

# NOTICE

U.S. DEPARTMENT OF TRANSPORTATION  
FEDERAL AVIATION ADMINISTRATION

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National Policy

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10/01/08

**SUBJ:** New Aircraft Process Document

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- 1. Purpose of This Notice.** This notice provides guidance and procedures for the aviation safety inspectors (ASI) regarding the Flight Standards Service (AFS) New Aircraft Process Document (NAPD) and the Aircraft Configuration process.
- 2. Audience.** The primary audience for this notice is Flight Standards District Office (FSDO) ASIs, who are responsible for the Aircraft Configuration process and the NAPD. The secondary audience includes Flight Standards branches and divisions in the regions and in headquarters.
- 3. Where You Can Find This Notice.** Inspectors can access this notice through the Flight Standards Information Management System (FSIMS) at <http://fsims.avr.faa.gov>. Operators and the public can find this notice at <http://fsims.faa.gov>.
- 4. Background.** We (Flight Standards Certification and Surveillance Division, AFS-900) based the NAPD on the AFS system safety approach applied to Title 14 of the Code of Federal Regulations (14 CFR) part 121 air carrier certificates. The system safety approach is a structured, safety-driven means used by the FAA to manage air carrier certificates based on their systems, subsystems, elements, and specific regulatory requirements.
- 5. Related Publications (current editions).**
  - a. Aircraft Configuration Control Job Aid.
  - b. Data Collection Tools 1.X, Element 1.2.6, Aircraft Listing and Element 1.1.1, Aircraft Airworthiness.
- 6. Discussion.**
  - a. This document provides guidance and automated procedures for ASIs to use when an existing air carrier adds a new make and model (type) of aircraft to its operations.
  - b. The NAPD incorporates the systems safety concepts of the Air Transportation Oversight System (ATOS) as explained in notice N 8000.350, Air Transportation Oversight System Version 1.1. The NAPD also uses the Aircraft Configuration Control Job Aid as a guide in the accomplishment of the aircraft conformity evaluation.

**7. Action.** When a certificate holder requests to add a new make and model (type) of aircraft to an existing operations specification (OpSpec), the certificate-holding district office (CHDO) manager should first determine if the AFS-900 ATOS certificate management office (CMO) Certification Section (formerly known as Certification, Standardization, and Evaluation Team) needs to provide technical assistance. When making this determination, the manager should consider the assigned ASIs current workload, if the assigned ASIs have satisfactorily completed air carrier indoctrination training, if they have the necessary experience as an air carrier inspector or cabin safety inspector (CSI), and if they have experience with the type of aircraft proposed to be added to the operator's OpSpecs.

**a.** If you do not need assistance from AFS-900, CHDO personnel should follow the guidance provided in this NAPD located on the FAA Web site: [http://www.faa.gov/safety/programs\\_initiatives/oversight/atos/conformity/](http://www.faa.gov/safety/programs_initiatives/oversight/atos/conformity/), on the Aircraft Conformity Process page.

**b.** If you need assistance from AFS-900, the CHDO manager should notify AFS-900 via e-mail at 'AVS-AFS900-ATOS-LeadershipTeam. This notification should include the following minimum information:

- (1) The name of the air carrier;
- (2) The location of the air carrier's principal base of operations;
- (3) The kind of operational change;
- (4) The airplane type; and
- (5) The proposed date for implementation.

**Note:** The current Aircraft Configuration Control Job Aid can be downloaded in a portable document format (.PDF) from the Web address [http://www.faa.gov/safety/programs\\_initiatives/oversight/atos/conformity](http://www.faa.gov/safety/programs_initiatives/oversight/atos/conformity). AFS-900 maintains the Aircraft Configuration Control Job Aid.

**8. Disposition.** We will permanently incorporate the information in this notice in FSIMS before it expires. Direct questions concerning this notice to Jeff Weber, AFS-900, at (703) 362-9186.

**ORIGINAL SIGNED by**

James J. Ballough  
Director, Flight Standards Service

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## **Appendix A. New Aircraft Process Document for 14 CFR Part 121 Air Carriers**

**1. Purpose and Scope.** The New Aircraft Process Document (NAPD) directs the activities and provides guidance for aviation safety inspectors (ASI) during the addition of a new aircraft make and model to an air carrier's operations specifications. The NAPD includes work instructions for each of the four phases of the process. Work instructions within each phase may be accomplished concurrently. This process is applicable to all Title 14 of the Code of Federal Regulations (14 CFR) part 121 air carriers.

### **2. Reference Documents (current editions).**

- FAA Order 8900.1, Flight Standards Information Management System (FSIMS).
- 1.X Elements, SAI/EPI Data Collection Tools.

**Table A-1. Table of Changes**

<b>Rev</b>	<b>Description of Change</b>	<b>Date</b>
1.0	Original	02/27/03
2.0	<p>Revised purpose to align with ATOS appendix 6 (N 8000.350).  Corrected E-mail addresses.  Clarified scope.  Revised phase introductions to align with Air Transportation Oversight System (ATOS) appendix 6 (N 8000.350).  Added Certification Process Team (CPT) to list of acronyms.  Glossary of terms corrected for project team and show cause order.  Revised each phase by clarifying several steps and renumbering the steps in order to match the actual order of events that take place during the process.  Deleted appendices 1, 4-6, 8-9, 18, 23-24, 26, 30-31, 34-35, and 38-39.  Added Appendix 42. (Now App. F)</p>	05/15/03
3.0	<p>Consolidated into five phases.  Removed references to Program Manager.  Removed unnecessary or redundant steps.</p>	09/29/04
4.0	<p>Consolidated five phases into four to align with CPD 7.1.  Corrected web and email addresses.  Added headers and footers.  Phase 2 and 3 changed to Design and Performance Assessment respectfully.  Added feedback form.  Aircraft conformity team references removed.  Phase description for Design and Performance added.  Renumbered appendices.  Glossary of Terms revised.  Minor changes made to text to clarify information needed to accomplish each step.</p>	10/01/07

### 3. General Information.

a. The NAPD provides guidance to Federal Aviation Administration (FAA) inspectors during the addition of a new aircraft make/model onto an existing 14 CFR part 121 air carrier certificate. It uses a structured, system safety-based approach to assess the design and performance of the applicant's systems. This approach is based on reviewing the air carrier's revised systems as an integrated whole rather than as separate parts. It incorporates the system safety concepts of the Air Transportation Oversight System (ATOS) that are explained in notice N 8000.350. The process uses two types of data collection tools (DCT), Safety Attribute Inspections (SAI) and Element Performance Inspections (EPI). The SAIs determine if the air carrier's revised system design meets all regulatory requirements and the intent of those requirements. EPIs determine if the air carrier's revised systems perform as designed.

b. The NAPD provides links to guidance used during the process (e.g., ATOS Data Collection Tools (DCT), checklists, handouts, certificate-holding district office (CHDO) briefings, and operator briefings). The NAPD is organized into four phases and three gates (see App. B). A phase separates this process into related activities supporting a specific function. A gate is a set of precise requirements that must be met prior to proceeding to the next phase.

c. Every project is unique. This process should be regarded as a living instrument that can be modified to suit the unique operational situations that can arise from multiple causes.

**Note:** In Phase 1, the certification project manager (CPM) may modify the NAPD by changing, adding, or deleting steps, as necessary, to suit the individual project. All changes to the process document will be accepted by consensus of the CPT. 14 CFR and FAA order requirements will not be modified.

**Note:** The NAPD includes steps that require actions to be performed by an AFS-900 certification team leader (CTL). The CTL function will only be appropriate when AFS-900 is included in the process by request of the CHDO manager.

**4. Recommendations to Change this Document.** All proposed changes to this document should be addressed to Flight Standards Certification and Surveillance Division, AFS-900 via e-mail at 'AVS-AFS900-ATOS-Leadership Team. An NAPD feedback form (see App. G) has been included for recommended changes. The latest revision of the NAPD is available online for download at the ATOS Air Carrier Certification Web site: [http://www.faa.gov/safety/programs\\_initiatives/oversight/atos/conformity/](http://www.faa.gov/safety/programs_initiatives/oversight/atos/conformity/). The documents will be controlled by the use of NAPD version and effective date. The current version will be posted on the Web site.

**5. Document Control.** The AFS-900-assigned CTL will maintain, revise, and distribute the NAPD in accordance with the FAA Quality System Manual.

**6. Introduction.** This introduction briefly describes the content in each phase of the four-phase NAPD.



**a. Phase 1, Operator/CHDO Preparation.** The operator sends a request to the CHDO in writing for an amendment to its operations specifications (OpSpecs).

(1) The CHDO provides the operator with the Aircraft Information Form (AFS-900-002-F-01). The operator notifies the Office of the Secretary of Transportation (OST) of any proposed changes to its operation that would affect its Department of Transportation (DOT) economic authority.

(2) The operator provides any updates to the original notification of a request for an OpSpec's amendment. The operator meets with the CPT to review the application package. Documents submitted by the operator are reviewed for completeness. The CPT evaluates the documents and determines the package's acceptability.

(3) CHDO preparation provides for planning and coordination with AFS-900 ATOS Certificate Management Office (CMO) Certification Section, as applicable. If requested by the CHDO, AFS-900 will provide process guidance for part or the entire project.

(4) Phase 1 includes a determination of continuance by all parties, and ends when all Gate I requirements are met.

**b. Phase 2, Design Assessment.** This phase provides guidance in using SAIs to determine adequate system design and regulatory compliance. This phase may include the evaluation of training, facilities, equipment, and required operator demonstrations. Phase 2 does not require the operation of an aircraft. For non-ATOS carriers, this phase ensures that all applicable regulatory requirements have been met using the procedures section of the ATOS DCT. This phase ends when all Gate II requirements are met.

**c. Phase 3, Performance Assessment.** This phase provides guidance for conducting the proving tests, including the use of applicable EPIs to ensure the operator follows written procedures, adheres to controls, and uses process measures for each element observed during the proving tests. The EPIs and specific regulatory requirements (SRR) applied during this phase require the operation of an aircraft to aid the assessment of system performance and regulatory compliance. Phase 3 ends when all Gate III requirements are met and proving tests are complete.

**d. Phase 4, Administrative Functions.** This phase completes all administrative functions (e.g., issuance of amended OpSpecs). For the CHDOs of non-ATOS operators, this phase establishes interfaces with the Surveillance and Evaluation Program for development of a revised surveillance plan.

**7. List of Acronyms.**

<b>ASI</b>	aviation safety inspector
<b>ATOS</b>	Air Transportation Oversight System
<b>CHDO</b>	certificate-holding district office
<b>CMO</b>	certificate management office
<b>CMT</b>	Certificate Management Team
<b>CPM</b>	certification project manager
<b>CPT</b>	Certification Project Team
<b>CSET</b>	Certification, Standardization, and Evaluation Team
<b>CSI</b>	cabin safety inspector
<b>CTL</b>	Certification Team Leader
<b>DCT</b>	Data Collection Tool
<b>EPI</b>	Element Performance Inspection
<b>FAA</b>	Federal Aviation Administration
<b>FSDO</b>	Flight Standards District Office
<b>ICCA</b>	Initial Cadre Check Airman
<b>IOPSS</b>	Industry Operations Specifications Subsystem
<b>LDR</b>	Labor Distribution Reporting
<b>LOA</b>	letter of authorization
<b>LOPA</b>	List of Passenger Accommodations
<b>OE</b>	Operating Experience
<b>OpSpecs</b>	operations specifications
<b>OST</b>	Office of the Secretary of Transportation
<b>PAC</b>	Preapplication Checklist
<b>PASI</b>	Preapplication Statement of Intent

<b>PI</b>	principal inspector
<b>PMT</b>	Project Management Tool
<b>POI</b>	principal operations inspector
<b>PTRS</b>	Program Tracking and Reporting Subsystem
<b>RFSD</b>	Regional Flight Standards Division
<b>SAI</b>	Safety Attribute Inspection
<b>SOE</b>	schedule of events
<b>SRR</b>	specific regulatory requirement
<b>TC</b>	Training Center
<b>TCPM</b>	Training Center Program Manager

## 8. Glossary of Terms.

**Air Carrier System.** A group of interrelated processes that are a composite of people, procedures, materials, tools, equipment, facilities, and software operating in a specific environment to perform a specific task or achieve a specific purpose, support, or mission requirement for an air carrier.

**Air Transportation Oversight System.** A systematic process for conducting surveillance, identifying and managing risks, and providing data and analysis to guide in the oversight of an air carrier.

**Authority Attribute.** An identifiable, qualified, and knowledgeable person with the authority to establish and modify a process.

**Certificate Project Team (CPT).** All members from the FAA involved in the certification project.

**Compliance Statement.** A set of SRRs with the appropriate manual references required prior to issuance of a part 121 Air Carrier Certificate. The compliance statement serves as a master index to the applicant's manual system. The compliance statement is an important source document and serves as the applicant's roadmap of compliance during the initial certification process and after the certificate is issued.

**Control Attribute.** Checks and restraints to ensure a desired result.

**Economic Authority.** The final determination and approval by the OST of an applicant's financial viability.

**Element.** One or more interrelated actions completed to support an air carrier subsystem. Elements are the level at which SAIs and EPIs are applied to all part 121 carriers participating in ATOS.

**Element Performance Inspection (EPI).** The ATOS inspection type designed to determine if an air carrier adheres to its written procedures and controls for each system element and that the established performance measures for each system element are met. EPIs are planned for and executed at the element level, and are accomplished by individual inspectors.

**Gate.** A set of requirements that must be met before proceeding.

**Interface Attribute.** The air carrier identifies and manages the interactions between processes.

**Procedures Attribute.** Documented methods for accomplishing a process.

**Process.** Linked activities designed to produce a desired result or end-product for an air carrier.

**Process Measure Attribute.** The air carrier measures and assesses its processes to identify and correct problems or potential problems.

**Project Management Tool (PMT).** A Web-based tool used to schedule project tasks, coordinate work assignments, manage workflow, document completion and compliance, monitor the status of the project, and collect and store information for post-project activities.

**Required Management Personnel.** The management personnel required by section 119.65(a)(1) through (a)(5).

**Responsibility Attribute.** The air carrier organization, or person within the organization, who owns the process and is answerable for the quality of the process.

**Risk.** An expression of the probability and impact of an undesired event in terms of likelihood and severity.

**Safety Attributes.** The authority, responsibility, procedures, controls, process measurements, and interfaces that the air carrier designs into its systems.

