



**U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION**

**NOTICE
8000.311**

Effective Date:
10/27/2005
Cancellation Date:
10/26/2006

SUBJ: Certification Services Oversight Process for Original Organizational Certifications

1. PURPOSE. This notice provides specific guidance for determining when adequate resources are available to begin original organizational certification activities and provides Aviation Safety Inspectors (ASI) and FAA field office management personnel with policy and guidance concerning the Certification Services Oversight Process (CSOP) Original Organizational Certification Process.

2. DISTRIBUTION. This notice is distributed to the division level in the Flight Standards Service in Washington headquarters, to the branch level in the regional Flight Standards divisions, to the Flight Standards District Offices, and to all International Field Offices. This notice is also distributed electronically to the division level in the Flight Standards Service in Washington headquarters and to all regional Flight Standards divisions and district offices. This information is also available on the Federal Aviation Administration's (FAA) Web site at: http://www.faa.gov/library/manuals/examiners_inspectors/8000/ and through the Flight Standards Information Management System (FSIMS), <http://fsims.avr.faa.gov/fsims.nsf>.

3. BACKGROUND. Original organizational certification places strict requirements on ensuring the safety of newly certificated operators and air agencies. The continuous stream of new applicants coupled with FAA resource limitations has heightened the importance of ensuring we have sufficient resources available to 1) complete the certification activities and 2) provide oversight of new organizations once certificated without compromising our ability to provide adequate oversight of existing certificated organizations (i.e., continued operational safety). When resource evaluations indicate that a field office cannot conduct an original organizational certification without compromising the office's ability to adequately oversee its existing certificated organizations, new certification activity must be deferred or assigned to a different field office.

4. CERTIFICATION SERVICES OVERSIGHT PROCESS (CSOP). CSOP is an internal Flight Standards (AFS) process for all field managers to use and serves as the single, authorized methodology for accepting, sequencing, and reporting original organizational certification activities. Flight Standards managers shall follow this process for all original organization certification applications they receive.

5. AFFECTED APPLICANTS. Organizational certification activities covered by this notice include applicants seeking to accomplish and satisfy the requirements to be certificated in accordance with the Title 14 of the Code of Federal Regulations (14 CFR) parts 121, 125, 135, 141, 142, 145, and 147.

6. RESPONSIBILITIES.

a. Aviation safety inspectors (ASI) are responsible for keeping management informed of potential air operator and/or air agency certification activities. Additionally, it is the responsibility of the ASI to gather and document the information concerning these potential and/or actual original organization certification activities and provides management with the information.

b. When an applicant seeking authority to operate as either an Air Operator or an Air Agency makes contact with an FAA field office, the ASI responsible for the potential certification activity will gather and document the information required by this notice. This information is then given to management.

c. ASI's working with potential applicant's that formally submit the FAA Form 8400-6 Pre-Application Statement of Intent and accepted must notify management. Management is then responsible for following the guidance contained in this Notice.

7. INSPECTOR RESOURCE REQUIREMENTS. In conducting the resource analysis required by this process, field and regional managers shall consider the following limitations and factors.

a. Limitations.

(1) For other than part 121 certifications, adequate resources do not exist if the new certificate (based on an applicant's two year post-certification business plans) would result in any inspector's complexity point total rising to 2,500 or more points (3,500 points if a full assistant is available for assignment), or rising at all in the case of an inspector already assigned 2,500 or more complexity points (3,500 points with a full assistant assigned).

(2) For part 121 certifications, existing part 121 principal inspectors are not used for the new certification activities. Other inspectors (e.g., assistant principal inspectors, aircrew program managers (APM), assistant aircrew program managers (AAPM), partial program managers (PPM), assistant partial program managers (APPM)) currently assigned to a part 121 certificate management team may be used for the new certification activities only to the extent that existing operator oversight is not compromised. Available staffing for post-certification dedicated principal inspectors (not assigned other complexity) exists or is reasonably projected to be available through reassignments or merit promotion selections.

(3) Only inspectors in an air carrier position description will be used for part 121 certifications.

(4) Adequate travel resources must exist to consider shifting a new certification to another field office, and/or to cover travel expenses for temporarily assigning inspectors with required technical qualifications.

b. FACTORS.

(1) Office staffing in inspector specialties required for certification activities.

(2) Office performance issues (e.g., ability to address current workload).

- (3) Office challenges (e.g., non-compliant operators requiring additional resources).
- (4) Office technical expertise vs. complexity of the proposed operation.
- (5) Extended leaves of absence affecting the office.
- (6) National/regional resource demands upon the office.

