

FAA Version

Safety Assurance System

External Portal Enhanced Checklist (EPEC)

Applicant

Purpose

This document describes the External Portal Registration for Applicants requesting a 14 CFR Certificate. This process utilizes the Safety Assurance System (SAS) and is referred to as the External Portal Enhanced Checklist (EPEC) Applicant.

Scope

This process applies to:

- The automation. The process does not validate the association to the application for each individual requesting a User Name.
- The Applicant. The Applicant should develop a method to notify the local FAA office when a user should no longer have access to the SAS External Portal.
- Safety Analysis and Promotion, AFS-910.
- All Flight Standard District Offices performing 14 CFR Part 121, 135 & 145 certification.

REVISION HISTORY		
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0	1. Original	08/08/2017
1	1. Step 1, corrected hyperlink for SAS External Portal 2. Revision to TOC	08/24/2017
2	1. Minor revision to Step 1, 2, 4, 17, 24, 25, and 29	10/27/2017
3	1. Modified Scope to reflect FSPO new ID 2. Removed CPTM from Certification Roles and Responsibilities 3. Modified Step 3 title to include SAS Office POC	04/12/2018
4	1. Updated checklist to include V1.8 and CSOP process. 2. Renumber checklist. 3. Re-sequenced Accept Formal Application step to meet policy and automation requirements. 4. Update Purpose, removed reference to AUG Chapter 3.	10/09/2018
5	1. Updated Steps 22 thru 25. Removed Step 26 from Notice. 2. Removed Notice from Step 26.	12/06/2018
6	1. Updated and renumbered entire checklist, removed CSOP process steps. 2. Added Step 2 Additional User appendix note. 3. Step 3 Process note to include certificate holder responsibilities. 4. Step 4, added appendix note for windows 10 users. 5. Step 5 updated process steps to include submission option verification.	03/01/2019

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Introduction

1. This document is designed as a checklist for CFR Part(s) 121 / 135 / 145 applicants and should be utilized in a step by step method.
2. Complete each step before moving forward unless otherwise directed by the checklist.
3. The Appendices contain anecdotal examples of External Portal irregularities with possible solutions.
4. Should a process exhibit any automation irregularities, reference the corresponding Step Number in the appropriate Appendix.
5. All steps known to have an irregularity will have an asterisk (*) next to the number.
6. For automation issues contact MyIT Helpdesk using the “Help Desk Information” link on the SAS Information Guide [here](#).

Background

1. Office correspondence policy / procedures should be followed.
2. SAS automation does not supersede office administration policy / procedures.
3. This checklist addresses automation input and does not supersede FAA Order 8900.1 guidance.
4. It is not required that a new Applicant for a certificate has completed the online training for the External Portal, FAA27100205, however, it is recommended that he/she complete the course before requesting a User ID.
5. If you are a new Applicant for a certificate, whether you have begun the process or not, use the Step by Step Guide Applicant.
6. The External Portal User Guide is used by applicants to interact with the SAS automation.
7. The External Portal User Guide (SAS on-line help) is accessed by selecting the question button (?) located in the top right corner of the screen.

Certification Roles and Responsibilities

The Initial Certification process involves many different roles. These roles include the:

- SAS Office Point of Contact (POC)
- Office CSOP POC
- Office Manager (OM)
- Certification Project Manager (CPM)
- Certification Project Team (CPT)
- Certification Front Line Manager (CFLM)
- Certification Team Lead (CTL)
- Certification Team Members (CTM)
- Principal Inspector (PI)

This list provides the associated actions for each role in the order of the certification process:

- The OM selects Begin Certification and assigns the CPM.
- The CPM adds members to the CPT.
- The CFLM assigns resources in the Certification Resource Work List.
- The CPT perform certification activities.
- The OM assigns PIs to the certificate.

User Registration Process

- **Select** <https://sas.faa.gov>.
 - Review SAS External Information Guide, i.e. Step by Step Guides and Q-Cards
- **Complete** Safety Assurance System (SAS) [External Portal Training](#).
- **Select** <https://sas.faa.gov>.
- **Select** "Sign up for SAS" link.
- **Enter**
 - First Name.
 - Last Name.
 - Email address.
- **Select** "Submit" button.

Process Note: External Users receive an email confirmation when they have successfully submitted their request to associate their SAS User ID with a new or existing application.

Process Note: A confirmation screen will appear, and a request for a SAS User ID has now been submitted.

Process Note: Applicants will receive an email with a link to the page where they will choose a submission option and continue the SAS External Portal registration process.

Process Note: This link is a one-time use link, with a 10-minute time-out and is only valid for 24 hours.

Process Note: Applicants should contact their local FSDO if they have questions regarding their submissions.

Process Note: External users have the ability to register for additional CH/As. External users will complete the FAA provisioning only one time. If users already have an FAA ID, they need to ensure that it is active and they have a current password. Users will need to complete *Sign Up for SAS* for each CH/A they wish to be associated with. For each subsequent CH/A, users must use the same email address when completing *Sign Up for SAS* for all CH/As in order for their data to be associated properly with their one account. Users must wait until after they have completed one registration request before they begin another one.

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Entering Preapplication Information

Process Note: The Applicant receives an e-mail link from the FAA to continue the process of registering to obtain a SAS User ID.

- **Open** the email.
- **Click** on the link to open the SAS registration page.
- **Select** radio push button for “I want to submit a Preapplication Information for a new certificate application”.
- **Select** “Next”.
- **Type** your company name in the first field of the “My Contact Information” form.

Process Note: To complete this form, the local FSDO will need to be located. For assistance with the location select the ? icon.

Note: After determining the appropriate FSDO, close the browser to return to SAS.

- **Select** FSDO from type ahead drop-down.

Process Note: FSDOs can be searched by identifier, or by city.

- **Finish** filling in the “My Contact Information” form.
 - Phone number is required for provisioning.
- **Select** “Next”.
- **Verify** the information.
- **Select** “Next”.
- **Select** the radio button next to the appropriate CFR part.
 - 121-Domestic, Flag and Supplemental Operations.
 - 135-Commuter and On Demand Operations.
 - 145-Repair Stations.

Process Note: Section 1 will auto-populate based on earlier information.

- **Finish** filling in the form.
- **Select** “Next”.
- **Fill** in Section 1B if Part 121 or Part 135 for proposed type of operation.

Entering Preapplication Information (cont.)

Process Note: After typing, lists of aircraft models will populate in the drop-down list.

- **Select** the specific aircraft model to add to it into the table.
- **Use** the aircraft model number to help narrow the search results.
- **Fill** in the remaining aircraft data.
- **Fill** in the Geographic area of intended operation.
- **Select** “Next”.
- **Fill** in Section 1C if Part 145.
- **Fill** in Section 1D for Part 121 or Part 135.
- **Fill** in Section 1E for all CFR Parts to provide a better understanding of the proposed operation or business.
- **Select** “Attach Document”.

Process Note: Attach a signed copy of the FAA Form 8400-6, the PASI, and any other Preapplication documents. This document will reside in the “Formal Application” folder in Document Management.

Process Note: The completed 8310-3 Form, Application for Repair Station Certificate and/or Rating, may be uploaded at this time, if available.

Process Note: Links to the attached documents will appear under the “Attach Document” button.

Process Note: Enter an optional comment for the attached document(s).

- **Enter** Name of Applicant.
- **Enter** Company Title of the Applicant.
- **Select** “Submit”.

Process Note: A Confirmation screen will appear stating “Your Preapplication Information has been submitted and an email has been sent to your account”.

Entering Preapplication Information (cont.)

Process Note: External users have the ability to register for additional CH/As. External users will complete the FAA provisioning only one time. If users already have an FAA ID (User Name), they need to ensure that it is active and they have a current password. Users will need to complete *Sign Up for SAS* for each CH/A they wish to be associated with. For each subsequent CH/A, users must use the same email address when completing *Sign Up for SAS* for all CH/As in order for their data to be associated properly with their one account. Users must wait until after they have completed one registration request before they begin another one.

Process Note: Any Additional User Requests may now be entered. All Additional Users see [Appendix](#) for process to obtain a SAS User ID.

FOR CFR PART 121, PHASE 1 BEGINS IAW 8900.1 GUIDANCE VOLUME 2 CHAPTER 3.

FOR CFR PART 135, PHASE 1 BEGINS IAW 8900.1 GUIDANCE VOLUME 2 CHAPTER 4.

FOR CFR PART 145, PHASE 1 BEGINS IAW 8900.1 GUIDANCE VOLUME 2 CHAPTER 11.

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Provisioning Process

- Process Note:** The SAS Office POC receives a “User Registration” notification on his/her SAS Home page in the Notification tile. The SAS Office POC then coordinates with the FAA Provisioning POC to inform him/her that there is a User ID that needs to be provisioned. Anyone with internet access can request a SAS External Portal user ID. The automation does not validate the association to the certificate for each individual requesting a user ID.
- Process Note:** Each office is responsible for authorizing and managing these user IDs. This will ensure only valid representatives of the certificate holder are registered for the SAS External Portal.
- Process Note:** The certificate holder must develop a method to notify the appropriate Flight Standards office when a user should no longer have access to the SAS External Portal.
- Process Note:** The SAS Office POC needs to provide the First and Last name, email address and phone number of the requesting user to the Provisioning POC.
- Warning:** The FAA Provisioning POC must determine whether or not the User has an “EXC” account. Proceed to FAA Provisioning Point of Contact, Provisioning Checklist, located on the [SRG](#)

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SAS User ID and Account Set-Up

Caution: In order to finalize the creation of an SAS User ID and gain access to the FAA applications through the FAA Provisioning Portal, the user is required to use Microsoft Windows Internet Explorer 11. After the user receives their SAS User ID, the user can use other types of browsers to access SAS."

Process Note: The Applicant receives an e-mail link from the FAA Provisioning Portal to finalize the "EXC" account creation.

Process Note: Navigate to the SAS Provisioning Portal via the link provided.

- **Log** into the Provisioning System with Email and Temporary Password.
- **Complete** security questions to ensure the account is protected.
- **Select** "Next".
- **Replace** the temporary password.
 - Passwords must be updated every 90 days.
- **Select** "Next".

Process Note: An Account Registration Confirmation message will appear once the account registration has completed.

- **Select** "OK".

Process Note: The User will receive a confirmation account email from the FAA Provisioning Portal to the user confirming the new "EXC" account.

Process Note: An email will be sent to the FAA Provisioning POC.

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Dispositioning Process

Process Note: Ensure the Provisioning POC has received a confirmation email, stating the Applicant has completed their provisioning process.

Process Note: The following steps are subsequent to a User Administration Notification being sent to the FAA SAS Office POC.

From the SAS Menu;

- **User** Administration.
- **Select** "External User Registration".
- **Select** the tracking number.
- **Verify** the contact information.
 - Verify external user used correct option when submitting registration request. (Submission Option Section).
 - Indicates "New Applicant".
- **Select** "Edit Request" if information needs to be changed.
- **Select** appropriate Disposition Request from the three options;
 - **Approve:** This will send an email to the Applicant.
 - **Reroute:** This will send a notification to the SAS Office POC at the selected FSDO.
 - **Denied:** This will send an email to the Applicant that states "This email address Jane.Doe@gmail.com has been denied access to the SAS External Portal for DELTA AIR LINES INC. If you have further questions, please contact the SAS Office Point of Contact at your local FSDO/CMO."

Process Note: A Warning message will appear that states "You are about to deny this External SAS User registration request. By completing this action, the email address Jane.Doe@gmail.com will be denied access to DELTA AIR LINES INC."

Process Note: Enter additional text if appropriate. This is especially useful when a dispositioned request of either Reroute or Denied is selected.

- **Select** "Submit".

Dispositioning Process (cont)

Process Note: A Confirmation message will appear that states, “I confirm that the designator code and company listed in the Company Name section of the SAS External User ID Request is the appropriate one for approval in this office”.

- Select “OK”

Process Note: A Confirmation message will appear that states, “This ends the automated SAS steps for creating a user account. The User already has an EXC Account RADS\SASAUTOMATION1. This completes the registration process”.

- Select “OK”

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Navigating the External Portal

Process Note: The following process steps are for familiarization purposes.

Process Note: Applicants who log into the SAS External Portal must remember that data will not be viewed by the FAA until after a Certification Project Manager (CPM) has been assigned to the certificate application, even though the applicant is able to log in and enter data in the SAS External Portal.

Process Note: Applicants use their SAS User name and password to log into the SAS External Portal.

- **Log** into the SAS External Portal using the SAS username and password.
- **Read** the System Use Notice.
- **Select** “Continue”.

Process Note: This process will take you to the SAS Home Screen.

- **SAS Menu** is located the left side of the screen, and is accessed by selecting the blue bar labeled SAS Menu.
- **Notifications** tile displays important updates about the application.
- **Messages** tile displays any direct communications to and from the FAA to the External User.
- **Broadcasts** tile shows any messages or announcements for all SAS users.

Process Note: The ? Icon in the upper right corner of the screen provides access to the External Portal User Guide. This is the primary source of information about SAS External Portal functionality.

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Viewing Certification Request Information

Process Note: Certification request information is available for view in the SAS External Portal.

