适航实施程序

设计批准，出口适航审定,后续设计批准活动和当局之间的技术援助

依据

中国民用航空局(CAAC)和巴西国家民用航空局(ANAC)

促进民用航空安全谅解备忘录

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1. 总则

1.1. 性质

根据已生效的中国民用航空局(CAAC)和巴西国家民用航空局(ANAC)促进民用航空安全谅解备忘录第九条，中国民用航空局航空器适航审定司(CAAC-AAD) 和巴西国家民用航空局适航监督司(ANAC-SAR)被指定为双方的执行代表，共同制定了本适航实施程序(IPA)，内容涉及设计批准、出口适航审定、后续设计批准活动及中国民用航空局航空器适航审定司(CAAC-AAD)和巴西国家民用航空局适航监督司(ANAC-SAR)之间的技术援助。

本 IPA 旨在为双方当局对在中国和巴西之间进出口的民用航空产品的批准程序提供便利，促进相互合作及技术援助，包括对在中国和巴西制造的航空器进行事故及事故征候调查。

1.2. 基础

本 IPA 的基础在已生效的中国民用航空局(CAAC)和巴西国家民用航空局(ANAC)谅解备忘录中第四条和第九条中规定。

1.3. 原则和概念

中国民用航空局航空器适航审定司(CAAC-AAD)和巴西国家民用航空局适航监督司(ANAC-SAR)已相互介绍并了解了双方当局民用航空产品适航和环境审定、批准或认可的航空器审定系统，决定促使本 IPA 可行并确定其适用范围(见第 2 章-范围)。

本文件确定了双方当局同意遵守的程序，以使各方当局在进口民用航空产品及对该产品提供支持时符合本国的规章要求。

根据谅解备忘录，本 IPA 的一个重要目的是确保在进口国当局审定/认可产品的过程中，对出口国适航当局的审定系统给予最大可行的信任。

中国民用航空局航空器适航审定司(CAAC-AAD)和巴西国家民用航空局适航监督司(ANAC-SAR)同意，依据本 IPA 交换的所有信息，包括技术文件，均将采用英文形式。

1.4. 当局航空器审定系统的变更

中国民用航空局航空器适航审定司(CAAC-AAD)和巴西国家民用航空局适航监督司(ANAC-SAR)认为有必要进行经常性的对话，以保证对于指定产品颁发相同或一致的信息和要求。因此，双方当局期望相互通报适航及环境法律、规章、标准、要求及其适航审定系统的所有相关信息。

各方当局可在最大可行程度上：

a) 通知另一方当局其修订规章/标准或要求，以及适航和环境审定或批准系统的计划；

b) 给予另一方当局提出建议的机会；

c) 对于另一方当局对拟进行的修订提出的建议予以适当的考虑。

尽管如此，各方当局应将其在以下方面进行的任何更改通知另一方当局：

a) 法定 (法律)职责；

b) 组织结构(如，关键人员、管理结构、技术培训、办公室地点)；

c) 生产质量系统的监管；或

d) 委任职责。

另一方当局有权熟悉上述各项更改，包括与另一方当局进行现场讨论以确保双方对本 IPA 的持续认可。

中国民用航空局航空器适航审定司(CAAC-AAD)和巴西国家民用航空局适航监督司(ANAC-SAR)进一步认识到，如果任一方当局修订其规章、政策、程序、法定责任、组织机构、生产质量系统监管或委任职责，都可能影响本 IPA 的基础和范围。因此，一旦收到一方当局进行此类更改的通知，另一方当局可提议组织一个会议来评估是否需要修订本 IPA。

1.5. 当局会议

中国民用航空局航空器适航审定司(CAAC-AAD)和巴西国家民用航空局适航监督司(ANAC-SAR)同意每年至少召开一次会议，或在认为必要时召开会议，以讨论本 IPA、正在及将要进行的审定项目、当局审定机构的变更、各方审定系统的任何修订、技术援助请求或本 IPA 涉及到的与促进航空安全有关的任何其它事务。可按需邀请工业界参加。

1.6. 解释

实施本 IPA 时，当出现对合格审定、批准或认可相关的法律、适航或环境规章/标准、要求或可接受的符合性方法的解释不一致时，以被解释的法律、法规/标准要求或可接受的符合性方法的颁发方民用航空当局的解释为准。

1.7. IPA 的持续改进

中国民用航空局航空器适航审定司(CAAC-AAD)和巴西国家民用航空局适航监督司(ANAC-SAR)负责通过行政手段保证此文件现行有效。欢迎对本 IPA 提出改进建议，并可将此类建议寄至本 IPA 附录 A 中所列任一办公室。

1.7.1. 修订

在中国民用航空局航空器适航审定司(CAAC-AAD)和巴西国家民用航空局适航监督司(ANAC-SAR)双方同意的情况下，可随时对本 IPA 进行修订。也可考虑中国民用航空局航空器适航审定司(CAAC-AAD)或巴西国家民用航空局适航监督司(ANAC-SAR)，中国或巴西航空工业协会或其成员公司，或其他相关方提出的改进、补充、特殊安排或更改建议，定期对本 IPA 进行修订，以确保其现行有效。

本 IPA 的修订版应由双方共同制定，经中国民用航空局航空器适航审定司(CAAC-AAD)司长和巴西国家民用航空局适航监督司(ANAC-SAR)司长签署后生效，并应明确此修订版对在其生效前按照本 IPA 执行的活动（若有）的影响。

本 IPA 的所有修订版，包括其附录，将由中国民用航空局航空器适航审定司(CAAC-AAD)及巴西国家民用航空局适航监督司(ANAC-SAR)共同管理。

1.7.2. 特殊安排

预计可能会出现本 IPA 未特别提及但谅解备忘录已预计到的，与设计批准、出口适航审定或技术援助相关的紧急或特殊情况。

一旦出现此类情况，且预计由于新技术或管理的发展将导致该情况进一步重复时，中国民用航空局航空器适航审定司(CAAC-AAD)及巴西国家民用航空局适航监督司(ANAC-SAR)将就此提出解决方案并按照本 IPA 的第 1.7.1 节对本 IPA 进行相应修订。

如有必要，该解决方案可用特殊安排的形式实施。双方当局共同制定的特殊安排列入本 IPA 的附录 B 中。如果显然该情况重复的可能性不大，则该特殊安排可限定有效期。

1.8. 终止

中国民用航空局航空器适航审定司(CAAC-AAD)或巴西国家民用航空局适航监督司(ANAC-SAR)均可在另一方收到其书面通知的 60 天后终止本 IPA。本 IPA 的终止不影响按其规定、在其终止前进行的活动的有效性，并且只要有任何从出口国出口的民用航空产品还在进口国运行，中华人民共和国和巴西联邦共和国作为国际民航公约签约国，双方当局应继续履行该公约附录 8 第 4.2 节规定的持续适航责任。

1.9. 定义

就本 IPA 而言，谅解备忘录第 II 条中的定义适用，并增加以下定义作为补充。

a) “适航标准”指管理民用航空产品设计、性能、材料、工艺、制造、维修及改装的规章。

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”指经分析、试验等方式验证后，证实某一产品的型号设计满足特定的适航或环境标准。

d) “部件”指预期在航空产品上使用的零件、材料或组件。

e) “制造符合性”指依照有关的型号设计、试验和质量控制资料对产品进行检查并确认产品满足这些资料。

f) “环境批准”指某一民用航空产品符合相关的噪声和/或燃气排放标准的结论。

g) “环境标准”指用于管理民用航空产品噪声特性和燃气排放相关设计的规章。

h) “环境试验”指评审某一民用航空产品是否符合环境标准的过程。

i) “等效安全结论”指采取的可替代措施达到了与相关要求等同的安全水平的结论。

j) “豁免”指中国民用航空局航空器适航审定司(CAAC-AAD)或巴西国家民用航空局适航监督司(ANAC-SAR)依据适用的管理程序，在确定符合公众利益且对安全不具有危害性影响时，允许对某一要求不符合。

k) “出口国适航当局”指出口国的国家机构，经出口国法律授权，负责航空产品的适航及环境审定、批准或认可。在本 IPA 中出口国适航当局简称为出口国当局。

l) “结论”指根据民航当局审查、调查、检查、试验、分析等的结果，确定一项设计符合相关的法律、规章、标准或要求，或者确定某一产品制造符合经批准的型号设计。

m) “进口国适航当局”指进口国的国家机构，经进口国法律授权，负责民用航空产品的适航及环境审定、批准或认可。在本程序中进口国适航当局简称为进口国当局。

n) “维修”指执行检查、大修、修理、维护，以及对零件、材料、设备或产品部件进行替换，以保证该产品的持续适航性，但不包括改装。

o) “制造人”指按照中国民用航空局航空器适航审定司(CAAC-AAD)或巴西国家民用航空局适航监督司(ANAC-SAR)批准的确保产品符合经批准的型号设计的生产质量系统，对产品进行总装的人。总装包括生产或制造活动，尽管产品的某些部分可能是由其他人在其它地点制造。

p) “改装”指对受影响产品的结构、构型、性能、环境特性或运行限制进行的更改。

q) “人”指任何个人、厂商、合股公司、股份有限公司、公司、协会、股份制协会或政府实体，并且包括受托人、接管人、受让人或者其他类似的代表；

r) “生产质量系统”指确保航空产品符合经批准的型号设计并处于安全可用状态的系统化程序。

s) “专用条件”指由于产品具有新颖独特的设计特性，而在针对该类产品的适航标准中找不到充分或恰当的安全标准时，由适航当局所提出的适航标准。专用条件包括适航当局认为必要的、与相关规章达到了同等安全水平的安全标准。

t) “供应商”指通过订立合同，向产品制造人提供部件或特种工艺，供其装配到民用航空产品上的人。

u) “型号设计批准”指由适航当局或代表适航当局，为某一产品的型号设计颁发的合格证、批准或认可证书。

2. 范围

2.1. 总则

本 IPA 涵盖以下段落所载规定。

2.2. 按照本 IPA 认可产品和零部件的规定

a) 中国认可巴西国家民用航空局为全新及使用过 I 类产品颁发的出口适航证。

b) 中国认可巴西国家民用航空局为 II 类和 III 类产品颁发的适航批准标签。

c) 巴西认可中国民用航空局为全新及使用过 I 类产品颁发的出口适航证。

d) 巴西认可中国民用航空局为 II 类和 III 类产品颁发的出口适航批准标签。

2.3. 技术援助规定

中国民用航空局航空器适航审定司(CAAC-AAD)和巴西国家民用航空局适航监督司(ANAC-SAR)同意，当一方适航当局在另一方适航当局所在国家履行其本国的适航和环境职能而需要技术援助时，双方可进行合作。

3. 已建立的工作程序

3.1. 设计批准程序

3.1.1. 总则

进口国当局对产品型号设计或产品型号设计更改的批准将尽最大可能依据出口国当局所作的技术评估、试验、检查和符合性审定工作。

出口国当局在与进口国当局协商后，如果能够向进口国当局证实已经对产品的型号设计进行了检验、试验、检查，并确认满足进口国当局规定的、与其本国对于相似产品采用的适航标准等同的适航准则，则进口国当局将为此进口产品颁发适当的设计批准。

3.1.2. 对申请型号设计批准的考虑

3.1.2.1. 巴西

任何出口到巴西的航空器型号（按照购买或租赁协议），无论其新旧，必须具有基于外国主审当局型号合格证颁发的巴西型号合格证，方可在巴西注册机关注册。

任何具有巴西型号合格证、按照外国当局补充型号合格证或等同文件进行改装并出口到巴西的航空器，必须具有基于外国主审当局补充型号合格证或等同文件颁发的巴西补充型号合格证或等同文件。

任何出口到巴西的航空发动机或螺旋桨型号，无论其新旧，必须具有基于外国主审当局的型号合格证颁发的巴西型号合格证，方可在任何具有巴西型号合格证的航空器上安装。

任何零件、分组件、部件或设备，如果未包含在已批准的巴西型号设计的定义中，则必须具有基于外国主审当局批准的巴西安装批准或认可，方可在任何具有巴西型号合格证的产品上安装。

3.1.2.2. 中国

任何出口到中国的航空器型号（按照购买或租赁协议），无论其新旧，必须具有基于外国主审当局型号合格证颁发的中国型号合格证，方可在中国注册机关注册，或由经合格审定的中国航空承运人或商业营运人依据中国民用航空规章租赁运营。

任何具有中国型号合格证、按照外国当局补充型号合格证或等同文件进行改装并出口到中国的航空器必须具有基于外国主审当局补充型号合格证或等同文件颁发的中国补充型号合格证或等同文件。

任何出口到中国的航空发动机或螺旋桨型号，无论其新旧，必须具有基于外国主审当局的型号合格证颁发的中国型号合格证，方可在任何具有中国型号合格证的航空器上安装。

任何零件、分组件、部件或设备，如果未包括在已批准的中国型号设计的定义中，则必须具有基于外国主审当局批准的中国安装批准或认可，方可在任何具有中国型号合格证的产品上安装。

3.1.2.3. 新的产品类别

新的产品类别是指出口国当局对于相关设计的适航标准没有经历过完整的审定过程的产品类别。

如果申请是针对新的产品类别，或者该产品具有出口国当局以前没有审定过的复杂程度时，出口国当局应通知进口国当局。一旦遇到此类申请，出口国当局应立即通知进口国当局，以便进口国当局规划其认可计划的范围。

