

中欧双边适航文件常见问题与解答

Topics relevant for the COB WG

与审定监督委员会（COB）工作组相关的问题

1. Can on-going validation projects following previously agreed Working Arrangements transition to TIP provisions? If so, is there a process agreed by authorities for this matter?

Answer:

Yes, article 1.3.4. in the TIP foresees the possibility for validation projects from both parties to make use of relevant provisions foreseen by the EU-China BASA and thus be completed under this new framework. In this regard, and given the amount of professionals involved on both sides, applicants are advised to contact their respective CA to start discussions with the VA to assess how best to transition their projects so that work done is appropriately credited.

根据之前签订的工作安排正在进行的认可项目能否过渡到《技术实施程序》（TIP）框架下？如果可以，双方当局是否就此事已达成了过渡程序？

答复：

是的，TIP 第 1.3.4 条预见到双方正在进行的认可项目有可能用到《中欧航空安全协定》（BASA）的相关条款，并最终在新框架下完成。因此，考虑到双方涉及的专业人员数量，建议申请人请各自的审定当局与认可当局进行沟通，评估如何最好地过渡其项目，使先前已完成的工作获得相应认可。

2. What is the process for prioritizing project evaluation with VA and how can a company request priority with respect to applicability of the TIP?

Answer:

There is no predefined process for prioritizing project evaluation within a VA. Instead, both CA and VA intend to regularly review the status of projects so that all applicants are treated in a fair and equitable manner.

向认可当局申请优先进行项目评估的流程是什么？考虑 TIP 的适用性，公司如何申请优先评估？

答复：

认可当局没有预先制定项目评估优先级的流程。审定当局和认可当局会定期审查项目的状态，以公平和公正的方式对待所有申请人。

3. What is the status of previous WAs? Are these cancelled? Which WAs are still applicable?

Answer:

In accordance with the processes defined in 1.3.4. of the TIP, previous WAs will be subject to amendment or termination, as appropriate. With this purpose, both Parties are conducting a

joint review to assess each WA individually. The related organisations and the relevant official publications, website and/or others, will be updated accordingly.

以前签订的工作安排现在是什么状态？被取消了吗？哪些工作安排仍然适用？

答复：

根据 TIP 第 1.3.4 段的规定，先前签订的工作安排将根据情况进行修改或终止。为此，双方正在进行联合审查，单独评估每个工作安排。之后会将结果告知相关组织，并在官方出版物、网站或其他发布工作安排的地方进行更新。

Operational / practical implementation aspects 操作/实际执行方面

4. What are the elements of the application package? Are any templates foreseen for this purposes?

Answer:

First of all, an application to the VA, a CA's statement that the design complies with VA certification basis, and issuance of the VA design approval is required for all the application for validation (administrative, streamlined or technical). The application will be supported by use of a signed application form to provide the necessary administrative elements to set up the validation project. It should be filled in, where applicable, with the requested elements of the TIP application package (ref. §3.5.1.3).

The TIP provides guidelines for applicants in matters of application data package, notably in paragraph 3.5.1. as well as in paragraph 3.5.5.14 for the specific case of Parts & Appliances.

When applying validation approval to CAAC, the information of prospective end customer/operator of the product is necessary for applicants in their requests for validation, except for the VTC application for product of CCAR23/25/27/29/33/35 category. This is to facilitate allocation of the validation project to the best suited regional office. However, the information could be provided in a flexible way, such as a formal customer letter, an email, or other ways two sides agree on.

Application Forms available on EASA website:

<https://www.easa.europa.eu/document-library/application-forms>

Application Forms available on CAAC website:

<http://www.caac.gov.cn/XXGK/XXGK/GFXWJ/201511/P020151103347410146310.pdf>

(See Attachment 1 Application Form for VTC/VSTC & Attachment 2 Application Form for VDA)

To further facilitate the applicability, applicants are in any case advised to consult their CA for the latest on this matter.

申请包包括哪些内容？是否有模板？

答复：

首先，所有三类认可（行政认可、简化认可和技术认可）均包括：向认可当局提交的一份申请书、一份审定当局有关该设计符合认可当局审定基础的声明、以及认可当局最终颁发的设计批准或证件。申请时需要提交签字的申请书，以提供建立认可项目所需的管理材料。如适用，还应填写 TIP 中规定的申请包所需要的内容（参考第 3.5.1.3 段）。

TIP 为申请人提供了准备申请资料包的指南，主要在第 3.5.1 段；有关零部件和设备的内容在第 3.5.5.14 段中。

向 CAAC 申请认可批准时，申请人在认可申请中需要提供产品潜在最终客户/运营商的信息，CCAR23/25/27/29/33/35 部产品的型号认可证申请除外，便于认可项目分配给最合适的地区管理局。然而，提供信息的方式是灵活的，如正式的客户信函、电子邮件或双方商定的其他方式。

申请表格可以在 EASA 网站上查阅：

<https://www.easa.europa.eu/document-library/application-forms>

申请表格可在民航局网站上查阅：

<http://www.caac.gov.cn/XXGK/XXGK/GFXWJ/201511/P020151103347410146310.pdf>

（详见附件 1 VTC/VSTC 申请表和附件 2 VDA 申请表）

为了提高适用性，建议申请人咨询审定当局了解有关此事项的最新信息。

5. Which party produces the validation work plan?

Answer:

The Validating Authority (VA) will produce the Work Plan according to paragraph 3.5.5.10. of the TIP.

