
IMPLEMENTATION PROCEDURES

for

AIRWORTHINESS

covering

DESIGN APPROVAL, PRODUCTION AND SURVEILLANCE
ACTIVITIES,

EXPORT AIRWORTHINESS APPROVAL,
POST DESIGN APPROVAL ACTIVITIES, AND
TECHNICAL SUPPORT

Under the Agreement between
The Government of the United States of America
and
The Government of the United Kingdom of Great Britain and
Northern Ireland
For the Promotion of Aviation Safety

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IMPLEMENTATION PROCEDURES
for AIRWORTHINESS

covering

Design Approval, Production and Surveillance Activities, Export Airworthiness Approval, Post
Design Approval Activities, and Technical Support

SECTION I **GENERAL**

1.1 Authorization

1.1.1 These Implementation Procedures for Airworthiness (referred hereafter as Implementation Procedures or (IPA) are authorized by Article III of the Agreement between the Government of the United States of America (U.S.) and the Government of the United Kingdom of Great Britain and Northern Ireland (UK) for the Promotion of Aviation Safety, dated December 20, 1995, also known as the Bilateral Aviation Safety Agreement (BASA), or “BASA Executive Agreement.” The Federal Aviation Administration (FAA) and the Civil Aviation Authority (CAA) have determined that the aircraft certification systems of each Authority for the design approval, production approval, airworthiness approval, and continuing airworthiness of the civil aeronautical products and articles identified in this document are sufficiently equivalent or compatible in structure and performance to support these Implementation Procedures.

1.1.2. The Government of the UK has participated in the European Aviation Safety Agency (EASA) (now named the European Union Aviation Safety Agency) since 2003, when the European Union (EU) established EASA pursuant to Regulation (EC) 1592/2002. This regulation has since been repealed and replaced by Regulation (EU) 2018/1139 (Basic Regulation), which came into force on 11 September 2018 and is applicable in UK law through the European Union (Withdrawal) Act 2018, together with all applicable and in force regulations as of December 31, 2020. The Basic Regulation and all other in force and applicable implementing regulations have been amended by the UK’s Aviation Safety (Amendment etc.) (EU Exit) Regulations 2019 to address failures of retained EU law to operate in the UK (as opposed to throughout the EU) effectively and remedy any other deficiency arising from the withdrawal of the UK from the EU.

1.2 Purpose

The purpose of these Implementation Procedures is to define the civil aeronautical products and articles eligible for import into the U.S. and the UK as importing States, the process for obtaining eligibility for import, and the means for providing continued support of those civil aeronautical products and articles after import.

1.3 Principles

- 1.3.1 These Implementation Procedures are based on mutual confidence and trust between the FAA and the CAA on their technical competence, regulatory capabilities, and the compatibility of each other's certification and approval systems. When a finding is made by one Authority in accordance with the laws and regulations of the other Authority and these Implementation Procedures, that finding is given the same validity as if it were made by the other Authority. Therefore, the fundamental principle of these Implementation Procedures is to maximize the use of the Certifying Authority's (CA's) aircraft certification system to ensure that the airworthiness and environmental requirements of the Validating Authority (VA) are satisfied.
- 1.3.2 The FAA and the CAA are committed to the elimination of duplication of work and exclusive retention of findings of compliance when acting as the VA or Authority for the importing State.
- 1.3.3 The FAA and the CAA recognize and accept each other's delegation systems as part of their overall aircraft certification systems. To the maximum extent permitted by these Implementation Procedures and each Authority's regulations, the findings, compliance determinations and approvals made through this system are given the same validity as those made directly by either the FAA or the CAA.
- 1.3.4 The FAA and the CAA will not routinely notify the other of their designees', delegates' or delegated organizations' activities in advance of any of those persons traveling to the U.S. or the UK to witness tests, to perform conformity inspections, and/or to make determinations of compliance. However, there may be situations where one Authority may communicate directly with an individual designee or delegate of the other Authority. In this case, prior notification to the other Authority is required.
- 1.3.5 The FAA and the CAA agree that all information, including technical documentation, exchanged under these Implementation Procedures will be in the English language.

1.4 Changes in the Authority Certification Systems

- 1.4.1 These Implementation Procedures are based upon sufficiently equivalent or compatible in structure and performance authority certification systems being in place at the time of signing. Therefore, the FAA and the CAA shall keep each other informed of significant changes within those systems, such as:
- 1.4.1.1 Statutory responsibilities;
 - 1.4.1.2 Organizational structure (e.g., key personnel, management structure, technical training, office location);
 - 1.4.1.3 Revisions to airworthiness, certification, and environmental standards and procedures;
 - 1.4.1.4 Production quality system oversight, including oversight of out-of-country production of products and articles; or

1.4.1.5 Delegated functions or the kinds of organizations to which functions have been delegated, and those mechanisms of the system that manage their interfaces.

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

1.5 Governance

The FAA and the CAA agree to meet, through management meetings, as necessary, to review these Implementation Procedures and ensure their continued validity. The frequency of these meetings will be mutually agreed upon by both Authorities, via the contact points identified in Appendix A, and will depend on the number and significance of the issues to be discussed between the Authorities. Every effort should be made to alternate the location of these meetings between the U.S. and the UK.

1.6 Continued Maintenance of Confidence

1.6.1 These Implementation Procedures shall be subject to periodic review and evaluation. There is an obligation placed on the FAA and the CAA, as executive agents of the BASA, to ensure that both Authorities remain capable of carrying out the obligations contained in these Implementation Procedures beyond the period of initial assessment that resulted in this version of these Implementation Procedures. The periodic evaluations will focus on the equivalency or compatibility of the respective standards, rules, practices, procedures, and systems as prescribed by the BASA Executive Agreement, and maintaining the mutual confidence in the FAA's and the CAA's technical competence and ability to perform regulatory functions within the scope of these Implementation Procedures.

1.6.2 In order to ensure the continuing ability by the FAA and the CAA to rely on each other under these Implementation Procedures, the two Authorities shall establish a routine activity that is intended to promote continued understanding and compatibility in each other's systems. Both Authorities shall agree on the procedures and processes constituting such activity, and require the conduct of such activity on a regular basis. For this purpose, the FAA and the CAA shall assign contact points who will be responsible for monitoring the activity and reporting findings arising from the conduct of such activities to the Authorities. This oversight model will cover at least the following elements:

1.6.2.1 Desktop sampling audit process to verify approvals and findings post-validation. The process should include provisions for optional sampling visits based on the trend of results of the desktop exercise;

1.6.2.2 Sharing of relevant information on standardization and quality management activities;

- 1.6.2.3 Tracking of metrics related to the milestones outlined in paragraph 3.5.2 as well as the time from application to VA approval of all approval types covered under the scope of these Implementation Procedures. Periodic review of these metrics will take place at a frequency consistent with that established under paragraph 1.6.2;
- 1.6.2.4 Establishment of a sampling system of production systems in accordance with paragraph 1.6.2; and
- 1.6.2.5 Findings resulting from the sampling system audits performed by one Authority will be shared with the other. Resolution and follow-up of these findings will be agreed upon between the FAA and the CAA and will be presented and discussed during regular bilateral meetings.

1.7 Applicable National Requirements, Procedures, and Guidance Material

- 1.7.1 The FAA's standards for airworthiness and environmental certification include, but are not limited to: Title 14 of the Code of Federal Regulations (14 CFR), parts 21, 23, 25, 26, 27, 29, 31, 33, 34, 35, 36, 39, 43, and 45. The FAA also uses EASA Certification Specifications (CS)-22, CS-VLA (Very Light Aeroplanes), Joint Aviation Requirements (JAR)-22, and JAR-VLA for some special class aircraft. Additional requirements are included in Airworthiness Directives (ADs). Guidance material, policy, and procedures are contained in FAA Advisory Circulars (ACs), Orders, Notices, and Policy Memoranda.
- 1.7.2 The CAA's standards for aircraft airworthiness and environmental certification are contained in the relevant regulations (Air Navigation Order- ANO and British Civil Aviation Requirements- BCAR). Guidance material and policy are contained in the CAA Civil Aviation Publications (CAP) and management system and procedures. The CAA standards incorporate, via the legal mechanism contained within the European Union (Withdrawal) Act 2018, EASA requirements for aircraft airworthiness and environmental certification. These include, but are not limited to, European Commission regulations, directives and EASA CS in effect as of December 31, 2020. Acceptable Means of Compliance (AMC) and Guidance Material are published by the CAA and should be read in conjunction with the aforementioned regulations and directives.
- 1.7.3 The FAA and the CAA shall comply with their respective, applicable domestic laws in applying these Implementation Procedures.

1.8 Interpretations and Resolution of Conflicts

- 1.8.1 In the case of conflicting interpretations between the FAA and the CAA regarding the laws, airworthiness or environmental regulations/standards, requirements, or acceptable means of compliance pertaining to certifications, approvals, or acceptance under these Implementation Procedures, the interpretation of the Authority whose laws, regulations, standards, requirements, or acceptable means of compliance are being interpreted will prevail.
- 1.8.2 The FAA and the CAA agree to the timely resolution of issues through consultation or any other mutually agreed-upon means. Every effort should be

made to resolve issues at the working staff level before elevating issues through the responsible management hierarchy. To resolve conflicts, the FAA and the CAA shall use the following process.

- 1.8.2.1 When the Project Certification Manager and Project Validation Manager cannot agree, the first certification decision point is between the FAA local office manager and the CAA Manager responsible for Aircraft Certification.
- 1.8.2.2 If resolution cannot be reached, the issue will be expeditiously escalated to the FAA Aircraft Certification Service (AIR) Division Director, and the CAA Head of Airworthiness.
- 1.8.2.3 If resolution cannot be reached, the FAA Aircraft Certification Service Executive Director and the CAA Group Director for Safety and Airspace (SARG) shall resolve the matter.

1.9 Technical Consultations

- 1.9.1 The FAA and the CAA may notify each other of relevant draft policy and guidance material and will consult on new or proposed changes to standards, including but not limited to airworthiness, environmental, and Article performance standards.
- 1.9.2 The FAA and the CAA may invite each other to participate in aviation rulemaking committees to promote collaborative rulemaking activity.
- 1.9.3 The FAA and the CAA agree to consult as necessary to provide input when requested on technical issues and resolve technical disagreements. The frequency of these exchanges will depend on the number and significance of the issues to be discussed.
- 1.9.4 The FAA and the CAA agree to open communication at the Authority level and to assist each other in resolving complex technical issues outside of specific projects.

1.10 Cooperation on Investigation or Enforcement Action

Both the FAA and the CAA agree to mutual cooperation and mutual assistance in the investigation of any alleged or suspected violations of the U.S. or the UK laws or regulations. Both Authorities shall cooperate in sharing information relevant to any investigation or enforcement action, including its closure. A request for information and cooperation will be sent to the other Authority's point of contact identified in Appendix A to these Implementation Procedures.

1.11 Revisions, Amendments, and Points of Contact

- 1.11.1 The designated contact points for these Implementation Procedures are:
 - 1.11.1.1 For the FAA: Aircraft Certification Service, International Office (AIR-40); and
 - 1.11.1.2 For the CAA: Safety and Airspace Regulation Group (SARG).

Note: Contact information for the identified offices is listed in Appendix A.

- 1.11.2 These Implementation Procedures may be amended by mutual consent of the FAA and the CAA. Such amendments will be made effective by signature of the duly authorized representatives of the FAA and the CAA.

1.12 Definitions

For the purpose of these Implementation Procedures, the following definitions are provided in addition to the definitions found in Article II of the BASA Executive Agreement.

- 1.12.1 “Acceptance” means the certifying authority (CA) has granted an approval, issued a certificate, or made a finding of compliance and the validating authority (VA) will accept that approval, certificate, or finding as satisfactory evidence that a product and/or design complies with the VA’s applicable standards and will not issue its own equivalent approval.
- 1.12.2 “Acoustical Change” means any voluntary change, as defined in 14 CFR section 21.93(b), in the type design of an aircraft or aircraft engine that may result in an increase in the noise levels of that aircraft.
- 1.12.3 “Additional Technical Condition” (For FAA, see Order 8110.52B) means a requirement of the importing State that is in addition to the applicable airworthiness and environmental requirements of the State of Design or that may be prescribed:
- 1.12.3.1 For airworthiness requirements, that provides a level of safety equivalent to that provided by the applicable airworthiness requirements for the importing State.
- 1.12.3.2 For environmental requirements, that provides noise, fuel venting, and exhaust emission levels no greater than those provided by the applicable environmental requirements of the importing State.
- 1.12.4 “Aircraft Flight Manual (AFM)” means an authoritative document prepared for each aircraft type by the Type Certificate (TC) holder and approved by the CA. Its required content is specified in the appropriate airworthiness standards.
- 1.12.5 “Airworthiness Directives (AD)” means legally enforceable rules issued by the FAA in accordance with 14 CFR part 39 or legally enforceable rules issued by the CAA in accordance with (UK) Part 21.A.3B and the Air Navigation Order (ANO).
- 1.12.6 “Airworthiness Standards” means regulations, requirements, airworthiness codes or other certification specifications governing the design and performance of civil aeronautical products and articles.
- 1.12.7 “Amended Type Certificate (ATC)” means a design change made by the TC holder that requires an amendment to the TC and to the Type Certification Data Sheet (TCDS).
- 1.12.8 “Appliance” means any instrument, mechanism, equipment, part, apparatus, appurtenance, or accessory, including communications equipment, that is used or intended to be used in operating or controlling an aircraft in flight, is

installed in or attached to the aircraft, and is not part of an airframe, aircraft engine, or propeller.

- 1.12.9 “Approved Manuals” means manuals, or sections of manuals, requiring approval by the FAA or the CAA as part of a certification program. These include the approved sections of the Flight Manual, the airworthiness limitation section of the Instructions for Continued Airworthiness (ICA), the engine and propeller installation and operating instructions manuals, and the certification maintenance requirements where applicable.
- 1.12.10 “Article” is defined differently in the U.S. and in the UK.
- 1.12.10.1 For the FAA, an article means a material, part, component, process, or appliance.
- 1.12.10.2 For the CAA, an article means a component, part or appliance. The terms are used interchangeably.
- 1.12.11 “Authority” means either the FAA or the CAA for the purposes of these Implementation Procedures.
- 1.12.12 “Certificating Authority (CA)” means the FAA or the CAA, as charged by their laws to fulfill the ICAO responsibilities as a State of Design to regulate the design, production, and airworthiness approval and environmental certification of civil aeronautical products and articles originated in their State.
- 1.12.13 “Certification Basis” consists of the applicable airworthiness and environmental requirements established by a certificating or validating authority as the basis by which the type design for a civil aeronautical Product, or a change to that type design was approved or accepted. The certification basis may also include special conditions, equivalent level of safety findings, and exemptions or deviations when determined to apply to the TC. For the CAA, the certification basis includes Operational Suitability Data (OSD) requirements.
- 1.12.14 “Civil Aeronautical Product” or “Product” refer to Article II of the BASA Executive Agreement for definition.
- 1.12.15 “Certification Review Item (CRI)” means a document describing an item that requires disposition prior to the issuance of a TC, change to TC approval or Supplemental Type Certificate (STC) by the CAA.
- 1.12.16 “Compliance Determination” means the determination, by either the certificating authority’s (CA’s) system or the validating authority’s (VA’s) system, that the applicant has demonstrated compliance with identified, individual airworthiness and environmental standards.
- 1.12.17 “Concurrent Certification” means a process whereby the certification applicant requests validation of the product at the same time as certification is conducted by the CA.
- 1.12.18 “Critical Component” means a part identified as critical by the design approval holder (DAH) during the product certification process or otherwise by the Authority for the State of Design (SoD). Typically, such components include parts for which a replacement time, inspection interval, or related procedure is

specified in the Airworthiness Limitations section or certification maintenance requirements of the manufacturer's maintenance manual or ICA.

- 1.12.19 “Design Approval” means a TC, STC, including amendments thereto, approved data in support of repairs, the approved design under a Parts Manufacturer Approval (PMA) and Technical Standard Order Authorization (TSOA), TSO Letter of Design Approval (LODA), and any other design approval document.
- 1.12.20 “Deviation” when used with respect to TSO articles means a difference from any performance standard of a TSO and requires factors or design features providing an equivalent level of safety to compensate for the standards from which a deviation is requested.
- 1.12.21 “Emissions Change” means any voluntary change in the type design of an aircraft or aircraft engine which may increase fuel venting or exhaust emissions.
- 1.12.22 “Environmental Standards” means regulations or certification specifications governing designs with regard to noise characteristics, fuel venting, and exhaust emissions of civil aeronautical products and articles.
- 1.12.23 “Environmental Compliance Demonstration” means a process by which a civil aeronautical product is evaluated for compliance with those standards, using procedures agreed upon between the Authorities.
- 1.12.24 “Equivalent Level of Safety Finding (ELOS)” means a finding that alternative action taken provides a level of safety equal to that provided by the requirements for which equivalency is being sought.
- 1.12.25 “Exemption” means a grant of relief from requirements of a current regulation when processed through the appropriate regulatory procedure by the FAA or the CAA.
- 1.12.26 “Export” means the process by which a product or article is released from the FAA's or the CAA's regulatory system for subsequent use in the other's regulatory system.
- 1.12.27 “Exporting Authority (EA)” means the organization within the exporting State charged by the laws of the exporting State, to regulate the airworthiness and environmental certification, approval, or acceptance of civil aeronautical products, parts, and articles.
- 1.12.27.1 For the U.S., the EA is the FAA; and
- 1.12.27.2 For the UK, the EA is the CAA.
- 1.12.28 “Familiarization” means the process whereby the VA obtains information and experience on an aeronautical product designed in the exporting State in order to: prescribe additional technical conditions for that product; mandate corrective airworthiness action in the event that the product experiences service difficulties during its operation in the importing State; and ensure the development of appropriate maintenance, operating, and pilot type rating information (if applicable) for the product.

