FAA
AVS-60, Organization Designation Authorization Office

Draft Aviation Safety (AVS) Quality Management System (QMS) Work Instruction (WI)

Draft Quality Policy Manual (QPM) AVS-060-001-W1, Risk Based Decision Making Process for Minimum ODA Holder Surveillance Activities Work Instruction

Purpose: This draft QMS WI is an internal policy document intended for FAA use. The FAA is not soliciting comments on this draft QMS WI. The FAA is providing this draft QMS WI as supplementary information for the public comment period of draft Revision C of FAA Order 8100.15, Organization Designation Authorization Procedures.

AVS-060-001-W1

Risk Based Decision Making Process for Minimum Organization Designation Authorization (ODA) Holder Surveillance Activities Work Instruction

Purpose

The purpose of this process is to provide the details of how Aviation Safety (AVS) employees will determine the minimum required organization management team (OMT) surveillance activities for oversight of ODA holders. The goals of this process are to:

- Determine the Organization Impact the ODA holder's parts, products, approvals, and/or certificates present to the National Airspace System (NAS);
- Determine the surveillance window for an ODA holder based on the organization's performance;
- Determine the system impact of the ODA holder's system elements for focused surveillance activities; and
- Determine the system impact of each authorized function delegated to the ODA holder for focused surveillance activities.

Scope

The Risk Based Decision Making Process applies to all AVS offices and individuals that appoint and oversee delegated organizations.

REVISION HISTORY		
Rev	**Description of Change**	**Effective Date**
0	Original	MM/DD/YY

1. Risk Based Decision Making Process Overview

1.1. ODA Delegation

ODA delegation is essential to AVS because it leverages industry resources to perform FAA functions, which allows FAA resources to focus on activities that are more critical. Management of delegation programs is inherently governmental and must be a top priority within AVS.

1.2. Risk-Based Surveillance Supports the Systems Approach to ODA Oversight

Effective use of ODA relies on a systems approach where the ODA holding organization follows a prescribed system, and where the FAA manages the authorization and oversees the organization's system performance. ODA system surveillance is a specific component of ODA oversight that allows the FAA to adjust and target surveillance activities based on: 1) the performance of an organization's ODA system, 2) its commitment to continuous improvement, and 3) its proactive approach to incorporating corrective action. The surveillance model prescribed in this work instruction is a risk-based approach in that it tailors and targets the required surveillance activities based on the likelihood and severity of a failure occurring in the organization's ODA system. The likelihood of failure is based on data collected relative to the organization's activity and past performance. Severity is assigned a value by the model, which is controlled through this work instruction. Outputs are not assigned traditional safety-risk levels but are identified in relative terms with an increase in activities where the system impact of performance failures is higher.

1.3. Decision Making Process for Minimum ODA Holder Surveillance Activities

This Quality Management System (QMS) process identifies and documents the process flow and key decisions needed to implement a risk-based surveillance approach. Figure 1.1 illustrates the detailed assessments defined within this process. Successful surveillance requires that sufficient FAA resources be allocated to accomplish not only the minimum number of surveillance activities prescribed by this model, but also any additional activities determined by the FAA OMT that are needed to ensure effective management and efficient oversight of ODA holding organizations.

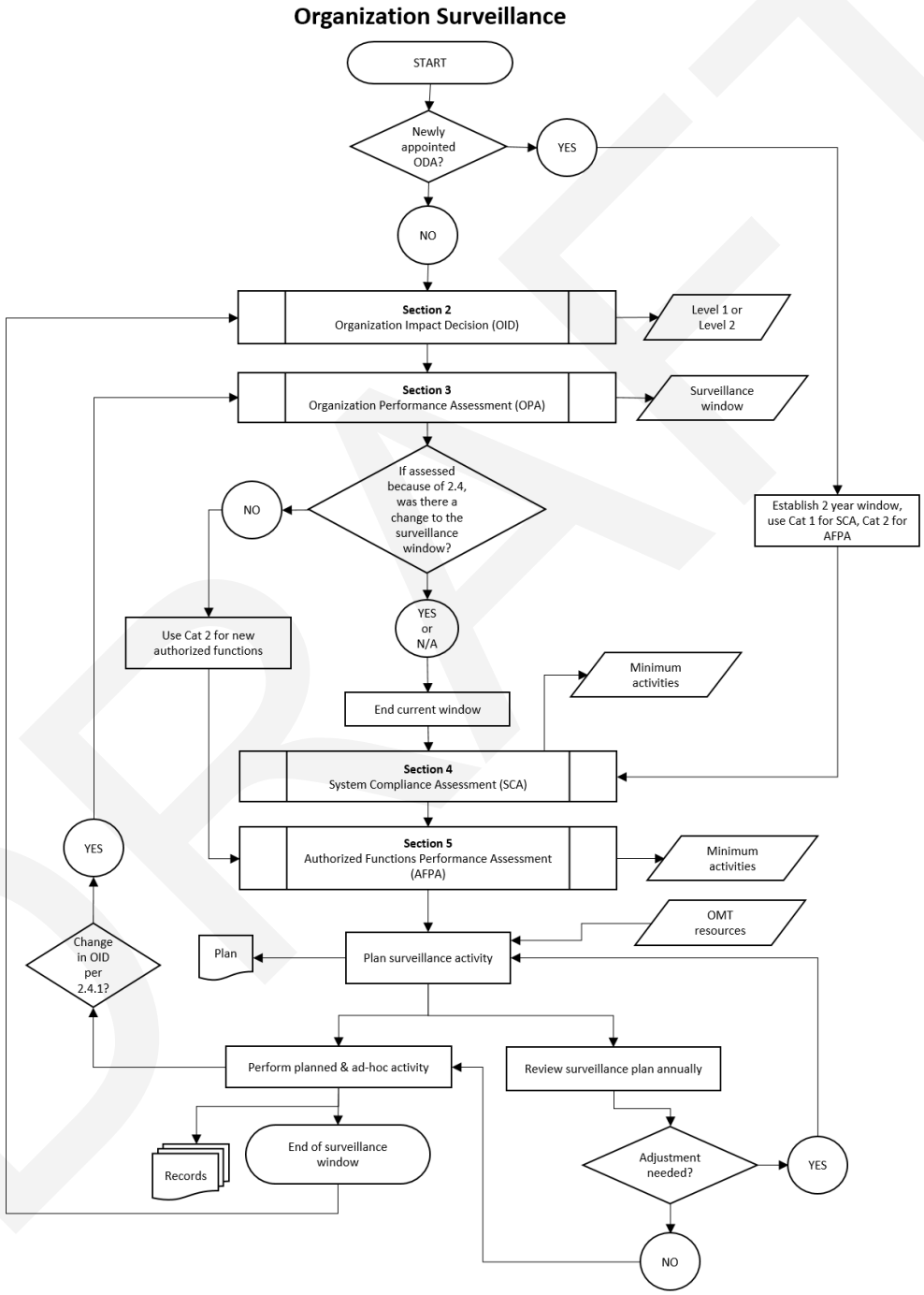


Figure 1.1 ODA Surveillance Overview

2. Organization Impact Decision (OID)

2.1. Process Objective – OID.

The objective of the OID is to assign an appropriate level of impact for each organization to help describe what minimum surveillance requirements to apply. The level of impact is established by the number of ODA types the organization is authorized and the complexity of the authorization.

