

# NOTICE

U.S. DEPARTMENT OF TRANSPORTATION  
FEDERAL AVIATION ADMINISTRATION

N 8900.687

National Policy

Effective Date:  
1/19/24

Cancellation Date:  
1/19/25

**SUBJ:** Determine Applicant Readiness for Certification

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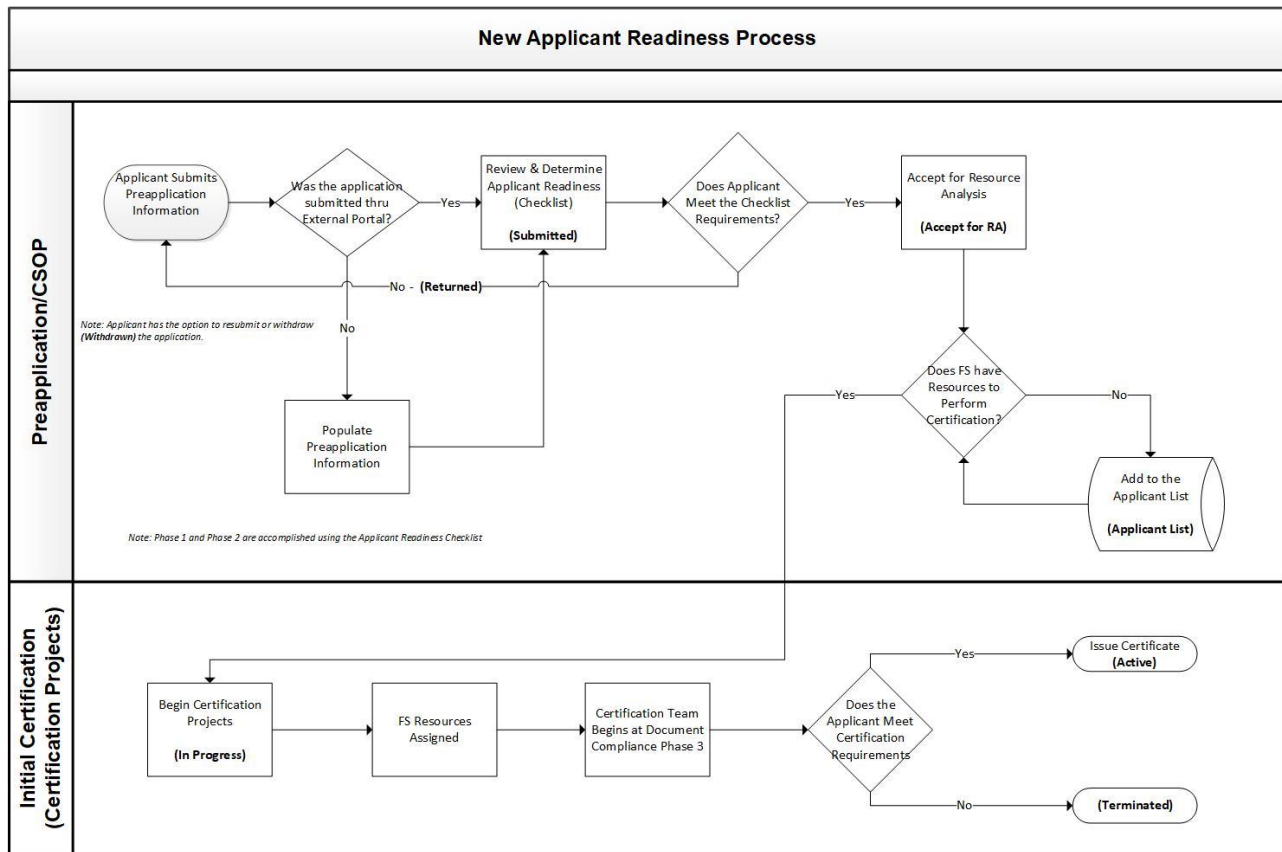
- 1. Purpose of This Notice.** The purpose of this notice is to provide information and assist Office Managers (OM), Front Line Managers (FLM), or office points of contact (POC) who are working with applicants applying for an air carrier, air operator, or air agency certificate, or the issuance of management specifications (MSpec) in accordance with Title 14 of the Code of Federal Regulations (14 CFR) parts 91 subpart K (part 91K), 125, 133, 135, 137, 141, 142, 145, and 147. The scope and intent of this notice is to supplement Federal Aviation Administration (FAA) Order 8900.1, Volume 2, Air Operator and Air Agency Certification and Application Process, and Volume 10, Chapter 12, Certification Services Oversight Process.
- 2. Audience.** The primary audience for this notice is Flight Standards (FS) Safety Assurance OMs, FLMs, or POCs with Certification Services Oversight Process (CSOP) responsibilities. The secondary audience includes the Safety Standards and Foundational Business offices.
- 3. Where You Can Find This Notice.** You can find this notice on the MyFAA employee website at [https://employees.faa.gov/tools\\_resources/orders\\_notices](https://employees.faa.gov/tools_resources/orders_notices) and the Dynamic Regulatory System (DRS) at <https://drs.faa.gov>. Operators and the public can find this notice on the FAA's website at [https://www.faa.gov/regulations\\_policies/orders\\_notices](https://www.faa.gov/regulations_policies/orders_notices) and DRS.
- 4. Background.** FS offices responsible for certification use CSOP to assist in the management of certification applications. CSOP provides guidance to FS offices in accepting, sequencing, tracking, and reporting new certification applicant status. FS has seen an increased trend with applicants who are not ready to begin the initial certification process and, as a result, has increased the certification processing time and overall applicant wait time. To help reduce wait time and streamline the approach, FS has initiated a new process to determine applicant readiness for certification prior to being added to the CSOP Applicant List.
- 5. Process.** The Applicant Readiness Checklist for certification was developed as part of the process to streamline Phase 1, Preapplication, and Phase 2, Formal Application, and to ensure applicants enter the initial certification process at Phase 3, Document Compliance. It assists the OMs, FLMs, or POCs to determine an applicant's readiness and the acceptance process for an application/applicant to be added to the CSOP Applicant List.

