

NOTICE

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
Air Traffic Organization Policy

N JO 3400.39

Effective Date:

9/17/2007

Cancellation Date:

9/16/2008

SUBJ: Use of Certification Tracking System (CTS) Version 1.0

1. Purpose of This Notice. The Certification Tracking System (CTS) module within the Comprehensive Management Resource Information System (CMRIS) has been updated to a new software environment, CTS Version 1.0. This Notice establishes the policies that will allow the use of CTS Version 1.0 and replaces some of the policy in FAA Order 3400.3H, Airway Facilities Maintenance Personnel Certification Program.

2. Audience. This notice is distributed to Technical Operations division level in Washington headquarters, to branch level at the FAA Academy, to branch level in the regional Technical Operations divisions, and to all Technical Operations field offices with a maximum distribution.

3. Where Can I Find This Notice. You can find this notice on the Directives Management System (DMS) website: https://employees.faa.gov/tools_resources/orders_notices/.

4. Background. The existing CTS, called legacy CTS, is a 10 year old automated process that results in printed documents that are then signed and filed. The software program is outdated and cannot take advantage of the hardware improvements of the past decade. Additionally, use of the legacy CTS is not mandatory so accurate and easily obtainable national reporting on certification is unavailable. To move the certification tracking system to a more paperless process, use up-to-date software, and mandate the use of one automated system for tracking and reporting, CTS Version 1.0 was established. It has been tested, training was conducted, and the system is ready for implementation.

5. Action. This Notice requires the use of CTS version 1.0 for all technical personnel requiring personnel certification authority per FAA Order 3400.3H and this Notice. Authority is given to apply the information in the following pages to the maintenance personnel certification program. From the effective date of this Notice, all new certification authorities must be entered into CMRIS. The use of the paper FAA Form 3400-3 (11-01) or other automated systems is no longer authorized.

6. Certification Process General (Replaces 3400.3H, paragraph 30).

a. Personnel certification requirements are derived from the systems, subsystems, and services requiring certification. Acronyms for documenting personnel certifications are listed in the latest version of FAA Order 6000.15, General Maintenance Handbook for NAS Facilities, Appendix 3, Systems, Subsystems, and Services Requiring Certification. The theory-of-operations training,

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OJT/Enhanced Hands-On Training, and demonstration of proficiency/performance examination requirements are identified in Appendix 5, ATO Personnel Certification Requirements. In some cases, the acronyms of FAA Order 6000.15, Appendix 3 may be combined into one general acronym in Appendix 5, i.e. RCAG, RCO, RTR, BUEC, and ECS may be consolidated into COMM.

b. The certification authority process measures the technical specialist's ability and knowledge of system theory-of-operations and requires administration of OJT or Enhanced Hands-On Training and a practical demonstration of skills through the administration of a demonstration of proficiency/performance examination by an appointed examiner. This ensures that technical specialists possess the minimum skills necessary to certify a given-type of system, subsystem, or service. Certification authority must be documented on FAA Form 3400-3, in CMRIS, by the last four digits/characters of the Facility Identification Code (FIC) or facility/service type for those without a FIC. The entries on FAA Form 3400-3 must follow the listing for that FIC(s) or acronym in Appendix 5. FAA Form 3400-3 documentation enables the technical specialist to exercise his/her certification authority for all facilities of the FIC(s) (or type for those without a FIC). The official FAA Form 3400-3 resides in the CMRIS database

7. Individuals Requiring Certification Authority (Replaces 3400.3H, paragraph 31). Individuals required to hold certification authority for systems, subsystems, or services are:

- a. All FAA technical specialists that certify systems, subsystems, or services.
- b. Performance examiners in the workplace and in the TOHTC program.
- c. Demonstration of Proficiency examiners at the FAA Academy or vendor locations.
- d. OJT instructors in the workplace providing instruction for OJT packages that lead to certification authority.
- e. Other FAA personnel as required by duties or administrative determinations.

8. Certification Authority (Replaces 3400.3H, paragraph 32). Acquisition of certification authority is a four step process that requires the satisfactory completion of theory-of-operations training, OJT or Enhanced Hands-On Training, a demonstration of proficiency or performance examination, endorsement by the first level supervisor/manager and a review and determination by the District second level manager/OCC Manager/AMA-400 Manager that all procedures have been properly followed. The individual requirements for attaining certification authority on a specific type of system, subsystem, or service are contained in Appendix 5, ATO Personnel Certification Requirements. Certification authority must be documented on FAA Form 3400-3 in CMRIS. Individuals attending theory-of-operations courses with the intention of attaining certification authority should attain the authority within 180 days of the completion of the theory course.

a. Theory-of-Operations Requirement. The theory-of-operations requirement is the first step of the personnel certification authority process and confirms that the individual possesses satisfactory knowledge of system or subsystem theory-of-operations or the integration of components that comprise a service. This can be accomplished by the following list of methods. Within the requirements of Appendix 5, the District second level/OCC Manager/AMA-400 Manager and the employee's supervisor/manager will determine the method used. This training must be applicable to the type of system, subsystem, or service for which the certification authority is required. Completion of theory-of-operations training must be documented in eLMS.

(1) Resident training is training conducted at the FAA Academy by an FAA instructor, a designated out-of agency trainer, or via Computer Based Instruction (CBI) with an FAA Academy laboratory.

(2) Training conducted under the new concept that includes enhanced hands-on training may be done at the FAA Academy or at an out-of-agency location. In addition to the normal theory content, it will contain instruction in the use of the applicable maintenance handbooks, maintenance requirements including scheduling, use of Technical Performance Records, and certification procedures including intervals, exceptions, and log statements. Laboratory exercises will be conducted using the maintenance handbooks where possible. The courses will include a troubleshooting process and will contain graded troubleshooting exercises. The courses will also contain enhanced hands-on training as described in paragraph 8b(3).

(3) Theory-of-operations examination is a Technical Operations Training and Development Group/FAA Academy approved written examination that measures the level of knowledge required for a specific type of system, subsystem, or service. For additional guidance on theory-of-operations examinations see Par 14.

(4) Distance Learning (DL) is a training method where an instructor is not required to be collocated with the student. DL is a Technical Operations Training and Development Group/FAA Academy approved method and includes, but is not limited to correspondence study, CBI, and Interactive Video Teletraining (IVT).

(5) Equivalent training is training obtained from sources other than the FAA that the Technical Operations Training and Development Group/FAA Academy deem to be equivalent to FAA-sponsored resident training. Equivalency requests should be processed in accordance with the current version of FAA Order 3000.10. Appendix 3 of this Notice contains current and previous concepts and/or theory-of-operations examinations and equivalent training and/or examinations.

(6) When the Technical Operations Training and Development Group has advised that no theory-of-operations methods listed in paragraph 8a(1) - (5) are available (i.e. for older/unique systems), employees who have successfully completed documented informal theory-of-operations training can satisfy the requirement. Informal theory-of-operations training is training conducted at the Service Area or field level by another technical specialist, a manufacturer's representative, or another course previously taken on similar systems. The informal method used must be approved in advance by the District training staff and documented on FAA Form 3400-3 in CMRIS.

b. OJT Requirements/Enhanced Hands-On Training. The second step of the personnel certification authority process can be either:

(1) **OJT.** A bridge from theory-of-operations of system, subsystem, or service training to developing requisite skills and knowledge in preparation for taking a national or locally developed performance examination to acquire certification authority. OJT can be either nationally developed courses or, when there is no national course, locally developed courses. FAA Form 3400-16, available in CMRIS must be used to document the instruction and completion of OJT requirements. (See Figures 4, 4-1 and 4-2 in Appendix 1.) Following completion of OJT, the first level supervisor/manager will forward the FAA Form 3400-16 to a training specialist or other individual at an office designated by the Service Area Director for entry into eLMS. A list of nationally developed OJT courses is provided in Appendix 4, Figure 1. Specific national courses are listed in Appendix 5, ATO Personnel Certification Requirements. The Utilization of nationally developed OJT courses is mandatory. A locally developed OJT course is used when a national OJT course has not been published. The local OJT course must be developed using the guidance of paragraph 24.

(2) **OJT for the TOHTC initiative.** The tasks contained in the national OJT packages that can be performed at the FAA Academy will be administered as hands-on training exercises during the

theory-of-operations training. Those tasks that are site specific such as wiring, notification, coordination, etc. will be contained in a locally developed OJT field package to be completed when the technical specialist arrives at his/her duty location. Failure to pass the theory-of-operations and hands-on training exercises at the FAA Academy for probationary employees are grounds for removal or separation from the FAA.

(3) Enhanced Hands-On Training. EHOT is an integral part of some resident training required in paragraph 8a(2). Part of the theory-of-operations course it is the bridge from system, subsystem, or service training to developing requisite skills and knowledge in preparation for taking a Demonstration of Proficiency Examination to acquire certification authority. It includes all key performance parameters and certification parameters for the system, subsystem, or service. The key performance and certification parameters that are not individually tested in the Demonstration of Proficiency will be tested in graded laboratory exercises during the course. Courses conducted with EHOT will contain instruction in the use of the applicable maintenance handbooks, maintenance requirements, standards and tolerances, maintenance intervals, etc.; use of Technical Performance Records; and certification procedures including intervals, exceptions, and log statements. Laboratory exercises will be conducted using the maintenance handbooks where possible. Training systems used for courses conducted in this concept must replicate field systems as closely as possible.

(4) Additional guidance. Additional guidance on OJT is provided in Paragraphs 21 - 27.

c. Demonstration of Performance Proficiency Requirements. The third step of the personnel certification authority process requires successful demonstration of proficiency either in the field or at the FAA Academy as follows:

(1) Field Level Performance Requirements. Measured by passing a national performance examination or a locally developed performance examination if no national examination is published. Following administration of either type of performance examination, the examiner will submit FAA Form 3400-15, Performance Examination Cover Sheet to an office designated by the Service Area Director for entry into eLMS. Successful completion confirms the technical specialist's familiarity with a specific type of system, subsystem, or service as well as their knowledge and ability to perform necessary measurements, adjustments, and fault diagnosis, or to make software corrections where applicable. This step must not occur before confirmation that the theory-of-operations and OJT requirements have been successfully completed. The methods by which field level performance proficiency may be accomplished are:

(a) Performance Examinations. The technical specialist must satisfactorily complete a Technical Operations Training and Development Group approved performance examination conducted by an authorized examiner. The examination measures the technical specialist's ability to make system, subsystem, or equipment adjustments, check critical parameters, and tests the requisite specialized knowledge to adequately investigate, analyze, test, and correct system, subsystem, or service deficiencies to restore and ensure continuous reliable operation. A separate performance examination is required on each different type of system, subsystem, or service for which the individual needs certification authority except for when the same theory-of-operations course and performance examination apply to multiple equipments of the same type. For example, all VASIs have the same theory-of-operations and performance examination and completing the performance examination for one equipment leads to certification authority for all equipments of that type. See Appendix 5, ATO Personnel Certification Requirements for other examples. Use FAA Form 3400-15, as illustrated in Appendix 1, Figure 2-1 to document the national performance examination.

(b) Locally Developed Performance Examinations. When a national performance examination has not been published, the technical specialist must satisfactorily complete a locally developed performance examination conducted by an authorized examiner. The examination measures the technical specialist's ability to make system, subsystem, or equipment adjustments, check critical parameters, and tests the requisite specialized knowledge to adequately investigate, analyze, test, and correct system, subsystem or service deficiencies to restore or ensure continuous reliable operation. A separate performance examination is required on each different type of system, subsystem, or service for which the individual needs certification authority. The locally developed performance examination must test the technical specialist's ability to measure the certification and key performance parameters for the system or subsystem. For a service, only the certification parameters need to be tested. Use FAA Form 3400-15, (Appendix 1, Figure 2-2) to document the locally developed performance examination. The certification and key performance parameters tested must be listed on the back of the form. See paragraph 15g for additional guidance

(c) Performance Examinations under the TOHTC Initiative. The performance examination for the technical specialists in the TOHTC has been divided into two parts. The first part is administered at the Academy. The second part is administered in the field after a locally developed OJT package has been completed. You must use FAA Form 3400-15a, (Appendix 1, Figure 3-1) to document the performance examination completed at the FAA Academy, and FAA Form 3400-15 to document the field performance examination associated with the TOHTC.

(d) Demonstration of Proficiency Requirements. An examination, administered at the FAA Academy or out-of-agency location, designed to test the technical specialist's proficiency in measuring, evaluating, testing, and determining the accuracy, suitability, and operational status of a particular type of system, subsystem, or service. The demonstration is given following successful completion of a resident theory-of-operations training containing Enhanced Hands-On Training. The demonstration is given by a FAA employee holding certification authority and consists of one or more troubleshooting problems, a difficult maintenance task or more than one if none are difficult, and a written component covering the standards and tolerances, preventative maintenance requirements, certification requirements and certification exceptions. The FAA Academy will document completion and enter it into eLMS.

(2) Additional guidance. Additional guidance on Performance Examinations and Demonstrations of Proficiency is provided in paragraphs 15 and 16.

d. Endorsement and Review. The fourth step in the personnel certification authority process is accomplished by an endorsement from the first level supervisor/manager and a review and determination by the District second level manager/OCC/Service Area TSOG/Service Area PSOG/AMA-400 Manager that all procedures have been properly followed. The process is as follows:

(1) The first level supervisor/manager must endorse a technical specialist for certification authority after determining their site familiarity and capability to perform work practices. Examples of site familiarity and work practices that may be considered are contained in Appendix 2, Examples of Work Practices. The first level supervisor/manager will endorse the capability on FAA Form 3400-3 in CMRIS.

(2) The District second level manager/OCC/Service Area TSOG/Service Area PSOG/AMA-400 Manager reviews the information provided on the FAA Form 3400-3 in CMRIS and determines that certification authority can be granted and what type of certification to grant (as listed in paragraph 9.) . The District second level manager/OCC/Service Area TSOG/Service Area PSOG/AMA-400 Manager grants certification authority on FAA Form 3400-3 in CMRIS.

9. Certification Authority Types, Emergency Granting, Conversion of Former Interims (Replaces 3400.3H, paragraphs 33 & 34).

a. The three types of Certification Authority are:

(1) Regular Certification Authority. Regular certification authority on a system, subsystem, or service may be granted to a technical specialist by the District second level manager/OCC/Service Area TSOG/Service Area PSOG/AMA-400 Manager after satisfying the approved theory-of-operations, OJT/Enhanced Hands-On Training, and demonstration of proficiency/performance requirements identified in Appendix 5, ATO Personnel Certification Requirements. The OCC Manager may grant regular certification authority to OCC technical specialists for only those OCC facilities identified in their cost center's FSEP. Note: Mandatory Certification Date (MCD) is no longer used.

(2) Temporary Certification Authority.

(a) Temporary certification authority may be granted by the District second level manager/OCC/Service Area TSOG/Service Area PSOG/AMA-400 Manager on a specific type of system, subsystem, or service based upon an administrative determination of need. The OCC Manager may grant temporary certification authority to technical specialists for only those OCC facilities identified in their cost center's FSEP. Temporary certification authority should only be granted during UNUSUAL circumstances; i.e., when there is an immediate need and the normal process would take too long. This authority may be granted for a minimum period of one month at a time and must not be granted to the same individual for more than 6 months within any 12-month period on the same system, subsystem, or service. The granting of such temporary certification authority must be formally and fully documented. The revocation date shall be identified on FAA Form 3400-3 at the time the authority is granted. The District second level manager/OCC/Service Area TSOG/Service Area PSOG/AMA-400 Manager must be satisfied with the proficiency of the technical specialist. FAA Form 3400-3 examples are shown in Appendix 1, Figure 1-1, columns 7 and 8.

(b) When granting temporary certification authority to an individual who has not previously met applicable theory-of-operations requirements, training used in lieu of theory-of-operations requirements must be related, i.e., a technical specialist certified on a FA-9639 Distance Measuring Equipment (DME) may be granted temporary certification authority for a FA-9783 DME. On the other hand, training on communications systems cannot be considered applicable to DME.

