**Flight Standards Automation System**

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# Program Tracking and Reporting Subsystem Procedures Manual Reissue

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# Acronyms

| Term | Definition |
|---|---|
| AFS | Flight Standards Service |
| AFS-620 | Aviation Data Systems Branch |
| AFSS | Automated Flight Service Station |
| AMC | Air Mobility Command |
| APM | Assessment and Planning Module |
| APU | Auxiliary Power Unit |
| ASAS | Aviation Safety Analysis System |
| ASI | Aviation Safety Inspector |
| AST | Aviation Safety Technician |
| ATC | Air Traffic Control |
| ATIS | Automatic Terminal Information System |
| ATOS | Air Transportation Oversight System |
| AVS | FAA Associate Administrator for Aviation Safety |
| AWOS | Automated Weather Observing Systems |
| BPM | Business Program Manager |
| CDL | Configuration Deviation List |
| CFR | Code of Federal Regulations |
| CHDO | Certificate Holding District Office |
| CMO | Certificate Management Office |
| CMU | Certificate Management Unit |
| CPM | Certification Program Manager |
| CSD | Constant Speed Drive |
| DO | District Office |
| DOD | Department of Defense |
| EE | Elastic Expansion |
| EIR | Enforcement Investigative Report |
| EPI | Element Performance Inspection (ATOS) |
| FA | Flight Attendant |
| FAA | Federal Aviation Administration |

| Term | Definition |
|---|---|
| FAR | Federal Aviation Regulation |
| FE | Flight Engineer |
| FOEB | Flight Operations Evaluation Board |
| FOIA | Freedom of Information Act |
| FSAIC | Flight Standards Safety Analysis Information Center |
| FSAS | Flight Standards Automation System |
| FSDO | Flight Standards District Office |
| FSIB | Flight Standards Information Bulletin |
| FSIMS | Flight Standards Information Management System |
| FY | Fiscal Year |
| GAO | Government Accounting Office |
| ID | Identification |
| IFO | International Field Office |
| JTA | Job Task Analysis |
| LAN | Local Area Network |
| MEL | Minimum Equipment List |
| MSL | Mean Sea Level |
| NEP | National Evaluation Program |
| NFSAS | National Flight Standards Automation System |
| NPG | National Flight Standards Work Program Guidelines |
| NPTRS | National Program Tracking and Reporting Subsystem |
| NTSB | National Transportation Safety Board |
| NVIS | National Vital Information Subsystem |
| OASIS | On-Line Aviation Safety Inspection System |
| OIG | Office of the Inspector General |
| OTNA | Operational Training Needs Assessment |
| PASI | Preapplication Statement of Intent |
| PIC | Pilot in Command |
| P-items | Planned surveillance activities |
| POC | Point of Contact |
| PPM | PTRS Procedures Manual |

| Term | Definition |
|---|---|
| PTRS | Program Tracking and Reporting Subsystem |
| RAMPS | Regional Automated Modular Planning Software |
| RASIP | Regional Aviation Safety Inspection Program |
| RFSD | Regional Flight Standards Division |
| RSAT | Repair Station Assessment Tool |
| R-items | Required surveillance activities |
| SAI | Safety Attribute Inspection (ATOS) |
| SAWRS | Supplementary Aviation Weather Reporting Station |
| SEP | Surveillance and Evaluation Program |
| SIC | Second In Command |
| SID's | Standard Instrument Departures |
| SPAS | Safety Performance Analysis System |
| SQL | Structured Query Language |
| STARS | Standard Terminal Arrival Routes |
| TC | Type Certificate |
| TDY | Temporary Duty Station |
| TRACON | Terminal Radar Approach Control |
| U.S.C. | United States Code |
| UTR | Uniform Task Reporting |
| VIS | Vital Information Subsystem |
| WPMS | Work Program Management System |

# CHAPTER 1. GENERAL INFORMATION

## SECTION 1. HISTORY

### 1. Introduction.

The Program Tracking and Reporting Subsystem (PTRS) is a comprehensive information management and analysis system used in many Flight Standards Service (AFS) job functions. It provides the means for the collection, storage, retrieval, and analysis of data resulting from the many different job functions performed by Aviation Safety Inspectors (ASIs) in the field, the regions, and headquarters. This system provides managers and inspectors with current data on airmen, air agencies, air operators, and many other facets of the air transportation system.

The various retrieval and reporting features of this system permit managers, supervisors, principal inspectors, and others to effectively plan work programs, to prioritize activities and specific job tasks, and to analyze the safety and compliance status of various elements throughout the air transportation industry. This section provides the background and developmental considerations that resulted in PTRS, discussions and illustrations of the various components of the system, and instructions on the use of the system.

### 2. Background.

Investigations and evaluations of FAA operational procedures by Congress and other government agencies, as well as internal audits conducted by the FAA, have shown that the FAA collects a vast amount of aviation data to support its responsibility for ensuring aviation safety. These studies contain many factors the FAA must consider to obtain optimal compliance with the Federal Aviation Regulations (FARs) and safe operating practices.

One of the most important factors is a well-planned and implemented surveillance program carried out by a trained and experienced FAA inspector workforce. These studies revealed, however, that an FAA program did not exist for consistent and efficient organization and collection of data or for the timely identification and monitoring of trends involving safety in the air transportation industry.

Recognizing the need for a modern method to manage aviation data, the FAA established the Aviation Safety Analysis System (ASAS) in August 1982. ASAS was a nationally distributed information network designed to collect, store, and organize the many types of aviation safety data in a single system. ASAS consisted of several separate subsystems designed to improve the FAA's ability to gather and analyze aviation safety data within all Flight Standards offices.

The primary objectives of ASAS were: to provide data support for identifying potential and existing safety issues; to supply management with information for a more effective use of FAA resources; to provide the FAA with the ability to respond to internal and external requests for information; and to provide timely and accurate information that is accessible by all appropriate system users. ASAS has the capability to integrate and standardize current and future databases and to maintain those databases on central host computers. These host computers are linked by a telecommunications network to workstations located at all Flight Standards facilities.

In the early stages of development, however, ASAS did not address the FAA's needs to categorize and effectively analyze surveillance data in a logical and meaningful manner. An integral part of the

evolving ASAS was the Flight Standard's Work Program Management System (WPMS). WPMS provided a standard method for planning AFS's work functions and for recording the accomplishment of inspector activities. Additionally, it provided rapid access to a large volume of data and could generate reports for district offices, regions, and headquarters. The major objectives of WPMS were as follows:

- To relieve inspectors of certain paperwork and administrative activities;
- To standardize and automate the methods for programming and for recording work activities; and
- To provide an automated capability for retrieving data.

WPMS increased the efficiency of scheduling and tracking AFS work functions. The use of WPMS by AFS demonstrated that it was a viable method for taking advantage of computerized automation capabilities in work activity performance. It became apparent to many users, however, that there were ways in which WPMS could be improved to make it more useful to field inspectors and to all levels of FAA management. The computer system could be used in a manner which would allow inspectors to quickly identify trends and deficiencies that could affect aviation safety.

For work activity management to be efficient, the system should not only program and record the types of work activity performed, but also identify areas where work priorities should be changed or areas where increased or different types of activity should be accomplished. WPMS provided information on what type and how many inspections of a certain type were performed, but did not lend itself to summary reports or ad hoc reporting of the actual inspection results or comments recorded by inspectors. As a result, the Uniform Task Reporting (UTR) system was developed between 1987 and 1988 in an attempt to resolve these deficiencies.

The UTR system provided inspectors with the data processing tools needed to best accomplish their job function responsibilities. The UTR system included not only the existing WPMS functions, but also a method for readily identifying deficiencies and trends (both negative and positive). The concept included a single reporting form to collect information about many types of inspector work activities. It contained a method for specifically coding the inspector's comments or remarks about the inspection, evaluation, or observation. The codification of inspector comments took advantage of computer capabilities to generate more defined summary and ad hoc reporting. This codification made possible a variety of information strategies. After extensive field testing of the UTR system, the WPMS and UTR systems were updated and combined into one system currently known as PTRS.

FAA Order 1800.56, as revised, the National Flight Standards Work Program Guidelines (NPG), is published annually and contains the requirements for the national surveillance work program. Guidance is provided to AFS field offices for the development and execution of the annual NPG. The required inspection program provides an essential level of surveillance activity for certificate holders and establishes a baseline of information to assess the soundness of the aviation system. Beginning in FY-93, the analysis of PTRS data began to influence the development of these guidelines.

The Air Transportation Oversight System (ATOS) was implemented in FY-98 as a new approach to FAA certification and surveillance oversight, using system safety principles and systematic processes to assure that air carriers are in compliance with the CFRs and have safety built into their operating systems. The ATOS concept is currently being applied to all part 121 carriers.

# SECTION 2. GENERAL

## 1. Purpose.

This manual is referred to as the PTRS Procedures Manual (PPM) and is incorporated by reference into FAA Order 1380.51, Program Tracking and Reporting Subsystem (PTRS). The issuance of this manual supersedes the PTRS Procedures Manual dated March 4, 2004. This PPM contains direction, procedures, and guidelines to be used by AFS personnel when planning, recording, and monitoring the activities of those individuals listed in the National Inspector Table, work program accomplishments, and trends affecting aviation safety. The PPM provides references and definitions for data field relationships. The PPM is not a policy document. Policy and guidance are in the Flight Standards orders, inspector handbooks, and information bulletins. For the purposes of this document, ASI includes those persons identified in the National Inspector Table.

## 2. Distribution.

This PPM is electronically distributed to all Washington and regional Flight Standards divisions; and to all Flight Standards field offices. Washington and regional Flight Standards divisions and field offices should distribute this manual to all Aviation Safety Inspectors (ASIs), Aviation Safety Technicians (ASTs), Aviation Safety Assistants (ASAs), and any other PTRS users. The PPM will be available on the following FSAS website:

http://av-info.avs.faa.gov/fsas/UserManuals/Manuals.asp

## 3. Structure.

This PPM is structured to be used by AFS personnel and is subject to change as new procedures, guidelines, databases, software, and hardware become available. Moreover, this PPM is structured so that rewriting or renumbering of this entire manual will not be necessary in order to insert changes or additions.

## 4. Revisions.

Future revisions of the PPM will be distributed electronically on the FSAS Website. The Aviation Data Systems Branch, AFS-620, is responsible for revisions to this document. Recommendations for changes to the PPM may be reported to the FSAS Program Manager (AFS-620), 9-AMC-AFS600-FSAS-FAQ.

# SECTION 3. PTRS OVERVIEW

## 1. Scope.

PTRS provides a standard method of collecting information for planning surveillance activities and recording selected ASI activities. PTRS organizes information by fiscal year, allows rapid access to a large volume of data, and generates reports to FAA Headquarters, regional, and field offices. PTRS consists of two major elements: a local database subsystem in the field office and a fully distributed, agency-wide database called the National Program Tracking and Reporting Subsystem (NPTRS).

## 2. Limitations.

The PPM is limited to the coverage of operating procedures and guidelines for AFS office use. Procedures for using the PTRS software are contained in the current OASIS User Manual. Flight Standards orders, inspector handbook, and information bulletins provide policy and guidance.

## 3. Background.

PTRS was designed to standardize terminology and data entry procedures. In addition, PTRS is a tool which aids in decision making. The Flight Standards NPG and Assessment and Planning Module (APM) utilize PTRS to encompass a broad range of responsibilities: planning and surveillance activities, scheduling manpower resources, recording ASI activities, evaluating accomplishments, analyzing results for patterns or trends, and modifying planned activities. AFS offices can communicate the progress of these responsibilities by using PTRS in the following ways:

- To send work activity comments and results to any Certificate Holding District Office (CHDO);
- To provide detailed information and reports to FAA Headquarters, regional, and district offices;
- To provide data to other FAA offices and other government agencies, and
- To provide a record of work accomplishment.

## 4. Objective of PTRS

The broad objective of PTRS is to provide inspectors with an information processing and management system which is comprehensive in scope, provides current data in a manageable format, and offers effective data retrieval and reporting capabilities. In addition to the original objectives, the following were also added to PTRS:

- To provide a systematic and organized method for inputting data through the use of standardized codes;
- To provide a method for the structured retrieval of stored data in a variety of automated formats (standard reports or with total ad hoc flexibility);
- To have the capability for storing data in a manner which permits effective trend analysis as well as the identification of specific deficiencies; and
- To incorporate certain data analysis strategies that will determine if specific inspection activities or other job functions justify either increased or decreased work activity.

## 5. PTRS Description.

### A. Subsystem.

PTRS is a subsystem of FSAS and is a database management tool that establishes a procedure for organizing and tracking office work activity, i.e., the work activities planned and accomplished. There are three sources of work activity planning records:

(1) The Regional Automated Modular Planning Software (RAMPS) identifies, assigns, and distributes required surveillance activities to the field offices. The regional office assigns required surveillance work activities based on the requirements established in the NPG and the database created by the annual "snapshot" of air operator/air agency/airmen information in the Vital Information Subsystem (VIS). The APM incorporates data downloaded from RAMPS and generates an initial surveillance plan to assign the RAMPS activities to inspectors.

(2) The APM software provides a spreadsheet for each field office that directs surveillance work activities based on the local aviation environment. These surveillance activities are discretionary inspections (P) which are accomplished over and above the inspections required by the national guidelines.

(3) Additional work activities are conducted during the year to respond to national direction, regional direction, and requests from principal inspectors, etc. These are usually not outlined in the APM and are entered into the database using the PTRS data entry transmittal software.

The work activity accomplishment records are collected as the inspectors perform the work. The source data is usually collected on FAA Form 8000-36, PTRS Data Form, for data entry by administrative staff or input directly into PTRS by the inspectors as the work is completed.

The local office database store records of work activities that were performed by other offices that are of interest to the local office (for example, the office is responsible for the certificate). Those work activity records are redistributed daily by the upload/download process.

### B. Activity Numbers.

Activity numbers are used to identify specific activities and specialties required to accomplish AFS work programs. A standardized format is used for recording activities for all specialties to establish a record in the database. The transmittal records provide data for computer-screen viewing and/or printed reports.

(1) A detailed breakdown of activities for each of the ten sections and associated activity numbers with listings of appropriate FARs can always be found in the activity number table on either the local PTRS or National PTRS (NPTRS) system.

(2) PTRS activity numbers can be obtained or deleted through the following procedures:

- With the coordination of Headquarters, regional and field offices may request to add or delete an activity number. Headquarters will ensure that there is guidance to

instruct the users of how and when to use the new activity number. If a number is being deleted, they will ensure that any existing guidance will be revised,

- Submit a request to the FSAS Business Program Manager Program (BPM), AFS-620. The FSAS BPM will notify the requester of the approval/disapproval. Upon approval the new activity number will be distributed.

### C. PTRS Comments.

Comments are used to relate safety information and data pertinent to the task being performed, evaluated, or investigated. These comments can sometimes include ASI opinions; therefore the comments must be treated as proprietary information and should not be made available to non-FAA sources on a routine basis. All AFS managers should ensure that inspectors know the importance of reporting comments in the comments section of PTRS in accordance with this manual.

### D. PTRS Comment Codes.

PTRS comment codes are established by AFS personnel. These codes categorize inspector's comments which were made as a result of inspections, evaluations, and observations. The most important features of these codes are their analysis capabilities to transcend the boundaries imposed by activity numbers.

Comment codes may be added or deleted only with the approval of the FSAS BPM. Requests for changes will be submitted via telephone or e-mail to the FSAS BPM. Upon approval, the changes will be reflected in the OASIS Document Manager software.

### E. PTRS Comment Section (Section IV of FAA Form 8000-36).

The PTRS Comment Section contains one or more of the following kinds of information:

- Comments regarding problems, advice, recommendations, analyses, suggestions, or evaluations.
- Information used for surveillance work program formulation.
- Information used by committees, task forces, inspection teams, and contractors working on behalf of the FAA and/or AFS who are tasked to produce studies or reports that provide advice and recommendations for decision-making purposes.
- Information from appraisals, audits, compliance inquiries, inspections, investigations, or surveys that address the internal management, administration, or regulatory bodies.

