



**U.S. DEPARTMENT OF TRANSPORTATION**  
**FEDERAL AVIATION ADMINISTRATION**  
National Policy

**ORDER**  
**2150.3B**

Effective Date:  
10/01/07

**SUBJ: FAA Compliance and Enforcement Program**

This order contains policies, procedures, and guidelines for the Federal Aviation Administration's compliance and enforcement program. The order also articulates the FAA's philosophy for using various remedies, including education, corrective action, informal action, remedial training, administrative action, and legal enforcement action, to address noncompliance with statutory and regulatory requirements enforced by the FAA. It provides for the public a written statement of the Administrator's policy guidance for imposing sanctions for violations of such requirements.

The order is used at all levels by agency personnel who are engaged in the investigation, reporting, and processing of enforcement actions. It applies to all offices with regulatory responsibilities.

This revision of the order comprehensively updates policies, procedures, guidance, and assignments of responsibility. It reorganizes the order in a manner more useful for agency personnel and is available electronically to agency personnel and the public. The revision amends agency sanction guidance to conform to statutory changes resulting from Vision 100 Century of Aviation Reauthorization Act and incorporates guidance into the agency's compliance and enforcement program order on policies and programs that have developed since the last comprehensive order revision in 1988. Those include policies relating to the FAA's exercise of its authority to administratively assess civil penalties and guidance on the agency's voluntary safety programs.

A workgroup of agency personnel from the field and headquarters with extensive experience in statutory and regulatory enforcement reviewed the agency's policies and programs in this area to produce this comprehensive revision of the agency order on its compliance and enforcement program.

A handwritten signature in black ink, appearing to read "Robert A. Sturgen".

Robert A. Sturgen  
Acting Administrator

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Initiated By: AGC-300

## Chapter 7. Sanction Guidance Policies

**1. Purpose.** This chapter provides the FAA's policies for determining an appropriate sanction once FAA enforcement personnel decide that legal enforcement action is appropriate. This chapter contains the general policy the FAA intends to apply in selecting the types of sanctions, ranges of sanctions within those types, and specific sanction amounts to impose in legal enforcement actions for typical violations of the FAA's statute and regulations. This guidance covers the parameters both for selecting sanctions and for modifying sanctions during the informal procedures. The guidance in this chapter is applied in adjudications under 49 U.S.C. §§ 44106, 44709, 44710, 44726, 44924, 46111, 46301, and 70115. Hazardous materials sanction guidance and policies are addressed in Appendix C.

### **2. General Guidelines.**

#### **a. Certificate Suspension Action and Civil Penalty Action: Sanctions for Punitive and Deterrent Purposes.**

(1) General. If a certificate holder improperly exercises the privileges of a certificate, a natural consequence of that act is to lose the privileges for a period of time commensurate with the violation. Balanced against this principle, however, the FAA considers the adverse impact that a certificate suspension could have on the public. Thus, the agency generally suspends the certificates of individual certificate holders for violations. However, the FAA usually takes civil penalty action against air carriers and airports because such actions do not disrupt service, which may adversely affect the public. Nevertheless, when the FAA determines that safety considerations warrant it, the agency will suspend the certificate of any type of certificate holder. In no case will the FAA take civil penalty action alone when remedial legal action is necessary or appropriate.

(2) Use of both punitive certificate action and civil penalty action for the same violations. The FAA generally does not take civil penalty action and punitive certificate action (that is, certificate suspension for a fixed period of time) against a certificate holder for the same conduct. If unusual circumstances warrant deviation from this practice, legal counsel consult with the Assistant Chief Counsel for Enforcement (AGC-300) before initiating the actions.

(3) Change in type of proposed sanction. The initial enforcement action reflects the agency's best assessment of the appropriate sanction for the violations alleged. After initiating the action, legal counsel ordinarily does not change the type of sanction unless additional facts or circumstances are presented to the FAA that warrant a change. If the action was coordinated under chapter 6, paragraph 3, with AGC-300 before initiation, then legal counsel coordinates any change in the type of sanction with AGC-300 before making the change.