**Safety Attribute Inspection (SAI).** The ATOS inspection type designed to appraise the quality of the safety attributes (e.g., procedures, controls, process measurement, interfaces, responsibility, and authority) associated with each system element for an air carrier. SAIs are usually planned at the subsystem level, executed at the element level, and accomplished by a team of inspectors.

**System Safety.** The application of special technical and managerial skills to identify, analyze, assess, and control hazards and risks associated with a complete system. System safety is applied throughout a system's entire life cycle to achieve an acceptable level of risk within the constraints of operational effectiveness, time, and cost.

**Tabletop Exercise.** This exercise assesses the applicant's systems and operational readiness prior to proving tests.

## **9. Phase 1-Operator/CHDO Preparation.**

### **1.1 Initial Inquiry.**

- 1.1.1 Operator**—Submit an application to the FAA CHDO via letter or electronic proposal, requesting an amendment to its OpSpecs. The application must meet requirements of 14 CFR part 119, § 119.51.
- 1.1.2 CHDO**—Provide the operator a copy of the NAPD and the Aircraft Information Form from the following Web site:  
[http://www.faa.gov/safety/programs\\_initiatives/oversight/atos/conformity/](http://www.faa.gov/safety/programs_initiatives/oversight/atos/conformity/).
- 1.1.3 CHDO**—Review current process guidance.
- 1.1.4 Operator**—Coordinate with the OST as required.
- 1.1.5 Operator**—Return the completed Aircraft Information Form and a draft of the OpSpecs to be amended to the CHDO.
- 1.1.6 CHDO**—Generate a Program Tracking and Reporting Subsystem (PTRS) record as appropriate (activity codes 1327, 3316, and 5316).
- 1.1.7 CHDO**—Review certification of public convenience and necessity to confirm the operator's fitness for the requested change before scheduling an initial briefing.

### **1.2 Initial Process.**

- 1.2.1 CHDO**—Review the Aircraft Information Form and coordinate with other offices as appropriate.
  - 1.2.1.1** Notify the manager of AFS-900 ATOS CMO Certification Section Team, if assistance is required.
  - 1.2.1.2** Select a point of contact/CPM to act as the focal point for the process.
- 1.2.2 CHDO Manager**—Review App. E, Assignment of Responsibilities for Addition of New Make/Model/Series (M/M/S) Aircraft to An Existing Part 121 Certificate, and assign a CPT (see App. E).
- 1.2.3 CHDO Manager**—Notify the Regional Flight Standards Division (RFSD) if the CPT is not adequate and request additional resources if required (e.g., dispatchers, geographical support, etc.).
- 1.2.4 CPM**—Initiate an NAPD Tracking Report (see App. F).

- 1.2.5 AFS-900 ATOS CMO**—Certification Section Assistant Manager—if required, assign a certification team leader and provide resources to assist in the process.
- 1.2.6 CPT**—Evaluate the Aircraft Information Form.
- 1.2.7 CPM**—The CPM may modify the NAPD by changing, adding, or deleting steps as necessary to suit the individual project.

**Note:** All changes to the process document will be accepted by consensus of the CPT. 14 CFR and FAA order requirements will not be modified.

- 1.2.8 CPM**—If required, advise the operator of the requirement to contact OST. <http://ostpxweb.dot.gov/aviation/certific/certpkt.pdf>.
- 1.2.9 CPM**—Schedule an initial meeting with the operator. Schedule at least one day for the meeting and coordinate with the CHDO regarding attendance.
- 1.2.10 CTL**—If applicable schedule the attendance of AFS-900 personnel and determine travel logistics.
- 1.2.11 CPM**—Schedule the attendance of CHDO and other appropriate personnel.
- 1.2.12 Operator**—Ensure representatives of the company involved in new aircraft operation attend. Required personnel are those company personnel (e.g., management, technical, administrative) who are accountable for portions of the certificate affected by the proposed OpSpecs amendment.

### **1.3 Initial Meeting.**

- 1.3.1 Operator**—Brief the CPT on the proposed addition.
- 1.3.2 CPM/CTL**—Conduct the initial briefing using the NAPD process document (May be performed by or with AFS-900 upon request). Attendee signs the attendance roster (see App. P).
- 1.3.3 CPM/CTL**—The briefing should include the following:
- Requirements of the compliance statement.
  - Automation.
  - Manual review process.
  - System safety assessment.
  - NAPD process.
- 1.3.4 CTL/CPM**—Provide the system safety and aircraft conformity briefings, as required (review DVD for system safety).

**1.3.5 CPM**—Provide environmental assessment information and points of contact within the RFSD.

**1.3.6 Operator/CPT**—Using the Assignment Status Report (see App. O), develop an initial list of SAIs that should be used to complete the manual assessment as it pertains to the manual revisions submitted. Use an “x” on the Assignment Status Report to identify the SAIs.

**Note:** The operator’s compliance statement should address all applicable SRRs referenced in 14 CFR part 121 § 121.135 b(3), such as parts 91, 65, and 39. A complete, current, and accurate compliance statement as it relates to the new aircraft make/model greatly reduces the time required for manual review (see App. C).

#### **1.4 Operator Submissions.**

**1.4.1 Operator.** Submit draft OpSpecs paragraphs affected by the application. (Ref: part 119 § 119.51(c)).

**1.4.2 Operator.** Conduct a system safety (selected SAIs) review of manual revisions prior to submission to the CPT. For non-ATOS air carriers, perform a system safety assessment review of manuals using the procedures section of the SAI. This will ensure that all applicable SRRs are addressed.

**1.4.3 Operator.** Submit additions/changes, as required. Such information may include:

- Changes to the Aircraft Information Form.
- Facility selection for training and maintenance.
- Letters of intent to lease or purchase aircraft, facility changes, equipment, and tooling.
- Proposed schedule of events (see App. D).

#### **1.5 Review Operator Submissions.**

**1.5.1 CPT.** Verify and evaluate the submissions from the operator to determine:

- Changes to the complexity of the operation. In addition to operator submissions, the CPT should make consideration to ramp, fleet, catering, utility, security, fueling, gate agents, and any other personnel affecting or encountering the proposed aircraft operation.
- If the proposed operation is consistent with parts 119 and 121.
- The operator’s proposed changes of any facilities, equipment, or training.
- If the proposed aircraft is a new certification and whether they are the first U.S. certification.

**1.5.2 CPM/CTL.** Contact regional counsel for review of leases and other agreements as required.

**1.5.3 CPM/CTL.** Review the compliance statement to ensure that it is in a form and manner usable to the team for manual review.

## **1.6 Application Meeting Preparation.**

**1.6.1 Operator.** Contact the CPM and request the Application Meeting at least 10 business days before the desired meeting date.

**1.6.2 CPM/CTL.** Coordinate with appropriate administrative staff for logistics as applicable.

**1.6.3 CPM/CTL.** Verify the schedule and attendees for the Application Meeting.

**1.6.4 CPM.** Coordinate and set the location, date, and time for the Application Meeting.

## **1.7 Submission of Documents.**

**1.7.1 Operator.** Submit the following documents to the CHDO at least 10 business days before the Application Meeting:

- Changes to the Aircraft Information Form.
- Updated application, if required.
- Compliance statement/list of applicable SRRs and method of compliance.
- Verification to the administrator that system safety assessment has been accomplished.
- Operator's manuals.
- Draft OpSpecs.
- Exemption and deviation requests.
- Outsourcing (contractual arrangements).
- Training curriculum.
- Lease agreement or proof of ownership of aircraft (include aircraft serial number(s)).
- Results of limited self audit.
- Environmental assessment if required.
- Revised schedule of events.

## **1.8 Plan Application Meeting.**

**1.8.1 CPM/CTL.** Ensure the attendance of representatives for the company who will be involved with the new aircraft operation. Required personnel are those company personnel (e.g., management, technical, administrative) who are accountable for portions of the certificate affected by the proposed OpSpecs amendment.



- 1.8.2 CPM.** Ensure that the operator provides the status of the DOT economic authority as required.
  - 1.8.3 CPM/CTL.** If required, review the revised Aircraft Information Form.
  - 1.8.4 CPT.** Review the documentation and provide the results to the CPM/CTL.
  - 1.8.5 CPM.** Determine continuance.
  - 1.8.6 CPM.** Plan for the Application Meeting, prepare agenda, and coordinate with the CTL as required.
- 1.9 Application Meeting.**
- 1.9.1 CPM.** Ensure required personnel attend the meeting. Record participants (see App. P).
  - 1.9.2 Operator.** Discuss submitted request(s) for deviation(s) from 14 CFR part 119 requirements if required.
- Note:** Requests for deviation to employ a person who does not meet the experience requirements of part 119 must be submitted in the form of a letter at or before this meeting. (Ref: FAA Order 8900.1, volume 3, section 3, Operations Specifications: Part a Operations Specifications—General, and OpSpecs paragraph A006, Management Personnel).
- 1.9.3 Operator.** Discuss results of limited self audit and revised compliance statement. Brief the operator's process for incorporating the new aircraft type into the existing policies and procedures.
- 1.10 Responsible/Authorized Persons Demonstration of Knowledge.**
- 1.10.1 Operator.** Identify the parties responsible for and authorized to make changes to each manual.
  - 1.10.2 Operator.** The responsible individual should explain how the revisions are incorporated into the revised manual system, including interfaces, and the method of incorporating new aircraft into existing policies and procedures.
- 1.11 Verify Operator's Knowledge of the Revised Manual System.**
- 1.12.1 CPT.** Ask questions to determine the operator's knowledge of its revised manual system (see App. J).

**Note:** An unsuccessful evaluation must be rescheduled, but is not necessarily cause for rejection of submissions.

**1.12 Adjourn the Application Meeting.**

**1.12.1 CPM/CTL.** Verify that all Phase 2 requirements have been met.

**1.12.2 CPM.** Advise the operator that it will be notified of acceptance or requests for corrections within 10 business days.

**1.13 Accept or Return the Entire Submission.**

**1.13.1 CPM/CTL.** Discuss and document areas of concern identified during Phase 2. Document areas of concern (see App. M) and possible risks that have been identified but not documented by other means (e.g., annotations, worksheets, etc).

**1.13.2 CPM/CTL.** Determine continuance.

**1.14 Notification to Operator.**

**1.14.1 CPM.** Provide notification of acceptance or denial or requests for corrections to the operator within 10 business days of the Application Meeting.

**1.14.2** The Letter of Authorization (LOA) should state any areas of concern that still exist but were not a cause for application denial.

**1.14.3** If the application is denied, return the entire submission package with a formal notification of denial (subpart 119.51).

**1.14.4** The notification of denial must specifically state the issues that were cause for denial.

**1.15 Correction of Areas of Concern.**

**1.15.1 Operator.** Determine continuance and advise CPM of intent. Correct the identified discrepancies and submit corrections to the CPM.

**1.15.2 Operator.** Update the schedule of events, as necessary.

**1.16 Return of Submissions.**

**1.16.1 CPM/CTL.** Determine continuance or rejection of submissions and advise the operator.

**1.17 Phase 1 Review.**

**1.17.1 CPM/CTL.** Confirm that all Gate I requirements are met.

**1.17.2 CPM/CTL.** Document the completion of all Phase 1 steps and Gate I requirements on the NAPD Tracking Form (see App. F).

**10. Phase 2–Design Assessment.****2.1 Distribution of Operator’s Manuals.**

**2.1.1 CPM.** Distribute the operator’s manuals and compliance statement to the CPT.

**2.2 Review Operator Submissions.**

**2.2.1 CPM/CTL.** Determine CHDO resources, and if necessary request AFS-900 assistance.

**2.2.2 CPM.** Using appendix O, finalize the list of SAIs that should be used to complete the manual assessment by the CPT. Use an “x” on the Assignment Status Report to identify the SAIs selected. Review the compliance statement (as applicable) for completeness and accuracy. (Assigns team resources by Air Carrier System Element).

**2.2.3 CPM/CTL.** Assign SAIs to team members for system safety and SRR compliance, as required.

**2.2.4 CPT.** Review handbook bulletins, appropriate FAA orders, air carrier operations bulletins, advisory circulars, etc., for applicability.

**2.2.5 CPM/CTL.** Assign team members to review the compliance statement (as applicable) and determine its accuracy and completeness.

**2.3 System Safety Assessment/Specific Regulatory Requirement Review.**

**2.3.1 CPM.** With the CPT’s assistance, determine the extent of the SAI verification. For non-ATOS carriers, this phase ensures that all applicable SRRs are met using the procedures section of the ATOS DCT.

**2.3.2 CPT.** Verify the accuracy of the applicant’s SAI audit by reviewing assigned SAIs per CPM guidance to ensure the applicant’s operating systems are designed to maintain compliance with specific regulations and safety standards.

**Note:** General instructions for accomplishing an SAI are located on the ATOS home page by selecting the DCTs at:  
[http://www.faa.gov/safety/programs\\_initiatives/oversight/atos/library/data\\_collection/](http://www.faa.gov/safety/programs_initiatives/oversight/atos/library/data_collection/).

**2.3.3 CPT.** Conduct a preliminary review of all initial cadre training plans (pilot, flight attendant, mechanic, dispatch, etc.) to determine if plans comply with FAA guidance (see App. Q).

- 2.3.4 CPT.** Ensure manual system includes requirements of applicants operations specifications.
  - 2.3.5 CPT.** Review manual revisions to ensure that the programs and processes are properly designed using system safety concepts and comply with all regulatory requirements.
  - 2.3.6 CPT.** Record discrepancies from the review of manuals.
- Note:** Establish procedures for routing and tracking during the review process. The CPM should be able to identify the location and status of each submitted document.
- 2.3.7 CPM/CTL.** Import and summarize annotations (using Adobe Acrobat) if necessary.
  - 2.3.8 CPT.** Discuss all comments for quality and consistency and concur on all annotations/notes.
  - 2.3.9 CPM.** Return the manual system to the operator with annotations/notes and method of submitting corrected comments.
  - 2.3.10 Operator.** Provide acceptable corrections within a timeframe acceptable to the CPM.
  - 2.3.11 CPM/CTL.** Distribute the operator's corrections to the CPT.
  - 2.3.12 CPT.** Evaluate the corrections using the guidance in steps 2.3.6 and 2.3.7.
  - 2.3.13 All.** Repeat the process in this section until the manual submission is acceptable to the CPT.
- 2.4 Verify That Applicable Manuals Have Been Approved/Accepted.**
- 2.4.1 CPM/CTL.** Verify that all manuals have received initial approval/acceptance before proceeding to the tabletop exercise.
  - 2.4.2 CPM.** Notify the operator by letter that all Phase 2 submissions have been approved or accepted.
  - 2.4.3 CPT.** Document areas of concern (see App. M) and possible risks that have been identified but not documented by other means (e.g., annotations, worksheets, etc.).
- 2.5 Develop Operational System.**
- 2.5.1 Operator.** Confirm that the necessary support equipment and facilities are in place to accommodate the new aircraft make/model.