- 1.12.29 “Finding” means a determination of compliance or non-compliance with airworthiness and environmental standards as the result of the FAA’s or the CAA’s review, investigation, inspection, test, and/or analysis.
- 1.12.30 “Import” means the process by which a product or article is accepted into the FAA’s or the CAA’s regulatory system for subsequent use in that regulatory system.
- 1.12.31 “Importing Authority (IA)” means the 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, and articles.
- 1.12.31.1 For the U.S., the IA is the FAA.
- 1.12.31.2 For the UK, the IA is the CAA.
- 1.12.32 “Instructions for Continued Airworthiness” (ICA) means the maintenance data produced by the design approval holder to assure the continued airworthiness of that product or article.
- 1.12.33 “Issue Paper” (IP) means a document describing an item that requires closure prior to the issuance of a design approval.
- 1.12.34 “Letter of Design Approval (LODA)” means a Letter of Design Approval issued by the FAA for an article manufactured outside the United States that meets a specific TSO.
- 1.12.35 “Licensing Agreement” means a commercial agreement between a design approval holder and a production approval holder (or applicant) formalizing the rights and duties of both parties to use the design data for the purpose of manufacturing the product or article.
- 1.12.36 “Major Design Change” means a change other than a minor design change.
- 1.12.37 “Manufacturer” means the person who, by FAA or CAA regulation, is responsible for determining that all products or articles produced within the quality system conform to an FAA or CAA-approved design or established government or industry standard and are in a condition for safe operation.
- 1.12.38 “Minor Design Change” means a change that has no appreciable effect on the weight, balance, structural strength, reliability, operational characteristics, or other characteristics affecting the airworthiness of the product.
- 1.12.39 “Multi-National Consortium” means a group of manufacturers from multiple countries who have agreed to form a single company for the design and/or production of a particular product.
- 1.12.40 “New Aircraft” means an aircraft that is still owned by the manufacturer, distributor, or dealer, if there is no intervening private owner, lease, or timesharing arrangement, and the aircraft has not been used in any pilot school and/or other commercial operation.

- 1.12.41 “Non-TSO Function” means a function that is not covered by a TSO-approved minimum performance standard, does not support or affect the hosting article’s TSO function(s), and could technically be implemented outside of the TSO article.
- 1.12.42 “Operational Check” means a task to determine that an item is fulfilling its intended purpose. Does not require quantitative evaluation of tolerances. This is a failure finding task.
- 1.12.43 “Operational Suitability Data (OSD)” means the suite of data required to be established by aircraft manufacturers under (UK) Part 21 that is considered important for the safe operation of aircraft type. OSD is approved by the CAA under the TC to be used by operators and training organizations.
- The data consists of 5 elements:
- 1.12.43.1 Minimum syllabus of pilot type rating training;
 - 1.12.43.2 Aircraft reference data to support the qualification of simulators;
 - 1.12.43.3 Minimum syllabus of maintenance certifying staff type rating training;
 - 1.12.43.4 Type-specific data for cabin crew training; and
 - 1.12.43.5 Master Minimum Equipment List (MMEL).
- OSD are applicable to aircraft operated in the UK. OSD does not exist in the FAA system, only the MMEL element has an FAA equivalent for validation.
- 1.12.44 “Overhauled Engine or Propeller” means an engine or propeller that has been disassembled, cleaned, inspected, repaired as necessary, reassembled, and tested in accordance with approved or acceptable standards and technical data.
- 1.12.45 “Parts Manufacturer Approval (PMA)” means a combined design and production approval issued for modification or replacement articles. It allows a manufacturer to produce and sell these articles for installation on type certificated/validated products.
- 1.12.46 “Person” means an individual, firm, partnership, corporation, company, association, joint stock association, or government entity, and includes a trustee, receiver, assignee, or other similar representative of any of them.
- 1.12.47 “Production Approval” means a document issued by the FAA or the CAA to a person that allows the production of a product or article in accordance with its approved design and approved quality system, and can take a form of a Production Certificate (PC), a PMA, or a TSOA.
- 1.12.48 “Production Certificate (PC)” means an approval granted by the FAA to an organization to manufacture a product or article.
- 1.12.49 “Production Certificate (PC) Extension” means an extension by the FAA of a Production Certificate to a facility located in another country or jurisdiction.

- 1.12.50 “Production Quality System” means a systematic process that meets the requirements of the Authority for the State of Manufacture (SoM) and ensures that the products and articles produced under this production quality system will conform to the approved design and will be in a condition for safe operation.
- 1.12.51 “Rebuilt Engine or Propeller” means an engine or propeller that has been disassembled, cleaned, inspected, repaired as necessary, reassembled, and tested to the same tolerances and limits as a new item by the production approval holder in accordance with 14 CFR part 43.
- 1.12.52 “Repair” can be classified as major or minor. A major repair is a repair that, if improperly done, might appreciably affect weight, balance, structural strength, performance, powerplant operation, flight characteristics, or other qualities affecting airworthiness or that is not done according to accepted practices or cannot be done by elementary operations. A minor repair is any repair other than a major repair.
- 1.12.53 “Restricted Category Aircraft” means an aircraft intended for special purpose operations that shows compliance with applicable noise and emissions requirements and shows no feature or characteristic that makes it unsafe when it is operated under the limitations prescribed for its intended use, and that the aircraft meets the airworthiness requirements of an aircraft category, except those requirements that are determined to be inappropriate for the special purpose for which the aircraft is to be used. For the FAA this may also be of a type that has been manufactured in accordance with the requirements of, and accepted for use by, an Armed Force of the United States and has been later modified for a special purpose.
- 1.12.54 “Revocation” means when a certificate is no longer valid, and the holder may not exercise any of its privileges. A certificate that has been revoked cannot be reinstated.
- 1.12.55 “Safety Elements” mean areas used by the CA and VA to classify validation projects and to manage the VA level of review of those projects (see paragraph 3.5.3).
- 1.12.56 “Sequential Validation” means a process whereby the CA has completed its certification, or is well advanced in the certification process, before a validation application is submitted.
- 1.12.57 “Special Conditions” means additional safety standard(s) prescribed by the FAA or the CAA when the airworthiness standards for the category of product do not contain adequate or appropriate safety standards due to novel or unusual design features. Special Conditions contain such safety standards as the FAA or the CAA finds necessary to establish a level of safety equivalent to that established in the applicable regulations.
- 1.12.58 “Standard Airworthiness Certificate” means an airworthiness certificate that meets the requirements for its issuance under 14 CFR section 21.175a or (UK) Part 21.A.

- 1.12.59 “Standard Part” means a part that may be acceptable for use on aircraft and is manufactured in conformance with an established government or industry-accepted specification, which contains design, manufacturing, and uniform identification requirements. The specification must include all information necessary to produce and conform the part, and must be published so that any person or organization may manufacture the part.
- 1.12.60 “State of Design (SoD)” means the State or territory having regulatory authority over the organization responsible for the type design and continued airworthiness of the product or article.
- 1.12.61 “State of Manufacture (SoM)” means the State or territory having regulatory authority over the organization responsible for the production and airworthiness of a civil aeronautical product or article.
- 1.12.62 “State of Registry (SoR)” means the State or territory on whose register an aircraft is entered.
- 1.12.63 “Supplemental Type Certificate (STC)” means a certificate issued by the CAVA for the approval of a major change to the TC (Design) of a product. Typically an STC is issued to a design approval holder other than the TC holder.
- 1.12.64 “Supplier” means a person at any tier in the supply chain who provides a product, article, or service that is used or consumed in the design or manufacture of, or installed on, a product or article.
- 1.12.65 “Surrender” means when a certificate holder voluntarily relinquishes a certificate and the associated privileges. This surrender does not immediately affect the aircraft previously manufactured.
- 1.12.66 “Suspension” means a lapse in of the effectiveness of a certificate, approval, or authorization as ordered by the airworthiness authority.
- 1.12.67 “Type Certificate/Production Certificate (TC/PC) Split” means a product for which the State or territory having jurisdiction over the Authority having regulatory responsibility for the type design and continued airworthiness of the product or article is different from the State or territory having jurisdiction over the Authority having regulatory responsibility for the production and airworthiness of a civil aeronautical product or article.
- 1.12.68 “Technical Standard Order (TSO)” means a minimum performance standard for specified articles. Each TSO covers a certain type of article.
- 1.12.69 “Technical Standard Order Authorization (TSOA)” means a design and production approval issued to the manufacturer of an article that has been found to meet a specific TSO. A TSOA is not an approval to install and use the article in the aircraft. It means that the Article meets the specific TSO and the applicant is authorized to manufacture it.
- 1.12.70 “Type Certificate (TC)” means a certificate issued by the CAVA for the approval of the type design of a product.

- 1.12.71 “Type Design” means the drawings and specification necessary to define the product shown to comply with the airworthiness standards, information on dimensions, materials, and processes necessary to define the structural strength of the product and the Airworthiness Limitations section of the ICA.
- 1.12.72 “Used Aircraft” means an aircraft that is not a new aircraft as defined in paragraph 1.12.40.
- 1.12.73 “Validating Authority (VA)” means the FAA or the CAA, who are charged by their laws to fulfill the ICAO responsibilities of a State of Registry (SoR) to regulate the design, production and airworthiness approval and environmental certification of civil aeronautical products and articles imported from the other.
- 1.12.74 “Validation” means the FAA’s or the CAA’s process for issuing an approval of a design originally approved by the other.
- 1.12.75 “Work Plan” means the scope of the VA’s technical review developed using risk-based principles. The Work Plan identifies specific design features, systems, or characteristics of an aeronautical product where the VA will focus its technical review as part of its validation process. It is endorsed by the VA management and shared with the applicant and the CA.

SECTION II SCOPE OF THESE IMPLEMENTATION PROCEDURES

2.1 General

- 2.1.1 These Implementation Procedures apply to such aircraft type designs to be type certificated by the FAA and the CAA for standard category airworthiness certification.
- 2.1.2 The FAA and the CAA do not normally validate design approvals for products or articles issued by the other unless there is a demonstrated market interest in issuing the approval.
- 2.1.3 The FAA and the CAA issue standard airworthiness certificates in the normal, utility, acrobatic, commuter, and transport categories of aircraft, as well as for manned-free balloons, and special classes of aircraft which include airships, very light aircraft (VLA), gliders, and other non-conventional aircraft.
- 2.1.4 Aircraft for which a special airworthiness certificate is issued by the FAA or the CAA will be dealt with on a case-by-case basis through the Special Arrangements provision in Section IX of these Implementation Procedures.

2.2 Design Approvals and Airworthiness Certifications

These Implementation Procedures cover the products and articles identified below, their approvals, and the provisions set forth in subsequent sections.

2.2.1 Design Approvals

- 2.2.1.1 Type Certificates (TCs) and amended TCs (ATCs) for products listed in Table 1 for which the U.S. is the SoD, and TCs and ATCs listed in Table 2 for which the UK is the SoD;
- 2.2.1.2 Supplemental Type Certificates (STCs) and amended STCs for Products listed in Table 1, and STCs and amended STCs for products listed in Table 2 that have been issued both an FAA and a CAA type design approval, regardless of SoD;
- 2.2.1.3 CA approved design data used in the support of repairs, as identified in paragraph 3.3.5, for products and articles for which both the FAA and the CAA have issued a type design approval for the product;
- 2.2.1.4 TSO and PMA approvals as listed in Table 1 and Table 2 (see paragraph 2.2.3.4); and
- 2.2.1.5 Any other design change approved under the CA's system.

2.2.2 Export Certificates of Airworthiness

Export Certificates of Airworthiness issued by the FAA or the CAA for aircraft that conform to a type design approved by the IA, provided that the conditions detailed in paragraph 7.2 (as applicable) are satisfied, including:

- 2.2.2.1 New and used aircraft for which the U.S. or the UK is the SoD and also the SoM;

- 2.2.2.2 New and used aircraft for which the U.S. or the UK is the SoD and the other is the SoM, provided that:
- (a) A Management Plan has been established, defining the FAA's and the CAA's roles and responsibilities relating to continued airworthiness. The Management Plan will:
 - (1) Be developed and approved by the FAA and the CAA for each TC/PC split project and provide all relevant detailed information on the design approval holder, production approval holder, and the product concerned;
 - (2) Provide procedural guidance in regulatory responsibilities; and
 - (3) Establish a communication methodology addressing the exchange of information between the FAA and the CAA.
 - (b) A licensing agreement exists between the design approval holder and the manufacturer, ensuring the continued airworthiness of the design; and
 - (c) The TCDS issued by the SoD lists all production approvals.
- 2.2.2.3 New and used aircraft for which a third State is the SoD and also the SoM.
- 2.2.2.4 New and used aircraft with different SoD and SoM for which a third State is the SoD and the U.S. or the UK is the SoM, provided that:
- (a) An agreement/arrangement has been entered between the SoD and the SoM defining each Authority's roles and responsibilities for continued airworthiness and is available to the IA;
 - (b) A licensing agreement exists between the design approval holder and the manufacturer, ensuring the continued airworthiness of the design; and
 - (c) The TCDS issued by the SoD lists all production approvals.
- 2.2.2.5 New and used aircraft with different SoD and SoM for which the U.S., the UK, or a third State is the SoD and a State other than the U.S. or the UK is the SoM will require:
- (a) Either development of a Special Arrangement under Section IX of these Implementation Procedures or IA review and acceptance of an existing arrangement established between the SoD and the SoM;
 - (b) A licensing agreement exists between the design approval holder and the manufacturer, ensuring the continued airworthiness of the design; and

(c) The TCDS issued by the SoD lists all production approvals.

2.2.3 Authorized Release Certificates / Airworthiness Approval Tag (or equivalent)

New, used, overhauled, and rebuilt aircraft engines and new propellers that conform to a type design approved by the IA, provided that the conditions detailed in paragraph 7.3 (as applicable) are satisfied, including:

- 2.2.3.1 New, used, overhauled, and rebuilt aircraft engines and new propellers for which the U.S. or the UK is the SoD and also the SoM;
- 2.2.3.2 New, used, overhauled, and rebuilt aircraft engines and new propellers for which the U.S. or the UK is the SoD and the other is the SoM, provided that:
 - (a) A Management Plan has been entered into defining the FAA's and the CAA's roles and responsibilities relating to continued airworthiness;
 - (b) A licensing agreement exists between the design approval holder and the manufacturer, ensuring the continued airworthiness of the design; and
 - (c) The TCDS issued by the SoD lists all production approvals.
- 2.2.3.3 New, used, overhauled, and rebuilt aircraft engines and new propellers for which a third State is the SoD and the U.S. or the UK is the SoM, provided that:
 - (a) The IA reviews and accepts an existing arrangement established between the SoD and the SoM;
 - (b) A licensing agreement exists between the design approval holder and the manufacturer, ensuring the continued airworthiness of the design; and
 - (c) The TCDS issued by the SoD lists all production approvals.
- 2.2.3.4 Articles that Conform to an IA Design Approval
 - (a) New TSO articles;
 - (b) New replacement and modification parts that conform to IA approved design data and that are eligible for installation in a product or article which has been granted an IA design approval, as follows:
 - (1) Replacement parts manufactured by the original production approval holder for all products and articles, regardless of the SoD;
 - (2) Modification parts manufactured by the original production approval holder for all products and articles, regardless of the SoD; and

- (3) FAA PMA approvals for modification and/or replacement articles to be installed on products regardless of the SoD.

2.3 Standard Parts

Standard Parts (not to be confused with FAA commercial parts or general parts identified as commercial off the shelf (COTS)) conforming to established government or industry accepted specifications are generally delivered by the manufacturer with a Certificate of Conformity and are accepted by both the FAA and the CAA providing they do conform to established government or industry accepted specifications, and are identified by the approved design data of the products or articles in which they are installed.

2.4 Continued Airworthiness

The scope of these Implementation Procedures includes continued airworthiness, as detailed in Section IV.

2.5 Production and Surveillance

The scope of these Implementation Procedures includes production and surveillance, as detailed in Section VI.

2.6 Provisions for Technical Support

The types of technical support activities within the scope of these Implementation Procedures are specified in Section VIII.

2.7 Provisions for Special Arrangements

These Implementation Procedures provide for designated officials within the FAA and the CAA to make special arrangements with respect to design approval, production activities, export airworthiness approval, post design approval, or technical support in unique situations which have not been specifically addressed in these Implementation Procedures, but which are within the scope of these Implementation Procedures.

2.8 Summary Table

The following tables summarize the design approvals, products and articles designed and manufactured in the U.S. or the UK that are eligible for approval under these Implementation Procedures.

Table 1

Summary of U.S. State of Design Products, Articles, and their Associated FAA Approvals Eligible for Approval by the CAA.

PRODUCT	FAA Type Certificates & Amendments (see Note 3)	FAA Supplemental Type Certificates & Amendments (see Note 3)	FAA Technical Standard Order Authorizations (see Note 2)	Parts Manufacturer Approvals
Airplanes in the following categories:				
Normal	✓	✓	N/A	N/A
Utility	✓	✓	N/A	N/A
Acrobatic	✓	✓	N/A	N/A
Commuter	✓	✓	N/A	N/A
Transport	✓	✓	N/A	N/A
Rotorcraft in the following categories:				
Normal	✓	✓	N/A	N/A
Transport	✓	✓	N/A	N/A
Manned Free Balloons	✓	✓	N/A	N/A
Aircraft Engines	✓	✓	N/A	N/A
Propellers	✓	✓	N/A	N/A
Aircraft in Special Classes:				
Airships	✓	✓	N/A	N/A
VLA	✓	✓	N/A	N/A
Gliders	✓	✓	N/A	N/A
Powered Lift	✓	✓	N/A	N/A
Aircraft type certificated in the restricted category	(see Note 1)	(see Note 1)	N/A	N/A
TSO Articles	N/A	N/A	✓	N/A
PARTS:				
Replacement or Modification Parts for the above airplanes, rotorcraft, balloons, aircraft engines, propellers, special class aircraft, and Articles.	✓	✓	✓	✓

Note 1: Aircraft certified in the restricted category for purposes of agricultural, forest and wildlife conservation, aerial surveying, patrolling, weather control, aerial advertising, aerial dispensing of liquids, and other special purpose operations, on a case by case basis, as determined by the Authorities.

Note 2: A TSO article approval originally granted by FAA shall be automatically accepted by the CAA as being equivalent to having granted and issued its own approval.

Note 3: Including other FAA approved changes to the TC and STC such as minor modifications, repairs and changes to the approved manuals.

Table 2

Summary of UK State of Design Products, Articles, and their Associated CAA Approvals
Eligible for Approval by the FAA.

PRODUCT	CAA Type Certificates & Amendments (see Note 3)	CAA Supplemental Type Certificates & Amendments (see Note 3)	UK Technical Standard Order Authorizations (see Note 2)	Parts Manufacturer Approvals
Airplanes in the following categories:				
Normal	✓	✓	N/A	N/A
Utility	✓	✓	N/A	N/A
Aerobatic	✓	✓	N/A	N/A
Commuter	✓	✓	N/A	N/A
Transport	✓	✓	N/A	N/A
Rotorcraft in the following categories:				
Normal	✓	✓	N/A	N/A
Transport	✓	✓	N/A	N/A
Manned Free Balloons	✓	✓	N/A	N/A
Aircraft Engines	✓	✓	N/A	N/A
Propellers	✓	✓	N/A	N/A
Aircraft in Special Classes:				
Airships	✓	✓	N/A	N/A
VLA	✓	✓	N/A	N/A
Gliders	✓	✓	N/A	N/A
Powered Lift	✓	✓	N/A	N/A
Aircraft type certificated in the restricted category	(see Note 1)	(see Note 1)	N/A	N/A
TSO Articles	N/A	N/A	✓	N/A
PARTS:				
Replacement or Modification Parts for the above airplanes, rotorcraft, balloons, aircraft engines, propellers, special class aircraft, and articles.	✓	✓	✓	N/A

Note 1: Aircraft certified in the restricted category for purposes of agricultural, forest and wildlife conservation, aerial surveying, patrolling, weather control, aerial advertising, aerial dispensing of liquids, and other special purpose operations, on a case by case basis, as determined by the Authorities.

Note 2: A TSO article approval originally granted by EASA prior to the date of the UK's exit from the EU shall be automatically accepted by the FAA as being equivalent to having granted and issued its own approval.

Note 3: Including other CAA approved changes to the TC and STC such as minor modifications, repairs and changes to the approved manuals.

SECTION III VALIDATION PROCEDURES

3.1 General

- 3.1.1 The principles and procedures in this Section apply to the acceptance or validation of the initial design approval of each other's civil aeronautical products and articles, of subsequent design changes to those products and articles, and approval of design data used in support of repairs and alterations.
- 3.1.2 Applications for FAA or CAA approval are intended for civil aeronautical products and articles. Products and articles which are intended only for public/state use are not eligible for FAA or CAA validation under this agreement unless the Authority for the SoD has accepted to certify the product or article and there is a civilian and/or public aircraft (State Aircraft – CAP 562 Leaflet B-60) application within the jurisdiction of the importing State. In these cases, the FAA and the CAA shall consult to determine whether validation is within the scope of the agreement and if it requires a Special Arrangement under Section IX of these Implementation Procedures.
- 3.1.3 The purpose of validation is to determine that the design approval or certificate issued by the CA is in compliance with the VA's environmental and airworthiness requirements for aeronautical products and articles, provided that a level of safety equivalent is retained.
- 3.1.4 Close cooperation between the VA and the CA is necessary to provide for effective management of the validation process and for the most cost-effective utilization of resources. Working under the principle that communication should occur between Authorities, correspondence will be answered through and coordinated with the CA. The FAA and the CAA also recognize that direct communication between the VA and the applicant are sometimes necessary. Direct communication should be limited to technical questions regarding the product (familiarization) and should be conducted with the awareness and consent of the CA. The CA should be informed of the outcome of these discussions.
- 3.1.5 Applicants are encouraged to seek concurrent certification and validation approvals. Both Authorities may agree to undertake concurrent design approval projects covered by the scope of these Implementation Procedures. A type design that satisfies both the VA and the CA requirements is the desired outcome of a concurrent approval process.
- 3.1.6 The resolution process in paragraph 1.8 will be used to address any disagreements on the validation process.
- 3.1.7 Submission of Electronic Data
- When a U.S. or UK applicant submits electronic data as described in FAA Order 8000.79 or the CAA's electronic data policy, as applicable, the applicant is considered to have an arrangement acceptable to both the FAA and the CAA for the submission and storage of electronic data, as long as the data is in a format that is compatible with the VA's information system. The

applicant is responsible for the transmission of the electronic data they consider proprietary to the VA under the guidance of the CA.

3.1.8 Certificates and design approvals are accepted or validated by the VA using one of the following three procedures:

3.1.8.1 Acceptance

- (a) Acceptance of the CA approval by the VA without issuance of its own approval document.
- (b) No application for validation is required.

3.1.8.2 Streamlined Validation (SV)

- (a) An approval by the VA with little to no technical review preceding the issuance of a VA approved document.
- (b) Design change approvals that are not impacted by the Safety Elements in paragraph 3.5.3 are eligible for Streamlined Validation.

3.1.8.3 Technical Validation

- (a) All design approvals not eligible for Acceptance or Streamlined Validation will undergo a Technical Validation.
- (b) For Technical Validation, the VA will issue an approval document.
- (c) Technical Validation includes one of two processes:
 - (1) Full Technical Validation (FTV)
 - (i) Technical validation of the certificate or change will be performed by the VA.
 - (ii) The objectives of FTV are for the VA to evaluate compliance with applicable standards, and thereby, identify areas for further technical confidence building. These areas can then be applied to future projects under the Limited Technical Validation process.

Note: The ideal scenario for this process is a concurrent validation program to facilitate VA technical assessment.

- (2) Limited Technical Validation (LTV)
 - (i) Technical Validation of the certificate or change will be performed by the VA using one or more Safety Elements (paragraph 3.5.3) to define its level of involvement.
 - (ii) This process can properly function under either the concurrent or sequential validation process.

3.1.9 To determine whether the CA approval will be subject to Acceptance or to one of the three Validation processes, the CA will apply the following decision process. Does the CA approval qualify for Acceptance, as defined in paragraph 3.2?

3.1.9.1 If yes, the VA will follow the Acceptance Procedures in paragraph 3.3.

3.1.9.2 If no, continue to paragraph 3.4 to determine the type of validation procedure to follow.

3.2 Acceptance

The FAA and CAA conclude that certain approvals can benefit from reciprocal acceptance. There are specific CA approvals (further described in paragraph 3.3) that will be accepted by the VA without issuance of its own approval, and therefore no application for validation is required for:

3.2.1 Any design change by the TC or STC holder is eligible for the SV process in accordance with classification procedures in paragraph 3.4.1 that also does not require the CA to physically issue a new or revised TC, TCDS, Type Certificate Data Sheet for Noise (TCDSN) or STC;

3.2.2 All design changes classified as minor in accordance with 14 CFR section 21.93 or (UK) Part 21.A.91;

3.2.3 Any TSO/UKTSO Article (see paragraph 3.3.3);

3.2.4 PMA articles under the conditions of paragraph 3.3.4;

3.2.5 Design data for a repair (approved in accordance with paragraph 3.3.5); and

3.2.6 Design data for an alteration except for critical components (see paragraph 3.3.6).

3.3 Acceptance Procedures

3.3.1 Design Changes by the TC or STC Holder eligible for the SV Process that do not require the CA to issue a New or Revised TC, TCDS, TCDSN, or STC.

There is no need for application and the design change will be accepted by the VA without any technical review. In these cases, the CA shall approve these design changes in accordance with its own procedures against the certification bases of either the CA or the VA or both as applicable. These design changes are considered approved by the VA, and are included in the DAH type design data provided to the VA on a regular basis per agreement between the CA and VA.

3.3.2 Minor Design Changes

When a DAH introduces a design change that would be classified as minor in accordance with either 14 CFR part 21 or (UK) Part 21.A.9, it shall be accepted by the VA without further review. In these cases, the CA shall determine and approve these design changes in accordance with its own procedures against the certification basis of either the CA or the VA or both

as applicable. These design changes are considered approved by the VA, and are included in the DAH type design data. Minor design changes are not provided to the VA on a regular basis unless specifically required per agreement between the CA and VA.

3.3.3 TSO/UKTSO Articles

- 3.3.3.1 Acceptance requires that the IA shall accept the EA's TSOA or UKTSOA, as applicable, and shall not issue its own design approval.
- (a) Acceptance will be applicable to all current and future TSOAs and UKTSOAs issued by the FAA or the CAA, except for UKTSOAs for Auxiliary Power Units (APU). This acceptance is also applicable to ETSO Article authorizations issued by EASA under the provisions of the FAA-EASA Technical Implementation Procedures (TIP), paragraph 3.3.3, before December 31, 2020.
 - (b) The TSOA or UKTSOA is an approved article within the respective FAA or CAA system, but does not imply installation approval.
 - (c) When the EA does not have a corresponding TSO or UKTSO to that of the IA, an applicant may obtain an approval from the EA using the provisions of 14 CFR section 21.8(d) or (UK) Part 21.A.305. If the EA's approval is based on assessment of the TSO or UKTSO of the IA, and the production system and marking requirements are assured by the EA's approval, then the EA's approval is eligible for Acceptance.
 - (d) Acceptance of such articles under these Implementation Procedures will be based on the following conditions:
 - (1) The article meets the TSOs or UKTSOs, as evidenced by a statement or declaration of conformity by the TSOA or UKTSOA; and
 - (2) If applicable, deviations or exemptions from the TSO or UKTSO or other standard accepted by the FAA and the CAA are substantiated and have been approved by the EA.
 - (e) All accepted TSOAs and UKTSOAs and validations issued by the IA prior to the acceptance of TSOAs and UKTSOAs remain valid unless the approval holder surrenders or the responsible Authority suspends or revokes the respective approval.

3.3.3.2 Procedures for Changes to Articles by the DAH

All design changes to articles accepted under the Acceptance procedures described above, as well as for articles validated under previous versions of these Implementation Procedures, are managed under the procedures of the EA and automatically accepted by the IA under the terms of Acceptance.

3.3.3.3 Acceptance of Non-TSO Functions.

The FAA and the CAA shall accept, without further validation, data related to unapproved non-TSO functions that are integrated into a TSO or UKTSO article and accepted in accordance with the procedures of the EA. The following conditions must be met:

- (a) The non-TSO functions included in the article do not interfere with the article's functionality and/or ability to comply with the TSO or UKTSO standard;
- (b) The data provided with the article relative to non-TSO functions is valid data as processed by the FAA's or the CAA's system in accordance with the applicable IA policy; and
- (c) The non-TSO functions must be covered under the applicant's quality system.

Note: The acceptance of this additional data does not constitute installation approval.

3.3.4 Parts Manufacturer Approval (PMA) Articles

The CAA shall directly accept all FAA PMA approvals, without further showing, for modification and/or replacement articles for installation on products certified or validated by the CAA in the following cases:

3.3.4.1 The PMA part is not a "critical component" (see definition, paragraph 1.12.18) and the PMA design was approved via:

- (a) Identity without a licensing agreement per 14 CFR section 21.303; or
- (b) Test reports and computations per 14 CFR section 21.303.

3.3.4.2 The PMA part conforms to design data obtained under a licensing agreement from the TC or STC holder according to 14 CFR section 21.303 and the TC or STC has been validated by the CAA.

3.3.4.3 The PMA holder is also the holder of an FAA-issued STC and:

- (a) An equivalent CAA-issued STC;
- (b) A CAA-issued STC for a critical component and the PMA design was approved via identity without a licensing agreement per 14 CFR section 21.303; or

- (c) A CAA-issued STC for a critical component and the PMA design was approved via test reports and computations per 14 CFR section 21.303.

3.3.5 Design Data for Repairs

3.3.5.1 Acceptance of Design Data Used in Support of Repairs

- (a) Design data used in support of repairs shall be approved or accepted, as appropriate, by the EA/SoD. The following, (b) and (c) below, describes the process that shall be followed by the FAA and the CAA so that repair design data can be approved or accepted. Repair designs requiring the production of new parts that would constitute a design change, are not eligible for Acceptance under these Implementation Procedures. However, it is permissible to fabricate parts that will be used in the repair of the individual aircraft, engine, propeller, or article.
- (b) The FAA shall approve design data in support of major repairs in accordance with FAA Order 8110.4 Type Certification; FAA Order 8110.37, Designated Engineering Representative Guidance Handbook; FAA Order 8100.15, Organization Designation Authorization Procedures; and FAA Order 8300.16, "Major Repair and Alteration Data Approval". Minor repairs are made in accordance with "acceptable" data, per 14 CFR part 43.
- (c) The CAA shall approve design data in support of repairs in accordance with (UK) Part 21 Subpart M-Repairs and CAA's procedure Airworthiness of Type Design. A design approval shall be issued for all repair design data.

3.3.5.2 FAA Acceptance of CAA Repair Design Data

- (a) The FAA shall accept the CAA approved design data produced under (UK) Part 21 Subpart M used in support of major or minor repairs regardless of the SoD of the product, part, or article, if:
 - (1) The FAA has certificated/validated the product or article;
 - (2) The CAA is acting on behalf of the SoD for the repair design data;
 - (3) The CAA repair design data approval is substantiated via a repair design approval letter or a repair design approval issued under a design organization approval (DOA). For repair data approved prior to September 28, 2003, in the UK, the FAA shall accept either the historical CAA approval document, or equivalent, or a

repair design approval issued under a former process as evidence of the approval, and

- (4) The repair is not in an area that is subject to an FAA AD, unless the AD allows for acceptance of a CAA repair design approval.

- (b) In these circumstances, repair design data approved by the CAA are accepted without further review as approved by the FAA. This process does not require application to the FAA or compliance findings to the FAA certification basis.

3.3.5.3 CAA Acceptance of FAA Repair Design Data

- (a) The CAA shall accept data used in support of major repairs regardless of the SoD of the product, part or article, if:
 - (1) The CAA has certificated/validated the product or article;
 - (2) The FAA is the Authority of the SoD for the repair design data; and
 - (3) The FAA repair design data approval is substantiated via an FAA letter, FAA Form 8110-3, FAA Form 8100-9, FAA Form 337 or a signed cover page of a repair specification.
- (b) The CAA shall also accept data used in support of minor repairs if:
 - (1) The CAA has certificated/validated the product or article;
 - (2) The FAA is the Authority of the SoD for the repair design data;
 - (3) The repair design data has been provided by the U.S. TC, STC, PMA, or TSOA holder; and
 - (4) For minor repairs from other than the U.S. TC, STC, PMA, or TSOA holder, the determination that data are acceptable (under 14 CFR part 43) has been made by a U.S. maintenance organization under the FAA's authorized system.

Note: A CAA approved maintenance organization must use (UK) Part 21 for the approval of repair data for use on a UK-registered aircraft, unless the data for a minor repair has been previously used to repair a U.S.-registered aircraft.

- (c) In these circumstances, repair design data are considered to be CAA-approved following its approval or acceptance under the FAA's system. This process does not require application to the CAA or compliance findings to the CAA certification basis.

3.3.6 Design Data for Alterations

FAA-approved or accepted alterations per 14 CFR part 43 installed on an individual used aircraft exported from the U.S., regardless of the SoD of the aircraft, are considered approved by the CAA at the time of import to the UK except for alterations on critical components. The CAA shall accept such FAA alteration data when substantiated via an appropriately executed FAA Form 8110-3, FAA Form 8100-9, FAA Form 337 or logbook entry.

Note: An FAA STC whose installation is documented on a Form 337 must be approved in accordance with paragraph 3.5.

3.4 Classification of Applications for Validation

3.4.1 For CA design approvals that do not meet the Acceptance criteria established in paragraph 3.2, the Authorities have established a risk-based approach influenced by the extent of past certification and operational experience with similar CA products, as well as the specific design features and operational characteristics of the project presented for validation. This risk-based approach establishes the VA level of involvement, according to the project classification as either Streamlined Validation or Technical Validation (which includes FTV and LTV).

3.4.2 The CA shall classify an application for validation according to the following decision process:

3.4.2.1 If the type design or major change in type design application for validation is for a product (listed in Section II, Table 1 and Table 2) which has not been previously submitted for validation to the VA, the VA may conduct an FTV, following the process outlined in paragraph 3.5.3.3(n) "Areas for Further Technical Confidence Building".

3.4.2.2 If the type design or major change in type design application for validation is for a product (listed in Section II, Table 1 and Table 2) which has been previously submitted, but after the entry into force of these Implementation Procedures, for validation to the VA, the VA shall conduct a review of the Safety Elements in paragraph 3.5.3.

- (a) If one or more of the Safety Elements is applicable, the VA will conduct an LTV, following the applicable process outlined in paragraph 3.5.
- (b) If none of the Safety Elements are applicable, the VA will conduct a SV, following the applicable process outlined in paragraph.

3.5 Validation Process

All three validation processes (FTV, LTV, or SV) require an application to the VA, a certifying statement from the CA to the VA, and issuance of a VA design approval. However, the intermediate steps between application and VA approval vary depending on which process is applied.

