实施程序细则

中华人民共和国/美利坚合众国

双边适航协议

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SPECIAL ARRANGEMENT FOR EXCHANGE OF CONTINUING AIRWORTHINESS INFORMATION BETWEEN FAA AND CAAC

Operating Principles between Federal Aviation Administration (FAA) Technical Assistance Branch and the General Administration of civil aviation of China (CAAC)

前言：

本文件载有中国民用航空总局和美国联邦航空局制定的程序，用以执行于1991 年 10 月 14 日在中国北京交换照会生效的关于进口航空产品的适航审定、批准或认可的中华人民共和国政府和美利坚合众国政府之间的协议。本实施程序细则取代 1991 年 10 月 19 日的程序细则。

这些程序旨在促进对正在中国和美国制造的航空器和其它航空产品进行相互合作和技术援助。这些程序同时也为 CAAC 和 FAA 内指定官员在特殊情况下，根据需要做出特殊安排，以实施本细则。

本细则可以在 CAAC 或 FAA 任一方请求下，在任何时候共同进行审查， 并且考虑到 CAAC 或 FAA，中国和美国的航空工业或他们的成员公司提出的改进、添增或更改建议，将定期地审查本细则以确保程序保持最新状态。由 CAAC 适航司司长和 FAA 航空器审定司司长将共同制定并签署修正案和版次。

对本细则的改进建议都将受到欢迎，这些建议可寄给下列任一地址， 他们将负责按行政渠道保持本文件的更新。所有这些程序，包括附件的变更，将由 CAAC 航空器适航司适航联络处及 FAA 航空器审定司，AIR-4 共同管理。

FAA 地址：
航空器审定司，AIR-4
联邦航空局
独立大街・西南 800 号
华盛顿 D.C.　20591
美国
电话：(1-202)267-9559　　传真：(1-202)267-5364

CAAC 地址：
航空器适航司
中国民用航空总局
155 号东四西大街
北京　100710
中国
电话：(86-10)4012233 转 8956
传真：(86-10)403－3087

第一章　总则

10. 目的

本细则提出了CAAC和FAA一致同意的用于实施中华人民共和国和美利坚合众国(以后称为缔约国)之间协议中各项目标的程序，该协议涉及进口民用航空产品的适航合格审定，并且已于1991年10月14日在北京通过交换照会生效。

11. 基础

双边适航协议(BAA)第8条授权的本细则的基础已在BAA的第2节说明。

12. 目标

本细则的目标是实现BAA的目的和范围条款并包括下述内容：

120. 设计批准

产品型号设计批准，产品型号设计更改，设备、更换件和改装件设计批准程序。确保符合进口国民用适航当局(进口国当局)的适用适航标准或进口国当局确定的准则，以提供等效于进口国的安全水平。

121. 出口适航证

便于进口国当局认可某一航空器、航空器发动机或螺旋桨的出口适航证的程序。确认该产品符合其批准的型号设计并处于安全使用状态。

122. 出口适航批准证件

设备、零件和材料出口适航批准证件程序。便于进口国当局认可并便于进口国当局确认该产品符合其批准的设计。

123. 持续适航

为每一民用适航当局所采用，保证出口产品持续营运安全程序。确保及时发送使用中的安全问题并及时完成最终纠正措施。

124. 责任

每一民用适航当局按照 BAA，对进出口产品互相负责的程序。确保产品在服役中可能出现的任何安全问题会及时满意地予以解决。

125. 相互合作和技术支援

CAAC 和 FAA 交换所需的相关的信息的程序。理解并实施 BAA 范围内的批准及监控过程，并当任一民用适航当局在履行其国家适航管理职责需要技术支援时，给予合作。

126. 特殊安排

CAAC 和 FAA 在必要时使用特殊安排来解决本细则未预见到而又属于双边适航协议范围和目的之内的紧急或独特情况的程序。

13. 范围

本细则包括：

- 中国认可 FAA 作为出口国当局为航空器、航空器发动机及螺旋桨颁发的出口适航证和为设备、零件及材料颁发的出口适航批准证件；

- 美国认可 CAAC 为中国设计和制造的小飞机(最大合格审定起飞重量为 12500 磅或以下)和通勤类飞机(乘客为 19 人或以下而且最大合格审定起飞重量为 19000 磅或以下)颁发的出口适航证；

- 美国认可CAAC为中国制造的并已被确认满足FAA TSO设计批准函中适用的美国技术标准规定(TSO)的航空器设备颁发的出口适航批准，见附录 A；

- 美国认可 CAAC 为那些由美国型号合格证持有人或 FAA TSO 设计批准函持有人在中国设计和制造的更换件及改装件颁发的出口适航批准；

注：实施签约协议的条款将由双方在将来共同制定。

- 美国认可CAAC对与持有FAA型号设计批准的美国制造人签有协议的中国制造人生产产品的适航审定。

14. 定义

就本细则而言，BAA 第 4 条中的定义适用。在本细则中使用时，提供下列定义补充 BAA 第 4 条中的定义。

(a)“附加技术条件”指进口国考虑到进口国当局与出口国当局在下列方面的

差异为接受航空产品的型号设计所用的术语。

(Ⅰ) 适航和环境标准、适用性，政策和指导材料；

(Ⅱ) 适航和环境标准未能覆盖的与产品新颖和独特设计特征有关的专用条件；

(Ⅲ) 豁免申请或与适航或环境标准具有等效安全结论；

(Ⅳ) 运行要求，及

(Ⅴ) 采取的纠正不安全情况的强制性适航措施。

(b) “设备”指在飞行中用于或预定用于运行或操纵航空器并安装在或连接到航空器上而且不是机身、航空器发动机或螺旋桨一部分的任何仪表、机构、设备、零件、仪器，配件或附件，包括通信设备。

(c) “符合性(Compliance)”指用分析和/或试验方法检验后，认为产品的型号设计满足进口国当局的型号合格审定基础。

(d) “部件”指预定用于某一航空产品的一个零件、材料或组件。

(e) “制造符合性(Comformity)”指按有关的型号设计、试验和质量控制资料要求对产品进行检验和检查并认为产品满足这些要求。

(f) “等效安全结论”指设计不满足条例的特定要求时，确认设计提供了与条例规定的要求相等效的安全水平。

(g) “豁免”指当局按适用的条例性程序处理后，认为是可接受的符合公众利益并且不会对安全造成不利影响的不符合性和偏离。

(h) “出口国民用适航当局”指出口国内的一个国家机构，由出口国法律责成其管理民用航空产品的适航和环境合格审定、批准或认可。此处将称其为出口国当局。

(i) “熟悉过程”指进口国当局获得有关出口国设计的航空产品的信息和经验的过程。

(j) “结论(finding)”指审查、研究、检查、试验和分析等的结果，用于确定设计对法律、条例、标准或要求的符合性，或用于确定产品对批准的型号设计数据的制造符合性。

(k) “进口国民用适航当局”指进口国的一个国家机构，由进口国法律责成其管理民用航空产品的适航和环境合格审定、批准或认可，在这称其为进口国当局。

(t) “制造人”指按照民用适航当局批准的确保产品符合批准的型号设计和其安全运行条件的质量保证/控制系统对产品进行的最终装配、试验和验收负责的人。

(m) “法人”指某个个人、工厂、合股公司、股份有限公司、公司、协会、股份制协会或政府实体。法人包括委托人、接受人、代理人、执照持有人或其任何类似的代表。

(n) “产品”指任何民用航空器，航空器发动机、螺旋桨、组件、及安装在其上的设备、材料、零件或部件。

(o) “质量保证(包括质量控制)”指能够保证航空产品符合批准的型号设计并使其处于安全运行状态的制造、装配和试验的系统过程。

(p) “专用条件”指当产品具有新颖和独特的设计特征时，已制定的适航标准不能包含足够或适当的安全标准来确保产品安全水平与适航标准所规定的安全水平相等时，由当局对产品颁发的专用安全标准。

(g) “标准类适航审定”指对按正常类、实用类、特技类、通勤类和运输类合格审定过的航空器颁发的标准类适航证。

(r) “供应商”指签订合同向产品制造人提供组件、设备、材料、零件或部件装配到民用航空产品上的法人。

下列定义已出现在 BAA 中，此处重复列出以便使用：

“产品适航批准”指民用适航当局为特定的民用航空产品所颁发的相应的适航证、批准书或认可书，使该产品按照颁发国的法律、条例、标准和要求运行或使用。

“型号设计批准书”指颁证的适航当局对产品的设计，包括它的性能， 使用特性和使用限制的审定、批准或认可。

15. 终止

任何一方均可在书面通知对方 6 个月后终止本细则。

第二章　设计批准

20. 总则

进口国当局对于产品型号设计和型号设计更改的批准、设备和更换件的设计批准，在最大可行范围内，应基于出口国当局所进行的技术评审、试验、检查和符合性审定。如果出口国当局在与进口国当局协商后向进口国当局证明：其产品经过了检查、试验并认为满足进口国当局规定的适航准则，可由进口国当局颁发进口产品的相应设计批准书。

21. 型号设计批准申请条件

2l0. 美利坚合众国 FAA 产品型号设计批准是下列内容的前提条件：

(a) 颁发美国标准类适航证；

(b) 允许按FAR 121或135部审定的航空承运人或商业营运人按租约营运非美国注册的航空器；或

(c) 允许有关产品(航空器发动机和螺旋桨)和设备安装在具有美国标准类适航证的航空器上。

当表明上述条件之一存在时，FAA 将给予进口产品型号设计批准申请以较高的优先权。除非产品安装在美国生产的产品上，否则， FAA 通常不向在美国境外生产的且非预期在美国使用的产品颁发型号设计批准书。所以，中国型号设计批准申请人在申请之时，应通过 CAAC 向 FAA 提交有关预期美国使用或安装在美国生产的产品上的证明。本政策的任何例外，必须经航空器审定司司长批准。

2ll. 中华人民共和国

CAAC 型号设计批准是下述情况的前提条件：

(a) 颁发中华人民共和国适航证；

(b) 允许按中国民航条例审定的中华人民共和国航空承运人或商业营运人按租约营运非中国注册的航空器；或

(c) 允许有关产品(航空器发动机和螺旋桨)和设备安装在具有中国适航证的飞机上。

当上述情况之一存在时，CAAC 将给予进口产品型号设计批准申请以较高的

优先权。除非产品安装在中国制造的产品上，或中国注册的飞机上，否则，CAAC 通常不向在中国境外生产的且不预计为中国使用的产品颁发型号设计批准。所以，美国型号设计批准申请人在申请时，应通过 FAA 向 CAAC 提供预计在中国使用或安装在中国注册飞机上或中国制造的产品上的证明。本政策的任何例外，必须经航空器适航司司长批准。

22. 航空器型号设计批准程序

CAAC 和 FAA 均颁发型号合格证(TC)作为航空器设计批准书。下列程序适用于 CAAC 或 FAA 为标准类适航审定进行该类产品型号设计审定。非标准类航空器及非标准类航空器所用发动机和螺旋桨将视具体情况，通过本文件第七章特殊安排来处理。

220. 申请

型号设计批准的申请人应通过本国当局进行申请，并请求其将申请书和有关资料提供给进口国当局。

(a) 所有申请 FAA 型号设计批准的中国申请书应由 CAAC 寄往小飞机审定中心(ACE-100)，601 East 12th Street, Kansas City, MO 64106。

(b) 所有申请中国型号设计批准的美国申请书应寄往申请人受辖地区的 FAA 航空器合格审定办公室(ACO)，FAA ACO 将申请书提交给负责此类别的 FAA 航空器合格审定中心，该中心将申请书寄往中国北京 CAAC 航空器适航司。附录 B 中列出了 FAA 航空器审定办公室、FAA 制造检查办公室、FAA 航空器审定中心、CAAC 地区适航处及航空器审定中心的地址清单。

(c) 申请书应具有产品的概要说明，包括：

(Ⅰ) 航空器三视图；

(Ⅱ) 出口国当局对其本国设计批准所确定的相应适航和环境标准的声明；

(Ⅲ) 申请人在申请之日所知道的可能会促成CAAC或FAA颁发专用条件的任何新颖或独特设计特点；

(Ⅳ) 相对于出口国当局型号设计批准的适航标准的任何可能的豁免或等效安全结论；及

(Ⅴ) 预计完成时间。

221 初始熟悉性介绍

对于重大项目，在进口国当局收到并接受申请后以及在设计充分明确时，进

口国当局可尽快要求进行有关产品的熟悉性介绍。该介绍应在进口国当局、出口国当局和申请人同意参与的地点举行，介绍的主要目的将使：

(a) 申请人向进口国当局说明设计。该介绍(或一系列介绍)应包括设计的所有方面。重点应放在任何新颖、独特或关键设计特性其可能会致使进口国或出口国当局颁发专用条件或现行标准的新的诠释应用；

(b) 进口国当局参加与出口国当局和申请人对设计(包括出口国和进口国适航标准的特殊应用或解释)的详细技术讨论；和

(c) 对于产品的先前使用历史，申请人和出口国当局向进口国当局介绍产品使用历史，包括预防故障或事故发生的纠正措施。

222. 进口国当局型号合格审定基础的确定

(a) 进口国当局应按照其本国相似产品适航标准和环境标准对产品设计确定审定基础。并应考虑在出口国当局收到该产品型号设计批准申请之日在进口国有效的标准。

(b) 此外，进口国当局可以规定附加技术条件，以建立与其本国类似产品标准相等同的安全水平。

(c) 附加技术条件可由下列部分或全部组成：

(Ⅰ) 基于两国适航标准、使用情况、政策和指导性资料之间差异的附加适航条件。在中国，适航标准列于 CCAR 23 部至 35 部中； 在美国，适航标准列于 FAR 23 部至 35 部中。

(Ⅱ) 出口国当局适航标准不包括的确定新颖或独特设计特性的专用条件；

(Ⅲ) 基于等效安全结论评估和出口国当局对本国审定所给予申请人的豁免的适航条件；和

(Ⅳ) 在向进口国当局申请前由出口国当局所制定来纠正产品使用中出现的不安全条件的强制适航性措施(如适航指令)。

(d) 任何预期的豁免或等效安全水平(ELS)的决定均应形成问题纪要(见本程序 225)。根据所给予的豁免或等效安全水平结论，问题纪要结论应和使用限制一道作为型号审定基础的一部分，并且应作为型号合格证数据单的引用文件。

(e) 进口国当局型号审定基础已确定之后，进口国当局和出口国当局应联合制定进口国当局型号审定的适航和环境标准计划，以使：

(Ⅰ) 最大程度地认可出口国的国内审定计划；并且

(Ⅱ) 向进口国当局提供依据，以确定符合其本国适航标准或确定已满足等

效准则。

(f) 按照申请人的选择，运行要求也可在型号审定计划中得到评审。申请人这样做将有助于进口国航空器营运人获得所需要的航空器运行批准的颁发。

223. 资料提交和设计审查

所要求的产品技术资料将随产品的复杂程度和型号而不同。在颁发型号合格证之前，进口国当局可要求附加技术设计资料，可审查产品，还可为熟悉产品而试飞。同时，当出口国和进口国当局均认为必要时，进口国当局可试飞产品或对产品进行详细的审查以确保符合型号审定基础。在相应进口国或出口国当局认为必要的情况下，可以对某一适航标准的符合性进行联合确定。申请人应向出口国当局提交全部资料以用于鉴定和转送到进口国当局。

224. 技术会议

除初始熟悉性介绍外，有可能进行其他必要的会谈以确保报送出口国当局的附加技术条件得到理解并且重要的技术问题得到解决。所有的技术会议一般通过出口国当局来安排。会议地点可根据需要和重点而变化，并通常有进口国/出口国当局代表参加。此种会议(及会议指南)可包括：

(a) 由申请人、出口国当局或进口国当局为报告新进展、评审更改或解决技术符合问题而要求的技术会议；

(b) 为及时解决重要问题而在进口国当局和出口国当局之间进行的技术会议；

(c) 为向申请人阐明进口当局对于遗留技术问题的立场而由申请人和双方当局举行的技术会议；和

(d) 为使进口国当局在特定运行种类或条件下对产品运行认可，由进口国飞行运行、制造和维修专家参加的技术会议。

225. 问题纪要

问题纪要可由进口国当局准备，它描述了，在进口国当局颁发 TC 前，如型号审定基础，或在航空器能进行某类特殊使用前，如延伸航程运行，需要给予特别的注意并予以解决的问题。问题纪要正确格式和范围将由每一民用适航当局确定，并且其使用细节将提供给对方当局。

226. 型号设计更改批准

(a) 型号合格证持有人所需的型号设计更改（如型别更改)批准应由进口国当局按 TC 修正颁发。应使用类似于 22 节中所述的程序，但应根据设计更改的复杂性和等级进行调整。根据对进口国类似产品和情况的更改处理，进口国当局保留决定建议的更改是否重大到对型号设计更改要求新的型号合格证的权力。

(b) 除 226(a)节外，例行设计更改(如：用户特殊需要的项目，服务通告更改，及产品改进)一旦由出口国当局按其正常程序进行了批准，进口国当局则应考虑对其进行批准。这些变更的信息应及时地提供给进口国当局。

23. 航空器、航空器发动机和螺旋桨之外产品的设计批准

230. 申请

设计批准申请人应通过本国当局进行申请并请求将申请书和有关资料提供给进口国当局。

(a) 所有申请 FAA　TSO 设计批准的中国申请书应由 CAAC 寄往洛杉矶 ACO (ANM－100L)，3960 Paramount Blvd， Lakewood，CA 90712。

(b) 所有申请中国设计批准的美国申请书应寄往申请人受辖地区的 FAA 航空器审定办公室，他们将申请书寄往中国北京 CAAC 航空器适航司。附录 B 中列出了 FAA 航空器审定办公室、FAA 制造检查办公室、FAA 航空器合格审定中心、CAAC 地区适航处及航空器审定中心的地址清单。

231. 技术标准规定设计批准函

对于 FAA 技术标准规定(TSO)中所列出性能标准的设备，FAA 颁发 TSO 设计批准信函。对于已颁发中国技术标准规定(CTSO)的设备或有 FAA 颁发的 TSO 或联合航空当局(JAA)颁发的 TSO 的设备，CAAC 颁发 TSO 设计批准函。 TSO 设计批准的相应形式，在本细则的限定之内，在完成下述内容后，可由进口国当局颁发给申请人：

(a) 通过出口国当局收到并审查了申请人的声明，声明经出口国当局审定，该设备或零部件的性能符合相应的 TSO 或其他进口国当局可接受的标准；和

(b) 收到并审查了所要求的有关设备正确安装、性能，使用和维修的全部资料；

(c) 经双方适航当局共同同意，收到并审查了其它特定的技术数据，以验证符合一个 TSO 标准，例如：一类 TSO 项目的首次审查，或一个 TSO 设备特殊使用；并且

(d) 收到并审查了经出口国当局准许的任何偏差批准。偏差必须经进口国当局批准。

注：设计批准函不构成对 TSO 设备在一架单独航空器上的安装批准。申请人/安装人为使该设备使用在美国/中国注册的飞机上，必须获得本国民航当局的安装批准。

第三章　出口适航审查

30. 总则

出口国适航当局将对完整的航空器、航空器发动机和螺旋桨颁发出口适航证，出口国适航当局将对设备、零件和材料颁发出口适航批准证件，进口国适航当局将给予由出口国适航当局颁发的这些出口适航证和出口适航批准证件以相同于进口国适航当局根据其本身的有关法律、法规和要求而颁发的同类证件的合法效力。

31. 生产质量保证/控制系统批准

根据双边适航协议的条款而出口的所有产品应在出口国适航当局所批准和认可的生产质量保证/控制系统下生产，以确保符合进口国所批准的型号设计并且确保完成的产品处于安全可用状态。因此，尽管双边适航协议始终具有要进口国适航当局应在初期及重复的基础上熟悉制造厂生产质量保证/控制系统的目的，但进口国适航当局仍无需对制造厂的生产质量保证/控制系统单独批准。

32. 出口适航证及出口适航批准证件(适航批准标签)的颁发和认可

320. 完整的航空器、航空器发动机和螺旋桨

进口国适航当局将认可出口国适航当局颁发的航空器、航空器发动机或螺旋桨的出口适航证，当出口国适航当局证实其每一产品：

(a) 符合进口国适航当局批准的型号设计、被详细列人进口国适航当局的型号合格证数据单；

(b) 是处于安全可用状态，包括符合有关进口国适航当局强制性适航性改装和特殊检查；

(c) 满足进口国适航当局的专用要求；和

(d) 对于航空器发动机或螺旋桨，已进行了最终功能检查。

321. 设备

进口国适航当局将认可出口国适航当局颁发的设备的出口适航证件，当出口国适航当局证实每一设备：

(a) 满足进口国当局有关的 TSO 要求；

(b) 符合有关的进口国适航当局强制性适航性改装和特殊检查：

(c) 按照本程序 330(a)(Ⅲ)或 331(a)(Ⅲ)分段做了标记；并且

(d) 满足进口国适航当局的专用要求。

322. 零件和材料

进口国适航当局将认可出口国适航当局颁发的零件和材料的出口适航批准证件，当出口国适航当局证实每一产品：

(a) 符合批准的设计数据；

(b) 按照本程序 330(a) (Ⅳ)或 331 (a)(Ⅳ)分段做了标记；并且

(c) 满足进口国适航当局的专用要求。

323. 出口适航证例外

任何与进口国当局批准的型号设计的不符合情况将由出口国当局在出口适航证文件中当做例外加以注明。任何在航空器、航空器发动机或螺旋桨的出口适航证上注明的例外将由申请者/安装者在航空器取得中国或美国适航证资格之前予以解决。

324. 出口适航批准证件例外

任何与进口国当局批准的设计的不符合情况将由出口国当局在出口适航批准证件上加以注明。任何在出口适航批准证件中注明的例外将由申请者/安装者在航空器取得中国或美国适航证资格之前予以解决。

33. 进口产品附加要求

以下内容规定了对进口到中国/美国的产品或用于中国/美国注册的航空器上的产品所必须满足并做为认可条件的那些附加要求。

330 美国要求

(a) 标识和标记

(Ⅰ) 航空器、航空器发动机、螺旋桨必须按 FAR 45.11 规定的方式进行标识并且有 FAR 45.13 规定的内容。

(Ⅱ) FAR45.14 中确定的用于最初产品制造的关键部件，或被用于做为备件或更换/改装件必须有件号(或等同)和序号(或等同)。

(Ⅲ) 被 FAA TSO 设计批准函批准的设备和部件必须按 FAR 21 部 O 分部列出的要求做出标识，以及任何在 TSO 中特别规定的附加标记。批准的偏差应由 TSO 设计批准持有人在 TSO 设备上做出标识或在附着的限制中注明。

(Ⅳ) 做为备件或更换/改装件的零件和材料必须有件号、序号标识(如适用)、制造厂名称或商标。另外必须提供有关该零件或材料有资格被安装在型号审定产品的指定型号的有关内容。

(b) 持续适航文件

每一航空器、航空器发动机及螺旋桨必须配有持续适航文件及制造人维修手册，包括适航限制章节。

(c) 维修记录

每一航空器，包括航空器发动机、螺旋桨、旋翼或设备，必须带有等同于 FAR91.417 条中规定的那些维修记录，以反映要求的检查状态，寿命限制等。

331 中国要求。

(a) 标识和标记

(Ⅰ) 航空器、航空器发动机、螺旋桨必须按 CCAR 21.56 规定的方式进行标识并且有 CCAR 2l.56 规定的内容。

(Ⅱ) 凡在制造厂编发的维修手册的适航限制部分或持续适航文件中规定有更换时间，检查间隔或相应程序的关键部件，其制造人应在该部件上标注永久的、清晰可见的件号(或等效的号码)及序列号(或等效的号码)。

(Ⅲ) 被 CAAC CTSO 设计批准函批准的设备和部件必须按 CCAR 21 部 H 分部列出的要求及任何在 TSO 中特别规定的附加要求做出标记，批准的偏差应由 TSO 设计批准持有人在 TSO 设备上做出标识或在附着的限制中注明。

(Ⅳ) 作为备件或更换/改装件的零件和材料必须有件号、序号标识(如适用)、制造厂名称或商标。另外，必须提出有关该零件或材料有资格被安装在型号审定产品的指定型号的有关内容。

(b) 持续适航文件

每一航空器、航空器发动机及螺旋桨必须配有持续适航文件及制造人维修手

册，包括适航限制章节。

(c) 维修记录，产品必须带有等同于 CCAR 145.51 条中规定的那些维修记录，以反映要求的检查状态，寿命限制等。

34. 供应商条款

如本细则第 31 节所规定，产品制造厂所在国的适航当局可向产品制造厂供应商所在国的适航当局索取该供应商所生产的指定的组件、零件、材料和部件的制造符合性证件。

340. 制造符合性审查请求

当与供应商所在国的适航当局已达成协议，可请求作此种合格审定，经过两个民航当局之间商议对要做的具体工作需制订专门的程序，并且当：

(a) 产品制造厂已制定并实施了产品制造厂的适航当局认可的、能确保供应商所提供的部件符合有关设计资料和处于安全可用状态的质量控制程序。这将包括由产品制造厂视需要在供应商工厂实地对其能力作初步评估、首件检验、进行任何随后的审核、评审和来料检查等后做出最后适航性决定的条款。

(b) 当适航当局在必要时为确保并证实产品制造人对其供应商确有充分的控制及制造的产品满足批准的设计并处于安全可用状态时，由产品制造厂适航当局——而不是产品制造厂——请求做制造符合性合格审查。

(c) 产品制造厂适航当局通知供应商适航当局，部件必须符合的设计、试验和质控要求。

CAAC 制造符合性检查请求将被送到列在附录 B 中相应的负责特定产品的 FAA 审定中心的制造检查办公室。

FAA 制造符合性检查请求将被送到 CAAC 航空器适航司，中国北京东四西大街 155＃100710。

341. 部件类别

制造符合性合格审查请求应限于那些其复杂程度在安装到最终产品上之前产品制造厂或进口国当局不能检验并且属于下列类别之一的部件：

(a) 在一个型号合格审定项目期间用于做设计评估目的的原型机部件。

(b) 预生产部件，即型号合格证已发，但尚未授予生产权利之前的用在完工的

产品提请作适航合格审定或批准的部件。

(c) 属于重要零件类的作首件检验的生产部件。

注：对美国来说，一个重要零件是指在 FAA 批准的设计中的任何零件或组件，即，如果它失效，可能会预期引起飞机、发动机或螺旋桨的不安全状态。

(d) 适航当局发现有安全问题，或其它特定需要反馈到产品制造厂的生产部件。

342. 偏差

供应商适航当局将把对产品制造厂适航当局所通知的任何偏差记在特定的组件、零件、材料或部件的制造符合性证件上。

第四章　持续适航

40. 总则

出口国当局负责支持出口的产品的持续运行安全。进口国当局，当颁发了进口型号合格证或 TSO 设计批准函则分担保证产品在进口国注册运行期间的持续适航的责任。在双边适航协议的规定下， 出口国当局有责任帮助进口国当局解决使用中与设计、生产或运行有关的安全问题。出口国当局应向进口国当局提供强制性改装、限制和/或检查所必需的信息，以保证产品的持续适航。进口国适航当局将评审和颁发自己的强制性纠正措施，通常是接受出口国当局所采取的纠正措施。

应进口国当局的要求，在产品设计和制造方面，出口国当局应帮助进口国当局确定进口国当局认为必要的措施以保证产品的持续适航性。有关要采取的最终措施由进口国当局自行决定。

4l. 使用困难报告

双方当局同意在对方要求下，向对方提供在使用中发生的功能丧失、故障、缺陷和事故的资料。

FAA 地址：

TSO 设备：
Los Angeles Aircraft Certification Office
ANM-100L
3960 Paramount Blvd
Lakewood, CA 907l2
USA
Telephone：(310)627-5200
Fax：　　(310)627-5210

CAAC 地址：

中国民航总局
航空器适航司
中国・北京
东四西大街 155＃、100710
电话：(86-10)4012233 转 8956
传真：(86-10)4033087

小飞机，通勤类飞机，滑翔机，飞艇，及热气球：
Small Airplane Directorate
601 East l2th Street
Kansas City, MO 64106
USA
Telephone：(8l6)426－6937

Fax： (816)426－2169

运输类飞机：
Transport Airplane Directorate
1601 Lind Avenue, SW
Renton, WA 98055-4056
Telephone：(206)227-2104
Fax： (206)227-1100

旋翼机：
Rotorcraft Directorate
2601 Meacham Blvd.
Fort Worth, TX 76137-5100
Telephone：(817)222-5100
Fax： (817)222-5959

航空器发动机、螺旋桨、及辅助动力装置：
Engine and Propeller Directirate
12New England Executive Park
Burligton, MA 0l803
Telephone：(617)238-7100
Fax： (617)238-7199

4ll. 不安全状况通告

当进口国的使用经验表明在产品的设计、制造或运行/维护方面存在不安全情况时，这类信息应立即提供给出口国当局，当这种信息提供后，出口国当局应对这类信息给予及时的关注，并考虑采取恰当的措施纠正这种状态，并通告进口国当局。

4l2. 强制性适航措施

在强制性适航措施情况下，任一方民用适航当局应立即采用电话或传真使对方得到其准备颁发及最终颁发的所有强制性适航改装、特殊限制或特殊检查方面的全面信息(见 41 条电话及传真)。发送信息的民用适航当局应确定要求采取强制

性适航措施的安全问题(不安全状态)。对于紧急适航信息，发送信息的民用适航当局应保证有特殊处理方式，以便另一方民用适航当局可立即得到通知并能在原始的措施限制内采取恰当的平行措施。

第五章　责任

50. 总则

每个适航当局对另一方有责任保证按本章的规定对按双边适航协议已进口或出口的且具有该适航当局发给该国境内的法人以有效型号合格证或生产批准书的产品的设计或制造方面的缺陷予以纠正。当缔约国境内的法人只负设计或制造责任时，该适航当局在本章条款的责任将限制在同等水平，这些责任包括：

501. 通讯

有必要继续 CAAC/FAA 的对话来保证对一个指定产品颁发相同或一致的信息和要求。CAAC 和 FAA 都同意双边适航协议下交换的适航文件的语言为英语。

502. 事故/事件调查支援

当一个进口国当局因调查涉及到一个在双边适航协议下进口的产品的使用事故或事件时，需要适航方面的信息时，对信息的要求应直接向相应的出口国适航当局的办公室提出。接到对信息的要求后，出口国适航当局应立即采取一切手段保证及时地提供要求的信息。在紧急情况下，当不能立刻与出口国当局建立联系时，进口国当局可直接向制造商索取有关资料，进口国当局应立即把此情况通知负责的出口国当局有关办公室。

51. 专用资料的保护

双方当局都认识到设计批准持有人提交的数据属于持有人所专用，CAAC 或 FAA 发送这些数据是受限制的。CAAC 和 FAA 同意在没有提供对方当局设计批准持有人的书面同意时，不向 CAAC 或 FAA 之外的任何人复制、发放或展示从每一当局获得的专用数据。

52. 强制措施

对美国，FAA 符合性和强制大纲的主要目的是使合格证持有人符合 1958 年联邦航空法(FA ACT)和在其下颁发的适用条例。

当强制措施与出口产品的初始或持续适航有关时，CAAC 和 FAA，做为出口国，应尽快通知另一方对出口生产批准持有人进行的任何调查或采取的任何强制措施。这个通知可以单独发送，或同第四章，411 条中提及的不安全状态的通知一

起发送。

CAAC 和 FAA 同意在调查任何被认为或被怀疑违背 CAAC 或 FAA 条例的情况时，相互合作及相互支援。

第六章　相互合作及技术支援

60. 通讯和会议　产品型号设计批准书的申请人经常请求与进口国当局开技术会议或直接和进口国当局直接通讯以讨论和解决通常在申请人的项目中发生的技术问题。因为每方的适航当局大量地依赖另一方对其在这些问题上的立场的理解，出口国当局应当介入这样的会议或通讯。每方的适航当局在解决申请人项目的重大争议问题之前，应当征求另一方适航当局的意见，除非邀请另一方的适航当局，否则一般不鼓励与申请人开会讨论和解决技术问题。同样，来往信函一般通过与出口国当局协调后答复。

61. 技术评估支持　根据请求和双方协议，一方适航当局可向另方适航当局或能代表另方适航当局提供技术评估支持，以实现双边适航协议的目的和目标，这样的援助范围可以包括但不限于目击试验、进行检查、评审报告和获得数据。

62. 标准及审定系统信息交换　众所公认，顺利地执行双边适航协议的重要因素是出口当局对进口当局的规章、政策、习惯做法及其解释的彻底的和最新的理解。应及早保证每方适航当局有一整套另方适航当局的规章，指导性文件，政策、习惯做法和其解释，或者是有这样的信息来源。由于这样的规章、政策、习惯做法及其解释是经常不断地审核和修订的，因此允许和鼓励出口当局最大限度地参与审核和修订过程。应及早和直接通知所有意见，及早通知所采纳的任何更改的内容，其影响和生效日期。

63. 自由进入

(a) CAAC 同意 FAA 可继续自由进入，参与 CAAC 对在中国境内的 FAA 批准书持有人及其供应商的检查，以及独立对上述单位进行检查。

(b) FAA 同意 CAAC 可继续自由进入，参与 FAA 对在美国境内的 CAAC 批准书持有人及其供应商的检查，以及独立对上述单位进行检查。

64. 管理机构重大变更

每方当局应向另一方当局通报其法定职责、组织机构、生产监控、或委任职责上的任何重大变更。另一方当局有权使自己熟悉这些变更，包括实地与另一方当局讨论及任何必要的评估，以确保这些实施程序继续可接受。

第七章　特殊安排

对于本实施程序细则未曾特别提到，但双边适航协议预计的设计、产品适航审定或认可或技术支援以及紧急和独特的情况发生时，应各自由中国民航总局航空器适航司司长和联邦航空局航空器审定司司长审查，并制订一个程序来处理这种情况。该程序应经中国民航总局和联邦航空局相互同意单独放在一个执行文件里。如果情况明显属于独特，很少可能会重复， 则该执行文件的有效期是有限的。然而如果已预料的新技术或管理的发展会导致进一步的重复，则本实施程序细则应据此由中国民航总局局长和联邦航空局局长修改。应当指出，当独特或紧急情况属于联邦航空局航空器审定中心经理的责任时，该经理将负责制订必需的程序。由双方当局共同制定的特殊安排列在附录 C 中。

本实施程序细则取代 1991 年 10 月 19 日的细则，已由下列签字人审核和批准。

本实施程序细则用中文、英文写成，两种文本同等作准。

中国民用航空总局局长	美国联邦航空局局长
陈 光 毅　(签字)	David Hinsen　(签字)
日期：1995 年 3 月 23 日	日期：1995 年 3 月 23 日

April 10, 1995

Procedures for Revising Appendix A to
the Schedule of Implementation Procedures (SIP) Between
FAA and General Administration of Civil Aviation of China(CAAC)
and Issuance of an FAA Letter of TSO Design Approval

Procedures for Revision to Appendix A of the SIP

1. The CAAC-AAD is to notify the FAA, Los Angeles Aircraft Certification Office (LAACO), Technical and Administrative Support Staff, upon receipt of a request from a Chinese manufacturer for an FAA Letter of TSO Design Approval for a TSO currently not listed in Appendix A of the SIP. The CAAC-AAD notification should be via a fax message proposing a revision to Appendix A of the SIP.

2. Upon receipt of the CAAC-AAD fax, the LAACO will notify both the CAAC-AAD and Aircraft Certification Service, AIR-4, whether or not an FAA Technical Evaluation is needed due to the complexity of the specific TSO. (FAA anticipates that at a minimum TSO's requiring certification to DO-160 or DO-178 standards will require evaluation.)

3. If the LAACO determines that a FAA Technical Evaluation is not needed, the Aircraft Certification Service, AIR-4, will initiate a revision to Appendix A of the SIP. AIR-4 will notify the CAAC-AAD of such, and forward two FAA signed copies of the revision in the English language to CAAC-AAD for their signature.

   If the LAACO has determined that an FAA Technical evaluation is needed, the Procedures for an FAA Technical Evaluation, as outlined below should be followed. Upon successful completion of the Technical Evaluation the LAACO will notify AIR-4, of such. AIR-4 will then forward two FAA signed copies of the revision in the English language to the CAAC-AAD for their signature.

4. CAAC-AAD will translate the revised appendix into Chinese, sign two copies of the Chinese translated revision, sign the two copies (English language version) made available in step 3 above, and return one FAA/CAAC signed copy of the English language revision with the two CAAC signed copies of the Chinese version to AIR-4.

5. The Director, Aircraft Certification Service, AIR-1, will sign the two copies of the Chinese version and AIR-4 will return one copy to CAAC-AAD.

6. AIR-4 will notify the LAACO of the approval by both authorities of the revision to the SIP.

April 10, 1995

Procedures for an FAA Technical Evaluation

1. Prior to the FAA visit, CAAC-AAD will evaluate the Chinese applicant's technical data package: request for an FAA TSO Letter of Design Approval, Statement of Compliance, and supporting data required by the TSO. When this data is acceptable to the CAAC, the CAAC-AAD will transmit all documentation to the LAACO, along with CAAC-AAD's certification statement that the appliance has been examined, tested and found to meet the applicable TSO.
   The LAACO will advise CAAC-AAD in writing of the proposed dates for the evaluation.

2. The LAACO will review all TSO technical data prior to conducting the evaluation. After the evaluation, the CAAC-AAD and the applicant will be notified, in writing, of any required corrective actions deemed necessary. The LAACO will provide all comments, in writing, within 30 days.

3. Upon completion of the FAA Technical Evaluation, the LAACO will notify and provide a recommendation to AIR-4 for the revision to the SIP. AIR-4 will proceed as outline in step 3 of the Procedures for Revision to Appendix A of the SIP.

Procedures for Issuance of an FAA Letter of TSO Design Approval

1. The CAAC-AAD will evaluate the Chinese applicant's technical data package: request for an FAA Letter of TSO Design Approval, Statement of Compliance, and supporting data required by the TSO. When this data is acceptable to the CAAC, the CAAC-AAD will transmit all documentation to the LAACO, along with CAAC-AAD's certification statement that the appliance has been examined, tested and found to meet the applicable TSO.

2. The LAACO will review the submitted data and either issue the FAA Letter of TSO Design Approval or provide written comments within 30 days of receipt. If a revision to Appendix A of the SIP is required, the LAACO will issue the FAA Letter of TSO Design Approval upon notification from AIR-4 of approval by both authorities.

3. The LAACO will transmit the FAA Letter of TSO Design Approval to the CAAC-AAD along with a copy for CAAC-AAD's transmittal to the Chinese Applicant.

APPENDIX A

List of U.S. Technical Standard Order (TSO) Appliances Eligible
To Be Exported from China for Import to the U.S.

Revisions to this Appendix must be co-signed by both the FAA and CAAC.

Name	TSO Number
Aircraft Tires	TSO-C62d

FAA: *Thomas E. McSweeny* Date: *March 24, 1995*	CAAC: *Wu Xiangru* Date: *May 24, 1995*

Name	TSO Number
Life Preservers	TSO-C13f
Cargo Pallets, Nets and Containers	TSO-C90c

FAA: *Elizabeth Erickson* Date: *April 12, 1999*	CAAC: *Zhang Youtheng* Date: *April 12, 1999*

Name	TSO Number
Survivor Locator Lights	TSO-C85A

FAA: [signature] Date: 6/13/05	CAAC: [signature] Date: 6, 13, 2005

附录 B

FAA 航空器审定办公室，FAA 制造检查办公室，FAA 航空器审定中心及 CAAC 地区适航处，CAAC 航空器审定中心地址清单。

FAA 航空器审定办公室

Brussels ACO (AEU-100)
FAA/Aircraft Certification Office
15 Rue de la Loi (Ist Floor)
B-1040
Brussels, Belgium
Telephone：(32-2)513-38-30 Ext.2710
Fax： (32-2)230-6899

Boston ACO (ANE-150)
FAA/Aircraft Certification Office
12 New England Executive Park
Burlington, MA 01803
Telephone：(617)238-7150
Fax： (617)-238-7199

Boston ECO (ANE-140)
FAA/Engine Certification Office
12 New England Executive Park
Burlington, MA 01803
Telephone：(617)238-7140
Fax： (617)238-7199

New York ACO (ANE-170)
FAA/Aircraft Certification Office
10 Fifth Street
Third Floor
Valley Stream, NY 11581-1200

Telephone：(516)256-7501
Fax： (516)568-2716

Atlanta ACO (ACE-115A)
FAA/Aircraft Certification Office
Suite 210C
1669 Phonenix Parkway
Atlanta, GA 30349
Telephone：(404)991-6121
Fax： (404)991-3606

Chicago ACO (ACE-115C)
FAA/Aircraft Certification Office
2300 East Devon Avenue
Room 232
Des Plaines, IL 60018
Telephone：(708)294-7357
Fax： (708)294-7834

Wichita ACO (ACE-115W)
FAA/Aircraft Certification Office
1810 Airport Road
Room 100, Mid-Continent Airport
Wichita, KS 67209
Telephone：(316)946-4106
Fax： (316)946-4407

Anchorage ACO (ACE-115N)
FAA/Aircraft Certification Office
605 W. 4th Avenue
Room 214
Anchorage. AK 99501
Telephone：(907)271-2669
Fax： (907)279-2527

Seattle ACO (ANM-100S)
FAA/Aircraft Certification Office
1601 Lind Avenus, S.W.
Renton, WA 98055-4056
Telephone：(206)227-2180
Fax： (206)227-1181

Denver ACO (ANM-191D)
FAA/Aircraft Certification Field Office
5440 Rosslyn Street, Suite 133
Denver, CO 80216
Telephone：(303)286-5681
Fax： (303)286-5689

Los Angeles ACO (ANM-100L)
FAA/Aircraft Certification Office
3960 Paramount Blvd.
Lakewood, CA 90712
Telephone：(310)627-5200
Fax： (310)627-5210

Fort Worth ACO (ASW-150)
FAA/Airplane Certification Office
2601 Meacham Blvd.
Fort Worth, TX 76137-4298
Telephone：(817)222-5150
Fax： (817)222-5959

Fort Worth RCO (ASW-170)
FAA/Rotorcraft Certification Office
2601 Meacham Blvd.
Fort Worth, TX 76137-4298
Telephone：(817)222-5170
Fax： (817)222-5959

FAA 制造检查办公室

Engine and Propeller Directorate Manufacturing Inspection Office
12 New England Executive Park
Burlington, Massachusetts 01803
Telephone：(617)238-7180
Fax：　　(617)238-7199

Rotorcraft Directorate Manufacturing Inspection Office
2601 Meacham Blvd.
Fort Worth, TX 76137-4298
Telephone：(817)222-5180
Fax：　　(817)222-5962

Small Airplane Directorate Manufacturing Inspection Office
601 East 12th Street
Kansas City, MO 64106
Telephone：(816)426-5955
Fax：　　(816)426-3590

Transport Airplane Directorate Manufacturing Inspection Office
1601 Lind Avenue, SW
Renton, WA 98055-4056
Telephone：(206)227-2108
Fax：　　(206)227-1100

FAA 航空器审定中心

航空器审定中心具有为特定航空器型号及航空器产品规范化及标准化管理的职责。

发动机及螺旋桨中心　(ANE-100)
管理并为所有航空器发动机、螺旋桨及辅助动力装置制定政策。
12 New England Executive Park
Burlington, Massachusetts 01803

Telephone：(617)238-7100
Fax：　　(617)238-7199

旋翼机中心　(ASW-100)
管理并为正常类、运输类旋翼机制定政策
2601 Meacham Blvd.
Fort Worth, TX 76137-4298
Telephone：(817)222-5100
Fax：　　(817)222-5959

小飞机中心　(ACE-100)
管理并为下述产品制定政策：
1. 重量低于 12, 500 磅，乘员 9 人或以下构型的飞机。
2. 重量 19,000 磅或以下，乘员 19 人或以下构型的通勤类飞机。
3. 滑翔机、飞艇及热气球。

办公室地址：
1201 Walnut, Suite 900
Kansas City, MO 64106
Telephone：(816)406-6937
Fax：　　(816)426-2169

邮寄地址：
601 East 12th Street
Kansas City,　MO 64106

运输类飞机中心　(ANM-100)
管理并为所有运输类飞机制定政策。
1601 Lind Avenue, S.W.
Renton, WA 98055-4056
Telephone：(206)227-2104
Fax：　　(206)227-1100

CAAC-AAD 地区适航处

华北适航处：(010)64561593/(010)64562342
　　北京首都机场/100621
东北适航处：(024)8294340/(024)8295794
　　沈阳大东区小河沿路 3 号(东塔机场)/110043
华东适航处：(021)2688899-2279/(021)2688950
　　上海虹桥机场/200335

西南适航处：(028)5581466-2303/(028)5581340
成都双流机场/601202
西北适航处：(029)8701079 或 4261526/(029)4261526
西安市劳动南路中段　民航西北管理局/710082
中南适航处：(020)6578901-2307/(020)6686946
广州白云机场/6510406

CAAC 航空器审定中心

上海审定中心：(021)2687788-6112/(021)2688434
上海虹桥机场/200335
沈阳审定中心：(024)8294375/(024)8294012
沈阳大东区小河沿路 3 号(东塔机场)/110043
西安审定中心：(029)4262470/(029)4262470
西安市劳动南路中段　民航西北管理局/710082
成都审定中心：(028)5581466-3650/(028)5581340
成都双流机场/601202

附录 C

特殊安排清单

1. 特殊安排名称：中国民用航空局和美国联邦航空局关于监督在中华人民共和国制造 MD-80 系列飞机的工作程序。

签署日期：CAAC：1991 年 10 月 19 日；FAA：1991 年 6 月 27 日

2. 特殊安排名称：中国民用航空局与美国联邦航空局运输飞机审定中心间的工作计划--在中华人民共和国制造的 MD-80 系列飞机。

签署日期：CAAC：1991 年 10 月 19 日；FAA：1991 年 6 月 27 日

3. 特殊安排名称：中国民用航空总局航空器适航司与美国运输部联邦航空局航空器审定司关于在中华人民共和国(P.R.C)制造的 MD-80/MD-90 系列飞机监督的工作程序。

签署日期：CAAC：1994 年 6 月 10 日；FAA：1994 年 6 月 10 日

APPENDIX D

Clarification of Scope of This Schedule of Implementation Procedures

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Paragraph 13 of this document reads

> " P.R.C. acceptance of FAA Export Certificates of Airworthiness for aircraft, aircraft engines, and propellers and certificates of airworthiness for export for appliances, parts, and materials for which the FAA is the exporting authority."

In this paragraph, the term "parts" means replacement, and modification parts manufactured under any FAA production approval. This includes replacement and modification parts manufactured by an FAA Parts Manufacturer Approval (PMA) holder

FAA: John J. Hickey	CAAC:
Date: 5/3/03	Date: 2003.3.5

SPECIAL ARRANGEMENT FOR EXCHANGE OF CONTINUING AIRWORTHINESS INFORMATION BETWEEN FAA AND CAAC

This document describes the process for notification of the exporting authority (State of Design) in the case when the importing authority is notified of a serious malfunction, defect, failure or incident/accident in service. It clarifies the commitments identified in paragraph 41 of the Schedule of Implementation Procedures for the U.S./People's Republic of China bilateral airworthiness agreement.

GENERAL

Both authorities recognize that the importing authority has the right to investigate service incidents occurring within its country and that the exchange of information with the exporting authority does not limit this investigation in any way.

All notifications of serious service difficulties (Malfunction or Defect Reports/Aircraft Operational Main Event Reports) will be provided to the counterpart authority's designated office within 10 working days of the authority's receiving notification. Both authorities will use the most expedient means available to deliver this information, e.g. fax or electronic mail.

Notifications (for events as described on page 4) will include as much detail as possible about the event.

U.S. AERONAUTICAL PRODUCTS

CAAC Responsibilities

CAAC's Airworthiness Engineering Division will provide fax notification of a significant in-service problem to the following offices:

- *Event involving an Aircraft Engine or Propeller*

  Engine Certification Office, ANE-140
  12 New England Executive Part
  Burlington, MA 01803
  Fax: 1-781-238-7199
  mark.fulmer@faa.gov

- *Event involving an Aircraft*

  International Branch, ANM-116
  Transport Airplane Directorate
  1601 Lind Avenue, SW
  Renton, WA 98055-4056
  Fax: 1-425-227-1100

norm.martenson@faa.gov

If a situation is considered so serious that immediate response is needed by CAAC, a copy of the notification will be provided to the International Airworthiness Programs Staff, AIR-4.

The CAAC will provide the designated FAA office with translated copies of the original Aircraft Operational Main Event Report or, if provided in some other format, all the information contained on the original event report.

FAA Responsibilities

FAA will respond to all CAAC notifications within 60 days identifying:

a) the office to whom investigation of the incident has been assigned,
b) status of the investigation; if no investigation is deemed necessary, FAA will provide an explanation of its decision.
c) any additional information needed from CAAC or the operator to complete FAA's investigation

FAA will provide a final report to CAAC closing out incidents that were investigated by the FAA.

CHINESE AERONAUTICAL PRODUCTS

FAA Responsibilities

The FAA responsible office will provide fax notification to the CAAC Airworthiness Engineering Division of any significant in-service problems experienced with Chinese manufactured products operating in the United States.

Airworthiness Engineering Division
General Administration of Civil Aviation of China
155 Dong Si Street West
Beijing,
P. R. China

Telephone: 86-10-6-4091183
Fax: 86-10-64031730

Copy for incidents involving Y-12 (IV):
Shengyang Aircraft Certification Center
Northeast China Administration of CAAC
Shengyang Dongta Airport
110043 Shengyang
P. R. China

Telephone: 86-24-882-93935
Fax: 86-24-882-94012

CAAC Responsibilities

The CAAC (Airworthiness Engineering Division or Shengyang ACC) will respond to all FAA notifications within 60 days identifying:

a) the office to whom investigation of the incident has been assigned,
b) status of investigation; if no investigation is deemed necessary, CAAC will provide FAA an explanation of its decision.
c) any additional information needed from FAA or the owner/operator to complete CAAC's investigation

CAAC will provide a final report to FAA closing out incidents that were investigated by the CAAC.

DEFINITION OF SIGNIFICANT IN-SERVICE PROBLEMS:

Notification will be provided of the following, failures, malfunctions, or defects encountered in service.

(A) Aircraft:

(i) Structural or flight control system malfunction, defect, or failure which causes an interference with normal control of the aircraft which derogates the flying qualities.
(ii) A complete loss of more than one electrical power generating system or hydraulic power system during a given operation of the aircraft.
(iii) Failure or malfunction of more than one altitude, airspeed, or altitude display, respectively, during a given operation.
(iv) Parts or assemblies such as engine, flaps, etc., separating from aircraft during operation.
(v) Hazardously misleading information from navigation systems.
(vi) Flight crew indicating, alerting, or warning system failures, malfunctions, or defects.
(vii) Loss of brake actuating force during aircraft operation.
(viii) Fuselage de-pressurization.
(ix) Any other safety situation viewed as serious by CAAC of FAA management.

(B) Engines:

(i) Failures which are uncontained.
(ii) Fires caused by a system or component failure.
(iii) Flammable fluid leakage in areas where an ignition source normally exists.
(iv) Abnormal vibration caused by a failure, malfunction, or source defect.
(v) Failures which result in an in-flight engine shutdown.
(vi) Engine system failures, malfunctions, or defects which cause damage to the adjacent aircraft structure, equipment, or components.

Operating Principles between
Federal Aviation Administration (FAA) Technical Assistance Branch and the General Administration of Civil Aviation of China (CAAC)

FAA has established a Technical Assistance Branch to support the continued development of the CAAC during its type certification of the ARJ-21 regional jet. This Technical Assistance Branch is a unit of the International Policy Office, AIR-40 in the FAA's Aircraft Certification Service. This Branch will provide on-the-job training in 14 CFR part 25 to CAAC specialists.

The Technical Assistance Branch Manager is accountable to the Manager, AIR-40 for the daily operation of the branch.

Contacts:

All CAAC requests for FAA assistance/involvement will be transmitted to the Manager (or Acting Manager), FAA-Shanghai. CAAC and FAA counterpart focal points are listed in Attachment 1.

FAA specialists will be available for meetings in CAAC or ACAC offices (provided CAAC is participating.)

CAAC and FAA branch management will have a regular (i.e., monthly) meeting/telecon to review the status of activities on the project. FAA and CAAC will document these discussions.

Funding

FAA will fund travel for the activities of the Branch. FAA may accept local transportation from CAAC or ACAC suppliers.

Any extraordinary requests for support may be subject to CAAC reimbursement (e.g. travel outside of China or the United States). Such requests will require the conclusion of an appendix to the reimbursable annex of the FAA/CAAC Memorandum of Agreement.

Assistance in China that is outside the expertise of the Branch will also require CAAC reimbursement.

Other

FAA specialists will facilitate communications related to assisting CAAC with supplier surveillance and witnessing activities in the United States.

FAA specialists will assist CAAC in review and responses regarding Issue Papers, Special Conditions, Equivalent Safety Findings, Certification Plans, Test Plans, Means of Compliance, Type Inspections Authorizations, etc.

FAA specialists will coordinate any policy issues with the FAA's Transport Airplane Directorate, ANM-116.

Mary Cheston

Manager, International Policy Office
FAA

2006. 8. 30

Deputy Director, Aircraft
Airworthiness Certification Dept.
CAAC

Attachment 1

FAA and CAAC Specialist Counterparts

FAA	CAAC
Daniel Kutz, Structures FAA Beijing Email: daniel.kutz@faa.gov Phone: 6532-0208 Fax: 6532-6473	Madame Ma Jian, Structures Subteam Lead CAAC Xian Email:majian@caac-team.org.cn Phone:1320188 1065 (c) Fax:
Ruth (Ru Chien) Hirt, Avionics FAA Shanghai Email: ruth.hirt@faa.gov Phone: TBD Fax: TBD	Mr. Sun Anhong, Avionics Subteam Lead CAAC Shanghai Email: sunanhong@caac-team.org.cn Phone: 021 51126122, 13916706368 (c) Fax: 021 62688434

Attachment 1

FAA and CAAC Specialist Counterparts

FAA	CAAC
Daniel Kutz, Structures FAA Beijing Email: daniel.kutz@faa.gov Phone: 010-6532-0208 Fax: 010-6532-6473	Ma Jian, Structures Subteam Lead CAAC Xian Email: majian@caac-team.org.cn Phone:1320188 1065 (c) Fax:
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SCHEDULE
OF
IMPLEMENTATION PROCEDURES

U.S./PEOPLE'S REPUBLIC OF CHINA
BILATERAL AIRWORTHINESS AGREEMENT

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INTRODUCTION

This document contains the procedures developed by the Federal Aviation Administration (FAA) and the General Administration of Civil Aviation of China (CAAC) to implement the Agreement between the Government of the United States of America (U.S.) and the Government of the people's Republic of China (P.R.C) concerning the airworthiness certification, approval, or acceptance of imported aeronautical products effected by exchange of notes at Beijing, P.R.C., October l4, 1991. This Schedule of lmplementation Procedures replaces the earlier Schedule dated October l9, 1991.

These Procedures are intended to facilitate the mutual cooperation, and technical assistance for aircraft and other aeronautical products being manufactured In the US and In the P.R.C. These Procedures also provide for designated officials within the FAA and CAAC to make special arrangements as they deem necessary in unique situations to implement this Schedule.

This Schedule may be jointly reviewed at any time at the request of either the FAA or CAAC and will be reviewed periodically, taking into account improvements, additions, or changes suggested by either the FAA or CAAC, by U.S. or P.R.C. aviation industry associations or their member companies, or by other interested parties, to ensure that the Procedures remain current, Amendments and revisions shall be co-developed and signed by the FAA Director of Aircraft Certification Service and the CAAC, Director General of the Aircraft Airworthiness Department.

Suggestions for improvement are welcomed and can be addressed to either of the addresses below, which are responsible for the administrative process of keeping this document current. All changes to these Procedures, including Appendices, will be jointly administered by the FAA Aircraft Certification Service, AIR-4, and the CAAC Aircraft Airworthiness Department, Airworthiness Liaison Division.

FAA address：	CAAC address：
Aircraft Certification Service, AIR-4	Aircraft Airworthiness Department
Federal Aviation Administration	General Administration of Civil
800 independence Avenue, SW	Aviation of China
Washington, DC 2059l	l55 Dong Si Street, West
USA	Beijing l00710
	P.R.C.
Telephone：(l-202) 267-9559	(86-1)401-2233, Ext. 8956
Fax： (1-202) 267-5364	(86-1) 403-3087

SCHEDULE OF IMPLEMENTATION PROCEDURES

U.S./PEOPLE'S REPUBLIC OF CHINA BILATERAL AIRWORTHINESS AGREEMENT

CHAPTER 1. GENERAL

10. Purpose. This Schedule sets forth procedures agreed upon between the Federal Aviation Administration (FAA) and the General Administration of Civil Aviation of China (CAAC) to carry out the objectives of the Agreement between the United states of America and People's Republic of China, hereinafter referred to as the Contracting states, concerning the airworthiness certification of imported civil aeronautical products, effected by exchange of notes at Beijing, P.R.C., October 14, 1991.

11. Basis. The basis for this Schedule, which is authorized by Article 8 of the Bilateral Airworthiness Agreement (BAA), is stated in Section 2 of the BAA.

12. Objectives. The objectives of this Schedule are to carry out the Purpose and Scope clauses of the BAA and are intended to address:

120. Design approvals. The procedures for the approval of the type design of a product changes to the type design of a product, and the design approval for appliances, and replacement and modification parts, to establish compliance with the applicable airworhiness standards of the importing State civil airworthiness authority (importing authority) or criteria determined by the importing authority to provide a level of safety equivalent to its own.

l21. Export Certificates of Airworthiness .The procedures for Export Certificates of Airworthiness for an aircraft, aircraft engine, or propeller to facilitate acceptance by the importing authority to establish that the product conforms to the importing authority's approved type design and is in a condition for safe operation.

122. Certificates of airworthiness for export. The procedures for certificates of airworthiness for export (airworthiness approval tags) for appliances, parts and materials to facilitate acceptance by the importing authority to establish that the product conforms to the importing authority's approved design。

123. Continued airworthiness. The procedures for the continued operational safety of exported products to be taken by each civil airworthiness authority to ensure

that in-service safety issues are addressed and resulting corrective actions are carried out in a timely manner.

124. Accountability. The procedures for each civil airworthiness authority's responsibility to each other for the products imported and exported under this BAA, to ensure that safety issues which may arise with regard to the product in service will be satisfactorily resolved in a timely manner.

125. Mutual cooperation and technical assistance. The procedures which enable the FAA and the CAAC to exchange appropriate information needed to understand and conduct the approval and motoring processes within the scope of the BAA and to cooperate when technical assistance is needed by either civil airworthiness authority in fulfilling its national airworthiness regulatory duties.

l26. Special arrangements. The procedures which provide for the resolution by the FAA and the CAAC by special arrangement, as necessary, of urgent or unique situations not envisaged in this Schedule, provided the situation falls within the scope and purpose of the BAA.

13. Scope. This Schedule covers：

- P.R.C. acceptance of FAA Export Certificates of Airworthiness for aircraft, aircraft engines, and propellers and certificates of airworthiness for export for appliances, parts, and materials for which the FAA is the exporting authority.

- U.S. acceptance of CAAC Export Certificates of Airworthiness for small airplanes (with a maximum certificated take-off weight of l2,500 lb. or less) and commuter category airplanes (up to l9 passengers with a maximum certificated take off weight of l9,000 lb. or less) designed and manufactured in the P.R.C.,

- U.S. acceptance of CAAC export airworthiness approvals, as specified in Appendix A, for aircraft appliances manufactured in the P.R.C. and that have been found to meet the performance standards of an applicable U.S. Technical Standard Order (TSO) under an FAA letter of TSO design approval, and

- U.S. acceptance of CAAC export airworthiness approvals for replacement and modification parts designed and manufactured in the P. R.C. by the holder of the U.S. type certificate or the holder of the FAA letter of TSO design approval.

Note： Provisions to implement licensing agreements to be co-developed in the future：

- U.S. acceptance of CAAC airworthiness certification o products for which the P.R.C. manufacturer produces under a licensing agreement with a U.S. manufacturer who holds an FAA type design approval.

14. Definitions. For the purpose of this Schedule, the definitions in Article 4 of the BAA shall apply. As used in this Schedule, the following definitions are provided to supplement those definitions contained in Article 4 of the BAA.

(a) "Additional Technical Conditions" means the terms notified by the importing authority for the acceptance of the type design of an aeronautical product to account for differences between the importing and exporting authorities in:

(i) airworthiness and environmental standards, applications, policies, and guidance materials;
(ii) special Conditions relating to novel or unusual design features of the product which are not covered by the airworthiness and environmental standards;
(iii) application of exemptions or equivalent safety findings from the airworthiness and environmental standards：
(iv) operational requirements; and
(v) mandatory airworthiness action taken to correct unsafe conditions

(b) "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.

(c) "Compliance" means that, after examination by analysis and/or test, the type design of a product is found to satisfy the importing authority's type certification basis.

(d) "Component" means a part, material, or subassembly intended for use on an aeronautical product.

(e) "Conformity" means that a product is examined and inspected to the requirements of the pertinent type design, test, and quality control data and is found to meet those requirements.

(f) "Equivalent Safety Finding" means a determination that the design, while not meeting the specific requirements of the regulations, does provide a level of safety equal to that established by the regulations.

(g) "Exemption" means noncompliance or deviation found to be acceptable after being processed through the appropriate regulatory procedure by the authority and found to be in the public interest and not to have an adverse effect on safety.

(h) "Exporting Civil Airworthiness Authority" means the national organization within the exporting State, charged by the laws of the exporting State with regulating the airworthiness and environmental certification, approval, or acceptance of civil aeronautical products. The exporting civil airworthiness authority will be referred to herein as the exporting authority.

(i) "Familiarization" means the process whereby the importing authority obtains information and experience on an aeronautical product designed in the exporting State.

(j) "Finding" means the result of a review, investigation, inspection, test, analysis,etc., to determine compliance of a design with a law, regulation, standard, or requirement, or conformity of a product with approved type design data.

(k) "Importing" means the national organization within the importing State, charged by the laws of the importing State with regulating the airworthiness and environmental certification, approval, or acceptance of civil aeronautical products. The importing civil airworthiness authority will be referred to herein as the importing authority。

(l) "Manufacturer" means the person responsible for the final assembly, test. and acceptance of a product under the civil airworthiness authority-approved quality assurance/control system which ensures conformity of the product to an approved type design and is in a condition for safe operation.

(m) "Person" means an individual, firm, partnership, corporation, company, association, joint-stock association, or government entity. It includes a trustee, receiver, assignee, licensee, or similar representative of any of them.

(n) "Product" means any civil aircraft, aircraft engine, propeller, subassembly, appliance, material, part, or component to be installed thereon.

(o) "Quality Assurance (including quality control)" means a systematic process of manufacturing, assembly, and testing which provides confidence that aeronautical products will conform to the approved type design and will be in a condition for safe operation。

(p) "Special Condition" means a specific safety standard issued by an authority for a product when, because of a novel or unusual design feature of the product, the establish airworthiness standards do not contain adequate or appropriate safety standards to establish a level of safety equivalent to that established by the airworthiness standards.

(q) "Standard Category Airworthiness certification" means the issuance of a standard category airworthiness certificate for aircraft type certificates in the normal, utility, acrobatic, commuter, or transport categories.

(r) "Supplier" means a person who contracts to provide a subassembly, appliance, material, part, or component to a product manufacturer to be incorporated into the manufacturer's civil aeronautical product.

The following definitions also appear in the BAA and are repeated here for the benefit of the user.

"Product Airworthiness Approval" means the issuance of an airworthiness certificate, approval or acceptance, as appropriate, by a civil airworthiness authority for a particular civil aeronautical product to permit operation or use of the product under the laws, regulations, standards, and requirements of the issuing State.

"Type Design Approval" means the certification, approval, or acceptance by the issuing civil airworthiness authority of the design of a product including its performance, operating characteristics, and operating limitations.

15. Termination. Either Party may terminate this Schedule upon six months written notice to the other Party.

CHAPTER 2. DESIGN APPROVALS

20. General. Approval of the type design of a product, changes to the type design of a product, and the design approval for appliances, and replacement and modification parts by the importing authority shall be based, to the maximum extent practicable, on technical evaluations tests, inspections, and compliance certifications made by the exporting authority. The appropriate form of design approval may be issued by the importing authority for an imported product if the exporting authority, after consultation with the importing authority, certifies to the importing authority that the product has been examined, tested, and found to meet the airworthiness criteria prescribed by the

importing authorty.

21. Type Design Approval Application Considerations.

210. United States. An FAA type design approval for a product is a prerequisite:

(a) For issuance of a U.S. standard category airworthiness certificate;

(b) To permit a non-U.S-registered aircraft to be operated under lease by a U.S.-certificated air carrier or commercial operator under FAR Parts l2l or l35; or

(c) To permit a related product (aircraft engines and propellers) and appliances to be installed on an aircraft having a U.S. standard category airworthiness certificate.

The FAA will assign a higher priority to applications for type design approval of an import product when one of the above situations is shown to exist. The FAA does not generally grant type design approvals for products manufactured outside the U.S. which are not intended for U.S. utilization, except for products to be installed on U.S.-manufactrued products. Therefore, Chinese applicants for design approval should provide the FAA, through the CAAC, evidence of intended U.S. utilization or installation on a U.S. manufactured product at the time of application. Any exceptions to this policy must be approved by the Director, Aircraft Certification Service.

211. People's Republic of China. A CAAC type design approval for a product is prerequisite：

(a) For issuance of a P.R.C. airworthiness certificate;

(b) To permit a non-P.R.C.- registered aircraft to be operated under lease by a P.R.C.-certificated air carrier or commercial operator under Chinese Civil Aviation Regulations; or

(c) To permit a related product (aircraft engines and propellers) and appliances to be installed on an aircraft having a P.R.C. airworthiness certificate.

The CAAC will assign a higher priority to applications for type design approval of an import product When one of the above situations is shown to exist. The CAAC does not generally grant type design approvals for products manufactured outside the P.R.C. which are not intended for P.R.C. utilization, except for products to be installed on P.R.C.- manufactured products, or registered aircraft. Therefore, U.S. applicants for design approval should provide the CAAC, through the FAA, evidence of intended

P.R.C. utilization or installation on a P.R.C.－registered aircraft or manufactured product at the time of application. Any exceptions to this policy must be approved by the Director General, Aircraft Airworthiness Department.

22. Type Design Approval Procedure for Aircraft. Both the FAA and the CAAC issue type certificates (TC) to convey approval of the type design of aircraf; The following procedures apply to such product type designs to be type certificated by the FAA or by the CAAC for standard category airworthiness certification. Non-standard category aircraft, and engines and propellers for non-standard category aircraft, will be dealt with on a case-by-case basis through the special arrangements provision in Chapter 7 of this document.

220. Application. An applicant for type design approval shall make application through its own authority with a request that the application and related information be forwarded to the importing authority.

(a) All Chinese applications for FAA type design approval shall be sent by the CAAC to the small Airplane Directorate (ACE-100), 601 East l2th Street, Kansas City, MO 64106.

(b) All U.S. applications for Chinese type design approval shall be sent to the nearest FAA Aircraft Certification Office (ACO) in the applicant's geographical area, and the FAA ACO will forward the application to the accountable FAA Aircraft certification Service Directorate. The accountable Directorate will send the application to CAAC, Aircraft Airworthiness Department, Beijing, China. Appendix B contains a list of addresses for FAA Aircraft Certification Offices, FAA Manufacturing inspection Offices. FAA Aircraft Certification Service Directorates, CAAC Regional Airworthiness Offices, and CAAC Aircraft Certification Centers.

(c) Applications should include a general description of the product including：

(i) A three-view drawing for aircraft;

(ii) A statement of the applicable airworthiness and environmental standards for design approval as established by the exporting authority for its own domestic design approval;

(iii) Any novel or unusual design features known to the applicant at the time of application which might necessitate issuance of either FAA or CAAC special conditions;

(iv) Any expected exemptions or equivalent safety findings relative to the exporting authority's airworthiness standards for type design approval, and

(v) The estimated date of completion.

221. Initial familiarization briefing. On major projects, as soon as practicable after the application has been received and accepted by the importing authority, and when the design is sufficiently defined, a familiarization briefing on the product may be requested by the importing authority. The briefing shall be held at a mutually agreeable location for attendance by the importing authority, the exporting authority, and the applicant. The primary purposes of the briefing will be to permit:

(a) The applicant to describe the design to the importing authority. This briefing (or series of briefings) shall cover all aspects of the design. Emphasis should be placed on any novel, unusual, or critical design features which might necessitate issuance of either importing authority or exporting authority special conditions or new applications of existing standards;

(b) The importing authority to engage in detailed technilcal discussions with the exporting authority and the applicant on the design, including particular applications or interpretations of the airworthiness standards of the exporting State and the importing State, and

(c) For products with service history, the applicant and the exporting authority to brief the importing authority on the product service history , including corrective measures to preclude occurrence of incidents or accidents.

222. Establishment of the type certification basis by the importing authority

(a) The importing authority shall establish the type certification basis for the product design in accordance with its own domestic airworthiness and environmental standards for a similar product, giving consideration to the standards which were in effect in the importing State at the time that application was received for the approval of the product type design by the exporting authority,

(b) Also, additional technical conditions may be specified by the importing authority to establish a level of safety equivalent to the importing authority's own domestic standards for a similar product

(c) Additional technical conditions may include any or all of the following:

(i) Additional airworthiness conditions based on differences in the airworthiness standards, applications, policies, and guidance materials between the two States. In the case of the U.S., the airworthiness standards are set out in the Federal Aviation Regulations (FAR) Part 23 through 35. in case of the P.R.C., the airworthiness standards are set out in the civil Aviation Regulations of China (CCAR) Parts 23 through 35;

(ii) special conditions to establish certification standards for novel or unusual design features of the product which are not covered by the airworthiness standards of the exporting authority;

(iii) Airworthiness conditions based on an evaluation of equivalent safety findings and exemptions granted by the exporting authority to the applicant for domestic certification, and

(iv) Mandatory airworthiness actions (e.g., Airworthiness Directives) directed by the exporting authority to correct unsafe conditions experienced during the operation of the product prior to application to the importing authority.

(d) Any anticipated exemptions or equivalent level of safety (ELS) determinations should be documented in issue papers (see Paragraph 225 of these Procedures). Upon granting of the exemption or the finding of ELS, they, along with any operating limitations, should become part of the type certification basis, and are to be incorporated by reference on the Type Certificate Data Sheet.

(e) After the importing authority has established the type certification basis, the airworthiness and environmental standards program for type certification by the importing authority shall be developed jointly by the importing authority and exporting authority so as to :

(i) Give maximum credit to the exporting authority's domestic certification program; and

(ii) Provide the importing authority a basis to find compliance with its own national airworthiness standards or to find that equivalent criteria have been met.

(f) At the option of the applicant, operational requirements may also be evaluated during the type certification program. In so doing the applicant would be

facilitating the issuance of the operational approvals for the aircraft required by the aircraft operators in the importing state.

223. Data submittal and design review. Required technical data representing the Product will vary with the type and complexity of the product involved, Preceding the issuance of the type certificate, the importing authority may request additional technical design data, may review the product, and may fly the product for familiarization purposes Also, When deemed necessary by both the exporting authority and the importing authority, the importing authority may fly, or conduct a detailed review of the product to assure compliance with the type certification basis. Upon occasion, as deemed appropriate by either the importing authority or exporting authority, a joint compliance finding may be conducted for certain airworthiness standards. The applicant shall submit all data to the exporting authority for verification and transmission to the importing authority.

224. Technical meeting. In addition to the initial familiarization briefing, 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, All technical meetings will normally be arranged through the exporting authority. Location of the meetings may vary, depending on the needs and priorities, and will normally have importing authority/exporting authority representatives in attendance. Such meetings (and guidelines for the meetings) may include：

(a) Technical meetings requested by the applicant, the exporting authority, or the importing authority for the purpose of reporting new developments, reviewing changes, or resolving technical compliance questions;

(b) Technical meetings between the importing authority and exporting authority to effect the timely resolution of outstanding issues;

(c) Technical meetings held with the applicant and both authorities to provide the applicant with the importing authority's position with respect to any unresolved technical issues; and

(d) Technical meetings involving flight operations, manufacturing, and maintenance specialists of the importing authority, exporting authority, and the applicant to facilitate operational acceptance of the product by the importing authority for a particular kind or condition of operation.

225. Issue papers. Issue papers may be prepared by the importing authority which describe issues, such as the type certification basis, which need particular attention and resolution before the importing authority can grant a TC or before an aircraft can enter a special type of operation, such as extended-range operations. The exact form and scope of the issue papers will be determined by each civil airworthiness authority and details of their use will be provided to the other authority.

226. Approval of changes to a type design

(a) Approval of changes to the type design (e.g., model changes) sought by the type certificate holder shall be issued as amendments to the TC by the importing authority A certification procedure similar to that described in Section 22 shall be applied, but adjusted as appropriate for the magnitude and complexity of the design change. The importing authority retains the right to determine if the proposed change is of such significance as to require a new type certificate for the changed type design, based on how the change would be dealt with for a similar product and circumstances in the importing State.

(b) Routine design changes (such as customer unique items, service bulletin changes, and product improvements), other than those to be dealt with under Section 226 (a), shall be considered approved by the importing authority upon approval by the exporting authority under its normal procedures. This information on the changes should be supplied to the importing authority on a timely basis.

23. Design Approvals of Products Other Than Aircraft, Aircraft Engines, and Propellers.

230. Application. An applicant for design approval shall make application through its own authority with a request that the application and related information be forwarded to the importing authority.

(a) All Chinese applications for FAA TSO design approval shall be sent by the CAAC to the Los Angeles Aircraft Certification Office (ANM-100L), 3960 Paramount Blvd. Lakewood, CA 90712.

(b) All U.S. applications for Chinese design approval shall be sent to the FAA Aircraft Certification Office (ACO) in the applicant's geographical area, and they will send the application to CAAC, Aircraft Airworthiness Department, Beijing, China, Appendix B contains a list of addresses for FAA Aircraft Certification Offices, FAA Manufacturing Inspection Offices, FAA Aircraft Certification Service Directorates,

CAAC Regional Airworthiness Offices, and CAAC Aircraft Certification Centers.

23l. Letters of Technical Standard Order Design Approval. The FAA issues a letter of TSO design approval for appliances of a kind for which a performance standard has been published in an FAA technical Standard Order (TSO). The CAAC issues a letter of TSO design approval for appliances of a kind for which a performance standard has been published in a Chinese technical Standard Order (CTSO) or for which there is a TSO issued by the FAA or Joint Aviation Authorities (JAA). The appropriate form of TSO design approval, within the limits of the scope of this Schedule, may be issued to the applicant by the importing authority after：

(a) Receipt and review of a certifying statement from the applicant through the exporting authority, with certification by the exporting authority, that the performance of the appliance or article complies with the applicable TSO or other accepted standards of the importing authority;

(b) Receipt and review of all the required data pertaining to the proper installation, performance, operation, and maintenance of the appliance,

(c) Receipt and review of other specific technical data, as jointly agreed between the authorities, needed to demonstrate compliance with a TSO, such as a first-of a-kind TSO, or unique applications of a TSO appliance; and

(d) Receipt and review of any approvals of deviations granted by the exporting authority. Deviations must be approved by the importing authority,

Note：A Letter of Design Approval does not constitute an installation approval for the TSO appliance on an individual aircraft. The applicant/installer must obtain installation approval from their national civil aviation authority for use on a U.S./P.R.C.－registered aircraft.

CHAPTER 3. EXPORT AIRWORTHINESS CERTIFICATION

30. General. Export Certificates of Airworthiness shall be issued by the exporting authority for completed aircraft, aircraft engines, and propellers. Certificates of airworthiness for export shall be issued by the exporting authority for appliances, parts and materials. the importing authority shall give the same validity to these Export certificates of Airworthiness and certificates of airworthiness for export of the exporting authority as if those certificates had been issued by the importing authority in accordance with its own applicable laws, regulations, and requirements.

31. Production Quality Assurance/Control System Approval. All products exported under the provisions of the BAA shall be produced in accordance with a production quality assurance/control 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 are in a condition for safe operation. therefore, a separate approval of the manufacturer's production quality assurance/control system by the importing authority is not required, although it is consistent with the intent of the BAA that the importing authority may, on an initial and recurrent basis, become familiar with the manufacturer's production quality assurance/control system.

32. Issuing and Accepting Export Certificates of Airworthiness and Certificates of Airworthiness for Export (Airworthiness Approval Tags).

320. Complete aircraft, aircraft engines, and propellers. The importing authority shall accept the Export Certificate of Airworthiness of the exporting authority on the aircraft, aircraft engine, or propeller when the exporting authority certifies that each product;

(a) Conforms to a type design approved by the importing authority, as specified in the importing authority's type certificate data sheet;

(b) Is in a condition for safe operation, including compliance with applicable importing authority mandatory airworthiness modifications and special inspections;

(c) Meets the special requirements of the importing country; and

(d) For an aircraft engine or propeller, had undergone a final operational check.

321. Appliances. The importing authority shall accept the certificate of ariworthiness for export of the exporting authority on appliances when the exporting authority certifies that each appliance

(a) Meets the applicable TSO requirements of the importing country;

(b) Complies with applicable importing authority mandatory airworthiness modifications and special inspections;

(c) Is marked in accordance with sub-paragraph 330(a)(iii) or 331(a)(iii) of these Procedures; and

(d) Meets the special requirements of the importing country.

322. Parts and materials. The importing authority shall accept the certificate of airworthiness for export of the exporting authority on parts and materials when the exporting authority certifies that each product.

(a) Conforms to approved design data;

(b) Is marked in accordance with Sub-paragraph 330(a)(iv) or 331(a)(iv)of these procedures; and

(c) Meets the special requirements of the importing country.

323. Export Certificate of Airworthiness exceptions. Any non-conformities to the importing authority's approved type design shall be noted by the exporting authority as an exception on the Export Certificate of Airworthiness document. Any exceptions noted on the Export Certificate of Airworthiness for an aircraft, aircraft engine, or propeller shall be resolved by the applicant/installer before an aircraft is eligible for a U.S. or P.R.C. airworthiness certificate.

324. Certificate of airworthiness for export exceptions. Any non-conformities to the importing authority's approved design shall be noted by the exporting authority as an exception on the certificate of airworthiness for export. Any exceptions noted on the certificate of airworthiness for export shall be resolved by the applicant/installer before an appliance is eligible for installation on an aircraft having a U.S. or P.R.C. airworthiness certificate.

33. Additional Requirements for Importing Products. The following identifies those additional requirements which must be complied with as a condition of acceptance of products imported into the U.S. or the P.R.C. or for use on U.S./P.R.C.-registered aircraft.

330. U.S. requirements.

(a) Identification and marking.

(i) Aircraft, aircraft engines, and propellers must be identified in a manner outlined in FAR Section 45.11 with the information outlined in FAR Section 45.13.

(ii) Critical components as defined in FAR Section 45.14, used in original manufacturing of the product, or to be used as spare or replacement/modification parts must be identified with a part number (or equivalent) and serial number (or equivalent).

(iii) Appliances and articles of a design approved by an FAA letter of TSO design approval must be marked in accordance with the requirements outlined in FAR Part 21, Subpart O, and any additional marking requirements specified in the particular TSO. Approved deviations shall be marked by the holder of the TSO design approval on the TSO appliance or noted in attached limitations.

(iv) Parts and materials to be used as spare or replacement/modification parts must be identified by a part number, serial number if applicable, and the manufacture's name or trade mark. In addition, information concerning the model designation of the type certificated product for which the parts or materials are eligible for installation must be furnished with the parts or materials.

(b) Instructions for Continued Airworthiness. Each aircraft engine, and propeller must be accompanied by instructions for continued airworthiness and manufacturer's maintenance manuals having airworthiness limitation sections.

(c) Maintenance records. Each aircraft, including the aircraft engine, propeller, rotor, or appliance, must be accompanied by maintenance records equivalent to those specified in FAR Section 91.417 that reflect the status of required inspections, life limits, etc.

331. P.R.C. requirements.

(a) Identification and marking

(i) Aircraft, aircraft engines, and propellers must be identified in a manner outlined in CCAR Section 21.56 with the information outlined in CCAR section 21.56.

(ii) 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.

(iii) Appliances and articles of a design approved by a CAAC letter of TSO design approval must be marked in accordance with the requirements outlined in CCAR

Part 21, Subpart H, and any additional marking requirements specified in the particular TSO. Approved deviations shall be marked by the holder of the TSO design approval on the TSO appliance or noted in attached limitations.

(iv) Parts and materials to be used as spare or replacement/modification parts must be identified by a part number and the manufacturer's name or trade mark. In addition, information concerning the model designation of the type certificated product for which the parts or materials are eligible for installation must be furnished with the parts or materials.

(b) Instructions for Continued Airworthiness. Each aircraft, aircraft engine, and propeller must be accompanied by instructions for continued airworthiness and manufacturer's maintenance manuals having airworthiness limitation sections.

(c) Maintenance records. Each aircraft, including the aircraft engine, propeller, rotor, or appliance, must be accompanied by maintenance records equivalent to those specified in CCAR Section 145.51 that reflect the status of required inspections, life limits , etc.

34. Supplier Provision. As provided in Section 31 of this Schedule, the civil airworthiness authority of the State in which a product manufacturer is located may request conformity certificates of the civil airworthiness authority in the State in which the product manufacturer's supplier is located for specified subassemblies, parts, material, and components produced by that supplier.

340. Request for conformity certification. Requests for such certifications would be considered when an agreement has been obtained from the civil airworthiness authority in the State in which the supplier is located, following consultations between the two civil airworthiness authorities on the specific work to be performed that may require the development of special procedures, and when:

(a) The product manufacturer has developed and implemented quality assurance/control procedures acceptable to the product manufacturer's civil airworthiness authority to ensure that the supplier-furnished components will meet the pertinent design data and be in a condition for safe operation. This would include provisions for the product manufacturer to make initial on-site supplier capability evaluations and first article inspections and perform any subsequent audits, evaluations, source inspections, etc., at the supplier facility, as necessary, to make the final airworthiness determination.

(b) The product manufacturer civil airworthiness authority--not the product manufacturer--makes the request for conformity certifications when the civil airworthiness authority finds such certifications necessary to ensure that the product manufacturer is demonstrating adequate control of the particular supplier and that products are being manufactured to the approved design and are in a condition for safe operation.

(c) The product manufacturer civil airworthiness authority notifies the supplier civil airworthiness authority of the design, test, and quality assurance/control requirements to which the component must conform.

CAAC requests for conformity inspection will be sent to the appropriate FAA productspecific Directorate Manufacturing Inspection Office, as listed in Appendix B.

FAA requests for conformity inspection will be sent to the CAAC, Aircraft Airworthiness Department, 155 Dong Si Street West, Beijing 100710, P.R.C.

341. Component categories. Requests for conformity certifications should be limited to components that are of such complexity that they are not inspectable by the product manufacturer or importing authority prior to installation in the final product and fall into one of the following categories:

(a) Prototype components to be used for evaluation purposes during a type certification program.

(b) Pre-production components; i. e., component to be used in a completed product submitted for airworthiness certification or approval after a type certificate has been issued but before production privileges have been granted.

(c) First article inspections on production components which fall into a priority part category.

Note：For the U.S., a priority part is any part or assembly in an FAA-approved design, that, if it were to fail, could reasonably be expected to cause an unsafe condition in an aircraft, aircraft engine, or propeller.

(d) Production components, when feedback to the product manufacturer civil airworthiness authority reveals a safety problem, or other specific need.

342. Deviations. The supplier civil airworthiness authority will note any

deviations from the requirements notified by the product manufacturer civil airworthiness authority on the conformity certification for the particular subassembly, part, material, or component.

CHAPTER 4. CONTINUED AIRWORTHINESS

40. General. The exporting authority is responsible for supporting the continued operational safety of the exported product. The importing authority, upon issuance of the import type certificate or letter of TSO design approval, shares in the responsibility to ensure continued airworthiness of the product while operating on its registry. Under the provisions of the BAA, the exporting authority is accountable to the importing authority to resolve in-service safety issues related to design, production, or operation. 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 airworthiness of the product. 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.

At the request of the importing authority, the exporting authority shall, in respect of products designed or manufactured in that State, assist the importing authority in determining action considered necessary by the importing authority for the continued airworthiness of the product. The respective decision as to the final action to be taken lies solely with the importing authority.

41. Service Difficulty Reports. Each authority agrees to provide the other with information on malfunctions, failures, defects, and accidents encountered in service, when requested by the other authority.

FAA Address for TSO Appliances：
Los Angeles Aircraft Certification Office
ANM-100L
3960 Paramount Blvd.
Lakewood, CA 90712
USA
Telephone：(310) 627-5200
Fax： (310) 627-5210

CAAC Address：
Aircraft Airworthiness Department
155 Dong Si street, West
Beijing l00710
P.R.C.

Telephone：(86-10) 6401-2233, Ext. 8956
Fax： (86-10)6403-3087

FAA Address for small Airplanes, Commuter Category Airplanes, Gliders, Airships, and Hot Air Balloons:
Small Airplane Directorate

601 East 12th Street
Kansas City, MO 64l06
USA
Telephone：(816) 426-6937
Fax: (816) 426-2169

FAA Address for Transport Category Airplanes:
Transport Airplane Directorate
1601 Lind Avenue, SW
Renton, WA 98055-4056
Telephone：(206) 227-2104
Fax: (206) 227-1100

FAA Address for Rotorcraft:
Rotorcraft Directorate
2601 Meacham Blvd.
Fort Worth, TX 76137-4298
Telephone：(817)222-5100
Fax: (817) 222-5959

FAA Address for Aircraft Engines, Propellers, and Auxiliary Power Units：

Engine and Propeller Directorate
12 New England Executive Park
Burlington, MA 0l803
Telephone：(6l7)238-7100
Fax: (617)238－7199

411. Notification of unsafe conditions. When the service experience in the importing State indicates the existence of an unsafe condition associated with the design, manufacture, or operation/maintenance of a product, such information should be provided without delay to the exporting authority. When such information is provided, the exporting authority should give expedient attention to the information and consider appropriate action to correct the condition, and so advise the importing authority.

412. Mandatory airworthiness actions. In the case of mandatory airworthiness actions, each civil airworthiness authority shall keep the other fully informed by telephone or fax without delay of its intent to issue and the final issuance of all mandatory airworthiness modifications, special limitations, or special inspections which are determined to be necessary on products designed or manufactured in either State

(see paragraph 41. for telephone and fax numbers). The issuing civil airworthiness authority shall identify the safety problem (unsafe condition) requiring the mandatory airworthiness action. In the case of emergency airworthiness inforation, the issuing civil airworthiness authority should ensure special handing so that the other civil airworthiness authority is notified immediately and can take appropriate parallel action within the constraints of the original action.

CHAPTER 5. ACCOUNTABILITY

50. General. Each civil airworthiness authority has responsibility to the other to ensure both design and manufacturing deficiencies are corrected as specified in this chapter on products which were imported or exported under the BAA and which have current type certificates or design and production approvals issued by that civil airworthiness authority to a person located in its State. When a person in the Contracting State holds only design or manufacturing responsibility, that civil airworthiness authority's responsibility under this chapter is equally limited. These responsibilities include:

501. Communication. There is a need for continuing FAA/CAAC dialogue to ensure that the same or consistent information and requirements are issued on a given product. Both FAA and CAAC agree that the airworthiness documentation exchanged under the BAA will be in the English language.

502. Accident/incident investigation assistance. When an importing authority needs airworthiness information for the investigation of service incidents or accidents involving a product imported under this BAA, the request for the information should be directed to the appropriate exporting authority office. 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 importing authority request the information directly from the manufacturer when immediate contacts cannot be made with the exporting authority, the importing authority shall immediately inform the responsible exporting authority office of this action.

51. Protection of Proprietary Data. Both authorities recognize that data submitted by a design approval holder as being the property of that holder, and release of that data by the CAAC or FAA is restricted. The CAAC and FAA agree that they will not copy, release, or show proprietary data obtained from either authority to anyone outside of the CAAC or FAA without written consent of the design approval holder, provided to one authority by the other.

52. Enforcement Actions. For the U.S., the principal objective of the FAA compliance and enforcement program is to obtain compliance by certificate holders with the Federal Aviation Act of 1958(FA Act) and applicable regulations issued thereunder.

The FAA and the CAAC, as the exporting authorities, shall notify the other without delay, of any investigation or enforcement action being taken against an exporting production approval holder when such action is related to the initial or continued airworthiness of the exported products. This notification may be combined with, or be independent of, the notification unsafe conditions discussed in Chapter 4, Paragraph 411.

The FAA and CAAC agree to mutual cooperation and mutual assistance in the investigation of any alleged or suspected violations of CAAC or FAA regulations.

CHAPTER 6. MUTUAL COOPERATION AND TECHNICAL ASSISTANCE

60. Communications and Meetings. Applicants for product type design approval frequently request technical meetings or correspond directly with the importing authority to discuss and resolve technical issues that commonly arise in the applicants' programs. Because each civil airworthiness authority relies heavily on the other's understanding of its position on such issues, the exporting authority shall be included in any such meetings or correspondence. Also, each civil airworthiness authority shall seek the other civil airworthiness authority's opinions before significant issues regarding an applicant's program are resolved and, accordingly, will generally discourage a meeting with the applicant to discuss and resolve technical issues unless the other civil airworthiness authority is also invited. Similarly, correspondence will generally be coordinated with and answered through the exporting authority.

61. Technical Evaluation Assistance. Upon request and mutual agreement, one civil airworthiness authority may provide to the other civil airworthiness authority, or may provide on behalf of the other civil airworthiness authority, technical evaluation assistance in furtherance of the purposes and objectives of the BAA. Such areas of assistance may include, but are not limited to, witnessing tests, performing inspections, reviewing reports, and obtaining data.

62. Exchange of Information on Standards and Certification Systems. It is recognized that an essential factor in a smoothly operation BAA is a thorough and up-to-date knowledge by the exporting authority of the regulations, policies, practices, and interpretations of the importing authority. Early efforts should ensure that each civil

airworthiness authority has in its possession a complete set of the other civil airworthiness authority's written regulations, guidance, policies, practices, and interpretations, or have a source for such information. Since such regulations, policies, practices, and interpretations are continually undergoing review and revision, it is imperative that the exporting authority's maximum practicable involvement in the review and revision process be permitted and encouraged. This should take the form of early and direct notification of all comments resulting, and early notification of the text, impact, and effective date of any adopted changes.

63. Free Access.

(a) CAAC agrees that FAA will have continued free access to participate in CAAC inspections and to conduct independent inspections at FAA approval holders and at suppliers to FAA approval holders located in the P.R.C.

(b) FAA agrees that CAAC will have continued free access to participate in FAA inspections and to conduct independent inspections at CAAC approval holders and at suppliers to CAAC approval holders located in the United States.

64. Significant Changes in Authority Structure. Each authority shall advise the other of any significant changes in its statutory (legal) responsibilities, organizational structure, production oversight, or delegated responsibilities. The other authority has the right to familiarize itself with such changes, including on-site discussions with the other authority and any evaluations deemed necessary to ensure the continued acceptance of these implementation procedures.

CHAPTER 7. SPECIAL ARRANGEMENTS

It is anticipated that urgent or unique situations will develop-with respect to design, product airworthiness certification or acceptance, or technical assistance--which have not been specifically addressed in these Procedures, but which are anticipated by the BAA. When such a situation arises, it shall be reviewed by the respective FAA Aircraft Certification Service Director and the CAAC Director General of the Aircraft Airworthiness Department, and a procedure developed to address the situation. The procedure shall be mutually agreed upon by the FAA and the CAAC in a separate working arrangements document. If it is apparent that the situation is unique, with little possibility of repetition, then the working arrangement document shall be of limited duration. However, if the situation has anticipated new technology or management developments which will lead to further repetitions, then these Procedures shall be

revised accordingly by the FAA Administrator and the CAAC Minister. It should be noted that when the unique or urgent situation falls within the responsibility of an FAA Aircraft Certification Service Directorate Manager, that Manager will be responsible for developing the necessary procedures. The special arrangements co-developed between authorities are listed in Appendix C.

This Schedule of Implementation Procedures, which replaces the earlier Schedule dated 19 October 1991, has been reviewed and approved by the undersigned,.

This schedule is done on both English and Chinese, both texts being equally authentic.

David Hinson (Signature)	陈光毅 (Signature)
Administrator, FAA	Minister, CAAC
March 23, 1995	March 23, 1995
Date	Date

April 10, 1995

Procedures for Revising Appendix A to
the Schedule of Implementation Procedures (SIP) Between
FAA and General Administration of Civil Aviation of China(CAAC)
and Issuance of an FAA Letter of TSO Design Approval

Procedures for Revision to Appendix A of the SIP

1. The CAAC-AAD is to notify the FAA, Los Angeles Aircraft Certification Office (LAACO), Technical and Administrative Support Staff, upon receipt of a request from a Chinese manufacturer for an FAA Letter of TSO Design Approval for a TSO currently not listed in Appendix A of the SIP. The CAAC-AAD notification should be via a fax message proposing a revision to Appendix A of the SIP.

2. Upon receipt of the CAAC-AAD fax, the LAACO will notify both the CAAC-AAD and Aircraft Certification Service, AIR-4, whether or not an FAA Technical Evaluation is needed due to the complexity of the specific TSO. (FAA anticipates that at a minimum TSO's requiring certification to DO-160 or DO-178 standards will require evaluation.)

3. If the LAACO determines that a FAA Technical Evaluation is not needed, the Aircraft Certification Service, AIR-4, will initiate a revision to Appendix A of the SIP. AIR-4 will notify the CAAC-AAD of such, and forward two FAA signed copies of the revision in the English language to CAAC-AAD for their signature.

   If the LAACO has determined that an FAA Technical evaluation is needed, the Procedures for an FAA Technical Evaluation, as outlined below should be followed. Upon successful completion of the Technical Evaluation the LAACO will notify AIR-4, of such. AIR-4 will then forward two FAA signed copies of the revision in the English language to the CAAC-AAD for their signature.

4. CAAC-AAD will translate the revised appendix into Chinese, sign two copies of the Chinese translated revision, sign the two copies (English language version) made available in step 3 above, and return one FAA/CAAC signed copy of the English language revision with the two CAAC signed copies of the Chinese version to AIR-4.

5. The Director, Aircraft Certification Service, AIR-1, will sign the two copies of the Chinese version and AIR-4 will return one copy to CAAC-AAD.

6. AIR-4 will notify the LAACO of the approval by both authorities of the revision to the SIP.

April 10, 1995

Procedures for an FAA Technical Evaluation

1. Prior to the FAA visit, CAAC-AAD will evaluate the Chinese applicant's technical data package: request for an FAA TSO Letter of Design Approval, Statement of Compliance, and supporting data required by the TSO. When this data is acceptable to the CAAC, the CAAC-AAD will transmit all documentation to the LAACO, along with CAAC-AAD's certification statement that the appliance has been examined, tested and found to meet the applicable TSO.
   The LAACO will advise CAAC-AAD in writing of the proposed dates for the evaluation.

2. The LAACO will review all TSO technical data prior to conducting the evaluation. After the evaluation, the CAAC-AAD and the applicant will be notified, in writing, of any required corrective actions deemed necessary. The LAACO will provide all comments, in writing, within 30 days.

3. Upon completion of the FAA Technical Evaluation, the LAACO will notify and provide a recommendation to AIR-4 for the revision to the SIP. AIR-4 will proceed as outline in step 3 of the Procedures for Revision to Appendix A of the SIP.

Procedures for Issuance of an FAA Letter of TSO Design Approval

1. The CAAC-AAD will evaluate the Chinese applicant's technical data package: request for an FAA Letter of TSO Design Approval, Statement of Compliance, and supporting data required by the TSO. When this data is acceptable to the CAAC, the CAAC-AAD will transmit all documentation to the LAACO, along with CAAC-AAD's certification statement that the appliance has been examined, tested and found to meet the applicable TSO.

2. The LAACO will review the submitted data and either issue the FAA Letter of TSO Design Approval or provide written comments within 30 days of receipt. If a revision to Appendix A of the SIP is required, the LAACO will issue the FAA Letter of TSO Design Approval upon notification from AIR-4 of approval by both authorities.

3. The LAACO will transmit the FAA Letter of TSO Design Approval to the CAAC-AAD along with a copy for CAAC-AAD's transmittal to the Chinese Applicant.

APPENDIX A

List of U.S. Technical Standard Order (TSO) Appliances Eligible
To Be Exported from China for Import to the U.S.

Revisions to this Appendix must be co-signed by both the FAA and CAAC.

Name	TSO Number
Aircraft Tires	TSO-C62d

FAA: *Thomas E. McSweeny* Date: *March 24, 1995*	CAAC: *Wu Xiangru* Date: *May 24, 1995*

Name	TSO Number
Life Preservers	TSO-C13f
Cargo Pallets, Nets and Containers	TSO-C90c

FAA: *Elizabeth Erickson* Date: *April 12, 1999*	CAAC: *Zhang Youtheng* Date: *April 12, 1999*

Name	TSO Number
Survivor Locator Lights	TSO-C85A

FAA: [signature] Date: 6/13/05	CAAC: [signature] Date: 6, 13, 2005

Appendix B

List of Addresses for
FAA Aircraft Certification Offices, FAA Manufacturing Inspection Offices,
FAA Aircraft Certification Service Directorates

CAAC Regional Airworthiness Offices and CAAC Aircraft Certification Centers

FAA Aircraft Certification Offices

Brussels ACO (AEU-100)
FAA/Aircraft Certification Office
15 Rue de la Loi (1st Floor)
B-1040
Brussels, Belgium
Telephone：(32-2)513-3830 Ext. 2710
Fax： (32-2)230-6899

Boston ACO (ANE-150)
FAA/Aircraft Certification Office
12 New England Executive Park
Burlington, MA 01803
Telephone：(617)238-7150
Fax： (617)238-7199

Boston ECO (ANE-140)
FAA/Engine Certification Office
12 New England Executive Park
Burlington, MA 01803
Telephone：(617)238-7140
Fax： (617)238-7199

New York ACO (ANE-170)
FAA/Aircraft Certification Office
10 Fifth Street
Third Floor
Valley Stream, NY 11581-1200
Telephone：(516)256-7501

Fax： (516)568-2716

Atlanta ACO (ACE-115A)
FAA/Aircraft Certification Office
Suite 210C
1669 Phoenix Parkway
Atlanta, GA 30349
Telephone：(404)991-6121
Fax： (404)991-3606

Chicago ACO (ACE-115C)
FAA/Aircraft Certification Office
2300 East Devon Avenue
Room 232
Des Plaines, IL 60018
Telephone：(708)294-7357
Fax： (708)294-7834

Wichita ACO (ACE-115W)
FAA/Aircraft Certification Office
1801 Airport Road
Room 100, Mid-Continent Airport
Wichita, KS 67209
Telephone：(316)946-4106
Fax： (316)946-4407

Anchorage ACO (ACE-115N)
FAA/Aircraft Certification Office
605 W.4th Avenue
Room 214
Anchorage, AK 99501
Telephone：(907)271-2669
Fax： (907)279-2527

Seattle ACO (ANM-100S)
FAA/Aircraft Certification Office
1601 Lind Avenue, S.W.
Renton, WA 98055-4056
Telephone：(206)227-2180
Fax： (206)227-1181

Denver ACO (ANM-191D)
FAA/Aircraft Certification Field Office
5440 Rosslyn Street, Suite 133
Denver, CO 80216
Telephone：(303)286-5681
Fax： (303)286-5689

Los Angeles ACO (ANM-100L)
FAA/Aircraft Certification Office
3960 Paramount Blvd.
Lakewood, CA 90712
Telephone：(310)627-5200
Fax： (310)627-5210

For Worth ACO (ASW-150)
FAA/Aircraft Certification Office
2601 Meacham Blvd
Fort Worth, TX 76137-4298
Telephone：(817)222-5150
Fax： (817)222-5959

Fort Worth RCO (ASW-170)
FAA/Rotorcraft Certification Office
2601 Meacham Blvd.
Fort Worth, TX 76137-4298
Telephone：(817)222-5170
Fax： (817)222-5959

FAA Manufacturing Inspection Offices

Engine and Propeller Directorate Manufacturing Inspection Office
12 New England Executive Park
Burlington, Massachusetts 01803
Telephone：(617)238-7180
Fax： (617)238-7199

Rotorcraft Directorate Manufacturing Inspection Office
2601 Meacham Blvd.
Fort Worth, TX 76137-4298

Telephone：(817)222-5180
Fax： (817)222-5962

Small Airplane Directorate Manufacturing Inspection Office
601 East 12th Street
Kansas City, MO 64106
Telephone：(816)426-5955
Fax： (816)426-3590

Transport Airplane Directorate Manufacturing Inspection Office
1601 Lind Avenue, SW
Renton, WA 98055-4056
Telephone：(206)227-2108
Fax： (206)227-1100

FAA Aircraft Certification Directorates

Aircraft certification Directorates have formulation and standardization responsibilities for specific types of aircraft and aeronautical products.

