

Advisory Circular

Subject: Establish, Operate, and Maintain Nonfederal Systems **Date:** 07/02/2024 **Initiated By:** AJW-121 AC No: 171-1

PURPOSE. This advisory circular (AC) provides a high-level overview of the Federal Aviation Administration's (FAA) Non-federal Program policy for establishing, owning, operating, and maintaining a non-federal system/service in the National Airspace System (NAS). (This document will use the term "system" to represent "system/service.") It will familiarize the system owner (referred to as the "sponsor" or "you" from this point forward) with Non-federal Program policies and procedures. Additionally, it addresses your responsibilities and expected expenses. After reading this AC you will understand why it is important to work closely with the Advanced Systems Design Service (ASDS) Team's Non-federal Program.

This AC does not pertain to stand-alone lighting systems covered in the latest edition of <u>AC</u> <u>150/5345-53</u>, Airport Lighting Equipment Certification Program. The guidance in this AC does not apply to systems used specifically for Uncrewed Aircraft System Traffic Management, Urban Air Mobility, or Advanced Air Mobility Traffic Management, at this time. In addition, this order does not pertain to non-federal airport traffic control towers, or control towers in the FAA Contract Tower Program, although certain systems within these towers may be subject to oversight by the Non-federal Program.

<u>WHERE CAN YOU FIND THIS AC?</u> You can find this AC at the following link: <u>https://www.faa.gov/regulations_policies/advisory_circulars</u>.

EFFECTIVE DATE. This AC is effective immediately.

<u>REQUESTS FOR INFORMATION.</u> Submit questions pertaining to the content of this AC to the office of primary responsibility: FAA's ASDS Team at <u>non-federal-program@faa.gov</u>.

If you have suggestions for improving this AC, you may use the Advisory Circular Feedback form at the end of this AC.

<u>COMPLIANCE WITH THIS AC.</u> The contents of this document do not have the force and effect of law and do not bind the public in any way. The intent of the document is to provide information to the public regarding existing requirements under the law and/or agency policies. Following the guidance in the AC will minimize the risk to your project of undue delays and additional expenses.

<u>COMMON TERMS.</u> This AC may use the following terms throughout the document. Below is a description of these terms and to whom/what they refer. This list will simplify the reading of this AC.

<u>Non-federal Entity</u> — Organizations or individuals other than the Federal government, e.g., state and city governments, corporations, airport authorities, and private individuals.

• The Department of Defense, Commerce, Interior, etc. are part of the Federal government.

• The agencies above may procure, install, and operate systems in the NAS. They are not non-federal systems.

<u>Sponsor</u> — The non-federal entity that procures, owns, and is responsible for the safe operation of a non-federal system in the NAS.

<u>System</u> — Equipment composed of components and/or sub-components that provides navigational information, manufactured for non-federal procurement and operation in the NAS.

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1 INTRODUCTION.

The FAA has regulatory responsibilities established by <u>Title 49 of the United States Code</u> (49 USC) Subtitle VII - Aviation Programs. One of these responsibilities includes oversight of the use of non-federally procured, installed, operated, and maintained systems in the NAS. The FAA's Technical Operations, Operations Support Directorate carries out this duty. The NAS Modernization Group's ASDS Team manages the Non-federal Program, (the program).

<u>Title 14 of the Code of Federal Regulations Part 171</u> (14 CFR 171) - Non-federal Navigation Facilities describes the regulations the program uses to establish its processes and procedures.

The FAA manages an approved list of systems for non-federal use in the NAS through the Nonfederal Program. Non-federal use means that a non-federal entity, rather than the Federal Government, owns, operates, and maintains the system(s). The term Federal Government refers to any Federal agency including, but not limited to, the FAA and the Department of Defense. Examples of non-federal entities include state and local governments, business organizations, and individual citizens.

The FAA refers to these non-federally owned systems as non-federal systems. The FAA's Nonfederal Program regulates the design and lifecycle of non-federal systems. The program is also responsible for commissioning non-federal systems into NAS service. Commissioning is the final step of a process broadly referred to as establishing a non-federal system. The program is also responsible for confirming non-federally employed maintenance technicians have the appropriate training and competence to meet FAA standards.

Once the FAA's Non-federal Program commissions your non-federal system into service, you are wholly responsible for its operation and maintenance throughout the system's lifecycle. The FAA will perform regular inspections to ensure that you are complying with FAA requirements.

It is important to note that the program does not oversee all types of non-federal systems. See Paragraph 5 of this AC, Systems Regulated by the Non-federal Program for more information.

2 HOW DOES THE FAA REGULATE NON-FEDERAL SYSTEMS?

The ASDS Team's Non-federal Program coordinates the approval of systems for non-federal use in the NAS and regulates the installation, commissioning, operation, maintenance, assumption of ownership (if applicable) and decommissioning of those systems. The program ensures the systems meet FAA standards, sponsors operate them safely, and non-federally employed maintenance technicians have the right qualifications to maintain the non-federal systems, including a license (when necessary) issued by the Federal Communications Commission (FCC). The FAA accomplishes this task with a combination of commissioning and periodic ground inspections, flight inspections, and operational evaluations. The Non-federal Program does not manage flight inspections or operational evaluations, if required.

Your two main points of contact with the FAA will be your Non-federal Program Implementation Manager (PIM) and your Non-federal Inspector.

2.1 **FAA Non-federal PIM**.

The PIM is an FAA employee and your guide and advisor through the non-federal process. Their job is to ensure that you follow the policies and procedures required for establishing, owning, operating, and maintaining a non-federal system. Coordination with the PIM should begin in the early planning stages before you purchase a system to minimize the risk to your project of undue delays and additional expenses. That relationship will continue throughout the system's installation, commissioning, and service life.

2.2 FAA Non-federal Inspector.

The Inspector is an FAA employee assigned to provide oversight of your system's operation and maintenance by conducting ground inspections. Their first visit to the system will be to commission it into service. They will commission the system only after ensuring that the system's installation meets appropriate siting standards, that you have a qualified maintenance technician, and if applicable, that the system passed its flight inspection and/or operational evaluation. Once commissioned, the Inspector will schedule regular visits to meet with your technician and complete a periodic ground inspection. These visits will occur annually or semiannually, depending on the system type and operation. In accordance with 14 CFR 171, as the sponsor, it is your responsibility to ensure that your technician is present at the commissioning inspection and you, or your representative is present at future periodic inspections. 14 CFR 171 does not specify that the technician must be your representative; however, the program strongly recommends the technician's attendance because they are the only ones who have the authority to make technical changes, system adjustments, and entries in the logs. If the technician is not present, the Inspector may have to cancel the inspection. The Inspector will assess whether the system is continuing to operate in accordance with FAA standards and whether the technician is maintaining it according to approved procedures.

3 LEGAL BASIS FOR REGULATING NON-FEDERAL SYSTEMS.

49 USC Section 44709 authorizes the FAA to regulate non-federal systems. You can find the FAA regulations that apply to non-federal systems in 14 CFR 171. While 14 CFR 171 has subparts specific to certain system types, it includes language requiring system types that do not have design and operational characteristics identical to those identified to follow the same processes, see 14 CFR 171 Subpart E – General, <u>Section 171.75</u>.

14 CFR 171 includes sections pertaining to "Maintenance and operations requirements." Each section states that the sponsor "must prepare, and obtain FAA approval of, an operations and maintenance manual." The Operations and Maintenance Manual (OMM) provides detailed directives and requirements, including policies and/or procedures, that you must follow for the safe operation of your system(s). The Non-federal Program has an OMM template intended to save time and effort for you and the FAA. The program pre-populates the information collected about your system prior to sending you the template for completion. The OMM contains guidance on the following topics: Operational Requirements, Aircraft Accident Procedures, Maintenance Requirements, and Contact Information, among others. The OMM requires a signature by you and the FAA prior to commissioning your system. Pursuant to FAA Order 6700.20, Approval, Operation, and Oversight of Non-federal Systems, the FAA may request periodic renewal. If you fail to comply with the OMM, the FAA may remove your system from service temporarily or permanently.

4 SENSITIVE UNCLASSIFIED INFORMATION.

Some FAA Orders may contain Sensitive Unclassified Information (SUI). As defined in FAA Order 1600.75, Protecting Sensitive Unclassified Information, SUI is unclassified information – in any form including print, electronic, visual, or aural – that the FAA must protect from uncontrolled release to individuals outside of the Agency and indiscriminate dissemination within the Agency. SUI may include aviation security, homeland security, and protected critical infrastructure information that may qualify for withholding from the public under the Freedom of Information Act. It does not include classified information.

For maintenance technicians to safely operate and maintain your system, they may need access to certain FAA Orders that contain SUI. As a result, before the Non-federal Program can share those orders, you and your technician(s) must sign an FAA SUI Non-disclosure Agreement (NDA) and an Air Traffic Organization SUI Access and Acceptable Use Agreement (AAA).

Any time the FAA updates those orders, the Non-federal Program will require you and your technician(s) to sign new agreements. Submit all signed agreements to the following email address: <u>non-federal-tool@faa.gov</u>.

Note: If a sponsor does not want copies of the FAA Orders that contain SUI, the Non-federal Program does not need a signed NDA and AAA from the sponsor to release the documents to the technician. However, the technician who signs the agreements and receives copies must not share the documents pursuant to the agreements.

5 SYSTEMS REGULATED BY THE NON-FEDERAL PROGRAM.

The Non-federal Program has a public website that provides additional information on the program. Among the website's resources are an infographic and other documents that identify current systems the program oversees that have FAA approval for use. You can visit the website using this link: <u>www.faa.gov/go/nonfed</u>.

It is important to note that the Non-federal Program does not regulate all types of non-federal systems and another FAA office or program may regulate the systems that the program does not oversee. For example, the FAA's Office of Airport Safety & Standards is responsible for certain non-federal visual aids such as Precision Approach Pathway Indicators, Runway End Identifier Lights, and Approach Lighting Systems not associated with a landing system.

New technology and system advances may enter the aviation marketplace at any time. These new systems will require assessment by the FAA and approval for non-federal use. The Non-federal Program will not add new equipment to the approved-systems list until the equipment has FAA approval for non-federal use.

If you need assistance in determining whether your planned non-federal system falls under the purview of this AC and the Non-federal Program, please send inquiries to: <u>non-federal-program@faa.gov</u>.

6 **MODELS APPROVED FOR USE IN THE NAS.**

You may not use a system until that system receives FAA approval for non-federal use in the NAS. Although the Non-federal Program may regulate a type of system that does not mean that every manufacturer of that system type submitted their model for FAA approval. Before entering

a contract to purchase any system, check with the FAA to make sure the system is eligible. Your Non-federal PIM can provide you with the latest edition of the approved-systems list, available at this link: <u>www.faa.gov/go/nonfed</u>.

7 NON-FEDERAL SYSTEM OPERATION AND MAINTENANCE.

As the sponsor, you are legally and financially responsible for ensuring that the system is operating in accordance with FAA regulations, directives, and standards. Pursuant to 14 CFR 171, you must remove the system from service upon notification of the system malfunctioning.

This responsibility includes hiring a qualified maintenance technician to perform regularly scheduled and FAA-required maintenance. The technician will also make as-needed repairs, address emergency technical issues, and verify that the system is being operated and maintained in accordance with FAA regulations, directives, and standards.

Verification is the technician's documented statement in the system's maintenance log that attests that the system is in safe working order and that the system's parameters are operating within tolerance per the manufacturer's guidelines and the documented constraints set at the time the FAA commissioned it.

The technician you hire may be self-employed, employed by a company, or employed by you, the non-federal entity that owns the system. The FAA will issue the technician verification authority to perform maintenance on the system and notify you, the sponsor. See paragraph 9, Who May Request Verification Authority of this AC for more information.

While the technician plays a significant role in the system's upkeep, you (the sponsor) ultimately are responsible for the system and the technician's performance.

8 WHAT IS A QUALIFIED MAINTENANCE TECHNICIAN?

The FAA will issue verification authority before your technician performs maintenance, typically in the form of a letter. The verification authority letter is the FAA's confirmation that the technician has shown the special knowledge and skills needed to maintain your system, including proficiency in maintenance procedures and the use of specialized test equipment per 14 CFR 171.

The FAA will only grant verification authority if the technician(s) show they have the knowledge and skills to maintain the system by providing the following evidence:

8.1 **Theory Course.**

Documented successful completion of an FAA-approved system specific theory course that includes a final exam or a Bypass Exam (if offered by the FAA Academy). The course provides a detailed perspective of the system, its sub-systems, functional theory, operation, proper care, etc. You must provide the FAA with proof that the technician completed the course (i.e., provide a copy of the course-completion certificate).

8.2 General Radiotelephone Operator License (GROL).

Possession of an FCC-issued General Radiotelephone Operator License (GROL) if the system the technician will maintain has a radio transmitter. You must ensure the FAA receives a copy of the GROL. As of this AC's publication date, a GROL does not expire or require renewal.

8.3 FAA Performance Exam.

Successful completion of a hands-on FAA Performance Exam administered by an FAA employee with authorization to conduct exams in accordance with the latest edition of FAA Order 6700.20. Performance Exams are specific to the system type and may be specific to the manufacturer and model.

9 WHO MAY REQUEST VERIFICATION AUTHORITY?

You are responsible for requesting that the FAA grant verification authority to your qualified maintenance technician. It is important for you to know who is maintaining your system and that they have the qualifications to do so because the FAA holds you, the sponsor, responsible for any non-compliance with directives, policies, and/or procedures.

You must submit the request for verification authority to your Non-federal Inspector. The Inspector works closely with your technician, whereas the Non-federal PIM works closely with you. The Inspector will transfer your request to the FAA office that reviews and approves these requests. See Appendix C, Verification Request Guidance. The appendix provides the required information needed by the FAA to process the request in a timely manner.

10 CAN THE FAA MAINTAIN YOUR NON-FEDERAL SYSTEM?

You may ask the FAA to maintain your non-federal system under a Reimbursable Maintenance Agreement; a contract whereby you pay the FAA for maintenance services. One of many minimum requirements for eligibility is that your system is identical to an FAA asset. Regardless, the FAA is not obligated to accept your request. Congress does not provide the FAA with funding or additional personnel to maintain non-federal systems.

11 NON-COMPLIANT OPERATION AND/OR MAINTENANCE.

Non-compliance is the failure or refusal to comply with any required FAA regulation, directive, policy and/or procedure, in error or intentionally. After each periodic inspection, the Non-federal Inspector will send you an Inspection Report that documents deficiencies, if any, and includes a copy of the Ground Inspection Form. If you have any deficiencies, you will also receive a First Notice of Non-compliance Letter. This letter will reiterate the deficiencies, provide a deadline for resolution, and explain the consequences of failing to meet the deadline. You may receive follow-up correspondence depending on whether you mitigate the issue and if the FAA needs to take additional action.

11.1 Non-compliant Sponsor.

If the Non-federal Program determines that you are non-compliant, the FAA may remove your non-federal system from service. Removal may be temporary, by issuing a Notice to Air Missions (NOTAM), or permanent, by decommissioning the system.

11.2 Examples of Sponsor Non-compliance.

The following are examples of non-compliance:

- Missing two consecutive annual inspections (even if the system is out of service).
- Siting issues.
- Incomplete or missed maintenance.
- Expired FCC license.
- Improperly filed or missing facility data.
- Failing to have a qualified non-federal technician to maintain your system.

11.3 Non-compliant Maintenance Technician.

If the Non-federal Program determines that your maintenance technician is non-compliant, the FAA may revoke their verification authority. This action may be temporary or permanent and could impact the operation of your system.

11.4 **Examples of Maintenance Technician Non-compliance.**

The following are examples of non-compliance:

- Failure to keep logs and reports on-site and available for review.
- Failure to submit required documentation to the FAA.

• Failure to maintain the system in accordance with FAA regulations, directives, and standards.

• Failing to follow your OMM.

12 LICENSE TO TRANSMIT

Any non-federal systems that radiate a radio frequency signal requires an FCC Aeronautical Frequency license to transmit data. Although the FCC issues the license, you must begin the request process by working with the FAA. Your Non-federal PIM will provide guidance for submitting your request to the FAA. You will submit the request via the <u>Frequency Coordination</u> <u>Request (WebFCR) Tool</u>. If you do not coordinate your request with the FAA, the FCC will immediately disapprove your application. The FCC application requires proof of FAA coordination in the form of an airspace study number and a non-government tracking number. As of this AC's publication date, the FCC requires you to renew your license every ten years.

13 COST ASSOCIATED WITH OWNING A NON-FEDERAL SYSTEM.

Many prospective sponsors underestimate the costs of system ownership. While the FAA cannot provide you with estimates, some of the most typical expenses include the following:

- Regular, unscheduled, and emergency maintenance.
- Repairs not covered by a warranty.
- Spare parts.

- Procuring or requiring the technician to have test equipment.
- Test equipment calibration.
- Operation of monitoring equipment.
- Upkeep of system shelter/housing.
- Physical security. See Appendix D, Physical Security for more information.
- Utilities.

• Maintaining proper system siting, including but not limited to vegetation control, pest control/removal, snow removal, etc.

- Initial training of Non-federal Inspectors.
- Costs associated with development of Instrument Flight Procedures (IFP)

• Costs associated with commissioning and periodic flight inspections, as applicable. See most recent edition of FAA <u>Order 8240.32</u>, Request for Flight Inspection Services.

• Costs associated with operational evaluations, if applicable.

14 USING AIRPORT IMPROVEMENT PROGRAM (AIP) GRANTS.

The FAA has an Airport Improvement Program that provides grants to qualifying airports in the National Plan of Integrated Airport Systems (NPIAS). If your airport is in the NPIAS, you may contact your local FAA Airport District Office for additional information. The latest edition of FAA <u>Order 5100.38</u>, Airport Improvement Program Handbook, is available to the public for guidance. The Non-federal Program does not have a role in approval, issuance, or management of AIP grants.

15 FAA ASSUMPTION OF OWNERSHIP.

Assumption of Ownership is the acceptance of a non-federal system by the FAA upon request by a sponsor. Title 49 USC Section 44502(e) specifies the conditions the project must meet and the types of systems the FAA may accept. It also specifies that those systems must meet certain FAA performance standards. You can find details regarding the Assumption of Ownership process and requirements in the most recent versions of <u>AC 170-9</u>, Criteria for Assumption of Ownership of Non-federal Systems, and Order 6700.20.

16 **PRE-REQUISITES TO INSTALLATION AND COMMISSIONING.**

Your Non-federal PIM will provide you with detailed instructions regarding several tasks you must complete before installing a non-federal system. Major milestones include the following:

- Siting Study,
- Obstruction Evaluation,
- Obtaining FCC Licensing, if required,
- Requesting IFPs, if needed,

- Participating in a local Safety Risk Management assessment, if necessary,
- Agreeing to a local Letter of Agreement, if required, and
- Submitting Notice of Construction on airport property.

Once all required tasks are complete, the FAA will send you a Project Approval Letter. It is official notification that you may begin your proposed project. Starting before receiving this letter may result in additional project costs related to rework and extending construction contracts.

