

VOLUME 5 AIRMAN CERTIFICATION

CHAPTER 1 DIRECTION, GUIDANCE, AND PROCEDURES FOR TITLE 14 CFR PARTS 121/135 AND GENERAL AVIATION

Section 3 Phases of Certification

Source Basis:

- Title 14 CFR Part 3 Subpart C, Designated U.S. Agents for Service.
- Title 14 CFR § 61.1, Applicability and Definitions.
- Title 14 CFR § 61.13, Issuance of Airman Certificates, Ratings, and Authorizations.
- Title 14 CFR § 61.15, Offenses Involving Alcohol or Drugs.
- Title 14 CFR § 61.17, Temporary Certificate.
- Title 14 CFR § 61.25, Change of Name.
- Title 14 CFR § 61.35, Knowledge Test: Prerequisites and Passing Grades.
- Title 14 CFR § 61.39, Prerequisites for Practical Tests.
- Title 14 CFR § 61.41, Flight Training Received From Flight Instructors Not Certificated by the FAA.
- Title 14 CFR § 61.43, Practical Tests: General Procedures.
- Title 14 CFR § 61.49, Retesting After Failure.
- Title 14 CFR § 61.51, Pilot Logbooks.
- Title 14 CFR § 61.56, Flight Review.
- Title 14 CFR § 61.57, Recent Flight Experience: Pilot in Command.
- Title 14 CFR § 61.60, Change of Address.
- Title 14 CFR § 61.64, Use of a Flight Simulator and Flight Training Device.
- Title 14 CFR § 61.71, Graduates of an Approved Training Program Other Than Under This Part: Special Rules.
- Title 14 CFR § 61.156, Training Requirements: Airplane Category—Multiengine Class or Multiengine Airplane Type Rating Concurrently with an Airline Transport Pilot Certificate.
- Title 14 CFR § 61.157, Flight Proficiency.
- Title 14 CFR § 61.160, Aeronautical Experience—Airplane Category Restricted Privileges.
- Title 14 CFR § 61.197, Recent Experience Requirements for Flight Instructor Certification.
- Title 14 CFR § 63.11, Application and Issue.
- Title 14 CFR § 63.12, Offenses Involving Alcohol or Drugs.
- Title 14 CFR § 121.403, Training Program: Curriculum.
- Title 14 CFR § 135.327, Training Program: Curriculum.

5-51 GENERAL. Any certification function that might affect a pilot, flight instructor, or ground instructor certificate or rating requires the person requesting the action (e.g., a practical test for a pilot certificate or rating or the removal of a limitation) to fill out Federal Aviation Administration (FAA) Form 8710-1, Airman Certificate and/or Rating Application. Any certification function that might affect a Flight Engineer Certificate or rating requires the person

requesting the action to fill out FAA Form 8400-3, Application for an Airman Certificate and/or Rating.

5-52 INTEGRATED AIRMAN CERTIFICATION AND RATING APPLICATION (IACRA).

The FAA's IACRA system is authorized for use, and may be used by certifying officials (e.g., aviation safety inspectors (ASI), aviation safety technicians (AST), and examiners) for processing applications at the request of the applicant. For instructions on the use of IACRA, see Volume 5, Chapter 2, Section 4 and <https://iacra.faa.gov/>. When an examiner uses IACRA, nothing will be mailed to the managing Flight Standards Service (FS) office. The process is completely electronic. If extenuating circumstances do not allow the use of IACRA, follow the instructions in this section for completing FAA Form 8710-1 or FAA Form 8400-3, as applicable.

NOTE: Examiners, ASIs, and ASTs must have the capability to use IACRA if the applicant elects to use IACRA.

5-53 REVIEW OF FAA FORM 8710-1.

A. Instructions. Instructions for accurate completion of FAA Form 8710-1 are included on a tear-off sheet at the top of the form. The ASI, AST, or examiner should ensure the applicant has completed Sections I–V in accordance with the form instructions.

B. Special Emphasis Items on Page 1 of the Form. Particular attention should be paid to the following items:

1) In Section I, the block for “ATP-Restricted” should only be utilized if the applicant is applying for an Airline Transport Pilot (ATP) Certificate with restricted privileges in accordance with Title 14 of the Code of Federal Regulations (14 CFR) § 61.160. The applicant must meet the minimum eligibility requirements and provide the appropriate documentation for which the airman is applying for an “ATP-Restricted” pilot certificate. The ASI or examiner should ensure that the applicant has completed the following sections and the following documentation is presented or submitted by the applicant (for a job aid, see Volume 5, Chapter 2, Section 18, Figure 5-84, ATP—Airplane Multiengine Applicant Qualifications Job Aid for Applicants Engaged in Operations Under 14 CFR Part 61 or 141):

- a) Military-trained:
 1. Section I, “ATP-Restricted” block is marked.
 2. The applicant must be at least 21 years old at the time of application.
 3. Section II, “U.S. Military Competence or Experience,” is completed.
 4. Form DD-214, Certificate of Release or Discharge from Active Duty, indicating that the person was honorably discharged from the U.S. Armed Forces, or an official U.S. Armed Forces record that shows the pilot is currently serving in the U.S. Armed Forces.

5. An official U.S. Armed Forces record that shows the person graduated from a U.S. Armed Forces undergraduate pilot training school and received a rating qualification as a military pilot.

6. Section III, “Record of Pilot Time,” includes the minimum aeronautical experience required.

7. The attachments must include the following and the corresponding blocks marked:

- A valid knowledge test report.
- A copy of the ATP Certification Training Program (CTP) graduation certificate.

b) Graduates of a bachelor’s or associate’s degree program with an aviation major:

1. Section I, “ATP-Restricted” block is marked.

2. Section I, “Specify Other” is marked and completed with one of the following:

- “Bachelor’s Degree, 60” – This will ensure that the application is processed in accordance with 14 CFR § 61.160(b).
- “Bachelor’s Degree, 30” – This will ensure that the application is processed in accordance with 14 CFR § 61.160(d).
- “Associate’s Degree, 30” – This will ensure that the application is processed in accordance with 14 CFR § 61.160(c).

3. The applicant must be at least 21 years old at the time of application.

4. Section III, “Record of Pilot Time,” includes the minimum aeronautical experience required.

5. The attachments must include the following and the corresponding blocks marked:

- Official college transcript and a certifying statement on the transcript or other FAA-accepted document;
- A valid knowledge test report; and
- A copy of the ATP or CTP graduation certificate. The remarks from the ASI or examiner must include a valid institution of higher education that the applicant has graduated from and the graduation date.

2) In Section I, the blocks for “Flight Review” and “Instrument Proficiency Check” are not mandatory in meeting the experience requirements of 14 CFR §§ 61.56 and 61.57;

however, airmen are encouraged to file the information with the FAA, and it can be used to substantiate past aeronautical experience in the case of a lost logbook.

3) In Section I, if the applicant answered “No” to block G (“Do you read, speak, write, & understand the English language?”) due to medical reasons, an operating limitation must be placed on the certificate. See Volume 5, Chapter 2, Section 5.

4) In Section II, if block D, “Holder of Foreign License,” is checked, verify that the entry accurately reflects the information on the foreign pilot license. See Volume 5, Chapter 2, Section 14 for guidance on issuing a certificate based on a foreign license or Volume 5, Chapter 2, Section 23 for guidance on issuing a certificate based on the provisions of the Bilateral Aviation Safety Agreements (BASA) with foreign States.

5) In Section III, “Record of Pilot Time,” the applicant must list at least the aeronautical experience required for the airman certificate and rating sought.

a) Graduates of 14 CFR part 141 pilot schools or 14 CFR part 142 training centers must provide their aeronautical experience in Section III, even though the graduation certificate is evidence of having completed the course of training.

b) The “Instruction Received” blocks of the “Airplanes,” “Rotorcraft,” “Powered Lift,” “Gliders,” and “Lighter-Than-Air” rows refer to instruction in an aircraft in flight. The time entered in the “FFS,” “FTD,” and “ATD” rows may be used for credit towards the total time in the category, class, and instrument time as permitted by the regulations.

c) If an applicant is removing a restriction or limitation from their pilot certificate after obtaining the minimum experience requirements, the pilot’s record of flight time must be entered on FAA Form 8710-1, and it must satisfy the minimum experience or flight time requirements specified in the applicable 14 CFR part. For example, an applicant was issued a certificate with the following limitation, “The [name of additional type rating] is subject to pilot-in-command limitations,” because they did not use an aircraft during the practical test and did not meet the applicable experience requirements of 14 CFR § 61.64(b)–(e). If the applicant has now met the 14 CFR § 61.64(g) experience requirement, the FAA Form 8710-1 application is completed, and the applicant will need to record the 25 hours in Section II, row A, block 2b, or complete Section III, listing pilot-in-command (PIC) time. In Section I, complete the “Type Rating” text field to indicate the type aircraft for which the limitation applies, check the “Limitation Removal” box, and complete the “Specify Other” field to read “Remove SOE Limitation.” It is also highly recommended to indicate this same information in the “Certificate or Rating Being Applied For” block in the “Aviation Safety Inspector or Technician Report” section on the back side of the FAA Form 8710-1. A designee authorized to issue a pilot certificate also has the authority to remove a limitation from that same grade of pilot certificate. The designee must have received training on determining applicant eligibility and the process for removal of the limitation. (Refer to FAA Order 8000.95, Designee Management Policy.)

d) If aeronautical experience has no bearing on the certification action sought, it is unnecessary for an applicant to complete Section III. Some examples of when aeronautical experience has no bearing on the certification action sought include:

- Flight instructor recency applications;
- Ground instructor qualification applications;
- Pilot type rating applications; and
- Some instances through the utilization of a BASA.

e) All applicants are encouraged to complete Section III for official record purposes, since the application remains on file with the FAA and can be used to substantiate past aeronautical flight experience in order to recreate a lost logbook.

6) In Section IV, if the applicant checks “Yes” and has previously received FAA Form 8060-5, Notice of Disapproval of Application, ASIs and examiners must ensure the applicant meets the retesting requirements of 14 CFR § 61.49.

C. Special Emphasis Items on Page 2 of the Form. The reverse side of this form is used for recommendations, reports, records, and attachment notes, when required.

1) The instructor’s recommendation on the application should be accepted as meeting the required endorsements prescribed under 14 CFR § 61.39(a)(6). The instructor’s recommendation is required on all applications that require testing, except for the ATP Certificate or for type ratings, unless the applicant has previously failed a test for the ATP Certificate or type rating in accordance with 14 CFR § 61.49. However, in accordance with 14 CFR § 61.157(c), when an applicant has received instruction in an approved 14 CFR part 121 or 135 training program, an instructor or check pilot must certify (in the applicant’s training record) that the applicant’s knowledge and proficiency is satisfactory in accordance with 14 CFR § 121.401(c) or § 135.323(c) before the applicant may take the test.

2) The “Air Agency’s Recommendation” section is only used by 14 CFR part 141 pilot schools and their examining authority.

3) The “Designated Examiner or Airman Certification Representative Report” section is used by Aircrew Program Designees (APD), Training Center Evaluators (TCE), Airman Certification Representatives (ACR), and Designated Pilot Examiners (DPE).

a) The examiner who issues FAA Form 8060-4, Temporary Airman Certificate, is required to complete and sign this section, and must check the “I have personally reviewed this applicant’s pilot logbook and/or training record...” box, the “I have personally tested and/or verified this applicant...” box, the “I have personally delivered the Written Notification under the Pilot’s Bill of Rights to the applicant...” box, and the “Approved” box.

b) In the case of an approved school that has a graduation certificate, the third box, “I have personally reviewed this applicant’s graduation certificate...,” must also be checked.

1. For applicants with 14 CFR part 141 school graduation certificates or who have completed a 14 CFR part 142 course, checking the “I have personally reviewed...and I certify that the individual meets the applicable requirements of 14 CFR Part 61...” box confirms

that the examiner has validated the 14 CFR part 141 pilot school or 14 CFR part 142 training center graduate's compliance with 14 CFR § 61.71.

2. Under the provisions of 14 CFR § 61.71, an applicant who graduates from an approved training program under 14 CFR part 141 or 142 meets the applicable aeronautical experience, aeronautical knowledge, and areas of operation requirements of 14 CFR part 61 if the applicant presents the graduation certificate and passes the required practical test within the 60-calendar-day period after the date of graduation.

3. The examiner's review of the records of practical test applicants with 14 CFR part 141 pilot school or 14 CFR part 142 training center graduation certificates is equivalent to the examiner's personal verification that the instructor's signature on FAA Form 8710-1 correctly indicates that the applicant meets all applicable requirements.

4. Title 14 CFR part 141 graduation certificates must meet the requirements listed in 14 CFR § 141.95.

5. Title 14 CFR part 142 training records in compliance with 14 CFR § 142.73(a) qualify as a graduation certificate to satisfy the requirements of 14 CFR § 61.71(a).

c) The examiner must then complete the information requested in the blocks titled, "Location of Test," "Certificate or Rating Being Applied For," "Type(s) of Aircraft Used" (with level of flight simulation training device (FSTD) used), and "Registration Number(s)" of aircraft, if used. The examiner must indicate the grade, category, class, and type rating, whichever is applicable.

d) If the class rating is being added at the same time as the type rating, it must be indicated (e.g., ATP, Airplane Multiengine Land (AMEL), CE-500).

e) The "Duration of Test" block should contain an indication of the approximate duration of the oral, full flight simulator (FFS)/flight training device (FTD), and flight check, as applicable.

f) The remaining blocks need to be completed with the date, examiner's signature, certificate number, designation number, and expiration date. If not utilizing IACRA, and submitting a paper FAA Form 8710-1, enter the designee type after the certificate number (e.g., "1234567 ACR", "1234567 DPE", or "1234567 APD").

4) The "Evaluator's Record (Use for All ATP Certificate(s) and/or Type Rating(s))" section must be used by ASIs, DPEs, TCEs, and APDs who administer multiple-phase testing for an ATP Certificate or a type rating added to any level of certificate. The ASI, DPE, TCE, or APD who administers each phase of the test must sign on the appropriate line and enter the date. ASIs, DPEs, TCEs, and APDs should enter their certificate number. The oral testing must be done prior to the FFS/FTD or flight testing. The last date of multiple-phase testing will be the date reflected on the Temporary Airman Certificate.

NOTE: On disapproval applications, the “Evaluator’s Record” is still required even when the oral and/or practical test has been failed. These signatures certify that the testing was performed.

5) The “Aviation Safety Inspector or Technician Report” section is used by ASIs and ASTs.

a) The ASI or AST checks “Approved” or “Disapproved,” as appropriate, if they are the certifying officials that are issuing the Temporary Airman Certificate.

b) If an ASI personally tested the applicant, or an ASI or AST is the certifying official, the ASI or AST must complete the information requested in the blocks titled, “Location of Test,” “Certificate or Rating Being Applied For,” “Type(s) of Aircraft Used” (with level of FSTD used), and “Registration No.(s)” of aircraft, if used. The ASI or AST must indicate the grade, category, class, and type rating, whichever is applicable. If more than one aircraft was used, all aircraft must be listed and all registration numbers provided. The aircraft listed in Section II, block A1 must match the aircraft listed in the “Aviation Safety Inspector or Technician Report” section. If two aircraft are used for the practical test, both aircraft must also be shown in the “Aviation Safety Inspector or Technician Report” section.

1. If the class rating is being added at the same time as the type rating, it must be indicated (e.g., ATP, AMEL, CE-500).

2. The “Duration of Practical Test” block should contain an indication of the approximate duration of the oral, FFS/FTD, and flight check, as applicable.

c) The ASI or AST must complete the applicable boxes under “Certification Activities” and “Certificate or Rating Based on.”

d) If the ASI or AST is accepting the recommendation of a designated examiner, ensure the “Designated Examiner or Airman Certification Representative Report” is completed in its entirety and mark the “Examiner’s Recommendation Provided/Reviewed” box and “Accepted” or “Rejected” box. If the ASI or AST rejects the examiner’s recommendation, the ASI or AST must attach a brief statement containing both an explanation and any intended further actions (such as a reexamination).

e) ASIs or ASTs renewing a flight instructor rating must check the “Approved – Temporary Certificate Issued (Original Attached)” box, the “Flight Instructor Certificate” box, the “Recency” box, and the applicable “Activity,” “Training Course,” “WINGS,” “Test,” “Duties and Responsibilities,” or “Military Instructor Proficiency Check” box.

f) The ASI or AST dates and signs the application and enters their own pilot certificate number (required for ASIs) and FS office acronym (required for ASIs and ASTs).

NOTE: The date that the Temporary Airman Certificate was issued must match the date indicated within the ASI, AST, or designated examiner report section.

6) The “Attachments” section of the form is used for recording the method of documenting the applicant’s identity and the documents attached to the application. The ASI or AST must mark all applicable boxes on the application.

a) Applicants for an ATP Certificate in the airplane category with a multiengine class rating must present a graduation certificate certifying the completion of the ATP CTP to take the practical test. The graduation certificate must contain the following:

1. The full name, address, and FAA certificate number of the training provider authorized to conduct the course.
2. The full name, certificate number, and address of the graduate.
3. The statement: “The applicant named above has successfully completed the Airline Transport Pilot Certification Training Program as required by § 61.156, and therefore has met the prerequisite required by § 61.35(a)(2) for the Airline Transport Pilot Airplane Knowledge Test.” If the statement is unclear on the graduation certificate, the Principal Operations Inspector (POI) of the endorsing entity should be contacted to validate that the applicant has produced a valid graduation certificate.
4. The date of issuance.
5. The signature of the authorized instructor who completed the academic portion of the course.
6. A sequential number on the certificate starting with the first four identifiers of the training provider’s certificate number.

b) An applicant applying for an ATP Certificate with restricted privileges in accordance with 14 CFR § 61.160(b), (c), or (d) should present their official college transcript and the following certifying statement: “The [insert institution’s name] certifies that the recipient of this degree has successfully completed all of the aviation coursework requirements of § 61.160[(b), (c), or (d)] and therefore meets the academic eligibility requirements of § 61.160[(b), (c), or (d)].” The certifying statement can be on the official transcript or other FAA-accepted document.

D. Revisions. The Airmen Certification Branch (AFB-720) is advised to accept FAA Form 8710-1 with either clearly legible pen and ink changes to the boxes provided on the form or a legible attachment to the form that shows the required flight experience and is certified by the applicant’s initials. ASIs should ensure that examiners are made aware of this procedure. Certifying officials can correct and/or send additional documents via IACRA after the application has been completed. An “Add Document” function has been added to the “Completed Applications” section of the certifying officer’s console. The “Add Document” function can be selected under the “Available Actions” heading.

5-54 REVIEW OF FAA FORM 8400-3.

A. Instructions. Instructions for accurate completion of FAA Form 8400-3 are included on a tear-off sheet at the top of the form. The ASI, AST, or examiner should ensure the applicant has completed sections 1–7 in accordance with the form instructions.

B. Special Emphasis Items on Page 2 of the Form. ASIs should review page 2 of the application form as follows.

1) Section A, “Flight Engineer,” items 1–11 must be graded satisfactory or unsatisfactory by the examiner or ASI, or the practical test must indicate “Job Aid Used.” If the applicant completed an Advanced Qualification Program (AQP), the practical test report will not be completed. This will be annotated in the “Remarks” section.

2) The “Airman’s Identification (ID)” block will be completed to show the form of identification used, the number, and expiration date (e.g., Maryland driver’s license, 123456789, expires December 31, 2020).

3) Section 13, “Remarks,” will be completed with any information that will help make the application more clear.

C. Revisions. AFB-720 is advised to accept FAA Form 8400-3 with either clearly legible pen and ink changes to the boxes provided on the form or a legible attachment to the form that shows the required flight experience and is certified by the applicant’s initials. ASIs should ensure that examiners are made aware of this procedure. Certifying officials can correct and/or send additional documents via IACRA after the application has been completed. An “Add Document” function has been added to the “Completed Applications” section of the certifying officer’s console. The “Add Document” function can be selected under the “Available Actions” heading.

5-55 VERIFICATION OF APPLICANT’S IDENTITY. The FAA recognizes the need for increased scrutiny of applicant identification. All ASIs and ASTs should require positive identification from each person presenting FAA Form 8710-1 or FAA Form 8400-3. This ensures the actual identity of the certificate applicant and helps the ASI or AST establish the applicant’s eligibility.

A. Applicant Identification Procedures. To ensure proper identification of certificate applicants, the FAA has implemented the following procedures for FS offices and DPEs:

1) All applicants for certificates must present positive identification at the time of application. Such identification must include an official photograph of the applicant, the applicant’s signature, and the applicant’s residential address, if different from the mailing address. This information may be presented in more than one form of identification.

NOTE: See Volume 5, Chapter 2, Section 11 for additional information regarding flight instructor certificate recency by mail.

2) In the case of an applicant who resides on a boat, the boat document number or vessel registration number must be provided. If the applicant resides in a recreational vehicle (RV), the tag number, vehicle identification number (VIN), and registration number must be provided. The ASI, AST, or examiner will review the appropriate documentation and provide the information in the “Remarks” section of FAA Form 8710-1 or FAA Form 8400-3.

3) Applicants with a foreign address for official record purposes must comply with the U.S. agent for service requirements in 14 CFR part 3 subpart C, which require any individual who has a foreign address and no U.S. physical address of record on file with the FAA to designate a U.S. agent for service if they apply for a certificate, rating, or authorization issued under 14 CFR part 47, 61, 63, 65, 67, or 107 or hold a certificate, rating, or authorization issued under any of these parts. To designate a U.S. agent for service, applicants should refer to Advisory Circular (AC) 3-1, U.S. Agents for Service on Individuals with Foreign Addresses Who Hold or Apply for Certain Certificates, Ratings, or Authorizations.

4) FAA Forms 8710-1 and 8400-3 provide a space for the ASI, AST, or examiner to record the type of identification, number submitted, and expiration date (e.g., Virginia driver’s license number A12345678, expires DD/MM/YYYY).

5) When an airman cannot provide a permanent residential address (e.g., in the case where the person resides in a motor home, is attending an institution of higher education, or is in the process of moving), it is permissible to allow the airman to use their parent’s permanent residential address as their permanent residential address. However, the airman should be reminded of the requirements of 14 CFR § 61.60 for change of address requirements.

B. Acceptable Methods of Identification. Acceptable methods of identification include, but are not limited to, unexpired U.S. driver’s licenses, government-issued identification cards, passports, and other forms of identification that enable the ASI, AST, or examiner to verify the applicant’s identity. The identification method used must be current and valid.

C. Alternative Methods of Identification. Some applicants may not possess suitable identification as described above. In the case of an applicant under age 18, the applicant’s parent or guardian may have to accompany the applicant and identify themselves as described above. The parent or guardian may then attest to the applicant’s identity. If the parent or guardian does attest to the applicant’s identity, the parent or guardian’s identification information should be placed on the “Airman’s Identification (ID)” section of FAA Form 8710-1, and a remark added indicating this practice. For all other applicants, the identification procedures employed must be such that the ASI, AST, or examiner can positively identify the applicant in a manner acceptable to the Administrator. In such cases, the identification procedures employed must be disclosed by the ASI, AST, or examiner on the application, or, if necessary, in a separate statement. Furthermore, if the applicant appears before a designated examiner, the examiner must obtain approval from the supervising Flight Standards District Office (FSDO) for the identification procedure employed. If necessary, applicants may need to apply with an FS office, complete the required identification procedures, and then obtain an authorization to appear before the examiner for the practical test.

D. Applicant Identification Anomalies. When certificate applicants present forms of identification that are unacceptable, ASIs, ASTs, and examiners should be alert for any indication of fraudulent or altered forms of identification or other irregularity that may indicate an attempt by the applicant to falsely represent their identity. Any such indication should be reported immediately to the FAA Office of National Security Programs and Incident Response, Law Enforcement Assistance Program (LEAP) Division (AXE-800).

E. Notification of Examiners. FS offices should provide copies of this information to all examiners and brief examiners on these procedures during regular examiner surveillance, annual examiner meetings, or other examiner contacts.

F. Public Notification. FS offices are authorized to describe the contents of this information to the public. Any questions that cannot be resolved may be directed to the Training and Certification Group (AFS-810).

5-56 DRUG CONVICTIONS. FAA Form 8710-1 asks in Section I, block O, “Have you ever been convicted for violation of any Federal or State statutes relating to narcotic drugs, marijuana, or depressant or stimulant drugs or substances?” FAA Form 8400-3 asks the same question in section 6. The applicant must check “Yes” or “No,” as appropriate (refer to 14 CFR § 61.15 and 14 CFR § 63.12). Do not include alcohol offenses involving motor vehicle mode of transportation, as those are covered on FAA Form 8500-8, Application for Airman Medical Certificate or Airman Medical & Student Pilot Certificate.

A. “No” Marked. If the “No” box is marked, the ASI or certifying official conducts the practical test and, if appropriate, issues the airman certificate as usual. If it is determined later that the applicant should have marked “Yes,” the ASI should conduct an investigation to determine compliance (refer to FAA Order 2150.3, FAA Compliance and Enforcement Program, regarding falsification of application).

B. “Yes” Marked. If the applicant indicates “Yes,” the applicant must indicate the date of conviction.

1) If the date of final conviction is more than 1 year before the date of application, the ASI or examiner should conduct the practical test and, if appropriate, issue the airman certificate.

2) If the date of final conviction is less than 1 year before the date of application, the ASI or examiner may not continue with the examination. The examiner should notify the responsible Flight Standards office of the decision to terminate the examination and forward the application to the FS office. The FS office should contact Regional Legal Counsel to determine the appropriate action.

NOTE: An airman’s conviction of a motor vehicle offense involving either alcohol or drugs is to be evaluated by the Aerospace Medical Certification Division (AAM-300). An alcohol- or drug-related conviction is not necessarily grounds for disqualification. A medical judgment relative to the condition involved must be made by the Federal Air Surgeon, the Manager of AAM-300, or a Regional Flight Surgeon (RFS). An airman certificate or rating may be denied to

an individual who has had two or more alcohol- or drug-related motor vehicle convictions or state motor vehicle actions within a 3-year period.

5-57 ORAL TEST PHASE FOR 14 CFR PARTS 121 AND 135. Oral testing is conducted to determine whether the applicant has acquired adequate practical knowledge to safely and competently exercise the privileges of the certificate.

A. Location. The preferred locations for conducting oral tests for airman certificates are in FSTDs. The interactive logic available in these devices provides an effective method of testing the applicant's knowledge of normal, abnormal, and emergency procedures.

B. Question Phrasing. Questions should be phrased in simple, focused, and specific terms. Applicants should be encouraged to answer in the same manner. An example of a simple, focused, and specific question is, "What is the maximum allowable exhaust gas temperature (EGT) limit during a normal engine start?" An example of an abstract, ambiguous, and confusing question is, "Tell me everything you know about starting an engine." ASIs and examiners should encourage applicants to ask for clarification before answering when they are unsure of the meaning of a question.

C. Length and Scope. The scope of oral tests is defined by regulation. The items that should be evaluated on each type of oral test are specified in the applicable regulations, Airman Certification Standards (ACS), or practical test standards (PTS). ASIs and examiners should choose their questions from the entire range of appropriate topics rather than concentrate on only a few topics. Questions should be related to the specific characteristics of the aircraft involved. The length of the oral test depends on the complexity of the aircraft involved, the applicant's responses, and the evaluator's proficiency. Therefore, a specific duration for an oral exam is not appropriate and should not be used as a standard. The duration must be of sufficient time to thoroughly cover all of the required knowledge items.

D. Standards of Performance. Title 14 CFR §§ 121.403(b)(3) and 135.327(b)(3) require that certificate holders (CH) publish "detailed descriptions or pictorial displays of the approved normal, abnormal, and emergency maneuvers, procedures and functions that will be performed during each flight training phase or flight check, indicating those maneuvers, procedures and functions that are to be performed during the inflight portions of flight training and flight checks." CHs should use the Airline Transport Pilot and Type Rating for Airplane ACS or the Airline Transport Pilot and Aircraft Type Rating PTS for Helicopter, as applicable, any applicable Flight Standardization Board Reports (FSBR), and the manufacturer's recommendations. ASIs and examiners should use the standards approved by the POI for the CH when conducting oral tests.

1) Applicants are expected to possess a broad understanding of the aircraft and its systems rather than a highly detailed knowledge of component design and construction. They should be able to demonstrate an understanding of the essential features of system design and how various systems interrelate. Applicants must be able to demonstrate such knowledge by interpreting flight deck indications and describing the condition of aircraft systems from these indications. Applicants are not expected to have memorized specific facts that are immediately available in reference manuals and checklists that are required to be in the flight deck. Applicants

must, however, be able to state items on emergency checklists (in the correct sequence) and flight manual limitations from memory.

a) When a limitation is presented in terms of a gauge marking, the applicant should be able to state the operational significance of the marking, but does not need to have memorized the appropriate value the marking represents. When a limitation is not clearly presented by such a marking, the applicant must be able to state the appropriate value from memory.

b) To illustrate the standards described, the following example is provided. Assume the aircraft involved requires a specific fuel burn sequence. The applicant should be able to describe in general terms the fuel burn sequence and to detect correct and incorrect conditions from gauge indications. The applicant should be aware of any checklist or procedure that corrects an improper condition and where that checklist or procedure is located. The applicant is not expected to memorize the sequence of steps necessary to correct the condition. On the other hand, the applicant should be able to state from memory the flight manual limitation concerning allowable fuel imbalance between pairs of tanks.

2) An applicant may not be able to give entirely correct answers to some of the questions in an oral test; however, that applicant may still meet an acceptable standard. ASIs and examiners must base their decisions on whether applicants pass or fail on the soundness of the applicant's overall command of basic principles. ASIs and examiners should avoid commenting on an applicant's performance until after the oral test is complete.

E. Debriefing. Immediately after the oral test, the applicant will be debriefed on performance and informed of the results of the test.

5-58 FLIGHT TEST PHASE FOR 14 CFR PARTS 121 AND 135. Title 14 CFR

§§ 121.403(b)(3) and 135.327(b)(3) require that CHs publish "detailed descriptions or pictorial displays of the approved normal, abnormal, and emergency maneuvers, procedures and functions that will be performed during each flight training phase or flight check, indicating those maneuvers, procedures and functions that are to be performed during the inflight portions of flight training and flight checks." CHs should use the Airline Transport Pilot and Type Rating for Airplane ACS or the Airline Transport Pilot and Aircraft Type Rating PTS for Helicopter, as applicable, any applicable FSBRs, and the manufacturer's recommendations. ASIs and examiners should use the standards approved by the POI for the CH when conducting flight tests.

A. Purpose. The purpose of the flight test is to evaluate the applicant's ability to operate safely and effectively in a real-time environment. ASIs and examiners should determine whether applicants have achieved an acceptable level of physical manipulation skills, positional orientation abilities, flight management skills, and crew coordination skills. Flight test duration will depend upon the complexity of the aircraft involved, the speed of the applicant, and the evaluator's efficiency during the test. No set duration for the test is appropriate. The duration must be of sufficient time to complete all of the required events.

B. Separation of Oral Phase From Flight Test Phase. For all flightcrew airman certificates, the oral and flight test phases should not be conducted simultaneously. The purpose

of the oral test phase is to examine an applicant's depth of knowledge, while the purpose of the flight test phase is to observe and evaluate an applicant's skills. An ASI's or examiner's presence in the flight deck can affect the normal interaction of the flightcrew. ASIs and examiners should endeavor to minimize this effect by maintaining a passive role and by not becoming involved in normal crew operation. Questions that require explanations and probe the applicant's depth of knowledge are appropriate during the oral test phase, but not during the flight test phase.

NOTE: The oral testing must be done before the flight testing.

C. Normal, Abnormal, and Emergency Procedure Test Events. The events that must be evaluated on each flight test are specified by regulation or determined by the Administrator. The regulations require ASIs to evaluate normal, abnormal, and emergency procedures that appear in the CH's manual but are not specifically identified by regulation. ASIs and examiners should evaluate on each flight test as many of these events that the ASI or examiner "finds are necessary to determine that the person being checked has an adequate knowledge of, and ability to perform, such procedure..." (14 CFR part 121 appendix F). Examples of these events include flight instrument and display failures, operations in ice and rain, emergency descent, and emergency ground evacuation. ASIs should vary these events on subsequent flight tests so that the effectiveness of the CH's manual and training and qualification program can be evaluated.

D. Flight Management and Crew Coordination Skills. ASIs and examiners should observe and evaluate crew coordination and flight management skills. The applicant must demonstrate good judgment, continual spatial and situational awareness (SA), and flight deck management throughout the flight test.

E. Briefings. Before the FSTD segment and aircraft segment of a flight test, ASIs and examiners should brief applicants on what will be expected of them during the flight test. Before the flight test, ASIs and examiners should determine by agreement with the applicant whether or not to continue the flight test after a failed event. When other crewmembers are involved, they should be briefed on their roles. ASIs and examiners should avoid commenting on the applicant's performance during the flight test.

F. Debriefings. After the test, the applicant should be informed of the results and debriefed. If the applicant is unsuccessful, the ASI or examiner should ensure that the applicant clearly understands specifically what was unsatisfactory about each event that was failed. ASIs and examiners should use judgment and discretion when inviting other crewmembers to attend these debriefings. It is important that CH instructors or check pilots receive direct feedback on their students' performances. Instructors or check pilots who participate in flight tests (as co-pilots or safety pilots) should usually be invited to attend these debriefings. An ASI or examiner may choose to limit attendance at the debriefing to only the applicant. If an instructor or check pilot who participated in the flight test is not at the debriefing, the ASI or examiner should debrief that person at a later time.

G. Termination of Flight Tests Before Completion. When the ASI or examiner determines that an applicant's performance is unsatisfactory, the ASI or examiner may then either terminate the flight test immediately or, with the consent of the applicant, continue with the flight test until the remaining events are completed. Usually, graduates of approved training

programs are well-prepared. Although a single event is failed, retraining and retesting in all events of the flight test is normally unnecessary. In such cases, it is usually better for the ASI or examiner to continue with the flight test to complete the other events. When the ASI or examiner determines that the entire flight test must be repeated, the flight test should not be continued, but should be immediately terminated. Whether the flight test is continued or not after a failure, the ASI or examiner must issue the applicant a Notice of Disapproval of Application. Safety pilots should immediately terminate any maneuver or an entire flight test whenever flight safety is in question.

H. Inconclusive Events. When the ASI or examiner is unable to determine whether the objectives of an event have been met, the ASI or examiner may require the applicant to repeat the event or a portion of the event. This provision has been made in the interest of fairness and does not mean that instruction or practice is permitted during the certification process. ASIs and examiners should not repeat completed, failed maneuvers.

NOTE: If the check must be terminated (for mechanical or other reasons) and there are events which still need to be repeated, a Letter of Discontinuance, valid for 60 days, should be issued listing the specific areas of operation that have been successfully completed (see Figure 5-4, Sample Letter of Discontinuance).

Figure 5-4. Sample Letter of Discontinuance

FAA Letterhead

[Date]

[Applicant's name and address]

Dear [applicant's name]:

On this date, you successfully completed the oral portion of the practical test for a [indicate grade] certificate with an [indicate category] and [indicate class] class rating. The practical test was discontinued because of [indicate reason].

If application is made by [indicate date 60 days from date of letter], this letter may be used to show the following portions of the practical test which have been completed satisfactorily:

[Indicate areas of operation completed on the test.]

After [indicate expiration date], you must repeat the entire practical test.

Note: This letter does not extend the expiration date(s) for your knowledge test results, your graduation certificate, airman medical certificate, or the required instructor endorsements.

Sincerely,

[Signature of ASI conducting practical test of examiner candidate]

RESERVED. Paragraphs 5-59 through 5-75.