Aircraft Airworthiness Certification Department

CAAC

Airworthiness Procedures

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VALIDATION PROCEDURES FOR

IMPORT CIVIL AVIATION PRODUCTS AND PARTS

Content

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1 General

1.1 Authority

These procedures are established under the authority of Chinese Civil Aviation Regulations Part 21, Certification Procedures for Civil Aviation Products and Parts.

1.2 Applicability

1.2.1 Unless otherwise mentioned in the Bilateral Airworthiness Agreement, Implementation Procedure and Technical Arrangement specified in Section 2, these procedures apply to:

(1) type validation of any civil aeronautical product imported to the People’s Republic of China (PRC);

(2) supplemental type validation of any civil aeronautical product imported to the People’s Republic of China (PRC);

(3) validation of design approval of a part, not as part of CAAC validated/certificated aircraft, imported to PRC.

1.2.2 For a civil product or part which is already imported into PRC without obtaining its CAAC validation approvals due to a historical cause,

the validation of its design must be accomplished on the basis of applicable provisions of these procedures.

1.3 Cancellation

CAAC Airworthiness Procedures AP-21-01R1, Validation Procedures for Import Civil Aviation Products and Parts, dated on January 1, 2000 is cancelled since October 13, 2006.

1.4 Explanation of terms

1.4.1 Action Item: means an item for which the validation requirements and/or means of compliance is not designated, and the substantiation is not closed at the end of a validation phase.

1.4.2 Environmental Approval: means an environmental certificate or equivalent issued by the exporting authority for finding that a product complies with its own standards concerning noise and/or fuel venting and exhaust emission.

1.4.3 Exporting Authority: means the airworthiness authority of an applicant within the exporting State.

1.4.4 Product Operating Documents: means each operating and operating limitation document approved by the exporting authority and compliant with the type (or supplemental type) design definition approved by CAAC, such as Aircraft Flight Manuals, Master Minimum Equipment List(MMEL), Weight and Balance Manuals and Configuration Deviation List (CDL) for aircraft, or Installation Manuals and Operating Manuals for engines or propellers.

1.4.5 Production Approval: means a Production Certificate and Limitation Records, or a Production Organization Approval (POA) or equivalent issued by the exporting authority.

1.4.6 Supplemental Type Approval: means a Supplemental Type Certificate (STC) or equivalent issued by the exporting authority.

1.4.7 Issue Papers: means a document that describes and records the significant issues related to validation basis and its means of compliances.

2 Bilateral Airworthiness Agreement, Implementation Procedure and Technical Arrangement

2.1 Bilateral Airworthiness Agreement or MOU

2.1.1 The precondition of CAAC issuing Validation of Type Certificate (VTC), Validation of Supplemental Type Certificate (VSTC) and Validation of Design Approval (VDA) is that Bilateral Airworthiness Agreement or MOU, such as Bilateral Airworthiness Agreement (BAA) or Bilateral Aviation Safety Agreement (BASA), on import and export of aviation product has been signed between the government of an applicant and Chinese government.

2.1.2 In order to implement above mentioned agreements, Bilateral Airworthiness Implementation Procedure such as Specific Implementation Procedure (SIP) and Implementation Procedure of Airworthiness (IPA) can be signed between CAAC and Exporting Authority in conjunction with Airworthiness Agreement. These procedures specify the agreement and arrangement on validation of type design approval, production activities, exporting airworthiness approval, post certificate activities and technical support activities.

2.2 Technical Arrangement on Type Validation

2.2.1 If Bilateral Airworthiness Implementation Procedure has not been signed, the Technical Arrangement specifically related to this certain type can be signed between CAAC and the Exporting Authority. Other types to be validated can be incorporated into the Technical Arrangement by amending it.

2.2.2 Technical Arrangement on Product Type Validation normally include:

(1) Purpose and Applicability;

(2) Focal points and communication procedures between CAAC and the exporting authority;

(3) Arrangement on validation process, including delegation of validation basis, process of finding compliance and its conclusion;

(4) Arrangement on airworthiness support activities, for example, for each aircraft to be delivered, arrangement on Flight Manual (or Flight Manual Supplemental) approval (refer to Section 8 of this procedure) and issuance of exporting airworthiness certificate; for engine, propeller or parts to be delivered, arrangement on issuance of exporting airworthiness certificate;

(5) Post type validation activities (refer to Section 7 of this

procedure);

(6) Other applicable matters.

Attachment 8 shows the sample of the Technical Arrangement.

2.2.3 For a priority important part which will be imported to PRC separately for the first time, if necessary, Technical Arrangement on Validation of Design Approval for Part can be signed between CAAC and exporting authority according to Paragraph 2.2.1 and 2.2.2.

3 Type Validation Procedure

3.1 Applicability

3.1.1 For a product imported for the first time to PRC for the civil aviation purposes, its type design must be validated through the process as established in this section and obtain a Validation of Type Certificate (VTC) from the CAAC, before the product initially enters into PRC.

3.1.2 For a changed product whose VTC has been issued, if its type design changes cause TC amendment or Type Certificate Data Sheet (TCDS) amendment, or VTC amendment or VTCDS amendment, its type design changes must be validated in the light of this procedure and obtain

an amended VTC or amended VTCDS from CAAC, before the changed product initially enters into PRC.

3.1.3 For any other type design changes not specified in Paragraph 3.1.1 and 3.1.2.

3.2 Application

3.2.1 An applicant for a VTC should be an applicant or holder of TC or equivalent approval issued by the exporting authority.

3.2.2 In order to avoid delaying the aircraft delivery, the applicant should submit the VTC application to CAAC as early as possible. For aircraft whose TC application has been accepted by exporting authority but TC does not issued, in order to help the applicant get VTC soon after the exporting authority issuing the Type Certificate and reduce the duplicate certification work, CAAC encourages the applicant submit VTC application as early as possible so that CAAC can conduct the concurrent type validation with the exporting authority after accepting the application based on its resource status.

3.2.3 VTC application for engine or propeller shall be submitted to

CAAC no later than the date when VTC application for the aircraft on which the engine or propeller installs is submitted.

3.2.4 An applicant shall submit a complete application form (see Attachment 1 for a sample of the application form AAC-021), together with attached data as required in the paragraph 3.2.5 of this section, to CAAC in the manner concurred by CAAC and the exporting authority.

3.2.5 The following applicable data shall be attached to the application:

(1) Recommendation letter on the general description of the product written by the exporting authority to CAAC;

(2) Description of design feature and basic data of the product, including a three-view drawing for aircraft, or model specifications for engines and propellers;

(3) The copy of Type Certificate and Type Certificate Data Sheet issued by the exporting authority (if applicable);

(4) The copy of Production Certificate or equivalent document (if applicable);

(5) The copy of environmental approval document (if applicable);

(6) The user of the first aircraft and schedule of the first delivery (if applicable);

(7) Proposed validation plan;

(8) Other necessary data required by CAAC.

3.2.6 CAAC may request the applicant to arrange a initial familiarization meeting, when CAAC finds it necessary.

3.2.7 An application for type certification of a transport category aircraft is effective for 5 years and an application for any other type certificate is effective for 3 years from the date of application.

3.3 Acceptance for Application

3.3.1 CAAC will send a Notification of Acceptance for Application (see Appendix 3 for a sample of the notification form AAC-013) to the applicant when it is found that the application has met applicable requirements. CAAC will notify the applicant refusal of the application and give the reason by letter when it is found that application can not meet applicable requirements. For VTC application of the product for which there is no Chinese potential user, CAAC will determine whether or not the application is accepted based on human resource and work load.

3.3.2 The applicant shall complete the formalities as required in the

notification form after receiving it from CAAC, and discuss with CAAC a time schedule for on-site validation activities.

