

**ORDER**

U.S. DEPARTMENT OF TRANSPORTATION  
FEDERAL AVIATION ADMINISTRATION

8120.9

10/21/91

**SUBJ: CONTROL OF PARTS SHIPPED PRIOR TO TYPE CERTIFICATE ISSUANCE**

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1. **PURPOSE.** This order prescribes the responsibilities and procedures for Federal Aviation Administration (FAA) Directorate personnel to review and evaluate proposals for control of parts shipped in advance of type certification of a new aircraft, aircraft engine, or propeller by manufacturers with an approved production inspection system or production certificate (hereinafter referred to as "production approval holders").

2. **DISTRIBUTION.** This order is distributed to Washington headquarters division levels of the Flight Standards Service, and to the branch levels of the Aircraft Certification Service and the Aviation Standards National Field Office; to the branch level in the regional Flight Standards and Aircraft Certification divisions; to all Flight Standards District Offices; to all Aircraft Certification Offices and Aircraft Certification Field Offices; to all Manufacturing Inspection District and Satellite Offices; to the Flight Standards branch at the FAA Academy; and to the Brussels Aircraft Certification Division.

3. **RESPONSIBILITIES.** The Directorate having certificate management responsibility for a type certificate (TC) applicant should review and evaluate each production approval holder's proposal for control of parts shipped prior to TC issuance and shall:

a. Determine whether any parts are to be shipped outside the U.S. If so, the directorate will identify any special requirements of the FAA or importing country (e.g., is a fee for surveillance required, and/or must the facility to which parts are shipped be approved by the Civil Aviation Authority (CAA) authorizing their entry?), and prepare a working agreement with the cognizant CAA in the format outlined in Appendix 1 of this order. The working agreement must include:

(1) A detailed description of the responsibilities of the production approval holder.

(2) Surveillance functions and requirements of the FAA and CAA.

(3) The signatures of an authorized representative of the CAA and the FAA Aircraft Certification Directorate Manager having certificate management responsibility.

b. Accept or deny the production approval holder's proposal based upon its adequacy, and upon completion of a satisfactory working agreement with the cognizant CAA when parts are to be shipped outside the U.S.

c. Transmit one copy of the accepted production approval holder's proposal to the cognizant CAA, when applicable.

d. Ensure FAA principal inspectors or designees use FAA Form 8130-3, Airworthiness Approval/Conformity Certification Tag (Authorized Release Certificate Approval Tag), for conformity certification of each part or lot of parts being shipped in advance of type certification of the product.

4. **INFORMATION CURRENCY.** Any deficiencies found, clarifications needed, or improvements to be suggested regarding the content of this order should be forwarded to the Aircraft Certification Service, Administrative Management Branch, AIR-530, Attention: Directives Management Officer, for consideration. Your assistance is welcome. Federal Aviation Administration Form 1320-19, Directive Feedback Information, is located on the last page of this order for your convenience. If an interpretation is urgently needed, you may call the Production Certification

Branch, AIR-220, at FTS 267-7147 or (202) 267-7147, for guidance, but you should also use the tearout sheet as a follow-up to verbal conversation.

Ronald T. Wojnar  
Manager, Aircraft Manufacturing  
Division

APPENDIX 1. SAMPLE WORKING AGREEMENT BETWEEN FEDERAL AVIATION ADMINISTRATION AND  
DIRECTION GENERALE DE L'AVIATION CIVILE RELATIVE TO EXPORT OF PARTS MANUFACTURED IN  
THE UNITED STATES AND SHIPPED IN ADVANCE OF AIRCRAFT TYPE CERTIFICATION

The Federal Aviation Administration (FAA) has agreed to permit the shipment of parts from the ABC Aircraft Company to XYZ Airlines for advance provisioning of aircraft Model No. XXX prior to issuance of the Model No. XXX type certificate (TC).

ABC will have total responsibility for the control of parts shipped to XYZ Airlines until such time as the TC is issued. This will include configuration control, and also the recall and update of delivered parts that do not meet the approved configuration level at the time the TC is issued. ABC has submitted a proposal for acceptance by the FAA detailing how the configuration of the parts will be controlled.

The FAA surveillance of the parts received and stocked by XYZ Airlines will be accomplished by the Direction Generale de l'Aviation Civile (DGAC) on behalf of, and under the guidance of, the FAA. The DGAC surveillance will be augmented by the FAA in those areas deemed necessary by the FAA to fulfill its certificate management responsibility. The mutually agreed upon functions to be performed by the DGAC on behalf of the FAA are listed below. The DGAC will normally perform these functions in conjunction with routine surveillance at the XYZ facilities, and will report all findings and make recommendations, as appropriate, to the FAA Northwest Mountain Region, Transport Airplane Directorate. The functions to be performed by the DGAC are as follows:

- o Verification that parts shipped prior to issuance of the TC are segregated and withheld from use until the new aircraft model has received its TC.
- o Verification that parts shipped prior to issuance of the TC, and installed in the new aircraft after it receives its TC, are of the correct configuration as required by the type design.
- o Verification that parts shipped prior to issuance of the TC, which are found not to be in conformance with the type design after the new aircraft has received its TC, are segregated, withheld from use, and properly disposed of.

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ADMINISTRATION AND DIRECTION GENERALE DE L'AVIATION  
CIVILE RELATIVE TO EXPORT OF PARTS MANUFACTURED IN  
THE UNITED STATES AND SHIPPED IN ADVANCE OF  
AIRCRAFT TYPE CERTIFICATION (CONT'D)

Within 60 days from the final concurrence of this agreement, the FAA Aviation Safety Inspector having certificate management responsibility for the ABC Company shall provide the DGAC with a copy of the accepted ABC proposal for control of the configuration of the parts.

Approved:

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Manager, Transport Airplane Directorate, ANM-100

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Date

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Concur:

\_\_\_\_\_  
(Authorized Representative,  
DGAC)

Date:\_\_\_\_\_