

ORDER

U.S. Department of Transportation Federal Aviation Administration

8000.4I

10/29/02

SUBJ: COORDINATION WITH THE DEPARTMENT OF DEFENSE AIR CARRIER SURVEY AND ANALYSIS OFFICE

1. PURPOSE. This order provides coordination procedures between the Federal Aviation Administration (FAA) and the Department of Defense (DoD) Air Carrier Survey and Analysis Office in its evaluations of air carriers conducting contractual business with the DoD. This DoD office is part of the Air Mobility Command (AMC) located at Scott AFB, IL.

2. DISTRIBUTION. This order is distributed to the branch level in the Flight Standards Service; the Regulatory Standards and Compliance Division at the FAA Academy; the branch level in all regional Flight Standards Divisions; all Flight Standards District Offices; all International and Aeronautical Quality Assurance Field Offices and all International Aviation Field Offices.

3. CANCELLATION. Order 8000.4H, Coordination with the Department of Defense Air Carrier Survey and Analysis Office, dated October 26, 1992, is canceled.

4. EXPLANATION OF CHANGES. This Order:

- a. Updates the types of inspections currently being performed by the FAA and associated information from those inspections that may be requested by the DoD, i.e. Air Transportation Oversight System (ATOS) Certification and Standardization Evaluation Team (CSET) Surveillance and Evaluation Program (SEP) evaluations and Air Carrier National Evaluation Program evaluations and program reviews.
- b. Requires that each FAA region assign an Aviation Safety Inspector (ASI) (1825) as a DoD Coordinator.
- c. Incorporates and updates Program Tracking and Reporting Subsystem (PTRS) entry procedures for use by FAA Certificate Holding District Offices (CHDO) Certificate Management Offices (CMO) and Regional Coordinators.

5. BACKGROUND. The DoD contracts for passenger and air cargo movements from air carriers certificated by the FAA. The DoD is required by law to conduct capability evaluations of these carriers to insure each is able to satisfy the unique requirements of the military contract and adhere to the DoD Commercial Air Carrier Quality and Safety Requirements published in 32 Title 14 Code of Federal Regulations (CFR) 861. Generally, DoD surveillance requirements include an initial on-site capability survey with a recurring on-site survey every 2 years thereafter, a performance evaluation every 6 months, and periodic ramp inspections and cockpit observations on selected air carriers.

6. DATA SHARING. The DoD and FAA have agreed to share aviation safety data. DoD survey reports, letters of concern, DoD Commercial Airlift Review Board (CARB) actions, etc., will be provided to the FAA. FAA investigative reports such as CSET SEP, ATOS, Air Carrier National Evaluation Program results, etc., will be provided to the DoD. The exchange of air carrier and safety information is expected to occur on a routine and timely basis. In accordance with existing Memorandums of Agreement (MOA), each agency is responsible to understand and safeguard the sensitivity of the data exchanged.

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7. DoD RESPONSIBILITIES. The Air Carrier Survey and Analysis Office can be expected to follow these procedures.

- a. The survey team will notify the FAA CHDO/CMO before embarking on capability surveys and will outline their inspection requirements.
- b. Contacts by DoD personnel with FAA offices during surveys and performance evaluations may include requests for information which pertain to: aircraft accidents; incidents; enforcement actions; hazardous materials authorizations and security issues; results of Air Carrier National Evaluation Program evaluations and program review information; ATOS information; Regional and District Office Safety Inspections; operations specifications changes; and any other changes in the carrier's operation that could affect its CFR compliance/safety posture.
- c. Semiannual performance evaluations conducted by DoD will normally be desktop audits. These evaluations will include communications with appropriate FAA principal inspectors via telephone.
- d. Normally, the local CHDO/CMO will not be notified that a no-notice ramp inspection has occurred unless a potential problem or area of concern is revealed. Copies of all unsatisfactory ramp inspection observations will be forwarded to the CHDO/CMO.
- e. Pilots of the Air Carrier Survey and Analysis Office possess FAA cockpit authority (FAA Form 8430-6, Admission to Flight Deck) and will frequently conduct cockpit observations of commercial aircrews. These observations may or may not coincide with scheduled on-site surveys. Copies of all unsatisfactory cockpit observations will be forwarded to the CHDO/CMO.
- f. The survey team will debrief CHDO/CMO personnel after a survey has been completed. In accordance with DoD procedures, the team will not reach conclusions at this time, but will discuss its factual findings. The debriefing may be accomplished via telephone, if a face-to-face debriefing is impractical due to location, time, or non-availability of FAA personnel.
- g. The survey team will prepare a formal report for consideration by the CARB at AMC Headquarters, Scott AFB, Illinois. This board reviews and evaluates a commercial air carrier's eligibility and capability to provide airlift services to the DoD. Copies of all survey reports will be provided to the FAA liaison at HQ AMC for further FAA distribution as required. The FAA CHDO/CMO can expect to receive a copy of the DoD survey report within 30 to 60 days from completion of the on-site survey.
- h. The FAA liaison to HQ AMC will represent the FAA as a non-voting advisor to the DoD CARB.
- i. Each FAA region will receive a proposed monthly schedule of survey team visits from the FAA Liaison.

8. FAA REGIONAL RESPONSIBILITIES. Each region will take the following action.

- a. Ensure that cooperation is given to the DoD survey team, especially at the CHDO/CMO level.
- b. Appoint a FAA ASI (1825) as the regional Flight Standards Division focal point for DoD survey activities to maintain liaison with the applicable CHDO/CMO as a DoD Coordinator. This should be the same person who serves as the Regional Air Carrier Evaluation Program Evaluation Coordinator, whenever possible.

9. FAA CHDO/CMO RESPONSIBILITIES. Through MOA, the Department of Transportation and DoD have agreed to share information on air carriers. Each CHDO/CMO contacted by the DoD Air Carrier Survey and Analysis Office will provide the following support.

- a. Ensure that full cooperation is given to all DoD survey and analysis team members. Provide all available requested information pertaining to the air carrier being evaluated. The DoD has access to FAA databases, including Vital Information Subsystem, Enforcement Information Subsystem, PTRS, ATOS and Safety Performance Analysis System. FAA Principal inspectors or their representatives will attend DoD survey team in-briefings and debriefings and be available during the inspection for consultation, whenever practical, as questions may arise regarding carrier operations specifications, manuals, and possible CFR violation history. The CHDO/CMO will also respond to all survey team requests for information after the survey is complete. The carrier responds directly to the DoD regarding specific findings. If a finding is a violation of the CFR or violates operations or airworthiness manual requirements, the CHDO/CMO will provide verification of FAA approval/acceptance of carrier solutions to the DoD, when requested.
- b. On all surveys, maintain close liaison with the regional Flight Standards Division DoD Coordinator. Immediately investigate any survey team findings that contain possible violations of the CFR including those findings that indicate a failure to follow procedures as outlined in company manuals. The CHDO/CMO will notify the regional Flight Standards Division DoD Coordinator of validated DoD findings and the proposed follow-up plan of action by the CHDO/CMO as soon as practical, no later than 15 working days from the DoD debrief.
- c. The DoD relationship with the air carriers is one of a contractual nature where demands can be made beyond those required by the CFR. For this reason, the CHDO/CMO is primarily responsible for following up on findings that meet the criteria of paragraph 9b.

10. CHDO/CMO PTRS PROCEDURES.

- a. Entering DoD survey/letter of concern (LOC) findings into the PTRS provides headquarters and regional personnel a method to ensure timely closeout action on each finding and eliminates the need to generate manual reports.
- b. The FAA liaison to HQ AMC shall forward an electronic copy of a LOC when appropriate and the DoD survey report to the CHDO/CMO manager; the appropriate regional Flight Standards Division DoD Coordinator; AFS-900/FSAIC; and AFS-4 (the HQ AMC Liaison to FAA HQ).
- c. The regional Flight Standards Division DoD Coordinator shall ensure contact is made with the CHDO/CMO within 15 working days of the electronic mailing date to discuss the LOC or survey report. Together, they shall review the LOC and/or survey report to determine whether any of the findings contain any FAA regulatory concerns that will require corrective action by the carrier and further follow-up by the FAA.

NOTE: FAA CHDO/CMO personnel who have been verbally debriefed by the DoD survey team should not wait for receipt of the LOC or the survey report before beginning corrective action follow-up on any FAA regulatory concerns that were debriefed by the DoD. The CHDO/CMO should make a PTRS entry for each debriefed discrepancy and begin follow-up action to resolve the discrepancy. The CHDO/CMO must communicate as soon as practical, no later than 15 working days from the DoD survey debrief the results of the debriefing to the FAA Regional DoD Coordinator. This communication should identify whether or not there are any FAA regulatory issues, as well as any follow-up plan of action by the CHDO/CMO to resolve any FAA concerns.

d. The CHDO/CMO shall enter into PTRS, under activity code 1086 and using the Primary/Key entry of "A919" and the opinion of "I", **all** findings from the LOC or survey report summary page including those findings that were corrected on site. Airworthiness personnel will have to use the CHDO/CMO Manager's initials to gain entry to PTRS under the 1086 code. The CHDO/CMO should also enter any additional findings from the body of the report, if applicable. Each finding that is of regulatory concern should be entered separately under its individual record ID number. If the report or LOC contains more than one finding that does not qualify as a FAA regulatory concern, then all of the non-regulatory findings may be entered and closed under one finding number. Be sure to include the electronic mailing date of the LOC/survey or the actual survey date in the finding for each entry to preclude confusion when more than one survey is accomplished on the carrier during that fiscal year. If there are FAA regulatory findings that meet the criteria outlined in paragraph 9b of this order that involve systemic problems, the CHDO/CMO will make entries into PTRS explaining what specific actions the air carrier took to correct the root cause of the discrepancy; i.e., "ACTION 10/1/2002: XYZ Airlines has submitted revision 33 to the General Maintenance Manual which formalizes new improved Continuing Analysis and Surveillance procedures. ACTION 10/23/2002: Revision 33 to the General Maintenance Manual has been reviewed and accepted by the FAA. This finding is closed." Be sure to keep the finding open in PTRS until the carrier has completed all of the required corrective actions to fully resolve the discrepancy. If the determination is made that a finding does not meet the criteria of paragraph 9b of this order, the CHDO/CMO should make the following entry in PTRS for that finding: "This finding was found to contain no FAA regulatory concerns and is hereby closed." If there are no findings in the entire survey report, the CHDO/CMO shall make one PTRS entry stating the following: "The 10/12/2002 (date of survey) DoD survey report was reviewed and found to contain no FAA regulatory concerns and is hereby closed." Any PTRS entry originating from a LOC in which there are no findings that meet the criteria outlined in paragraph 9b of this order should remain open until the DoD survey report is received and reviewed for any additional findings or corrections that may need to be addressed before final closeout. The CHDO/CMO should make the initial PTRS entries within 15 working days of receipt of the LOC or DoD survey report, whichever is received first. Any finding that is duplicated in the LOC and survey report shall be entered only once in PTRS.

e. When the determination is made that a finding is not regulatory in nature but would increase the operational safety posture of a carrier, it is highly recommended that the CHDO/CMO provide support to satisfactorily resolve the DoD concerns.

f. Along with the host FAA Region, the FAA liaison shall monitor any required CHDO/CMO actions to ensure entry of all findings within 15 working days and proper closure of the findings within 120 days of the electronic mailing date of the survey. Findings that are not entered within 15 working days or those findings that remain open beyond 120 days may be brought to the attention of the respective FAA Division Manager for resolution.

11. DOD WEB PAGE. The DoD Air Carrier Survey and Analysis Office maintains a web site where the following information can be found: Office Background, DoD Commercial Air Carrier Quality and Safety Requirements, DoD Model Programs, DoD Survey Checklists, and Newsletters. The DoD web address is: <https://amcpublic.scott.af.mil/dob/index.htm>

12. CONTACTS. Contact the FAA Liaison to HQ AMC for all matters concerning this agreement at the following address:

HQ AMC/DOB
Attn: FAA Liaison
402 Scott Drive, Unit 3A1
Scott AFB, IL 62225-5302
(618) 229-2105
(618) 256-5937 (fax)

13. INFORMATION CURRENCY. Any deficiencies found, clarifications needed, or suggested improvements regarding the contents of this order should be forwarded to the originating office, Attn.: Directives Management Officer, AFS-110. For your convenience, FAA Form 1320-19, Directive Feedback Information, is the last page of this order. If an immediate interpretation is needed, please call the originating office for guidance. However, you should also use Form 1320-19 to follow up on your verbal conversation.

/s/

James J. Ballough
Director, Flight Standards Service