

CHANGE

**U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION**

**ORDER
8120.2F
CHG 2**

National Policy

08/11/2010

SUBJ: Production Approval and Certificate Management Procedures

1. Purpose. This change contains guidance related to production approval holder (PAH) noncompliances and corrective actions, and nontraditional PAH extensions. Clarifications were made to coordination of supplier control audits between directorates, and the risk-based resource targeting (RBRT) process.

2. Who This Change Affects. This change affects all the affiliated offices of the Flight Standards Service and the Aircraft Certification Service.

3. Explanation of Changes. This change—

a. Replaces chapter 3, section 3, parts 4 and 5, Investigation of Regulatory Violations and Corrective Action, respectively, with a new part entitled PAH Noncompliances and Corrective Action.

b. Adds a new paragraph detailing nontraditional PAH extensions.

c. Deletes the note in paragraph 2-47 that granted, at the applicant's request, permission to exclude information considered proprietary from publication on the Federal Aviation Administration (FAA) Web site.

d. Removes the requirement in paragraph 3-25 to have an annual supplier control audit joint scheduling teleconference.

e. Removes the reference in paragraph 3-25b to the Aircraft Certification Systems Evaluation Program (ACSEP) Joint Scheduling Committee meeting.

f. Adds a note to assessment indicators 30, 31, and 32 in appendix C to this order; the note provides additional guidance to the principal inspector in assessing RBRT indicators.

g. Revises the RBRT assessment validation plan in appendix E to this order.

Note: Many of the changes highlighted by the asterisks are editorial in nature and may indicate changes to page numbers or paragraph, part, or section numbers that occurred as a result of additions to or deletions of the text.

4. Disposition of Transmittal Paragraph. Retain this transmittal sheet until the directive is cancelled by a new directive.

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Chapter 1. Introduction

1-1. Purpose of This Order. This order contains guidance related to—

* **a.** Production approvals and certificate management (CM) of manufacturers of type-certificated products, technical standard order (TSO) articles, and replacement and modification parts, to ensure fair and uniform administration of Title 14, Code of Federal Regulations (14 CFR). *

b. The Certificate Management Information System (CMIS). In those cases in which activities and work processes are automated by CMIS, aviation safety inspectors, aviation safety engineers, and flight test pilots must use CMIS to perform that work. In the event a manual activity or work process described in this order becomes automated in CMIS, the use of CMIS to perform that activity or work process will take precedence.

1-2. Audience. All Federal Aviation Administration (FAA) employees who provide oversight of the production approval process and are responsible for the CM of production approval holders (PAHs).

* **1-3. Where Can I Find This Order?** You can find this order at http://www.faa.gov/regulations_policies/orders_notices/. *

1-4. Cancellation. FAA Order 8120.2E, Production Approval and Certificate Management Procedures, dated May 29, 2007, and its associated changes, are canceled.

1-5. Explanation of Policy Changes. This revision—

a. Adopts risk-based resource targeting (RBRT) as a CM tool, replacing the risk management model.

b. Revises figures 3-1 and 3-2 to align with RBRT.

c. Removes AIR Form 8120-9, Risk Management Facility Assessment Sheet.

d. Revises appendix C to include the organizational and technical indicators used in an RBRT facility assessment. In addition, information specific to each indicator is provided as guidance to assist the principal inspector (PI) in completing the assessment.

e. Clarifies where the management plans with the current International Cooperative Supplier Surveillance Program (ICSSP) participants are located.

f. Changes the term “District Office” (DO) to “Manufacturing Inspection District Office” (MIDO).

g. Eliminates the requirement for the MIDO/Certificate Management Office (CMO) to send an electronic copy of certain Parts Manufacturer Approval (PMA) documents to the Aircraft Certification Office (ACO).

h. Incorporates the deviation, dated December 3, 2007, that authorizes the MIDO/CMO to perform initial service difficulty investigations. In addition, several report submission requirements, associated with service difficulty investigations, are now optional.

i. Updates references to suspected unapproved part (SUP) requirements.

j. Clarifies the information required on PMA assist letters.

k. Clarifies information pertaining to ownership and name changes of PMA holders and TSO authorization holders.

*

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Figure 2-1. Sample FAA Form 8100-1, Conformity Inspection Record (Back)

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INSTRUCTIONS

1. List the FAA assigned number along with the date of TIA or Request for Conformity, as applicable.
2. Self-explanatory.
3. List the applicant or the manufacturer, or both. (The manufacturer may be the party producing or responsible for the product).
4. List the date the inspection began.
5. List the date the inspection ended.
6. If inspecting an aircraft, list the make, model, N-number, and serial number. For an engine or propeller, list the make, model, and serial number.
7. Aviation Safety Inspectors must type or print name, sign, and enter office identification. Designees must type or print name, sign, and list their designee identification number. If using CMIS, the user cannot provide a traditional signature. Populating Block 7 with the required information will demonstrate completion of form.
8. Assign consecutive numbers for each item inspected.
9. List the name or description of the part, appearance, assembly, drawing, document, specification, or name of the process being evaluated.
10. List the technical data that describes the item listed in Block 9. i.e., drawing number, document number, or name of the process specification number, etc.
11. List the revision level and date of the technical data described in Block 10.
12. List the number of items that were determined to be unsatisfactory. Do not record individual characteristics. **NOTE:** (an item is a single article containing one or more dimensional characteristics or features).
13. Enter comments in this block that will support any information given in Blocks 8 through 12. e.g., unsatisfactory conditions, corrective actions taken, reference to other item numbers listed, serial numbers, type of inspection accomplished, determination of exported products, buyer finished equipment, parts processed through manufacturer's maintenance facility, part of new overhauled, component part or assembly, etc.
14. To be used for supplementing items 1-13.

NOTE: Unsatisfactory conditions are corrected in one of two ways:

Method 1: If action is presented to correct unsatisfactory condition, the action is entered in Block 18 and the number in the UNSAT column of Block 12 is lined through and initialed. The number of items now determined satisfactory is entered in the SAT column next to the corrective action entry.

Method 2: If corrective action is not presented, the inspector may continue the inspection by entering the next item inspected. When corrective action to the unsatisfactory condition is eventually presented, assigned the item a new number and record the number in Block 8. Complete Blocks 9 and 10, enter a new revision and date if data has changed, and enter the number of items determined satisfactory in Block 12. Record both the corrective action taken and the item number of the unsatisfactory condition in Block 13. Place the item number in parenthesis. Next, line through and initial the number in the UNSAT column located next to Block 13 containing the unsatisfactory condition. Record the corrective action entry item number along with the unsatisfactory condition statement and place the number in parenthesis.

14. Continuation Block

FAA Form 8100-1 (Backer) (8-10)

*

(d) Information on the part's eligibility for installation (product make, series, model, and if appropriate, the serial number per the type certificate data sheet).

(2) Applicants must provide sufficient data to support discretionary conformity inspections in their application letters. Holders of the TC, STC, or TSO authorization may add this information to their assist letters. These data include:

(a) The revision level of the part's drawing to baseline the design for future approved changes.

(b) A statement as to whether design changes to the part and disposition of nonconforming parts will be controlled through the TC, STC, or TSO authorization holder's quality assurance process. The statement also should describe how design change information will flow to the applicant, and consequently, to the FAA.

(c) Information that establishes the life limits or airworthiness limitations of the part.

g. Identity Finding. Based on the review of the "PMA assist letter" that contains the information specified in paragraph 2-44a(4)(a) of this order, the MIDO will make a finding of identity by showing evidence of a licensing agreement. The MIDO also will review the PMA supplement prepared by the applicant. Refer to figure 2-10 for a sample PMA supplement for licensing agreement and STC.

h. Life-Limited Parts. The MIDO will forward PMA applications for life-limited parts to the certificating ACO to verify completeness of design data. The MIDO should ensure the application includes a continued operational safety plan.

Part 3. Issuance of a PMA

2-46. Assignment of the PMA Number. The MIDO will assign a PMA number to all original PMA letters in accordance with the existing project assignment number procedures. The PMA number should be unique to each PMA holder and be carried forth on subsequent approved supplements for that PMA. The MIDO will sign the PMA supplements affirming production approval after completing validation of the FIS.

2-47. PMA Letter.

a. The MIDO will prepare the following PMA documents:

(1) A PMA letter for the initial issuance of the PMA. Refer to figure 2-11 for a sample PMA letter.

(2) A transmittal letter for all subsequent issuances of PMA, including all supplements. Refer to figure 2-13 for a sample transmittal letter.

- * **b.** The original(s) should be presented to the manufacturer, and the MIDO should retain one copy. The information on the PMA supplement will be forwarded to the Aircraft Engineering Division, Delegation and Airworthiness Programs Branch (AIR-140).

2-48. Initial Risk-Based Resource Targeting Assessment. Subsequent to the issuance of the PMA, the MIDO/CMO will conduct an RBRT assessment of the PMA holder in accordance with chapter 3, section 2 of this order. The results will determine the initial basis for conducting ongoing CM responsibilities, as summarized in figure 3-2 of this order. *

Part 4. Post-PMA Activities

2-49. Change in Location of the Manufacturing Facility. When a manufacturer relocates or expands, including suppliers with delegated major inspection functions, the FAA may, if deemed necessary, conduct a reevaluation of the FIS at the new or expanded facilities. In accordance with § 21.303(j), the PMA holder must notify the FAA in writing within ten days (working) from the date such action takes place. This notification requirement also applies to supplier facilities where a determination as to the safety and conformance to the approved design is not made at the approved receiving facility. The PMA holder should take special care to preserve the inspection status of parts that are to be moved to the new location.

2-50. Transferability.

a. A PMA is not transferable to another person, company, or location. The regulations do not preclude revising approval letters to show a change in name only of the holder, provided there is no change in the FIS, management, ownership, or location of the principal facility. However, the design portion of a PMA based on an STC may be sold, licensed, or otherwise transferred. If the STC holder or a licensee intends to manufacture parts, it must apply for a new PMA.

b. In the event a PMA holder is acquired by another company, with no resulting change in the legal status of the PMA holder, the acquiring company will not be required to apply for a new PMA. However, the PMA holder must:

- (1) Retain possession of the production approval.
- (2) Retain the same FIS.
- (3) Continue to operate at the same location with the same core management officials.

c. The PI should conduct an on-site visit to ensure that the PMA holder has complied with the requirements in paragraph 2-50b of this order. In addition, the acquiring company should provide a letter to the MIDO indicating its status as the new owner of the PMA holder and any future plans affecting the status of the PMA holder. The PI should update the project files to include documentation indicating the acquisition.

Part 3. Approval of the Request for Extension of a Production Approval

2-61. Approval of the Request. After satisfactory completion of the MIDO audit and any applicable corrective actions taken, the MIDO/CMO will approve the request. The MIDO/CMO will ensure the original PAH provides the MIDO of the associate facility a copy of the QC or FIS data to be used if not available at the associate facility. The MIDO/CMO will issue to the original PAH an amended PC, an amended PMA approval letter, or an amended APIS approval letter. For a TSO authorization holder, the MIDO will request that the ACO issue a revised TSO authorization letter. The amended production approval authorization letter will list the associate facility as a manufacturing location. A copy of the amended production approval authorization letter will be sent to the MIDO of the associate facility.

2-62. Geographic MIDO Responsibility After Approval of the Request for Extension. The geographic MIDO/CMO will perform CM at the associate facility in accordance with chapter 3 of this order.

* **2-63. Nontraditional Associate Facilities.** Some PAH extensions do not fit within the traditional concept of an associate facility. For example, a corporation holding many production approvals in different locations throughout the United States may decide to consolidate their approvals and manage them from one location. These former PAHs may then be converted to associate facilities. In such cases, the FAA managing MIDO of the PAH must coordinate a proposal for the nontraditional associate facility activity with both cognizant MIO managers and AIR-200. The MIO managers, cognizant directorate managers, and AIR-200 must concur with the proposal before proceeding with the nontraditional associate facility activity. The proposal must include a memorandum of understanding (MOU) between the affected MIOs to address the following issues:

- a. Rationale for use of a nontraditional certificate management plan,
- b. CM roles and responsibilities,
- c. Handoff requirements,
- d. Control and maintenance of records,
- e. Transition activities,
- f. Use of additional CM tools, and
- g. Any other applicable issues.

*

Section 7. Non-U.S. Manufacturing Facilities—Determination of Undue Burden and No Undue Burden

* **2-64. Undue Burden and No Undue Burden.** The Administrator does not issue type certificates or production approvals if the manufacturing facilities are located outside the United States, unless the Administrator finds that the location of the manufacturer's facilities places no undue burden on the FAA. *

a. When an initial production approval application involving non-U.S. manufacturing facilities is reviewed by the FAA, an "undue burden or no undue burden" decision must be made and the FAA is required to prepare a decision paper in accordance with FAA Order 8100.11, Developing Undue Burden and No Undue Burden Decision Papers Under 14 CFR Part 21.

b. If a new or existing PAH proposes to use non-U.S. suppliers, the criteria for supplier selection in this order must be applied to determine whether the supplier would likely be selected for a supplier control audit. If the supplier would not be selected, there is no burden. If the supplier could be selected, the FAA is required to prepare a decision paper in accordance with Order 8100.11.

c. Any subsequent changes to an approval holder's manufacturing programs involving non-U.S. facilities will cause the initial undue burden or no undue burden decision to be reevaluated by the FAA.

d. Order 8100.11 provides general instructions on what to consider during decision paper development. It also contains the general content requirements of decision papers that include a specific list of required decision paper elements.

* **2-65. Reserved.** *

**Figure 2-14. Sample Hand-Off Memo for
Requesting a MIDO Audit and CM**



**Federal Aviation
Administration**

Memorandum

Date: December 18, 2007
To: Manager, Fort Worth Manufacturing Inspection District Office, SW-MIDO-42
From: Duke E. Season, Manager, Cleveland Manufacturing Inspection District Office, CE47
Prepared by: Amanda Dickens
Subject: **ACTION:** Request for MIDO Audit and Certificate Management at ABC Company

This office has received a letter from Airplane Aircraft Company, dated December 6, 2007 (attached), requesting an extension of its production approval to the ABC Company.

In accordance with FAA Order 8120.2F, paragraph 2-59, we have evaluated Airplane Aircraft Company's request for extension and concur with its request. Since ABC Company is located in your geographic area, we are requesting your office conduct a MIDO audit at ABC Company, utilizing the following information:

Facility Name/Address:
ABC Company
2500 West Canyon Road
Fort Worth, TX, USA 91355

Point of Contact for ABC Company:
Mr. Jim Blender, Director of Quality Assurance
Phone: (817) 555-1222

Point of Contact for Airplane Aircraft Company:
Mr. Scott Clemons, Airplane Aircraft QA Director
Phone: (216) 333-1212

Q.C. Procedures Applicable to this Associate Facility:
Airplane Aircraft Company's Quality Manual, Revision C

Part Name and/or Part Number: Flight Deck LRU's, Warning Electronics, Cabin Entertainment LRU's Black Box Avionics

**Figure 2-14. Sample Hand-Off Memo for
Requesting a MIDO Audit and CM (Continued)**

2

MRB Delegation/Authorization: Yes

Design Approval and/or Change Authorization: Yes

DER Authorization: Yes

Direct Ship Authorization: Yes

DMIR Authorization: Yes

We request the following activities be conducted by your office:

Pre-Approval

A. MIDO Audit

- Respond to Requesting MIDO Acknowledging Receipt of Request
- Review and Evaluate the Capability of Associate Facility Utilizing ACSEP Criteria
- Verify Supplier Approval Process
- Review and Report Any Compliance and Enforcement Actions
- Record and Report the Results of the MIDO Audit to the Requesting MIDO

Post-Approval

A. Certificate Management

- Establish Project Number
- Special Evaluation when requested
- Risk Management Assessment
- Corrective Action Follow-Up
- ACSEP Evaluations
- PI Evaluation (Including Any Quality Processes and Special Manufacturing Processes to Approved PAH Requirements)
- Review and Evaluate Changes to Quality Manual
- Product Audits
- Supplier Control Audits

B. Designee Management (Order 8100.8)

- Monitor Activity
- Perform Annual Review
- Maintain Designee File
- Conduct Supervision and Complete Form 8130-14
- Delegate DMIR(s) to Perform Authorized Functions

C. Other/Remarks

**Figure 2-14. Sample Hand-Off Memo for
Requesting a MIDO Audit and CM (Continued)**

3

Document Certificate Management Activity in CMIS

After your satisfactory completion of the MIDO audit, this office will notify Airplane Aircraft Company that its request to add ABC Company as an associate facility has been approved. In addition, we will amend or have its production approval(s) (i.e., PC, PMA, or TSO authorization) amended to reflect the addition of this associate facility. A copy will be forwarded to your office.

After the extension is granted and you receive a copy of the amended production approval, we request that your office conduct certificate management activities in accordance with chapter 3 of Order 8120.2F. Please coordinate your certificate management visits with this office, so that we can provide you with applicable information/data needed for corrective action follow-up, special evaluations, etc. We would also like to have copies of all noncompliances, service difficulties, concerns, or items of interest identified during the conduct of certificate management activities.

Attachment

Letter from Airplane Aircraft Company

Chapter 3. Certificate Management Procedures

Section 1. Introduction

3-1. Chapter Information and Format. This chapter provides guidance on the method by which manufacturing inspection ensures that PAHs and associate facilities remain in compliance with those pertinent regulations that govern the manufacturing of their particular products or parts, as required by 49 USC § 44713. This method is known as certificate management. Certificate management responsibilities for a PAH or an associate facility will be accomplished by the MIDO/CMO having responsibility of the geographical area in which the PAH or associate facility is located. Certificate management comprises the following two functional responsibilities, each of which is further detailed in sections 2 and 3 of this chapter. Figure 3-1 of this chapter depicts the CM life cycle process.

a. Ongoing CM Responsibilities. The MIDO/CMO responsible for a specific PAH or associate facility within its geographical boundaries accomplishes the following tasks on a continuing basis. Any tasks required to be scheduled and conducted at a supplier facility located in another U.S. geographical area should be handled in accordance with paragraph 3-26 of this order. For tasks required to be scheduled and conducted outside the United States, refer also to paragraph 3-7 of this chapter.

(1) Schedule and conduct RBRT assessments of PAHs and associate facilities to identify any increased potential for producing nonconforming products or parts.

(2) Schedule and conduct PI and ACSEP evaluations at PAHs and associate facilities based on RBRT assessments.

(3) Schedule and conduct supplier control audits to determine that PAHs and associate facilities are satisfactorily controlling their suppliers.

(4) Schedule and conduct product audits on production products or part(s).

b. Random CM Responsibilities. The following tasks are accomplished on an as-required basis by the MIDO/CMO responsible for a specific PAH or associate facility within its geographical boundaries. Any tasks required to be scheduled and conducted at a PAH or supplier facility located in another geographical area should be handled in accordance with paragraph 3-26 of this order.

(1) Evaluate changes to a PAH's or associate facility's quality control or inspection system that may affect the inspection, conformity, or airworthiness of the product or part(s).

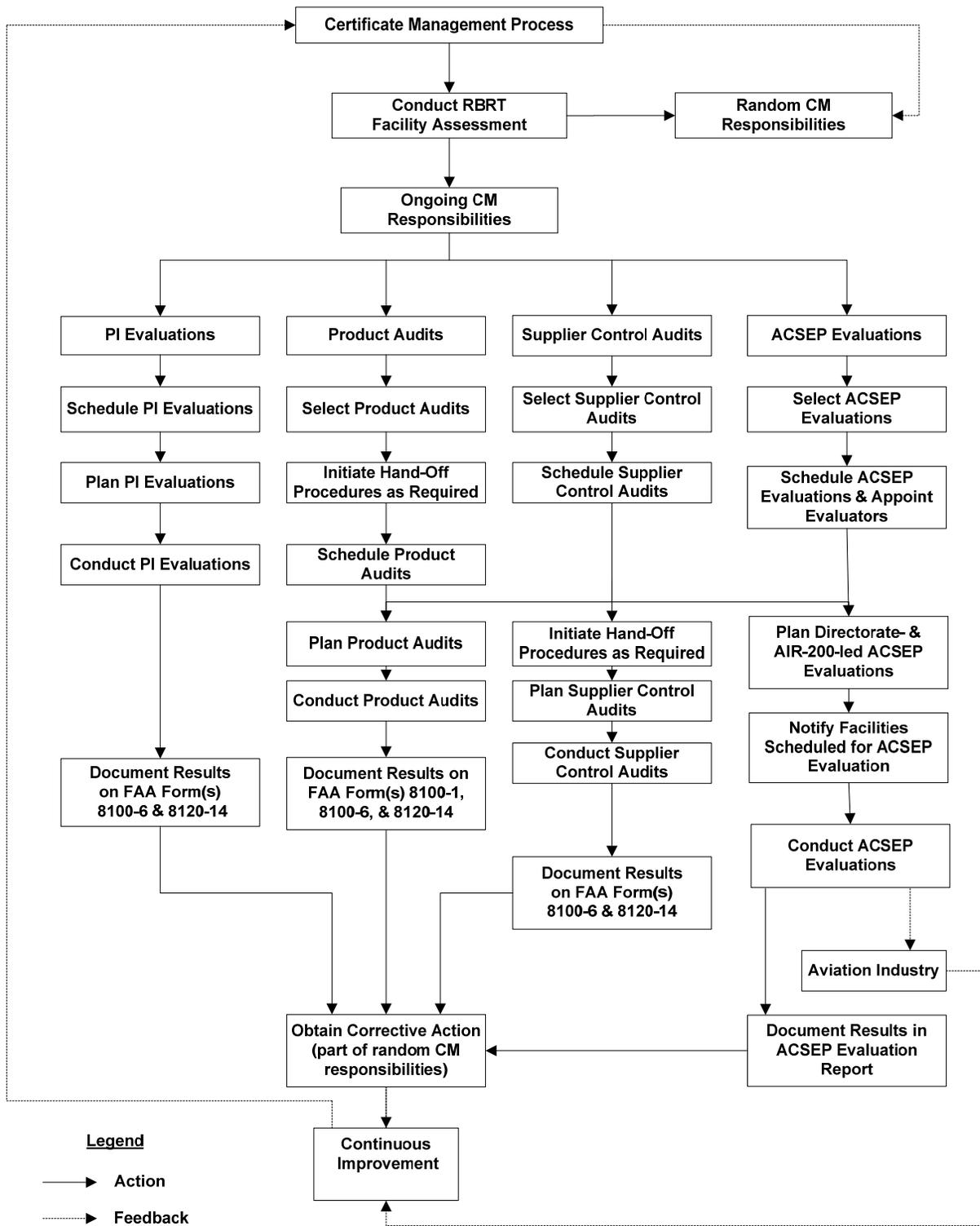
(2) Investigate service difficulties that involve quality control or inspection problems.

(3) Investigate regulatory violations.

(4) Ensure that appropriate corrective actions have been proposed and taken for all noncompliances identified at a PAH or associate facility.

Figure 3-1. Certificate Management Life Cycle Process

*



*

3-19. Certificate Management Activity. The FAA does not approve suppliers. However, the PI should review a PAH's or associate facility's list of suppliers to determine if the location of a supplier outside the United States will place any undue burden on the FAA in administering part 21. A determination of undue burden is cause for rejecting the use of a supplier by the PAH or associate facility. Certificate management activity will be focused on the PAH's or associate facility's control of its suppliers, since the PAH or associate facility is totally responsible for all of its supplier-furnished parts and services. The FAA will determine if a PAH or associate facility is complying with its supplier control system by performing the following activities:

a. PI Evaluation. Refer to part 4 of this section. Specifically, the PI will use the ACSEP supplier control system element criteria from Order 8100.7 to determine if a PAH or associate facility is complying with its supplier control system.

b. Supplier Control Audit. Refer to subpart B of this part. Specifically, the PI will determine that the supplier complies with purchase order and/or quality requirements. In some instances, this activity may be handed off to another MIDO/CMO, or may require CAA assistance.

3-20. Determination of Supplier Control. The PI may determine whether a PAH or associate facility is controlling its suppliers by reviewing the results of the PI evaluation at the PAH or associate facility, when applicable, and the results of the supplier control audits at the selected PAH/associate facility suppliers, including the results of all applicable CAA audits. This review should be accomplished annually, immediately following the last scheduled supplier control audit, PI evaluation, or CAA audit, whichever occurs last. During the review, the PI should look for evidence that may indicate a system breakdown in supplier control by the PAH or associate facility. When a systemic noncompliance is identified, the PI will prepare Form 8100-6 and retain all applicable objective evidence in accordance with Manual FAA-IR-04-01, AIR Records Management Requirements Manual. The PI will request corrective action for a system breakdown in accordance with section 3, part 4, of this chapter.

3-21. Reserved.

Subpart B. Supplier Control Audit

3-22. Scheduling. A supplier control audit is conducted as part of the CM of the PAH or associate facility that evaluates the system established to control the parts, materials, supplies, and services provided by outside sources. This audit is conducted by the MIDO/CMO assigned CM responsibility for the PAH or associate facility. If specific expertise is required during this audit, the PI should advise the MIDO/CMO manager. If a supplier control audit is required in another geographic MIDO/CMO, the PI will comply with the hand-off procedures in paragraph 3-26 of this order. A supplier control audit is applicable to suppliers of a PAH or associate facility as determined by the selection process identified in paragraph 3-23 of this order. The supplier control audit will determine that the supplier complies with purchase order and/or quality requirements, including any statistical sampling that may be utilized. The PI should prepare an audit checklist for each supplier to be audited based on the applicable purchase order and/or quality requirements from the PAH or associate facility. Schedule a supplier control audit in accordance with the results of the latest RBRT assessment as follows:

Note: The scheduling requirements listed in paragraphs a through c below are considered to be the minimum requirements. Refer also to figure 3-2 of this order. A MIDO/CMO may schedule additional supplier control audits at specific facilities when required to ensure continued operational safety.

a. High Risk Facility. For PAHs having a screened supplier listing, as described in paragraphs 3-23e and 3-23f of this order, of:

(1) Less than or equal to 50, a supplier control audit will be conducted at three suppliers annually.

(2) Greater than 50, but less than or equal to 100, a supplier control audit will be conducted at six suppliers annually.

(3) Greater than 100, a supplier control audit will be conducted at nine suppliers annually.

b. Medium Risk Facility.

(1) **Medium High.** A supplier control audit will be conducted every 18 months.

(2) **Medium Low.** A supplier control audit is not required.

c. Low Risk Facility. A supplier control audit is not required.

3-23. Supplier Selection. Selection of suppliers subject to supplier control audits will be performed as follows:

Note: The supplier selection process, although automated in CMIS, may be accomplished manually. Therefore, it will be optional for the PI to enter all of the PAH's suppliers into CMIS.

a. After completing the RBRT assessment, each PI will identify the number of supplier control audits to be performed by using the guidance described in paragraphs 3-22a through 3-22c of this order.

b. Next, the PI must obtain access to the PAH's supplier listing.

c. The PI will select candidates for supplier control audits using a random sampling method in order to minimize biasing the results. For supplier selection purposes, a random number generator method will be used. In cases in which the supplier selection process automated in CMIS is not utilized, each MIO will determine the method of generating random numbers, using the Internet as a possible source. The PI will use these randomly generated numbers to determine which suppliers receive an audit. Using the random number generator method, the PI will select the appropriate minimum number of supplier control audits required.

d. The PI will match the randomly generated numbers to the PAH's or associate facility's supplier control listing. For example, Company ABC was rated as a High Risk facility and has 40 suppliers on its supplier control listing. The minimum number of supplier control audits for a High Risk facility with 40 suppliers is three. Using the random number generator method, the PI selects the first three numbers from the generated list of 40 random numbers, which for the purpose of this example would be 5, 8, and 24. The PI will then count down the supplier listing and choose the 5th, 8th, and 24th suppliers on the list.

e. The PI will screen each of the suppliers selected, taking into consideration the following factors: part complexity or criticality, recipient of a supplier control audit in the previous year, significant service difficulty activity at a supplier, inspectability upon receipt, delegation of major inspections, direct-ship authority, delegation of MRB, or supplier performance. If, based on these factors, the PI decides not to audit a selected supplier, the PI should select the next number on the generated list and screen that supplier against the listed factors. Continue this process until the required number of suppliers is selected.

f. As an alternative to the supplier selection process described above, the PI may apply the screening criteria identified in paragraph 3-23e of this order to all suppliers on the PAH's supplier listing, thereby compiling a screened list of suppliers suitable for a supplier control audit. The PI will then randomly select the required number of suppliers from the screened list in accordance with the procedures described in paragraphs 3-23c and 3-23d of this order.

Note: In cases where the PAH or associate facility supplier base is less than or equal to the minimum number of supplier control audits required, the PI will schedule and conduct a supplier control audit at each of the PAH's or associate facility's suppliers. When the results of the supplier control audits indicate a continuing trend of effective supplier control by the PAH or associate facility, the PI may elect to reduce the number of supplier control audits to be conducted.

g. There may be reasons such as part complexity or criticality, size of the PAH's or associate facility's supplier base, significant service difficulty activity at a supplier, delegation of major inspections, or supplier performance where the PI may want to do more than the minimum number of supplier control audits. The PI should remember, however, that the purpose of the supplier control audit is to determine that a PAH or associate facility is satisfactorily controlling its suppliers, not to evaluate the performance of the supplier. Specific supplier issues should be evaluated using the product audit described in section 2, part 6 of this chapter.

3-24. Directorate Supplier Control Audit List. Each MIDO/CMO will prepare a supplier control audit list annually to document the results of the selection of suppliers described in paragraph 3-23 of this order.

a. The supplier control audit list will include the name and address of the selected supplier, the name and address of the responsible PAH or associate facility, the scheduled date of supplier control audits to be conducted by the MIDO/CMO, and identification of any supplier control audits that may be handed off to other directorates or may require the assistance of a CAA in a bilateral country.

Note: When feasible, the MIDO/CMO should schedule the supplier control audit for a time when the supplier has an active purchase order from the PAH or associate facility. A supplier control audit may be scheduled in conjunction with an ACSEP evaluation, provided the audit (1) occurs in the same fiscal year, (2) does not divert resources, and (3) is conducted and reported separately from the ACSEP evaluation.

b. Each MIDO/CMO will complete a supplier control audit list in accordance with the instructions provided in CMIS, no later than May 15 every year. This list will be used to plan resource allocation in the next fiscal year. The MIO manager will ensure that the lists submitted by each MIDO/CMO are reviewed for completeness and for identification of duplicate suppliers. When the same supplier is selected by different MIDOs or CMOs, the MIO manager should ensure that only one audit is scheduled at that supplier; however, compliance to the requirements of all applicable PAHs or associate facilities should be audited at that supplier. The MIO manager should also determine which MIDO/CMO will conduct the audit, and whether representation from other MIDOs or CMOs is required. When all discrepancies with the lists are resolved, the MIO manager will ensure that a consolidated directorate supplier control audit list is prepared and made available in CMIS.

c. The completed directorate list, described in paragraph 3-24b of this order, must be available in CMIS to all other MIO managers no later than May 30 every year. All MIO managers should ensure that supplier control audit lists received from other directorates are reviewed to identify duplicate suppliers, potential hand-offs that affect their offices, and supplier control audits to be conducted by the FAA at multiple international suppliers in the same country.

* **3-25. Coordination of Supplier Control Audits Between Directorates.** Coordination between MIO managers should ensure only one audit is scheduled at a supplier, whether all affected PAHs will be evaluated as part of the audit, and to identify audit participant(s).

a. Hand-Offs. MIO managers should accept and support hand-offs of supplier control audits that are scheduled within the minimum requirements of paragraph 3-22 of this order. MIO managers should ensure that supplier control audits that are handed off to their directorates are added to their directorate supplier control audit lists and scheduled. Updated directorate supplier control audit lists should be provided to the other MIO managers. There should be no hand-offs of supplier control audits that are scheduled beyond the minimum number required, unless an agreement is made with the MIO of the directorate where the supplier is located. Contentious hand-offs, such as those that have significant resource implications, should not be scheduled at this time. Participants should discuss contentious hand-offs and agree on an appropriate solution.

b. Supplier Control Audits to be Conducted by the FAA at Multiple International Suppliers in the Same Country. MIO managers should identify one FAA office as a lead office to coordinate all audit activities, which includes notifying the responsible CAA and inviting its participation. MIO managers should determine whether representation from other MIOs is required.

*

3-26. Domestic Hand-Off Procedures. After receipt of the finalized Directorate Supplier Control Audit List referenced in paragraphs 3-24 to 3-25 of this order, the following hand-off procedures will be used for suppliers located in the United States:

a. The MIDO/CMO will forward a memorandum to the MIDO/CMO having geographical responsibility of the area in which the supplier is located, no later than 75 days prior to the scheduled audit. The memorandum will indicate the type of audit that should be conducted, i.e., supplier control audit or product audit, and will include all pertinent information regarding the audit including, when appropriate:

(1) The name and address of the supplier and the responsible PAH, including the PAH's project number.

(2) The name, title, and telephone number of the person to contact at the supplier and PAH facilities who can furnish purchase order(s), QC or FIS data, technical data, and other pertinent information.

(3) A copy of the PAH's, or supplier's, QC or FIS procedures that are required to be implemented at the particular supplier's facility, unless these documents are available to the FAA at the supplier's facility.

(4) Any delegation of MRB and/or technical data change control authority.

(5) Any authority permitting direct shipment.

(6) Any other information regarding specific supplier activities that should be evaluated, such as a new process or new technology.

(7) Information pertinent to a product or part(s) to be audited, such as part number, next level of assembly, or service difficulty or warranty return history.

b. When a geographic MIDO/CMO receives a request for a supplier control audit or product audit located within its geographical boundaries, it will:

(1) Advise the requesting MIDO/CMO of receipt of the request within 30 days.

(2) Add the audit to the CM plan. Notify the responsible PAH or associate facility in accordance with paragraph 3-27 of this order.

(3) Submit a memorandum to each requesting MIDO/CMO upon completion of the supplier control audit or product audit. This memorandum should summarize the results of the audit, and include all applicable Form(s) 8100-6, 8100-1, and 8120-14, or printed copies of electronic equivalents. The requesting MIDO/CMO will consider its hand-off request complete upon receipt of this memorandum.

c. Corrective Action Validation. Occasionally, it may be necessary to validate corrective actions at a supplier facility located outside of the geographical boundary of the responsible CM office. When a hand-off to the geographic MIDO/CMO is appropriate for this purpose, the following hand-off procedures will be used:

(1) The MIDO/CMO will forward a memorandum to the MIDO/CMO having geographical responsibility of the area in which the supplier is located. The memorandum will identify whether the corrective action to be validated is a short-term or long-term action, and will include all pertinent information regarding the corrective action to be validated. The memorandum also will specify a date for responding to the corrective action validation request. The memorandum should include, when appropriate:

(a) The name and address of the supplier and the responsible PAH, including the PAH's project number.

(b) The name, title, and telephone number of the person to contact at the supplier and PAH facilities that can furnish purchase order(s), QC or FIS data, technical data, or other pertinent information.

(c) A copy of the PAH's or supplier's QC or FIS procedures that are required to be implemented at the particular supplier's facility, unless these documents are available to the FAA at the supplier's facility.

(d) A copy of the noncompliance.

(e) A copy of the PAH's corrective action response.

(f) A copy of the supplier's corrective action response to the PAH.

(2) When a geographic MIDO/CMO receives a request for a corrective action validation at a facility located within its geographical boundaries, it will:

(a) Advise the requesting MIDO/CMO of receipt of the request within 30 days.

(b) Submit a memorandum to the requesting MIDO/CMO upon completion of the corrective action validation. This memorandum should summarize the results of the validation, and include all applicable Form(s) 8100-6 or 8100-1, or printed copies of electronic equivalents. The requesting MIDO/CMO will consider its hand-off request complete upon receipt of this memorandum.

Part 4. Principal Inspector Evaluation

3-30. Scheduling. A PI evaluation is an evaluation conducted by a PI at a PAH or associate facility, normally by the PI assigned CM responsibility. If specific expertise is required during a PI evaluation, the PI should advise the MIDO/CMO manager. A PI evaluation will be scheduled in accordance with the results of the latest RBRT assessment. Refer also to figure 3-2 of this order. ACSEP system element criteria from Order 8100.7 will be used to conduct PI evaluations. The PI evaluation will be scheduled and conducted as follows:

Note: The scheduling requirements listed in paragraphs a through c below are considered to be the minimum requirements. A MIDO/CMO may schedule additional PI evaluations at specific facilities when required to ensure continued operational safety.

a. High Risk Facility.

(1) A PI evaluation will be conducted at each High Risk facility at least once every quarter.

(2) Evaluation of *all* system elements/subelements *applicable* at the specific facility *will be* completed at least once in the interval between ACSEP evaluations. A few of the system elements/subelements should be evaluated during each PI evaluation. Initial emphasis should be placed on evaluation of the top two noncompliant system elements/subelements applicable at the facility, as identified annually by each directorate through an analysis of CMIS data.

b. Medium Risk Facility.

(1) A PI evaluation will be conducted at each Medium Risk facility at least once every 18 months.

(2) Evaluation of *all* system elements/subelements *applicable* at the specific facility *will be* completed at least once in the interval between ACSEP evaluations. A few of the system elements/subelements should be evaluated during each PI evaluation. Initial emphasis should be placed on evaluation of the top two noncompliant system elements/subelements applicable at the facility, as identified annually by each directorate through an analysis of CMIS data.

c. Low Risk Facility.

(1) A PI evaluation will be conducted at each Low Risk facility at least once every 24 to 36 months.

(2) Evaluation of the top two noncompliant system elements/subelements applicable at the facility, as identified annually by each directorate through an analysis of CMIS data, *will be* completed at least once in the 24- to 36-month period.

3-31. Recording a PI Evaluation. Record a PI evaluation on Form 8120-14. Complete one form for each PI evaluation conducted. Prepare this form in accordance with appendix G of this order. Document noncompliances on Form 8100-6. Refer to appendix F of this order.

* **Note: When performing a PI evaluation that includes a review of a PAH's supplier records, the PI will record the information required in Order 8100.7, paragraph 4-14d(2)(a) through (c) on Form 8100-1.** *

3-32. Reserved.

Part 5. Aircraft Certification Systems Evaluation Program Evaluation

3-33. Scheduling. An ACSEP evaluation is an integral part of the ongoing CM responsibilities. Specific guidance concerning an ACSEP evaluation is contained in Order 8100.7. Evaluations will be scheduled in accordance with the results of the latest RBRT assessment. Refer also to figure 3-2 of this order. The ACSEP evaluation will be scheduled as follows:

Note: The scheduling requirements listed in paragraphs a through c below are considered to be the minimum requirements. A MIDO/CMO may schedule additional ACSEP evaluations at specific facilities when required to ensure continued operational safety.

a. High Risk Facility. An ACSEP evaluation will be conducted at each High Risk facility at least once every 24 months.

b. Medium Risk Facility. An ACSEP evaluation will be conducted at each Medium Risk facility at least once every 32 to 48 months.

c. Low Risk Facility. An ACSEP evaluation is not required.

3-34. Reserved.

Part 6. Product Audit

3-35. Scheduling. A product audit evaluates the effectiveness of the PAH's or associate facility's quality control or inspection system and the airworthiness of products utilizing critical and certain non-critical characteristics and/or processing attributes generated during the manufacturing process. The product audit may be initiated at any point in the manufacturing process after inspections have been completed. The product audit is conducted at a production approval holder or associate facility, but may also be conducted at a supplier facility where a product or part(s) is manufactured. If specific expertise is required during this audit, the PI should advise the MIDO/CMO manager. If a product audit is required in another geographic MIDO/CMO, the PI will comply with the hand-off procedures in paragraph 3-26 of this order. A product audit will be scheduled in accordance with the results of the latest RBRT assessment as follows:

Note: The scheduling requirements listed in paragraphs a through c below are considered to be the minimum requirements. See also figure 3-2 of this order. A MIDO/CMO may schedule additional product audits at specific facilities when required to ensure continued operational safety.

a. High Risk Facility. A product audit will be conducted in conjunction with PI evaluations at each High Risk facility at least twice every 12 months.

b. Medium Risk Facility. A product audit will be conducted during every scheduled ACSEP evaluation at each Medium Risk facility.

c. Low Risk Facility. A product audit is not required.

3-36. Selection of Product Audit Characteristics. The product audit will be conducted utilizing critical characteristics and/or critical processing attributes generated during the manufacturing process, as well as certain non-critical characteristics and/or non-critical processing attributes. These characteristics and attributes are defined as follows:

a. Critical characteristics are those where failure to maintain conformity could cause loss of function and create an unsafe condition. Critical process attributes are those where lack of conformity directly affects the product or part(s) and could cause failure or create an unsafe condition. The selection of the critical characteristics and/or critical process attributes is determined by reviewing the following (this review does not need to be documented):

(1) Known service problem areas.

(2) Characteristics/attributes that are operator controlled.

(3) Characteristics/attributes classified as critical as defined by the PAH's or associate facility's Engineering Drawings, Process Specifications, Test Specifications, and Quality Control Procedures.

(4) Service Difficulty Reports (SDRs). Information related to SDRs can be found on the Flight Standards Service Aviation Information Web site, located at <http://av-info.faa.gov/sdrx/>.

*

b. In addition to critical characteristics and/or critical processing attributes, the PI may select certain non-critical characteristics and/or non-critical processing attributes, such as radiuses, surface finishes, machine to cast features, cad plating, NDI, etc.

3-37. Product Audit Areas. The product audit may be divided into one or more of the following areas:

a. Final Product.

b. Subassembly.

c. Detail Parts.

d. Raw Material.

3-38. Product Audit Criteria. The audit criteria used in the performance of a product audit to establish conformity to approved type design are listed below. This audit criteria is a minimum and not all-inclusive. Figure 3-4 indicates which criteria are applicable to each product audit area, as a minimum.

Note: A product audit is not a re-inspection by the FAA representative. Rather, it is the FAA representative witnessing the re-inspection by the PAH, associate facility, or applicable supplier. The PAH's, associate facility's, or applicable supplier's personnel are responsible for the handling of the part(s) during the product audit.

a. Operational/functional. Verify that the subassembly or final product conforms to the functional/operational test criteria (e.g., revalidating test results, test setup, software revision, software checksum, rig approval, certified equipment, use of approved procedures, certified test parameters, use of required rig, and calibration).

b. Dimensional. Compare actual recorded measurement(s) of the selected characteristic with the approved design data. Verify characteristics are inspected using the correct calibrated tooling, gauging, fixtures, etc., surface finish dimensions and radius meet drawing tolerances, inspections are performed in proper sequence (following work instructions); e.g., review or revalidate inspection records.

* **c. Visual.** Inspect part for obvious external defects; e.g., corrosion, burrs, handling damage, and scratches. *

* **d. Identification.** Compare actual identification plates, tags, markings etc. with approved design data or purchase order requirements and verify that identification is maintained throughout the product line; e.g., part numbers, serial numbers, lot numbers for raw material, and inspection stamps. For software revision verification, verify software part number can be displayed on screen or software load verified by documentation review. *

* **e. Documentation.** Verify the latest revision level or changes, proper work instructions, completed operations, proper authorizations; proper use of statistical sampling; e.g., certificate of conformance, work travelers, blueprints, specifications, and first article inspection records. *

* **f. Special Processes.** Verify special processes are in accordance with approved process specifications. Verify operator qualification/certification; e.g., test coupons, training requirements for operators, test set-ups, and documentation. Verify oven surveys/calibration. For a chemical process such as plating, verify that control has been established over tank cleanliness and chemical concentration. *

g. Material. Verify that the PAH has verified that incoming raw material meets its specification requirements.

Figure 3-4. Applicability of Product Audit Criteria to Product Audit Areas (Minimum)

Product Audit Criteria	Product Audit Areas			
	Final Product	Subassembly	Detail Parts	Raw Materials
Operational/ functional	X	X		
Dimensional	X	X	X	X
Visual	X	X	X	X
Identification	X	X	X	X
Documentation	X	X	X	X
Special processes		X	X	X
Material		X	X	

* **3-39. Recording Product Audit Results.** All product audit results will be recorded on Form 8100-1. When unsatisfactory conditions are identified, prepare Form(s) 8100-6. The PI will retain all applicable objective evidence in accordance with FAA-IR-04-01, AIR Records Management Requirements Manual. *

* **3-40. Recording Completion of a Product Audit.** The completion of a product audit will be recorded on Form 8120-14 by the person conducting the audit. However, Form 8120-14 is not required for an ACSEP evaluation. When a product audit is conducted in conjunction with a PI evaluation or a supplier control audit, it may be recorded on the same form prepared for those activities. When a product audit is conducted as a stand-alone activity, one form will be completed for each product audit completed. Prepare this form in accordance with appendix G of this order. The PI will retain all applicable objective evidence in accordance with FAA-IR-04-01, AIR Records Management Requirements Manual. Any corrective action required should be accomplished in accordance with section 3, part 4 of this chapter. *

3-41. Reserved.

Section 3. Random CM Responsibilities

Part 1. Introduction

* **3-42. Section Information.** Parts 2 through 6 of this section provide guidance for accomplishing random CM responsibilities. The tasks discussed below are accomplished on an as-required basis. *

3-43. Reserved.

Part 2. Evaluation of Changes to a PAH's or Associate Facility's Quality or Inspection System

3-44. General MIDO/CMO Responsibilities. The cognizant MIDO/CMO must thoroughly review applicable changes to the quality control or inspection system required for the applicable production approval that may affect the inspection, conformity, or airworthiness of the product

or part(s). Refer to appendix A, paragraph 2, of this order for additional guidance. Any inadequacies in the quality control or inspection system must be identified to the PAH for corrective action.

Note: The approval or acceptance of changes at an associate facility will remain with the office having CM responsibility for the original PAH. If the original PAH has delegated responsibility to approve changes to the associate facility, the CM office of the associate facility will approve the changes.

3-45. Prioritization of Review. Review of a facility's changes to its quality control or inspection system should be prioritized according to its RBRT risk level. For example, the changes at a facility rated as High Risk will be reviewed prior to the changes for a facility rated as Medium Risk. Reviews of changes from facilities rated the same RBRT risk level will be prioritized by date of notification or receipt of applicable data.

3-46. Review of Changes. The cognizant MIDO/CMO should review changes to the quality control or inspection system to ensure that:

a. The quality control or inspection system will continue to adequately provide for the consistent acceptance of only those products or parts which are in conformity with the approved design data and in a condition for safe operation.

b. The quality control or inspection system will continue to meet the intent of the pertinent rules, and can be realistically implemented.

Note: The conditions identified in paragraphs 3-46a and 3-46b of this order may often be verified through data review alone. In some instances, however, on-site inspection or review may be required.

3-47. Post-Review Actions. The cognizant MIDO/CMO will:

a. Identify any inadequacies found in the changed quality control or inspection system and request corrective action from the PAH.

b. After any required corrective actions have been taken, process the changes as follows:

(1) For changes to a quality system at a PC or TSO authorization holder, forward a letter to the PAH approving the quality system changes, including applicable changes submitted to the FAA-approved inspection and test procedures. Refer to the sample letter in figure 3-5.

(2) For changes to an inspection system at an APIS or PMA holder, forward a letter to the PAH acknowledging that the changes comply with 14 CFR, including applicable changes to a quality manual submitted by a PAH. The FAA does not approve any quality manual or changes thereto submitted by an APIS or PMA holder since there is no 14 CFR requirement for submittal of data for approval. Refer to the sample letter in figure 3-6.

(3) The PI should update the CMIS project folder to reflect the current quality control or inspection system.

Figure 3-5. Sample Letter of Approval for Quality System Changes by a PC or TSO Authorization Holder



U.S. Department
of Transportation
**Federal Aviation
Administration**

DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
TRANSPORT AIRPLANE DIRECTORATE
SEATTLE MANUFACTURING INSPECTION DISTRICT OFFICE
2500 EAST VALLEY ROAD, SUITE C-2
RENTON, WASHINGTON 98055-4056

August 10, 2000

ABC Aircraft Company
4954 Airport Drive
Renton, Washington 12345

Notification of Quality Control System Change Status

We have completed our review and evaluation of the Quality Control System changes documented in your Quality Management Manual. Your submitted data meets [specify applicable CFR.] The Federal Aviation Administration (FAA) approves the submitted data. The FAA reserves the right to require changes, additions, or clarifications that may become necessary as a result of subsequent inspections and/or evaluations.

This notification should remain on file as evidence of FAA review of your Quality Control System document.

Document Name: Quality Management Manual.

Document Number: 101248

Revision Number: C

Date: June 30, 2000

Dewey Revu

Dewey Revu
[Principal Inspector or Manager]

Figure 3-6. Sample Letter of Acknowledgement for Inspection System Changes by an APIS or PMA Holder



U.S. Department
of Transportation
**Federal Aviation
Administration**

DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
NEW ENGLAND REGION
ENGINE AND PROPELLER DIRECTORATE
MANUFACTURING INSPECTION DISTRICT OFFICE
CORPORATE AIR BUILDING 85-214
BRADLEY INTERNATIONAL AIRPORT
WINDSOR LOCKS, CT 06096

July 26, 2000

ABC Aircraft Parts Company
4954 Airport Drive
Newington, Connecticut 12345

Notification of Inspection System Change Status

We have completed our review and evaluation of your Inspection System changes, as documented in the submitted data presented to the Federal Aviation Administration (FAA) as evidence of compliance. The submitted data meets [specify applicable CFR.] The FAA reserves the right to require changes, additions, or clarifications that may become necessary as a result of subsequent inspections and/or evaluations.

This notification should remain on file as evidence of FAA review of your Inspection System and submitted data.

Document Name: Inspection System Manual

Document Number: 11204

Revision Number: F

Date: March 15, 2000

Duke E. Season

Duke E. Season
[Principal Inspector or Manager]

3-48. Reserved.**Part 3. Investigation of Service Difficulties**

3-49. General Service Difficulties Information. This part provides guidance for conducting/participating in service difficulty investigations. Additional guidance is contained in FAA Order 8010.2, Flight Standards Service Difficulty Program.

a. Source. There are various means by which the FAA obtains information regarding service difficulties in TC products; for example:

(1) Manufacturer's notification of failures, malfunctions, and defects (reference § 21.3 and AC 21-9, Manufacturer's Reporting Failures, Malfunctions, or Defects).

(2) Service Difficulty Report (SDR) (reference §§ 121.703, 125.409, and 135.415).

(3) Mechanical Interruption Summary (MIS) Report (reference §§ 121.705 and 135.417).

(4) Repair station reports of unairworthy conditions.

(5) Accident and Incident Report (reference 49 U.S.C., subtitle II, chapter 11, subchapter III, sections 1131 through 1136).

(6) User complaints (general public, military, and foreign governments).

(7) Reports and information received from other FAA and government offices.

* (8) FAA Web site for submission and review of SDRs: <http://av-info.faa.gov/sdrx/>. *

b. MIDO/CMO and ACO Investigation. Upon receipt of a service difficulty report, the MIDO/CMO having CM over the manufacturer of the identified product or part(s) will investigate the information and determine if design or production deficiencies are involved.

* The cognizant ACO is responsible for overseeing the certificate holder's corrective action to any design deficiencies. *

c. MIDO/CMO Responsibility. The MIDO/CMO will assign a high priority to service difficulty investigations, which must be completed as expeditiously as possible. The identity of a firm or private person reporting service difficulties to the FAA will not be revealed to the manufacturer. The FAA must witness any tear-down inspections or testing to be performed on defective products or parts when such products or parts are flagged (by FAA tags or forms) as requiring the presence of an FAA inspector during the tear-down, inspection, or test, as applicable.

3-50. Investigation. The assigned aviation safety inspector (ASI) will make an investigation, independent of that performed by the manufacturer, of reported service difficulties, in accordance with the criteria contained in Order 8010.2. The ASI will also investigate, and include in the report, the results of any investigation conducted by the manufacturer.

3-51. Corrective Action. The MIDO/CMO will formally request the manufacturer to take corrective action when the investigation discloses unsatisfactory conditions in conformity, QC, or workmanship. In such cases, particular emphasis must be placed on determining by examination or reexamination of all related QC practices, data, records, etc., whether the discrepancy may also involve products and parts in service, in the manufacturing process, or spares, either in storage or shipped to users. If justified, airworthiness directive action should be recommended to the responsible ACO.

3-52. Reporting a Service Difficulty Investigation.

a. Service Difficulty Investigation Report. The MIDO/CMO will prepare and process a report of service difficulty investigation in accordance with this order, Order 2150.3, and Order 8010.2. The report may be in the form of a memorandum or any other acceptable manner and will include as a minimum, the following information:

- (1) Name and address of manufacturer.
- (2) Type and number of certificates or approvals held.
- (3) Make, model, and part number, as appropriate, to positively identify the defective product or part(s).
- (4) Inspector's statement of findings, including an evaluation of any investigation conducted by the manufacturer.
- (5) Inspector's conclusion as to the cause of the service difficulty.
- (6) All corrective actions requested by the MIDO and/or taken by the manufacturer including a copy of the MIDO letter to the manufacturer and the manufacturer's reply.
- (7) Effect on products in service.
- (8) Recommendations and/or further actions required.

b. Interim Report. In the event that the investigation is delayed for any reason, and if requested by the MIO, the MIDO/CMO will prepare an interim report of service difficulty investigation outlining the progress of the investigation.

c. Violations. When the service difficulty report and the subsequent investigation indicate that a violation exists, the investigating and reporting procedures in Order 2150.3 will also be followed.

* **d. Organization Designation Authorization ODA Reports.** Upon notification by the FAA, ODA holders are required by § 183.63 to investigate and report to the FAA the results of their investigation and any action taken or proposed. These reports should be forwarded to the MIO and geographic ACO, which should initiate any actions deemed appropriate for the particular service difficulty involved. *

3-53. Foreign Manufacturers. Foreign manufacturers are exempted from the reporting requirements of § 21.3. When foreign manufactured products or articles approved under § 21.29, § 21.502, or § 21.617 are involved in service difficulties, the MIO in the directorate where the service difficulty occurred will initiate an investigation. A complete report will be provided to the MIO and Standards Staff of the Directorate having geographical responsibility over the particular country where the product or article manufacturer is located. Upon receipt and evaluation of the report, the MIO having geographical responsibility will bring the matter to the attention of the CAA for further investigation and corrective action as necessary. If critical parts, processes, or methods are involved, airworthiness directives or alert bulletin action should be considered. If the condition is serious and affects safety and if adequate corrective action is not immediately forthcoming from the foreign manufacturer or CAA, action under § 13.19 would also be necessary. Coordinate such enforcement action through the Assistant Chief Counsel, Enforcement Division, AGC-300, AIR-40, and the State Department.

3-54. Reserved.

* **Part 4. PAH Noncompliances and Corrective Action**

3-55. PAH Noncompliances. FAA CM responsibilities often result in identifying PAH noncompliances, which may or may not be regulatory violations of 14 CFR or FAA-approved data. When a noncompliance is determined to be a regulatory violation, it must be processed in accordance with Order 2150.3, FAA Compliance and Enforcement Program, and the AIR Enforcement Program as described in AIR Work Instructions (e.g., AIR-002-035-W1). Nonregulatory violations fall outside the scope of the FAA's compliance and enforcement program.

3-56. Types of Noncompliances. The following are the types of noncompliances typically identified during oversight, investigative, and surveillance activities that require corrective action to be taken. They are divided into regulatory and nonregulatory noncompliances to meet the requirements of the FAA's compliance and enforcement program.

a. Regulatory Noncompliances.

(1) Safety-Related Noncompliance. A noncompliance is safety-related when the PI, typically in conjunction with the aviation safety engineer, determines an unsafe condition exists on a product or part that requires immediate action. If the noncompliance affects delivered products or parts, obtain from the facility a list of the end users affected and immediately notify the cognizant affected FAA office. *

*

(2) Systemic Noncompliance with 14 CFR or FAA-Approved Data. A noncompliance is a systemic noncompliance when the PI finds a systemic breakdown in the PAH's compliance with the applicable 14 CFR or FAA-approved data.

(3) Systemic Noncompliance with Purchase Order Requirements (by a Supplier to a PAH or Associate Facility). A noncompliance is a systemic noncompliance with purchase order requirements when the PI finds a systemic breakdown in a supplier's compliance with the purchase order requirements flowdown from the PAH or associate facility to the supplier.

(4) Isolated Noncompliance with 14 CFR or FAA-Approved Data. A noncompliance is an isolated noncompliance when the PI finds an isolated occurrence of noncompliance with the applicable 14 CFR or FAA-approved data.

(5) Isolated Noncompliance with Purchase Order Requirements (by a Supplier to a PAH or Associate Facility). A noncompliance is an isolated noncompliance with purchase order requirements when the PI finds an isolated occurrence of noncompliance with the purchase order requirements flowdown from the PAH or associate facility to the supplier.

b. Nonregulatory Noncompliances.

(1) Systemic and Isolated Noncompliance with the Facility's Internal Procedures. A systemic and isolated noncompliance to a facility's internal procedures is when a PAH fails to follow self-imposed internal procedures that do not violate 14 CFR and are not part of the FAA-approved system. Because these procedures are self-imposed, these noncompliances are considered nonregulatory noncompliances.

(2) Certification-Related Noncompliance. A certification-related noncompliance is when a condition exists where the data the FAA has approved does not meet 14 CFR. These noncompliances are considered nonregulatory noncompliances.

3-57. Documenting Noncompliances. As indicated in paragraph 3-8 of this order, noncompliances are recorded on Form 8100-6. The PI will review each item on Form 8100-6 to determine if the noncompliance is regulatory or nonregulatory. Once the PI determines the appropriate categorization, they will take the following actions:

a. Regulatory Noncompliances. Regulatory noncompliances will be processed in accordance with the guidance outlined in FAA Order 2150.3 and AIR Work Instructions (for example, AIR-002-035-W1).

b. Nonregulatory Noncompliances. Nonregulatory noncompliances are generally processed using the following steps:

(1) Issue a letter informing the PAH of the conditions found and requesting them to provide a corrective action response.

(2) Follow up with the PAH to verify actions have been taken.

*

* **3-58. Processing Noncompliances.** The following are additional considerations when determining the proper means to document a noncompliance.

a. If a facility provides objective evidence, subsequent to the issuance of a Form 8100-6, that justifiably negates the basis of the reported noncompliance, a request for corrective action of that noncompliance will not be required. The PI will retain the Form 8100-6 and all applicable evidence in accordance with FAA-IR-04-01, AIR Records Management Requirements Manual.

b. If the noncompliance meets the definition of a SUP, as described in FAA Order 8120.16, Processing Reports of Suspected Unapproved Parts, the PI must report the SUP in accordance with FAA Order 8120.16.

c. If the noncompliances identified on Form(s) 8100-6 are found during a supplier control audit or product audit conducted as the result of a hand-off, the Form 8100-6 will be transmitted to the requesting MIDO/CMO for action.

d. If the PI determines, subsequent to finalizing an audit or evaluation, that the noncompliance recorded on Form 8100-6 is incorrect and should be changed, the PI will:

(1) Prepare a memorandum providing justification for changing the type of noncompliance.

(2) Obtain written concurrence (signature) on the memorandum from their manager.

(3) Inform the ACSEP team leader or principal evaluator of the change, if applicable.

(4) Complete a revised Form 8100-6, corresponding to the changed type of noncompliance.

(5) Retain the original Form 8100-6, the signed justification memorandum, the revised Form 8100-6, and any applicable objective evidence, in the office project folder.

3-59. Obtaining Corrective Action. Corrective action for regulatory noncompliances will be performed in accordance with AIR Work Instructions (for example, AIR-002-035-W1). Corrective action for nonregulatory noncompliances will be processed in accordance with paragraph 3-57(b) of this order.

3-60. Reserved.

*

* **Part 5. Unscheduled Audits, Evaluations, or Investigations** *

* **3-61. General Unscheduled Audit and Evaluation Information.** Section 2 of this chapter provides for scheduled PI evaluations, product audits, supplier control audits, and ACSEP evaluations. However, any one of these audits or evaluations may be performed on a non-scheduled basis at the discretion of the managing office whenever necessary to ensure continued operational safety. This chapter also discusses investigation of service difficulties and regulatory violations. Other random investigations may arise for purposes such as SUP or whistleblower allegations. *

* **3-62. Non-Scheduled CM Audits/Evaluations.** The managing office will determine the type of audit or evaluation that will provide the best assessment of the applicable situation. A non-scheduled CM audit or evaluation will be planned, conducted, and reported in accordance with section 2 of this chapter to the greatest extent practicable. Appropriate emphasis on planning the audit or evaluation should be provided despite the reduced time that may be available between the decision to conduct the audit or evaluation and the actual conduct of the audit or evaluation. Notification of the non-scheduled audit or evaluation to the PAH or associate facility should be provided as soon as practicable. For a PAH or associate facility located outside the United States, the responsible CAA also should be provided notification as soon as practicable. Situations that may warrant a non-scheduled audit or evaluation may include: *

- a. Accidents and incidents.
- b. Deliberate violations.
- c. Repetitive SDRs.
- d. SUP investigations.
- e. Excessive owner/operator complaints.
- f. PAH's or associate facility's refusal/failure to take appropriate corrective action.
- g. PAH's or associate facility's inability to control suppliers.
- h. Renewal of a PAH's or associate facility's production activity after a prolonged period of inactivity.
- i. Relocation of production facility.

j. Surveillance Requests from CAAs. A U.S. manufacturer that has entered into a supplier, subcontractor, or other similar relationship with a foreign manufacturing entity (e.g., a manufacturer of aircraft, aircraft engines, or propellers; a repair station; or an air carrier) may produce, identify and deliver civil aeronautical products and parts to that entity without obtaining an FAA design and production approval under part 21. The purchase order or similar contract/procurement agreement, from the foreign manufacturer to the supplier manufacturer should provide any evidence of the sales relationship to the FAA as needed. These products or parts are to be produced in support of a design approval issued by a CAA, to include modifications made to a type design by repair stations or air carriers (e.g., TC, STC, CAA-approved modification). The regulatory responsibility for control or oversight of a U.S. manufacturer acting strictly as a supplier to a foreign manufacturing entity resides with the CAA having oversight of that design and/or production approval. The FAA assumes no regulatory responsibilities for these programs and will provide assistance only in surveillance of the U.S. supplier through a special written arrangement with the CAA under the provisions of the bilateral agreement.

(1) A CAA request should include clear, concise, and specific instructions to the FAA that includes the following: company name, address, phone number, and point of contact; details concerning the extent of surveillance to be conducted on behalf of the CAA; and, documentation to be submitted to the CAA. The responsible geographic MIO will ensure that the request is complete before assigning it to a MIDO/CMO.

(2) The responsible geographic MIDO/CMO will review all completed documentation being submitted to the CAA to ensure the requirements of the CAA request have been met. On completion of the review, and incorporation of any applicable corrections, the responsible geographic MIDO/CMO will prepare a cover letter to accompany the documentation and forward it to AIR-40 for review and comment. After incorporating any applicable corrections to the cover letter, the completed documentation and cover letter will be forwarded to the MIO manager for signature. The MIO manager will forward all documentation to the requesting CAA.

(3) When the CAA conducts its own surveillance activities at a U.S. manufacturer, the FAA may be invited to observe or participate. The responsible geographic MIDO/CMO should consider accepting the CAA invitation only when there is no impact on scheduled ongoing CM activities or other random CM activities with higher priority.

k. Any other situation as deemed necessary in the interest of safety.

* **3-63. Other Random Investigations.** SUP reports will be investigated in accordance with Order 8120.16. Any other investigations that may be required will be conducted in accordance with available specific guidance. In the absence of specific guidance, the managing office will determine the type of investigation that will provide the best assessment of the applicable situation. In some situations, a specific CM audit or evaluation may be appropriate. *

* **3-64. Reserved.** *

* **Part 6. Providing Guidance to a PAH or Associate Facility** *

* **3-65. Guidance.** The PI should provide guidance to a PAH or associate facility as necessary for the manufacturing of products or parts produced under the approved quality control or inspection system. The guidance provided by the PI may include, but is not limited to, the following: *

- a. Quality control or inspection system changes.
- b. Facility changes.
- c. Technical assistance.
- d. Updating supplier lists.
- e. Service difficulty and corrective action review.
- f. Support of ACSEP evaluations.
- g. Regulatory requirements, changes to guidance materials, or industry best practices.
- h. Understanding of applicable regulations.

- The number and variety of tests in a program should be considered. Some standards require many different types of tests. Others require a single type of test to be run several times.
- Consideration should be given to the ease of the test(s), as well as the general understanding of how to successfully complete the test(s). Some testing programs are relatively simple to complete, but improper selection of test articles is common. Therefore, these standards should be rated higher. Conversely, some tests are very complex, but test procedures and proper selection of test articles are well defined.
- Another consideration is whether specialized equipment and training is needed to perform the testing. If specialized equipment is needed, it generally follows that special qualifications to operate and maintain the equipment are needed. If either special equipment or training is needed to perform the testing, this should be taken into consideration.

No. 30	Injury/Fatal Accident Design Factor				
	Have the same or similar designs been factors in injury or fatal accidents?				
Possible Ratings	No accidents		Contributing factor		Casual factor
Score	1	2	3	4	5

Generally, if an incident or accident involved the same or similar design, then it is cause for concern when considering the probability of a noncompliance occurring.

It is also important to consider whether the same or similar design was a contributing or causal factor in an injury or fatal accident. Even the appearance that the design was involved could be relevant. Therefore, it is not necessary to wait until the official accident report is finalized before considering the design as a contributing factor. However, confidence of the contribution should be taken into account.

It is also important to note that it is not just the design itself that should be considered. If the project being evaluated is a modification or replacement part, the history of the product being modified is also relevant. If the product has had an incident/accident in a relevant area to the part/modification, consideration should be given.

* **Note: The PI will use databases in assessing this indicator. In the absence of such databases, the PI should assess the indicator based upon their knowledge of any issues specific to the PAH. If the PI has no knowledge of any issues, they should score the indicator as a 1.**

*

No. 31	AD/SAIB Design Factor				
	Have the same or similar designs been factors in the issuance of an Airworthiness Directive (AD) or a Special Airworthiness Information Bulletin (SAIB)?				
Possible Ratings	None		Contributing factor		Causal factor
Score	1	2	3	4	5

Generally, if an airworthiness directive or a special airworthiness information bulletin exists for the same or similar design, then it is cause for concern when considering the probability of a noncompliance occurring.

It is important to consider if the same or similar design was a contributing or causal factor in the issuance of the SAIB or AD. It is important to note that draft SAIBs or ADs are relevant. Therefore, it is not necessary for the SAIB to be released or the AD to be published in the Federal Register to be considered relevant. However, the confidence in the contribution to the development of the SAIB or AD should be taken into account.

It is also important to note that it is not just the design itself that should be considered. If the project being evaluated is a modification or replacement part, the SAIB and AD history of the product being modified is also relevant. If the product has had an SAIB or AD in a relevant area to the part/modification, it should be considered.

- * **Note: The PI will use databases in assessing this indicator. In the absence of such databases, the PI should assess the indicator based upon their knowledge of any issues specific to the PAH. If the PI has no knowledge of any issues, they should score the indicator as a 1.**

*

No. 32	SUP/SDR History				
	Have similar designs been the subject of Suspected Unapproved Part (SUP) reports or Service Difficulty Reports (SDR)?				
Possible Ratings	None		Some		Numerous
Score	1	2	3	4	5

SUPs or SDRs can be a cause for concern. Generally, the more SUPs or SDRs, the higher the level of concern. However, it is not as simple as the number of reports that should be considered. When considering the number of reports, several factors should be considered.

First, the relevancy of the report to the design or manufacturing of the part should be considered. Many SDRs are related to maintenance or operation issues. In contrast, if the maintenance or operational issues could be reduced by better design or manufacturing, then it would be considered more relevant.

Another factor that should be considered is the number of reports in context to the number of parts in service. Generally, in-service problems are more common for large companies that manufacture long-life service parts, or entire aircraft and engines. For these kinds of approval holders, the key consideration is repetitive problems, and/or if a pattern of discrepancies emerges over time.

Finally, for SDRs which are attributable to the design or manufacturing of the part, modification, or product, the overall magnitude or impact of the problem is relevant. To assess the overall magnitude/impact, consideration should be given to the effects of each failure as compared to the number of units in service. For example, if an SDR involved a particularly severe or dangerous problem, a small number of failures may be considered high magnitude/impact even if a large number of products or units in service are not affected. Conversely, numerous incidents of minor impact may not always be cause for alarm, even if the number of units in service is small.

- * **Note: The PI will use databases in assessing this indicator. In the absence of such databases, the PI should assess the indicator based upon their knowledge of any issues specific to the PAH. If the PI has no knowledge of any issues, they should score the indicator as a 1.**

*

No. 33	Level of Experience				
	How experienced is the applicant/PAH in designing, manufacturing, and testing the part, similar products, and/or similar modifications?				
Possible Ratings	Highly experienced		Moderately experienced		No experience
Score	1	2	3	4	5

It is important that the assessor *not* include the applicant/PAH's experience with the FAA certification process for this indicator. That will be addressed by other indicators. Therefore, some applicants may be considered as experienced with the design, manufacturing, or testing of a part, modification, or product, even though they have never gone through a certification/approval effort.

When considering this indicator, you should consider all three elements of experience (design, manufacturing, and testing) within the context of the application. For some disciplines, all three elements may not apply (i.e., Flight Test may consider the applicant experience for flight testing the proposed modification only). In others, the applicant's experience in design, manufacturing, and testing may all be relevant in the context of the approval sought.

The relationship between the design, manufacturing, and testing of the part, modification, or product must not be overlooked. An applicant/PAH may not have recent design experience, but has been manufacturing previously designed parts successfully. The relevant combined experience of the applicant should be evaluated.

Other items to consider include:

- Generally, the more experience an applicant/PAH has using a technology, designing, manufacturing, or testing a part, similar products or similar modifications, the less need for concern. When evaluating an applicant/PAH's experience, you should ask "have they done this before?" and "how recently have they done this?" Relevancy of experience should definitely be considered. New applicant/PAHs that have assembled a staff with relevant and recent experience might be considered more experienced than a well established company.
- For established companies, evidence that skill levels are being maintained or upgraded is also important. Even a simple, well-established process can be complex to those who aren't experienced in or knowledgeable of the technology involved. If a company has experience, but it has not produced a part, modification, or product in some time, then it is important to consider if the company has retained its experience over the design or production lull.

Appendix E. Risk-Based Resource Targeting Assessment Validation Plan

1. Purpose. This appendix explains the structure and application of the RBRT assessment validation plan. The objective of the plan is to ensure that RBRT assessments consistently and accurately identify those PAHs and associate facilities having the greatest potential to produce nonconforming products or parts. It also defines a basis for continually refining and modifying the RBRT assessment tool as required to achieve this objective. The plan utilizes several validations to accomplish these objectives.

2. RBRT Assessment Validations. Each validation listed below identifies the data source(s) required for each validation element, the individuals or groups responsible for validating the element, and a brief description of the process for each validation element.

a. Validation of Ratings for the RBRT Indicators. This validation is conducted as an integral part of the annual assessment of facilities described in chapter 3, section 2 of this order. It includes elements built directly into the core structure of the RBRT assessment tool and its basic application processes. As such, this validation provides a real-time validity check on the output of the RBRT assessment tool and specifically the risk levels generated by the tool. This validation not only provides managerial oversight for the process, but may also allow for a different perspective in determining the final ratings for the RBRT organizational and technical indicators.

(1) **Data Source(s):** The RBRT Quality System Assessment Sheet(s) located in CMIS.

(2) **Parties Responsible for Validation:** Facility PI and MIDO/CMO manager.

(3) **Description:** Chapter 3, section 2 of this order, as well as the RBRT assessment tool, requires the MIDO/CMO manager to review each RBRT Quality System Assessment Sheet within the RBRT assessment tool for agreement with the assigned risk level. In so doing, the MIDO/CMO manager is provided an opportunity to help ensure consistency between and among PIs in the application of the RBRT assessment tool, and to provide a second opinion for complex or ambiguous cases.

(4) **Expected Outcome:** This validation provides a first level, normative validity check of the RBRT assessments.

* **b. Validation of the Continued Relevance of the RBRT Assessment Indicators and Their Assigned Weights.** This validation is conducted during an annual telcon following the completion of all scheduled ongoing CM responsibilities for the fiscal year. The individual RBRT assessment indicators and the relative weights assigned to each were based on input from managers, PIs, and engineers. This input reflects their combined knowledge, experience, and judgment. It is necessary to periodically revalidate this basis to ensure that the RBRT assessment tool continues to reflect this experience and judgment. Since this validation is data-driven, and aimed at the adequacy of the RBRT assessment tool elements, detailed planning for analysis and reporting will be required.

*

* (1) **Data Source(s):** The RBRT assessment reports and the RBRT assessment tool within CMIS are the data sources for this validation.

(2) **Parties Responsible for Validation:** MIO managers or their delegates.

(3) **Description:** Each MIO will collect the relevant data and perform the required analyses in accordance with paragraph 2(b) of this appendix.

(4) **Expected Outcome:** This validation seeks to identify the RBRT assessment indicators that do not significantly contribute to the identification of RBRT risk level assignments. In addition, this validation reevaluates the relative weights assigned to each indicator.

(5) **Report Results:** Each MIO will report results to AIR-200 for consideration and for disposition.

*

Appendix G. Preparation Instructions for FAA Form 8120-14, Production Approval/Certificate Management Activity Report

1. Purpose. This appendix provides instructions for completing Form 8120-14. This form is used to document all activity, except ACSEP evaluations, at PAHs, associate facilities, and their suppliers. When combined with the respective Form(s) 8100-6 and, if applicable, Form 8100-1, a complete report of the activity conducted is available for subsequent planning.

2. Specific Guidance. Figure G-1 shows Form 8120-14 with numbered blocks. Prepare the form by inserting in:

a. Block 1. The name and address of the PAH or associate facility as recorded on the production approval.

b. Block 2. The project number(s) applicable to the production approval(s).

c. Block 3. The name and address of the supplier as recorded on the PAH's documentation.

d. Block 4. A check mark in the appropriate box(es) to indicate the type of production approval.

e. Block 5. A check mark in the appropriate box(es) to indicate the type of activity that was conducted.

f. Block 6. The starting date and the ending date of the activity that was conducted.

g. Block 7. The title, revision number, and date of any quality manual submitted to the FAA by the PAH or associate facility. The applicable 14 CFR part or section may also be entered. If no quality data is submitted, enter the applicable 14 CFR part or section. For a supplier, enter the applicable purchase order or quality requirements from the PAH or associate facility.

h. Block 8. The date that applicable quality data submitted by a PAH or associate facility is approved by the FAA. If quality data is not subject to FAA approval, enter "N/A."

i. Block 9. An "X" in the column next to the system element/subelement evaluated when the result of the activity is satisfactory.

j. Block 10. The respective Form 8100-6 noncompliance numbers for the system element evaluated, when the result of the activity is unsatisfactory.

k. Block 11. The nomenclature and part number(s) of the product or part(s) audited.

l. Block 12. An "X" in the column next to the product or part(s) audited when the result of the activity is satisfactory.

m. Block 13. The respective Form 8100-6 noncompliance numbers for the product or part(s) audited, when the result of the activity is unsatisfactory.

* **n. Block 14.** The specific purchase order or quality requirement audited, such as, but not limited to, the following: purchase order number, quality management system purchase number, quality assurance procedure, engineering drawing number, general notes, or work instruction number. *

o. Block 15. An "X" in the column next to the specific purchase order or quality requirement audited when the result of the activity is satisfactory.

p. Block 16. The respective Form 8100-6 noncompliance numbers for the specific purchase order or quality requirements audited, when the result of the activity is unsatisfactory.

q. Block 17. Enter the names, titles, and office symbols of all FAA personnel who participated in the activity.

r. Block 18. The typed or printed name and signature of the person conducting the audit or PI evaluation. In most cases, this will be the PI responsible for the PAH or associate facility.

* **Note 1:** CMIS does not allow the user to provide a traditional signature to Form 8120-14. However, when the user is logged in using a specific login and password, the user can populate block 18 with their name to demonstrate completion of Form 8120-14.

Note 2: When Form 8120-14 is used to document a PI evaluation or MIDO audit with multiple team members, the signature in block 18 is that of the team leader. This form, with the above signature, can then be used to support the continued appointment as an ACSEP team leader in accordance with Order 8100.7D, chapter 2, paragraph 2-5b(1). *

s. Block 19. The office symbol of the person completing this form.

t. Block 20. The date that this form is completed.

Appendix I. Acronyms

14 CFR	Title 14, Code of Federal Regulations	
AC	Advisory Circular	
ACO	Aircraft Certification Office	
ACSEP	Aircraft Certification Systems Evaluation Program	
APIS	Approved Production Inspection System	
ASI	Aviation Safety Inspector	
CAA	Civil Aviation Authority	
CM	Certificate Management	
CMIS	Certificate Management Information System	
CMO	Certificate Management Office	
CPL	Category Parts List	
DMIR	Designated Manufacturing Inspection Representative	
DOA	Delegation Option Authorization	
EEP	Enhanced Enforcement Program	
FAA	Federal Aviation Administration	
FIS	Fabrication Inspection System	
ICSSP	International Cooperative Supplier Surveillance Program	
MIDO	Manufacturing Inspection District Office	
MIO	Manufacturing Inspection Office	
* MOU	Memorandum of Understanding	*
MRB	Material Review Board	
NTE	Not To Exceed	
OAC	Original Airworthiness Certificate	
ODA	Organization Designation Authorization	

PAH	Production Approval Holder
PC	Production Certificate
PCB	Production Certification Board
PI	Principal Inspector
PLR	Production Limitation Record
PMA	Parts Manufacturer Approval
QC	Quality Control
RBRT	Risk-Based Resource Targeting
SDR	Service Difficulty Report
STC	Supplemental Type Certificate
SUP	Suspected Unapproved Part
TC	Type Certificate
TCDS	Type Certificate Data Sheet
TSO	Technical Standard Order

Appendix K. Administrative Information

1. Distribution. This order is distributed to Washington Headquarters division levels of the Flight Standards Service, to the branch levels of the Aircraft Certification Service, to the branch levels in the regional Flight Standards Divisions and Aircraft Certification Directorates, to all Flight Standards District Offices, to all Aircraft Certification Offices, to all Aircraft Certification field offices, to all Manufacturing Inspection District and Satellite Offices, to the Aircraft Certification and Airworthiness Branches at the Federal Aviation Administration Academy, and to the Flight Standards Service Regulatory Support Division.

2. Authority to Change This Order. The issuance, revision, or cancellation of the material in this order is the responsibility of the Aircraft Certification Service, Production and Airworthiness Division, AIR-200. This division will accomplish all changes, as required, to carry out the agency's responsibility to provide for production approval and CM.

3. Forms. This order identifies several forms used for the evaluation, approval, and CM of production activities. Some of the forms are provided by AIR-200 in electronic format. Appendix H, Forms Listing, provides a listing of the forms and their sources.

4. Deviations. Adherence to the procedures in this order is necessary for uniform administration of this directive material. Any deviations from this guidance material must be coordinated and approved by AIR-200. If a deviation becomes necessary, the FAA employee involved should ensure the deviations are substantiated, documented, and concurred with by the appropriate supervisor. The deviation must be submitted to AIR-200 for review and approval. The limits of federal protection for FAA employees are defined by Title 28 U.S.C. § 2679.

5. Related Publications. Orders referenced in this directive list only the basic order number. It is the responsibility of the user to establish that the latest revision/amendments are being utilized.

6. Requests for Information. All public requests for information regarding production approval or CM activities will be processed in accordance with the Freedom of Information Act. Refer to FAA Order 1270.1, Freedom of Information Act Program.

7. Electronic Signature. The use of an electronic signature for the issuance of a production certificate and a production limitation record, or a production approval letter (i.e., APIS, PMA, or TSO authorization) is not permitted.

8. Suggestions for Improvement. Any deficiencies found, clarifications needed, or improvements regarding the content of this order should be forwarded to the Administrative Services Branch, AIR-510, Attention: Directives Management Officer, for consideration. FAA Form 1320-19, Directive Feedback Information, is located in appendix L of this order for your convenience or you may obtain it electronically from the FAA Web site. A copy may be forwarded to the Production and Airworthiness Division, AIR-200, Attention: Comments to Order 8120.2. If an interpretation is urgently needed, you may contact AIR-200 for guidance, but you should also use the Form 1320-19 as a follow up to each verbal conversation.

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- * **9. Records Management.** Refer to Orders 0000.1, FAA Standard Subject Classification System; 1350.14, Records Management; and 1350.15, Records Organization, Transfer, and Destruction Standards; FAA-IR-04-01 Aircraft Certification Service Records Management Requirements Manual; or your office Records Management Officer (RMO)/Directives Management Officer (DMO) for guidance regarding retention or disposition of records.

*

Appendix L. FAA Form 1320-19, Directive Feedback Information



U.S. Department
of Transportation
**Federal Aviation
Administration**

Directive Feedback Information

Please submit any written comments or recommendations for improving this directive, or suggest new items or subjects to be added to it. Also, if you find an error, please tell us about it.

Subject: Order 8120.2F, Change 2

To: Administrative Services Branch, AIR-510

(Please check all appropriate line items)

- An error (procedural or typographical) has been noted in paragraph _____ on page _____.
- Recommend paragraph _____ on page _____ be changed as follows:
(attach separate sheet if necessary)
- In a future change to this directive, please include coverage on the following subject
(briefly describe what you want added):
- Other comments:
- I would like to discuss the above. Please contact me.

Submitted by: _____ Date: _____

FTS Telephone Number: _____ Routing Symbol: _____

FAA Form 1320-19 (10-98)