**a. Initial Inquiry.** The applicant is responsible to prepare themselves for certification. If an applicant is not prepared for the certification application process, the office should direct them to

the certification resources at <https://faa.gov/> or DRS, or they should consult with other external sources. Some of these sources may include, but are not limited to, industry organizations or associations such as the Aeronautical Repair Station Association (ARSA), the National Business Aviation Association (NBAA), the National Air Transportation Association (NATA), the National Air Carrier Association (NACA), etc. FS personnel should not be the sole providers of education to applicants on what is needed for a successful initial certification process. Furthermore, FS offices should utilize Risk-Based Decision Making (RBDM) in allocating inspector resources during this stage.

**b. Determine Applicant Readiness Process.** Before an applicant can be added to the CSOP Applicant List, the office must determine if the applicant has submitted items and is ready to begin the initial certification process by using the applicable Applicant Readiness Checklist found in Appendix A.

**Figure 1. New Applicant Readiness Process**



(1) If the preapplication information is received through email, then office personnel will populate the information in the Preapplications tab of the Safety Assurance System (SAS), attach the checklist items, and submit the application (Submitted). If the preapplication information is received through the external portal, it will be received in “Submitted” status (Submitted).

(2) Office personnel will review the preapplication information and determine applicant readiness based on the applicable checklist in Appendix A.

**Note:** Phase 1 and 2 of the certification process are completed with this step.

(3) If the preapplication information does not meet the requirements of the Applicant Readiness Checklist, then list the requirements the applicant did not meet, document the number of returns (e.g., first return, second return) in the Remarks section and select “Return” (Returned). This data will provide a historical reference based on the applicant’s readiness and the number of attempts to meet the requirements of the checklist. Additionally, if the preapplication information was submitted through email and does not meet the requirements of the Applicant Readiness Checklist, then list the requirements the applicant did not meet in the checklist and email this information to the applicant.

**Note:** The applicant may correct and resubmit or withdraw their application. Applications in “Returned” status can be edited, resubmitted, or withdrawn by external portal users or office personnel.

(4) If the applicant has met all requirements, accept the application (Accept for RA), perform certification resource analysis, and add to the Applicant List to await FS resources (Applicant List). This data shows the applicant has met the requirements of the checklist and is ready to begin certification.

**Note:** The certification process begins with Phase 3.

**6. Office Actions for Existing Applicants.** Existing applicants in SAS can be in the following statuses: Applicant List, Accept for RA, Submitted.

**a.** For applications submitted prior to October 1, 2022, each office will contact and provide the Applicant Readiness Checklist to applicants associated to their office within 30 days of the publication of this notice. For all other existing applicants, each office will contact and provide the Applicant Readiness Checklist to applicants associated to their office within 90 days of the publication of this notice. Applicants will have 30 days from notification to submit items on the checklist and/or inform the office of their intent to remain on or continue to the Applicant List. The FS offices may have discretion on this timeframe based upon the applicant’s responsiveness.

(1) For applicants on the Applicant List, update the last official notification date, enter any pertinent information in the Applicant List Comments section, and attach correspondence on the Preapplication Information/CSOP Applicant List page.

(2) For applicants in Accept for RA status, enter any pertinent information in the Comments section and attach correspondence on the Preapplication Information/CSOP Resource Analysis page.

(3) For applicants in Submitted status, follow subparagraph 5b(3).

**b.** For applicants that have submitted checklist items and who intend to remain on or continue to the Applicant List, office personnel will update the last official notification date, enter detailed comments regarding the applicant’s readiness, and attach the Applicant Readiness Checklist and all submitted documents on the Preapplication Information/CSOP Applicant List page.

c. If, after 30 days from notification, the applicant has not responded or submitted checklist items, terminate them from applicable areas within SAS, such as the Applicant List. Ensure detailed justification comments are entered for all terminated applications.

**7. Terminated Applicants.** Terminated applicants may resubmit an application for certification and will be required to go through this new process to be placed on the Applicant List. Their original place on the Applicant List will be forfeited and readjusted based on the new date of acceptance. Additionally, applicants that have been terminated from previous certification attempts are required to provide additional information to show they have corrected previously identified deficiencies.

**Note:** During initial certification, members of the certification team and FS personnel should encourage the applicants to be prepared. Refer applicants to existing agency policy, guidance, and regulations pertaining to certification (e.g., regulations that specify required contents of a manual). If an applicant is not progressing through the certification process in a timely manner, FS personnel may choose to terminate the certification.

**8. Disposition.** Some of the information in this notice will be incorporated into Order 8900.1, Volume 10, Safety Assurance System Policy and Procedures, and other applicable policy before this notice expires. Direct questions or comments concerning the information in this notice to the Safety Analysis and Promotion Division (AFS-900) at 9-AVS-AFS900-Directives@faa.gov.



Robert Ruiz  
Deputy Executive Director, Flight Standards Service

**Appendix A. Applicant Readiness Checklist****Table A-1. Part 91 Subpart K (Part 91K) Fractional Ownership**

<b>Item</b>	<b>Received/ Submitted (Y, N, N/A)</b>	<b>Verified by Initials/Date</b>	<b>Reference/Remarks</b>
Statement of Intent			Volume 2, Chapter 5, Section 2
Proposed Schedule of Events (SOE)			The SOE must include a timeline based on calendar days (e.g., 30 days) as opposed to actual dates for the acquisition of facilities, aircraft leases, and equipment after initial certification begins.
Fractional ownership program or business plan is complete			Volume 2, Chapter 5, Section 2
Management specifications (MSpec) requested			Volume 2, Chapter 5, Section 2; Volume 3, Chapter 18, Section 2 Part 91, § 91.1015
Signed acknowledgement of operational control responsibilities			§ 91.1013 included in the program management services contract
Program Operating Manual			§ 91.1025
Internal Safety Reporting and Incident/Accident Response Procedures			§ 91.1021
Cockpit Checklist (Normal, Abnormal, Emergency)			§ 91.1033
Passenger Briefing Cards			§ 91.1035
Hazardous Materials (HAZMAT) Recognition Program			§ 91.1085
Pilot Safety Background Checks and Procedures			§ 91.1051

Drug and Alcohol Misuse Education Program			§ 91.1047
List of owners and associated aircraft			§ 91.1027
Destination Airport Analysis Program (DAAP)			§ 91.1037
Proving and/or Validation Test Plan, if applicable			§ 91.1041
Continuous Airworthiness Maintenance Program (CAMP), if required			§ 91.1411

**Table A-2. Part 125 Operators**

<b>Item</b>	<b>Received/ Submitted (Y, N, N/A)</b>	<b>Verified by Initials/Date</b>	<b>Reference/Remarks</b>
FAA Form 8400-6, Preapplication Statement of Intent			Part 125, § 125.21
Management Personnel Qualifications			§ 125.25
Formal Application Letter			
Initial Compliance Statement			
Policy and Procedures Manual (PPM)			§ 125.71
List of requested operations specifications (OpSpec)			
Leases, agreements, contracts, as appropriate, for any required facility, service, aircraft, and equipment			If documentation is unavailable, the intentions should be annotated on the Schedule of Events (SOE).
Deviation requests or authorities granted			§ 125.3
Proposed SOE			The SOE must include a timeline based on calendar days (e.g., 30 days) as opposed to actual dates for the acquisition of facilities, aircraft leases, and equipment after initial certification begins.
Hazardous Materials (HAZMAT) Procedures and Instructions			§ 125.73
Weight and Balance (W&B) procedures			FAA-H-8083-1, Aircraft Weight and Balance Handbook

**Table A-3. Part 133 Rotorcraft External-Load Operations**

Item	Received/ Submitted (Y, N, N/A)	Verified by Initials/Date	Reference/Remarks
FAA Form 8710-4, Rotorcraft External-Load Operator Certificate Application			
Does the Applicant have available the services of at least one person that holds a Commercial or Airline Transport Pilot (ATP) Certificate with rating appropriate for the rotorcraft used?			Part 133, § 133.19
Instrument flight rules (IFR) If applicable, does the applicant have documentation that pilot(s) meet instrument qualifications and currency?			
Letter of Nomination for Designation of Chief Pilot			§ 133.21 May be the applicant
Letter or lease agreement for the use of at least one rotorcraft			§ 133.19
Copy of proposed Rotorcraft-Load Combination Flight Manual (RLCFM)			§ 133.47
If applicable, Class D Training Program, including initial and recurrent			



**Table A-4. Part 135 Operators**

Item	Received/ Submitted (Y, N, N/A)	Verified by Initials/Date	Reference/Remarks
<b>Part 135 - Single Pilot or Single Pilot in Command (PIC) (as Applicable)</b>			
FAA Form 8400-6, Preapplication Statement of Intent			
Compliance Statement: sized and scoped for intended operations			Volume 2, Chapter 4, Section 1
List of proposed operations specifications (OpSpec) with procedures, if applicable			FAA Form 8400-6, Section 1E, No. 10
Category and Class of Aircraft to be used (type not necessary) representative of aircraft to be used in proposed certification			FAA Form 8400-6, Section 1D, No. 8 i.e., Single Engine, Multi Engine, Turboprop, Jet, above 12,500, visual flight rules (VFR) only, Rotorcraft
Intent of will or will not carry of hazardous materials (HAZMAT)			FAA Form 8400-6, Section 1E, No. 10
HAZMAT Training Manual			Part 135, § 135.23(p)
Flight Locating Procedures			§ 135.79
Ground Deicing Procedures			
Formal Application Letter			Volume 2, Chapter 4, Section 1
Proposed Schedule of Events (SOE)			The SOE must include a timeline based on calendar days (e.g., 30 days) as opposed to actual dates for the acquisition of facilities, aircraft leases, and equipment after initial certification begins.

