



U.S. Department
of Transportation
**Federal Aviation
Administration**

Advisory Circular

Subject: CERTIFICATION OF AIR CARRIERS

Date: 11/23/88

AC No: 120-49

Initiated by: AFS-200

Change:

1. PURPOSE.

a. This advisory circular (AC) describes the process of applying for and obtaining an Air Carrier Certificate to conduct air carrier operations under Federal Aviation Regulations (FAR) Part 121 or Part 135. The certification process may appear to be a complex undertaking, particularly to a "first-time" applicant. This advisory circular provides basic information concerning the certification process.

b. Because of the wide variety of acceptable methods for preparing company manuals, training programs, etc., a detailed discussion of acceptable methods for preparing these documents is not in this AC. Applicants will be briefed in as much detail as necessary during meetings with Federal Aviation Administration (FAA) personnel. The information in this AC and the recommended reading material referenced in this AC will assist the applicant in completing the process with minimal delays and complications.

2. RELATED REGULATIONS.

Title 14 Code of Federal Regulations (CFR) Parts 1, 11, 21, 23, 25, 27, 29, 33, 36, 39, 43, 45, 47, 61, 63, 65, 67, 91, 95, 97, 99, 108, 121, 135; Title 49 CFR Parts 100 through 177 (hazardous materials); and Title 46 CFR Subparts 71.25 and 162.028 (dry chemical fire extinguishers).

3. RELATED READING MATERIAL.

a. The FAA publishes the "Advisory Circular Checklist" and "Guide to Federal Aviation Administration Publications." These documents provide more complete information on advisory circulars and other FAA publications and how they may be obtained. Many of these publications are free. Prices of publications which are for sale are in these two documents.

(1) AC 00-2, Advisory Circular Checklist. This AC is revised annually. It includes a list of all FAA advisory circulars, parts of the Airman's Information Manual (AIM), and similar FAA safety-related publications. This checklist, along with those AC's shown without an asterisk in appendix 3 of this AC, may be acquired free of charge by writing to the U.S. Department of Transportation, Utilization and Storage Section, M-443.2, Washington, D.C., 20590. All others shown may be purchased from Superintendent of Documents, U.S. Government Printing Office, Washington, D.C., 20402. See the "Advisory Circular Checklist" for ordering instructions.

(2) Booklet FAA-APA-PG, Guide to Federal Aviation Administration Publications. This booklet is revised annually. It has complete information on how to order AC's, Federal Aviation Regulations, FAA orders/handbooks, the AIM, and other publications of interest to air carrier operations. The guide may be acquired free of charge by writing to the U.S. Department of Transportation, Utilization and Storage Section, M-443.2, Washington, D.C. 20590. For approval for more than 10 copies, write to Federal Aviation Administration, APA-230, 800 Independence Avenue, S.W., Washington, D.C. 20591.

b. A list of advisory circulars appropriate to various types of air carrier operations is in appendix 3. This list provides a guide to safety-related information for FAR Parts 121 and 135 operators.

c. Air carrier economic regulatory functions are under the jurisdiction of the U.S. Department of Transportation, Office of the Secretary (OST). Air carrier economic authority requirements are described in the following OST publications which may be acquired by writing or calling the U.S. Department of Transportation, Air Carrier Fitness Division, P-56, Washington, D.C. 20590; telephone: (202) 366-9721:

- (1) "How To Become A Certificated Air Carrier"
- (2) "How To Become A Commuter Air Carrier"
- (3) "How To Become An All Cargo Air Carrier"

4. BACKGROUND.

a. To conduct air carrier operations under FAR Part 121 or 135, an applicant must be a citizen of the United States of America as defined by the Federal Aviation Act of 1958, as amended. The Federal Aviation Act (FAAct), Section 601(b), recognizes the responsibility of air carriers to provide air transportation with the highest degree of safety possible in the public interest. The certification process is designed to ensure that prospective air carrier certificate holders understand and are capable of fulfilling this duty. When satisfactorily completed, the certification process should ensure that the applicant is able to comply with the FAAct and the FAR.

b. There are five phases in the certification process. Each phase is described in sufficient detail to provide a general understanding of the entire certification process. The five phases are:

- (1) Preapplication
- (2) Formal Application
- (3) Document Compliance
- (4) Demonstration and Inspection
- (5) Certification

c. In some cases, the guidance and suggested sequence of events in this AC may not be entirely appropriate. In such situations, the FAA and the applicant should proceed in a manner which considers existing conditions and circumstances. The applicant, however, should not expect to be certificated until the FAA is assured that the FAAct and the FAR will be complied with in an appropriate and continuing manner.

5. PREAPPLICATION PHASE.

a. As far in advance as possible of an anticipated start of operations, a prospective applicant should contact the nearest FAA Flight Standards District Office (FSDO) and inform the FAA of an intent to apply for an Air Carrier Certificate. The applicant will be invited to view an air carrier orientation videotape appropriate to the particular type of operation being planned and to meet briefly with FAA personnel. During this initial meeting, only basic information and general certification requirements will be discussed. If the applicant intends to proceed with certification, FAA Form 8400-6, Preapplication Statement of Intent, will be furnished. A sample of this form with instructions for completing it are in appendix 1. The Preapplication Statement of Intent (PASI) should be completed, signed by the applicant, and returned to the FSDO.

b. FSDO personnel will review the PASI. If the information is incomplete or erroneous, the PASI will be returned to the applicant with the reasons for its return noted in section 2. If the information is complete and acceptable, the FAA will determine which FSDO will be assigned to the certification project. When the assigned district office is the same as the one to which the PASI was submitted, arrangements for a preapplication meeting will be made by that district office. If the district office assigned is different from the office to which the PASI was originally submitted, the FAA will notify the applicant of the name, location, and telephone number of the district office and the names of personnel to contact. The following factors may influence the assignment of a district office:

- (1) Geographic area of the applicant's operation or the geographic centers of its route structure.
- (2) Location of the applicant's key management personnel and other persons who have authority to make decisions on FAA matters.
- (3) Qualifications of district office inspectors with respect to the proposed type of operation and aircraft.