8. CSOP ORIGINAL CERTIFICATION PROCESS OVERVIEW. CSOP provides a standard set of tools for communication, resource evaluation, and certification workload weighing and provides AFS management with the ability to share information, which will allow for an analysis for sequencing of initial certifications. The processes defined in this document reflect, to a certain extent, activities that are and have been performed on a day-to-day basis for years. This document adds value to these activities by providing for upward reporting. This allows AFS management at all levels the ability to see original organizational certification activities. This process supports the conservation of valuable resources, shifting of resources, and sequencing of certification activities. The full text of CSOP is found in Appendix 1, Certification Services Oversight Process.

9. PRE-APPLICATION. The public contacts and applies to Flight Standards field offices for original organizational certifications. Flight Standards accepts the pre-application by use of FAA Form 8400-6, Pre Application Statement of Intent (PASI).

10. FIELD OFFICE RESPONSIBILITIES.

a. Flight Standards field offices will capture the PASI information by creating an Organizational Air Operator/Air Agency or Repair Station PASI Summary and perform a resource evaluation, complete the workload index, dashboard the activity, which provides the division manager with the information. Additionally, the field office will communicate to the applicant via the use of standard letters that have been created as part of the CSOP tools:

- CSOP PASI Receipt Letter (Figure 1)
- CSOP Applicant Wait List Letter (Figure 2)
- CSOP Resource Reassignment Letter (Figure 3)

b. Regular communication with the applicant about the status of a certification is an essential piece of this process. An applicant needs to know periodically where the application stands in the process. An overview of field office process is in Figure 5.

11. REGIONAL DIVISION RESPONSIBILITIES.

- a. Regional divisions shall review their field offices' PASI summaries on a weekly basis.
- b. Division managers have the authority to assign and/or reassign all original organizational certification activities.
- c. The division managers shall then either:

(1) Concur and assign the certification activity to the submitting field office reference overview Figure 6, or

(2) Non concur and request the field office to issue the CSOP Applicant Wait List letter until adequate resources become available (Figure 3), or

(3) Non-concur and reassign the certification activity to another field office within the region. If the regional division manager reassigns the activity to another office, the region shall send the applicant the CSOP Resource Reassignment Letter (Figure 4). (Figure 7)

d. The division managers will then “dashboard” the activity within the automated PASI summary.

12. DIRECTOR RESPONSIBILITIES. The CSOP process and its supporting automation provide the Director with the ability to see all reported original certification activities. The system provides the Director with information about those certification activities that may present additional challenges to AFS. The Director will review those original certification activities that are brought to his/her attention by a regional division manager. An overview of Director’s process is in Figure 8.

13. DISPOSITION. This notice will be incorporated into FAA Order 8300.10, Airworthiness Inspector’s Handbook, FAA Order 8400.10 Air Transportation Operations Inspector’s Handbook, and FAA Order 8700.1 General Aviation Operation’s Inspector Handbook. Direct questions concerning this notice to David Hanley, Manager, Flight Standards Division, Great Lakes Region at (847) 294-7252.

Original signed by John A. Allen for

James J. Ballough

Director, Flight Standards Service

FIGURE 1 CSOP PASI RECEIPT LETTER

[Date]

Dear Sir:

[Company Name]

[Address]

Thank you for the recent pre- application statement of intent that you submitted to the Federal Aviation Administration (FAA) [Enter FSDO Name].

We are currently evaluating our resources in order to determine if and/or when we can support your application for certification. We will respond to you within 30-days from the date of this letter to inform you of our resource evaluation results.

In the meantime, thank you for your patience and cooperation. If you have any questions please do not hesitate to contact us at [Enter Field Office phone number].

Sincerely,

Manager

FIGURE 2 CSOP APPLICANT WAIT LIST LETTER

[Date]

Dear Sir:

[Company Name]

[Address]

Thank you for the recent pre-application statement of intent that you submitted to the Federal Aviation Administration (FAA) [Enter Field Office Name].

Unfortunately, because of resource issues, we are unable to immediately commence processing any new applications. Consequently, we are placing all new applications on a holding queue, and you have been assigned our office tracking number of [Enter Field Office Tracking Number].

As resources become available we will contact you, so we may continue processing your new application in accordance with established FAA policies and procedures.

In the meantime, please contact [Enter Primary Person to Contact, such as a Unit Supervisor or Aviation Safety Inspector] (at the telephone number listed below) to schedule a pre-certification briefing. During this briefing, we will provide you information that you may require for the certification process, once it has commenced.