Named Pilot Resume			Volume 2, Chapter 4, Section 6
Copy of Pilot and Medical Certificate(s)			
Corporation Papers: legal business name			
Sample Aircraft Discrepancy Log			
Sample Pilot Record			
Sample Flight and Duty Log			
<b>Part 135 – 9 or Less Basic or Full (In Addition to Single Pilot or Single PIC)</b>			
Deviation or Exemption Requests, if required			
General Operations Manual			
Training Manual			
Management Resumes: <ul style="list-style-type: none"> <li>• Director of Operations</li> <li>• Director of Maintenance</li> <li>• Chief Pilot</li> </ul>			
Copy of Pilot and Medical Certificates for Director of Operations and Chief Pilot			
Approved Aircraft Inspection Program (AAIP), if required			
<b>Part 135 – 10 or More (In Addition to Single Pilot or Single PIC and 9 or Less Basic or Full)</b>			
Continuous Airworthiness Maintenance Program (CAMP)			
General Maintenance Manual (GMM)			§ 135.427

**Table A-5. Part 137 Agricultural Aircraft Operations (Excluding Unmanned Aircraft System (UAS))**

Item	Received/ Submitted (Y, N, N/A)	Verified by Initials/Date	Reference/Remarks
<b>Private or Commercial</b>			
Letter of Intent (LOI)			Volume 2, Chapter 8, Section 1
FAA Form 8710-3, Agricultural Aircraft Operator Certificate Application			Volume 2, Chapter 8, Section 1
Private Applicant: Private, Commercial or Airline Transport Pilot (ATP) Certificate.  Commercial Applicant: services of person that holds a commercial or ATP certificate rated for aircraft to be used			Part 137, § 137.19
Proof of availability of at least one aircraft properly certificated, airworthy and equipped for operation			§ 137.19
Proof of Applicant's knowledge and skills or have services of a Chief Supervisor with knowledge and skills for aircraft used			§ 137.19
Commercial Only: recordkeeping system/sample form			§ 137.71

**Table A-6. Part 141 Pilot Schools**

<b>Item</b>	<b>Received/ Submitted (Y, N, N/A)</b>	<b>Verified by Initials/Date</b>	<b>Reference/Remarks</b>
Letter of Intent (LOI)			Volume 2, Chapter 9, Section 1
Safety Practices and Procedures (manuals)			Part 141, § 141.53
FAA Form 8420-8, Application for Pilot School Certification			§ 141.13
Training Course Outlines (TCO)/Syllabi			§ 141.53
Resume for Chief Instructor			§ 141.35
Resume for Assistant Chief Instructor (optional)			§ 141.36

**Table A-7. Part 142 Training Centers**

Item	Received/ Submitted (Y, N, N/A)	Verified by Initials/Date	Reference/Remarks
Letter of application with corporate/business name (including doing business as (DBA) name), mailing address, telephone number, and email address  Signature(s) per Volume 2, Chapter 10, Section 1			Volume 2, Chapter 10, Section 1
Proposed Schedule of Events (SOE) to include the Training and Simulation Group (AFS-280) evaluation			The SOE must include a timeline based on calendar days (e.g., 30 days) as opposed to actual dates for the acquisition of facilities, aircraft leases, and equipment after initial certification begins.
Proposed training curriculum/course			Volume 3, Chapter 54, Section 6 Part 142, § 142.37/142.39
Location of the training center and any proposed satellite centers			Volume 3, Chapter 54, Section 6 § 142.15/142.17
Training records			Volume 3, Chapter 54, Section 6 § 142.73
Proposed instructor and evaluator training program			Including curriculum, courseware, procedures, and any other supporting documentation
Proposed evaluation authorization(s)			
Proposed core and specialty training curriculums			Including associated syllabi, including courseware, procedures, checklists, and any other supporting documentation for the training of students, instructors, and evaluators
Company policy manual(s)			
Indicate whether company employs or proposes to employ any person described in § 142.11I(2)(i), (ii), or (iii)			

