VOLUME 10 AIR TRANSPORTATION OVERSIGHT SYSTEM

CHAPTER 6 THE CERTIFICATION PROCESS OF PART 121 AIR CARRIERS

Section 2 Certification Process Document

10-435 GENERAL. This section contains the text of the Certification Process Document (CPD) in its entirety. This section also provides direct links to reference material including briefing guides; meeting agendas; training requirements; and other guidance material used during the process.

10-436 PHASE 1—APPLICATION.

1.1   Applicant Requests Formal Application Meeting

1.1.1   **Applicant**-Contact the certificate-holding district office (CHDO) to schedule a formal application meeting date. Make this request at least 45 calendar days prior to the proposed formal application meeting to allow the FAA to prepare resources. The items listed below from the Pre-application Checklist (PAC) (refer to "Pre-application Checklist") must be submitted at this time:

- Formal application letter
- Completed Management Qualification Summary Form and Quality Audit Form
- List of proposed operations specifications (OpSpecs)
- An up to date Pre-application Statement of Intent (PASI) if there have been any changes to the original PASI
- A proposed schedule of events (Refer to "Schedule of Events")

1.1.2   **CHDO**-Advise the ATOS leadership team that an applicant has requested a formal application meeting, and e-mail a copy of the submitted documents to 'AVS-AFS900-ATOS-Leadership Team.

1.1.3   **CPM**-Request a new labor distributing reporting (LDR) project code by completing LDR Form for New Project Code and Revisions (MS Word) at: http://intranet.faa.gov/FAAemployees/Org/LineBusiness/AVS/Offices/AFS/LDR/

1.2   Establish Certification Project Team

1.2.1   **AFS-900 Certification Section Manager**-Assign the AFS-900 certification team.

1.2.2   **CTL**-Review the applicant's submissions to become familiar with the applicant's operation.

1.2.3   **CHDO Manager and CTL**-Identify certification project team (CPT) members.

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1.2.4   **CPM**-If a data evaluation program manager is not assigned to the project, Ensure a CPT member(s) is assigned to act as the data reviewer(s).

1.2.5   **CTL**-Create a Project Management Tool (PMT) record per AFS-900-001-WI-02 process.

1.3   Formal Application Preparation

1.3.1   **CPM**-Schedule a tentative date for the formal application meeting.

1.3.2   **CTL**-Conduct CHDO briefing. (Refer to "CHDO Briefing")

1.3.3   **CPM** and CTL-Identify team resources to complete the initial review.

1.4   CPT Automation Preparation

1.4.1   **CTL**-Ensure that a new air carrier account is generated in the Air Transportation Oversight System (ATOS) database.

1.4.2   **CHDO Team Members**-Complete the ATOS/PMT Automation Access Worksheet. (Refer to "Automation Access Worksheet".)

1.4.3   **CTL**-Create a CPT roster in the ATOS database. Include all frontline managers.

1.4.4   **CPM**-Ensure an air carrier oversight profile is opened and the elements (and questions, if desired) are tailored to the requested scope of operation.

1.5   Submission of Certification Documents Prior to Formal Application Meeting

1.5.1   **Applicant**-Submit all additional PAC documents to the CHDO at least 15 business days before the formal application meeting. (Refer to "Preapplication Checklist".)

1.5.2   **CPM**-Contact the Office of the Secretary of Transportation (OST), Air Carrier Fitness Division, (202) 366-2999, to confirm receipt of application.

1.5.3   **CPM**-Inform the certification team leader via e-mail that all items on the PAC have been submitted.

1.6   Initial Review

1.6.1   **CTL**-Upload the applicant's documents to the PMT, per AFS-900-001-WI-02.

1.6.2   **CPT**-Conduct an initial review of the applicant's submission and verify that content is sufficient to conduct a formal application meeting. (Refer to "Initial Review Instructions".)

NOTE: Teams assigned to SAIs that pertain to FAA-approved manuals, programs, or that are related to OpSpecs must include at least one CHDO inspector.

1.7   Plan Formal Application Meeting

1.7.1   **CPM**-If the initial review finds that the formal application package is of sufficient quality, continue planning the formal application meeting (refer to "Formal Application Meeting Plan"). If the package is not of sufficient quality, return it to the applicant.

1.7.2   **CPM**-Confirm that 14 CFR Part 119.65(a) required management personnel will attend. Reschedule the meeting if any required management personnel cannot attend.

1.7.3   **CPM and CTL**-Determine which certification team members will attend the formal application meeting.

1.8   Notify/Coordinate with Applicable Offices

1.8.1   **CPM**-Advise the Regional Flight Standards Division (RFSD) of the formal application date.

1.8.2   **CPM**-Notify The Air Transportation Division Program Management Branch, AFS–260, of the project. Coordinate activity for the Industry Operations Specifications Subsystem, user IDs, and passwords.

1.9   Conduct Formal Application Meeting

1.9.1   **CPM**-Circulate the attendance roster. (Refer to "Attendance Roster".)

