



Certification support for validation

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22/12/2015**DOCUMENT CONTROL SHEET****Reference documents****a) Contextual documents**

Chicago Convention Annex 8 - Airworthiness of Aircraft (International Standards and Recommended Practices)

Commission Regulation (EC) 859/2008 - Amending Council Regulation (EEC) No 3922/91 as regards common technical requirements and administrative procedures applicable to commercial transportation by aeroplane (OJ L 254, 20.09.2008)

Commission Regulation (EU) 319/2014 - Regulation of 27 Mars 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

ED Decision 2012/102/E - On the delegation of powers of the Executive Director to certain staff members of the Certification directorate

ED Decision 2014/116/E - On the delegation of powers of the Executive Director to certain staff members of the Agency's Certification Directorate

JAR-26 - Additional airworthiness requirements for operations. Amendment 3 (01 December 2005)

JAR-FCL 1 - Flight crew licensing (aeroplane). Amendment 7 (01 December 2006)

JAR-FCL 2 - Flight crew licensing (helicopter). Amendment 6 (01 February 2007)

JAR-FCL 3 - Flight crew licensing (medical). Amendment 5 (01 December 2006)

JAR-FSTD-A - Joint Aviation Authorities (JAA) Aeroplane Flight Simulation Training Devices, Initial issue 1th May 2008

JAR-FSTD-H - Joint Aviation Authorities (JAA) Helicopter Flight Simulation Training Devices, Initial issue 1th May 2008

JAR-OPS 3 - Commercial air transportation (helicopters). Amendment 5 (1 July 2007)

MoU concerning OEB Activities between EASA and CAA

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/

b) Internal documents

FO.CERT.00021 - Technical visa for ETSOA

FO.CSERV.00041 - Contract for CSVs of EASA Certificates and other Third Country Approval Activities

FO.CSERV.00153 - Predefined CSV closure e-mail

IC - CSV Forwarding Letter

TE.CSERV.00187 - List of CSV Letter templates

UG.CERT.00002 - Certification Handbook

WI.IMS.00064 - Records management within P&A section

WI.IMS.00065 - Rotorcraft department records management

WI.IMS.00066 - General aviation & RPAS department records management

WI.IMS.00067 - Propulsion section records management

WI.IMS.00068 - Filing plan large aeroplanes department

Abbreviations/Definitions



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CSP: Certification Service Provider (NAA & QE)
NAA: EU member state National Aviation Authority
PCM: Project Certification Manager
PO: Purchase Order
QE: Qualified Entity
SoC: Statement of Compliance
TCA: Third Country Authority

Log of issues

Issue	Issue date	Change description
001	02/07/2014	First issue, migration of Certification Directorate applicable sections of procedure E.P010-01, update to reflect revised working procedures
002	01/09/2014	Issue 002. Migration of PR.CSV.00001-001 in compliance with Convergence project.
003	13/08/2015	Issue 003. Amendment of the CSV technical closure process and of project monitoring.
004	22/12/2015	Fourth issue. Addition of note (3) to mention annual project (internal audit observation), update of interface with APMAN procedures, update CSV template letters.





INTRODUCTION

Purpose and scope

This procedure defines and describes the steps necessary to complete certification support for validation of EASA certificates/ approvals in Third Countries requiring technical support from EASA as well as test witnessing, conformity inspections and compliance findings related to activities where EASA is not Primary Certifying Authority.

Legal framework

According with Article 27 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) No 1592/2002 (hereafter referred to as "Basic Regulation"), the European Aviation Safety Agency (hereafter the "Agency") shall assist the Community and the Member States in their relations with third countries. The Agency will provide certification support as established by Bilateral Agreements and Working Arrangements.

Basic Principles

1. Application

EASA will decide on whether the requested support will be provided by EASA personnel and/or seconded personnel, or outsourced to an NAA or QE. All CSV tasks, irrespective by whom they are performed, shall be executed following the provisions of this procedure.

An application for validation of EASA certificates/ approvals in Third Countries is sent by the Applicant to the Third Country Authority (TCA) via EASA. The format of this application is defined by the applicable Bilateral Agreements, Working Arrangements or TCA's procedures. For an updated list of such agreements/ arrangements follow the Agency's website at www.easa.europa.eu > Document Library > Partnerships.

In case the Applicant wishes to receive EASA's active support (e.g. compliance findings and statements against the TCA requirements), the Applicant has to apply to EASA using the form "Contract for certification support for validation of EASA certificates and other Third Country approval activities" which is published on the Agency's website at www.easa.europa.eu > Document Library > Application Forms.

For concurrent certification- validation projects the form "Contract for certification support for validation of EASA certificates and other Third Country approval activities" should be filled in by the applicant for TC, Major significant change and complex STC projects only.

The work sharing and use of resources between the certifying authority and validating authority is described in the applicable Technical Implementation Procedure located on the Agency's website at www.easa.europa.eu > Document Library > Partnerships > Bilateral agreements.

2. CSV project categories:

* Category 1: CSV project requiring a forwarding letter only with no technical support (free of charge).

These are the projects of forwarding the Applicant's request to a Third Country with no Bilateral Agreement with the European Union (EU) or to a TCA with no Working Arrangement with EASA. Cat 1 CSV projects (no project, no allocation) are entirely handled internally within the Applications Handling Department. The applicant is not charged for the work performed by EASA.





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* Category 2: CSV project requiring technical support from EASA.

Cat 2 CSV projects are handled by the Certification Departments with support from the Applications Handling Department for administering the CSV project. Upon closure of the CSV project, the applicant will be charged by the Invoicing Section in accordance with the applicable Fees and Charges Regulation in force at the date of receipt of application.

As mentioned in the "purpose" section, this procedure covers only the projects that require EASA technical involvement.

This category includes:

(1) Projects requiring a forwarding letter only with limited technical support to a Third Country having a Bilateral Agreement with the European Union (EU) or to a TCA having a Working Arrangement with EASA. For example:

Basic STC projects where the forwarding letter will only contain the design change classification and the Statement of Compliance to the U.S. type certification basis.

The design change classification for Basic STC/ Major Changes Level 2, and the Statement of Compliance to the U.S. type certification basis will be made either by EASA or NAA PCMs.

(2) All other projects where technical involvement is needed (e.g. non-basic STC, Major Changes Level 1 or TCs).

Notes:

(1) Cat 1 and Cat 2 CSV projects for ETSOA are entirely handled internally by the Parts and Appliances section.

(2) In the case the TCA requests EASA technical support for a CSV Cat 1, it shall be handled as a CSV Cat 2 (i.e. CSV project requiring technical support from EASA).

(3) Upon coordination between the Agency and TC Holders, annual CSV projects may be created in specific cases involving routine and repetitive CSV work performed for the TC Holder. More details can be found in the CSV related section of the Certification Handbook.

3. Test witnessing including conformity tests setups/ Conformity inspection related to production approvals / Other compliance finding support.

The TCA will send EASA a request to perform test witnessing on its behalf. A copy of this request should be sent to the European company that has the design responsibility of the test to be performed.

The company where the test has to be performed should submit the application form "Contract for certification support for validation of EASA certificates and other Third Country approval activities". One form per test witnessing is required.

After review of the application form, EASA will issue a project number and allocate the test witnessing task internally or to the locally responsible NAA. A copy of the allocation letter will be sent to the company.

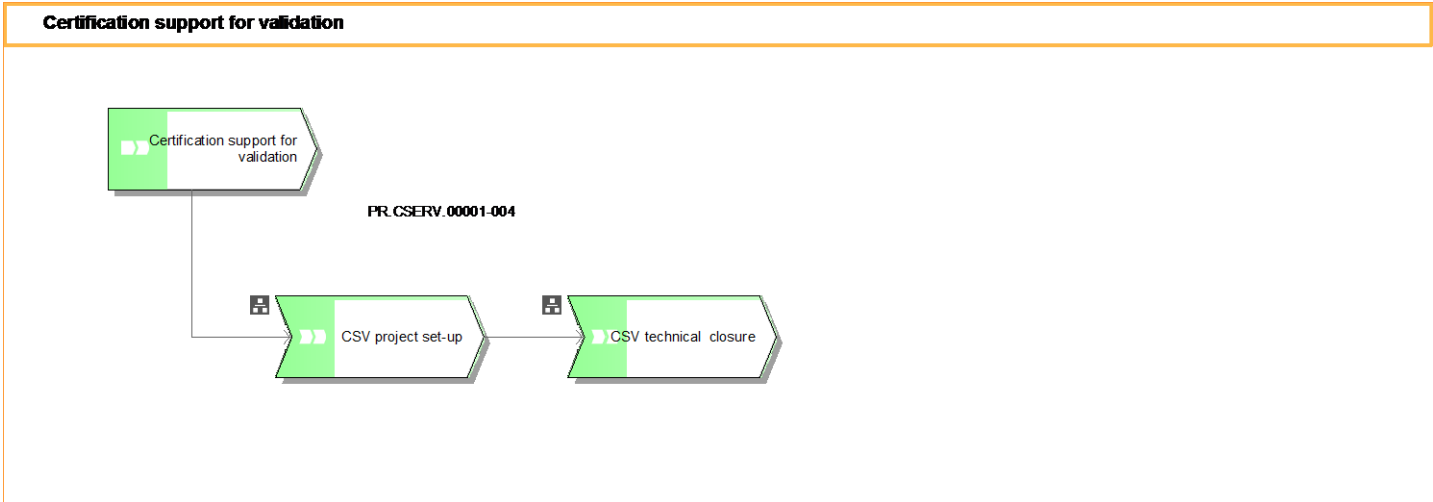
Technical experts from EASA or from Members States NAAs will directly communicate with the TCA and the EU Company for further technical coordination.

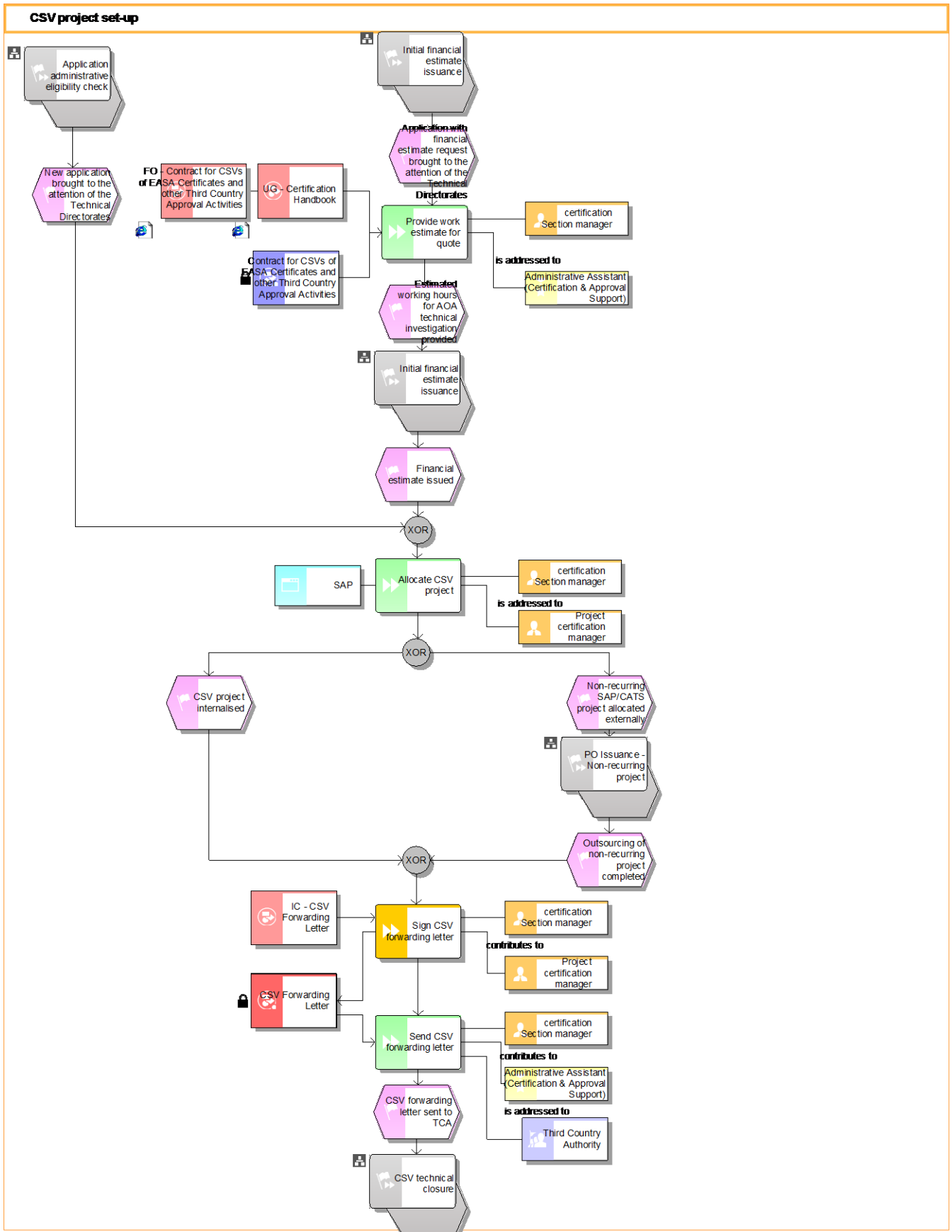
After completion of the test witnessing activities, the Responsible Party (from EASA or NAA) will forward the technical visa by e-mail to technical.visa@easa.europa.eu, copying the appropriate department functional mailbox.





Structure of process charts







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Activity	Description to the process activity
Provide work estimate for quote	<p>The responsible Section Manager (or PCM on-duty) reviews the application and other documents submitted by the applicant.</p> <p>Purpose of the review is to provide a work volume estimate to the Applications Management Section for Cat 2 CSV projects and Cat 1 CSV projects reclassified as Cat 2 CSV projects. For further guidelines, refer to the EASA Certification Handbook.</p>
Allocate CSV project	<p>EASA will decide (as per ED Decision ED 2011/056/F on the allocation criteria for certification tasks) on whether the requested support will be provided by EASA personnel and/or seconded personnel, or outsourced to a Certification Service Provider (CSP). The service of validation of ETSOA is always provided by EASA staff.</p> <p>Technical support shall be provided only upon acceptance of the quote by the applicant (if quote requested by applicant).</p> <p>Upon acceptance of the quote, if any, the responsible Section Manager performs the task allocation to the internal PCM or requests the Accreditation and Outsourcing Section to proceed with the issuance of the purchase order to CSPs.</p>
Sign CSV forwarding letter	<p>The PCM sends the CSV application forwarding letter to the responsible Section Manager or his/her deputy for signature. In some cases the forwarding letter may contain the Statement of Compliance to the TCA certification basis (for e.g. Basic STCs to the FAA).</p> <p>Note: Letters that do not contain a Statement of Compliance may also be signed by the PCM.</p>
Send CSV forwarding letter	<p>The responsible Section Manager or the section administrative support staff e-mails the Applications Management Section the CSV forwarding letter (together with the data package, if any) for e-mailing it to the TCA.</p>

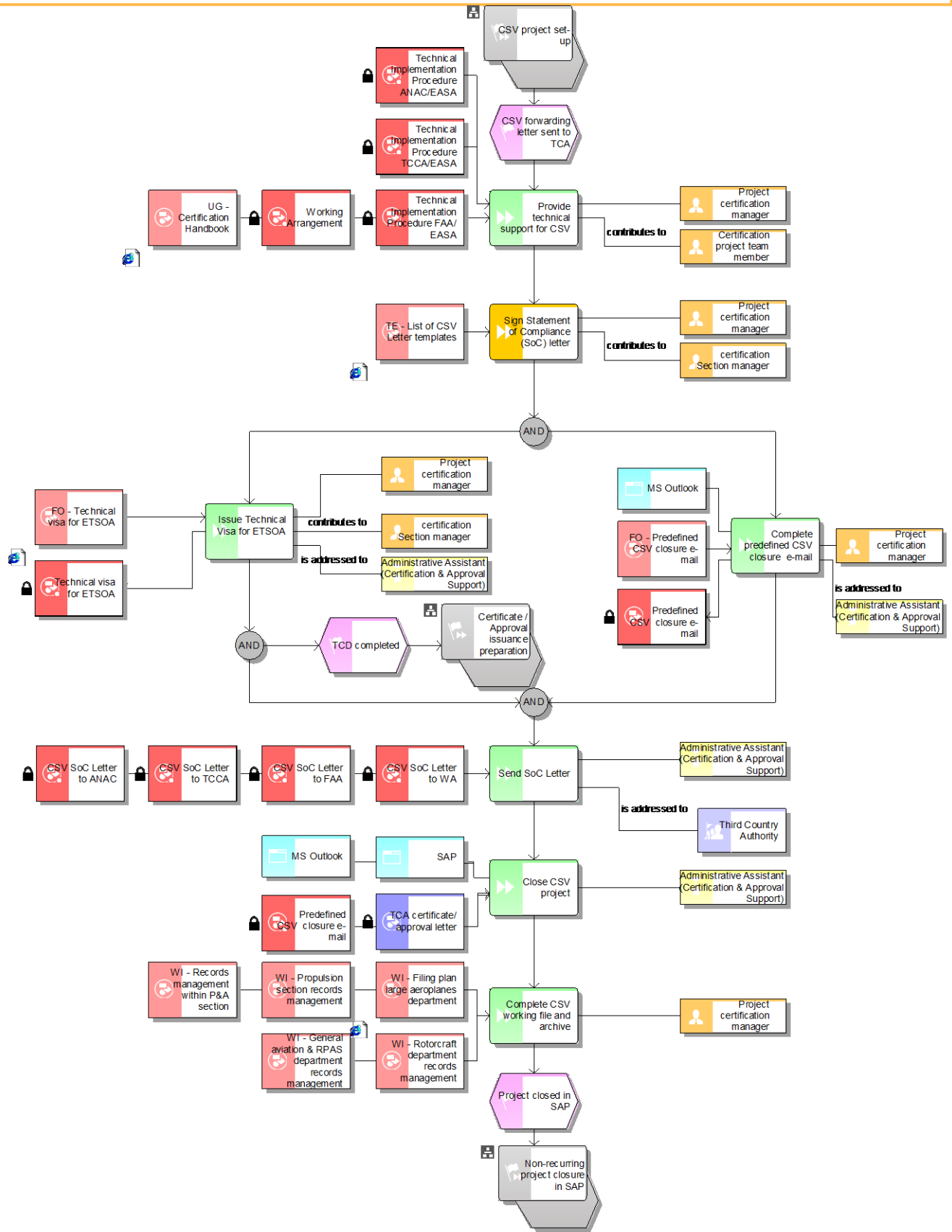
Internal Process Interfaces

Application administrative eligibility check
Initial financial estimate issuance
PO Issuance - Non-recurring project
CSV technical closure





CSV technical closure





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Activity	Description to the process activity
Provide technical support for CSV	The PCM, together with the team of experts, provides technical support to TCA, where required. The PCM and his/her team shall follow the Technical Implementation Procedures with the Bilateral Partners or the Working Arrangements with other countries' authorities (e.g. CAAC).
Issue Technical Visa for ETSOA	For ETSOA projects: After completion of the validation support activity, the PCM fills in the technical visa (TV CSV). The PCM forwards the TV CSV to the responsible Section Manager for review. The responsible Section Manager or his/her administrative support staff e-mails the signed documents (TV CSV and SoC letter) to the Applications Management Section (technical.visa mailbox) keeping the PCM in copy.
Sign Statement of Compliance (SoC) letter	After completion of the validation support activities, the PCM drafts a letter including the SoC with the TCA product Certification Basis for the responsible Section Manager's review and signature. Notes: In case of FAA Basic STCs, the forwarding letter should contain the design change classification and the Statement of Compliance to the U.S. type certification basis. There might be more than one letter, depending on the complexity and status of the activity, for e.g. letters of approval on behalf of the other authority.
Send SoC Letter	The SoC letter is then sent by the Applications Management Section to TCA for completion of the validation activities and issuance of the foreign certificate.
Complete predefined CSV closure e-mail	For the rest of the CSV projects: After completion of the validation support activity, the PCM fills in the CSV closure e-mail and forwards it to the Applications Management section asking for the closure of the project, also attaching the SoC (or other document marking the technical closure of the project).
Close CSV project	Applications Management Section closes the project upon receipt of the (predefined) CSV closure e-mail from the PCM. This e-mail will become a record of the project's technical closure.
Complete CSV working file and archive	The PCM collects and arranges all documents & records received and generated during the project under a specific project folder. Observe records management work instructions and guidelines on 'working file' management. When received, the PCM forwards to the technical.visa mailbox the copy of the TCA Certificate/ Approval to be attached in SAP.

Internal Process Interfaces
CSV project set-up Certificate / Approval issuance preparation Non-recurring project closure in SAP





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RECORDS**Appendix A : Operational Documents****CSV project set-up**

Record	Activity
CSV Forwarding Letter	- Sign CSV forwarding letter

CSV technical closure

Record	Activity
Technical visa for ETSOA	- Issue Technical Visa for ETSOA
Predefined CSV closure e-mail	- Complete predefined CSV closure e-mail

Appendix B : External Documents**CSV project set-up**

Record	Activity
Contract for CSVs of EASA Certificates and other Third Country Approval Activities	- Provide work estimate for quote

CSV technical closure

Record	Activity
TCA certificate/ approval letter	- Close CSV project

