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.)	2nd	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.)	2nd	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.)	2nd	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.)	2nd (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.)	2nd	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)

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)
17 AFS-800	**Part 133 observation from the ground.**	No	Yes	No	No	No	No
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 (FOM), 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) Only required if a type rating exists for the subject aircraft in Figure 5-88, listed at https://registry.faa.gov/TypeRatings/ and referred to in Volume 5, Chapter 2, Section 19.

(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 2 GENERAL INFORMATION FOR AIR CARRIER CERTIFICATION AND FRACTIONAL OWNERSHIP APPLICATION

Section 2 Air Carrier Commercial Operator Certificate Determinations, Types of Certificates, and Applicable Rules

2-126 PURPOSE. This section provides direction and guidance for the issuance of Air Carrier Certificates and Operating Certificates. Title 14 of the Code of Federal Regulations (14 CFR) part 119 consolidates the certification and operations specifications (OpSpecs) requirements for persons who operate in common carriage under 14 CFR parts 121 and 135. Part 119 also contains definitions pertinent to operations that do not involve common carriage. The following paragraphs are intended to enhance an inspector's understanding of the basis for issuance of a particular type of certificate (air carrier or operating) and the kinds of operations authorized under those certificates and OpSpecs.

2-127 COMMON CARRIAGE VS. OPERATIONS NOT INVOLVING COMMON CARRIAGE.

A. Common Carriage. The first step in evaluating an application is determining whether an applicant will be engaged in common carriage. An applicant is engaged in common carriage if the applicant "holds out" to the public (by advertising or other means) to transport persons or property for compensation or hire.

B. Non-Common Carriage. An applicant is not engaged in common carriage if he or she does not meet the above requirement. Operations not involving common carriage include the following definitions or exceptions. These definitions or exceptions are contained in part 119 and in sections of 14 CFR part 91.

1) Non-common carriage involves the carriage of persons or property for compensation or hire, but there is no holding out. Non-common carriage operations require the issuance of an Operating Certificate. Operations would be conducted under 14 CFR part 125 or part 135, depending on the type of aircraft, seating configuration, and payload capacity.

2) Private carriage involves the carriage of persons or property for compensation or hire with limitations on the number of contracts. The carriage of persons or property for compensation or hire under a contractual business arrangement between the operator and another person or organization, which did not result from the operator's holding out or offering service is considered to be private carriage. (In this situation, the customer seeks an operator to perform the desired service and enters into an exclusive, mutual agreement as opposed to the operator seeking customers). Private carriage operations require the issuance of an Operating Certificate. Operations would be conducted under part 125 or part 135, depending on the type of aircraft, seating configuration, and payload capacity.

NOTE: The current edition of Advisory Circular (AC) 120-12, Private Carriage Versus Common Carriage of Persons or Property, provides additional guidelines

for determining whether a transportation operation is common carriage or not. If an inspector cannot clearly determine whether an operation is common carriage or an operation not involving common carriage, the facts of the situation shall be presented to the Air Transportation Division or the General Aviation and Commercial Division (as applicable) for an appropriate determination.

3) Part 119 defines a direct air carrier as a person who provides or offers to provide air transportation and who has control over the operational functions performed in providing that transportation. The Federal Aviation Administration (FAA) issues certificates to these direct air carriers. Title 49 of the United States Code (49 U.S.C.) expands the definition of an air carrier to include a person who acts "indirectly." The FAA does not issue certificates to indirect air carriers. An indirect air carrier is a company that contracts aircraft and crew services from an air carrier or commercial operator but may not engage in control over the operational function of any flight. Examples of indirect air carriers include freight forwarders, brokers, or public charter operators. An indirect air carrier will act as an agent for either the customer or the air carrier, and their advertising must make it clear that a certificated air carrier or commercial operator provides the transportation.

4) Operations in which persons or cargo are transported without compensation or hire are conducted under part 91 and do not require a certificate.

5) Exceptions from the certification requirements of part 119 and the operating rules of parts 121 and 135 are summarized in the following paragraphs. Refer to the cited regulations for the complete regulatory content.

a) Part 91 subpart F applies to large and turbine-powered, multiengine airplanes and fractional ownership program aircraft. Part 91, § 91.501 lists certain operations not involving common carriage that may be conducted under part 91 instead of part 121 or part 135. These operations involve the transportation of persons or property and may involve compensation. Section 91.501 sets conditions on the amount and types of compensation for some of these operations. Examples include:

- Ferry or training flights.
- Aerial work operations.
- Sales demonstration flights (limited compensation for expenses).
- Personal transportation for operator or guests (no charge, assessment, or fee).
- Carriage of officials, employees, guests, and property of a company on an airplane operated by that company, parent, or subsidiary (Carriage is incidental to business and limited compensation for ownership, operating, and maintenance costs or no charge for guests when not within the scope of business of company).
- Time shares, interchange agreements, and joint ownership.
- Carriage of property (except mail) incidental to business (limited compensation for expenses).
- Carriage of group (with common purpose) when there is no charge, assessment, or fee.

- Carriage of persons for purpose of selling land, goods, or property when there is no charge, assessment, or fee.
- Fractional ownership.

b) Part 119, § 119.1(d) states that part 119 certification requirements do not apply to fractional ownership, or operations conducted under 14 CFR part 129, 133, 137, or 139.

c) Section 119.1(e) lists operations that do not require air carrier or commercial operator certification. Examples include:

- Student instruction.
- Certain nonstop sightseeing flights conducted within a 25 statute mile (sm) radius of the airport.
- Ferry or training flights.
- Aerial work.
- Sightseeing flights in hot air balloons.
- Nonstop flights within 25 sm for intentional parachute operations.
- Limited helicopter flights within 25 sm.
- Part 133 (rotorcraft external load) or part 375 (certain foreign civil aircraft operations within the United States).
- Emergency mail service (49 U.S.C. § 41906).
- Carrying candidates in elections (§ 91.321).

2-128 TYPES OF CERTIFICATES UNDER PART 119. There are two basic types of Air Operator Certificates (AOC) issued to U.S. applicants who will conduct operations in common carriage. See Table 2-4, Certification, for a summary of certificate requirements.

A. An Air Carrier Certificate. This certificate is issued to applicants who plan to conduct interstate, foreign, or overseas transportation, or to carry mail.

B. An Operating Certificate. This certificate is issued to applicants who plan to conduct intrastate transportation.

2-129 DETERMINING APPROPRIATE OPERATING RULE AND KIND OF OPERATION FOR PART 119.

A. Step One. Once you determine the type of certificate, the next step is to determine the appropriate operating rule and kinds of operation. There are two operating rules that are appropriate for air carriers and commercial operators. An applicant will operate under part 135, part 121, or both depending on whether the operation is scheduled and the size and type of aircraft used. There are five kinds of operations: domestic, flag, and supplemental operations (applying to operations conducted under part 121) and commuter and on-demand operations (describing operations under part 135). To determine the appropriate operating rule and kind of operation, first determine if the applicant will conduct scheduled or nonscheduled operations.

1) Scheduled operations include passenger operations in which the departure location and time and the arrival location are offered in advance by the operator. Scheduled operations can also carry cargo. However, an all-cargo operation is defined as nonscheduled.

NOTE: Scheduled operations do not include public charter operations under 14 CFR part 380.

2) Nonscheduled operations include:

a) Passenger-carrying operations in which the departure time and the departure and arrival locations are specifically negotiated with the customer or the customer's representative.

b) All-cargo operations.

c) Scheduled passenger operations in aircraft (other than turbojet-powered airplanes) that have nine or fewer passenger seats and a 7,500 lb payload or less that operate with a frequency of less than five round trips a week on at least one route between two or more points according to a published flight schedule.

d) Passenger operations conducted as a public charter under part 380.

B. Step Two. Once it is determined whether the operation is scheduled or nonscheduled, the next step is to determine the appropriate operating rule and kinds of operation. An operator can conduct operations under part 121, 135, or both. However, the applicant will only be issued one certificate. The OpSpecs will detail the operating rules and kinds of operations. The definitions for kinds of operations are contained in § 119.1 and Volume 2, Chapter 2, Section 1, paragraph 2-103. Table 2-4 summarizes the appropriate operating rule and kinds of operation based on the aircraft type, size, seating configuration, and payload capacity, as well as the Area of Operations.

1) Kinds of scheduled operations:

a) Part 121 flag. An operator who has flag authority will also receive domestic and supplemental authority.

b) Part 121 domestic. An operator who has domestic authority will also receive supplemental authority.

c) Part 135 commuter. An operator who has commuter authority will also receive on-demand authority.

2) Kinds of nonscheduled operations:

a) Part 121 supplemental.

b) Part 135 on-demand.

C. Special Considerations for Aircraft With Modified Payload Capacities and/or Passenger Seat Configurations. There have been a number of instances where a Supplemental Type Certificate (STC) or other approved technical amendment to the type certification data results in a limitation or reduction of the maximum payload capacity for a particular make, model, and series (M/M/S) airplane. This reduction is achieved through a reduction of the maximum zero fuel weight (MZFW) or other means. One instance involves the Boeing Business Jet (BBJ), but other airplanes have also been modified.

1) Part 119 defines, for air carriers and commercial operators, which operating rule will apply to the operation of their aircraft. Part 119 references passenger seat configuration and payload capacity to determine the applicable operating rules. In general, on-demand operation of airplanes having a passenger seat configuration of 30 seats or fewer, excluding each crewmember seat, and a payload capacity of 7,500 lb or less are conducted under part 135. On-demand operations of multiengine airplanes with a passenger seat configuration of more than 30 seats or a payload capacity of more than 7,500 lb are conducted under part 121.

2) Part 125 prescribes rules governing the operations of U.S.-registered airplanes that have a seating configuration of 20 or more passenger seats, or a maximum payload capacity of 6,000 lb or more when common carriage is not involved.

3) Flight Standards Service policy states that "the passenger seat configuration and (maximum) payload capacity, as defined in parts 119, 121, 125, and 135 determine the applicable operating rule. If the passenger seating configuration or maximum payload capacity is modified, restricted, or limited through FAA-approved means (i.e., STC and Aircraft Flight Manual (AFM) revision), the amended passenger seat configuration and payload capacity can be used to determine the applicable operating rules."

4) For example, a BBJ receives an FAA-approved reduction of the MZFW that results in a maximum payload capacity of 7,500 lb or less. This airplane also has a seating configuration of 30 or fewer passenger seats. Since it meets the applicability requirements of part 119, this airplane would be permitted to operate under part 135 instead of under part 121. The same logic would hold true if the payload capacity had been modified to 6,000 lb or less and a passenger seat configuration of 20 seats or fewer. In this instance, the airplane would be permitted certain operations under part 91 instead of under part 125.

2-130 ECONOMIC AUTHORITY FOR PART 119—DEPARTMENT OF TRANSPORTATION (DOT) CERTIFICATES AND EXEMPTIONS. DOT is responsible for issuing economic authority for air carriers. No economic authority is required for commercial operators conducting intrastate transportation under part 121 or 135 or for operators conducting private or non-common carriage under part 125 or 135. The type of economic authority is generally based on whether the operation is scheduled or charter, passenger or cargo, and the aircraft seating and payload capacity. It should be noted that the DOT definitions and terminology are not identical to those contained in part 119 and used for FAA certification. Actions that must be taken to obtain DOT economic authority are summarized in Table 2-5, Actions to Obtain DOT Authority. The following economic authorities are issued:

- Title 49 U.S.C. § 41102.
- Title 49 U.S.C. § 41103.
- Commuter Air Carrier Authorization (scheduled passenger with small aircraft).
- Air taxi operator authority (nonscheduled passenger or cargo with small aircraft).
- Exemption authority under 49 U.S.C. § 40109.

A. Large Airplanes. DOT defines large airplanes as originally designed to have more than 60 passenger seats or more than 18,000 lb payload. An operator with these airplanes is required to hold economic authority under 49 U.S.C. § 41102 or § 41103. These certificates may also be issued to companies operating smaller aircraft. An applicant must be found "fit, willing, and able" to conduct the operations before issuance of this certificate authority.

1) Section 41102 authority may be issued for scheduled or charter operations that serve domestic or foreign points and that carry passengers, cargo and mail, or that carry cargo and mail only. Evidence of the authority consists of a certificate, with terms, conditions, and limitations. The DOT's Show Cause and Final Orders also provide evidence of this authority.

2) Section 41103 authority is provided to all-cargo operations. Evidence of this authority consists of a certificate with terms, conditions, and limitations. DOT's Show Cause and Final Orders also provide evidence of this authority.

B. Commuter Air Carrier. A commuter air carrier is defined as a company which operates airplanes designed to have no more than 60 passenger seats that provides scheduled passenger service of five or more round trip flights per week on at least one route according to published flight schedules. In accordance with 14 CFR part 298, a commuter air carrier must be found fit, willing, and able prior to being authorized to operate its scheduled passenger service. Evidence of this authority consists of a Commuter Air Carrier Authorization with terms, conditions, and limitations. DOT's Show Cause and Final Orders also provide evidence of this authority.

C. Air Taxi Operator. An air taxi operator is defined as a company which operates aircraft originally designed to have no more than 60 passenger seats or a cargo payload of 18,000 lb and carries cargo or mail on either a scheduled or charter basis, and/or carries passengers on an on-demand basis or limited scheduled basis (i.e., four or fewer round trips a week on at least one route according to published flight schedules) only. An air taxi operator must register under part 298 (DOT Office of the Secretary of Transportation (OST) Form 4507, Air Taxi Operator Registration and Amendments under Part 298 of the Regulations of the Department of Transportation). The Technical Programs Branch maintains the part 298 registrations. The OST Forms 4507 and 6410, U.S. Air Carriers-Certificate of Insurance: Policies of Insurance for Aircraft Accident Bodily Injury and Property Damage Liability, are to be submitted whenever changes occur in the information reported on the forms. Every air taxi operator who plans to commence operations under part 135 must register with the Technical Programs Branch not later than 30 days prior to commencement of such operations. The registration of an on-demand air carrier shall remain in effect until it is amended by the carrier or canceled by the Administrator. Evidence of this authority is the DOT registration (OST Form 4507).

NOTE: An airplane, for which the passenger seating configuration or maximum payload capacity is modified, restricted, or limited in order to operate under part 135 is subject to a DOT fitness determination if it was originally designed for more than 60 passengers or a maximum payload of 18,000 lb.

D. Exemption Authority. A company may also provide certain operations pursuant to exemption authority from the DOT. Generally, exemption authority is issued only to companies which already hold some type of § 41102 certificate authority from DOT and wish to provide operations outside of the authority granted by that certificate. Evidence of exemption authority may consist merely of a DOT confirmation of oral action taken, or it may take the form of a DOT order or written notice granting such authority.

NOTE: If an inspector is unsure of the type of operations authorized by the registration, certificate, or exemption evidence presented by an air carrier, the inspector should contact DOT's Air Carrier Fitness Division at 202-366-9721 to confirm the authority held.

E. DOT Queries. DOT staff, in support of DOT fitness determinations, may occasionally query field inspectors concerning accident, incident, and enforcement histories and qualifications of an applicant or an applicant's management personnel. Other than responding to these queries, a field inspector should not be involved in an applicant's efforts to obtain DOT economic authority. It is solely the responsibility of an applicant to obtain DOT economic authority. Field inspectors, however, shall not issue an FAA Air Carrier Certificate unless an applicant can show proof that appropriate DOT economic authority has been obtained.

F. Additional Information. For more information, go to the OST website: https://www.transportation.gov/sites/dot.gov/files/docs/Certificated_Packet_2012_final.pdf.

Table 2-4. Certification

TYPE OF CERTIFICATE	SEATING CAPACITY PAYLOAD CAPACITY	14 CFR OPERATING PART	KIND OF OPERATION
AIR CARRIER CERTIFICATE	Scheduled Operations (common carriage passenger operation; departure, location, and time and arrival location offered in advance by the operator)		
Common Carriage (holding out to transport persons or property for compensation or hire): • Interstate, • Foreign, • Overseas, or • Carriage of mail.	• Turbojets. • Multiengine airplanes with 10 or more passenger seats, OR more than a 7,500 lb payload capacity. • Within or between the 48 contiguous U.S. states, entirely within a state, territory, or possession, or special authorizations.	121	Domestic
	• Turbojets. • Multiengine airplanes with 10 or more passenger seats, OR more than a 7,500 lb payload capacity. • Entirely outside U.S., takeoff or landing outside the 48 contiguous states, or between Alaska, Hawaii, and U.S. territories.	121	Flag
	Airplanes, other than turbojet-powered airplanes, with nine or fewer passenger seats, excluding each crewmember seat, AND a 7,500 lb or less payload capacity, or any rotorcraft used in any scheduled operation with a frequency of operations of at least five round trips per week on at least one route between two or more points according to the published flight schedules.	135	Commuter
	Airplanes, other than turbojets, with nine or fewer passenger seats	135	On-demand

TYPE OF CERTIFICATE	SEATING CAPACITY PAYLOAD CAPACITY	14 CFR OPERATING PART	KIND OF OPERATION
	AND a 7,500 lb or less payload capacity, or any rotorcraft used in scheduled passenger-carrying operations with a frequency less than five round trips per week on at least one route between two or more points according to the published flight schedules.		
AIR CARRIER CERTIFICATE (continued)	Nonscheduled operations (negotiated departure time, departure location, and arrival location; or all-cargo or 14 CFR part 380 public charter)		
	Passenger operations with multiengine airplanes with more than 30 passenger seats OR more than a 7,500 lb payload capacity. NOTE: A multiengine airplane with 10 to 30 seats or a turbojet listed in OpSpecs for part 121 domestic or flag operations must be operated under part 121 supplemental for on-demand operations.	121	Supplemental
	Passenger operations with airplanes with 30 or fewer passenger seats AND a 7,500 lb or less payload capacity, or any rotorcraft. NOTE: A multiengine airplane with 10 to 30 seats or a turbojet that is listed in OpSpecs for part 121 domestic or flag operations cannot be operated under part 135 on-demand rules, but that specific airplane must be operated under part 121 supplemental rules for nonscheduled operations.	135	On-demand

TYPE OF CERTIFICATE	**SEATING CAPACITY PAYLOAD CAPACITY**	**14 CFR OPERATING PART**	**KIND OF OPERATION**
	All-cargo operations with airplanes having a payload capacity of more than 7,500 lb.	121	Supplemental
	All-cargo operations with airplanes having a payload capacity of 7,500 lb or less, or with rotorcraft.	135	On-demand
OPERATING CERTIFICATE	Scheduled operations (common carriage passenger operation, departure, location, and time and arrival location offered in advance by the operator)		
Common Carriage in intrastate operations (publicly offering to transport persons or property for compensation or hire).	• Turbojets. • Multiengine airplanes with 10 or more passenger seats, OR more than a 7,500 lb payload capacity. • Within or between the 48 contiguous U.S. states, entirely within a state, territory, possession, or special authorizations.	121	Domestic
	Airplanes with nine or fewer passenger seats AND a 7,500 lb or less payload capacity, or any rotorcraft.	135	Commuter
	Nonscheduled operations (negotiated departure time, departure location, and arrival location; or all-cargo or part 380 public charter)		
	Multiengine airplanes with more than 30 passenger seats OR more than a 7,500 lb payload capacity. NOTE: A multiengine airplane with 10 to 30 seats or a turbojet listed in OpSpecs for part 121 domestic or flag operations must be operated under part 121 supplemental for on-demand operations.	121	Supplemental
	Airplanes with 30 or fewer passenger seats AND a 7,500 lb or less payload capacity, or any rotorcraft.	135	On-demand

TYPE OF CERTIFICATE	SEATING CAPACITY PAYLOAD CAPACITY	14 CFR OPERATING PART	KIND OF OPERATION
	NOTE: A multiengine airplane with 10 to 30 seats or a turbojet that is listed in OpSpecs for part 121 domestic or flag operations cannot be operated under part 135 on-demand rules, but that specific airplane must be operated under part 121 supplemental rules for nonscheduled operations.		
OPERATING CERTIFICATE (continued) Operations not involving common carriage (non-common carriage or private carriage; see part 119 definition).	Airplanes with 20 or more passenger seats and a 6,000 lb or more payload capacity.	125	N/A
	Airplanes with less than 20 seats and less than a 6,000 lb payload capacity and any rotorcraft.	135	On-demand

Table 2-5. Actions to Obtain DOT Authority

FAA Type of Operation	FAA Operating Rule	DOT Type of Operation and Required Authority	Operator Responsibility	DOT Responsibility
Airplanes with more than nine seats or more than a 7,500 lb payload in scheduled passenger operations.	Title 14 CFR part 121 domestic or flag.	Title 49 U.S.C. § 41102 Certificate. • Airplanes with more than 60 seats or an 18,000 lb payload. • Section 41102 Certificate or Commuter Air Carrier Authorization (with 14 CFR part 298 Exemption). • Airplanes with 60 seats or less and an 18,000 lb payload or less.	Section 41102 or Commuter Authorization. • Apply for fitness determination. • Submit requested info and proof of insurance. • Register with DOT (for commuter only; OST Form 4507).	Section 41102 or Commuter Authorization. • Post application to docket for public viewing. • Conduct fitness determination. • Issue a show cause order inviting comments on why operation should not be authorized. • Issue final order with a § 41102 Certificate or Commuter Authorization (the effectiveness of which is conditioned upon receipt of appropriate FAA authority). • Issue registration (for commuter only).
Airplanes with more than 30 seats or a	Part 121 supplemental.	Section 41102 Certificate.	Section 41102 Certificate.	Section 41102 Certificate.

FAA Type of Operation	FAA Operating Rule	DOT Type of Operation and Required Authority	Operator Responsibility	DOT Responsibility
7,500 lb payload (nonscheduled or all-cargo).		• Airplanes with more than 60 seats or an 18,000 lb payload. • Section 41102 or part 298 Exemption/ Registration. • Airplanes with 60 seats or less or an 18,000 lb payload or less.	• Apply for fitness determination. • Submit requested info & proof of insurance. • Part 298 Exemption. • Register with the Technical Programs Branch (OST Form 4507) & show proof of insurance (OST Form 6410).	• Post application to docket for public viewing. • Conduct fitness determination. • Issue a Show Cause Order, inviting comments on why operation should not be authorized. • Issue Final Order with § 41102 Certificate (the effectiveness of which is conditioned upon receipt of appropriate FAA authority). • Part 298 Exemption. • Issue registration.
NOTE: DOT certificates or registrations are written evidence of official economic authority issued by the DOT.				
Airplanes with nine seats or fewer or a 7,500 lb payload or less or rotorcraft in scheduled passenger	Part 135 commuter.	Section 41102 Certificate or Commuter Air Carrier Authorization (with part 298 Exemption for Operations). • Airplanes with 60 seats or fewer and	Section 41102 or Commuter Authorization. • Apply for fitness determination. • Submit requested info	Section 41102 or Commuter Authorization. • Post application to docket for public viewing.

FAA Type of Operation	FAA Operating Rule	DOT Type of Operation and Required Authority	Operator Responsibility	DOT Responsibility
operations (five or more round trips a week in at least one market).		an 18,000 lb payload or less.	and proof of insurance. • Register with DOT (for commuter only; OST Form 4507).	• Conduct fitness determination. • Issue a Show Cause Order, inviting comments on why operation should not be authorized. • Issue Final Order with § 41102 Certificate or Commuter Authorization (the effectiveness of which is conditioned upon receipt of appropriate FAA authority). • Issue registration (for commuter only).
Airplanes with 30 seats or fewer and a 7,500 lb payload or less or rotorcraft in on-demand passenger and/or cargo operations.	Part 135 on-demand.	Part 298 Exemption for Nonscheduled Operations. • Airplanes with 60 seats or fewer and an 18,000 lb payload or less.	Part 298 Exemption. • Register with the Technical Programs Branch (OST Form 4507) and show proof of insurance (OST Form 6410).	Part 298 Exemption. • Issue registration.

2-131 PREREQUISITES AND COORDINATION REQUIREMENTS.

A. Prerequisites. This task requires knowledge of the task background and qualification as an aviation safety inspector (ASI) or an aviation safety technician (AST).

B. Coordination. This task requires coordination with the Aviation Data Systems Branch.

2-132 REFERENCES, FORMS, AND JOB AIDS.

A. References. Appropriate certification chapters.

B. Forms. FAA Form 8400-6, Preapplication Statement of Intent.

C. Job Aids. None.

2-133 OBTAINING PRECERTIFICATION/DESIGNATOR NUMBERS AND FINAL NUMBERS.

A. General. Upon receipt of a Preapplication Statement of Intent (PASI) (FAA Form 8400-6), a Flight Standards office will be assigned responsibility for the certification project. The appropriate certification office will then contact the Aviation Data Systems Branch via email at 9-AMC-AFS620-Certinfo@faa.gov, stating "the purpose of the contact is to request a precertification/designator number" and provide the following information:

- Full official name of the company.
- The location address of the proposed principal base of operations or location where the business will be conducted.
- Names of proposed management personnel (last, first, and middle initial).
- Proposed type of certificate (Air Carrier Certificate, Operating Certificate, or Air Agency Certificate) and applicable 14 CFR (part 121, 125, 135, 142, 145, 147, or 91K management specification (MSpec)).
- Proposed startup date.
- Identification of any current or previous certificate held by the applicant.
- The designator of the responsible Flight Standards office assigned responsibility.

B. Assignment of Designator Element. The Aviation Data Systems Branch will provide the division staff specialist with a precertification/designator number. The alpha suffix of the precertification/identification number will always be the letter "P." The division staff specialist will complete Section III of the PASI and return or forward it to the appropriate Flight Standards District Office (FSDO), if applicable.

C. Release of Precertification/Identification Number. If the certification process is terminated before completion, terminate the task in the enhanced Vital Information Database (eVID).

D. Finalization of Certificate/Designator Number. When a responsible Flight Standards office is ready to prepare the certificate and OpSpecs for issuance to an operator about

to be certificated, the responsible inspector will coordinate with the Aviation Data Systems Branch to obtain a final certificate/designator number. The responsible inspector shall state that "the purpose of the contact is to obtain a final certificate/designator number" and provide the Aviation Data Systems Branch with the precertification/identification number. That branch will finalize the alpha suffix and provide the complete final certificate/designator number to the responsible Flight Standards office inspector. The responsible inspector must confirm that there has been no change in the type of certificate or type of operation from the time the precertification/identification number was issued to the time the certificate/designator is to be issued. The type element code must be consistent with the type certificate/designator to be issued and the appropriate operating regulation. If a change has occurred, the Aviation Data Systems Branch must be advised so that the branch can change its records and issue a corrected certificate/designator number.

NOTE: For information regarding identification numbers for fractional ownership programs under part 91K, see Volume 2, Chapter 5.

RESERVED. Paragraphs 2-134 through 2-150.

VOLUME 3 GENERAL TECHNICAL ADMINISTRATION

CHAPTER 19 TRAINING PROGRAMS AND AIRMAN QUALIFICATIONS

Section 7 Safety Assurance System: Flightcrew Qualification Curriculum Segments

Source Basis:

- **Section 61.51, Pilot Logbooks.**
- **Section 61.157, Flight Proficiency.**
- **Section 61.159, Aeronautical Experience: Airplane Category Rating.**
- **Section 61.160, Aeronautical Experience—Airplane Category Restricted Privileges.**
- **Section 121.400, Applicability and Terms Used.**
- **Section 121.401, Training Program: General.**
- **Section 121.403, Training Program: Curriculum.**
- **Section 121.407, Training Program: Approval of Airplane Simulators and Other Training Devices.**
- **Section 121.409, Training Courses Using Airplane Simulators and Other Training Devices.**
- **Section 121.415, Crewmember and Dispatcher Training Program Requirements.**
- **Section 121.418, Differences Training and Related Aircraft Differences Training.**
- **Section 121.425, Flight Engineers: Initial and Transition Flight Training.**
- **Section 121.431, Applicability.**
- **Section 121.433, Training Required.**
- **Section 121.434, Operating Experience, Operating Cycles, and Consolidation of Knowledge and Skills.**
- **Section 121.436, Pilot Qualification: Certificates and Experience Requirements.**
- **Section 121.440, Line Checks.**
- **Section 121.441, Proficiency Checks.**
- **Section 121.445, Pilot in Command Airport Qualification: Special Areas and Airports.**
- **Section 121.453, Flight Engineer Qualifications.**
- **Appendix F to Part 121, Proficiency Check Requirements.**
- **Appendix H to Part 121, Advanced Simulation.**
- **Section 135.243, Pilot in Command Qualifications.**
- **Section 135.244, Operating Experience.**
- **Section 135.245, Second in Command Qualifications.**
- **Section 135.291, Applicability.**
- **Section 135.293, Initial and Recurrent Pilot Testing Requirements.**
- **Section 135.297, Pilot in Command: Instrument Proficiency Check Requirements.**
- **Section 135.299, Pilot in Command: Line Checks: Routes and Airports.**
- **Section 135.301, Crewmember: Tests and Checks, Grace Provisions, Training to Accepted Standards.**
- **Section 135.321, Applicability and Terms Used.**
- **Section 135.323, Training Program: General.**
- **Section 135.327, Training Program: Curriculum.**

- **Section 135.329, Crewmember Training Requirements.**
- **Section 135.335, Approval of Aircraft Simulators and Other Training Devices.**
- **Section 135.341, Pilot and Flight Attendant Crewmember Training Programs.**

3-1271 GENERAL. This section contains direction and guidance concerning qualification curriculum segments and qualification modules. A qualification curriculum segment is the final segment of each of the six categories of training defined in Volume 3, Chapter 19, Section 1. A qualification curriculum segment is composed of the testing, checking, and experience modules that a flightcrew member must successfully complete after formal training and before being qualified to serve unsupervised as a required flightcrew member in Title 14 of the Code of Federal Regulations (14 CFR) part 121 or 135 operations. This section is related to Safety Assurance System (SAS) Element 2.1.5 (OP) Appropriate Airmen/Crewmember Checks and Qualifications.

A. Primary Objectives. A qualification curriculum segment has the following primary objectives:

- To ensure that each flightcrew member has reached an acceptable level of proficiency in all assigned duties before being released from training and supervision; and
- To provide a means for measuring the effectiveness of the training program, and for identifying and correcting training deficiencies.

B. Guidance Application. The guidance in this section applies to the development and approval of qualification curriculum segments for both parts 121 and 135 training curricula. In general, equivalent qualification modules are required by both of these regulatory parts. Differences do exist, however, between parts 121 and 135 curriculum segments in both terminology and details. When the guidance in this section applies specifically to one flightcrew member duty position or regulatory part, the duty position or regulatory part will be specified.

3-1272 TYPES OF QUALIFICATION MODULES. Qualification curriculum segments are composed of qualification modules. Qualification modules are generally divided into testing, checking, and experience modules.

A. Definitions. Definitions of terms are located in Volume 3, Chapter 19, Section 1, Scope, Concepts, and Definitions.

B. Experience Modules. Title 14 CFR requires that experience modules be completed before a flightcrew member performs unsupervised and without restriction in revenue service. Other experience modules are required for special authorizations. One or more of the following experience modules may be required in a qualification curriculum segment:

- Line-Oriented Flight Training (LOFT) (part 121 appendix H),
- Operating Experience (OE) and operating cycles (part 121, § 121.434 or part 135, § 135.244),
- Line operating flight time for consolidation of knowledge and skills (§ 121.434),

- Pilot-in-command (PIC) experience (required to use standard landing minimums), and/or
- Special operations experience (such as Class II long-range navigation).

3-1273 FORMAT OF QUALIFICATION CURRICULUM SEGMENTS. The content of a qualification curriculum segment for part 121 operations is almost entirely controlled by regulation. A part 121 operator may, however, use more than one means of accomplishing these requirements. For example, an operator could conduct checks for most categories of training in a level C full flight simulator (FFS). In such a case, the operator would be required to conduct a LOFT module after the completion of the basic checking module. An operator that uses a level A FFS would be required to conduct the basic checking module in the FFS and a second module in the airplane. The requirements of a part 135 competency check are not specified in 14 CFR, but are left to the discretion of the Administrator and the check pilot conducting the check. To ensure that a clear understanding exists between the operator and the Federal Aviation Administration (FAA), the Principal Operations Inspector (POI) should require that the operator list each element or event in a qualification module along with the flight simulation training device (FSTD) or aircraft to be used. The operator's format may be either a simple outline, a table such as those contained in Table 3-70, Part 135 Checking Modules—Airplanes, and Table 3-71, Part 135 Checking Modules—Helicopters, or any other format that the POI finds clearly establishes the methods to be used and elements and events to be checked.

3-1274 PART 121 REQUIRED CERTIFICATES AND RATINGS (§ 121.436). All flightcrew members must hold specific certificates and ratings before performing duties in part 121 revenue service. If a flightcrew member does not hold the required certificates and/or ratings, they must be obtained when the flightcrew member completes the qualification curriculum segment.

A. PIC. A PIC in part 121 operations must hold the following:

- Airline Transport Pilot (ATP) Certificate,
- Appropriate aircraft type rating, and
- First-class medical certificate.

B. Second in Command (SIC).

1) An SIC in part 121 domestic operations must hold the following:

- An ATP Certificate (or an ATP Certificate with restricted privileges),
- Appropriate aircraft type rating, and
- At least a second-class medical certificate.

2) An SIC in part 121 flag or supplemental operations requiring only two pilots must hold the following:

- An ATP Certificate (or an ATP Certificate with restricted privileges),
- Appropriate aircraft type rating, and
- At least a second-class medical certificate.

3) An SIC in part 121 flag or supplemental operations requiring three or more pilots must hold the following:

- An ATP Certificate (In this scenario, a pilot must hold an ATP Certificate issued per the requirements of 14 CFR part 61, § 61.159. An ATP Certificate issued per the reduced flight hours in § 61.160 is not sufficient.);
- Appropriate aircraft type rating; and
- A first-class medical certificate.

C. Flight Engineer (FE). An FE must hold the following:

- FE Certificate,
- Applicable class rating, and
- At least a second-class medical certificate.

3-1275 PART 135 REQUIRED CERTIFICATES AND RATINGS (§ 135.243). All pilots must hold specific certificates and ratings before performing duties in part 135 revenue service.

A. Pilot Certification Requirements—Airplanes. Pilot certification requirements for part 135 airplane operations depend on the kind of operation being conducted and the type of airplane used.

1) PICs conducting passenger-carrying operations in a turbojet airplane or any airplane having 10 or more passenger seats (excluding any crewmember seat), or any commuter flight in a multiengine airplane regardless of the number of passenger seats must hold the following:

a) ATP Certificate.

b) Airplane category rating.

c) Class rating (as appropriate):

- Airplane Single-Engine Land (ASEL),
- Airplane Multiengine Land (AMEL),
- Airplane Single-Engine Sea (ASES), or
- Airplane Multiengine Sea (AMES).

d) Type rating (as appropriate).

e) First-class medical certificate.

2) PICs conducting part 135 flight operations in airplanes other than those described in subparagraph 3-1275A1) must hold the following:

a) ATP Certificate or Commercial Pilot Certificate with instrument–airplane rating.

b) Airplane category rating.

c) Class rating (as appropriate):

- ASEL,
- AMEL,
- ASES, or
- AMES.

d) At least a second-class medical certificate.

3) SICs conducting any part 135 airplane operations must hold the following:

a) ATP Certificate or Commercial Pilot Certificate with instrument–airplane rating.

b) Airplane category rating.

c) Class rating (as appropriate):

- ASEL,
- AMEL,
- ASES, or
- AMES.

d) At least a second-class medical certificate.

NOTE: Certain pilots conducting part 135 visual flight rules (VFR)-only operations with single-engine reciprocating-powered airplanes in isolated areas, not a commuter operation, and not transporting contract mail, may be relieved of the requirement to hold an instrument rating in accordance with § 135.243(d) and authorized by operations specification (OpSpec) A020.

B. Pilot Certification Requirements—Helicopters. The pilot certification requirements for pilots conducting part 135 helicopter operations are as follows:

1) All PICs and SICs must hold at least the following:

- Commercial Pilot Certificate or ATP Certificate, as appropriate;
- Rotorcraft category rating;
- Helicopter class rating; and
- At least a second-class medical certificate.

2) All PICs must hold a type rating, if a type rating is required.

3) PICs conducting part 135 instrument flight rules (IFR) or VFR over-the-top operations in helicopters must hold a helicopter instrument rating or an ATP Certificate that is not limited to VFR.

3-1276 PART 121 MINIMUM PIC FLIGHT EXPERIENCE REQUIREMENTS (§ 121.436). A PIC in part 121 operations must have a minimum of 1,000 flight hours in air carrier operations as an SIC in part 121 operations, a PIC in operations under either § 135.243(a)(1) or 14 CFR part 91, § 91.1053(a)(2)(i), or any combination of these. In addition, military PIC time (up to 500 hours) in a multiengine turbine-powered, fixed-wing airplane in an operation requiring more than one pilot may also be credited towards the 1,000 hours.

3-1277 PART 135 MINIMUM PIC FLIGHT EXPERIENCE REQUIREMENTS. Section 135.243(b) and (c) require that a PIC who does not hold an ATP Certificate and who conducts operations that do not require an ATP Certificate must have acquired a minimum number of flight hours before serving as a PIC.

A. VFR Requirements. Before serving as a PIC in a VFR operation, the pilot must have accumulated at least the following flight hour experience:

- 500 total pilot flight hours,
- 100 cross-country flight hours, and
- 25 night, cross-country flight hours.

B. IFR Requirements. Before serving as a PIC in an IFR operation, the pilot must have accumulated at least the following flight hour experience:

- 1,200 total pilot flight hours,
- 500 cross-country flight hours,
- 100 night flight hours, and
- 75 actual or simulated instrument flight hours, 50 of which must have been in actual flight.

NOTE: See Volume 5, Chapter 3 for guidance concerning the crediting of flight time in airplanes and helicopters to meet these requirements.

3-1278 THE BASIC CHECKING MODULE. The basic checking modules for both parts 121 and 135 are composed of two parts: one part consists of the written or oral test elements, and the other part consists of the flight check events. Although they are distinct and separate parts, when combined, they make up a single checking module.

A. Basic Checking Module Content. The subject areas that must be addressed in the written or oral test for the part 121 basic checking module are described in part 121 appendix F. The subject areas that must be addressed in the written or oral test for the part 135 basic checking module are described in § 135.293(a) and, for those PICs conducting IFR operations, in § 135.297(c). These regulations require a written or oral test element as a distinct part of the basic checking module. The basic checking modules required for parts 121 and 135 are further discussed in paragraphs 3-1279 and 3-1280, respectively.

B. Performance Standards. In parts 121 and 135 operations, a higher standard of proficiency may be required than that required for initial pilot certification. The standard required for basic checks is at least that required for obtaining the certificate which must be held

to act as a PIC. For example, an SIC holding a commercial certificate with an instrument rating who is making an instrument landing system (ILS) approach in a G-V must perform to the same standard of proficiency as the PIC seated in the left seat who holds an ATP Certificate and a G-V type rating. POIs should bring the following guidance in Volume 5 pertaining to proficiency and competency checks (Table 3-69, Guidance Pertaining to Proficiency and Competency Checks) to the operator's and check pilot's attention.

Table 3-69. Guidance Pertaining to Proficiency and Competency Checks

Section	Paragraph
Volume 5, Chapter 1, Section 1	Subparagraphs 5-7B–D and Paragraph 5-8
Volume 5, Chapter 1, Section 3	Subparagraphs 5-57A–E and Subparagraphs 5-58A–H
Volume 5, Chapter 3, Section 2	Subparagraphs 5-827A–D
Volume 5, Chapter 3, Section 3	Subparagraphs 5-858C–H and Paragraphs 5–859 through 5-862
Volume 5, Chapter 3, Section 4	Paragraphs 5-886 through 5-892
Volume 5, Chapter 3, Section 5	Paragraphs 5-907 through 5-916
Volume 5, Chapter 3, Section 6	Paragraphs 5-937 and 5-939 through 5-944

C. Use of FSTDs. An operator may take maximum advantage of FSTDs in designing qualification curriculum segments. For example, an operator may evaluate a PIC and an SIC simultaneously on many normal, non-normal, and emergency procedures when an FFS is used. POIs should encourage operators to design qualification modules accordingly.

D. LOFT. A LOFT module is considered to be part of the qualification curriculum segment, but it is a training event, not a checking event. A pilot who qualifies for a certificate or rating in a level C or D FFS is issued the certificate or rating immediately after satisfactorily completing the basic check. The pilot is not qualified to either exercise the privileges of the certificate or rating or enter revenue service until the pilot has successfully completed the LOFT module.

3-1279 PART 121 BASIC CHECKING MODULE. The basic checking module required in part 121 is referred to as a proficiency check for pilots and a flight check for FEs. Unless the Air Transportation Division has authorized a deviation in accordance with § 121.441(f), a proficiency check for pilots consists of the written or oral elements and the flight events specified in part 121 appendix F. Figure 3-80, Pilot Proficiency Check (Part 121), summarizes the elements and events that make up a proficiency check. A proficiency check qualifies pilots for both VFR and IFR Class I navigation and instrument approaches to standard minimums (Category (CAT) I Approach, if approved for the operator). Operations such as CAT II Approach or CAT III Approach require additional checking modules. For an FE, the flight check consists of the flight events summarized in Figure 3-81, Flight Engineer Flight Check (Part 121). Although part 121 does not specifically require a written or oral test element as part of the FE

flight check, it is an FAA safety policy that a written or oral test be part of the FE flight check. POIs must ensure the test is included as an element of the basic checking module.

Figure 3-80. Pilot Proficiency Check (Part 121)

ORAL OR WRITTEN EQUIPMENT EXAM.....Both

GROUND OPERATIONS

- Preflight inspection .....Both
- Taxiing/runway operations .....Both[1]
- Powerplant checks .....Both
- Pretakeoff procedures .....Both[2]

TAKEOFFS

- Normal .....Both
- Instrument .....Both
- Crosswind .....Both[3]
- With powerplant failure .....Both
- Rejected takeoff .....Both*[4]

INSTRUMENT PROCEDURES

- Area departure.....Both*
- Area arrival .....Both*
- Holding .....Both*
- Normal ILS approach.....Both
- Manually Controlled Engine-out ILS .....Both
- Coupled ILS approach .....Both[4]
- Nonprecision approach .....Both
- Second nonprecision approach .....Both
- EFVS approach .....Both[5]
- Missed approach from an ILS.....Both
- Second missed approach.....PIC
- Circling approach.....Both*[6]

IN-FLIGHT MANEUVERS

- Steep turns.....PIC*
- Specific flight characteristics.....Both
- Stall prevention (approaches to stalls).....Both*
- Powerplant failure.....Both

LANDINGS

- Two-engine inoperative landing .....Both
(three- and four-engine aircraft)
- Normal landing .....Both
- Landing from an ILS.....Both
- Crosswind landing .....Both[7]
- Landing with engine out .....Both
- Landing from circling approach.....Both*[6]
- Rejected landing.....Both
- EFVS landing.....Both[8]

NORMAL, ABNORMAL, NON-NORMAL, and EMERGENCY PROCEDURES

- At check pilot's discretion .....Both*[9,10]

NOTES:

"Both": The term "both" applies to pilots in command (PIC) and seconds in command (SIC).

* May be waived under certain conditions. (See Volume 5, Chapter 3, Section 2.)

1 Beginning March 12, 2019, the taxiing maneuver must include (1) use of airport diagram (surface movement chart); (2) obtaining appropriate clearance before crossing or entering active runways; and (3) observation of all surface movement guidance control markings and lighting.

2 Beginning March 12, 2019, pretakeoff procedures must include (1) receipt of takeoff clearance and confirmation of aircraft location; and (2) Flight Management System (FMS) entry, if appropriate, for the departure runway prior to crossing hold-short line for takeoff.

3 Beginning March 12, 2019, crosswind takeoffs must include crosswind takeoffs with gusts. For training conducted in an airplane in flight, crosswind takeoffs with gusts are only required if practicable under the existing meteorological, airport, and traffic conditions.

4 PIC and SIC may both simultaneously take credit for this event.

5 For each type of enhanced flight vision system (EFVS) operation the certificate holder is authorized to conduct, at least one instrument approach must be made using an EFVS. Therefore, if the certificate holder is authorized to conduct operations under both 14 CFR part 91, § 91.176(a) EFVS operations to touchdown and rollout and § 91.176(b) EFVS operations to 100 feet above the touchdown zone elevation (TDZE), two instrument approaches must be made using an EFVS in each condition.

6 When the operator is authorized by OpSpec C075 to conduct circling approaches. (This is not required for SICs if the operator's manual prohibits SICs from making this approach.)

7 Beginning March 12, 2019, crosswind landings must include crosswind landings with gusts. For training conducted in an airplane in flight, crosswind landings with gusts are only required if practicable under the existing meteorological, airport, and traffic conditions.

8 If the certificate holder is authorized to conduct EFVS operations to touchdown and rollout, at least one instrument approach to a landing must be made using an EFVS, including the use of enhanced flight vision from 100 feet above the TDZE to touchdown and rollout. If the certificate holder is authorized to conduct EFVS operations to 100 feet above the TDZE, at least one instrument approach to a landing must be made using an EFVS, including the transition from enhanced flight vision to natural vision at 100 feet above the TDZE.

9 See guidance contained in Volume 5, Chapter 3, Section 2.

10 The check pilot is authorized to evaluate any event required for the ATP Certificate. (See Volume 5, Chapter 3, Section 2.)

Figure 3-81. Flight Engineer Flight Check (Part 121)

NORMAL PROCEDURES

- Oral or written examination;
- Exterior preflight;
- Interior preflight;
- Panel setup;
- Fuel load;
- Engine start procedures;
- Taxi and before-takeoff procedures;
- Takeoff and climb;
- Pressurization;
- Cruise and fuel management;
- Descent and approach;
- After landing and securing;
- Crew coordination;
- Situational awareness, traffic scan, etc.;
- Performance computations; and
- Anti-ice, deice.

NON-NORMAL AND EMERGENCY PROCEDURES

Sample as many non-normal and emergency procedures as needed to evaluate performance:

- Troubleshooting;
- Knowledge of checklist;
- Ability to perform procedures;
- Crew coordination; and
- Minimum equipment list (MEL) and Configuration Deviation List (CDL).

3-1280 PART 135 BASIC CHECKING MODULE. The flight test required to qualify a pilot for revenue service is termed a basic checking module when listed in a curriculum outline. Operators must design the basic checking module of a part 135 curriculum to satisfy the requirements of § 135.293. In addition, operators must satisfy the requirements of § 135.297 for PICs conducting IFR operations. Those operators whose PICs are authorized to use an autopilot in lieu of an SIC in IFR operations must include a demonstration of these skills in the basic checking module. This paragraph contains guidance POIs will use to review and approve basic checking modules and to conduct these checks.

A. Section 135.293(a) Requirements. All pilots who are qualifying in an aircraft type are required by § 135.293(a) to satisfactorily complete a written or oral test before entering revenue service and annually thereafter. The test must evaluate the pilot's knowledge in the following areas:

1) The appropriate provisions of parts 61, 91, and 135 and the OpSpecs and manual of the air carrier/operator.

2) For each type of aircraft to be flown by the pilot, the aircraft powerplant, major components and systems, major appliances, performance and operating limitations, standard and emergency operating procedures, and the contents of the approved Airplane Flight Manual (AFM) or Rotorcraft Flight Manual (RFM), as applicable.

3) For each type of aircraft to be flown by the pilot, the method of determining compliance with Weight and Balance (W&B) limitations for takeoff, landing, and en route operations.

4) Navigation and use of air navigation aids appropriate to the operation or pilot authorization, including, when applicable, instrument approach facilities and procedures.

5) Air traffic control (ATC) procedures, including IFR procedures when applicable.

6) Meteorology in general, including the principles of frontal systems, icing, fog, thunderstorms, and wind shear, and, if appropriate for the operation of the air carrier/operator, high-altitude weather.

7) Procedures for:

- Recognizing and avoiding severe weather situations;
- Escaping from severe weather situations, in case of inadvertent encounters, including low-altitude wind shear (except that rotorcraft pilots are not required to be tested on escaping from low-altitude wind shear); and
- Operating in or near thunderstorms (including best penetrating altitudes), turbulent air (including clear air turbulence), icing, hail, and other potentially hazardous meteorological conditions.

8) New equipment, procedures, or techniques, as appropriate.

9) For rotorcraft pilots, procedures for aircraft handling in flat-light, whiteout, and brownout conditions, including methods for recognizing and avoiding those conditions.

B. Section 135.293(b) Requirements. All pilots who are qualifying in an aircraft type are required by § 135.293(b) to satisfactorily complete a competency check in that type of aircraft before entering revenue service and annually thereafter.

1) For the purposes of the flight competency check required by § 135.293(b), type, as to an airplane, means any one of a group of airplanes determined by the FAA to have a similar means of propulsion, the same manufacturer, and no significantly different handling or flight characteristics. (See Volume 3, Chapter 19, Section 1, paragraph 3-1073, Aircraft Families, for lists of the specific makes and models (M/M) in each aircraft family that the FAA has determined belong to the same group.)

2) Except as specified below, § 135.293(b) does not specify the maneuvers (events) that must be accomplished on a competency check. The rule authorizes the Administrator or check pilot to make this determination. To ensure standardization and an adequate level of

safety, the minimum acceptable content of competency checks for a part 135 curriculum is established by this paragraph and is listed in Tables 3-70 and 3-71.

a) Section 135.293(c) requires each rotorcraft competency check to include a demonstration of the pilot's ability to maneuver the rotorcraft solely by reference to instruments. The check must determine the pilot's ability to safely maneuver the rotorcraft into visual meteorological conditions (VMC) following an encounter with inadvertent instrument meteorological conditions (IIMC). For competency checks in non-IFR-certified rotorcraft, the pilot must perform such maneuvers as are appropriate to the rotorcraft's installed equipment, the certificate holder's OpSpecs, and the operating environment. See Table 3-71 for more information.

NOTE: If a part 135 helicopter air carrier/operator's OpSpec A003 only authorizes day VFR operations for a specific M/M helicopter that is not equipped with attitude reference instrumentation, the requirement for recovery from IIMC may not be applicable. However, if an air carrier/operator operates multiple variations of the same M/M helicopter, some with attitude reference instrumentation and some without attitude reference instrumentation, pilots must be checked in the variation in which they will serve. For example, if a pilot will only serve in the variation without attitude reference instrumentation, the requirement for recovery from IIMC is not applicable. However, if a pilot will serve in both variations, then the requirement for recovery from IIMC must be completed in the variation with attitude reference instrumentation.

b) Section 135.293(i) requires each competency check to include tasks appropriate to the enhanced flight vision system (EFVS) operations the part 135 air carrier/operator is authorized to conduct. Therefore, the competency check must include EFVS operations to touchdown and rollout if the air carrier/operator is authorized to conduct operations under § 91.176(a) in the aircraft type. The competency check must include EFVS operations to 100 feet above the touchdown zone elevation (TDZE) if the air carrier/operator is authorized to conduct operations under § 91.176(b) in the aircraft type.

3) Because operators may be authorized to conduct VFR-only operations or a combination of VFR and IFR operations, separate requirements have been established for VFR-only competency checks and for combined VFR and IFR operations competency checks. These requirements are indicated in columns marked "VFR COMP" and "IFR COMP" in each table.

a) As a matter of national safety policy, some demonstration of competency of the pilot's ability to maneuver the aircraft solely by reference to instruments will be included on each airplane competency check. For VFR competency checks, this demonstration will be appropriate to the aircraft's installed equipment and the operating environment. (See Note 4 to Table 3-70.)

b) In accordance with § 135.293(b), competency checks must be completed in each type of aircraft, which for helicopters means each basic M/M. Therefore, night vision enhancement device (NVED)/night vision goggle (NVG) competency must be evaluated in each

basic M/M of helicopter in which a pilot will serve and use NVG. Specific NVG models may only be used in accordance with aircraft Supplemental Type Certificates (STC). Competency checks are not NVG model-specific. Therefore, a satisfactory demonstration of the use of one model of NVG is all that is required, regardless of the number of models of NVGs the operator uses; it may be used in several different types of appropriately NVG-modified aircraft. Once an initial § 135.293 check and NVG competency has been completed in the basic M/M of helicopter, a flightcrew member is only required to demonstrate annual NVED/NVG competency in one M/M of helicopter. However, it is recommended that the NVED/NVG recurrent competency be alternated between helicopter M/Ms to ensure an adequate level of competency in each M/M.

C. Section 135.297 Requirements. Section 135.297 requires that PICs complete an instrument proficiency check (IPC) prior to conducting IFR revenue operations. Thereafter, the PIC must have completed an IPC within the preceding 6 months to continue IFR revenue operations. The requirements of § 135.297 are not aircraft-specific; that is, a single check fulfilling the requirements of § 135.297 is sufficient to qualify a PIC to conduct IFR operations in all types of aircraft in which the PIC is qualified, according to § 135.293. Section 135.293(d) specifies that the check conducted to satisfy § 135.297 simultaneously satisfies the requirements of § 135.293 for the type of aircraft in which the check is accomplished.

NOTE: The oral or written test requirements of § 135.293(a) must be completed.

1) Operations Requiring an ATP Certificate. Section 135.297(c)(1) requires that for operations requiring an ATP Certificate, the IPC must consist of the maneuvers required for original issuance of that certificate and any applicable type rating.

2) Operations Requiring Commercial Certificates. Section 135.297(c)(1) also requires that for operations requiring a commercial certificate and an instrument rating, the IPC must consist of the maneuvers required for the original issuance of a commercial certificate, an instrument rating, and any applicable type rating.

D. Basic Checking Modules for § 135.293 VFR Competency Check.

1) The minimum events for a § 135.293 VFR competency check are listed in the columns marked “VFR COMP” in Table 3-70 for airplanes and in Table 3-71 for helicopters.

2) The minimum events for a § 135.293 VFR competency check utilizing NVG are listed in the columns marked “NVG COMP” in Table 3-70 for airplanes and in Table 3-71 for helicopters.

E. Basic Checking Modules for § 135.293 IFR Competency Check. The minimum events for a § 135.293 IFR competency check are listed in the columns marked “IFR COMP” in Table 3-70 for airplanes and in Table 3-71 for helicopters.

1) PIC Requirements. PICs being trained in initial equipment and transition curriculum for IFR operations have normally completed the requirements of § 135.297 within the preceding 6 months. If this is the case, the qualification module for these categories of training need only satisfy the requirements of § 135.293. The columns marked “IFR COMP” in

Tables 3-70 and 3-71 reflect this assumption. When this assumption is not true, the operator must ensure that PICs meet the requirements of § 135.297.

2) Multiengine General Purpose Family. Volume 3, Chapter 19, Section 1, subparagraph 3-1073C, Multiengine General Purpose Airplane Family, lists airplanes of the multiengine general purpose family that the Administrator has determined to belong to the same group for purposes of the § 135.293(b) competency check. Table 3-70 is constructed on the assumption that pilots in the transition category are qualifying in airplanes that are not of the same group. The basic qualification module of a transition training course for airplanes of the same group consists of the oral or written test required by § 135.293(a)(2) and (a)(3).

3) Single-Engine General Purpose Family. All single-engine general purpose airplanes are considered to be a single type for the purpose of the § 135.293(b) competency check. The qualification module of the transition category of training for single-engine general purpose airplanes is the written or oral test required by § 135.293(a)(2) and (a)(3).

F. Requalification Category. The minimum events of the requalification checking module are dependent upon whether the pilot is requalifying for VFR or IFR operations and the duty position. PICs who conduct IFR operations and have completed a § 135.297 check in the past 6 months but are overdue for a check required by § 135.293 may regain qualification by completing the items listed in the columns marked "IFR COMP" in Table 3-70 for airplanes and Table 3-71 for helicopters. PICs overdue in respect to the requirements of § 135.297 must complete the items listed in the columns marked "INST PROF" in Table 3-70 for airplanes and Table 3-71 for helicopters.

G. Recurrent Category. The minimum events of the "recurrent" checking module are dependent upon whether the pilot is maintaining currency for VFR or IFR operations and the duty position. PICs who conduct IFR operations and have completed a § 135.297 check in the past 6 months must complete a § 135.293 competency check to remain current. Complete those items listed in the columns marked "IFR COMP" in Table 3-70 for airplanes and Table 3-71 for helicopters. PICs due both a competency check and an IPC must complete the items listed in the columns marked "INST PROF" in Table 3-70 for airplanes and Table 3-71 for helicopters. Section 135.297 requires PICs to complete IPCs by rotating aircraft types. When one airplane is multiengine and the other a single-engine airplane, § 135.297(f) requires that this rotation begin with the multiengine airplane.

NOTE: Section 135.301 allows pilots and operators to consider a check conducted in the month before it is due or the month after it is due to have been accomplished in the month due.

H. SIC Qualification in Aircraft Not Requiring an SIC. An air carrier/operator may assign a person as an SIC in an aircraft for which an SIC is not required by the aircraft type certificate (TC) or the applicable operating rules. However, a person assigned as an SIC must still be fully trained and qualified in accordance with part 135 subparts E, G, and H. If the person is not assigned any duties, then that person is a passenger, not an SIC. In accordance with § 135.113, a passenger may only sit in a pilot seat if the aircraft has no more than eight passenger seats (excluding any pilot seat). In an aircraft with more than eight passenger seats, a person may

only sit in a pilot seat if that person is a fully trained and qualified PIC, SIC, or check pilot, or an FAA, National Transportation Safety Board (NTSB), or U.S. Postal Service representative. (Refer to the Legal Interpretation to Bernier-Winner Aviation, November 2, 2015.) In accordance with § 61.51(f)(3), a person serving as an SIC under part 135 in an aircraft or operation in which an SIC is not required may only log SIC flight time in accordance with an authorized SIC Professional Development Program (SIC PDP). See Volume 3, Chapter 68, Section 1 for policy and direction regarding an SIC PDP.

I. Listing Module Events. To ensure that the content of the basic checking module is adequate and appropriate, the operator may choose (or the POI may require) that the minimum required events of each basic checking module be listed on the curriculum outline.

J. Recording Checks. Record the checks for those operators whose flightcrew members get all their checks from FAA inspectors (single pilot, single PIC, and basic operators) on FAA Form 8410-3, Airman Competency/Proficiency Check, or equivalent form. POIs should encourage all other operators to create specifically tailored forms to record these checks which reflect the requirements listed in the operator's curriculum outline. When multiple events, such as VFR and NVG, are demonstrated during the same flight, separate indications should be annotated on the checking form for the completion of an event and the conditions under which it was completed.

Table 3-70. Part 135 Checking Modules—Airplanes

EVENTS	VFR COMP.	IFR COMP.	INST. PROF.	NVG TASKS	NOTES
WRITTEN OR ORAL TEST					
14 CFR part 135, § 135.297			P		
§ 135.293	B	B		B	
GROUND OPERATIONS					
Preflight inspection	B[(c)]	B	P	B	1
Start procedures	B[(c)]	B	P	B	1
Taxiing/runway operations	B[(c)]	B	P	B	1
Pretakeoff checks	B[(c)]	B	P	B	1
TAKEOFF AND DEPARTURES					
Normal	B[(c)]	B	P	B[(d)]	
Crosswind	B[(c)]	B	P	B[(d)]	2
Instrument		P	P		2
With powerplant failure	B	B	P	B[(d)]	ME Only
Rejected takeoff	P[(c)]	P	P	B[(d)]	2, ME Only
Short field	P	P	P[(b)]	B[(d)]	SE Only

EVENTS	VFR COMP.	IFR COMP.	INST. PROF.	NVG TASKS	NOTES
Area departure			P[a]		
IN-FLIGHT MANEUVERS					
Steep turns	P[b]	P[b]	P[b]	B	
Stall prevention (approaches to stalls)	B[c]	P	P	B	2
Powerplant failure	P	P	P	B	
Two-engine-inoperative approach	P[c]	P	P		3 and 4 Engine Airplanes
INSTRUMENT PROCEDURES					
Area arrival			P[a]		
Holding			P[b]		
Normal ILS approach		B	P		3, 2
Engine-out ILS		P	P		2, ME Only
Coupled approach		P	P		3, 2
Nonprecision approach		B	P		6
Second nonprecision approach			P		6
Missed approach from an ILS			P		
Second missed approach			P		
Circling approach			P		7
EFVS approach		B			8
LANDINGS AND APPROACHES TO LANDINGS					
Normal	B[c]	B	P	B[d]	2
Crosswind	B[c]	B	P	B[d]	2
Landing from an ILS			P		
Landing with engine out	B	B	P	B[d]	ME Only
Circling approach			P		7
Rejected landing			P	B	
Two-engine-inoperative landing	P[c]	P	P	B[d]	3 and 4 Engine Airplanes
Short field landing	P	P	P	B[d]	SE Only

EVENTS	VFR COMP.	IFR COMP.	INST. PROF.	NVG TASKS	NOTES
No-flap approach	P(c)	P	P	B	2, 9
EFVS landing		B			8
SEA & SKI OPERATIONS (if applicable)					
Normal takeoff & landing	B	B	P		
Steep turns	P(b)	P(b)	P(b)		
Glassy & rough water	P(b)	P(b)	P(b)		
Sailing	P(b)	P(b)	P(b)		
Docking	P(b)	P(b)	P(b)		
NON-NORMAL AND EMERGENCY PROCEDURES					
System malfunction	B(c)	B	P	B	1
NVG malfunction				B	
Maneuver by partial panel	B	B	P		5
Unusual attitude recovery	B	B	P	B	
Emergency landing	B	B	P	B	SE Only
Use of external lighting				B	
Instrument approach	B				4

NOTES TO TABLE 3-70, PART 135 CHECKING MODULES—AIRPLANES

P Pilot in command (PIC).
B Both the PIC and second in command (SIC).
ME Multiengine
SE Single-engine
(a) May be waived at the discretion of the Principal Operations Inspector (POI) and the check pilot when the check is not simultaneously conducted for certification. (See Volume 5, Chapter 3, Section 2.)
(b) May be waived at the discretion of the POI and the check pilot when the check is not conducted in conjunction with initial new-hire or initial equipment training.
(c) Accomplishment Unaided may be combined at the discretion of the POI or the check pilot when conducting a night vision goggle (NVG) competency concurrent with a visual flight rules (VFR) competency check.
(d) Only required if operator authorized takeoff and landing Airplane Night Vision Goggle (ANVG) operations on operations specification (OpSpec) A051.
1 Both PIC and SIC may be evaluated performing their assigned duties in these events simultaneously when the check pilot is not seated at the controls.
2 See Volume 5, Chapter 3, Section 2.

3 The applicant must demonstrate the ability to use all installed equipment including autopilots and flight directors (FD). In multiengine airplanes, an engine-out instrument landing system (ILS) may be substituted for the normal ILS at the option of the inspector or check pilot administering the check.

4 POIs must ensure applicants accomplish this event in an aircraft the operator uses in revenue operations (or in an appropriately equipped flight simulation training device (FSTD)). The event should reflect a realistic course of action the pilot might take to escape from an encounter with inadvertent instrument meteorological conditions (IIMC). POIs should approve methods appropriate to the aircraft, equipment, and facilities available. When the pilot is authorized to operate an appropriately equipped aircraft and the check is conducted at a location where an ILS is operational, demonstrate an ILS approach. POIs may also approve a letdown on partial panel when this would be an appropriate course of action.

5 Airplanes not having standby instrumentation.

6 See Volume 5, Chapter 3, Section 2. Any two nonprecision approaches (NPA) authorized by the OpSpecs may be accomplished at the discretion of the inspector or check pilot conducting the check.

7 A pilot need not be evaluated in circling approaches when the operator’s procedures restrict that pilot (PIC or SIC) from conducting this event in revenue service.

8 If the certificate holder is authorized to conduct enhanced flight vision system (EFVS) operations to touchdown and rollout, at least one instrument approach to a landing must be made using an EFVS, including the use of enhanced flight vision from 100 feet above the touchdown zone elevation (TDZE) to touchdown and rollout. If the certificate holder is authorized to conduct EFVS operations to 100 feet above the TDZE, at least one instrument approach to a landing must be made using an EFVS, including the transition from enhanced flight vision to natural vision at 100 feet above the TDZE.

9 Required only for transport, commuter, turboprop, and Special Federal Aviation Regulations (SFAR) aircraft families as described in Volume 3, Chapter 19, Section 1.

Table 3-71. Part 135 Checking Modules—Helicopters

EVENTS	VFR COMP.	IFR COMP.	INST. PROF.	NVG TASKS	NOTES
WRITTEN OR ORAL TEST					
14 CFR part 135, § 135.297			P		
§ 135.293	B	B		B	
GROUND OPERATIONS					
Preflight inspection	B	B	P	B	1
Start procedures	B	B	P	B	1
Taxiing and ground hover	B	B	P	B	1
Pretakeoff checks	B	B	P	B	1
TAKEOFF AND DEPARTURES					
Normal	B	B	P	B	
Instrument		P	P		
With powerplant failure	B	B	P	B	ME Only
Rapid deceleration	P	P	P	B	2
Area departure			P[(a)]		
IN-FLIGHT MANEUVERS					
Steep turns			P[(a)]		
Settling with power	B	B	P	B[(c)]	
Unusual attitude recovery	B	B	P	B	4
INSTRUMENT PROCEDURES					
Area arrival			P[(a)]		
Holding			P[(a)]		
Normal ILS approach		B	P		2, 3
Engine-out ILS		P	P		ME Only
Coupled approach		P	P		2, 3
Nonprecision approach		B	P		2
Second nonprecision approach			P		2
Missed approach from an ILS			P		
Second missed approach			P		
Circling approach			P		5
LANDINGS AND APPROACHES TO LANDINGS					
Normal	B	B	P	B	2
Landing from an ILS			P		
Landing with engine out	B	B	P	B	ME Only

EVENTS	VFR COMP.	IFR COMP.	INST. PROF.	NVG TASKS	NOTES
Circling approach			P		5
SEA & SKI OPERATIONS (if applicable)					
Normal takeoff & landing	B	B	P	B	
NON-NORMAL AND EMERGENCY PROCEDURES					
System malfunction	B	B	P	B(b)	1
Recovery from IIMC	B	B	B	B	4
Maneuver by partial panel	B	B	P		7
Instrument approach	B	B	P		4
Power failure and autorotation to a power recovery	B	B	P	B	SE Only 2
Hovering autorotations	B	B	P	B	SE Only, 6
Tail rotor failure	B	B	P		Oral Only
Dynamic rollover	B	B	P		Oral Only
Low rotor rpm	B	B	P		Oral Only
Antitorque system failure	B	B	P		Oral Only
Confined area	P		P	B	
Pinnacle operations	P		P	B	
Slope operations	P		P	B	
Ground hazard recognition				B	
Brownout/whiteout/flat-light operations				B	
Use of external lighting				B	

NOTES TO TABLE 3-71, PART 135 CHECKING MODULES—HELICOPTERS

(a) May be waived at the discretion of the Principal Operations Inspector (POI) and the check pilot when the check is not conducted in conjunction with initial new-hire or initial equipment training.

(b) This will include a simulated night vision goggle (NVG) failure with appropriate recovery procedures.

(c) This maneuver may be waived at the discretion of the POI or check pilot. Initial night vision enhancement device (NVED)/NVG training does not require this maneuver to be demonstrated or performed.

1 Both the pilot in command (PIC) and second in command (SIC) may be evaluated performing their assigned duties in these events simultaneously when the check pilot is not seated at the controls.