Thank you for your patience and cooperation. If you have any questions please do not hesitate to contact us at [Enter Field Office phone number].

Sincerely,

Manager

FIGURE 3 CSOP RESOURCE REASSIGNMENT LETTER

[Date]

Dear Sir:

[Company Name]

[Address]

Thank you for the recent pre-application statement of intent that you submitted to the Federal Aviation Administration (FAA) [Enter Field Office Name].

Unfortunately, because of resource issues, we are unable to immediately commence processing any new applications at the field office in which you applied. Consequently, we are reassigning your application to [Enter New Field Office Name]. This reassignment of your application is the most efficient way we can process your application. As a condition of this reassignment, you may be required to make certain items (such as aircraft, management personnel, program documents and certain records) available at the reassigned certification office location as needed for meetings, inspections and evaluations in support of the certification project.

You will be contacted by the [Enter New Field Office Name] within the next 5-days. Once contacted, you will be requested to schedule a pre-certification briefing. During this briefing, we will provide you information that you may require for the certification process, once it has commenced.

If you prefer to work with the FAA field office which accepted your FAA Form 8400-6, Pre Application Statement of Intent, please do not hesitate to contact us.

Thank you for your patience and cooperation. If you have any questions please do not hesitate to contact us at [Enter Division Manager Phone Number].

Sincerely,

Manager

FIGURE 4 FIELD OFFICE DECISION TREE FOR ACCEPTING ORIGINAL ORGANIZATIONAL CERTIFICATION ACTIVITIES

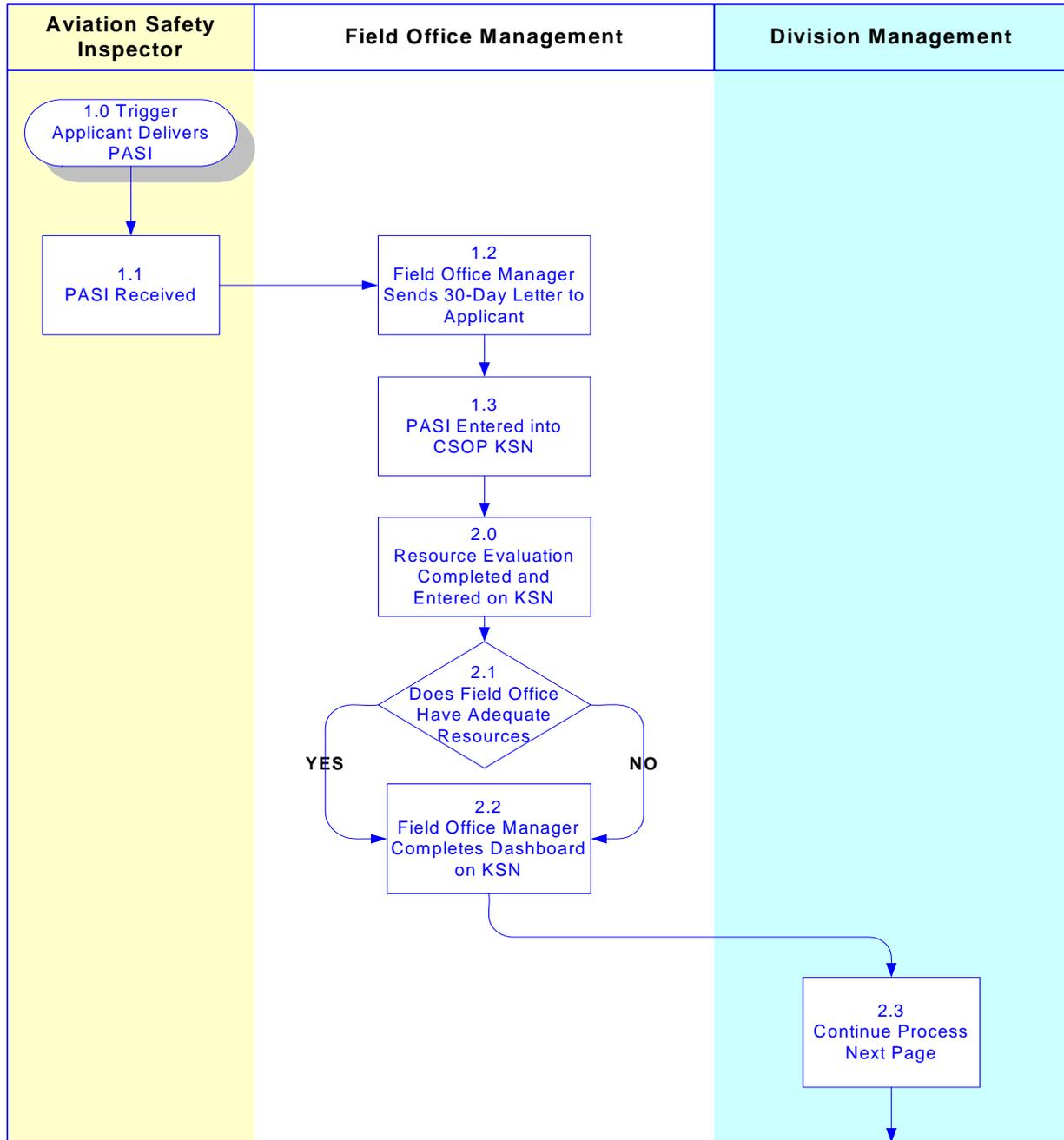


FIGURE 5 FIELD AND DIVISION DECISION TREE FOR ACCEPTING ORIGINAL ORGANIZATIONAL CERTIFICATION ACTIVITIES

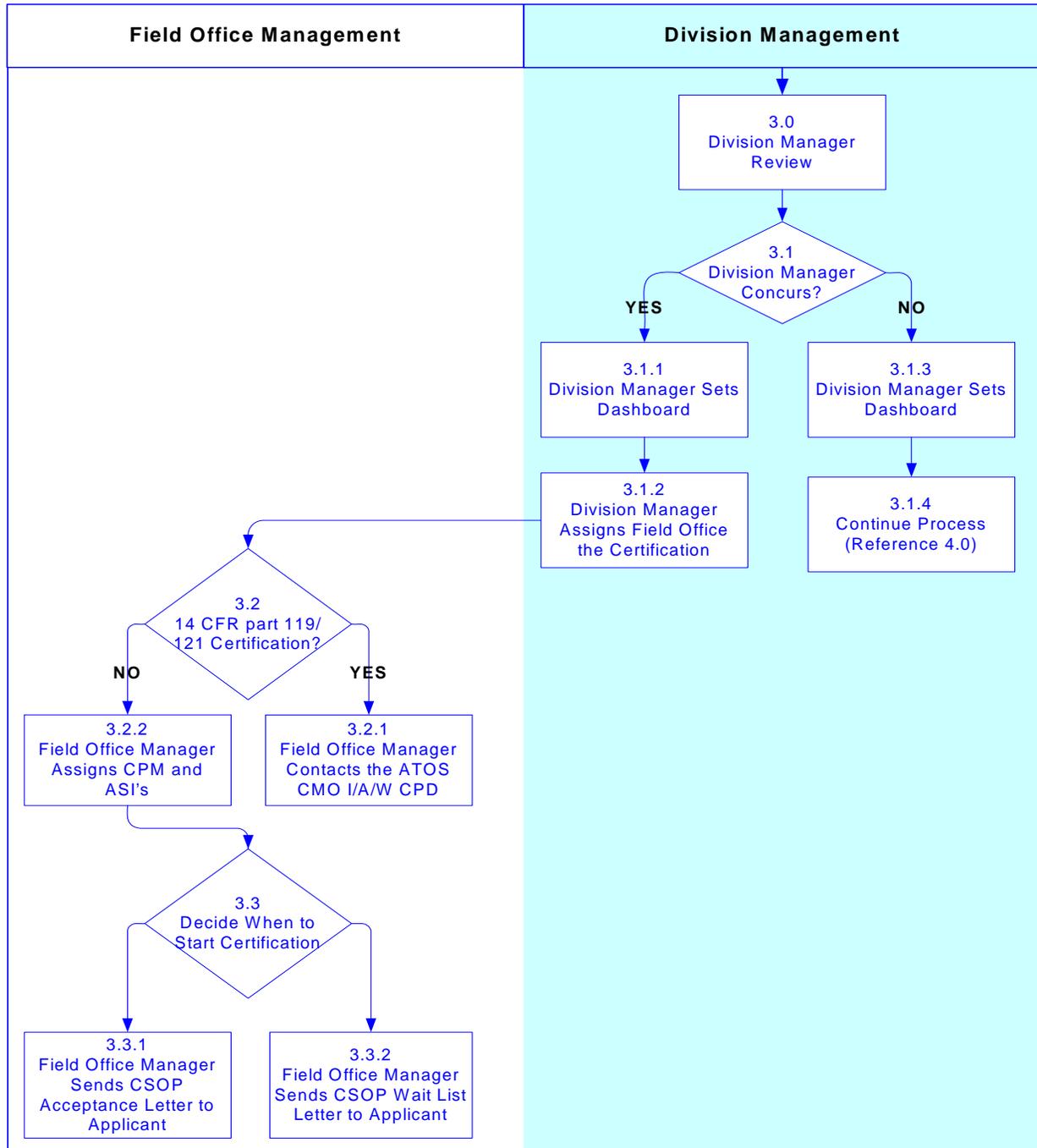


FIGURE 6 REGIONAL DIVISION DECISION TREE FOR WAIT LISTING AND/OR REASSIGNING ORIGINAL ORGANIZATIONAL CERTIFICATION ACTIVITIES

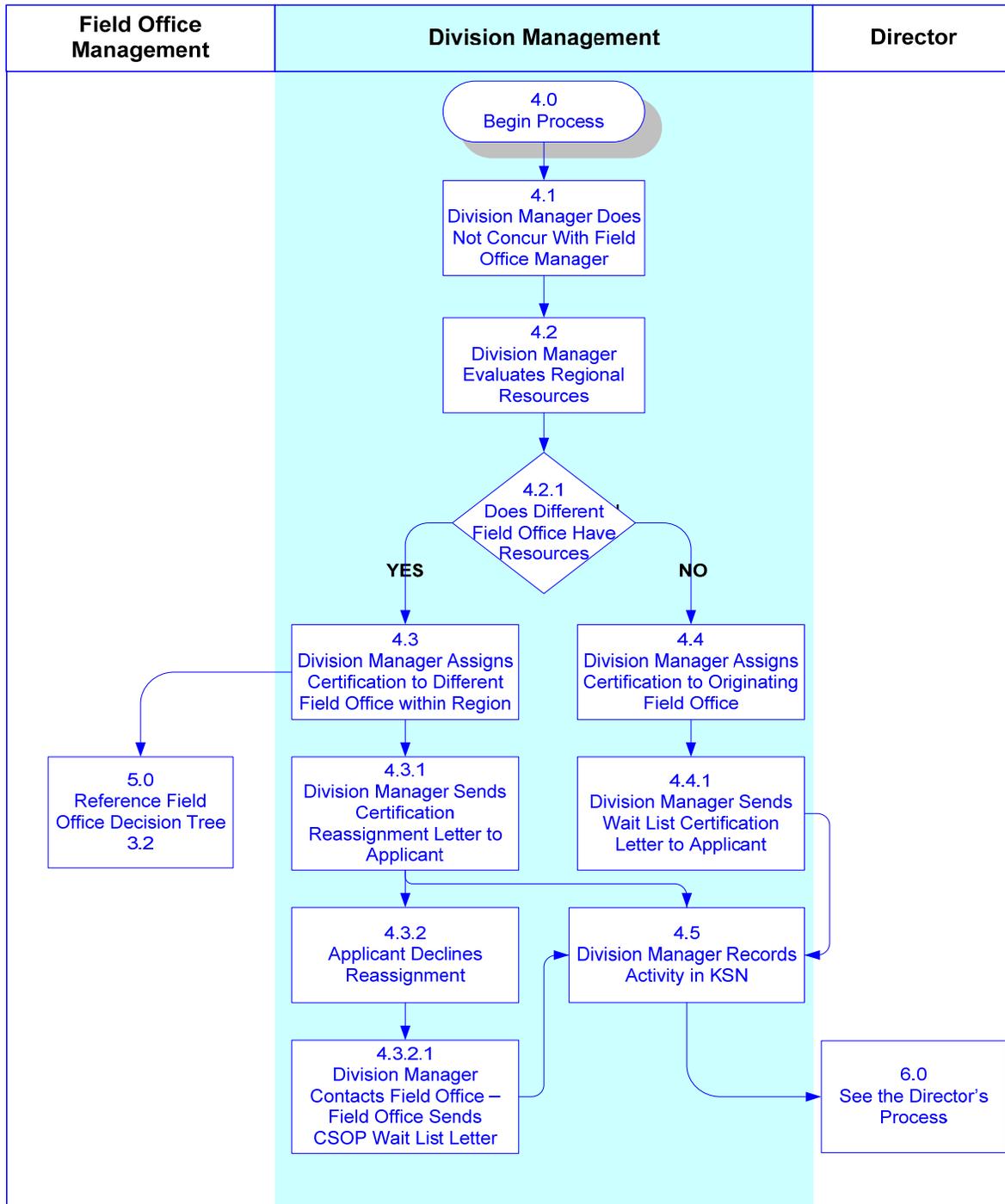
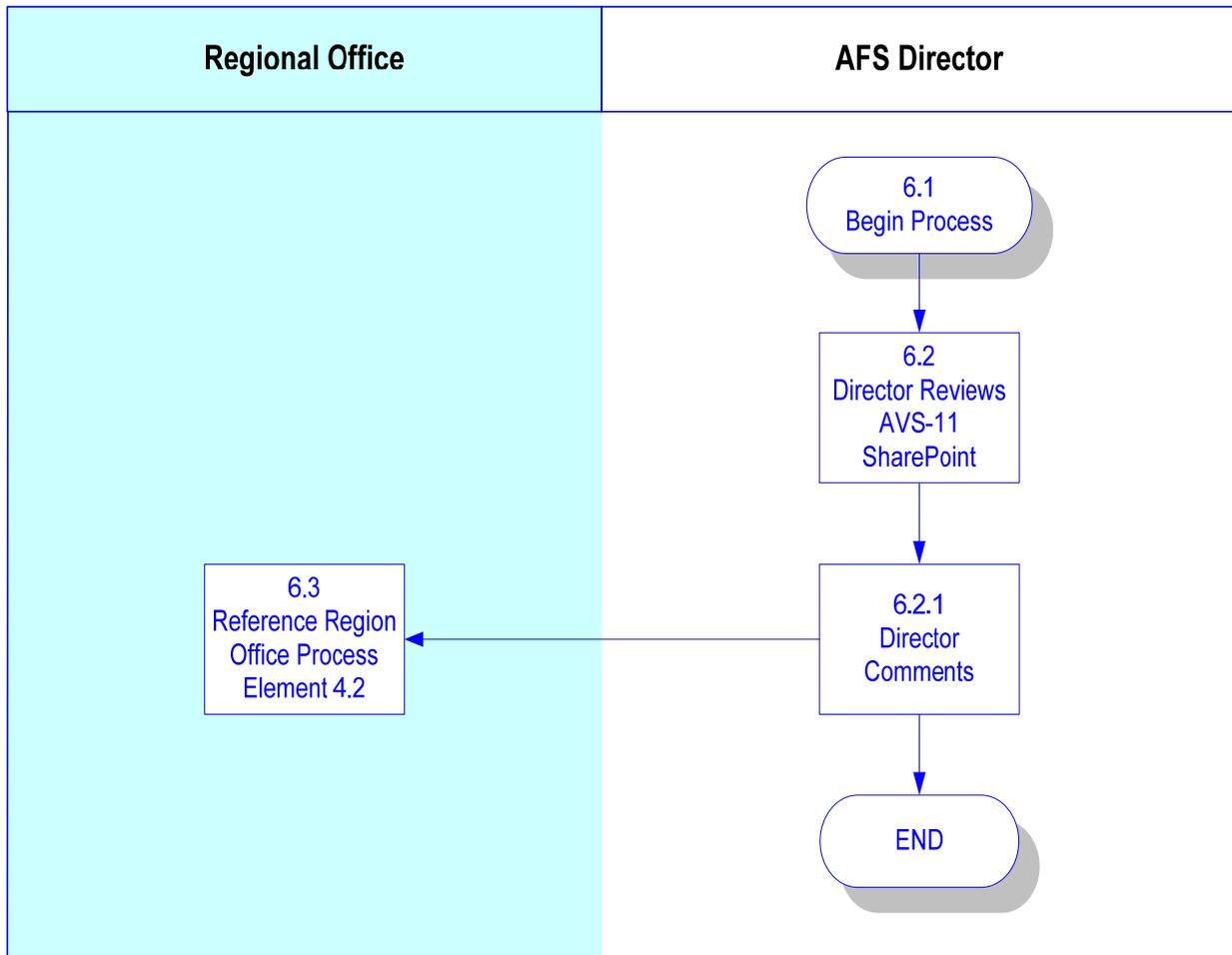


FIGURE 7 DIRECTOR'S DECISION TREE



APPENDIX 1 CERTIFICATION SERVICES OVERSIGHT PROCESS

1.0 Trigger: An Original Organizational Certification Services Oversight Process begins when the applicant delivers the PASI to an FAA field office. The applicant may deliver a PASI to an Aviation Safety Inspector (ASI) or the field office manager. In the case of an applicant seeking certification for 14 CFR part 141 Pilot Schools and/or 14 CFR Part 142 Training Centers a PASI is not required. The information about the applicant is relevant and applicable to this process.

1.1 If an ASI received the PASI, the ASI follows the guidance in the appropriate handbook and provides the PASI to the office manager.

1.2 The field office manager will send the CSOP PASI Receipt Letter to the applicant.

1.3 A member of the field office's management team will ensure that the information from the PASI is entered into the CSOP SharePoint web site located at: is:
<http://avssharepoint.faa.gov/afs/Teams/CSOP/default.aspx>.

Note: There are 2 PASI Summaries located on the CSOP SharePoint. It is important to select either the Organizational Air Operator/Agency PASI Summary or the Air Agency-Repair Station PASI Summary as applicable.

2.0 After entering data into the appropriate PASI Summary, a member of the field office management team will perform a resource analysis. The resource analysis process is located within the PASI Summary. The limitations and factors in paragraph 7 of this Notice apply.

2.1 The field office manager reviews the resource analysis and determines if the field office has the available resources to conduct the certification activity being requested by the applicant. The field office manager is responsible for making the final decision for the field level.

2.2 If the field office manager decides that the office has the available resources to conduct the certification activity, the office manager selects a Green dashboard color in the PASI Summary. ("Yes" decision.)

If the field office manager decides that the office does not have the available resources to conduct the certification activity, the office manager selects a Yellow or Red dashboard color in the PASI Summary. ("No" decision.)

Note: The selection of Yellow or Red is subjective. Use Yellow when the possibility of needed resources can be worked out before the completion of the certification. Use Red when there is no possibility obtaining the resources needed to initiate the certification during the current fiscal year.

2.3 The field office manager's decision is now available for division manager review.

3.0 The Division Manager reviews all field office PASI Summaries on a weekly basis, preferably before the Regional telecon with AFS-1.

3.1 After review of the PASI Summary data, the Division Manager either concurs or non-concurs with the field offices' resource evaluation. The division manager must enter a dashboard color that represents the overall resource evaluation and status of the ability of the field office to conduct the certification activity. (To make changes to PASI Summaries, the Division Manager selects the SharePoint "Edit Item" feature.)

3.1.1 If the division manager concurs with the field offices' resource evaluation for a "Yes" decision, then the division manager selects a Green dashboard color.

3.1.2 The Division Manager will contact the field office manager and assign the certification activity to the originating office.

3.1.3 If the division manager concurs with the field offices' resource evaluation for a "No" decision, i.e., that the office does not have the available resources to conduct the certification activity, then the division manager selects a Yellow or Red dashboard color.

Note: Use Yellow when the possibility of needed resources can be worked out before the completion of the certification. Use Red when the resources are available at a different field office within the region or if there is no possibility of obtaining the resources needed to begin the certification within the current fiscal year.

3.1.4 When the Division Manager does not concur with the field offices' resource evaluation, then refer the "Regional Division Decision Tree for Wait Listing and/or Resource Reassigning Original Organizational Certification Activity" process flow map and to process number 4.0.

3.2 If the original organizational certification being requested by the applicant is for the authority to operate as a 14 CFR part 121 Air Carrier, then:

3.2.1 The field office manager must contact the Air Transportation Oversight System (ATOS) Certificate Management Office (CMO) in accordance with the Certification Process Document (CPD).

3.2.2 If the original organizational certification being requested is other than the authority to operate as a 14 CFR part 121 Air Carrier, then the field office manager will assign a Certification Project Manager (CPM) and additional ASI's as necessary in accordance with the applicable guidance found within the inspectors handbooks.

3.3 The field office manager now decides if the certification can begin at a time that meets the office's workload capabilities and is agreeable to the applicant.

3.3.1 If the field office manager decides that the certification can begin, he/she will send the applicant a letter acknowledging the field office has the resources to accomplish the requested certification.

3.3.2 If the field office manager decides that the certification needs to be placed on a wait list and sequenced into the office's workload capabilities (i.e., the Division Manager concurred with a field evaluation of yellow or red but was unable to assign the

certification to another office in the region), then the field office manager will send the applicant the CSOP Wait List Letter.

Note: It is important to stress that should the applicant be placed on a wait list, the field office shall develop a system that can be used to establish a wait list identification number that can be communicated to the applicant. The applicant needs to know where they stand in the certification process. It is advisable to communicate with the applicant on a regularly scheduled basis, as this will minimize the applicants' desires to constantly communicate with your office. It is also advisable not to provide dates for when the certification might begin. This is due to the fact that in order for their certification to begin, generally a certification that is already in process needs to be completed. The completion of any given certification is dynamic and dependant on the applicants' ability to complete their required certification tasks.

4.0 Begin the regional division process for wait listing and/or the reassignment or certification resources.

4.1 When the Division Manager does not concur with the field office resource evaluation of green, or concurs with the field evaluation of yellow or red, then Division Manager shall follow the below process step.

4.2 The Division Manager performs a regional resource evaluation in order to determine if:

Resources in the form of dollars to support travel and/or overtime are available and can be re-obligated to the initial field office that received the PASI.

Resources are available in the form of qualified ASI(s) that reside in a different field office that will need to be issued Travel Authorization for Temporary Duty, Form DOT F 1500.3.

- Resources are available that reside in a different field office within the region. This may require the applicant to work directly with and provide some or all of their moveable assets (e.g., aircraft, management personnel, program documents and certain records) to the reassigned certification office location as needed for meetings, inspections and evaluations in support of the certification project.

4.2.1 The Division Manager determines that there are adequate resources within the region to support the requested certification activity. The Division Manager then needs to decide whether those resources reside within a different field office or by shifting resources to the initiating field office can that office conduct the certification.

4.3 If the resources are available at a different field office with the region, then the Division Manager will assign the certification to that office reference process 5.0.

4.3.1 The Division Manager will then send the applicant the CSOP Resource Reassignment Letter and record activity in the CSOP SharePoint site.

4.3.2 The applicant may choose not to work with the reassigned field office. If the applicant chooses to work with the originating field office the applicant must contact the division manager that sent the CSOP Resource Assignment Letter and notify him/her of their intent.

4.3.2.1 The division manager will then contact the field office manager and direct that manager to send the applicant the CSOP Wait List Letter and record activity in the CSOP SharePoint site.

4.4 If the resources are available within the region but not assigned to the originating field office, then the Division Manager will assign the certification to the originating field office. The Division Manager will then start the processes involved to shift resources to the originating office.

4.4.1 The Division Manager will then send the applicant the CSOP Wait List Letter.

4.5 The Division Manager records his/her activities within the PASI Summary.

5.0 The reassigned field office manager will proceed with CSOP process reference process number 3.2 of this document.

6.0 To begin the Director's process refer to the Director's Decision Tree and process number 6.1.

6.1 Begin the Director' Process

6.2 The Director of Flight Standards Service will review the PASI Summaries that are brought to his/her attention by the regional division manager.

The oversight information is designed to provide the Director with a specific view of Red and Yellow dashboard certification activities, as well as a regional view and field office view.

6.3 The regional division manager will make record of their conversation with AFS-1. The division manager will enter a record of the director's review into the remarks box and by selecting "Yes" from the "AFS-1 is notified (Yes/No)".

Note: All 14 CFR part 121 PASI's must be approved by the Director. The regional division manager will make record of their conversation with AFS-1. The division manager will enter a record of the director's review into the remarks box and by selecting either "Yes" or "No" from the "AFS-1 is notified (Yes/No)" selection.

It will be the responsibility of the division manager to change the dashboard color of the approved 121 certification to green if it was yellow or red.

APPENDIX 2 POTENTIAL AIR OPERATOR APPLICANT INFORMATION

ASI's are responsible for gathering the below information when contacted by potential applicants that are seeking authority to operate under one of the title 14's Code of Federal Regulation (CFR) parts. This appendix may be used as a means to gather the information necessary for management to complete the CSOP SharePoint Potential Air Operator Summary.

Proposed type of operation:

- Part 119/121
- Part 125
- Part 135
- Part 135 9 or Less
- Part 135 10 or More
- Domestic
- Supplemental
- Flag
- Cargo Only
- Passenger and Cargo
- Single Pilot Operator
- Single Pilot in Command
- Part 141
- Part 142

Proposed start-up date:

Name and mailing address of applicant:

Title:

Telephone number:

Email address:

Address of proposed principle base of operation:

Address of proposed principle maintenance base:

Aircraft make, model and series:

Number of passenger seats or Cargo Payload Capacity:

Additional information:

Remarks:

APPENDIX 3 POTENTIAL AIR AGENCY-REPAIR STATION APPLICANT INFORMATION

ASI's are responsible for gathering the below information when contacted by potential applicants that are seek authority to operate an air agency. This appendix may be used as a means to gather the information necessary for management to complete the CSOP SharePoint Potential Air Operator Summary.

Proposed type of operation:

- Part 145 Repair Station
- Domestic
- Foreign
- New Renewal
- Satelite
- Airframe
- Powerplant
- Propeller
- Radio
- Instrument
- Accessory
- Speicalized Service

Proposed start-up date:

Name and mailing address of applicant:

Title:

Telephone number:

Email address:

Address of Repair Station:

Address of Satellite Repair Station:

Additional Information:

Remarks: