSIBILITIES.

A. CMT. The CMT is responsible for validating the certificate holder's management system applications during both the implementation process and after full implementation. Office management is responsible for allocating the resources to accomplish this requirement.

NOTE: It is strongly recommended that a CMT committed to supporting its certificate holder's SMSVP participation identify a point of contact (POC) to oversee CMT validation activities and communicate with the SMSPO.

B. Certificate Holder. The FAA authorizes a certificate holder to provide an aviation service or product. In SMS development, a certificate holder designates an accountable executive who has final authority over operations authorized under its certificate and is ultimately responsible for the company's safety performance. He or she signs and submits the SMS implementation plan on behalf of his or her company. The accountable executive's signature is a commitment to provide adequate resources for SMS development, implement SMS in all relevant areas of the organization, and ensure ongoing conformance to the SMSVP Standard.

C. SMSPO. In addition to the duties detailed in paragraph 17-3-1-9, the SMSPO may be contacted for guidance and policy interpretation through the CMT. SMSPO support is readily available upon request for all preapplication, validation, and COS activities.

NOTE: To request SMSPO support services, please contact the SMSPO at:

Email: 9-NATL-SMS-ProgramOffice@faa.gov
 Letter: Attn: SMS Program Office
 Safety Analysis and Promotion Division
 13873 Park Center Road, Suite 165
 Herndon, VA 20171

D. Safety Standards POC, Office of Air Carrier Safety Assurance and Office of General Aviation Safety Assurance, Within the Office of Foundational Business. The Safety Standards POC within the Office of Foundational Business's staff, with the assistance of the SMSPO, stays abreast of the latest SMS developments and information. They are appointed subject matter experts (SME) and resources for the CMTs.

E. Senior Technical Specialist (STS). The STS for safety management is the FAA's senior SMS SME and the official Aviation Safety (AVS) SMS advisor. The STS resides in the Safety Analysis and Promotion Division. The STS consults on all internal and external SMS development, technical issues, rulemaking, and policy formation. In addition to the SMSPO, the

STS works closely with industry, government agencies, advocacy groups, and international organizations to advance SMS and its application within the National Airspace System (NAS).

17-3-1-15 SMS REFERENCES. This paragraph references additional resources available to CMTs during review and validation of a certificate holder's SMSVP submissions.

A. Related Publication. Advisory Circular (AC) 120-92, Safety Management Systems for Aviation Service Providers.

B. Job Aids. SMS Implementation and Validation job aids are located in Volume 17, Chapter 3, Section 3, Figures 17-3-3B–R. COS job aids are located in Figures 17-3-3S–V.

17-3-1-17 through 17-3-1-29 RESERVED.

VOLUME 17 SAFETY MANAGEMENT SYSTEM**CHAPTER 3 SAFETY MANAGEMENT SYSTEM VOLUNTARY PROGRAM****Section 2 SMS Voluntary Program Validation Process****17-3-2-1 PREPARATION PHASE.**

A. Safety Management System Voluntary Program (SMSVP) Acceptance. The certificate holder or Certificate Management Team (CMT) will contact the Safety Management System Program Office (SMSPO), either by email or by calling the SMSPO, to begin the application process. Specific requirements which must be in the request are located in Volume 17, Chapter 3, Section 1, subparagraph 17-3-1-11A.

B. Certificate Holder and CMT Commitment. In order to continue the application process, the certificate holder and CMT must commit to providing sufficient resources to ensure successful Safety Management System (SMS) implementation. The SMSPO will provide information describing the SMSVP validation process and respective roles, responsibilities, and expectations.

1) Once the certificate holder and CMT completely review the SMSVP information, they must commit to supporting the SMS implementation process. Without a firm commitment from both parties, SMSPO communications will be limited to promotional materials. An email or letter from CMT management and the certificate holder's executive management to the SMSPO is considered a documented commitment.

Email: 9-NATL-SMS-ProgramOffice@faa.gov
Letter: Attn: SMS Program Office
Safety Analysis and Promotion Division
13873 Park Center Road, Suite 165
Herndon, VA 20171

2) The SMSPO will designate the certificate holder as an "Active Applicant" once it receives the respective CMT and certificate holder commitments. This permits the allocation of resources to support activities related to SMS implementation.

C. SMSVP Initial Workshop. The SMSPO will identify an SMS Implementation Support Team (IST) to conduct an initial workshop with the certificate holder and CMT. Before the workshop, the IST will provide copies of all applicable documents and information expected to be referenced at the workshop.