1.9.2   **CPM**-Ensure meeting agenda items are accomplished. (Refer to "Formal Application Meeting Plan".)

1.9.3   **Applicant**-Verify that all required management and personnel with process change authority will be available throughout the certification process.

1.9.4   **CPM**-Conclude the formal application meeting.

1.9.5   **CPM**-Tell the applicant that they will be notified within five working days of acceptance or rejection.

NOTE: An unsuccessful evaluation does not always require a rejection of the formal application. The CPM may elect to conduct a follow-up evaluation. This follow-up evaluation must be completed with satisfactory results before finishing Phase 1.

1.10   Accept or Reject the Entire Formal Application Package

1.10.1 **CPT**-Discuss areas of concern and identify risks found during the formal application meeting.

1.10.2 **CPM**-Determine if the application will be accepted.

1.10.3 **CPM**-If the application is rejected, document discrepancies that caused the rejection.

1.10.4 **CPM**-If the application is accepted, Ensure the air carrier oversight profile is completed. Save as final.

1.11   Notification to Applicant

1.11.1 **CPM**-Provide either a letter of acceptance or a letter of rejection to the applicant within five working days of completing the formal application meeting.

NOTE: A letter of rejection will state the reason for rejection. The formal application package will be returned with the letter of rejection. The CHDO manager will determine at what step the applicant will reenter the CPD, or if the project should be terminated.

1.12   Phase 1 Review

1.12.1 **CPM/CTL**-Verify all Gate I requirements have been met. (Refer to "Gate Requirements".)

1.12.2 **CTL**-Solicit applicant and CPT feedback. (Refer to "Certification Process Feedback Form".)

1.12.3 **CTL**-Document the services provided by AFS-900 in PMT "Status/Comments History."

10-437 PHASE 2—DESIGN ASSESSMENT.

2.1   Planning Meeting

2.1.1   **CPM/CTL**-Generate a design planning data package.

2.1.2   **CPT**-Complete the Air Carrier Assessment Tool (ACAT).

2.1.3   **CPM**-Ensure the initial Comprehensive Assessment Plan (CAP) is developed.

2.1.4   **CPM**-Identify elements that pertain to FAA-approved manuals, programs, or that are related to OpSpecs (refer to "Initial Review Instructions"). Identify additional elements that were identified as high priority in the CAP. Instructions for these SAIs will state that all applicant-supplied data must be verified.

2.1.5   **CPM**-Ensure that SAI work instructions for all elements not identified in the previous step state, at a minimum, that applicant-supplied data for the procedure questions (section 1) will be verified.

2.1.6   **CPM**-Ensure design assessment due dates are adjusted.

NOTE: Data sharing, collaboration, and open communication optimize the certification process and leverage resources. The CPM should plan to use applicant-supplied SAI data during the FAA's design assessment.

NOTE: If necessary, the CPM may request that additional attribute questions be verified throughout the design assessment phase.

2.2   Resource Management

2.2.1   **CPM and CTL**-Provide input to frontline managers to help them identify team resources needed to complete each SAI.

2.2.2   **CHDO <u>and</u> AFS-900 Frontline Managers**-Determine resource availability and assign team coordinators (TC) and team members to support the design assessment plan.

NOTE: Teams assigned to SAIs that pertain to FAA-approved manuals, programs, or that are related to OpSpecs, must include at least one CHDO inspector.

2.2.3   **CHDO Manager**-Concur with the design assessment plan.

2.3   Data Collection

2.3.1   **Frontline Manager**-Ensure all applicant-supplied SAI data (self assessment data) is entered into the ATOS database. Identify this data as "Air Carrier Provided Record" per ATOS automation instructions. Save activity as final.

2.3.2   **CPT ASIs**-Complete assigned SAIs by verifying applicant-supplied data. Enter "Initial Cert" in the Local/Regional/National Field on the "Begin Inspection Activity" screen. Save activity as final.

NOTE: If an inspector observes an issue not related to their assigned element, either document the issue in an "other" DOR or notify the inspector(s) working that element.

2.3.3   **CPM**-Ensure that an SAI Activity Report and Dynamic Observation Report (DOR) is generated after completing the review of each submission.

2.3.4   **CPT**-Meet to review the SAI activity and DOR report for each element.

2.3.5   **CPM**-If additional data is needed or if the current submission is not of sufficient quality to proceed, return the entire submission to the applicant with a written explanation of concerns.

NOTE: Advise the applicant that the next revision must be returned as an entire submission accompanied by a revised SAI self assessment. Every document in the revised submission will be labeled as "Revision B", "Revision C", etc. Upon receipt of the revised submission, the CPT will verify revised SAI data and update the ATOS database using a new activity. Save revised activities to draft. Verify the compliance statement has been updated.

2.3.6   **CTL**-Post a copy of the notice to applicant, activity report, and DOR report to the PMT per AFS-900-001-WI-02.

