



# AVIATION PROCEDURE

The Aircraft Airworthiness Certification Department

Of Civil Aviation Administration of China

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## **The Procedure for Developing and Revising of Regulatory Documents**

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# **The Procedure for Developing and Revising of Regulatory Documents**

## **1. General**

### **1.1 Purpose**

In order to enhance management of regulatory documents, this procedure is established to standardize procedures for developing, revising and repealing regulatory documents and their formats, which are related to the responsibilities of Aircraft Airworthiness Department of CAAC.

### **1.2 Reference Documents**

This procedure is developed in accordance with 《Rules for Developing Regulatory Documents of CAAC Functional Departments Procedures》 (CCAR-12LR-R1).

### **1.3 Cancellation**

From JUN 12, 2010, 《Procedures for Development and Revision of Airworthiness Regulations and Regulatory documents》 (AP-01-02R1) , dated April 6, 1994, is cancelled.

### **1.4 Related Documents**

- (1) 《Rules for CAAC Rulemaking Procedures》 (CCAR-11LR-R2).

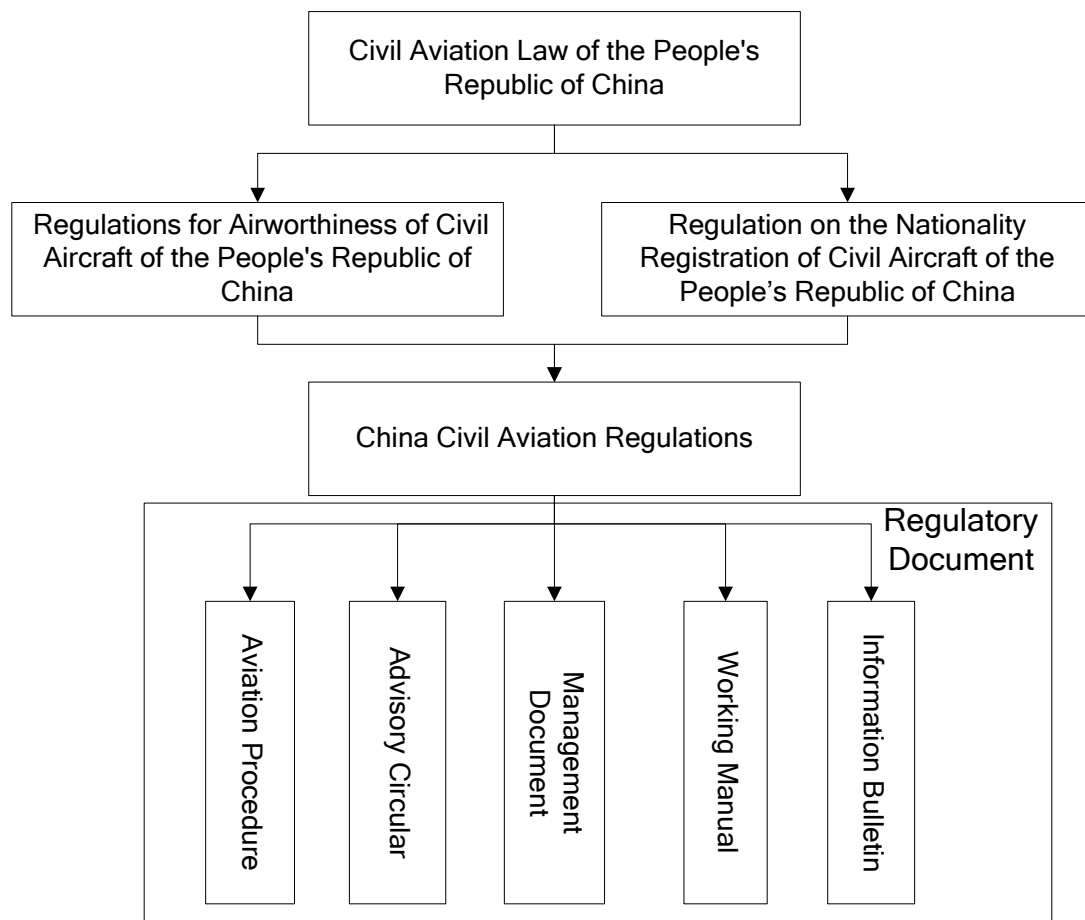
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## 1.5 Applicability

This procedure is applicable to Aircraft Airworthiness Department of CAAC developing or revising regulatory documents under its responsibility from JUN 12, 2010. The person who develop or revise regulatory documents must follow the provisions of this procedure.

## 2. Definition

### 2.1 Airworthiness Document System



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## **2.2 Airworthiness Department**

It means the Aircraft Airworthiness Department of Civil Aviation Administration of China (herein after referred to as AAD), the Airworthiness Certification Divisions of Regional Administration of CAAC, the Aircraft Airworthiness Certification Centers of CAAC, the Airworthiness Division of Aviation Safety Technology Center of CAAC, the Civil Aircraft Airworthiness Certification and Management Research Center.

## **2.3 Regulatory documents**

It means civil aviation management related documents developed by the offices, bureau and departments (herein after referred to as Functional Department) of Civil Aviation Administration of China (herein after referred to as CAAC) within their responsibilities for the purpose of fulfilling applicable laws, rules, CAAC regulations and policies, and issued after approval of director general or heads of functional departments with authorization by the administrator of CAAC.

It includes Aviation Procedure, Advisory Circular, Management Document, Working Manual, and Information Bulletin.

## **2.4 Aviation Procedure (AP)**

AP, which is issued by functional departments of CAAC, is the

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implementation method or detailed management procedure related to civil aviation regulations, and is action rules obeyed by the civil aviation department staffs who engaging in management activities and by legal persons as well as other economy organizations or persons who engaging in civil aviation activities.

### **2.5 Advisory Circular (AC)**

AC, which is issued by functional departments of CAAC, is detailed explanation for clauses of civil aviation regulations.

### **2.6 Management Document (MD)**

MD, which is issued by functional departments of CAAC, is notices, decisions and policy explanations for important aspects of civil aviation management activities.

### **2.7 Working Manual (WM)**

WM, which is issued by the functional departments of CAAC, is to standardize and guide detailed behaviors of civil aviation department staffs.

### **2.8 Information Bulletin (IB)**

IB, which is issued by the functional departments of CAAC, is to reflect new situations that happened in the civil aviation activities and

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report technical problems occurred on civil aviation.

## **2.9 Form**

It is documents developed by airworthiness department and used to record various data of airworthiness management activities by sorting and ordering, like applications and certificates, etc.

## **2.10 Responsible Department for Researching Regulatory Documents**

It is airworthiness department, who takes charge of the continuous researching and routine management of some regulatory documents according to authorization by AAD.

## **3. Procedure for Developing and Revising Regulatory Documents**

### **3.1 General Requirements for Developing and Revising Regulatory Documents**

3.1.1 Regulatory documents are developed under responsibilities of AAD to carry out laws, rules, CAAC regulations and policies and approved by the director general of AAD.

3.1.2 Regulatory documents must comply with laws, rules and CAAC regulations, and must not conflict with laws, rules and CAAC regulations.

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The terms and glossaries must be consistent with laws, rules and CAAC regulations in effect.

3.1.3 Regulatory documents shall be with precise frame, integrated content, standardized format, clear order, exact words and brief text.

3.1.4 Regulatory documents developing is a frequently basic work for airworthiness management, and an annually plan should be sketched out for regulatory documents developing.

3.1.5 Opinions and advices for revising regulatory documents should be collected, whether the opinions and advices are taken or not, clear responses are required.

3.1.6 Airworthiness department should annually issue an IB to public, which includes names, numbers, and dates issued or revised for regulatory documents developed or revised.

3.1.7 Airworthiness department should evaluate the APs and WMs issued in every three years and determine whether to revise or not.

3.1.8 When new forms developed or current forms revised, a new form number should be applied for, and new or revised forms should be approved by AAD and send to AAD for file. A sample of form should be included in regulatory documents as appendix.

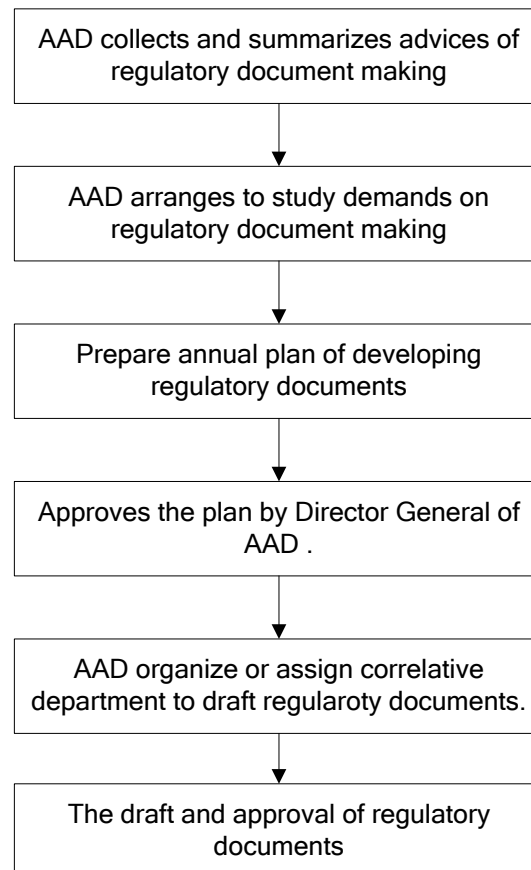


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## 3.2 Procedure for developing, revising and canceling regulatory documents

### 3.2.1 Application for developing regulatory documents

#### 3.2.1.1 Application flow chart for developing regulatory documents



#### 3.2.1.2 AAD collects suggestions for developing regulatory documents by the followings:

(1) All companies and persons can give their own opinions to the AAD about developing, revising and canceling regulatory documents.

(2) The responsible department in charge of researching regulatory documents should check and evaluate AP in every three years, and submit

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evaluation report to AAD by October of the evaluating year. The report should give opinion about whether revising AP or not as a reference to AAD. The evaluation contents should conclude: If AP conflicts with laws, rules, CAAC regulations and other regulatory documents; if the current AP is affected by changes of administration organization or relative persons who are managed by the regulatory documents; if AP can meet actual demands, etc.

(3) The responsible department in charge of researching regulatory documents should keep tracking and researching the AC which is under its responsibilities and give suggestions to AAD about AC's developing next year by October of each year. Before submitting the development suggestions, the responsible department should accomplish the following tasks:

(a) Contacting with related departments (like accident investigation department, CAAC safety department, airlines and civil aircraft design and manufacturing companies, etc) to get and study information of AC.

(b) Tracking and studying developing progress of applicable ACs issued by the world leading civil aviation airworthiness authority, such as FAA and EASA. Submitting a brief researching report to AAD in one month after AC is officially issued by FAA or EASA, and launching a research on its background, technical requirements, compliance means and influences on civil aircraft, and then gives AC development

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suggestions to AAD.

(c) Perform an evaluation on AC developing and revising suggestions collected by AAD.

(4) AAD will issue a notice about collecting suggestions for AP and AC developing and revising before March each year, and such notices will be issued at the CAAC website ([www.caac.gov.cn](http://www.caac.gov.cn)) at the same time, to collect AP and AC developing and revising suggestions from related organizations and persons. These activities will be finished by the end of June on each year.

3.2.1.3 AAD will organize to study demands on regulatory documents under its responsibilities before the end of October, not limited to the collected suggestions above. AAD will also establish an annual plan of developing regulatory documents.

3.2.1.4 The annual plan of developing regulatory documents should identify project category, project name, drafting units, responsible person and estimated due date, etc.

3.2.1.5 For Regulatory documents that AAD decides to develop and revise, an application for developing regulatory documents should be submitted before the end of November each year, and approved by the Director General of AAD.

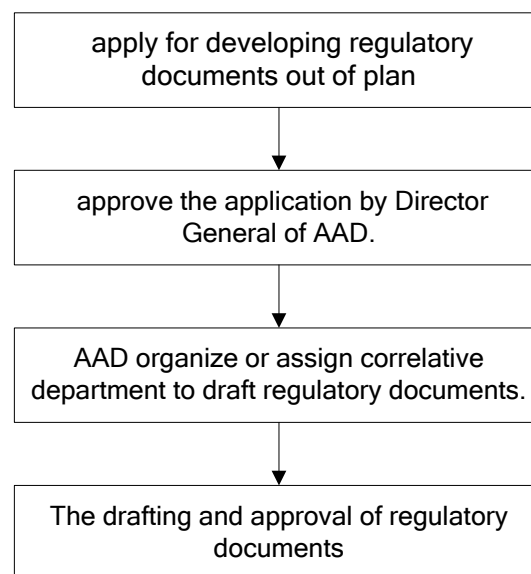
3.2.1.6 AAD executes the approved annual plan. For revising regulatory documents, AAD will assign the responsible department for researching

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the regulatory documents to take charge of drafting. As to developing new regulatory documents, AAD will organize drafting out or authorize the related responsible department to take charge of drafting.

### **3.2.2 Application for developing regulatory documents out of plan**

3.2.2.1 Application flow chart for developing regulatory documents out of plan



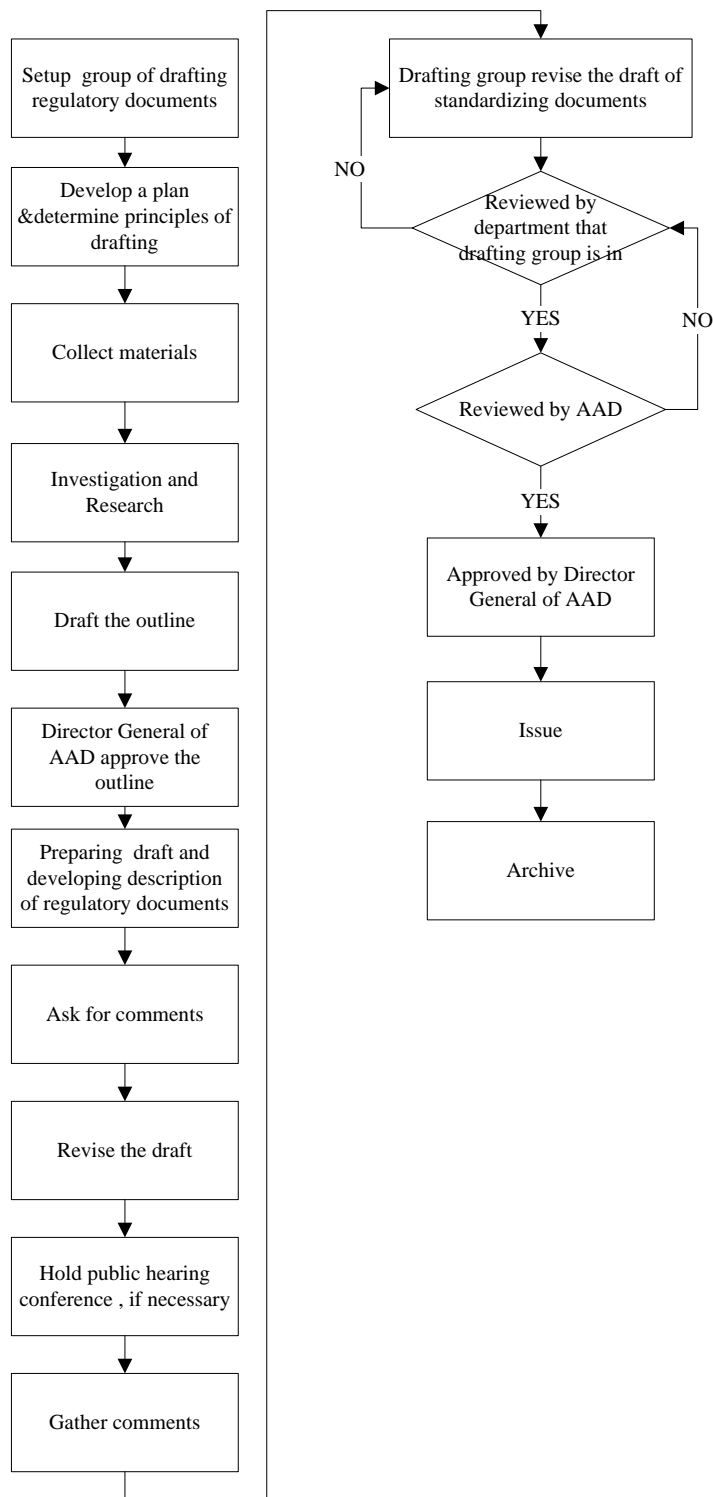
3.2.2.2 As to developing regulatory documents out of annual plan, AAD may submit application for developing regulatory documents out of plan to Director General of AAD for approval. After approved, those projects will be included into the annual plan.

3.2.2.3 The functional departments of AAD take charge of the carrying out of project, and organizing to draft or assign related responsible department to draft.

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### **3.2.3 Development and approval of regulatory documents.**

3.2.3.1 Development and approval flow chart of developing regulatory documents.



### 3.2.3.2 Setting up a drafting group.

A drafting group will be set up by AAD or responsible department of

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researching regulatory documents.

#### 3.2.3.3 Planning

The drafting group should make a plan for developing milestones of the project developing regulatory documents according to the annual plan, establish developing principles, and submit to AAD for accept via department that the group belongs to.

#### 3.2.3.4 Collecting materials

The drafting group collects related domestic and foreign data according to the developing principles. The data includes the FAA and EASA related data, like revising background, comments, feedback and revision of text etc.

#### 3.2.3.5 Investigation and Researching

The drafting group should research domestic and foreign advanced experiences according to actual situations to find out problems in practice.

The drafting group should go to the civil aircraft manufacturing, designing and operation organizations to do the research and consult experts.

#### 3.2.3.6 Drafting the outline

The drafting group should draft a compiling outline, and submit to AAD via department that the group belongs to for approval by the director general of AAD.

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The outline should include following aspects:

- (1) Purpose
- (2) Basis
- (3) Problems to be resolved
- (4) Basic principle for developing
- (5) Referenced advanced experiences from domestic and foreign
- (6) Proposed solutions for main problems that may occur

#### 3.2.3.7 Drafting regulatory documents and explanation

Drafting group drafts the regulatory documents and developing description according to the compiling outline. The developing description for drafted regulatory documents should include background, main developing activities, main revised content and reference documents, etc.

#### 3.2.3.8 Asking for comments

Drafting group can ask for comments from organ, company and person through written manner or holding many kinds of meeting like forum and argumentation meeting.

If the regulatory documents involve in general questions, the drafting group should hold forum to hear opinions from related organ, company and person. If the regulatory documents involve in important law or special professional technology matter, the drafting group should hold argumentation meeting to hear comments from related experts or



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other professionals.

After completing the 'draft of regulatory documents' and 'description of the draft of regulatory documents', the department that take charge of drafting group should review it firstly and submit it to AAD after that.

AAD collect comments from public on regulatory document draft.

AAD may collect comments once again or several times as needed.

3.2.3.9 Holding public hearing meeting if necessary to introduce the draft activities, content and disposal of advices and comments, etc. Collecting the meeting participator's comments on the regulatory documents again, discussing its contents and feasibility. The public hearing meeting may hold one or several times as needed.

3.2.3.10 Drafting group gather all the opinions as well as the comments from public hearing, then revise and finalize the regulatory documents.

3.2.3.11 After the regulatory documents are finalized, the department that take charge of drafting group should review the final draft of regulatory documents. If it passes, then the department submits it to AAD; if not pass, return it to the drafting group to revise again.

3.2.3.12 AAD will review the submitted final draft, and if it passes, then it will be given a sequential number and goes to AAD approval process; if not pass, it will be returned to the department that take charge of drafting group or directly to the drafting group to revise again.

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3.2.3.13 Director General of AAD will sign and approve the final draft after it is approved by all related internal divisions among AAD.

3.2.3.14 Regulatory documents should be publicized after signed. Regulatory documents that involve in relative persons who are managed by the Regulatory documents should be publicized on the CAAC's website ([www.caac.gov.cn](http://www.caac.gov.cn)) or publicized by other ways that can be noted by the public easily in time.

#### 3.2.3.15 Archiving

Drafting group takes charge of collecting, processing and archiving work of the data resulted from drafting process. The filed data should contain complete paper version and electronic copy (read only). The department that takes charge of drafting group should archive the data and keep it for long time. The electronic copy should be kept by AAD.

The archived data should contain the following documents at least:

- (1) List of the archived data
- (2) Application data for developing and revising regulatory documents
- (3) Compiling principle of the regulatory documents
- (4) Compiling outline of the regulatory documents
- (5) Regulatory document drafts sent to AAD, and each editions
- (6) Developing description of developing and revising regulatory documents

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- (7) Research record
  - (8) Meeting minutes or issues for each conference, forum and public hearing meetings.
  - (9) Other related data.

### **3.2.4 Procedure for canceling regulatory documents**

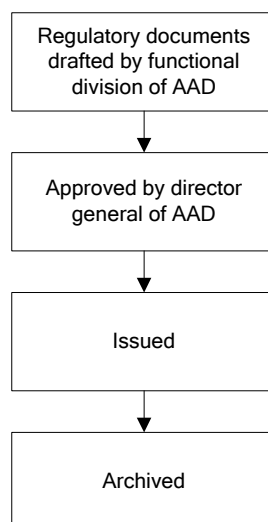
3.2.4.1 For revisions substitution, there is description to explain replacement in general part of the new revision.

3.2.4.2 Other situations in canceling regulatory documents will be handled to refer to related provisions in 3.2.1 to 3.2.3.

### **3.3 Simplified procedure for developing regulatory documents**

This simplified procedure is applicable to the regulatory documents which are developed without great dispute during drafting process.

3.3.1 Flow chart of simplified procedure for developing regulatory documents



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3.3.2 The functional divisions of AAD organize to draft regulatory documents.

3.3.3 Regulatory documents are issued after approval of the director general of AAD .

3.3.4 The regulatory documents should be publicized after signed. Regulatory documents that involved in relative persons should be publicized on the CAAC's website ([www.caac.gov.cn](http://www.caac.gov.cn)).

3.3.5 All correlative documents are archived in the functional departments of AAD.

#### **3.4 General management requirements of forms in regulatory documents**

3.4.1 AAD is responsible for registering and managing forms in regulatory documents, including numbering, edition, format and content.

3.4.2 To use forms which are not registered and approved by AAD in regulatory documents, those forms should be reported to AAD, and registered and approved by AAD before the regulatory documents are issued.

3.4.3 If regulatory documents quote forms that registered and approved by AAD, the forms should be the same as the original sample, the form number, edition, format and content.

3.4.4 If regulatory documents revise or cancel forms that are registered

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and approved by AAD, the drafting group should report to AAD before the regulatory documents are issued.

3.4.5 The regulatory documents should specify the usage of the forms and give instructions for completing the forms if necessary.

## **4. Requirements for regulatory documents number and format**

### **4.1 Number of regulatory documents**

#### **4.1.1 Number of AP, AC**

Number of AP and AC consist of English abbreviation of document sort, regulation number, functional department code, year, sequence number and revision number, etc., aligned orderly.

Number format as following:

XX(English abbreviation)-XXX(regulation number)-XXX  
(functional department code)-XX(year)-XX(sequence  
number)-XX( revision number)

#### **4.1.2 Number of MD, WM, IB**

Number of MD, WM and IB consist of English abbreviation of documents sort, functional department code, year and sequence number, etc., aligned orderly.

Number format as following:

XX(English abbreviation)-XX(functional department

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code)-XX(year)-XX (sequence number)

## **4.2 Format of regulatory documents**

4.2.1 The requirement of AP and AC's printing format, refer to <<AP, AC cover format>> (appendix 1).

4.2.2 The requirement of MD, WM and IB's printing format, refer to <<MD,WM, IB cover format>> (appendix 2).

## **4.3 Colors of font on regulatory documents' cover**

Different regulatory documents' cover use different font color to distinguish; AP use green font, AC use blue font, MD use purple font, WM use orange font, IB use dark green font.

## **5. Supplementary provisions**

5.1 The Aircraft Airworthiness Department of CAAC is responsible for the interpretation of this procedure.

5.2 This procedure becomes effective on OCT 21, 2010.

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**Appendix 1: AP, AC cover format**



Aviation Procedure

(Advisory Circular)

CAAC XX Department (Bureau/Office)

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Number: : XX-XXX-XXX-XX-XX-XX

(AP/AC-regulation number-department code-year-sequence number-revision number)

Issue date:: year/month/day

(File title)

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**Appendix 2: MD/WM/IB cover pattern**



Management Document

((Working Manual or  
Information Bulletin))

CAACXXXXX Department (Bureau/Office)

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Number: : XX-XXX-XXX-XX-XX-XX

(MD/WM/IB-Department code-year-sequence number)

Issue date:: year/month/day

(File title)

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