**2.6 Submit Updated Schedule of Events.**

**2.6.1 Operator.** Update the schedule of events as required.

**2.6.2 Operator.** Determine the location, scheduled date, and point of contact for Phase 3 and forward the information to the CPM.

**2.7 Phase 2 Review.**

**2.7.1 CPT.** Confirm that all gate (see App. B) requirements have been met.

**2.7.2 CPM/CTL.** Document the completion of all Phase 2 steps on the NAPD Tracking Form (see App. F).

**11. Phase 3–Performance Assessment.****3.1 Aircraft Conformity (Applicable SRRS).**

**3.1.1 Operator.** Complete the internal conformity inspection. Once complete, notify the CPM of aircraft availability, and forward the complete Aircraft Configuration Control Job Aid and Aircraft Information Form to the CPM for the aircraft conformity evaluation. Refer to ATOS Aircraft Conformity Web site for these forms. The operator will confirm that appropriate personnel are available for this evaluation.

**3.1.2 CPM/CTL.** Confirm that the complete Aircraft Information Form, AFS-900-002-F-01 is current and is on hand two weeks prior to inspection. [http://www.faa.gov/safety/programs\\_initiatives/oversight/atos/conformity/media/AFS-900-002-F-01.pdf](http://www.faa.gov/safety/programs_initiatives/oversight/atos/conformity/media/AFS-900-002-F-01.pdf).

**3.1.3 Operator.** Ensure that aircraft and supporting aircraft documentation (Ref. AFS-900-002-F-04 Document Request list) are available for the aircraft conformity evaluation. The CHDO must provide the form available at <http://intranet.faa.gov/avr/afs/QMS/FORMS/AFS-900/AFS-900-002-f-04.pdf> to the air carrier.

**3.1.4 CPT.** Perform the aircraft conformity evaluation and send the draft report to the CPM.

**3.1.5 CPM.** Provide a report of findings found during the aircraft conformity evaluation to the operator.

**3.1.6 Operator.** Provide documentation of corrective action(s) to the CPM.

**3.1.7 CPM/CTL.** Accept or reject corrective action(s). If the corrective action(s) require revision to the manuals, return to the system safety review process.

**3.2 Verify Draft Operations Specifications.**

**3.2.1 Operator/CPM.** Review the draft OpSpecs for acceptability. Generate draft OpSpecs.

**3.2.2 CPM.** Verify that applicant-specific operating data is up to date and accurate.

**3.2.3 Applicant and CPM.** Update OpSpecs for review/acceptance. If deviations or exemptions have been granted, verify that proposed OpSpecs have been generated.

**3.3 Confirm Operational Readiness.**

**3.3.1 Operator.** Conduct an internal evaluation of operational systems.

**3.3.1.1** Document the results of the internal evaluation.

**3.3.1.2** Provide a list of discrepancies and corrective actions to the CPM and CTL.

**3.3.1.3** Notify the CPM when corrective actions are completed.

**3.3.1.4** Provide an updated schedule of events.

**3.3.2 CPT.** Review corrective actions.

**3.4 Develop and Submit Demonstration Plans.**

**3.4.1 Operator.** Submit a request for a letter of authorization in accordance with part 119, § 119.33(c), while demonstrating the appropriate operations under part 121, the approved proving test plan, and draft OpSpecs. This request must be made at least 10 business days before any aircraft flight demonstrations.

**3.4.2 Operator.** Submit evacuation/ditching demonstration plans to the CPM, if applicable (see App. N).

**3.4.3 CPM.** Forward an evacuation/ditching demonstration plan to the assigned cabin safety inspector (CSI) if applicable.

**3.4.4 CPM.** If applicable, issue a letter approving reduction of proving-test hours (Aviation Safety Inspector's Handbook).

**3.4.5 Operator.** Submit a proving-test plan at least 10 days before the first proving-test flight (see App. I) The operator must be familiar with the proving- test protocols established by the FAA (see App. L).

**3.4.6 CPM.** Distribute the proposed proving-test plan to CPT.

**3.5 Issue Letter of Authorization.**

**3.5.1 CPM.** Issue an LOA (see App. A).

**3.6 Demonstrate Operational Readiness.**

**3.6.1 Operator.** Conduct an internal evaluation of operational systems.

**3.6.2 Operator.** Submit results and corrective actions to the CPM.

**3.6.3 CPT.** Review results of internal evaluation.

**3.6.4 Operator.** Conduct the following activities (including those performed by contractors or other providers) using the procedures in the operator's manuals:

**Note:** Performance of any of these activities prior to this point in the process is acceptable if the applicable programs, facilities, or training has been accepted or approved (as required), and CPM concurrence has been obtained.

- Instructor training.
- Station/ground handling personnel training.
- Maintenance inspector training.
- Flight follower/dispatcher training.
- Maintenance personnel training.
- Crewmember training.
- Staff facilities and equipment evaluation.
- Outsource provider evaluation.

**3.7 Assess Operator's Operational Readiness.**

**3.7.1 CPT.** Observe and evaluate the following activities, including those that are performed by contractors or other providers.

**Note:** Performance of any of the following activities prior to this point in the process is acceptable if the applicable programs, facilities, or training have been accepted or approved (as required), and CPM/CTL concurrence has been obtained.

- Instructor training.
- Station/ground handling personnel training.
- Inspector training.
- Flight follower/dispatcher training.
- Maintenance personnel training.
- Crewmember training.
- Conduct/observe proficiency checks.
- Verification of proving-test aircraft conformity.

- Operators facilities inspection (must be found acceptable prior to proceeding to Phase 4).
- Outsource providers.

- 3.7.2 CPT.** Communicate any discrepancies to the CTL/CPM for forwarding to the operator.
- 3.7.3 CTL/CPM.** Forward the CPT discrepancies to the operator and request any required corrections.
- 3.7.4 Operator.** Evaluate the request and provide the required corrections.
- 3.8 Tabletop Exercise.**
- 3.8.1 CPT.** Create scenarios using information collected on the risk worksheets and from other project sources (see App. K).
- 3.8.2 CPM.** Schedule a meeting with the CTL and the operator's key management personnel (subpart 119.65(a)).
- 3.8.3 CPT.** Present scenarios to the operator's personnel.
- 3.8.4 CPM.** Document results on the scenario worksheets.
- 3.8.5 CPM.** If results are unsatisfactory, advise the applicant in writing of discrepancies.
- 3.8.6 CPM/CTL.** Documents results on the scenario worksheet (see App. I).
- 3.9 Evacuation/Ditching Demonstrations (as Required).**
- 3.9.1 CSI (as applicable).** Review the emergency evacuation/ditching demo plans and submit any recommendations/guidance for change to the CPM or CTL (see App. N).
- 3.9.2 CPM.** Return the emergency evacuation/ditching demonstration plans and any recommendations/guidance to the operator for corrections.
- 3.9.3 Operator.** Conduct emergency evacuation/ditching demonstrations.
- 3.9.4 CSI (as applicable).** Operate as a point of contact for emergency evacuation/ditching demonstrations.
- 3.9.5 CPT.** Observe emergency evacuation/ditching demonstrations and document the results of each demonstration on Form 8430-1, Emergency Evacuation Demonstration Report (retain for the project report).



**3.10 PT—Evaluate Operational Readiness Demonstrations for Satisfactory Performance Process Proving-Test Plan.**

**3.10.1 CPM.** Conduct preparatory meeting with the CPT.

**3.10.2 CPT.** Develops proving test scenarios and assign tasks to participating team members.

**3.10.3 CPM/CTL.** Evaluate the proposed proving-test plan (see App. I).

**3.10.4 CPM.** Notify the operator that the proving-test plan is acceptable.

**3.10.5 CPM/CTL.** Coordinate logistical requirements for the proving-test plan.

**3.11 Prepare for Proving Tests.**

**3.11.1 CPM.** Conduct a preparatory meeting with CPT.

**3.11.2 CPM/CTL.** Confirm that all Gate III requirements are met.

**3.11.3 CPT.** Review the protocols for interaction with company personnel during proving tests (see App. K).

**3.11.4 CPM/CTL.** Develop proving-test scenarios that will allow the CPT to evaluate the air carrier systems and the associated SRRs.

**3.11.5 CPM/CTL.** Coordinate the proving-test plan with the assigned CPT members and assign tasks to participating team members.

**3.12 CPT and Operator Conduct Proving Tests (ref. ASI Handbook).**

**3.12.1 CPT.** Conduct a briefing before each series of proving tests to review the plan.

**3.12.2 CPT.** Conduct a briefing with management personnel and each crew before the first flight of the day.

**3.12.3 CPT.** Document the results of each scenario (see App. K). All team members should reach consensus on the satisfactory results of each scenario prior to proceeding.

**Note:** Complete each assigned EPI and forward to the CPM or CTL  
[http://www.faa.gov/safety/programs\\_initiatives/oversight/atos/library/data\\_collection/sets/](http://www.faa.gov/safety/programs_initiatives/oversight/atos/library/data_collection/sets/).

**3.12.4 CPT/Operator.** Debrief and discuss the results of the scenarios following each day's proving tests.

**3.13 Determine Continuance.**

- 3.13.1 CPT.** Document results on the assigned EPIs. Document additional risks or concerns on the risk worksheet (see App. M).
- 3.13.2 CPM/CTL.** Determine if each listed objective (and associated SRR) has been achieved during the proving tests. When all objectives are achieved, conclude the proving tests.
- 3.13.3 CPM.** Include risk worksheets in the final report (Order 8400.10, volume 3, chapter 9 as revised).
- 3.13.4 CPM.** Notify the CHDO manager and RFSD when completing the proving tests. Before concluding proving tests, obtain the concurrence of the CHDO manager and RFSD.
- 3.13.5 CPM.** Issue a letter to the operator terminating proving tests, if the operator is unable to correct deficiencies. The proving test termination must be coordinated with the RFSD.

**3.14 Phase 3 Review.**

- 3.14.1 CPM/CTL.** Document the completion of all Phase 3 steps on the NAPD Tracking Form (see App. F).
- 3.14.2 CPM/CTL.** Document the completion of all Phase 3 steps and Gate III requirements on the NAPD Tracking Form (see App. F).

**12. Phase 4—Administrative Functions.****4.1 Accomplish Administrative Requirements.**

- 4.1.1 CPM/CTL.** Confirm that:
- The Vital Information Subsystem and draft OpSpecs are up to date.
  - OpSpecs are approved or denied (Ref: part 119, § 119.51).

**4.2 Verify Final Status of Economic Authority.**

- 4.2.1 CPM/CTL.** Review the OST limitations before signing the amended OpSpecs.
- 4.2.2 CPM.** Verify that the OST is aware of any changes in the required management personnel, type of operation, and type of aircraft.
- 4.2.3 PIs.** Approve and sign the amended OpSpecs.

**4.3 Issue Amended Operations Specifications to Operator.**

**4.3.1 CHDO.** Issue and or activate the amended OpSpecs.

**4.4 Complete Questionnaire on Process Improvement Recommendations.**

**4.4.1 CHDO/Operator.** Complete the Feedback Form (see App. G) and forward to the CTL via e-mail at 'AVS-AFS900-ATOS-LeadershipTeam.

**4.5 Conduct Out-Briefing with CHDO/Operator.**

**4.5.1 CPM/CTL.** Conduct a debriefing of the project.

**4.6 Prepare and Submit Final Report to CHDO Manager.**

**4.6.1 CPM/CTL.** Ensure that the report includes the following, as applicable:

- Aircraft Information Form.
- Letter of Application.
- Complete NAPD Tracking Form (see App. F).
- Proving-Test Report.
- Emergency Evacuation/Ditching Demonstration Report.
- Copy of Amended OpSpecs.
- All formal correspondence with the operator.
- Final revised compliance statement.

**4.7 Final Process Requirements.**

**4.7.1 CHDO.** Complete all open PTRS reports.

**4.7.2 CPM/CTL.** Coordinate with the AFS-900 ATOS CMO for review of all risk worksheets and notes from DCTs, if applicable.

**4.8 Phase 4 Review.**

**4.8.1 CPM/CTL.** Document the completion of all Phase 4 steps on the NAPD Tracking Form (see App. F).

## Appendix B. Gate Requirements

### 1. Gate I.

- Operator submits an application to amend operations specifications (OpSpecs).
- Operator notifies Office of the Secretary of Transportation of proposed changes, as necessary.
- Operator completes and submits the Aircraft Information Form.
- Operator submits information for OpSpecs.
- Operator to brief Certificate Project Team on new aircraft addition.
- Operator submits evidence of facility selection for training.
- Operator submits systems safety manual review.
- Operator submits evidence of facility changes for maintenance, contract maintenance, test equipment, and tooling, as necessary.
- Operator submits evidence of leasing or purchasing agreement of aircraft and facilities.
- Operator submits the proposed schedule of events.

### 2. Gate II.

- Operator submits all required documents.
- Operator provides the status of Department of Transportation economic authority, as required.
- Operator's key personnel have demonstrated knowledge of manual system.
- Operator submits completed contracts for lease or purchase of aircraft, changes in facilities, contract maintenance, test equipment, and tooling, as necessary.
- All manuals have been reviewed, discrepancies corrected, and approved or accepted.
- Operator submits a revised schedule of events.

### 3. Gate III.

- Operator completes conformity inspection and forwards the completed documentation to the certification project manager (CPM).
- Operator submits draft OpSpecs.
- Operator conducts and document internal evaluation of operational systems.
- Operator provides a list of discrepancies and corrective actions to CPM.
- Operator updates the schedule of events as necessary.
- Training programs have been initially approved.
- Operator has trained sufficient personnel.
- The operator has evaluated its facilities and was found satisfactory.
- Tabletop exercise has been successfully completed.
- OpSpecs and nonstandard paragraphs are acceptable.
- The operator satisfactorily completes the evacuation/ditching demonstration.
- Proving-test plan has been reviewed and accepted.

## Appendix C. Compliance Statement

**1. Introduction.** Preparing the Compliance Statement (CS) benefits the applicant by systematically ensuring that all applicable specific regulatory requirements (SRR) are appropriately addressed. The CS also serves as a master index to the applicant's manual system. The CS is an important source document and serves as the applicant's "roadmap of compliance" during the initial certification process as well as after the certificate is granted. It is a living document that should be revised as changes occur. Once the new aircraft process is completed, the applicant should update the CS as changes are incorporated into its manual system. A properly constructed CS expedites the Federal Aviation Administration's (FAA) review and approval of the applicant's operation and manual system.