3.3.3 Once confirming the applicant's completion of the formalities required in the notification form, CAAC will establish a project certification team (hereafter referred as certification team). The certification team will notify the designated department of the exporting authority time schedule of on-site validation in the manner concurred by CAAC and the exporting authority.

3.4 Validation Basis

3.4.1 CAAC validation basis will be established on the following principles:

(1) Certification basis as established by the exporting authority for the product type design and design changes;

(2) Additional Technical Conditions (ATC) prescribed by CAAC. Additional Technical conditions may include:

(i) After contrasting the certification basis with applicable airworthiness requirements and environmental requirements of CCARs in effect at the date of the application, additional conditions based on differences in the airworthiness standards, environmental requirements，

applications, service experiences, policies, and guidance materials between CAAC and the exporting authority;

(ii) Special conditions for novel or unusual design features which are not covered by the certification basis of the exporting authority. The novel or unusual design features may include application of new technology, novel application of existing technology, and unconventional use of the product etc.;

(iii) Additional conditions based on an evaluation of equivalent safety findings and exemptions granted by the exporting authority;

(iv) Additional conditions based on mandatory airworthiness actions (e.g. Airworthiness Directives) directed by the exporting authority and related service experiences to ensure continuous safety operation of the product in China.

3.4.2 When establishing the validation basis and its means of compliance, operational requirements such as markings and placards in Chinese language and Chinese fuel specifications, with design impacts and with the necessity for continuing safe operation under particular circumstances in China should be considered.

3.5 Type Validation Activities

This section specifies the key points and general methodologies of the validation process, but the certification team can make the necessary adjustment according to the product characteristics.

3.5.1 In order to smooth the on-site certification, while completing the formalities required in the notification form, the applicant should contrast the applicable airworthiness requirements of CCARs in effect at the date of the application with the certification basis of the exporting authority as required in Section 3.4 and find the compliance status with the differences.

3.5.2 Familiarization Briefing

In order to fully understand the project, the certification team may require the applicant to arrange a familiarization briefing and familiarization flight test (if necessary). A familiarization flight should be performed when necessary. The familiarization briefing normally includes:

(1) Product design and any unique or novel design features, including the design changes by the application time;

(2) Certification basis established by the exporting authority, including related issue papers on special conditions, equivalent safety findings, exemptions, etc.;

(3) Relevant service experiences, corrective measures to preclude occurrence of incidents or accidents, and mandatory airworthiness actions (e.g. Airworthiness Directives);

(4) General introduction of the compliance checklist with the certification basis of the exporting authority;

(5) Contrasting result as required in Paragraph 3.5.1 and findings of compliance with the differences;

(6) Any other matters deemed necessary by the certification team and/or the applicant.

3.5.3 Technical Briefing

In order to make the finding of compliance with the certification basis of the exporting authority and establish the ATC, the certification team should require the applicant to arrange a technical briefing and provide the related data. The technical briefing may include detailed type design of the product and its system, detailed description of the compliance with the certification basis of the exporting authority, and the evaluation results of the compliance status with the regulation differences between the certification basis of the exporting authority and the the applicable airworthiness requirements of CCARs.

3.5.4 The certification team discuss with the applicant and establish the

validation basis.

3.5.5 Key Aspects of Substantiation Process

The applicant must show that the product complies with each requirement of the validation basis in accordance with the means of compliance concurred by the certification team and satisfy the certification team, and all the substantiation activities should be recorded in the Validation Compliance Check List.

(1) It is acceptable for the applicant to directly use substantiating data accepted by the exporting authority for showing compliance with the provisions of the validation basis which are covered by the certification basis of the exporting authority, if the certification team agrees;

(2) For each ATC, the applicant should show compliance with ATC to the exporting authority and satisfy the authority, and get concurrence with the certification team. The applicant should record the compliance status with the ATC and incorporate the related design changes for complying with the ATC to the type design, and record the compliance statue in the compliance checklist.

(3) For a certain validation requirement and its means of compliance, the applicant’s and the certification team’s positions may be presented in issue paper and achieve the concurrence.

(4) The final revision of the validation compliance checklist should

be submitted to the certification team and a validation meeting minutes should be prepared by the applicant as required in par. 3.5.9 of this section and signed by the certification team and the applicant at the end of the on-site validation.

3.5.6 Flight Test

The applicant is responsible for providing the prerequisite for assessment/verification flights when the project team finds it necessary.

3.5.7 Data Submittal

The following applicable data should be submitted to the certification team in Chinese and/or English in the form of hard copy and electrical version:

(1) The complete validation compliance checklist;

(2) Substantiating data required by the certification team (e.g. design data, technical specifications, analysis and computation reports, test programs and reports, flight test programs and reports, etc.) to show compliance with the validation basis;

(3) TC and TCDS, PC or equivalent document and environmental approvals issued by the exporting authority;

(4) All the issue papers of the exporting authority, especially the issue papers related to the special conditions, equivalent safety findings

and exemptions;

(5) List of Airworthiness directives issued by the exporting authority;

(6) Flight Manual approved by the exporting authority;

(7) Continued airworthiness documents approved by the exporting authority (including Certification Maintenance Requirements (CMR) and Airworthiness Limitation Document (ALD) etc.);

(8) MMEL and Configuration Deviation List;

(9) Any other data deemed necessary by the certification team.

3.5.8 Validation Basis Establishment

The validation basis of the project will be established by CAAC through the following steps in principle:

(1) Understanding relevant descriptions specified in Paragraph 3.5.2 and 3.5.3 of this section;

(2) Reviewing the exporting authority's certification basis and its means of compliance, including the background from which special conditions, equivalent safety findings, exemptions and not-applicable rules are produced;

(3) Determining each requirement of additional technical conditions and its means of compliance by issue papers according to the principles specified in Paragraph 3.4.1, and informing the exporting authority in the

manner concurred by CAAC and the exporting authority;

(4) Documenting any anticipated exemptions or equivalent level of safety determinations in issue papers. Upon granting of the exemptions or the equivalent safety findings, they, along with any operating limitations, should become part of the validation basis;

(5) Evaluating that whether or not the compliance checklist includes all the requirements in the validation basis and its means of compliance;

(6) Documenting the final validation basis in the type validation data sheet;

(7) The certification team informs the validation basis to the exporting authority in the manner concurred by CAAC and the exporting authority, and requests the exporting authority to make the findings of compliance with the ATC in the validation basis on behalf of CAAC and provide the compliance statement.

3.5.9 Key Aspects of Review Process

(1) As to those validation requirements which are covered by the exporting authority's certification basis, the certification team should develop the Significant Review Items and place the emphasis on the means of compliance and the substantiation activities;

(2) As to each ATC, the certification team should discuss with the applicant to determine the means of compliance and evaluate the

substantiation activities;

(3) A validation meeting minutes should be prepared by the applicant as required in par. 3.5.9 of this section and signed by the certification team and the applicant at the end of the on-site validation.

(4) When the applicant proposes the equivalent level of safety to a certain validation requirement, the certification team should evaluate the practices and limitations provided by the applicant for the equivalent level of safety. This evaluation result should be recorded in issue papers;

(5) The certification team should determine whether or not the applicant has showed that there is no feature or characteristic makes the product unsafe for its intended use and under the anticipated operation conditions.

3.5.10 Validation Meeting Minutes

The validation meeting minutes should be concluded with joint signature of both the applicant's and the team's sides at the end of the on-site validation and inform to the exporting authority in the manner concurred by CAAC and the exporting authority. The meeting minutes at least include:

(1) Date, location and attendants of validation;

(2) General introduction of the project;

(3) The validation compliance checklist and its revision;

(4) Issue papers status;

(5) General introduction of the on-site validation;

(6) Action items;

(7) The list of the data to be provided by the applicant and the addresses for reception of the data;

(8) Focal points for the project;

(9) Post certificate arrangement;

(10) The draft of VTCDS;

(11) Any other issues deemed necessary by the certification team and the applicant.