哪一方制定认可工作计划？

答复：

根据 TIP 第 3.5.5.10 段，认可当局制定工作计划。

6. For the criteria on Novel use of technology, which Party does it have to be Novel to? Applicant, CA, or VA?

Answer:

Novel use of technology is where a particular technology is being used in a manner that causes the precepts of the technology to be questioned. This known technology is being used in a manner different from previous experience of the CA or VA.

To qualify for a Project Validation Item (ref. TIP paragraph 3.5.5.8.4), this novel use of technology has to be new to the VA as a whole, not just the VA team members.

Besides, it does not mean that existing technology being applied for the first time to a particular product line is automatically novel.

关于“技术的新应用”的标准，应该是对于哪一方是新的才可以应用该原则？申请人、审定当局还是认可当局？

答复:

技术的新应用是指特定技术的应用方式会引起对该技术准则的质疑。该已知技术的应用方式与审定当局或认可当局之前的经验不同。

对于一个项目级认可项目（参考 TIP 第 3.5.5.8.4 段），这种新技术的应用必须对整个认可当局来说是新的，而不仅仅是对于认可当局团队成员而言是新的。此外，现有技术第一次应用到特定产品线并不意味着就自动是新颖的。

7. How CAAC TC or STC holder would/can know and assess the impact on the EASA OSD constituents?

Answer:

Chinese applicants are expected to make a proposal of what they believe the impact on OSD constituents should be. The appreciable effect on OSD is to be determined in accordance with EASA Guidance Material GM 21.A.91.

CAAC 颁发的型号合格证（TC）或补充型号合格证（STC）持有人如何了解并评估对 EASA 运行适用性数据（OSD）要素的影响？

答复:

中方申请人提出他们认为对 OSD 要素有何影响的建议。根据 EASA 指导材料 GM 21.A.91 确定对 OSD 的明显影响。

8. What are the fees and charges of EASA and CAAC applicable for the Administrative Validation?

Answer:

The administrative validation path is only applicable in case of CAAC validation of an EU non-significant STC or EU ETSOA. EU applicants need to apply to EASA for a Certification Support for Validation (CSV) using EASA Form 41. Flat charges are applied in case of submittal to the Agency of a CSV after 1 January 2020, in accordance with the provisions of Article 15 of Implementing Regulation 2019/2153.

CAAC will calculate the fees according to the financial policy document and inform the applicant through Notification of Acceptance of Application in accordance with TIP paragraph 3.5.2.

EASA 和 CAAC 行政认可的费用和收费是怎样的？

答复:

行政认可路径仅适用于 CAAC 对欧盟非重大 STC 或欧盟 ETSOA 进行认可的情况。欧盟申请人需要使用 EASA 表格 41 向 EASA 申请认可审定支持（CSV）。根据《实施条例 2019/2153》第 15 条的规定，2020 年 1 月 1 日之后向 EASA 提交 CSV 时，支付固定费用。

CAAC 将根据财务政策文件计算费用，并根据 TIP 第 3.5.2 段通过《受理申请通知书》通知申请人。

9. Where is an English version of a CAAC TCDS (e.g. Airbus A320 family) available ?

Answer:

The information of all VTCDS is published on AMOS (Airworthiness Management Operating System) platform and the link is <https://amos.caac.gov.cn/#/certificate>.

哪里可以获得 CAAC 颁发的型号合格证数据单 (TCDS) 的英文版本 (如空客 A320 系列) ?

答复:

所有型号认可证数据单 (VTCDS) 的信息发布在 AMOS (适航审定运行管理系统) 平台上, 链接为 <https://amos.caac.gov.cn/#/certificate>。

Policy aspects

政策方面

10. Is the EASA/CAAC production approval of parts and appliances by holders located in a 3rd country accepted by CAAC/EASA under the BASA?

Answer:

BASA Annex I Paragraph § 4.5.3 (b) covers the case of stand-alone Production Certificates for parts and appliance issued to a holder located in a 3rd country which may be acceptable to the other party.

根据 BASA, 对位于第三国的持证人拥有的零部件和设备的 EASA/CAAC 生产批准, EASA/CAAC 是否接受?

答复:

BASA 附件 1 第 4.5.3 (b) 段涵盖了向位于第三国的持证人颁发零部件和设备独立生产许可证的情况, 该证书可能为另一方所接受。

11. Is EASA/CAAC production approval for which the State of Design responsibilities are exercised by a 3rd country accepted by CAAC/EASA under the BASA?

Answer:

BASA Annex I Paragraph § 4.5.3 covers the case of production approval for which the State of Design responsibilities are exercised by a 3rd country which may be acceptable to the other party.

根据 BASA, 对于由第三国行使设计国责任的 EASA/CAAC 生产批准, CAAC/EASA 是否接受?

答复:

BASA 附件 1 第 4.5.3 段涵盖了由第三国履行设计国责任的生产批准的情况, 该生产批准可能为另一方所接受。

12. Does the BASA EU-China also include EFTA countries (Norway, Iceland, Liechtenstein, Switzerland) as the EASA regulations are followed in these countries?

Answer:

No. Applicants from EFTA countries are advised to contact their relevant regulatory authorities.

欧洲自由贸易联盟成员国（挪威、冰岛、列支敦士登、瑞士）遵守 EASA 的法规，中欧 BASA 是否也适用于这四个国家？

答复：

否。建议来自欧洲自由贸易联盟国家的申请人联系各自相关监管机构。

13. Are certificates issued by Hong Kong Civil Aviation Department (CAD) covered by the BASA?

Answer:

Hong Kong CAD certificates will continue to be handled in accordance with the Working Arrangement between EASA and Honk Kong CAD.

BASA 是否涵盖香港民航处颁发的证件？

答复：

香港民航处颁发的证件将继续按照 EASA 和香港民航处签署的工作安排处理。

14. Why Chinese Production Organisations need to be listed by EASA?

Answer:

CAAC Production Certificate (PC) holders need to be listed by EASA as per BASA Annex I paragraph 4.5.9 and TIP paragraph 6.

为什么 EASA 需要列出中国生产机构的名单？

答复：

根据 BASA 附件 1 第 4.5.9 段和 TIP 第 6 段，EASA 需要列出 CAAC 颁发的生产许可证（PC）持有人的名单。

15. What will be the scope of Technical familiarisation for streamlined validation process

Answer

It will allow the VA to get an understanding of the approval to be validated. It will focus on general compliance methodologies used by the applicant to show compliance with the applicable VA requirements for the change (There is no VA involvement in compliance showing activities). It will allow the VA to check/confirm the applicable VA certification basis

简化认可流程的技术熟悉范围是什么？

答复：

简化认可流程的技术熟悉仅用于认可当局了解待认可的批准。在技术熟悉过程中，认可当局将把注意力集中在了解申请人所使用的一般符合性方法以证明该更改符合适用

的认可当局要求（认可当局不参与符合性证明活动）。技术熟悉过程允许认可当局 检查/确认适用的认可当局审定基础。

16. Is Certification Oversight Board (COB) a permanent institution?

Answer

Yes as it will ensure the implementation of the Annex 1 of the BASA

审定监督委员会（COB）是常设机构吗？

答复：

是的，因为它将确保 BASA 附件 1 的实施。

17. Will EASA publish the list of Chinese PC holders according to paragraph 4.5.9 of BASA Annex I in the future?

Answer:

Yes, EASA will publish the list of CAAC PC holder according to par 4.5.9 of BASA Annex I.

根据 BASA 附件 1 第 4.5.9 段，EASA 将来是否会公布中方生产许可证持有人名单？

答复：

是的，EASA 将根据 BASA 附件 1 第 4.5.9 段公布 CAAC 生产许可证持有人名单。

18. Why EASA does not assess the Chinese aeronautic industry OEMs and MROs when validates CAAC PC?

Answer:

In matters of production, current provisions of the TIP do not foresee the assessment by any Party of the other Party's Production Certificate or Production Organisation Approval holders (see paragraph 6 for the specific case of Chinese PC holders). Instead, both Parties support a reciprocal process of Continued qualification of the Competent Authorities (paragraph 1.7.1) for this purpose.

EASA 在认可 CAAC 颁发的生产许可证时，为什么不评估中国航空工业原始设备制造厂家（OEM）和维修企业（MRO）？

答复：

在生产方面，TIP 的现行条款未规定任何一方对另一方的生产许可证或生产机构批准持有人进行评估（中国生产许可证持有人的具体情况见第 6 段）。取而代之的，双方支持以此为目的相互评估对方主管当局是否符合持续能力要求（第 1.7.1 段）。

19. First Validation of a given products category which require technical exposure. What kind of categories will be included? Are drones also included?

Answer:

In accordance with the provisions of Annex paragraph 4.4.2.2, special procedures and scrutiny will apply during the first validation of a product of a given category as defined in TIP paragraph 3.5.5.9.4). If there is any category not covered by paragraph 3.5.5.9.4), such as drone, according to paragraph 2.1.3, upon agreement by EASA and CAAC, it could also be dealt on a case by case basis through a Special Arrangement.

