

05/20/2004

SUBJ: AIRCRAFT CERTIFICATION SYSTEMS EVALUATION PROGRAM (ACSEP)

1. PURPOSE. This change is issued to reflect the removal of the Manufacturer's Maintenance Facility evaluation criteria and all other references made to this system element, adding reference to usage of FAA Order 8100.9 concerning the Assigned Engineer (AE) responsibility for corrective action. (Paragraph 65), revision of Figure 1 in Appendix 11, FAA Form 8100-3 by removing the block labeled PC Extension and replaced it with a block labeled "Extension(s)" and changed the narrative to identify when to check this block, restructuring of the Table of Contents due to removal of Appendices 8 and 9 and other grammatical up-dates throughout the order.

2. DISTRIBUTION. This order is distributed to Washington headquarters branch levels of the Aircraft Certification Service; to the branch level in the regional Aircraft Certification divisions; to all Aircraft Certification Service offices; to the Suspected Unapproved Parts Program Office; to the Aircraft Certification branch at the FAA Academy; to the Regulatory Support Division of the Flight Standards Service; and to the Brussels Aircraft Certification Staff.

3. DISPOSITION OF TRANSMITTAL. After filing the attached pages, this change transmittal should be retained.

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37 and 38	11/01/02	37 and 38	05/20/2004
19 thru 22	11/01/02	19 thru 22	05/20/2004
Appendix 1, page 1	11/01/02	Appendix 1, page 1	05/20/2004
Appendix 6, page 1	11/01/02	Appendix 6, page 1	05/20/2004
Appendix 7, page 1	11/01/02	Appendix 7, page 1	05/20/2004
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/s/

Ronald T. Wojnar
Acting Director, Aircraft Certification Service

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CHAPTER 1. GENERAL

1. PURPOSE. This order establishes and describes the Federal Aviation Administration (FAA) Aircraft Certification Systems Evaluation Program (ACSEP). This program, an element of certificate management, is a vital element within the FAA's mission of continued operational safety and is excluded from the Department of Transportation's plan to reduce internal regulations by 50 percent. FAA Order 8120.2, Production Approval and Certificate Management Procedures, defines the entire certificate management program. Other evaluations, audits, or inspections may be required in accordance with directorate or headquarters directives. The ACSEP is a comprehensive evaluation program that accomplishes the following:

a. Applies standardized systems evaluation to the continued integrity of the design data after initial approval by the FAA or FAA-delegated representatives, to production activities at production approval holders (PAH) and associate facilities, and to design approval systems at delegated facilities. The ACSEP does not reevaluate the approval of previously approved data such as quality manuals and design data.

b. Ascertains whether PAHs, associate facilities, and delegated facilities meet the applicable requirements of Title 14, Code of Federal Regulations (14 CFR) and comply with procedures established to meet those requirements.

c. Surveys the application of standardized evaluation criteria not required by 14 CFR or FAA-approved data to identify national trends that may require development of new or revised regulations, policy, and guidance.

d. Provides customer focus through the establishment of a database for analyzing evaluation results and for reporting trends in continued operational safety upon which FAA customers may act.

e. Provides continuous improvement by continually evaluating lessons learned and customer feedback reports, and considering proposed improvements by FAA internal and external customers.

f. Provides for employee involvement by establishing and maintaining a professional staff of trained evaluators composed of aviation safety inspectors, aerospace engineers, flight test engineers, and flight test pilots.

2. DISTRIBUTION. This order is distributed to the Washington headquarters branch levels of the Aircraft Certification Service, to the branch level in the regional Aircraft Certification Service divisions, to all Aircraft Certification Service offices, to the Suspected Unapproved Parts Program Office, to the Aircraft Certification Service branch at the Federal Aviation Administration Academy, to the Regulatory Support Division of the Flight Standards Service, and to the Brussels Aircraft Certification Division.

3. CANCELLATION. Not applicable.

4. EFFECTIVE DATE. All evaluation requirements and reference relating to manufacturer's maintenance facilities (MMF) have been removed effective February 01, 2004.

5. EXPLANATION OF CHANGES. The following significant changes are contained in this revision:

- a. Removed all reference to Manufacturer's Maintenance Facility from this Order.
- b. Renamed stand-alone documents as Appendix 6 (Production Approval Holder Evaluation Criteria) and Appendix 7 (Delegated Facility Evaluation Criteria) to prevent confusion when changes are being made.
- c. Restructured Appendices numbers due to removal of Appendices 8 and 9.
- d. Changed 8100-3 Form Cover Page to show "Extension(s)" block to be check when appropriate.
- e. Added additional Acronyms (ASI, AD, and NDI) to the acronym list.
- f. Reworded System Element 110,(Appendix 6) Statement of Condition to clarify when and what type of reportable conditions is to be sent to the FAA.

6. DEFINITIONS. The following definitions apply to the conduct and administration of an ACSEP:

a. Assigned Engineer (AE). An FAA engineer to whom the Aircraft Certification Office (ACO) manager has assigned responsibility for an ACSEP evaluation at a particular design approval facility. In the case of a delegated facility, the AE may be the engineer who is assigned oversight responsibility for the delegated facility.

b. Associate Facility. A facility approved as an extension to a PAH. The facility is owned and operated by the same corporate management as the original PAH that controls the design and quality of the product/part thereof, except for companies participating in joint-production and/or co production business agreements. The associate facility must be listed as a manufacturing facility on the production certificate (PC) or letter of authorization for other production approvals, for example, Parts Manufacturer Approval (PMA) or Technical Standard Order (TSO) authorization.

c. Delegated Facility. A facility that holds a Delegation Option Authorization (DOA), Designated Alteration Station (DAS), or a Special Federal Aviation Regulation (SFAR) 36 authorization and that has primary responsibility to control the design approval system in place to produce a safe design in compliance with airworthiness requirements.

d. Established Industry Practice. A widely followed method of operating that achieves consistent performance of specific functions. Examples of established industry practices include a calibration recall system and an internal audit system.

e. Evaluator. An individual the FAA appoints to perform ACSEP evaluations.

f. FAA-Approved Data. Data specifically approved by the FAA or FAA-delegated representatives, including any document referenced therein. These data may include design drawings, manuals, procedures, and specifications.