2 See Volume 5, Chapter 3, Section 5.

3 The applicant must demonstrate the ability to use all installed equipment including autopilots and flight directors (FD). In multiengine helicopters, an engine-out instrument landing system (ILS) may be substituted for the normal ILS at the option of the inspector or check pilot administering the check.

4 The event should reflect a realistic course of action the pilot might take to escape from an encounter with inadvertent instrument meteorological conditions (IIMC). Recovery from IIMC is an emergency maneuver since the pilot would be operating under visual flight rules (VFR) prior to the IIMC. POIs should approve methods appropriate to the aircraft, equipment installed, facilities available, operations specifications (OpSpecs) requirements, and the environment in which the operations may occur. Checking must provide emphasis on avoidance of IIMC, including the discipline and decision making required to divert, make a precautionary landing, or make an emergency transition to instrument flight rules (IFR), as appropriate to the circumstances. This event must include attitude instrument flying, recovery from unusual attitudes, navigation, air traffic control (ATC) communications, and at least one instrument (if aircraft is so equipped) approach appropriate to circumstances. For pilots who are authorized to conduct part 135 helicopter operations under IFR, aviation safety inspectors (ASI) and check pilots should use the same standards that the air carrier/operator uses to evaluate other instrument maneuvers and procedures. For pilots not authorized to conduct part 135 helicopter operations under IFR, ASIs and check pilots should use the standards that the air carrier/operator uses to evaluate emergency maneuvers and procedures. If the helicopter is equipped with an operable autopilot and the pilot is trained in its use, the autopilot may be used in the accomplishment of this task.

5 A pilot need not be evaluated in circling approaches when the operator's procedures restrict that pilot (PIC or SIC) from conducting this event in revenue service.

6 When the check is being conducted in a helicopter that requires the check pilot to divert his or her attention from the flight controls (such as visually confirming the location of the throttle, fuel-flow control lever, etc.) at night, this maneuver should be conducted under night-unaided conditions in lieu of being conducted under NVGs.

7 Helicopters not having standby instrumentation.

3-1281 CREDIT FOR CERTIFICATION FLIGHT CHECKS.

A. ATP Certificate Flight Test. In accordance with § 61.157(f)(1)(i) and (f)(2), successful completion of a proficiency check under § 121.441 conducted by an aircrew program designee (APD) or Training Center Evaluator (TCE) satisfies the flight test requirements for the issuance of an ATP Certificate or aircraft rating. Additionally, in accordance with § 61.157(f)(1)(ii), successful completion of the testing requirements of § 135.293(a)(2), the competency check requirements of § 135.293(b), and the PIC IPC requirements of § 135.297, all conducted by an APD or TCE, satisfies the flight test requirements for the issuance of an ATP Certificate or aircraft rating.

B. FE Certificate. The certification flight test for an FE Certificate or class rating simultaneously satisfies the part 121 flight check requirement.

3-1282 CONDUCT OF PROFICIENCY, COMPETENCY, AND FLIGHT CHECKS. Specific direction and guidance for the conduct of certification flight tests are in Volume 5, Chapters 1, 3, and 4. The same standards, direction, and guidance are applicable to inspectors, check pilots, and check FEs when conducting proficiency checks, VFR competency checks, IFR competency checks, and FE flight checks. POIs must evaluate the operator's check pilot and check FE program to ensure that check pilots and check FEs are applying the same standards and are adhering to the direction and guidance for proficiency, competency, and flight checks that are applicable to certification flight checks.

A. Waiving of Events. Inspectors and check pilots may waive those events indicated by an asterisk in Figure 3-80, or an (a) in Tables 3-70 and 3-71. This provision applies to all checks conducted under part 121 and those part 135 checks which do not involve certification. The waiver provisions of part 61 apply only to pilots employed by part 121 operators (refer to § 61.157(j)).

1) The use of waiver authority is not automatic. Check pilots are cautioned to exercise judgment in the use of this authority. When an applicant demonstrates a high level of performance, check pilots should make liberal use of the waiver authority. When an applicant's performance only approaches the minimum acceptable standards, however, none of the events of the flight test should be waived.

2) Inspectors and check pilots are cautioned that some waiver provisions apply to portions of an event rather than to a whole event (e.g., the stall prevention series). Other events have specific conditions which must be fully met before waiver authority may be exercised (e.g., the second nonprecision approach). See the discussion of the conditions and limitations of waiver authority and the guidance on acceptable means and standards for conducting specific checking events in Volume 5, Chapter 3, Section 2.

3) Part 121 appendix F contains certain restrictions on waiving events. For example, when a circling approach is required but cannot be accomplished due to traffic or other reasons, it may be waived. Circling approaches, however, may not be waived for two successive checks. POIs will observe these same provisions for part 135 operators under the Administrator's authority to determine the content of part 135 checks.

B. Training to Proficiency. When a check pilot determines that an event is unsatisfactory, the check pilot may conduct training and repeat the testing of that event. This provision is made in the interest of fairness and to avoid undue hardship and expense for pilots and operators. Training may not be conducted, however, without recording the failure of these events. The quality control (QC) of a training program is accomplished, among other means, by identifying those events on checks which flightcrew members fail. POIs must ensure the following guidance is supplied to operators and check pilots concerning the practice of training to proficiency:

1) Training and checking cannot be conducted simultaneously. When training is required, the check must be temporarily suspended, training conducted, and then the check resumed.

2) When training to proficiency is required, the check pilot must record the events which were initially failed and in which training was given.

3) When training to proficiency is conducted and the check is subsequently completed within the original session, the overall grade for the check may be recorded as satisfactory. When the training required to reach proficiency cannot be completed in the original checking session, the check must be recorded as unsatisfactory and the pilot entered into requalification training.

4) When training to proficiency is required and it is practical to do so, the remaining events of the flight test phase should be completed before training in the failed event is conducted. If it is more practical, the failed event may be repeated at the end of a logical sequence. For example, training on stall prevention might be conducted at altitude after all other air work has been completed, but before returning to the traffic pattern.

5) If, after having received training, the pilot fails an event again, the failure must be recorded, and the pilot must be entered into requalification training.

NOTE: If for mechanical or other reasons the check cannot be completed after the failure of an event and before training and retesting can be accomplished, the check is considered terminated; however, the pilot may not serve in revenue operations until the check is successfully completed.

3-1283 USE OF FSTDs FOR PROFICIENCY, FLIGHT, AND COMPETENCY CHECKS. The guidance of this paragraph applies to the use of FSTDs in conducting either part 121 proficiency checks, part 121 flight checks, or part 135 competency checks and IPCs. The level of FSTD that can be used for any particular flight event in these checks depends on the flightcrew member's duty position and on the category of training. The maneuvers and procedures tables along with the introductory information in Volume 3, Chapter 19, Section 6, paragraphs 3-1244 through 3-1252, specify the minimum level of FSTD that can be used for a particular training event. This minimum level is also the level that can be used to test the event during a proficiency, flight, or competency check. Before beginning a proficiency, flight, or competency check, inspectors, check pilots, and check FEs must determine which flight events can be conducted in the FSTD to be used.

3-1284 THE OE QUALIFICATION MODULE. PICs and SICs in part 121 operations completing an initial new-hire, initial equipment, transition, or upgrade category of training must satisfactorily complete OE. FEs completing an initial new-hire, initial equipment, or transition category of training must satisfactorily complete OE. Part 135 specifies that before a pilot may be assigned as a PIC in a commuter passenger carrying operation, that pilot must complete OE in each make and basic model of aircraft in which the pilot is to serve as a PIC. The qualification curriculum segment outline that is applicable to these flightcrew member duty positions must list the appropriate requirements for each duty position. Both parts 121 and 135 specify the minimum flight hour requirements for these duty positions. Part 121 also specifies minimum operating cycles for pilots. An operator may elect to specify a greater flight hour requirement than the regulatory minimum. Unless the Air Transportation Division has authorized a deviation in accordance with § 121.434(a)(4), inspectors must not approve any qualification curriculum

segment that lists a flight hour requirement that is less than that specified by the appropriate regulation. (See Volume 3, Chapter 19, Section 12 for additional information regarding deviations based on designation of related aircraft.)

A. Part 121 Minimum OE Flight Hours and Operating Cycles.

1) PIC or SIC Initial New-Hire, PIC or SIC Initial Equipment, or PIC Transition with FFS Training. In accordance with § 121.434(c)(3)(i), pilots who are completing an initial new-hire curriculum or initial equipment curriculum, and in accordance with § 121.434(c)(3)(iii), pilots who are completing a PIC transition curriculum (which includes training in an FFS under § 121.409), must satisfactorily complete the following minimum operating cycles and OE flight hours:

- Group I reciprocating—15 hours and 4 operating cycles with at least 2 as the pilot flying (PF).
- Group I turbopropeller—20 hours and 4 operating cycles with at least 2 as the PF.
- Group II turbojet—25 hours and 4 operating cycles with at least 2 as the PF.

2) SIC Transition or PIC Transition Without FFS Training. In accordance with § 121.434(c)(3)(ii), SICs who are completing a transition curriculum and PICs who are completing a transition curriculum which does not include an approved course of training in an FFS must satisfactorily complete the following minimum operating cycles and OE flight hours:

- Group I reciprocating—10 hours and 4 operating cycles with at least 2 as the PF.
- Group I turbopropeller—12 hours and 4 operating cycles with at least 2 as the PF.
- Group II turbojet PIC—25 hours and 4 operating cycles with at least 2 as the PF.
- Group II turbojet SIC—15 hours and 4 operating cycles with at least 2 as the PF.

3) SIC or PIC Upgrade. Although § 121.434 requires satisfactory completion of OE for pilots who are completing an upgrade curriculum, the minimum flight hours are not specified. The following minimum flight hours are recommended, however, for an SIC upgrading to PIC, and for an FE upgrading to SIC, regardless of whether or not the upgrade curriculum includes training in an FFS:

- Group I reciprocating—SIC to PIC, 8 hours; FE to SIC, 15 hours.
- Group I turbopropeller—SIC to PIC, 8 hours; FE to SIC, 15 hours.
- Group II turbojet—SIC to PIC, 10 hours; FE to SIC, 25 hours.

4) FE Initial New-Hire, FE Initial Equipment, or FE Transition. In accordance with § 121.434(d), FEs who are completing initial new-hire, initial equipment, or transition curricula must satisfactorily complete the following minimum OE flight hours:

- Group I reciprocating—8 hours.
- Group I turbopropeller—10 hours.
- Group II turbojet—12 hours.

NOTE: In order for a PIC or SIC to acquire the required OE hours, that PIC or SIC "must *perform the duties*" of a PIC or SIC, respectively, under the supervision of a check pilot (refer to § 121.434(c)(1)(i) and (c)(2)). Additionally, § 121.434(d) also requires that FEs "must *perform the duties*" of an FE under the supervision of a check FE, check pilot, or qualified FE to acquire OE hours. Therefore, time spent by a pilot or FE while not seated at the controls or FE station, as applicable, including time spent resting, as required by 14 CFR part 117 and part 121 subparts Q, R, and S, cannot be counted to satisfy the OE requirements of § 121.434 (refer to the Legal Interpretation to Hugh Thomas, June 10, 2013).

B. Reductions to Part 121 OE Flight Hours. In accordance with § 121.434(f), for flightcrew members completing the following curricula, the minimum OE flight hours may be reduced up to 50 percent by substituting one additional takeoff and landing for 1 hour of flight:

- All Group I PIC, SIC, and FE curricula.
- Group II PIC or FE transition.

NOTE: Reduction to OE flight hours is not permitted for flightcrew members who are completing: Group II PIC, SIC, or FE initial new-hire; Group II PIC, SIC, or FE initial equipment; or Group II SIC transition.

C. Part 135 Minimum Flight Hours.

1) The part 135 flight hour requirement applies only to pilots who will be assigned to serve as PIC in a commuter passenger carrying operation. In addition, the minimum OE must be acquired for each make and basic model of aircraft in which the pilot is to serve as PIC. Section 135.244 specifies that the type and number of engines powering the aircraft determines the minimum flight hours for commuter PICs, which are as follows:

- Single-engine airplanes and helicopters—10 hours.
- Multiengine, reciprocating-powered airplanes and helicopters—15 hours.
- Multiengine, turbine-powered airplanes and helicopters—20 hours.
- Turbojet-powered airplanes—25 hours.

2) Part 135 does not require that SICs who are to serve in commuter operations acquire OE. POIs should, however, encourage part 135 commuter operators to include an OE module in their qualification curriculum segments for SICs. For example, the SIC qualification module could require the pairing of a newly trained SIC with only a highly experienced PIC for a specified number of hours or until an experienced PIC has certified that the SIC is proficient in assigned duties.

D. Reductions to Part 135 OE Flight Hours. In accordance with § 135.244(b)(4), the minimum OE flight hours may be reduced up to 50 percent by substituting one additional takeoff and landing for 1 hour of flight.

E. Conduct of OE. All flightcrew members must have successfully completed the applicable proficiency, competency, and flight checks before starting OE, and are therefore considered to be qualified to serve in revenue operations, under the appropriate supervision. Flightcrew members must acquire OE while conducting revenue operations, except when the operator has not previously used the aircraft. In this case, the flight hours acquired while conducting proving flights or ferry flights may be credited towards the OE requirement.

1) A pilot in the process of acquiring OE as a PIC under the provisions of parts 121 and 135 must occupy the appropriate pilot position and perform PIC duties under the supervision of a check pilot. The check pilot must also occupy a pilot position. In the case of a PIC trained under a part 121 transition curriculum, however, the check pilot may occupy the observer's seat after the qualifying PIC has made at least two takeoffs and landings and the check pilot is satisfied that the pilot candidate is competent to perform the duties of a PIC.

a) During the time that a qualifying PIC is acquiring OE, the supervising check pilot should give instruction as needed and help to refine the pilot's proficiency as a PIC. The check pilot must determine when the PIC is fully proficient and ready to be administered an initial line check. If the qualifying PIC is not ready for an initial line check after the minimum flight hours have been completed, the supervision must be continued until the PIC is proficient.

b) The check pilot should not recommend an initial line check until the check pilot is satisfied that the qualifying PIC is proficient. If the check pilot recommends the PIC for an initial line check before the minimum flight hours are acquired, the time spent conducting the line check may be credited toward the required flight hours. In all cases, however, the qualifying PIC must satisfactorily complete the minimum flight hours and operating cycles (part 121 only) under the supervision of a check pilot before the PIC can be released to operate unsupervised in revenue flights.

2) A pilot in the process of acquiring OE as an SIC under the provisions of part 121 must occupy the appropriate pilot position and perform the duties of an SIC under the supervision of a check pilot. The check pilot must also occupy a pilot position. The qualifying SIC must satisfactorily complete the minimum flight hours and operating cycles under the supervision of a check pilot before the SIC can be released to operate unsupervised in revenue operations.

3) An FE in the process of acquiring OE must perform the duties of an FE at the FE station under the supervision of a check pilot, check FE, or a qualified FE. In either case, the qualifying FE must satisfactorily complete the minimum flight hours before being assigned as the required FE in revenue operations. When an operator schedules FEs to complete OE under the supervision of a qualified FE who has not been trained as a check FE, the POI should consider special en route surveillance of those FEs after they are assigned as required FEs in revenue operations. The purpose of this special surveillance is to determine whether the

operator's training, flight-testing, and OE programs sufficiently prepare the FEs for line operations.

F. OE Qualification Guides. POIs should encourage operators to develop an OE qualification guide to be used by supervisors, check pilots, and check FEs. The purpose of the qualification guide is to ensure that a flightcrew member systematically gains experience in all required duties the flightcrew member will later be required to perform without supervision. Some of the typical experience events that might be incorporated in a qualification guide are as follows:

- Terminal security procedures;
- Aircraft security and anti-hijacking procedures;
- Weather forecasts and information sources;
- Flight planning;
- Dispatch procedures;
- Cockpit setup, initialization of computers, entering present position and waypoints, confirming navigation setup;
- W&B computation (including last-minute changes);
- ATC flow control procedures;
- MEL and CDL procedures;
- Pushback and powerback procedures and limitations;
- Procedures for fueling and confirming fuel loads;
- Familiarity with major terminal areas;
- Terminal and en route communications;
- Flight progress and fuel monitoring procedures;
- In-flight weather watch; and
- Diversion procedures.

3-1285 THE LINE CHECK QUALIFICATION MODULE. Both parts 121 and 135 specify that before a pilot can serve as an unsupervised PIC in revenue operations, that pilot must have satisfactorily completed a line check. Except for requalification training, the qualification curriculum segment for PICs should include a line check module as a requirement for all other categories of training. Requalification training curricula that are used to requalify PICs who have been unqualified for 12 months or more should include a required PIC line check module. Both parts 121 and 135 specify that all PICs must satisfactorily complete a line check once every 12 calendar-months in at least one of the aircraft types in which the PIC is to serve. Therefore, the qualification curriculum segment for recurrent training should include a line check module for the PIC.

A. General Direction and Guidance. Part 121 specifies that the line check is to be given by a check pilot who is properly qualified in the particular airplane being used. In certain unique situations, such as when an operator is qualifying an initial cadre of check pilots, the only practical way of completing the line check requirement may be for an FAA inspector to conduct the line check and to certify the PIC's performance. Part 135 specifies that an approved check pilot or an FAA inspector may give the line check. For both parts 121 and 135, the amount of time flown during a line check may be credited to the OE flight hour requirement. The line

check, however, should not be conducted until the OE flight hour requirement has been substantially completed. When a PIC serves in both parts 121 and 135 operations, a line check conducted in a part 121 aircraft satisfies the part 135 line check requirement. POIs should encourage operators to place emphasis on their line check programs. A well-run line check program can provide detection of deficiencies and adverse trends and establish the need for a revision of old procedures or an initiation of new procedures. POIs should encourage operators to design and use line check forms to facilitate the collection of such information.

B. Part 121 Line Checks. For part 121 operations, the line check must be conducted over at least one typical route in which the PIC may be assigned. If the typical route the PIC will be flying includes Class II navigation, the line check must be conducted on a route where Class II navigation is used. The line check may be conducted during either revenue or nonrevenue operations.

C. Part 135 Line Checks. For part 135 operations, the line check must consist of at least one route segment over a civil airway, an approved off-airway route, or a portion of either, including takeoffs and landings at one or more airports that are representative of the operator's type of operation. In certain part 135 operations, it may not be practical to conduct a line check during revenue operations. In these cases, the POI may authorize that the line check be conducted during the same flight period that the competency check is conducted. If the line check is conducted in this manner, the line check portion of this flight period must include the requirements previously discussed in this paragraph.

3-1286 LINE OPERATING FLIGHT TIME FOR THE CONSOLIDATION OF KNOWLEDGE AND SKILLS (PART 121). In accordance with § 121.434(g), PICs and SICs must complete a minimum of 100 hours of flight time performing the duties of PIC or SIC, respectively, in operations under part 121 in the airplane type within 120 days after completion of a § 121.441 proficiency check completed in an initial new-hire, initial equipment, transition, or upgrade from FE to SIC curriculum. Time spent by a pilot while not seated at the controls, including time spent resting, as required by part 117 and part 121 subparts Q, R, and S, cannot be counted to satisfy the consolidation requirements of § 121.434 (refer to the Legal Interpretation to Hugh Thomas, June 10, 2013).

> NOTE: In accordance with § 121.434(h)(2), a pilot who has completed the consolidation requirement in the airplane type while serving as an SIC is not required to repeat the consolidation requirements as a PIC on the same airplane type.

A. Serving in Another Airplane Type. In accordance with § 121.434(h)(3), if a pilot serves in another airplane type before completing the required 100 hours of consolidation, the pilot must satisfactorily complete refresher training in the airplane for which the pilot has newly qualified before serving in that airplane type. Refresher training must be conducted by an appropriately qualified instructor or check pilot in accordance with the certificate holder's approved training program.

B. Extension of 120-Day Period. In accordance with § 121.434(h)(4), if the required 100 hours is not completed within 120 days after completion of the proficiency check, the certificate holder may extend the period to 150 days if:

1) The pilot continues to meet all applicable requirements of part 121 subpart O, and

2) On or before the 120th day the pilot satisfactorily completes refresher training conducted by an appropriately qualified instructor or check pilot or a check pilot determines that the pilot has retained an adequate level of proficiency after observing that pilot in a supervised line operating flight.

NOTE: Section 121.434 does not allow any additional extensions. Therefore, if a pilot does not complete the required 100 hours within the 150-day period, the pilot may not serve in part 121 operations until completing another § 121.441 proficiency check. Upon completion of this proficiency check, another 120-day period begins for the pilot to complete the required 100 hours of consolidation. No credit is allowed for hours completed in the first 150-day period prior to the subsequent proficiency check.

C. Deviations for New Certificate Holders, New Airplane Types, and New Domiciles. Section 121.434(h)(5) specifies three conditions under which a part 121 air carrier may request deviation from the consolidation requirement. These three conditions recognize the need for an alternative method of compliance during the initial startup of an air carrier or addition of a new airplane type. These deviations are not intended to be used for scheduling convenience. The three conditions are:

- A newly certificated air carrier does not employ any pilots who meet the minimum requirements of § 121.434(g);
- An existing air carrier adds a new airplane type to its fleet not previously proven for use in its operations; or
- An air carrier establishes a new domicile to which it assigns pilots who will be required to become qualified on the airplanes operated from that domicile.

D. Related Aircraft Deviations. In accordance with § 121.434(a)(4), an air carrier may request a deviation from the consolidation requirements based upon a designation of related aircraft. See Volume 3, Chapter 19, Section 12 for additional information and the request process for deviations based on designation of related aircraft.

3-1287 ADDITIONAL CHECKING MODULES. Additional checking modules include flight test events that must be conducted to qualify flightcrew members for special operations, such as CAT II or CAT III instrument approach procedures (IAP) and NVG operations. Another example of an additional checking module is the requirement that a PIC be initially qualified over a route or area requiring a special type of navigation such as an inertial navigation system (INS) or long-range navigation. (Refer to § 121.445(d)(2).)

A. Concurrent Checks. Additional checking modules are frequently conducted concurrently with a proficiency check, competency check, or line check.

1) The regulations and advisory circulars (AC) require additional checks, but usually do not specify the content of these checks. Since there are often several acceptable means of conducting these checks, the additional checking module outline must specify the content of these checks.

2) When a part 121 or part 135 operator chooses to conduct an additional checking module in conjunction with a basic checking module, the requirements of both modules must be accomplished. A single event may, however, be credited for both modules simultaneously. For example, an operator who conducts basic checking modules and CAT II additional checking modules at the same time may combine the ILS approach requirements. Similarly, NVG events can be used in some cases to satisfy corresponding VFR competency event requirements. The basic checking module requires a normal ILS; a manually controlled, engine-out ILS; a coupled ILS; a landing from an ILS; and a missed approach from an ILS. The normal ILS and the coupled ILS may be combined in the basic checking module for a minimum of two ILS approaches. In this case, one approach must terminate in a landing and one in a missed approach. For an operator who conducts only coupled CAT II approaches, the CAT II additional checking module requires a minimum of two approaches to CAT II minimums; one approach must be to a landing and one to a missed approach. A POI may approve combining the compatible events of these two modules. In this case, the combined requirement is one-engine-out, manually controlled ILS to CAT I minimums; one coupled, CAT II ILS to a landing, and one coupled, CAT II ILS approach to a missed approach. POIs who have concerns over what combinations are permissible should consult the Air Carrier Training Systems and Voluntary Safety Programs Branch when necessary.

3) Since NVG competency is an additional checking module as part of the § 135.293(b) check when requested, the VFR portion of the check must be completed prior to the NVG check to ensure VFR competency first. The NVG portion must then be accomplished to satisfy this additional qualification. Once a pilot has demonstrated VFR competency, the examiner may subsequently elect to allow demonstration of an event under NVG to satisfy the VFR requirement simultaneously, as indicated in Table 3-70 by note (c). Many factors will determine what events are credited, such as the experience of the pilot, the operating environment, the currency of the pilot, and the examiner's judgment and evaluation of the pilot. The primary consideration is a complete and satisfactory demonstration of the pilot to operate safely both with and without the use of NVG. Those VFR competency events not indicated as eligible for combining must be demonstrated unaided to satisfy the VFR competency check requirements.

B. Additional Checking Modules. Operators may choose to conduct additional checking modules separately from a proficiency check, a competency check, or a line check. It may be more practical to accomplish an additional flight test separately because of high minimum PIC requirements or because of pilot bidding practices for international routes. When an operator conducts separate checking modules, the operator must limit the use of flightcrew members to those operations that do not involve the special operations until the flightcrew members have satisfactorily completed the additional testing.

RESERVED. Paragraphs 3-1288 through 3-1300.

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CHAPTER 19 TRAINING PROGRAMS AND AIRMAN QUALIFICATIONS

Section 13 Pilot in Command: Line Checks: Routes and Airports for Parts 121 and 135 (PTRS Code 1544)

Source Basis:

- **Section 121.432, General.**
- **Section 121.440, Line Checks.**
- **Section 121.913, Qualification Curriculum.**
- **Section 121.915, Continuing Qualification Curriculum.**
- **Section 135.293, Initial and Recurrent Pilot Testing Requirements.**
- **Section 135.297, Pilot in Command: Instrument Proficiency Check Requirements.**
- **Section 135.299, Pilot in Command: Line Checks: Routes and Airports.**

3-19-13-1 GENERAL. This section contains direction and guidance for inspectors to use while conducting line checks required by Title 14 of the Code of Federal Regulations (14 CFR) part 121, § 121.440, § 121.913, or § 121.915, or part 135, § 135.299.

A. Line Checks. Line checks are necessary to test the pilot's ability to operate in the National Airspace System (NAS), coordinate with the ground operations at airports used by the operator, and ensure the pilot's compliance with company procedures and operations.

B. Responsibility. The operator and the pilot are jointly responsible for ensuring that the pilot has completed a line check within the preceding 12 calendar-months before the pilot serves as pilot in command (PIC). An authorized company check pilot or a qualified Federal Aviation Administration (FAA) Operations aviation safety inspector (ASI) may conduct line checks. An ASI conducts line checks for part 135 single pilot operators because § 135.341 does not require single pilot operators to have a training program. An ASI may also need to conduct a line check when a new type of aircraft is being introduced into either part 121 or part 135 service. ASIs should become familiar with the type of aircraft in which they will conduct a check before administering checks in a given aircraft.

3-19-13-3 SPECIFIC LINE CHECK INSPECTION PRACTICES AND PROCEDURES.

A. FAA ASI (Operations) Qualifications. Office management should ensure that the ASI conducting the line check is qualified in accordance with the most current guidance in Volume 1, Chapter 3, Section 6.

B. FAA ASIs (Operations). ASIs (Operations) must:

1) For Part 121. Hold an Airline Transport Pilot (ATP) Certificate with the appropriate category and class ratings for the aircraft in which the line check is being conducted.

2) For Part 135. Hold either a Commercial Pilot Certificate (with an instrument rating) or an ATP Certificate with the appropriate category and class ratings for the aircraft in which the line check is being conducted.

C. ASI Preparation. ASIs should become familiar with the operator's procedures before conducting the line check. An ASI should review the operator's standard operating procedures (SOP), checklists, manuals, training program, and operations specifications (OpSpecs), as applicable. An ASI may also need to consult with the operator's Principal Operations Inspector (POI) prior to conducting the line check to discuss any areas of specific emphasis.

D. Route and Duration of Line Checks.

1) Number of Flight Segments. The ASI must observe at least one flight segment, including a takeoff and landing that allows the ASI to observe the PIC perform the duties and responsibilities associated with the conduct of a revenue flight. It may be desirable to have the PIC fly two flight segments or to perform the duties as pilot monitoring (PM) during a second segment while the second in command (SIC) performs the duties of the pilot flying (PF).

2) Route. The flight segment must:

a) For part 121 domestic and flag operations, be flown over a typical part of the certificate holder's route, over a foreign or Federal airway, or over a direct route.

b) For part 121 supplemental operations, be flown over a part of a Federal airway, foreign airway, or advisory route to which the pilot may be assigned.

c) For part 135 pilots authorized to conduct instrument flight rules (IFR) operations, be flown over a civil airway, an approved off-airway route, or a portion of either.

E. Rotorcraft Operations.

1) Some helicopter operations, such as air tour operators, may have established specific, preapproved routes established for the safe conduct of flight. If an approved route exists, ASIs should periodically evaluate the operator's adherence to the approved route(s).

2) Helicopters often operate under visual flight rules (VFR), and may not fly defined routes, airways or operate into airports. Landing zones (LZ) vary in configuration; some are elevated, some may be unlighted, others may be collocated at hospitals. In an effort to ensure regulatory compliance with § 135.299, and that the appropriate observation is conducted, ASIs are encouraged to collaborate with the operator to define what an 'area' may consist of, in an effort to help ensure continued operational safety, and that the operator has adequate procedures for maintaining currency, as required by § 135.299(c). Examples consist of mountainous versus non-mountainous terrain, over-water operations, and areas that are prone to whiteouts from snow or sand, or other types of obscurations that are induced through normal helicopter operations. For part 135 operators, ASIs should make an effort to vary the routes flown from year-to-year, without causing undue burden to the operator.

F. ASI Seating Location. For aircraft with one or more observer's seats, the ASI must sit in the forward observer's seat with a headset or speaker. For aircraft without an observer's seat, the ASI must sit in the forward passenger seat with a headset or speaker.

G. Conduct of Line Checks. A line check differs from a proficiency or competency check in that the inspector is not required to conduct a knowledge exam with the applicant that consists of specific questions about aircraft systems. However, in the normal course of interacting with the pilot or crewmembers, questions pertaining to the route of flight and airworthiness status of the aircraft, as well as questions on OpSpecs, Weight and Balance (W&B), and weather, are examples of reasonable questions that an ASI could ask before administering the line check; these are typical of normal flying. It is realistic to expect the crew to have performed all of the standard preflight procedures normally associated with a typical revenue flight, and they should make those documents available for review if requested.

NOTE: If an ASI suspects a knowledge deficiency, the ASI should discuss his or her concerns with the operator, discontinue the evaluation if necessary, and contact the responsible Flight Standards office manager. ASIs must only conduct the type of evaluation that the operator and ASI have planned for, in accordance with the associated Program Tracking and Reporting Subsystem (PTRS) function or necessary regulatory function. For unsatisfactory part 121 line checks, contact the POI or appropriate Aircrew Program Manager (APM).

H. Internal Areas to Observe. Areas within the aviation system that are internal to the operator and are observable during the line check may consist of the following:

- Crewmembers;
- Operator manuals and checklists;
- Use of minimum equipment lists (MEL), and Configuration Deviation Lists (CDL);
- Operational control functions (flight locating or flight following);
- Use of checklists, approved and accepted procedures, if applicable, and safe operating practices;
- Crew coordination/Crew Resource Management (CRM);
- Cabin safety;
- Aircraft condition and servicing;
- Training program effectiveness;
- Weather analysis;
- Airplane Performance; and
- W&B procedures.

I. External Areas to Observe. Areas within the aviation system that are external to the operator and are observable during the line check may consist of the following:

- Airport/heliport surface areas;
- Ramp activities;
- Airport construction and condition;

- Aircraft movements;
- Air traffic control (ATC) and airway facilities;
- ATC and airspace procedures;
- Instrument approach procedures (IAP);
- Departure procedures (DP);
- Standard Terminal Arrival Routes (STAR);
- Navigational Aids (NAVAIDS) and communications; and
- For Helicopter Air Ambulance (HAA) operators, evaluations for off-airport/helipad landing sites, ensuring that the evaluations take into account OpSpec A021, as appropriate.

J. Line Check Conducted in Conjunction with Another Type of Check. In certain part 135 operations, it may not be practical to conduct a line check during an actual revenue operation. In these cases, the POI may authorize conducting the line check in conjunction with the competency check. If the line check is conducted in this manner, the line check portion must meet the requirements in this section, and, the competency check must meet the requirements specified in Volume 3, Chapter 19, Section 7. The ASI conducting a competency check must also meet the qualification and currency requirements specified in Volume 1, Chapter 3, Section 6.

K. Debriefing. After completion of the flight, the ASI must notify the PIC of the results. Time permitting, the ASI should debrief the crew, and provide constructive feedback based on the roles each crewmember served in, i.e., if the PIC also performed PM duties. The ASI is required to comment on any procedure believed to be deficient or unsafe. The ASI must use discretion when debriefing crewmembers or commenting about procedures that were approved or accepted by the FAA.

L. Documentation. The ASI must record the completed line check using FAA Form 8410-3, Airman Competency/Proficiency Check, or in accordance with the operator's procedures, as applicable. Inspectors are not required to keep copies of these forms, but ASIs are required to record this activity in PTRS, as the PTRS entry serves as the official FAA record, if PTRS is applicable for recording this check.

M. Satisfactory Line Check. If the ASI determines the pilot satisfactorily performed the duties and responsibilities of a PIC, the ASI must certify the satisfactory performance on FAA Form 8410-3 or in accordance with the operator's procedures, as applicable.

N. Unsatisfactory Line Check. If the ASI determines the pilot did not satisfactorily perform the duties and responsibilities of a PIC, the ASI must notify the applicant as well as the operator. For part 121 operations, the line check should be recorded in accordance with the procedures established between the operator and PI. The ASI must also make a PTRS entry detailing the area(s) of unsatisfactory performance. The ASI should also remind the operator and the pilot that the pilot is no longer qualified to perform any operations under the applicable operating part until the pilot satisfactorily completes a line check. For unsatisfactory part 121 line checks, contact the POI or appropriate APM.

O. PTRS Input. The ASI must record the line check in PTRS using the following activity codes, including relevant comments:

1) Use PTRS code 1544 for a § 121.440 line check.

2) Use PTRS code 1549 for a § 121.913 or § 121.915 line check.

3) Use PTRS code 1544 for a § 135.299 line check, not in conjunction with another check.

4) Use PTRS codes 1541 or 1543, and 1544 for a § 135.299 line check conducted in conjunction with a § 135.293 or § 135.297 check.

NOTE: For part 135 operations, assuming the airman required a Comp Check (1541) or Prof Check (1543), before receiving a line check (1544), the ASI must make separate PTRS entries reflecting what tasks were accomplished. A (1543) does not properly reflect a line check (1544), and must not be used to account for a line check. Only a (1544) may be used to record that a line check was conducted.

NOTE: For part 135 operations, any time an ASI administers a line check, there must be a PTRS entry of (1544), shown for the day he or she accomplished the line check. Not only does this accurately reflect what check was accomplished, but it aids the ASI in deciphering National Program Tracking and Reporting Subsystem (NPTRS) entries for purposes of determining qualifications for 14 CFR part 119 positions, if applicable.

3-9-13-5 through 3-19-13-19 RESERVED.

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CHAPTER 61 AIRCRAFT NETWORK SECURITY PROGRAM

Section 1 Safety Assurance System: Evaluate the Operator's 14 CFR Parts 121, 121/135, 125, and 129 Aircraft Network Security Program

3-4887 REPORTING SYSTEM(S).

A. Program Tracking and Reporting Subsystem (PTRS). For all Title 14 of the Code of Federal Regulations (14 CFR) parts, use PTRS activity codes: 5315 (initial) and 5316 (revision).

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

3-4888 APPLICABILITY.

A. Aircraft Network Security Program (ANSP) Requirement. The requirement for an ANSP is dependent on aircraft design and intended operation. An aircraft requiring an ANSP is one that is certified with a special condition (SC) reflected on the aircraft Type Certificate Data Sheet (TCDS) requiring operator actions to mitigate electronic security risks. These mandatory actions are found in the design approval holder's (DAH) maintenance or operational procedures as required by the SC. For the purpose of this chapter, these aircraft will be referred to as "connected aircraft."

B. Connected Aircraft. A connected aircraft operated by a 14 CFR part 121, 121/135, 125, or 129 certificate holder requires an ANSP. Operations under 14 CFR parts 91, 125 Letter of Deviation Authority (LODA), and 135 certificates are not required to have an ANSP. However, parts 91, 125 LODA, and 135, as a condition for issuance of an airworthiness certificate, are required to follow the DAH procedures or instructions for continued airworthiness (ICA) developed to meet SCs addressing electronic system security. Maintenance and operational programs must include the DAH procedures.

NOTE: Some aircraft may have an SC for electronic security that applies to the DAH design only and does not require operator action. These aircraft do not need an ANSP or maintenance and operational procedures.

3-4889 OBJECTIVE. This section contains information and guidance that the Principal Avionics Inspectors (PAI) use when evaluating an operator's ANSP. Upon official notification that an operator intends to add connected aircraft to their fleet, the PAI must consult the Flight Standards Service Aircraft Maintenance Division, Avionics Branch at 202-267-1675. This will provide for early coordination to ensure all program requirements are met prior to issuing Operations Specification (OpSpec) D301, Aircraft Network Security Program (ANSP) Authorization. The PAI is responsible for acceptance of the program with the concurrence of the Avionics Branch. Personnel from the Office of Information & Technology (AIT) Security and Privacy Risk Management Staff will support the Avionics Branch in the evaluation.

NOTE: Because of this unique application of computer technology, the Avionics Branch will collaborate with the Security and Privacy Risk Management Staff to provide technical information technology (IT) security support. The Avionics Branch will rely on Security and Privacy Risk Management Staff personnel for their expertise in IT cybersecurity to assist in evaluating the operator's security program. The PAI will make airworthiness evaluations with assistance and recommendations from the assigned Avionics Branch aviation safety inspector (ASI).

NOTE: The PAI may require concurrence of ASIs in other specialties to assure all aspects of training are addressed, and to assure that the full operational impact of the connected aircraft configuration is assessed.

3-4890 GENERAL. This section contains a general overview of the requirements for evaluating an ANSP under parts 121, 121/135, 125, and 129. This section contains information and guidance about granting authorization for an operator's ANSP.

NOTE: For part 125, OpSpec D301 does not apply to part 125 LODA holders.

NOTE: For part 129, OpSpec D301 only applies to U.S.-registered aircraft.

3-4897 ACTION. The ANSP is authorized in OpSpec D301. Log in to the Web-based Operations Safety System (WebOPSS) and follow onscreen prompts to complete the authorization.

3-4892 NEW USE OF TECHNOLOGY. Previously, aircraft designers used aviation (ARINC 429/629) or Military Standard (MIL-STD) databuses to interconnect flight-critical avionics systems. Advanced connectivity technology was used only to support the passenger information and entertainment systems, which were physically and logically separated from the flight-critical avionics systems. New aircraft designs use advanced technology for the main aircraft backbone connecting flight-critical avionics as well as passenger information and entertainment systems in a manner that makes the aircraft an airborne interconnected network.

A. External Systems Access. The architecture of this airborne network may allow read and/or write access to and/or from external systems and networks, such as wireless airline operations and maintenance systems, satellite communications, email, the internet, etc. Onboard wired and wireless devices may also have access to portions of the aircraft's digital data buses (DDB) that provide flight critical functions.

NOTE: The design of these connected aircraft makes it difficult to maintain the certificated configuration of the aircraft without following procedures documented in an ANSP. OpSpec D301 is necessary to verify that operators have the skills, tooling, and procedures in place to accomplish the requirements of the DAH's aircraft operator security guidance.

B. Risk. Connected aircraft have the capability to reprogram flight critical avionics components wirelessly and via various data transfer mechanisms. This capability alone, or coupled with passenger connectivity on the aircraft network, may result in cybersecurity

vulnerabilities from intentional or unintentional corruption of data and/or systems critical to the safety and continued airworthiness of the airplane. Credible examples of risks include the potential for:

- Malware to infect an aircraft system,
- An attacker to use onboard wireless to access aircraft system interfaces,
- Denial of service of wireless interfaces,
- Denial of service of safety critical systems,
- Misuse of personal devices that access aircraft systems, and
- Misuse of off-board network connections to access aircraft system interfaces.

3-4893 REGULATORY REQUIREMENTS. The existing regulations did not anticipate this type of system architecture or electronic access to aircraft systems that provide flight-critical functions. Title 14 CFR and current system safety assessment policy and techniques do not address potential cybersecurity vulnerabilities that unauthorized access to aircraft databuses and servers could cause. In accordance with 14 CFR part 11, § 11.19, as described in 14 CFR part 21, § 21.16, aircraft network systems are certificated through various means, including, but not limited to, type certificates (TC) and Supplemental Type Certificates (STC) that include SC requirements of the ICA. Title 14 CFR part 43, § 43.13 requires each person performing maintenance, alteration, or preventive maintenance on an aircraft, engine, propeller, or appliance to use the methods, techniques, and practices prescribed in the current DAH maintenance manual or ICA prepared by its manufacturer, or other methods, techniques, and practices acceptable to the Administrator. PAIs will determine that an operator's ANSP is in compliance with applicable regulations and manufacturer's instructions. The manufacturer's instructions may be in the form of a recommended aircraft security program, airworthiness limitations (AL), or other instructions.

3-4894 REFERENCES, FORMS, AND JOB AIDS.

A. References (current editions):

- Advisory Circular (AC) 119-1, Operational Authorization of Aircraft Network Security Program (ANSP).
- Certificate Holder's Manual.

NOTE: When the certificate holder accepts an industry specification or standard as the means of complying with the regulation, the standard becomes, in effect, a part of the certificate holder's manual. The certificate holder should have available a copy of any specification it references in its manual.

B. Forms. None.

C. Job Aids. None.

3-4895 OPERATOR ACTION.

A. Develop an ANSP. Operators of connected aircraft must develop and maintain an ANSP that is sufficiently comprehensive in scope and detail to accomplish the following:

1) Ensure that security protection is sufficient to prevent access by unauthorized sources external to the aircraft.

2) Ensure that security threats specific to the certificate holder's operations are identified and assessed, and that risk mitigation strategies are implemented to ensure the continued airworthiness of the aircraft.

3) Prevent inadvertent or malicious changes to the aircraft network, including those possibly caused by maintenance activity.

4) Prevent unauthorized access from sources onboard the aircraft.

NOTE: The Security and Privacy Risk Management Staff will be the focal point for verifying the items in subparagraphs A1) through A4) above.

B. Guidelines for Authorization. Operators of connected aircraft during initial certification (including the addition of new types of connected aircraft) should ensure that the initial compliance statement clearly describes the procedures that the operator will use for the ANSP. The operator must develop a section in its General Maintenance Manual (GMM) or other appropriate manual that provides detailed instruction on:

- Roles and responsibilities, including persons with authority and responsibility;
- Training/qualifications;
- Control of maintenance laptop/ground support equipment access and use;
- Control of access to airport wired and wireless service network;
- Controlling access to Loadable Software Airplane Part (LSAP) librarian resources;
- Creating secure parts signing process and controlling access to private keys;
- Control/monitor of physical access to aircraft;
- Control of aircraft conformity to type design, as amended;
- Provisions for parts pooling and parts borrowing;
- Procedures for part exchanges within its own fleet;
- Event recognition and response;
- Event evaluation process with considerations for program improvements; and
- Security environment description.

C. Verify. The PAI should encourage the operator to submit the request for authorization for OpSpec D301, along with a complete ANSP document package at least 90 days prior to planned operation of the connected aircraft. Working with the Avionics Branch, the PAI will verify that the operator has established appropriate event recognition, response processes, and security awareness training within their respective program area.

NOTE: Newly manufactured aircraft electronic security procedures are covered by the DAH's production certificate. OpSpec D301 must be issued prior to adding a connected aircraft to a part 121, 121/135, 125, or 129 certificate to eliminate the possibility of a lapse in security procedure coverage.

3-4896 PROCESS. PAIs, with assistance from the Avionics Branch, will collaborate with certificate holders to determine the mandatory and recommended requirements of the manufacturer's security document.

A. Verify the Most Recent Version. Verify that the certificate holder has the most recent version of the DAH security document. Use the following resources to determine the most recent version:

- Airworthiness Limitation Section (ALS) of the Aircraft Maintenance Manual (AMM).
- Aircraft Certification Office (ACO).
- Aircraft Evaluation Group (AEG).

NOTE: It is the operator's responsibility to review and revise the ANSP within 30 days of the revision date for the DAH security document. The appropriate Flight Standards oversight office will reissue OpSpec D301 to reflect the revised DAH document date. In cases where an operator may need additional time to revise his or her program, he or she may negotiate a reasonable time period with the oversight office.

B. Compare the Requirements, Assumptions, and Recommendations. Compare the requirements, assumptions, and recommendations in the manufacturer's security document to those in the ANSP. Verify that the certificate holder addresses the requirements, and that any recommendations appropriate to the certificate holder's operations are included. Deviations from requirements, assumptions, and recommendations may require ACO approval since they are part of an overall mitigation strategy.

NOTE: It is not necessary for the PAI to verify the technical aspects of data security. The Security and Privacy Risk Management Staff will accomplish this during the Avionics Branch review.

C. Verify the Appropriate Changes. Verify that appropriate changes are reflected in the certificate holder maintenance program and that the GMM or equivalent manual is revised accordingly. For example, if an ANSP states that there is a process to validate the manufacturer's digital signature on software parts received, that process should be described in the "Parts Receiving" section of the GMM. Also, if ANSP sensitive parts are received from a parts pool, the parts pooling procedures should address this.

D. Complete the Package. The PAI will submit the request directly to the Avionics Branch. Whenever possible, to allow for the most timely and efficient review, the ANSP package will be submitted electronically via email with return receipt requested. The Avionics Branch ASI will submit the ANSP to the assigned Security and Privacy Risk Management Staff security

specialist for a concurrent review. The Avionics Branch ASI and/or the Security and Privacy Risk Management Staff security specialist may collaborate directly with the PAI or the certificate holder to satisfy any issues or concerns. When satisfied, the Avionics Branch will return the complete package to the PAI with a cover letter recommending authorization of OpSpec D301.

E. Data Security Manager. Although not a requirement for every DAH security document, it is critical that the ANSP identify a data security manager. The identity may be by title, organization, and office in the ANSP, provided the certificate holder submits a letter in writing to the responsible Flight Standards office with the name and contact information for the data security manager. The ANSP should state that the operator shall notify the responsible Flight Standards office within 5 days of subsequent changes to the data security manager. The data security manager is the person with primary responsibility for the ANSP and serves as the focal point for interface with the Federal Aviation Administration (FAA) regarding data security.

3-4897 MERGERS, ACQUISITIONS, AND PROGRAM CHANGES. When two or more ANSPs consolidate because of a merger or acquisition, the consolidation of those programs is of particular importance. The PAI must give priority to the accurate consolidation of those programs. Once the PAI accepts the surviving program, the operator should take action to ensure that security records, reports, and logs are maintained, archived, or transferred as appropriate from the existing program into the surviving program. During this transition, the PAI will determine the time period required for maintaining the two systems in parallel operation. The surviving program should have at least the same capability as the existing program. The integration of the existing and surviving programs must maintain the integrity of the security system.

3-4898 CONTRACT MAINTENANCE PROVIDERS. The operator must ensure the contract maintenance provider complies with its ANSP as required by part 121, § 121.363(b) or part 125, § 125.245. The operator will verify compliance with this requirement by use of the audit process required by its Continuing Analysis and Surveillance System (CASS) and Continuous Airworthiness Maintenance Program (CAMP) as required by §§ 121.373 and 121.374, or § 125.247(e). A certificated repair station (CRS) that performs maintenance, preventive maintenance, or alterations for an operator that has an ANSP authorized under OpSpec D301 must follow the operator's program as required by 14 CFR part 145, § 145.205.

3-4899 TASK OUTCOMES.

A. Complete the PTRS Record. Use PTRS code 5315 for initial ANSP authorization or 5316 for revision thereof. In the "National Use" field, enter "ANSP Init" for initial authorization or "ANSP Rev" for any revisions to OpSpec D301 or any significant security program revisions even if OpSpec D301 is not revised. If an ANSP authorization request is denied, the PAI must document all the reasons for the denial in the comments section of the PTRS record.

B. Future Activities. For parts 121 and 121/135, routine surveillance can be found in SAS Element 4.6.1 (AW) Avionics Special Emphasis Program. For part 125 PAIs, at least annually verify compliance with the approved ANSP by performing a review of the operator's manual procedures (5626). For PAIs of part 129 operators of U.S.-registered aircraft, conduct a

desk audit annually of each operator's ANSP including the annual security risk assessment (5626). PAI surveillance of an operator's ANSP is to verify that the operator maintains network security and that the operator has made no significant changes to the program without PAI concurrence. PAIs will verify that the records and security logs continue to contain the required information to show compliance. If the operator makes changes to the ANSP, the Avionics Branch in cooperation with Security and Privacy Risk Management Staff will proactively assist the PAI with program evaluation and approval. The Avionics Branch will evaluate all initial ANSP program approvals, the addition of fleet types to an existing ANSP, or at the request of the PAI. The PAI can review and approve changes that are considered routine and do not involve an operator's IT infrastructure.

NOTE: The Security and Privacy Risk Management Staff may provide additional recommended surveillance tasks in the future.

RESERVED. Paragraphs 3-4900 through 3-4916.

VOLUME 3 GENERAL TECHNICAL ADMINISTRATION

CHAPTER 70 INTEGRATED AIRCRAFT HEALTH MANAGEMENT (IAHM)

Section 1 Reserved

3-70-1-1 through 3-70-1-29 RESERVED.

VOLUME 5 AIRMAN CERTIFICATION

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

Section 6 Accept or Reject an Application for a Student Pilot Certificate

5-341 PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODES.

A. Reject Application: 1501.

B. Accept Application: 1502.

5-342 OBJECTIVE. The objective of this task is to determine if an applicant for a Student Pilot Certificate is eligible under Title 14 of the Code of Federal Regulations (14 CFR) part 61. Completion of this task results in the transmission of an application for a Student Pilot Certificate to the Airmen Certification Branch. The Airmen Certification Branch issues the initial Student Pilot Certificate provided the applicant meets all Transportation Security Administration (TSA) and Federal Aviation Administration (FAA) eligibility requirements.

5-343 GENERAL.

A. Student Pilot Minimum Requirements. To hold and to exercise the privileges of a Student Pilot Certificate, a person must be:

- At least 16 years of age when seeking an airplane, rotorcraft, airship, weight-shift-control aircraft, Powered Parachute (PPC), or powered-lift rating.
- At least 14 years of age when seeking a balloon or glider rating.
- Able to meet the FAA Aviation English Language Standard (AELS).
- Able to pass the TSA vetting which occurs after the Airmen Certification Branch receives the application.

B. Student Pilot Certificate Application. Encourage an applicant for a Student Pilot Certificate to complete an online FAA Form 8710-1, Airman Certificate and/or Rating Application, utilizing the Integrated Airmen Certification and Rating Application (IACRA) system. However, whether utilizing IACRA or a paper FAA Form 8710-1, the applicant must present the required documents (proving eligibility) during a face-to-face meeting with one of the certifying officials listed in subparagraph 1) below.

1) Any one of the following persons may accept a Student Pilot Certificate application as a certifying official:

a) An aviation safety inspector (ASI) or aviation safety technician (AST);

b) A Designated Pilot Examiner (DPE);

c) An Airman Certification Representative (ACR) associated with a pilot school; or

d) An FAA certificated flight instructor (CFI).

2) IACRA allows an individual to proceed with an application up to 90 calendar-days prior to his or her 14th birthday. Applicants who are able to meet all requirements of subparagraph 5-343A on their next birthday may submit their application to a certifying official up to 90 calendar-days prior to meeting the age requirement for holding a Student Pilot Certificate. When the Airmen Certification Branch receives an early application through IACRA and subsequently determines the applicant is eligible, the Branch sends an advisory email message to the applicant's email address on file in IACRA. The email informs the applicant that he or she may print a temporary Student Pilot Certificate using IACRA. This provides a trained and properly endorsed applicant the opportunity to solo on his or her birthday. Eligible applicants filing a paper application must wait for a permanent plastic certificate to arrive by mail. A certifying official may accept a paper application for a Student Pilot Certificate up to 90 calendar-days prior to the applicant's birthday of eligibility, but it will be held by the Airmen Certification Branch and not processed until the applicant has become age-eligible for a certificate. A paper student pilot application must be submitted by the certifying official to the Flight Standards District Office (FSDO) for review and transmission to Airmen Certification Branch.

3) Certifying officials, including any ASI, must not issue a temporary Student Pilot Certificate using FAA Form 8060-4, Temporary Airman Certificate, unless the applicant has a valid Student Pilot Certificate as presented, documented in the Safety Performance Analysis System (SPAS), or as confirmed by the Airmen Certification Branch. The Airmen Certification Branch is now the sole authority for issuing any initial Student Pilot Certificate. The Airmen Certification Branch sends a permanent plastic Student Pilot Certificate via the United States Postal Service (USPS) to the applicant's address and arranges for electronic delivery of a temporary Student Pilot Certificate through IACRA.

4) A plastic Student Pilot Certificate has no expiration date; however, a student pilot exercising its privileges must have the required and valid flight instructor endorsements in the student pilot's logbook. The student pilot must meet medical requirements, if applicable. Flight instructors may endorse the back of a paper Student Pilot Certificate unless the certificate is expired, is full, or has been replaced with a permanent plastic certificate.

NOTE: An applicant does not need a valid FAA medical certificate when applying for a Student Pilot Certificate.

NOTE: An individual seeking a sport pilot certificate should apply for a Student Pilot Certificate in the same manner as an individual seeking a private or recreational pilot certificate. While the paper FAA Form 8710-11, Airman Certificate and/or Rating Application—Sport Pilot, lists a student pilot option, all applicants for a Student Pilot Certificate should use IACRA or a paper copy of FAA Form 8710-1. The FAA plans to remove the student pilot option from FAA Form 8710-11 during the next revision of that form.

C. FAA AELS Requirements for Part 61 Student Pilot Certification. An applicant for an FAA Student Pilot Certificate must be able to read, speak, write, and understand the English language in accordance with part 61, § 61.83(c) to be able to function safely and effectively within the National Airspace System (NAS). The FAA AELS is equivalent to the International Civil Aviation Organization (ICAO) Operational Level 4 standard for English language proficiency, and it is the FAA's minimum English standard. It is the certifying official's benchmark for the English language requirement.

1) When making the FAA AELS determination, the certifying official should refer to Advisory Circular (AC) 60-28, FAA English Language Standard for an FAA Certificate Issued Under 14 CFR Parts 61, 63, 65, and 107. If an applicant is unable to demonstrate FAA AELS to a certifying official who is not an ASI, that certifying official rejects the application in progress, refers the applicant to the appropriate FSDO, and files the IACRA application electronically with the Airmen Certification Branch or forwards the paper application to the appropriate FSDO. Therefore, FSDO personnel may receive paper applications for review that show rejection of a student pilot application due to questionable English language skills. FSDO personnel must review and forward these paper applications for processing to the Airmen Certification Branch. The Airman Certification Branch will flag the applicant and will not issue a Student Pilot Certificate to the affected applicant until it receives a subsequent favorable AELS determination on a subsequent application accepted and submitted by an ASI using either paper or IACRA.

2) A FSDO ASI meets with a referred applicant for an AELS evaluation by appointment. An ASI follows the procedures depicted on the flowchart in Volume 5, Chapter 14, Section 1, Figure 5-231, Referred to FSDO for AELS Determination Process, when evaluating a referred applicant. The applicant must supply a new IACRA or paper application for each AELS evaluation with an ASI. Unless and until an ASI makes a superseding positive AELS determination and files the superseding application with the Airmen Certification Branch, the Airmen Certification Branch will not issue the applicant's Student Pilot Certificate. If the applicant is able to meet FAA AELS on a superseding application processed by an ASI, the Airmen Certification Branch will allow processing of that application. It is also possible for an ASI to evaluate an individual's initial application for a Student Pilot Certificate.

3) IACRA reviews a student pilot application when the certifying official answers the applicable language ability questions and when the software analyzes the applicant's date of birth (DOB).

4) When using a paper FAA Form 8710-1, the certifying official assesses the applicant's age and ability to meet the FAA AELS before deciding whether to check the "Accepted Student Pilot Application" box or the "Rejected Student Pilot Application" box in the relevant section on page 2.

5) When the certifying official is other than an ASI, he or she must check either the "Meets FAA English Language Standard" box or the "Referred to FSDO for Aviation English Language Standard Determination" box in the "Remarks" section on the bottom of the last page of the paper application. Non-ASI/AST certifying officials must refer applicants to the appropriate FSDO if an applicant's inability to demonstrate the AELS requirement results in an application rejection.

6) Only an ASI has the authority to check the "Does Not Meet FAA English Language Standard" box. When an ASI is the certifying official and a paper application is used, the ASI also marks the application as accepted or rejected, but the ASI must check either the "Meets FAA English Language Standard" box or the "Does Not Meet FAA English Language Standard" box on the last page of the paper form. The "Referred to FSDO for Aviation English Language Standard Determination" box does not apply if the certifying official is an ASI or AST.

7) If an applicant does not meet the English requirement, any certifying official may suggest the applicant take an aviation English language course that meets, at minimum, ICAO Operational Level 4.

8) If a medical disability (i.e., a hearing impairment or speech impairment substantiated by a licensed physician's letter) is the reason an applicant is unable to read, speak, write, and understand English, only an FAA ASI (Operations) may accept and process the Student Pilot Certificate application. The ASI notes three specific limitations as referenced in Volume 5, Chapter 2, Section 5 as remarks when an applicant cannot meet English requirements due to a medical disability. However, a hearing or speech limitation does not necessarily prohibit a student pilot from solo operations in airspace that requires the use of communication radios. Such flight is possible provided the student pilot has received prior authorization from the jurisdictional air traffic facility where the flight will be conducted, and the student pilot is able to receive instructions from that air traffic facility via light signals or some other form of electronic communication. ASIs with questions regarding applicable limitations on medical certificates may contact a Regional Flight Surgeon (RFS) using the contact information found at https://www.faa.gov/other_visit/aviation_industry/designees_delegations/designee_types/ame/amcs/phonenumbers/.

NOTE: Before exercising the privileges of a Student Pilot Certificate, an applicant with medical disabilities who requires a medical certificate (or who will be unable to meet the areas of operation of a practical test even if no medical certificate is required) may need to take a special Medical Flight Test (MFT) as described in Volume 5, Chapter 8, Section 1.

5-344 PAPER STUDENT PILOT CERTIFICATES.

A. Expiration. A paper Student Pilot Certificate previously issued on FAA Form 8710-2, Student Pilot Certificate (see Figure 5-32) or on FAA Form 8420-2, Medical Certificate _____ Class and Student Pilot Certificate (see Figure 5-33), is valid for 24 or 60 calendar-months, depending on the age of the holder and rating sought as described in § 61.19. All paper Student Pilot Certificates will have expired by April 1, 2021. Upon expiration of a paper Student Pilot Certificate, the holder may apply for a plastic Student Pilot Certificate through a certifying official. A student pilot with an unexpired paper certificate may obtain a permanent Student Pilot Certificate any time prior to the expiration of his or her Student Pilot Certificate by following the procedures outlined in subparagraph 5-344C. The student pilot should retain a paper Student Pilot Certificate bearing any endorsements that remain valid and have it available with his or her logbook. Any subsequent endorsements will go in the student's logbook.

B. Endorsement Space Full. If the allotted space for flight instructor endorsements on a paper Student Pilot Certificate is full and the student seeks endorsements for additional types of aircraft, the student must apply for a replacement plastic certificate from the Airmen Certification Branch. The student pilot's logbook is the record for all endorsements received after receipt of the plastic Student Pilot Certificate. The student pilot should retain a paper Student Pilot Certificate bearing any endorsements that remain valid.

C. Replacement. A student pilot who holds a valid paper Student Pilot Certificate issued on FAA Form 8710-2 or on FAA Form 8420-2 may request a replacement plastic Student Pilot Certificate by mail in accordance with § 61.29 or at http://www.faa.gov/licenses_certificates/airmen_certification/airmen_services/. The FAA will charge a fee for replacement of a Student Pilot Certificate, which is consistent with 14 CFR part 187, § 187.5.

NOTE: If the reason for replacement is due to a change of name, nationality, DOB, or gender, then the certificate holder must go to a FSDO to process the application. FSDO personnel may issue a temporary certificate if the applicant already holds a valid Student Pilot Certificate.

5-345 MEDICAL ELIGIBILITY FOR EXERCISING STUDENT PILOT CERTIFICATE PRIVILEGES.

A. Operations Requiring a Medical Certificate. Except as provided in subparagraphs 5-345B, C, and D, a person must hold at least a third-class medical certificate when exercising the privileges of a Student Pilot Certificate.

B. Operations Not Requiring a Medical Certificate. A person is not required to hold a valid medical certificate when exercising the privileges of a Student Pilot Certificate while seeking a:

1) Sport pilot certificate with glider or balloon privileges; or

2) Pilot certificate with a glider category rating or balloon class rating.

C. Operations Requiring Either a Medical Certificate or U.S. Driver's License. A person must hold and possess either a valid medical certificate issued under 14 CFR part 67 or a current and valid U.S. driver's license when exercising the privileges of a Student Pilot Certificate while seeking sport pilot privileges in a light-sport aircraft (LSA) other than a glider or balloon. A person who has applied for or held a medical certificate may exercise the privileges of a Student Pilot Certificate using a current and valid U.S. driver's license only if that person:

1) Has been found eligible for the issuance of at least a third-class airman medical certificate at the time of his or her most recent application; and

2) Has not had his or her most recently issued medical certificate suspended or revoked or most recent Authorization for a Special Issuance of a Medical Certificate withdrawn.

D. Operations Under BasicMed. When exercising the privileges of a Student Pilot Certificate when operating under the conditions and limitations set forth in § 61.113(i), a person must have met all of the following conditions:

1) The person has held a medical certificate at any point after July 14, 2006.

2) The person's most recent medical certificate held has not been suspended or revoked.

3) If an Authorization for a Special Issuance was issued, it has not been withdrawn.

4) The most recent application for an airman medical certificate submitted to the FAA has not been completed and denied.

5) During the 48 months before acting as pilot in command (PIC), the person must have undergone a physical examination with a state-licensed physician, using FAA Form 8700-2, Comprehensive Medical Examination Checklist (BasicMed).

6) During the 24 calendar-months before acting as PIC, the person completed an approved BasicMed medical education course.

5-346 STUDENT PILOT CLASS B AIRSPACE ENDORSEMENTS. See Volume 5, Chapter 2, Section 5 for a discussion of the requirements of § 61.95 concerning student pilot operations (other than those seeking a sport pilot or recreational pilot certificate) in Class B airspace or at airports within Class B airspace.

5-347 PREREQUISITES AND COORDINATION REQUIREMENTS.

A. Prerequisites. This task requires knowledge of part 61 and FAA policies, and qualification as an ASI (Operations) or AST.

B. Coordination. This task requires coordination with the Airmen Certification Branch.

5-348 REFERENCES, FORMS, AND JOB AIDS.

A. References (current editions):

1) FAA Order 8900.1, Volume 5:

- Chapter 1, Direction, Guidance, and Procedures for Title 14 CFR Parts 121/135 and General Aviation;
- Chapter 2, Title 14 CFR Part 61 Certification of Pilots and Flight Instructors; and
- Chapter 14, FAA English Language Standard for Certification Under 14 CFR Parts 61, 63, 65, and 107.

2) Title 14 CFR:

- Part 1,
- Part 61 Subpart C, Student Pilots, and
- Part 187 Appendix A, Methodology for Computation of Fees for Certification Services Performed Outside the United States.

3) PTRS Procedures Manual (PPM).

4) ACs:

- AC 60-28, FAA English Language Standard for an FAA Certificate Issued Under 14 CFR Parts 61, 63, 65, and 107.
- AC 61-65, Certification: Pilots and Flight and Ground Instructors.

B. Forms:

- FAA Form 8000-36, Program Tracking and Reporting Data Sheet, or electronic PTRS.
- FAA Form 8060-4, Temporary Airman Certificate (for TSA vetted applicants only).
- FAA Form 8420-2, Medical Certificate _____ Class and Student Pilot Certificate (no longer issued).
- FAA Form 8710-1, Airman Certificate and/or Rating Application.
- FAA Form 8710-2, Student Pilot Certificate (no longer issued).

C. Job Aids. Sample letters and figures.

5-349 PROCEDURES.

A. Plan to Use IACRA. Applicants should utilize the IACRA system when making application prior to their eligibility birthday. IACRA is used whenever possible for all other Student Pilot Certificate applications.

1) Access IACRA at https://iacra.faa.gov/iacra/.

NOTE: DPEs, ASIs, and ASTs must have the capability to use IACRA if an applicant elects to use IACRA.

2) IACRA accepts attachments as needed. Notwithstanding the guidance below, documentation should not be mailed to the Airmen Certification Branch when completing the application using IACRA.

3) Apply the guidance contained in the rest of this paragraph to applications made through IACRA, as well as applications made using paper FAA Form 8710-1 (although process steps differ in order). References to the instructions for FAA Form 8710-1 also apply to the IACRA work instructions.

B. Schedule Appointment.

1) Inform the applicant that he or she must bring acceptable identification to the appointment (see Volume 5, Chapter 1, Section 3). Verify whether the appointment is for an initial student pilot application or for an AELS evaluation as the result of a referral. If the applicant is making a subsequent appointment as the result of being flagged by a certifying official as not meeting FAA AELS, follow the procedures in Volume 5, Chapter 14, Section 1, Figure 5-231 and relevant guidance in this section.

2) Inform the applicant planning to exercise solo privileges on his or her eligibility birthday or shortly thereafter to make application for a Student Pilot Certificate through IACRA and to schedule an appointment up to 90 calendar-days prior to his or her eligibility birthday.

3) Verify that the applicant is aware of the FAA medical, BasicMed, or U.S. driver's license requirements, as applicable.

NOTE: An applicant need not hold an FAA medical certificate, authorization to operate under BasicMed, or a U.S. driver's license when applying for a Student Pilot Certificate.

C. Applicant Arrives for Appointment.

1) Verify the applicant has an acceptable form of identification.

2) Open the PTRS (ASI/AST only) if processing a paper application. IACRA creates the PTRS records for FSDO personnel acting in the capacity of an ASI or AST.

D. Aircraft Category. Determine which category of aircraft the applicant intends to fly.

1) If it is a glider or balloon category aircraft, inform the applicant that he or she is not required to hold an FAA medical certificate to exercise student pilot privileges.

2) If it is an airplane, rotorcraft, powered-lift, weight-shift-control aircraft, PPC, or airship category, inform the applicant of the medical requirements and options. If applicable, advise the applicant to plan for a future appointment with an Aviation Medical Examiner (AME) to obtain an FAA medical certificate. Inform the applicant that application for a medical certificate is made using FAA MedXPress. If the applicant is seeking a sport pilot certificate, advise the applicant that he or she must hold at least a current third-class medical certificate issued under part 67 or a current and valid U.S. driver's license in order to exercise solo privileges.

E. Review Application. Verify that the application is filled out accurately, and in ink or typed if the paper FAA Form 8710-1 is used (see Figure 5-30, FAA Form 8710-1, Airman Certificate and/or Rating Application).

1) In section I, ensure that the applicant has checked the box labeled "Student." There is no requirement for the applicant to indicate on the application which category the applicant intends to operate. The default age for a Student Pilot Certificate without any rating

indication on the application is 14 years of age. If the applicant indicates any ratings without including either glider and/or balloon, the age requirement for issuance of the certificate is 16 years of age.

2) Ensure that the remainder of the application is filled out according to Volume 5, Chapter 1, Section 3. Sections II and III do not have to be completed on a Student Pilot Certificate application.

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

1) After verification of the applicant's identity, proceed with the application process and establish the person's eligibility.

2) If the applicant's identity cannot be verified because of lack of identification or inadequate identification, explain which forms of identification are acceptable. Do not accept, process, or submit the application. Instruct the applicant to return with appropriate identification in order to apply for the Student Pilot Certificate.

3) If 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, do not accept or process the Student Pilot Certificate application.

G. Establish Eligibility.

1) Determine if the applicant for a Student Pilot Certificate meets the age requirement to make application. For a paper application, if the applicant is more than 90 calendar-days short of the minimum age requirement, reject the application and note "Age requirement not met" in the "Remarks" section at the bottom of the last page. IACRA accepts an application if the applicant is within 90 calendar-days of his or her birthday of eligibility.

2) Determine if the applicant meets the FAA AELS. Refer to AC 60-28 and Volume 5, Chapter 14, Section 1.

3) An ASI accepts and processes the application if the applicant cannot read, speak, write, or understand English due to a hearing or speech impairment medically substantiated by a licensed physician's official letter and notes the required limitation, "Not valid for flights which require the use of English," either in IACRA or in the "Remarks" section of a paper form. If the applicant does not meet the requirements of § 61.83 and is unable to demonstrate ability to meet the FAA AELS for other than medical reasons, answer the language ability questions in IACRA. The system will capture the information and mark the application as rejected. If using a paper FAA Form 8710-1, check the "Rejected – Student Pilot Application" box. An ASI also checks the "Does Not Meet FAA Aviation English Language Standard" box at the bottom of the last page of the application when the ASI determines the applicant does not meet FAA AELS, unless the applicant has a documented hearing or speech impediment.

NOTE: The terms "accept" and "reject" notify the Airmen Certification Branch that the applicant does or does not meet the requirements for the issuance of a Student Pilot Certificate. If the applicant does not meet the eligibility requirements, the IACRA or paper application should still be processed and filed with the Airmen Certification Branch.

a) Inform the applicant of the reasons for any rejection.

b) Give an adequate explanation of how the applicant may correct the discrepancies.

H. Applicant Meets Requirements. If the applicant meets all the initial requirements for a Student Pilot Certificate:

1) If the Student Pilot Certificate is applied for in a foreign country, and if the applicant is neither a citizen of the United States nor a resident alien of the United States, then the applicant must comply with § 61.13(a)(2) and the fee schedule contained in appendix A of part 187.

2) The applicant reviews the Pilot's Bill of Rights (PBR) and acknowledges receipt of this information during the application procedure. This will occur as part of the automated process within IACRA. For those using a paper FAA Form 8710-1, the PBR notification is part of the form, and the applicant acknowledges receipt when signing the application. If a paper FAA Form 8710-1 is used, an ASI/AST who provides the PBR as part of FAA Form 8710-1 or a certifying official who otherwise observed the applicant review PBR notification checks the box that states, "I have personally delivered the Written Notification under the Pilot's Bill of Rights to the applicant." If the applicant has questions regarding the PBR, refer him or her to the FAA webpage on this topic (https://www.faa.gov/pilots/rights/) or to the Compliance Philosophy Brochure that discusses the PBR (accessed at https://www.faa.gov/about/initiatives/cp/).

3) When the ASI or AST is the certifying official, he or she must complete the ASI or AST certification section of the application by checking the box for "Accepted – Student Pilot Application" and by signing the application. The ASI/AST also checks the "Meets the FAA Aviation English Language Standard" at the bottom of the last page of application in the "Remarks" section when personally meeting with and assessing the applicant.

4) Notify the applicant that the Airmen Certification Branch typically issues a Student Pilot Certificate within several weeks from the date of receiving the application, provided initial security vetting by the TSA indicates that the applicant is security-eligible for the certificate. Since the processing time is dynamic, the applicant can check the expected delay by contacting the Airmen Certification Branch.

5) Additionally, inform the applicant that he or she must have physical possession of his or her certificate in order to exercise student pilot privileges.

I. Forward File. If the applicant was eligible and provided the required documentation, ASI/ASTs accept and submit the electronic file or forward the paper application file to the Airmen Certification Branch. The file consists of a completed signed FAA Form 8710-1 plus any

attachments. ASI/ASTs must submit the electronic file or forward the paper application to the Airmen Certification Branch without regard to acceptance or rejection of the application.

J. PTRS. Complete FAA Form 8000-36 or the electronic PTRS in accordance with the PPM (not applicable to DPEs or to ASIs and ASTs using IACRA in their official capacity).

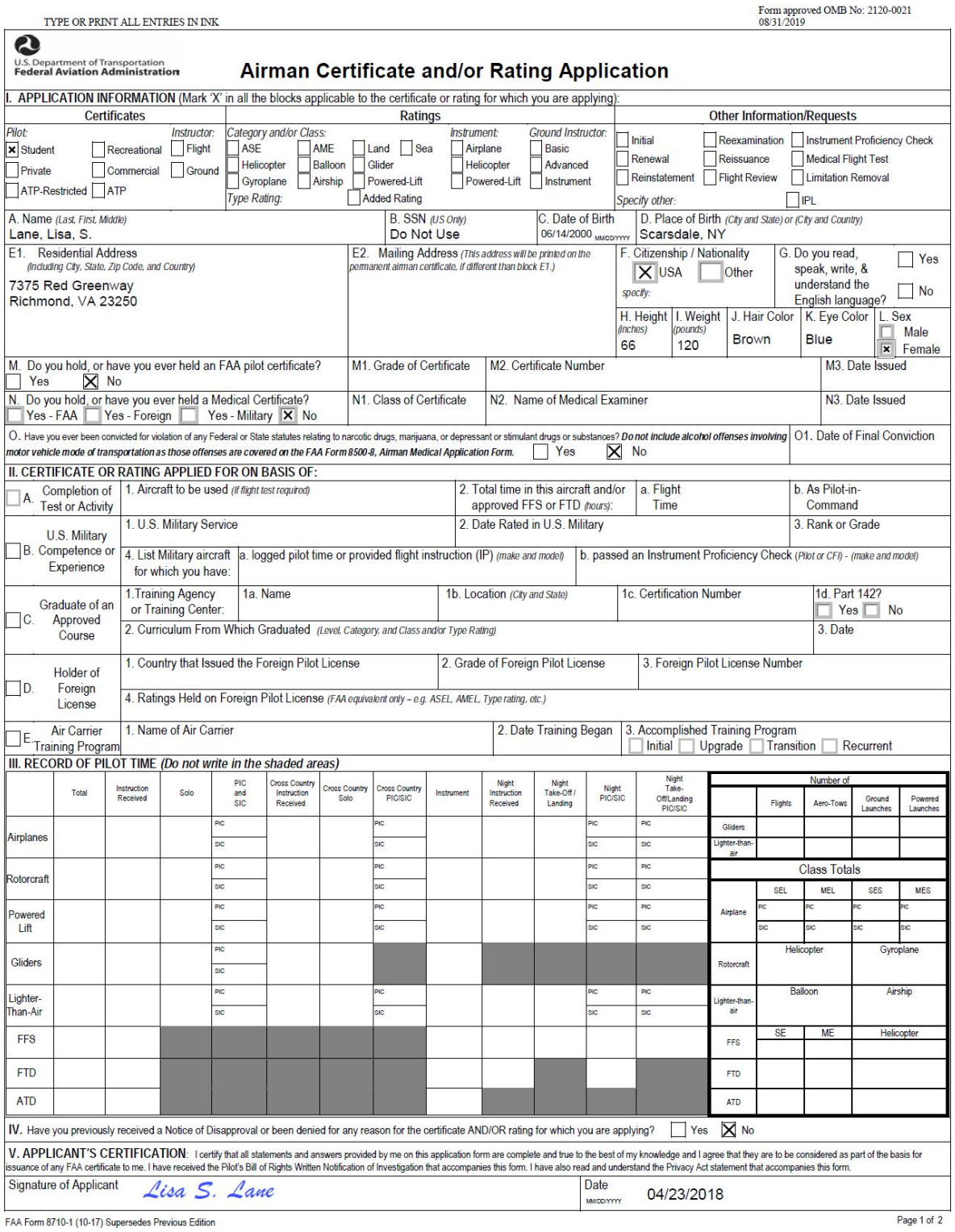
5-350 TASK OUTCOMES. Completion of this task will result in the submission of a student pilot application with a recommendation to the Airmen Certification Branch. The Airmen Certification Branch issues the Student Pilot Certificate when the applicant meets all TSA and FAA eligibility requirements.

5-351 FUTURE ACTIVITIES.

A. Reapply After Expiration. Upon expiration of a previously issued paper Student Pilot Certificate, the applicant may reapply for a permanent Student Pilot Certificate.

B. Reapply After Rejection. The applicant may return for subsequent application for a Student Pilot Certificate after having an application rejected or may return for a sport pilot, recreational pilot, or private pilot certification.

Figure 5-30. FAA Form 8710-1, Airman Certificate and/or Rating Application, Page 1



TYPE OR PRINT ALL ENTRIES IN INK

Form approved OMB No: 2120-0021
08/31/2019

U.S. Department of Transportation
Federal Aviation Administration

Airman Certificate and/or Rating Application

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

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

A. Name (Last, First, Middle)	B. SSN (US Only)	C. Date of Birth MM/DD/YYYY	D. Place of Birth (City and State) or (City and Country)
Lane, Lisa, S.	Do Not Use	06/14/2000	Scarsdale, NY

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

H. Height (Inches)	I. Weight (Pounds)	J. Hair Color	K. Eye Color	L. Sex
66	120	Brown	Blue	[ ] Male [x] Female

M. Do you hold, or have you ever held an FAA pilot certificate?	M1. Grade of Certificate	M2. Certificate Number	M3. Date Issued
[ ] Yes [x] No			

N. Do you hold, or have you ever held a Medical Certificate?	N1. Class of Certificate	N2. Name of Medical Examiner	N3. Date Issued
[ ] Yes - FAA [ ] Yes - Foreign [ ] Yes - Military [x] No			

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 [x] No — O1. Date of Final Conviction

II. CERTIFICATE OR RATING APPLIED FOR ON BASIS OF:

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

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

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

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

Class Totals				
	SEL	MEL	SES	MES
Airplane	PIC / SIC	PIC / SIC	PIC / SIC	PIC / SIC
Rotorcraft	Helicopter		Gyroplane	
Lighter-than-air	Balloon		Airship	
	SE	ME	Helicopter	
FFS				
FTD				
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 [x] 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.

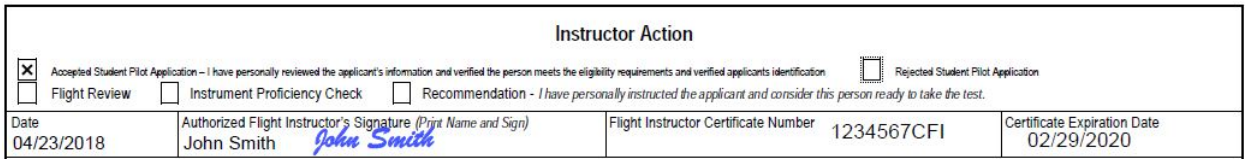
Signature of Applicant	Date MM/DD/YYYY
Lisa S. Lane	04/23/2018

FAA Form 8710-1 (10-17) Supersedes Previous Edition

Page 1 of 2

Figure 5-31. Selected Sections of Reverse Side of FAA Form 8710-1

If a flight instructor accepts the paper application, he or she forwards the paper application with this section filled in as follows:



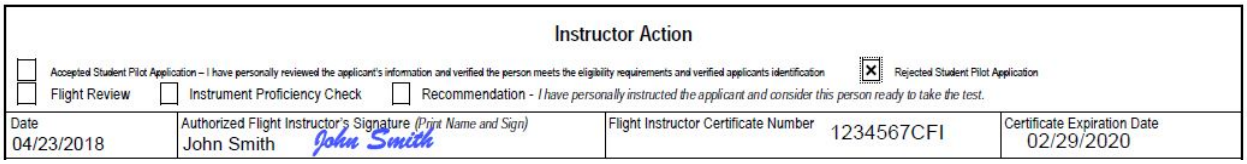
Instructor Action

☒ Accepted Student Pilot Application – I have personally reviewed the applicant's information and verified the person meets the eligibility requirements and verified applicants identification ☐ Rejected Student Pilot Application

☐ Flight Review ☐ Instrument Proficiency Check ☐ Recommendation - *I have personally instructed the applicant and consider this person ready to take the test.*

Date	Authorized Flight Instructor's Signature *(Print Name and Sign)*	Flight Instructor Certificate Number	Certificate Expiration Date
04/23/2018	John Smith *John Smith*	1234567CFI	02/29/2020

If a flight instructor rejects the paper application, he or she forwards the application with this section filled in as follows:



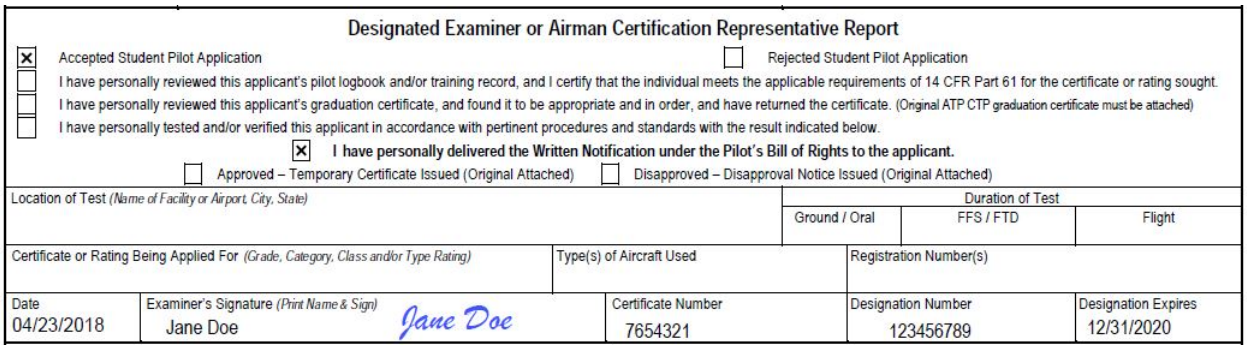
Instructor Action

☐ Accepted Student Pilot Application – I have personally reviewed the applicant's information and verified the person meets the eligibility requirements and verified applicants identification ☒ Rejected Student Pilot Application

☐ Flight Review ☐ Instrument Proficiency Check ☐ Recommendation - *I have personally instructed the applicant and consider this person ready to take the test.*

Date	Authorized Flight Instructor's Signature *(Print Name and Sign)*	Flight Instructor Certificate Number	Certificate Expiration Date
04/23/2018	John Smith *John Smith*	1234567CFI	02/29/2020

If a DPE or ACR accepts the paper application, he or she forwards the application with this section filled in as follows:



Designated Examiner or Airman Certification Representative Report

☒ Accepted Student Pilot Application ☐ Rejected Student Pilot Application

☐ I have personally reviewed this applicant's pilot logbook and/or training record, and I certify that the individual meets the applicable requirements of 14 CFR Part 61 for the certificate or rating sought.

☐ I have personally reviewed this applicant's graduation certificate, and found it to be appropriate and in order, and have returned the certificate. (Original ATP CTP graduation certificate must be attached)

☐ I have personally tested and/or verified this applicant in accordance with pertinent procedures and standards with the result indicated below.

☒ **I have personally delivered the Written Notification under the Pilot's Bill of Rights to the applicant.**

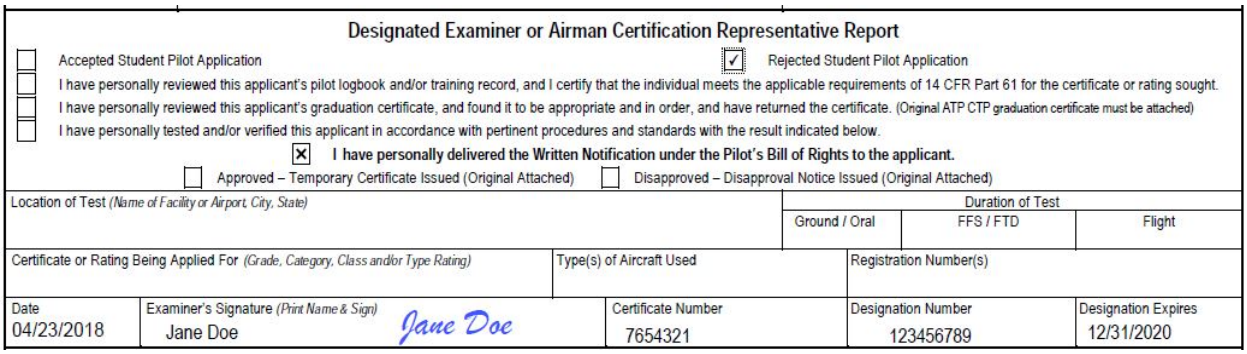
☐ Approved – Temporary Certificate Issued (Original Attached) ☐ Disapproved – Disapproval Notice Issued (Original Attached)

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

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

Date	Examiner's Signature *(Print Name & Sign)*	Certificate Number	Designation Number	Designation Expires
04/23/2018	Jane Doe *Jane Doe*	7654321	123456789	12/31/2020

If a DPE or ACR rejects the paper application, he or she forwards the application with this section filled in as follows:



Designated Examiner or Airman Certification Representative Report

☐ Accepted Student Pilot Application ☑ Rejected Student Pilot Application

☐ I have personally reviewed this applicant's pilot logbook and/or training record, and I certify that the individual meets the applicable requirements of 14 CFR Part 61 for the certificate or rating sought.

☐ I have personally reviewed this applicant's graduation certificate, and found it to be appropriate and in order, and have returned the certificate. (Original ATP CTP graduation certificate must be attached)

☐ I have personally tested and/or verified this applicant in accordance with pertinent procedures and standards with the result indicated below.

☒ **I have personally delivered the Written Notification under the Pilot's Bill of Rights to the applicant.**

☐ Approved – Temporary Certificate Issued (Original Attached) ☐ Disapproved – Disapproval Notice Issued (Original Attached)

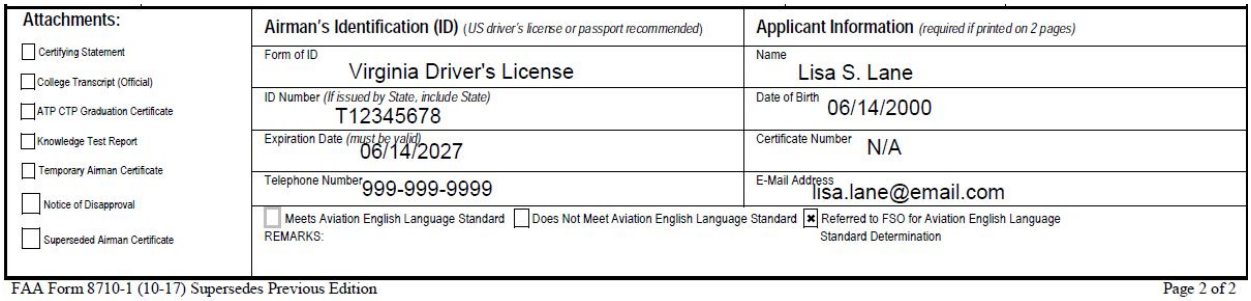
Location of Test *(Name of Facility or Airport, City, State)*	Duration of Test: Ground / Oral	FFS / FTD	Flight

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

Date	Examiner's Signature *(Print Name & Sign)*	Certificate Number	Designation Number	Designation Expires
04/23/2018	Jane Doe *Jane Doe*	7654321	123456789	12/31/2020

Figure 5-31. Selected Sections of Reverse Side of FAA Form 8710-1 (Continued)

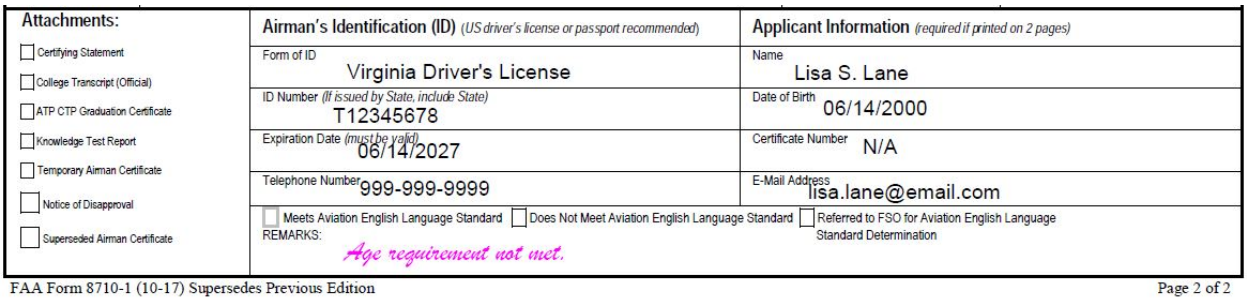
When a DPE, ACR, or flight instructor rejects a student pilot application for AELS referral, he or she prepares the application "Remarks" section as follows:



Attachments:	Airman's Identification (ID) *(US driver's license or passport recommended)*	Applicant Information *(required if printed on 2 pages)*
☐ Certifying Statement ☐ College Transcript (Official) ☐ ATP CTP Graduation Certificate ☐ Knowledge Test Report ☐ Temporary Airman Certificate ☐ Notice of Disapproval ☐ Superseded Airman Certificate	Form of ID: Virginia Driver's License	Name: Lisa S. Lane
	ID Number *(If issued by State, include State)*: T12345678	Date of Birth: 06/14/2000
	Expiration Date *(must be valid)*: 06/14/2027	Certificate Number: N/A
	Telephone Number: 999-999-9999	E-Mail Address: lisa.lane@email.com
	☐ Meets Aviation English Language Standard ☐ Does Not Meet Aviation English Language Standard ☒ Referred to FSO for Aviation English Language Standard Determination REMARKS:	

FAA Form 8710-1 (10-17) Supersedes Previous Edition Page 2 of 2

When an ASI, AST, DPE, ACR, or flight instructor rejects a student pilot application for insufficient age, he or she prepares the application "Remarks" section as follows:

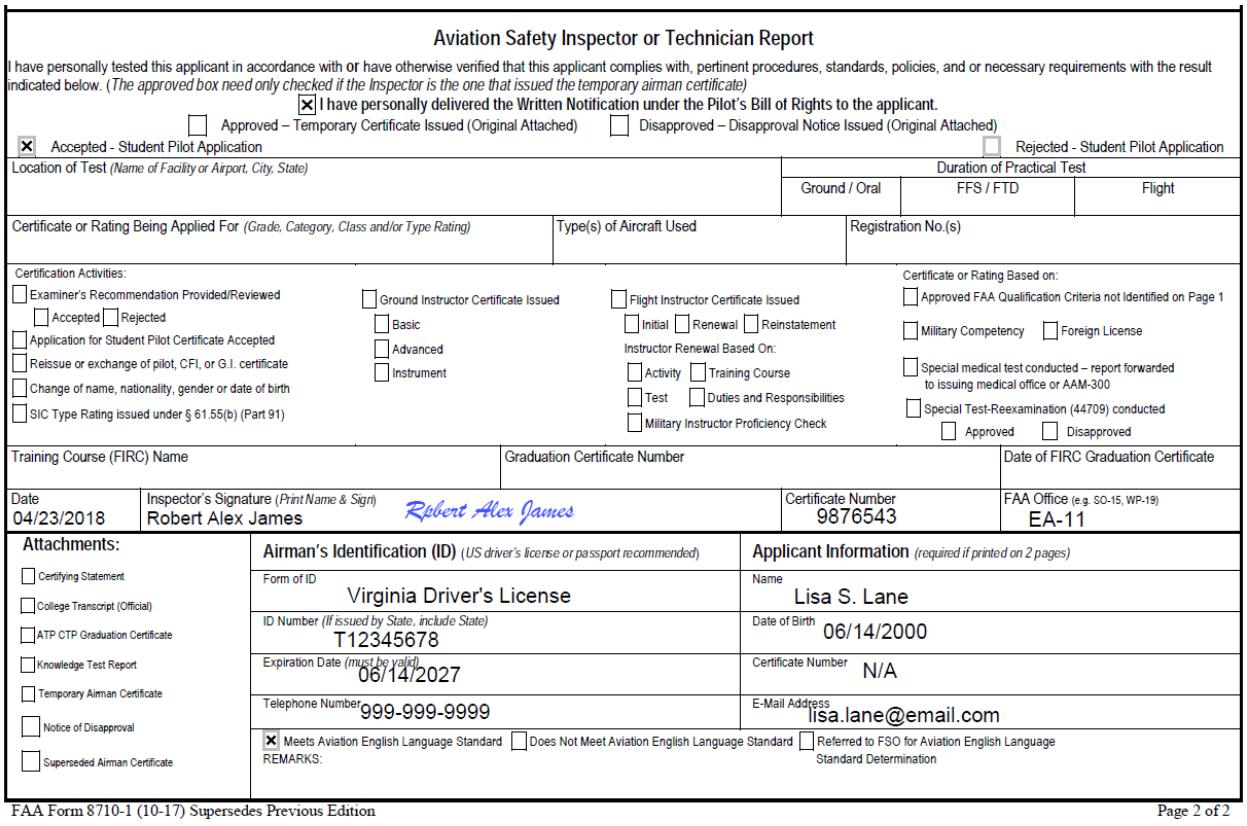


Attachments:	Airman's Identification (ID) *(US driver's license or passport recommended)*	Applicant Information *(required if printed on 2 pages)*
☐ Certifying Statement ☐ College Transcript (Official) ☐ ATP CTP Graduation Certificate ☐ Knowledge Test Report ☐ Temporary Airman Certificate ☐ Notice of Disapproval ☐ Superseded Airman Certificate	Form of ID: Virginia Driver's License	Name: Lisa S. Lane
	ID Number *(If issued by State, include State)*: T12345678	Date of Birth: 06/14/2000
	Expiration Date *(must be valid)*: 06/14/2027	Certificate Number: N/A
	Telephone Number: 999-999-9999	E-Mail Address: lisa.lane@email.com
	☐ Meets Aviation English Language Standard ☐ Does Not Meet Aviation English Language Standard ☐ Referred to FSO for Aviation English Language Standard Determination REMARKS: *Age requirement not met.*	

FAA Form 8710-1 (10-17) Supersedes Previous Edition Page 2 of 2

Figure 5-31. Selected Sections of Reverse Side of FAA Form 8710-1 (Continued)

If an ASI or AST accepts the paper application as a certifying official, he or she forwards the application with this section filled in as follows:



Aviation Safety Inspector or Technician Report

I have personally tested this applicant in accordance with **or** have otherwise verified that this applicant complies with, pertinent procedures, standards, policies, and or necessary requirements with the result indicated below. (*The approved box need only checked if the Inspector is the one that issued the temporary airman certificate)*

☒ **I have personally delivered the Written Notification under the Pilot's Bill of Rights to the applicant.**

☐ Approved – Temporary Certificate Issued (Original Attached) ☐ Disapproved – Disapproval Notice Issued (Original Attached)

☒ Accepted - Student Pilot Application ☐ 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:
- ☐ Examiner's Recommendation Provided/Reviewed
  - ☐ Accepted ☐ Rejected
- ☐ Application for Student Pilot Certificate Accepted
- ☐ Reissue or exchange of pilot, CFI, or G.I. certificate
- ☐ Change of name, nationality, gender or date of birth
- ☐ SIC Type Rating issued under § 61.55(b) (Part 91)

- ☐ Ground Instructor Certificate Issued
  - ☐ Basic
  - ☐ Advanced
  - ☐ Instrument
- ☐ Flight Instructor Certificate Issued
  - ☐ Initial ☐ Renewal ☐ Reinstatement

Instructor Renewal Based On:
- ☐ Activity ☐ Training Course
- ☐ Test ☐ Duties and Responsibilities
- ☐ Military Instructor Proficiency Check

Certificate or Rating Based on:
- ☐ Approved FAA Qualification Criteria not Identified on Page 1
- ☐ Military Competency ☐ Foreign License
- ☐ Special medical test conducted – report forwarded to issuing medical office or AAM-300
- ☐ Special Test-Reexamination (44709) conducted
  - ☐ Approved ☐ Disapproved

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

Date	Inspector's Signature *(Print Name & Sign)*	Certificate Number	FAA Office (e.g. SO-15, WP-19)
04/23/2018	Robert Alex James *Robert Alex James*	9876543	EA-11

Attachments:
- ☐ Certifying Statement
- ☐ College Transcript (Official)
- ☐ ATP CTP Graduation Certificate
- ☐ Knowledge Test Report
- ☐ Temporary Airman Certificate
- ☐ Notice of Disapproval
- ☐ Superseded Airman Certificate

Airman's Identification (ID) *(US driver's license or passport recommended)*

Form of ID	ID Number *(If issued by State, include State)*	Expiration Date *(must be valid)*	Telephone Number
Virginia Driver's License	T12345678	06/14/2027	999-999-9999

Applicant Information *(required if printed on 2 pages)*

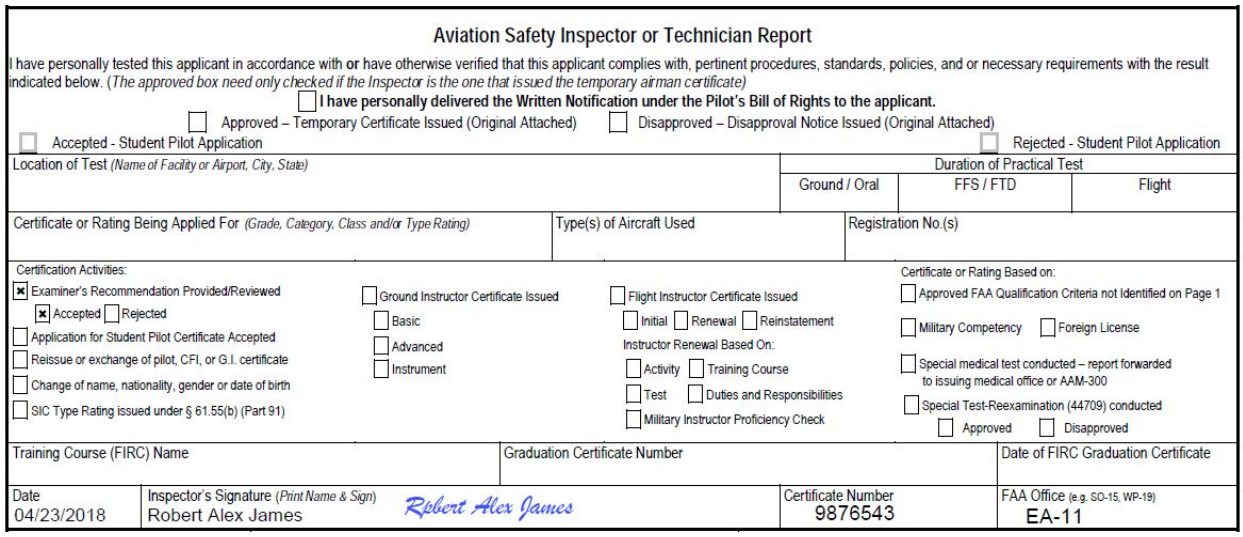
Name	Date of Birth	Certificate Number	E-Mail Address
Lisa S. Lane	06/14/2000	N/A	lisa.lane@email.com

☒ Meets Aviation English Language Standard ☐ Does Not Meet Aviation English Language Standard ☐ Referred to FSO for Aviation English Language Standard Determination

REMARKS:

FAA Form 8710-1 (10-17) Supersedes Previous Edition Page 2 of 2

If an ASI or AST accepts a recommendation from a flight instructor, DPE, or ACR as the certifying official, the application is completed as follows (regardless of whether the application has been accepted or rejected):



Aviation Safety Inspector or Technician Report

I have personally tested this applicant in accordance with **or** have otherwise verified that this applicant complies with, pertinent procedures, standards, policies, and or necessary requirements with the result indicated below. (*The approved box need only checked if the Inspector is the one that issued the temporary airman certificate)*

☐ **I have personally delivered the Written Notification under the Pilot's Bill of Rights to the applicant.**

☐ Approved – Temporary Certificate Issued (Original Attached) ☐ Disapproved – Disapproval Notice Issued (Original Attached)

☐ Accepted - Student Pilot Application ☐ 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:
- ☒ Examiner's Recommendation Provided/Reviewed
  - ☒ Accepted ☐ Rejected
- ☐ Application for Student Pilot Certificate Accepted
- ☐ Reissue or exchange of pilot, CFI, or G.I. certificate
- ☐ Change of name, nationality, gender or date of birth
- ☐ SIC Type Rating issued under § 61.55(b) (Part 91)

- ☐ Ground Instructor Certificate Issued
  - ☐ Basic
  - ☐ Advanced
  - ☐ Instrument
- ☐ Flight Instructor Certificate Issued
  - ☐ Initial ☐ Renewal ☐ Reinstatement

Instructor Renewal Based On:
- ☐ Activity ☐ Training Course
- ☐ Test ☐ Duties and Responsibilities
- ☐ Military Instructor Proficiency Check

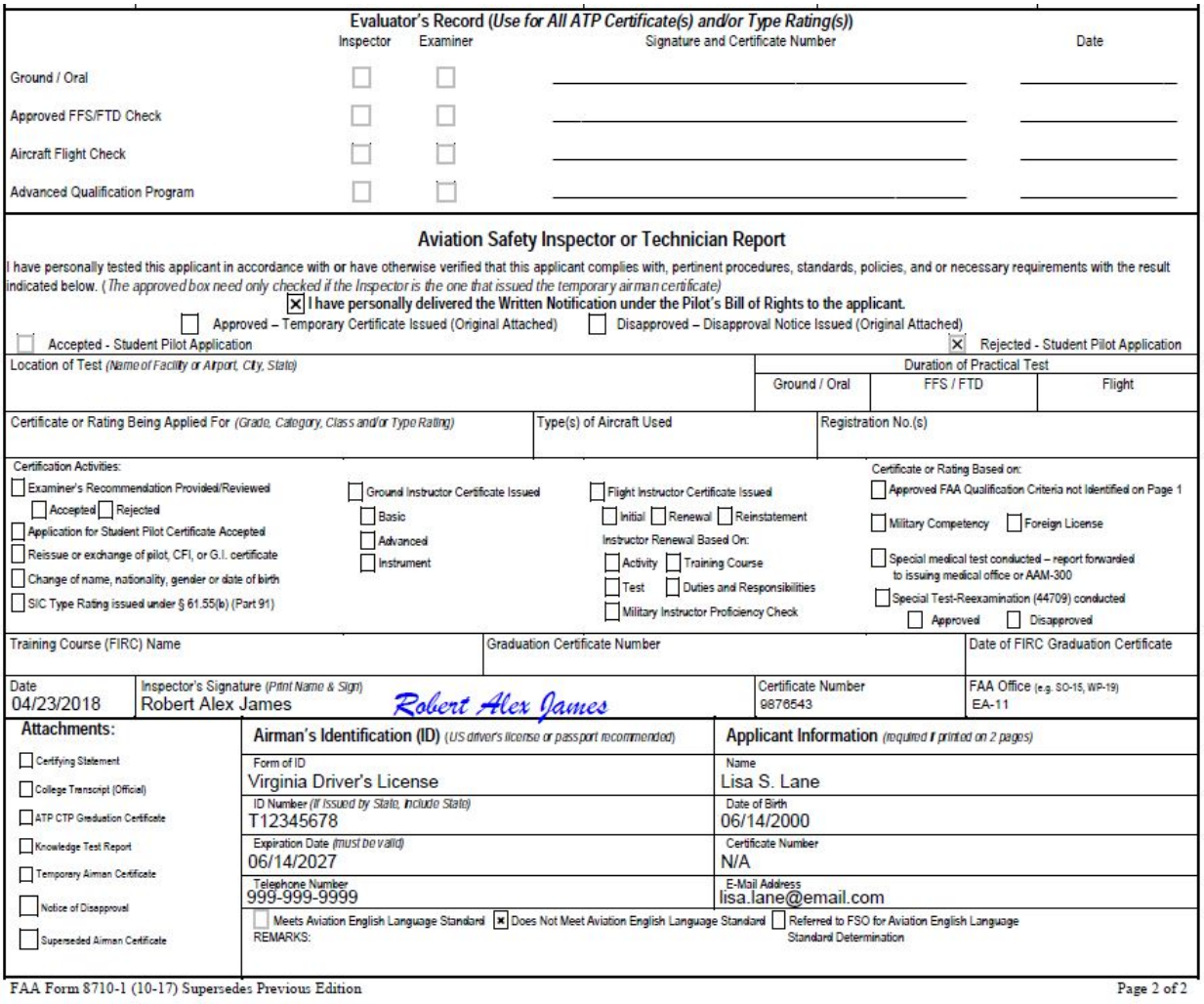
Certificate or Rating Based on:
- ☐ Approved FAA Qualification Criteria not Identified on Page 1
- ☐ Military Competency ☐ Foreign License
- ☐ Special medical test conducted – report forwarded to issuing medical office or AAM-300
- ☐ Special Test-Reexamination (44709) conducted
  - ☐ Approved ☐ Disapproved

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

Date	Inspector's Signature *(Print Name & Sign)*	Certificate Number	FAA Office (e.g. SO-15, WP-19)
04/23/2018	Robert Alex James *Robert Alex James*	9876543	EA-11

Figure 5-31. Selected Sections of Reverse Side of FAA Form 8710-1 (Continued)

If the ASI or AST rejects the application as a certifying official for an AELS issue, prepare the application as follows:



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

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

Aviation Safety Inspector or Technician Report

I have personally tested this applicant in accordance with or have otherwise verified that this applicant complies with, pertinent procedures, standards, policies, and or necessary requirements with the result indicated below. (*The approved box need only checked if the Inspector is the one that issued the temporary airman certificate)*

☒ **I have personally delivered the Written Notification under the Pilot's Bill of Rights to the applicant.**

☐ Approved – Temporary Certificate Issued (Original Attached) ☐ Disapproved – Disapproval Notice Issued (Original Attached)

☐ Accepted - Student Pilot Application ☒ 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:

☐ Examiner's Recommendation Provided/Reviewed ☐ Accepted ☐ Rejected

☐ Application for Student Pilot Certificate Accepted

☐ Reissue or exchange of pilot, CFI, or G.I. certificate

☐ Change of name, nationality, gender or date of birth

☐ SIC Type Rating issued under § 61.55(b) (Part 91)

☐ Ground Instructor Certificate Issued ☐ Basic ☐ Advanced ☐ Instrument

☐ Flight Instructor Certificate Issued ☐ Initial ☐ Renewal ☐ Reinstatement

Instructor Renewal Based On:

☐ Activity ☐ Training Course ☐ Test ☐ Duties and Responsibilities ☐ Military Instructor Proficiency Check

Certificate or Rating Based on:

☐ Approved FAA Qualification Criteria not Identified on Page 1

☐ Military Competency ☐ Foreign License

☐ Special medical test conducted – report forwarded to issuing medical office or AAM-300

☐ Special Test-Reexamination (44709) conducted ☐ Approved ☐ Disapproved

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

Date	Inspector's Signature (*Print Name & Sign*)	Certificate Number	FAA Office (e.g. SO-15, WP-19)
04/23/2018	Robert Alex James *Robert Alex James*	9876543	EA-11

Attachments:

☐ Certifying Statement
☐ College Transcript (Official)
☐ ATP CTP Graduation Certificate
☐ Knowledge Test Report
☐ Temporary Airman Certificate
☐ Notice of Disapproval
☐ Superseded Airman Certificate

Airman's Identification (ID) (*US driver's license or passport recommended*)

Form of ID	Name
Virginia Driver's License	Lisa S. Lane
ID Number (*If issued by State, include State*)	Date of Birth
T12345678	06/14/2000
Expiration Date (*must be valid*)	Certificate Number
06/14/2027	N/A
Telephone Number	E-Mail Address
999-999-9999	lisa.lane@email.com

Applicant Information (*required if printed on 2 pages*)

☐ Meets Aviation English Language Standard ☒ Does Not Meet Aviation English Language Standard ☐ Referred to FSO for Aviation English Language Standard Determination

REMARKS:

FAA Form 8710-1 (10-17) Supersedes Previous Edition Page 2 of 2

Figure 5-32. FAA Form 8710-2, Student Pilot Certificate (No Longer Issued)

UNITED STATES OF AMERICA
DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

CERTIFICATE NO. BB-654987

STUDENT PILOT CERTIFICATE

THIS CERTIFIES THAT *(Full name and address)*

HANNA MARIE JASON
7206 YORK ROAD
TOWSON, MD 21212

BIRTH DATE	HEIGHT	WEIGHT	HAIR	EYES	SEX
7/2/73	63 IN	130 lbs	BROWN	HAZEL	FEMALE

Has met the standards prescribed in Part 61 of the Federal Aviation Regulations for a Student Pilot Certificate.

LIMITATIONS

ISSUANCE DATE	EXPIRATION DATE
1/7/2006	1/31/2008

ISSUED BY

SIGNATURE OF EXAMINER OR INSPECTOR: David P. Cooper
DAVID P. COOPER

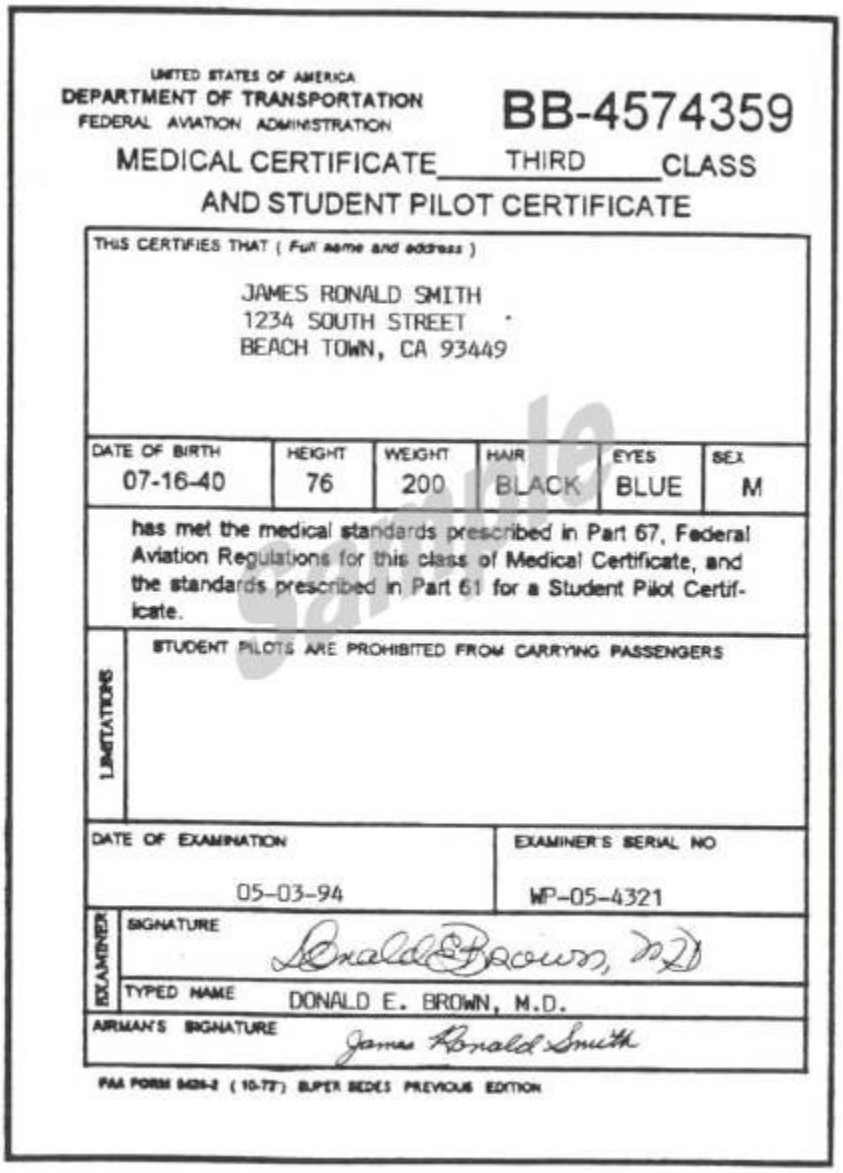
EXAM. DESIG. NO. OR INSPECTOR'S REG. NO.: EA 04-8853

DATE EXAMINER'S DESIG. EXPIRES: 5/31/07

STUDENT PILOT'S SIGNATURE Hanna M. Jason

FAA Form 8710-2 (2-77) FORMERLY FAA FORM 8420-1

Figure 5-33. FAA Form 8420-2, Medical Certificate _____ Class and Student Pilot Certificate (No Longer Issued)



UNITED STATES OF AMERICA
DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

BB-4574359

MEDICAL CERTIFICATE THIRD CLASS
AND STUDENT PILOT CERTIFICATE

THIS CERTIFIES THAT (Full name and address)

JAMES RONALD SMITH
1234 SOUTH STREET
BEACH TOWN, CA 93449

DATE OF BIRTH	HEIGHT	WEIGHT	HAIR	EYES	SEX
07-16-40	76	200	BLACK	BLUE	M

has met the medical standards prescribed in Part 67, Federal Aviation Regulations for this class of Medical Certificate, and the standards prescribed in Part 61 for a Student Pilot Certificate.

LIMITATIONS: STUDENT PILOTS ARE PROHIBITED FROM CARRYING PASSENGERS

DATE OF EXAMINATION	EXAMINER'S SERIAL NO
05-03-94	WP-05-4321

EXAMINER
SIGNATURE: Donald E. Brown, MD
TYPED NAME: DONALD E. BROWN, M.D.

AIRMAN'S SIGNATURE: James Ronald Smith

FAA FORM 8420-2 (10-72) SUPER SEDES PREVIOUS EDITION

RESERVED. Paragraphs 5-352 through 5-370.

VOLUME 6 SURVEILLANCE

CHAPTER 1 PART 91 INSPECTIONS

Section 7 Evaluating and Inspecting Part 91 Aircraft

6-1-7-1 PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODES.

- **Maintenance:** 3681.
- **Avionics:** 5681.

6-1-7-3 OBJECTIVE. This chapter provides guidance for evaluating and inspecting aircraft operated per Title 14 of the Code of Federal Regulations (14 CFR) part 91.

6-1-7-5 INSPECT AND EVALUATE AIRCRAFT. Per part 91, § 91.403, the owner/operator is responsible for maintaining the aircraft in an Airworthy condition. The aviation safety inspector (ASI) is tasked with inspecting the aircraft to verify that it is Airworthy. Several types of inspection programs are available to part 91 owner/operators. Part 91 programs under § 91.409(f)(4) must be submitted and approved by a responsible Flight Standards office. Volume 6, Chapter 1, Section 2 provides guidance on these programs. The following programs apply to part 91 aircraft, excluding part 91 subpart K (part 91K) operations. For part 91K operations, see Volume 6, Chapter 2, Section 17.

A. Annual and 100-Hour Inspections. Annual and 100-hour inspections must be accomplished using a checklist as required by 14 CFR part 43, § 43.15(c). The checklist must include the scope and detail of part 43 appendix D, at a minimum. Helicopters have additional inspection requirements as defined in § 43.15(b).

1) Annual Inspections. Aircraft subject to the requirements of § 91.409(a) may not be operated unless they have been inspected in accordance with an annual inspection and approved for return to service within the preceding 12 months. The minimum scope and detail is defined in part 43 appendix D.

2) The 100-Hour Inspection. Under certain conditions as stated in § 91.409(b), aircraft must be inspected in accordance with a 100-hour inspection (or annual) inspection within the preceding 100 hours of time in service. The minimum scope and detail of a 100-hour inspection is defined in part 43 appendix D. These inspections are required in addition to annual inspections under the following situations:

- Aircraft are operated for carrying persons for compensation or hire; or
- Aircraft are used for flight instructions if furnished by the flight instructor.

B. Progressive Inspections. The progressive inspection must be a complete inspection of the aircraft, conducted in stages, with all stages being completed within 12 calendar-months.

C. Large Airplane (Over 12,500 lb), Turbine-Powered (Turbojet and Turbopropeller) Multiengine Airplane, and Turbine-Powered Rotorcraft Inspection Programs. These aircraft must be inspected according to an inspection program selected by the owner/operator. Section 91.409(f) outlines various options available to the owner/operator.

D. Other Inspections. Experimental, light-port, and provisional aircraft have their inspection requirements set forth in their operating limitations used in accordance with § 91.327(b).

6-1-7-7 EXPERIMENTAL AIRCRAFT INSPECTION PROGRAMS. Aircraft having experimental Airworthiness Certificates are not subject to the inspection requirements of § 91.409(a) or (b). They must have inspection programs that have been developed which are specific to the aircraft, approved by the Federal Aviation Administration (FAA), and referenced in the operating limitations that are part of the experimental Airworthiness Certificate. The following describes special considerations for certain types of aircraft:

A. Experimental Aircraft. When evaluating experimental aircraft, consider:

1) Substituting Materials or Replacement Parts. Refer to:

- Accepted FAA procedures;
- A recognized industry standard, based on dimensions and technical data provided by the manufacturer; or
- Information provided by an appropriate engineering evaluation, when making repairs involving the substitution of materials or replacement parts.

2) Complying with Life Limits of Articles. Owner/operators must comply with the life limits of articles specified in applicable technical publications in one of the following manners:

a) For type-certificated (TC) products, replacement of life-limited parts required by § 91.409(e) is only applicable to experimental aircraft when required replacement times are specified in the U.S. aircraft specifications or a Type Certificate Data Sheet (TCDS).

b) For non-TC'd products, operators must include a level of safety acceptable to the FAA in their inspection program for all installed articles for which the manufacturer has specified limits. Although the FAA recommends adherence to part replacements, an Acceptable Level of Safety (ALoS) for non-TC'd products is allowable. The article must be inspected to ensure the equivalent level of safety (ELOS) still renders the product in a serviceable condition for safe operation.

3) Extension of Component Life Limits. The applicant may submit data with a request to a responsible Flight Standards office to extend the life limit on specific components of the aircraft beyond life limits recommended by the manufacturer or the military technical order. If FAA approval is granted, the office should issue a letter to the operator that specifies the specific aircraft and items to be extended. In cases where the data listed is unavailable or cannot

be substantiated, the components will not be eligible for extension of life limits. The data submitted by the applicant should contain the following information:

a) Original strength, stress, and fatigue data for the aircraft and the pertinent parts, including other parts affected by changes of the life limits and inspection intervals.

b) Methodology used by the designers while developing the life limits and inspection intervals.

c) The operational history of the aircraft and parts, since usage affects life limits and inspection intervals.

d) The service history of the aircraft and pertinent parts, including repairs and modifications affecting the strength, stress, and fatigue characteristics of the parts and their effects on part life limits and inspection intervals.

e) For ex-military parts, how present operational usage differs from prior military usage.

f) Evidence that the applicant's inspection or testing techniques (e.g., nondestructive inspection (NDI) or Nondestructive Testing (NDT)) are comparable to manufacturer or military techniques.

g) Evidence that the owner/operator's methodology produces at least as safe a product as the manufacturer's or military's approach, such as damage-tolerance (DT) with inspections versus safe-life with automatic removal.

h) A procedure to inspect the component to a physical standard and for NDT, where applicable.

6-1-7-9 COORDINATION REQUIREMENTS. This task requires coordination between Airworthiness ASIs.

6-1-7-11 REFERENCES, FORMS, AND JOB AIDS.

A. References (current editions):

- Title 14 CFR Parts 39, 43, 65, and 91.
- Advisory Circular (AC) 39-7, Airworthiness Directives.
- AC 43-9, Maintenance Records.
- AC 43.9-1, Instructions for Completion of FAA Form 337.
- AC 91-90, Part 91 Approved Inspection Programs.
- Volume 6, Chapter 1, Section 2, Inspect a Part 91 Inspection Program.
- Volume 6, Chapter 1, Section 3, Inspect Part 91 Maintenance Records.

B. Forms. None.

C. Job Aids. Job Task Analysis (JTA): (GA) 2.5.1.

6-1-7-13 PROCEDURES.

A. Conduct Surveillance of the Aircraft. Examine the aircraft to determine that it is Airworthy and in a condition for safe operation to the extent possible. Ensure that the inspection is accomplished, either in the presence of or with specific approval from the owner/operator.

1) Inspect the Airworthiness Certificate. Ensure that the Airworthiness Certificate is current, correct, and in the aircraft.

2) Inspect the Registration Certificate. Ensure that the certificate expiration date has not expired and is otherwise current and correct.

3) Inspect the Aircraft. The following items are examples of items to be checked by sampling aircraft records and basic visual inspection procedures:

a) The general condition of the aircraft appears to be Airworthy.

b) The Aircraft Flight Manual (AFM), or the pilot's operating handbook (POH), appears to be current and complete.

c) The aircraft appears to comply with applicable maintenance and equipment rules.

d) The aircraft appears to comply with Airworthiness Directives (AD).

e) The aircraft records indicate that life-limited parts requirements have been complied with.

f) Properly certificated persons have been performing Maintenance and Inspections (M&I).

g) Proper internal and external placarding.

h) The aircraft records contain the required maintenance record entries of § 91.417.

i) Obvious signs of excessive wear and deterioration, including corrosion, worn places on tires, nicks in the leading edge of the propeller blades, or broken windshields.

j) Condition of fabric on fabric-covered control surfaces, wings, or fuselages.

k) The interior of the aircraft for obvious deterioration.

l) Tires and brakes for serviceability.

m) Any other indication that would render the aircraft unsafe for flight.

n) Condition of floats on seaplanes.

o) Condition of rotors on rotorcraft.

p) Items listed in the airworthiness limitations (AL) section have been complied with.

q) Regulatory-based inspections, such as the emergency locator transmitter (ELT), altimeter, and transponder (TXPDR) checks have been accomplished.

B. Review Maintenance Records. Ensure that persons approving and disapproving equipment for return to service after any required inspection have entered the inspection in the record of that equipment. Ensure that when an owner/operator maintains a single record, the entry for required inspections is made in that record. Ensure that if the owner/operator maintains separate records for the airframe, engines, powerplants, propellers, appliances, and components, the entry for required inspections is entered in each record, as applicable. Review records to verify compliance with §§ 43.11 and 91.417.

NOTE: Recording of an annual inspection does not require an entry in each airframe, engine, and propeller logbook. The annual inspection is performed to the aircraft. The record entry only needs to be made in the airframe logbook. However, owners/operators can make the entry in each logbook, if they wish.

1) Annual/100-Hour Inspection. Check that appropriate entries have been made and have met regulatory requirements.

2) Progressive Inspection. Ensure that records indicate:

- Completion of an annual inspection before starting inspections under a progressive inspection program,
- Compliance with inspection intervals in the progressive program, and
- Completion of the inspection cycle within 12 calendar-months.

3) Experimental, Light-Sport, and Provisional Aircraft Inspections. Ensure the records are kept as set forth in their operating limitations issued in accordance with § 91.327(b).

4) Large Airplane (Over 12,500 lb) and Turbine-Powered (Turbojet and Turbopropeller) Multiengine Airplane Inspection Programs. Ensure that maintenance records indicate that the owner/operator has identified and is using a selected program per § 91.409(f). Ensure that this system reflects current airworthiness requirements for the airplane.

5) Aircraft Records. If the aircraft records are available, review them per Volume 6, Chapter 1, Section 3. This should include life-limited items.

6-1-7-15 TASK OUTCOMES.

A. Complete the PTRS Record.

B. Complete the Task. Successful completion of the task will result in assurance that the aircraft is maintained and inspected per applicable regulations.

6-1-7-17 FUTURE ACTIVITIES. Carefully monitor aircraft for compliance with appropriate 14 CFR parts and for continued airworthiness. Determine that maintenance practices are performed at an adequate level of safety. Direct particular attention to any areas where trends indicate a faulty inspection system or inadequate maintenance.

6-1-7-19 through 6-1-7-33 RESERVED.

VOLUME 6 SURVEILLANCE

CHAPTER 2 PARTS 121, 135, AND 91 SUBPART K INSPECTIONS

Section 8 Safety Assurance System: Cabin En Route (Random) Inspections (Including Part 125)

6-343 REPORTING SYSTEM(S).

A. Program Tracking and Reporting Subsystem (PTRS). For Title 14 of the Code of Federal Regulations (14 CFR) part 125, use PTRS activity codes 1625, 3630, and 5630 (Cabin Safety: pending).

B. Safety Assurance System (SAS). For 14 CFR parts 121 and 135, use SAS automation. This section is related to SAS Elements 5.2.1 (OP) Crewmember Duties/Cabin Procedures; 5.2.2 (OP) Carry-On Baggage Program; 5.2.3 (OP) Exit Seating Program; and 5.2.4 (OP) Passenger Handling.

6-344 OBJECTIVE. This section provides guidance for conducting a cabin en route inspection to ensure that a certificate holder's cabin safety procedures adhere to 14 CFR and safe operating practices. For purposes of this section, "aviation safety inspector" (ASI) includes cabin safety inspector (CSI).

6-345 GENERAL. Cabin en route inspections provide the Federal Aviation Administration (FAA) with information concerning flight attendant (F/A) training programs, certificate holder procedures, and the condition and maintenance of aircraft emergency equipment and furnishings.

A. Inspector Qualifications.

1) Since ASIs do not receive system training on all aircraft, it is important that inspectors become familiar with the certificate holder procedures and equipment before performing the inspection.

2) The FAA does not permit an inspector to provide on-the-job training (OJT) to another inspector concerning the conduct of en route inspections on the same flight. Therefore, each inspector must be familiar with the cabin en route inspection procedures before performing this task and must be authorized through his or her unit supervisor.

3) Inspectors possess various degrees and types of expertise and experience. When additional information or guidance is needed, the inspector should coordinate with personnel experienced in that particular specialty.

B. Inspector Conduct.

1) In performing this job task, the actions of the inspectors are subject to the close scrutiny of airline employees and the general flying public. The inspector must be alert for leading questions from crewmembers and passengers regarding destinations, technical information, and other certificate holders.

2) Inspectors involved in cabin en route inspections will not enter the cockpit during the flight, unless requested by the captain or another crewmember, or unless emergency circumstances indicate that it would be the proper course of action.

NOTE: Inspectors must comply with all regulatory requirements and approved certificate holder procedures.

6-346 CABIN EN ROUTE INSPECTION AREAS. Three general areas have been identified for inspectors to observe and evaluate during cabin en route inspections. Each area should be considered to be of equal importance. The three inspection areas are as follows:

A. Cabin (Interior). The interior inspection area applies to the airworthiness of the aircraft cabin and the condition and availability of aircraft cabin emergency equipment and furnishings. Table 6-4, Cabin En Route Interior Inspection Reference Chart, lists these items and when they should be inspected. Although these items are not all inclusive, they represent the types of aircraft items that should be evaluated during the inspection.

B. Crewmember. The crewmember inspection area applies to F/As who perform assigned safety duties during the flight. Inspectors should evaluate such items as crewmember knowledge, ability, and proficiency by directly observing F/As performing their assigned safety duties and functions.

NOTE: F/A trainees who are receiving operating experience should not be evaluated on the same basis as the fully qualified crewmembers.

C. Flight Conduct. The flight conduct inspection area relates to the specific phases of the flight that can be observed during the cabin en route inspection. This includes a wide range of items, including F/A and flightcrew member coordination of the performance of duties. These types of areas can often be observed before beginning a flight, at en route stops, or at the termination of a flight.

6-347 INITIATION AND PLANNING.

A. Initiation. This task is normally scheduled as part of the National Flight Standards Work Program or as a part of SAS. Additional inspections can be initiated by national or divisional requirements.

B. Planning.

1) Inspectors conducting cabin en route inspections should make arrangements for the inspection as far in advance of the flight as possible. Inspectors who have not provided the certificate holder with the appropriate advance notice should not insist on a seat if the flight is full. Certificate holders should not attempt to displace the inspector in favor of a passenger when notification has been provided to a part 135 certificate holder. However, bumping a revenue passenger should only be done when there is no acceptable, alternative means of accomplishing the inspection. Inspectors are expected to exercise sound judgment in these matters.

NOTE: Inspectors will not occupy the F/A jump seats. Only qualified crewmembers, as determined by the certificate holder, are authorized to occupy these seats.

NOTE: Inspectors conducting a cabin en route inspection on a part 121 certificate holder or a part 125 operator must never displace a revenue passenger.

2) When it is necessary to board a flight at an intermediate stop, the inspector will make every effort to advise the pilot in command (PIC), before boarding the flight, that a cabin en route inspection will be conducted.

3) The inspector must conform to the certificate holder's approved carry-on baggage program. If there is any concern that the inspector's carry-on baggage will exceed certificate holder limitations, the baggage should be checked. The inspector's identification, FAA Form 110A, Aviation Safety Inspector Credentials, and FAA Form 8430-13, Request for Access to Aircraft, is adequate documentation for the certificate holder to check the baggage.

6-348 FAA FORM 8430-13, REQUEST FOR ACCESS TO AIRCRAFT. The inspector to whom FAA Form 8430-13 is issued is personally responsible for its proper use and safekeeping, to include the following:

- Recording on the inside cover every request issued, canceled, or otherwise voided;
- Returning it to the issuing office when the inspector transfers, retires, or has no further use for this book;
- Returning the cover containing the Record of Requests Issued and the yellow copies to the issuing office when all requests have been used; and
- Immediately reporting to the issuing office the full set of circumstances concerning any loss of requests.

6-349 PERFORMING THE CABIN EN ROUTE INSPECTION. The attention of the F/As must not be diverted from assigned duties, including passenger boarding, deplaning, and in-flight service. Surveillance of F/A awareness and the following of safety-related procedures should continue during the flight.

A. Interior Inspection.

1) This inspection should be performed without disturbing the boarding or deplaning of the passengers. Any discrepancies noted should be brought immediately to the attention of the lead F/A or the PIC.

2) Crewmembers should initially be briefed to continue their assigned duties as if the inspector were not present. The inspector should then request that a crewmember provide an F/A manual and be available for a discussion relating to the crewmember's duties, at the crewmember's earliest convenience.

3) Some certificate holders require F/As to accomplish a preflight inspection of at least some of the emergency and safety equipment in the cabin. In such a case, the inspector

should observe the F/A inspecting the equipment and then perform an additional inspection of selected equipment.

NOTE: An inspector can determine whether the certificate holder requires an F/A to conduct preflight by examining the F/A manual.

4) When an F/A preflight equipment inspection is not required by the certificate holder or has already been performed, the inspector should inspect the equipment. If there is not enough time to inspect the emergency equipment before the flight, the inspector may choose to inspect it after the flight.

5) Inspectors should avoid impeding the flow of passenger traffic or in any way interfering with crewmembers conducting their respective duties. Since passengers are naturally curious about an inspector's activities, it is recommended that reasonable passenger inquiries be answered in a brief, factual, and courteous manner.

B. In-Flight Monitoring. This phase of the inspection includes the activities associated with boarding, predeparture, in-flight, and landing. During this part of the inspection, the inspector will have the opportunity to do the following:

- Evaluate certificate holder procedures;
- Determine adherence to company policy, FAA regulations, and safe operating practices; and
- Monitor passenger safety.

C. Required F/As. When regulations require F/As for the operation of a flight, the number of F/As required is based on the number of passenger seats and/or the emergency evacuation demonstration. The number of required F/As for each make, model, and series (M/M/S) aircraft used by the certificate holder is listed in the operations specifications (OpSpecs).

1) There must always be a full complement of F/As at originating and terminating points when passengers are on board. Part 121 operations only, at intermediate stops, may reduce the number of required F/As by dividing the number of F/As by two and rounding down. Regulations permit a certificate holder to substitute personnel, qualified in emergency evacuation procedures for that specific aircraft, at intermediate stops. Substitute personnel must be easily identified.

2) Additional, non-required F/As may be used by the certificate holder.

6-350 DEFERRED MAINTENANCE.

A. Minimum Equipment List (MEL)-Deferred Maintenance. The certificate holder's approved MEL allows the certificate holder to continue a flight or series of flights with certain inoperative equipment. The continued operation must meet the requirements of the MEL deferral classification and the requirements for the equipment loss.

B. Other Deferred Maintenance.

1) Certificate holders frequently use a system to monitor items that have previously been inspected and found to be within serviceable limits. These items are still Airworthy yet warrant repair at a later time or when items no longer meet serviceable limits. This method of deferral may require repetitive inspections to ensure the continuing airworthiness of the items. Examples of items that are commonly deferred in this manner are overhead storage bins, seatbelts, and interim Airworthy repairs.

2) Passenger convenience item deferrals that are not safety- or airworthiness-related should be handled per the guidelines of the certificate holder's program. This may include a cabin log.

6-351 COORDINATION REQUIREMENTS. This task requires coordination with the Office of Air Carrier Safety Assurance, Frontline Manager (FLM), Office of Safety Standards, or Safety Risk Management Division.

6-352 REFERENCES, FORMS, AND JOB AIDS.

A. References (current editions):

- Advisory Circular (AC) 121-24, Passenger Safety Information Briefing and Briefing Cards.
- FAA Order 8000.38, Aviation Safety Inspector Credentials Program.
- FAA Order 8000.75, Aviation Safety Inspector En Route Inspection Procedures.
- Applicable FAA guidance material.
- Certificate holder's manual.

B. FAA Forms:

- FAA Form 110A, Aviation Safety Inspector Credentials.
- FAA Form 8430-13, Request for Access to Aircraft.

C. Job Aids:

- Figure 6-20, Cabin En Route Inspection Job Aid for Part 125.
- Table 6-4, Cabin En Route Interior Inspection Reference Chart.

D. Data Collection Tools (DCT):

- 5.2.1 (OP) Crewmember Duties/Cabin Procedures.
- 5.2.2 (OP) Carry-On Baggage Program.
- 5.2.3 (OP) Exit Seating Program.
- 5.2.4 (OP) Passenger Handling.

6-353 PROCEDURES.

A. Initiate the Cabin En Route Inspection. The inspector should initiate the cabin en route inspection according to the responsible Flight Standards office work program or as required by SAS automation.

B. Prepare for the Inspection. The inspector should prepare for the inspection by doing the following:

1) Contact the certificate holder to reserve the cockpit jump seat.

2) Complete FAA Form 8430-13 in duplicate. The white copy is presented to the certificate holder, and the yellow copy is kept for FAA records.

C. Coordinate With the Certificate Holder. The inspector should coordinate with the certificate holder at least 1 hour prior to the flight. While coordinating, the inspector should do the following:

1) Identify himself or herself to the certificate holder representative, and state that he or she is performing a cabin en route inspection on a specific flight.

2) Present FAA credentials, FAA Form 110A, and a completed FAA Form 8430-13 to the certificate holder representative.

3) Obtain applicable certificate holder boarding authorization per the airline procedures.

4) Request access to the aircraft as soon as practical (e.g., after passengers have deplaned) to meet the flight and cabin crews and perform the interior predeparture inspection, as time permits.

5) If aircraft access is denied, the following steps should be taken by the inspector:

a) Apprise the certificate holder representative of the regulation authorizing inspector access to aircraft.

b) Request to see the appropriate supervisor if the representative still refuses access.

c) Make it very clear to the certificate holder that the denial of access contradicts regulations and that enforcement action may be initiated.

d) Report the occurrence to the immediate supervisor upon return to the responsible Flight Standards office if access was not granted.

D. Coordinate With the Crew. Before boarding the aircraft or performing any inspection, the inspector should coordinate with the crew as follows:

1) Identify himself or herself to the captain and to the lead F/A as an FAA inspector.

2) State the purpose of the inspection.

E. Perform the Interior Inspection. The inspector should inspect the following, as applicable:

1) Cabin placarding, markings, and signs (e.g., exits, no-smoking signs, and emergency equipment) to ensure marking legibility and the correct location.

2) Fire extinguishers for the following:

- To verify the quantity and location; and
- To ensure that they are properly serviced, tagged, and stowed.

3) Portable oxygen bottles for the following:

- To verify the quantity and location;
- To ensure that they are properly serviced, tagged, and stowed; and
- To determine the condition of the mask, tubing, and connectors.

NOTE: There is no requirement that the mask/hose must be connected to the first aid oxygen bottles.

4) Protective Breathing Equipment (PBE) for correct location, proper number of units, and proper stowage.

5) First aid kits and emergency medical kits for correct number, location, and stowage.

NOTE: The FAA does not require first aid and medical kits to be sealed.

6) Megaphones for correct number, location, general condition, and proper stowage.

7) Overwater equipment as applicable.

8) Passenger briefing cards, to ensure the following:

a) That they are available for each passenger.

b) That they are appropriate to the aircraft.

c) That they contain the required information, to include the following:

- Emergency exit location and operation;
- Slide use and location;
- Oxygen use;
- Seatbelt use;
- Flotation device use and location;

- Appropriate pictorials for extended overwater operations, including ditching exits, life preservers, and life raft or slide raft in-flight location; and
- Exit seating information.

NOTE: In part 135 operations, additional information concerning safety equipment may also be included, as required.

9) Passenger seats, to ensure the following:

- That a reclined seat does not block emergency exits;
- That the seat cushions are intact;
- That the tray table latching mechanisms are operable;
- That the self-contained and removable ashtrays are in serviceable condition and are available when smoking is authorized;
- That each seat has a complete restraint system; and
- That seatbelts are operational and not frayed or twisted.

10) Passenger oxygen service units, to ensure that they are closed and latched, without any extended red service indicators or pins.

11) F/A station, to ensure the following:

- That the seat retraction/restraint system is operational and is properly secured;
- That the seatbelts are operational and not frayed or twisted;
- That the seat cushions are intact;
- That the seat headrest is in the correct position;
- That the public address (PA) system and interphone are operable; and
- That aircraft-installed flashlight holders are indeed installed.

NOTE: Flashlights are not required to be in the holders; however, when they are, they must be charged and operable.

12) Galleys, to ensure that the following items are operable:

- The latching mechanisms (primary and secondary),
- The tie-downs, and
- Other galley restraints.

13) Galleys, to ensure the following:

- That the hot liquid restraint system is operable;
- That the circuit breakers and water shutoff valves are accessible and properly identified;
- That the cover and lining of trash receptacles fit properly;
- That the nonskid floor is serviceable;
- That the girt bar is clean and serviceable;

- That the stationary cart tie-downs (mushrooms) are clean;
- That the galley carts are in serviceable condition and properly stowed; and
- That, if applicable, the lower lobe galley emergency cabin floor exits are passable and not covered by carpeting.

14) Galley personnel lift (if applicable), to ensure that it does not move up or down with the doors open and that the activation switches operate properly.

15) Lavatories, to ensure the following:

- That the placards are present and that the smoke alarm and ashtrays are present and operational;
- That the trash receptacle cover and lining fit properly;
- That the automatic fire extinguisher system is serviceable; and
- Stowage compartments, to ensure that the weight restriction placards are displayed, the restraints and secondary latching mechanisms are operable, and the compartments comply with stowage requirements for accessibility to emergency equipment.

16) Crew baggage, to ensure that it is properly stowed.

17) Emergency lighting system, to ensure that all emergency lighting, including the floor proximity escape path system, is in serviceable condition (e.g., no light covers should be cracked or missing).

18) Availability of cockpit key to each crewmember.

F. Predeparture. The inspector should perform the following during predeparture:

1) Ensure that each F/A has an operable flashlight readily available and has the appropriate, up-to-date parts of a manual accessible when performing assigned duties.

2) Ensure that any discrepancies noted during predeparture are addressed per the certificate holder's manual.

3) Ensure that the required number of F/As are aboard.

4) Observe the F/As and ground personnel coordinating and supervising the boarding of passengers and properly stowing carry-on baggage.

NOTE: Ensure that the passenger-loading door is not closed until a required crewmember verifies that each piece of carry-on baggage is properly stowed. Proper stowage includes ensuring that the overhead bins are closed. Items that cannot be stowed must be processed as checked baggage.

5) Ensure that items such as carry-on baggage and galley supplies do not cover or in any way interfere with aircraft emergency equipment in the overhead compartments.

6) Ensure that a required crewmember verifies that passengers seated at the emergency exit seats meet the regulatory requirements.

NOTE: At some time prior to takeoff, the F/A must brief the passengers seated in the emergency exit seats on the selection criteria and their willingness and ability to perform the functions, according to the certificate holder's approved program.

7) Ensure that all passengers are seated prior to any ground movements.

8) Ensure that the F/As have sufficient time to take their assigned positions and to secure their restraint systems after giving the passenger briefing.

9) Ensure that the F/A predeparture briefing is audible to all passengers and covers the following subjects:

a) Smoking. When, where, and under what conditions smoking is prohibited, including a statement that Federal law prohibits tampering with, disabling, or destroying any smoke detector in an airplane lavatory.

b) Exit Locations. The preferred method is to physically point out exits.

c) Seatbelt Use. Instructions on how to fasten, unfasten, and adjust seatbelts.

d) Flotation Devices. Instructions on the location and use of required individual flotation devices.

e) Oxygen Use. Instructions on the location of and a demonstration on the use of the oxygen mask. For parts 125 and 135 operations, this briefing item must only be conducted when the flight will exceed 12,000 feet mean sea level (MSL). When this occurs, the briefing must be given prior to takeoff. For part 121 operations, the briefing must be given prior to exceeding 25,000 feet MSL.

f) Extended Overwater Operations. Instructions on the location, donning, and use of life preservers, life rafts (or slide rafts), and other means of flotation, including a demonstration of the methods of donning and inflating a life preserver.

NOTE: The method of donning and inflating infant life preservers is usually substantially different from the method used for an adult life preserver.

g) Special Passenger Briefings (when applicable). For persons who are handicapped or warrant some other special kind of attention, and for the individuals assisting them.

NOTE: Parts 125 and 135 certificate holders must include in their general briefing the location of survival equipment, when applicable, and the location and use of fire extinguishers.

G. Movement on the Surface. During movement on the surface, the inspector should do the following:

1) Ensure that all F/As remain seated during the taxi unless performing safety-related functions. Safety-related activities can include the following:

- Passenger preparedness,
- Baggage/cargo/galley stowage, and
- Exit readiness.

2) Ensure that each exit is closed and locked with the girt bars properly attached (if applicable).

3) Ensure that the following items or activities are accomplished prior to takeoff:

a) All stowage compartments are properly secured and latched.

b) The galley is prepared as follows:

- Loose items are secured, and
- All serving carts are properly restrained.

c) The cockpit door is closed in accordance with the certificate holder's manual.

d) Passenger seatbelts are secured.

e) Any unoccupied F/A seat restraints are properly secured for takeoff.

f) Any other equipment is properly stowed and secured.

4) Ensure that crewmembers observe the sterile cockpit rules.

H. In-Flight Operations. During in-flight operations, the inspector should do the following:

1) Monitor the crewmembers' performance during in-flight operations to ensure the following:

a) That during takeoff, each F/A remains seated with restraint systems properly fastened.

b) That after takeoff, before or immediately after the seatbelt illumination is shut off, an announcement is made that passengers should keep their seatbelts fastened, even when the seatbelt sign is turned off.

c) That, if the flight is to be a smoking flight, an announcement is made that smoking is only permitted in specific rows and prohibited in the aisles and lavatories when the no-smoking sign is turned off.

2) Ensure that the following are accomplished, as applicable:

a) Passenger compliance with seatbelt and no-smoking signs.

b) Effective crew coordination for flightcrew and cabin crewmember communications—routine and/or emergency.

c) Turbulent air procedures are followed, including the proper restraint of serving carts, galley equipment, and compliance with instructions from the cockpit and coordination with flightcrew members.

d) Crewmember handling of the passengers, to include the following:

- Intoxicated passengers (not serving alcoholic beverages to them),
- Abusive or disruptive passengers,
- Handicapped or ill passengers, and
- Passengers requiring special attention.

3) Ensure that crewmembers, during the approach and landing phases of flight, prepare the cabin for arrival by performing at least the following actions:

a) Ensuring that carry-on baggage is stowed and that all seat backs and tray tables are upright and stowed, respectively.

b) Removing all food, beverages, and galley service items from each passenger seat location.

c) Ensuring that all stowage compartments are latched and secured.

d) Ensuring that the galley is prepared as follows:

- Loose items are secured, and
- All serving carts are properly restrained.

e) Ensuring that the cockpit door is closed and locked in accordance with the certificate holder’s manual.

f) Verifying that passenger seatbelts and shoulder harnesses, if installed, are secured.

g) Properly stowing and securing any other equipment.

4) Ensure that crewmembers observe sterile cockpit rules.

5) Ensure that crewmembers are seated in assigned seats before landing, with appropriate restraint systems fastened.

I. Flight Arrival. During flight arrival, the inspector should do the following:

1) Ensure that after landing, the F/As prepare the aircraft for arrival by performing the following duties:

- Before the captain has turned off the seatbelt sign, ensuring that passengers remain in their seats with seatbelts fastened; and
- Upon arrival at the gate and after the seatbelt sign has been turned off, preparing the exits for deplaning.

NOTE: The girt bar must stay engaged during movement on the surface.

2) Ensure that the appropriate complement of F/As remains on board the aircraft at en route stops (when passengers remain on board the aircraft to proceed to another destination).

3) Debrief the captain and lead F/A of any procedural problems or discrepancies/malfunctions noted during the flight.

6-354 TASK OUTCOMES.

A. Complete the PTRS Record. For part 125.

B. Document the Task. For parts 121 and 135, use SAS automation and guidance. For part 125, the inspector should file all supporting paperwork in the certificate holder's office file.

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

- A satisfactory inspection,
- Enforcement Investigative Reports (EIR), as necessary, or
- The requirement for a followup inspection for a particular discrepancy.

6-355 FUTURE ACTIVITIES.

- For part 125, if deficiencies are noted during surveillance, schedule a followup inspection.
- For parts 121 and 135, follow SAS automation and guidance.

6-356 SEAT BACK BREAK-OVER.

A. Purpose. This paragraph contains information regarding seat back break-over.

B. Background. It has come to our attention that some inspectors may be delaying departure of aircraft used in air carrier operations due to seat backs not having a 25-pound break-over force when checked at the centerline of the top of the seat during surveillance.

1) The inspectors cite a memorandum initiated by the Manager, Transport Airplane Directorate (ANM-100), Subject: Minimum Break-over Force Required for Seat Backs of Passenger Seats Installed on Transport Airplanes, on June 24, 1983, as the guidance for the

seat back inspection. This guidance was issued to the Aircraft Certification Office (ACO) engineers and inspectors having initial seat certification responsibility.

2) Additionally, there are some inspectors who may not be aware that there are seats that are not required to have a break-over and are manufactured locked in the upright position. These seats are based on a minimum performance standard stated by Technical Standard Order (TSO)-C39b, Aircraft Seat and Berths.

3) To meet the requirements of 14 CFR part 25, § 25.785(j), industry seat manufacturers determined that a minimum break-over force of 25 pounds is acceptable when seat backs are breaking forward from the erect position with the force applied at the top of seat back on the centerline of the seat.

4) Consequently, the definition of the following question is asked: What is the adequate minimum break-over force acceptable for seat backs to meet the requirements of § 25.785(j)?

C. Action. The following standards are to be used by all ASIs in order to determine an acceptable resistance force for seat break-over: During aircraft surveillance, an inspector discovers no break-over force for an individual seat or a number of seats. Report this to a responsible person for the air carrier to ensure that the approved maintenance procedures for this situation are followed. For uncertainties regarding seat certification, check with the air carrier's Principal Maintenance Inspector (PMI) regarding approval of these types of seats. Findings should be reported to PMIs by using the PTRS.

1) PMIs should review their certificate holder's Continuous Airworthiness Maintenance Program (CAMP) to ensure that the proper break-over force is listed in the maintenance program. This should be done by reviewing the seat manufacturer's specifications. The PMI should also ensure the certificate holder has a method of checking seat break-over during a maintenance cycle.

2) Flight departures must not be delayed if/when an inspector discovers no break-over force for an individual seat or number of seats.

Figure 6-20. Cabin En Route Inspection Job Aid for Part 125

PTRS ACTIVITY:1625 DATE:	AIR CARRIER	FLT NO.	A/C REG NO.	MAKE	MODEL/SERIES
PIC NAME:	BASE	LEAD F/A NAME:	BASE	FROM	TO

RESULTS | HB REF VA.2.4.

U = UNACCEPTABLE; P = POTENTIAL; I = INFORMATION; E = EXCEEDS

AIRCRAFT/EQUIPMENT	
REQ. CERT/PLACARDS	809
LOGBOOKS	804
* Open Items	--
* Carryovers	--
* Cabin Items	--
MEGAPHONES	825
* Location	--
* Placarded	--
FIRE EXTINGUISHERS	826
* Correct Type	--
* Number	--
* Serviced	--
* Location	--
PORTABLE 02 BOTTLES	835
* Number	--
* Serviced	--
* Location	--
* Masks/Hoses	
PBE	835
* Properly Stowed	--
* Placarded	--
* Sealed	--
ADDITIONAL EMER. EQUIP.	825
* Life Vests	--
* Life Rafts	--
* Emergency radios	--
* Other	--
PAX BRIEFING CARDS	825
* At Each Seat	--
* Reg. Information	--
PAX SEATS	825
* Emergency Exits	--
* Condition	--
* Ash Trays	--
* Seat Belts/Trays	--
PAX 02 SERVICE UNIT	835
* Operational	--
* Service Pins	--
F/A STATION	825
* Retracts	--
* Condition	--
* P/A & Interphone	--
GALLEYS	825
* Latch Mechanisms	--
* Restraints/Tiedns/Covers	--
* Debris/Corrosion	--
LAVATORIES	825
* Smoke Alarm	--
* Signs/Lights	--
* Extinguishers	--
STOWAGE AREAS	825
* Latch Mechanisms	--
* Access to Equipment	--

EMERGENCY LIGHTING	833
* Operable	--
* Floor System	--
EXITS	852
* Controls/Seals	--
* Girt Bar and Brackets	--
* Signs/Symbols	--
* Rafts/Lanyards	--
OTHER REMARKS	889
F/A CREWMEMBERS	
CREW COMPLEMENT	601
* Initial Boarding	--
* En Route Stops	--
CREW COORDINATION	737
* With Cockpit	--
MANUAL AVAILABLE	209
MANUAL CURRENCY	203
PASSENGER HANDLING	637
STERILE COCKPIT	623
* Procedures	--
* Cockpit Signals	--
COMPANY DIRECTIVES	631
KNOWLEDGE (ABOUT)	101
* PIC Authority	--
* Cabin Logbook	--
* Hijacking	--
* Decompression	--
* Cabin Fires	--
* Turbulent Air Operations	--
* Unruly Pax	--
* Emergency Comm. with Cockpit	--
* Location of all Emergency Equipment	--
* Contents of Manual	--
ABILITY/PROFICIENCY	103
* Remove/Demonstrate Use of 02 Bottle and Fire Bottle (Simulated)	--
* Explain How to Deploy a PSU Manually	--
* Demonstrate Emergency Exit Procedures	--

* Demonstrate "Brace for Impact" Position	--
* Demo Donning of Life Vests (If applicable)	--
REQUIRED EQUIPMENT	--
* Manual	--
* Cockpit Key	--
* Flashlight	--
OTHER REMARKS	199
FLIGHT CONDUCT	
PRE-DEPARTURE	723
* Pax Boarding	--
* Carry-On Bags	627
* Pax Count	--
* Girt Bars	--
* Door Preparation	--
BRIEFINGS	111
* Smoking	--
* Exit Locations	--
* Seat Belt Use	--
* Flotation Means	--
* Table/Seat Back	--
* Bags Stowed	--
* Oxygen Use (If applicable)	--
* Over-Water Use (If applicable)	--
* Special Pax (If applicable)	--
* After T/O and Before Landing Briefings	--
TAXI/TAKEOFF	725
* Items Secured	--
* F/A's Seated	--
* T/O Signal	--
CRUISE	729
* In-Flight Svc	--
* Turbulence	--
LANDING/TAXI	735
* Items Secured	--
* F/A's Seated	--
OTHER REMARKS	749

Table 6-4. Cabin En Route Interior Inspection Reference Chart

ITEM	AIRCRAFT	CREWMEMBER	FLIGHT CONDUCT	OPERATIONS
Approved Infant or Child Restraint System	Placement and Approved Type	Knowledge of Location, Placement, and Approved Use	Proper Use and Placement	
Carry-on Baggage	Proper Restrains and Placards for Cargo Compartments	Knowledge of Approved Program	Properly Stowed Ensure Compliance	Screened by Ground Personnel Number or Size Allowance
Cockpit Key	Accessible to All Crewmembers	Knowledge of Location	Use of Key	
Emergency Lights Proximity Lighting	Condition	Knowledge of Activation		
Emergency Medical Kit	Proper Number Installed and Secured	Knowledge of Location and Authorized Use		
Evacuation Slides/Rafts	Proper PSI Condition of Floor Brackets	Knowledge of Location and Operation		
Exit Seating	Briefing Card on Each Affected Seat	Knowledge of Procedures Verify Occupant's Eligibility	Compliance with operator's approved program	Ground Support
Exits/Cabin Doors	General condition (Seals, Handles, etc.)	Knowledge of Normal and Emergency Use	Doors Armed During Aircraft Movement	
F/A Crew Complement	Number of Passenger (Pax) Seats	Knowledge of Required Number of Crewmembers	Evenly Distributed	Ground Personnel and F/A Coordination Prior to Boarding
Fire Extinguishers	Number Installed Type Inspection Date	Knowledge of Use		
First Aid Kits	Number Installed and Properly Secured	Knowledge of Location and Use	Proper Use	
Fixed Oxygen System	Components Closed - No Extension of Red Tags	Knowledge of System and Locations of Additional Drop-Down Masks		
Flashlights	Number Equal to Number of Crewmembers	Knowledge of Locations		
Galley Lifts	Safety Interlock Mechanism Operational	Knowledge of Operation	Proper Use, No More Than One Occupant	
Handicapped Passenger Briefing		Knowledge of Handicapped Briefing	Briefing Stowage of Assistance Devices	

ITEM	AIRCRAFT	CREWMEMBER	FLIGHT CONDUCT	OPERATIONS
Jumpseats	Automatic Retract/Locking Harness/Seat Belt Condition of Seat Harness and Belt	Knowledge of Use	Use During Takeoff and Landing	
Lavatories	Placards Trash Receptacle Smoke Detectors Ashtrays	Preflight Check Knowlege of Operations	Responsive to Smoke Detector, if Activated	
Life Vests	Accessible to All Pax (If Installed)	Knowledge of Use and Location		
Life Rafts (If Installed)	Proper Number and Location (Capacity to Accommodate All Pax)	Knowledge of Location, Operation, and Use of Accessory Kits		
Manual	Includes Information Specific to Aircraft	Knowledge of Content	Accessible Current	
Megaphones	Correct Number Installed	Knowledge of Use and Removal From Bracket		
Passenger Info/Safety Briefing	PA or Video - Clarity	Demonstration and Verbal Briefing Content	Performed Prior To Takeoff	
Pax Seat Belts	Installed General Condition	Knowledge of Use		Pax Seat Belt Discipline When Sign is Illuminated
PBE	Properly Installed Secured	Knowledge of Location and Procedures for Use		
Placards	Installation	Preflight Check		
Portable Oxygen	Number Installed Stowed PSI	Knowledge of Use	Proper Use Execution of Administrative Procedures	
Safety Briefing Cards	Conveniently Located Applicable to Aircraft	Knowledge (Presence and Location)		Technically Correct
Seatback/Tray Table	Latching Mechanism	Knowledge of Securing Procedures	Check to Ensure Full Upright Position During Takeoff and Landing	

ITEM	AIRCRAFT	CREWMEMBER	FLIGHT CONDUCT	OPERATIONS
Service Carts	Condition Properly Secured	Knowledge of Use	Proper Use/Not Left Unattended Without Securing	
Sterile Cockpit	Signals	Knowledge of Procedures	Compliance	

RESERVED. Paragraphs 6-357 through 6-371.

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CHAPTER 2 PARTS 121, 135, AND 91 SUBPART K INSPECTIONS

Section 20 Part 121 Pilot-in-Command (PIC) Operating Experience Observations (PTRS Codes 1356 and 1645)

Source Basis:

- **Section 121.434, Operating Experience, Operating Cycles, and Consolidation of Knowledge and Skills.**

6-605 GENERAL. This section contains direction and guidance to be used by Operations inspectors for conducting Operating Experience (OE) observations as required by Title 14 of the Code of Federal Regulations (14 CFR) part 121, § 121.434(c)(1)(ii). A Federal Aviation Administration (FAA) inspector must observe a pilot who is qualifying as a pilot in command (PIC) in an initial new-hire, initial equipment, or an upgrade curriculum. The inspector must observe the pilot while the pilot is performing the prescribed duties of a PIC before serving unsupervised in revenue service. This observation is conducted while the candidate is acquiring OE. The purpose of this observation is to ensure that the transfer of learning from training to line operations has occurred and that the candidate has acquired the skills and judgment necessary to effectively perform PIC responsibilities.

6-606 SCHEDULING POLICIES. The following policies apply to scheduling § 121.434(c)(1)(ii) observations.

A. Inspector Qualifications. An air carrier Operations inspector may conduct OE observations. The inspector selected to perform this task should be knowledgeable in the air carrier's operation and training program. The inspector need not be type rated in the aircraft in which the OE is being conducted. If a check pilot observation will be conducted in conjunction with the OE observation, the inspector must meet the qualifications outlined in Volume 1, Chapter 3, Section 6.

B. Scheduling Prerequisites. The FAA observation is not the line check required by § 121.440; therefore, the inspector does not have to observe a line check being administered by the check pilot. The preferred procedure is for an FAA inspector to observe the PIC's performance during the latter stages of OE. Earlier observation, though allowed, may result in a need for additional observation. The Principal Operations Inspector (POI) should coordinate with the operator for effective scheduling of OE observations to preclude the need for followup observations.

6-607 PRACTICES AND PROCEDURES. The following practices and procedures must be observed by inspectors while observing PIC candidates.

A. Introduction**.** The inspector will meet the crew and gain access to the aircraft through the normal procedures for conducting en route inspection. In addition, the inspector must discuss the conduct of the flight with both the check pilot and the candidate and review the candidate's progress to date. During the discussion, the inspector should ensure that the check pilot and the candidate understand the following information:

1) The FAA recognizes that the check pilot is the PIC. The candidate, however, is expected to perform all of the duties of the PIC. The check pilot is expected to act as a qualified second in command (SIC).

2) As the actual PIC, the check pilot is ultimately responsible for the safety of the flight. Should a situation arise that involves in-flight safety, the check pilot must take charge of the situation.

B. Conduct of the Observation. The inspector who performs the observation should evaluate the items specified in Volume 6, Chapter 2, Section 9. The inspector should be as unobtrusive as possible during the flight and avoid intruding into the interaction between crewmembers. The inspector should not conduct oral examinations during the flight. Should an event occur that raises a question about the candidate's knowledge, the inspector should take notes and make inquiries after the flight.

C. Postflight Procedures. After the flight, the check pilot and the inspector should conduct a debriefing. The check pilot's comments are beneficial, as the check pilot is more familiar with specific company procedures.

1) If the candidate's performance during the flight meets the required standards, the inspector must inform the candidate and the check pilot that the observation is complete. If the candidate's performance does not yet meet required standards, the inspector must indicate the areas in which the candidate's performance needs to improve and that another observation has to be made before the candidate can enter revenue service as a PIC. The inspector should inform the candidate that, before the next observation, the candidate must receive further training or OE, and a check pilot must again certify that the candidate is ready for the observation.

2) If the inspector has indicated to the candidate that the observation is incomplete because the candidate's performance has not yet reached required standards, the inspector should contact the POI by telephone and provide a description of the candidate's performance so that the POI can take followup action.

6-608 PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) INPUT.

A. Complete Observation. The observation of a check pilot conducting OE for a flightcrew member, in conjunction with the requirement of § 121.434(c)(1)(ii), is recorded in the PTRS by using activity code 1645 (check airman surveillance), with 1356 in the tracking field. When the 1645 activity code is used, the check pilot must be entered in section I. A separate PTRS entry must be made by using the activity code 1356, with 1645 in the tracking field. When the 1356 activity code is used, the qualifying PIC must be entered in section I. This method of using two PTRS entries is unique to the OE observation activity.

B. Incomplete Observation. The inspector should report an incomplete observation in the PTRS as an en route inspection (activity code 1624 SURV/OPR/PICOE/EN ROUTE COCKPIT) with appropriate comments.

RESERVED. Paragraphs 6-609 through 6-623.

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CHAPTER 9 PART 145 INSPECTIONS

Section 23 Safety Assurance System: Inspect a Part 145 Repair Station's Contract Maintenance Program

6-2103 REPORTING SYSTEM(S). Use Safety Assurance System (SAS) automation and the associated Data Collection Tools (DCT).

6-2104 OBJECTIVE. This section provides guidance for inspecting a Title 14 of the Code of Federal Regulations (14 CFR) part 145 repair station's contract maintenance program.

6-2105 BACKGROUND. Contracting maintenance functions cover many situations which can lead to unique applications of the repair station's privileges. The intent of the Federal Aviation Administration (FAA) approving maintenance functions was to identify the capability that is outsourced under a particular rating. To exercise the privileges under part 145, the repair station must be afforded the opportunity for contracting maintenance functions if they have instituted the proper controls of the contracted functions. The easiest way to determine if a contracted maintenance function requires FAA approval under part 145, § 145.217(a) is to determine if the originating repair station is exercising the privileges of its certificate by assuming responsibility for the work performed by the contracted person or entity.

6-2106 GENERAL.

A. Type of Inspection.

1) Reasons for Inspection. Aviation safety inspectors (ASI) should conduct this inspection because of:

- A SAS risk-based Comprehensive Assessment Plan (CAP),
- A previous surveillance effort,
- Allegations of improper maintenance, or
- Component failure trends.

2) Inspection Frequency. The inspection frequency may:

- Be based on one or more of these risk indicators,
- Result in a comprehensive inspection, or
- Be focused on a specific identified risk.

B. Policy Review. The principal inspector (PI) or ASI should carefully review the regulations and applicable FAA policy prior to the visit. The FAA advises that the inspector place special emphasis on the facility maintenance and on inspection personnel training records. The PI must verify the repair station determined that the contractors have the necessary training and are qualified to perform the contracted maintenance functions.

C. Part 145 Requirements. The regulations enable a repair station to contract maintenance, preventive maintenance, or alteration for which it holds a rating, in accordance with § 145.201(a)(2). Contracted maintenance functions which require FAA approval under § 145.217(a) are only required if the repair station extends its privileges to the contractor and provides approval for return to service under 14 CFR part 43, § 43.9. In this circumstance, the originating repair station chooses to exercise the privileges of its certificate and assumes responsibility for the work performed by the contractor.

NOTE: If the person (contractor) performing the contracted maintenance function is authorized under § 43.7 and provides approval for return to service under § 43.9, this would not require FAA approval, and is not considered a contracted maintenance function.

1) When contracting a maintenance function to an outside source, the contracted maintenance provider must follow a quality control (QC) system equivalent to the system followed by the certificated repair station (CRS).

2) A contract maintenance provider for a maintenance function must not provide a complete repair of a type-certificated (TC) product.

NOTE: For the purposes of part 145 repair stations, a maintenance function is a step or series of steps in the process of performing maintenance, preventive maintenance, or alterations.

NOTE: The purchase of maintained parts (including exchanges), brokerage, or using another FAA-CRS to perform the work that is outside of the originating repair station's ratings is not a contracted maintenance function and does not require FAA approval. This is because the originating repair station would not be exercising the privileges of their certificate for the work performed.

NOTE: The sale of a previously maintained article (including TC'd products) is not considered contracting a maintenance function and does not require FAA approval. This action may be considered brokering or acting as a distributor, in that the originating repair station does not or cannot exercise the privilege of its certificate on the article.

D. Contracting Maintenance Functions.

1) To be considered a contract maintenance function that requires FAA approval, the repair station must meet both of the following conditions:

a) Entering into an agreement with another person or entity (FAA-certificated or noncertificated) to perform maintenance functions on an article, and

b) Choosing to exercise the privileges of its certificate and assuming responsibility for the work performed by the contracted person or entity.

2) In order for the repair station to contract a maintenance function, the repair station must:

a) Make a list of maintenance functions.

b) Be certificated and appropriately rated for the article to which a maintenance function will be contracted out.

c) Take regulatory responsibility for issuing an approval for return to service under § 43.9 for the maintenance function performed by the contractor.

d) Obtain approval of the listed maintenance functions in accordance with § 145.217 and provide the list to the FAA in accordance with the procedures in § 145.209.

e) Ensure that it qualifies the sources to which it contracts those maintenance functions in accordance with § 145.201(a)(2) (quality system).

f) Maintain a current list of those contractors in accordance with § 145.217 and provide the list to the FAA in accordance with § 145.209.

g) Ensure that it has procedures to perform the incoming inspection, final inspection, and return to service of articles in accordance with the pertinent subparagraphs of § 145.211(c)(1).

h) Provide a procedure that confirms by inspection or test that the work (maintenance function) was performed satisfactorily and the article is airworthy before approving it for return to service.

i) Ensure the contract allows the FAA to make an inspection and observe the performance of the person's work on the article.

E. Maintenance Procedures. All repair stations contracting maintenance must have procedures in their Repair Station Manual (RSM) explaining how to accomplish this maintenance. Procedures should exist for both sending the product out to the contract maintenance provider and receiving the product back into the repair station. The PI should make sure each procedure includes sufficient details to explain the sending and/or receiving process. Procedures should exist to carry out specific repair instructions and should detail the steps contractors should follow to ensure they accomplish the instructions. Procedures should exist to detail how the receiving repair station should inspect work and to ensure that the contractors accomplish the work per repair station work scope, manufacturer's specifications, and, if applicable, FAA-approved data.

F. Contract Maintenance Function Approval. The PI/ASI must verify that the repair station has given a copy of contract maintenance functions to the FAA for approval. If a separate list is used to maintain the contractor's information required by § 145.217(a)(2)(ii), this list does not require FAA-approval. The repair station is required by regulation to have procedures in the RSM for maintaining and revising the contract maintenance information required by § 145.217, including submitting revisions to the responsible Flight Standards office of revisions to this

information, including how often the responsible Flight Standards office will be notified of revisions.

G. Air Carrier Maintenance Instructions. Each repair station sending maintenance to a contract maintenance provider must ensure that, if the product is from an air carrier, the provider receives and follows all air carrier maintenance instructions for that product.

H. Specialized Services. No function of a limited specialized services rating may be contracted to an outside entity. The FAA must deny any request for contracting maintenance functions involving a specialized services rating. This is because the specialized services ratings require FAA-approved data, and may require specific housing, equipment, training, and skills not ordinarily performed.

NOTE: If a repair station applied for a limited specialized service rating and intended to contract out a maintenance function of the rating, the FAA would deny the rating.

6-2107 PREREQUISITES AND COORDINATION REQUIREMENTS.

A. Prerequisites:

- Knowledge of the regulatory requirements of part 145.
- Knowledge of the RSM.
- Successful completion of appropriate airworthiness indoctrination course(s).
- Previous experience with part 145 air agencies.

B. Coordination. This task may require coordination with other specialties or district offices and the certificate holder. If the repair station has an assigned Principal Maintenance Inspector (PMI) and a Principal Avionics Inspector (PAI), the two inspectors should coordinate the inspection between them.

6-2108 REFERENCES, FORMS, AND JOB AIDS.

A. References (current editions):

- Title 14 CFR Parts 43, 65, 121, 125, 135, and 145.
- Volume 10, Safety Assurance System Policy and Procedures.
- Volume 14, Chapter 1, Section 2, Flight Standards Service Compliance Action Decision Procedure.
- Advisory Circular (AC) 145-9, Guide for Developing and Evaluating Repair Station and Quality Control Manuals.

B. Forms. None.

C. Job Aids. None.

6-2109 PROCEDURES.

A. Review Applicable Information. Before inspecting, the PI should carefully review the following:

1) Parts 43 and 145.

2) Operations specifications (OpSpecs).

3) The Safety Performance Analysis System (SPAS).

4) SAS Configuration Module 1 Vitals information.

5) Responsible Flight Standards office files.

B. Conduct an In-Briefing. Brief the certificate holder on the purpose of the inspection. This in-brief may take place at the beginning of the inspection or at the beginning of each day. You can find detailed instructions for conducting this briefing in Volume 1, Chapter 3, Section 1.

C. Review the RSM/Quality Control Manual (QCM). Verify the RSM/QCM procedures for maintaining and revising the contract maintenance function information required by §§ 145.209(h) and 145.217. The information required includes the approved maintenance functions the repair station will contract, and how the repair station maintains the name of each certificated and noncertificated contractor. If a separate list is used to maintain the contractor's information required by § 145.217(a)(2)(ii), the list does not have to be FAA-approved, but the changes and the information must be available for inspection in a format acceptable to the FAA.

D. Review the Maintenance Function Facilities List. Review a representative sample of the maintenance records to verify the repair station is contracting maintenance functions only to facilities identified on the repair station's contract maintenance list.

E. Check Records for Certificated Facility. If the repair station contracts a maintenance function to a certificated facility and the certificated facility does not provide approval for a return to service under § 43.9, verify the following:

1) Maintenance functions sent to certificated contractors are on the approved list.

2) There is information available and maintained that documents each contracted facility, identifies the approved function, and includes the name of the facility and the type of certificate and ratings.

3) All certificated facility items are returned to the repair station through the receiving inspection per the procedures in the QCM.

4) The repair station verifies, through testing and/or inspection, that the maintenance functions performed are satisfactory and airworthy per the RSM/QCM.

5) The originating repair station exercises the privileges of its certificate by issuing an approval for return to service under § 43.9 for the same work performed by the contractor.

NOTE: If the person (contractor) performing the contracted maintenance function is authorized under § 43.7 and provides approval for return to service under § 43.9, this would not require FAA approval, and is not considered a contracted maintenance function.

F. Review Records for a Noncertificated Facility. If the repair station contracts a maintenance function to a noncertificated facility, verify whether:

1) Maintenance functions sent to noncertificated contractors are on the approved list.

2) There is information available and maintained that documents each contracted facility, identifies the approved function, and includes the name of the facility.

3) The repair station ensures that all noncertificated persons performing contract maintenance functions follow a QC system equivalent to that followed by the repair station.

4) The repair station verifies, through testing and/or inspection, that all work performed by noncertificated persons is satisfactory and Airworthy per the RSM/QCM.

NOTE: If the test or inspection is not capable of verifying the work performed, or if the work is not readily visible without substantial rework, then the originating repair station may have to observe the maintenance function, or develop an acceptable procedure to ensure the quality of the maintenance function was performed properly. Complex components may require a robust QC system and reviewing the received paperwork from the contracted facility may not be sufficient. Some quality assurance (QA) procedures (e.g., welding, plating, and heat treatments) may be conducted by an independent, accredited testing laboratory for analysis. This type of verification should be directed by the originating repair stations. The originating repair station’s personnel should be trained with the ability to interpret the analysis provided. Another example is the use of an independent third party audit to verify the work was performed properly (e.g., a Level III Nondestructive Testing (NDT) source). If the originating repair station cannot demonstrate adequate test or inspections, the maintenance function should not be approved by the FAA.

5) The repair station remains directly in charge of the noncertificated facility work.

6) The repair station is qualifying the noncertificated facility per the RSM/QCM.

7) The repair station has provisions for the FAA to inspect and observe the noncertificated facility when performing the contracted work.

8) Inspectors have appropriate technical data to determine airworthiness.

9) Inspectors are properly trained and qualified to determine airworthiness.

NOTE: A repair station cannot maintain any article for which it is not rated, per the repair station rule.

G. Review the Repair Station's QC System. For certificated and noncertificated contractors, the PI should consider:

1) The procedures the repair station uses to obtain approval for the maintenance function.

2) The repair station's procedures to qualify the contractor.

3) The repair station's procedures for accomplishing audits of noncertificated facilities to ensure they follow an equivalent QC system.

4) Repair station personnel who audit contractors have appropriate training in auditing techniques.

5) The contractor's information is current.

6) Whether the repair station's receiving inspection personnel have appropriate technical training on the contracted functions.

7) Whether the receiving inspections provide enough technical detail to determine the airworthiness of an article.

8) The currency of the list of maintenance functions for which the repair station has the housing, facilities, equipment, and materials.

9) The method by which a maintenance function is added to the FAA-approved list on an emergency basis is per the repair station's RSM/QCM.

NOTE: The repair station cannot give a copy of its QCM to the noncertificated contractor and assume the contractor will follow proper procedures. The CRS must conduct adequate audits to ensure its QC procedures are followed.

NOTE: Contracting maintenance functions should not replace adequately staffed and trained maintenance personnel. PIs should pay careful attention to repair stations that constantly revise maintenance function lists on an emergency basis to complete work. PIs should verify that repair stations have the necessary trained personnel for the scope and complexity of the ratings they hold.

H. Certificated Contractor. The use of a certificated outside source or entity to perform a contracted maintenance function only requires FAA approval, if the originating repair station chooses to exercise the privileges of its certificate by issuing an approval for return to service for the work performed by the certificated source. The contracted source may choose to not provide approval for a return to service under § 43.9 for the maintenance function. The originating repair

station must determine that the contracted source is properly qualified to perform the maintenance. The PI should also inspect the following:

1) Maintenance functions should be spot-checked to ensure the contractor is not providing a complete repair for a TC'd product. The originating repair station must complete some of the additional maintenance.

2) The originating repair station must perform the test or inspection for the work performed by the certificated contractor. The test or inspection must be documented in accordance with § 43.9. This is only required because the contractor did not provide approval for a return to service under § 43.9 for the maintenance function.

NOTE: The originating repair station must be aware they are exercising the privileges for the work performed by the certificated contractor. If the certificated contractor is not appropriately rated to perform the contracted maintenance function, they must follow a QC system equivalent to the originating repair station. Depending on the certificated contractor's qualifications, the originating repair station may have to observe the maintenance function, or develop an acceptable procedure to ensure the quality of the maintenance function was performed properly. Complex components may require a robust quality system and reviewing the received paperwork from the contracting entity may not be sufficient.

3) Verify that the certificated contractor has returned all required documents with the article. Ensure the originating repair station retains all complete records as in accordance with § 145.219.

4) A repair station may issue an additional approval for return to service under its privileges, such as tagging a previously maintained or altered article, provided the originating repair station:

a) Has the appropriate rating for the article;

b) Conducts the maintenance, preventive maintenance, or alteration, including inspection in accordance with §§ 43.13 and 145.201;

c) Maintains traceability to the previous approval for return to service; and

d) Documents the additional maintenance in accordance with § 43.9.

5) Review the receiving inspection procedures to ensure that each article returning after maintenance has the required documents and receives proper inspection.

I. Noncertificated Contractor. The PI should review the RSM procedures explaining noncertificated repair facility usage. If the person or entity is not certificated under part 145, the procedures should address the contractor's QC system, which must be equivalent to the

repair station's system. The PI may inspect the documents of the noncertificated contractor's QC system. The PI may:

1) Verify that the repair station gives the noncertificated facility procedures to properly complete the requested maintenance function. An example of these procedures could include plating procedures, blueprints, and all data necessary to do the work.

2) Verify by training records that the repair station inspector returning articles for return to service has the training and qualifications to properly inspect an article to ensure that it meets all airworthiness requirements. Verify that the noncertificated contractor completed the work per instructions and the data provided to the noncertificated facility was followed.

3) Ensure that the repair station has documentation authorizing the FAA to inspect noncertificated facilities with which the repair station contracts.

4) Coordinate with the repair station to arrange an inspection if the PI needs to inspect the noncertificated facility. The onsite inspection of a noncertificated facility is not a complete base inspection of that facility. This inspection determines if that facility has the housing and facilities, tools and equipment, adequate personnel, knowledge, and appropriate technical data to complete the work for which it was contracted. The inspector should verify that the facility has a QC system in place that is equivalent to the repair station's procedures. Address all identified items given to the repair station for correction.

5) Verify the originating repair station verifies, by test and/or inspection, that the work has been performed satisfactorily by the noncertificated person and that the article is Airworthy before approving it for return to service.

6) Verify the repair station remains directly in charge of the work performed by the noncertificated person.

6-2110 TASK OUTCOMES.

A. Document the Task. File all supporting paperwork in the certificate holder's office file. Update the Vitals tab in the SAS Configuration Module, as required.

B. Complete the Task. Follow Volume 10 guidance for Module 4, Data Collection and Data Reporting. PIs follow Analysis, Assessment, and Action (AAA) procedures for Module 5.

6-2111 FUTURE ACTIVITIES. Follow Volume 10 to plan future risk-based surveillance in SAS.

RESERVED. Paragraphs 6-2112 through 6-2124.

VOLUME 12 INTERNATIONAL AVIATION

CHAPTER 12 PART 129 HEIGHTENED SURVEILLANCE LIST

Section 1 Heightened Surveillance List

12-664 BACKGROUND. The Heightened Surveillance List (HSL) was one of the actions initiated by the Federal Aviation Administration (FAA) as a result of Chairman Robert Borski Subcommittee investigations on loophole airlines on June 4, 1991, previously known as the Special Emphasis List (SEL). During those hearings, Congress emphasized the FAA's responsibility to provide safety oversight of foreign air carriers in order to ensue that they were operating safely in the U.S. National Airspace System (NAS). This HSL is used to provide inspectors with a listing of Title 14 of the Code of Federal Regulations (14 CFR) part 129 foreign air carriers operating to/from the United States. The HSL is an internal FAA tool for inspectors to target surveillance and is not a rating system for air carriers. The HSL establishes additional levels of surveillance, when warranted, based on specific criteria or indicators.

12-665 INTRODUCTION. The HSL is used to identify increased surveillance requirements for part 129 foreign air carriers that are operating to the United States. Part 129 air carriers must adhere to the safety standards of the International Civil Aviation Organization (ICAO). The ICAO is the United Nations' technical agency for aviation that establishes International Standards and Recommended Practice (ISARP) for aircraft operations and maintenance when conducting international commercial transportation. Specifically, the FAA determines whether a foreign aviation authority has an adequate system of aviation safety oversight, as defined by ICAO Standards.

A. Category Determination. The FAA's International Programs and Policy Division (AFS-50) uses the international aviation safety assessment program (IASA) to determine if an ICAO member State's Civil Aviation Authority (CAA) meets the ICAO Standards and Recommended Practices (SARPs) in regards to Annex 1, Annex 6, Part 1, and the applicable portions of Annex 8. If they meet the ICAO requirements, they would be classified as Category I; if not, then they would be Category 2, not in compliance with international standards. All foreign air carriers from Category 2 member States must be on the HSL.

B. HSL Currency. AFS-50 publishes the HSL on a quarterly basis and will make interim corrections as necessary to ensure that the FAA's safety oversight obligations are met. Specific criteria, as applied to an air carrier's operations, have been identified that could indicate a higher level of risk. International Field Offices (IFO) and International Field Units (IFU) will be the primary source for requests to add or remove part 129 foreign air carriers from the HSL by AFS-50. AFS-50 and the Office of the Director (AFS-1) may also make such requests. Any such request for change must provide justification as detailed below.

12-666 CRITERIA. The principal inspectors (PI) with oversight responsibility will submit the request to add or remove the air carrier from the HSL to AFS-50. The PIs with oversight responsibility should consider all input from geographic inspectors and all other available information when making a decision to add or remove a foreign air carrier from the HSL.

Geographic inspectors must provide all supporting information to the responsible PIs with operations specifications (OpSpecs) responsibility.

A. Additions to the HSL. Certain conditions will automatically result in the air carrier being added to the HSL, such as the following two conditions.

- Foreign air carriers operating from IASA Category 2 countries. They will remain on the HSL until removed from the Category 2 list.
- New entrant foreign air carriers operating scheduled services into the U.S. airspace. (See note below.)

NOTE: New entrant air carriers are those that have not previously operated to the United States. This does not include on-demand charters that come to the United States infrequently and/or operating aircraft with less than 20 seats. They must be evaluated on a case-by-case basis.

B. Evaluation Criteria. Other criteria that must be evaluated when determining if an air carrier should be added or removed from the HSL include:

- Foreign air carriers undertaking significant change of scope and type of operations (e.g., nonscheduled to scheduled operations, cargo to passenger-carrying, addition or removal of aircraft type and/or major change of route structure);
- Labor disputes;
- Financial crisis;
- Reduction in work forces;
- Merger or takeover;
- Turnover in key personnel;
- Relocation/closing of facilities;
- Political disturbance;
- Airlines requiring additional surveillance due to safety concerns; and
- Airlines banned by other ICAO member States.

NOTE: Any one item on this list may not be enough to require that the air carrier be added to the HSL. The information must be evaluated to determine if there is enough data about the air carrier to add them to the list.

C. Increased Surveillance. When any of the above criteria exists, the IFO's/IFU's Regional Office (RO) or Flight Standards District Office (FSDO) having knowledge of a basis for a criteria change must make that information available to the responsible IFO/IFU. A FSDO may request a foreign air carrier be included on the HSL, however, the request must be processed through the responsible IFO/IFU.

D. Initiating Office. Prior to making the request for HSL inclusion, the initiating office ensures that the current environmental information concerning the above issues is accurate in the enhanced Vital Information Database (eVID) environmental database. The IFO/IFU must

provide AFS-50 with substantiating information and justification for requesting that the air carrier be included on the HSL.

E. New Entrant Air Carriers. New entrant air carriers will remain on the list for a minimum period of 1 year from issuance of OpSpecs. After the 1st year, those foreign air carriers will be evaluated quarterly to determine if they continue to meet the requirements to operate in U.S. airspace.

F. IASA Category 2. All IASA Category 2 countries will remain on the list indefinitely until that country has been upgraded to Category 1 status. The list of IASA country categories can be obtained from the following website: https://my.faa.gov/content/myfaa/en/org/linebusiness/avs/offices/afx/divisions/afs/afs50.html.

G. Responsibility. AFS-50 will coordinate with ROs (i.e., AFS-230 branch managers and IFOs/IFUs) any changes affecting the HSL. For example, AFS-50 will coordinate with ROs when air carriers are added to the list, when increased/decreased surveillance is requested, when a request for maintaining current level of surveillance is received, when updating the HSL, and to ensure that oversight is being provided for part 129 air carriers.

H. Geographic Responsibility. IFO/IFU/FSDO offices with geographic responsibility should monitor the HSL quarterly to ensure the list accurately reflects current status. If the air carrier no longer operates within their geographic area of responsibility, the environmental eVID shall be updated to reflect the changes. The PIs with oversight responsibility should be notified of any environmental changes. The PIs with oversight responsibility should notify the geographic field office of any change that would affect their environmental eVID data. If the air carrier no longer conducts operations within the field office area of responsibility, the RO should be notified and the eVID data items should be transferred to another field office for completion if applicable. In some cases, this will be in other geographic regions. If the minimum national surveillance requirement has been met, the “R” items may be terminated using the appropriate Program Tracking and Reporting Subsystem (PTRS) procedure.

I. Additional Surveillance. IFO/IFU and geographically responsible FSDOs shall ensure that qualified aviation safety inspectors (ASI) perform additional surveillance on HSL air carriers.

J. Ramp Inspections. Operators appearing on the HSL will receive one additional ramp inspection quarterly at each airport of operation (1622, 3627, and 5627) until the FAA removes them from the HSL. These required inspections should be locally generated. Enter the inspection into the National PTRS, and enter the acronym “HSL” (without the quotation marks) into the National Use field.

NOTE: For all foreign ramp inspections ASIs must meet the following training requirements before conducting these ramp inspections: (1) completed online training course 27100142, How to Conduct a 14 CFR Part 129 Ramp Inspection; and (2) have completed all required on-the-job training (OJT) for such inspections.

K. Results. Office managers shall monitor the quality of PTRS inspection results. The results of ramp inspections will be used to evaluate the air carrier's ability to continue operation in the United States. If a status change is required, it should be coordinated with the IFO/IFU responsible PIs, ROs, and AFS-50 for publication.

L. Unsatisfactory Results. When the ASI has findings that the foreign air carrier does not meet the international standards established by ICAO, the ASI will provide those findings to the flightcrew/station manager and notify the IFO/IFU. IFOs/IFUs will maintain contact with the foreign operator to resolve noted findings/issues. If an additional safety concern exists or the IFO/IFU does not receive positive resolution of findings with the foreign air carrier, the IFO/IFU manager will notify AFS-50. The AFS-50 manager will then notify the air carrier's foreign CAA of the FAA's concerns and initiate consultations.

M. Consultations. No significant improvement in the air carrier's operations following consultation could result in the suspension/revocation of OpSpecs and Department of Transportation (DOT) economic authority.

12-667 PROCEDURES. All requests, as identified in paragraph 12-666, must be submitted to AFS-50 through the responsible IFO/IFU PIs and ROs for inclusion in the HSL.

A. Reevaluation. New entrants will be reevaluated after 1 year by the responsible IFO/IFU to determine if the air carrier should remain on the list. If the air carrier is operating within the ICAO Standards, after the 1-year period, the IFO/IFU may request that the new entrant air carrier be removed from the list. If during the 1st year of the evaluation process, the inspection results or other information reflects safety risks, the results shall be documented and a recommendation for the air carrier to remain on the HSL will be forwarded to the AFS-50 manager. Coordination with the CAA concerning findings will be accomplished by the PI with OpSpecs responsibility, the regional coordinator, and with the support of AFS-50, as required.

B. Removal. Removal from the HSL is determined by documentation in the PTRS data and recommendations from the IFO/IFU responsible PIs to AFS-50, through the RO, that the air carriers should not be on the HSL.

C. Coordination. AFS-50 is responsible for the updates to the HSL. The AFS-50 HSL coordinator will work with the IFOs/IFUs to add or remove an air carrier from the HSL. The AFS-50 coordinator will maintain a file with the history of all foreign air carriers that are on the HSL. Each air carrier change will contain the written justification for adding or removing an air carrier to or from the list. This justification will be provided by the IFO/IFU responsible PIs through their office manager.

D. Validation. The HSL program manager will validate all information to ensure that all the required data is correct. The IFO/IFU responsible PIs will ensure that all n data and eVID information is provided to the geographic field offices. The geographic field office managers will ensure that all environmental eVID data is entered into the eVID system and is correct.

E. Required Information. The responsible IFO/IFU PIs and ROs making the request should provide the following information in writing or via e-mail to AFS-50:

- Foreign operator name and FAA/ICAO designator,
- Country/State of Operator/Registry,
- Date of request,
- PI's recommendations for the request with justification,
- Country/State of Operator IASA category,
- Name of contact person from requesting office, and
- All primary airports of operations within the United States.

NOTE: If any of required information is missing, the request will be returned within 10 business-days to the originating office for correction.

F. Process. Upon receipt, the request is assigned to the HSL program manager.

1) The program manager reviews the request and the associated eVID/environmental database, and then makes the determination for updating or adding/removing a foreign air carrier from the HSL.

2) Once the determination is made by AFS-50, the program manager ensures the information is complete per subparagraphs 12-668D and E and enters the request in AFS-50's database. The program manager then:

a) Approves and updates the HSL or returns the request to the originating office with a reason for disapproval via e-mail within 10 business-days.

b) Posts any approved changes to the HSL within 10 business-days and notifies the IFO/IFU, FSDO, and AFS-230 branches via the following website: https://my.faa.gov/content/dam/myfaa/org/linebusiness/avs/offices/afx/divisions/afs/afs50/heightened_surveillance_list.pdf.

c) Reviews and updates the HSL quarterly.

G. Final Approval. AFS-50 is the final approving authority for requests to add or remove a foreign air carrier to the HSL. Once a decision has been reached, the requesting office will receive acknowledgement of approval/disapproval of request.

RESERVED. Paragraphs 12-668 through 12-683.

VOLUME 13 FLIGHT STANDARDS DESIGNEES

CHAPTER 1 AIR TRANSPORTATION DESIGNATED EXAMINERS

Section 1 Safety Assurance System: General

Source Basis:

- **Section 183.1, Scope.**
- **Section 183.11, Selection.**
- **Section 183.13, Certification.**
- **Section 183.15, Duration of Certificates.**
- **Section 183.23, Pilot Examiners.**
- **Section 183.25, Technical Personnel Examiners.**
- **Title 49 U.S.C. Chapter 447**
- **Administrative.**

13-1 PROGRAM TRACKING AND REPORTING SUBSYSTEM (PTRS) ACTIVITY CODES. None.

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

13-3 GENERAL.

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

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

NOTE: Compliance with the designee management principles contained in this order will end with the implementation of the Designee Management System (DMS) information technology (IT) tool and FAA Order 8000.95, Designee Management Policy, by each service/office for their respective designee types. Affected employees and designees will be notified through a directive/memo when each implementation will begin and end, as well as when full compliance with the new policy is required. Timing for release and completion of each implementation plan will depend upon availability of the DMS IT tool for the

respective designee type and completion of transition training in the electronic Learning Management System (eLMS) by the supervising inspectors and managers.

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

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

13-4 TYPES OF DESIGNEES.

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

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

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

B. Training Center Evaluators (TCE).

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

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

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

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

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

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

1) A designated examiner may:

a) Conduct only those tests indicated on FAA Form 8430-9, Certificate of Authority, and specifically named in the LOA.

b) Issue temporary certificates to applicants that the designated examiner has evaluated and found qualified for the certificate or rating sought.

c) Be authorized to conduct certification tests within 14 CFR part 121 or 135 training programs at any base or facility approved for the operator's use by the POI.

d) Amend or alter a certificate as follows:

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

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

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

- The applicant must successfully complete the entire approved curriculum which contains provisions for removal of the limitation;
- The procedure to remove the limitation must be part of an approved curriculum, which includes both ground and simulator/flight training;
- Other than removal of a circling approach limitation or a center line thrust limitation, the approved procedure to remove the limitation cannot be a standalone training curriculum, but must be

part of an existing training curriculum (initial, recurrent, upgrade, etc.); and
- The TCE or APD must follow the certificate holder's procedures, which must be described in the approved curriculum.

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

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

2) A designated examiner may not:

- Conduct a test for a certificate or rating that the designated examiner does not hold.
- Normally conduct an evaluation of any applicant whom the designated examiner has instructed in preparation for the certificate or rating sought by the applicant. Exceptions may be granted by the supervising inspector only on a case-by-case basis.
- Normally conduct an evaluation of any applicant whose performance the designated examiner has found to be unsatisfactory on the previous evaluation (i.e., a different examiner is required on a "retake"). Exceptions may be granted by the supervising inspector only on a case-by-case basis.
- Conduct special medical evaluations, tests for waivers, or any test for competency under 49 U.S.C. § 44709. Specialists will instruct designated examiners to direct applicants for waivers, special medical evaluations, and competency tests under § 44709 to an FAA responsible Flight Standards office.
- For TCEs and APDs, remove an ATP limitation based solely on satisfactory presentation of evidence from the airman.

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

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

- Conducting all practical tests in air transportation programs in accordance with the applicable sections of this order. Inspectors should ensure that designated examiners are aware that all operators must have a document covering procedures

and maneuvers which contains specific training and testing standards. This document should be based on the applicable Airman Certification Standards (ACS) or practical test standards (PTS).

- Submitting complete and accurate certification packages (which include the PTRS data sheets or locally prepared data input forms) to the responsible Flight Standards office within 7 calendar-days of administering a test.

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

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

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

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

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

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

- POIs,
- Aircrew Program Managers (APM),
- TCPMs,
- Partial Program Managers (PPM),
- Fleet Training Program Managers (FTPM),
- Assistant TCPMs,
- Assistant APMs, and
- ASIs (Aircraft Dispatch).

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

- Flight Standards District Office (FSDO) managers, and
- Certificate Management Office (CMO) managers.

13-7 PREREQUISITES AND COORDINATION REQUIREMENTS.

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

B. Coordination. This task may require coordination between the responsible Flight Standards office, the Air Transportation Division, and the Regulatory Support Division.

13-8 REFERENCES, FORMS, AND JOB AIDS.

A. References (current editions):

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

B. Forms:

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

C. Job Aids. None.

13-9 PROCEDURES.

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

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

1) ADE Program.

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

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

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

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

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

C. FAA Specialist Training Requirements.

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

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

NOTE: Specific TCPM training requirements are found in Volume 3, Chapter 54. Specific APM training requirements are found in Volume 13, Chapter 2. Specific dispatch inspector training requirements are found in Volume 13, Chapter 3. Required training courses for designee management are summarized by designee type and are located in the inspector training matrix. The training matrix, titled Inspector Training for Designee Oversight, is available at the following link: https://avssp.faa.gov/avs/afs500/TNA/SitePages/Home.aspx.

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

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

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

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

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

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

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

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

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

RESERVED. Paragraphs 13-12 through 13-23.

VOLUME 16 UNMANNED AIRCRAFT SYSTEMS

CHAPTER 5 SURVEILLANCE/COMPLIANCE AND ENFORCEMENT

Section 3 Compliance and Enforcement

16-5-3-1 PURPOSE. This section provides guidance to inspectors on the process of contact and education generally to be provided to individuals who are the subject of an inquiry relating to an unauthorized or unsafe operation of Unmanned Aircraft Systems (UAS) in the National Airspace System (NAS) under certain parts of Public Law (PL) 112-95, Federal Aviation Administration (FAA) Reauthorization Act of 2018; Title 49 of the United States Code (49 U.S.C.) Chapter 447, Safety Regulations; 49 U.S.C. § 40102, Definitions; and Title 14 of the Code of Federal Regulations (14 CFR) parts 1 and 107.

16-5-3-3 AUDIENCE. The audience for this section is all Flight Standards District Office (FSDO) aviation safety inspectors (ASI) and aviation safety technicians (AST), and Flight Standards Service policy divisions responsible for implementation.

16-5-3-5 BACKGROUND. On February 14, 2012, the President signed into law the Modernization and Reform Act of 2012 (FMRA) (or "the Act"), which established FRMA Section 336, Special Rule for FRMA Model Aircraft. In October of 2018, the President signed into law The FAA Reauthorization Act of 2018. The Reauthorization Act, Section 44809, Exception for limited recreational operations of unmanned aircraft, repeals the Special Rule for Model Aircraft and creates an exception for limited operations of unmanned aircraft. The Reauthorization Act makes clear that the FAA has the authority under its existing regulations to pursue legal enforcement action against a person operating any unmanned aircraft who endangers the safety of the National Airspace System.

A. Ensuring Safe UAS Operations. The increasing number of UAS-related incident reports arising from some model aircraft and small UAS operations indicates a potential risk to safety. In order to mitigate this risk, ensure compliance, and ensure safe operations from this community consistent with the compliance philosophy, the FAA will use outreach and education to encourage voluntary compliance with the applicable statutory and regulatory requirements that pertain to UAS operations. When necessary and in the interest of aviation safety, however, the FAA will use administrative action or legal enforcement action to gain that compliance.

B. Aviation-Related Videos or Other Electronic Media on the Internet. UAS videos, in particular, are increasingly appearing on the internet. UAS videos may depict aircraft being flown in a variety of classes of airspace and at varying altitudes. Inspectors are to follow the protocol below when receiving notification of videos with potentially noncompliant UAS operations posted to the Internet.

C. Evidence. In all cases, the FAA must have acceptable evidence in support of all alleged facts in order to take legal enforcement action. Inspectors are reminded that:

1) Electronic media posted on the Internet is only one form of evidence which may be used to support an enforcement action and it must be authenticated.

2) Electronic media posted on the Internet is ordinarily not sufficient evidence alone to determine that an operation is not in compliance with 14 CFR. However, electronic media may serve as evidence of possible violations and may be retained for future enforcement action.

3) Inspectors have no authority to direct or suggest that electronic media posted on the Internet must be removed.

NOTE: Electronic media posted on a video website does not automatically constitute a commercial operation or commercial purpose, or other non-hobby or non-recreational use.

D. Program Tracking and Reporting Subsystem (PTRS) Documentation.

1) In the "14 CFR" field, enter "part 107."

2) The inspector should list the remote pilot's name in the "Airman" field and the certificate number in the "Cert Number" field. If the operator does not have an airman certificate, the inspector should list the operator's name in the "Non Cert" field (last name, first name).

16-5-3-7 EDUCATION, COMPLIANCE, AND ENFORCEMENT PHILOSOPHY. In determining what action to take, ASIs will evaluate the extent of the safety risk to the NAS that arises from any noncompliance associated with the UAS operation. An ASI should start by using counseling or an informational letter to advise and educate a UAS operator about the requirements for regulatory compliance. This type of approach is most appropriate when an ASI determines that regulatory compliance will likely be achieved by informing the operator about how to comply with statutory and regulatory requirements. These informational letters will be strictly advisory in nature, and will serve to provide the UAS operator with guidance on how to conduct operations in accordance with applicable statutory and regulatory requirements. A sample informational letter is attached as Figure 16-5-3A, Sample UAS Informational Letter for Inspectors.

A. NAS Enforcement Action. When an operator is uncooperative or intentionally noncompliant, or the operation poses medium to high risk to the NAS, enforcement action may be appropriate. In addition, repeat or intentional violations generally warrant legal enforcement action. In these cases, inspectors should follow the guidance provided in FAA Order 2150.3, Chapter 5, Voluntary Safety Programs; and Appendix H, Compliance and Enforcement Bulletin No. 2014-2.

B. Administrative vs. Legal Enforcement Action. Inspector questions regarding how to evaluate a particular case with respect to taking administrative versus legal enforcement action should be coordinated with the Enforcement Division (AGC-300) contacts.

16-5-3-9 COMPLAINTS. ASIs are expected to investigate complaints in accordance with Volume 7 and use their judgment in determining the appropriate course of action. If the investigating inspector or technician requires additional guidance or technical information concerning UAS operations, he or she should contact the appropriate FSDO's UAS specialist. The FAA Compliance and Enforcement Policy is contained in Volume 14.

16-5-3-11 GUIDANCE.

A. Figure 16-5-3A, UAS Informational Letter Template for Inspectors.

B. References (current editions):

- FAA Order 2150.3, FAA Compliance and Enforcement Program.
- FAA Order 8130.34, Airworthiness Certification of Unmanned Aircraft Systems and Optionally Piloted Aircraft.
- FAA Order 8900.1, Volume 7, Investigation.
- FAA Order 8900.1, Volume 14, Compliance and Enforcement.

Figure 16-5-3A. Sample UAS Informational Letter for Inspectors

U.S. Department
of Transportation
Federal Aviation Administration

[ENTER LOCATION] Flight Standards District Office
12650 N. Featherwood Drive, Suite 230
Houston, Texas 77034-4411
281-929-7000, Fax: 281-929-7059

March 11, 2019

CERTIFIED MAIL/RETURN RECEIPT REQUESTED/REGULAR US MAIL

Dear Mr.:

The purpose of this letter is to provide you with information about the laws and regulations regarding Unmanned Aircraft System (UAS) operations conducted within the National Airspace System (NAS). The FAA's safety mandate under 49 U.S.C. § 40103 requires it to regulate all aircraft operations conducted in the NAS, which include UAS operations, to protect persons and property on the ground and to prevent collisions between aircraft and other aircraft or objects.

An Unmanned Aircraft is an Aircraft

An unmanned aircraft is an "aircraft" as defined in the FAA's authorizing statutes and is therefore subject to regulation by the FAA. The FAA has promulgated regulations that apply to the operation of all aircraft, whether manned or unmanned, irrespective of the altitude at which the aircraft is operating. Unmanned aircraft have always been, and continue to be, subject to the statutory and regulatory requirements applicable to aircraft.

UAS Registration Requirements

All unmanned aircraft, including those operated exclusively as model aircraft, that weigh more than 0.55 pounds and that are operated in the NAS must be registered with the FAA under either 14 CFR part 47 or part 48. The FAA will issue a unique registration number that must be placed on an external surface of the aircraft. Small unmanned aircraft owners are no longer permitted to enclose the FAA-issued registration number in a compartment. The operator of the UAS must carry a Certificate of Aircraft Registration in either paper or electronic format and make it available to law enforcement upon request.

Failure to register a UAS, including model aircraft, in accordance with these rules may result in regulatory and criminal sanctions. The FAA may assess civil penalties up to $33,333. Criminal penalties include fines of up to $250,000 and/or imprisonment for up to three years.

To register your UAS or for more information about UAS registration requirements, visit our website at: https://www.droneregistration.com.

Operation of Small Unmanned Aircraft Systems within the United States

1) Title 14 CFR Part 107. The rule addresses airspace restrictions, remote pilot certification, visual observer requirements, and operating limitations. Certain provisions in the rule are subject to waiver. Operators may also seek relief from the provisions of the rule using the 14 CFR part 11 exemption process. Read the full regulation by visiting http://www.ecfr.gov and selecting Title 14 and part 107.

2) Section 333/49 U.S.C. § 44807 Exemptions. The Special Authority for Certain Unmanned Aircraft Systems (49 U.S.C. § 44807) grants the Secretary of Transportation the authority to use a risk-based approach to determine whether an airworthiness certificate is required for an unmanned aircraft to operate safely in the NAS. Under this authority, the Secretary may grant exemptions to the applicable operating rules, aircraft requirements, and pilot requirements for specific operations. Instructions on how to apply for an exemption can be found at https://www.faa.gov/uas/advanced_operations/section_333.

3) Public Aircraft Operations. Further information about public aircraft operations is available in Advisory Circular (AC) 00-1.1A, Public Aircraft Operations. Public aircraft operators must obtain a COA prior to operations. Instructions on how to apply for a COA can be found at http://www.faa.gov/uas/.

4) Airworthiness Certification. Refer to the current edition of FAA Order 8130.34, Airworthiness Certification of Unmanned Aircraft Systems and Optionally Piloted Aircraft. The full civil type certification process allows for production and commercial operation of UAS and is a lengthy process typically undertaken by aircraft manufacturers.

5) Title 49 U.S.C. § 44809 Operations. In October of 2018, the President signed into law the Exception for Limited Recreational Operations of Unmanned Aircraft. Additional information regarding compliance with this statute will be available soon. Operators who have questions concerning any items listed above or who seek further information concerning UAS operations may contact the UAS Helpdesk at UASHelp@faa.gov or 1-844-FLY-MY-UA.

For All UAS Operators

The FAA provides guidance and information to individual UAS operators about how to operate safely under regulations and laws at http://www.faa.gov/uas/.

If you have any questions or concerns, my direct telephone number is [ENTER TELEPHONE NUMBER]. The [ENTER LOCATION] Flight Standards District Office hours are from 7:30 a.m. to 4:00 p.m. Monday through Friday.

Sincerely,

[ENTER NAME]
Aviation Safety Inspector

16-5-3-13 through 16-5-3-29 RESERVED.