c. The district office will designate an inspector as the certification project manager (CPM). The CPM is the FAA spokesperson throughout the certification project.

d. The purpose of the preapplication meeting or any meetings conducted before the formal application phase is to ensure the applicant fully understands the certification process and to provide detailed explanations of specific requirements. It is recommended that the applicant's key management personnel attend these preapplication meetings and be prepared to discuss in general terms the plans and specific aspects of the proposed operation. Many problems can be avoided by discussing all aspects of the proposed operation and the specific requirements which must be met to be certificated as an air carrier.

e. It is important to establish good working relationships and clear understandings between the FAA and the applicant's representatives. The FAA recognizes that a wide range of capabilities and expertise exists among applicants. This background experience will be considered and adjusted to during these initial meetings.

f. To help promote understanding throughout the certification process, a precertification package will be provided during the preapplication meeting. This precertification package includes the following:

(1) Applicable certification job aids to be used by FAA inspectors during the certification project.

(2) A schedule of events which must be completed and submitted with the formal application.

(3) A sample of standard operations specifications applicable to the proposed operation.

(4) Other publications or documents the CPM believes will be useful to the applicant.

g. Federal Aviation Regulations specify that an application for an air carrier certificate shall be made in a form and manner acceptable to the FAA. It is important to understand the minimum documentation necessary to be considered acceptable for a formal application. Formal application must be made by a letter which includes a request to be certificated as an air carrier. The letter must be signed by the owner when applying as an individual, all partners when applying as a partnership, except that a managing or general partner may sign for the partnership, or an authorized officer when applying as an organization such as a company or a corporation. The letter should include a mailing address if different from the letterhead and indicate the full name, title, and address of the designated agent for service. The designated agent for service is required by the FAA, Section 1005. Certain documents must be submitted with the formal application letter. These documents (attachments) are briefly described in paragraphs 5h through 5m and will be discussed in detail during the preapplication meeting.

h. Schedule of Events Attachment. The schedule of events is a key document which lists items, activities, programs, and aircraft and/or facility acquisitions which must be accomplished or made ready for FAA inspection before certification. It must include the applicant's best estimate of the date each item will be acquired or event accomplished. These estimated dates must be logical in terms of sequence. For example, the estimated date for crewmember ground training to begin should be after the date that sections of the company manuals pertinent to crewmember performance will be completed and submitted. Reasonable time for the FAA to review, inspect, and approve each item or event should also be provided when approval is required before beginning a subsequent event or item. Failure to accomplish an item or event in a satisfactory manner or in accordance with the schedule of events could delay the certification. If at any time during the certification process the applicant finds it necessary to revise the schedule of events, the CPM should be notified as soon as practical.

i. Company General Manuals Attachment. These manuals or sections of manuals contain information about the applicant's general policies, duties, responsibilities of personnel, operational control policy, and procedures. These are commonly referred to as the General Operations Manual and the General Maintenance Manual. FAR Parts 121 and 135 require these manuals to include instructions and information necessary to permit concerned personnel to perform

their duties and responsibilities with a high degree of safety. FAR Part 121, Subpart G, and FAR Sections 135.21 and 135.23 prescribe the content of these manuals. The entire manual does not need to be completely developed at the time of formal application; however, the applicant is encouraged to provide a draft outline of the major parts of all required manuals. This draft outline will help to ensure that all required material is accounted for and that the major parts of any uncompleted manual are listed in the schedule of events with proposed dates for submission to the FAA.

j. Initial Company Training Curriculum Attachment. It is recognized that aircraft acquisition, facility arrangements, and certain training program elements may not be fully developed at the time of formal application. The company initial training curriculum (completed to the extent possible) must be attached to the formal application letter. Initial training curriculums must include at least the following curriculum segments for each crewmember position:

- (1) Basic Indoctrination Training
- (2) Emergency Training
- (3) Initial Aircraft Ground Training
- (4) Initial Aircraft Flight Training

k. Management Qualification Resumes Attachment.

(1) FAR Parts 121 and 135 establish basic management positions and minimum qualifications for air carrier applicants proposing to conduct supplemental, commuter, or on-demand air taxi operations. It is possible to obtain a deviation from these required basic management positions and qualifications, depending on the complexity of the planned operation. Individuals assigned to the required basic management positions are expected to have a thorough knowledge of the applicant's company manuals, operations specifications, the FAR and the planned operations relevant to the position. This attachment must contain resumes of the qualifications, certificates (including certificate numbers), ratings, and aviation experience for each of the following positions, or equivalent:

- (i) General Manager (when applicable)
- (ii) Director of Operations
- (iii) Director of Maintenance
- (iv) Chief Pilot
- (v) Chief Inspector (when applicable)

(2) If a deviation from the management requirements is anticipated, it should be noted in the formal application letter. The actual request for deviation, however, must be made in a separate letter which presents specific justification. This request for a deviation should be made to the FSDO as soon as practical to enable the individual who will hold the position to be involved early in the certification process.

l. Documents of Purchase, Leases, Contracts, and/or Letters of Intent Attachments. These attachments should provide evidence that the applicant is in the process of actively procuring aircraft, facilities, and services to conduct the type of operation proposed. If formal arrangements are not completed, letters

or other documents showing preliminary agreements or intent will suffice until formal contracts or agreements are available. Examples of the types of equipment, facilities, and services which should be addressed in these documents are as follows:

- (i) Aircraft
- (ii) Station facilities and services
- (iii) Weather and Notice To Airmen (NOTAM) gathering facilities and services
- (iv) Communications facilities and services
- (v) Maintenance facilities and services
- (vi) Maintenance contractual arrangements
- (vii) Aeronautical charts and related publications
- (viii) Airport analysis and obstruction data (if applicable)
- (ix) Contract training and training facilities (if applicable)

m. Initial Compliance Statement Attachment. This attachment should be a complete listing of all FAR Parts 121 or 135 regulations applicable to the proposed operation. Applicable subparts and each relevant section of the subparts should be identified and accompanied by a brief description, or preferably a specific reference, to a manual or other document. The brief description or reference must describe the method of compliance for each regulation listed. If the precise method of compliance has not been developed at the time of formal application, an indication that this information will be included in the final compliance statement when submitted, will suffice. The following illustrations are samples of how relevant sections of the regulations should be presented in an initial compliance statement and/or a final compliance statement as appropriate.

