



## European Technical Standard Order Authorisation

### **PR.CERT.00003-003**

	Name	Validation	Date
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Authorised by:	Norbert LOHL	Validated	12/01/2015



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**DOCUMENT CONTROL SHEET****Reference documents****a) Contextual documents**

Certification Specifications - Certification Specifications (EASA website)  
Chicago Convention Annex 10 - Aeronautical Telecommunications (International Standards and Recommended Practices)  
Commission Regulation (EC) 2042/2003 - Commission Regulation (EC) of 20 November 2003 laying down implementing rules for the continuing airworthiness of aircraft and aeronautical products, parts and appliances, and on the approval of organisations and personnel involved in these tasks  
Commission Regulation (EU) 319/2014 - Regulation of 27 March 2014 on the fees and charges levied by the European Aviation Safety Agency Regulation (OJ L93/58, 28.03.2014) and repealing the Regulation (EC) 593/2007  
Commission Regulation (EU) 748/2012 - Commission Regulation (EU) of 3 August 2012 laying down implementing rules for the airworthiness and environmental certification of aircraft and related products, parts and appliances, as well as for the certification of design and production organisation  
ED Decision 2003/02 - On the implementation of airworthiness directives for products, parts and appliances designed in third countries and repealing ED Decision 1/2003 of 26 September 2003  
ED Decision 2003/10/RM - On Certification Specifications, Including Airworthiness Code and Acceptable Means of Compliance, for European Technical Standard Orders (« CS-ETSO »)  
ED Decision 2009/019/R - Amending ED Decision No 2003/12/RM of 5 November 2003 on general acceptable means of compliance for airworthiness of products, parts and appliances (« AMC-20 »)  
ED Decision 2012/020/R - On AMC and GM for the airworthiness and environmental certification of aircraft and related products, parts and appliances, as well as for the certification of design and production organisations  
ED Decision 2014/116/E - On the delegation of powers of the Executive Director to certain staff members of the Agency's Certification Directorate  
MB Decision 01-2004 - Decision of the Management Board of 3rd of February 2004 concerning the arrangements to be applied by the Agency for public access to documents  
MB Decision 01-2011 - Decision of the Management Board of 15 March 2011 on adopting the guidelines for the allocation of certification tasks to NAAs and QEs  
MB Decision 12-2007 - Decision of 1 Oct 07 of the Management Board concerning the general principles related to the certification procedures to be applied by the Agency for the issuing of certificates for products parts and appliances (hereinafter referred to as PCP Decision)  
PO.HR.00180 - Code of Conduct for the staff of EASA  
Regulation (EC) 1049/2001 - Regulation (EC) of the European Parliament and of the Council of 30 May 2001 regarding public access to European Parliament, Council and Commission documents  
Regulation (EC) 216/2008 - Regulation of European Parliament and of Council of 20 Feb. 2008 on common rules in the field of civil aviation and establishing a European Aviation Safety Agency and repealing Council Directive 91/670/EEC, Regulation (EC) 1592/2002 and Directive 2004/36/EC  
UG.CERT.00002 - Certification Handbook

**b) Internal documents**

FO.CERT.00021 - Technical visa for ETSOA  
FO.CERT.00034 - Application for European Technical Standard Order Authorisation  
FO.CERT.00022 - Assignment request - Fees and Charges project  
TE.CERT.00045 - CS-ETSO Deviation Consultation CRD  
TE.CERT.00046 - CS-ETSO Deviation Request Consultation Paper (DRCP)  
TE.CERT.00047 - Request for publication of CS-ETSO deviation





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TE.CERT.00078 - EASA / NAA Expert Statement of Technical Satisfaction  
TE.CERT.00092 - ETSO-authorisation certificate  
WI.CERT.00005 - Decisions and signatures for certification  
WI.CERT.00012 - Electronic application review & task assignment  
WI.IMS.00064 - Records management within P&A section

**Abbreviations/Definitions**

ADOA: Alternative Procedure to Design Organisation Approval  
AMC: Acceptable Means of Compliance  
APU: Auxiliary Power Unit  
DDP: Declaration of Design and Performance  
DOA: Design Organisation Approval  
DOAM: Design Organisation Approval Manager  
DRCP: Deviation Request Consultation Paper  
EASA: European Aviation Safety Agency  
ED: EASA Executive Director  
ETSO: European Technical Standard Order  
ETSOA: European Technical Standard Order Authorisation  
ETSOAP: European Technical Standard Order Authorisation Procedure  
ETSOM: ETSO-Managers NAA  
GM: Guidance Material  
Internal party: EASA staff  
JTSO: Joint Technical Standard Order  
LoA: Letter of Agreement (Production according to Part 21 Subpart F)  
MB: Management Board  
NAA: National Aviation Authority  
P&A: Parts and Appliances  
PE: Panel of Experts  
PCM P&A: Project Certification Manager P&A  
POA: Production Organisation Approval  
POAM: Production Organisation Approval Manager  
SoS: Statement of Satisfaction  
TCP: Type Certification Procedure  
TIP: Technical Implementation Procedure  
TSO: Technical Standard Order

**Log of issues**

Issue	Issue date	Change description
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001	21/07/2010	First issue, migration of C.P007-01
002	01/09/2014	Issue 002. Migration of PR.ETSOA.00001-001 in compliance with Convergence project.
003	12/01/2015	Issue 003. Update and simplification of procedure





## INTRODUCTION

### Purpose and scope

This document describes how EASA processes European Technical Standard Order Authorisation (ETSOA) approvals and related tasks.

This procedure applies to ETSO-Authorisations, changes thereto, and approvals of deviation from any performance standard of an ETSO in accordance with Subpart O of Annex Part 21 to Commission Regulation (EU) No. 748/2012. This procedure also includes the performance of ETSO-Authorisations of non-EU products and describes how EASA will handle the suspension or revocation of certificates according to Annex Part 21 of Commission Regulation (EU) No. 748/2012.

### Legal framework

#### 1. Issuance of ETSO-authorisations

According to Articles 53(1), 18(d) and 20(1) (g) of Regulation (EC) No. 216/2008 of the European Parliament and of the Council of 20 February 2008 on common rules in the field of civil aviation and establishing a European Aviation Safety Agency repealing Regulation (EC) 1592/2002 (hereinafter referred to as “the Basic Regulation”), the EASA Management Board shall establish transparent procedures for taking individual decisions for airworthiness and environmental certification.

Under these provisions, the Management Board adopted Decision No. 12/2007 of 01 October 2007 of the Management Board amending Decision No 07/2004 of the Management Board concerning the general principles related to the certification procedures to be applied by the Agency for the issuance of certificates for products, parts and appliances (hereinafter referred to as “MB Decision 12/2007”).

According to its Article 1(1), the objective of MB Decision 12/2007 is “to establish the general principles to be followed by the Agency to perform environmental and airworthiness certification of aeronautical products, parts and appliances, including post certification activities, in accordance with the applicable implementing rules of the Basic Regulation”.

Article 15 of MB Decision 12/2007 mandates the Executive Director to “establish the necessary associated detailed procedures for the implementation of this Decision [...]”. This procedure has been adopted under this mandate.

ETSO-Authorisations, changes thereto and approvals of deviation from any performance standard of an ETSO shall be issued in accordance with the provisions of:

- \* Regulation (EC) No. 216/2008, in particular its Annex I;
- \* Commission Regulation (EU) No. 748/2012 of 03 August 2012 laying down implementing rules for the airworthiness and environmental certification of aircraft and related products, parts and appliances, in particular Subpart O of its Annex 1 Part 21.A, and the related Acceptable Means of Compliance (“AMC”) and Guidance Material (“GM”);
- \* related ED Decisions on the acceptable Certification Specification and Acceptable Means of Compliance;
- \* MB Decision 12/2007
- \* this European Technical Standard Order Authorisation Procedure

Rights and obligations derived from applicable bilateral agreements as specified in Article 12 of the Basic Regulation shall not be affected.

#### 2. Applicable Fees

Applicants for ETSOA will be charged in accordance with the Commission Regulation (EU) on the fees and charges levied by the European Aviation Safety Agency in force at the time of receipt of the application. Further details on the applicable fees can be found on the EASA website.



**Basic Principles****1. Application**

Applications for an EASA ETSO-Authorisation shall be sent to the Certification & Approval Support Department and made in accordance with Article 21A.603 of Annex Part 21 to Commission Regulation (EU) No. 748/2012 and MB Decision 12/2007. The application form can be found on the EASA website.

**2. Attribution of Technical Investigation Tasks**

After eligibility has been fully assessed and the application has been accepted by the Agency in accordance with Article 4 of MB Decision 12/2007, the Parts & Appliances Section Manager, or the Propulsion Section Manager in case of APU, will nominate the PCM. The selected PCM/team members will be informed by the Applications Management Section in writing, including the total/individual workload estimate. A tolerance of 30% of overbooking of the total estimated number of working hours is provided for.

**3. Certification Team**

The Parts & Appliances Section Manager, or the Propulsion Section Manager in case of an APU, will nominate a Project Certification Manager – Parts & Appliances (PCM P&A) for the investigation to be performed. The PCM P&A may request the assistance of experts for the assessment of specific elements of the application.

**4. Issuance of ETSO-Authorisation**

Upon completion of the technical investigation and acceptance of proposed deviations, if any, in accordance with Article 21.A.610 of Annex 1 Part 21 to Commission Regulation (EU) No. 748/2012, the PCM P&A will submit the technical visa to the Applications Management Section to generate the ETSOA certificate and forward it to the Parts & Appliances Section Manager for signature. In case of expert involvement, the PCM P&A shall receive a Statement of Satisfaction (SoS) from the concerned expert(s).

Note: the issuance of certificates for APUs is fully handled by the Project Certification Manager - Propulsion.

**5. Design and Production Organisation Approval**

The PCM P&A shall ensure appropriate communication with the responsible DOA team leader in order to exchange any findings by the Certification team which may affect the continuous validity of the design organisation approval of the applicant.

If necessary, the PCM P&A will contact the competent authority (NAA focal point responsible) for the POA in order to ensure appropriate communication.

**6. Continuing Airworthiness**

The PCM P&A shall organise continuing airworthiness actions in accordance with Article 12 of MB Decision 12/2007. For further details, refer to EASA Procedures on Continuing Airworthiness of Type Design, on Alternative Means of Compliance to AD and on Safety Information Bulletin. For foreign equipment approvals, continuing airworthiness actions will be performed in accordance with the procedures of the relevant bilateral (recognition) agreement with the State of Design, if any.

**7. Reporting System**

Article 21.A.3 of Annex 1 Part 21 to Commission Regulation (EU) No. 748/2012 details the ETSO-Authorisation holders responsibilities regarding reporting to EASA. For further details, reference is made to EASA Procedure on Continuing Airworthiness of Type Design.

Such reports need to be made in a form and a manner as defined in the approved company procedure contained in the Organisation Exposition of the POA holder, ADOA holder or DOA holder.

**8. Panel of Experts**



A Panel of Experts (PE) which comprises experts with extensive technical knowledge and experience necessary for ETSO-Authorisations has been established by EASA in accordance with Article 16 of MB Decision 12/2007. For detailed information on the PE please consult the EASA Certification Handbook.

The PEs are available for advice on technical certification principles and technical interpretation of the implementing rules of the Basic Regulation, technical standardisation and technical training ensuring appropriate technical certification knowledge within EASA. They may also act as team members, however respecting then that their roles do not conflict.

The experts shall notify any possible conflict of interest. In such cases they shall abstain from participating in the deliberations of the PE.

## 9. Resolution of Disagreements

According to Article 18(1) of MB Decision 12/2007, every effort shall be made to resolve all kind of disagreements concerning issues between the applicant and the EASA at the lowest possible level.

The EASA Team will be the primary decision maker in the process under the supervision of the PCM P&A. The EASA Team shall have the ability and power to take the first decisions to the largest possible extent. If the Applicant does not agree with the EASA Team decision, the Parts & Appliances Section Manager as a first step, and the responsible Head of Propulsion, Parts & Appliances Department afterwards, will try to reach a mutually acceptable resolution. If an agreement still cannot be reached, the matter will be brought to the Certification Director who will take a decision thereto.

Following Article 18(2)(3)(4) of MB Decision 12/2007, if further escalation is necessary the final decision will be made by the EASA Executive Director, following consultation with the PE. In this case the Applicant shall have the right to be heard by the PE. The opinion of the PE will be communicated to the Applicant together with the final decision.

For further details on the Certification Directorate's internal process for resolution of disagreements on technical matters, refer to the EASA Certification Handbook.

## 10. Involvement of the Legal Department

For further details, refer to EASA Work Instruction on Requests for Legal Advice for Certification.

## 11. Limitation, Suspension and Revocation

When an ETSO-Authorisation shall be limited, suspended or revoked in accordance with Article 20(1)(i) of the Basic Regulation and Article 13 of MB Decision 12/2007, the Agency shall notify by letter the holder of the ETSO-Authorisation and all States which approved the article concerned of its decision and the reasons therefore (ref. IC 17 Notification of limitation, suspension or revocation). This letter will make reference to the possibility for appeal as specified in Articles 44 to 50 of the Basic Regulation.

## 12. Transfer and Surrender

An ETSO authorisation issued under Annex 1 Part 21, Section A, Subpart O to Commission Regulation (EU) No. 748/2012 is not transferable, except for a change in ownership of the holder in accordance with Article 21.A.621 of Annex 1 Part 21 to Commission Regulation (EU) No. 748/2012. Optionally, the ETSOA holder may ask for a revised ETSOA certificate through EASA Form 38 - Application for Transfer of Certificate. Upon surrender of an ETSOA, the certificate shall be returned to the agency in accordance with the applicable provisions of Article 21. A.619 (b) of Annex Part 21 to Commission Regulation (EU) No. 748/2012.

## 13. Approval of e.g. foreign TSOs

For the approval of equipment originating from applicants whose principal place of business is located outside the territory of the Member States, other procedures than those described above may apply depending on the content of bilateral (recognition) agreements or working arrangements with the State of Design.

### 13.1. Approval of e.g. foreign TSOs under a formal agreement with the State of Design



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In the case of a formal bilateral (recognition) agreement between the Community and a third country in accordance with Article 12 of the Basic Regulation, this agreement including the associated Technical Implementation Procedure (TIP) may supplement, change or supersede any applicable European legislation and related procedures.

In this case the EASA certification may be called validation and it is assumed that the imported equipment shall meet, with the same level of confidence, a level of safety equivalent to that required for comparable equipment designed and manufactured within EASA Member States.

#### 13.2. Approval of e.g. foreign TSOs under a working arrangement with the State of Design

In the case of a working arrangement between EASA and the competent authority of a third country in accordance with Article 27 of the Basic Regulation, the provisions of the WA shall apply.

#### 14. Communication and Publication

Significant decisions affecting the result of the certification procedure shall be communicated by EASA to the Applicant in writing, including a reference to the possibility for appeal according to Articles 44 to 50 of the Basic Regulation, as established in MB Decision 12/2007. Pursuant to Article 14 of MB Decision 12/2007, EASA decisions related to the issuing, modification, limitation, suspension or revocation of ETSO-Authorisations shall be published in the EASA Official Publication.

The following lists are published in the EASA Official Publication:

- \* List of ETSO Authorisations issued since 28 September 2003 by EASA and JTSO Authorisations issued prior to 28, September 2003 and transferred to EASA
- \* List of parachutes approvals issued by, NAAs prior to EASA,
- \* Summary of ETSO approved deviations,
- \* Summary of ETSO rejected deviations.

#### 15. Confidentiality of Documents

All documents and information received and held by EASA related to the certification procedure which originates from the Approval Holder/Applicant or a third party will be handled in accordance with:

- \* Basic Regulation,
- \* Regulation (EC) No. 1049/2001 of the European Parliament and of the Council of 30 May 2001 regarding public access to European Parliament, Council and Commission documents,
- \* Decision No. 1/2004 of 3 February 2004 of the Management Board concerning the arrangements to be applied by the Agency for public access to documents, and
- \* Regulation (EC) No. 45/2001 of the European Parliament and of the Council of 18 December on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data.

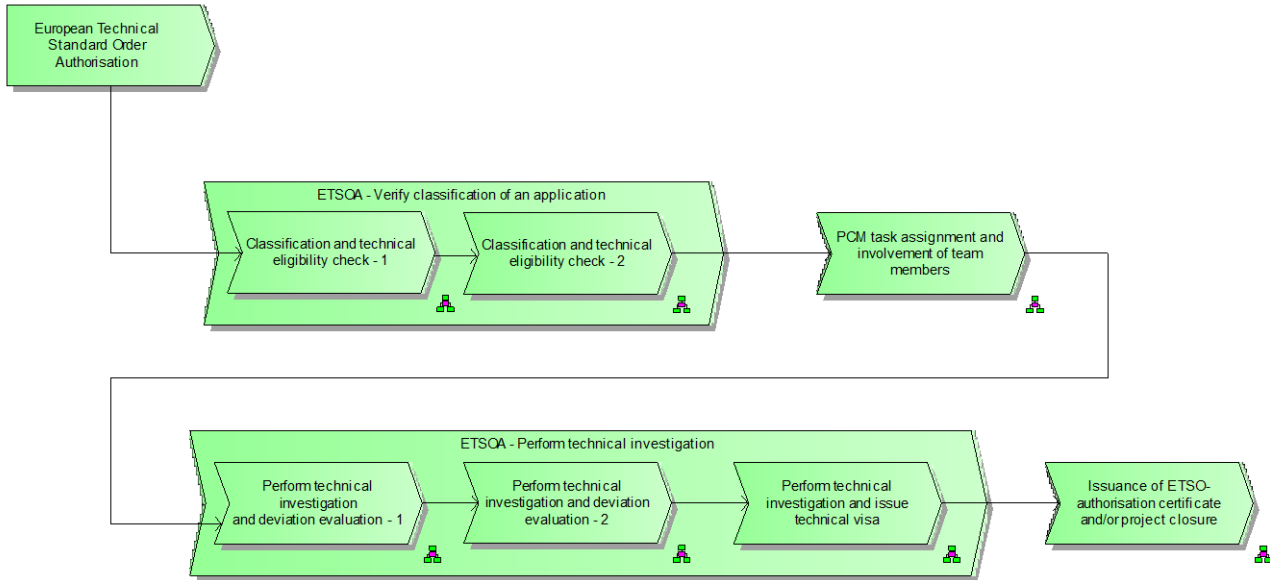






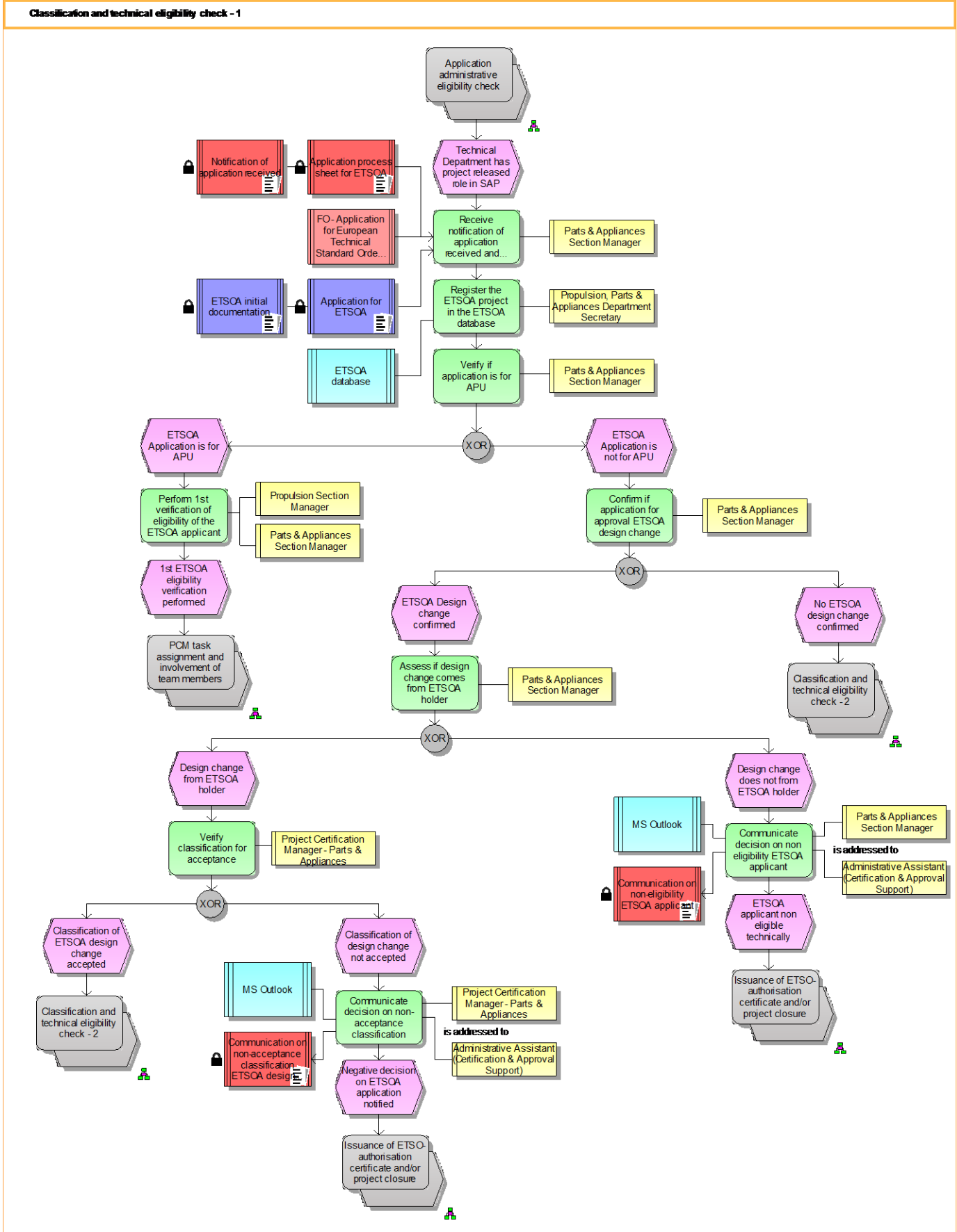
Structure of process charts

European Technical Standard Order Authorisation





Classification and technical eligibility check - 1





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Activity	Description to the process activity
Receive notification of application received and process sheet	Applications for an EASA ETSO-Authorisation shall be sent to the Certification & Approval Support Department and made in accordance with Article 21.A.603 of Annex 1 Part 21 to Commission Regulation (EU) No. 748/2012 and MB Decision 12/2007.
Perform 1st verification of eligibility of the ETSOA applicant	The Parts & Appliances Section Manager, together with the Propulsion Section Manager in case of an application for an Auxiliary Power Unit (APU), shall make a first check on eligibility according to Commission Regulation (EU) No. 748/2012, Annex 1 Part 21 and will determine how it will proceed with the application communicating this, together with the applicable requirements, to the Applicant within the month following receipt of the correct application.
Register the ETSOA project in the ETSOA database	<p>For new projects, the responsible Secretary of the Propulsion, Parts &amp; Appliances Department will register the project and all relevant information in the ETSOA database under the EASA/SAP project number.</p> <p>Applications for approval of major change to previously issued ETSO-authorisations are considered to be applications for new authorisations under Articles 21.A.603 and 21.A.611(b) of Annex 1 Part 21 to Commission Regulation (EU) No. 748/2012 and shall be registered as such in the ETSOA database.</p> <p>Where a minor change to a previously approved ETSO-authorisation certificate is deemed necessary by the Agency, the minor change shall be registered into the ETSOA database as a separate record, the old record will be marked as superseded.</p>
Verify if application is for APU	---
Confirm if application for approval ETSOA design change	---
Assess if design change comes from ETSOA holder	---
Verify classification for acceptance	<p>The PCM P&amp;A will review the minor changes to verify the classification.</p> <p>The PCM P&amp;A will acknowledge receipt of minor changes identified by the ETSOA holder in accordance with Article 21.A.611(a) of Annex 1 Part 21 to Commission Regulation (EU) No. 748/2012.</p>
Communicate decision on non-acceptance classification	Communicate decision on non-acceptance classification and reasons thereto to the Applications Management Section to enable the Applications Management Section to notify the applicant that the classification is not accepted by EASA and that the application will be processed as an application for major change if applied for by ETSOA Holder or if not, the application will be considered to be a new application.
Communicate decision on non eligibility ETSOA applicant	---

**Internal Process Interfaces**

Application administrative eligibility check  
PCM task assignment and involvement of team members





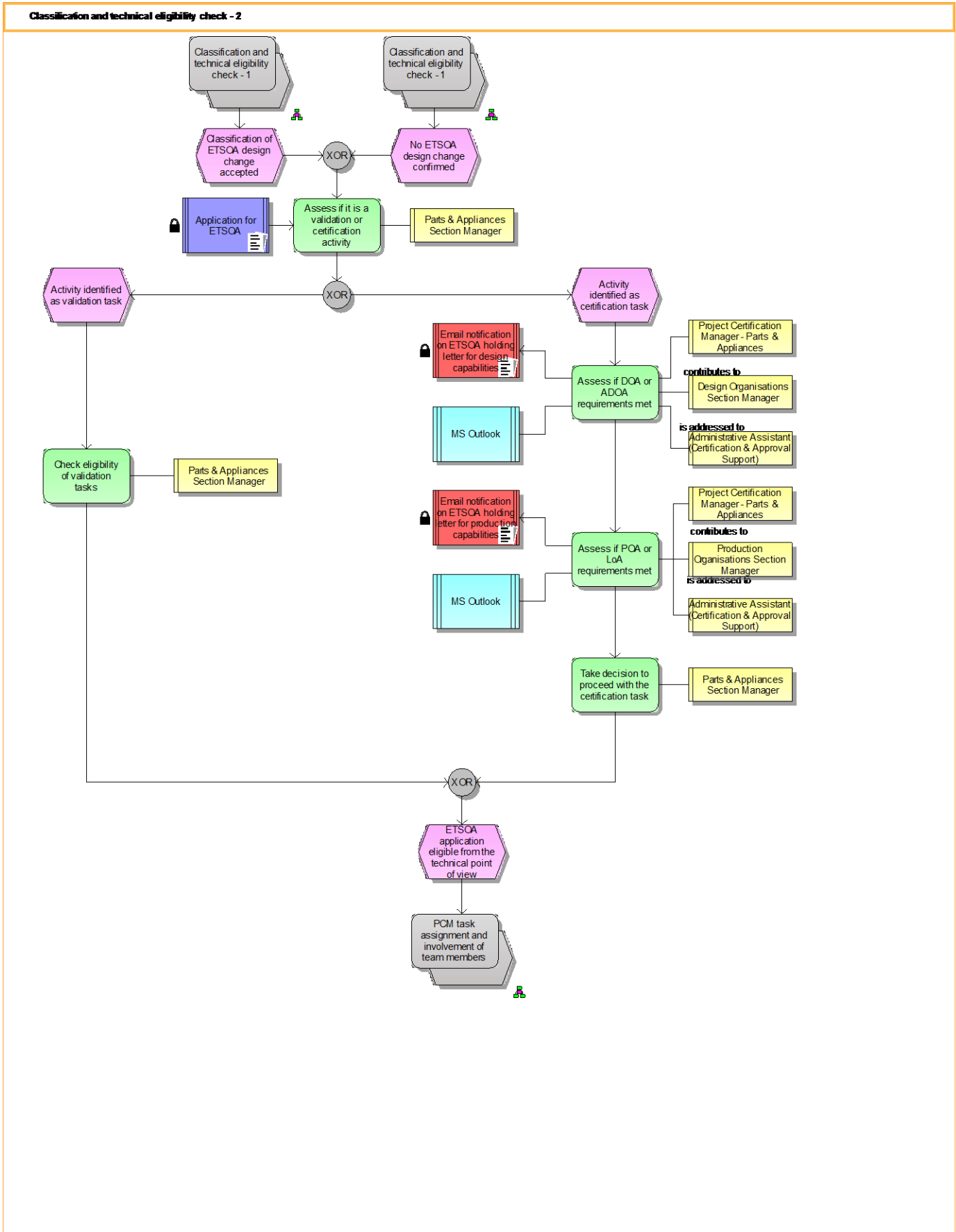
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Classification and technical eligibility check - 2  
Issuance of ETSO-authorisation certificate and/or project closure







Activity	Description to the process activity
Assess if it is a validation or certification activity	For further details, refer to Chapter "13. Approval of e.g. Foreign TSOs" of this procedure
Check eligibility of validation tasks	<p>The Parts &amp; Appliances Section Manager shall check whether a Bilateral Agreement with the SoD and an EASA approved POA/LoA and DOA/APDOA is in place.</p> <p>If so, the Parts &amp; Appliances Section Manager takes the decision to proceed with the Certification task in accordance with the Bilateral Agreement.</p>
Assess if DOA or ADOA requirements met	<p>The PCM P&amp;A will check the application for eligibility in accordance with Article 21.A.602A of Annex 1 Part 21 to Commission Regulation (EU) No. 748/2012. The demonstration of capability for design required in Article 21.A.602B(b) of Annex 1 Part 21 to Commission Regulation (EU) No. 748/2012 will be assessed by the Design Organisations Section Manager. The PCM P&amp;A will co-ordinate with the Design Organisations Section Manager to have such demonstration established on time and prior to ETSO-authorisation.</p> <p>Should the Applicant not have demonstrated its capabilities for design, the PCM P&amp;A will inform Applications Management Section. The Applications Management Section will then send a Holding Letter to the Applicant, requesting the Applicant to submit to the Agency an application for ADOA or DOA, depending on the case. The process will be put on hold until such an application has been received. The PCM P&amp;A shall check with the Design Organisations Section Manager if an application for DOA or ADOA is received. Although the ETSO-Authorisation process may be continued upon receipt of evidence that the Applicant has made an application for ADOA or DOA as appropriate, the ETSO-Authorisation may only be issued once the ADOA or DOA has been granted.</p>
Assess if POA or LoA requirements met	<p>The PCM P&amp;A will check the applications for eligibility in accordance with Article 21.A.602A of Annex 1 Part 21 to Commission Regulation (EU) No. 748/2012. For the demonstration of capability for production, the PCM P&amp;A will check the existence of a Part 21 production approval under Subpart F or G, or co-ordinate with the responsible competent authority in order to have such approval issued on time and prior to the issuance of the ETSOA.</p> <p>Should the Applicant not have demonstrated its capabilities for production, the PCM P&amp;A will notify the Applications Management Section. The Applications Management Section will then send a Holding Letter to the Applicant, requesting the Applicant to submit to the competent NAA an application for POA or LoA (production according to Annex 1 Part 21 Subpart F). The process will be put on hold until such an application has been received. The PCM P&amp;A shall check with the POA Section if EASA Form NR 50 has been received. Although the ETSO-Authorisation process may be continued upon receipt of evidence that the Applicant has made an application for POA or LoA (production according to Annex 1 Part 21 Subpart F), the ETSO-Authorisation may only be issued once the POA or LoA (production according to Annex 1 Part 21 Subpart F) has been granted.</p>
Take decision to proceed with the certification task	---





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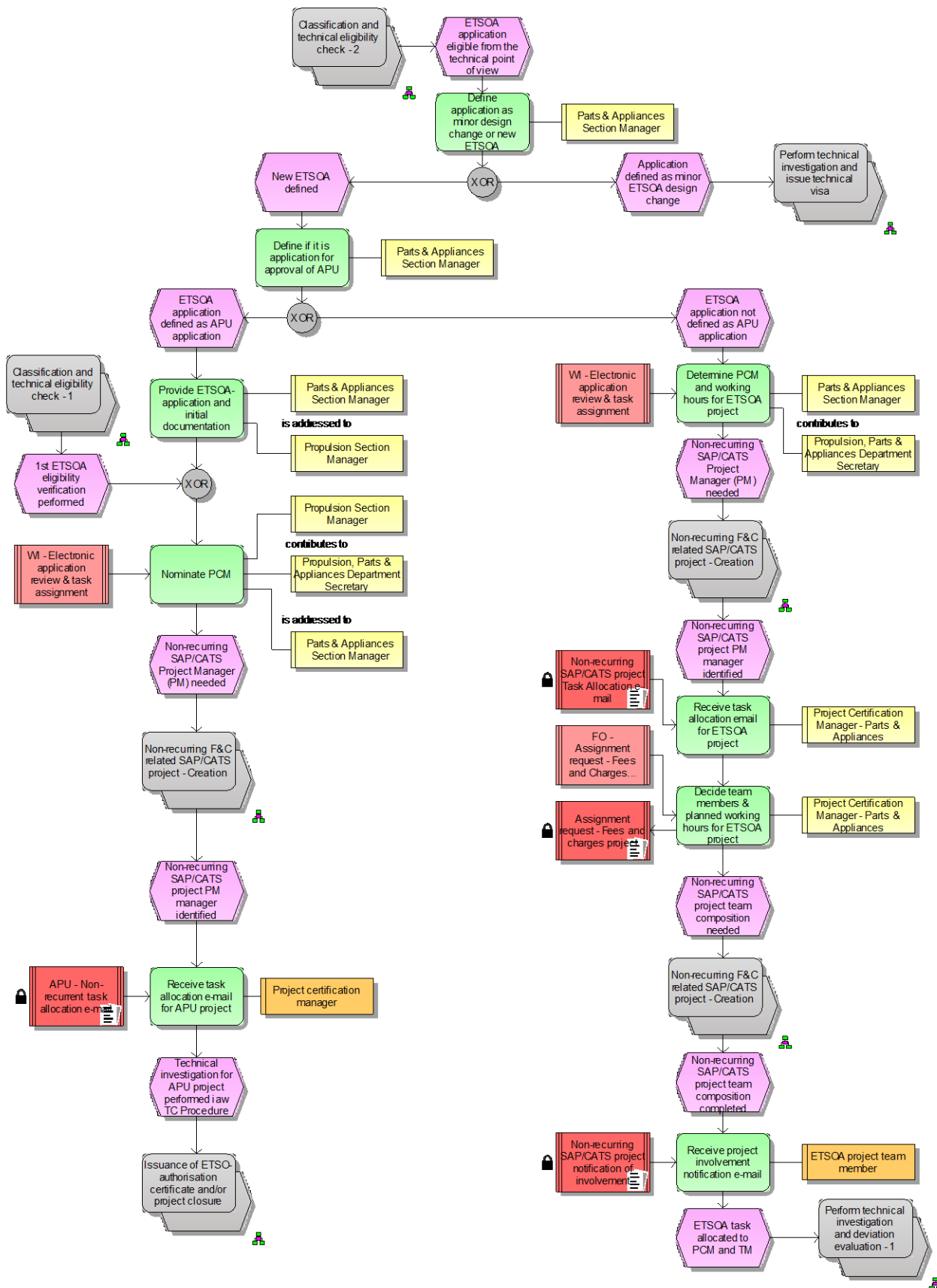
**Internal Process Interfaces**

Classification and technical eligibility check - 1  
PCM task assignment and involvement of team members





PCM task assignment and involvement of team members







<b>Activity</b>	<b>Description to the process activity</b>
Define if it is application for approval of APU	---
Provide ETSOA- application and initial documentation	The Parts & Appliances Section Manager shall provide the Propulsion Section Manager with the ETSOA application and initial documentation.
Define application as minor design change or new ETSOA	---
Nominate PCM	The Propulsion Section Manager nominates the PCM, estimates the required working hours and informs the Parts & Appliances Section Manager and the responsible Secretary of the Propulsion, Parts & Appliances Department accordingly. The responsible Secretary of the Propulsion, Parts & Appliances Department will then, on behalf of the Parts & Appliances Section Manager, assign the selected PCM and planned working hours to the ETSOA project in SAP. All cost related information will be registered into the ETSOA database (i.e. estimated number of working hours to perform technical investigation, kind / value of equipment).
Determine PCM and working hours for ETSOA project	The Parts & Appliances Section Manager nominates the PCM, estimates the required working hours and informs the responsible Secretary of the Propulsion, Parts & Appliances Department accordingly. The responsible Secretary of the Propulsion, Parts & Appliances Department will then, on behalf of the Parts & Appliances Section Manager, assign the selected PCM and planned working hours to the ETSOA project in SAP. All cost related information will be registered into the ETSOA database (i.e. estimated number of working hours to perform technical investigation, kind / value of equipment).
Receive task allocation e-mail for APU project	---
Receive task allocation email for ETSOA project	---
Decide team members & planned working hours for ETSOA project	The PCM shall inform the responsible Secretary of the Propulsion, Parts & Appliances Department about the team composition and planned working hours. On behalf of the Parts & Appliances Section Manager, the responsible Secretary of the Propulsion, Parts & Appliances Department will assign the team members to the ETSOA project in SAP and inform the Parts & Appliances Section Manager accordingly.
Receive project involvement notification e-mail	---

**Internal Process Interfaces**

Classification and technical eligibility check - 2  
 Classification and technical eligibility check - 1  
 Non-recurring F&C related SAP/CATS project - Creation  
 Perform technical investigation and issue technical visa  
 Issuance of ETSO-authorisation certificate and/or project closure





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Perform technical investigation and deviation evaluation - 1





Perform technical investigation and deviation evaluation - 1





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Activity	Description to the process activity
Review application for ETSOA, DDP or deviation request letter	<p>The request for approval to deviate from any performance standard of an ETSO may be submitted to the Agency at the time of application for ETSO-Authorisation by listing the deviation(s) on the ETSOA application form and by providing a description of the design features providing an equivalent level of safety.</p> <p>Alternatively, the request may be submitted later in the process when the need for approval of deviation becomes available through a separate letter listing the deviations and containing a description of the design features providing an equivalent level of safety. In this case, applications for deviations may be submitted directly to the PCM P&amp;A, who will review them and inform the Parts &amp; Appliances Section Manager.</p>
Perform technical investigation for ETSOA	<p>The PCM P&amp;A will:</p> <ul style="list-style-type: none"> <li>* participate in a familiarisation meeting (optional),</li> <li>* accept Certification Basis applied for after its verification,</li> <li>* verify that all data required by 21.A.605 have been submitted,</li> <li>* manage the compliance finding process including,               <ul style="list-style-type: none"> <li>* evaluate the documents provided by the Applicant for compliance with ETSO,</li> <li>* involve software expert / expert for software/hardware quality assurance:                   <ul style="list-style-type: none"> <li>* perform audits for software / hardware qualification,</li> <li>* review design process report (software / complex hardware),</li> </ul> </li> <li>* review test plan / compliance demonstration plan, i.e. verify whether the Applicant has a correct understanding of the testing requirements,</li> <li>* review test (test witnessing, test reports),</li> <li>* review compliance report and matrix (crosscheck compliance finding against each requirement),</li> <li>* request and review nameplate,</li> <li>* review DDP,</li> <li>* review manuals (installations / operations),</li> <li>* request missing information,</li> <li>* participate in technical discussions,</li> </ul> </li> <li>* close the project in database,</li> <li>* verification whether POA or LoA (production according to Annex 1 Part 21 Subpart F) exists and capability list covers application.</li> </ul> <p>In case of ETSOA applications from non EU countries under the umbrella of a bilateral agreement or working arrangement, the PCM P&amp;A shall follow the specific procedures specified in the applicable agreement or arrangement.</p>
Check if a deviation iaw Art. 21.A.610 has been applied for	<p>Deviations must be applied for according to Article 21.A.610 of Annex 1 Part 21 to Commission Regulation (EU) No. 748/2012.</p>
Check if requested deviation is already agreed to	<p>In accordance with Article 3(2) of MB Decision 12/2007, deviations from the applicable airworthiness codes, environmental protection certification specifications and/or acceptable means of compliance with Annex 1 Part 21, as well as important special conditions and equivalent safety findings, shall be submitted to the Panel of Experts and be subject to a public consultation of at least</p>





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	<p>3 weeks, except if they have been previously agreed and published in the Official Publication of the Agency. The final decision shall be published in the Official Publication of the Agency.</p> <p>The document "Approved Deviations for CS-ETSO" shall be used for this purpose. This document lists the deviations that have been accepted by the Agency on Industry request following a public consultation in accordance with Article 3(2) of MB Decision 12/2007.</p>
Check if requested deviation is already published	<p>In accordance with Article 3(2) of MB Decision 12/2007, deviations from the applicable airworthiness codes, environmental protection certification specifications and/or acceptable means of compliance with Annex 1 Part 21, as well as important special conditions and equivalent safety findings, shall be submitted to the Panel of Experts and be subject to a public consultation of at least 3 weeks, except if they have been previously agreed and published in the Official Publication of the Agency. The final decision shall be published in the Official Publication of the Agency.</p> <p>The document "Approved Deviations for CS-ETSO" shall be used for this purpose. This document lists the deviations that have been accepted by the Agency on Industry request following a public consultation in accordance with Article 3(2) of MB Decision 12/2007.</p>
Draft Deviation Request Consultation Paper	---
Initiate Internal consultation on draft DRCP	<p>In accordance with Article 3(2) of MB Decision 12/2007, deviations from the applicable airworthiness codes, environmental protection certification specifications and/or acceptable means of compliance with Part 21, as well as important special conditions and equivalent safety findings, shall be submitted to the Panel of Experts.</p>
Modify draft DRCP further to review comments	---
Request applicant to approve final draft DRCP	<p>The PCM P&amp;A review the comments and modify draft deviation publication, where required, prior to proceeding with its publication for public consultation.</p>
Publish Deviation Request Consultation Paper	<p>In accordance with Article 3(2) of MB Decision 12/2007, deviations from the applicable airworthiness codes, environmental protection certification specifications and/or acceptable means of compliance with Annex 1 Part 21, as well as important special conditions and equivalent safety findings, shall be subject to a public consultation of at least 3 weeks.</p>

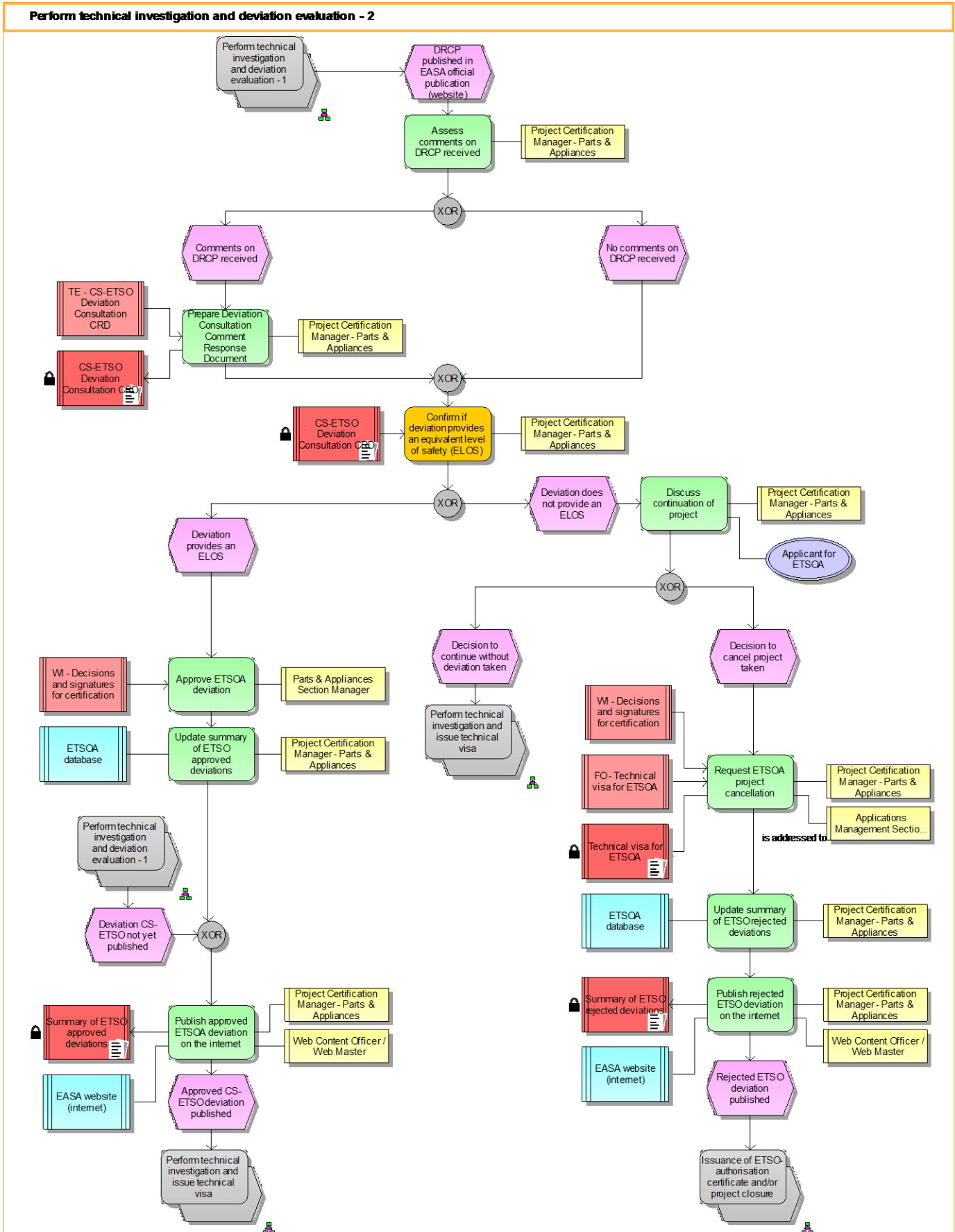
**Internal Process Interfaces**

- PCM task assignment and involvement of team members
- Perform technical investigation and issue technical visa
- Perform technical investigation and deviation evaluation - 2





Perform technical investigation and deviation evaluation - 2





<b>Activity</b>	<b>Description to the process activity</b>
Prepare Deviation Consultation Comment Response Document	---
Assess comments on DRCP received	---
Confirm if deviation provides an equivalent level of safety (ELOS)	---
Approve ETSOA deviation	The deviation is approved through the issuance of the ETSO-Authorisation certificate.
Update summary of ETSO approved deviations	---
Discuss continuation of project	Should the PCM P&A come to the conclusion that the deviation does not provide an ELOS, a discussion should take place with the applicant whether the project shall be continued without the requested deviation.
Publish approved ETSOA deviation on the internet	---
Request ETSOA project cancellation	<p>1. Should the applicant agree to cancel the project, the Parts &amp; Appliances Section Manager will inform the Applications Management Section accordingly. The Applications Management Section will proceed with the fees and charges invoicing process through SAP.</p> <p>2. Should the applicant not agree, the Parts &amp; Appliances Section Manager may nevertheless decide to cancel the project based on the conclusion that the deviation does not provide an ELOS. In this case, the Parts &amp; Appliances Section Manager will request the Applications Management Section to notify this decision in writing to the Applicant together with the reasons thereto, including a reference to the possibility for appeal as specified in Articles 44 to 50 of the Basic Regulation. The negative decision template approved by the Legal Department shall be used. Any time the process user deviates from the template already approved, the Legal Department shall be consulted again.</p> <p>Archive proof.</p> <p>The Applications Management Section will proceed with the fees and charges invoicing process through SAP.</p>
Update summary of ETSO rejected deviations	---
Publish rejected ETSO deviation on the internet	---

**Internal Process Interfaces**

Perform technical investigation and deviation evaluation - 1  
 Perform technical investigation and issue technical visa





European Technical Standard Order  
Authorisation

Doc #  
Approval Date

PR.CERT.00003-003  
12/01/2015

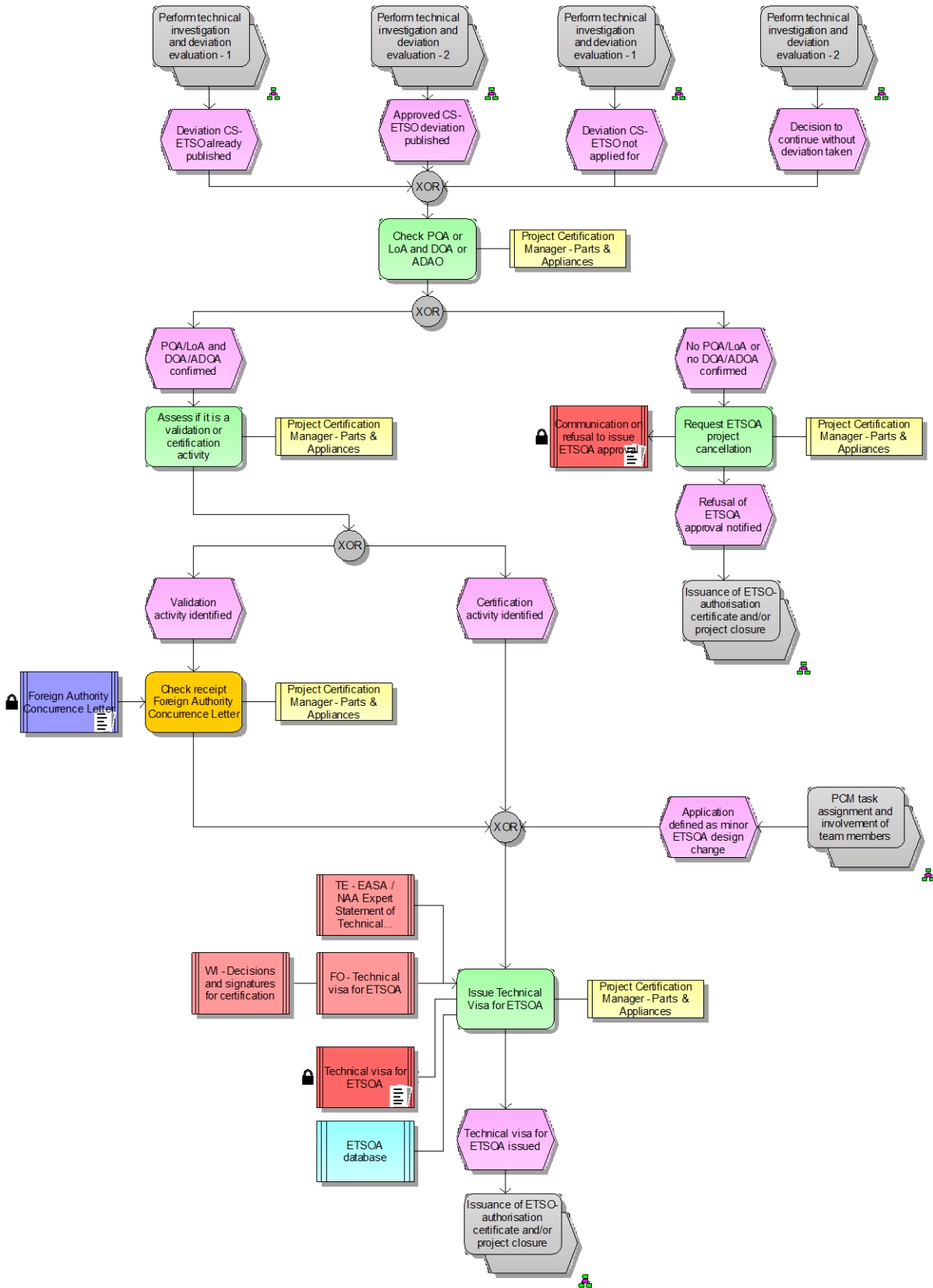
Issuance of ETSO-authorisation certificate and/or project closure







Perform technical investigation and issuance of technical visa





<b>Activity</b>	<b>Description to the process activity</b>
Assess if it is a validation or certification activity	For further details, refer to Chapter Basic Principles - 14. Approval of e.g. Foreign TSOs of this procedure
Check POA or LoA and DOA or ADAO	Check: * DOA or ADOA capability, * the PCM P&A will check whether the DOAM has confirmed that DOA or ADOA exists and capability list covers application, * POA capability, * the PCM P&A will check whether the POAM has confirmed that POA or LoA (production according to Annex 1 Part 21 Subpart F exists) and capability list covers application.
Check receipt Foreign Authority Concurrence Letter	The process cannot proceed until the concurrence letter has been received. In the event the concurrence letter has not been received by the Agency, the PCM P&A shall request assistance from the applicant for obtaining Foreign Authority Concurrence Letter.
Request ETSOA project cancellation	In case of refusal of an ETSO-Authorisation, the Parts & Appliances Section Manager will request the Applications Management Section to notify this decision in writing to the Applicant together with the reasons thereto, including a reference to the possibility for appeal as specified in Articles 44 to 50 of the Basic Regulation. The negative decision template approved by the Legal Department shall be used. Any time the process user deviates from the template already approved, the Legal Department shall be consulted again. Archive proof. The Applications Management Section will proceed with the fees and charges invoicing process through SAP.
Issue Technical Visa for ETSOA	If a minor change to the previously issued ETSO-Authorisation certificate is deemed necessary by the Agency, this minor change shall be issued as a revision to the original ETSO-Authorisation certificate. A revised ETSO-Authorisation certificate shall retain its original ETSO-Authorisation certificate number with the addition of the revision number, e.g. Rev. A, Rev. B, etc.  If applicable, the PCM P&A shall check the availability of the Expert Statement of Technical Satisfaction.

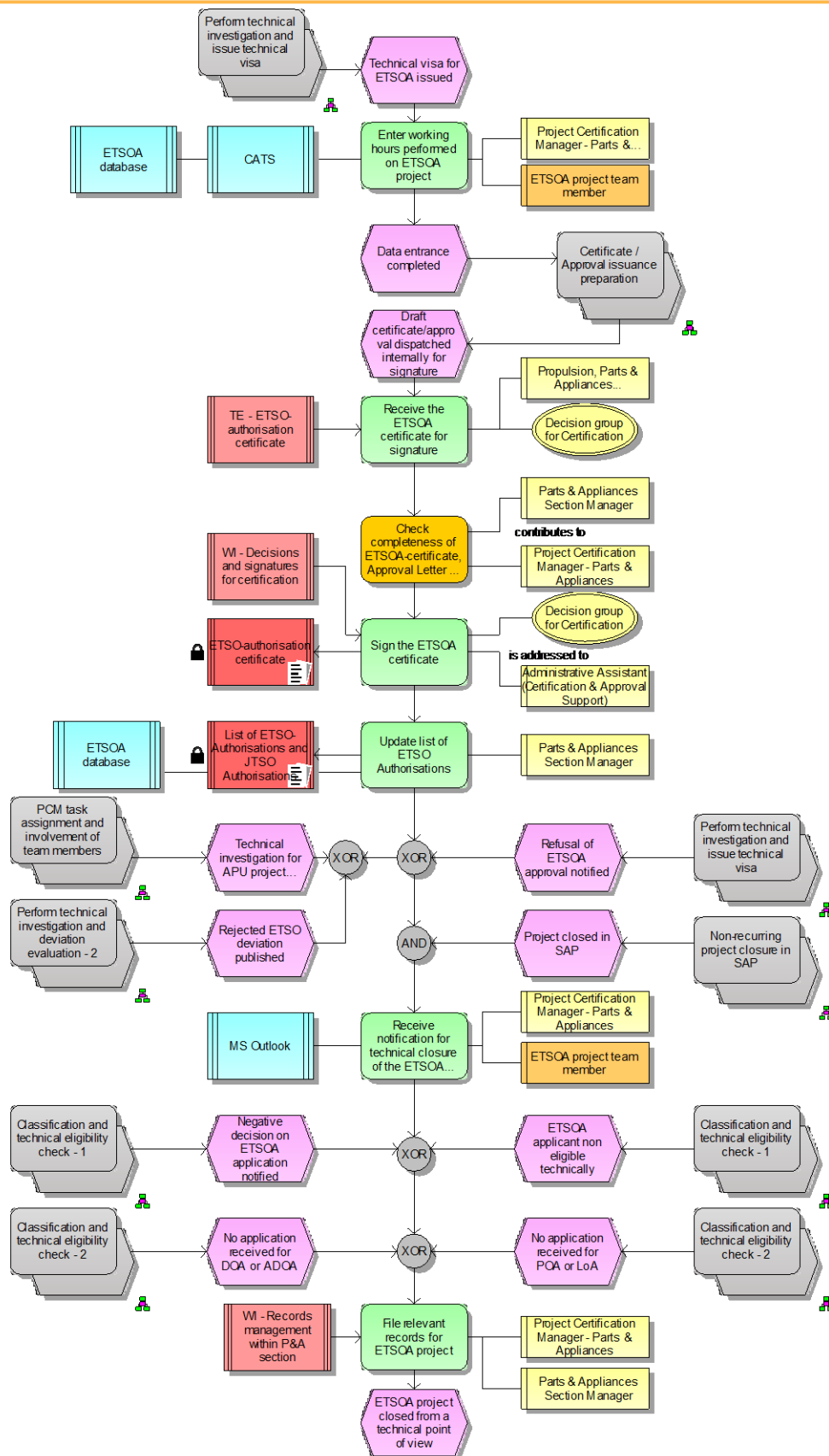
**Internal Process Interfaces**

Perform technical investigation and deviation evaluation - 1  
 Perform technical investigation and deviation evaluation - 2  
 Issuance of ETSO-authorisation certificate and/or project closure  
 PCM task assignment and involvement of team members





Issuance of ETSO-authorisation certificate and/or project closure





Activity	Description to the process activity
Enter working hours performed on ETSOA project	Enter working hours into CATS and ETSOA database
Receive the ETSOA certificate for signature	---
Check completeness of ETSOA-certificate, Approval Letter & data	Check data package for completeness: <ol style="list-style-type: none"> <li>1. technical visa,</li> <li>2. compliance checklist,</li> <li>3. deviations,</li> <li>4. for validations a compliance statement of the exporting authority.</li> </ol>
Sign the ETSOA certificate	<p>In the event of a minor change to a previously issued ETSO-Authorisation certificate, the reissued ETSO-Authorisation certificate shall bear a new issue date but track of the date of issue of the initial approval shall be kept in the ETSOA database.</p> <p>The Parts &amp; Appliances Section Manager will sign the ETSO Authorisation Certificate.</p> <p>The Parts &amp; Appliances Section Manager will check that he has received the necessary delegation of powers in accordance with the latest applicable ED Decision on the delegation of powers of the Executive Director to certain staff members of the Certification Directorate.</p> <p>The Certification &amp; Approval Support Department will send the ETSO-Authorisation Certificate and Approval Letter to the Applicant; and copy the ETSO-Authorisation Certificate for validations to the exporting authority, when relevant.</p>
Update list of ETSO Authorisations	---
Receive notification for technical closure of the ETSOA project	---
File relevant records for ETSOA project	Record keeping and archiving is ensured as defined in EASA Work Instruction on Records Management within the Parts and Appliances Section

**Internal Process Interfaces**

Perform technical investigation and issue technical visa Certificate / Approval issuance preparation  
 PCM task assignment and involvement of team members  
 Perform technical investigation and deviation evaluation - 2  
 Classification and technical eligibility check - 1  
 Classification and technical eligibility check - 2  
 Non-recurring project closure in SAP





## RECORDS

## Appendix A : Operational Documents

Classification and technical eligibility check - 1	
Record	Activity
Communication on non-acceptance classification ETSOA design change	- Communicate decision on non-acceptance classification
Communication on non-eligibility ETSOA applicant	- Communicate decision on non eligibility ETSOA applicant

Classification and technical eligibility check - 2	
Record	Activity
Email notification on ETSOA holding letter for production capabilities	- Assess if POA or LoA requirements met
Email notification on ETSOA holding letter for design capabilities	- Assess if DOA or ADOA requirements met

PCM task assignment and involvement of team members	
Record	Activity
Assignment request - Fees and charges project	- Decide team members & planned working hours for ETSOA project

Perform technical investigation and deviation evaluation - 1	
Record	Activity
Request for publication of CS-ETSO deviation	- Publish Deviation Request Consultation Paper
Applicant DRCP acceptance email	- Request applicant to approve final draft DRCP
Published CS-ETSO deviation[Published CS.CERT.00043-000]	- Publish Deviation Request Consultation Paper
CS-ETSO Deviation Request Consultation Paper (DRCP)[CS.CERT.00044-000]	- Request applicant to approve final draft DRCP
List of approved deviations for CS-ETSO	- Check if requested deviation is already agreed to
Comments PE or RM on DRCP	- Initiate Internal consultation on draft DRCP

Perform technical investigation and deviation evaluation - 2	
Record	Activity
Summary of ETSO approved deviations	- Publish approved ETSOA deviation on the internet
CS-ETSO Deviation Consultation CRD[CS.CSERV.00022-000]	- Prepare Deviation Consultation Comment Response Document
Summary of ETSO rejected deviations	- Publish rejected ETSO deviation on the internet
Technical visa for ETSOA	- Request ETSOA project cancellation

Perform technical investigation and issuance of technical visa	
Record	Activity
Communication on refusal to issue ETSOA approval	- Request ETSOA project cancellation





Technical visa for ETSOA	- Issue Technical Visa for ETSOA
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Issuance of ETSO-authorisation certificate and/or project closure	
Record	Activity
List of ETSO-Authorisations and JTSO Authorisations[List of ETSO.CAP.00005-000]	- Update list of ETSO Authorisations
ETSO-authorisation certificate[ETSO.CAP.00006-000]	- Sign the ETSOA certificate

## Appendix B : External Documents

Classification and technical eligibility check - 1	
Record	Activity
Application for ETSOA	- Receive notification of application received and process sheet
ETSOA initial documentation	- Receive notification of application received and process sheet

Classification and technical eligibility check - 2	
Record	Activity
Application for ETSOA	- Assess if it is a validation or certification activity

Perform technical investigation and deviation evaluation - 1	
Record	Activity
Application for ETSOA	- Check if a deviation iaw Art. 21.A.610 has been applied for - Review application for ETSOA, DDP or deviation request letter
DDP	- Check if a deviation iaw Art. 21.A.610 has been applied for - Review application for ETSOA, DDP or deviation request letter
Applicant letter requesting approval of deviation	- Check if a deviation iaw Art. 21.A.610 has been applied for - Review application for ETSOA, DDP or deviation request letter

Perform technical investigation and issuance of technical visa	
Record	Activity
Foreign Authority Concurrence Letter	- Check receipt Foreign Authority Concurrence Letter