3.1.3. 航空器、航空发动机和螺旋桨的型号设计批准程序

中国民用航空局航空器适航审定司(CAAC-AAD) 颁发型号认可证(VTC)，巴西国家民用航空局适航监督司 (ANAC-SAR)颁发型号合格证(Cerfificado de Tipo, CT)，对进口航空器、航空发动机和螺旋桨的型号设计予以批准。

以下程序适用于中国民用航空局航空器适航审定司(CAAC-AAD)或巴西国家民用航空局适航监督司 (ANAC-SAR)为标准类适航审定的产品进行的型号设计批准。

非标准类航空器和用于非标准类航空器的航空发动机和螺旋桨，将通过本 IPA 的特殊安排条款逐案进行处理。

3.1.3.1. 申请

型号设计批准的申请必须由申请人请求其所在国当局向进口国当局提出，并由其所在国当局将申请书和相关信息转交给进口国当局。

所有申请中国民用航空局型号设计批准的巴西申请将由巴西国家民用航空局适航监督司(ANAC-SAR)提交给中国民用航空局航空器适航审定司(CAAC-AAD)。

所有申请巴西国家民用航空局适航监督司 (ANAC-SAR)型号设计批准的中国申请将由中国民用航空局航空器适航审定司(CAAC-AAD)提交给巴西国家民用航空局适航监督司(ANAC-SAR)。

申请应该包括:

a) 产品的总体技术说明；

b) 航空器的三视图或者航空发动机和螺旋桨的剖面图；

c) 型号合格证和型号合格证数据单（如有），或由出口国当局为其国内设计批准确定的适用适航标准（包括环境要求）的声明；

d) 申请人在申请时已知的可能需要颁发适航专用条件的任何新颖独特或非常规的设计特征；

e) 与出口国当局用于型号设计批准的适航标准有关的任何预期的豁免或等效安全结论；

f) 首次交付的预计日期；

g) 生产许可证的复印件，包括许可清单；

h) 出口国当局批准的问题纪要的复印件；

i) 出口国当局批准的符合性检查单的复印件；以及

j) 对于发动机和螺旋桨，其工作特性、原理和使用限制的说明。

3.1.3.2. 初始熟悉性介绍

对于重要项目，当申请被进口国当局接收并受理，且设计已被充分确定时，进口国当局可以要求尽早地对该产品进行熟悉性介绍。

介绍会将在参会的进口国当局、出口国当局和申请人一致同意的地点举行。介绍会的主要目的在于：

a) 由申请人就设计向进口国当局进行说明。介绍会(或多个介绍会)将涵盖设计的所有方面。重点是那些可能需要颁发进口国或出口国专用条件的新颖独特或关键的设计特性，或对已有标准的初次应用；

b) 使进口国当局能与出口国当局和申请人就设计进行详细技术讨论，包括出口国和进口国适航标准的特定应用或解释；并且

c) 对于已有使用历史的产品，申请人和出口国当局向进口国当局介绍产品使用历史，包括所采取的用来防止事故征候或事故发生的纠正措施。

3.1.3.3. 进口国当局制定的型号合格审定基础

a) 进口国当局将基于出口国收到产品型号设计批准申请时进口国有效的标准和程序，按照其国内对相似产品采用的适航与环境标准及程序制定此产品设计的型号合格审定基础。

b) 一旦进口国当局的型号合格审定基础被确定，进口国当局型号合格审定所依据的适航准则将由进口国当局和出口国当局共同制定，以：

(i) 给予出口国当局的国内审定系统以最大的信任；并且

(ii) 基于出口国当局符合双方同意的适航准则的证明，向进口国当局提供一个用来确定符合其自己国家适航标准或确定已满足等效准则的基础。

c) 进口国当局规定的适航准则将包括出口国当局在其国内审定系统中应用的适航标准，以及进口国当局为达到与其国内相似产品采用标准的等效安全水平所要求的任何附加技术条件。

3.1.3.4. 附加技术条件

附加技术条件可包括下述任何或者全部内容：

a) 基于申请出口国型号合格证之日有效的、两国基本适航和环境标准、解释、应用、政策和指导材料之间差异的附加条件。对于巴西，基本适航标准在巴西国家民用航空局颁发的巴西民用航空规章(RBAC)中规定；对于中国，基本适航标准在中国民用航空局颁发的中国民用航空规章(CCAR)中规定；

b) 出口国当局采用的适航标准中未涵盖的、与产品设计的新颖或独特特性有关的专用条件；

c) 基于对出口国当局国内审定时批准的等效安全结论和豁免的评估而产生的适航条件；和

d) 进口国认为对于保证持续安全运行所必需的措施。这些措施来自于进口国当局对产品使用历史的评审，以及出口国当局为纠正其之前完成了型号设计审定且积累了使用历史记录的产品上的不安全情况而采取的措施。

3.1.3.5. 与设计有关的运行要求

进口国当局对于特定类型或条件的运行要求将影响产品的设计和性能。这些运行要求可以包括附加设备要求，以及在航空器飞行手册和维修信息中的补充建议信息。

与设计有关的强制运行要求将由进口国当局在每次的认可活动中通知。

3.1.3.6. 资料提交和设计评审

所要求的产品技术资料将取决于相关产品的类型和复杂程度。在颁发型号合格证之前，进口国当局可要求附加的技术设计资料，可评审产品，并且可为审定和熟悉目的对产品进行飞行。此外，当认为必要时，进口国当局可以对产品进行飞行或进行详细评审以确保其对附加技术条件的符合性。申请人将按照进口国当局的要求，向出口国当局递交所有资料，供其验证并转交给进口国当局。

3.1.3.7. 技术会议

除了初始熟悉性介绍会议外，可能还需要召开其它技术会议来确保已告知出口国当局的任何附加技术条件以及与设计有关的强制性运行要求被很好地理解，并确保任何突出的技术问题已得到解决。所有技术会议通常将通过出口国当局安排。会议地点可根据需要和重点而变化，并且双方当局的代表通常都将参加。这些会议（以及会议的指南）可包括：

a) 申请人、出口国当局或进口国当局提出的用以报告新进展、评审更改或解决技术符合性问题的技术会议；

b) 双方当局之间为及时解决突出事项而召开的技术会议；

c) 与申请人召开的用来向申请人说明进口国当局在未解决问题上的观点的技术会议；以及

d) 为方便进口国当局接受特定类型或条件的产品的运行而召开的由双方当局和申请人的飞行运行和维修专家参加的技术会议。

3.1.3.8. 问题纪要和“相关事件控制文件”

进口国当局可以根据需要准备“问题纪要”（CAAC-AAD 用语，简称 IP）或“相关事件控制文件”（ANAC-SAR 用语，简称 FCAR）用以说明诸如在进口国当局颁发 CT/VTC 之前需解决的附加技术条件等问题。这些文件的确切格式和范围将由各个当局自行确定并将其使用细节提供给另一方当局。

3.1.3.9. 航空器飞行手册的批准

出口国当局将按照进口国当局的型号设计批准，代表进口国当局批准每架进口航空器的飞行手册。此批准将使用封面页 (封面页样例见附录 C)。

3.1.4. 补充型号批准

对于进口航空产品，中国民用航空局航空器适航审定司(CAAC-AAD) 可颁发“补充型号认可证”（VSTC）和“改装设计批准书”（MDA），巴西国家民用航空局适航监督司 (ANAC-SAR)可颁发“型号补充认证”（CST），用于对此前已获得标准型号合格证的航空产品的型号设计大改予以批准。

进口国当局将考虑批准由出口国申请人所进行的对产品型号设计的更改，但前提条件是该产品已经过进口国当局的型号合格审定。

CST 依据中国民用航空局颁发的 STC 或 MDA。VSTC 依据巴西国家民用航空局颁发的 CST。

对于与按非标准类型号合格审定的产品相关的 CST/VSTC 的申请以及按照中国民用航空局航空器适航审定司(CAAC-AAD)或巴西国家民用航空局适航监督司 (ANAC-SAR)一次性工程改装授权的改装设计批准的申请将逐案进行处理。

3.1.4.1. CST/ VSTC 的申请

申请人将向出口国当局提交 CST/ VSTC 申请，请求其将此节中描述的申请书和相关信息转交给进口国当局。每次申请需提供以下信息：

a) 更改说明，注明 CT/TC 持有人和产品型别；

b) 出口国当局批准文件和相关审定基础的复印件；

c) 出口国当局为国内 CST/STC 或 MDA 批准的任何等效安全结论或豁免的信息；

d) 出口国当局批准的问题纪要和符合性检查单的复印件；

e) 主图纸目录清单或等同文件的复印件；以及

f) 首次交付的预计日期。

3.1.4.2. 相关适航准则的制定

CST/ VSTC 的批准基础通常是进口国当局对原产品 CT/TC 批准时最初确定的适航标准。视设计更改情况需要，进口国当局可规定附加技术条件。

3.1.4.3. 基本文件

正常情况下，进口国当局将需要评审下列适用的文件：

a) 符合性检查单；

b) 航空器飞行手册补充；

c) 主图纸清单；

d) 安装指南；

e) 载重平衡资料；以及

f) 持续适航文件。

3.1.4.4. 复杂 CST/VSTC 的补充文件

视设计更改的技术复杂性（如，附加技术条件），可能有必要提供补充数据，如：

a) 工程报告；

b) 结构分析；

c) 试飞数据，等。

3.1.4.5. 批准程序

进口国当局将评审 CST/ VSTC 申请以及出口国当局的批准文件和审定基础。进口国当局将认同出口国当局的审定基础或者提出附加技术条件。

对于这些技术条件的符合性结论通常由出口国当局根据进口国当局的请求做出。这并不排除进口国当局可能使用与第 3.1.3 节规定程序相似的审定程序对复杂 CST/ VSTC 进行熟悉并实施补充评估，如试飞等，此程序将按照更改的重要性和复杂性进行调整。

3.1.4.6. 航空器飞行手册补充的批准

批准航空器飞行手册补充必须遵守与本 IPA 第 3.1.3.9 节相同的程序。

3.1.5. 航空器、航空发动机和螺旋桨之外产品的设计批准

中国民用航空局航空器适航审定司(CAAC-AAD)和巴西国家民用航空局适航监督司(ANAC-SAR)注意到双方当局都有与美国 FAA 技术标准规定(TSO)等效的适用于设备的标准。

巴西国家民用航空局(ANAC)对巴西申请人设备的设计和安装批准是依据 OTP 规范（类似于 FAA 的 TSO）颁发 APAA（已批准的航空产品的声明）。对于已获 APAA 批准的产品，ANAC 通过颁发 COP（生产机构合格证）对其生产进行批准。另外，巴西国家民用航空局为进口设备的 TSO 设计批准颁发“设计批准信函-DAL”。

中国民用航空局(CAAC)对这些设备的设计和制造批准是依据 CAAC-TSO 规范颁发中国技术标准规定项目批准书(CTSOA)。中国民用航空局为关键的进口设备的设计批准颁发“设计批准认可证(VDA)”。

中国民用航空局 VDA 和巴西国家民用航空局 DAL 不构成该 TSO 设备在具体航空器型号上的安装批准。当需进行安装时，申请人/安装人必须获得其所在国民航当局用于中国或巴西注册航空器的安装资料批准。

正常情况下，完成以下工作之后，进口国当局可向申请人颁发适当形式的设计批准：

3.1.5.1. 声明的接收

收到申请人通过出口国当局提交的且经出口国当局确认的零部件的设计和性能符合各自适用标准的声明。

3.1.5.2. 资料的接收和评审

收到以下资料：

a) 与设备的正确设计、安装、性能、使用和维修相关的所有所需资料；

b) 当局之间相互同意的、用以表明对 ANAC-OTP 或 CAAC-TSO 符合性所必需的其它特定技术资料，如某类 ANAC-OTP/CAAC-TSO 设备中的首件，或 ANAC-OTP/CAAC-TSO 设备的独特应用；以及

c) 出口国当局批准的任何偏离，偏离必须得到进口国当局的批准。

3.2. 出口适航审定程序

3.2.1. 总则

a) 巴西国家民用航空局作为出口国当局，应向航空器（I 类出口产品）颁发出口适航证并向航空发动机、螺旋桨、零部件、机载设备、零件和材料（II 类和 III 类出口产品）颁发适航批准标签。

b) 中国民用航空局作为出口国当局，应向航空器、发动机和螺旋桨（I 类出口产品）颁发出口适航证并向航空器零部件、机载设备、零件和材料（II 类和 III 类出口产品）颁发适航批准标签。

3.2.2. 生产质量系统批准

根据本 IPA 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系统下生产，以确保符合进口国所批准的型号设计并确保完成的产品处于安全可用状态。因此，尽管本 IPA 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系统的目的，但进口国适航当局仍无需对制造人的生产质量系统单独批准。

如果生产批准延伸至另一个国家的制造场地或设施，并且该生产批准已经被颁发，那么从该制造场地或设施出口的完整的产品应被视为是在出口国当局国家境内制造的。

当出口国适航当局批准的生产批准延伸到另一个国家的制造场地或设施，出口国适航当局仍应完全负责从该地出口的完整产品和零件的管理控制和适航审定。在这种情况下，进口国当局有权熟悉第三国制造人生产质量系统。

3.2.3. 不受限制的进入

出口国当局同意进口国当局可以继续不受限制地进入，参与出口国当局对在该国境内的、进口国当局批准的合格证持有人及其供应商的检查，以及独立对上述单位进行检查。

3.2.4. 按照权益转让协议进行的生产

每一适航当局应保证，原始设计批准持有人和/或权益转让协议受让人生产相同的产品和零部件时，应按照相同的设计和生产标准进行持续生产，并且保证对设计更改进行充分控制，以确保延伸设施生产所需的更改得到设计国当局的批准。当发生按照权益转让协议进行生产的情况时，双方当局应签署特殊安排。生产的所有对安全有影响的产品和零部件(关键件)应具备唯一的标识，以区分原始生产批准持有人生产的产品与生产延伸设施或权益转让协议受让人生产的产品。

3.2.5. 颁发和接受出口适航证和出口适航批准标签

3.2.5.1. 完整的航空器、航空发动机和螺旋桨

进口国当局应接受出口国当局为航空器、航空发动机或螺旋桨颁发的出口适航证，一旦出口国当局证实每一产品：

a) 符合进口国当局批准的、在进口国当局型号合格证数据单上规定的型号设计；

b) 处于安全可用状态，包括符合相关的出口和进口国当局的强制适航改装和特殊检查；

c) 符合进口国的特殊要求（按有关通知）；并且

d) 对于航空发动机或螺旋桨，已经完成了最终运行检查(工作履历和工作现状均在批准的限制范围内)。

注：巴西国家民用航空局对航空发动机和螺旋桨颁发适航批准标签并需要满足上述的 a、b、c 和 d 条款。

3.2.5.2. 零件和材料

进口国当局应接受出口国当局为零部件，设备，零件和材料颁发的适航批准标签，一旦出口国当局证实每一产品：

a) 符合经批准的设计资料；

b) 按照本 IPA 的 3.2.6.1.a) 或 3.2.6.2.a)进行了标记；

c) 符合进口国的特殊要求（按有关通知）。

3.2.5.3. 出口适航证例外

在颁发出口适航证之前，出口国当局应通知进口国当局任何与进口国当局批准的型号设计的不符合情况，并应在出口适航证的“例外”栏中予以注明。这种通知有助于解决进口国当局适航审定过程中任何与航空器合法性有关的问题。

进口国当局应通知出口国当局对这些例外的接受情况。

任何不符合进口国当局批准型号设计的情况均应由出口国当局在出口适航证上作为例外加以注明。

3.2.5.4. 适航批准标签例外

在颁发适航批准标签之前，出口国当局应通知进口国当局任何与进口国当局批准的型号设计的不符合情况，并应在适航批准标签的“例外”栏中予以注明。这种通知有助于解决进口国当局适航审定过程中任何与航空器合法性有关的问题。进口国当局应通知出口国当局对这些例外的接受情况。

任何不符合进口国当局批准型号设计的情况均应由出口国当局在适航批准标签上作为例外加以注明。

3.2.5.5. 使用过航空器

3.2.5.5.1. 已具备进口国当局设计批准的使用过航空器

如果进口国当局或出口国当局是航空器设计国当局，按照第 2.2 节的规定，在进口并进行适航审定时，进口当局应认可为使用过航空器颁发的出口适航证，一旦出口国当局证实该使用过航空器：

a) 符合最初的经批准的进口国当局型号合格证数据单(TCDS)中规定的型号设计/型号合格证，并且符合进口国当局批准的附加的补充型号合格证(STC)（按照通知）；

b) 符合出口和进口国适航当局颁发的适用于此型别和系列航空器的全部相关安全措施和要求(如适航指令，强制服务通告等)；

c) 在服役期间，按照经批准的、进口国当局认可的程序和方法进行了恰当的维修和运行（由飞行记录和维修记录证实）；

d) 符合进口国的所有特殊要求；并且

e) 目前处于安全可用状态。

3.2.5.5.2. 第三方制造的使用过航空器

如果进口国当局已经批准了航空器的型号设计且已经符合上一段落 a 至 e 的条件，进口国当局将认可出口国当局（非制造国）为使用过航空器颁发的出口适航证 (第三方条款)。

进口国适航当局在确定使用过航空器的适航性时，不能过度强调初始和新生成的检查和维修记录的重要性。进口国当局可以要求这些检查和维修记录，包括但不限于：出口国颁发的最初的出口适航证副本（特别应包括任何偏离、例外或豁免）；用以证实任何大修、改装、改型和修理按照经批准的资料完成的记录；用以证实使用过航空器在其运行期间按照经批准的维修方案进行了恰当维修的维修记录和履历等。

任何第三国制造的航空器适用以上规定的前提是，该国与中国民用航空局和巴西国家民用航空局均为实现此目的正式达成了双边协议/安排，并涵盖了相同种类的产品。

3.2.6. 进口产品的附加要求

3.2.6.1. 中国进口要求

进口到中国或用于中国注册航空器上的产品必须符合以下附加要求。

a) 标识和标记

(i) 必须按照 CCAR21.341-21.342 规定的方式对航空器、航空发动机和螺旋桨进行标识。

(ii) 如果在制造人维修手册适航限制章节或持续适航文件中明确了产品部件或零件的更换时间、检查间隔或相关程序，则必须在产品部件或零件上同时标明件号(或等效的编号)和序号(或等效的编号)。

(iii) 由中国民用航空局适航司按照 CAAC-TSO 规范批准了设计的设备和零部件必须按照 CCAR-21 部第八章的要求以及在特定 CAAC-TSO 中规定的任何要求进行标识。CAAC-TSO 设计批准持有人必须在设备上标注或在所附限制文件中注明经批准的偏离。

(iv) 用于更换或改装的零件必须标注件号、序号(若适用)和制造人的名称或商标。

b) 持续适航文件。每一航空器、航空发动机和螺旋桨必须具备持续适航文件和制造人维修手册(包含有适航限制章节)。

c) 维修记录。每一使用过航空器，包括航空发动机、螺旋桨、转子或设备必须具备与 CCAR-145.32 和 CCAR-121.80 中规定内容等效的、反映了所需检查和寿命限制状态的维修记录。在飞行记录和维修记录中，应可证实该航空器在其服役期间采用经批准的、中国民用航空局认可的程序和方法恰当地实施了维修、改装和运行 。

附录 D 中列出了关于民航产品出口到中国的特殊要求和程序的指导材料。

3.2.6.2. 巴西进口要求

进口到巴西或用于巴西注册航空器上的产品必须符合以下附加要求。

a) 标识和标记

(i) 必须按照 RBAC45 规定的方式对航空器、航空发动机和螺旋桨进行标识。

(ii) 如果在用于制造人维修手册适航限制章节或持续适航文件中明确了产品部件或零件的更换时间、检查间隔或相关程序，则必须在产品部件或零件上同时标明件号(或等效的编号)和序号(或等效的编号)。

(iii) 由巴西国家民用航空局适航监督司按照 ANAC-OTP 规范批准了设计的设备和零部件必须按照 RBAC21 部 O 分部的要求以及在特定 ANAC-OTP 中规定的任何要求进行标识。ANAC-OTP 设计批准持有人必须在设备上标注或者在所附限制文件中注明经批准的偏离。

(iv) 用于更换或改装的零件必须标注件号、序号(若适用)和制造人的名称或商标。

b) 持续适航文件。每一航空器、航空发动机和螺旋桨必须具备持续适航文件和制造人维修手册(包含有适航限制章节)。

c) 维修记录。每一使用过航空器，包括航空发动机、螺旋桨、转子或机载设备必须具备与 RBHA1 91 小节 91.417, RBAC 121 小节 121.380 和 RBHA 135 小节 135.439 中规定内容等效的、反映了所需检查、寿命限制状态的维修记录。在飞行记录和维修记录中，应可以证实该航空器在其服役期间采用经批准的、巴西国家民用航空局认可的程序和方法恰当地实施了维修、改装和运行。

d) 出口适航证应列出在特定产品中实施的所有 STC 和外场批准文件。

在 ANAC-GGCP 信息通告(CI) 21-010 -《巴西关于进口民航产品的批准》中，列出了关于民用航空产品出口到巴西的特殊要求和程序的指导材料。

3.3. 委任代表和委任程序

3.3.1. 总则

本协议的双方相互认可对方的委任和委任代表系统。

3.3.2. 出口产品的程序要求

由委任代表或委任机构中的代表颁发的所有出口适航证或适航批准标签应可追溯至个人或机构。

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[1] 按照巴西法律 nº 11.182，第 47 条（2005 年 9 月 27 日）和之后的 ANAC 决议 nº 30（2008 年 5 月 21 日）RBAC 将会取代所有的 RBHA。

3.4. 后续设计批准程序

3.4.1. 持续适航

3.4.1.1. 总则

作为设计国，出口国当局负责解决与设计和生产相关的在役安全问题（按照国际民航组织-ICAO-附件 8）。出口国当局应向进口国当局提供必要的、涉及强制改装、限制和/或检查要求的信息，以确保产品的持续运行安全。进口国当局在颁发自己的强制纠正措施时，将评审且通常是接受出口国当局所采取的纠正措施。

当进口国当局提出请求时，出口国当局应就其设计或制造的产品向进口国当局提供帮助，以帮助其确定认为必要的措施来保证该产品的持续运行安全。进口国当局将最终决定是否采取相关措施。

3.4.1.2. 失效、故障和缺陷报告

双方当局均同意，一旦收到请求，将向另一方在本 IPA 附录 A 中所列出的地址提供使用中遇到的失效、故障、缺陷和事故的相关信息。

3.4.1.3. 不安全状况

当进口国的使用经验表明存在与产品设计、制造或运行/维修相关的不安全状况时，应立刻向出口国当局提供相关信息。

一旦收到此类信息，出口国当局应迅速予以关注，考虑采取适当的措施以纠正该状况，并就此向进口国当局提出建议。

必要时，出口国当局应协助进口国当局制定补救措施，以纠正可能在产品的型号设计已被进口国当局批准后发现的、任何涉及型号设计的不安全状况。

3.4.1.4. 强制性持续适航措施

对于强制性持续适航措施，各适航当局应通过电话或传真及时通知另一方其准备颁发及最终颁发的所有被确认为必要的、针对双方中任一方设计或制造的产品所颁发的、所有强制性适航改装、特殊限制或特别检查的全部信息。双方当局用于接收强制性适航信息的联系方式列于本 IPA 的附录 A 中。

强制性持续适航措施的颁发适航当局应该明确所针对的安全问题（不安全状况）。针对紧急适航信息，颁发适航当局应有特殊的处理方式，以确保另一方适航当局能立即得到通知并可在原始措施规定的限制范围内采取适当的并行措施。

3.4.2. 设计更改

3.4.2.1. 型号设计更改批准

a) 型号合格证持有人进行的设计更改（如，型别更改）将由进口国当局通过修订VTC/CT的形式予以批准。审定程序与第3.1.3节规定的程序相似，但会根据设计更改的重大和复杂程度进行调整。进口国当局将基于对该国类似产品及情况进行更改的处理方式，保留对判断所提出更改是否重大到需要申请新的型号合格证的权利。

b) 那些对进口国当局已批准的型号合格证数据单造成影响的型号设计更改应通过出口国当局提交给进口国当局进行认可。进口国当局将就其批准情况通知出口国当局。

c) 对进口国当局已批准的型号合格证数据单没有影响的型号设计大改应按照双方当局同意的方式，通过出口国当局及时地通知进口国当局。进口国当局将不进行技术认可，而是基于出口国当局的符合性声明来接受此型号设计更改。在这种情况下，进口国当局不需要对此批准做出通知。但是，进口国当局仍保留进行技术调查的权力，并且如果决定这样做，将通知出口国当局。

d) 除上述3.4.2.1(b)和(c)条注明的情况外，所有其它的经出口国当局或其委任代表批准了的设计更改，将被认为得到了进口国当局的批准。

3.4.2.2. 补充型号合格证更改程序

中国民用航空局航空器适航审定司(CAAC-AAD)和巴西国家民用航空局适航监督司(ANAC-SAR)同意遵照第3.4.2.1条适用部分执行。如果出现特殊情况，中国民用航空局航空器适航审定司(CAAC-AAD)和巴西国家民用航空局适航监督司(ANAC-SAR)将就具体流程进行磋商。

3.4.2.3. 航空器飞行手册改版批准

中国民用航空局航空器适航审定司(CAAC-AAD)和巴西国家民用航空局适航监督司(ANAC-SAR)可授权另一方代表己方按照型号设计批准对飞行手册、补充和附录的改版进行评审和签署，以便其及时获批。将使用封面页进行此类批准（封面页的样例见附录C）。

3.4.2.4. 巴西国家民用航空局DAL或中国民用航空局VDA更改程序

对CAAC-TSO或ANAC-OTP进行的设计大改，需按照第3.1.5节规定的程序，对新的设计进行重新验证并重新颁发相应的巴西国家民用航空局DAL或中国民用航空局VDA。

