UK Civil Aviation Authority

UK CAA / EASA TIP Industry Outreach Webinar

17th May 2021

UK Civil Aviation Authority

Welcome and Introductions

Dave Malins

Introduction

David Malins, Head of Airworthiness, CAA

- Purpose
- Intro’s
  - CAA colleagues
  - Bi-Lateral partners

Email: aweuexitquestions@caa.co.uk

CAA – EASA TIP: SECTION 1 GENERAL

Neil Williams, Christopher Street

CAA – EASA TIP

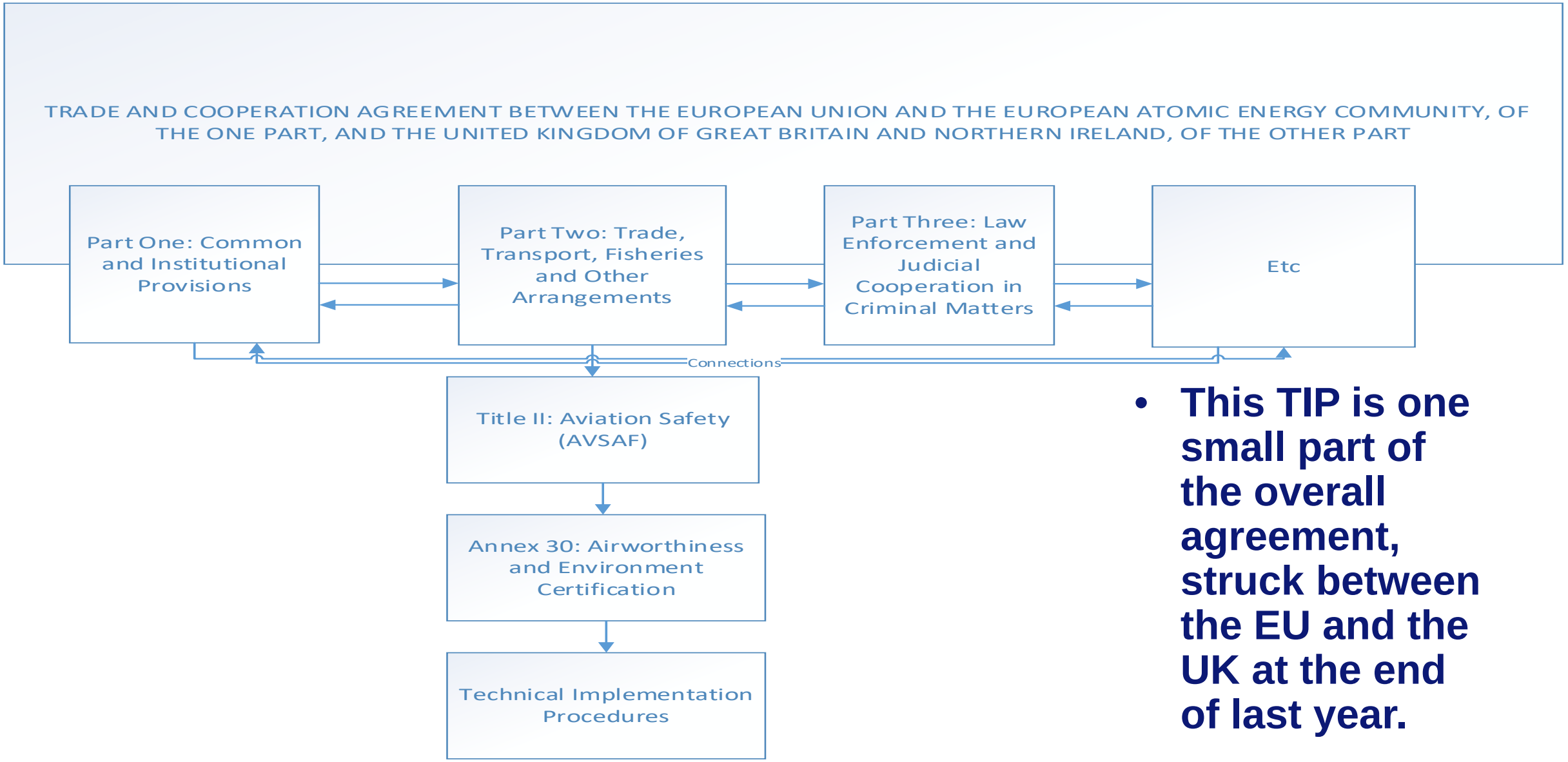
Neil Williams
Safety Policy Manager
CAA

Christopher Street
Legal Adviser
CAA

TIP Section 1:

General

The Trade and Cooperation Agreement



- **This TIP is one small part of the overall agreement, struck between the EU and the UK at the end of last year.**

What is a Bilateral Aviation Safety Agreement (BASA)?

- An international agreement enabling reciprocal acceptance of certificates and findings of compliance issued by the respective Competent Authorities
- It allows derogation from domestic laws and creates rights and obligations for the signatories (including the regulators and the industry)
- Important distinction between Agreement and Arrangement/MoU

Scope

The BASA supersedes any agreement in existence between EU member states and the UK in place for the areas which are covered.

Currently these are only:

- **Airworthiness Certificates of civil aeronautical products**
- **Environmental Testing and Certificates**
- **Design and Production Organisations**

But it is hoped we can add to these in the future.

Basic Structure

- **Section 1 – Scope and Admin**
- **Section 2 – Validation – A full validation process is outlined at page 28 (in the table).**
- **Section 3 – Communication and unsafe conditions**
- **Section 4 – Administration of design certificates**
- **Section 5 – Production – This reflects the Annex and is interlinked with section 7**
- **Section 6 – Requirements for exports and imports (of products)**
- **Section 7 – Technical support details (how the technical agents will work together).**

The Certification Oversight Board (COB)

- **Certification Oversight Board will be established in accordance with Article 3 of the AVSAF Annex**
  - The Board is the technical coordination body responsible for the effective implementation of the Annex
  - Comprises of representatives from both technical Agents (CAA and EASA)
  - Its mandate includes:
  - Developing, adopting, and revising the Technical Implementation Procedures
  - Sharing information on major safety concerns
  - Resolving technical issues falling within the responsibilities of the competent authorities and affecting the implementation
  - Developing effective means of cooperation
  - Conducting periodic reviews on the modalities of validation or acceptance of design certificates set out in Articles 10 [Modalities of the validation of design certificates] and 13 [Acceptance]
  - **Proposing amendments to this Annex to the Specialised Committee on Aviation Safety;**
  - Defining procedures to ensure the **continued confidence of each Party** in the reliability of the other Party's processes for findings of compliance
  - Analysing and taking action regarding the implementation of the procedures
  - **Reporting unresolved issues** to the **Specialised Committee on Aviation Safety** and ensuring the implementation of decisions taken by the Specialised Committee on Aviation Safety

UK Civil Aviation Authority

CAA – EASA TIP: SECTION 2

APPROVAL PROCEDURES FOR DESIGN CERTIFICATES

Mark Bonnick, Dominic Cortizo

CAA – EASA TIP

Mark Bonnick
Dominic Cortizo

Principal Design and Certification Specialists
CAA

TIP Section 2:

Approval Procedures for Design Certificates

Scope

- Principles (2.1)
- Acceptance (2.2)
- Validation
  - Streamlined Validation (2.3)
  - Validation in Line with Level of Involvement Principles (2.4)
- Summary of Acceptance and Validation
- Application Process
  - Applications to EASA
  - Applications to CAA

2.1 Principles of Involvement for Validation

The validation process will be based to the maximum extent practicable on the technical evaluations, tests, inspections and compliance certifications by the Certificating Authority (CA).

The level of involvement of the Validating Authority (VA) considers:

- Experience of 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
- continued mutual confidence between the CAA and EASA.

2.2 Acceptance (1)

- ❑ **No application to the VA** *(except see note)*
- ❑ **No assessment by the VA**
- ❑ **No validation certificate issued by the VA** *(except see note)*

Note: if an accepted change requires the update of a certificate, such as in the case of a Major Change affecting the VTCDS or a minor change adding a part number to a ETSOA, then an application for an administrative update is required.

When the civil aeronautical product has been previously certificated or validated:

EASA will accept:

2.2.2 **Minor Changes** (to products and TSOA'd articles) approved in the CAA's system.

2.2.3 Design data for **Minor Repairs** approved in the CAA's system.

2.2 Acceptance (2)

CAA will accept:

2.2.2 **Minor Changes** (to products and TSOA'd articles) approved in the EASA system.