(c) Temporary certification authority must not be granted to technical specialists who, on the last attempt, failed either the theory-of-operations or performance examination for the pertinent system, subsystem, or service.

(3) Remote Regular Certification Authority. Remote regular certification authority on a system, subsystem, or service may be granted to technical specialists who are responsible for accomplishing remote certifications through the use of RMM equipment and capabilities. It is intended for ATO Control Center personnel, although other technical specialists may also be issued remote regular certification authorities when required by their position. In order to gain remote regular certification authority, the technical specialist must satisfy the approved remote theory-of-operations, OJT/EHOT, and proficiency/performance requirements as shown in Appendix 5. Individuals who have regular certification authority for a system, subsystem, or service that has RMM capabilities are not required to attain remote regular certification authority, e.g., an ATSS with Regular certification authority for 2nd Gen VOR would not need remote regular certification authority. FAA Form 3400-3 example is shown in Appendix 1, Figure 1-1, column 9.

b. Granting of Certification Authority in Emergencies. In an emergency situation the District second level/OCC Manager may grant one of the three certification authority types through the most expedient means, i.e., messenger, electronic mail, or telephone, provided the requirements of paragraphs

9a(1)-(3) for the type of authority granted are met. This action must be followed up in a timely manner with the appropriate documentation in accordance with this Notice.

c. Converting Former Interim Certification Authorities. FAA Order 3400.3H contained a process for interim certification authority. All interim certifications granted in accordance with the provisions of FAA Order 3400.3H prior to the effective date of this Notice can and must be converted to Regular Certification authority. The technical specialist must have held the interim certification for 12 months with satisfactory performance. The conversion must be endorsed by the first level supervisor/manager and granted by the second level manager. Interim certification authorities that are not converted within 15 months from the effective date of this Notice are to be considered revoked. An example of a conversion entry is provided in Appendix 1, Figure 1-1, column 15.

10. Establishment of Certification Authority for New Systems

When new systems are installed there are two methods to begin the process to attain certification authority. They are:

a. The use of Temporary Certification Authority, which may be granted to technical specialists IAW paragraph 9b. Those technical specialists then administer the OJT and performance examinations to other technical specialists. The individuals with temporary certification authority attain regular certification authority by taking the OJT and performance examination from individuals who they did not examine.

b. The second method applies only to those new systems that have a nationally approved theory-of-operations course. Two technical specialists in each District second level manager's organization may be granted regular certification authority if they have completed the nationally approved course and they have three or more years of experience as a certified technical specialist on a similar system. For example, Mark 1F ILS would be similar to Mark 20 ILS, 2nd Generation VOR would be similar to 3rd Generation VOR, and AWSS would be similar to AWOS. Those two technical specialists would then administer the OJT and performance examinations to other technical specialists. An example of an entry is provided in Appendix 1, Figure 1-1, column 16.

11. Review/Retention/Revocation of Certification Authority (Replaces 3400.3H, paragraphs 35, 36 & 37)

a. Retention of Certification Authority. When an individual acquires certification authority for a specific type of system, subsystem, or service, the certification authority is retained unless there is a change in status. The first-level supervisor/manager and the technical specialist must ensure retention of proficiency as long as the certification authority remains in effect.

b. First Level Review of Certification Authority. The first-level supervisor/manager must review the proficiency of each technical specialist. This review may be an examination of ability to perform designated procedures and adjustments, or a review by observing on-the-job performance. The review will include site visits, casual observations, restorations, AT reports, log reviews, or other information gathered in the normal execution of the supervisor/manager's duties. A proficiency review must be accomplished annually or whenever a question arises concerning the individual's technical proficiency, and documented on the technical specialist's FAA Form 3400-3 in CMRIS. An example of an annual review is shown in Appendix 1, Figure 1-1, column 5.

c. Second Level Review of Certification Authority. The District second level manager/OCC/Service Area TSOG/Service Area PSOG/AMA-400 Manager confirms the supervisor/manager's review and recommendation. This review may include supporting documents such as certification authority records. This review must be documented on the technical specialist's FAA Form 3400-3 in CMRIS. An example of an annual review is shown in Appendix 1, Figure 1-1, column 5.

d. Revocation of Certification Authority. Certification authority must be revoked only as a result of one of the following circumstances:

(1) When the end date of the temporary certification authority period is reached. For most temporary certifications, the revocation date was entered when the authority was granted and no further action to revoke it is needed.

(2) . When a Regular or Remote Regular certification authority is granted for the same system, subsystem, or service that has a temporary certification authority the temporary certification may be revoked or it may be left and allowed to reach its normal revocation date.

(3) When it is determined by the District second level manager/OCC/Service Area TSOG/Service Area PSOG/AMA-400 Manager that the proficiency (performance and/or knowledge of theory) of a technical specialist has deteriorated to a level such that continued certification of a system, subsystem, or service might render it unusable or unsafe for use. The employee must receive written notification within 24 hours of such action, and is required to promptly acknowledge receipt of the action to the office issuing the revocation notice. Copies of the notification and acknowledgement must be filed in the employee's Official Certification Record File and the entry on the 3400-3 form must be changed to reflect the revocation. Immediately upon revocation of certification authority, the employee must be counseled and a written formal program designed to restore proficiency be initiated. Use paragraphs 20a and b for guidance on written formal programs. The employee must be given an opportunity to reacquire certification authority in accordance with the process described in this order.

(4) When certification authority is discovered to have been erroneously granted, the District second level manager/OCC/Service Area TSOG/Service Area PSOG/AMA-400 Manager must revoke it and notify the employee in writing. Copies of the notification must be filed in the employee's Official Certification Record File and the entry on the 3400-3 form must be changed to reflect the revocation. Administrative errors in documenting training or examinations may be corrected without revoking certification authority. Corrections are to be accomplished per paragraph 30.

e. Certification Authority Inactivity. After a period of inactivity of 2 years or longer, the proficiency of the technical specialist will be reviewed by the immediate supervisor/manager prior to assignment/reassignment of workload for a particular system, subsystem, or service. Following the review, the supervisor/manager will forward to the District second level manager/OCC/Service Area TSOG/Service Area PSOG/AMA-400 Manager a written assessment or recommendation as to whether the employee's certification authority should be retained or revoked. This written assessment or recommendation may be via email. The extent of this review must be based upon the supervisor/manager's judgment. This review may vary from observation of the employee's on-the-job work performance to requiring the employee to retake the theory-of-operations and/or performance examination(s). Inactivity must not be an automatic cause for revocation of certification authority from a technical specialist.

f. Impact of Changes to Existing Certification Authorities. Unless advised otherwise by Technical Operations Training and Development Group, certification authority previously granted must not be affected by later changes in examination and/or course configurations.

12. The Information in Paragraphs 12 Through 20 Replaces 3400.3H Chapters 4 and 6.**13. Theory of Operations, Performance Examinations and Demonstrations of Proficiency, General.**

a. All examinations (theory-of-operations, performance and demonstration of proficiency) used in the certification program must be developed and validated under the administrative control of the Technical Operations Training and Development Group. When made available, these examinations must be used to determine whether the examinee possesses the theoretical knowledge and practical techniques required to certify a system, subsystem or service. Equipment theory-of-operations and performance examinations are comprehensive in scope, covering not only the equipment within a system, but also the auxiliary equipment considered to be part of the system. Software examinations cover utility, support, and diagnostic programs as well as the programs, subprograms, routines, and subroutines of a major program system.

b. Each District second level manager/OCC/Service Area TSOG/Service Area PSOG/AMA-400 Manager has the responsibility for selecting examiners/proctors who can demonstrate qualities of objectivity and fairness in conducting/proctoring an examination. Examiners/proctors will administer pertinent examinations in both testing phases of the certification process; i.e., systems theory-of-operations and system performance.

14. Theory-of-Operations Examinations. In order to provide a method leading to certification authority, other than through resident training, a theory-of-operations examination may be used. The scope and depth of a particular examination is representative of the knowledge required to perform effectively on the job. Those who have had prior training or experience that indicates the attainment of this knowledge level qualify to take the theory-of-operations examinations. Prerequisites for the theory-of-operations examination(s) are the same as for the course(s) to be bypassed. Where resident training is not available, the theory-of-operations examination is the principle means of measuring the understanding of a system, subsystem or service theory of operation. All theory-of-operations examinations are given using the Examination Control Center's (ECC) Examiner Online System accessed through FIST. (Appendix 6) The Examiner Online system allows for managing all areas of the theory-of-operations examinations including: managing proctors/requesters, submitting an examination request, checking status, taking an examination, and providing a list of available examinations and formula sheets

a. **Manage Proctors/Requesters.** Only authorized service area training personnel have access to this area in the Examiner program. It provides the service area training personnel the ability to electronically assign and maintain a list of authorized Proctors and Requesters. A Requester is an individual, typically Program Support Staff personnel, who requests a theory-of-operations examination for an employee, provides the name of an authorized proctor who can proctor this employee, and coordinates the examination request.

b. **Request for Theory-of-Operations Examinations.** All theory-of-operations examinations are taken online. Written theory-of-operations examinations have been discontinued. Contact the ECC if there are special examination considerations, the telephone number may be obtained on FIST (see Appendix 6). Theory-of-operations examinations may be taken on any computer connected to the FAA network (WAN) in an acceptable examination environment. Special software may need to be installed on the computer prior to taking the theory-of-operations examination. For software installation contact the FIST Site Administrator, the telephone number may be obtained on FIST (see Appendix 6).

(1) These examinations must not be requested unless there is a reasonable expectation that they will be passed. Under no circumstances must a theory-of-operations examination be used as a screening

device to determine the probability of any technical specialist passing the corresponding FAA Academy course.

(2) Only an authorized "Requester" may request a theory-of-operations examination.

(3) These examinations will be maintained by the ECC at the FAA Academy.

(4) Each request must include the examinee's name, eLMS student identification number, student's phone number, proctor's name, exam number and start date. The examinations must be started within seven days of the start date.

(5) Examination grades will be entered into eLMS by the ECC.

c. Theory-of-Operations Examination Proctor Requisites and Procedures. If not proctored by the Program Support Staff, all examinations will be proctored by a supervisor/manager or monitor authorized by the District second level manager/OCC Manager. The individual appointed to proctor the examination:

(1) Will give instructions and serve as timekeeper.

(2) Must be an FAA employee and may require a technical background.

(3) Does not need to hold certification authority as he/she will only be monitoring.

(4) Must understand and apply mandatory secure handling requirements to protect the integrity of the program (paragraph 41d).

(5) Will not discuss or disclose the contents of an examination with the examinee.

(6) Will advise the examinee on the official nature of the documents and penalties involved for disclosure of their contents.

(7) Will prepare an appropriate area for the administration of the examination, give the examinee any required instructions or materials, control and time the examination as prescribed, and process the completed examination as instructed.

(8) Will shred all scratch paper and notes at the end of the examination.

(9) Will allow the examinee access to only the reference material provided by the ECC if the examination is designated as closed book.

(10) Will ensure no other person is allowed in contact or in the immediate presence of the examinee(s) while the examination is in progress. Contact includes all electronic devices.

(11) If a theory-of-operations examination in progress is interrupted, the proctor should contact the ECC immediately. The number can be found on FIST, Appendix 6.

d. Integrity of Theory-of-Operations Examinations. All segments of the agency concerned with the certification process must maintain security in the handling of written examinations. Compromise of examinations in any form is a serious violation of the rules of conduct and discipline. Violations in this area must require official disciplinary action by the appropriate official.

(1) Security of theory-of-operations examinations includes, but is not limited to, the following:

(a) Locked and secured storage (combination lock or equivalent).

(b) All working notes are shredded after completing the examination.

(c) Examination contents must not be discussed or otherwise compromised.

(d) Absolutely no reproduction or copying of any part of the examination.

(e) Use only the materials provided by the ECC for a "closed-book" examination.

(2) Any person having personal knowledge of a compromise on any segment of the written examination must immediately advise the District second level manager/OCC Manager or the Service Area Director of the incident. Anyone having knowledge of a violation and failing to report it or take appropriate action may be subject to the same penalty as the individual guilty of the violation.

e. Deviations from Theory-of-Operations Examinations. Normally, the theory-of-operations examination must be completed in its entirety in order to receive credit on the examinee's training record and equivalency. When an intermix of equipment results in a configuration where only portions

of existing examinations are appropriate, the relevant portions may be used, i.e., Mark 20 localizer (LOC), and Mark 20 Marker (MM/OM). The determination of the portion to be used should be made by the examinee's supervisor/manager or examiner and coordinated with the District second level manager/OCC Manager. The ECC must be notified in writing and the entries in the technical specialist's record must reflect the parts of the examination that were taken.

f. Theory-of-Operations Equivalency. The technical specialist certified through a theory-of-operations examination must be considered equal to a technical specialist certified through formal agency training.

15. Performance Examinations. Performance examinations are used to measure proficiency as demonstrated by a technical specialist. Examinations may vary in length according to the complexity and scope of the system, subsystem or service. Practical demonstrations may involve adjustments or software program changes with observable results and may also include analysis and correction of maladjustments or faults introduced into the equipment. A series of adjustments or software program changes may be required before an accurate measurement is made. Once the examinee has completed an operation, the examiner will grade the performance. Certain operations and critical parameters are considered LOCKOUT items and failure on any one of these items constitutes a FAILURE OF THE ENTIRE EXAMINATION. The use of reference materials during the performance examination is encouraged.

a. Deviation from the Printed Examination Allowed. The examiner may change the performance examination to make it compatible with the actual system used. Any deviation from the examination must have the District second level manager/OCC Manager's approval prior to the administration of the examination. The examinee must be notified of any deviation from the performance examination prior to taking the examination, and that the deviation has been approved by the District second level manager/OCC Manager. The examinee must be advised that the examination will be graded and must be given enough time to prepare.

b. Source of Performance Examinations. The ECC is located at the FAA Academy and will maintain a hard copy of the most current performance examinations for distribution. The most current examinations must be utilized and can be requested from the ECC or downloaded from FIST (Appendix 6).

c. Time Limits on National Performance Examinations. Each national performance examination has an estimated time length. The examiner may allow an additional 20% of the estimated time. Additional time extensions beyond the 20% require the verbal approval of a staff manager or the District second level manager. The verbal approval must be documented by the examiner on the FAA 3400-15 cover sheet.

d. Ordering and Handling of Performance Examinations. Secure handling of performance examinations is not required. Provide performance examinations to the certification candidate well in advance of administration so they are fully aware of what the examination entails and the test equipment required. All performance examinations are available from FIST. See Appendix 6 for access instructions.

e. Use of Performance Examinations as a Study Guide. Where no national OJT course exists, a performance examination can be used as a study outline. The individual assigned to provide OJT must not be the performance examiner.

f. Use of Performance Examinations on Non-Certifiable Systems. Administration of performance examinations for systems not requiring certification in FAA Order 6000.15, Appendix C will be left to the discretion of the District second level manager/OCC Manager. Examinations of this type are utilized for measuring technical proficiency on systems, subsystems, or equipment that does not require certification.

g. Locally Developed Performance Examinations. When a national performance examination has not been published, the technical specialist must satisfactorily complete a locally developed performance examination conducted by an authorized examiner. At a minimum, the locally developed performance examination must test the technical specialist's ability to measure the certification and key performance parameters for the system, subsystem or service. Failure to successfully measure a certification or key performance parameter will constitute failure of the entire examination. The examination should also test the technical specialist's ability to perform the maintenance tasks required. The local performance examination must be developed by the examiner, the training specialist or other knowledgeable individual and approved by a staff manager or second level supervisor/manager. See Appendix 1, Figure 2-3 for an example.

h. Performance Examination Examiner Requisites and Procedures.