From the SAS Menu;

- **Select “Certification Request”.**
 - **Certification Request** tab: The Certification Request tab allows the Applicant to review their Certification Information and Applicant Information.
 - **Certification Item Summary** tab: The Certification Item Summary tab shows the Applicant’s certification status.

Process Note: The Return to Certification Summary button is available at the bottom left on the blue SAS Menu bar while navigating the Certification Project.

Process Note: The Return to Certification Summary button will return the user to the Certification Item Summary tab for this certification project.

- **Meetings** tab: The Meetings tab allows the Applicant to electronically document meetings held with the FAA during the initial certification process outside the Schedule of Events.

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Adding a CPM

Process Note: The FAA will assign a Certification Project Manager (CPM). A CPM is required before any other members of the Certification Project Team (CPT) can be added.

Note: The Office Manager adds the CPM to the Certification Project.

Process Note: The CPM can be added from any SAS Office Roster.

From the SAS Menu;

- **Select** CH/A Team.
- **Use** the type-ahead field to find the Applicant.
- **Select** Applicant.
- **Select** “Add Person to CH/A Team”.
 - **Select:** the office of the CPM to be added to the certification project using the type-ahead field.
 - **Select:** the name of the CPM to be added to the certification project.
 - **Select:** Certification Project Manager (CPM) role.
 - **Move:** The CPM role to the Selected Roles using the >>.
- **Select** “Save”.

Process Note: Once the CPM has been added, the CPM will appear in the Name column.

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Adding Resources to a SAS Certification Project Team

Process Note: Only a CPM can add members to the Certification Project Team (CPT).

Process Note: Only one Certification Front Line Manager (CFLM) may be added to a project.

Process Note: Members of the CPT may be selected from any SAS Office Roster.

From the SAS Menu;

- **Select** "Certification Projects".
- **Select** Hyperlink of the "Applicant" from Applicant column.
- **Select** "Certification Item Summary" tab.
- **Select** "Certification Project Team" (CPT).
- **Select** "Add Person to CH/A Team".
- **Select** Office from drop down.
- **Select** Name from drop down.
- **Select** desired CPT role from "Available Roles".
- **Move** desired CPT role selection to "Selected Roles" using the >>.
- **Select** "Save".

Note: If you desire to add more team members;

- **Select** "Add Person to CH/A".

Process Note: The team member is now displayed on the Name tab.

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Submitting the Form 8310-3

Process Note: Applicants fill out “Application for Repair Station Certificate and/or Rating”, Form 8310-3 in the SAS External Portal.

From the SAS menu; Configuration (Module 1)

- **Select** “Repair Station Form 8310-3”.
- **Select** “Create 8310-3”.

Process Note: This will open a new tab for Form 8310-3.

- **Fill** out all of the required fields marked with an asterisk.
- **Select** “Submit”.

Process note: A pop-up Message box will display stating; Submitting data on the 8310-3 form does not update your configuration data in vitals automatically. Vitals data is the system of record.

- **Select** “OK”.

Process note: A pop-up Confirmation box will display stating; your application for the Repair Station Certificate and / or Rating has been submitted.

NOTICE: Prior to the FAA assigning a CPM, Applicants may perform Steps 10 – 13 in any order, with the exception of submitting the data to the FAA.

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Submitting a Schedule of Events (SOE)

Process Note: Applicants must submit a Schedule of Events (SOE) to the FAA to set a timeline for the certification process.

Note: The SOE cannot be submitted in the SAS External Portal until the FAA assigns a CPM to the project.

From the SAS Menu;

- **Select** "Schedule of Events".
- **Enter** Data in the Event Status and Original Proposed Date (Appl) fields.
- **Request** a date to be scheduled for the event.
- **Select** "Save" when finished adding all the events and dates.
- **Select** "Submit to FAA" to send to FAA.

Process Note: The SOE options include:

- **Reset**
- **Save**
- **Submit** to FAA

Process Note: There are five event status options:

1. **Planned:** Applicant has entered a date for the event
2. **Revised:** The event date has been revised
3. **Baselined:** The event date has been accepted
4. **Complete:** Event is completed
5. **N/A:** The event does not pertain to the Applicant

Process Note: There are six SOE statuses:

1. **Draft:** Applicant has saved but not submitted the form.
2. **Submitted:** Applicant has submitted the form to the FAA for review.
3. **In Review:** FAA is reviewing the form.
4. **Returned:** FAA has returned the form to the Applicant for modification.
5. **Accepted:** FAA has accepted all dates on the form.
6. **Completed:** All events on the form are complete.

NOTICE: Prior to the FAA assigning a CPM, Applicants may perform Steps 10 – 13 in any order, with the exception of submitting the data to the FAA.

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Document Management

Process Note: The FAA cannot view documents until they are uploaded.

Note: Four folders are provided for the Applicant.

From the SAS Menu;

- **Select** “Document Management”;
 - **Formal Application:** Where documents that are included in the Formal Application are uploaded. (Initial Certification).
 - Applicant uploads documents required for the formal application. (Initial certification).
 - Applicants must upload documents individually.
 - Files are not submitted individually, but can only be submitted when all required documents are uploaded.
 - Submit Documents button will only become active after all required files are present.
 - The Applicant and the FAA may transfer documents between each other, but all documents must be submitted as a group.
 - **Other Certification:** Applicant uploads supporting certification documents that are not listed as part of the Formal Application Folder. (Initial Certification).
 - Applicant can upload these documents individually, but all documents must be submitted as a group.
 - **Configuration Changes:** Items in this folder are automatically uploaded from SAS Module One, Configuration Module 1 (Read Only).
 - **Data Collection:** Items in this folder are automatically uploaded from SAS Module Four, Data Collection Module 4. (Read Only).

To upload a required document;

- **Select** the “Formal Application” folder.
- **Select** “Upload” next to desired document category.
- **Select** “Browse”.
- **Select** the file to upload.
- **Select** “Open”.
 - The selected file is visible in the Select Document field.
- **Select** “Upload”.
 - The uploaded file is now visible under File Name.
- **Select** “Submit Documents”.
- **Select** “OK”.

Document Management (cont.)

Process Note: The completed 8310-3 Form, Application for Repair Station Certificate and/or Rating, may be uploaded at this time, if available.

Process Note: All required documents must be submitted at the same time. The “Submitted Documents” button will only become “Active” after the applicant uploads all required documents.

To upload a document into the “Other Certification” folder;

- **Select** the “Other Certification” folder.
- **Select** “Attach Document”.
- **Select** “Browse”.
- **Select** the file to upload.
- **Select** “Open”.
 - The selected file is visible in the Select Document field.
- **Select** “Select Document Category”.
- **Select** “Upload”.
 - The uploaded file is now visible under File Name.
- **Select** “Submit Documents”.
- **Select** “OK”.