3.6 Issue of Validation of Type Certificate

3.6.1 After receiving the compliance statement from the exporting authority and completing all the validation activities (including receiving all the data as required by Paragraph 3.5.7 and closing all the action items etc.), the certification team should develop the validation report and the draft of VTC/VTCDS or amended VTC within 10 working days and submits to CAAC.

3.6.2 Validation report should be submitted in the form of hard copy and electrical version and at least includes:

(1) General introduction of the validation (including the application, acceptance for the application, certification team backgrounds, and the date and location of the on-site validation);

(2) General introduction of the applicant;

(3) General introduction of the project (including the type design definition, features of the product and its system, service experiences and limitations etc.);

(4) General introduction of the type certification process conducted by the exporting authority (including the application date and approval date, certification basis, production approval and environmental approval etc.);

(5) Detailed description of the validation basis and it compliance status. The description includes:

(i) To justify for an acceptance or refusal of the special conditions, exemptions, equivalent safety findings and not-applicable rules which were established by the exporting authority;

(ii) To justify for the establishment of each requirement of additional technical conditions and its compliance status.

(6) Evaluation process of the significant review items and their compliance results;

(7) Action item status;

(8) The integrity of the data provided by the applicant;

(9) The conclusion of the compliance statement of the exporting authority;

(10) The conclusions and proposals for VTC or amended VTC issuance and the reason;

(11) Attachments, including:

(i) The draft of VTC/VTCDS or amended VTC;

(ii) TC/TCDS, environmental approval and production approval approved by the exporting authority;

(iii) Compliance statement of the exporting authority;

(iv) Validation meeting minutes;

(v) Issue papers on certification basis of the exporting authority (including applicable airworthiness standard, special conditions, equivalent level of safety, exemptions etc.);

(vi) Main parameters of the product to be validated;

(vii) Application form and the Notification of Acceptance.

3.6.3 Airworthiness division appointed by CAAC archives all the type validation data submitted by the applicant, and create the data inventory in the form of hard copy and electrical version and submit it to CAAC; CAAC archives the validation report and data inventory in the form of hard copy and electrical version.

3.6.4 CAAC reviews the draft of VTC/VTCDS and the validation report, and makes the decision whether or not VTC will be issued.

3.6.5 If yes, CAAC issues the VTC/VTCDS with signature.

3.6.6 If no, CAAC will inform the applicant in writing and provide the reasons, and inform the exporting authority in the manner concurred by CAAC and the exporting authority.

3.6.7 Validation of Type Certificate Data Sheet (refer to Attachment 5) is part of the Validation of Type Certificate, comprised of 5 parts including general, validation basis, technical characteristics, operating and service instructions, and notes.

3.6.8 Design Change Approval

(1) For VTC amendment, applicant should re-apply the validation according to this procedure;

(2) For VTCDS amendment, if the design change is major change, applicant should re-apply the validation according to this procedure; otherwise applicant can follow the (3) of this Paragraph;

(3) For changes other than that stated in (1) or (2), applicant can follow the agreement or arrangement between CAAC and the exporting

authority;

For VTC or VTCDS amendment, the series number of the certificate does not change, but the related contents will be amended.

3.6.9 VTC is not transferable.

4 Supplemental Type Validation Procedure

4.1 Applicability

4.1.1 For a product for which VTC has been issued by CAAC and whose design is changed according to an STC issued by the exporting authority, its design changes must be validated through the process as established in this section and obtain a Validation of Supplemental Type Certificate (VSTC) from the CAAC, before the product initially enters into PRC.

4.2 Application

4.2.1 An applicant for a VSTC should be a holder of STC or equivalent approval issued by the exporting authority.

4.2.2 An applicant shall submit a complete application form (see Attachment 1 for a sample of the application form AAC-021), together with attached data as required in the paragraph 4.2.4 of this section, to CAAC in the manner concurred by CAAC and the exporting authority.

4.2.3 The applicant should submit the VSTC application to CAAC as early as possible.

4.2.4 The following applicable data shall be attached to the application:

(1) Recommendation letter on the general description of the STC project written by the exporting authority to CAAC;

(2) The copy of STC or equivalent document Sheet issued by the exporting authority;

(3) Modification documents approved through STC (including Master Drawing List and related data);

(4) STC certification plan, including description of the type design changes, certification basis, substantiation document, compliance checklist etc.;

(5) Other necessary data required by CAAC.

4.2.5 An application for supplemental type certification of a transport category aircraft is effective for 5 years and an application for any other

supplemental type certificate is effective for 3 years from the date of application.

4.3 Acceptance for Application

Acceptance for VSTC application conforms to Section 3.3 of this procedure.

4.4 Validation Basis

The validation basis should be established with reference to Section 3.4 Validation Basis of VTC.

4.5 Supplemental Type Validation Process

This section specifies the key points and general methodologies of the validation process, but the certification team can make the necessary adjustment according to the product characteristics.

4.5.1 Responsibilities of the applicant

The applicant should finish following activities unique to the project:

(1) Contrasting the applicable airworthiness requirements of CCARs in effect at the date of the application with the certification basis of the exporting authority and find the compliance status with the differences in accordance with Paragraph 3.5.1 of this procedure;

(2) Arranging a familiarization briefing in accordance with Paragraph 3.5.2 of this procedure;

(3) Arranging a technical briefing in accordance with Paragraph 3.5.3 of this procedure;

(4) Assisting the certification team in flight test in accordance with Paragraph 3.5.6 of this procedure;

(5) Completing the substantiation activities in accordance with Paragraph 3.5.5 of this procedure;

(6) Submitting following data as required by the certification team:

(i) Master Drawing List (MDL) or equivalent documents;

(ii) Description and compliance data (e.g. drawings of alteration in the MDL, technical specifications, analyzing reports, ground test and flight test programs and reports, etc.);

(iii) Supplemental and revision content of the operation instructions of the product;

(iv) Supplemental and revision content of the continuous airworthiness documents;

(v) Final version of the validation compliance checklist;

(vi) PC or equivalent document and environmental approvals issued by the exporting authority;

(vii) Any other data deemed necessary by the certification team.

4.5.2 Responsibilities of the certification team

The certification team should finish following activities unique to the project:

(1) Establishing the validation basis in accordance with the principles specified in Section 4.4 by using the methods specified in Paragraph 3.5.9 of this procedure;

(2) Finishing the validation in accordance with Paragraph 3.5.10 of this procedure, and concerning the compatibility of the supplemental type design and the original existing modifications on the product.

4.5.3 Validation Meeting Minutes

The validation meeting minutes should be concluded with joint signature of both the applicant's and the team's sides at the end of the on-site validation. The meeting minutes at least include:

(1) Date, location and purpose of validation;

(2) Attendants list;

(3) General introduction of the project;

(4) Validation compliance checklist and its revision;

(5) Issue paper status;

(6) Significant review items;

(7) Action items;

(8) The list of the data to be provided by the applicant and the addresses for reception of the data.

4.6 Issue of Validation of Supplemental Type Certificate

4.6.1 After receiving the compliance statement from the exporting authority and completing all the validation activities (including receiving all the data as required by Paragraph 4.5.1 and closing all the action items etc.), the certification team should develop the validation report and the draft of VSTC or amended VSTC within 10 wording days and submits to CAAC.

4.6.2 Validation report should be submitted in the form of hard copy and electrical version and at least includes:

(1) General introduction of the validation (including the application, acceptance for the application, certification team backgrounds, and the date and location of the on-site validation);

(2) General introduction of the applicant;

(3) General introduction of the project (including the model to be

modified, the system to be modified, etc.);

(4) General introduction of the type certification process conducted by the exporting authority (including the application date and approval date, certification basis, production approval etc.);

(5) Detailed description of the validation basis and it compliance status. The description includes:

(i) To justify for an acceptance or refusal of the special conditions, exemptions, equivalent safety findings and not-applicable rules which were established by the exporting authority;

(ii) To justify for the establishment of each requirement of additional technical conditions and its compliance status.