- (1) The performance examiner must be designated in writing on FAA Form 3400-15 or 3400-15a.
- (2) The performance examiner must possess certification authority for the entire system on which the examination is given.
- (3) For the purposes of non-certifiable system examinations, the examiner must be proficient on the system as determined by the District second level manager/OCC/Service Area TSOG/Service Area PSOG/AMA-400 Manager.
- (4) The performance examiner must be an FAA employee.
- (5) The performance examiner will not administer performance examinations to their supervisor/manager.
- (6) Performance examiners who are external to the local organization are preferable.
- (7) The performance examiner must not be an individual who was administered the same performance examination by the examinee.
- (8) The performance examiner must not be the individual who provided OJT. This restriction does not apply to the EHOT or TOHTC at the FAA Academy.
- (9) The performance examiner must sign all performance examinations.

(10) The performance examiner, or other technical specialist must make the appropriate certification statement entry in the facility log before the system, subsystem, or equipment is returned to service.

(11) Distribution of performance examinations to individuals prior to actual administration is required and any approved deviations must also be provided to the examinee. Individuals requiring certification authority must be made thoroughly familiar with the examination requirements and related procedures during OJT

(12) The examinee will complete the examination tasks unassisted, except in instances where two people are required to make a particular adjustment.

(13) The examiner must be thoroughly familiar with the instructions and procedures pertaining to the performance examination.

(14) The examiner must make specific comments regarding the examinee's performance, procedures, failures, and other observations on the reverse side of FAA Form 3400-15 and 3400-15a.

(15) The examiner must assure that the facility is operating normally at the conclusion of the examination or at any breaks in the examination and must make appropriate log entries.

(16) The Instruction to the Examiner for performance examinations is contained in Appendix 8.

i. Documentation Process. Performance examinations are documented as follows:

(1) The Performance Examination Cover Sheet, FAA Form 3400-15 (Appendix 1, figure 4-1) must be originated from the CMRIS online system and must be used to document the examination process. For locally developed examinations, the certification and key performance parameters tested must be listed on the back of the form. The Technical Operations Hiring, Training and Certification (TOHTC) Performance Examination Cover Sheet (Appendix 1, figure 5-1) is a manual form and must only be used to document performance exams given as part of the TOHTC.

(2) For the TOHTC, the completed FAA Form 3400-15a must be sent to the technical specialist's District Manager for inclusion in the technical specialists Official Certification Record File. A copy must be retained by the FAA Academy and a copy provided to the technical specialist. Under no circumstances will the original be provided to the technical specialist

16. Demonstrations of Proficiency. The demonstration is given following successful completion of an FAA Academy or out-of-agency theory-of-operations training containing enhanced hands-on training.

a. It is administered by a FAA employee with certification authority for the system, subsystem, equipment or service.

b. It consists of one or more troubleshooting problems, a difficult maintenance task or more than one task if none are difficult, and a written component covering the standards and tolerances, preventative maintenance requirements, certification requirements and certification exceptions.

c. The specific material in the demonstration of proficiency must be taught in the course but only the maintenance task is to be provided to the technical specialist prior to the actual demonstration. For example, troubleshooting is taught and practiced in the course, including the trouble that will be in the demonstration, but the specific problem to be done in the demonstration is not given prior to the actual demonstration.

d. Depending on the number of training systems and the nature of the task being demonstrated more than one individual may be tested at one time. For example, if there are four training systems and the maintenance task being performed is done at a system monitor and the result can only be obtained if

completed correctly, there is no need for more than one examiner. The written portion may be done in a classroom environment with one examiner.

e. The Technical Operations Training and Development Group will approve all demonstrations of proficiency.

f. The FAA Academy will enter a completion in the employees training history in eLMS. Documentation of completion of a Demonstration of Proficiency at the FAA Academy will be done by AMA-400 using internal processes. That documentation will support AMA-400's eLMS completion entry for the event and must be kept on file at the FAA Academy for 2 years. It is not kept in the Official Certification Record file.

g. For new systems, the initial theory-of-operations training containing enhanced hands-on training may be developed and conducted at a manufacturer's location under the out-of-agency process. In those instances, the demonstration of proficiency may also be conducted at the manufacturer's location provided the requirements of paragraphs 16 a through g are met.

17. Non-Federal Use of FAA Theory-of-Operations and Performance Examinations. FAA and non-Federal technicians must use the inventory of FAA theory-of-operations and performance examinations. There must be no duplication of effort to develop unique examinations solely for the purpose of examining non-Federal technicians.

18. Validations and Updating of Examinations. Theory-of-operations and demonstration of proficiency/performance examinations are constantly being reviewed and updated. Examinations are combined or eliminated when found to be redundant or obsolete. Any examiner who detects improper questions or measurements, incorrect references, or who is administering an examination that is not intended for the system involved should include the appropriate comments with the examination and return it to the appropriate office. Theory-of-operations examinations must be forwarded to the ECC. Performance examinations must be forwarded to the Technical Operations Training and Development Group. The ECC must coordinate all revisions to theory-of-operations examinations and submit them to the Technical Operations Training and Development Group for review and approval. The Service Area must also be advised of any improper questions, procedures, or references submitted.

19. Failed Examinations.

a. **Failed Theory-of-Operations Examinations.** An examination is considered failed if the student doesn't achieve 70% or greater. Examinations, answer sheets, comments, etc., pertaining to a failed theory-of-operations examination must be retained by the ECC in accordance with FAA Order 1350.15.

b. **Failed Performance Examinations.** Items marked with an asterisk (*) are "lock-out" items. Failure to perform adequately in any one of these means failure of the entire examination. The examination should not be carried beyond this point. Unsatisfactory performance in more than 10% of the total items (all three columns) constitutes failure of the examination. Performance examination failures must clearly list the reasons for failure on the reverse side of the FAA Form 3400-15 and 3400-15a, and must be retained in the employee's certification and training history at the District /OCC/FAA Academy.

c. **Failed Demonstrations of Proficiency.** Documentation of failure of a Demonstration of Proficiency at the FAA Academy or out-of-agency location will be done by AMA-400 using internal processes and must be kept on file at the FAA Academy for 2 years. It is not kept in the Official Certification Record file. A demonstration of proficiency will be considered failed under any of the following conditions:

- (1) The technical specialist is unable to successfully complete the preventative maintenance task(s).
- (2) The technical specialist is unable to use the troubleshooting process taught in the course and localize the failure. Depending on the problem, troubleshooting to the close vicinity of the failure may be acceptable at the discretion of the examiner. For example, if the failure is a connector on a card and the student isolates the trouble to the card, they may be close enough.
- (3) The technical specialist fails to achieve a score of 90% or higher on the written portion.

20. Retaking Examinations. Field examinations, either written or performance must not be re-administered to individuals who have failed to pass a previous examination until 30 calendar days have passed and measurable training progress has been made. A written waiver to the 30-day time limit may be granted by the Service Area Director/ District second level manager/OCC Manager. All requests for retaking a theory-of-operations examination prior to the 30-day time limit must be submitted in writing to the ECC and accompanied with copies of the appropriate waivers. If an appropriate subdivision can be made, retakes may be limited to those subject areas of the examinations that the examinee has failed, e.g., the Glideslope (GS) portion of an ILS examination or receiver portion of an Airport Surveillance Radar (ASR) examination. Reexamination falls into two categories as indicated below.

a. Retakes of Theory-of-Operations Requirements. Regardless of the method, only three total attempts shall be allowed to satisfy the theory-of-operations requirements. The third and final attempt requires a written waiver granted by the Service Area Director. Following the initial failure by an individual requiring certification authority, a written formal program must be prepared within 30 days of the failure. The written formal program must be documented in the official certification record file and list the following:

- (1) Areas of knowledge deficiencies.
- (2) Recommended study materials.
- (3) Method for measuring progress.
- (4) An established schedule for completion of the program.
- (5) Identified instructor and method of documenting training.

b. Retakes of Performance Examinations. The supervisor/manager must determine, prepare, and document a written formal program for the individual who requires certification authority and has failed a performance examination. The written formal program must be documented in the certification record file and approved by the responsible District second level manager/OCC Manager. The written formal program must include:

- (1) A list of the areas of deficiencies.
- (2) An itemized list of OJT requirements.
- (3) An established schedule for completion.
- (4) Identified instructor and method of documenting training.

c. Retakes of Demonstrations of Proficiency at the FAA Academy. There are no retakes for demonstrations of proficiency. Individuals who fail a demonstration of proficiency must return to their field location and complete OJT per paragraph 8b(1) and then take a performance examination per paragraph 8c(1). Subsequent failure of the performance examination will be handled per paragraph 20b.

21. On-the-Job Training for Certifiable Systems – General. This paragraph and those through paragraphs 26 provide policy, procedures and criteria for the administration of on-the-job training (OJT)

for systems, subsystems, equipment, and services requiring certification. OJT for non-certifiable systems, subsystems, equipment, and services is covered in FAA Order 3000.10.

22. Responsibilities. The specific responsibilities relative to the OJT program are:

- a. Service Areas must provide resources required for administration of the OJT program.
- b. District second level managers/OCC Managers must manage and administer the OJT program in accordance with established policy and directives.
- c. First level supervisors/managers must ensure that all OJT requirements are accomplished. They must evaluate the effectiveness of OJT as it relates to employee job proficiency and report the completion of OJT.
- d. OJT Instructors must be responsible for local course development when no national course is published, and for delivering training that develops the trainee's proficiency.
- e. Trainees must be responsible for actively participating in, and successfully completing assigned OJT.

23. OJT Process. OJT must be conducted within a reasonable time frame (established during the planning phase) after the successful completion of theory-of-operations training or nationally approved equivalency. Take into consideration the recommended 180 day time frame from completion of theory-of-operation course to attainment of certification authority. The process consists of the following three phases:

a. Selection of OJT Instructor. The following criteria must be satisfied to qualify an individual as an OJT Instructor:

- (1) For both locally and nationally developed OJT, the instructor should have completed the OJT Techniques training course. When such an individual is not available, the first-level or higher manager may designate other personnel to conduct OJT from a list of qualified volunteers. In such an instance, it is recommended that the individual possess skills in instructional methodology or have prior experience in providing OJT. The designation may be verbal.
- (2) Hold current certification authority on the applicable system, subsystem, equipment or service.
- (3) Be recommended by first-level supervisor/manager. The recommendation does not need to be in writing.

b. Planning. The supervisor/manager and OJT instructor, with input from the trainee must develop a plan on how the OJT training will be administered. This plan does not need to be written but must include:

- (1) Use of FAA Form 3400-16, OJT Progress Form (Appendix 1, Figure 6-1) to include documentation of the trainee's performance, progress, and total training time.
- (2) Use of a nationally approved OJT package or a locally developed OJT package if a national package is not published. See paragraph 8b(1).
- (3) Determination of which portions of a national OJT package may be excluded. For example, a technical specialist who holds certification authority on one LOC system may not need to perform those OJT Lessons for a new LOC that measure the radiated signals at the ground check points.
- (4) Determination of the time frame in which the OJT is to be completed. The time frames given in the nationally approved OJT packages were developed for an individual with no previous experience and may be changed based on the knowledge and skills of the individual receiving OJT.

c. Implementation. The implementation phase is the execution of the OJT plan, requiring specific tasks.

(1) The OJT instructor must:

- (a)** Deliver instruction in the application of knowledge and procedures on the system, subsystem, equipment or service.
- (b)** Allow the trainee to perform operational tasks only under their direction.
- (c)** Provide progress reports to the trainee's supervisor/manager upon request.
- (d)** Provide guidance and counseling to the trainee.
- (e)** Report successful completion or recommend termination of the OJT to the trainee's supervisor/manager.
- (f)** Complete FAA Form 3400-16 and provide it to the trainee's supervisor/manager.

(2) The trainee must:

- (a)** Review training objectives with the OJT instructor.
- (b)** Complete the training assignments within the prescribed time frame.
- (c)** Be prepared to receive OJT, counseling and direction from the OJT instructor.
- (d)** Exercise initiative and study to the extent necessary to ensure satisfactory training progression.
- (e)** Perform operational tasks only under the direction of the OJT instructor.
- (f)** Complete those portions of FAA Form 3400-16 that apply to the trainee.
- (g)** Provide progress reports to the first level supervisor/manager at the interval specified on FAA Form 3400-16.

(3) The supervisor/manager must:

- (a)** Assign and monitor OJT training activities.
- (b)** Evaluate the quality and standardization of the OJT delivery.
- (c)** Ensure that the OJT is productive and commensurate with the trainee's level of experience.
- (d)** Consider the OJT Instructor's recommendations for continuation or termination of the OJT.
- (e)** Have the authority to terminate the OJT.
- (f)** Discuss the outcome of the OJT with the trainee.
- (g)** Ensure that the OJT is accomplished within prescribed time frames.
- (h)** Grant extensions to allowable instructional hours under extenuating circumstances. The extension is granted on the FAA Form 3400-16, On-The-Job Training Progress Form.
- (i)** Verify that all training times are recorded accurately and that the OJT Progress Form is completed and forwarded to the Training Specialist.

(4) The service areas must designate individuals to perform the following:

- (a) Maintain the OJT documentation.
- (b) Ensure that OJT completions are entered in the employee's training history in eLMS.

24. Locally Developed OJT Courses. A locally developed OJT course is utilized when a national course is not published. This course is normally developed by the OJT instructor but may be developed by the Program Support Staff.

a. Development Process. The OJT instructor must utilize the appropriate performance examination, maintenance handbooks, contractor developed publications, technical instruction books or any other suitable technical documentation as references for developing the OJT course. All OJT courses must include, but not be limited to, the following subjects:

- (1) Safety and coordination
- (2) Test equipment
- (3) System interfaces
- (4) System operation
- (5) Preventive maintenance
- (6) Troubleshooting
- (7) Flight inspection (when applicable)

b. Instructional Hours. The authorized number of instructional hours for each local OJT course is established and maintained by the Technical Operations Training and Development Group. This information is located on FIST. If any system, subsystem, equipment or service is not included on this list, the second or higher level manager should set allowable time for a locally developed course.

c. Approval. Locally developed OJT courses may be used after approval from a staff manager, second level or higher-level manager. Local developed courses may be sent to the Technical Operations Training and Development Group for possible inclusion as a national course. Once a national OJT course is established, it will supersede all locally developed OJT courses for the particular system, subsystem, equipment or service. See Appendix 1, Figures 5 and 5-1, for an example of a locally developed OJT course.

25. OJT Failures. Employees who fail an OJT course will be given a written formal program within 30 days of the failure. The employee meeting all the requirements outlined in the written formal program determines satisfactory progress. The written formal program must include the following:

- a. List of the areas of deficiencies.
- b. List of recommended study areas.
- c. List of itemized OJT requirements.
- d. An established schedule for completion.
- e. Identified instructor and method of documenting the training.

26. Documentation of OJT. The on-the-job training process, both national and locally developed courses, will be documented on FAA Form 3400-16, On-The-Job Training Progress Form for Certifiable Systems. (Appendix 1, Figures 4-1 and 4-2.) Successful completion of OJT must also be documented on FAA Form 3400-3, in CMRIS. The name of the OJT instructor must be entered in the OJT Remarks block on the FAA Form 3400.3 in CMRIS.