> **Note:** Newly appointed ODA holders are given a two-year initial surveillance window based on the date of appointment. See FAA Order 8100.15C, Organization Designation Authorization for details on transitioning the surveillance window from calendar year to fiscal year at the end of the initial window. Proceed to paragraph 4. System Compliance Assessment to complete this work instruction.

2.2. Process Definitions – OID.

2.2.1. *Level 1 Organization*. An organization that poses a greater impact to the NAS.

2.2.2. *Level 2 Organization*. All other organizations that do not qualify as a Level 1 Organization.

2.3. Process Details – OID.

Once the ODA holder is authorized, the FAA must determine what level of impact that ODA holder poses within the NAS. This process outlines the steps to make that determination.

2.3.1. *Responsibilities*. To complete this assessment, these individuals have the following responsibilities:

2.3.1.1. OMT Lead. The OMT Lead is responsible for documenting this decision.

2.3.1.2. OMT Office Manager(s). The OMT Office Manager(s) are responsible for ensuring the organization has been classified as a Level 1 or Level 2 Organization.

2.3.2. *Number of ODA Types*. Select the number of ODA Types.

2.3.2.1. One (1) ODA Type. If the authorization is for a single type of ODA, the OMT will identify the ODA holder as:

2.3.2.1.1. **Type Certification ODA (TC ODA).** Level 1 Organization.

2.3.2.1.2. **Production Certification ODA (PC ODA).** Level 1 Organization.

2.3.2.1.3. **Air Operator ODA (AO ODA).** Level 1 Organization.

2.3.2.1.4. **Airmen Certification ODA (AC ODA).** The level classification for AC ODA type functions is dependent on the complexity of the applicable 14 CFR part associations.

- CFR Parts 141, 145 and 147 classify the ODA holder as a Level 2 Organization.
- CFR Parts 121, 135 and 142 classify the ODA holder as a Level 1 Organization.

2.3.2.1.5. **Supplemental Type Certification ODA (STC ODA).** To appropriately classify an STC organization, more information is needed.

- The ODA holder must be classified as a Level 1 Organization if;
    - The ODA holder has conducted projects in the last surveillance cycle that are classified as significant under 14 CFR § 21.101, which indicates a higher level of complexity; or
    - The ODA holder designs critical articles, life-limited articles, or influencing articles (only applicable for engine life-limited articles).
- All other ODA holders are classified as a Level 2 Organization.

2.3.2.1.6. **Major Repair, Alteration, and Airworthiness ODA (MRA ODA).** To appropriately classify an MRA organization, more information is needed. The information used to make this determination is based on the operating certificate of the aircraft receiving the repair or alteration, airworthiness certification, or inspection.

- The ODA holder must be classified as a Level 1 Organization if the ODA holder is going to use its authorized authority on any aircraft that operates or would be required to operate under:
    - 14 CFR part 121 Operating Requirements: Domestic, Flag, and Supplemental Operations
    - 14 CFR part 135 Operating Requirements: Commuter and On Demand Operations and Rules Governing Persons on Board Such Aircraft

- 14 CFR part 91K Operating Requirements: Fractional Ownership Operations

- All other ODA holders are classified as a Level 2 Organization.

2.3.2.1.7. **Technical Standard Order Authorization Holder ODA (TSOA ODA).** Level 2 Organization.

2.3.2.1.8. **Parts Manufacturer Approval ODA (PMA ODA).** To appropriately classify a PMA organization, more information is needed.

- The ODA holder must be classified as a Level 1 Organization if the ODA holder is authorized test and computation functions involving critical articles, life-limited articles, or influencing articles (only applicable for engine life-limited articles).

- All other ODA holders are classified as a Level 2 Organization.

2.3.2.2. Two (2) ODA Types. If the ODA holder is authorized for two types of ODA and the combination includes a Level 1 Organization, then the ODA holder must be classified as a Level 1 Organization. Otherwise, it may be classified as a Level 2 Organization.

2.3.2.3. Three (3) ODA Types. If the ODA holder's authorization includes three or more separate ODA types, that organization must be classified as a Level 1 Organization.

2.4. Process Completion – OID

Once the organization has been assessed by the FAA at a given level, it will remain at that level unless there is a change to the authorization that results in a change to the OID.

2.4.1. If the organization's level changes from a Level 2 Organization to a Level 1 Organization, the OMT must reassess the ODA holder's OPA to determine if there is a change to the surveillance window. (See also paragraph 3.2.6).

2.4.2. If the organization's level changes from a Level 1 Organization to a Level 2 Organization, continue with the current surveillance window. See FAA Order 8100.15 paragraph 4-18a(6) for details on adjusting the surveillance plan.

3. Organization Performance Assessment (OPA)

3.1. Process Objective – OPA

The objective of the OPA is to determine the performance based surveillance window for an individual ODA holder by answering specific organization performance questions.

3.2. Process Details – OPA

The OPA contains twelve (12) questions regarding an organization's culture and environment; authorized functions and programs; and their continuous improvement system. Table 3-1 provides a summary of the OPA questions, answers, values, and weights. The paragraphs referenced in the table provide additional information and guidance to answering the questions.

3.2.1. *Responsibilities*. To complete this assessment, the OMT participants have the following responsibilities:

3.2.1.1. OMT Lead. The OMT Lead is responsible for ensuring the completion of the OPA within the 90 days prior to the end of any current surveillance window.