需要技术暴露的指定产品的首次认可包括哪些类别？也包括无人机吗？

答复：

根据《附件》第 4.4.2.2 段的规定，TIP 第 3.5.5.9.4) 段中规定指定类别产品的首次认可可以使用特殊程序和审查。如果有第 3.5.5.9.4) 段未涵盖的类别，如无人机，根据第 2.1.3 段，经 EASA 和 CAAC 同意也可以通过签订特殊安排逐案处理。

20. Is it possible to detail more the meaning the experience in Annex 4.4.2.1.(a) (Experience and records)?

Answer:

As explained in TIP paragraph 3.1.5.a), the experience and records of the Competent Authority of the other Party as Certifying Authority shall be duly taken into account by the Validating Authority when establishing its level of involvement. The more the Exporting Party has successful experience as CA, the more the VA shall rely on it.

能否详细说明《附件》4.4.2.1. (a) (经验和记录) 中经验的含义？

答复：

如 TIP 第 3.1.5.a) 段所述，认可当局在确定其认可介入程度时，应适当考虑另一方主管当局作为审定当局的经验和记录。出口方作为审定当局的成功经验越多，认可当局越应信任它。

21. Does CAAC request that manuals should be translated into Chinese?

Answer:

The manuals are not requested to be translated into Chinese. English versions of the manuals are acceptable.

CAAC 是否要求手册需翻译成中文？

答复：

手册不要求翻译成中文。英文版本的手册是可以接受的。

22. Is design change equivalent to type certificate change?

Answer:

In most of the instances, the term “design change” is to be understood as encompassing also the changes to type certificates.

设计更改是否等同于型号合格证更改？

答复：

在大多数情况下，“设计更改”一词应理解为也包括型号合格证的更改。

TIP interpretation / Clarification

TIP 解释/澄清

23. What are the criteria for classification of minor/major or significant /non-significant changes

Answer:

As per Annex 1 paragraph 9.3.2., the minor / major and significant / non-significant classifications are made by the Certifying Authority in accordance with the criteria and definitions defined in this Annex and interpreted in accordance with the applicable rules and procedures of the Certifying Authority.

Annex 1 paragraph 9.3.3. defines the criteria for the significant changes.

Annex 1 paragraph 2.1. (d) defines the criteria for the minor changes.

小改/大改或重大/非重大更改的分类标准是什么？

答复：

根据附件 1 第 9.3.2 段，审定当局根据本附件中规定的标准和定义进行小改/大改和重大/非重大更改分类，并根据审定当局的适用规则和程序进行解释。

附件 1 第 9.3.3 段定义重大更改的标准。

附件 1 第 2.1. (d) 段定义小改的标准。

24. Is automatically accepted design change validated before the VTCDS updated?

Answer:

Yes. The fact that a design change is automatically accepted by the VA is irrespective of the need to update the VTCDS.

However, in case an automatically accepted design change requires the update of the Validating Authority Validation of Type Certificate (VTC) or its Data Sheet (VTCDS), a further application for administrative update of the VTC or VTCDS shall be made by the VTC holder, through the Certifying Authority and the necessary data shall be provided to the validating Authority, as prescribed in paragraph 3.2.

VTCDS 更新之前是否自动接受设计更改的认可？

答复：

是的。认可当局自动接受设计更改与是否需要更新 VTCDS 无关。

但是，如果自动接受的设计更改需要认可当局更新 VTC 或 VTCDS，则 VTC 持有人应进一步申请对 VTC 或 VTCDS 进行行政更新，同时根据第 3.2 段的规定，应通过审定当局向认可当局提供必要的资料。

25. What are the Chinese design changes subject to automatic acceptance?

Answer:

In accordance with Annex 1 paragraph 9.2, minor design changes and repairs approved by CAAC are eligible for automatic acceptance.

中方的设计更改哪些属于自动接受？

答复：

根据附件 1 第 9.2 段，经 CAAC 批准的设计小改和小修可以自动接受。

26. Is the new VA standard indicated in § 3.5.5.8 applicable to AMC/GM?

Answer:

New VA standards may give rise to a General Validation Item (GVI) when falling within the situation described in TIP paragraph 3.5.5.8.2).

Application of a new MoC for an existing airworthiness standard is addressed under TIP paragraph 3.5.5.8.7) and could give rise to a Project Validation Item (PVI).

第 3.5.5.8 段中规定的新的认可当局标准是否适用于 AMC（可接受的符合性方法）/GM（指导材料）？

答复：

当符合 TIP 第 3.5.5.8.2) 段中描述的情况时，认可当局新的标准可能会产生通用认可项目（GVI）。

TIP 第 3.5.5.8.7) 段提出了现有适航标准的新符合性方法的应用，可能产生项目级认可项目（PVI）。

27. How the application to cover the EASA OSD element in the Chinese system should be filed?

Answer:

A separate AEG evaluation application should be filed with CAAC FSD in addition to the airworthiness application.