g. Facility. A physical location where a PAH, associate facility, or delegated facility performs all or part of the system element functions relevant to the approval authority granted by the FAA.

h. Geographic Manufacturing Inspection District Office (MIDO) or Certificate Management Office (CMO). A MIDO or CMO that performs certificate management of an associate facility located in its geographical area of responsibility on the basis of a request from another MIDO or CMO.

i. Lead Evaluation Office. A directorate office or branch assigned to coordinate an ACSEP evaluation.

j. Noncompliance. A PAH's or associate facility's operating practice found to be inconsistent with 14 CFR, FAA-approved data, or internal procedures. A supplier's operating practice found to be inconsistent with a PAH's or associate facility's purchase order requirements is considered to be a noncompliance by the PAH or associate facility. Refer to FAA Order 8120.2 for an explanation of the four types of noncompliance.

k. Objective Evidence. All the means by which any alleged fact tends to be established or disproved. These means must be factual, convincing, relevant, valid, reliable, and complete. Examples of objective evidence include interview statements, photographs, charts, maps, diagrams, documents, and records. Documents and records include items such as work travelers, inspection documents, FAA-approved drawings, PMA and TSO approval letters, airworthiness approval tags (FAA Form 8130-3, Authorized Release Certificate), and calibration logs.

l. Principal Evaluator. An FAA-appointed team leader who acts as the sole evaluator for the performance of an ACSEP evaluation at a specific facility.

m. Principal Inspector (PI). A manufacturing inspector who has been assigned certificate management responsibility of a particular PAH or associate facility.

n. Procedure. A specific way to perform an activity or function that is documented and usually contains the purposes and scope of the activity or function: what is to be done and by whom; when, where, and how the activity or function is to be done; the materials, equipment, and documents to be used; and how the activity or function is to be controlled and recorded.

o. Production Approval Holder (PAH). The holder of a PC, Approved Production Inspection System (APIS), PMA, or TSO authorization, who has primary responsibility to control the design and quality of a product or part thereof.

p. Requesting MIDO or CMO. An office that requests associate facility certificate management from another office having geographic responsibility of the area in which the facility is located.

q. Resource Targeting. A method of grouping and categorizing PAHs and associate facilities that provides for effective FAA certificate management resource deployment.

r. Standardized Evaluation Criteria. Questions developed for each system element that FAA ACSEP evaluation teams use to plan and document the evaluation. The applicable 14 CFR requirements, appropriate FAA Advisory Circulars (AC) and directives, international standards and specifications, and established industry practices are the basis for these questions. Refer to appendixes 6 and 7.

s. System. An activity or function that may affect the maintenance of an FAA-approved design, quality data, or the design approval system.

t. System Element. A specific activity or function that may affect the maintenance of FAA-approved design or quality data, such as design data control, manufacturing controls, and supplier control; that may affect how a design approval system at a delegated facility provides a product in compliance with airworthiness requirements; or that may affect the delegation authority and approved procedures. Such activities are subject to evaluation of the adequacy and implementation of approved procedures.

7. FORMS. All forms used in the performance and administration of ACSEP evaluations are provided by AIR-200 in electronic format.

8. AUTHORITY TO CHANGE THIS ORDER. The issuance, revision, or cancellation of the material in this order is the responsibility of the AIR Aircraft Engineering Division (AIR-100) and AIR-200. These divisions will accomplish all changes, as required, to carry out the FAA's responsibility to provide for evaluations of PAHs and holders of a DOA, DAS, and SFAR 36 authorization.

9. RELATION TO OTHER DIRECTIVES. Orders referenced in this directive list only the basic order number. The user must establish that the latest revision/amendments are being used.

10. REQUESTS FOR INFORMATION. All public requests for information regarding completed ACSEP and non-ACSEP evaluations and related database information will be processed in accordance with the Freedom of Information Act (refer to FAA Order 1270.1, Freedom of Information Act Program).

11. ACRONYMS. Acronyms are listed in appendix 1.

12. SCOPE. The ACSEP will evaluate holders of a DOA, DAS, and SFAR 36 authorization; it also will evaluate all PC, APIS, PMA, and TSO authorization holders, and their associate facilities assessed as category 1 and 2 facilities in resource targeting groups I through III. See FAA Order 8120.2. PAHs assessed by resource targeting as category 3 facilities, suppliers, and holders of a letter of TSO design approval are not subject to the ACSEP. However, the ACSEP team leader may extend an ACSEP evaluation at a PAH to key suppliers, subtier suppliers or processors to verify the PAH is satisfactorily controlling its suppliers. The AIR directorates will implement the ACSEP. AIR-100 and AIR-200 will support the ACSEP.

13. INFORMATION CURRENCY. Any deficiencies found, clarifications needed, or improvements to be suggested regarding the content of this order should be forwarded to the AIR Automated Systems Branch, AIR-520, Attention: Directives Management Officer, for consideration. Your assistance is welcome. FAA Form 1320-19, Directive Feedback Information, is located on the last page of this order.

CHAPTER 4. ACSEP EVALUATION PROCEDURES

SECTION 1. ACSEP EVALUATION PREPARATIONS

42. LEAD EVALUATION OFFICE. Perform the following evaluation preparations, as a minimum:

a. Notify, in writing, the selected evaluation team leader and team members, or the principal evaluator, at least 90 calendar days before each directorate evaluation.

b. Ensure logistical support for an evaluation within the geographical area.

43. ACO, MIO, MIDO, and CMO MANAGERS. Notify in writing all evaluators within the directorate selected for AIR-200-led evaluations and evaluations in support of other directorates. Send notification at least 90 calendar days before each evaluation. Send a copy of the notification to the lead evaluation office and AIR-200.

44. EVALUATION TEAM LEADER OR PRINCIPAL EVALUATOR. Coordinate evaluation preparation. The team leader provides orientation to team members, and assigns system elements to team members. These actions, as appropriate, require coordination with the PI, AE, and the facility to be evaluated. The team leader, or principal evaluator, will perform the following, as appropriate:

a. Upon receipt of a copy of the notification letter, contact the lead evaluation office to identify the responsible PI and AE and obtain from the PI and AE such items as the following:

(1) Applicable FAA-approved procedures, including engineering and quality manuals, procedures manuals, and handbooks, when practical. Obtain documentation in electronic format, if available, to simplify copying and distribution to team members. If applicable data are available only electronically, work with the PI or AE to identify relevant documents and to obtain printed copies of only those pages necessary to support the ACSEP evaluation.

(2) Current facility data available in the MIMIS.

(3) Known or suspected problem areas, including any areas the PI and AE would like special emphasis on during the evaluation such as requests to conduct a product audit in accordance with FAA Order 8120.2.

(4) Current self-disclosure items reported under FAA Order 2150.3, Compliance and Enforcement Program, appendix 1, Compliance/Enforcement Bulletin No. 92-2, Reporting and Correction Policy and Implementing Guidance for Holders of Production Approvals, that are in process of corrective action.

(5) Agreements made between the cognizant ACO, MIO, MIDO, or CMO and the facility to be evaluated.

(6) Facility access information, including badges and security clearances.

(7) Lodging information.

(8) Any other items necessary to prepare for the evaluation.

b. Prepare a written evaluation plan for conducting the evaluation. The evaluation plan includes the following items, as applicable:

(1) Name and address of facility to be evaluated.

(2) Dates of evaluation.

(3) Names of team leader and members (when more than one evaluator is selected).

(4) Evaluation objectives. List the reason for the ACSEP evaluation, and what information is expected to be obtained during the evaluation (for example, establish facility compliance with the procedures established to meet the applicable requirements of 14 CFR or establish cause of repetitive Service Difficulty Reports).

(5) Type(s) of approval.

(6) Type certificate (TC) or supplemental type certificate (STC) number, as applicable.

(7) Current product line.

(8) Number of employees associated directly with the production approval or delegated facility activity.

(9) List of top-level FAA-approved procedures (for example, quality manual index of procedures, procedures manual, PMA approval letter, and TC data sheets).

(10) FAA/facility agreements in effect; for example, agreement on frequency of submittal of minor design changes.

(11) Plant layout.

(12) Organizational chart.

(13) Major processes.

(14) Unusual features of the product, manufacturing and inspection methods, or design approval system.

(15) Self-disclosure items under FAA Order 2150.3, appendix 1, Compliance/Enforcement Bulletin No. 92-2, Reporting and Correction Policy and Implementing Guidance for Holders of Production Approvals.

(16) Special emphasis items recommended by the PI and AE.

(17) System element, to include product audit, assignments (when more than one evaluator is selected).

(18) Access information, including facility point of contact.

(19) Lodging information.

(20) Equipment required (for example, notebook computer, safety shoes, and coveralls).

c. Coordinate assignments, requirements, and arrangements with team members as far in advance of the evaluation as possible, but no later than 30 calendar days before the evaluation. Notify team members immediately of changes in schedule, assignments, requirements, and arrangements. Provide copies of all relevant facility documents to team members, when feasible.

NOTE: Information contained in the previous year's annual ACSEP report may be used to assist the team leader in focusing resources in the event of time constraints.

d. Forward an FAA certificate of nondisclosure (see appendix 2) to any outside support service personnel assigned no later than 35 calendar days before the evaluation. Obtain signed statements no later than 25 calendar days before the evaluation and forward them to the facility via the PI or delegated facility AE.

e. Notify the lead evaluation office immediately of changes in team numbers or composition.

f. Coordinate with the certificate management PI or AE, delegated facility AE, or geographic PI, as appropriate, to resolve specific planning problems relating to the facility to be evaluated.

g. Arrange, as appropriate, for the availability of a notebook computer and portable printer for the duration of the evaluation, and for the accomplishment of postevaluation activities. Use of a notebook computer during the evaluation will allow for quick access and search of ACSEP documentation and for preparation of high-quality documents for presentation during the postevaluation conference.

45. EVALUATION TEAM MEMBER. Perform these tasks:

a. Upon notification by the team leader, confirm availability for the evaluation, system elements assigned, and travel arrangements.

NOTE: Notify the team leader immediately if you become unavailable for the evaluation.

b. Before the evaluation, review all material provided by the team leader, the PI, or the AE appropriate to the assigned system elements. When possible, make a preliminary selection of the procedures you plan to evaluate.

46.–51. RESERVED.

(c) Send, or transmit electronically, at the same time as the original report, one copy of the evaluation report to AIR-200. Do not include copies of objective evidence to AIR-200.

(d) Send, or transmit electronically, at the same time as the original report, one copy of the evaluation report to the immediate supervisor of any evaluators-in-training assigned to the team.

(e) For DOA and DAS facilities, send, or transmit electronically, at the same time as the original report, one copy of the evaluation report to the MIDO or CMO manager that has geographic responsibility for the area in which the DOA or DAS facility is located. The copy for the MIDO or CMO manager may be tailored to the requirements of the MIDO or CMO manager but will always include copies of any objective evidence that the MIDO or CMO manager may require to investigate identified special emphasis items.

b. Certificate Management MIO Manager.

(1) Send, or transmit electronically, the original evaluation report to the certificate management PI within 3 working days of receipt of the report from the ACSEP team leader.

(2) Include any additional evaluation documents that the team leader provides.

c. Certificate Management ACO Manager.

(1) Send, or transmit electronically, the evaluation report copy to the AE within 3 working days of receipt of the report from the ACSEP team leader.

(2) Include all copies of any objective evidence received. When transmitting the report electronically, send the true copies of the objective evidence under separate cover.

NOTE: ACO investigations of special emphasis items that were identified during the conduct of an ACSEP evaluation should be coordinated with the responsible MIDO or CMO.

d. ACO Manager With Oversight Responsibility for the Delegated Facility.

(1) Send, or transmit electronically, the original evaluation report to the delegated facility AE within 3 working days of receipt of the report from the ACSEP team leader.

(2) Include all true copies of any objective evidence received. When transmitting the report electronically, send the true copies of the objective evidence under separate cover.

(3) Include any additional evaluation documents that the team leader provides.

e. MIDO or CMO Manager With Geographic Responsibility for a DOA or DAS Facility.

Send, or transmit electronically, the evaluation report copy to the responsible PI within 3 working days of receipt of the report from the ACSEP team leader.

NOTE: MIDO or CMO investigations of special emphasis items that were identified during the conduct of an ACSEP evaluation at a DOA or DAS should be coordinated with the ACO that has oversight responsibility.

f. Delegated Facility AE. For DAS and SFAR 36 facilities, send a copy of the evaluation report to the flight standards PI that has oversight responsibility for a repair station or operator in which the DAS or SFAR 36 facility resides.

65. REQUESTING CORRECTIVE ACTION. The PI or delegated facility AE, as applicable, must request corrective action in accordance with FAA Order 8120.2 or Order 8100.9, as applicable.

66.-71. RESERVED.

APPENDIX 1. ACRONYMS

1. Applicability. The acronyms listed in figure 1 apply to this entire order.

FIGURE 1. ACRONYMS

14 CFR	Title 14, Code of Federal Regulations
AC	Advisory Circular
AC Form	Aeronautical Center Form
ACO	Aircraft Certification Office
ACSEP	Aircraft Certification Systems Evaluation Program
AD	Airworthiness Directive
AE	assigned engineer
AFM	airplane flight manual
AFMS	airplane flight manual supplement
AIR	Aircraft Certification Service
AIR-100	Aircraft Engineering Division
AIR-200	Production and Airworthiness Division
AIR-230	Evaluations and International Programs Branch
AIR-500	Planning and Program Management Division
APIS	Approved Production Inspection System
ASI	Aviation Safety Inspector
CMO	certificate management office
DAS	Designated Alteration Station
DOA	Delegation Option Authorization
FAA	Federal Aviation Administration
FSDO	flight standards district office
MIDO	manufacturing inspection district office
MIMIS	Manufacturing Inspection Management Information System
MIO	manufacturing inspection office
MRB	Materials Review Board
NDI	Non-destructive Inspection
PAH	production approval holder
PC	production certificate
PI	principal inspector
PMA	Parts Manufacturer Approval
SFAR	Special Federal Aviation Regulation
STC	supplemental type certificate
TC	type certificate
TSO	Technical Standard Order

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**APPENDIX 6. AIRCRAFT CERTIFICATION SYSTEMS EVALUATION PROGRAM
PRODUCTION APPROVAL HOLDERS STANDARDIZED EVALUATION CRITERIA**

The criteria and survey form is incorporated into the STAND-ALONE DOCUMENT titled Appendix 6 – Production Approval Holders Standardized Evaluation Criteria.

**APPENDIX 7. AIRCRAFT CERTIFICATION SYSTEMS EVALUATION PROGRAM
DELEGATED FACILITY STANDARDIZED EVALUATION CRITERIA**

The criteria and survey form is incorporated into a STAND-ALONE DOCUMENT titled Appendix 7 – Delegated Facility Standardized Evaluation Criteria.

APPENDIX 8. PREPARATION INSTRUCTIONS FAA ACSEP EXECUTIVE SUMMARY

1. PURPOSE. This appendix provides instructions for preparing the FAA ACSEP Executive Summary. This summary provides the status of each system element evaluated and a narrative of noncompliances. The completed summary will be the only record of noncompliances that the team leader provides at the postevaluation conference to the evaluated facility.

2. SPECIFIC GUIDANCE. Figures 1 through 3 show sample executive summaries with numbered blocks. Prepare the summary as follows:

a. Block 1. Insert the ACSEP number/report number.

b. Block 2. Insert the project number(s) assigned to the production approval activity being evaluated. For a delegated facility, enter the type of delegated facility (that is, DAS, DOA, or SFAR 36).

c. Block 3. Insert the name of the facility that was evaluated.

d. Block 4. Insert the date(s) of the evaluation.

e. Block 5. Insert brief statements outlining the noncompliances for each of the applicable system elements. Format the summary as follows:

(1) State the total number of noncompliances identified for the entire evaluation, even if there were none.

(2) Discuss only those system elements that have noncompliances recorded. Do not list system elements that have no noncompliances recorded.

(a) State the number of noncompliances identified for each system element discussed.

(b) Summarize the noncompliances for each system element discussed.

f. Block 6. Have the team leader sign in this block. This block may be signed by a team leader-in-training but must also be countersigned by the team leader. When an electronic version of the executive summary is used, ensure that all required names are listed.

g. Block 7. Insert the date of the postevaluation conference.

h. Block 8. Insert the required marking in accordance with guidelines found in FAA Order 1600.2D. Control and Protection of "For Official Use Only" Information.

**APPENDIX 8. PREPARATION INSTRUCTIONS FOR
FAA ACSEP EXECUTIVE SUMMARY**

FIGURE 1. SAMPLE EXECUTIVE SUMMARY FOR PAHs AND ASSOCIATE FACILITIES

FEDERAL AVIATION ADMINISTRATION AIRCRAFT CERTIFICATION SYSTEMS EVALUATION PROGRAM (ACSEP) EXECUTIVE SUMMARY	
(1)	(2)
ACSEP NO./REPORT NO.: 98NE278/1-1	PROJECT NO.: PE9999NE
(3) FACILITY: Cape Cod Aircraft Engine Co.	
(4) DATE OF EVALUATION: August 6-15, 1998	
(5) <u>SYSTEM ELEMENT NONCOMPLIANCES</u>	
During this evaluation, the team documented 10 noncompliances.	
<u>Design Control System Element:</u> Four noncompliances were recorded for this system element. One noncompliance was recorded for a breakdown in the approved procedure for determining major or minor design changes. A second noncompliance was recorded for a breakdown in the approved procedure for processing minor design changes. Two additional noncompliances were recorded for a breakdown in the approved procedures for submitting major design changes and process specification changes to the FAA.	
<u>Software Quality Assurance System Element:</u> One noncompliance was recorded for this system element. It was recorded for an isolated incident of obsolete software media not being properly controlled.	
<u>Manufacturing Processes System Element:</u> Four noncompliances were recorded for this system element. A noncompliance was recorded for a breakdown in the job order manufacturing sequence for the main housing, part Nos. 123-666, and 123-667. Another noncompliance was recorded for an isolated incident of changes to work instructions not being properly controlled. One noncompliance was recorded for an isolated incident of a change to a special process not being properly controlled. One noncompliance was recorded for a breakdown in the approved procedures for handling parts sensitive to electrostatic discharge.	
<u>Supplier Control System Element:</u> One noncompliance was recorded for this system element. It was recorded for a breakdown in the approved procedure to make information available to the FAA regarding all delegation of authority to suppliers to make major inspection of any products/parts thereof.	
(6)	(7)
J.J. Gem	August 15, 1998
(8)	
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**APPENDIX 8. PREPARATION INSTRUCTIONS FOR
FAA ACSEP EXECUTIVE SUMMARY**

FIGURE 2. SAMPLE EXECUTIVE SUMMARY FOR DELEGATED FACILITIES

FEDERAL AVIATION ADMINISTRATION AIRCRAFT CERTIFICATION SYSTEMS EVALUATION PROGRAM (ACSEP) EXECUTIVE SUMMARY	
(1) ACSEP NO./REPORT NO.: 98SW333/1-1	(2) PROJECT NO.: DAS
(3) FACILITY: Metal Components Inc.	
(4) DATE OF EVALUATION: April 3-5, 1998	
(5) <u>SYSTEM ELEMENT NONCOMPLIANCES</u>	
During this evaluation, the team documented eight noncompliances.	
<u>Project Management System Element:</u> Two noncompliances were recorded in this system element. One noncompliance was recorded for a system breakdown in the failure to obtain FAA concurrence on an equivalent safety issue before issuance of STC No. ST008-D. The second noncompliance was recorded for an isolated incident of a certification summary report that was improperly filled out.	
<u>Design Data Approval System Element:</u> Two noncompliances were recorded in this system element. One noncompliance was recorded for a system breakdown in the failure to provide adequate security (that is, limited access) for the DAS/FAA-approved type data files. The second noncompliance was recorded for a system breakdown in the failure to follow procedures that require special handling of software media.	
<u>Testing System Element:</u> One noncompliance was recorded in this system element. The noncompliance was recorded for a system breakdown in the use of non-DAS personnel to witness and approve required certification tests.	
<u>Continued Airworthiness System Element:</u> Two noncompliances were recorded in this system element. One noncompliance was recorded for an isolated incident of a reported service problem that was not properly documented. The second noncompliance was documented against the FAA-approved DAS Procedures Manual for a failure reporting procedure that is inconsistent with 14 CFR § 21.3 (that is, 72 hours versus the required 24 hours for FAA notification).	
<u>Audit System Element:</u> One noncompliance was recorded in this system element. The noncompliance was recorded for an isolated incident of a failure to accomplish required followup on an internal audit report that was identified as "corrective action required."	
(6) Q.C. Record	(7) April 5, 1998
(8) FOR OFFICIAL USE ONLY Public availability to be determined under 5 U.S.C. 552	

**APPENDIX 8. PREPARATION INSTRUCTIONS FOR
FAA ACSEP EXECUTIVE SUMMARY**

**FIGURE 3. SAMPLE EXECUTIVE SUMMARY FOR FACILITIES WITH
NO NONCOMPLIANCES**

FEDERAL AVIATION ADMINISTRATION AIRCRAFT CERTIFICATION SYSTEMS EVALUATION PROGRAM (ACSEP) EXECUTIVE SUMMARY	
(1) ACSEP NO./REPORT NO.: 01SW334/1-1	(2) PROJECT NO.: PP0000SW
(3) FACILITY: Excellent Metal Components Inc.	
(4) DATE OF EVALUATION: April 1, 2001	
(5) <u>SYSTEM ELEMENT NONCOMPLIANCES</u> During this evaluation, the team documented no noncompliances.	
(6) J.M. Tired	(7) April 1, 2001
(8) FOR OFFICIAL USE ONLY Public availability to be determined under 5 U.S.C. 552	

**APPENDIX 9. PREPARATION INSTRUCTIONS FOR
ACSEP EVALUATION SPECIAL EMPHASIS ITEMS**

1. PURPOSE. This appendix provides instructions for preparing ACSEP Evaluation Special Emphasis Items. These items are intended to bring to the attention of the ACO and MIO managers, the PI, the AE, and the FSDO principal maintenance inspector (as appropriate) specific problems or concerns that the ACSEP evaluation team believes require further action.

2. SPECIFIC GUIDANCE. Figures 1 and 2 show sample special emphasis items with numbered blocks. Prepare the special emphasis items by inserting in the following:

a. Block 1. The ACSEP number/report number.

b. Block 2. The project number(s) assigned to the production approval activity being evaluated. For a delegated facility, enter the type of delegated facility (that is, DAS, DOA, or SFAR 36).

c. Block 3. A brief statement summarizing the problem or concern, identifying the relevant system element, and referencing the relevant noncompliances. Provide a recommendation for further action required, as appropriate.

d. Block 4. Insert the required marking in accordance with guidelines found in FAA Order 1600.2D, Control and Protection of "For Official Use Only" Information.

**APPENDIX 9. PREPARATION INSTRUCTIONS FOR
ACSEP EVALUATION SPECIAL EMPHASIS ITEMS**

**FIGURE 1. SAMPLE ACSEP EVALUATION SPECIAL EMPHASIS ITEMS
FOR PAHs AND ASSOCIATE FACILITIES**

ACSEP EVALUATION SPECIAL EMPHASIS ITEMS	
(1)	(2)
ACSEP NO. /REPORT NO.: 98SW314/1-2	PROJECT NO.: PT9999SW
(3)	
<u>NOTE TO MIO MANAGER AND COGNIZANT PRINCIPAL INSPECTOR</u>	
<p>At the request of the principal inspector, the team put special emphasis on the supplier control system element. Although only two noncompliances were recorded, a large number of isolated incidents were recorded among the other system element criteria. See the attached FAA Forms 8100-6, isolated noncompliances Nos. 6 to 19. The team cannot say with confidence that a systemic problem exists with supplier control; however, when all of the discrepancies are taken as a whole, we believe there is a strong probability that a systemic problem may exist. We recommend that a special evaluation be conducted on the supplier control system element to fully determine whether a systemic problem exists.</p>	
<u>NOTE TO ACO MANAGER AND AE</u>	
<p>A noncompliance was recorded in the design data control system element for a suspected problem with the FAA-approved data. See the attached FAA Form 8100-6, noncompliance No. 20. There is a systemic problem with FAA-approved drawings that call out incorrect or nonexistent process specifications. We recommend that this problem be investigated further.</p>	
(4)	
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**APPENDIX 9. PREPARATION INSTRUCTIONS FOR
ACSEP EVALUATION SPECIAL EMPHASIS ITEMS**

**FIGURE 2. SAMPLE ACSEP EVALUATION SPECIAL EMPHASIS ITEMS
FOR DELEGATED FACILITIES**

**ACSEP EVALUATION
SPECIAL EMPHASIS ITEMS**

(1) (2)
ACSEP NO./REPORT NO.: 98SW365/1-1 PROJECT NO.: DAS

(3)

NOTE TO ACO MANAGER AND AE

During the evaluation of the Design Change Approval system element it was discovered that many of the drawings reviewed had in excess of 25 design change notices (DCN) attached. Although the FAA-approved procedures manual does not specify a limit to the number of DCNs allowed before a formal drawing revision, the current facility practice appears excessive. Because facility procedures do not specify a limit on the number of DCNs allowed, no noncompliances were documented; however, a noncompliance was documented for approval of parts that were not in conformance to type design data, and excessive DCNs were considered a contributing factor (see FAA Form 8100-6, noncompliance No. 3). The team recommends that the ACO/AE review the FAA-approved procedures manual and work with the delegated facility to revise the design change procedures to specify a realistic limit on the number of DCNs that may be written against a drawing before a formal drawing revision is required.

NOTE TO FSDO PRINCIPAL MAINTENANCE INSPECTOR

During the review of DAS conformity inspection records for various galley installation supplemental type certificates, it was noted that a high number of the galley compartment covers were rejected before an article was accepted for installation. The rejects were apparently caused by lack of or improper procedures in storage of prepreg material from which the covers were made. A roll of prepreg material needs to be in cold storage when it is not in use. Each roll needs a record to show how long the roll is out of the cold storage vault when the roll is taken out for use. The records for the cold storage vault appear to be too lax to get the needed controls for the prepreg material. It is recommended that the FSDO principal maintenance inspector for the repair station investigate this issue and revise the facility's inspection and procedures manual as deemed appropriate.

(4)

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**APPENDIX 10. PREPARATION INSTRUCTIONS FOR
ACSEP EVALUATION LESSONS LEARNED**

1. PURPOSE. This appendix provides instructions for recording lessons learned from ACSEP evaluations. These lessons form an important part of the ACSEP quality improvement program.

2. SPECIFIC GUIDANCE. Figure 1 shows sample lessons learned statements. Prepare the lessons learned by inserting in the following:

a. Block 1. The ACSEP number/report number.

b. Block 2. The project number(s) assigned to the production approval activity being evaluated. For a delegated facility, enter the type of delegated facility (that is, DAS, DOA, or SFAR 36).

c. Block 3. All events noted during the evaluation that may lead to improvement of ACSEP policy or evaluation techniques. Events should include the following:

(1) An assessment of the performance of the evaluation, detailing the successes, failures, unique problems encountered, solutions, and recommendations for future evaluations, policy, and related training.

(2) Difficulties in using this order, including the standardized evaluation criteria, and recommendations for improving this document and the related training.

(3) The rationale for checking the “Unable to evaluate” block on FAA Form 8100–4 or 8100–8 for an ENTIRE SYSTEM ELEMENT (for example, lack of time, inadequate resources, or lack of expertise).

(4) All new evaluation criteria and/or statement-of-condition practices and principles.

(a) State the complete text of any new criteria added to FAA Form 8100–4 or 8100–8. Include a statement of condition, as appropriate.

(b) State the complete text of any new practices or principles proposed for an existing statement of condition. Indicate the criterion number to which the statement of condition applies.

d. Block 4. Insert the required marking in accordance with guidelines found in FAA Order 1600.2D, Control and Protection of “For Official Use Only” Information.

**APPENDIX 10. PREPARATION INSTRUCTIONS FOR
ACSEP EVALUATION LESSONS LEARNED**

FIGURE 1. SAMPLE ACSEP EVALUATION LESSONS LEARNED

ACSEP EVALUATION LESSONS LEARNED	
(1) ACSEP NO. /REPORT NO.: 98NM355/1-1	(2) PROJECT NO.: PQ9999NM
(3)	
<u>EVALUATION ASSESSMENT</u>	
The evaluation process went well. The facility response to the ACSEP process was favorable. Two-person teams were used for all system element evaluations; all team members agreed that this approach helped them get started quicker and contributed to a more complete evaluation of each system element.	
<u>DIFFICULTIES IN USING THE ORDER</u>	
Standardized Evaluation Criteria 103 and 415 are so similar that it is difficult to determine which of the criteria to write a noncompliance against. As written, the danger exists of writing two noncompliances when only one exists. We recommend combining these two criteria to eliminate duplication.	
<u>SYSTEM ELEMENTS NOT EVALUATED</u>	
The Organizational Management system element was not evaluated due to lack of time.	
<u>PROPOSED NEW EVALUATION CRITERIA</u>	
System Element 5 (Manufacturing Controls). Are the critical parameters of the holography process identified and controlled?	
(4)	
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**APPENDIX 11. PREPARATION INSTRUCTIONS FOR
FAA FORM 8100-3, ACSEP EVALUATION REPORT, COVER PAGES**

- 1. PURPOSE.** This appendix provides instructions for preparing FAA Form 8100-3.
- 2. PREPARING THE FRONT OF THE FORM.** Figure 1 shows the front of FAA Form 8100-3 with numbered blocks. Prepare the form by typing in the following:
 - a. Block 1.** The ACSEP number.
 - b. Block 2.** The report number. This number will consist of the report order sequence and the total number of separate original reports issued under the ACSEP number in block 1. For example, ACSEP Evaluation Report No. 1-2 would indicate that this is the first report in a series of two separate original reports issued for a specific evaluation. This example could indicate, in one instance, that an evaluation was conducted at a PAH that also holds a DAS authorization, thereby requiring issuance of two separate original reports. When only one report is required, identify it as No. 1-1.
 - c. Block 3.** The name, address, city, state (or country), and ZIP/postal code of the facility that was evaluated.
 - d. Block 4.** A checkmark in the applicable box(s) to indicate the type(s) of design or production approval the facility has; ensure that the box labeled (Extension(s)) is also checked if applicable.
 - e. Block 5.** The date of the preevaluation conference.
 - f. Block 6.** The date of the postevaluation conference.
 - g. Block 7.** The name of the office responsible for certificate management or delegation oversight of the evaluated facility.
 - h. Block 8.** The name of the MIDO or CMO responsible for surveillance of the evaluated facility. No entry is required if the certificate management MIDO or CMO performs the surveillance.
 - i. Block 9.** The team leader's or principal evaluator's signature. This block may be signed by a team leader-in-training but also must be countersigned by the team leader. When an electronic version of the form is used, ensure that all required names are typed in.
 - j. Block 10.** The date of signature.
 - k. Block 11.** The location of the objective evidence. Indicate if the objective evidence is attached to the report or if the objective evidence has been retained by the PI or AE.

**APPENDIX 11. PREPARATION INSTRUCTIONS FOR
FAA FORM 8100-3, ACSEP EVALUATION REPORT, COVER PAGES
FIGURE 1. SAMPLE FAA FORM 8100-3 (FRONT)**

 U.S. Department of Transportation Federal Aviation Administration	<table border="1"><tr><td>ACSEP Number 02CE365</td></tr></table> (1)	ACSEP Number 02CE365
ACSEP Number 02CE365		
ACSEP Evaluation Report No. 1-1 (2)		
Facility: (3) XYZ Tire Company 55667 Aviation Parkway Anytown, OH 45000-5566		
Facility Type: <input type="checkbox"/> APIS <input type="checkbox"/> PC <input type="checkbox"/> TSO <input type="checkbox"/> PMA <input type="checkbox"/> Extension(s) (4) <input type="checkbox"/> DOA <input type="checkbox"/> SFAR 36 <input type="checkbox"/> DAS		
(5) Start Date: May 12, 2002	(6) End Date: May 15, 2002	
Certificate Management/Delegation Oversight Office: (7) Vandalia MIDO		
Certificate Management/Geographic MIDO/CMO: (8)		
(9) Prepared By: Jill Doe	(10) May 21, 2002	
_____ FAA ACSEP Evaluation Team Leader Date		
(11) Location of Objective Evidence: Retained by the principal inspector.		
_____ FAA Form 8100-3 (10/02) FOR OFFICIAL USE ONLY (when filled in) Public availability to be determined under 5 U.S.C. 552		

**APPENDIX 11. PREPARATION INSTRUCTIONS FOR
FAA FORM 8100-3, ACSEP EVALUATION REPORT, COVER PAGES**

3. PREPARING THE BACK OF THE FORM. Figure 2 shows the back of FAA Form 8100-3 with numbered blocks. Prepare the form by typing in the following:

a. Block 12. The name of each team member, including any national resource specialist, manager, or outside support service personnel used, and any evaluators/team leaders-in-training who participated. List the team members first. Do not enter the team leader's name.

b. Block 13. The office to which each individual listed in block 12 is officially assigned.

c. Block 14. The discipline of each individual listed in block 12. Identify whether the individual is an aviation safety inspector, engineer, or flight test pilot.

d. Block 15. The specialty of each individual listed in block 12, as applicable. Identify engineers by systems and equipment, propulsion, airframe, or flight test specialty.

e. Block 16. An "E" to identify evaluators-in-training; or a "T" to identify team leaders-in-training. Leave this block blank for team members.

**APPENDIX 11. PREPARATION INSTRUCTIONS FOR
FAA FORM 8100-3, ACSEP EVALUATION REPORT, COVER PAGES
FIGURE 2. SAMPLE FAA FORM 8100-3 (BACK)**

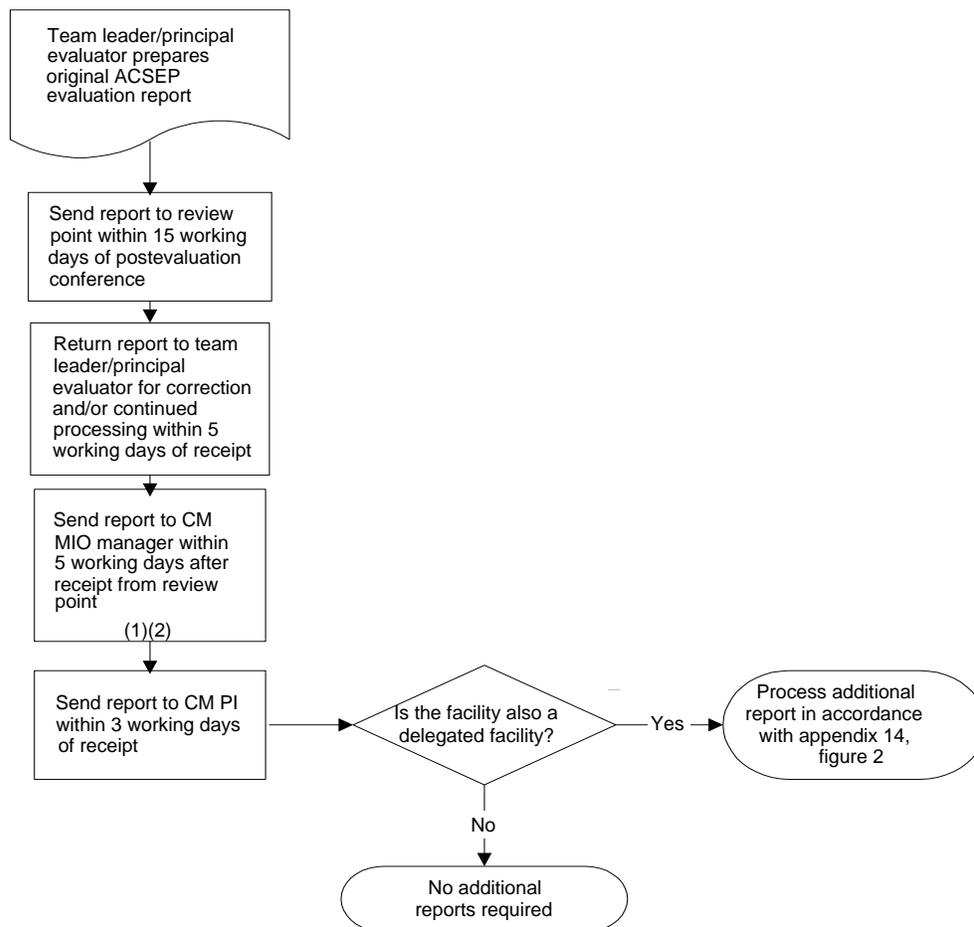
TEAM MEMBERS				
Name	Office	Discipline	Specialty	Training Status (E or T)*
(12)	(13)	(14)	(15)	(16)
John Smith	Atlanta MIDO	ASI		
Fred Exe	ACE-118W	Eng	Airframe	
Mary Lamb	ACE-117A	Eng	Airframe	E
				*E = Evaluator-in-training T = Team Leader-in-training
FAA Form 8100-3 (10/02) FOR OFFICIAL USE ONLY (when filled in) Public availability to be determined under 5 U.S.C. 552				

APPENDIX 12. PROCESS FOR SENDING ACSEP EVALUATION REPORTS

1. PURPOSE. This appendix provides several flowcharts to assist the team leader, principal evaluator, MIO manager, and ACO manager in identifying where a completed ACSEP evaluation report is required to be sent. It supplements the description provided in chapter 4, section 3, of this order.

2. DESCRIPTION. Figures 1 and 2 provide flowcharts to identify where a completed ACSEP evaluation report is required to be sent for the various facility types encountered during the ACSEP evaluation.

FIGURE 1. PROCESS FOR PAHs AND ASSOCIATE FACILITIES



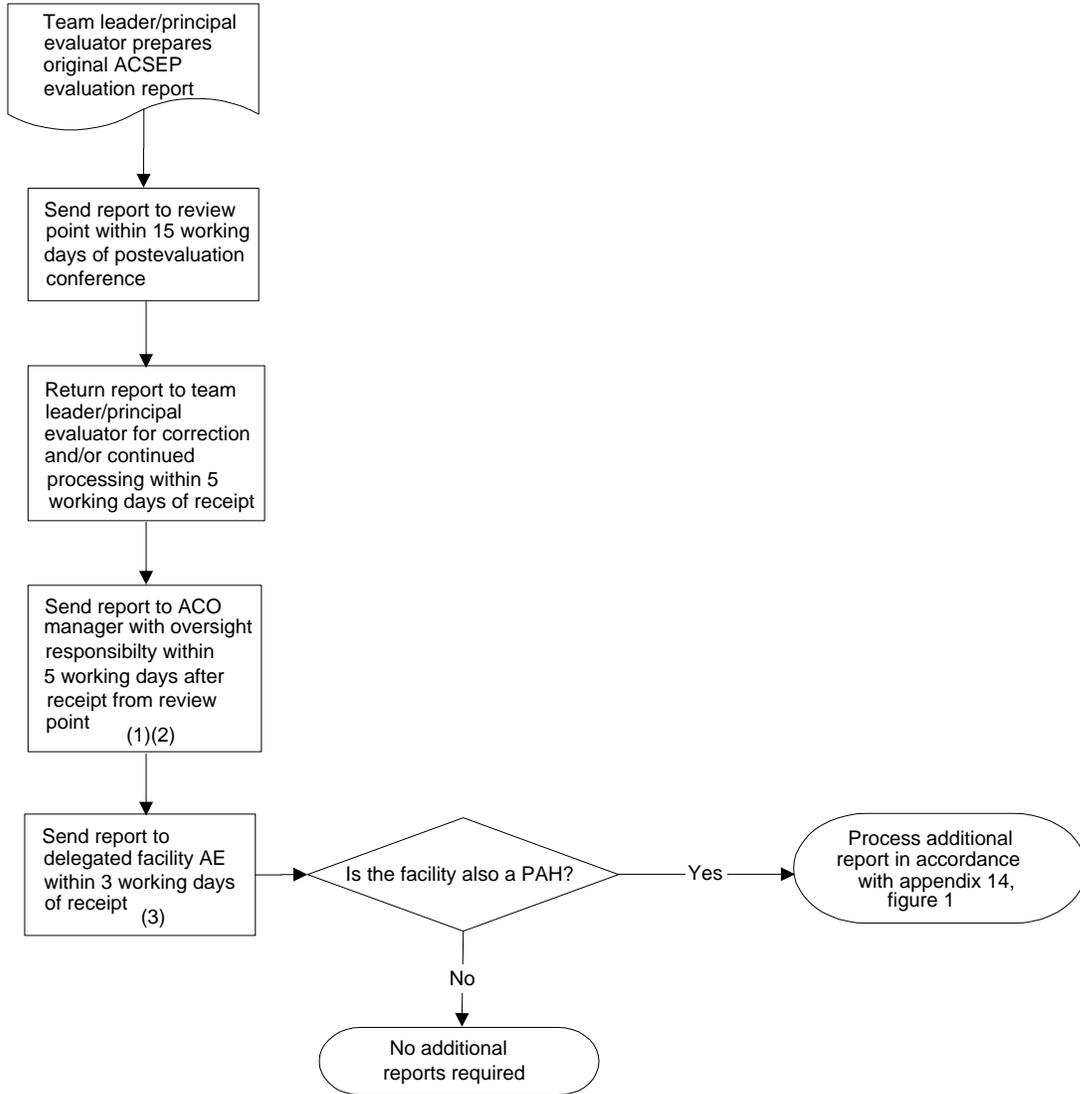
Legend

CM = Certificate management

(1) = Copy to CM ACO manager for forwarding to CM AE

(2) = Copy to AIR-200

APPENDIX 12. PROCESS FOR SENDING ACSEP EVALUATION REPORTS
FIGURE 2. PROCESS FOR DELEGATED FACILITIES



Legend

CM = Certificate management

(1) = Copy to CM MIDO or CMO manager for forwarding to CM PI (DOA/DAS only)

(2) = Copy to AIR-200

(3) = Copy to FSDO PI with oversight responsibility for applicable repair station or operator (DAS/SFAR 36 only)