

# **U.S.-SWITZERLAND MAINTENANCE GUIDANCE**

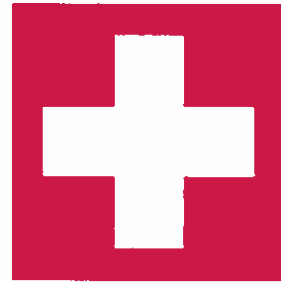
*BETWEEN THE*  
***FEDERAL AVIATION ADMINISTRATION***  
*for the UNITED STATES OF AMERICA*  
*AND THE*  
***FEDERAL OFFICE OF CIVIL AVIATION***  
*for SWITZERLAND*



EFFECTIVE DATE: 10/24/2016  
CHANGE 2

U.S.-SWITZERLAND MAINTENANCE GUIDANCE

U.S.–Switzerland Maintenance Guidance  
Approval:



THIS IS TO CERTIFY APPROVAL BY:

 10 24 16

on behalf of **John S. Duncan**  
Director,  
Flight Standards  
Service (AFS-1)

Date

 10.24.16

**Gianmario Giacomelli** Date  
Director,  
Safety Division - Aircraft  
FOCA

<h2 style="margin: 0;">Revision History</h2> <h3 style="margin: 0;">U.S.-Switzerland Maintenance Guidance</h3>
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Version #	Date	Revision Description	Prepared By
Baseline	05/29/14	Original version of the U.S.-Switzerland Maintenance Guidance (MaG).	Daniel Reyes
Change 1	11/18/2015	<p>Updated to include technical and editorial changes (identified by change bars on the left margin).</p> <p><b>Section A:</b></p> <ul style="list-style-type: none"> <li>• Added provision in Part I, Paragraph 1.0 – Recurrent training in the form of a briefing in eLMS/ELG.</li> <li>• Added provision in Part III Paragraph 10.0 – Publication of TSA rule.</li> <li>• Added definitions responsibilities on FAA coordinator, National coordinator, and FAA regional coordinator</li> <li>• Eastern regional coordinator responsibilities have been reassigned to AFS 50</li> <li>• FAA Country coordinator’s responsibilities previously under FRA/IFO are realigned under AFS 50 with new job title as FAA coordinator.</li> <li>• For consistency the term Inspector/Surveyor in sections A.</li> <li>• The terms Frankfurt IFO and International field office have been replaced with FAA coordinator or AFS 54 where applicable in Section A.</li> </ul> <p><b>Section B:</b></p> <ul style="list-style-type: none"> <li>• Added provision in Part I, – SIS team member training requirements.</li> <li>• Revised procedure on EASA verification of FOCA’s compliance with Special Conditions</li> <li>• Clarified the SIS process in Part I</li> <li>• Added provision in Part I– Use of risk management process to determine the sampling inspection.</li> <li>• Added provisions in Part I - The areas to be sampled are based on risk identified as level 1 and level 2.</li> </ul>	Daniel Reyes

		<ul style="list-style-type: none"><li>• Part II, Paragraph 11 – Revised method of determining fees.</li><li>• Added paragraph in Part V, paragraph 3 AA to inform FAA within 3 business days of any changes to a current certificate.</li><li>• Added note in Part V, under Paragraph 3 – to allow repair stations to continue issuing an EASA Form 1 dual release pending name change.</li><li>• Added provision in Part V, Paragraph 3.2 – AA to submit documents to the FAA within 10 business days.</li><li>• Added provision in Part V, Paragraph 4 – FAA will forward FAA Form 8000-4, Air Agency Certificate, Repair Station Operations Specifications, with applicable limitations to the AMO within five business days.</li><li>• Appendix 1 Paragraph 7 – Revised instructions when a FAA 8130-3 Form is issued with exceptions used for US and Europe.</li><li>• Appendix 1, Paragraph 8 – Revised procedures in reporting unairworthy conditions to the FAA.</li><li>• Appendix 1, Paragraph 10 (k) Use of the term “Must” where applicable instead of “Should”</li><li>• Appendix 1, Paragraph 12 – Revised procedures for AMO when complying with air carriers manual.</li><li>• Appendix 1, Paragraph 13 – Revised procedure for compliance of manufacturers manual or ICA’s.</li><li>• Appendix 3 (audit report 1) and appendix 4 (Audit report 2) are renamed and revised in entirety.</li><li>• Appendix 5 - SIS Audit of EU-located, FAA-certificated AMO (audit report 3)</li><li>• Appendix 8 – Revised Section D</li><li>• Appendix 9 - Clarified FAA’s Equivalent rating to EASA’s D-1 NDT rating.</li><li>• Added provision in Appendix 9. The FAA will issue amended Ops Spec to accommodate those aircraft that the AMO does not hold equivalent ratings but holds an equipment rating to allow AMO’s to perform test and inspections of ATC transponders, altimeters and altitude reporting equipment installed on US registered aircraft.</li><li>• For consistency the term Inspector/Surveyor in sections A.</li></ul>	
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		<ul style="list-style-type: none"> <li>• The terms Frankfurt IFO and International field office have been replaced with FAA coordinator or AFS 54 where applicable in Section B.</li> <li>• Corrected reference to indicate EASA instead of FOCA where applicable and provided clarification within paragraph 4 (accountable managers statement) in appendix 1, Section B .</li> </ul>	
Change 2	10/24/2016	<p>Updated to include technical and editorial changes (identified by change bars on the left margin).</p> <p>Significant changes include the following:</p> <ul style="list-style-type: none"> <li>• Changed oversight system to Safety Assurance System.</li> <li>• Redefined coordinator roles regarding the IFO position.</li> <li>• Updated office AFS symbols.</li> <li>• Added definitions for FAA coordinator (IFO) and parts approval holder (PAH)</li> <li>• Clarified risk based surveillance approach</li> <li>• Corrected repair station/AMO references.</li> <li>• Re-write of Section B , appendix 1,paragraph 7 (c)</li> <li>• Changed references to (EU) 3121/2014.</li> <li>• Updated Section B to reflect switch to e-mail process for OpSpecs.</li> <li>• Added provision as a note to Section B , Appendix 1 Paragraph 7 C (1) (ii) .                      "Requirements for the FAA Form 8130-3 from Production Approval Holders"                      Reference FAA Notice N 8900.360.</li> <li>• Added provision as a note to Section B , Appendix 1 Paragraph 7 C (1) (ii) and (2) (i)                      "Requirements for FAA Form 8130-3, "Authorized Release Certificate," for New Parts Not Having the EASA-Required Documentation" Reference FAA Notice N 8900.380.</li> </ul>	Daniel Reyes

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**U.S.-SWITZERLAND  
MAINTENANCE GUIDANCE**

*BETWEEN THE  
FEDERAL AVIATION ADMINISTRATION  
for the UNITED STATES OF AMERICA  
AND THE  
FEDERAL OFFICE OF CIVIL AVIATION  
for SWITZERLAND*

**Section A: Authority Interaction  
(not applicable to industry)**

## Introduction

The government of Switzerland has participated in EASA since 1 December 2006 on the basis of the Agreement of 1999 between the European Community and the Swiss Confederation on Air Transport. EASA enjoys in Switzerland the powers granted to it under the provisions of Regulation (EU) No 216/2008 of the European Parliament and of the Council of 20 February 2008 on common rules in the field of civil aviation and establishing a European Aviation Safety Agency, as stipulated in the Annex of the above mentioned agreement. All law on civil aviation passed by the European Union and subsequently adopted by the Joint Committee established in the above mentioned agreement is applicable in Switzerland.

This U.S.-Switzerland Maintenance Guidance, (hereinafter referred to as the U.S.-Switzerland MaG) details the Federal Office of Civil Aviation (FOCA), Federal Aviation Administration (FAA), European Aviation Safety Agency (EASA) as FOCA's technical agent, applicant, and the Approved Maintenance Organization's (AMO) actions, in accordance with the Maintenance Implementation Procedures (MIP). The U.S.-Switzerland MaG is divided into Sections A and B.

Section A is not applicable to industry, but applies to the FAA, FOCA and EASA as FOCA's technical agent. It provides the coordination and communication process for the regulatory agencies. Section B identifies the requirements and processes for an AMO based in Switzerland to follow in obtaining FAA certification and renewal. It also contains the responsibilities of both the FAA and the FOCA and its technical agent.

The United States (U.S.) requirements for maintenance are contained in the Code of Federal Regulations (CFR), Title 14, part 145 (hereinafter referred to as 14 CFR part 145). Guidance material, policy, and procedures are contained in FAA advisory circulars, orders, notices, and policy memoranda.

The European Union (EU) requirements for maintenance are contained in the regulation (EU) No. 216/2008 of the European Parliament and of the Council of 20 February 2008, Commission Regulation (EU) No. 1321/2014, Annex II, (hereafter referred to as EASA Part-145) and EASA Acceptable Means of Compliance (AMC), and Guidance Material. The FAA and FOCA have established the differences between EASA Part-145 and 14 CFR part 145. Maintenance differences are listed as Special Conditions in the Maintenance Implementation Procedures as agreed between the FOCA and the FAA. As a result, a U.S.-based FAA-certificated 14 CFR part 145 repair station, when in compliance with EASA published maintenance special conditions, may apply for an EASA Part-145 approval. A Swiss based EASA Part-145 approved maintenance organization, when in compliance with published FAA maintenance special conditions, may apply for a 14 CFR part 145 approval.

The MIP permits reliance on each other's surveillance systems to the greatest extent possible. The FAA and EASA as a technical agent of FOCA have agreed to conduct surveillance of each other's compliance with the special conditions. For the FAA, the frequency of surveillance is based on the current edition of FAA Order 8900.1, Flight



Standards Information Management System. Specifically, Volume 10 provides the policy for developing and executing baseline risk-based surveillance activities. The Safety Assurance System (SAS) uses risk to modify the work program using risk-based concepts that allows the ASI to target specific areas of elevated risk. For FOCA's Technical Agent, EASA, the frequency of surveillance is published in EASA Part-145 Section "B."

## Part I General

### 1.0 FAA and FOCA Responsibilities.

- 1.1 Under the terms of Maintenance Implementation Procedures, the FOCA on behalf of the FAA will:
  - a. Provide recommendations or endorsements to the FAA for initial certification, renewal, and amendment to Title 14 Code of Federal Regulations (14 CFR) Part 145 repair station approvals of approved maintenance organizations (AMOs) in Switzerland.
  - b. Perform surveillance and provide reports regarding the continued compliance with the requirements set forth in the maintenance Implementation Procedures and the procedures outlined in the U.S.-Switzerland MaG by AMOs located in Switzerland; and
  - c. Accept or approve, as appropriate, the FAA supplement to Maintenance Organization Exposition (MOE) as described in Maintenance Implementation Procedures and the procedures outlined in the U.S.-Switzerland MaG.
- 1.2 Under the terms of Maintenance Implementation Procedures, the FAA on behalf of FOCA's Technical Agent, EASA, will, in accordance with Annex 2 of the Agreement Between the United States of America and the European Community on Cooperation in the Regulation of Civil Aviation Safety (the U.S.-EU Agreement).
  - a. Provide recommendations or endorsements to FOCA's Technical Agent, EASA, for initial certification, renewal, and amendment to EASA Part-145 maintenance organization approvals of 14 CFR part 145 repair stations located in the United States.
  - b. Perform surveillance and provide reports regarding the continued compliance with the requirements set forth in Annex 2, of the U.S.-EU Agreement by repair stations located in the United States; and
  - c. Accept or approve, as appropriate, the EASA supplement to the repair station manual as described in Annex 2 of the , U.S.-EU Agreement.
- 1.3 The FAA will follow the procedures defined in the current version of the U.S.-Switzerland MaG, current version developed in support of the Annex 2, U.S.-EU Agreement when fulfilling the responsibilities defined in paragraph 1.2.

**2.0 Applicable Requirements.**

- 2.1 FOCA’s standards are contained in the relevant departmental ordinances. Guidance material and policy are contained in Technische Mitteilungen (TMs), the FOCA Management System and Procedures. The FOCA standards incorporate, by reference, EASA requirements for continuing airworthiness as called out in European Commission regulations and EASA Certification Specifications (CS), Acceptable Means of Compliance (AMC), and Guidance Material (GM).
- 2.2 The legal standards for safety regulation by the FAA are contained in the Federal Aviation Regulations, Title 14, Code of Federal Regulations (14 CFR), and are explained in ancillary documents and procedures, such as FAA Orders, Policy Memoranda, and Advisory Circulars.

**3.0 Communications and Cooperation.**

- 3.1 The FAA and FOCA shall exchange a list of contact points for the various technical aspects of these Implementation Procedures. This list, which shall also be included in the U.S.-Switzerland MaG, will be regularly updated.
- 3.2 All communications between the authorities, including technical documentation provided for review or approval as detailed in the Maintenance Implementation Procedures, shall be in the English language.
- 3.3 When urgent or unusual situations develop, each authority’s contact shall communicate and ensure that the appropriate immediate actions are taken.
- 3.4 The designated offices for the administrative coordination of these procedures are:

For the FAA technical policy and procedures:	Flight Standards Service Aircraft Maintenance Division (AFS-300) 950 L’Enfant Plaza, S.W. Washington, DC 20024 U.S.A.
For FOCA:	Federal Office of Civil Aviation Technical Organisations CH-3003 Bern Switzerland
For FOCA’s Technical Agent:	EASA Flight Standards Directorate EASA Director Of Flight Standards FS1 Head of Maintenance and Production Department

**NOTE: FAA Coordinator (AFS-54) International Field Office Policy Branch, FAA Coordinator (IFO), designated PI assigned to repair stations in the country to communicate with the FOCA.**

- 3.5 The FAA, EASA and FOCA need to keep each other informed of significant changes within those systems, such as:
  - a. Statutory responsibilities;
  - b. Organizational structure (e.g., personnel, management structure, technical training, office location); and
  - c. Significant revisions to maintenance organization approval oversight systems standards or procedures.
- 3.6 Revision by the FAA, EASA or FOCA to its regulations, acceptable means of compliance, guidance material, policies, procedures, organizational structure, which may affect the basis and the scope of this guidance.
- 3.7 Changes to the U.S.-Switzerland MaG shall be implemented, as applicable, within 90 days after the effective date of the change.
- 3.8 The list of contact points for the various technical aspects of the MIP, including communication of urgent issues, is located in paragraph 3.4 of this section.
- 3.9 In case of an external audit by a U.S. or EU official body (e.g., the Office of Inspector General (OIG)), the FAA and the FOCA will coordinate the audit activities. The point of contact to coordinate these activities will be between the Aircraft Maintenance Division (AFS-300) and the EASA Standardisation Department and the FOCA's safety division.

**4.0 Technical Consultations.** The FAA Director of Flight Standards (or designee) and the FOCA Director (or designee) responsible for organization oversight agree to consult annually to review progress on implementation and propose changes as needed. This will include technical issues and resolve technical disagreements.

**5.0 Training.** In order to comply with the U.S.-Switzerland MaG and the requirements of the MIP, the Technical Agents (i.e., FAA, EASA, FOCA) shall receive initial training, which covers the U.S.-EU Agreement and its annexes, the MIP, the U.S.-Switzerland MaG, applicable special conditions, and the certification procedures contained in this U.S.-Switzerland MaG. Recurrent training, in the form of a briefing in eLMS/ELG, will be delivered every 2 years and should cover, at least, the:

- U.S.-EU Agreement and its annexes.
- MIP-FAA-FOCA.
- U.S.-Switzerland MaG changes.

**6.0 Definitions.** For the purposes of Maintenance Implementation Procedures (and notwithstanding definitions contained in 14 CFR or the EASA requirements), the following definitions apply:

- a. "Alteration or modification" means making a change to the construction, configuration, performance, environmental characteristics, or operating limitations of the affected civil aeronautical product.
- b. "Aviation Authority" means a responsible government agency or entity of a EU Member State that exercises legal oversight on behalf of the European Community over regulated entities and determines their compliance with applicable standards, regulations, and other requirements within the jurisdiction of the European Community.
- c. Aviation Safety Inspector (ASI). An ASI applies a broad knowledge of the aviation industry, the general principles of aviation safety, and federal laws, regulations, and policies affecting aviation. In addition, an ASI applies intensive technical knowledge and skill in the operation and maintenance of aircraft. For the purposes of this guidance, the acronym ASI includes FAA principle maintenance inspectors (PMI), principle avionics inspectors (PAI) and principle inspectors (PI).
- d. "Civil aeronautical product" means any civil aircraft, aircraft engine, or propeller or subassembly, appliance, material, part, or component to be installed thereon.
- e. "Data approved by the FAA" means data that is approved by the FAA Administrator or the Administrator's designated representative, including EASA design data reciprocally accepted under Annex 1 to the U.S.-EU Agreement.
- f. "Data approved by the FOCA" means data that is approved by the FOCA, by the FOCA's Technical Agent or by an organization approved by the FOCA or the FOCA's Technical Agent for that purpose including U.S. design data reciprocally accepted under Annex 1 to the U.S.-EU Agreement.
- g. FAA Coordinator (AFS-54). The FAA Coordinator serves as the primary liaison for all communications (except for policy and guidance) with the FOCA on issues concerning 14 CFR part 145 AMOs located outside the United States. Additional duties and responsibilities of this position can be found in FAA Order 8900.1.

- h. FAA Coordinator (IFO). International Field Office Principal Inspectors assigned oversight responsibilities for repair stations located in a specific country. The FAA Coordinator should establish a line of communication with the FOCA representative and FAA representative to coordinate and plan for the transfer of certificates and address any concerns raised by FOCA. The FAA Coordinator should ensure all outstanding findings have a corrective action plan agreed upon by the FAA and the FOCA. If there are any outstanding or pending violations that may result in an enforcement action, the transfer can occur only after the violation is resolved. The FAA Coordinator should arrange for the FAA representative to meet with the FOCA representative to provide an opportunity for the FAA and FOCA to exchange information. Copies of the current documentation for the AMOs being turned over should include all applicable documents. Additional duties and responsibilities of this position can be found in the current edition of FAA Order 8900.1, Flight Standards Information Management System.
- i. FAA National Coordinator (AFS-300). The FAA National Coordinator supports the Agreement at the headquarters-level and serves as the liaison between the FAA Regional Coordinator and EASA. The FAA National Coordinator also manages interactions pertaining to interpretation of policy issues and other EASA-related activities. Additional duties and responsibilities can be found in FAA Order 8900.1.
- j. FAA Regional Coordinators (AXX-200). The FAA Regional Coordinator serves as the primary point of contact (POC) for Flight Standards District Offices (FSDOs) within their region that has oversight responsibility of EASA Part-145 repair stations concerning EASA-related issues. This position also provides a central POC for EASA relating to various issues, such as EASA Part-145 SIS audits, communicating changes in FAA guidance to FSDOs, and sharing information related to EASA-identified issues. When able, the FAA Regional Coordinator also resolves issues between EASA and the FAA at the regional level. Additional duties and responsibilities can be found in FAA Order 8900.1.
- k. "Maintenance" means the performance of inspection, overhaul, repair, preservation, and the replacement of parts, materials, appliances, or components of a product to assure the continued airworthiness of that product, but excludes alterations or modifications.
- l. "Overhaul" means a process that ensures the aeronautical article is in complete conformity with the applicable service tolerances specified in the type certificate holder's, or equipment manufacturer's instructions for continued airworthiness, or in the data, which is approved or accepted by the FAA, FOCA, or the FOCA's Technical Agent.

**NOTE: No person may describe an article as being overhauled unless it has been at least disassembled, cleaned, inspected, repaired as necessary, reassembled and tested in accordance with the above-specified data.**

- m. Production Approval Holder (PAH). As used for consistency in the context of this document, this includes EU Production Organizations Approvals (POA), FAA Production Approval Holders (PAH), and Transport Canada Civil Aviation (TCCA) Manufacturer Certificate Holders (MCH).
- n. "Regulated entity" means any natural or legal person whose civil aviation safety and environmental testing and approval activities are subject to the statutory and regulatory jurisdiction of one or both of the authorities.
- o. "Special Conditions" means those requirements in either Title 14 Code of Federal Regulations (14 CFR), Parts 43 and 145 (hereinafter referred to 14 CFR Part 43 and 145 as applicable) or in the Commission Regulation (EU) No. 1321/2014, Annex II (hereinafter referred to as EASA Part-145) that have been found, based on a comparison of the regulatory maintenance systems, not to be common to both systems and which are significant enough that they must be addressed. They are contained in Chapter III, paragraph 3.0 (FOCA Special Conditions) and paragraph 3.1 (FAA Special Conditions) of Maintenance Implementation Procedures.
- p. "Technical Agent" means, for the United States, the FAA Flight Standards Aircraft Maintenance Division; and for Switzerland, the EASA. EASA is considered as a Technical Agent only when it is fulfilling its role as the FOCA's technical agent based on the Annex of the Agreement of 1999 between the European Community and the Swiss Confederation on Air Transport. In particular, EASA is not performing its role as FOCA's Technical Agent in respect of aircraft listed in Annex 2 of Regulation (EU) No 216/2008 of the European Parliament and of the Council of February 20, 2008 on common rules in the field of civil aviation and establishing a European Aviation Safety Agency.

## **Part II Reciprocal Acceptance of Findings of Compliance**

### **1.0 General.**

- 1.1 The FAA and the FOCA agree, subject to the terms of Maintenance Implementation Procedures, to accept each other's inspections and monitoring of repair stations/maintenance organizations for findings of compliance with their respective requirements as the basis for the issuance and continued validity of certificates
- 1.2 The certificate issued by an authority under Maintenance Implementation Procedures, shall not exceed the scope of the ratings and limitations contained in the certificate issued by the other authority.
- 1.3 Maintenance and alterations or modifications performed on a civil aeronautical product under the regulatory control of the FOCA may be accomplished and that product returned to service by a repair station under the FAA's regulatory control, where it has been approved by the FOCA or its Technical Agent in accordance with the provisions of these Implementation Procedures.
- 1.4 Maintenance and alterations or modifications performed on a civil aeronautical product under the regulatory control of the FAA may be accomplished and that product returned to service by a maintenance organization under FOCA's regulatory control, where it has been approved by the FAA in accordance with the provisions of these Implementation Procedures.

### **2.0 FAA Certificates.**

- 2.1 Without prejudice to the FAA Administrator's discretion under 14 CFR Part 145, a maintenance organization shall be issued an FAA certificate and operations specifications if it has been approved for maintenance by the FOCA in accordance with Annex II of Commission Regulation (EU) No 1321/2014, complies with the conditions set forth in the Maintenance implementation procedures, including the FAA Special Conditions set forth in Chapter III, and the FOCA has issued a recommendation or endorsement to the FAA for certification.
- 2.2 The FAA certificate shall only cover additional fixed stations located within Switzerland or a Member State listed in Appendix 2 to Annex 2 of the U.S.–EU Agreement. Each additional fixed location must also be under the surveillance of the FOCA or an Aviation Authority identified in Appendix 2 to Annex 2 of the U.S.–EU Agreement.
- 2.3 The FAA certificate shall cover additional line stations which are under the surveillance of the FOCA or an Aviation Authority identified in Appendix 2 to Annex 2 of the U.S.–EU Agreement, except those located in the United States.



### **3.0 FOCA/EASA Certificates.**

- 3.1 Under the Maintenance Implementation Procedures, the FOCA will rely on EASA certificates issued on the basis of Annex 2 of the U.S. – EU Agreement for U.S. based repair stations wishing to perform work on civil aeronautical products under the regulatory control of the FOCA. The FOCA will not issue its own certificates for U.S. based repair stations wishing to perform work on civil aeronautical products under the regulatory control of the FOCA.
- 3.2 The certificate shall cover additional line stations, which are under the surveillance of the FOCA or an aviation authority of a member state listed in Appendix 2 to Annex 2 of the U.S./EU Agreement, except those located in the United States.

### **4.0 Independent Inspections.**

- 4.1 The FAA, FOCA and the FOCA's technical Agent may conduct independent inspections of repair stations/maintenance organizations when specific safety concerns warrant it.
- 4.2 In the case of an external audit of each of the parties listed above, the FAA, the FOCA, and the FOCA's Technical Agent will coordinate the audit activities.

**5.0 Emergency and Non-routine Maintenance.** The FAA and FOCA agree that emergency or non-routine maintenance may be performed outside the territories specified in the Maintenance Implementation Procedures in order to maintain an aircraft or component, subject to prior approval. The approval for emergency or non-routine maintenance shall be granted by each authority in accordance with the U.S.-Switzerland MaG.

### **Part III Mutual Cooperation and Technical Assistance**

**1.0 Periodic Meetings.** The FAA and the FOCA, and the FOCA's Technical Agent, shall meet at least once a year to discuss Maintenance Implementation Procedures. The frequency of Maintenance meetings will depend on the resources available to each authority, as well as the significance of any outstanding issues. The topics to be discussed shall include:

- a. Developing, approving, and revising detailed guidance to be used for processes covered by Maintenance implementation procedures and consistent application;
- b. Sharing information;
- c. Regulations (new and revised), on-going projects, changes in their own organizations, any revisions to their requirements, technical assistance requests, or any other matters relating to Maintenance Implementation Procedures.

**2.0 Information.** The FAA and the FOCA shall provide information and assistance regarding the maintenance and alterations or modifications to be performed under the terms of the Maintenance Implementation Procedures, and shall develop and circulate appropriate publications through established methods in their respective countries to:

- a. Inform the public of the terms of Maintenance Implementation Procedures and any amendments or appendices; and
- b. Outline the regulatory requirements and special requirements necessary for persons to perform work under the terms of these Maintenance Implementation Procedures and the Maintenance Guidance.

**3.0 Technical Assistance.** The FAA and the FOCA agree to provide technical assistance to each other, upon request, to further the purposes and objectives of Maintenance Implementation Procedures. The FAA and the FOCA may decline to provide such technical assistance due to lack of resource availability, because the maintenance activity is not within the scope of Maintenance implementation procedures, or there is no regulatory involvement with the facility. Such areas of assistance may include, but are not limited to:

- a. Conducting and reporting on investigations at the request of the other authority.
- b. Obtaining and providing data for reports where requested.

**4.0 Exchange of Information.** The FAA and the FOCA shall provide each other with regulations, policies, guidance, practices, and interpretations relevant to Maintenance Implementation Procedures, and shall ensure that such documents are updated in a timely manner. In addition, any FAA or FOCA proposal to amend such documents shall be provided to the other authority for the opportunity to review prior to the amendment being effected, consistent with their national laws and administrative procedures.

**5.0 Urgent or Unusual Situations.** When urgent or unusual situations develop, the FAA's and the FOCA's contact points listed in Section A, Part I, paragraph 3.4 shall communicate and ensure that the appropriate immediate actions are taken. In the case of U.S. based repair stations performing work on civil aeronautical products under the regulatory control of the FOCA, the information should be directed to the FOCA and its Technical Agent, EASA.

**6.0 Notification of Investigation or Enforcement Action.**

6.1 The FAA and FOCA agree, subject to applicable laws and regulations, to provide mutual cooperation and assistance in any investigation or enforcement proceedings of any alleged or suspected violation of any laws or regulations under the scope of Maintenance Implementation Procedures. In addition, each authority shall notify the other promptly of any investigation when mutual interests are involved.

6.2 The FAA and the FOCA agree to notify each other of noncompliances with regulations and Special Conditions set forth in the Maintenance Implementation Procedures. They also will notify each other promptly of any investigation into noncompliance that could result in delisting, certificate suspension, or penalty. The notification will be sent to the other authority's representative identified in paragraph 1.6(c and d). The FAA and the FOCA agree that noncompliances will be corrected and a corrective action plan developed to include dates for corrections. In the case of U.S. based repair stations performing work on civil aeronautical products under the regulatory control of the FOCA, the information should be directed to the FOCA and its Technical Agent

6.3 The FAA and the FOCA retain the right to take enforcement action. However, in some cases, an authority, or if applicable the FOCA's technical agent, may choose to review a remedial action taken by the other authority.

6.4 The FAA and the FOCA agree to notify each other in the event of a revocation or suspension of an FAA 14 CFR part 145 certificate of a repair station or a certificate for an AMO pursuant to Commission Regulation (EU) No 1321/2014. In the case of U.S. based repair stations performing work on civil aeronautical products under the regulatory control of the FOCA, the information should be directed to the FOCA and its Technical Agent

## **7.0 Protection of Proprietary Data and Requests for Information.**

- 7.1 The FAA and FOCA recognize that information related to Maintenance Implementation Procedures submitted by a regulated entity or an authority may contain intellectual property, trade secrets, confidential business information, proprietary data, or other data held in confidence by that regulated entity or another person (restricted information). Unless required by law, neither authority shall copy, release, or show information identified as restricted to anyone other than an employee of that authority without prior written consent of the person or entity possessing confidentiality interests in the restricted information.
- 7.2 Requests from the public for information referred to in *paragraph (a)*, including access to documents, shall be addressed in accordance with the applicable laws and regulations that apply to the authority receiving such requests. An authority receiving a request for such information supplied by the other authority, or its regulated entities, shall consult with that authority prior to releasing such information. The FAA and FOCA shall provide assistance to each other in responding to Maintenance requests as necessary.

**8.0 Accident/Incident Investigation Requests.** When the FAA or the FOCA needs information regarding repair stations/maintenance organizations for the investigation of accidents or incidents involving civil aeronautical products, the request for information should be directed to the technical points of contact that are identified in the U.S.-Switzerland MaG. In turn, upon receipt of the request for information, the other authority will provide the requested information in a timely manner.

**9.0 Unimpeded Access.** For purposes of surveillance and inspections, each authority shall assist the other with the objective of gaining unimpeded access to regulated entities subject to its jurisdiction.

**10.0 Aircraft Repair Station Security.** On January 13, 2014, the TSA final repair station security rule was published. Title 49 of the United States Code (49 U.S.C) 44924 training rule became effective on February 27, 2014. After this effective date, the FAA has resumed the application process of foreign repair stations pursuing certification under Title 14 of CFR part 145. The FAA will notify the TSA when an FAA 14 CFR part 145 certification has concluded and an Air Agency Certificate is issued.

## **Part IV Special Conditions**

### **1.0 FOCA Special Conditions Applicable to U.S.-based Repair Stations.**

Reference Part II, paragraph 3.0.

### **2.0 FAA Special Conditions Applicable to Switzerland-based Approved Maintenance Organizations (AMO).**

- 2.1 To be approved in accordance with CFR part 145, pursuant to the terms of the MIP, the AMO shall comply with all of the following Special Conditions.
- 2.2 The AMO shall submit an application in a form and a manner acceptable to the FAA. The application for both initial and renewed FAA certification shall include:
  - a. A statement demonstrating that the FAA repair station certificate and/or rating is necessary for maintaining or altering U.S.-registered aeronautical products or foreign-registered aeronautical products operated under the provisions of 14 CFR.
  - b. A list of maintenance functions, approved by the FOCA, to be contracted/sub-contracted to perform maintenance on U.S. civil aeronautical products.
  - c. In the case of transport of dangerous goods, written confirmation, demonstrating that all involved employees have been trained in the transport of dangerous goods in accordance with ICAO standards.
- 2.3 The AMO must provide a supplement in English to its MOE that is approved by the FOCA and maintained at the AMO. Once approved by the FOCA, the supplement shall be deemed approved by the FAA. All revisions to the supplement must be approved by the FOCA. The FAA supplement to the MOE shall include the following:
  - a. A signed and dated statement by the accountable manager that obligates the organization to comply with the MIP.
  - b. A summary of its quality system which shall also cover the FAA Special Conditions.
  - c. Procedures for approval for release or return to service that satisfy the requirements of 14 CFR part 43 for aircraft and use of EASA Form 1 for components. This includes the information required by 14 CFR sections 43.9 and 43.11 and all information required to be made or kept by the owner or operator in English as appropriate.

- d. Procedures for reporting to the FAA failures, malfunctions, or defects, and Suspected Unapproved Parts (SUP) discovered, or intended to be installed, on U.S. aeronautical products.
- e. Procedures to notify the FAA regarding any changes to line stations that:
  - 1) are located within and outside Switzerland except those in the United States;
  - 2) maintain U.S. registered aircraft; and
  - 3) will impact the FAA Operations Specifications.
- f. Procedures to qualify and monitor additional fixed locations within Switzerland or the EU member States listed in Appendix 2 of Annex 2 of the U.S.–EU Agreement.
- g. Procedures in place to verify that all contracted/sub-contracted activities include provisions for a non-FAA-certificated source to return the article to the AMO for final inspection/testing and return to service.
- h. Procedures to ensure that major repairs and major alterations/modifications (as defined in 14 CFR) are accomplished in accordance with data approved by the FAA.
- i. Procedures to ensure compliance with air carrier’s Continuous Airworthiness Maintenance Program (CAMP), including the separation of maintenance from inspection on those items identified by the air carrier/customer as Required Inspection Items (RII).
- j. Procedures to ensure compliance with the manufacturer’s maintenance manuals or instructions for continued airworthiness (ICA) and handling of deviations. Procedures to ensure that all current and applicable airworthiness directives (AD) published by the FAA are available to maintenance personnel at the time the work is being performed.
- k. Procedures to confirm that the AMO supervisors and employees responsible for final inspection and return to service of U.S. aeronautical products are able to read, write, and understand English.
- l. Procedures to permit work away from fixed location on a recurring basis, when applicable.

- 2.4 To continue to be approved in accordance with 14 CFR part 43 and part 145, pursuant to the terms of the MIP, the AMO shall comply with the following. FOCA shall verify that the AMO:
- a. Allow FAA, or the FOCA on behalf of the FAA, to inspect it for continued compliance with the requirements of EASA Part-145 and Maintenance Special Conditions (i.e., 14 CFR part 43 and part 145);
  - b. Investigations and enforcement by the FAA may be undertaken in accordance with FAA rules and directives;
  - c. The AMO must continue to comply with EASA Part-145 and FAA Special Conditions;
  - d. The AMO must cooperate with any investigation or enforcement action.
- 2.5 Where regulatory compliance is maintained, this permits the FAA to renew the AMO's certificate 12 months after the initial certification and every 24 months thereafter.

**NOTE: It is recommended that the AMO submits the renewal package 6 months before the certificate expires, but in any case no later than 30 days before expiration.**

**U.S.-SWITZERLAND  
MAINTENANCE GUIDANCE**

*BETWEEN THE  
FEDERAL AVIATION ADMINISTRATION  
for the UNITED STATES OF AMERICA  
AND THE  
FEDERAL OFFICE OF CIVIL AVIATION  
for SWITZERLAND*

**Section B: Certification Process for Switzerland-based  
Approved Maintenance Organizations**



## **Part I General**

**1.0 Training.** In order to comply with the U.S.-Switzerland MaG and its requirements, both parties shall receive initial and recurrent training that covers the U.S.-EU Agreement and its annexes, the U.S.-Swiss MIP, applicable special conditions, and the certification procedures contained in the U.S.-Switzerland MaG. Recurrent training in the form of a briefing in eLearning Management System (eLMS) will be delivered every 2 years and should cover, at least, the U.S.-EU Agreement and its annexes, the MIP, and changes to the U.S.-Switzerland MaG.

### **2.0 Implementation of the EU-EASA Standardisation in Switzerland.**

2.1 Data and Requests for Information. The EASA Flight Standards Directorate shall, upon request of the FAA, provide appropriate information regarding the annual summary of audit reports.

2.2 FAA Involvement as Observers. FAA representatives have the right to participate as an observer in the Standardisation Inspection Team visits. The annual program is going to be raised as required by Regulation (EU) No. 628/2013. The FAA shall follow the procedures referred to under Section B, Part I, paragraph 7.0, as detailed below.

### **3.0 Conduct of Inspections.**

3.1 The FAA Coordinator (AFS-54) will provide the National Coordinator (AFS-300) with an annual EASA Standardization inspection program, as amended. EASA Flight Standards Directorate publishes the guidance for team member qualification and the inspection procedures applicable to a team carrying out a standardisation inspection of FOCA .

3.2 In order to assist EASA in planning and managing the standardization inspection visit schedule and teams, the FAA shall notify the EASA contact in writing one month in advance indicating which visits FAA representatives wish to attend as observers.

**4.0 Preliminary Meetings.** These may only be held at EASA HQ in Cologne, if deemed necessary between the inspection team and the FOCA national standardization coordinator.

**5.0 Onsite Visit.** Onsite visits are to be conducted including opening and closing sessions at the FOCA main or regional offices. The visit may include inspections of undertakings under the FOCA oversight and verification for FOCA compliance with the MIP including the FAA Special Conditions.

## **6.0 Inspection Reports of FOCA.**

6.1 Findings of non-conformity identified against the FOCA will be addressed in accordance with Article 10, 16, 17, and 18 of Regulation (EU) 628/2013. Upon request, these inspection reports will be forwarded to the FAA National Coordinator.

6.2 EASA shall provide the FAA National Coordinator with an annual standardisation report including a summary of all standardisation inspections carried out during the year. The summary must be limited to those audit elements pertaining to the MIP and U.S.-Switzerland MaG.

**7.0 Regulations and Procedures.** EASA Standardisation of FOCA will be carried out in accordance with the Regulations (EU) No. 216/2008 and 628/2013, which are used to establish the EASA working methods of standardisation teams for conducting standardisation inspections within the European Union.

## **8.0 EASA Verification of Compliance with Special Conditions.**

8.1 EASA monitors FOCA to ensure compliance with the terms of the MIP to Commission Regulation (EU) No. 1321/2014 (EASA Part-145). The audit schedule may not be synchronized with the EASA standardisation inspection schedule. Visit frequency is determined based on risk.

8.2 EASA shall determine a visit schedule and provide it to the FAA. They will notify the FAA Coordinator (AFS-54) of the individual visit schedule 2 months in advance and invite them to attend as observers during the visit. Use of the checklist detailed in Appendix 2, EASA Visit Report FOCA, of this guidance will assist EASA in determining confidence in FOCA and its compliance with the terms of the MIP. Upon completion of this visit, the checklist will be provided to the FAA Coordinator (AFS-54) as a source of information useful in determining future SIS visits.

8.3 To prevent duplication of work and to increase the effectiveness of the visits, the visit schedule will take into account the FAA's annual Sampling Inspection System schedule, as described in Section B, Part I, paragraph 12.0.

**9.0 FAA Sampling Inspection System (SIS) in Switzerland.** The FAA Coordinator (AFS-54) will establish a SIS visit schedule, which will be based on risk. The Aircraft Maintenance Division (AFS-300) must concur with the sampling visit schedule prior to submission to FOCA. The sampling inspections verify that the FOCA is following the guidance provided in Sections A and B of the U.S.-Switzerland MaG and is using a risk-based oversight system in managing and planning surveillance.

## **10.0 Objectives.**

- 10.1 To mutually ensure the application by FOCA of the Maintenance Implementation Procedures (MIP) to ensure that it is applied in a consistent manner.
- 10.2 To ensure any AMO issued a repair station certificate by the FAA in accordance with the provisions of the MIP meets a standard equivalent to that required of an FAA part 145 Repair Station.
- 10.3 To assist FOCA and the industry in understanding the FAA Special Conditions and the procedures associated with implementation of the MIP.

## **11.0 Sampling Inspection System (SIS) Team Composition.**

- 11.1 The FAA Coordinator (AFS-54) is responsible for the composition of the team.
- 11.2 Each team member must receive training in the following areas:
  - Initial eLMS for the Agreement Between the United States of America and the European Community on Cooperation in the Regulation of Civil Aviation Safety (the U.S.-EU Agreement).
  - The Swiss MIP.
  - U.S.-Switzerland MaG.
  - Meet the requirements in the current edition of FAA Order 8900.1, Volume 12, Chapter 10.
- 11.3 A FOCA Headquarters representative should accompany the SIS team during the visit to ensure joint cooperation and good communication in the interpretation or application of maintenance standards or regulations.
- 11.4 The inspector/surveyor responsible for the AMO(s) visited should join the team for the visit.

11.5 Criteria Used for Inspections. SAS is the FAA's primary source of comprehensive and integrated safety information data. ASIs, analysts, and managers use SAS in developing and adjusting field surveillance, investigation, and other oversight programs. SAS collects raw performance and operational data, analyzes and summarizes it, and outputs critical information via graphs, tables, and reports. ASIs use these SAS reports to (1) identify safety hazard and risk areas, (2) target inspection efforts for repair stations and to areas of greatest risk, and (3) monitor the effectiveness of targeted oversight actions.

- When the FAA has received a number of reports of non-compliance on AMOs this may indicate a concern with the FOCA.
- Previous sampling inspection reports.
- Reports to the FAA on areas of concern from other AAs of EU member states.
- Certificated and non-certificated facilities.
- FAA and EASA certificate holders in the US and the EU.

## 12.0 SIS Schedule.

12.1 The FAA Coordinator (AFS-54) will determine the sampling visit schedule using objective criteria and risk analysis. The objective criteria and risk analysis will be provided to the Aircraft Maintenance Division (AFS-300) to be trained in the FAA Coordinator's file.

12.2 Provide the annual SIS schedule prior to September 1<sup>st</sup> of each year to the FOCA the EASA technical agent. If the annual schedule changes during the year, provide at least 1 month notice to the FOCA.

12.3 Supplemental visits by a SIS team to FOCA may be required in those cases where Switzerland rated as IASA Category 1 and is subsequently moved to Category 2. If the Category 2 rating is the result of failing to meet the aircraft maintenance oversight standards section of the IASA assessment, the FAA may increase the frequency of sampling inspections accordingly.

### **13.0 Sampling Inspection Process.**

- 13.1 During the visit to the FOCA offices, the MIP requires the FOCA to assist and cooperate with the SIS Team by allowing the FAA to review FOCA repair station (AMO) surveillance records, reports, findings, and corrective action.
- 13.2 The FAA will review FOCA procedures and processes used during surveillance and certification of repair stations under the MIP.
- 13.3 The FOCA will provide individual FOCA inspectors/surveyors training records for review as well as individuals responsible for surveillance for interview.
- 13.4 As appropriate and when possible, the FOCA should also provide the FAA assistance by allowing an FOCA staff member who speaks English to assist in reviewing the above files in addition to assisting with interviews as necessary.
- 13.5 The FAA SIS team must complete Audit report 1 (see Appendix 3) during the inspection, documenting any problems with the FOCA processes and procedures. The FAA SIS team must provide the FOCA with a signed copy of the form at the end of the visit.
- 13.6 The FAA SIS team must complete Audit Report 3 (see Appendix 5) when sampling AMOs for compliance with Section B of the MaG. The FAA SIS team must provide the FOCA with a signed copy of each Audit Report 3 at the end of the visit.
- 13.7 On completion of the form, the results must be entered into the FAA's SAS.

**NOTE: The team is not limited to the selected items above should an area of concern be identified while on site.**

- 13.8 The above mentioned forms are completed and signed by FAA and FOCA representatives while the team is on site and before the final debrief takes place. An FOCA representative's signature indicates that the form has been reviewed and that they understand the findings. This also gives the FOCA an opportunity to add any comments regarding the findings. A copy of the form will be left on site.

**NOTE: FAA ASIs should refer to FAA Order 8900.1, Volume 12, Chapter 10 for additional SIS guidance.**

- 13.9 Where findings have been formally discussed with the AMO and agreed with by the FOCA during the formal debrief at the Organization, the FOCA will complete the follow-up and closure actions required. Follow-up of the findings will be accomplished by the FOCA and reported to the FAA Coordinator (AFS-54) for closure with a copy sent to EASA FS1.
- 13.10 Consistent with the classification of findings developed by EASA, a Level 1 finding is any significant non-compliance with 14 CFR part 145 requirement that lowers the safety standard and seriously impacts flight safety. A Level 2 finding is a non-compliance with the 14 CFR part 145 requirements that could lower the safety standard and possibly impact flight safety.
- a. Level 1 findings require immediate action by the competent authority to revoke, limit, or suspend (in whole or in part) the AMO's approval, depending upon the extent of the Level 1 finding, until successful corrective action has been taken by the AMO.
  - b. Level 2 findings require a corrective action plan that is appropriate to the nature of the finding, but, in any case initially, must not exceed 3 months. In certain circumstances, and subject to the nature of the finding, the FOCA may extend the 3-month period subject to a satisfactory corrective action plan agreed to by the FOCA. Action shall be taken by the FOCA to suspend (in whole or part) the approval in case of failure to comply within the timescale granted by the FOCA.
- 13.11 When findings reviewed with the FOCA are not considered as the FOCA's failure to demonstrate continued confidence in terms of the MIP, the FOCA will forward a corrective action of those findings to the FAA Coordinator (IFO). Findings against the FOCA's failure to demonstrate continued confidence per the Agreement will be handled in accordance with Section B, Part I, paragraph 15.
- 13.12 The FAA and FOCA agree to address interpretations and resolve issues through consultation or any other mutually agreed-upon means. Every effort shall be made to resolve the issues at the lowest possible level.
- 14.0 FOCA Participation in EASA's Sampling Inspections in the U.S.**
- 14.1 In cases where U.S.-based repair stations performing work on civil aeronautical products under the regulatory control of the FOCA are concerned, the FOCA will rely on the activities performed by the FOCA's Technical Agent on the basis of Annex 2 of the U.S.-EU Agreement.
- 14.2 In the case of sampling inspections, EASA will perform the inspections as the FOCA's Technical Agent. However, FOCA retains the right to participate.

**15.0 Resolution of Disagreements.** In accordance with Article IV of the Agreement, any disagreement regarding the interpretation or application of the MIP and the U.S.-Switzerland MaG shall be resolved by consultation between the FAA and the FOCA, and, if appropriate, resolution of such disagreements will be recorded as an amendment or appendix to the MIP outlined in Chapter 1, paragraph 1.3 of the MIP.

## Part II Transfer Provisions

**1.0 Transfer Provisions of Approvals.** The FAA and FOCA agree that the transfer of approvals of repair stations located in Switzerland, but under the direct oversight of the FAA on the date of entry into force of the MIP, shall be accomplished in accordance with the following transfer provisions.

- a. FOCA must complete training of its personnel regarding procedures relating to MIP and the FAA Special Conditions prior to repair stations being transferred. Notification, in writing, of initial training by the FOCA shall be provided to the FAA prior to the transfer of the maintenance organizations.
- b. Once a sufficient number of staff has completed the training to provide oversight of the facilities transferred in accordance with the MIP, the FAA shall transfer the activities of inspecting, monitoring and surveillance of qualified 14 CFR part 145 repair stations to FOCA.
- c. The transfers to FOCA shall take place within two years of the date of the entry into force of the MIP.

**2.0 Manual Requirements.** The maintenance organizations must submit the current revision to FAA Supplement/Chapter 7 of the MOE to FOCA at the renewal.

**3.0 Renewal Dates.** Review renewal dates should ensure a minimum of 6 months remaining before the expiration date.

**4.0 Records.** The FAA will transfer the most current certification/surveillance records to the FOCA. The maintenance organizations have been under FAA surveillance for a given period of time; therefore, the FAA shall ensure that the records show the maintenance organizations are in compliance at the time of transfer.

**5.0 Time Frame.** As soon as practical, the FAA and FOCA must formulate a schedule identifying the maintenance organizations to be transferred. Once the FOCA has informed the FAA that the FOCA inspectors/surveyors have been adequately trained in accordance with Part 1, Paragraph 1.0, the transfer process should be a simplified process. In addition, the FAA may provide further clarification or on-the-job training to FOCA as necessary.



**6.0 FAA Responsibilities/Actions.** The FAA must:

6.1 Ensure the FAA Coordinator (IFO) has appropriate FAA training in MIP and the U.S.-Switzerland MaG procedures prior to being assigned to conduct oversight.

- a. The FAA Coordinator (IFO) should establish a line of communication with the appropriate FOCA representative and FAA representative to coordinate and plan for the transfer of certificates and address any concerns raised by EASA/FOCA.
- b. The FAA Coordinator (IFO) should ensure all outstanding findings have a corrective action plan agreed upon by the FAA and the FOCA. If there are any outstanding or pending violations that may result in an enforcement action, the transfer can occur only after the violation is resolved.
- c. The FAA Coordinator (IFO) should arrange for the FAA representative to meet with the FOCA to provide an opportunity for the FAA and FOCA to exchange information. Copies of the current documentation for the AMOs being turned over should include:
  - 1) Form 8310-3, Application for Repair Station Certificate and/or Rating, with transfer statement on the back of the form.
  - 2) Current copy of Form 8000-4 AMO Air Agency Certificate and OpSpecs with transfer statement on the back of the form;
  - 3) Copy of FOCA transfer information letter;
  - 4) Copy of letter requesting FOCA surveillance responsibility;
  - 5) Surveillance records of the AMO for the past 2 years or as applicable;
  - 6) Record of findings and trends identified;
  - 7) Record of the current revision status of the MOE/Supplement part 7; and
  - 8) Copy of current SAS configuration data vital information with transfer statement.

6.2 The transfer of certificates should be accomplished during the exchange of information. Certificates with fewer than 6 months remaining before expiration may be extended by the FAA.

- | 6.3 The FAA will send a letter to the AMOs informing them of the transfer and new renewal date, if applicable. This will also advise them to provide the FOCA with a renewal application and an FAA supplement to the MOE.
- | 6.4 It is not necessary for the FOCA to review the AMO's FAA-accepted repair station manuals if the AMO has had previous FAA acceptance prior to the transfer process.

**NOTE: After the transfer, the FOCA is responsible for reviewing and accepting FAA manuals and revisions on behalf of the FAA.**

**7.0 FOCA Responsibilities/Actions.** The FOCA is to:

- | 7.1 Designate a FOCA representative to serve as a liaison to the FAA Country Coordinator (IFO) to coordinate and plan the transfer of the certificates.
- 7.2 Submit the agreed-upon list of maintenance organizations to FOCA HQ for approval.
- 7.3 Ensure the FOCA representatives and inspectors/surveyors have FOCA training in the following:
  - Initial eLMS for the Agreement Between the United States of America and the European Community on Cooperation in the Regulation of Civil Aviation Safety (the U.S.-EU Agreement).
  - The Swiss MIP.
  - U.S.-Switzerland MaG procedures.
  - FAA Special Conditions prior to the transfer.
- 7.4 Exchange information and accept transfer of certificates and documents. Review FAA documentation on the maintenance organizations to be transferred, including manuals.
- 7.5 Establish communication with the maintenance organizations and advise them of the transfer, and the responsible person they should submit the revised manual and renewal application.

**8.0 Continued Confidence.** The FAA and FOCA shall continue to demonstrate effective oversight according to the agreed procedures defined herein.

8.1 In particular, FAA and FOCA shall:

- a. Have the right to participate in each other's quality audits, standardization and sampling inspections and establish an annual schedule of sampling inspections including potential changes as necessary to adapt to circumstances;
- b. Submit to inspections as detailed in 5.1 (a) (1) of the MIP;
- c. Ensure that regulated entities provide access to both FAA, FOCA and the FOCA's Technical Agent for audits and inspections;
- d. Make available the reports from quality audits, standardization, and sampling inspections applicable to the procedures outlined in Chapter V, paragraph 5.1 of the MIP;
- e. Make the appropriate personnel available to participate in the sampling inspection;
- f. Make available the maintenance organization's records, inspection reports including completed enforcement actions;
- g. Provide interpretive assistance at their office during the review of internal maintenance organization records and documentation that are recorded in the national language;
- h. Assist each other in closure of any findings from the inspection; and
- i. Ensure that any sampling inspections are identified and based on risk analysis and objective criteria, without prejudice to the discretionary power of the authorities.

8.2 The FAA and FOCA shall notify each other at the earliest opportunity in the event that either authority is not able to meet a requirement in this paragraph. If either FAA or FOCA believes that technical competency is no longer adequate, the authorities shall consult and propose an action plan, including any necessary rectification activities, in order to address deficiencies.

8.3 In the event that FAA and FOCA do not rectify deficiencies within the timeframe specified in the action plan, either authority may address the matter during their periodic meetings, as specified in Chapter IV, paragraph 4.0 of the MIP.

8.4 When the FAA or FOCA intends to suspend acceptance of findings or approvals, they shall promptly notify the other authority. And FOCA's Technical Agent if applicable

8.5 In cases where U.S. based repair stations performing work on civil aeronautical products under the regulatory control of the FOCA are concerned, the FOCA will rely on the activities performed by the FOCA's Technical Agent on the basis of Annex 2 of the U.S.-EU Agreement with regard to the abovementioned tasks.

**9.0 Fees.** The method for determining fees for certification services and approvals are in accordance with 14 CFR part 187 and the terms of the Agreement.

### Part III Initial Certification Process

**1.0 Applicant Responsibility.** To apply for a 14 CFR part 145 repair station certificate under the provisions of the MIP, an applicant AMO must:

- a. Be located in Switzerland.
- b. Have an EASA Part-145 approval.
- c. Demonstrate a need to maintain or alter U.S.-registered aircraft and/or aeronautical products being installed on U.S.-registered aircraft.
- d. The method for determining fees for certification services and approvals are in accordance with 14 CFR part 187 and the terms of the Agreement.

### 2.0 FOCA Guidance for Initial Certification.

2.1 Upon receipt of the preliminary inquiry of the AMO, the FOCA should provide the following to the applicant:

- a. A copy of the U.S.-Switzerland MaG, Section B, as revised.
- b. FAA Form 8400-6. (Pre-application statement of intent. See Appendix 6).
- c. FAA Form 8310-3. (Application for Repair Station Certificate and/or Rating. See Appendix 7)

**NOTE: The FOCA should ensure that the AMO does not have any outstanding findings of non-compliance from FOCA oversight audits.**

2.2 The FOCA should also advise the applicant that the applicant must:

- a. Submit an FAA Supplement to the EASA Part-145 MOE.
- b. Provide the FOCA with a written statement showing the necessity of the certificate, hereinafter referred to as "Statement of Need."
- c. Provide all documentation submitted to the FOCA, and required to be forwarded to the FAA, in the English language.

**3.0 Statement of Need.** In order to qualify for an FAA-approved AMO located in Switzerland, an AMO must have previously obtained an EASA approval. The AMO must submit evidence of a need to maintain or alter U.S.-registered aircraft and parts. This evidence may be in the form of an Letter of Intent (LOI), work order, or contract with details of the relevant customer. A relevant customer may be a U.S.-based repair station; or a U.S. operator, distributor, or lessor.

**4.0 Applicant Responsibility.** The AMO should review the guidance and submit the completed pre-application Statement of Intent and the additional information detailed in Appendix 6 to the FOCA in the English language.

**5.0 FOCA Guidance.** Upon receipt of the Pre-application Statement of Intent (FAA Form 8400-6) and the SAS vitals information addressed in Appendix 6 of this section, the FOCA will review the package. Once the package is complete, the FOCA should forward a copy to the supervising FAA office.

**6.0 FAA Action.** Upon receipt of the information, the FAA will obtain from Flight Standards Service, Regulatory Support Division (AFS-620) the pre-certification and final certification numbers to be forwarded to the FOCA for distribution. The pre-certification number shall be used for all correspondence regarding the application for tracking purposes. The information contained in the Appendix 6 data must be entered into the SAS.

**NOTE: At this time the FAA ASI shall verify if there are any special authorizations and limitations (such as electronic record keeping system) that will need to be entered in paragraph A004 of the OpSpecs.**

## **7.0 FOCA Guidance.**

- 7.1 The FOCA should notify the applicant of the pre-certification number for inclusion on future correspondence.
- 7.2 The FOCA may also give the AMO the final certification designator number and advise the AMO that it must only be used for the creation of forms and the supplement to support the final certification.

**NOTE: FOCA uses the term line stations; the FAA uses the term Line Maintenance Authorization in regard to 14 CFR part 145. Maintenance terms are synonymous when applied under the terms of the MIP.**

**8.0 Applicant Responsibility.** The applicant must submit to the FOCA the formal application package, which contains the following:

- a. FAA Form 8310-3, Application for Repair Station Certificate and/or Rating containing the list of maintenance functions (See Appendix 7).
- b. A statement of need (defined in Part III, paragraph 3.0). The applicant should be advised that the FAA requires an updated document showing the applicant's continuing need at each renewal.
- c. FAA Supplement to the MOE (see Appendix 1).
- d. A letter certifying that its employees, contractors, and subcontractors have been trained in the transportation of dangerous goods in accordance with ICAO standards. This requirement is applicable if the AMO is involved with the transport of dangerous goods, including shipping and receiving of such items. If AMO is involved in the loading of dangerous goods on a U.S. air carrier's aircraft, the AMO's employees must be trained in accordance with the air carrier's hazardous materials training program.

- e. The addresses of all additional fixed locations located within Switzerland and the EU Member States listed in Annex 2, Appendix 2 of the US-EU Agreement. (A repair station may have additional fixed locations (facilities) without certificating each facility as a stand-alone or satellite repair station.)
- f. The addresses of line station's authorizations, if any, and the name of the air carrier or operator of the U.S.-registered aircraft.

**NOTE: The FAA will only recognize line stations that are under the direct surveillance of an FOCA holding an EASA line station approval, except those located in the United States.**

- g. Copy of EASA Form 3 approval certificate and the scope of approval schedule.

## **9.0 FOCA Guidance.**

- 9.1 Review the application package as defined in Section B, Part III and the associated appendices for completeness. If the package is complete, the FOCA should review the contents for correctness. This should include a review of the proposed FAA Supplement in comparison with the sample FAA Supplement in Appendix 1. The supplement must be customized to reflect the AMO's operations and procedures but still must contain the same information as the example supplement paragraphs. If the information that the AMO submits is acceptable, the FOCA should conduct an oversight audit for compliance with EASA requirements and FAA Special Conditions, using Audit Report 2 (see Appendix 4). If the AMO has successfully completed an FOCA oversight audit within the preceding 180 days/6 month period of the FOCA's recommendation to the FAA for certification, the FOCA should not have to conduct a review for compliance with EASA requirements. The FOCA is to conduct an oversight audit for compliance with FAA Special Conditions and the FAA supplement regardless of whether an audit for compliance with EASA requirements has been successfully completed within 180 days/6 month period. Where applicable, the FOCA should notify the AMO of the required fee for the performance of this audit. The AMO should direct all questions regarding Maintenance fees to the FOCA.



- 9.2 If the FOCA discovers deficiencies in an AMO's application package or after conducting an oversight audit, the FOCA may process the finding in accordance with EASA Part-145, Section B, requirements, but the period for corrective action shall not exceed 6 months. If the applicant fails to correct the deficiencies within the timeframe the FOCA allowed, the FOCA should terminate the application process and notify the FAA. In the event of unusual circumstances, the FOCA should notify the FAA, and the FAA may agree to extend the period upon mutual agreement for a reasonable period of time, if the applicant demonstrates an ability and willingness to correct the noted deficiencies. If corrective action must be taken, the applicant should notify the FOCA in writing when all deficiencies have been corrected.
- 9.3 The FOCA must retain a copy of the initial certification package, which must be available to the FAA on request.
- 9.4 The FOCA will send the following completed documents to the FAA:

**NOTE: "Use of the National Language in Audit Report 2."**  
**This report may be in the national language provided the manager of the FOCAs surveillance department provides the FAA with a written statement. This statement will certify that the translations of the Audit Report 2 to the national language is accurate and contains the information of the Audit Report 2 of this Section. Each time the Audit Report 2 is revised, the manager of the FOCA surveillance department will issue a new certifying statement to the FAA. The FAA Coordinator (IFO) must keep a current copy of this letter in the FOCA's file.**

- a. The appropriate recommending FOCA inspector/surveyor will complete blocks 6, 7, 8 and 9 of FAA Form 8310-3. (This method approves the list of functions to be subcontracted/contracted on behalf of the FAA.)
- b. A copy of the completed Audit Report 2 (see Appendix 4) for the applicant AMO. Also include a separate Audit Report 2 and a signed recommendation for each additional fixed location and line station that will utilize the 14 CFR part 145 privileges.
- c. If applicable, a list of the additional fixed locations that will use the AMO's FAA certificate privileges. The list must include the address of each location, the FAA liaison telephone number and e-mail address, if available, and identify the FOCA office with oversight responsibility.

- d. The addresses of line station's authorizations, if any, and the name of the air carrier or operator of the U.S.-registered aircraft.

**NOTE: The FAA will only recognize line stations that are under the direct surveillance of FOCA and holding an EASA line station approval, except those located in the United States.**

- e. The applicant's letter certifying that its employees, contractors, and subcontractors have been trained in the transportation of dangerous goods in accordance with ICAO standards. (Only applicable if the AMO is involved with the transport of dangerous goods, including shipping and receiving. An updated certifying letter must accompany the application on each renewal or amended certificate.)

**NOTE: If there are no changes to the letter content, then update the date of the letter. If there are changes, update both the text and the date.**

- f. A copy of the AMO's FOCA Certificate, scope of approval, and EASA Form 3.

- 9.5 The FOCA is required to retain one current copy of the FAA Supplement to the MOE in the English Language and make that supplement available to the FAA on request.

## **10.0 FAA Action.**

- 10.1 The FAA will review the documents to ensure the package is complete.
- 10.2 During initial certification, there should be no open finding on the Audit Report 2 (see Appendix 4) or on any of the documents submitted to the FAA. However, the FAA recognizes that several languages are involved in the process. Minor discrepancies may occasionally be noted because of various interpretations or misunderstandings on the documents submitted. Maintenance minor discrepancies must be discussed with the FOCA, but should not delay the issuance of the FAA certificate.

**NOTE: When the applicant's FAA Supplement to the MOE is included as a supplement chapter to the MOE (Part 7), and the MOE has been approved by the FOCA, the FAA considers the manual acceptable in accordance with 14 CFR part 145.**

**NOTE: The FOCA is not required to provide to the FAA the MOE or FAA Supplement as a part of a certification package.**

- 10.3 The FAA ASI must update the information contained in the FAA SAS vitals information.
- 10.4 At this time the FAA ASI shall verify if there are any special authorizations and limitations (such as electronic record keeping system) that will need to be entered in paragraph A004 of the OpSpecs.
- 10.5 When all of the application documentation is reviewed and found to meet the requirements of the MIP, the FAA will invoice the AMO in accordance with the current edition of AC 187-1, Flight Standards Service Schedule of Charges Outside the United States. Once the AMO has paid the appropriate fee, the following will be accomplished:
  - a. The FAA ASI will complete block 10 of FAA Form 8310-3.
  - b. The FAA will forward FAA Form 8000-4, Air Agency Certificate, and FAA Form 8000-4-1, Repair Station Operations Specifications, with all applicable limitations to the AMO via e-mail as a PDF attachment. The FAA will also include a cover letter with instructions for an appropriate official at the AMO to sign and return a copy of the Operations Specifications to the FAA and FOCA by e-mail as a PDF attachment. The Air Agency certificate will list the FAA rating. The FAA OpSpecs will list the EASA certificate number (Form 3) and the current revision and date. (There is no need to list FAA ratings on the OpSpecs except in special circumstances discussed in Section B, Appendix 9.

**NOTE: To ensure prompt attention to certification and renewal correspondence, the AMO (in addition to copying the FAA) should use the following organizational e-mail address for the DFW-IFO: 9-AVS-DFW-IFO@faa.gov.**

**NOTE: The FAA ASI must ensure that the ratings of the EASA Part-145 certificate are consistent with the 14 CFR part 145 certificate ratings.**

- c. The FAA will notify the TSA when an FAA 14 CFR part 145 certification has concluded and an Air Agency Certificate is issued.

**11.0 Applicant Action.** The AMO will sign and date the operation specifications and return a signed copy as per paragraph 10.5(b) to the FAA and FOCA.

**12.0 FAA Action.** Provide FOCA with a signed copy of the operations specifications and the Air Agency Certificate.

## Part IV Renewal Process

**1.0 Applicant Actions.** The applicant is required to apply for renewal of its repair station certificate 12 months after the initial certification and every 24 months thereafter.

- 1.1 The renewal package should be submitted to the FOCA 90 days before the AMO's current certificate expires but in any case not less than 60 days prior to renewal.
- 1.2 The renewal package must contain the following:
  - a. Form 8310-3, Application for Repair Station Certificate and/or Rating (see Appendix 7).
  - b. Statement/Document of Continued Need.
  - c. FAA Supplement to the MOE if changed since the last certification. The AMO does not need to submit a new FAA Supplement to the MOE if its current procedures and activities are described in its current supplement. When seeking renewal, an AMO shall ensure that its FAA Supplement to the MOE reflects current procedures and activities. All changes to procedures and activities described in the supplement will require a revision of the FAA Supplement to the MOE, which the AMO must submit to the FOCA for approval.
  - d. If not previously submitted, a letter certifying that its employees, contractors, and subcontractors have been trained in the transportation of dangerous goods in accordance with ICAO standards. This is applicable if the AMO is involved with the transport of dangerous goods, including shipping and receiving of such items. If AMO is involved in the loading of dangerous goods on a U.S. air carrier's aircraft the AMO's employees must be trained in accordance with the air carrier's hazardous materials training program.
- 1.3 The AMO shall provide any changes made that affect the SAS vitals information elements described in Appendix 8.

**2.0 Statement of Continued Need.** The applicant should demonstrate continued need by submitting evidence of the requirements outlined the U.S.-Switzerland MaG. This may include evidence of having carried out maintenance for a relevant customer in the form of a copy of an EASA Form 1 with a dual release.

### **3.0 FOCA Guidance.**

- 3.1 The FOCA should review the renewal package and FAA Form 8310-3 specifically for a revision to Block 4 regarding functions contracted to a maintenance provider.
- 3.2 The FOCA should review the statement of continued need as part of its recommendation to the FAA. If the AMO is unable to establish the continuing need, the FOCA will advise the AMO that the FAA will renew the AMO's certificate based on its previous statement of continued need. The FOCA will also advise the AMO that if at the time of its next renewal the AMO is still unable to show continued need, the FAA may not renew the certificate.
- 3.3 During the FOCA normal surveillance schedule the FOCA shall include the FAA Special Conditions and verify the AMO compliance with the FAA Supplement to the MOE. The purpose of the MIP is to make every effort to utilize the FOCA surveillance time efficiently, thereby reducing redundant inspections/surveillance unless necessary. The FOCA will complete an Audit Report 2. A series of partial audits may collectively fulfil the requirement to perform a complete facility audit. The audit must indicate whether the AMO complies with FOCA requirements and the FAA Special Conditions.
- 3.4 Additional fixed locations and line stations under one certificate are covered by the completion of an Audit Report 2 for that AMO. The FOCA oversight for a fixed location must follow provisions of EASA Part-145, Section B. The FOCA can adopt a sampling surveillance program for the line stations based upon their number and complexity.
- 3.5 The AMO does not need to submit a new FAA Supplement to the MOE if its current procedures and activities are described in its current supplement. When seeking renewal, an AMO shall ensure that its FAA Supplement to the MOE reflects current procedures and activities. Changes to procedures and activities described in the supplement will require a revision of the FAA Supplement to the MOE, in accordance with parts VI. The FOCA shall retain an English language copy of the FAA supplement and make that copy available to the FAA on request.

- 3.6 If the FOCA discovers deficiencies in an AMO's application for renewal or after conducting an oversight audit, the FOCA will follow the corrective action requirements of EASA Part-145, Section B. If the FOCA finds the written plan for corrective action is acceptable, the FOCA will attach the plan to the Audit Report 2. Once the FOCA has found the renewal to be acceptable, the appropriate recommending FOCA inspector/surveyor will complete blocks 7, 8, and 9 of FAA Form 8310-3.

**NOTE: The FOCA inspector/surveyor should complete the finding section of the Audit Report 1 for level 1 (all) and level 2 findings (only those that are related to the FAA approval). The FOCA should place special emphasis on ensuring the finding and or corrective action plan is included in the surveillance form. Findings and the corrective action plan must be forwarded to the FAA in the English language.**

- 3.7 The FOCA will then make a recommendation (Part 3 of Audit Report 2) for or against certificate renewal, based on a complete FOCA surveillance/audit of the AMO conducted within the renewal time frame of every 24 months.

- 3.8 The FOCA shall submit the following documents to the responsible FAA Coordinator (IFO) at least 30 days before the expiration date:

- a. A completed FAA Form 8310-3.
- b. A copy of the AMO's EASA Form 3 and approval schedule, as revised.
- c. A completed copy of the Audit Report 2.

**NOTE: For renewal, only one Audit Report 2 is required to cover all facilities under one approval certificate.**

- d. If applicable and only if the repair station has not previously submitted a letter certifying that its employees, contractors, and subcontractors have been trained in the transportation of dangerous goods in accordance with ICAO standards. (Only applicable if the AMO is involved with the transport of dangerous goods including shipping and receiving.)
- e. The FOCA should forward the applicant's information regarding any changes made that affect the SAS vitals information elements described in Appendix 8.

#### 4.0 FAA Action.

- 4.1 The FAA will review the documentation submitted by the FOCA to determine whether the appropriate information has been entered and is acceptable. The AMO must not have any outstanding issues involving corrective action unless the FOCA has approved a corrective action plan.
- 4.2 An essential step in the renewal process, is the FAA's use of the available risk management tools. The SAS is the oversight tool used by the FAA to identify and mitigate risk. A risk management system is essential in identifying and controlling hazards, and managing risk. Information received from the FOCA on Audit Report 2 requires input into the SAS. This will assist the FAA ASI identify an elevated risk. The RMP is one of the tools to address any hazard that the FAA ASI identifies that's significant enough to justify intensive analysis and tracking. Although, there are other tools to mitigate the identified risk.
- 4.3 If the FAA finds that the documentation supporting an AMO's application for renewal is incomplete or contains minor deficiencies (e.g., typographical or grammatical errors or lack of clarity), the FAA ASI will contact the FOCA for resolution. If the documentation contains major deficiencies, the FAA will notify the FOCA in writing indicating the deficiencies.

**NOTE: Major deficiencies in the renewal application package should be discussed with the FOCA as soon as possible to resolve them before the certificate expiration date.**

- 4.4 When all of the application documentation is reviewed and found to meet the requirements of the MIP, and the AMO has paid the appropriate fee in accordance with 14 CFR part 187, the following will be accomplished:
- a. The FAA ASI will complete block 10 of FAA Form 8310-3.
  - b. The FAA will forward FAA Form 8000-4, Air Agency Certificate, and Repair Station Operations Specifications, with all applicable limitations to the AMO and the FOCA via e-mail as a PDF attachment. The FAA will also include a cover letter with instructions for an appropriate official at the AMO to sign and return a copy of the Operations Specifications to the FAA and FOCA by e-mail as a PDF attachment. The Air Agency Certificate will list the FAA rating and the FAA OpSpecs will list the FOCA certificate number and the current date, which are on FOCA Form 3. (There is no need to list FAA ratings on the OpSpecs except for specialized services.)

**NOTE: To ensure prompt attention to certification and renewal correspondence, the AMO (in addition to a copying the FAA)**

should use the following organizational e-mail address for the DFW-IFO: [9-AVS-DFW-IFO@faa.gov](mailto:9-AVS-DFW-IFO@faa.gov)

**NOTE:** The provisions of the paragraph above related to the inclusion of specialized services of the FAA OpSpecs only apply to existing FAA approvals prior to the entry of force of the MIP.

**NOTE:** The FAA ASI should verify if there are any special authorizations and limitations (such as electronic recordkeeping system) that will need to be entered in paragraph A004 of the OpSpecs.

4.5 If the AMO cannot demonstrate a need, the AMO and the FOCA will be advised in writing by the FAA that, if at the time of its next renewal the AMO is still unable to show continued need, the FAA may not renew the certificate.

**5.0 Applicant Responsibility.** The AMO will sign and date the operation specifications and return a signed copy (per paragraph 4.4.(b)) to the FAA and FOCA.

## **6.0 Significant Findings Noted Between Certificate Renewals.**

6.1 FOCA Action. When the FOCA has reason to raise significant findings (Level 1) against an FAA-approved AMO including any additional fixed location or line station which may result in revocation, limitation, or suspension, in whole or in part, of the FOCA Approval, the FOCA shall complete an Audit Report 2 with a non-recommendation and immediately forward the form to the FAA Coordinator (IFO).

6.2 FAA Action.

6.2.1 The FAA will, on notification that a certificate has been revoked or suspended, take action in accordance with Part VII.

6.2.2 The FAA will, on notification of a limitation imposed on an EASA Form 3, approval schedule, take the appropriate action with regard to amending FAA Operations Specifications.

6.2.3 Where this action is made against an additional fixed location or line station authorization, then the FAA shall ensure the new Operations Specifications are modified to show these changes.

6.2.4 The FAA will notify the FOCA of the action taken by sending a copy of the revised Operations Specifications via e-mail.



## **Part V Change/Amendment to the Approval**

**1.0 Changes.** Each of the following situations requires the AMO to apply for a change in a repair station certificate using FAA Form 8310-3:

- a. A change in the housing and facilities that would affect the certificate and/or Operations Specifications, e.g., change in address (this is not required for internal movement of departments, machinery etc.),
- b. A request to add or amend a rating,
- c. A change in ownership or name change. If the holder of a repair station certificate sells or transfers its assets, the new owner must apply for an amended certificate. Name changes also require an application and certificate change, or
- d. Addition or deletion of additional fixed locations and line stations.

### **2.0 AMO Responsibility.**

2.1 The AMO requesting a change will forward a completed FAA Form 8310-3, indicating the change, to the FOCA including any supporting documentation required by the change. The AMO documentation submitted shall be available in the English language. The FOCA may require the AMO to submit a duplicate document in the national language. If the request requires a change to the AMO's FAA Supplement to the MOE, Maintenance documents will also be submitted to the FOCA.

2.2 Provide updated SAS vitals information (see Appendix 8.)

### **3.0 FOCA Guidance.**

3.1 For any proposed changes to the current certificate, the FOCA will immediately inform the FAA within 3 business days of the proposed change. After discussions with the FAA, the FOCA may recommend that the AMO be permitted to continue operating as a 14 CFR part 145 repair station while the proposed changes are being implemented.

**NOTE: During the process of name change to an AMO , the AMO may continue issuing EASA Form 1 dual release, provided the AMO completes the release with the "NEW" name in block 4 and the "OLD" name stated in block 12.**

- 3.2 The FOCA will conduct an on-site review of the AMO for requests involving a change in rating or facilities. The FOCA will review the documentation submitted by the AMO and, if satisfactory, will forward the following documents to the FAA with the applicable documents in the English language within 10 business days after the issuance of the EASA certificate and related scope of approval via e-mail as a PDF document:
- a. A copy of FAA Form 8310-3 (see initial certification).
  - b. Copies of the AMO's amended FOCA certificate and limitation document/Approval Schedule.
  - c. The Audit Report 2, including Part 3, signed recommendation.
  - d. A list of line station locations and/or additional fixed locations as applicable (see renewal requirements).
  - e. If applicable and only if the repair station has not previously submitted a letter certifying that its employees, contractors, and subcontractors have been trained in the transportation of dangerous goods in accordance with ICAO standards. (Only applicable if the AMO is involved with the transportation of dangerous goods, including shipping and receiving.) If the AMO is involved in the loading of dangerous goods on a U.S. air carrier's aircraft, the AMO's employees must be trained in accordance with the air carrier's hazardous materials training program.

#### 4.0 FAA Guidance.

- 4.1 The FAA will review the documentation to ensure that it is complete.
- 4.2 After review, the FAA will forward FAA Form 8000-4, Air Agency Certificate, and Repair Station Operations Specifications, with all applicable limitations to the AMO and FOCA within 5 business days via e-mail as a PDF attachment. The FAA will also include a cover letter with instructions for an appropriate official at the AMO to sign and return a copy of the Operations Specifications to the FAA and FOCA by e-mail as a PDF attachment.

**NOTE: To ensure prompt attention to certification, renewal, and amendments/changes correspondence, the AMO (in addition to copying the FAA) should use the following organizational e-mail address for the DFW-IFO: 9-AVS-DFW-IFO@faa.gov**

**5.0 AMO Responsibility.** The AMO will sign and date the operation specifications and return a signed copy to the FAA and FOCA per paragraph 4.2.

**6.0 FAA Action.** The FAA's office file shall contain all the appropriate information relating to the change, as applicable.

**7.0 FOCA Guidance.** The FOCA will retain a copy of all the documents supporting the change in the FOCA's office file for a minimum period of 3 years and provide copies to the FAA on request.

## **Part VI Revisions to the FAA Supplement to the MOE**

**1.0 AMO Responsibility.** Revisions to an AMO's FAA Supplement that do not require submission of an 8310-3, as identified in Part V, do not need to be submitted to the FOCA before implementation. However, the revised copy of the FAA Supplement shall be sent to the FOCA.

**2.0 FOCA Guidance.** If the FOCA finds the nature of the changes do not meet the FAA Special Conditions, the FOCA will reject the revision and advise the repair station as soon as possible in writing.

## Part VII Revocation, Suspension and Surrender

**1.0 Revocation.** The FAA may revoke or suspend a 14 CFR part 145 certificate if the certificate becomes invalid under the conditions specified in the MIP or applicable FAA regulations.

**2.0 FAA Investigation.** In the event of a revocation or suspension of an approval for an Approved Maintenance Organization pursuant to Commission Regulation (EU) No. 1321/2014 Annex II, the FAA shall investigate the effect of the revocation or suspension on the FAA certificate and take appropriate action.

**NOTE: The FAA may suspend the certificate in the event of non-payment of FAA required fees until such time the fees are paid.**

**3.0 Office of Responsibility.** Any FAA certificate action involving suspension or revocation will be carried out by the FAA Coordinator (IFO) with the certificate oversight responsibility in accordance with FAA regulations and procedures.

**4.0 Notifying the Certificate Holder.** The FAA will notify the holder of a 14 CFR part 145 certificate in writing about any suspension or revocation. The FAA will also notify the FOCA of the action.

**5.0 Handling of the Original Certificate.** When a repair station surrenders its 14 CFR part 145 certificate to the FOCA, the FOCA should send that original certificate to the FAA Coordinator (IFO).

## **Part VIII Appeal and Conflict Resolution**

**1.0 Appeal.** The 14 CFR part 145 certificate holder may appeal the suspension or revocation of its 14 CFR part 145 Certificate in accordance with 14 CFR part 13.

**NOTE: There is no right of appeal to the FAA when FOCA revokes, limits, or suspends any EASA Part-145 maintenance organization approval.**

## **APPENDICES**

## Appendix 1

### Sample FAA Supplement

#### **SAMPLE FEDERAL AVIATION ADMINISTRATION (FAA) SUPPLEMENT TO AMO MAINTENANCE ORGANIZATION EXPOSITION (MOE)**

The cover page of the FAA Supplement to the MOE should include the information contained in the following statement. The National Aviation Authority (FOCA) may require the FAA supplement to be submitted in duplicate: one in English for FAA sampling, the second in the national language for FOCA review. In either case, the Approved Maintenance Organization (AMO) must always retain at its principal place of business a current copy of this FAA Supplement in English and provide it to the FAA upon request.

FAA SUPPLEMENT REFERENCE NO. \_\_\_\_\_

TO AMO MANUAL

Company Name and Facility Address

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FOCA approval reference No. \_\_\_\_

14 CFR part 145 Certificate No. \_\_

This FAA Supplement, together with this organization's FOCA-approved maintenance organization exposition, forms the basis of acceptance by the FAA for maintenance, alterations, or modifications carried out by this organization on aircraft and/or aircraft components under the regulatory control of the FAA.



Maintenance, alterations, or modifications performed in accordance with the Maintenance Organization Exposition (MOE), (hereinafter referred to as manual) including this Supplement, are considered to be in compliance with Title 14 of the Code of Federal Regulations (14 CFR) parts 43 and 145.

Revision No. contents of the FAA Supplement to the manual (MOE) should include at least the following sections as applicable.

**NOTE: If any or all items identified below are already contained in English in the MOE, then all that is needed is to reference the appropriate MOE manual, section, and pages to meet the supplement requirements.**

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**The contents of each section of an FAA Supplement to the manual are explained in further detail below.**

- 1. LIST OF EFFECTIVE PAGES (LEP).** The FAA Supplement to the manual will begin with a list of the sections it contains, the page number of each section, and the current revision date of each section. This section may reference other appropriate sections of the AMO's manual if that part is submitted with the supplement and contains the page number and current revision date of the sections required by the supplement.
- 2. REVISION PROCEDURES.** The revision procedures section should describe the procedures the organization will use to ensure that the FAA Supplement remains current. It should identify, by title, the person responsible for revising the FAA Supplement. It also should describe the procedures the organization will use to ensure that copies of any revision to the supplement are provided to-[name of FOCA] before implementation. The FAA requires that at least one copy of the supplement be retained by the FOCA, however the FOCA may require a second copy in the national language. The procedures to ensure currency should be a part of the organization's management system. All revisions must be incorporated into the internal quality audit system or quality assurance system (QAS). Changes to the U.S.-Switzerland MaG shall be implemented, as applicable, within 90 days after the effective date of the change.
- 3. INTRODUCTION.** The introduction section will do the following:
  - a)** FAAThis section should indicate that the FAA Supplement, in conjunction with other chapters of the approved FOCA manual of exposition (MOE), defines the organization and procedures upon which compliance with applicable regulations are based.
  - b)** State that the MIP permits the organization to obtain certification and renewal as a foreign repair station under 14 CFR part 145 for performing work on aeronautical products subject to 14 CFR. Certification or renewal as a repair station is obtained after the FAA's review and acceptance of the inspection, surveillance, and evaluation of the organization by the FOCA.
  - c)** An EASA Part-145 AMO can be approved as a 14 CFR part 145 repair station when the AMO complies with EASA Part-145 in conjunction with the FAA special conditions as detailed in Maintenance procedures.
  - d)** State that the FAA Supplement describes the methods and procedures the organization will use to ensure compliance with the FAA Special Conditions. Maintenance conditions are specified in the MIP.

#### 4. ACCOUNTABLE MANAGER'S STATEMENT.

**a)** Accountable manager means the person designated by the certificated repair station who is responsible for and has the authority over all repair station operations that are conducted under 14 CFR part 145, including ensuring that repair station personnel follow the regulations and serving as the primary contact with the FAA.

**b)** The accountable manager (as listed in 14 CFR part 145, § 145.151) is the individual responsible for the organization's compliance with 14 CFR parts 43 and 145. Such compliance is demonstrated by adhering to EASA regulations, requirements, and associated material, and the FAA Special Conditions in the MIP. This section must contain the signed statement by the accountable manager.

(1) This statement agrees that the organization will comply with the Special Conditions specified in the FAA Supplement while operating under its FAA repair station certificate issued under the procedures specified in the MIP. The accountable manager's statement is in lieu of the letter of compliance.

(2) The accountable manager's statement should contain the following or equivalent language: (Compare this with previous FOCA statement) (Not relevant, EASA rule requires an executive officer to be the accountable manager, the 14 CFR does not).

"I understand that this organization, [name of company], when performing maintenance, alterations, or modifications on U.S.-registered aircraft or aeronautical products for use on such aircraft, must perform that work under the terms of the MIP agreed to by the FAA and the European Community and FOCA regulations, requirements, and associated guidance material, as well as FAA Special Conditions set forth in the MIP and described in this organization's FAA Supplement to its Manual.

"As the person with overall control of [name of company], I have reviewed the EASA regulations and requirements and the FAA Special Conditions. This organization fully understands that by complying with Maintenance documents, it will be complying with the corresponding sections of 14 CFR parts 43, 145, and other applicable regulations. I understand that failure to comply with the requirements of FAA Special Conditions may result in the amendment, suspension, or revocations of the FAA certification, or in other certificate or enforcement action by the FOCA or FAA. I also understand that loss of EASA approval will require FAA

enforcement action that may result in the suspension or revocation of the organization's 14 CFR part 145 repair station certificate.

“This organization will provide FOCA and FAA personnel with access to our facilities to assess compliance with FOCA requirements and FAA Special Conditions or to investigate specific problems.

“I understand that this organization may be subject to FAA enforcement procedures. I understand that investigation and enforcement by the FAA regarding suspected violations of 14 CFR by this organization will be undertaken in accordance with FAA rules and directives, and that this organization must cooperate with any investigation or enforcement action.

“I agree to ensure that this FAA Supplement will be maintained and kept current by this organization and be accessible to all personnel. I further agree to submit revisions to this Supplement to the FOCA for acceptance before implementing any such revisions.”

c) The statement must be signed and dated by the accountable manager.

d) Whenever the organization’s accountable manager is replaced, the new accountable manager must sign and date a new accountable manager’s statement. The organization will forward a copy of the newly-signed statement to the FOCA.

**5. EXTENT OF APPROVAL.** The extent of approval section will do the following:

a) State that the extent of FAA approval will not exceed the ratings and scope of work permitted under EASA and FOCA regulations and requirements. The extent of FAA approval also will not exceed the scope of approval set forth in the organization’s 14 CFR part 145 repair station certificate and OpSpecs.

**NOTE: There are some occasions when the EASA rating may exceed the FAA rating; in Maintenance cases, the FAA will add an additional limited rating to cover the extent of the EASA rating. Example: an EASA A1 airframe rating also allows some limited power plant maintenance. The FAA will issue a limited power plant rating along with the airframe rating in order to allow the AMO the same privileges as the EASA rating. The AMO will verify that the FAA rating issued covers the appropriate functions covered under the EASA rating.**

**b)** FAA issuance of a specialized services rating requires FAA-approved engineering data that is not part of a manufacturer's maintenance manual or instruction for continued airworthiness (ICA). The FAA will identify the specific data on operations specifications thereby authorizing the repair station to perform the specialized service. In this section the organization will describe (as applicable and only if the AMO requires a specialized service rating):

(1) The procedures it will use to ensure all work performed under the provisions of specialized services rating is done in accordance with FAA-approved data.

(2) The procedures the organization will use to ensure that only FAA-approved processes are used on U.S.-registered aircraft or aeronautical products intended for installation on U.S.-registered aircraft.

**c)** Capabilities List (CL). The manual's CL will contain all the elements described in this section:

(1) Introduction: A CL refers to a limitations document that identifies by make, model, or other nomenclature designated by the article's manufacturer on which the AMO is authorized to perform maintenance. The CL is located in the AMO's manual or as a referenced stand-alone document, although in some cases it may be referred to by other names. Under the provisions of a BA/MA, the FAA will not issue a repair station certificate and accompanying rating(s) with privileges that exceed the scope of work permitted under the FOCA approval limitations or approval schedule. (There may be cases where the ratings may need to be adjusted. See Section B, Appendix 9 "ratings comparison" for details.)

(2) Using a CL is an effective way of identifying all articles for which an AMO has an established repair capability. Once the component or subassembly is identified on the CL, there is no need to list the individual parts contained in it.

i) The AMO must describe how it will ensure that it has the proper equipment, personnel, housing/facilities, materials, and technical data to maintain each article listed in the CL.

ii) The AMO must acknowledge the CL is an extension of the AMO's FAA OpSpecs.

iii) Use of a CL depends on the AMO establishing procedures for conducting initial and recurrent self-audits of its facility and capabilities.

iv) The CL must be included as part of the AMO's QAS, which is approved as part of the MOE by the FOCA.

**NOTE:** After the FOCA has approved the AMO's internal evaluation program and procedures or self-auditing program (QAS), the AMO can use Maintenance procedures for revisions to a CL. When the AMO has completed auditing itself for the new article being added in accordance with the QAS approved procedures, the AMO is authorized to revise and to perform maintenance and alteration on those items added to the CL without any approval from the FAA or FOCA. Procedures must include a notification of the change to the FOCA. This approval will remain in effect unless the FAA notifies otherwise. A Repair Station obtain approval to add an additional type of class of aircraft or powerplant to its OpSpecs.

- 6. SUMMARY OF THE QUALITY SYSTEMS.** The management and quality systems section will include a version in English of the organization's management system and a summary of its quality system covering the main site and additional fixed locations, and FAA Line Maintenance authorizations. The summary will contain an overview of how the AMO will include FAA Special Conditions in its QAS.

**NOTE:** If the repair station has this section in its MOE and that section is available in English, this same process can be referenced in this section, provided the process is in English and can be made available to the FAA upon request.

**7. APPROVAL FOR RETURN TO SERVICE AND MAINTENANCE, ALTERATION, AND MODIFICATION RECORDS.**

**a) Return to Service of a U.S.-Registered Aircraft.** This paragraph a), if applicable, must contain a procedure for return to service of U.S.-registered aircraft which includes the following elements:

- (1) A description (or reference to the data acceptable to the Administrator) of the work performed;
- (2) The date of completion of the work;
- (3) The signature of the person authorized by the repair station to return the aircraft to service;
- (4) The FAA repair station certificate number;
- (5) Additional requirements specified by the operator; and

(6) Specify the recordkeeping requirements for major repairs and major alterations. Procedures for approval for return to service should describe the procedures for the use of acceptable release documents for components and parts.

**b) For Articles.** Describe acceptable release statements (example below), that meets the FAA Special Conditions and the use of EASA Form 1 with a dual release.

(1) State that the maintenance, alteration, and modification entries required by the Special Conditions (reference to approved/acceptable data) and the entries required by the operator's maintenance program will be in the English language.

(2) For an EASA Form 1 issued as a dual release, both Statements in block 14a indicating compliance with Regulation (EU) 1321/2014 Annex II, EASA Part-145 and "other regulation specified in block 12" are checked. The AMO should include the following or equivalent language in block 12:

**Sample dual release statement:**

**"The work identified in Block 11 and described herein has been accomplished in accordance with 14 CFR part 43 and in respect to that work, the items are approved for return to service under certificate no. \_\_\_\_\_."**

**[Include copies of any attachments.]**

(3) The person approving the product for return to service shall sign block 14b of the form. This signature approves aircraft components for return to service with respect to the work performed. The form must contain a description of the work performed, which also includes the following:

- i) Maintenance manual reference and revision status;
- ii) The date of completion;
- iii) The name/signature of the person returning the Article to service; and
- iv) The FAA repair station certificate number.

(4) Other documents, such as work orders or shop travellers (e.g., FAA Form 337) may be used by the organization to comply with the operator's requirements. If this is the case, Maintenance documents should be referenced specifically in block 12 and appropriately cross-referenced.



(5) Indicate that block 12 will reference the data used to perform maintenance (i.e., maintenance manual reference including revision status). The data referenced must meet the requirements of the Special Conditions. The referenced data may consist of an attachment to the form, such as a work order, air carrier record, or an FAA Form 337.

(6) Maintenance and alteration records required by the operating regulations of 14 CFR for operators of U.S.-registered aircraft must be provided to the operator in English if requested.

**c) Acceptability of Component.** Describe procedures regarding the acceptability of components authorized for use during maintenance, which should comply with the following requirement. Only the following new and used components may be fitted during maintenance.

(1) New Components

- i) New components must be traceable to the Production Approval Holder (PAH) and be in a satisfactory condition for installation. An authorized release document, as detailed below, must accompany the new component.
- ii) For new components released by a U.S. PAH, release must be documented on FAA Form 8130-3 as a new part.

**NOTE: New parts that were received into inventory prior to October 1, 2016, at a minimum, must have a document or statement (containing the same technical information as an FAA Form 8130-3) issued by the PAH or supplier with direct ship authority. Parts currently in inventory, documented with the required information, will be grandfathered and remain suitable for installation, provided the certification/release date on these parts is prior to October 1, 2016.**

**NOTE: For new parts received on and after October 1, 2016 that are not accompanied by FAA Form 8130-3, a repair station may inspect a new component received without the documentation required by the MAG and may issue FAA Form 8130-3, Authorized Release Certificate, Airworthiness Approval Tag, as a dual release. The repair station may take this action provided the procedures for issuance are contained in its Repair Station and Quality Manual and the EASA supplement (EASA special conditions). When inspecting a new component described in this notice, the repair station must develop appropriate inspection criteria to establish that the component was produced by a PAH and is in satisfactory condition for installation.**

- iii) For a new components released by an EU-PAH, release must be on an EASA Form 1 as a new part.
- iv) For new components released by a Canadian PAH, release must be on the Transport Canada Civil Aviation (TCCA) Canadian Form One as a new part.
- v) Parts fabricated by an appropriately rated, EASA-approved Part-145 AMO in accordance with EASA Part145.A.42, are not subject to the foregoing provisions.
- vi) Standard parts meeting the requirements of 14 CFR part 21, section 21.9(a)(3), (such as a nut or bolt, manufactured in compliance with a government or established industry specification) are not subject to the forgoing provisions, provided such parts are accompanied by a conformity statement and be in a satisfactory condition for installation.
- vii) PMA parts may only be accepted as detailed in subparagraph 7(c)(1)(a)(i) above and in the Technical Implementation Procedures (TIP).
- viii) New components provided by U.S. air carrier shall have documentation in accordance with the U.S. air carrier's Continuous Airworthiness Maintenance Program (CAMP).

## (2) Used Components

- i) Used components must be traceable to FAA- and/or EASA-certificated facilities that are approved and authorized to certify the maintenance, preventive maintenance, and/or alterations which they have performed. In the case of life limited parts, the life used must be documented. The used component must be in a satisfactory condition for installation and be eligible for installation as stated in the PAH parts catalogue or aviation authority (AA) approval document. An authorized release document, as provided below, must accompany the used component.

**NOTE: For used parts received on and after October 1, 2016 that are not accompanied by FAA Form 8130-3, a repair station may inspect a used component received without the documentation required by the MAG and may issue FAA Form 8130-3, Authorized Release Certificate, Airworthiness Approval Tag, as a dual release. The repair station may take this action provided the procedures for issuance are contained in its Repair Station and Quality Manual and the EASA supplement (EASA special conditions). When inspecting a used component, the repair station must develop appropriate inspection criteria to establish that the component is airworthy and is in satisfactory condition for installation.**

- ii) An EASA Form 1 issued as a dual maintenance release must accompany used components from EU-based 14 CFR part 145 repair stations.
- iii) Used components from a FOCA -approved part 145 AMO not FAA-approved must not be used even if accompanied by an EASA Form 1
- iv) An FAA Form 8130-3 (14 CFR § 43.9 release) issued as a maintenance release must accompany used components from a 14 CFR part 145 Repair Station.
- v) Used components provided by U.S. air carrier shall have documentation in accordance with the U.S. air carrier's CAMP.
- vi) A Canadian Form One issued as a maintenance release should accompany used components from a Canadian-based AMO.
- vii) Used components that have been issued a triple release (i.e., certifying compliance with FAA, EASA, TCCA requirements) on an EASA Form 1 as a maintenance release are acceptable.

d) **Possible Cases.** The following table is a summary of possible cases:

Privileges of the dual EASA and FAA certificated maintenance organization			
United States		Europe	
Release Document of Final Assembly: <b>8130-3 Dual Release</b>		Release Document of Final Assembly: <b>EASA Form 1 Dual Release</b>	
<b>Acceptable New Products/Articles:</b>  EASA Form 1 NEW 8130-3 NEW C of C Standard Parts		<b>Acceptable New Components:</b>  EASA Form 1 NEW 8130-3 NEW C of C Standard Parts	
<b>USED Products/Articles:</b>		<b>USED Components:</b>	
Acceptable Used Products/Articles Release Document (input)	Final Assembly Release document (output)	Acceptable Used Components Release Document (input)	Final Assembly Release document (output)
8130-3 Single	8130-3 Single	Form 1 Single	Form 1 Single
8130-3 Dual	8130-3 Dual	Form 1 Dual*	Form 1 Dual*
Form 1 Dual*	8130-3 Dual	8130 Dual	Form 1 Dual*
Form 1 Single	Form 8130-3 (see below U.S.)	8130 Single	Form 1 (see below Europe)

\* For the purpose of the table above, triple release mentioned in subparagraph vii has the same status as EASA Form 1 Dual.

**Europe**

**One or more products/articles were installed with a FAA Form single release and so the final assembly cannot be released with a EASA Form 1 dual release. The final release should be issued with the following statements in the specified blocks. The final assembly is eligible to be installed only on an US registered aircraft.**

In block 14a, check only the box mentioning “Other regulation specified in block 12.” Do not check the box that states compliance to 145.A.50.

In block 12, include the following release statement:

“The work identified in Block 11 and described herein has been accomplished in accordance with 14 CFR part 43 and in respect to that work, the items are approved for return to service under certificate no.\_\_\_\_\_.

This product/article meets 145.A.50 requirements, except for the following items, and therefore is *not* eligible to be installed on an EU-registered aircraft:”

(List the items)

**United States**

**One or more products/articles were installed with a EASA Form 1 single release and so the final assembly cannot be released with a 8130-3 dual release. The final release should be issued with the following statements in the specified blocks. The final assembly is eligible to be installed only on an EU registered aircraft.**

In block 14a only check the box mentioning “Other regulation specified in block 13.” Do not check box that states compliance to 43.9.

In block 12, the following text should be inserted:

“Certifies that the work specified in Block 11/12 was carried out in accordance with EASA Part-145 and in respect to that work the component is considered ready for release to service under EASA Part-145 approval no.\_\_\_\_\_.

This product/article meets part 43.9 requirements, except for the following items, and therefore is *not* eligible to be installed on U.S.-registered aircraft:”

(List the items)

**8. REPORTING OF UNAIRWORTHY CONDITIONS TO THE FAA.** This section should explain the procedures the organization will use to report any serious service-related malfunctions, defects, or failures on a component or part of an aircraft (powerplants, propellers, or appliances) that occur as a result of aircraft/system operation. The AMO may submit the reports in the form of a letter, e-mail, accessing the Service Difficulty Report (SDR) reporting system online at URL <http://av-info.faa.gov/SDRx/>, or EASA online reporting system or in a form and manner acceptable to the FAA containing the information required by 14 CFR part 145.221 in English.

**a) Responsibility.** Include the title of each person responsible for completing and submitting reports of unairworthy conditions to the FAA.

**b) Suspected Unapproved Parts Program (SUP) Reporting Requirements.** The SUP reporting requirements section should:

(1) Describe the organization's procedures to report all SUPs. The organization should submit reports to the FAA under the FAA SUP as detailed in AC 21-29 (current edition).

(2) In addition, this section should include the title of each person responsible for completing and submitting suspected unapproved parts notifications to the FAA.

**NOTE: EASA Part-145 requirements include SUP reporting requirements under their unairworthy conditions reporting requirements. The FAA recognizes this system; therefore, an AMO need only identify the appropriate section by reference in this supplement, provided the procedures are in English and can be made available to the FAA upon request. A duplicate copy of the form submitted to the FOCA must be submitted in English to the FAA. EASA Part-145.A.60 meets the intent of the SUP program when a copy of the report is forwarded to the FAA Coordinator (IFO) in English.**

## **9. ADDITIONAL OPERATING LOCATIONS.**

**a) Additional Fixed Locations within EU Member States or Switzerland.** If the AMO has additional fixed locations, located in the EU Member States listed in Annex 2 of the U.S.-EU Agreement or Switzerland, and operating under one EASA approval certificate, the sites can operate under one FAA certificate and operation specifications. This section of the supplement must address the procedures the AMO will use to ensure each location operates under the same MOE and FAA Supplement as the parent facility. The procedure must demonstrate how each

separate location is under the full control and QAS of the parent facility. The additional fixed locations must be located within an EU Member State listed in Annex 2, Appendix 2 of the U.S.-EU Agreement or Switzerland, and each location must be listed on FAA Operations Specifications. The AMO must provide the following information for inclusion on the FAA Operation Specifications; the name of the organization, and mailing address including mailing code. The AMO must also address how it will submit a completed FAA Form 8310-3 (application) through the FOCA to the FAA when adding or deleting additional fixed locations.

**b) Line Station Authorizations.** If the AMO has line stations that meet the requirements set forth in the initial certification section, this section of the supplement must address the procedures the AMO will use to ensure each location operates under the same MOE and FAA supplement as the parent facility. The AMO must also address how it will submit a completed FAA Form 8310-3 (application) through the FOCA to the FAA when adding or deleting line stations. The procedure must demonstrate how each separate location is under the full control of the parent facility and QAS. The FAA supplement must contain a list of line station authorizations that maintain U.S.-registered aircraft with the details of the operators, as specified in the initial certification section.

**NOTE: FOCA uses the term “line stations,” while the FAA uses the term “Line Maintenance Authorization” in relation to 14 CFR part 145. This note is to advise the reader that Maintenance terms are synonymous when applied under the terms of the MIP.**

**c) Work Away from a Fixed Location.** This subsection describes the procedures for conducting work away from the AMO to ensure compliance with the MIP. The subsection should also state that the AMO is authorized to perform work away from its facilities as specified in this subsection but the performance of such work must not exceed the scope of its FAA rating.

(1) The procedures should address how an AMO will perform work at a place other than its fixed location when the occasion or the need arises, by moving, material, equipment, and technical personnel to perform specific maintenance functions. This process cannot be used to establish a permanent location. Continuous operation at a permanent facility other than the AMO’s fixed location must not occur without the appropriate authorization.

(2) If the AMO is required to perform maintenance on a U.S.-registered aircraft or article located within the territory of the United States and operated under 14 CFR parts 121,135 or 125, the AMO must meet the procedures described in Appendix 1, paragraph 9(d). The AMO must also have procedures in this section of the supplement that describes how the AMO will comply with the U.S. operator’s drug and alcohol program.

(3) An AMO may perform work away from its fixed location for a one-time special circumstance or recurring basis. If the AMO does not have a written procedure for work away from station, then the AMO must notify the FAA in advance of doing the work. The notification must describe the work to be performed, the date of the work, the customer, and certify to the FAA that the AMO will follow all existing procedures in its current MOE and FAA supplement.

(4) If the AMO has approved procedures in the FAA Supplement, it may be authorized to perform work away from station. The FAA will issue operations specification D100.

**Explanation:** An AMO may perform work away from its fixed location on a recurring basis when necessary, such as to perform mobile field services. This will allow work away from the AMO's fixed location as a part of everyday business rather than under special circumstances only. Once the FOCA accepts the work away from station procedures in the FAA supplement to the MOE the FAA can issue FAA OpSpecs for work away from station. After OpSpecs paragraph D100 is issued there is no requirement for notifying the FAA in advance. Subsection D describes the supplement requirements.

**d)** This subsection also should describe how work will be accomplished in the same manner as work performed at the AMO's fixed location. The AMO should acknowledge that Maintenance procedures apply only to work performed at other locations. This subsection should:

(1) Describe the procedures used to ensure that FAA technical data, such as manufacturers' manuals, service bulletins, and letters, are current and accessible at the location where the work is performed.

(2) Describe the procedures used by the organization to control tools and ensure proper equipment calibration when away from the AMO's fixed location.

(3) Describe how the organization will ensure that records for work performed away from the AMO will be maintained in the same manner as at the AMO's fixed location.

(4) Describe how the organization will ensure that personnel performing work away from the AMO's fixed location will be trained and qualified to perform the required work.

(5) List by title the persons who are authorized to approve an item for return to service when working away from the AMO's fixed location.



(6) List by title the persons responsible for organizing and supervising work away from the AMO's fixed location.

(7) Describe how the organization will ensure that all required personnel, equipment, materials, and parts will be made available at the place where the work is to be performed.

(8) State the organization's responsibility to maintain a record of work performed away from the AMO, both within the country and outside the country. Any record of this work should include:

- i) A description of the work performed,
- ii) The date and location where the work was performed, and
- iii) The work order number (total time in service if required).

(9) Retain maintenance records for 3 years after the performance of the work.

**e)** An AMO may perform work away from its fixed location for extended periods of time provided it does not establish permanency at the location. The FAA recognizes that this type of operation involves contracted work that may require several months to complete. This type of operation is temporary in nature and must not be used to circumvent obtaining a 14 CFR part 145 certificate at that location. After the contracted maintenance is completed, the AMO must transport its tools, equipment, and personnel back to its fixed location. The certificate holder must request this type of operation directly to the FAA. The FAA will evaluate each request on a case-by-case basis.

- The contracted maintenance must be for at least 60 days but not exceed 1 year.
- The AMO must furnish its own tools and equipment, unless it has procedures for leasing or contracting tools and equipment that comply with the regulations and procedures in the MOE and FAA supplement.
- The request to the FAA must include the aircraft (make/model/series), the project to be accomplished, the duration of the work, the location of the work, and a statement that the temporary facilities are suitable for the AMO's work.

**10. CONTRACTING.** An FAA-certificated part 145 repair station may contract a maintenance function pertaining to an article to an outside source. (Contracting is some times referred to as subcontracting. For the purposes of this section, the term contracting includes subcontracting). There are two elements to the contracting provisions of the U.S.-Switzerland MaG.

**a) List of Contractors.** The FAA accepts EASA Part-145 requirements for the MOE to contain a list of all contractors utilized by the AMO and approved by the FOCA as part of the MOE. The list contains the name, address, and certificate and rating if applicable. The FAA can accept this practice when the list identifies, by an asterisk or other means of identification, those contractor(s) the AMO will use to support maintenance activities for U.S.-registered aircraft or aeronautical products to be installed on such aircraft. Make the list of contractor(s) available to the FAA in the English language on request.

**b) Qualifying and Auditing Contractor.** The FAA recognizes EASA Part-145 QAS and requirements to qualify and audit contractors when the QAS includes the FAA Special Conditions. If the AMO's summary of its quality and audit procedures includes a description of inclusion of the FAA Special Conditions, there is no need to provide additional supplement procedures. However, if the AMO elects to have a separate QAS for the FAA special condition, the following procedures should be addressed in the supplement. The following provisions are designed for those AMOs that do not include the FAA Special Conditions in their FOCA-approved QAS.

(1) Describe those procedures the organization will use to both qualify and audit contractors.

(2) Contracting to non-FAA-certificated Sources. If the AMO contracts a function to a non-FAA-certificated source, the AMO must be appropriately rated to perform the work. This section should:

- i) Explain that the AMO is responsible for approving for return to service each item on which work is performed and for ensuring its airworthiness.
- ii) Indicate that any non FAA-certificated contractor to which work is contracted must be under the control of the AMO's QAS. Additionally, the AMO must inspect each item on which contracted work has been performed for compliance with this supplement.
- iii) Explain that if the AMO cannot determine the quality of contracted work, the work can only be contracted to an FAA-certificated facility that is able to test and/or inspect the work performed and issue a return to service for the work performed. If the contracted item must be disassembled by the AMO to determine the quality of the work performed, then it should not be contracted to a non-FAA-certificated source.

(3) Contracting to FAA-certificated Facilities. This subsection should:

- i) Explain that if the AMO contract functions to another organization that is FAA-certificated, the contractor is responsible for approving the return to service for each item on which it has worked.
- ii) Describe the procedures the organization will use to determine that the FAA-certificated organization to which work is contracted is properly certificated to perform that work.

(4) Receiving Inspections. This subsection should:

- i) Describe the organization's procedures for inspecting the work performed by a contractor on an item that has been returned to service.
- ii) Describe the procedures the organization uses to provide technical training for receiving inspection personnel who inspect contracted work.
- iii) Explain the procedures the organization will use to ensure that items on which contracted work has been performed are properly processed through the organization's receiving inspection procedures.
- iv) Explain receiving inspection procedures in enough detail to enable a receiving inspector to make an airworthiness determination of any item received based on a technical review of the contractor's source documentation.
- v) Describe the method of recording contractor's work and the record retention period.

(5) Audits. This subsection should:

- i) Describe the procedures the organization uses when auditing contractors and the frequency of such audits. It also should explain the procedures for recording the results of such audits, to include the record-retention period for the results of each audit.
- ii) Describe the procedures the organization will use to ensure that contractors comply with operators' manuals, manufacturers' manuals, and ICA.
- iii) Describe how contractors are informed of any changes to maintenance manuals and procedures.

## 11. MAJOR REPAIRS AND MAJOR ALTERATIONS.

**a) Automatically Approved Data.** All repair design data approved by EASA and/or organizations/persons approved under EASA Part-21 for use on a U.S.-registered aircraft and related articles are considered FAA-approved (FAA Order 8130.2). This does not apply to critical component repair design data developed by organizations/persons that are not the type certificate (TC)/supplemental type certificate (STC) holder.

**NOTE:** A critical component is defined as a part identified as critical by the design approval holder during the validation process, or otherwise by the exporting authority. Typically, such components include parts for which a replacement time, inspection interval, or related procedure is specified in the Airworthiness Limitations Section or certification maintenance requirements of the manufacturer's maintenance manual or instructions for continued airworthiness.

**b) Procedures.** For repair design data that is not automatically approved, the AMO needs to describe the procedures to ensure that the major repair and/or alteration data being used to perform work on a U.S. customer's product is approved by the FAA.

**c) Describe the Following:**

i) Procedures the organization will use to determine when FAA-approved data is required (procedures for determining what is a major repair or a major alteration as detailed in 14 CFR part 43, Appendix A).

ii) Procedures for obtaining FAA-approved data for major repairs and/or major alterations; and

iii) Forms used for recording major repairs and/or major alterations (i.e., FAA Form 337, customer's work order, or any records required by an air carrier).

**d) Include procedures the organization will follow to ensure that an English version of FAA Form 337 is provided directly to the FAA when required.**

**e) Include the title of each person responsible for completing and submitting FAA Form 337 to the FAA.**

## **12. COMPLIANCE WITH U.S. 14 CFR PART 121 AIR CARRIER CONTINUOUS AIRWORTHINESS MAINTENANCE PROGRAM (CAMP) OR 14 CFR PART 125 OPERATOR INSPECTION PROGRAM**

**a) Procedure.** This procedure will describe that the AMO will comply with appropriate portions of a U.S. air carrier's Continuous Airworthiness Maintenance Program (CAMP) or 14 CFR part 125 operator's manual as provided by that operator, and:

(1) The procedures the AMOs use to ensure that their personnel have been properly trained and qualified to perform work in accordance with the 14 CFR part 125 operator or part 121 air carrier requirements.

(2) State that the AMO understands that any deviation from the certificate holder's maintenance manuals or supplemental instructions will require documented approval from the 14 CFR part 125 operator or part 121 air carrier requirements.

(3) The AMO's maintenance procedures that are different from the air carrier's CAMP procedure shall be identified in a written agreement between the air carrier and the AMO and accepted if determined to be equivalent.

**NOTE: Under 14 CFR part 145, § 145.205, the AMO is required to comply with the air carrier's CAMP. This requires the AMO to comply with the air carrier's requirements; for example, approval for return to service procedures, parts, tagging, shelf life of expendable materials, tool and equipment calibration intervals, etc., in accordance with the air carrier's CAMP. This is normally accomplished by the air carrier auditing the AMO and providing the AMO with a written agreement accepting the AMO's processes and procedures as meeting or exceeding the air carrier's requirements. It is imperative that the AMO receive and retain copies of the written agreement from the air carrier and have it available for review by the FOCA or FAA.**

(4) If applicable (14 CFR part 125, § 125.71), a 14 CFR part 125 operator is required to have an FAA approved Inspection program (CFR § 125.247). This section should address how the AMO will comply with the 14 CFR part 125 operators inspection program, if contracted to do such work. (The AMO will request the operator to provide them with the appropriate section of the inspection program prior to performing that inspection).

(5) If applicable, describe the aircraft inspection requirements for U.S. registered aircraft operating under 14 CFR part 91 § 91.409 aircraft inspection requirements. This section should describe how the AMO will comply with the operator's requirements. (The AMO will request the operator to provide them with the appropriate section of the inspection program).

**b) Required Inspection Items (RII).** This subsection must:

(1) State that RIIs identified in the U.S. Operator's Manual must be accomplished by authorized personnel who are not involved in performing the work on the item to be inspected.

i) The RII-qualified inspectors must work under the quality control system/inspection organization of the repair station.

ii) Under this subsection of the manual, the repair station will state how the separation between maintenance and inspection is managed.

(2) State that the AMO or the maintenance department of the air carrier cannot overrule the findings of the RII-qualified inspector.

(3) Include the organization's procedures to ensure that any person performing RIIs is trained, qualified, and authorized by the air carrier for which the RII is being conducted.

### **13. COMPLIANCE WITH MANUFACTURERS' MAINTENANCE MANUALS OR INSTRUCTIONS FOR CONTINUED AIRWORTHINESS (ICA)**

**a)** Compliance with manufacturers' maintenance manuals or ICA section will

(1) state that the AMO will retain an English language copy of the technical data from which the AMO's internal documents were developed. However, the AMO may convert technical data (i.e., ICA, manufacturers' maintenance manuals, or type certificate holders' continued airworthiness data) into internal documents such as work cards, work sheets, and shop travellers in a language other than English. The AMO also will establish procedures to ensure that its English language copy of technical data and any internal documents developed from this technical data are current and complete. Keep an English copy of the technical data at the AMO's main base as identified on the FAA certificate and make it available to the FAA on sampling inspections or investigation.

**b)** State that all maintenance performed for a U.S. air carriers, including all major repairs and major alterations, must be recorded in accordance with that air carrier's manual. Major repairs performed for a U.S. air carrier must be recorded on FAA Form 337, or on a work order signed and dated by the AMO.. Major alterations performed for anything other than a U.S. air carrier, (i.e., U.S.-registered general aviation aircraft or part 125 aircraft, as described in this sample supplement paragraph 12 above) must be recorded on an FAA Form 337. EASA Part-145 requires the AMO to follow the operators' work orders and manuals; therefore, a reference to the section of the manual that addresses this issue is acceptable, provided that section is written in English and can be made available to the FAA upon request. However, any deviation from procedures as stated above in paragraph 13 must be addressed in this section to show compliance with FAA-approved data.

**c)** FAA Airworthiness Directives (AD). The FAA AD section will:

(1) Explain how the organization will ensure that it will comply with all FAA ADs applicable to the work performed under the ratings it holds.

(2) State how the organization will manage and control the distribution and use of ADs. It also should identify how the organization will ensure that the applicable FAA ADs will be made available to its personnel when they perform work under its FAA certificate and rating.

(3) List by title each person responsible for compliance with Maintenance requirements.

(4) Include repair station procedures to ensure customer approval/request of the performance of applicable ADs. If the organization does not comply with an applicable AD, record its non-compliance in the item's maintenance records. This section should describe how this information would be recorded and transmitted to the customer.

**14. QUALIFICATIONS OF PERSONNEL.** The personnel requirements section will include the following:

**a)** The name, title, telephone number, and facsimile number of the person who will act as the liaison between the organization and the FOCA. This liaison will ensure compliance with the provisions of the supplement.

**b)** The procedures the organization uses to ensure that its personnel have been properly trained and qualified to perform work in accordance with the customer or air carrier requirements (procedures such as RII). It is the responsibility of the repair station to assure that Maintenance requirements are met.

**c)** The procedures the organization uses to ensure that its employees, contractors, and subcontractors have received initial and recurrent training in the transportation of dangerous goods in accordance with ICAO standards. This requirement is applicable if the AMO is involved with the transport of dangerous goods, including shipping and receiving of such items. If AMO is involved in the loading of dangerous goods on a U.S. air carrier's aircraft, the AMO's employees must be trained in accordance with the air carrier's hazardous materials training program

**d)** The procedures the organization will use to ensure that the following personnel can read, write, and understand English:

(1) Those approving an aeronautical product for return to service; and

(2) Those responsible for the supervision or final inspection of work on a U.S.-registered aircraft or article to be installed on a U.S.-registered aircraft.

**15. FORMS.** The forms section should include copies of all forms referred to in the supplement, (e.g., EASA Form 1, FAA Form 8010-4, FAA Form 337), procedures for completing the forms, and the title of any person authorized to execute such forms. It is acceptable to refer to other sections of the supplement or to other English language sections of the manual where the copies and procedures for completing the forms are located and can be provided to the FAA upon request.



## Appendix 2

### EASA Visit Report FOCA

<b>EASA Visit Report FOCA</b> (EASA monitoring of FOCAs as its Technical Agent) with respect to the U.S. Swiss MIP)		
<b>FOCA:</b>	<b>FOCA Office:</b>	<b>VISIT DATE:</b>
<b>Compliance Checklist with U.S.-Switzerland MaG, Section B</b>		*
* ( N/R ) = applicable but not reviewed; ( N/A ) not applicable; ( <input checked="" type="checkbox"/> <input type="checkbox"/> ) = In compliance; ( xy ) = if not in compliance, put consecutive numbering in the box and make finding or comment in relevant section .		
Initial Approval:		
1.	Does the FOCA provide the application package and advice to the applicant, and is evidence of need shown?	
2.	Does the FOCA forward the completed pre-application Statement of Intent to the FAA? (FAA Form 8400-6)	
3.	Does the FOCA review applications for completeness and correctness? Is the FAA supplement compliance reviewed and are additional fixed locations, work away locations, and line stations identified? Does the audit carried out cover the Special Conditions, FAA supplement, and EASA requirements?	
4.	Are deficiencies notified to the applicant and closed within the timeframe given or have extensions been granted?	
5.	Are the FOCA Audit Report 2 recommendations submitted within the 30 day period specified in Section B?	
6.	Does the FOCA retain an FAA supplement in the English language?	
7.	Are copies of the Operations Specifications and FAA Certificate retained by the FOCA?	

8.	Is the application package retained for the 3-year period specified in the U.S.-Switzerland MaG?	
Renewal Approval:		
9.	Does the FOCA receive the application within the timeframe stipulated?	
10.	Does the FOCA review the application for evidence of need?	
11.	Does the FOCA normal surveillance plan include the FAA Special Conditions and the FAA MOE Supplement?	
12.	Does the FOCA base its recommendations on a complete FOCA audit within the 24-month period and include any additional fixed locations, work away locations, and line stations as listed on the Operations Specifications Is it forwarded within the timeframe?	
13.	Does the FOCA record deficiencies and closure in the time scales allowed, and are they transmitted to the FAA?	
14.	Are copies of the Operations Specifications and FAA Certificate retained by the FOCA?	
Changes to Approval:		
15.	Does the FOCA receive an application in the correct manner and language and is the FAA informed where required?	
16.	Does the FOCA carry out an on site review where required?	
17.	Does the FOCA send a signed Audit Report 2 (Appendix 4) recommendation to the FAA when required?	
18.	If any changes to the Operations Specifications and FAA Certificate are made, are they retained by the FOCA?	
19.	Does the schedule ensure each fixed location has a complete FAA audit within the two-year time frame required by FAA?	
Revisions to the FAA Supplement:		
20.	Does the FOCA review revisions to the FAA supplement and is this in accordance with the U.S.-Switzerland MaG, Appendix 1.	

<b>Findings Raised Against the FOCA</b> (non-compliance with U.S.-Switzerland MaG, Section B)	REFERENCE

<b>COMMENTS</b>
1.
2.
3.

<b>Signatures</b>	Date of Signatures:
EASA inspector/surveyor	FOCA Coordinator
Name:	Name:
Signature:	Signature:
Name:	
Signature:	

## Appendix 3

### Audit Report 1: FAA SIS Audit of FOCA

Instructions: This job aid is to be used for FAA SIS audits conducted to determine the listed Aviation Authorities' compliance with the bilateral airworthiness agreement. Aviation safety inspectors (ASI) should use this job aid in conjunction with the MaG, Section B, when sampling the FOCA office. When conducting an audit of the "Special Conditions" of an AMO, the ASI should complete Audit Report 3 (see Appendix 9) to record those results. The SIS team shall complete this job aid in its entirety.

FAA Office:	FOCA Visit Report :	Date:
FOCA Headquarters or Regional Office Location:		
<b>US/Switzerland AGREEMENT COMPLIANCE CHECKLIST FOR FOCA</b>		
<b>1. Review FOCA Office FAA repair station files to verify:</b>		
a. Records of findings and corrective action meet EASA requirements? (Select "Not Applicable" if findings have not been previously reported)		
Yes	No	Not Applicable
b. Repair Station records:		
(1). Repair station records are retained for 3 years? (Select "Not Applicable" if the repair station had not been certificated for the preceding 3 years.)		
Yes	No	Not Applicable
(2). If certificated for less than 3 years, have the repair station records been retained since the date of certification?		
Yes	No	

c. Repair station records show corrective actions to findings have been made IAW FOCA timeframes? (Select "Not Applicable" if findings have not been previously reported)		
Yes	No	Not Applicable
d. Enforcement action has been taken IAW FOCA requirements? (Select "Not Applicable" if findings have not been previously reported)		
Yes	No	Not Applicable
<b>2. Review FOCA Inspector/Surveyor Training records, and conduct interviews to verify: (review several Inspector's/Surveyor's records)</b>		
a. FOCA inspector/surveyor training records contain evidence that inspectors/surveyors completed initial and or recurrent FAA Special Conditions training?		
Yes	No	
b. Has the FOCA made the MAG guidance material available to the inspectors/surveyors?		
Yes	No	
c. Do interviews conducted with inspectors/surveyors indicate they have knowledge and experience in using the current guidance material?		
Yes	No	
<b>3. Frequency of FOCA Audits: (review FOCA audit schedule)</b>		
a. Did the FOCA audit schedule indicate each AMO has, or will have a complete FOCA audit within the two-year time frame (Line Stations on a sampling basis)?		
Yes	No	
<b>4. FOCA organizational structure changes: (review latest FOCA organizational chart and discuss with FOCA management any significant organizational changes.)</b>		

a. Did the FOCA notify EASA and the FAA of any significant organizational changes? (Select "Not Applicable" if no significant organizational changes occurred)		
Yes	No	Not Applicable
<b>5. FOCA Staffing Levels (review office files, organizational chart, personnel roster, etc.)</b>		
a. Has the FOCA office reduced its inspector/surveyor levels since the last audit?		
Yes	No	
b. If available, how many Airworthiness Inspectors /Surveyors are employed by the FOCA?		
Enter a numerical value in this field:		
c. How many Airworthiness inspectors/Surveyors trained, qualified, and authorized to conduct MaG inspections are currently employed at <u>this office location</u> ? (Enter numerical value in this field)		
Enter a numerical value in this field:		
d. How many EASA Part-145 approvals are inspected by this offices location?		
Enter a numerical value in this field:		
e. From those how many hold FAA Approval?		
Enter a numerical value in this field:		
f. Does the FOCA have plans to adjust its staffing levels?		
Yes	No	
g. Are office accommodations adequate (e.g., lighting, work space, computers availability, etc.)?		
Yes	No	

<p><b>6. Supplement (review the FAA Supplements of the <u>AMOs to be visited during this SIS audit</u>)</b></p>	
<p>a. Has the AMO provided a supplement to its MOE that is approved by the FOCA and is it kept and maintained at the FOCA's facility?</p>	
Yes	No
<p>b. Does the FOCA retain an English Language copy of the supplement?</p>	
Yes	No
<p>c. Does the supplement meet the requirements of the MaG?</p>	
Yes	No
<p><b>7. For the maintenance organization to continue to be approved in accordance with 14 CFR parts 43 and 145, the AMO must comply with all FAA Special Conditions as provided for in the current revision of the MaG. Review the Accountable Manager's Statement for each AMO.</b></p>	
<p><b>(The following is applicable to any AMO's to be visited during this audit)</b></p>	
<p>a. Does the Accountable Manager's statement allow for the FAA and/or the FOCA on behalf of the FAA, to inspect it for continued compliance with the requirements of EASA Part-145 and the Special Conditions, (i.e., 14 CFR parts 43 and 145)?</p>	
Yes	No
<p>b. Does the Accountable Managers statement allow the FAA to conduct investigations and enforcement actions per the FAA rules and directives?</p>	
Yes	No
<p>c. Does the Accountable Managers statement address the AMO's requirement to cooperate with any investigation or enforcement action undertaken by the FAA?</p>	
Yes	No
<p>d. Does the Accountable Managers statement address continued compliance with EASA Part 145 and FAA Supplement/Special Conditions?</p>	
Yes	No

<b>Approved Maintenance Organizations (AMO) Visited</b>		
Include a completed Audit Report 3 (see Appendix 5) for each AMO audited. Document any findings of the AMO on that report.		
	Name	FAA/EASA Designator
<b>1</b>		
<b>2</b>		
<b>3</b>		
<b>4</b>		
<b>5</b>		



Findings Against the FOCA (non-compliance with the MaG, Section B)	Reference
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	
Comments	
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	

Signatures	
FAA ASI	FOCA Coordinator
Name:	Name:
Signature:	Signature:
Name:	Name:
Signature:	Signature:
Date of Signature(s):	Date of Signature(s):

## Appendix 4

### Audit Report 2: FOCA Recommendation of an FAA-certificated AMO (to be completed by the FOCA)

**Part 1: Validation of Compliance by the FOCA of an AMO located in Switzerland**

<b>Name of AMO:</b>
<b>EASA Certificate Number:</b> <span style="float: right;"><b>FAA Certificate Number:</b></span>
<b>FOCA with Oversight Responsibility:</b>
<b>Country:</b>
<b>FAA Supplement Revision Date:</b>

Initial	Renewal	Amendment	Please check the correct box
A. If this report is for one or more additional facility location(s), please provide address(es) below:			
B. On-site audits performed by the FOCA during the preceding 24 months. Please list dates of audit(s) below (Initial certification only one date required, Amendment(s) provide dates as necessary).			
1.			
2.			
3.			
4.			
5.			

1. Does the FAA Supplement accurately and completely address the required information contained in the Maintenance Guidance (MaG)?		
Yes	No	
2. Is the FAA Supplement signed and dated by the current Accountable Manager that obligates the maintenance organization to comply with the supplement?		
Yes	No	
3. Has the current revision to the supplement been approved or accepted by the FOCA?		
Yes	No	
4. Is the copy of the FAA Supplement being used by the AMO at the same revision level as the one on file with the FOCA?		
Yes	No	
5. Is the AMO operating in compliance with the requirements of the FAA Supplement?		
Yes	No	
6. Is the AMO in compliance with the requirements of all FAA Special Conditions as required by the MaG (current revision)		
Yes	No	
7. Does the AMO's current Operations Specifications contain a current list of each line station that performs maintenance on U.S.-registered aircraft containing the address and airport identifier?		
Yes	No	Not Applicable
8. Is the AMO in compliance with the requirements of EASA Part 145.A.95?		
Yes	No	
<b>NOTE:</b> A "Negative" (No) response to any of the above listed questions must be described below in Part 2 of this Form.		

**Part 2: Detailed Findings of FAA Special Conditions Level 1/Level 2 Compliance.**

The FOCA inspector/Surveyor should complete this section of the Appendix 4 “FOCA Recommendation of FAA AMO” to document all Level 1 findings, and any Level 2 findings related to the FAA Special Conditions or FAA Supplement. The FOCA should place special emphasis on ensuring the details of the findings and if necessary corrective action plans to those findings are included as an attachment to this form. The findings and corrective action plan must be forwarded to the FAA in the English language.

In addition, the FAA has a risk analysis program that requires information input in order for the risk analysis to be effective. Your cooperation is greatly appreciated. Each finding must be recorded whether it has been rectified or not. All non-rectified findings must be copied in writing to the organization for the necessary corrective action.

Audit Reference	Findings	Corrective Action		
		Date Due	Closed	Brief Description
<b>Note:</b> Reference question number (e.g. Question #5 listed in Part 1 of this Form above in the field below.	<b>Note:</b> Include the classification of finding (Level 1 or Level 2) for each finding listed below.			

**Part 3: Recommendation**

<b>Organization</b>	
Name:	
EASA Part-145 Approval No.	
For initial certification in order to accommodate the FOCA surveillance schedule, the FOCA should recommend a time frame by month and year for the next renewal date IAW the renewal time frames identified in the MaG.	
Month:	Year:

AMO must forward a letter to the FOCA addressing corrective action to inspection findings and/or submit a corrective action plan before an Air Agency Certificate can be issued.	
RECOMMENDATION: This maintenance organization is considered to be in compliance with EASA Part-145 and the FAA special conditions with no significant findings/discrepancies outstanding at this time. It is, therefore, recommended that the FAA issues the: <b>(Please check the applicable box)</b>	
Issuance of the FAA Air Agency Certificate to the maintenance organization.	<input type="checkbox"/>
Renewal of the maintenance organizations Certificate in accordance with 14 CFR part 145.	<input type="checkbox"/>
Amendment to the Approval.	<input type="checkbox"/>
Inspector/Surveyor's Signature:	Date:
Inspector/Surveyor's Name:	FOCA:
E-mail address if available:	
Fax no.:	
Office:	

<p><b>NON-RECOMMENDATION:</b> (Only used in the case of an organization already holding an FAA 14 CFR part 145 Certificate.) This maintenance organization has one or more significant findings (Level 1 findings) outstanding as detailed above and may be or is being subjected to EASA-FOCA certificate action in accordance with EASA Part-145.B.45. FAA may therefore wish to review the current FAA 14 CFR part 145 Certificate status of the maintenance organization.</p>	
Inspector/Surveyor's Signature:	Date:
Inspector/Surveyor's Name:	FOCA:
E-mail address if available:	
Fax no.:	
Office:	
<b>ATTACHMENTS:</b>	
1. Copy of EASA/FOCA Part-145 certificate.	
2. Copy of any corrective action plan(s) as identified in Part 2 of this appendix.	
3. Copy of EASA/FOCA Approval Schedule Form 3, Ratings.	
4. Copy of the AMO letter certifying its employees have been trained to ICAO standards for transport of dangerous goods.	
<p><b>The AMO has requested the following additional Operations Specifications. (Check all applicable field(s)) The FOCA concurs with this request:</b></p>	
1. Additional Fixed Location (OpSpec Paragraph D101)	
Address:	
City:	
County:	
Postal Code:	

2. Electronic Records, Manuals and/or Signatures (OpSPEC Paragraph A025)		
Specify paragraphs requested, check all that apply:		
a. The certificate holder is authorized to use an approved electronic/digital recordkeeping system, described and/or referenced in this paragraph.		
b. The certificate holder is authorized the use of the following electronic/digital signature procedures.		
c. The certificate holder is authorized to use electronic media for the repair station and quality control manuals, if acceptable.		
FAA Supplement Reference:		
3. Work Away from Station (OpSpec Paragraph D100)		
a. Work Requested:		
b. Authorized on current Operations Specifications?		
Yes	No	
c. FAA Supplement Reference:		

**NOTE: The line stations authorizations in the FAA supplement should not go beyond the line stations listed on the AMO's MOE. The FAA supplement must contain a list of line station authorizations that maintain U.S.-registered aircraft with the details of the operators, as specified in Appendix 1, Paragraph 9 (b).**



## Appendix 5

### Audit Report 3: SIS Audit of an FAA-certificated AMO Located in Switzerland

**Part 1: FAA Sampling Inspection System (SIS)**

<b>Name of AMO:</b>	
<b>EASA Certificate Number:</b>	<b>FAA Certificate Number:</b>
<b>FOCA with Oversight Responsibility:</b>	
<b>Country:</b>	
<b>Number of Employees:</b>	
<b>Date of Audit:</b>	

The FAA uses this form FAA when conducting a SIS inspection of an FAA-certificated AMO located in Switzerland. The SIS Team shall complete this job aid in its entirety.

Verify that on-site audits have been performed by the FOCA during the preceding 24 months. (list date of last audit)	Enter date of last audit:
This report applies to the organization, additional fixed locations, and line stations covered under the EASA approval certificate. Please describe all findings in Part 2, Findings/FAA Special Conditions Compliance Status, if applicable.	
<b>Compliance with Special Conditions and MAG Requirements</b>	
1. Does the AMO continue to demonstrate that the FAA repair station certificate and/or rating is necessary for maintaining or altering U.S. registered aeronautical products or foreign registered aeronautical products operated under the provisions of 14 CFR. (example: do maintenance records at the AMO reflect work is being conducted on U.S. registered products)	
Yes	No
2. Does the AMO maintain a list of maintenance functions, approved by the FOCA, to be contracted/sub contracted to perform maintenance on U.S. civil aeronautical products?	
Yes	No
	Not Applicable

3. Does the AMO provided written conformation certifying all involved employees, contractors, and subcontractors have been trained in the transportation of dangerous goods in accordance with ICAO standards?		
Yes	No	Not Applicable
4. Does the AMO's FAA Supplement address the required information contained in the Maintenance Annex Guidance (MAG)?		
Yes	No	
5. 5. Is the FAA supplement signed and dated by the current Accountable Manager that obligates the maintenance organization to comply with the MAG?		
Yes	No	
6. Has the current revision to the supplement been approved by the Aviation Authority?		
Yes	No	
7. Are EASA and the FAA allowed access to the AMO to inspect for continued compliance with 14 CFR part 145 Special Conditions?		
Yes	No	
Verify that the AMO's supplement to the MOE contains the following procedures <b><u>and that the AMO is complying with those procedures:</u></b>		
8. A statement in the supplement that the quality system also covers the FAA special conditions.		
Yes	No	
9. Procedures for approval for release or return to service that satisfy the requirements of 14 CFR part 43 for aircraft and use of EASA Form 1 for components. This includes the information required by 14 CFR sections 43.9 and 43.11 and all information required to be made or kept by the owner or operator in English as appropriate.		
Yes	No	
10. Procedures for reporting to the FAA failures, malfunctions, or defects, and Suspected Unapproved Parts (SUP) discovered, or intended to be installed, on U.S. aeronautical products.		
Yes	No	
11. Procedures to notify the FAA regarding any changes to line stations that maintain U.S.-registered aircraft.		
Yes	No	Not Applicable

12. Procedures to qualify and monitor additional fixed locations within the EU Member States list in Appendix 2 of Annex 2, of the US/EU Safety Agreement.		
Yes	No	Not Applicable
13. Procedures in place to verify that all contracted/sub contracted activities include provisions for a non FAA certificated source to return the Article to the AMO for final inspection/testing and return to service.		
Yes	No	Not Applicable
14. Procedures to ensure that major repairs and major alterations/modifications (as defined in 14 CFR) are accomplished in accordance with data approved by the FAA, or accepted under the terms of the agreement (MAG).		
Yes	No	Not Applicable
15. Procedures to ensure compliance with air carrier's Continuous Airworthiness Maintenance Program (CAMP), including the separation of maintenance from inspection on those items identified by the air carrier/customer as Required Inspection Items (RII).		
Yes	No	Not Applicable
16. Procedures to ensure compliance with the manufacturer's maintenance manuals or instructions for continued airworthiness (ICA) and handling of deviations. Procedures to ensure that all current and applicable airworthiness directives (AD) published by the FAA are available to maintenance personnel at the time the work is being performed.		
Yes	No	
17. Procedures to confirm that the AMO supervisors and employees responsible for final inspection and return to service of U.S. aeronautical products are able to read, write, and understand English.		
Yes	No	
18. Procedures to permit work away from fixed location on a recurring basis, when applicable.		
Yes	No	Not Applicable
<b>FAA SUPPLEMENT COMPLIANCE STATEMENT:</b>		
19. The FAA Supplement of this maintenance organization been examined and found to comply with the intent of the FAA Supplement example contained in the MAG, Section B, and is available throughout the maintenance organization at relevant locations.		
<b>NOTE:</b> The above areas were inspected and found to meet the FAA supplement requirements. Any exception are listed below in Part 2 of this form.		
Yes	No	

**Part 2: Findings/FAA Special Conditions Compliance Status**

Findings Debriefed to the AMO; Findings Formally Reported by FAA	
Non-compliance with special conditions/MAG	Reference to MAG /Special Condition
Findings noted with the equivalent FAR Part 145 section(s)	Reference to Part 145
Signatures	Date of Signatures:
SIS Team members(FAA)	FOCA Coordinator:
Name:	Name:
Signature:	Signature:
Name:	
Signature:	
<b>NOTE: Signature by the EASA and/or FOCA only means they have read the report. It does not constitute agreement with findings and comments raised in this report</b>	

**Appendix 6, Pre-application Statement of Intent Form 8400-6**

FAA Form 8400-6 may be found at the following Web site:

<http://www.FAA.gov/forms>

**Appendix 7, Application for Repair Station Certificate and/or Rating Form 8310-3**

FAA Form 8310-3 may be found at the following Web site:

<http://www.FAA.gov/forms>

## Appendix 8

### FAA SAS Information

#### SAS VITALS INFORMATION

##### A. Air Agency

1. Air Agency Name: \_\_\_\_\_
2. If applicable, "doing business as" (DBA): \_\_\_\_\_
3. Physical Location:
  - (a) Address to include street, city, postal code, and country: \_\_\_\_\_  
\_\_\_\_\_
  - (b) Mailing address, if different from above: \_\_\_\_\_  
\_\_\_\_\_
4. EASA/FOCA approval number: \_\_\_\_\_
5. Business phone number: \_\_\_\_\_
6. Fax number: \_\_\_\_\_
7. E-mail address (Accountable Manager), if possible: \_\_\_\_\_

##### B. Chief Executive Officer (Accountable Manager)

1. Name: \_\_\_\_\_
2. Title: \_\_\_\_\_
3. Address to include street, city, postal code, and country: \_\_\_\_\_  
\_\_\_\_\_

4. Business phone number: \_\_\_\_\_

5. Fax number: \_\_\_\_\_

6. E-mail address, if available: \_\_\_\_\_

**C. Company Liaison to the FAA (Quality Manager)**

1. Name: \_\_\_\_\_

2. Title: \_\_\_\_\_

3. Business phone number: \_\_\_\_\_

4. Fax number: \_\_\_\_\_

5. E-mail address, if available: \_\_\_\_\_

**D. Personnel**

1. Number of EASA-certifying staff: \_\_\_\_\_

2. Number of FAA-certifying staff: \_\_\_\_\_

3. Number of total employees (in support of the repair station): \_\_\_\_\_

## Appendix 9

### FAA and EASA Class and Rating Comparison and Guidance

Comparison of Federal Aviation Administration (FAA) 14 CFR part 145 Repair Station Ratings and European Aviation Safety Agency (EASA) Approved Maintenance Organizations (AMO) Ratings.

#### SAMPLE RATING COMPARISON CHART

There are some occasions when the EASA rating may exceed the FAA rating; in these cases, the FAA will add an additional limited rating to cover the extent of the EASA rating. Example: an EASA A1 airframe rating also allows some limited power plant maintenance. The FAA will issue a limited power plant rating along with the Airframe rating in order to allow the AMO the same privileges as the EASA rating. The AMO should verify that the FAA rating issued covers the appropriate functions under the EASA rating.

For cases where the FAA specialized services ratings are not approved under the EASA rating system, the FAA will amend the OpSpecs to reflect those specialized services under the limited ratings detailing the scope and application of the work performed.

For 14 CFR part 91, §§ 91.411 and 91.413, tests and inspections of ATC transponder, altimeters and altitude reporting equipment installed in U.S.-registered aircraft for which the AMO does not hold the equivalent EASA Part-145 airframe ratings (e.g., A1, A2, etc.), the FAA will issue or amend the 14 CFR part 145 Operations Specifications paragraph A003 under the FAA's appropriate ratings as long as the AMO holds an EASA rating for such equipment (C-3, C-13).

The following comparison table shall be used as information only, but not to compare an EASA rating with an FAA rating.



## EASA Aircraft Ratings and FAA Airframe Ratings

### EASA Ratings

Ratings	Limitations
A-1 Aeroplanes/Airships (above 5700 kg)	Quote Type
A-2 Aeroplanes/Airships (5700 kg and below)	Quote Manufacturer, Group, or Type
A-3 Helicopter	Quote Manufacturer, Group, or Type

#### NOTES:

- **EASA ratings are limited by type and weight of aircraft.**
- **A rating may be issued for base or line maintenance.**
- **Rotors are also listed under components (C-10) and transmissions (C-11).**

### FAA Ratings

Class 1	Composite construction of small aircraft (12,500 lbs. or less)
Class 2	Composite construction of large aircraft (above 12,500 lbs.)
Class 3	All metal construction of small aircraft
Class 4	All metal construction of large aircraft
Limited	Airframes of particular make and model or parts thereof

- Type changes require prior FAA approval.
- FAA ratings are issued for base maintenance only.
- Line maintenance may be performed only at co-located facilities or in accordance with Line Maintenance Authorization.
- A rating is issued if the applicant is shown to have capability.
- Limitations to ratings are issued for make and model or for parts (e.g., landing gear or interior).
- The holder of an Aircraft rating can inspect but cannot repair power plants.
- Rotors may be maintained under an Aircraft rating.

**EASA Engine and FAA Powerplant Ratings**

**EASA Ratings**

**FAA Ratings**

<b>Ratings</b>	<b>Limitations</b>	<b>Class 1</b>	<b>Reciprocating engines of 400 HP or less</b>
B-1 Turbine	Engine Type	Class 2	Reciprocating engines of more than 400 HP
B-2 Piston	Engine Manufacturer Engine Type or Group	Class 3	Turbine engines
B-3 APU		Limited	Engines of a particular make and model or parts thereof

Auxiliary Power Unit (APU) is listed under Component Engine C-7.

APU is listed as a limited accessory rating.

<b>EASA Rating</b>		<b>FAA Ratings</b>	
<b>Class</b>	<b>Rating</b>	<b>Propeller Rating</b>	
Components other than complete engines or APU	C-16 Propellers	Class 1	All fixed-pitch and ground adjustable propellers of wood, metal, or composite construction
		Class 2	All other propellers by make
No major differences.			

**EASA Ratings for Components other than Complete Engines or APU and  
 Corresponding FAA Ratings**

EASA Ratings		FAA Ratings
C-1	Air Cond. & Pres	Accessory—Class 1 or 3
C-2	Auto Flight	Instrument—Class 3 Gyroscope
C-3	Comms & Nav	Radio—Class 1 Communication, Class 2 Navigation
C-4	Doors & Hatches	Limited Airframe
C-5	Electrical Power	Accessory—Class 2 Electrical, Class 3 Electronic
C-6	Equipment	Limited Airframe, Specialized Service or Limited Radio, Accessory
C-7	Engine—APU	Limited Accessory
C-8	Flight Controls	Limited Airframe, Accessory—Class 1, 2, or 3
C-9	Fuel—Airframe	Limited Airframe, Accessory—Class 1, 2, or 3
C-10	Helicopter—Rotors	Limited Airframe—Make and Model
C-11	Helicopter—Transmission	Limited Airframe—Make and Model
C-12	Hydraulic	Accessory—Class 1
C-13	Instruments	Instrument—Class 1 Mechanical, Class 2 Electrical, Class 3 Gyroscope, Class 4 Electronic
C-14	Landing Gear	Limited Airframe—Landing Gear
C-15	Oxygen	Limited Airframe, Limited Accessory, Limited Specialized Service
C-16	Propellers	Class 1 Propeller—Fixed Pitch, Class 2 Propeller—All Other
C-17	Pneumatic	Accessory—Class 1 Mechanical
C-18	Protection (Ice/Rain/Fire)	Accessory—Class 1 Mechanical, Limited Specialized Service
C-19	Windows	Limited Airframe, Limited Specialized Service
C-20	Structural	Limited Airframe

**NOTES:**

**Limitation on EASA ratings as identified by aircraft or component manufacturer.**

**All FAA specialized services must be accomplished using FAA-approved data.**

EASA Ratings		FAA Ratings
D-1	Nondestructive Testing (NDT)	FAA equivalent as a Limited Rating, either stand-alone or a function under a higher rating.
NO EASA EQUIVALENT, but a function under the limited Airframe/Engine/Accessory rating.		Specialized Service - Welding, Heat Treating, plating or a specific process, etc.