For FCD or MMEL, a validation path may be followed as per Appendix C principles.

关于 EASA 运行适用性数据（OSD）要素，如何在中方对应的体系中提交申请？

答复：

除适航审定申请外，还应向 CAAC 飞标司提交单独的 AEG 评审申请。

对于飞行机组数据（FCD）或主最低设备清单（MMEL），可根据附录 C 中规定的原则进行认可。

28. How does CAAC issue Airworthiness Directives (ADs) and how to get access to the ADs?

Answer:

In accordance with TIP paragraph 4.3, EU SoD issued ADs will be evaluated by CAAC and CAAC will issue its own AD with a clear reference to the EU AD, and publish it on the CAAC website.

For ADs issued by CAAC on Chinese products, CAAC will issue the ADs in both Chinese and English and publish them on its website.

CAAC 如何发布适航指令（AD）？如何获取中方适航指令？

答复：

根据 TIP 第 4.3 段，对于欧盟设计国发布的适航指令，CAAC 会对其评估并发布自己的适航指令，会在其自己发布的适航指令中明确说明引用了欧盟的哪份适航指令，最后在其网站上发布。

针对中国制造产品，CAAC 会在其网站上发布中英文的适航指令。

29. How will CAAC accept a deviation for the validation of an ETSOA?

Answer:

ETSOA is validated through an administrative process (deviations included). In accordance with TIP 3.5.1.3.e.3), a statement has to be made by the CA to certify that the part or appliance has been examined, tested and has been found to meet the applicable VA Parts and Appliance standard with the applicable limitations and deviations compensated for by factors or design features providing an equivalent level of safety.

CAAC 在对欧盟技术标准规定项目批准书（ETSOA）进行认可时，如何接受偏离？

答复：

ETSOA 属于行政认可的方式（包括偏离）。根据 TIP 第 3.5.1.3.e.3)段，审定当局须提供一份声明，证明零部件或设备已经过检查、测试，并且符合相关认可当局零部件和设备标准，同时适用的限制和偏离已由一些方法或设计特性补偿，能够提供等效安全水平。

30. For an accepted design change impacting the AFM, is the AFM also accepted by CAAC?

Answer:

Yes. This is considered as part of the acceptance of the design change.

如果已经接受的设计更改影响飞机飞行手册（AFM），CAAC 是否也接受 AFM？

答复：

是的。它被视为设计更改接受的一部分。

31. In paragraph 1.1 Purpose and scope, “the difference between the airworthiness and environmental systems of the Parties to the Agreements”, why using “the parties” instead of using “the Technical Agents (EASA and CAAC)”?

Answer:

In this reference, Parties to the Agreements refer to the European Union and the Government of the People’s Republic of China as per the Agreement (i.e. the ‘Agreement on civil aviation safety between the European Union and the Government of the People’s Republic of China’ – the ‘Agreement’).

在第 1.1 段“目的和范围”中，“《协定》双方的适航和环保系统之间的差异”，为什么使用“双方”而不是“技术局方（EASA 和 CAAC）”？

答复：

根据《协定》（即《欧盟和中华人民共和国政府关于民用航空安全的协定》-简称《协议》）的规定，此处《协定》双方是指欧盟和中华人民共和国政府。

32. Will EASA automatically accept the TC issued by CAAC to Chinese industry companies, e.g. C919, MA700 or AECC CJ-1000?

Answer:

In accordance with Annex 1 paragraph 9.2, type certificates issued within the Chinese regulatory system are subject to a validation process described in TIP.

EASA 是否会自动接受中国民用航空局向中国的工业公司（如 C919、MA700 或中国航发 CJ-1000）颁发的 TC？

答复：

根据附件 1 第 9.2 段，在中国监管体系内颁发的型号合格证须经过 TIP 中规定的认可流程。

33. What is procedure for “Major Design Changes” approval and validation?

Answer:

Details for each case are provided in the TIP under section 3 “APPROVAL PROCEDURES FOR DESIGN CERTIFICATES” .

“重大设计更改”批准和认可的程序是什么？

答复：

TIP 第 3 节“设计证件批准程序”中介绍了批准和认可程序的详细信息。

34. Could the CAAC request an acceptance page in the AFM for example?

Answer:

Acceptance of the approved manuals like AFM depends on the pursued validation path.

In case of automatic acceptance, CA approved manuals are automatically accepted by the VA.

In case of administrative and streamlined validation process, the VA will accept the CA’s approved manuals when the application package is complete and the CA’s statement of compliance is accepted.