3.4.2.5. 中国民用航空局(CAAC)和巴西国家民用航空局(ANAC)将自动接受经对方批准的、对合格证数据单没有影响的设计小改。

3.4.3. 用于支持修理的设计资料的认可

进口国当局认可出口国（设计国）当局按以下方式批准的用于支持修理的设计资料：

a) 巴西国家民用航空局作为出口国当局。巴西国家民用航空局适航监督司(ANAC-SAR)通过自己的结构工程专家或受影响产品制造厂家的委任工程代表批准单架飞机的结构修理手册和实施的重要修理。这些单机修理应通过颁发表 F 200-06《航空器或其它航空产品对 RBAC 的符合性报告》，来进行记录和证实。巴西国家民用航空局接受按照 RBHA 43 进行的非重要修理。

b) 中国民用航空局作为出口国当局。中国民用航空局航空器适航审定司(CAAC-AAD)通过自己的结构工程专家或受影响产品制造厂家的委任工程代表批准单架飞机的结构修理手册和重要修理。这些单机修理应通过颁发表 AAC-039《型号资料批准表》，或表 AAC-085《重要修理和改装报告》，来进行记录和证实。中国民用航空局航空器适航审定司(CAAC-AAD)接受按照 CCAR 43 进行的修理和改装。

4. 当局间的技术援助

4.1. 总则

一旦被请求且经双方同意，一方适航当局可向另一方适航当局提供、或代表另一方适航当局提供技术协助，以促进本 IPA 的宗旨和目标。援助领域可包括但不限于：

4.2. 事故/事故征候调查信息请求

当进口国当局需要适航信息以调查涉及按此 IPA 进口产品的使用事故征候或事故时，信息请求应该直接提交给相关的出口国当局办公室。

作为回应，出口国当局在收到信息请求后，应立即采取所有必要措施以确保及时提供所要求的信息。

如果情况紧急，且不能立即联系上出口国当局，进口国当局可直接请求制造人提供信息，但应立即将此情况通知出口国当局责任办公室。

5. 责任 – 专有资料保护

根据其各自国家的立法，中国民用航空局航空器适航审定司(CAAC-AAD) 和巴西国家民用航空局适航监督司(ANAC-SAR)不可向公众公开双方按照本 IPA 从另一方获取的包含了商业秘密、知识产权、保密的商业/金融信息、专有数据或与正在进行的调查相关的信息。此类信息应被视为专有并做有适当标记。

6. 双方当局签署

以下代表经正式授权，代表双方当局签署了本适航实施程序的英文本、中文本和葡萄牙文本，以昭信守。本适航实施程序完整替代2001年3月8日签署的实施程序。在解释出现分歧的情况下，以英文文本为准。

签署人

Hélio Tarquinio Júnior

副司长

适航监督司

巴西国家民用航空局

日期：2011年9月8日

签署人

张红鹰

司长

航空器适航审定司

中国民用航空局

日期：2011年9月8日

附录 A

巴西国家民用航空局适航监督司(ANAC-SAR) 和中国民用航空局航空器适航审定司(CAAC-AAD) 办公室的地址清单

A.1. 双方当局的联络人

A.1.1. 必要时，可就双方当局之间的具体活动指定联络人。各方当局应向对方当局提供一份联络人清单，包含以下信息中的适用部分：

a. 联络人姓名；

b. 该联络人的工作范围；

c. 联络人地址；

d. 联络人涉及的事务；

e. 电话，手机，传真；

f. 电子邮件；及

g. 与联络人进行恰当沟通所需的其它信息。

A.1.2. 上述清单应在必要时或每年进行更新，并且，收到清单的当局应通知所有其内部或外部需要了解联络人信息的人员。

A.2. 巴西联邦航空局适航监督司－总部

Superintendência de Aeronavegabilidade
Avenida Cassiano Ricardo, 521
Bloco B – 2° Andar – Jardim Aquarius
12246-870 – São José dos Campos – SP
电话: 55 (12) 3797-2525
传真: 55 (12) 3797-2330
网址: www.anac.gov.br
电子邮件: prodcert.arrang@anac.gov.br

A.3. 中国民用航空局适航司－总部

中国民用航空局
航空器适航审定司
东四街西 155 号
100710, 北京
中国

适航检查处
电话: 86(10)64091390
传真: 86(10)64091380

航空器审定处
电话: 86(10)64091331
传真: 86(10)64092331

航空动力审定处
电话: 86(10)64091308
传真: 86(10)64033087

A.4. CAAC 地区管理局适航审定处:

中国民用航空局华北地区管理局
适航审定处
北京首都机场
100621 北京，中华人民共和国
传真: (8610) 64596413
电话: (8610) 64590381

中国民用航空局中南地区管理局
适航审定处
广州白云机场
510405 广州，中华人民共和国
传真: (8620) 86304190
电话: (8620) 86133331

中国民用航空局华东地区管理局
适航审定处
上海虹桥机场
200335 上海，中华人民共和国
传真: (8621) 62688434
电话: (8621) 51126122

中国民用航空局西北地区管理局
适航审定处
桃园南路27号
710082 西安，中华人民共和国
传真: (8629) 88793018
电话: (8629)88791073

中国民用航空局东北地区管理局
适航审定处

小河沿路3号
110043 沈阳，中华人民共和国
传真: (8624) 88294012
电话: (8624) 88293067

中国民用航空局西南地区管理局
适航审定处
成都双流机场
601202 成都，中华人民共和国
传真: (8628) 85710155
电话: (8628) 85710145

中国民用航空局新疆地区管理局
适航审定处
迎宾路46号
830016 乌鲁木齐，中华人民共和国
传真: (86991) 3804024
电话: (86991) 3804026

附录 B

特殊安排

B.1. 关于巴西飞机工业公司(Embraer)产品的特殊安排

根据本 IPA 的第 1.7 节，中国民用航空局航空器适航审定司(CAAC-AAD)和巴西国家民用航空局适航监督司(ANAC-SAR)制定并建立了下列适用于巴西飞机工业公司产品的特殊安排。

B.1.1. 范围和目的

本特殊安排涵盖了与巴西飞机工业公司产品有关的活动，并旨在完成以下目标：

a) 根据双方当局各自的职责确定以下工作程序：

(i) 型号设计认可之后的活动；以及

(ii) 巴西飞机工业公司制造的飞机每次单独交付给中国时所需的文件。

b) 尽量减少重复的检查、试验、演示、评估和批准。

B.1.2. 型号设计认可之后的活动

CAAC 通过颁发 VTC 予以认可的所有巴西飞机工业公司的产品应满足以下与更改批准相关的条件：

B.1.2.1. 设计更改批准

a) 按照本 IPA 的第 3.4.2.1 (b)节，对于影响到 VTCDS 的设计更改，巴西国家民用航空局将通知中国民用航空局。中国民用航空局将把对此更改的批准通知巴西国家民用航空局。

b) 按照本 IPA 的第 3.4.2.1 (c)节，对于不影响中国民用航空局 VTCDS 的设计大改，中国民用航空局将自动接受巴西国家民用航空局的批准。此种情况下，中国民用航空局将不会颁发任何额外的批准文件。

c) 就其根据巴西飞机工业公司提供信息批准的设计大改，巴西国家民用航空局将每季度向中国民用航空局通报一次。

d) 中国民用航空局保留进行技术调查的权力，并且如果决定这么做，将通知巴西国家民用航空局。

B.1.2.2 航空器飞行手册(AFM)改版的批准

对于巴西飞机工业公司的产品，中国民用航空局委托巴西国家民用航空局按照中国民用航空局批准的型号设计评审并签批飞行手册、其补充及附录的改版。巴西国家民用航空局将代表中国民用航空局批准 AFM 的这些更改。

B.1.3. 适航支持活动

B.1.3.1 单件产品的交付

a) 对于每架将要交付给中国的航空器，巴西国家民用航空局将颁发巴西国家民用航空局出口适航证，以证实此航空器符合中国民用航空局批准的型号设计。巴西国家民用航空局将通过在出口适航证的“例外”栏中注明偏离，把任何与中国民用航空局批准的型号设计不符合的情况通知中国民用航空局。

b) 巴西飞机工业公司将为正在交付的航空器提供一份重要改装的更新清单(“航空器构型确认 DCA 清单”)，列明所有在中国民用航空局颁发该型别航空器 VTCDS 最新修订版或在前一架相同型别航空器交付给中国（以后到为准）之后，在该航空器上实施并经巴西国家民用航空局批准的所有重要改装。

c) 如果中国民用航空局已经完成对影响到 VTCDS 的设计更改的评审，但由于某种原因在交付日之前还未颁发该 VTCDS 的改版，巴西飞机工业公司向中国营运人进行的飞机交付将不会受到影响。这种情况下，中国民用航空局将依据巴西飞机工业公司通过巴西国家民用航空局提出的请求颁发一个临时批准， 巴西国家民用航空局将在其颁发的出口适航证“例外”栏中注明此临时批准。

附录 C

AFM 批准的封面页样例

(航空器型别/制造人序列号)

(制造人名称和地址)

(文件号)

<中国或巴西> <航空器飞行手册或航空器飞行手册补充>

本<航空器飞行手册或航空器飞行手册补充>由<ANAC 或 CAAC>代表<CAAC 或 ANAC>按照<CCAR21.29 或 RBAC 21.29>批准用于在<中国或巴西>注册的航空器。

批准人: ----------

(姓名)

(<ANAC 或 CAAC> 代表人)

日期:

本航空器应按照本手册确定的限制和说明运行。

附录 D

向中国出口民用航空产品的特殊要求和程序的指导材料

D.1 CAAC认可的进口民用航空产品

按照中华人民共和国民用航空法，中华人民共和国适航管理条例，民用航空产品和零部件的合格审定规定(CCAR-21)， 民用航空器及其相关产品适航审定程序(AP-21-05)，航空器在中国运行之前必须获得中国适航证。

AP-21-05 中规定了颁发中国适航证的详细程序。下列内容是在出口时适用的一般要求。

D.2. 产品

D.2.1. 全新航空器

在出口时需提供下列文件以获得中国适航证：

a) 出口适航证，适用于完整的航空器。出口适航证应声明航空器符合经中国民用航空局批准的型号设计(插入中国民用航空局型号合格证编号，修订版次和日期)并处于安全可用状态；

b) 航空器未注册或取消注册的声明，根据适用情况确定；

c) 所有用于批准重要改装的补充型号合格证的清单；

d) 构型差异声明(与中国民用航空局已经认可的型号相比)；

e) 航空器构型文件，需详细描述所实施的客户选项，座椅构型（飞行员，机组成员，旅客和特殊布局)等；

f) 所有适用并实施的巴西国家民用航空局适航指令清单，包括：

1. 必须提供一份对所有巴西国家民用航空局颁发适航指令的符合性声明，以及采用的等效替代方法（如有）的说明；

2. 必须明确包含了重复性符合性要求的巴西国家民用航空局适航指令，并提供关于下一次符合性时间的信息；

g) 生产试飞报告(只适用于全新航空器)，如有；

h) 器材评审委员会记录或重大偏差记录的复印件(只适用于全新航空器)，若有；

i) 当前的载重平衡报告；

j) 噪声合格证的复印件；

k) 最新的罗盘系统测试和磁罗盘校准记录；

l) 服务通告执行状态清单；

m) 装机设备清单(型号设计)；

n) 持续适航文件/制造人维修手册；

o) 确认所有的时限/寿命项目未到期；

p) 应急和救生设备清单(运行要求)。

D.2.2. 使用过航空器

任何满足下列条件之一的航空器，即被视为使用过航空器：

1. 航空器所有权曾被除制造人或专门的租机公司之外的第三方所持有；
2. 航空器曾被私人拥有、出租或安排短暂使用；
3. 曾被专门用于培训驾驶员或者参与空中出租业务；
4. 航空器所有权虽然一直被制造人或专门的租机公司所持有，但未按规定的维修方案进行相应的维修，或累计使用超过 100 飞行小时或 1 日历年（以先到者为标准）。

使用过航空器在其服役期间，应按照批准的程序和中国民用航空局认可的方法(如，通过经 ANAC145 或 CCAR145 批准的修理站)进行维修和运行。检查和维修记录是中国民用航空局用以确定使用过航空器适航性的重要文件。对于使用过航空器，除了第 D.2.1 节的要求之外，还要求下列文件：

a) 在巴西注册的完整历史记录，如有；

b) 巴西国家民用航空局颁发的当前有效的标准适航证；

c) 航空器、发动机、螺旋桨、部件和设备的历史维修记录、飞行记录或等效的记录文件，根据适用性，包括：

1. 航空器的降落及增压循环数，需满足其强制寿命限制；
2. 航空器之前执行的维修计划，包括以前的检查循环及以后的检查循环；
3. 所有航空器、发动机、螺旋桨或设备的时寿件的飞行时间(任何时寿件的原始适航审定文件和航空器维修记录均需包含在内)，应满足其强制寿命限制；
4. 任何需满足经批准的大修间隔的航空发动机、螺旋桨或设备的部件的飞行时间；
5. 重要结构部件，如机翼、尾翼、直升机旋翼或传动部件的所有更改的详细说明，以及所有替换件的历史记录；
6. 重要结构修理的详细说明，包括每次损伤的性质。

进口使用过航空器的中国营运人要对此航空器进行预检，以确保其在中国投入运行前符合 CCAR-21 部第 21.174 条的要求。

中国民用航空局检查员将按照《民用航空器及其相关产品适航审定程序》(AP-21-AA-2008-05R2)对使用过航空器进行检查。

D.2.3. 语言

a) 按照要求在客舱、货舱、行李舱或储物箱以及航空器外部设置的标志和标牌上应采用中文或者双语(中文和英文)。

b) 航空器飞行手册应表明为中国航空器飞行手册，并应包括此手册适用于中国注册航空器的相关声明。

D.2.4. 米制仪表

每架航空器必须装有米制高度表或换算表(米-英尺)，且必须安装在两名飞行员都能够清楚看见的驾驶舱区域中。

D.2.5. 适航检查

颁发中国适航证之前，中国民用航空局将使用 AP-21-AA-2008-05R2 附录 4 中的检查单进行现场检查。

D.2.6. 航空发动机和螺旋桨(未安装在航空器上)