#### **b. Legal Sanctions for Remedial Purposes.**

(1) Indefinite certificate suspension pending compliance or demonstration of qualification. Suspension action is appropriate where there is a need temporarily to

d. Pending compliance or corrective action; injunctive relief. For many kinds of violations, there may be circumstances where the FAA should not allow the offending entity to continue to operate or to continue in business. Examples include a certificate holder that does not allow an FAA inspector to inspect the holder's operation or facilities, or an unapproved manufacturer that produces aircraft parts in violation of 14 C.F.R. § 21.303. In that circumstance, suspension of an entity's certificate or other approval, pending compliance or corrective action, or injunctive relief against an entity that does not hold an FAA approval, would be appropriate. In egregious circumstances revocation of the entity's certificate or other approval may be warranted. Such action or relief may be considered in addition to the assessment of a civil penalty as recommended in the following tables.

Furthermore, amendment or modification of a certificate or approval may be appropriate in the circumstance where a definitive part of the offending entity's operation can be safely excluded from the operational approval. An example is an approved aircraft parts manufacturer that makes multiple kinds of parts, but has quality control problems for only one kind of part. Such action may be considered in addition to the assessment of a civil penalty as recommended in the following tables.

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**1. U.S. AIR CARRIERS, U.S. COMMERCIAL OPERATORS, PART 125 OPERATORS, AND PART 129 OPERATORS.**

<b>Fig. B-1-a. Maintenance Manual</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Failure to maintain current manual	Minimum	Up to 7-day suspension
(2) Failure to provide adequate instructions and procedures in manual	Moderate to Maximum	
(3) Failure to distribute manual to appropriate personnel	Minimum to Moderate	
(4) Release of aircraft without required equipment	Moderate to Maximum	Up to 7-day suspension

<b>Fig. B-1-b. A/W Directive</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Failure to comply	Moderate to Maximum	

<b>Fig. B-1-c. Operations Specifications</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Exceed inspection or overhaul time limitation	Moderate	Up to 7-day suspension
(2) Operation contrary to ops specs – technical noncompliance	Minimum	
(3) Operation contrary to ops specs – likely potential or actual adverse effect on safe operation	Moderate to Maximum	

<b>Fig. B-1-d. Facilities and Equipment</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Failure to provide adequately for proper servicing, maintenance, repair, or inspection of facilities and equipment	Maximum	Indefinite Suspension until proper servicing, maintenance, repair and inspection of facilities and equipment is provided to Revocation

<b>Fig. B-1-e. Maintenance and Inspection Organization</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Failure to provide or maintain a maintenance and inspection organization	Maximum	Indefinite Suspension until an appropriate maintenance and inspection organization is provided to Revocation
<b>Fig. B-1-f. Training Program</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Failure to have training program	Maximum	Indefinite Suspension until compliance to Revocation
(2) Failure to maintain training program	Moderate to Maximum	
(3) Failure to train personnel adequately	Moderate to Maximum	
<b>Fig. B-1-g. Maintenance or Aircraft Paperwork</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Incomplete or unsigned release	Minimum to Maximum	
(2) Failure to revise a/c data after repair	Moderate to Maximum	
<b>Fig. B-1-h. Performance of Maintenance</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) By unauthorized person	Maximum	
(2) Failure to perform or improper maintenance	Moderate to Maximum	
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(1) Failure to comply – second offense	Maximum	
<b>Fig. B-1-j. Records and Reports</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Deliberate violation		
(a) Intentionally false or fraudulent entry, reproduction, or alteration in record or report		Revocation
(b) Other		180-day Suspension to Revocation

<b>Fig. B-1-j. Records &amp; Reports cont.</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(2) Failure to make accurate mechanical interruption summary report	Moderate to Maximum	
(3) Failure to make available report of major alteration or repair	Moderate to Maximum	Indefinite Suspension to Revocation
(4) Failure to make accurate mechanical reliability report	Moderate to Maximum	
(5) Failure to make required entry in aircraft log	Minimum to Maximum	
(6) Failure to make available pilot record	Moderate to Maximum	Indefinite Suspension to Revocation
(7) Failure to make available load manifest	Moderate to Maximum	Indefinite Suspension to Revocation
(8) Failure to monitor and record enroute radio communication	Moderate to Maximum	

<b>Fig. B-1-k. Dispatch and Flight Release Rules</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Any violation of subpart U of 14 CFR part 121	Moderate to Maximum	

<b>Fig. B-1-l. Operation of unairworthy aircraft</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Technical non-conformity to TC; no likely effect on safe operation	Minimum	
(2) Non-conformity to TC that may have, or has, adverse effect on safe operation	Moderate to Maximum	
(3) Release of aircraft without required equipment	Moderate to Maximum	Up to 7-day suspension