In the technical validation process, if there is a need to revise an approved manual to comply with the CAAC requirements as a result of the compliance verification, the relevant technical data shall be revised accordingly. The CAAC, when satisfied with the revised data, will request the EASA to approve the data which will be accepted by the CAAC then. No acceptance page is foreseen by the TIP in either case.

CAAC 是否可以在如飞机飞行手册（AFM）等获批手册中要求增加一个接受页？

答复：

获批手册（如 AFM）的接受情况取决于所采用的认可路径。

在自动接受的情况下，认可当局自动接受审定当局批准的手册。

在行政和简化认可流程的情况下，如申请包完整且认可当局接受了审定当局的符合性声明，认可当局会接受审定当局批准的手册。

在技术认可过程中，如果由于符合性验证需要对批准的手册进行修订，以符合 CAAC 的要求，则相关技术资料应进行相应的修订。如 CAAC 对修改后的资料感到满意，会要求 EASA 批准该数据，CAAC 再接受该数据。

在这两种情况下，TIP 均未提到接受页。

35. In the specific case of European engine TC holders, the respective TCDS does not strictly reflect whether a new model/derivative is a significant or non-significant major change. How will the information be transmitted to the Chinese VA?

Answer:

Applicants are encouraged to contact EASA on the matter so that appropriate authority-to-authority communication can be put in place on such cases so that necessary clarifications are made well in advance of any processes. EASA cover letter will identify whether the new model/derivative is a significant major change or not.

以欧方发动机 TC 持有人为例，其 TCDS 不能完全反映一个新型别/衍生产品是重大还是非重大大改。中方认可当局如何获得相应信息？

答复：

遇到这种情况，鼓励申请人与 EASA 取得联系，就此类项目和 CAAC 进行适当的局方沟通，在 CAAC 开展认可工作之前进行必要的澄清。EASA 将在推荐信中明确该新型别/衍生产品是否是重大大改。

36. In Streamlined Validation, at which point is Technical Familiarisation achieved? Would there be an opportunity to reclassify the validation path to Technical?

Answer:

Following TIP paragraph 3.5.4.6, the VA shall complete its technical familiarisation within twenty (20) working days after beginning working on the streamlined validation project and - when applicable – following the completion of any necessary specific meeting, with concurrent notification to the CA.

Concerning the validation path to be followed, there is always a dialogue taking place between the CA and the VA and if there would be good reasons not to apply the streamlined process for an EU Significant STC (disagreement about applicability or not of Appendix B

criteria) then a technical validation could be jointly agreed. This particular case is not described in the TIP.

For the validation of CTSOAs, in accordance with TIP paragraph 3.4.2.b) the type of validation path will be agreed by consensus by both Technical Agents.

在简化认可过程中，哪一阶段实现技术熟悉？是否有机会将认可路径重新归类为技术认可？

答复：

根据 TIP 第 3.5.4.6 段，认可当局应在开始处理简化认可项目后和必要的特定会议结束后（如适用）的 20 个工作日内完成其技术熟悉工作，同时通知审定当局。

关于认可路径，审定当局和认可当局始终保持着沟通，如果有充分理由认为简化流程不适用于欧盟重大 STC（对附录 B 标准的适用性或不适用性存在分歧），双方同意后可以选择技术认可。TIP 中未描述此特定情况。

根据 TIP 第 3.4.2.b) 段，中国技术标准规定项目批准书（CTSOA）的认可类型由两个技术局方共同决定。

37. Which validation route will apply for validation of an additional aircraft model to an already validated model?

Answer:

The term "model" is not a recognized regulatory term. Both Technical Agents recognize as more efficient using regulatory terms for such purpose e.g. major/minor change, significant/non-significant.

如航空器某一型别（model）已获得认可，现申请认可一个新的型别，这种情况适用于哪一种认可路径？

答复：

“型别”（model）一词不是公认的监管术语。两个技术局方都认为在此情况下使用监管术语更有效，例如大改/小改、重大/非重大更改。

38. if one product was previously certificated based on old version regulation or TSO MOPS, and now the validated authority has new version of regulation of TSO MOPS, will EASA or CAAC as validated authority requires the validated product compliance with the newer version during the technical validation?

Answer:

TIP §3.5.1.3 Note 2: For Parts and Appliances, while the CA verifies compliance to the VA standards, the CA certificate may use a different revision of the standard than the one used for the validation upon agreement by the VA.

如果一个产品以前是根据旧版本规章或技术标准规定项目最低性能标准（TSO MOPS）取得的证件，而现在认可当局有新版本的规章或 TSO MOPS，EASA 或 CAAC 作为认可当局是否会在技术认可时要求被认可的产品符合新版本的要求？

答复：

TIP 第 3.5.1.3 段 注 2: 对于零部件和设备, 当审定当局验证对认可当局标准的符合性时, 经认可当局同意, 审定当局证件可使用与用于认可的标准不同的版本。

39. Will complete LOI principles be used during validation? So also risk classification, DOA performance, etc?

Answer:

The principles of level of involvement used for validation in the frame of this Agreement are defined in TIP paragraph 3.1.5; they are different from the LOI principles stemming from EASA Part 21 point 21.B.100.