(6) Evaluation process of the significant review items and their compliance results;

(7) Action item status;

(8) The integrity of the data provided by the applicant;

(9) The conclusion of the compliance statement of the exporting authority;

(10) The conclusions and proposals for VSTC or amended VSTC issuance and the reason;

(11) Attachments, including:

(i) The draft of VSTC or amended VSTC;

(ii) STC issued by the exporting authority;

(iii) Compliance statement of the exporting authority;

(iv) Validation meeting minutes;

(v) Issue papers on certification basis of the exporting authority (including applicable airworthiness standard, special conditions, equivalent level of safety, exemptions etc.);

(vi) Application form and the Notification of Acceptance.

4.6.3 Airworthiness division for which the validation team members work archives all the supplemental type validation data submitted by the applicant, and create the data inventory in the form of hard copy and electrical version and submit it to CAAC; CAAC archives the validation report and data inventory in the form of hard copy and electrical version.

4.6.4 CAAC reviews the draft of VSTC and the validation report, and makes the decision whether or not VTC will be issued.

4.6.5 If yes, CAAC issues the VSTC with signature.

4.6.6 If no, CAAC will inform the applicant in writing and provide the reasons, and inform the exporting authority in the manner concurred by CAAC and the exporting authority.

4.6.7 VSTC amendment

For VSTC amendment, the series number of the certificate does not change.

4.6.8 VSTC is not transferable.

5 Concurrent Supplemental Type Validation Procedure

5.1 Applicability

5.1.1 For a B-registered aircraft that is to be modified through a STC certification process (or an equivalent) of the exporting authority, its type design changes must be validated simultaneously through the process as established in this section and obtain a VSTC from CAAC.

5.1.2 For a non B-registered aircraft that is to be modified through a STC certification process (or an equivalent) of the exporting authority, its type design changes can be validated simultaneously through the process as established in this section and obtain a VSTC from CAAC after concurrence with CAAC, the applicant and the exporting authority.

5.2 Application

5.2.1 An applicant for a VSTC should be an applicant of STC or equivalent approval issued by the exporting authority.

5.2.2 An applicant shall submit a complete application form (see Attachment 1 for a sample of the application form AAC-021), together with attached data as required in the paragraph 5.2.3 of this section, to CAAC in the manner concurred by CAAC and the exporting authority. In addition, the exporting authority should request concurrence with the STC certification activities on B-registered aircraft from CAAC.

5.2.3 The following applicable data shall be attached to the application:

(1) General instruction of the project;

(2) Project schedule;

(3) Location of project implementation;

(4) Formal statement written by the aircraft operator, the statement should at least include: The operator has evaluated the safety risk for STC certification activities (including flight test), has the practices and abilities to ensure the safety and agrees that the applicant can use operator’s aircraft to conduct STC certification activities;

(5) Data related to STC certification submitted to the exporting

authority;

(6) STC certification plan of the exporting authority;

(7) Other necessary data required by CAAC.

5.2.4 An application for supplemental type certification of a transport category aircraft is effective for 5 years and an application for any other supplemental type certificate is effective for 3 years from the date of application.

5.3 Acceptance for Application

5.3.1 CAAC reviews the application data, and authorizes an airworthiness division to perform a preliminary review for the modification.

5.3.2 The applicant should submit the related data to assist authorized division in evaluating the complexity of the project, function hazard, safety and the feasibility of performing the modification on the corresponding aircraft (especially for the feasibility of the processing, ground test and flight test).

5.3.3 The authorized division should submit the preliminary review

report to CAAC, and provide the conclusion and proposals for acceptance.

5.3.4 CAAC will send a Notification of Acceptance for Application (see Attachment 3 for a sample of the notification form AAC-013) to the applicant when it is found that the application has met applicable requirements. CAAC will notify the applicant refusal of the application and give the reason by letter when it is found that application can not meet applicable requirements.

5.3.5 Once confirming the applicant's completion of the formalities required in the notification form, CAAC will establish a project certification team. The certification team is responsible for harmonizing the concurrent validation with the exporting authority and the applicant.

5.4 Validation Basis

The validation basis should be established in accordance with Section 4.4.

5.5 Concurrent Supplemental Type Validation Process

This section specifies the key points and general methodologies of the validation process, but the certification team can make the necessary adjustment according to the product characteristics.

5.5.1 Normally, current validation comprises 3 phases:

(1) Before modification, the certification team discusses with the exporting authority and the applicant to establish the validation basis and its means of compliance and pay attention to the ATCs;

(2) During modification, the certification team makes the finding of compliance;

(3) After modification, the certification team completes the validation activities based on STC issued by the exporting authority.

5.5.2 Responsibilities of the applicant

The applicant should finish all the activities as required by Paragraph 4.5.1 of this procedure. If flight test is needed, the applicant should show that safety of the flight test has been sufficiently evaluated, and provide the necessary technical support to operator to ensure the safety and feasibility of the flight test.

5.5.3 Responsibilities of the certification team

The certification team should finish all the activities as required by

Paragraph 4.5.2 of this procedure.

5.5.4 Validation Meeting Minutes

The validation meeting minutes should be concluded with joint signature of both the applicant's and the team's sides at the end of the on-site validation in accordance with Paragraph 4.5.3. All the action items and solutions should be concluded in the meeting minutes to facilitate the aircraft back into service.

5.6 Issue of Validation of Supplemental Type Certificate

After the exporting authority issuing the STC, concurrent validation should be completed in accordance with Section 4.6 of this procedure.

6 Validation Procedure for Materials, Parts and Appliances Design Approval

6.1 Applicability

6.1.1 For a priority important materials, parts and appliances of aircraft (hereafter referred to as TSO article) which will be imported to PRC separately for the first time , its design approval must be validated

through the process as established in this procedure and obtain a Validation of Design Approval from CAAC.

6.2 Application

6.2.1 An applicant for VDA should be a holder of Technical Standard Order Approval (TSOA) or equivalent document issued by the exporting authority.

6.2.2 An applicant shall submit a complete application form (see Attachment 2 for a sample of the application form AAC-020), together with attached data as required in the paragraph 6.2.4 of this section, to CAAC in the manner concurred by CAAC and the exporting authority.

6.2.3 In order that the VDA can be issued for the part by CAAC before the part imported to PRC for the first time, the applicant should submit the application as early as possible and keep contact with CAAC.

6.2.4 The following applicable data shall be attached to the application:

(1) The copy of the TSOA (including design change approval) or equivalent document issued by the exporting authority;

(2) A copy of the deviation item approval;

(3) Description of certification basis of the exporting authority;

(4) A list of data to show compliance with certification basis, including drawings, technical specifications, analysis report, the program and report of tests and flight tests etc.;

(5) Other necessary data required by CAAC.

6.2.5 An application for VDA is effective for 1 years from the date of application.

6.3 Acceptance for Application

6.3.1 CAAC will send a Notification of Acceptance for Application (see Attachment 3 for a sample of the notification form AAC-013) to the applicant when it is found that the application has met applicable requirements. CAAC will notify the applicant refusal of the application and give the reason by letter when it is found that application can not meet applicable requirements.

6.3.2 The applicant shall complete the formalities as required in the notification form after receiving it from CAAC, and discuss with CAAC validation plan.

6.3.3 Once confirming the applicant's completion of the formalities required in the notification form, CAAC will establish a project certification team (hereafter referred as certification team). The certification team will notify the designated department of the exporting authority time schedule of on-site validation in the manner concurred by CAAC and the exporting authority.