Description of a recordkeeping system			
If intent is to provide training for a certificate or rating in fewer than the minimum hours prescribed in 14 CFR part 61, a method of demonstrating qualification and ability to provide training			
Description of Quality Control (QC) program			
Proposed Training agreements			
Deviation and waiver requests, if applicable			
Compliance statement			
A copy of a purchase contract or adequate lease of flight training equipment that is available for exclusive use, for adequate periods of time  *Must be able to show this within 45 days of certification process start			Volume 3, Chapter 54, Section 6 § 142.59  Certification of a training center under 14 CFR part 142 requires the use of at least one full flight simulator (FFS) or Level 6 or 7 flight training device (FTD). An application that proposes to conduct training, testing, and checking using aircraft only will not be accepted.
Description of the applicant's training facilities, equipment, and qualifications of personnel to be used  *Must be able to show this within 45 days of certification process start			
Management qualifications stated in specific terms  *Must be able to show this within 45 days of certification start			

**Table A-8. Part 145 Repair Stations (Domestic Only)**

Item	Received/ Submitted (Y, N, N/A)	Verified by Initials/Date	Reference/Remarks
FAA Form 8400-6, Preapplication Statement of Intent			
Description of housing, facilities, and proposed personnel numbers, if available			FAA Form 8400-6, Section 1E, No.10 Part 145, § 145.103  If unavailable, annotate the intentions on the Schedule of Events (SOE).
Stated intent for hazardous materials (HAZMAT) employer, as defined under Title 49 of the Code of Federal Regulations (49 CFR) Part 171, § 171.8			FAA Form 8400-6, Section 1E, No. 10 § 145.53(c)
Repair Station Manual			§ 145.207
Quality Control (QC) Manual			§ 145.211(c)
Training Program Manual			§ 145.163
Forms Manual (if not included in any other manual)			§ 145.211(c)(3)
A list by type, make, and model (M/M), as appropriate, of each article for which application is made			§ 145.51(a)(3)
List of contract maintenance functions			§ 145.217
FAA Form 8310-3, Application for Repair Station Certificate and/or Rating			

Proposed SOE			The SOE must include a timeline based on calendar days (e.g., 30 days) as opposed to actual dates for the acquisition of facilities, aircraft leases, and equipment after initial certification begins.
Capability List, if applicable			§ 145.215
Letter(s) of recommendation and applications for any proposed repairman (FAA Form 8610-3, Airman Certificate and/or Rating Application – Repairman)			
Limited ratings: process specifications, if applicable			§ 145.61(c)



**Table A-9. Part 147 Aviation Maintenance Technician Schools (AMTS)**

Item	Received/ Submitted (Y, N, N/A)	Verified by Initials/Date	Reference/Remarks
FAA Form 8400-6, Preapplication Statement of Intent			
FAA Form 8310-6, Aviation Maintenance Technician School Certificate and Ratings Application			§ 147.5
Proposed Schedule of Events (SOE)			The SOE must include a timeline based on calendar days (e.g., 30 days) as opposed to actual dates for the acquisition of facilities, aircraft leases, and equipment after initial certification begins.
Letter of Compliance (optional)			
Description of facilities			§ 147.5(b)(1)
Description of equipment and materials used			§ 147.5(b)(1)
Description of curriculum basis			§ 147.5(b)(2)
Description of instructor requirements			§ 147.5(b)(3) § 147.19
Curriculum			§ 147.17(a)(1)
Evidence of accreditation, if applicable			§ 147.23(a)(1)
AMTS Quality Control (QC) System, if applicable			§ 147.23(a)(1)
Exemption requests or authorities granted, if applicable			