认可时是否会应用完整概念的介入程度 (LOI) 原则, 从而包括风险分类、设计机构批准 (DOA) 绩效等在内?

答复:

TIP 第 3.1.5 段规定了本《协定》框架内用于认可的介入程度原则; 它们不同于 EASA 21 部第 21.B.100 条的介入程度原则。

40. What means “as notified by that Party” in TIP paragraphs 7.2.1. and 7.2.2? Does ADs have to be notified for each model separately or for each individual export case?

Answer:

The mention “as notified by that Party” in TIP paragraphs 7.2.1. and 7.2.2 refer to the applicable airworthiness directives or the importing requirements prescribed by the Importing Party. It sets a requirement to the Importing party to notify these airworthiness directives or importing requirements, but it does not prescribe the way to do so. The possible ways include incorporating a paragraph of importing requirements in the VA TCDSs.

TIP 第 7.2.1 段和第 7.2.2 段中 “由该方通知” 的含义是什么? 是否每个型别的适航指令都需要单独通知? 还是每个出口项目通知一次?

答复:

TIP 第 7.2.1 段和 7.2.2 段中提到 “由该方通知” 指的是适用的适航指令或进口方规定的进口要求。它要求进口方通知这些适航指令或进口要求, 但没有规定通知方式。比如, 可以在认可当局 TCDS 中加入进口要求。

41. What requirements should be met when exporting engines?

Answer:

In accordance with BASA Annex I par 4.6.4, new engines can be exported to the other party if they conform with design data approved by the importing party, are safe for operation and meet additional requirements notified by the importing party. However, export of used engines is excluded from the scope of the Agreement.

出口发动机时应满足哪些要求?

答复:

根据 BASA 附件 1 第 4.6.4 段，如果符合进口方批准的设计数据，处于安全可用状态，并满足进口方告知的附加要求，全新发动机可以出口到另一方。但是，使用过发动机的出口不在本《协议》范围内。

42. What about spare parts with Form AAC-038. Are they accepted in EASA?

Answer:

In accordance with BASA Annex I par 4.6.1.1 and 4.6.4.2, and provided the CAAC Production Certificate holder (including holder of Chinese Technical Standard Order Approvals) is listed on EASA website as per BASA Annex I par 4.5.9, the spare parts can be imported into EU with Form AAC-038.

EASA 是否接受获得 AAC-038 表的备件？

答复：

根据 BASA 附件 1 第 4.6.1.1 段和第 4.6.4.2 段，对于在 EASA 网站上按照 BASA 附件 1 第 4.5.9 段要求列出的 CAAC 生产许可证持有人（包括中国技术标准规定项目批准书持有人），其备件可以通过 AAC-038 表进口到欧盟。

43. Must the CofA for Export for new and used aircraft refer to the importing country TCDSs? E.g. exporting used aircraft from China to EU, the CofA for Export must state EASA TCDSs, regardless if the content of the CAAC TCDSs – is this correct?

Answer:

Yes, as per BASA Annex I par 4.6.2.1 and 4.6.3.1 the Export Certificate of Airworthiness should state compliance with the importing authority requirements.

全新航空器和使用过航空器的出口适航证必须参考进口国 TCDS 吗？例如，从中国向欧盟出口使用过航空器时，出口适航证不用考虑 CAAC TCDS 的内容，但必须声明满足 EASA TCDS，这么说是否正确？

答复：

是的，根据 BASA 附件 1 第 4.6.2.1 段和第 4.6.3.1 段，出口适航证应声明符合进口当局的要求。

44. Will EASA STCs with CRIs, which are classified as non-significant, be subject to Administrative Validation?

Answer:

In accordance with Annex 1 article 9.1 and TIP paragraph 3.4.3, Non-Significant Supplemental Type Certificates issued by the EU Competent Authority are subject to the administrative validation path, irrespective of the fact that CRIs are applicable to them.

EASA 补充型号合格证（STC）具有审定评审项目（CRI），如果属于非重大更改，是否可以通过行政流程进行认可？

答复：

根据附件 1 第 9.1 条和 TIP 第 3.4.3 段，欧盟主管当局颁发的非重大 STC 通过行政流程进行认可，无论 CRI 是否适用于他们。

45. If a Chinese enterprise is an ETSOA holder, but the approved Part Number is fixed, how does it apply for minor design change?

Answer:

For Chinese CTSOA holders that have been validated and granted ETSOA, as long as the minor design change after certification is approved under the CAAC management system, EASA will automatically accept it.

