

ENG 1.4.034	 CAAI	ENG Handbook
Management of Airworthiness Approval Records		Revision 0
		18 March 2013

1. OBJECTIVE

The objectives of this procedure are to define:

- 1.1 Formal CAAI recognition of an applicant's overriding proprietary interest in its' aircraft design data, developed and retained as supporting documentation for the compliance records formally submitted to the CAAI (Applicant's Records).
- 1.2 The free and unrestrained exchange of an applicant's records on an informal basis between technical employees of the applicant and the CAAI Engineers for the purpose of assisting the CAAI with its understanding of formally submitted compliance records, without apprehension on the applicant's part that the confidentiality of its records will be compromised.
- 1.3 An orderly and formalized process for the identification, submission, and discretionary return of data required by CAAI to establish compliance with the certification basis, and of data which establishes entitlement to other forms of airworthiness approval (compliance records).
- 1.4 Methods of protection of airworthiness certification approval records and other compliance data.

2. GENERAL

- 2.1 This procedure formalizes policies and procedures relating to the transmittal of airworthiness documents to CAAI from an applicant or holder of an airworthiness approval, and the retention of records.
- 2.2 It also clarifies the proprietary status of different categories of airworthiness records, and directs the CAAI to enter into agreements with major applicants for airworthiness approval which will implement these procedures and policies.
- 2.3 Definitions used in this procedure:
 - 2.3.1 **Airworthiness Approval** means all forms of civil aeronautical design and production approvals, including the issuance of original and provisional Type Certificates, Type Certificate Amendments, Supplemental Type Certificates, Production and Airworthiness Certificates, Technical Standard Order Authorizations, Parts Manufacturer Approvals, Export and Import Airworthiness Approvals and other forms of design change approvals provided for in the Israeli Air Navigation Regulations (Procedures for Documentation of Aircraft and Aircraft Parts), 1977 (hereinafter – "**The regulations**").
 - 2.3.2 **Airworthiness Approval Records** are CAAI records, consisting of:
 - 2.3.2.1 **Compliance Records** which have been obtained by CAAI and which are currently in the possession of CAAI, consisting of documents and data (such as Reports, drawings, CAAI Form 8110-3, etc.), wherever physically located, which have been formally submitted by an applicant to CAAI for the express purpose of establishing the applicant's entitlement to an airworthiness approval.

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Compliance Records may include documents submitted to and approved by Designated Engineering Representatives (DERs) for the purpose of establishing the applicant's entitlement to airworthiness approval.

- 2.3.2.2 **CAAI Prepared Documents** associated with the airworthiness approval project, which may refer to or incorporate portions of compliance records (Such as: Test Inspection Authorizations (TIA), Test Inspection reports (TIR), Approved Compliance Checklists (CCL), etc.)
- 2.3.3 **Applicant's Records** are documents and data prepared or used by or on behalf of an applicant which are associated with the design of the product or part to be approved, and which have been formally submitted to CAAI for the express purpose of establishing the applicant's entitlement to airworthiness approval.
- 2.3.4 **The Certification Basis** is the set of airworthiness standards applicable to the product sought to be approved through the type certification process, and which are prescribed by:
- 2.3.4.1 The applicable requirements of the regulations effective on the date of an application for type certification.
- 2.3.4.2 Safety conditions required as part of a grant of exemption.
- 2.3.4.3 Special conditions promulgated by the CAAI where it is found that existing regulations do not contain adequate or appropriate safety standards due to novel or unusual design features of the product being certificated.
- 2.3.4.4 Subsequent amendments to the regulations applicable to the product either by election of the applicant or according to retroactive rulemaking by the CAAI.
- 2.3.4.5 Equivalent Level of Safety findings.
- 2.3.4.6 Special requirements imposed by the CAAI in order to correct an unsafe feature or characteristic determined to exist after the requirements of 2.3.4.1 through 2.3.4.5 have been complied with.

3. Reference Material

3.1 Reference

- 3.1.1 Chapters 2 to 5 of the Israeli Air Navigation Regulations (Procedures for Documentation of Aircraft and Aircraft Parts), 1977
- 3.1.2 CAAI Aircraft Certification Procedure ENG 1.4.029 – Type Certification.

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4. Process

4.1 Formal Procedures for the Transmittal of Compliance Records

4.1.1 CAAI Engineering Branch shall prepare, negotiate and execute formal written agreements with major applicants for airworthiness approvals, which shall incorporate the procedures set forth in this directive. The extent of the conformity inspection will be established pending the manufacturer's proposed conformity inspection plan, as approved by the CAAI. A sample agreement is presented in Appendix A to this procedure.

4.1.2 The CAAI \ Applicant agreements will specify that compliance records will be submitted to the CAAI Engineering Branch in the following manner:

4.1.2.1 Each Compliance Record will be transmitted by means of a formal transmittal letter from the applicant, specifying the title of the document, the date of transmittal, the intended CAAI recipient of the document, and the specific airworthiness requirement for which the document is intended to establish compliance.

4.1.2.2 The letter of transmittal should clearly and adequately describe the form and contents of the transmitted document. The letter of transmittal should also specify (by category of information) which, if any, portions of the document are considered by the applicant to be exempt from public disclosure.

4.1.3 CAAI Engineering Branch will maintain all letters transmitting compliance data in a special file.

4.1.4 Informal Procedures for CAAI Review of Applicants' Records

Applicants' records may be made available by an applicant to individual CAAI engineers on an informal, temporary basis, for the purpose of their familiarization with and understanding of compliance records which have been formally transmitted to the CAAI.

Such informal applicants' records will not be formally accepted or approved by CAAI, and will not be part of any formal data package related to the relevant certification process.

4.1.5 CAAI \ Applicants' Records

CAAI employees shall strictly comply with the procedures established for distinguishing between and managing the separate categories of airworthiness records:

4.1.5.1 CAAI's Records;

4.1.5.2 Applicant's Records.

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4.2 Retention of Records

4.2.1 Duration of retention of records

All records shall be kept throughout the airworthiness approval process and during the airworthiness approval validity, until the airworthiness approval is cancelled.

4.2.2 CAAI Airworthiness Approval Records shall be maintained by CAAI engineers strictly in accordance with the provisions of this procedure and any applicable agreements between the CAAI and the applicant.

4.2.3 CAAI engineers processing public requests for these records shall exercise diligence in protecting an applicant's trade secrets and other confidential data.

4.2.4 CAAI engineers shall not store extraneous material (private notes, rough drafts, etc.) in airworthiness approval record files/aircraft certification files.

4.2.5 Applicant's Records are not CAAI records. All CAAI engineers reviewing such records shall do so in a manner consistent with the applicant's overriding proprietary interest in these records.

4.2.6 Applicant's records which are loaned to individual CAAI engineers on an informal and temporary basis shall not be co-mingled with other categories of records, nor shall applicant's records be copied without the express written consent of the applicant.

4.2.7 Applicant's compliance records may be returned to the applicant at the completion of the airworthiness approval review process, if in the judgment of the CAAI Engineering Branch access to such records is no longer needed on a regular basis in order to perform CAAI safety functions, and if the applicant agrees to maintain and provide timely CAAI access to these records in a manner acceptable to the CAAI.

4.2.8 All returned applicant's records shall be transmitted by means of a formal transmittal letter from the CAAI. Returned applicant's record transmittal letters shall be filed by CAAI in a special file.

4.2.9 The following records must be retained by CAAI:

4.2.9.1 Applications,

4.2.9.2 Certification Basis file including the regulations and FAA Regulations at the relevant amendment, Special Conditions, Exemptions, Equivalent Level of Safety;

4.2.9.3 CAAI Issue Paper file;

4.2.9.4 Test Inspection Authorization (TIA);

4.2.9.5 Test Inspection Report (TIR);

4.2.9.6 Approved Compliance Checklist (CCL);

4.2.9.7 Master Drawing List;

4.2.9.8 Approved Document Approval Status Report (DASR) file;

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- 4.2.9.9 Minutes of type certification meetings;
- 4.2.9.10 Type Certificates (TC) and Type Certificates Data Sheets (TCDS);
- 4.2.9.11 Approved Aircraft Flight Manuals (AFM);
- 4.2.9.12 Approved Limitation Section of Instructions for Continued Airworthiness;
- 4.2.9.13 Master Minimum Equipment Lists (MMEL);
- 4.2.9.14 Correspondence file;
- 4.2.9.15 Foreign authority (FAA, EASA etc.) certification basis and Issue Paper file;
- 4.2.9.16 Any other documents as deemed necessary by the project manager.

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APPENDIX A: SAMPLE AGREEMENT BETWEEN CAAI AND AIRWORTHINESS APPROVAL APPLICANT

This agreement between the Civil Aviation Authority of Israel (CAAI) and _____ (the Applicant), establishes the procedures for management of airworthiness records submitted by the applicant to the CAAI on a formal or informal basis, for project _____, CAAI Project No. _____.

This agreement is based on and implements CAAI Procedure 1.4.034 - *Management of Airworthiness Approval Records*.

I. Definitions

I.1 **Airworthiness Approval Records** consist of:

I.1.1 Compliance Records which have been obtained by the CAAI under the procedures set forth in CAAI Procedure 1.4.034, and which are currently in the possession of the CAAI; and

I.1.2 CAAI prepared documents associated with the airworthiness approval project. These documents may refer to or incorporate portions of compliance records.

I.2 **The _____ (Applicant's name) Records** are documents and data prepared, or used by or on behalf of _____ (the applicant), which are associated with the design of the product, material, part, process, or appliance to be certificated, but which have not been formally submitted to CAAI for the express purpose of establishing _____ (the applicant's) entitlement to [airworthiness approval].

[Use term "type certification" or term describing other form of airworthiness approval, as appropriate].

I.3 **The Certification Basis** is the set of airworthiness standards for the product sought to be certificated, as defined in CAAI Aircraft Certification Procedure (ACP) ENG 1-4-029 and summarized in the project G-1 (Certification Basis) Issue Paper.

I.4 **Compliance Records** consist of documents and data, wherever physically located, which have been formally submitted by _____ (the applicant) to CAAI for the express purpose of establishing _____ (the applicant's) entitlement to airworthiness approval.

Compliance records include documents submitted to and approved by Designated Engineering Representatives for the purpose of establishing entitlement to airworthiness approval.

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I.5 **Public Airworthiness Records** are documents obtained or created during an airworthiness approval project, for the purpose of substantiating the CAAI's decision-making process for that project.

II. _____ (The Applicant) and CAAI agree to the following procedures:

- II.1 _____ (The applicant) shall submit to the CAAI all compliance records, including those approved by Designated Engineering Representatives, by means of a formal letter of transmittal.
- II.2 _____ (The applicant) shall maintain all compliance records separately from its other records and make them available for examination upon the request of CAAI, for the duration of design approval validity.
- II.3 _____ (The applicant) shall permit CAAI engineers to have reasonable access to its records, as necessary to ease and expedite CAAI review of compliance records. _____ (The Applicant's) records will not enter the formal possession or control of the CAAI, and are not subject to procurement or processing upon public request.
- II.4 Immediately upon the receipt of a public request for airworthiness approval records, the CAAI will provide _____ (the applicant) with a copy of the request and solicit its response. CAAI will process the public request strictly in accordance with the applicable Israeli Regulations.

III. Accepted and Agreed to on this _____ day of _____, _____ .

BY: _____ & _____
 (Title) Engineering Branch Manager
 (Applicant's name) CAAI