Example 1. Initial compliance statement - method of compliance not developed at time of formal application.

121.97 Airports: Required data.
To be supplied.

Example 2. Initial or final compliance statement - method of compliance fully developed - preferred presentation.

121.563 Reporting mechanical irregularities.
GOM p. 129, para. 243; GM p. 45, para. 12.5.

Example 3. Initial or final compliance statement - method of compliance fully developed - acceptable presentation.

121.563 Reporting mechanical irregularities. The General Operations Manual (GOM) instructs the pilot in command (PIC) on the requirements for and methods of completing the aircraft maintenance log. The PIC is required to review the log before each flight and to ascertain the status of each previous entry. The General Maintenance Manual (GMM) instructs maintenance personnel on the requirement to record discrepancies discovered during preflight checks and other types of checks.

n. A thorough understanding of pertinent regulations and advisory materials is critical to the success of the entire certification process. The applicant and key management personnel must understand which regulations apply to the intended operation. A list of regulations by subpart and section as they apply to various kinds and types of operations is in appendix 2.

o. During the preapplication phase and throughout the certification process, the applicant will have to prepare documents and manuals for FAA evaluation and approval or acceptance. The applicant is encouraged to informally coordinate drafts of these documents with the CPM and other FAA inspectors assigned to the certification project. Time spent on this informal coordination can significantly reduce the workload for the applicant and FAA inspectors after the formal application is submitted. FAA inspectors will give advice and guidance; however, the production of approvable, acceptable documents and manuals is the responsibility of the applicant.

6. FORMAL APPLICATION PHASE.

a. It is recommended that the formal application should be submitted at least 90 days before revenue operations are expected to begin, although the application should be submitted to the FAA as far in advance of the proposed start up date as possible. When the formal application is fully developed, it should be forwarded to the assigned FSDO.

b. The FSDO will review the application to determine that it contains the required information and attachments. If there are omissions or errors, the formal application and all attachments will be returned with a letter outlining the reasons for its return. If the applicant has a good understanding of the requirements, the formal application should be of sufficient quality to allow any omission, deficiency, or open question to be resolved during a formal application meeting.

c. The formal application meeting should be attended by all of the applicant's key management personnel. The purpose of this meeting is to discuss the formal application and resolve any omission, deficiency, or open question. Emphasis will be placed on the practicality of the schedule of events. Subsequent phases of the certification process will be fully discussed. The applicant should seek clarification of any item or event that is not clearly understood. The CPM will not formally accept the application during the meeting. This delay allows the applicant time to resolve any omissions or deficiencies discussed during the meeting.

d. The applicant will be notified by letter whether the formal application is accepted or rejected. FAA acceptance of a formal application does not constitute approval or acceptance of individual attachments. These documents will be evaluated thoroughly during subsequent phases of the certification process. If the formal application is not accepted, it will be returned with a written explanation of the reasons for its return.

7. DOCUMENT COMPLIANCE PHASE.

a. After the formal application has been accepted, FAA inspectors will begin a thorough evaluation of all the manuals and documents that are required by regulation to be submitted to the FAA. The FAA will endeavor to complete these evaluations in accordance with the applicant's schedule of events. However, if a manual or document is incomplete or deficient, or if noncompliance with the regulations or safe operating practices is detected, the manual or document will be returned for corrective action. If the manuals and documents are satisfactory, they will be approved or accepted. Approvals will be indicated by letter or by approval of operations specifications. Acceptance of information which does not require formal approval will be indicated by letter or by the lack of any FAA objections to the information.

b. The complexity of the information which must be addressed in the applicant's manuals and other documents depends on the complexity of the planned operation. The following list provides examples of information which must be provided by the applicant and evaluated by the FAA during this phase:

- (1) Management personnel resumes outlining proposed management qualifications and compliance histories (not required for FAR Part 135 single-pilot operators).
- (2) General Operations Manual.
- (3) General Maintenance Manual. This manual may be combined with the General Operations Manual for FAR Part 135 operators.
- (4) Aircraft maintenance manuals/programs (optional for FAR Section 135.411(a)(1)).
- (5) Weight and balance procedures/program (not applicable to operators of single-engine aircraft).
- (6) Training program (not required for FAR Part 135 single-pilot operators).
- (7) Aircraft Flight Manual.
- (8) Company Aircraft Operations Manual (not required for FAR Part 135 or for an operator who chooses to use the manufacturer's approved Aircraft Flight Manual).
- (9) Minimum Equipment List (MEL) (if applicable).
- (10) Configuration Deviation List (CDL) (if applicable).

- (11) Cockpit checklist.
- (12) Passenger briefing cards.
- (13) Noise and emission plan (if applicable).
- (14) Airport Runway Analysis (not required for nontransport category aircraft operations).
- (15) Deviation requests.
- (16) Hazardous Materials/Security Program.
- (17) Flight Attendant Manual (required only for aircraft certificated to carry more than 19 passengers).
- (18) Dispatch/flight following/flight locating procedures.
- (19) Operations Specifications (operations and airworthiness).
- (20) Maintenance reliability program (optional).
- (21) Proving test plan (if required).
- (22) Emergency evacuation demonstration plan (if required).
- (23) Ditching demonstration plan (if required).
- (24) Continuous analysis and surveillance system (for aircraft maintained under a continuous airworthiness maintenance program).
- (25) Final compliance statement.

c. The final compliance statement is the completed initial compliance statement attachment which was required to be submitted with the formal application. The final compliance statement ensures each applicable regulatory requirement has been adequately addressed in the appropriate manuals, programs, and/or procedures.