Engine and Propeller Directorate (ANE-100)
Regulatory and policy responsibility for all aircraft engines, propellers, and auxiliary power units.
12 New England Executive Park
Burlington, Massachusetts 01803
Telephone：(617)238-7100
Fax： (617)238-7199

Rotorcraft Directorate (ASW-100)
Regulatory and policy responsibility for normal and transport category rotorcraft.
2601 Meacham Blvd.
Fort Worth, TX 76137-4298
Telephone：(817)222-5100
Fax： (817)222-5959

Small Airplane Directorate (ACE-100)
Regulatory and policy responsibility for:
1. Airplanes weighing less than 12,500 pounds and having passenger configurations of 9 seats or less,
2. Commuter airplanes weighing 19,000 pounds or less, with passenger

configurations of 19 seats or less, and
3. Gliders, airships, and hot air balloons.

Office Address:
1201 Walnut, Suite 900
Kansas City, MO 64106
Telephone：(816)426-6937
Fax： (816)426-2169

Mailing Address:
601 East 12th Street
Kansas City, MO 64106

Transport Airplane Directorate (ANM-100)
Regulatory and policy responsibility for all transport category airplanes.
1601 Lind Avenue, S.W.
Renton, WA 98055-4056
Telephone：(206)227-2104
Fax： (206)227-1100

CAAC Regional Airworthiness Offices

North China
Director, Aircraft Airworthiness Division
North China Administration of CAAC
Beijing Capital Airport
100621 Beijing , P.R.C.
Telephone：(010)6456-1593
Fax： (010)6456-2342

East China
Director, Aircraft Airworthiness Division
East China Administration of CAAC
Shanghai Hongqiao Airport
200335 Shanghai, P.R.C.
Telephone：(021)268-8899 Ext. 2279
Fax： (021)268-8950

Southwest China
Director, Aircraft Airworthiness Division
Southwest China Administration of CAAC
Chengdu Shuangliu Airport
601202 Chengdu, P.R.C.
Telephone：(028)558-1466 Ext. 2303

Fax： (028)558-1340

Northeast China
Director, Aircraft Airworthiness Division
Northeast China Administration of CAAC
Shenyang Dongta Airport
110043 Shenyang, P.R.C.
Telephone：(024)829-4340
Fax： (024)829-5794

Northwest China
Director, Aircraft Airworthiness Division
Northwest China Administration of CAAC
Laodong Nan Lu Zhong Duan
710082 Xian, P.R.C.
Telephoe：(029)870-1079
Fax： (029)426-1526

South and Central China
Director, Aircraft Airworthiness Division
South and Center Administration of CAAC
Guangzhou Baiyun Airport
510406 Guangzhou, P.R.C.
Telephone：(020)657-8901 Ext. 2307
Fax： (020)668-6946

CAAC Aircraft Certification Centers

Shanghai Aircraft Certification Certer
Director, Aircraft Certification Center
East China Administration of CAAC
Shanghai Hongqiao Airport
200335, Shanghai, P.R.C.
Telephone：(021)268-7788 Ext. 6112
Fax： (021)268-8434

Xian Aircraft Certification Center
Director, Aircraft Certification Center
Northwest China Administration of CAAC
Laodong Nan Lu Zhong Duan

710082 Xian, P.R.C.
Telephone：(029)426-2470
Fax： (029)426-2470

Shenyang Aircraft Certification Center
Director, Aircraft Certification Center
Northeast China Administration of CAAC
Shenyang Dongta Airport
110043 Shenyang, P.R.C.
Telephone：(024)829-4375
Fax： (024)829-4012

Chengdu Aircraft Certification Center
Director, Aircraft Certification Center
Southwest China Administration of CAAC
Chengdu Shuangliu Airport
601202 chengdu, P.R.C.
Telephone：(028)558-1466 Ext. 3650
Fax： (028)5588-1340

APPENDIX C

List of Special Arrangements

1. Name of Special Arrangement：Federal Aviation Administration (FAA) and Civil Aviation Administration of China (CAAC) Working Procedures Relative to Surveillance of MD-80 Series Aircraft Manufactured in the People's Republic of China(P.R.C.)
   Date of Issue: 27 June 1991 for FAA; 19 October 1991 for CAAC

2. Name of Special Arragement：Working Plan Between Civil Aviation Administration of China (CAAC) and Federal Aviation Administration (FAA) Transport Airplane Directorate- MD- 80Series Aircraft Manufactured in the P.R.C.
   Date of Issue：27 June 1991 for FAA 19 October 1991 For CAAC

3. Name of special arrangement：Working procedures for Surveillance of MD-80/MD-90Series Aircraft Manufactured in the People's Republic of China (P.R.C.) Between the Aircraft Airworthiness Department, General Administration of Civil Aviation of China, and Aircraft Certification Service, Federal Aviation Administration, Department of Transportation.
   Date of Issue：10 June 1994 for FAA; 10 June 1994 for CAAC.

APPENDIX D

Clarification of Scope of This Schedule of Implementation Procedures

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Paragraph 13 of this document reads

> " P.R.C. acceptance of FAA Export Certificates of Airworthiness for aircraft, aircraft engines, and propellers and certificates of airworthiness for export for appliances, parts, and materials for which the FAA is the exporting authority."

In this paragraph, the term "parts" means replacement, and modification parts manufactured under any FAA production approval. This includes replacement and modification parts manufactured by an FAA Parts Manufacturer Approval (PMA) holder

FAA: John J. Hickey	CAAC:
Date: 5/3/03	Date: 2003.3.5

SPECIAL ARRANGEMENT FOR EXCHANGE OF CONTINUING AIRWORTHINESS INFORMATION BETWEEN FAA AND CAAC

This document describes the process for notification of the exporting authority (State of Design) in the case when the importing authority is notified of a serious malfunction, defect, failure or incident/accident in service. It clarifies the commitments identified in paragraph 41 of the Schedule of Implementation Procedures for the U.S./People's Republic of China bilateral airworthiness agreement.

GENERAL

Both authorities recognize that the importing authority has the right to investigate service incidents occurring within its country and that the exchange of information with the exporting authority does not limit this investigation in any way.

All notifications of serious service difficulties (Malfunction or Defect Reports/Aircraft Operational Main Event Reports) will be provided to the counterpart authority's designated office within 10 working days of the authority's receiving notification. Both authorities will use the most expedient means available to deliver this information, e.g. fax or electronic mail.

Notifications (for events as described on page 4) will include as much detail as possible about the event.

U.S. AERONAUTICAL PRODUCTS

CAAC Responsibilities

CAAC's Airworthiness Engineering Division will provide fax notification of a significant in-service problem to the following offices:

- *Event involving an Aircraft Engine or Propeller*

  Engine Certification Office, ANE-140
  12 New England Executive Part
  Burlington, MA 01803
  Fax: 1-781-238-7199
  mark.fulmer@faa.gov

- *Event involving an Aircraft*

  International Branch, ANM-116
  Transport Airplane Directorate
  1601 Lind Avenue, SW
  Renton, WA 98055-4056
  Fax: 1-425-227-1100

norm.martenson@faa.gov

If a situation is considered so serious that immediate response is needed by CAAC, a copy of the notification will be provided to the International Airworthiness Programs Staff, AIR-4.

The CAAC will provide the designated FAA office with translated copies of the original Aircraft Operational Main Event Report or, if provided in some other format, all the information contained on the original event report.

FAA Responsibilities

FAA will respond to all CAAC notifications within 60 days identifying:

a) the office to whom investigation of the incident has been assigned,
b) status of the investigation; if no investigation is deemed necessary, FAA will provide an explanation of its decision.
c) any additional information needed from CAAC or the operator to complete FAA's investigation

FAA will provide a final report to CAAC closing out incidents that were investigated by the FAA.

CHINESE AERONAUTICAL PRODUCTS

FAA Responsibilities

The FAA responsible office will provide fax notification to the CAAC Airworthiness Engineering Division of any significant in-service problems experienced with Chinese manufactured products operating in the United States.

Airworthiness Engineering Division
General Administration of Civil Aviation of China
155 Dong Si Street West
Beijing,
P. R. China

Telephone: 86-10-6-4091183
Fax: 86-10-64031730

Copy for incidents involving Y-12 (IV):
Shengyang Aircraft Certification Center
Northeast China Administration of CAAC
Shengyang Dongta Airport
110043 Shengyang
P. R. China

Telephone: 86-24-882-93935
Fax: 86-24-882-94012

CAAC Responsibilities

The CAAC (Airworthiness Engineering Division or Shengyang ACC) will respond to all FAA notifications within 60 days identifying:

a) the office to whom investigation of the incident has been assigned,
b) status of investigation; if no investigation is deemed necessary, CAAC will provide FAA an explanation of its decision.
c) any additional information needed from FAA or the owner/operator to complete CAAC's investigation

CAAC will provide a final report to FAA closing out incidents that were investigated by the CAAC.

DEFINITION OF SIGNIFICANT IN-SERVICE PROBLEMS:

Notification will be provided of the following, failures, malfunctions, or defects encountered in service.

(A) Aircraft:

(i) Structural or flight control system malfunction, defect, or failure which causes an interference with normal control of the aircraft which derogates the flying qualities.
(ii) A complete loss of more than one electrical power generating system or hydraulic power system during a given operation of the aircraft.
(iii) Failure or malfunction of more than one altitude, airspeed, or altitude display, respectively, during a given operation.
(iv) Parts or assemblies such as engine, flaps, etc., separating from aircraft during operation.
(v) Hazardously misleading information from navigation systems.
(vi) Flight crew indicating, alerting, or warning system failures, malfunctions, or defects.
(vii) Loss of brake actuating force during aircraft operation.
(viii) Fuselage de-pressurization.
(ix) Any other safety situation viewed as serious by CAAC of FAA management.

(B) Engines:

(i) Failures which are uncontained.
(ii) Fires caused by a system or component failure.
(iii) Flammable fluid leakage in areas where an ignition source normally exists.
(iv) Abnormal vibration caused by a failure, malfunction, or source defect.
(v) Failures which result in an in-flight engine shutdown.
(vi) Engine system failures, malfunctions, or defects which cause damage to the adjacent aircraft structure, equipment, or components.

Operating Principles between
Federal Aviation Administration (FAA) Technical Assistance Branch and the General Administration of Civil Aviation of China (CAAC)

FAA has established a Technical Assistance Branch to support the continued development of the CAAC during its type certification of the ARJ-21 regional jet. This Technical Assistance Branch is a unit of the International Policy Office, AIR-40 in the FAA's Aircraft Certification Service. This Branch will provide on-the-job training in 14 CFR part 25 to CAAC specialists.

The Technical Assistance Branch Manager is accountable to the Manager, AIR-40 for the daily operation of the branch.

Contacts:

All CAAC requests for FAA assistance/involvement will be transmitted to the Manager (or Acting Manager), FAA-Shanghai. CAAC and FAA counterpart focal points are listed in Attachment 1.

FAA specialists will be available for meetings in CAAC or ACAC offices (provided CAAC is participating.)

CAAC and FAA branch management will have a regular (i.e., monthly) meeting/telecon to review the status of activities on the project. FAA and CAAC will document these discussions.

Funding

FAA will fund travel for the activities of the Branch. FAA may accept local transportation from CAAC or ACAC suppliers.

Any extraordinary requests for support may be subject to CAAC reimbursement (e.g. travel outside of China or the United States). Such requests will require the conclusion of an appendix to the reimbursable annex of the FAA/CAAC Memorandum of Agreement.

Assistance in China that is outside the expertise of the Branch will also require CAAC reimbursement.

Other

FAA specialists will facilitate communications related to assisting CAAC with supplier surveillance and witnessing activities in the United States.

FAA specialists will assist CAAC in review and responses regarding Issue Papers, Special Conditions, Equivalent Safety Findings, Certification Plans, Test Plans, Means of Compliance, Type Inspections Authorizations, etc.

FAA specialists will coordinate any policy issues with the FAA's Transport Airplane Directorate, ANM-116.

Mary Cheston

Manager, International Policy Office
FAA

2006. 8. 30

Deputy Director, Aircraft
Airworthiness Certification Dept.
CAAC

Attachment 1

FAA and CAAC Specialist Counterparts

FAA	CAAC
Daniel Kutz, Structures FAA Beijing Email: daniel.kutz@faa.gov Phone: 6532-0208 Fax: 6532-6473	Madame Ma Jian, Structures Subteam Lead CAAC Xian Email:majian@caac-team.org.cn Phone:1320188 1065 (c) Fax:
Ruth (Ru Chien) Hirt, Avionics FAA Shanghai Email: ruth.hirt@faa.gov Phone: TBD Fax: TBD	Mr. Sun Anhong, Avionics Subteam Lead CAAC Shanghai Email: sunanhong@caac-team.org.cn Phone: 021 51126122, 13916706368 (c) Fax: 021 62688434

Attachment 1

FAA and CAAC Specialist Counterparts

FAA	CAAC
Daniel Kutz, Structures FAA Beijing Email: daniel.kutz@faa.gov Phone: 010-6532-0208 Fax: 010-6532-6473	Ma Jian, Structures Subteam Lead CAAC Xian Email: majian@caac-team.org.cn Phone:1320188 1065 (c) Fax:
Ruth (Ru Chien) Hirt, Avionics FAA Shanghai Email: ruth.hirt@faa.gov Phone: 13601771729 Fax: TBD	Sun Anhong, Avionics Subteam Lead CAAC Shanghai Email: sunanhong@caac-team.org.cn Phone: 021 51126122, 13916706368 (c) Fax: 021 62688434
David Hirt, Mechanics FAA Shanghai Email: david.hirt@faa.gov Phone: 13601771547 Fax: TBD	Huang Shaochen, Mechanics Subteam Lead CAAC Shenyang Email: huangshaochen@caac-team.org.cn Phone: 13624062873 Fax: 024 88294012
Pat Power, Flight Test FAA Shanghai Email: pat.power@faa.gov Phone: 562 627 5370 Fax: TBD	Qian Huide, Performance Subteam Lead CAAC Shanghai Email: qianhuide@caac-team.org.cn Phone: 021 51126122 Fax: 021 62688434
TBD, Manufacturing	Wu Jian, Team Lead Email: wujian@caac-team.org.cn Phone: 021 51126113 Fax: 021 62688434