Table 3-1. Organization Performance Assessment Values and Weights

	Indicators	Answers & Values					Wt.
		1	2	3	4	5	
Culture & Environment (3.2.2)	Freedom from Interference	No				Yes	2.0
	Management Support of ODA Requirements	Rarely		Sometimes		Usually	5.0
	Changes Within the ODA Unit	Yes, Change x > 15%	Yes, Change 10% < x < 15%	Yes, Change 5% < x < 10%	Yes, Change x < 5%	None	3.0
ODA Activity & Quality (3.2.3)	Functions Exercised	< 25%	25%	50%	75%	100%	2.0
	ODA Workload	Great Extent	Considerable Extent	Moderate Extent	Limited Extent	None At All	4.0
	Quality of Submittals to FAA	Very Poor	Below Average	Average	Above Average	Excellent	1.0
	Potential Unsafe Conditions and/or Operators	Yes				No	1.0
Continuous Improvement (3.2.4)	Assesses Compliance to Regulations & Processes	No				Yes	2.0
	Internal Audit of All ODA Unit Members	No				Yes	2.0
	Non-Initiated Corrective Actions	x > 60%	30% <x < 60%	15% < x < 30%	5% < x < 15%	0% < x < 5%	1.0
	Unacceptable Corrective Action Plans	x > 50%	30% <x < 50%	15% < x < 30%	5% < x < 15%	0% < x < 5%	3.0
	Failed Corrective Action Verifications	x > 50%	30% <x < 50%	15% < x < 30%	5% < x < 15%	0% < x < 5%	2.0

3.2.2. *Answer the Culture and Environment Questions*. Choose an answer from Table 3-1 using the questions and guidance listed below.

3.2.2.1. Freedom from Interference. Does Organizational Culture allow ODA unit members (UMs) to perform functions without interference?

- Examples include:
  - Sufficient authority for the ODA administrator to manage the ODA holder's functions without influence from others.

- Ensuring the ODA UMs are free from any conflicting duties while performing the authorized functions and have sufficient authority and independence to enable the ODA unit to administer the pertinent regulation(s) effectively.
- Ensuring corrective actions related to an act of interference are completed in a timely manner.
- Ensuring all required individuals attend all required interference training.
- ODA holder reports of interference contained the required information and any action taken by the ODA holder was appropriate, including determinations that the reports were found not to be interference.

3.2.2.2. Management Support of ODA Requirements. Are managers of UMs familiar with ODA requirements in order to provide adequate resources to the ODA Unit?

- Management is aware of the expectations and requirements of the ODA holder and the resources that the UMs need to perform adequately.

3.2.2.3. Changes within the ODA Unit. Is the overall UM staffing of the ODA relatively stable, i.e., has there been a significant change (additions, reductions, or turnover) in total ODA UMs since the last assessment?

- ODA UM turnover, reductions and layoffs, growth, or expansion may have an impact on organizational stability of the ODA unit.
- When assessing this indicator, all positions within an organization should be considered relevant.
- For example, a turnover could be: Sally replaces Sam, this is considered one change. Since the ODA unit is comprised of 20 unit members, the change is equal to 5%.

3.2.3. *Answer ODA Activity and Quality Questions*. Choose an answer from Table 3-1 using the questions and guidance listed below.

3.2.3.1. Exercising Authorized Functions. Is the ODA exercising all of its authorized functions?

- The concept is that if an ODA is not exercising their authority they may become unfamiliar with performing the function(s) and not stay up with the latest methods and techniques for finding compliance, issuing certificates, and/or administering tests. In this case, the more an ODA holder exercises its system to perform more of the authorized functions the less likely it is to produce a noncompliant product.

3.2.3.2. Workload Impact on ODA Performance. Has the workload of the ODA unit negatively influenced its ability to perform effectively during the last performance period?

- A busy ODA unit does not necessarily mean there is an issue. This evaluation should consider the number of activities the ODA unit is involved in as well as the effort required on those projects. A small number of large projects could put a higher burden on the ODA unit than a large number of relatively small projects. This should also include work they may be involved in outside of their ODA unit, such as other work they are doing for the ODA holder or other ODA unit(s).
- Another consideration is a sudden change in an ODA unit's workload. A sudden increase in workload could overwhelm an ODA unit that is not used to a high activity level or if their normal workload is excessive, it could influence the ODA unit's effectiveness in performing their delegation.

3.2.3.3. Quality of Submittals to the FAA. Are the documents submitted to the FAA by the ODA holder comprehensive and appropriate to the activity? Examples may include:

- Certification Plans. Do certification plans propose comprehensive/appropriate methods of compliance?
    - An ODA holder that can consistently submit comprehensive certification plans is demonstrating a complete understanding of the regulations involved.
- Conformity Inspection Plans. Do conformity inspection plans identify all proposed conformity activities, where the activities will take place, and a timeframe for those conformity activities?
    - The ODA holder provides adequate information in the conformity plan including determination of critical components and consistently meets scheduled plans.

- Within the conformity plan, the ODA holder ensures that the unit members have the technological and regulatory expertise to complete the conformity activity.
  - The ODA holder maintains training records and complies with FAA training requirements.

- Flight Standards Functions. Do the required submittals:
  - Meet the performance expectations outlined in the Procedures Manuals for each activity?
  - Meet the content and timeframe requirements of FAA directives and policies?
  - Do the final documents meet all of the requirements for each activity and the associated program elements (for example: tests performed resulted in a certificate issued)?
  - Do overall activity reporting and FAA database records correlate?

3.2.3.4. Potential Unsafe Conditions and/or Operators. Has the ODA holder reported, or the OMT found, any potential unsafe conditions/operations that have resulted in airworthiness directive or certificate action? If so, have these issues been traced back to inadequate ODA performance?

3.2.4. *Answer the Continuous Improvement Questions*. Choose an answer from Table 3.1 using the questions and guidance listed below.

3.2.4.1. Assesses Compliance to Regulations & Processes. Do internal audit processes specifically assess compliance with regulatory and procedural requirements levied on the ODA holder?

- A robust internal audit program is key to determining the amount of oversight a particular ODA holder requires. If the existing internal audit program does not assess compliance with regulatory and procedural requirements it is not a robust program and indicates more oversight is required by the FAA.

3.2.4.2. Internal Audit Evaluation of Unit Members. Did the ODA holder evaluate 100% of their ODA UMs annually using the criteria in Appendix C, Section 3.0 from FAA Order 8100.15 as part of their internal audit?

3.2.4.3. Non-Initiated Corrective Actions. What percentage of the total noncompliances or performance issues that have been communicated to the ODA Administrator has not begun the corrective action process?

- High percentages indicate that the ODA holder is not being proactive in incorporating improvements into their system.

Note: Any items requiring corrective action that have been communicated by the FAA to the ODA holder within 30 days of this assessment may be excluded from the percentage.

3.2.4.4. Unacceptable Corrective Action Plans. What percentage of the total submitted corrective action plans have been unacceptable to the FAA?

- Unacceptable corrective action plans indicate an ODA holder is either failing to do an adequate job in investigating the issue, determining the root cause(s), and/or proposing sufficient actions to prevent reoccurrence of the noncompliance/discrepancy.

3.2.4.5. Failed Verifications. What percentage of the implemented corrective actions has failed verification by the FAA?

- Failed verifications indicate an ODA holder's implemented corrective action was either inadequate or inappropriate to correct the noncompliance/discrepancy.

3.2.5. *Calculate the Organization Performance Value*. Use the following equation to calculate the performance value:

$$\text{Organization Performance Value} = \sum(\text{Answer Value} \times \text{Weight})$$

3.2.6. *Determine the Surveillance Window.* Once the Organization Performance Value is calculated, apply the value to Table 3-2 below to determine appropriate surveillance window.

Once the organization has been assessed by the FAA, the surveillance window is set. If the FAA finds that the ODA is having performance or compliance issues during the surveillance window, the OMT may increase involvement in programs and/or increase surveillance activities on an ad-hoc basis to assist the ODA holder toward improvement.

If the ODA holder has a change in authorization that resulted in a reassessment of the OPA (paragraph 2.4) and the surveillance window did not change, continue with the current surveillance plan in accordance with FAA Order 8100.15 paragraph 4-18a(6). If a new surveillance window is identified, end the current surveillance window as soon as

practicable, complete the remaining assessments of this process, and develop a new surveillance plan in accordance with FAA Order 8100.15 paragraph 4-18a.

Table 3-2. Surveillance Window

Organization Level	Organization Performance Value	Overall System Risk	Surveillance Window (years)
1	x > 112	Low	3
	112 ≥ x ≥ 56	Medium	2
	x < 56	High	1
2	x > 112	Low	4
	112 ≥ x ≥ 56	Medium	3
	x < 56	High	1

4. System Compliance Assessment (SCA)

4.1. Process Objective – SCA

The objective of SCA is to determine the impact of each system element in order to define the minimum number of System Element related Compliance Surveillance Activities required to be completed within the surveillance window determined in Section 3.0.

4.2. Process Definitions – SCA

4.2.1. Compliance Surveillance Activity: An evaluation of the ODA holder's compliance to manual procedures and processes using the criteria in FAA Order 8100.15, Appendix C, Section 2.0.

4.2.2. System Element: Elements of the ODA holder's system is a means to categorize the requirements that an ODA holder has to meet to be in compliance with the regulatory requirements for their authorization. The following are the identified system elements:

- Procedures Manual.
- Records.
- Unit Members.
- Training.
- Internal Audit.
- Corrective Action.
- Service Monitoring.
- ODA Programs and Authorized Functions.

4.2.3. Compliance Category: The compliance category is based on the non-corrected oversight finding records generated during both FAA ODA oversight and/or ODA holder internal audits and service monitoring. The compliance categories are listed below:

4.2.3.1. Category 1. (0) noncompliances found by FAA or ODA within the previous surveillance window or all noncompliances have been implemented through the corrective action process.

4.2.3.2. Category 2. (1-2) non-systemic noncompliances found by FAA or ODA within the previous surveillance window that have not been implemented via the corrective action process.

4.2.3.3. Category 3. (3) non-systemic noncompliances or 1 systemic noncompliance found by FAA or ODA within the previous surveillance window that has not been implemented via the corrective action process.

4.2.3.4. Category 4. (4+) non-systemic noncompliances or 2 systemic noncompliances found by FAA or ODA within the previous surveillance window that have not been implemented via the corrective action process.

4.2.3.5. Category 5. (3+) systemic noncompliances found by FAA or ODA within the previous surveillance window that have not been implemented via the corrective action process.

> **Note:** Newly appointed ODAs are Category 1 for the initial surveillance window. Proceed to step 4.3.4.

4.3. Process Details – SCA

4.3.1. *Responsibilities*. To complete this assessment, the following OMT participants have the following responsibilities:

4.3.1.1. OMT Lead. The OMT Lead is responsible for ensuring the completion of the SCA within the 90 days prior to the end of any current surveillance window.

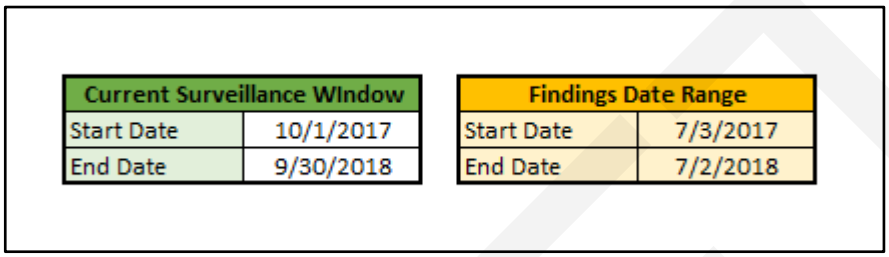
4.3.1.2. OMT Members. The OMT members are responsible for providing any needed information to the OMT lead to complete the data review.

4.3.2. *Conduct System Compliance Data Review*.

4.3.2.1. Data to Review. The OMT must review the FAA's Oversight Findings related to System Compliance Audits as well as the ODA holder's findings from their internal System Compliance Audits and establish whether corrective action has been implemented for these findings. The data review should result in a count of noncompliances for each system element, both systemic and non-systemic, that have not had corrective action implemented by the ODA holder.

> **Note:** Include any data associated with noncompliances resulting from ad-hoc surveillance activity that was categorized under a system element.

4.3.2.2. Data Date Range. The data for this review comes from the current surveillance window and the final 90 calendar days of the previous surveillance window. The findings that are within 90 calendar days of the end current surveillance window are excluded from the data review to allow the ODA holder proper time to implement corrective action. Figure 4.1 provides an example of this concept.



Current Surveillance WIndow	
Start Date	10/1/2017
End Date	9/30/2018

Findings Date Range	
Start Date	7/3/2017
End Date	7/2/2018

Figure 4.1 – Data Date Ranges

4.3.3. *Determine The Compliance Category*. Once the System Compliance data review is complete, the OMT lead applies the counts to the compliance category definitions listed in paragraph 4.2.3 above and determines the compliance category for each System Element.

4.3.4. *Determine the System Element Impact and Minimum Surveillance Activities*. Once the compliance category is determined for each System Element, Table 4-1 identifies the system impact and the associated minimum surveillance activities.

> **Note:** The Element Severity in table 4-1 is predetermined and is not calculated by this process.

Table 4-1. System Compliance Assessment Results

System Element	Element Severity	Compliance Category	System Impact	Minimum Activities
Procedures Manual	Class A	Category 5	Medium	3
		Category 4	Medium	3
		Category 3	Low	1
		Category 2	Low	1
		Category 1	Low	1
Records	Class A	Category 5	Medium	3
		Category 4	Medium	3
		Category 3	Low	1
		Category 2	Low	1
		Category 1	Low	1
Unit Members	Class B	Category 5	High	4
		Category 4	Medium	3
		Category 3	Medium	3
		Category 2	Low	1
		Category 1	Low	1
Training	Class B	Category 5	High	4
		Category 4	Medium	3
		Category 3	Medium	3
		Category 2	Low	1
		Category 1	Low	1
Internal Audit Program	Class C	Category 5	High	4
		Category 4	High	4
		Category 3	Medium	3
		Category 2	Medium	3
		Category 1	Low	1
Corrective Action	Class C	Category 5	High	4
		Category 4	High	4
		Category 3	Medium	3
		Category 2	Medium	3
		Category 1	Low	1
Service Monitoring	Class B	Category 5	High	4
		Category 4	Medium	3
		Category 3	Medium	3
		Category 2	Low	1
		Category 1	Low	1
ODA Programs & Authorized Functions	Class C	Category 5	High	4
		Category 4	High	4
		Category 3	Medium	3
		Category 2	Medium	3
		Category 1	Low	1

4.4. SCA Example

System Element: Unit Members

Data Collected:

- Findings: (3) Oversight Findings during the finding date range from 7/3/2017 – 7/2/2018.
  - (2) Findings are Non-Systemic
  - (1) Finding is Systemic.
- Corrective Action Status: Reviewed the Corrective Action reports from the ODA holder.
  - (1) Systemic Finding has Corrective Action Implemented
  - (2) Non-Systemic Findings do not have implemented Corrective Actions

Category Determination: Apply the counts to definitions, which results in Category 2.

System Impact and Minimum Surveillance Determination: Per Table 4-1, Category 2 for the Unit Member System Element results in Low System Impact. The OMT is responsible for (1) System Compliance Activity during the Surveillance Window.

5. Authorized Function Performance Assessment (AFPA)

5.1. Process Objective – AFPA

The objective of the AFPA is to determine the system impact of each authorized function per role and discipline represented on the OMT. The OMT must perform a minimum of one activity per authorized function per discipline per year of Authorized Function Performance Surveillance Activities. This assessment determines if activity above the annual minimum is required to be completed within the surveillance window defined in Section 3.

5.2. Process Definitions – AFPA

5.2.1. *Authorized Function Surveillance Activity.* An evaluation of the ODA holder's performance of their authorized functions using the criteria in FAA Order 8100.15, Appendix C, Section 3.0.

5.2.2. *Performance Category*. The performance category is based on the non-corrected oversight finding records generated during both FAA ODA oversight and ODA holder internal audits and service monitoring.

5.2.2.1. Category 1. (0) performance issues found by FAA or ODA within the previous surveillance window, or all performance issues have been implemented via the corrective action process.

5.2.2.2. Category 2. (1-2) non-systemic unsatisfactory performance issues found by FAA or ODA within the previous surveillance window that have not been implemented via the corrective action process.

5.2.2.3. Category 3. (3) non-systemic unsatisfactory performance issues or 1 systemic unsatisfactory performance issue found by FAA or ODA within the previous surveillance window that has not been implemented via the corrective action process.

5.2.2.4. Category 4. (4+) non-systemic unsatisfactory performance issues or 2 systemic unsatisfactory performance issues found by FAA or ODA within the previous surveillance window that have not been implemented via the corrective action process.

5.2.2.5. Category 5. (3+) systemic unsatisfactory performance issues found by FAA or ODA within the previous surveillance window that have not been implemented via the corrective action process.

Note: Newly appointed ODAs are Category 2 for the initial surveillance window. Understand the descriptive information below then proceed to step 5.3.3.

5.2.3. *Role.* The service office and job function of an individual. For an OMT the roles are as follows:

- AIR Engineer (ENG)
- AIR Inspector (MFG)
- FS Inspector (FS)

5.2.4. *Disciplines.* The following disciplines are defined for the Roles identified above.

5.2.4.1. AIR Engineering

- Structures
- Power Plant Installations
- Mechanical Systems and Equipment
- Electrical Systems and Equipment
- Engines
- Propellers
- Flight Analyst
- Flight Test Pilot
- Acoustics

5.2.4.2. AIR Manufacturing

- Manufacturing Inspector

5.2.4.3. Flight Standards

- Airworthiness Inspector - Maintenance
- Airworthiness Inspector - Avionics
- Operations Inspector

5.2.5. *Authorized Functions*. The following authorized functions get evaluated by the applicable listed disciplines during Authorized Function Performance Surveillance Activities.

5.2.5.1. Approve Technical Data and Find Compliance to Airworthiness Standards

- Structures
- Power Plant Installations
- Mechanical Systems and Equipment
- Electrical Systems and Equipment
- Engines
- Propellers
- Flight Analyst
- Flight Test Pilot
- Acoustics

5.2.5.2. Approve Operational or Repair Information

- Structures
- Flight Analyst
- Flight Test Pilot

5.2.5.3. Approve Airworthiness Limitations Information

- Structures
- Power Plant Installations
- Mechanical Systems and Equipment
- Electrical Systems and Equipment
- Engines
- Propellers

5.2.5.4. Establish Conformity Inspection Requirements

- Structures
- Power Plant Installations
- Mechanical Systems and Equipment
- Electrical Systems and Equipment
- Engines
- Propellers
- Flight Analyst
- Flight Test Pilot
- Acoustics

5.2.5.5. Perform Compliance Inspections - Engineering

- Structures
- Power Plant Installations
- Mechanical Systems and Equipment
- Electrical Systems and Equipment
- Flight Analyst
- Flight Test Pilot

5.2.5.6. Approve Data for Major Alterations or Major Repairs

- Structures
- Power Plant Installations
- Mechanical Systems and Equipment
- Electrical Systems and Equipment
- Engines
- Propellers
- Flight Analyst
- Flight Test Pilot
- Acoustics

5.2.5.7. Approve Electrical Wiring Interconnection System (EWIS) Instructions for Continued Airworthiness

- Electrical Systems and Equipment

5.2.5.8. Issue/Amend Standard Airworthiness Certificates

- Manufacturing Inspector
- Airworthiness Inspector - Maintenance

5.2.5.9. Issue/Amend Special Airworthiness Certificates

- Manufacturing Inspector
- Airworthiness Inspector - Maintenance

5.2.5.10. Issue Domestic Airworthiness Approvals

- Manufacturing Inspector
- Airworthiness Inspector - Maintenance
- Airworthiness Inspector - Avionics

5.2.5.11. Issue Export Airworthiness Approvals – Articles

- Manufacturing Inspector
- Airworthiness Inspector - Maintenance
- Airworthiness Inspector - Avionics

5.2.5.12. Issue Export Airworthiness Approvals – Products

- Manufacturing Inspector
- Airworthiness Inspector - Maintenance

5.2.5.13. Issue Special Flight Permits

- Manufacturing Inspector
- Airworthiness Inspector - Maintenance

5.2.5.14. Issue/Amend Special Airworthiness Certificates - Primary Category Aircraft

- Manufacturing Inspector

5.2.5.15. Issue/Amend Special Airworthiness Certificates - Restricted Category Aircraft

- Manufacturing Inspector
- Airworthiness Inspector - Maintenance

5.2.5.16. Issue Provisional Airworthiness Certificates

- Manufacturing Inspector

5.2.5.17. Issue Replacement Airworthiness Certificates

- Manufacturing Inspector
- Airworthiness Inspector - Maintenance

5.2.5.18. Establish Conformity Inspection Requirements – Manufacturing

- Manufacturing Inspector

5.2.5.19. Determine Conformity of Articles including Test Articles and Software

- Manufacturing Inspector

5.2.5.20. Determine Conformity of Test Set-Up

- Manufacturing Inspector

5.2.5.21. Determine Conformity of Installations of Articles including TIA Inspections on a Product

- Manufacturing Inspector

5.2.5.22. Evaluate Production Limitations Record, PC, and Process Changes

- Manufacturing Inspector

5.2.5.23. Approve Minor Changes to Quality Control Manual/Procedures

- Manufacturing Inspector

5.2.5.24. Issue FAA Form 8130-31, Statement of Conformity - Military Aircraft

- Manufacturing Inspector

5.2.5.25. Perform Aging Aircraft Inspections and Records Reviews

- Airworthiness Inspector - Maintenance

5.2.5.26. Review Application for Operator Eligibility

- Airworthiness Inspector - Maintenance
- Airworthiness Inspector - Avionics
- Operations Inspector

5.2.5.27. Evaluate Rotorcraft Load Combination Flight Manual

- Operations Inspector

5.2.5.28. Administer Chief Pilot Knowledge and Skill Test

- Operations Inspector

5.2.5.29. Administer Operational Flight Checks

- Operations Inspector

5.2.5.30. Conduct Rotorcraft and Equipment Airworthiness Inspections

- Airworthiness Inspector - Maintenance
- Airworthiness Inspector - Avionics

5.2.5.31. Conduct Base Inspections

- Airworthiness Inspector - Maintenance
- Airworthiness Inspector - Avionics
- Operations Inspector

5.2.5.32. Issue Operating Certificate and Authorizations

- Operations Inspector

5.2.5.33. Evaluate and Approve Aircraft Inspection Programs

- Airworthiness Inspector - Maintenance
- Airworthiness Inspector - Avionics

5.2.5.34. Determine Eligibility of Previously Approved Intervals Greater than the Manufacturer's Inspection Intervals

- Airworthiness Inspector - Maintenance
- Airworthiness Inspector - Avionics

5.2.5.35. Conduct Pilot Airman Certification Tests

- Operations Inspector

5.2.5.36. Conduct Category II Practical Tests

- Operations Inspector

5.2.5.37. Conduct Category III Practical Tests

- Operations Inspector

5.2.5.38. Conduct Airman Certification Tests for Airframe Rating

- Airworthiness Inspector - Maintenance

5.2.5.39. Conduct Airmen Certification Tests for Powerplant Rating

- Airworthiness Inspector - Maintenance

5.2.5.40. Conduct Airmen Certification Tests for Airframe and Powerplant Ratings

- Airworthiness Inspector - Maintenance

5.2.5.41. Conduct Air Carrier Check Pilot or Evaluation

- Operations Inspector

5.2.5.42. Conduct AQP Initial Qualification Checks

- Operations Inspector

5.2.5.43. Conduct Airman Certificate Qualification Review (Administrative)

- Operations Inspector

5.2.5.44. Conduct Annual Proficiency Checks

- Operations Inspector

5.2.5.45. Conduct Instructor Observations

- Operations Inspector

5.2.5.46. Conduct Instructor Annual Proficiency Checks

- Operations Inspector

5.2.5.47. Conduct Evaluator Annual Proficiency Checks

- Operations Inspector

5.2.5.48. Perform Approvals in support of TC ODA Holder Projects

- Any engineering discipline or manufacturing inspector (depending on ODA type) with appropriate knowledge of the function performed

5.2.5.49. Perform Review and Acceptance of Instructions for Continued Airworthiness (ICA)

- Any Flight Standards discipline with appropriate knowledge of the function performed

5.2.5.50. Issue / Amend STCs

- Any engineering discipline with appropriate knowledge of the function performed

5.2.5.51. Issue PMA Supplements – Test and Computation

- Any manufacturing inspector with appropriate knowledge of the function performed

5.2.5.52. Issue PMA Supplements – Licensing Agreement or STC

- Any manufacturing inspector with appropriate knowledge of the function performed

5.3. Process Details – AFPA

5.3.1. *Responsibilities*. To complete this assessment, these OMT participants have the following responsibilities:

5.3.1.1. OMT Lead. The OMT Lead is responsible for ensuring that each role and discipline represented on the OMT has completed their portion of the assessment by the fourth quarter of the final fiscal year of the current surveillance window. If there are multiple members with the same role and discipline, the OMT Lead will coordinate with management to determine which team member is responsible for completing the assessment. The OMT Lead is responsible for ensuring the completion of the AFPA within the 90 days prior to the end of any current surveillance window.

5.3.1.2. OMT Members. Members of the OMT are responsible for completing and documenting the outcomes of the assessment for their respective role and discipline. If there are multiple members with the same role and discipline, only one member may complete the assessment. The OMT members must provide the OMT lead with a copy of their portion of the assessment.

5.3.2. *Conduct Authorized Function Performance Data Review*.

5.3.2.1. Data to Review. The OMT must review the FAA's Oversight Findings related to Authorized Function Performance Assessments as well as the ODA holder's findings from their internal Unit Member Performance Assessments and establish whether corrective action has been implemented for these findings. The data review should result in a count of unsatisfactory performance issues for each discipline per

authorized function, both systemic and non-systemic, that have not had corrective action implemented by the ODA holder.

Note: Include any data associated with performance issues resulting from ad-hoc surveillance activity that was categorized under an authorized function.

5.3.2.2. Data Date Range. The data for this review comes from the current surveillance window and the final 90 calendar days of the previous surveillance window. The findings that are within 90 calendar days of the end current surveillance window are excluded from the data review to allow the ODA holder proper time to implement corrective action. As shown previously, Figure 4.1 provides an example of this concept.

5.3.3. *Determine the Performance Category*. Once the Authorized Function Performance data review is complete, the OMT member for that function and discipline applies the counts to the Performance Category definitions listed in paragraph 5.2.2 above and determines the Performance Category for that function and discipline.

5.3.4. *Determine the Number of Unit Members*. The OMT member must determine how many unit members perform a function within a discipline.

5.3.4.1. This information may be found on the UM listing or provided to the OMT by the ODA holder.

5.3.4.2. For example, an ODA holder may have (50) Manufacturing UMs on their UM list, but not all (50) are authorized to perform conformity inspections on Test Set-Ups. Only (5) UMs are authorized that function code, so the UM count for this function/discipline combination is (5) and not (50).

5.3.5. *Determine the Authorized Function Performance Impact and Minimum Surveillance Activities*. Once the Performance Category is determined for a specific function and discipline, Table 5-1 identifies the system impact and the associated minimum surveillance activities.

Note: The Function Severity in table 5-1 is predetermined and is not calculated by this process.

Table 5-1. Authorized Function Performance Assessment Results

Authorized Function	Role	Function Severity	Performance Category	System Impact	Minimum Activities	
					Under 10 UM	Over 10 UM
Approve Technical Data and Find Compliance to Airworthiness Standards	ENG	Class C	Category 5	High	4	40% x UM Count
			Category 4	High	4	40% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Medium	3	30% x UM Count
			Category 1	Low	1	10% x UM Count
Approve Operational or Repair Information	ENG	Class C	Category 5	High	4	40% x UM Count
			Category 4	High	4	40% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Medium	3	30% x UM Count
			Category 1	Low	1	10% x UM Count
Approve Airworthiness Limitations	ENG	Class C	Category 5	High	4	40% x UM Count
			Category 4	High	4	40% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Medium	3	30% x UM Count
			Category 1	Low	1	10% x UM Count
Establish Conformity Inspection Requirements	ENG	Class B	Category 5	High	4	40% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Perform Compliance Inspections	ENG	Class C	Category 5	High	4	40% x UM Count
			Category 4	High	4	40% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Medium	3	30% x UM Count
			Category 1	Low	1	10% x UM Count
Approve Data for Major Alterations and Major Repairs	ENG	Class C	Category 5	High	4	40% x UM Count
			Category 4	High	4	40% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Medium	3	30% x UM Count
			Category 1	Low	1	10% x UM Count
Approve Electrical Wiring Interconnection System (EWIS) Instructions for Continued Airworthiness.	ENG	Class B	Category 5	High	4	40% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Issue/Amend Standard Airworthiness Certificates	MFG	Class B	Category 5	High	4	40% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
	FS	Class A	Category 5	Medium	3	30% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Low	1	10% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count

Table 5-1. Authorized Function Performance Assessment Results (cont.)

Authorized Function	Role	Function Severity	Performance Category	System Impact	Minimum Activities	
					Under 10 UM	Over 10 UM
Issue/Amend Special Airworthiness Certificates	MFG	Class C	Category 5	High	4	40% x UM Count
			Category 4	High	4	40% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Medium	3	30% x UM Count
			Category 1	Low	1	10% x UM Count
	FS	Class C	Category 5	High	4	40% x UM Count
			Category 4	High	4	40% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Medium	3	30% x UM Count
			Category 1	Low	1	10% x UM Count
Issue Domestic Airworthiness Approvals	MFG	Class A	Category 5	Medium	3	30% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Low	1	10% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
	FS	Class B	Category 5	High	4	40% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Issue Export Airworthiness Approvals - Articles	MFG	Class A	Category 5	Medium	3	30% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Low	1	10% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
	FS	Class B	Category 5	High	4	40% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Issue Export Airworthiness Approvals - Products	MFG	Class A	Category 5	Medium	3	30% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Low	1	10% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
	FS	Class B	Category 5	High	4	40% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Issue Special Flight Permits	MFG	Class C	Category 5	High	4	40% x UM Count
			Category 4	High	4	40% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Medium	3	30% x UM Count
			Category 1	Low	1	10% x UM Count
	FS	Class C	Category 5	High	4	40% x UM Count
			Category 4	High	4	40% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Medium	3	30% x UM Count
			Category 1	Low	1	10% x UM Count

Table 5-1. Authorized Function Performance Assessment Results (cont.)

Authorized Function	Role	Function Severity	Performance Category	System Impact	Minimum Activities	
					Under 10 UM	Over 10 UM
Issue/Amend Special Airworthiness Certificates - Primary Category Aircraft	MFG	Class C	Category 5	High	4	40% x UM Count
			Category 4	High	4	40% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Medium	3	30% x UM Count
			Category 1	Low	1	10% x UM Count
Issue/Amend Special Airworthiness Certificates - Restricted Category Aircraft	MFG	Class C	Category 5	High	4	40% x UM Count
			Category 4	High	4	40% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Medium	3	30% x UM Count
			Category 1	Low	1	10% x UM Count
	FS	Class B	Category 5	High	4	40% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Issue Provisional Airworthiness Certificates	MFG	Class B	Category 5	High	4	40% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Issue Replacement Airworthiness Certificates	MFG	Class A	Category 5	Medium	3	30% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Low	1	10% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
	FS	Class A	Category 5	Medium	3	30% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Low	1	10% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Establish Conformity Inspection Requirements	MFG	Class C	Category 5	High	4	40% x UM Count
			Category 4	High	4	40% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Medium	3	30% x UM Count
			Category 1	Low	1	10% x UM Count
Determine Conformity of Articles Including Test Articles	MFG	Class B	Category 5	High	4	40% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Determine Conformity of Test Set-Up	MFG	Class B	Category 5	High	4	40% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Determine Conformity of Installations of Articles Including TIA Inspections on a Product	MFG	Class C	Category 5	High	4	40% x UM Count
			Category 4	High	4	40% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Medium	3	30% x UM Count
			Category 1	Low	1	10% x UM Count

Table 5-1. Authorized Function Performance Assessment Results (cont.)

Authorized Function	Role	Function Severity	Performance Category	System Impact	Minimum Activities	
					Under 10 UM	Over 10 UM
Evaluate Production Limitations Record, PC, and Process Changes	MFG	Class C	Category 5	High	4	40% x UM Count
			Category 4	High	4	40% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Medium	3	30% x UM Count
			Category 1	Low	1	10% x UM Count
Approve Minor Changes of Quality Control Manual / Procedures	MFG	Class A	Category 5	Medium	3	30% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Low	1	10% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Issue FAA Form 8130-31, Statement of Conformity - Military Aircraft	MFG	Class B	Category 5	High	4	40% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Perform Aging Aircraft Inspections and Records Reviews	FS	Class A	Category 5	Medium	3	30% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Low	1	10% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Review Application for Operator Eligibility	FS	Class A	Category 5	Medium	3	30% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Low	1	10% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Evaluate Rotorcraft Load Combination Flight Manual	FS	Class C	Category 5	High	4	40% x UM Count
			Category 4	High	4	40% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Medium	3	30% x UM Count
			Category 1	Low	1	10% x UM Count
Administer Chief Pilot Knowledge and Skill Test	FS	Class A	Category 5	Medium	3	30% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Low	1	10% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Administer Operational Flight Checks	FS	Class B	Category 5	High	4	40% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Conduct Rotorcraft and Equipment Airworthiness Inspections	FS	Class B	Category 5	High	4	40% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Conduct Base Inspection	FS	Class A	Category 5	Medium	3	30% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Low	1	10% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count

Table 5-1. Authorized Function Performance Assessment Results (cont.)

Authorized Function	Role	Function Severity	Performance Category	System Impact	Minimum Activities	
					Under 10 UM	Over 10 UM
Issue Operating Certificate and Authorizations	FS	Class A	Category 5	Medium	3	30% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Low	1	10% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Evaluate and Approve Aircraft Inspection Programs	FS	Class B	Category 5	High	4	40% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Determine Eligibility of Previously Approved Intervals Greater than the Manufacturer's Inspection Intervals	FS	Class B	Category 5	High	4	40% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Conduct Pilot Airman Certification Tests (14 CFR Part 121/135/141/142)	FS	Class B	Category 5	High	4	40% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Conduct Category II Practical Tests (14 CFR Part 142)	FS	Class B	Category 5	High	4	40% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Conduct Category III Practical Tests (14 CFR Part 142)	FS	Class B	Category 5	High	4	40% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Conduct Airman Certification Tests for Airframe Rating (14 CFR Part 145/147)	FS	Class A	Category 5	Medium	3	30% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Low	1	10% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Conduct Airman Certification Tests for Powerplant Rating (14 CFR Part 145/147)	FS	Class A	Category 5	Medium	3	30% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Low	1	10% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Conduct Airman Certification Tests for Airframe and Powerplant Ratings (14 CFR Part 145/147)	FS	Class A	Category 5	Medium	3	30% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Low	1	10% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count

Table 5-1. Authorized Function Performance Assessment Results (cont.)

Authorized Function	Role	Function Severity	Performance Category	System Impact	Minimum Activities	
					Under 10 UM	Over 10 UM
Conduct Air Carrier Check Pilot Evaluation (14 CFR Part 121/135)	FS	Class B	Category 5	High	4	40% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Conduct AQP Initial Qualification Checks (14 CFR Part 121/135)	FS	Class B	Category 5	High	4	40% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Conduct Airman Certificate Qualification Review (Administrative) (14 CFR Part 121/135/141/142)	FS	Class B	Category 5	High	4	40% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Conduct Annual Proficiency Checks (14 CFR Part 141/142)	FS	Class B	Category 5	High	4	40% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Medium	3	30% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Conduct Instructor Observations (14 CFR Part 142)	FS	Class A	Category 5	Medium	3	30% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Low	1	10% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Conduct Instructor Annual Proficiency Checks (14 CFR Part 142)	FS	Class A	Category 5	Medium	3	30% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Low	1	10% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Conduct Evaluator Annual Proficiency Checks (14 CFR Part 142)	FS	Class A	Category 5	Medium	3	30% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Low	1	10% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count

Table 5-1. Authorized Function Performance Assessment Results (cont.)

Authorized Function	Role	Function Severity	Performance Category	System Impact	Minimum Activities	
					Under 10 UM	Over 10 UM
Perform Approvals in support of TC ODA Holder Projects	ENG	Class A	Category 5	Medium	3	30% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Low	1	10% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
	MFG	Class A	Category 5	Medium	3	30% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Low	1	10% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Perform Review and Acceptance of Instructions for Continued Airworthiness (ICA)	FS	Class A	Category 5	Medium	3	30% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Low	1	10% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Issue / Amend STCs	ENG	Class A	Category 5	Medium	3	30% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Low	1	10% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Issue PMA Supplements – Test and Computation	MFG	Class A	Category 5	Medium	3	30% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Low	1	10% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count
Issue PMA Supplements – Licensing Agreement of STC	MFG	Class A	Category 5	Medium	3	30% x UM Count
			Category 4	Medium	3	30% x UM Count
			Category 3	Low	1	10% x UM Count
			Category 2	Low	1	10% x UM Count
			Category 1	Low	1	10% x UM Count

Sample AFPA

5.3.6. Example 1 – Engineering

- Authorized Function: Perform Compliance Inspections
- Discipline: Flight Test
- Data Collected:
  - Findings: (4) Oversight Findings during the finding date range from 7/3/2017 – 7/2/2018
    - (2) Findings are Non-Systemic
    - (2) Findings are Systemic
  - Corrective Action Status: Reviewed the Corrective Action reports from the ODA holder
    - (1) Systemic Finding has Corrective Action Implemented
    - (2) Non-Systemic Findings have implemented Corrective Actions
- Performance Category Determination: Category 3
- Number of Flight Test Unit Members that perform this function: 5
- System Impact Determination: Medium
- Minimum Flight Test Authorized Performance Assessments for this function: 3
- For a 4 year surveillance window: add one additional activity for a minimum total of 4 activities (one per year)
- For a 2 year surveillance window: minimum 3 activities required across 2 years

5.3.7. Example 2 – Manufacturing

- Authorized Function: Issue Replacement Airworthiness Certificates
- Discipline: Manufacturing Inspector
- Data Collected:
  - Findings: (10) Oversight Findings during the finding date range from 7/3/2017 – 7/2/2018.
    - (8) Findings are Non-Systemic
    - (2) Findings are Systemic
  - Corrective Action Status: Reviewed the Corrective Action reports from the ODA holder
    - (2) Systemic Finding has Corrective Action Implemented
    - (8) Non-Systemic Findings have implemented Corrective Actions
- Performance Category Determination: Category 1
- Number of Manufacturing Unit Members that perform this function: 25
- System Impact Determination: Low

- Minimum Manufacturing Authorized Function Performance Assessments for this function: (10% x 25 UM) = 2.5 => 3.
- For a 4 year surveillance window: add one additional activity for a minimum total of 4 activities (one per year)
- For a 2 year surveillance window: minimum 3 activities required across 2 years

5.3.8. Example 3 – Flight Standards

- Authorized Function: Perform Aging Aircraft Inspections and Records Reviews
- Discipline: Airworthiness Inspector - Maintenance
- Data Collected:
  - Findings: (3) Oversight Findings during the finding date range from 7/3/2017 – 7/2/2018
    - (3) Findings are Systemic.
  - Corrective Action Status: Reviewed the Corrective Action reports from the ODA holder
    - The ODA holder has not implemented corrective action on any of the findings
- Performance Category Determination: Category 5
- Number of Maintenance Unit Members that perform this function: 3
- System Impact Determination: High
- Minimum Maintenance Authorized Function Performance Assessments for this function: 4
- For a 4 year surveillance window: minimum 4 activities required (one per year)
- For a 2 year surveillance window: minimum 4 activities required across 2 years