16.1 Safety Risk Management Assessment.

Depending on the system type, it may be necessary to conduct a local Safety Risk Management (SRM) panel. The purpose of an SRM panel is to determine if the addition of the system introduces any risk to the NAS, the likelihood and severity of those risks (if any), and how to mitigate them. The SRM requires completion prior to signing the OMM and may result in a requirement to develop a Letter of Agreement (LOA).

16.2 Letter of Agreement.

If an LOA is necessary, the FAA will develop the agreement. The LOA will clarify the roles and responsibilities of local individuals. The agreement will detail any additional local processes concerning system monitoring, actions to take when encountering alerts and/or alarms, as well as other tasks to address specific operational and/or procedural needs requiring cooperation and concurrence. If an LOA is necessary, the FAA Air Traffic Organization's Air Traffic Services office and the sponsor will sign the LOA. The LOA does not supersede the OMM.

17 SYSTEM MODIFICATION, UPGRADE, REPLACEMENT, OR RELOCATION.

Do not make any changes to your system (hardware or software) without FAA approval; start by contacting your Non-federal PIM (it is acceptable to copy your FAA Non-federal Inspector for situational awareness). When you modify, upgrade, replace, or relocate your system, you are changing its previously approved/commissioned configuration. Any of these changes may conflict with FAA hardware, software, performance, and/or siting requirements. Any modification to a non-federal system requires FAA approval before the system may operate in the NAS. Additionally, a change may require a new commissioning inspection to document new parameters.

If the FAA issues a notice for mandatory modifications to FAA-owned systems, the Non-federal Program strongly encourages, but does not require, that you make those modifications to your similar system.

However, there are exceptions. Certain FAA notices for mandatory modifications will require that you modify your non-federal system, see the following:

• For non-federal systems that are identical to the affected FAA system, you must make the change(s) if the modification impacts safety of flight, as determined by the FAA.

• For non-federal systems that are not identical to the affected FAA system, you must make the change(s) if the modification fixes a potential or realized safety issue.

• If you use an AIP grant to purchase your system, you must comply with the AIP Program's rules for modifications.

Regardless of whether the changes are voluntary or mandatory, you will have to cover all associated costs.

18 CHANGES TO FAA STANDARDS.

Non-federal systems must continue to meet the standards that existed at the time of their commissioning. If you modify your system, the modification must meet the new standards at the time of the change.

Your system may continue to operate in the NAS if you can:

• Operate the system within its commissioned tolerances, without unapproved modifications,

- Maintain the system in accordance with the OMM, and
- Operate the system safely.

The FAA will require you to decommission or replace the system under the following scenarios:

- If you can no longer maintain the system, or
- If you can no longer operate the system in the NAS safely.

19 DECOMMISSIONING A NON-FEDERAL SYSTEM.

If you decide you no longer want to operate your non-federal system, you must first contact your Non-federal PIM for assistance with the FAA's decommissioning process before removing the system from service (it is acceptable to copy your FAA Non-federal Inspector for situational awareness). 14 CFR 171 states that you must provide notice to the FAA and receive approval before any suspension of service (even one that is temporary).

If you purchased the system with an AIP grant, there may be obligations attached to the acceptance of those funds (i.e., grant assurances) that could prevent you from decommissioning the system and/or require you to refund the Federal Government

20 APPENDICES.

Appendices to follow.

Appendix A. Acronyms

A.1 ACRONYMS.

This is a summary of the acronyms used throughout this AC.