<b>Fig. B-1-m. Provisions specific to passenger-carrying</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Boarding, or serving alcoholic beverage to, a person who appears to be intoxicated	Maximum	
(2) Failure to brief passengers	Moderate to Maximum	
(3) Failure to ensure seat and belt for each passenger	Maximum	
(4) Operation w/o operable public address system	Maximum	
(5) Failure to store baggage properly	Moderate	

<b>Fig. B-1-n. Provisions specific to flight deck crew</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Use of crewmember with expired medical certificate	Minimum to Moderate	
(2) Failure to make flight deck seat available to authorized enroute inspector	Maximum	



<b>Fig. B-1-n. Provisions specific to flight deck crew cont.</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(3) Use of unqualified crewmember	Maximum	
(4) Flight and Duty Time violation	Moderate	

<b>Fig. B-1-o. Other provisions</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Improperly Returning Aircraft to service	Maximum	
(2) Illegal carriage of controlled substance with knowledge of carrier, that is, knowledge of, or involvement in, conduct by top management personnel		Revocation
(3) Use of unqualified personnel other than flight deck crewmember	Maximum	

<b>Fig. B-1-p. Operations at airports requiring slots</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Operation without a reservation from ATC	Moderate	
(2) Operation with a reservation, but at the wrong time	Moderate	
(3) Use of international slot for domestic flight	Moderate	
(4) Use of aircraft not meeting criteria in 14 C.F.R. § 93.123(c)(2) in commuter slot	Moderate	

## **2. PERSONNEL OF AIR CARRIERS, COMMERCIAL OPERATORS, AND PART 125 OPERATORS.**

<b>Fig. B-2-a. Maintenance, including inspection</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Performing maintenance without certificate, rating, or authorization	Maximum	
(2) Performing maintenance that exceeds limitations		30- to 45-day Suspension
(3) Failure to perform maintenance properly		30- to 120-day Suspension

<b>Fig. B-2-b. Inspection</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Failure to make required inspection		30- to 60-day Suspension
(2) Making improper inspection		30- to 120-day Suspension
(3) Improper release of aircraft to service		30 to 60-day Suspension
(4) Releasing aircraft for service without required equipment		30 to 60-day Suspension

<b>Fig. B-2-c. Records and Reports</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Failure to make entry in aircraft log		15- to 60-day Suspension
(2) Failure to make entry in worksheet		15- to 30-day Suspension
(3) Failure to make entry in other maintenance record		15- to 30-day Suspension
(4) Failure to sign-off work or inspection performed		15- to 30-day Suspension
(5) Failure to complete and sign maintenance release		15- to 30-day Suspension
(6) Intentionally false or fraudulent entry, reproduction, or alteration		Revocation

<b>Fig. B-2-d. Flight operations</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Preflight		
(a) Failure to use, or improper use of, checklist		30- to 60-day Suspension
(b) Failure to check aircraft log, flight manifest, weather, etc.		30-to 90-day Suspension
(c) Failure to make required inspection		30- to 60-day Suspension
(d) Failure to inspect, or improper inspection of, aircraft		15- to 30-day Suspension
(e) Failure to ensure seat and belt available for each passenger		30- to 60-day Suspension
(2) Taxiing		
(a) Failure to adhere to clearance to instruction		30- to 60-day Suspension
(b) Collision		30- to 180-day Suspension
(c) Jet blast		30- to 120-day Suspension
(d) Taxiing with standing passenger		30- to 60-day Suspension
(e) Taxiing off runway, taxiway or ramp		30- to 90-day Suspension
(3) Takeoff		
(a) Contrary to, or without, clearance		60- to 120-day Suspension
(b) Below weather minimums		60- to 120-day Suspension

<b>Fig. B-2-d. Flight operations cont.</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(c) In excess of maximum gross weight		60- to 120-day Suspension
<b>(4) Enroute</b>		
(a) Deviating from clearance or instruction		30- to 90-day Suspension
(b) Operating VFR in clouds		90-day Suspension to Revocation
(c) Operating unairworthy aircraft		30- to 180-day suspension
(d) Unauthorized departure from flight deck		15- to 30-day Suspension
(e) Operating within restricted or prohibited area (including a TFR) or Class A airspace		30- to 90-day Suspension
(f) Operating contrary to a NOTAM		30- to 90-day suspension
(g) Operating without required equipment		15- to 120-day Suspension
(h) Fuel mismanagement or exhaustion		30- to 150-day Suspension
(i) Unauthorized manipulation of controls		30- to 90-day Suspension
<b>(5) Approach to landing</b>		
(a) Deviating from clearance or instruction		30- to 90-day Suspension
(b) Approach below weather minimums		60- to 120-day Suspension
(c) Exceeding speed limit in Class D airspace		30- to 60-day Suspension
<b>(6) Landing</b>		
(a) At or approaching wrong airport		90- to 180-day Suspension
(b) Deviating from instrument approach procedure		30- to 90-day Suspension
(c) Overweight aircraft		30- to 90-day Suspension
(d) Hard		15- to 60-day Suspension

<b>Fig. B-2-d. Flight operations cont.</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(e) Short or long		30- to 180-day Suspension
(f) Wheels-up		15- to 90-day Suspension
(g) Failure to comply with preferential runway system		15-day Suspension
(h) Deviating from clearance or instruction		30- to 90-day Suspension

<b>Fig. B-2-e. Other provisions applicable to individual certificate holders</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Crime; security risk; falsification		
(a) Controlled substance violation under 49 U.S.C. § 44710(b)		Mandatory Revocation
(b) Counterfeit parts violation under 49 U.S.C. § 44726(b)		Mandatory Revocation
(c) Security risk under 49 U.S.C. § 46111(a)		Mandatory Suspension or Revocation, as requested by BTS
(d) Intentionally false or fraudulent entry, reproduction, or alteration on an application or a certificate or rating		Revocation of certificates authorized under applicable part of 14 CFR
(e) Making and incorrect statement on an application for a medical certificate		Indefinite Suspension (pending correction of application and determination of qualification) or Revocation of medical certificate
(f) Carriage of illegal drugs (controlled substances) on aircraft		Revocation

Fig. B-2-e. Other provisions applicable to individual certificate holders cont.	Civil Penalty	Certificate Action
(2) Violation of noise or sonic boom standard or regulation under 49 U.S.C. § 44709(b)(1)(B)		Suspension to Revocation
(3) Violation of Section 13(a) of Fish & Wildlife Act of 1956 under 49 U.S.C. § 44709(b)(2)		Suspension to Revocation
(4) Flight deck crew operations		
(a) Allowing unauthorized manipulation of controls by uncertificated individual attempting to set record under 49 U.S.C. § 44724(a)		Revocation
(b) Acting or attempting to act as a crewmember under the influence of drugs or alcohol; consumption of alcohol before operating an aircraft		
(i) Consuming alcohol within 8 hours before operating aircraft		Revocation
(ii) Under the influence of alcohol		Revocation
(iii) While using any drug that affects the crewmembers faculties in any way contrary to safety		Revocation
(iv) Alcohol concentration .04 percent or above		Revocation
(v) Refusal of proper request from LE official to submit to alcohol test		Revocation
(c) Violation of sterile cockpit rule		30- to 90-day Suspension
(d) Unauthorized admission to flight deck		30- to 90-day Suspension
(e) Failure to close and lock flight deck door		30-day Suspension
(f) Failure to make flight deck seat available to authorized enroute inspector		30- to 60-day Suspension
(g) Failure to keep manual current		15-day Suspension
(5) Flight and Duty Time violation		15- to 90-day Suspension
(6) Aircraft certification		
(a) Operation without valid airworthiness certificate in aircraft		15- to 30-day Suspension
(b) Operation when no airworthiness certificate issued for aircraft		30- to 90-day Suspension
(7) Crew certification and qualification		30- to 90-day Suspension
(a) Operating when a valid medical certificate had not been issued		30- to 90-day Suspension

<b>Fig. B-2-e. Other provisions applicable to individual certificate holders cont.</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(b) Lack of type rating		180-day Suspension to Revocation
(c) Missed proficiency check or line check		30- to 90-day Suspension
(d) Lack of current experience		30- to 90-day Suspension
(e) Failure to have current airman or medical certificate in possession	Minimum to Moderate	
(f) Lack of initial or recurrent training		30- to 90-day Suspension
(g) Operation with known disqualifying disability		Revocation
(i) Operating without valid medical certificate when not medically qualified or application for medical certificate deferred		Revocation

<b>Fig. B-2-f. Other Air Carrier Personnel</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Failure to keep manual current	Minimum	30- to 90-day Suspension

### **3. INDIVIDUALS AND GENERAL AVIATION - OWNERS, PILOTS, REPAIR STATIONS, PILOT SCHOOLS, MAINTENANCE PERSONNEL.**

<b>Fig. B-3-a. Owners and Operators Other Than Required Crewmembers</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Failure to comply with airworthiness directive	Moderate to Maximum	
(2) Failure to perform or improper performance of maintenance, including required maintenance	Moderate to Maximum	
(3) Failure to make proper entry in aircraft log	Minimum to Moderate	
(4) Operation of aircraft beyond annual, 100-hour, or progressive inspection	Minimum to Moderate	
(5) Operation of unairworthy aircraft	Moderate to Maximum	
(6) Intentionally false or fraudulent entry, reproduction, or alteration in any record or report	Maximum	Revocation

<b>Fig. B-3-b. Repair Stations</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Failure to provide required facilities for proper servicing, maintenance, repair, or inspection	Moderate to Maximum	Indefinite Suspension until compliance to Revocation

<b>Fig. B-3-b. Repair Stations cont.</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(2) Failure to provide qualified personnel who can perform, supervise, and inspect work for which the station is rated	Maximum	Indefinite Suspension until compliance to Revocation
(3) Failure to maintain record of supervisory or inspection personnel	Moderate to Maximum	
(4) Failure to maintain record	Moderate to Maximum	
(5) Failure to ensure that correct calibration of all inspection and test equipment is accomplished at prescribed intervals	Minimum to Maximum	
(6) Failure to adequately describe work performed	Minimum to Moderate	
(7) Failure of mechanic to make log entry, record, or report	Moderate to Maximum	
(8) Failure to sign or complete maintenance release	Minimum to Moderate	
(9) Inspection of work performed, or approval for return to service, by other than a qualified inspector	Maximum	Up to 30-day Suspension
(10) Failure to have an adequate inspection system that produces satisfactory quality control	Moderate to Maximum	Up to 30-day Suspension
(11) Maintaining or altering an article for which it is rated, without using required technical data, equipment or facilities	Maximum	Up to 30-day Suspension
(12) Failure to perform or properly perform maintenance, repair, alteration, or required inspection for an air carrier or commercial operator	Moderate to Maximum	Up to 30-day Suspension
(13) Maintaining or altering an airframe, powerplant, propeller, instrument, radio, or accessory for which the repair station is not rated	Maximum	Suspension or Revocation
(14) Failure to report defect or unairworthy condition to FAA in a timely manner	Moderate to Maximum	
(15) Failure to satisfy housing and facility requirement	Moderate	
(16) Change of location, housing or facilities without written approval	Moderate	
(17) Operating as a certificated repair station without a repair station certificate	Maximum	
(18) Failure to permit FAA to inspect	Maximum	Indefinite Suspension until Compliance
(19) Failure to perform inspection properly on part 125 aircraft	Moderate	
(20) Failure to comply with SFAR 36 – Second offense	Maximum	
(21) Failure to maintain and carry out BTS-required security measures under 49 U.S.C. § 44924(c)(1)		Mandatory Suspension pending BTS finding of compliance

<b>Fig. B-3-b. Repair Stations cont.</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(22) Posing an immediate security risk as determined by BTS under 49 U.S.C. § 44924(c)(2)		Mandatory Revocation

<b>Fig. B-3-c. ID Plate Violations</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) 14 C.F.R. 45.13(b), Improper removal, changing, or placing of identification information on a product		
(a) Inadvertent	Minimum	
(b) Intentional misrepresenting identity of product	Maximum	Revocation
(2) 14 CFR 45.23(c), Improper removal or installation of identification plate		
(a) Inadvertent	Minimum	
(b) Intentional misrepresenting identity of product	Maximum	Revocation

<b>Fig. B-3-d. Part 141 Pilot Schools</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Knowingly permitting school aircraft to be used for unlawful carriage of controlled substances		Revocation
(2) Refusal to permit inspection of facilities, equipment, personnel, records, or certificate	Maximum	Indefinite Suspension until Compliance to Revocation
(3) False advertising	Maximum	
(4) Failure to carry checklist or operator's handbook	Minimum	
(5) Improper crediting to, or graduation of, student		
(a) Inadvertent	Moderate to Maximum	
(b) Intentional		Revocation
(6) Refusal to permit FAA test, check, or examination of student	Maximum	Indefinite Suspension until Compliance to Revocation
(7) Unqualified or unauthorized instruction	Moderate to Maximum	
(8) Failure to establish or maintain training record	Moderate to Maximum	

