



# Planning for Successful Engagement with the CAA – UKTSOA

## Key Messages for Applicants

- Realistic planning and efficient use of CAA time is vital.
- Documentation provided should as far as possible be to a high standard and maturity, having passed through the applicant's design assurance system.
- Minimum Operational Performance Standards (MOPS) addressed by the substantiation document should be prominently identified in the document.
- Documentation and data provided to CAA should be kept under version/configuration control and an appropriate revision record maintained on each document.
- If the document has been revised to address a specific action or CAA comment, advise the CAA of the specific areas of the revised document that address that specific concern. Please do not simply re-submit a revised document.
- Where an applicant to UK CAA SharePoint site has been established, it is the responsibility of the applicant to ensure that data is current, applicable, organised and updates are added to the associated comments log.
- Advance notice is required of activity that may require CAA support or attendance.
- CAA will endeavour to support the organisation's schedule as discussed and agreed. However, it must be noted that the nature of our responsibilities and the resource we have available means we cannot guarantee this.
- If at any time the applicant decides to deprioritise, slow or stop work on the project for a period of time, the applicant should consider that there might be implications on overall project timelines and priority as CAA might re-prioritise the project and reallocate assigned resources, and that bringing that resource back online when the project re-starts might take a time to reassign.
- Applicant to familiarise with guidance on [Unacceptable and unreasonable external behaviour](#) webpage and [CAP 2504 Unacceptable and Unreasonable Behaviour Policy](#).

## CAA Certification – Project Phases

- There are typically, 5 phases to a CAA certification project, which as far as practical will be addressed sequentially.
  1. Eligibility Check
  2. Technical Familiarisation and establishment of initial Certification Basis
  3. Agreement of Certification Programme (CP) and Level of Involvement (LoI)
  4. Compliance Determination
  5. Technical Closure and Issue of Approval
- CAA will not generally proceed to the compliance demonstration phase until the initial Certification Programme (CP) is complete and agreed with the CAA.
- Where updates to the CP are required through the project, an updated version should be released in a timely manner for CAA team consideration.



## CAA Project Team

- A Project Certification Manager (PCM) and Deputy PCM (DPCM), if required, will be or have been assigned to the project.
- The PCMs will assemble the team of CAA Specialists necessary to conduct the CAA's technical investigation.
- Where multiple specialists are required for a given Panel, a Panel Coordinator(s) will be assigned to act as primary point of contact for the technical investigation.
- If the applicant wishes to raise any feedback during the project, then this should be directed to the PCM/DPCM. In the unlikely event that further project escalation is required, applicants are to initially contact their assigned DOATL.

## Planning for CAA Involvement

To ensure that planning for CAA involvement can be built into the project schedules in a realistic manner, the following can be used as a guide.

- CAA turnaround for providing feedback on a document may be around 4 weeks from submission. Time for reviewing responses to CAA comments, etc, is additional, and a similar turnaround is anticipated.
- At times of peaks in CAA workload or other cases affecting availability of resource, the CAA PCM/DPCM will advise the applicant(s).
- It is requested that the applicant staggers the submission of documents throughout the programme to avoid delay in review towards the end of a programme.
- Planning of the test regime should be coordinated with CAA as it is possible that CAA might need to witness test(s).
- At least 4 weeks notice is requested for activities that require CAA witnessing or direct involvement (e.g. test witnessing, large project meetings, etc). Planning documentation for these activities are to be supplied 2 weeks prior the start of the activity. Consideration for extending notice period should be given if utilising test laboratories outside the UK.
- A Test Readiness Review (TRR) will be performed prior to agreement to proceed to testing. Any testing performed before CAA agreement is at risk to the applicant and might need to be repeated to satisfy LoI requirements.
- Note that CAA does not routinely work on weekends and bank holidays, and this should be factored into project planning.
- Any delay in submission to the CAA might result in a corresponding delay to CAA target turnaround against the schedule. Similarly, CAA turnaround assumes timely provision of any further information or data required, and target will be paused while awaiting that data.
- Any compliance demonstration results that conflict with expected test results or assumptions should be communicated to the CAA as soon as possible. Any changes to scheduling of testing that CAA has agreed to witness need to be communicated and revised availabilities agreed with CAA before any testing is conducted.



## Correspondence within the CAA and with Applicants

- All project level communication will be through the PCM (and deputy where assigned), unless specifically agreed.
- As agreed with the PCM/DPCM, correspondence related to compliance demonstration may be sent directly between the CAA Specialists, with PCM/DPCM in copy.
- Correspondence must include the CAA Project (e.g. UK.TSOA.#####) number in the subject header and, if applicable, the Action Item to which the correspondence relates.
- The working methods and communication protocols between the organisation and CAA will be agreed at the beginning of the project.

## Meetings between the CAA and the applicant

- The project may involve numerous meetings between the CAA and the applicant, and it is important that accurate records of these meetings are kept throughout the project.
- The applicant should provide detailed agendas and presentation material, whenever possible, in due time (i.e. at least five working days in advance).
- The applicant is responsible to provide meeting minutes for the CAA review and acceptance, whenever possible, within ten working days.
- The agendas and minutes of meetings should be distributed by the applicant to all relevant panels and the PCM/DPCM.
- Action Items (AI's) arising from minutes will be collected and managed by the applicant.
- For larger, longer running projects, periodic (for example, 3 monthly) meetings may be of benefit between the PCM/DPCM and the applicant Project Leads to review project status and progress against project milestones.

Signed and endorsed by D&C Chief Engineer Garry Lathey:

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