ORDER

8100.9A

DAS, DOA, AND SFAR 36 AUTHORIZATION PROCEDURES

August 30, 2005

U.S. DEPARTMENT OF TRANSPORTATION

FEDERAL AVIATION ADMINISTRATION

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RECORD OF CHANGES

DIRECTIVE NO. **8100.9A**

CHANGE TO BASIC	SUPPLEMENTS			OPTIONAL	CHANGE TO BASIC	SUPPLEMENTS			OPTIONAL

FAA Form 1320-5 (6-80) USE PREVIOUS EDITION

FOREWORD

This order establishes the procedures, guidance, and limitations of authority for organizations that the Federal Aviation Administration (FAA) authorizes as a Designated Alteration Station, Delegation Option Authorization holder, or Special Federal Aviation Regulation 36 holder. The Aircraft Certification Directorates, Aircraft Certification Offices, and Flight Standards personnel use this order as an aid in the administration of these organizations. This order contains guidance material for the organizations and is intended to provide a better understanding of the functions authorized and procedures to be followed when exercising the authority granted to them by the FAA.

If you find any deficiencies, need clarification, or want to suggest improvements on this order, send a copy of FAA Form 1320-19, Directive Feedback Information (written or electronically), to the Aircraft Certification Service, Planning and Financial Resources Management Branch, AIR-530, Attention: Directives Management Officer. Form 1320-19 is on the last page of this order. You may also send a copy to the Aircraft Engineering Division, AIR-100, Attention: Comments to Order 8100.9A. If you urgently need an interpretation, contact AIR-140 at (405) 954-4103. Always use Form 1320-19 to follow up each verbal conversation.

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CHAPTER 1. GENERAL

1-1. PURPOSE. This order prescribes the Federal Aviation Administration (FAA) procedures governing organizations authorized as a Designated Alteration Station (DAS), Delegation Option Authorization (DOA), or Special Federal Aviation Regulation Number 36 (SFAR 36).

1-2. DISTRIBUTION. This order is distributed to the branch levels of the Aircraft Certification Service, Flight Standards Service, and the Office of Aviation System Standards in Washington Headquarters; to the branch level in the Aircraft Certification Directorates and the Regional Flight Standards Divisions; to the International Field Offices (IFOs) and the Flight Standards District Offices (FSDOs); to all Aircraft Certification Offices (ACOs) and all Manufacturing Inspection District and Satellite Offices (MIDOs and MISOs); to the Flight Standards Branch and Aircraft Certification Branch at the FAA Academy; to the Suspected Unapproved Parts Program Office; and to the Brussels Aircraft Certification Staff.

1-3. CANCELLATION. Order 8100.9, DAS, DOA, and SFAR 36 Authorization Procedures, dated August 7, 2002, and Order 8100.12, Designated Alteration Station Program Limitations, dated December 24, 2002, are canceled.

1-4. EFFECTIVE DATE. FAA managing offices must immediately adopt the practices contained herein related to selection and oversight of DAS, DOA, and SFAR 36 authorizations. Any changes requiring revisions to procedures manuals must be implemented within one year as agreed to by the delegated organization and their managing FAA office.

1-5. EXPLANATION OF CHANGES. The significant changes in this revision are:

a. Revised oversight processes and requirements for supervision of the Authorization Holder.

b. Established a new evaluation program that evaluates all aspects of an authorization holder's performance.

c. Revised evaluation program criteria.

d. Incorporated the requirements previously found in Order 8100.12 regarding off-site DAS project management.

e. Clarified when SFAR 36 data may be used to approve repairs for return to service.

f. Require all managers of authorized representatives to read and understand the memorandum of understanding.

g. Specify when consultants and supplier personnel may act as authorized representatives for DOA Holders.

h. Incorporate revisions related to the renumbering of FAA Form 8100-8, which is now FAA Form 8100-10.

1-6. BACKGROUND. Title 49 United States Code section 44702(d), authorizes the FAA Administrator to delegate matters related to the examination, testing, and inspection necessary to issue certificates, and the issuance of certificates. Title 14 of the Code of Federal Regulations (14 CFR) part 21 subparts J and M, and Special Federal Aviation Regulation (SFAR) No. 36 prescribe the rules for Delegation Option Authorizations, Designated Alteration Stations, and SFAR 36 delegations. The FAA issues these authorizations to qualified organizations to assist the FAA in matters related to type certification, supplemental type certification, airworthiness approvals, and major alterations and repairs. Any authorization is a privilege granted by the Administrator and it is not the right of every qualified applicant to be granted a DAS, DOA or SFAR 36 authorization.

1-7. AUTHORITY TO CHANGE THIS ORDER. The Aircraft Certification Service, Aircraft Engineering Division (AIR-100), the Production and Airworthiness Division (AIR-200), and the Flight Standards Service, Aircraft Maintenance Division (AFS-300) has the authority to revise or cancel material in this order. Depending on the change, the appropriate FAA office (AIR-100, AIR-200, and AFS-300) will initiate the change and coordinate with the other offices.

1-8. DEVIATIONS. Adherence to procedures in this order is necessary for uniform administration of this directive. Any deviations from this guidance material must be coordinated and approved by AIR-100/200, and AFS-300 as applicable. If deviation is necessary, the FAA employee involved should ensure that deviations are substantiated, documented, and concurred with by the appropriate supervisor and approved by AIR-100, AIR-200, or AFS-300 as appropriate.

1-9. RELATED PUBLICATIONS.

a. Advisory Circular (AC) 21-23, Airworthiness Certification of Civil Aircraft, Engines, Propellers, and Related Products Imported into the United States

b. AC 21-40, Application Guide for Obtaining a Supplemental Type Certificate

c. Order 2150.3, Compliance and Enforcement Program

d. Order 4040.26, Aircraft Certification Service Flight Safety Program

e. Order 8100.7, Aircraft Certification Systems Evaluation Program

f. Order 8100.8, Designee Management Handbook

g. Order 8100.14, Interim Procedures for Working with the European Community on Airworthiness Certification and Continued Airworthiness

h. Order 8110.4, Type Certification

i. Order 8110.37, Designated Engineering Representative (DER) Guidance Handbook

j. Order 8120.2, Production Approval and Certificate Management Procedures

k. Order 8130.2 Airworthiness Certification of Aircraft and Related Products

l. Order 8130.21, Procedures for Completion and use of the Authorized Release Certificate, FAA Form 8130-3, Airworthiness Approval Tag

m. Order 8300.10, Airworthiness Inspector's Handbook

n. Order 8430.21, Flight Standards Division, Aircraft Certification Division. And Aircraft Evaluation Group Responsibilities

NOTE: Publications throughout this order refer to the latest revision level.

1-10. DEFINITIONS. For the purposes of this directive the following definitions apply:

a. Administrator. When spelled with a capital "A" refers to the FAA Administrator. When spelled with a lower case "a" refers to the delegation administrator.

b. Aircraft Flight Manual (AFM). Either the Airplane Flight Manual or Rotorcraft Flight Manual (as applicable).

c. Appeal Panel. Two or more office managers and a senior engineer, inspector or flight test pilot assigned the task of determining if the appointment process was conducted properly in the event of an applicant's appeal of the FAA's decision.

d. Appointing Office. The Aircraft Certification Office (ACO) and/or Flight Standards District Office (FSDO) having selection and appointment responsibility for the authorization holder.

e. Authorization Letter. A FAA letter specifying the delegation's authorized functions, and any associated limitations.

f. Authorized Representative (AR). Any individual within the DOA, DAS, or SFAR 36 who is authorized in the procedure manual to make findings of compliance, determination of conformity, or airworthiness on behalf of the FAA.

g. AR Trainee. An individual who meets all the requirements for a staff AR except for direct experience working with the organization. AR trainees must not make findings, which are not subsequently verified and approved by either, a staff AR or the FAA.

h. Authorization Holder. The organization or company holding the certificate that provides the eligibility for the DAS, DOA, or SFAR 36 authorization.

i. Compliance Inspection. Compliance inspections are physical inspections performed to review an installation and its relationship to other installations on a product to determine compliance with 14 CFR/CAR requirements, which cannot be determined adequately from an evaluation of the technical data.

j. Conformity Inspection. Conformity inspections verify and provide objective documentation that test articles, parts, assemblies, installations, functions, and test set ups conform to the design data.

k. Corrective Action. The measures taken to resolve unsatisfactory conditions and to prevent reoccurrence.

l. DAS/DOA/SFAR 36 Administrator. The focal point(s) for the authorization holder who is responsible for managing the DAS/DOA/SFAR 36 activities and communicating with the OMT.

m. Delegation Option Authorization (DOA). A manufacturer holding a current type certificate and production certificate issued under standard procedures that is authorized by the FAA to conduct type, production, and airworthiness certification functions in accordance with 14 CFR part 21, subpart J.

n. Designated Alteration Station (DAS). A repair station, air carrier, or manufacturer authorized by the FAA to issue supplemental type certificates in accordance with 14 CFR part 21, subpart M.

o. Designee Information Network (DIN). The Designee Information Network is an automated information system designed to support the delegation management process by providing a consolidated delegation information repository for tracking pertinent delegation data.

p. Delegated Organization. Refers to DAS, DOA, and SFAR 36 organizations.

q. Evaluation Panel (EP). The Evaluation Panel should be comprised of the prospective Organization Management Team (OMT) in order to determine the appropriateness of the appointment or denial.

r. Flight Standards District Office (FSDO). As used in this order refers to any responsible Flight Standards office, such as the Certificate Management Office, or Certificate Holding District Office.

s. Manufacturer. Holder of a production certificate, approved production inspection system, parts manufacturer approval or Technical Standard Order Authorization.

t. Manufacturing Inspection District Office (MIDO). As used in this order refers to any responsible manufacturing office such as MIDO, Manufacturing Inspection Satellite Office, or Certificate Management Office.

u. Objective Evidence. All the means by which any alleged fact tends to be established or disproved. These means must be factual, convincing, relevant, valid, reliable, and complete.

v. Organization Management Team (OMT). The team of FAA personnel responsible for oversight of the DAS, DOA or SFAR 36, and the projects or functions they perform.

w. OMT Lead. Focal point for the OMT who is selected by the managing ACO.

x. Procedure. A specific way to perform an activity or function that is documented and usually contains the purposes and scope of the activity or function: what is to be done and by whom; when, where, and how the activity or function is to be done; the materials, equipment, and documents to be used; and how the activity or function is to be controlled and recorded.

y. Root Cause. The underlying cause of a noncompliance or unsatisfactory condition, usually identified through analysis.

z. Special Federal Aviation Regulation Number 36 (SFAR 36). A repair station, air carrier, or commercial operator authorized to develop and use major repair data that are not specifically approved by the FAA Administrator in accordance with SFAR 36. (Find SFAR 36 at the beginning of 14 CFR part 121.)

1-11. ACRONYMS. The following is a list of acronyms used in this order:

14 CFR	Title 14 of the Code of Federal Regulations
ACO	Aircraft Certification Office
AEG	Aircraft Evaluation Group
AFS	Flight Standards Service
AIR	Aircraft Certification Service
AFM	Aircraft Flight Manual
AFMS	Aircraft Flight Manual Supplement
AP	Appeal Panel
AR	Authorized Representative
CMO	Certificate Management Office
DAR	Designated Airworthiness Representative
DAS	Designated Alteration Station
DER	Designated Engineering Representative
DIN	Designee Information Network
DMIR	Designated Manufacturing Inspection Representative
DOA	Delegation Option Authorization
EP	Evaluation Panel
FAA	Federal Aviation Administration
FSDO	Flight Standards District Office (includes CMO or Certificate Holding District Office)
ICA	Instructions for Continued Airworthiness
MIDO	Manufacturing Inspection District Office (includes manufacturing CMO or Manufacturing Inspection Satellite Office – MISO)
MOU	Memorandum of Understanding
OMT	Organization Management Team
PLR	Production Limitation Record
PNL	Program Notification Letter
SFAR	Special Federal Aviation Regulation
STC	Supplemental Type Certificate
STIR	Supplemental Type Inspection Report
TCDS	Type Certificate Data Sheet
TC	Type Certificate/Type Certification
TIA	Type Inspection Authorization
TIR	Type Inspection Report

1-12. FORMS/LETTERS/FORMATS. Appendix 1, Sample Forms and Letters, provides examples of appropriate forms, letters, and formats referenced in this order.

1-13. RECORDS MANAGEMENT. For guidance on retaining or disposing records, see FAA Orders 0000.1, FAA Standard Subject Classification System; 1350.14, Records Management; and 1350.15, Records, Organization, Transfer, and Destruction Standards. Or, see your office Records Management Officer/Directives Management Officer.

CHAPTER 2. SELECTION AND APPOINTMENT

2-1. GENERAL. This chapter describes how to select and appoint DAS, DOA, and SFAR 36 authorized organizations.

2-2. APPLICATION.

a. Application. Applications will be submitted to the appointing office in accordance with the applicable regulations. The application letter must state the authorization and limitations sought, including the products on which the authorization will be utilized.

(1) DAS and DOA applicants must submit applications to the geographical ACO. The ACO should provide a written response within 30 calendar days to the applicant, acknowledging receipt and providing an estimated date to complete their evaluation.

(2) SFAR 36 applicants must submit applications to their managing FSDO. The FSDO inspector assigned should follow the procedures in Order 8300.10 for the coordination of the application with the ACO.

b. Application Content. The application must include:

(1) FAA Form 8100-10, DAS, DOA, or SFAR 36 Statement of Qualifications.

(2) A cover letter stating the authority requested under the applicable regulations and limitations for the authorization, to include the products on which the authorization will be utilized. The cover letter must also contain a brief statement as to the applicant's eligibility in accordance with applicable regulations.

(3) A detailed description of how the qualification requirements are satisfied as defined in paragraph 5-2 of this order, and the specific eligibility requirements as defined in chapters 6 through 8 of this order (for example, having a TC, PC, 14 CFR part 145, 14 CFR part 121).

(4) The authorization holder administrator's resume as outlined in paragraph 5-7a.

(5) AR Packages. Authorized Representatives are not designees under the requirements of 14 CFR part 183. However, ARs perform functions comparable to designees. Before recommending ARs to the FAA, the organization must evaluate the proposed AR's qualifications using the applicable criteria in Order 8100.8, Designee Management Handbook, for the function(s) the ARs will be performing. The organization's AR selection process must be defined in their procedure manual and meet the intent of the selection process found in Order 8100.8. The organization's application should contain evidence of the organization's review of the proposed ARs, and a summary of each AR's qualifications. The organization need not submit AR qualification summaries for existing designees, unless the proposed functions (to include type and complexity) were not previously delegated to the AR.

(6) A procedure manual that includes the content required by paragraph 5-8 of this order, and the specific detail outlined in the Procedure Manual example in appendix 2, Sample DAS, DOA, SFAR 36 Procedure Manual, of this order.

2-3. SELECTION PROCESS.

a. Initial Screening. After receiving the application, the ACO (DAS and DOA) or FSDO (SFAR 36) will determine if the applying organization meets the following basic requirements:

(1) The FAA needs the new appointment.

(2) The organization holds the current certificates defined in the eligibility sections of chapters 6 through 8, as the basis for the authorization in accordance with the FAA regulations.

(3) The organization has a successful and recent history with the FAA for the functions desired and is familiar with the applicable FAA certification processes.

(4) The organization's staff possesses integrity, sound judgment, and a cooperative attitude toward the FAA.

b. Formation and Review by the Evaluation Panel. After determining that the applicant is eligible, the appointing office must organize a panel of FAA personnel to evaluate the application. The team may consist of the accountable directorate representative, the geographic MIDO Principal Inspectors (PI), FSDO, appropriate Aircraft Evaluation Group (AEG) representatives, and appropriate ACO personnel. The panel must be qualified and familiar with the functional areas for which the delegation is sought and experienced with the appropriate DAS/DOA/SFAR 36 processes. The Evaluation Panel (EP) should be comprised of the prospective Organization Management Team (OMT) (see chapter 3) in order to determine the appropriateness of the appointment or denial. The panel will collectively

determine if the applicant is qualified for the authorization. The panel must consider the following criteria to determine whether an authorization is warranted:

(1) The FAA must need the appointment.

(2) The FAA must have adequate personnel to properly oversee and support the appointment.

(3) The applicant must employ, or have available, qualified engineering, flight test, and inspection personnel as appropriate.

(4) The applicant must have adequate facilities appropriate to the authorization desired.

(5) The applicant's administrator and ARs must have integrity, sound judgment, and a cooperative attitude.

c. Evaluation of Authorized Representatives (ARs). The FAA managing offices should review the AR packages to ensure the proposed ARs meet the criteria of Order 8100.8. Existing FAA designees may be approved as AR staff members without further technical review of their qualifications if they will be performing similar functions.

d. Procedure Manual Approval. After determining that the applicant is qualified, the EP must review the proposed procedure manual and ensure it establishes a process that complies with the applicable requirements of 14 CFR, and applicable FAA orders. After the EP approves the procedure manual, the managing office(s) shall execute the Memorandum of Understanding with the officials of the organization as described in paragraph 5-4.

e. Denial of DOA/DAS/SFAR 36 Applications. Denial of an application for a DOA/DAS/or SFAR 36 authorization must be made in writing to the applicant and sent via registered mail within 30 calendar days of the decision. The letter of denial must explain the specific reasons for the denial and detail what steps the applicant may take before the FAA will reconsider their application. (See appendix 1, figure 1 for an example of a denial letter.)

f. Appeal Panel (AP). If denied, an applicant may request appeal of the decision. The applicant must appeal the denial in writing within 60 calendar days of being notified of the denial. The AP will consist of at least two office managers and a senior engineer or inspector, or flight test pilot who were not part of the applicant's EP. The AP will consider all available information and may interview the applicant, applicant's staff, EP personnel, or may invite other persons to be resources at their deliberations. The AP reaches a decision by consensus and all decisions are final.

g. Appeal Panel Authority. The AP may uphold the previous decision; or

(1) Override the previous decision with a new decision and provide appropriate justification; or

(2) Request that any part of the appointment process be repeated citing new information that the EP must review, or issue additional instructions and clarifications to the EP. The AP may direct that the previous EP conduct the review, or it may direct the appointing office to appoint a new EP.

h. Functioning of the Appeal Panel. The AP shall determine if the appointment process was conducted properly by reviewing the documentation in the appellant's file, the evaluation panel's written justification, interviewing members of the EP, and reviewing other information deemed appropriate. If discrepancies are found, appropriate actions shall be taken to ensure the future integrity of the appointment process. The AP shall complete their deliberations by consensus within 60 calendar days from the date of the appeal. The decision must be documented and signed by each AP member and transmitted to the appointing office manager. The appointing office manager will notify the appellant of the decision by the AP by letter. If the AP is not able to reach a decision by consensus within the 60 day period, the appointing office manager will make the final decision and notify the appellant. The decision is final whether made by the AP or appointing office manager.

2-4. AUTHORIZATION. After completing all elements of the selection process (including signature of an MOU), the appointing office shall provide the applicant proof of authorization. Proof of authorization shall be an authorization letter issued by the appointing ACO and coordinated with the MIDO and AEG for DAS and DOA, and jointly signed between the ACO and certificate managing FSDO for SFAR 36 authorizations. The authorization letter shall note the authorization number from the Designee Information network (DIN), the limitations of the authorization, the location of facilities, and any technical limitations. The nature and scope of authorization limitations may be of any form appropriate to the authorization. It may be limited for lack of certain equipment, or limited to certain types of products. Examples of authorization letters are in appendix 1, figures 3, 4, and 5. The appointing office shall also provide the names and phone numbers of the OMT members.

> **NOTE:** The appointing ACO inputs the appropriate information into DIN. (See chapter 9.)

CHAPTER 3. OVERSIGHT

3-1. OVERSIGHT PROGRAM. FAA oversight is a systems approach to managing and supervising the organization. The FAA focuses on the organization's performance and its approved systems and procedures. Oversight consists of supervision, addressed in this chapter, and evaluations, addressed in chapter 4. The FAA will oversee the organization as necessary to ensure that it performs adequately. The program consists of supervising and evaluating the organization's:

a. Systems and procedures.

b. Personnel.

c. Projects and activity

d. Overall performance

3-2. ORGANIZATION MANAGEMENT TEAM (OMT). This team of FAA personnel supervises and evaluates the organization's functions. The OMT includes the ACO, AEG, MIDO, and Flight Standards District Office (FSDO) as needed to oversee the organization. The OMT members must be knowledgeable and experienced in the organization's functions.

a. The OMT lead coordinates the OMT's activity and is the primary focal point for communication with the organization. The ACO manager selects the OMT lead.

b. Aircraft Certification Office OMT members have primary responsibility for oversight of the administrator, the engineering and flight test functions, and the certification procedures in the procedure manual. The OMT must include ACO flight test pilots and engineers from all technical disciplines that the authorization holder performs.

c. Manufacturing OMT members have primary responsibility for oversight of the inspection and airworthiness procedures and functions of DASs and DOAs.

d. The FSDO is responsible for certificate management of repair stations and operators that are DASs or SFAR 36s. The FSDO must inform the OMT of any changes in the authority or capability of the repair station or operator.

e. The Aircraft Evaluation Group (AEG) supports the OMT for maintenance and operational issues on DAS and DOA projects.

3-3. SUPERVISION. Supervision provides guidance, direction, training and performance feedback through interactions with the organization. Supervision consists of the following:

a. Managing the Organization's Activity.

(1) Defining and Understanding the Organization's Authority and Limitations. The organization's authority and limitations establish what types of functions the organization may perform. The regulations establish the general authority and limitations, which are further defined in the procedure manual. The OMT must ensure that the authority and limitations are appropriate based on the organization's capability, experience and history.

(2) Approving the Organization's Procedures and Personnel. By approving the procedures and personnel, the FAA ensures that the organization's procedures are adequate to ensure compliance, and that the organization uses technically qualified personnel in the process. The OMT must:

(a) Approve Procedure Manual Changes. Procedure manual changes may address changes in the processes for performing functions; changes in the procedures or the organization's system to satisfy FAA regulations and policy; or changes in the organization's staff. Procedure manual changes must be approved prior to implementation.

(b) Approve AR Changes. The OMT must find proposed ARs acceptable before they can perform any functions for the organization. The OMT should verify that the organization used the process described in its procedure manual to evaluate proposed ARs (or changes in existing AR's authority) and validate its conclusions. The OMT must tell the authorization holder if the proposed AR is approved or denied within 15 working days of receiving the proposed change.

(3) Managing DOA and DAS Activity. The final step in authorizing DAS and DOA activity occurs by review of the program notification letter. At this time the OMT decides if the organization can perform the functions required to accomplish the project. The OMT must review each program notification letter and determine if FAA involvement is required in the program. Chapters 6 and 7 define required FAA involvement. The OMT may decide to delegate other aspects of the program, or retain parts for FAA approval. The OMT should participate in a project if there is any

question of the organization's ability to complete any aspect of the project.

b. Guidance and Feedback.

(1) Providing Guidance. The OMT helps all authorized organizations get required directive and policy material. Access to most FAA regulations, directives, and ACs of interest to authorization holders is available on the Internet at http://www.airweb.faa.gov/rgl. The OMT should provide copies of policy information and interpretive material not available via the Internet. The OMT should provide the information and instruction the organization needs to perform its authorized functions.

(2) Providing Feedback. The OMT must provide the organization feedback on its performance. The OMT must notify the organization of any problems with its performance as soon as possible. The OMT must document all items that require formal corrective action as described in paragraph 3-6.

c. Assessing Performance.

(1) Reviewing the Organization's Work. As determined necessary, the OMT must review the organization's work and data for accuracy and completeness. The OMT bases the amount of review on the organization's experience, the quality of work performed on previous projects, and the AR performing the function. Previous service difficulties and the violation history of the organization should be considered when determining the amount of review necessary. The OMT must review samples of completed project records (for example, airworthiness, conformity, compliance, and type design data). The OMT should coordinate any meetings or inspections through the authorization holder's administrator.

(2) Review of Self-Evaluations. The OMT must review periodic self-evaluation reports, including the organization's plan for corrective action, for possible discrepancies. The OMT lead must acknowledge receipt of the report, coordinate the review with the other OMT members, and coordinate corrective actions per paragraph 3-6 if necessary.

(3) Verifying Compliance with Procedures. The OMT must ensure the authorization holder complies with the approved procedure manual and referenced internal processes.

d. Maintaining Oversight Documentation. Proper documentation provides the FAA with the necessary information to oversee the organization properly. It also provides a history of the organization's performance in case OMT members change or the organization seeks additional authority.

(1) The OMT lead will maintain a file containing the following information for each authorization that they manage OMT members must provide any information not available to the OMT lead:

(a) Completed DAS, DOA, SFAR 36 application package.

(b) Evaluation panel documentation and rationale.

(c) Copy of the letter of authorization.

(d) General correspondence (non-project specific).

(e) Copy of the current procedure manual.

(f) Supervision records and evaluation reports.

(g) Copy of summary activity reports (if applicable).

(h) Copy of current Forms 8130-13 for out-of-geographic-area work since the last reporting period, if applicable. The manufacturing OMT member must provide copies of FAA Form 8130-13.

(i) Enforcement History.

(j) Copies of the organization's self-evaluation.

(k) Copies of the organization's A-3 operations specifications showing the status of ratings, capabilities and limitations (Repair Stations and Operators).

(2) The other OMT members should maintain files documenting their specific activity in support of the OMT. Their files should include the following:

(a) Certificate Management records for any manufacturing approvals held by the organization.

(b) Copies of supervision records completed.

(c) Documentation of their input regarding projects performed by the organization.

3-4. CONDUCTING SUPERVISION. The OMT supervises the organization by continuously performing the tasks in paragraph 3-3. The OMT may conduct supervision visits at the facility at any time. The OMT performs these tasks by interacting directly with the organization and its ARs, or by reviewing the organization's approvals and data. The level of supervision depends on the organization's experience,

history, and past-performance. It also depends on the technical complexity and impact on safety of the functions that the organization performs. OMT members must complete a Delegated Organization Supervision Record (appendix 1, figure 13) of all significant supervision activities or communications with the organization.

a. Required Evaluation Items. The OMT must annually assess the required evaluation items on the supervision record. The OMT should meet at the beginning of the annual period to establish a strategy for assessment of these items. The strategy should consider which OMT members are responsible for the assessment of the different items.

b. Coordinating Supervision Activity. Supervision of the organization must be coordinated among the OMT. The OMT lead is primarily responsible for coordinating supervision of the organization. The type of coordination may vary depending on the size and complexity of the organization and OMT. If the OMT consists of only a few people, it may be appropriate to inform all OMT members of any activity related to the organization. For larger organizations, like DOA holders, it may be more practical to coordinate fully within technical disciplines, which would report their activity and findings to the OMT Lead. The entire OMT should decide exactly how it will coordinate its activity. In any case, the OMT members must provide the OMT lead with supervision records documenting their supervision visits to the organization.

c. Planning Supervision Visits. The OMT members should notify the OMT Lead of any planned supervision activity at the organization's facility. The OMT lead should notify the administrator of the organization of the planned visit. Unannounced visits may be made at the discretion of the OMT. OMT members should coordinate their visits if possible, to minimize the impact to the organization. If the visit is to a repair station or operator, the flight standards OMT member should be informed before the visit.

d. Engineering Supervision. The OMT can accomplish most engineering supervision by data review. This does not require on-site visits to the organization's facility. However, at least one engineering OMT representative must make at least one supervision visit to the organization's facility each year, in addition to the evaluation requirements in chapter 4. If time allows, the OMT member may combine the supervision visit with a specific project activity, such as witnessing tests or participating in flight tests. The primary reason for the visit is to:

(1) Review approved test plans and compliance substantiation data, type design data, etc.

(2) Discuss self-evaluation results.

(3) Review corrective actions implemented.

(4) Review project files.

(5) Review internal training and training records.

(6) Review AR selection procedures and records.

(7) Provide the latest guidance and policy.

(8) Interact with the ARs.

e. Manufacturing Supervision. The OMT accomplishes manufacturing supervision primarily by direct interaction with the organization and visits to their facility. The OMT may tailor the number of visits to the organization, but they must visit at least annually. These visits are in addition to the evaluation requirements of chapter 4. The OMT should base the number of needed visits on the organization's experience and adequacy of previous certification efforts. Frequency also depends on the organization's size, level of activity, and past performance. Smaller organizations or those with lesser activity or no performance problems may need only one or two manufacturing visits a year, while others with increased complexity may need frequent visits. During visits to the facility the OMT member should:

(1) Determine compliance to regulatory requirements.

(2) Identify safety issues.

(3) Observe ARs perform airworthiness or conformity inspections.

(4) Discuss self-evaluation results.

(5) Review corrective actions implemented.

(6) Review project files.

(7) Review internal training and training records.

(8) Review AR selection procedures and records.

(9) Provide latest guidance and policy.

(10) Interact with the ARs.

f. Flight Standards Supervision. Flight Standards OMT members oversee the activity of those organizations that are repair station or operators. See Order 8300.10 for the certificate management processes for these organizations. The Flight Standards OMT member does not need to notify the OMT of all their activity at the facility, but must inform the OMT

members of any findings that may affect the organization's ability to act as a delegated organization. Changes in the ratings, limitations or capabilities of the organization can affect their authority as a DAS or SFAR 36.

g. Aircraft Evaluation Group Supervision. The AEG's primary activities are to coordinate and review the Instructions for Continued Airworthiness, and support the ACO in determining operational suitability. Since the FAA does not delegate AEG functions to the organization, supervision activity by the AEG is usually limited to their participation during the certification program. The AEG will not normally visit the facility, but may do so if they determine a visit is necessary.

h. Documenting Supervision on the Delegated Organization Supervision Record. The OMT must document supervision activity and significant communications with the organization on the supervision record in appendix 1, figure 13. The record is used to document general supervision activity, and ensure that any unsatisfactory performance is documented and corrected.

(1) Required Evaluation Items. The OMT must evaluate the items listed on the record at least annually. Each OMT member must evaluate each of the items applicable to their technical discipline. Not every interaction with the organization needs to be recorded, but every supervision visit to the organization's facility must be recorded. The OMT member performing the supervision should rate each item assessed as satisfactory, unsatisfactory, or not applicable. If the evaluation item is not assessed during the activity, leave the item blank. Corrective action must be implemented for all items rated as unsatisfactory.

(2) Text Blocks on Back of Form.

(a) Summary of Visit or Communication. Provide a summary of activity performed during the visit or of important communications not otherwise documented with the organization. For visits, the summary should include details on how the evaluation items were assessed.

(b) Notable Conditions Encountered. Highlight the notable conditions encountered. "Notable conditions" means any items or conditions of interest that do not require corrective action, but need documentation. These may be items to assess during the next visit, or areas of interest to other OMT members.

(c) Items Requiring Corrective Action. Describe here any evaluation item rated as unsatisfactory, or any other condition determined to need corrective action. Provide specific details of any unsatisfactory conditions and check the box on the front page indicating corrective action is required. The OMT lead must assess items identified as needing corrective action. If the OMT lead concurs that corrective action is required, they must notify the authorization holder per paragraph 3-6.

i. Coordinating Supervision Visit Findings with the Authorization Holder. The OMT member performing the supervision activity should communicate their observations with the administrator of the organization (if possible) and any ARs involved in the activity reviewed. The authorization holder should be told of any items identified as needing corrective action and informed that they will be further notified of such items.

3-5. DELEGATED ORGANIZATION EVALUATION PROGRAM. The evaluation program evaluates all aspects of the authorization holder's performance. It assesses both system-level procedures and compliance, and the authorization holder's technical proficiency and judgment. The OMT uses these evaluations to assess if the organization's procedures are adequate, if the organization complies with the procedures and if the ARs are making acceptable technical decisions. The OMT must evaluate the authorization holder using the program requirements in chapter 4.

3-6. CORRECTIVE ACTION. The OMT must ensure the organization implements corrective action for non-compliances and any problems with the organization's procedures or performance.

a. Regulatory Non-compliances. Any violations of the regulations (other than non-compliances with the airworthiness standards) or SFAR 36 by the authorization holder require notification and corrective action per Order 2150.3. These violations could be discovered during evaluation of the authorization holder or during oversight of their activity. For example, if the DAS or DOA issued experimental certificates without obtaining approval of the limitations from the FAA, it would be a violation of 14 CFR § 21.275 or § 21.475. Additionally, any instances where DAS authorization holders did not comply with the requirements of their procedures manual when developing an STC would be a violation of 14 CFR § 21.463.

> **NOTE:** The OMT lead should be familiar with the FAA's compliance and enforcement program. If they are not, the OMT lead should coordinate any compliance and enforcement activity with other members of the OMT who are familiar with the program's requirements. Manufacturing and flight standards OMT members usually have experience with compliance and enforcement activity.

b. Non-compliances to the Airworthiness Standards or Possible Unsafe Conditions. If an approval performed by the organization results in a possibly unsafe product, or a product not meeting the airworthiness standards, the OMT must immediately notify the organization of the unsafe condition or non-compliance and:

(1) Assess the safety effect of the condition to determine if the FAA needs to issue an Airworthiness Directive to correct the condition on products in operation.

(2) Pursue Airworthiness Directive action if necessary.

(3) Review the procedures that led to the approval, and verify the procedures are adequate and that qualified ARs performed them.

(4) Require the organization to determine the root cause of the condition and whether the problem is systemic or isolated in nature. The organization must report on the cause within 30 calendar days.

> **NOTE:** The FAA can only mandate changes to products through the Airworthiness Directive process. If non-compliant conditions do not result in an unsafe condition, the OMT can request that the organization correct the condition. The OMT should document when an organization refuses to implement corrective action for non-compliant conditions. The OMT should consider this refusal when assessing the organization's performance.

(5) Verify corrective and remedial action is implemented.

c. Other Conditions Requiring Corrective Action. The OMT lead must notify the authorization holder of any condition requiring corrective action. The OMT must document the condition in the FAA's files, and notify the authorization holder of the item in writing within 30 calendar days of identifying the condition. The letter should task the organization to identify the cause of the condition and propose corrective action within 30 calendar days. The OMT must maintain the organization's response and any related correspondence in the FAA's files.

d. Follow-Up on Corrective Action. The OMT must track and reevaluate all items requiring corrective action. An OMT member must visit the organization's facility to ensure the organization implements corrective action. Verification of corrective action must be documented on a supervision record.

3-7. GEOGRAPHICAL COORDINATION. Project activity in different geographical areas may require support from the different FAA offices responsible for the off-site facilities. The OMT lead will coordinate with the FAA offices having geographical responsibility. Together they can supervise at the additional facility.

CHAPTER 4. DELEGATED ORGANIZATION EVALUATION PROGRAM

4-1. EVALUATION PROGRAM OVERVIEW. The evaluation program evaluates all aspects of the authorization holder's performance. It combines what were separate technical evaluations and Aircraft Certification System Evaluation Program evaluations. Aircraft Certification System Evaluation Program evaluations will only be performed on production approval holders (see Order 8100.7). This evaluation program assesses both system-level procedures and compliance, and the authorization holder's technical proficiency and judgment. The evaluations are a means for the FAA to ensure the authorization holders have developed and complied with the appropriate procedures for their delegated functions, and are making technical decisions that are acceptable and technically correct.

a. The ACO managers will:

(1) Select the evaluation team-leader.

(2) Select engineering team members.

(3) Coordinate scheduling of evaluations for their delegated organizations.

b. The MIDO managers will select manufacturing team members.

c. The OMT members will:

(1) Conduct evaluations when selected as evaluation team members.

(2) Ensure corrective action is implemented for findings.

(3) Monitor evaluation findings to identify trends within an organization.

d. The Delegation and Airworthiness Programs Branch, AIR-140, manages and coordinates the evaluation program, and will:

(1) Manage the program database.

(2) Coordinate program information with other responsible headquarters organizations.

(3) Analyze the database information to identify engineering-related trends discovered during evaluations.

(4) Provide requested data to other FAA organizations.

(5) Serve as the engineering focal point for the delegated organization evaluation program.

(6) Identify and correct delegation program and policy deficiencies.

(7) Participate in a limited number of evaluations each year.

e. The Production Certification Branch, AIR-220, will:

(1) Serve as the production and airworthiness focal point for the delegated organization evaluation program.