27. Waivers for OJT. The OJT requirement for attaining certification authority may be waived by the Service Center Administrative Services Group Manager if the technical specialist already has knowledge and experience similar to that covered in the OJT package. For example, a technical specialist with years of knowledge and experience on communications transmitters/receivers may be granted a waiver for the OJT package on a new model of communications transmitter/receiver. The waiver may be granted if the following conditions are met:

a. The OJT requirement may be waived if:

- 1) There is a nationally approved theory-of-operations course that the technical specialist has or will successfully complete and
- 2) there is a nationally approved performance examination for the system, subsystem, equipment or service that the technical specialist will complete and
- 3) the technical specialist already has knowledge and experience similar to that covered in the OJT package.

b. The waiver must be justified and requested by the first level supervisor/manager, endorsed by the District second level manager/OCC/Service Area TSOG/Service Area PSOG/AMA-400 Manager, the District Manager (if different than the second level), and be approved by the Service Center Administrative Services Group Manager.

c. The justification for the waiver of OJT must be based on the technical specialist's knowledge and experience, not on operational needs.

d. The waiver must be documented on a memorandum that contains the employee's name, location, OJT course to be waived and justification for doing so. It must be signed by the requesting first level supervisor/manager, each endorser at the succeeding levels of management, and the Service Area Director.

e. The memorandum must be filed in the employees Official Certification Record file.

f. The FAA Form 3400-3 certification authority entry must indicate in the OJT Remarks block that the OJT was waived and include the name of the approving official and the date the waiver was approved. An example of an OJT waiver entry is provided in Appendix 1, Figure 1-1, column 14

g. An employee who fails a performance examination after being granted a waiver for OJT must complete the OJT prior to retaking the performance exam.

28. Documentation of Certification Events (Replaces 3400.3H, paragraph 70). In accordance with Department of Transportation policy the official record of all training is the electronic Learning Management System (eLMS). In addition, an official certification training record file shall be, or has been, established for each individual requiring certification authority. Some certification records are electronic and the official copy will reside in CMRIS but printed copies may be made for local reference. Field managers having personnel certification program responsibilities may maintain an informal certification/training file in accordance with the latest version of FAA Order 1350.15. The official records in CMRIS and eLMS meet all security and storage provisions of the FAA and DOT.

a. **Official Certification Record File.** Each official certification record file must contain sufficient documentation to substantiate the technical specialist's qualifications to possess certification authority on a specific system, subsystem or service. The official certification record file consists of both paper records and electronic records and must contain the following:

(1) The official FAA Form 3400-3 Certification/Verification Authority Record is located in the CMRIS database and is considered part of the individual's Official Certification Record File.

Printed copies may be made for local reference but all entries are made in CMRIS.

(2) The official Training History for those courses and examinations that support a certification authority is located in eLMS and is considered part of the individual's Official Certification Record File. Printed copies may be made for local reference but all training events are entered in eLMS.

(3) FAA Form 3400-16, On-The-Job Training Progress Form is originated in CMRIS and then printed for use. There is no requirement to file the OJT package. The OJT progress forms for successfully completed OJT only need to be kept for 24 hours after the completion has been entered in eLMS, on FAA Form 3400-3 in CMRIS and the certification authority has been granted. The name of the OJT instructor must be entered in the OJT Comments block of the Form 3400-3. FAA Form 3400-16 for a failed OJT package must be kept until the OJT package is successfully completed and certification authority has been granted.

(4) FAA Form 3400-15, Performance Examination Cover Sheet for both national and locally developed performance examinations is originated in CMRIS and then printed for use. There is no requirement to file the examination. The cover sheets for locally developed performance examinations, and the listing of parameters tested, must be filed. The cover sheets for successfully completed national developed performance examinations only need to be kept for 24 hours after the completion has been entered in eLMS, on FAA Form 3400-3 in CMRIS and the certification authority has been granted. The name of the Examiner must be entered in the performance examination comments block of Form 3400-3. FAA Form 3400-15 for a failed performance examination must be kept until the performance examination is successfully completed and certification authority has been granted.

(5) FAA Form 3400-15a. There is no change to the use of this form. The guidance in the TOHTC Notice 3400.37 still applies.

(6) Current certification authority requirements agreements on FAA Form 3400-6. There is no change to the use of this form. The guidance in 3400.3H still applies.

(7) Active written formal programs for a failure to successfully complete training or examinations as required in this order.

(8) OJT Waiver Memorandums.

(9) Verification authorizations for non-Federal technicians.

b. Reassignments. When an employee covered by the ATO Maintenance Personnel Certification Program is reassigned to another Service Area/OCC or other FAA office where the certification authority will be used, the official certification record file must be transferred by certified mail, return receipt requested or by messenger to the employee's new Service Area/OCC or office within 30 days. In all other cases when a technical specialist leaves the Service Area's jurisdiction or is separated by the agency, the official certification record files will be disposed of or retained in accordance with the latest version of FAA Order 1350.15.

c. Retention. The official certification record case file must be maintained in accordance with the latest version of FAA Order 1350.15. This file is maintained at the legacy District /OCC and will remain so until transferred to the Service Area at the discretion of the Service Area Director. The official FAA Form 3400-3's are maintained in CMRIS

d. Transition of FAA Form 3400-3. The transition of FAA Form 3400-3 from paper record to the official CMRIS automated record will be done as follows:

(1) From the effective date of this Notice, all new certification authorities must be entered into CMRIS. The use of the paper FAA Form 3400-3 (11-01) will no longer be authorized.

(2) Some of the existing certification authorities on paper FAA Form 3400-3's have not been entered in CMRIS. All certification authorities from paper FAA Form 3400-3's for current system, subsystem, equipment or services must be entered into CMRIS using the appropriate system/service/FIC. If unable to identify the correct FIC, it may be left off. Revoked authorities, expired temporary authorities, and authorities for systems, subsystems, equipment or services no longer in the NAS need not be transferred. The transfer of entries not already in CMRIS must be in the following form:

(a) Most of the information in blocks of the old form is self-explanatory in transferring to the new form.

(b) The information in the various Initials blocks is transferred to the corresponding Remarks block, e.g. initials from old form block 9 are entered in the OJT Remarks.

(c) The new Endorsement and Grantor sections are left blank.

(d) The information in the bottom section of the paper form, the employee duty station, date of action, Remarks, and the name and Routing Symbol of the granting official must be entered in the COMMENT BLOCK of the CMRIS automated form. An example of an entry transferred from the paper form is provided in Appendix 1, Figure 1-1, column 13

(e) The CMRIS automated form does not have a back side. The information on the back of the papers forms should be in eLMS training history and does not need to be transferred to the automated form.

(3) Once all valid certification authorities for current system, subsystem, equipment or services have been transferred to CMRIS, the original paper FAA Form 3400-3's may be archived in accordance with the latest version of FAA Order 1350.15.

29. Forms Description and Use (Replaces 3400.3H, paragraph 71). The forms associated with the ATO Maintenance Personnel Certification Program are described below. From the date of this Notice, all existing documentation will be retained as is except for FAA Forms 3000-19, 3400-15, and 3400-15a that are in use for existing OJT or performance examinations. At the time of any new action, the procedures contained in this order are required for the documentation process. Most of the forms listed below must be initiated in CMRIS; the exceptions are available for downloading from FIST.

a. FAA Form 3400-3. This form resides in CMRIS and is the official certification authority record. It must be used to record the status of each individual in the certification program. It must specify an individual's certification authority in detail. For all entries prior to the publication of this notice, the record will be in the old format, and for entries after the effective date of this notice the record will be in the revised format.

(1) The information on the form must include, but is not limited to the following:

(a) All certification authorities granted.

(b) Theory-of-operations qualification(s) that support each certification authority, with date of completion. If the training was informal as allowed by paragraph 8a(5), the method used must be entered in the Theory Remarks block. If the training was by a local ATSS, the name of the trainer must be entered.

(c) On-the-Job training qualification(s) that support each certification authority, with date of completion. The name of the OJT instructor must be entered in the OJT Remarks block.

(d) Performance qualification(s) that support each certification authority, with date of completion. The name of the examiner must be entered in the Performance Qualifying Remarks block. Items that may be entered include the time used for the exam and the score.

(e) The name and date of the individual making the entries required by paragraph 29a(1)(b)-(d)&(f).

(f) Comments regarding the certification authority entry in the Comment block.

(g) The name of the first level supervisor/manager and the endorsement date.

(h) The name of the certification authority grantor and the date granted.

(i) The name of the individual revoking a certification authority and the date revoked.

(2) The CMRIS program will automate the data entry as much as possible including automatically sending email notification of pending actions. Specific guidance for completing the form in CMRIS and examples of completed forms are provided in Appendix 1, Figures 1 and 1-1.

b. FAA Form 3400-6, Certification Authority Requirements Agreements. There is no change to the use of this form. The guidance in 3400.3H still applies.

c. FAA Form 3000-14, ATO Training Plan. There is no change to the use of this form. The guidance in 3400.3H and 3000.10B still applies.

d. FAA Form 3400-15, Performance Examination Cover Sheet. This revised form must be used for documenting all field performance examinations, nationally or locally developed, and for designating the examiner. It is initiated in CMRIS and then printed for use. The CMRIS program will populate the data entry as much as possible including automatically sending email notification of pending actions. See paragraph 28a(4) for filing. Specific guidance for completing the form and examples are provided in Appendix 1, Figures 2, 2-1, 2-2 and 2-3.

e. FAA Form 3400-15a, Technical Operations Hiring, Training and Certification (TOHTC) Performance Examination Cover Sheet. This form must be used for documenting Hands-On Training and the performance examination given to technical specialists in the TOHTC initiative. It also designates the examining instructor. See paragraph 28a(5) for filing. Specific guidance for completing the form and a blank form is provided in Appendix 1, Figures 3 and 3-1.

f. FAA Form 3400-16, On-The-Job Progress Form for Certifiable Systems. This new form must be used for documenting all OJT for certifiable systems, nationally or locally developed, and can be used to authorize an extension of the OJT hours. It is initiated in CMRIS and then printed for use. The CMRIS program will automate the data entry as much as possible. See paragraph 28a(3) for filing. Specific guidance for completing the form and examples are provided in Appendix 1, Figures 4, 4-1 and 4-2.

30. Form and Record Correction Procedures (Replaces 3400.3H, paragraph 72). Due to administrative mistakes or oversights, forms and records sometimes contain errors. For paper documents, errors may be corrected by lining through the error and initialing on the line and then entering the correct data. Correction of errors to the official copy of the FAA Form 3400-3 in the CMRIS database, are to be made in accordance with the instructions contained in CMRIS. If an FAA Form 3400-3 correction changes the theory, OJT or performance qualification course, not just the date, the correction must be approved by the District/OCC/AMA-400 Manager and the approval noted in the comments block. For the official FAA Form 3400-3, the record of original entry will be in the original column and any corrections will be in a column with the same number and a letter. The FAA Form 3400-3's in the 11/01 format will still be editable for corrections and will require a comment in the

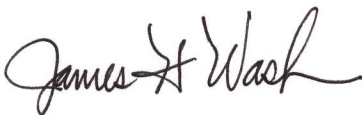
Remarks block about the correction. Certification authorities entered on FAA Forms 3400-3 prior to 1/1/1998 are considered to be valid and do not require correction. Certification authorities entered on FAA Forms 3400-3 prior to 3/5/2002 do not need dates or course information for OJT because entries on OJT were not required prior to that date. Examples of corrected entries are provided in Appendix 1, Figure 1-1, columns 11, 11A, 12 and 12A. If a mistake was not administrative, for example, the individual actually took the wrong course or examination, the Certification Authority cannot be corrected and must be revoked.

31. Automation of Records (Replaces 3400.3H, paragraph 74). Implementation of a national standard database (CMRIS) for certification and training is desired to cross-reference the certification requirements for the position to the training history of the technical specialist. Automation permits the generation of FAA Form 3400-15, and FAA Form 3400-16 in a system that can provide auto-population of some fields and then the form can be printed at the final point of use. Automating FAA Form 3400-3, Certification Authority Record removes cumbersome signature requirements in the paper form, provides a means of national data collection, and reduces errors. The database must provide a cumulative (historical) record of the personnel certification/training for each technical specialist. FAA Forms 3400-3 superseded by automation should be retained for historical purposes.

a. Authority. CMRIS is the only system that may be used to automate personnel certification records.

b. CMRIS databases must be electronically backed up and the backup files should be secured in a fireproof environment or at another location. The retention of these files must be in accordance with the latest version of FAA Order 1350.15.

c. Signatures. The authorized individual using CMRIS identification and passwords assigned to them personally does the supervisory endorsement and granting or revocation of certification authority on FAA Form 3400-3 in CMRIS. The individual's name is entered in the block when the endorsement, granting or revocation is made. The individual identification and password replaces the signature on the existing paper form. FAA Form 3400-15 has approval blocks that can be done in CMRIS with individual identification and password or may have a signature when the form is printed for use. The entry in CMRIS or the signature on the form when printed validates existing data.



James H. Washington
Vice President, Acquisition and Business Services
Air Traffic Organization

Eight Appendices Attached

Appendix 1. Listing of Forms and Examples

Except for FAA Form 3400.15a which is only used at the FAA Academy and is printed as needed, the forms listed below must be initiated in CMRIS and are only available through CMRIS.

<u>Form Number</u>	<u>Title</u>	<u>NSN/Unit of Issue/Source</u>
FAA Form 3400-3	Technical Operations Personnel Certification/Verification Authority Record	Available in CMRIS
FAA Form 3400-15	Performance Examination Cover Sheet	Available in CMRIS
FAA Form 3400-15a	TOHTC Performance Examination Cover Sheet	Printed at FAA Academy as needed
FAA Form 3400-16	On-the-Job Training (OJT) Progress Form for Certifiable Systems	Available in CMRIS

NOTE: All examples shown in Appendix 1 are intended to provide guidance to personnel involved in making these entries. See FIST, NJO3400.39 Appendices for the latest examples and instructions.

**Figure 1. Instructions for Preparing FAA Form 3400-3, Technical Operations Personnel
Certification/Verification Authority Record**

This form resides in the Certification Tracking System (CTS) portion of CMRIS and is the official certification authority record. Access to CMRIS is covered in Appendix 6 and is limited to those individuals who have a need to initiate, edit, endorse, grant and print certification authority forms. The most current instructions for completing a FAA Form 3400-3 in CTS are located on the CMRIS website and/or on FIST. The information for the form is completed on an entry screen. The following is a row by row description of the form and brief entry procedures by Row number.

1. The name of the technical specialist and the last four digits of his/her eLMS Identification will be displayed based on the selection made in CMRIS. Certification Authority will be shown for FAA technical specialists and Verification Authority for non-Federal technicians.
2. The page number and column numbers will automatically update on each page.
3. Contains the system, subsystem, equipment or Service from a drop down listing of acronyms as used in Appendix 5. They are based on FAA Order 6000.15, Appendix 3. One of the selections will be Annual Review for use by the supervisor/manager and the District second level manager/OCC/Service Area TSOG/Service Area PSOG/AMA-400 Manager. The FAC is selected first on the entry screen. The selection criteria can be changed to include SSC, DO or entire FAC list.
4. Contains the FIC(s) as listed in Appendix 5. One selection may be "all FICs". The FIC pick list on the entry screen is sorted based on the FAC selection of Row 3.
5. Contains the specific equipment as listed in Appendix 5.
6. Contains the authority type, Regular, Temporary, or Remote Regular. If Temporary is selected, a revocation date three months after the granting date automatically displays in row 27. The revocation date for a Temporary can be changed to the minimum period of one month or the maximum period of six months, if necessary.
7. Contains the Theory of Operations course in the eLMS format of "FAAXXXXXX". If a course is listed in Appendix 5 it will be shown here. The entry screen will show applicable course, one may be selected or, if desired for a Temporary cert it may be left blank. The Theory, OJT and PE information will auto-populate if eLMS completions are in the employees training history.
8. Contains theory remarks.
9. Contains the date of the Theory completion in the mm/dd/yyyy format.
10. Contains the OJT Qualification Method course(s) from Appendix 5 for the FIC selected. The national course will be shown on the pick list, if no national course exists, "Locally Developed OJT IAW NJO3400.39 8b(1) & 24" will display.

11. Contains OJT remarks. A mandatory entry is the name of the OJT Instructor(s) for field conducted OJT. Do not enter an instructors name for EHOT courses, enter NA as shown in Figure 1-1, column 10.
12. Contains the date of the OJT completion in the mm/dd/yyyy format.
13. Contains the Performance Examination(s) from Appendix 5 for the selected FIC . The PE(s) for the FIC selected will be shown on the pick list, if no national performance exam exists, "Locally Developed PE IAW NJO3400.39 par 8c(1)(b) & 15g" will display.
14. Contains the Performance Examination Title and will auto-populate based on the previous selection. For a locally developed performance examination, it contains the name of the system, subsystem, equipment or service.
15. Contains Performance Qualifying remarks. A mandatory entry is the name of the Performance Examination Examiner. NOTE: The name of the FAA Employee who administered a Demonstration of Proficiency IAW NJO3400.39 par 8c(2) is not required.
16. Contains the date of the Performance Examination completion in the mm/dd/yyyy format.
17. Contains the name of the individual making the submission of the 3400-3 to the first level Supervisor/Manager for Endorsement and the date submitted. The name and date are entered automatically upon completion of row 18.
18. Contains the word "Submitted" after the individual making the entry has chosen the name of the SSC Manager who will be sent an email stating that the certification authority record is ready for endorsement. Once the name is entered and the email sent, this row is populated with "Submitted".
19. Contains additional comments. This row will contain a drop-down listing for the annual review comments. To document the paragraph 11b annual review, the supervisor/manager must select the drop-down statement "ATSS proficient for all authorities on 3400-3" and then enter his/her initials. To document the paragraph 11c annual review, the District second level manager/OCC/Service Area TSOG/Service Area PSOG/AMA-400 Manager must select the drop-down statement "All certification authorities on 3400-3 continued" and then enter his/her initials.
20. Rows 20, 21 and 22 are only accessible by this employee's SSC Manager, or the person that the email of row 18 was addressed to. Row 20 is filled in when the first level supervisor/manager clicks on the Endorse button. The name of the individual making the entry is taken from their CMRIS identification and is entered in row 20.
21. This date is populated when row 22 is clicked. The date can be modified by the endorser.
22. The endorser clicks on the Endorse button to bring up a screen where he/she will enter the name of the District second level manager/OCC/Service Area TSOG/Service Area PSOG/AMA-400 Manager who will be sent an email stating that the certification authority record is ready for his/her action. Once the name is entered, a button is clicked and an email is sent and this row is filled in with "Endorsed" along with the information in rows 20 and 21.
23. Rows 23, 24 and 25 are only accessible by this supervisor/manager's District second level manager/OCC/Service Area TSOG/Service Area PSOG/AMA-400 Manager, or the person that the email of line 20 was addressed to. Row 23 is filled in when the District second level

manager/OCC/Service Area TSOG/Service Area PSOG/AMA-400 Manager clicks on the Granted button. The name of the individual making the entry is taken from their CMRIS identification and is entered in row 23.

24. This date is populated when row 25 is clicked. The date can be modified by the grantor.

25. This row will say Granted for a completed certification authority. When the grantor clicks on the Granted button to grant the authority an email will be sent to the employee stating that the certification authority is granted, this row is filled in with "Granted" along with the information in rows 23 and 24.

26. Rows 26, 27 and 28 are only accessible by this employee's District second level manager/OCC/Service Area TSOG/Service Area PSOG/AMA-400 Manager. This row and row 27 are populated when the District second level manager/OCC/Service Area TSOG/Service Area PSOG/AMA-400 Manager clicks on the Revoked button. The name of the individual making the entry is taken from their CMRIS identification and is entered in row 26 along with the present date in row 27. The individual making the revocation has the option to type in a date in row 27.

27. This date is populated when the Revoked button is clicked. The date can be modified by the grantor. If Temporary is selected in row 6, the revocation date three months after the granting date displays. The revocation date for a Temporary can be changed to the minimum period of one month or the maximum period of six months if necessary.

28. This row will say "Revoked" when the District second level manager/OCC/Service Area TSOG/Service Area PSOG/AMA-400 Manager clicks on the Revoked button. Note that if Temporary authority is selected in row 6, the revocation date 3 months after the granting date is displayed in row 27 and "Revoked" was also automatically entered in row 28. The revocation date for a Temporary can be changed to the minimum period of one month or the maximum period of six months if necessary.

Figure 1-1. Sample FAA Form 3400-3 (Continued)

1	Employee Name: Robert J. Specialist		Last 4 of eLMSid: 9999	Certification Authority
2	Page X of X	10	11	11A
3	SYSTEM, SUBSYSTEM, EQUIPMENT OR SERVICE	ITWS	ATCT	
4	FACILITY IDENTIFICATION CODE(S)	46MA	02AA, 02AB, 02AZ	
5	Specific equipment as in NJO3400.39, App 5	ITWS, Control Site only	ATCT, Emergency Transceivers at ATCTs	
6	CERTIFICATION TYPE	Regular	Regular	
7	THEORY-OF-OPERATIONS QUALIFICATION	FAA40667	47504	
8	Theory Remarks			
9	Date Qualified	11/11/200X	08/04/200X	09/01/200X
10	OJT QUALIFICATION METHOD	FAA40667	Locally Developed OJT IAW NJO3400.39 par 8b(1) & 24	
11	OJT Remarks	NOTE: Do not enter instructors name for EHOT	Instructor Bob Roberts	
12	Date OJT Completed	11/11/200X	11/12/200X	
13	PERFORMANCE QUALIFYING METHOD	FAA89026	FAA88591	
14	Perf Exam Title	ITWS Demonstration of Proficiency	ATCT, EMERGENCY TRANSCEIVER (CP80)	
15	Perf Qualifying Remarks	NOTE: Do not enter examiners name for DoP	Examiner, Tom Nixon	
16	Date Qualified	11/12/200X	11/24/200X	
17	Individual making entry: Name/Date	Jeannie Thompson 11/15/200X	John Jones, 12/05/200X	
18	Enter Email addressees and Submit this entry	Submitted	Submitted	
19	COMMENT BLOCK	EXAMPLE OF ENTRY FOR THE NEW CONCEPT OF ENHANCED HANDS-ON TRAINING AND CONDUCTED AT THE FAA ACADEMY	EXAMPLE OF ENTRY WITH A CORRECTION OF DATE, ORIGINAL ENTRY COLUMN STAYS THE SAME	EXAMPLE OF CORRECTION COLUMN ENTRY WITH A CORRECTION OF THEORY DATE, ADDITIONAL APPROVAL NOT REQUIRED John Jones corrected wrong theory date 12/29/200X
20	1ST LEVEL SUPERVISOR ENDORSEMENT	Robert J. Supervisor Jr.	Robert J. Supervisor Jr.	
21	Endorsement Date	11/16/200X	12/05/200X	
22	Endorsement	ENDORSED	ENDORSED	
23	CERTIFICATION AUTHORITY GRANTOR	Dave D Manager	Dave D Manager	
24	Date Granted	11/17/200X	12/05/200X	
25	Authority Granted	GRANTED	GRANTED	
26	CERTIFICATION AUTHORITY REVOKED			
27	Date Revoked			
28	Authority Revoked			

Figure 1-1. Sample FAA Form 3400.3 (Continued)

1	Employee Name: Robert J. Specialist		Last 4 of eLMSid: 9999	Certification Authority
2	Page X of X	4	5	6
3	SYSTEM, SUBSYSTEM, EQUIPMENT OR SERVICE	RVR	Annual Review	ESATD
4	FACILITY IDENTIFICATION CODE(S)	47AD		No FIC
5	Specific equipment as in NJO3400.39, App 5	RVR, Tasker 400		ESATD, Service, for CCCH
6	CERTIFICATION TYPE	Regular		Regular
7	THEORY-OF-OPERATIONS QUALIFICATION	Informal, per NJO3400.39 par 8a(6)		FAA49275
8	Theory Remarks	Used FAA40252 as theory, none available for this RVR		
9	Date Qualified	9/20/200X		07/08/200X
10	OJT QUALIFICATION METHOD	Locally Developed OJT IAW NJO3400.39 par 8b(1) & 24		Locally Developed OJT IAW NJO3400.39 par 8b(1) & 24
11	OJT Remarks	Instructor Bob Smith		Instructor Gene Anderson
12	Date OJT Completed	10/18/200X		07/24/200X
13	PERFORMANCE QUALIFYING METHOD	Locally Developed PE IAW NJO3400.39 par 8c(1)(b)&15g		FAA88926
14	Perf Exam Title	LLWAS, Sanyamo Weston		ESAFP (FORMERLY CFAD)/ESATD (FORMERLY CRAD/DRAD) (DP25)
15	Perf Qualifying Remarks	Thomas Jones, Examiner		Ted Wilson, Examiner
16	Date Qualified	12/12/200X		08/09/200X
17	Individual making entry: Name/Date	John Jones 12/20/200X		Jeannie Thompson 08/15/200X
18	Enter Email addressees and Submit this entry	Submitted		Submitted
19	COMMENT BLOCK	EXAMPLE OF A REGULAR CERT WHEN THERE IS NO NATIONAL THEORY, OJT OR PE	EX OF ANNUAL REVIEWS ATSS proficient for all currently granted authorities on 3400-3, RJS All granted certification authorities on 3400-3 continued, DDM	EXAMPLE OF SERVICE ENTRY WHERE THERE IS A NATIONAL THEORY AND PE
20	1ST LEVEL SUPERVISOR ENDORSEMENT	Robert J. Supervisor Jr.	Robert J. Supervisor Jr.	Robert J. Supervisor Jr.
21	Endorsement Date	12/20/200X	11/15/200X	08/16/200X
22	Endorsement	ENDORSED	Authorities Endorsed	ENDORSED
23	CERTIFICATION AUTHORITY GRANTOR	Dave D Manager	Dave D Manager	Dave D Manager
24	Date Granted	12/21/200X	11/17/200X	08/17/200X
25	Authority Granted	GRANTED	Authorities Continued	GRANTED
26	CERTIFICATION AUTHORITY REVOKED			
27	Date Revoked			
28	Authority Revoked			

Figure 1-1. Sample FAA Form 3400-3 (Continued)

1	Employee Name: Robert J. Specialist		Last 4 of eLMSid: 9999	Certification Authority
2	Page X of X	7	8	9
3	SYSTEM, SUBSYSTEM, EQUIPMENT OR SERVICE	DME	PCS	VOR
4	FACILITY IDENTIFICATION CODE(S)	12EN	8350	11AE
5	Specific equipment as in NJO3400.39, App 5	DME, Thales 415 SE LPDME	PCS, UPS, Mitsubishi 9700 Series	VOR, Second Generation Civil, FA-9996
6	CERTIFICATION TYPE	Temporary	Temporary	Remote Regular
7	THEORY-OF-OPERATIONS QUALIFICATION	FAA40292	Not Available	FAA47701
8	Theory Remarks		Used previous course 40157 as theory	Previously completed in the field
9	Date Qualified	05/10/200X	9/26/2002	03/20/199X
10	OJT QUALIFICATION METHOD	N/A	N/A	Locally Developed OJT IAW NJO3400.39 par 8b(1) & 24
11	OJT Remarks			MOCC OJT by Tom Jones, Instructor
12	Date OJT Completed			10/10/200X
13	PERFORMANCE QUALIFYING METHOD	N/A	N/A	Locally Developed PE IAW NJO3400.39 par 8c(1)(b)&15g
14	Perf Exam Title			Second Generation VORTAC
15	Perf Qualifying Remarks			VOR PE's done previously, local MOCC PE by Bob Smith
16	Date Qualified			1020/200X
17	Individual making entry: Name/Date	Jeannie Thompson 05/15/200X	John Jones, 06/22/200X	Ellen Hopkins, 10/22/200X
18	Enter Email addressees and Submit this entry	Submitted	Submitted	Submitted
19	COMMENT BLOCK	EXAMPLE OF TEMP WITH THEORY COURSE Temporary Authority granted based on FAA40292 theory and previous experience on other DMEs	EXAMPLE OF TEMP WITH NO THEORY COURSE Temporary Authority granted based on other PCS theory course and previous experience on PCS	EXAMPLE OF REMOTE REG Individual demonstrated proficiency in remote certification of VOR
20	1ST LEVEL SUPERVISOR ENDORSEMENT	Robert J. Supervisor Jr.	Robert J. Supervisor Jr.	Robert J. Supervisor Jr.
21	Endorsement Date	05/17/200X	06/22/200X	10/22/200X
22	Endorsement	ENDORSED	ENDORSED	ENDORSED
23	CERTIFICATION AUTHORITY GRANTOR	Dave D Manager	Dave D Manager	Dave D Manager
24	Date Granted	05/19/200X	06/22/200X	10/22/200X
25	Authority Granted	GRANTED	GRANTED	GRANTED
26	CERTIFICATION AUTHORITY REVOKED	David D Manager	David D Manager	
27	Date Revoked	08/15/200X	09/22/200X	
28	Authority Revoked	REVOKED	REVOKED	

Figure 1-1. Sample FAA Form 3400-3 (Continued)

1	Employee Name: Robert J. Specialist		Last 4 of eLMSid: 9999	Certification Authority
2	Page X of X	10	11	11A
3	SYSTEM, SUBSYSTEM, EQUIPMENT OR SERVICE	ITWS	ATCT	
4	FACILITY IDENTIFICATION CODE(S)	46MA	02AA, 02AB, 02AZ	
5	Specific equipment as in NJO3400.39, App 5	ITWS, Control Site only	ATCT, Emergency Transceivers at ATCTs	
6	CERTIFICATION TYPE	Regular	Regular	
7	THEORY-OF-OPERATIONS QUALIFICATION	FAA40667	47504	
8	Theory Remarks			
9	Date Qualified	11/11/200X	08/04/200X	09/01/200X
10	OJT QUALIFICATION METHOD	FAA40667	Locally Developed OJT IAW NJO3400.39 par 8b(1) & 24	
11	OJT Remarks	NOTE: Do not enter instructors name for EHOT	Instructor Bob Roberts	
12	Date OJT Completed	11/11/200X	11/12/200X	
13	PERFORMANCE QUALIFYING METHOD	FAA89026	FAA88591	
14	Perf Exam Title	ITWS Demonstration of Proficiency	ATCT, EMERGENCY TRANSCEIVER (CP80)	
15	Perf Qualifying Remarks	NOTE: Do not enter examiners name for DoP	Examiner, Tom Nixon	
16	Date Qualified	11/12/200X	11/24/200X	
17	Individual making entry: Name/Date	Jeannie Thompson 11/15/200X	John Jones, 12/05/200X	
18	Enter Email addressees and Submit this entry	Submitted	Submitted	
19	COMMENT BLOCK	EXAMPLE OF ENTRY FOR THE NEW CONCEPT OF ENHANCED HANDS-ON TRAINING AND CONDUCTED AT THE FAA ACADEMY	EXAMPLE OF ENTRY WITH A CORRECTION OF DATE, ORIGINAL ENTRY COLUMN STAYS THE SAME	EXAMPLE OF CORRECTION COLUMN ENTRY WITH A CORRECTION OF THEORY DATE, ADDITIONAL APPROVAL NOT REQUIRED John Jones corrected wrong theory date 12/29/200X
20	1ST LEVEL SUPERVISOR ENDORSEMENT	Robert J. Supervisor Jr.	Robert J. Supervisor Jr.	
21	Endorsement Date	11/16/200X	12/05/200X	
22	Endorsement	ENDORSED	ENDORSED	
23	CERTIFICATION AUTHORITY GRANTOR	Dave D Manager	Dave D Manager	
24	Date Granted	11/17/200X	12/05/200X	
25	Authority Granted	GRANTED	GRANTED	
26	CERTIFICATION AUTHORITY REVOKED			
27	Date Revoked			
28	Authority Revoked			

Figure 1-1. Sample FAA Form 3400-3 (Continued)

