Step 1: Initial Review

What does the FAA do in the Initial Review process?

The FAA certification team, within 15 business days after receipt of the application, 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 Pre-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 compare your answers to SAI 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.

- 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 are defined in Figure 10-61 contained in Order 8900.1 Volume 10, Chapter 6, Section 2.

What are the Evaluation Criteria?

- 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 accurately list at least 90% of CFR Part 119 and Part 121 rules that apply to you.

- You must answer 90% of the questions on each of the selected SAIs correctly. For each question, inspectors will compare your submitted answer with your system documentation and determine whether the correct answer was "Yes", "No", or "NA."

- 90% of your references to the location(s) in your system documentation where the information was found must be correct.   If your reference is to the manual system, it must 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 which is the next step in the application phase.