D. SMSVP Initial Workshop Agenda. The IST will conduct a multiday workshop. Part of the workshop is just for the CMT to address "FAA only" issues. Topics include documentation in the Program Tracking and Reporting Subsystem (PTRS) and Safety Assurance System (SAS), Data Collection Tools (DCT), best practices and lessons learned, and communication with the SMSPO. The remaining workshop time is for the certificate holder and CMT to address the following items together:

- 1) Organizational concepts and considerations;
- 2) Description of the SMSVP Standard;
- 3) Description of service provider SMS tools;
- 4) The SMSVP implementation and validation processes;
- 5) SMS “Active Participant” acknowledgement; and
- 6) Continued Operational Safety (COS) oversight expectations.

E. Certificate Holder SMS Implementation Plan Design. The certificate holder may develop its SMS implementation plan in a form, manner, and medium that meets its needs and is agreeable to its CMT.

1) The certificate holder’s implementation plan is a *roadmap* describing actions needed to conform to the SMSVP Standard. The implementation plan should detail a realistic timeline. The certificate holder should examine its organizational structure and manuals to identify individuals responsible for process designs and who have authority and technical expertise to apply those designs.

2) It is incumbent upon the certificate holder to identify individuals responsible for developing, implementing, and maintaining SMS processes within their respective areas of responsibility. Process manager responsibilities shall include:

- Hazard identification, Safety Risk Assessment (SRA), and risk acceptance;
- Evaluation of the effectiveness of safety risk controls;
- Promotion of safety; and
- Submission of reports to the accountable executive on SMS processes functioning according to their design.

3) Implementation plan outlines should include:

a) A listing of the relevant sections of the SMSVP Standard and associated reference sources;

b) A brief narrative describing where processes conform to the SMSVP Standard, or what actions the certificate holder will take to comply;

c) Identification of specific employees that will be responsible for implementing required actions;

d) Estimated target dates when each expectation will be ready for CMT design validation assessment; and

e) Estimated target dates when each expectation will be ready for CMT design demonstration assessment.

4) The certificate holder's implementation plan is the result of a thorough, system-wide gap analysis of existing processes and procedures currently in operation. A gap analysis is a way to compare existing processes, procedures, programs, and activities to the SMSVP Standard. Completing a gap analysis aids the certificate holder in determining what existing programs, processes, and practices comply with the SMSVP Standard and those that do not. Those that do not meet the SMSVP Standard, once identified, will need to have processes developed that bring them into conformance. Certificate holders should refrain from developing processes for identified gaps in their programs until after their implementation plan has been submitted and approved.

F. Implementation Plan Submission. Once the certificate holder has developed its implementation plan, it will be submitted to the responsible Flight Standards office for review. The time between the initial SMS workshop and the certificate holder's implementation plan approval can be as long as 12 months, but may be completed in less time. Once the plan is agreeable to the CMT, and the SMSPO has completed its quality review and approved the plan, the certificate holder and CMT are ready to start the implementation and design validation phase.

17-3-2-3 CMT IMPLEMENTATION PLAN REVIEW PHASE.

A. CMT Receipt of Implementation Plan. The certificate holder will submit its SMS implementation plan to the CMT following normal Flight Standards office protocols.

B. CMT Implementation Plan Review. The CMT will perform a review of the certificate holder's implementation plan using these general guidelines:

1) The CMT concurs that the implementation plan has properly identified the primary process areas/departments/subdepartments that constitute the organization's system. This requires that a copy of the certificate holder's organizational chart be provided and reviewed to ensure all appropriate areas of the organization are considered during the gap analysis and implementation plan development.

2) The CMT concurs that the implementation plan addresses all sections of, and is in conformance with, the SMSVP Standard.

3) The CMT concurs that the organization has adequately identified where their documentation shows conformance to the SMSVP Standard.

NOTE: The SMSVP Standard is located in Volume 17, Chapter 3, Section 3, Figure 17-3-3A, Safety Management System Voluntary Program Standard.

4) The CMT, based on its overall knowledge of the certificate holder, does not find any processes that appear too simplistic or too complex for the size, scope, and complexity of the organization.

5) The CMT can identify the certificate holder's process points of contact (POC) to coordinate its validation activities.

