中国民用航空总局

适 航 管 理 程 序

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进口民用航空产品和零部件认可审定程序

中国民用航空总局航空器适航审定司

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目　　录

（此页空白）

1 总则

1.1 依据

本程序依据中国民用航空规章第 21 部《民用航空产品和零部件合格审定规定》制定。

1.2 适用范围

1.2.1 除在第 2 节中的双边适航协议、执行程序和技术安排中另有规定外，本程序适用于:

(1) 进口民用航空产品的型号认可审定;

(2) 进口民用航空产品的补充型号认可审定;

(3) 单独进口重要零部件的设计批准认可审定。

1.2.2 由于历史原因，任何已进口中国但尚未取得民航总局型号认可证、补充型号认可证或者设计批准认可证的民用航空产品或重要零部件，应按本程序补充完成相应的认可审定。

1.3 撤消

自 2006 年 10 月 13 日起，撤消 2000 年 1 月 1 日生效的《进口民

用航空产品和零部件认可审定程序》（AP-21-01R1）。

1.4 术语解释

1.4.1 遗留项目：指认可审定的某个阶段结束时，尚待确定的认可审定要求和/或符合性方法，以及尚待完成的符合性证明活动等。

1.4.2 环保批准文件：指出口国适航当局颁发的符合其噪声标准或燃油排泄及排气排出物标准的证件或等效文件。

1.4.3 出口国适航当局：指认可批准证书申请人所在国的适航当局。

1.4.4 产品使用文件：指由出口国适航当局批准的且符合民航总局批准的型号（或补充型号）设计定义的有关产品使用和使用限制的文件，如航空器的飞行手册、主最低设备清单和构型偏离清单等，或发动机或螺旋桨的安装手册和使用手册等。

1.4.5 生产批准文件：指出口国适航当局颁发的生产许可证及许可生产项目单、生产单位批准书（POA），或者其它形式的等效批准文件。

1.4.6 补充型号批准文件：指出口国适航当局颁发的补充型号合格证或其它形式的等效批准文件。

1.4.7 问题纪要: 指民航总局为了说明和记录关于审定基础及其符合性方法中一些重要的问题而编制的文件。

2 双边适航协议、执行程序和技术安排

2.1 双边适航协议或备忘录

2.1.1 民航总局向申请人颁发型号认可证、补充型号认可证或者设计批准认可证的前提之一是该申请人所在国政府已经与中国政府签署了产品进口和出口的适航协议或备忘录，如双边适航协议（BAA）或双边航空安全协议（BASA）等。

2.1.2 为切实履行上述协议，民航总局与出口国适航当局通常应按照适航协议所确定的原则，签署相应的双边适航执行程序，如实施程序细则（SIP）、适航实施程序（IPA）等。这些程序规定了两国适航当局在设计认可批准、生产活动、出口适航批准、各种证后活动和技术支援等方面的约定和安排等。

2.2 型号认可审定技术安排

2.2.1 当两国适航当局尚未签署双边适航执行程序时，民航总局和出

口国适航当局应签署仅适用于该型号产品的认可审定技术安排。对于该申请人后续申请认可的其它产品，可以通过修订认可审定技术安排予以增加。

2.2.2 产品型号认可审定技术安排通常应包括以下内容:

(1) 技术安排的目的和适用范围;

(2) 双方的项目联络人和联络程序;

(3) 有关产品型号认可审定过程的约定,包括确定认可审定基础、符合性验证过程及结论等方面的约定;

(4) 适航支持活动的约定，对于每一交付的航空器，有关飞行手册（或补充）批准（参照本程序第 8 节）和出口适航证签发的约定，对于每一交付的发动机、螺旋桨或零部件，有关适航批准标签签发的约定;

(5) 有关证后管理的约定（参照本程序第 7 节);

(6) 双方认为必要的其它内容。

有关认可审定技术安排的格式和样本见附件 8。

2.2.3 对于单独进口重要零部件的设计认可审定，当两国适航当局认为必要时，也可参照 2.2.1 条和 2.2.2 条的方式签订有关零部件设计认可审定的技术安排。

3 型号认可审定程序

3.1 适用性

3.1.1 任何首次进口中国并准备用于民用航空活动的产品，在其进口中国前，应按本程序进行型号认可审定并取得民航总局颁发的型号认可证。

3.1.2 对于任何已经取得型号认可证的产品，如果其设计更改引起型号认可证所对应的出口国适航当局型号合格证或数据单更改，或者引起型号认可证或认可数据单更改，则在该更改的产品首次进口中国前，应按本节适用要求进行认可审定并取得民航总局颁发的型号认可证更改或型号认可证数据单更改。

3.1.3 对于任何 3.1.1 和 3.1.2 规定之外的其它更改，可根据双边适航执行程序或认可审定技术安排进行认可审定。

3.2 申请

3.2.1 申请人应是出口国适航当局型号合格证的申请人或持有人。

3.2.2 为避免影响航空器的交付，申请人应尽早向民航总局提交型号

认可申请。对于尚未取得型号合格证、但已经出口国适航当局受理审查的航空器，为使申请人在获得出口国适航当局的型号合格证后在尽可能短的时间内获得型号认可证和减少重复审查工作量，民航总局鼓励申请人尽早提交型号认可申请，以便民航总局根据其资源状况受理该型号认可申请后开展与出口国适航当局的同步型号认可审定。

3.2.3 发动机或螺旋桨的型号合格证申请人或持有人应至少在所装航空器的型号认可申请提交时向民航总局提出认可申请。

3.2.4 申请人应按民航总局规定的格式，完整、属实地填写民用航空产品型号认可申请书（样件见附件 1），并附上 3.2.5 条要求的资料，按两国适航当局约定的方式提交给民航总局。

3.2.5 申请人在提交申请书时，应附上下列资料:

(1) 出口国适航当局致民航总局的关于该产品批准或审定概况的信函;

(2) 产品的设计特征和基本数据，包括其设计更改和所有新颖独特设计特性。对于航空器，应附航空器三视图; 对于发动机和螺旋桨，应附型别说明;

(3) 出口国适航当局型号合格证和数据单的复印件（如适用）;

(4) 出口国适航当局生产许可证或等效批准文件的复印件（如适用）;

(5) 有关环境批准文件的复印件（如适用）;

(6) 产品的首架机用户和首次交付的时间计划（如适用）;

(7) 建议的认可审定计划;

(8) 民航总局认为必要的其他有关资料。

3.2.6 当民航总局认为必要时，可以要求申请人组织相应的熟悉性会议。

3.2.7 运输类航空器型号认可证申请书的有效期为 5 年; 其它产品型号认可证申请书的有效期为 3 年。有效期自申请之日起计算。

3.3 受理

3.3.1 对于符合受理条件的，民航总局向申请人发出受理申请通知书（样件见附件 3）; 对于不符合受理条件的，则以信函方式通知申请人并说明不受理的理由。对于尚未有中国意向用户的型号认可证申请，民航总局还将根据人力资源情况和该项目的工作负荷决定是否受理。

3.3.2 申请人在收到受理申请通知书后，应完成该通知书中所规定的各项受理手续，并与民航总局商定进行实地审查的具体时间。

3.3.3 民航总局在确认申请人的受理手续完备后将成立项目审查组（简称审查组）。审查组应按两国适航当局约定的方式，将实地审查的时间计划及时通知出口国适航当局的指定部门。

3.4 型号认可审定基础

3.4.1 进口产品的认可审定基础应按以下适用原则确定:

(1) 进口产品原有审定基础中的适用要求;

(2) 民航总局规定的附加技术条件。附加技术条件可包括:

(i) 在对比中国民用航空规章中现行有效的适航要求和环境保护要求后，基于两国适航标准和环境保护要求、条款解释、使用情况、政策和指导性资料之间的差异所确定的附加要求;

(ii) 出口国适航当局的审定基础中未覆盖的有关新颖和独特设计特性的专用条件。这些新颖和独特的设计特性包括新技术的应用、现有技术的独特应用以及产品的非常规使用等;

(iii) 基于对出口国适航当局的原有等效安全项目和豁免项目的评估所确定的附加要求;

(iv) 为保证产品在中国持续安全运行，基于截止型号认可申请之时出口国适航当局的强制适航性措施（如适航指令）和相关使用经验所确定的附加要求。

3.4.2 在确定认可审定基础及其符合性方法时，还应考虑那些会影响

型号设计并在中国特定环境下持续安全运行所必需的运行要求，如中文标记标识和中国燃油规范等。

3.5 型号认可审定

本节规定了型号认可审定过程的要点和一般方法，审查组可结合项目的具体情况做必要的调整。

3.5.1 为确保实地审查的顺利进行，在完成受理手续的同时，申请人应根据本程序 3.4 节的要求对比出口国适航当局的审定基础与现行中国民用航空规章适用条款间的差异及对差异条款的符合性情况。

3.5.2 熟悉性介绍

为了充分了解认可审查项目，审查组可要求申请人安排熟悉性介绍，必要时进行熟悉性试飞。熟悉性介绍内容一般包括:

(1) 截止认可审定时产品的设计和设计更改及其新颖独特的设计特性;

(2) 出口国适航当局的审定基础，包括专用条件、等效安全项目、豁免项目等相关问题纪要;

(3) 相关的使用经验、预防故障/事故发生的纠正措施和强制适航性措施（如适航指令）等;

(4) 出口国适航当局审定基础的符合性检查单的概况;

(5) 关于 3.5.1 条的对比结果以及对差异条款(和要求)符合性的评估结果;

(6) 审查组和/或申请人认为必要的其它有关情况和资料。

3.5.3 详细技术性介绍

为了使审查组了解产品对出口国适航当局审定基础的符合性并确定附加技术要求,申请人按审查组的要求进行详细技术性介绍并提供相应资料,内容包括产品和各系统的详细设计情况,对出口国适航当局审定基础的符合性的详细说明,以及对差异条款符合性评估结果的详细说明。

3.5.4 审查组与申请人讨论并确定认可审定基础。

3.5.5 符合性验证的基本要求

申请人应按照经审查组认可的符合性方法来表明其产品对认可审定基础各条要求的符合性,并记录在认可审定符合性检查单中。

(1) 对于认可审定基础中可被出口国适航当局审定基础覆盖的部分,当审查组无异议时,申请人可直接采用出口国适航当局已接受的符合性方法和验证结果来表明符合性;

(2) 对于每一附加技术条件,申请人所表明的符合性应首先得到出口国适航当局的批准,并取得审查组的认可。申请人应详细记录对这些附加技术条件的符合性情况并将为此所做的设计更改纳入到产

品的型号设计中，并通过认可审定符合性检查单逐条记录对这些要求的符合性情况;

(3) 申请人可通过问题纪要与审查组就某一特定的认可审定要求及其符合性方法展开讨论，并达成共识;

(4) 当实地审查结束时，申请人应向审查组提交完整的符合性检查单，并按本节 3.5.9 条的要求与审查组讨论并签署认可审定纪要。

3.5.6 试飞评估

当审查组需进行试飞评估或验证时，申请人应提供必要的条件。

3.5.7 资料提交

申请人应以纸张和电子版本形式向审查组提交以下适用资料的中文版或英文版:

(1) 完整的符合性检查单;

(2) 审查组要求的表明产品满足认可审定基础的符合性资料（如设计资料、技术规范、计算和分析报告、各种试验和试飞的大纲和报告等);

(3) 出口国适航当局型号合格证和数据单，出口国适航当局生产许可证或等效批准文件和有关环境批准文件;

(4) 出口国适航当局关于该产品的所有问题纪要或等效文件，尤其是有关专用条件、等效安全项目和豁免项目的问题纪要或等效文件;

(5) 所有相关适航指令的清单;

(6) 出口国适航当局批准的飞行手册或等效文件;

(7) 出口国适航当局批准的持续适航文件（包括审定维护要求和适航性限制等);

(8) 主最低设备清单和构型偏离清单或等效文件;

(9) 审查组认为必要的其他资料。

3.5.8 确定认可审定基础

民航总局确定产品认可审定基础的基本步骤如下:

(1) 了解本程序 3.5.2 条和 3.5.3 条的有关内容;

(2) 评估出口国适航当局的审定基础及其符合性方法，以及产生不适用条款、专用条件、等效安全结论和豁免项目的原因;

(3) 依据 3.4.1 条的原则,通过问题纪要就每一附加技术条件及其符合性方法达成共识,并按两国适航当局约定的方式及时通报给出口国适航当局;

(4) 对任何附加技术条件的等效安全结论，都应将相应问题纪要的结论和使用限制（如有）一起列入认可审定基础中。

(5) 评估符合性检查单是否完整、准确地反映了认可审定基础的每一要求及其符合性方法;

(6) 将认可审定基础包括在型号认可数据单中;

(7) 审查组按两国适航当局约定的方式将认可审定基础通报出口国适航当局,并要求出口国适航当局代表民航总局确认对该认可审定

基础中附加技术条件的符合性，并提供正式的对该认可审定基础的符合性声明。

3.5.9 对认可审查的基本要求

(1) 对于认可审定基础中可被出口国审定基础覆盖的部分，审查组应根据产品的特点确定重点关注项目，详细了解和评估它们的符合性方法和验证工作;

(2) 对于每一附加技术条件，审查组应与申请人讨论确定符合性方法并评估其验证工作;

(3) 当实地审查结束时，审查组应按本节 3.5.9 条的要求与申请人讨论并签署认可审定纪要;

(4) 当申请人申请对某一认可审定要求的等效安全结论时，审查组应评估申请人是否已提供了具有等效安全水平的措施和限制。该评估应记录在问题纪要中;

(5) 审查组应评估申请人是否已表明产品在预期的用途和使用条件下不存在不安全的特征和特性。

3.5.10 认可审查纪要

实地认可审查结束时，审查组应与申请人讨论并签署认可审查纪要，并按两国适航当局约定的方式通报给出口国适航当局，需要时请出口国适航当局共同签署。该纪要的内容至少应包括:

(1) 审查的时间、地点和参加人员;

(2) 认可审查项目的概要;

(3) 认可审定符合性检查单及其版次;

(4) 认可审定的问题纪要的状态;

(5) 现场认可审查活动概况;

(6) 遗留项目记录;

(7) 申请人应提交资料的清单及收件人的地址;

(8) 项目联系人及联系方式;

(9) 必要的证后活动安排;

(10) 型号认可数据单草案;

(11) 各方认为必要的其它事宜。

3.6 批准

3.6.1 审查组在收到出口国适航当局的符合性声明并完成了全部认可审查活动后（包括收到 3.5.7 条规定的全部资料、关闭所有遗留项目等），应在 10 个工作日内完成型号认可审查报告以及型号认可证（含型号认可数据单）或认可证更改的最终草案并提交到民航总局。

3.6.2 型号认可审查报告应以纸张和电子版形式提交，并至少包括下述内容:

(1) 认可审定情况简介（包括项目的申请、受理、审查组组成及分工、现场审查时间和地点）;

(2) 申请人总体情况简介;

(3) 认可审定项目的介绍（包括设计定义、总体及各系统设计特点、使用情况、使用经验、使用限制等);

(4) 出口国适航当局对该产品合格审定情况简介（包括型号合格审定申请时间和批准时间，审定基础，生产批准及环境批准情况等);

(5) 关于确定认可审定基础及其符合性的详细说明。该说明的重点包括:

(i) 评估出口国审定基础及其符合性的情况，尤其是有关专用条件、豁免、等效安全结论和不适用条款的评估情况; 说明适用的部分以及接受的理由;

(ii) 确定附加技术条件中各项要求的考虑及其符合性结果。

(6) 重点关注项目的评审过程和符合性结果;

(7) 遗留项目的完成情况;

(8) 审查组要求的各种资料是否已齐备;

(9) 是否接受出口国适航当局的符合性声明;

(10) 是否颁发型号认可证（或型号认可证更改）的建议和理由;

(11) 附件，其包括:

(i) 型号认可证（或认可证更改）及认可数据单的最终草案;

(ii) 出口国适航当局的型号合格证及数据单、环境批准文件、生产批准文件;

(iii) 出口国适航当局的符合性声明;

(iv) 认可审查会议纪要;

(v) 出口国适航当局有关审定基础（包括适用的适航标准、专用条件、等效安全、豁免等）的问题纪要的电子版本;

(vi) 认可审查项目主要参数的电子版本;

(vii) 认可项目申请书、受理通知书等。

3.6.3 民航总局指定的适航部门存档申请人提交的型号认可审查资料，以纸张和电子版形式编制资料目录清单并提交民航总局；民航总局以纸张和电子版形式存档型号认可审查报告和资料目录清单。

3.6.4 民航总局审核型号认可证和型号认可数据单的草案以及型号认可审查报告，做出是否颁证的决定。

3.6.5 对于决定颁证的，民航总局签署并颁发型号认可证及数据单。

3.6.6 对于决定不颁证的，民航总局将书面通知申请人不颁证的具体依据和理由，并按约定的方式通知出口国适航当局。

3.6.7 型号认可数据单（样件见附件 5）是型号认可证的一部分，通常应由概述、认可审定基础、技术特性、使用说明和备注 5 个部分组成。

3.6.8 设计更改的控制

(1) 对于型号认可证更改，申请人应按本程序的要求重新申请认可；

(2) 对于型号认可数据单的更改，如果相应的设计更改为重大设计更改，则申请人应按本程序的要求重新申请认可；否则申请人可按本条(3)的方式处理；

(3) 对于除(1)、(2)以外的其它更改，可按与出口国适航当局约定的方式处理。

对于型号认可证及数据单的更改，原型号认可证的编号不变，但将修订原型号认可证和/或认可数据单的相关内容。

3.6.9 型号认可证不得转让。

4 补充型号认可审定程序

4.1 适用性

4.1.1 任何已取得民航总局型号认可证并按出口国适航当局颁发的补充型号批准文件进行设计更改的产品，在该更改产品首次进口中国之前，应按本程序进行认可审定并取得民航总局颁发的补充型号认可证。

4.2 申请

4.2.1 补充型号认可证的申请人应是出口国适航当局补充型号批准文件的持有人。

4.2.2 申请人应按民航总局规定的格式，完整、属实地填写民用航空产品型号认可申请书（样件见附件 1），并附上 4.2.4 条要求的资料，按两国适航当局约定的方式提交给民航总局。

4.2.3 申请人应尽早向民航总局提交补充型号认可证申请。

4.2.4 申请人在提交申请书时，应附有下列适用的资料:

(1) 申请人出口国适航当局致民航总局的关于该补充型号批准概况的信函;

(2) 申请人所在国适航当局颁发的补充型号批准文件的复印件;

(3) 补充型号批准文件中所批准的改装工程文件（一般包括主图纸目录或等效文件，以及其中所列的资料）;

(4) 补充型号认可审定计划，一般包括设计更改说明、审定基础、符合性验证说明及相关文件、符合性检查单等;

(5) 民航总局认为必要的其他有关资料。

4.2.5 运输类航空器补充型号认可证申请书的有效期为 5 年; 其它产

品补充型号认可证申请书的有效期为 3 年。有效期自申请之日起计算。

4.3 受理

补充型号认可证申请的受理办法参见本程序 3.3 节。

4.4 补充型号认可审定基础

补充型号设计项目认可审定基础参见本程序第 3.4 节型号认可审定基础的内容确定。

4.5 补充型号认可审定

本节规定了补充型号认可审定过程的要点和一般方法，审查组可结合项目的具体情况做必要的调整。

4.5.1 申请人的责任

申请人应针对补充型号设计的具体特点，完成以下工作:

(1) 参照本程序 3.5.1 条的方法对比补充型号审定基础与现行中国民用航空规章适用条款间的差异及对差异条款的符合性情况;

(2) 参照本程序 3.5.2 条的方法进行熟悉性介绍;

(3) 参照本程序 3.5.3 条的方法进行详细技术性介绍;

(4) 参照本程序 3.5.6 条的要求协助审查组进行试飞评估;

(5) 参照本程序 3.5.5 条的要求完成符合性验证;

(6) 按照审查组的要求提交如下资料:

(i) 主图纸目录（MDL）或等效文件;

(ii) 说明性和符合性资料（如主图纸目录中所列的制造和安装图纸及资料、技术规范、计算和分析报告、各种试验和试飞的大纲和报告等);

(iii) 产品使用文件的补充和修订部分;

(iv) 持续适航文件的补充和修订部分;

(v) 认可审定符合性检查单的最终版本;

(vi) 出口国适航当局颁发的相关环保批准文件和/或相关生产批准文件的复印件;

(vii) 审查组认为必要的其他有关资料。

4.5.2 审查组的责任

审查组应针对补充型号设计的具体特点，完成以下工作:

(1) 参照本程序 3.5.8 条的方法，根据 4.4 节的原则确定认可审定基础;

(2) 参照本程序 3.5.9 条的方法完成认可审查,同时应注意该补充型号设计与产品原有改装的兼容性。

4.5.3 认可审查纪要

现场认可审查结束时，审查组应与申请人讨论并签署认可审查纪要。纪要的内容至少应包括:

(1) 审查的时间、地点和目的;

(2) 人员名单;

(3) 项目说明;

(4) 认可审定符合性检查清单及其版次;

(5) 认可问题纪要的状态;

(6) 重要评审项目的完成情况;

(7) 遗留项目记录;

(8) 申请人应提交资料的清单及收件人的地址。

4.6 批准

4.6.1 审查组在收到出口国适航当局的符合性声明并完成了全部认可审查活动后（包括收到 4.5.1 条规定的全部资料、关闭所有遗留项目等），应在 10 个工作日内完成补充型号认可审查报告以及补充型号认可证或认可证更改的最终草案并提交到民航总局。

4.6.2 补充型号认可审查报告应以纸张和电子版形式提交，并至少包括下述内容:

(1) 认可审定情况简介（包括项目的申请、受理、审查组组成及

分工、现场审查时间和地点);

(2) 申请人总体情况简介;

(3) 认可审定项目的介绍(包括改装的机型、改装的系统等);

(4) 出口国适航当局对该项目合格审定情况简介(包括补充型号合格审定申请时间和批准时间,审定基础以及改装包的生产批准情况等);

(5) 关于确定认可审定基础及其符合性的详细说明。该说明的重点包括:

(i) 评估出口国审定基础及其符合性的情况,尤其是有关专用条件、豁免、等效安全结论和不适用条款的评估情况;说明适用的部分以及接受的理由;

(ii) 确定附加技术条件中各项要求的考虑及其符合性结果。

(6) 重点关注项目的评审过程和符合性结果;

(7) 遗留项目的完成情况;

(8) 审查组要求的各种资料是否已齐备;

(9) 是否接受出口国适航当局的符合性声明;

(10) 是否颁发补充型号认可证(或补充型号认可证更改)的建议和理由;

(11) 附件。其包括:

(i) 补充型号认可证(或认可证更改)的最终草案;

(ii) 出口国适航当局的补充型号合格证;

(iii) 出口国适航当局的符合性声明;

(iv) 认可审查纪要;

(v) 出口国适航当局有关审定基础（包括适用的适航标准、专用条件、等效安全、豁免等）的问题纪要的电子版本;

(vi) 认可项目申请书、受理通知书等。

4.6.3 审查组成员所在的适航部门存档申请人提交的补充型号认可审查资料，以纸张和电子版形式编制资料目录清单并提交民航总局;民航总局以纸张和电子版形式存档型号认可审查报告和资料目录清单。

4.6.4 民航总局审核补充型号认可证的草案以及补充型号认可审查报告，做出是否颁证的决定。

4.6.5 对于决定颁证的，民航总局签署并颁发补充型号认可证。

4.6.6 对于决定不颁证的，民航总局将书面通知申请人不颁证的具体依据和理由，并按约定的方式通知出口国适航当局。

4.6.7 补充型号认可证更改

补充型号认可证更改时，原补充型号认可证的编号不变。

4.6.8 补充型号认可证不得转让。

5 同步补充型号认可审定程序

5.1 适用性

5.1.1 当申请人欲在中国注册的航空器上进行出口国适航当局补充型号合格审定时，应按本程序进行同步认可审定并取得民航总局颁发的补充型号认可证。

5.1.2 当申请人欲在非中国注册的航空器上进行出口国适航当局补充型号合格审定时，经民航总局、出口国适航当局和申请人协商，也可按本程序进行同步认可审定并取得民航总局颁发的补充型号认可证。

5.2 申请

5.2.1 补充型号认可证的申请人应是出口国适航当局补充型号批准文件的申请人。

5.2.2 申请人应按民航总局规定的格式，完整、属实地填写民用航空产品型号认可申请书（样件见附件 1），并附上 5.2.3 条要求的资料，按两国适航当局约定的方式提交给民航总局。此外，出口国适航当局

还应按双方的约定，就该申请人在中国注册的航空器上进行该补充型号合格审定活动征求民航总局的意见。

5.2.3 申请人在提交申请书时，应附有下列适用的资料:

(1) 项目说明;

(2) 完成项目的时间计划;

(3) 项目实施（设计和安装）的地点说明;

(4) 航空器运营人的正式书面声明，该声明至少应包括：运营人对该取证改装的所有活动（包括试飞）进行了安全风险评估，具备了确保安全的措施和条件，同意使用其航空器进行取证改装;

(5) 已提交出口国适航当局的补充型号合格审定资料;

(6) 出口国适航当局补充型号合格审定计划;

(7) 民航总局需要的其它有关资料。

5.2.4 运输类航空器补充型号认可证申请书的有效期为 5 年; 其它产品补充型号认可证申请书的有效期为 3 年。有效期自申请之日起计算。

5.3 受理

5.3.1 民航总局评估申请资料，并在必要时授权相关适航部门进行项目预审。

5.3.2 预审期间，申请人应按该适航部门的要求提交相应资料（如审定计划等），以便其具体评估项目的复杂程度、功能危害性、安全性和在中国实施的可行性（尤其是制造加工、地面试验和飞行试验等的可行性）。

5.3.3 授权的适航部门完成预审后，应向民航总局提交预审报告，说明其预审结论以及是否受理该申请的建议和理由。

5.3.4 民航总局审核预审报告，对于符合受理条件的情况，向申请人发出受理申请通知书（样件见附件 3）。对于不符合受理条件的情况，则以信函方式通知出口国适航当局和申请人并说明不受理的理由。

5.3.5 在确认申请人的受理手续完备后，民航总局将组织项目审查组。审查组负责与出口国适航当局和申请人协调该项目同步认可审查过程中的具体安排。

5.4 认可审定基础

补充型号设计同步审定的认可审定基础应按本程序 4.4 节的原则确定。

5.5 同步认可审定

本节规定了同步认可审定过程的要点和一般方法，审查组可结合项目的具体情况做必要的调整。

5.5.1 同步认可审定通常包括 3 个阶段:

(1) 在开始取证改装之前，出口国适航当局、申请人和审查组三方进行充分交流，以便及时确定该项目的认可审定基础和符合性方法，并将民航总局的每一附加技术条件落实到审定活动中;

(2) 在取证改装过程中，审查组进行同步的现场认可审查;

(3) 在取证改装完成后，审查组依据出口国适航当局颁发的补充型号合格证完成最终的认可审查活动。

5.5.2 申请人的责任

在同步认可审查过程中，申请人应完成本程序 4.5.1 条所要求的活动。如需试飞，则需表明已对试飞项目进行了充分的安全性评估，并给航空器运营人必要的技术支持以确保试飞的安全性和可行性。

5.5.3 审查组的责任

在同步认可审查过程中，审查组应与出口国适航当局协调，并完成本程序 4.5.2 条所要求的认可审查活动。如有试飞，则对试飞项目的安全性和可行性进行充分的评审。

5.5.4 现场认可审查纪要

现场认可审查结束时，审查组与申请人应参照本程序 4.5.3 条讨论并签署认可审查纪要，以明确所有的遗留项目及其解决措施，为改装中的航空器尽快返回使用提供必要条件。

5.6 批准

在出口国适航当局颁发补充型号批准文件后，按照本程序 4.6 节的规定完成同步认可审定。

6 材料、零部件、机载设备设计批准认可审查程序

6.1 适用性

6.1.1 对于首次单独进口的具有出口国适航当局技术标准规定项目批准的材料、零部件、记载设备（简称 TSO 件），应按本程序进行设计批准认可审查，并取得民航总局颁发的民用航空器材料、零部件、机载设备设计批准认可证。

6.2 申请

6.2.1 设计批准认可证的申请人应是出口国适航当局技术标准规定项目批准文件（TSOA）或等效文件的持有人。

6.2.2 申请人应按民航总局规定的格式，完整、属实地填写设计批准认可申请书（样件见附件 2），并附上 6.2.4 条要求的资料，按两国适航当局约定的方式提交给民航总局。

6.2.3 为了保证零部件在首次进口中国前取得民航总局颁发的设计批准认可证，申请人应尽可能早地提交申请，并保持与民航总局的联系。

6.2.4 申请人在提交申请书时，应附有下列适用的资料:

(1) 出口国适航当局颁发的 TSOA 批准（包括设计更改批准）或等效文件的复印件;

(2) 偏离批准的复印件;

(3) 对所依据审定要求的说明;

(4) 表明零部件符合原有审定要求的资料清单（包括设计图纸、技术规范、分析和计算报告、软件验证资料、各种试验的大纲和报告，以及安装、使用和维护资料等）;

(5) 民航总局认为必要的其他有关资料。

6.2.5 申请设计批准认可证的有效期为 1 年。有效期自申请之日起计算。

6.3 受理

6.3.1 民航总局评估申请书并按两国适航当局约定的方式，对于符合受理条件的，向申请人发出受理申请通知书（样件见附件 3）；对于不符合受理条件的，则以信函方式通知申请人并说明不受理的理由。

6.3.2 申请人在收到受理申请通知书后，应完成该通知书中所规定的各项受理手续，并与民航总局商定认可审查计划。

6.3.3 民航总局在确认申请人的受理手续完备后将成立项目审查组（简称审查组）。审查组应按两国适航当局约定的方式，将实地审查的时间计划及时通知出口国适航当局的指定部门。

6.4 认可审定基础

零部件的认可审定基础应依据下列原则确定:

(1) 出口国适航当局原有的审定要求，包括技术标准规定（TSO）的性能标准、软件标准、环境试验标准，以及偏离批准等;

(2) 附加技术条件，它可包括:

(i) 基于预期的特定安装要求确定的附加要求;

(ii) 基于预期的特定性能要求确定的附加要求;

(iii) 基于预期的特定使用和维护要求确定的附加要求;

(iv) 基于该零部件相关的使用经验和强制适航性措施（适航指令）确定的附加要求。

6.5 设计批准认可审查

本节规定了设计批准认可审查的要点和一般步骤，审查组可结合项目的具体情况做必要的调整。

6.5.1 技术性介绍

在实地审查开始时，申请人应向审查组进行熟悉性介绍，并在实地审查的过程中进行技术性介绍，以使审查组充分了解以下情况:

(1) 零部件的设计及其设计更改、设计特点、安装接口控制要求、使用限制和维护要求等;

(2) 出口国适航当局的审定要求（如 TSO 标准、性能标准、软件标准、环境试验标准和其它的指导性资料等）;

(3) 偏离批准及其背景;

(4) 相关的使用经验，预防故障/事故发生的措施（如服务通告或服务信函）以及强制适航性措施（如适航指令）等;

(5) 零部件设计对出口国审定要求的符合性情况,如分析和计算、软件验证、性能试验、环境试验和飞行试验等。必要时，需进行试验演示;

(6) 申请人的故障/事故数据收集、调查和分析方法;

(7) 申请人有关零部件安装、性能、使用和维护的全部资料及其的版次控制方法;

(8) 表明符合民航总局附加技术条件的信息;

(9) 审查组认为必要的其它有关信息。

6.5.2 对符合性证明的基本要求

申请人应表明对认可审定基础的符合性。

(1) 对于认可审定基础中可被出口国审定要求覆盖的部分，申请人通常可直接采用本国适航当局已接受的符合性方法和资料来表明符合性，除非审查组因为中国的使用情况而规定了不同的符合性方法。

(2) 对于每一附加技术条件，申请人应建议相应的符合性方法，并通过认可审定符合性检查单逐条记录对这些要求的符合性情况。

6.5.3 资料提交

申请人应向审查组提供下述适用的资料:

(1) 认可审定符合性检查单;

(2) 出口国适航当局的审定要求;

(3) 表明零部件符合附加技术条件的资料;

(4) 表明符合出口国适航当局审定要求的资料（如分析和计算报告，性能、环境和飞行试验大纲及报告，软件文档，软件的审定计划、配置索引、测试规程和实施概要等);

(5) 零部件的技术规范、安装、使用和维护资料;

(6) 该零部件的所有适航指令或等效文件;

(7) 民航总局批准的零部件设计的定义文件;

(8) 审查组认为必要的其他有关资料。

6.5.4 确定认可审定基础

审查组确定认可审定基础的基本步骤如下:

(1) 了解 6.5.1 条中的有关内容（技术性介绍);

(2) 评估出口国适航当局的审定要求以及偏离批准，偏离批准中不影响符合附加技术条件的部分是可接受的;

(3) 通过问题纪要并按 6.4 节的原则逐条确定附加技术条件及其符合性方法，并按两国适航当局约定的方式及时通报给出口国适航当局。同时，要求出口国适航当局代表民航总局确认对该认可审定基础中附加技术条件的符合性，并提供正式的对该认可审定基础的符合性声明。

(4) 通过认可审定符合性检查单记录附加技术条件及其符合性方法。

6.5.5 对认可审查的基本要求

(1) 对符合性方法的评估:

(i) 对于认可审定基础中可被出口国适航当局的审定要求覆盖的部分，审查组应重点了解和评估其中有关关键及重要结构或功能方面的符合性方法，如所采用的指导性和解释性资料等;

(ii) 对每一附加技术条件，审查组应评审并确定其符合性方法，必要时在审查组、出口国适航当局和申请人共同讨论后加以确定;

(2) 审查组应确定重要评审项目，详细了解和评估它们的符合性过程和符合性结果。重要评审项目包括: 与附加技术条件中各项要求相关的审查项目，零部件中关键及重要的结构和功能以及审查组确定的其它评估项目。

6.5.6 现场认可审查纪要

现场认可审查结束时，审查组应与申请人讨论并签署认可审查纪要，并按两国适航当局约定的方式通报给出口国适航当局。该纪要的内容至少应包括:

(1) 审查的时间、地点和目的;

(2) 人员名单;

(3) 项目说明;

(4) 认可审定符合性检查单的状态;

(5) 重要评审项目的完成情况;

(6) 申请人应提交资料的清单及收件人地址;

(7) 遗留项目记录。

6.6 批准

6.6.1 审查组在收到出口国适航当局的符合性声明并完成了全部认可审查活动后（包括收到 6.5.3 条规定的全部资料、关闭所有遗留项目等），应在 10 个工作日内完成零部件设计批准认可审查报告以及设计批准认可证的最终草案并提交到民航总局。

6.6.2 设计批准认可审查报告应以纸张和电子版形式提交，并至少包括下述内容:

(1) 认可审定情况简介（包括项目的申请、受理、审查组组成及分工、现场审查时间和地点）;

(2) 申请人总体情况简介;

(3) 建议民航总局批准的零部件设计（如对功能、设计特点、设计状态、安装限制和使用经验等的简介）;

(4) 关于确定认可审定基础及其符合性的详细说明。该说明的重点包括:

(i) 评估出口国审定要求和偏离批准的情况，并说明接受与否的理由;

(ii) 确定附加技术条件中各项要求及其符合性结果。

(5) 重点关注项目的评审过程和符合性结果;

(6) 遗留项目的完成情况;

(7) 审查组要求的各种资料是否已齐备;

(8) 是否接受出口国适航当局的符合性声明;

(9) 是否颁发设计批准认可证的建议和理由;

(10) 附件，包括零部件设计批准认可证的最终草案、出口国适航当局的 TSOA 批准或等效文件和符合性声明以及认可审查纪要、零部件设计定义文件和重要评审项目清单等。

6.6.3 审查组成员所在的适航部门存档申请人提交的认可审查资料，以纸张和电子版形式编制资料目录清单并提交民航总局; 民航总局以纸张和电子版形式存档型号认可审查报告和资料目录清单。

6.6.4 民航总局审核设计批准认可证的草案以及设计批准认可审查报告，做出是否颁证的决定。

6.6.5 对于决定颁证的，民航总局签署并颁发零部件设计批准认可证。

6.6.6 对于决定不颁证的，民航总局将书面通知申请人不颁证的具体依据和理由，并按约定的方式通知出口国适航当局。

6.6.7 设计批准认可证不得转让。

6.6.8 安装批准

设计批准认可证是对零部件设计批准的认可，不构成该零部件的安装批准。为在中国注册的民用航空器上使用该零部件，安装人应按照民航总局的有关规定取得相应的安装批准。

7 证后管理

7.1 持证人的责任

(1) 型号认可证、补充型号认可证或设计批准认可证的持有人应对其产品或零部件的持续适航性负责。

(2) 持证人应确保每一出口中国的产品或零部件的制造符合民航总局批准的设计，并提供相应的持续适航文件。

(3) 如果使用经验表明其产品或零部件因设计、制造或维护缺陷造成了不安全的情况时，这些证件的持有人有责任按双边协议的有关要求向民航总局提供足够的信息，及时采取纠正措施（如检查、设计更改等），并将经批准的纠正措施及时通告所有中国用户。

7.2 设计更改控制

7.2.1 除非双边协议中另有规定，设计更改控制应按下述方式进行。

7.2.2 影响型号认可证或认可数据单的设计更改

对于影响型号认可证或认可数据单的更改，应按本程序申请型号认可证或认可数据单的更改。

7.2.3 其他设计更改

如果民航总局与持证人已经签署了相关证后管理的约定，其他设计更改控制将按该约定的方式进行；如果民航总局与持证人尚未签署相关证后管理的约定，民航总局将自动认可出口国适航当局对其他设计更改所做的批准。

8 适航支持活动

8.1 飞行手册的批准

除非双边协议另有规定，根据 2.2 节型号认可审定技术安排的约定，出口国适航当局将根据民航总局认可的型号设计，代表民航总局批准进口中国的每架航空器的飞行手册。

8.2 飞行手册补充的批准

除非双边协议另有规定，根据 2.2 节型号认可审定技术安排的约定，出口国适航当局将根据民航总局批准的型号设计更改或补充型号设计，代表民航总局批准进口中国的每架航空器的飞行手册补充。

8.3 出口国适航当局和民航总局的责任

(1) 对于按双边协议批准或接受的任何进出口产品或零部件，为有效解决其使用过程中出现的安全问题和使用困难，双方应按双边协议的约定保持密切协作。

(2) 出口国适航当局应将其认为对出口航空产品和零部件持续适航和安全运行所必需的任何强制性措施（如适航指令）通报给民航总局。同时，民航总局应确保将其对进口航空产品和零部件的所有强制性措施通报给该航空产品或零部件的出口国适航当局。

9 附则

本程序由中国民用航空总局航空器适航审定司负责解释。

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附件 1 民用航空产品型号认可/补充型号认可申请书

中 国 民 用 航 空 总 局

GENERAL ADMINSTRATION OF CIVIL AVIATION OF CHINA

民用航空产品型号认可申请书

APPLICATION FOR VALIDATION OF TYPE CERTIFICATES OF IMPORTED CIVIL AVIATION PRODUCT

1. Name of applicant _____

2. Address of applicant

_____

3. Purpose of this application:

☐ Validation of Type Certificate ☐ Validation of Supplemental type certificate

☐ Validation of TC (concurrent) ☐ Validation of STC (concurrent)

4. For Validation of type certificate, complete the following items:

Model designation applied for

_____

Attachments (Note: Please check Par. 3.2.5 of AP-21-01R2 for details, and then fill in the appropriate ☐ with X):

☐ Description of design feature and basic data

☐ A copy of Type Certificate issued by the exporting authority

☐ A copy of TC Data Sheet issued by the exporting authority

☐ A copy of each Issue Paper established by the exporting authority

☐ A copy of Compliance Check List or equivalent

☐ Available information on China market potential and the schedule for the first delivery

☐ Any other necessary data requested by the CAAC

AAC-021 (10/2006) （见背面 See REVERSE SIDE）

Application for Validation of Type Certificates of Imported Civil Aviation Product (Cont.)

5. For supplemental type certificate complete the following items:

Model designation of product to be modified

_____

Description of type design change

_____

Aircraft register number and/or production series number

_____

Attachments (Note: Please check Par. 4.2.4 of AP-21-01R2 for details, and then fill in the appropriate ☐ with X):

☐ Description of the modification design feature and basic data

☐ A copy of Supplemental Type Certificate issued by the exporting authority

☐ A copy of certification basis of the exporting authority for the STC

☐ A copy of each Issue Paper established by the exporting authority

☐ A copy of Compliance check List or equivalent

☐ The schedule for the first delivery to China

☐ Other data required in Par. 5.2.3 of AP-21-01R2 when applicable

6. The point of the contact:

Name _____ Tel. _____

Title _____ Fax. _____

E-mail _____ ZIP _____

7. I certify that the statement of this application and attachments furnished herein are correct and without any error.

Title

_____

(signature) Date

AAC-021(10/2006) （背面 REVERSE SIDE）

附件 2 设计批准认可申请书

中 国 民 用 航 空 总 局

GENERAL ADMINSTRATION OF CIVIL AVIATION OF CHINA

设计批准认可申请书

APPLICATION FOR VALIDATION OF PART DESIGN APPROVAL

1. Name of applicant _____

2. Address of applicant

_____

3. TSO Part's Name, Model and P/N to be applied for

_____

4. Proposed Installation on

_____

5. Attachments (Note: Please check Par. 6.2.4 of AP-21-01R2 for details, and then fill in the appropriate ☐ with X):

- ☐ A copy of part design and production approval issued by the exporting authority
- ☐ A copy of any derivation approval granted by the exporting authority
- ☐ A copy of certification requirements as established by the exporting authority
- ☐ A list of data, such as specifications, test and analysis reports, installation manuals etc.
- ☐ Any other necessary data requested by the CAAC

6. The point of the contact:

Name _____ E-mail _____

Title _____ Tel. _____ Fax. _____

7. I certify that the statement of this application and attachments furnished herein are correct and without any error.

Title

_____

(signature) Date

AAC-020 (10/2006)

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附件 3 受理申请通知书

中 国 民 用 航 空 总 局

GENERAL ADMINSTRATION OF CIVIL AVIATION OF CHINA

受 理 申 请 通 知 书

NOTIFICATION OF ACCEPTANCE FOR APPLICATION

Project No. Date:

1. 申请单位名称 Name of applicant _____
2. 申请理由 Purpose of application _____
3. 申请日期 Date for application _____
4. 受理项目 Accepted items _____

_____

5. 出口国适航当局颁发的证件编号/项目号（对于同步认可申请）
   Certificate Number issued by the exporting authority/Project Number (for concurrent validation certification)

_____

6. 审查费 Airworthiness examination fee (including international and domestic air ticket):

USD _____ Payment to:

Beneficiary Bank: China Construction Bank
Beijing Branch
SWIFT Code: PCBCCNBJBJX

Beneficiary Name/Address: CAAC Settlement Center
D-16-19 Tower Landscape
Chao Wai Da Jie Ji Qing Li,
Chaoyang District
Beijing 100020 P.R.China

Beneficiary A/C No.: 11001007400059555555

职务 Title：

部门 Dep.:

_____

（受理人签字 Signature）

AAC-013 (10/2006) （见背面 See REVERSE SIDE）

受理申请通知书 NOTIFICATION OF ACCEPTANCE FOR APPLICATION

INFORMATION FOR APPLICANTS

Each applicant is kindly requested to provide to the Aircraft Airworthiness Certification Department of the CAAC, by fax (Fax No.:), the payment ticket/evidence and the following reply, after making the payment as specified herein. This Notification of Acceptance for Application is valid for years from the date of application.

REPLY FORM

Project No. (assigned)	
Payment Ticket No. (Intermediary Bank)	
Point of Contact	
e-mail Address	
Fax No. / Tel No.	/
Remark: Date:	

附件 4 型号认可证

中 国 民 用 航 空 总 局

GENERAL ADMINISTRATION OF CIVIL AVIATION OF CHINA

型 号 认 可 证

VALIDATION OF TYPE CERTIFICATE

编号/No. _____

本型号认可证颁发给/*This Validation of Type Certificate is issued to*

产品名称/*Product:* _____ 型号/*Model:* _____

经中国民用航空总局审查后确认，上述民用航空产品的设计符合中国民用航空规章的有关规定。中国民用航空总局对由_____颁发的第_____号型号合格证/型号批准书给予认可，后附的该型号认可证数据单为_____。

This is to certify that the design of above civil aeronautical product meets applicable China Civil Aviation Regulations. General Administration of Civil Aviation of China validates the Type Certificate/Type Approval No. _____ issued by _____. The validation Data Sheet No. _____ is attached.

局长授权

For the Minister of CAAC:

签字/*Signature* _____

职务/*Title* _____

部门/*Department* _____

日期/*Date* _____

AAC-019 (10/2006)

附件 5 型号认可数据单（示例）

编号/No： VTC069A
版次/Revision： 0
型号/Type：
MF50
MF900
F900EX

批准人/Approved By:

日期/Date：

型号认可证数据单

THE VALIDATION DATA SHEET

本数据单是型号认可证(编号：VTC)的组成部分，它规定了符合中国民用航空总局的适航要求所颁发此型号认可证的产品的状态和限制。

This data sheet，which is part of Validation of Type Certificate (No: VTC)，prescribes condition and limitation under which the product for which the type certificate was issued meets the airworthiness requirements of the Chinese Civil Aviation Regulation.

型号认可证持有人/Validation of Type Certificate Holder：

有效页清单/List of effective pages :

页数/ Pages	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
版次/Revision	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
页数/ Pages	16	17	18	19	20	21	22	23	24	25	26	27	28	29	
版次/Revision	0	0	0	0	0	0	0	0	0	0	0	0	0	0	

第 1 部分　概述（所有机型）

SECTION 1　GENERAL (ALL MODELS)

1. **CAAC 认可数据单和型号合格证数据单**
   CAAC Validation Data Sheet and Type Certificate Data Sheet

	中国民用航空总局认可数据单号、版次和颁发日期 **CAAC Validation Data Sheet Number, Revision and issuance date**	**型号合格证数据单号、版次和颁发日期** **Type Certificate Data Sheet Number, Revision and issuance date**
当前 **Current**		
历史 **History**		

2. **类别/Category:** 运输类飞机/Transport Airplanes

3. **认可当局/Validation Authority:** **中国民用航空总局/CAAC**
   审定当局/Certifying Authority:

4. **型号合格证持有人/Type Certificate Holder**: **ABC Corporation**
   Address

6. **ETOPS:**

7. **CAAC Special Requirements:**

交付到中国的每一 AAA 航空器须满足下述特殊要求：
Each of AAA aircraft delivered to China shall meet the following special requirements:

(1) 必须满足中国民用航空总局的运行要求（例如标记标牌的中文要求）。The operational requirements of CAAC must be met (e.g. Chinese language requirements for markings and placards).

(2) 燃油符合“中国国标 3 号燃油－GB6537-94”的规范。Fuel conforming to Specification “PRC National Standard No.3 Jet Fuel -- GB6537-94”

(3) 在每一航空器上必须安装快速存储器（QAR）（参照中国适航指令 CAD-97-MULT-38）。Quick Access Recorder (QAR) must be installed on each aircraft (reference to CAD97-MULT-38).

第 2 部分
SECTION 2

（参照出口国适航当局颁发的型号合格证数据单。）

附件 6 补充型号认可证

中 国 民 用 航 空 总 局

GENERAL ADMINISTRATION OF CIVIL AVIATION OF CHINA

补 充 型 号 认 可 证

VALIDATION OF SUPPLEMENTAL TYPE CERTIFICATE

编号/No. _____

本证颁发给/*This Certificate is issued to*

适用机型/*Applicable Aircraft Model:*

叙述/*Description:*

使用限制/*Limitation:*

经中国民用航空总局审查确认，上述民用航空产品的设计更改符合中国民用航空规章的有关规定。中国民用航空总局对由_____颁发的第_____号补充型号合格证。

This is to certify that the design change of above civil aeronautical product meets applicable China Civil Aviation Regulations. General Administration of Civil Aviation of China validates the Supplemental Type Certificate No. _____ issued by _____.

局长授权
For the Minister of CAAC:

签字/*Signature* _____

职务/*Title* _____

部门/*Department* _____

日期/*Date* _____

AAC-156 (10/2006)

附件 7 设计批准认可证

中 国 民 用 航 空 总 局

GENERAL ADMINISTRATION OF CIVIL AVIATION OF CHINA

材 料 零 部 件 机 载 设 备

MATERIAL PARTS APPLIANCE

设 计 批 准 认 可 证

VALIDATION OF DESIGN APPROVAL

编号/No. _____

本设计批准认可证发给_____。
经中国民用航空总局审查后确认，下述零部件的设计符合_____。
中国民用航空总局对由_____批准的下述零部件设计予以认可。

This Validation of Design Approval is issued to _____.
This is to certify that the type design of items listed below comply with

_____

General Administration of Civil Aviation of China validates the relevant design approval issued by

_____.

产品名称 *Parts*	型(件)号 *Model orP/N(Model)*	备注 *Remarks*

局长授权
For the Minister of CAAC:

签字/*Signature* _____

职务/*Title* _____

部门/*Department* _____

日期/*Date* _____

This approval does not constitute an installation approval for each of the parts as specified herein. The installer must obtain installation approval for use on a China-registered aircraft.

AAC-007 (10/2006)

中 国 民 用 航 空 总 局

GENERAL ADMINISTRATION OF CIVIL AVIATION OF CHINA

附 件 / *Appendix*

VALIDATION OF DESIGN APPROVAL

本附件_____是_____的一部分。

This appendix_____is a part of_____.

局长授权

For the Minister of CAAC:

签字/*Signature*_____

职务/*Title*_____

部门/*Department*_____

日期/*Date*_____

附件 **8** 技术安排（示例）

Technical arrangement on

[ABC Aircraft Corporation] product certification

between

The General Administration of Civil Aviation of China

(CAAC)

and

[The Exporting Authority]

1. PURPOSE

This Technical Arrangement defines the working relationship between [THE EXPORTING AUTHORITY] and the General Administration of Civil Aviation of China (CAAC) hereafter called the "Authorities", to facilitate and accomplish the CAAC type validation of the [ABC Aircraft Corporation] aircraft models XXX, and of subsequent type design changes as well as to define the declaration of compliance for Export and continued airworthiness activities.

2. OBJECTIVES

This Technical Arrangement is intended to accomplish the following objectives:

2.1 To define the working procedures under the respective responsibilities of each Authority:

a) for the type validation process; and

b) for subsequent post type validation activities.

c) for the acceptance of new and used products produced by the manufacturer as mentioned in the CAAC validation data sheet and for which the CAAC has issued the Validation of Type Certificate.

d) validation of Supplemental Type Certificates approved by [THE EXPORTING AUTHORITY].

e) for parts and appliances for these products.

2.2 To minimize redundant inspections, tests, demonstration, evaluations, and approvals.

3. SCOPE

This Technical Arrangement covers under the provisions set forth in the following paragraphs:

a) the Model XX1 ([THE EXPORTING AUTHORITY] TCDS equivalent to [THE EXPORTING AUTHORITY] TCDS XX1);

b) the Model XX2 ([THE EXPORTING AUTHORITY] TCDS equivalent to [THE EXPORTING AUTHORITY] TCDS XX2);

c) the Model XX3 (TCDS [THE EXPORTING AUTHORITY] equivalent to [THE EXPORTING AUTHORITY] TCDS XX3)

4. REQUIREMENTS AND BASIS

The requirement for this Technical Arrangement results from paragraphs 2.1.4 and 2.4.1 of CAAC AP-21-01R1 dated January 2000

(English version), Validation Procedures for Import of Civil Aviation Products and Parts.

5. COMMUNICATION

5.1 The Aircraft Airworthiness Certification Department (CAAC-AAD) of CAAC and [THE EXPORTING AUTHORITY] Certification Directorate as Aircraft Certification Authority will be responsible for the implementation of this Technical Arrangement.

5.2 A project manager will be assigned by each Authority to facilitate the implementation of this Technical Arrangement. All routine communication related to the activities of this Technical Arrangement will formally take place between these two project managers. (See Appendix 1 for contact listing).

5.3 The applicant will be the primary source for providing the technical support to CAAC-AAD. When requested, [THE EXPORTING AUTHORITY] will provide the necessary assistance and support within its regulatory functions, which will be initiated through and coordinated by the designated project managers of the respective Authority.

5.4 All communications between CAAC and [THE EXPORTING AUTHORITY] related to the activities of this Technical Arrangement will be made in the English language.

5.5 Unless otherwise specified, [THE EXPORTING AUTHORITY] shall be copied with all correspondence between the applicant and CAAC related to the activities of this Technical Arrangement in order for [THE EXPORTING AUTHORITY] to support the applicant and CAAC in the future.

6. TYPE VALIDATION ACTIVITES

6.1 General

a) The applicant is responsible for showing and verifying the compliance with the CAAC certification basis and for demonstrating this compliance to both Authorities. Subject to paragraph 6.2(c)(ii), any compliance documents provided to CAAC shall be approved by [THE EXPORTING AUTHORITY].

b) The CAAC type validation of affected products as listed above must be accomplished in respect of all laws and regulation governing

both Authorities.

6.2 Certification basis

a) The certification bases for the aircraft models are the following:

i) For [THE EXPORTING AUTHORITY]:

As defined in Type Certificate Data Sheets (TCDS) at the latest applicable issue, and

ii) For CAAC:

The CAAC have accepted the [THE EXPORTING AUTHORITY] certification basis for the aircraft models, with additional requirements as established by comparison with CCAR 25-R3. These additional requirements to the [THE EXPORTING AUTHORITY] certification basis are referred to as “Additional Technical Conditions (ATC)”.

b) CAAC will notify in writing both [THE EXPORTING AUTHORITY] and the applicant of any ATC necessary for the CAAC type validation.

c) [THE EXPORTING AUTHORITY] will review the ATC to ensure its understanding thereof. As necessary, CAAC will provide [THE EXPORTING AUTHORITY] in writing with any interpretative material

or any data regarding the means of compliance pertaining to those ATC.

i) [THE EXPORTING AUTHORITY], upon request from CAAC, will initiate the process of finding compliance referred to in paragraph 6.4 once the necessary understanding of the particular CAAC ATC has been acquired.

ii) CAAC will perform its own findings of compliance on ATC for which [THE EXPORTING AUTHORITY] has not acquired sufficient understanding.

6.3 Process of finding compliance

For the CAAC type validation activities, CAAC will define its involvement taking into account paragraph 2.2 of this Technical Arrangement.

6.4 Process of finding compliance to the ATC

Provided that CAAC has not already made findings of compliance with its own ATC according to paragraph 6.2(c)(ii), [THE EXPORTING AUTHORITY], upon request, will make the findings of compliance with the ATC on behalf of CAAC. [THE EXPORTING AUTHORITY] will make the findings of compliance in accordance with the interpretative

material and the means of compliance provided by CAAC. In the absence of such interpretative material, [THE EXPORTING AUTHORITY] will use its own interpretation for the specific ATC.

6.5 Formalization of the findings of compliance

a) For the purpose of finding compliance with the CAAC certification basis, CAAC may raise Issue Papers (IP) and Action Items (AI).

b) An IP is normally opened to document the ATC (one IP per ATC):

i) to document any controversial technical issue; and

ii) to document differences in interpretative material of the means of compliance.

c) AI are normally opened to record any non-controversial action to be performed by [ABC Aircraft Corporation].

d) CAAC will notify [THE EXPORTING AUTHORITY] and applicant of the status of each IP. All IP and AI must be closed before the issuance of the CAAC type certificate.

6.6 Final statement

At the end of the process [THE EXPORTING AUTHORITY] will provide, a formal statement attesting that [THE EXPORTING AUTHORITY] has found compliance with CAAC certification basis. The CAAC approved type design will be identified in a CAAC VTCDS to be produced the applicant and to be approved by [THE EXPORTING AUTHORITY].

7. POST TYPE VALIDATION ACTIVITIES

7.1 Design change approval

a) Upon request, [THE EXPORTING AUTHORITY] will verify that design changes affecting the [THE EXPORTING AUTHORITY] type design which have been introduced after CAAC type validation an embodied on products to be delivered to China, comply with the CAAC certification basis using the Information gained during the type validation activities (see paragraph 6 above). If the change is approved via a Supplemental Type Certificate (STC), it will be validated by CAAC who will notify its approval.

b) Prior to each product delivery, a formal statement of compliance with the CAAC certification basis will be provided by [THE EXPORTING AUTHORITY] to CAAC for major design changes. These type design changes will normally be approved by CAAC on the basis of the [THE EXPORTING AUTHORITY] statement of compliance without technical validation. However, CAAC reserves the right to make a technical validation on those design changes that affect the CAAC Validation Data Sheet and will inform [ABC Aircraft Corporation] and [THE EXPORTING AUTHORITY] accordingly. For these changes, CAAC will notify [THE EXPORTING AUTHORITY] and [ABC Aircraft Corporation] of their approval.

c) The statement of compliance in b) above is considered sufficient to cover other changes, which are not considered as significantly affecting the approved type design.

8. AIRWORTHINESS SUPPORT ACTIVITIES

8.1 Individual product deliveries

a) For each airplane to be delivered to China, [THE EXPORTING AUTHORITY] will issue an [THE EXPORTING AUTHORITY]

declaration of compliance for Export, based on the individual [THE EXPORTING AUTHORITY] Form X1 issued in accordance with the PAH/POA granted by [THE EXPORTING AUTHORITY] under [Regulation], stating that the airplane complies with the CAAC approved type design and CAAC special requirements which are identified in VTDS.

b) Each part and appliance will be delivered to China with an individual [THE EXPORTING AUTHORITY] Form X2, issued in accordance with the PHA/POA granted by [THE EXPORTING AUTHORITY] under [Regulation], stating that the part and appliance complies with the CAAC approved type design and is in a condition for safe operation, with note in Block 13 of [THE EXPORTING AUTHORITY] Form X2 that the part and appliance is eligible for Export to China.

c) An Airplane Flight Manual (AFM) in the English language will be provided for each aircraft to be delivered to China. The AFM will be in accordance to the CAAC approved type design, and will be approved by [THE EXPORTING AUTHORITY] on behalf of the CAAC.

8.2 Continued Airworthiness

a) In accordance with ICAO Annex 8, [THE EXPORTING AUTHORITY] will promptly inform CAAC of all mandatory airworthiness modifications, special inspections, special operating limitations or other actions necessary for maintaining the continuing airworthiness of the products.

b) CAAC will promptly notify [THE EXPORTING AUTHORITY] and [ABC Aircraft Corporation] of any unsafe condition associated with the design, manufacturing or maintenance of the products that are in service in China.

c) [THE EXPORTING AUTHORITY] will notify CAAC, where appropriate, of any action it deems necessary to correct any unsafe coition. In the type design that may be discovered after the type validation, including any actions in respect of components designed or manufactured by a supplier under contract to [ABC Aircraft Corporation].

d) [THE EXPORTING AUTHORITY], upon request, will assist CAAC in establishing procedures deemed necessary by CAAC for maintaining the continuing airworthiness of aircraft models.

9. ENTRY INTO FORCE

This Technical Arrangement shall enter into force at the date of signature by the Authorities.

10. DURATION AND TERMINATION

Either Authority may at any time give written notice to other Authority of its decision to terminate this Technical Arrangement. This Technical Arrangement shall terminate twelve months following the date of receipt of the notice by the other Authority, unless the said notice of termination has been withdrawn by mutual agreement before the expire of this period.

11. AUTHORITIES

The Authorities agree to the provisions of this Technical Arrangement as indicated by the signature of their authorized representatives or executive agents.

Signed in …… on …… on behalf of:

([THE EXPORTING AUTHORITY])

Signed in ……. on ……. on behalf of:

General Administration of Civil Aviation of China (CAAC)

Aircraft Airworthiness Certification Department

APPENDIX 1

POINTS OF CONTACT

FOR [THE EXPORTING AUTHORITY]	**FOR CAAC**
Certification Directorate [Address]	Aircraft Airworthiness Department 155 Dongsi Street West Beijing 100710 Peoples Republic of China
Project Manager Mr. A [title]	Project Manager Mr. B [title]
Phone: Fax: Email:	Phone: Fax: Email:

Aircraft Airworthiness Certification Department

CAAC

Airworthiness Procedures

AP Number: AP-21-01R2

Issued by: AAD

Effective date: October 12, 2006

Signature:

VALIDATION PROCEDURES FOR

IMPORT CIVIL AVIATION PRODUCTS AND PARTS

Content

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1 General

1.1 Authority

These procedures are established under the authority of Chinese Civil Aviation Regulations Part 21, Certification Procedures for Civil Aviation Products and Parts.

1.2 Applicability

1.2.1 Unless otherwise mentioned in the Bilateral Airworthiness Agreement, Implementation Procedure and Technical Arrangement specified in Section 2, these procedures apply to:

(1) type validation of any civil aeronautical product imported to the People's Republic of China (PRC);

(2) supplemental type validation of any civil aeronautical product imported to the People's Republic of China (PRC);

(3) validation of design approval of a part, not as part of CAAC validated/certificated aircraft, imported to PRC.

1.2.2 For a civil product or part which is already imported into PRC without obtaining its CAAC validation approvals due to a historical cause,

the validation of its design must be accomplished on the basis of applicable provisions of these procedures.

1.3 Cancellation

CAAC Airworthiness Procedures AP-21-01R1, Validation Procedures for Import Civil Aviation Products and Parts, dated on January 1, 2000 is cancelled since October 13, 2006.

1.4 Explanation of terms

1.4.1 Action Item: means an item for which the validation requirements and/or means of compliance is not designated, and the substantiation is not closed at the end of a validation phase.

1.4.2 Environmental Approval: means an environmental certificate or equivalent issued by the exporting authority for finding that a product complies with its own standards concerning noise and/or fuel venting and exhaust emission.

1.4.3 Exporting Authority: means the airworthiness authority of an applicant within the exporting State.

1.4.4 Product Operating Documents: means each operating and operating limitation document approved by the exporting authority and compliant with the type (or supplemental type) design definition approved by CAAC, such as Aircraft Flight Manuals, Master Minimum Equipment List(MMEL), Weight and Balance Manuals and Configuration Deviation List (CDL) for aircraft, or Installation Manuals and Operating Manuals for engines or propellers.

1.4.5 Production Approval: means a Production Certificate and Limitation Records, or a Production Organization Approval (POA) or equivalent issued by the exporting authority.

1.4.6 Supplemental Type Approval: means a Supplemental Type Certificate (STC) or equivalent issued by the exporting authority.

1.4.7 Issue Papers: means a document that describes and records the significant issues related to validation basis and its means of compliances.

2 Bilateral Airworthiness Agreement, Implementation Procedure and Technical Arrangement

2.1 Bilateral Airworthiness Agreement or MOU

2.1.1 The precondition of CAAC issuing Validation of Type Certificate (VTC), Validation of Supplemental Type Certificate (VSTC) and Validation of Design Approval (VDA) is that Bilateral Airworthiness Agreement or MOU, such as Bilateral Airworthiness Agreement (BAA) or Bilateral Aviation Safety Agreement (BASA), on import and export of aviation product has been signed between the government of an applicant and Chinese government.

2.1.2 In order to implement above mentioned agreements, Bilateral Airworthiness Implementation Procedure such as Specific Implementation Procedure (SIP) and Implementation Procedure of Airworthiness (IPA) can be signed between CAAC and Exporting Authority in conjunction with Airworthiness Agreement. These procedures specify the agreement and arrangement on validation of type design approval, production activities, exporting airworthiness approval, post certificate activities and technical support activities.

2.2 Technical Arrangement on Type Validation

2.2.1 If Bilateral Airworthiness Implementation Procedure has not been signed, the Technical Arrangement specifically related to this certain type can be signed between CAAC and the Exporting Authority. Other types to be validated can be incorporated into the Technical Arrangement by amending it.

2.2.2 Technical Arrangement on Product Type Validation normally include:

(1) Purpose and Applicability;

(2) Focal points and communication procedures between CAAC and the exporting authority;

(3) Arrangement on validation process, including delegation of validation basis, process of finding compliance and its conclusion;

(4) Arrangement on airworthiness support activities, for example, for each aircraft to be delivered, arrangement on Flight Manual (or Flight Manual Supplemental) approval (refer to Section 8 of this procedure) and issuance of exporting airworthiness certificate; for engine, propeller or parts to be delivered, arrangement on issuance of exporting airworthiness certificate;

(5) Post type validation activities (refer to Section 7 of this

procedure);

(6) Other applicable matters.

Attachment 8 shows the sample of the Technical Arrangement.

2.2.3 For a priority important part which will be imported to PRC separately for the first time, if necessary, Technical Arrangement on Validation of Design Approval for Part can be signed between CAAC and exporting authority according to Paragraph 2.2.1 and 2.2.2.

3 Type Validation Procedure

3.1 Applicability

3.1.1 For a product imported for the first time to PRC for the civil aviation purposes, its type design must be validated through the process as established in this section and obtain a Validation of Type Certificate (VTC) from the CAAC, before the product initially enters into PRC.

3.1.2 For a changed product whose VTC has been issued, if its type design changes cause TC amendment or Type Certificate Data Sheet (TCDS) amendment, or VTC amendment or VTCDS amendment, its type design changes must be validated in the light of this procedure and obtain

an amended VTC or amended VTCDS from CAAC, before the changed product initially enters into PRC.

3.1.3 For any other type design changes not specified in Paragraph 3.1.1 and 3.1.2.

3.2 Application

3.2.1 An applicant for a VTC should be an applicant or holder of TC or equivalent approval issued by the exporting authority.

3.2.2 In order to avoid delaying the aircraft delivery, the applicant should submit the VTC application to CAAC as early as possible. For aircraft whose TC application has been accepted by exporting authority but TC does not issued, in order to help the applicant get VTC soon after the exporting authority issuing the Type Certificate and reduce the duplicate certification work, CAAC encourages the applicant submit VTC application as early as possible so that CAAC can conduct the concurrent type validation with the exporting authority after accepting the application based on its resource status.

3.2.3 VTC application for engine or propeller shall be submitted to

CAAC no later than the date when VTC application for the aircraft on which the engine or propeller installs is submitted.

3.2.4 An applicant shall submit a complete application form (see Attachment 1 for a sample of the application form AAC-021), together with attached data as required in the paragraph 3.2.5 of this section, to CAAC in the manner concurred by CAAC and the exporting authority.

3.2.5 The following applicable data shall be attached to the application:

(1) Recommendation letter on the general description of the product written by the exporting authority to CAAC;

(2) Description of design feature and basic data of the product, including a three-view drawing for aircraft, or model specifications for engines and propellers;

(3) The copy of Type Certificate and Type Certificate Data Sheet issued by the exporting authority (if applicable);

(4) The copy of Production Certificate or equivalent document (if applicable);

(5) The copy of environmental approval document (if applicable);

(6) The user of the first aircraft and schedule of the first delivery (if applicable);

(7) Proposed validation plan;

(8) Other necessary data required by CAAC.

3.2.6 CAAC may request the applicant to arrange a initial familiarization meeting, when CAAC finds it necessary.

3.2.7 An application for type certification of a transport category aircraft is effective for 5 years and an application for any other type certificate is effective for 3 years from the date of application.

3.3 Acceptance for Application

3.3.1 CAAC will send a Notification of Acceptance for Application (see Appendix 3 for a sample of the notification form AAC-013) to the applicant when it is found that the application has met applicable requirements. CAAC will notify the applicant refusal of the application and give the reason by letter when it is found that application can not meet applicable requirements. For VTC application of the product for which there is no Chinese potential user, CAAC will determine whether or not the application is accepted based on human resource and work load.

3.3.2 The applicant shall complete the formalities as required in the

notification form after receiving it from CAAC, and discuss with CAAC a time schedule for on-site validation activities.

3.3.3 Once confirming the applicant's completion of the formalities required in the notification form, CAAC will establish a project certification team (hereafter referred as certification team). The certification team will notify the designated department of the exporting authority time schedule of on-site validation in the manner concurred by CAAC and the exporting authority.

3.4 Validation Basis

3.4.1 CAAC validation basis will be established on the following principles:

(1) Certification basis as established by the exporting authority for the product type design and design changes;

(2) Additional Technical Conditions (ATC) prescribed by CAAC. Additional Technical conditions may include:

(i) After contrasting the certification basis with applicable airworthiness requirements and environmental requirements of CCARs in effect at the date of the application, additional conditions based on differences in the airworthiness standards, environmental requirements，

applications, service experiences, policies, and guidance materials between CAAC and the exporting authority;

(ii) Special conditions for novel or unusual design features which are not covered by the certification basis of the exporting authority. The novel or unusual design features may include application of new technology, novel application of existing technology, and unconventional use of the product etc.;

(iii) Additional conditions based on an evaluation of equivalent safety findings and exemptions granted by the exporting authority;

(iv) Additional conditions based on mandatory airworthiness actions (e.g. Airworthiness Directives) directed by the exporting authority and related service experiences to ensure continuous safety operation of the product in China.

3.4.2 When establishing the validation basis and its means of compliance, operational requirements such as markings and placards in Chinese language and Chinese fuel specifications, with design impacts and with the necessity for continuing safe operation under particular circumstances in China should be considered.

3.5 Type Validation Activities

This section specifies the key points and general methodologies of the validation process, but the certification team can make the necessary adjustment according to the product characteristics.

3.5.1 In order to smooth the on-site certification, while completing the formalities required in the notification form, the applicant should contrast the applicable airworthiness requirements of CCARs in effect at the date of the application with the certification basis of the exporting authority as required in Section 3.4 and find the compliance status with the differences.

3.5.2 Familiarization Briefing

In order to fully understand the project, the certification team may require the applicant to arrange a familiarization briefing and familiarization flight test (if necessary). A familiarization flight should be performed when necessary. The familiarization briefing normally includes:

(1) Product design and any unique or novel design features, including the design changes by the application time;

(2) Certification basis established by the exporting authority, including related issue papers on special conditions, equivalent safety findings, exemptions, etc.;

(3) Relevant service experiences, corrective measures to preclude occurrence of incidents or accidents, and mandatory airworthiness actions (e.g. Airworthiness Directives);

(4) General introduction of the compliance checklist with the certification basis of the exporting authority;

(5) Contrasting result as required in Paragraph 3.5.1 and findings of compliance with the differences;

(6) Any other matters deemed necessary by the certification team and/or the applicant.

3.5.3 Technical Briefing

In order to make the finding of compliance with the certification basis of the exporting authority and establish the ATC, the certification team should require the applicant to arrange a technical briefing and provide the related data. The technical briefing may include detailed type design of the product and its system, detailed description of the compliance with the certification basis of the exporting authority, and the evaluation results of the compliance status with the regulation differences between the certification basis of the exporting authority and the the applicable airworthiness requirements of CCARs.

3.5.4 The certification team discuss with the applicant and establish the

validation basis.

3.5.5 Key Aspects of Substantiation Process

The applicant must show that the product complies with each requirement of the validation basis in accordance with the means of compliance concurred by the certification team and satisfy the certification team, and all the substantiation activities should be recorded in the Validation Compliance Check List.

(1) It is acceptable for the applicant to directly use substantiating data accepted by the exporting authority for showing compliance with the provisions of the validation basis which are covered by the certification basis of the exporting authority, if the certification team agrees;

(2) For each ATC, the applicant should show compliance with ATC to the exporting authority and satisfy the authority, and get concurrence with the certification team. The applicant should record the compliance status with the ATC and incorporate the related design changes for complying with the ATC to the type design, and record the compliance statue in the compliance checklist.

(3) For a certain validation requirement and its means of compliance, the applicant’s and the certification team’s positions may be presented in issue paper and achieve the concurrence.

(4) The final revision of the validation compliance checklist should

be submitted to the certification team and a validation meeting minutes should be prepared by the applicant as required in par. 3.5.9 of this section and signed by the certification team and the applicant at the end of the on-site validation.

3.5.6 Flight Test

The applicant is responsible for providing the prerequisite for assessment/verification flights when the project team finds it necessary.

3.5.7 Data Submittal

The following applicable data should be submitted to the certification team in Chinese and/or English in the form of hard copy and electrical version:

(1) The complete validation compliance checklist;

(2) Substantiating data required by the certification team (e.g. design data, technical specifications, analysis and computation reports, test programs and reports, flight test programs and reports, etc.) to show compliance with the validation basis;

(3) TC and TCDS, PC or equivalent document and environmental approvals issued by the exporting authority;

(4) All the issue papers of the exporting authority, especially the issue papers related to the special conditions, equivalent safety findings

and exemptions;

(5) List of Airworthiness directives issued by the exporting authority;

(6) Flight Manual approved by the exporting authority;

(7) Continued airworthiness documents approved by the exporting authority (including Certification Maintenance Requirements (CMR) and Airworthiness Limitation Document (ALD) etc.);

(8) MMEL and Configuration Deviation List;

(9) Any other data deemed necessary by the certification team.

3.5.8 Validation Basis Establishment

The validation basis of the project will be established by CAAC through the following steps in principle:

(1) Understanding relevant descriptions specified in Paragraph 3.5.2 and 3.5.3 of this section;

(2) Reviewing the exporting authority's certification basis and its means of compliance, including the background from which special conditions, equivalent safety findings, exemptions and not-applicable rules are produced;

(3) Determining each requirement of additional technical conditions and its means of compliance by issue papers according to the principles specified in Paragraph 3.4.1, and informing the exporting authority in the

manner concurred by CAAC and the exporting authority;

(4) Documenting any anticipated exemptions or equivalent level of safety determinations in issue papers. Upon granting of the exemptions or the equivalent safety findings, they, along with any operating limitations, should become part of the validation basis;

(5) Evaluating that whether or not the compliance checklist includes all the requirements in the validation basis and its means of compliance;

(6) Documenting the final validation basis in the type validation data sheet;

(7) The certification team informs the validation basis to the exporting authority in the manner concurred by CAAC and the exporting authority, and requests the exporting authority to make the findings of compliance with the ATC in the validation basis on behalf of CAAC and provide the compliance statement.

3.5.9 Key Aspects of Review Process

(1) As to those validation requirements which are covered by the exporting authority's certification basis, the certification team should develop the Significant Review Items and place the emphasis on the means of compliance and the substantiation activities;

(2) As to each ATC, the certification team should discuss with the applicant to determine the means of compliance and evaluate the

substantiation activities;

(3) A validation meeting minutes should be prepared by the applicant as required in par. 3.5.9 of this section and signed by the certification team and the applicant at the end of the on-site validation.

(4) When the applicant proposes the equivalent level of safety to a certain validation requirement, the certification team should evaluate the practices and limitations provided by the applicant for the equivalent level of safety. This evaluation result should be recorded in issue papers;

(5) The certification team should determine whether or not the applicant has showed that there is no feature or characteristic makes the product unsafe for its intended use and under the anticipated operation conditions.

3.5.10 Validation Meeting Minutes

The validation meeting minutes should be concluded with joint signature of both the applicant's and the team's sides at the end of the on-site validation and inform to the exporting authority in the manner concurred by CAAC and the exporting authority. The meeting minutes at least include:

(1) Date, location and attendants of validation;

(2) General introduction of the project;

(3) The validation compliance checklist and its revision;

(4) Issue papers status;

(5) General introduction of the on-site validation;

(6) Action items;

(7) The list of the data to be provided by the applicant and the addresses for reception of the data;

(8) Focal points for the project;

(9) Post certificate arrangement;

(10) The draft of VTCDS;

(11) Any other issues deemed necessary by the certification team and the applicant.

3.6 Issue of Validation of Type Certificate

3.6.1 After receiving the compliance statement from the exporting authority and completing all the validation activities (including receiving all the data as required by Paragraph 3.5.7 and closing all the action items etc.), the certification team should develop the validation report and the draft of VTC/VTCDS or amended VTC within 10 working days and submits to CAAC.

3.6.2 Validation report should be submitted in the form of hard copy and electrical version and at least includes:

(1) General introduction of the validation (including the application, acceptance for the application, certification team backgrounds, and the date and location of the on-site validation);

(2) General introduction of the applicant;

(3) General introduction of the project (including the type design definition, features of the product and its system, service experiences and limitations etc.);

(4) General introduction of the type certification process conducted by the exporting authority (including the application date and approval date, certification basis, production approval and environmental approval etc.);

(5) Detailed description of the validation basis and it compliance status. The description includes:

(i) To justify for an acceptance or refusal of the special conditions, exemptions, equivalent safety findings and not-applicable rules which were established by the exporting authority;

(ii) To justify for the establishment of each requirement of additional technical conditions and its compliance status.

(6) Evaluation process of the significant review items and their compliance results;

(7) Action item status;

(8) The integrity of the data provided by the applicant;

(9) The conclusion of the compliance statement of the exporting authority;

(10) The conclusions and proposals for VTC or amended VTC issuance and the reason;

(11) Attachments, including:

(i) The draft of VTC/VTCDS or amended VTC;

(ii) TC/TCDS, environmental approval and production approval approved by the exporting authority;

(iii) Compliance statement of the exporting authority;

(iv) Validation meeting minutes;

(v) Issue papers on certification basis of the exporting authority (including applicable airworthiness standard, special conditions, equivalent level of safety, exemptions etc.);

(vi) Main parameters of the product to be validated;

(vii) Application form and the Notification of Acceptance.

3.6.3 Airworthiness division appointed by CAAC archives all the type validation data submitted by the applicant, and create the data inventory in the form of hard copy and electrical version and submit it to CAAC; CAAC archives the validation report and data inventory in the form of hard copy and electrical version.

3.6.4 CAAC reviews the draft of VTC/VTCDS and the validation report, and makes the decision whether or not VTC will be issued.

3.6.5 If yes, CAAC issues the VTC/VTCDS with signature.

3.6.6 If no, CAAC will inform the applicant in writing and provide the reasons, and inform the exporting authority in the manner concurred by CAAC and the exporting authority.

3.6.7 Validation of Type Certificate Data Sheet (refer to Attachment 5) is part of the Validation of Type Certificate, comprised of 5 parts including general, validation basis, technical characteristics, operating and service instructions, and notes.

3.6.8 Design Change Approval

(1) For VTC amendment, applicant should re-apply the validation according to this procedure;

(2) For VTCDS amendment, if the design change is major change, applicant should re-apply the validation according to this procedure; otherwise applicant can follow the (3) of this Paragraph;

(3) For changes other than that stated in (1) or (2), applicant can follow the agreement or arrangement between CAAC and the exporting

authority;

For VTC or VTCDS amendment, the series number of the certificate does not change, but the related contents will be amended.

3.6.9 VTC is not transferable.

4 Supplemental Type Validation Procedure

4.1 Applicability

4.1.1 For a product for which VTC has been issued by CAAC and whose design is changed according to an STC issued by the exporting authority, its design changes must be validated through the process as established in this section and obtain a Validation of Supplemental Type Certificate (VSTC) from the CAAC, before the product initially enters into PRC.

4.2 Application

4.2.1 An applicant for a VSTC should be a holder of STC or equivalent approval issued by the exporting authority.

4.2.2 An applicant shall submit a complete application form (see Attachment 1 for a sample of the application form AAC-021), together with attached data as required in the paragraph 4.2.4 of this section, to CAAC in the manner concurred by CAAC and the exporting authority.

4.2.3 The applicant should submit the VSTC application to CAAC as early as possible.

4.2.4 The following applicable data shall be attached to the application:

(1) Recommendation letter on the general description of the STC project written by the exporting authority to CAAC;

(2) The copy of STC or equivalent document Sheet issued by the exporting authority;

(3) Modification documents approved through STC (including Master Drawing List and related data);

(4) STC certification plan, including description of the type design changes, certification basis, substantiation document, compliance checklist etc.;

(5) Other necessary data required by CAAC.

4.2.5 An application for supplemental type certification of a transport category aircraft is effective for 5 years and an application for any other

supplemental type certificate is effective for 3 years from the date of application.

4.3 Acceptance for Application

Acceptance for VSTC application conforms to Section 3.3 of this procedure.

4.4 Validation Basis

The validation basis should be established with reference to Section 3.4 Validation Basis of VTC.

4.5 Supplemental Type Validation Process

This section specifies the key points and general methodologies of the validation process, but the certification team can make the necessary adjustment according to the product characteristics.

4.5.1 Responsibilities of the applicant

The applicant should finish following activities unique to the project:

(1) Contrasting the applicable airworthiness requirements of CCARs in effect at the date of the application with the certification basis of the exporting authority and find the compliance status with the differences in accordance with Paragraph 3.5.1 of this procedure;

(2) Arranging a familiarization briefing in accordance with Paragraph 3.5.2 of this procedure;

(3) Arranging a technical briefing in accordance with Paragraph 3.5.3 of this procedure;

(4) Assisting the certification team in flight test in accordance with Paragraph 3.5.6 of this procedure;

(5) Completing the substantiation activities in accordance with Paragraph 3.5.5 of this procedure;

(6) Submitting following data as required by the certification team:

(i) Master Drawing List (MDL) or equivalent documents;

(ii) Description and compliance data (e.g. drawings of alteration in the MDL, technical specifications, analyzing reports, ground test and flight test programs and reports, etc.);

(iii) Supplemental and revision content of the operation instructions of the product;

(iv) Supplemental and revision content of the continuous airworthiness documents;

(v) Final version of the validation compliance checklist;

(vi) PC or equivalent document and environmental approvals issued by the exporting authority;

(vii) Any other data deemed necessary by the certification team.

4.5.2 Responsibilities of the certification team

The certification team should finish following activities unique to the project:

(1) Establishing the validation basis in accordance with the principles specified in Section 4.4 by using the methods specified in Paragraph 3.5.9 of this procedure;

(2) Finishing the validation in accordance with Paragraph 3.5.10 of this procedure, and concerning the compatibility of the supplemental type design and the original existing modifications on the product.

4.5.3 Validation Meeting Minutes

The validation meeting minutes should be concluded with joint signature of both the applicant's and the team's sides at the end of the on-site validation. The meeting minutes at least include:

(1) Date, location and purpose of validation;

(2) Attendants list;

(3) General introduction of the project;

(4) Validation compliance checklist and its revision;

(5) Issue paper status;

(6) Significant review items;

(7) Action items;

(8) The list of the data to be provided by the applicant and the addresses for reception of the data.

4.6 Issue of Validation of Supplemental Type Certificate

4.6.1 After receiving the compliance statement from the exporting authority and completing all the validation activities (including receiving all the data as required by Paragraph 4.5.1 and closing all the action items etc.), the certification team should develop the validation report and the draft of VSTC or amended VSTC within 10 wording days and submits to CAAC.

4.6.2 Validation report should be submitted in the form of hard copy and electrical version and at least includes:

(1) General introduction of the validation (including the application, acceptance for the application, certification team backgrounds, and the date and location of the on-site validation);

(2) General introduction of the applicant;

(3) General introduction of the project (including the model to be

modified, the system to be modified, etc.);

(4) General introduction of the type certification process conducted by the exporting authority (including the application date and approval date, certification basis, production approval etc.);

(5) Detailed description of the validation basis and it compliance status. The description includes:

(i) To justify for an acceptance or refusal of the special conditions, exemptions, equivalent safety findings and not-applicable rules which were established by the exporting authority;

(ii) To justify for the establishment of each requirement of additional technical conditions and its compliance status.

(6) Evaluation process of the significant review items and their compliance results;

(7) Action item status;

(8) The integrity of the data provided by the applicant;

(9) The conclusion of the compliance statement of the exporting authority;

(10) The conclusions and proposals for VSTC or amended VSTC issuance and the reason;

(11) Attachments, including:

(i) The draft of VSTC or amended VSTC;

(ii) STC issued by the exporting authority;

(iii) Compliance statement of the exporting authority;

(iv) Validation meeting minutes;

(v) Issue papers on certification basis of the exporting authority (including applicable airworthiness standard, special conditions, equivalent level of safety, exemptions etc.);

(vi) Application form and the Notification of Acceptance.

4.6.3 Airworthiness division for which the validation team members work archives all the supplemental type validation data submitted by the applicant, and create the data inventory in the form of hard copy and electrical version and submit it to CAAC; CAAC archives the validation report and data inventory in the form of hard copy and electrical version.

4.6.4 CAAC reviews the draft of VSTC and the validation report, and makes the decision whether or not VTC will be issued.

4.6.5 If yes, CAAC issues the VSTC with signature.

4.6.6 If no, CAAC will inform the applicant in writing and provide the reasons, and inform the exporting authority in the manner concurred by CAAC and the exporting authority.

4.6.7 VSTC amendment

For VSTC amendment, the series number of the certificate does not change.

4.6.8 VSTC is not transferable.

5 Concurrent Supplemental Type Validation Procedure

5.1 Applicability

5.1.1 For a B-registered aircraft that is to be modified through a STC certification process (or an equivalent) of the exporting authority, its type design changes must be validated simultaneously through the process as established in this section and obtain a VSTC from CAAC.

5.1.2 For a non B-registered aircraft that is to be modified through a STC certification process (or an equivalent) of the exporting authority, its type design changes can be validated simultaneously through the process as established in this section and obtain a VSTC from CAAC after concurrence with CAAC, the applicant and the exporting authority.

5.2 Application

5.2.1 An applicant for a VSTC should be an applicant of STC or equivalent approval issued by the exporting authority.

5.2.2 An applicant shall submit a complete application form (see Attachment 1 for a sample of the application form AAC-021), together with attached data as required in the paragraph 5.2.3 of this section, to CAAC in the manner concurred by CAAC and the exporting authority. In addition, the exporting authority should request concurrence with the STC certification activities on B-registered aircraft from CAAC.

5.2.3 The following applicable data shall be attached to the application:

(1) General instruction of the project;

(2) Project schedule;

(3) Location of project implementation;

(4) Formal statement written by the aircraft operator, the statement should at least include: The operator has evaluated the safety risk for STC certification activities (including flight test), has the practices and abilities to ensure the safety and agrees that the applicant can use operator’s aircraft to conduct STC certification activities;

(5) Data related to STC certification submitted to the exporting

authority;

(6) STC certification plan of the exporting authority;

(7) Other necessary data required by CAAC.

5.2.4 An application for supplemental type certification of a transport category aircraft is effective for 5 years and an application for any other supplemental type certificate is effective for 3 years from the date of application.

5.3 Acceptance for Application

5.3.1 CAAC reviews the application data, and authorizes an airworthiness division to perform a preliminary review for the modification.

5.3.2 The applicant should submit the related data to assist authorized division in evaluating the complexity of the project, function hazard, safety and the feasibility of performing the modification on the corresponding aircraft (especially for the feasibility of the processing, ground test and flight test).

5.3.3 The authorized division should submit the preliminary review

report to CAAC, and provide the conclusion and proposals for acceptance.

5.3.4 CAAC will send a Notification of Acceptance for Application (see Attachment 3 for a sample of the notification form AAC-013) to the applicant when it is found that the application has met applicable requirements. CAAC will notify the applicant refusal of the application and give the reason by letter when it is found that application can not meet applicable requirements.

5.3.5 Once confirming the applicant's completion of the formalities required in the notification form, CAAC will establish a project certification team. The certification team is responsible for harmonizing the concurrent validation with the exporting authority and the applicant.

5.4 Validation Basis

The validation basis should be established in accordance with Section 4.4.

5.5 Concurrent Supplemental Type Validation Process

This section specifies the key points and general methodologies of the validation process, but the certification team can make the necessary adjustment according to the product characteristics.

5.5.1 Normally, current validation comprises 3 phases:

(1) Before modification, the certification team discusses with the exporting authority and the applicant to establish the validation basis and its means of compliance and pay attention to the ATCs;

(2) During modification, the certification team makes the finding of compliance;

(3) After modification, the certification team completes the validation activities based on STC issued by the exporting authority.

5.5.2 Responsibilities of the applicant

The applicant should finish all the activities as required by Paragraph 4.5.1 of this procedure. If flight test is needed, the applicant should show that safety of the flight test has been sufficiently evaluated, and provide the necessary technical support to operator to ensure the safety and feasibility of the flight test.

5.5.3 Responsibilities of the certification team

The certification team should finish all the activities as required by

Paragraph 4.5.2 of this procedure.

5.5.4 Validation Meeting Minutes

The validation meeting minutes should be concluded with joint signature of both the applicant's and the team's sides at the end of the on-site validation in accordance with Paragraph 4.5.3. All the action items and solutions should be concluded in the meeting minutes to facilitate the aircraft back into service.

5.6 Issue of Validation of Supplemental Type Certificate

After the exporting authority issuing the STC, concurrent validation should be completed in accordance with Section 4.6 of this procedure.

6 Validation Procedure for Materials, Parts and Appliances Design Approval

6.1 Applicability

6.1.1 For a priority important materials, parts and appliances of aircraft (hereafter referred to as TSO article) which will be imported to PRC separately for the first time , its design approval must be validated

through the process as established in this procedure and obtain a Validation of Design Approval from CAAC.

6.2 Application

6.2.1 An applicant for VDA should be a holder of Technical Standard Order Approval (TSOA) or equivalent document issued by the exporting authority.

6.2.2 An applicant shall submit a complete application form (see Attachment 2 for a sample of the application form AAC-020), together with attached data as required in the paragraph 6.2.4 of this section, to CAAC in the manner concurred by CAAC and the exporting authority.

6.2.3 In order that the VDA can be issued for the part by CAAC before the part imported to PRC for the first time, the applicant should submit the application as early as possible and keep contact with CAAC.

6.2.4 The following applicable data shall be attached to the application:

(1) The copy of the TSOA (including design change approval) or equivalent document issued by the exporting authority;

(2) A copy of the deviation item approval;

(3) Description of certification basis of the exporting authority;

(4) A list of data to show compliance with certification basis, including drawings, technical specifications, analysis report, the program and report of tests and flight tests etc.;

(5) Other necessary data required by CAAC.

6.2.5 An application for VDA is effective for 1 years from the date of application.

6.3 Acceptance for Application

6.3.1 CAAC will send a Notification of Acceptance for Application (see Attachment 3 for a sample of the notification form AAC-013) to the applicant when it is found that the application has met applicable requirements. CAAC will notify the applicant refusal of the application and give the reason by letter when it is found that application can not meet applicable requirements.

6.3.2 The applicant shall complete the formalities as required in the notification form after receiving it from CAAC, and discuss with CAAC validation plan.

6.3.3 Once confirming the applicant's completion of the formalities required in the notification form, CAAC will establish a project certification team (hereafter referred as certification team). The certification team will notify the designated department of the exporting authority time schedule of on-site validation in the manner concurred by CAAC and the exporting authority.

6.4 Validation Basis

CAAC validation basis will be established on the following principles:

(1) Certification basis of the exporting authority, including TSO standards, software standards, environmental test standards and deviation approval;

(2) Additional Technical Conditions, including:

(i) ATC based on specific installation requirements;

(ii) ATC based on specific performance requirements;

(iii) ATC based on specific operation and maintenance requirements;

(iv) ATC based on service experiences and mandatory airworthiness actions (e.g. Airworthiness Directives).

6.5 Design Approval Validation Process

This section specifies the key points and general methodologies of the validation process, but the certification team can make the necessary adjustment according to the project characteristics.

6.5.1 Technical Briefing

The applicant should arrange a familiarization briefing at the beginning of the on-site validation, and a technical briefing during the on-site validation:

(1) The design features and design changes (including requirements of its interface), the operation limitation and eligibility of the part;

(2) Certification basis as established by the exporting authority for the part, which may include performance standards, the certification standards of software, the environmental testing standards and guidance materials, etc;

(3) Details of deviation items approval;

(4) The related service history, corrective measures to preclude incidents or accidents, and mandatory airworthiness actions (e.g. Airworthiness Directives);

(5) All conditions of analysis, computations, tests and flight tests (e.g. reports of a variety of analysis, tests and flight tests program and the

reports, software documents, drawings, specifications, etc.);

(6) System for collecting, investigating and analyzing the data of incidents/accidents;

(7) Data of the installation, performance, operation and maintenance of the part;

(8) Information on showing the compliance with the ATC of CAAC;

(9) Any other necessary information and data required by the project team.

6.5.2 Key Aspects of Substantiation Process

The applicant must show the compliance with the validation basis.

(1) It is acceptable for the applicant to directly use substantiating data accepted by the exporting authority for showing compliance with the provisions of the validation basis which are covered by the certification basis of the exporting authority, if the certification team agrees;

(2) For each ATC, the applicant should show compliance with ATC and record the compliance status in the compliance checklist.

6.5.3 Data Submittal

The following applicable data should be submitted to the certification team in Chinese and/or English in the form of hard copy and electrical version:

(1) Validation compliance checklist;

(2) Certification basis of the exporting authority;

(3) Data for showing compliance with ATC;

(4) Data for showing compliance with the certification basis of the exporting authority such as analysis report, program and report of the performance test, environmental test and flight test, software documents etc.;

(5) Technical specification, installation, operation and maintenance data;

(6) Airworthiness directives for the part;

(7) CAAC approved design definition document;

(8) Any other data deemed necessary by the certification team.

6.5.4 Validation Basis Establishment

The validation basis of the project will be established by CAAC as follows:

(1) Familiarize the related information specified in the Paragraph 6.5.1 (Technical Briefing);

(2) Evaluate the certification requirements and deviation approvals of the exporting authority, and the deviation approval not affecting the ATCs can be accepted;

(3) Establish the Additional Technical Conditions (ATCs) and their

means of compliance through issue paper in accordance with the Section 6.4 and inform the exporting authority in the manner concurred by CAAC and the exporting authority. At the same time, the certification team requests the exporting authority to make the findings of compliance with the ATC in the validation basis on behalf of CAAC and provide the compliance statement.

(4) ATCs and their means of compliance should be recorded in the compliance checklist.

6.5.5 Validation Process

(1) Means of Compliance:

(i) For the provisions of the validation basis which are covered by the certification requirements of the exporting authority, the certification team should verify and review the means of compliance for essential and significant structure and function, for example, guidance and explanatory documents;

(ii) For each ATC, the certification team should review and establish the means of compliance and discuss with the exporting authority and the applicant if necessary;

(2) The certification team should define the significant review items, pay attention on their compliance results. The significant review items include: review items related to ATCs, essential and significant structure

and function of the parts and review item defined by the certification team.

6.5.6 Validation Meeting Minutes

The validation meeting minutes should be concluded with joint signature of both the applicant's and the team's sides at the end of the on-site validation and inform to the exporting authority in the manner concurred by CAAC and the exporting authority. The meeting minutes at least include:

(1) Date, location and purpose of validation;

(2) Attendants list;

(3) General introduction of the project;

(4) Validation compliance checklist and its revision;

(5) Significant review items;

(6) The list of the data to be provided by the applicant and the addresses for reception of the data;

(7) Action items.

6.6 Issue of Validation of Design Approval

6.6.1 After receiving the compliance statement from the exporting authority and completing all the validation activities (including receiving

all the data as required by Paragraph 6.5.3 and closing all the action items etc.), the certification team should develop the validation report and the draft of VDA within 10 wording days and submits to CAAC.

6.6.2 Validation report should be submitted in the form of hard copy and electrical version and at least includes:

(1) General introduction of the validation (including the application, acceptance for the application, certification team backgrounds, and the date and location of the on-site validation);

(2) General introduction of the applicant;

(3) Design features of the part submitted to CAAC approval (such as the introduction of the function, design feature, design status, installation limitation and service experiences);

(4) Detailed description of the validation basis and it compliance status. The description includes:

(i) To justify for an acceptance or refusal of the certification requirements and deviation approvals of the exporting authority;

(ii) To justify for the establishment of each requirement of additional technical conditions and its compliance status.

(5) Evaluation process of the significant review items and their compliance results;

(6) Action item status;

(7) The integrity of the data provided by the applicant;

(8) The conclusion of the compliance statement of the exporting authority;

(9) The conclusions and proposals for VTC or amended VTC issuance and the reason;

(10) Attachments, including: The draft of VDA, TSOA approved by the exporting authority and compliance statement of the exporting authority, and validation meeting minutes, definition document of the part and the list of the significant review items.

6.6.3 Airworthiness division for which the validation team members work archives all the validation data submitted by the applicant, and create the data inventory in the form of hard copy and electrical version and submit it to CAAC; CAAC archives the validation report and data inventory in the form of hard copy and electrical version.

6.6.4 CAAC reviews the draft of VDA and the validation report, and makes the decision whether or not VDA will be issued.

6.6.5 If yes, CAAC issues the VDA with signature.

6.6.6 If no, CAAC will inform the applicant in writing and provide the

reasons, and inform the exporting authority in the manner concurred by CAAC and the exporting authority.

6.6.7 VDA is not transferable.

6.6.8 Installation Approval

A VDA is the validation of design approval of part, but the installation approval is not included. A part which has obtained a VDA could be installed on aircraft only after the corresponding installation approval (e.g. VSTC) has been obtained in accordance with the requirements of CAAC.

7 Post Certificate Activities

7.1 Responsibilities of Holder

(1) The holder of a VTC, VSTC or VDA shall take responsibility for the continued airworthiness of its products or parts.

(2) The holder should ensure that each product or part imported to PRC should conform to the design approved by CAAC, and provide the continuous airworthiness documents.

(3) If the service history shows that the defects of the design, manufacturing or maintenance of its products or parts have caused unsafe

conditions and service difficulties, the holder of the certificate or approval should cooperate with CAAC in investigation and taking corrective measures according to the requirement of the airworthiness agreement or memorandum signed between PRC and the exporting country.

7.2 Design Change Approval

7.2.1 Design change approval should be conducted by following procedure except that other arrangement specified in bilateral agreement.

7.2.2 Design changes affecting VTC/VTCDS

For design change affecting VTC or VTCDS amendment, VTC or VTCDS amendment application should be re-applied according to this procedure.

7.2.3 Other design changes

If there are any signed arrangements on post certificate activities between CAAC and the holder, other design change approval should conform to the arrangements; if there is no signed arrangement on post certificate activities, these type design changes will normally be approved by CAAC on the basis of the exporting authority approval.

8 Airworthiness Support Activities

8.1 Flight Manual Approval

The flight manual for each aircraft to be delivered to PRC will be in accordance to the CAAC approved type design, and will be approved by the exporting authority on behalf of the CAAC according to the Technical Arrangement specified in Section 2.2, except that other arrangement specified in bilateral agreement.

8.2 Flight Manual Supplemental Approval

The flight manual supplemental for each aircraft to be delivered to PRC will be in accordance to the CAAC approved type design change or supplemental type design, and will be approved by the exporting authority on behalf of the CAAC according to the Technical Arrangement specified in Section 2.2, except that other arrangement specified in bilateral agreement.

8.3 Responsibilities of the Exporting Authority and CAAC

(1) For any imported products/parts approved or accepted in accordance with bilateral agreement, CAAC and the exporting authority should cooperate each other followed by the arrangement specified in the bilateral agreement to resolve the safety issues and service difficulties

during the operation.

(2) The exporting authority of civil aviation products/parts shall transfer all the mandatory continued airworthiness information which is necessary for continued airworthiness and safe operation of the aircraft to CAAC. Meanwhile, CAAC shall transfer all the mandatory continued airworthiness information of the imported civil aviation products and parts to the exporting authority.

9 Supplementary Provision

This procedure shall be interpreted by Aircraft Airworthiness Certification Department of CAAC.

Attachment 1 Application Form for VTC/VSTC

中 国 民 用 航 空 总 局

GENERAL ADMINSTRATION OF CIVIL AVIATION OF CHINA

民用航空产品型号认可申请书

APPLICATION FOR VALIDATION OF TYPE CERTIFICATES OF IMPORTED CIVIL AVIATION PRODUCT

1. Name of applicant _____

2. Address of applicant

_____

3. Purpose of this application:

☐ Validation of Type Certificate ☐ Validation of Supplemental type certificate

☐ Validation of TC (concurrent) ☐ Validation of STC (concurrent)

4. For Validation of type certificate, complete the following items:

Model designation applied for

_____

Attachments (Note: Please check Par. 3.2.5 of AP-21-01R2 for details, and then fill in the appropriate ☐ with X):

☐ Description of design feature and basic data

☐ A copy of Type Certificate issued by the exporting authority

☐ A copy of TC Data Sheet issued by the exporting authority

☐ A copy of each Issue Paper established by the exporting authority

☐ A copy of Compliance Check List or equivalent

☐ Available information on China market potential and the schedule for the first delivery

☐ Any other necessary data required by the CAAC

AAC-021 (0x/2002) （见背面 See REVERSE SIDE）

Application for Validation of Type Certificates of Imported Civil Aviation Product (Cont.)

5. For supplemental type certificate complete the following items:

Model designation of product to be modified

_____

Description of type design change

_____

Aircraft register number and/or production series number

_____

Attachments (Note: Please check Par. 4.2.4 of AP-21-01R2 for details, and then fill in the appropriate ☐ with X):

☐ Description of the modification design feature and basic data

☐ A copy of Supplemental Type Certificate issued by the exporting authority

☐ A copy of certification basis of the exporting authority for the STC

☐ A copy of each Issue Paper established by the exporting authority

☐ A copy of Compliance check List or equivalent

☐ The schedule for the first delivery to China

☐ Other data required in Par. 5.2.4 of AP-21-01 when applicable

6. The point of the contact:

Name _____ Tel. _____

Title _____ Fax. _____

E-mail _____ ZIP _____

7. I certify that the statement of this application and attachments furnished herein are correct and without any error.

Title

_____

(signature) Date

AAC-021(0x/2002) （背面 REVERSE SIDE）

Attachment 2 Application Form for VDA

中 国 民 用 航 空 总 局

GENERAL ADMINSTRATION OF CIVIL AVIATION OF CHINA

设计批准认可申请书

APPLICATION FOR VALIDATION OF PART DESIGN APPROVAL

1. Name of applicant _____

2. Address of applicant

_____

3. TSO Part's Name, Model and P/N to be applied for

_____

4. Proposed Installation on

_____

5. Attachments (Note: Please check Par. 6.2.4 of AP-21-01R2 for details, and then fill in the appropriate ☐ with X):

- ☐ A copy of part design and production approval issued by the exporting authority
- ☐ A copy of any derivation approval granted by the exporting authority
- ☐ A copy of certification requirements as established by the exporting authority
- ☐ A list of data, such as specifications, test and analysis reports, installation manuals etc.
- ☐ Any other necessary data required by the CAAC

6. The point of the contact:

Name _____ E-mail _____

Title _____ Tel. _____ Fax. _____

7. I certify that the statement of this application and attachments furnished herein are correct and without any error.

Title

_____

(signature) Date

AAC-020 (0X/2002)

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Attachment 3 Notification of Acceptance for Application

中 国 民 用 航 空 总 局

GENERAL ADMINSTRATION OF CIVIL AVIATION OF CHINA

受 理 申 请 通 知 书

NOTIFICATION OF ACCEPTANCE FOR APPLICATION

Project No. Date:

1. 申请单位名称 Name of applicant _____
2. 申请理由 Purpose of application _____
3. 申请日期 Date for application _____
4. 受理项目 Accepted items _____

_____

5. 出口国适航当局颁发的证件编号/项目号（对于同步认可申请）
   Certificate Number issued by the exporting authority/Project Number (for concurrent validation certification)

_____

6. 审查费 Airworthiness examination fee (including international and domestic air ticket):

USD _____ Payment to:

Beneficiary Bank: China Construction Bank
Beijing Branch
SWIFT Code: PCBCCNBJBJX

Beneficiary Name/Address: CAAC Settlement Center
D-16-19 Tower Landscape
Chao Wai Da Jie Ji Qing Li,
Chaoyang District
Beijing 100020 P.R.China

Beneficiary A/C No.: 11001007400059555555

职务 Title：

部门 Dep.:

_____

（受理人签字 Signature）

AAC-013 (08/2002) （见背面 See REVERSE SIDE）

受理申请通知书 NOTIFICATION OF ACCEPTANCE FOR APPLICATION

INFORMATION FOR APPLICANTS

Each applicant is kindly requested to provide to the Aircraft Airworthiness Certification Department of the CAAC, by fax (Fax No.:), the payment ticket/evidence and the following reply, after making the payment as specified herein. This Notification of Acceptance for Application is valid for years from the date of application.

REPLY FORM

Project No. (assigned)	
Payment Ticket No. (Intermediary Bank)	
Point of Contact	
e-mail Address	
Fax No. / Tel No.	/
Remark: Date:	

Attachment 4 Validation of Type Certificate

中 国 民 用 航 空 总 局

GENERAL ADMINISTRATION OF CIVIL AVIATION OF CHINA

型 号 认 可 证

VALIDATION OF TYPE CERTIFICATE

编号/No. _____

本型号认可证颁发给/*This Validation of Type Certificate is issued to*

产品名称/*Product:* _____ 型号/*Model:* _____

经中国民用航空总局审查后确认，上述民用航空产品的设计符合中国民用航空规章的有关规定。中国民用航空总局对由_____颁发的第_____号型号合格证/型号批准书给予认可，后附的该型号认可证数据单为_____。

This is to certify that the design of above civil aeronautical product meets applicable China Civil Aviation Regulations. General Administration of Civil Aviation of China validates the Type Certificate/Type Approval No. _____ issued by _____. The validation Data Sheet No. _____ is attached.

局长授权

For the Minister of CAAC:

签字/*Signature* _____

职务/*Title* _____

部门/*Department* _____

日期/*Date* _____

AAC-019 (0x/2002)

Attachment 5 Validation of Type Certificate Data Sheet

编号/No： VTC069A
版次/Revision： 0
型号/Type：
MF50
MF900
F900EX

批准人/Approved By:

日期/Date：

型号认可证数据单

THE VALIDATION DATA SHEET

本数据单是型号认可证(编号：VTC)的组成部分，它规定了符合中国民用航空总局的适航要求所颁发此型号认可证的产品的状态和限制。

This data sheet，which is part of Validation of Type Certificate (No: VTC)，prescribes condition and limitation under which the product for which the type certificate was issued meets the airworthiness requirements of the Chinese Civil Aviation Regulation.

型号认可证持有人/Validation of Type Certificate Holder：

有效页清单/List of effective pages :

页数/ Pages	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
版次/Revision	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
页数/ Pages	16	17	18	19	20	21	22	23	24	25	26	27	28	29	
版次/Revision	0	0	0	0	0	0	0	0	0	0	0	0	0	0	

第 1 部分　概述（所有机型）

SECTION 1　GENERAL (ALL MODELS)

1. **CAAC 认可数据单和型号合格证数据单**
   CAAC Validation Data Sheet and Type Certificate Data Sheet

	中国民用航空总局认可数据单号、版次和颁发日期 **CAAC Validation Data Sheet Number, Revision and issuance date**	**型号合格证数据单号、版次和颁发日期** **Type Certificate Data Sheet Number, Revision and issuance date**
当前 **Current**		
历史 **History**		

2. **类别/Airworthiness Category:** Transport Airplanes

3. **认可当局/Validation Authority:** **CAAC**
   审定当局/Certifying Authority:

4. **型号合格证持有人/Type Certificate Holder**: **ABC Corporation**
   Aviation Road， California
   10000 USA

6. **ETOPS:** Not applicable

7. **CAAC Special Requirements:**

交付到中国的每一 AAA 航空器须满足下述特殊要求：
Each of AAA aircraft delivered to China shall meet the following special requirements:

(1) 必须满足中国民用航空总局的运行要求（例如标记标牌的中文要求）。The operational requirements of CAAC must be met (e.g. Chinese language requirements for markings and placards).

(2) 燃油符合“中国国标 3 号燃油－GB6537-94”的规范。Fuel conforming to Specification “PRC National Standard No.3 Jet Fuel -- GB6537-94”

(3) 在每一航空器上必须安装快速存储器（QAR）（参照中国适航指令 CAD-97-MULT-38）。Quick Access Recorder (QAR) must be installed on each aircraft (reference to CAD97-MULT-38).

第 2 部分
SECTION 2

（参照出口国适航当局颁发的型号合格证数据单。）

Attachment 6 Validation of Supplemental Type Certificate

中 国 民 用 航 空 总 局

GENERAL ADMINISTRATION OF CIVIL AVIATION OF CHINA

补 充 型 号 认 可 证

VALIDATION OF SUPPLEMENTAL TYPE CERTIFICATE

编号/No. _____

本证颁发给/*This Certificate is issued to*

适用机型/*Applicable Aircraft Model:*

叙述/*Description:*

使用限制/*Limitation:*

经中国民用航空总局审查确认，上述民用航空产品的设计更改符合中国民用航空规章的有关规定。中国民用航空总局对由_____颁发的第_____号补充型号合格证。

This is to certify that the design change of above civil aeronautical product meets applicable China Civil Aviation Regulations. General Administration of Civil Aviation of China validates the Supplemental Type Certificate No. _____ issued by _____.

局长授权
For the Minister of CAAC:

签字/*Signature* _____

职务/*Title* _____

部门/*Department* _____

日期/*Date* _____

AAC-156 (0x/2002)

Attachment 7 Validation of Design Approval

中 国 民 用 航 空 总 局

GENERAL ADMINISTRATION OF CIVIL AVIATION OF CHINA

材 料 零 部 件 机 载 设 备

MATERIAL PARTS APPLIANCE

设 计 批 准 认 可 证

VALIDATION OF DESIGN APPROVAL

编号/No. _____

本设计批准认可证发给_____。
经中国民用航空总局审查后确认，下述零部件的设计符合_____。
中国民用航空总局对由_____批准的下述零部件设计予以认可。

This Validation of Design Approval is issued to _____.
This is to certify that the type design of items listed below comply with

General Administration of Civil Aviation of China validates the relevant design approval issued by

_____.

产品名称 *Parts*	型(件)号 *Model orP/N(Model)*	备注 *Remarks*

This approval does not constitute an installation approval for each of the parts as specified herein. The installer must obtain installation approval for use on a China-registered aircraft.

局长授权
For the Minister of CAAC:

签字/*Signature* _____

职务/*Title* _____

部门/*Department* _____

日期/*Date* _____

AAC-007 (01/2002)

中 国 民 用 航 空 总 局

GENERAL ADMINISTRATION OF CIVIL AVIATION OF CHINA

附 件 / *Appendix*

VALIDATION OF DESIGN APPROVAL

本附件_____是_____的一部分。

This appendix_____is a part of_____.

局长授权

For the Minister of CAAC:

签字/*Signature*_____

职务/*Title*_____

部门/*Department*_____

日期/*Date*_____

Attachment 8 Technical Arrangement

Technical arrangement on
[ABC Aircraft Corporation] product certification

between

The General Administration of Civil Aviation of China
(CAAC)

and

[The Exporting Authority]

1. PURPOSE

This Technical Arrangement defines the working relationship between [THE EXPORTING AUTHORITY] and the General Administration of Civil Aviation of China (CAAC) hereafter called the "Authorities", to facilitate and accomplish the CAAC type validation of the [ABC Aircraft Corporation] aircraft models XXX, and of subsequent type design changes as well as to define the declaration of compliance for Export and continued airworthiness activities.

2. OBJECTIVES

This Technical Arrangement is intended to accomplish the following objectives:

2.1 To define the working procedures under the respective responsibilities of each Authority:

a) for the type validation process; and

b) for subsequent post type validation activities.

c) for the acceptance of new and used products produced by the manufacturer as mentioned in the CAAC validation data sheet and for which the CAAC has issued the Validation of Type Certificate.

d) validation of Supplemental Type Certificates approved by [THE EXPORTING AUTHORITY].

e) for parts and appliances for these products.

2.2 To minimize redundant inspections, tests, demonstration, evaluations, and approvals.

3. SCOPE

This Technical Arrangement covers under the provisions set forth in the following paragraphs:

a) the Model XX1 ([THE EXPORTING AUTHORITY] TCDS equivalent to [THE EXPORTING AUTHORITY] TCDS XX1);

b) the Model XX2 ([THE EXPORTING AUTHORITY] TCDS equivalent to [THE EXPORTING AUTHORITY] TCDS XX2);

c) the Model XX3 (TCDS [THE EXPORTING AUTHORITY] equivalent to [THE EXPORTING AUTHORITY] TCDS XX3)

4. REQUIREMENTS AND BASIS

The requirement for this Technical Arrangement results from paragraphs 2.1.4 and 2.4.1 of CAAC AP-21-01R1 dated January 2000

(English version), Validation Procedures for Import of Civil Aviation Products and Parts.

5. COMMUNICATION

5.1 The Aircraft Airworthiness Certification Department (CAAC-AAD) of CAAC and [THE EXPORTING AUTHORITY] Certification Directorate as Aircraft Certification Authority will be responsible for the implementation of this Technical Arrangement.

5.2 A project manager will be assigned by each Authority to facilitate the implementation of this Technical Arrangement. All routine communication related to the activities of this Technical Arrangement will formally take place between these two project managers. (See Appendix 1 for contact listing).

5.3 The applicant will be the primary source for providing the technical support to CAAC-AAD. When requested, [THE EXPORTING AUTHORITY] will provide the necessary assistance and support within its regulatory functions, which will be initiated through and coordinated by the designated project managers of the respective Authority.

5.4 All communications between CAAC and [THE EXPORTING AUTHORITY] related to the activities of this Technical Arrangement will be made in the English language.

5.5 Unless otherwise specified, [THE EXPORTING AUTHORITY] shall be copied with all correspondence between the applicant and CAAC related to the activities of this Technical Arrangement in order for [THE EXPORTING AUTHORITY] to support the applicant and CAAC in the future.

6. TYPE VALIDATION ACTIVITES

6.1 General

a) The applicant is responsible for showing and verifying the compliance with the CAAC certification basis and for demonstrating this compliance to both Authorities. Subject to paragraph 6.2(c)(ii), any compliance documents provided to CAAC shall be approved by [THE EXPORTING AUTHORITY].

b) The CAAC type validation of affected products as listed above must be accomplished in respect of all laws and regulation governing

both Authorities.

6.2 Certification basis

a) The certification bases for the aircraft models are the following:

i) For [THE EXPORTING AUTHORITY]:

As defined in Type Certificate Data Sheets (TCDS) at the latest applicable issue, and

ii) For CAAC:

The CAAC have accepted the [THE EXPORTING AUTHORITY] certification basis for the aircraft models, with additional requirements as established by comparison with CCAR 25-R3. These additional requirements to the [THE EXPORTING AUTHORITY] certification basis are referred to as “Additional Technical Conditions (ATC)”.

b) CAAC will notify in writing both [THE EXPORTING AUTHORITY] and the applicant of any ATC necessary for the CAAC type validation.

c) [THE EXPORTING AUTHORITY] will review the ATC to ensure its understanding thereof. As necessary, CAAC will provide [THE EXPORTING AUTHORITY] in writing with any interpretative material

or any data regarding the means of compliance pertaining to those ATC.

i) [THE EXPORTING AUTHORITY], upon request from CAAC, will initiate the process of finding compliance referred to in paragraph 6.4 once the necessary understanding of the particular CAAC ATC has been acquired.

ii) CAAC will perform its own findings of compliance on ATC for which [THE EXPORTING AUTHORITY] has not acquired sufficient understanding.

6.3 Process of finding compliance

For the CAAC type validation activities, CAAC will define its involvement taking into account paragraph 2.2 of this Technical Arrangement.

6.4 Process of finding compliance to the ATC

Provided that CAAC has not already made findings of compliance with its own ATC according to paragraph 6.2(c)(ii), [THE EXPORTING AUTHORITY], upon request, will make the findings of compliance with the ATC on behalf of CAAC. [THE EXPORTING AUTHORITY] will make the findings of compliance in accordance with the interpretative

material and the means of compliance provided by CAAC. In the absence of such interpretative material, [THE EXPORTING AUTHORITY] will use its own interpretation for the specific ATC.

6.5 Formalization of the findings of compliance

a) For the purpose of finding compliance with the CAAC certification basis, CAAC may raise Issue Papers (IP) and Action Items (AI).

b) An IP is normally opened to document the ATC (one IP per ATC):

i) to document any controversial technical issue; and

ii) to document differences in interpretative material of the means of compliance.

c) AI are normally opened to record any non-controversial action to be performed by [ABC Aircraft Corporation].

d) CAAC will notify [THE EXPORTING AUTHORITY] and applicant of the status of each IP. All IP and AI must be closed before the issuance of the CAAC type certificate.

6.6 Final statement

At the end of the process [THE EXPORTING AUTHORITY] will provide, a formal statement attesting that [THE EXPORTING AUTHORITY] has found compliance with CAAC certification basis. The CAAC approved type design will be identified in a CAAC VTCDS to be produced the applicant and to be approved by [THE EXPORTING AUTHORITY].

7. POST TYPE VALIDATION ACTIVITIES

7.1 Design change approval

a) Upon request, [THE EXPORTING AUTHORITY] will verify that design changes affecting the [THE EXPORTING AUTHORITY] type design which have been introduced after CAAC type validation an embodied on products to be delivered to China, comply with the CAAC certification basis using the Information gained during the type validation activities (see paragraph 6 above). If the change is approved via a Supplemental Type Certificate (STC), it will be validated by CAAC who will notify its approval.

b) Prior to each product delivery, a formal statement of compliance with the CAAC certification basis will be provided by [THE EXPORTING AUTHORITY] to CAAC for major design changes. These type design changes will normally be approved by CAAC on the basis of the [THE EXPORTING AUTHORITY] statement of compliance without technical validation. However, CAAC reserves the right to make a technical validation on those design changes that affect the CAAC Validation Data Sheet and will inform [ABC Aircraft Corporation] and [THE EXPORTING AUTHORITY] accordingly. For these changes, CAAC will notify [THE EXPORTING AUTHORITY] and [ABC Aircraft Corporation] of their approval.

c) The statement of compliance in b) above is considered sufficient to cover other changes, which are not considered as significantly affecting the approved type design.

8. AIRWORTHINESS SUPPORT ACTIVITES

8.1 Individual product deliveries

a) For each airplane to be delivered to China, [THE EXPORTING AUTHORITY] will issue an [THE EXPORTING AUTHORITY]

declaration of compliance for Export, based on the individual [THE EXPORTING AUTHORITY] Form X1 issued in accordance with the PAH/POA granted by [THE EXPORTING AUTHORITY] under [Regulation], stating that the airplane complies with the CAAC approved type design and CAAC special requirements which are identified in VTDS.

b) Each part and appliance will be delivered to China with an individual [THE EXPORTING AUTHORITY] Form X2, issued in accordance with the PHA/POA granted by [THE EXPORTING AUTHORITY] under [Regulation], stating that the part and appliance complies with the CAAC approved type design and is in a condition for safe operation, with note in Block 13 of [THE EXPORTING AUTHORITY] Form X2 that the part and appliance is eligible for Export to China.

c) An Airplane Flight Manual (AFM) in the English language will be provided for each aircraft to be delivered to China. The AFM will be in accordance to the CAAC approved type design, and will be approved by [THE EXPORTING AUTHORITY] on behalf of the CAAC.

8.2 Continued Airworthiness

a) In accordance with ICAO Annex 8, [THE EXPORTING AUTHORITY] will promptly inform CAAC of all mandatory airworthiness modifications, special inspections, special operating limitations or other actions necessary for maintaining the continuing airworthiness of the products.

b) CAAC will promptly notify [THE EXPORTING AUTHORITY] and [ABC Aircraft Corporation] of any unsafe condition associated with the design, manufacturing or maintenance of the products that are in service in China.

c) [THE EXPORTING AUTHORITY] will notify CAAC, where appropriate, of any action it deems necessary to correct any unsafe coition. In the type design that may be discovered after the type validation, including any actions in respect of components designed or manufactured by a supplier under contract to [ABC Aircraft Corporation].

d) [THE EXPORTING AUTHORITY], upon request, will assist CAAC in establishing procedures deemed necessary by CAAC for maintaining the continuing airworthiness of aircraft models.

9. ENTRY INTO FORCE

This Technical Arrangement shall enter into force at the date of signature by the Authorities.

10. DURATION AND TERMINATION

Either Authority may at any time give written notice to other Authority of its decision to terminate this Technical Arrangement. This Technical Arrangement shall terminate twelve months following the date of receipt of the notice by the other Authority, unless the said notice of termination has been withdrawn by mutual agreement before the expire of this period.

11. AUTHORITIES

The Authorities agree to the provisions of this Technical Arrangement as indicated by the signature of their authorized representatives or executive agents.

Signed in …… on …… on behalf of:

([THE EXPORTING AUTHORITY])

Signed in ……. on ……. on behalf of:

General Administration of Civil Aviation of China (CAAC)

Aircraft Airworthiness Certification Department

APPENDIX 1

POINTS OF CONTACT

FOR [THE EXPORTING AUTHORITY]	**FOR CAAC**
Certification Directorate [Address]	Aircraft Airworthiness Department 155 Dongsi Street West Beijing 100710 Peoples Republic of China
Project Manager Mr. A [title]	Project Manager Mr. B [title]
Phone: Fax: Email:	Phone: Fax: Email: