

**IMPLEMENTATION PROCEDURES
FOR DESIGN APPROVAL, PRODUCTION ACTIVITIES,
EXPORT AIRWORTHINESS APPROVAL,
POST DESIGN APPROVAL ACTIVITIES, AND
TECHNICAL ASSISTANCE BETWEEN
AUTHORITIES**

**Under the Agreement between
The Government of the People's Republic of China

and
The Government of the Russian Federation
for Promotion of Aviation Safety**

June 5, 2019

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IMPLEMENTATION PROCEDURES
for
Design Approval, Production Activities,
Export Airworthiness Approval, Post Design Approval Activities,
and Technical Assistance Between Authorities

SECTION I GENERAL

1.0 Authorization. These Implementation Procedures are authorized by Article III of the Agreement between the Government of the People's Republic of China and the Government of the Russian Federation for the Promotion of Aviation Safety, dated September 8, 2001 and amended on December 26, 2018. In accordance with Article I, the Civil Aviation Administration of China (CAAC) and the Federal Air Transport Agency (FATA) are designated by the Government of the People's Republic of China and the Government of the Russian Federation respectively as their executive agents to implement the Agreement. In accordance with Article III (para. 1a), b) and para. 2), the CAAC and the FATA have determined that the aircraft certification systems of each authority for the design approval, production approval, airworthiness certification, and continuing airworthiness of civil aeronautical products and appliances identified in this document, are sufficiently equivalent or compatible to support these Implementation Procedures.

1.1 Purpose. The purpose of this document is to define the civil aeronautical products and parts eligible for import into the People's Republic of China and the Russian Federation (see Section II-Scope), and to define the interface requirements and activities between the authorities for the import and continued support of those civil aeronautical products and appliances.

1.2 Principles. These Implementation Procedures address the performance of design, production, airworthiness, and related certification functions, and are based on a high degree of mutual confidence in the technical competence and regulatory capabilities of the CAAC and the FATA to perform these tasks within the scope of these Implementation Procedures. The CAAC and the FATA, as importing civil airworthiness authorities, shall give the same validity to the certification made by the other, as the exporting civil airworthiness authority, as if the certification had been made by the CAAC or the FATA in accordance with its own applicable laws, regulations, and requirements. Also, when a finding is made by one authority in accordance with the laws and regulations of the other authority and with these Implementation Procedures, that finding is given the same validity as if it was made by the other authority. Therefore, the fundamental principle of these Implementation Procedures is to maximize the use of the exporting civil airworthiness authority's aircraft certification system to ensure that the airworthiness standards of the importing civil airworthiness authority are satisfied.

1.2.0 The CAAC and the FATA agree that all information, including technical documentation, exchanged among authorities under these Implementation Procedures will be in the English language. Exceptions for certification compliance data will be mutually agreed to on a case-by-case basis. The FATA and the CAAC will certify that the translations of technical documentation which are required by the Importing Authority for the type validation and performed by the applicant, are made from originals in Russian approved by the FATA, and from originals in Chinese language approved by the CAAC.

1.3 Changes in Authority Aircraft Certification Systems.

1.3.0 These Implementation Procedures are based upon sufficiently similar aircraft certification systems being in place at the time of signing. Therefore, the CAAC and the FATA shall keep each other informed of significant changes within those systems, such as:

- (a) statutory responsibilities;
- (b) organizational structure (e.g., key personnel, management structure, technical training, office location);
- (c) significant revisions to airworthiness and environmental standards;
- (d) production quality assurance/inspection system oversight, including oversight of out-of-country production of parts;
- (e) delegated functions or the kinds of organizations to which functions have been delegated.

1.3.1 The CAAC and the FATA recognize that revision by either authority to its regulations, policies, procedures, statutory responsibility, organizational structure, production quality assurance/inspection system oversight, or delegation system may affect the basis and the scope of these Implementation Procedures. Accordingly, upon notice of such changes by one authority, the other authority may request a meeting to review the need for amendment to these Implementation Procedures.

1.4 Authority Meetings. The CAAC and the FATA agree to meet as necessary to review these Implementation Procedures and their continued validity. The frequency of these meetings will be mutually agreed by the authorities, and will depend on the number and significance of the issues to be discussed between the authorities. Every effort should be made to alternate the location of these meetings between the People's Republic of China and the Russian Federation.

1.5 Applicable National Requirements, Procedures, and Guidance Material.

1.5.0 The CAAC's standards for aircraft airworthiness and environmental certification are contained in the Civil Aviation Regulations of China referred to as CCAR 21, 23, 25, 26, 27, 29, 31, 33, 34, 35, 36. Guidance material, policy, and procedures are contained in CAAC Advisory Circulars, Aviation Procedures and management documents.

1.5.1 The Russian standards for aircraft airworthiness and environmental certification are contained in the Aviation Regulations referred to as AP 21, 23, 25, 27, 29, 31, 33, 34, 35, 36 and AP-VD (APU), AP-OLS. Guidance material, policy, and procedures are contained in related FATA Orders and Directive letters.

1.5.2 Products approved to earlier airworthiness standards are eligible for import through special arrangements to be developed in accordance with Section V of these Implementation Procedures.

1.6 Interpretations. In the case of conflicting interpretations of the laws, airworthiness or environmental regulations/standards, requirements, or acceptable means of compliance pertaining to certifications, approvals, or acceptance under these Implementation Procedures, the interpretation of the civil airworthiness authority whose law, regulation, standard, requirement, or acceptable means of compliance is being interpreted shall prevail.

1.7 Amendments and Points of Contact.

1.7.0 These Implementation Procedures may be amended by mutual consent of the CAAC and the FATA. Amendments shall be made effective by signature of the duly authorized representatives of the CAAC and the FATA.

1.7.1 The designated offices for the technical implementation and administrative coordination of these Implementation Procedures are:

For the CAAC	For the FATA
Aircraft Airworthiness Certification Department 155 Dongsu St. West Beijing 100710 People's Republic of China Tel.: (010) 64091304 Fax: (010) 64033087 E-mail: chenye@caac.gov.cn	Certification and Continued Airworthiness Department 37 Leningradsky Prospect Moscow 125836 Russia Tel.: (7499) 231-52-04 Fax: (7499) 231-55-35 E-mail: rusavia@scaa.ru

1.8 Entry Into Force and Termination. These Implementation Procedures shall enter into force upon signature and shall remain in force until terminated by either party. Either the CAAC or the FATA may terminate these Implementation Procedures upon sixty days written notice to the other party. Termination will take effect at the expiry of the sixty days and will not affect the validity of activity conducted under these Procedures prior to termination.

1.9 Definitions. For the purpose of these Implementation Procedures the following definitions are provided. Additional definitions can be found in Article II of the Agreement for the Promotion of Aviation Safety.

(a) "Additional Technical Condition" means a requirement of the Importing State that is in addition to the applicable airworthiness requirements of the State of Design or that may be prescribed to provide a level of safety equivalent to that provided by the applicable airworthiness requirements for the Importing State.

(b) "Airworthiness Standards" means regulations governing the design and performance of civil aeronautical products and appliances.

(c) "Appliance" means any instrument, mechanism, equipment, part, apparatus, appurtenance, or accessory, including communications equipment, that is used or intended to be used in operating or controlling an aircraft in flight, is installed in or attached to the aircraft and is not part of an airframe, aircraft engine, or propeller.

(d) "Applicant" means a person who applies for an approval.

(e) "Civil Aeronautical Product" (herein also referred to as "product") means any civil aircraft, aircraft engine, or propeller.

(f) "Critical Component" means a part identified as critical by the design approval holder during the product type certification process or otherwise by the exporting authority. Typically, such components include parts for which a replacement time, inspection interval, or related procedure is specified in the Airworthiness Limitations section of the maintenance manual or Instructions for Continued Airworthiness. (In Russia these are also referred to as "Essential Components".)

(g) "Environmental Approval" means an approval issued when a civil aeronautical product has been found to comply with standards concerning noise, fuel venting, and/or exhaust emissions.

(h) "Environmental Standards" means regulations governing designs with regard to noise characteristics, fuel venting and exhaust emissions of civil aeronautical products.

(i) "Environmental Testing" means a process by which a civil aeronautical product is evaluated for compliance with environmental standards.

(j) "Equivalent Level of Safety Finding" means a finding that alternative action taken provides a level of safety equal to that provided by the requirements for which equivalency is being sought.

(k) "Exporting Civil Airworthiness Authority" means the organization within the Exporting State, charged by the laws of the Expo "Exemption" means a grant of relief from requirements of a current regulation when processed through the appropriate regulatory procedure by the CAAC and found by the CAAC to have an acceptable level of safety.

(l) "Importing State, to regulate the airworthiness and environmental certification, approval, or acceptance of civil aeronautical products and appliances. The exporting civil airworthiness authority will be referred to herein as the exporting authority.

(m) "Finding" means a determination of compliance or non-compliance as the result of an airworthiness authority's review, investigation, inspection, test, and/or analysis.

(n) "Importing Civil Airworthiness Authority" means the organization within the Importing State, charged by the laws of the Importing State, to regulate the airworthiness and environmental certification, approval, or acceptance of civil aeronautical products and appliances. The importing civil airworthiness authority will be referred to herein as the importing authority.