3.5.1 Application (applies to FTV, LTV, and SV)

- 3.5.1.1 Upon receipt of an application for validation from an applicant, the CA shall send it to the VA after the CA has verified that:
- (a) The product or design change is within the scope of these Implementation Procedures as provided in paragraph 2.2;
 - (b) The product or design change has been issued a TC or STC by the CA, or an application has been made to the CA; and
 - (c) The application is not eligible for Acceptance as defined in paragraph 3.2.
- 3.5.1.2 All applications to the VA must be submitted, on behalf of the applicant, to the CA. The CA shall forward the following information to the appropriate VA office as listed in Appendix A:
- (a) A cover letter from the CA identifying the following:
 - (1) Applicant requested timeline;
 - (2) Application category requested:
 - (i) Concurrent Certification and Validation, or
 - (ii) Sequential Validation; and
 - (3) Validation Classification (see paragraph 3.4.2):
 - (i) Streamlined Validation, or
 - (ii) Technical Validation (further identification of either FTV or LTV required);
 - (b) A completed VA application form;
 - (c) A copy of the CA's TC and data sheet (if available) or STC that identifies the certification basis upon which the CA's design approval was issued. In the absence of a TC data sheet, the CA shall submit a document that defines the certification basis;
 - (d) The date of the application to the CA;
 - (e) A description of the product in accordance with the following:
 - (1) For a TC, descriptive data defined in 14 CFR section 21.15 for applications to the FAA, or (UK) Part 21.A.15 for applications to the CAA; or

- (2) For a design change, a detailed description of the change, together with the make and model of the changed product;
- (f) For TCs and STCs, the CA shall list any applicable ADs and provide an assessment that changes to correct the unsafe condition identified in the AD have been incorporated into the type design;
- (g) Compliance Checklist, including reference to any applicable VA additional technical conditions as defined in (as defined in paragraph 1.12.3) and/or unique means of compliance;
- (h) Approved Manuals or changes to Approved Manuals as applicable (see paragraph 3.5.5.8);
- (i) Master Drawing List;
- (j) Maintenance/Repair Manual Supplements (as applicable);
- (k) Weight and Balance data;
- (l) Instructions for Continued Airworthiness;
- (m) A description of the criteria that led to the FTV, LTV, or SV project categorization;
- (n) Issue Papers/CRIs raised during the CA's certification activities related to the VA's Safety Elements identified by the CA;
- (o) Environmental: For a TC, a definition of the noise, fuel venting, and exhaust emissions standards upon which the design approval is based, and the proposed applicable VA environmental standards. For changed products, identification of the change as an acoustical or emissions changes, if applicable;
- (p) A detailed description of areas impacted by the Safety Elements, as per paragraph 3.5.3, as applicable to the project;
- (q) Information on VA market interest and proposed delivery schedules; and
- (r) A CA certifying statement, as described in paragraph 3.8.

Note: For certain projects, some elements of the application package will not be known at the time of application; those applications must include all known data. Missing information will be noted as "to be determined (TBD)" and provided to the VA by the CA (or their applicant) as it becomes available during the course of the validation project.

3.5.2 Acknowledgement of Application (applies to FTV, LTV, or SV)

- 3.5.2.1 The VA shall notify the CA within ten (10) working days of receipt of application.
- 3.5.2.2 The VA shall review the application, acknowledging the validation process identified by the CA (sequential/concurrent FTV/LTV, or just SV), and request the CA to send any missing information required for the application within thirty (30) working days of receipt of an application.
- Note:** The VA may confirm CA process determinations after the initial application if the VA feels the CA made an error during their initial review with the applicant's request. Confirmations may be an informal email and/or conference call between the cognizant CA and VA project managers.
- 3.5.2.3 The VA shall advise the applicant of any applicable fees within fifteen (15) working days of receipt of a complete application package.
- 3.5.2.4 Upon receipt of payment of any applicable fees, the VA shall begin working on the validation project.

3.5.3 Safety Elements Review (applies to LTV and SV projects only)

- 3.5.3.1 If none of the Safety Elements are applicable, the VA shall conduct as SV.
- 3.5.3.2 If one or more of the Safety Elements is applicable, the VA shall conduct a LTV.
- 3.5.3.3 The VA shall establish the scope of its technical review based upon the following Safety Elements and Environmental Requirements:
- (a) **Safety Emphasis Items (SEI)** – Areas of VA interest for all products of a certain class. These include areas where acceptable methods of compliance, at an industry level, continue to evolve, there is subjectivity in their application, and VA awareness is necessary. Each Authority shall publish, for public consumption, and periodically update, a list of such generic certification issues for each product class within their regulatory purview;
- Note:** In the absence of a published list(s), this criterion cannot be invoked by the VA. See linked lists in Appendix E.
- (b) **Significant Changes** –The design change is classified by the CA as significant under their applicable requirements (i.e., either 14 CFR section 21.101 or (UK) Part 21.A.101 as applicable);
 - (c) **New Technology** - New technology is technology that is new to the VA as a whole, not just new to the VA team members;

- (d) **Novel Applications of Existing Technology** – A known technology being used in a manner different from previous experience of the CA or VA;
- (e) **The Product Use is Unconventional** – A product being used for a purpose for which it was previously not designed;
- (f) **Potential Unsafe Condition** – A potential unsafe condition identified by either Authority that warrants issuing mandatory continuing airworthiness information (MCAI) for this product or a similar product. A potential unsafe condition may also be one in which the product contains design features pursuant to 14 CFR section 21.21(b)(2) or (UK) Part 21.A.3B where experience with other products in service has shown an unsafe condition might occur in that product, even though compliance with the standards in the VA certification basis can be demonstrated. Unsafe is measured with respect to the overall level of safety intended by the product’s VA certification basis. Additionally, continued airworthiness concerns occur when the VA is aware of an issue for similar products already in service and may be actively taking steps to address the concern;
- (g) **New Standard Interpretations or new Methods of Compliance (MOC) for the Existing Airworthiness Standards** – Interpretations/MOC applied by the CA that are different from those already accepted between the CA and the VA. An interpretation of a method of compliance or standard would not be considered “new” if it had been applied in a similar context by both the VA and the CA;
- (h) **New VA Standards** – When new VA airworthiness standards are adopted and any of the following apply:
 - (1) Limited past experience by the VA with their application to a CA product; or
 - (2) They have an important impact on the whole product or a product’s critical feature; or
 - (3) Engineering judgment is required to establish compliance;
- (i) **Exemptions** – Exemption from applicable standards;
- (j) **Equivalent Level of Safety** – Areas identified as requiring an ELOS finding to applicable standards;
- (k) **Special Conditions** – Areas identified when the applicable airworthiness standards do not contain adequate or appropriate safety standards for the aircraft, aircraft engine, or propeller. For the FAA, refer to 14 CFR section 21.16 for further information;

- (l) **Significant Standards Difference (SSD)** – Airworthiness standards differences where the standards, and/or their interpretations, are substantively different and may result in type design changes (including approved manuals) to meet the airworthiness standards of the VA. SSDs will be identified by the VA based on a comparison of applicable VA and CA standards. If no specific SSD listing is available, this safety element may not be applied;
- (m) **Acoustical or Emissions Change** – A change classified as an acoustical or emissions change per 14 CFR section 21.93 (b) or (c) or ((UK) Part 21.A.91; or
- (n) **Areas for Further Technical Confidence Building** –
 - (1) Technical areas for further confidence building consist of specific airworthiness standards, design features, or technologies identified by the VA.
 - (2) These standards, design features, or technologies are identified by the VA and must be based on either a lack of validation experience or objective evidence gathered from past validation and/or operational experience with similar CA products, where that experience supports a need for further confidence building.
 - (3) Areas for further confidence building are documented and shared between the Authorities. These initial lists will be provided by each Authority within sixty (60) days after signing these Implementation Procedures. Absent a list(s), this Safety Element cannot be invoked by the VA.
 - (4) The number of technical areas that require further confidence building is expected to decrease as the VA gains validation and/or operational experience with CA articles or products of the same type. When requesting items to be removed from the list, the CA shall collect and submit objective evidence to the VA of appropriate competence in compliance determination.
 - (5) However, if persistent gaps in compliance determinations are discovered by the VA during validation projects or operation of an article and/or product of the same type, the number of technical areas requiring further confidence building can increase. However, the VA shall document and submit objective evidence to the CA demonstrating a trend of increasing numbers of gaps in compliance determinations to justify an increase in the number of technical areas.

- (6) Changes to the initial list will be effective thirty (30) days after the change is provided, and will be applicable to new applications submitted after that effective date.
- (7) Each Authority is responsible for communicating the other's list(s) to its staff, to facilitate correct and consistent project classification by the CA. In addition, each Authority shall communicate its own list to its staff, to facilitate the Work Plan development consistent with these procedures.

3.5.4 Streamlined Validation

- 3.5.4.1 The SV process is limited to only the administrative actions required for the VA to issue its design approval (i.e., certificate) based on the corresponding CA approval and a certifying statement from the CA to the VA, as described in paragraph 3.5.6.
- 3.5.4.2 SV projects are only managed as sequential projects, in which the CA submits the application to the VA after the CA has completed its certification program, when it is ready to provide a certification statement to the VA as described in paragraph 3.5.6.
- 3.5.4.3 The VA shall issue its design approval based on the CA's certifying statement to the VA's certification basis and rely on the data provided by the CA, including acceptance of any CA approved manuals provided as part of the application package.
- 3.5.4.4 Once the data requirements for the SV process have been met, the administrative review of the application file has been completed, and the applicable design approval documentation has been prepared, the VA shall issue the corresponding design approval or letter of acceptance, as appropriate.
- 3.5.4.5 The VA shall issue final approval within thirty-five (35) working days after acknowledging a complete application (as defined in paragraph 3.5.2), and confirmation of payment of any applicable fees.

3.5.5 Technical Validation (applies to FTV, LTV projects only)

- 3.5.5.1 Technical Validation is intended to allow the VA to:
 - (a) Familiarize itself with the type design, with emphasis on identification of applicable Safety Elements (paragraph 3.5.3) and additional technical conditions (as defined in paragraph 1.12.3);
 - (b) Develop and use an approved Work Plan that incorporates active management oversight to ensure common principles and procedures are applied to maximize reliance on the CA's findings and compliance determinations;
 - (c) Rely on the CA to conduct compliance determinations to the VA's certification basis as applicable; and

- (d) Issue its own design approval based on the CA's design approval, any VA additional technical conditions and a certifying statement from the CA that the type design complies with the VA's certification basis.

3.5.5.2 Technical Familiarization

- (a) The VA shall use the technical familiarization process to refine and finalize the initial Work Plan for FTV and LTV projects. Technical familiarization objectives include:
 - (1) Establishment of the VA certification basis, including identification of any additional technical conditions;
 - (2) Establishment of the VA scope of review, limited to the applicable Safety Elements for an LTV project; and
 - (3) Establishment of the VA depth of review, where the VA will review compliance data or otherwise participate directly in compliance determination activities.
- (b) The CA shall arrange all familiarization meetings between the VA, the CA, and the applicant.
- (c) The VA shall establish a project validation team as required for the project.
- (d) The technical familiarization is utilized only for the purpose of gaining general understanding of the product type design. It is not used as a tool to re-certify the CA approved design and/or associated data. The VA shall limit its attention during technical familiarization to understanding the general compliance methodologies used (or planned to be used) by the applicant. This may include design assumptions, boundary conditions or critical parameters of that methodology to verify the Safety Elements that are impacted, to determine if Issue Papers are necessary, and to update the Work Plan, as needed. Further details, including review of test plans or other compliance documents, test witnessing, or other details of the compliance demonstration are deferred until that depth of review is added to the Work Plan and approved by VA management.
- (e) Familiarization flights are a unique aspect of technical familiarization since in a concurrent program, they cannot typically be conducted until late in the project. In a sequential or concurrent LTV project, familiarization flights have the following purposes:
 - (1) Identify to the CA for resolution any potential compliance issues not previously identified by the validation team in the course of technical familiarization.

- (2) Familiarize the VA with the type design as necessary to support operational introduction and continued operational safety of the VA-registered fleet.
- (f) VA requests for familiarization flights must be identified in the Work Plan.
- (g) Familiarization flights should be supported by the CA flight test team to facilitate completion of the objectives described in (e).
- (h) Familiarization flights are typically conducted for all new TC programs. Familiarization flights may also be conducted for other design change programs having a significant impact on the operational capabilities or limitations, or pilot/aircraft interface.

3.5.5.3 Depth of Technical Review (applies to LTV projects only)

- (a) The depth of VA technical review within each impacted Safety Element is guided by the procedures and principles provided below.
- (b) The VA shall rely, to the maximum extent possible, on the CA to make compliance determinations on its behalf. VA justification is required for any VA review of a compliance determination, including the review of any compliance document. This justification normally falls into the following general areas:
 - (1) Applicable Safety Elements, when
 - (i) The VA has limited experience in applying those Safety Elements and engineering judgment is required to establish compliance, or
 - (ii) Areas for further technical confidence building, as defined in paragraph 3.5.3.3(n).
 - (2) New or novel features, new MOCs, or novel application of existing MOCs; or

Note: Once the VA has accepted an MOC for a given standard on any program with the CA, the expectation is that the VA shall accept that MOC in the future as long as the area is not identified for further confidence building and the assumptions made in the MOC remain applicable. An exception is where a past MOC has been determined not to have been sufficient. This determination shall be documented by the VA and discussed with the CA.

- (3) Sensitive issues usually associated with an accident or incident on a product with similar design features.

Note: A compliance document in this context is any test report or other document that directly supports a determination of compliance.

- (c) VA review of compliance determinations, including review of any compliance documents, must be identified in the Work Plan along with the associated justification, and approved by VA management.
- (d) If the VA, upon completion of its review of a compliance document(s), finds the document(s) acceptable, the VA shall provide a written statement to the CA verifying that the document(s) is acceptable for demonstration of compliance to the VA certification basis.

3.5.5.4 Development and Implementation of the VA's Work Plan

- (a) The VA's level of involvement is made up of both the scope and depth of review. Scope identifies what to review. Depth identifies how much to review, and to what level of detail. The level of involvement is documented in the Work Plan.
- (b) For LTV projects, the VA shall determine the scope of its review using the Safety Elements (paragraph 3.5.3) as reviewed against the CA application package contents and CA statement of compliance.
- (c) For LTV projects, the VA shall determine the depth of its technical review, including review of compliance documents, based on the criteria in paragraph 3.5.5.3.
- (d) The Work Plan should support VA confidence in a level of safety as required by the VA system.
- (e) The Work Plan will outline the project, document the VA certification basis, identify additional technical conditions that the VA will apply, and list requested meetings and assistance from the CA.
- (f) The VA shall rely, to the maximum extent possible, on the CA to make compliance determinations on its behalf. The VA may identify preferred MOC for applicable Safety Elements.
- (g) The VA is expected to continue to rely on the CA for previously conducted compliance determinations on future programs, once the CA has successfully demonstrated to the VA that it can find compliance.
- (h) The Work Plan must be approved by VA management and communicated to the CA and their applicant for awareness, prior to any validation activities, to ensure support during the validation activities.

- (i) For LTV projects, if during implementation of the Work Plan the VA determines that involvement is needed in an area not included in the original validation Work Plan, it must be justified against the same Safety Element criteria (paragraph 3.5.3) and be reapproved by VA management.
- (j) Familiarization flights or familiarization meeting activities, if necessary for issuing the validated TC/STC or approving a change to a validated TC/STC, must be documented in the approved Work Plan. "TBD" placeholders should be utilized at a minimum in order to avoid miscommunications on project timelines between the VA, CA, and applicant schedules.

3.5.5.5 VA Work Plan Contents

- (a) Based on the scope and scale of the project, the Work Plan will include:
 - (1) Identification of the CA and its applicant;
 - (2) Date of the CA's application on behalf of its applicant;
 - (3) VA's office identification and its assigned PM;
 - (4) Familiarization requirements;
 - (5) CA certification basis;
 - (6) VA certification basis, including identification of the applicable VA airworthiness and environmental standards;
 - (i) For the purpose of establishing the VA's certification basis, the applicable VA's airworthiness standards in effect on the date of application (otherwise known as effective application date) by the applicant to the CA for the issuance of a CA design approval (see exception for environmental standards below) will be applied, subject to regulatory time limits.
 - (ii) The VA shall review the CA certification basis and identify any applicable safety elements and any additional requirements based upon service history.
 - (iii) Applications for a U.S. TC, or for a design change classified as an emissions change according to 14 CFR section 21.93(c) and associated advisory/policy material, must comply with the applicable fuel venting and exhaust emission standards of 14 CFR part 34.

- (iv) Applications for a U.S. TC or for a design change classified as an acoustical change according to 14 CFR section 21.93(b) and associated advisory/policy material must comply with the applicable noise standards of 14 CFR part 36.
- (v) Applications for a UK VTC must comply with the applicable fuel venting and exhaust emission standards of the CAA found in (UK) Part 21.
- (vi) Applications for a UK VTC must comply with the noise standards as specified in (UK) Part 21 that are in effect on the reference date established under paragraph 3.5.5.5(a)(6)(i).
- (7) Applicable Safety Elements as per paragraph 3.5.3.3; and
- (8) Validation project milestones that can be used to develop a joint project schedule with the applicant and the CA.
- (b) Additional work plan items to consider depending on the scope and scale of the project:
 - (1) Listing of all CA Issue Papers/CRIs potentially applicable to the VA program. The Work Plan will ultimately document all CA issue papers formally accepted by the VA as applicable to its validation program; and
 - (2) Technical support requests.

3.5.5.6 Using and Maintaining the VA Work Plan

- (a) The VA shall develop an initial Work Plan based on a review of the application package (LTV and FTV projects).
- (b) The VA shall provide its Work Plan to the CA and applicant following VA management approval.
- (c) The Work Plan will be revised by the VA if, during the course of the validation project, it determines a need to revise the scope or depth of its validation review. Any such changes shall be approved by the VA at the same level approving the original Work Plan and communicated to both the CA and applicant for their awareness.
- (d) For LTV projects, if Work Plan elements are added during the validation, they must be justified against the same Safety Element criteria (paragraph 3.5.3).
- (e) The CA shall hold the VA accountable to limit the VA's level of review to what is specified in the Work Plan.

