TECHNICAL IMPLEMENTATION PROCEDURES

FOR

AIRWORTHINESS AND ENVIRONMENTAL

CERTIFICATION

Between

The Civil Aviation Authority of the United Kingdom

And

The European Union Aviation Safety Agency

TABLE OF CONTENTS

1 GENERAL 5

1.1 PURPOSE AND SCOPE 5
1.2 GOVERNANCE 5
1.3 COMMENCEMENT, REVISIONS AND TERMINATION, AND RECOGNITION OF TECHNICAL INVESTIGATIONS 6
1.4 PUBLICATION OF THE TIP 6
1.5 DEFINITIONS 6
1.6 CONTINUED QUALIFICATION OF THE COMPETENT AUTHORITIES 9
1.7 COMMUNICATIONS 9
1.8 INTERPRETATIONS AND RESOLUTION OF CONFLICTS 10
1.9 POINTS OF CONTACT 12

2 APPROVAL PROCEDURES FOR DESIGN CERTIFICATES 15

2.1 GUIDELINES ON ACCEPTANCE AND VALIDATION PROCESSES 15
2.2 ACCEPTANCE OF DESIGN CERTIFICATES 15
2.3 VALIDATION OF DESIGN CERTIFICATES 18
2.4 PROCEDURES FOR STREAMLINED VALIDATION AND VALIDATION IN LINE WITH LEVEL OF INVOLVEMENT PRINCIPLES 19

3 CONTINUING AIRWORTHINESS 44

3.1 GENERAL 44
3.2 FAILURES, MALFUNCTIONS, DEFECTS AND IN-SERVICE DIFFICULTIES 45
3.3 UNSAFE CONDITION AND MCAI 46
3.4 ALTERNATIVE METHODS OF COMPLIANCE (AMOC) TO AN AD 48

4 ADMINISTRATION OF DESIGN CERTIFICATES 49

4.1 GENERAL 49
4.2 TRANSFER OF TCS AND STCS 49
4.3 SURRENDER OF A TC OR STC 51
4.4 REVOCATION OR SUSPENSION OF TC OR STC 52
4.5 SURRENDER, WITHDRAWAL OR CHANGE IN OWNERSHIP OF A UK TSOA/ ETSOA 52

5 PRODUCTION 54

5.1 RECOGNITION OF PRODUCTION CERTIFICATION AND PRODUCTION OVERSIGHT SYSTEM 54
5.2 ASSESSMENT OF THE NEW CATEGORY OF CIVIL AERONAUTICAL PRODUCT 54

5.3 EXTENSION OF THE RECOGNITION OF THE PRODUCTION CERTIFICATION AND PRODUCTION OVERSIGHT SYSTEM TO A NEW CATEGORY OF CIVIL AERONAUTICAL PRODUCTS 55
5.4 INTERFACE BETWEEN THE PRODUCTION APPROVAL HOLDER AND THE DESIGN CERTIFICATE HOLDER 56
5.5 EXTENSION OF PRODUCTION APPROVAL 56

6 EXPORT CERTIFICATES 57

6.1 GENERAL 57
6.2 CERTIFICATION FOR EXPORT 57
6.3 COORDINATION OF EXCEPTIONS ON EXPORT CERTIFICATE OF AIRWORTHINESS 59
6.4 IDENTIFICATION AND MARKING REQUIREMENTS 60
6.5 ADDITIONAL REQUIREMENTS FOR IMPORT 60

7 TECHNICAL SUPPORT AND INFORMATION FOR CERTIFICATION ACTIVITIES 61

7.1 GENERAL 61
7.2 WITNESSING OF TESTS DURING DESIGN APPROVAL 62
7.3 FINDINGS OF COMPLIANCE 63
7.4 CONFORMITY CERTIFICATIONS DURING DESIGN APPROVAL 64
7.5 PROCESS FOR ASSISTANCE IN PRODUCTION SURVEILLANCE AND OVERSIGHT 65
7.6 OTHER REQUEST FOR ASSISTANCE AND SUPPORT 66
7.7 PROTECTION OF PROPRIETARY DATA AND PUBLIC ACCESS TO DOCUMENTS AND INFORMATION 66
7.8 ACCIDENT/ INCIDENT AND SUSPECTED UNAPPROVED PARTS INVESTIGATION INFORMATION REQUESTS 67

8 SIGNATURES 68

APPENDIX 1 69

1. CATEGORIES OF PRODUCT ACCEPTED FROM UK FOR EXPORT TO EU 69
2. CATEGORIES OF PRODUCT ACCEPTED FROM EU FOR EXPORT TO UK 69

1 GENERAL

These Technical Implementation Procedures (TIP) have been developed pursuant to Article 6, Annex 30 'Airworthiness and environmental certification' of the Trade and Cooperation Agreement between the European Union and the European Atomic Energy Community, of the one part, and the United Kingdom of Great Britain and Northern Ireland, of the other part, signed in Brussels and London on 30 December 2020, hereinafter referred to as "the Agreement".

1.1 Purpose and scope

1.1.1 This TIP will provide specific procedures to facilitate the implementation of Annex 30: Airworthiness and Environment Certification for matters covered in Article 1(a), (b) and (c), Annex 30 of the Agreement, namely:

- airworthiness certificates and monitoring of civil aeronautical products;
- environmental certificates and testing of civil aeronautical products;
- design and production certificates; and
- monitoring of design and production organisations.

1.1.2 In particular, the TIP will address:

- how the Parties' competent authorities will interact with one another; and
- how any differences between the Parties' civil aviation standards, rules, practices, procedures and systems related to the implementation of Annex 30 of the Agreement will be handled.

1.2 Governance

Annex 30 includes provisions for the establishment of a Certification Oversight Board (COB) under the co-chairmanship of the Technical Agents. The COB will develop and adopt its own Rules of Procedure, pursuant to Article 3, Annex 30 of the Agreement (Section B) and is responsible for developing, adopting and revising this TIP.

1.3 Commencement, revisions and termination, and recognition of technical investigations

1.3.1 This TIP will enter into force on the date of the last signature of the duly authorised representatives of each Technical Agent (i.e. the COB co-chairs). It will remain in force until terminated by either Technical Agent.

1.3.2 The TIP may be revised by a decision of the COB. Any revision will come into force upon the date of the last signature of the COB co-chairs.

1.3.3 Either Technical Agent may terminate this TIP upon sixty (60) days written notice to the other Technical Agent, unless the said notice has been withdrawn by mutual consent of the Technical Agents before the expiry of this period.

1.3.4 Termination of this TIP will not affect the validity of the certificates granted by the competent authorities or the Approved Organisations or the activities conducted under this TIP prior to its termination.

1.4 Publication of the TIP

The Technical Agents will publish this TIP, and all subsequent revisions in their respective Official Publications.

1.5 Definitions

For the purposes of this TIP the following definitions apply:

Acceptance: means the recognition of certificates, approvals, changes, repairs, documents and data of one Party by the other Party without any validation activities and without issuing a corresponding certificate.

Approved Organisation: means any legal person certified by the Competent Authority of either Party to exercise privileges related to the scope of this TIP.

Authorised Release Certificate: means a certificate issued by an Approved Organisation or a Competent Authority of the exporting Party as a form of recognition that a new civil aeronautical

product, other than an aircraft, conforms to a design approved by the exporting Party and is in a condition for safe operation.

Category of civil aeronautical products: means a set of products sharing common characteristics on the basis of EASA and UK CAA Certification Specifications.

Certificate: means any approval, licence or other document issued as a form of recognition of compliance that a civil aeronautical product, an organisation or a legal or natural person complies with the applicable requirements set out in laws and regulations of a Party.

Certificating Authority (CA): means the Technical Agent of the exporting Party that issues a Design Certificate for a civil aeronautical product in its capacity as an authority carrying out the State of Design responsibilities set out in Annex 8 to the Convention on International Civil Aviation (hereinafter referred to as "Chicago Convention"). When a design certificate is issued by an Approved Organisation of the exporting Party, the Technical Agent of the exporting Party is considered as the CA.

Civil aeronautical product, or product: means any civil aircraft, aircraft engine, or aircraft propeller; or sub-assembly, appliance, part or component, installed or to be installed thereon.

Competent Authority: means a Union or government agency or a government entity responsible for civil aviation safety that is designated by a Party for the purposes of the Agreement to perform the following functions:

1) to assess the compliance of civil aeronautical products, organisations, facilities, operations and services subject to its oversight with applicable requirements set out in laws, regulations and administrative provisions of that Party;
2) to conduct monitoring of their continued compliance with those requirements; and
3) to take enforcement action to ensure their compliance with those requirements.

Design certificate: means a form of recognition issued by the Technical Agent or an Approved Organisation of a Party confirming that the design or change to a design of a civil aeronautical product complies with airworthiness requirements, as applicable, and environmental protection requirements, in particular concerning environmental characteristics set out in laws, regulations and administrative provisions of that Party.

Design-related operational requirements: means the operational, including environmental protection, requirements affecting either the design features of the civil aeronautical product

or data on the design relating to the operations, or the maintenance of that product, which make it eligible for a particular kind of operation.

Export: means the process by which a civil aeronautical product is released from the regulatory system for civil aviation safety of a Party to that of the other Party.

Exporting Party: means the Party from whose regulatory system for civil aviation safety a civil aeronautical product is released.

Findings of compliance: means a determination of compliance with the applicable requirements set out in laws and regulations of a Party as the result of actions such as testing, inspections, qualifications, approvals and monitoring.

Import: means the process by which an exported civil aeronautical product from the regulatory system for civil aviation safety of a Party is introduced into that of the other Party.

Importing Party: means the Party into whose regulatory system for civil aviation safety a civil aeronautical product is introduced.

Major change: means all changes in type design other than “minor change”.

Minor change: means a change in type design that has no appreciable effect on the mass, balance, structural strength, reliability, operational characteristics or other characteristics affecting the airworthiness of the civil aeronautical product or its environmental characteristics.

Operational Suitability Data (OSD): means the required set of data to support and allow the type-specific operational aspects of certain types of aircraft that are regulated under the regulatory system for civil aviation safety of the European Union or of the United Kingdom. It must be designed by the type certificate (TC) applicant or holder for the aircraft and be part of the TC. Under the regulatory system for civil aviation safety of the European Union or of the United Kingdom, an initial application for a TC or restricted TC shall include, or be subsequently supplemented by, the application for approval of operational suitability data, as applicable to the aircraft type.

Party: means a Party to the Agreement.

Production Approval: means a certificate issued by the Competent Authority of a Party to a manufacturer which produces civil aeronautical products, as a form of recognition that the manufacturer complies with applicable requirements set out in laws, regulations and administrative provisions of that Party for the production of the particular civil aeronautical products.

State of Design (SoD): means the State having jurisdiction over the organisation responsible for the type design and continued airworthiness of the civil aeronautical product.

State of Manufacture (SoM): means the State having jurisdiction over the organisation responsible for the final assembly of the aircraft, engine or propeller.

State of Registry (SoR): means the State on whose register the aircraft is entered.

Technical Agent: means for the European Union, EASA or its successor, and for the United Kingdom, UK CAA or its successor. Although EASA and UK CAA are competent authorities within

the meaning of Title Two on Aviation Safety to the Agreement, they are referred to in this TIP as "Technical Agent", where applicable.

UK Part 21: means the requirements and procedures for the certification of aircraft and related products, parts and appliances, and of design and production organisations laid down in Annex I to Commission Regulation (EU) No 748/2012 in force and effective in UK law pursuant to the European Union (Withdrawal) Act 2018 and amended by The Aviation Safety (Amendment etc.) (EU Exit) Regulations 2019.

Validating Authority (VA): means the Technical Agent of the importing Party that accepts or validates a Design Certificate issued by the Certificating Authority.

Validation Work Plan (VWP): means the document used for validations that outlines and documents the VA level of involvement as outlined in paragraph 2.4.4.10.

1.6 Continued Qualification of the competent authorities

[Placeholder for process to be developed].

1.7 Communications

1.7.1 Changes in certification and oversight systems

The Technical Agents will keep each other informed of significant changes affecting one of the fundamental components of their civil aviation certification and oversight systems as defined in Article 28, Annex 30 of the Agreement (Section G).

A revision by any of the Parties or Technical Agents of its civil aviation certification and oversight system may affect the basis, the content or the scope of this TIP. If this takes place, upon notice of such a revision, the Technical Agents may hold a meeting to decide whether to amend the TIP. If an amendment is required it will be proposed to and endorsed by the COB.

1.7.2 Language of communications

Data and documents exchanged under the TIP between the Competent Authorities or between an Applicant and a Competent Authority will be in the English language.

Some certification compliance data may not be required by the Validating Authority during a validation process. Related documents may therefore not need to be available in the English language if agreed between the Technical Agents.

The Technical Agents may agree to additional exceptions on a case-by-case basis.

1.7.3 Technical Consultations

The Technical Agents should, on a regular basis, consult each other on new or proposed changes to the civil aviation regulations, standards or specifications, guidance or interpretative material, practices and procedures for civil aeronautical products.

The Technical Agents agree to consult each other as necessary to provide input when requested on technical issues. The frequency of these consultations will depend on the number and significance of the issues to be discussed as well as on resource considerations.

As provided for in Article 31, Annex 30 of the Agreement (Section H), the Technical Agents agree to consult each other as necessary to address issues associated with implementation of the Annex 30 of the Agreement.

These technical consultations will not be chargeable.

1.7.4 Communications Regarding Approved Organisations

The Technical Agents understand that there may be situations where either Technical Agent may need to interact directly with an accredited person or organisation or an Approved Organisation or certificate holder within the safety oversight system of the other Technical Agent.

In such cases, the Technical Authority undertaking direct interaction should notify the other Technical Agent as soon as possible. The Technical Agents should always consult one another on significant decisions affecting validation activities.

1.8 Interpretations and Resolution of Conflicts

1.8.1 The Technical Agents recognise that in case of conflict between the provisions of Title Two on Aviation Safety to the Agreement, including its implementation procedures, and domestic laws,

regulations, standards or procedures of one Party, the provisions of Title Two on Aviation Safety to the Agreement will prevail.

1.8.2 In the case of conflicting interpretations by the Technical Agents of the laws, airworthiness or environmental protection regulations/standards, requirements, or acceptable means of compliance pertaining to approval activities under this TIP, the interpretation of the civil aviation authority whose law, regulation, standard, requirement, or acceptable means of compliance is being interpreted will prevail.

1.8.3 Every effort should be made to resolve issues at the lowest possible level through consultation. Issues that cannot be satisfactorily resolved at the operational level should be expeditiously and progressively raised to the respective managements of the Technical Agents until an agreement or compromise is reached.

1.8.4 Issues that cannot be satisfactorily resolved between the Technical Agents under the escalation mechanism described above may be raised to the COB.

1.8.5 Issues that cannot be resolved by the COB will be referred to the Specialised Committee on Aviation Safety of the Parties established under the Agreement.

1.9 Points of contact

1.9.1 EASA

Mailing Address	Physical Location
European Union Aviation Safety Agency Postfach 10 12 53 50452 Köln Germany	European Union Aviation Safety Agency Konrad-Adenauer-Ufer 3 50668 Köln Germany
EASA Point of Contact for Implementation of this TIP	
Certification Director's Office European Union Aviation Safety Agency Postfach 10 12 53 50452 Köln Germany	

EASA Point of Contact for Applications	
E-mail addresses:	
TCs:	tc@easa.europa.eu
STCs:	stc@easa.europa.eu
Major changes/ repair designs:	MajorChange-MajorRepair@easa.europa.eu
ETSO:	etsoa@easa.europa.eu

Application Forms available on EASA website:

https://www.easa.europa.eu/document-library/application-forms

EASA Point of Contact for Airworthiness Directives (AD)	
E-mail addresses:	ads@easa.europa.eu

1.9.2 UK Civil Aviation Authority

Mailing Address	Physical Location
Safety and Business Delivery	Safety and Business Delivery
Safety and Airspace Regulation Group	Safety and Airspace Regulation Group
Civil Aviation Authority	Civil Aviation Authority
Aviation House	Aviation House
Beehive Ring Road	Beehive Ring Road
Crawley	Crawley
West Sussex	West Sussex
RH6 0YR	RH6 0YR
United Kingdom	United Kingdom

UK CAA Point of Contact for Implementation of this TIP
BilateralSafetyArrangements BilateralSafetyArrangements@caa.co.uk

UK CAA Point of Contact for Applications	
Applications	apply@caa.co.uk

Application Forms available on CAA website:

https://www.caa.co.uk/Commercial-Industry/Aircraft/Airworthiness/

UK CAA Point of Contact for Airworthiness Directives (AD)
adunit@caa.co.uk

2 APPROVAL PROCEDURES FOR DESIGN CERTIFICATES

2.1 Guidelines on acceptance and validation processes

2.1.1 The following guidelines apply to Design Certificates that have been, or are in the process of being, issued by either Party's Technical Agent as CA.

2.1.2 Certain Design Certificates are subject to validation and others are accepted, as described in Articles 10 and 13, Annex 30 of the Agreement. For Design Certificates subject to validation, the validation process will be based to the maximum extent practicable on the technical evaluations, tests, inspections, and compliance certifications made by the other Technical Agent as CA. It is generally intended that each Party relies on and has confidence in the other Party's certification oversight system.

2.1.3 Principles of involvement for validation.

The level of involvement of the VA during validation processes is outlined in Article 12, Annex 30 of the Agreement and due consideration will be given to the following:

- the experience of the Competent Authority of the other Party as CA; the more one Competent Authority has experience as CA, the more the other Competent Authority, when acting as VA, is expected to rely on the CA;
- the overall experience gained by the VA during previous validation exercises of similar product categories with the CA;
- the nature and complexity of the design to be validated;
- the performance and experience of the applicant with the VA; and
- the outcome of initial and continued qualification requirements assessments outlined in Articles 28 and 29, Annex 30 of the Agreement. The higher the continued confidence of the VA in the CA, the more the VA will reduce its level of involvement. The aforementioned assessments are outlined in more detail at paragraph 1.6 of this TIP.

2.2 Acceptance of Design Certificates

In accordance with Article 13, Annex 30 of the Agreement certain Design Certificates can benefit from acceptance and are therefore not subject to a validation process. In these cases, the Design Certificate shall be recognised by the VA as equivalent to a certificate issued in accordance with its own laws, regulations and administrative provisions. The VA shall not issue a corresponding certificate.

In accordance with Article 13, Annex 30 of the Agreement, the scope of acceptance is as follows:

2.2.1 Non-significant supplemental type certificates and non-significant major changes to a type certificate approved within the European Union regulatory system;

2.2.1.1 Non-significant supplemental type certificates and non-significant major changes issued by EASA as CA or by an Approved Organisation under Union law (EU DOA) for a civil aeronautical product certificated or validated by the UK CAA shall be accepted by the CAA UK as VA without any validation activities. These design changes are considered approved by the UK CAA and are included in the TC holder or STC holder's validated type design data. This process does not require an application to the UK CAA.

2.2.1.2 In case an accepted non-significant major change requires an update to the UK CAA's validated Type Certificate (VTC) or its data sheet (VTCDS), a further application for an administrative update of the VTC/VTCDS shall be made by the TC holder to the UK CAA and the necessary data shall be provided to the UK CAA;

2.2.1.3. For design changes outlined in paragraph 2.2.1.2 above where the UK CAA's validated type certification basis of the product is modified due to the following features:

(i) the product has novel or unusual design features relative to the design practices on which the applicable certification specifications are based;

(ii) the intended use of the product is unconventional; or

(iii) experience from other similar products in service or products having similar design features or newly identified hazards have shown that unsafe conditions may develop; or

(iv) the type certification basis has been amended to introduce a deviation or an equivalent safety finding,

the design change approval holder shall submit to the UK CAA the data detailing this modification of the type certification basis.

2.2.2 Design changes classified as minor in accordance with UK Part 21 or EASA Part 21.A.91:

- Where a design change is approved by a CA for a civil aeronautical product previously certified or validated by the other Party's Technical Agent and that design change would be classified as minor pursuant to either UK Part 21.A.91, EASA Part 21.A.91, UK Part

21.A.611 or EASA Part 21.A.611 it shall be accepted by the VA without any validation activities. These design changes are considered approved by the VA and are included in the Design Approval Holder type design data where applicable. This process does not require an application to the CA.

- If a minor design change to a Part or Appliance requires the update of the EASA validated certificate (for instance to add a part-number), a further application for administrative update of the validated ETSOA shall be made by the approval holder to EASA and the necessary data shall be provided to EASA.

2.2.3 Design data for a repair approved within the European Union regulatory system:

The UK CAA will accept EASA-approved design data produced under EASA Part 21 Subpart M used in support of major or minor repairs regardless of the SoD of the civil aeronautical product, if:

- The UK CAA has certified or validated the product;
- EASA is the CA for the repair design data; and
- the EASA repair design data approval is substantiated via a repair design approval letter or a repair design approval issued under a DOA.

In these circumstances, repair design data approved by EASA are considered approved by UK CAA without any validation activities. This process does not require an application to the UK CAA.

2.2.4 Design data for a minor repair within the United Kingdom regulatory system:

EASA will accept UK CAA-approved design data produced under UK Part 21 Subpart M used in support of minor repairs regardless of the SoD of the civil aeronautical product, if:

- EASA has certificated or validated the product;
- the UK CAA is the CA for the repair design data; and
- the UK CAA repair design data approval is substantiated via a repair design approval letter or a repair design approval issued under a DOA.

In these circumstances, repair design data approved by UK CAA are considered approved by EASA without any validation activities. This process does not require an application to EASA.

Design data approved under the United Kingdom regulatory system in support of major repairs will undergo one of the validation processes described in paragraph 2.3.

2.2.5 Technical standard order authorisations approved within the European Union regulatory system:

Technical Standard Order Authorisations issued by EASA under EASA Part 21 Subpart O are considered approved by CAA UK without any validation activities and are equivalent to a TSOA issued by UK CAA under UK Part 21 Subpart O. This process does not require an application to UK CAA.

2.3 Validation of Design Certificates

For Design Certificates that are not eligible for acceptance as established in paragraph 2.2, the Technical Agents have established two paths for validation:

- Streamlined validation; or
- validation in line with level of involvement principles.

2.3.1 Streamlined validation

This validation path is conducted in line with subparagraph 2.4.3 and is applicable:

- as a matter of principle, to design certificates referred to in Article 10(2), Annex 30 of the Agreement (i.e. significant supplemental type certificates and approvals for significant major changes issued by the Technical Agent of the European Union as Certificating Authority); and
- when decided by both Technical Agents on a case by case basis, to design certificates referred to in Article 10(4), Annex 30 of the Agreement (i.e supplemental type certificates, approvals for major changes, major repairs and technical standard order authorisations issued by the Technical Agent of the United Kingdom as CA or by an approved organisation under laws and regulations of the United Kingdom).

The significant/non-significant distinction is made by the Certificating Authority in accordance with the criteria outlined in EASA Part 21.A.101 and UK Part 21.A.101, respectively, and interpreted in accordance with the applicable rules and procedures of the Certificating Authority.

2.3.2 Validation in line with level of involvement principles

A Validation in line with level of involvement principles is conducted in accordance with subparagraph 2.4.4 and is applicable to:

- Design certificates referred to in Articles 10(1) and (3), Annex 30 of the Agreement (i.e. type certificates and restricted type certificates issued by the European Union or United Kingdom Technical Agents as Certificating Authority); and
- Design certificates referred to in Article 10(4), Annex 30 of the Agreement (supplemental type certificates, approvals for major changes, major repairs and technical standard order authorisations issued by the Technical Agent of the United Kingdom or by an approved organisation under laws and regulations of the United Kingdom), unless otherwise decided by the Technical Agents on a case-by-case basis.

2.4 Procedures for streamlined validation and validation in line with level of involvement principles

This section describes how an applicant obtains a Design certificate from the VA using the streamlined validation or the validation in line with level of involvement principles procedures. Both procedures begin with an application to the VA through the CA and both require a statement from the CA confirming that the design complies with the VA's certification basis. Both procedures conclude with the award of a Design Certificate by the VA. However, the interim steps for each procedure differ.

2.4.1 Application process

2.4.1.1 CA application responsibilities

An application for the validation of a Design Certificate will be made to the VA through the CA. Upon receipt of an application for a validation, the CA will:

1) Ensure that the civil aeronautical product or design change is within the scope of the Agreement;

2) ensure that a Design Certificate has been issued for the civil aeronautical product or design change by the CA, or an application has been made to the CA for a Design Certificate;

3) verify that the applicant's classification for validation is in line with subparagraph 2.3.1 or 2.3.2; and

4) verify that the data package to be transmitted to the VA described in subparagraph 2.4.1.2 is complete.

2.4.1.2 Data package

The data package will be submitted to the appropriate VA office (as listed in paragraph 1.9: Points of contact) by the applicant. The CA will check that the data package contains adequate information.

NOTE: For certain projects, some elements of the data package will not be available at the time of application; the data package for such projects will include all known data at the time of application. This does not prevent the validation process from being started and missing information will be provided to the VA as it becomes available during the course of the project.

A validation data package is comprised of:

1) A description of the product.

   a) If the application concerns a TC :

      i) the descriptive data provided for in UK Part 21.A.15 for applications to the UK CAA or EASA Part 21.A.15 for applications to EASA;

      ii) a list of any applicable CA mandatory continuing airworthiness information (MCAI) such as ADs;

      iii) a statement confirming that changes to correct any unsafe condition identified in the MCAI have been incorporated into the type design presented for validation; and

      iv) a copy of any approved manuals and approved instructions for continued airworthiness (ICA).

   b) If the application concerns a design change, including an STC:

      i) a high-level description of the change, together with the make and model of the product being changed;

      ii) if affected, a copy of changes to the Airworthiness Limitations Section (ALS) of the ICA;

      iii) if affected, a copy of changes to other Operating Limitations (e.g. Aircraft Flight Manual); and

iv) if affected, of copy of changes to the OSD.

The VA needs to be aware of any such changes to ensure it is able to release updated information, or to perform any necessary mandatory airworthiness activity as required by its system, or to address crew-training requirements to support the operational introduction of the design change. Any additional information the VA needs to fulfil such responsibilities will be requested by the VA within the timeframe specified in subparagraph 2.4.2.

2) The date of the application to the CA.

3) A statement confirming that the CA has determined the process applicable for validation in line with subparagraph 2.3.1 or 2.3.2.

4) A copy of the CA's TC and TCDS, TCDSN or STC that identifies the certification basis upon which the CA's Design Certificate was issued. In the absence of a TCDS, the CA should submit the document that defines the CA's certification basis.

The CA should also provide the reference date used to establish the CA certification basis.

5) A statement from the CA confirming that the product complies with:

a) The applicable airworthiness, noise, fuel venting and emissions requirements of the VA; or

b) the CA's airworthiness requirements and the VA's Significant Standard Differences (SSDs), special conditions, equivalent safety findings and deviations the VA has prescribed to enable the same level of safety as the VA's airworthiness requirements to be achieved; and

c) the CA's noise, fuel venting and emissions requirements, plus any other requirements prescribed by the VA to provide noise, fuel venting and emissions requirements equivalent to those provided in the applicable VA standards.

d) In the case of technical standard order authorisation, the applicable ETSO with the applicable limitations and deviations compensated for by factors or design

features providing an equivalent level of safety. The statement should also confirm the non-interference of any non-ETSO functions when present.

6) When affected, the detailed environmental characteristics of the product.

7) An application form, which provides the necessary administrative elements and, where applicable, some of the elements quoted above.

Note: See paragraph 1.9 for links to available application forms.

2.4.2 VA acknowledgement and review of data package

The VA will review the data package and request any missing information within twenty (20) working days of receipt of the data package.

When applicable, the VA will check that the CA's statement of compliance is complete, and will verifiy that the correct VA certification basis has been used.

2.4.3 Streamlined validation process

2.4.3.1 The streamlined validation process is where validation is limited to a VA's technical familiarisation with the Design Certificate to be validated. There is no involvement of the VA in the showing/ findings of compliance activities and once the technical familiarisation is complete, the VA will issue a validated Design Certificate based on the corresponding CA Design Certificate and the statement of compliance from the CA to the VA, as described in 2.4.3.6.

2.4.3.2 Streamlined validation process projects are managed as sequential projects, in which the CA submits a validation application to the VA after the CA has completed its certification programme. Where there is an urgent operational need to complete the validation process for a design change that could be subject to streamlined validation, the technical validation procedure set out in 2.4.4 may offer the possibility of a concurrent validation exercise. In this circumstance the VA should take into account the level of involvement principles set out in subparagraph 2.4.4.9 and the provisions of subparagraph 2.4.4.2 where applicable.

2.4.3.3 In order to provide the VA with an adequate technical familiarisation:

1) The data package referred to in subparagraph 2.4.1.2 will be complemented with a technical familiarisation package, dedicated presentations and/or reports.

2) Alternatively, the description of the design change provided in the data package will be sufficiently thorough so as to ensure that the purpose of the technical familiarisation is fulfilled.

NOTE: for streamlined validation projects, a technical familiarisation is normally limited to a desktop review of the provided documentation. For complex projects, when decided by the VA and CA, one or more dedicated meetings may support the familiarisation.

2.4.3.4 The technical familiarisation in the streamlined validation process is only for the purpose of gaining an understanding of the approval to be validated. The VA will focus its attention

during the technical familiarisation on understanding the general compliance methodologies used by the applicant.

Each design area of the change should be presented to the VA's team, highlighting any architectures, any main critical, new and novel technologies, etc. Therefore, any presentations should include:

1) an overview of the proposed design, intended operational use and, if applicable, relation to previously approved products;
2) the CA certification basis and proposed VA certification basis, including analysis of their differences;
3) any novel design features, novel applications of existing technology, or unconventional uses of the product;
4) any design features where experience has shown that an unsafe condition might occur;
5) all deviations, special conditions, and equivalent safety findings issued by the CA, and
6) any newly proposed interpretations or Means of Compliance (MoC) for existing standards.

In the particular case of technical familiarisation for the purpose of validating a Part or Appliance, the presentation material should include, where applicable:

1) the applicable VA Part and Appliance standard, classes and types;
2) the part-number structure;
3) the list of anticipated minor changes and criteria to classify minor changes;
4) the list and description of deviations;
5) the list and description of Non-ETSO/non-UK TSO function;
6) a description of any novel or unique design features;
7) a description of the implemented new technologies or new technology applications;
8) the list and description of limitations, including Open Problem Reports as per the applicable VA guidance material;

9) the classification of the main failure condition, and resulting Development Assurance Levels for Software and Electronic Hardware;

10) a description of the architecture, of the software, electronic hardware and mechanical design;

11) Declaration Design and Performance (DDP) and installation manual; and

12) marking.

2.4.3.5 Confirmation of the applicable VA certification basis

During the technical familiarisation, the VA will check the completeness and adequacy of the proposed applicable requirements for the change.

The VA shall inform the CA of any missing requirement in the proposed VA certification basis.

In this case, when applicable, the CA will update the statement of compliance with the VA's certification basis.

2.4.3.6 Technical familiarisation timing

The VA shall complete its technical familiarisation within twenty (20) working days from receipt of a complete application or when applicable twenty (20) working days upon completion of any necessary specific meeting, with concurrent notification to the CA.

Once the technical familiarisation has been completed, the VA will issue its validated Design Certificate based on the CA's Design Certificate, the CA's statement of compliance with the VA's certification basis and reliance on the data provided by the CA, including acceptance of any CA approved manuals provided as part of the data package.

The VA will issue its validated Design Certificate and immediately inform the CA that it has done so within fifteen (15) working days of completion of the technical familiarisation.

2.4.4 Validation process in line with level of involvement principles

For projects within the classification of subparagraph 2.3.2, a validation process in line with level of involvement principles will be performed by the VA in order to issue a validated Design Certificate.

For technical standard order authorisations, the technical validation, if applicable, will be conducted in accordance with paragraph 2.4.4.14.

2.4.4.1 The objective of this validation process is to provide the VA with sufficient information for it to establish its certification basis and perform a review of the CA's approval in line with the level of involvement principles.

2.4.4.2 The VA may choose to limit the Technical Validation process to a review of the application. If it does so, it may immediately upon completion of the review issue a validated Design Certificate. No further steps need to be taken.

2.4.4.3 A validation process in line with level of involvement principles can be performed as a sequential or as a concurrent validation.

1) In a sequential validation process, the CA will have completed its certification, or will be well advanced in its certification process before the applicant applies for a validation by the VA. In this case, the CA's certification basis and MoC have been established and approved by the CA.

   Type design changes, revised operating limitations, or new or revised certification testing or analysis may be required in a sequential programme to meet the VA's requirements, as these requirements may not have been considered during the CA's certification process.

2) In a concurrent validation process, the applicant must request validation of the product by the VA whilst the CA is certifying it in order to obtain both the CA and the VA's approval at, or near, the same time. The benefits of a concurrent programme are as follows:

   - It allows unique VA requirements to be addressed during the design development and initial showing of compliance;

- it provides an opportunity for collaborative development of both CA and VA certification bases and MoC; and
- it provides for early identification of areas where jointly established solutions are not readily available.

3) A concurrent validation may use any or all of the following optional items:

i) A Work-Sharing Programme

A work-sharing programme is where the VA may check the findings of compliance on behalf of both the VA and CA. Work-sharing may be advantageous when certification activity is occurring within the geographical area of the VA, or when limited CA resources make it advantageous to advance the project by using VA resources. Work-sharing can be limited to a single issue or may be utilised extensively throughout the project and, if confirmed, may persist through the life of a programme into post-type certification activities. Such work-sharing arrangements will be documented within the project and confirmed by the CA, VA and applicant.

ii) Certification Review Items (CRIs)

The CA and the VA may jointly develop and approve CRIs that are common to establish the programme certification requirements. Common CRIs can be limited to a single issue, or may be used extensively throughout the project.

iii) Single Certification Basis

The CA and VA may elect to jointly develop a single certification basis that satisfies both UK and EU regulatory requirements.

2.4.4.4 Description of the project phases for validation in line with level of involvement principles

1) The following are the project phases for the validation of a certificate following the level of involvement principles. The project phases are tailored, and may be simplified or combined, depending on the level of complexity of the product to be validated, when confirmed between the CA and the VA.

Project Phase	Objective	Beginning	Ending
Phase 1 (Paragraph 2.4.4.5)	General familiarisation	Acknowledgement of application by VA	Establishment of VA team
Phase 2 (Paragraph 2.4.4.6 & 2.4.4.7)	Technical Familiarisation and establishment of VA Certification Basis	First technical familiarisation meeting (if required)	Establishment of VA Certification Basis
Phase 3 (Paragraph 2.4.4.8, 2.4.4.9 & 2.4.4.10)	Determining VA Involvement	Completion of Phase 2	Initial Validation Items closed and decisions made regarding initial VIs findings of compliance
Phase 4 (Paragraph 2.4.4.11, 2.4.4.12 & 2.4.4.13)	Compliance verification	First findings of compliance activities	Issuance of VA Design Certificate

2) It is the applicant's responsibility to propose a realistic timescale throughout the course of the validation phases, to seek CA and VA agreement and to take appropriate action with the CA and VA to stay as close as possible to the established schedule.

3) Certain technical disciplines on a VA team may be at different phases of the validation project depending on the progress of their efforts. There is no need for any technical discipline to delay its validation efforts to wait for others that are not so advanced.

Note: The initiation of the technical validation process follows the steps for application and acknowledgement of the application as described in subparagraphs 2.4.1 and 2.4.2.

2.4.4.5 General familiarisation (Phase 1)

The objective of the general familiarisation is to provide the VA with an overview of the product, the main technologies utilised and any unusual characteristics, including a high-level project schedule.

A key element of Phase 1 is the general familiarisation meeting. At this meeting, the applicant will present an overview of the project to the VA and familiarise the VA with the design, as currently known.

Sufficient information must be provided at the general familiarisation meeting to enable the VA to establish the appropriate technical disciplines, size of the VA team, and guidance for that team. This should maximise the effectiveness of any follow-on meetings. The meeting is expected to last no more than two days.

A general familiarisation meeting may not be required if the VA confirms that changes from previously validated designs do not warrant it.

Phase 1 is complete when the VA team has been established.

2.4.4.6 Technical familiarisation (Phase 2)

1) The objective of this phase is to provide detailed technical information about the project to the VA's team to determine what the VA's initial type certification basis is.

This objective can only be fulfilled when the applicant has provided a sufficiently detailed description of the design to the VA and when the CA's certification basis has

been sufficiently described to the VA. This is done, in particular, during one or several technical familiarisation meeting(s).

2) The applicant, in coordination with the Project Certification Manager (PCM) of the VA and in consultation with the CA, will draw up an agenda for this/these meeting(s), and make the necessary arrangements, including preparation of suitable descriptive material and other documentation necessary for the smooth conduct of the meeting(s).

3) The technical familiarisation meeting(s) may take whatever format is appropriate and may include, for example, videoconferencing or teleconferencing.

4) The PCMs of the CA and VA will ensure that the technical familiarisation meeting is scheduled at a date suitable to all parties involved and that sufficiently knowledgeable representatives from all parties are participating.

   The CA is expected to attend the familiarisation meeting.

5) The applicant, with support from the CA as applicable, will present to the VA:

   a) An overview of the proposed design, intended operational use and, if applicable, relation to previously approved products;

   b) the CA certification basis and proposed VA certification basis, including analysis of their differences;

   c) any novel design features, novel applications of existing technology, or unconventional uses of the product;

   d) any design features where experience has shown that an unsafe condition might occur;

   e) all deviations, special conditions, and equivalent safety findings issued by the CA; and

   f) any newly proposed interpretations or MoCs for existing standards.

6) For concurrent validation projects, in addition to the elements listed in the subparagraph immediately above, the CA may identify the domains, if any, where findings of compliance may be delegated to the VA, such that the VA verifies

compliance with both CA and VA requirements. This could be done, for example, when the VA may have particular expertise or specific resources not available to the CA, or a supplier is an entity regulated under the VA's certification oversight.

7) A familiarisation flight may be a part of the technical familliarisation process. In concurrent validation projects, VA familiarisation flights cannot be conducted until late in the project when a flying aircraft is available.

Familiarisation flights are typically conducted for all new TC programmes. Familiarisation flights may also be conducted for other design change programmes having a significant impact on the operational capabilities or limitations, or pilot-aircraft interface.

Familiarisation flights are not to be used to repeat the findings of compliance performed by the CA. Rather, they have following purposes:

a) Identify for resolution by the CA any potential compliance issues not previously identified by the validation team in the course of technical familiarisation; and

b) familiarise the VA with the type design as necessary to support continued operational safety of the VA registered fleet.

Familiarisation flights should be supported by the CA flight test team to facilitate completion of the objectives described above.

NOTE: The VA should identify operational standards with design impacts early in the programme – typically during the technical familiarisation phase – so that those standards may be included in the validation activities.

2.4.4.7 Establishment of the VA certification basis (Phase 2)

The VA will establish a certification basis when a validation process is applied for. This certification basis will be recorded in a dedicated VA certification basis document (e.g. CRI A-01) to be produced by the VA in cooperation with the CA and the applicant. This document will be updated, as required, during the validation process.

The VA will notify the applicant and CA of their initial certification basis.

The VA's certification basis should consist of all of the following items:

- Applicable airworthiness requirements, including, if relevant, elect to comply or reversions;
- applicable environmental protection requirements; and
- equivalent safety findings, deviations or special conditions, if applicable.

The VA's certification basis will be based on its own airworthiness standards applicable to the same category of civil aeronautical product, or, if such standards do not exist, a similar category. In order to determine which standards are applicable, the VA will refer to the same date the CA used to establish its certification basis.

The environmental protection requirements the VA will use during the validation process will be the applicable requirements that were in effect in the VA's jurisdiction on the date of application for validation to the VA.

Alternatively, the VA may establish its certification basis for validation by accepting the CA's certification basis and identifying any Additional Technical Conditions (ATC) that may be applicable, including, and not limited to, the differences between the VA's airworthiness standards and environmental protection requirements and those listed in the CA's certification basis.

Taking into account the information provided during the technical familiarisation, the VA will specify, when applicable, any:

- Deviation from the applicable airworthiness standards; and
- compensating factors that provide an equivalent level of safety when applicable airworthiness standards are not complied with.

The VA will also specify any special condition to be applied if the related airworthiness code does not contain adequate or appropriate safety standards for the product, because:

- The product has novel or unusual design features relative to the design practices on which the applicable airworthiness code is based;
- the intended use of the product is unconventional; or
- experience from other similar products in service or products having similar design features, has shown that unsafe conditions may develop.

When specifying deviations, compensating factors or special conditions, the VA will give due consideration to those applied by the CA. The VA will not be more demanding for the products to be validated than it would be for similar products it has certified. The VA will notify the CA of any such deviations, compensating factors or special conditions.

The certification basis may need to be adapted during the validation process as the VA's knowledge of the design increases.

During the validation process, as jointly established by the CA and the VA, the applicant may adopt into the VA certification basis later amendments to airworthiness or environmental protection standards than those specified in the VA's initial certification basis.

As detailed in subparagraph 2.4.4.3 2), the CA and VA may decide to pursue a concurrent validation process. If they decide to do this, they may jointly develop all or part of their applicable certification bases. For instance, where adequate, the VA may use a CRI established by the CA instead of issuing its own CRI.

In a concurrent validation programme, the CA position regarding a particular CA CRI may not be fully established at the time of Phase 2. In such cases collaboration between the CA and the VA specialists should be encouraged to promote a harmonised evolution of the CA's CRI during the programme, so that full adoption into the VA certification basis at the time of closure of Phase 2 takes place.

2.4.4.8 Establishment of Validation Items (VIs) (Phase 3)

One of the outcomes of Phase 2 is to enable the identification of technical areas of interest which the VA will incorporate into a list of VIs. The list of VIs will then be discussed by the VA and the CA and is recorded in the VWP.

The VA's evaluation or review conducted in Phase 2 is confined to the general, overall methodology used by the applicant, including assumptions and MoC, in order to determine if VIs are necessary and to support development of the VA VWP used to document those VIs.

Further details, including review of test plans, test witnessing, or other details of the showing of compliance are discussed at a later stage, in the context of established and retained VIs.

VIs identify aspects of the design, certification basis or proposed MoC that warrant VA involvement beyond technical familiarisation.

The basic principle for the validation process is that the VA will not review the findings of compliance already made by the CA or be involved in an in-depth review of the MoC, except in areas which fall within the scope of identified VIs.

The VA will establish the scope of its technical review by identifying VIs, on the basis of the level of involvement principles detailed in subparagraph 2.1.3.

Generic VIs:

The following are generic VIs, which means that they apply to any project:

1) SSDs – Airworthiness standards differences where the standards are substantively different and may result in type design changes (including approved manuals) in order to meet the VA's airworthiness standards. The VA will identify any SSDs by comparing any applicable VA and CA standards. If there are no specific SSDs identified by the VA or if no SSD list is provided by the VA, this criterion will not apply.

2) New VA Standards – When VA airworthiness or environmental protection standards are specified and any of the following apply:

    a) the VA has limited past experience with their application to a CA product; or

    b) new VA standards which have an important impact on the whole product or a product's critical feature; or

    c) new VA standards requiring engineering judgment to establish compliance.

Project VIs:

In addition to Generic VIs, VIs specific to a particular design or product may be established by the VA. Indeed, a validation project may need to address unique elements to cater for the product's design, use, or proposed MoC. The VA may identify these elements for special review and consideration. Project VIs are developed by the VA team solely to address a particular project's elements and are created with the level of involvement principles outlined in subparagraph 2.1.3 in mind. In addition, Project VIs must meet one of the following criteria:

1) New Technology – This is technology that is new to the VA as a whole, not just new to the VA team members. For instance, if technology used by the applicant were new to

the VA team but not the VA itself, it would not be considered a Project VI. It is the VA's responsibility to make sure the VA team members are properly informed of the earlier use of the technology, VA standards and MoC.

2) Novel Applications of Existing Technology – This is where a particular technology is being used in a manner that is unfamiliar to either the CA or the VA and causes the precepts of the technology to be questioned. It does not mean that existing technology which is being applied for the first time to a particular product line is automatically considered to be novel. In order to qualify as a novel application of existing technology the application must be novel to the VA as a whole, not just the project team.

3) The Product Use is Unconventional – This is where a product is being used for a purpose for which it was previously not designed.

4) Unsafe Condition – The product contains design features where CA or VA experience with other, similar products in service has shown that an unsafe condition might occur in that product, even though compliance with the standards in the VA certification basis can be shown.

   NOTE: The principle of 'unsafe condition' should only be used to upgrade the level of safety of the product if the VA has mandated, or is in the process of mandating, this upgraded level of safety to all other products with similar design features.

5) New Interpretations or MoC for the Existing Airworthiness Standards – These are interpretations/ MoC applied by the CA that are different from those already established between the CA and the VA. A standards interpretation or MoC would not be considered new if it had been applied previously in a similar context by both the CA and the VA and had been accepted by both.

6) Deviations – These are subjects identified by the VA or CA as potentially requiring a deviation from the VA's standards.

7) Equivalent Safety Findings – These are items identified by the VA or CA as potentially requiring an equivalent level of safety finding to the VA's standards.

2.4.4.9 Level of the VA's Technical Involvement (Phase 3)

1) Principles

During the findings of compliance exercise undertaken in Phase 4, the VA should rely on the CA as much as technically justifiable. Consequently, the CA should verify compliance with the VA's certification basis and confirm to the VA that the applicant has shown full compliance.

The level of involvement principles are designed to limit the activities undertaken by the VA's technical specialists to those which are necessary. That involvement should be proportionate to the complexity, size and safety impact of the design being validated.

In order to ascertain the appropriate level of technical involvement, the VA should take into account its experience gained during previous validation programmes. Support may be provided by the applicant to identify previous validation activities with the VA in the same product category. To facilitate this exercise the CA may, in agreement with the applicant, propose to the VA those areas where an in-depth technical involvement of the VA should take place.

Whilst it is ultimately the VA's decision as to which areas require its detailed involvement, the CA and the VA should exercise sound judgment in ascertaining what those areas are, keeping in mind the guiding principles outlined in subparagraph 2.1.3.

2) Retained VIs

An important step of the definition of the VA's technical involvement is the identification of retained VIs. A retained VI is a validation item for which part of the compliance determination is exercised by the VA. In this case, the VA directly verifies test reports or other compliance reports that directly support a determination of compliance.

Retained VIs are detailed in the validation work plan (cf. paragraph 2.4.4.10).

3) First validation of a given product category

A product category is intended to reflect the civil aeronautical products sharing common characteristics on the basis of the following EASA and UK CAA Certification Specifications:

- CS-25 Large Aeroplanes

- CS-23 Normal, Utility, Aerobatic, and Commuter Category Aeroplanes
- CS-22 Sailplanes and Powered Sailplanes
- CS-LSA Light Sport Aeroplanes (now merged with CS-23)
- CS-VLA Very Light Aeroplanes (now merged with CS-23)
- CS-29 Large Rotorcraft
- CS-27 Small Rotorcraft
- CS-VLR – Very Light Rotorcraft
- CS-31HB Hot Air Balloons
- CS-31GB Free Gas Balloons
- CS-31TGB Tethered Gas Balloons
- CS-APU Auxiliary Power Units
- CS-E Engines
- CS-ETSO
- CS-P Propellers

Upon agreement between the Technical Agents, some civil aeronautical products sharing common characteristics, although not covered by a specific CS code, may be considered as a civil aeronautical product category (e.g. airships, Unmanned Aircraft Systems).

In accordance with the provisions of Article 12(2), Annex 30 of the Agreement, special procedures and scrutiny will apply for the first validation of any certificate, where the certificating authority has not previously issued a certificate in the category of civil aeronautical products concerned after 30 September 2004.

In this case, the VA will pay special attention to the CA's processes and methods. The objective is to verify how the primary certification authority implements operationally its own procedures during a real certification exercise and makes findings to the certification basis.

This will lead the VA to exercise, as is necessary and proportionate, a higher level of involvement than described in the above subparagraph 2.4.4.8 and in this subparagraph.

4) Metrics

The below indicators will be used to measure, monitor and review the VA's effective level of technical involvement with regards to the principles outlined above in subparagraphs 1), 2) and 3):

- Number of meetings and visits to the CA and the applicant;
- consolidated number of hours spent by the VA during the validation exercise;
- overall timing of the project;
- size of the validation team;
- number of flight hours performed / witnessed by the VA during the validation exercise; and/or
- number of VIs and retained VIs (RVIs).

2.4.4.10 VA's VWP (Phase 3)

A VWP establishes the scope and depth of the VA involvement. The scope identifies what to review and the depth identifies how much to review, and to what level of detail. It should clearly identify any retained VIs and detail which certification documents are retained, which tests will be witnessed, which audits will be performed, etc.

Based on the review of the data package and the elements provided during the technical familiarisation phase the VA will develop an initial VWP. The VA will provide its VWP to the CA and the applicant following approval by the VA management.

The VWP is scalable to suit the scope and complexity of the project and should include:

- A brief description of the product or change, as provided in the data package;
- identification of the responsible VA PCM and any VA team members involved in the validation project;
- a description of the CA certification basis;

- a description of the VA certification basis, including identification of the applicable VA airworthiness and environmental protection standards;
- a list of proposed areas of VA level of involvement, recording the VIs discussed between the VA and the CA as per subparagraph 2.4.4.8; and
- a description of the retained VIs as per subparagraph 2.4.4.9 2) and the associated activities (certification documentation approved, test witnessing, audits).

The VWP will be revised by the VA if, during the course of the validation project, it determines a need to revise the scope or depth of its validation review. Any changes which expand the VA's involvement will be approved by the VA's management and communicated to the CA and the applicant.

The VA may choose to have no further level of involvement beyond review of the data package, in which case no VWP is required and the VA will only request a statement of compliance, as described in subparagraph 2.4.4.13, from the CA to support the issue of a VA Design Certificate.

2.4.4.11 Findings of Compliance (Phase 4)

The findings of compliance phase begins when an agreement is reached between the CA, VA and applicant on VIs and associated MoC.

The CA will verify, on behalf of the VA, that findings of compliance have been made by the applicant, except for subjects defined within the VWP.

In accordance with the provisions of Article 10(1), Annex 30 of the Agreement, the following data, when part of a TC issued by EASA and being validated by the UK CAA, will be accepted by the UK CAA and cannot lead to retained VIs by the UK CAA:

- Engine installation manual (for engine TC);
- structural repair manual;
- instruction for continued airworthiness of electrical wiring interconnection systems; and
- weight and balance manual.

For retained VIs, the VA will review the showing of compliance (e.g. plans and reports), giving due consideration to any findings of compliance the CA has already checked, or is able to check on its behalf.

NOTE: Once the VA has accepted an MoC for a given standard on any programme with the CA, the expectation is that the VA will accept that MoC in the future as long as the assumptions made in the MoC are applicable. An exception is where a past MoC has been determined not to be sufficient. This determination will be discussed between the VA and the CA.

The applicant will provide documentation requested by the VA showing findings of compliance for retained VIs. The documentation requests should be reasonable and appropriate.

For certain retained VIs, checking of the findings of compliance can be made through an off-site review. In this case, the technical specialists of the VA will review the technical documentation supplied by the applicant, and communicate, as necessary, with the CA and the applicant.

If, during any project, the VA's PCM finds that significant technical or documentation concerns persist and an off-site review is not leading to their resolution, the PCM may consider requesting an on-site review to address the specific area of concern.

The VA will coordinate on-site visits with the applicant and the CA. The VA will supply details of team composition and schedules for each of the technical specialists' review sessions (on the technical areas of interest) to the CA and applicant.

The intention of an on-site review is to enable the VA's technical specialists to check findings of compliance activities during a single comprehensive visit. In some cases, however, specialists may require more than one visit.

Following an on-site review, if the VA determines that additional visits by the technical specialists are required, such visits should be held as early as possible in the validation schedule in order to accommodate any design changes needed.

Items of concern or items requiring further clarification, including the way the applicant has made findings of compliance or the conduct of the certification activity by the CA will be

documented and resolved between the CA and VA. Disagreements or conflicts on technical issues should be resolved at the lowest possible technical level, but if no resolution is possible, should be raised promptly and if required, progressively, to CA and VA management to avoid potential delays in the validation schedule.

2.4.4.12 Conclusion of the Validation (Phase 4)

The VA will notify the CA upon completion of its validation exercise and indicate its readiness to issue its validated Design Certificate.

The CA, the VA and the applicant may decide to have a meeting to mark the conclusion of the validation.

At the end of the validation activities, the following declarations will be made:

- For findings of compliance which have been verified by the VA at the request of the CA (in a concurrent validation) or for findings of compliance made to the VA's retained VIs, the VA will notify the CA that compliance to the VA and/or the CA's (as applicable) requirements has been demonstrated.
- Upon issuance of the CA's Design Certificate and completing the verification of all findings of compliance not made by the VA, the CA will provide to the VA a statement of compliance with the VA certification basis so that the VA may issue its validated Design Certificate. The following is an example of such statement of compliance:

'With the verification of compliance made by the {VA} and summarised in {Letter or document} dated {Date}, the {CA} certifies that the {Specific product type and model} complies with the {VA's } Certification Basis as identified in {Certification Review Item A-1 } dated {Date}.'

2.4.4.13 Issuance of a Design Certificate (Phase 4)

The VA will issue a Design Certificate when:

- The CA has issued its own Design Certificate;
- the applicant has shown and declared compliance to the VA's certification basis;
- the CA has issued a statement of compliance to the VA's certification basis;

- all issues raised during the validation process conducted by the VA have been resolved; and
- administrative fees have been paid by the applicant in line with the applicable VA's Fees and Charges requirements.

NOTE: The EASA and UK TC includes certain data, called OSD, that TC holders are required to produce. By derogation, an EASA or UK TC may be issued with a delayed OSD approval. In such cases the TC would not allow the product to be operated by an EU or UK operator and the OSD data would need to be approved independently of the TC before entry into service with an EU (or UK) operator; this may require the re-opening of a CRI A-01 to record late OSD certification basis changes. The TCDS will then be updated to record OSD references.

2.4.4.14 Technical Validation for Technical Standard Order Authorisations

1) Application

In addition to the responsibilities detailed in paragraph 2.4.1.1, the CA should assure that the applicant has used the VA applicable technical performance standards and procedures. The CA shall not forward applications that have not used the applicable technical performance standards and procedures.

For technical standard order authorisations subject to technical validation, the application data package will contain, in addition to the list in paragraph 2.4.1.2:

a) The certification programme;

b) the part or appliance outline and nameplate drawings;

c) the qualifications plans, procedures and reports;

d) the software and airborne electronic hardware documents, including at least:

i) Plan for Software Aspects of Certification, Software Accomplishment Summary, Software Configuration Index;

ii) Plan for Hardware Aspects of Certification, Hardware Verification Plan, Hardware Accomplishment Summary, Hardware Configuration Index (also known as Top-Level drawing);

e) the compliance report to the Parts and Appliance Standard; and

f) the installation, operation and maintenance manual as applicable.

2) Issuance of the technical standard order authorisation

The VA will issue a technical standard order authorisation after:

a) Receipt of all the items identified in paragraphs 2.4.1.2 and 2.4.4.14. 1) above;

b) conducting a review of the data/documentation specified in the applicable ETSO;

c) receipt of other specific technical data, as jointly agreed between the CA and the VA needed to demonstrate compliance with the applicable ETSO; and

d) VA approval of all proposed deviations.

3 CONTINUING AIRWORTHINESS

3.1 General

The Competent Authorities are responsible for fulfilling their responsibilities under Annex 8 of the Chicago Convention. The functions of the authority of SoD, and where appropriate, SoM or SoR will be carried out by the appropriate Competent Authority. These procedures are intended to facilitate the fulfilment of those responsibilities and for the timely resolution of in-service safety issues arising on civil aeronautical products under their respective jurisdictions.

Under Annex 8 of the Chicago Convention, the SoD is responsible for resolving in-service safety issues related to a civil aeronautical product's design or production. The CA, as the authority discharging the SoD responsibilities, will provide details of mandatory modifications, required limitations and/or inspections to the importing Party to ensure continued operational safety of the civil aeronautical product. The VA will review and normally accept any corrective actions taken by the CA in the issuance of, or as part of, its own mandatory corrective actions.

The CA, as the authority discharging the SoD responsibilities, will assist, upon request, in determining any actions considered necessary by the VA for the continued safety of civil aeronautical products operating under the jurisdiction of the importing Party. The VA will decide the action(s) to be taken with respect to affected civil aeronautical products.

3.2 Failures, Malfunctions, Defects and In-Service Difficulties

3.2.1 The Technical Agents perform the following functions for any civil aeronautical product where they act as Authority discharging SoD responsibilities:

- Tracking and evaluation of failures, malfunctions, defects, in-service difficulties and accident/incident reports;
- investigation and resolution of all suspected unsafe conditions;
- the provision of timely advice to the VA of known unsafe conditions and the necessary corrective actions to be taken;
- the provision to the VA, upon request, with the following:
    - Reports of failures, malfunctions, defects and in-service difficulties;
    - status of investigations into failures, malfunctions, defects, in-service difficulties and accidents/ incidents; and
    - copies of final reports reached in its investigation into failures, malfunctions, defects and in-service difficulties, if available.
- making reasonable efforts to resolve issues raised by the VA concerning matters of safety for civil aeronautical products operated or used under the jurisdiction of the importing Party.

3.2.2 The Technical Agents, when acting as VA, perform the following functions:

- Advising the CA of any failures, malfunctions, defects, in-service difficulties and accidents/incidents which are believed to be potentially unsafe conditions occurring on the CA's civil aeronautical products;
- supporting the CA during any investigation of unsafe conditions and their occurrences; and
- advising the CA, when as a result of investigations made by the importing Party into failures, malfunctions, defects, in-service difficulties and accidents/incidents, the VA has determined that it will implement its own mandatory corrective action(s).

3.2.3 Copies of failure, malfunction, defect and in-service difficulty reports from the Technical Agents can be requested at the addresses listed in paragraph 1.9.

3.3 Unsafe Condition and MCAI

The Technical Agents will perform the following activities for the civil aeronautical products for which they function as the authority discharging the SoD responsibilities:

3.3.1 Issuing MCAI whenever the Technical Agent determines that an unsafe condition exists in a civil aeronautical product and is likely to exist or develop on a product of the same type design. This may include civil aeronautical products which develop unsafe conditions as a result of other products being installed on them. The content of MCAIs should include, but are not limited to, the following:

- Make, model, and serial numbers of affected civil aeronautical products;
- description of the unsafe condition, reasons for the mandatory action, and its impact on the overall aircraft and continued operation;
- description of the cause of the unsafe condition (e.g. stress corrosion, fatigue, design problems, quality control, suspected unapproved part);
- the means by which the unsafe condition was detected;
- corrective actions and corresponding compliance times; and
- a list of the relevant manufacturer's service information including reference number, revision number and date;

3.3.2 issuing a revised MCAI to introduce an alleviation to the previously issued MCAI or issuing a superseding MCAI whenever any previously issued MCAI is found to be incomplete or inadequate and does not fully correct or properly mitigate the unsafe condition;

3.3.3 sending a copy of the MCAI at the time of publication to the VA by e-mail or other mutually accepted means. Additionally and upon the VA's request, the CA may send copies of MCAI-relevant service bulletins;

3.3.4 in the case of emergency MCAIs, ensuring that the VA is notified prior to publication, when possible;

3.3.5 advising and assisting the VA onthe appropriate actions to take in the issuance of its own MCAI;

3.3.6 maintaining a web-based database of MCAI that can be accessed by the VA at the following locations:

For the CAA: CAA publication CAP747 and its associated website: https://www.caa.co.uk/Commercial-industry/Aircraft/Airworthiness/Continuing-airworthiness/Airworthiness-Directives/

For EASA: AD publishing tool: http://ad.easa.europa.eu.

3.3.7 if applicable and possible, providing each other an advance copy of the MCAI.

The CA will share information on any change that affects operating limitations, life limits, or any other airworthiness limitations, to include manual changes and changes to certification maintenance requirements. These changes should be promptly sent to the VA in order to ensure the continued operational safety of affected aircraft. The Technical Agents may treat a reduced life limit as an unsafe condition and may accordingly issue an MCAI. The Technical Agents may also issue an MCAI for other limitation changes when considered as an unsafe condition.

The Technical Agents recognise that they may disagree as to the finding of an unsafe condition. If such disagreement arises, the VA will normally consult with the CA prior to issuing its own MCAI. The CA will work with the TC/TA holder to provide sufficient information (e.g. service bulletins) to the VA in a timely manner for its use in issuing this unilateral MCAI.

The VA may either issue its own MCAI, or adopt the CA's MCAI in order to address all unsafe conditions on affected civil aeronautical products that have been certified, approved or otherwise accepted by the VA.

For certain cases of unsafe condition related to production or maintenance, EASA may issue an Emergency Conformity Information (ECI) instead of an AD. Both ECI and AD are EASA-issued MCAI under Annex 8 to the Chicago Convention.

3.4 Alternative Methods of Compliance (AMOC) to an AD

3.4.1 EASA-approved AMOCs related to EASA ADs applicable to EU SoD products or STCs are automatically considered to be UK CAA approved, provided the related EASA AD has been adopted by the UK CAA or the UK CAA issued an AD with no deviations from the EASA AD.

3.4.2 UK CAA-approved AMOCs related to UK CAA ADs applicable to UK SoD products or STCs, are separately approved by EASA. When issuing its approval EASA will give full consideration to the UK CAA approved AMOC provided the related UK CAA AD has been adopted by EASA. When issuing its approval of the UK CAA AMOC , EASA should focus on areas where EASA standards deviate from UK standards in a way that may impact the mitigation measures applied by the UK CAA. EASA will rely on the UK CAA to support this process to the fullest extent.

4 ADMINISTRATION OF DESIGN CERTIFICATES

4.1 General

This section addresses procedures for the transfer, surrender, revocation, suspension, or withdrawal of a Design Certificate.

The Technical Agents will administer the transfer of TCs/STCs only where an applicant agrees to assume responsibility for both a UK CAA and EASA TC/STC and the affected operating fleet. Early coordination with both Authorities is necessary for the timely transfer of TCs and STCs.

In all cases, type design data are the property of the design approval holder.

The transfer of the SoD responsibilities in accordance with Annex 8 of the Chicago Convention must be agreed to by both Authorities. If agreement cannot be reached between the two Authorities, then the CA may revoke the certificate and notify the concerned ICAO States that there is no longer a design approval holder. The following paragraphs outline the procedures to be followed for effective TC and STC transfers.

4.2 Transfer of TCs and STCs

4.2.1 Transfer of a UK CAA or EASA TC/STC to a person in the other Party's territory (with a change of Certificating Authority)

Early coordination between the current TC/STC holder and its Certificating Authority, together with the proposed new TC/STC holder and its Competent Authority is essential. The transferring Certificating Authority, upon notification of a change in ownership of a TC/STC to a new holder in the other Party's territory, will notify the receiving Competent Authority (through the responsible office listed in paragraph 1.9) of the proposed transfer and include information about current production status. All information related to the transfer of a TC/STC including technical documentation will be in the English language.

The transferring Certificating Authority will transfer to the receiving Authority the ICAO SoD responsibilities. For this purpose, a special arrangement may be developed to identify each authority's responsibilities. The receiving Competent Authority will not assume ICAO SoD functions for models or design changes that have not been found to meet its certification requirements.

If the receiving Competent Authority has not previously validated the TC/STC which is being transferred, the receiving holder will have to apply to the receiving Certificating Authority for a new TC/STC. In this case, the transferring Certificating Authority will provide support to the receiving Competent Authority in finding compliance with the applicable certification requirements of the receiving Competent Authority. This includes a transferring Authority's statement of compliance, namely, that the product meets the receiving Competent Authority's certification requirements. Upon acceptance, the receiving Competent Authority will issue its TC/STC.

If the receiving Competent Authority has previously validated some models covered by the TC being transferred any model being transferred with the TC which has not been previously validated by the receiving Competent Authority will need to be validated. The transferring Certificating Authority will, if requested, provide support to the receiving Competent Authority in making findings of compliance with the receiving Competent Authority's applicable certification requirements. This support includes the transferring Certificating Authority's statement of compliance that the model meets the receiving Competent Authority's certification requirements. Upon acceptance, the receiving Competent Authority will place the additional model on its TC.

The transfer of the ICAO SoD responsibilities for the TC/STC to the receiving Authority will be considered complete when the receiving Competent Authority confirms in writing to the transferring Competent Authority that all necessary data have been transferred to the new holder, that the new holder is able to perform the responsibilities required of a design approval holder and that the receiving Competent Authority has issued a new TC/STC in the name of the new holder.

The transferring Authority will reissue a TC/STC in the name of the new holder after the receiving Competent Authority issues its TC/STC.

If the receiving Competent Authority's TC covers only some of the models in the transferring Certificating Authority's original TC and the new holder does not apply for approval of those additional models, the current holder will continue to hold the data for those additional models and the transferring Certificating Authority will continue to fulfil its SoD responsibilities for those additional models.

Upon transfer, or a mutually agreed-upon date, the receiving Competent Authority will start carrying out the SoD functions and will comply with the requirements of Annex 8 to the Chicago Convention for affected products. The new Certificating Authority will then notify the previous Certificating Authority and all affected ICAO Contracting States (i.e. States of Registry), of the change in SoD responsibility and identify the new TC/STC holder.

4.2.2 Transfer of TCs and STCs within the UK or the EU (no change of Certificating Authority)

In cases where a TC/STC is transferred within the UK or the EU and there is no change in Certificating Authority, the CA will notify the VA that a TC/STC validated by the VA has been transferred to a new design approval holder.

The CA shall provide the VA with a copy of the new TC/STC issued in the name of the new design approval holder and shall assist the VA in the reissuance of the validated TC/STC to the new holder.

The VA, upon completion of any appropriate administrative process, will issue a TC/STC in the name of the new design approval holder.

4.2.3 Transfer of TCs and STCs to a third State

When a TC or STC is to be transferred to a third State, the CA will notify the VA prior to the transfer. The transfer procedure to a third State is outside the scope of this TIP and the Agreement.

4.3 Surrender of a TC or STC

If a certificate holder surrenders a TC or an STC issued by either the CAA UK or EASA as the CA, the CA will immediately notify the VA in writing of the action at the address listed in paragraph 1.9.

The CA will undertake all necessary activities to ensure the continuing airworthiness of the product until such time as:

4.3.1 The TC or STC is reissued to a new holder (when that new holder has demonstrated its competence to fulfil the necessary obligations); or

4.3.2 the CA has revoked the TC or STC. Prior to revocation, the CA will notify the VA of the pending action.

4.4 Revocation or Suspension of TC or STC

In the event that either Authority revokes or suspends a TC or STC for a civil aeronautical product for which they act as Certificating Authority, that Authority will immediately inform the other. The VA, upon notification, will conduct an investigation to determine if action is required. If the revocation or suspension was justified and the VA concurs with the CA's certificate action, the VA will initiate a revocation or suspension of its TC or STC.

Alternatively, the VA may decide to assume continuing airworthiness responsibility so that it can support the continued safe operation of the affected product within its jurisdiction. In this case, the CA should obtain and provide any type design data the VA requests to the VA. The VA may then decide what, if any, action to take.

4.5 Surrender, Withdrawal or Change in Ownership of a UK TSOA/ ETSOA

4.5.1 Surrenders

If a UK TSOA holder or an ETSOA holder elects to surrender the UK TSOA, or ETSOA issued by the UK CAA or EASA, the applicable Technical Agent that issued the approval being surrendered will immediately notify the other Technical Agent in writing of the action. The CA will inform the VA when an unsafe condition has been identified until such time as the approval is formally withdrawn by the CA.

4.5.2 Withdrawals

If a UK TSOA or ETSOA is withdrawn, the applicable Technical Agent that issued the approval being withdrawn will immediately notify the other in writing of the action. The CA will inform the VA when an unsafe condition has been identified. In the event of a withdrawal of a UK TSOA or ETSOA for non-compliance, the CA will investigate all non-compliances for corrective action and will notify the VA of the corrective action. The CA still has responsibility for the continuing airworthiness of those UK TSOA or ETSOA articles manufactured under its approval.

4.5.3 Change in Ownership

4.5.3.1 If there is a change in ownership of the holder of a UK TSOA or ETSOA, the applicable Technical Agent that issued the approval will immediately notify the other in writing of that change.

4.5.3.2 The CA shall provide the VA with a copy of the new TSOA issued in the new name of the TSO approval holder and shall assist the VA in the reissuance of the validated TSOA to the new name of the TSOA holder.

4.5.3.3 The VA upon completion of any appropriate administrative process will issue a TSOA in the new name of the TSO approval holder after the CA's TSOA has been issued.

5 PRODUCTION

5.1 Recognition of production certification and production oversight system

In accordance with Article 21(2) and (3), Annex 30 of the Agreement, recognition of production certification for both Parties is initially restricted to items being produced in the product categories that existed on 31 December 2020. Any production which will take place in categories new to a Party will not be automatically recognised by the other Party.

If, after 31 December 2020, one Party introduces a new category of product and if that Party's organisations wish to export the new category of products to the other Party, the Technical Agent of the importing party may assess the production oversight and certification system of the exporting Party for the new product category to ensure that those safety standards for production are equivilant to its own safety standards for production. It will then extend the recognition of production certification to that new product category.

Recognised product categories for production are listed in Appendix 1 to this TIP. Product categories accepted by the EU as importing party are those referred to in section 1 of the Appendix and product categories accepted by the UK as importing party are those referred to in section 2 of the Appendix.

5.2 Assessment of the new category of civil aeronautical product

The assessment to be carried out by the Technical Agent of the importing party, the Technical Agent of exporting party and related production approval holder, is as follows:

1) The Technical Agent of the exporting Party will notify the Technical Agent of the importing party of the new category of civil aeronautical product included in its production oversight system, if export to the Party of the new category of product is intended.

2) The Technical Agent of the importing Party will notify the Technical Agent of the exporting Party of its intention to perform an assessment of the importing Party's production system. That notification will include the proposed scope of such an assessment, which will be limited to an examination of the exporting Party's technical competence and capability to oversee the production of the new product category.

3) In order to gather objective evidence of the exporting authority's capability, a related Production Organisation Approval (POA) examination could be within the scope of the assessment. Such an

assessment of the POA would require the exporting Party's Technical Agent to notify the importing Party's Technical Agent of the following:

a) The name of the production approval holder to be part of the assessment;

b) a copy of the production approval, including terms of approval with the scope of work issued by the Competent Authority of the exporting Party;

c) an extract or copy, in English, of the related Production Organisation Exposition;

d) an example of export certificate; and

e) a summary of the latest relevant audit reports of the production approval holder in English with specific reference to findings made and the latest status of these findings at the time of the request.

4) The recipient Technical Agent will evaluate the notification and related documents. It will decide whether or not a site visit of the production organisation and of the responsible Competent Authority office is necessary.

5) In case of a site visit, the Technical Agents and production approval holder will coordinate with each other on the details of the visit. The costs of any site visit will be recovered from the production approval holder by the Technical Agent which incurred the cost, in accordance with the applicable legislation of that Technical Agent concerning the levying of fees and charges and upon prior agreement of the production approval holder to cover those costs.

6) Any observations which restrict the evaluation of the production approval holder will be managed by the Technical Agents through a follow-up process.

5.3 Extension of the recognition of the production certification and production oversight system to a new category of civil aeronautical products

Upon successful completion of the assessment, following the result of desk-top and/or on-site review, the Technical Agent of the importing party will inform the Technical Agent of the exporting party of the result and propose an amendment to Appendix I of the TIP. Such an amendment may be undertaken by an exchange of letters.

5.4 Interface between the production approval holder and the design certificate holder

Pursuant to Article 23, Annex 30 of the Agreement, where the State of Design (SoD) is different from the State of Manufacture (SoM) for complete aircraft, engines or propellers, the Competent Authorities of the Parties shall establish procedures to outline each Party's SoD and SoM responsibilities under Annex 8 to the Convention on International Civil Aviation, done at Chicago on 7 December 1944, (1994); (the "Chicago Convention").

5.5 Extension of production approval

Related principles are addressed in Section 7.5 of this TIP.

6 EXPORT CERTIFICATES

6.1 General

6.1.1 This section addresses the procedures by which a civil aeronautical product being exported from the UK or the European Union will be accepted on the basis of an export certificate. The Competent Authority of the importing Party will recognise and accept the export certificate when issued in line with Annex 30 of the Agreement and this TIP.

6.1.2 For civil aeronautical products exported from the UK or the European Union, the following export certificates are accepted when issued in a form and manner prescribed by the exporting Party through its Competent Authority:

- for new complete aircraft only, an Aircraft statement of conformity (CAA Form 52 or EASA Form 52) issued by a production approval holder as an Approved Organisation of the exporting Party;
- for used complete aircraft only, an Export Certificate of Airworthiness (CAA Form 27 or EU Member states Export Certificate of Airworthiness form or EASA Form 27) issued by the Competent Authority of the State of Registry; or
- for a new civil aeronautical product other than a complete aircraft, an Authorised Release Certificate (CAA Form 1 or EASA Form 1) issued by a production approval holder as an Approved Organisation of the exporting Party.

6.2 Certification for Export

6.2.1 Export of New Aircraft

The production approval holder as an Approved Organisation of the exporting Party will certify that a new aircraft being exported to the UK or the European Union:

- Conforms to a type design approved by the importing Party;
- is in a condition for safe operation, including compliance with the applicable MCAI of the importing Party, as notified by the Competent Authority of that Party;
- has been satisfactorily tested in flight; and
- meets all additional requirements prescribed by the importing Party, as notified by the Competent Authority of that Party.

Each new aircraft imported to UK or the European Union will have an EASA or CAA Form 52. The Form 52 should contain the following statement:

"It is hereby certified that this aircraft conforms fully to the type-certificated design and to the items above in boxes 9, 10, 11, 12 and 13. The aircraft is in a condition for safe operation. The aircraft has been satisfactorily tested in flight."

6.2.2 Export of new civil aeronautical product other than a complete aircraft

A new civil aeronautical product other than a complete aircraft being exported to the UK or the European Union will be certified that it:

- Conforms to design data approved by the importing Party;
- is in a condition for safe operation including compliance with the applicable MCAI for aircraft engines and aircraft propellers of the importing Party, as notified by the Competent Authority of that Party; and
- meets all additional requirements prescribed by the importing Party, as notified by the Competent Authority of that Party.

The production approval holder producing a new civil aeronautical product, other than a complete aircraft, being exported will provide a statement or declaration on the Authorised Release Certificate confirming that the requirements of subparagraph 6.2.2 have been met, including the identification of any exception from the identified approved type design or notified directives and requirements of the importing Party.

6.2.3 Export of Used Aircraft

Article 27, Annex 30 of the Ageement outlines the requirements for the acceptance of an export certificate of airworthiness for used aircraft.

The Competent Authority of the importing Party may request inspection and maintenance records, which include:

- Records which verify that all overhauls, major changes, and major repairs were accomplished in line with approved data;

- maintenance records and logbook entries which substantiate that the used aircraft is properly maintained to the requirements of a maintenance programme and that all known defects have been rectified; and
- where major design changes or STCs are embodied in a used aircraft, the necessary data for subsequent maintenance, such as the data describing the installation, the materials and parts used, wiring diagrams for installation on avionic and electrical systems, drawings or floor plans for installations in the cabin, fuel or hydraulic systems and structural changes.

6.3 Coordination of Exceptions on Export Certificate of Airworthiness

6.3.1 Where the Competent Authority of the exporting Party identifies non-compliances with the approved type design, with this TIP or with the notified directives and requirements of the importing Party and intends to identify these as exceptions on its export certificate, the Competent Authority of the exporting Party will, prior to issuing its Export Certificate of Airworthiness, notify the Competent Authority of the importing Party of such non-compliances. This notification by the Competent Authority of the exporting Party should help to resolve all issues concerning the aircraft's eligibility for an airworthiness certificate. This notification should be sent to the appropriate office of the Competent Authority of the importing Party.

6.3.2 Where exceptions, as defined in 6.3.1, exist on new aircraft, the production approval holder as an Approved Organisation of the exporting Party will, prior to issuing its aircraft statement of conformity (Form 52), notify the Competent Authority of the importing Party of such non-compliances via the Competent authority of the exporting Party which issued the respective production certificate. Such a notification by the Competent Authority of the exporting Party should help to resolve all issues concerning the aircraft's eligibility for an airworthiness certificate. It should be sent to the appropriate office of the Competent Authority of the importing Party.

6.3.3 In all cases, the Competent Authority of the importing Party will provide a written confirmation of its acceptance of any non-compliance identified pursuant to subparagraph 6.3.1 and 6.3.2 before the

Competent Authority or approved production organisation of the exporting Party issues its Export Certificate of Airworthiness or aircraft statement of conformity.

6.4 Identification and Marking Requirements

Civil aeronautical products to be exported to the European Union will be identified in line with the requirements contained in EASA Part 21 Subpart Q. Civil aeronautical products to be exported to UK will be identified in line with UK Part 21 Subpart Q.

Manuals, placards, listings, instrument markings and other necessary information required by applicable certification specifications will be presented in English or, for the export to the EU, possibly in another official language of the EU acceptable to the Competent Authority of the Member State of registry concerned.

6.5 Additional Requirements for Import

The following documentation will be provided as a condition of acceptance of the civil aeronautical product being imported:

6.5.1 ICA and maintenance manuals which include airworthiness limitation sections .

6.5.2 Aircraft flight manuals including all applicable supplements, weight and balance reports, and equipment lists.

6.5.3 Logbooks or maintenance records for each aircraft and aircraft engine, propeller, rotor, or critical component.

6.5.4. The information necessary to complete a noise certificate, CAA Form 45 or EASA Form 45, will be provided upon export of a new or used aircraft to the European Union or the United Kingdom including any additional information needed to uniquely identify the aircraft acoustic configuration.

7 TECHNICAL SUPPORT AND INFORMATION FOR CERTIFICATION ACTIVITIES

7.1 General

7.1.1 Pursuant to Article 32, Annex 30 of the Agreement, upon request and after mutual agreement, and as resources permit, Technical Agents and Competent Authorities can provide technical support and information, hereinafter referred to as technical assistance, to each other when significant activities are conducted in either the United Kingdom or the European Union.

7.1.2 Every effort should be made to have these certification, validation and production tasks performed locally and on each other's behalf. Technical assistance activities will help with regulatory surveillance and oversight functions at locations outside of the requestor's territory. These activities will in no way relieve the requestor's responsibilities for regulatory control and environmental and airworthiness certification of civil aeronautical products manufactured at facilities located outside of the requestor's territory. The Technical Agents and Competent Authorities may agree to provide Technical Assistance to each other under the conditions that all related costs (working hours, travel expenses) are covered by appropriate service contracts with the organisation benefitting from this arrangement or otherwise agreed between the Technical Agents and Competent Authorities.

7.1.3 The Technical Agents and Competent Authorities will use their own policies and procedures when providing such technical assistance to the other, unless an arrangement states otherwise. Types of support may include, but are not limited to, the following:

Certification and Validation Support:

- accepting test plans;
- witnessing tests;
- performing compliance inspections;
- reviewing reports;
- obtaining data;
- verifying/determining compliance;
- monitoring the activities and functions of delegates and/or Approved Organisations; and
- conducting investigations of service difficulties.

Conformity and Monitoring Support:

- witnessing conformity inspections;
- monitoring the controls of special processes;
- witnessing the first article inspection of parts;
- conducting sample inspections on production parts;
- monitoring the activities and functions of delegates or Approved Organisations;
- conducting investigations of service difficulties; and
- auditing production quality systems.

Airworthiness Certification Support:

- assistance in the delivery of airworthiness certificates for aircraft; and
- determining the original export configuration of a used aircraft.

7.2 Witnessing of Tests during Design Approval

7.2.1 The UK CAA and EASA may request assistance from each other for the witnessing of tests that are performed in each other's jurisdiction.

7.2.2 Only requests between the UK CAA and EASA are permissible for witnessing of tests and neither the UK CAA nor EASA will respond to a test-witnessing request made directly from the manufacturer or supplier. Witnessing of tests will be conducted only after consultations between the UK CAA and EASA on the specific work to be performed and agreement has been obtained from the other Technical Agent. The UK CAA or EASA, as appropriate for the country in which the design approval applicant is located, will make the corresponding written request for witnessing of tests.

7.2.3 Unless otherwise delegated, approval of the applicant's test plans, test procedures, test specimens, and hardware configuration remains the responsibility of the UK CAA or EASA, as appropriate for the

country in which the design approval applicant is located. Establishing the conformity of each test article prior to the conduct of the test is the applicant's responsibility.

7.2.4 For the purpose of conformity inspections related to prototype parts, both authorities will assist each other upon request (subject to availability of resources) so that such inspections are conducted prior to the witnessing of tests.

7.2.5 Test witnessing activities may require the development of a working arrangement if the complexity and frequency of the requested certifications require it. At the discretion of the UK CAA or EASA these activities may be performed by accredited persons or organisations or Approved Organisations.

7.2.6 Where there is no working arrangement, requests for witnessing of individual tests must be specific enough to provide for identification of the location, timing, and nature of the test to be witnessed. An approved test plan must be provided by the UK CAA or EASA, as appropriate, at least 2 (two) weeks prior to each scheduled test.

7.2.7 EASA's or the UK CAA's requests for conformity of the test set-up and/or witnessing of tests will be sent electronically to the office which has competence for the area the test will take place in. The UK CAA's and EASA's offices are listed in paragraph 1.9 of the TIP. Where prototype part conformity inspection is also involved, the UK CAA may send a joint notification of the activity to both EASA and the applicable Competent Authority of the European Union Member State.

7.2.8 Upon completion of test witnessing, the UK CAA or EASA will send a report stating that the test was conducted in accordance with approved test plans, including the identification of any variations from those test plans, and confirming the test results, as well as any other documentation as notified in the request.

7.3 Findings of Compliance

7.3.1 The UK CAA or EASA may request that specific compliance determinations be made, which are associated with the witnessing of tests or other activities. Such statements of compliance will be

made to the airworthiness or environmental protection standards of the requesting Competent Authority.

7.3.2 The UK CAA's or EASA's statement of compliance will be sent in a formal letter, transmitted electronically, to the requesting EASA or UK CAA office.

7.4 Conformity Certifications during Design Approval

7.4.1 The UK CAA or EASA, depending upon the country in which the design approval applicant's part supplier is located, may request a prototype part conformity inspection from the other, as appropriate. The request will be made to the appropriate UK CAA or EASA offices, listed in paragraph 1.9 of the TIP.

7.4.2 Only UK CAA-to-EASA or EASA-to-UK CAA requests are permissible and neither will respond to a conformity inspection request made directly by the manufacturer or supplier. Conformity inspections shall be conducted only after consultations and an agreement to perform the work. Requests for conformity inspections should be limited to test specimens or prototype parts that are of such complexity that they cannot be inspected by the manufacturer or its regulatory authority prior to installation in the final civil aeronautical product.

7.4.3 Conformity inspection may require the development of a working arrangement if the complexity and frequency of the requested certifications require it. At the discretion of the UK CAA or EASA in receipt of such requests, these activities may be performed by accredited persons or organisations or Approved Organisations.

7.4.4 Upon completion of each conformity inspection conducted on each other's behalf, the UK CAA or EASA will complete and return all documentation requested. The UK CAA or EASA, depending upon the country in which the supplier is located, will note all deviations from any requirements on the conformity inspection for the particular part. Any non-conformity described as a deviation should be brought to the attention of the UK CAA or EASA for evaluation as to its effect on safety and the validity of the test under consideration. The UK CAA or EASA should receive a report stating the status of each deviation before the appropriate UK CAA or EASA form is issued.

7.4.5 Neither conformity inspection on prototype/pre-production parts, nor inspections on prototype/pre-production parts should be construed as being an export airworthiness approval, as a conformity

inspection does not constitute an airworthiness determination. Airworthiness determinations remain the responsibility of the Design or Production Approval Holder and the Competent Authority of the State in which the holder is located.

7.5 Process for assistance in Production Surveillance and Oversight

In the case of an extension of a production approval of the exporting party to manufacturing sites and facilities of the manufacturer located in the territory of the other Party, as foreseen in Article 22, Annex 30 of the Agreement, where co-operation between the Competent Authorities of both Parties is expected to be repetitive or long-term, a working arrangement may be established in order to outline each Competent Authority's level of participation.

Types of support may include, but are not limited to, the following:

- Continued Surveillance investigation, preparation and planning;
- product, process and quality system audits;
- investigation and surveillance of partners, suppliers and subcontractors;
- reporting and follow-up of findings.
- witnessing the first article inspection of parts;
- monitoring the controls on special processes;
- conducting sample inspections on production parts;
- monitoring production certificate extensions/changes; and
- conducting investigations of occurrence reports and service difficulties.

The level of participation shall be mutually agreed between the two Competent Authorities and may include:

a) Surveillance activity;

b) attendance as an observer of the other party's investigations; or

c) none of the above.

The agenda for the surveillance activity must be provided, as appropriate, at least two weeks prior to each visit.

7.6 Other request for assistance and support

The UK CAA or EASA may request other types of technical assistance as outlined in paragraph 7.1.3. Each request will be handled on a case-by-case basis, as resources permit. Each written request will include sufficient information for the task to be performed and reported back to the requestor.

7.7 Protection of Proprietary Data and Public Access to Documents and Information

7.7.1 Protection of Proprietary Data

Subject to their respective legislation, the Technical Agents will not copy, release, or show data identified as proprietary or otherwise restricted that is obtained from each other to anyone other than their staff, without the written consent of the design approval holder or other data submitter. The Technical Agents should obtain this written consent from the design approval holder through its Competent Authority. To the extent that either Technical Agent shares such propriety or otherwise restricted data with relevant accident investigation bodies, the Technical Agents will take all reasonable precautions necessary to ensure in all cases that these persons treat such propriety or otherwise restricted data in accordance with Article 453 of Title Two on Aviation Safety to the Agreement.

7.7.2 Public Access to Documents and Information

When the UK CAA receives a request for access to documents/information related to a civil aeronautical product of a UK CAA approval holder or an applicant who is located in an EU Member State, the UK CAA may request EASA's assistance in contacting the approval holder or applicant. The UK CAA will advise EASA of the potential release of any documents/information received from EASA and submitted to the UK CAA by the approval holder or the applicant. If EASA, where applicable, or the approval holder or applicant consents to the release of the documents/information, a written consent must be provided to the UK CAA. If the release is objected to, a statement of the reasons must be furnished by EASA to the UK CAA. If there is an objection, the UK CAA will only release the documents/information that it determines it is required to under the applicable public access to document or information legislation.

When EASA receives a request for access to documents/information related to a civil aeronautical product of an EASA approval holder or an applicant who is located in the UK, EASA may request the UK CAA's assistance in contacting the approval holder or applicant. EASA will advise the UK CAA of the potential release of any documents/information received from the UK CAA and submitted to EASA by the approval holder or the applicant. If the UK CAA, where applicable, or the approval holder or applicant consents to the release of the documents/ information, a written consent must be provided to EASA. If the release is objected to, a statement of the reasons must be furnished by the UK CAA to EASA. If there is an objection, EASA will only release the documents/information that it determines it is required to under the under the applicable public access to document or information legislation.

7.8 Accident/ Incident and Suspected Unapproved Parts Investigation Information Requests

7.8.1 When investigating in-service incidents, accidents, or suspected unapproved parts involving a civil aeronautical product imported under the Agreement, the UK CAA or EASA may request information from the appropriate focal points (see paragraph 1.9). EASA will coordinate with the appropriate European Union Member State to obtain any necessary support.

7.8.2 In the case of a major incident/accident, the UK CAA and EASA will cooperate to address urgent information needs. Following a major incident/accident, upon receipt of a request for urgent information, the relevant Competent Authority will provide the requested information. The UK CAA and EASA will establish individual focal points to respond to each other's questions and ensure that timely communication occurs. Information may be requested directly from a manufacturer when immediate contact with the appropriate focal points cannot be made. In such cases, notification of this action will be made as soon as possible. The UK CAA or EASA, as applicable, will assist in ensuring that a manufacturer provides any requested information expeditiously.

8 SIGNATURES

Signed in Cologne and London, on 17 May 2021.

UK CAA

By Mr David MALINS

Title Head of Airworthiness

EASA

By Ms Rachel DAESCHLER

Title Certification Director

APPENDIX 1

Categories of civil aeronautical product

1. Categories of product accepted from UK for export to EU

a. Normal, Utility, Aerobatic, and Commuter Category Aeroplanes (EASA CS-23 or equivalent)

b. Hot Air Balloons (EASA CS-31HB or equivalent)

c. Free Gas Balloons (EASA CS-31GB or equivalent)

d. Tethered Gas Balloons (EASA CS-31TGB or equivalent)

e. Engines (EASA CS-E or equivalent)

f. ETSO (EASA CS-ETSO or equivalent)

g. Propellers (EASA CS-P or equivalent)

h. Airships

i. Parts and appliances for any category of product

2. Categories of product accepted from EU for export to UK

a. Sailplanes and Powered Sailplanes (EASA CS-22 or equivalent)

b. Normal, Utility, Aerobatic, and Commuter Category Aeroplanes (EASA CS-23 or equivalent)

c. Light Sport Aeroplanes (EASA CS-23 or equivalent, former CS-LSA)

d. Very Light Aeroplanes (EASA CS-23 or equivalent, former CS-VLA)

e. Large Aeroplanes (EASA CS-25 or equivalent)

f. Small Rotorcraft (EASA CS-27 or equivalent)

g. Large Rotorcraft (EASA CS-29 or equivalent)

h. Hot Air Balloons (EASA CS-31HB or equivalent)

i. Free Gas Balloons (EASA CS-31GB or equivalent)

j. Tethered Gas Balloons (EASA CS-31TGB or equivalent)

k. Auxiliary Power Units (EASA CS APU or equivalent)

l. Engines (EASA CS-E or equivalent)

m. ETSO (EASA CS-ETSO or equivalent)

n. Propellers (EASA CS-P or equivalent)

o. Very Light Rotorcraft (EASA CS-VLR)

p. Airships

q. Parts and appliances for any category of product