6.4 Validation Basis

CAAC validation basis will be established on the following principles:

(1) Certification basis of the exporting authority, including TSO standards, software standards, environmental test standards and deviation approval;

(2) Additional Technical Conditions, including:

(i) ATC based on specific installation requirements;

(ii) ATC based on specific performance requirements;

(iii) ATC based on specific operation and maintenance requirements;

(iv) ATC based on service experiences and mandatory airworthiness actions (e.g. Airworthiness Directives).

6.5 Design Approval Validation Process

This section specifies the key points and general methodologies of the validation process, but the certification team can make the necessary adjustment according to the project characteristics.

6.5.1 Technical Briefing

The applicant should arrange a familiarization briefing at the beginning of the on-site validation, and a technical briefing during the on-site validation:

(1) The design features and design changes (including requirements of its interface), the operation limitation and eligibility of the part;

(2) Certification basis as established by the exporting authority for the part, which may include performance standards, the certification standards of software, the environmental testing standards and guidance materials, etc;

(3) Details of deviation items approval;

(4) The related service history, corrective measures to preclude incidents or accidents, and mandatory airworthiness actions (e.g. Airworthiness Directives);

(5) All conditions of analysis, computations, tests and flight tests (e.g. reports of a variety of analysis, tests and flight tests program and the

reports, software documents, drawings, specifications, etc.);

(6) System for collecting, investigating and analyzing the data of incidents/accidents;

(7) Data of the installation, performance, operation and maintenance of the part;

(8) Information on showing the compliance with the ATC of CAAC;

(9) Any other necessary information and data required by the project team.

6.5.2 Key Aspects of Substantiation Process

The applicant must show the compliance with the validation basis.

(1) It is acceptable for the applicant to directly use substantiating data accepted by the exporting authority for showing compliance with the provisions of the validation basis which are covered by the certification basis of the exporting authority, if the certification team agrees;

(2) For each ATC, the applicant should show compliance with ATC and record the compliance status in the compliance checklist.

6.5.3 Data Submittal

The following applicable data should be submitted to the certification team in Chinese and/or English in the form of hard copy and electrical version:

(1) Validation compliance checklist;

(2) Certification basis of the exporting authority;

(3) Data for showing compliance with ATC;

(4) Data for showing compliance with the certification basis of the exporting authority such as analysis report, program and report of the performance test, environmental test and flight test, software documents etc.;

(5) Technical specification, installation, operation and maintenance data;

(6) Airworthiness directives for the part;

(7) CAAC approved design definition document;

(8) Any other data deemed necessary by the certification team.

6.5.4 Validation Basis Establishment

The validation basis of the project will be established by CAAC as follows:

(1) Familiarize the related information specified in the Paragraph 6.5.1 (Technical Briefing);

(2) Evaluate the certification requirements and deviation approvals of the exporting authority, and the deviation approval not affecting the ATCs can be accepted;

(3) Establish the Additional Technical Conditions (ATCs) and their

means of compliance through issue paper in accordance with the Section 6.4 and inform the exporting authority in the manner concurred by CAAC and the exporting authority. At the same time, the certification team requests the exporting authority to make the findings of compliance with the ATC in the validation basis on behalf of CAAC and provide the compliance statement.

(4) ATCs and their means of compliance should be recorded in the compliance checklist.

6.5.5 Validation Process

(1) Means of Compliance:

(i) For the provisions of the validation basis which are covered by the certification requirements of the exporting authority, the certification team should verify and review the means of compliance for essential and significant structure and function, for example, guidance and explanatory documents;

(ii) For each ATC, the certification team should review and establish the means of compliance and discuss with the exporting authority and the applicant if necessary;

(2) The certification team should define the significant review items, pay attention on their compliance results. The significant review items include: review items related to ATCs, essential and significant structure

and function of the parts and review item defined by the certification team.

6.5.6 Validation Meeting Minutes

The validation meeting minutes should be concluded with joint signature of both the applicant's and the team's sides at the end of the on-site validation and inform to the exporting authority in the manner concurred by CAAC and the exporting authority. The meeting minutes at least include:

(1) Date, location and purpose of validation;

(2) Attendants list;

(3) General introduction of the project;

(4) Validation compliance checklist and its revision;

(5) Significant review items;

(6) The list of the data to be provided by the applicant and the addresses for reception of the data;

(7) Action items.

6.6 Issue of Validation of Design Approval

6.6.1 After receiving the compliance statement from the exporting authority and completing all the validation activities (including receiving

all the data as required by Paragraph 6.5.3 and closing all the action items etc.), the certification team should develop the validation report and the draft of VDA within 10 wording days and submits to CAAC.

6.6.2 Validation report should be submitted in the form of hard copy and electrical version and at least includes:

(1) General introduction of the validation (including the application, acceptance for the application, certification team backgrounds, and the date and location of the on-site validation);

(2) General introduction of the applicant;

(3) Design features of the part submitted to CAAC approval (such as the introduction of the function, design feature, design status, installation limitation and service experiences);

(4) Detailed description of the validation basis and it compliance status. The description includes:

(i) To justify for an acceptance or refusal of the certification requirements and deviation approvals of the exporting authority;

(ii) To justify for the establishment of each requirement of additional technical conditions and its compliance status.

(5) Evaluation process of the significant review items and their compliance results;

(6) Action item status;

(7) The integrity of the data provided by the applicant;

(8) The conclusion of the compliance statement of the exporting authority;

(9) The conclusions and proposals for VTC or amended VTC issuance and the reason;

(10) Attachments, including: The draft of VDA, TSOA approved by the exporting authority and compliance statement of the exporting authority, and validation meeting minutes, definition document of the part and the list of the significant review items.

6.6.3 Airworthiness division for which the validation team members work archives all the validation data submitted by the applicant, and create the data inventory in the form of hard copy and electrical version and submit it to CAAC; CAAC archives the validation report and data inventory in the form of hard copy and electrical version.

6.6.4 CAAC reviews the draft of VDA and the validation report, and makes the decision whether or not VDA will be issued.

6.6.5 If yes, CAAC issues the VDA with signature.

6.6.6 If no, CAAC will inform the applicant in writing and provide the

reasons, and inform the exporting authority in the manner concurred by CAAC and the exporting authority.

6.6.7 VDA is not transferable.

6.6.8 Installation Approval

A VDA is the validation of design approval of part, but the installation approval is not included. A part which has obtained a VDA could be installed on aircraft only after the corresponding installation approval (e.g. VSTC) has been obtained in accordance with the requirements of CAAC.

7 Post Certificate Activities

7.1 Responsibilities of Holder

(1) The holder of a VTC, VSTC or VDA shall take responsibility for the continued airworthiness of its products or parts.

(2) The holder should ensure that each product or part imported to PRC should conform to the design approved by CAAC, and provide the continuous airworthiness documents.

(3) If the service history shows that the defects of the design, manufacturing or maintenance of its products or parts have caused unsafe

conditions and service difficulties, the holder of the certificate or approval should cooperate with CAAC in investigation and taking corrective measures according to the requirement of the airworthiness agreement or memorandum signed between PRC and the exporting country.

7.2 Design Change Approval

7.2.1 Design change approval should be conducted by following procedure except that other arrangement specified in bilateral agreement.

7.2.2 Design changes affecting VTC/VTCDS

For design change affecting VTC or VTCDS amendment, VTC or VTCDS amendment application should be re-applied according to this procedure.

7.2.3 Other design changes

If there are any signed arrangements on post certificate activities between CAAC and the holder, other design change approval should conform to the arrangements; if there is no signed arrangement on post certificate activities, these type design changes will normally be approved by CAAC on the basis of the exporting authority approval.

8 Airworthiness Support Activities

8.1 Flight Manual Approval

The flight manual for each aircraft to be delivered to PRC will be in accordance to the CAAC approved type design, and will be approved by the exporting authority on behalf of the CAAC according to the Technical Arrangement specified in Section 2.2, except that other arrangement specified in bilateral agreement.

