

# ATA Specification 106

## Sources & Approved Parts Qualification Guidelines

Revision 2001.1



AIR TRANSPORT ASSOCIATION

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## Chapter 2. General

- A. This document contains references to existing government and industry standards and procedures concerning approved parts for the purchaser, buyer, quality assurance and quality control inspectors who act for aircraft operators and suppliers (certificated manufacturers, distributors, FAR Part 121/135 carrier surplus sales, FAR Part 145 repair stations, surplus aircraft parts dealers, foreign carriers, foreign manufacturers and brokers) to the extent outlined in the "ATA-World Airline and Suppliers Guide" [WASG] and this specification. (Ref. [FAA 14CFR].)
- B. All suppliers' quality assurance/control procedures, appropriate maintenance records and traceability records for approved parts sold to an airline aircraft operator should be made available to an airline/buyer/quality assurance-quality control inspector upon request.
- C. Applicable documents are outlined in the World Airlines and Suppliers Guide, Chapter 13; CASE P&P Manual; Federal Aviation Regulations; and ATA Specification 106 regarding the traceability and/or certification of approved parts.
- D. If by visible inspection of the shipping documents, alleged approved part, or other traceability/certification documents, as outlined in the references listed in paragraph C above, parts are suspected of being fraudulent, counterfeit, unapproved or misrepresented, then all suspicions or concerns are to be brought to the attention of the FAA according to Advisory Circular No. 21-29. This advisory circular provides information and guidance for use in reporting suspected unapproved aircraft parts and includes procedures for referral of such reports to the appropriate FAA office and/or the DOT hot-line for suspected unapproved parts. The holder of the suspected unapproved part should insure it is quarantined until disposition instructions are received from the Federal Aviation Administration/Department of Transportation.
- E. All inspections of parts and appropriate data should be accomplished by well trained, qualified personnel as specified by operators policies and procedures.
- F. The aircraft operator and supplier should assure that all aircraft parts buyers and QA/QC inspectors are properly trained in FARs pertaining to approved parts. Other documents, such as, ATA Specification 106; the World Airline and Suppliers Guide [WASG], Chapter 13; and audit standards such as the CASE 3-A may provide guidance in this determination.
- G. Parts suspected of being unapproved by the DOT, FAA, airline or supplier should be held in quarantine until laboratory tests and/or FAA/DOT and/or airline's engineering and quality assurance/quality control have determined appropriate disposition.
- H. After determination that a part is not an approved part, the part should not be delivered to another airline or supplier. The owner of the unapproved part should insure it is quarantined until disposition instructions are received from the Federal Aviation Administration/Department of Transportation, or is salvaged in accordance with Advisory Circular 21-38.

## Appendix B. Source and Condition of Aircraft Parts: Suggested Documentation Requirements

Airframe, aircraft engine, propeller, appliance or component replacement parts are acceptable if identified and are accompanied by one or more of the following (see [Table B-1.1] for specific guidelines.)

- A. FAA Production or Type Certificate (PC, TC) holder. (e.g., Boeing, Douglas, PWA, GE, etc.). The certificate number is to be listed on certification documents.

OR

FAA Technical Standard Order (TSO) Number and identification mark on all parts. TSO Certificate is a letter from FAA with a supplement attached listing authorized parts.

OR

FAA Parts Manufacturer Approval (FAA/PMA) symbol. PMA Certificate is a letter from FAA with a supplement attached listing authorized parts. The part identified should include all applicable dash numbers.

OR

Authorization from the PAH for direct shipment.

AND

Shipping tickets, packing list, invoices and/or other documents which provide evidence that the part was produced by the PAH.

- B. FAA Form 8130-3 Airworthiness Approval Tag (Ref. FAA order 8130-21 and/or [Appendix A] of this specification for proper completion of the form). May be issued

- (1) for export of parts manufactured and located in the U.S.A. (Ref. 21.331(A)(1) [FAA 14CFR]).

- (2) for identification purposes, for new products only.

- (3) as a return to service for a Class II or Class III product. Work must have been accomplished by a FAR 121/135 Air Carrier or FAR 145 Repair Station. (Ref. [FAA 14CFR].)

- C. Export Certificate of Airworthiness issued by CAA/NAA of the country of export. Must be from a country with which the United States has a Bilateral Airworthiness Agreement (BAA) in effect. Information on the airworthiness certification of aircraft, engines, propellers and related products imported to the U.S. and a summary of the Bilateral Airworthiness Agreements provisions can be found in Advisory Circular 21-2 and FAR 21.500 and 21.502. e.g. JAA Form One, Joint Aviation Authorities Airworthiness Approval Tag or Transport Canada Form 24-0078 (applicable to a part exported to the U.S.)

- D. Acceptable certification of conformance for a standard part or raw material, e.g., complies with applicable Military Specification (NAS, MS, AN,) or SAE, etc. (may include physical and chemical test results).

- E. FAR Part 121/135 Air Carrier Serviceable Tag. (Ref. [FAA 14CFR].)
- F. FAR Part 145 Repair Station's Serviceable Tag. Repair Station number, date of repair/test and record of the last maintenance performed must be attached to the Serviceable Tag and/or attached to component. (Ref. [FAA 14CFR].)
- G. Part or Material Certification Form (Ref. [Appendix C] of this specification).
- H. Acceptable certification of conformance for Commercial Material or parts not regulated by a government agency, (a) manufactured to a unique specification and is marketed under the identification of the manufacturer, (b) subjected to no particular quality control beyond the manufacturer's voluntary internal control system; and part or material is not sensitive to airworthiness.

Table B-1.1: Aircraft Parts Documentation Requirements

Part Supplier	Part Condition	Standard Hardware (Note 1)	Commercial Hardware (Note 1)	Life Limited (Note 2)	Time controlled (Note 3)	Repairable/ Re coverable	Exp
TC/PC Holder/Licensee	New/Rebuilt	A, G or H	A, G or H	A,B or C	A,B or C	A,B or C	A,B or
STC, TSOA, PMA Holder	New Rebuilt	A, G or H	A, G or H	B,C or G	B,C or G	B,C or G	B,C or
FAR 121/ 129/135 Air Carrier	New	E or G	E or G	B,E or G	B,E or G	B,E or G	B,E or
	Repaired			B,E or G	B,E or G	B,E or G	B,E or
	Overhauled			B,E or G	B,E or G	B,E or G	
FAR 145 Repair Station (Incl. MMF)	New	G	G	G	G	G	G
	Repaired			B or F	B or F	B or F	B or F
	Overhauled			B or F	B or F	B or F	
Foreign Carrier	New	C	C	C	C	C	C
	Repaired			C (note 5)	C (note 5)	C (note 5)	C (note 5)
	Overhauled				C (note 5)	C (note 5)	
Foreign Mfr	New/Rebuilt			C & D	C & D	C & D	C & D
Supplier (Note 4)	New/Rebuilt	G	G	G	G	G	G
	Repaired			G + B,E or F	G + B,E or F	G + B,E or F	
	Overhauled				G + B,E or F	G + B,E or F	

Purpose: To identify the minimum documents the seller must provide when selling the above listed parts. Individual buyers may require further traceability or other documentation.

- A. Shipping ticket, Packing List, Certification of Conformity, Invoice, etc. from the Type Certificate (TC) or Production Certificate (PC) holder/licensee with the TC/PC number listed.
- B. FAA Form 8130-3.
- C. JAA Form One and Transport Canada Form 24-0078 (see note 5).
- D. Written authorization for direct shipment from the Production Approval Holder (PAH).
- E. FAR 121/135 Air Carrier Serviceable Tag.
- F. FAR Part 145 Repair Station Serviceable Tag.

G. Part or Material Certification.

H. Acceptable certification of conformance for commercial materials or parts.

NOTE 1: The documentation must state the appropriate specification the material meets.

NOTE 2: The seller must supply documentation indicating the "Cradle to Grave" history of the part.

NOTE 3: The seller must supply documents indicating hours, cycles and/or days since the last overhaul and the record of work accomplished.

NOTE 4: The seller must have and keep on file all documentation indicating that the part/material was procured from an FAA approved source per this specification.

NOTE 5: The JAA Form One and the Transport Canada form 24-0078 cannot be accepted for items which have undergone maintenance actions, unless the item is returned to service by a person/organization authorized by the FAA, and is so indicated on the form.

## Appendix C. Suggested Part or Material Written Certification

A sample form is given in [Figure C-1.1]. The instructions for filling out the sample form are included in the sections below.

Figure C-1.1. Part or Material Certification Form

1. PART OR MATERIAL CERTIFICATION FORM						ATA Specification 106
2. Seller's Name:			3. Reference #			
4. Organization: Address:			Phone #: FAX #: SITA/Wire Code: Status:			
5A. Seller's Contract #			5B. Buyer's Contract #			
6.Item	7.Description	8.Manufacturer & Part #	9.Eligibility	10.Qty	11.Serial/Batch #	12.Status
13A. Remarks						
13B. Obtained From				13C. Last Certificated Agency		
14. <u>New Parts/Material Verification:</u>  The following signature attests that the part(s) or Material(s) identified above was (were) manufactured by a FAA Production Approval Holder (PAH), or to an industry or commercial standard.				18. <u>Used, Repaired or Overhauled Parts Verification:</u>  The following signature attests that the documentation specified above or attached is accurate with regard to the item(s) described.		
15. Signature				19. Signature		
16. Name		17. Date	20. Name		21. Date	
<p>NOTICE: The above signature binds the seller and the SIGNER to the accuracy of the information provided in the Form. Should the information provided in this Form contain inaccuracies or misrepresentations, the signer and the SELLER may be liable for damages and be subject to criminal prosecution under state and federal law. Revised August 15, 1995)</p>						



## **1. Instructions for Filling-out Sample Form.**

### **1.1. Block 1 Form Title: "Part or Material Certification Form"**

### **1.2. Block 2 Seller's Name**

### **1.3. Block 3 Reference No.**

Unique identification established by the owner/seller to identify or track this assurance form and thereby provide traceability.

### **1.4. Block 4 Organization**

Seller's identification to entail at least the following, if applicable and established

1. Seller's Address
2. Seller's Telephone Number
3. Seller's FAX Number
4. Seller's SITA Code
5. Seller's Certification Number (If seller is FAA Certificated or if a certificated person is taking responsibility for completion of the certification).
6. The seller should state or explain its status with regard to FAA certification, manufacturing authority or function by selection of one of the following representative designations:
  - Type Certificate Holder
  - Production Certificate Holder
  - Supplemental Type Certificate Holder
  - Parts Manufacturing Authority
  - Technical Standard Order Holder
  - Manufactured to an established U.S. Specification
  - Repair Station (Domestic or Foreign)
  - U.S. Certificated Air Carrier
  - FAA Certificated Individual (State Type)
  - Foreign Certificated Air Carrier

- Foreign Manufacturer
- Surplus Parts Supplier
- New Parts Distributor
- Parts Broker (New Used or Surplus Parts)
- Other (Specify)

### 1.5. Block 5A Work Order/Contract/Invoice (Seller)

For traceability, record the "Seller's" contract/work order/invoice number related to the shipment as applicable.

### 1.6. Block 5B Work Order/Contract/Invoice (Buyer)

For traceability, record the "Buyer's" contract/work order/invoice number related to the shipment as applicable.

### 1.7. Block 6 Item

Each item listed should be numbered in sequence.

### 1.8. Block 7 Description

Actual part's noun description as specified by the manufacturer.

### 1.9. Block 8 Mfg. and Part No.

Enter the original manufacturer's name and part number. List the amended part number if this particular part has been altered or modified causing the original manufacturer's part number to be changed or amended.

### 1.10. Block 9 Eligibility (Optional)

The aircraft, propeller, engine or appliance model on which the part may be installed if known. In the case of a part manufactured under a technical standard order (TSO) or equivalent, no entry is necessary since eligibility for installation will be determined at the time of installation.

<b>NOTE:</b>	The information in Block 9 only relates to the basic type or model. It does not constitute authority to fit the part(s) to a particular aircraft, engine, propeller or appliance. The user/installer should confirm via documents such as the airline approved maintenance manual, illustrated Parts Catalog, service bulletins, O.E.M.'s Overhaul Manual, etc., that the part(s) is/are suitable for installation on a particular aircraft, engine, propeller or appliance.
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### 1.11. Block 10 Quantity

Enter the quantity of parts released for each item listed.

## 1.12. Block 11 Serial/Batch No.

Specific part(s) Serial No. if so marked. If part(s) are not serialized, then a Lot No., Batch No., or some other manufacturer/supplier/distributor identification number should be used. Provide the date of manufacture, if known. A manufacturer's certification identifying, lot, batch, test data, or records of conforming inspections should be available if so requested.

## 1.13. Block 12 Status/Work

The following eight terms in quotation marks, indicate the status of the part being released. One or a combination of these eight terms should be stated in this block. The terms are: (1) "New" (2) "New Surplus (unused)" (3) "Rebuilt" (4) "Overhauled" (5) "Inspected" (6) "Modified" (7) "Repaired" (8) "As Is". The status of each item listed should be clearly identified in relation to its Item No. (Ref. [Chapter 1], Definitions.)

## 1.14. Block 13A Remarks

Include any information in this block, either directly or by reference to supporting documentation, that may be necessary for the user/installer to make a final determination as to the airworthiness and eligibility of the part.

### 1. Information Relevant to New Parts

Approved replacement parts should be identified by one of the following methods: This information may be sufficient in itself to avoid the need for additional written assurance as to the part's authenticity. Definitions for these methods are contained in ATA Specification 106.

- A. Authorized Release Certificate Approval Tag. FAA Form 8130-3 (Formerly Airworthiness Approval Tag, FAA Form 8130-3.)
- B. Joint Aviation Authority Tag (JAA Form One.)
- C. FAA Technical Standard Order (TSO) number and identification mark.
- D. FAA/Parts Manufacturer Approval Symbol, "FAA-PMA."
- E. Shipping ticket, invoice, or other document from an approved source.
- F. Certification of Airworthiness for Export
- G. Direct Ship Authority.
- H. A document of certification from an approved source.

### 2. Information Relevant to Used or Surplus Parts.

The following information may be useful when assessing and substantiating the status of a used or surplus part:

- A. Maintenance records and part status
  - 1) If the part has been rebuilt, overhauled, inspected, modified, or repaired, the records should include a maintenance release, return to service tag, repaired parts tag (sometimes known as the "Yellow Tag"), FAA Optional Form 8130-3 or similar document from an FAA certificated

person. In addition, documentation describing the maintenance performed and parts replaced should accompany the part in accordance with requirements specified by FAR 43.9 (Ref. [FAR 43]. Should this certification be used by a certificated repair station as a maintenance release document in accordance with FAR Part 43 Appendix B, then a statement per Paragraph (b)(4) of that appendix may be entered in this block. (Ref. [FAA 14CFR].)

- 2) The records should include information, either directly or by reference to supporting documentation, which may be helpful to the user or installer in making a final determination as to the airworthiness and eligibility of the part.

Examples of information to be quoted (or attached) are as follows:

- a) Airworthiness Directive status
  - b) Incorporation status of Service Bulletins
  - c) Shelf life data, including manufacturing date or cure date
  - d) Usage restrictions for repaired items
  - e) Shortages applicable to assemblies or kits
  - f) Import or export certification documents
- 3) If a particular part was obtained from any of the following, then it should be so identified:
    - a. Government agency (non-military) or non-FAA certificated aircraft.
    - b. Aircraft or engine subjected to extreme stress or heat, major failure, accident, or fire.
  - 4) If the part has been utilized in operation, then time or cycles should be represented as follows:
    - a. If total time (TSN) on the part is known, then it should be indicated.
    - b. If the part is serialized and "life limited", then both operational time and cycles should be indicated. Historical records that clearly establish and substantiate time and cycles should be evidenced.
    - c. If the part has not been operated, then state as zero.
    - d. If the time since overhaul (TSO) is known, then it should be indicated.
    - e. Previous operator and reasons for removal/sale should be indicated if known.
  - 5) Record any additional information relative to the parts condition such as:
    - a. Condition of the part if it has been subjected to preservatives.
    - b. Usage restrictions for repaired items.
    - c. Shortages if the part is an incomplete assembly.

#### **B. Surplus Parts**

- 1) Should parts be sold as surplus and if their condition and status (per Block 12) is attested to by an FAA certificated person, by virtue of their identification on this certification, then this

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certification can alone suffice to establish such status.

- 2) Should parts be sold as surplus and their condition and status (per block 12) is not attested to by an FAA certificated person, the status of the part should be judged solely on the basis of original documents initiated by an FAA certificated person and the documents should be attached as evidence of such certification.]

### **1.15. Block 13B Obtained From**

State seller's source of purchase. If the seller is an FAA certificated person then it may state "Not Applicable".

### **1.16. Block 13C Last Certificated Agency**

Name the last certificated agency and its certificate number who last performed maintenance on the part.

### **1.17. Block 14 New Parts**

Certifies that the part(s) identified above was (were) manufactured/inspected in accordance with the applicable FAR's and/or established industry or U.S. Specifications.

### **1.18. Block 15 Signature**

Person Qualified and authorized by the organization to sign.

1. New Parts/Material - All persons attesting to such part or material certification should only do so with full awareness that the information provided and written assurance so attested is a certification of the part(s) conformity to approved type design data, its airworthiness, and that such certification is pursuant to privileges as specified by Title 14 of the Code of Federal Regulations as accordingly follows:
  - A. Under 14 CFR Part 21 or applicable U.S. bilateral agreements; As such, this certification constitutes a record of assurance that the part(s) or material(s) were manufactured under a fabrication inspection system which insures that upon completion the specified part(s) or material(s) conform to their type design data and are safe for installation on applicable type certificated products (reference 14 CFR Part 21, Subparts F, G, K, and O).
  - B. Standard parts (such as bolts and nuts) (reference 14 CFR 21.303(b)(4)) conforming to established industry or U.S. specifications should be manufactured under an applicable U.S. established fabrication and inspection system.

### **1.19. Block 16 Name (Typed or Printed)**

Same as appears in the signature block.

### **1.20. Block 17 Date**

Date of signature and part release.

### 1.21. Block 18 Used, Repaired or Overhauled Parts Verification: (Block 12, Status 2 Through 8 Parts)

The following signature attests that the documentation specified above or attached is accurate with regard to the item(s) described. Repaired parts conform and were inspected in accordance with applicable Federal Aviation Regulations in Title 14 of the Code of Federal Regulations and are approved for return to service.

### 1.22. Block 19 Signature

Person qualified and authorized by the organization to sign.

1. Used, Repaired, Overhauled, or Surplus Parts - All persons attesting to such part or material certification should only do so with full awareness that:
  - A. the information provided and certification so attested is a written assurance of the part's or parts' conformity to such information so provided;
  - B. all available information has been reviewed for content and substantiation;
  - C. all information and data provided, in fact, matches the physical part or material;
  - D. all substantiating documents referred to are attached.

**CAUTION:** If a person is unable to attest to any of the above information, then the part/material status as specified at Block 12 "STATUS/WORK" should be deemed "AS IS" in accordance with those definitions.

### 1.23. Block 20 Name (Typed or Printed)

Same as appears in the signature block.

### 1.24. Block 21 Date

Date of signature and part release.

NOTE 1: "Person" means an individual, firm, partnership, corporation, company, association, joint stock ownership or governmental entity. It includes a trustee, receiver, assignee or similar representative of any of them. (Reference 14 CFR Part 1.)

NOTE 2: All information blocks identified with an \* should be filled in. If the information specified, as applicable for that block, by this certification is "UNKNOWN", then so state.