6) The CMT must develop a viable Validation Project Plan (VPP) from the certificate holder's implementation target dates (earliest dates that process areas will be ready for CMT design validation or design demonstration).

NOTE: The target dates on the certificate holder's implementation plan are not necessarily the dates on which the CMT will perform validation work, but helps the CMT forecast resources for validation activities that will occur after the certificate holder has completed its implementation actions.

7) Certificate holder and CMT activities are sufficient to validate compliance with the SMSVP Standard in accordance with the timeline in subparagraph 17-3-2-3J.

8) There are sufficient designated personnel resources to accomplish the implementation activities defined in the plan.

C. Acceptable Certificate Holder Implementation Plans. If an implementation plan is agreeable to the CMT, it should start CMT validation project planning (see subparagraph 17-3-2-3E).

D. Unacceptable Certificate Holder Implementation Plans. If the CMT finds the implementation plan unacceptable, the CMT will return it to the certificate holder according to Volume 3, Chapter 1, Section 1, subparagraph 3-3B and/or CMT office policy.

1) The CMT, in writing, must notify the certificate holder of the unacceptable submission(s) and a written explanation of the deficiencies requiring correction before it will conduct further reviews.

2) The CMT may request a meeting with the certificate holder's implementation plan POCs to discuss identified deficiencies, if required.

3) After the CMT evaluates the certificate holder's corrections, if acceptable, it will resume its review as required in subparagraph 17-3-2-3B.

NOTE: Disagreements over implementation plan suitability between the CMT and certificate holder may be referred to the SMS Office of Safety Standards POCs, Office of Air Carrier Safety Assurance and Office of General Aviation Safety Assurance, within the Office of Foundational Business, for clarification and assistance. However, the SMSPO is the final authority on the SMSVP Standard and is available to address technical questions regarding policy and best practices.

E. CMT VPP. The objective of a good VPP is forecasting the resources needed to perform appropriate validation activities on the certificate holder's safety management processes. To those ends, during the implementation plan review, the CMT will consider how to manage its validation work.

1) VPP development is based on the certificate holder's implementation plan submission. The submitted plan guides the CMT to identify its corresponding subject matter

resources needed to validate specific areas of the certificate holder's management system. Once appropriate CMT resources are identified, the VPP can be drafted. The CMT manager may adjust office resources to address VPP requirements.

2) To develop a viable VPP, the CMT must understand the purpose and use of the design validation and design demonstration job aids provided in Volume 17, Chapter 3, Section 3. These job aids correspond to the Custom Data Collection Tools (C DCT) in SAS. Validation activities must be accomplished in sufficient detail to ensure conformance with the SMSVP Standard. The SMSPO recommends the number of design validation and design demonstration C DCTs in SAS, or PTRS activities, be based on the size and complexity of the certificate holder. The actual number will vary, but they should be completed multiple times for multiple process areas/departments. As scheduled validations should not detract from the CMT's regular certificate management responsibilities, the SMSPO can assist the CMT in determining effective and efficient ways to manage its validation work.

F. VPP Considerations.

1) The CMT and certificate holder should agree on the VPP Schedule of Events (SOE). The CMT should design its validation activities to allow for "assessment-correction-reassessment" as planned CMT design validation and design demonstration validation dates may become unreliable if the proposed implementation plan timelines are not being met. The CMT and certificate holder POCs should collaborate throughout the validation process and revise the VPP SOE as necessary to ensure completion within the 3-year timeframe.

a) Depending on the proposed validation activity there may not be a need to conduct independent validations for processes uniformly applied throughout the organization. These processes may require only a one-time sampling to validate an entire system-wide application.

b) Some validation work can be accomplished remotely, while others require onsite and, sometimes, multiple site visits.

c) The SMSVP phased approach requires that, in collaboration with the SMSPO, two design demonstration activities be scheduled at the very end of the CMT validation process (see subparagraph 17-3-2-7E):

- The SMS Accountable Executive Review Design Demonstration; and
- The SMS Safety Risk Management (SRM) (Organizational) Design Demonstration.

2) Once the VPP is drafted, a validation planning meeting is scheduled between the CMT and certificate holder to review the plan.

G. CMT and Certificate Holder Validation Planning Meeting. The CMT SMS POC will organize an SMS validation planning meeting with the certificate holder to agree on the proposed VPP timelines. Appropriate CMT and certificate holder implementation teams must attend to agree or revise the VPP schedule.

1) The CMT POC will present its SMS VPP to the certificate holder and discuss planned activities. The certificate holder and CMT agreement of the SMS VPP represents mutual acceptance of the plan's timeline for completion of CMT validation activities. The certificate holder should also commit to aggressively work toward meeting the proposed target completion dates (i.e., design review readiness dates and design demonstration readiness dates) defined in their implementation plan submission.

2) The certificate holder and CMT should discuss how implementation plan changes might affect VPP activities.

3) The CMT will notify the certificate holder of the design validation and design demonstration job aids being used to validate its SMS, and how they will be used. The CMT will remind the certificate holder that it must provide evidence of its own internal assessments and corrections, if applicable, before the CMT validates those processes.

4) During the validation planning meeting, CMT and certificate holder concerns are addressed. Both will agree that all the planning requirements are complete and the certificate holder is ready to be acknowledged as an "Active Participant" in the SMSVP. The CMT will forward the following to the SMSPO:

- Its acknowledgement recommendation;
- The certificate holder's SMS implementation plan; and
- The CMT's VPP.

NOTE: The CMT may forward its acknowledgement recommendation and attachments in an email to the SMSPO (9-NATL-SMS-ProgramOffice@faa.gov).

5) When the CMT agrees that the certificate holder's implementation plan is satisfactory, the CMT manager will submit the implementation plan, along with the CMT VPP to the SMSPO for approval. If the CMT rejects the implementation plan, follow existing office policies for returning materials to a certificate holder.

H. SMSVP Quality Review.

1) **Document Review.** Once the SMSPO has received the certificate holder's implementation plan, the CMT's VPP, and CMT acknowledgement recommendation, the SMSPO performs a quality review of the documents. The SMSPO will contact the CMT POC if there are any questions or open issues from its review. Any subsequent corrections of identified deficiencies will be coordinated with the impacted parties, as applicable.

2) **Receipt of a Certificate Holder's Implementation Plan.** When the SMSPO receives an SMS implementation plan from the CMT, the SMSPO will analyze and evaluate the certificate holder's intended plans to develop or bring nonconforming safety management processes into compliance with the SMSVP Standard, and determine whether the plan is realistic. They will also review the CMT's VPP to ensure the number of activities is appropriate for the size and complexity of the certificate holder.

3) Differences in Implementation Plans. Implementation plans submitted by different certificate holders may not look the same. For example, though the SRM processes are identical regardless of the organization's size, scope, or complexity, a small certificate holder might have only one SRM team for the entire company, while a large certificate holder might have multiple SRM teams at the department, division, and/or corporate level. During the SMS acceptance process (the next step after implementation plan approval), the CMT must evaluate conformance of each pertinent process (e.g., flight operations, maintenance operations, or cabin services) against the SMSVP Standard. The CMT must also ensure that the certificate holder's implementation plan addresses each level (e.g., corporate or division) and functional operation that directly affects aviation safety (e.g., dispatch, ground, and cargo) against each SMSVP Standard requirement. Prior to approval by the SMSPO, the following elements will be reviewed:

- A listing of the relevant sections of the SMSVP Standard and associated reference sources;
- A brief narrative describing where processes conform to the SMSVP Standard, or what actions the certificate holder will take to comply;
- Identification of specific employees that will be responsible for implementing required actions;
- Estimated target dates when each expectation will be ready for CMT design validation assessment; and
- Estimated target dates when each expectation will be ready for CMT design demonstration assessment.

NOTE: Satisfactory reviews will be signed by the Safety Analysis and Promotion Division SMSPO manager or his or her designee. Unsatisfactory items resulting from the review will be referred to the manager of the responsible Flight Standards office.

NOTE: Engagement of the SMSPO at an early stage of the process is recommended to ensure timely review, feedback, and approval. However, the SMSPO may be contacted for consultation at any time.

I. Functional Considerations.

1) During SMS implementation, the CMT will continue all of its certificate management duties. Once the certificate holder's SMS implementation plan is approved, CMT oversight will include monitoring changes to the approved plan and conformance to the plan's schedule.

2) The first of two SMSVP Federal Aviation Administration (FAA) responsibilities is approval of the certificate holder's implementation plan. The implementation plan approval process should consider the CMT workload and the resource requirements of the SMS acceptance process. For example, once the certificate holder's implementation plan is approved, they will follow that plan and begin to design, develop, modify, or align SMS processes to fit their business model and unique operational environment. It is only after the implementation plan has been approved when the second FAA SMSVP responsibility begins, validation of the

certificate holder implementation plan activities to ensure conformance with the SMSVP Standard. Therefore, an implementation plan that has all SMS components due for evaluation the month prior to the deadline would place unrealistic expectations on the CMT.

3) During implementation plan development, the CMT should periodically review the plan and include informal feedback on adequacy, timeliness of the proposed implementation schedule, and completeness. Communication between the certificate holder and the CMT allows time for the CMT to make suggestions, permit course corrections, and provide feedback on the adequacy of the plan.

J. Implementation Plan Changes. Any changes made by the certificate holder to an approved implementation plan must be documented by the certificate holder and submitted to the CMT for review and acceptance. CMTs should use caution when implementation plan changes are accepted so that estimated completion dates are not moved back to the end of the 3-year implementation period. Approval of a revised implementation plan implies that the CMT has available resources to evaluate submitted SMS components for acceptance in a timely manner in accordance with office policy.

K. Recording Approval of the Implementation Plan. The acceptance and approval processes in the SMS development are similar to the Phased Certification Process of Volume 3, Chapter 1, Section 1, paragraph 3-6. If the certificate holder has submitted an acceptable implementation plan, the manager (e.g., office, unit, frontline, etc.) who is the approving entity for all collective decisions of the team will approve the implementation plan and ensure that implementation plan approval information is entered into PTRS as follows:

- 1) Enter activity code: 1045, 3045, or 5045.
- 2) Enter “SMSIPAP” in the “National Use” field.

L. CMT Rejection of the Certificate Holder’s Implementation Plan. Rejection notification and comments will be returned to the certificate holder according to Volume 3, Chapter 1, Section 1, subparagraph 3-3B and/or CMT office policy. Failure of the certificate holder to submit an acceptable implementation plan within 12 months after the SMS initial workshop should be addressed as a failure to meet the SMSVP Standard requirements. Appropriate records of submissions and discrepancy findings by the CMT should be maintained, as well as evidence of evaluation timeliness on the part of the CMT. Differences of opinions between the certificate holder and the CMT as to the acceptability of the SMS implementation plan should be referred to the normal chain of authority through the respective FAA offices.

NOTE: When the SMSPO determines the certificate holder has a complete implementation plan that meets the SMSVP Standard, the SMSPO will issue a letter approving the implementation plan and acknowledging the certificate holder’s participation in the SMSVP, and show their status as “Active Participant” on the SMSVP Status Roster.

M. PTRS Procedures.

1) For certificate holders managed and tracked in PTRS, the CMT POC will complete a PTRS activity record in accordance with the procedure in paragraph 17-3-2-9 and Table 17-3-2B, SMSVP Job Aids.

NOTE: Certificate holders managed and tracked in SAS should use guidance located in Volume 17, Chapter 1, Section 2, paragraph 17-1-2-5.

2) The CMT POC will open a PTRS record to document completion of the following preparation activities:

- a) Implementation plan review,
- b) VPP completion, and
- c) CMT recommendation of acknowledgment to the SMSPO.

3) These milestones will be recorded in the “Comments” section of the PTRS record. The CMT may add additional preparation activities using this same convention.

- a) Enter activity number 1045, 3045, or 5045, as appropriate.
- b) Enter “SMSPREP” (SMS Preparation) (without quotations) in the “National Use” field.

c) In the “Comments” section, record any specific activity (e.g., implementation plan review, validation planning meeting activity, or return of implementation plan). If you have a “No” answer in any questions from the job aids, you must explain the reason for this answer and trigger a followup activity to mitigate the deficiency.

4) Documentation of activities conducted by the CMT may be recorded in SAS by initiating/managing an Action Item Tracking Tool (AITT) in accordance with Volume 10, Chapter 6, Section 2, Subparagraph 10-6-2-9B, Initiate/Manage AITT. However, this does not remove the requirement to perform a PTRS entry as required by this section.

17-3-2-5 DOCUMENTATION VALIDATION PHASE.

A. Evaluating a Certificate Holder’s SMS Design. This paragraph provides guidance for determining if a certificate holder has an adequately designed SMS that includes required safety management activities and processes in their organizational system.

B. Recording Design Assessments (DA). A CMT must have documented evidence that the planned activities from the VPP have been accomplished.

