ORDER

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

8120.13A

10/04/2002

SUBJ: INTERNATIONAL COOPERATIVE SUPPLIER SURVEILLANCE PROGRAM PROCEDURES

1. PURPOSE.

a. This order provides information on the International Cooperative Supplier Surveillance Program (ICSSP) and the procedures used by participating Civil Aviation Authorities (CAA), including the Federal Aviation Administration (FAA), in carrying out their respective responsibilities under the program.

b. ICSSP management plans developed before publication of this order (with the United Kingdom, Germany, and France) use the term "priority parts supplier." Due to the revision of the FAA supplier surveillance procedures as described in FAA Order 8120.2, Production Approval and Certificate Management Procedures, the FAA will revise this term during the next revision to each of these management plans.

c. This order is intended to address the ICSSP procedures. The use of other FAA directive and guidance materials with this order is necessary.

2. DISTRIBUTION. This order is distributed to all Aircraft Certification Service directorates, all manufacturing inspection offices, all manufacturing inspection district offices, all manufacturing inspection satellite offices, all certificate management offices, all certificate management units, the Aircraft Certification Branch at the Federal Aviation Administration Academy, and the Brussels Aircraft Certification Division.

3. CANCELLATION. This order cancels FAA Order 8120.13, International Cooperative Supplier Surveillance Program (ICSSP) Procedures, dated September 17, 2001.

4. EXPLANATION OF MAJOR CHANGES. This revision:

a. Recognizes that some previously developed management plans (which will be revised in the future) use the term "priority parts supplier,"

b. Adds provisions to enable the FAA to perform reciprocal surveillance on behalf of CAAs,

c. Includes a requirement for the transmittal of organization- and contract/purchase order-specific information between authorities (see figure 1 of appendix 1), and

d. Revises the sample surveillance management plan to omit terminology specific to Joint Aviation Authorities (JAA) member countries (see appendix 1).

5. EFFECTIVE DATE. FAA managing offices must immediately adopt the practices contained herein related to the ICSSP in accordance with this order.

6. AUTHORITY TO CHANGE THIS ORDER. The Aircraft Certification Service (AIR) Production and Airworthiness Division (AIR-200) is responsible for issuing, revising, or canceling the material in this order. This division will accomplish all required changes to carry out the FAA's responsibility to provide original and recurrent airworthiness certifications and related approvals for eligible aeronautical products.

7. ACRONYMS AND ABBREVIATIONS. The following acronyms and abbreviations are used in this order:

ACSEP	Aircraft Certification Systems Evaluation Program
AIR	Aircraft Certification Service
AIR-200	Production and Airworthiness Division
AIR-4	International Airworthiness Programs Staff
AIR-520	Automated Systems Branch
BAA	Bilateral Airworthiness Agreement
BASA	Bilateral Aviation Safety Agreement
CAA	Civil Aviation Authority
FAA	Federal Aviation Administration
ICSSP	International Cooperative Supplier Surveillance Program
JAA	Joint Aviation Authorities
MIO	Manufacturing Inspection Office
PAH	Production Approval Holder
PI	Principal Inspector

8. RELATION TO OTHER DIRECTIVES. Orders referenced in this directive list only the basic order number. It is the responsibility of the user to establish that the latest revision/amendments are being used.

9. DEVIATIONS. Adherence to the procedures in this order is necessary for uniform administration of this directive material. AIR-200 must coordinate and approve any deviations from this guidance material. If a deviation becomes necessary, the FAA employee involved must ensure the appropriate supervisor substantiates, documents, and concurs with the deviation. Each deviation must be submitted to AIR-200 for review and approval. Title 28, United States Code, § 2679 defines the limits of Federal protection for FAA employees.

10. BACKGROUND.

a. In January 1999, a prototype of the ICSSP was introduced in one JAA country. The original intent of the ICSSP was to reduce duplication of effort and to maximize the FAA's reliance on other CAAs in countries with which the United States has a Bilateral Airworthiness Agreement (BAA) or Bilateral Aviation Safety Agreement (BASA) with implementation procedures for airworthiness.

Authorities initially developed surveillance management plans to permit a CAA to use and apply Aircraft Certification Systems Evaluation Program (ACSEP) criteria on the FAA's behalf while conducting evaluations at FAA Production Approval Holder (PAH) suppliers in CAA countries. Each of these suppliers also is an approval holder in its respective country and subject to review by its CAA. This cooperation reduces the resource impact on the FAA without increasing the CAA's workload.

b. In February 1999, the director of AIR announced that the primary method of surveillance for both domestic and international priority parts suppliers would shift from full ACSEP evaluations to FAA Principal Inspector (PI) audits. The FAA PI audit is a more focused surveillance process and requires the use of PAH purchase order information and special emphasis items. A participating CAA would use such information while conducting an audit on the FAA's behalf.

c. Countries with which the United States has a BAA or BASA may be eligible to participate in the ICSSP; however, the ideal ICSSP participants are those countries with the greatest number of suppliers to U.S. PAHs and with the greatest potential for system compatibility. AIR will decide on the development of an ICSSP surveillance management plan with another CAA. AIR will implement the ICSSP with another CAA only after a recent FAA assessment ensures equivalence and compatibility between the FAA's oversight system for U.S. PAHs and the candidate CAA's procedures.

11. PROCEDURES WHEN THE FAA REQUESTS SURVEILLANCE ASSISTANCE. As this order describes, a surveillance management plan developed by AIR-200 and agreed to by the FAA and the CAA will state the procedures and responsibilities of the respective aviation authorities. Appendix 1 to this order provides a sample of such a management plan. To administer the ICSSP, AIR will use the following scheduling and timing procedures when the FAA requests surveillance assistance from a participating CAA:

a. Each year, the accountable FAA directorate will develop an international audit schedule. Each FAA directorate will determine, schedule, and maintain the interval of audit activity. A coordination committee composed of a representative from each Manufacturing Inspection Office (MIO) will confer yearly to avoid duplication of effort, coordinate resources, and identify a lead office to maintain the audit schedule. The completion date of the initial audit schedule is July 1 of each year. ACSEP coordinators may prepare the initial audit schedule while convening to establish the yearly ACSEP schedule. The audit schedule should include the following for each supplier to be audited:

(1) The responsible FAA directorate.

(2) The supplier's full name and complete address.

(3) The product line produced by the supplier.

(4) The PAH project number.

(5) The name and address of the PAH primarily associated with the supplier.

(6) The name, telephone number, and fax number of the FAA PI.

b. Using the lists of approval holders provided by each authority, the coordination committee will prepare a list of suppliers selected for audits. AIR-200 will forward the completed lists to participating CAAs to identify the FAA's needs. During the first year of participation with each CAA, AIR-200 will act as the liaison and provide the information the CAA needs to perform the audit. During subsequent years, each FAA directorate (instead of AIR-200) will interact directly with participating CAAs. In addition, AIR-200 and/or the responsible FAA directorate will coordinate with the CAA regarding any technical issues required to facilitate the surveillance management plan, such as familiarization with FAA audit processes, information sharing, and program updates.

c. In accordance with the surveillance management plan, each FAA directorate also may select for audit a supplier that does not hold an approval granted by its local CAA. If the participating CAA does not agree to conduct such an audit for the FAA, the FAA directorate that identified the need for the audit is responsible for completing and documenting the audit.

d. A CAA may conduct an audit using a segmented approach that results in multiple visits to an approval holder each year. After completing all segments of the audit, the CAA will complete the associated report. Due to the segmented audit approach, the CAA may not be able to complete the audit until the latter part of the fiscal year. However, as defined in each surveillance management plan, the CAA will immediately report to the responsible FAA directorate any adverse observations or potential violations of its regulations observed during a supplier audit. Then the FAA will determine if compliance and enforcement program activity should be pursued with the PAH.

12. THE CAA'S AUDIT.

a. Timely and thorough communication between the FAA PI and the CAA that will conduct the audit is critical to the success of the ICSSP. The FAA PI and CAA must communicate before the audit occurs to ensure the CAA is aware of any purchase order information or special emphasis items that it should examine closely during its audit.

b. At least 4 weeks before any scheduled audit, the FAA PI should forward to the CAA any purchase order information or special emphasis items that the CAA should examine.

c. The participating CAA will conduct its normally scheduled audits of its approval holders (that are suppliers to U.S. PAHs) to ensure compliance with its own regulatory requirements. On the FAA's behalf, the CAA also may agree to audit other companies that do not hold an approval issued by the CAA. In either case, the audit will include PAH purchase order information and special emphasis items provided by the FAA PI.

d. The CAA must forward the audit results to the responsible FAA directorate within 60 days of audit completion. The FAA directorate will forward the audit results to the FAA PI. As with schedule preparation, during the first year of participation with each CAA, AIR-200 will act as the liaison, acknowledging receipt of and immediately forwarding any reports to the FAA directorate and the FAA PI. In subsequent years, the CAA will send reports to the responsible FAA directorate. When the FAA directorate contact receives the audit results, the contact will send a message to the CAA acknowledging receipt. The FAA directorate and the FAA PI may communicate with the CAA by mail, fax, and e-mail.

e. If the CAA identifies an issue as safety-related, the CAA will immediately notify the responsible FAA directorate and provide the objective evidence used to identify that issue. The FAA PI should use any objective evidence provided by the CAA to determine whether there is a basis for further investigation, under FAA Order 2150.3, Compliance and Enforcement Program. The FAA PI should place increased emphasis on those issues reported by the CAA that concern safety and/or observed regulatory violations. If enforcement action against the PAH is required, the FAA PI may conduct further investigations with the CAA's cooperation and assistance to validate the objective evidence.

f. For any potential safety issues in the CAA's report, the FAA PI will prepare a formal letter using the example contained in appendix 2. The FAA PI will use the formal letter to address any issues, including previously reported safety-related issues, with the PAH. The PAH may either address the issues identified in that letter or expect closer FAA scrutiny at the supplier in the form of an FAA audit. Because of privacy concerns associated with CAAs and their relationships with their approval holders, THE FAA PI MUST NOT FORWARD THE CAA'S ACTUAL REPORT TO THE U.S. PAH. The FAA PI must address any areas of concern that can be communicated to the U.S. PAH without delivering the report.

g. If no issues requiring further review are identified in the CAA's audit results, the FAA PI may close the file on this supplier audit. The FAA PI must maintain all associated records in accordance with FAA recordkeeping requirements.

h. When the CAA identifies concerns about any elements of the audit that pertain to the PAH, the FAA PI must do the following:

(1) Give special attention to commercially sensitive information.

NOTE: When a supplier provides materials, parts, or appliances to more than one PAH, the FAA PI should disclose the supplier's issues only to those PAHs affected by the audit. The FAA PI should not disclose potentially damaging information to any other PAH. BASA implementation procedures also commit the FAA to protect the release of any proprietary data. Unless an official investigation is underway, proprietary data cannot be copied, released, or shown to anyone other than an FAA or CAA employee without the written consent of the owner of the data.

(2) Forward the formal letter to the appropriate PAH.

13. THE FAA'S CORRECTIVE ACTION SEQUENCE.

a. At this point, two events will take place at the same time:

(1) The supplier will respond to the CAA regarding any issues raised during the CAA's audit that are related to the supplier's approval, if applicable.

(2) The PAH will perform an investigation of its supplier, based on the issues identified in the FAA PI's letter to the PAH.

b. To adequately address the issues raised in the FAA PI's letter, the PAH should conduct a thorough investigation of the supplier in accordance with its internal supplier control procedures. On the basis of the PAH's investigation of the supplier's issues, the PAH will respond to the FAA PI's formal letter.

c. The FAA may request that the CAA conduct subsequent surveillance during one of its followup visits to the supplier to ensure the PAH implements corrective action. When the FAA requests followup activity, the FAA PI should ensure the CAA acknowledges by letter, fax, or e-mail that corrective action has taken place at the supplier. After receiving the CAA's acknowledgment, the FAA PI may close the corrective action file in accordance with standard procedures.

d. As stated in each surveillance management plan, the FAA reserves the right to coordinate and conduct additional special audits, certificate management, designee management, service difficulty investigations, or any other functions necessary to fulfill its statutory responsibilities. In any of these events, the FAA should follow normal notification procedures and invite the appropriate CAA to attend.

14. PROCEDURES WHEN THE CAA REQUESTS SURVEILLANCE ASSISTANCE.

a. Unlike the FAA's annual scheduling process, which occurs mid-calendar year, other CAA approval holders' renewal cycles may dictate the audit schedule. Because of varying renewal cycles and approval durations, participating CAAs may make their audit requests at any time during the year. These requests should coincide with the FAA's scheduled activity. Therefore, the impact on existing workload and activity should be minimal. FAA field offices should acknowledge receipt of CAA requests and make every effort to accommodate the requests by incorporating the requested audit activities into the established schedules or by making small adjustments to the schedules as necessary.

b. If the FAA field office can accommodate the audit, it should forward a copy of the completed audit report to the requesting CAA within 60 days of audit completion.

c. If a participating CAA requests surveillance activity at a company that DOES NOT have an FAA approval, the request should be declined in writing. A letter, fax, or e-mail stating that the organization does not hold an FAA approval, and therefore cannot be audited, will suffice.

15. THE FAA'S AUDIT.

a. The CAA representative and FAA PI/team that will conduct the audit must communicate to ensure the CAA's request is satisfied without significant disruption to the FAA PI/team's other activities. Either the CAA representative or the FAA PI/team leader may initiate communication before the audit occurs to verify all parties are aware of any items the FAA PI/team should examine during its audit.

b. The CAA representative should forward all pertinent audit information to the FAA PI/team leader at least 4 weeks before the scheduled audit.

c. The FAA will conduct its audit using normal procedures in accordance with Order 8120.2 or FAA Order 8100.7, Aircraft Certification Systems Evaluation Program (ACSEP), as appropriate.

The CAA's request may include purchase order information or special emphasis items provided to the FAA PI/team leader by the CAA's representative.

d. The FAA PI/team leader must forward the audit results to the responsible CAA representative within 60 days of audit completion. The FAA will provide surveillance information to the appropriate CAA point-of-contact identified in each management plan. This CAA representative will send a message by mail, fax, or e-mail to the FAA PI/team leader acknowledging receipt of the results. The FAA will provide copies of any appropriate surveillance documentation to satisfy the CAA's request. This information must be detailed enough to facilitate CAA followup action at its approval holder, if required. Examples of such documentation are:

(1) ACSEP Executive Summary,

(2) ACSEP Evaluation Special Emphasis Items,

(3) FAA Form 8100-3, ACSEP Evaluation Report Cover Page,

(4) FAA Form 8100-4, ACSEP Survey Sheet,

(5) FAA Form 8100-6, Record of Findings/Observations, and

(6) FAA Form 8120-14, Surveillance Activity Report.

e. If the FAA PI/team identifies an issue as safety-related and/or related to the CAA approval, it will immediately notify the CAA representative. At that time, the CAA representative will provide guidance on any information or objective evidence to collect to identify that issue.

16. THE CAA'S CORRECTIVE ACTION SEQUENCE.

a. The CAA will address with its approval holder any concerns the FAA PI/team raises. To ensure the protection of commercially sensitive information, the CAA must not forward the FAA reports to its approval holder. The CAA must address all areas of concern without delivering the reports. During the CAA's investigation and after the approval holder's corrective actions, the CAA may ask the FAA to provide additional information and/or surveillance assistance to ensure the corrective actions are implemented. This action will permit a CAA to close out its corrective action activity in accordance with its procedures.

b. Please note that, as stated in each surveillance management plan developed by AIR-200 (see appendix 1), participating CAAs reserve the right to coordinate and conduct any additional audits necessary to fulfill their statutory responsibilities. In this event, the CAA should follow normal notification procedures and invite the appropriate FAA personnel to attend.

17. CONCLUSION. AIR-200 coordinated this order through the International Airworthiness Programs Staff, AIR-4. Please contact AIR-200 at 202-267-8361 with any questions.

18. REQUEST FOR INFORMATION AND INFORMATION CURRENCY. All public requests for information regarding the ICSSP will be processed in accordance with the Freedom of Information Act. Refer to FAA Order 1200.23, Public Availability of Information, to obtain information concerning release of information to the public. Forward any discovered deficiencies, suggested improvements, or clarification requests regarding the content of this order to the Aircraft Certification Service, Automated Systems Branch, AIR-520, Attention: Directives Management Officer, for consideration. For convenience, FAA Form 1320-19, Directive Feedback Information, is located on the last page of this order. If a response is urgently needed, contact AIR-200 at 202-267-8361, and use Form 1320-19 as a followup to the conversation.

/s/

Frank P. Paskiewicz
Manager, Production and
Airworthiness Division, AIR-200

APPENDIX 1. SAMPLE ICSSP SURVEILLANCE MANAGEMENT PLAN

In keeping with the spirit and intent of the bilateral agreement between the United States and [participating country], the Federal Aviation Administration (FAA) and the [Civil Aviation Authority (CAA)] will use the following management plan to implement the International Cooperative Supplier Surveillance Program (ICSSP). The ICSSP will be used:

- To evaluate an FAA Production Approval Holder's (PAH) control of its suppliers located in [participating country] that hold a production approval when the parts supplied to the United States are covered by that approval. The audits may be conducted using a segmented approach that coincides with the [CAA]'s normal audit activity, and

- To survey a [CAA] approval holder's U.S. supplier when this supplier is under FAA surveillance. The surveillance will be performed using FAA certificate management procedures.

The [CAA] may use any [CAA] offices to carry out the work of this management plan. Similarly, the Aircraft Certification Service in this context is the FAA and will use various FAA offices where applicable.

The FAA and [CAA] will keep each other informed of any changes in their respective organizations, including organizational and policy/procedural changes, that may impact any of the procedures outlined in this management plan.

This management plan covers procedures for manufacturing quality assurance and is divided into the following major sections:

I. Program Management.

II. The FAA Process.

III. The [CAA] Process.

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I. Program Management.

a. FAA/[CAA] Points-of-Contact.

(1) The designated offices for the coordination, management, and revision of this plan are:

For the FAA:	Mr. Frank Paskiewicz Production and Airworthiness Division AIR-200 800 Independence Avenue SW. Washington, DC 20591 United States Telephone: 202-267-8361 Facsimile: 202-267-5580
For the [CAA]:	[Appropriate name and address] Telephone: Facsimile:

(2) When a change to this management plan is considered, the requesting authority will contact the other authority with the desired revision. The requested authority will determine whether the revision can be accommodated and will give a formal answer.

(3) The FAA PI/[CAA] project manager will manage cooperative activities under this management plan. The FAA PI/[CAA] project manager may delegate to authorized program personnel, as appropriate, authority to participate in the surveillance program.

b. Documentation. Each authority should provide the other authority with all prepared records or minutes of meetings concerning implementation of this management plan.

c. Managing Requests for Surveillance.

(1) The two authorities will formalize acceptance of the surveillance requests through the exchange of letters.

(2) The FAA and the [CAA] will transmit sufficient information, as described in the following FAA and [CAA] processes, to permit the other authority to perform surveillance. The FAA or [CAA] office responsible for surveillance will maintain objective evidence of each surveillance request.

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II. The FAA Process.

a. Responsibilities of the FAA When Requesting [CAA] Assistance.

(1) The FAA will provide elements of appropriate purchase order information or special emphasis items and any other information to the [CAA] as necessary. Figure 1 contains the minimum information necessary for each facility at which the FAA is requesting [CAA] assistance. The FAA will provide the [CAA] with a specific list of organizations (including addresses) to be audited in [participating country]. The audit schedule will include the following information:

(a) The responsible FAA directorate.

(b) The supplier's full name and complete address.

(c) The product line produced by the supplier.

(d) The PAH project number.

(e) The name and address of the PAH primarily associated with the supplier.

(f) The name, telephone number, and fax number of the FAA PI.

(2) The FAA reserves the right to conduct any additional special audits, certificate management, designee management, service difficulty investigations, or any other functions necessary to fulfill its statutory responsibilities.

(3) The FAA, on a limited basis, may participate in the [CAA] audits in areas deemed necessary to fulfill the FAA's certificate management responsibility.

(4) As necessary, the FAA will provide familiarization to [CAA] inspectors who are new to this program.

(5) The FAA, on a limited basis, may periodically observe [CAA]-led audits to ensure consistency with U.S. processes and procedures and to ensure proper recording of audit results. During the first year of implementation, the Aircraft Certification Service, Production and Airworthiness Division (AIR-200) must notify the [CAA] at least 60 days in advance of any audits they intend to observe. In subsequent years, the accountable FAA directorate will be responsible for notification with the same advance notification requirement.

(6) The FAA will arrange information-sharing sessions with and provide program updates to the [CAA].

(7) The FAA will develop a communication methodology that facilitates communication between FAA PIs and their respective [CAA] inspectors in [participating country]. The FAA will describe the developed communication methodology in formal ICSSP procedures.

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(8) The FAA will acknowledge receipt of the [CAA]'s audit results.

(9) In accordance with FAA Order 2150.3, Compliance and Enforcement Program, the FAA maintains responsibility for all compliance and enforcement activity that may become necessary as a result of the [CAA]'s audits.

b. Responsibilities of the FAA When Carrying Out Surveillance on Behalf of the [CAA].

(1) The FAA will ensure (using its certificate management procedures and FAA Order 8120.2, Production Approval and Certificate Management Procedures) that the PAH, acting as a supplier to a [CAA]'s approval holder, has the quality systems and procedures in place to ensure it delivers parts and appliances according to specified orders from the [CAA]'s approval holder.

(2) The [CAA] may require from the FAA particular tasks for surveillance of specific parts and appliances.

(3) The FAA will monitor implementation of any corrective actions at the PAH to ensure continued compliance.

(4) The FAA will employ its own methods and procedures to carry out surveillance of U.S. firms, unless both authorities agree otherwise.

(5) The FAA, through normal surveillance, will monitor the PAH's manufacturing quality system in accordance with Order 8120.2 (for example, nonconforming material and changes in organization or in manufacturing processes).

c. FAA Reports of Surveillance Activity.

(1) The FAA will report any adverse observations or potential violations of its regulations to permit the [CAA] to determine if compliance and enforcement program activity is necessary.

(a) Within 3 working days, the FAA will provide reports to the [CAA] that identify all instances of noncompliance regarding a systemic issue, or a product or part thereof, whose failure could prevent continued safe flight and landing or whose resulting consequences could reduce safety margins, degrade performance, or cause loss of capability to conduct certain flight operations.

(b) The FAA will report all other findings to the [CAA] within 14 working days.

(2) The FAA will send a report based on the normal certificate management cycle (which runs from October 1 to September 30) to the [CAA] regarding the surveillance tasks carried out and, in particular, those relating to any problems encountered during production. Meetings between the authorities may negate the need for such reports. The annual report (three pages maximum) should include the following:

(a) A general description of work performed by the PAH for the [CAA]'s approval holder.

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(b) A quality system that indicates:

1 Any changes in organization or FAA approvals of the PAH,

2 Any manufacturing problems identified during normal surveillance,

3 Information on corrective actions for previously encountered problems (if applicable), and

4 Quality problems related to the PAH's procurement (materials, documents, procedures, and processes).

(c) A summary of certificate management activity performed by the FAA.

(d) Findings and/or comments from the FAA concerning the PAH.

III. The [CAA] Process.

a. Responsibilities of the [CAA] When Requesting FAA Surveillance.

(1) The [CAA] will provide elements of appropriate purchase order information or special emphasis items and any other information to the FAA as necessary. Figure 1 contains the minimum information necessary for each facility at which the [CAA] is requesting FAA surveillance. The [CAA] will provide the FAA with a specific list of organizations (including addresses) to be audited in the United States. This list will be taken from the list of the FAA's PAHs as transmitted by the FAA to the [CAA]. The audit schedule will include the following information:

(a) The supplier's full name and complete address.

(b) The product line produced by the supplier.

(c) The [CAA] PAH project number.

(d) The name and address of the [CAA] PAH primarily associated with the supplier.

(e) The name, telephone number, and fax number of the [CAA] project manager.

(2) The [CAA] reserves the right to conduct any additional special audits or any other functions necessary to fulfill its statutory responsibilities.

(3) The [CAA], on a limited basis, may participate in the FAA surveillance in areas deemed necessary to fulfill the [CAA]'s responsibility.

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(4) The [CAA], on a limited basis, may periodically observe FAA-led surveillance to ensure consistency with [CAA]'s processes and procedures and to ensure proper recording of audit results. During the first year of implementation, the [CAA] must notify AIR-200 at least 60 days in advance of any surveillance it intends to observe. In subsequent years, the [CAA] must notify the accountable FAA directorate, with the same advance notification requirement.

(5) The [CAA] will arrange information-sharing sessions with and provide program updates to the FAA.

(6) The [CAA] will develop a communication methodology that facilitates communication between FAA PIs and their respective [CAA] inspectors in [participating country].

(7) The [CAA] will acknowledge receipt of the FAA's surveillance results.

(8) The [CAA] maintains responsibility for all corrective action activity that may become necessary as a result of the FAA's surveillance.

b. Responsibilities of the [CAA] When Carrying Out Surveillance on Behalf of the FAA.

(1) The [CAA] will provide a copy of its evaluation plan/results in English to the responsible FAA office.

(2) The [CAA] will provide brief semiannual updates in English to the responsible FAA office, indicating confirmation of facilities to be audited; facility visits/audits that have been completed; and audits that have been deferred, as well as proposed dates for rescheduling.

(3) The [CAA] will conduct regularly scheduled audits of part suppliers located in [participating country] and holding a [CAA] production approval, as requested by the FAA. The [CAA] will conduct these audits in accordance with its procedures and requirements, augmented with the appropriate PAH's purchase order information and FAA special emphasis items.

(4) The [CAA] will prepare the supplemental work documents in English for recording the results of these audits. The [CAA] will disseminate the results to the appropriate offices in accordance with paragraph IIIc, [CAA] Reports of Surveillance Activity.

(5) The [CAA] will monitor implementation of any corrective actions at the approval holder to ensure continued compliance.

(6) As necessary, the [CAA] will provide familiarization to the FAA on the audit systems it uses.

(7) The [CAA] will provide an updated list of all its approval holders at quarterly intervals to the responsible FAA directorate.

(8) The [CAA] will not charge the FAA for the surveillance that the FAA has requested from the [CAA].

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c. [CAA] Activity Reports.

(1) The [CAA] will prepare reports using its audit form and supplemental work documents for all audits conducted. The required reports will be completed within 60 days of audit completion. The [CAA] will use a segmented approach that coincides with the [CAA]'s normal audit activity during a 24-month period to conduct the audits.

(2) The [CAA] will report any adverse observations or potential violations of its regulations to permit the FAA to determine if compliance and enforcement program activity is necessary.

(a) Within 3 working days, the [CAA] will provide reports to the FAA that identify all instances of noncompliance regarding a systemic issue, or a product or part thereof, whose failure could prevent continued safe flight and landing or whose resulting consequences could reduce safety margins, degrade performance, or cause loss of capability to conduct certain flight operations.

(b) The [CAA] will report any other findings to the FAA within 14 working days.

(3) The [CAA] also will notify the FAA of any finding, issue, or problem that is not directly related to the PAH but that could potentially affect the integrity of the supplier-PAH relationship. The [CAA] will immediately report any noncompliance deemed safety-related to the FAA. The [CAA] will report any other finding to the FAA within 14 working days.

(4) The [CAA] will notify the FAA of any suspension or revocation action taken at any approval holder that is also a supplier to a U.S. PAH, so the FAA can assume full surveillance responsibility. The suspension or revocation of the production approval will respectively suspend or terminate the arrangement for the concerned company. It will not terminate this management plan.

(5) For the first 12 months of this management plan, reports must be sent to the following address:

Federal Aviation Administration
AIR-230, Room 815
800 Independence Avenue SW.
Washington, DC 20591

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(6) Thereafter, reports must be sent to the responsible FAA directorate:

Central Region
ACE-180
Small Airplane Directorate
DOT Building
901 Locust, Room 301
Kansas City, MO 64106-2641

New England Region
ANE-180
Engine and Propeller Directorate
12 New England Executive Park
Burlington, MA 01803-5213

Northwest Mountain Region
ANM-108
Transport Airplane Directorate
1601 Lind Avenue SW.
Renton, WA 98055-4056

Southwest Region
ASW-180
Rotorcraft Directorate
2601 Meacham Boulevard
Fort Worth, TX 76137-4298

d. The [CAA] will inform AIR-200 annually of important quality problems the [CAA]'s approval holder encounters during inspection, installation or use on aircraft, and as necessary. Meetings between the authorities may negate the need for such reports.

e. The [CAA] will require its approval holder to develop procedures specifying that U.S. parts and appliances are released from the [CAA]'s manufacturers with a U.S. manufacturer's packing slip, indicating that the parts were manufactured "by a U.S. PAH under the surveillance of the FAA."

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FIGURE 1. ORGANIZATION-SPECIFIC INFORMATION FOR SURVEILLANCE ACTIVITIES

Information relative to the subcontract:
[contracting company name] in [country] to
[subcontracting company name] in [country]

Parts ordered by [contracting company name]: [general description]

Contract/Purchase order no.: [contract number] **Related to the manufacturing of the following parts:** - [include part name and part number]

Quality plan covering this production: [reference of quality plan]

Address of the production approval holder: [contracting company name] [Fill in as necessary] [When relevant: reference of production approval]

Address of the supplier: [subcontracting company name] [Fill in as necessary] [When relevant: reference of production approval]

Address of the FAA representative: [Specify applicable address] Tel: [Fill in as necessary] Fax: [Fill in as necessary]

Address of the [CAA] representative: [Specify applicable address] Tel: [Fill in as necessary] Fax: [Fill in as necessary]

Authority in charge of the approval of the design data: [Fill in as necessary]

Date of exchange of information between [CAA] and FAA: [Fill in as necessary]

Unique requirements: [Fill in as necessary]

APPENDIX 2. SAMPLE FORMAL FAA PI LETTER TO PAH

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

800 Independence Ave., S.W.
Washington, D.C. 20591

[Date]

[Name]
[Title]
[Company]
[Address]
[City, State ZIP]

Dear [Name]:

On [date], representatives of the [Civil Aviation Authority (CAA)] of [participating country] visited the supplier indicated below to conduct an audit under the Federal Aviation Administration's (FAA) International Cooperative Supplier Surveillance Program (ICSSP). The FAA has implemented the ICSSP with the [CAA] to evaluate Production Approval Holder (PAH) control of suppliers, which are located in [participating country] and which hold Joint Aviation Requirements 21 production organization approval.

The name and address of the supplier visited is:

[Company Name]
[Address]
[City, Postal Code]
[Country]
Producer of: [Product]

The audit included a review of flow-down of certain purchase order information and special emphasis items, which I identified via correspondence. During the audit, the [CAA] identified findings in the following areas:

[Description of problems identified by the participating CAA.]

Please contact this supplier to discuss the issues raised by the [CAA] during the audit and to determine what corrective action is necessary on your part to ensure continued use of this supplier. Respond to me with a description of and an implementation plan for the corrective action you will require of this supplier. Please note that the FAA or [CAA] will monitor any corrective action you implement during followup visits to this facility.

APPENDIX 2. SAMPLE FORMAL FAA PI LETTER TO PAH

Thank you for your attention to the issues described above. I look forward to your timely response.

Sincerely,

[Name]
Principal Inspector

U.S. Department
of Transportation

Federal Aviation Administration

Directive Feedback Information

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

Subject: Order 8120.13A

To: Directive Management Officer, 9-AWA-AVS-AIR-DMO@faa.gov

(Please check all appropriate line items)

☐ An error (procedural or typographical) has been noted in paragraph _____ on page _____.

☐ Recommend paragraph _____ on page _____ be changed as follows:
(attach separate sheet if necessary)

☐ In a future change to this directive, please include coverage on the following subject
(briefly describe what you want added):

☐ Other comments:

☐ I would like to discuss the above. Please contact me.

Submitted by: _____ Date: _____

FTS Telephone Number: _____ Routing Symbol: _____

FAA Form 1320-19 (8-89)