8. DEMONSTRATION AND INSPECTION PHASE.

a. FAR Parts 121 and 135 require an applicant to demonstrate the ability to comply with regulations and safe operating practices before beginning actual revenue operations. These demonstrations include actual performance of activities and/or operations while being observed by FAA inspectors. This includes onsite evaluations of aircraft maintenance equipment and support facilities. During these demonstrations and inspections, the FAA evaluates the effectiveness of the policies, methods, procedures, and instructions as described in the applicant's manuals and other documents. Emphasis is placed on the applicant's management effectiveness during this phase. Deficiencies will be brought to the attention of the applicant and corrective action must be taken before a certificate is issued.

b. Although the document compliance and the demonstration and inspection phases have been discussed separately in this AC, these phases overlap or are accomplished simultaneously in actual practice. The following list provides examples of the types of items, equipment, facilities, and activities evaluated during the demonstration and inspection phase.

- (1) Conduct of training programs (classroom, simulators, aircraft, and maintenance personnel training).
- (2) Airmen testing and certification (airmen, crewmembers, and dispatchers, as applicable).
- (3) Station facilities (equipment, procedures, and personnel).
- (4) Recordkeeping procedures (documentation of training, flight and duty times, flight papers).
- (5) Flight control (dispatch or flight following or flight locating capabilities).
- (6) Maintenance and inspection programs (procedures, recordkeeping).
- (7) Maintenance facilities (personnel, procedures, technical information, spare parts, equipment, fueling, etc.).
- (8) Aircraft (conformity inspection, aircraft maintenance records, etc.).
- (9) MEL's and CDL's (compliance with operating and maintenance procedures, etc., if applicable).
- (10) Weight and balance program (procedures, accuracy, and document control).
- (11) Passenger emergency evacuation demonstration, not applicable to FAR Part 135 (aborted takeoff demonstration and ditching demonstration).
- (12) Aircraft proving tests. Includes full-scale simulation of revenue operations to demonstrate the ability to operate independently, safely, and in compliance with the applicable FAR (not applicable to some FAR Part 135 operations).

9. CERTIFICATION PHASE.

a. After the document compliance and demonstration and inspection phases have been completed satisfactorily, the CPM will prepare an air carrier certificate and approve the operations specifications. The operations specifications contain authorizations, limitations, and provisions specific to an applicant's operation. The applicant must acknowledge receipt of these documents. The applicant is required to provide the CPM with a copy of the OST written economic authority.

This may be in the form of a certificate, a registration, or other appropriate form. After receiving a copy of the OST economic authority, the CPM will issue the certificate and operations specifications to the applicant, who is thereafter referred to as the certificate holder. The Air Carrier Certificate, the operations specifications, and the OST economic authority enable the certificate holder to begin revenue operations. The OST economic authority is not effective until after FAA issues both the Air Carrier Certificate and the appropriate operations specifications.

b. The certificate holder is responsible for continued compliance with the FAR and the authorizations, limitations, and provisions of its certificate and operations specifications. As a certificate holder's operation changes, the operations specifications will be amended accordingly. The process for amending operations specifications is similar to the certification process, but may be a less complex procedure depending on the subject of the amendment. The FAA is responsible for conducting periodic inspections of the certificate holder's operation to ensure continued compliance with the FAR and safe operating practices.

10. SINGLE PILOT, SINGLE PILOT IN COMMAND, AND BASIC FAR PART 135 OPERATOR.

a. Single Pilot, Single Pilot in Command, and Basic FAR Part 135 Operator air carriers are defined in appendix 4 of this AC. Because these air carriers are usually limited in size and scope, they may not be required to comply with all regulatory requirements for manuals, training programs, and management positions. These air carriers will normally need less extensive manual and training program material and fewer management positions. However, these types of air carriers will not be permitted a reduction in safety standards due to the limited size and scope of operations.

b. Single Pilot FAR Part 135 Operator. FAR Part 135 does not require a Single Pilot Operator to develop or maintain manuals, training programs, or identify specific management positions. Therefore, Company General Manuals and initial training curriculum attachments are not required to be submitted with the formal application. However, a resume of qualifications and experience of the principal owner and/or company officer who will exercise operational and maintenance/inspection control must be submitted with the formal application.

c. Single Pilot in Command and Basic FAR Part 135 Operators. FAR Part 135 allows for a deviation from the manual, training program, and management requirements. A deviation from these requirements may be granted to an applicant who intends to operate as a Single Pilot in Command or a Basic FAR Part 135 Operator. The applicant should attach a letter to the FAA Form 8400-6 identifying the regulations from which deviation is requested. The letter should provide justification for the proposed deviations and the number of pilots, both pilot in command and second in command, which will be used. If the deviation is to be granted, totally or in part, the applicant will be notified early in the preapplication phase. In this situation, FSDO personnel will specify for the applicant the documents and attachments which must accompany the formal application.

11. EXPLANATION OF APPENDIXES IN THIS ADVISORY CIRCULAR.

a. Appendix 1 provides instructions on how FAA Form 8400-6, Preapplication Statement of Intent (PASI), should be completed. Section 1, items 1 through 11, should be completed and signed by the applicant and returned to the appropriate FAA FSDO. Sections 2 and 3 are reserved for FAA use.

b. Appendix 2 provides a list of regulatory and other types of documents which may be applicable to a particular type of operation an applicant for an Air Carrier Certificate proposes to conduct. Sections 5 and 6 of this appendix outline specific sections of FAR Parts 121 and 135 which must be addressed in the required compliance statements as appropriate.

c. Appendix 3 is a list of FAA advisory circulars which may be applicable to a particular type of operation an applicant for an Air Carrier Certificate proposes to conduct.

d. Appendix 4 provides definitions of terms as they are used in the certification process.



D.C. Beaudette
Acting Director, Flight Standards Service

APPENDIX 1. INSTRUCTIONS FOR COMPLETING FAA FORM 8400-6,
PREAPPLICATION STATEMENT OF INTENT (PASI)

SECTION 1A. This section shall be completed by all applicants.

1. Enter the company's official name and mailing address.
2. This address shall be the physical location where primary operating activities are based. It is where the offices of management personnel required by regulation are located. If the address is the same as item 1, enter "same."
3. Enter the estimated date when operations or services will begin.
4. This information will be used to assign a company identification number. You may indicate up to three, three-letter identifiers, such as ABC, XYZ, etc. If all choices have been assigned to other operators or agencies, a randomly selected number will be assigned.
5. Enter the names, titles, and telephone numbers of required management personnel. This shall include the general manager, director of operations, director of maintenance, chief pilot, and chief inspector, as applicable. Management personnel qualification requirements are specified in FAR Parts 121 and 135.

SECTION 1B. This section shall be completed by all air operator applicants applying under FAR Parts 121 or 135.

6. The proposed type of operation shall be indicated. Check as many boxes as apply.

SECTION 1C. This section shall be completed by all air agency applicants applying under FAR Parts 145, 147, or 149.

7. The proposed type of agency shall be indicated. Check as many boxes as apply.

SECTION 1D. This section shall be completed by all air operator applicants applying under FAR Parts 121 or 135.

8. Indicate the proposed number and types of aircraft to be operated, as well as the number of passenger seats or, for all-cargo aircraft, payload capacity.
9. Enter the states or geographic areas in which operations are to be conducted. For example, if operations are to be conducted in one or two states, list those states. If operations will be within the 48 contiguous states, indicate "48 contiguous states." For overseas or international operations, enter each area, country, or geographical area, such as Alaska and Canada, Hawaii, Europe, Mexico, Caribbean, and South America.

APPENDIX 1. INSTRUCTIONS FOR COMPLETING FAA FORM 8400-6,
PREAPPLICATION STATEMENT OF INTENT (PASI) (Continued)

SECTION 1E. This section shall be completed by all applicants.

10. Show any information which would assist FAA personnel in understanding the type and scope of operation or services to be performed by the applicant.
11. The Preapplication Statement of Intent (PASI) denotes an intent to seek FAA certification as an air operator or air agency. It must be signed as follows:

<u>Type of Organization</u>	<u>Authorized Signature</u>
Individual	Owner
Partnership	At least one partner
Company, corporation, association, etc.	At least one authorized officer

SECTIONS 2 and 3. For FAA Use.

**FIGURE 2. FAA FORM 8400-6,
PREAPPLICATION STATEMENT OF INTENT (PASI) (BACK)**

Section 1E. To Be Completed By All Applicants		
10. Additional information that provides a better understanding of the proposed operation or business (attach additional sheets, if necessary)		
11. The statements and information contained on this form denote an intent to apply for FAA certification.		
Signature	Date	Name and Title
Section 2. To Be Completed By FAA District Office		
Received by (district office):		Date forwarded to Region:
Date:		For: <input type="checkbox"/> Action <input type="checkbox"/> Information only
Remarks:		
Section 3. To Be Completed By Regional Office		
Received by:		Precertification Number:
Date:		Date coordinated with AVN-120:
District office assigned responsibility:		Date forwarded to district office:
Remarks:		

APPENDIX 2. APPLICABLE REGULATIONSSECTION 1 - APPLICABLE PARTS OF TITLE 14, CODE OF FEDERAL REGULATIONS (CFR)

- Part 1 Definitions and Abbreviations.
- Part 11 General rule-making procedures (exemption provisions).
- Part 21 Certification procedures for products and parts (ferrying provisions).
- Part 25 Airworthiness standards: Transport category airplanes.
- Part 27 Airworthiness standards: Normal category rotorcraft.
- Part 29 Airworthiness standards: Transport category rotorcraft.
- Part 33 Airworthiness standards: Aircraft engines.
- Part 36 Noise standards: Aircraft type and airworthiness certification.
- Part 39 Airworthiness directives.
- Part 43 Maintenance, preventive maintenance, rebuilding, and alteration.
- Part 45 Identification and registration marking.
- Part 47 Aircraft registration.
- Part 61 Certification: Pilots and flight instructors.
- Part 63 Certification: Flight crewmembers other than pilots.
- Part 65 Certification: Airmen other than flight crewmembers.
- Part 67 Medical standards and certification.
- Part 91 General operating and flight rules.
- Part 95 IFR altitudes.
- Part 97 Standard instrument approach procedures.
- Part 99 Security control of air traffic.
- Part 108 Airplane operator security.
- Part 121 Certification and operations: Domestic, flag, and supplemental air carriers and commercial operators of large aircraft.
- Part 135 Air taxi operators and commercial operators.

APPENDIX 2. APPLICABLE REGULATIONS (Continued)

SECTION 2 - APPLICABLE PARTS OF TITLE 46, CFR

46 CFR Part 71 Inspection and Certification
46 CFR Part 162 Engineering Equipment

SECTION 3 - APPLICABLE PARTS OF TITLE 49, CFR

49 CFR Parts 100 - 177 Hazardous Materials
49 CFR Part 830 National Transportation Safety Board

SECTION 4 - APPLICABLE INTERNATIONAL RULES AND DOCUMENTS

INTERNATIONAL/OVERSEAS OPERATIONS ICAO ANNEXES

Annex 2 to the ICAO Convention Rules of the Air
Annex 6 to the ICAO Convention Operation of Aircraft
Annex 8 to the ICAO Convention Airworthiness of Aircraft
Annex 11 to the ICAO Convention Air Traffic Services
Annex 10 to the ICAO Convention Telecommunications
Annex 12 to the ICAO Convention Search and Rescue

OTHER ICAO DOCUMENTS

Document 4444-RAC/501 - Rules of the Air and Air Traffic Service
Document 7030 - Regional Supplementary Procedures
Document 8168-OPS - Aircraft Operations

ICAO information may be obtained by writing to:

International Civil Aviation Organization
(Attn: Distribution Officer)
P.O. Box 399
Succursale: Place De L'Aviation Internationale
1000 Sherbrooke Street, West
Montreal, Quebec, Canada H3A 2R1

OCEANIC OPERATIONS

North Atlantic Minimum Navigation Performance Specifications
(MNPS) Airspace Operations Manual

North Pacific (NOPAC) Operations Manual

To obtain copies of these manuals write to:

U.S. Department of Transportation
Utilization and Storage Section, M-443.2
Washington, D.C. 20590

