

Step 1: Initial Review

What does the FAA do in the Initial Review process?

The FAA certification team reviews your Formal Application Package to determine its acceptability. The certification project manager (CPM) will notify you of the results informally and follow up promptly with written notification of acceptance or rejection of your formal application. The initial review serves the following two purposes:

1. The team verifies that your package contains the formal letter requesting certification, and includes all the applicable documents listed on the Formal Application Checklist. If any of the required items are missing or are incomplete, the entire formal application will be rejected and returned to you.
2. The team determines whether your submission represents a feasible proposal and is of sufficient quality to schedule a formal application meeting.

What does “sufficient quality” mean?

Certification team members will randomly select a sampling of your applicable Elements and will answer Element Design Assessment (EDA) Data Collection Tools (DCT) questions with your submitted system documentation. For each selected Element, the inspector will:

- Read your system documentation to understand the process.
- Read the SRRs listed on the DCT to review the regulatory requirements for the process.
- Read the FAA’s policy and guidance for the process to review the intent of the regulation and inspector work instructions.
- If self-audited ED DCTs have been submitted
 - Verify that you answered the questions correctly (Yes, No or NA).
 - Verify that your references to the location where the information was found for a question are correct.

Elements Design Assessments are defined in Paragraph 10-1-2-5 F contained in Order 8900.1 [Volume 10, Chapter 1, Section 2](#).

What are the Evaluation Criteria?

- The system design of the operating system must meet all of the regulatory and design requirements necessary to be acceptable.
- The system design cannot include unacceptable safety issues.
- You must include all of the documents required by the PAC in the package.
- The compliance statement must include applicable rules from Title 14 Code of Federal Regulations (14 CFR) part 5, part 117, [part 119](#) and [part 121](#) rules that apply to you.
- If self-audited ED DCTs have been submitted

- You must answer the questions on each of the selected ED DCTs accurately and adequately. For each question, inspectors will compare your submitted answer with your system documentation and determine whether the correct answer was “Yes”, “No”, or “NA.”
- Your references to the location(s) in your system documentation where the information was should be to the volume, chapter, and paragraph level (or equivalent).
- Your documented processes must allow the personnel concerned to perform their duties and responsibilities with a high degree of safety.

If you meet the Evaluation criteria, the FAA will schedule a Formal Application Meeting.