### F. Releasability of PTRS Data.

**NOTE: The custodian of PTRS data is AFS-620, and all requests for release of PTRS data will be directed to AFS-620. This is the only office authorized to release PTRS data under the Freedom of Information Act (FOIA). AFS may elect to withhold the release of a PTRS comment if the comment falls under one or more of the FOIA exemptions. However, under an**

**appeal, the final determination as to the release ability of PTRS comments rests with General Counsel at FAA Headquarters in Washington, DC.**

PTRS data may or may not be releasable. As a general rule, Sections I (Transmittal), II (Personnel), and III (Equipment) of the PTRS Data Form are normally releasable under the FOIA since they contain factual information. General Counsel has stated that comments containing factual accounts of an ASI observation can be released. An example of a releasable comment made by an ASI during an en route inspection reads as follows: ”During climb between 5000 feet to 8000 feet, the Captain was flying the aircraft, at an indicated airspeed of 283 knots.” On the other hand, the comment, “It appears that the Captain was distracted by a query from Air Traffic Control (ATC)” is an opinion and would not be releasable. An example of a factual statement with an opinion follows: “Oil was dripping from the right engine nacelle at a slow rate. In my opinion, the oil was coming from the constant speed drive (CSD)”. In this example, the first sentence is factual and releasable while the second sentence is opinion and not releasable.

When PTRS data is used in an Enforcement Investigative Report (EIR), that data becomes subject to the FOIA rules as defined in FAA Order 2150.3, as revised.

**NOTE: All PTRS records for self-disclosure enforcement reports are not releasable under FOIA.**

### G. Aircraft Identification Codes.

Aircraft make-model-series codes are a very common data element in FAA subsystems. Aircraft certification records the development of new aircraft, the registry tracks the owners of the aircraft, ATC follows the aircraft En Route, and AFS inspectors monitor the day-to-day operation of the aircraft. For various historical reasons, each of these groups tracks the same aircraft using different definitions of the aircraft make-model-series. Aviation safety has matured to the point that analysts need to look across all aspects but are hindered by the various make-model-series formats now used in database systems. If an aircraft M/M/S code is not listed on the Aircraft lookup table, the user should contact AFS-620 for approval and provide the Type Certificate (TC) Data Sheet number, if available.

## 6. References.

FAA Order 1380.51, as revised, establishes the organizational and procedural framework for implementing and maintaining PTRS, and incorporates by reference the PPM.

# CHAPTER 2. OFFICE RESPONSIBILITIES

## SECTION 1. INTRODUCTION

### 1. PTRS Objectives.

The major objectives of PTRS are as follows:

- To provide an automated method of collecting data resulting from inspector work activities;
- To provide a structured means of entering observations, evaluations, and opinions into PTRS;
- To provide a standardized codification system;
- To provide a data-storage method that permits pattern detection or identification of problem areas;
- To provide efficient methods of data distribution;
- To relieve personnel of certain paperwork and administrative activities;
- To provide an automated and flexible capability to retrieve data; and
- To provide an analysis capability to identify system problem areas that affect aviation safety.

#### A. Purpose.

The focus of PTRS is to provide a method for all AFS personnel to record inspector work activities performed while carrying out their duties and responsibilities. The purpose of this chapter is to provide guidelines to the office manager, recognizing the uniqueness of each office, and to establish procedures that will help to ensure the required accuracy and currency of PTRS.

#### B. Design.

PTRS is designed to collect information that will be used to produce standard and ad hoc reports, track workload requirements, manage personnel resources, and perform work program and safety analysis. This important information can be collected in several contexts as follows:

- For work activities performed on air operators, air agencies, other aviation-related organizations, and airmen on behalf of the public;
- For AFS personnel resource management; and
- For identifying system problem areas.

# SECTION 2. OVERSIGHT RESPONSIBILITIES

AFS managers, supervisors, ASIs, and administrative personnel should be aware of their responsibilities which relate to PTRS. These responsibilities are as follows:

## 1. NPTRS Program Responsibility.

AFS-620 has the primary responsibility for data management in NPTRS. The Flight Standards Safety Analysis Information Center, AFS-900/FSAIC, has the prime responsibility for analysis of data that resides in NPTRS, analysis of aviation safety data, feedback of findings and trends to regional offices and field offices, re-direction of the National Flight Standards Work Program Guidelines (NPG) functions, and coordination with the Department of Defense (DOD) Air Mobility Command (AMC) on analysis of the PTRS data.

NOTE: There has been some confusion amongst the field offices about the necessity to make PTRS entries for ATOS carriers. Any inspector, to include inspectors assigned to ATOS carriers, who accomplish a work activity that is required by any order, notice, handbook, or bulletin is REQUIRED to enter it in PTRS. The only exceptions to this are surveillance activities accomplished as part of an Element Performance Inspection (EPI) or Safety AttributeInspection (SAI).

## 2. Regional Flight Standards Division (RFSD).

RFSDs have an oversight responsibility for the accuracy and currency of databases maintained by the FSDOs. They will establish a process which will assist an enable FSDOs to maintain a database of the highest possible quality.

## 3. Office Managers and Supervisors.

Managers and supervisors are responsible for being knowledgeable in the contents of this manual and the OASIS User Manual. The following areas concerning PTRS contain guidelines to be used by managers and supervisors:

### A. Environment.

Managers and supervisors should establish and maintain an office work environment that is conducive to the acceptance and utilization of PTRS. Managers and supervisors should also establish office procedures and, when appropriate, planning activities, that include participation from technical and administrative personnel.

### B. Security.

Managers and supervisors should establish office policies and procedures to ensure that strict compliance is upheld regarding security measures outlined in FAA Order 1370.82, FAA Information Systems Security Program, as revised and the AVR Order 1370.86, Information Systems Security Protection, as revised. Flight Standards automated systems contain both sensitive and confidential information. It is extremely important that this protected information by safeguarded when non-FAA persons are visiting the field offices.

Security measures should include, but are not limited to:

- Basic risk management procedures that allow authorized users to access local databases;
- Encouraging FAA personnel not to leave userid/password combinations in visible or easily accessible areas within the workstations;
- Protection against unauthorized disclosure of information through electronic mail; and
- Regular systems integrity checks to identify potential problems in securing information.

### C. Records Retention.

Managers and supervisors should establish office policies and procedures for PTRS records retention and storage. For the purposes of this paragraph, "records" are reports and other output provided by PTRS.

### D. Supervision.

Managers and supervisors should ensure that inspectors and administrative personnel are aware of their individual responsibility for the accurate reporting of work activities in PTRS.

### E. Planning.

Managers and supervisors should be aware of the procedures involved with the work program planning process and be involved with their principal inspectors during the RAMPS/APM planning cycle. This development process provides the framework for required (R-item) and planned (P-item) surveillance activities identified in PTRS and monitored at a national level.

### F. Processing.

Managers and supervisors should establish procedures for processing PTRS data. Processing can occur by routing the completed PTRS Data Form from the inspector to the administrative personnel for entry into the computer or by the inspector entering the data directly into the computer. In either case, this processing should normally take no longer than 3 business days from the beginning of the activity or return from travel. In the event of a significant finding, the ASI must assure that appropriate timely action is taken and a PTRS record is initiated.

### G. Database Maintenance.

Managers and supervisors should develop policies and procedures for regular PTRS data entry/updating, data retrieval, and incremental daily and weekly backup of the database. The office FSAS System Administrator should follow the guidelines established in the FSAS VIS/PTRS Technical and Administrative Guide for regular software and hardware maintenance of the LAN system.

### H. Training.

Managers and supervisors should provide PTRS training for all personnel.

### I. Effective Data Use.

PTRS affords an automated capacity to identify, analyze, and take corrective action on trends affecting aviation safety. Therefore, in many instances, it may be advantageous to share specific information contained in PTRS with an operator/agency in order that effective corrective action can be taken.

**NOTE: This information contained in PTRS is intended for official use only; however, it may be releasable under the FOIA (see Chapter 1, Section 3 of this manual).**

PTRS data collection originates through entry into the system by field office inspectors, and is used at a national level as a primary data source for reporting and analysis. PTRS is a principal data source for the Safety Performance Analysis System (SPAS). SPAS not only provides comparative analysis using performance measures, but also keys on PTRS comment codes to create trend lines for the maintenance and operations activities for air carriers.

Automation brings a requirement for managers, supervisors, and inspectors to understand the capability of the system and its potential applications. The effectiveness of the system is a shared office responsibility. Each person's effectiveness will closely relate to the ability to retrieve and analyze information from the various databases that are available.

### J. Occurrence, Incident, and Complaint Investigation Numbers.

Managers and supervisors should provide procedures for maintaining occurrence, incident, and complaint investigation numbers. Investigation numbers should be constructed in the following manner: "O" for occurrence, "I" for incident, and "C" for complaint. The following four characters identify the investigating office, i.e., EA05, followed by the fiscal year in 4 digits, i.e., 2008, then followed by a four character sequential number. Using this method, an example of an investigation number for an incident would be IEA0520080001; an occurrence, OEA0520080001; and a complaint, CEA0520080001.

A definition of an incident can be found in Order 8020.11. A definition of an occurrence can be found in Order 8900.1. Complaints are generally characterized as allegations or expressions of dissatisfaction. Procedures for investigation of complaints can also be found in Order 8900.1.

### K. Data Quality Control.

Managers and supervisors must establish procedures to periodically review for data quality to ensure that PTRS data is complete, consistent, valid, and correct. The frequency of this quality control function depends upon the quantity of records being entered over a given period of time. Managers and supervisors should be aware that local data is uploaded to the mainframe for use at a national level and can be accessed in NPTRS. Therefore, it is essential that periodic reviews be performed of the PTRS data being entered by office personnel to ensure the highest quality possible.

The attributes required of the data should be specified in a manner that can be measured and traced through time. Each data element can be checked by using some or all of the following measures:

- *Completeness* -- The data source/sources are checked to see that data fields specified as critical are filled. At this point, no assessment is made regarding the content of the field, only that the data has been filled in.

- *Consistency* -- Data is checked to see that data elements are consistent with other data elements in the same, or another database. For example, a check between the start and closed dates of a record in a single database (internal consistency) would be defined to check that the start date preceded the closed date. Records of an airman practical test in PTRS could be checked against records in the airman registry (external consistency) to see if both agreed that the airman passed the test.

- *Validity* -- Validity checks can be used to determine if the data contained in the element is "legal". These checks are usually context-based and are, therefore, often similar to consistency checks. For example, checks made either by the system or by the operator to determine if a make or model of an aircraft is recognized in a lookup table are checks for the validity of the information being entered. It is important to note that these checks cannot be used to determine if the data is actually correct.

- *Correctness/Accuracy* -- This attribute is the result of our measurement, but it is the most difficult to measure directly. Data elements may be filled with data which meets completeness, consistency, and validity criteria, but it can still be incorrect. If we have designed our checks well, however, our confidence in the data can be high. If the system alerts the personnel involved to potential anomalies, checks for correctness can best be made by those closest to the situation that is represented by the data.

Regular review of the PTRS data by managers/supervisors and inspectors is very helpful in correcting obvious typing errors and identifying missing data fields or incorrect information, including the coding of comments in Section IV of the PTRS Data Form. Answering the following questions may be helpful in ascertaining data quality:

- Are all inspectors using PTRS?

- Are timely entries being made?

- Is the PTRS data complete, consistent, valid, and accurate?

- Are National Inspection Programs, Regional Aviation Safety Inspection Program (RASIP), and Department of Defense (DOD) findings entered in accordance with current guidance?

- Are follow-up actions included with the findings?

- Do certification reports and data entries exist for new operators?
- Do proving run reports and data entries exist for all proving runs?
- Does the office have access to a current list of all national recording requirements and are the tracking instructions being used?
- Are the comments entered in a context that makes the intent readable, meaningful, useful, and understandable?
- Are the comments reviewed to ensure that they do not include information already contained in other parts of the record, such as identification of the activity, aircraft, or airman?
- Is there a method of self-evaluation in place where the manager/supervisor or inspector can examine either the office or individual methods of recording complete, consistent, and valid information in PTRS on a timely basis depending on office volume?

If a supervisor wants to suggest a change to an inspector's comment, the supervisor should discuss the suggested change with the inspector, and only upon mutual concurrence should that change be made. In the event that the inspector does not concur with the supervisor's suggested change, the supervisor may add a recommended comment to that particular PTRS comment that models the following example: "Supervisor Comment (enter full name and title) Inspector does not concur."

### L. Destruction of PTRS Data Forms.

Managers and supervisors will establish procedures for the destruction of PTRS Data Forms after the entry of data into PTRS is complete. All activity records will be permanently stored on magnetic media of the national database, relieving FSDOs of the requirement to retain paper-based forms used for data entry. Any retention of paper-based forms should be limited to only that period that will ensure that the electronic data is properly backed up. Once data has been successfully uploaded to the national database, and the local FSAS system has been successfully backed up, the FSDO should dispose of the data entry sheets.

## 4. Aviation Safety Inspectors (ASIs).

ASIs are responsible for becoming knowledgeable with the contents of this manual, especially activities and codes associated with their specialty and associated PTRS comment codes. The following areas concerning PTRS contain guidelines to be used by ASIs:

### A. Reporting.

Inspectors should complete a PTRS Data Form for all activities that have a PTRS activity code. ASIs are responsible for the completeness, accuracy, and consistency of the information entered on the PTRS Data Form. Inspectors should also periodically review their work through PTRS and NPTRS to ensure that the data entered under their name is of the highest quality possible. When reporting specific activities, ASIs should consider the following:

(1) Job Task Analyses (JTA's) exist for various work activities and inspectors should use them while conducting their activity. The completion of the JTA is an integral part of the PTRS system. JTA's can be accessed through Flight Standards Information Management System (FSIMS).

(2) If the PTRS Data Form information is entered directly into PTRS by the originating inspector, the PTRS Data Form does not need to be completed or prepared by the inspector. However, the inspector shall ensure that the data has been saved into the local PTRS database.

### B. Participation.

ASIs should be aware of the procedures involved with the work program planning process and be involved with their managers and supervisors during the RAMPS/APM cycle. This essential development process provides the framework for required (R-items) and planned (P-items) surveillance activities identified in PTRS and monitored at a national level.

### C. Analysis.

ASIs should continually analyze data available on their assigned complexity trends, findings or problem areas that may point to issues regarding compliance and that may require corrective actions. Inspectors should also make recommendations to management for changes in the National Program Guidelines if adverse patterns, trends, or problem areas are discovered. Inspectors should coordinate their findings with the supervisor and office manager when potential adverse safety data is detected and make adjustments to their work program as necessary.

### D. System Security.

To access FSAS, users must enter the correct user ID and password that is assigned to them by the FSAS System Administrator. The user ID and password identifies the individual as an authorized user of the system and indicates the functions authorized. See Table 2-1.

| Table of FSAS Functions | |
|---|---|
| **Levels** | **Function Available** |
| 4 | All FSAS functions are available. |
| | |
| 3 | Add |
| | Update |
| | Delete |
| | View |
| | Query |
| | Reports |
| | |
| 2 | Add |
| | Update |
| | View |
| | Query |
| | Reports |
| | |
| 1 | View |
| | Query |
| | Reports |

**Table 2-1. FSAS FUNCTIONS**

## 5. Administrative Personnel.

Administrative personnel are responsible for becoming knowledgeable with the contents of this manual and with their duties associated with PTRS. The following areas of responsibility contain guidelines to be used by the administrative personnel:

### A. Security.

Administrative personnel should observe security requirements outlined in FAA Order 1370.82, FAA Information System Security Program, as revised and the AVR Order 1370.86, Information System Security Protection, as revised.

### B. Quality Control.

Administrative personnel should review the PTRS Data Forms, FAA form 8000-36, to ensure that the required entries have been made and that those entries are accurately entered into PTRS. Specific attention should be paid to the spelling and formatting of all fields such as airman name, comments, etc.

### C. Assistance.

Administrative personnel should provide reports or records to the technical personnel, supervisors, and managers, as required, as well as provide assistance to other personnel who are unfamiliar with entering or retrieving PTRS information.

### D. Inspector Data.

The FSAS System Administrator should keep the inspector data file current. When an inspector is no longer assigned to a FSDO, the System Administrator should make sure that the inspector's "active" status is changed to "N" (for No) and the record deleted, as appropriate, in the inspector data file.

# CHAPTER 3. PLANNING SURVEILLANCE WORK PROGRAMS

## SECTION 1. INTRODUCTION

This chapter contains procedures and techniques to be used by the FSDO for planning inspector activities.

### 1. Background.

In the past, national guidelines have provided the basis for work programming goals. National guidelines provide a structure for the development of a work program and the requirements for specific surveillance and non-surveillance work activities. Recommendations are provided for additional planned surveillance activities and special emphasis areas that should be considered by inspectors when preparing a total surveillance work program. Required activities comprise the mandatory core inspection program that is based on critical oversight issues, which have been identified at a national level. The required inspection program (R-items) provides an essential level of surveillance activity for certificate holders. In addition to the R-items, each field office designs a planned inspection program (P-items) to provide comprehensive targeted inspections that meet the special surveillance requirements for each certificate holder operating with a field office's geographic district. The P-items make up the depth and substance of each office's annual work program and should be tailored to the continually changing local aviation environment.