8.2 Flight Manual Supplemental Approval

The flight manual supplemental for each aircraft to be delivered to PRC will be in accordance to the CAAC approved type design change or supplemental type design, and will be approved by the exporting authority on behalf of the CAAC according to the Technical Arrangement specified in Section 2.2, except that other arrangement specified in bilateral agreement.

8.3 Responsibilities of the Exporting Authority and CAAC

(1) For any imported products/parts approved or accepted in accordance with bilateral agreement, CAAC and the exporting authority should cooperate each other followed by the arrangement specified in the bilateral agreement to resolve the safety issues and service difficulties

during the operation.

(2) The exporting authority of civil aviation products/parts shall transfer all the mandatory continued airworthiness information which is necessary for continued airworthiness and safe operation of the aircraft to CAAC. Meanwhile, CAAC shall transfer all the mandatory continued airworthiness information of the imported civil aviation products and parts to the exporting authority.

9 Supplementary Provision

This procedure shall be interpreted by Aircraft Airworthiness Certification Department of CAAC.

Attachment 1 Application Form for VTC/VSTC

中 国 民 用 航 空 总 局

GENERAL ADMINSTRATION OF CIVIL AVIATION OF CHINA

民用航空产品型号认可申请书

APPLICATION FOR VALIDATION OF TYPE CERTIFICATES OF IMPORTED CIVIL AVIATION PRODUCT

1. Name of applicant _____

2. Address of applicant

_____

3. Purpose of this application:

☐ Validation of Type Certificate ☐ Validation of Supplemental type certificate

☐ Validation of TC (concurrent) ☐ Validation of STC (concurrent)

4. For Validation of type certificate, complete the following items:

Model designation applied for

_____

Attachments (Note: Please check Par. 3.2.5 of AP-21-01R2 for details, and then fill in the appropriate ☐ with X):

☐ Description of design feature and basic data

☐ A copy of Type Certificate issued by the exporting authority

☐ A copy of TC Data Sheet issued by the exporting authority

☐ A copy of each Issue Paper established by the exporting authority

☐ A copy of Compliance Check List or equivalent

☐ Available information on China market potential and the schedule for the first delivery

☐ Any other necessary data required by the CAAC

AAC-021 (10/2006) （见背面 See REVERSE SIDE）

Application for Validation of Type Certificates of Imported Civil Aviation Product (Cont.)

5. For supplemental type certificate complete the following items:

Model designation of product to be modified

_____

Description of type design change

_____

Aircraft register number and/or production series number

_____

Attachments (Note: Please check Par. 4.2.4 of AP-21-01R2 for details, and then fill in the appropriate ☐ with X):

☐ Description of the modification design feature and basic data

☐ A copy of Supplemental Type Certificate issued by the exporting authority

☐ A copy of certification basis of the exporting authority for the STC

☐ A copy of each Issue Paper established by the exporting authority

☐ A copy of Compliance check List or equivalent

☐ The schedule for the first delivery to China

☐ Other data required in Par. 5.2.4 of AP-21-01 when applicable

6. The point of the contact:

Name	_____	Tel.	_____
Title	_____	Fax.	_____
E-mail	_____	ZIP	_____

7. I certify that the statement of this application and attachments furnished herein are correct and without any error.

Title

_____

(signature) Date

Attachment 2 Application Form for VDA

中 国 民 用 航 空 总 局

GENERAL ADMINSTRATION OF CIVIL AVIATION OF CHINA

设计批准认可申请书

APPLICATION FOR VALIDATION OF PART DESIGN APPROVAL

1. Name of applicant _____

2. Address of applicant

_____

3. TSO Part's Name, Model and P/N to be applied for

_____

4. Proposed Installation on

_____

5. Attachments (Note: Please check Par. 6.2.4 of AP-21-01R2 for details, and then fill in the appropriate ☐ with X):

- ☐ A copy of part design and production approval issued by the exporting authority
- ☐ A copy of any derivation approval granted by the exporting authority
- ☐ A copy of certification requirements as established by the exporting authority
- ☐ A list of data, such as specifications, test and analysis reports, installation manuals etc.
- ☐ Any other necessary data required by the CAAC

6. The point of the contact:

Name _____ E-mail _____

Title _____ Tel. _____ Fax. _____

7. I certify that the statement of this application and attachments furnished herein are correct and without any error.

_____ Title

(signature) Date

AAC-020 (10/2006)

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Attachment 3 Notification of Acceptance for Application

中 国 民 用 航 空 总 局

GENERAL ADMINSTRATION OF CIVIL AVIATION OF CHINA

受 理 申 请 通 知 书

NOTIFICATION OF ACCEPTANCE FOR APPLICATION

Project No. Date:

1. 申请单位名称 Name of applicant _____
2. 申请理由 Purpose of application _____
3. 申请日期 Date for application _____
4. 受理项目 Accepted items _____

_____

5. 出口国适航当局颁发的证件编号/项目号（对于同步认可申请）
   Certificate Number issued by the exporting authority/Project Number (for concurrent validation certification)

_____

6. 审查费 Airworthiness examination fee (including international and domestic air ticket):

USD _____ Payment to:

Beneficiary Bank: China Construction Bank
Beijing Branch
SWIFT Code: PCBCCNBJBJX

Beneficiary Name/Address: CAAC Settlement Center
D-16-19 Tower Landscape
Chao Wai Da Jie Ji Qing Li,
Chaoyang District
Beijing 100020 P.R.China

Beneficiary A/C No.: 11001007400059555555

职务 Title：

部门 Dep.:

_____
（受理人签字 Signature）

AAC-013 (10/2006) （见背面 See REVERSE SIDE）

受理申请通知书 NOTIFICATION OF ACCEPTANCE FOR APPLICATION

INFORMATION FOR APPLICANTS

Each applicant is kindly requested to provide to the Aircraft Airworthiness Certification Department of the CAAC, by fax (Fax No.:), the payment ticket/evidence and the following reply, after making the payment as specified herein. This Notification of Acceptance for Application is valid for years from the date of application.

REPLY FORM

Project No. (assigned)	
Payment Ticket No. (Intermediary Bank)	
Point of Contact	
e-mail Address	
Fax No. / Tel No.	/
Remark:	
	Date:

Attachment 4 Validation of Type Certificate

中 国 民 用 航 空 总 局

GENERAL ADMINISTRATION OF CIVIL AVIATION OF CHINA

型 号 认 可 证

VALIDATION OF TYPE CERTIFICATE

编号/No. _____

本型号认可证颁发给/*This Validation of Type Certificate is issued to*

_____

产品名称/*Product:* _____ 型号/*Model:* _____

经中国民用航空总局审查后确认，上述民用航空产品的设计符合中国民用航空规章的有关规定。中国民用航空总局对由_____颁发的第_____号型号合格证/型号批准书给予认可，后附的该型号认可证数据单为_____。

This is to certify that the design of above civil aeronautical product meets applicable China Civil Aviation Regulations. General Administration of Civil Aviation of China validates the Type Certificate/Type Approval No. _____ issued by _____. The validation Data Sheet No. _____ is attached.

局长授权

For the Minister of CAAC:

签字/*Signature* _____

职务/*Title* _____

部门/*Department* _____

日期/*Date* _____

AAC-019 (10/2006)

Attachment 5 Validation of Type Certificate Data Sheet

编号/No： VTC069A
版次/Revision： 0
型号/Type：
MF50
MF900
F900EX

批准人/Approved By:

日期/Date：

型号认可证数据单

THE VALIDATION DATA SHEET

本数据单是型号认可证(编号：VTC)的组成部分，它规定了符合中国民用航空总局的适航要求所颁发此型号认可证的产品的状态和限制。

This data sheet，which is part of Validation of Type Certificate (No: VTC) ，prescribes condition and limitation under which the product for which the type certificate was issued meets the airworthiness requirements of the Chinese Civil Aviation Regulation.