(2) Analyze the database information to identify manufacturing-related trends discovered during evaluations.

(3) Identify and correct delegation program and policy deficiencies related to manufacturing.

(4) Promote standardization by participating in a limited number of evaluations each year.

f. The Aircraft Maintenance Division, AFS-300, will:

(1) Serve as the flight standards focal point for the delegated organization evaluation program.

(2) Analyze the database information to identify trends discovered during evaluations.

(3) Identify and correct delegation program and policy deficiencies related to flight standards.

(4) Promote standardization by participating in a limited number of evaluations each year.

4-2. EVALUATION SCHEDULING.

a. Determining Frequency of Evaluations. Evaluations must be performed at least every two years. Evaluations may be scheduled more frequently, and unscheduled evaluations may be conducted whenever the OMT determines necessary. The OMT must use their judgment and discretion when determining the need for evaluations. Factors which might warrant decreasing the interval between evaluations or an unscheduled evaluation include:

(1) Request by the organization.

(2) Significant change in the ARs at the delegated organization.

(3) Significant changes in the organization's capabilities or facilities.

(4) Accidents or incidents resulting from design approvals the organization issued.

(5) A significant number of service difficulties or operator complaints about an approval the organization issued.

(6) Significant number of technical non-compliances on previous projects.

(7) Significant findings from the organization's self-evaluation.

(8) Significant changes in the activity level of the organization.

(9) Airworthiness Directives resulting from approvals issued by the organization.

(10) Administrator's position in the company could affect their FAA responsibilities.

(11) Complaints by the organization's employees.

(12) Significant off-site activity.

b. Schedule Planning. The OMT lead should schedule and budget evaluations for the following 12 months by the end of the fiscal year. The OMT lead must coordinate with the authorization holders, necessary OMT members, and other needed evaluators to ensure they're available for the dates scheduled. If the organization is also scheduled for an Aircraft Certification Systems Evaluation Program evaluation, the evaluations may be scheduled consecutively, to minimize the impact to the organization and allow for FAA resources to support both evaluation programs. The OMT lead must provide the projected schedule – and any changes throughout the year – to the Delegation and Airworthiness Programs Branch, AIR-140. AIR-140 will coordinate the schedule with the schedule planners for the Aircraft Certification System Evaluation Program.

4-3. EVALUATION PLANNING.

a. Composition of Evaluation Team.

(1) Team Leader. Since one of the primary purposes of the evaluation program is to ensure a minimum level of oversight by the OMT, the OMT should usually participate in the organization. If the ACO manager wants an evaluation independent of the OMT, they may occasionally schedule evaluations using non-OMT members. The team leader should normally be the OMT lead, but the ACO manager may select a different team leader at their discretion. The team leader should have experience in conducting both process and technical evaluations, and understand the certification and approval processes being evaluated. The team leader must have the communication and management skills necessary to direct the evaluation team's activity. The team leader should also have all skills required of the evaluation team members, as described in paragraph 4-3b.

(2) Evaluation Team. The evaluation team may consist of the OMT members or the ACO and MIDO managers may substitute other personnel for the OMT members and supplement them with additional resources. The team members must be technically proficient in the areas they are responsible to evaluate. There must be MIDO members and ACO representatives for each technical discipline that is being evaluated. The team may utilize technical specialist support from other ACOs, headquarters, directorates or chief scientific and technical advisors as needed to support the evaluation. The managing flight standards personnel for repair station/operator DASs and SFAR 36s should be notified of the evaluation and invited to participate or perform oversight visits during the evaluation. Participation of the AEG depends on their level of participation during the organization's projects. If the AEGs review all of the content of ICA packages developed during a project, there is no need for them to participate. If, however, they routinely accept the ICA without review or depend on the authorization holder to develop the ICA, they should participate in the evaluation. More than one AEG organization may need to participate on the evaluation, depending on the types of products for which the organization is responsible.

b. Evaluation Team Skills. The evaluation team should be familiar with the following:

(1) Delegated Organization Evaluation Program. The team members should be familiar with the fundamentals of FAA delegation and the FAA's procedures for managing delegated organizations. They must also be familiar with the purpose of the evaluation and the criteria used during the evaluation. They can gain this knowledge by attending the Delegation Management course at the FAA Academy or participating in previous evaluations.

(2) Certification Procedures. The team members must understand the certification requirements of Orders 8110.4, 8130.2, and so on, as applicable to the functions they are evaluating. They can get this knowledge by attending Aircraft Certification courses at the FAA Academy, on the job training, and participation in previous certification projects.

(3) Technical Proficiency. The team member must have the technical proficiency to properly evaluate the areas of responsibility assigned during the evaluation. They can get this knowledge by education, attending FAA Academy core job functions courses, or participation in previous certification projects.

(4) Auditing Skills. The team members should have skills necessary to perform the evaluation, such as in communication, sampling of data, asking questions. They may get this skill by participating in previous audits or evaluations, such as Aircraft Certification System Evaluation Program evaluations, National Aviation Safety Inspector Program evaluations, or Principal Inspector evaluations. Evaluators may also obtain these skills by attending ISO-9000 series training.

c. Evaluation Length. The length of the evaluation must be tailored according to the level of activity at the organization and their approvals' safety impact. Evaluations will usually be scheduled for one week, including travel. Time at the organization's facility depends on the evaluator's travel arrangements. The time scheduled must be adequate to evaluate all projects selected for review.

d. Notification. The evaluation team lead will notify the authorization holder using the sample format in appendix 1 figure 14. For normally scheduled evaluations, they should notify the authorization holder in writing no later than 50 calendar days before the evaluation. They should notify authorization holders of non-scheduled evaluations as soon as possible. Evaluations may be performed without notification if the OMT believes necessary. The OMT must get concurrence from AIR-100, who will coordinate with AIR-200, and AFS-300 that the evaluation is necessary without notification.

e. Team Coordination and Selection of Projects for Review.

(1) Notifying Team Members of the Evaluation. The team leader notifies the evaluation team of the evaluation and coordinates evaluation scheduling with the other members.

(2) Assigning Responsibilities to Evaluation Team. Before the evaluation starts, the evaluation team should agree to the evaluation plans, personnel assignments and responsibilities, and so on. The team should evaluate all system elements and as many criteria as possible during the evaluation. See appendix 5 for evaluation criteria. They can evaluate procedural criteria before the evaluation by reviewing the organization's procedures and verify compliance with procedures during the evaluation.

f. Selection of Projects to Evaluate. The evaluation team should select projects to be reviewed before the evaluation. The team should also consider if there would be any test witnessing, inspections, and so on, during the evaluation. The projects should technically represent the projects the organization performed and address all technical areas. The team may review other projects during the evaluation at the team leader's request. The evaluation team should review the results of any previous Aircraft Certification or Flight Standards Service evaluations and the supervision records for the authorization holder and ensure they focus on areas where deficiencies were identified, or could be expected.

g. Evaluation Plan. The team leader must prepare a written evaluation plan that includes the following information. The OMT lead will provide any information not readily available to the team leader.

(1) Name and address of the organization and type of delegated organization.

(2) Dates of evaluation.

(3) Access information, including facility point of contact.

(4) Lodging information.

(5) Equipment required (for example, notebook computer, safety shoes, and coveralls).

(6) Names of team leader and members.

(7) Description of projects being evaluated.

(8) Identification of the administrator and key staff.

(9) Date of the approved procedure manual.

(10) FAA/facility written agreements in effect.

(11) Listing of the previous evaluation's discrepancies and respective follow-up action.

(12) Special emphasis items recommended by the OMT.

(13) Team member assignments. This should identify the responsibility of each team member and the criteria they are responsible to evaluate.

4-4. PERFORMING THE EVALUATION.

a. Evaluation In-Briefing. The team leader, and the evaluation team, should provide a briefing to the authorization holder when they arrive at their facility. The authorization holder's administrator, senior

management, and selected ARs should attend. The briefing should cover the evaluation's purpose, the procedures to be followed, and introduction of the evaluation team members.

b. Evaluation Coordination with Authorization Holder. The FAA evaluation team leader and the authorization holder's evaluation representative (usually the administrator for the authorization) should agree up-front on how to handle communication issues.

c. Evaluation Details. The evaluation team will evaluate the selected projects using the applicable criteria in appendix 5. The authorization holder should make copies of data, if requested, for use by the evaluation team. The evaluation team should evaluate all system elements and as many of the criteria as possible. Some criteria related to procedures may only need evaluation by one team member, or a engineering and manufacturing team member. For example, a single person from each discipline may evaluate the procedure manual. Other criteria, like the system element "Design Data Approval", will be evaluated by the engineering team members of all technical disciplines. Each evaluator should be knowledgeable of all the criteria applicable to the system element assigned to be evaluated, and evaluate as many of criteria as possible.

d. Coordination with Managing FSDO PI. The team leader will inform the certificate management inspector of the progress of the evaluation, if possible. The team leader should coordinate with the PI to determine when these discussions should occur.

e. FAA team meetings must be held daily to review the progress of the evaluation and discuss issues that arise. Team members should frequently contact each other during the evaluation to ensure they are investigating those issues that cross technical specialties, and are coordinating the issues properly. The team should review all discrepancies found during the evaluation.

f. Meeting with the Organization's Representative. The team will hold a brief meeting daily with the organization's evaluation representative to discuss the evaluation's progress, including problems encountered, the status of actions the team requested, schedule changes, and coordination of other evaluation activities.

g. Documentation of Discrepancies. The team should document discrepancies found during the evaluation on the Evaluation Discrepancy Record in appendix 1, figure 15. Ensure all applicable blocks are complete. Ensure true copies of objective evidence are attached to the appropriate discrepancy forms, appropriately referenced, and clearly identified per Order 2150.3, Compliance and Enforcement Program (if necessary).

h. Classification of Discrepancies. Identify discrepancies as safety-related if the possibility of an unsafe condition exists as a result of the discrepancy. Any safety-related discrepancy must be further investigated by the ACO to determine if an Airworthiness Directive is needed. Discrepancies related to the technical data package should be documented according to the following:

(1) Airworthiness Standard Non-compliance. Discrepancies that show that the approval does not meet the airworthiness standards.

(2) Regulatory Non-compliance. Discrepancies that indicate a non-compliance with the regulations other than the airworthiness standards. For example, if a DAS authorization holder did not submit the names of staff members to the FAA before they approved data, it violated 14 CFR § 21.441(b).

(3) Procedures Manual Non-compliance. Discrepancies that indicate the organization did not comply with the FAA-approved procedure manual (including referenced internal processes) in effect at the time of the discrepancy.

(4) FAA Policy Non-compliance. Discrepancies that indicate a non-compliance with related FAA documents, such as orders, notices, policy memos, and handbook bulletins.

(5) Technical Discrepancies. Technical discrepancies in the compliance or data package, such as math errors, inadequate compliance determination, or using technical analysis when a test is required.

(6) FAA Procedures Manual Discrepancy. Discrepancies in the FAA-approved procedures manual (including referenced internal processes). The manual does not comply with the requirements of this order, or the manual's procedures are inadequate or incomplete to perform a process.

(7) Special Emphasis Items. Any other condition that needs further action.

i. Evaluation Wrap-Up. Near the end of the evaluation, the team leader will hold a final meeting. The team leader will allow time to finalize the details of the evaluation. The team leader and members must complete all required Evaluation Discrepancy Records and complete the Evaluation Survey Sheet of appendix 1, figure 17. The team will discuss discrepancies to determine if there are any possible regulatory violations. The team leader will resolve any disagreement between team members on any discrepancy.

j. Out-Briefing/Presentation of Findings. At the end of the evaluation, the team leader will conduct a briefing to review all discrepancies identified during the evaluation with the authorization holder. At least the administrator and senior management of the authorization holder should attend. Other ARs are welcome. FAA team members will attend, unless the FAA team leader excuses them. The team leader should invite the Flight Standards PI. The briefing should explain the process to correct or dispute the discrepancies and encourage the authorization holder to submit any feedback regarding the evaluation to AIR-140.

4-5. POST-EVALUATION ACTIVITY.

a. Preparing the Evaluation Report. Within 20 calendar days after the evaluation the team leader will prepare a report outlining the discrepancies identified during the evaluation. The original report and supporting objective evidence must be provided to the OMT lead. The team leader must provide copies of the report without the supporting evidence to the ACO, MIDO and FSDO managers, AIR-220, AFS-300 and AIR-140. The report should contain:

(1) Cover sheet per appendix 1, figure 16, containing the name of the authorization holder, authorization number, dates of evaluation, and names of the evaluation team and team leader.

(2) Overview of the teams findings and observations about the delegation holder.

(3) Copies of the evaluation discrepancy records and supporting evidence.

(4) Evaluation survey per appendix 1, figure 17.

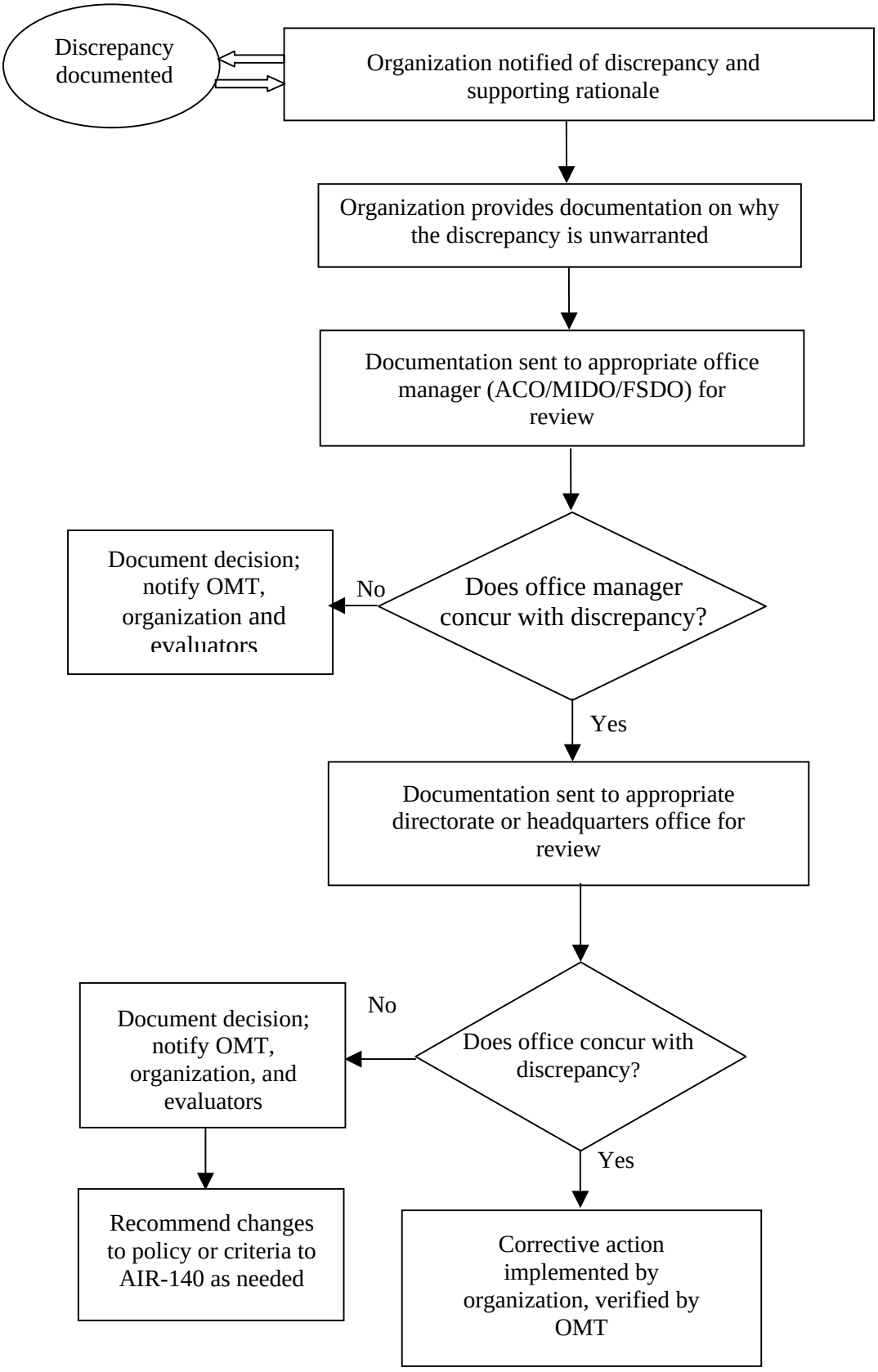
(5) Recommendations for program improvements, and criteria needing revision.

b. OMT Follow-Up. The OMT should review the evaluation report and verify those discrepancies that require corrective action. Violations of regulations other than the airworthiness standards must be processed in accordance with Order 2150.3. Corrective action must be implemented to address all other discrepancies unless the OMT determines otherwise. See paragraph 3-6 for information on corrective action. The OMT must document the justification for any discrepancies not needing corrective action. The OMT lead should forward the report, with a transmittal letter identifying those discrepancies that require corrective action, to the authorization holder within 15 working days of receiving the report (see appendix 1, figure 18). The OMT lead should send a copy of the transmittal letter to AIR-140.

c. Organization Response. The organization should provide a written response to the transmittal letter and evaluation report within 30 calendar days. The response should contain the organization's plan for implementing corrective and remedial action for the discrepancies per paragraph 3-6. The authorization holder must implement corrective actions to address the discrepancies identified in the report on a schedule that is agreeable to the OMT lead. The OMT lead ensures that the organization implements all corrective action per paragraph 3-6. The OMT lead may delegate the responsibility to the appropriate OMT members to follow up on issues related to their technical specialty.

d. Dispute Resolution. If the organization disagrees with a discrepancy regarding compliance determinations or methodologies, they may request further review and disposition of the discrepancy. The organization should document the reasons for their disagreement with the discrepancy and forward to the OMT lead. The resolution flow chart in figure 4-1 should be followed to process any disputes that cannot be resolved between the managing offices and the authorization holder. The accountable directorate (for disputes concerning compliance) or appropriate headquarters office (for disputes concerning procedures) has the final authority for determining the appropriateness of the discrepancy. The FAA should provide the organization a decision regarding the disagreement within 30 calendar days.

FIGURE 4-1. EVALUATION COMPLIANCE DISAGREEMENT RESOLUTION FLOW CHART



CHAPTER 5. DAS/DOA/SFAR 36 QUALIFICATIONS, RESPONSIBILITIES AND AUTHORITY

5-1. GENERAL. This chapter provides general requirements applicable to organizations seeking a DAS, DOA, or SFAR 36. This chapter also establishes general procedures for obtaining and maintaining a DAS, DOA, or SFAR 36, and describes the general functions and limitations that apply to all authorization holders. The specific requirements for a DAS, DOA, or SFAR 36 are addressed in chapters 6 through 8 of this order, as applicable.

5-2. QUALIFICATIONS. Later paragraphs of this order specify eligibility requirements for each authorization type.

a. The applicant must meet the qualification criteria defined in this paragraph and must also comply with the specific eligibility requirements defined for DAS, DOA, or SFAR 36 in chapters 6 through 8 of this order, as applicable.

b. The FAA may grant authorizations to qualified organizations when:

(1) The organization has sufficient workload applicable to the authorization sought.

(2) There is a benefit to the FAA in granting the authorization, and the FAA has the ability to manage the authorization.

c. The FAA does not issue DOAs, DASs, or SFAR 36s to non-U.S. located applicants. An applicant must meet the appropriate 14 CFR requirements as noted in chapters 6 through 8 of this order and the following qualification criteria in order to be considered for an authorization:

(1) The applicant's management must have demonstrated integrity in its experience with the FAA and have made a commitment to act with integrity in finding compliance to the regulatory requirements. In addition, the applicant's proposed administrator and ARs must possess unquestionable integrity, sound judgment, and cooperative attitude.

(2) The organization must employ an authorization holder administrator(s) and employ, or have available, as appropriate for the delegation sought, a staff of ARs who meet the qualification criteria of this order. DAS and SFAR 36 authorization holders must have appropriate staff who meets the requirements of 14 CFR part 21, § 21.439(b) or SFAR 36 paragraph 5b, as applicable.

(3) The organization must have sufficient (as determined by the FAA) resources to perform the level of designation sought. The organization must have a thorough working knowledge, as appropriate to the delegation sought, of the FAA regulations, methods of compliance, policy, and procedures.

(4) The organization must have adequate facilities appropriate to the authorization desired.

(5) The organization must have a successful and recent history of certification work with the FAA.

(6) The organization's staff must possess integrity, sound judgment and a cooperative attitude toward the FAA.

5-3. RESPONSIBILITY. DAS/DOA/SFAR 36 authorized organizations act as representatives of the Administrator when performing the functions they have been delegated. These authorized organizations and their staffs are guided by the same regulations, directives, policies, guidance and procedures applicable to FAA personnel performing similar functions.

a. Authorization Holder. The authorization holder shall assign an administrator who must ensure that the ARs have sufficient time and resources to maintain cognizance of the regulations, directives, and guidance related to their assigned AR duties and to prepare the necessary reports and related forms separate from other company duties. While discharging the duties of authorization holder, the administrator shall report to a level of management high enough to enable the DOA, DAS, or SFAR 36 to administer duties for the FAA without undue pressure or influence from other organizational segments or individuals. The authorization holder must ensure that the administrator and ARs remain free of any restraints that would limit the DOA's, DAS', or SFAR 36's ability to ensure that authorized functions are performed in compliance with FAA regulations. The authorization holder shall allow the FAA to inspect, evaluate or surveil the facilities, products, parts, components, processes, or appliances, records, and procedures associated with DAS/DOA/SFAR 36.

b. Delegation Administrator and ARs. The authorization holder must ensure that the administrator and ARs act in an independent and impartial manner when exercising their FAA authority. The administrator and ARs must be aware of and avoid potential conflicts of interest between their duties and responsibilities to the

FAA Administrator and their roles as employees of the authorization holder.

5-4. MEMORANDUM OF UNDERSTANDING. Authorization holders must agree to exercise the same care, diligence, judgment, and responsibility when performing the delegated functions as would be exercised by the FAA. This commitment starts at the senior management level of the organization and extends through the proposed ARs. In recognition of this, senior management of the organization and the FAA appointing office(s) will sign a memorandum of understanding (MOU) prepared by the OMT, which outlines the charter, authority, and responsibility of the organization. All management officials in the organization who manage ARs must read and understand the MOU and their responsibilities. The MOU will be signed before appointment. In addition, whenever the signatories of the MOU authorization holder or the lead administrator change, a new MOU must be generated by the OMT and signed by both the organization and the FAA. If the new senior management refuses to sign the MOU, the appointing office shall terminate the authorization. The OMT will recommend any updates of the MOU to the appointing office as appropriate. Appendix 1, figure 6 contains an example of an acceptable MOU.

NOTE: All MOUs must contain a statement setting forth the FAA authority and responsibility to conduct oversight of all delegated activities. In addition, authorization holders must cooperate with the FAA during oversight activities.

5-5. STAFF AUTHORITY AND RESPONSIBILITY.

a. DAS/DOA/SFAR 36 Administrator. The administrator is responsible for the overall management of the authorization and the coordination and completion of their authorized functions. The administrator may be authorized to sign specific documents as specified in the procedure manual. The administrator is responsible for all communication and interface with the OMT. The administrator will communicate with the OMT lead on matters pertaining to FAA interface. The administrator must ensure that the organization is following the procedures prescribed in their procedure manual and that their processes comply with all the requirements of the applicable FAA regulations and policies. An organization may have multiple administrators, however the organization must identify one as the "lead" administrator.

b. Authorized Representatives. Authorized Representatives within the organization have the authority to make findings of compliance, determination of conformity, or airworthiness approvals on behalf of the FAA. The ARs must have sufficient authority within the organizations to make binding decisions to ensure that products meet the applicable regulations, conform to the type design, and are in condition for safe operation. The procedure manual must identify the ARs and their approval authority.

c. Separation of Duties. DAS, DOA, and SFAR 36 organizations and any designees they may utilize as ARs should be aware that the delegated functions they perform as a DER, DMIR, or DAR are separate and distinct from the functions they perform as an AR of these organizations.

d. Conflict of Interest. It is important that the administrator and ARs and the organization be aware of and avoid potential conflicts of interest between the role of the administrator and AR acting for the FAA and the role as an employee of the authorization holder. The AR, when performing delegated functions for the FAA, must be independent from the organization's normal engineering and quality control chain of command and report only to the administrator. This should prevent the situation where, for example, the employer asks the AR to use their authorization improperly, or applies pressure on the administrator to compromise their FAA responsibility. It is the organization's responsibility to prevent such situations. Failure to do so will result in termination of their authorization. Authorization holders must ensure that there are no conflicting constraints placed on the administrator or ARs within the organization.

5-6. FUNCTIONS NOT DELEGATED. Authorization holders may only be delegated the functions allowed by the regulations and this order. Following are examples of functions authorization holders may not perform because they are inherently governmental or the FAA chooses not to delegate them.

a. Issue a TC, amend TC or PC.

b. Make findings of equivalent safety.

c. Grant exemptions.

d. Issue special conditions.

e. Approve or issue airworthiness directives.

f. Make determination of applicable FAA regulations for the certification basis.

g. Establish a means of compliance not previously accepted by the FAA.

h. Make findings reserved by the FAA.

i. Conduct surveillance and oversight.

j. Approve quality system and procedure manual.

5-7. STAFF QUALIFICATION REQUIREMENTS.

a. DAS/DOA/SFAR 36 Administrator. Each DOA, DAS, and SFAR 36 must employ an administrator(s) who serves as the focal point for the FAA coordination. The administrator(s) is responsible for managing the DOA, DAS, or SFAR 36 activities and communicating with the OMT. Therefore, the administrator(s) must have not only the technical experience associated with the type of authorization, but also a broad range of management experience that will enable the administrator(s) to effectively manage all aspects of the designation. Although not required, the administrator may also be an AR. These qualifications must be presented in a resume, which clearly demonstrates the qualification criteria have been met. Prior to FAA approval it must be shown that the administrator(s) has the proper level of responsibility, authority, and ability to assure compliance with approved procedures. The following are the minimum requirements for an administrator:

(1) Minimum of five (5) years of experience working with the FAA on projects similar to those being performed under the authorization. This working experience must include various levels of technical airworthiness responsibilities and experience (e.g., compliance engineer, quality assurance inspector, manufacturing inspector, airworthiness inspector, etc.) as well as management experience in the technical disciplines (for example, engineering, manufacturing, airworthiness, etc.). The collective technical, certification processes, and management experience of the administrator(s) must pertain to the type of authorization sought.

(2) Comprehensive knowledge of FAA policies, procedures and regulations associated with the authorization.

(3) Demonstrated sound judgment, integrity, and cooperative attitude toward the FAA.

(4) Possess sufficient technical knowledge, training, skill, and experience applicable to the type of authorization sought.

b. AR Qualification Requirements. DOA authorization holders must employ a staff of ARs who can make findings on behalf of the FAA. DAS and SFAR 36 holders must employ or have available a staff of ARs who can make findings on behalf of the FAA. ARs are not required to be a DER, DMIR, or DAR.

(1) Engineering and Flight Test ARs. Engineering and flight test ARs making findings of compliance to the airworthiness standards must meet the requirements for Designated Engineering Representative (DER) appointment defined in Order 8100.8, Designee Management Handbook, as appropriate to the functions authorized. However, the requirement to have significant working experience in a direct working relationship with the FAA may be satisfied by having significant working experience within the authorization holder's organization.

(2) Inspection ARs. Inspection ARs performing authorized functions must meet the specific qualification criteria for similar function(s) as is described in Order 8100.8 (for example, conformity, export, issuance of airworthiness certificates, etc.). However, the requirement to have significant working experience in a direct working relationship with the FAA may be satisfied by having significant working experience within the authorization holder's organization.

(3) Use of Existing Designees. Proposing the use of existing designees (i.e., DER, DAR, and DMIR) as ARs to perform similar functions should decrease the time and effort required for the FAA to verify qualifications and approve authorized functions.

(4) Expanding the AR Authority of Existing Designees. Both the applicant and the FAA personnel involved should ensure that if the approval authority desired for an AR exceeds the authority already authorized under their existing delegation, or adds functions, or areas, not currently approved, the organization must determine and the evaluating FAA personnel must verify that the individual is qualified to the same criteria found in Order 8100.8 for the additional areas or functions.

(5) AR Trainees. If a proposed AR meets all the requirements except for direct experience working with the FAA or within the organization, the organization may designate the proposed AR as an "AR Trainee." Upon approval as an AR trainee, the organization will provide working arrangements to allow the trainee time to prove his or her ability to the authorization holder. The procedure manual must include a process for trainee development if trainees are utilized. For example, review of the trainee's work by other ARs, or direct supervision of the trainee's findings by the FAA. AR trainees may not make findings that are not subsequently verified by either a staff AR or the FAA. Trainees may only review data and do not have final approval authority.

(6) Qualification Requirements for DASs and DOAs Making Findings to Foreign Requirements. The OMT may authorize DAS and DOA authorization holders to determine compliance with foreign regulations in support of TC or STC validation programs. The ARs authorized to do so must thoroughly understand the foreign requirements and be knowledgeable of their application. This typically will be evidenced by participation on previous validation programs with the foreign authority and the FAA. The procedure manual shall identify, for each AR, the foreign requirements to which the AR is authorized to make findings.

5-8. PROCEDURE MANUAL. Each authorized organization must perform all authorized functions in accordance with their FAA-approved procedure manual. Procedure manuals must follow the format of appendix 2 and address the applicable detailed requirements provided in chapters 6 though 8. The procedure manual and revisions are to be coordinated with the appropriate disciplines (such as flight test, quality, engineering, etc.) within the DOA/DAS/SFAR 36 organization prior to submittal to the FAA.

a. Content. In addition to the requirements in chapters 6 through 8 of this order, the procedure manual must contain the following:

(1) Cover page with signature blocks for the FAA and authorization holder's administrator.

(2) Table of Contents.

(3) Log of Revisions.

(4) List of Effective Pages (may be optional if manual is reprinted and paginated at each revision).

(5) Description of how to process changes to the manual.

(6) Limitations of the authorization. DAS and SFAR 36 procedure manuals must specifically identify the models of products and types of projects authorized.

(7) Description of the authorization holder's facilities (DAS and SFAR 36 only).

(8) Listing of ARs and their authorized functions and forms authorized to sign. The procedure manual must include the name(s), signature(s), impression of stamps (where appropriate), and responsibilities of the individual ARs performing FAA functions and identify the functional areas and limitations for the ARs in accordance with Order 8100.8. See appendix 2 for sample.

NOTE: Signatures, as shown in appendix D of appendix 2 of this order, may be maintained in a separate documented file.

NOTE: If stamps are utilized, the organization must have a stamp control system identified in the manual.

(9) Description of the procedures used in performing authorized functions.

(10) A sample of the forms to be used to indicate inspection acceptance or findings of compliance. FAA forms must be used wherever applicable. Execution instructions must be provided if using other than FAA forms.

(11) Selection criteria for appointing ARs and procedures for expansion of AR's authority which includes the process for AR trainee development, if trainees are utilized.

(12) Records required to be kept by the regulations and this order. See chapters 6 though 8 for specific record files.

(13) Description of the training courses that are to be required of each AR and where the AR will acquire the training. Include both standardization and recurrent training per paragraph 5-9.

(14) Process for revising the procedure manual and obtaining FAA approval for revisions.

(15) Changes requiring approval will be defined in the procedure manual.

(16) Prior to approval of these changes, the organization may continue to perform only those functions not affected by the change.

(17) Self-evaluation procedures.

b. Approval. The FAA must review and approve the procedure manual prior to the organization performing any authorized functions. The procedure manual must include the name(s), signature(s), and responsibilities of the administrator(s).

c. Changes. Changes requiring revision to the procedure manual (such as personnel changes) must be clearly identified (e.g., revision bars, highlighting, etc.), submitted to, and approved by the FAA. The authorization holder may not place submitted changes into effect, including changes to ARs or procedures, until approval of the changes is received.

d. FAA Policy or Regulatory Changes. In situations where a procedure manual has not been updated to the latest FAA policy or regulation, FAA policy or regulation takes precedence. The procedure manual must be updated within 120 calendar days of the issue date of the policy or regulation change.

5-9. TRAINING.

a. Company-Provided Training. DAS, DOA, and SFAR 36 organizations must provide training to staff members to ensure continued compliance with the approved procedure manual and the regulations. Training is required upon approval for ARs, with recurrent training at least every two years. The OMT must evaluate and concur with the training material. If the training is presented in a classroom format, the organization must allow FAA attendance at the training session, if requested. The training should consist of at least:

(1) Review of the functions delegated to the authorization.

(2) Review of the organization's processes and procedure manual.

(3) Review of the AR's authority and responsibility when performing authorized functions.

(4) Review of FAA policy and guidance material.

(5) Review of representative documentation completed by the authorization holder.

(6) DAS training must also address the need to consider the product manufacturer's design philosophy, principles, the operational assumptions of the manufacturer, and actual operator procedures during the approval of alterations. The training should also address possible methods to obtain this information for projects accomplished by the DAS.

b. FAA Seminars. In addition to the training attended within the company, ARs must also attend FAA-sponsored seminars. FAA seminar schedules are available via the internet at the designee web site.

(1) DAS, DOA, and SFAR 36 administrators must attend FAA-hosted delegation workshops upon appointment as an administrator, and every two years thereafter. These workshops will usually be held annually to discuss issues of interest to authorization holders and obtain their feedback on the effectiveness of the FAA's delegation program. They must also attend FAA seminars according to paragraph (2) below if they have authority as an AR.

(2) ARs must attend FAA provided seminars as required of designees performing similar functions in accordance with Order 8100.8 and Order 8110.37, Designated Engineering Representative (DER) Guidance Handbook.

c. Training Records. DOA/DAS/SFAR 36 organizations must maintain records of AR's attendance at company and FAA training.

5-10. DURATION OF APPOINTMENTS. Authorization as a DAS or DOA is effective until surrendered or until the FAA suspends, revokes, or terminates the authorization. Authorization as a SFAR 36 is effective until the termination date of SFAR 36, unless otherwise surrendered, suspended, revoked, or terminated. Authorization holders must notify the OMT within 48 hours of any change (including personnel changes) that could affect the ability of the holder to meet eligibility requirements.

a. Changes in ownership of the organization which result only in a name change with no change in organizational structure, etc., may be executed by reissuing the authorization letter and MOU, along with revising the procedure manual to reflect the new name.

b. Changes within the DAS, DOA, or SFAR 36 involving personnel or structure within the organization or major changes to the organization may require the holder to surrender its authorization and submit a new application. Authorization holders should notify the OMT prior to any planned changes to determine how such changes will be handled.

5-11. SELF-EVALUATION. The organization must perform periodic audits that re-validate the personnel and procedures used within the authorization holder's organization as approved within their procedure manual. Authorization holders must perform these audits at least annually. The procedure manual must also identify the general audit procedures and frequency as agreed to by the OMT. Self-evaluations do not replace the FAA evaluations detailed in chapter 4.

a. Personnel Evaluation. The self-evaluation must evaluate the ARs using the processes and oversight criteria contained in Order 8110.37 and 8100.8, as appropriate. The DOA/DAS/SFAR36 organization should review individual AR's project work for accuracy. Frequency of such evaluation should be based on the experience of the AR, the quality of work performed on previous projects, and as established in the procedure manual.

b. Certification Process Evaluation. The self-evaluation must include each element of the procedure manual, such as inspection of design and/or repaired articles to ensure conformity to type design; technical data evaluation; and compliance with the airworthiness standards, etc.

c. Evaluation Records. The organization must maintain records of the self-evaluation and provide copies to the OMT within 7 calendar days of completion.

d. Self-Disclosure. The FAA will not ordinarily seek to impose a civil penalty for regulatory violations on an authorization holder if:

(1) The holder immediately notified the FAA of the apparent violation after detecting it and before the FAA learned of it;

(2) The apparent violation must have been inadvertent;

(3) The apparent violation does not indicate a lack of or reasonable question of basic qualification of the authorization holder;

(4) Immediate action must have been taken, or begun to have been taken, upon discovery to terminate the conduct that resulted in the apparent violation;

(5) The authorization holder must develop and implement a comprehensive corrective action satisfactory to the FAA.