Flight Standards fully supports the effort of each office to accomplish the required surveillance program. If the accomplishment of required work activities becomes an issue due to personnel or budget constraints, the regional RAMPS coordinator shall be contacted for assistance and/or redirection of the activity. In the event the required work activity cannot be completed with regional resources, AFS-900/FSAIC shall be contacted for national support. All field offices have additional resources through the regional divisions and headquarters to ensure the successful completion of the required work program.

### 2. Surveillance Planning and Evaluation Responsibilities.

There are three organizational elements within AFS which are responsible for ensuring that comprehensive surveillance programs are developed and maintained. These three elements are as follows:

- Washington Headquarters
- Regional Flight Standards Divisions
- District Offices

#### A. Washington Headquarters.

The Director of Flight Standards Service, AFS-1, the policy divisions, and AFS-900/FSAIC have the primary responsibility for establishing national surveillance programs and for developing the direction and guidance for inspectors to use when conducting these programs. These responsibilities include developing pertinent inspector handbook guidance and other written policy and procedures to

guide national inspection programs such as the National Flight Standards Work Program Guidelines (NPG) and other special surveillance programs. The FSAIC is responsible for evaluation of the national surveillance data and providing analytical support for risk assessment and work program development. The data used for national evaluation is obtained from the centralized national database and is coordinated with the DOD/AMC office that also uses this data to conduct analysis for decisions on their evaluation program.

### B. Regional Flight Standards Division.

RFSD offices have primary responsibility for the implementation of national surveillance programs including the assignment of NPG and other national inspection requirements.

The regional offices serve to assure quality control and to coordinate district office surveillance planning. These regional offices are also responsible for evaluating surveillance data from a regional standpoint. Regional offices must also ensure that reports of nationally or regionally directed inspections are forwarded to the appropriate CHDO.

### C. District Offices.

FAA district office managers perform an essential role in coordinating with principal inspectors to ensure the development, implementation, and completion of a comprehensive surveillance work program. These managers are responsible for ensuring that principal inspectors, program managers, and unit supervisors are planning and conducting effective surveillance programs. These programs must include inspections of operators who conduct operations within the geographic area of the district office. District office managers are responsible for balancing surveillance, certification, and investigation priorities and ensuring quality data collection for all inspector work activities.

Supervisory inspectors are responsible for reviewing inspection reports for clarity, completeness, and accuracy. Supervisory inspectors should also review any corrective actions that may have been taken by the inspector, and determine if that follow-up action was appropriate or if any other corrective action is necessary by reviewing PTRS transmittals/entries as well as office correspondence. Within the district offices, there are three types of responsibility.

- *Principal Inspectors* -- Principal inspectors are the primary surveillance program planners in the FAA since they are the focal point for all operational matters between the FAA and the certificate holder. Principal inspectors must ensure that there are periodic reviews of all aspects of the certificate holder's operations. They must specifically determine the operator's compliance status by establishing effective surveillance programs, and evaluating previous surveillance data and other related information. Principal inspectors must establish a continuing program for evaluating surveillance data to identify trends and deficiencies and to decide upon and take appropriate courses of action. The Safety Performance Analysis System (SPAS) will be used to acknowledge adverse trends brought to the principal inspector's attention.

- *Program Managers* -- Program managers are responsible for planning and carrying out inspection programs within their area of responsibility and for ensuring the inspection results are accurately recorded. These managers ensure that all of the activities of certificate holders conducting operations in

their area are inspected and the results are reported to the principal inspectors through PTRS.

- *Aviation Safety Inspectors* -- Individual inspectors are responsible for conducting inspections in accordance with the direction, guidance, and procedures in applicable handbooks. A primary responsibility of each inspector is to report inspection results in a clear, concise, and factual manner.

## SECTION 2. OVERVIEW

### 1. Objective of Surveillance Programs.

The primary objective of surveillance is to create an FAA presence within the aviation community which promotes continuously higher levels of safety through regular contact with the regulated industry. Surveillance provides methods of continuous evaluation of operator compliance with the FARs, identification of deficiencies within the air transportation industry and initiating corrective actions that ensure the security and safety of the flying public. This surveillance program objective is accomplished, in part, by inspectors performing the following:

- Determining each operator's compliance with regulatory requirements and safe operating practices;
- Detecting changes as they occur in the operational environment;
- Detecting the need for regulatory, managerial, and operational changes; and
- Measuring the effectiveness of previous corrective actions.

### 2. Surveillance.

Prior to the beginning of the fiscal year, every district office shall develop a surveillance work plan. The surveillance work plan identifies the number of air operator, air agency, and airman inspections that each field office expects to conduct over the course of the next fiscal year. Each office must plan for two types of surveillance activities: required surveillance activities (R-Items) and planned activities (P-Items).

R-Items are assigned to each field office through the RAMPS process which identifies and distributes regionally required surveillance activities to FSDOs worldwide. Based on the National Vital Information Subsystem (NVIS) database, these work activities conform to the NPG requirements and represent the minimum number of surveillance inspections an office must perform during the next fiscal year.

P-Item activities represent the number of inspections that each office should accomplish over and above the inspections required by national guidelines (R-Items). These planned activities can be planned months in advance or "on the spot" as situations dictate. There is no minimum required amount of planned activities as each work situation must be evaluated and monitored based on individual risk analysis.

### A. Required Surveillance (R-Items).

FAA Order 1800.56, as revised, contains the required National Flight Standards Work Program Guidelines (NPG). This order provides guidance to AFS field offices for the development and execution of the nationally mandated surveillance activities. These specific required work functions provide a baseline of information and the appropriate assurances to assess the soundness of the aviation system. This work should be programmed and accomplished throughout the fiscal year to avoid an extraordinary effort to complete it at the year's end.

Quality inspections and accurate reporting into PTRS should be emphasized. Required surveillance is expected to be accomplished during the fiscal year in which it is assigned. When circumstances in the local office preclude the accomplishment of R-items, offices shall contact the regional RAMPS coordinator for assistance and/or redirection of the work activity. Any R-item that cannot be accomplished with regional assistance shall be directed to AFS-900/FSAIC for national support.

All field offices have additional resources at their disposal to ensure successful completion of the required surveillance program. Required items may only be terminated or canceled in accordance with the NPG Order.

### B. Locally Developed Surveillance.

These are the discretionary work functions that the regions, district offices, and inspectors plan. The planned or "P" items will differ from region to region and office to office depending on the nature of a particular office's work demands, its operators' complexities, problem areas, and other competing demands. This is over and above the requirements of the NPG criteria and is based on the local environment. District office management shall be accountable for balancing surveillance, certification, and investigation priorities.

### C. Emphasis Items.

Trends affecting aviation safety are routinely identified by the FSAIC through analysis of the results of national inspections programs, such as the National Evaluation Program (NEP), Air Mobility Command surveys, regional inspections, and the results of surveillance activities recorded in PTRS. These trends are communicated to the field through various means. Periodic adjustments to the work program activities, based on the results of analytical efforts, should be anticipated.

## SECTION 3. PLANNING GUIDELINES

This section contains procedures and standardized guidelines to be used by the field offices for planning a Surveillance Work Program.

### 1. Planning.

Field office managers should develop a plan for surveillance activities prior to the beginning of a fiscal year. Principal inspectors should work in conjunction with their field office managers and supervisors to review their plan and analyze its effectiveness at least once each quarter.

## 2. Preparation.

### A. Introduction

The local environment is the driver in planning surveillance requirements. Available qualified staffing within the office is also a major consideration. However, it must also be recognized that changes occur in both the environment and staffing. The development of a surveillance plan is a challenging and dynamic activity that invariably requires change. The initial plan, therefore, is one that requires a synergy between management and staff which empowers them to develop a plan that is realistic, and that considers the analysis of prior surveillance activities. The plan is one that must be continually re-evaluated. This continuing analysis considers not only the results of the planned surveillance, but also any new discoveries of both positive and negative safety trends in addition to the ever-changing environment and staffing. It requires flexibility.

#### (1) *Inspectors with Responsibilities in Several Field Offices.*

Special consideration must be given to those offices that have program responsibilities but do not have a domiciled inspector to do that work. This normally occurs when an inspector is domiciled in one district office and has areas of responsibilities that include several district offices, e.g., an ASI domiciled at New York might have areas of responsibilities in the New York, Farmingdale, Teterboro, and Albany FSDOs.

The planned work program for each office will be entered into the database of the office that has program responsibility for the area in which the work will be completed. The managers and inspectors, under the authority of Division Management, must work together very closely to coordinate all the requirements for work program planning and accomplishment.

### B. Procedures.

Office managers, supervisors, and principal inspectors, with input from each ASI, shall be responsible for developing a surveillance work program that provides a comprehensive evaluation of the complexities assigned to each inspector. Certain accountability is necessary and ASIs are responsible to assist with work program planning since planning is critical to effective position management.

#### (1) *Analysis and Risk Assessment.*

Analysis of aviation safety data and risk assessment are key components of surveillance work program planning. Office managers, supervisors, and principal inspectors should work as a team to review data that provides insight into the complexity of the office environment. Sources of data may include but are not limited to, analysis contained in the Safety Performance Analysis System (SPAS), operational changes in an air carrier's route structure of kind of operation, air carrier maintenance programs, especially outsourcing of substantial maintenance functions for complex aircraft, information obtained from an operator's public website, previous PTRS surveillance results, incidents, accidents, violations, occurrences, and complaints. Safety indicators may include specific changes in an operator's environment, changes in fleet composition, and any safety concerns and trends identified at the national level.

Risk assessment uses system safety techniques to review all areas within an operator's environment. Specific areas of concern are identified that may require additional focus and awareness in order to

target resources for surveillance work program planning. Once an area of concern has been identified, the principal inspector documents the hazard (what can go wrong), the likelihood (what's the chances of it actually occurring), and the consequence (how badly will it hurt the operator). The operator must provide to the principal inspector a corrective action plan that mitigates the hazard. Surveillance work programs should always be developed in response to an operator's correction actions or solutions to problems. Surveillance activities should be selected to review the design and performance of the operator's corrective action to determine if it was successful. If not, then additional corrective measures must be taken by the operator until the issue is resolved.

There may be aviation safety issues identified at the regional and national levels that require consideration in work program planning. Special emphasis inspection areas may arise from analysis performed at a national level (FSAIC), Congressional inquiries, or may be in response to national investigations conducted by the NTSB, OIG, or GAO. The data collected from the completion of specific inspection work activities will be used by the FAA to develop a response to the inquiry or investigation.

Office managers, supervisors, and principal inspectors should complete a prioritized list of surveillance activities based on national, regional, and office concerns that impact resources. The ability to target resources during the annual planning cycle includes scheduling inspections on a quarterly or semi-annual basis by using the call-up date field in the APM, completing inspections on areas of higher risk for air carriers or air agencies, and using sampling techniques for multiple work tasks that must be completed before an activity is considered closed and complete.

It should be understood that principal inspectors may manage their work program plan for a specific operator using the APM at any point in the fiscal year. Work programs may be reviewed and updated as often as the principal inspector determines there is a high risk area that needs attention and mitigation. Office resources should always be considered when re-targeting a surveillance work program.

Since required inspection (R-items) are only intended to satisfy the national requirements for a high level evaluation of an operator, inspection activities developed as a result of analysis and operator specific risk assessment may take the form of either additional R-items or P-items as deemed appropriate by the office policy. The completion of an activity initiated by a risk assessment is far more important than whether the activity is an R-item or a P-item.

**NOTE: Refer to the Assessment and Planning Module Users Guide, or the following website http://av-info.avs.faa.gov/fsas for detailed instruction on the use of the FSAS APM.**

**(2)** ***Priority.***

The analysis will identify a series of various surveillance activities that are necessary to achieve a balanced oversight program that achieves the surveillance objectives of the district office. In the field office work program planning process, inspector personnel, through the use of the APM, will plan surveillance work activities. Utilizing the planning process will allow an office the option of establishing priorities for each work activity in the plan. The NPG items generated by the RAMPS process and incorporated by the local APM receive the highest priority and are the "must do" inspections or otherwise referred to as (required) R-items. By prioritizing the plan, the office is ready to perform the next step of the planning process.

**(3)** ***Assignment.***

The assignment phase requires the office to identify those activities that could be accomplished by ASIs after careful determination of the number of surveillance hours that are available. Any work activities not created during the initialization of the APM must be inserted into the APM spreadsheet. The spreadsheet, using the number of activities planned and the work rate standards, provides a calculation of the number of hours assigned to the inspector (or unit). A call-up date is inserted in the spreadsheet and allows the workload to be distributed across the fiscal year. This phase results in the initial office plan.

**(4)** ***Complete the Work Activity.***

A planned work program is provided to the ASIs. Office scheduling will allow the ASIs to complete both planned and unplanned work activities. As work activities are completed throughout the year, it may be necessary to create new planned activities as directed per inspector handbook instructions that require surveillance activities to be established for newly certificated operators.

**(5)** ***Evaluation.***

It is expected that the initial program will change throughout the year. Those changes will be determined by planned analysis using procedures established by the office manager, or by the quarterly review of an operator's work program by the principal inspectors. The evaluation may consider such factors as additional national, regional, or local emphasis items that have been identified. Changes in the local environment, availability of inspectors, or budget constraints may result in adjustments to the planned work program. The local management team is responsible for the inspector assignment of all work functions.

**(6)** ***National and Regional Emphasis Activities.***

Throughout the year, emphasis items may be identified by national or regional offices. The demands on local resources vary widely depending on the environment of each district office. An appropriate priority must be assigned to those emphasis items and planned PTRS records should be created resulting in changes to the initial plan.

**(7)** ***Planned Program Adjustments.***

The APM can be used to generate new PTRS records after it has been used to generate the initially planned PTRS records. Additionally, it may be used on an ongoing basis to analyze the work program as planned activities are created throughout the year. Newly planned records are created by using the PTRS transmittal software in accordance with office procedures and the FSAS VIS/PTRS Technical and Administrative Guide. Anticipated events, other than inspection activities, can be entered as planned PTRS records to assist in work program management using the call-up date as an effective reminder of work to be done. Planned activities (P-items) can be terminated or cancelled without the concurrence of the RAMPS Coordinator. Planned records will not be rolled over into the following year's work program unless their status is open, i.e., "O" in PTRS record's Status field.

## C. Minimum Inspection Requirements.

The NPG Order establishes the minimum inspection requirements for certificated air operators, air agencies, airmen, and aircraft; however, additional inspections are planned by each FSDO. R-items

provide a national perspective for specific inspection areas and are downloaded to each FSDO through the regional RAMPS coordinator during the annual planning cycle. Principal inspectors may review their required inspection program at any time during the year by using the APM and may retarget R-items based on the guidance in the NPG Order, Work Program Revisions and Deviation Authority.

### D. Special Emphasis Inspections.

Special Emphasis Inspections are accomplished at the direction of either FAA Headquarters, RFSD managers, or FSDO managers. A considerable number of hours are required to accomplish an in-depth inspection; therefore, careful planning is required before allocating manpower for this purpose and subjecting an operator to this level of inspection. These inspections do not have work rates and technically are not part of the surveillance forecast; however, they can be planned. They include national, regional, and office inspection programs, and may target particular areas for detailed review.

**NOTE: When a manager or supervisor anticipates a Special Emphasis Inspection, that manager or supervisor should include those anticipated inspections in the Surveillance Work Program plan.**

### E. References.

- Order 1800.56, National Flight Standards Work Program Guidelines (as revised)
- Flight Standards Automation System (FSAS), Regional Automated Modular Planning Software Training Guide (RAMPS) (as revised)
- RAMPS Algorithms (as revised)
- Assessment and Planning Module Users Guide (as revised)
- FAA Order 1370.82, FAA Information System Security Program, as revised and Order 1370.86, AVR Information System Security Protection, as revised.

# CHAPTER 4. RECORDING PTRS ACTIVITIES

## SECTION 1. PTRS STRUCTURE

This chapter contains procedures for recording inspector activities on FAA Form 8000-36, PTRS Data Form, as revised.

### 1. General.

Operations, cabin safety, dispatch, maintenance, and avionics inspectors may use either the PTRS Data Form to record all PTRS activities and inspection findings or enter data directly into PTRS. In order to be proficient with PTRS, inspectors must be familiar with this manual, the appropriate Inspector Handbook(s), and the OASIS User Manual. The inspector's name and the inspector's name code must also be recorded in the local office's PTRS Inspector ID File in order to record entries into the database.

#### A. PTRS Data Form.

The PTRS Data Form is designed as a means to record inspector's work activities. This form has spaces for entering information that describe the type of job function performed and the results of that activity, including any inspector comments and opinions. A full description of the form and detailed instructions for entering the data are contained in this manual. This form is divided into the following sections:

- *Section I (Transmittal)* -- This section has spaces for recording information that describe the type of job function performed, the overall results of the activity, data pertinent to the subject of the activity, and other information required for PTRS input.