3.5.5.7 Use of Issue Papers/Certification Review Items (CRIs)

- (a) The VA should avoid duplication of a CA issue paper on a subject that is already addressed by the CA with which the VA concurs.
- (b) Issue Papers/CRIs will be documented and coordinated through the CA to the design approval holder to expedite a timely and mutually acceptable resolution. The VA shall incorporate the CA's and their applicant's position on all Issue Papers originated by the VA.
- (c) VA intention to raise Issue Papers must be documented and justified in the Work Plan and approved by VA management.

3.5.5.8 Approved Manuals

- (a) The CA approves all manuals unless the VA specifies it will do so directly and that intent is documented in the approved Work Plan.
- (b) If the VA requires changes to the manuals during the validation process, the VA shall communicate to the CA the changes needed, and the approval of the manual will be made by the CA.
- (c) Changes to manuals required by the VA must be directly related to approved Work Plan items.
- (d) Stand-alone changes to approved manuals (i.e., changes that are not associated with physical design changes) will be dealt with as any other design change according to the Acceptance, SV, or LTV procedures, as applicable.

3.5.6 Instructions for Continued Airworthiness

Acceptance or approval, as appropriate, of ICA, including the Airworthiness Limitations Section (ALS) of the ICA, shall be managed by the VA office responsible for the Product. The level of involvement of the VA will be established using the Design Approval Procedures of this Section: the CA reviews the ICA unless the VA specifies its involvement in the Work Plan; stand-alone changes to ICA shall be dealt with as any other design change according to the Acceptance, Streamlined Validation, or Technical Validation procedures, as applicable.

3.6 Evaluation of Operational and Maintenance Aspects

3.6.1 Evaluation of UK Operational and/or Maintenance Aspects

The CAA system includes, under the type certification process, an approval of data that are considered necessary for the safe operation of an aircraft, called the Operational Suitability Data (OSD). These data, once approved, are attached to the TC through a reference in the TCDS and owned by the TC holder. To support the process, specific panels of experts are part of the

certification team. Means of compliance to the OSD requirements are described in the relevant Certification Specifications, and listed below, and in the provisions in these Implementation Procedures. The OSD consist of:

- 3.6.1.1 OSD Flight Crew (CAA CS-FCD Flight Crew Data), consisting of the minimum syllabus of pilot type rating training, including determination of type rating;
- 3.6.1.2 OSD Cabin Crew (CAA CS-CCD Cabin Crew Data), consisting of determination of type or variant for cabin crew and type specific data for cabin crew;
- 3.6.1.3 OSD Maintenance Certifying Staff, consisting of the minimum syllabus of maintenance certifying staff type rating training, including determination of type rating;
- 3.6.1.4 OSD Simulator Data (CAA CS-SIMD Simulator Data), consisting of the definition of scope of the aircraft validation source data to support the objective qualification of simulator(s) associated to the pilot type rating training, or provisional data to support their interim qualification; and
- 3.6.1.5 OSD Master Minimum Equipment List (MMEL) (CAA CS-MMEL Master Minimum Equipment List), consisting of the MMEL.

3.6.2 Evaluation of U.S. Operational and/or Maintenance Aspects

- 3.6.2.1 The FAA has established Aircraft Evaluation Groups (AEG) that are responsible for the operational and maintenance evaluations necessary to support introduction of products into the FAA system.
- 3.6.2.2 The AEG shall conduct Boards, as appropriate, to review the following items: Operational Configuration, Pilot Training and Licensing Requirements, and the formulation and approval of an MMEL.

3.6.3 FAA/CAA Validation of Master Minimum Equipment List (MMEL)

This procedure allows validation of an initial or revised MMEL by the FAA or the CAA as the VA. Validation should occur concurrently with the CA MMEL development as far as practical, to optimize efforts and resources of both Authorities. However, a request for sequential validation is possible, but the level of involvement will be determined to the satisfaction of the VA. This validation procedure is also applicable for MMEL content related to STCs.

Note: This validation procedure is optional, and contingent on the specific and voluntary request by the applicant. Alternatively, the applicant may elect to apply the procedure in paragraph 3.6.4 also for MMEL. It is, however, highly recommended that both the FAA and the CAA use the validation procedure for initial MMEL approvals in order to reduce duplication of effort and optimize the time and resources expended by the applicant, the CA, and the VA. These Implementation Procedures do not prevent an applicant from applying for CAA and FAA separate MMELs. However, these applications should be coordinated by the CA to ensure appropriate level of cooperation and information exchange between all the parties.

- 3.6.3.1 The MMEL validation procedure is based on the following agreed and underlying conditions:
- (a) Validation is applicable when the FAA or the CAA is the CA and does not cover cases when the product is from a third country SoD;
 - (b) The MMEL will be developed during the validation process. The VA validation of the MMEL will not be issued/approved until the TC or STC for the product has also been issued by the VA;
 - (c) The validation of an initial MMEL results in a single MMEL document that will be acceptable in both CA and VA regulatory systems; for revisions of existing MMELs approved separately by the CAA and the FAA, only the proposed change will be validated under this procedure, and incorporated within the two separate MMELs;
 - (d) The CA shall ensure the VA is informed of any request for validation of initial MMEL or revision to an existing MMEL;
 - (e) The VA establishes its level of involvement in the MMEL validation process using risk-based principles;
 - (f) The MMEL shall be approved in accordance with the procedures of the CA and after this validation procedure is satisfactorily completed, the CA approval will also indicate that the MMEL is validated/approved by the VA;
 - (g) FAA Flight Operations Evaluation Board and comparable arrangements when the CAA is the CA, shall allow for participation by operators and stakeholders; and
 - (h) The MMEL validation procedure when the CAA is the CA will allow for FAA public comment period and FAA internal coordination.
- 3.6.3.2 The FAA and the CAA shall share information on regulatory and policy differences that have been identified during MMEL validations using agreed working procedures.
- 3.6.3.3 Any potential conflict derived from this process will be resolved in a similar manner as the provisions outlined in paragraph 1.9, but through the appropriate FAA Flight Standards Service and CAA/SARG.

3.6.4 CAA Evaluation of Other OSD Elements

While the FAA and the CAA have agreed to a validation process for MMELs, they are still working together to develop validation processes for the remaining operational suitability aspects. Until these processes are

completed, the CAA shall verify compliance with the CAA OSD requirements based on the following:

- 3.6.4.1 The U.S. original equipment manufacturer will send its application and compliance package to the FAA (either as a standalone application or as part of a design change or TC approval);
- 3.6.4.2 The FAA shall forward the application and compliance package to the CAA;
- 3.6.4.3 The CAA experts shall perform the necessary reviews and evaluations, and verify compliance to the appropriate CS OSD requirements; and
- 3.6.4.4 The CAA shall coordinate all activities with the FAA.

3.6.5 Evaluation of Maintenance Review/Type Board Aspects

- 3.6.5.1 The FAA and the CAA agree that when acting as the CA for an initial issue or a revision of a Maintenance Review Board (MRB) or Maintenance Type Board (MTB) process based report, its approval/acceptance will be automatically accepted by the VA as being equivalent to having granted and issued its own approval/acceptance.
- 3.6.5.2 The process referred to as “Acceptance” requires that the VA shall accept the CA’s report approval/acceptance and shall not issue its own approval/acceptance, as there is full confidence in each other's approval/acceptance system. In this case, an application for approval/acceptance of a report to the VA will not be required.

Note: For amendments to living MRB/MTB reports, CA and VA concurrent participation will be maintained until the approval/acceptance of the next planned complete MRB/MTB report revision.

- 3.6.5.3 Acceptance of Maintenance Steering Group – 3rd Task Force (MSG-3) derived MRB/MTB process based reports under these Implementation Procedures is based on the following underlying conditions:
 - (a) The CA and VA commit to implement the latest revision of the International MRB/MTB Process Standards (IMPS) developed and approved by the IMRBPB;
 - (b) Acceptance is applicable to all current and future reports issued by the FAA or the CAA;
 - (c) Either the FAA or the CAA is the CA for the SoD for the product;
 - (d) The product has been issued a TC or validated TC by both the FAA and the CAA, or the TC application is being processed;

- (e) The CA shall inform the VA of any application for a new or revised issue of the report;
- (f) The report will be approved/accepted in accordance with the approval/acceptance procedures of the CA; the CA approval/acceptance will state that the report is also approved/accepted on behalf of the VA under the provisions of these Implementation Procedures;
- (g) For existing legacy products where specific VA requirements are addressed in appendices/annexes to the report, the CA approval/acceptance of these specific requirements will be coordinated with the VA;
- (h) For existing legacy products where specific VA action items are still open, the closure of these action items by the CA shall be coordinated with the VA;
- (i) Significant changes to MRB/MTB approval/acceptance processes or procedures shall be communicated by each Authority to the other in accordance with the provisions outlined in paragraph 1.4;
- (j) The VA reserves the right to review or sample the CA approval/acceptance process and the resultant MRB/MTB reports at any point, in the lifecycle of the product from the MRB/MTB report application, to ensure continued confidence that the agreement is being implemented in accordance with these Implementation Procedures and that the MRB/MTB report achieves its intended goals. The CA shall make data supporting the report available to the VA on request, bearing in mind that this will not prevent or delay the CA approval/acceptance process; and
- (k) Any potential conflict derived from this process will be resolved in a similar manner as the provisions outlined in paragraph 1.9, but through the appropriate FAA Flight Standards Service and CAA/SARG.

3.6.5.4 If processes other than MRB/MTB are used to develop scheduled maintenance interval and/or tasking requirements, those processes shall be managed by the VA office responsible for the product.

3.7 Environmental Compliance Demonstration and Approval Procedures

3.7.1 General

- 3.7.1.1 The FAA is required to make findings of compliance to 14 CFR parts 34 and 36.
- 3.7.1.2 Information and data must be supplied to the FAA in order to make a finding in accordance with Title 49 of the United States Code, Section 44715 (49 U.S.C. 44715) (previously known as the Noise Control Act of 1972). The FAA, before issuing an original TC for an

aircraft of any category, shall assess the extent of noise abatement technology incorporated into the type design and determine whether additional noise reduction is achievable. This examination must be initiated as soon as possible after the application for type certification in each original type certification project and reflect noise reduction potentials that become evident during the design and certification process.

- 3.7.1.3 The National Environmental Policy Act of 1969 (NEPA) (42 U.S.C. 4321 et seq.) and FAA Order 1050.1 requires the FAA to publicly assess and analyze potential environmental consequences of its actions. In order to grant an aircraft TC (new, amended, or supplemental) in the absence of noise regulations that are applicable and appropriate to a particular aircraft type, the FAA shall prepare an Environmental Assessment, including a decision on whether to prepare a finding of no significant impact or an environmental impact statement. Information and data must be supplied to the FAA in order to prepare the Environmental Assessment.
- 3.7.1.4 The CAA shall verify compliance to the environmental essential requirements found in Article 9(2) of regulation 2018/1139, the requirements of (UK) Part 21.B.85, and in accordance with the procedures as defined in CS34 and CS36.
- 3.7.1.5 Upon request to the CAA, and after mutual agreement, the FAA may authorize environmental findings of compliance to be performed by the CAA on behalf of the FAA. For tests conducted prior to a TC or STC application being made to the FAA, FAA may accept CAA approved noise and emissions certification compliance data, provided the data meets the applicable FAA regulations, guidance, and policy material.
- 3.7.1.6 Upon request to the FAA, and after mutual agreement, the CAA may authorize environmental findings of compliance to be performed by the FAA on behalf of the CAA. For tests conducted prior to a TC or STC application being made to the CAA, the CAA may accept FAA approved noise and emissions certification compliance data, provided the data meets the applicable CAA regulations, guidance, and policy material.

3.7.2 Environmental Approval Process for new TCs and Acoustic or Emission Changes to a Type Design

- 3.7.2.1 Examples of changes to a TC/STC which are considered to affect noise or emissions are those that:
 - (a) Have any effect on the performance characteristics of the aircraft (e.g., drag, weight, lift, power, RPM, etc.) and/or

- (b) Add or modify any externally radiating noise sources, (e.g., APU operation, fuselage distensions, wing extensions, rigging changes, hollow cavities in landing gear or airframe, etc.) and/or
- (c) Modify the engine(s), nacelle(s), propeller(s), or rotor system.

3.7.2.2 In accordance with the Work Plan, the process for environmental compliance determination and approvals by the CA includes the following when the criteria of paragraph 3.5.3.3(m) is applied:

- (a) Environmental (noise, fuel venting and exhaust emissions) certification compliance demonstration plans must be submitted to the VA for review, comment, and subsequent approval not less than ninety (90) days prior to commencing testing;
- (b) Information and data must be supplied to the VA in order to conduct an evaluation of the measurement and analysis methods and practices, and data correction procedures of the applicant for aircraft noise certification under 14 CFR part 36, Subpart B and/or Subpart H or CAA CS34 and CS36;
- (c) Compliance demonstration tests must be witnessed by the VA personnel or authorized VA designees. Prior to the start of testing it is necessary to assure the conformity of the test article (aircraft or engine configuration) to that identified in the CA approved compliance demonstration test plans;
- (d) Proposed equivalent procedures to be used by the applicant during testing, data processing, data reduction, and data analysis must be specifically identified to the VA and approved in advance by the VA; and
- (e) Compliance demonstration reports must be submitted to the VA for review and/or comment and subsequent approval prior to type certification approval.

3.8 Issuance of the Design Approval

3.8.1 Once the VA is satisfied that the Technical Validation process is completed, the Work Plan activities are concluded, compliance with the VA's certification basis has been demonstrated, and confirmation of payment of any applicable fees, the VA shall notify the CA that it is ready to receive the certifying statement, in the following form:

“The CA certifies that the {specific product type, model, or STC} complies with the {VA’s} certification basis as identified in {Work Plan, Issue Paper, STC, TCDS, etc., as applicable to the project} dated {date}”

3.8.2 Upon receipt the VA shall issue its design approval.

SECTION IV CONTINUED AIRWORTHINESS

4.1 General

- 4.1.1 In accordance with Annex 8 to the Chicago Convention, the SoD is responsible for resolving in-service safety issues related to design or production. The CA, as the Authority of the SoD, shall provide applicable information that it has found to be necessary for mandatory modifications, required limitations and/or inspections to the other Authority to ensure continued operational safety of the product or article. Each Authority shall review and normally accept the corrective actions taken by the CA in the issuance of its own mandatory corrective actions.
- 4.1.2 At the request of the VA, the CA shall assist in determining what action is considered necessary for the continued operational safety of the product or article. The VA, as Authority of the SoR, retains sole Authority for decisions on final actions to be taken for products or articles under their jurisdiction. The FAA and the CAA shall strive to resolve differences.
- 4.1.3 The FAA and the CAA recognize the importance of the sharing of Continued Operational Safety (COS) information as a means to assist in the identification and resolution of emerging airworthiness issues. The FAA and the CAA shall share their COS data with each other to assist in their respective COS oversight.
- 4.1.4 Once the design is validated, the CA shall provide any mandatory continuing airworthiness information (MCAI) necessary to ensure continuing airworthiness of the product registered in the jurisdiction of the importing State.
- 4.1.5 The FAA and the CAA shall ensure active communication between specific contact points, for regular feedback and communicating continuing airworthiness issues on products certified by either the FAA or the CAA and validated by the other. The extent of this engagement will reflect the continuing airworthiness activities associated with the product.
- 4.1.6 The principles and procedures provided in paragraphs 4.1.1 through 4.1.5 should be sufficient for the VA to fulfill its SoR COS responsibilities. However, the VA has discretionary authority to seek information from the CA, which includes, but is not limited to, design data and findings of compliance, when such requests are need to support resolution of COS concerns.

4.2 Failures, Malfunctions and Defects (FM&D) and Service Difficulty Reports (SDR)

- 4.2.1 The FAA and the CAA shall perform the following functions for the products and articles when either one is the CA:
- 4.2.1.1 Tracking of FM&D reports/SDR and accident/incidents;
 - 4.2.1.2 Evaluating FM&D reports/SDR and accident/incidents;
 - 4.2.1.3 Investigating and resolving all suspected unsafe conditions;

- 4.2.1.4 Advising the other Authority of all known unsafe conditions and the necessary corrective actions (see paragraph 4.3);
- 4.2.1.5 Upon request, providing the other Authority with the following:
 - (a) Reports of FM&D/SDR and accidents/incidents;
 - (b) Status of investigations into FM&D/SDR and accidents/incidents; and
 - (c) Summary of FM&D/SDR investigation findings and conclusions.
- 4.2.1.6 Making a reasonable effort to resolve issues raised by the other Authority concerning matters of safety for products registered in their State.
- 4.2.2 The FAA and the CAA, as Authorities for the SoR, shall perform the following functions:
 - 4.2.2.1 Advising the CA of FM&D/SDR and accidents/incidents which are believed to be potentially unsafe conditions;
 - 4.2.2.2 Supporting the CA in investigations of unsafe conditions and their occurrences; and
 - 4.2.2.3 Advising the CA, if as the result of investigations made by the VA into FM&D/SDR and accidents/incidents, it has determined that it will make corrective actions mandatory.
- 4.2.3 For COS issues related to investigations of Safety Recommendations, SDRs, accidents or incidents on the imported products, parts, or articles, the Authority for the SoR can directly request information from the design approval holder after informing the CA of the investigation.
- 4.2.4 Copies of FM&D/SDR reports from the U.S. and the UK can be obtained through the addresses listed in Appendix A.

4.3 Unsafe Condition and Mandatory Continuing Airworthiness Information (MCAI)

- 4.3.1 The FAA (under 14 CFR part 39) and the CAA (under (UK) Part 21) shall perform the following functions for the products, articles, and design changes for which they are the CA:
 - 4.3.1.1 Issue an MCAI (e.g., Airworthiness Directive (AD)) whenever the Authority determines that an unsafe condition exists in a type certificated product or article, and is likely to exist or develop in a type certificated product or article of the same type design. This may include a product that has an aircraft engine, propeller, or article installed on it and the installation causes the unsafe condition;
 - 4.3.1.2 Ensure that the following information is provided to the other Authority in support of the MCAI or directly from the approval holder:
 - (a) Service information that provides the instructions for how to perform the required corrective actions;

- (b) A statement on the availability of parts; and
- (c) An estimate of the number of labor hours and the cost of parts required for the corrective actions.

4.3.1.3 Issue a revised or superseding AD when determined that any previously issued AD was incomplete or inadequate to fully correct the unsafe condition;

4.3.1.4 Provide timely notification to the VA of the unsafe condition and the necessary corrective actions by providing a copy of the AD at the time of publication to the address referenced in Appendix A. Additionally, upon request by the VA, the CA shall arrange for copies of all relevant service bulletins referenced in the MCAI, as well as other supporting documentation, to be forwarded to the appropriate contact point in the FAA or to the CAA, as appropriate;

4.3.1.5 In the case of emergency airworthiness information, ensure special handling so that the other Authority is notified immediately;

4.3.1.6 Advise and assist the VA in defining the appropriate actions to take in the issuance of its own AD; and

4.3.1.7 Maintain a web-based access to ADs that is available to the VA.

4.3.2 The FAA and the CAA recognize that they may disagree as to the finding of an unsafe condition and propose to issue a unilateral AD. In such a case, the VA should consult with the CA prior to issuing a unilateral AD.

4.3.3 The FAA and the CAA, as VAs, shall respond quickly to the issuance of an MCAI by the CA in making its own determination of the need for issuing its own similar MCAI that addresses all unsafe conditions on affected products or articles certified, approved or otherwise accepted by the VA.

4.3.4 The CA shall share information on any changes that affect operating limitations, life limits, or any other airworthiness limitation, to include manual changes and changes to certification maintenance requirements. These changes should be promptly sent to the VA in order to ensure the continued operational safety of the aircraft. A reduced life limit may form the basis for an unsafe condition, and if so, the CA will issue an AD. The FAA and the CAA may also issue an AD for other limitation changes if they are considered an unsafe condition.

4.4 Alternative Methods/Mean of Compliance (AMOC) to an AD

4.4.1 If the CA issues an AMOC of general applicability to an existing AD for its own SoD products, the CA shall notify the VA of the decision.

4.4.2 Upon request, the CA shall provide sufficient information to the VA for its use in making a determination as to the acceptability of the AMOC. Based on this information, the VA is responsible for issuing an AMOC approval letter for the operators in their State.

- 4.4.3 An AMOC issued by the CA to the design approval holder for its SoD products will be provided to the VA for its consideration to issue a similar AMOC for the VA's domestic registered fleet, if required.
- 4.4.4 Upon request by the VA, the CA shall assist in determining the acceptability of specific AMOC requests where the AD is issued by the CA for its own SoD products.

SECTION V ADMINISTRATION OF DESIGN APPROVALS

5.1 General

This Section addresses procedures for the transfer, surrender, revocation, suspension, termination, or withdrawal of design approval.

5.2 Transfer of TCs and STCs

The regulatory requirements for certificate transfers are equivalent in the U.S. and the UK. The U.S. and the UK regulations allow the transfer of a TC/STC followed by notification to the FAA/CAA. Early coordination with both Authorities is encouraged. The FAA and the CAA shall administer the transfer of TCs/STCs only when an applicant agrees to assume responsibility for both a U.S. and a UK TC/STC and the affected operating fleet. The following paragraphs outline the procedures to be followed for TC/STC transfers.

5.2.1 Transfer of a TC/STC between the US and UK, with a change in SoD

- 5.2.1.1 The transfer of the SoD responsibilities as per Annex 8 of the Chicago Convention must be agreed upon by both Authorities. If agreement cannot be reached between the two Authorities, then the CA may revoke the certificate and notify the concerned ICAO States that there is no longer a design approval holder.
- 5.2.1.2 Early coordination between the current TC/STC holder and its Authority, together with the proposed TC/STC holder and its Authority is essential. The transferring Authority shall notify the receiving Authority of the proposed transfer and include information about current production status. All information related to the transfer of a TC/STC, including technical documentation, will be in the English language.
- 5.2.1.3 Upon notification of a change in ownership of a TC/STC holder to a new holder in the State of the receiving Authority, the transferring Authority's responsible office shall notify the receiving Authority's responsible office listed in Appendix A. An arrangement may be developed to identify each Authority's responsibilities throughout the transfer process.
- 5.2.1.4 The transferring Authority shall transfer to the receiving Authority the ICAO SoD responsibilities for TCs and STCs within the scope of these Implementation Procedures. The receiving Authority shall not assume ICAO SoD functions for models or design changes that have not been found to meet its certification requirements.
- 5.2.1.5 If the receiving Authority does not already have a corresponding TC/STC, the new holder will have to apply to their Authority for a new TC/STC. The transferring Authority shall provide support to establish acceptance of the receiving Authority's TC/STC as showing compliance with the applicable certification requirements of the receiving Authority. This would include providing a statement of

compliance that the product meets the certification requirements of the new SoD (receiving Authority). Upon acceptance, the receiving Authority shall issue its TC/STC.

- 5.2.1.6 If the receiving Authority already has a corresponding TC, but that TC does not include all of the models being transferred, the transferring Authority shall, if requested, provide support to establish acceptance of the additional model(s) as showing compliance with the applicable certification requirements. This support would include providing a statement of compliance that the model meets the certification requirements of the new SoD (receiving Authority). Upon acceptance, the receiving Authority shall place the additional model on its TC.
 - 5.2.1.7 For STCs, the applicability of an STC issued by the receiving Authority will only include those models for which a TC approval has been issued by the receiving Authority.
 - 5.2.1.8 The transfer of the ICAO SoD responsibilities for the TC/STC to the receiving Authority will be considered complete when the receiving Authority confirms all necessary data have been transferred to the new holder, and the new holder is able to perform the responsibilities required of a design approval holder.
 - 5.2.1.9 If requested by the approval holder, the transferring Authority shall issue a validated TC/STC after the receiving Authority issues its TC/STC.
 - 5.2.1.10 If the new SoD's TC only covers a partial list of models from the transferring Authority's original TC and the new holder does not apply for approval of those additional models, the existing holder will continue to hold the data for those additional models and the transferring Authority will continue to fulfill its SoD responsibilities for those additional models.
- 5.2.2 Upon transfer, or a mutually agreed upon date, the receiving Authority, in carrying out SoD functions, shall comply with the requirements of Annex 8 to the Chicago Convention for affected products. For TCs/STCs, the receiving Authority shall notify the transferring Authority and all affected ICAO Contracting States (i.e., States of Registry) of the change in SoD responsibility and identify the new TC/STC holder, upon completion of all applicable procedures described above.
- 5.2.3 Transfer of TCs and STCs with no change in SoD
- 5.2.3.1 Where there is no change in the SoD, the CA shall notify the VA when a TC/STC validated by the VA is successfully transferred to a new design approval holder within the country of the CA.
 - 5.2.3.2 The CA shall provide the VA with a statement confirming the ability of the new holder to fulfill the regulatory responsibilities assigned to a design approval holder. The CA shall assist the VA in facilitating the reissuance of the validated TC/STC to the new holder.

5.2.3.3 The VA, upon completion of its review, shall issue a TC/STC in the name of the new design approval holder, and notify the CA accordingly.

5.2.4 Transfer of TCs and STCs to a Third State

When a TC or STC is to be transferred to a third State, the CA shall notify the VA prior to the transfer and provide any necessary technical support to the VA as needed. Early collaboration is crucial prior to processing such a transfer.

5.3 Surrender of TCs or STCs

5.3.1 If a certificate holder elects to surrender a TC or STC issued by the FAA or the CAA, the FAA or the CAA shall immediately notify the other Authority in writing of the action at the address listed in Appendix A.

5.3.2 The FAA or the CAA, whoever is the CA, shall accomplish all actions necessary to ensure continued airworthiness of the product until such time as:

5.3.2.1 A new TC or STC for the product is issued as part of the full TC process with a new application since the surrendered TC or STC cannot be reissued to a third party or a former holder; or

5.3.2.2 The FAA or the CAA terminates the TC or STC. Prior to termination, the FAA or the CAA shall notify the other Authority of the pending action.

5.4 Revocation or Suspension of TCs or STCs

5.4.1 In the event that either Authority revokes or suspends a TC or STC of a product manufactured for which it is the CA, that Authority shall immediately inform the other. The VA, upon notification, shall conduct an investigation to determine if action is required. If the VA concurs with the CA's certificate action, the VA shall initiate revocation or suspension of its TC or STC.

5.4.2 Alternatively, the VA may decide to assume continued airworthiness responsibilities if there is sufficient information for it to support the continued operational safety of the fleet within its jurisdiction. In this case, the CA should obtain and provide type design data as requested to the VA. Final certificate action is at the sole discretion of the VA.

5.4.3 Either Authority may revoke its TC or STC if the continued airworthiness responsibilities would cause an undue burden for that Authority.

5.5 Termination

In the event that one Authority terminates a design approval, the information will be communicated between the FAA and the CAA on a case by case basis.

5.6 Surrender or Withdrawal of a TSO Design Approval

5.6.1 Surrender

If an FAA TSOA holder, FAA LODA holder or UKTSOA holder elects to surrender their LODA or TSOA approval issued by the FAA or the CAA respectively, the FAA or the CAA shall immediately notify the other in writing of the action. The CA shall inform the VA when an unsafe condition has been identified, until such time as the approval is formally withdrawn by the CA.

5.6.2 Withdrawal

If a FAA TSO/UKTSO approval is withdrawn, the FAA or the CAA shall immediately notify the other in writing of the action. The CA shall inform the VA when an unsafe condition has been identified. In the event of withdrawal of a TSO approval for non-compliance, the CA shall investigate all non-compliances for corrective action and notify the VA of the corrective action. The CA still has the responsibility for the continuing airworthiness of those TSO articles manufactured under its authority.

SECTION VI PRODUCTION AND SURVEILLANCE ACTIVITIES

6.1 Production Quality System

6.1.1 All products and articles produced in the U.S. or the UK and exchanged under the provisions of these Implementation Procedures will be produced in accordance with an approved production quality system that ensures conformity to the approved design and ensures that completed products and articles are in a condition for safe operation.

6.1.2 Surveillance of Production Approval Holders

6.1.2.1 The FAA and the CAA, as Authorities for the SoM, shall conduct regulatory surveillance of production approval holders and their suppliers in accordance with each Authority's applicable regulations, policies, practices, criteria, and/or procedures. Scheduled evaluations or audits should be conducted to verify that the production approval holder is in continual compliance with their approved production quality system, manufacturing products and articles that fully conform to the approved design, and are in a condition for safe operation. The Authority for the SoM should verify the correction of all deficiencies.

6.1.2.2 The FAA's production approval holder and supplier surveillance programs are described in FAA Order 8120.23, Certificate Management of Production Approval Holders.

6.1.2.3 The CAA's production approval holder and supplier surveillance programs are described in (UK) Part 21.

6.2 Extensions of Production Approvals

6.2.1 As the Authority of the SoM, the FAA and the CAA may authorize production approval extensions, to include manufacturing sites and facilities in each other's countries or in a third State. The Authority for the SoM remains responsible for the surveillance and oversight of these manufacturing sites and facilities.

6.2.2 Each Authority for the SoM is responsible for surveillance and oversight of its production approval holders' operations located within the jurisdiction of the other Authority. Routine surveillance and oversight may be performed by the FAA or the CAA on the other's behalf through the provisions of Section VIII.

6.2.3 Either Authority for the SoM may seek assistance with regulatory surveillance and oversight functions from the civil aviation authority of a third State when a production approval has been extended. This should be done only when a bilateral arrangement for technical support has been formalized between the FAA or the CAA and the civil aviation authority of the third State.

6.3 Production Approvals Based on Licensing Agreement

6.3.1 The Authorities recognize that some business relationships may result in the licensing of data for products or articles designed under one Authority's approval and manufactured under the other Authority's approval. In such

cases, the Authorities shall work together to develop an arrangement defining their regulatory responsibilities to ensure accountability under Annex 8 to the Chicago Convention. Such arrangements will address the responsibilities of the SoD and the SoM and will be documented in accordance with Section IX of these Implementation Procedures.

6.3.2 For products and articles, either Authority may grant a production approval in its respective State based on design data obtained through a licensing agreement (i.e., licensing the rights to use the design data) with the DAH in the other Authority's State, or in a third State, to manufacture that product or article. In this case, the Authority granting that production approval should have a validated design approval and ensure the establishment of adequate manufacturing processes and quality control procedures to assure that each part conforms to the approved licensed design data. There must also be procedures to ensure that all changes to be introduced into the design by the production approval holder are approved. These design changes will be submitted to the type design holder who will obtain approval from its Authority using established procedures. Production approvals based on a licensing agreement covered under the scope of these Implementation Procedures will require a Management Plan.

6.3.3 For any TC/PC split, the FAA and the CAA shall follow the following steps:

6.3.3.1 Applicant will notify both Authorities;

6.3.3.2 Both Authorities shall communicate and agree on the request;

6.3.3.3 The SoM shall issue the PC;

6.3.3.4 The CA shall update the TCDS and the VA shall update the validated TCDS by adding new production approval; and

6.3.3.5 Both Authorities shall conclude a Management Plan.

6.4 Supplier Surveillance – Outside the State of Manufacture (SoM)

6.4.1 The Authority for the SoM shall include in its regulatory surveillance and oversight programs a means of surveillance of persons/suppliers, located outside its State. This surveillance and oversight will be equivalent to the program for domestic suppliers. This surveillance activity will assist the Authorities in determining conformity to approved design and if articles are safe for installation on type certificated products.

6.4.2 Each Authority for the SoM is responsible for surveillance and oversight of its production approval holders' suppliers located in the other State's jurisdiction. Routine surveillance and oversight may be performed by the other Authority through the provisions of Section VIII.

6.4.3 Either Authority may request that the other Authority conduct regulatory surveillance on its behalf for facilities located within the other Authority's country. The assisting Authority may either use its own policies, practices and procedures or those of the requesting Authority. Details of this assistance will be documented in a Management Plan.

6.4.4 The Authority for the SoM may seek assistance with regulatory surveillance oversight functions from the civil aviation authority of a third State in which the supplier is located. This may only be done when an agreement/arrangement for this purpose has been formalized between the FAA or the CAA and the civil aviation authority of the third State.

6.4.5 Either Authority may deny acceptance of products and articles if a production approval holder uses a supplier in a State where the Authority of the production approval holder is denied unimpeded access, by either the supplier or the supplier's civil aviation authority, to the supplier's facility to perform surveillance activities. Either Authority may deny acceptance of products and articles if the production approval holder uses a supplier located in a State that denies entry to the Authority of the production approval holder.

6.5 Multi-National Consortia

6.5.1 Approvals may be issued to multi-national consortia for the design and production of products and/or articles in either the U.S. or the UK. These consortia clearly designate one SoD and one SoM, for the purposes of regulatory accountability. There may be domestic and international suppliers to the approval holder(s) that produce parts for use in the final product.

6.5.2 The FAA and the CAA shall continue to conduct regulatory surveillance and oversight of the domestic design and production approval holder and should emphasize surveillance and oversight of parts suppliers. Each Authority shall use its regulatory surveillance and oversight programs that best enable it to ensure the consortia suppliers are producing parts that conform to the approved design and are in a condition for safe operation.

SECTION VII EXPORT AIRWORTHINESS APPROVAL PROCEDURES

7.1 General

- 7.1.1 Export Certificates of Airworthiness are issued by the FAA and the CAA for completed aircraft. Authorized Release Certificates (Airworthiness Approval Tags), or equivalent, are issued by the FAA and the CAA for aircraft engines, propellers, and articles.
- 7.1.2 The FAA's requirements and procedures for import are described in 14 CFR part 21, FAA Order 8130.2, and Advisory Circular (AC) 21-23. The CAA's requirements and procedures for import are described in (UK) Part 21 Subpart H.
- 7.1.3 The FAA's requirements for issuing export airworthiness approvals are contained in 14 CFR part 21, FAA Order 8130.2, FAA Order 8130.21, and FAA Advisory Circular (AC) 21-2. The CAA's requirements for issuing export certificates are described in BCAR Section A3-6.

7.2 New or Used Aircraft Exported for which a Design Approval Has Been Granted

- 7.2.1 Except as provided in paragraph 7.6, the IA shall accept an Export Certificate of Airworthiness on new aircraft and on used aircraft only if a TC holder exists to support continuing airworthiness of such aircraft, identified in paragraph 2.2.2 when the EA certifies that each aircraft:
 - 7.2.1.1 Conforms to a type design approved by the IA (including all applicable STCs);
 - 7.2.1.2 Has undergone a final operational check;
 - 7.2.1.3 Is in a condition for safe operation, including compliance with applicable IA ADs;
 - 7.2.1.4 Meets all additional requirements prescribed by the IA in paragraph 7.8, as notified; and
 - 7.2.1.5 Additional requirement for Used Aircraft:
 - (a) Is properly maintained using approved procedures and methods throughout its service life to the requirements of an approved maintenance program as evidenced by logbooks and maintenance records; and
 - (b) Records which verify that all overhauls, major changes and repairs were accomplished in accordance with approved data.
- 7.2.2 Each aircraft imported to the U.S. or the UK with an EA airworthiness approval will have an Export Certificate of Airworthiness and should contain information equivalent to the following comment: "The [INSERT AIRCRAFT MODEL AND SERIAL NUMBER] covered by this certificate conforms to the type design approved under the TC Number [INSERT TC NUMBER, REVISION LEVEL, AND DATE], and is found to be in a condition for safe

operation,” and any other clarifying language as specified in the TCDS. Under certain conditions, the IA may decide that an Export Certificate of Airworthiness is not required for used aircraft.

- 7.2.3 When a U.S. or UK SoD used aircraft is to be imported from a third State into the U.S. or the UK, the FAA or the CAA, as the SoD Authority shall, upon request by the other, assist in obtaining information regarding the configuration of the aircraft at the time it left the manufacturer. The SoD Authority shall also provide, upon request, information regarding subsequent installations on the aircraft they have approved.
- 7.2.4 If a used civil aircraft produced in the U.S. or the UK has been used in military service in either country at any time, the EA shall consult with the IA to determine if they will accept such an aircraft.
- 7.2.5 Acceptance of Used Aircraft Being Exported (Returned) to the Original SoD
 - 7.2.5.1 Either Authority shall accept an Export Certificate of Airworthiness on a used aircraft being exported (returned) to the original SoD for the aircraft, when the conditions of paragraph 7.2.1 have been met.
 - 7.2.5.2 If the EA is not in a position to assess whether or not the used aircraft satisfies the above conditions, it shall inform the IA accordingly.
- 7.2.6 Acceptance of Used Aircraft for which a Third State is the SoD
 - 7.2.6.1 The IA shall accept Export Certificates of Airworthiness from the EA for used aircraft for which a third State is the SoD.
 - 7.2.6.2 For used aircraft being imported from the UK to the U.S., or from the U.S. to the UK, the conditions of paragraph 7.2.1 must be met.
 - 7.2.6.3 If the EA is not in a position to assess whether or not the used aircraft satisfies the above conditions, it shall inform the IA accordingly.

7.3 New, Used, and Rebuilt Aircraft Engines and New Propellers Exported to the U.S. or the UK

- 7.3.1 Except as provided in paragraph 7.7, the IA shall accept the EA's Authorized Release Certificates, or equivalent, certifying that each new, used and rebuilt aircraft engine or new propeller identified in paragraph 2.2.3 exported to the U.S. or the UK:
 - 7.3.1.1 Conforms to a type design approved by the IA, as specified in the IA's TCDS, and any additional STCs accepted by the IA;
 - 7.3.1.2 Has undergone a final operational check;
 - 7.3.1.3 Is in a condition for safe operation, including compliance with applicable IA ADs; and
 - 7.3.1.4 Meets all additional requirements prescribed by the IA in paragraph 7.8.
 - 7.3.1.5 For rebuilt aircraft engines being exported to UK from the U.S., that the aircraft engine has been rebuilt by the production approval holder

and the Total Time Since New (TTSN) is specified in both the technical record of the aircraft engine and the accompanying Authorized Release Certificate, or equivalent.

- 7.3.2 Each new aircraft engine and propeller exported will have an Authorized Release Certificate, or equivalent that identifies the IA's approved design data.
- 7.3.3 For new and used aircraft engines and propellers, the Authorized Release Certificate, or equivalent, should contain information equivalent to the following statement: "The [INSERT AIRCRAFT ENGINE OR PROPELLER MODEL AND SERIAL NUMBER] covered by this certificate conforms to the type design approved under the IA's TC Number [INSERT TYPE CERTIFICATE NUMBER, REVISION LEVEL, AND DATE], and is found to be in a condition for safe operation and has undergone a final operational check". This must include any other conditions specified in the IA's TCDS.

7.4 New TSO Articles that are Subject to Acceptance

Under the Acceptance provisions for TSO articles as detailed in paragraph 3.3.3, the IA shall accept the EA's Authorized Release Certificate, or equivalent, on those new TSO articles only when the EA certifies, that the new Article:

- 7.4.1 Conforms to the EA's TSO/UKTSO design approval, including any accepted non-TSO functions (see paragraph 3.3.3.3) as applicable;
- 7.4.2 Complies with all applicable EA ADs; and
- 7.4.3 Meets all additional requirements prescribed by the IA in paragraph 7.9, as notified.

Note: For TSO articles that were approved prior to Acceptance provisions implemented in the U.S./EU Safety Agreement, the IA shall accept the EA's Authorized Release Certificate on those new articles.

7.5 Modification and Replacement Parts

- 7.5.1 Each part exported to the importing State will have an EA's Authorized Release Certificate or equivalent. The IA shall accept the EA's Authorized Release Certificates, or equivalent, on modification and/or replacement parts as identified in paragraph 2.2.3 only when the EA certifies by issuance of an Authorized Release Certificates, or equivalent, that each part:
 - 7.5.1.1 Conforms to the applicable EA approved design data and is in a condition for safe operation; and
 - 7.5.1.2 Meets all additional requirements prescribed by the IA, in paragraph 7.9, as notified.
- 7.5.2 When parts are shipped under direct ship authorizations, the accompanying EA's Authorized Release Certificate, or equivalent documentation, must indicate that the responsible manufacturing/production approval holder has authorized direct shipment.

7.6 Additional Documentation Requirements for FAA PMA Parts

For a PMA part that will be installed on a product which has been certified or validated by the CAA, one of the following statements should be written in the remarks block of the FAA Form 8130-3, as applicable:

- 7.6.1 For a PMA part which is not a “critical component” (see definition paragraph 1.12.18), the following statement should be written in the remarks block of the FAA Form 8130 3: “*This PMA part is not a critical component.*”
- 7.6.2 For a PMA part conforming to design data obtained under a licensing agreement from the TC or STC holder according to 14 CFR part 21 (see paragraph 3.3.4), the following statement should be written in the remarks block of the FAA Form 8130 3: “*Produced under licensing agreement from the holder of [INSERT TC or STC NUMBER].*”
- 7.6.3 If the PMA holder is also the holder of the CAA STC design approval which incorporates the PMA part into an CAA certified or validated product (see paragraph 3.4), the following statement should be written in the remarks block of the FAA Form 8130 3: “*Produced by the holder of the CAA STC number [INSERT THE FULL REFERENCE OF THE CAA STC INCORPORATING THE PMA].*”

7.7 Coordination of Exceptions on an Export Certificate of Airworthiness

- 7.7.1 The EA shall notify the IA prior to issuing an Export Certificate of Airworthiness when non-compliance with the IA’s approved type design is to be noted exporting approval document. This notification should help to resolve all issues concerning the aircraft’s eligibility for an airworthiness certificate.
 - 7.7.1.1 FAA: For new aircraft, this notification should be sent to the responsible FAA office listed in Appendix A. For used aircraft, this notification should be sent to the responsible FAA Flight Standards District Office (FSDO) available online at www.faa.gov.
 - 7.7.1.2 CAA: For new and used aircraft, this notification should be sent to the Shared Service Centre of the CAA, as detailed in Appendix A.
- 7.7.2 In all cases, a written acceptance of the exceptions from the IA is required before the issuance of the EA’s Export Certificate of Airworthiness. A copy of this written acceptance will be included with the export documentation.

7.8 Coordination of Exceptions on an Authorized Release Certificate

The EA shall notify the IA prior to the issuance of an Authorized Release Certificate for an aircraft engine, propeller, or PMA article when a non-compliance is found with the IA approved design, or for a TSO article when a non-compliance is found with the EA approved design. This notification is to be documented in the “Remarks” block of the Authorized Release Certificate and should help the installer ensure the non-compliance is addressed regarding the aircraft engine, propeller, or TSO/PMA article’s installation.

7.9 Additional Requirements for Imported Products

The following identifies those additional requirements which must be complied with as a condition of acceptance for products and articles imported into the U.S. or the UK, for use on a U.S.-registered aircraft or UK-registered aircraft, respectively:

7.9.1 Identification and Marking

Aircraft, aircraft engines, propellers and articles must be identified in accordance with the applicable subpart in 14 CFR part 45 for U.S.-registered aircraft; and (UK) Part 21 Subpart Q, ANO Schedule 4 Part 2 and (UK) Part 21 for UK-registered aircraft. Identification plates should have the manufacturer's legal name or as it appears in the approved data of the type design.

7.9.2 Instructions for Continued Airworthiness (ICA)

ICA and maintenance manuals having airworthiness limitation sections must be provided by the TC holder as prescribed in 14 CFR section 21.50 and Appendix G or H of the applicable Certification Specifications e.g., CS-25.1529.

7.9.3 Aircraft Flight Manual, Operating Placards and Markings, Weight and Balance Report, and Equipment List

Each aircraft must be accompanied by an approved AFM, including all applicable supplements. The aircraft must also have the appropriate operating placards and markings, a current weight and balance report, and a list of installed equipment.

7.9.4 Logbooks and Maintenance Records

Each aircraft (including the aircraft engine, propeller, rotor, or article) must be accompanied by logbooks and maintenance records equivalent to those specified in 14 CFR section 91.417 for U.S.-registered aircraft and UK Part M M.A.305/306 for UK-registered aircraft. The maintenance records must also show that, for a used aircraft, that aircraft has had a 100-hour inspection, or equivalent, as specified in 14 CFR section 21.183(d) for U.S.-registered aircraft and BCAR Section A/B A/B3-6 for UK-registered aircraft.

7.9.5 UK Mandatory Requirements for Airworthiness

7.9.5.1 The CAA mandatory requirements for airworthiness are set out in CAP 747 and may be found at:

www.caa.co.uk/cap747

7.9.5.2 The CAA AD information may be found at:

<http://publicapps.caa.co.uk/modalapplication.aspx?catid=1&pagetype=65&appid=11&mode=list&type=sercat&id=65>

SECTION VIII TECHNICAL SUPPORT BETWEEN AUTHORITIES

8.1 General

- 8.1.1 Upon request and after mutual agreement and as resources permit, the FAA and the CAA may provide technical support to each other when significant activities are conducted in either the U.S. or the UK.
- 8.1.2 Every effort should be made to have these certification tasks performed locally on each other's behalf. Technical support activities will help with regulatory surveillance and oversight functions at locations outside of the requesting Authority's country. These technical support activities do not relieve the Authority of the responsibilities for regulatory control, environmental certification and airworthiness approval of products and articles manufactured at facilities located outside of the requesting Authority's country.
- 8.1.3 The FAA and the CAA shall confirm, in a Management Plan, which authority's policies and procedures will be used for technical support. Types of support may include, but are not limited to, the following:
- 8.1.3.1 Design Certification Support
- (a) Approving test plans;
 - (b) Witnessing tests;
 - (c) Performing conformity inspections;
 - (d) Reviewing reports;
 - (e) Obtaining data;
 - (f) Verifying/determining compliance;
 - (g) Monitoring the activities and functions of designees or approved organizations; and
 - (h) Conducting investigations of service difficulties.
- 8.1.3.2 Production Certification and Surveillance Support
- (a) Witnessing conformity inspections;
 - (b) Witnessing the first article inspection of parts;
 - (c) Monitoring the controls on special processes;
 - (d) Conducting sample inspections on production parts;
 - (e) Monitoring production certificate extensions;
 - (f) Monitoring the activities and functions of designees or approved organizations;
 - (g) Conducting investigations of service difficulties; and
 - (h) Evaluating or conducting surveillance of production quality systems, including support in determining that a supplier

complies with purchase order and quality requirements at locations in the U.S. or the UK.

8.1.3.3 Airworthiness Certification Support

- (a) Support in the delivery of airworthiness certificates for aircraft; and
- (b) Determining the original export configuration of a used aircraft.

Note: Any technical assistance that is needed to increase competencies and capabilities in any area would need to be provided under a technical assistance agreement.

8.2 Witnessing of Tests During Design Approval

- 8.2.1 The FAA or the CAA may request support in the witnessing of tests from the other Authority.
- 8.2.2 Only Authority-to-Authority requests are permissible and neither the FAA nor the CAA shall respond to a test witnessing request made directly from the manufacturer or supplier, unless a specific procedure has been jointly agreed upon by both the FAA and the CAA. Witnessing of tests will be conducted only after consultations and agreement between the FAA and the CAA on the specific work to be performed. A written request for witnessing of tests will be provided.
- 8.2.3 Unless otherwise delegated, approval of the design approval applicant's test plans, test procedures, test specimens, and hardware configuration remains the responsibility of the Authority of the SoD. Establishing the conformity of each test article prior to conducting the test is the responsibility of the design approval applicant.
- 8.2.4 Test witnessing activities may require the development of a Management Plan based on the complexity and frequency of the requested certifications. At the discretion of the Authority receiving such requests, these activities may be delegated to authorized designees or delegated organizations, as applicable.
- 8.2.5 Where there is no Management Plan, requests for witnessing of individual tests must be specific enough to provide for identification of the location, timing, and nature of the test to be witnessed. An approved test plan must be provided by the FAA or the CAA, as appropriate, at least ten (10) working days prior to each scheduled test.
- 8.2.6 The FAA or the CAA requests for conformity of the test set-up and/or witnessing of tests should be sent to the appropriate FAA or CAA office which has responsibility for the location of the test. Requests for test witnessing may be sent on FAA Form 8120-10, Request for Conformity as described in the Special Instructions section of the form. The CAA shall make its requests by letter or electronically to the responsible FAA Manufacturing Inspection Office (MIO). FAA and CAA offices are listed in Appendix A.

8.2.7 Upon completion of test witnessing on behalf of the requesting Authority, the FAA or the CAA shall send a report stating the outcome of the test and confirming the test results, as well as any other documentation as notified by the requesting Authority. These reports and documentation will be sent in a timely fashion, to support project milestones identified in the Work Plan.

8.3 Compliance Determinations

8.3.1 The FAA or the CAA may also request that specific compliance determinations be made associated with the witnessing of tests or other activities. Such statements of compliance will be made to the airworthiness or environmental standards of the requesting Authority.

8.3.2 The FAA's or the CAA's statements of compliance will be sent in a formal letter, (electronic transmission is permitted), to the requesting FAA or CAA office.

8.4 Conformity Certifications during Design Approvals

8.4.1 The CA may request conformity certifications from the civil aviation authority in the State in which the design approval applicant's part supplier is located.

8.4.2 Only Authority-to-Authority requests are permissible and Authorities shall not respond to a conformity certification request from the applicant, manufacturer, supplier or designee, unless a specific procedure has been jointly agreed upon by both the FAA and the CAA. Certifications will be conducted only after consultations between the two Authorities on the specific work to be performed, and agreement has been obtained from the civil aviation authority in the State in which the supplier is located. Requests for conformity certifications should be limited to prototype/pre-production parts that are of such complexity that they cannot be inspected by the manufacturer or its civil aviation authority prior to installation in the final product. Conformity certifications may require the development of a Management Plan based on the complexity of the requested certifications. At the discretion of the Authority in receipt of such requests, conformity certifications may be delegated to authorized designees or delegated organizations.

8.4.3 FAA requests for conformity certifications will be sent on a completed FAA Form 8120-10, Request for Conformity, to the CAA at the address listed in Appendix A. CAA requests for conformity certifications will be made by letter to the responsible Aircraft Certification Office (ACO) Branch. Request for Conformity, to the FAA responsible office at the address listed in Appendix A.

8.4.4 Conformity inspection can be requested to verify that the part is conformed to the type design via drawings, to verify certain types of equipment is installed, or to ascertain certain information on the test setup before the test begin. Any deviation to the type design, test set up, etc. needs to be recorded. The conformity deviation(s) has to be reviewed and approved by an Authority engineer, Designated Engineering Representative (DER), or Authorized

Representative to ensure it will not affect the test data/result for certification credit.

- 8.4.5 Upon completion of all conformity inspections conducted on behalf of the requesting Authority, the FAA or the CAA shall complete and return all documentation to the requesting Authority, as notified. The civil aviation authority of the State in which the supplier is located shall note all deviations from the requirements notified by the design approval applicant's civil aviation authority on the conformity certification for the particular part. Any nonconformity described as a deviation must be brought to the attention of the FAA or the CAA for evaluation and disposition. The FAA or the CAA shall receive a report stating the disposition required on each deviation before an FAA Form 8130-3 or CAA Form 1 is issued.
- 8.4.6 Neither conformity certification on prototype/pre-production parts, nor inspections on prototype/pre-production parts, should be construed as being an export airworthiness approval, since a conformity certification does not constitute an airworthiness determination. Airworthiness determinations remain the responsibility of the design or production approval holder and the civil aviation authority of the State in which the holder is located.

8.5 Other Requests for Support

The FAA or the CAA may request other types of technical support. Each request will be handled on a case-by-case basis, as resources permit. Each written request will include sufficient information for the task to be performed and reported back to the requestor. Where the technical support is repetitive or long-term, a Management Plan may be needed. Upon completion of all surveillance and other support conducted on behalf of the requesting Authority, the FAA or the CAA shall complete and return all documentation to the requesting Authority, as notified.

8.6 Airworthiness Certificates

There may be certain programs and conditions that warrant technical support for the issuance of standard airworthiness certificates so that aircraft may be placed directly into operation from the site of manufacture. The IA may seek support from the EA in the final processing and delivery of an airworthiness certificate when the aircraft has been manufactured, granted an Export Certificate of Airworthiness by the EA, and entered on the importing State's registry. This will require the development of a Management Plan between the EA and the IA.

8.7 Protection of Proprietary Data

Both Authorities recognize that data submitted by a design approval holder is the intellectual property of that holder, and release of that data by the FAA or the CAA is restricted. The FAA and the CAA shall not copy, release, or show proprietary data obtained from each other to anyone other than an FAA or a CAA employee without written consent of the design approval holder or other data submitter except as provided for under any applicable national legislation. This written consent shall be obtained by

the FAA or the CAA from the design approval holder through the civil aviation authority of the SoD and shall be provided to the other Authority.

8.8 Freedom of Information Act (FOIA) Requests

8.8.1 The FAA often receives requests from the public under the United States Freedom of Information Act (FOIA) (5 U.S.C. 552) to release information that the FAA may have in its possession. Each record the FAA has in its possession must be disclosed under the FOIA unless a FOIA exemption applies to that record. Trade secrets and financial or commercial information that is confidential or privileged are examples of criteria that may exempt records from FOIA. Design approval holders' data may include trade secrets or other information that is confidential because release of the information would damage the competitive position of the holder or other person.

8.8.2 When the FAA receives a FOIA request related to a product or article of an FAA approval holder or applicant who is located in the UK, the FAA shall request the CAA's assistance in contacting the FAA approval holder or applicant to obtain justification for a determination of what may qualify for exemption under the criteria found in 5 U.S.C. 552.

8.8.3 When the CAA receives UK FOIA requests to release information, it is presumed that the data should be shared with the applicant unless one of the exemptions apply. These exemptions are either qualified or absolute. A qualified exemption means if the data is covered by such an exemption, for the exemption to operate disclosure must cause prejudice and it must on balance also not be in the public interest to disclose it – an example of this type of exemption is commercial interests. An absolute exemption does not require a prejudice or public interest test.

8.8.4 When the CAA receives a request based upon the UK FOIA process, related to a product or article of a CAA approval holder or applicant who is located in the U.S., the CAA shall request the FAA's assistance in contacting the CAA approval holder or applicant to obtain justification for a determination of what may qualify for exemption under the FOIA.

8.9 Accident/Incident and Suspected Unapproved Parts Investigation Information Requests

8.9.1 When either the FAA or the CAA needs information for the investigation of service incidents, accidents, or suspected unapproved parts involving a product or article imported under these Implementation Procedures, the request for the information should be directed to the appropriate Authority. In turn, upon receipt of the request for information, the EA shall ensure that the requested information is provided in a timely manner.

8.9.2 In case of an incident/accident, the FAA and the CAA shall cooperate to address urgent information needs, and support the SoD's timely investigation and resultant continual safety actions. Following an incident/accident, upon receipt of a request for urgent information, the FAA or the CAA shall provide the requested information. The FAA and the CAA shall establish individual contact points to respond to each other's questions and ensure that timely

communication occurs. The FAA or the CAA may request information directly from a manufacturer if immediate contact with the appropriate contact points cannot be made. In such cases, notification of this action will be made as soon as possible. Either the FAA or the CAA, as applicable, shall assist in ensuring that their manufacturer provides requested information expeditiously.

SECTION IX SPECIAL ARRANGEMENTS AND MANAGEMENT PLANS

9.1 General

- 9.1.1 It is anticipated that urgent or unique situations will develop that have not been specifically addressed in these Implementation Procedures, but which are within the scope of these Implementation Procedures. When such a situation arises, it shall be reviewed by the FAA Aircraft Certification Service International Office and the CAA Safety and Airspace Regulation Group and it will be determined whether a revision, amendment or a Special Arrangement is needed to address the situation. When a Special Arrangement is needed, with little possibility of repetition, then the Special Arrangement will be of limited duration.
- 9.1.2 When detailed terms and explanations of technical procedures are needed to carry out activities that fall within the scope of these Implementation Procedures or a Special Arrangement under these Implementation Procedures, then those terms and explanations will be set forth in Management Plans agreed to by the FAA and the CAA.

SECTION X ENTRY INTO FORCE AND TERMINATION

10.1 Entry into Force and Termination

10.1.1 These Implementation Procedures shall enter into force on January 1, 2021, provided that it has been signed by the duly authorized representatives of both the FAA and the CAA.

10.1.2 These Implementation Procedures shall remain in force until terminated. Either Party may terminate these Implementation Procedures at any time by providing sixty (60) days' notice in writing to the other Party. Termination of these Implementation Procedures will not affect the validity of activity conducted thereunder prior to termination.

10.1.3 These Implementation Procedures shall remain in force, contingent upon the Agreement remaining in force, unless these Implementation Procedures are otherwise terminated in accordance with paragraph 10.1.2 above.

10.2 These Implementation Procedures repeal and replace the earlier Implementation Procedures for Airworthiness dated May 23, 2002.

SECTION XI AUTHORITY

The FAA and the CAA agree to the provisions of these Implementation Procedures as indicated by the signatures of their duly authorized representatives.

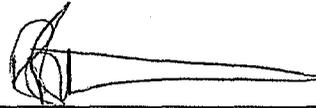
Federal Aviation Administration
Department of Transportation
United States of America

Civil Aviation Authority
United Kingdom of Great Britain
and Northern Ireland

 15/DEC/2020

Earl Lawrence
Executive Director
Aircraft Certification
Service

Date



Robert Bishton
Director
Safety and Airspace
Regulation Group

Date

11/DEC/2020

APPENDIX A ADDRESSES

The designated contact point offices for these Implementation Procedures are:

For the FAA

International Office (AIR-40)
Aircraft Certification Service
Federal Aviation Administration
800 Independence Avenue, SW
Washington, DC 20591
U.S.A.

Tel: 1-202-385-8950
Fax: 1-202-493-5144
E-mail: 9-AWA-AVS-AIR400@faa.gov

For the CAA

Future Safety
Safety and Airspace Regulation Group
Aviation House
Beehive Ring Road
Crawley
West Sussex
RH6 0YR
United Kingdom

Tel: +44 03301383196
E-mail: BilateralSafetyArrangements@caa.co.uk

FAA Offices

Key Aircraft Certification Offices for these Implementation Procedures

Contact Point for Airworthiness Directives

Mailing Address

Continued Operational Safety Policy Section
AIR-6D1
P.O. Box 22082
Oklahoma City, OK 73125
Tel: 1-405-954-4103
Fax: 1-405-954-2209
E-mail: 9-amc-faa-mcai@faa.gov

Office Address

Continued Operational Safety Section
AIR-6D1
ARB, Room 304
6500 MacArthur Boulevard
Oklahoma City, OK, 73125

Contact Point for Article Approval Applications

Boston ACO Branch

AIR-7B0

1200 District Avenue

Burlington, MA 01803

Tel: 1-781-238-7150

Fax: 1-781-238-7170

Contact Point for TC Applications

Send TC applications to the applicable FAA Standards Branch, except:

For engines, contact:

Engine Certification Office Branch

AIR-7E0

1200 District Avenue

Burlington, MA 01803

Tel: 1-781-238-7140

Fax: 1-781-238-7199

E-mail: 9-AVS-AIR-ECO@faa.gov

For propellers, contact:

Boston ACO Branch

AIR-7B0

1200 District Avenue

Burlington, MA 01803

Tel: 1-781-238-7150

Fax: 1-781-238-7170

Contact Point for STC Applications

New York ACO Branch

AIR-7H0

1600 Stewart Avenue, Suite 410

Westbury, NY 11590

Tel: 1-516-228-7300

Fax: 1-516-794-5531

E-mail: 7-AVS-NYA-ACO@faa.gov

Contact Point for VLA Applications

Chicago ACO Branch

AIR-7C0
2300 East Devon Avenue, Room 107
Des Plaines, IL 60018
Tel: 1-847-294-7357
Fax: 1-847-294-7834

Policy & Innovation Division

Certification Procedures Branch

AIR-6C0
950 L'Enfant Plaza North, SW
Washington, DC 20024
Tel: 1-202-385-6348
Fax: 1-202-385-6475
E-mail: 9-AWA-AVS-AIR1600-Coord@faa.gov

Engine and Propeller Standards Branch

AIR-6A0
1200 District Avenue
Burlington, MA 01803
Tel: 1-781-238-7110
Fax: 1-781-238-7199

Regulatory and policy responsibility for all aircraft engines, propellers, and auxiliary power units.

Rotorcraft Standards Branch

AIR-680
10101 Hillwood Parkway
Fort Worth, TX 76177
Tel: 1-817-222-5100
Fax: 1-817-222-5959

Regulatory and policy responsibility for powered lift, normal and transport category rotorcraft.

Small Airplane Standards Branch

AIR-690
DOT Building
901 Locust Avenue
Room 301
Kansas City, MO 64106
Tel: 1-816-329-4100
Fax: 1-816-329-4106

Regulatory and policy responsibility for:

1. *Airplanes weighing less than 12,500 pounds and having passenger configurations of 9 seats or less;*
2. *Commuter airplanes weighing 19,000 pounds or less, with passenger configurations of 19 seats or less; and*
3. *Gliders, airships, manned free balloons, and VLA.*

Transport Standards Branch

AIR-670

2200 S. 216 St.

Des Moines, WA 98198

Telephone: 1-206-231-3500

Regulatory and policy responsibility for all transport category airplanes.

System Oversight Division

New England MIO Branch

For the States of: Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Vermont, Virginia, and West Virginia.

AIR-8A0

1200 District Avenue

Burlington, MA 01803

Tel: 1-781-238-7180

Fax: 1-781-238-7898

Southwest MIO Branch

For the States of: Arkansas, Louisiana, New Mexico, Oklahoma, and Texas.

AIR-880

10101 Hillwood Parkway

Fort Worth, TX 76177

Tel: 1-817-222-5180

Fax: 1-817-222-5136

Central MIO Branch

For the States of: Alabama, Alaska, Florida, Georgia, Illinois, Indiana, Iowa, Kansas, Kentucky, Michigan, Minnesota, Mississippi, Missouri, Nebraska, North Carolina, North Dakota, Ohio, South Carolina, South Dakota, Tennessee, and Wisconsin.

AIR-890
DOT Building
901 Locust Avenue, Room 301
Kansas City, MO 64106
Tel: 1-816-329-4180
Fax: 1-816-329-4157

Northwest MIO Branch

For the States of: Arizona, California, Colorado, Hawaii, Idaho, Montana, Nevada, Oregon, Utah, Washington, and Wyoming.

AIR-870
2200 S. 216 St.
Des Moines, WA 98198
Tel: 1-206-231-3664

Requests to FAA for Conformity Inspections

Central MIO Branch	9-ACE-180-FRFC@faa.gov
Southwest MIO Branch	9-ASW-180-FRFC@faa.gov
New England MIO Branch	9-ANE-180-FRFC@faa.gov
Northwest Mountain MIO Branch	9-ANM-108-FRFC@faa.gov

Environmental Policy and Regulations

Office of Environment and Energy
AEE-1
800 Independence Avenue, SW
Washington, DC 20591
Tel: 1-202-267-3576
Fax: 1-202-267-5594

FM&D/SDR Reports

Copies of U.S. FM&D/SDR reports are available from the FAA Mike Monroney Aeronautical Center, Aviation Data Systems Branch, AFS-620.

Copies of U.S. FM&D reports are also available on the Mike Monroney Aeronautical Center internet web site at <http://av-info.faa.gov/sdrx>

FAA ACO Branches

Anchorage ACO Branch

AIR-770

222 West 7th Avenue, Unit 14, Room 128
Anchorage, AK 99513

Tel: 1-907-271-2669

Fax: 1-907-271-6365

Atlanta ACO Branch

AIR-7A0

107 Charles W. Grant Parkway,
Suite 201

Hapeville, GA 30354

Tel: 1-404-474-5500

Fax: 1-404-474-5606

Boston ACO Branch

AIR-7B0

1200 District Avenue
Burlington, MA 01803

Tel: 1-781-238-7150

Fax: 1-781-238-7170

Chicago ACO Branch

AIR-7C0

2300 East Devon Avenue, Room
107

Des Plaines, IL 60018

Tel: 1-847-294-7357

Fax: 1-847-294-7834

Denver ACO Branch

AIR-7D0

Technical Operations Center (TOC)
26805 E. 68th Avenue, Room 214
Denver, CO 80249

Tel: 1-303-342-1080

Fax: 1-303-342-1088

E-mail: 9-Denver-Aircraft-Cert@faa.gov

Engine Certification Office Branch

AIR-7E0

1200 District Avenue
Burlington, MA 01803

Tel: 1-781-238-7140

Fax: 1-781-238-7199

9-AVS-AIR-ECO@faa.gov

DSCO Branch

AIR-7J0

10101 Hillwood Parkway
Fort Worth, TX 76177

Tel: 1-817-222-5190

Fax: 1-817-222-4960

Fort Worth ACO Branch

AIR-7F0

10101 Hillwood Parkway
Ft. Worth, TX 76177

Tel: 1-817-222-5140

Fax: 1-817-222-5245

New York ACO Branch

AIR-7H0

1600 Stewart Avenue, Suite 410

Westbury, NY 11590

Tel: 1-516-228-7300

Fax: 1-516-794-5531

E-mail: 7-AVS-NYA-ACO@faa.gov

Wichita ACO Branch

AIR-7K0

1801 Airport Road

Room 100, Mid-Continent Airport

Wichita, KS 67209

Tel: 1-316-946-4100

Fax: 1-316-946-4107

BASOO Branch

AIR-860

2200 S. 216 St.

Des Moines, WA 98198

Telephone: 1-206-231-3595

9-ANM-BASOO-Validation@faa.gov

Los Angeles ACO Branch

AIR-790

3960 Paramount Boulevard,
Suite 100

Lakewood, CA 90712-4137

Tel: 1-562-627-5200

Fax: 1-562-627-5210

Seattle ACO Branch

AIR-780

2200 S. 216 St.

Des Moines, WA 98198

Telephone: 1-206-231-3500

E-mail:

9-ANM-SACO-Foreign-Validation@faa.gov

CAA Offices

Key Contacts for these Implementation Procedures

Contact Point for Airworthiness Directives

Airworthiness Directives

Tel: +44 3301382427

E-mail: adunit@caa.co.uk

Contact Point for Article Approval Applications, VTC Applications, VSTC Applications

Tel: +44 3301382647 , or

+44 3301382538

E-mail: certification.airworthiness@caa.co.uk, or
certification.gau@caa.co.uk

CAA Headquarters

Aircraft Airworthiness Certification Department

Airworthiness Division

Tel: +44 3301382647, or

+44 3301382538

E-mail: certification.airworthiness@caa.co.uk or
certification.gau@caa.co.uk

CAA Manufacturing Inspection Offices

Requests to CAA for Conformity Inspections

Airworthiness Certification Center

Tel: +44 3301382079

E-mail: Mark.Barker@caa.co.uk

FM&D/SDR Reports

Copies of UK FM&D/SDR reports are available from:

<https://www.caa.co.uk/Our-work/Make-a-report-or-complaint/MOR/Occurrence-reporting/>

APPENDIX B LIST OF SPECIAL ARRANGEMENTS

1. *FAA/CAA Special Arrangement on the Continuity of Aircraft Certification Projects, effective January 1, 2021.*
2. *FAA/CAA Special Arrangement on the Import/Export of Rolls Royce Engines and Parts, effective January 1, 2021.*

APPENDIX C CROSS-REFERENCE OF STANDARDS

Product	FAA Regulations 14 CFR	CAA Standards
Aircraft Emissions and Noise	part 21 section 21.93 (b), (c) part 34 Fuel venting and exhaust part 36 Noise	Part 21.A.85 Air Navigation (Environmental Standards for Non-EASA Aircraft) Order 2008
Gliders & Powered Gliders	part 103	CS-22
Small Airplanes	part 23	CS-23
Very Light Airplanes (Light Sport Aircraft in the U.S.)	part 103	CS-VLA
Transport Category Airplanes	part 25	CS-25
Continued Airworthiness and Safety Improvements for Transport Category Airplane	part 26	Part 26 and CS-26
Normal Category Rotorcraft	part 27	CS-27
Transport Category Rotorcraft	part 29	CS-29
Manned Free Balloons	part 31	CS-31
Aircraft Engines	part 33	CS-E
Propellers	part 35	CS-P
Articles & Parts	part 21, subpart O	Part 21, Subpart O
Airships	part 21	CS-30/CS-31HA

The FAA's Regulatory & Guidance Library (RGL) contains many aviation regulatory, certification, and safety information documents: <http://rgl.faa.gov>

The CAA regulations and guidance material is available at <http://www.caa.co.uk/publications>

APPENDIX D LIST OF ACRONYMS

AC	Advisory Circular
AD	Airworthiness Directive
AEG	Aircraft Evaluation Group
AFM	Aircraft Flight Manual
AIR-40	Aircraft Certification Service, International Office
AMOC	Alternative Methods/Mean of Compliance
ATC	Amended Type Certificate
BASA	Bilateral Aviation Safety Agreement
CA	Certificating Authority
CAA	Civil Aviation Authority of the United Kingdom
CCV	Concurrent Validation
CFR	Code of Federal Regulations
14 CFR	Title 14, Code of Federal Regulations
COS	Continued Operational Safety
CRI	Certification Review Item
CS	Certification Specifications
EA	Exporting Authority
EASA	European Union Aviation Safety Agency
EU	European Union
FAA	Federal Aviation Administration of the United States
FM&D	Failures, Malfunctions and Defects
FOIA	Freedom of Information Act
FSDO	Flight Standards District Office
FTV	Full Technical Validation
IA	Importing Authority
ICA	Instructions for Continued Airworthiness
ICAO	International Civil Aviation Organization
IPA	Implementation Procedures for Airworthiness
JAR	Joint Aviation Requirements
LODA	FAA Letter of TSO Design Approval
LTV	Limited Technical Validation
MCAI	Mandatory Continuing Airworthiness Information
MDA	Modification of Design Approval
MMEL	Master Minimum Equipment List
MOC	Method of Compliance

PCM	Project Certification Manager
PM	Project Manager
PMA	Parts Manufacturer Approval
SCV	Sequential Validation
SDR	Service Difficult Reports
SoD	State of Design
SoM	State of Manufacture
SoR	State of Registry
STC	Supplemental Type Certificate
SV	Streamlined Validation
TC	Type Certificate
TCDS	Type Certificate Data Sheet
TIP	Technical Implementation Procedures between the FAA and EASA
TSO	Technical Standard Order
TSOA	Technical Standard Order Authorization
UK	United Kingdom
U.S.	United States
VA	Validating Authority
VLA	Very Light Airplanes
VTC	Validated Type Certificate

APPENDIX E SAFETY EMPHASIS ITEMS (SEI) LISTS LINKS

FAA Lists:

These lists are used to categorize UK products/approvals seeking FAA validation – *currently identical to the SEI List from the FAA/EASA Technical Implementation Procedures (TIP).*

http://www.faa.gov/aircraft/air_cert/international/bilateral_agreements/baa_basa_listing/approvals/EASA/

UK Lists:

These lists are used to categorize U.S. products/approvals seeking UK validation – *currently identical to the SEI List from the FAA/EASA Technical Implementation Procedures (TIP).*

<http://www.easa.europa.eu/document-library/bilateral-agreements/eu-usa>