

Completing the Pre-Application Checklist

Introduction to Pre-Application

Initial Inquiries

Initial inquiries about the certification process or requests for an application may come from individuals or organizations. These inquiries may be in writing or in meetings with personnel from the Certificate Holders District Office (CHDO).

Applicant Orientation and Preliminary Discussion

Upon initial contact, FSDO personnel should direct you to the Flight Standards Service website at <http://www.faa.gov> for applicable regulations, Advisory Circulars (AC), FAA orders, notices, bulletins; and other pertinent information. In addition, the Airline Certification website provides examples of letters, application forms, and other types of information you will need to complete the certification process. [See examples.](#)

FAA Form 8400-6, Pre-application Statement of Intent (PASI)

FSDO personnel will instruct you on how to complete the [PASI](#) and submit the completed PASI using the External Portal. After receiving the completed PASI, the FSDO will do the following:

- Upon notification of a pending PASI, the CHDO will ensure that there is sufficient information to further process the pre-application.
- When the PASI is acceptable, the CHDO manager will initiate the Certification Services Oversight Process (CSOP), found in [FAA Order 8000.92](#), to determine the availability of resources to support the certification project.

During pre-application, you will identify logistical requirements, design your safety critical processes, develop your system documentation, and apply for DOT economic authority. Items you complete in the Pre-Application process become attachments to the Formal Application Package.

Planning and executing a complete pre-application package:

- Helps you identify the complexity of the certification project.
- Prepares you for the formal application process.
- Helps the FAA identify the size and scope of the project so that the FAA can allocate resources to complete each phase of the certification process for you in a timely manner.

Plan Your Strategy

Having a successful certification strategy depends on having a realistic and comprehensive plan for completing the tasks and documentation required for certification. Reviewing the following documents will give you a good idea of the relative complexity of the certification process and help you to identify a workable plan.

- *Certification Process Document* (CPD) is described in FAA Order 8900.1 [Volume 2, Chapter 3 Section 1 - 5: \(Section 1, Section 2, Section 3, Section 4, Section 5\)](#). The CPD provides definitions and work instructions for each phase of the certification process (application, design assessment, performance assessment, administrative functions). The CPD provides a description of what is expected during the formal certification process. You will verify on the Pre-Application Checklist that persons involved in the process have reviewed the phases, gates and other activities associated with the CPD.

- *Pre-Application Checklist* (PAC) is described in FAA Order 8900.1, Figure 2-3-1A, [Volume 2, Chapter 3 Section 1](#). The PAC lists the activities and documents that you must complete for your formal application package. As you review the PAC, identify those activities which will require the most time and resources to complete. For example, allow sufficient time to design safety-critical systems and processes to meet FAA's expectations. The FAA will need access to all documents and/or links listed on the PAC in order to begin the actual certification process.

Signal Your Intent to Apply for Certification

You should complete the [Pre-application Statement of Intent](#) (PASI) form and submit it to the FAA once your business plan becomes viable. Provide enough information in Box 10 of the PASI for the FAA to assess size and scope of your proposed operation.

When the CHDO is notified of your pending PASI, they will ensure that there is sufficient information to further process the pre-application. The completed PASI will be submitted to the FAA Certificate Holders District Office (CHDO) using the SAS External Portal.

When the PASI is acceptable, the FSDO manager will initiate the Certification Services Oversight Process (CSOP) found in [FAA Order 8000.92](#), to determine the availability of resources to support the certification project. The CSOP assures that sufficient FAA resources are available to support you during the certification process.

Complete the Pre-Application Checklist (PAC)

You will not formally apply for certification until you have completed and submitted the documents listed on the PAC in FAA Order 8900.1, Figure 2-3-1A of [Volume 2, Chapter 3, Section 1](#). Therefore, you should invest the time and resources in developing the PAC items before you begin your formal application.

At least **45 days** prior to the date you wish to schedule your formal application meeting, submit the [Formal Application Letter](#) (PDF) to the Certificate Holding District Office (CHDO) and include at a minimum:

- An updated Pre-application Statement of Intent (PASI) [FAA Form 8400-6](#) (PDF) only if you have made changes to the original PASI
- Your completed proposed [Schedule of Events](#) (PDF). Indicate whether it is the original or an updated version.
- Your completed [Required Management Personnel Qualification Summary Forms and Quality Audit Forms](#).
- Your completed list of [Proposed Operations Specifications](#) (PDF).
- At least **15 days** prior to the date you wish to schedule your formal application meeting, you must submit all additional PAC items to the CHDO as listed below:
- [Lease or Proof of Ownership](#) (PDF) and Facility Lease Agreements or Proof of Ownership
- [Evidence of Economic Authority Request](#) (PDF) and Corporate Documents
- [Deviation or Exemption Requests](#) (PDF)
- [Company Manuals and Programs](#) (PDF)
- [EDA Self Audit](#) (PDF)
- [Compliance Statement](#) (PDF)
- [Initial Cadre Check Airman Training Plan](#) (PDF)
- [Outsourcing Contractual Agreement](#) (PDF)
- [Current Aircraft Equipment List](#) (PDF)
- [Aircraft Information Form](#) (PDF)
- [Aircraft Interior Configuration Document](#) (PDF) (commonly referred to as LOPA)
- [Status of Drug and Alcohol Program](#) (PDF)

- [Status of Security Program \(PDF\)](#)
- [Status of Hazardous Materials Program \(PDF\)](#)
- [Status of Environmental Assessment \(PDF\)](#)

Submit the Formal Application Letter and Required Documents

When the formal application is received, the Federal Aviation Administration (FAA) will need 15 working days prior to the formal application meeting to review the submission.

The decision whether to accept the formal application before the formal application meeting and to proceed with the certification process by scheduling a meeting with the applicant are tempered with good judgment and a reasonably flexible attitude. Results of informal meetings, reviews, and observations of the applicant's capabilities during the pre-application phase should supplement the decision-making process. Other factors, such as working relationships and understanding established during the pre-application phase, are also considered.

However, the decision must be based primarily on the results of the initial review of the formal application and attachments. The decision to proceed is predicated on receipt of all required documents in the formal application and an initial approval of the contents.