



# CERTIFICATION & TRACEABILITY REQUIREMENTS

These requirements establish the minimum certification and documentation documents required when selling, consigning and/or supplying material to SOUTHWEST AEROSPACE TECHNOLOGIES, LLC.. All material supplied to SOUTHWEST AEROSPACE TECHNOLOGIES, LLC, must be traceable to a regulated source. Additional and/or unique requirements may be specified on SOUTHWEST AEROSPACE TECHNOLOGIES, LLC purchase order. It is expected that all requirements will be honored by our suppliers. Any deviations require written approval from SOUTHWEST AEROSPACE TECHNOLOGIES, LLC Quality Management prior to shipment.

## 1.0 Regulated Sources

SOUTHWEST AEROSPACE TECHNOLOGIES, LLC, defines **Regulated Sources** as follows:

1. Original Equipment Manufacturers (OEMs) that are the Production Approval Holders (PAHs)
2. All scheduled airlines and operators, including freight carriers.
3. Major airframe and powerplant certified repair stations (FAA, JAA, EASA, TC or CAAC) whose capability allows them to perform C & D checks, repair or modify the aircraft structure or repair the major modules of an engine.
4. Certified Component Repair Stations (FAA, JAA, EASA, TC or CAAC), provided the material they're supplying is within the repair capabilities of their Air Agency Certificate.

## 1.1 Non-Regulated Sources

5. Any sources not meeting the definition above for "Regulated Source" are considered by SOUTHWEST AEROSPACE TECHNOLOGIES, LLC.. to be "**Non-regulated Sources**". Further examples of Non-regulated Sources are other surplus parts suppliers, dealers, brokers, aircraft and/or engine leasing companies or certified repair stations selling material outside of their repair capabilities.

The minimum certification requirements necessary for acceptance of material by SOUTHWEST AEROSPACE TECHNOLOGIES, LLC.. from a **Non-Regulated Source** are:

1. The supplier's own Material Certification ATA 106 form or acceptable equivalent, and the original or certified true copy of the certificate received from the Regulated Source; and,
2. A non-incident, non-government and non-military use statement from the last operator (if used) and last Regulated Source.

## 2.0 Certification and Traceability Requirements by Part Condition and Description

### ▪ Factory New

- (a) The original certification from the OEM. Appropriate documentation shall include one or a combination of the following: FAA Form 8130-3, EASA Form 1, JAA Form 1, SEG VOO 003, TC Form 1, Certificate of Conformance, Packing Slip, Transfer Ticket or Invoice,

- **New Surplus (Unused)**

- a) Certification & traceability back to a Regulated Source stating that the material is new. Appropriate documentation may include one or a combination of the following: FAA Form 8130-3, EASA Form 1, JAA Form 1, SEG VOO 003, TC Form 1, Certificate of Conformance, Packing Slip, Transfer Ticket, and a material certification form that meets the requirements of ATA Spec 106 or other industry accepted certification.

## **2.0 Certification and Traceability Requirements by Part Condition and Description (Continued)**

- **Overhauled, Repaired, Inspected or Modified**

- a) Certification & traceability back to the last operator and/or Regulated Source, including a non-incident/non-military statement;
- b) Original material certification form that meets the requirements of ATA Spec 106 or other industry accepted certification stating the part is in the same condition as listed on the Authorized Release Certificate
- c) The original FAA Form 8130-3, JAA Form 1, EASA Form 1, CAAC AAC-038, SEG VOO 003 or TC Form 1 (Dual FAA/EASA or JAA release) issued by a repair facility that is approved to perform the repair by the relevant airworthiness regulatory authority;
- d) Details of work performed or teardown report, including Service Bulletins (SB) number, Modification number or Airworthiness Directives (AD), with revision number and date;
- e) Name of the service manual and/or part number or ATA chapter reference used to perform the repair and the revision level and revision date of the manual; and,
- f) Any repairs incorporated into the part must be repairs listed in the OEM's service, repair or overhaul manual. FAA DER 8110-3, Internal Engineering Notices (IENs), Engineering Orders (EOs), Technical orders (TOs) Customer Departure Records (CDR's), or Departure records (DR'S) type repairs will not be accepted by *SOUTHWEST AEROSPACE TECHNOLOGIES, LLC.* without prior written approval. The repair scheme numbers must be listed in Box 13 of the Authorized Release Certificate along with the Revision number of date. Copies of the repair scheme explanation must be included in the shipment.

- **Repairable/As Is/As Removed Material**

- a) Certification & traceability back to last operator and/or Regulated Source including a non-incident/non-military use statement; and,
- b) Original material certification form that meets the requirements of ATA Spec 106 or other industry accepted certification stating the part is repairable, as-is, where is, or as removed.

## **2.1 Additional Requirements**

Additional requirements are as follows:

1. In the event the certification and/or traceability is incorrect, missing or altered, or if the condition of the part is not in accordance with the condition stated on the certification or the condition as stated on SOUTHWEST AEROSPACE TECHNOLOGIES, LLC. ' purchase order, the part(s) will be rejected by and returned for full credit, including transportation costs;
2. The original Authorized Release Certificate is required for each line item on the purchase order;
3. Multiple part numbers on a single Authorized Release Certificate (FAA, EASA, JAA, SEG VOO 003, TC Form 1 or CAAC AAC-038) are unacceptable;
4. If the item is not serialized and the quantity being supplied is less than the quantity in box 10 of the Authorized release Certificate then a certified true copy of the Authorized Release Certificate will be acceptable;

5. The Authorized Release Certificate or Certificate of Conformance must specify all ADs that are represented as having been accomplished, including the AD number(s), AD amendment number(s), and date(s) and method(s) of compliance;
6. Hardware items (nuts, bolts, washers, etc) will only be accepted if the parts are in new condition and in unopened OEM packaging. Industry standard hardware items (NAS, AN, MS MIL, etc) must be accompanied by chemical and physical test documentation in addition to the traceability documentation listed above; and,
7. Any material identified as being involved in an incident or accident or traceable to any military or government source will not be accepted by SOUTHWEST AEROSPACE TECHNOLOGIES, LLC. .

### **3.0 Certification requirements for Lot Purchases or Consignments**

In addition to the specific certification and traceability requirements listed in this document, certification documentation for lot purchases or consignments must comply with specific contractual or purchase order requirements. When an individual ATA106 material certification or similar document is impractical for each part, a manifest of the contents must contain the following information on each page of the manifest:

1. Name of the company selling/consigning the material;
2. Southwest Aerospace Technologies Purchase or Contract number;
3. Part Number;
4. Serial or Batch Number (if applicable);
5. Condition;
6. Quantity;
7. OEM; and,
8. Each manifest page must be numbered "1 of x", "2 of x", etc., and be signed by an authorized representative of the seller/consignor.

*Note: Any lot purchase or consignment material received by Southwest Aerospace Technologies, LLC. that is either inconsistent with or omitted from the manifest will be held by Southwest Aerospace Technologies, LLC in the non-conformance cage pending disposition and/or returned at the cost of the seller/consignor.*

### **4.0 Certification Requirements for Aircraft/Engine Teardown Parts**

1. For aircraft/engines parted out by a FAA, JAA, EASA, TC or CAAC Certified repair facility, a removal tag bearing the repair facility's certificate number and address. Information on the tag must include manufacturer's part number, serial number (as applicable), part description, quantity, aircraft registration number and/or aircraft manufacturer's serial number or engine serial number and model number (as the case may be), date removed, reason for removal, and total time and total cycle of the airframe or engine (as the case may be) from which the part was removed;
2. The removal tag must be signed or stamped and dated by the repair facility or agency representative performing the disassembly; and,
3. In addition to the information listed in item 1 and 2 above, removal tags for aircraft or engines parted out by other than Certified Repair Facilities must bear the signature of a licensed FAA A&P mechanic.

*Note: At a minimum, parts must have documented traceability to a specific aircraft or engine, and there should be a way of establishing clear title to all parts.*

## 5.0 Certification Requirements for Life Limited Parts

All life limited parts must meet the documentation and certification requirements listed above plus the following additional requirements:

1. A non incident statement from the last operator.
2. Each life limited part shall be accompanied by a document, produced at the time the part was removed from the engine, module or aircraft (as the case may be), detailing the manufacturer's part number, serial number, current total time and current total cycles. The document shall also include the serial number, total time, total cycles, and model number of the next higher assembly, aircraft or engine (as the case may be), and must be signed by an authorized representative of the company that prepared it;
3. In the event that the part was installed on more than one engine or aircraft, the requirements of the above paragraph must be met, plus disk sheets or log book entries with the manufacturer's part number and serial number of the part, plus the serial numbers and model numbers of all engines or airplanes that the part was installed on. All such sources of information (maintenance release tags, disk removal/installation sheets, log book entries, etc) must accurately trace the history of all life limited parts back to new;
4. Complete history of all vendor/manufacturer/repair facility modifications to life limited parts relative to any service bulletins and/or airworthiness directives which affects part number, life limit or re-inspection requirements; and,
5. For all life limited parts (new or used), one or a combination of the following is required, , FAA 8130-3, EASA Form 1, SEG VOO 003, PWA MRP, PWA Transfer Ticket, GE Database report, OEM's Original build specification document or similar OEM certifying document

## 6.0 Hazardous or Dangerous Goods

All hazardous or dangerous goods must comply with the following:

1. Any Hazardous and/or Dangerous goods supplied to Southwest Aerospace Technologies, LLC must be identified, handled, and shipped in accordance with Code of Federal Regulations Title 49; and,
2. Current Material Safety Data Sheet (MSDS) must accompany each shipment.

**Southwest Aerospace Technologies, LLC. will not accept Oxygen Generators or Explosive devices of any kind.**

## 7.0 Packaging/Delivery

All packaging/deliveries to Southwest Aerospace Technologies, LLC must comply with the following:

1. All wood packaging material manufactured out of coniferous and non-coniferous raw wood must meet the requirements of ISPM 15-2002.
2. Material must be packaged in accordance with ATA 300 Spec;
3. Packing slips must be on the exterior of each shipping container and enclosed inside the box;
4. Tempus Jet purchase order number(s) must be clearly visible on outside of shipping container; and,
5. Mixing of various Tempus Jet purchase orders inside one box is not acceptable.