C. The SMSVP Design Validation Job Aids. The design validation job aids should be used to evaluate the certificate holder’s documentation describing its SMS processes and procedures. The inspector’s formal record of observations and evaluations will be recorded using

C DCTs, which are available as a national template in SAS. For certificate holders managed and tracked in the PTRS, use the SMSVP job aids and document completion in the PTRS using the codes and procedures located in Table 17-3-2B.

1) Certificate holders are not required to use these job aids or C DCTs for their internal validation activities; however, certificate holders are required to complete their own internal assessments before CMT design validation assessments begin. Evidence of the certificate holder's internal assessments must be made available to the CMT upon request.

2) Even though design validations may occur at different times and on different certificate holder process areas/departments, they cannot be considered complete until there are enough validation records to demonstrate conformance with the SMSVP Standard.

NOTE: It is important that responsibilities and authorities are defined in a certificate holder's process procedure and are preferably assigned to a position, not a person (e.g., "The Director of Maintenance (DOM) will send records to the dispatch supervisor"). Passive language is not acceptable (e.g., "The maintenance department would send records to someone in the dispatch department").

NOTE: The CMT will validate that the certificate holder's process design conforms to the SMSVP Standard.

D. SMS Design Validation Job Aid Frequency of Use. The number of design validation job aids to be completed will be identified in the CMT VPP.

1) While some job aids may be completed just once, others may be completed multiple times for multiple process areas/departments.

2) Certificate holder processes that generally apply across the entire organization require only one design validation.

3) Certificate holder processes that apply to specific process areas/departments require design validations for each process area.

4) When the design validation job aid questions are all answered affirmatively for a process area(s), the CMT can prepare for its design demonstration validations on that process area(s).

E. Job Aid References. See Volume 17, Chapter 3, Section 3:

- Figure 17-3-3B, SMS—Safety Policy Design Validation.
- Figure 17-3-3C, SMS—Safety Risk Management Design Validation.
- Figure 17-3-3D, SMS—Safety Assurance Design Validation.
- Figure 17-3-3E, SMS—Safety Promotion Design Validation.

17-3-2-7 DESIGN DEMONSTRATION PHASE.

A. Evaluating a Certificate Holder's Ability to Execute Its Designed Processes. This paragraph provides guidance for determining whether the certificate holder's process applications have been applied operationally and are working as designed. Once SMS process documentation is validated as conforming to the SMSVP Standard, the CMT is ready to validate certificate holder capability based on its documented processes.

B. The SMSVP Design Demonstration Job Aids. The design demonstration SMSVP job aids and SMS C DCTs are used for the design demonstration validation activities. Certificate holders are not required to use these job aids or C DCTs for their internal validation activities; however, certificate holders are required to complete their own internal assessments before CMT design demonstration assessments begin. Evidence of the certificate holder's internal assessments must be made available to the CMT upon request.

C. Recording Design Demonstration Assessments. The design demonstration job aids will be used to evaluate the certificate holder's safety management processes. Where actual field demonstration cannot be assessed (e.g., emergency response plans (ERP)), the CMT is permitted to use simulated processes (sometimes called "tabletop exercises") allowing the CMT to evaluate the certificate holder's capabilities without an actual demonstration.

NOTE: The inspector's formal record of observations and evaluations will be recorded using C DCTs, which are available as a national template in SAS. For certificate holders not managed in SAS, use the SMSVP job aids and document completion in PTRS using the codes and procedures located in Table 17-3-2A, SMSVP PTRS Codes. Even though design demonstrations may occur at different times and on different certificate holder process areas/departments, they cannot be considered complete until there are enough observations to demonstrate system-wide conformance to the SMSVP Standard.

NOTE: The CMT will validate, to the extent possible, that the certificate holder's process applications actually function in day-to-day operations.

NOTE: For certificate holders not managed in SAS, the CMT POC will complete a PTRS activity record in accordance with the procedure in paragraph 17-3-2-9 and Table 17-3-2B.

D. Demonstration Job Aid Frequency of Use. The number of design demonstrations to be completed will be identified on the CMT VPP. However, the CMT may add additional design demonstrations at its discretion. While some demonstration activities may be completed one time, others may be completed multiple times for multiple process areas/departments (e.g., policy work, Safety Policy, or ERP):

1) Processes that generally apply across the entire organization require only one design demonstration. Some examples of this are the SMS SRM (Organizational) Design Demonstration and SMS Emergency Preparedness/Response Design Demonstration.