APPENDIX 2. APPLICABLE REGULATIONS (Continued)

SECTION 5 - REGULATIONS TO BE ADDRESSED IN PART 121 COMPLIANCE STATEMENTS AS APPLICABLE

LEGEND:

- A = ALL OPERATORS
- C = COMMERCIAL OPERATORS
- D = DOMESTIC
- F = FLAG
- S = SUPPLEMENTAL

SUBPART A - GENERAL

SECTIONS:

- 121.3 A (SFAR 38 GOVERNS)
- 121.5 D F
- 121.7 C
- 121.9 A (SFAR 38 GOVERNS)

SUBPART B - CERTIFICATION RULES FOR DOMESTIC AND FLAG AIR CARRIERS

ALL SECTIONS D F

SUBPART C - CERTIFICATION RULES FOR SUPPLEMENTAL AIR CARRIERS AND COMMERCIAL OPERATORS

- 121.48 C
- 121.49 C
- 121.55 C

ALL OTHER SECTIONS S C

SUBPART D - RULES GOVERNING ALL CERTIFICATE HOLDERS UNDER THIS PART

ALL SECTIONS A

SUBPART E - APPROVAL OF ROUTES: DOMESTIC AND FLAG AIR CARRIERS

ALL SECTIONS D F

APPENDIX 2. APPLICABLE REGULATIONS (Continued)

SECTION 5 (Continued)

SUBPART F - APPROVAL OF AREAS AND ROUTES FOR SUPPLEMENTAL AIR CARRIERS AND
COMMERCIAL OPERATORS

ALL SECTIONS S C

SUBPART G - MANUAL REQUIREMENTS

121.139 S C

ALL OTHER SECTIONS A

SUBPART H - AIRCRAFT REQUIREMENTS

ALL SECTIONS A

SUBPART I - AIRPLANE PERFORMANCE OPERATING LIMITATIONS

ALL SECTIONS A

SUBPART J - SPECIAL AIRWORTHINESS REQUIREMENTS

ALL SECTIONS A

121.215 THROUGH 121.283 NOT APPLICABLE TO AIRPLANES CERTIFICATED UNDER PART 4B IN
EFFECT AFTER 10-31-46; PART 25; AND SPECIAL REGULATIONS 422, 422A, OR 422B

SUBPART K - INSTRUMENT AND EQUIPMENT REQUIREMENTS

ALL SECTIONS A

SUBPART L - MAINTENANCE, PREVENTATIVE MAINTENANCE, AND ALTERATIONS

ALL SECTIONS A

SUBPART M - AIRMAN AND CREWMEMBER REQUIREMENTS

121.395 D F

ALL OTHER SECTIONS A

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Appendix 2

APPENDIX 2. APPLICABLE REGULATIONS (Continued)

SECTION 5 (Continued)

SUBPART N - TRAINING PROGRAM

121.422 D F

ALL OTHER SECTIONS A

SUBPART O - CREWMEMBER QUALIFICATIONS

121.435 S C

SUBPART P - AIRCRAFT DISPATCHER QUALIFICATIONS AND DUTY TIME LIMITATIONS:
DOMESTIC AND FLAG AIR CARRIERS

ALL SECTIONS D F

SUBPART Q - FLIGHT TIME LIMITATIONS: DOMESTIC AIR CARRIERS

ALL SECTIONS D

SUBPART R - FLIGHT TIME LIMITATIONS: FLAG AIR CARRIERS

ALL SECTIONS F

SUBPART S - FLIGHT TIME LIMITATIONS: SUPPLEMENTAL AIR CARRIERS AND COMMERCIAL
OPERATORS

ALL SECTIONS S C

SUBPART T - FLIGHT OPERATIONS

121.533 D
121.535 F
121.537 S C
121.541 D F
121.551 D F
121.553 S C
121.555 D F
121.557 D F
121.559 S C
121.569 D F

ALL OTHER SECTIONS A

APPENDIX 2. APPLICABLE REGULATIONS (Continued)

SECTION 5 (Continued)

SUBPART U - DISPATCHING AND FLIGHT RELEASE RULES

121.593	D
121.595	F
121.597	S C
121.601	D F
121.603	S C
121.607	D F
121.609	S C
121.615	F S C
121.619	D
121.621	F
121.623	S C
121.635	D F
121.637	D F
121.639	D
121.641	F
121.643	S C
121.645	F S C
121.649	D
121.659	D S C
121.661	F
121.663	D F
121.667	S C

ALL OTHER SECTIONS A

SUBPART V - RECORDS AND REPORTS

121.685	D F
121.687	D F
121.689	S C
121.695	D F
121.697	S C
121.711	D F
121.713	C

ALL OTHER SECTIONS A

SUBPART W - CREWMEMBER CERTIFICATE: INTERNATIONAL

ALL SECTIONS A

APPENDIX 2. APPLICABLE REGULATIONS (Continued)SECTION 6 - REGULATIONS TO BE ADDRESSED IN PART 135 COMPLIANCE STATEMENTS AS APPLICABLE.LEGEND:

A = ALL OPERATORS

M = MORE THAN 9 PASSENGERS
(AIRCRAFT)S = SINGLE PILOT (INCLUDES
SINGLE PILOT IN COMMAND)

L = LARGE AIRPLANES

C = COMMUTER

T = TRANSPORT CATEGORY AIRPLANES

N = NINE OR LESS PASSENGERS
(AIRCRAFT)

H = HELICOPTERS

J = JET

X = ALL OPERATORS EXCEPT SINGLE PILOT OPERATORS
(INCLUDES SINGLE PILOT IN COMMAND)SUBPART A - GENERAL

SECTIONS:

135.2 NOT APPLICABLE

135.21 X

135.23 X

135.37 X

135.39 X

ALL OTHER SECTIONS A

SUBPART B - FLIGHT OPERATIONS

135.77 X

135.107 A (MORE THAN 19 PASSENGER SEATS)

135.125 A (EXCEPT H)

ALL OTHER SECTIONS A

APPENDIX 2. APPLICABLE REGULATIONS (Continued)

SECTION 6 (Continued)

SUBPART C - AIRCRAFT AND EQUIPMENT

135.145 M L J
135.151 M (JET ONLY)
135.153 M (JET ONLY)
135.158 T
135.169 M L
135.170 M (SFAR 41 ONLY)
135.173 M
135.175 L
135.177 A (MORE THAN 19 PASSENGER SEATS)

ALL OTHER SECTIONS A

SUBPART D - VFR/IFR OPERATING LIMITATIONS AND WEATHER REQUIREMENTS

135.207 H ONLY

ALL OTHER SECTIONS A

SUBPART E - FLIGHT CREWMEMBER REQUIREMENTS

135.244 C ONLY

ALL OTHER SECTIONS A

SUBPART F - FLIGHT CREWMEMBER FLIGHT AND DUTY TIME REQUIREMENTS

ALL SECTIONS A

SUBPART G - CREWMEMBER TESTING REQUIREMENTS

ALL SECTIONS A

SUBPART H - TRAINING

ALL SECTIONS X

APPENDIX 2. APPLICABLE REGULATIONS (Continued)SECTION 6 (Continued)SUBPART I - AIRPLANE PERFORMANCE LIMITATIONS

135.361	A	(EXCEPT H)
135.363	A	(EXCEPT H)
135.365	L T	(RECIPROCATING ENGINE ONLY)
135.367	L T	(RECIPROCATING ENGINE ONLY)
135.369	L T	(RECIPROCATING ENGINE ONLY)
135.371	L T	(RECIPROCATING ENGINE ONLY)
135.373	L T	
135.375	L T	(RECIPROCATING ENGINE ONLY)
135.377	L T	(TURBINE ENGINE ONLY)
135.379	L T	(TURBINE ENGINE ONLY)
135.381	L T	(TURBINE ENGINE ONLY)
135.383	L T	(TURBINE ENGINE ONLY)
135.385	L T	(TURBINE ENGINE ONLY)
135.387	L T	(TURBINE ENGINE ONLY)
135.389	L	
135.391	L	
135.393	L	
135.395	L	
135.397	T	(SMALL AIRPLANES ONLY)
135.399	A	(EXCEPT L AND T)

SUBPART J - MAINTENANCE, PREVENTATIVE MAINTENANCE, AND ALTERATIONS

135.411(a)(1)	N	
135.413	N	
135.415	N	
135.417	N	
135.419	N	(AS APPLICABLE)
135.421	N	
135.411(a)(3)	M	
135.423 thru		
135.443	M	

APPENDIX 3. APPLICABLE FAA ADVISORY CIRCULARS

- 00-2 Advisory Circular Checklist
- 00-24 Thunderstorms
- 00-30 Rules of Thumb for Avoiding or Minimizing Encounters with Clear Air Turbulence
- 00-33 Nickel - Cadmium Battery Operational, Maintenance, and Overhaul Practices
- 00-34 Aircraft Ground Handling and Servicing
- 00-44 Status of the Federal Aviation Regulations
- *00-45 Aviation Weather Services
- 00-46 Aviation Safety Reporting Program
- 00-52 Ozone Irritation During High Altitude Flight
- 11-2 Notice of Proposed Rulemaking Distribution System
- 20-29 Use of Aircraft Fuel Anti-icing Additives
- 20-53 Protection of Aircraft Fuel Systems Against Fuel Vapor Ignition Due to Lightning
- 20-118 Emergency Evacuation Demonstration From Small Airplanes
- 39-6 Announcement of Availability - Summary of Airworthiness Directives
- 39-9 Maintenance Records
- 43-14 Maintenance of Weather Radar Radomes
- 43.9-1 Instructions for Completion of FAA Form 337, Major Repair and Alteration (Airframe, Powerplant, Propeller, or Appliance)
- *43.13-1 Acceptable Methods, Techniques and Practices - Aircraft Inspection and Repair
- *43.13-2 Acceptable Methods, Techniques and Practices - Aircraft Alterations
- 43-203 Altimeter and Static System Tests and Inspections
- *61-77 Airline Transport Pilot Airplane Practical Test Guide

APPENDIX 3. APPLICABLE FAA ADVISORY CIRCULARS (Continued)

- 65-24 Certification of a Repairman
- 90-23 Aircraft Wake Turbulence
- 90-48 Pilot's Role in Collision Avoidance
- 90-65 Air Traffic Fuel Economy Program
- 91-6 Water, Slush, and Snow on the Runway
- 91-8 Use of Oxygen by Aviation Pilots/Passengers
- 91-13 Cold Weather Operation of Aircraft
- 91-14 Altimeter Setting Sources
- 91-22 Altitude Alerting Devices/Systems
- *91-23 Pilot's Weight and Balance Handbook
- 91-43 Unreliable Airspeed Indications
- 91-47 Use of Portable Electronic Devices - Radio Receivers
- 91-53 Noise Abatement Departure Profile
- 91-56 Supplemental Structural Inspection Program for Large Transport Category Airplanes
- 91-58 Use of Pyrotechnic Visual Distress Signaling Devices in Aviation
- 91-60 The Continued Airworthiness of Older Airplanes
- *91.11-1 Guide to Drug Hazards in Aviation Medicine
- 97-1 Runway Visual Range
- *108-1 Air Carrier Security
- 108-2 Security Rules-Carriage of Weapons and Escorted Persons
- 108-3 Screening of Persons Carrying U.S. Classified Material
- 120-16 Continuous Airworthiness Maintenance Programs
- 120-17 Maintenance Control by Reliability Methods

APPENDIX 3. APPLICABLE FAA ADVISORY CIRCULARS (Continued)

- 120-26 International Civil Aviation Organization Designator/Radio Telephone Assignment for Aircraft Operating Agencies, Aeronautical Authorities Services
- 120-27 Aircraft Weight and Balance Control
- 120-29 Criteria for Approving Category I and Category II Landing Minima for FAR 121 Operators
- 120-30 Reporting Requirements of Air Carriers, Commercial Operators, Travel Clubs, and Air Taxi Operators of Large and Small Aircraft
- 120-32 Air Transportation of Handicapped Persons
- 120-34 Air Transportation of Mental Patients
- 120-35 Line-Oriented Flight Training Programs
- 120-36 Air Carrier Dispersal Planning Program
- 120-38 Transport Category Airplanes Cabin Ozone Concentrations
- 120-39 Hazards of Waste Water Ice Accumulation Separating From Aircraft in Flight
- 120-40 Airplane Simulator and Visual System Evaluation
- 120-41 Criteria for Operational Approval of Airborne Wind Shear Alerting Flight Guidance Systems
- 121-1 Standard Operations Specifications - Aircraft Maintenance Handbook
- 121-6 Portable Battery-Powered Megaphones
- 121-13 Self-Contained Navigation Systems (Long Range)
- 121-16 Maintenance Certification Procedures
- 121-21 Information Guide for Training Programs and Manual Requirements in the Air Transportation of Hazardous Materials
- 121-24 Passenger Safety Information Briefing and Briefing Cards
- 121-26 Airports - Required Data
- 121-27 Guide for Air Carriers, Freight Forwarders, and Shippers in Obtaining Information Dealing with the Transportation of Hazardous Materials by Air

APPENDIX 3. APPLICABLE FAA ADVISORY CIRCULARS (Continued)

- 121.445-1 Pilot-in-Command Qualifications for Special Areas/Routes and Airports
- 135-4 Aviation Security: Air Taxi Commercial Operators (ATCO)
- 135-7 FAR Part 135: Additional Maintenance Requirements for Aircraft Type Certificated for Nine or Less Passenger Seats
- 135-9 FAR Part 135 Icing Limitations
- 135-10 Approved Aircraft Inspection Program
- 135-12 Passenger Information, FAR Part 135: Passenger Safety Information Briefing and Briefing Cards
- 135.169-1 Small Propeller - Driven Air Taxi Airplanes that Meet Section 135.169 (formerly 135.144)

* A price is charged for these Advisory Circulars. Others listed are free.

APPENDIX 4. DEFINITIONS

The following appendix defines terms used in this advisory circular and/or the certification process. Other definitions may be found in the FAA Act, Section 101, and FAR Part 1, Definitions and Abbreviations, and Special Federal Aviation Regulation 38-2, Certification and Operating Requirements.

"Agent for Service." The person upon whom service of all notices and processes and all orders, decisions, and requirements of the Department of Transportation, the Federal Aviation Administration, and/or the National Transportation Safety Board shall be made.

"Basic FAR Part 135 Operator." A Basic FAR Part 135 Operator is a certificate holder who will use more than one pilot in command and will be authorized, because of the operator's limited size and scope, certain deviations from the manual content, management personnel, and training program curriculum requirements of FAR Part 135. Normally, a deviation will not be granted to operators intending to use more than five pilots, including seconds in command; or more than five aircraft; or more than three different types of aircraft; or who intend to use check airmen; or aircraft type-certificated for more than nine passenger seats; conduct Category II or III approach operations; or conduct operations outside the United States, Canada, Mexico, and the Caribbean.

"Certificate-holding district office" means the Flight Standards District Office which has responsibility for administering the certificate and is charged with the overall inspection of the certificate holder's operations.

"Commuter Operation" means a common carriage passenger-carrying operation using aircraft having a maximum seating configuration of 30 seats or less, excluding any required crewmember seat, and a maximum payload capacity of 7,500 pounds or less, with a frequency of operations of at least 5 round trips per calendar week on at least 1 route between 2 or more points. This definition does not apply to Title 14 CFR, Part 93.

"Direct air carrier" means a person who provides, or offers to provide, air transportation and who has control over the operational functions performed in providing that transportation.

"Domestic operation" means any scheduled passenger-carrying operation conducted between any points within the 48 contiguous states of the United States and the District of Columbia by any U.S. citizen engaged in common carriage using airplanes having a passenger seating configuration of more than 30 seats, excluding any required crewmember seat, or a payload capacity of more than 7,500 pounds.

"Flag operation" means any scheduled passenger-carrying operation conducted to any point outside the 48 contiguous states of the United States and the District of Columbia by any U.S. citizen engaged in common carriage using airplanes having a passenger seating configuration of more than 30 seats, excluding any required crewmember seat, or a payload capacity of more than 7,500 pounds.

APPENDIX 4. DEFINITIONS (Continued)

"Nonscheduled operation" means any passenger-carrying operation that is other than a scheduled operation or any all-cargo operation, including on-demand and supplemental operations.

"Passenger-carrying operation" means any aircraft operation carrying any person other than a crewmember, company employee, authorized government representative, or person accompanying a shipment.

"Principal base of operations" means the primary operating location of a certificate holder as designated by the Administrator.

"Single Pilot Operator." A Single Pilot FAR Part 135 Operator is a certificate holder who will use only one pilot in FAR Part 135 operations. The single pilot shall be identified by name on the certificate holder's operations specifications. Using "freelance" pilots, or temporary pilot employees in place of the pilot named on the operations specifications, is not authorized. FAR Part 135 does not require Single Pilot FAR Part 135 Operators to maintain manuals, training programs, or management positions (no deviation required).

"Single Pilot-in-Command Operator." A Single Pilot-in-Command FAR Part 135 Operator is a certificate holder who will use only one pilot in command in FAR Part 135 operations. The single pilot in command shall be identified by name on the certificate holder's operations specifications. Using "freelance" pilots, or temporary pilot employees in place of the pilot in command named on the operations specifications, is not authorized. The certificate holder may be authorized to use no more than three individuals as second-in-command pilots. These individuals will be identified by name on the certificate holder's operations specifications and shall meet all the requirements of FAR Part 135 to serve as second in command. Single Pilot-in-Command Operators are not authorized to operate aircraft type-certificated for more than nine passenger seats, conduct Category II or III approach operations, or conduct operations outside the United States, Canada, Mexico, or the Caribbean.

"Supplemental Operation" means any nonscheduled passenger-carrying operation or any all-cargo operation conducted under FAR Part 121.