(o) "Independent Inspection" means an inspecting body authorized by relevant Russian competent authorities to carry out supervisory functions at Russian facilities and to make decisions within its competence, independent of decisions and opinions of the organizations it supervises.

(p) "Manufacturer" means the person who, by CAAC or FATA regulation, is responsible for determining that all products or appliances thereof produced with the quality assurance/inspection system conform to a CAAC or FATA approved design and are in a condition for safe operation.

(q) "Modification" means change to the approved type design (construction, configuration, or performance), environmental characteristics, or operating limitations of the affected product.

(r)

(s) "New Aircraft", for FATA, means an aircraft that has not made any flights other than those necessary for its initial airworthiness certification regardless of ownership. For CAAC, means an aircraft that is still owned by the manufacturer, alteration station, or distributor if there is no intervening owner or lease, and has only made flights necessary for production flight testing, the manufacturer's crew training, and the aircraft delivery.

(t) "Person" means an individual, firm, partnership, corporation, company, association, joint stock association, or governmental entity, and includes a trustee, receiver, assignee, or other similar representative of any of them.

(u) "Product" see (e) Civil Aeronautical Product.

(v) "Production Quality System" means a systematic process which meets the requirements of the exporting authority and ensures that civil aeronautical products, parts, and appliances will conform to the approved type design and will be in a condition for safe operation.

(w) "Special Condition" means an additional airworthiness requirement(s) prescribed by the CAAC or FATA when the airworthiness standards for the category of product do not contain adequate or appropriate safety standards due to novel or unusual design features. Special Conditions contain such safety standards as the CAAC or FATA finds

necessary to establish a level of safety equivalent to that established in the applicable standards.

(x) "Standard Airworthiness Certificate" means an airworthiness certificate issued for the normal, utility, acrobatic, commuter, and transport categories of aircraft, as well as for balloons and special classes of aircraft such as airships, VLA, and gliders.

(y) "Supplier" means any person at any tier contracted to provide aviation products, appliances, materials, or services.

(z) "Type Design" means the description of all characteristics of a product, including its design, limitations, and continued airworthiness instructions, which determine its airworthiness. This includes drawings and specifications necessary to define the configuration and design features (e.g., dimensions, materials, and processes) and the data substantiating that the design meets the applicable airworthiness requirements.

(z) "Used Aircraft" means each aircraft that is not a new aircraft, as defined in paragraph (r) above.

(aa) "Validation" means the importing authority's process for type certification, or equivalent, of a product and appliance certificated by either the CAAC or FATA, as exporting authorities.

SECTION II SCOPE OF THESE IMPLEMENTATION PROCEDURES

2.0 General. These Implementation Procedures cover the products, parts and appliances, identified below, their related approvals, and the provisions set forth in the following paragraphs.

2.1 Products, Parts, and Appliances Designed and Manufactured in the State of the Exporting Civil Airworthiness Authority Accepted for Import Under These Implementation Procedures.

2.1.0 Russian Acceptance of CAAC Export Certificates of Airworthiness (CAAC Form AAC-157) for the Following Products:

- (a) new and used aircraft.

2.1.1 Russian Acceptance of CAAC Airworthiness Approval Tags (CAAC Form AAC-038) for the Following Appliances and Parts:

- (a) new aircraft engines,
- (b) new propellers,
- (c) new CTSO appliances, and
- (d) new parts, including modification and/or replacements parts for the aircraft, aircraft engines, propellers, and CTSO appliances listed in paragraphs 2.1.0 and 2.1.1(a), (b) and (c).

2.1.2 Chinese Acceptance of FATA Export Certificates of Airworthiness (FATA Form E-01) for the Following Products:

- (a) new and used aircraft,
- (b) new aircraft engines, and
- (c) new propellers.

2.1.3 Chinese Acceptance of FATA Airworthiness Approval Tags (FATA Form E-02) for the Following Appliances and Parts:

- (a) new FATA-approved appliances,

(b) new parts, including modification and/or replacement parts for the aircraft, aircraft engines, propellers, and appliances listed in paragraph 2.1.2. and 2.1.3(a).

2.1.4 Airworthiness Certification. These Implementation Procedures for design approval apply to such aircraft type designs to be type certificated by the CAAC and FATA for standard category airworthiness certification. Aircraft for which a special airworthiness certificate is to be issued will be dealt with on a case-by-case basis through the special arrangements provision in Section V of this document.

2.1.5 Aircraft Designed or Manufactured in Other Countries:
[Reserved]

2.1.6 Summary Tables.

(a) Summary Table of Russian Products, Appliances, and Parts and Associated FATA Approvals Eligible for Import into China (See page 10).

(b) Summary Table of Chinese Products, Appliances, and Parts and Associated CAAC Approvals Eligible for Import into the Russian Federation (See page 11).

2.2 Provisions for Approval of Repair Data.

2.2.0 Russian Acceptance of CAAC-Approved Repair Data: CAAC-approved repair data will be accepted by the FATA as defined in Section III.

2.2.1 Chinese Acceptance of Russian Repair Data: FATA - approved repair data will be accepted by the CAAC as defined in Section III.

2.3 Provisions for Environmental Testing, and Approvals.

2.3.0 Russian Acceptance of CAAC Findings for the Following Environmental Requirements:

(a) noise certification requirements for subsonic transport category large airplanes and subsonic turbojet powered airplanes;

(b) noise certification requirements for propeller-driven small airplanes and propeller-driven commuter category airplanes;

(c) noise certification requirements for helicopters; and

(d) fuel venting and exhaust emissions certification requirements for turbine powered airplanes.

2.3.1 Chinese Acceptance of FATA Findings for the Following Environmental Requirements:

(a) noise certification requirements for subsonic transport category large airplanes and subsonic turbojet powered airplanes;

(b) noise certification requirements for propeller-driven small airplanes and propeller-driven commuter category airplanes;

(c) noise certification requirements for helicopters; and

(d) fuel venting and exhaust emissions certification requirements for turbine powered airplanes.

2.4 Provisions for Technical Assistance. The scope of all technical assistance activities between the CAAC and the FATA are specified in Section IV.

2.5 Provisions for Special Arrangements. These Implementation Procedures provide for designated officials within the CAAC and FATA to make special arrangements with respect to design approval, production activities, export airworthiness approval, post design approval, or technical assistance in unique situations which have not been specifically addressed in these Implementation Procedures, but which are anticipated by the Agreement for the Promotion of Aviation Safety. All special arrangements between the authorities are listed in Appendix A.

Summary Table
of the Russian Federation (State of Design) Products, Appliances and Parts, Eligible for
Import into China, and Associated FATA Approvals.

Products, Appliances & Parts	Type Design Approvals	Appliance Design Approval
Airplanes in the following categories:		
Normal	✓	N/A
Utility	✓	N/A
Acrobatic	✓	N/A
Commuter	✓	N/A
Transport	✓	N/A
Rotorcraft in the following categories		
Normal	✓	N/A
Transport	✓	N/A
Manned Free Balloons	✓	N/A
Engines	✓	N/A
Propellers	✓	N/A
Aircraft in Special Classes		
Airships	✓	N/A
VLA	✓	N/A
Gliders	✓	N/A
TSO Appliances	N/A	✓
New Parts including replacement and Modification Parts for the above airplanes, rotorcraft, balloons, engines, propellers, special class aircraft, & appliances	✓	✓

NOTE 1: Products, Appliances and Parts are produced by the production approval holder and his suppliers under the production approval.

NOTE 2: Type design approvals include Type Certificate, Major Change Approval, Supplemental Type Certificate and other type design approvals issued by FATA.

Summary Table
of the People's Republic of China (State of Design) Products, Appliances, and Parts
Eligible for Import into Russia, and Associated CAAC Approvals

Products, Appliances & Parts	Type Design Approvals	Technical Standard Order Authorization	Parts Manufacturer Approval
Airplanes in the following categories:			
Normal	✓	N/A	N/A
Utility	✓	N/A	N/A
Acrobatic	✓	N/A	N/A
Commuter	✓	N/A	N/A
Transport	✓	N/A	N/A
Rotorcraft in the following categories			
Normal	✓	N/A	N/A
Transport	✓	N/A	N/A
Manned Free Balloons	✓	N/A	N/A
Engines	✓	N/A	N/A
Propellers	✓	N/A	N/A
Aircraft in Special Classes			
Airships	✓	N/A	N/A
VLA	✓	N/A	N/A
Gliders	✓	N/A	N/A
TSO Appliances	N/A	✓	N/A
New Parts including replacement and Modification Parts for the above airplanes, rotorcraft, balloons, engines, propellers, special class aircraft, & appliances	✓	✓	✓

NOTE 1: Products, Appliances and Parts are produced by the production approval holder and his suppliers under the production approval.

NOTE 2: Type design approvals include Type Certificate, Amendment to Type Certificate, Supplemental Type Certificate, Modification Design Approval, and other type design approvals issued by CAAC.

SECTION III ESTABLISHED WORKING PROCEDURES

3.0 DESIGN APPROVAL PROCEDURES

3.0.0 General

(a) The CAAC and FATA, as importing authorities, will normally conduct certification activities under a validation process on a product and appliance in order to make a finding of compliance and issue their corresponding design approval. The validation process is initiated by an application and normally entails a familiarization briefing by the applicant, the establishment of the certification basis by the importing authority, a technical information exchange in the form of data, specialist meetings on technical compliance and/or the development of issue papers or Certification Review Items (CRIs), establishment of the scope of delegation to the exporting authority, compliance determinations, and finally, the issuance of the design approval. The design approval issued by the importing authority is based to the maximum extent practicable on the technical evaluations, tests, inspections, and compliance determinations made by the exporting authority.

(b) The expectation is that, with only a few exceptions, the determinations of compliance with the importing authority's requirements would be made by the exporting authority, as delegated by the importing authority. The importing authority is able to make findings of compliance, without further showing, based upon statements of compliance by the exporting authority. Since the exporting authority must understand the importing authority's position on all the items for which the exporting authority will be making determinations of compliance, both authorities shall ensure that they communicate adequately on these items. Also, the importing authority will normally seek the exporting authority's opinions before significant issues are resolved and, accordingly, may postpone a meeting with the applicant to discuss and resolve technical issues until the exporting authority is adequately represented. Working in accordance with the principle that communications should occur authority-to-authority, the CAAC and FATA also recognize that direct communications between the validating authority and the applicant are sometimes necessary. Direct communications should be limited to technical questions regarding the product (familiarization), or compliance questions that are within the scope of the agreed-to validation items. The exporting authority should be copied of these communications.

(c) Close cooperation between the CAAC and FATA is necessary to provide for effective management of the validation process and for the most cost effective utilization of resources.

3.0.1 Design Approval Procedures for Type Certificates/Validation of Type Certificate.

CHINA	RUSSIA
3.0.1.0 <u>Application for a Validation of Type Certificate.</u> (a) An application for a Validation of Type Certificate (VTC), in accordance with CCAR 21.29 from an applicant in the Russian Federation should be sent to the FATA, which will forward the application with a	3.0.1.1 <u>Application for a Type Certificate.</u> (a) An application for a Type Certificate, in accordance with AP-21 from an applicant in China should be sent to CAAC which will forward the

FATA cover letter to the CAAC. Applications may be submitted for products with a FATA Type Certificate, or for products where application for type certification has been made to the FATA.

(b) The FATA should ensure the application has the following information:

(1) The FATA Type Certificate and TC Data Sheet, if available, and a definition of the national airworthiness standards upon which the FATA design approval was (or is to be) based.

(2) A description of all novel or unusual design features known to the applicant or the FATA at the time of application which might necessitate issuance of CAAC special conditions or which might require a special review of acceptable means of compliance.

(3) All known or expected exemptions or equivalent level of safety findings relative to the FATA's national standards for design approval that might affect compliance with the applicable Chinese airworthiness and environmental standards.

(4) A planning date for CAAC type certification.

(5) Available information on Chinese market potential, including specific customers.

(c) If the application is for a product in a category not previously certificated by the FATA, or the product is of a level of complexity that has not been previously certificated by the FATA, the FATA should notify the CAAC. This notification should be made as soon as the FATA becomes aware of this type of pending application, so that the CAAC may plan the scope of its validation program.

application with a CAAC cover letter to the FATA. Applications may be submitted for products with a CAAC Type Certificate, or for products where application for type certification has been made to the CAAC.

(b) The CAAC should ensure the application has the following information:

(1) The CAAC Type Certificate and TC Data Sheet, if available, and a definition of the national airworthiness standards upon which the CAAC design approval was (or is to be) based.

(2) A description of all novel or unusual design features known to the applicant or the CAAC at the time of application which might necessitate issuance of FATA special conditions or which might require a special review of acceptable means of compliance.

(3) All known or expected exemptions or equivalent level of safety findings relative to the CAAC's national standards for design approval that might affect compliance with the applicable Russian airworthiness and environmental standards.

(4) A planning date for FATA type certification.

(5) Available information on Russian market potential, including specific customers.

(c) If the application is for a product in a category not previously certificated by the CAAC, or the product is of a level of complexity that has not been previously certificated by the CAAC, the CAAC should notify the FATA. This notification should be made as soon as the CAAC becomes aware of this type of pending application, so that the FATA may plan the scope of its validation program.

3.0.1.2 Familiarization Meetings.

(a) The Importing Authority will notify the Exporting Authority in writing of each familiarization meeting. The Exporting Authority will arrange a familiarization meeting between the Authorities and the applicant to discuss the validation process, the approved

or proposed domestic Authority certification basis, and all novel or unusual features of the product.

(b) At this meeting the Importing Authority will work to establish its type certification basis and the means of compliance for the product under application by determining the Importing State airworthiness and environmental standards that would be applied to a similar product if it were to be produced in the Importing State.

(c) As part of the familiarization meeting, the Importing Authority will require the applicant to provide information about its serial production facility. The Importing Authority will visit each production facility with which the Importing Authority is not yet familiar and other production facilities if deemed necessary.

3.0.1.3 Establishment of Type Certification Basis.

The CAAC or FATA, as the importing authority, will develop its type certification basis for imported products in a manner that is consistent with the criteria utilized to establish the certification basis for a domestic product of a similar design and service history.

CHINA	RUSSIA
<u>3.0.1.3.1 Establishment of Chinese Type Validation Basis</u> (a) The CAAC validation basis is established for the product in accordance with CCAR 21.29 paragraph (d). (b) The CAAC will accept the FATA certification basis as its validation basis, plus any additional technical conditions (ATC) prescribe by CAAC which may include: (1) the differences in the airworthiness standards, environmental requirements in effect on the date application was made to the FATA for the FATA type certificate. (2) 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.; (3) additional conditions based on an evaluation of equivalent safety findings granted by the exporting authority; and (4) 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 (c) The CAAC will work closely with the FATA in the development of additional	<u>[3.0.1.3.2 Establishment of Russian Type Certification Basis]</u> (a) The FATA certification basis is established in accordance with AP-21. (b) The FATA will develop its type certification basis using the applicable airworthiness standards in effect on the date application was made to the CAAC for the CAAC type certificate. (c) The certification basis must include the applicable airworthiness and environmental standards which are set out in Russian Aviation Regulations 23, 25, 27, 29, 31, AP-OLS, 33, 34, 35, 36 respectively. (d) Additional requirements. The FATA may require the applicant to comply with additional technical conditions in the interests of safety. The FATA will review all novel and unusual design features for development of special conditions. The FATA will work closely with the CAAC in the development of special conditions, providing the CAAC an opportunity to coordinate on the proposed special conditions, and the applicant the opportunity to comment on the proposal. Such coordination will allow the FATA to benefit from the technical expertise of the CAAC and

technical conditions, providing the FATA an opportunity to coordinate on the proposed additional technical conditions, and the applicant the opportunity to comment on the proposal. Such coordination will allow the CAAC to benefit from the technical expertise of the FATA and allow the FATA to better understand how to make a finding of compliance, if so requested by the CAAC.

(d) Changes to type certificates. The CAAC certification basis for a change to a product is established in accordance with CCAR 21.101.

the CAAC to better understand how to make a finding of compliance, if so requested by the FATA.

(e) Changes to type certificates. The FATA certification basis for a change to a product is established in accordance with AP 21.

3.0.1.4 Data Submittal & Design Review. In order to find compliance with additional technical conditions, special conditions, or equivalent levels of safety, the Importing Authority may make written requests for data to the Exporting Authority. The Exporting Authority, in responding to such requests, should verify that the data provided has been reviewed and, if required, approved by the Exporting Authority. Compliance documentation (e.g., certification test plans and reports, flight test plans and reports, system safety assessments, and other substantiation reports) should be complete and detailed enough for the respective authorities to determine whether compliance has been made to the regulations.

3.0.1.5 Technical Meetings.

(a) In addition to the initial familiarization meeting, other technical meetings may be necessary to assure that any additional technical conditions that have been communicated to the Exporting Authority are well understood, and that any outstanding technical issues are resolved. These meetings should be held as early as possible in the certification process. All technical meetings will normally be arranged through the Exporting Authority and will normally have both authorities' representatives in attendance.

(b) Early in the program, based on the known design and information presented in the familiarization and technical meetings, the Importing Authority will identify the areas in which further activity will be required (e.g. review of required data, reports, tests and test witnessing, areas of concern or special emphasis). The Importing Authority's anticipated level of activity will be documented in writing. This agreement may be revised if the initial design definition is incomplete or subsequent design changes are made.

3.0.1.6 Issue Papers, Certification Review Items (CRI) and Certification Action Items (CAI)

3.0.1.6.1 Issue Papers

The CAAC, as the Importing Authority, will prepare issue papers that identify the certification basis and other items such as unique import requirements, acceptable means of compliance, equivalent levels of safety findings, and special conditions.

3.0.1.6.2 CRI and CAI

(a) The FATA, as the Importing Authority, will raise Certification Review Items (CRIs) for major certification subjects:

- (1) To record the process followed to define and record the content of the certification basis identifying the nature of each requirement;
- (2) To develop and administer special technical conditions;
- (3) To administer new policies, e.g. means of compliance, interpretations;
- (4) To administer equivalent safety findings;
- (5) To deal with novel and unusual design features;
- (6) To record the application of new standards, if different from CAAC standards;
- (7) To record controversial subjects;
- (8) To list specific design changes required for compliance with certification basis.

(b) The FATA, as the Importing Authority, will issue Certification Action Items (CAIs) for the purpose of administering the findings of compliance with airworthiness standard or environmental requirements:

- (1) To review the suitability of a proposed demonstration of compliance;
- (2) To identify areas and justify extent of direct involvement of FATA in the compliance finding process;
- (3) To provide CAAC with adequate material (e.g. the interpretations to be applied, the means of compliance) to verify compliance demonstrations.

3.0.1.6.3 The Importing Authority will coordinate all issue papers, Certification Review Items (CRIs), Certification Action Items (CAIs), and changes to them with the Exporting Authority. Such coordination will expedite the timely and mutually acceptable resolution of certification issues.

3.0.1.7 Compliance Finding.

The Importing Authority may request the Exporting Authority to make compliance finding for some additional technical conditions. The exporting authority should agree to the request if it has enough resources. In this case, the exporting authority will make the findings in accordance with the interpretative material and the data provided by the Importing Authority, if such material and data are provided by the Importing authority. When such interpretative material and data are not provided, the Exporting Authority will make the compliance finding in accordance to its interpretation of the requirements.

The Exporting Authority, by using the established certification system involving technical evaluations, tests, determinations and inspections, and after receiving the compliance finding from the Importing Authority for the requirements that the importing authority performs its own compliance findings, will provide the Importing Authority with a formal Statement attesting that it has determined that compliance has been demonstrated with the Importing Authority certification basis.

3.0.1.8 Issuance of Type Certificate/Validation of Type Certificate.

The Importing Authority, upon completion of the certification program, receipt and review of the documents submitted by the applicant via the Exporting Authority, as well as upon receipt of the statement of compliance from the Exporting Authority, will issue the Type Certificate/Validation of Type Certificate and datasheet and send them to the applicant and notify the Exporting Authority of the issuance.

3.0.2 Design Approval Procedures for Supplemental Type Certificates/Validation of Supplemental Type Certificate.

The design approval procedures for Supplemental Type Certificate/Validation of Supplemental Type Certificate used by CAAC and FATA are similar to those for Type Certificates/Validation of Type Certificate described in Section 3.0.1.

3.0.3 Design Approval Procedures for China Technical Standard Order (CTSO) Design Approval.

3.0.3.0 Application. The CAAC only issues a Validation Design Approval for appliances of a kind of which a minimum performance standard has been published in a CAAC TSO. All Russian applicants for a CAAC Validation Design Approval of TSO shall make application through the FATA with a request that the application and required information be forwarded to the CAAC Aircraft Airworthiness Certification Department (AAD). The FATA should ensure the application has the following information:

- (a) A FATA statement that the applicant is a holder of a FATA Appliance Design Approval.
- (b) An application form as defined in Aviation Procedure AP-21-01 and the following documents:
 - (1) a copy of the Appliance Design Approval;
 - (2) a copy of the approval of deviation, if any;
 - (3) a description of the certification requirements the approval is based;
 - (4) data used to demonstrate that appliance complies with the FATA certification requirements (including design drawing, technical specification, analysis and calculation reports, software verification data, test plan and reports of all the required tests, and the installation, operation and maintenance data;
 - (5) any other data deemed necessary by CAAC.

3.0.3.1 The CAAC will acknowledge the acceptance of the application. The CAAC will inform the FATA about their intention to visit the applicant's facility, if needed, to witness additional testing, and to review technical documentation. CAAC will coordinate with applicant the program of the audit to review the Appliance technical documentation, participate, if necessary, in additional tests, and evaluate the Appliance production. Additional tests will be carried out under the program, approved by the CAAC. The test will be witnessed either by CAAC or FATA upon mutual arrangement. The FATA will arrange all familiarization/design review meetings between the FATA, CAAC and the applicant for the CAAC's approval of the appliances.

3.0.3.2 Issuance of CAAC Validation Design Approval.

The CAAC may issue the Validation Design Approval, with the scope of these Implementation Procedures, to the applicant after:

- (a) Receipt of all the required data/documentation pertaining to the proper installation, performance, operation, and maintenance of the TSO appliance;
- (b) Receipt of other specific technical data, as jointly agreed between the FATA and the CAAC, needed to demonstrate compliance with the TSO standard;
- (c) Receipt an approval of all proposed deviations; and
- (d) Receipt of a certifying statement from the FATA that the FATA certifies that the appliance has been examined, tested, and found to meet the applicable CAAC TSO and any other performance standards the CAAC may prescribed to provide a level of safety equivalent to that provided by the TSO.

3.0.3.3 Installation Approval. A CAAC Validation Design Approval does not constitute an installation approval for the TSO appliance on a product. The installer must obtain installation approval from their civil airworthiness authority for use on a product that is under the authority's regulatory control.

3.0.3.4

3.0.4 Design Approval Procedures for FATA Appliance Design Approval.

3.0.4.0 Application

(a) An Application for FATA Appliance Design Approval from an applicant in China should be sent to CAAC, which will forward the application with a CAAC cover letter to the FATA. The application can be made in an arbitrary form.

The application should have the following information:

- (1) a copy of the CAAC CTSO design approval;
- (2) Declaration of Design and Performance;
- (3) information (description, drawings etc.) sufficient for the FATA to make the decision on formation of Qualification basis for the appliance approval and additional requirements;
- (4) installation manuals, operation and maintenance manuals;

(b) The FATA will acknowledge receipt of the application and request, if necessary, additional materials, develop and send to the applicant Qualification basis, as well information on necessary additional works and on conditions of decision about issue of Appliance Design Approval. FATA will coordinate with applicant the program of the audit to review the Appliance technical documentation, participate, if necessary, in additional tests, and evaluate the Appliance production. Additional tests will be carried out under the program, approved by the FATA. The test will be witnessed either by FATA or CAAC upon mutual arrangement.

3.0.4.1 Issuance of an Appliance Design Approval

(a) Based on consideration of the documentation enclosed to the Application, the additional documentation provided by the applicant on demand of the FATA, results of additional tests and audit the FATA makes a decision on Issuance of an Appliance Design Approval.

(b) An integral part of the Appliance Design Approval is the Declaration of Design and Performance. The declaration is prepared and signed by Applicant and should contain the following sections:

- The name and the address of the Appliance Developer/Manufacturer;
- Type, identification code, product designation and hardware units and components, the information on FATA Qualification Basis;
- Drawing number (part number), number of software version; External influencing factors and their parameters;
- Execution (performance) of a product (regarding requirements to explosion safety, electromagnetic compatibility, power supplies),

- Basic performance; Limitations;
- The list of substantiating documents;
- The list of operation documentation;
- The statement (declaration) of Manufacturer.

3.0.4.2 Installation Approval. A FATA Appliance Design Approval does not constitute an installation approval for the CTSO appliance on a product. The installer must obtain installation approval from their civil airworthiness authority for use of a product that is under the authority's regulatory control.

3.1 PRODUCTION AND SURVEILLANCE ACTIVITIES

3.1.0. Production Quality System. All products, appliances, and parts exported under the provisions of these Implementation Procedures shall be produced in accordance with a production quality system approved and acceptable to the exporting authority, which assures conformity to the type design approved by the importing authority and ensures that completed products and appliances are in a condition for safe operation. This production quality system approval covers the fabrication of products and appliances within and outside of the state of export. A separate approval of the manufacturer's production system by the importing authority is not required, although it is consistent with the intent of implementation procedures that the importing authority may, on an initial and recurrent basis, become familiar with the manufacture's production quality system.

3.1.1 Surveillance of Production Activities

3.1.1.0 The CAAC and FATA, as exporting authorities, shall conduct regulatory surveillance of manufacturers and their suppliers in accordance with the exporting authority's specific policies, practices, and/or procedures. Both ongoing and scheduled evaluations should be conducted to verify that the manufacturer is in continual compliance with its approved production quality assurance/inspection system, manufacturing products, parts and appliances which fully conform to the approved design, and are in a condition for safe operation.

CHINA	RUSSIA
3.1.1.1 CAAC production approval and supplier surveillance programs are described in: (a) Production Certification and Surveillance Procedures (AP-21-04). (b) Civil Aviation Materials, Parts and Appliances Certification Procedures (AP-21-06). (c) Certification and Surveillance Procedures for TC Only (AP-21-08). (d) Utilizing Procedures of Authorized Release Certificate/Airworthiness Approval Tag (AP-21-10). (e) Working Procedures for Production Principal Inspector (AP-21-12). (f) Production Surveillance Procedure On Behalf of the Foreign Airworthiness Authorities (AP-21-13).	3.1.1.2 FATA production approval and supplier surveillance programs are described in: (a) Methodological guidelines for Federal Air Transport Agency procedures of demonstration compliance of legal entities manufacturing aircraft and other aeronautical products with the requirements of federal aviation regulations. (FATA Order dated 25.04.2017 No 333-II). (b) Checklist of verification of compliance of the organization – manufacturer of aeronautical products with the requirements of aviation regulations. (c) Statute on FATA representatives.