2) When all of the questions on the planned design demonstrations are answered affirmatively, the CMT can recommend the certificate holder's SMS as being fully functional and in conformance with the SMSVP Standard.

E. Combined CMT and SMSPO Design Demonstration Validation Activities.

1) The CMT may independently accomplish all design demonstrations with the exception of two that must be completed in collaboration with the SMSPO:

- SMS Accountable Executive Review Design Demonstration.
- SMS SRM (Organizational) Design Demonstration.

2) These demonstrations may be completed as tabletop exercises with appropriate representatives of the certificate holder, CMT, and SMSPO IST participating. The certificate holder's accountable executive must participate (in person or virtually) for the SMS Accountable Executive Review Design Demonstration. Successful outcome of these two demonstrations is required to close out the CMT's VPP.

F. Job Aid References. See Volume 17, Chapter 3, Section 3:

- Figure 17-3-3F, SMS—Safety Policy Design Demonstration.
- Figure 17-3-3G, SMS—Emergency Preparedness/Response Design Demonstration.
- Figure 17-3-3H, SMS—SRM (Process/Department Owner) Design Demonstration.
- Figure 17-3-3J, SMS—SRM (Organizational) Design Demonstration.
- Figure 17-3-3K, SMS—Audit Process Design Demonstration.
- Figure 17-3-3L, SMS—Evaluation Process Design Demonstration.
- Figure 17-3-3M, SMS—Investigation Process Design Demonstration.
- Figure 17-3-3N, SMS—Continuous Improvement Process Design Demonstration.
- Figure 17-3-3P, SMS—Accountable Executive Review Design Demonstration.
- Figure 17-3-3Q, SMS—Records Retention Process Design Demonstration.
- Figure 17-3-3R, SMS—Safety Communications Design Demonstration.

17-3-2-9 PTRS DATA ENTRY PROCESS. For certificate holders managed and tracked via the PTRS, the following procedures will be utilized when documenting SMSVP activities. The CMT must complete the following boxes to ensure proper documentation of SMS activities and findings when recording activities in the PTRS.

A. Description. If the certificate holder is currently developing and implementing an SMS under the SMSVP, enter "SMSCERT" in the "National Use" field. If the certificate holder has an accepted SMS and the activity is COS, enter the assessment using the appropriate COS tool job aid (SMS016–SMS019), as applicable in the "National Use" field.

B. Activity Number. The first digit of the activity number denotes the specialty of the inspector recording the activity: "1" for Operations, "3" for Airworthiness, and "5" for Avionics. The second digit shall be a "9," which identifies the task as General Technical Function. The

third and fourth digits define the general activity being performed. For SMS activities, the following codes have been assigned:

Table 17-3-2A. SMSVP PTRS Codes

Activity	PTRS Code
SMSVP Initial Workshop Completed	X991
SMSVP Implementation Plan Submitted and Approved	X992
SMS Interim Calibration Completed (may be accomplished multiple times)	X993
SMS Accepted	X994
SMS COS Activity Accomplished	X995

NOTE: A complete activity number might be 1991 if an Operations inspector is recording the completion of an SMSVP initial workshop, or 5994 if an Avionics inspector is recording that the certificate holder has an accepted SMS. COS activities will be recorded as X995.

NOTE: To prevent excessive administrative burden, SMS-integrated COS job aid completion must be recorded one time at the conclusion of a single or a group of scheduled surveillance activities occurring within the same time period.

C. Status. Select “O” for Open or “C” for Closed, as appropriate.

D. Start Date. Enter the date the activity was started. The start date of the technical process assessment using the appropriate job aid and COS tools (SMS016–SMS019), as applicable. The date of the COS tool must be the same as the date of the technical process.

E. Designator. Enter the designator for the certificate holder.

F. “National Use” Field. Enter the appropriate activity code. A list of activity codes that must be used are located in Table 17-3-2B. Select the appropriate keyword from the “National Use” Field column that reflects the job aid or activity conducted. Proper code selection is critical to ensure activity tracking.

G. Comments. This block is for recording any information pertaining to the job aid or activity conducted that the principal inspector (PI) feels is important to retain (e.g., the number of company employees interviewed concerning the employee reporting system, or tabletop exercises conducted).

NOTE: When conducting COS questions (SMS016), if any question results in a “No” answer, an explanation MUST be entered and followup actions defined. A followup PTRS record must be triggered and linked to the original PTRS record.

