

**VOLUME 2 AIR OPERATOR AND AIR AGENCY CERTIFICATION AND
APPLICATION PROCESS**

CHAPTER 4 THE CERTIFICATION PROCESS—TITLE 14 CFR PART 135

Section 5 Phase 5—Certification

2-436. GENERAL. The certificate and approved operations specifications are issued to the applicant after all significant unsatisfactory items have been corrected. This action completes the certification process. The applicant shall not be certificated under any circumstance until the certification project manager (CPM) has determined that the applicant is fully capable of fulfilling its responsibilities as charged by Title 49 of the United States Code (49 U.S.C.) (formerly the Federal Aviation Act (FA Act) of 1958) and that the applicant will comply with Title 14 of the Code of Federal Regulations (14 CFR) in an appropriate manner.

2-437. PREPARATION OF FEDERAL AVIATION ADMINISTRATION (FAA) CERTIFICATES. FAA Form 8430-18, Air Carrier Certificate, shall be used for an air carrier certificate. FAA Form 8430-21, Operating Certificate, shall be used for an operating certificate (see Figures 2-6, 2-7, and 2-8). The following information must be imprinted or typed on the appropriate form when the certificate is prepared for issuance:

A. The Certificate Holder's Name. The certificate holder's full and official name shall be entered directly below the words "This certifies that ..." Other names, such as "doing business as" (DBA) names, are included in the operator's Operations Specifications.

B. The Certificate Holder's Address. The physical location address of the certificate holder's principal base of operations shall be entered directly below the certificate holder's name. A post office box address is not acceptable, unless it reflects the physical location of the principal base of operations. The address on the certificate must be a physical location and may or may not be the same as the mailing address.

C. The Certification Statement of Authority. The pre-printed certification statement of authority on the Air Carrier Certificate (FAA Form 8430-18) shall not be modified (Figure 2-6). However, the preprinted certification statement of authority on the Operating Certificate (FAA Form 8430-21) must be completed by imprinting or typing the following phrases in the spaces provided to complete the certificate, as appropriate:

- 1) Operating Certificate for Intrastate Common Carriage (Figure 2-7).
 - a) In the first space, enter "Intrastate Common Carriage Operations."
 - b) In the second space, enter "and the terms, conditions, and limitations in the approved operations specifications."
 - c) In the third space, enter "indefinitely."
- 2) Operating Certificate for Private Carriage (Figure 2-8).

- a) In the first space, enter “Private Carriage Operations.”
- b) In the second space, enter “and the terms, conditions, and limitations in the approved operations specifications.”
- c) In the third space, enter “indefinitely.”

D. The Assigned Certificate Number. The final certificate number is obtained from Aviation Data Systems, AFS-620, in accordance with Volume 2, Chapter 2, Section 2, Air Carrier Commercial Operator Certificate Determinations, Types of Certificates, and Applicable Rules, paragraph 2-133, and should be imprinted or typed in the space provided on the form.

E. The Effective Date of Certificate. The date to be entered in the space provided shall be the date of issuance. If a certificate is to be changed due to an address change or a change of the certificate-holding district office (CHDO), the date of original issuance shall be retained on the changed certificate. A change of name for the air operator or a change in the certification statement of authority has the effect of a new certification; therefore, a new certificate and certificate number shall be issued. For this situation, the issuance date of the new certificate will be entered in the space provided.

F. The Certificate-Holding District Office’s Designator. The four-character, alpha-numeric designator of the CHDO shall be imprinted or typed into the “issued at” space of the form (for example, EA18).

G. The Signature Block. Air carrier certificates issued to air operators complying with 14 CFR part 135 commuter rules shall be signed by the regional flight standards division (RFSD) manager or a designated member of the manager’s staff. All other air operator certificates shall be signed by the CHDO manager.

H. The Signature, Title, and Region/Office Block. The full title of the person signing the certificate shall be entered in the space provided. When the RFSD manager signs the certificate, the full name of the region shall be entered in the “region/office” space (for example, Southwest Region). When the Flight Standards district office (FSDO) manager signs the certificate, the full name of the region and the FSDO acronym and number shall be entered in the “region/office” space (for example, Southwest Region, FSDO 18).

2-438. ISSUANCE OF OPERATIONS SPECIFICATIONS AND CERTIFICATE.

A. Regulatory Requirements Met. When it is determined that the applicant has met all regulatory requirements, the appropriate certificate and operations specifications will be presented to the applicant. The operations specifications will be prepared in accordance with the procedures in volume 3, chapter 18.

B. Department of Transportation (DOT) Economic Authority. An applicant for an air carrier certificate will not, for any reason, be issued operations specifications or a certificate until the applicant has presented a copy of its DOT economic authority (a certificate, commuter

air carrier authorization, or air taxi registration (Form 4507)) to the CPM. An applicant for an operating certificate engaged in intrastate common carriage is not required to have DOT economic authority or submit any financial statement as a condition of certification.

C. Signatures. Before issuance, the operations specifications will be signed by the applicant and the appropriate principal inspectors. The original certificate and operations specifications will then be given to the new certificate holder.

2-439. CERTIFICATION REPORT.

A. Composition. When the new operator is certificated, the CPM is responsible for assembling a certification report. This report must be signed by the CPM and will include the name and title of each team member who assisted in the certification project. The report will be maintained in the permanent file relating to the new operator during the business life of the operator. The report shall consist of the following eight sections:

- Preapplication Statement of Intent (PASI)
- Certification Job Aid and Schedule of Events
- The Formal Application Letter
- The Compliance Statement
- Proving/Validation Test Evaluation Report
- A copy of the operations specifications issued
- A copy of the issued certificate
- A summary of major difficulties experienced during the certification process and/or any recommendations that may enhance the process must be noted by phase and specialty.

B. Summary Format. This summary will be entered into the Program Tracking and Reporting Subsystem (PTRS) in chronological order and will be maintained in the archival records. For standardization, the following format for summaries of major difficulties and/or recommendations will be arranged as follows:

- 1) Phase 1—Preapplication (Operations, Maintenance, Avionics). Include summaries of difficulties or recommendations by specialty.
- 2) Phase 2—Formal Application (Operations, Maintenance, Avionics). Include summaries of difficulties or recommendations by specialty.
- 3) Phase 3—Document Compliance (Operations, Maintenance, Avionics). Include summaries of difficulties or recommendations by specialty.

4) Phase 4—Demonstration and Inspection (Operations, Maintenance, Avionics).
Include summaries of difficulties or recommendations by specialty.

2-440. CERTIFICATION REPORT RETENTION. The district office shall retain the original of the certification report in the operator file as long as the certificate holder remains active.

RESERVED. Paragraphs 2-441 through 2-455.

Figure 2 – 6, FAA Form 8430-18, Air Carrier Certificate

U.S. Department
of Transportation

**Federal Aviation
Administration**

Air Carrier Certificate

This certifies that

has met the requirements of the Federal Aviation Act of 1958, as amended, and the rules, regulations, and standards prescribed thereunder for the issuance of this certificate and is hereby authorized to operate as an air carrier and conduct common carriage operations in accordance with said Act and the rules, regulations, and standards prescribed thereunder and the terms, conditions, and limitations contained in the approved operations specifications.

This certificate is not transferable and, unless sooner surrendered, suspended, or revoked, shall continue in effect indefinitely.

By Direction of the Administrator

Certificate number _____	_____
	<i>(Signature)</i>
Effective date _____	_____
	<i>(Title)</i>
Issued at _____	_____
	<i>(Region/Office)</i>

FAA Form 8490-18 (6-87)

Figure 2 – 7, FAA Form 8430-21, Operating Certificate for Intrastate Common Carriage



U.S. Department
of Transportation

Federal Aviation
Administration

OPERATING CERTIFICATE

This certifies that

(Enter Intrastate Common Carriage Company Name)
(Enter Address of Principal Base of Operations)

has met the requirements of the Federal Aviation Act of 1958, as amended, and the rules, regulations, and standards prescribed therein for the issuance of this certificate and is hereby authorized to operate as an Air Operator and conduct

Intrastate Common Carriage Operations

in accordance with said Act and the rules, regulations, and standards; *and the terms, conditions, and limitations contained in the approved operations specifications*

This certificate is not transferable and, unless canceled, suspended, superseded, or revoked, shall continue in effect *indefinitely*.

By Direction of the Administrator

Certificate number: _____

Effective date: _____

Issued at: _____

(Signature)

(Title)

FAA Form 8430-21

Figure 2 – 8, FAA Form 8430-21, Operating Certificate for Private Carriage



U.S. Department
of Transportation

Federal Aviation
Administration

OPERATING CERTIFICATE

This certifies that

(Enter Private Carriage Company Name)
(Enter Address of Principal Base of Operations)

has met the requirements of the Federal Aviation Act of 1958, as amended, and the rules, regulations, and standards prescribed therein for the issuance of this certificate and is hereby authorized to operate as an Air Operator and conduct

Private Carriage Operations

in accordance with said Act and the rules, regulations, and standards; *and the terms, conditions, and limitations contained in the approved operations specifications*

This certificate is not transferable and, unless canceled, suspended, superseded, or revoked, shall continue in effect *indefinitely* .

By Direction of the Administrator

Certificate number: _____

Effective date: _____

Issued at: _____

(Signature)

(Title)

FAA Form 8430-21