2.4   Initial Cadre Training

2.4.1   **CPT**-Review the initial cadre check airman (ICCA) plan to verify compliance with guidance. (Refer to "Initial Cadre Check Airmen".)

2.4.2   **CPM**-Confirm approval of the ICCA plan.

2.4.3   **Applicant**-Begin initial cadre training.

2.4.4   **CPM**-Ensure the CAP is retargeted to use appropriate training EPIs to assess the performance of the ICCA training.

2.5   Initial Training Program Approval

2.5.1   **CPM**-Coordinate with the primary CHDO operations inspector to provide initial approval for selected training programs.

NOTE: This should be done after completing all training SAIs and a substantial portion of the design assessment. The applicant must be advised in writing that "differences training" may be required.

NOTE: The CMT must agree that all courseware to be used during training is acceptable.

2.5.2   **CPM**-Ensure the CAP is retargeted to use appropriate training EPIs to assess the performance of the training program.

2.6   Data Reporting

2.6.1   **CPT**-Ensure SAI and DOR data is in accordance with data quality guidelines.

2.6.2   **TC**-Save SAI to master record.

2.7   Data Reviewing

      2.7.1   **CPM**-Ensure data meets data quality guidelines.

      2.7.2   **CPM**-Ensure all data have been saved to the ATOS database.

2.8   Analysis and Assessment

      2.8.1   **CPM**-Conduct a design assessment meeting with identified members of the CPT to analyze collected data by element.

      2.8.2   **CPM**-Make bottom-line assessment for each element and document on the Assessment Determination and Implementation tool.

2.9   Action Determination and Implementation

      2.9.1   **CPM**-Follow the module 8 process map in Notice 8900.11, Air Transportation Oversight System Version 1.2, to determine the appropriate course of action for each element.

      2.9.2   **CPM**-If the entire air carrier system design meets requirements for acceptance or approval without mitigation, accept or approve manuals and programs, as applicable.

      2.9.3   **CPM**-If the air carrier's system design is accepted with mitigation, accept or approve manuals and programs, as applicable, and document the need for additional data collection, monitoring, or mitigation.

      2.9.4   **CPM**-Notify the applicant that all manuals and programs have been given approval and/or acceptance.

      2.9.5   **CPM**-If the system is not properly designed, notify applicant in writing and repeat steps as necessary.

2.10   Check Status of the Following

      2.10.1 **CPM**-Environmental review.

      2.10.2 **CPM**-Drug and alcohol abatement program.

      2.10.3 **CPM**-Dangerous goods program.

      2.10.4 **CPM**-Security program.

      2.10.5 **CPM**-All required training.

      2.10.6 **CPM**-Progress of economic authority.

      2.10.7 **CHDO Manager**-CMT baseline staffing and baseline training requirements.

2.11   Operations Specifications

     2.11.1 **Applicant and CPM**-Verify the proposed OpSpecs have been generated.

2.12   Phase 2 Review

     2.12.1 **Applicant**-Submit updated schedule of events.

     2.12.2 **CPM and CTL**-Verify that all Gate II requirements have been met. ("Refer to Gate Requirements".)

     2.12.3 **CTL**-Document the services provided by AFS-900 in PMT "Status/Comments History."

     2.12.4 **CTL**-Solicit applicant and CPT feedback. (Refer to Certification Process Feedback Form.)

10-438 PHASE 3—PERFORMANCE ASSESSMENT.

3.1   Confirm Operational Readiness

     3.1.1   **Applicant**-Conduct an internal safety assessment of operating systems using company audit procedures and documentation. Submit results to the CPM.

     3.1.2   **Applicant**-Ensure all concerns found during the internal safety assessment have been properly addressed.

3.2   Performance Assessment Planning

     3.2.1   **CPM**-Ensure the ACAT is updated using information from the design assessment.

     3.2.2   **CPT**-Adjust the CAP and plan performance assessments for elements 1.1.2, 1.3.3, 1.3.7, 3.1.2, 3.1.3, 5.1.1, 5.1.5, elements that are related to FAA certification requirements, and elements that were identified as high priority in the CAP.

     3.2.3   **CPM**-Ensure performance assessment due dates are set.

     3.2.4   **CPM**-Ensure data collection requirements for each performance assessment are determined.

     3.2.5   **CPM**-Ensure work instructions for identified EPIs and Constructed Dynamic Observation Reports (ConDOR) are documented.

3.3 Resource Management

     3.3.1   **CPM and CTL**-Provide input to frontline managers to help them identify team resources to complete the performance assessment plan.

3.3.2   **Frontline Managers**-Review schedule of events to ensure availability of resources (e.g., travel funds, passports, and country clearance requests).

3.3.3   **CHDO and AFS-900 Frontline Managers**-Assign team members to complete the performance assessment plan.

3.3.4   **CHDO Manager**-Concur with the performance assessment plan.

3.4   Aircraft Conformity Evaluation

3.4.1   **Applicant**-Notify the CPM of aircraft availability at least 10 working days prior to the proposed aircraft evaluation, and forward the completed aircraft configuration control job aid (or applicant's equivalent) and aircraft information form to CPM for the aircraft conformity evaluation. Refer to the ATOS aircraft conformity Web at Federal Aviation Administration - Aircraft Conformity Process for these forms.