2.2.4 Design data for **Minor and Major Repairs** approved in the EASA system.

2.2.1 **Non-significant** (definition per Part 21.A.101) **STCs and Major Changes** approved in the EASA system**.** If the change requires an update to the VTCDS, then the applicant is required to submit details to the CAA if the CAA's type certification basis is modified due to:

- novel/unusual features; or
- unconventional product use; or
- potential development of unsafe conditions; or
- an Equivalent Safety Finding or Deviation.

2.2.5 **European Technical Standard Orders Authorisations (ETSOA).**

2.3 Validation

*Note: for simplicity, **'Validation in line with Level of Involvement Principles'** is abbreviated to **'Technical'** in the rest of this presentation.*

Two validation paths are available:

2.3.1 **Streamlined**

- CAA validation of EASA Significant STCs and Major Changes.
- EASA validation of CAA STCs, Major Changes, Major Repairs and UKTSOAs when agreed on a case-by-case basis.

2.3.2 **Technical (in line with Level of Involvement Principles)**

- CAA and EASA validation of Type Certificates and Restricted Type Certificates.
- EASA validation of CAA STCs, Major Changes, Major Repairs and UKTSOAs unless agreed on a case-by-case basis that Streamlined may apply.

2.4 Procedures for Validation

2.4.1 The initial application process for **Streamlined** or **Technical** is similar:

- Application to VA made via CA
  (see later material regarding the application process)
- CA confirms:
  - ✓ the project is in scope of the Agreement;
  - ✓ a design certificate has been issued;
  - ✓ that Streamlined or Technical process is applicable; and
  - ✓ that a data pack (including a statement of compliance with the VA's airworthiness and environmental requirements) has been submitted.

2.4.2 VA acknowledges the application and advises the CA of any missing data within 20 working days of receipt.

2.4.3 Streamlined Validation Process

- ❑ **Application required to the VA**
- ❑ **No technical assessment by the VA – Technical Familiarisation only**
- ❑ **Validation certificate issued by the VA**

2.4.3.2 Streamlined validation projects are sequential only. But, if an urgent operational need exists, the Technical Validation procedure (with appropriate LOI) may offer the possibility of concurrent validation.

2.4.3.3/4 Further data to allow a Technical Familiarisation is added to the data pack (see 2.4.1) if necessary.

2.4.3.6 The Technical Familiarisation should be completed within 20 working days of receipt of the pack or conclusion of any meetings.

The validating certificate is then issued within 15 working days.

2.4.4 Technical Validation (in line with Level of Involvement Procedures) Process (1)

- ❑ **Application required to the VA**
- ❑ **Technical assessment by the VA – involvement per LOI procedures**
- ❑ **Validation certificate issued by the VA**

2.4.4.2 VA may decide to limit its involvement to a review of the application.

2.4.4.3 Technical validation may be performed as sequential or concurrent.

2.4.4.4 This paragraph introduces the four phases of the technical validation which are then detailed in paragraphs 2.4.4.5 through 2.4.4.13:

1. General familiarisation – establishment of the VA team
2. Technical familiarisation – establishment of the VA certification basis
3. Determination of VA Level of Involvement
4. Compliance verification – issuance of the validating certificate

2.4.4 Technical Validation (in line with Level of Involvement Procedures) Process (2)

Elements of note relevant to the Applicant in paragraphs 2.4.4.5 through 2.4.4.8:

2.4.4.5/6 The Applicant is expected to present an overview to enable VA familiarisation sufficient for the VA to establish its team and initial certification basis. This may include a familiarisation flight for TC projects.

2.4.4.7 The VA's certification basis will be recorded in a Certification Review Item CRI A-01

2.4.4.8 Validation Items (VI) will be established detailing the areas of interest:

- Generic VIs - typically for standards differences and new standards.
- Project VIs – new/novel technology, unconventional product use, unsafe conditions, ESF or new interpretations of MOC.

2.4.4 Technical Validation (in line with Level of Involvement Procedures) Process (3)

Elements of note relevant to the Applicant in paragraphs 2.4.4.9 through 2.4.4.13:

2.4.4.9 The VA's LOI is proportionate to the projects complexity and size. The Applicant may assist in the identification of previous (similar) validation projects.

2.4.4.10 A Validation Work Plan (VWP) may be developed by the VA and any revision to it will be communicated to the Applicant.

2.4.4.13 The validation Design Certificate is issued when:

- The CA has issued its own Design Certificate;
- The Applicant has shown and declared compliance with the VA's certification basis;
- The CA has issued a statement of compliance to the VA;
- All issues have been resolved; and
- All fees have been paid by the Applicant.

2.4.4 Technical Validation (in line with Level of Involvement Procedures) Process (5)

Technical Validation for **(UK) Technical Standard Order Authorisations**

2.4.4.14 The CA must assure that the VA's applicable technical performance standards and procedures have been used.

Currently both CAA and EASA use CS-ETSO.

The application pack includes:

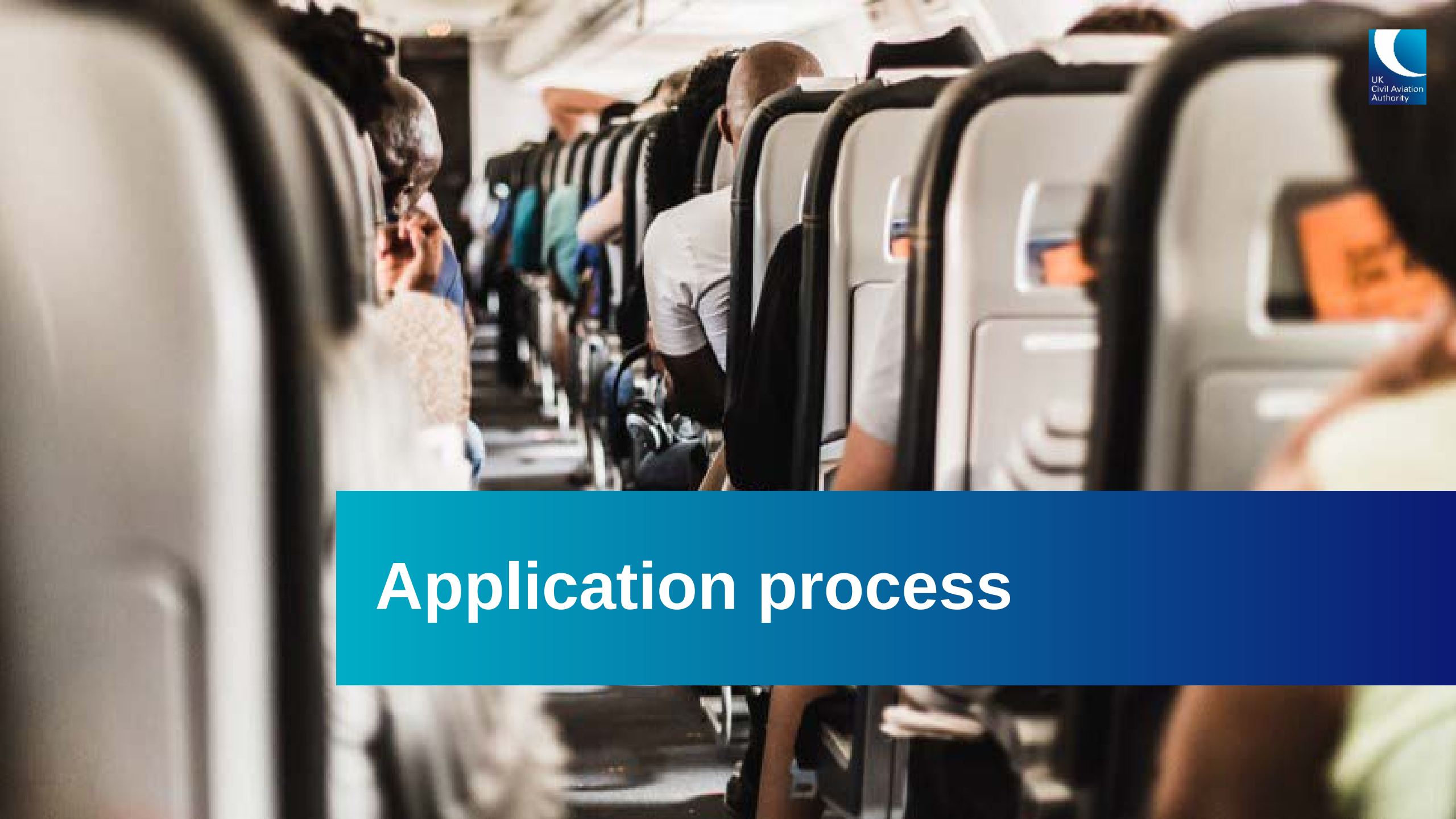
- Certification Programme;
- Plans and accomplishment summaries for software and hardware certification;
- Qualification reports; and
- Outline and nameplate drawings.