- AAA Access and Acceptable Use Agreement
- AC Advisory Circular
- AIP Airport Improvement Program
- ALS Approach Lighting System
- ASDS Advanced Systems Design Service
- CFR Code of Federal Regulations
- FAA Federal Aviation Administration
- FCC Federal Communications Commission
- FCR Federal Coordination Request Tool
- GROL General Radiotelephone Operator's License
- IFP Instrument Flight Procedures
- ILS Instrument Landing System
- LOA Letter of Agreement
- NAS National Airspace System
- NDA Non-disclosure Agreement
- NPIAS National Plan of Integrated Airport Systems
- NOTAM Notice to Air Missions
- OMM Operations and Maintenance Manual
- PAPI Precision Approach Path Indicator
- PIM Program Implementation Manager
- REIL Runway End Identifier Lights
- SRM Safety Risk Management
- SUI Sensitive Unclassified Information
- USC United States Code
- VHF Very High Frequency

Appendix B. Laws, Regulations, and Directives

B.1 LAWS, REGULATIONS AND DIRECTIVES.

The following is a list of documents including directives you should familiarize yourself with if you plan to procure, install, and operate a non-federal system in the NAS. This list is not all-inclusive.

B.1.1 Laws

• USC Title 49 Transportation, Subtitle VII Aviation Programs

B.1.2 Regulations

• CFR Title 14 Aeronautics and Space, Chapter I Federal Aviation Administration, Department of Transportation, Subchapter J, Part 171 Non-federal Navigation Facilities

• CFR Title 49 Transportation, Chapter XII Transportation Security Administration, Department of Homeland Security, Subchapter B, Part 1520 Protection of Sensitive Security Information

B.1.3 Directives

B.1.3.1 Advisory Circulars

• AC 20-138 Airworthiness Approval of Positioning and Navigation Systems

• AC 150/5220-16 Automated Weather Observing Systems (AWOS) for Non-Federal Applications

- AC 150/5300-13 Airport Design
- AC 150/5340-26 Maintenance of Airport Visual Aid Facilities
- AC 150/5340-30 Design and Installation Details for Airport Visual Aids
- AC 150/5345-53 Airport Lighting Equipment Certification Program
- AC 170-9 Criteria for Assumption of Ownership of Non-federal Systems

B.1.3.2 Orders

- Order 5100.38 Airport Improvement Program Handbook
- Order 6700.20 Approval, Operation, and Oversight of Non-federal Systems
- Order 8240.32 Request for Flight Inspection Services
- Order 8260.43 Flight Procedures Management Program
- Various Siting Orders on specific System Types (contact your PIM)
- Various Maintenance Orders on specific System Types (contact your PIM)

Appendix C. Verification Request Guidance

C.1 **INFORMATION NEEDED**

This appendix outlines the most important information the FAA needs to process a request for verification authority in a timely manner. If any of the following information is missing, the FAA may return the request to you requiring a new submission.

All letters **should** be on company letterhead, signed (manually or digitally), and dated. Include your full name, title, and business contact information: phone number, address, and email.

C.1.1 System:

- System Type (e.g., AWOS, GBAS, LOC, GS)
- FAA Identifier (the three- or four-character identifier associated with the system)
- Manufacturer (the company who produces the system)
- Model (the correct model identifier)
- Configuration (e.g., AWOS: 3PT, GBAS: w/Space-Based Augmentation System

Antenna, LOC: single freq, GS: capture effect)

Note: See the approved NavAids and/or AWOS lists on the public website for manufacturers and models. <u>Non-Federal Program Resources (faa.gov)</u>

Technician(s):

- Name of technician (first and last name)
- Contact information: business phone number, address, and email
- Name of the back-up technician (first and last name)
- Contact information: business phone number, address, and email

Notes:

- Having a back-up technician is optional.
- If you provide more than one technician, indicate which is the "primary" point of contact.
 - Please limit the number of technicians per request to no more than five, if possible.

Appendix D. Physical Security

D.1 **PHYSICAL SECURITY.**

All non-federal systems require a level of physical security. The FAA will determine the level of physical security required during the assessment and approval of the system.

The following paragraphs outline the physical security requirements you may need to meet to protect your non-federal system. Requirements listed are for the highest possible security level designation. The FAA strongly advises that any lease agreements contain the relevant requirements.

The FAA's Office of Security and Hazardous Material will advise if a site visit to your specific location is necessary to validate the security level.

The FAA strongly recommends that you implement the appropriate physical security for the assessed security level.

D.1.1 Site Security

- Provide security lighting at building entrances and exits.
- Place large receptacles away from building entrances or other potentially vulnerable locations.
 - Minimize areas of concealment in and around facilities.

D.1.2 Structure Security

• Ensure windows and window frames are of substantial construction to deter burglary.

• Lock all windows lower than 16 feet off the ground, or otherwise accessible, when unattended.

• Establish procedures for emergency shutdown of the facility's heating, ventilation, and air conditioning system.

D.1.3 Facility Entrance Security

• Post "Restricted Area" (Restricted Area – Authorized Personnel Only) signs.

• Install an FAA Standard or Builders Hardware Manufacturers Association grade 1 locking system on exterior doors and doors protecting critical operations areas.

- Equip exterior doors and doors protecting critical operations areas with the following:
 - Latch guards or astragals,
 - Heavy-duty builder's grade hardware, and
 - Interior mounted hinges or modified exterior mounted hinges to prevent removal.

• Ensure doors are of solid, close, or tight grained wood, employ sheet metal/metal clad that is 14-guage or thicker (fire rated steel doors normally meet this requirement), or, if glass, tempered or American National Standards Institute rated burglary resistant glass or have an equivalent film or laminate applied (glass embedded with wire mesh is also acceptable).

• Ensure door frames are of substantial construction compatible with the door construction.

• Minimize the number of doors used for ingress or egress.

• Keep doors locked when not in use. A cipher lock (mechanical push-button keypads or hard coded electronic keypads) is acceptable when personnel are present.

- Restrict access to authorized personnel only.
- Unless otherwise prohibited, equip doors designated for emergency egress with automatic door closing devices, exiting hardware (e.g., crash bar), and local annunciation when opened.

• Provide the ability to assess access decisions for visitors by either a peephole in the door or through an entry control video system.

• Escort visitors while in the facility and keep a visitors' log.

• Post vehicle towing signs in the parking lot and enforce to preclude unauthorized parking.

- Appoint a Key Control Officer who will have the following responsibilities:
 - Maintain a record of the total number of keys and cores.
 - Conduct an annual inventory of the total keys assigned, on hand, and issued.
 - Retrieve keys from departing personnel.
 - Keep unissued keys in a locked container.

• Change cipher lock codes and/or any combinations/codes upon departure of personnel or compromise.

• Develop procedures for issuing keys or codes to utility companies.

D.1.4 Interior Security

• Restrict access to any critical operations area to only those personnel required to perform official duties.

- Implement loss prevention measures to protect high-value equipment.
- Protect SUI pursuant to signed AAA and NDA.
- Implement additional restricted/critical operations area door requirements.

D.1.5 Security Operations and Administration

- The site's security plan should include:
 - Visitor control procedures.
 - Shipping, receiving, and mail handling procedures.
 - Procedures for securing high value equipment.
 - Security incident reporting requirements.

- A First Responder Book.
- An Information Safeguards Plan.
- An Occupant Emergency Plan that includes:
 - Workplace violence and active shooter plans.
 - Evacuation/relocation and shelter-in-place procedures.
 - Test the Occupant Emergency Plan annually, including facility evacuation.

• Conduct an annual exercise to evaluate preparedness for either an active shooter, workplace violence, or bomb threat incident on a three-year rotating basis. Local response agencies should be invited to participate in the exercise.

• Brief personnel annually on their responsibilities with respect to the security

plan.

Advisory Circular Feedback

If you find an error in this AC, have recommendations for improving it, or have suggestions for new items/subjects to be added, you may let us know by emailing this form to <u>non-federal-program@faa.gov</u>.

Subject: Establish, Operate, and Maintain Non-federal Systems /171-1

Date: Click here to enter text.

Please check all appropriate line items:

- An error (procedural or typographical) has been noted in paragraph Click here to enter text. on page Click here to enter text.
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Submitted by: _____

Date: