

CHAPTER 75 EVALUATE A MANUAL

Section 1 Background

1. WPMS ACTIVITY CODE:

- For a new manual: 1302
- For a revision: 1303

3. OBJECTIVE. The objective of this task is to determine that the applicant's procedures and policies manual, required by FAR § 125.71, conforms to the FAR. Successful completion of this task results in acceptance or rejection of the manual.

5. GENERAL. FAR §125.71 requires that a FAR Part 125 air operator prepare and keep a current manual which describes the operator's procedures and policies. The manual is for use by all the operator's personnel and also indicates to the FAA how the operator intends to conduct business. The manual's complexity depends upon the complexity of the operation.

A. Manual Contents. The manual must contain specific information required by FAR §125.73. However, any additional information may be incorporated at the discretion of the operator.

(1) The manual does not have to be a single volume. The applicant may use several volumes as long as they provide the necessary information.

(2) Advisory circulars, preambles to regulations, and other guidance material may be used to assist the applicant in developing a manual. The applicant should use caution when incorporating the text of these documents in to the manual since they are advisory in nature. They may not meet the exact needs of the regulation. Under no circumstances may a manual simply reference an advisory document. It may, however, reference technical documents, such as approved airplane flight manuals.

(3) Each significant term used in the manual should be defined. The definitions must reflect their intended use and include acronyms or abbreviations unique to the manual or the applicant's operation.

B. Manual Review. The manual is reviewed during the Document Compliance Phase of the certification process (See Related Task #72, Conduct Certification of a FAR Part 125 Operator).

(1) The review is to ensure that the manual is not contrary to the appropriate regulatory requirements, the operations specifications, and the operating certificate.

(2) It is essential that the review process be a coordinated district office effort rather than an individual inspector's opinion. This will ensure minimum returns and expedite the acceptance of the manual.

(3) The important factor is ensuring regulatory compliance; preoccupation with style and format should be avoided.

(4) Inspectors are encouraged to provide guidance and advice to operators in the preparation of their manuals; however, the production of a manual acceptable to the Administrator is the responsibility of the operator. (Refer to Appendix 3 of AC 125-1A, Operations of Large Airplanes Subject to FAR Part 125, for a manual outline.)

C. Manual Revisions. Inspectors should encourage operators to discuss manual revisions before they are submitted for acceptance. Revision should not be distributed by the operator until accepted by FAA and returned to the operator with an indication of acceptance (signature and date).

(1) Revisions must also conform to regulatory requirements. If the revisions are not approved by the FAA before they are printed and distributed, the operator may have to make costly changes should the FAA find a problem with the revision.

(2) When a printed and distributed manual revision does not conform to the appropriate regulations or the operations specification or operating certificate, the inspector should immediately notify the operator in writing and request prompt, appropriate action to resolve the problems.

7. POLICY VERSUS PROCEDURES.

A. Procedures. FAR Part 125 makes numerous references to "procedures" when outlining the contents of the manual. The term "procedures" refers to a logical progression of actions and decisions to achieve an objective. A step-by-step description of how to do something, such as a preflight checklist, is a procedure.

B. Policy. The term "policy," where used, refers to a requirement established by company management which it wants company personnel to follow. A company requirement, such as "No flight may depart on a

cross-country flight with less than 12 quarts of oil in the engine," is a **policy**.

(1) Policies may be contained within procedures or stated by themselves, but where FAR Part 125 calls for procedures, the certificate holder must provide a logical progression of actions and decision statements.

(2) This requirement may be waived by the FAA district office where the applicant can show that, because of the size of the operation or other mitigating circumstances, a statement of policy or a series of these statements will accomplish the purpose of the procedure and still meet all of the requirements of the FAR in regard to that procedure.

9. DEVELOPMENT OF PROCEDURES. Some guidelines which the inspector can use in considering an applicant's procedures include:

A. Logical Sequence. Procedures should flow in a logical sequence. Perhaps the best examples of procedures are aircraft checklists. The most effective procedures are usually those which are simple and contain only information absolutely necessary to their accomplishment. Again, the aircraft checklists are the best example.

B. Purpose. The user must know the purpose of the procedure and view the procedure as an acceptable method of accomplishing that purpose.

C. Considerations in Developing Procedures. Authors of procedures should consider, for each procedure and major steps within that procedure:

(1) Responsibility: Who is responsible for each step? Is it clearly understood or stated in the procedure?

(2) The standards of performance: Are the acceptable standards of performance stated as policy within the procedure where necessary?

(3) The individual user: The success of a procedure depends on the experience, training, and ability of the average user. A procedure may be "short and sweet" when the user is capable of achieving the purpose of the procedure without extensive direction or detail. However, when the average user would have limited training or experience to fall back on, procedures must be in sufficient detail for that person to accomplish them correctly.

(4) Sources of help and information: Where there are no sources, i.e., check airmen, company management, etc., normally available when a procedure is being used, the author should provide sufficient detail to make the user independent of these sources.

(5) Resources: If a form, checklist, or tool is necessary to accomplish a procedure, where would it be located? Where would extra ones be located?

(6) Time: Will there be sufficient time available under normal circumstances to accomplish the procedure to the standards desired? If not, the author should consider simplifying the procedure or revising the duties of the user to make their item available.

11. MANUAL CONTENTS. The operator's manual can be divided into the following section categories:

A. Company Organization. A block diagram may be included as a method of portraying the relationships of organizational entities within the company.

B. Weight and Balance Procedures.

(1) Each type of airplane used by the operator may require a separate weight and balance procedure unless it can be shown that a single procedure will be adequate for all airplanes.

(2) The operator may design a procedure or use a procedure furnished by the airplane's manufacturer. Other acceptable procedures may be found in Advisory Circular 43.13-1A, "Acceptable Methods, Techniques, and Practices - Aircraft Inspection and Repair;" Advisory Circular 91-23A, "Pilots Weight and Balance Handbook;" or Advisory Circular 120-27A, "Aircraft Weight and Balance Control." Material from these publications, which should be cited as resources to an applicant or operator, may be adapted for the operator's procedures, but reference to these publications as a means of compliance is not acceptable.

(3) The weight and balance procedure will also be incorporated in the operator's operations specifications and will be approved by an airworthiness inspector.

C. Accident Notification Requirements. National Transportation Safety Board Regulation Part 830 requires operators to notify, immediately and in the most expeditious manner, the nearest NTSB Bureau or Aviation Safety Field Office of accidents and overdue aircraft. The operator must develop procedures which accomplish this.

(1) The manual should include a copy of NTSB Part 830.

(2) Also included should be the names and telephone numbers of the appropriate operator personnel who must be notified.

D. Master Minimum Equipment List (MMEL) and Minimum Equipment Lists (MEL). FAR Part 125 provides for the continuation of flight beyond a terminal point with certain equipment inoperative if the operator has developed an MEL for the airplane. The regulations further provide for procedures in the certificate holder's manual for continuation of flight where the Administrator makes a finding that, in a particular situation, literal compliance with the equipment requirement is not necessary in the interest of safety for MEL holders.

(1) The detailed process for district office approval of an applicant or operator's MEL will be found in Related Task #58, Approve a Minimum Equipment List.

(2) The procedures in the manual should detail how the pilot-in-command will consult the MEL upon the failure of any item of equipment and follow the procedures outlined in the MEL for continuance of a flight.

E. Refueling. The operator is required to develop for the manual procedures for refueling the aircraft.

(1) The procedures must ensure that the aircraft is fueled with the proper grade of fuel, that the fuel is uncontaminated, and that protection from fire, (including electrostatic protection) is provided.

(2) The supervision and protection of passengers and ramp personnel must also be detailed. If the operator wishes to refuel with passengers on board, there must be procedures for it in the manual. The same is true if the operator wishes to refuel while the engines are running.

(3) If the company uses its own fueling facility, the operator must provide procedures for unloading fuel into storage, maintaining fuel quality while stored, transferring fuel to the fueling equipment, and dispensing fuel into aircraft.

F. Pre-takeoff Procedures. If a briefing card is used for the pre-takeoff briefing, the manual should also contain an example of the briefing card and the briefing itself. The briefing card must supplement the oral briefing and also contain depictions of all the items specified in FAR § 125.327.

G. Hazardous Materials Procedures. Approval of procedures concerning hazardous materials (FAR § 125.73(o)) must be coordinated with the appropriate Civil Aviation Security Field Office (CASFO).

(1) All hazardous material communications from the operator should be coordinated with a CASFO in-

spector through the operations inspector assigned responsibility for that operator.

(2) Before the inspector submits the manual's hazardous materials procedures to the CASFO representative, the inspector should review the procedures to determine that the operator has addressed certain basic items.

(a) In the section on hazardous materials, the manual should state definitively whether the operator intends to carry hazardous materials or not. Further, in Section 8 of the operations specifications, there should be an indication of the operator's policy on the carriage of hazardous materials, i.e., if the operator does not carry hazardous materials, the operations specifications should so state and *vice versa*.

(b) If the operator does not intend to transport hazardous materials, there should be a procedure in the manual for appropriate personnel to be able to identify questionable material. Instructions to personnel for locating HMR Part 172.101 and 172.102 and HMR Part 175 of Title 49 CFR should be included in the procedure. The operator should state that the company does not carry materials identified in those regulations. The procedure should further indicate that personnel must identify and compare questionable material by its proper shipping name with the alphabetical listing in the Hazardous Materials Table in Title 49 CFR, Part 172. The procedure must also state that if the name appears on the list, the pilot-in-command or other appropriate person must refuse to carry the material.

(c) If the operator intends to transport hazardous materials, the procedures should reflect the information in paragraph A above as well as instructions for personnel on how to:

- Accept shipments.
- Determine proper packaging.
- Determine proper marking or labelling.
- Examine shipping documents/papers.
- Determine the compatibility of articles.
- Load, store, and handle materials.

(d) There should also be a procedure for notifying the appropriate personnel in the event of a hazardous material incident, e.g., spill.

(e) Finally, there must be an established procedure for alerting the pilot-in-command that hazardous materials are being carried on a particular flight.

(3) The Civil Aviation Security Field Office (CASFO) or one of its units should always be the authority on acceptance of any hazardous material policy or procedure submitted by the operator. The inspector can extract the hazardous material portion from the manual and transmit it through the usual district office channels to the CASFO representative. All communications between the operator and the CASFO representative should be through the inspector unless other arrangements have been established.

(4) Although training is not required by FAR Part 125, the operator who transports hazardous material should be encouraged to prepare a training program for all concerned personnel. There are numerous all-cargo operators, with approved hazardous material training programs, who could be contracted with to provide initial and recurrent training. (The inspector might consider keeping a current list of such operators as a resource.) If the operator uses a training program, it should have some provisions for regular testing of flight crewmembers on the operator's hazardous materials policies and procedures.

Section 2 Procedures

1. PREREQUISITES AND COORDINATION REQUIREMENTS.

A. Prerequisites. This task requires knowledge of regulatory requirements in FAR Part 125, FAA policies, and qualification as an Aviation Safety Inspector (Operations).

B. Coordination. This task requires coordination with the Airworthiness Inspector and the local Civil Aviation Security Field Office (CASFO).

3. REFERENCES, FORMS, AND JOB AIDS.

A. References

- FAR Part 91
- Title 49 CFR
- Advisory Circular 43-13A, Acceptable Methods, Techniques, and Practices—Aircraft Inspection and Repair
- Advisory Circular 91-23A, Pilot's Weight and Balance Handbook
- Advisory Circular 120-27A, Aircraft Weight and Balance Control
- Advisory Circular 125-1, Operations of Large Airplanes Subject to FAR Part 125
- Order 8700.10, General Aviation Operations Inspector's Handbook

B. Forms

- FAA Form 8000-36, WPMS Transmittal Form

C. Job Aids

- Procedures and Policies Manual Evaluation Job Aid, Figure 75-1
- Sample letters

5. PROCEDURES. Use Figure 75-1, Procedures and Policies Manual Evaluation Job Aid to determine if the manual meets the requirements of FAR § 125.73.

A. Preface Page. Ensure the manual has a preface page containing a brief statement signed by a person in company management, preferably the president. Read the statement to determine that it outlines the purpose of the manual and that it emphasizes that the procedures and policies must be followed. This should be the first page of the manual.

B. Revision Page. Ensure that the manual has a revision page whose format assures that the information required by FAR § 125.73 is included. This should follow the preface page.

C. Table of Contents. Ensure that the manual has a table of contents that lists the major topics in each chapter and shows the appropriate page number.

D. Chapter Delineation. Ensure that the manual has separate chapters for at least the following:

(1) Chapter 1 - Company Organization

(a) Name of each person authorized to act for the operator, the person's area of responsibility, and the person's duties, responsibilities, and authority (FAR § 73(a)).

(b) Description of maintenance organization (Airworthiness).

(c) Identity of persons authorized to give tests and the tests they may conduct.

(2) Chapter 2 - Operations Specifications. Ensure that the applicant has included at least the front side of FAA Form 8400-7, Operations Specifications.

(3) Chapter 3 - Minimum Equipment List. Ensure that the applicant has inserted all pages of any approved minimum equipment list issued.

(4) Chapter 4 - Airplane Loading Instructions

(a) Weight and balance limitations for each type of airplane

(b) How weight of passengers, crew, and baggage will be determined

(c) How center of gravity calculations will be made, including loading schedules or other approved methods

(d) How the load manifest is to be completed

(e) How the airplane is to be loaded, including instructions for —

- Loading cargo and passengers
- Blocking seats or compartments or adjusting fuel loads to remain in CG limits
- Ensuring loads are not inadvertently redistributed in flight

- Loading hazardous materials

(f) How the operator will ensure no airplane is operated in excess of 36 months without being reweighed

(g) How the operator wants hazardous materials to be handled, including notification of the pilot-in-command

(h) Procedures for refueling to ensure —

- Proper grade of uncontaminated fuel
- Protection from fire
- Supervision of passengers during refueling

(5) Chapter 5 - Preflight Planning and Flight Release Procedures

(a) Who has operational control and authority to sign the flight release under all anticipated circumstances

(b) Instructions for completing the flight release form so that standardization is assured

(c) Instructions for disposition of copies of the load manifest, flight release, and flight plan before and after a flight

(d) Who has custody of copies of these forms when they are stored at a place other than the main base of operations

(e) Procedures for flight locating if the operator anticipates any occasion when a flight plan would not be filed

(6) Chapter 6 - Procedures for Assuring Airworthiness of Airplane (Airworthiness)

(7) Chapter 7 - Pretakeoff Procedures

(a) Passenger briefing procedures, including —

- Delegation of responsibility to another crewmember if PIC does not conduct the briefing
- Example of the briefing which contains all items listed in FAR § 125.327(a); the briefing for FAR § 125.327(a)(6) may be included separately
- A statement of policy concerning where the briefing will be made

(b) Directions for the pilot-in-command to ensure that persons needing assistance from someone else to move in an emergency can be helped by a

flight attendant who has been briefed; the guidelines should be included in Chapter 10, Emergency Procedures

(c) Any other procedures or policies the operator feels are necessary for pre-takeoff activities, e.g., checklists, briefing cards, etc.

(8) Chapter 8 - Flight Operation Procedures

(a) Copies of cockpit checklists for normal, abnormal, and emergency procedures

(b) Procedures and policies concerning —

- Use of oxygen for medical purposes
- Operations in icing conditions
- Operations in the vicinity of thunderstorms and squall lines
- Manipulations of controls while carrying passengers
- Admitting persons to the flight deck
- Reporting potentially hazardous weather and irregularities in NAVAID's
- Carriage of persons without compliance with passenger carrying requirements of FAR Part 125
- Anything else the operator considers necessary to conduct operations

(9) Chapter 9 - Post-Flight Procedures

(a) Policy regarding pilot reports of mechanical irregularities; the manual should refer the pilot to the section of the manual which outlines the procedures for handling mechanical problems

(b) Procedures and policies for reporting incidents, accidents, and emergencies; may be included in an "Emergencies" chapter, but a reference should be included here

(c) Other procedures pertinent to post-flight, i.e., off-loading of cargo, disposition of forms, contacts with the operations base, etc.

(10) Chapter 10 - Emergency Procedures

(a) An outline by crewmember of emergency duties and responsibilities for each type and model of airplane

(b) Guidelines for evacuation of persons needing assistance

- (c) Accident notification procedures
- (d) Procedures for management to declare an emergency
- (e) Procedures for reporting deviations from the FAR

(11) Chapter 11 - Airplane Inspection Program (Airworthiness)

E. Other Chapters and Appendices. If the operator has included other chapters or appendices, ensure the information included in them does not conflict with the FAR or safe operating practices.

F. Compliance Statement. Compare the manual references in the compliance statement with the manual to ensure all references are correct and that no conflict exists between the two documents.

G. Manual Unsatisfactory.

(1) If manual does not meet the requirements, document the deficiencies or discrepancies.

(2) Return the manual to the operator with a formal letter (Figure 75-2) listing the deficiencies or discrepancies. Request that the corrections be made and then resubmitted for evaluation.

H. Manual Satisfactory.

(1) Return to the operator one copy of the manual that has been signed, dated, and marked "Ac-

cepted" with a cover letter (Figure 75-3). Maintenance portions must be signed, dated, and marked "Approved" by a principal maintenance inspector.

(2) File a copy of the manual with cover letter in the Operator's district office file.

I. Make Appropriate WPMS Entries. Complete WPMS Transmittal Form, FAA Form 8000-36.

7. TASK OUTCOMES. The completion of this task results in either:

A. A letter of denial

B. Manual marked "accepted" and "approved" with a cover letter of acceptance

9. FUTURE ACTIVITIES.

A. Routine surveillance of operator after acceptance of the manual to assure operations conform to the manual procedures and policies. (See related tasks under the heading, FAR Part 125 Related Tasks)

B. Amendments to the manual.

C. Recision of Amendments.

D. Possible enforcement investigation if the operator is found not conforming to the manual's procedures and policies. (See Related Task #182, Conduct a Violation Investigation)

FIGURE 75-1 PROCEDURES AND POLICIES MANUAL EVALUATION JOB AID

The manual must include the following:	YES	NO
Management personnel listed		
General policy section must include for management personnel:		
(1) Duties		
(2) Responsibilities		
(3) Authority		
(4) Person designated as responsible for scheduling inspections and for updating approved weight and balance system		
Copy of Ops Specs in manual		
Manual Preparation		
(1) Current manual, existing or proposed operations		
(2) Copy at Principal Operations Base		
(3) Not contrary to any FAR or Operations Specifications		
(4) Appropriate portions provided to flight crew		
(5) Appropriate portions available to ground crew		
Manual Content		
(1) Date of last revision/revision no. on each page		
(2) Name of each management person authorized to act for the certificate holder and their areas of assigned responsibility, duties and authority		
(3) Procedures for ensuring compliance with airplane weight and balance limitations		
(4) Copy of Operations Specifications or appropriate extracted information		
(5) Procedures for accident notification (See NTSB 830 for basic guidelines)		

FIGURE 75-1 PROCEDURES AND POLICIES MANUAL EVALUATION JOB AID

The manual must include the following:	YES	NO
(6) Procedures for ensuring that the pilot in command knows that required airworthiness inspections have been made and that the airplane has been approved for return to service in compliance with applicable maintenance requirements		
(7) Procedures for reporting and recording mechanical irregularities		
(8) Procedures to be followed by PIC to determine previous irregularities have been corrected or deferred		
(9) Procedures to be followed by PIC to obtain maintenance and servicing when previous arrangements have not been made		
(10) Procedures for release or continuation of flight for required equipment breakdown (MEL procedure)		
(11) Procedures for refueling		
(12) Procedures for PIC in passenger briefing under FAR § 125.327		
(13) Flight locating procedures when no flight plan is filed		
(14) Procedures for ensuring compliance with emergency procedures, including a list of the functions assigned each required crewmember in connection with an emergency and emergency evacuation		
(15) Approved airplane inspection program		
(16) Haz Mat procedures and instructions to enable personnel to recognize hazardous materials as defined in Title 49 CFR, and if these materials are to be handled, carried or stored including:		
(a) Accepting for shipment proper documents, compatibility of articles, proper packaging, marking, labeling, and instructions on their loading and storage		
(b) Notification and reporting Haz Mat incidents		

FIGURE 75-1 PROCEDURES AND POLICIES MANUAL EVALUATION JOB AID

The manual must include the following:	YES	NO
(c) Notification of Pilot in Command when Haz Mat	<input type="checkbox"/>	<input type="checkbox"/>
(17) Procedures for the evacuation of persons who may need the assistance of another person during an emergency	<input type="checkbox"/>	<input type="checkbox"/>
(18) Identity of each person who will give tests under this part and tests the person is authorized to give	<input type="checkbox"/>	<input type="checkbox"/>
(19) Other procedures and policy instructions regarding the certificate holder's operation	<input type="checkbox"/>	<input type="checkbox"/>
Airplane Flight Manual		
(1) Current approved manual or equivalent for each type airplane operated	<input type="checkbox"/>	<input type="checkbox"/>
(2) Carried aboard each airplane	<input type="checkbox"/>	<input type="checkbox"/>
(3) Combined with procedures and policies manual	<input type="checkbox"/>	<input type="checkbox"/>
Approved by the Administrator	<input type="checkbox"/>	<input type="checkbox"/>
REMARKS:		

FIGURE 75-2 SAMPLE LETTER FOR REJECTION OF OPERATOR'S MANUAL

October 29, 1987

Mr. Andy Jackson
Director of Operations
ABC Leasing, Inc.
123 Fourth St.
Anyplace, AZ 85123

Dear Sir:

This office has completed the review of your company manual. It is being returned to you for the following corrections and additions before it can be accepted.

(1) Page 1-3 Paragraph 1.5—Explain in more detail the responsibilities and authority of the chief pilot as required by FAR § 125.73(a).

(2) The manual does not contain the procedures to be followed by the pilot in command in assuring that the passenger briefing has been accomplished as required by FAR § 125.73(k).

Please make the above changes and re-submit the manual to this office for acceptance.

Sincerely,

Roger Dodger
Principal Operations Inspector