NOTE: Ordinarily, the FAA will not forego legal enforcement action if the authorization holder informs the FAA of the apparent violation during routine FAA investigations/inspections (that time from which the inspection team physically arrives on site until the time the team departs at the completion of the inspection) or in association with accidents and incidents. (See Order 2150.3 and AC 00-58 for more guidance on self-disclosure reporting.)

5-12. MANUFACTURING WORK ACTIVITY. DAS and DOA authorization holders must document their manufacturing work activity on the Summary Activity Report, as described in Order 1380.48, Manufacturing Inspection Management Information System. The organization's report must be submitted on a frequency as prescribed in the procedure manual. A sample Summary Activity Report is found in appendix 1, figure 12.

CHAPTER 6. DESIGNATED ALTERATION STATIONS

6-1. GENERAL. This chapter provides information and guidance concerning the authority and procedures of Designated Alteration Stations (DAS).

a. Eligibility. Each DAS is required by 14 CFR § 21.439(a) to be either a domestic repair station under the provisions of 14 CFR part 145, an air carrier or commercial operator, or a manufacturer of a product for which it has alteration authority under the provisions of 14 CFR § 43.3(j). An applicant must have a demonstrated knowledge of the Supplemental Type Certificate (STC) process and must have been previously granted STCs under standard procedures of 14 CFR part 21.

NOTE: The word "or" was inadvertently not incorporated in 14 CFR § 21.439(a). The preamble to this regulation clearly denotes that the intent of this regulation was to allow any one of the three organizations noted above to apply and be considered for a DAS authorization.

b. DAS Authority. The primary authority of a DAS is the ability to issue STCs in accordance with 14 CFR § 21.431. In support of this, the DAS may issue special airworthiness certificates in the experimental category to show compliance for aircraft that are altered by the DAS. Additionally, the DAS may amend standard airworthiness certificates for those aircraft previously issued experimental certificates that are found to conform with the approved STC and are in a condition for safe operation.

c. Limitations.

(1) A DAS may be authorized to issue STCs only for alterations that the DAS holder is able to perform and return to service at its authorized facility. The DAS may not be given design approval authority for any products not covered by the DAS holder's authority to alter products. The OMT must limit the DAS's authority based on the experience and capability the DAS holder has demonstrated. Flight Standards OMT members must ensure that repair station or operator DASs have the appropriate ratings. For example, any installation of radios or instruments that involves alteration of the aircraft requires the repair station to have either an airframe or limited airframe rating. DAS procedure manuals must specify the makes and models of products covered by the authorization, and the types of alterations the DAS is authorized to approve. For example, a procedure manual limitation may include:

(a) Avionic and Electrical System Installations – Boeing 727, 737, and 747 series.

(b) Aircraft Interior Installations – Boeing 727 series.

(2) The OMT may impose any limitations that may be necessary, taking into account the DAS staffing and facilities. For example, the OMT may exclude the authority to approve alterations that require flight test or pilot evaluation if the DAS does not employ, or have available, a qualified flight test pilot. The OMT must limit the DAS's authority based upon the qualifications and capability of the DAS ARs and authorization holder limitations. Approval of test plans is one area where the OMT may decide to retain authority, requiring them to be submitted for approval by the ACO. The OMT should carefully evaluate the DAS's capability and experience prior to delegating the approval of test plans to the DAS.

(3) The DAS may not be delegated authority that involves areas reserved for FAA approval. Also the DAS may not approve issue papers or perform regulatory activity. See paragraph 5-6. For example, a DAS must obtain FAA approval of:

(a) Interpretations of the airworthiness standards.

(b) Compliance findings involving the acoustical change requirements of 14 CFR part 36 or the exhaust emissions change requirements of 14 CFR part 34.

(c) The application of equivalent safety provisions applied under the provisions of 14 CFR part 21.

d. DAS Responsibilities. The DAS must investigate and recommend corrective actions in accordance with 14 CFR § 21.477 for those matters identified by the FAA. Additionally, the DAS facility should take an active participation in the review of service difficulties submitted to the company and notify the FAA of any findings that required appropriate corrective action.

(1) STC Data Files. The DAS must maintain and make available the data file as prescribed in 14 CFR § 21.493. All STC technical data files must be sent to the FAA as soon as the authorization is surrendered or terminated. In addition to the data file required by 14 CFR § 21.493, the DAS STC technical data files and amendments thereto must also contain the following:

(a) Program Notification.

(b) STC Application.

(c) FAA Response to Program Notification.

(d) Equivalent Level of Safety Findings.

(e) Special Conditions.

(f) Exemptions.

(g) Findings of Compliance (FAA Form 8100-9).

(h) Requests for Conformity (FAA Form 8120-10) and Statements of Conformity (FAA Form 8130-9).

(i) Conformity Inspection Record (FAA Form 8100-1).

(j) Authorized Release Certificates (FAA Form 8130-3) issued for conformity.

(k) Certification and conformity plans.

(l) Completed compliance checklist.

(m) Type Inspection Authorization (FAA Form 8110-1).

(n) Supplemental Type Inspection Reports (FAA Form 8110-26).

(o) Instructions for Continued Airworthiness (ICA) and Aircraft Evaluation Group acceptance.

(p) Test plans.

(q) Approval of test and analysis reports.

(r) Flight Manual approval page.

(s) Approval of Airworthiness Limitations Section.

(t) Approval of referenced Master Drawing List.

(u) STC with original signature.

(2) Airworthiness Certification Files. The DAS must maintain copies of all airworthiness certification packages processed using the DAS authorization in accordance with Order 8130.2, Airworthiness Certification of Aircraft and Related Products.

6-2. DAS AUTHORIZED FUNCTIONS.

a. STC Guidance. The DAS must follow the procedures prescribed in the procedure manual throughout the STC process. The process and data required must comply with the requirements of 14 CFR part 21, and should comply with the procedures for supplemental type certification contained in Order 8110.4, Type Certification. The procedure manual must identify any deviations to the procedures prescribed in Order 8110.4. AC 21-40, Application Guide for Obtaining a Supplemental Type Certificate, contains guidance on STC projects. No STC projects may be accomplished using the DAS authority without FAA review and approval of the program notification described in paragraph 6-2c(1).

b. STC Program Considerations. The DAS authorization granted is based upon an organization's demonstrated experience and capability to alter products and determine that alteration designs satisfy the airworthiness standards and are in a condition for safe operation.

(1) Data Development Responsibilities. The DAS must provide substantiating data to meet the applicable airworthiness requirements and determine that the altered product is in a condition for safe operation.

(a) The DAS may approve designs developed by others only when having a complete understanding of the design, and taking full responsibility for the integrity and completeness of compliance findings for the design and installation of the alteration. The DAS holder, as the applicant, is responsible for overall alteration development, including design integration, development of design and substantiation data, prototype installation, and certification. The DAS must ensure complete substantiation showing compliance with the airworthiness standards for the design and installation of the systems and all components (including items previously approved and used in other applications) involved in the STC.

(b) Lower level design/substantiation data developed by suppliers is acceptable, if the DAS holder is involved in all aspects of showing compliance for integrating the design and substantiation data.

(c) The DAS holder must review and validate that all data not developed by the DAS holder applies to the alteration and provides necessary substantiation of compliance with airworthiness standards. Proper compliance with the airworthiness standards can be established only when type certification requirements are considered early in the design development process. This mandates early involvement by the DAS on any program leading to issuance of an STC. This responsibility is in addition to the DAS AR's responsibility when making the findings of compliance for the project.

(2) Additional Parties Involvement. Projects that involve numerous parties in the design, manufacture of parts, etc., require additional scrutiny on the part of both

the DAS staff and the OMT. The OMT must evaluate the capability of the DAS to perform such projects, considering the experience and competence of the other parties involved, during the review of the Program Notification.

(3) Additional Knowledge. In addition to finding compliance to the airworthiness standards, the DAS is also responsible for finding that the altered product is of a proper design for safe operation. In order to determine this, the DAS must consider the product manufacturer's design philosophy, principles, and operational assumptions as applicable to the project involved. Such information may be obtained by reviewing available data such as; original type design data, type certification data sheets, flight manuals, operating procedure manuals or by past experience of the DAS staff. The DAS must also consider the actual procedures employed by the operator of the product and the impact of any alterations previously made to the product. The OMT should assess the DAS's experience and knowledge of these considerations when reviewing Program Notification Letters and determining FAA involvement.

(4) Adherence to Policy Requirements. As a representative of the FAA, the DAS is expected to comply with certification guidance and policy the accountable directorate issues for the project. The DAS must stay informed of the latest policies applicable to the projects they perform and propose certification plans that comply with these policies. Find FAA certification policies on the internet at http://www.airweb.faa.gov/rgl.

c. STC Projects.

(1) Program Notification. The DAS administrator must submit a detailed Program Notification Letter (PNL) to the OMT lead early in the project containing the information in 14 CFR § 21.463(a)(1). If the project scope or schedule is significantly revised, the DAS must resubmit the program notification and obtain concurrence from the OMT. By submitting a PNL, the DAS is attesting that they have, or can obtain, the appropriate knowledge and understanding of the product manufacturer's design philosophy, principles and operational assumptions required to determine compliance with the airworthiness standards and determine that no unsafe feature or characteristic exists in the altered product. The program notification must:

(a) Include a certification plan that contains the information described in appendix 3, figure 1. The compliance checklist in the certification plan must identify the AR responsible for finding compliance with each of the applicable regulations.

(b) Include a conformity inspection plan per appendix 4.

(c) Identify any novel or unusual aspects of the program including any international aspects, or foreign airworthiness authorities involved.

(d) Identify any design changes that are considered "significant."

(e) Specify who will perform the design (excluding certification activities), if other than the DAS authorization holder, the scope of each parties' involvement in the design, and provide a description of how the DAS will manage the other parties activities. The DAS must ensure that all certification requirements are met and managed (that is, periodic contact/meetings with the company performing the design work to monitor design progress, issues of concern, and proposed modifications to the design and/or schedule, and so on).

(2) Program Notification Coordination.

(a) The OMT lead must coordinate with the OMT for review and concurrence of the original program notification, and any later supplements or revisions. The DAS managing ACO should coordinate with the Type Certificate managing ACO, as appropriate. In addition, the ACO is responsible for the normal directorate project notification requirements.

(b) As part of the OMT review of the PNL and the associated certification and conformity plans, the OMT must consider whether the DAS has, or can obtain, the appropriate knowledge and understanding of the product manufacturer's design philosophy, principles, operational assumptions, and actual operator procedures. The DAS holder must be rated appropriately to perform the alteration. The OMT must non-concur with projects they determine the DAS is not qualified to perform.

(c) If the project is performed at an off-site location, the OMT must coordinate with the off-site facility's principal maintenance inspector. This is to verify that the facility has experience with the types of alterations on the specific product(s) (make and model) the project involves. The OMT must also consider their own ability to oversee and participate in the project, based on the facility's location. The OMT may authorize the project only if:

1 The location does not prevent the OMT's necessary involvement and oversight.

2 The DAS has satisfactory experience on similar projects of the same product and model type.

3 The DAS has enough experience and knowledge to manage the off-site project.

4 The off-site facility is authorized to approve the altered product for return to service.

(3) Program Notification Response. The OMT lead must respond formally, in writing, within 30 calendar days of receiving the PNL. The response must address the following points:

(a) Concurrence or non-concurrence of the proposed certification and or conformity plans.

(b) Acceptability of the certification basis; or any limitations, conditions, or objections.

(c) The names and other contact information of FAA engineers, manufacturing inspectors, AEG focal points, and administrative staff assigned to the project.

(d) Identify specific FAA involvement in the project and require the DAS to provide adequate notice to the FAA of activities in which the FAA will participate. The FAA response should include direction to the ARs for approval or recommend approval on FAA Form 8100-9.

(e) The requirement that the DAS must notify/coordinate with the OMT in a timely manner should the project's scope and/or schedule be significantly revised. Significant changes which should be reported include:

1 Changes in any parties involved, or the level of their involvement in the design or installation of the alteration.

2 Changes in the location of where the installation to support initial certification will be performed.

3 Any schedule changes of activities in which the FAA will participate.

4 Certification methodology changes.

5 Any other changes deemed appropriate by the managing ACO.

NOTE: The OMT should determine any other types of changes that require notification, based on the DAS's capability and project types. The OMT and the DAS administrator should ensure they understand the types of schedule/project scope changes that must be reported.

(4) FAA Participation. The FAA will participate in the determination of compliance as follows:

(a) Make determinations in areas reserved for the FAA, such as regulatory interpretations and equivalent level of safety findings. The DAS should request concurrence on the application of all equivalent level of safety findings in writing.

(b) Determine compliance for the emissions and noise requirements of 14 CFR parts 34 and 36.

(c) Make determinations in areas evaluated by the AEG. These include Instructions for Continued Airworthiness, evaluation of operational suitability; changes to the Master Minimum Equipment List, Aircraft Flight Manual, Flight Crew Operating Manual; crew training, and emergency evacuation demonstrations.

(d) Determine compliance, when necessary, in areas involving new design concepts including the identification of those areas that require the formulation of special conditions per 14 CFR § 21.101(d) and areas where the DAS has no prior experience.

(e) Review data, tests, or technical evaluations if the DAS has not demonstrated a satisfactory capability during similar projects.

(f) Review areas where service difficulties have surfaced from previous DAS approvals.

(g) Participate in compliance findings in areas involving known safety related problems. For example, the ACO should review modifications affecting areas that have previously been the subject of Airworthiness Directive action to ensure that the proposed modification does not adversely affect the Airworthiness Directive-related change.

(5) Aircraft Evaluation Group Functions.

(a) Instructions for Continued Airworthiness (ICA) shall be prepared and/or identified for all STC projects and coordinated through the OMT lead. Development and acceptability of ICA may require early coordination.

(b) Aircraft Evaluation Group determinations of operational suitability, Master Minimum Equipment List revisions, crew training, etc., are not delegated to the DAS. The managing ACO must coordinate with the appropriate AEG to ensure that all program requirements are satisfied.

(6) Engineering Approval. Engineering and flight test ARs within the DAS are responsible for determining and documenting compliance to the airworthiness standards as required by the certification basis. The DAS must use FAA forms wherever possible unless the ACO approves alternatives through the procedure manual. The DAS engineering and/or flight test ARs are responsible for completing the following records, as applicable, to document compliance:

(a) FAA Form 8100-9, as shown in appendix 1, figure 7, must be used for compliance findings.

1 ARs must note on the FAA Form 8100-9 that the data approval is in support of a DAS project and is not a DER data approval.

2 ARs should "recommend" approval on the FAA Form 8100-9 for compliance findings in any areas defined in paragraph 6-2c(4).

(b) FAA Form 8120-10, Request for Conformity.

(c) FAA Form 8110-1, Type Inspection Authorization.

(d) Supplemental Type Inspection Report part II (flight test).

(e) FAA approved Aircraft Flight Manual Supplement.

(7) Conformity and Airworthiness Inspections. Inspection ARs are responsible for conducting and documenting inspections for the purposes of determining conformity to the design and establishing the airworthiness of the altered product. The conformity inspections are to be conducted in accordance with Order 8110.4. An FAA Form 8130-9, Statement of Conformity, must be completed and signed prior to the AR making final conformity findings for the article in question. The statement of conformity must be signed by the party responsible for the fabrication/assembly of the article, not the AR making the conformity determination. FAA forms must be used unless alternatives are approved through the procedure manual. Unsatisfactory conditions and/or deviations must be resolved and/or approved by Engineering ARs prior to test accomplishment. Prior to any compliance inspection or test, the DAS inspection ARs are responsible for the following records, as applicable, to document conformity with the type design of the end product, in-process parts, and test articles:

(a) Conformity Inspection Reports, including;

1 FAA Form 8120-10, Request for Conformity.

2 FAA Form 8100-1, Conformity Inspection Record.

3 FAA Form 8130-9, Statement of Conformity.

4 FAA Form 8130-3, Authorized Release Certificate (for conformity).

(b) FAA Form 8110-26, Supplemental Type Inspection Report (Part I).

(8) Issuing Supplemental Type Certificates.

(a) General. The procedures of Order 8110.4 should be used for the completion and issuance of FAA Form 8110-2, Supplemental Type Certificate. The name on the STC should be the same as on their Air Carrier, Repair Station, or other certificate which is the basis for their DAS authorization, not the DAS authorization number or name if one exists. The DAS signature authority for STCs must be specified in the procedure manual. The STC may be issued after all documentation, inspections, and tests have been completed.

(b) Numbers. The ACO will issue STC numbers on either a project-by-project basis or as a block of numbers for the DAS's use. The numbers will be issued in accordance with FAA Order 8110.4. Each STC issued by a DAS will have a "-D" placed after the STC number. For example, SA00125AT-D would be the 125th STC issued by the Atlanta ACO on a small airplane and issued by a DAS. The ACO must include DAS-issued STCs in their monthly reports for the STC summary as described in Order 8110.4.

(9) Post Certification Data Submittal. The DAS must submit the data required by 14 CFR § 21.463(b) to the ACO within 30 calendar days after the date of issue of the STC. The procedure manual must identify any data storage arrangements. The ACO must maintain STC project files containing as a minimum:

(a) Copy of all applicable correspondence.

(b) The program notification.

(c) FAA response to the program notification.

(d) Copy of the STC.

(10) Transfer of STCs. Only the FAA may transfer an STC. A DAS may not transfer an STC by reissuing in another party's name. A DAS holder who wishes to transfer an STC to another party must follow the standard procedures for transfer of a type certificate contained in 14 CFR § 21.47 and Order 8110.4.

(11) Amendment of Existing STCs. All STC amendments issued by the DAS require submittal of a program notification. Any amendment to an STC must be coordinated with the ACO prior to its issuance. When amending an STC originally issued by the FAA, the DAS shall include the "-D" designation in the STC number.

d. Airworthiness Certification. Airworthiness certification procedures shall be prescribed in the procedure manual and comply with the requirements of Order 8130.2. The DAS may use the airworthiness certification procedures contained in Order 8130.29, Issuance of a Special Airworthiness Certificate for Show Compliance Flight Testing.

(1) Application for Airworthiness Certificate. An FAA Form 8130-6, Application for Airworthiness Certificate, must be completed for all airworthiness certificates issued or amended by the DAS. The registered owner of the aircraft in question or their designated agent must sign the application. If acting as the owner's agent, the DAS must have a notarized written authorization from the owner. The application must be signed by someone other than the AR inspecting and issuing the airworthiness certificate.

(2) Special Airworthiness Certificates. The DAS may only issue an FAA Form 8130-7, Special Airworthiness Certificate, in the experimental category for the purpose of showing compliance with the airworthiness standards for aircraft it has modified. Before issuing the certificate, the original airworthiness certificate shall be surrendered and the DAS must obtain MIDO or FSDO approval of the limitations and conditions necessary for safety. The DAS must send the FAA Form 8130-6, Application for Airworthiness Certificate, the original airworthiness certificate, and a copy of the FAA Form 8130-7 to the MIDO for processing in accordance with Order 8130.2.

(3) Amended Standard Certificates. If the airworthiness certification procedures in Order 8130.29 are not used; after showing compliance to the regulations, conformity to the approved type design, satisfactory completion of all required ground inspections, and determining the aircraft is in condition for safe operation, the DAS may issue an amended standard airworthiness certificate (FAA Form 8100-2) for aircraft which they have previously issued an experimental certificate. Upon issuance, the FAA Form 8130-6, the existing experimental certificate, and a copy of the new airworthiness certificate must be sent to the MIDO for processing in accordance with Order 8130.2. The MIDO must forward the original airworthiness certification package including the application, supporting documentation, and the certificate to the Aircraft Registration Branch, AFS-750.

e. Off-site Prototype Installations. The FAA allows DASs to issue STCs based on prototype installations at locations other than the approved DAS facility. Such programs are typically performed at a customer's maintenance facility or other facility more convenient to the customer. However, the use of facilities, personnel, operating procedures, and technical data at locations other than the DAS authorized facilities increases the risk that manufacturing, installation, inspections, and tests may not be performed satisfactorily. Off-site programs require added scrutiny by the FAA and the DAS ARs.

(1) Off-site Project Requirements. Off-site prototype installations may be done only at certificated facilities authorized under 14 CFR to alter the product and to approve the altered product for return to service. A repair station DAS may not use the authority of 14 CFR § 145.201 for "off-site" DAS prototype installations.

(2) Off-site Facility Management. The DAS procedure manual must contain procedures for managing off-site prototype alterations, including a checklist for evaluation of the off-site facility by either the DAS holder or the DAS ARs. If the DAS holder evaluates the facility and finds it acceptable, the DAS ARs must verify the findings. The findings must be documented by the DAS holder and made available to the FAA. The procedure manual requirements and the evaluation of the off-site facility must ensure the following:

(a) Off-site facilities have experience performing similar types of alterations on the make/model product being altered.

(b) Decisions regarding workmanship, quality, conformity, deviations, and safety are made without undue influence or pressure.

(c) Documentation generated by the DAS at off-site locations complies with the DAS procedure manual.

(3) Off-site Personnel and Processes:

(a) Inspection ARs must comply with the project-specific FAA-approved conformity plan. The procedures must provide a means to track the status of required conformity inspections. Conformity inspections must satisfy Order 8110.4 and the DAS procedure manual.

(b) An inspection AR must be at the off-site facility during the installation portion of the project. If the product is undergoing maintenance during the project, the AR must be present if any portion of the alteration is affected.

(c) Engineering ARs must review and document acceptance for all deviations in the prototype articles on FAA Form 8100-9, Statement of Compliance with Airworthiness Standards.

(d) ARs must provide advisory/technical assistance to support off-site locations.

(e) The off-site facility (not DAS ARs) is responsible for all installation and return-to-service functions. ARs are not authorized to document installation work.

(f) ARs and the OMT must have full access to any off-site location to perform any inspection they deem necessary.

(4) Off-site Manufacturing. The processes, tooling, and equipment used at the off-site facility must be:

(a) Equivalent to those at the DAS authorized facility;

(b) Appropriate for the alteration; and

(c) Able to produce articles and products conforming to the type design.

(5) Off-site Purchasing and Receiving. To prevent using nonconforming or unsafe articles obtained from outside sources, the DAS holder must maintain an effective supplier control system, along with a robust purchasing and receiving inspection process to ensure that:

(a) Purchase orders/contracts provide sufficiently detailed specifications (that is, envelope or specification control drawing), design data, inspection, tests, and FAA requirements to ensure articles or services purchased meet the requirements of the type design data.

(b) Conformity of processes and raw materials to design data is independently verified by inspections and/or tests. For raw materials, conformance starts by reviewing the suppliers' certificate of conformance. Material must not be accepted solely after reviewing a certificate of conformance from the supplier.

(c) The DAS holder maintains configuration control and final design change approvals for all items, including supplier-designed parts. The DAS holder may not delegate any of these responsibilities to off-site facilities or suppliers.

(d) All purchase documents given to suppliers must specify all applicable FAA and technical requirements, including inspections and tests necessary to show conformance of the supplied items.

(e) When industry or military process specifications offer alternate methods of operations or special processes, drawings must clearly identify which method or process is to be used. When the specifications call for written procedures or procedure qualification, the AR must evaluate these procedures to determine their ease of understanding and whether they are adequate for the operation.

(f) The off-site facility receives prototype articles or parts only from DAS holder-approved suppliers.

(g) Incoming articles and material including TSO and PMA articles-conform to the type design data before acceptance and installation.

(h) Suppliers to the off-site facility are formally advised of FAA requirements and quality assurance procedures.

(i) Articles obtained from sub tier suppliers by the off-site facility are under the same degree of control exercised by the DAS holder.

(6) FAA Notification for Off-site Projects. The DAS should notify the OMT early in the project of any off-site plans. The DAS may want to obtain OMT concurrence on the project's location prior to expending significant effort on the project. The PNL must include:

(a) The items required by paragraph 6-2c(1).

(b) Location, ratings, and limitations of the off-site facility, including organization's certificate number and the name of the facility's FSDO principal inspector.

(c) Documentation of the evaluation of the off-site facility.

(d) A list of ARs used on and off-site. If particular ARs are not yet identified, estimate the number and disciplines. Send a follow-up letter when the number and disciplines of additional ARs are known.

(e) Pertinent details of the project, including, but not limited to, the off-site facility's involvement in engineering data development, conformity inspections at any level, and any certification testing, including ground and flight testing.

f. Other Off-site Activities.

(1) Activity outside the U.S. The DAS must notify the OMT prior to performing any DAS function in a foreign country. The ACO is responsible to notify foreign National Airworthiness Authorities (NAA) of DAS activities according to existing policy. If the NAA restricts the use of DAS personnel, then the managing ACO will coordinate the necessary support through the NAA. When required, the OMT will develop an undue burden decision paper per Order 8100.11, Developing Undue Burden and No Undue Burden Decision Papers Under 14 CFR Part 21.

> **NOTE:** Refer to Order 8100.14, Interim Procedures for Working with the European Community on Airworthiness Certification and Continued Airworthiness, for additional guidance when dealing with states that are under the authority of the European Aviation Safety Agency.

(2) Off-site Airworthiness or Manufacturing Functions. If the activity will occur outside the managing MIDO's geographical area, the DAS must notify the managing MIDO by submitting a FAA Form 8130-13, Designee Geographic Expansion Authorization. See Order 8100.8. The MIDO will authorize the request by endorsing the FAA Form 8130-13, and provide a copy to the AR and the geographical FAA office where the activity will occur. The MIDO will provide any additional instruction to the ARs involved.

g. DAS Projects Involving Foreign-Registered Aircraft or Import Products. A DAS should notify the OMT as soon as possible when considering such projects in order to minimize delays.

(1) Foreign-Registered Aircraft. The FAA may authorize a DAS to develop or amend an STC by using aircraft registered in another country. If the DAS holder does not offer evidence showing the NAA of the country of registry agrees to the proposed modification, then the ACO notifies the NAA and invites them to participate in the project. The ACO must have authorization from the NAA stating that it agrees with the modification before concurring with the PNL. It is possible that a foreign registered aircraft might not be in its FAA-approved type design configuration. If a foreign registered aircraft is being used as a test article to substantiate the alteration, the DAS must ensure that the aircraft conforms to an FAA approved type design for those areas affected by the STCs. Therefore, the DAS is responsible for reviewing the aircraft for the presence of other alterations and ensuring its overall condition for safe operation. Based on the DAS determination, the ACO may concur that the configuration of the aircraft is acceptable for evaluation of the proposed modification. A DAS may not issue an experimental airworthiness certificate for flight testing on a foreign-registered aircraft. The foreign NAA must be asked if they will issue a "special" airworthiness certificate (or equivalent) for flight testing.

> **NOTE:** Order 8130.2, Chapter 7, 14 CFR part 91, and 14 CFR § 91.715 provide guidance for the FAA (not designees) to issue special flight authorizations for foreign-registered aircraft that do not have a valid standard airworthiness certificate and that will be operated in US airspace. The requirement for a special flight authorization applies if the aircraft has either a "special" airworthiness certificate from the NAA of the country of registry or has no valid airworthiness certificate. Only standard airworthiness certificates issued by International Civil Aviation Organization member states meet International Civil Aviation Organization Annex 8 requirements.

(2) Import Products. Proposed STCs to import products may require consultation with the foreign NAA. The ACO should determine if the proposed STC requires consultation with the foreign NAA and coordinate the project with the DAS. See appropriate section(s) of 14 CFR part 21 and AC 21-23, Airworthiness Certification of Civil Aircraft, Engines, Propellers, and Related Products Imported into the United States, for more information concerning import products.

h. Finding Compliance with Foreign Regulations. The ACO may authorize a DAS—with qualified ARs per paragraph 5-7— to determine compliance to specific foreign regulations that a foreign NAA delegates to the FAA. This must be done in accordance with Implementation Procedures for Airworthiness under a Bilateral Aviation Safety Agreement or some other written FAA-approved arrangement with that country (after consulting with AIR-40, AIR-100, and AIR-200). The project ACO will transmit FAA approval to the foreign NAA. The DAS must provide the FAA Forms 8100-9 and the substantiation data if the "Recommend Approval" block is checked. The substantiation data for approved data need not be submitted, but must be made available to the ACO. The ACO will provide the final approval to the foreign authority.

6-3. DAS PROCEDURE MANUAL REQUIREMENTS. In addition to the requirements of paragraph 5-8, the DAS procedure manual must address the following elements in the Procedures section of the DAS procedure manual:

a. Project Initiation. The procedures the DAS will follow to initiate a DAS STC program.

b. FAA Notification. The procedures the DAS will follow for the submittal of the PNL. The PNL must contain certification and conformity plans as described in appendix 3 and 4.

c. Development and Content of the Data Package. The data package should include (as applicable): Certification plan, conformity plan, Top/Master Drawing List and other drawings, specifications, technical reports, electrical load analysis, stress analysis, test plans and reports, type inspection authorization, supplemental type inspection report, equipment qualification plans and reports, instructions for Continued Airworthiness, and Flight Manual Supplements. The DAS ARs will review the data package and upon finding that the data is sufficient to show compliance with the applicable airworthiness requirements will approve the data. The procedures should denote what portions of the data package the DAS must submit to the FAA ACO along with the STC, AFMS, and Airworthiness Limitations Sections (if applicable).

d. Production and Installation. The installation and part production (or test) conformity procedures should address how the conformity will be requested, tracked, documented, and performed; how deviations will be addressed and resolved; how to coordinate the conformity with the FAA (if necessary); and the need for a post-test conformity. Concerning procedures for a type inspection authorization (TIA), the DAS should prepare the TIA and any revisions to the TIA should be utilized if the initial issue is incomplete. The TIA should identify conformity requirements, authorized flight tests, special limitations deemed appropriate for test articles and a formal assessment of the risks associated with the flight tests.

NOTE: The DAS holder may only produce parts for the prototype installation. Further production would require the DAS holder to obtain an FAA parts manufacturer approval.

e. Special Airworthiness Certificates. The procedures must denote that only DAS AR personnel identified in the manual may issue Special Airworthiness Certificates in the experimental category for show compliance flight tests. Before issuing the experimental certificate, the DAS will obtain from the FAA any limitations and conditions the FAA considers necessary for safety. The DAS should recommend limitations and conditions, if necessary, in the program notification to the FAA.

NOTE: Issuance of Special Airworthiness Certificates in the experimental category for Research and Development (R&D), must be issued by a DAR or the FAA for any company flight tests.

f. Aircraft Ground Evaluation. The DAS procedures for conducting aircraft ground evaluations including compliance inspections can state that this be performed as authorized in the TIA.

g. Aircraft Pre-Flight Inspection. The DAS procedures for conducting aircraft pre-flight inspections can state that this be performed as authorized in the TIA.

h. Risk Assessment. The DAS procedures for meeting the requirements of Order 4040.26, Aircraft Certification Service Flight Safety Program.

i. Aircraft Flight Evaluation. The DAS procedures for conducting aircraft flight evaluations can state that this be performed as authorized in the TIA. The DAS must alert the FAA flight test personnel of the flight timeframes as soon as possible when the FAA has requested to also participate in the evaluations.

j. Aircraft Flight Manual Supplement (AFMS) Approval. The procedure must state that the appropriate DAS AR personnel must prepare and sign the AFMS. The FAA ACO will function as the primary contact for AFMS.

k. Issuance of Supplemental Type Certificate (STC). The procedure must state that the appropriate DAS personnel prepare and sign the STC. Define a process by which the DAS will determine that all documentation, inspections, and tests have been completed prior to issuing the STC. This must address any Airworthiness Limitations section and the ICAs. The procedure should also state that a PMA cannot be issued on an STC which carries a “one-time only” limitation. The applicant would have to reapply for a new STC for a multiple approval before a PMA could be considered.

l. Issuance of the Amended Standard Airworthiness Certificate. The procedures must denote that only DAS AR personnel identified in the manual may issue an amended standard airworthiness certificate and how this will comply with Subpart H of 14 CFR part 21 and 14 CFR § 21.473.

CHAPTER 7. DELEGATION OPTION AUTHORIZATION

7-1. GENERAL. This chapter provides information and guidance concerning the authority and procedures of those organizations holding a Delegation Option Authorization (DOA).

a. Eligibility. Each DOA holder is required by 14 CFR § 21.239 to be the holder of a current type and production certificate for a product certificated under the same part as the products for which a DOA is sought. These certificates must have been issued using the standard procedures in 14 CFR part 21. The DOA must employ a staff of engineering, flight test, production, and inspection personnel who can determine compliance with the requirements of 14 CFR chapter one and meet the requirements of 14 CFR part 21, subpart J.

b. DOA Staff Member Eligibility. The DOA holder must directly employ the core staff of ARs required for certification of products it manufactures. However, the DOA holder may supplement the engineering staff with consultants and supplier employees in accordance with the following:

(1) Those ARs not directly employed by the DOA holder must be either:

(a) Employed by a supplier or subcontractor involved in the certification project, or

(b) Engineering consultants in a highly specialized technical area required for the project.

(2) For example, a DOA holder manufacturing aircraft must directly employ systems and equipment ARs for system safety and certification of the integrated systems on the aircraft. However they could utilize consultants as ARs to certify lightning protection systems, or ARs employed by subcontractors for approvals related to systems or equipment provided by the subcontractor.

(3) All ARs must be identified in the procedure manual.

(4) The ARs and DOA holder are subject to all of the requirements in this Order with regards to the ARs.

(5) The DOA holder and FAA must have full access to the AR at their place of employment for supervision or oversight.

(6) The OMT must agree that the usage of the AR is appropriate based on the AR's employer and the FAA's relationship with that employer.

c. DOA Authority. The DOA allows the holder to use FAA-approved procedures for the purposes of type, production, and airworthiness certification; approve major alterations; and approve data for major repairs. DOA procedures may be used for only the types of products described in 14 CFR § 21.231(a)(1-6). DOA authority may also be used to execute FAA Form 337, Major Repair and Alteration, in accordance with 14 CFR § 21.289.

NOTE: The reference in 14 CFR § 21.231(a)(4) to paragraph (a)(6) was inadvertently not updated by Amendment 21-59, which added 14 CFR § 21.231(a)(2). The correct reference is paragraph (a)(5).

(1) Type Certification. DOA procedures allow the holder to make findings of compliance and conformity for new certification projects, amendments to an existing type certificates, and type design changes.

(2) Production Certification. The DOA holder may make findings leading to the amendment of existing production certificates to include additional models or types for which they hold or obtain a type certificate on the production limitation record (PLR).

(3) Airworthiness Certification. The DOA holder may issue airworthiness certificates and approvals in accordance with 14 CFR § 21.251.

(4) Major Repairs, Rebuilding and Alterations. The DOA may execute the FAA Form 337 and make required log book entries in accordance with 14 CFR § 21.289. (See paragraph 7-2f.)

(5) Limitations. The FAA may impose any limitations that may be necessary, taking into account the DOA staffing and facilities. Approval of test plans is one area where the OMT may decide to retain authority, requiring them to be submitted for approval by the ACO. The OMT should carefully evaluate the DOA's capability and experience prior to delegating the approval of test plans to the DOA holder. Additionally, the FAA will not delegate those functions that are inherently governmental (see paragraph 5-6). These include, but may not be limited to: issuance of an exemption, determining equivalent level of safety, establishing the certification basis or special conditions, and establishing a means of compliance not previously accepted by the FAA. The DOA holder must obtain concurrence from the ACO on the application of all equivalent safety provisions applied under 14 CFR part 21 subpart B. In addition, the DOA may not approve data involving the exhaust emissions change requirements of 14 CFR part 34 or the acoustical change requirements of

14 CFR part 36. The Noise Control Act of 1972 is not delegated to DOA organizations. The FAA retains the authority to find compliance with those requirements.

(6) Finding Compliance with Foreign Regulations. The ACO may authorize a DOA – with qualified ARs per paragraph 5-7 – to make compliance findings to specific foreign regulations delegated to the FAA by a foreign NAA. This can be done in accordance with Implementation Procedures for Airworthiness under a Bilateral Aviation Safety Agreement or some other written FAA-approved arrangement with that country (after consultation with AIR-40, AIR-100, and AIR-200). The DOA will provide the original FAA Forms 8100-9 to the project ACO. The substantiating data must be provided to the project ACO if the "Recommend Approval" block is checked. The substantiating data must be made available to the project ACO if the "Approval" block is checked. The project ACO will transmit FAA approval to the foreign NAA.

d. DOA Responsibilities.