### **2. How to Assemble a Compliance Statement.**

**a.** The CS will be in the form of a complete listing of all sections of Title 14 of the Code of Federal Regulations (14 CFR) parts 119 and 121 pertinent to the operation the applicant is proposing. This list should reference each applicable subpart, such as subpart G, "Manual Requirements," each applicable regulation, such as § 121.133, "Preparation," and list each relevant SRR contained within each regulation, such as "§ 121.133(a) and § 121.133(b)." Next to each SRR, the applicant must provide all references developed in any pertinent manual (or other document, such as a passenger safety information card) within its manual system that contains the method, or methods of compliance. The location of each reference should be as specific as possible and should contain the name of the manual, chapter, section, and paragraph number(s). Using manual page numbers in the CS may produce inaccurate reference locations due to repagination problems.

**b.** There may be multiple reference locations for one SRR found within one manual, or there may be multiple reference locations found in several different volumes. It is not acceptable to enter references such as: "ABC Airlines will comply with this requirement," or "ABC Airlines understands this regulation and will comply," or the word "Noted." SRRs that do not apply to the applicant's proposed operation may be referenced with "Not Applicable."

## Examples

We recommend that the CS be prepared in a manner similar to the following examples.

**Figure C-1. Example 1: Compliance Statement Table Format**

Regulation	Title	Manual Reference
§ 121.465(a)	Aircraft Dispatcher Duty Time Limitations: Domestic and Flag Operations	GOM, page 37–5, paragraph 35
§ 121.465(b)(1)	“ ”	GOM, page 37–6, paragraph 37

**Figure C-2. Example 2–Sample References for 14 CFR Part 121, Section 121.434(a)(1) SRR Compliance**

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

1. General Operations Manual (GOM), chapter 2, section 2.01(D).
  - GOM chapter 2, section 2.09(F).
  - GOM chapter 2, section 2.11(E).
  - GOM chapter 3, section 3.10(C)(2)(a).
  
2. Training Manual, chapter 4, sections 4.20(A) and 4.21(B1).
  - Training Manual, chapter 4, sections 4.20(B) and 4.21(F).
  - Training Manual, chapter 4, section 4.21(H).
  - Training Manual, chapter 4, section 4.21(J).

**Appendix D. Schedule of Events**

<b>Schedule of Events</b>		
<i>Name of applicant:</i>	<i>Date formal application accepted:</i>	<i>Kind(s) of operation sought:</i>
<p><b>Instructions:</b> You may use this form to track and submit your schedule of events. The information fields have unlimited text input. Press the <b>return</b> key to add another date in same field. Move through the fields using the <b>tab</b> key to go forward and <b>shift+tab</b> keys to go backward. You may fill in this document by hand. This is a suggested list for schedule of events, not every event may be applicable for your proposed operation.</p>		
<b>Events</b>	<b>Date Proposed</b>	<b>Date Accomplished</b>
<b>Phase 1</b>		
Submit application to FAA certificate-holding district office (CHDO) to amend operations specifications (OpSpecs).		
Notify the Department of Transportation (DOT) Office of the Secretary of Transportation (OST) of changes affecting economic authority, if necessary.		
Submit information for OpSpecs.		
Complete and submit an Aircraft Information Form.		
Identify facilities (training, maintenance, and outsourcing).		
Ensure the attendance of representatives for the company who will be involved with the new aircraft operation. Required personnel are those company personnel (e.g., management, technical, administrative) who are accountable for portions of the certificate affected by the proposed OpSpecs amendment.		
Initial meeting, brief on proposed addition and operation.		
Develop the list of SAIs to complete the manual assessment.		
Submit Letters of Intent for lease or purchase of aircraft.		
Submit Letters of Intent for change of facilities and purchase of equipment, tools, etc.		
CHDO preparation.		
<b>Phase 2</b>		
Conduct system safety review of manual revisions prior to submission to Certificate Project Team.		
Submit lease or purchase for aircraft, if different from initial submission.		
Submit changes to Aircraft Information Form (if necessary).		
Submit amended Letter of Compliance/list of applicable specific regulatory requirements and method of compliance.		
Provide verification that system safety assessment has been accomplished.		
Submit manual revisions for review.		
Submit documents for outsourcing (contractual agreements), if necessary.		
Submit training curriculum.		
Submit letters of intent for changes of facilities and purchase of equipment, tools, etc., if different from initial submission.		
Submit environmental assessment information, as necessary.		
Submit request for deviations and exemptions.		
Submit draft OpSpecs.		
Submit revised schedule of events (if necessary).		
Phase 2 meeting.		

**Schedule of Events (Continued)**

<b>Events</b>	<b>Date Proposed</b>	<b>Date Accomplished</b>
<b>Phase 3</b>		
Complete internal Aircraft Conformity Inspection and forward completed Aircraft Conformity Control job aid and Aircraft Information Form to the certification project manager (CPM).		
Ensure aircraft and supporting aircraft documentation are available for the aircraft conformity evaluation.		
Aircraft Conformity Evaluation Memorandum of Findings given to Operator.		
Operator provides documentation of corrective actions.		
Conduct internal evaluation of operational systems.		
Provide a list of discrepancies and corrective actions to CPM.		
Notify CPM when corrective actions are completed.		
Provide an updated schedule of events if necessary.		
Submit a request for a Letter of Authorization (Title 14 Code of Federal Regulations (14 CFR) § 119.33 (c)), request must be made at least 10 business days before aircraft flight demonstration.		
Submit evacuation/ditching demonstration plans to CPM.		
Submit a proving-test plan at least 10 days before the first proving test flight.		
Operator will conduct the following activities (as required):		
Instructor Training.		
Station/ground handling personnel Training.		
Maintenance Inspector Training.		
Flight follower/Dispatch Training.		
Maintenance personnel Training.		
Crewmember Training.		
Evaluate staff, facilities and equipment.		
Conduct an internal evaluation of operational systems.		
Submit internal evaluation results and corrective actions to CPM.		
Ready for tabletop exercise.		
Make key management/airline personnel available for tabletop exercise.		
Perform Evacuation/Ditching Demonstration (as required).		
Proving Test.		
<b>Phase 4</b>		
Complete Feedback Form.		
Proposed operation to begin.		



## **Appendix E. Assignment of Responsibilities for Addition of New Make/Model/Series (M/M/S) Aircraft to an Existing Part 121 Certificate**

- 1. Responsibilities of the Regional Flight Standards Division.** Due to the complex process, variety of specific job functions, and interdisciplinary coordination that must be accomplished, the task of amending an air carrier's operations specifications for adding a new make/model/series (M/M/S) is given project status. Federal Aviation Administration (FAA) activities associated with the amendment project may cross district office and regional geographic boundaries. Existing operators constantly revise their organizational structures and change their scope of operations. These changes may affect district office capabilities.
- 2. Responsibilities of the Certificate-Holding District Office Manager.** The certificate-holding district office (CHDO) manager keeps the Regional Flight Standards Division (RFSD) informed of any unusual aspects of the amendment process or of those aspects that may attract the attention of local or national political entities or the media. The CHDO manager coordinates with the RFSD when intra/interregional coordination is required.
- 3. Responsibilities of the Certification Project Manager.** The certification project manager (CPM) serves as the primary spokesperson for the FAA throughout the amendment process. The CPM must thoroughly coordinate duties with others assigned to the project. The CPM, in conjunction with the certification team leader (CTL) if applicable, ensures that all job functions are completed. *All correspondence with the operator concerning the need for corrective action or approval/acceptance will be in the form of a letter from the CPM.* The CPM must ensure that individuals involved with the amendment project and the CHDO managers are kept fully informed.
- 4. Responsibilities of the Certification Team Leader.** The CTL provides technical direction and oversight to the project team. The CTL coordinates with the CPM and integrates project team efforts to ensure standardization of the project. Whenever the process allows options (e.g., as necessary, if necessary), the CTL ensures that a comment is recorded in the New Aircraft Process Document Tracking Form (App. F) specifying what was accomplished for that step or series of steps.
- 5. Responsibilities of the Team Members.** Each team member responds to requests for assistance made by the CPM and CTL, and keeps them informed of the status of the amendment process. Immediately notify the CPM and CTL of any discrepancy that may delay the amendment effort. In the event of a disagreement with any project team decision, please elevate to the CPM and CTL.
- 6. Responsibilities of the Operator.** The operator must develop and implement a program capable of operating the new M/M/S with the highest possible degree of safety. In the event of a disagreement with any project team decision, please elevate to the CHDO manager.

**Appendix F. NAPD Tracking Report Project Identification**

Operator	PROJECT NUMBER

**Phase One—Operator/CHDO Preparation**

STEP	TITLE	DATE CLOSED	INITIALS	COMMENTS
1.1	Initial Inquiry			
1.2	Initial Process			
1.3	Initial Briefing/Operator Briefing			
1.4	Operator Submissions			
1.5	Review Operator Submissions			
1.6	Planning and Coordination			
1.7	Team Configuration			
1.8	CHDO Site Preparation			
1.9	Verify Arrangements for Phase 2 Meeting			
1.10	Phase 1 Review			

**Gate One**

DATE COMPLETED	INITIALS	COMMENTS

## Phase Two—Design Assessment

STEP	TITLE	DATE CLOSED	INITIALS	COMMENTS
2.1	Conduct System Safety Self Review			
2.2	Submission of Documents			
2.3	Request Phase 2 Meeting			
2.4	Plan Phase 2 Meeting			
2.5	Phase 2 Meeting			
2.6	Responsible/Authorized Person Demonstration of Knowledge			
2.7	Verify Operator's Knowledge of the Revised Manual System			
2.8	Adjourn the Phase 2 Meeting			
2.9	Accept or Return the Entire Submission			
2.10	Notification to Operator			
2.11	Correction of Areas of Concern			
2.12	Return of Submissions			
2.13	Distribution of Operator's Manuals			
2.14	Review Operator's Submissions			
2.15	System Safety Assessment/Specific Regulatory Requirements (SRR) Review			
2.16	Verify that Applicant's Manuals Have Been Approved/Accepted			
2.17	Develop Operational System			
2.18	Submit Update Schedule of Events			
2.19	Phase 2 Review			

## Gate Two

DATE COMPLETED	INITIALS	COMMENTS

## Phase Three—Performance Assessment

STEP	TITLE	DATE CLOSED	INITIALS	COMMENTS
3.1	Aircraft Conformity			
3.2	Review Operator Submissions Verify Draft Operations Specifications			
3.3	Confirm Operational Readiness			
3.4	Develop and Submit Demonstration Plans			
3.5	Issue Letter of Authorization			
3.6	Demonstrate Operational Readiness			
3.7	Assess Operator's Operational Readiness			
3.8	Tabletop Exercise			
3.9	Evacuation/ Ditching Demonstration (as required)			
3.10	Process Proving-Test Plan			
3.11	Prepare for Proving Test			

**Phase Three—Performance Assessment (Continued)**

<b>STEP</b>	<b>TITLE</b>	<b>DATE CLOSED</b>	<b>INITIALS</b>	<b>COMMENTS</b>
3.12	CPT/Operator Conduct Proving Test			
3.13	Determine Continuance			
3.14	Phase 3 Review			
3.15	Evacuation/Ditching Demonstrations			
3.16	Determine Continuance			
3.17	Process Proving-Test Plan			
3.18	Phase 3 Completion and Review			

**Gate Three**

<b>DATE COMPLETED</b>	<b>INITIALS</b>	<b>COMMENTS</b>

**Phase Four—Administrative Function**

<b>ITEM</b>	<b>TITLE</b>	<b>DATE CLOSED</b>	<b>INITIALS</b>	<b>COMMENTS</b>
4.1	Accomplish Administrative Requirements			
4.2	Verify Final Status of Economic Authority			
4.3	Issue Amended Operations Specifications to Operator			
4.4	Complete Questionnaire on Process Improvement Recommendations			
4.5	Conduct Out-Briefing with CHDO/Operator			
4.6	Prepare and Submit Final Report to CHDO Manager			
4.7	Final Process Requirements			
4.8	Phase 4 Review			

### Appendix G. NAPD Process Feedback Form

Please provide comments and suggestions regarding the certification process. Indicate what worked well and what did not. Address one gate or phase per sheet. Please fill out this form electronically.

- |  |                                   |
|--|-----------------------------------|
| <input type="checkbox"/> Phase I—Formal Application        | <input type="checkbox"/> Gate I   |
| <input type="checkbox"/> Phase II—Design Assessment        | <input type="checkbox"/> Gate II  |
| <input type="checkbox"/> Phase III—Performance Assessment  | <input type="checkbox"/> Gate III |
| <input type="checkbox"/> Phase IV—Administrative Functions |                                   |

Name of Sender: \_\_\_\_\_ Title: \_\_\_\_\_

Region/Office: \_\_\_\_\_ Phone: \_\_\_\_\_

( ) I would like to discuss this matter. Please contact me.

Comments:

Select this highlighted area and enter your appropriate comments specific to the phase or gate identified above.

Please forward all comments to the following address:

E-mail: 'AVS-AFS900-ATOS-LeadershipTeam.

***Mail address:***

FAA ATOS CMO/AFS 905  
45005 Aviation Drive, Suite 131  
Dulles, VA 20166-7513  
ATTN: ATOS CMO Certification Section Manager

### Appendix H. Request List to Customer

Below is a list of items we ask the operator to have available before the arrival of the inspection team. It is important to note that the list is not all-inclusive. The team leader will mail this list electronically to the customer.

Item Requested
Copy of airline's inspection document (conformity inspection).
A copy of Bridging (transfer) Document and Continuous Airworthiness Maintenance Program (CAMP) for the aircraft, including work cards and time limits, etc. (may be in electronic format).
The Maintenance Review Board and Maintenance Planning Document (manufacturer's recommended maintenance program) for the aircraft.
List of Passenger Accommodations (LOPA) for the interior. Additional diagrams that might include location of emergency equipment, if not on LOPA.
Passenger briefing cards.
The current type certification standard equipment list.
We will also check to ensure the operator has the aircraft in its tracking system (forecast, next check due, etc.).
Flight deck checklists.
Burn certifications for aircraft interior materials (Title 14 of the Code of Federal Regulations (14 CFR) part 25, § 25.853).
Skin mapping (repairs) and repair assessment if applicable (14 CFR part 121, § 121.370).
Aircraft Flight Manual (AFM) and company manual used in lieu of AFM, if applicable (14 CFR part 121, § 121.141).
Minimum equipment list (MEL).
Pilot aircraft operating manual (part 121, § 121.135).
Engineering orders accomplished.
Placard diagram and/or manual.
Records required by 14 CFR part 121, § 121.380 and § 121.707.
In-flight manual (flight attendant manual) (14 CFR part 121, § 121.135).
Technical documents that firmly establish the Digital Flight Data Recorder (DFDR) parameter types and accuracies, and the latest DFDR data download, if available.
All Supplemental Type Certificates (STC) for the aircraft.



## **Appendix I. Applicant's Plan for Proving Tests**

### **Reference: Section 121.163**

An applicant must submit a proving-test plan at least 10 days prior to any in-flight demonstration (including training or ferry flights) that the applicant desires to have credited toward the proving-test requirements. The applicant should include any Federal Aviation Administration (FAA) approved letters of deviation as an attachment to the proving-test plan.

Any changes to the FAA accepted plan must be coordinated with the certification project manager.

The proving-test plan must contain at least the following information:

- Identification of the company coordinator who will serve as the primary proving test spokesperson.
- A detailed schedule of all proposed flights, including dates, times, and airports to be used. The schedule should clearly differentiate which flights will be conducted for training, ferry, or representative en route flights.
- A list of names and positions of the flight crewmembers that will be participating on each flight.
- A list of names, titles, and company affiliations of noncrewmember personnel that the applicant requests on board each flight.
- Any other information that the certification team determines is necessary to properly plan and conduct the proving flight.

**Note:** It is FAA policy for at least 50 percent of the scheduled proving-flight hours to consist of representative en route flights over routes and into airports that the applicant intends to serve.

The applicant should be prepared to present personnel training records and aircraft maintenance records before initiation of proving tests. Inspectors may request copies of records as an attachment to the plan for evaluation.

The air carrier applicant must have received an FAA-approved letter of authorization (LOA) and purposed operations specifications before proving tests may commence.

**Figure I-1. Sample Proving-Test Plan**

Date:

Mr. John Jones  
Certificate Project Manager  
XYC Flight Standards District Office  
Post Office Box 12345  
Las Vegas, Texas 74321

Dear Mr. Jones:

Enclosed for your consideration is the First Jet Airlines Inc. proving-test plan for the CL-65 Regional Jet.

The plan has been formatted with the "P" series flight numbers indicating a proving-test flight.

The plan assumes that all flights will be operated as normal line flights. Each flight will consist of fueling, baggage handling, passenger handling, and aircraft servicing as required by the existing circumstances. Each crewmember will perform their respective duties per First Jet Airlines Inc. standard operating policies and procedures. FAA-authorized personnel will provide any simulated abnormal or emergency situations. Any simulated or actual abnormal or emergency situations that may occur will be handled in accordance with First Jet Airlines Inc. approved company flight manual and standard operation procedure.

- I. Company Coordinator - Jack Simpson
- II. Proving Test Schedule
  - A. Representative en route flights 50:07
  - B. Non-en route segments
    - 1. Ferry flights               None
    - 2. Training flights           None
  - C. Maintenance test unit   None

**Note:** The proving-test team will have exclusive use of an aircraft during the test period.

Flight Schedule:

**DFW.**  
**Date:**

Flt #	Dep. City	Dep. Time	Arr. City	Arr. Time	Seg. Time	Act. Time	Total Time
101P	DFW	11:30	SAN	12:41	1:11	_____	1:11
102P	SAN	13:30	DFW	14:43	1:13	_____	2:24

Total time scheduled:   Hrs. & Min.   2:24.

|||||  
|-----TEAR-----|

10/01/07

N 8900.23  
Appendix I

DFW.  
Date:

Flt #	Dep. City	Dep. Time	Arr. City	Arr. Time	Seg. Time	Act. Time	Total Time
201P	DFW	11:30	OKC	12:41	1:11	_____	1:11
202P	OKC	13:30	DFW	14:43	1:13	_____	2:24
203P	DFW	16:30	DAL	17:20	:50	_____	3:14

(1) Total time scheduled: Hrs. & Min. 3:14 Cumulative time scheduled: Hrs. & Min. 5:38

**Total Hours: Hrs. & Min. 50:07.**

III.	<u>Flight Crew Member Pilots</u>		<u>Flight Attendants</u>
	Kevin Nelson		Stefan Wright
	Mark Aponte		Jason Ashcraft
	Dave Hall		Automm Pellet
	Rob Ryerson		Harvey Ritter
			Arlene Nieman
			Jonathan Rhodes
IV.	Non Flightcrew Members		
Name		Position	
Jonathan Glass		Chairman/Chief Executive Officer	
David Robinson		Director of Safety	

Your comments and consideration in this matter are greatly appreciated.

If I can be of assistance, please call me at (982) 555-3825 or cell (703) 555-4403.

Sincerely,

Steven Arthur  
Director of Operations  
First Jet Airlines Inc.

CC: Michael Dundee, First Jet Airlines, Inc.

**Figure I-2. Sample LOA/Flight Standards District Office Letterhead**

Requestor  
XYZ Airlines Inc.  
Anywhere, USA 00000  
Dear Mr./Ms. Requestor:

Date

Letter of Authorization

As requested in your letter of [date], [name of company] is authorized to operate [airplane make/model and registration number] in compliance with Title 14 Code of Federal Regulations (14 CFR) section 121.163. (*Name of company*) is authorized to conduct for the purpose of training flights, proving flights, and other flights associated with certification under the requirements in accordance with the provisions of 14 CFR subsection 119.33 (c) and 14 CFR section 121.163. All proving tests must be conducted under the appropriate operating and maintenance requirements of 14 CFR part 121 that would apply if the applicant were fully certificated. Only passenger's incidental to the business of the company may be carried under the provisions of this letter.

During the course of any operations conducted under the authority of this Letter of Authorization, the company must demonstrate full compliance with, and an ability to operate in accordance with part 121, issued draft operations specifications (OpSpecs), and the approved proving-flight plan. In the event of actual or simulated equipment malfunction(s), (*name of company*) must operate in accordance with the draft minimum equipment list.

The proving flights will begin on or about \_\_\_\_\_ and terminate on or before \_\_\_\_\_ or otherwise upon satisfactory completion of all required tasks or when the Administrator determines that (*name of company*) has demonstrated operational qualifications.

In addition, these proving flights may be suspended or terminated when the Administrator determines that the public interest in air safety so requires. (*Name of company*) proving flights may be suspended or terminated if any of the following conditions occur:

- Violation of 14 CFR.
- Noncompliance with draft OpSpecs.
- Unapproved deviation from approved proving-flight plan (except actual emergency).
- Inadequate or incomplete training of required crewmember or maintenance personnel.
- Failure to operate in accordance with established company manual procedures.
- Failure to meet three consecutive scheduled takeoff times.
- Inability to detect and correct operational and/or maintenance deficiencies.
- Lack of qualified support personnel to conduct operations.

The above conditions are illustrative and must not be considered an exclusive listing of the basis for suspension or termination of proving flights. Proving flights may be suspended or terminated at any time when deemed appropriate by the Administrator. The Administrator must provide written notice to (*name of company*) with the reasons for suspension or termination of such flights within five working days.

A copy of this letter must be carried on the above numbered airplanes during the operations specified.

Signed.  
I, AM Manager.

## **Appendix J. Job Aid to Determine Applicant's Knowledge of Air Carrier Systems**

- 1. Objective.** This exercise will help determine the applicant's initial knowledge of the content and organization of their air carrier systems. This exercise provides the Federal Aviation Administration (FAA) insight on the applicant's level of readiness.
- 2. Inputs.** This evaluation should include the applicant's required management and other key personnel, certification team, questions, and the manuals.
- 3. Process.** Ask a series of questions to evaluate the applicant's knowledge and familiarity with their air carrier systems.
- 4. Outputs.** The applicant's key management personnel demonstrate an acceptable level of understanding of their manual.
- 5. Responsibilities.**
  - a.** The certification project manager (CPM) and certification team leader (CTL) are responsible for the quality of the exercise.
  - b.** The CPM is responsible for scheduling the exercise.
  - c.** The applicant is responsible for the attendance of key management personnel.
  - d.** The CPM is responsible for documenting any areas of concern in the Certification Risk Worksheet.
- 6. The How To.**
  - a.** The FAA certification team designs questions that will test the applicant's familiarity with their air carrier systems.
  - b.** The team evaluates the effectiveness of the manual content.
  - c.** The questions should be multidisciplinary in nature (e.g., involve operations, airworthiness, cabin safety, and/or stations issues).
  - d.** The applicant is required to show where in the manual the information is located.
  - e.** The CPM documents the questions to be used, including any assignments.
  - f.** The CPT compiles evaluation findings and then jointly discusses the results with the applicant.
  - g.** In the case of an unsuccessful evaluation, the applicant reschedules the exercise after taking corrective action.

**7. Sample Questions.**

- a.** Are your areas of responsibility clearly defined in the manual?
- b.** Explain your system for reacting to warning signs.
- c.** Where in your manual is the formal Internal Evaluation Program described?
- d.** Describe the program for employees to report safety concerns and/or procedural problems.
- e.** What is the process for identifying and correcting root causes of potential safety or procedural problems?
- f.** Ask the appropriate person if they have a Suspected Unapproved Parts (SUP) program.

## Appendix K. Tabletop Exercise

- 1. Objective.** This exercise helps verify the applicant's knowledge of system safety and manual interfaces through an open-book evaluation.
- 2. Inputs.** This evaluation uses Safety Attribute Inspection and Element Performance Inspection (EPI) elements, the applicant's personnel, Certificate Project Team (CPT), the manual system, and Certification Risk Worksheets.
- 3. Process.** Conduct a dry run of various air carrier systems.
- 4. Outputs.** The result of this exercise yields successful completion of the tabletop scenarios and a viable Federal Aviation Administration (FAA)-approved, system safety-based operation.
- 5. Responsibilities.**
  - a.** The certification project manager (CPM) and certification team leader (CTL) are responsible for the quality of the exercise.
  - b.** The CPM is responsible for scheduling the exercise.
  - c.** The applicant is responsible for ensuring the attendance of the personnel deemed the responsibility and authority figures for managing the elements.
  - d.** The applicant is responsible for the attendance of all tabletop scenario participants (pilot, flight attendant, mechanic, dispatcher, maintenance controller, etc.).
  - e.** The CTL has responsibility to document the results in the Project Management Tool.
  - f.** The CPM has responsibility to document any areas of concern in the Certification Risk Worksheet.
  - g.** The CPM has responsibility to notify the applicant of the results.
- 6. The How To.**
  - a.** The FAA CPT creates scenarios by using EPIs and areas of concern identified in the Certification Risk Worksheet.
  - b.** The scenarios should involve operations, airworthiness, cabin safety, and station issues. They should also include scenarios that relate to manual programs required by operations specifications.
  - c.** The scenarios are presented by the CPM. The CPM utilizes other members of the team, as appropriate, during the scenarios.
  - d.** Using real-world scenarios enables the applicant's team to respond through the processes, policies, practices, and procedures documented in their manual.

- e. The effectiveness of interfaces is evaluated during the scenarios by allowing natural event progression with the management personnel having responsibility and/or authority for the associated elements of that scenario.
- f. As part of the planning process, a minimum of 20 scenarios are developed by the team members based on their knowledge of the applicant's systems gained during the manual review.
- g. The CPM selects at least 10 scenarios to use in the exercise with an additional five as backups. Document each on the Scenario Worksheet.
- h. Using the processes, policies, procedures, and practices contained in their manual, the applicant's personnel lead the FAA team through each scenario.
- i. After each scenario is complete, the applicant's team debriefs the FAA team on their perceptions of the scenario.
- j. After the applicant's debriefing, the FAA team debriefs the applicant's performance on that scenario.
- k. If the performance during any scenario is unsatisfactory, a different scenario must be present, using the same high-risk indicators and areas of concern.
- l. The CPM provides a list of concerns to the applicant.
- m. If the applicant fails more than one scenario, the exercise terminates, and the applicant may reschedule the exercise.
- n. If the applicant fails a similar scenario three times, the CPM, in consultation with the CTL, terminates the process until the applicant corrects the identified concerns or discrepancies.
- o. The applicant must successfully complete all scenarios presented by the certification team the certification process to continue.
- p. The CPM documents the results of each scenario on the Scenario Worksheet.
- q. The CPT documents the areas of concern in the Certification Risk Worksheet.

## **7. Sample Scenario.**

- a. Please explain what happens when a crewmember finds that the outflow valve has minor damage. The aircraft is at an outstation. It is the first flight of the day. Thunderstorms are present in the projected flight path. It is raining heavily. Contract maintenance is available.
- b. Only one person may speak at a time and only in the area of their authority or responsibility (e.g., operations may not address the actions that maintenance would take).



<b>Scenario Worksheet</b>			
Scenario.			
Comments.			
Date.	Sat.	Unsat.	Signature.

## Appendix L. Proving-Test Protocol

Proving tests provide an opportunity to evaluate the applicant's ability to conduct operations safely and in accordance with Title 14 of the Code of Federal Regulations (14 CFR) part 121. Applicants must demonstrate to inspectors that they can conduct flight and maintenance operations to the standards required for revenue service. These flights are not considered training flights. The proving-test plan is reviewed to determine acceptability to the administrator. All proving-test plans include a representative number of flights into en route airports for each kind of operation the applicant intends to conduct.

- 1. Objective.** To determine if the applicant can conduct flight and maintenance operations to the standards required for revenue service under 14 CFR part 121.
- 2. Inputs.** Applicant's air carrier systems, the proving-test plan, and the certification team.
- 3. Process.** Test the applicant's anticipated operations.
- 4. Outputs.** Applicant satisfactorily demonstrates the ability to operate to the standards required for revenue service.
- 5. Responsibilities.**
  - a.** The certification project manager (CPM)/certification team leader (CTL) are responsible for the quality of the proving tests.
  - b.** The CPM/CTL are responsible for determining the adequacy of the proving test plan.
  - c.** The CPM/CTL may designate a team member to conduct proving tests.
  - d.** The Certificate Project Team (CPT) has the responsibility to document any areas of concern in the Risk Worksheet.
  - e.** The CPM has the responsibility to notify the applicant of the results in writing.
  - f.** The CTL has the responsibility to document the results in the Project Management Tool.
- 6. Planning Proving Tests.** The Federal Aviation Administration (FAA) utilizes scenarios to accomplish this evaluation. A scenario is an event, situation, problem, or series of actions used in testing procedures, policies, and practices. Some scenarios may continue for several days; however, only one scenario is initiated at a time. Once the FAA accepts the applicant's plan, the following steps are taken to ensure both the applicant and CPT clearly understand the proving-test process. The CPT meets prior to the demonstration to discuss and coordinate scenarios, schedules, and inspector assignments.
  - a.** As part of the planning process, the CPT, based on their knowledge of the applicant's systems, develops scenarios and the complexity of the operation assuring that each air carrier system is thoroughly tested.

