

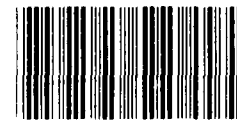
GAO

Fact Sheet for the Honorable  
Guy V. Molinari

May 1987

# AVIATION SAFETY

## Procedures for Registering and Certifying Air Carriers



133039

**RESTRICTED**—Not to be released outside the General Accounting Office except on the basis of specific approval by the Office of Congressional Relations.

RELEASED

538789



United States  
General Accounting Office  
Washington, D.C. 20548

Resources, Community, and  
Economic Development Division

B-226786

May 5, 1987

The Honorable Guy V. Molinari  
House of Representatives

Dear Mr. Molinari:

You asked us to examine several matters relating to the safety of air carriers used by the Department of Defense (DOD) to transport U.S. military personnel. This fact sheet describes the procedures two Department of Transportation (DOT) organizations--the Office of the Secretary of Transportation (OST) and the Federal Aviation Administration (FAA)--use to register and certify air carriers of the type chartered by DOD.<sup>1</sup> Earlier, we briefed your office on the highlights of the OST and FAA procedures that must be completed before an air carrier is allowed to provide air transportation service under federal aviation regulations (FARs) Parts 121 or 135.<sup>2</sup> This fact sheet describes OST's and FAA's procedures in greater detail.

The Federal Aviation Act of 1958 and implementing regulations provide that anyone who intends to engage in air transportation for compensation or hire must obtain (1) either a registration or a certificate of public convenience and necessity from OST, depending on the size of the aircraft, and (2) an air carrier operating certificate from FAA. Insofar as OST registrations and certificates are concerned, most air carriers, because they operate smaller aircraft, require only an OST registration, which generally has minimal requirements. Carriers operating larger

---

<sup>1</sup>Our recently issued report entitled Military Airlift: Management Controls Over Charter Airlift Need to Be Strengthened (GAO/NSIAD-87-67, Mar. 6, 1987) addressed your interests in DOD's bidding procedures and the Multinational Force and Observers' program to charter aircraft. Your questions concerning FAA's monitoring of the nation's air carriers will be addressed in a forthcoming report on FAA's air carrier inspection program.

<sup>2</sup>Part 121 regulations apply to large passenger and cargo aircraft--those that carry more than 30 passengers or a payload greater than 7,500 pounds. Part 135 regulations apply to smaller aircraft--those that carry 30 or fewer passengers and a payload not exceeding 7,500 pounds.

B-226786

operating certificates. Examples of documents used in these processes are contained in several appendixes.

We discussed the contents of this fact sheet with OST and FAA officials, who agreed with the information presented. However, at the request of your office, we did not obtain written agency comments on this fact sheet. Also, as arranged with your office, unless you publicly announce its contents earlier, we plan no further distribution of this fact sheet until 14 days from the date of this letter. At that time, we will provide copies to the Secretary of Transportation; Administrator, FAA; and other interested parties.

If you have any questions or if we can be of any further assistance, please feel free to contact me at (202) 275-7783.

Major contributors to this fact sheet are listed in appendix IX.

Sincerely yours,

A handwritten signature in cursive script that reads "Herbert R. McLure".

Herbert R. McLure  
Associate Director

		<u>Page</u>
VII	Sample Operations Specifications--En Route Flight Procedures (FAA)	30
VIII	Sample Air Carrier Operating Certificate (FAA)	31
IX	Major Contributors to this Fact Sheet	32

#### FIGURES

1.1	OST procedures for issuing a registration for commuters or a certificate of public convenience and necessity	8
2.1	FAA procedures for issuing an air carrier operating certificate	15

#### ABBREVIATIONS

DOT	Department of Transportation
FAA	Federal Aviation Administration
FARs	Federal Aviation Regulations
OST	Office of the Secretary of Transportation

.....

---

.....

---

aircraft require an OST certificate of public convenience and necessity, which has more extensive requirements. These include an assessment of whether the air carrier has the resources and capabilities to carry out its proposed air service. The FAA certificate requirements apply to all air carriers, and are more extensive than OST's. These requirements include evaluations of an air carrier's proposed operations and maintenance to assure that the carrier will operate safely and in accordance with applicable FARs.

To document the procedures OST and FAA use to determine whether an air carrier should be granted these documents, we interviewed officials at OST and FAA headquarters and at FAA's flight standards district office in Seattle, Washington. At these locations, we also reviewed applicable FARs and various DOT, OST, and FAA records. Although we documented the registration and certification processes, we did not evaluate how well they were actually being carried out, nor did we evaluate how well OST monitors registrations and certifications once they are granted. Our report on FAA's air carrier inspection program will address how well FAA's inspection program monitors air carriers after they receive FAA operating certificates.

In a memorandum to the DOT Assistant Secretary for Policy and International Affairs dated February 5, 1987, the DOT Assistant Inspector General for Auditing recommended that DOT consider transferring the OST air carrier monitoring functions to FAA. The Assistant Inspector General stated that

"The separate but parallel processes performed in OST and FAA have not always been adequately coordinated in the past. By eliminating organizational boundaries, a consolidated air carrier monitoring system is possible with consistent policies which would concentrate scarce staff resources on more effectively and efficiently monitoring air carriers."

At the time we were completing this fact sheet, the Assistant Secretary had not responded to the recommendation.

This fact sheet consists of two sections. Section 1 describes the procedures OST uses to issue registrations and certificates of public convenience and necessity. Section 2 describes the procedures FAA uses to issue air carrier

C o n t e n t s

		<u>Page</u>
SECTION		
1	OST PROCEDURES FOR ISSUING REGISTRATIONS AND CERTIFICATES OF PUBLIC CONVENIENCE AND NECESSITY	6
	Registration and certification requirements	6
	Management and ownership qualifications	9
	Compliance history	9
	Financial status	10
	Reliability	11
	Issuance of registration or certificate	11
	Reporting requirements	12
2	FAA PROCEDURES FOR ISSUING AIR CARRIER OPERATING CERTIFICATES	14
	Initial inquiry	14
	Statement of intent	14
	Preapplication actions	16
	Application submission and review	16
	Demonstration phase	18
	Issuance of certificate	18
	FAA monitoring responsibility	18
APPENDIX		
I	Air Taxi Operator and Commuter Air Carrier Registration and Amendments Under Part 298 of the Regulations of the Department of Transportation	20
II	Certificate of Insurance	22
III	Certificate of Public Convenience and Necessity for Interstate and Overseas Air Transportation (OST)	24
IV	Preapplication Statement of Intent (FAA)	25
V	Application for Air Carrier/Commercial Operator Certification Under FAR 135 (FAA)	27
VI	Sample FAA Certification Checklist (Part 121)	28

## SECTION 1

### OST PROCEDURES FOR ISSUING REGISTRATIONS AND

### CERTIFICATES OF PUBLIC CONVENIENCE AND NECESSITY

The Federal Aviation Act of 1958, as amended (49 U.S.C. 1301 et seq.), and implementing regulations provide that any air carrier intending to engage in air transportation for compensation or hire meet certain registration or certification requirements established by OST. For the majority of air carriers, the OST requirements are minimal. Requirements for the remaining air carriers, mostly those flying the larger aircraft or offering scheduled passenger service, are more extensive and include an assessment of whether the air carrier has the resources and capabilities to carry out its proposed air service.

Within OST, the Office of Aviation Analysis is responsible for assessing each carrier's application. If OST finds that a carrier's application and supporting documentation satisfies its requirements, it issues either a registration or a certificate, depending on the size and capacity of the carrier's aircraft.

### REGISTRATION AND CERTIFICATION REQUIREMENTS

Air carriers proposing to operate aircraft with more than 60 seats or with a payload capacity of 18,000 pounds or more are required to obtain an OST certificate of public convenience and necessity. Those proposing to only operate aircraft with 60 or fewer seats and with a payload capacity of less than 18,000 pounds are exempt from the certificate requirement and usually need only obtain an OST registration. The 60-seat and 18,000-pound criteria are carryovers from a Civil Aeronautics Board definition adopted by OST when it assumed the Board's airline certification and registration responsibilities on January 1, 1985. The Chief, Air Carrier Fitness Division, Office of Aviation Analysis, estimates that about 6,000 air carriers are registered with OST and about 250 air carriers hold OST certificates.

According to the Chief, Regulatory Analysis Division, the primary objectives of OST's registration requirement are to assure that OST has pertinent information on file concerning these air carriers and that the carriers have at least the minimum required amount of liability insurance. To accomplish this, OST requires applicants to submit a registration application (see app. I) along with a Certificate of Insurance. (See app. II.) Applications are to be completed by the air carrier and signed by a responsible officer. The Certificates of Insurance are to be completed and signed by an officer or authorized representative of the applicant's insurance company. If these forms are properly completed, the information is consistent between the two forms, and



the applicant meets minimum insurance requirements, the registration form is stamped with an effective date authorizing all operations. However, for registration applicants proposing commuter operations, such operations will not be authorized until the applicant's fitness has been determined.<sup>1</sup> Information on registration applications is generally not verified unless the applicant (commuter) receives a fitness assessment or if there is an obvious problem with the information on the form.

OST's procedures for certifying air carriers are similar to those for registering commuters; that is, in addition to assuring that the carrier's application is properly completed and that the carrier has appropriate insurance coverage, OST also assesses the applicant's fitness. In its fitness assessment for both certification applicants and commuters, OST primarily focuses on the carrier's (1) management and ownership qualifications, (2) past compliance of the carrier, related companies, and the carrier's key personnel with relevant aviation and other federal laws, and (3) financial condition. For commuters proposing to replace an incumbent carrier which DOT relies on to provide essential air service, OST also assesses the carrier's reliability.<sup>2</sup>

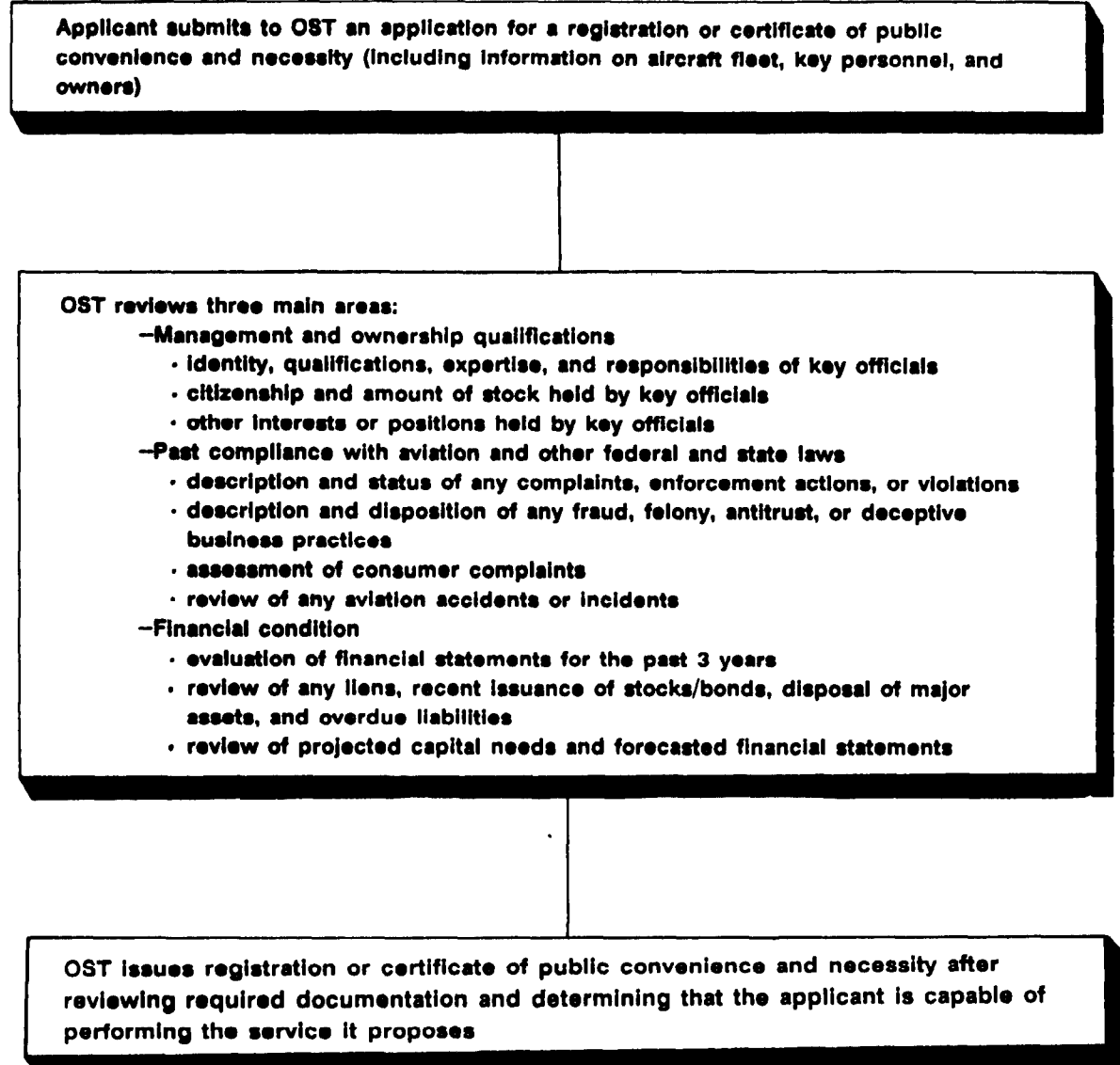
All applications must be accompanied by an application fee--\$8 for air carriers applying for a registration and not requiring an assessment of resources and capabilities, \$670 for commuters applying for registration, \$670 for carriers applying for certificated domestic all cargo service, and \$850 for air carriers applying for domestic or international passenger service or international cargo certification. The major steps in OST's assessment process are shown in figure 1.1.

---

<sup>1</sup>A commuter air carrier is defined as a carrier which (1) operates aircraft designed to have no more than 60 passenger seats and (2) carries passengers on at least five round trips per week on at least one route between two or more points according to published flight schedules which specify the times, days of the week, and places between which they are performed.

<sup>2</sup>The Congress, as part of the Airline Deregulation Act of 1978, (Public Law 95-504) established a 10-year essential air service subsidy program to ensure that small communities will have access to the nation's air transportation system during the transition period to deregulation.

## Figure 1.1: OST Procedures for Issuing a Registration for Commuters or a Certificate of Public Convenience and Necessity



MANAGEMENT AND OWNERSHIP  
QUALIFICATIONS

To assess an applicant's management qualifications, OST requests the applicant to submit data on the identity, qualifications, expertise, and assigned responsibilities of key management personnel. Key personnel include the president, vice presidents, directors of operations and maintenance, and the chief pilot.

OST also reviews data submitted by the applicant on the amount of the carrier's stock held by such key officials and the officerships, directorships, and stock (if 5 percent or more) or other interests each key official holds in any other airline or organization substantially engaged in the business of aeronautics. Evidence must be provided to OST that the applicant is a U.S. citizen and, if the applicant is a corporation, whether it was organized under U.S. laws or the laws of any state, territory, or possession of the United States; whether the president and at least two-thirds of the board of directors and other managing officers are U.S. citizens; and whether at least 75 percent of the voting interest is owned or controlled by citizens of the United States or one of its possessions.

According to OST's Assistant Chief, Air Carrier Fitness Division, OST's assessment of an air carrier's management and ownership qualifications is based principally on the reviewer's subjective judgment of adequacy and a comparison with prior OST determinations of the management capabilities of other air carriers. The Chief, Air Carrier Fitness Division, stated that OST generally uses no explicit, written, or other objective criteria or guidelines for judging the qualifications and expertise of an air carrier's key personnel or for assessing the type and quality of past management and ownership experience. However, for the positions of chief pilot and directors of operations and maintenance, OST relies on FAA's criteria for assessing whether the persons in these positions are qualified.

COMPLIANCE HISTORY

OST determines how well the applicant, related companies, and the applicant's key personnel have complied with aviation and other federal and state laws, rules, and regulations. OST's objective is to assure that the applicant and the key management officials do and will abide by the laws, rules, and regulations governing their operations and that management is diligent in maintaining safe operations.

OST reviews any enforcement actions taken by DOT, FAA, or the Civil Aeronautics Board against the applicant, relevant

corporations,<sup>3</sup> and the applicant's key personnel or persons having a substantial interest in any of these companies within the preceding 10 years. OST also reviews the nature and the disposition of any fraud, felony, or antitrust violations and any unfair, anticompetitive, or deceptive business practices involving the applicant within the past 10 years. It also examines any consumer complaints filed with state public utilities agencies or with other consumer complaint offices in any state in which the applicant or any relevant corporation operates. Finally, OST reviews the circumstances of any aviation accidents or incidents involving the applicant or any relevant corporation during the past 7 years.

As with the assessment of an applicant's management and ownership qualifications, OST reviewers use extensive judgment rather than objective criteria to assess the quality of the applicant's past compliance with federal and state laws and the likelihood of future compliance, according to the Assistant Chief, Air Carrier Fitness Division, OST.

#### FINANCIAL STATUS

Another area OST assesses is the applicant's financial condition. This includes an evaluation of the applicant's balance sheets and income statements and those of all relevant corporations for the 3 most recent calendar or fiscal years. The applicant must disclose to OST any liens or encumbrances, identify major financial commitments (e.g., issuance of bonds or stocks, or the sale or exchange of major assets) made within the last 6 months, disclose any liabilities more than 60 days past due, and describe any contingent liabilities or any significant financial events occurring after the most recent financial statements. OST also reviews the applicant's projected capital needs for commencing operations, including the basis for the estimate and the proposed form and source of capital, and a forecasted balance sheet and profit and loss statement for the first normal year of operations.

According to the Assistant Chief of OST's Air Carrier Fitness Division, the review of an applicant's financial condition is the only key area where OST reviewers are provided some assessment criteria or guidance. She added, however, that even the financial criteria are limited. For example, using industrywide operating costs for specific aircraft types, OST assesses the reasonableness

---

<sup>3</sup>"Relevant corporation" is defined by OST as ". . . the company, any predecessor of the company (including any company in which any directors or principal officers once had a substantial interest or any company whose operations were acquired by, or merged with, the applicant), any organization which has a significant financial or managerial influence on the company, and any subsidiary of the company."

of the applicant's projected operating costs in such areas as fuel and maintenance.

#### RELIABILITY

For commuters proposing to replace an incumbent carrier that DOT relies on to provide essential air service, OST performs an assessment of the air carrier's reliability. According to the Chief of the Service Analysis Division, Office of Aviation Analysis, to assess the carrier's reliability, OST reviews several indicators of the carrier's reliability including the carrier's fuel arrangements and its history of completing scheduled flights if it has in the past engaged in scheduled passenger service.

#### ISSUANCE OF REGISTRATION OR CERTIFICATE

When all material issues of fact in the fitness assessment appear to be resolved, OST issues an order tentatively finding the applicant fit to perform the service it proposes and publishes a notice to this effect in the Federal Register. Interested parties are asked to "show cause" why the tentative finding should not be finalized. If no objections are filed within an allowed time period, generally 15 days, OST issues an order finalizing its findings and grants the registration or certificate. (See apps. I and III.) If objections are received, the applicant is given the opportunity to respond to them. After reviewing the applicant's response, OST determines what further procedural steps, if any, may be warranted, including submitting the case for hearing before an administrative law judge prior to OST's issuance of its final decision on the application. All OST decisions regarding applications for air service to foreign points must be approved by the President.

Where an application itself raises substantive questions of fact, is controversial, or presents complex issues, OST will issue an order setting the case for a hearing before a DOT administrative law judge. After a public hearing is held and briefs are filed by the applicant and OST staff, the judge reviews the submitted information and issues a recommendation to OST on the applicant's capability to provide the proposed service. After reviewing the judge's recommendation, OST issues a final decision on the application and either grants or denies a registration or a certificate.

If an applicant does not currently hold an FAA air carrier operating certificate, the effective date of the OST registration or certificate occurs after the applicant receives an FAA certificate and presents it to OST. In addition, if the applicant does not obtain the required FAA authority and does not institute commuter or certificated air transportation services, as the case may be, within 1 year of being found fit by OST to do so, its

authority to operate such service will be terminated automatically at the end of 1 year. On the other hand, if a company starts its certificated or commuter service within 1 year and subsequently ceases service, it has 1 year from the date of cessation to recommence service or its authority to operate such service will be terminated automatically 1 year after the date of cessation. Any carrier proposing to recommence service within 1 year must file a notice and updated fitness information with OST.

#### REPORTING REQUIREMENTS

OST certificated air carriers and registered commuters are subject to several reporting requirements. Certificated carriers are required to submit periodic passenger traffic reports and financial statements to OST. Registered commuters submit the passenger reports but not the financial data. All certificated and commuter air carriers must also report to OST any substantial change that takes place in its operation (e.g., new owners or a major change in the management team), according to the Chief, Air Carrier Fitness Division. OST uses this information for a variety of purposes including monitoring air carriers' continued fitness. OST is responsible for monitoring air carriers' fitness and can revoke a carrier's authority to operate if it finds the carrier is no longer fit. The information submitted by the air carriers is also used by OST to update its files and for statistical and analytical purposes. Registered noncommuter air carriers are also required to inform FAA of changes to information on its registration.

DOT's Inspector General has found that OST has not adequately monitored air carriers. In February 1986, the Inspector General reported that OST generally did not review a carrier's continuing capability to provide air transportation unless a significant event had been brought to OST's attention by external sources (e.g., airline employees, customers, competitors, FAA, or the media). The Inspector General concluded that OST was performing its continuing monitoring responsibilities in a reactive manner rather than by developing performance standards and then using available information from the carriers to assess performance and identify problems for closer surveillance. In response to these findings, according to the Chief, Air Carrier Fitness Division, OST established and is further developing a program to regularly monitor the continuing fitness of air carriers and to inform FAA of air carriers having financial or other problems. FAA uses this information to determine if closer surveillance of these carriers or other action is necessary.

On February 5, 1987, the Assistant Inspector General for Auditing recommended that the Assistant Secretary for Policy and International Affairs consider transferring the OST air carrier monitoring functions to FAA. The Assistant Inspector General stated that

"The separate but parallel processes performed in OST and FAA have not always been adequately coordinated in the past. By eliminating organizational boundaries, a consolidated air carrier monitoring system is possible with consistent policies which would concentrate scarce staff resources on more effectively and efficiently monitoring air carriers."

At the time we were completing this fact sheet, the Assistant Secretary had not responded to the recommendation.

## SECTION 2

### FAA PROCEDURES FOR ISSUING

#### AIR CARRIER OPERATING CERTIFICATES

In addition to the registration or the certificate of public convenience and necessity it must receive from OST, an airline cannot operate until it receives an FAA air carrier operating certificate. The major steps in the FAA certification process for air carriers proposing to operate aircraft under Parts 121 and 135 of the FARs are shown in figure 2.1 and described below.

#### INITIAL INQUIRY

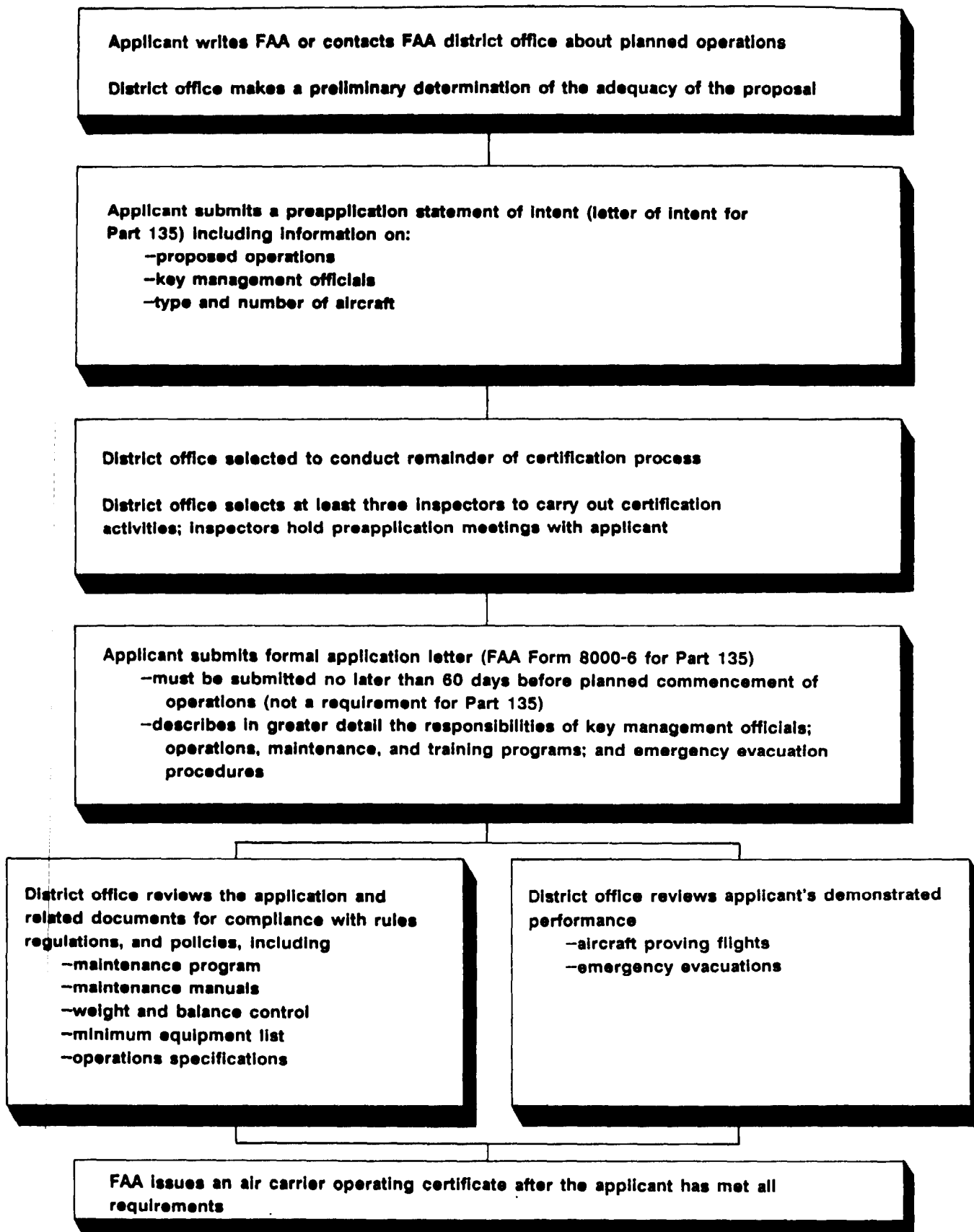
An applicant's initial FAA contact may be in writing or in discussions with district office personnel. District office inspectors review the applicant's proposed plan, discuss applicable regulations, and make a preliminary determination of the adequacy of the proposal. The applicant is notified of any changes needed in its proposal.

#### STATEMENT OF INTENT

Applicants proposing to operate aircraft under Part 121 then submit a preapplication statement of intent (see app. IV), which includes a description of the proposed operations, identification of key management officials, and information on the type and number of aircraft to be used. Applicants proposing to operate aircraft under Part 135 submit a letter describing the proposed operations and containing information similar to that on the preapplication statement. FAA reviews the statement or letter and notifies the applicant of any needed changes.



## Figure 2.1: FAA Procedures for Issuing an Air Carrier Operating Certificate



## PREAPPLICATION ACTIONS

After notifying the applicant of needed changes, FAA selects a district office to conduct the remainder of the certification process. The district office selected is usually the one closest to the applicant's base of operations and maintenance where there are qualified inspectors available. The office selected may be the one first contacted by the applicant or a different one, according to FAA's Manager, Air Carrier Branch, Office of Flight Standards.

The district office assigned to certify the applicant selects three or more inspectors to carry out the certification activities. Generally, FAA assigns a separate inspector for each of the following areas: operations, maintenance, and avionics. Usually, the certification inspectors will subsequently be assigned to inspect the carrier after it begins operations. The assigned certification inspectors hold preapplication meetings with key carrier officials.

## APPLICATION SUBMISSION AND REVIEW

No later than 60 days before the planned start of aircraft operation under Part 121, the carrier must submit an application letter to FAA explaining, in greater detail than the preapplication statement, its proposed operations. Carriers planning to operate aircraft under Part 135 complete an air carrier operating certificate application (see app. V), although the 60-day provision does not apply. Applicants are also required to provide information to FAA on such matters as responsibilities of key management officials; operations, maintenance, and training programs; and emergency evacuation procedures.

District inspectors review the application and associated documents for compliance with FAA rules, regulations, and policies and visit the carriers' facilities. If any problems are detected, the affected documents are returned to the applicant for correction. (See sample FAA certification checklist, app. VI.) The following are significant areas reviewed by the district inspectors:

- Continuous airworthiness maintenance program: The maintenance program is to contain procedures for ensuring that maintenance and inspections are performed by competent personnel in accordance with the air carrier's maintenance manual. The program includes the designation of maintenance and other items which must be inspected. These may include flight control equipment, major structural components, and navigational equipment.
- Maintenance manual: The manual is to provide policies, procedures, and technical guidance to ensure that federal regulations are fully met and are adequate for an airline's

maintenance personnel to carry out their duties. It is to include copies of work forms; a schedule of maintenance and inspection intervals; and a description of the duties of maintenance, alteration, and inspection personnel.

- Weight and balance control: FAA district inspectors assess the adequacy of an applicant's aircraft-loading procedures for assuring that authorized weight and balance limitations are not exceeded.
- Management personnel: FAA district inspectors evaluate the qualifications of an applicant's personnel for the proposed operation. This includes the qualifications of an airline's director of maintenance and chief inspector.
- Minimum equipment list: Federal regulations permit airlines to operate aircraft with certain items or components that are inoperative if an acceptable level of safety can still be maintained until repairs are accomplished. The list which identifies such equipment is called the "minimum equipment list," which FAA district inspectors must review and approve.
- Operations specifications: FAA district inspectors review and approve various operations and maintenance functions. Included are basic route authorizations and limitations and the approval of time intervals for maintenance, overhaul, and inspection activities. (See sample page of operations specifications for en-route flight procedures, app. VII.) The operations specifications form part of the air carrier operating certificate and set the terms, conditions, and limitations under which the carrier must operate.
- Contract maintenance: FAA district inspectors evaluate an applicant's contractual arrangements, if any, with other organizations. The assessment examines
  - whether an entity contracted to perform maintenance has the capability to do the work in accordance with an airline's FAA-approved maintenance program,
  - whether procedures exist for maintaining and transmitting records between the contracting parties, and
  - whether an airline's maintenance manual describes the procedures for administration of the contract and identifies and describes all contracts.

## DEMONSTRATION PHASE

Before FAA issues an air carrier operating certificate, the applicant must demonstrate to the FAA district inspectors that its aircraft and personnel can operate in accordance with its documented procedures, according to FAA's Manager, Air Carrier Branch, Office of Flight Standards. Demonstrations include aircraft proving flights and emergency evacuations.

## ISSUANCE OF CERTIFICATE

Once FAA is satisfied that the applicant has met all requirements, FAA issues an air carrier operating certificate to the applicant. (See app. VIII.) The operations specifications issued as part of the certificate specify the terms, conditions, and limitations of operation, and indicate whether the carrier is being certificated to operate aircraft under Part 121 and/or Part 135 of the federal aviation regulations.

Together with OST's registration or certificate of public convenience and necessity, the FAA certificate permits the air carrier to begin commercial operations.

If a carrier certificated to operate only small aircraft under Part 135 subsequently acquires aircraft that can carry more than 30 passengers or a payload greater than 7,500 pounds (i.e., Part 121 aircraft) FAA must reassess the carrier's capabilities and resources and, upon approval, issue the carrier an amended set of operations specifications which also covers Part 121 operations. FAA does not, in such cases, issue a new or amended air carrier operating certificate.

## FAA MONITORING RESPONSIBILITY

After issuing an air carrier operating certificate, FAA is also responsible for monitoring a carrier's operations to help ensure that the carrier is safe and that its aircraft are properly maintained. FAA carries out this responsibility by conducting a variety of inspections of a carrier's personnel, aircraft, maintenance, and other aspects of its operations. Responsibility for conducting safety inspections lies with FAA's nine regional offices and their 90 district offices located throughout the United States.


In 1985, at the request of the Chairman, Subcommittee on Aviation, House Committee on Public Works and Transportation, and the Chairman, Subcommittee on Transportation, House Committee on Appropriations, we began a comprehensive review of how well FAA carries out its responsibility to monitor air carriers' operations. In May 1986, we testified before the aviation subcommittee on the preliminary results of our review, stating that FAA's air carrier

inspection program was often insufficient to identify major safety problems or to ensure that the problems are corrected once they are identified. Our forthcoming report will discuss, in greater detail, the effectiveness of FAA's inspection program, what actions FAA is taking to improve it, and what more FAA needs to do to ensure that air carriers are complying with safety regulations.

- - - -

The following appendixes contain examples of forms used by OST and FAA in the registration and certification of air carriers. Forms included are preapplications, applications, certificates of insurance, examples of certificates, and FAA certification checklist, and a sample excerpt from an air carrier's operations specifications.

Approved by OMB  
OMB No. 3024-0008  
Expires 12-31-84

 <p>U.S. Department of Transportation Office of the Secretary of Transportation</p> <p style="text-align: center;"><b>AIR TAXI OPERATOR AND COMMUTER AIR CARRIER REGISTRATION AND AMENDMENTS UNDER PART 298 OF THE REGULATIONS OF THE DEPARTMENT OF TRANSPORTATION</b></p>	<p><b>FOR USE BY DOT ONLY</b></p>
<p><b>INSTRUCTIONS:</b> Please submit this form in duplicate to Department of Transportation, Licensing Division, P-45, Office of Aviation Operations, 400 7th Street, S.W., Washington, D.C. 20590. If this is an initial registration for air taxi service, enclose an \$8 fee (check, draft, or postal money order) payable to DOT. The fee for initial registrations for commuter (i.e. scheduled passenger) service is \$670. There is no filing fee for amendments to information previously filed, except when changing status from an air taxi operator to a commuter air carrier. In such cases, a fee of \$670 is required.</p>	<p>Effective date of registration/amendments</p>
<p>1. Name and Mailing Address of the Registering Carrier:</p>	<p>3. Federal Aviation Administration certificate number (if any), and address and telephone number of local FAA office:</p>
<p>2. Address of principal place of business (if different from above), and the carrier's Area Code and Telephone Number:</p>	
<p>4. Is this filing the carrier's:</p> <p style="text-align: center;"> <input type="checkbox"/> Initial             <span style="margin-left: 200px;"><input type="checkbox"/> Amendment to reflect changes since previous filing</span> </p> <p>If initial registration, give proposed date of commencement of operations _____.</p>	
<p>5. Check type or types of service the carrier intends to perform upon commencement of operations, or, for amendments, service the carrier is currently performing:</p> <p style="text-align: center;"> <input type="checkbox"/> *scheduled passenger             <span style="margin-left: 200px;"><input type="checkbox"/> on-demand passenger</span>  <input type="checkbox"/> scheduled cargo             <span style="margin-left: 200px;"><input type="checkbox"/> on-demand cargo</span>  <input type="checkbox"/> mail under a U.S. Postal Service contract             <span style="margin-left: 200px;"><input type="checkbox"/> **other</span> </p> <p><small>*Check only if service is or at least five (5) round trips per week on at least one route between two or more points and is operated pursuant to published flight schedules which specify the times, days of the week, and places between which such flights are performed. If not already submitted, a copy of such schedules, or proposed schedules, should be enclosed with this registration.</small></p> <p><small>**For example, if the carrier performs air ambulance operations, or fire fighting operations for the U.S. Forest Service, or if the operations are seasonal, it should be indicated here.</small></p>	

OBT Form 4907  
(Formerly CAB Form 298-A)

<p><b>6. Aircraft which the carrier proposes to operate in air taxi or commuter service or, for amendments, aircraft currently operated:</b></p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 30%; text-align: center;"><u>Aircraft Type/Make</u></th> <th style="width: 30%; text-align: center;"><u>FAA Registration Number</u></th> <th style="width: 40%; text-align: center;"><u>Passenger Seats Installed*</u></th> </tr> </thead> <tbody> <tr><td>1.</td><td></td><td></td></tr> <tr><td>2.</td><td></td><td></td></tr> <tr><td>3.</td><td></td><td></td></tr> <tr><td>4.</td><td></td><td></td></tr> <tr><td>5.</td><td></td><td></td></tr> </tbody> </table> <p style="text-align: center;">(Add additional sheets if necessary)</p> <p>*This does not include seats occupied by the pilot or co-pilot unless the letter is available for passenger use.</p>	<u>Aircraft Type/Make</u>	<u>FAA Registration Number</u>	<u>Passenger Seats Installed*</u>	1.			2.			3.			4.			5.			<p><b>7. Is the registering carrier a U.S. citizen?</b>                  NOTE: Under the Federal Aviation Act a corporation is a U.S. citizen only if the president and two-thirds or more of the officers and directors are U.S. citizens and 75 percent of the voting interest is owned or controlled by U.S. citizens.</p> <p style="text-align: center;"> <input type="checkbox"/> YES                      <input type="checkbox"/> NO             </p> <hr/> <p><b>8. If this is an amendment, state whether the carrier has carried passengers in foreign air transportation, that is, between any point in the United States and any point outside thereof, during the past 12 months:</b></p> <p style="text-align: center;"> <input type="checkbox"/> YES                      <input type="checkbox"/> NO             </p>
<u>Aircraft Type/Make</u>	<u>FAA Registration Number</u>	<u>Passenger Seats Installed*</u>																	
1.																			
2.																			
3.																			
4.																			
5.																			
<p><b>9. (For use in reporting any changes or amendments to information previously filed).</b></p> <p>a. Change in carrier's name and/or address:</p>   <p>b. Description of any other changes or amendments:</p>   																			
<p><b>10. Certification</b></p> <p>I certify that the information contained in this application is complete and accurate to the best of my knowledge. If operating as a commuter air carrier or in foreign air transportation or participating in an interline agreement, the carrier subscribes to Agreement 18900 (included as Appendix A to 14 CFR Part 203 of DOT regulations), and in accordance with that Agreement agrees that a liability limit of not less than \$75,000 shall apply under Article 22(1) of the Warsaw Convention for passenger injury or death in international transportation as defined in the Convention.</p> <p style="text-align: right;">Signature: _____ (see note)</p> <p>Date: _____                      Name: _____ (Please type)</p> <p>Place: _____                      Title: _____ (City and State)</p> <p><b>NOTE:</b> This registration must be signed by a responsible officer, such as the President, Vice President, Secretary or Treasurer, or partner or owner of the carrier</p>																			

U.S. Department of Transportation  
Office of the Secretary of Transportation

Approved by OMB  
OMB No. 2100-0031  
Expire 6-30-80

NOTE: THIS FORM IS TO BE COMPLETED BY AN OFFICER OR AUTHORIZED REPRESENTATIVE OF THE INSURANCE COMPANY

**CERTIFICATE OF INSURANCE  
AIR TAXI OPERATOR POLICIES OF INSURANCE FOR AIRCRAFT BODILY INJURY  
AND PROPERTY DAMAGE LIABILITY**

THIS CERTIFIES THAT:

\_\_\_\_\_ (insurer)  
(Name and address of Insurer)

has issued a policy or policies of Aircraft Liability Insurance to \_\_\_\_\_ (Name and

address of Insured Air Taxi Operator)

\_\_\_\_\_ (Named Insured)

effective from \_\_\_\_\_ until ten (10) days after written notice from the Insurer of the intent to terminate coverage is received by the Department of Transportation.

The Insurer (check one)

- is licensed to issue aircraft insurance policies; or
- is an approved surplus line insurer in the State(s) of \_\_\_\_\_

The Insurer assumes, under the policy or policies listed below, aircraft liability insured to minimums at least equal to the following during operation, maintenance or use of aircraft in "air transportation" as that term is defined in the Federal Aviation Act of 1958 (check one):

Separate coverages

Policy No.	Type of Liability	Minimum Limit	
		Each Person	Each Occurrence
	Bodily Injury Liability Excluding Passengers	\$75,000	\$300,000
	Passenger Bodily Injury Liability	\$75,000	\$75,000 x 75% of total number of passenger seats installed in the aircraft.
	Property Damage		\$100,000

Combined Coverage: Policy No.: \_\_\_\_\_

This combined coverage is a single limit of liability for each occurrence at least equal to the required minimums stated above for bodily injury excluding passengers, passenger bodily injury, and property damage.

OST Form 4521  
(Formerly CAB Form 257)



The policy or policies listed in this certificate insure (check one):

Operations conducted with the following types of aircraft:

Operations conducted with the following aircraft:

FAA  
Registration

Manufacturer's  
Type

FAA  
Registration

Manufacturer's  
Type

Each policy listed in this certificate has been amended by attachment of a Standard Endorsement Form OST Form 4522, formerly CAB Form 262, and does not cover operations except

(1) in the geographic area of operations set forth in the Operations Specifications issued by the FAA in conjunction with its issuance of the ATCO operating certificate to the air taxi operator listed on page 1 of this certificate (specify applicable geographic areas)

\_\_\_\_\_ ; and

(2) in the following operations

(Specify area)  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
(Name of Insurer)

\_\_\_\_\_  
(Name of Broker, if applicable)

\_\_\_\_\_  
(Address of Broker)

Date: \_\_\_\_\_

By: \_\_\_\_\_  
(Officer, or authorized representative of insurer or broker)



**Certificate of Public Convenience and Necessity  
for  
Interstate and Overseas Air Transportation**

This certifies that

**Is authorized, subject to the provisions of Title IV of the Federal Aviation Act of 1958, as amended, the orders, rules, and regulations issued thereunder, and the attached terms, conditions, and limitations, to engage in interstate and overseas air transportation of persons, property and mail.**

**This certificate is not transferable without the approval of the Department of Transportation.**


Issued by Order \_\_\_\_\_  
On \_\_\_\_\_  
Effective on \_\_\_\_\_

By Direction of the Secretary

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

SAMPLE

Form Approved  
OMB No. 2120-0028

 <p>U.S. Department of Transportation Federal Aviation Administration</p>				<p><b>Preapplication Statement of Intent</b></p>			
<p><b>Section I</b></p>							
<p>1. Proposed Company Name</p> <p>XYZ Airlines</p>							
<p>aka</p> <p>ABC Airlines</p>							
<p>2. Proposed Address</p>				<p>Proposed Telephone Number</p>			
<p>Business Office</p> <p>123 Wilson Dr. Lomore, Texas 27842</p>				<p>(207) 301-2492</p>			
<p>Operations Base</p> <p>Hangar 6 Lomore IAP, Texas 27842</p>				<p>(207) 301-3100</p>			
<p>Maintenance Base</p> <p>Same as above</p>				<p>(207) 301-3110</p>			
<p>3. Key Management Personnel:</p>		<p>Name</p>		<p>Certificates and Ratings</p>		<p>Telephone Number</p>	
<p>President</p> <p>Mr. Barry Brown</p>				<p>ATP MEL B-727</p>		<p>(207) 301-2492</p>	
<p>Director of Maintenance</p> <p>Mr. John Wilson</p>				<p>ATP MEL DC-9</p>		<p>(207) 301-3114</p>	
<p>Director of Operations</p> <p>Mr. Larry Smith</p>				<p>ATP MEL DC-9</p>		<p>(207) 301-3102</p>	
<p>4. Proposed Type of Operation:</p> <p><input checked="" type="checkbox"/> Air Carrier Operating Certificate <input type="checkbox"/> Operating Certificate</p> <p>Part 121 <input type="checkbox"/> Flag <input checked="" type="checkbox"/> Domestic <input type="checkbox"/> Supplemental <input type="checkbox"/> All Cargo <input type="checkbox"/> Commercial Operator</p> <p>Part 135 <input type="checkbox"/> On Demand <input type="checkbox"/> Commuter <input type="checkbox"/> All Cargo <input type="checkbox"/> Commercial Operator</p>							
<p>5. Proposed Geographical Area of Intended Operations:</p> <p>Texas, Oklahoma, Colorado, New Mexico, Arizona Cities yet to be determined</p>							
<p>6. Proposed Type(s) and Number(s) of Aircraft</p>				<p>Number of Seats or Load Capability</p>			
<p>DC-9, (3)-10 Series</p>				<p>90 seats each</p>			
<p>7. Proposed Start of Operations Date:</p> <p>October 1, 1984</p>							

FAA Form 0485-6 Rev

SAMPLE

<p><b>4. Any Other Pertinent Information.</b></p> <p>We are planning to provide jet service to cities which either have no service at all or is limited to small aircraft. Routes would be flown to the closest major airports in that area.</p>		
<p><b>5. Requested Three Letter Company Identifier:</b></p> <p>ABC</p>		
<p>This statement denotes an intent to obtain FAA certification as an air carrier or commercial operator.</p>		
<p><b>Name and Title</b></p> <p>Berry Brown, President, ABC Airlines</p>	<p><b>Signature</b></p> <p>Berry Brown</p>	<p><b>Date</b></p> <p>16 April, 1984</p>
<p><b>Section II - To be completed by the FAA district office</b></p>		
<p><b>Received by (district office)</b></p> <p>ASO-FSDO-31</p>		<p><b>Date</b></p> <p>April 18, 1984</p>
<p><b>Remarks</b></p> <p>The applicant appears to be adequately organized to meet the proposed start up date.</p>		
<p><b>Date forwarded to regional office</b></p> <p>April 20, 1984</p>		
<p><b>Section III - To be completed by the FAA regional office</b></p>		
<p><b>Received by (region)</b></p> <p>ASO-260</p>		<p><b>Date</b></p> <p>April 23, 1984</p>
<p><b>Coordination date with AWA-120</b></p> <p>April 25, 1984</p>	<p><b>Pre-Certification Number assigned</b></p> <p>AB00150B</p>	
<p><b>District office(s) assigned certificate responsibility</b></p> <p>ASO-FSDO-31</p>		<p><b>Date forwarded to district office</b></p> <p>April 27, 1984</p>

No certificate may be issued unless a completed application form has been received (14 C.F.R. 135).

<b>APPLICATION FOR AIR CARRIER/COMMERCIAL OPERATOR CERTIFICATION UNDER FAR 135</b>		Form Approved: O.M.S. No. 2120-0038																																																																																																																																																												
Submit in triplicate (3) to appropriate FAA District Office																																																																																																																																																														
1. APPLICATION IS HEREBY MADE FOR ("X" applicable box) <input type="checkbox"/> ISSUANCE <input type="checkbox"/> AMENDMENT OF CERTIFICATE		2a. OPERATING AS <input type="checkbox"/> INDIVIDUAL <input type="checkbox"/> PARTNERSHIP <input type="checkbox"/> CORPORATION <input type="checkbox"/> OTHER (Specify): _____																																																																																																																																																												
2. NAME, ADDRESS, AND ZIP CODE OF APPLICANT  TELEPHONE (Include area code)		2b. U.S. CITIZENSHIP AS DEFINED IN FAR 135																																																																																																																																																												
		2c. PROOF OF REGISTRATION (CAB Part 299) 2d. HOLD A COMMERCIAL OPERATING CERTIFICATE (If "Yes," state Regulator(s) under which issued):																																																																																																																																																												
3. PRINCIPAL OPERATIONS BASE (Airport, City, State)		4. PRINCIPAL MAINTENANCE BASE (Airport, City, State)																																																																																																																																																												
5. NAME OF <input type="checkbox"/> DIRECTOR OF OPERATIONS <input type="checkbox"/> CHIEF PILOT  PHONE (Include area code)		6. NAME OF <input type="checkbox"/> DIRECTOR OF MAINTENANCE <input type="checkbox"/> CHIEF MECHANIC  PHONE (Include area code)																																																																																																																																																												
7. OPERATION AUTHORIZATIONS REQUESTED (Use separate line for each different authorization requested)			8. AREA OF OPERATION  <input type="checkbox"/> CONTINENTAL U.S.  <input type="checkbox"/> SPECIFIC AREAS  <input type="checkbox"/> INTERNATIONAL (List countries)																																																																																																																																																											
<table border="1" style="width:100%; border-collapse: collapse; font-size: x-small;"> <thead> <tr> <th rowspan="2">APPLANE</th> <th rowspan="2">HELICOPTER</th> <th rowspan="2">SINGLE ENGINE LAND</th> <th rowspan="2">SINGLE ENGINE SEA</th> <th rowspan="2">MULTI-ENGINE LAND</th> <th rowspan="2">MULTI-ENGINE SEA</th> <th colspan="3">PASSENGERS</th> <th rowspan="2">JET</th> <th rowspan="2">PROP</th> <th rowspan="2">RECIP</th> <th rowspan="2">VFR</th> <th rowspan="2">IFR</th> <th rowspan="2">DAY</th> <th rowspan="2">NIGHT</th> <th rowspan="2">PASSENGER</th> <th rowspan="2">CARGO</th> <th rowspan="2">COMBATER</th> <th rowspan="2">AERIAL</th> <th rowspan="2">OFF-AIRWAYS</th> <th rowspan="2">AUTO-PILOT</th> <th rowspan="2">RNAV</th> <th rowspan="2">MLS</th> </tr> <tr> <th>9 OR LESS</th> <th>10 TO 19</th> <th>20 TO 39</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </tbody> </table>				APPLANE	HELICOPTER	SINGLE ENGINE LAND	SINGLE ENGINE SEA	MULTI-ENGINE LAND	MULTI-ENGINE SEA	PASSENGERS			JET	PROP	RECIP	VFR	IFR	DAY	NIGHT	PASSENGER	CARGO	COMBATER	AERIAL	OFF-AIRWAYS	AUTO-PILOT	RNAV	MLS	9 OR LESS	10 TO 19	20 TO 39																																																																																																																																
APPLANE	HELICOPTER	SINGLE ENGINE LAND	SINGLE ENGINE SEA							MULTI-ENGINE LAND	MULTI-ENGINE SEA	PASSENGERS																JET	PROP	RECIP	VFR	IFR	DAY	NIGHT	PASSENGER	CARGO	COMBATER	AERIAL	OFF-AIRWAYS	AUTO-PILOT	RNAV	MLS																																																																																																																				
				9 OR LESS	10 TO 19	20 TO 39																																																																																																																																																								
9. AIRCRAFT TO BE USED (List one aircraft only in each category and class)																																																																																																																																																														
REGISTRATION NUMBER	MAKE	MODEL	CATEGORY AND CLASS	OWNERSHIP ("X" one) Owned	Agreement or Lease (Attach copy)	EQUIPPED FOR ("X" applicable items)																																																																																																																																																								
						VFR		IFR																																																																																																																																																						
						DAY	NIGHT	DAY	NIGHT																																																																																																																																																					
10. CERTIFICATION    I certify these statements and the attachments hereto are true and correct.																																																																																																																																																														
SIGNATURE OF APPLICANT			TITLE			DATE																																																																																																																																																								
RECORD OF ACTION—FOR FAA USE ONLY																																																																																																																																																														
11. INSPECTOR'S RECOMMENDATIONS (If additional space is required, attach 8 x 10 1/2" sheet of paper)																																																																																																																																																														
12. INSPECTOR'S SIGNATURES		OPERATIONS		MAINTENANCE		AVIONICS																																																																																																																																																								
13. APPROVAL ACTION		COMMENTS																																																																																																																																																												
APPROVED CERTIFICATE NO. ISSUED:																																																																																																																																																														
DISAPPROVED		SIGNATURE			TITLE			DATE																																																																																																																																																						

FAA Form 8000-6 (12-83)

SAMPLE

FAA Certification Checklist (Part 121)

Date issued, scheduled, submitted, or requested	ACTION ITEMS	Date accomplished, accepted, approved, or forwarded
	<b>Section 1: Before Formal Application Meeting</b>	
	Preapplication Statement of Intent	
	Preapplication Meeting	
	Applicable FARs to Applicant	
	Certification Checklist to Applicant	
	Standard Operations Specifications to Applicant	
	Formal Application Meeting	
	<b>Section 2: After Formal Application Meeting</b>	
	General Operations Manual	
	General Maintenance Manual	
	Verification of Aircraft Availability	
	FAR Approved Airplane Flight Manual	
	Company Aircraft Operations Manual	
	Authorized Signature Letter (if required)	
	List of Crewmembers/Qualifications	
	Compliance Statement Completed	
	Weight and Balance Manual	
	Flight Attendant Training Manual	
	Station Manager's Manual	
	Training Manual (Aircrew, Dispatcher, etc.)	
	Maintenance Program/Training Manual	
	All Required Deviations, Extensions, or Exemptions	
	Letter of Deviation Authority from FAR Part 125	

Date issued, scheduled, submitted, or requested	ACTION ITEMS	Date accomplished, accepted, approved, or forwarded
	Dispatcher/Flight Following Procedures Manual	
	Minimum Equipment List Approval	
	Lease/Contracts/Arrangements Reviewed	
	Normal Checklists Approval	
	Emergency Checklists Approval	
	Runway Analysis Program	
	Audit (if required)	
	Aircraft Inspected by FAA (Airworthiness)	
	Simulator/Aircraft Differences Evaluated	
	FAA Coordination with Other Offices for Coverage	
	Management Requirements	
	Operations Specifications to District Office	
	<b>Section 3: Before Proving Flights</b>	
	Indoctrination Training	
	Ground Training	
	Simulator Training	
	Aircraft Training	
	Check Airman Training	
	Rating/Proficiency Checks	
	Emergency Evacuation Demonstrations	
	Proving Test Plan Approved	
	Noise and Emissions Plan Submitted	

SAMPLE

DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION OPERATIONS SPECIFICATIONS - EN ROUTE FLIGHT PROCEDURES										Form Approved Budget Bureau No. 04-R083.1				
ROUTE OR ROUTE SEGMENT And Areas of Operation.	VIA	OPERATION AUTHORIZED				TYPE OF AIRCRAFT AUTHORIZED				SPECIAL REQUIREMENTS				
		DAY		NIGHT		DC-10	DC-8	PH-227		MOCA	MEA	MAA	OTHER	TYPE NAVIGATION <sup>1</sup>
		VFR	IFR	VFR	IFR									
1. 48 contiguous states of the U.S. and the District of Columbia and the State of Alaska.	In accordance with Part B of these operations specifications.	X	X	X	X	X	X	X						
2. Smith VOR - South VOR	Jones Int.	X	X	X	X	X	X							
3. Woodtown VOR - Jackson VOR	MOD/320 & JAC 220	X	X	X	X	X	X							
4. The following areas outside the U.S. are authorized (List appropriate areas).	Federal Airways, Foreign Airways, Controlled Airspace or Advisory Routes (ADR)	X	X	X	X	X	X	NA						
EFFECTIVE DATE	NAME OF AIR CARRIER		1 Where a navigator or special cockpit navigation and equipment is required, so specify, ie Navigator, Cockpit (Daggle - Loran), (insert).											
October 28, 1976	XYZ Air Service													

FAA Form 848-1 (12-66)



SAMPLE



U.S. Department  
of Transportation  
Federal Aviation  
Administration

# Air Carrier Operating Certificate

## This certifies that

John J. Doe d/b/a  
Doro Aviation Services  
Municipal Airport  
Bayside, Virginia

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 in accordance with said Act and the rules, regulations and standards prescribed thereunder, and the terms, conditions, and limitations contained in the 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: 16-EA-25  
Effective date May 5, 1985  
EA-GADO-16  
Issued at: Richmond, Virginia

(Signed by FAA  
District Office Manager)  
(Signature)  
Manager, EA-GADO-16  
(Title)

MAJOR CONTRIBUTORS TO THIS FACT SHEET

RESOURCES, COMMUNITY, AND  
ECONOMIC DEVELOPMENT DIVISION,  
WASHINGTON, D.C.

Herbert R. McLure, Associate Director, (202) 275-7783  
Charles S. Cotton, Group Director  
Joel L. Slotsky, Assignment Manager

SEATTLE REGIONAL OFFICE

Alvin S. Finegold, Regional Management Representative  
Paul E. Staley, Jr., Evaluator-in-Charge  
Dorlene R. Bleha, Evaluator

---

**Requests for copies of GAO reports should be sent to:**

**U.S. General Accounting Office  
Post Office Box 6015  
Gaithersburg, Maryland 20877**

**Telephone 202-275-6241**

**The first five copies of each report are free. Additional copies are \$2.00 each.**

**There is a 25% discount on orders for 100 or more copies mailed to a single address.**

**Orders must be prepaid by cash or by check or money order made out to the Superintendent of Documents.**

**United States  
General Accounting Office  
Washington, D.C. 20548**

**First-Class Mail  
Postage & Fees Paid  
GAO  
Permit No. G100**

**Official Business  
Penalty for Private Use \$300**

**Address Correction Requested**