对于每一没有安装在航空器上的、新的或使用过的发动机或螺旋桨，必须在进口时提供下列文件：

a) 适航批准标签；

b) 所有实施的补充型号合格证(用于重要改装的批准)的清单；

c) 所有适用并实施了的巴西国家民用航空局适航指令的清单，包括：

1. 必须提供一份对所有巴西国家民用航空局颁发适航指令的符合性声明，以及采用的等效替代方法（如有）的说明；

2. 必须明确包含了重复性符合性要求的巴西国家民用航空局适航指令，并提供关于下一次符合性时间的信息；

d) 实施的所有服务通告的清单；

e) 确定所有的时限/寿命项目未到期；

f) 适用的维修记录，按照适用情况确定。

D.3. 零部件

每一出口到中国的零部件均应具备巴西国家民用航空局颁发的适航批准标签。

IMPLEMENTATION PROCEDURE OF AIRWORTHINESS

FOR

DESIGN APPROVAL, EXPORT AIRWORTHINESS CERTIFICATION, POST DESIGN APPROVAL ACTIVITIES, AND TECHNICAL ASSISTANCE BETWEEN AUTHORITIES

UNDER THE MEMORANDUM OF UNDERSTANDING

BETWEEN

THE CIVIL AVIATION ADMINISTRATION OF CHINA (CAAC)

AND

NATIONAL CIVIL AVIATION AGENCY OF BRAZIL (ANAC)

FOR

PROMOTION OF CIVIL AVIATION SAFETY

TABLE OF CONTENTS

1. GENERAL

1.1. Nature

According the article IX of the Memorandum of Understanding, for promotion of civil aviation safety, in force between Civil Aviation Administration of China (CAAC) and National Civil Aviation Agency (ANAC), Aircraft Airworthiness Department of CAAC (CAAC-AAD) and Superintendence of Airworthiness of ANAC (ANAC-SAR) are designate the Branches as its executive agent and they are developed the present Implementation Procedure of Airworthiness – IPA relating design approval, export airworthiness certification, post design approval activities, and technical assistance between CAAC-AAD and ANAC-SAR.

This IPA is intended to facilitate the approval process of the authorities for civil aeronautical products being imported and exported between Brazil and China and also intended to facilitate mutual cooperation and technical assistance, including accident and incident investigations for aircraft being manufactured in Brazil and in China.

1.2. Basis

The basis for this IPA is stated in article IV and IX of the Memorandum of Understanding in force between CAAC and ANAC.

1.3. Principles and Concept

CAAC-AAD and ANAC-SAR have been presented and understood the aircraft certification systems of each authority for the airworthiness and environmental certification, approval, or acceptance of civil aeronautical products, and decided to make this IPA feasible and to determine the appropriate scope between the authorities. (See Section 2 - Scope).

This document defines the procedures that each authority agrees to follow to enable that authority to meet its regulatory requirements for importing and supporting civil aeronautical products.

An important objective of this IPA, in accordance with the Memorandum of Understanding, is to ensure that the maximum practical credit is given to the exporting airworthiness authority's certification system during the certification/validation of a product by the importing authority.

Both ANAC-SAR and CAAC-AAD agree that all information, including technical documentation, exchanged under this IPA will be in the English language.

1.4. Changes in Authority Aircraft Certification Systems

There is a need for continuing ANAC-SAR and CAAC-AAD dialogue to ensure that the same or consistent information and requirements are issued on a given product. Therefore it is expected that both authorities will keep each other informed of all

relevant airworthiness and environmental laws, regulations, standards, and requirements, and of their airworthiness certification systems.

Each authority may, to the maximum extent practicable:

a) Notify the other authority of any plans to make revisions to its regulations/standards or requirements, and its system for airworthiness and environmental certification or approval;
b) Offer the other authority an opportunity to comment; and
c) Give due consideration to the comments made by the other authority on the intended revision.

Nevertheless, each authority shall advise the other of any changes in its:

a) Statutory (legal) responsibilities;
b) Organizational structure (e.g., key personnel, management structure, technical training, office location);
c) Production quality system oversight; or
d) Delegated responsibilities.

The other authority has the right to familiarize itself with such changes, including on-site discussions with the other authority to ensure the continued acceptance of this IPA.

The ANAC-SAR and CAAC-AAD further recognize that revision by either authority to its regulations, policies, procedures, statutory responsibility, organizational structure, production quality system oversight, or delegated responsibilities may affect the basis and the scope of this IPA. Accordingly, upon notice of such changes by one authority, the other authority may propose a meeting to review the need for amendment to this IPA.

1.5. Authority Meetings

ANAC-SAR and CAAC-AAD agree to meet at least once a year or as considered necessary to discuss this IPA, on-going and future certification projects, changes in authority organization, any revisions to their certification systems, technical assistance requests, or any other matters relating to the promotion of aviation safety under this IPA. The industry may be invited as necessary.

1.6. Interpretations

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

1.7. Continuous improvement of this IPA

CAAC-AAD and ANAC-SAR are responsible for the administrative process of keeping this document current. Suggestions for improvement are welcomed and can

be addressed to either of the offices at the addresses indicated in the Appendix A of this IPA.

1.7.1. Revision

This IPA may be revised at any time by mutual consent of the ANAC-SAR and CAAC-AAD. Also, this IPA may be revised periodically, taking into account improvements, additions, special arrangements or changes suggested by either the ANAC-SAR or CAAC-AAD, by the Brazilian or Chinese aviation industry associations or their member companies, or by other interested parties, to ensure that this IPA remain current.

Revisions shall be co-developed and made effective by the signatures of the ANAC-SAR Superintendent and the CAAC-AAD Director General and shall specify its effect, if any, on activities conducted under this IPA prior to the revision enter in force.

All revision to this IPA, including in its appendices, will be jointly administered by the ANAC-SAR and the CAAC-AAD.

1.7.2. Special arrangements

It is anticipated that urgent or unique situations may develop – with respect to design approval, export airworthiness certification, or technical assistance – which have not been specifically addressed in this IPA, but which are anticipated by the Memorandum of Understanding.

If such situation arises and has anticipated new technology or management developments that will lead to further repetitions, ANAC-SAR and CAAC-AAD will be address a solution for the situation and this IPA shall be revised accordingly 1.7.1 of this IPA.

The implementation of the solution can be developing, if necessary, by a special arrangement. Special arrangements co-developed between authorities are in Appendix B. If it is apparent that the situation is with little possibility of repetition, the special arrangement can be of limited duration.

1.8. Termination

ANAC-SAR or CAAC-AAD may terminate this IPA upon 60 (sixty) days written notice to the other party. Termination of this IPA will not affect the validity of activity conducted under their provisions prior to termination and each authority shall continue to perform the obligations stated in the Section 4.2 of the Annex 8 of the Convention on International Civil Aviation, as signed by the People's Republic of China and the Federative Republic of Brazil concerning continuing airworthiness, for as long as any civil aeronautical product imported from the Exporting Authority's country is operated in the Importing Authority's country.

1.9. Definitions

The definitions in Article II of the Memorandum of Understanding are incorporated by reference in this IPA. As used in this IPA, the following definitions are provided to supplement those definitions.

a) "Airworthiness Standards" means regulations governing the design, performance, materials, workmanship, manufacture, maintenance, and modification of civil aeronautical products.

b) "Appliance" means any instrument, mechanism, equipment, part, apparatus, 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, test, etc., the type design of a product is found to satisfy the specified airworthiness or environmental standards.

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

e) “Conformity” means that a product is examined against pertinent type design, test, and quality control data and is found to meet those data.

f) "Environmental Approval" means a finding that a civil aeronautical product complies with standards concerning noise and/or exhaust emissions.

g) "Environmental Standards" means regulations governing designs with regard to noise characteristics and exhaust emissions of civil aeronautical products.

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

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

j) "Exemption" means allowable noncompliance with a requirement when processed through the appropriate regulatory procedure by the ANAC-SAR or CAAC-AAD, and found to be in the public interest and not to have an adverse effect on safety.

k) "Exporting 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 aeronautical products. The exporting airworthiness authority will be referred to herein as the exporting authority.

l) "Finding" means the result of a civil aviation authority’s review, investigation, inspection, test, analysis, etc., to determine compliance of a design with a law, regulation, standard, or requirement, or yet the conformity of a product with approved type design data.

m) "Importing Airworthiness Authority" 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 airworthiness authority will be referred to herein as the importing authority.

n) "Maintenance" means the performance of inspection, overhaul, repair, preservation and the replacement of parts, materials, appliances, or components of a product to assure the continued airworthiness of that product but excludes modifications.

o) "Manufacturer" means the person responsible for the final assembly of a product under an ANAC-SAR or CAAC-AAD approved production quality system, which ensures conformity of the product to an approved type design. Final assembly includes the activities of producing or fabricating, notwithstanding that portions of the product may have been manufactured by other persons at other locations.
p) "Modification" means change to the construction, configuration, performance, environmental characteristics, or operating limitations of the affected product.
q) "Person" means any individual, firm, co-partnership, corporation, company, association, joint stock association, or governmental entity, and includes a trustee, receiver, assignee, or other similar representative thereof.
r) "Production Quality System" means a systematic process which provides confidence that aeronautical products will conform to the approved type design and will be in a condition for safe operation.
s) "Special Condition" means an airworthiness standard(s) prescribed by the airworthiness authority when the regulations for the product do not contain adequate or appropriate safety standards due to novel or unusual design features. Special Conditions contain such safety standards as the airworthiness authority finds necessary to establish a level of safety equivalent to that envisaged by the regulations.
t) "Supplier"' means a person who is contracted to provide a component or special process to a product manufacturer to be incorporated into the manufacturer's civil aeronautical product.
u) "Type Design Approval" means the issuance of a certificate, approval, or acceptance by, or on behalf of, an airworthiness authority for the type design of a product.

2. SCOPE

2.1. General

This IPA cover the provisions set forth in the following paragraphs.

2.2. Provisions for Products and Parts Accepted for Import under this IPA

a) China acceptance of ANAC Export Certificates of Airworthiness for class I new and used products.
b) China acceptance of ANAC Airworthiness Approval Tag for class II and class III products.
c) Brazil acceptance of CAAC Export Certificates of Airworthiness for class I new and used products.
d) Brazil acceptance of CAAC Export Airworthiness Approval Tag for class II and class III products.

2.3. Provisions for Technical Assistance

ANAC-SAR and CAAC-AAD agree to cooperate when technical assistance is needed by one airworthiness authority in fulfilling its national airworthiness and environmental duties in the other airworthiness authority's country.

3. ESTABLISHED WORKING PROCEDURES

3.1. Design Approval Procedures

3.1.1. General

Approval of the type design of a product, or changes to the type design of a product, by the importing authority will be based, to the maximum extent practicable, on technical evaluations, tests, inspections, and compliance certifications made by the exporting authority.

The appropriate design approval is 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 type design has been examined, tested, inspected, and found to meet the airworthiness criteria prescribed by the importing authority, which the importing authority has found to be equivalent to its own national airworthiness standards for a similar product.

3.1.2. Type Design Approval Application Consideration

3.1.2.1. Brazil

Any aircraft model exported to Brazil (under a purchasing or leasing agreement), regardless of being new or used, must have a Brazilian type certificate, issued on the basis of the primary foreign authority type certificate, to be eligible for registration on the Brazilian Registry.

Any aircraft with a Brazilian type certificate, modified in accordance with a foreign authority supplemental type certificate, or equivalent document, exported to Brazil, must have a Brazilian supplemental type certificate, or equivalent approval, issued on the basis of the primary foreign authority supplemental type certificate, or equivalent document.

Any aircraft engine or propeller model exported to Brazil, regardless of being new or used, must have a Brazilian type certificate, issued on the basis of the primary foreign authority type certificate, to be eligible for installation on any aircraft with a Brazilian type certificate.

Any part, subassembly, component or appliance, not included in the approved Brazilian type design definition, must have a Brazilian approval or acceptance for installation, based on the primary foreign authority approval, to be eligible for installation on any product with a Brazilian type certificate

3.1.2.2. China

Any aircraft model exported to China (under a purchasing or leasing agreement), regardless of being new or used, must have a Chinese type certificate, issued on the basis of the primary foreign authority type certificate, to be eligible for registration

on the China Registry or to be operated under lease by a China certificated air carrier or commercial operator under Chinese Civil Aviation Regulations.

Any aircraft with a Chinese type certificate, modified in accordance with a foreign authority supplemental type certificate, or equivalent document, exported to China, must have a Chinese supplemental type certificate, or equivalent approval, issued on the basis of the primary foreign authority supplemental type certificate, or equivalent document.

Any aircraft engine or propeller model exported to China, regardless of being new or used, must have a Chinese type certificate, issued on the basis of the primary foreign authority type certificate, to be eligible for installation on any aircraft with a Chinese type certificate.