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| (g) Designation and Management Procedures for DMIR (AP-183-02).
(h) The Supplier Management Guide for Production Approval Holders (AC-21-04).
(i) Working Procedures for Joint Inspection of Production Approval Holders (AP-21-22). | |
|--|--|

3.1.2 Extensions of Production Approvals.

3.1.2.0 When a production approval has been granted or extended by the CAAC or the FATA to include manufacturing sites and facilities in the other State or in a third state, the CAAC or the FATA, as the civil aviation authority of the State of Manufacture, remains fully responsible for the surveillance and oversight of these manufacturing sites and facilities.

3.1.2.1 The CAAC or FATA may seek assistance from the civil airworthiness authority of a third state, where a production approval has been granted or extended, when an agreement has been formalized with that authority in the undertaking of its regulatory surveillance and oversight functions.

3.1.3 Production Approval Based on a Licensing Agreement. Either the CAAC or FATA can grant a production approval in their respective state based on design data obtained through a licensing agreement with a type design holder in the other state (i.e., licensing the rights to use the design data). In this case, the authority granting that production approval shall ensure the establishment of adequate manufacturing processes and quality control procedures to assure that each product conforms to the approved licensed design data. There must also be procedures to ensure that all changes to be introduced into the design by the licensee are approved. These design changes shall be submitted to the TC holders who shall obtain approval from its authority using normal procedures. These production approvals based on a licensing agreement will be addressed on a case-by-case basis under the Special Arrangements provision of Section V.

3.1.4 Supplier Surveillance Outside the Exporting -State.

3.1.4.0 The CAAC and FATA, as exporting authorities, shall include, in their regulatory surveillance programs, a means of performing surveillance of their production approval holder's suppliers who are located outside the exporting state. This surveillance shall be equivalent to that program for domestic suppliers. This surveillance activity will assist the CAAC and the FATA in determining conformity to approved design and whether the parts are safe for operation on type certificated products.

3.1.4.1 The CAAC and FATA are responsible for surveillance of their production approval holders' suppliers located in each other state. Routine surveillance may be delegated by the CAAC or the FATA through the provisions of Section IV.

3.1.4.2 The CAAC and FATA may seek assistance from a third state civil airworthiness authority at the supplier's location when an agreement has been formalized with that authority in the undertaking of CAAC or FATA regulatory surveillance functions at suppliers to manufacturers of the exporting state.

3.1.4.3 The manufacturer may not use a supplier in a state where the authority of the production approval holder is denied unimpeded access, by either the supplier or the supplier's civil aviation authority, to the supplier's facility to perform surveillance activities.

The manufacturer also may not use a supplier located in a state if that state denies entry to the authority of the production approval holder.

3.2 EXPORT AIRWORTHINESS APPROVAL PROCEDURES

3.2.0 General. Export Certificates of Airworthiness are issued by the CAAC, as exporting authority, for completed aircraft, and by the FATA, as exporting authority, for complete aircraft, aircraft engines, and propellers. Airworthiness approval tags are issued by the CAAC for aircraft engines, propellers, appliances and parts, and by the FATA for appliances and parts.

3.2.1 Acceptance of Export Certificates of Airworthiness and Airworthiness Approval Tags.

CHINA	RUSSIA
3.2.1.0 <u>Acceptance of FATA Export Certificates of Airworthiness and FATA Airworthiness Approval Tags</u> (a) The CAAC's requirements for import are described in: (1) Certification Procedures for Civil Aviation Products and Parts (CCAR-21). (2) Airworthiness Certification Procedures for Civil Aviation Aircraft and Its Related Products (AP-21-05). (b) The FATA process for issuing export certificates is described in - AP 21, Section L; - Instruction of issuing export certificates of airworthiness; - Checklist for verification of documents submitted for issuing export certificates of airworthiness 3.2.1.1 <u>New Aircraft, Aircraft Engines, and Propellers.</u> (a) Except as provided in paragraph 3.2.1.4 the CAAC shall accept Export Certificates of Airworthiness (FATA Form E-01) of the FATA, when the FATA certifies that each new aircraft, aircraft engine, or propeller: (1) Conforms to a type design approved by the CAAC, as specified in the CAAC's validation of type certificate data sheet; (2) Is in a condition for safe operation, including compliance with applicable CAAC mandatory airworthiness modifications and special inspections; and (3) Meets all additional requirements of the CAAC, as notified.	3.2.2.0 <u>Acceptance of CAAC Export Certificates of Airworthiness and Airworthiness Approval Tags.</u> (a) The Russian Federation's requirements for import are described in: (1) AP 21, Section N, (b) The CAAC's process for issuing export certificates is described in: (1). Certification Procedures for Civil Aviation Products and Parts (CCAR-21). (2) Airworthiness Certification Procedures for Civil Aviation Aircraft and Its Related Products (AP-21-05). 3.2.2.1 <u>New Aircraft, Aircraft Engines, and Propellers.</u> (a) Except as provided in paragraph 3.2.2.4 the FATA shall accept CAAC Export Certificates of Airworthiness (CAAC Form AAC-157) for new aircraft and Airworthiness Approval Tags (CAAC Form AAC-038) for new aircraft engines and propellers when the CAAC certifies that each new aircraft, aircraft engine, or propeller: (1) Conforms to a type design approved by the FATA as specified in the FATA's type certificate data sheet; (2) Is in a condition for safe operation, including compliance with applicable FATA airworthiness directives, and (3) Meets all additional requirements of

(b) All aircraft, aircraft engines, and propellers exported to China with FATA airworthiness approval will have an FATA Export Certificate of Airworthiness (FATA Form E-01).

(c) The FATA Export Certificate of Airworthiness should contain the following additional note "The [insert aircraft, aircraft, engine or propeller MODEL & SERIES] covered by this certificate conforms to the type design approved under Chinese Type Certificate Number [INSERT TYPE CERTIFICATE NUMBER, REVISION LEVEL, AND DATE], and is found to be in a condition for safe operation", or further clarifying language as specified in the Chinese Type Certificate Data Sheet or by the CAAC.

3.2.1.2 New Appliances.

(a) The CAAC shall accept a FATA airworthiness approval tag (FATA Form E-02) on a new appliance only when the FATA certifies that the appliance:

- (1) Conforms to the design data approved by the CAAC as specified in the CAAC's Validation Design Approval.
- (2) Is marked in accordance with paragraph 3.2.2.0 of the Procedures;
- (3) Meets all additional requirements of the CAAC, as notified.

(b) All appliances exported to China with FATA airworthiness approval will have an FATA Airworthiness Approval Tag (FATA Form E-02).

3.2.1.3 New Parts.

(a) The CAAC shall accept the airworthiness approval tags (FATA Form E-02) of the FATA on new parts, only when the FATA certifies that each part:

- (1) Conforms to CAAC-approved design data;
- (2) Is marked in accordance with paragraph 3.2.2.0(a) of these Implementation Procedures; and
- (3) Meets all additional requirements of the CAAC, as notified.

(b) All parts exported to China with an FATA airworthiness approval will have an FATA Airworthiness Approval Tag (FATA Form E-

the FATA, as notified.

(b) All aircraft exported to the Russian Federation with CAAC airworthiness approval will have a CAAC Export Certificate of Airworthiness (CAAC Form AAC-157), and all aircraft engines and propellers exported to the Russian Federation with CAAC airworthiness approval will have a CAAC airworthiness approval tag (CAAC Form AAC-038).

(c) The CAAC Export Certificate of Airworthiness should contain an additional note such as: "The [aircraft, engine or propeller] covered by this certificate conforms to the FATA approved Type Certificate Number [INSERT TYPE CERTIFICATE NUMBER, REVISION LEVEL, AND DATE], and is found to be in a condition for safe operation." The note should also include a statement about conformity to all additional requirements of the FATA, if any.

3.2.2.2 New TSO Appliances.

(a) The FATA shall accept a CAAC airworthiness approval tag (CAAC Form AAC-038) on a new appliance only when the CAAC certifies that the appliance:

- (1) Conforms to the design data approved by the FATA as specified in the FATA's Appliance Design Approval;
- (2) Is marked in accordance with paragraph 3.2.3.1(a) of the Procedures;
- (3) Meets all additional requirements of the FATA, as notified.

(b) All appliances exported to the Russian Federation with CAAC airworthiness approval will have a CAAC Airworthiness Approval Tag (CAAC Form AAC-038).

3.2.2.3 New Parts.

(a) The FATA shall accept CAAC airworthiness approval tags (CAAC Form AAC-038) on new parts only when the CAAC certifies that each part:

- (1) Conforms to FATA-approved design data;
- (2) Is marked in accordance with paragraph 3.2.2.1(a) of these

02).

3.2.1.4 Export Certificate of Airworthiness Exceptions. The FATA shall notify the CAAC prior to issuing an Export Airworthiness Certificate in which a non-compliance to the CAAC-approved type design is to be noted under the "Exceptions" section of the Export Certificate of Airworthiness. This notification should help to resolve all issues concerning the aircraft's eligibility for a Chinese airworthiness certificate.

3.2.1.5 Used Aircraft for Which There Has Been a Design Approval Granted by the CAAC.

(a) The CAAC shall accept used aircraft for import into China for airworthiness certification when the FATA certifies, by the issuance of an Export Certificate of Airworthiness (FATA Form E-01), that:

- (1) The used aircraft has been found to conform to the CAAC-approved type design as specified in the CAAC's validation of type certificate data sheet;
- (2) The used aircraft has complied with all applicable Airworthiness Directives issued by the CAAC;
- (3) The used aircraft has been properly maintained, altered and operated using approved procedures and methods acceptable to the CAAC during its service life (evidenced by logbooks and maintenance records);
- (4) The used aircraft meets all additional requirements of the CAAC, as notified; and,
- (5) The modification (STC) on the used aircraft has been validated or approved by CAAC
- (6) The used aircraft is in a condition for safe operation.

(b) The CAAC may also request inspection and maintenance records which include, but are not limited to: the original or certified true copy of the Export Certificate of Airworthiness (FATA Form E-01) issued by the FATA; records which verify that all overhauls, major changes, and repairs were accomplished in accordance with approved data; and maintenance records and log book which substantiate that the used aircraft has been properly maintained throughout its service life to the requirements of an approved maintenance program.

Implementation Procedures, and

(3) Meets all additional requirements of the FATA, as notified.

(b) All parts exported to the Russian Federation with CAAC airworthiness approval will have a CAAC Airworthiness Approval Tag (CAAC Form AAC-038).

3.2.2.4 Export Certificate of Airworthiness Exceptions. The CAAC shall notify the FATA prior to issuing an Export Certificate of Airworthiness in which a non-compliance to the FATA-approved type design is to be noted under the "Exceptions" section of the Export Certificate of Airworthiness. This notification should help to resolve all issues concerning the aircrafts eligibility for a Russian airworthiness certificate.

3.2.2.5 Used Aircraft for Which There Has Been a Design Approval Granted by the FATA.

(a) The FATA shall accept used aircraft for import into the Russian Federation for airworthiness certification when the CAAC certifies, by the issuance of an Export Certificate of Airworthiness (CAAC Form AAC-157), that:

- (1) The used aircraft has been found to conform to the FATA-approved type design as specified in the FATA's type certificate data sheet;
- (2) The used aircraft has complied with all applicable Airworthiness Directives issued by the FATA;
- (3) The used aircraft has been properly maintained, altered and operated using approved procedures and methods acceptable to the FATA during its service life (evidenced by logbooks and maintenance records);
- (4) The used aircraft meets all additional requirements of the FATA, as notified; and,
- (5) The used aircraft is in a condition for safe operation.

(b) The FATA may also request inspection and maintenance records which include, but are not limited to: the

	original or certified true copy of the Export Certificate of Airworthiness (CAAC Form AAC-157) issued by the CAAC; records which verify that all overhauls, major changes, and repairs were accomplished in accordance with approved data; and maintenance records and log entries which substantiate that the used aircraft has been properly maintained throughout its service life to the requirements of an approved maintenance program.
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3.2.2 Additional Requirements for Imported Products. The following identifies those additional requirements which must be complied with as a condition of acceptance for products imported into China or the Russian Federation, or for use on either a Chinese or Russian-registered aircraft.

3.2.2.0 CHINA	3.2.2.1 RUSSIA
(a) <u>Identification and Marking.</u> (1) Aircraft, aircraft engines, and propellers must be identified in a manner outlined in CCAR-21. (2) Critical components with a replacement time, inspection interval, or related procedure as specified in the Airworthiness Limitations section of a manufacturer's maintenance manual or Instructions for Continued Airworthiness, to be used as spare or replacement/modification parts must be identified with a part number and serial number. (3) Each part to be used as a replacement or modification part must be marked in English with a part number, serial number if applicable, and the manufacturer's name or trademark. In addition, information concerning the model designation of the type certificated product for which the part is eligible for installation must be furnished. (b) <u>Instructions for Continued Airworthiness.</u> Each aircraft, aircraft engine, and propeller must be accompanied by instructions for continued airworthiness and maintenance manuals having airworthiness limitation sections. (c) <u>Maintenance Records.</u> Each aircraft, including the aircraft engine, propeller, rotor, or appliance, must be accompanied by maintenance record equivalent to those specified in CCAR-145 that reflect the status of required inspections, life limits, etc.	(a) <u>Identification and Marking.</u> (1) Aircraft, aircraft engines, and propellers must be identified with a fireproof data plate in a manner similar to AP-21, , Section Q. (2) Essential components of a product must be identified with a part number (or equivalent) and serial number (or equivalent). (3) Parts to be used as replacement or modification parts must be marked in English with a part number, serial number if applicable, and the manufacturer's name or trade mark. In addition, information concerning the model designation of the type certificated product for which the parts are eligible for installation must be furnished. (b) <u>Instructions for Continued Airworthiness.</u> Each aircraft, aircraft engine and propeller must be accompanied by instructions for continued airworthiness and maintenance manuals having airworthiness limitation sections. (c) <u>Maintenance Records.</u> Each aircraft,

(d) <u>Metric instrumentation.</u> Instruments using feet barometric altitude measurement system may be installed, provided that a metric altimeter is used.	including the aircraft engine, propeller, rotor or appliance, must be accompanied by maintenance and alteration records that reflect the status of required inspections, life limits, alterations, major repairs, and so forth. (d) Appliances of a design approved by a CAAC CTSO authorization must be marked in English in accordance with the requirements outlined in CCAR Part 21, Subpart 10 and all additional marking requirements specified in the particular CTSO. (e) <u>Metric instrumentation.</u> Instruments using feet barometric altitude measurement system may be installed, provided that a metric altimeter or conversion table is used.
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3.3 DESIGNEE AND DELEGATION ACTIVITIES

3.3.0 General. The FATA recognize the CAAC's delegation and designee system as part of its overall aircraft certification system. The CAAC also recognizes the FATA delegation to organizations such as Aviation Register of the Russian Federation, Certification Centers and Independent Inspection. Findings made pursuant to these Implementation Procedures through these systems are given the same validity as those made directly by the CAAC or the FATA.

The CAAC and FATA understand that there may be situations where, upon mutual consent by both authorities, either authority may communicate directly with an individual designee or delegated organization of the other authority.

3.3.1 Notification of CAAC Designee Work in the Russian Federation. In advance of CAAC designees or representatives of delegated organizations traveling to the Russian Federation to make findings of compliance, witness tests, and/or perform conformity inspections, the CAAC Aircraft Certification office responsible for those designees will coordinate these actions with the FATA.

3.3.2 Notification of FATA Designee Work in China. In advance of FATA designees or representatives of delegated organizations traveling to China to make findings of compliance, witness tests, and/or perform conformity inspections, the FATA office responsible for those designees will coordinate these actions with the CAAC.

3.4 POST DESIGN APPROVAL PROCEDURES

3.4.0 CONTINUED AIRWORTHINESS

3.4.0.0 General.

(a) The exporting authority is responsible as the State of Design (under International Civil Aviation Organization (ICAO) Annex 8) for resolving in-service safety issues related to design or production. The exporting authority shall provide applicable information which it has found to be necessary for mandatory modifications, required limitations and/or inspections to the importing authority to ensure continued operational safety of the product

or appliance. The importing authority will review and normally accept the corrective actions taken by the exporting authority in the issuance of its own mandatory corrective actions.

(b) At the request of the importing authority, the exporting authority shall assist the importing authority in determining action considered necessary by the importing authority for the continued operational safety of the product or appliance. The decision as to the final action to be taken with respect to the products or appliances under jurisdiction of the importing state lies solely with the importing authority.

3.4.0.1 Malfunctions, Failures, and Defects (MF&D) Reports.

(a) The CAAC and the FATA agree to perform the following functions for the products, appliances, and parts exported to the other State:

- (1) Tracking of MF&D reports and accidents/incidents.
- (2) Evaluating MF&D and accidents/incidents.
- (3) Investigating and resolving all suspected unsafe conditions.
- (4) Advising the importing authority of all unsafe conditions and the necessary corrective actions (see paragraph 3.4.0.2 below).
- (5) Upon request, providing the importing authority with the following:
 - (i) Reports of MF&D and accidents/incidents;
 - (ii) Status of investigations into MF&D and accidents/incidents;
 - (iii) Copies of conclusions reached in its investigation into MF&D; and
 - (iv) Copies of conclusions reached in its investigation into accidents/incidents in accordance with ICAO Annex 13.

(6) Making a reasonable effort to resolve issues raised by the importing authority concerning matters of safety for products registered in the importing State.

(b) The CAAC and the FATA, as importing authorities, agree to perform the following functions:

(1) Advising the exporting authority of MF&D and accidents/incidents which are believed to be potentially unsafe conditions occurring on the product and appliance which are imported from the State of the exporting authority.

(2) Supporting the exporting authority in investigations of unsafe conditions and their occurrences on the imported aircraft.

(3) Advising the exporting authority, if as a result of investigations made by the importing authority into MF&D and accidents/incidents, it has determined that it will make corrective actions mandatory.

(c) Copies of Chinese MF&D reports are available from the CAAC. Copies of Russian MF&D reports are available from the FATA. The designated offices for the exchange of MF&D between the CAAC and FATA are:

For the CAAC	For the FATA
Aircraft Airworthiness Certification Department 155 Dongsu St. West Beijing 100710 People's Republic of China Tel.: (010) 64091304 Fax: (010) 64033087 E-mail: hr_hu@caac.gov.cn	Certification and Continued Airworthiness Department 37 Leningradsky Prospect Moscow 125836 Russia Tel.: (7499) 231-52-04 Fax: (7499) 231-55-35 E-mail: rusavia@scaa.ru

3.4.0.2 Unsafe Condition and Mandatory Continuing Airworthiness Actions.

(a) The CAAC (subject to CCAR 39) and FATA (subject to AP-39) agree to perform the following functions for the products and appliances for which it is the exporting authority:

(1) Issuing a mandatory continuing airworthiness action (Airworthiness Directive) whenever the authority determines that an unsafe condition exists in a product, or is likely to exist or develop on a product of the same type design. This may include a product or appliance that has another product or appliance installed on it and the installation causes the unsafe condition. The contents of such a mandatory continuing airworthiness action should include, but are not limited to, the following:

- (i) Make, model, and serial numbers of affected product and appliance;
- (ii) Description of the unsafe condition, reasons for the mandatory action, and its impact on the overall aircraft and continued operation;
- (iii) Description of the cause of the unsafe condition (e.g., stress corrosion, fatigue, design problem, quality control, suspected unapproved part);
- (iv) The means by which the unsafe condition was detected and, if resulting from in service experience, the number of occurrences;
- (v) Corrective actions and corresponding compliance times, with a list of the relevant manufacturer's service information including reference number, revision number and date;

(2) Ensuring the following information is provided to the other authority as part of the mandatory continuing airworthiness action or directly from the approval holder:

- (i) The number of aircraft world-wide needing the corrective action;
- (ii) A statement on the availability of parts; and
- (iii) An estimate of the number of labor hours and the cost of parts required for the corrective actions.

(3) Issuing a revised or superseding mandatory continuing airworthiness action whenever the exporting authority finds any previously issued mandatory continuing airworthiness action was incomplete or inadequate to fully correct the unsafe condition.

(4) Notifying the importing authority of the unsafe condition and the necessary corrective actions by submitting a copy of the mandatory continuing airworthiness action at the time of publication to the address referenced in 3.4.0.1(c) above.

(5) In the case of emergency airworthiness information, the exporting authority should ensure special handling so that the importing authority is notified immediately.

(6) Advising and assisting the importing authority in defining the appropriate actions for the importing authority to take in the issuance of its own mandatory continuing airworthiness action.

(7) Providing sufficient information to the importing authority for its use in making determinations as to the acceptability of alternative means of compliance to mandatory continuing airworthiness actions.

(8) On a quarterly basis, providing the importing authority a summary index list of mandatory continuing airworthiness actions issued by the exporting authority for products exported to the state of import.

(b) The CAAC and FATA recognize that they may disagree as to the finding of an unsafe condition. In that case, it is expected that the importing authority will normally consult with the authority of the State of Design (exporting authority) prior to issuing its own airworthiness directive.

(c) The CAAC and the FATA, as importing authorities, agree to respond quickly to the issuance of a mandatory continuing airworthiness action by the exporting authority in making its own determination of the need for issuing its own similar mandatory continuing airworthiness action that addresses all unsafe conditions on affected products certified, approved or otherwise accepted by the importing authority.

(d) The designated offices for the exchange of the unsafe condition and the necessary corrective actions between the CAAC and FATA are:

For the CAAC	For the FATA
Aircraft Airworthiness Certification Department 155 Dongsu St. West Beijing 100710 People's Republic of China Tel.: (010) 64091304 Fax: (010) 64033087 E-mail: hr_hu@caac.gov.cn	Certification and Continued Airworthiness Department 37 Leningradsky Prospect Moscow 125836 Russia Tel.: (7499) 231-52-04 Fax: (7499) 231-55-35 E-mail: rusavia@scaa.ru

3.4.1 DESIGN CHANGES

CHINA	RUSSIA
3.4.1.0 Procedures for Changes to a Type Certificate (a) Major changes (e.g., model changes, product improvements, etc.) to a type design, sought by the Russian holder of a Chinese validation of type certificate may be issued as amendments to the validation of type certificate issued under the provisions CCAR 21.29. A certification procedure similar to that described in paragraph 3.0.1 shall be applied, but adjusted as appropriate for the magnitude and complexity of the design change. The CAAC retains the right to determine if the proposed change is so substantial so as to require a new validation of type certificate for the changed type design. (b) For design changes that a holder of CAAC validation of type certificate seeks for CAAC approval, FATA will verify those changes comply with the CAAC certification basis: (1) For design changes affecting the CAAC validation of type certificate datasheet: A formal application from the applicant is required by CAAC for validation. CAAC will make an evaluation and will inform the applicant and FATA of the approval. (2) For major design changes not affecting the CAAC validation of type certificate data sheet: A notification from the applicant and a statement of compliance to CAAC certification basis for validation from FATA are required by CAAC. CAAC will evaluate the design change and determine whether it can be directly accepted based on FATA statement of compliance to CAAC certification basis for validation without further compliance review or further review is needed. Where CAAC consider further review	3.4.1.1 Procedures for Changes to a Type Certificate. (a) Major changes to a type design, as defined in FAP 21 Subparts D and E, sought by the Chinese holder of a Russian Type Certificate may be issued as a major change approval. A certification procedure similar to that described in paragraph 3.0.1 shall be applied, but adjusted as appropriate for the magnitude and complexity of the design change. The FATA retains the right to determine if the proposed change is so substantial as to require a new type certificate for the changed type design. (b) To assist the FATA to determine its level of activity in a specific design change, the CAAC should ensure that the FATA is notified of each major type design change proposed by the type certificate holder that would affect: (i) the Aircraft Flight Manual, (ii) the Approved Airworthiness Limitations, (iii) the Type Certificate Data Sheet, (iv) the Master Minimum Equipment List, (v) a Certification Maintenance Requirement, or (vi) all other specific changes identified by the FATA. Based on this information, the FATA will determine whether the changes can be considered approved by the FATA upon CAAC's approval under its normal procedures. (c) The CAAC must notify the FATA whenever the certification basis of a proposed change includes a requirement

is necessary and decides to perform such a review, it will notify FATA and the applicant of its decision accordingly.

(3) **For all other design changes:** this category of design changes is automatically accepted by CAAC if it has already been approved by FATA or its appropriately authorized delegate. There is no need to notify CAAC.

(4) For design changes that may increase fuel venting or exhaust emissions, further demonstration of compliance is required. Likewise, for design changes that may increase the noise levels of that aircraft, further demonstration of compliance is required.

where the FATA may exercise discretion in making the finding. This includes findings of equivalent level of safety, additional technical conditions, and other requirements where the FATA exercises its judgment in making the finding.

(d) Minor design changes made by the type certificate holder shall be considered approved by the FATA upon approval by the CAAC under its normal procedures.

(e) As specified in AP 21 Subparts D and E, for the purpose of complying with AP 34, each voluntary changes in the type design of an airplane or engine that may increase fuel venting or exhaust emissions is an "emissions change", requiring further demonstration of compliance. Likewise, for the purpose of complying with AP 36, each voluntary change in the type design of an aircraft that may increase the noise levels of that aircraft is an "acoustical change", requiring further demonstration of compliance.

3.4.1.2 Procedures for Changes to a CAAC Validation Design Approval.

For the CAAC, major changes to a TSO design require re-substantiation of the new design and reissuance of the Validation Design Approval, and shall be done in accordance with 3.0.2. For minor changes, the CAAC will not require prior notification and will rely upon the FATA's determination of compliance.

3.4.1.3 Procedures for Changes to a FATA Appliance Design Approval.

(a) A Chinese holder of a FATA Appliance Design Approval will follow normal CAAC procedures if it makes a change to the design that does not require a change of the Declaration of Design and Performance (DDP).

(b) When a change to the appliance design requires a change to the DDP, then:

(1) if the change is classified by the Chinese holder of a FATA Appliance Design Approval as a minor change, the Chinese holder of the Approval will submit to the FATA an essence of change and the appropriate additional or modified pages of the DDP. The FATA, through its letter, will expand the applicability of the Appliance Design Approval to cover the changed design;

(2) if the change is classified by the Chinese holder of a FATA Appliance Design Approval as a major change, the procedure described in 3.0.3 above should be followed to obtain a new Appliance Design Approval or a Supplement to the existing one.

3.4.2 APPROVAL OF REPAIR DATA

Repair data for the products identified in Section II must be approved or accepted by the exporting authority in the manner which is acceptable to the importing authority.

3.4.3 ADMINISTRATION OF DESIGN APPROVALS

CHINA	RUSSIA
3.4.3.0 <u>Transfer of Chinese Type Certificate to a Person in the Russian Federation.</u> [RESERVED]	3.4.3.1 <u>Transfer of a Russian Type Certificate to a Person in China</u> [RESERVED]

3.4.3.2 Surrender of Type Certificate or Supplemental Type Certificate. If a type certificate issued by either the CAAC or FATA or a supplemental type certificate issued by the CAAC as the exporting authority is surrendered, the CAAC or FATA shall immediately notify the other in writing of the action. The CAAC and FATA, as exporting authorities, shall accomplish all actions necessary to ensure continued airworthiness of the product that would be done by a type certificate or supplemental type certificate holder until such time as:

(a) The type certificate or supplemental type certificate is reissued to a new holder when that new holder demonstrates competence to fulfill the necessary obligations; or

(b) The CAAC or FATA, as the exporting authority, cancels the type certificate or supplemental type certificate. Prior to cancellation, the exporting authority shall notify the importing authority of the pending cancellation.

3.4.3.3 Revocation or Suspension of Type Certificate.

(a) In the event that the exporting authority revokes or suspends a type certificate or supplemental type certificate of a product manufactured in its state, that authority shall immediately inform the importing authority. The importing authority, upon notification, will conduct an investigation to determine if action is required in the importing state. If the revocation or suspension was "for cause" and the importing authority concurs with the exporting authority's certificate action, the importing authority will initiate revocation or suspension of its type certificate or supplemental type certificate. Otherwise, the importing authority may decide to assume continued airworthiness responsibilities if there is sufficient information for it to support the continued operational safety of the fleet in the importing state. In this case the exporting state should obtain and provide type design data as requested to the importing state. Final certificate action is at the sole discretion of the importing authority.

(b) The importing authority may revoke its type certificate or supplemental type certificate if the continued airworthiness responsibilities would cause an undue burden for that authority.

3.4.3.4 Surrender or Withdrawal of CTSO Authorization/Appliance Design Approval.

(a) Surrenders. If a CTSO Authorization/Appliance Design Approval holder elects to surrender the appliance approval issued by the CAAC/FATA, the CAAC/FATA will immediately notify, in writing, the importing authority of the action. The CAAC/FATA shall accomplish all actions necessary to ensure continued airworthiness of the product that would be done by a CTSO/Appliance Design Approval holder, until such time as the approval is formally withdrawn by the CAAC/FATA.

(b) Withdrawals. If an appliance approval is withdrawn, the CAAC or FATA, as exporting authorities, will immediately notify the other in writing of the action. The exporting authority shall, if possible, accomplish all actions necessary to ensure continued airworthiness of the appliance produced under the approval.

In the event of withdrawal of an appliance approval for noncompliance, the exporting authority will investigate all nonconformities for corrective action and notify the importing authority of the corrective action. The exporting authority will continue to oversee those appliances manufactured under its authority that are in service.

SECTION IV TECHNICAL ASSISTANCE BETWEEN AUTHORITIES

4.0 General. Upon request, and after mutual agreement, and as resources permit, the CAAC and the FATA may provide technical assistance to each other when significant activities are conducted in either China or the Russian Federation. These technical assistance activities will help to lessen the undue burden imposed on the exporting authority in the undertaking of its regulatory surveillance and oversight functions out-of-country. These supporting technical assistance activities shall in no way relieve the exporting authority of the responsibilities for regulatory control and airworthiness certification of products and parts manufactured at facilities located outside the exporting state. Types of assistance may include, but are not limited to, the following:

- (a) Determination of Compliance.
 - (1) Witnessing tests;
 - (2) Performing compliance and conformity inspections;
 - (3) Reviewing reports; and
 - (4) Obtaining data.
- (b) Surveillance and Oversight.
 - (1) Witnessing of first article inspection of parts;
 - (2) Monitoring the controls on special processes;
 - (3) Conducting inspections on production parts;
 - (4) Monitoring the activities and functions of designees;
 - (5) Conducting investigations of service difficulties; and
 - (6) Evaluating quality assurance/control systems.

4.1 Requests for Witnessing of Tests During Design Approval

(a) The airworthiness authority of the state in which a design approval applicant is located may request assistance in the witnessing of tests from the airworthiness authority of the state in which a design approval applicant's supplier is located.

(b) Requests for such witnessing of tests will be considered when agreement has been obtained from the airworthiness authority in the state in which the supplier is located, following consultations between the two airworthiness authorities on the specific work to be performed. The airworthiness authority of the state in which the design approval applicant is located makes the written request for witnessing of tests.

(c) Approval of the design approval applicant's test plans, test procedures, test specimens, and hardware configuration remains the responsibility of the airworthiness authority of the state in which the design approval applicant is located. Establishing the conformity of each test article prior to the conduct of the test is the responsibility of the design approval applicant.

(d) Requests for witnessing of tests must be specific enough to provide for identification of the location, timing, and nature of the test to be witnessed. An approved test plan must be provided by the requesting authority at least two weeks prior to each scheduled test. A report stating that the test was conducted in accordance with approved test plans and confirming the test results will be sent to the requesting authority.

(e) FATA requests for test witnessing, tests associated with a FATA validation program and test associated with a Russian certification program will be sent to the CAAC Headquarters. The request will include information as required by CAAC. CAAC requests for test witnessing, tests associated with a CAAC validation program and test associated with a Chinese certification program will be sent to the FATA. The request will include information as required by FATA.

4.2 Conformity Certifications During Design Approval

(a) The airworthiness authority of the state in which a design approval applicant is located may request conformity certifications from the airworthiness authority in the state in which the design approval applicant's supplier is located for specified prototype parts produced by that supplier.

(b) The applicant's airworthiness authority, not the design approval applicant nor a designee, makes the written request for conformity certifications. Requests for such certifications would be considered, following consultations between the two airworthiness authorities on the specific work to be performed. Conformity certifications may require the development of a working procedure based on the complexity of the requested certifications.

(c) FATA requests for conformity certifications will be sent to the CAAC Headquarters. CAAC requests for conformity certifications will be sent to the FATA.

(d) Requests for conformity certifications should be limited to prototype parts that are of such complexity that they are not inspectable by the product manufacturer or its airworthiness authority prior to installation in the product. The airworthiness authority of the state in which the supplier is located will note all deviations from the requirements notified by the design approval applicants airworthiness authority on the conformity certification for the particular part.

(e) Neither conformity certifications on prototype parts nor inspections on production parts should be construed as being an export airworthiness approval, since a conformity certification does not constitute an airworthiness determination. Airworthiness determinations remain the responsibility of the design/production approval holder and the airworthiness authority of the state in which the holder is located.

4.3 Airworthiness Certificates. There may be certain programs and conditions that warrant technical assistance from each authority for the issuance of standard airworthiness certificates so that aircraft may be placed directly into operation from the site of manufacture. The importing authority may seek assistance from the exporting authority in the final processing, dating and delivery of an airworthiness certificate when the aircraft has completed its manufacturing cycle, and has subsequently been granted an Export Certificate of Airworthiness by the exporting authority. This will require the development of a special procedure between the exporting and importing authorities to mitigate all undue regulatory burdens.

4.4 Protection of Proprietary Data. Both authorities recognize that data submitted by a design approval holder is the property of that holder, and release of that data by the CAAC or the FATA is restricted. The CAAC and the FATA agree that they will not copy, release, or show proprietary data obtained from either authority to anyone other than the CAAC or the FATA employee without written consent of the design approval holder or other data submitter. This written consent should be obtained from the design approval holder through the authority of the state in which the holder is located.

4.5 Accident/Incident and Suspected Unapproved Parts Investigation Information Requests. When either the CAAC or the FATA needs information for the investigation of service incidents, accidents, or suspected unapproved parts involving a product imported under these Implementation Procedures, the request for the information should be directed to the appropriate office of the exporting authority. In turn, upon receipt of the request for information, the exporting authority should immediately do everything necessary to make sure the requested information is provided in a timely manner. If urgency requires that the CAAC or FATA requests the information directly from the manufacturer because immediate contacts cannot be made with the exporting authority, the importing authority shall inform its counterpart authority of this action as soon as possible.

SECTION V SPECIAL ARRANGEMENTS

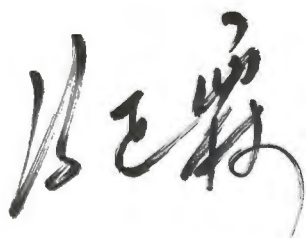
5.0 It is anticipated that urgent or unique situations will develop which have not been specifically addressed in these Implementation Procedures, but which are within the scope of the Agreement for the Promotion of Aviation Safety. When such a situation arises, it shall be reviewed by the CAAC and the FATA and a procedure shall be developed to address the situation. The procedure shall be mutually agreed upon by the CAAC and the responsible Russian counterpart authority in a separate working procedure. If it is apparent that the situation is unique, with little possibility of repetition, then the working procedure shall be of limited duration. However, if the situation involves new technology or management developments which could lead to further repetitions, then these Implementation Procedures shall be revised accordingly by the CAAC and the FATA.

SECTION VI AUTHORITY

6.0 The CAAC and the FATA agree to the provisions of these Implementation Procedures as indicated by the signature of their duly authorized representatives.

CIVIL AVIATION ADMINISTRATION
OF CHINA

FEDERAL AIR TRANSPORT AGENCY
OF RUSSIAN FEDERATION



Mr. Feng Zhenglin
Administrator



Mr. Alexander Neradko
Director General

APPENDIX A List of Special Arrangements

- | | | |
|---|------------------------------|---------------|
| 1 | Name of Special Arrangements | Date of Issue |
| 2 | Name of Special Arrangements | Date of Issue |
| 3 | Name of Special Arrangements | Date of Issue |