(1) Service Difficulties. The DOA must investigate and recommend corrective actions in accordance with 14 CFR § 21.277 those matters identified by the FAA. Additionally, the DOA facility should take an active participation in the review of service difficulties submitted to the company and notify the FAA of any findings that require corrective action.

(2) Records.

(a) Data Files. The DOA holder must maintain the records required by 14 CFR § 21.293. These records must be made available to the FAA at any time and provided to the FAA as soon as the manufacturer no longer operates under the DOA.

(b) Airworthiness Certification Files. The DOA holder must maintain copies of all airworthiness certification packages processed using the DOA in accordance with Order 8130.2.

(3) Adherence to Policy Requirements. As a representative of the FAA the DOA holder is expected to comply with certification guidance and policy issued by the accountable directorate for the project. The DAS DOA holder is responsible to stay informed of the latest policies applicable to the projects they perform and propose certification plans that comply with these policies. FAA certification policies may be found on the internet at http://www.airweb.faa.gov/rgl.

7-2. DOA AUTHORIZED FUNCTIONS. The DOA holder must follow the procedures prescribed in the procedure manual throughout all certification efforts performed using the DOA. The processes and data generated must comply with the requirements of 14 CFR part 21 and the applicable environmental and airworthiness standards, and should comply with the guidance in all applicable FAA directives. If project requirements necessitate deviation from the procedure manual, the DOA holder must obtain approval from the FAA prior to implementation. AEG responsibilities, during the type certification project, are not delegated to the DOA and must be coordinated with the appropriate AEG by the ACO. Order 8430.21, Flight Standards Division, Aircraft Certification Division, and Aircraft Evaluation Group Responsibilities, describes AEG involvement during type and airworthiness certification projects.

a. Type Certification Programs. The certification process used by the DOA holder is essentially equivalent to that used by the FAA for standard certification programs. Figure 7-1, DOA Type Certification Process, illustrates the general order of certification events.

FIGURE 7-1. DOA TYPE CERTIFICATION PROCESS
(Page 1 of 2)

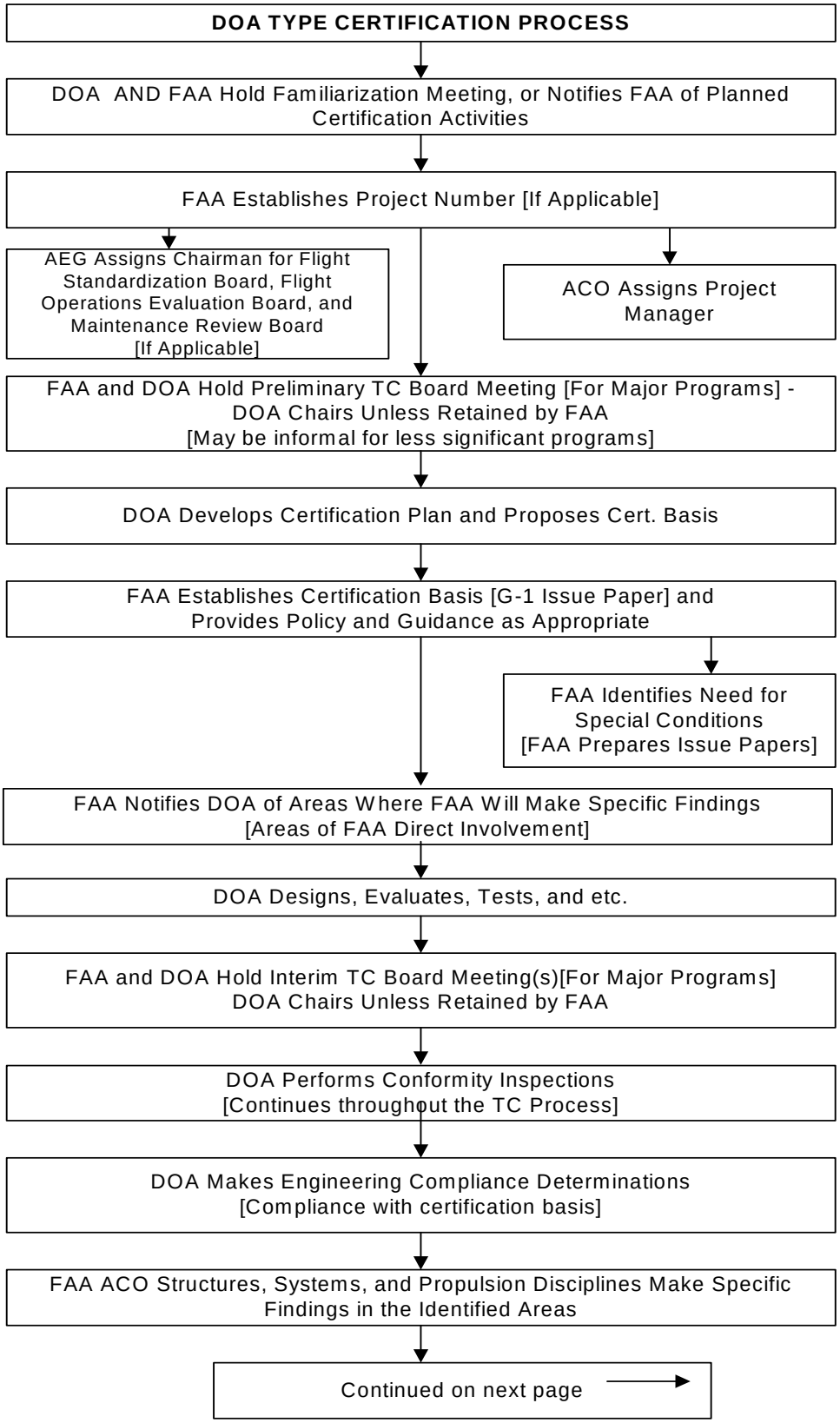
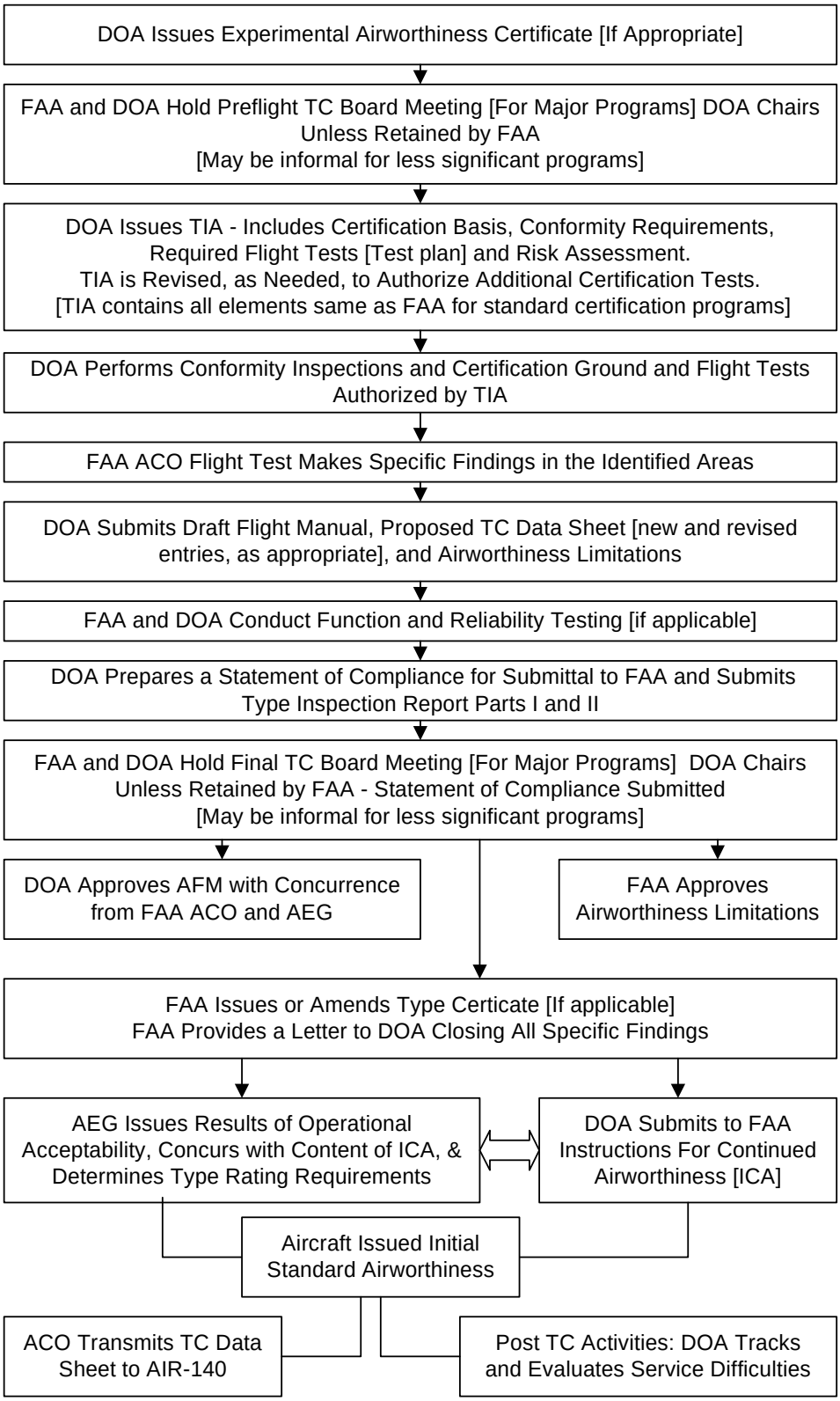


FIGURE 7-1. DOA TYPE CERTIFICATION PROCESS (CONTINUED)
(Page 2 of 2)



(1) Program Notification. The DOA must notify and make application to the ACO for each new aircraft, aircraft engine, propeller, or amended type certificate. The DOA procedure manual must prescribe the criteria to determine when notification to the FAA is required for major type design changes. The DOA must submit a proposed certification plan and conformity plan, in accordance with Appendices 3 and 4, to the ACO along with the application for type certificate and proposed certification basis. The compliance checklist in the certification plan must identify the AR responsible for finding compliance with each of the applicable regulations. For minor changes to existing products, the DOA may conduct certification activities within the limits of their authority without prior notification to the FAA.

(2) FAA Coordination. Upon receipt of the application and certification and conformity plans, the OMT lead must coordinate the certification and conformity plan with the responsible OMT members. The OMT members will determine their involvement in the program. The OMT lead will notify the DOA. The FAA response should include direction to the ARs for approval or recommend approval on FAA Form 8100-9 for specific findings. In addition, the ACO is responsible for the normal directorate project notification requirements. When required, the OMT will develop an undue burden decision paper per Order 8100.11, Developing Undue Burden and No Undue Burden Decision Papers Under 14 CFR Part 21.

(3) Specific Findings of Compliance. After review and coordination of the proposed certification plan, the ACO must communicate in writing to the applicant, any areas where the FAA will participate by making specific findings of compliance. The FAA will make specific findings of compliance prior to type certification for at least the following areas:

(a) Amendments to the Regulations. Regulatory changes critical to safety with which the manufacturer does not have certification experience.

(b) Policy and Procedure Changes. Policy or procedural changes have been made since the manufacturer's last type certification program.

(c) Service Difficulty. Areas where the manufacturer has had service problems.

(d) New Design Concepts. Any areas in which the manufacturer has no previous experience.

(e) Design Areas Critical to Safety. The FAA will review and/or participate in findings of compliance in those design areas critical to safety based on the FAA's overall knowledge of the manufacturer's technical expertise.

(f) Flight Testing of Critical Areas. The FAA will conduct or monitor test(s) of the aircraft's flight, ground, and water characteristics critical to safety, and determine that there are no unsafe characteristics. If review of the DOA manufacturer's flight test program indicates the need for further tests, the FAA will prescribe any additional testing deemed necessary.

(g) AEG Functions. The AEG will make determinations in areas reserved for the AEG in Order 8110.4. These include Instructions for Continued Airworthiness, evaluation of operational suitability, changes to the Master Minimum Equipment List, Aircraft Flight Manual, Flight Crew Operating Manual; crew training, and emergency evacuation demonstrations.

(4) Type Certificate Board Meetings. As applicable, Type Certificate (TC) Board meetings will be held in accordance with Order 8110.4 and Order 8430.21. The DOA administrator will chair preliminary, interim, pre-flight and final TC Board meetings on major programs and any other meetings necessary to accomplish the objectives referred to in these procedures. The DOA holder must coordinate scheduling of the meetings with the FAA. During the meetings the FAA will:

(a) Establish and approve the applicable certification basis.

(b) Identify areas requiring formulation of special conditions.

(c) Provide special attention, information, and guidance resulting from new design concepts, service difficulties, FAA policy, and current state-of-the-art considerations.

(d) Establish those areas of the TC program where the FAA will make specific findings, i.e., compliance findings, conformity, airworthiness certification, ICA, and Master Minimum Equipment List.

(e) Coordinate program scheduling to the degree necessary to accomplish the required FAA participation.

(f) Establish that areas requiring FAA participation have been satisfactorily completed.

(g) Review the certification and conformity plans.

(h) Review applicable noise and emission requirements and establish the nature and extent of tests and substantiation expected from the manufacturer.

(5) Compliance with Airworthiness Standards. Engineering and flight test ARs within the DOA are responsible for findings of compliance to the

airworthiness standards required by the certification basis. The procedure manual must contain the specific forms and procedures used to determine and document compliance. The DOA must use FAA forms wherever possible unless the FAA approves alternatives through the procedure manual. Engineering and/or flight test ARs must approve the following records, as applicable, to document compliance.

(a) FAA Form 8100-9, as shown in appendix 1, figure 8 must be used for compliance findings. ARs must note on the FAA Form 8100-9 that the data approval is in support of a DOA project and is not a DER data approval.

(b) FAA Form 8120-10, Request for Conformity.

(c) FAA Form 8110-1, Type Inspection Authorization.

(d) Type Inspection Report part II. (flight test).

(e) Aircraft Flight Manual/Supplement, as required.

(6) Compliance Findings for Equivalent Safety Provisions. After the FAA defines the equivalent safety provisions, engineering and flight test ARs are responsible for determining compliance. The DOA must submit equivalent safety finding results in writing to the ACO for concurrence.

(7) Conformity. Inspection ARs are responsible for conducting and documenting inspections for the purposes of finding conformity to the design and establishing the airworthiness of the product. The conformity inspections are to be conducted in accordance with Order 8110.4. An FAA Form 8130-9, Statement of Conformity, must be completed in accordance with 14 CFR §§ 21.33 and 21.53 prior to the AR making conformity findings for the article in question. The statement of conformity must be signed by someone authorized by the DOA holder. The AR making the conformity determination may not sign it. The procedure manual must identify the specific forms and procedures used to document inspection results contained in Order 8110.4. Unsatisfactory conditions and/or deviations must be resolved and/or approved by Engineering ARs prior to test accomplishment. Prior to any compliance inspection or test, the inspection ARs must complete the following records (as applicable) to document conformity with the type design of the end product, in-process parts, and test articles:

(a) Conformity Inspection Reports, including;

1 FAA Form 8120-10, Request for Conformity.

2 FAA Form 8100-1, Conformity Inspection Record.

3 FAA Form 8130-9, Statement of Conformity.

4 FAA Form 8130-3, Authorized Release Certificate (for conformity).

(b) FAA Form 8110-4, 5, 6, 7, and 8, Type Inspection Report (Part I).

(8) Airworthiness Inspections. Airworthiness ARs are responsible for conducting and documenting airworthiness inspections in order to issue experimental airworthiness certificates required as part of the type certification program. The procedure manual must identify the applicable airworthiness inspections contained in Order 8130.2. The airworthiness AR must review and complete the following records, as applicable, to document the airworthiness inspection of the test aircraft or the end product. In addition, the AR shall submit to the MIDO for approval the experimental operating limitations prior to the issuance of an experimental airworthiness certificate.

(a) FAA Form 8100-1, Conformity Inspection Record.

(b) FAA Form 8130-6, Application for Airworthiness Certificate.

(c) FAA Form 8130-7, Special Airworthiness Certificate.

(9) AEG Functions.

(a) Instructions for Continued Airworthiness (ICA) shall be prepared and coordinated through the OMT lead. Development and acceptability of ICA may require early coordination.

(b) AEG determinations of operational suitability, Master Minimum Equipment List revisions, crew training, etc., are not delegated to the DOA. The managing ACO must coordinate with the appropriate AEG to ensure that all program requirements are satisfied.

(10) Type Certificate Issuance.

(a) Data Submittal. After determining compliance with the airworthiness standards, the DOA holder must submit the following in accordance with 14 CFR § 21.253:

1 Statement certifying that the design article satisfies the airworthiness standards.

2 Statement certifying that the data required by 14 CFR § 21.293(a)(1)(i) has been placed in the data file.

3 A proposed type certificate data sheet.

4 The information necessary for safe operation of the product; flight manual, ICA, etc.

(b) FAA Actions. After receipt of the TC data package specified above, the ACO shall perform the following:

1 Review the submitted data package.

2 Verify that all FAA specific findings have been satisfactorily completed.

3 Notify the MIDO, AEG, and DOA holder of concurrence or non-concurrence.

4 Approve the Airworthiness Limitations.

5 Issue the TC and type certificate data sheet in accordance with Order 8110.4.

(11) DOA Projects Involving Foreign-Registered Aircraft. A DOA may be authorized to amend a TC by using aircraft registered in another country. TC amendment projects which modify foreign registered aircraft have special requirements which must be considered. The DOA should notify their managing ACO as soon as possible when considering such projects in order to minimize delays in the project. If the DOA holder does not offer evidence showing the NAA of the country of registry agrees to the proposed modification, then the ACO notifies the NAA and invites them to participate in the project. It is possible that a foreign-registered aircraft might not be in its FAA-approved type design configuration. If a foreign registered aircraft is being used as a test article to substantiate the alteration, the DOA must ensure that the aircraft conforms to an FAA-approved type design. Therefore, the DOA is responsible for reviewing the aircraft for the presence of other alterations and ensuring its overall condition for safe operation. Based on DOA determination, the ACO may concur the configuration of the aircraft is acceptable for evaluation of the proposed modification. A DOA will not be able to issue an experimental airworthiness certificate for flight testing on a foreign registered aircraft. 14 CFR § 91.715 and Order 8130.2 chapter 7, provide guidance on the issuance of Special Flight Authorizations for foreign-registered aircraft.

b. Post-TC Airworthiness Certification. Upon finding conformity to an approved type design and condition for safe operation, the DOA holder may issue airworthiness certificates in accordance with 14 CFR part 21 subpart J and Order 8130.2. An FAA Form 8130-6, Application for Airworthiness Certificate, must be completed for all airworthiness certificates issued by the DOA holder. An FAA Form 8130-9, Statement of Conformity, must be completed for aircraft which are not produced under the provisions of a production certificate. The statement of conformity must be completed prior to the AR making airworthiness findings for the aircraft in question. Someone other than the AR making the airworthiness determination, who is authorized by the DOA holder, must sign the statement of conformity. The DOA holder must send the airworthiness certification data packages required by Order 8130.2 to the MIDO for processing. The MIDO must forward the airworthiness certification records to AFS-750, Aircraft Registration Branch, in accordance with Order 8130.2. The airworthiness AR must review and complete the following records, as applicable, to document the airworthiness inspection of the product:

(1) FAA Form 8100-1, Conformity Inspection Record.

(2) FAA Form 8100-2, Standard Airworthiness Certificate.

(3) FAA Form 8130-3, Authorized Release Certificate (for aircraft engines and propellers).

(4) FAA Form 8130-6, Application for Airworthiness Certificate.

(5) FAA Form 8130-7, Special Airworthiness Certificate (for restricted category).

c. Airworthiness Approvals. The DOA holder may issue FAA Form 8130-3, Authorized Release Certificate, in accordance with 14 CFR § 21.271 and Orders 8130.2 and 8130.21; Procedures for Completion and use of the Authorized Release Certificate, FAA Form 8130-3, Airworthiness Approval Tag.

d. Export. The DOA holder may issue export airworthiness approvals in accordance with 14 CFR § 21.269 and part 21, subpart L.

e. Production Certificate Changes. The DOA holder notifies the MIDO to have a new model or its new type certificate number added to the production certificate. The DOA must determine that the production certification requirements of 14 CFR part 21 subpart G, with respect to the new model or type are met and submit a statement certifying that this determination has been made along with identifying the type certificate number under which the product is being manufactured. In accordance with FAA Order 8120.2, the MIDO will add the new model or new type certificate number to the PLR after determining the DOA holder complied with 14 CFR § 21.267.

f. Major Repairs and Major Alterations. The DOA holder may approve major repair and major alteration data for types covered by the DOA. The DOA holder must document these data approvals on FAA Form 8100-9 as shown in appendix 1, figure 10. These are considered "approved data" for the purpose of returning the repaired or altered product to service. The 8100-9 must clearly identify:

(1) The specific product involved.

(2) Whether all aspects of the repair or alteration are addressed.

(3) Those aspects of the repair or alteration that the form approves.

(4) That other data approvals may be required (if necessary).

g. Data Approvals Provided to STC Applicants. The DOA may approve data in support of an STC project involving a product manufactured by the DOA holder. As part of the STC project planning, the DOA Administrator must provide a letter to both the STC applicant and the OMT that identifies the approvals to be performed by the DOA and states that the DOA is authorized to make those specific approvals. The DOA administrator must ensure that the ARs making the approval are qualified and authorized with the appropriate delegated functions and authorized areas. The DOA holder must maintain copies of the FAA Form 8100-9 (see appendix 1, figure 9) and all data they approve in support of other applicants. The STC applicant should discuss their intention to use DOA approvals as part of their certification project with the project ACO. The project ACO may coordinate with the OMT regarding the DOA approvals, as they feel necessary.

7-3. DOA PROCEDURE MANUAL REQUIREMENTS. In addition to the requirements of paragraph 5-8, the DOA procedure manual must address the following elements in the "Procedures" section of the DOA procedure manual:

a. Type Certification Procedures. These procedures are also applicable to the development of amended type certificates, repairs, and type design changes. The DOA organization is responsible to utilize certification procedures that are equivalent to those which would be used by the FAA for standard certification programs. The DOA has some flexibility in the certification processes in that development of some portions of a product may be concurrent with certification activities on other portions. This DOA procedure manual must contain the detailed processes and procedures to be followed in order to ensure that compliance determinations have been appropriately dispositioned. Tests of conformed systems and equipment must not be adversely affected by other test article configurations that are not in final configuration or otherwise not conformed to type design. For each new or changed aviation product, the DOA organization is responsible to use procedures defined in FAA Order 8110.4.

b. Program Notification Submittal. The DOA should notify and make application to the FAA for each new aircraft product. For changes to existing aviation products, the DOA should evaluate the extent of the changes. The DOA may be authorized to conduct certification activities within the limits of their authority without prior notification to the FAA if a procedure has been developed and FAA approved. For all other programs, the DOA administrator should report planned certification programs to the FAA. The DOA procedure manual should contain sufficient information to define these various types of programs and when there is a requirement to provide formal notification to the FAA. The DOA will make formal application (FAA Form 8110-12) to FAA on all programs that will result in a new model designation.

c. Familiarization Meeting. The DOA should hold a familiarization meeting for each new type certificate, amended type certificate and significant type design change, in accordance with procedures established in the approved procedure manual. The DOA administrator is normally responsible for chairing the meeting and providing meeting minutes to the FAA. FAA participation in these meetings is optional and the FAA has the option to chair the meeting. The DOA is responsible for providing adequate notification to the FAA. Familiarization meetings are normally held very soon after the formal notification to the FAA.

d. Preliminary Type Certification Board Meeting. The DOA should hold a Preliminary Type Certification Board Meeting for each new type certificate, amended type certificate and significant type design change, in accordance with the procedures established in the approved procedure manual. The DOA administrator is normally responsible for chairing the meeting and providing meeting minutes to the FAA. FAA participation in these meetings is optional and the FAA may elect to chair the meeting. The DOA administrator is responsible for providing adequate notification to the FAA. The FAA will participate at least to the extent necessary to establish the certification basis for the product. The procedure manual should address these considerations.

e. DOA Certification Plan and Proposed Certification Basis. The DOA is expected to prepare a certification and conformity plan in accordance with established guidelines of Order 8110.4. The DOA is responsible for proposing a certification basis that adheres to FAA policy and guidance for new and changed aviation

products. The DOA should be prepared to submit these items at the Preliminary Type Certification Board Meeting. When necessary, the FAA will utilize issue papers to establish the certification basis. The procedure manual should address these considerations. The FAA establishes the certification basis by means of an issue paper (if applicable). When it is necessary to establish a certification basis, the FAA will utilize issue papers as the appropriate means for coordination and documentation. The DOA administrator is responsible to cooperate with the FAA in this process and provide a company position when requested. The procedure manual should establish the procedures necessary to accomplish these actions.

f. Coordination of Issue Papers. When necessary, the FAA will develop issue papers as a means of resolution of certification issues. The DOA administrator is responsible to cooperate with the FAA in this process and provide a company position when requested. The procedure manual should establish the procedures necessary to accomplish these actions.

g. Specific Findings. The FAA will provide notification to the DOA of areas where specific findings will be made. Based on the information received at the Familiarization Meeting and Preliminary Type Certification Board Meeting, the FAA will provide formal notification of each area where direct participation is planned. The level of participation depends on the complexity of the product, DOA and/or FAA previous experience in similar certification activities, service experience and problems on similar products, or for any other reason. The DOA is responsible for cooperating and assisting the FAA in making these specific findings. The procedure manual should explain how the DOA is to accomplish and handle these activities.

h. Compliance Determinations. The DOA makes engineering compliance determinations in accordance with the FAA certification basis. Once the certification basis has been established and FAA specific findings are identified, the DOA may begin the process of making engineering compliance determinations. The DOA is responsible to provide notification to the FAA with sufficient notice whenever FAA is to be involved. The procedures to be used for compliance determinations should be essentially the same as if the FAA were conducting a standard certification program. The processes and procedures to be utilized should be explained in the procedure manual.

i. Experimental Airworthiness Certification. The processes and procedures to be utilized should be explained in the procedure manual and meet the requirements of Order 8130.2.

j. Type Inspection Authorization (TIA). The DOA should prepare the TIA so that it may be formally issued at the Preflight Type Certification Board Meeting. Revisions should be utilized if the initial issue is incomplete. The TIA should identify conformity requirements, authorized flight tests, special limitations deemed appropriate for test articles and a formal assessment of the risks associated with the flight tests. The processes and procedures to be utilized should be explained in the procedure manual.

k. Certification Tests Other Than Flight Test. Define the procedures for conducting inspections and testing.

l. Risk Assessment. The DOA procedures for meeting the requirements of Order 4040.26, Aircraft Certification Service Flight Safety Program should be defined in the procedures manual.

m. Other Type Certification Board Meeting. The DOA should hold a Preflight and/or Interim Type Certification Board Meetings per FAA Order 8110.4.

n. Certification Flight Testing. The DOA performs certification flight tests as authorized by the TIA. The processes and procedures to be utilized should be explained in the procedure manual.

o. Submittal of AFM, Proposed Type Certificate Data Sheet (TCDS), Noise, and Emission Data if Applicable, and Airworthiness Limitations. The AFM, if required, will be submitted to the FAA for review. The FAA ACO will function as the primary contact for AFM submittals and will accomplish coordination with the FAA Aircraft Evaluation Group, when necessary. The DOA will submit proposed TCDS entries to the FAA ACO. The FAA is responsible for coordination and preparation. The DOA is responsible to submit the initial Airworthiness Limitations to the FAA ACO for review and approval. The FAA retains authority for approval of these limitations. The DOA may approve subsequent revisions to the Airworthiness Limitations if the procedures for this approval process are contained in the procedure manual. The draft AFM is required prior to start of Function and Reliability testing (if applicable). The TCDS and Airworthiness limitations must be submitted no later than the Final Type Certification Board Meeting. The processes and procedures to be utilized should be explained in the procedure manual.

p. Function and Reliability (F&R) Testing. If applicable, F&R testing is to be accomplished in accordance with FAA Order 8110.4. The types of programs that require F&R testing, and procedures to be utilized, should be explained in the procedure manual.

q. Report Preparation, Submittal, and Storage. DOA reviews the required reports/data and finds compliance with the certification basis. The procedure manual should detail the kinds of reports required and the

timing for approval with respect to the preparing the Statement of Compliance. Title 14 CFR part 21 requires that Type Inspection Reports be completed prior to FAA approval. Any special procedures or agreements should be clearly identified in the procedure manual. The types and locations of FAA files maintained by the DOA should also be explained in the DOA procedure manual.

r. Statement of Compliance. When the required documentation for a particular program has all been satisfactorily accomplished, the DOA administrator prepares a Statement of Compliance. The conditions for issuance and required contents, such as a certification checklist should be explained in the procedure manual.

s. Final Type Certification Board Meeting. The DOA should hold a Final Type Certification Board Meeting for each new type certificate, amended type certificate and type design change, in accordance with the procedures established in the approved procedure manual. The DOA administrator is normally responsible for chairing the meeting and providing meeting minutes to the FAA. FAA participation in these meetings is mandatory and the FAA may elect to chair the meeting. The DOA administrator is responsible for providing adequate notification to the FAA. During this meeting, there should be a review to verify that all open certification issues have been resolved and that all required documents and reports have been approved and submitted. The DOA administrator should be prepared to recommend that the FAA issue the type certificate, if applicable. The processes and procedures to be utilized should be explained in the procedure manual.

t. Type Certificate Issuance. The FAA provides a letter to the DOA closing all specific findings. Issuance of the Type Certificate is conditional on receipt of the DOA Statement of Compliance and recommendation for product approval. These actions are normally accomplished at the Final Type Certification Board Meeting.

u. Instructions For Continued Airworthiness. The DOA must develop and submit Instructions for Continued Airworthiness. The procedure manual must specify the procedures for developing the instructions prior to airworthiness certification, and the procedures for the coordination of the ICA with the ACO/AEG.

v. Standard Airworthiness Certification. The procedure manual must specify the procedures to be followed for issuing standard airworthiness certificates. The procedures must meet the requirements of Order 8130.2.

w. Post TC Activities. After type certification of a product, many engineering activities still occur. A DOA may be allowed to approve major and minor design changes to drawings, procedures and specifications. In addition, the DOA could approve service documents and repair procedures for fielded products. The repair procedures are usually one-time (serial number specific) or multiple use until service documents are updated.

(1) The process for determining the classification of major and minor design changes must be addressed in the procedure manual. The procedure manual must define the major and minor design change approval process. All major changes should be coordinated with the ACO, but not all major changes are required to be submitted as a project and require a PNL. There must be adequate data to support the design changes, but how the DOA approves these changes could be varied.

(2) Service documents with "type design/ technical data" and repair procedures must be approved by use of FAA Form 8100-9. In the case of an Airworthiness Directive effort, the ACO should receive the service document with a FAA Form 8100-9 marked as "Recommend Approval." Also, if another NAA asks how a repair procedure was approved, submittal of the FAA Form 8100-9 is evidence of FAA approval.

(3) The DOA procedures manual must identify the administrator responsible for coordinating data approvals provided to STC applicants (if applicable). The manual must also contain a sample letter that will be provided to the applicant and OMT identifying the data to be approved and certifying that the DOA is authorized to approve the data.

x. Technical Data File. The DOA is responsible for all technical and compliance data files. All type design data must be readily available to the FAA and maintained in an official file. Storage media of technical data must be agreed to by the FAA. The technical data file should be maintained as a permanent record at the DOA facility. The DOA is responsible for maintaining the files in secure areas. Special written agreements may be an acceptable means to identify the methods to retain and maintain drawing and specification lists. The procedure manual should identify the locations of these files, security measures and procedures for providing FAA access.

y. Production Certification Procedures. The procedure manual must contain the production certification procedures utilized by the DOA holder. The DOA is responsible to determine that the production certification requirements of subpart G of 14 CFR part 21, with respect to the new model or type are met and submit a statement certifying that this determination has been made. In performance of these duties, the DOA holder must insure integrity of the FAA-approved design data for both the initial design and subsequent changes to that design. The DOA company management must employ the necessary

certification, management and technical staff to properly perform all functions related to production certificate management and, in addition, maintain an FAA-approved quality assurance system. The DOA holder is responsible for identifying and defining the quality assurance system procedures in a format found acceptable by the FAA. The DOA holder will be assigned an FAA Principal Inspector . The Principal Inspector will have overall Production Certificate management responsibility, including surveillance and oversight as deemed appropriate. Requirements to be followed by both the Principal Inspector and DOA holder are defined in 14 CFR part 21 and Order 8120.2.

CHAPTER 8. SFAR 36 AUTHORIZATIONS

8-1. GENERAL. This chapter provides information and guidance concerning the authority and procedures of Special Federal Aviation Regulation Number 36 (SFAR 36) authorizations.

a. Eligibility. Each authorization holder is required by SFAR 36, paragraph 5 to be the holder of an air carrier or commercial operating certificate who has been issued operations specifications to conduct operations with large aircraft under the provisions of 14 CFR part 121 or 135, or the holder of a domestic repair station certificate under the provisions of 14 CFR part 145. An SFAR 36 authorization may only be granted to organizations authorized to approve for return to service articles and products after accomplishing a major repair. The definition of articles and products is specifically defined in SFAR 36.

b. Authority.

(1) SFAR 36 Authority. The SFAR 36 authorization holder may develop data for major repairs and approve articles or products for return to service using such data developed using the SFAR 36 procedures. This data is not specifically approved by the FAA Administrator.

(2) Categories. Authority to develop technical data for major repairs will be delegated by category of product. Typical major product categories are transport aircraft structures, composites, turbine engines, and propellers. Additional major repairs may include hydraulic, electrical, and avionics systems; and equipment such as seats and life rafts. Major categories are to be further broken down into subcategories sufficient to be appropriate to the authorization.

(3) Limitations. The authorization may limit the authority to develop only certain types of technical data for a particular product or article. The FAA will impose any limitations necessary, taking into account the staffing and facilities of the SFAR 36 holder. The FAA will limit the authority delegated to those products or articles for which the organization is rated to repair under their existing repair station or operator certificate.

(4) Use of Data. The major repair data developed and allowed under the SFAR 36 authorization can only be used to approve repairs for return to service by the SFAR 36 authorization holder. The FAA does not consider the major repair data is acceptable for use only at repair facilities not authorized by the authorization holder's repair station certificate or operations specification. The SFAR-36 holder may use the data for subsequent repairs after determining that the data are appropriate for the application in accordance with SFAR 36, paragraph 3b.

c. Responsibilities.

(1) Data Review and Service Experience. When notified by the Administrator, the SFAR 36 authorization holder must investigate unsafe conditions that may be attributed to the repair performed as required by SFAR 36, Section 12.

(2) Records. The SFAR 36 holder must maintain the records required by SFAR 36, paragraph 13. The SFAR 36 holder must provide the FAA access to these records upon request. The storage media must be agreed to by the FAA. Upon surrender or termination of their authorization, the SFAR 36 holder must either surrender the data developed to the FAA, or maintain it indefinitely and provide the FAA access to the data.

(3) Reports. The SFAR 36 authorization holder must submit a list of all major repairs, accomplished in accordance with SFAR 36 to the cognizant Certificate Holding District Office A report of zero activity is also required. The activity report must include the type of repair with a brief description including model, part number, and manufacturer's serial number.

8-2. DEVELOPMENT OF MAJOR REPAIR DATA.

a. Major Repair Determination. The SFAR 36 holder must have procedures and criteria to differentiate between repairs and alterations and between major and minor repairs, for the products covered by the applicant's authority. Only major repair data may be developed using the SFAR 36 authority.

b. Major Repair Data. The SFAR 36 holder must develop data for major repairs using the processes prescribed in the procedure manual. The procedures must address the following:

(1) Obtaining FAA engineering approval before;

(a) The use of all equivalent safety provisions applied under 14 CFR part 21;

(b) The use of data procured from specialized services not part of the applicant's facility;

(c) The use of data concerning a major repair that may result in an acoustical or emissions change to the product;

(d) Accomplishing a major repair that affects any Airworthiness Directive requirements; or

(e) The use of data concerning major repairs to life-limited items.

(2) Approving and controlling technical data for major repairs.

(3) Assure compatibility with other repairs made to a product and between products which have undergone major repairs and other changes to approved type design.

(4) Identification and traceability of product major repair records.

c. Substantiation Data. The SFAR 36 holder is responsible for showing compliance with the applicable airworthiness requirements. Normally, this is the certification basis referenced on the TCDS. The technical data developed and used for the major repair must show that the condition of the repaired product meets all applicable airworthiness requirements and will be at least equal to its original or properly altered condition when operated within the approved flight envelope and when maintained in accordance with its FAA approved (or accepted as applicable) maintenance manual or FAA approved continuous airworthiness maintenance program and will function reliably throughout its established inspection interval. Authorization holders must use FAA Form 8100-9, as shown in appendix 1, figure 11, to document compliance findings. ARs must note on the FAA Form 8100-9 that the data is in support of a SFAR 36 project and is not a DER data approval.

8-3. SFAR 36 PROCEDURE MANUAL REQUIREMENTS. In addition to the requirements of paragraph 5-8, the SFAR 36 procedure manual must contain the following in the "Procedures" section of the SFAR 36 procedure manual:

a. Approving and Controlling Technical Data. The authorization holder must describe how technical data is approved and controlled. This requirement includes subsequent products using previously approved SFAR 36 major repair data as referenced in SFAR 36 paragraph 3(b). In accomplishing this, the data shall show compliance with the applicable airworthiness standards as described in paragraphs 8-2b and c. Sample forms being utilized for this procedure appear in appendix B of the authorization holder's procedure manual.

b. Traceability of Repairs (i.e., identification and product repair records). The authorization holder must describe their procedure for identifying and tracing all repairs accomplished under SFAR 36 authority.

c. Differentiating between Major and Minor Repairs. The authorization holder must define or cite their organization's procedure for differentiating between major and minor repairs.

d. Differentiating between Major Repairs and Major Alterations (14 CFR part 43, Appendix A and 14 CFR § 1.1). The authorization holder must define or cite their organization's procedure for differentiating between major repairs and major alterations.

NOTE: Major alterations may not be done under SFAR 36.

e. Determining Compatibility of Repair(s). The authorization holder must define their procedure for determining compatibility of repairs accomplished under SFAR 36 authority with previous repairs and alterations. (whether accomplished under SFAR 36 or other means).

f. Quarterly Report of Accomplished Repairs. A list of all major repairs, accomplished in accordance with SFAR 36, will be submitted to the cognizant Certificate Holding District Office quarterly. A report of zero activity is also required. The activity report must include type of repair with a brief description, model, part number, and manufacturer's serial number.

CHAPTER 9. DESIGNEE INFORMATION NETWORK

9-1. GENERAL. This chapter details the requirements for managing and tracking information in the Designee Information Network (DIN). The DIN is the FAA system used to manage individual designees and authorized organizations. Managing offices must maintain current data in the DIN for all DASs, DOAs and SFAR 36 delegation holders they manage.

9-2. DESIGNATION FORM. Upon receipt of an application, the managing ACO must create a designation form in the DIN for the organization with the status of "Applicant" for whichever type of authorization they seek. If there is an existing facility ID in DIN, it must be used as a basis for the organization's authorization entry. The designation form will contain the type of authorization, managing office, appointment date, and address and phone number information. The status on the designation form should be changed when the application is approved or denied.

9-3. AUTHORIZATION NUMBERS. The authorization number will consist of the type of designation (DAS, DOA or SFAR-36),the DIN-generated I.D. number (six digits); and the geographical directorate code (i.e., NM-Transport Directorate, CE-Small Airplane Directorate, SW-Rotorcraft Directorate, NE-Engine and Propeller Directorate), or the geographical region code (i.e., AL-Alaska Region, CE-Central Region, EA-Eastern Region, GL-Great Lakes Region, NE-New England Region, NM-Northwest Mountain Region, SO- Southern Region, SW-Southwest Region, WP-Western Pacific Region).

> **NOTE:** For example, the number for a DAS appointed out of the Transport Directorate would be DAS-123456-NM.

9-4. FUNCTIONS SUMMARY. The purpose of this form in DIN is to track the functions the organization is authorized to perform on behalf of the FAA. It should note the limitations of the authorization.

9-5. FAA INTERNAL COMMENTS FORM. The FAA Internal Comments form may be used to document any comments or information on the organization or ARs which the managing offices wish to maintain.

CHAPTER 10. TERMINATION

10-1. GENERAL. This chapter provides the requirements for the termination of the certificate of a DOA, DAS, or SFAR 36 authorization holder. These procedures are intended to ensure that due process is accorded before a final decision is made on termination of the above designations. These procedures do not apply when the termination is at the request of the designation holder, since this decision is entirely voluntary.

> **NOTE:** Even though the FAA sometimes refers to the designations and authorizations as "certificates," they are NOT "certificates" within the meaning of Section 44709 of Title 49, U.S.C. The procedures for appealing actions taken under authority of Section 44709 and its implementing regulations are not applicable to DOA, DAS, or SFAR 36s.

10-2. CAUSE FOR TERMINATION OF DESIGNATIONS. The following are conditions for DOA, DAS, or SFAR 36 certificate termination:

a. By Request. At the request of the DOA, DAS, or SFAR 36 holder.

b. Non-Performance. When the Administrator finds the DOA, DAS, or SFAR 36 has not properly exercised or performed the duties of the designation. This would include not having a current senior level management's (authorization holder) signature on the MOU.

c. Lack of Care, Judgment, or Integrity. When the Administrator finds the DOA, DAS, or SFAR 36 has not demonstrated the care, judgment, or integrity to exercise the designation properly.

d. Lack of FAA Need or Ability to Manage. The managing office no longer needs the services of the DOA, DAS, or SFAR 36 or no longer has the resources to manage the DOA, DAS, or SFAR 36.

e. Insufficient Activity. When the Administrator finds that the DOA, DAS, or SFAR 36 has not had sufficient activity to warrant continuance of the designation.

f. Lapse of Qualifications. When the Administrator finds the DOA, DAS, or SFAR 36's qualifications for a specific activity have lapsed.

g. Certificate Suspension, Revocation, or Cancellation. When a certificate is suspended, canceled, or revoked that is required by the FAA for eligibility as a DOA, DAS, or SFAR 36 holder.

h. Any Other Appropriate Reason. For any other reason considered appropriate by the Administrator.

10-3. PROCEDURES FOR APPEALING TERMINATION OF A DOA, DAS, OR SFAR 36.

a. Notice of Proposed Action. The FAA appointing office will provide written notice by certified mail (return receipt requested) to the DOA, DAS, or SFAR 36 holder stating the reason(s) for the proposed termination of the DOA, DAS, or SFAR 36. If possible, the notice should be sent at least 30 calendar days before the intended effective date. When an authorization holder is terminated for any reason, the appointing office will update DIN on the effective date of termination.

b. Appeal Actions. Termination appeal procedures apply to the following termination reasons: misconduct; insufficient activity; lapse of qualifications; certificate suspension, revocation, or cancellation; lack of care, judgment, or integrity; and any other appropriate reason. At a minimum, the notice shall include the following:

(1) Reasons for Termination. Specific reasons for the proposed termination, including examples of unacceptable conduct, when applicable. Safety related situations would be acted upon immediately. Include paragraph references to policy requirements herein not complied with. For example, the letter should state "due to the retirement of John Doe, your organization is no longer in compliance with Order 8100.9, paragraph 5-7a(1). You no longer have a DOA administrator with five years of experience working with the FAA as required by paragraph 5-7a(1)."

(2) Permission to Request an Appeal. A statement allowing the DOA, DAS, or SFAR 36 holder to request an appeal from the FAA. The DOA, DAS, or SFAR 36 holder will have ten business days to file an appeal request in writing. If the designation holder does not respond, the termination process shall continue.

(3) Effective Date of Termination. The authorization holder shall be advised that a request for an appeal WILL extend the termination date until the initial appeal process has been completed.

(4) Immediate Suspension. When an authorization holder is suspected of fraud or any other activity deemed inappropriate, and an immediate action is necessary to ensure safety, the appointing office(s) will direct the authorization holder to cease all authorized activity pending FAA investigation into the matter. The

appropriate field office will then initiate action according to the procedures in this order.

(5) Intention to Keep Record. A statement that the FAA will prepare and maintain a record of the request for an appeal, any evidence submitted, and any meetings held. The notice will also inform the designation holder that legal counsel may accompany them to any meetings with the FAA.

c. Notice to DOA, DAS, or SFAR 36s. If the proposed termination is based on misconduct of an AR, notice shall be addressed to the DOA, DAS, or SFAR 36 holder.

d. Appeal Not Always Available.

(1) If the proposed termination is based on insufficient activity or misconduct by a DOA, DAS, or SFAR 36, only the authorization holder may request an appeal of the proposed action; the authorized representatives may not.

(2) Appeal requests must be submitted in writing within ten business days after receiving notice of proposed action.

e. Meeting with Authorization Holder to Review Proposed Action.

(1) Who Should Attend. The meeting will be held with the appropriate appointing office representative and the OMT.

NOTE: If the DOA, DAS, or SFAR 36 authorization holder chooses to have a lawyer attend, then the managing office shall have FAA Chief Counsel in attendance.

(2) Record. The FAA will maintain a record of the meeting in some form, such as shorthand notes, a summary written up after the meeting, or a verbatim transcript prepared by the FAA or by a court reporter. If the record consists of written material, a legible copy will be forwarded to the authorization holder to review and submit comments or proposed corrections.

f. Notice of Results of Meeting. Within 10 business days after the meeting, the appointing office will notify the authorization holder of its decision by certified mail (return receipt requested). If the appointing office confirms the termination, the letter shall contain the following:

(1) Reason(s) for Termination. The letter will clearly state the decision and the justification for the decision. This letter will respond to each of the arguments presented by the authorization holder and will request the surrender of the DOA, DAS, or SFAR 36 authorization letter.

(2) Effective Date of Termination. The letter will advise the authorization holder that the DOA, DAS, or SFAR 36 designation will terminate or expire on a specified date, and that a request for further reconsideration will not stay the effective date.

10-4. NO RESPONSE FROM DOA, DAS, OR SFAR 36. In cases in which the authorization holder failed to respond to the original notice of proposed action within the 10 day period, the appointing office shall send the authorization holder a decision letter by certified mail (return receipt requested). However, in this situation, the letter will state that reconsideration by the FAA will not be allowed.

10-5. SURRENDER OF DESIGNATION. All termination actions concluded shall result in the surrender of the organization's authorization letter.

10-6. COORDINATION OF TERMINATION DECISIONS. Termination of a particular DOA, DAS, or SFAR 36 function does not necessarily require termination of all DOA, DAS, or SFAR 36 functions held by the organization. Before the appointing office notifies the authorization holder of a proposed termination, the OMT will coordinate all contemplated actions with the accountable and managing Aircraft Certification Directorates and with any involved Flight Standards Region. In addition, the Regional Assistant Chief Counsel will be notified before the initiation of such action, and notices sent to the DOA, DAS, or SFAR 36 will be coordinated with the Assistant Chief Counsel.

10-7. DESIGNEE INFORMATION NETWORK STATUS. If the appointing office takes action to suspend or terminate the OMT will ensure that DIN is updated on or before the termination or expiration date.

APPENDIX 1. SAMPLE FORMS AND LETTERS

FIGURE 1. SAMPLE DENIAL LETTER

U.S. Department
of Transportation

Federal Aviation Administration

[Date]

[Applicant's Name]
[Applicant's Address]

Dear **[Applicant's Name]**:

This letter is to advise you that your application for **[insert type of authorization**] has been denied. A review of the established criteria for appointment revealed your application was deficient in the following area(s):

[Show appointment criteria deficiency with explanation.]

You have the option of appealing our decision, or you may resubmit your application with additional information at any time. Should you choose to exercise your right of appeal, you may contact **[Appointing Office and phone number]**, and request that an Appeal Panel be convened. You must exercise this option within 60 days of the date of this letter.

Thank you for your interest in the delegation program.

Sincerely,

[Manager's Name]
[Appointing Office]

APPENDIX 1. SAMPLE FORMS AND LETTERS CONTINUED

FIGURE 2. SAMPLE FORM 8100-10, DAS, DOA, or SFAR 36 STATEMENT OF QUALIFICATIONS (Reduced Size)

US Department of Transportation
Federal Aviation Administration

DAS, DOA, SFAR 36
STATEMENT OF QUALIFICATIONS

Form Approved OMB-2120-0018

Paperwork Reduction Act Statement:
This collection of information is to obtain information concerning the applicant's qualifications to act as a FAA-delegated organization. The FAA uses the information to determine the suitability of the organization to issue FAA design and airworthiness approvals. The submittal of this information is mandatory for applicants to be considered, and promise of confidentiality is neither provided nor necessary. The burden associated with new applications using this form is 2 hours. An agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. The OMB control number associated with this collection of information is 2120-0018.

1. COMPANY NAME:	2. PHONE NUMBER:

3. COMPANY ADDRESS: (*Number, street, city and ZIP code*)

4. TYPE OF DELEGATION SOUGHT:

☐ DAS	☐ DOA	☐ SFAR 36

5. FUNCTIONS SOUGHT: (*Applicants shall identify below the specific function(s) currently authorized in FAA Order 8100.DDS for which appointment is sought, and identify any limitations based on experience, e.g., type and complexity of the product*)

6. EXPERIENCE WORKING WITH THE FAA AS APPROPRIATE FOR THE TYPE OF AUTHORIZATION SOUGHT: (*Use additional sheets as necessary*)

7. HOLD THE FOLLOWING FAA CERTIFICATE(S) REQUIRED FOR ELIGIBILITY OF THE DELEGATION SOUGHT:

Type	Certificate Number	Ratings	Date Each Rating Issued

8. LOCATION(S) WHERE THE DELEGATED FUNCTIONS WILL BE PERFORMED: (*Use additional sheets as necessary*)

9. CERTIFICATION: I certify that the above statements are true to the best of my knowledge and that the organization is familiar with the Federal Aviation Regulations pertinent to the delegation sought.

Date	Signature (*Management representative of company requesting delegation*)

FAA Form 8100-10 (10-03)

APPENDIX 1. SAMPLE FORMS AND LETTERS CONTINUED
FIGURE 3. SAMPLE DAS AUTHORIZATION LETTER

U.S. Department
of Transportation
Federal Aviation
Administration

Under the authority of Title 14 of the Code of Federal Regulations, part 21, subpart M, Kendall Aircraft, Inc, 475 Airport Drive, Kansas City, Missouri, 12345, holding Production Certificate Number CE-23, is hereby authorized as DAS-353767-CE and may use Designated Alteration Station procedures for supplemental type certification activities in accordance with 14 CFR part 21, subpart M and its Federal Aviation Administration approved Procedure Manual. This authorization is effective for (Insert limitations of authorization).

Approved: January 1, 1999

John Dinkins
Manager, (COGNIZANT) Aircraft Certification
Office

APPENDIX 1. SAMPLE FORMS AND LETTERS CONTINUED
FIGURE 4. SAMPLE DOA AUTHORIZATION LETTER

U.S. Department
of Transportation
Federal Aviation
Administration

Under the authority of Title 14 of the Code of Federal Regulations, part 21, subpart J, Kendall Aircraft, Inc., 475 Airport Drive, Kansas City, Missouri, 12345, holding Production Certificate Number CE-23, is hereby authorized as DOA-348576-CE and may use Delegation Option Authorization procedures for certification activities in accordance with 14 CFR part 21, subpart J and its Federal Aviation Administration approved Procedure Manual. This authorization is effective for (Insert limitations of authorization.)

Approved: January 1, 1999

John Dinkins
Manager, (COGNIZANT) Aircraft Certification
Office

APPENDIX 1. SAMPLE FORMS AND LETTERS CONTINUED
FIGURE 5. SAMPLE SFAR 36 AUTHORIZATION LETTER

U.S. Department
of Transportation
Federal Aviation
Administration

Under the authority of Special Federal Aviation Regulation (SFAR) No. 36, J. M. Nice d/b/a Bayview Aviation at Bayview Airport, Bayview OH 11463, holding Air Agency Certificate No BVAR999A, empowered to operate an approved repair station, is hereby authorized as SFAR-36-738390-GL and may develop and use major repair data which are not specifically approved by the Administrator, in accordance with SFAR No. 36 and its Federal Aviation Administration Approved Procedure Manual, as applicable to the ratings of the repair station and its Repair Station Operations Specifications, limited as follows:

AIRFRAME: McDonnell Douglas Model DC-8 Series, Boeing Model 707, 727, and 747 Series airframe structures, flight controls, and landing gear systems.

POWERPLANT: Pratt and Whitney Model JT3D Series, JT4A Series, JT8D Series, and JT9D Series bearing supports, rotors, turbines, compressors, gearboxes, turbine and compressor blades.

This authorization is effective until January 23, 2004, unless it is surrendered or the Administrator suspends, revokes, or terminates it at an earlier date.

Approved: January 1, 1999

John Dinkins
Manager, (COGNIZANT) Aircraft Certification
Office

I.M. Spertor
Manager, (COGNIZANT) Flight Standards
District Office

APPENDIX 1. SAMPLE FORMS AND LETTERS CONTINUED
FIGURE 6. SAMPLE MEMORANDUM OF UNDERSTANDING-ALL AUTHORIZATIONS

DAS or DOA or SFAR 36 MEMORANDUM OF UNDERSTANDING
(Specify which applies)

1.0 Basis and Requirements for Delegation of Authority
Title 49 US Code is the legislative instrument governing US aviation.

Section 44701(a) states that the Administrator of the FAA "shall promote safe flight of civil aircraft in air commerce…."

To fulfill these responsibilities the FAA Administrator is provided with various resources including the power to delegate to others. This power is specified in Section 44702(d) Delegation:

"(1) Subject to regulations, supervision, and review the FAA Administrator may prescribe, the Administrator may delegate to a qualified private person, or to an employee under the supervision of that person, a matter related to --

(a) The examination, testing, and inspection necessary to the issuance of a certificate under this chapter; and
(b) Issuing the certificate.

(2) The FAA Administrator may rescind a delegation under this subsection at any time for any reason which the Administrator considers appropriate."

A "person" may be an individual, firm, partnership, corporation, company, association, joint-stock association or government entity. It includes a trustee, receiver, assignee, or similar representative of any of them.

2.0 Authorization and Role of a FAA delegation
Order 8100.9 provides policy, procedures and conditions under which an applicant may obtain a delegation of authority that may be exercised by an authorization holder i.e. (DOA or DAS or SFAR 36).

When accomplishing this task the authorization holder uses the same standards, procedures and interpretations applicable to FAA employees accomplishing similar tasks. The authorized organization is also required to observe all conditions and limitations imposed by the Administrator on the authority delegated.

3.0 Statement of Acceptance of Responsibilities and Obligations
(Authorization holder's administrator's name) understands and accepts on behalf of (Company name) the responsibilities and obligations, as detailed in our authorization letter and Orders 8100.9, 8100.8, 8110.4, 8110.37 (specify those that apply), associated with the exercise of the delegation authorized by the Administrator.

APPENDIX 1. SAMPLE FORMS AND LETTERS CONTINUED
FIGURE 6. SAMPLE MEMORANDUM OF UNDERSTANDING-ALL AUTHORIZATIONS (CONTINUED)

As an authorized organization (DOA, DAS, SFAR 36 -specify type), we will:

a) Function in accordance with the Responsibilities, Privileges, and Limitations contained in the relevant regulations and orders;

b) Dedicate the required resources for the effective performance of the delegated functions;

c) Remain knowledgeable in the (specify) specialty and in the applicable airworthiness standards, policies and procedures;

d.) Consider the product's type design as well as the aircraft manufacturer's type design philosophy, principles and operational assumptions when making findings of compliance. (DAS Only)

e.) Consider the actual operator procedures employed by the operator of the product and the impact of any alterations previously made to the product. (DAS Only)

f) Attend FAA sponsored training as required; and

g) Cooperate with the FAA in exercising this delegated authority.

h) Allow FAA review/participation of any and all projects as requested by the managing FAA offices.

i) Authorized representatives will be free from any conflicting restraints while performing the delegated functions, but with sufficient authority and independence to enable the authorized (DOA, DAS, SFAR 36 - specify type) organization to administer the pertinent regulation(s) effectively.

j) Perform the following functions:
(Detail the functions to be performed by the authorized organization)

_____ _____
Company (Organization type) Senior level Manager Date

_____ _____
FAA ACO Manager Date

_____ _____
FAA MIDO/FSDO Manager Date
(Repeat as applicable)

_____ _____
Other Company Managers Date
(Repeat as applicable)

APPENDIX 1. SAMPLE FORMS AND LETTERS CONTINUED
FIGURE 7. SAMPLE FAA FORM 8100-9 USED FOR DAS DATA APPROVAL (REDUCED SIZE)

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
STATEMENT OF COMPLIANCE WITH AIRWORTHINESS STANDARDS

FAA Project No. ST40115DE-T

AIRCRAFT OR AIRCRAFT COMPONENT IDENTIFICATION

MAKE	MODEL NO.	TYPE (Aircraft, Engine, Propeller, etc.)	NAME OF APPLICANT/AUTHORIZATION NO.
ABC-2	1121B	Airplane	Stoops Airlines DAS-843132-NM

LIST OF DATA

IDENTIFICATION	TITLE
	NOTE: This Data approval is in support of DAS Project No. _____ and DOES NOT constitute DER approval of the data listed herein and is not valid for any other purpose or application.
	This approves systems details only. This approval is only for the engineering design data and is not installation approval. Other approvals required. Flight/ground testing required.
	NOTE: This approval covers electrical details only
ABC Manual 1234 10/20/86	Converter Regulatory Installation Manual
1000047 Revision A	Drawing - Converter Regulator Cooling Mod.
1000048 Revision C	Drawing - Scoop Assy. - Converter Regulator Cooling
	(Detail list of data - drawings, reports, etc., including revision level and dates)

PURPOSE OF DATA
Support of DAS Project No. XXXXXXX - This installation data provides additional cooling to the electrical system converter-regulator.

APPLICABLE REQUIREMENTS (List specific sections)
14 CFR 25.1301, 25.1309(a), 25.1359(d)(3)
(Identify discrete paragraph/subparagraph that "Approval" or "Recommend Approval" addresses)

CERTIFICATION - As directed by the Administrator and in accordance with the conditions and limitations of authorization under 14 CFR, data listed above and on attached sheets numbered _____ have been examined in accordance with established procedures and found to comply with applicable requirements of the Airworthiness Standards listed.

I (We) Therefore
☐ Recommend approval of these data
☒ Approve these data

SIGNATURE(S) OF AUTHORIZED REPRESENTATIVE(S)	NAME	CLASSIFICATION	Date
Samantha Marie Lentz	**Samantha Marie Lentz**	Systems	12/20/03

(Note: If signed by more than 1 AR, it must be clearly denoted which data each AR is approving)

FAA Form 8100-9 (2-02)

APPENDIX 1. SAMPLE FORMS AND LETTERS CONTINUED
FIGURE 8. SAMPLE FAA FORM 8100-9 USED FOR DOA DATA APPROVAL (REDUCED SIZE)

U.S. DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION STATEMENT OF COMPLIANCE WITH AIRWORTHINESS STANDARDS	FAA Project No. AT64321AT-A

AIRCRAFT OR AIRCRAFT COMPONENT IDENTIFICATION

MAKE	MODEL NO.	TYPE (Aircraft, Engine, Propeller, etc.)	NAME OF APPLICANT/AUTHORIZATION NO.
Butterfly	B104	Airplane	Sampson Aircraft DOA-893993-CE

LIST OF DATA

IDENTIFICATION	TITLE
	NOTE: This Data approval is in support of DOA Project No. _____ and DOES NOT constitute DER approval of the data listed herein and is not valid for any other purpose or application. **This approves systems details only. This approval is only for the engineering design data and is not installation approval. Other approvals required. Flight/ground testing required.**
BAC 1234 Dated 10/20/99	Fuel Flow Test Report
BAC1000047 Revision A 10/28/99	Fuel Tank Test Report
BAC1000048 Revision C 9/15/99	Fuel Systems Analysis
BAC1000049	Drawing-Fuel System Installation
	(Detail list of data - drawings, reports, etc., including revision level and dates)

PURPOSE OF DATA
Support of DOA Project No. XXXXXXX – Type Certification of the fuel system of the Butterfly B104 aircraft..

APPLICABLE REQUIREMENTS (List specific sections)
14 CFR 23.951(a), (b)(1)(2), 23.955(a),(b), 23.963(a)(b)(c)(d)(e), 23.967(a)(c)

CERTIFICATION - As directed by the Administrator and in accordance with the conditions and limitations of authorization under 14 CFR, data listed above and on attached sheets numbered _____ have been examined in accordance with established procedures and found to comply with applicable requirements of the Airworthiness Standards listed.

I (We) Therefore
☐ Recommend approval of these data
☒ Approve these data

SIGNATURE(S) OF AUTHORIZED REPRESENTATIVE(S)	NAME	CLASSIFICATION	Date
Kevin Bookout	**Kevin Bookout**	Powerplant	12/20/03

(Note: If signed by more than 1 AR, it must be clearly denoted which data each AR is approving)

FAA Form 8100-9 (2-02)

APPENDIX 1. SAMPLE FORMS AND LETTERS CONTINUED
FIGURE 9. SAMPLE FAA FORM 8100-9 USED FOR DOA APPROVAL IN SUPPORT OF STC APPLICANT (REDUCED SIZE)

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
STATEMENT OF COMPLIANCE WITH AIRWORTHINESS STANDARDS

FAA Project No.
N/A

AIRCRAFT OR AIRCRAFT COMPONENT IDENTIFICATION

MAKE	MODEL NO.	TYPE (Aircraft, Engine, Propeller, etc.)	NAME OF APPLICANT/AUTHORIZATION NO.
Butterfly	B104	Airplane	STC Applicant's Name

LIST OF DATA

IDENTIFICATION	TITLE
	The Mangino Aircraft Delegation Option Authorization approves this data. This constitutes FAA approval of the data listed.
	Note: This approval covers electrical details only.
ABC Manual Rev. A 10/20/03	Converter Regulatory Installation Manual
100047 Rev A	Drawing-Converter Regulator Cooling Mod
100048 Rev C	Drawing-Scoop Assy. – Converter Regulator Cooling
	(Detail list of data - drawings, reports, etc., including revision level and dates)

PURPOSE OF DATA
Support of STC. This installation provides additional cooling to the electrical system converter-regulator.

APPLICABLE REQUIREMENTS (List specific sections)
14 CFR 23.1301, 23.1309(a), 23.1359(d)(3)

CERTIFICATION - As directed by the Administrator and in accordance with the conditions and limitations of authorization under 14 CFR, data listed above and on attached sheets numbered _____ have been examined in accordance with established procedures and found to comply with applicable requirements of the Airworthiness Standards listed.

I (We) Therefore
☐ Recommend approval of these data
☒ Approve these data

SIGNATURE(S) OF AUTHORIZED REPRESENTATIVE(S)	NAME	CLASSIFICATION(S)	Date
Adrian Peterson	**Adrian Peterson**	Elect Systems	12/20/03
Mangino Aircraft DOA	**DOA-893993-CE**		

FAA Form 8100-9 (2-02)

APPENDIX 1. SAMPLE FORMS AND LETTERS CONTINUED
FIGURE 10. SAMPLE FAA FORM 8100-9 USED FOR DOA REPAIR DATA APPROVAL (REDUCED SIZE)

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

STATEMENT OF COMPLIANCE WITH AIRWORTHINESS STANDARDS

FAA Project No.
N/A

AIRCRAFT OR AIRCRAFT COMPONENT IDENTIFICATION

MAKE	MODEL NO.	TYPE (Aircraft, Engine, Propeller, etc.)	NAME OF APPLICANT/AUTHORIZATION NO.
Butterfly	B104	Airplane	Customer/Repairer's Name

LIST OF DATA

IDENTIFICATION	TITLE
	The Mangino Aircraft Delegation Option Authorization approves this data. This constitutes FAA approval of the major repair data listed.
	The systems and equipment aspects are not included. Valid only for Butterfly B104, SN 19838
Report No. DD 99-34 Rev. A 10/20/99	Stress Report, "Fuselage Repair, C.E.C."
Drawing DD 99100032 Revision A 10/15/99	Installation Drawing, Pages 1,2,3,4,5-Fuselage Repair
	(Detail list of data - drawings, reports, etc., including revision level and dates)

PURPOSE OF DATA
Support of Major Repair S/N 19838.

APPLICABLE REQUIREMENTS (List specific sections)
CAR 3.200; .201; .202(a)(b); .260; .300; .301; .302; .303; .304(a),(b); .305; .306;, .307(c); .730(a),(b)

CERTIFICATION - As directed by the Administrator and in accordance with the conditions and limitations of authorization under 14 CFR, data listed above and on attached sheets numbered have been examined in accordance with established procedures and found to comply with applicable requirements of the Airworthiness Standards listed.

I (We) Therefore
☐ Recommend approval of these data
☒ Approve these data

SIGNATURE(S) OF AUTHORIZED REPRESENTATIVE(S)	NAME	CLASSIFICATION(S)	Date
Taj Gray	**Taj Gray**	Structures	12/20/03
Mangino Aircraft DOA	**DOA-893993-CE**		

FAA Form 8100-9 (2-02)

APPENDIX 1. SAMPLE FORMS AND LETTERS CONTINUED
FIGURE 11. SAMPLE FAA FORM 8100-9 USED FOR SFAR 36 COMPLIANCE FINDING (REDUCED SIZE)

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

STATEMENT OF COMPLIANCE WITH AIRWORTHINESS STANDARDS

FAA Project No.
N/A

AIRCRAFT OR AIRCRAFT COMPONENT IDENTIFICATION

MAKE	MODEL NO.	TYPE (Aircraft, Engine, Propeller, etc.)	NAME OF APPLICANT/AUTHORIZATION NO.
Condor	B104	Airplane	Venables Industries SFAR36-893993-SW

LIST OF DATA

IDENTIFICATION	TITLE
	NOTE: This Data approval is in support of SFAR 36 developed repair and DOES NOT constitute DER approval of the data listed herein and is not valid for any other purpose or application. **The systems and equipment aspects are not included.** **Valid only for Condor B104, SN 19838**
Report No. DD 99-34 Rev. A 10/20/99	Stress Report, "Fuselage Repair, C.E.C."
Drawing DD 99100032 Revision A 10/15/99	Installation Drawing, Pages 1,2,3,4,5-Fuselage Repair
	(Detail list of data - drawings, reports, etc., including revision level and dates)

PURPOSE OF DATA
Support of SFAR-36 Major Repair S/N 19838.

APPLICABLE REQUIREMENTS (List specific sections)
CAR 4.200; .201; .202(a)(b); .260; .300; .301; .302; .303; .304(a),(b); .305; .306;, .307(c); .730(a),(b)

CERTIFICATION - As directed by the Administrator and in accordance with the conditions and limitations of authorization under 14 CFR, data listed above and on attached sheets numbered _____ have been examined in accordance with established procedures and found to comply with applicable requirements of the Airworthiness Standards listed.

I (We) Therefore
☐ Recommend approval of these data
☒ Approve these data

SIGNATURE(S) OF AUTHORIZED REPRESENTATIVE(S)	NAME	CLASSIFICATION(S)	Date
Susan Bloyd	**Susan Bloyd**	Structures	12/20/01

(Note: If signed by more than 1 AR, it must be clearly denoted which data each AR is approving)

FAA Form 8100-9 (2-02)

APPENDIX 1. SAMPLE FORMS AND LETTERS CONTINUED
FIGURE 12. SAMPLE SUMMARY ACTIVITY REPORT
(FRONT SIDE - REDUCED SIZE)

SUMMARY ACTIVITY REPORT (To be used by DAS, DOA)

COMPANY_____
DESIGNEE_____ **NUMBER**_____
REPORTING PERIOD BEGINNING DATE: _____ **ENDING DATE:** _____

AIRWORTHINESS CERTIFICATION	ACTIVITY CODE QTY	ACTIVITY CODE QTY	ACTIVITY CODE QTY	ACTIVITY CODE QTY	ACTIVITY CODE QTY
STANDARD A/W CERTIFICATE	APIS 726	PC 727	OTM 737		
SPECIAL A/W CERTIFICATE	APIS 732	PC 733	PROTOTYPE TC 724	PROTOTYPE STC 725	OTM 740
EXPORT CERT. OF AIRWORTHINESS	APIS 728	PC 729	OTM 742		
A/W APPROVAL EXPORT TAGS	APIS/PC 730	PMA/TSO 731			
IN-PROCESS A/W INSPECTIONS	APIS/PC 736	PMA/TSO 736	OTM 743		
CONFORMITY CERT. MILITARY	APIS 734	PC 735			
MISC. DAR OTHER THAN AT MANUFACTURER	RESTR 738	SPEC FLT PMT 741	CONF. FOR FCAA 744	DOMESTIC 8130-3 FORMS 745	

Instructions and Code definitions are given in Order 1380.48

APPENDIX 1. SAMPLE FORMS AND LETTERS CONTINUED
FIGURE 12. SAMPLE SUMMARY ACTIVITY REPORT
(REVERSE SIDE - REDUCED SIZE)

SUMMARY ACTIVITY REPORT (To be used by DAS, DOA)

COMPANY _____ DESIGNEE NAME _____ DESIGNEE NO. _____

REPORTING PERIOD: BEGINNING DATE _____ ENDING DATE _____

TYPE CERTIFICATION	CODE	PROJECT NUMBER	CONFORMITIES	TAGS	TIR	REMARKS
TYPE OR TYPE AMENDMENT	113					
STC OR STC AMENDMENT	213					
DESIGN CONF. PMA	308					
DESIGN CONF. AT SUPPLIER	515					
TYPE CERTIFICATION	CODE	PROJECT NUMBER	CONFORMITIES	TAGS	TIR	REMARKS
TYPE OR TYPE AMENDMENT	113					
STC OR STC AMENDMENT	213					
DESIGN CONF. PMA	308					
DESIGN CONF. AT SUPPLER	515					

Instructions and Code definitions are given in Order 1380.48.