<b>Fig. B-3-e. General Aviation Maintenance Personnel</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Failure to revise aircraft data after major repair or alteration		30- to 60-day Suspension
(2) Failure to perform or improper performance of maintenance		30- to 120-day Suspension



<b>Fig. B-3-e. General Aviation Maintenance Personnel cont.</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(3) Failure of mechanic to accomplish inspection properly		30- to 60-day Suspension
(4) Failure of mechanic to record inspection		15- to 30-day Suspension
(5) Failure of IA holder to accomplish inspection properly		60-day Suspension to Revocation of IA
(6) Failure of IA holder to record inspection		15- to 30-day Suspension of IA
(7) Maintenance performed by person without a certificate	Moderate to Maximum	
(8) Maintenance performed by person who exceeded certificate limitations		15- to 60-day Suspension
(9) Improper approval for return to service		30- to 120-day Suspension
(10) Failure to make maintenance record entry		30- to 60-day Suspension
(11) Failure to set forth adequate description of work performed		15- to 30-day Suspension
(12) Intentionally false or fraudulent entry, reproduction, or alteration in maintenance record		Revocation

<b>Fig. B-3-f. Student Operations</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Carrying passenger		Revocation
(2) Solo flight without required endorsement		45- to 90-day Suspension
(3) Operation on international flight		60- to 90-day Suspension
(4) Use of aircraft in business		30- to 120-day Suspension
(5) Operation for compensation or hire		Revocation

<b>Fig. B-3-g. Flight Instructors</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) False endorsement of any student pilot record		Revocation
(2) Exceeding flight time limitation		30- to 90-day Suspension
(3) Instruction in aircraft for which he/she is not rated		60- to 180-day Suspension

<b>Fig. B-3-h. Other Flight Violations</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Certification and qualification		
(a) Operation when a valid pilot certificate had not been issued	Maximum	
(b) Operation while pilot certificate is suspended		Revocation
(c) Operation without pilot or medical certificate in personal possession (certificates valid)	Minimum	
(d) Operation without a current medical certificate when medically qualified		30-180 day suspension
(e) Operation without a valid medical certificate when not medically qualified or when application for medical certificate deferred		Revocation
(f) Operation with known medical deficiency		90-day Suspension to Revocation
(g) Operation for compensation or hire when a valid commercial pilot certificate had not been issued		90-day Suspension to Revocation
(h) Operation without type or class rating		60- to 120-day Suspension
(2) Operation when a valid airworthiness certificate had not been issued		30- to 90-day Suspension
(3) Failure to close flight plan or file arrival notice	Minimum	
(4) Failure to obtain pre-flight information		30- to 90-day Suspension
(5) Deviation from ATC instruction or clearance		30- to 90-day Suspension
(6) Taxiing, takeoff, or landing without a clearance, where ATC tower is in operation		30- to 90-day Suspension
(7) Failure to maintain radio communications in Class D airspace		30- to 60-day Suspension
(8) Failure to comply with airport traffic pattern		30- to 60-day Suspension
(9) Operation in Class B airspace without or contrary to a clearance		30- to 60-day Suspension
(10) Operation in Class C airspace without maintaining contact with ATC		30- to 60-day Suspension
(11) Operation contrary to a NOTAM		30- to 90-day suspension
(12) Failure to maintain altitude		30- to 60-day Suspension
(13) Exceeding speed limitation		30- to 60-day Suspension

<b>Fig. B-3-h. Other Flight Violations cont.</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(15) Failure to comply with Airworthiness Directive		30- to 180-day Suspension
(16) Operation without required instrument and/or equipment		30- to 90-day Suspension
(17) Failure to comply with operating limitation		30- to 90-day Suspension
(18) Unauthorized operation within Class A airspace		30- to 90-day Suspension
(19) Failure to adhere to right of way rule		15- to 90-day Suspension
(20) Failure to comply with VFR cruising altitude		30- to 90-day Suspension
(21) Failure to maintain required minimum altitude over structure, person, or vehicle –congested area		60- to 180-day Suspension
(22) Failure to maintain required minimum altitudes over structure, person, or vehicle – sparsely populated area		30- to 120-day Suspension
(23) Failure to maintain radio watch while under IFR		30- to 60-day Suspension
(24) Failure to report compulsory reporting point under IFR		30- to 60-day Suspension
(25) Failure to display position light		30- to 60-day Suspension
(26) Failure to maintain proper altimeter setting		30- to 60-day Suspension
(27) Operating within restricted or prohibited area (including a TFR) or Class A airspace		30- to 90-day Suspension
(28) Unauthorized dropping of object from aircraft		30- to 60-day Suspension
(29) Unauthorized towing		30- to 60-day Suspension
(30) Acrobatic flight on airway, over congested area, below minimum altitude, etc.		90- to 180-day Suspension
(31) Taking off with insufficient fuel		30- to 150-day Suspension
(32) Fuel mismanagement or exhaustion		30- to 150-day Suspension
(33) Operating so as to cause a collision hazard		60- to 180-day Suspension

<b>Fig. B-3-i. Weather Operations</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Failure to comply with visibility minimum in controlled airspace		60- to 180-day Suspension
(2) Failure to comply with visibility minimum outside controlled airspace		30- to 120-day Suspension
(3) Failure to comply with distance from clouds requirement in controlled airspace		60- to 180-day Suspension
(4) Failure to comply with distance from clouds requirement outside of controlled airspace		30- to 120-day Suspension
(5) Operating VFR under 1,000 foot ceiling within Class D airspace		30- to 120-day Suspension
(6) Failure to comply with IFR landing minimum		45- to 180-day Suspension
(7) Failure to comply with instrument approach procedure		45- to 180-day Suspension

<b>Fig. B-3-j. 14 C.F.R. 91.13(a), Careless or reckless operation so as to endanger (independent violation)</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Wheels up landing		15- to 30-day Suspension
(2) Short or long landing		30- to 90-day Suspension
(3) Landing on, or taking off from, closed runway		30- to 60-day Suspension
(4) Landing on, or taking off from, ramp or other improper area		30- to 120-day Suspension
(5) Taxiing collision		30- to 90-day Suspension
(6) Leaving aircraft unattended with engine running		30- to 90-day Suspension
(7) Taxiing aircraft off runway, taxiway, or ramp		30- to 90-day Suspension

<b>Fig. B-3-k. Passenger operations</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Carrying passenger who is under the influence of drugs or alcohol		30- to 120-day Suspension

<b>Fig. B-3-k. Passenger operations cont.</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(2) Performing acrobatics when not all passengers are equipped with approved parachutes		60- to 90-day Suspension
(3) Use of unapproved parachute		30- to 60-day Suspension
(4) Permitting unauthorized parachute jumping		30- to 90-day Suspension
(5) Carrying passenger without required recent flight experience		30- to 120-day Suspension
(6) Operation without an approved seat or berth and approved safety belt for each person on board the aircraft required to have them during takeoff, en route flight, and landing		30- to 60-day Suspension

<b>Fig. B-3-l. Acting or attempting to act as a crewmember under the influence of drugs or alcohol; consumption of alcohol before operating an aircraft</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Consuming alcohol within 8 hours before operating aircraft		Revocation
(2) Under the influence of alcohol		Revocation
(3) While using any drug that affects the crewmembers faculties in any way contrary to safety		Revocation
(4) Alcohol concentration .04 percent or above		Revocation
(5) Refusal of proper request from LE official to submit to alcohol test		Revocation

<b>Fig. B-3-m. Crime; security risk; falsification</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Controlled substance violation under 49 U.S.C. § 44710(b)		Mandatory Revocation
(2) Counterfeit parts violation under 49 U.S.C. § 44726(b)		Mandatory Revocation
(3) Security risk under 49 U.S.C. § 46111(b)		Mandatory Suspension or Revocation, as requested by BTS
(4) Intentionally false or fraudulent entry, reproduction, or alteration on an application or a certificate or rating		Revocation of certificates authorized under applicable part of 14 CFR

<b>Fig. B-3-n. Miscellaneous</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Allowing unauthorized manipulation of controls by uncertificated individual attempting to set record under 49 U.S.C. § 44724(a)		Mandatory Revocation
(2) Carriage of illegal drugs (controlled substances) on aircraft		Revocation
(3) Conducting operation without required operating certificate		60- to 120-day Suspension
(4) Misuse of an airport-approved identification medium	Moderate to Maximum	
(5) Making an incorrect statement on an application for a medical certificate		Indefinite Suspension (pending correction of application and determination of qualification) or Revocation of medical certificate
(6) Refusal to produce pilot certificate, log or records		30-day Suspension, and until produced to Revocation

<b>Fig. B-3-o. Operations at Airports Requiring Slots</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Operation without a reservation from ATC	Minimum to Moderate	
(2) Operation with a reservation from ATC, but at the wrong time	Minimum to Moderate	

<b>Fig. B-3-p. Unruly passengers</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Interference with crewmember (14 C.F.R. 91.11, 121.580, 125.328, 135.120)	Maximum	
(2) Physical assault of flight or cabin crewmember under 49 U.S.C. § 46318	\$1,100 – \$8,000	
(3) Physical assault of individual other than a crewmember under 49 U.S.C. § 46318	\$500 – \$5,000	
(4) Threaten to physically assault flight or cabin crewmember under 49 U.S.C. § 46318	\$1,100 – \$5,000	
(5) Threaten to physically assault individual other than flight or cabin crewmember under 49 U.S.C. § 46318	\$500 – \$5,000	

<b>Fig. B-3-p. Unruly passengers cont.</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(6) Acts in a manner that poses imminent threat to safety of aircraft or other individuals on aircraft under 49 U.S.C. § 46318	\$5,000 – \$25,000 (\$5,000 - \$27,500 for violations after 6/15/2006)	

<b>Fig. B-3-q. Other Violations by Passengers</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Smoking while No Smoking sign is lighted	Maximum	
(2) Smoking in aircraft lavatory	Maximum	
(3) Tampering with smoke detector under 49 U.S.C. § 46301(b)	\$1,800 to \$2,200	
(4) Failure to fasten seat belt while seat belt sign is lighted	Minimum to Moderate	
(5) Failure to occupy an approved seat or berth with a safety belt, and, if installed, shoulder harness properly secured during movement on the surface, takeoff, or landing	Minimum to Moderate	
(6) Operating a portable electronic device	Maximum	
(7) Drinking alcoholic beverage not served by carrier	Maximum	

#### **4. DUI/DWI PROGRAM, FALSIFICATION OF DRUG CONVICTIONS AND AIRMAN MEDICAL CERTIFICATE VIOLATIONS**

<b>Fig. B-4-a. Sanctions related to DUI/DWI Program</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Intentionally false or fraudulent entry on medical certificate application regarding a DUI conviction or administrative action under 14 C.F.R. § 67.403(a)(1)		Revocation of all airman and medical certificates
(2) Making an incorrect statement on a medical certificate application regarding a DUI conviction or administrative action under 14 C.F.R. § 67.403(c)(1)		Indefinite Suspension (pending correction of application and determination of qualification) or Revocation of medical certificate
(3) Failure to report a motor vehicle action (MVA) under 14 C.F.R. § 61.15(e)		15- to 45-day Suspension of all part 61 certificates
(4) Two MVAs arising from separate incidents within 3 years, and reported both under 14 C.F.R. § 61.15(d)		90- to 120-day Suspension of all part 61 certificates

<b>Fig. B-4-a. Sanctions related to DUI/DWI Program cont.</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(5) Three MVAs arising from separate incidents within 3 years under 14 C.F.R. § 61.15(d)		Revocation of all part 61 certificates
<b>Fig. B-4-b. Airman Medical Certificate Violations</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Intentionally false or fraudulent statement on an application for a medical certificate or on a request for any special issuance or SODA under 14 C.F.R. § 67.403(a)(1)		Revocation of all airman and medical certificates
(2) Intentionally false or fraudulent entry in a record that is kept, made or used to show compliance under 14 C.F.R. § 67.403(a)(2)		Revocation of all airman and medical certificates
(3) Reproduction of a medical certificate for fraudulent purpose under 14 C.F.R. § 67.403(a)(3)		Revocation of all airman and medical certificates
(4) Alteration of medical certificate under 14 C.F.R. § 67.403(a)(4)		Revocation of all airman and medical certificates
(5) Making an incorrect statement on a medical certificate application under 14 C.F.R. § 67.403(c)(1)		Indefinite Suspension (pending correction of application and determination of qualification) or Revocation of medical certificate
<b>Fig. B-4-c. Drug convictions - no falsification involved.</b>	<b>Civil Penalty</b>	<b>Certificate Action</b>
(1) Single conviction for simple possession*		45- to 120-day Suspension of all part 61, 63, or 65 certificates