**NOTE: Although the PTRS Data Form has a limited number of spaces in Sections II, III, and IV for multiple entries, PTRS allows for additional entries.**

- *Section II (Personnel)* -- This section provides space to record information about personnel that was pertinent during the accomplishment of the job function. **The personnel information is for persons other than those recorded in Section I.** The inspector should not duplicate any information in this section that was already recorded in Section I.

- *Section III (Equipment)* -- This section provides space to record information on specific items of equipment, components, or appliances. An inspector can identify a particular item (by manufacturer, model, and serial number) which was inspected (such as engines in an overhaul facility). **The inspector should not duplicate any information in this section which was already recorded in Section I.**

- *Section IV (Comment)* -- This section is divided into the following subsections: "primary area, keyword, opinion, and comment text." It provides the inspector with the capability to classify specific areas of interest and elements of

information in a categorized alphanumeric format. These codes are referred to as the PTRS comment codes. Section IV also provides space to enter an opinion code that conveys the inspector's observation and assessment of the practice or procedure that was evaluated. The last part of this section provides space for the inspector to record narrative comments about the practice or procedure that was observed.

### B. Activity Numbers.

All inspector activities entered on the PTRS Data Form must be identified with a four-digit activity number. Activity numbers provide the following information:

(1) The first digit identifies an inspector's specialty (Operations – 1 and 2, Maintenance – 3 and 4, Avionics – 5 and 6, ATO – Air Traffic Organization - 7, Cabin Safety – 8).

**NOTE: An inspector's specialty must agree with that specialty code recorded in the PTRS Inspector ID File for the PTRS record to be saved.**

(2) The second digit identifies the kind of activity as shown below:

1. Technical Staff Administrative Functions
2. Reserved
3. Organizational Certification
4. Organizational Technical Administration
5. Aircraft and Equipment
6. Airmen Certification
7. Surveillance
8. Investigations
9. General Technical Functions
10. Aviation Education and Safety Promotion

(3) The third and fourth digits identify specific work activities.

### C. Look-up Tables/Drop Down Lists.

The software automatically compares many of the PTRS fields against a validation listing. This listing identifies permissible entries for a particular field. For certain fields, the software will reject the entry if the information entered in the field cannot be found in the look-up table. For example, if the activity number entered is 7335, the software will not accept the entry because it is not in the look-up table or drop down list. Presently, at a minimum, look-up tables and drop down lists exist for the following data fields:

- Inspector Name Code
- Activity Number/FAR
- Designator
- Aircraft Identification Code (Make/Model/Series)
- Airport Code (Loc/Departure Point; Loc/Arrival Point)
- PTRS Comment (Primary Area/Keyword/Opinion) Code
- National Airman (Airman Cert #)
- District Office
- Simulator/Device ID
- Exam Kind

Look-up Help may be found during data entry by using the <F1> key with the cursor in these fields or the drop down list.

### D. Revising or Changing Look-up Tables and Drop Down lists.

Occasionally, a table will need to be revised. Some changes in a look-up table or drop down list will be updated on the National PTRS database (NPTRS) and subsequently downloaded or replicated to each office.

- *Types of Look-up Tables or Drop Down Lists* -- There are primarily two types of look-up tables/drop down lists associated with PTRS. One type includes data fields such as Activity Number, FAR, and Designator. Generally, this type of table or list can be amended within one or two days of a request. If an inspector wants to add a designator to the table, that inspector should follow the procedures outlined in Order 8900.1. The other type of table includes fields such as Airports and Aircraft Identification Code. Changes to this type of table generally require extensive coordination with agencies outside of AFS and will take more time to process.

- *Changes to Look-up Tables Drop Down Lists and PTRS* -- If inspectors find that additional values are required and/or that PTRS could be improved in any way, recommendations may be made to the AVS Support Central who will forward them to AFS-620. Comments should be included to explain the problem and to suggest the necessary corrective action or change.

**NOTE: After a table has been revised on the national database, the revised table will be made available automatically through FSAS once the upload/download or replication has been successfully accomplished.**

## 2. User Information.

The user information data is maintained by the office FSAS System Administrator. These settings determine what FSAS functions are accessible by a user.

### A. Inspectors by Specialty.

PTRS users should be given authorization for only those types of activities that can be supported based on inspector specialty. For example, operations inspectors should be checked for only operations functions. Maintenance inspectors should be checked for only maintenance functions, unless that person is dual qualified and authorized to conduct avionics functions. **It is not correct to have all maintenance inspectors checked for both maintenance and avionics functions.**

There is one exception to this basic rule:

- *Office Management* – The field office manager and supervisors responsible for multiple specialties should be authorized in all three specialties. The scope of an inspector's responsibilities requires the flexibility of authorization in all three specialties regardless of the inspector's previous professional background.

### B. Inspectors on Temporary Duty or Assigned Positions.

ASIs are considered to be national resources. There are many occasions when inspectors are on temporary duty in other offices for the purpose of completing or assisting in work activities such as check rides, organizational certification, in-depth inspections or evaluations. The method used by the FSDO/CMO for entering inspector work activity is dependent on the length of time the inspector is assigned to that office. The assigned inspector will enter PTRS work activity into FSAS based on one of the following two options:

(1) When an inspector is assigned to an office for 30 days or less, work activity may be entered in one of two ways:

1. Work activity may be entered in the local office where the inspector is assigned using "TDY" in the Inspector Name Code field on the PTRS Data Form. The inspector's three letter ID code and four character domicile office ID should be entered into the Miscellaneous field of the PTRS Data Form, e.g., FAH/EA15; or

2. Work activity may be entered in the inspector's domicile office. In this case, the office ID where the inspector was assigned should be entered in the OTNA field, e.g., EA15. See the description for the OTNA field in Section 2. However, if the entry does not meet the OTNA criteria, leave the OTNA field blank.

(2) When an inspector is assigned to an office for more than 30 days, the inspector's three-letter ID code should be entered in the Inspector ID File for the local FSAS in the FSDO/CMO to which the inspector has been assigned. The inspector shall remain active in the local FSAS for the duration of their assignment. The FSAS System Administrator must ensure that the inspector's status is changed to "N", not active, when the assignment ends and all PTRS transmittals are entered. When an inspector is

assigned temporarily to another office, it is not necessary to inactivate the inspector in the original office.

### C. Multiple Assignments.

Some ASIs may be assigned responsibilities for work activities in several field offices. Work activity may be entered in the following way:

(1) Geographic Inspectors, Cabin Safety Inspectors, and Regional Dispatch Resources

- Work completed will be entered into the database of the inspector's resident field office.

(2) FAAST Program Managers

- Work completed will be entered into the database of the field office where the activity was accomplished.

## 3. General.

The PTRS Data Form is divided into four sections and includes an area for optional endorsements or supervisory reviews (see Figure 4-1). A detailed description of these four sections and instructions for completing the PTRS Data Form, Form 8000-36, as revised, are contained in this section of the PPM. Figure 4-1 is the front side of the revised PTRS Data Form. Table 4-3 is the reverse side of the PTRS Data Form and lists the coding for "Section IV – Comments" of the form.

### A. Data Field Requirements.

The following fields are required before a PTRS record can be saved: Inspector Name Code, Activity Number, Status, and a Date field. The required data fields will change based on the activity number/FAR combination. PTRS dynamically alters the characteristics of several other data fields in Sections I and IV depending on the contents of the Activity Number/FAR and Status fields. A field's conditional status (Required, Prohibited, or Optional) will determine whether PTRS requires, accepts, or denies the entry of information into a particular field.

### B. Reporting Frequency.

Inspectors must submit a PTRS Data Form, or directly enter work activity information into PTRS, when one of the following occurs:

- An activity is completed.
- It is necessary to update (revise) a record.
- To establish a record for a "Planned" or "Open" activity.

### C. Recording Time and Attendance Data on the PTRS Data Form.

Under no circumstances should procedures be initiated or established to record or track a person's daily presence by using PTRS work activities. The PTRS is intentionally structured to prevent its use as a time accountability tool for individual inspectors.

**NOTE: Any attempt to use PTRS as a "Time and Attendance Card" will be considered as improper and in direct violation to FAA Order 1380.51, as revised, Program Tracking and Reporting Subsystem (PTRS).**

### D. Activity Consolidation.

Multiple activities that are repetitive in nature, such as SDRs (3325) where more than one report may be received from an operator on the same aircraft, may be processed under one PTRS form.

## 4. Field Structure and Entry Criteria.

The computer automatically generates a new record ID number when a new record is established. If a record already exists in the PTRS (Planned, Open, or Closed), and it becomes necessary to update (revise) the record, use the record ID number to retrieve the record. Inspectors must be careful to include the record ID number on the PTRS Data Form when adding information to an existing record. This informs the PTRS data entry person that a record for the subject activity exists in PTRS. The record can then be found using the record ID number and it then may be updated. Entering the record ID number prevents duplicate records and multiple units of work.

Refer to Appendix D for a breakdown of the sections of the PTRS Data Form with the applicable data elements identified within each section. All entries on the PTRS Data Form must be legible, complete, and comply with the following criteria:

### A. PTRS Data Form – Section I

- Inspector Name Code

Enter a code that exists in the Inspector ID File. The code must be for the individual who performed the work or is assigned the activity.

- Record ID

In the example "GL11200800135" the record ID number is comprised of a local office code (GL11), fiscal year (2008), and five digit record number (00135). For new records, this number is auto-filled by PTRS. When updating or changing existing records, it is imperative that ASIs enter this number accurately when submitting PTRS Data Forms.

- Activity Number

Enter a valid PTRS activity number that corresponds to the work function performed.

- FAR

The Activity Number/FAR table indicates that a FAR is generally required for most activity numbers. The number entered must match a valid activity number and FAR combination. Enter the FAR applicable to the type of operation or certificate involved.

**NOTE: Not all work activity numbers require a FAR to be entered.**

- NPG

For records generated by RAMPS, this field is auto-filled with a check mark and cannot be changed. For those additional required surveillance items that are not generated by RAMPS, click in the NPG box to create a new "R" item.

- Status (POC)

This field must have "P" (Planned), "O" (Open), or "C" (Closed) entered. A "P" requires an entry in the "Call-up Date" field. An "O" requires an entry in the "Start Date" field. A "C" requires an entry in the "Closed Date" field. A status code "T" is auto-filled when a record is transferred.

- Call-up Date

An entry is required in standard date format of MM/DD/YYYY if "Status" data field is "P". Offices may establish procedures for using this field for "Open" records.

- Start Date

An entry is required in standard date format of MM/DD/YYYY if "Status" is "O". Additionally, a start date must be entered for any activity which was started prior to the completion date. The ASI must enter a valid "Start Date" or the field will auto-fill with the date the PTRS was created.

The "Start Date" field must contain a date that is no later than the actual date of data entry into PTRS. Generally, the start date is the date that an ASI begins working on the activity. If the start date differs from the date of occurrence, such as in an incident investigation or enforcement action, then the date of occurrence should be entered in Section IV, Comments.

- Results (ACEFISTX)

An entry is required when the "Status" field is "C" (Closed). An entry is prohibited when "P" (Planned) or "O" (Open) exists in the "Status" field. (Reference Appendix A Results Code Table)

A results code is selected using the following criteria:

***(a) "A" (Assistance)***

May be used with all Activity Numbers except those with a 7 in the second digit (Investigations). "A" is used to prevent recording more than one unit of work for an activity when inspectors of the same specialty combine their efforts to accomplish an activity. There is no Unit of Work shown for the office, but work activity is reflected for the inspector using an "A". An "A" is not to be used to close out a P-item or R-item.

**EXAMPLE:** Two maintenance inspectors complete a planned Ramp Inspection on an aircraft. One inspector will update the existing PTRS record with a results code of "E' or "F" or "I" or "S". The other inspector will add a new PTRS record and will enter an "A" in the results field to prevent two units of work from being recorded for the same activity.

**EXCEPTION:** When an inspector assists with an investigation, the inspector will use a "Investigation/Technical Support" Activity Number and close the PTRS record with a "C".

***(b) "C" (Completed)***

Is used with all Activity Numbers except those with a 6 in the second digit (Surveillance). "C" indicates that the activity was completed and is used to close out all work activities (a unit of work) except Surveillance.

***(c) "E" (Enforcement)***

Is used only for Activity Numbers with a 6 in the second digit (Surveillance) to close the original PTRS record and activity numbers 1082, 1084, 1086 and 1088. "E" indicates that a violation was found and an enforcement action opened. When an "E" code is used, additional information must be provided in Section IV, such as regulation violated. In addition, when an activity is closed with "E", the enforcement number must be included in the "EIR #" data field. The inspector should use the trigger function to create a related record in order to provide follow-up on the corrective action initiated as a result of the enforcement.

***(d) "F" (Follow-up)***

Is used only for Activity Numbers with a 6 in the second digit (Surveillance). An "F" code requires additional information to be entered in Section IV. This code is used in two different situations.

(1) In the first situation, "F" indicates that a potential problem was identified and follow-up action was completed before the activity was closed. This is an "on-the-spot" correction. A minor finding that is corrected at the time of the inspection must be documented in Section IV (Comments) of the PTRS Data Form with no further action deemed necessary.

(2) In the second situation, "F" indicates that potential problems were identified, corrective actions directed, and a follow-up activity has been scheduled with a reasonable "Call-Up-Date" established to assure compliance. The inspector can use the trigger function to create a related record.

**NOTE: If, in the judgment of the inspector doing the work activity, a potential problem can be corrected within a reasonable period of time, the PTRS record can remain open until the problem is corrected. At that point, the PTRS record is closed with an "F" in the Results data field.**

***(e) "I" (Information)***

Is used only for Activity Numbers with a 6 in the second digit (Surveillance) and activity numbers 1082, 1084, 1086 and 1088. "I" codes are used to indicate that the results of the inspection were satisfactory and information is contained in Section IV (Comments) of the PTRS Data Form. Some examples are: to establish an audit trail, to document conditions in areas outside of Flight Standards

responsibilities, or to advise the principal inspector(s) of a specific condition. When an "I" code is used, additional information must be provided in Section IV of the PTRS Data Form.

***(f) "S" (Satisfactory)***

Is used only for Activity Numbers with a 6 in the second digit (Surveillance). "S" indicates the activity was "Satisfactory" (full compliance) and is used to close out Surveillance activities. This code is used only when no comments are made.

***(g) "T" (Terminate)***

Can be used to terminate required work activities (R-items) under certain conditions. Refer to the NPG Order 1800.56 as amended, for specific guidance. Although possible, the termination of Planned (P) items (not R-items) for surveillance activities is not required, as any Planned (P) items not yet opened will be deleted during the rollover process at the beginning of the fiscal year.

**NOTE: In some instances it may be necessary to terminate or cancel a large number of planned surveillance activities. Termination can occur when a company, with a large operation, goes out of business during the early part of the fiscal year. Depending upon the number of planned surveillance activities to be terminated or canceled, the option of "Global Update" may be used. The "Global Update" feature may only be used by the FSAS System Administrator.**

***(h) "X" (Cancelled)***

Can be used to cancel required work activities (R-items) when an activity cannot be accomplished because of lack of resources, but only under certain conditions. Refer to the NPG Order 1800.56 as amended, for specific guidance.

**Although possible, the cancellation of Planned (P) items (not R-items) for surveillance activities is not required, as any Planned (P) items not yet opened will be deleted during the rollover process at the beginning of the fiscal year.**

- Closed Date

The date of completion for a work activity is entered in the standard date format of MM/DD/YYYY. This entry is prohibited if the "Status" data field has an entry of (P)lanned or (O)pen. This entry is required if the "Status" data field has an entry of (C)losed.

- Designator

The designator entered must exist in the Designator Table. Organizations lacking a designator should be identified in the "Non-Cert Activity Name/Company" field.

- Affiliated Designator

Whenever a surveillance activity is completed at a contracted FAA certificated organization (e.g. Air Operator or Air Agency) that performs services for another FAA certificated organization, the four character Designator code of the contracted organization shall be entered into this field. The following are some examples of how this field should be used:

- An FAA inspector is performing an inspection of an air carrier's training program that is being conducted by a contracted training center. In this case, the inspector would put the air carrier's designator code in the Designator data field and the training center's designator code in the Affiliated Designator data field.

- An FAA airworthiness inspector is performing a spot (3628/5628) inspection of a foreign (14 CFR Part 129 Air Carrier) or domestic air carrier's aircraft that is undergoing maintenance by a contracted organization. The inspector is checking compliance with the air carrier's maintenance program. In this case, the inspector would put the air carrier's designator in the Designator data field and the contracted organization's designator in the Affiliated Designator data field.