Process Note: There are five document statuses in the Formal Application and Other Certification folders:

1. **Uploaded:** This document has been uploaded.
2. **Submitted:** The Applicant has submitted the form to the FAA for review.
3. **Returned:** The document has been reviewed by the FAA and returned for correction.
4. **Accepted for Review:** The document has been accepted for review/full design assessment.
5. **Designed Affirmed:** The Design Assessment has been successful. All documents are acceptable / approvable.

Process Note: A Warning will appear anytime there is a failure to upload.

NOTICE: Prior to the FAA assigning a CPM, Applicants may perform Steps 10 – 13 in any order, with the exception of submitting the data to the FAA.

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Configuration Data

Process Note: The Configuration Data for an Applicant will vary depending on the Applicant's 14 CFR Part, however, the site navigation is the same for all 14 CFR Parts.

From the SAS Menu;

- **Select** "Configuration Data".

Process Note: All of the Operations Specifications paragraphs for a particular CFR part are displayed:

- The grayed- out checked boxes represent which paragraphs are required for the CFR part.
- The checked box represents a proposed OpSpec paragraph.
- The unchecked box represents an OpSpec paragraph that is not issued and is not currently proposed.
- **Place** a checkbox next to proposed paragraph.
- **Select** "Save" when the selections are complete.

Process Note: "Reset" will return OPSS to most recently saved update for the Applicant.

- **Select** "Vitals" sub- tab.
- **Update** fields as appropriate.
 - To quickly navigate within the Vitals data, use the hyperlinks in the Table of Contents.
 - If the fields are blank, a value of 0 must be added.
- **Select** "Save" to save input data

NOTICE: Prior to the FAA assigning a CPM, Applicants may perform Steps 10 – 13 in any order, with the exception of submitting the data to the FAA.

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Generating/Performing Data Collection Tools (DCTs)

Process Note: The Applicant must generate DCTs to be completed and submitted to the FAA.

Process Note: The Certification Project Manager (CPM) must be assigned before DCTs can be submitted.

From the SAS Menu;

- **Select** "Certification Request".
- **Select** "Generate DCTs".

Process Note: An information pop-up window will appear.

- **Select** "OK"
 - If the Operational Profile changes after DCTs are generated, the Applicant must Generate DCTs again to include any updates.

Process Note: When you regenerate DCTs:

- Any new DCTs now required as a result of your configuration data change are added to your list of DCTs.
- Any DCTs no longer needed as a result of your configuration data change are removed from your list of DCTs.
- Existing DCTs that are not impacted by the change to your configuration data remain in place. Previously answered questions in the DCT retain their answers.
- Existing DCTs with individual questions impacted by the change to your configuration data remain in place. Impacted questions within the DCT are added, removed, or have their answers removed, as appropriate. Previously answered questions in the DCT not impacted by the change retain their answers.

Note: Once you submit your completed DCT package to the FAA, you cannot regenerate DCTs unless and until the FAA has returned them to you.

Generating/Performing Data Collection Tools (DCTs) (cont.)

From the SAS Menu;

- **Select** “Data Collection Tools”.

Process Note: The Select DCT screen displays all of the DCTs that are available to complete and submit to the FAA.

- To view a DCT, **Select** hyperlink of Label or Title of desired DCT.

Process Note: This displays the Prepare DCT screen.

Note: The user can print the DCT by selecting the Review and Print DCT on the DCT- to- Go panel.

- **Select** “Continue” to begin entering data.

Process Note: This displays the Enter Common Data Fields tab.

- **Enter** Start Date, End Date, and any applicable information. All attached documents will be available for review in Document Management.
- **Select** “Save”.
- **Select** “Perform DCT” tab.

Process Note: This displays the Question and Answer screen.

Process Note: The Perform DCT tab allows for;

- List View
- Question Detail View
- Full View
- To answer, **Select** “Question”.

Process Note: There are four types of responses.

- **Select** a response for each question.
 - **Positive**, (green +) any positive response will require a Design/Manual Reference be entered.
 - **Negative**, (red -), will require the applicant to enter response details and a supporting comment.
 - **N/A**, question does not apply to the applicant’s scope of operations.
 - **Flagged**, the applicant can remind themselves to collect more data to answer the question, or more follow-up information is required.

Generating/Performing Data Collection Tools (DCTs) (cont.)

Process Note: For a “Negative” answer or “N/A”.

- **Select “Response Details”.**
 - Select the checkboxes for all the response details that apply to this question under “Select All Those that Apply”.
 - After selecting response details, enter required supporting comments in the “Supporting Comment” field.
 - Selecting “Other” requires supporting comments.
- **Select “OK”** to return to the “Perform DCT” tab.
- **Select “Check DCT”** tab.

Note: If there are DCT discrepancies present, icons for each of the three review reasons on the “Check DCT” tab can be corrected.

- **Blue Flag**, Flagged for comment. A flagged question does not count as an incomplete question, but the flag must be cleared and the question answered before the DCT can be submitted.
 - **Select “Clear Flag”**
- **Yellow Box**, the question is Blank.
 - **Answer** the question
- **Red “Required” Box**, Missing required fields.
 - **Fill** in the missing required field.

Process Note: When there are missing questions and/or missing required fields, the DCT will not appear on the “Submit DCT” tab.

- **Select “Submit DCT”** Tab.
- **Select** checkbox(s) of the DCT(s) to submit to the FAA.
 - **Select** all DCTs for submission to the FAA using a single checkbox in the header row of the DCT list grid.
- **Select “Submit to FAA”.**

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Navigating the Certification Projects tab

Process Note: The following process steps are for familiarization purposes.

Process Note: When added to a certification project, team members gain access to the “Certification Projects” tabs.

Note: The “Certification Projects” tab displays a list of all assigned projects.

From the SAS Menu;

- **Select** “Certification Projects”.
- **Select** “Applicant” hyperlink in the Applicant column to open the “Certification Request” tab for that Applicant.

Process Note: The Certification Request tab is the default tab. The Certification Request tab displays Certification information and Applicant information.

- **Select** “Certification Item Summary” tab to navigate between SAS modules for the project.

Process Note: The Return to Certification Summary button is available at the bottom left on the blue SAS Menu bar while navigating the Certification Project.

Process Note: The Return to Certification Summary button will return the user to the Certification Item Summary tab for this certification project.

- **Select** “Meetings” tab to document meetings between the Applicant and the FAA.
- **Select** “Certification Disposition” tab to transition the applicant into “Active” certification status in SAS.

Process Note: The FAA should always use the “Certification Item Summary” tab when manipulating automation for a certification project.

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Verifying Externally-submitted Applicant Configuration Data

Caution: Do not select the “Prevalidate Button” prior to the association of the designator in Step 19.

Process Note: The FAA will review submitted configuration data submitted through the SAS External Portal.

From the SAS Menu;

- **Select** “Certification Projects”.
- **Select** “Applicant” hyperlink in the Applicant Column.
- **Select** “Certification Item Summary” tab.
- **Select** “Configuration Data” hyperlink.
- **Select** “Operations Specifications” sub-tab to verify all proposed operations specifications are accurate.
- **Select** “Vitals tab” sub-tab to verify all information is accurate.
- **Select** “Contractors tab” sub-tab to verify all contractors are listed.
- **Select** “Operating Profile tab” to verify all the information is accurate.

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Completing the Steps Prior to Accepting the Formal Application

Process Note: The Schedule of Events (SOE) is a list of each major item, activity, program, aircraft, and/or facility acquisition submitted by the Applicant.

Note: When reviewing the SOE, the CPT must carefully consider the proposed schedule in regards to the following criteria:

- Logic of sequence.
- Timeliness of Events.
- Completeness of Events.
- Inspector or other FAA resource availability.

From the SAS Menu;

- **Select** “Certification Projects”.
- **Select** “Applicant” hyperlink in the Applicant Column.
- **Select** “Certification Item Summary” tab.
- **Select** “Schedule of Events (SOE)”.
- **Select** “Applicant” hyperlink in the Applicant Column.
- **Review** the Event Status, Original Proposed Data (Applicant), and Applicant Comments.
- **Respond** to the Event Status. Include any updated dates and any FAA comments into each Cell.
- **Select** “Save”.
- **Select** the appropriate option.
 - “Accept” to accept the SOE. Include applicable comments
 - “Return SOE to Applicant” to return to applicant. Include applicable comments.
 - “Go to Record List” to return to the SOE Record List screen.

Process Note: To add an Event, select one of the two options.

- **Select** “Above” to add event above the highlighted event.
- **Select** “Below” to add event below the highlighted event.

Process Note: To remove an added Event,

- **Select** “Delete the Selected Event”.

Completing the Steps Prior to Accepting the Formal Application (cont.)

Process Note: All members of the CPT can access the Document Management files. All folders created in Document Management during certification will remain with the certificate after the certification status becomes “Active”.

From the SAS Menu;

- **Select** “Certification Projects”.
- **Select** “Applicant” hyperlink in the Applicant Column.
- **Select** “Certification Item Summary” tab.
- **Select** “Certification Documents” hyperlink.

Process Note: There are six default folders:

1. Formal Application.
2. Other Certification.
3. Configuration Changes.
4. Data Collection.
5. Action Item Tracking Tool.
6. Preapplication/CSOP

Process Note: For the Formal Application and/or Other Certification folders disposition.

- **Place** a check in the Check box next to Desired Document.
- **Select** “Disposition”.
- **Select** one of the options in Status field.
 - Accepted for Review.
 - Returned.
- **Enter** message.
- **Select** “Send”.
- **Select** “OK”.

Repeat until all documents have been dispositioned.

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Contact AFS-620

Note: The CPM will request the Designator Code from AFS-620. The CPM will send the email to: 9-AMC-AFS620-Certinfo@faa.gov

Note: This email is completed outside of SAS.

Provide AFS-620 with the following information:

- Full official name of company.
- Address of proposed base of operations.
- Name of proposed management personnel.
- Type of certificate and 14 CFR part.
- Proposed start-up date.
- Designator of any current or previous certificates held by the applicant.
- Part 145; include parent repair station designator for a satellite application.
- Designator of field office.

Note: AFS-620 will send the CPM a confirmation email of status change, with the Designator Code, after the update has been applied to the system. This can take up to 24 hours.

From the SAS Menu;

- **Select** "Certification Projects".
- **Select** "Applicant" hyperlink from Applicant column.
- **Select** "Certification Request" tab.
- **Select** the assigned designator from the drop down menu.
- **Select** "Save".

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Prevalidate Configuration Data

From the SAS Menu;

- **Select** "Certification Projects".
- **Select** "Applicant" hyperlink in the Applicant Column.
- **Select** "Certification Item Summary".
- **Select** "Configuration Data".
- **Select** "Vitals".
- **Select** "Prevalidate".
- **Fix** any errors
- **Select** "Save".
- **Select** "Prevalidate".
- **Select** "OK".

Process Note: If SAS cannot be updated, SAS Automation will list the empty required fields.

Note: If the error, "The Class 135 is empty and is a required field", is shown, select the hyperlink of the "Make Model Series". Fill in the correct Aircraft details.

Note: If the validation is successful, a pop-up window will appear.

- **Select** "OK".

FOR CFR PART 121, PHASE 2 BEGINS IAW 8900.1 GUIDANCE VOLUME 2 CHAPTER 3
FOR CFR PART 135, PHASE 2 BEGINS IAW 8900.1 GUIDANCE VOLUME 2 CHAPTER 4
FOR CFR PART 145, PHASE 2 BEGINS IAW 8900.1 GUIDANCE VOLUME 2 CHAPTER 11

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Accept Formal Application

Process Note: The CPM accepts the formal application.

From the SAS Menu;

- **Select** “Certification Projects”.
- **Select** “Applicant” hyperlink in the Applicant Column.
- **Select** “Certification Request tab”.
- **Place** a check in the checkbox by Pre Application Checklist Complete”.

Process Note: The Pre Application Checklist Complete checkbox signifies that all pre application steps have been completed. Once the Preapplication checkbox is selected, the “Accept Formal Application” button becomes active.

Process Note: Enter optional comments in the FAA comments field when updating certification projects. Best practice is to include the date, initials, and other information (such as information about the initial meeting).

WARNING: **THIS ACTION IS IRREVERSIBLE.**

- **Select** “Accept Formal Application”.
- **Select** “OK”.

Process Note: Once the “Accept Formal Application” button is selected; a pop-up window will appear to confirm the applicant is now in a Pre-Certified status.

- **Select** “OK”.

Process Note: Once the Formal Application has been Accepted by the FAA, the Applicant can no longer modify Configuration Data

Process Note: Wait a minimum of 60 minutes prior to selecting the “Generate CAP” button.

Process Note: An applicant cannot submit additional DCT(s) in SAS automation after the Comprehensive Assessment Plan (CAP) has been generated.

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Completing DCT Review

Process Note: After the applicant completes and submits the ED DCT(s), the CPT will review the DCT(s) for completeness and accuracy per guidance.

From the SAS Menu;

- **Select** “Certification Projects”.
- **Select** “Applicant” hyperlink in the Applicant Column.
- **Select** “Certification Item Summary” tab.
- **Select** “Data Collection Tools (DCTs) – Applicant Submitted” hyperlink.
- **Select** hyperlink for the Title or Label of the DCT.

Process Note: The “CH/A Provided” checkbox indicates the data is provided by the applicant.

Process Note: To make the DCT available for data reporting:

- **Select** “Approve DCT” and proceed to [Step 24.](#)
- If the CPM is going to return the DCT, proceed to [Step 22.](#)

Process Note: Only the CPM can accept the applicant entered data by selecting the Approve DCT button. The data that is submitted to the CPM does not have to meet data quality guidelines (DQG). The data will be further reviewed in the process and be held to the DQG when the ASI submits the data to the CPM for Data Review Prior to AAA.

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Returning Applicant ED-DCTs

Process Note: Only the CPM can select “Return DCT”.

- **Select** “Return DCT”.
- **Enter** comments in the “Insert Comment” box prior to returning.
- **Select** “Send”.

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Updating and Resubmitting DCT(s)

Process Note: If the FAA returns a DCT to the applicant, the applicant must update the DCT and resubmit the DCT in the SAS External Portal.

Note: A Notification will appear in the Notifications tile alerting the applicant of the returned DCT.

From the SAS Menu;

- **Select** “Data Collection Tools.”
- **Select** title of returned DCT.
- **Select** The question with the Data Review (DR) marked “Y”.

Process Note: The Data Reviewer (DR) selections can be filtered utilizing the filter icon; SAS automation has a filter feature to easily identify which questions have data reviewer comments.

- **N**, no comments.
- **Y**, has comments.
- **Select** the question you wish to review.

Process Note: The applicant will utilize the same process they followed when submitting the original DCT. After the Data Reviewer Comments have been addressed:

- **Select** “Submit DCT” Tab.
- **Select** checkbox(s) of the DCT(s) to submit to the FAA.
- **Select** all DCTs for submission to the FAA using a single checkbox in the header row of the DCT list grid.
- **Select** “Submit to FAA”.

Process Note: After the applicant completes and re-submits the ED DCT(s); the CPM will return to [Step 21](#). and repeat the process.

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Generate CAP

Process Note: Wait a minimum of 60 minutes prior to selecting the “Generate CAP” button after accepting the formal application in Step 20.

Process Note: An applicant cannot submit additional DCT(s) in SAS automation after the Comprehensive Assessment Plan (CAP) has been generated.

From the SAS Menu;

- **Select** “Certification Projects”.
- **Select** “Applicant” hyperlink from applicant column.
- **Select** “Certification Request” tab.
- **Select** “Generate CAP”. This can take up to 24 hours.
- **Select** “OK”.

From the SAS Menu;

- **Select** “Certification Projects”.
- **Select** “Applicant” hyperlink in the Applicant Column.
- **Select** “Certification Item Summary”
- **Select** “Comprehensive Assessment Plan (CAP) hyperlink Module 2 (Planning).

Process Note: After the Initial Certification items have been generated on the CPM’s CAP, the data collection tools must be planned and resourced.

Process Note: The CPM will change Configuration Data as required.

Process Note: The CPM will select the “Regenerate CAP” button when required to reflect changes to the Configuration Data.

Process Note: When you regenerate DCTs:

- Any new DCTs now required as a result of your configuration data change are added to your list of DCTs.
- Any DCTs no longer needed as a result of your configuration data change are removed from your list of DCTs.
- Existing DCTs that are not impacted by the change to your configuration data remain in place. Previously answered questions in the DCT retain their answers.
- Existing DCTs with individual questions impacted by the change to your configuration data remain in place. Impacted questions within the DCT are added, removed, or have their answers removed, as appropriate. Previously answered questions in the DCT not impacted by the change retain their answers.

Generate CAP (cont.)

Process Note: Only the Certification Frontline Manager (CFLM) or the Frontline Manager (FLM) can use the Resource Work List to assign resources to DCT(s).

Process Note: In the case where the CPT is comprised of personnel from different offices, any FLM from the Inspector's office may resource DCTs recommended by the CPM.

FOR CFR PART 121, PHASE 3 BEGINS IAW 8900.1 GUIDANCE VOLUME 2 CHAPTER 3
FOR CFR PART 135, PHASE 3 BEGINS IAW 8900.1 GUIDANCE VOLUME 2 CHAPTER 4
FOR CFR PART 145, PHASE 3 BEGINS IAW 8900.1 GUIDANCE VOLUME 2 CHAPTER 11

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Apply Applicant DCT Answers to Internal DCT

Process Note: After the CAP is generated the applicant's DCT data populates into the ED DCTs.

Process Note: See 8900.1 Guidance, 10-1-2-5(E)(3), "An EPA may be accomplished following the completion of an Element Design Assessment (EDA) to verify the certificate holder's or applicant's system is performing as intended."

Process Note: After the EDA has been planned and resourced, the CPT will perform the ED DCTs from the Certification Projects.

From the SAS Menu;

- **Select** "Certification Projects".
- **Select** "Applicant" hyperlink from applicant column.
- **Select** "Certification Item Summary" tab.
- **Select** "Data Collection Tools (DCTs) - FAA".
- **Select** Hyperlink for the Title or Label for DCT to review.

Process Note: This will open the "Prepare DCT" tab to conduct and acknowledge pre-inspection checklist activities in preparation for data collection.

Process Note: The "CH/A Provided" checkbox on "Enter Common Data Fields" tab is checked by default.

- **Select** "Save" after applicable fields on the "Enter Common Data Fields" have been populated.
- **Select** "Perform DCT" tab.
- **Select** the question to review.

Process Note: The CPT will review the remaining DCT questions by either leaving the response from the applicant or entering their own data. This is completed on a question by question basis allowing for combination of both applicant and/or FAA provided data.

Apply Applicant DCT Answers to Internal DCT (cont.)

Process Note: The DCT will not appear on the “Submit DCT” tab if there are any errors (questions requiring review) on the “Check DCT” tab.

- **Select** “Check DCT” tab. Make any corrections, as necessary.
- **Select** “Submit DCT” tab.
- **Select** all DCTs for submission to the FAA using a single checkbox in the header row of the DCT list grid.
- **Select** “checkbox(es)” of the DCT(s) to submit.
- **Select** “Submit”.

Process Note: To complete the final steps in the EDA, the CPM must complete Data Review (SAS Module 4) and AAA (SAS Module 5). When performing Data Review and AAA, the CPM must;

- Ensure the “Expanded View” is deselected.
- Ensure the “Specialty” drop down menu selection is “Both”.

The data that was applicant provided will be indicated in the SAS Data Review module by a checked box. It will not be identified as such in the AAA module.

Process Note: The CPM can add EPAs and Custom DCTs to the CAP using the standard process.

Process Note: The CPM will review the Vitals for the Applicants Configuration Data.

Process Note: If the DCT has negative findings and the program is not going to be approved then do not submit the DCT. Return the manuals to the applicant for resubmission, outside the SAS automation, and keep the DCT open. When the applicant resubmits the manuals, create a duplicate question for the subsequent manual review. Include enough detail to the comments to reflect the applicable iteration of the manual submission. Submit the DCT when the DCT reflects the program is ready to be approved, and forward it through Data Review and AAA.

FOR CFR PART 121, PHASE 4 BEGINS IAW 8900.1 GUIDANCE VOLUME 2 CHAPTER 3
FOR CFR PART 135, PHASE 4 BEGINS IAW 8900.1 GUIDANCE VOLUME 2 CHAPTER 4
FOR CFR PART 145, PHASE 4 BEGINS IAW 8900.1 GUIDANCE VOLUME 2 CHAPTER 11

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Assigning Principal Inspector

Note: Prior to making the certificate active, the CPM should ensure that PIs have been assigned to the certificate.

Process Note: Per FAA policy, Office Managers have the responsibility to assign PIs. The SAS User Administration functionality allows the Office Manager role, SAS Office and Super Administrator roles to add PIs to the certificate in the automation.

Note: If a PI is currently not on the CPT;

From the SAS Menu;

- **Select** "CH/A Team".
- **CH/A:** Use the type Ahead field to find the CH/A.
- **Select** "CH/A".
- **Select** "Add Person to CH/A Team".
- **Select** Office from drop down.
- **Select** Name from drop down.
- **Select** desired PI role from "Available Roles".
- **Move** desired PI role selection to "Selected Roles" using the >>.
- **Select** "Save".

Note: If a PI is currently on the CPT;

- **Select** "CH/A Team".
- **CH/A:** Use the type Ahead field to find the CH/A.
- **Select** "CH/A".
- **Select** hyperlink of Name of the CPT member.
- **Select** desired PI role from "Available Roles".
- **Move** desired PI role selection to "Selected Roles" using the >>.
- **Select** "Save".

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Setting a Certificate to Active in FAAMIS

FOR CFR PART 121, PHASE 5 BEGINS IAW 8900.1 GUIDANCE VOLUME 2 CHAPTER 3

FOR CFR PART 135, PHASE 5 BEGINS IAW 8900.1 GUIDANCE VOLUME 2 CHAPTER 4

FOR CFR PART 145, PHASE 5 BEGINS IAW 8900.1 GUIDANCE VOLUME 2 CHAPTER 11

Process Note: Disposition and Administrative actions are the final steps when updating the certificate status to Active.

Note: Prior to making the certificate active, the CPM should ensure that PIs have been assigned to the certificate.

Process Note: The CPM will contact AFS-620 and request a certificate status change from Pre-Cert to Active. The update from AFS-620 will not update the certificate status to Active in SAS. The CPM will send the email to: 9-AMC-AFS620-Certinfo@faa.gov.

Provide AFS-620 with the following information:

- Full official name of company.
- Address of proposed base of operations.
- Name of proposed management personnel.
- Type of certificate and 14 CFR part.
- Proposed start-up date.
- Designator of any current or previous certificates held by the applicant.
- Part 145; include parent repair station designator for a satellite application.
- Designator of field office.

Note: AFS-620 will send the CPM a confirmation email of status change after the update has been applied to the system. This can take up to 24 hours.

Process Note: For CFR Part 121 & 135, [continue to Step 29](#).
For CFR Part 145, [continue to Step 28](#).

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Setting a Part 145 Certificate to Active (Form 8310-3)

Process Note: For 14 CFR Part 145 applicants, the FAA must complete Form 8310-3 before the certification can be made “Active” in SAS.

Process Note: The CPM populates the 8310-3 (FAA) tab items 6-10.

- **Select** “Certification Projects”.
- **Select** “Applicant” hyperlink in the Applicant Column.
- **Select** “Certification Item Summary”.
- **Select** “Form 8310-3 (FAA)” tab.
- **Review** and comply with the Warning pop-up window.
- **Select** “OK”.
- **Select** the proper checkbox(s) under the “Findings - Recommendations” section for the applicant.

Process Note: CPM uses Block 9 FAA Inspectors; List the office and inspectors who performed the inspection.

- **Enter** the Certificate number received from AFS-620 for the disposition request.
- **Complete** the Disposition Request section and approve the certificate.
- **Select** “Save”.
- **Select** “Submit”.
- **Select** “OK”

Process Note: The “Approve Complete” pop-up window will appear once the disposition has been submitted.

Note: The Applicant’s status on the “8310-3 Forms” tab will now show “Approved”.

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Setting a Certificate to Active in SAS

Process Note: The FAA can update the certificate status to Active in SAS for all CFR parts only after completing each of the previous steps.

From the SAS Menu;

- **Select** “Certification Projects”.
- **Select** “Applicant” hyperlink in the Applicant Column.
- **Select** “Certification Item Summary” tab.
- **Select** “Configuration Data” hyperlink in Module 1 (Configuration).
- **Validate** information in “Operations Specifications” and “Contractors”.
- **Select** “Save”.
- **Select** “Vitals” sub-tab.
- **Correct** all deficiencies.
- **Select** “OK”.

From the SAS Menu;

- **Select** “Certification Projects”.
- **Select** “Applicant” hyperlink in the Applicant Column.
- **Select** “Certification Disposition” tab.
- **Enter** appropriate comments in the “FAA Comments” field.

Process Note: All assessments will be completed to approve initial certifications.

WARNING: The “Approve Certification with Incomplete Assessments?” should not be selected unless allowed by policy.

- **Select** “Approve” to change the Applicant to Active.
- **Select** “OK”.

Process Note: After selecting “Approve” an information pop-up window will appear to confirm that the certification status has been set to Active. The CPM and all CTMs will automatically have their roles removed by the SAS automation.

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Step 1... Additional User Registration Process

Additional User Registration Process

Process Note: The person that submitted the Preapplication Information must be provisioned and Dispositioned prior to adding additional User Names under Option 2.

Process Note: For Option 2 to be completed successfully, the Preapplication Information must have been Accepted for Resource Analysis (RA).

Process Note: External users have the ability to register for additional CH/As. External users will complete the FAA provisioning only one time. If users already have an FAA ID, they need to ensure that it is active and they have a current password. Users will need to complete *Sign Up for SAS* for each CH/A they wish to be associated with. For each subsequent CH/A, users must use the same email address when completing *Sign Up for SAS* for all CH/As in order for their data to be associated properly with their one account. Users must wait until after they have completed one registration request before they begin another one.

- **Select** <https://sas.faa.gov>.
 - Review SAS External Information Guide, i.e. Step by Step Guides and Q-Cards
- **Complete** Safety Assurance System (SAS) [External Portal Training](#).
- **Select** <https://sas.faa.gov>.
- **Select** “Sign up for SAS” link.
- **Enter**
 - First Name.
 - Last Name.
 - Email address.
- **Select** “Submit” button.

Process Note: External Users receive an email confirmation when they have successfully submitted their request to associate their SAS User ID with a new or existing application.

Process Note: A confirmation screen will appear, and a request for a SAS User ID has now been submitted.

Appendix

14 CFR 121/135/145

Step 1... Additional User Registration Process (cont)

Additional User Registration Process (Cont.)

Process Note: Applicants will receive an email with a link to the page where they will choose a submission option and continue the SAS External Portal registration process.

Process Note: This link is a one-time use link, and only valid for 24 hours.

Process Note: The Applicant receives an e-mail link from the FAA to continue the process of registering to obtain a SAS User ID.

- **Open** the email.
- **Click** on the link to open the SAS registration page.
- **Select** radio push button for “My Company’s Pre-Application Information has already been submitted”.
- **Select** “Next”.
- **Type** your company name in the first field of the “My Contact Information” form.
- **Select** your company name from the drop down menu.

CAUTION: **Ensure the proper Company Name is selected to prevent automation errors.**

- **Click** on your company name to populate the first field.
- **Finish** filling in the “My Contact Information” form, including phone number.
- **Select** “Next”.
- **Verify** the information.
- **Select** “Submit”.

Process Note: A Confirmation screen will appear stating “Your application for registration has been submitted”.

Through these steps the Additional User has associated their company’s existing Pre-Application to their SAS User ID request.

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Step 3... Provisioning

Step 3.1...Microsoft Edge (Windows 10) users can access the FAA Provisioning Portal in Capability Mode

Step 5... Dispositioning Additional User

Dispositioning Process (Additional User: Option Two)

Process Note: The following steps are subsequent to a User Administration Notification being sent to the FAA SAS Office POC.

From the SAS Menu;

- **User** Administration.
- **Select** “External User Registration”.
- **Select** the tracking number.
- **Verify** the contact information.
 - Verify external user used correct option when submitting registration request. (Submission Option Section).
 - Indicates “Existing Applicant”.
- **Select** “Edit Request” if information needs to be changed.
- **Select** appropriate Disposition Request from the three options;
 - **Approve:** This will send an email to the certificate holder.
 - **Reroute:** This will send a notification to the SAS Office POC at the selected FSDO.
 - **Denied:** This will send an email to the certificate holder that states “This email address Jane.Doe@gmail.com has been denied access to the SAS External Portal for DALR, DELTA AIR LINES INC. If you have further questions, please contact the SAS Office Point of Contact at your local FSDO/CMO.”

Process Note: A Warning message will appear that states “You are about to deny this External SAS User registration request. By completing this action, the email address Jane.Doe@gmail.com will be denied access to DALR, DELTA AIR LINES INC.”

Step 5... Dispositioning Additional User (cont)

Process Note: Enter additional text if appropriate. This is especially useful when a dispositioned request of either Reroute or Denied is selected.

- **Select** “Submit”.

Process Note: A Confirmation Message will appear. SAS automatically notifies the requestors via email of the disposition of their SAS User ID requests.

Step 20... Accepting Formal Application

18.1...Selecting the **Accept Formal Application** button now does the following:

- The application's status changes to *Precert (P)* status (the change can take up to 10 minutes to appear in SAS).
- The applicant's SAS Vitals data is synched with eFSAS.
- The External Portal user receives a notification that their formal application has been accepted.
- External Portal users can continue to generate, complete, and submit DCTs in the SAS External Portal.
- The External Portal user can no longer update configuration data via the SAS External Portal. Going forward, any changes to configuration data must be made by the FAA using SAS Automation.

Note: This change cannot be rolled back.

The change to *Precert (P)* status no longer causes the CAP to be generated.

Step 24... Generate CAP

24.1...In accordance with the SAS Release Notes v1.4 Patch 3, the following changes in SAS are a result of selecting “Generate CAP”:

24.2...Selecting the **Generate CAP** button now does the following:

- The applicant can no longer generate, complete or submit DCTs via the SAS External Portal.
- The FAA can no longer review/accept/return Applicant-submitted DCTs.

Step 24... Generate CAP (cont.)

- The FAA can now complete ED DCTs and EDAs, EPAs, C DCTs, etc., and AAA.
- The Regenerate CAP button on the Certification Request tab is enabled for any subsequent changes to scoping.
- The Generate DCT button on the External Portal user's Certification Request tab is now disabled.
- The Prepare DCT, Enter Common Data Fields, Perform DCT, and Check DCT tabs for the External Portal user are now disabled.
- The Submit to FAA button on the Submit DCT tab for the External Portal user is now disabled.

Note: Once an applicant's CAP has been generated, if subsequent changes are made to the applicant's configuration data, the CPM will need to regenerate the CAP. This ensures that the CAP is up to date, that the new configuration data is synched to eFSAS, and the current scoped in DCTs are available. The "Regenerate CAP" button is only enabled for the CPM.

Step 25...Apply Applicant DCT answers to internal DCT.

25.1...In accordance with the SAS Release Notes v1.4 Patch 3, the following changes have been made to the Initial Certification CAP after the certification project is made "Active":

25.2...When a certificate goes from *Precert* to *Active*:

- Any Initial Certification assessments that are not already closed will auto-close. (In addition to the CH/A's EDAs, this includes any SPAs, EPAs, and Custom DCTs added by a CPM.)
- On the CAP, the auto-closed assessments will remain in the quarter in which the CH/A went Active. Their icons will remain white. As time passes they will move to the left of the CAP's green bar and after six quarters drop off of the CAP entirely.
- Actions added during AAA to an assessment that was closed prior to the certificate going Active (and so was not auto-closed) will remain open and PIs can continue to act on them.

Note: For those CHs that have previously transitioned to Active in SAS, the EDAs will be auto-closed and stay in the quarter at the time of this release into production.

Step 29... Setting a Certificate to Active in SAS

29.1...The PIs will not be able to view the Certification Project in SAS and the CH will not appear on the PI's CAP until the certificate status is Active.

29.2... Scheduled assessments for the active certificate will populate onto the PI's CAP.

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