1	Employee Name: Robert J. Specialist		Last 4 of eLMSid: 9999	Certification Authority
2	Page X of X	12	12A	13
3	SYSTEM, SUBSYSTEM, EQUIPMENT OR SERVICE	ATCT	ATCT	LOC
4	FACILITY IDENTIFICATION CODE(S)	02AA, 02AB, 02AZ	02AA, 02AB, 02AZ	14CS
5	Specific equipment as in NJO3400.39, App 5	ATCT, Emergency Transceivers at ATCTs	ATCT, Emergency Transceivers at ATCTs	LOC Mark 1F, Log Periodic
6	CERTIFICATION TYPE	Regular	Regular	Regular
7	THEORY-OF-OPERATIONS QUALIFICATION	44024	47504	47702
8	Theory Remarks	12/20/200X	John Jones corrected theory course 12/18/200X	TRW
9	Date Qualified	08/04/200X	06/244/200X	7/2/95
10	OJT QUALIFICATION METHOD	Locally Developed OJT IAW NJO3400.39 par 8b(1) & 24	Locally Developed OJT IAW NJO3400.39 par 8b(1) & 24	
11	OJT Remarks	Instructor Bob Roberts	Instructor Bob Roberts	
12	Date OJT Completed	11/12/200X	11/12/200X	
13	PERFORMANCE QUALIFYING METHOD	FAA88591	FAA88591	
14	Perf Exam Title	ATCT, EMERGENCY TRANSCEIVER (CP80)	ATCT, EMERGENCY TRANSCEIVER (CP80)	NP53
15	Perf Qualifying Remarks			TRW
16	Date Qualified	11/24/200X	11/24/200X	
17	Individual making entry: Name/Date	John Jones, 12/05/200X	John Jones, 12/18/200X	Ellen Hopkins, 10/22/200X
18	Enter Email addressees and Submit this entry	Submitted	Submitted	Submitted
19	COMMENT BLOCK	EXAMPLE OF ENTRY WITH A CORRECTION OF THEORY COURSE, ORIGINAL ENTRY COLUMN STAYS THE SAME	EXAMPLE OF ENTRY WITH A CORRECTION OF THEORY COURSE, NEW APPROVAL REQUIRED Corrected Theory course, John Jones, 12/18/200X	EXAMPLE OF TRANSFER FROM PAPER FORM Transferred IAW 28d. ABC SSC, 9/15/95, Regular Certification Authority Granted on LOC (Log Periodic, MK-1F), Robert Smith, Mgr ABC SMO
20	1ST LEVEL SUPERVISOR ENDORSEMENT	Robert J. Supervisor Jr.	Robert J. Supervisor Jr.	
21	Endorsement Date	12/05/200X	12/19/200X	
22	Endorsement	ENDORSED	ENDORSED	
23	CERTIFICATION AUTHORITY GRANTOR	Dave D Manager	Dave D Manager	
24	Date Granted	12/05/200X	12/20/200X	
25	Authority Granted	GRANTED	GRANTED	
26	CERTIFICATION AUTHORITY REVOKED			
27	Date Revoked			
28	Authority Revoked			

Figure 1-1. Sample FAA Form 3400-3 (Continued)

1	Employee Name: Robert J. Specialist		Last 4 of eLMSid: 9999	Certification Authority
2	Page X of X	14	15	16
3	SYSTEM, SUBSYSTEM, EQUIPMENT OR SERVICE	ALS	CPDS	Fac Acronym
4	FACILITY IDENTIFICATION CODE(S)	317H	83DB	FIC
5	Specific equipment as in NJO3400.39, App 5	ALS, ALSF-II NBP, FA-10700	CPDS, Critical Power Distribution System (CRPDS)	Name as on App 5
6	CERTIFICATION TYPE	Regular	Regular	Regular
7	THEORY-OF-OPERATIONS QUALIFICATION	FAA40148	See pre-existing Interim dated 8/22/200X	FAAXXXXX
8	Theory Remarks		Conversion of pre-existing Interim	Nationally approved course per NJO3400.39 par 10b
9	Date Qualified	08/20/200X	8/22/200X	
10	OJT QUALIFICATION METHOD	Waived per NJO3400.39 par 27	See pre-existing Interim dated 8/22/200X	Not required per NJO3400.39 par 10b
11	OJT Remarks	Waiver approved by Bob Jones, CSA Admin Ser Group Manager	Conversion of pre-existing Interim	3 plus years of experience as a certified specialist on XXXX
12	Date OJT Completed	09/18/200X	8/22/200X	
13	PERFORMANCE QUALIFYING METHOD	FAA88620	See pre-existing Interim dated 8/22/200X	Not required per NJO3400.39 par 10b
14	Perf Exam Title	ALSF-2, FA-10700, NBP (EP16)	N/A	
15	Perf Qualifying Remarks	Tim Smith, Examiner	Conversion of pre-existing Interim	3 plus years of experience as a certified specialist on XXXX
16	Date Qualified	10/02/200X	8/22/200X	10/22/200X
17	Individual making entry: Name/Date	Ellen Hopkins, 10/02/200X	Jeannie Thompson 11/15/200X	Ellen Hopkins, 10/02/200X
18	Enter Email addressees and Submit this entry	Submitted	Submitted	Submitted
19	COMMENT BLOCK	EXAMPLE OF ENTRY WHERE THE OJT WAS WAIVED BY THE SA ADMIN SVCS GROUP MGR Waiver memorandum filed in Official Certification Record File	EXAMPLE OF ENTRY FOR CONVERSION OF PRE-EXISTING INTERIM Converted Interim per NJO3400.39 par 9c	EXAMPLE OF REGULAR ENTRY PER NJO3400.39 PAR 34B One of two specialists in 2 nd levels organization granted regular authority per NJO3400.39 par 10b
20	1ST LEVEL SUPERVISOR ENDORSEMENT	Robert J. Supervisor Jr.	Robert J. Supervisor Jr.	Robert J. Supervisor Jr.
21	Endorsement Date	10/05/200X	11/25/200X	10/05/200X
22	Endorsement	ENDORSED	ENDORSED	ENDORSED
23	CERTIFICATION AUTHORITY GRANTOR	Dave D Manager	Dave D Manager	Dave D Manager
24	Date Granted	10/07/200X	11/28/200X	10/07/200X
25	Authority Granted	GRANTED	GRANTED	GRANTED
26	CERTIFICATION AUTHORITY REVOKED			
27	Date Revoked			
28	Authority Revoked			

**Figure 2. Instructions for Preparing FAA Form 3400-15, Performance Examination
Cover Sheet**

This form is initiated in the Certification Tracking System (CTS) portion of CMRIS and is then printed for use. The intent is to only print the form at the point of use to gain efficiency by not mailing forms back and forth. Access to CMRIS is covered in Appendix 6 and is limited to those individuals who have a need to initiate, edit and print forms. The most current instructions for completing a FAA Form 3400-15 in CTS are located on the CMRIS website and/or on FIST. The information is entered on an entry screen. The following is a row by row description of the form and brief entry procedures.

1. Section A is the request for the examination and contains the following information:

a. eLMS Number. The eLMS examination number is displayed on a pick list for all Performance Examinations (PE's) approved by the Technical Operations Training and Development Group. For certifiable systems without a nationally approved performance examination, the words "Locally Developed PE" must be selected from the top of the list.

b. Examination number/complete title/Facility Identification Code (FIC), and estimated time are auto-populated based on the eLMS number. For a locally developed performance examination per paragraphs 8c(1)(b) & 15g the name of the system, subsystem, equipment or service being tested, as shown on Appendix 5, will be entered here. The hours for a locally developed performance examination are a local estimate.

c. Examinee's name and the last four digits of his/her eLMS Identification are auto-populated based on the selection of the employee.

2. Section B is the official designation of examiner and verifies that the examiner is qualified to administer the examination. This section contains the following information:

a. The name of the Designated Examiner. When the form is being initiated in CMRIS/CTS by a first level supervisor he/she may enter the name of a proposed examiner. The final entry of the name is made by the PSCM/PSS based on their certification of the examiner.

b. The name and location of the Examiner's manager that the action was coordinated through is manually entered.

c. The PSCM/PSS must certify that the Designated Examiner meets all the requirements of paragraph 15h. This may be done by printing the form and signing and dating it, or the PSCM/PSS may click on the signature block and the name of the individual making the entry is taken from their CMRIS identification and is entered along with the today's date. Either a signature or the automatic entry serves as the certification.

d. If the PSS printed the form, it is then routed to the District second level manager for signature and date to designate the examiner. If the PSS didn't print the form, an email box will come up and the PSS will enter the name of the District second level manager who will perform the designation of examiner. The email will be sent to the District second level manager and he/she may either print the form to manually sign it or may click on the signature block and the name of the individual making the entry is taken from their CMRIS identification and is entered along with the current date.

e. At this point, the Section B is complete and the form, if not already printed, is printed at the point of use. This may be the PSS who will mail it out or send it to the Designated Examiner as a PDF file, or it may be the SSCM.

3. Section C is utilized by the Designated Examiner to record the examination results. It must contain the following information:

a. Major equipment identification, type, and location.

b. Results of examination including: the total number of tasks (the total of all the "S" and "U" entries in all the columns), number of unsatisfactory tasks (the "U" entries in all the columns), and percentage of satisfactory tasks. The percentage equals the #Total Tasks minus the #Unsat Tasks divided by the #Total Tasks and then multiplied times 100 to remove the decimal point. The form states that 90% is required to pass the examination.

c. The total time used for the examination. Paragraph 15c requires approval of a staff manager or District second level manager if the examination is allowed to exceed the Estimated Time by more than 20%.

d. Signature of the Designated Examiner and date examination is completed.

4. The reverse side of the form must be used by the examiner to record any failed items. For locally developed examinations, the certification and key performance parameters tested must be listed on the reverse side of the form. Additional comments related to the examination; e.g. observer signature may also be entered here.

5. The completed form must be forwarded to the Training Specialist for processing. The cover sheets for successfully completed national and locally developed performance examinations only need to be kept for 24 hours after the completion has been entered in eLMS, on FAA Form 3400-3 in CMRIS and the certification authority has been granted. The name of the Examiner must be entered in the Perf Exam Comments block of Form 3400-3. FAA Form 3400-15 for a failed performance examination must be kept until the performance examination is successfully completed and certification authority has been granted.

**Figure 2-1. Sample FAA Form 3400.15, Performance Exam (PE)
Cover Sheet (Example for National PE)**

PERFORMANCE EXAMINATION COVER SHEET Technical Operations Personnel Certification Program eLMS# <u>FAA88753</u>				
A. REQUEST FOR EXAM				
NP53 (88753) ILS, WILCOX MARK 1F LOCALIZER TYPE FA-9903 (NP53)			8 HOURS	
Exam Number/Title 14CJ 14CS			Estimated Exam Time	
Facility Identification Code(s) (FIC) ROBERT J. SPECIALIST			1234	
Examinee Name			Last four digits of eLMS ID	
B. OFFICIAL DESIGNATION				
Ben D. Examiner		Tom Supervisor / DEF SSC		
Designated Examiner (Name)		Coordinated through (Name/Location of Examiner's Manager)		
I certify that the designated examiner meets all requirements of FAA Notice NJO 3400.39 paragraph 15.b and that the examiner is qualified to administer the exam.				
JOHN JONES			09/12/200X	
PSCM/PSS (Approval in CMRIS or Signature)			Date	
In accordance with FAA Notice NJO 3400.39, you are designated as examiner . As the examiner, you should familiarize yourself with the instructions to the examiner, found in FAA Notice NJO3400.39 Appendix 8 or in the examination. Any failed items must be listed on the reverse side of this sheet. In the event of an examination failure, test equipment must also be listed on the reverse side of this sheet.				
<u>This designation will expire three (3) months from the date of the Manager's signature.</u>				
David D. Manager			09/12/200X	
District second level/OCC/SA POG/SA TSOG/Manager (Approval in CMRIS or Signature)			Date	
C. EQUIPMENT IDENTIFICATION				
<u>Major Equipment</u>	<u>Type</u>	<u>Facility Location</u>		
<i>LOC Transmitter</i>	<i>FA-9908</i>	<i>Hawley, TN</i>		
<i>LOC Monitor</i>	<i>FA-9907</i>	<i>Hawley, TN</i>		
Results:	144	0	100%	6 hours
	Total # Tasks	# Unsat Tasks	% Satisfactory Tasks, (90% required to Pass)	Total time
			PASS	
			Pass/Fail	
Ben D Examiner			11/2/200X	
Designated Examiner (Signature)			Date Exam Completed	

FAA Form 3400-15 (08/07) Printed from CMRIS

**This form must be forwarded to the Training Specialist for Processing

**Figure 2-2. Sample FAA Form 3400-15, PE Cover Sheet
(Example for Locally Developed PE)**

PERFORMANCE EXAMINATION COVER SHEET Technical Operations Personnel Certification Program eLMS# <u>Locally Developed</u>				
A. <u>REQUEST FOR EXAM</u>				
<div style="border: 1px solid black; padding: 2px;">Aerocom DME Model 5351</div>			<div style="border: 1px solid black; padding: 2px;">8 HOURS</div>	
Exam Number/Title			Estimated Exam Time	
<div style="border: 1px solid black; padding: 2px;">12EG</div>				
Facility Identification Code(s) (FIC)				
<div style="border: 1px solid black; padding: 2px;">ROBERT J. SPECIALIST</div>			<div style="border: 1px solid black; padding: 2px;">1234</div>	
Examinee Name			Last four digits of eLMS ID	
B. <u>OFFICIAL DESIGNATION</u>				
<div style="border: 1px solid black; padding: 2px;">Debbie D. Examiner</div>		<div style="border: 1px solid black; padding: 2px;">Donna D. Manager / XXX District</div>		
Designated Examiner (Name)		Coordinated through (Name/Location of Examiner's Manager)		
I certify that the designated examiner meets all requirements of FAA Notice NJO 3400.39 paragraph 15.b and that the examiner is qualified to administer the exam.				
<div style="border: 1px solid black; padding: 2px;">JUDY D. SPECIALIST</div>			<div style="border: 1px solid black; padding: 2px;">02/10/200X</div>	
PSCM/PSS (Approval in CMRIS or Signature)			Date	
In accordance with FAA Notice NJO 3400.39, you are designated as examiner . As the examiner, you should familiarize yourself with the instructions to the examiner, found in FAA Notice NJO3400.39 Appendix 8 or in the examination. Any failed items must be listed on the reverse side of this sheet. In the event of an examination failure, test equipment must also be listed on the reverse side of this sheet.				
<u>This designation will expire three (3) months from the date of the Manager's signature.</u>				
<div style="border: 1px solid black; padding: 2px;">Martin R. Manager</div>			<div style="border: 1px solid black; padding: 2px;">02/10/200X</div>	
District second level/OCC/SA POG/SA TSOG/Manager (Approval in CMRIS or Signature)			Date	
C. <u>EQUIPMENT IDENTIFICATION</u>				
<u>Major Equipment</u>	<u>Type</u>	<u>Facility Location</u>		
<i>Aerocom DME Transponder, Monitor and Control Unit</i>	5531	<i>Brooks, MD</i>		
<i>See the reverse side of this form for the Certification and Key Performance Parameters tested.</i>				
Results:	<div style="border: 1px solid black; padding: 2px;">58</div>	<div style="border: 1px solid black; padding: 2px;">0</div>	<div style="border: 1px solid black; padding: 2px;">100%</div>	<div style="border: 1px solid black; padding: 2px;">7.5 Hours</div>
	Total # Tasks	# Unsat Tasks	% Satisfactory Tasks, (90% required to Pass)	Total time
				<div style="border: 1px solid black; padding: 2px;">Pass</div>
				Pass/Fail
<div style="border: 1px solid black; padding: 2px;">Debbie D. Examiner</div>			<div style="border: 1px solid black; padding: 2px;">02/24/200X</div>	
Designated Examiner (Signature)			Date Exam Completed	

FAA Form 3400-15 (08/07) Printed from CMRIS

****This form must be forwarded to the Training Specialist for Processing**

**Figure 2-3. Sample FAA Form 3400-15, Performance Examination Cover Sheet
(Reverse Side When Used for Locally Developed PE'S)**

The following is a sample of entries on the back of a Performance Examination Cover Sheet form when used for a locally developed performance examination as required by paragraphs 15g and i. This example is for a Distance Measuring Equipment (DME) model Aerocom 5351. It is an older system that does not have a national performance examination.

Write or type the Certification Parameters and Key Performance Parameters tested on the back of the FAA Form 3400-15. For each item below the examinee is rated either "S" for satisfactory, "U" for unsatisfactory, or "X" for not-applicable in each of three areas: Test Equipment/Procedures/Results. For this particular example that would be 58 tasks, 54 for Key and Certification parameters and 4 for beginning and ending outage coordination (Procedure and Results for each)

Reference: FAA Order 6730.2, Chapter 3, Appendix 1, Table 1

The following Certification Parameters were tested:

- Receiver Sensitivity, paragraph 55b**
- Reply pulse spacing, paragraph 55a(3)(c)**
- Receiver decoder, paragraph 55c(1)**
- Peak power, paragraph 55a(2)**
- Reply delay, paragraph 55c(4)**
- Identification, paragraph 55c(3)**
- Automatic transfer/shutdown and remote monitor alarm, (go/no go)**
- Reply efficiency, paragraph 56c**
- Reply pulse spacing alarm, paragraph 56e**
- Peak power alarm, paragraph 56a**
- Reply delay alarm, paragraph 56d**

The following Key Performance Parameters were tested (those already listed in the Certification Parameters were not listed again):

- Transmitter frequency, paragraph 55a(1)**
- Pulse width, paragraph 55a(3)(a)**
- Output pulse count, paragraph 55a(4)**
- Receiver frequency response, paragraph 55b(2)**
- Identification group pulse pair spacing, paragraph 55c(2)**
- Monitor output pulse count, paragraph 56b**
- Monitor alarm delays, paragraph 57**

In addition to the parameters above the examinee's ability to properly coordinate an outage and return the facility service must be tested.

**Figure 3. Instructions for Preparing FAA For, 3400-15a, TOHTC Performance
Examination Cover Sheet**

FAA Form 3400-15a is only used for one course, the TOHTC new hire communications course. It is not approved for any other use.

FAA Form 3400-15a for a failed performance examination is kept at the FAA Academy.

1. Complete Section A as follows:
 - a. Enter the Exam Number/Title and Estimated Time for the current PE used in the TOHTC.
 - b. Enter the Examinee Name, SSC, Series & Grade, and the last four of the eLMS ID.
2. In Section B circle the appropriate item under Completed for each Topic.
3. Complete Section C as follows:
 - a. Enter the name of the Examining Instructor.
 - b. Print the name of the Academy Section Manager making the designation.
 - c. The Academy Section Manager must sign and date this Section.
4. Complete Section D as follows:
 - a. List the Major Equipment tested.
 - b. Enter the results of Academy Administered Tasks including: the total number of tasks (the total of all the "S" and "U" entries in all the columns), number of unsatisfactory tasks (the "U" entries in all the columns), and percentage of satisfactory tasks. The percentage equals the #Total Tasks minus the #Unsat Tasks divided by the #Total Tasks and then multiplied times 100 to remove the decimal point.
 - c. Signature and Title of the Designated Examiner and date examination is completed.

Figure 3-1. Sample FAA Form 3400-15a, TOHTC Performance Examination Cover Sheet

TECHNICAL OPERATIONS HIRING TRAINING AND CERTIFICATION (TOHTC) PERFORMANCE EXAMINATION COVER SHEET Maintenance Personnel Certification Program																			
A	<div style="border-bottom: 1px solid black; margin-bottom: 5px;"></div> <div style="text-align: center;">eLMS #</div>																		
<div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="text-align: center;">Exam Number/Title</div>			<div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="text-align: center;">Estimated Time</div>																
<div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="text-align: center;">Examinee (Name/SSC)</div>		<div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="text-align: center;">Series & Grade</div>	<div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="text-align: center;">Last four of eLMS ID</div>																
B	HANDS-ON TRAINING EXERCISE PROGRESS (Circle one)																		
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%;">Topics Covered</th> <th style="width: 40%;">Completed</th> </tr> </thead> <tbody> <tr> <td>Safety & Coordination</td> <td style="text-align: center;">Yes No N/A</td> </tr> <tr> <td>Interfaces</td> <td style="text-align: center;">Yes No N/A</td> </tr> <tr> <td>Test Equipment</td> <td style="text-align: center;">Yes No N/A</td> </tr> </tbody> </table>		Topics Covered	Completed	Safety & Coordination	Yes No N/A	Interfaces	Yes No N/A	Test Equipment	Yes No N/A	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%;">Topics Covered</th> <th style="width: 40%;">Completed</th> </tr> </thead> <tbody> <tr> <td>System Operation</td> <td style="text-align: center;">Yes No N/A</td> </tr> <tr> <td>Preventative Maintenance</td> <td style="text-align: center;">Yes No N/A</td> </tr> <tr> <td>Troubleshooting</td> <td style="text-align: center;">Yes No N/A</td> </tr> </tbody> </table>		Topics Covered	Completed	System Operation	Yes No N/A	Preventative Maintenance	Yes No N/A	Troubleshooting	Yes No N/A
Topics Covered	Completed																		
Safety & Coordination	Yes No N/A																		
Interfaces	Yes No N/A																		
Test Equipment	Yes No N/A																		
Topics Covered	Completed																		
System Operation	Yes No N/A																		
Preventative Maintenance	Yes No N/A																		
Troubleshooting	Yes No N/A																		
I certify that the examinee has met all training and hands-on training exercise requirements.																			
<div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="text-align: center;">Hands-On Training Exercise Instructor (Signature and Printed Name)</div>			<div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="text-align: center;">Date</div>																
C	To:																		
Examining Instructor (Name) _____																			
I certify that the examiner has met all prerequisites and is qualified to administer the exam tasks.																			
In accordance with FAA Notice NJO 3400.39 you are designated as a performance examiner. This designation grants you responsibility for the administration of the performance examination tasks. As an examiner, you should familiarize yourself with FAA Notice NJO 3400.39, and any pertinent FAA Academy guidelines. Any failed items must be listed on the reverse side of this sheet. In the event of a complete failure, test equipment must also be listed on the reverse. This designation will expire three (3) months from the date of the Section Manager's signature.																			
<div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="text-align: center;">Academy Section Manager (Signature/Branch and Printed Name)</div>			<div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="text-align: center;">Date</div>																
D	Major Communication Equipment Identification																		
		Type	Facility Location FAA Academy																
Results of Academy Administered Tasks:																			
<div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="text-align: center;">Total #</div>	<div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="text-align: center;"># Unsat.</div>	<div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="text-align: center;">% Satisfactory</div>	<div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="text-align: center;">Total Time</div>	<div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="text-align: center;">Pass/Fail</div>															
<div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="text-align: center;">Examining Instructor (Signature and Printed Name)</div>		<div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="text-align: center;">Title</div>	<div style="border: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="text-align: center;">Date Exam Tasks Completed</div>																

**Figure 4. Instructions for Preparing FAA Form 3400-16, On-The-Job Training Progress
Form for Certifiable Systems**

This form is initiated in the Certification Tracking System (CTS) portion of CMRIS and is then printed for use. The intent is to only print the form at the point of use to gain efficiency by not mailing back and forth. Access to CMRIS is covered in Appendix 6 and is limited to those individuals who have a need to initiate, edit and print forms. The most current instructions for completing a FAA Form 3400-16 in CTS are located on FIST. The information is entered on an entry screen. The following is a row by row description of the form and brief entry procedures.

- 1.** The Program Support Specialist (PSS) initiates the OJT Progress Form in CMRIS and selects an employee. The OJT Plan area is the heading information and contains the following information:
 - a.** The trainee name and last four of eLMS Indent auto-populates based on the employee selected.
 - b.** The description of the Service/system/subsystem/equipment. This information will auto-populate if a national course is selected for the next row.
 - c.** The OJT course number, FAALOCAL is entered for locally developed OJT. The Performance Exam/eLMS Number(s) block and the trainee/instructor hours. For national OJT courses this information will auto-populate. If the OJT is going to be locally developed IAW paragraphs 8b(1) & 24, the PSS types in the system, subsystem equipment or service as shown in Appendix 5, the Performance Exam/eLMS Number(s) and an estimate of the trainee/instructor hours. If there is a national Performance Exam the time estimates are obtained from the OJT/PE Compensation table located in FIST.
 - d.** The name and duty location of the OJT Instructor, the date OJT study started and the date OJT instruction started. The OJT Start Dates are filled in after the planning stage of paragraph 23b. If known the PSS may enter the OJT start dates. At this point, the PSS may print out the form and send it to the SSCM or they may email the SSCM and have it printed at the SSC location. This information may be filled in on the entry screen or handwritten after the form is printed.
- 2.** The Instructions/Optional Extension area contains the following information:
 - a.** The time frame in which the OJT trainee must provide progress reports to the SSCM. The SSCM will complete the planning stages of paragraph 23b and will place a check mark in front of the time frame that the trainee will be required to provide progress reports.
 - b.** If an extension of OJT training hours is needed, the SSCM uses the blocks provided on the form to authorize the extension. The SSCM will sign and date the form to authorize an extension of the time.
- 3.** The OJT Progress area is the OJT Progress area and contains the following information:
 - a.** Blocks for the instructor and trainee to initial the nine Elements of Training.
 - b.** An optional block for the instructor's time is provided for those locations that have used the OJT Progress form as a reporting device for instructor OJT pay.

c. In the Total Study Time block, the instructor will enter the total time the trainee spent studying.

d. In the Total Instruction Time block, the instructor will enter the total time spent in OJT instruction.

4. The OJT Completion Status area and contains the following information:

a. If the OJT was successfully completed, the instructor will check that block and both the instructor and the trainee must sign and date the form.

b. If the OJT was not successful, the instructor will check the block recommending it be terminated and sign and date the form.

c. If the SSCM concurs with the status he/she will sign and date the form.

d. The completed form must be forwarded to the Training Specialist for processing. There is no requirement to file the OJT package. The OJT progress forms for successfully completed OJT only need to be kept for 24 hours after the completion has been entered in eLMS, on FAA Form 3400-3 in CMRIS and the certification authority has been granted. The name of the OJT instructor must be entered in the OJT Comments block of Form 3400-3. FAA Form 3400-16 for a failed OJT package must be kept until the OJT package is successfully completed and certification authority has been granted.

Figure 4-1. OJT Progress Form (Example for National OJT)

A. OJT PLAN:

Trainee Name ROBERT J. SPECIALIST Last four of eLMS ID 1234

Service/system/subsystem/equipment ARTS, ARTS IIE Type 9020/A

FAA45332 RP102 / FAA89012 19 hours / 26 hours

OJT Course # Performance Exam/eLMS Number(s) National OJT Trainee Study/Instructor Hours

Thomas Jones / Delta, ND 9/1/200X 9/22/200X

OJT Instructor Name/Duty Location Date OJT Study Started Date OJT Instruction Started

B. INSTRUCTIONS/OPTIONAL EXTENSION:

- The trainee must provide progress reports to the first level supervisor as indicated below:
☒ Weekly ☐ Biweekly ☐ Monthly ☐ Other _____
- The trainer must provide progress reports to the first level supervisor upon request.

****Authorization for Extension to OJT training hours (if needed):**

OJT instruction authorized hours have been extended by _____ hours for a total of _____ hours.

Supervisor's signature Date

C. OJT PROGRESS

Elements of Training	Instructor's Initials	Trainee's Initials	Instructor's Time (optional)
Safety	<i>TJ</i>	<i>RJS</i>	
Coordination	<i>TJ</i>	<i>RJS</i>	
Test Equipment	<i>TJ</i>	<i>RJS</i>	
System Interfaces	<i>TJ</i>	<i>RJS</i>	
System Operation/Alignment	<i>TJ</i>	<i>RJS</i>	
Preventative Maintenance	<i>TJ</i>	<i>RJS</i>	
Troubleshooting	<i>TJ</i>	<i>RJS</i>	
Flight Inspection (if applicable)	<i>TJ</i>	<i>RJS</i>	
Performance Exam Review	<i>TJ</i>	<i>RJS</i>	

Total Study Time 65 hours Total Instruction Time 36 hours

D. OJT COMPLETION STATUS:


☒ I verify that the documentation is accurate and that this OJT assignment has been successfully completed.

Thomas Jones 10/17/200X Robert J Specialist 10/17/200X

Instructor's Signature Date Trainee's Signature Date

☐ I recommend that the above OJT instruction be terminated for the following reasons(s):

Instructor's Signature Date

 I concur with this OJT Status: Robert Supervisor 10/17/200X

Supervisor's Signature Date

****This form must be forwarded to the Training Specialist for processing ****

Figure 4-2. OJT Progress Form (Example for Locally Developed OJT)

E. OJT PLAN:

Trainee Name ROBERT J SPECIALIST Last four of eLMS ID XXXX

Service/system/subsystem/equipment MEART, MicroEARTS

FAALocal RP107 / FAA89015 16 hours / 48 hours
 OJT Course # Performance Exam / eLMS Number(s) National OJT Trainee Study/Instructor Hours

Tim Redmond / ABC SSC 6/19/200X 6/20/200X
 OJT Instructor Name / Duty Location Date OJT Study Started Date OJT Instruction Started

F. INSTRUCTIONS/OPTIONAL EXTENSION:

- The trainee must provide progress reports to the first level supervisor as indicated below:
☐ Weekly ☐ Biweekly ☐ Monthly ☒ Other Every Monday morning
- The trainer must provide progress reports to the first level supervisor upon request.

****Authorization for Extension to OJT training hours (if needed):**

OJT instruction authorized hours have been extended by _____ hours for a total of _____ hours.

r _____
 Supervisor's signature Date

G. OJT PROGRESS

Elements of Training	Instructor's Initials	Trainee's Initials	Instructor's Time (optional)
Safety	TR	RS	
Coordination	TR	RS	
Test Equipment	TR	RS	
System Interfaces	TR	RS	
System Operation/Alignment	TR	RS	
Preventative Maintenance	TR	RS	
Troubleshooting	TR	RS	
Flight Inspection (if applicable)	TR	RS	
Performance Exam Review	TR	RS	

Total Study Time 10 hours Total Instruction Time 32 hours


H. OJT COMPLETION STATUS:

☒ I verify that the documentation is accurate and that this OJT assignment has been successfully completed.

Tim Redmond 6/22/200X Robert J Specialist 6/22/200X
 Instructor's Signature Date Trainee's Signature Date

☐ I recommend that the above OJT instruction be terminated for the following reasons(s):

 Instructor's Signature Date

 I concur with this OJT Status: David D. Manager 6/22/200X
 Supervisor's Signature Date

****This form must be forwarded to the Training Specialist for processing ****

Figure 5. Instructions for Sample Locally Developed On-The-Job Training Course

Locally developed OJT is to be used to satisfy the second requirement leading to certification when there is no nationally approved OJT course listed in Appendix 5 for the applicable system, subsystem, equipment or service. The sample OJT course in Figure 5-1 may be completed and used for locally developed OJT. This sample is available on FIST under Policies and Procedures > Notice NJO3400.39 Appendices. It is only a sample and is not mandatory. Other written OJT package templates, also available on the same FIST site, may be used instead. This locally developed OJT is to be used in conjunction with FAA Form 3400-16, OJT Progress Form. The most current instructions for completing a FAA Form 3400-16 in CTS are located on FIST. As of the publication date of this Notice these are the instructions:

1. On the second line, enter the name of the system, subsystem, equipment or service as it appears on Appendix 5.
2. On the third line, enter the applicable FAA Order(s), Notices and TI's for this course.
3. On the last line, insert the name of the staff manager or second level manager who approved the locally developed OJT course per paragraph 24 of this order.
4. For the individual lessons, the instructor will perform the OJT tasks using one of the following methods:
 - a. Trainee reads the steps and performs them.
 - b. You read the steps and the trainee performs them.
 - c. Trainee reads the steps and instructor performs them, if this method is chosen it must be followed by either method 4a or 4b above.
5. When each lesson is completed, the instructor must indicate completion by entering a check mark on the **Completed** line for that lesson.
6. When the OJT is completed, the instructor must return the OJT course to the Training Specialist with the completed FAA Form 3400-16, OJT Progress Form.

Figure 5-1. Sample Locally Developed On-The-Job Training Course

This locally developed OJT is to be used in conjunction with FAA Form 3400-16, OJT Progress Form for Certifiable Systems

Enter the System, Subsystem, equipment or service (from Appendix 5): _____

Enter the FAA Order(s), Notices and TI's for this course: _____

Instruction is to be given in the following lessons:

Lesson 1. Identify and locate the following:.....**Completed**_____

- All the hardware for the system.
- The cable wiring, interface wiring, distribution boxes, etc.
- The power feed(s), circuit breakers, emergency disconnects, lockout/tagout procedures.
- Any site specific labeling, e.g. West Arrival, ABC Radar, etc.

Lesson 2. Preventative Maintenance (PM) and Certification Requirements:...**Completed**_____

- Identify the PM Schedule: Read the PM Schedule paragraphs in the latest version of 6000.15; read applicable order Chapter Four.
- Identify the Standards and Tolerances: Read the Standards and Tolerances/Limits paragraphs in the latest version of 6000.15; read applicable order Chapter Three.
- Identify Certification Responsibilities, Techniques, Exceptions, Intervals, and Statements: Read the Certification paragraphs in the latest version of 6000.15; read applicable order Certification Appendix.
- Identify TPR Requirements: Read the TPR paragraphs in the latest version of 6000.15, read applicable order TPR requirements
- Identify NCP's or Waivers: Read the NCP and Modification paragraphs in the latest version of 6000.15; review any site specific NCP's or waivers.

Lesson 3. Perform the system shutdown and start-up procedures (may be done by discussion where appropriate).....**Completed**_____

Lesson 4. Perform the Preventative Maintenance tasks for the system concentrating on those that are key performance or certification parameters:.....**Completed**_____

Lesson 5. Perform diagnostic routines (if applicable):.....**Completed**_____

Lesson 6. Perform software installation or reloads (if applicable):.....**Completed**_____

Lesson 7. Identify and locate in the technical instruction manuals the removal and replacement procedures for the hardware in the system:.....**Completed**_____

Lesson 8. Identify and perform by discussion all flight inspection procedures (if applicable):.....**Completed**_____

Lesson 9. Perform any additional site-specific procedures needed:.....**Completed**_____

Course Approved by: _____

Insert name of staff manager or second level manager who approved this course per paragraph 24.

Appendix 2. Examples of Work Practices

The following are examples of work practices and site familiarity that may be taken into consideration prior to endorsing a technical specialist for certification authority: This page may be copied and used as an informal checklist for the supervisor/manager. The most current listing is located on FIST and is available for review and downloading by accessing Policies and Procedures > Notice NJO3400.39 Appendices.

1. Airport operations including driving on airports.
2. Coordination procedures for maintenance activities (e.g., scheduling maintenance activities, local coordination, etc.).
3. Logistics procedures.
4. Knowledge of facility reference data (e.g., the technical specialist can locate items needed such as Technical Performance Records, facility drawings, initial parameters, etc.)
5. Security policy/procedures including site/building access and key control.
6. Knowledge of risk management.
7. Knowledge of technical documentation procedures such as MMS log entries, TPR's, MASS/MCF.
8. Knowledge of aircraft accident procedures for the facility (e.g., verification of system operation, logging, local communications requirements).
9. Knowledge of safety policies and procedures (e.g., climbing requirements for the facility, special lockout/tagout, etc.).

Appendix 3. ATO Maintenance Personnel Certification Program Examinations

The most current official figures are located on FIST and are available for review and downloading by accessing Policies and Procedures > Notice NJO3400.39 Appendices. This electronic procedure provides the user with the most current information available.

1. This appendix lists the following Figures in association with examinations in the personnel certification program.

- a. Figure 1. Theory-of-Operations Examinations and Equivalent Training/Examinations.
- b. Figure 2. Current Theory-of-Operations Examinations.
- c. Figure 3. Current Performance Examinations.
- d. Figure 4. Previous Theory-of-Operations Examinations.
- e. Figure 5. Previous Performance Examinations.
- f. Figure 6. Verification Examinations for Non-Federal Facilities
- g. Figure 7. Previous Verification Examinations for Non-Federal Facilities

2. Any additions, deletions, or corrections to this appendix must be forwarded to the FAA Academy Technical Operations Training Division, Operations and Technologies Support Branch, AMA-405, through the appropriate Service Area training representative. No additions, deletions, or corrections will be posted without prior approval from the FAA Headquarters Technical Operations Training and Development Group. Upon approval, this information will be added to Appendix 3. This appendix will be maintained and updated by AMA-405 and made available for downloading via FIST. All additions, deletions, or corrections will be annotated with an asterisk for easy reference and identified in Appendix 7, Record of Changes to Appendices 3 through 6. The appendices listed on FIST must be the official source for FAA Notice NJO3400.39.

3. The appendices will be reviewed monthly and updated as required with additions, deletions and revisions. A new date must be added to the appendix on FIST and an eLMS message will be sent out listing the changes.

Appendix 4. ATO Maintenance Personnel Certification Program On-The-Job Training Course Listings

The most current official appendix is located on FIST and is available for review and downloading by accessing Policies and Procedures > Notice NJO3400.39 Appendices. This electronic procedure provides the user with the most current information available.

1. This appendix contains Figure 1, Current National On-The-Job Training Courses associated with the personnel certification program. Descriptions of the OJT courses may be found in eLMS or FIST.
2. Any additions, deletions, or corrections to this appendix must be forwarded to the FAA Academy Technical Operations Training Division, Operations and Technologies Support Branch, AMA-405, through the appropriate Service Area training representative. No additions, deletions, or corrections will be posted without prior approval from the FAA Headquarters Technical Operations Training and Development Group. Upon approval, this information will be added to this appendix. This appendix will be maintained and updated by AMA-405 and made available for downloading via FIST. All additions, deletions, or corrections will be annotated with an asterisk for easy reference and identified in Appendix 7, Record of Appendix Changes. The appendices listed on FIST must be the official source for FAA Notice NJO3400.39.
3. The appendix will be reviewed monthly and updated as required with additions, deletions and revisions. A new date must be added to the appendix on FIST and an eLMS message will be sent out listing the changes.

Appendix 5. ATO Personnel Certification Requirements

The most current official appendix is located on FIST and available for review and downloading by accessing Policies and Procedures > Notice NJO3400.39 Appendix 5. This electronic procedure provides the user with the most current information available. This appendix lists the theory-of-operations, OJT and performance requirements for the personnel certification program.

1. This appendix contains Figure 1, ATO Personnel Certification Requirements. The specific training and examination requirements for certifiable system, subsystem, equipment or services may be found in FIST by accessing Policies and Procedures > Notice NJO3400.39 Appendix 5. The next page contains examples that may be found in Appendix 5.
2. Any additions, deletions, or corrections to this appendix must be forwarded to the FAA Headquarters Technical Operations Training and Development Group, OJT and Certification Team, through the appropriate Service Area training representative. No additions, deletions, or corrections will be posted without prior approval from the FAA Headquarters Technical Operations Training and Development Group. Upon approval, the information will be added to this appendix. This appendix will be maintained and updated by AMA-405 and made available for downloading via FIST. All additions, deletions, or corrections will be annotated with an asterisk for easy reference and identified in Appendix 7, Record of Appendix Changes. The appendices listed on FIST must be the official source for FAA Notice NJO3400.39.
3. The appendix will be reviewed monthly and updated as required with additions, deletions and revisions. A new date must be added to the appendix on FIST and an eLMS message will be sent out listing the changes.

Figure 1. ATO Personnel Certification Requirements (Examples)

SYSTEM / SUBSYSTEM / EQUIPMENT / SERVICE	Area	FIC(s)	Theory-of- Operations	OJT	Perf Exam
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This example is for systems with nationally approved theory, OJT and Performance Exam (PE).

ARSR, ARSR-4	Surv	52AC	FAA40408	FAA45342 (8/30/2002)	FAA89011/RP101
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This example is for systems with nationally approved theory and PE and locally developed OJT.

DME, Cardion, FA-9639	Nav	12ED	FAA40258	eLMS entry FAA49450022 for Locally Developed OJT IAW NJO 3400.39 par 8b(1) & 24	FAA88774/NP74
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This example is for systems with nationally approved theory and locally developed OJT and PE.

DME, ASII Model 1119	Nav	12EM	FAA48318	eLMS entry FAA49450019 for Locally Developed OJT IAW NJO 3400.39 par 8b(1) & 24	Locally Developed PE IAW NJO 3400.39 par 8c(1)(b) & 15g
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This example is for systems with no nationally theory, OJT or PE.

RVR, Tasker 400	Com	47AD	Informal, per NJO 3400.39 par 8a(5)	eLMS entry FAA49450061 for Locally Developed OJT IAW NJO 3400.39 par 8b(1) & 24	Locally Developed PE IAW NJO 3400.39 par 8c(1)(b) & 15g
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This example is for systems with different FICs where the same training and examinations are given completion of the OJT and PE on one system gives certification authority for all FICs of that system type.

VASI, All types. Cert authority attained on one FIC applies to all FICs.	Env	All FICs	FAA47606	eLMS entry FAA49450070 for Locally Developed OJT IAW NJO 3400.39 par 8b(1) & 24	FAA88630/EP26
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This example if for systems with the new concept theory, enhanced hands-on training, and demonstration of proficiency, EHOT/DoP.

ITWS, Control Site Only, Integrated Terminal Weather System	Auto	46MA	FAA40667	FAA45436 () or FAA40667()	FAA89020/RP110 or FAA89026/RD116 (DoP)
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Appendix 6. Instructions for Accessing the FAA Information Superhighway for Training (FIST) and the Comprehensive Management Resource Information System (CMRIS)

The official sources for retrieval of data/forms and information pertinent to FAA Notice NJO3400.39 is FIST and CMRIS.

1. The FAA Information Superhighway for Training (FIST) can be accessed at <http://fist.faa.gov/> through the FAA Intranet. This Notice and the appendices are available by selecting Policies and Procedures > NJO3400.39 or NJO3400.39 Appendices.
2. The Comprehensive Management Resource Information System (CMRIS) is at <http://cmris.faa.gov/> through the FAA Intranet. The system has the following features:
 - a. The front page is accessible to everyone and contains general information including User Guides for the various CMRIS tools.
 - b. The CMRIS system has multiple different levels of access. Requests for Identification and Passwords are to be made on a form downloadable from the CMRIS Legacy Home Page. District personnel may download the form, complete it, and send it to the Service Area Training Specialists for approval and forwarding to the CMRIS Help Desk.
 - c. From this point on a CMRIS Identification and Password are required. Enter you Identification and Password in the blocks at the left of the front page and click on "sign in".
 - d. If you have been granted access but have forgotten your password you must send a Lotus Notes e-mail to 9-AWA-CMRIS-HELPDESK and a new password will be e-mailed back to you.
 - e. Once logged in to the system different choices are available depending on your access level. The system was originally created in the late 1990's and is being updated. Due to the dynamic nature of the changes a more detailed description of the system is not being provided
 - f. Every CMRIS screen contains an on-line Help menu.

Appendix 7. Record of Changes to Appendices 3 Through 6

1. The most current official figures are located on FIST and are available for review and downloading by accessing Policies and Procedures > Notice 3400.39 Appendices. This electronic procedure provides the user with the most current information available.
2. Figure 1 of this appendix is a chronological history of all changes made to Appendices 3 through 6. After the date of this order, the appendix will contain the changes for the past twelve months. Changes prior to the previous 12 months are archived at the FAA Academy and can be accessed via a request to AMA-405.

Appendix 8. Instructions to the Performance Examiner
(The following instructions may be printed from FIST)

1. Before administering this examination, you should give the examinee a brief explanation of the procedure to be used, what is expected, and the time limitation.
2. The distribution of the performance examinations to employees prior to their actual administration is encouraged. The employee should become thoroughly familiar with the examination requirements and related test equipment during OJT.
3. The examiner must complete the cover page, FAA Form 3400-15. All information must be included. Under the equipment heading, list the major components of the system such as transmitter, monitor, etc. If there is insufficient space, use the back of the sheet or attach sheets as necessary.
4. The examiner should use the list of operations for the step-by-step administration of the examination; state the name of the procedure to the examinee and observe the step-by-step execution of the procedure and correct use of any test equipment necessary to the operation. If no reference has been provided, the examiner should complete this column prior to administering the examination. The examinee must be advised of the references that pertain to the exam. Operations other than those listed may be used providing they are appropriate. Where an operation does not apply because of equipment differences, a similar operation should be performed. The operation should be eliminated if there is no like operation.
5. The sequence of steps is not necessarily that appearing in the handbook but is in a logical order as the technical specialist progresses through the system. The examiner may change the sequence as the situation demands, provided the examinee has first been advised of the change.
6. It is advisable to complete the entire examination in one or more consecutive working days as required. Any break should be predetermined and the balance of the examination should be scheduled as soon as possible; for example, the Ground Check and Flight Check requirements need not be accomplished the same day as the rest of the examination if circumstances prohibit it.
7. There is no restriction on the use of any aid such as instruction books, calculator, notes, etc., in the examining process.
8. The estimated time required for this examination is specified on the cover sheet. This time estimate does not include a flight check. If a simulated flight check is used, an additional hour should be allowed. The briefing period and the time required for repairs, equipment failures, lunch, etc., have not been included in the time estimate. At no point may the examiner allow the time to exceed the "Estimated Time" by more than 20 per cent. Verbal approval of the Program Support Center Manager or the District second level/OCC/Service Area TSCM/Manager is needed for any additional time beyond the 20%. The examiner must document the verbal approval on the FAA Form 3400-15 Cover Sheet.
9. Items marked with an asterisk (*) are "lock-out" items. Failure to perform adequately in any one of these means total failure. The examination should not be carried beyond this point. Unsatisfactory performance in more than 10% of the total (all three columns) items constitutes failure of the examination. In other words, 90% satisfactory is required to Pass the examination.

10. If assistance is necessary for an adjustment, another certified individual will be used. The examiner will not assist the examinee in any adjustment unless no other certified person is available.
11. Enter one of the marks indicated in item 12 below in each open space under the columns marked: Test Equipment, Procedures, and Results. The first of these is a measure of adequacy of setting, calibrating, connecting, and using the appropriate test equipment. The second indicates whether proper alignment and test procedures were used. The third indicates whether the results obtained were satisfactory and within prescribed standards and tolerances. An "X" in the column indicates no entry necessary.
12. Entering the letter "S" will signify successful completion of an operation. Entering "UNS." or just "U" will note inadequacy. Inadequacy is described as failure to properly execute the procedure or failure to obtain the proper result.
13. Flight Inspection, if required, may be satisfied through simulation when actual flight check is not scheduled within a reasonable time. Other operations may also be simulated at the discretion of the examiner, but such simulation should be kept at a minimum.
14. Failed examinations will be retained not less than two years.
15. The examiner must assure that the facility is operating normally upon conclusion of the examination or at a break in the examination or so indicate in an appropriate log entry. If certification is required per 6000.15 the examiner must make the appropriate certification statement in the log.
16. The examiner should be thoroughly familiar with these instructions and any supplemental instructions that pertain to this examination.
17. Specific comments regarding examinee's performance, procedures, failures, etc., may be made on the back of the examination sheets.
18. For locally developed performance examinations, the examiner must document all of the certification and key performance parameters on the back of the form as required by NJO3400.39, paragraph 8c(1)(b). The documentation must include whether or not they were satisfactorily completed.
19. Field personnel are encouraged to submit any recommended changes to performance examinations. They may be faxed or mailed to the following:

FAA, OJT/Certification Team
Room 725/726, Fax # 202-267-7457
800 Independence Avenue, S.W.
Washington, DC 20591