Table 17-3-2B. SMSVP Job Aids

SMSVP Job Aid Name	National Use Field Entry	Figure Number
SMS—Safety Policy Design Validation	SMS001	17-3-3B
SMS—Safety Risk Management Design Validation	SMS002	17-3-3C
SMS—Safety Assurance Design Validation	SMS003	17-3-3D
SMS—Safety Promotion Design Validation	SMS004	17-3-3E
SMS—Safety Policy Design Demonstration	SMS005	17-3-3F
SMS—Emergency Preparedness/Response Design Demonstration	SMS006	17-3-3G
SMS—SRM (Process/Department Owner) Design Demonstration	SMS007	17-3-3H
SMS—SRM (Organizational) Design Demonstration	SMS008	17-3-3J
SMS—Audit Process Design Demonstration	SMS009	17-3-3K
SMS—Evaluation Process Design Demonstration	SMS010	17-3-3L
SMS—Investigation Process Design Demonstration	SMS011	17-3-3M
SMS—Continuous Improvement Process Design Demonstration	SMS012	17-3-3N
SMS—Accountable Executive Review Design Demonstration	SMS013	17-3-3P
SMS—Records Retention Process Design Demonstration	SMS014	17-3-3Q
SMS—Safety Communications Design Demonstration	SMS015	17-3-3R
SMS—Integrated Continued Operational Safety Job Aid	SMS016*	17-3-3S
SMS—Accountable Executive Continued Operational Safety Job Aid	SMS017*	17-3-3T
SMS—Emergency Response Continued Operational Safety Job Aid	SMS018*	17-3-3U
SMS—Recordkeeping Continued Operational Safety Job Aid	SMS019*	17-3-3V

*For SMS016, SMS017, SMS018, and SMS019, use PTRS code X995.

NOTE: For SMSVP design validation or design demonstration job aids, use PTRS code 1045, 3045, or 5045.

17-3-2-11 ADMINISTRATIVE PROCESS PHASE.

A. CMT Administrative Process. Once all SMS CMT VPP activities are successfully completed, the CMT will close out the validation process by completing the following actions:

- 1) The CMT POC will ensure that all SMS C DCT records have been completed and closed, as listed in the VPP.
- 2) The CMT POC archives the final CMT VPP with the latest revision of the certificate holder's implementation plan, following CMT office policy.
- 3) The CMT POC will enter the following PTRS activity record:
 - a) Enter activity number 1045, 3045, or 5045;
 - b) Enter "SMSADMCP" (SMS Administrative Activities Complete) (without quotations) in the "National Use" field; and
 - c) In the "Comments" section, state that the CMT manager has recommended that the certificate holder's SMS receive final recognition by the SMSPO.
- 4) Documentation of activities conducted by the CMT may be recorded in SAS by initiating/managing an AITT in accordance with Volume 10, Chapter 6, Section 2, subparagraph 10-6-2-9B; however, this does not remove the requirement to perform a PTRS entry as required by this section.
- 5) CMT management will, by email or letter, recommend that the SMSPO issue final recognition of the certificate holder's SMS.

Email: 9-NATL-SMS-ProgramOffice@faa.gov

Letter: Attn: SMS Program Office

Safety Analysis and Promotion Division

13873 Park Center Road, Suite 165

Herndon, VA 20171

B. SMSPO Administrative Process Quality Review.

1) Once the SMSPO receives the CMT management's recommendation for certificate holder SMS recognition, it will complete its administrative process review. This review ensures that all SMSVP-required administrative tasks have been completed. Any issues or required corrections will be coordinated with the CMT SMS POC.

2) Upon satisfactory review, the SMSPO will change the certificate holder's status from "Active Participant" to "Active Conformance" and issue the certificate holder a current status letter.

17-3-2-13 COS. After the certificate holder has an accepted SMS and attained "Active Conformance" status, the PI shall check the "SMS VP - Safety Management System Voluntary Program" box in the Vitals Information tab in the SAS Configuration Module, to activate the SMS DCT questions. The CMT now begins using the SAS COS DCTs for continued oversight of the certificate holder's SMS. CMT oversight of the certificate holder's SMS will be conducted in conjunction with, or integral to, routine certificate management functions, as contained in Volume 10.

17-3-2-15 through 17-3-2-29 RESERVED.