- An FAA airworthiness inspector is conducting an Airworthiness Directives Verification (3649/5649) or an Inspection Program (3637/5637) inspection of an air carrier at a contracted facility. In this case, the inspector would put the air carrier's designator in the Designator data field and the contracted organization's designator in the Affiliated Designator data field.

- A 14 CFR Part 145 Repair Station (Repair Station #1) has contracted a maintenance function to another 14 CFR Part 145 Repair Station (Repair Station #2) (3663/5663). In this case, the inspector would enter the designator of Repair Station #1 in the Designator data field and the designator of Repair Station #2 (the repair station performing the contract maintenance) in the Affiliated Designator data field.

- An FAA airworthiness inspector is conducting an inspection (3640/5640) of an air carrier's maintenance inspection program being performed by a contracted FAA certificated maintenance organization. The inspector enters the designator code for the air carrier in the Designator data field and the designator code for the contract provider in the Affiliated Designator data field.

A copy of the PTRS record is automatically forwarded to the CHDO responsible for the certificated organization entered into the Affiliated Designator data field.

- OTNA

This field was created to enhance the automation of the Operational Training Needs Assessment (OTNA). It is used to identify those work activities that are performed for an office by inspectors from another office when a qualified inspector is not assigned to the office with the operational needs. This is an optional field which requires the inspector that performed the work to enter the office ID, e.g., EA15, for whom the work was performed. The supervisor for whom the work is performed is responsible for determining that the activity falls within the OTNA criteria.

**NOTE: The reporting inspector enters a PTRS record at domicile office. A copy of the PTRS record is automatically forwarded to the responsible office when a designator identifies the Certificate Holding District Office (CHDO) or when the OTNA field contains the office code.**

- A/C Reg(istration) #

Enter the number exactly as it appears on the registration certificate. The system auto-fills this field with an "N".

If a foreign registered aircraft is to be entered, it is necessary to backspace to remove the "N". Enter the aircraft number as it appears on the registration certificate. If the registration number is longer than six characters (For instance, Russian airplanes have eight character registration numbers), do the following:

- omit characters, beginning with the last character until what's left fits in the field, (ensuring that the country code is captured and preserved, noting that some country codes have as many as 3 characters); and

- put the entire registration number in the Comment Section using H999I as the comment code.

- Loc(ation)/Departure Point

The only acceptable entries are located in the Airport Table on the national database and the local FSAS software. This table contains domestic and international identifiers in a three or four character alpha/numeric format.

Enter the airport identifier of the departure airport. When a work activity is accomplished at an airport, the airport identifier is used, e.g., for PTRS entry of ramp or station inspections. For work activities which are accomplished at a location other than an airport, use the closest airport.

For example, a work activity that has been accomplished at a private airport not listed in the Airport Table, enter the closest airport listed in the Airport Table. Another example is an air agency located outside airport property. Again, use the closest airport listed in the Airport Table.

- Loc(ation)/Arrival Point

The only acceptable entries are located in the Airport Table on the national database and the local FSAS software. This table contains domestic and international identifiers in a three or four character alpha/numeric format. Enter the airport identifier of the arrival airport.

- Flight #

Anytime the Point of Arrival field is required, such as for En Route Inspections, a flight number must be entered. If a flight number is not available, use the last three characters of the aircraft registration number.

- Complaint #

This field is associated with the investigations of complaints. Complaint numbers may be placed in this field for tracking purposes based on regional and office policy. Refer to Chapter 2, Section 2, paragraph 3J of this document, “Occurrence, Incident, and Complaint Investigation Numbers” for procedures for establishing and maintaining an office system of complaint numbers.

- Occurrence #

This field is associated with the investigations of occurrences. Occurrence numbers may be placed in this field for tracking purposes based on regional and office policy. Refer to Chapter 2, Section 2, paragraph 3J of this document, “Occurrence, Incident, and Complaint Investigation Numbers” for procedures for establishing and maintaining an office system of occurrence numbers.

- Make-Model-Series

Make-Model-Series consists of two parts:

- *Make-Model* -- The entry must match a make-model listed in the Aircraft Identification Code (AIC) table. *Series is always optional* -- If a series is entered, it is also matched against the AIC table.

Reference to a valid list of aircraft make-model-series records is available through Help. Generic make-model-series records have been provided in the AIC table for those aircraft which may not have a specific make-model-series. Examples include single engine airplanes (ASE), balloons (LTA), gyroplanes (ROT), exhibition experimental (EXHIB), ultra-light aircraft (ULTRA), and homebuilt aircraft (HOME).

- Incident #

This field is associated with the investigations of incidents. Incident numbers may be entered into this field for tracking purposes based on regional and office policy. Refer to Chapter 2, Section 2, paragraph 3J of this document, “Occurrence, Incident, and Complaint Investigation Numbers” for procedures for establishing and maintaining an office system of incident numbers.

- Simulator/Device ID

Enter the identification number of the simulator or training device when Training Center Evaluator (TCE) work activities are accomplished by this method.

- EIR #

This field is associated with enforcement investigations. EIR numbers must be entered into this field for tracking purposes when a surveillance activity (second digit of the activity number is 6) is closed out with a results code of “E”. Instructions for assignment of EIR numbers are found in FAA Order 2150.3, the Compliance and Enforcement Handbook.

- Non-Cert(ificated Activity Name/Company)

Examples of entries which should be entered into this field are non-certificated corporate flyers and non-certificated organizations.

- Accident #

This field is associated with the investigation of accidents. Accident numbers are assigned by the NTSB and must be entered into this field for tracking purposes.

- Airman (Cert) #

Certificate numbers consist of nine alpha/numeric characters.

**NOTES:**

- In activities involving certification or enforcement of foreign national airmen without a US Certificate, enter the certificate number of the country of origin in the Certificate Number data field. Enter the country of origin in Section IV of the PTRS Data Form using comment code J109I.

- If the airman certificate number is pending, click on the "Pending" box and "PENDING" will autofill.

- For surveillance activities of check airmen or Training Center Evaluators performing check airman functions, the check airman name and certificate number will be validated against existing data in the National Airman Table. If the check airman is not listed on the National Airman Table, the PTRS transmittal record will not upload to the mainframe. The CHDO for the check airman in question will have to correct the National Airman Table before the record will be accepted by the mainframe.

- If the airman has a foreign certificate number, click on the "Foreign" box and enter the airman certificate information.

- (Airman) Name

The airman's name should be entered as follows: last name (comma), space, first name, space, and middle initial (period); e.g., Doe, John H. Enter in the format Lastname, Firstname Middle Initial. If a "Jr.", "Sr.", "III" exists, enter it after the middle initial. Always insert a period after an initial and Jr. or Sr.

**NOTE: For surveillance activities of check airmen or Training Center Evaluators performing check airmen functions, the airman name will be auto-filled from the National Airman Table when the airman certification number is entered.**

**NOTE: Fields (28) through (35) are to be used for tracking airman certification actions.**

- Examiner Cert #

Enter the certificate number of the designated examiner who performed the certification action. When there is an entry in the Examiner Certificate Number data field, there must be an entry in the Examiner Name data field.

- (Examiner) Name

Enter the name of the designated examiner who performed the certification action. When an airman certificate number is entered in the Examiner Cert # data field, then the airman's name must be entered in this field.

- Applicant Cert #

Enter the certificate number of the applicant who is requesting the certification action. "PENDING" is an acceptable entry for initial airman certification or when it is appropriate, as per airman certification instructions. If the applicant certificate number is pending, click on the "Pending" box and "PENDING" will autofill.

- (Applicant) Name

Enter the name of the applicant who is requesting certification action. When an applicant's certificate number or "PENDING" is entered in the Applicant Cert # data field, then the name must be entered in this field.

- Rec(ommending) Instructor Cert #

Enter the certificate number of the instructor that recommended the applicant for certification. If there is an entry in this field, there must be an entry in the Rec(ommending) Instructor Name field. The PTRS record cannot be saved without the completion of both data field entries.

- Rec(ommending) Instructor Name

Enter the name of the instructor who recommended the applicant for certification. When a recommending instructor's certificate number is entered in the Rec(ommending) Instructor Cert # field, the name must be entered in this field. The PTRS record cannot be saved without the completion of both data field entries.

- Pass/Fail

"P" or "F" in this field is required for airman certification and pilot check activities. For example, when entering a re-examination check or a proficiency check, the Pass/Fail field must be completed.

- Exam Kind

Enter the appropriate activity for the type of activity that was conducted by the designated examiner. A look-up table or drop down list is provided for valid exam kinds.

**NOTE: If any of the three examiner certification activity codes (1563, 3529, 5529) are used in the activity number field, the "Exam Kind" field must contain a valid activity number (with the**

**second digit of five)/FAR combination. For example, if a pilot examiner gives a private pilot checkride, 1563 is entered into the activity number data field and 1503/61 is entered in the exam kind data field. If no valid value is entered in "Exam Kind" when closing a 1563, it will be required locally or will be rejected by the mainframe computer when it is uploaded.**

- 8430-13 #

Enter the identification number of the Request for Access to Aircraft form, FAA Form 8430-13. Only enter the 8430-13 number for inspections or observations conducted during revenue flights.

**NOTE: On a flight with intermediate stops with no change of flight number, only one 8430-13 is required. If there is a change in crew or aircraft, multiple PTRS records should be completed, and the same 8430-13 request number should be entered in the multiple PTRS records.**

- Tracking

Information entered in this data field is used for tracking facts associated with certain types of PTRS transmittals. Examples of entries in this data field would be tracking original certifications, in-depth inspections, and proving flights. Refer to the most current specific instructions and guidance in Handbook Guidance, Orders, and Notices. This field is very useful in linking several related activities performed by one or more inspectors over a period of time, e.g., strike surveillance or a main base inspection.

- Miscellaneous

Data entered in this field is used for tracking information associated with PTRS transmittals. This field can be used at the discretion of management or the inspector for entry of miscellaneous information regarding a work activity or grouping a series of activities.

- Numeric Miscellaneous

This field is used for recording numeric data associated with certain types of PTRS transmittals. For example, if ten SDRs are reviewed, create one PTRS record and insert the number 10 in this field. Only use this method if all the fields in Section I of the PTRS records are common.

- Observed by Inspector

This field should be checked when an examiner conducts a phase of a test and is observed doing so by an FAA inspector. The inspector's name should be entered in the "Comment Text" field. On other occasions, the use of this field is optional.

- Local Use

This field can be used by field offices for tracking selected activities as established by local office procedures.

- Regional Use

This field is used for tracking selected activities by the direction of and in coordination with regional offices.

- National Use

This field is used for tracking selected national activities as directed by the Flight Standards Safety Analysis Information Center (FSAIC) or the AFS divisions in Washington. Entries into this data field are purposely specific in nature and used for analysis of certain kinds of inspections and safety trends. Extreme care should be exercised to ensure that exact entries, as identified by inspector guidance are made into the National Use field. Any use of this field by national, regional, or field offices must be coordinated with FSAIC.

- Geographic Activity

This field is auto-filled with a check mark if the originating office is not the CHDO.

- Foreign

This field is auto-filled with a check mark any time the designator code indicates it is a foreign operator or air agency or the departure or arrival point is a foreign airport. It is also auto-filled with a check mark if the record is created by an International Field Office (IFO).

- Assessment

It is used for 14 CFR Part 145 Repair Stations that best describes the condition of the repair station for the completed inspection. The assessment value is obtained by selecting the appropriate word picture (number 1 through 10) in the drop-down menu.

- Triggers

In OASIS Document Manager, the “Trigger PTRS” function is used to create a related PTRS record. For example, if an inspection results in an enforcement action, the inspection is closed with an “E” (Enforcement) and the triggers function is used to create a new record ID number for the enforcement action activity. Refer to the OASIS User Manual for instructions.

**NOTE: The inspector should provide tracking of the triggered record(s) in the parent. The activity number(s)/record ID(s) of the triggered record(s) should be entered in the comment section of the parent record using the appropriate primary area code and a keyword listing of “907” and an opinion code of “I”.**

**For example, a ramp inspection, 3627, (source record) results in an enforcement action, e.g., 3731/GL21200800012, (triggered record). It is possible to trigger up to five target records and all of the triggered activity number/record IDs should be listed in the comment section of the parent record. The triggered record does contain the transmittal record ID of the parent record in the Related Record field. After the record is saved, note the new record ID(s) and reopen the parent record to enter the information into the comment section.**

### B. PTRS Data Form/Section II Personnel.

If applicable, use Section II to describe personnel not previously mentioned in Section I of the PTRS Data Form. For example, it includes personnel such as Second in Command (SIC), Flight Engineer (FE), Flight Attendant (FA), supervisors, foremen, fuelers, and any other personnel the inspector wants to include in the record. The inspector may enter in Section II any remarks which are significant to the job function such as telephone numbers, duty time, or qualification status. While the PTRS Data Form has a limited number of spaces in Section II for multiple entries, the Local and National PTRS provides for an unlimited number of entries.

- Personnel Name

The name should be entered in the following format: last name (comma), space, first name, space, middle initial, period, e.g., Jones, John M. Possible uses for this field include listing crewmembers other than the PIC during an En Route Inspection or entering an operator's management personnel encountered during the course of meetings, inspections, etc.

- Position

Enter the job title or other pertinent information e.g., SIC or FE or FA.

- Base

Enter the airport code (AIC Table) for the location where the person is stationed. When the location is other than an airport, use the closest airport identifier.

- Remarks

Enter any relevant personnel data about the individual whose name is in the Personnel Name data field, e.g., certificate number, telephone number, duty times, qualifications, etc.

### C. PTRS Data Form/Section III – Equipment.

If applicable, Section III should be used to describe information about equipment examined during the course of the inspection. While the PTRS Data Form has a limited number of spaces in Section III for multiple entries, the local and national PTRS provides for an unlimited number of entries.

- Manufacturer

Enter the manufacturer's name of any equipment, part, component, or tool that is the subject of an investigation, evaluation, or inspection: e.g., a failed prop, hydraulic pump, etc.

- Model

Enter the model number of the equipment, part, component, or tool that is the subject of an investigation, evaluation, or inspection.

- Serial #

Enter the serial number of the equipment, part, component, or tool that is the subject of an investigation, evaluation, or inspection.

- Remarks

Enter any relevant remarks about the equipment, part, component, or tool that is the subject of an investigation, evaluation, or inspection.

### D. PTRS Data Form/Section IV – Comment.

Section IV contains four elements: the Primary Area, the Keyword, the Opinion Code, and the Comment Text. An in-depth discussion on using the PTRS Comment Section follows in the next section.

## SECTION 2. Using the PTRS Comment Section

### 1. PTRS Comment Codes.

PTRS comment codes are alpha-numeric codes. The first character of the code is an alpha character representing one of the Primary Areas (refer to Table 4-1). The next three characters of the comment code are numeric and represent one of the Keywords (refer to Appendix C). The fourth character is an alpha character representing the inspector opinion code (refer to page 4-22).

The comment section of the PTRS Data Form provides key information to enable inspectors and other Flight Standards personnel to track and analyze the performance of certificate holders. The remainder of this section will discuss different techniques an inspector might use to describe the many situations encountered while conducting surveillance. In no way is it considered to be all-inclusive. This section's primary purpose is to define the intended use of the comment section of PTRS and help inspectors to develop a consistent approach to writing comments this includes the appropriate use of the Primary Area/Keyword/Opinion Code combinations.

**NOTES:**

- Not all keywords are acceptable with all primary codes. The PTRS software lists valid entries through the Look-up Help or drop down menus.

- It must be clearly understood that PTRS comment codes are not derived from the PTRS activity numbers. The PTRS activity numbers are used to classify the type of job function conducted; for example, "1624" is the activity number for an En Route Inspection. The PTRS comment codes, however, are used to classify comments about particular items observed or evaluated during a work activity and are made distinct by an alpha/numeric codification.

### A. Selecting the Primary Area and Keyword Combination.

The combination of primary area and keyword data fields is commonly referred to as the "comment code". This comment code field may be required based on the inspector's observation or evaluation.

It is essential that inspectors select the appropriate primary area and combine it with the appropriate keyword code to maintain an accurate and useful database. If appropriate selections are made, the database can be effectively used to identify deficiencies and trends and to provide other types of analysis functions for the user.

### (2) Identifying the Primary Area

The first step is to identify the pertinent "primary area". These are listed in the table below followed by the definitions of the areas.

| PRIMARY AREAS | |
|---|---|
| A | Air Carrier Operations |
| B | General Aviation Operations |
| C | ATC/Air Space |
| D | Airports |
| E | Air Agencies |
| F | Air Carrier Airworthiness |
| G | General Aviation Airworthiness |
| H | Aircraft |
| J | Crewmembers/Other Personnel |
| O | Performance Observation |
| P | Program Review |
| Z | Inspection Instructions |

**Table 4-1. PRIMARY AREAS**

#### "A" (Air Carrier Operations)

The primary area "Air Carrier Operations" is used to code comments pertaining to the operational areas of air carrier activities conducted under 14 CFR parts 121 and 135 (including activities of an applicant for a certificate to conduct those types of operations). "A" is also used for coding comments pertaining to the operational areas of 14 CFR part 129 operators. This code is generally used by operations inspectors; however, airworthiness inspectors should use the "A" primary area code if their comment relates to an operational matter.

#### "B" (General Aviation Operations)

The primary area "General Aviation Operations" is used to code comments pertaining to operation areas, methods, or procedures that are associated with general aviation (operations other than air carrier operations). The "B" primary area code encompasses, but is not limited to, comments about operations conducted under 14 CFR parts 91, 101, 103,105, 125, 133, and 137. This primary area code relates to operational aspects that are generally considered to be in the area of general aviation.

#### "C" (ATC/Airspace)

The primary area "ATC/Airspace" is used to code comments pertaining to such items as towers, TRACONs, AFSS, Air Route Traffic Control Centers, and any related air traffic or airspace procedures, activities, or facilities.

**NOTE: Inspectors are not specifically assigned to conduct work activities or inspections in connection with ATC/airspace facilities. Inspectors are, however, encouraged to comment on their observation of these facilities and related ATC/airspace procedures or activities.**

**"D" (Airports)**

The primary area "Airports" is used to code comments pertaining to such items as runways, taxiways, ramp areas, crash/fire/rescue equipment, snow removal, security procedures, and construction areas. Comments concerning airports may result from various types of work activities such as ramp inspections or En Route Inspections.

**"E" (Air Agencies)**

The primary area "Air Agencies" is used to code comments pertaining to various aspects of air agencies such as pilot schools (14 CFR part 141), pilot training centers (14 CFR part 142), repair stations (14 CFR part 145), and aviation maintenance technician schools (14 CFR part 147).

**"F" (Air Carrier Airworthiness)**

The primary area "Air Carrier Airworthiness" is used to code comments pertaining to the airworthiness areas of air carrier activities conducted under 14 CFR parts 121 and 135 (including activities of an applicant for a certificate to conduct those types of operations). "F" is also used for coding comments pertaining to the airworthiness areas for 14 CFR part 129 operators. This primary area code is generally used by airworthiness inspectors, however, operations inspectors should use the "F" primary area code if their comment relates to an airworthiness matter.

**"G" (General Aviation Airworthiness)**

The primary area "General Aviation Airworthiness" is used to code comments pertaining to the airworthiness requirements, programs, procedures, and functions of general aviation airworthiness activities. The "G" primary area code encompasses, but is not limited to, comments about activities involving general aviation airworthiness areas conducted under 14 CFR parts 91, 101, 103, 105, 125, 133, and 137.

**"H" (Aircraft)**

Note: For comments pertaining to certificated operators use the appropriate primary area code for example, air agencies (E) and air operators (A, B, F, G).

The primary area "Aircraft" is used to code comments pertaining to such items as aircraft condition, aircraft servicing, and scheduled or unscheduled aircraft maintenance. The elements of information used within this primary area should usually align with the ATA aircraft codes. This primary area is used to code comments about the condition of an aircraft and its systems during any type of work activity conducted by both operations and airworthiness inspectors.

**"J" (Crewmembers and Other Personnel)**

Note: For comments pertaining to certificated operators use the appropriate primary area code for example, air agencies (E) and air operators (A, B, F, G).

The primary area is used to code comments pertaining to the observation of all passengers, agents, fueling technicians, security personnel, or vehicle drivers.

**"O" (Performance Observation)**

The primary area "Performance Observation" is reserved for use with the SEP activities. The definitions, procedures and instructions for the use of this code are found in the SEP Work Instruction Guide. This primary area is only available when FAR 121 is selected.

**"P" (Program Review)**

The primary area "Program Review" is reserved for use with the SEP activities. The definitions, procedures and instructions for the use of this code are found in the SEP Work Instruction Guide. This primary area is only available when FAR 121 is selected.

**"Z" (Inspection Instructions)**

The primary area "Inspection Instructions" is reserved for use with the SEP activities. The definitions, procedures and instructions for the use of this code are found in the SEP Work Instruction Guide. This primary area is only available when FAR 121 is selected.

(3) **Identifying the Keyword Category**

The second step is to select the appropriate element of information from the Keyword List (see Appendix C). The keywords permit a more detailed breakdown of the primary areas into various elements of information.

For example, "Manuals" (200) in the keyword list is broken down as follows:

**200 - MANUALS**

201 - Content/Information

203 - Currency

205 - Revision/System

207 - Distribution

209 - Availability

299 – Other/Remarks

**NOTE: In this example "Manuals (200)" is a header for a category of keywords. This number 200 cannot be used to clarify a comment or be part of a comment code. It is of the utmost importance that the correct Keyword category is used. Always ensure that the Keyword used is in the category being discussed in the comment.**

Numeric-coded elements of information from the keyword list are combined with alpha codes for the applicable primary area to properly identify the specific item the inspector is commenting upon. For example, if the comment concerns the content of an air carrier operations manual, the PTRS

comment code that should be entered on the PTRS Data Form is “A201”. Similarly, if the comment concerns the distribution of the air carrier operations manual, the code should be “A207”.

### B. Opinion Code

One letter must be used when entering an opinion code. This entry will vary based on the primary area. The inspector opinion codes are designed to provide inspectors with more flexibility to express their opinions about evaluations or observations. The inspector opinion codes relate only to a particular narrative comment recorded.

**NOTE: There may be different opinion codes used in the comment section. The most critical opinion code determines the Results Code to be used in Section I unless the most critical opinion code relates to non-Flight Standards issues, e.g., comments relating to Airports or ATC.**

#### (1) *Opinion Codes for use with Primary Areas A-J*

*(a) “I” (Information)*

Inspectors should use this opinion code when information is included in the comment section. The **“I”** code provides a way to convey different kinds of information and comments to other persons, such as principal inspectors, who are able to review the comments and take any appropriate action.

*(b) “P” (Potential)*

Inspectors should use this opinion code for situations which are technically in compliance with the FARs but which, from a practical viewpoint are poorly planned and/or executed, and therefore could cause noncompliance with a FAR or safe operating practice. In these situations the “P” opinion code along with an appropriate narrative comment, can be used to indicate that noncompliance could have occurred had the inspector not intervened.

*(c) “U” (Unacceptable)*

Inspectors should use this opinion code for situations when a person, item, or subject area is not in compliance with the FARs, approved procedures, or safe operating practices. Entering a **“U”** inspector opinion code in Section IV on the PTRS Data Form will require an **“F”** or an **”E”** in the **“Results”** field in Section I.

**NOTE: With the exception of noncompliance with the FARs and/or approved procedures, entering a “U” (Unacceptable) inspector opinion code does not always require an enforcement investigative report (EIR) to be opened by the reporting office.**

**The primary aim in coding a comment “U” or “P” is to provide the inspector with the ability to use a judgment factor in evaluating its relative importance to aviation safety. Therefore, anytime a discrepancy or problem is observed, use the “U” or “P” code. This allows entry of several discrepancies that could identify a systemic problem.**

#### (2) *Opinion Codes for use with Primary Areas O (These opinion codes are only available when FAR 121 is selected).*

*(a) "C" (Controls)*

The opinion code "controls" as associated with the primary area "O" is reserved for use with the SEP activity. The definitions, procedures and instructions for the use of this code are found in the SEP Work Instruction Guide.

*(b) "O" (Outcomes)*

The opinion code "outcomes" as associated with the primary area "O" (or "P") is reserved for use with the SEP activity. The definitions, procedures and instructions for the use of this code are found in the SEP Work Instruction Guide.

*(c) "P" (Procedures)*

The opinion code "procedures" as associated with the primary area "O" is reserved for use with the SEP activity. The definitions, procedures and instructions for the use of this code are found in the SEP Work Instruction Guide.

*(d) "R" (Records)*

The opinion code "records" as associated with the primary area "O" is reserved for use with the SEP activity. The definitions, procedures and instructions for the use of this code are found in the SEP Work Instruction Guide.

**(3) *Opinion Code for use with Primary Area P***

*(a) "A" (Authority).*

The opinion code "authority" as associated with the primary area "P" is reserved for use with the SEP activity. The definitions, procedures and instructions for the use of this code are found in the SEP Work Instruction Guide.

*(b) "C" (Controls)*

The opinion code "controls" as associated with the primary area "P" is reserved for use with the SEP activity. The definitions, procedures and instructions for the use of this code are found in the SEP Work Instruction Guide.

*(c) "I" (Interfaces)*

The opinion code "interfaces" as associated with the primary area "P" is reserved for use with the SEP activity. The definitions, procedures and instructions for the use of this code are found in the SEP Work Instruction Guide.

*(d) "M" (Process Measures)*

The opinion code "process measures" as associated with the primary area "P" is reserved for use with the SEP activity. The definitions, procedures and instructions for the use of this code are found in the SEP Work Instruction Guide.

*(e) "P" (Procedures)*

The opinion code "procedures" as associated with the primary area "P" (or "O") is reserved for use with the SEP activity. The definitions, procedures and instructions for the use of this code are found in the SEP Work Instruction Guide.

*(f) "R" (Responsibility)*

The opinion code "responsibility" as associated with the primary area "P" is reserved for use with the SEP activity. The definitions, procedures and instructions for the use of this code are found in the SEP Work Instruction Guide.

**(4) *Opinion Code for use with Primary Area Z***

*(a) "I" (Information)*

The opinion code "information" as associated with the primary area "I" is reserved for use with the SEP activity. The definitions, procedures and instructions for the use of this code are found in the SEP Work Instruction Guide.

## 2. Comments Text

This is a requirement when a Primary Area/Keyword/Opinion Code is entered.

A PTRS record must include factual, concise and meaningful comments (If you include your professional opinion, subject to FOIA rules) based on observations or it has little value. Particular attention should be given to the identification of whom or what was observed or evaluated, what specific function was being accomplished, when and where it occurred, and how and why it happened, as appropriate. Recorded comments should be as brief and concise and provide closure. The use of familiar abbreviations and combined words are acceptable when they are known and understood by aviation-oriented personnel.

When selecting an appropriate PTRS comment code, inspectors must select a code which focuses on the actual issue or information intended to be conveyed by the narrative comment. The comment and opinion codes provide for the rapid processing of information and for the structured retrieval of information in a format that can be more readily analyzed. Before entering a comment, inspectors should determine the actual issue they want to convey. It is helpful before writing the comment to ask the question, "What is the actual issue or the information that should be conveyed by the comment?"

**An inspector's narrative comment of observations and evaluations are the most important parts of the overall work activity report.** The narrative comments are the only means of accurately recording what the inspector has actually observed. The recording of these comments is the final phase of a work activity.

Essential information such as dates, names of personnel, aircraft make/model/series, registration numbers, part numbers, and flight numbers that are recorded in Sections I, II, or III of the PTRS Data Form should not be repeated in the narrative comments recorded in Section IV of the form.

A complete and comprehensive report demonstrates that a "QUALITY" work activity was performed. When writing comments, consider the following items:

- Is the entry comprehensible; does it stand alone; is it complete, i.e., does the entire record answer the questions, WHO, WHAT, WHERE, WHEN, HOW, and WHY? The comment should not leave the reader asking questions and wondering what the inspector observed (indicate case closure).

- Did the inspection disclose significant findings, safety related issues, violations, discrepancies, equipment failures, informative comments, or other observations that should be entered? If so, put it in the record.

- Is the comment written to identify a trend related to an aircraft, an air carrier, an airport, personnel problems, etc?

- Is the comment written to identify a system breakdown? Is this an isolated incident or is it part of a systemic problem? Systemic problems would be documented in multiple observations, including multiple locations that indicate recurring deficiencies.

- If an FAR, Advisory Circular or FAA policy, etc. supports the facts reference it in the report.

- If there is a professional opinion, put it in the report.

- And remember, each comment must stand alone!

**ACTION TAKEN**

- Was the problem corrected on the spot?

- Who did the inspector deal with?

- Was the Principal Inspector contacted for FOLLOW-UP CORRECTIVE ACTION (if necessary)?

- Did the inspector coordinate with the regional office, headquarters, Flight Operations Evaluation Board (FOEB), National Transportation Safety Board (NTSB), Air Traffic, Airways Facilities, airports, the carrier, the manufacturer, etc?

**FOLLOW-UP ACTION**

Was a written recommendation made for?

- A change to regulations

- An Airworthiness Directive

- A Flight Standards Bulletin
- A Handbook revision
- Safety Recommendation (AAI-200)

Any other recommendation promoting safety?

### A. Selection of Comment Codes.

Each comment should be created as an individual item based on the primary subject matter or problem identified. If the subject or problem is primarily an Air Carrier Operations matter, use "A" or if an Aircraft problem, use "H". Every comment should be able to stand alone under its specific category. Creating a comment code should not be an arbitrary assessment by the inspector.

There should be consistency in the manner that comment codes are created and entered into PTRS. This allows similar items to be grouped together and provides analysis capability to identify system problems. If it is necessary to enter the item as a narrative type comment, enter the item by subject/problem under the most closely related Keyword category and use the other/remarks sub-category to enter the comment, i.e., 199, 399, 719, or 819, etc. This allows the entry of an item that may cover many subject areas, but needs continuity to be comprehensible.

### B. Supervisor/Management Responsibilities.

The effectiveness of PTRS depends on the effective and responsible management of the PTRS data collection system. Supervisors and managers must ensure that inspectors understand the system and the significance of providing factual and meaningful comments and opinions. It is important that inspectors be permitted to freely express their opinions. Supervisors and managers must promote and foster a positive working atmosphere to ensure that inspector comments are as objective and accurate as possible.

Supervisors and managers are required to carefully review PTRS Data Forms to ensure the accuracy of PTRS-coded entries and that the narrative comments support inspector opinions, findings, and recommendations. Supervisors and managers may change the PTRS activity "Results" code, e.g., from "S" to "E" to "F". However, supervisors and managers should not change an inspector's opinion code "U" or "P" or "I" or require the inspector to change the opinion code unless the inspector agrees that the entry was entered in error.

In the event that a disagreement exists between the supervisor and the inspector, the supervisor must add a comment to the record. The comment code, "J" (Other personnel), "903" (Communications), and "I" (Information) will be used to identify the supervisor's comments. The comment text should include the name of the supervisor and the date that the comments were entered.

#### (4) Signature Block

This optional area is provided for use by District Office management. It is not in the software application.

# SECTION 3. TRANSFERRING PTRS RECORDS

## 1. Transferring Between Offices

PTRS accommodates the transfer of PTRS records between offices. Examples of when this may occur include:

- Transfer of PTRS records which are part of the National Work Program Guidelines R-items;
- Transfer of records initiated by one office but completed by another office; e.g., a PTRS record for a re-examination (re-examinations are now conducted under the provisions of Section 44709 of Part A of subtitle VII of Title-49, U.S.C.); or
- When a change of CHDO for an air operator or air agency occurs, all remaining planned activities (R-items or P-items) may be transferred to the gaining office for accomplishment.

## 2. Initiation of the Transfer Process.

- The development of the annual surveillance work program is accomplished partially by the field office using the NPG activities (R-items) assigned by the FSAIC through the regional office. Occasionally, it may be necessary to reassign some R-items to different offices. The field offices, in coordination with the regional RAMPS coordinator, will take the necessary steps to transfer the planned activities.
- A field office may initiate an activity such as a re-examination (previously 609), but the work may be completed by another office. The record transfer can be accomplished as appropriate to complete the work activity.
- A field office may become aware of a work activity to be completed by another office. The planned or open PTRS record must be transferred to the office completing the activity.
- Other situations may occur, e.g., regional in-depth inspections, in which it will be appropriate to transfer PTRS records. Coordination between offices is necessary to satisfactorily complete the transaction. For audit trail purposes, the planned or open PTRS record must be transferred to the office that completes the activity.

## 3. Procedures.

- Offices may establish local procedures that accommodate the transfer of records. Certain essential elements must be accomplished to successfully complete the record transfer. The FSAS System Administrator is primarily responsible for accomplishing the transfer of the records and the specific

procedures are detailed in the FSAS VIS/PTRS Technical and Administrative Guide.

- The determination of which record(s) to transfer may be made by an ASI after a review with a supervisor.

- A source record and a target record must be identified. This requires coordination between the offices before the transfer may take place.

- The receiving office must have an existing PTRS record or must create a new PTRS record to receive the transferred data. This becomes the "target" record. Accuracy of the record ID is critical to the successful transfer of the record.

- An audit trail must be maintained for transferred records. Communications between the source office and target office should be confirmed by electronic media such as email or FAX.

- Transfer of R-items must be coordinated with the regional RAMPS Coordinators.

- The FSAS System Administrator will complete the transfer after the required information is provided by an ASI.

**A. Results of a Record Transfer.**

- The target office receives all rights to the transferred record, including the ability to make any necessary changes to the record.

- The target PTRS record includes the generic value of "TDY" in the Inspector Name Code field. The target office should retrieve the record and enter the appropriate Inspector Name Code in this field or it may remain "TDY" until a determination is made as to which inspector will be assigned the activity.

- The transferred record contains the Record ID number from the PTRS source record in the "Miscellaneous" field which provides the audit trail for the transfer.

- The source office loses all rights to the source record. The status field in the source record is completed automatically by the software with a "T" (Transferred) and no changes may be made in the record.

**B. Cancelling a Record Transfer.**

- The source office may cancel the transfer action at any time prior to the time the upload file is created, usually at the end of a normal work day.

- A FIX function exists in PTRS that allows the restoration of a record to the original "source" record. To accomplish this, the target office must return the record to the source office in accordance with the transfer procedures above.

## SECTION 4. RECORDING CERTIFICATION ACTIVITIES

### 1. Organizational Certification.

Organizational certifications relate to the ORIGINAL ISSUANCE of a certificate.

Organizational certifications require an evaluation of a potential air operator or air agency to determine if the applicant meets applicable requirements of the FAR.

#### A. General.

PTRS records must include data which indicates who participated in a certification and what activities were accomplished during the process.

(1) For Organizational Certifications in process, PTRS Activity Numbers in the 1200, 3200, and 5200 series are used.

(2) PTRS Activity Numbers with a 3 in the second digit shall be used to document all individual tasks related to the certification.. Activity Numbers with a 4, 5, or 6 in the second digit may be used if there are no appropriate Activity Numbers with a 3 in the second digit.

**NOTE: The method used by the FSDO/CMO for entering inspector PTRS work activity is dependent on the length of time the inspector is assigned to that office. See Chapter 4, Section 1, Paragraph 2B, Inspectors on Temporary Duty or Assigned Positions.**

#### B. Recording and Tracking Procedures.

(1) When initial contact is established with the applicant (no designator assigned), the inspector(s) will utilize a technical assistance record (1260, 3250, 5250) to track the pre-certification activities. If the certification process stops at this stage (before a designator is assigned), the PTRS record shall be closed with a result code of T-terminated.

(2) When a designator is obtained for the applicant, the inspector(s) will close out the technical assistance record (see above) and open a PTRS activity number(s) in the 1200, 3200, 5200 series, as as appropriate (e.g. 3230 and/or 5230 Air Agency Certification)... These activity code(s) will remain open throughout the entire certification process.

(3) All individual activities related to the certification (e.g. training program approval) shall be documented by utilizing an activity with a 3, 4, or 5 in the second digit. They can be opened (Status Code "O") at the beginning of the certification or recorded as they are accomplished. These PTRS records will be in addition to the 1200, 3200, and 5200 series.

### C. Record Completion Procedures.

(1) When an Organizational Certification is complete, the records with Activity Numbers in the 1200, 3200, 5200 series opened by each participating inspector must be closed. Only one inspector in each specialty (generally the principal inspectors) will close the record with a "C" code in the "results" block of the PTRS Data Form. All other inspectors will close their records with an "A" code to prevent recording multiple units of work for the certification.

Managers and supervisors should assure that only one record in the x2xx series for each specialty in a given certification exists and is closed with a "C" code in the "Results" data field.

(2) All activities having a 3, 4, or 5 in the second digit that were accomplished during the certification process should be closed with a "C" or "A" code in the "Results" data field as appropriate. Any activities with a 6 in the second digit should be closed with an "S" or "I" or "E" or "F" or "T" in the "Results" data field. Do not misconstrue this paragraph to mean that only the principal inspector is credited with a "C" for each activity in these series. The credit is intended for the inspector actually assigned the primary responsibility to perform the task.

## 2. Organizational Technical Administration.

After original certification, an air operator or air agency may request additional certification activities. Activity Numbers in the 1200, 3200, and 5200 series are not used for this kind of activity. Activity Numbers with a 3, 4, 5, or 6 in the second digit shall be used as appropriate.

**NOTE: The tracking technique used for Organizational Certifications is not necessary for Organizational Technical Administration.**

## 3. Designated Examiner Certification Activity Review.

The following procedures are established to create a framework for monitoring and tracking the activities and performance of Aircrew Program Designees (APDs), Designated Mechanic Examiners (DMEs), Designated Parachute Rigger Examiners (DPREs), Designated Pilot Examiners (DPEs), and Training Center Evaluators (TCEs).

The local office shall establish procedures for handling PTRS Data Forms for the designees. The implementation of the procedures in this section is mandatory. In addition, they can provide examiners with the overprinted PTRS Data Forms described below. This may be done simply by filling in the applicable fields and reproducing the form.

The following requirements apply to the fields described below:

#### (1) Inspector Name Code

The inspector reviewing the examiner certification package shall enter their three-letter name code.

#### (2) Record ID

This field shall be left blank by the examiner.

(3) **Activity**

Examiners shall enter code 1563, 3529, or 5529 in this field for all activities. Data sheets supplied to examiners should be overprinted with the appropriate activity number. See additional related instructions below for the "Exam Kind" field.

(4) **FAR**

Enter 14 CFR Part 183 in this field.

(5) **NPG**

This data field is not applicable for these PTRS activity numbers.

(6) **Status (POC)**

Inspectors shall enter "C" in this field when the review of the file is completed.

(7) **Call-Up Date**

This data field is not applicable for these PTRS activity numbers.

(8) **Start Date**

Enter the date that the certification actually was completed.

(9) **Results (ACEFISTX)**

"C" shall be entered in this field if the test phase has been completed, whether the applicant has been successful or not. If the test phase has been terminated with a failure, the test phase is complete and a "C" shall be entered in this field.

When a test phase is terminated before completion and the applicant's performance is satisfactory up to the point of termination, a "T" shall be entered in the "Results" data field with a brief explanation in the "Comment Text" data field.

In this case, the appropriate Primary Area code "A", "B", "E", "F", or "G" should be chosen as applicable to the Designated Examiner Certification Activity Review being conducted, followed by the Keyword code "109". A short explanation should be entered in the "Comment Text" field in Section IV such as, "Flight test terminated due to malfunction of simulator visual system."

(10) **Closed Date**

The date of the record review by the ASI must always be entered in this field.

(11) **Designator**

The air operator or air agency designator code must be entered in this field if applicable.

(12) **Affiliated Designator**

This field is provided for tracking activity of designated examiners. For FAR 142 Training Center Evaluators (TCE), enter the designator code of the air carrier for whom the TCE provided the service. For Designated Mechanic Examiners (DMEs) and Designated Pilot Examiners (DPEs), enter the FAR 147 or FAR 141 designator code for the school from which the applicant graduated. This provides for automatic forwarding of the information to the CHDO.

(13) **Aircraft Reg #**

Enter the aircraft N-number, if applicable. Leave this field blank for simulator and oral test phases.

(14) **LOC/Departure Point**

Enter a three-character or four-character location identifier for all activities. If the location where the activity is performed has no identifier, use the location identifier for the airport nearest to the activity whose identifier appears in the FSAS Airport table.

(15) **Make/Model/Series**

Make an appropriate entry for all test phases.

(16) **Simulator/Device ID**

Enter the identity of the simulator or device when Training Center Evaluator (TCE) activities are accomplished by this method. An entry in this field will be validated against the FSAS Simulator Table.

(17) **Airman Cert #**

This field is not used when recording designated examiner activities.

(18) **Name (Airman)**

This field is not used when recording designated examiner activities.

(19) **Examiner Cert #**

Enter the certificate number of the designated examiner that performed the certification action.

(20) **(Examiner) Name**

When a designee certificate number is entered in Block 28, the name of the designee must be entered in Block 29. The examiner's name should be entered as follows: last name (comma), space, first name, space, and middle initial (period), e.g., Doe, John M.

Enter the certificate number of the applicant that requested the certification action. "PENDING" is an acceptable entry when appropriate per airman certification instructions.

**NOTES:**

- In cases involving certification of foreign national airman without a US Certificate, enter the certification number of the country of origin in the Certificate Number field. Enter the country of origin in Section IV of the PTRS using comment code J109I.

- If the applicant certificate number is pending, enter "PENDING" in the Certificate Number field.

(21) **(Applicant) Name**

When an applicant's certificate number is entered in Block 30, the name must be entered in Block 31. The applicant's name should be entered as follows: last name (comma), space, first name, space, and middle initial (period), e.g., Smith, Jane C.

(22) **Rec(ommending) Instructor Cert #**

Enter the certificate number of the instructor that recommended the person for certification.

(23) **Rec(ommending) Instructor Name**

When a recommending instructor's certificate number is entered in Block 32, the instructor name must be entered in Block 33. The recommending instructor's name should be entered as follows: last name (comma), space, first name, space, and middle initial (period), e.g., Smith, John D.

(24) **Pass/Fail (P/F)**

In accordance with current handbook guidance, an "F" shall be entered in this field when the test phase is unsatisfactory and a "P" shall be entered when all phases of the test have been satisfactorily completed. The field is left blank if "T" was entered in the results field. This field is also left blank if the Exam Kind is one that not Pass/Fail, e.g. Student Pilot Certificates, Military Competency, CFI Renewals, and Certificates based on Foreign Pilot certificates. Entering a "P" for this type of review skews pass rate data.

(25) **Exam Kind**

Enter the appropriate activity for the type of activity that was conducted by the designated examiner. A look-up table or drop down list is provided for valid exam kinds.

**NOTE: The "Exam Kind" field must contain a valid activity number with the second digit of five. For example, if a pilot examiner gives a private pilot checkride, 1563 goes in the activity code and 1503/61 is placed in the exam kind field. If no valid value is entered in "Exam Kind" when entering a 1563, the record will be rejected by the mainframe when it is uploaded.**

(26) **8430-13#**

This data field is not used when entering designated examiner activities.

(27) **Tracking**

This data field is not used when entering designated examiner activities.

(28) **Miscellaneous**

When an examiner conducts a phase of the designated examiner test and is observed by an FAA inspector, "OBSVD" shall be entered in this data field. The inspector's name should be entered in the "Comment Text" data field.

(29) **Numeric Misc**

This data field is not used when entering designated examiner activities.

(30) **Local Use**

Use is optional. This field may be left blank. Field offices may use this field for their local needs, e.g., Designated Mechanic Examiners (DMEs) and designated pilot examiners (DPEs) may want to record such information as AMA (airframe) and AMP (powerplant), etc.

(31) **Regional Use**

and

(32) **National Use**

These data fields are not used when entering designated examiner activities.

**Other Fields in Section I:** The remaining fields in this section may not apply and therefore may be left blank.

### A. SECTION IV – COMMENT SECTION (Unlimited).

Examiners are encouraged to make entries in this field. The reasons and circumstances surrounding the failure of an applicant should contain a comment. Examiner comments need not be limited only to this type of topic. A blank line should be left between each separate comment. To assist in the standardization of coding, examiners should leave the coding blank. The reviewing inspector should code the examiner's remarks.

In the event a file is returned for any reason, the reviewing inspector shall provide a narrative comment explaining why the file was rejected and the comment code J307U should be used.

## SECTION 5. RECORDING INSPECTIONS

### 1. Special Emphasis Inspections

An AFS Special Emphasis Inspection is an audit to determine the status of certificate holders' safety standards with specific regard to:

- Compliance with the FARs that apply to the certificate held and the types of operations conducted.

- Compliance or adherence to procedures developed by the certificate holder and approved or accepted by the FAA.

- Reliability or integrity of systems or procedures developed by the certificate holder to ensure continued compliance with regulatory requirements.

Special Emphasis Inspections may be directed by headquarters, by regions, or by a district field office. In additional to AFS Special Emphasis inspection programs, the Department of Defense (DOD) Air Carrier Survey and Analysis Office conducts evaluations and safety surveys of air carriers doing contractual business with DOD.

The results of Special Emphasis inspections and the DOD Survey program are entered and tracked in PTRS. Each program has a specific purpose and the PTRS recording procedures for these inspections may be different from the normal PTRS entry process.

## SECTION 6. RECORDING INVESTIGATIONS

### 1. General.

All inspectors participating in an investigation shall record their activity in PTRS.

#### A. Investigation Support.

If an inspector other than the reporting inspector provides investigation support (interviews a witness, obtains documents, participates in investigating an accident at the site, observes a tear-down of a product, etc.) in their office or another district office (DO), the inspector shall use the appropriate activity number listed under investigation "Technical Support Functions", e.g., 17xx, 37xx, 57xx. The supporting inspector shall also enter the investigation number assigned by the investigating DO in the "Complaint #", "Occurrence #", "Incident #", "EIR #", or "Accident #" data field on the PTRS Data Form. Close the technical support functions activity with a "C" in the Results field (The "A" results code is not used to close an investigation).

#### B. FAR Violations.

The FAR under which an air operator, air agency, or person is operating when the violation is committed is entered in the "FAR" data field (Block 4) on the PTRS Data Form. The specific FAR(s) that were allegedly violated are recorded in the Comment Section.

## SECTION 7. REFERENCE OF ADDITIONAL PTRS TRACKING REQUIREMENTS

Additional tracking requirements are established by other FAA orders, notices, handbook, etc; which can be found at the FSIMS website (http://fsims.avs.faa.gov/fsims/fsims.nsf)

These requirements change frequently and it is essential that inspectors maintain a constant awareness of them.

# APPENDIX A. RESULTS CODE TABLE

| Activity Type | RESULTS CODES | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | Assistance A | Completed C | Enforcement E | Follow-Up F | Information I | Satisfactory S | Terminate T | Canceled X |
| Surveillance (X6XX) (see reference table below) | X | | X | X | X | X | X | X |
| Investigations (X7XX) | | X | | | | | X | |
| All Others | X | X | * | | * | | X | |

* Special rules apply to certain Activity Numbers (e.g. 1082, 1084, 1086, 1088, 3082, and 5082)

**Surveillance Activities (X6XX):**

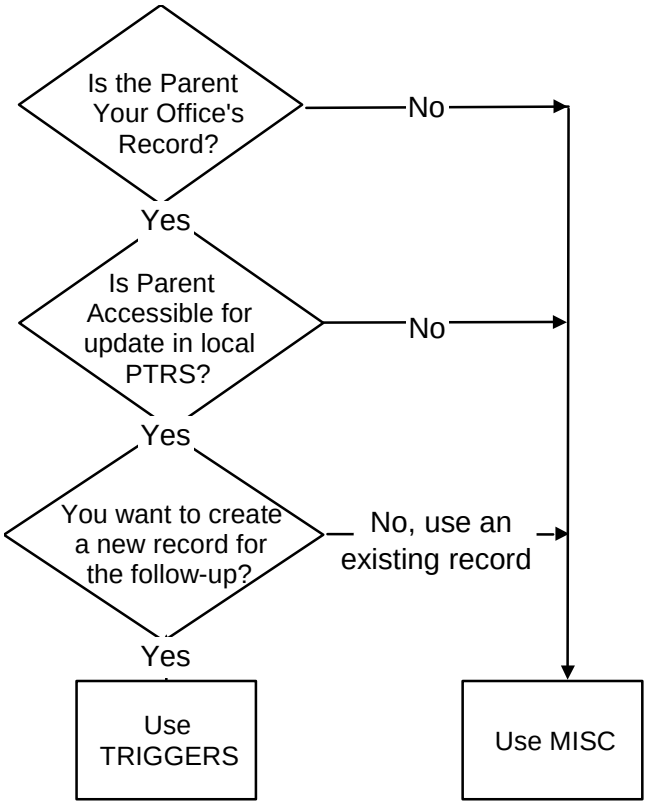
| | |
|---|---|
| **A** | ***Assistance*** - Indicates two inspectors of the same specialty combined their efforts to accomplish an activity. The assisting inspector will use the "A" code. Comments optional. **Do not use with Investigation activities.** |
| **E** | ***Enforcement*** - Indicates a violation was found and an enforcement activity will be opened. The enforcement number must be included in the "EIR #" data field. An enforcement activity PTRS record must be created manually or by using the Triggers function. Comments required. |
| **F** | ***Follow-up***<br>• Can be used in two ways:<br>"On-The-Spot" Corrections - a potential problem was identified and follow-up-action was completed before the activity was closed. A minor finding that is corrected at the time of the inspection must be documented in the Comment Section indicating closure and that no further action is necessary.<br>OR<br>Potential problems were identified, corrective actions directed, and a follow-up activity has been scheduled. The scheduled follow-up activity PTRS record may be created manually or by using the Triggers function.<br>• Comments required. |
| **I** | ***Information*** - The inspection was satisfactory and information is provided in the Comments Section. Comments required. |
| **S** | ***Satisfactory*** - Indicates Surveillance activity in full compliance with the FARs. Comments prohibited. |
| **T** | ***Terminate*** - Refer to the current National Flight Standards Work Program Guidelines (NPG) Order for specific guidance. Terminate can be used to terminate required work activities (R- items) when the activity can not be accomplished (e.g. surrender or revocation of certificate, operator has gone out of business). Comments required. |
| **X** | ***Canceled*** - Used to cancel required work activities (R-items) under certain conditions. Refer to the current National Flight Standards Work Program Guidelines (NPG) notice for specific guidance. Comments required. **The cancellation of non R-items for surveillance activities is optional.** |

Where is this referenced in the document so that the readers will be aware of it?

# APPENDIX B. HOW TO TIE RECORDS TO THEIR FOLLOWUPS

LOOK AT THE RECORD REQUIRING FOLLOW-UP. We refer to this as the "PARENT RECORD." Decide to use the TRIGGERS or MISC methods as follows:

**Normal**




**MISC:**

A. Open (or create) the record to be used for follow-up.

B. Enter the appropriate information in Section I of the record (and Sections II and III if appropriate).

C. Enter the Record ID of the parent record in the MISC field.

D. You may wish to enter a comment to spell out what occasioned the follow-up and what the follow-up will look for.

E. If you are able to edit the parent record, enter a comment using Keyword 907, thus:

| | | | |
|---|---|---|---|
| * | 907 | I | FOLLOW-UP: 3626/WP14200300123 |

* Use A, B, F, G., etc., as appropriate to your follow-up activity. In this case, F or G would seem appropriate.

**Normal** **TRIGGERS:**

**Note:** You must be in **Folder View** to use these steps to Trigger a PTRS.

1. Highlight the folder that contains the **Parent** PTRS record that needs a **related** (triggered) record.
2. Select **Document** from the **Menu Bar**.
3. Select **Trigger PTRS** and wait while the new PTRS form is loading…
4. When the PTRS form appears, change the **Activity Number** to the appropriate **Activity Number** for the Triggered record.
5. Enter a **Call-up Date**. (This is the date you plan to accomplish the follow-up activity.)
6. Notice several fields from **Section I** of the **Parent record** have been duplicated in the triggered record. Be sure to change or add data to the **triggered** record so it reflects the correct information. Note: The trigger process **does not copy** any information from the **Personnel**, **Equipment**, or **Comment Sections**.
7. Save and Close the record.

Notice the **Triggered** folder is a sub-folder of the **Parent** folder. The folder name indicates a trigger and the date it was created. To rename the folder, right-click the folder, then select **Rename Folder**.

1. **To Tie the Parent Record to the Triggered Related Record:**

   Follow steps 1-7 then proceed as follows:

   If you created your **Parent** and **Triggered** records in the **Briefcase**, follow Steps 8-10 below. If you created the **Parent** and **Triggered** records on the **Server**, just complete Step 10.

   8. Right-click the **Parent folder** in the **Briefcase**, then select **Update**. This process sends a copy of the Parent record to the server and assigns a permanent Record ID.
   9. Right-click the **Triggered folder** in the **Briefcase**, then select **Update** to obtain a permanent **Record ID** for this record. Make note of this **Record ID**.
   10. Open the PTRS Record in the **Parent** folder. Enter a comment using the **Keyword** 907 and the triggered record's **Activity Number/Record ID** in the **Comment** text, thus:

- Please note that you may not have the Keyword 907 available for the (Repair Station) and other related activity numbers.

| | | | |
|---|---|---|---|
| * | 907 | I | Follow-up: 1621/WP14200800123 |

* Use A, B, F, G, etc., as appropriate to your follow-up activity.

# APPENDIX C. KEYWORD LIST

**Primary Areas**

A Air Carrier Operations
B General Aviation Operations
C ATC/Air Space
D Airports
E Air Agencies
F Air Carrier Airworthiness
G General Aviation Airworthiness
H Aircraft
J Crewmembers/Other Personnel

**KEYWORD LIST**

**000 CSET**

010 Aircraft Configuration Control
020 Manuals
030 Flight Operations
040 Persnl Training/ Qualifications
050 Route Structure
060 Airman Crew Flt Rest/Duty Time
070 Technical Administration
080 Risk Indicators
090 Other

**100 Personnel**

101 Knowledge
103 Ability/Proficiency
105 Qualifications/Currency
107 Staffing
109 Certificates/Ratings
111 Briefings
113 Rosters
115 Authority for Return to Service
117 Duty Time/Limitations
119 Drug/Alcohol Program
199 Other/Remarks

**200 Manuals**

201 Content/Information
202 EASA Supplement
203 Currency
205 Revision/System
207 Distribution
209 Availability
211 Air Agency Manuals
299 Other/Remarks

**300 Records/Reports**

301 Disposition/Retention
303 Procedures
305 Personnel
306 Student Records
307 Content/Information
309 Currency
311 Availability
313 A/C Discrepancies
315 Inspections
317 Major Repairs/Alterations
319 Return to Service
321 Quarterly Utilization Report
328 Shift Turnover Procedures
335 Maint Recording Requirements
399 Other Remarks

**400 Training**

401 Program
402 Approved Program
403 Curriculum
404 Manual
405 Aids/Devices
406 Operator Required Training
407 Testing
409 Records
411 Facility
413 Instructors
499 Other/Remarks

**500 Facilities/ Equipment/Surface**

501 Adequacy
502 Maint/Control/Storage
503 Environmental/Bird Strikes
504 Parts Segregation
505 Lighting
506 Test Cells
507 Snow & Ice Control
508 Parts Storage and Protection
509 Runways
510 Hazardous Material
511 Taxiways
513 Sterile Area
515 Ramp/Gate Area
517 Vehicles/Other Equipment
519 Obstruction
521 Construction
523 Contamination/F.O.D.
525 Markings
527 Signs
529 Approach Aids
531 Navigational Aids
533 General Housekeeping
535 Segregation Shops
537 Human Factors
599 Other/Remarks

**600 Conformance**

601 Crew Complement
603 Procedures
604 Contract Facility Audits
605 Checklist
607 MEL/CDL
609 Approved Program
610 Technical Data
611 Airworthiness Directive
613 Weight and Balance
615 Analysis and Surveillance
617 Regulations
619 Security
621 Operations Specifications
623 Sterile Cockpit
625 A/C Limitations
627 Carry on Bags
628 Compliance with CAMP
629 Cabin Safety
631 Company Directives
633 ATC Clearances
635 Public Safety
637 Passenger Handling
639 Flight and Duty Time
641 Hazardous Material
643 Waivers/Authorization
644 Manuf Req/Equivalent
645 Manufacturers Manuals/Data
647 FAA Approved/Accepted Data
648 Functions Facilities Data
649 Designee Approved Data
651 Process Specifications
658 RLL Requirements
661 Approved Maintenance Functions
663 Deviations
665 Operational Check
699 Other/Remarks

**700 Operations**

701 ATC/Clearance
703 ATIS
705 SAWRS/AWOS
707 SID's/STARS
709 SIAP's
711 Procedures
719 Other/Remarks
721 Preflight
723 Predeparture
725 Taxi/Take Off
727 Climb
729 Cruise
731 Descent
733 Approach
735 Landing/Taxi
737 Crew Coordination
739 Vigilance
741 Flight Navigation
743 Marshalling/Parking
749 Other/Remarks
751 Inflight Comm
753 Ground Comm
755 Land Based Comm
757 Weather
759 Flight Information
761 Flight Tracking
763 Flight Planning
765 Dispatch/Flight Release
767 A/C Loading
779 Other/Remarks
781 Check Airmen
783 Designees
785 Dispatchers/Flight
786 Voluntary
787 Involuntary/Need
788 Involuntary/Performance
799 Other/Remarks

**800 Maintenance**

801 Procedures/Methods/ Systems
802 Inspection Systems
803 Programs
804 Logbooks
805 Carryovers
806 Agency Certificate/Ratings
807 Taxi/Towing
808 Fueling
809 Required Placards
810 Servicing
811 Standard Practices
812 Deicing
813 Scheduled
814 Unscheduled
815 Parts/Materials
816 Equipment/Tools
817 Test Equipment Calibration
819 Other/Remarks
820 Suspected Unapproved Parts SUPs
821 Air Conditioning
822 Auto Flight
823 Communications
824 Electrical Power
825 Equipment/Funishing
826 Fire Protection
827 Flight Controls
828 Fuel
829 Hydraulic Power
830 Ice/Rain Protection
831 Ind/Recording
832 Landing Gear
833 Lights
834 Navigation
835 Oxygen
836 Pneumatic
837 Vacuum/Pressure
838 Water/Waste
839 EE Panels/Component
840 Records/Work Orders
841 Life/Limits
843 Documentation/Traceability
845 Continuity of Inspection
849 APU
851 Structures
852 Doors
853 Fuselage
854 Nacelles/Pylons
855 Stabilizers
856 Windows
857 Wings
861 Propellers
865 Rotors
871 Power Package
872 Engine
873 Engine Fuel
874 Ignition
875 Bleed Air
876 Engine Controls

**800 Maintenance (Cont)**

877 Engine Indicating
878 Engine Exhaust
879 Engine Oil
880 Starting
881 Turbine (Recip)
882 Water Inj.
883 Gear Box
890 Designees
891 Inspection Authorization
892 Repairmen
899 Other/Remarks

**900 Management**

901 Organizational Structure
903 Communications
905 Effectiveness
907 Coordination
909 Authority
911 Info Dissemination
913 Qualifications
919 Other/Remarks
951 PTRS Data Sheet
953 Keyword Listing
955 Job Aids
957 Instructions
959 Handbook Material
961 Other Directives
963 Inspector Training
965 FAA Forms
967 Advisory Circulars
971 Terminated NPG Surveillance
972 Cancelled NPG Surveillance
973 NPG Surveillance Deviation
974 Retarget New Entrant NPG

999 Other/Remarks

The following are SEP codes which are no longer valid. These codes are being kept for reference purposes only.

**SEP Primary Areas**

0 Performance Observation
P Program Review
Z Inspection Instructions

13P (Reserved)
131 Maintenance Program
132 Inspection Program
133 Maintenance Fcility/Min Mint
134 Required Inspection Items (RII)
135 MEL/CDL/Deferred Mintennce
136 D Mngement
137 Outsource Orgniztion
138 Control of Clib Tools/Test Eq
139 Eng/Mjor Repirs ND Ltert

**200 Manuals**

211 Mnul Currency
212 Content Consistency Cross Mnu
213 Distribution (Manuals)
214 Availability (Manuals)
215 Supplemental Ops Manual Requirements

KEYWORD LIST

**300 Flight Operations**

311 Passenger Hndling
312 Flight Attend Duties/Cabin Proc
313 Airman Duties/Flight Deck Proc
314 Operational Control
315 Carry-On Baggage
316 Exit Seting
317 De-Icing Program
318 Carriage of Cargo
319 Aircraft Perf Operating Limit
31A Lower Landing Minimums
31B Computer Based Record Keeping S
31C Hazmat/Dangerous Goods Program
31D Other Personnel with Operational Contr
321 Disptch or Flight Relese
322 Flight /LOD Mnif /W & B Cont
323 MEL/CDL Procedures

**400 Personnel/Training Qualif**

411 RII Personnel
412 Maintenance Certificate Requirement
421 Maintenance Training Program
422 RII Training Requirement
423 Training of Flight Ten
424 Training of Dispatchers
425 Training of Station Personnel
426 Training of Station Personnel
427 Training of check airman and In
428 Simulators/Training Devices
429 Outsource Crewmember Training
42A Privileges and Limit for Rep
42B Training of Flight Followers
431 Pilot Ops Limit/Recent Experience
432 Airman/Crew checks and Qualifications
433 DV Qualification Program (QP)
441 Recency of Experience
442 Display of Certificate
443 Privileges Airframe and Powerplant
444 Privileges and Limit for Rep

**500 Route Structures**

511 Line Stations
512 Weather Reporting /SWRS
513 Non-Federal NVIDS
514 Altimeter Setting Sources
515 Station Facilities
516 Use of PP Res, Routes, IRP
517 Special Navigation Res of Oper
518 ETOPS
519 Obstruction

**600 Airman and Crewmember Flight**

**700 Technical Administration**

711 Director of Maintenance
712 Chief Instructor
713 Director of Safety
714 Director of Operations
715 Chief Pilot
716 Maintenance Control
721 Safety Prog (Ground and Flight)

**800 Operational Stability**

814 Safety Program/Internal Evaluation Program
811 Changes in Required Management Personnel
812 Changes in Air Carrier Management
813 Turnover in Pers/Reduc in W/F
815 Res. Mgt. Trn (Ops, Maintenance, Disp, F/)
816 Rapid Expansion or Growth
817 New or Major Program Changes
818 Labor Management Relations
819 Labor Management Relations
81A OST Economic Authority
821 Enforcement Actions
822 Self Disclosures
823 Complaints
824 Coop Relations with SSGND PIs
825 Accidents, Incidents, or Occurences
826 DOD/NSIP/RSIP/OSIP
831 GE of Fleet
832 Vrie fleet Mix ND Mixed CFG
833 Complexity of CFT/New Type
834 Cabin Safety
835 Aircraft Conformity

**836 Outsource Maint, Training and Ground Hn**

837 Seasonal Operations
838 Reloc/Closing of Facilities
839 Lease Arrangements

**911 Other Programs**

912 Drug and Alchol Program
913 Security Program

**100 Aircraft Configuration Control**

111 Aircraft Airworthines Requirement
112 Appropriate Operational Equipment
113 Special Flight Permits
121 121 Airworthin. Release or Log Entry
122 MJOR Repirs ND Ltert. Recs
123 Mintennce Log/Recording Req
124 MIS Reports
125 Mech. Relibility Reports (MRR)
126 Aircraft Listing
13A Prts/Mteril Control/SUP
13B Continuous NL ND Surv (CS)
13C SFR36
13D Designted Lterntion Sttion
13E Generl Mintennce Mnul/Equi
13F Relibility Program
13G Fueling
13H Weight nd blnce Progrm
13I Deicing Program
13J Lower Lnding Minimums
13K Engine Condition Monitoring
13L Prts Pooling
13M Prts Borrowing
13N Short-Term Escltions
130 CSE

# APPENDIX D. PTRS Data Forms

**PROGRAM TRACKING AND REPORTING SUBSYSTEM DATA SHEET**
**(One PTRS Record Required for Each Unit of Work as defined in the PPM)**

**SECTION I – Transmittal**

**Inspector Name Code:**

| | | |
|---|---|---|
| Record ID: | Activity Number: | FAR: |
| NPG: | Status (POC): | Call-up Date: |
| Start Date: | Results (ACEFISTX): | Closed Date: |
| Designator: | Affiliated Designator: | OTNA: |
| Aircraft Reg #: | Loc/Departure Point: | Loc/Arrival Point: |
| Flight #: | Complaint #: | Occurrence #: |
| Make-Model-Series: | | Incident #: |
| Simulator/Device ID: | | EIR #: |
| Non-Cert Activity Name/Company: | | Accident #: |

| | |
|---|---|
| Airman Cert #: | Name: |
| Examiner Cert #: | Name: |
| Applicant Cert #: | Name: |
| Rec Instructor Cert #: | Name: |

| | | |
|---|---|---|
| Pass/Fail: | Exam Kind: | 8430-13 #: |
| Tracking: | Miscellaneous: | Numeric Misc: |
| Local Use: | Regional Use: | National Use: |

| | | | | |
|---|---|---|---|---|
| Triggers | Activity Number: | Repeated Number: | Geographic? Yes ☐ No ☐ | Foreign? Yes ☐ No ☐ |

**SECTION II – Personnel (unlimited)**

| Personnel Name | Position | Base | Remarks (23 Characters) |
|---|---|---|---|
| | | | |
| | | | |
| | | | |

**SECTION III – Equipment (unlimited)**

| Manufacturer | Model | Serial # | Remarks (23 Characters) |
|---|---|---|---|
| | | | |
| | | | |
| | | | |

**SECTION IV – COMMENT (unlimited)**

| Primary Area | Keyword | Opinion Code | **Comment Text (unlimited length)** |
|---|---|---|---|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

**Date:** **Originator:** **Office:**

**Inspector Signature** **Supervisor Initials:**

FAA Form 8000-36 10-99)

**NOTE: All zeros are to be written as a theta symbol (Ø) to differentiate them from the letter "O".**