

Workshop L

Parts Wars:

Documentation Changes

This workshop will examine recent changes affecting the documentation of the parts in YOUR inventory. We will cover US changes to the 8130-3 rules, US/EU changes to the bilateral agreements and the implementing documents that affect 8130-3 tags, and will compare the minimum documentation standards required by the regulations to the minimum standards recommended in FAA guidance.

Who Issues an 8130-3?

- The United States Government
 - FAA employees
 - Individual designees (with the right function codes)
 - ODA (with the right function codes)

Who Issues an 8130-3?

- Maintenance organizations authorized to approve for return to service under 14 CFR 43.7
 - The approval for return to service may take other forms
 - The 8130-3 tag has become the recognized standard for component-level approval for return to service

Who Issues an 8130-3?

- Production Approval Holders
 - New regulation 21.137(o) authorizes PAHs to issue 8130-3 tags (published October 1, 2015)
 - PAHs must have procedures for
 - Selection
 - Appointment
 - Training
 - Management, and
 - Removal
 - of individuals authorized by the production approval holder to issue authorized release documents.

Other Details

- Additional FAA guidance was issued in a June 24 Memorandum
- Contrary to past guidance, PAHs do not need to immediately surrender their ODA's 8130-3 privileges
 - But the deadline for surrendering 8130-3 functions is April 1, 2018
- PAHs do not need FAA approval of the 21.137(o) procedures before implementing
 - Simply process the changes and notify the FAA like any other change to the production quality system, per 14 C.F.R. § 21.150

Caution

- Most BASAs still anticipate FAA as the course of 8130-3 tags
- Some authorities may be reticent to take PAH 8130-3 tags, until they get used to the change

Export 8130-3

- Historically, the main difference between an export 8130-3 and domestic 8130-3 was the export tag included a destination (and the designee confirmed that the special import requirements were met)
- The FAA has changed this as of FRIDAY (June 24) with a new Deviation Memo

Export Deviation Memo

- No longer required to have “Export airworthiness approval – This engine/propeller/article meets the special requirements of (enter country)”
 - Guidance specifies “*Do not* use the statement” [emphasis in original]
 - Export tags will start to look like domestic tags
 - FAA justification: “Requiring this statement needlessly complicates the issuance of the tag and hinders the global shipment of engines, propellers and articles, especially when they are exported multiple times”

When Can an 8130-3 Be Issued?

- The 8130-3 tag is typically issued when the article is known to:
 - Conform to FAA-approved design; and,
 - Be in a condition for safe operation (no damage or degradation affecting airworthiness)
- Thus, new PAH articles with no damage or degradation are typically eligible for 8130-3 tags

What Traceability is Required?

FAA and EASA Regulatory Traceability Standards

FAA Required Documentation

- MROs must approve for return to service in writing
- Operators must retain repair and alteration records
- But parts transactions require NO documentation

- It is legal in the US to buy an aircraft part with NO documentation at all!
 - But that is no longer the commercial norm for commercial aviation articles

Can an EASA 145 Receive a Part Without an EASA Form One?

EASA Maintenance Organizations

- Under the EASA system, all maintenance is performed by 145s
 - No other entities have maintenance privileges
- EASA 145.A.42 imposes receiving requirements

EASA 145.A.42(a)(1-3)

- (a) All components shall be classified and appropriately segregated into the following categories:
 - 1. Components which are in a satisfactory condition, released on an EASA Form 1 or equivalent and marked in accordance with Subpart Q of Annex I (Part-21) to Regulation (EU) No 748/2012.
 - 2. Unserviceable components which shall be maintained in accordance with this section.
 - 3. Unsalvageable components which are classified in accordance with point 145.A.42(d).

EASA Definition of Unserviceable

M.A.504 **Control of unserviceable components**

- (a) A component shall be considered unserviceable in any one of the following circumstances:
 - 3. absence of the necessary information to determine the airworthiness status or eligibility for installation;

What is “Maintenance?”

- EASA Article 2(h):
‘maintenance’ means any one or combination of the following activities: overhaul, repair, inspection, replacement, modification or defect rectification of an aircraft or component, with the exception of pre-flight inspection;

Summary

- Under EASA regulations a 145 organization may receive a part without EASA Form One/8130-3, and inspect it to new or airworthy condition
- Under the MAG, though, this safety valve is closed
- The result is that some distributors' inventories of aircraft parts will become less saleable and less valuable

MAG rev. 5 Language

k) Only the following new and used components may be fitted during maintenance.

(1) New Components.

i) New components must be traceable to the OEM as specified in the Type Certificate (TC) holder's Parts Catalogue and be in a satisfactory condition for installation. A release document issued by the OEM or Production Certificate (PC) holder must accompany the new component. The release document must clearly state that it is issued under the approval of the relevant AA under whose regulatory control the OEM or PC holder works.

MAG rev. 5 – Parts Catalogue

“New components must be traceable to the OEM as specified in the Type Certificate (TC) holder’s Parts Catalogue”

- Independent PMA articles and aftermarket TSOA articles are typically not found in the TCH IPC
- PC parts may not yet be in the IPC when the supplier has changed and a new part number is assigned

MAG rev. 5 – Release Certificate

“A release document issued by the OEM or Production Certificate (PC) holder must accompany the new component.”

- Excluded FAA 8130-3 tags, like those from DARs, DMIRs, ODAs, etc.

MAG Rev. 6

- Fixes some of the most obvious problems
- ...BUT...
- **PROBLEM:** The MAG uses different terminology and therefore does not synchronize properly with the regulations
 - “new” and “used” parts rather than “satisfactory condition” and “unserviceable”

MAG Rev. 6

- Requires new parts to bear EASA Form One or 8130-3
- Closes the “safety valve”

Working on the Issue

- ASA has been working with the FAA
- FAA has been cooperative
 - A proposed interpretations would have resolved some distribution issues
- EASA would not support the FAA's interpretation
- ASA has filed a placeholder notice of appeal
 - Recent DC Circuit case states that this is required to preserve the Association's rights
- **ASA continues to work with the FAA**
 - Focus is on efficient mechanisms for obtaining 8130-3 tags



How Can You Help?

- Please let ASA know the approximate dollar value of parts without 8130-3 tags in your inventories
- Please let lawmakers know about these issues
 - As we continue to work with the FAA, we plan to develop talking points and template letters to support the FAA's resolution

What Traceability Should We Expect?

FAA-Recommended Traceability Standards ...
May Not Reflect Customer Demands!

What Does an 8130-3 Tag Really Mean?

- The tag documents a finding of airworthiness
- The tag does not guarantee airworthiness!
 - Parts can become unairworthy after the tag is issued, such as through damage or degradation
- Lack of tag does not mean that the part is not airworthy!
 - US law requires that the installer ensure that installation of the part will return the product to a condition at least equal to original or properly altered condition
 - US law does not require paperwork!!



FAA Policy Strongly Encourages Traceability Paperwork

- The documentation should be sufficient to aid the installer in making an airworthiness finding

Why Not REQUIRE the 8130-3?

- The Paperwork Reduction Act prevents the US Government from mandating any recordkeeping activity on the public without an OMB approval
 - Generate, maintain, or provide information
 - Retain, disclose, or report records
- OMB approval is based in part on cost-benefit analysis
- Documentation regulations for all parts would be unlikely to survive OMB analysis

What Should You Expect with New Parts Made by a US PAH?

- 8130-3
or
- Part markings per 14 C.F.R. Part 45
or
- Statement from seller as to identity and condition

AC 00-56B APPENDIX 1 DOCUMENTATION MATRIX – New PAH Parts



CLASS OF PART	REQUIRED ON RECEIPT	REQUIRED FOR SHIPMENT
New parts produced by a U.S. Production Approval Holder (PAH) that are accompanied by airworthiness approval or that bear part marking required by 14 CFR part 45.	FAA Form 8130-3 or part marking required by 14 CFR part 45.	Certified true copy of the regulatory airworthiness approval document or statement as to identity and condition for a part marked according to 14 CFR part 45.

FAA Form 8130-3

1. Approving Civil Aviation Authority/Country: FAA/United States		2. AUTHORIZED RELEASE CERTIFICATE FAA Form 8130-3, AIRWORTHINESS APPROVAL TAG			3. Form Tracking Number:
4. Organization Name and Address:				5. Work Order/Contract/Invoice Number:	
6. Item:	7. Description:	8. Part Number:	9. Quantity:	10. Serial Number:	11. Status/Work:
12. Remarks:					
13a. Certifies the items identified above were manufactured in conformity to: <input type="checkbox"/> Approved design data and are in a condition for safe operation. <input type="checkbox"/> Non-approved design data specified in Block 12.			14a. <input type="checkbox"/> 14 CFR 43.9 Return to Service <input type="checkbox"/> Other regulation specified in Block 12 Certifies that unless otherwise specified in Block 12, the work identified in Block 11 and described in Block 12 was accomplished in accordance with Title 14, Code of Federal Regulations, part 43 and in respect to that work, the items are approved for return to service.		
13b. Authorized Signature:		13c. Approval/Authorization No.:	14b. Authorized Signature:		14c. Approval/Certificate No.:
13d. Name (Typed or Printed):		13e. Date (dd/mm/yy):	14d. Name (Typed or Printed):		14e. Date (dd/mm/yy):
User/Installer Responsibilities					
<p>It is important to understand that the existence of this document alone does not automatically constitute authority to install the aircraft engine/propeller/article.</p> <p>Where the user/installer performs work in accordance with the national regulations of an airworthiness authority different than the airworthiness authority of the country specified in Block 1, it is essential that the user/installer ensures that his/her airworthiness authority accepts aircraft engine(s)/propeller(s)/article(s) from the airworthiness authority of the country specified in Block 1.</p> <p>Statements in Blocks 13a and 14a do not constitute installation certification. In all cases, aircraft maintenance records must contain an installation certification issued in accordance with the national regulations by the user/installer before the aircraft may be flown.</p>					
FAA Form 8130-3 (02-14)			NSN: 0052-00-012-4005		

Block 13a

1. Approving Civil Aviation Authority/Country: FAA/United States	2. AUTHORIZED RELEASE CERTIFICATE FAA Form 8130-3, AIRWORTHINESS APPROVAL TAG	3. Form Tracking Number:
4. Organization Name and Address:		5. Work Order/Contract/Invoice Number:

13a. Certifies the items identified above were manufactured in conformity to:

- Approved design data and are in a condition for safe operation.
- Non-approved design data specified in Block 12.

13a. Certifies the items identified above were manufactured in conformity to: <input type="checkbox"/> Approved design data and are in a condition for safe operation. <input type="checkbox"/> Non-approved design data specified in Block 12.		14a. <input type="checkbox"/> 14 CFR 43.9 Return to Service <input type="checkbox"/> Other regulation specified in Block 12 Certifies that unless otherwise specified in Block 12, the work identified in Block 11 and described in Block 12 was accomplished in accordance with Title 14, Code of Federal Regulations, part 43 and in respect to that work, the items are approved for return to service.	
13b. Authorized Signature:	13c. Approval/Authorization No.:	14b. Authorized Signature:	14c. Approval/Certificate No.:
13d. Name (Typed or Printed):	13e. Date (dd/mm/yyyy):	14d. Name (Typed or Printed):	14e. Date (dd/mm/yyyy):
User/Installer Responsibilities			
<p>It is important to understand that the existence of this document alone does not automatically constitute authority to install the aircraft engine/propeller/article.</p> <p>Where the user/installer performs work in accordance with the national regulations of an airworthiness authority different than the airworthiness authority of the country specified in Block 1, it is essential that the user/installer ensures that his/her airworthiness authority accepts aircraft engine(s)/propeller(s)/article(s) from the airworthiness authority of the country specified in Block 1.</p> <p>Statements in Blocks 13a and 14a do not constitute installation certification. In all cases, aircraft maintenance records must contain an installation certification issued in accordance with the national regulations by the user/installer before the aircraft may be flown.</p>			
FAA Form 8130-3 (02-14)		NSN: 0052-00-012-9005	

What is a Certified True Copy?

- A paper copy of the document
- To which is attached a certificate of the person submitting the document
 - Stating that the copy has been compared with the original and that it is a true copy

14 C.F.R. § 49.21

How do I Make a Certified True Copy?

- Attach the copied FAA Form 8130-3 to a separate sheet of paper. Indicate that the copied FAA Form 8130-3 that accompanies the article is a “certified true copy of the original” maintained on file; OR
- Apply a stamp to the copied FAA Form 8130-3, that indicates that the copy is a “certified true copy of the original” and complete any blanks in the stamp

E.g. FAA Order 8130.21H

Markings: the Forgotten Member of the Traceability Family

- The regulations require manufacturers to mark certain parts
 - TSOA Parts
 - PMA Parts
- Regulated markings may indicate that a part was found airworthy upon release from the quality system
 - In most cases, only FAA certificate holders are allowed to mark parts, and only under controlled conditions
 - Production approval holders bear a burden to assure airworthiness of the part

Markings: an Important Member of the Traceability Family

- Parts markings are like documentation that cannot be lost, unless
 - Dataplates are removed
 - Inscribed markings are abraded, ablated, or otherwise destructively removed
- Parts markings can provide traceability back to the FAA-approved manufacturer
- Some manufacturers have no access to 8130-3 tags and can only offer markings!

AC 00-56B APPENDIX 1 DOCUMENTATION MATRIX – New PAH Parts w/o documentation



CLASS OF PART	REQUIRED ON RECEIPT	REQUIRED FOR SHIPMENT
<p>New parts produced by a U.S. PAH that are not accompanied by airworthiness approval and that do not bear part marking required by 14 CFR part 45.</p>	<p>Certified statement from seller as to identity and condition.</p>	<p>Statement as to identity and condition and that original certified statement is on file.</p>
<p>New parts produced by a non-U.S. PAH that are not accompanied by airworthiness approval.</p>	<p>Certified statement from seller as to identity and condition.</p>	<p>Statement as to identity and condition and that original certified statement is on file.</p>

AC 00-56B APPENDIX 1 DOCUMENTATION MATRIX – New Foreign PAH Parts (BASA)



CLASS OF PART	REQUIRED ON RECEIPT	REQUIRED FOR SHIPMENT
<p>New parts produced by a non-U.S. PAH and approved under the provisions of a bilateral agreement between the United States and a foreign country or jurisdiction.</p>	<p>Regulatory airworthiness approval document meeting the requirements of the bilateral agreement between the U.S. and the nation that issued the production approval; document should meet the requirements that were effective at the time that the part was imported into the United States.</p>	<p>Certified true copy of the regulatory airworthiness approval document.</p>

EASA Form One

1. Approving Competent Authority/Country		2. AUTHORIZED RELEASE CERTIFICATE EASA FORM 1			3. Item Tracking Number	
4. Organization Name and Address					5. W/OA Only/Contract Number	
6. Item	7. Description	8. Part No.	9. Qty	10. Serial No.	11. Name/Post	
12. Details						
13a. Certify that the items identified above were manufactured in conformity to: <input type="checkbox"/> approved design data and set in a condition for safe operation. <input type="checkbox"/> retro-approved design data specified in Block 11.				13b. <input type="checkbox"/> Part 145, 147, 149 or Annex 176 <input type="checkbox"/> Other regulation specified in Block 11 Certify that unless otherwise specified in Block 13, the work identified in Block 11 and described in Block 12, was accomplished in accordance with Part 145 and in respect to that work the items are considered ready for release to service.		
14a. Authorized Signature		14b. Approval/Authorization Number		14c. Authorized Signature		14d. Certificate/Approval Ref. No.
15a. Date		15b. Date (dd/mm/yyyy)		15c. Date		15d. Date (dd/mm/yyyy)
<p>UNDEPUTABLE RESPONSIBILITIES</p> <p>This certificate does not automatically constitute authority to install the items.</p> <p>Where the responsible persons work in accordance with regulations of an administrative authority different than the administrative authority specified in block 1, it is assumed that the responsible persons that Member Administrative Authority accepts items from the administrative authority specified in Block 1.</p> <p>Signatures in Blocks 14a and 14c do not constitute installation certificates. In all cases aircraft maintenance records must contain an installation certificate issued in accordance with the national regulations by the certificate holder the aircraft was fit to fly.</p>						

EASA Form 1.21 Issue 3

AC 00-56B APPENDIX 1

DOCUMENTATION MATRIX – Used Parts



CLASS OF PART	REQUIRED ON RECEIPT	REQUIRED FOR SHIPMENT
Used parts that have been maintained under 14 CFR part 43 (including 14 CFR § 43.17).	Approval for return to service meeting provisions of 14 CFR §§ 43.9, 43.11, or 43.17.	Approval for return to service.
Used parts that have been maintained under foreign maintenance standards but not maintained under 14 CFR part 43.	Approval for return to service meeting the requirements of the foreign maintenance standards.	Approval for return to service. The documentation should clearly identify the applicable airworthiness authority.

AC 00-56B APPENDIX 1

DOCUMENTATION MATRIX – Other Stuff



CLASS OF PART	REQUIRED ON RECEIPT	REQUIRED FOR SHIPMENT
Consumable materials intended to be consumed in the maintenance, alteration, or preventive maintenance of a product or article.	Statement from seller as to identity.	Statement as to identity and that original seller's statement is on file.
Raw materials.	Physical and chemical properties reports traceable to heat code or lot number.	Certified true copy of the physical and chemical properties reports.
Standard parts.	Certificate of Conformity (C of C) from producer or seller verifying adherence to the appropriate requirements.	Certified true copy of the received C of C and statement that original certified statement is on file.

e.g.
tape,
grease,
paint,
sealant,
etc.

AC 00-56B APPENDIX 1 DOCUMENTATION MATRIX – Used Parts w/o ARTS



CLASS OF PART	REQUIRED ON RECEIPT	REQUIRED FOR SHIPMENT
<p>Used parts, products, and appliances without approval for return to service.</p>	<p>Certified statement from seller about identity and condition – must use an accurate descriptive term or narrative to describe condition, such as “as-is,” or any other term that accurately describes the current condition and conveys to the distributor that the part may not meet other categories of this matrix.</p>	<p>Statement about identity and condition and that original certified statement is on file. Must use an accurate descriptive term or narrative to describe condition, such as “as-is,” or any other term that accurately describes the current condition and conveys to the transferee that the part may not meet other categories of this matrix.</p>