APPENDIX 1. SAMPLE FORMS AND LETTERS CONTINUED
FIGURE 13. SAMPLE DELEGATED ORGANIZATION SUPERVISION RECORD (FRONT SIDE - REDUCED SIZE)

U.S. Department of Transportation Federal Aviation Administration	**Delegated Organization Supervision Record**			Date:
☐ Completed By:	Office:	Type:	☐ Project Participation ☐ Routine Visit ☐ Record of Communication ☐ Corrective Action Follow-Up	
Organization Name:			Authorization Number:	
Place of Activity:			Project: (If Applicable)	
Personnel Contacted: ☐ Organization administrator Name:	☐ ARs: Names:			

Evaluation Items	SAT	UNSAT	N/A
1. Verify that the organization is performing within the limitations identified in their procedure manual. Projects have been specifically delegated by the OMT when necessary.			
2. Verify that only ARs identified in the procedure manual perform FAA functions.			
3. Verify that ARs have been selected and approved in accordance with the approved procedure manual.			
4. Verify ARs have attended all required training and are knowledgeable of all current regulations, associated policies, FAA approved procedures manual, FAA Forms and revisions required to perform their duties.			
5. Review and discuss with the ARs, changes to FAA regulations and policies since last visit.			
6. Verify ARs are performing only authorized functions within their limitations in accordance with the pertinent regulations, related policies and FAA approved procedures manual.			
7. Verify that ARs are making technically correct decisions.			
8. Review official documents and paperwork for any discrepancies.			
9. Verify that reviewed substantiating data is complete and findings of compliance have been appropriately made by authorized ARs.			
10. Verify the ARs are allowed sufficient time to study material relating to assigned duties and prepare reports and forms.			
11. Verify that information furnished to the ARs is adequate to assure inspections of parts, processes, assemblies and installations will satisfy FAA conformity requirements. (ref FAA Order 8110.4)			
12. Verify that ARs have sufficient authority within the organization to perform their authorized functions.			
13. Verify if the ARs are allowed to use electronic signature facsimile, that the MIDO/FSDO has authorized its use, and that the ARs have direct control over the use. (FAA Form 8130-3 only)			
14. Review and discuss the issuance of Airworthiness Certificates in accordance with applicable sections in FAA Order 8130.2 and Part 21.			
15. Review and discuss Certification Procedures and review documents in accordance with the applicable ACs and FAA Orders. (e.g. PNL, Conformity inspection reports, TIR/STIR, STC etc)			
16. Verify the organization is performing self-evaluations and implementing corrective action to prevent reoccurrence as required by their procedures manual.			
17. Verify the organization has implemented corrective action for conditions identified by the FAA.			
18. Other:			

☐ Corrective Action Required-(Describe in Items Requiring Corrective Action Block)

☐ Organization administrator or AR notified of findings identified on this record (Optional):

Name: _____

APPENDIX 1. SAMPLE FORMS AND LETTERS CONTINUED
FIGURE 13. SAMPLE DELEGATED ORGANIZATION SUPERVISION RECORD (REVERSE SIDE - REDUCED SIZE)

Summary of Visit or Communications:
Notable Conditions Encountered:
Items Requiring Corrective Action:
☐ **Corrective Action Verified:** **Date:**_____ **Name:**_____
(If additional space is needed, continue on plain paper and attach it to this form).
INSTRUCTIONS A. Type (or legibly print) all information B. This record will be completed by any OMT member as a record of oversight activity. C. The entries for the top block are self-explanatory. D. For item blocks evaluated, rate each item as "Satisfactory", "Unsatisfactory" or "Not Applicable". If items were not evaluated as part of the activity, leave the item blank. Items rated as Unsatisfactory or other items requiring corrective action must be described in the "Items Requiring Corrective Action" block. E. Record other entries as required.

APPENDIX 1. SAMPLE FORMS AND LETTERS CONTINUED
FIGURE 14. SAMPLE EVALUATION NOTIFICATION LETTER

U.S. Department
of Transportation

Federal Aviation Administration

[Date]

[Organization's Name]
[Address]

The Federal Aviation Administration (FAA), has scheduled an evaluation of your (DAS/DOA/SFAR) Authorization. Your authorization was approved by the FAA contingent upon the FAA's right to evaluate and inspect your organization, facilities, products, articles, and records.

The evaluation is scheduled from (start date) to (end date) in accordance with the Delegated Organization Evaluation Program described in FAA Order 8100.9. This evaluation will be broad based in nature, and will encompass elements such as project management, design approval, testing, conformity inspection, and technical assessment of the approvals and findings made by your organization. Procedures and records will be examined in addition to "hands-on" witnessing of relevant system processes.

The FAA evaluation team will consist of approximately (total number) members. The FAA team leader designated for this evaluation is Mr./Ms. (name) who may be reached at (telephone number). His/her address is: (office address).

Please inform Mr./Ms. (name of team leader) of all security requirements for this facility so that appropriate clearances can be obtained. In addition, please provide the name, title, address, and telephone number of the individual who will serve as the your point of contact for this evaluation.

Attendance by a representative of senior management responsible for the facility to be evaluated, and cognizant technical and supervisory personnel, is requested during the pre- and post-evaluation conferences. We further suggest that escorts who are knowledgeable of the various areas to be visited be provided to ensure the evaluation is conducted smoothly and with minimum disruption to your staff.

If you have any questions concerning the scheduling of this evaluation, please feel free to contact me. If you have any questions concerning the conduct of the evaluation, please contact the (team leader/principal evaluator) Mr./Ms. (name of team leader/principal evaluator), at the above address and telephone number.

APPENDIX 1. SAMPLE FORMS AND LETTERS CONTINUED
FIGURE 15. SAMPLE DAS/DOA/SFAR 36 EVALUATION DISCREPANCY RECORD

Authorization Holder:	**Authorization No.:**
Related Criteria No. _____	**Safety Related Yes ☐ No☐**

Type of Discrepancy (Check One)

☐ **Airworthiness Standard Non-compliance**

☐ **Regulatory Non-compliance -- Regulation _____**

☐ **Procedure manual non-compliance** ☐ **Technical Discrepancy**

☐ **FAA Policy Non-Compliance** ☐ **Procedure Manual Discrepancy**

☐ **Special Emphasis Items**

Required Condition:

Encountered Condition:

Evaluator's Name:_____ **Date:_____**

Office:_____ **Phone No.:_____**

Authorization Holder Representative:

_____

Signature above signifies understanding of issue not necessarily concurrence. **Date:_____**

APPENDIX 1. SAMPLE FORMS AND LETTERS CONTINUED
FIGURE 16. SAMPLE EVALUATION REPORT COVER SHEET

Delegated Organization Evaluation Program Report

Stoops Airlines
DAS-843132-NM

Conducted Jul 17-20, 2003

Evaluation Team Leader: Jason White, ANM-120L

Evaluation Team:

Antonio Perkins, ANM-130L
Quentin Griffin, ANM-120L
Stacey Dales, LA AEG
Sherri Coale, ANM-108L
Teddy Lehman, ANM-110

APPENDIX 1. SAMPLE FORMS AND LETTERS CONTINUED
FIGURE 17. SAMPLE EVALUATION SURVEY SHEET
(FRONT SIDE - REDUCED SIZE)

Delegated Organization Evaluation Survey and Recommendations	Evaluated Organization:	Authorization Number:
Dates of Evaluation:	Team Leader Name	Office Symbol

Satisfactory | Unsatisfactory | Not Applicable | Not Evaluated

1. Organization and Responsibility

- 1-1 Procedure Manual Content
- 1-2 Procedure Manual Maintenance
- 1-3 Procedure Manual Compliance
- 1-4 Operating Within Authority
- 1-5 Continues to Meet Eligibility Requirements
- 1-6 FAA Notification of Changes
- 1-7 Staff Authority
- 1-8 Provides In-house Training
- 1-9 Staff Attends FAA Training
- 1-10 Record Retention
- 1-11 Documentation
- 1-12 Self Evaluation Procedures
- 1-13 AR Selection Procedures
- 1-14 AR Qualifications
- 1-15 Trainee Processes
- 1-16 Test AR Identification
- 1-17 FAA Inspection

2. Project Management

- 2-1 Certification Basis
- 2-2 Program Notification
- 2-3 Determination of Significance
- 2-4 Conformity Plan
- 2-5 Certification Plan
- 2-6 AD Evaluation
- 2-7 Cert Plan Compliance
- 2-8 Notification of Changes
- 2-9 Cert Basis Decisions
- 2-10 Cert Basis Appropriateness
- 2-11 Special Conditions/Exemptions
- 2-12 Equivalent Safety Findings
- 2-13 PNL Coordination
- 2-14 PNL Response
- 2-15 PNL Response Compliance
- 2-16 AD Evaluation
- 2-17 Internal Project Coordination
- 2-18 Resolution of Significant Issues
- 2-19 AR Communication
- 2-20 Compliance Inspections
- 2-21 Flight Manuals/Supplements
- 2-22 Type Inspection Authorization
- 2-23 Type Inspection Report
- 2-24 Approval of Data Changes
- 2-25 AR Project Coordination
- 2-26 ICA Acceptance
- 2-27 Type Certificate Verification
- 2-28 STC Completion

3. Design Data Approval

- 3-1 Design Drawings, Substantiation
- 3-2 Drawing Completeness
- 3-3 Compliance Data
- 3-4 Type Design Data Control
- 3-5 Change Classification
- 3-6 Drawing Control System
- 3-7 Data Approval
- 3-8 Means of Compliance
- 3-9 Certification Plan Sufficiency
- 3-10 Materials and Process Specifications
- 3-11 Data Adequacy
- 3-12 Changes to Type Design
- 3-13 Manufacturing Deviations
- 3-14 System Safety Assessments
- 3-15 Test Plans
- 3-16 Flight Manual Completeness
- 3-17 Minor Change Approval
- 3-18 Incorporation of ADs
- 3-19 Software Configuration Management
- 3-20 Software Verification
- 3-21 Software Configuration Index
- 3-22 Software Problem Resolution
- 3-23 Computer Program Protection
- 3-24 Software Development

APPENDIX 1. SAMPLE FORMS AND LETTERS CONTINUED
FIGURE 17. SAMPLE EVALUATION SURVEY SHEET
(REVERSE SIDE - REDUCED SIZE)

Delegated Organization Technical Evaluation Survey and Recommendations	Evaluated Organization:	Authorization Number:

Satisfactory | Unsatisfactory | Not Applicable | Not Evaluated

4. Conformity Inspection and Records
- 4-1 Statement of Conformity
- 4-2 Documentation of Conformity Inspections
- 4-3 Inspection Equipment Calibration
- 4-4 Conformity Inspection Records
- 4-5 Supplier Inspection
- 4-6 Disposition of Non-conforming Parts
- 4-7 Software Marking
- 4-8 Special Process Coordination
- 4-9 Multiple Installation Data
- 4-10 Conformity of Parts
- 4-11 Conformity Procedures
- 4-12 Compliance with Conformity Plan
- 4-13 Rationale for Conformity Inspections
- 4-14 Conformity Discrepancies

5. Testing
- 5-1 Compliance Testing
- 5-2 Test Plans
- 5-3 Pre-test Conformity
- 5-1 Compliance Testing
- 5-2 Test Plans
- 5-3 Pre-test Conformity
- 5-4 Disposition of Non-conformities
- 5-5 Test Equipment Accuracy
- 5-6 Test Results Documentation
- 5-7 Test Discrepancies
- 5-8 Unsafe Feature Identification

6. Airworthiness Certification
- 6-1 Application
- 6-2 Limitations and Conditions
- 6-3 Proper Airworthiness Certificates
- 6-4 Incorporation of ADs
- 6-5 Disposition of Discrepancies
- 6-6 Coordination of Export Approvals
- 6-7 Export Approvals
- 6-8 Required Data
- 6-9 Airworthiness Approval Tags

Satisfactory | Unsatisfactory | Not Applicable | Not Evaluated

7. Flight Testing
- 7-1 Flight Safety Program
- 7-2 Compliance with Airworthiness Standards
- 7-3 Type Inspection Authorization
- 7-4 Type Inspection Report

8. Continued Airworthiness
- 8-1 Instructions for Continued Airworthiness
- 8-2 Development of ICA
- 8-3 Inspection Criteria
- 8-4 In-service Feedback
- 8-5 Investigation of Service Problems
- 8-6 AD Corrective Action
- 8-7 Service Difficulty Records
- 8-8 Service information
- 8-9 Follow-on Lifecycle Testing
- 8-10 Approval of Service Bulletins and Manuals
- 8-11 Submittal of Manuals
- 8-12 Investigation of Unsafe Conditions

APPENDIX 1. SAMPLE FORMS AND LETTERS CONTINUED
FIGURE 18. SAMPLE EVALUATION REPORT TRANSMITTAL LETTER

U.S. Department
of Transportation

**Federal Aviation
Administration**

[Date]

[Organization's Name]
[Address]

Stoops Airlines
Designated Alteration Station - DAS-843132-NM
Technical Evaluation Report

Enclosed is the Federal Aviation Administration (FAA) report as a result of the evaluation conducted of your Designated Alteration Station (DAS) authorization. This report formally documents the results we discussed with you and your DAS staff during our visit.

We reviewed four DAS Supplemental Type Certificates and your compliance with approved procedures. As a result, there were two Procedural Manual Non-compliances, and four Technical Discrepancies. Each item is listed in detail in the enclosed report and requires your attention. Procedures manual non-compliance No. 3 and technical discrepancy No. 1 require the development of corrective action on your part. Please investigate these conditions, including a root cause analysis and notify us of proposed corrective action within 30 days.

We appreciate you and your staff's professional attitude, cooperation, and sincere interest in maintaining a high standard of aviation safety. And, we appreciate the hospitality shown to our team during our visit.

Should you have any questions or concerns after reviewing the enclosed report, please contact Jason White, telephone (425) 555-0896.

CC: AIR-140

APPENDIX 2. SAMPLE DAS, DOA, SFAR 36 PROCEDURES MANUAL

DAS, DOA and SFAR 36 organizations are required to utilize the authority and privileges in accordance with procedures which have been approved by the FAA. These procedures must be identified in an approved procedure manual. This appendix specifies the acceptable content and arrangement for a procedure manual. Additional requirements for each type of procedure manual are found in chapters 6 through 8 of this order. Additional information, procedures, and entries are subject to review and concurrence by the FAA. Supplementary information to assist the organization in the development of their specific procedure manual is presented in this example in italics. Specific places in the sample manual that relate to only one type of delegation (DAS/DOA/SFAR 36), or places where the delegation would be required to expand upon the example given, are identified by capitalized and italicized text in parenthesis. Authorization holders should also ensure their procedure manual prescribes processes which will satisfy the requirements for personnel qualifications and approvals.

I. TITLE PAGE.

(INSERT COMPANY NAME)
(INSERT AUTHORIZATION NUMBER)
(INSERT COMPANY ADDRESS)

DAS/DOA/SFAR 36 *(CHOOSE ONE)*
PROCEDURE MANUAL

SUBMITTED BY:

_____
(COMPANY'S) FAA-APPROVED ADMINISTRATOR

DATE:_____

APPROVED BY:

_____
MANAGER, *(COGNIZANT)* AIRCRAFT CERTIFICATION OFFICE
FEDERAL AVIATION ADMINISTRATION
(REGION)

DATE APPROVED_____

APPENDIX 2. SAMPLE DAS, DOA, SFAR 36 PROCEDURES MANUAL (CONTINUED)

(COMPANY NAME, AUTHORIZATION NUMBER) Page Number _____
DAS/DOA/SFAR 36 PROCEDURES MANUAL Revision Number_____
Date _____

II. TABLE OF CONTENTS.

Paragraph

I. Title Page
II. Table of Contents
III. Log of Revisions
IV. List of Effective Pages
V. Manual Control
VI. Facility Description (*DAS ONLY*)

1. Preface and Introduction
2. Company Management Responsibilities
3. Company Administrator and AR Duties and Responsibilities
4. Personnel Qualifications and Approval
5. Training of Personnel
6. Self-Evaluation Responsibilities
7. Duration of Authorization
8. Maintenance of Eligibility
9. Transferability
10. Inspections
11. Ratings and Limitations
12. Service Difficulties
13. Procedures (See appropriate section from chapters 6 through 8)
14. Records Maintenance
15. Manufacturing Activity Reporting
16. Appendices

A. Letter of Appointment
B. Forms
C. Company and Delegation Organizational Chart
D. Authorized Representatives

APPENDIX 2. SAMPLE DAS, DOA, SFAR 36 PROCEDURES MANUAL (CONTINUED)

(COMPANY NAME, AUTHORIZATION NUMBER)
DAS/DOA/SFAR 36 PROCEDURES MANUAL

Page Number _____
Revision Number _____
Date_____

III. LOG OF REVISIONS.

Revision Level	Page Number(s)	Revision Description	FAA Approval Date

APPENDIX 2. SAMPLE DAS, DOA, SFAR 36 PROCEDURES MANUAL (CONTINUED)

(COMPANY NAME, AUTHORIZATION NUMBER) Page Number _____
DAS/DOA/SFAR 36 PROCEDURES MANUAL Revision Number_____
Date _____

IV. LIST OF EFFECTIVE PAGES.

A list of effective pages is not necessary if the authorization holder elects to reprint and paginate the entire document when revisions are incorporated. Each page must note the proper revision level.

Please insert the revised pages into this manual and delete the obsolete pages in accordance with the following list of effective pages. Revised pages are indicated by the letter "R," added pages by the letter "A," and deleted pages by the letter "D." Superseded and deleted pages shall be removed from the manual but retained in a separate file.

The list of effective pages records not only each page of subject revision but also each previously issued page that is still current. Blank pages and pages that are no longer current do not appear on this list. If there is any question about the currency of the recipient's copy, it is recommended that each page in the manual be checked against this list of effective pages. Any page that does not appear on the list of effective pages should be removed.

Page Number	Revision Number	Revision Date

APPENDIX 2. SAMPLE DAS, DOA, SFAR 36 PROCEDURES MANUAL (CONTINUED)

(COMPANY NAME, AUTHORIZATION NUMBER)
DAS/DOA/SFAR 36 PROCEDURES MANUAL

Page Number _____
Revision Number _____
Date_____

V. MANUAL CONTROL.

a. FAA CONTROL.

(1) *(INSERT COMPANY'S METHOD OF DOCUMENT CONFIGURATION CONTROL HERE)*

(2) All revisions to this manual will be submitted by the company's FAA-approved administrator and approved by the FAA Administrator (address below) prior to incorporation into the manual.

(3) *(INSERT AIRCRAFT CERTIFICATION OFFICE ADDRESS)*

b. *(INSERT COMPANY NAME)* **CONTROL.**

(1) The administrator will be responsible for manual updates and distribution. Upon identification of the need for a revision to the manual, the administrator will initiate such revision by submitting the revision, along with the Log of Revisions and List of Effective Pages, to the OMT for approval. The OMT will indicate approval by signing and dating the Log of Revisions page (and inserting the effective date on each of the revised pages if applicable). The OMT will return the signed Log of Revisions.

(2) *(INSERT COMPANY'S PROCEDURE FOR MANUAL CONTROL).*

(3) *(INSERT A LIST OF WHOM IS TO RECEIVE THE MANUAL AND MANUAL UPDATES).*

VI. FACILITY DESCRIPTION. *(DAS ONLY)*

(INSERT A DESCRIPTION OF THE DAS AUTHORIZATION HOLDER'S ALTERATION AND SUPPORT FACILITIES)

APPENDIX 2. SAMPLE DAS, DOA, SFAR 36 PROCEDURES MANUAL (CONTINUED)

(COMPANY NAME, AUTHORIZATION NUMBER) Page Number _____
DAS/DOA/SFAR 36 PROCEDURES MANUAL Revision Number_____
Date _____

1. PREFACE AND INTRODUCTION.

a. *(INSERT MANAGEMENT/FAA MOU)*

b. *(INSERT COMPANY NAME)* has the authority to issue supplemental type certificates, issue special airworthiness certificates in the experimental category for show compliance, and amend standard airworthiness certificates in accordance with 14 CFR part 21, subpart M and *(INSERT COMPANY NAME)* FAA-approved Designated Alteration Station Procedures Manual. This manual sets forth the procedures used by *(INSERT COMPANY NAME)* to develop and use major alteration engineering data to accomplish the above. The FAA Administrator is defined as the cognizant aircraft certification office. (*DAS ONLY)*

-or-

c. This procedure manual establishes the company responsibilities and procedures to be followed when performing the certification and airworthiness activities authorized by the FAA under the Delegation Option Authorization Procedures of 14 CFR part 21, subpart J. This includes Type Certification, Airworthiness Certification, and Production Certificate management of products as limited by 14 CFR § 21.231, as applicable. *(DOA ONLY)*

-or-

d. *(INSERT COMPANY NAME)* may approve an [aircraft, airframe, aircraft engine, propeller or appliance] *(INSERT WHAT IS APPLICABLE)* for return to service after accomplishing a major repair if the data used for the repair was developed by *(INSERT COMPANY NAME)* in accordance with SFAR 36 authorization. (SFAR 36, paragraph 3). This manual sets forth the procedures used by *(INSERT COMPANY NAME)* to develop and use major repair data that are not specifically approved by the FAA Administrator. The FAA Administrator is defined as the cognizant aircraft certification office (SFAR 36, paragraph 3). SFAR 36 is applicable to major repair ONLY. (*SFAR 36 ONLY)*

e. All formal communications with the FAA will be conducted with *(INSERT THE NAME AND TELEPHONE NUMBER OF THE COMPANY ADMINISTRATOR)*.

2. COMPANY MANAGEMENT RESPONSIBILITIES.

This section should explain the company management responsibilities. The management is responsible for establishing corporate policies that will not conflict with FAA regulations or policy. The management is responsible to remain independent of, and not interfere with, the findings and activities conducted under the DOA/DAS/SFAR 36 authority. The management is

APPENDIX 2. SAMPLE DAS, DOA, SFAR 36 PROCEDURES MANUAL (CONTINUED)

responsible to provide and maintain adequate qualified personnel to accomplish the delegated activities. The management is responsible to provide the necessary support and personnel when internal and FAA audits are being accomplished. Management is responsible to ensure all personnel receive the training required by FAA Order 8100.9. (INSERT COMPANY MANAGEMENT RESPONSIBILITIES)

3. COMPANY ADMINISTRATOR AND AR DUTIES AND RESPONSIBILITIES.

a. Company administrator responsibilities. *(INSERT COMPANY ADMINISTRATOR (S) NAME (s))* is the focal point for the organization, and has the primary responsibility and authority for assuring compliance with FAA regulations, policy, guidance and directives. All forms the administrator is authorized to sign are to be listed in appendix D. The administrator(s) will have primary responsibility for all certification management. All formal incoming and outgoing FAA correspondence will be directed to and from *(INSERT COMPANY ADMINISTRATOR(S) NAME(S) AND OFFICE).*

b. AR responsibilities. Individual ARs are responsible for preparing reports concerning the type certification activities and airworthiness activities. All forms and who is authorized to sign them are to be listed in appendix D. To have official FAA approval status, documents will be signed by the individual AR and contain the assigned delegation number. The manner and form of these reports, documents, forms will be in accordance with current FAA policy.

c. The administrator(s) has authorized certain AR personnel to approve documents, certificates, statements and forms. Signature authorities and all authorized functions are identified in appendix D of this manual. *(THIS SECTION SHOULD DETAIL THE ESTABLISHED PROCEDURES TO BE FOLLOWED)*

d. Function, responsibilities, and authority in appendix D identify each Engineering AR, Flight Test Pilot AR, and Inspection AR (as applicable). Some functions identified in appendix D require the signature of Inspection ARs whose responsibilities and authorities are clearly defined. The authorized functions for the various Engineering ARs are also shown in the charts contained in appendix D.

4. PERSONNEL QUALIFICATIONS/APPROVAL.

a. (INSERT COMPANY NAME) will determine that proposed ARs are qualified to make findings of compliance. AR changes require approval by the FAA. Prior to submitting a proposed staff member to the FAA for consideration, *(INSERT COMPANY NAME)* will evaluate proposed ARs using the qualification criteria in Order 8100.8, as applicable to individual designees performing similar functions. *(DEFINE PROCEDURES TO EVALUATE PROPOSED STAFF MEMBERS)*

APPENDIX 2. SAMPLE DAS, DOA, SFAR 36 PROCEDURES MANUAL (CONTINUED)

b. AR Trainees. *(INSERT PROCEDURES FOR AR TRAINEE DEVELOPMENT)*

5. TRAINING OF PERSONNEL. The AR personnel identified in appendix D must receive training in accordance with the requirements of Order 8100.9. *(INSERT PROCEDURES FOR IDENTIFYING AND DEFINING TRAINING PROCEDURES FOR BOTH FAA AND COMPANY AR TRAINING)*

6. SELF-EVALUATION RESPONSIBLITIES.

a. Self-Evaluations will be performed *(INSERT EVALUATION FREQUENCY)*.

b. Self-Evaluations will consist of *(INSERT DETAILED EVALUATION REQUIREMENTS)*. The evaluation report will consist of *(INSERT DETAIL REQUIREMENTS FOR AUDIT REPORT)*.

c. Follow-up of evaluation corrective actions will be performed *(INSERT FREQUENCY OF CORRECTIVE ACTION FOLLOW-UP)*.

7. DURATION OF AUTHORIZATION. The authorization to *(INSERT COMPANY NAME)* issued under 14 CFR is effective until it is surrendered or the FAA Administrator suspends, revokes, or otherwise terminates it at an earlier date.

8. MAINTENANCE OF ELIGIBILITY. *(INSERT COMPANY NAME)* will continually meet the requirements of this authorization or notify the FAA OMT within 48 hours of any change that affects *(INSERT COMPANY NAME)* ability to maintain eligibility under the requirements of 14 CFR. Functions affected by any change WILL NOT be performed until the FAA approves the change.

9. TRANSFERABILITY. This authorization is not transferable.

10. INSPECTIONS. Upon request, *(INSERT COMPANY NAME)* shall allow the FAA to inspect the facilities, products, and records related to the projects performed under this authorization at the FAA's request.

11. RATINGS AND LIMITATIONS. *(DAS ONLY)*

a. Ratings. The ratings associated with this DAS Authorization shall not exceed those contained in Air Agency Certificate No. *(INSERT REPAIR STATION CERTIFICATE NUMBER)* and its associated Operations Specifications, issued to *(INSERT COMPANY NAME)* at *(INSERT COMPANY ADDRESS)*. This Certificate must

APPENDIX 2. SAMPLE DAS, DOA, SFAR 36 PROCEDURES MANUAL (CONTINUED)

be maintained and in effect as a prerequisite for continued operation under this authorization in accordance with 14 CFR.

b. Limitations.

(1) *(INSERT DAS NAME)* shall obtain FAA concurrence on the application of all equivalent safety provisions.

(2) *(INSERT DAS NAME)* shall obtain FAA concurrence before accomplishing an alteration that affects any Airworthiness Directive requirements or airworthiness limitations.

(3) *(INSERT DAS NAME)* shall obtain FAA approval for any alteration that affects aircraft noise, fuel venting, or exhaust emissions.

c. Scope of Authorization. ***(INSERT LIST OF PRODUCT MODELS/TYPES OF PROJECTS AUTHORIZED)***

11. RATINGS AND LIMITATIONS. *(SFAR 36 ONLY)*

a. Product Limitations. *(INSERT A STATEMENT OF PRODUCT LIMITATIONS PLACED ON THE COMPANY)*

b. Repair Data Limitations. *(INSERT A STATEMENT OF REPAIR DATA LIMITATIONS)* FAA engineering approval is required:

(1) Before the use of all equivalent safety provisions are applied under 14 CFR § 21.21.

(2) Before the use of data procured from specialized services not part of *(INSERT COMPANY NAME)* facility.

(3) Before the use of data concerning a repair that may result in an acoustical or emissions change in the product.

(4) Before accomplishing a repair that affects any Airworthiness Directive requirements (14 CFR part 39).

(5) Before the use of data concerning repairs to life-limited items.

(6) *(INSERT ANY ADDITIONAL LIMITATIONS)*

APPENDIX 2. SAMPLE DAS, DOA, SFAR 36 PROCEDURES MANUAL (CONTINUED)

12. SERVICE DIFFICULTIES. The reporting of failures, malfunctions, and defects will be consistent with 14 CFR § 21.3 and other applicable reporting requirements. *(INSERT COMPANY'S TIMEFRAME FOR AND DOCUMENTATION OF METHOD FOR RESOLVING SERVICE DIFFICULTY ISSUES)*

a. If the FAA Administrator finds that a product for which data was developed under this authorization does not meet the applicable airworthiness requirements, or that an unsafe feature or characteristic exists, *(INSERT COMPANY NAME)*, upon notification by the FAA Administrator, shall investigate the matter and report to the FAA Administrator the results of the investigation and the action, if any, taken or proposed.

b. If corrective action by the user of the product is necessary for safety because of any noncompliance or defect specified in the paragraph above, *(INSERT COMPANY NAME)* shall submit the information necessary for the issuance of an Airworthiness Directive under 14 CFR part 39.

13. PROCEDURES. *(SEE APPLICABLE REQUIREMENTS FROM CHAPTERS6 THROUGH 8)*

14. RECORDS MAINTENANCE.

a. Manual Revision. Upon identification of the need for a revision to this manual, the company administrator will initiate such revision by submitting the revision, along with the Log of Revisions and List of Effective Pages, to the ACO for approval. The ACO will indicate approval by signing and dating the Log of Revisions page (and inserting the effective date on each of the revised pages if applicable). The ACO will return the signed Log of Revisions. A vertical bar in the right-hand margin will indicate revised text.

b. Maintenance of Current Records. For each product for which (INSERT COMPANY NAME) has been issued a TC under 14 CFR part 21, subpart J, a technical data file that includes any data and amendments thereto (including drawings, photographs, specifications, instructions, and reports) necessary for the TC will be maintained at the (INSERT DOA NAME) facility. A list of projects by make, model, manufacturer's serial number and, if applicable, any FAA identification, that have been manufactured under this authorization will be maintained. In addition a file of information from all available sources of difficulties on products manufactured under this authorization will also be maintained (INSERT SPECIFIC PROCEDURES FOR MAINTAINING PROJECT LIST). (DOA ONLY)

APPENDIX 2. SAMPLE DAS, DOA, SFAR 36 PROCEDURES MANUAL (CONTINUED)

b. Maintenance of Current Records. For each product for which (INSERT COMPANY NAME) has issued an STC under 14 CFR part 21, subpart M, a technical data file that includes any data and amendments thereto (including drawings, photographs, specifications, instructions, and reports) necessary for the STC will be maintained at the (INSERT DAS NAME) facility. A list of projects by make, model, manufacturer's serial number and, if applicable, any FAA identification, that have been altered under this authorization will be maintained. In addition a file of information from all available sources of difficulties on products altered under this authorization will also be maintained (INSERT SPECIFIC PROCEDURES FOR MAINTAINING PROJECT LIST). (DAS ONLY)

b. Maintenance of Current Records. For each product for which *(INSERT COMPANY NAME)* has developed and used major repair data, a technical data file that includes any data and amendments thereto (including drawings, photographs, specifications, instructions, and reports) necessary for the major repair will be maintained at *(INSERT COMPANY NAME)*. A list must be maintained of all repairs to products by make, model, manufacturer's serial number and, if applicable, any FAA identification, that have been repaired under this authorization. A file of information from all available sources of difficulties on products repaired under SFAR 36 must be maintained. *(DEFINE THE COMPANY PROCEDURE FOR MAINTAINING RECORDS) (SFAR 36 ONLY)*

c. Retention of Records. All data files for type certification, inspection, and airworthiness accomplished under *(INSERT COMPANY NAME)* authorization shall be retained indefinitely and shall be sent to the FAA Administrator as soon as *(INSERT COMPANY NAME)* no longer utilizes them. *(DOA ONLY)*

c. Retention of Records. All data files for major alterations accomplished under *(INSERT COMPANY NAME)* authorization shall be retained indefinitely and shall be sent to the FAA Administrator as soon as *(INSERT COMPANY NAME)* no longer utilizes them. *(DAS ONLY)*

c. Retention of Records. All data files for repairs accomplished under this SFAR 36 authorization shall be retained indefinitely or shall be sent to the FAA Administrator as soon as *(INSERT COMPANY NAME)* no longer utilizes them. *(SFAR 36 ONLY)*

d. STC Transfer of Ownership. The (INSERT COMPANY NAME) DAS issued STC will be transferred, if necessary, in accordance with the procedures in 14 CFR § 21.47 and FAA Order 8110.4. A complete data package with all drawings, specifications, instructions, and reports, will be provided to the new owner of the STC. A

APPENDIX 2. SAMPLE DAS, DOA, SFAR 36 PROCEDURES MANUAL (CONTINUED)

copy of the same data will be sent to the appropriate ACO, along with the original STC (endorsed on page 2), and a transmittal letter requesting the transfer of ownership. *(DAS ONLY)*

15. MANUFACTURING ACTIVITY REPORTING. *(INSERT COMPANY NAME)* will submit manufacturing summary information reports for manufacturing/airworthiness work performed by the organization. The reports will be submitted to the managing MIDO *(INSERT FREQUENCY OF REPORTS). (DAS/DOA ONLY)*

16. APPENDICES.

APPENDIX A – Letter of Appointment. *(INSERT A COPY OF THE FAA LETTER OF APPOINTMENT)*

APPENDIX B – Forms. *(INSERT A COPY OF EACH FORM USED BY THE AUTHORIZATION HOLDER, INCLUDING FAA FORMS)*

APPENDIX C – Organizational Chart. *(INSERT A COPY OF AUTHORIZATION HOLDERS ORGANIZATIONAL CHART FOR THEIR APPROVED STAFF MEMBERS)*

APPENDIX D – Authorized Representatives. *This appendix must contain summaries of delegated functions and authorized areas, and provide sample signatures of the authorized personnel. Each individual authorized by the organization to perform certification functions should be included. Provide a table, as follows, which includes the names of authorized individuals, signatures, position title, and authorized functions:*

NAME	SIGNATURE	TITLE	AUTHORIZATION/ FUNCTION CODES*	FORMS (as applicable)

**Delegated functions and authorized areas for ARs should be patterned and be equivalent to the functions and charts shown in FAA Order 8100.8. There should be provided a chart for each of the engineering functions, as applicable:*

NOTE: Signatures may be maintained in a separate documented file and controlled by the administrator.

APPENDIX 3. CERTIFICATION PLANS

FIGURE 1. DAS CERTIFICATION PLANS

The certification plan for DAS certification projects should address the following elements:

a. Description of the type design change including significant features. Identification of any new design or process areas.

b. The DAS proposed certification basis, i.e., the airworthiness requirements including amendment levels that are considered to be applicable, and noise and emission requirements.

c. A compliance checklist showing proposed means of compliance (laboratory testing, ground testing, flight-testing, analysis, similarity, etc.) and the responsible ARs with appropriate authorizations for each of the regulations.

d. Identification of where and how the type design data and compliance substantiation data will be documented.

e. Discussion of design, certification, and production responsibilities with domestic and non-domestic suppliers.

f. State if any novel or unusual features are involved.

g. State if ground and /or flight-testing are required.

h. The proposed Airworthiness Certificate Category for Flight Testing.

i. A proposed schedule of major events/milestones.

j. State if Instructions for Continued Airworthiness (ICA) are affected and which Manuals (Maintenance, Wiring Diagram, IPC, etc.) are planned to be issued or revised.

k. State if an Airplane Flight Manual Supplement is required or will be revised.

l. State how equipment is approved. For example: RTCA/DO-160( ), TSO, RTCA/DO-178( ), etc.

m. If alteration will not be accomplished at the DAS facility, provide information on the facility where the alteration will be accomplished.

n. Proposed compliance method(s) and how the DAS intends to demonstrate the operational aspects of:

(1) STC testing of modifications accomplished to an aircraft for determining operational suitability in meeting the operational regulatory requirements.

(2) DAS recommended aircraft maintenance manual and maintenance program changes for acceptable compliance with ICA requirements, if required.

(3) Aircraft Flight Manual Supplements.

(4) Proposed changes to master minimum equipment lists, if required; Proposed Flight Crews Operating Manual Procedures, if required.

(5) Proposed flight crew training requirements, if required.

(6) Emergency Evacuation demonstrations, if necessary.

APPENDIX 3. CERTIFICATION PLANS (CONTINUED)

FIGURE 2. DOA CERTIFICATION PLANS

The certification plan for DOA certification projects should address the following elements:

a. Description of the type design or type design change, including significant features. Identification of any new design or process areas.

b. The airworthiness requirements including amendment levels that are considered to be applicable.

c. A compliance checklist showing proposed means of compliance (laboratory testing, ground testing, flight-testing, analysis, similarity, etc.) and the responsible ARs with appropriate authorizations for each of the regulations.

d. Identification of where and how the type design data and compliance substantiation data will be documented.

e. State if any novel or unusual features are involved.

f. State if ground and /or flight-testing are required.

g. The proposed Airworthiness Certificate Category for Flight-Testing other than show compliance.

h. A proposed schedule of major events/milestones.

i. State which Manuals (Maintenance, Wiring Diagram, IPC, etc.) are planned to be issued or revised.

j. State if an Airplane Flight Manual Supplement is required or will be revised.

k. State how equipment is approved. For example: RTCA/DO-160( ),. TSO, RTCA/DO-178( ), etc.

APPENDIX 4. SAMPLE CONFORMITY PLAN

PART I FAA CONFORMITY PLAN	DATE:	Plan Revision level:
a. Applicant name:	b. Project number:	
b. Aircraft model(s) to be modified:		
c. General Description of project:		

PART II Names of focal points for project:	
a. Quality Assurance:	
b. Test & Evaluation:	
c. Engineering:	
d. Inspection AR(s)	Part conformity:
	Installation conformity:
	TIA/STIR:
e. Engineering AR(s)	

PART III General Information			
a. Is an FAA Approved Repair Station doing the modification?		YES	NO
b. List the location(s) where the modification and installation will be done:			
c. Describe the maintenance requirements needed for maintaining the aircraft during the project:			
d. Aircraft Information	Is Aircraft U.S. Registered	YES	NO
	List Aircraft Registration Number		
	STC Notification letter for Foreign Registered Aircraft and Validation/Acceptance of In-process STC	Date Letter Sent by FAA:	Date Reply Received from CAA:

APPENDIX 4. SAMPLE CONFORMITY PLAN (CONTINUED)

CONFORMITY PLAN Part IV Inspections systems		
a. Describe the type of planning, travelers, work orders, etc. used for inspection:		
b. Are suppliers going to be used for the project?	**YES**	**NO**
c. If so, describe the supplier(s) and their involvement in the project:		
d. Is the supplier(s) quality system(s) approved by applicant?	**YES**	**NO**
e. Are the supplier(s) special processes approved for this project?	**YES**	**NO**
f. If the suppliers are not approved for the special processes explain how will they be approved:		

Part V Applicant Conformity Inspections		
a. List company inspection procedures to be used to perform Conformity Inspection:		
b. Are these procedures equivalent to the conformity inspection criteria in FAA Order 8110.4 Chapter 5?	**YES**	**NO**
c. If not, what alternative procedures will be used to ensure the same level of inspections are made by the applicant?		
d. Name of person(s) from the applicant responsible to sign the 8130-9 Statement of conformity in accordance with 14 CFR §§ 21.50 and 21.33: ***If delegated to applicant's supplier applicant must submit a letter of delegation in accordance with 8110.4 chapter 5. Applicant must assure the same level of conformity inspection is performed as outlined in 8110.4.***		

APPENDIX 4. SAMPLE CONFORMITY PLAN (CONTINUED)

CONFORMITY PLAN Part VI FAA Conformity Inspections Identification and Tracking
a. Name of AR(s) responsible to generate the 8120-10 request for conformity for this project:
b. Explain how the 8120-10s will be coordinated with the ARs
c. Explain how the applicant will track the initiation and completion of Conformity Inspections:
d. Name of person (s) responsible to track the conformity inspections for the applicant:

Part VII Conformity Description	
a. Part conformity	**Description of parts and assemblies to be conformed:**
b. Installation conformity	**Description of parts / assemblies / equipment / engines requiring installation conformity:**
c. Test conformity	**Description of test equipment being used requiring installation conformity:**
	Description of test set up conformity:
d. Flammability and Fire-blocking Test coupon conformity	**Description of test instrumentation requiring installation conformity:**
	Description of Tests requiring test set up conformity:
e. Post Conformity Modifications and/or Replacements	**Description of how modifications or replacement of FAA conformed parts will be re-conformed:**
	Person responsible for tracking modifications or replacements:
f. Flight Testing	**Location(s) of TIA flight tests:**
	Estimated date of flight testing:
g. Conformity Inspection Deviations (See Order 8110.4 chapter 5)	**Name of engineering ARs responsible to approve deviations and unsatisfactory conditions listed on FAA Form 8130-9 and FAA Form 8100-1:**

APPENDIX 4. SAMPLE CONFORMITY PLAN (CONTINUED)

<table>
<tr><th colspan="2">CONFORMITY PLAN Part VIII Airworthiness Certification and Return to Service at Completion of Program</th></tr>
<tr><td rowspan="2">a. Who will make application for FAA Form 8130-6? (See Advisory Circular 21-12)</td><td>Experimental certificate:</td></tr>
<tr><td>Standard airworthiness certificate:</td></tr>
<tr><td colspan="2">b. Describe the plan to incorporate all required design changes to the test aircraft to make the aircraft eligible for a Standard Airworthiness Certificate (if applicable):</td></tr>
<tr><td colspan="2">c. Name of company applying for PMA after issuance of STC (if applicable):</td></tr>
<tr><td colspan="2">This Conformity Inspection Plan describes the actions regarding the modification and type design activities necessary to ensure all required Conformity Inspections and related activities are accomplished in support of the STC project. The plan establishes guidelines and policies for identification and tracking of FAA required Conformity Inspections performed by at the applicant’s facility and its approved suppliers.

The Conformity Inspection Plan will be reviewed and accepted by the Federal Aviation Administration prior to its implementation. FAA Conformity Inspections will be identified, coordinated and tracked for completion in accordance with procedures described above.

Changes to this plan require a revision number/letter. Implementation of this plan will be to established procedures written or referenced in the plan.</td></tr>
</table>

Applicant Quality Manager: Approval _____ Date:_____

Applicant Certification Engineer: Approval _____ Date:_____

Inspection AR Approval: _____ Date: _____

Engineering AR Approval: _____ Date:_____

Applicable Attachments:

e.g. Master Data List

APPENDIX 5. EVALUATION CRITERIA

1. PURPOSE. This appendix provides standardized technical evaluation criteria used in documenting the evaluation of the delegated facilities utilizing the following system elements:

TECHNICAL EVALUATION SYSTEM ELEMENTS

Section	System	Page
1	Organization and Responsibility	2
2	Project Management	9
3	Design Data Approval	17
4	Conformity Inspection and Records	24
5	Testing	28
6	Airworthiness Certification	30
7	Flight Testing	32
8	Continued Airworthiness	34

2. DESCRIPTION OF SYSTEM ELEMENTS SECTION FORMAT. Each section addresses one of the 8 system elements. Each section is formatted as follows:

a. **System Element Description.** This is a brief description of what the system is intended to accomplish or control.

b. **System Element Standardized Evaluation Criteria.** Each criterion is formatted as follows:

(1) **Standardized Evaluation Criteria.** Each criterion is identified by a numbered question within a box. The format of each question number is based on the system element number, the letter to identify the criteria as specific to delegated facilities, and the sequence within the system element. For example, question 2-8 would be the eighth question [8] under the Project Management system element.

(2) **Applicability.** This specifies whether the criteria are applicable to each type of organization. A regulation reference indicates a requirement whose violation require compliance and enforcement activity and follow-up. Applicability marked by "X" indicates a requirement is based on the airworthiness standards or FAA policy requirements. If the criteria are not applicable to the type of authorization, it will be noted "N/A."

(3) **Statement of Condition**. The statement of condition provides examples of the requirements to satisfy the criteria. Evaluators may apply other standards based on their experience. The statement of condition assists the evaluator to determine the depth of the investigation that may be required to satisfactorily evaluate the criteria, and the appropriate criteria on which to document evaluation results.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

SECTION 1. ORGANIZATION AND RESPONSIBILITY

1. **SYSTEM ELEMENT DESCRIPTION**. The evaluation of the organization and its compliance with FAA regulations and policy requirements relative to delegation. Included are those items associated with function and operation of the organization.

2. **SYSTEM ELEMENT STANDARDIZED EVALUATION CRITERIA**. The following criteria are used to document the evaluation of this system element. If possible, these criteria should be evaluated by a team member who is not a part of the OMT. Also, a single team member with engineering, manufacturing, or administrative background may evaluate these criteria.

1-1. Does the Procedure Manual contain the information required by the regulations and Order 8100.9?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:

a. The procedure manual must include:

General:

(1) Cover page with signature blocks for the FAA and authorization holder's administrator.
(2) Table of Contents.
(3) Log of Revisions.
(4) List of Effective Pages (may be optional if manual is reprinted and paginated at each revision).
(5) Description of how to process changes to the manual.
(6) Limitations of the authorization. DAS and SFAR 36 procedure manuals must specifically identify the models of products and types of projects authorized.
(7) Description of the authorization holder's facilities (DAS and SFAR 36 only).
(8) Listing of ARs and their authorized functions and forms authorized to sign. The procedure manual must include the name(s), signature(s), impression of stamps (where appropriate), and responsibilities of the individual ARs performing FAA functions and identify the functional areas and limitations for the ARs in accordance with Order 8100.8.

NOTE: Signatures may be maintained in a separate documented file.

(9) Description of the procedures used in performing authorized functions.
(10) A sample of the forms to be used to indicate inspection acceptance or findings of compliance. FAA Forms must be used wherever applicable. Execution instructions must be provided if using other than FAA Forms.
(11) Procedures for selecting and appointing ARs and procedures for expansion of AR's authority including the process for AR Trainee development, if Trainees are utilized.
(12) Records required to be kept.
(13) Description of the training courses that are to be required of each AR and where the AR will acquire the training.
(14) Process for revising the procedure manual and obtaining FAA approval for revisions.
(15) Self evaluation procedures.

DAS:

(1) Project Initiation.
(2) FAA Notification.
(3) Development and Content of the Data Package.
(4) Production & Installation.
(5) Special Airworthiness Certificates.
(6) Aircraft Ground Evaluation.
(7) Aircraft Pre-Flight Inspection.
(8) Risk Assessment.
(9) Aircraft Flight Evaluation.
(10) Aircraft Flight Manual Supplement (AFMS) Approval.
(11) Issuance of Supplemental Type Certificate (STC).
(12) Issuance of the Amended Standard Airworthiness Certificate.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

DOA:

(1) Type Certification Procedures.
(2) Program Notification Submittal.
(3) Familiarization Meeting.
(4) Preliminary Type Certification Board Meeting.
(5) DOA Certification Plan and Proposed Certification Basis.
(6) Coordination of Issue Papers.
(7) Specific Findings.
(8) Compliance Determinations
(9) Experimental Airworthiness Certification.
(10) Type Inspection Authorization (TIA).
(11) Certification tests other than flight test.
(12) Risk Assessment.
(13) Other Type Certification Board Meeting.
(14) Certification Flight Testing
(15) Submittal of AFM, Proposed Type Certificate Data Sheet (TCDS), Noise, and Emission Data if Applicable, and Airworthiness Limitations.
(16) Function and Reliability (F&R) Testing.
(17) Report Preparation, Submittal, and Storage.
(18) Statement of Compliance.
(19) Final Type Certification Board Meeting.
(20) Type Certificate Issuance.
(21) Instructions For Continued Airworthiness.
(22) Standard Airworthiness Certification.
(23) Post TC Activities.
(24) Technical Data File.
(25) Production Certification Procedures.

SFAR 36:

(1) Approving and Controlling Technical Data.
(2) Traceability of Repairs. (i.e., identification and product repair records).
(3) Differentiating between Major and Minor Repairs.
(4) Differentiating between Major Repairs and Major Alterations.
(5) Determining Compatibility of Repair(s).
(6) Quarterly Report of Accomplished Repairs.

b. There is objective evidence of ACO-approved procedures, when required.
c. There is objective evidence of compliance with the procedures.

1-2. Does the organization properly maintain its procedure manual?

Applicability:

DAS	DOA	SFAR36
21.441	21.251	6

Statement of Condition:
a. Changes in facilities, procedures or authorized staff are approved and incorporated into the procedures manual before implementing the change.

1-3. Does the organization comply with its procedure manual when performing authorized functions?

Applicability:

DAS	DOA	SFAR36
21.463	X	6

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

Statement of Condition:
a. There is objective evidence that organization complies with its procedures manual when performing all authorized functions.

1-4. Is the DOA, DAS, or SFAR 36 facility operating within its approved delegated authority?

Applicability:

DAS	DOA	SFAR36
21.451	21.251	10

Statement of Condition:
a. There is objective evidence that:
(1) Approvals granted by the DOA, DAS, or SFAR 36 are within the limitations defined in the procedure manual.
(2) The holder of a DOA is applying the delegation to only products that it has authority to produce.
(3) DAS STC approvals are only issued for projects the DAS is capable of performing at their home facility.
(4) DAS and DOA approvals involving acoustic and exhaust emissions changes are issued only after the FAA has determined that the respective 14 CFR parts 36 and 34 requirements have been met.

1-5. Does the evaluated facility assure that it continues to meet the criteria for holding its authorization?

Applicability:

DAS	DOA	SFAR36
21.445	21.245	X

Statement of Condition:
a. There is objective evidence that the evaluated facility is eligible for the delegation.

DAS:

(1) Holds a current domestic repair station certificate under 14 CFR part 145, or air carrier or commercial operator operating certificate under CFR part 121, or is a manufacturer of a product for which it has alteration authority under 14 CFR § 43.3(j).
(2) Has adequate maintenance facilities and personnel, and
(3) Employs, or has available, an appropriate staff.

DOA:

(1) Holds a current type certificate, issued under the standard procedures, for each product type for which a DOA is held.
(2) Holds a current production certificate issued under standard procedures, and
(3) Employs an appropriate staff.

SFAR 36:

(1) Holds an air carrier, commercial, or air taxi operating certificate, and has operation specifications for operations required to be conducted in accordance with 14 CFR part 121 or § 135.2, or has a domestic repair station certificate under 14 CFR part 145, and:
(2) Has an adequate number of appropriate personnel.

1-6. Does the organization notify the FAA within 48 hours if it does not continue to meet eligibility requirements?

Applicability:

DAS	DOA	SFAR36
21.445	21.245	5.c

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

Statement of Condition:
a. The organization has notified the FAA within 48 hours of any changes (including staff members) that could affect the organization's eligibility.

1-7. Does the Administrator and staff have sufficient authority to administer the pertinent CFR effectively?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:
a. The Administrator and staff is in an organizational position with sufficient authority to administer the pertinent CFR effectively.
b. The Administrator is actively involved in engineering processes and airworthiness activities defined by the evaluated facility in order to administer the pertinent CFR effectively.
c. The administrator and staff is not adversely influenced by company responsibilities when making findings or managing the organization.

1-8. Does the authorization holder provide in-house training to its Authorized Representatives (ARs), including AR Trainees?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:
a. There is an established company provided in-house training course structured for the organization's ARs and AR Trainees.
b. The company provided in-house training is scheduled at least every two-years.
c. The company training material includes:
   (1) Review of the functions delegated to the organization.
   (2) Review of the organization's processes/procedures manual.
   (3) Review of the AR's authority and responsibility when performing authorized functions.
   (4) Review of FAA rules, orders, policy and guidance material relative to the functions performed by the organization.
   (5) Review of documentation and forms used by the organization.
   (6) Technical training as required.
d. There is objective evidence that the in-house training occurs at least every two years.
e. There is objective evidence that the company training material is available to the FAA and if applicable, FAA is allowed to attend.

1-9. Do the administrators, ARs, and AR Trainees attend FAA sponsored training and/or seminars?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:
a. Administrators have attended DAS/DOA/SFAR 36 administrator seminar within the preceding two years.
b. Engineering ARs have attended a DER standardization seminar and recurrent seminars as required by the managing ACO.
c. Manufacturing ARs have attended designee standardization and recurrent seminars as required.
d. The organization maintains training records for each of its delegated administrator and ARs, including AR Trainees.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

1-10. Does the evaluated facility retain records in accordance with the appropriate regulations?

Applicability:

DAS	DOA	SFAR36
21.493	21.293	13

Statement of Condition:

a. There is objective evidence that:

(1) A record retention schedule that complies with applicable regulations, orders, and data storage agreements has been established.

(2) Technical data files, repair, rebuild, and alteration records, original application data, inspection records, and service difficulty records, as applicable, are maintained in accordance with the data storage agreements and made available to the FAA.

b. The following files are maintained by the organization:

DAS:

(1) A technical data file for each STC issued with all data necessary for the STC.
(2) A list of products altered by the DAS organization.
(3) A file of information on alteration difficulties

DOA:

(1) Technical data file with type design, specifications, reports , TIR.
(2) The data required for application for PC.
(3) Record of any rebuilding or alterations performed under the DOA.
(4) For 2 years:
  (a) Inspection record for each product manufactured.
  (b) Record of reported service difficulties.

SFAR 36:

(1) Technical data file that includes all data necessary to accomplish the major repair for each product or article it has developed and used repair data.

(2) A list of products or articles that have been repaired under the authorization.

(3) A file of information from all available sources on difficulties experienced with repairs performed under the authorization.

1-11. Are documents and forms, identified and listed in the procedures manual used to document the approval of the data and to make findings of compliance?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:

a. Procedures provide for documenting approved data and findings of compliance on specified forms.
b. There is objective evidence of observance to established procedures.

1-12. Does the delegated organization have and comply with procedures prescribed in the procedure manual for performing self-evaluation?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:

a. Procedures provide for:
  (1) General requirements for scheduling and performing the audits.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

(2) Documenting the audit results and demonstrating that all necessary corrective actions are taken.
(3) Monitoring trends and providing necessary remedial actions.
(4) Periodic evaluation of the AR's documentation, processes, oversight criteria contained in FAA orders, FAA policy memorandums, etc.
(5) Periodic process audits of inspection of design and or repaired articles to ensure conformity to type design and compliance with the airworthiness standards.
(6) Maintaining records of the self-evaluation and providing copies to the FAA upon request.
(7) Periodic review of their self-evaluation procedures
b. There is objective evidence of observance to established procedures.

1-13. Does the organization have and comply with procedures for the application and selection of Authorized Representatives (AR's)?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:
a. The procedure manual shall include as a minimum methods for:
(1) Submitting application.
(2) Application Review.
(3) Technical criteria for qualification review.
(4) Interview processes.
(5) Evaluation of interview results.
(6) Rating applicant.
(7) Providing initial orientation and training upon appointment.
(8) Requiring FAA approval of ARs and administrator.
b. The completed documentation must include at least:
(1) AR's application (statement of qualifications) requesting appointment.
(2) Documentation to support application per 8100.8 or other approved documents.
(3) Evaluation forms.
(4) Interview results and rating.
(5) Documentation to support the appointment.
(6) Training was completed in accordance with procedures upon appointment.
(7) Request and approval from OMT.

1-14. Are the ARs qualified to perform the functions authorized as defined in Order 8100.8, Designee Management Handbook?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:
a. AR's shall have as a minimum:
(1) Knowledge and experience required by Order 8100.8 to perform their authorized functions and keep current.
(2) Be in a position that allows the AR to execute his/her approved authority without any company pressure.
(3) Have access, as applicable, to the current FAR's, policy and guidance material and the delegated organization's procedures manual.
(4) Possess integrity, sound judgment, and cooperative attitude.
b. The appointment of AR's based on existing FAA designation should at a minimum include:
(1) The same function(s), as applicable, as existing FAA designation.
(2) Documentation, per above, for expanded functions.
c. There is objective evidence that AR's are technically qualified to perform the functions authorized.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

1-15. Is the organization and AR Trainees following the trainee selection and development processes?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:

a. Procedures for the development of a Trainee shall include at a minimum :
(1) Appointment as a Trainee is based on the individual meeting all requirements except for direct experience working with the delegated organization performing AR functions.
(2) Trainee's work is reviewed and approved by an authorized AR (Trainees may not make findings).
b. There is objective evidence that Trainee selections were in accordance with approved procedures.

1-16. Are ARs responsible for the approval of test plans, witnessing of tests, and the approval of test results identified?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:
a. Procedures provide for an organizational chart or table that identifies the ARs, and their responsibility and authority for approving test plans; witnessing tests; and approving test results.
b. There is objective evidence of observance to established procedures.

1-17. Does the organization allow the FAA to inspect their organization, facilities, products and records?

Applicability:

DAS	DOA	SFAR36
21.449	21.289	9

Statement of Condition:
a. The organization does not deny any FAA request to inspect their facilities, records or personnel associated with the authorization.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

SECTION 2. PROJECT MANAGEMENT

1. **SYSTEM ELEMENT DESCRIPTION**. Project management includes those functions related to the overall management and approval of a project within the delegated facility's approved procedures manual or handbook.

2. **SYSTEM ELEMENT STANDARDIZED EVALUATION CRITERIA**. The following criteria are used to document the evaluation of this system element.

2-1. Has a certification basis or airworthiness requirement been established and used for the altered or repaired product?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:

a. Procedures include, as a minimum:
   (1) Method used to determine certification basis (regulatory requirements).
   (2) Method for evaluating the regulatory requirement against the modification or repair.
   (3) Method of documenting certification basis (regulatory) applicability.
b. There is objective evidence of observance to established procedures.

2-2. Did the program notification contain the information (modification, schedule, etc.) required by the FAA approved procedure manual?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:

a. Project description, scope and schedule were properly described and communicated in the initial program notification. Information required by the FAA approved procedure manual was adequately provided for the project in question.
b. Projects which were determined not to require a program notification were properly determined as defined by the FAA approved procedure manual.

2-3. Does the evaluated facility determine whether a project is significant or non-significant before submitting the program notification?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. Procedures include, as a minimum:
   (1) Method used to determine and document the project criticality assessment.
   (2) Method to incorporate the assessment findings into the program notification or other project notification form.
b. There is objective evidence of observance to established procedures.

2-4. Was an adequate Conformity Plan containing all of the necessary elements written for each certification project as required by FAA approved procedure manual?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

Statement of Condition:

a. There is objective evidence for a specific project that the conformity inspection plan includes the following information as applicable:

(1) General description of the aircraft modification.
(2) Definitions of terms used in the plan.
(3) Brief introduction of certification program.
(4) Applicant conformity inspections (who is authorized to sign the FAA Form 8130-9).
(5) FAA conformity inspection guidelines and exceptions.
(6) FAA Conformity inspection identification and initiation of FAA Form 8120-10 or other acceptable document.
(7) FAA Conformity inspection tracking by applicant.
(8) Applicant first article inspections.
(9) Tooling inspection and control.
(10) Material review prior to TC/STC and production approval.
(11) Software conformity inspections.
(12) Description and location of facilities to manufacture and test the product.
(13) Description and location for final assembly of product.
(14) Supplier agreements with applicant.
(15) FAA conformity inspections of parts modified or replaced during FAA flight test.
(16) FAA conformity inspections for test setup.
(17) FAA conformity inspections conducted on ground test articles such as the flight test simulator, iron birds, vender qualification test articles, etc.
(18) FAA conformity of spare parts.
(19) Experimental certification of aircraft including location of flight testing.
(20) Flight test aircraft maintenance and re-inspection procedures to reestablish FAA conformity
(21) Supplier conformity requirements and procedures.
(22) Identification of non-domestic suppliers.

b. There is objective evidence that the conformity inspection plan addresses:

(1) Verifying the conformity of critical and major characteristics of materials, parts, and assemblies.
(2) Evaluating processes to ensure production of consistent and uniform products.
(3) Observing tests of important functional parameters of systems, modules, components and completed products.

2-5. Was a Certification Plan written for each certification project and contain all of the necessary elements as required by FAA approved procedure manual?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. There is objective evidence that a certification plan was written for each certification project as required in the procedure manual.

b. There is evidence the certification plan for DAS certification projects addresses the following elements:

(1) Description of the type design change including significant features. Identification of any new design or process areas. Identification of the prototype product's state of registry and registration number.
(2) The DAS proposed certification basis, i.e. the airworthiness requirements including amendment levels that are considered to be applicable, special conditions, exemptions, equivalent level of safety items, and noise and emission requirements.
(3) A compliance checklist showing proposed means of compliance (laboratory testing, ground testing, flight-testing, analysis, similarity, etc.) and the responsible ARs with appropriate authorizations for each of the regulations.
(4) Identification of where and how the type design data and compliance substantiation data will be documented.
(5) Discussion of design, certification, and production responsibilities with domestic and non-domestic suppliers.
(6) State if any novel or unusual features are involved.
(7) State if ground and /or flight-testing are required.
(8) The proposed Airworthiness Certificate Category for Flight Testing.
(9) A proposed schedule of major events/milestones.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

(10) State if Instructions for Continued Airworthiness (ICA) are affected and which Manuals (Maintenance, Wiring Diagram, IPC, etc.) are planned to be issued or revised.

(11) State if an Airplane Flight Manual Supplement is required or will be revised.

(12) State how equipment is approved. For example: RTCA/DO-160( ), TSO, RTCA/DO-178( ), etc.

(13) If design or alteration work will not be accomplished at the DAS facility, provide information on the facility where it will be accomplished.

(14) Proposed compliance method(s) and how the DAS intends to demonstrate the operational aspects of:

(a) STC testing of modifications accomplished to an aircraft for determining operational suitability in meeting the operational regulatory requirements.

(b) DAS recommended maintenance manual and maintenance program changes for acceptable compliance with ICA requirements, if required.

(c) Aircraft Flight Manual Supplements.

(d) Proposed changes to master minimum equipment lists if required.

(e) Proposed Flight Crews Operating Manual Procedures, if required.

(f) Proposed flight crew training requirements, if required.

(g) Emergency Evacuation demonstrations, if necessary.

c. There is evidence the certification plan for DOA projects addresses the following elements:

(1) Description of the type design or type design change, including significant features. Identification of any new design or process areas. For alterations, identification of the product's state of registry and registration number.

(2) The DOA-proposed certification basis. This is the airworthiness requirements including amendment levels that are considered to be applicable, special conditions, exemptions, equivalent level of safety items, and noise and emissions requirements.

(3) A compliance checklist showing proposed means of compliance (laboratory testing, ground testing, flight-testing, analysis, similarity, etc.) and the responsible ARs with appropriate authorizations for each of the regulations.

(4) Identification of where and how the type design data and compliance substantiation data will be documented.

(5) Discussion of design, certification, and production responsibilities with domestic and non domestic suppliers.

(6) State if any novel or unusual features are involved.

(7) State if ground and /or flight-testing are required.

(8) The proposed Airworthiness Certificate Category for Flight-Testing other than show compliance.

(9) A proposed schedule of major events/milestones.

(10) State which Manuals (Maintenance, Wiring Diagram, IPC, etc.) are planned to be issued or revised.

(11) State if an Airplane Flight Manual Supplement is required or will be revised.

(12) State how equipment is approved. For example: RTCA/DO-160( ),. TSO, RTCA/DO-178( ), etc.

(13) If alteration will not be accomplished at the DOA facility, provide information on the facility where the alteration will be accomplished.

(14) Proposed compliance method(s) and how the DOA intends to demonstrate the operational aspects of:

(a) Testing of modifications accomplished to an aircraft for determining operational suitability in meeting the operational regulatory requirements.

(b) DOA recommended maintenance manual and maintenance program changes for acceptable compliance with ICA requirements, if required.

(c) Aircraft Flight Manual Revision or Supplements.

(d) Proposed changes to master minimum equipment list if required.

(e) Proposed Flight Crews Operating Manual Procedures, if required.

(f) Proposed flight crew training requirements, if required.

(g) Emergency Evacuation demonstrations, if necessary.

2-6. Were applicable Airworthiness Directives considered in the certification plan?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. The authorization holder has evaluated the product or modification for any ADs that may impact certification of the product.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

2-7. Was the certification project accomplished per the certification plan?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. There is objective evidence that the certification project was accomplished per the certification plan.

2-8. Were significant changes to the program's scope or schedule adequately communicated to the FAA?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. Major changes, if applicable, to the scope or schedule of a project are communicated in writing to the FAA.
b. There is objective evidence that changes to the certification plan were documented and communicated with the FAA.
c. Any changes not reported were correctly determined to be of a minor nature.

2-9. When determining the certification basis, has the evaluated facility made a determination on the use of the latest airworthiness standards?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. Procedures include, as a minimum:
(1) Method of documenting certification basis (regulatory) applicability, including the position relative to complying with the later standards.
(2) Method used in evaluating the basic regulatory requirements together with the applicable service experience.
b. There is objective evidence of observance to established procedures.

2-10. Is the certification basis appropriate for the type certificate design submitted?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. Procedures include, as a minimum:
(1) Method of documenting certification basis (regulatory) applicability, including the position relative to complying with the later standards.
(2) Method used in evaluating the basic regulatory requirements together with the applicable service experience.
b. It is documented (i.e. compliance checklist) that the applicable regulatory requirements were addressed based on the date of application.
c. When determining the certification basis, the evaluated facility made a determination on the use of the latest airworthiness standards.
d. Applicable regulatory requirements can be from 14 CFR parts 21, 23, 25, 27, 29, 31, 33, 34, 35, 36, and 39 as recommended by the delegated authorization and concurred with by the managing FAA Aircraft Certification Office. Additional requirements may result from special conditions.
e. Changes to the certification basis were documented and communicated to the FAA appropriately and concurred by the FAA.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

2-11. Were special conditions or exemptions required and included in the certification basis and certification plan?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. It is documented that special conditions or exemptions were addressed in certification plan.
b. Special conditions or exemptions were documented in the certification basis.

2-12. Were equivalent level of safety findings coordinated with the ACO?

Applicability:

DAS	DOA	SFAR36
21.461	21.261	N/A

Statement of Condition:
a. Evidence exists that the FAA approved the use of the equivalent level of safety findings prior to the authorization holder's use.

2-13. Are program notification letters reviewed by the staff prior to submittal to the FAA?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. Procedures include a method to coordinate the program notification letter and certification plan internally with engineering, flight test, and inspection staff members prior to submitting the letter to the FAA.
b. There is objective evidence of observance to established procedures.

2-14. Is the FAA response to the program notification letters obtained prior to the issuance of the certificate?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. Procedures include a method to disposition the FAA response or requirements to the Program Notification.
b. There is objective evidence of observance to established procedures.

2-15. Did the authorization holder follow the action specified, if any, in the response to the Program Notification Letter (PNL)?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. Procedures ensure that:
   (1) FAA-requested participation and/or specific findings are included in the testing and inspection schedule.
   (2) FAA-requested participation and/or specific findings are completed and documented.
b. Evidence of observance to procedures.
c. Evidence that the authorization holder followed the instruction in the response.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

2-16. Are AD's identified for the product being altered/repaired and evaluated for their effect on the change in the type design?

Applicability:	DAS	DOA	SFAR36
	X	X	X

Statement of Condition:

a. Procedures include, as a minimum:
   (1) Identification of applicable AD's.
   (2) Evaluation of the effect the AD has on the modified/repaired product.

   NOTE: If an AD is identified as applicable, and as a result of the proposed modification or repair the requirements of the AD can no longer be accomplished, the delegated facility MUST obtain an alternate means of compliance to the AD from the ACO which ISSUED the AD, PRIOR to the delegated facility's issuance of a design approval.

b. There is objective evidence of observance to established procedures.

2-17. Does the evaluated facility coordinate milestones and unique project requirements with the appropriate disciplines within the facility ?

Applicability:	DAS	DOA	SFAR36
	X	X	N/A

Statement of Condition:

a. Procedures provide for communicating milestones and unique project requirements with the appropriate DAS/DOA personnel.

b. There is objective evidence of observance to established procedures.

2-18. Are there means for the identification and resolution of significant technical, regulatory, and administrative issues that occur during the certification process within the facility, and with the OMT?

Applicability:	DAS	DOA	SFAR36
	X	X	N/A

Statement of Condition:

a. Procedures include, as a minimum, a method to:
   (1) Identify issue(s).
   (2) Identify staff member participation.
   (3) Request the FAA for an issue paper(s), if required.
   (4) Incorporate the findings of the issue paper into the type design.

b. There is objective evidence of observance to established procedures.

2-19. Do ARs communicate with each other for project coordination and, when applicable, with the OMT?

Applicability:	DAS	DOA	SFAR36
	X	X	X

Statement of Condition:

a. Procedures provide for:
   (1) Communication between ARs and management.
   (2) Communication between ARs for project coordination.
   (3) Communication between ARs and the FAA.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

(4) Coordination of multi-discipline review and approval, e.g. airframe, systems, propulsion, flight test, and inspection.
(5) ARs to review each data package for possible overlaps.

b. There is objective evidence of observance to established procedures.

2-20. Are compliance inspections being conducted by authorized staff members?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. Procedures provide for:
(1) Method to identify compliance inspection requirements.
(2) Method to document and disposition the findings of the compliance inspection.
(3) Identification of staff members authorized to conduct compliance inspections.

b. There is objective evidence of observance to established procedures.

2-21. When applicable, is the AFM/AFMS (Aircraft Flight Manual or Aircraft Flight Manual Supplement) properly formatted, documented, coordinated, approved, and controlled?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. Procedures include, as a minimum, a method to:
(1) Determine whether an AFM or AFMS is necessary.
(2) Assure that the AFM or AFMS is properly formatted.
(3) Assure that the document has been coordinated with all engineering disciplines.
(4) Assure that the AFM or AFMS is approved and referenced properly on the approval certificate prior to the issuance of the type certificate or supplemental type certificate.
(5) Process revisions to the AFM or AFMS.

b. There is objective evidence of observance to the established procedures.

2-22. Does the organization process and approve a TIA?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. Procedures include, as a minimum, a method to:
(1) Document the required official certification inspections and tests.
(2) Coordinate the TIA and flight test plans with all applicable ARs.
(3) Ensure approval of the risk assessment prior to approval of the TIA.
(4) Approve the TIA before flight test.
(5) Make and approve changes to the TIA.
(6) Control and file the TIA.
(7) Include FAA participation, as required.

b. There is objective evidence of observance to established procedures.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

2-23. Does the evaluated facility process and approve a document, such as a TIR/STIR, which documents those official conformity, airworthiness inspections, and flight tests necessary to fulfill the requirements for TC, STC, and amended TC certification?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. Procedures include, as a minimum, a method to:
   (1) Document the results of the official certification inspections and tests.
   (2) Approve the required document, including, as applicable, coordination with other staff members.
   (3) Make and approve changes to this document.
   (4) Control and file this document.
   (5) Identify timely completion of the document.
   (6) Include FAA participation, as required.
b. There is objective evidence of observance to established procedures.
c. The TIR or STIR contains all of the information required by Order 8110.4.

2-24. Are changes to the approved data identified, documented, and approved?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. Procedures include a method to be used when approving changes to type design.
b. There is objective evidence of observance to established procedures.

2-25. Does the DAS/DOA administrator obtain concurrence from the applicable staff members that all items are completed prior to the issuance of the TC/STC?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. Procedures should include the process by which the evaluated facility will obtain concurrence from engineering, flight test, and inspection prior to the issuance of the TC/ STC to verify that all project items are completed; for example:
   (1) TC/STC product eligibility is correct.
   (2) Certification basis is documented.
   (3) Installation or drawing list is the latest approved revision.
   (4) All limitations and conditions are listed in the document.
   (5) Conformity inspections have been completed and documented.
b. There is objective evidence of observance to established procedures.

2-26. Prior to issuance of the approval does the evaluated facility ensure that the Instructions for Continued Airworthiness have been accepted by the Aircraft Evaluation Group?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:

a. There is objective evidence of ICA submittals to the OMT, if required.
b. There is objective evidence of FAA acceptance (or approval) of ICAs

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

2-27. Prior to issuing an STC, does the evaluated facility ensure that a type certificate has been issued for the aircraft being modified and/or repaired?

Applicability:

DAS	DOA	SFAR36
X	N/A	N/A

Statement of Condition:
a. There is objective evidence that a type certificate has been previously issued for the product being altered.

2-28. Are STC certificates properly completed?

Applicability:

DAS	DOA	SFAR36
X	N/A	N/A

Statement of Condition:
a. Procedures include a method on how to properly complete the STC certificate (FAA Form 8110-2), to include the STC Continuation Sheet (FAA Form 8110-2-1), when required.
b. There is objective evidence of observance to established procedures.

SECTION 3. DESIGN DATA APPROVAL

1. **SYSTEM ELEMENT DESCRIPTION.** The planning and integration of the evaluated facility's procedures for the approval of the design/repair data (including software) as delegated to the DOA, DAS, and SFAR 36 authorizations.

2. **SYSTEM ELEMENT STANDARDIZED EVALUATION CRITERIA.** The following criteria are used to document evaluation of this system element.

3-1. Is the design, including changes, adequately described and substantiated? (drawings, specifications, reports, etc.)?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:
a. The data include as a minimum:
(1) Sufficient detail to define the characteristics necessary to fabricate, alter, install, inspect and test the part/product/appliance.
(2) Information on dimensions, material, processes necessary to define the structural strength of the product.
(3) Adequate substantiation is provided for the type design and changes.
(4) Airworthiness Limitations section of the Instructions for Continued Airworthiness as required by the applicable airworthiness standards.
(5) Other data necessary to allow the determination of the airworthiness, noise characteristics, fuel venting, and exhaust emissions.
(6) Life limited parts are properly identified on the drawings in accordance with 14 CFR part 45.

3-2. Do the drawing and specifications adequately call out dimensions, tolerances, materials, and processes?

Applicability:

DAS	DOA	SFAR36
X	X	X

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

Statement of Condition:

a. The detail of the descriptive type design data includes as a minimum:
   (1) Listing of drawings and specifications;
   (2) Information on dimensions;
   (3) Specifications for materials and processes;
   (4) Sufficient detail to define the characteristics necessary to fabricate, modify, install and inspect the part/product/appliance.
   (5) Information on dimensions, material, processes necessary to define the structural strength of the product.
   (6) Airworthiness Limitations as required to be part of the Instructions for Continued Airworthiness.
   (7) Other data, typically ground and flight tests, necessary to determine the airworthiness of the modified product.
   (8) Other data to assure the noise characteristics, fuel venting and exhaust emissions of later modified products are equivalent to the prototype installation.
   (9) Other data necessary to describe and substantiate the design of the product.
b. Critical and major characteristics are identified on the drawing(s).
c. Data submitted in any process for approval should not contain terms that are subject to various degrees of interpretation.
d. Procedures to qualify the product to the specification.

3-3. Does the substantiating data include all the information necessary to find compliance (e.g. test results, analysis, etc.), and are they technically accurate and complete?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:

a. The descriptive data include as a minimum:
   (1) Airworthiness Limitations section of the Instructions for Continued Airworthiness as required by the applicable airworthiness standards.
   (2) Other data necessary to allow the determination of the airworthiness, noise characteristics, fuel venting, and exhaust emissions.
b. The compliance and substantiating data were reviewed and approved by the appropriate ARs.
c. The compliance data is appropriate. The assumptions, data, design, and test conditions used properly substantiate compliance.
d. The computer tools were accurate, validated and applicable to the design.
e. The software level for the system is adequate to meet the criticality level assigned in the hazard assessment or the system safety assessments and compliance with DO-178( ) was shown.

3-4. Is the type design data, technical data, and/or repair data (including changes) documented and controlled?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:

a. Procedures include, as a minimum:
   (1) Methods for documenting and retaining data approvals.
   (2) A means of controlling the issuance and distribution of approval documents.
   (3) A means of documenting and controlling test plans, reports, and data.
   (4) A means of documenting and controlling required documents, e.g., instructions for continued airworthiness, flight manuals, installation/operation instructions.
b. There is objective evidence that the procedure is being used.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

3-5. During the approval process, does the organization determine and classify the type of data being approved?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:

a. Procedures include, as a minimum:
   (1) Determination and classification of change in type design in accordance with 21.95.
   (2) For SFAR 36, determination and classification of repair as major or minor.
b. There is objective evidence of observance to established procedures.
c. There is objective evidence that changes to the DAS or DOA design data, or a repair for SFAR 36, have been properly classified as major or minor.

3-6. Is there a drawing control system?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:

a. Procedures provide for:
   (1) Drawings that are adequate, complete, and legible.
   (2) Identification of drawings.
   (3) Indication of drawing approval, including FAA approval.
   (4) Maintenance and security of drawings.
   (5) Use of current drawings and removal of obsolete drawings.
   (6) A list of drawings and specifications necessary to define configuration of the FAA-approved design.
   (7) Control of preliminary/experimental drawings.
   (8) Existence of adequate storage and backup methods for software used for drawing control.
b. There is objective evidence of observance to established procedures.

3-7. Is the type design data, technical data, and/or repair data approved?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:

a. The procedures include, as a minimum:
   (1) Description of the data approval process, including personnel authorized to approve the data.
   (2) Methods to obtain complete design data and approval documents in accordance with certification plan.
   (3) Methods to approve master document (data) and/or certification compliance checklist.
   (4) Methods to approve test plans, data, and reports.
   (5) Methods to approve required documents, e.g., instructions for continued airworthiness, flight manuals, installation instructions.
b. There is objective evidence that the procedure is being used.

3-8. Are the means of compliance (MOC) correct to show compliance to the airworthiness standards?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

Statement of Condition:
a. The MOC utilized previous FAA approved data, industry standards, policies, Notices, and Orders or previously approved/coordinated/accepted MOC.

3-9. Did the Certification Plan, including compliance checklist, provide for adequate description (including test, analysis, etc.) and establish an FAA acceptable certification basis for each project/repair?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
(a) The certification basis is correctly identified in the compliance checklist along with the correct means of compliance.
(b) There is evidence that the FAA has accepted the proposed certification basis.
(c) Changes to the certification basis has been forwarded to the FAA for coordination and approval.
(d) The Certification Plan is in sufficient detail and updated as applicable for each project.
(e) Special conditions or equivalent level of safety findings have been forwarded to the FAA for approval.

3-10. Do the materials and process specifications follow appropriate industry practices?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:
a. When industry or military material or process specifications offer different materials or methods of operations or processing, the drawing should clearly identify which material or method of operation or processing must be used.

3-11. . Is there adequate data to support major design changes/major repairs, including instructions to accomplish the change/repair?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:
a. Major design changes at a minimum shall include the following:
   (1) Substantiating and descriptive data.
b. Major repair data at a minimum shall include the following:
   (1) Substantiating and descriptive data and amendments thereto.
   (2) Any tests conducted and results.
   (3) Work instructions necessary to accomplish the repair.

3-12. Is the incorporation of changes to type design /repair data done appropriately and accordance to approved procedures?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:
a. Ensure that all design changes have been incorporated into the drawing or data when engineering orders/change records were issued against that data.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

b. Assure that the data on the engineering change orders/change records have been incorporated, in total, into the type design.
c. A procedure is used to ensure the incorporation of engineering changes on the drawing and in the production of the part.
d. Evidence of appropriate control of vendor design changes.
e. A procedure is in place to ensure the incorporation of changes in the repair documentation.

3-13. Were deviations to the type design appropriately addressed on the FAA Form 8130-9 and FAA Form 8100-1?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. AR engineering properly reviewed and dispositioned all deviations prior to FAA testing and TC/STC approval.
b. Previously produced parts were reviewed for any material review action or they were re-inspected and all deviations were recorded for AR engineering evaluation.
c. All parts were FAA-conformed unless it was shown that they had no adverse effects for the certification test.
d. Deviations were incorporated into the data as a one only or the drawings were revised.
e. Repairs or Use-As-Is dispositions are not rolled over (sustained) into numerous production parts.
f. Deviations are evaluated for root cause and corrective action.

3-14. If the System Safety Assessments (SSA) are required – Did they identify and properly addresses all failure conditions/modes including the failure conditions that prevent continued safe operation?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. The various Functional Hazard Assessments (FHAs) methodically identify all Failure Conditions, provide an accurate description of the effects, classify each one's severity (minor, major, hazardous, catastrophic) according to published guidance, and the classifications are consistent with the effects described.
b. The FHAs are logically structured to cover all systems and to cover Failure Conditions that may cross multiple system boundaries.
c. The various System Safety Assessments (SSAs) address all Failure Conditions identified in the FHAs and include the appropriate Depth of Analysis according to published guidance.
d. In the SSAs, where Failure Modes and Effects Analysis (FMEAs) are used, it is methodical, complete, and shows there are no single point failures which would result in a Catastrophic effect.
e. In the SSAs, where Fault Tree Analyses (FTAs) are used: the logic of the FTAs accurately reflect the architecture of the design; the base event failure rates are appropriate and justified if needed; any latencies are properly identified and their exposure timed accounted for in the calculations; and the tree has been properly "reduced" to ensure the validity of any redundancy claims via AND gates
f. The assumptions used in the FHA and SSA process are sound, valid, and conservative.
g. The computer tools used were accurate, validated, and applicable to the design.

3-15. Were test plans adequate to successfully conduct the test?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:
a. All certification test plans were approved by all appropriate ARs.
b. The test plans were in sufficient detail to conduct the tests, including.
(1) A description of the item(s) to be tested, including FAA conformity inspection requirements.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

(2) A list of all test equipment necessary to conduct the test.
(3) A description of how the equipment will be calibrated (calibration is required) and approved prior to the test.
(4) A description of how the compliance will be shown prior to the test.
(5) A test procedure written in a step-by-step format including pass-fail criteria.

3-16. When applicable, does the AFM/AFMS (Aircraft Flight Manual or Aircraft Flight Manual Supplement) contain all of the information needed?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:
a. The AFM/AFMS includes the information required by the regulations and FAA policy.
(1) Operating Limitations.
(2) Operating Procedures.
(3) Performance Information

3-17. Are minor design changes approved under a method acceptable to the FAA?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. There is objective evidence that the FAA has approved a method to approve minor design changes and that the evaluated facility is using the approved method.

3-18. If an Airworthiness Directive was issued, were required design changes incorporated into the FAA-approved design?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. There is objective evidence that design changes necessary to correct unsafe conditions identified in ADs have been incorporated into the FAA-approved design.

3-19. Is there a Software Configuration Management Plan (SCMP) or procedure to control airborne software configuration?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. Procedures provide for:
(1) Installation of the correct version of the software in the certification test article or in the delivered product in accordance with the FAA-approved design in the certification program.
(2) Method by which controlled software containing the FAA-approved design data is transitioned into production. The media containing the software installed in the product is directly traceable to the Software Configuration Management (SCM) library.
b. There is objective evidence of observance to established procedures.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

3-20. Has a criticality assessment and the software verification been accomplished in accordance with RTCA/DO-178 or other accepted/approved documents (e.g., RTCA/DO-236, etc.)?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. Procedures provide for a properly documented software criticality assessment and verification process.
b. There is objective evidence of observance to established procedures.

3-21. Is there a Configuration Index Document (CID) listing all software documents under configuration control and defining the hardware and software part numbers?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. Procedures provide for traceability of hardware and software part numbers to the drawing control system.
b. There is objective evidence of observance to established procedures.

3-22. Are there practices and procedures for reporting, tracking, and resolving software problems?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. Procedures provide for:
(1) Methods for corrective action, for problems found, include provisions for airborne software and hardware/software combinations. Procedures may parallel or be part of hardware corrective action procedures.
(2) Method to dispose and delete obsolete or non-current software.
b. There is objective evidence of observance to established procedures.

3-23. Are there methods and facilities to protect computer programs from unauthorized access, inadvertent damage, or degradation?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. Procedures provide for:
(1) Configuration control of the airborne software within the product design files.
(2) Limited access to software files.
(3) Separate archives for masters and duplicates.
(4) That masters and duplicates are not revived by the same machine simultaneously.
(5) Procedures provide for environmental control and special handling of programmed media.
b. There is objective evidence of observance to established procedures.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

3-24. Are there procedures to ensure that the software development environment (i.e., compilers, loaders, linkers, editors, emulators, etc.) is identified, documented and archived for each version of the delivered airborne software version?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. Procedures provide for methods to identify, document, and archive the software development environment for each version of delivered airborne software.

b. There is objective evidence of observance to established procedures.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

SECTION 4. CONFORMITY INSPECTION AND RECORDS

1. **SYSTEM ELEMENT DESCRIPTION**. The function which establishes systematic control of the overall conformity process.

2. **SYSTEM ELEMENT STANDARDIZED EVALUATION CRITERIA**. The following criteria are used to document evaluation of this system element.

4-1. Are FAA Forms 8130-9, Statements of Conformity properly completed?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. There is objective evidence that:

(1) The method for verifying the statement of conformity has been submitted to the appropriate delegated facility staff member.

(2) The statement of conformity has been signed by an authorized person who holds a responsible position in the manufacturing organization or repair station.

(3) The applicant has only delegated inspections to qualified persons in accordance with FAA Order 8110.4.

(4) The statements of conformity that are delegated by the applicant have the applicant's letter of delegation attached to the FAA Form 8130-9.

4-2. Are conformity inspections documented?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. Procedures include, as a minimum, a method to:

(1) Obtain a completed FAA Form 8130-9, Statement of Conformity from the applicant.

(2) Conduct conformity inspections per the conformity plan and Order 8110.4.

(3) Complete the FAA Form 8100-1, conformity inspection records.

(4) Document the detail parts, assemblies, and installation conformities recorded on the conformity inspection record, including design data revision level and release date of design data.

(5) Document and coordinate disposition of nonconformities or deviations with authorized engineering ARs.

(6) Verify and/or conform that special processes called out in design data have been accomplished in accordance with the process requirements.

b. There is objective evidence of observance to established procedures.

4-3. Does equipment used for inspection have the degree of accuracy necessary to determine conformity of the characteristic being inspected?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. Procedures provide for:

(1) The degree of accuracy and a current calibration of all measurement devices and test equipment.

(2) Measurement devices and test equipment capable of the accuracy necessary and adequate for the intended purpose, including measurement devices and test equipment substituted for those specified.

(3) A list of measurement devices and test equipment used to determine conformity of characteristics being inspected.

b. There is objective evidence of observance to established procedures.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

4-4. Are conformity inspection records generated and tracked for in-process conformity inspections and do these records reflect the final approved design?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. Procedures provide for a method to assure that in-process conformity records:
   (1) Are generated and maintained.
   (2) Reflect the final approved design.
b. There is objective evidence of observance to established procedures.

4-5. Do the inspection ARs conduct conformity inspections at the supplier/vendor when conformity can not or will not be determined upon receipt?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. Procedures provide for:
   (1) Only inspection ARs may conduct conformity inspections.
   (2) Method to conduct conformity inspections at suppliers/vendors.
b. There is objective evidence of observance to established procedures.

4-6. Are methods for identification, control, and disposition of nonconforming products or parts provided?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. Procedures provide for:
   (1) Methods used for identification, control, and disposition of nonconforming prototype products or parts.
   (2) Method to secure nonconforming material, with access limited to authorized personnel.
   (3) Engineering AR disposition of nonconforming items, including standard repairs.
b. There is objective evidence of observance to established procedures.

4-7. Is software identified and marked both externally and internally in accordance with the engineering design requirements?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. Work instructions detail the identification and marking requirements.
b. Software header identification corresponds to marking on hardware.
c. There is objective evidence of observance to established instructions.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

4-8. Are special processes evaluated and coordinated between engineering and inspection ARs?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. Procedures provide for the engineering and inspection organizations to review process specifications prior to release to ensure that:

(1) It is capable of consistently producing articles that meets the requirements in the type design.

(2) Inspection equipment is available that will adequately verify conformity to approved design, and that can be controlled for accuracy, when required.

b. There is objective evidence of observance to established procedures.

4-9. Do the inspection ARs verify that the approved data are adequate for a multiple approval and determine that the installation is airworthy?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. Procedures provide for a method to:

(1) Verify that the approved data are adequate for multiple parts and installations.

(2) Determine that the installation is airworthy.

b. There is objective evidence of observance to established procedures.

4-10. Do products and parts conform to approved type design data?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. The aircraft, assemblies and or part conforms to design data (select a sample and inspect as necessary).

b. Parts are adequately installed in conformance with the design data. (If available, select a sample and inspect as necessary).

4-11. Were FAA conformity inspections accomplished according to FAA approved procedures, including parts provided by suppliers?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. The FAA Form 8100-1 or other approved form used as the inspection records show:

(1) Sufficient detail to determine the degree of inspections performed.

(2) Inspection records show who did the inspection.

(3) Special processes were done (e.g. heat treatment, chemical etching, welding) and were found to be in conformance.

(4) In-process inspections were done for assemblies and complex parts.

(5) All non conformities and discrepancies are accurately documented.

(6) Procedures are adequate to ensure re-inspection of any parts that are reworked or replaced. (This includes inspection of installation of new parts as well as inspection of the parts.)

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

(7) The applicant accomplished appropriate root cause and corrective actions for any unsatisfactory dispositions that affect production parts.

(8) Preparation of FAA Form 8100-1 is adequate.

(9) FAA Form 8100-1 is signed by AR inspector that performed the FAA conformity inspection.

b. The AR inspector considers the following when performing conformity inspections:

Materials:

(1) Raw materials used in the fabrication process were in conformity with the type design data and materials specifications.

(2) Evidence was available to assure that chemical and/or physical properties were identified and checked as appropriate.

(3) Documented evidence to show traceability from the raw stock to the prototype part.

(4) Part and or process deviations are recorded against the submitted design data (including material review dispositions).

Processes and Processing:

(5) There is a process specification for each special process.

(6) The process specifications have been approved by an engineering AR.

(7) The process will produce consistent conforming parts during production in accordance with the type design and there is statistical or other evidence to indicate this.

(8) Is the process being operated in accordance with the process specification? Are any deviations recorded?

Critical and Major Characteristics:

(9) The applicant identified and inspected all of the critical and major characteristics.

(10) The applicant has a record of these inspections.

(11) The inspection and surveillance indicates that the above inspections were accurate and adequate.

Workmanship:

(12) The workmanship does not degrade the quality of the product.

(13) The workmanship can be duplicated under production conditions.

(14) Criteria have been established to identify workmanship practices.

Adequacy of Drawings and Related Change Records:

(15) The part can be produced and inspected using the information on the drawing.

(16) Drawing tolerances are practicable and attainable under production conditions and evidence supports this.

(17) All of the changes incorporated into the drawing have been approved by engineering ARs (including one-time only deviations in the prototype article submitted for FAA testing).

(18) Type design engineering changes in production parts are properly documented and incorporated.

Non-conforming parts/materials:

(19) Material review procedure is adequate to ensure appropriate disposition for non-conformities.

(20) There is determination of root cause for observed non-conformities and adequate corrective action taken to prevent reoccurrence.

(21) Use as is or repair dispositions for non-conformities have been approved by engineering ARs, and have they been incorporated in the type design (one-time only engineering orders).

Software:

(22) Software products (version description document, source code, object code, documentation, test procedures, loaded hardware/firmware, etc.) are properly identified, including revision levels, when compared to the hardware and software engineering drawings.

(23) Software problem reports have been properly dispositioned.

(24) Records indicate that appropriate developmental procedures such as DO 178 have been placed under configuration control for all software products, including support software.

(25) Verification and acceptance tests have been successfully executed, to approved test procedures, and recorded.

(26) Records indicate that the object code was compiled from released source code per approved procedures.

(27) Records indicate engineering AR approval of the software, prior to loading into the system or product.

(28) The product loaded correctly with released object code.

(29) The load was verified per applicable procedures, e.g. checksums, cycle redundancy checks, load maps.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

Dispositions of Unsatisfactory Conditions

(30) Unsatisfactory conditions are recorded and corrected by AR engineering prior to FAA tests.

4-12. Was the conformity plan accomplished?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. There is objective evidence that the conformity inspection plan was accomplished by sampling:
b. All planned FAA conformity inspections were completed prior to testing and TC/STC certification.
c. All applicant conformity inspections were completed and documented correctly on FAA Form 8130-9.
d. All part, assembly and installation conformities have been identified and planned according to the conformity inspection selection guidelines and exceptions.
e. All FAA conformity inspections are tracked to completion.
f. Critical production tooling has been modified to the latest approved design configuration.
g. Software conformity inspections were planned and accomplished as planned.
h. FAA conformed parts that were subsequently modified or replaced during flight test were re conformed by AR inspectors.
i. FAA certification test setups were conformed and documented by the AR inspector prior to the test. (No post test conformity inspections).
j. Where ground test articles are used, FAA conformity inspections were properly accomplished prior to FAA certification tests (No post test conformity inspections).
k. Maintenance functions performed on the flight test aircraft, that may affect conformity and certification aspects of the test, are documented and reviewed by the AR.

4-13. Was valid rationale used to request or not request FAA conformity inspections?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. There is objective evidence that the test article and design changes are reviewed by the AR engineering and inspection organizations to determine the need for FAA conformity inspection.
b. The justification to request or not request FAA conformity inspections is provided for in the conformity inspection plan.

4-14. Were all discrepancies identified and documented by the applicant prior to FAA conformity inspections?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. Non-conformities/deviations are satisfactorily dispositioned by the appropriate AR.
b. Non-conformities/deviations are documented on 8130-9/8100-1.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

SECTION 5. TESTING

1. **SYSTEM ELEMENT DESCRIPTION**. The function which provides for the testing, including both component and final product tests, required to establish that the approved design or changes thereof are in compliance with the applicable CFR.

2. **SYSTEM ELEMENT STANDARDIZED EVALUATION CRITERIA**. The following criteria are used to document evaluation of this systems element.

5-1. Were tests conducted to show compliance with the applicable airworthiness standards?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. There is evidence that required tests were conducted.
b. Test plan deviations were appropriately dispositioned.
c. Re-tests were performed for unsatisfactory test results.

5-2. Were the conducted tests described in a test plan?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. The appropriate ARs approved all certification test plans.
b. The approved test plans were in sufficient detail to conduct the tests, including:
   (1) A description of the item(s) to be tested, including FAA conformity inspection requirements.
   (2) A description of the test setup and equipment necessary to conduct the test.
   (3) A description of how the equipment will be calibrated and approved prior to the test.
   (4) A description of how the compliance will be shown prior to the test.
   (5) A test procedure written in a step-by-step format.

5-3. Are conformity inspections completed prior to conducting certification tests?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. Certification conformity inspections are accomplished; for example, parts, installation, and/or test setup.
b. Conformity inspection records are reviewed.

5-4. Are nonconforming products/parts dispositioned by engineering ARs prior to tests?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. Procedures provide for engineering ARs to determine:
   (1) Nonconformities do not affect the test results.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

(2) Nonconformities do not affect the functionality or interface of the equipment.
(3) Design changes are incorporated into the type design, if necessary.
b. There is objective evidence of observance to established procedures.

5-5. Does test equipment have the degree of accuracy necessary to verify the characteristics measured or tested?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:
a. Test plans provide for:
(1) Measurement devices and test equipment capable of the accuracy necessary and adequate for the intended purpose, including measurement devices and test equipment substituted for those specified.
(2) Current calibration of all measurement devices and test equipment.
(3) A list of measurement devices and test equipment used to determine conformity of the characteristics being tested.

5-6. Are test results documented and approved?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:
a. Documentation includes as a minimum:
(1) Test results reflect test plan requirements.
(2) Approval of test results by appropriate AR.

5-7. Are certification test discrepancies documented and dispositioned?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:
a. Test discrepancies are documented.
b. Discrepancies are dispositioned appropriately, for example, re-evaluate test procedures, rework and re-conform test setup, redesign or retest.

5-8. Did the results of any testing identify an unsafe feature or characteristic?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. Unsafe conditions were documented and addressed satisfactorily.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

SECTION 6. AIRWORTHINESS CERTIFICATION

1. **SYSTEM ELEMENT DESCRIPTION**. The function which provides for the issuance of appropriate airworthiness certificates.

2. **SYSTEM ELEMENT STANDARDIZED EVALUATION CRITERIA**. The following criteria are used to document evaluation of this system element.

6-1. Have FAA Form 8130-6, Application for Airworthiness Certificate been properly completed and submitted to the FAA, as applicable?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. The owner or owner's agent completed the application per Order 8130.2.
b. The notarized owner's agent letter is submitted with the application if necessary.
c. The application may not be signed by the AR responsible to issue the certificate.

6-2. Have limitations and conditions been obtained from the MIDO prior to issuing experimental airworthiness certificates?

Applicability:

DAS	DOA	SFAR36
21.475	21.275	N/A

Statement of Condition:
a. There is objective evidence that the necessary limitations and conditions have been obtained from the MIDO prior to issuing experimental airworthiness certificates.
b. Operating limitations must be appropriate per Order 8130.2.

6-3. Have applicable airworthiness certificates been obtained for the purposes for which the aircraft is flown?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. There is objective evidence that the proper airworthiness certificates have been obtained for the purposes for which the aircraft is flown.
b. DASs may only issue certificates for showing compliance with the regulations, and amended standard airworthiness certificates.
c. DOAs may only issue experimental certificates for R&D, Market Survey, Crew Training or Show compliance.
d. DOAs may issue standard airworthiness certificates.

6-4. Are Airworthiness Directives incorporated?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. There is objective evidence that applicable AD's have been complied with prior to operating the product.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

6-5. Were all discrepancies satisfactorily dispositioned prior to issuance or reinstatement of the standard Airworthiness Certificate (e.g. going from experimental to standard)

Applicability:

DAS	DOA	SFAR36
21.473	21.273	N/A

Statement of Condition:

a. The aircraft conformed to the approved design and was in a condition for safe operation before the airworthiness certificate was issued.

b. After the test program, the test product was reworked to the approved design data prior to airworthiness certification.

6-6. If an export airworthiness approval has been issued, have the necessary documents and instructions been forwarded to the aviation authority of the importing country, or to other locations as specified in the special requirements of importing countries in Advisory Circular 21-2?

Applicability:

DAS	DOA	SFAR36
N/A	21.335	N/A

Statement of Condition:

a. There is objective evidence that all the documents and information necessary for proper operation of the product being exported have been forwarded to the cognizant aviation authority. For unassembled aircraft, this includes manufacturing assembly instructions and an FAA-approved flight test check off form.

6-7. Have export airworthiness approvals been obtained for all products, when required?

Applicability:

DAS	DOA	SFAR36
N/A	X	N/A

Statement of Condition:

a. Procedures provide for:

(1) Methods for applying for export airworthiness approvals, and the responsibilities of personnel authorized to submit applications.

(2) A list of the products for which export airworthiness approvals are obtained.

(3) All exported products to meet special requirements of the importing country listed in appendix 6 of Advisory Circular 21-2. Procedures provide for properly annotating any deviation on the exporting documentation, and including a letter of acceptance from the importing country for such deviations.

(4) Retention of copies of FAA Form 8130-4, Export Certificate of Airworthiness, and/or FAA Form 8130-3, Airworthiness Approval Tags, as applicable.

b. There is objective evidence of observance to established procedures.

6-8. Are flight manuals, supplements, and current weight and balance data (if applicable) furnished with each aircraft before issuance of standard or restricted airworthiness certificate?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. Procedures provide for the furnishing of aircraft flight manuals, supplements, and current weight and balance data with each aircraft.

b. There is objective evidence of observance to established procedures.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

6-9. Have FAA Form 8130-3, Airworthiness Approval Tags, been properly issued by authorized ARs?

Applicability:

DAS	DOA	SFAR36
N/A	21.271	N/A

Statement of Condition:

a. Procedures provide for identification of ARs authorized to issue FAA Form 8130-3, "Authorized Release Certificate, FAA Form 8130-3, Airworthiness Approval Tag."

b. Airworthiness approval tags were completed per Order 8130.21.

c. There is objective evidence of observance to established procedures.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

SECTION 7. FLIGHT-TESTING

1. **SYSTEM ELEMENT DESCRIPTION**. Provides for evaluation of the activities and data related to issuance of Type Inspection Authorization, conducting the required ground and flight test items, and documentation/approval of the results.

2. **SYSTEM ELEMENT STANDARDIZED EVALUATION CRITERIA**. The following criteria are used to document the evaluation of this system.

7-1. In the case of aircraft, does the evaluated facility have a flight safety program per Order 4040.26?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. Procedures provide for a flight safety program that includes, as a minimum:
   (1) Risk assessment and mitigation.
   (2) Monitoring of crew duty hours.
   (3) Periodic review of accidents and incidents.
   (4) Mandatory safety meetings.
   (5) Safety review board meetings for medium and high risk tests.
   (6) Identification of ARs authorized to approve risk assessment.
b. There is objective evidence of observance to established procedures.

7-2. Was the aircraft or component in compliance or likely to comply prior to FAA flight testing?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. The applicant conducted tests or otherwise showed compliance to the regulations prior to FAA flight tests.
b. FAA conformity inspections were completed and unsatisfactory conditions were properly dispositioned by the appropriate ARs prior to FAA flight tests.

7-3. Was the Type Inspection Authorization, including revisions/supplements, complete and accurate?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. All elements of the Type Inspection Authorization (TIA) were found acceptable in accordance with the following:
   (1) The required flight safety [risk] assessment was conducted in an acceptable manner and properly documented prior to conducting the flight tests.
   (2) The airworthiness certification of the flight test article was accomplished and appropriate for the TIA flight-testing.
   (3) The TIA identified all required limitations and information, including any special operating limitations required for the flight test article.
   (4) The TIA identified all FAA conformity inspections required to accomplish the flight tests.
   (5) The TIA identified all FAA ground and flight tests required to demonstrate compliance with the airworthiness standards.
   (6) Flight Test Plans adhered to all FAA policy and procedures, and deviations were properly coordinated.
   (7) The tests identified on the TIA are adequate to demonstrate compliance with the applicable airworthiness standards.
   (8) The testing included Human Factors evaluation, if required.
   (9) Verification that the flight test aircraft conforms to the type design prior to compliance testing.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

(10) Verification of each flight test configuration for compliance testing including test equipment.
(11) Verification of product attributes applicable to the flight test. e.g., weight and balance, flight control tensions and travels.
(12) Witnessing ground operational tests.
(13) Safety inspections.
(14) Verification that the product is safe for operation.
(15) Verification that other tests such as operational suitability are prescribed.

b. Specific airworthiness standards applicable to the product involved are reviewed to insure a complete and effective inspection is accomplished.

7-4. Did the (Supplemental) Type Inspection Report document results of all required ground tests, inspections, and flight tests?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:

a. The (Supplemental) Type Inspection Report (TIR) documented that all Type Inspection Authorization (TIA) requirements were accomplished, analyzed and found to comply with the criteria, requirements, and regulations in accordance with the following:
(1) Part I to the TIR documented all FAA conformity requirements as specified in the TIA.
(2) Part I to the TIR included proper documentation and disposition of any unsatisfactory conformity items.
(3) Part II to the TIR included all required administrative items, including certification basis, serial effectivity, flight test log, and documentation of any unusual items or non-compliance with the airworthiness standards.
(4) Part II to the TIR shows that each required flight test was accomplished satisfactorily in accordance with the TIA.
(5) Part II to the TIR shows that any tests accomplished contrary to the instructions and conditions authorized by the TIA are documented and found to comply with the appropriate airworthiness standards.
(6) Part II to the TIR documented results of each TIA flight test item, including any required analysis of test results and human factors evaluation (if required), and shows compliance to the appropriate airworthiness standards.
(7) The TIR (Parts I and II) were reviewed by appropriate inspection and technical ARs prior to approval.
(8) The TIR was completed and approved within the required time.
(9) Other tests such as operational suitability were successfully completed and documented in the TIR.
(10) Deviations to the approved TIA and test plan were documented and approved prior to conducting the tests.
(11) The flight test results and any discrepancies and non-compliances were documented and approved.
(12) The TIR/STIR form includes references to the applicable airworthiness standards.

b. There is objective evidence of compliance with the FAA approved procedure manual.

c. The TIR/STIR report is completed accurately in accordance with the FAA approved procedure manual and is completed within the required time frame.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

SECTION 8. CONTINUED AIRWORTHINESS

1. **SYSTEM ELEMENT DESCRIPTION**. The function which assures the continued airworthiness of the product.

2. **SYSTEM ELEMENT STANDARDIZED EVALUATION CRITERIA**. The following criteria are used to document evaluation of this system element.

8-1. Does the organization make available Instructions for Continued Airworthiness, including changes, to appropriate persons?

Applicability:

DAS	DOA	SFAR36
21.50	21.50	N/A

Statement of Condition:
a. There is objective evidence that the Instructions for Continued Airworthiness, including changes, have been furnished or made available, as applicable, to the appropriate persons.

8-2. Are Instructions for Continued Airworthiness developed for all design approvals or changes, when appropriate?

Applicability:

DAS	DOA	SFAR36
21.50	21.50	N/A

Statement of Condition:
a. Procedures provide for a method to:
(1) Ensure ICA are developed for all design approvals, or determine that revisions to the ICA are not necessary.
(2) Coordinate the ICA with the OMT and AEG.
(3) Ensure ICA are accepted prior to first delivery or issuing the standard airworthiness certificate, whichever occurs later.
b. There is objective evidence of observance to established procedures.

8-3. Does the organization specify new inspection criteria or repair limits, when applicable?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:
a. Procedures include development of inspection criteria or repairable limits, e.g., crack lengths, dent depth, wear limits. when applicable.
b. There is objective evidence of observance to established procedures.

8-4. Are there procedures for receiving feedback on service problems from users/installers of the product/part thereof?

Applicability:

DAS	DOA	SFAR36
21.493	21.293	13(C)

Statement of Condition:
a. Procedures provide for:
(1) Identification of an individual to receive reports of service difficulties.
(2) A system of tracking for accountability.
(3) Maintaining the data files per the regulations.
(4) Ensuring the information is complete.
b. There is objective evidence of observance to established procedures.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

8-5. Are service problems investigated and prompt corrective actions taken, by the evaluated facility?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:

a. Procedures provide for:
   (1) A method of investigating, identifying, locating and reporting suspected unsafe products.
   (2) FAA notification of potential unsafe conditions.
   (3) Prompt corrective action, which includes, as a minimum:
      (a) Root cause determination and correction of deficient design or manufacturing.
      (b) A means of reporting, purging, tracking, and accountability of known unsafe products.

b. There is objective evidence of observance to established procedures.

8-6. When corrective action is required by AD's, is information on the design changes made available to all owners and operators of the product?

Applicability:

DAS	DOA	SFAR36
21.99	21.99	N/A

Statement of Condition:

a. There is objective evidence that all applicable descriptive data and information covering approved design changes made as a result of AD incorporation or improvements which contribute to the safety of the product have been made available to product users.

8-7. Is a record or file of reported service difficulties generated and maintained?

Applicability:

DAS	DOA	SFAR36
21.493	21.293	13(C)

Statement of Condition:

a. There is objective evidence that a record, or file as applicable, has been generated and maintained.

b. When procedures for preparing a record or file of service difficulties have been established, they should provide for, as a minimum:
   (1) Dates of receipt, what was reported, and action taken.
   (2) Record legibility, completeness, and accuracy.
   (3) Requirements that tape files, microfilm, etc., used for record retention exhibit legible data, acceptance stamps and/or signatures, as required.

8-8. Is there a means for keeping users of the product/part thereof informed of service information?

Applicability:

DAS	DOA	SFAR36
X	X	X

Statement of Condition:

a. Procedures provide for informing product users of service-related information for suspected or known unsafe conditions, e.g., service bulletins.

b. There is objective evidence of observance to established procedures.

APPENDIX 5. EVALUATION CRITERIA (CONTINUED)

8-9. Does the evaluated facility evaluate the effect on continued airworthiness or service issues for the product based on results from follow-on life cycle testing?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. Procedures provide for the evaluation of test results from follow-on life cycle testing for their effect on the continued airworthiness of the product.
b. There is objective evidence of observance to established procedures.

8-10. Do authorized personnel approve service bulletins and maintenance manuals?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. Procedures define specific organizational and individual responsibilities for approving service bulletins and maintenance manuals.
b. There is objective evidence of observance to established procedures.

8-11. Are service bulletins, maintenance manuals, and changes thereto, forwarded to the delegation oversight ACO?

Applicability:

DAS	DOA	SFAR36
X	X	N/A

Statement of Condition:
a. Procedures provide for the submittal of service bulletin and maintenance manual issuances, and changes thereto, to the managing ACO.
b. There is objective evidence of observance to established procedures.

8-12. Does the evaluated facility investigate unairworthy conditions or unsafe features or characteristics reported by the FAA?

Applicability:

DAS	DOA	SFAR36
21.477	21.277	12

Statement of Condition:
a. There is objective evidence that the evaluated facility has:
(1) Investigated reports of unairworthy conditions or unsafe features or characteristics reported by the FAA.
(2) Reported investigation results and the action, if any, taken or proposed.

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U.S. Department
of Transportation

**Federal Aviation
Administration**

Directive Feedback Information

Please submit any written comments or recommendations for improving this directive, or suggest new items or subjects to be added to it. Also, if you find an error, please tell us about it.

Subject: Order 8100.9A, DAS, DOA, and SFAR 36 Authorization Procedures

To: Directive Management Officer, AIR-530

(*Please check all appropriate line items)*

☐ An error (procedural or typographical) has been noted in paragraph _____ on page _____ .

☐ Recommend paragraph _____ on page _____ be changed as follows:
(attach separate sheet if necessary)

☐ In a future change to this directive, please include coverage on the following subject
(briefly describe what you want added):

☐ Other comments:

☐ I would like to discuss the above. Please contact me.

Submitted by: _____ Date: _____

FTS Telephone Number: _____ Routing Symbol: _____

FAA Form 1320–19 (8-89)(Representation)