**b.** Team members should review previously generated risk statements and applicable Element Performance Inspection (EPI) Data Collection Tools (DCTs) before this meeting, and is prepared to discuss areas of concern.

**c.** Team members should prepare proving-test scenario worksheets using the guidance in this appendix prior to this meeting.

**d.** Proving-test scenarios are documented using the proving-test scenario worksheets. Each scenario worksheet will contain the following information: the scenario, the flight number, departure/arrival location, the assignments for each person (to include facility assignments, e.g., Dispatch, Maintenance Control, Stations), the initiation (when the scenario will occur and how it will be presented), objective, and the standards used to determine satisfactory completion (to include specific manual chapter/section/page reference.) The worksheet must also include when the scenario will be terminated and by whom. Comments will be made once the scenario has been completed and SAT/UNSAT determined when the FAA team briefs at the end of the day. The worksheets may be handwritten or automated. The scenarios will be retained and become part of the permanent record of the certification.

**Note:** Inspectors may wish to attach a copy of the company procedures for quick reference.

**e.** The scenarios should be multidisciplinary in nature (i.e., involve Operations, Airworthiness, Cabin Safety, and/or Stations issues or any combination, thereof). Refer to Order 8900.1, vol. 3, chapter 29, sections 4 and 5 for guidance on developing scenarios and evaluating the applicant's competency in the above areas.

**f.** Once the scenarios are developed, the team discusses and determines which scenarios are conducted on each day and the specific flight. At this time, it is determined what role each inspector plays in each scenario; this is documented on the worksheet. Only one scenario is initiated at a time.

**g.** All flights conducted during the proving tests contain at least one scenario.

**h.** The maximum daily flight time should be planned for an 8-hour workday, including any briefings. Determining schedules is at the CPM's/CTL's discretion.

**i.** All flights conducted during the proving tests contain at least one scenario.

**j.** An FAA-qualified operations inspector (as defined in Order 8900.1, vol. 3, chapter 29, section 5 on the specific aircraft type is onboard each of these flights.

**k.** The FAA can initiate a scenario using any of the following methods: a note containing specific instructions handed to an employee; by a "passenger" engaging in some activity; or by verbal instructions given by an FAA inspector while holding their credential where it is visible.

**Note:** In some situations, it is impractical to hand the applicant a note or give him/her verbal instructions. For example, a scenario where a passenger stands up while the aircraft is taxiing, appears to be intoxicated or uses a cell phone prior to takeoff. In order to "test" the flight attendants' knowledge and ability to follow

procedures, these types of scenarios should be “acted out.” The team determines how each scenario is presented.

**l.** Whenever possible, inspectors should utilize props, which may be brought from home (a child restraint device, cell phone, crutches, fishing pole, guitar, etc.).

**m.** All FAA participants conducting the proving test must review the carrier’s operation, operations manual, and the proving-test plan in order to report deficiencies in any of these areas.

**7. FAA Team and Applicant Briefings.** A briefing between all members of the CPT occurs before and after each series of flights. After the CPT completes their brief and agrees, the applicant is briefed. Once the CPT has met to coordinate and prepare for the proving tests, the CPT meets with the applicant to review the proving-flight protocols (paragraph B3) and finalize the flight schedule.

**a.** Prior to the beginning of each series of proving flights, the FAA team meet to review flight schedules, scenarios for that day, and specific team member assignments.

**b.** The FAA team then meets with the applicant, crewmembers, and other applicable personnel prior to the first flight. The CPM reviews the following list of protocols:

(1) The purpose of the proving test.

(2) FAA personnel are treated as actual passengers unless they present their FAA credential, FAA Form 110A Aviation Safety Inspector Access to U.S.-registered aircraft, and provide instructions. The inspector occupying the flight deck observer’s seat is always in inspector status.

(3) Changing status of passenger to FAA inspector when an FAA credential is revealed.

(4) Explain how simulated scenarios are initiated and what action is expected from the applicant.

(5) Problems or scenarios are terminated whenever the FAA finds that the evaluation has been successfully completed or whenever the FAA finds that the scenario can no longer be completed satisfactorily.

(6) How to react to an actual emergency during the proving test. In case of an actual emergency, the FAA immediately terminates any scenarios.

(7) The actual aircraft logbook will be used to record all scenarios. The items entered in the logbook are recorded as an FAA scenario to differentiate between scenarios and real logbook entries.

(8) Debriefing at the conclusion of each day. At this time the applicant may self-evaluate their performance prior to the FAA’s evaluation.

(9) Instructions not to ask the FAA how you are doing during the flights. There is a debriefing at the end of the day.

(10) The proving test may be delayed if, in the opinion of the FAA, there are safety concerns.

(11) FAA inspectors may be located at company facilities (e.g., dispatch, maintenance control, stations) during the proving tests.

(12) All scenarios are to be treated as the real thing; do not ask if this is a test or ask the FAA for help on solving problems.

**Note:** Communication is confined to company frequencies unless directed by the FAA inspector occupying the observer's seat. The inspector occupying the observer's seat or observing at ground facilities will coordinate as needed with air traffic control and company personnel concerning the status. The simulated emergencies will not involve deactivating items such as constant speed drives (CSDs), integrated drive generators (IDG), etc., nor will it involve engine in-flight shutdowns. Follow the policies, practices, and procedures contained in your manual.

(13) Please do not inform other employees that this is a test problem or scenario. This includes telephone, signals, notes, or other means of communication.

(14) Initial cadre check airmen, the Director of Operations (DO), the Director of Maintenance (DOM), director of in-flight and other supervisory personnel designated by the Administrator may occupy cabin seats during the proving test. These personnel may not provide direction to the crews during any part of the scenario unless authorized by FAA. A list of passengers must be provided prior to each day's briefing.

(15) Unless such operations are necessary to contribute to the safety of the flight due to crewmember incapacitation or other abnormal condition(s), no inspector will manipulate aircraft controls during proving tests.

(16) Flight hours credited toward the proving-test plan is determined by the CPM and CTL.

**c.** At the end of the day (or series of flights), the CPT meets as a team to discuss and evaluate each scenario and the applicant's performance. A determination is to be made at this time whether the applicant passes or fails. Overall operational performance is also discussed at this time.

(1) When failures occur during testing, the CPM/CTL will determine continuation in accordance with the following.

(a) In the event of multiple system failures (air carrier systems), or severe system deficiencies, proving tests may be terminated to allow the applicant to redesign systems.

(b) In the event of an individual or minor systems failure, that segment may be terminated but proving tests continue.

(2) If the proving tests are discontinued, the letter of authorization is rescinded.

(3) All failed scenarios must be repeated at some point. Inspectors may wish to modify the scenario for retesting purposes.

(4) The CPT meets with the applicant.

(a) The applicant debriefs the FAA team on their own performance during the previous scenarios (self-evaluation.).

(b) The CPT debriefs the applicant on each scenario and advises of a pass or fails status.

## **8. Proving-Flight Demonstration.**

**a.** Inspectors must remember that they are passengers onboard unless they are in an inspector role, whereby their FAA 110A identification is visible. The operations inspector assigned to the flight deck is always on inspector status.

**b.** Inspectors should observe normal and routine operations (e.g., preflight duties, carry-on baggage secure, correct announcements made, passengers at emergency exit seats properly briefed, crew signals, etc.).

**c.** EPIs should be used to evaluate the applicant's performance.

**d.** Proving-Flight test scenario worksheets are used to document the results of each scenario.

**e.** Inspectors should discreetly communicate with one another when a scenario is about to begin.

**f.** Inspectors perform as passengers in real-life scenarios and should act the part.

**g.** Inspectors should not touch or operate any emergency equipment onboard.

**h.** In the case of an emergency equipment malfunction scenario, a note is taped to the equipment, a note given to the crewmember or the inspector (whose ID is visible) will verbally inform the crewmember.

**i.** One inspector is assigned to end each scenario. (This information should be included on each proving-flight scenario worksheet).

**j.** If an actual emergency situation should occur, the scenario is terminated.

**k.** Do not discuss scenario results with the applicant. The CPT needs to discuss the results of each scenario as a team at the end of the day and then the applicant is be briefed.

**l.** The actual aircraft logbook is used to record all scenarios. The items entered in the logbook will be recorded as an FAA scenario to differentiate between scenarios and real logbook entries.

**m.** The CPM or CTL carries the flight schedule, crewmember names, scenario worksheets, cards, and coordinates with the inspectors onboard. (If CPM or CTL is not onboard a particular day, another inspector will be designated.)

<b>Proving-Flight Test Scenario Worksheet</b>					
Applicant Name		Departure		Arrival	
Desert Air		Location		Location	
Flight Number		Time		Time	
<p>Scenario: The single point refueling system is inoperative (Auto Mode) and has been deferred by maintenance.</p>					
<p>Assignments: Inspector Smith will present the scenario card to the captain prior to the first preflight of the day.</p>					
<p>Initiation: Failure will occur on Day 4, Leg 1. Failure will be presented to the captain prior to the preflight inspection on the first leg of the day.</p>					
<p>Objective: To determine that the flight crew recognizes the need for gravity fueling. To determine that the fueling crew is observed by the flight crew as required by Desert Air procedures.</p>					
<p>Standards: The flight crew should consult MEL 25-01. Crew should assure overwing fueling is accomplished in accordance with Desert Air procedures. The flight crew should verify that the correct amount of fuel was added.</p>					
<p>Termination: Inspector Smith will terminate the scenario when the aircraft has been refueled IAW Desert Air procedures.</p>					
<p>Comments; The scenario was completed successfully.</p>					
Block Time		Flight Time		<input type="checkbox"/> Day <input type="checkbox"/> Night	
Date		<input type="checkbox"/> Sat	<input type="checkbox"/> Unsat	Signature	



<b>Proving-Flight Test Worksheet</b>			
Applicant Name	Departure	Arrival	
	Location	Location	
Flight Number	Time	Time	
Scenario:			
Assignments:			
Initiation:			
Objective:			
Standards:			
Termination:			
Comments:			
Block Time		Flight Time	<input type="checkbox"/> Day <input type="checkbox"/> Night
Date	<input type="checkbox"/> Sat	<input type="checkbox"/> Unsat	Signature

## Proving-Test Coordination

- 1. Preliminary Coordination.** The FAA certification team and the applicant must reach a common understanding of what the applicant must do, what role the FAA will play, and what reports and documents must be prepared during the testing process.
- 2. Responsibility.** During the development of the FAA plan to conduct proving tests, the CPM/CTL is responsible for coordinating all parts of the proposed tests. Coordination should be accomplished with FAA security, other affected Flight Standards District Offices (FSDOs) and the Regional Flight Standards Division (RFSD). The CPM notifies the RFSD of proving-flight dates, times, and locations. The RFSD must notify other RFSDs affected by the proposed proving flights and any future scheduled operations proposed by the applicant.
- 3. Routes Requiring Navigators.** If the test concerns any of the operations requiring navigators, then the CPM should consult an FAA navigation specialist before Phase 3. The navigation specialist can provide advice on testing requirements.
- 4. International Operations.**
  - a.** Proving-test flights conducted to foreign countries should follow the procedures as outlined in AFS-100-014 (Processing of Foreign Travel Requests).
  - b.** Ensure the applicant has sufficient copies of Customs Declaration forms on each international flight. (CPM should assure proving team has Customs Declaration forms, should the applicant fail to have them available).
- 5. Program Tracking and Reporting Subsystem (PTRS) Entry.** When the proving test team is formed, the CPM must ensure that a PTRS record is opened for the applicant. This PTRS entry will remain open until the team completes its assignment. The record number of this entry must be entered in the "Miscellaneous" field in all subsequent PTRS entries associated with the project. This procedure will create a complete record of proving and validation and will eliminate the need for a manually written report.
- 6. Overnight Accommodations.** Proving flights requiring overnight accommodations should be coordinated with the certification team members and the FSDO.

**Appendix M. NAPD Risk Worksheet**

<b>Sequential Number:</b>			
<b>Applicant Name:</b>		<b>Date:</b>	
<b>Certification Phase:</b>			
		<b>ASI Specialty:</b>	
			(MX, AV, OPS, CS)
<b>Element Number:</b>		<b>Originator:</b>	
1. Risk Statement			
A. Identify any conditions that could have a negative consequence upon the applicant's operation.			
<b>Condition:</b>			
B. Explain the possible negative effects of the condition.			
<b>Consequence:</b>			
2. What is the probability that the consequence(s) will occur if the condition is not corrected?			
<b>Likelihood:</b>			
3. How severe will the results be if the consequences occur?			
<b>Severity:</b>			
4. Comments/Observations: (Optional)			

**Likelihood:**

Very likely—unless action is taken to change events.

Probable—means if events follow normal pattern.

Improbable—means unless unlikely events occur.

**Severity:**

High—means accident or serious incident.

Medium—means violation of regulations or company procedures.

Low—means poor performance, disruption of schedule.

## Appendix N. Emergency Evacuation and Ditching Demonstration

**1. Introduction.** This appendix provides guidance to determine the regulatory requirements, processes, and methods for conducting emergency evacuation/ditching demonstrations. The information is applicable to:

- Full-Scale Aborted Takeoff Evacuation Demonstrations.
- Partial-Scale Aborted Takeoff Evacuation Demonstrations.
- Full-Scale Ditching Demonstrations.
- Partial-Scale Ditching Demonstrations.

### 2. Regulatory References.

- Title 14 of the Code of Federal Regulations (14 CFR) section 121.291, appendix D and section 25.803.
- Order 8900.1, volume 3, chapter 30.
  - Section 1. Evacuation and Ditching Demonstrations: General
  - Section 2. The Aborted Takeoff Emergency Evacuation Demonstration
  - Section 3. Aborted Takeoff Demonstration Procedures
  - Section 4. Ditching Demonstrations
  - Section 6. Evaluating Evacuation and Ditching Demonstrations Parts 121 and 125
  - Section 7. Evaluate Airworthiness Issues for 14 CFR Part 121 Emergency Evacuation/Ditching Procedures/Demonstrations
  - Section 8. Reporting Evacuation Demonstrations
  - Section 9. Maximum Passenger Seating Capacity for Airplanes Used in 14 CFR Part 121 or Part 125 Operations
- Advisory Circular (AC) 20-118A.
- AC 25.803-II.

**Note:** This document addresses 14 CFR part 121 demonstrations only. Title 14 CFR part 135 demonstrations must meet different requirements.

### 3. Demonstration Objectives.

- Evaluate the effectiveness of the operator's training.
- Evaluate the operator's emergency evacuation and/or ditching procedures.
- Determine the reliability of installed emergency equipment, and in the case of ditching, the reliability and capability of flotation and survival devices.

**4. General Information.** The examples below are not all-inclusive, but are provided as guidance. The designated Federal Aviation Administration (FAA) team leader for the demonstration coordinates with the FAA team prior to the evaluation demonstration to determine what would constitute a failure. This information is communicated to all demonstration participants during the predemonstration company briefing.

- Evacuation demonstrations are based on an aborted takeoff scenario.

- Ditching demonstrations are based on a planned water landing.
- Demonstrations must be conducted on aircraft that are configured with more than 44 passenger seats.
- Failure to meet any of the objectives of an evacuation demonstration constitutes failure of the demonstration. Some examples of failures are:

(1) Failure to complete all required activities within the established period of time for that type of demonstration.

(2) A crewmember opening a blocked exit.

(3) Inadequate company evacuation procedures.

(4) Equipment failures such as a slide not inflating within the time parameters, or a slide tangling with an external survival kit.

(5) Crewmembers not following the company evacuation procedures.

### **Criteria for Determining Type of Demonstration**

#### **1. Full-Scale Evacuation Demonstration Required When:**

- Initial introduction of a type and model of airplane into passenger-carrying operation.
- When there is an addition/removal of emergency exit(s).
- Increased seating configuration exceeds the maximum seating previously demonstrated by the manufacturer.

#### **2. Partial-Scale Evacuation Demonstration Required When:**

- The aircraft type/model is new to the operator.
- The operator is in original certification.
- There is a change in the required number of flight attendants.

#### **3. A Partial Evacuation Demonstration *May* be Required When:**

- There is a significant change in flight attendant location.
- There is a significant change in flight attendant duties.
- There is a change in the number of exits, or in the opening mechanism of an exit.

#### **4. Full-Scale Ditching Demonstration Required When:**

- The aircraft will be used in extended over-water operations.
- The manufacturer or a part 121 operator for this type/model airplane has not conducted a Ditching demonstration.

**5. Partial-Scale Ditching Demonstration Required When:** The aircraft should be used in extended over-water operations by a new or existing operator, and after a full-scale demonstration is conducted for that type and model.

## FAA Planning and Predemonstration Activities

### 1. Certification Team Composition.

**a.** Ideally, the Certificate Project Team (CPT) should consist of Flight Standards District Office (FSDO) and AFS 900 ATOS CMO team members of all specialties. Every effort should be made to have a cabin safety inspector act as team leader for this activity. The team composition depends on the aircraft size and complexity. For evacuation demonstrations, having an inspector at each emergency exit location ensures that all activities are observed and monitored throughout the demonstration process.

**b.** The following is recommended:

- One team leader who has the authority and overall responsibility for the demonstration activities.
- One inspector positioned in the flight deck.
- Assign individuals who will record the time using stopwatches.

(1) For Aborted Takeoff Demonstrations:

- One inspector observer/timer at each emergency exit—outside the airplane.
- One inspector observer/timer at each pair of emergency exits—inside the airplane.

(2) For Ditching Demonstrations:

- One inspector at each emergency exit (interior/exterior) from which a raft or slide/raft will be launched.

### 2. Reviewing the Operator's Plan.

**a.** Submit a comprehensive plan to the certification project manager (CPM) at least 30 business days in advance for a full-scale demonstration, or 15 business days for a partial-scale demonstration. Evacuation and ditching demonstrations may be conducted concurrently. The ditching demonstration is conducted after successful completion of the evacuation demonstration.

**b.** The operator's plan must include the following:

(1) List the applicable regulation(s) to be demonstrated—14 CFR section 121.291(a), (b), and (d).

(2) Date, time, and location of the proposed demonstration.

(3) The make, model, series, and "N" number of the aircraft.

(4) Full seating capacity of the airplane (including crewmembers).

- (5) The name and telephone number of the company's evacuation demonstration coordinator (spokesperson).
- (6) A list of two complete crews that have successfully completed FAA-approved training on the airplane. The CPT randomly selects the participating crewmembers from the list provided by the operator.
- (7) The number of flight attendants and the emergency exit assignment(s) for each flight attendant. A copy of the applicant/air carrier's emergency evacuation duties and responsibilities for each crewmember. This information will be taken from the applicant/air carrier's approved/accepted manuals.
- (8) A diagram, representative of the airplane to be demonstrated, which includes the following:
- (a) The location and designation of all exits by type and the designated exit pairs.
  - (b) The assigned seating location of each required crewmember during takeoff.
  - (c) The interior cabin configuration showing the location of each passenger seat, the galleys, aisles, lavatories, and passenger compartment partitions and bulkheads.
  - (d) The location and types of emergency equipment on the aircraft including fire extinguishers, portable oxygen bottles/masks, megaphones, crash axes, emergency ropes/tapes, life rafts/slide rafts, individual floatation devices or life preservers, first aid and medical kits.
- (9) A description of the emergency equipment installed on the aircraft including at least the type and model of each item of equipment, as applicable.
- (10) A copy of the approved safety information card for that make, model, and series aircraft, which the applicant/air carrier is demonstrating.
- (11) The safety precautions in place to prevent injury to participants.
- (12) A description of the method that will be used to interrupt power to the airplane.
- (13) The initiation signal the operator will use. The signal has to be given to both cabin and ground personnel simultaneously to initiate the demonstration.

**c. For Ditching Demonstrations only:**

- (1) A copy of the duties, assignments and responsibilities of each crewmember and able-bodied assistant (if used).
- (2) A copy of the operational description(s) of each installed life raft, slide/raft, and individual life preserver.

**d. For Aborted Takeoff Demonstrations only:**

- (1) A statement on how the “dark of night” conditions will be simulated.
- (2) A description of how the emergency exits will be blocked.

**Notes:**

1. The use of inspectors to physically block emergency exits is not acceptable.
2. Management personnel, instructors, check flight attendants, and anyone who participated in a demonstration within the preceding 6 months are ineligible.
3. Participating crewmembers cannot receive additional training beyond that in the FAA-approved training program for the airplane; i.e., participants should not have “practiced” operating exits.
4. This information must be from the applicant/air carrier’s approved/accepted manuals. Upon completing the review process, the FSDO/CPM will issue a letter approving or disapproving the proposed plan.

**3. Demonstration Planning Company Briefings.** Prior to the operator submitting their proposed demonstration plan, the CPT and the operator should meet and discuss the requirements of the plan, and identify and resolve any anticipated or unique issues. This will help the team coordinate events. There may be a need to schedule more than one meeting with the operator.

**4. Selecting Emergency Exits.**

- Identify each exit assigned to a flight attendant (F/A). Identify primary and secondary exits.

**Note:** A primary exit is the first exit an (F/A) is assigned to open in an emergency evacuation. A secondary exit is the next exit to which an F/A is assigned.

- An emergency exit not assigned to an F/A may not be used in the demonstration.
- Select the emergency exit(s) that require a greater challenge to open.
- Airplanes with an even number of exits equal 50 percent of the exits assigned to an F/A as an emergency evacuation duty.
- Airplanes with an odd number of exits equal one less than 50 percent.
- FAA guidance discourages the selection of the aft ventral stairs (B-727) or tailcone (DC-9/MD-80/90/B-717) for partial-evacuation demonstrations.

**Note:** The operator must block these exits in the same manner used on all other exits.



**5. Full-Scale Aborted Takeoff Evacuation Demonstrations.**

- The manufacturer/certificate holder coordinates activities with the Aircraft Certification Office (ACO).
- The ACO coordinates with AFS-200 to ensure review of, and concurrence with, the Manufacturer's plan.
- Involves live participants of different age groups and gender. Reference part 121, appendix D for specific participant requirements.
- Ninety seconds to open exit(s) and evacuate all persons using 50 percent of the emergency exits installed.

**6. Partial-Scale Aborted Takeoff Evacuation Demonstrations.**

- Conducted without passengers.
- Fifteen-second time limit to open 50 percent of the primary emergency exits assigned to F/As, deploy and inflate slides (if installed), and "ready" exits for passenger egress.

**Note:** Timing for slide and stair readiness should be done from outside the aircraft and would stop when the escape means (slide or stairs), is "fully extended." An escape slide or stairs is "fully extended" when the slide or stairs can safely support a passengers weight. Timing of exits not equipped with an escape means is often done better from inside of the airplane.

**7. Selecting Exits and Flotation Devices for Ditching Demonstrations.**

- a. Ditching demonstrations are based on a "planned," or anticipated, event.
- b. Ditching Demonstrations:
  - The crew has 15 minutes to prepare the cabin for the ditching.
  - If an operator's procedures use able-bodied people (ABP) to remove or launch life rafts, then the same number of ABPs must be used in the demonstration.
  - The ABPs will be provided by the operator and should not be experienced over what would be normally expected for passengers in daily operations.
  - The designated crewmember(s) and ABP(s) for each slide/raft or raft will board the device. The crewmembers will explain the use/operation of all equipment and respond to questions.
  - For Full-Scale Ditching Demonstrations: All life rafts and/or slide/rafts are deployed and inflated through, or from each respective exit according to operators' procedures.
  - For Partial-Scale Ditching Demonstration: Remove all life rafts from stowage compartments and position them at designated launching exits in accordance with operator's procedures.
  - Aircraft equipped with slide/rafts will have one exit designated for the deployment, launching, and inflation demonstration.
  - Deploy, launch, and inflate one of each type of life raft (or slide/raft) from one designated exit.

- Timing stops when the F/As inform the flight deck crew that all cabin preparations have been completed.

**8. Predemonstration Airplane Inspection.** Before the demonstration, the CPT must inspect the airplane and emergency equipment to ensure the airplane is configured and equipped for takeoff in accordance with the operator's manuals and procedures.

**Note:** The CPT must have completed its conformity inspection on the aircraft(s) to be used in emergency evacuation and/or ditching demonstrations before the actual event can commence.

**9. Predemonstration Company Briefing.** A joint CPT and operator pre-demonstration briefing should be conducted approximately one hour prior to the event. The persons attending the briefing should include all crewmember participants including back-up crews the appropriate management personnel, all onboard observers, and all FAA inspector participants. During the briefing, the following should be addressed:

- Introduction and identification of all FAA inspectors.
- A brief explanation of the objectives for the demonstration.
- An explanation of the items that could cause a failure of the demonstration.
- A review of the operator's approved evacuation demonstration plan. Special emphasis should be placed on the signal(s) that will be used to start and stop the demonstration, and the method of blocking emergency exits.
- Emphasize that timing is done for the actual evacuation demonstration (start and stop times) and not for the routine pre-departure duties.
- Emphasize the performance of all routine duties including preflight equipment checks, arming of cabin doors, delivery of safety announcements, conducting compliance checks, and executing all communication procedures (verbal/chimes/other) between flight deck and cabin.
- As an option, the CPT may take the crew aboard the aircraft and view the simulated demonstration conditions to eliminate any uncertainty. This may include a preview of what a blocked exit signal will look like during the demonstration.
- Select the crew for the demonstration. This can be accomplished by drawing names from a box.
- All backup crewmembers must be isolated from viewing or hearing the demonstration, or commingling with the selected crew until after the CPT has authorized such activity.
- Company observers must be warned that any communication or interaction with the performing crew will warrant a failure of the demonstration.
- FAA inspectors, selected crewmember participants, and company observers proceed to the aircraft.

## Demonstration conduct

### 1. The CPT Must:

- Observe crew briefing.
- Observe preflight equipment check.
- Observe proper door closure and arming.
- Evaluate required safety information announcement.
- Observe cabin compliance checks.
- Observe closure and locking of flight deck door.
- Observe correct seating of crewmembers, including operator's "brace position" for takeoff, if applicable.
- Observe proper use of seat belt and harness (both must be properly fastened and used).
- Begin timing when evacuation signal is given.
- Observe crewmember assessment of conditions prior to opening the exit.
- Observe proper procedures for opening exits.
- Observe proper application of procedures for the deployment and inflation of evacuation slides or slide/rafts.
- Listen to evacuation commands.
- Stop timing when the exit is ready for passenger egress.

**Note:** Exit readiness does not necessarily mean the hissing from the slide aspirator valves must stop or that the exit door or slide touches the ground. Exit readiness means that a person can safely egress the aircraft without encountering injury. This is a judgment call on the part of the inspector.

- If a lighting system is used to indicate blocked exits, the system should remain on until the termination signal is given.
- Terminate demonstration activities using predetermined signal.
- Have flight attendants disarm any slides at doors that were not used during the demonstration to preclude an inadvertent slide deployment and possible injuries to demonstration participants and observers.

### 2. Post Demonstration.

**a.** Following a failed demonstration, the "backup" crewmembers should not be given any information about the first demonstration by either the company or the FAA. The "backup" crew should not be aware of the reason for the failed demonstration(s).

**b.** Inspectors will gather and discuss their observations. No comment should be made to the operator until after a determination is made.

**Note:** Some demonstration failures are obvious while others are not. Discuss the following:

- Proper preflight check of equipment.

- Proper door closure and arming conducted.
- Required pre-takeoff announcement given.
- Proper communication between flight deck and cabin crew.
- Proper closure and locking of flight deck door.
- Proper seating assignment and use of seat belt and harness restraints.
- Proper evacuation command(s) given.
- Activation of emergency evacuation lights.
- Conditions assessed prior to opening exit.
- Proper door opening procedures.
- Appropriate emergency exits opened.
- Proper deployment and inflation of evacuation slides or slide/rafts if installed.
- Proper use of evacuation commands.
- Demonstration completed within the 15-second time limit.

**Note:** When there are disagreements between CPT members regarding a failure, a final decision based on group consensus must be reached before conducting the post-demonstration company briefing.

### **3. Postdemonstration Company Briefing and Reporting.**

**a.** The CPT spokesperson or designee informs the operator of the demonstration results. If the demonstration resulted in a failure, the CPT will identify what action caused the failure. The CPT should avoid naming individuals who may have contributed to the failure. The CPT determines whether a second demonstration is permissible immediately following the post company briefing.

**b.** If the operator fails a demonstration, it may not use the same crewmembers in additional demonstrations.

**c.** Regardless of the outcome, the CPM completes FAA Form 8430-1, Emergency Evacuation Demonstration Report, for each demonstration and submits it to their respective regional office.

**d.** If the operator should fail the second demonstration, The CPT assesses the cause of the failure, and in conjunction with the first failure, determines corrective action. Such action may require additional training, procedure revision, or other related issues.

**Appendix O. DCT Assignments Status Report**

Date: \_\_\_\_\_

<b>Element Number</b>	<b>Element Name</b>	<b>SAI</b>	<b>EPI</b>	<b>Specialty</b>	<b>Date Assigned</b>	<b>Completed By</b>	<b>Status.</b>	<b>Date Completed</b>	<b>Pass/X Fail</b>
1.1.1	Aircraft airworthiness requirements			AW					
1.1.2	Appropriate operational equipment			AW & Ops					
1.1.3	Special flight permits			AW					
1.2.1	Airworthiness release or log book entry			AW					
1.2.2	Major repairs and alterations			AW					
1.2.3	Maintenance log/recording requirements			AW					
1.2.4	MIS reports			AW					
1.2.5	Mechanical Reliability Reports (MRR)			AW					
1.2.6	Aircraft listing			AW					
1.3.1	Maintenance program			AW					
1.3.2	Inspection program			AW					
1.3.3	MX facilities/Main MX base			AW					
1.3.4	RII			AW					
1.3.5	MEL/CDL/deferred MX			AW					
1.3.6	AD management			AW					
1.3.7	Outsource organization			AW					
1.3.8	Control of calibrated tools and test equip			AW					
1.3.9	Engineering/major repairs and alterations			AW					
1.3.10	Parts/material control/SUP			AW					
1.3.11	Continuous Analysis and Surveillance (CAS)			AW					
1.3.12	SFAR 36			AW					
1.3.13	Designated Alteration Stations (DAS)			AW					
1.3.14	General maintenance manual/equivalent			AW					
1.3.15	Reliability program			AW					
1.3.16	Fueling			AW					
1.3.17	Weight & balance program			AW					
1.3.18	Deicing program			AW					
1.3.19	Lower landing minimums			AW					
1.3.20	Engine condition monitoring			AW					
1.3.21	Parts pooling			AW					
1.3.22	Parts borrowing			AW					
1.3.23	Short-term escalations			AW					
1.3.24	CASE			AW					
1.3.25	Cargo Handling Equipment, System and appliances			AW					

**DCT Assignments Status Report (Continued)**

2.1.1	Manual currency		AW/Ops					
2.1.2	Content consistency across manuals		AW/Ops					
2.1.3	Distribution		AW/Ops					
2.1.4	Availability		AW/Ops					
2.1.5	Supplemental operations manual		AW/Ops					
3.1.1	Passenger handling		Ops & CSI					
3.1.2	Flight attendant duties/cabin procedures		Ops & CSI					
3.1.3	Airman duties/flight deck procedures		Ops					
3.1.4	Operational control		Ops					
3.1.5	Carry-on baggage		Ops/CSI					
3.1.6	Exit seating		Ops & CSI					
3.1.7	Deicing program		Ops					
3.1.8	Carriage of cargo		Ops					
3.1.9	Aircraft performance operating limitations		Ops					
3.1.10	Lower landing minimums		Ops					
3.1.11	Computer-based record keeping		Ops					
3.1.12	HAZMAT/dangerous goods program		Ops					
3.1.13	Other personnel with operational control		Ops					
3.2.1	Dispatch or flight release		Ops					
3.2.2	Flight/load manifest/weight & balance control		Ops					
3.2.3	MEL/CDL procedures		Ops					
4.1.1	Required inspection personnel		AW					
4.1.2	MX certificate requirements		AW					
4.2.1	MX training program		AW					
4.2.2	Required II training Requirement		AW					
4.2.3	Training of flight crewmembers		Ops					
4.2.4	Training of flight attendants		CSI					
4.2.5	Training of dispatchers		Ops					
4.2.6	Training of station personnel		Ops					
4.2.7	Training of check airman and instructors		Ops					
4.2.8	Simulators/training devices		AW/Ops					
4.2.9	Outsource crewmember training		Ops					
4.2.10	Aircrew designated examiner program		Ops					
4.2.11	Training of Flight Followers		Ops					

**DCT Assignments Status Report (Continued)**

4.3.1	Pilot operating limitations/recent experience			Ops					
4.3.2	Airman/crew checks and qualifications			Ops					
4.3.3	Advanced Qualification Program (AQP)			Ops					
4.4.1	Recency of experience			AW					
4.4.2	Display of certificate			AW					
4.4.3	A&P privileges and limits			AW					
4.4.4	Repairmen privileges and limits			AW					
5.1.1	Line stations (servicing and maintenance)			AW					
5.1.2	Weather reporting facilities/SWARS station			AW					
5.1.3	Non-federal NAVAIDS			AW					
5.1.4	Altimeter setting sources			AW					
5.1.5	Station facilities			Ops					
5.1.6	Use of certificated land airports			Ops					
5.1.7	Special navigation areas of operation			Ops					
5.1.8	ETOPS			AW/Ops					
5.1.9	RVSM authorization			AW/Ops					
6.1.1	Scheduling/reporting system			Ops					
6.1.2	Flight crewmember flight/duty/rest time			Ops					
6.1.3	Flight attendant duty/rest time			Ops & CSI					
6.1.4	Dispatcher duty/rest time			Ops					
6.2.1	Duty time			AW					
7.1.1	Director of maintenance			AW					
7.1.2	Chief inspector			AW					
7.1.3	Director of safety			Ops					
7.1.4	Director of operations			Ops					
7.1.5	Chief pilot			Ops					
7.1.6	Maintenance control			AW					
7.2.1	Safety program (ground and flight)			Ops					







## Appendix Q. Approval of Initial Cadre Check Airmen

### 1. Introduction.

An effective check airman program is essential to the safe and efficient operation of an air carrier certified under Title 14 Code of Federal Regulations (14 CFR) part 121. In the normal operation of a certificated air carrier, check airman candidates are selected from a pool of the most highly skilled flight crewmembers. These candidates are trained in check airman duties and responsibilities by the company, then evaluated and approved by the Federal Aviation Administration (FAA).

Title 14 CFR part 121 does not address a training/qualification process for the initial cadre of check airmen (ICCA). This appendix and FAA Order 8900.1 volume 3, chapter 20, provide recommended procedures.

### 2. Regulations and Other References.

- FAA Order 8900.1, volume 3, chapter 20:
  - Section 1, Air Carrier Check Airmen, Instructors, and Supervisor Programs: General;
  - Section 2, Air Carrier Check Airmen, Instructors, and Supervisor Programs: Check Airman Approval and Surveillance; and
  - Section 4, Check Airman and Air Transportation Flight Instructor Training.
- Certification Process Document.
- Part 121, appendix N.
- Part 121, subpart N.
- Section 121.402—Authorizes a part 142 TC to provide flight training, testing, and checking for part 121 certificate holders.
- Section 121.403—States that a certificate holder must prepare a written flight and ground training program curriculum.
- Section 121.405—States that a training program must have initial and final approval.
- Section 121.406—Allows credit for previous CRM training.
- Section 121.407—Approval of airplane simulators and other training devices. (It is possible that the simulators used for early ICCA training and subsequent pilot flight training may be different.)
- Section 121.409—Training courses using simulators and other training devices.
- Section 121.411—Qualifications: Check airmen (airplane) and check airmen (simulator).
- Section 121.412—Qualifications: Flight instructors (airplane) and flight instructors (simulator).
- Section 121.413—Initial and transition training and checking requirements: Check airmen (airplane) and check airmen (simulator).
- Section 121.414—Initial and transition training and checking requirements: flight instructors (airplane) and flight instructors (simulator).
- Section 121.424—Lists minimum hours for pilot initial, transition, and upgrade training.
- Section 121.433—Requires initial approval for training programs.

## Process

**1. Letter of Request for Approval of ICCA Plan.** When, during an initial certification, it is determined there is a need for an ICCA, the CPM shall arrange with the applicant to consider approval of one or more check airman candidates to form the ICCA. In making the formal request, the applicant shall submit a plan including the following to the CPM:

- A letter requesting approval of the proposed ICCA, Flight Training Program,
- The proposed ICCA, Flight Training Program,
- The proposed ICCA, Check Airman/Instructor Qualification Program,
- Resumes and copies of airmen certificates of the ICCA candidates, and
- A plan for the ICCA to complete other required training segments such as Basic Indoctrination, Emergency Training, Security and Hazardous Materials Training, CRM, etc., following the FAA's initial approval of the company's relevant training programs.

Acceptable training programs that an applicant might submit include an approved flight training program of another air carrier or an approved 142 training school as specified in part 121.402.

**2. Letter of Approval.** Appropriate members of the CPT must review the ICCA Training Program, and if it is found acceptable, the CPM approves it (CPD 8.03, 2.1.3). ICCA are approved temporarily to function as check airmen—all checks (simulator and/or aircraft) or check flight engineer—so that they may conduct all types of checks and supervise operating experience (OE). This approval is in the form of a Letter of Approval to be replaced with individual permanent Letters of Approval after each check airman is fully qualified.

10/01/07

N 8900.23  
Appendix Q

**Figure Q-1. Check Airman Letter of Approval**

February 24, 1990

Mr. Sam A. Frost  
Chief Pilot  
Transcon Express, Inc.  
48 Perimeter Rd.  
Utica, OH 22032

Dear Mr. Frost:

John R. Smith, FAA certificate number 467120928, is approved as a check airman. This check airman is approved to conduct checks in the Douglas DC-9 aircraft for employees of the Transcon Express, Inc. This approval is applicable for the following checking functions:

- Proficiency Check Airman - Aircraft Effective.
- Proficiency Check Airman - Simulator Effective 8/27/89.
- Line Check Airman - All Seats Effective.
- Line Check Airman - Observer's Seat Only Effective 2/20/90.
- Check Airman - All Checks Effective.
- Check Flight Engineer Effective.

Please retain a copy of this letter in Mr. Smith's individual flight training records or database.

Sincerely,

James J. Jones  
Principal Operations Inspector

**3. Initial Aircraft Type Rating, Training, and Certification.** The applicant must arrange to have an ICCA trained and appropriately certificated for their cockpit duty positions.

**a.** An FAA inspector or a designated examiner that is employed by a part 142 training school that provided the ICCA flight training may conduct the ICCA's aircraft-type rating checks.

**b.** The CPM should ensure that notification is provided to either the part 142 training school's, FAA Training Center Program Manager (TCPM) or the principal operations inspector (POI) of the part 121 air carrier. Certification and surveillance assistance may be available upon request from the supervisor of a qualified inspector who is assigned to an air carrier or part 142 school that is providing ICCA flight training.

**4. Gaining Proficiency as Instructors.** In many cases, the applicant's specific flight operating procedures will not have been developed before the ICCA start training. Company flight operating procedures are determined by the ICCA during their training. When an applicant's flight operating procedures differ from those used in the ICCA Training Program, the ICCA must become proficient in the applicant's procedures by instructing each other, or in the case of a single initial cadre check airman, by self training. When this phase is conducted in an airplane, an applicant may arrange for a qualified safety/instructor pilot from the manufacturer, an operator, or other source. The FAA instructor observation requirements of section 121.414(a)(2) may be fulfilled during the ICCA instruction phase.

**a.** The applicant shall develop a supplemental training program that provides for ICCA training in company flight operating procedural differences and aircraft differences. Appropriate members from the applicant and the CMT will meet to review and agree upon the ICCA supplemental training.

**b.** In some cases, an applicant might choose to adopt, without modification, the flightcrew operating procedures used by the company that provided the ICCA training. In this situation, supplemental training may be unnecessary and the certification check may be counted as the required proficiency check.

**5. Proficiency and Competency Checks.** An FAA inspector must administer the proficiency check to the first ICCA then that ICCA will administer a proficiency check to the next qualified ICCA who then administers a proficiency check to the next qualified ICCA. This process continues until all ICCA have both administered and received a proficiency check. The first check administered by each ICCA must be observed by an FAA inspector who holds the appropriate airman's certificate, and type rating. If the ICCA consists of one person, an inspector observes that person conducting a proficiency check of a company pilot that has completed the applicant's approved flight training program. If the inspector determines that the performance of an ICCA is satisfactory, the inspector recommends to the CPM that the ICCA be approved as a check airman for the type of check observed.

**6. Operating Experience and Line Checks.** ICCA are permitted to acquire OE flight hours on any flight that can be credited toward proving-test flight hour requirements including training flights (when observed by an FAA inspector), ferry flights, and representative en route proving flights. ICCA may accrue OE flight hours while:

- Conducting aircraft checks.
- Overseeing the OE of other airmen.
- Being checked.
- Acquiring OE under the supervision of other ICCA.

**a.** ICCA should administer and receive a line check under the supervision of a qualified FAA inspector during the proving flight en route phase or during a ferry flight that the CPM had determined to be acceptable. The line check process is the same as in paragraph E with each ICCA administering a line check under the supervision of an FAA inspector.

**b.** If the ICCA's performance is satisfactory, the inspector may recommend that the check airman be approved as a line check airman. If there is only one ICCA, the FAA inspector conducts the line check.

**Note:** Before being approved as a line and/or proficiency check airman, an ICCA must complete the training requirements of 14 CFR section 121.413(c), (e), (f), and (g).

**Figure Q-2. Sample Letter of Request**

Mr./Ms. [*CPM Name*]  
Certificate Project Manager  
XYZ FSDO  
P.O. Box or Street Address  
City, State, Zip Code

Dear [*Certification Project Manager*],

Enclosed for your approval is the [*Business Name*] initial cadre check airman (ICCA) plan.

Company Point of Contact, [*Name, Position, Telephone Number, and E-mail Address*].

ICCA Candidates:

[*Names and Certificate Numbers*].

**Note 1:** Specify the check airman authority requested for each individual, e.g., check airman-all checks, aircraft and/or simulator.

**Note 2:** Include resumes as attachments.

[*Business Name*], authorized under part 142, will administer training for the ICCA. Upon approval of our company Flightcrew Operating Procedures and Training Program, we will conduct supplemental training acceptable to the CPM, for the ICCA. This supplemental training will ensure the ICCA are proficient in specific company flight operating procedures and aircraft differences.

If there are any questions concerning this plan, please contact [*Name and Title*] at [*Telephone Number and E-mail Address*] or the company point of contact for this request.

Sincerely,

Name  
Title

**Note:** This request must be submitted by a key management person.

Name of Airline