Any part, subassembly, component or appliance, not included in the approved Chinese type design definition, must have a Chinese approval or acceptance for installation, based on the primary foreign authority approval, to be eligible for installation on any product with a Chinese type certificate.

3.1.2.3. New category of product

A new category of product is meant as a category of product for which the exporting Authority has not experienced a complete certification process with respect to the concerned design airworthiness standards.

If the application is for a new category of product, or has a level of complexity that has not been previously certified by the exporting Authority, the exporting Authority should notify the importing Authority. This notification should be made as soon as the exporting Authority becomes aware of this type of pending application, so that the importing Authority may plan the scope of its validation program.

3.1.3. Type Design Approval Procedure for Aircraft, Aircraft Engines, and Propellers

ANAC-SAR issues "Certificado de Tipo" (CT) and CAAC-AAD issues "Validation of Type Certificate" (VTC) for imported products to grant approval of the type design of aircraft, aircraft engines, and propellers.

The following procedures apply to such products type design to be approved by ANAC-SAR or by CAAC-AAD for standard airworthiness certification.

Nonstandard category aircraft, and aircraft engines and propellers for nonstandard category aircraft, will be dealt with on a case-by-case basis through the special arrangement provisions of this document.

3.1.3.1. Application

An application for type design approval will have to be made by the applicant through its Authority with a request that the application and related information be forwarded to the importing Authority.

All Chinese applications for ANAC-SAR type design approval will be sent by CAAC-AAD to ANAC-SAR.

All Brazilian applications for CAAC type design approval will be sent by the ANAC-SAR to CAAC-AAD.

Applications should include:
a) A general technical description of the product;
b) A three-view drawing for aircraft or a cross-section drawing for aircraft engines and propellers;
c) The Type Certificate and the Type Certificate Data Sheet, if available, or a statement of the applicable airworthiness standards for design approval (including environmental requirements) as established by the exporting Authority for its own domestic design approval;
d) Any novel or unusual design features known to the applicant at the time of application which might necessitate issuance of airworthiness special conditions;
e) Any expected exemptions or equivalent safety findings relative to the exporting authorities airworthiness standards for type design approval;
f) The estimated date of the first delivery;
g) A copy of the production certificate, including limitation records;
h) A copy of each issue papers as granted by the exporting authority;
i) A copy of the Compliance Check List as granted by the exporting authority; and
j) Description of operating characteristics, principles and operation limitations for engines and propellers.

3.1.3.2. 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 will 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) will 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 technical 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 a prior service history, the applicant and the exporting Authority to brief the importing Authority on the product service history, including corrective measures applied to preclude occurrence of incidents or accidents.

3.1.3.3. Establishment of the type certification basis by the importing Authority

a) The importing Authority will establish a Type Certification Basis for the product design in accordance with its own domestic airworthiness and environmental standards and procedures in effect for a similar product, on the basis of the standards which were in effect in the importing State at the time the application was received for the approval of the product type design by the exporting Authority.

b) Once the importing Authority's Type Certification Basis has been established, the airworthiness criteria for type certification by the importing Authority will be developed jointly by the importing Authority and the exporting Authority so as to:

   (i) Give maximum credit to the exporting Authority's domestic certification system; 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, based on an exporting Authority certification of compliance with the agreed airworthiness criteria.

c) The airworthiness criteria defined by the importing Authority will consist of the airworthiness standards as applied by the exporting Authority under its own domestic certification system, plus any additional technical conditions specified by the importing Authority to establish an equivalent level of safety with its own domestic standards for a similar product.

3.1.3.4. Additional technical conditions

The additional technical conditions may include any or all of the following:

a) Additional conditions based on differences, between the two States, in the basic airworthiness and environmental standards, interpretations, applications, policies, and guidance materials in effect on the date of the application for the type certificate issued by the exporting authority. In the case of Brazil, the basic airworthiness standards are set out in "Regulamentos Brasileiros da Aviação Civil (RBAC)" issued by ANAC. In the case of China, the basic airworthiness standards are set out in "Chinese Civil Aviation Regulations" (CCAR), issued by CAAC;

b) Special Conditions related to novel or unusual features of the product design which are not covered by the adopted airworthiness standards of the exporting Authority;

c) Airworthiness conditions based on an evaluation of equivalent safety findings and exemptions granted by the exporting Authority to the applicant for domestic certification; and

d) Actions deemed necessary by the importing State for continued safe operation as a result of the importing Authority review of the service history and the actions taken by the exporting Authority to correct unsafe conditions on products of a type design previously certified by the exporting Authority and having accumulated a documented service history.

3.1.3.5. Design-related operational requirements.

Operational requirements of the importing Authority for a particular kind or condition of operation, which would affect the design or performance of the product,

could include the provision of additional equipment, as well as supplementary advisory information in the aircraft flight manual and maintenance information.

Mandatory design-related operational requirements will be notified by the importing Authority at the time of each validation process.

3.1.3.6. 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 type certification, the importing Authority may request additional technical design data, may review the product, and may fly the product for its certification and familiarization purposes. Also, when deemed necessary, the importing Authority may fly, or conduct a detailed review of the product to ensure compliance with the additional technical conditions. The applicant will submit all data, as required by the importing authority, to the exporting Authority for verification and transmission to the importing Authority.

3.1.3.7. Technical meetings.

In addition to the initial familiarization briefing, other technical meetings may be necessary to ensure that any additional technical conditions and mandatory design-related operational requirements 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 both Authorities' 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 both Authorities for timely resolution of outstanding issues;
c) Technical meetings held with the applicant to provide the applicant with the importing Authority's position with respect to any unresolved technical issues; and
d) Technical meetings involving flight operations and maintenance specialists of both Authorities and the applicant to facilitate operational acceptance of the product by the importing Authority for a particular kind or condition of operation.

3.1.3.8. Issue Paper and "Ficha de Controle de Assuntos Relevantes".

Issue Paper (IP), for CAAC-AAD, and "Ficha de Controle de Assuntos Relevantes" (FCAR), for ANAC-SAR, may be prepared by the importing Authority, as applicable, which describe issues such as Additional Technical Conditions to be resolved before the importing Authority can grant a CT/VTC. The exact form and scope of these documents will be determined by each Authority and details of their use will be provided to the other Authority.

3.1.3.9. Approval of aircraft flight manual.

The exporting authority will approve the flight manual for the individual imported aircraft on behalf of the importing authority according to the type design approval of the importing authority. This approval will be used with a cover sheet (see in the appendix C the model of the cover sheet).

3.1.4. Supplemental Type Approval

ANAC may issue "Certificado Suplementar de Tipo" (CST) and CAAC-AAD may issue "Validation of Supplemental Type Certificate" (VSTC) and "Modification Design Approval" (MDA) for imported aeronautical products to grant approval for major changes to a type design on aeronautical products for which a standard type certificate has been previously granted.

The importing Authority will consider approving a change in type design on a product made by an applicant in the exporting State, provided the product has been type certified by the importing Authority.

The CST is based on STC or MDA issued by CAAC. VSTC is based on CST issued by ANAC.

Application for CST/VSTC relating to product type certified in nonstandard categories and design approvals for modifications authorized under ANAC-SAR or CAAC-AAD one-off engineering modifications will be dealt with on a case-by-case basis.

3.1.4.1. Application for CST/VSTC

An applicant will submit CST/VSTC applications to the exporting Authority with a request that the application and related information described in this section be forwarded to the importing Authority. Each application will provide the following information:

a) Description of the change, identifying the CT/TC holder and model of the product;
b) Copy of the exporting Authority approval document and related certification basis;
c) Information on any equivalent safety findings or exemptions granted by the exporting Authority for the domestic CST/STC or MDA;
d) A copy of each issue papers and a copy of the compliance check list as granted by the exporting authority;
e) A copy of the master drawing list or equivalent document; and
f) The estimated date of the first delivery.

3.1.4.2. Establishment of applicable airworthiness criteria.

The approval basis for a CST/VSTC will normally be the airworthiness standards originally established by the importing Authority for CT/TC approval of the basic

product. Additional technical conditions may be prescribed by the importing Authority when the circumstances of the design change make them necessary.

3.1.4.3. Basic documentation.

The following documentation will, under normal circumstances, be required for review by the importing Authority, as appropriate:
a) Compliance checklist;
b) Aircraft Flight Manual Supplement;
c) Master Drawing List;
d) Installation Instructions;
e) Weight and balance data; and
f) Instructions for Continued Airworthiness.

3.1.4.4. Additional documentation for complex CST/VSTC.

When required by the technical complexity of the design change (e.g., additional technical conditions), it may be necessary to provide additional data such as:
a) Engineering reports;
b) Structural analysis;
c) Flight test data, etc.

3.1.4.5. Approval procedures.

The importing Authority will review the CST/VSTC application, together with the exporting Authority's approval document and certification basis. The importing Authority will either concur with the exporting Authority basis of certification or propose additional technical conditions.

Findings of compliance against these technical conditions will normally be made by the exporting Authority upon request from the importing Authority. This will not preclude the possibility for the importing Authority to familiarize itself with complex CST/VSTC and to perform additional evaluations, such as flight tests, etc. using a certification procedure similar to that described in Section 3.1.3, adjusted for the significance and complexity of the change.

3.1.4.6. Approval of aircraft flight manual supplement

The procedure for approval of aircraft flight manual supplement must follow the same procedures stated in 3.1.3.9 of this IPA.

3.1.5 Design approvals of products other than aircraft, aircraft engines and propellers

CAAC-AAD and ANAC-SAR note that both authorities have standards applicable to appliances equivalent to the US FAA Technical Standard Orders (TSO).

The ANAC design and installation approval of appliance for Brazilian applicants is characterized by the issuance of an "Atestado de Produto Aeronáutico Aprovado – APAA" (Attestation of Approved Aeronautical Product) according to an "Ordem

Técnica Padrão – OTP" (similar to FAA TSO) specification. The ANAC production approval for a product approved by an APAA is characterized by the issuance of a "Certificado de Organização de Produção – COP" (Production Organization Certificate). The ANAC issues "Design Approval Letter – DAL" for TSO design approval of imported appliances.

The CAAC design and production approval for these appliances is characterized by the issuance of a "Chinese Technical Standard Order Authorization (CTSOA)" according to a CAAC-TSO specification. The CAAC issues "Validation of Design Approval (VDA)" for design approval of critical imported appliances.

CAAC VDA and ANAC DAL may not constitute an approval for installation of the TSO appliance on a specific aircraft type. When this occurs, the applicant/installer must obtain installation data approval from their national civil aviation authority for use on either a Chinese or a Brazilian registered aircraft, respectively.

Normally, the appropriate form of design approval may be issued to the applicant by the importing Authority after:

3.1.5.1 Receipt of a statement

Receipt of a statement from the applicant through the exporting Authority, with confirmation by the exporting Authority that the design and the performance of the part comply with the respective applicable standard.

3.1.5.2 Receipt and review of data

Receipt of the following data:

a) All the required data pertaining to the proper design, installation, performance, operation, and maintenance of the appliance;
b) Other specific technical data, as jointly agreed between the authorities, needed to demonstrate compliance with a ANAC-OTP or CAAC-TSO, such as a first-of a-kind ANAC-OTP/CAAC-TSO, or unique application of a ANAC-OTP/CAAC-TSO appliance; and
c) Any approvals of deviations granted by the exporting authority; deviations must be approved by the importing authority.

3.2. Export Airworthiness Certification Procedures

3.2.1. General

a) For ANAC, as exporting authority, Export Certificates of Airworthiness shall be issued for aircraft (export class I products) and Airworthiness Approval Tags shall be issued for aircraft engines, propellers, articles, appliances, parts and materials (export class II and III products).
b) For CAAC, as exporting authority, Export Certificates of Airworthiness shall be issued for aircraft, engine and propellers (export class I products) and Airworthiness Approval Tags shall be issued for aircraft articles, appliances, parts and materials (export class II and III products).

3.2.2. Production Quality System Approval

All products exported under the provisions of this IPA shall be produced in accordance with a production quality system approved and acceptable to the exporting authority, which assures conformity to the type design approved by the importing authority and ensures that completed products are in a condition for safe operation. Therefore, a separate approval of the manufacturer's production quality system by the importing authority is not required, although it is consistent with the intent of this IPA that the importing authority may, on an initial and recurrent basis, familiarize itself with the manufacturer's production quality system.

If a production approval has been granted and it was extended to a manufacturing site or facility in another country, the completed products being exported from that manufacturing site or facility shall be considered as manufactured in the exporting airworthiness authority's country.

When a production approval has been granted and it was extended by the exporting airworthiness authority to include manufacturing sites and facilities in another country, the exporting airworthiness authority still remains fully responsible for the regulatory control and airworthiness certification of completed products and parts being exported from that location. In this case, the importing authority may keep the right to familiarize itself with third country manufacturer's production quality system.

3.2.3. Unrestrained Access

The exporting authority agrees that the importing authority will have continued free access to participate in the exporting authority's inspections and to conduct independent inspections at the importing authority approval holders and at suppliers to the importing authorities approval holders located in the exporting country.

3.2.4. Production under a Licensing Agreement

Each airworthiness authority shall ensure that identical products and parts, produced by the original design approval holder and/or the licensee, are continuously produced to the same design and production criteria, and that design changes are adequately controlled so that changes required for production in the extension facility are approved by the authority of the State of Design. Whenever the production under a licensing agreement occurs, both authorities shall sign a special arrangement. All manufactured products and parts, which have an impact on safety (Critical Parts), shall be uniquely identifiable so as to readily distinguish the original production approval holder's products and parts from those of the extension facility or licensee.

3.2.5. Issuing and Accepting Export Certificates of Airworthiness and Airworthiness Approval Tags for Export

3.2.5.1. 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 exporting and importing authorities mandatory airworthiness modifications and special inspections;
c) Meets the special requirements of the importing country, as notified; and
d) For an aircraft engine or propeller, had undergone a final operational check (was run and is working within the approved limits).

Note: ANAC issue the Airworthiness Approval Tag for aircraft engines and propellers and need to comply with “a”, “b”,”c” and “d” above.

3.2.5.2. Parts and materials

The importing authority shall accept the Airworthiness Approval Tag of the exporting authority on articles, appliances, 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 3.2.6.1.a) or 3.2.6.2.a) of this IPA; and
c) Meets the special requirements of the importing country, as notified.

3.2.5.3. Export Certificate of Airworthiness exceptions

The exporting authority shall notify the importing authority prior to issuing an Export Certificate of Airworthiness in which a non-compliance to the importing authority approved type design is to be noted under the “Exceptions” section of the Export Certificate of Airworthiness. This notification should help to resolve any issues concerning the aircraft eligibility for the importing authority airworthiness certification.

The importing authority should inform the exporting authority on the acceptance of these exceptions.

Any non-conformity 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.

3.2.5.4. Airworthiness Approval Tag exceptions

The exporting authority shall notify the importing authority prior to issuing a Airworthiness Approval Tag in which a non-compliance to the importing authority approved type design is to be noted under the “Exceptions” section of the Airworthiness Approval Tag. This notification should help to resolve any issues concerning the aircraft eligibility for the importing authority certificate of

airworthiness. The importing authority should inform the exporting authority on the acceptance of these exceptions.

Any non-conformity to the importing authority's approved design shall be noted by the exporting authority as an exception on the Airworthiness Approval Tag.

3.2.5.5. Used aircraft

3.2.5.5.1. Used aircraft for which there has been a design approval granted by the importing authority

The importing authority shall accept Export Certificates of Airworthiness on used airplanes for which either the importing authority or the exporting authority is the State of Design, as identified in Section 2.2, for import into its own country for airworthiness certification when the exporting authority certifies that the used aircraft:

a) Has been found to conform to the originally approved type design/type certificate as specified in the importing authority type certificate data sheet, and any additional supplemental type certificates approved by the importing authority as notified;
b) Has complied with all pertinent safety issues and concerns (e.g., airworthiness directives, mandatory service bulletins etc.) issued by the exporting and importing airworthiness authority for that model and series aircraft;
c) Has been properly maintained and operated using approved procedures and methods acceptable to the importing airworthiness authority during its service life (evidenced by logbooks and maintenance records);
d) Meets all the special requirements of the importing country; and
e) Is presently in a condition for safe operation.

3.2.5.5.2. Used aircraft manufactured by a Third Party

The importing authority will also accept the Export Certificate of Airworthiness of exporting authority (other than the country of manufacture) for used aircraft of which the type design has been approved by the importing authority and the conditions of paragraphs a-e above have been met (Third Party provision).

The importance of original and newly generated inspection and maintenance records cannot be overemphasized for use by the importing airworthiness authority in determining the airworthiness of used aircraft. These may be requested by the importing airworthiness authority and include, but are not limited to: a copy of the original Export Certificate of Airworthiness (specifically including any accepted deviations, exceptions, or waivers) issued by the country of export; verifying records which ensure that any overhauls, modifications, alterations, and repairs where accomplished in accordance with approved data; maintenance records and log entries which substantiate that the used aircraft has been properly maintained throughout its service life to the requirements of an approved maintenance program; etc.

These provisions shall only apply for aircraft of a third country when bilateral agreements/arrangements for this purpose have been formalized between any third countries and both the CAAC and ANAC, covering the same class of products.

3.2.6. Additional Requirements for Importing Products

3.2.6.1. Chinese import requirements

The following identifies those additional requirements that must be complied with as a condition of acceptance of products imported into China, or for use on Chinese-registered aircraft.

a) Identification and marking.
   (i) Aircraft, aircraft engines, and propellers must be identified in a manner outlined in CCAR21.341-21.342.
   (ii) Product components or parts, for which a replacement time, inspection interval, or related procedure is specified in the Airworthiness Limitations section of the manufacturer's maintenance manual or Instructions for Continued Airworthiness, must be identified with a part number (or equivalent) and serial number (or equivalent).
   (iii) Appliances and articles of a design approved by a CAAC-AAD under a CAAC-TSO specification must be marked in accordance with the requirements outlined in CCAR 21, Subpart 8, and any additional marking requirements specified in the particular CAAC-TSO. Approved deviations shall be marked by the holder of the CAAC-TSO design approval on the CAAC-TSO appliance or noted in attached limitations.
   (iv) Parts to be used as replacement or modification parts must be identified by a part number, serial number if applicable, and the manufacturer's name or trademark.
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 used aircraft, including the aircraft engine, propeller, rotor, or appliance, must be accompanied by maintenance records equivalent to those specified in CCAR-145.32 and CCAR-121.80 that reflect the status of required inspections, life limits, etc. There should be evidences by logbooks and maintenance records that the aircraft has been properly maintained, altered, and operated using approved procedures and methods acceptable to the CAAC during its service life.

Guidance material on the special requirements and procedures for exportation of civil aeronautical products to China are listed in Appendix D.

3.2.6.2. Brazilian import requirements

The following identifies those additional requirements that must be complied with as a condition of acceptance of products imported into Brazil, or for use on Brazilian-registered aircraft.

a) Identification and marking.
   (i) Aircraft, aircraft engines, and propellers must be identified in a manner outlined in RBAC 45.
   (ii) Product components or parts, for which a replacement time, inspection interval, or related procedure is specified in the Airworthiness Limitations section of the manufacturer's maintenance manual or Instructions for

Continued Airworthiness, must be identified with a part number (or equivalent) and serial number (or equivalent).

(iii) Appliances and articles of a design approved by an ANAC Attestation of Approved Aeronautical Product under an ANAC-OTP specification must be marked in accordance with the requirements outlined in RBAC 21, Subpart O, and any additional marking requirements specified in the particular ANAC-OTP. Approved deviations shall be marked by the holder of the ANAC-OTP design approval on the ANAC-OTP appliance or noted in attached limitations. Nevertheless, the holder of a ANAC Installation Approval Letter for a CAAC-TSO approved article does not need to remark the article in accordance with the above instructions.

(iv) Parts to be used as replacement or modification parts must be identified by a part number, serial number if applicable, and the manufacturer's name or trademark.

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 used aircraft, including the aircraft engine, propeller, rotor, or appliance, must be accompanied by maintenance records equivalent to those specified in RBHA[1] 91 Section 91.417, RBAC 121 Section 121.380 and RBHA 135 Section 135.439 (see Appendix C), that reflect the status of required inspections, life limits, and so forth. There should be evidences by logbooks and maintenance records that the aircraft has been properly maintained, altered, and operated using approved procedures and methods acceptable to the ANAC during its service life.

d) The Export Certificate of Airworthiness shall list all STCs and field approvals documents incorporated in the particular product.

Guidance materials on the special requirements and procedures for exportation of civil aeronautical products to Brazil are described in the ANAC-GGCP Information Circular (CI) 21-010 - Brazilian Approval of Imported Civil Aeronautical Products.

3.3. Designee and Delegation Procedures

3.3.1. General

The parties to this agreement mutually recognize their delegation and designee systems.

3.3.2. Procedural Requirements for Exporting Products

All Export Certificates of Airworthiness or Airworthiness Approval Tags, generated by individual designees or representatives of delegated organizations, shall be traceable back to an individual person or organization.

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[1] According the article 47, I, of the Brazilian Law nº 11.182, 27 September 2005, and ANAC Resolution nº 30, 21 May 2008, "Regulamentos Brasileiros da Aviação Civil – RBACs" in the future will replace all "Regulamentos Brasileiros de Homologação Aeronáutica – RBHAs".

3.4. Post Design Approval Procedures

3.4.1. Continued Airworthiness

3.4.1.1. General

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

3.4.1.2. Malfunctions, Failures, and Defects Reports

Each authority agrees, upon request, to provide the other with information on malfunctions, failures, defects, and accidents encountered in service at the addresses indicated in the Appendix A of this IPA.

3.4.1.3. 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.

The exporting authority shall assist the importing authority in developing remedies, as may become necessary, to correct any unsafe condition of the type design that may be discovered after the product type design is approved by the importing authority.

3.4.1.4. Mandatory Continuing Airworthiness Actions

In the case of mandatory continuing airworthiness actions, each 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. The contact information for both authority to receive the mandatory airworthiness information is in the list of contact according Appendix A.

The issuing airworthiness authority shall identify the safety problem (unsafe condition) requiring the mandatory continuing airworthiness action. In the case of emergency airworthiness information, the issuing airworthiness authority should ensure special handling so that the other airworthiness authority is notified immediately and can take appropriate parallel action within the constraints of the original action.

3.4.2. Design Changes

3.4.2.1. Approval of changes to a type design

a) Approval of changes to the design (e.g., model changes) sought by the type certificate holder will be issued as amendments to the VTC/CT by the importing Authority. A certification procedure similar to that described in Section 3.1.3 will be applied, but adjusted as appropriate for the significance 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 similar product and circumstances in the importing State.
b) Those type design changes having an effect on the importing authority type certificate datasheet should be submitted to the importing authority for validation through the exporting authority. The importing authority will inform the exporting authority of its approval.
c) Major type design changes having no effect on the importing authority type certificate datasheet should be notified to the importing authority through the exporting authority on a timely basis as agreed by both authorities. The importing authority will accept the type design change without technical validation on the basis of the exporting authority statement of compliance. Notification of its approval from the importing authority is not required for such situation. However, the importing authority reserves the right to make technical investigation and will notify the exporting authority if such decision is made.
d) Except where notified under paragraph 3.4.2.1(b) and (c) above, all other design changes approved by the exporting authority or its delegate will be considered approved by the importing authority.

3.4.2.2. Procedures for Changes to a Supplemental Type Certificate

The CAAC-AAD and the ANAC-SAR agree to follow the procedures in paragraph 3.4.2.1 to the extent applicable. Where unique situations may occur, the CAAC-AAD and ANAC-SAR will consult with each other on the specific process to be applied.

3.4.2.3. Approval of revisions to aircraft flight manual

The CAAC-AAD and ANAC-SAR may delegate review and signature of revisions to the flight manuals, supplements and appendices, according to the type design

approval, on behalf of each other, in order to facilitate their timely approval. This approval will be used with a cover sheet (see in the Appendix C the model of the cover sheet).

3.4.2.4. Procedures for changes to a ANAC DAL or a CAAC VDA

Major changes to a CAAC-TSO or ANAC-OTP design require re-substantiation of the new design and re-issuance of the ANAC DAL or CAAC VDA, respectively, and shall be done in accordance with the procedures in paragraph 3.1.5.

3.4.2.5. CAAC and ANAC will automatically accept minor changes to a design approved by the other that not affect the certificate data sheet.

3.4.3. Acceptance of Design Data Used in Support of Repairs

Design data used in support of repairs must be approved by the exporting authority (State of Design) in the following manner, which is acceptable to the importing authority:

a) ANAC as Exporting Authority. ANAC-SAR approves structural repair manuals and major repairs incorporated in individual aircraft either by its own structural engineering specialists or by the designated engineering representatives at the manufacturer of the affected product. Those individual aircraft repairs shall be recorded and substantiated by issuance of the Form F 200-06, Report of Compliance of Aircraft or Other Aeronautical Products with the RBAC. Minor repairs, made in accordance with RBHA 43, are accepted by ANAC.
b) CAAC as Exporting Authority. CAAC-AAD approves structural repair manuals and major repairs incorporated in individual aircraft either by its own structural engineering specialists or by the designated engineering representatives at the manufacturer of the affected product. Those individual aircraft repairs shall be recorded and substantiated by issuance of the Form AAC-039, Type Data Approval Form, or Form AAC-085, Major Repair and Modification Report. Repairs and modification, made in accordance with CCAR 43, are accepted by CAAC.

4. TECHNICAL ASSISTANCE BETWEEN AUTHORITIES

4.1. General

Upon request and mutual agreement, one airworthiness authority may provide to the other airworthiness authority, or may provide on behalf of the other airworthiness authority, technical assistance in furtherance of the purposes and objectives of this IPA. Such areas of assistance may include, but are not limited to, the following:

4.2. Accident/incident Investigation Information Requests

When importing authority needs airworthiness information for the investigation of service incidents or accidents involving a product imported under this IPA, 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.

5. ACCOUNTABILITY – PROTECTION OF PROPRIETARY DATA

Subject to their respective legislation, the CAAC-AAD and ANAC-SAR shall neither disclose to the public, information received from each other under this IPA that constitutes trade secrets, intellectual property, confidential commercial or financial information, proprietary data, or information that relates to an ongoing investigation. To this end such information shall be considered proprietary and be appropriately marked as such.

6. AUTHORITIES SIGNATURES

IN WITNESS WHEREOF, the undersigned, being duly authorized representatives of the respective Authorities have signed the present Implementation Procedure of Airworthiness, done in duplicate in English, Chinese and Portuguese, which integrally replace the Implementation Procedure signed at 8 March 2001. In case of divergence of interpretation, the English version shall prevail.

Original Signed by	**Original Signed by**
Dino Ishikura	**Zhang Hong Ying**
Superintendent,	Director General
Airworthiness Superintendence	Aircraft Airworthiness Certification Department
Agência Nacional de Aviação Civil - Brazil	Civil Aviation Administration of China
Date: February 15, 2011.	Date: February 15, 2011.

APPENDIX A
LIST OF ADDRESSES FOR ANAC-SAR OFFICE AND CAAC OFFICE

A.1. FOCAL POINT IN THE RESPECTIVE AUTHORITIES

A.1.1. When necessary, for specifics activities between authorities, establish focal points, each authority should send to the other authority, a list of that focal points with the following applicable information:

a. Name of the focal point;
b. Area where the focal point is working;
c. Address of the focal point area;
d. Matter related that focal point;
e. Telephone, mobile telephone, fax;
f. E-mail; and
g. Other information necessary to make the appropriate contact with the focal point.

A.1.2. The list above mentioned should be update when necessary or every year, and the authority who received the list should internally, or externally to the authority, inform all person that are necessary to know the information of the focal points.

A.2. ANAC-SAR HEADQUARTERS

Superintendência de Aeronavegabilidade
Avenida Cassiano Ricardo, 521
Bloco B – 2° Andar – Jardim Aquarius
12246-870 – São José dos Campos – SP
Phone: 55 (12) 3797-2525
Fax: 55 (12) 3797-2330
Home page: www.anac.gov.br
E-mail: prodcert.arrang@anac.gov.br

A.3. CAAC HEADQUARTERS

Civil Aviation Administration of China
Aircraft Certification Department
155 Dongsi St. West
100710, Beijing
CHINA

Aircraft Inspection Division
Telephone: 86(10)64091390
Fax: 86(10)64091380

Aircraft Certification Division
Telephone: 86(10)64091331
Fax: 86(10)64092331

Engine Certification Division
Telephone: 86(10)64091308
Fax: 86(10)64033087

A.4. CAAC AIRWORTHINESS CERTIFICATION DIVISION OF REGIONAL OF ADMINISTRATION:

Airworthiness Certification Division
North China Administration of CAAC
Beijing Capital Airport
100621 Beijing, P.R. China
Fax: (8610) 64596413
Phone: (8610) 64590381

ATTN: Director, Airworthiness Certification Division
South and Center Administration of CAAC
Guangzhou Bai Yun Airport
510405 Guangzhou, P.R. China
Fax: (8620) 86304190
Phone: (8620) 86133331

ATTN: Director, Airworthiness Certification Division
East China Administration of CAAC
Shanghai Hong qiao Airport
200335, Shanghai, P.R. China
Fax: (8621) 62688434
Phone: (8621) 51126122

ATTN: Director, Airworthiness Certification Division
Northwest China Administration of CAAC
No.27 Tao Yuan Nan Lu
710082, Xian, P.R. China
Fax: (8629) 88793018
Phone: (8629)88791073

ATTN: Director, Airworthiness Certification Division
Northeast China Administration of CAAC
No.3 Xiao He Yan Lu
110043 Shenyang, P.R. China
Fax: (8624) 88294012
Phone: (8624) 88293067

ATTN: Director, Airworthiness Certification Division
Southwest China Administration of CAAC
Chengdu Shuangliu Airport
601202 Chengdu, P.R. China
Fax: (8628) 85710155
Phone: (8628) 85710145

ATTN: Director, Airworthiness Division
Xin Jiang Administration of CAAC
No.46 Ying Bin Lu
830016 Wu Lu Mu Qi, P.R. China
Fax: (86991) 3804024
Phone: (8691) 3804026

APPENDIX B
SPECIAL ARRANGEMENTS

B.1. SPECIAL ARRANGEMENT ON EMBRAER PRODUCTS

According section 1.7 of this IPA, CAAC-AAD and ANAC-SAR developed and establish the following special arrangements applicable to Embraer products.

B.1.1. Scope and Purpose

This special arrangement covers the activities related to Embraer products, and is intended to accomplish the following objectives:

a) To define the working procedures under the respective responsibilities of each Authority:
   (i) For subsequent post type design validation activities; and
   (ii) The documents required for individual deliveries of Embraer manufactured aircraft to China.
b) To minimize redundant inspections, tests, demonstration, evaluations, and approvals.

B.1.2. Post Type Design Validation Activities

Every Embraer product validated with a VTC issued by CAAC is subject to the following conditions related to the approval of changes:

B.1.2.1. Design change approval

a) According to section 3.4.2.1 (b) of the IPA, CAAC will be notified by ANAC on the design changes that affect the VTCDS. CAAC will inform ANAC with the approval of this change.
b) According to section 3.4.2.1 (c) of the IPA, CAAC will automatically accept ANAC approval for major design changes that has no effect on CAAC VTCDS. For these cases, CAAC will not issue any additional approval document.
c) CAAC will be quarterly notified by ANAC about the major design changes approved by ANAC, in accordance with Embraer information.
d) CAAC reserves the right to make technical investigation and will notify ANAC if such decision is made.

B.1.2.2 Approval of revisions to the Aircraft Flight Manual – AFM

For Embraer products, CAAC delegates to ANAC the review and signature of revisions to the flight manuals, its supplements and appendices, according to CAAC approved type design. ANAC will approve these changes to the AFM on behalf of CAAC.

B.1.3. Airworthiness Support Activities

B.1.3.1 Individual Product Deliveries

a) For each aircraft to be delivered to China, ANAC will issue an ANAC Export Certificate of Airworthiness, which certifies that the particular aircraft complies with the CAAC approved type design. ANAC will notify CAAC of any non-compliance to CAAC approved type design by noting the deviation on the "Exceptions" section of the Export Certificate of Airworthiness
b) Embraer will provide an updated list of the major modifications ("Aircraft Configuration Verification DCAs List") implemented to the aircraft being delivered and approved by ANAC, after the issuance of the latest VTCDS revision by CAAC or after the previous aircraft of the same model delivered to China, whichever occurs later.
c) Embraer airplane deliveries to Chinese operators will not be affected if CAAC has finished the review of the design change that affects the VTCDS but for any reason the VTCDS revision was not issued before the date of delivery. Under this situation, CAAC will issue a temporary approval based on the request from Embaer through ANAC and ANAC will noting this temporary approval on the "Exceptions" section of the Export Certificate of Airworthiness.

APPENDIX C
MODEL OF THE COVER SHEET FOR AFM APPROVAL

(aircraft model/MSN)

(Manufacturer name & address)

(DOC nr)

<CHINESE or BRAZILIAN> <AIRCRAFT FLIGHT MANUAL or AIRCRAFT FLIGHT MANUAL SUPPLEMENT>

This <Aircraft Flight Manual or Aircraft Flight Manual Supplement> is approved by the <ANAC or CAAC> on behalf of the <CAAC or ANAC> for <Chinese or Brazilian> registered aircraft, in accordance with the <CCAR21.29 or RBAC 21.29>.

Approved by: ----------

(Name)

(<ANAC *or CAAC*> representative)

Date:

This Aircraft shall be operated in accordance with the limitation and instructions herein established.

APPENDIX D

GUIDANCE MATERIAL ON THE SPECIAL REQUIREMENTS AND PROCEDURES FOR EXPORTATION OF CIVIL AERONAUTICAL PRODUCTS TO CHINA

D.1 ACCEPTANCE OF IMPORT AERONAUTICAL PRODUCTS BY CAAC

According to the: Civil Aviation Law of the People's Republic of China; Regulations of the Airworthiness of Civil Aircraft of the People's Republic of China; Civil Aviation Products and Parts Certification Requirements, (CCAR-21); and Airworthiness Certification Procedures for Products (AP-21-05), the Chinese Certificate of Airworthiness shall be obtained before an aircraft may be operated in China.

The detailed procedures for issuance of a Chinese Certificate of Airworthiness are prescribed in AP-21-05. The following are the general requirements applicable at the time of export.

D.2. PRODUCTS

D.2.1. New Aircraft.

The following documents are required at time of import for obtaining a Chinese Certificate of Airworthiness:

a) Export Certificate of Airworthiness, for the complete aircraft. the Export Certificate of Airworthiness should state that the aircraft complies with CAAC approved type design (insert CAAC type certificate number, revision level and date) and is in condition of safe operation.
b) A statement of non-registration or deregistration for the aircraft, as applicable.
c) A list of all incorporated Supplemental Type Certificates for approved major modifications.
d) Statement of design difference compared with the model already validated by CAAC.
e) Aircraft configuration documents which detail customer options incorporated, seating configuration (pilot, crew member, passenger and special arrangement), etc.
f) A list of applicable and incorporated ANAC Airworthiness Directives, to include:
   1.A declaration of compliance with all Airworthiness Directives issued by ANAC must be provided, and where optional means of compliance are offered, the means chosen shall be stated; and
   2.ANAC Airworthiness Directives containing repetitive compliance requirements must be identified. Information as to when the next compliance is due must also be provided.
g) Production flight test reports (new aircraft only), if available.
h) A copy of significant Material Review Board records or significant deviation records (new aircraft only), if available.
i) A current Weight and Balance report.
j) A copy of Noise Certificate.
k) Records of the most recent compass system test and magnetic compass swing.

l) A list of all incorporated Service Bulletins.
m) Equipment List (type design).
n) Continued airworthiness instructions / manufacturers maintenance manuals.
o) Identification of all time/life limited items.
p) An Emergency and Life saving Equipment List (operating requirement).

D.2.2. Used Aircraft.

For any aircraft which satisfies one of the following conditions, it would be regarded as the used aircraft:
1. The ownership of the aircraft was once held by the third party except the manufacturer or the special aircraft-leasing company;
2. The aircraft has been owned, leased or used for short time by private;
3. Has been used for training pilot specially or participated in air leasing business;
4. Although the ownership of the aircraft has been held by manufacturer or the special aircraft-leasing company, it has not been carried out the corresponding maintenance in accordance with the maintenance program, or has been used for over 100 flight hours or one calendar year (take whichever is first as the criterion) accumulatively.

The used aircraft should have been properly maintained and operated using approved procedures and methods acceptable to the CAAC (e.g. by a ANAC 145 or CCAR 145 approved repair station) during its service life. Inspection and maintenance records are important documents for use by CAAC to determine the airworthiness of used aircraft. In addition to the requirements in 2.1.1, the following documents are also required for used aircraft:

a) A complete history of Brazil registration for the aircraft, if available.
b) A current standard certificate of airworthiness issued by ANAC.
c) Historical maintenance records, logbooks, or equivalent of the aircraft, engines, propellers, components and equipment including, as applicable:
   1. The number of landings and pressurization cycles where the aircraft is subject to mandatory life limitations.
   2. The maintenance program under which the aircraft has previously been maintained, including previous check cycle and future check cycle.
   3. The flight time of any components of the aircraft, engines, propellers, or equipment which are subject to mandatory life limitations. (The original airworthiness certification documentation for any life limited Parts should be included with the aircraft maintenance records).
   4. The flight time of any components of the aircraft, engines, propellers, or equipment which are subject to an approved overhaul period.
   5. Details of all changes of major structural components such as wings, tail planes, helicopter rotors or transmission components, and histories of all replaced components.
   6. Details of major structural repairs including the nature of damage in each case.

Chinese operators who import a used aircraft are also required to conduct a precheck of the aircraft and to meet requirements of CCAR Part 21. 174 before an aircraft may be entered into service in China.

CAAC inspector will according the Procedure of Airworthiness Certification for Civil Aircraft and its Related Products (AP-21-AA-2008-05R2) to do the inspection for the used aircraft.

D.2.3. Language

a) The required markings and placards in the passenger cabin, in the cargo, baggage or stowage compartments, and on the aircraft exterior, shall be presented in Chinese or bilingual (Chinese and English) form.
b) The Aircraft Flight Manual shall be identified as a Chinese Aircraft Flight Manual and shall include a statement regarding its applicability to Chinese registered aircraft.

D.2.4. Metric Instrumentation

Each aircraft must be equipped with metric altimeter or a conversion table (meterfeet). It must be installed in the crew cabin in a place visible to both pilots.

D.2.5. Airworthiness Inspection

CAAC will conduct an onsite inspection, using the checklist in AP-21-AA-2008-05R2 attachment 4, prior to issuing any Chinese Certificate of Airworthiness.

D.2.6. Aircraft engines and propellers (not installed on the aircraft)

For each new or used engine or propeller not installed on an aircraft, the following documents must be presented at the time of import:

a) Airworthiness Approval Tag
b) A list of all incorporated Supplemental Type Certificates for approved major modifications.
c) A list of applicable and incorporated ANAC Airworthiness Directives, to include:
   1. A declaration of compliance with all Airworthiness Directives issued by ANAC must be provided, and where optional means of compliance are offered, the means chosen shall be stated; and
   2. ANAC Airworthiness Directives containing repetitive compliance requirements must be identified. Information as to when the next compliance is due must also be provided.
d) A list of all incorporated Service Bulletins.
e) Identification of all time/life limited items.
f) Maintenance records, as applicable.

D.3. ARTICLES

Each article shall be exported to China with an Airworthiness Approval tag issued by ANAC