The validation Design Certificate is issued following review of all required data and approval of all proposed deviations.

Summary of Acceptance and Validation

Design Approval	CAA Validation of EASA Design Approvals		EASA Validation of CAA Design Approvals	
	Modality	TIP Reference	Modality	TIP Reference
Minor Change	Accept	2.2.2	Accept	2.2.2
Minor Repair	Accept	2.2.4	Accept	2.2.3
Non-Significant STC	Accept	2.2.1	*Technical Validation or Streamlined	2.4.4 2.4.3
Non-Significant Major Change	Accept	2.2.1	*Technical Validation or Streamlined	2.4.4 2.4.3
Major Repair	Accept	2.2.4	*Technical Validation or Streamlined	2.4.4 2.4.3
Significant STC	Streamlined	2.4.3	*Technical Validation or Streamlined	2.4.4 2.4.3
Significant Major Change	Streamlined	2.4.3	*Technical Validation or Streamlined	2.4.4 2.4.3
TC or RTC	Technical Validation	2.4.4	Technical Validation	2.4.4
Technical Standard Order	Accept	2.2.5	*Technical Validation or Streamlined	2.4.4 2.4.3

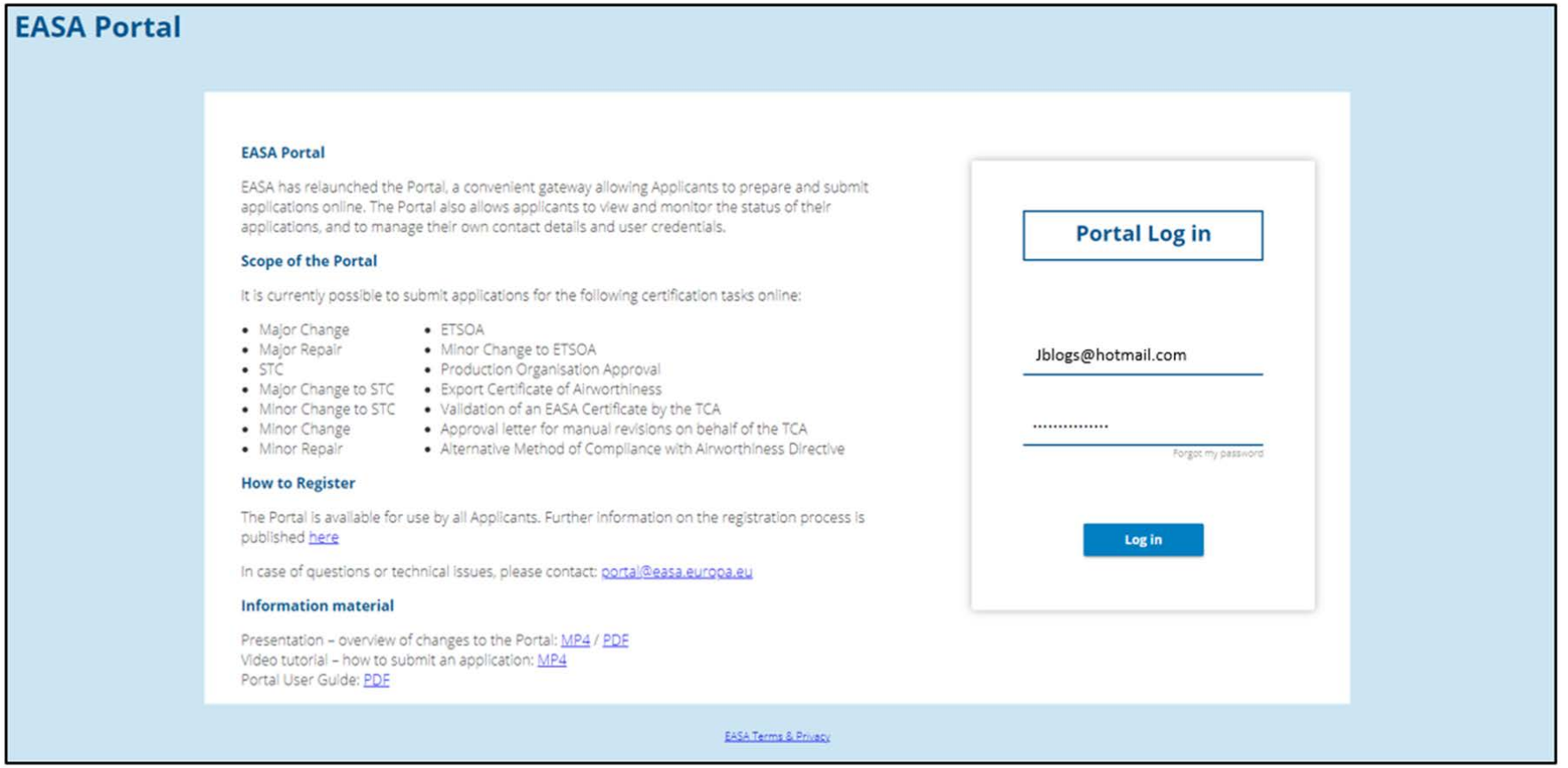
* Technical Validation in line with LOI principles unless a Streamlined Validation process is agreed by both parties on a case-by-case basis (per 2.3.1).



Application process

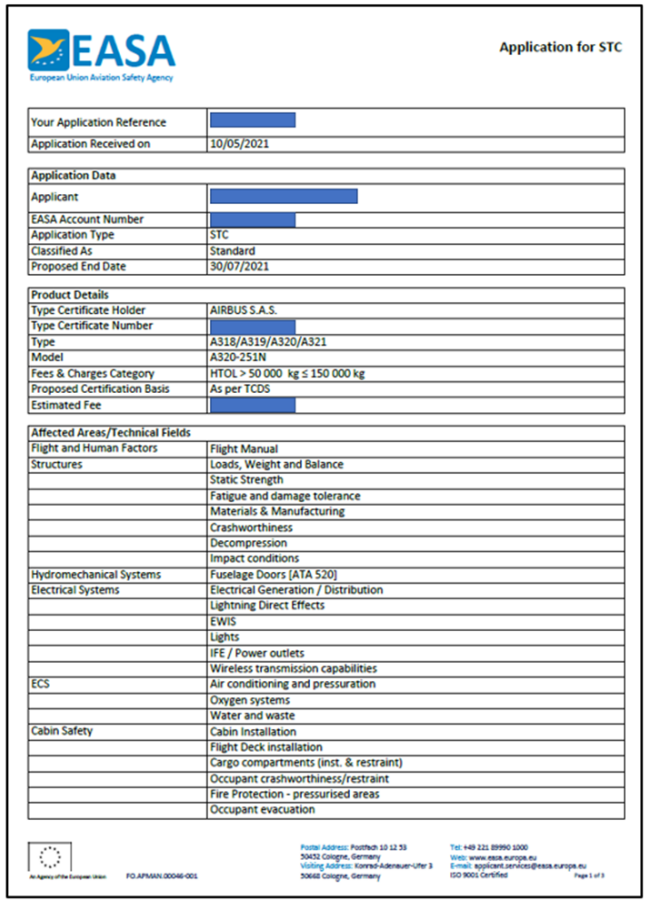
Application Process for EASA Validations (1)

The UK applicant will complete the application data in the EASA Portal and press “Save and Submit” on completion. New UK users must register by sending EASA Form 127 “EASA Portal User registration” to portal@easa.europa.eu



Application Process for EASA Validations (2)

The Portal will send an email to the applicant with the application data summary document attached to it.



EASA
European Union Aviation Safety Agency

Application for STC

Your Application Reference	[redacted]
Application Received on	10/05/2021

Application Data	
Applicant	[redacted]
EASA Account Number	[redacted]
Application Type	STC
Classified As	Standard
Proposed End Date	30/07/2021

Product Details	
Type Certificate Holder	AIRBUS S.A.S.
Type Certificate Number	[redacted]
Type	A318/A319/A320/A321
Model	A320-251N
Fees & Charges Category	HTOL > 50 000 kg ≤ 150 000 kg
Proposed Certification Basis	As per TCDS
Estimated Fee	[redacted]

Affected Areas/Technical Fields	
Flight and Human Factors	Flight Manual
Structures	Loads, Weight and Balance
	Static Strength
	Fatigue and damage tolerance
	Materials & Manufacturing
	Crashworthiness
	Decompression
	Impact conditions
Hydromechanical Systems	Fuselage Doors [ATA 520]
Electrical Systems	Electrical Generation / Distribution
	Lightning Direct Effects
	EWIS
	Lights
	IFE / Power outlets
	Wireless transmission capabilities
ECS	Air conditioning and pressuration
	Oxygen systems
	Water and waste
Cabin Safety	Cabin Installation
	Flight Deck installation
	Cargo compartments (inst. & restraint)
	Occupant crashworthiness/restraint
	Fire Protection - pressurised areas
	Occupant evacuation

Application Process for EASA Validations (3)

The applicant sends the EASA document to the CAA (apply@caa.co.uk) in lieu of a completed EASA application form together with the completed CAA Form **SRG1726NR** and data package.

4. CAA Certification Support for Validation

NOTE: Complete 4 AND either 4a) for sequential validation when the UK Certificate has already been issued OR 4b) for concurrent validation (i.e. where the UK Certificate or Approval has not yet been issued) AND, IF APPLICABLE, either 4c) for ANAC or TCCA Major Level 1 design change classification OR 4d) for other VA classifications.

For a UK applicant seeking assistance from the CAA as the Certificating Authority (CA) for a validation by a Foreign Validating Authority (VA) - also referred to as Certification Support for Validation (CSV).

Prior to completing this section, refer to the details of the Implementation Procedures that support the applicable Bilateral Aviation Safety Agreement (BASA) between the UK and the Third Country or the Working Arrangement (WA) or Memorandum of Understanding (MoU) between the Third Country Authority (TCA) and the UK CAA.

Foreign Validating Authority (VA): .....

4a) For sequential validation when the UK Certificate has already been issued or the approval has been accepted

UK Certificate/ Approval No: ..... Date of issue: .....

Approval/Project Title/Description: .....

.....

.....

Copy of the CAA approval certificate attached? Yes ☐ No ☐

4b) For concurrent validation (i.e. where the UK Certificate or Approval has not yet been issued)

UK Task/Project No: .....

Approval/Project Title/Description: .....

.....

Date of Application to CAA: ..... Responsible UK CAA PCM (if known): .....

4c) For ANAC or TCCA Major Level 1 design change classification

Please specify the reason for the classification:

.....

.....

.....

.....

.....

4d) For other VA classification, select one of the following:

NOTE: Please tick the only one applicable.

Eligible for Streamlined Validation ☐ Subject to Technical Validation ☐

Please specify the reason for the classification:

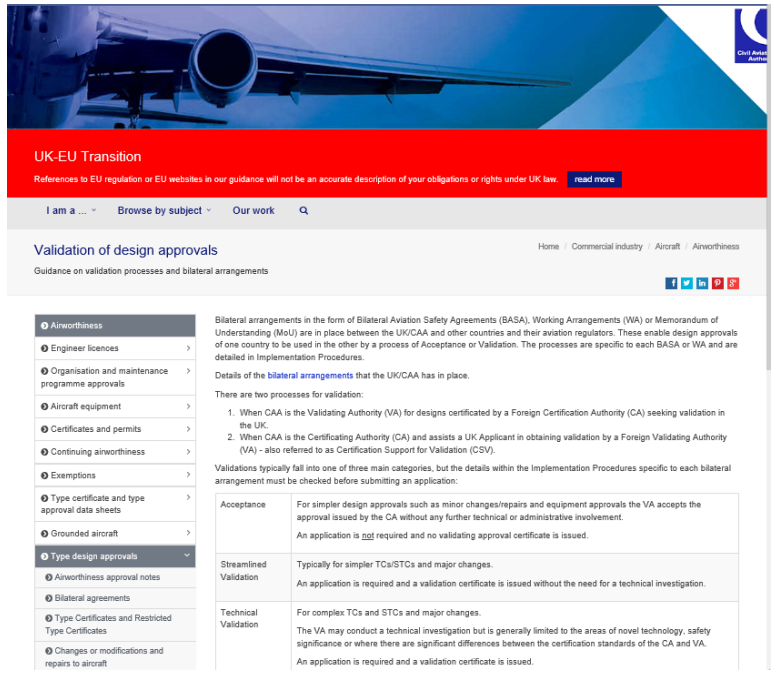
.....

.....

.....

.....

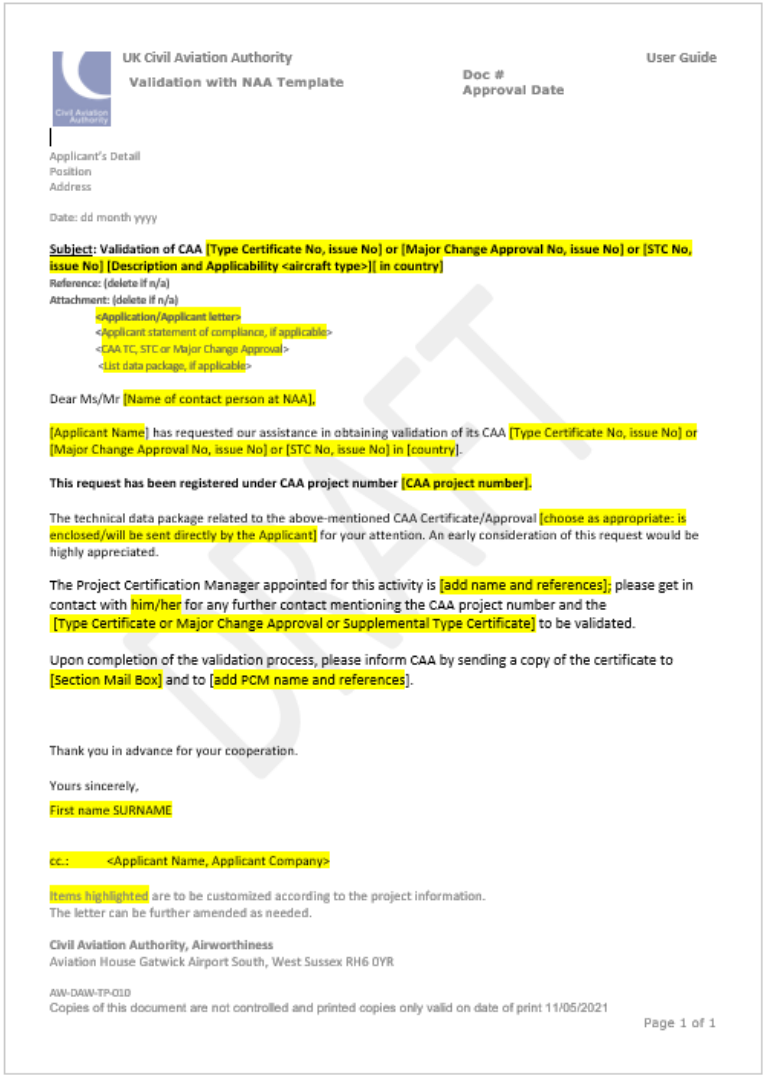
.....



https://www.caa.co.uk/Commercial-industry/Aircraft/Airworthiness/Type-design-approvals/Validation-of-design-approvals/

Application Process for EASA Validations (4)

CAA sends the complete package to EASA with the CAA forwarding letter.



UK Civil Aviation Authority — User Guide

Validation with NAA Template — Doc # — Approval Date

Applicant's Detail
Position
Address

Date: dd month yyyy

Subject: Validation of CAA [Type Certificate No, issue No] or [Major Change Approval No, issue No] or [STC No, issue No] [Description and Applicability <aircraft type>][in country]
Reference: (delete if n/a)
Attachment: (delete if n/a)
<Application/Applicant letter>
<Applicant statement of compliance, if applicable>
<CAA TC, STC or Major Change Approval>
<List data package, if applicable>

Dear Ms/Mr [Name of contact person at NAA],

[Applicant Name] has requested our assistance in obtaining validation of its CAA [Type Certificate No, issue No] or [Major Change Approval No, issue No] or [STC No, issue No] in [country].

This request has been registered under CAA project number [CAA project number].

The technical data package related to the above-mentioned CAA Certificate/Approval [choose as appropriate: is enclosed/will be sent directly by the Applicant] for your attention. An early consideration of this request would be highly appreciated.

The Project Certification Manager appointed for this activity is [add name and references]; please get in contact with him/her for any further contact mentioning the CAA project number and the [Type Certificate or Major Change Approval or Supplemental Type Certificate] to be validated.

Upon completion of the validation process, please inform CAA by sending a copy of the certificate to [Section Mail Box] and to [add PCM name and references].

Thank you in advance for your cooperation.

Yours sincerely,

First name SURNAME

cc.: <Applicant Name, Applicant Company>

Items highlighted are to be customized according to the project information.
The letter can be further amended as needed.

Civil Aviation Authority, Airworthiness
Aviation House Gatwick Airport South, West Sussex RH6 0YR

AW-DAW-TP-010
Copies of this document are not controlled and printed copies only valid on date of print 11/05/2021

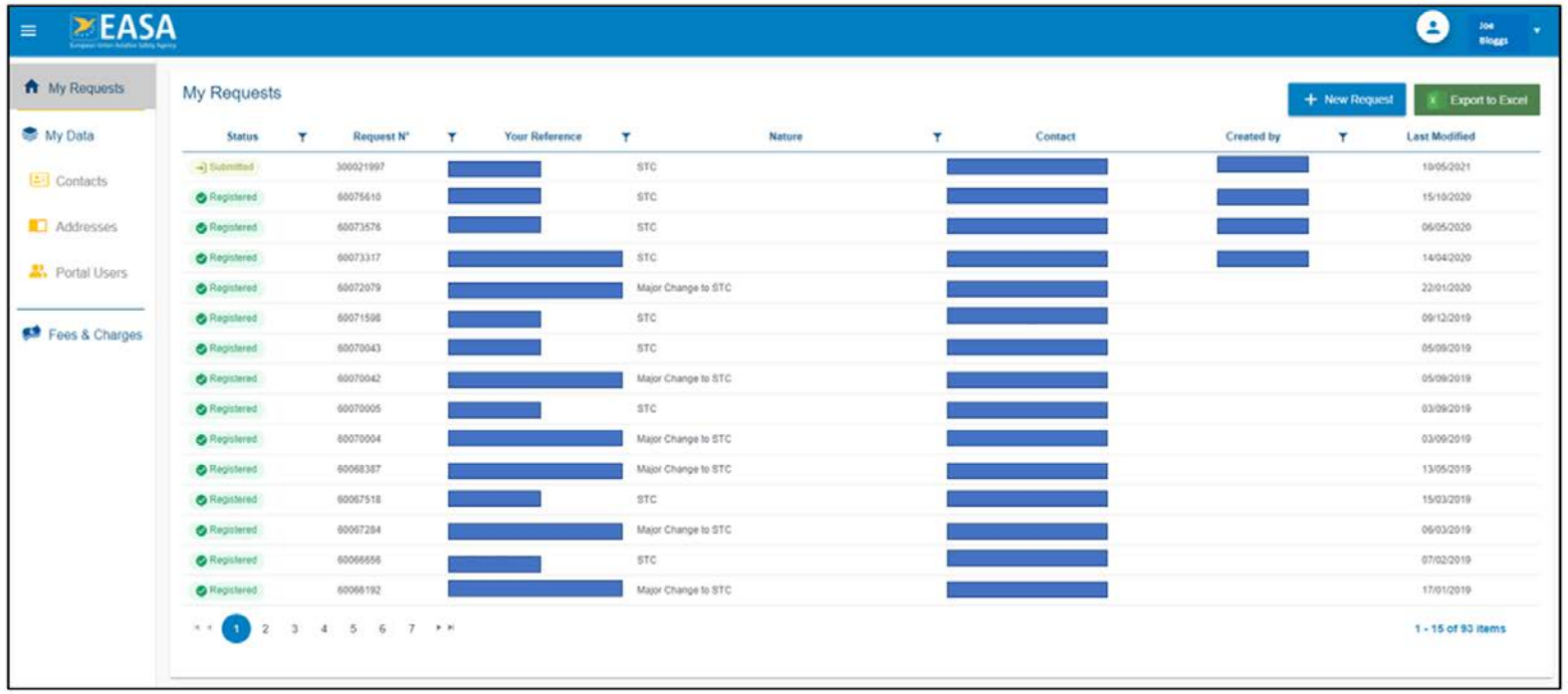
Page 1 of 1

DRAFT

Application Process for EASA Validations (5)

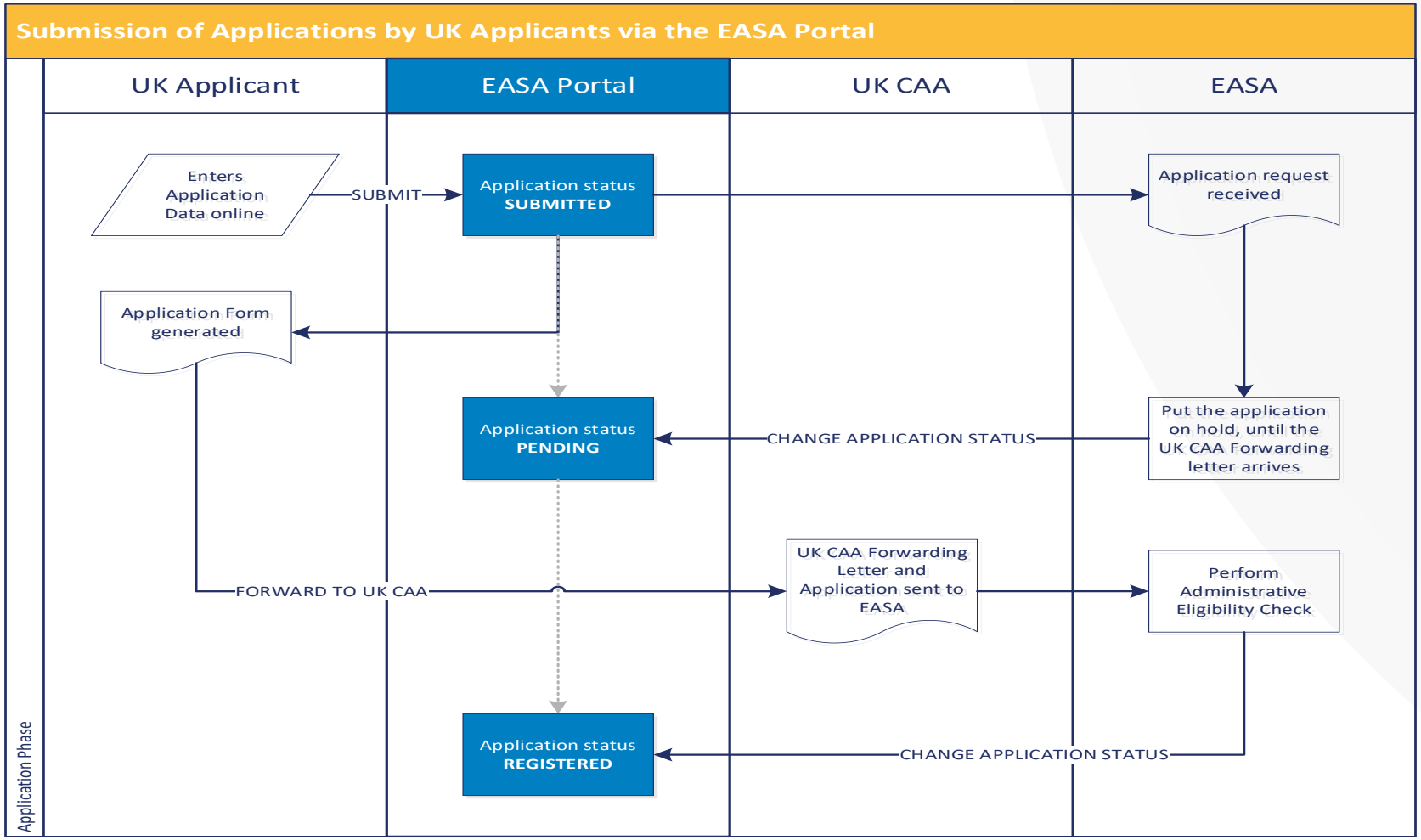
EASA performs the full eligibility check and, if applicable, changes the application status in the Portal to Registered.

The applicant will receive via email the EASA acceptance letter once the task is assigned and the technical investigation starts. On the Portal dashboard, the applicant will see the name and contact details of the EASA PCM or responsible party for their project.



Application Process for EASA Validations (6)

Summary of Application Submittal Process



1. The UK applicant enters the application data in the EASA Portal and clicks on “Submit”. The application status switches to “SUBMITTED”

2. The EASA Portal triggers an acknowledgement email to the applicant with the application form in PDF format attached. At the same time EASA is notified of the application request from the UK applicant and switches the application status in the Portal to “PENDING”

3. The UK applicant forwards the application form generated from the EASA Portal to the UK CAA.

4. The UK CAA reviews the application form and forwards the application package to EASA via email.

5. EASA performs an administrative eligibility check and switches the application status in the EASA Portal to “REGISTERED”. The EASA project number is triggered and displayed on the Portal Dashboard

6. Following the technical eligibility check and allocation of the task, EASA sends an acceptance letter to the UK applicant. The EASA Portal Dashboard displays the name and contact details of the responsible party for the technical investigation.

Application Process for CAA Validations

EASA sends the CAA (apply@caa.co.uk) the CAA Form SRG1726NR completed by the EU applicant and data package together with the EASA forwarding letter.

3. Validation of Third Country Approvals

NOTE: Complete 3 AND either 3a) for sequential validations OR 3b) for concurrent validations AND, IF APPLICABLE, either 3c) for ANAC or TCCA Major Level 1 design change classification OR 3d) for other CA validation classifications

For applicants seeking validation in the UK when the CAA is the Validating Authority (VA) for designs certificated by a Foreign Certificating Authority (CA). Prior to completing this section, refer to the details of the Implementation Procedures that support the applicable Bilateral Aviation Safety Agreement (BASA) between the UK and the Third Country or the Working Arrangement (WA) or Memorandum of Understanding (MoU) between the Third Country Authority and the UK CAA.

Foreign Certificating Authority (CA): .....

3a) For sequential validations

CA's Design Approval Reference: .....

Approval/Project Title/Description: .....

.....

.....

Date of CA approval: .....

3b) For concurrent validations

CA's Design Project Reference: .....

Project Title/Description: .....

.....

.....

Date of application to CA: .....

3c) For ANAC or TCCA Major Level 1 design change classifications

Please specify the reason for the classification: .....

.....

3d) For other CA validation classifications, select one of the following

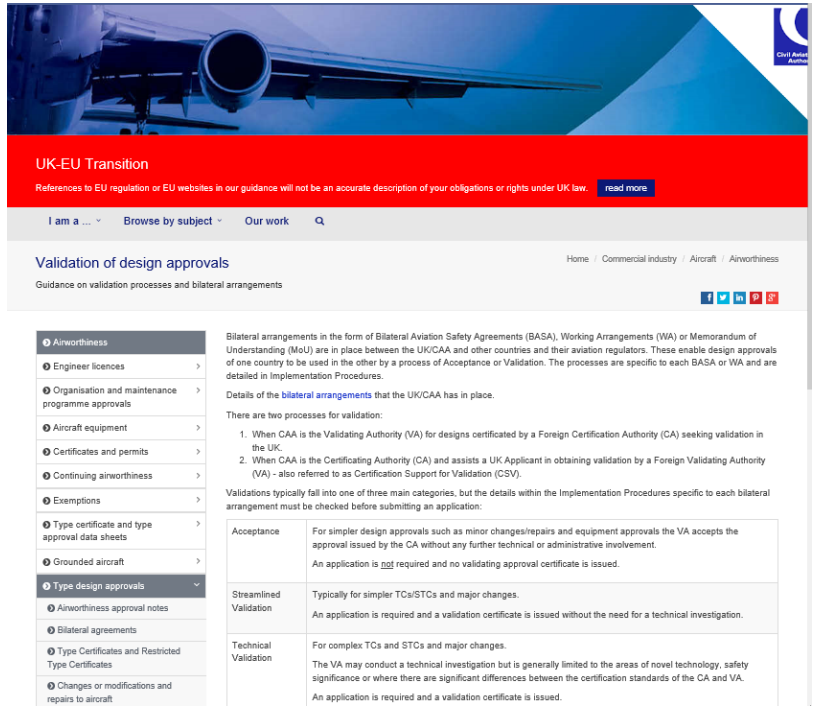
Eligible for Streamlined Validation ☐

Subject to Technical Validation ☐

Please specify the reason for the classification:

.....

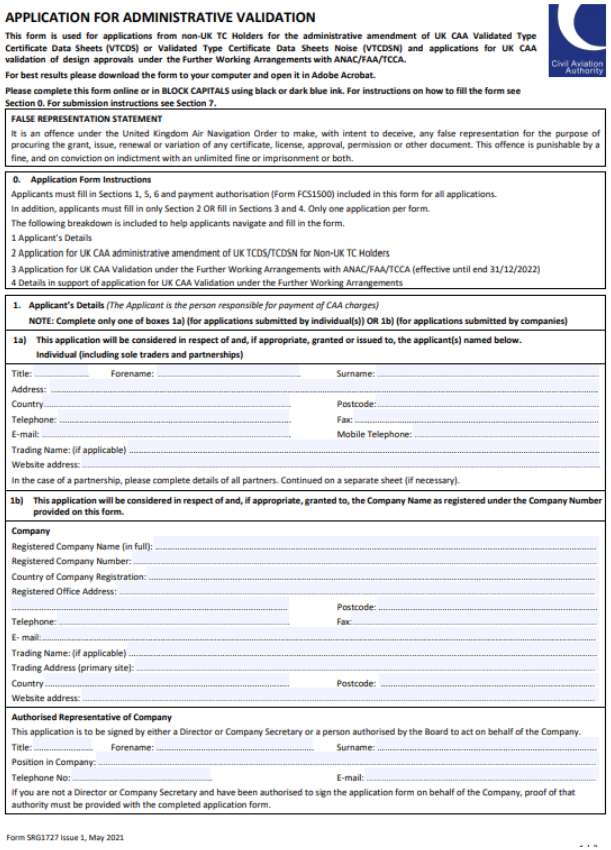
.....



https://www.caa.co.uk/Commercial-industry/Aircraft/Airworthiness/Type-design-approvals/Validation-of-design-approvals/

Application Process for updates of CAA TCDS/TCDSN (TIP 2.2.1.2 Acceptance)

EASA endorses the EU TC Holder request and sends completed CAA Form SRG1727 and supporting data pack to CAA (apply@caa.co.uk)



APPLICATION FOR ADMINISTRATIVE VALIDATION

This form is used for applications from non-UK TC Holders for the administrative amendment of UK CAA Validated Type Certificate Data Sheets (VTCDS) or Validated Type Certificate Data Sheets Noise (VTCDSN) and applications for UK CAA validation of design approvals under the Further Working Arrangements with ANAC/FAA/TCCA.

For best results please download the form to your computer and open it in Adobe Acrobat.

Please complete this form online or in BLOCK CAPITALS using black or dark blue ink. For instructions on how to fill the form see Section 0. For submission instructions see Section 7.

FALSE REPRESENTATION STATEMENT

It is an offence under the United Kingdom Air Navigation Order to make, with intent to deceive, any false representation for the purpose of procuring the grant, issue, renewal or variation of any certificate, license, approval, permission or other document. This offence is punishable by a fine, and on conviction on indictment with an unlimited fine or imprisonment or both.

0. Application Form Instructions

Applicants must fill in Sections 1, 5, 6 and payment authorisation (Form FCS1500) included in this form for all applications.
In addition, applicants must fill in only Section 2 OR fill in Sections 3 and 4. Only one application per form.
The following breakdown is included to help applicants navigate and fill in the form.
1 Applicant's Details
2 Application for UK CAA administrative amendment of UK TCDS/TCDSN for Non-UK TC Holders
3 Application for UK CAA Validation under the Further Working Arrangements with ANAC/FAA/TCCA (effective until end 31/12/2022)
4 Details in support of application for UK CAA Validation under the Further Working Arrangements

1. Applicant's Details *(The Applicant is the person responsible for payment of CAA charges)*
NOTE: Complete only one of boxes 1a) (for applications submitted by individual(s)) OR 1b) (for applications submitted by companies)

1a) This application will be considered in respect of and, if appropriate, granted or issued to, the applicant(s) named below. Individual (including sole traders and partnerships)

Title: Forename: Surname:
Address:
Country Postcode:
Telephone: Fax:
E-mail: Mobile Telephone:
Trading Name: (if applicable)
Website address:
In the case of a partnership, please complete details of all partners. Continued on a separate sheet (if necessary).

1b) This application will be considered in respect of and, if appropriate, granted to, the Company Name as registered under the Company Number provided on this form.

Company
Registered Company Name (in full):
Registered Company Number:
Country of Company Registration:
Registered Office Address:
Postcode:
Telephone: Fax:
E- mail:
Trading Name: (if applicable)
Trading Address (primary site):
Country Postcode:
Website address:

Authorised Representative of Company
This application is to be signed by either a Director or Company Secretary or a person authorised by the Board to act on behalf of the Company.
Title: Forename: Surname:
Position in Company:
Telephone No: E-mail:
If you are not a Director or Company Secretary and have been authorised to sign the application form on behalf of the Company, proof of that authority must be provided with the completed application form.

Form SRG1727 Issue 1, May 2021

2. UK CAA administrative amendment of UK Type Certificate Data Sheets (TCDS) or Type Certificate Data Sheets Noise (TCDSN) for Non-UK TC Holders

To be completed by the Non-UK TC Holder when a TCDS (or TCDSN) has been updated and approved by the Certificating Authority (CA) to apply for an administrative update of the UK CAA TCDS (or TCDSN).

Foreign Certificating Authority (CA):
Foreign TCDS/TCDSN Number and revision:
UKCAA TCDS/TCDSN Number and revision to be amended:
Product Type:
Reason for amendment:

Data pack included with this application ☐

CAA – EASA TIP: SECTION 3

CONTINUING AIRWORTHINESS

Neil Williams

CAA – EASA TIP

Neil Williams
Safety Policy Manager
CAA

TIP Section 3:

Continuing Airworthiness

3.1 General

- The CAA on behalf of the UK and EASA on behalf of its Member States are responsible for fulfilling their responsibilities under Annex 8 of the Chicago Convention
- The functions of the authority of the State of Design, Manufacture or Registry are carried out by the CAA and EASA respectively
- The State of Design (SoD) is responsible for resolving in service issues and will provide details of all mandatory continuing airworthiness information to the Validating Authority (VA)
- The VA will review and normally accept the actions mandated by the Certificating Authority (CA)
- The CA will assist the VA, when asked, in determining and actions necessary for the continued safety of products operating in the jurisdiction of the Importing Party.

3.2 Failure, Malfunctions, Defects and in Service Difficulties

- **The CAA and EASA when acting as the State of Design will:**
  - Track and evaluate failures, malfunctions, defects in service difficulties and accident/incident reports
  - Investigate and resolve suspected unsafe conditions
  - Share information and provide copies of final reports on the above topics
  - Make reasonable efforts to resolve issues raised by the VA concerning r of safety for products operated in the jurisdiction of the importing party

3.2 Failure, Malfunctions, Defects and In Service Difficulties

- **The CAA and EASA when acting as the State of Registry will:**
  - Will inform the CA of any failures, malfunctions, defects, in-service difficulties and of any incidents/accidents occurring on the CA's products,
  - Will support the investigation of any unsafe conditions, and;
  - Advise the CA when it has determined it will issue any of its own mandatory corrective actions

3.3 Unsafe Conditions and Mandatory Continuing Airworthiness Information (MCAI)

- **The CAA and EASA when acting as the State of Design will:**
  - Issue MCAI when it determines an unsafe condition exists
  - Provide a copy of the MCAI to the VA
  - Provide advice to the VA on the appropriate action to take when issuing its own MCAI
  - Maintain web based access to MCAI.
  - This can be found in the following locations:

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

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

3.4 Alternative Methods of Compliance (AMOC) to an AD

- **Where EASA acts as the State of Design:**
  AMOC for products or STC's are automatically accepted by the CAA, providing the CAA has not issued its own AD deviating from the corresponding EASA AD

- **Where the CAA acts as the State of Design:**
  AMOC for products and STC's are separately approved by EASA. When issuing its approval EASA will give full consideration to the CAA approved AMOC.

CAA – EASA TIP: SECTION 4

ADMINISTRATION OF DESIGN CERTIFICATES

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CAA – EASA TIP

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TIP Section 4:

Administration of Design Certificates

Scope

- General
- Transfer of TCs and STCs
- Surrender of a TC or STC
- Revocation or Suspension of a TC or STC
- Surrender, Withdrawal of Change in Ownership of a UKTSOA or ETSOA

4.1 General

Section 4 of the TIP addresses the administration of design certificates.

General principles apply:

- Transfers of TC/STC only happen when the holder agrees to assume responsibilities for both CAA and EASA TC/STCs.
- The type design data are the property of the design approval holder.
- The transfer must be agreed by CAA and EASA and if no agreement can be reached, the CA may revoke the certificate.

4.2 Transfer of TCs and STCs (1)

4.2.1 **Transfer between CAA and EASA.**

- Responsibilities for SoD (ICAO Annex 8) also transfer.
- SoD responsibility transfer only happens when confirmed in writing by the receiving authority.
- The design must meet the receiving authority's certification requirements.
- New TC/STC required if the receiving authority has not previously validated it.

4.2 Transfer of TCs and STCs (2)

4.2.2 **Transfer within UK or EU (no change in CA).**

- CA will notify the VA.
- CA will provide a copy of the new TC/STC.
- VA will issue a new validation TC/STC.

4.2.3 **Transfer to a third state.**

- CA will notify the VA prior to the transfer.
- Transfer to the third state is outside the scope of this TIP.

4.3 Surrender of a TC or STC

4.3 **Surrender of a TC/STC**

- CA notifies the VA immediately.
- CA undertakes necessary activities to ensure continuing airworthiness until:

4.3.1 TC/STC issued to a new holder; or

4.3.2 CA has revoked the TC/STC (having first notified the VA).

4.4 Revocation or Suspension of TC or STC

4.4 Revocation or Suspension of a TC/STC

- CA notifies the VA immediately.
- VA undertakes an investigation to determine necessary action and may:
  - Initiate its own revocation or suspension; or
  - Assume CAW responsibilities within its own jurisdiction. In this case the CA will support the VA in obtaining type design data.

4.5 Surrender, Withdrawal or Change in Ownership of a UKTSOA or ETSOA

4.5 **Surrender, Withdrawal of Change in Ownership of a UKTSOA/ETSOA**

4.5.1/2 In the case of surrender or withdrawal, the CA informs the VA immediately:

- if a UKTSOA or ETSOA Holder elects to surrender or it is withdrawn; or
- if an unsafe condition is identified until the CA formally withdraws the approval.

The CA will investigate any non-compliance and notify the VA of any corrective action.

The CA still has responsibility for UKTSOA/ETSOA manufactured under its approval.

4.5.3 Transfer of UKSTOA/ETSOA can only happen in the case of change of ownership. The CA informs the VA and a new validation certificate is issued upon completion of an administrative process.

CAA – EASA TIP: SECTION 5

TECHNICAL SUPPORT AND INFORMATION FOR PRODUCTION

Michael Greer

CAA – EASA TIP

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TIP Section 5:

Technical Support and Information for Production Activities

Scope

- Where we are now
- Recognition of production certification and production oversight system
- Assessment of the new category of civil aeronautical product
- Extension of the recognition of the production certification and production oversight system to a new category of civil aeronautical products
- Interface between the production approval holder and the design certificate holder

Where we are now: Reciprocal acceptance

EASA & CAA websites

Brexit | EASA (europa.eu)

What is a bilateral agreement | UK Civil Aviation Authority (caa.co.uk)

For production, addresses mutual acceptance of the EASA Forms 1 & 52 and CAA Forms 1 & 52, and subsequently the need for 3rd country approvals.

Section 5 of the TIP, therefore mainly addresses EASA & CAA responsibilities.

What about part marking?

EPA/UKPA Marking

TIP 6.4 refers to Part 21 subpart Q.

UK production releases of parts with EASA design data (including from UK DOAs under an EASA DOA prior to 31st December 2020) should continue to be marked EPA in accordance with the design data package and drawings.

Any UK design (other than from a TC Holder) approved *after* 1st January 2021 should include UKPA marking as part of the data package and POAs manufacturing the part (either UK or in the EU) should mark the part accordingly.

“EPA” or “UKPA” marking depends only on design data, not place of manufacture

Note:- The above does not constitute authority to deviate from the information in the DOA/POA arrangement or design data package/drawing. If an POA considers that the incorrect part marking has been specified then this needs to be queried with the Design Organisation via a Design Query Note or other means as contained in the interface agreement/procedures between the POA and DOA.

ETSO/UKTSO

As a result of the Trade Agreement, a UK POA can continue to manufacture and part mark ETSO equipment and then release with a CAA Form 1 after 1st January 2021.

For equipment approved prior to 31st December 2020, and for which the UK POA has a valid Design/Production interface arrangement or procedures in accordance with 21.A.133, the design data package is accepted for manufacture using a CAA Form 1.

The previous design data is considered accepted under the Withdrawal Agreement, and the manufacture and release via a CAA Form 1 acceptable in the UK and the EU in accordance with the Trade Agreement.

5.1 - Recognition of production certification and production oversight system

Recognition for EASA and the UK CAA is initially restricted to the product categories existing on 31/12/2020.

I.e. Those products already in production.

These categories are listed in Appendix 1 of the TIP for each party.

Recognised categories - Appendix 1 (EASA only):

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

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

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

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

Large Aeroplanes (EASA CS-25 or equivalent)

Small Rotorcraft (EASA CS-27 or equivalent)

Large Rotorcraft (EASA CS-29 or equivalent)

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

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

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

Auxiliary Power Units (EASA CS APU or equivalent)

Engines (EASA CS-E or equivalent)

ETSO (EASA CS-ETSO or equivalent)

Propellers (EASA CS-P or equivalent)

Very Light Rotorcraft (EASA CS-VLR)

Airships

Parts and appliances for any category of product

Examples of categories not yet recognised by either party

- **Hybrid Air Vehicles**
- **Drones (RPAS)**
- **Electric Engines**
- **Etc.**

5.2 - Assessment of the new category of civil aeronautical product

A new product category introduced by one party will require assessment by the other before import.

Recognition only as far as production system remains sufficiently equivalent

This examination of the exporting Party's technical competence and capability to oversee the production of the new product category will likely also include on-site assessment of the POA and associated documentation.

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 Appendix 1 of the TIP will be updated.

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

Addresses the case where the State of Design (SoD) is different from the State of Manufacture (SoM).

Applies to complete aircraft, engines and propellers only.

Requires procedures to outline each Party’s SoD and SoM responsibilities under ICAO Annex 8.

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

Parts and appliances: Whilst not included in the TIP,

Where DO-PO interface arrangements document reference EASA requirements such as EASA Part 21.A.133 and EASA Form 1 these should be updated to the UK requirements where applicable.

As an output from an EASA 21J prior to 31st December 2020, current DO-PO arrangements held by UK POA holders are considered accepted under the terms of the Withdrawal and Trade Agreements and are still considered valid to support CAA Form 1 releases without immediate amendment.

In a similar manner to the POA approval certificates and Exposition amendments to include the CAA Form 1 release, these documents should be amended to include appropriate references *at their next routine amendment*.

UK Civil Aviation Authority

CAA – EASA TIP: SECTION 6

EXPORT CERTIFICATES

Neil Williams

CAA – EASA TIP

Neil Williams
Safety Policy Manager
CAA

TIP Section 6:

Export Certificates

6.1 Export Certificates

- Section 6 addresses the documents required for the export of Civil Aeronautical Products between the UK and the EU:
- For new complete aircraft only, a CAA or EASA Form 52 will be accepted
- For complete used aircraft, an Export Certificate of Airworthiness CAA or EASA Form 27 issued by the Competent Authority of the State of Registry
- For new civil aeronautical products other than complete aircraft a CAA or EASA Form 1 issued by an production approval holder approved by the exporting party

6.2 Export Certificates – New Aircraft

- To be acceptable for import the exporting Party will certify that:
- The aircraft conforms to a Type Design approved by the other Party
- Is in a condition for safe operation
- Has been satisfactorily flight tested
- Meets all additional requirements prescribed by the importing Party
- Is provided with a CAA or EASA Form 52

6.2 Export Certificates – New Products Other than a Complete Aircraft

- To be acceptable for import the exporting Party will certify that:
- The aircraft conforms to design data approved by the importing Party
- Is in a condition for safe operation
- Meets all additional requirements prescribed by the importing Party
- Is provided with an Authorised Release Certificate, CAA or EASA Form 1

6.2 & 6.3 Export Certificates – Used Aircraft

- An Export Certificate of Airworthiness can only be accepted if there if a holder of a Type Certificate or Restricted Type Certificate exists to support the continuing airworthiness of the aircraft
- The Competent Authority of the importing Party may request inspection and maintenance records to verify work has been accomplished in line with approved data
- Where major design changes or STC's have been embodied the necessary maintenance data is available
- Any non-compliances with the TIP, the Type Design or requirements of the importing party will be identified as exceptions on the Export C of A and be reported to and accepted by the importing Party

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:

- Instruction for Continuing Airworthiness and maintenance manuals which include airworthiness limitation sections .
- Aircraft flight manuals including all applicable supplements, weight and balance reports, and equipment lists.
- Logbooks or maintenance records for each aircraft and aircraft engine, propeller, rotor, or critical component.
- 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

UK Civil Aviation Authority

CAA – EASA TIP: SECTION 7

TECHNICAL SUPPORT AND INFORMATION FOR CERTIFICATION

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TIP Section 7:

Technical Support and Information for Certification Activities

Scope

- General
- Witnessing of Tests during Design Approval
- Findings of Compliance
- Conformity Certifications during Design Approvals
- Process for assistance in Production Surveillance
- Protection of Proprietary Data and Public Access to Documents and Information
- Accident/Incident and Suspect Unapproved Parts Investigation

7.1 General

Section 7 of the TIP addresses the technical assistance between EASA and the CAA. General principles apply:

- Every effort is made to have certification, validation and production tasks performed locally and on each other's behalf.
- Requests for technical assistance do not relieve the requestor's responsibility for regulatory control.
- Costs are covered by the benefitting organisations.
- When providing technical assistance, the authority/technical agent will use its own procedures.

7.2 Witnessing of Tests during Design Approval
7.3 Findings of Compliance

7.2 **Witnessing of Tests during Design Approval.**

- CAA and EASA may request assistance from each other for tests performed in each other's jurisdiction.
- Requests directly from manufacturers to the VA are not accepted.
- Working arrangements may be developed for high frequency/complex testing.
- Without a working arrangement, explicit test plans must be provided at least 2 weeks in advance.

7.3 **Findings of Compliance.**

- CAA or EASA may request that specific compliance determinations (to airworthiness or environmental protection requirements) be made associated with witnessing of tests.
- Formal confirmation of compliance is sent to the requesting authority.

7.4 Conformity Certifications during Design Approval

7.4 **Conformity Certifications during Design Approvals.**

- CAA and EASA may request assistance from each other for prototype part conformity.
- Requests directly from manufacturers to the VA are not accepted.
- Limited to complex cases.
- Working arrangements may be developed for high frequency/complex testing.
- May be performed by accredited persons or approved organisations.
- Non conformities reported to CAA/EASA as appropriate.
- Conformity inspections do not constitute an export approval or airworthiness determination.

7.5 Process for assistance in Production Surveillance and Oversight

Section 7 mainly refers to and lays the groundworks for EASA and the CAA assisting each other where there is production activity in the other's territory.

7.1 gives examples such as:

- First article inspection reports (FAIRS)
- Sample inspections on production parts
- Auditing of production quality systems
- Etc.

7.5 Process for assistance in Production Surveillance and Oversight

7.5 **Process for assistance in Production Surveillance and Oversight.**

7.5 builds on 7.1 and provides a framework for where there is a need for a more structured relationship particularly where the cooperation is expected to be repetitive or long-term. In these cases a working arrangement may be established in order to outline each Competent Authority's level of participation.

The level of participation shall be mutually agreed between the Authorities and may include:
Surveillance activity, attendance as an observer or none.

7.7 Protection of Proprietary Data and Public Access to Documents and Information.
7.8 Accident/Incident and Suspected Unapproved Parts Investigation Information Requests

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

- Proprietary data will not be copied, released or shown without written consent of the data owner.
- Written consent will be sought for public data requests for information.

7.8 **Accident investigation and Suspect Unapproved Parts Investigation Information Requests.**

- CAA or EASA will cooperate to address urgent information needs and may request data from each other.
- Information may be requested directly from the manufacturer if immediate contact within EASA/CAA cannot be made – notification follows as soon as possible.

UK Civil Aviation Authority

CAA – EASA TIP

QUESTIONS AND ANSWERS

Liam Betts

UK Civil Aviation Authority

Wrap-up / Next steps

David Malins