型号认可证持有人/Validation of Type Certificate Holder：

有效页清单/List of effective pages :

页数/ Pages	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
版次/Revision	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
页数/ Pages	16	17	18	19	20	21	22	23	24	25	26	27	28	29	
版次/Revision	0	0	0	0	0	0	0	0	0	0	0	0	0	0	

第 1 部分　概述（所有机型）

SECTION 1　GENERAL (ALL MODELS)

1. **CAAC 认可数据单和型号合格证数据单**
   CAAC Validation Data Sheet and Type Certificate Data Sheet

	中国民用航空总局认可数据单号、版次和颁发日期 **CAAC Validation Data Sheet Number, Revision and issuance date**	型号合格证数据单号、版次和颁发日期 **Type Certificate Data Sheet Number, Revision and issuance date**
当前 **Current**		
历史 **History**		

2. **类别/Airworthiness Category:** Transport Airplanes

3. **认可当局/Validation Authority:** **CAAC**
   审定当局/Certifying Authority:

4. **型号合格证持有人/Type Certificate Holder**: **ABC Corporation**
   Aviation Road， California
   10000 USA

6. **ETOPS:** Not applicable

7. **CAAC Special Requirements:**

交付到中国的每一 AAA 航空器须满足下述特殊要求：
Each of AAA aircraft delivered to China shall meet the following special requirements:

(1) 必须满足中国民用航空总局的运行要求（例如标记标牌的中文要求）。The operational requirements of CAAC must be met (e.g. Chinese language requirements for markings and placards).

(2) 燃油符合“中国国标 3 号燃油－GB6537-94”的规范。Fuel conforming to Specification “PRC National Standard No.3 Jet Fuel -- GB6537-94”

(3) 在每一航空器上必须安装快速存储器（QAR）（参照中国适航指令 CAD-97-MULT-38）。Quick Access Recorder (QAR) must be installed on each aircraft (reference to CAD97-MULT-38).

第 2 部分

SECTION 2

（参照出口国适航当局颁发的型号合格证数据单。）

Attachment 6 Validation of Supplemental Type Certificate

中 国 民 用 航 空 总 局

GENERAL ADMINISTRATION OF CIVIL AVIATION OF CHINA

补 充 型 号 认 可 证

VALIDATION OF SUPPLEMENTAL TYPE CERTIFICATE

编号/No. _____

本证颁发给/*This Certificate is issued to*

适用机型/*Applicable Aircraft Model:*

叙述/*Description:*

使用限制/*Limitation:*

经中国民用航空总局审查确认，上述民用航空产品的设计更改符合中国民用航空规章的有关规定。中国民用航空总局对由_____颁发的第_____号补充型号合格证。

This is to certify that the design change of above civil aeronautical product meets applicable China Civil Aviation Regulations. General Administration of Civil Aviation of China validates the Supplemental Type Certificate No. _____ issued by _____.

局长授权

For the Minister of CAAC:

签字/*Signature* _____

职务/*Title* _____

部门/*Department* _____

日期/*Date* _____

AAC-156 (10/2006)

Attachment 7 Validation of Design Approval

中 国 民 用 航 空 总 局

GENERAL ADMINISTRATION OF CIVIL AVIATION OF CHINA

材 料 零 部 件 机 载 设 备

MATERIAL PARTS APPLIANCE

设 计 批 准 认 可 证

VALIDATION OF DESIGN APPROVAL

编号/No. _____

本设计批准认可证发给_____。
经中国民用航空总局审查后确认，下述零部件的设计符合_____。
中国民用航空总局对由_____批准的下述零部件设计予以认可。

This Validation of Design Approval is issued to _____.
This is to certify that the type design of items listed below comply with

_____

General Administration of Civil Aviation of China validates the relevant design approval issued by

_____.

产品名称 *Parts*	型(件)号 *Model orP/N(Model)*	备注 *Remarks*

局长授权
For the Minister of CAAC:

签字/*Signature* _____

职务/*Title* _____

部门/*Department* _____

日期/*Date* _____

This approval does not constitute an installation approval for each of the parts as specified herein. The installer must obtain installation approval for use on a China-registered aircraft.

AAC-007 (10/2006)

中 国 民 用 航 空 总 局

GENERAL ADMINISTRATION OF CIVIL AVIATION OF CHINA

附 件 / *Appendix*

VALIDATION OF DESIGN APPROVAL

本附件_____是_____的一部分。

*This appendix*_____*is a part of*_____.

局长授权

For the Minister of CAAC:

签字/*Signature* _____

职务/*Title* _____

部门/*Department* _____

日期/*Date* _____

Attachment 8 Technical Arrangement

Technical arrangement on

[ABC Aircraft Corporation] product certification

between

The General Administration of Civil Aviation of China

(CAAC)

and

[The Exporting Authority]

1. PURPOSE

This Technical Arrangement defines the working relationship between [THE EXPORTING AUTHORITY] and the General Administration of Civil Aviation of China (CAAC) hereafter called the "Authorities", to facilitate and accomplish the CAAC type validation of the [ABC Aircraft Corporation] aircraft models XXX, and of subsequent type design changes as well as to define the declaration of compliance for Export and continued airworthiness activities.

2. OBJECTIVES

This Technical Arrangement is intended to accomplish the following objectives:

2.1 To define the working procedures under the respective responsibilities of each Authority:

a) for the type validation process; and

b) for subsequent post type validation activities.

c) for the acceptance of new and used products produced by the manufacturer as mentioned in the CAAC validation data sheet and for which the CAAC has issued the Validation of Type Certificate.

d) validation of Supplemental Type Certificates approved by [THE EXPORTING AUTHORITY].

e) for parts and appliances for these products.

2.2 To minimize redundant inspections, tests, demonstration, evaluations, and approvals.

3. SCOPE

This Technical Arrangement covers under the provisions set forth in the following paragraphs:

a) the Model XX1 ([THE EXPORTING AUTHORITY] TCDS equivalent to [THE EXPORTING AUTHORITY] TCDS XX1);

b) the Model XX2 ([THE EXPORTING AUTHORITY] TCDS equivalent to [THE EXPORTING AUTHORITY] TCDS XX2);

c) the Model XX3 (TCDS [THE EXPORTING AUTHORITY] equivalent to [THE EXPORTING AUTHORITY] TCDS XX3)

4. REQUIREMENTS AND BASIS

The requirement for this Technical Arrangement results from paragraphs 2.1.4 and 2.4.1 of CAAC AP-21-01R1 dated January 2000

(English version), Validation Procedures for Import of Civil Aviation Products and Parts.

5. COMMUNICATION

5.1 The Aircraft Airworthiness Certification Department (CAAC-AAD) of CAAC and [THE EXPORTING AUTHORITY] Certification Directorate as Aircraft Certification Authority will be responsible for the implementation of this Technical Arrangement.

5.2 A project manager will be assigned by each Authority to facilitate the implementation of this Technical Arrangement. All routine communication related to the activities of this Technical Arrangement will formally take place between these two project managers. (See Appendix 1 for contact listing).

5.3 The applicant will be the primary source for providing the technical support to CAAC-AAD. When requested, [THE EXPORTING AUTHORITY] will provide the necessary assistance and support within its regulatory functions, which will be initiated through and coordinated by the designated project managers of the respective Authority.

5.4 All communications between CAAC and [THE EXPORTING AUTHORITY] related to the activities of this Technical Arrangement will be made in the English language.

5.5 Unless otherwise specified, [THE EXPORTING AUTHORITY] shall be copied with all correspondence between the applicant and CAAC related to the activities of this Technical Arrangement in order for [THE EXPORTING AUTHORITY] to support the applicant and CAAC in the future.

6. TYPE VALIDATION ACTIVITES

6.1 General

a) The applicant is responsible for showing and verifying the compliance with the CAAC certification basis and for demonstrating this compliance to both Authorities. Subject to paragraph 6.2(c)(ii), any compliance documents provided to CAAC shall be approved by [THE EXPORTING AUTHORITY].

b) The CAAC type validation of affected products as listed above must be accomplished in respect of all laws and regulation governing

both Authorities.

6.2 Certification basis

a) The certification bases for the aircraft models are the following:

i) For [THE EXPORTING AUTHORITY]:

As defined in Type Certificate Data Sheets (TCDS) at the latest applicable issue, and

ii) For CAAC:

The CAAC have accepted the [THE EXPORTING AUTHORITY] certification basis for the aircraft models, with additional requirements as established by comparison with CCAR 25-R3. These additional requirements to the [THE EXPORTING AUTHORITY] certification basis are referred to as “Additional Technical Conditions (ATC)”.

b) CAAC will notify in writing both [THE EXPORTING AUTHORITY] and the applicant of any ATC necessary for the CAAC type validation.

c) [THE EXPORTING AUTHORITY] will review the ATC to ensure its understanding thereof. As necessary, CAAC will provide [THE EXPORTING AUTHORITY] in writing with any interpretative material

or any data regarding the means of compliance pertaining to those ATC.

i) [THE EXPORTING AUTHORITY], upon request from CAAC, will initiate the process of finding compliance referred to in paragraph 6.4 once the necessary understanding of the particular CAAC ATC has been acquired.

ii) CAAC will perform its own findings of compliance on ATC for which [THE EXPORTING AUTHORITY] has not acquired sufficient understanding.

6.3 Process of finding compliance

For the CAAC type validation activities, CAAC will define its involvement taking into account paragraph 2.2 of this Technical Arrangement.

6.4 Process of finding compliance to the ATC

Provided that CAAC has not already made findings of compliance with its own ATC according to paragraph 6.2(c)(ii), [THE EXPORTING AUTHORITY], upon request, will make the findings of compliance with the ATC on behalf of CAAC. [THE EXPORTING AUTHORITY] will make the findings of compliance in accordance with the interpretative

material and the means of compliance provided by CAAC. In the absence of such interpretative material, [THE EXPORTING AUTHORITY] will use its own interpretation for the specific ATC.

6.5 Formalization of the findings of compliance

a) For the purpose of finding compliance with the CAAC certification basis, CAAC may raise Issue Papers (IP) and Action Items (AI).

b) An IP is normally opened to document the ATC (one IP per ATC):

i) to document any controversial technical issue; and

ii) to document differences in interpretative material of the means of compliance.

c) AI are normally opened to record any non-controversial action to be performed by [ABC Aircraft Corporation].

d) CAAC will notify [THE EXPORTING AUTHORITY] and applicant of the status of each IP. All IP and AI must be closed before the issuance of the CAAC type certificate.

6.6 Final statement

At the end of the process [THE EXPORTING AUTHORITY] will provide, a formal statement attesting that [THE EXPORTING AUTHORITY] has found compliance with CAAC certification basis. The CAAC approved type design will be identified in a CAAC VTCDS to be produced the applicant and to be approved by [THE EXPORTING AUTHORITY].

7. POST TYPE VALIDATION ACTIVITIES

7.1 Design change approval

a) Upon request, [THE EXPORTING AUTHORITY] will verify that design changes affecting the [THE EXPORTING AUTHORITY] type design which have been introduced after CAAC type validation an embodied on products to be delivered to China, comply with the CAAC certification basis using the Information gained during the type validation activities (see paragraph 6 above). If the change is approved via a Supplemental Type Certificate (STC), it will be validated by CAAC who will notify its approval.

b) Prior to each product delivery, a formal statement of compliance with the CAAC certification basis will be provided by [THE EXPORTING AUTHORITY] to CAAC for major design changes. These type design changes will normally be approved by CAAC on the basis of the [THE EXPORTING AUTHORITY] statement of compliance without technical validation. However, CAAC reserves the right to make a technical validation on those design changes that affect the CAAC Validation Data Sheet and will inform [ABC Aircraft Corporation] and [THE EXPORTING AUTHORITY] accordingly. For these changes, CAAC will notify [THE EXPORTING AUTHORITY] and [ABC Aircraft Corporation] of their approval.

c) The statement of compliance in b) above is considered sufficient to cover other changes, which are not considered as significantly affecting the approved type design.

8. AIRWORTHINESS SUPPORT ACTIVITES

8.1 Individual product deliveries

a) For each airplane to be delivered to China, [THE EXPORTING AUTHORITY] will issue an [THE EXPORTING AUTHORITY]

declaration of compliance for Export, based on the individual [THE EXPORTING AUTHORITY] Form X1 issued in accordance with the PAH/POA granted by [THE EXPORTING AUTHORITY] under [Regulation], stating that the airplane complies with the CAAC approved type design and CAAC special requirements which are identified in VTDS.

b) Each part and appliance will be delivered to China with an individual [THE EXPORTING AUTHORITY] Form X2, issued in accordance with the PHA/POA granted by [THE EXPORTING AUTHORITY] under [Regulation], stating that the part and appliance complies with the CAAC approved type design and is in a condition for safe operation, with note in Block 13 of [THE EXPORTING AUTHORITY] Form X2 that the part and appliance is eligible for Export to China.

c) An Airplane Flight Manual (AFM) in the English language will be provided for each aircraft to be delivered to China. The AFM will be in accordance to the CAAC approved type design, and will be approved by [THE EXPORTING AUTHORITY] on behalf of the CAAC.

8.2 Continued Airworthiness

a) In accordance with ICAO Annex 8, [THE EXPORTING AUTHORITY] will promptly inform CAAC of all mandatory airworthiness modifications, special inspections, special operating limitations or other actions necessary for maintaining the continuing airworthiness of the products.

b) CAAC will promptly notify [THE EXPORTING AUTHORITY] and [ABC Aircraft Corporation] of any unsafe condition associated with the design, manufacturing or maintenance of the products that are in service in China.

c) [THE EXPORTING AUTHORITY] will notify CAAC, where appropriate, of any action it deems necessary to correct any unsafe coition. In the type design that may be discovered after the type validation, including any actions in respect of components designed or manufactured by a supplier under contract to [ABC Aircraft Corporation].

d) [THE EXPORTING AUTHORITY], upon request, will assist CAAC in establishing procedures deemed necessary by CAAC for maintaining the continuing airworthiness of aircraft models.

9. ENTRY INTO FORCE

This Technical Arrangement shall enter into force at the date of signature by the Authorities.

10. DURATION AND TERMINATION

Either Authority may at any time give written notice to other Authority of its decision to terminate this Technical Arrangement. This Technical Arrangement shall terminate twelve months following the date of receipt of the notice by the other Authority, unless the said notice of termination has been withdrawn by mutual agreement before the expire of this period.

11. AUTHORITIES

The Authorities agree to the provisions of this Technical Arrangement as indicated by the signature of their authorized representatives or executive agents.

Signed in …… on …… on behalf of:

([THE EXPORTING AUTHORITY])

Signed in ……. on ……. on behalf of:

General Administration of Civil Aviation of China (CAAC)

Aircraft Airworthiness Certification Department

APPENDIX 1

POINTS OF CONTACT

FOR [THE EXPORTING AUTHORITY]	**FOR CAAC**
Certification Directorate [Address]	Aircraft Airworthiness Department 155 Dongsi Street West Beijing 100710 Peoples Republic of China
Project Manager Mr. A [title] Phone: Fax: Email:	Project Manager Mr. B [title] Phone: Fax: Email: