

**Authorized Release Certificate, FAA Form 8130-3, Airworthiness Approval Tag
Questions and Answers
May 2011**

1. The United States and the European Union (E.U.) completed an aviation safety agreement that went into effect on May 1, 2011. This agreement streamlines the regulatory cooperation between the United States and the EU on certification and continued operational safety. It allows for the reciprocal acceptance of Federal Aviation Administration (FAA) and European Aviation Safety Agency (EASA) certification and oversight of civil aviation products and repair stations. With the signing of this agreement and the following Technical Implementation Procedures (TIP), how will EASA recognize the term “Rebuilt Engines”?

EASA recognizes “Rebuilt Engines” as a manufacturing certification practice and not as a maintenance release by the FAA. The TIP places the same import requirements on rebuilt engines that are on new engines. With the signing of this agreement, it is still necessary to continue a deviation for the rebuilding of an aircraft engine until a revision to Order 8130.21 is made. Therefore, Form 8130-3 Blocks 14 through 18 will be used. (Other rebuilt products and articles will continue to use Blocks 19-23.) The appropriate term to be entered in Block 12 will be “See Block 13” and a comment added to Block 13 stating, “Rebuilt to original PAH’s specifications.” The box to check in Block 14 will be “Approved design data and are in a condition for safe operation” once the aircraft engine is rebuilt to the manufacturer’s approved design specifications. Block 15 will be completed by an authorized person at the PAH, and Block 16 will be the PAH’s certificate number.

2: Is it necessary for the end user to obtain another Form 8130-3, Authorized Release Certificate, FAA Form 8130-3, Airworthiness Approval Tag for products/articles that are released from a Production Approval Holder (PAH) with an original Form 8130-3 identified in Block 12 as “PROTOTYPE” and the box in Block 14 is checked “Non-approved design data as specified in Block 13?”

No. For those rare cases where Form 8130-3 is identified in Block 12 as “PROTOTYPE” and Block 14 is checked with “Non-approved design data as specified in Block 13.” The following information will be listed in Block 13, Remarks: “Prototype products (articles) pending certification under FAA project number [enter number] that are not eligible for installation on in-service, type-certificated aircraft. Upon approval of the design data the product(s)/article(s) listed above are considered NEW and conform to approved design data and are in a condition for safe operation without further showing.”

3: If an end user of Form 8130-3 loses their copy, should the original issuer provide a replacement?

If a copy of an FAA Form 8130-3 is requested, a file copy of the original form may be provided by an authorized person, if available.

4: Can multiple items be listed on one Form 8130-3?

Yes. In FAA Order 8130.21G, paragraph 2-8, when filling out Block 6. When FAA Form 8130-3 is issued, a single item number or multiple item numbers (for example, same item with different serial numbers) may be used for the same part number. Multiple items must be numbered in sequence, although not necessarily beginning with the number one (for example, 0040, 0050, 0062, 0063). If a separate listing is used, enter "List Attached" (refer to paragraph 2-8e of this order for further instructions).

5: Can Form 8130-3 be considered a parts identification/markings?

Yes, under certain circumstances. Many part identification numbers are applied in a non-permanent manner (e.g., ink stamp, paper label). During the maintenance process, these part numbers may be removed or otherwise obscured. If during maintenance the part identification number is removed or obscured, Form 8130-3 when completed in accordance with FAA Order 8130.21 may be considered the article identification. And, if during splitting the bulk shipments, the part identification is not available (i.e., a tag for the part or container can not be duplicated or the manufacture's label is not available), Form 8130-3 may be considered the part marking if the form is completed in accordance with FAA Order 8130.21. Refer to FAA Order 8130.21, paragraph 3-1(h) for further instructions.

6: Is the Production Approval Holder (PAH) allowed to develop an automated printing method to pre-print FAA Form 8130-3 for the designee's consideration and signature?

Yes. The PAH may develop an automated printing method to pre-print Form 8130-3 for the products/articles in which the designee will inspect and approve. If the PAH elects to pre-print Form 8130-3 for the products/articles, that method must be documented in their quality control/assurance manual, and the designee will only sign Form 8130-3 if the products/articles conform to the type design and are in a condition for safe operation. The automated form must duplicate the format of the original Government printed form. **THE OVERALL FORM AS DESIGNED MUST NOT BE CHANGED, NOR MAY ANY WORDS BE ADDED OR DELETED** (with the exception of filling in the blanks). It is permissible to preprint the text on Form 8130-3 that is required by this order. The size of blocks, in relationship to each other, may vary slightly, but all blocks **MUST REMAIN IN THEIR ORIGINAL LOCATION**. Form 8130-3 may also be reduced in overall size to reduce paper consumption, but not to the extent that it is no longer easily readable and readily recognizable.

7: Can Form 8130-3 be filled electronically?

Yes. The copies of FAA Form 8100-1, Conformity Inspection Report (FAA Form 8100-1), and FAA Form 8130-3 may be retained in their original paper format or in a secure database, provided the database contains all of the information required on FAA Form 8130-3. An acceptable means of compliance is provided in AC 21-35 or AC 120-78, Acceptance and Use of Electronic Signatures, Electronic Recordkeeping Systems, and Electronic Manuals (when applicable). Duplicates of FAA Form 8130-3, including signatures retained in a database, do not

need to be graphic images of the original documents. When FAA Form 8130-3 is issued for approval for return to service in accordance with this chapter, a copy of the original FAA Form 8130-3 that accompanied each shipment, or product or article must comply with the recordkeeping requirements of 14 CFR Parts 43, 91, 121, 135, and 145. These forms must be retained by the facility where FAA Form 8130-3 is issued. Duplicates of FAA Form 8130-3, including signatures retained in a database, do not need to be graphic images of the original documents. However, when a supplemental FAA Form 8130-3 is issued as described by this order, traceability back through a system that ensures that the products and articles were received with their original FAA Form 8130-3 must be possible.

8: Can a PAH's designee issue a Form 8130-3 for a product/article as "NEW" and complete Blocks 14 through 18 once the product/article has been shipped to an end user (i.e., air carrier/repair station) and the end user requests that Block 12 state "NEW?"

a. No. Once a product/article has left the control of the PAH's quality control system, the PAH's designee can not issue Form 8130-3 with Block 12 identified as "NEW" and Blocks 14 through 18 completed. The only time Form 8130-3 can be identified in Block 12 as "NEW" is:

1. When the products/articles are still under the control of a PAH's quality control system; or
2. The products/articles have never been issued an original Form 8130-3 and are located at an accredited distributor's facility. The airworthiness of the products/articles must be established, as well as positive traceability to a PAH via acceptable documentation by an authorized DAR. (Refer to FAA Order 8130.21 for further instructions.) Therefore, if the end user has possession of the products/articles and requires a new Form 8130-3 to accompany the products/articles, the requirements of Approval for Return to Service would need to be administrated. An authorized person could inspect the products/articles and document "INSPECTED" in Block 12 and complete Blocks 19 through 23 on the Form 8130-3.

b. The exception to the answer in 9.a is; if the end user returns the products/articles to the PAH and the PAH routes the products/articles through their quality control system to determine if the products/articles still conform to the type design they were produced under. If the PAH makes that determination, the designee or FAA could issue an original Form 8130-3 with "NEW" documented in Block 12, and complete Blocks 14 through 18. Refer to paragraph 16 of the order for additional details.

9: If our facility's computer generated Form 8130-3 is too small to document the "User/Installer Responsibilities" on the front of the form, can the back of the form be used to document this information?

Yes. The User/Installer Responsibilities statements may be placed on either side of the form. If the statements are placed on the back side of the form, a note in Block 13 must reference that fact. When copies of the forms are generated, these statements must be provided with the copies.

10: What number is required to be placed in Block 4 along with the Organization Name and Address?

When an FAA inspector or designee issues FAA Form 8130-3, they are required to complete the form in accordance with FAA Order 8130.21. In regards to Block 4 of the FAA Form 8130-3, paragraph 2-8(d) states "Enter the full name and physical address (no post office box numbers) of the organization or facility for which the form is being issued and the PAH certificate or project number."

11: How should the date be placed in Blocks 18 and 23?

Enter the date on which Block 14 is completed, or in the case of electronically generated forms, the date the conformity determination is made and the form is authorized to be issued. The date must be in the following format: first three letters of the month, two-digit day, and four-digit year, for example, Feb 03 2008. This does not need to be the same as the printing or shipping date, which may occur later. The use or omission of slashes, hyphens, or spaces in the date does not matter.

12: Can FAA Form 8130-3 be issued for products/articles that are not FAA-approved?

No. It is not permitted to issue FAA Form 8130-3 for non-FAA-approved products/articles that are to be installed on U.S. registered aircraft. Products (engines and propellers) and articles that are not produced under an FAA quality system are not eligible to receive an FAA Form 8130-3. However, under Part 21, a conformity inspection is performed on a prototype or test product/article prior to type certification to determine that it conforms to the specified data. Form 8130-3 may be used to record conformity inspections made by or on behalf of the FAA.

13: How can the usage of FAA Form 8130-3 be voluntary for domestic use?

FAA Form 8130-3 can be issued for domestic shipments to identify the airworthiness approval status of new products produced under the provisions of 14 CFR Part 21. The use of FAA Form 8130-3 for this purpose is optional, but the FAA recommends its use. This will help the aviation authorities and industry to assure traceability and ease the shipment of products/articles through the aviation system.

14: Why is paragraph 2, Appendix C, Deviations, stipulated in FAA Order 8130.21?

This paragraph is standard in all directives issued for FAA use. The purpose of this paragraph is to inform the FAA employees and designees that the information contained within the order must be followed without deviation in order to keep the implementation within the order standardized through-out all FAA regions/directorates.

15: How are standard parts eligible to receive an airworthiness approval?

Standard parts produced under a production approval are eligible for the issuance of an FAA Form 8130-3 airworthiness approval. Use of FAA Form 8130-3 for this purpose is recommended, but not required. The inclusion of FAA Form 8130-3 helps document the airworthiness and traceability of the standard part.

16: Will manufacturers of standard parts receive a 14 CFR Part 21 production approval?

Manufacturers of standard parts will not receive a production approval unless they meet the requirements of 14 CFR Part 21.

17: What type of numbers (serial or batch) belongs in Block 11 of Form 8130-3?

If the product or article is required by 14 CFR Part 45, Identification and Registration Marking, to be identified with a serial number, enter it here. Additionally, any other serial number not required by regulation also may be entered. If no serial number is entered in this block, enter "N/A."

18: How is the quality of articles assured when a Form 8130-3 is issued at PAH suppliers and associated facilities? How is traceability assured if the PAH issues Form 8130-3 for articles manufactured by his suppliers?

An original FAA Form 8130-3 to document airworthiness approvals may be issued at PAH facilities, including PAH suppliers and associate facilities identified in the PAH's approved procedures. The form also may be issued by a designated person at PAH suppliers with direct shipment authorization or associate facilities outside the United States, if the FAA finds there is no undue burden associated with the form's issuance. The PAH does not issue a Form 8130-3, the authorized designee has that responsibility. The PAH has the responsibility to inspect the articles for conformance to the type design and to determine they are in a condition for safe operation. Once that is completed, it's the designee who issues the Form 8130-3, not the PAH; or the PAH authorizes the supplier direct shipment authorization. Traceability is ensured through the PAH's (or approved supplier's) approved quality system.

19: How are suppliers/distribution centers, allowed to split quantities and to issue a supplemental Form 8130-3, (even from outside the U.S)? And, would the status of work on such supplemental forms be "NEW" and signed on the left side in Block 15 and not "INSPECTED," although such a distribution center has not manufactured the product/article?

FAA Form 8130-3 would be signed on the left side as a "NEW" article, and not just identified as "INSPECTED". When a supplemental Form 8130-3 is issued for a split lot, there are two methods to accomplish this. 1) A PAH, PAH-approved supplier, or PAH associate facility which some times referred as PAH distribution centers (still under the PAH quality system) completes a new form; or 2) An entity other than a PAH, PAH-approved supplier, or PAH (i.e., distributor, repair station, air carrier) makes a copy of the original, crosses out the quantity in Block 10 and enters the quantity shipped under the split lot.

20: When would a PAH sign the right side of the form as approval for return for service?

A PAH may issue an FAA Form 8130-3 for approval for return to service after rebuilding, altering, or inspecting its product in accordance with §§ 43.3(j) and 43.7(d).

Where does this leave the PAH authority to work on NEW articles requiring maintenance such as, modification, overhaul (as part of shelf life renewal) etc?

In the case of NEW articles the PAH should release them by signing Block 14 although the work is carried in accordance with 14 CFR 43." In accordance with 14 CFR Part 43, Maintenance, preventative maintenance, rebuilding, and alteration, section 43.3(j), the PAH may rebuild or alter the products that they produce under their type or production certificate. If the PAH performs either of these two functions in accordance with section 43.3(j) on new, used, new–unused products, it's a return to service and the right side of Form 8130–3 is used. The left side of the form is never used for a return to service.

21: Block 19 Dual-Release. Which block contained within Block 19 should be checked when returning an article to service after maintenance when the organization that performed the service is both FAA and CAA certified?

When FAA Form 8130-3 is used as an approval for return to service to meet the terms and conditions of a bilateral agreement's maintenance implementation procedures (MIP), the air agency or air carrier must check the two boxes in Block 19 stating "14 CFR 43.9 Return to Service" and "Other regulations specified in Block 13" and provide the appropriate information in Blocks 12 and 13. This is considered to be a dual release FAA Form 8130-3. The regulations of the other CAA must be specifically identified in Block 13. The completed work can be accomplished in accordance with the regulations of the FAA, or the regulations of the FAA and another CAA. The data used to complete the work must be clearly stated in Block 13 or attached to the form and the attachment identified in Block 13. If the work has been done in accordance with both the regulations of the FAA and another CAA, both boxes must be checked. Attachments should include the form tracking number of the corresponding FAA Form 8130-3. European CAAs may recognize an approval for return-to-service FAA Form 8130-3 only from 14 CFR Part 145 repair stations or air carriers that also obtained an EASA Part 145 approval appropriately rated for the product or article at the time the product or article was approved for return to service. If a dual release is being applied to FAA Form 8130-3 to satisfy a European CAA or EASA, the air agency, U.S. air carrier, or FAA approval/certification number must be entered in Block 21, along with the following statement in Block 13: "Certifies that the work specified in Blocks 12/13 was carried out in accordance with EASA Part 145 and, with respect to that work, the component is considered ready for release to service under EASA Part 145 Approval Number [insert number: EASA 145-XXX]." In addition, both boxes in Block 19 must be checked.