However, according to paragraph 3.3.2 of the TIP, in case the minor change requires the update of the VA certificate (for instance to add a part-number), a further application for administrative update of the validated CTSOA or validated ETSOA shall be made by the approval holder and the necessary data shall be provided to the VA.

如果一个中国企业是 ETSOA 持有人，但批准的零件号是固定的，如何申请设计小改？

答复：

中方企业 CTSOA 持有人，在获得 ETSOA 认可批准后，其证后小改只要在 CAAC 管理体系下获得批准，EASA 就是自动接受的。

但是，根据 TIP 第 3.3.2 段，如果设计小改需要更新认可当局证件（例如添加件号），批准书持有人应进一步申请对已认可的 CTSOA 或已认可的 ETSOA 进行行政更新，并向认可当局提供必要的资料。

46. Is EU ETSOA automatically accepted by CAAC under China-EU BASA?

Answer:

No. ETSOA issued by EASA is not automatically accepted by CAAC. According to paragraph 3.4.3 of the TIP, ETSOA holders should apply to CAAC for validation through an administrative process and obtain Validated Design Approval (VDA) issued by CAAC.

在中欧 BASA 框架下，EASA 颁发的 ETSOA，CAAC 是直接接受的吗？

答复：

否。EASA 颁发的 ETSOA 不会被 CAAC 自动接受。根据 TIP 第 3.4.3 段，ETSOA 持有人应通过行政流程向 CAAC 申请认可，获得 CAAC 颁发的设计批准认可证（VDA）。

47. Can Chinese enterprises apply for EASA stand-alone certificates such as DOA, POA or ETSOA in the future?

Answer:

In principle, no. The principle of the BASA is that each Party shall rely on the design and production oversight system of the other Party, under the conditions defined in the Annex/TIP. It is therefore not expected that an applicant primarily located in the territory of one Party would receive in the future a stand alone certificate for organization from the other Party. Typically, as stated in Annex paragraph 4.5.2 “unless otherwise agreed between the Technical Agents, the Technical Agent of the Importing Party shall not issue a production

approval for a manufacturer primarily located in the Exporting party.” This is further recalled in the TIP paragraph 1.3 “as provided for by the Annex, the Technical Agent of one Party shall not issue a stand-alone certificate for organisations located in the other Party’s territory after the entry into force of the TIP”.

中国企业将来能否申请 EASA 独立证件，如设计组织批准（DOA）、生产组织批准（POA）或 ETSOA？

答复：

原则上不可以。BASA 的原则是在《附件》/TIP 中规定的条件下，各方应依赖另一方的设计和生产监督体系。因此，主要位于一方辖区内的申请人将来预计不会从另一方辖区的机构收到独立证件。通常，如《附件》第 4.5.2 段所述，“进口方的技术当局不得向主要位于出口方境内的制造人颁发生产批准，技术当局之间另有约定的除外。” TIP 第 1.3 段进一步回顾了这一点，“根据《附件》的规定，TIP 生效后，一方技术局方不得为位于另一方辖区的机构颁发独立证件。”

48. UK applicants have submitted validation approval to CAAC based on EASA design approval before December 31, 2020, but validation inspections have not been completed. Will the applicants obtain the corresponding validation approval after January 1, 2021?

Answer:

The transition period for UK exiting the EU ended on December 31, 2020. After December 31, 2020, UK is no longer a member of the European Union, and thus TIP is not applicable to the UK. For the projects that have not completed the validation inspection, whether they can continue to be inspected and finally issued with validation approval depends on the coordination among CAAC and UK CAA, which is now the Civil Aviation Authority discharging the State of Design responsibilities for these approvals.

英国申请人在 2020 年 12 月 31 日前，基于 EASA 的设计批准向 CAAC 提交了认可批准，但并未完成审查。2021 年 1 月 1 日之后还会继续获得相应的认可批准吗？

答复：

英国脱欧过渡期截止到 2020 年 12 月 31 日。在此之后，英国不再属于欧盟成员国，不能够执行 TIP。但尚未完成认可审查的项目，是否还可以继续审查并最终颁证取决于中英民航局之间如何约定。英国民航局现在行使这些证件的设计国责任。

49. For European companies that have obtained stand-alone certificates issued by CAAC such as CTSOA, will the CAAC regional administration not supervise them in the future?

Answer:

Before the stand-alone certificate is converted to validated certificate, the companies that have already obtained the certificate will still be supervised as usual. China and the EU technical agents are discussing how to transition such certificates to supervise them under the framework of TIP in the future.

对于获得 CAAC 颁发的独立证件（如 CTSOA）的欧洲公司，中国民航地区管理局将来是否会对其进行监督？

答复：

在独立证件转换为认可证件之前，已经持证的公司仍按照之前的办法进行监管。中欧技术局方之间正在商量以后如何将这种证件转化到 **TIP** 框架下进行监管。