3.4.2   **CPM**-Provide the applicant a copy of the Aircraft Document Request List. (Refer to "Aircraft Document Request List".)

3.4.3   **CPM**-Complete an initial review of the applicant's conformity submissions to confirm all required records are present and of sufficient quality to continue to the next step.

3.4.4   **CPT**-Evaluate the applicant's aircraft conformity evaluation using the aircraft configuration control job aid and documentation provided by the applicant.

3.4.5   **CPM**-In writing, notify the applicant of discrepancies identified during the aircraft conformity evaluation.

3.4.6   **Applicant**-Submit a letter of corrections to the CPM. Update the schedule of events, if required.

3.4.7   **CPM**-Confirm that discrepancies were corrected prior to beginning proving tests.

3.4.8   **CTL**-Post the letter of corrections in the PMT.

3.5   Demonstration Plans

3.5.1   **Applicant**-Submit the following plans, as appropriate, for the proposed operation:

- Emergency Evacuation Plan
- Ditching Plan
- Proving-Test Plan

3.5.2   **CPT**-Review and accept submitted plans.

- Emergency Evacuation Plan and Ditching Plan (Refer to "Emergency Evacuation and Ditching Demonstration".)
- Proving Test Plan (Refer to "Proving Test Protocols")

3.5.3   **CPM**-If applicable, respond to the applicant request for a reduction of proving test hours.

3.5.4   **Applicant**-Submit a request for a letter of authorization (LOA), in accordance with part 119.33(c), for demonstrating appropriate operations under part 121. Make this request at least 10 business days before any aircraft flight demonstration. (Refer to "Proving Test Protocols".)

3.5.5   **Applicant**-Submit draft OpSpecs.

3.5.6   **CPM**-Issue LOA in accordance with part 119.33(c).

3.6   Tabletop Exercise

3.6.1   **CPT**-Develop scenarios to assess performance during tabletop exercises. (Refer to "Tabletop Exercise".)

3.6.2   **CPT/Applicant**-Conduct tabletop exercises and discuss results of each scenario.

3.6.3   **CPM**-If any scenario is found to be unsatisfactory, Confirm the applicant has made corrections to its system design or has corrected personnel performance issues before beginning proving tests.

3.7   Evacuation/Ditching Demonstrations (as required)

3.7.1   **CSI**-Discuss demo plan with the CPT.

3.7.2   **CPT**-Brief applicant on plan and expectations.

3.7.3   **CPT/Applicant**-Conduct evacuation/ditching demonstrations.

3.7.4   **CPT**-Document results of each demonstration on FAA Form 8430-1, Emergency Evacuation Demonstration Report, and EPIs 1.1.2, 3.1.2 and 3.1.3 (refer to "Emergency Evacuation and Ditching Demonstration"). EPI records will remain in draft.

3.7.5   **CPM**-Forward completed 8430-1 forms to RFSD.

3.7.6   **CPM**-Save completed 8430-1 forms.

3.8   Assess Applicant's Facilities

3.8.1   **CPT**-Assess at least the following facilities using applicable EPIs:

- Station facilities (EPI 5.1.5)

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- Main maintenance base (EPI 1.3.3)
- Line station facilities (EPI 5.1.1)
- Outsource maintenance facilities (EPI 1.3.7)

NOTE: EPI records may remain open until proving tests are complete.

NOTE: The CPT may accomplish these assessments prior to, or during proving tests by observing the applicant conduct their own internal safety assessment (step 3.1).

3.9   Prepare for Proving Tests

    3.9.1   **CPM**-Confirm the show cause order has been issued.

    3.9.2   **CPM/CTL**-Verify that all other Gate III requirements are met (refer to "Gate Requirements").

    3.9.3   **CPM**-Schedule the CPT for proving tests.

    3.9.4   **CPT**-Develop proving test scenarios that will facilitate the collection of data that will be used to complete the performance assessment. (Refer to "Proving Test Protocols".)

3.10   CPT and Applicant Conduct Proving Tests

    3.10.1 **CPT and Applicant**-Meet to discuss the proving-test protocols and the proposed flight schedule.

    3.10.2 **CPT**-Prior to each day's proving tests, conduct an FAA meeting to review the day's plan.

    3.10.3 **CPT and Applicant**-Prior to each day's proving tests, conduct a briefing with the applicant to review the day's plan.

    3.10.4 **CPT and Applicant**-Conduct proving tests.

    3.10.5 **CPT**-Collect data for assigned EPIs or ConDORs.

    3.10.6 **CPT and Applicant**-Debrief results after each flight.

    3.10.7 **CPT**-Document results of each scenario on the appropriate worksheet.

    3.10.8 **CPM**-When all test objectives have been met and the applicant has repeatedly demonstrated their ability to conduct line operations in compliance with regulations and safe operating practices, recommend that the proving tests conclude.

3.10.9 **CHDO Manager**-Notify RFSD of normal completion of proving tests or proving tests that were terminated due to unsatisfactory performance. Early completion of proving tests requires RFSD approval.

3.11   Data Reporting

3.11.1 **CPT**-Enter EPI, ConDOR, and DOR data in accordance with data quality guidelines and save activities to final.

3.11.2 **CPT**-Save the EPI to the master record when it is complete.

3.12   DATA Review

3.12.1 **CPM**-Ensure data meets data quality guidelines and save records to the ATOS database.

3.13   Analysis and Assessment

3.13.1 **CPM**-Along with identified members of the CPT, conduct a performance assessment meeting to analyze EPI collected data by element.

3.13.2 **CPM**-Make bottom-line assessment and document on the ADI Tool.

3.14   Action and Determination Using the Assessment Determination and Implementation Tool

3.14.1 **CPM**-Follow the ATOS module 8 process map in Notice 8900.11, Air Transportation Oversight System Version 1.2, to determine the appropriate course of action for each element.

NOTE: If the air carrier's system meets all performance standards, it is affirmed.

3.14.2 **CPM**-If the air carrier's system meets performance standards but with minor problems, determine whether additional data collection, monitoring, or action is needed.

3.15   Phase 3 Review

3.15.1 **CTL**-Document the services provided by AFS-900 in the PMT.

3.15.2 **CTL**-Solicit applicant and CPT feedback. (Refer to Certification Process Feedback Form).

10-439 PHASE 4—ADMINISTRATIVE FUNCTIONS.

4.1   Accomplish Administrative Requirements

4.1.1   **CHDO Manager**-Confirm the CMT is in place.

   4.1.2   **CPM**-Obtain final certificate number from the Flight Standards Regulatory Support Division Aviation Data Systems Branch, AFS-620, (405) 954-9723.

   4.1.3   **CHDO Manager**-Schedule the first annual planning meeting with the CMT, AFS-900 field support, and appropriate members of the CPT.

4.2   Approve OpSpecs

   4.2.1   **CPM**-Verify final changes to the Vital Information Subsystem and draft OpSpecs are accomplished. Coordinate with PIs on approval/disapproval of the applicant's OpSpecs.

   4.2.2   **PIs**-Review any OST limitations before signing the OpSpecs.

   4.2.3   **PIs**-Sign OpSpecs.

4.3   Issue OpSpecs and Air Carrier Certificate

   4.3.1   **CHDO Manager**-Review and forward air carrier certificate and copy of OpSpecs to the RFSD division manager.

   4.3.2   **RFSD Manager**-Sign the air carrier certificate and return to CHDO.

   4.3.3   **CHDO Manager**-Issue OpSpecs and the air carrier certificate.

4.4   Certification Report

   4.4.1   **CPM**-Assemble the certification report, include:

   - PASI
   - Formal letter of application
   - Proving test report
   - Emergency evacuation demonstration report
   - Ditching report·
   - Copy of the air carrier certificate
   - Final compliance statement
   - A copy of the OpSpecs issued

   4.4.2   **CPM**-Sign and retain the certification report.

   4.4.3   **CHDO Manager**-Forward a copy of the certification report to RFSD.

4.5.   Phase 4 Review

   4.5.1   **CPM/CTL**-Verify all steps in Phase 4 have been completed.

   4.5.2   **CPM**-Solicit applicant and CPT feedback. (Refer to Certification Process Feedback Form).

4.5.3   **CTL**-Document the services provided by AFS-900 in PMT.

4.5.4   **CTL**-Comment in PMT project summary verifying that required PMT records are in the supporting documents per AFS-900-001-WI-02. Include the CTL's name.

4.5.5   **CTL**-Send message to AFS-900 Certification Section team members to remove company manuals from their computers.

10-440 FIGURE XX-Insert SCHEDULE OF EVENTS.

10-441 INITIAL REVIEW INSTRUCTIONS.

A. PURPOSE: The purpose of the initial review is to determine the quality of applicant's application package.

B. PROCEDURE: The Certification Project Team (CPT) will:

1)   Verify that all Preapplication Checklist (PAC) documents have been submitted.

2)   Verify that all manuals required to conduct the design assessment are available to the CPT.

3)   Verify the compliance statement includes applicable Title 14 of the Code of Federal Regulations (14 CFR) part 119 and 121 rules.

4)   The certification project manager (CPM) will select a minimum of nine Safety Attribute Inspection (SAIs), distributed as evenly as practicable across air carrier systems and inspector disciplines. These SAIs will consist of six SAIs that pertain to programs that require approval or that are related to operations specifications (OpSpecs) and three other SAIs. (See the SAI chart below.)

10-442 EVALUATION CRITERIA.

A. The system design must not include unacceptable safety issues.

B. One hundred percent of the documents required by the PAC must have been submitted.

C. The compliance statement must accurately list at least ninety percent of the part 119 and 121 rules that apply to the applicant.

D. Ninety percent of the questions on each of the selected SAIs must have been answered correctly by the applicant, and contain accurate reference information. If the reference is to the manual system, it must be to the volume, chapter, and paragraph level (or equivalent)

E. CPT members should enter their results in the Project Management Tool (PMT) per the PMT instructions.

10-443 ELEMENT CHART: These elements pertain to manuals or programs that require approval or are related OpSpecs that should be assigned to certificate-holding district office (CHDO) inspectors.

Figure 10-61, Element Chart

(1) Element Number	(2) Description	(3) Approval/ OpSpec
1.0 Aircraft Configuration Control		
1.1 Aircraft		
1.1.1—AW	Aircraft Airworthiness	
1.1.2—AW 1.1.2—OPS	Appropriate Operational Equipment	
1.1.3—AW	Special Flight Permits	Y
1.2 Records and Reporting Systems		
1.2.1—AW	Airworthiness Release/Log Book Entry	
1.2.2—AW	Major Repairs and Alterations	
1.2.3—AW	Maintenance Log/Recording Requirements	
1.2.4—AW	Management Information System (MIS) Reports	
1.2.5—AW	Mechanical Reliability Reports (MRR)	
1.2.6—AW	Aircraft Listing	Y
1.3 Maintenance Organization		
1.3.1—AW	Maintenance Program	Y
1.3.2—AW	Inspection Program	Y
1.3.3—AW	Maintenance Facility/Main Maint. Base	
1.3.4—AW	Required Inspection Items (RII)	
1.3.5—AW	Minimum Equipment List (MEL)/Configuration Deviation List (CDL)/Deferred Maintenance	Y
1.3.6—AW	Airworthiness Directive (AD) Management	
1.3.7—AW	Outsource Organization	Y
1.3.8—AW	Control of Calibrated Tools/Test Equip.	
1.3.9—AW	Engineering/Major Repairs/Alterations	
1.3.9—AW	Engineering/Major Repairs/Alterations	
1.3.10—AW	Parts/Material Control/suspected unapproved parts (SUP)	
1.3.11—AW	Continuous Analysis and Surveillance(CAS)	
1.3.12—AW	Special Federal Aviation Regulations (SFAR) 36	
1.3.13—AW	Designated Alteration Station (DAS)	
1.3.14—AW	General Maintenance Manual/Equivalent	

1.3.15—AW	Reliability Program	Y
1.3.16—AW	Fueling	
1.3.17—AW	Weight and Balance Program	Y
1.3.18—AW	Deicing Program	Y
1.3.19—AW	Lower Landing Minimums	
1.3.20—AW	Engine Condition Monitoring	
1.3.21—AW	Parts Pooling	Y
1.3.22—AW	Parts Borrowing	Y
1.3.23—AW	Short-term Escalations	Y
1.3.24—AW	Coordinating Agencies for Supplier's Evaluation (CASE)	Y
1.3.25—AW	Cargo Handling Equipment, Systems/Appliances	

2.0 Manuals

2.1 Manual Management

2.1.1—AW	Manual Currency	
2.1.1—OPS		
2.1.2—AW	Content Consistency Across Manuals	
2.1.2—OPS		
2.1.3—AW	Distribution	
2.1.3—OPS		
2.1.4—AW	Availability	
2.1.4—OPS		
2.1.5—AW	Supplemental Operations Manual Req's.	
2.1.5—OPS		

3.0 Flight Operations

3.1 Air Carrier Programs and Procedures

3.1.1—OPS	Passenger Handling	
3.1.2—OPS	Flight Attendant Duties/Cabin Procedures	
3.1.3—OPS	Airman Duties/Flightdeck Procedures	Y
3.1.4—OPS	Operational Control	Y
3.1.5—OPS	Carry-on Baggage	Y
3.1.6—OPS	Exit Seating	Y
3.1.7—OPS	Deicing Program	Y
3.1.8—OPS	Carriage of Cargo	Y
3.1.9—OPS	Aircraft Performance Operating Limits	Y
3.1.10—OPS	Lower Landing Minimums	Y
3.1.11—OPS	Computer Based Record Keeping	Y
3.1.12—OPS	Hazmat/Dangerous Goods Program	Y
3.1.13—OPS	Other Personnel with Operational Control	Y

3.2 Operational Release

3.2.1—OPS	Dispatch or Flight Release	

| 3.2.2—OPS | Flight/Load Manifest/W & B Control | Y | |
| 3.2.3—OPS | MEL/CDL Procedures | Y | |

4.0 Personnel Training and Qualifications

4.1 Maintenance Personnel Qualifications

| RII Personnel | | | |
| Maintenance Certificate Requirements | | | |

4.2 Training Program

Maintenance Training Program			
RII Training Requirements			
Training of Flight Crewmembers	Y		
Training of Flight Attendants	Y		
Training of Dispatchers	Y		
Training of Station Personnel	Y		
Training of Check Airmen and Instructors	Y		
4.2.7—OPS	Training of Check Airmen and Instructors	Y	
4.2.8—OPS	Simulators/Training Devices	Y OPS ONLY	
4.2.9—OPS	Outsource Crew Training	Y	
4.2.10—OPS	Aircrew Designated Examiner	Y	
4.2.11—OPS	Training of Flight Followers	Y	
4.2.12 OPS	Hazardous Materials		

4.3 Crewmember and Dispatch Qualifications

4.3.1—OPS	Pilot Op Limitations/Recent Experience		
4.3.2—OPS	Airman/Crew Checks and Qualifications	Y	
4.3.3—OPS	Advanced Qualification Program (AQP)	Y	

4.4 Mechanics and Repairmen Certification

4.4.1—AW	Recency of Experience		
4.4.2—AW	Display of Certificate		
4.4.3—AW	A & P Privileges and Limits		
4.4.4—AW	Repairmen Privileges and Limits		

5.0 Route Structures

5.1 Approved Routes and Areas

5.1.1—AW	Line Stations (Service and Maintenance)		
5.1.2—AW	Weather Reporting/SAWRS Stations		
5.1.3—AW	Non-Federal Navigation Aid (NAVAIDs)		
5.1.4—AW	Altimeter Setting Sources		
5.1.5—OPS	Station Facilities		
5.1.6—OPS	Use of App. Routes, Areas, and Airports	Y	
5.1.7—OPS	Special Navigation Areas of Operation	Y	
5.1.8—OPS 5.1.8—AW	Extended Twin-Engine Operations (ETOPS)	Y	
5.1.9—OPS 5.1.9—AW	Reduced Vertical Separation Minimum (RVSM) Authorization	Y	

6.0 Airman and Crew Flight, Rest, and Duty Time		
6.1 Airman and Crewmember Limitations		
6.1.1—OPS	Scheduling/Reporting System	
6.1.2—OPS	Flightcrew Flight/Duty/Rest Time	
6.1.3—OPS	Flight Attendant Duty/Rest Time	
6.1.4—OPS	Dispatcher Duty/Rest Time	
6.2 Maintenance Personnel		
6.2.1—AW	Duty Time	
7.0 Technical Administration		
7.1 Key Personnel		
7.1.1—AW	Director of Maintenance	Y
7.1.2—AW	Chief Inspector	Y
7.1.3—AW 7.1.3—OPS	Director of Safety	Y
7.1.4—OPS	Director of Operations	Y
7.1.5—OPS	Chief Pilot	Y
7.1.6—AW	Maintenance Control	
7.2 Other Programs		
7.2.1—OPS	Safety Program (Ground and Flight)	Y

Figure 10-62, Preapplication Checklist

Management Preparation		
Event Description	Verified by:	Date
Overview of Air Transportation Oversight System (ATOS) and System Safety Video [1]		
Review Certification Process Document		
Documentation Required at Formal Application		
Document/Manual	Verified by:	Date
Formal Application Letter		
Revised PASI, FAA Form 8400-6 [4]		
Corporate Documents		
Evidence of Economic Authority Request		
List of Proposed OpSpecs Paragraphs		
Vital Information Subsystem (VIS) Form		
Deviation and/or Exemption Requests		
Proposed Schedule of Events [4]		
SAI Self Audit, Safety Attribute Inspections [8]		
Compliance Statement		
Company Manuals and Programs		
Company Manuals and Programs		
Initial Cadre Check Airman Training Program		
Facility Lease Agreements or Proof of Ownership		

Outsourcing Contractual Agreements [9]		
Aircraft Lease or Proof of Ownership [6]		
Current Aircraft Equipment List		
Layout of Passenger Accommodations [7]		
Aircraft Information Form		
Status of Drug and Alcohol Program		
Status of Security Program		
Status of Environmental Assessment		
Status of Dangerous Goods Procedures Manual and Training Program		
Required Management Personnel, Qualification Summary and Quality Audit Forms		
Management Position [3]	Verified by: Name, Title/Signature	Date
Director of Maintenance QS QAF		
Director of Operations QS QAF		
Chief Pilot QS QAF		
Chief Inspector QS QAF		
Director of Safety QS QAF		

10-444 INSTRUCTIONS.

      1) All required company management personnel must view the Overview of Air Transportation Oversight System (ATOS) and System Safety Video (DVD 1). All other company employees are recommended to watch the video.

      2) A member of the company's management team must verify by name, title, signature, and date of verification that each element contained in the Preapplication Checklist (PAC) has been accomplished and/or submitted for formal application.

      3) A member of the company's management team must verify that each person filling a required management position completes the Qualification Summary Form. The Qualification Summary and Quality Audit Forms are hyperlinked from the PAC.

      4) Indicate in the formal application letter whether the Preapplication Statement of Intent and Schedule of Events are original or updated.

      5) Include as part of the formal application letter each lease agreement, letter of intent, or proof of ownership of an aircraft to be entered into the operations specifications. (A lease agreement or proof of ownership of an aircraft is a Gate I requirement.)

      6) Include an engineering diagram of the aircraft cabin interior (Layout of Passenger Accommodations (LOPA)) that includes but is not limited to locations of passenger and flight attendant seats, emergency equipment, exits, lavatories, and galleys. A LOPA may not be required if applying for an all-cargo operation.

      7) Submit completed Safety Attribute Inspections (SAI) applicable to the intended operation. All questions must be answered "Yes", "No", or "NA". Provide explanations must be provided for "No" and "NA" responses. Provide reference for all "Yes" responses to the manual(s), volume number(s), chapter number(s), and paragraph(s) in the company manual system or location where the relevant information is located.

      8) Include in the formal application package all contractual agreements for outsourcing (maintenance, training, operations, etc.,).

      9) Include all manuals and programs required by Title 14 of the Code of Federal Regulations (14 CFR) part 121 as part of the formal application package. Identify each manual and program submitted by using the same naming or numbering convention used to develop the manual and program.

10-445 FORMAL APPLICATION MEETING PLAN.

   A. General

   1) The objective of this exercise is to determine that the applicant's (Title 14 of the Code of Federal Regulations section 119.65) required management personnel are knowledgeable of their air carrier systems.

   2) The Certificate Management Team (CMT) accomplishes this task by developing questions related to processes under the individual's areas of responsibility or control.

   B. Process

   1) **Certificate Project Team (CPT)**—Design questions that will assess the applicant's required management personnel's knowledge of their processes and associated system documentation. The questions should directly relate to processes under the individual manager's area of responsibility. The answers should include reference to the manual system or other company documentation.

   NOTE: Questions and answers should be based on the current status of the air carrier system documentation.

   2) Questions should target each manager's knowledge of the process for which he or she has responsibility; they should not be scenario-based.

   3) **Certification Project Manager (CPM)**—Document the questions and expected answers, including the manual/documentation reference(s) on the Formal Application Management Questionnaire Worksheet (below).

   4) **CPM**—Assign questions to CPT members.

   5) **CPT**—Discard questions and answers upon successful completion of the meeting.

   C. Acceptable Completion Standards

   1) Each of the applicant's required management personnel should demonstrate an acceptable level of understanding of their air carrier systems by correctly answering all questions. Unsuccessful results may require retesting the manager(s) later.

   NOTE: This event is not an opportunity to reveal inadequacies in the applicant's air carrier system design. These inadequacies will be corrected during the design assessment phase.

   2) Discourage managers from locating manual references by using "word search" functions.

   3) Develop an Agenda

   4) Suggested Agenda Items:

- Introductions and circulate attendance roster (See Attendance Roster),
- Applicant describe proposed air carrier systems,
- Review certification process,
- Explain conduct and criteria of this meeting,
- Conduct management questions,
- Resolve discrepancies and open items,
- Discuss Schedule of Events,
- Discuss proposed operations specifications, and
- Review requests for exemption or deviation.

Figure 10-63, Formal Application; Management Questionnaire Worksheet

Formal Application Management Questionnaire Worksheet	
Applicant: _____	Manager: _____ Name and Position
Question:	
Expected Outcome (References):	
Actual Outcome:	

SAT UNSAT	Date:	CMT Member Name:

Separate Here to Provide Question to Management

Question:

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Figure 10-64, Automation Access Information Sheet

First Name	
Middle Initial (Leave Blank if None)	
Last Name	
AFS User ID Enter as: (AFS666xx)	
AFS User ID Enter as: (AFS666xx)	
FAA e-mail address	
Technical Discipline	
Office Code (e.g., SW09)	
Office Address:	
City	
State	
Zip Code	
Telephone Contacts, Include Extension	
Job Classification	
Supervisor	
Manager	

Office Code For Regional Office use RO and the 2 letter Region Identifier, e.g., ROEA for Eastern Region.	Job Classification 1. APO—ATOS Program Office 2. ASA—Aviation Safety Assistant 3. AST—Aviation Safety Technician 4. ASI—Aviation Safety Inspector
Technical Discipline 1. AV—Avionics 2. CS—Cabin Safety 3. DP—Dispatcher 4. MA—Maintenance 5. OP—Operations 6. OT—Other	5. PI-PAI—Principal Avionics Inspector 6. PI-PMI—Principal Maintenance Inspector 7. PI-POI—Principal Operations Inspector 8. CSI—Cabin Safety Inspector 9. DEPM—Data Evaluation Program Manager 10. ORA—Operations Research Analyst 11. MGR—Manager 12. SPV—Supervisor 13. HQ—Any classification not listed. NOTE: Job classification of APO & HQ can only have OT as a technical discipline.

Figure 10-64, Attendance Roster

Date:	
Type of Meeting:	
Organization:	
Organizational Address:	
Location:	

10-446 CERTIFICATION PROCESS FEEDBACK

Name (Please Print)	Title or Position	Phone Number	E-mail Address

RESERVED. Paragraphs 10-447 through 10-461.