



## Certification Support for Validation (CSV)

Doc # E.P010-01

For internal use only

## Cover Sheet

## Executive Directorate

## Certification Support for Validation (CSV)

E.P010-01

	Name	Signature	Date
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## Document Control Sheet

Process concerned: Product Certification Application/Certificates Management

Process owner: Head of Product Certification Application/Certificates Management Section – E.6.1

**Purpose:**

The Certification Support for Validation (CSV) procedure, which is part of the Product Certification Application/Certificates Management process, covers the following activities:

- Certification support for validation of EASA Certificates in Third Countries
- Test Witnessing
- Conformity Inspections
- Other Compliance Finding Support

Explanation

This internal working procedure defines the process for the certification support for holders and Applicants of EASA approvals of products, parts and appliances requesting a validation of their approvals in a third country.

**Note 1:** The term validation in this procedure is used to indicate certification activities by authorities of third countries.

Furthermore, the need for test witnessing, conformity inspections and/or other compliance finding support may occur in relation to a third country certification or approval effort involving EU suppliers (including Iceland, Liechtenstein, Norway and Switzerland), where the third country acts as the PCA and no EASA certificate is required (e.g. when under a subcontract of a TC-holder a part of an aircraft designed in a third country is developed, built and/or tested in one of the EU Member States, Iceland, Liechtenstein, Norway and Switzerland).

This internal working procedure describes how EASA will provide services to Applicants in relation to the above mentioned activities.

**Note 2:** Test witnessing, conformity inspections and compliance findings related to activities where EASA acts as PCA are not covered in this procedure.

**Note 3:** Where the tasks described in this CSV procedure are part of a concurrent EASA/Third Country Authority certification/validation programme, EASA reserves the right to deviate from this procedure.

For example: individual applications are not required if an alternative procedure for delegation between the authorities is agreed by all parties, and controlled through the certification programme Project Information Document (PID).

In cases such as these, all fees and charges related to these activities will be booked under the original EASA certification/validation project number for the product, and charged directly to the TC Applicant provided that the Certifying Authority and Validating Authority certificates are issued at the same time.

Where the foreign Validating Authority's certificate is issued after the EASA certificate, any further working hours and missions between the EASA certificate and the issue of the foreign Validating Authority's certificate are booked on a related CSV project number and charged according to the CSV provisions described in this procedure.



<b>Certification Support for Validation (CSV)</b>	<b>Doc # E.P010-01</b> For internal use only
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**Scope:**

The scope of this procedure is limited to those cases where the need for EASA providing these services is established, either by bilateral agreements or working arrangements, or on request of the Applicant and/or authority of the third country involved.

**Note:** EASA will reserve the right to refuse supporting such activities if sufficient resources are not available or according to its own tasks priorities.

**Reference documents :**

a) Internal:  
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b) External:  
FAA Order. 8110.52, Type Validation and Post-Type Validation Procedures

**Functions concerned (users):**

Plans and Programmes Department (E.6)  
Products Department (C.1)  
Finance Department (A.1)  
National Aviation Authorities  
Third Country Aviation Authorities  
Applicants/EU Companies (EU Member States, Iceland, Liechtenstein, Norway and Switzerland)

**Table of contents:**

Reference	Title	Pages (from-to)
Cover	Cover Sheet	1
DCS	Document Control Sheet	2-6
INTRO	Introduction	7-10
PC01	Certification support for validation process	11-14
PC02	Test witnessing support activities process	15-18
REC	List of Quality Records	19



## Certification Support for Validation (CSV)

Doc # E.P010-01

For internal use only

## Document Control Sheet

**Related Work Instructions:**

C.I005	Issue of Compliance Statements to Foreign NAAs under the EASA CSV Procedure
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**Related Forms:**

Reference	Title
EASA Form 41	Contract for Certification Support for Validation of EASA Certificates and other Third Country Approval Activities
EASA Form 95	EASA TC Technical Visa Form
EASA Form 96	EASA Post TC Technical Visa Form
EASA Form 97	EASA ETSOA Technical Visa Form

**Other related documents:**

Reference	Title
Template letter 00	Forwarding letter to the VA
Template letter 01	Quote letter
Template letter 02	Task allocation letter
Template letter 03	Invoice cover letter
Template letter 04	ETSO Compliance statement
Template letter 05	Products Compliance statement



## Certification Support for Validation (CSV)

Doc # E.P010-01

For internal use only

**Definitions and Abbreviations:**

A.1	EASA - Finance Department	E.6	EASA - Plans and Programmes Department – Executive Directorate
APP	Applicant (EU company)	MS	Member State
C	EASA - Certification Directorate	NAA	National Aviation Authority
C.1	EASA - Products Department – Certification Directorate	PCA	Primary Certifying Authority
CA	Certifying Authority	PID	Project Information Document
CSV	Certification Support for Validation	POA	Production Organisation Approval
DB	Database	RP	Responsible Party (EASA or NAA)
DOA	Design Organisation Approval	SI2	Financial Tool
EASA	European Aviation Safety Agency	SoD	State of Design
EC	European Commission	VA	Validating Authority
EU	European Union	TV	Technical Visa

**Log of issues:**

Issue #	Issue date	Change description	Related documents affected by new issue
00	14/06/07	<ol style="list-style-type: none"> <li>Incorporation of changes following the entry into force of Regulation (EC) No 593/2007 of 31 May 2007 on the fees and charges levied by the European Aviation Safety Agency</li> <li>Change in document reference number to reflect new organisational structure</li> </ol>	E.P010-00 replaced C.P106-00 "Certification Support for Validation procedure". Due to the change in the document reference number, the revision number was set to -00.
01	23/10/07	<ol style="list-style-type: none"> <li>Change in charging scheme related to working hours for administrative and management time associated with the services provided</li> <li>Multiple validation of EASA Certificates in Third Countries on a single EASA Form 41 not excluded</li> <li>Change in the internal process of preparing and signing the Statement of compliance in order to reflect the newly published working instructions C.1005-xx (Issue of Compliance Statements to Foreign NAAs under the EASA CSV Procedure)</li> </ol>	EASA Form 41 (Contract for Certification Support for Validation of EASA Certificates and other Third Country Approval Activities)



## Certification Support for Validation (CSV)

Doc # E.P010-01

For internal use only

**Introduction****Legal framework :**

1592/2002	Regulation (EC) No 1592/2002 of the European Parliament and the Council of 15 July 2002 on common rules in the field of civil aviation and establishing a European Aviation Safety Agency (hereinafter the Basic Regulation)
593/2007	Commission Regulation (EC) No 593/2007 of 31 May 2007 on the fees and charges levied by the European Aviation Safety Agency

**Basic Principles :**

This procedure defines all steps necessary to complete following activities:

- Certification support for validation of EASA approvals in third countries (tickbox "Support related to third country validation of EASA approval" on EASA Form 41)
- Test witnessing / Conformity Inspection of the Test Set-up support for a third country authority related to design certification activities involving EU suppliers (including Iceland, Liechtenstein, Norway and Switzerland) (tickbox "Support related to test witnessing" on EASA Form 41)
- Conformity inspection support for a third country authority related to production approval activities under the responsibility of EASA (tickbox "Support related to conformity inspections" on EASA Form 41)
  - Note:** EASA will only provide support for conformity inspections (e.g. first article inspections) related to parts which are produced under the privileges of a POA. The support will only be applicable for POAs approved by EASA. Production approval activities within the EU member states, Iceland, Liechtenstein, Norway and Switzerland normally fall under the responsibility of the local NAA.
- Other compliance finding support for a third country authority related to foreign design certification activities involving EU suppliers (including Iceland, Liechtenstein, Norway and Switzerland) (tickbox "Support related to other compliance finding activities" on EASA Form 41)

**Charges information:**

Applicants for Certification Support for Validation of EASA Certificates and other Third Country Approval Activities will be charged in accordance with the Commission Regulation (EC) No 593/2007 of 31 May 2007 on the fees and charges levied by the European Aviation Safety Agency (OJL 140, 1.6.2007, p.3).

According to Articles 10 and 11 of the afore-mentioned Regulation, the services provided by EASA give rise to charges which shall be equal to the real cost of the service provided, including the cost of making it available to the applicant.

The real costs associated with the services are defined as follows:

1. Hours performed by EASA technical experts and /or the EASA's contractors (NAAs). As a minimum one working hour will be charged per application.
2. Travel costs which are payable by EASA to its contractors or staff including:
  - Transport costs (airplane ticket, visa costs, train, car, bus, taxi),
  - Travel time costs (travel time x hourly rate),
  - All other costs (accommodation and meals, incidental expenses and travel allowances paid to staff in the context of those activities).

The applicable hourly rate is defined in Part II of the Annex of the Regulation.



## Certification Support for Validation (CSV)

Doc # E.P010-01

For internal use only

In the event of cancellation of support activities or refusal of a quote (provided on request by an applicant), the working hours already spent will be fully recovered. EASA will also recover, if applicable, any travel costs.

**Project number nomenclature:**

The activities described above will be assigned with a project number as follows:

Certification support for validation

<u>Category</u>	<u>Project Nr</u>	<u>Remarks</u>
AEROPLANE	P-EASA.CSV.A.XXXXX	
ROTORCRAFT	P-EASA.CSV.R.XXXXX	
ENGINE	P-EASA.CSV.E.XXXXX	XXXXX = sequential numbering system
PROPELLER	P-EASA.CSV.P.XXXXX	
BALLOON/ AIRSHIP	P-EASA.CSV.BA.XXXXX	
ETSO	P-EASA.CSV.210.XXXXX	

Test witnessing / Conformity Inspection of the Test Set-up

<u>Category</u>	<u>Project Nr</u>	<u>Remarks</u>
AEROPLANE	P-EASA.CSV.TW.A.XXXXX	
ROTORCRAFT	P-EASA.CSV.TW.R.XXXXX	
ENGINE	P-EASA.CSV.TW.E.XXXXX	XXXXX = sequential numbering system
PROPELLER	P-EASA.CSV.TW.P.XXXXX	
BALLOON/ AIRSHIP	P-EASA.CSV.TW.BA.XXXXX	
ETSO	P-EASA.CSV.TW.210.XXXXX	

Conformity inspection related to production approval activities under EASA responsibility

<u>Category</u>	<u>Project Nr</u>	<u>Remarks</u>
AEROPLANE	P-EASA.CSV.CI.A.XXXXX	
ROTORCRAFT	P-EASA.CSV.CI.R.XXXXX	
ENGINE	P-EASA.CSV.CI.E.XXXXX	XXXXX = sequential numbering system
PROPELLER	P-EASA.CSV.CI.P.XXXXX	
BALLOON/ AIRSHIP	P-EASA.CSV.CI.BA.XXXXX	
ETSO	P-EASA.CSV.CI.210.XXXXX	

Other compliance finding support

<u>Category</u>	<u>Project Nr</u>	<u>Remarks</u>
AEROPLANE	P-EASA.CSV.OT.A.XXXXX	
ROTORCRAFT	P-EASA.CSV.OT.R.XXXXX	
ENGINE	P-EASA.CSV.OT.E.XXXXX	XXXXX = sequential numbering system
PROPELLER	P-EASA.CSV.OT.P.XXXXX	
BALLOON/ AIRSHIP	P-EASA.CSV.OT.BA.XXXXX	
ETSO	P-EASA.CSV.OT.210.XXXXX	



## Certification Support for Validation (CSV)

Doc # E.P010-01

For internal use only

**General Description :**

A general description of the procedures, which are shown in more detail in the process charts PC01 – 02, is presented below:

Certification support for validation

- An application for validation of EASA Certificates in Third Countries is sent by the Applicant to the Validating Authority (VA) via EASA. The format of this application is defined by the applicable VA's procedures.
- EASA will review the application for validation, issue a project number and forward it to the VA.
- In case the Applicant wants to receive EASA's active support (e.g. compliance findings and statements against the VA requirements), the Applicant has to apply to EASA using the EASA Form 41. The Agency will review the application and the EASA Form 41, issue a project number and upon request will send a quote of the estimated total amount of charges for the services, based on the information contained in EASA Form 41.
- EASA will decide on whether the requested support will be provided by EASA personnel and/or seconded personnel, or entirely outsourced to an NAA.
- The technical investigation/coordination with the VA is carried out (validation support activities).
- After completion of the validation support activities, the responsible party will provide EASA - Plans and Programmes Department with a technical visa (including hours spent by expert(s) and day(s) on mission(s)) and information related to other associated costs.
- An initial invoice for the costs of the validation support activities is sent to the Applicant, based on the technical visa data.
- Upon receipt of payment, EASA will prepare a Statement of Compliance for the VA to complete the validation activities and to issue the foreign certificate.
- The third country certificate will be sent directly by the VA to the Applicant, and copied to EASA enabling EASA to close the CSV project.  
**Note:** in the event where additional work has to be performed before the issuance of the VA certificate, e.g. due to queries by the VA after receipt of the Statement of Compliance, the RP has to send a revised TV.
- A final invoice for the real costs of the validation support activities will be sent to the Applicant based on later available additional information (e.g. actual travel costs or additional working hours).
- Any further activities after issuance of the VA certificate (queries, later requests from the VA, etc.) will be processed as continued airworthiness activities and booked under the original EASA approval number for products, parts and appliances.

Test witnessing / Conformity inspection / Other compliance finding support

Test witnessing including conformity of test setups:

- The CA sends EASA a request to perform test witnessing on its behalf. A copy of this request should be sent to the European company where the test has to be performed.
- The company where the test has to be performed should send a contract proposal, based on the contract template (EASA Form 41). One contract proposal per test witnessing is required.
- After review of the contract proposal, EASA issues a project number and allocates the test witnessing task internally or to the locally responsible NAA. A copy of the allocation letter will be sent to the company.
- EASA technical experts or the NAA will directly communicate with the CA and the EU Company for further technical coordination.
- After completion of the test witnessing activities, the responsible party will provide EASA - Plans and Programmes Department with a technical visa (including hours spent by expert(s) and day(s))



## Certification Support for Validation (CSV)

Doc # E.P010-01

For internal use only

on mission(s)) and information related to other associated costs. Copies of the CA forms and documents completed by the responsible party will be attached to the TV.

- An initial invoice for the costs of the test witnessing activities is sent to the Applicant, based on the technical visa data.
- The RP (if EASA - Products Department) forwards directly the requested forms and documents to the CA.
- The RP (if NAA) forwards directly the requested forms and documents to the CA with a cover page clearly indicating that the task has been performed on behalf of the EASA based on a task allocation (with letter ref.) and clearly citing the EASA Project Number.
- A final invoice for the real costs of the test witnessing activities will be sent to the Applicant based on later available additional information (e.g. actual travel costs).

Conformity inspection related to production approvals:

- The same procedural steps as mentioned above under test witnessing are applicable.

Other compliance finding support:

- The same procedural steps as mentioned above under test witnessing are applicable.

**Structure of the Procedure :**

This procedure contains the following elements:

1. Certification support for validation activities by third country authorities (see process charts and description PC01 detailing all steps of the process)
2. Test witnessing support activities for third country authorities (see process charts and description PC02 detailing all steps of the process)

**Note:** For Conformity inspection support activities for third country authorities and other compliance finding support activities for third country authorities, the same flowcharts as mentioned above under 2. "Test witnessing support" (PC02) are applicable.

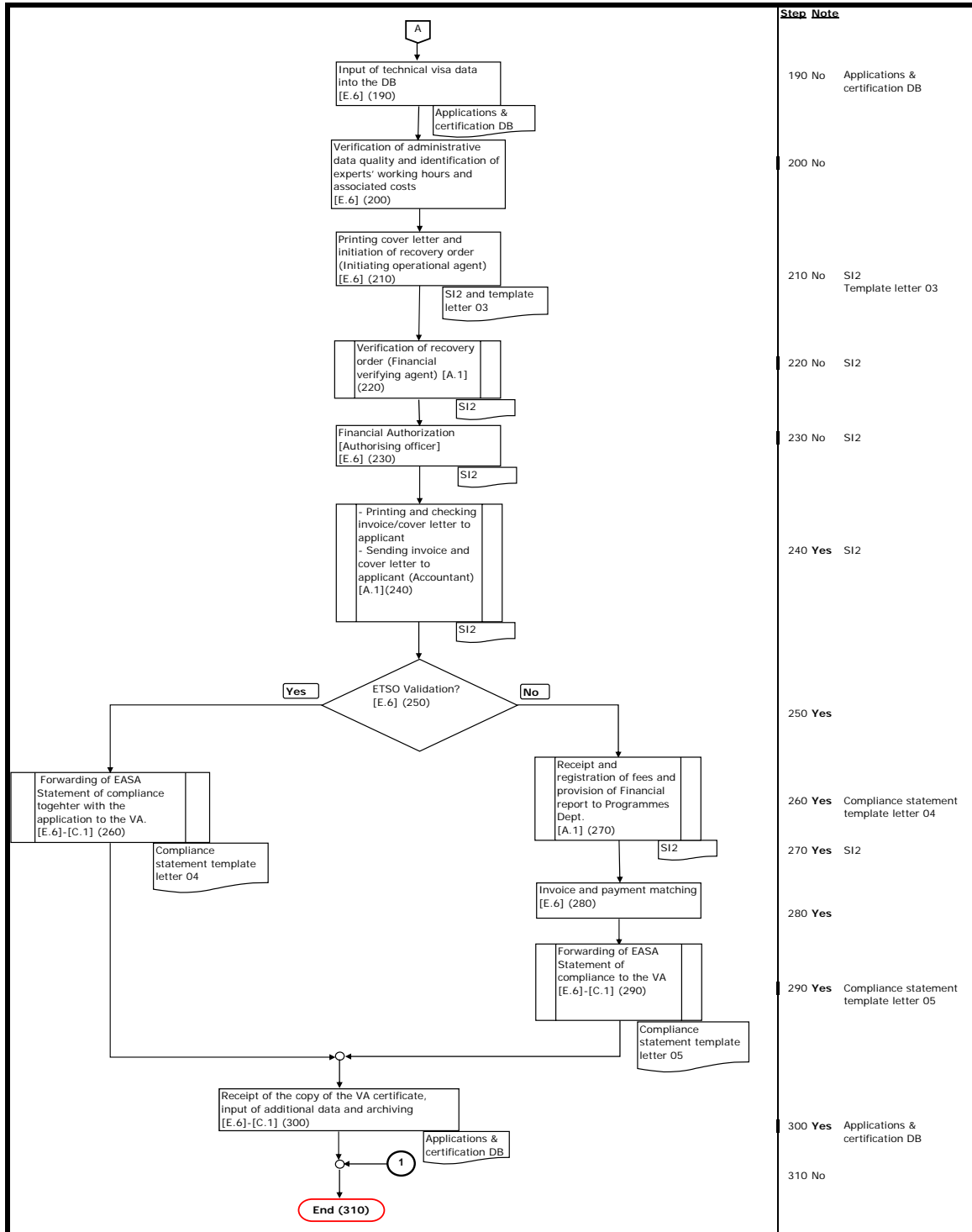




# Certification Support for Validation (CSV)

Doc # E.P010-01  
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Certification Support for Validation      Process Chart      PC01





## Certification Support for Validation (CSV)

Doc # E.P010-01

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Step	Description of the process step (certification support for validation)
010	---
020	<p>An application for validation of an EASA approval is sent by the Applicant to the VA through EASA - Plans and Programmes Department (<a href="mailto:validation-support@easa.europa.eu">validation-support@easa.europa.eu</a>).</p> <p>In case the Applicant wants to be actively supported by EASA during the validation process, a contract for EASA services in relation to validation of EASA certificates (EASA Form 41) is required in addition. The contract has to be signed by the Applicant.</p> <p>In all cases the following documents need to be provided:</p> <ul style="list-style-type: none"> <li>- Application letter to VA (if required under VA procedures)</li> <li>- VA Application Form</li> </ul> <p><b>Note 1:</b> In case of multiple validations (more than one approval/certificate) on a single EASA Form 41, and in agreement with the applicant, EASA reserves the right to split the contract proposal in different projects if found that the scope of the validations can not be covered by one contract proposal.</p> <p><b>Note 2:</b> The application to the VA may take place concurrently with the application for EASA approval, or at a later stage, depending on the case.</p> <p><b>Note 3:</b> The EASA Third Party Financial Information is needed (unless previously provided) in case of reimbursement.</p> <p><b>Note 4:</b> If no contract proposal is sent, EASA has to inform the CA that the requested support cannot be provided.</p> <p><b>Note 5:</b> In cases where there is no direct involvement of EASA, EASA will only forward the letter and/or VA forms to the VA.</p> <p><b>Note 6:</b> The Agency will provide certification support as established by either bilateral agreements, working arrangements or any other method acceptable to the Agency and the VA. For instance, for FAA validation of EASA approved STCs, the Applicant will need to classify and the EASA RP will need to review and concur whether any STC will be "basic" or "non-basic". Paragraph 321 of FAA Order 8110.52 "Type Validation Principles" applies. The Applicant is responsible to compile the minimum documentation according to paragraph 390 of 8110.52. Application Form 41 as published on <a href="http://www.easa.europa.eu">www.easa.europa.eu</a> &lt;Certification&gt; &lt;Application Forms&gt; is to be used.</p>
030-040	EASA - Plans and Programmes Department reviews the application, issues a project number and decides in coordination with the EASA - Products Department to which responsible party the allocation of the technical investigation will be made.
050	---
060	<p>After coordination with the EASA - Products Department, EASA will forward this application to the VA (internal copies to the involved sections).</p> <p><b>Note:</b> In case of parts and appliances, a simplified process is applied.</p> <p>After receipt of the application for validation by the VA, the formal EASA application forwarding is completed and the VA starts its technical validation process.</p>
070-100	Based on the information provided by the Applicant in the contract and upon request, EASA will send a quote of the estimated total amount of charges for the services to be provided to the Applicant. However, the preparation of such a quote requires additional processing time.
110	Input of additional data related to the refusal of the quote into the Applications/Certifications DB and archiving of supporting documents.



<b>Certification Support for Validation (CSV)</b>	<b>Doc # E.P010-01</b> For internal use only
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<b>120</b>	Input of additional data related to the task allocation and quote (if applicable) into the Applications/Certifications DB.
<b>130</b>	---
<b>140-150</b>	EASA sends a task allocation letter to the responsible party and informs the Applicant accordingly. The Applicant is informed about the further processing of his application and about his technical contact points through a copy of the EASA allocation letter.
<b>160-170</b>	Coordination of the technical investigation process between the RP, the VA and the Applicant, technical investigation, showing and finding of compliance. After completion of the validation support activities, the RP provides EASA - Plans and Programmes Department with a TV (including hours spent by expert(s) and day(s) on mission(s)) as well as the associated documentation for the VA. If the validation support activities are carried out by EASA/EASA teams, the Statement of compliance will be prepared, signed and submitted to the EASA - Plans and Programmes Department concurrently with the TV and the associated documentation.
<b>180</b>	If the validation support activities are carried out by NAAs as allocated tasks, the TV received by the EASA - Plans & Programmes Department is forwarded to the EASA - Products Department for review and for preparation and signature of the related compliance statement. The TV together with the compliance statement is then returned to the EASA - Plans & Programmes Department.
<b>190-230</b>	---
<b>240</b>	An initial invoice for the costs of the validation support activities is sent to the Applicant, based on the TV data.  <b>Note 1:</b> If applicable a final invoice for the real costs of the validation support activities will be sent to the Applicant based on additional information available at a later stage (e.g. actual travel costs or additional working hours).  <b>Note 2:</b> Any further activities after issuance of the VA certificate (queries, later requests from the VA, etc...) will be processed as continued airworthiness activities and booked under the original EASA approval number for products, parts and appliances.
<b>250-290</b>	Upon receipt of payment for the initial invoice, EASA will forward the Statement of Compliance for the VA to complete the validation activities and to issue the foreign certificate.  <b>Note 1:</b> The Compliance Statement is signed by a representative from the Certification Directorate based on a TV.  <b>Note 2:</b> in the event where additional work has to be performed before the issuance of the VA certificate, e.g. due to queries by the VA after receipt of the Statement of Compliance, the RP has to send a revised TV.
<b>300</b>	The third country certificate is issued and sent directly by the VA to the Applicant, copy to EASA. The data related to the third country certificate is entered into the Applications/Certifications DB and the supporting documents archived.
<b>310</b>	End of the Certification Support for Validation process.



Certification Support for Validation (CSV)

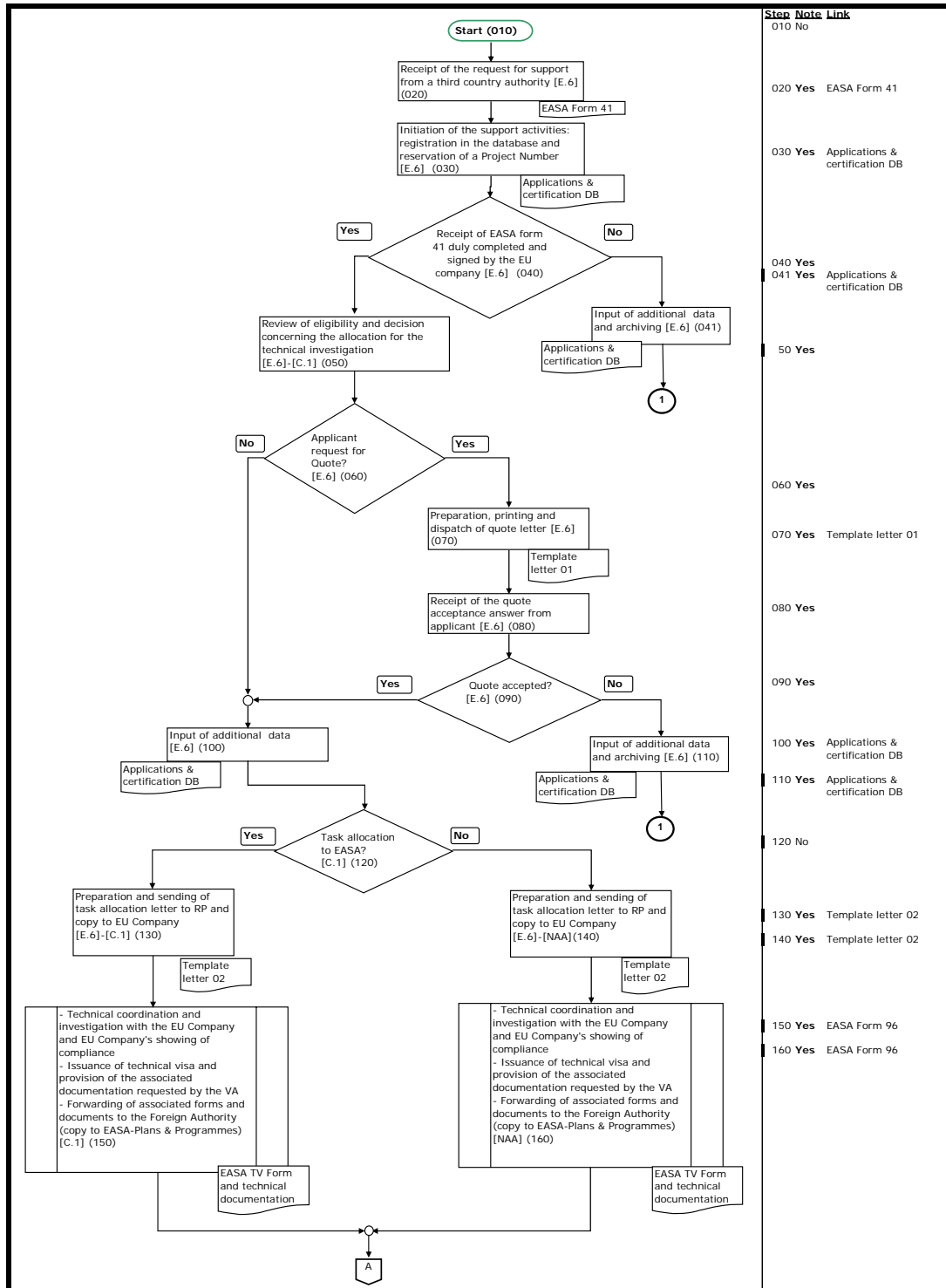
Doc # E.P010-01

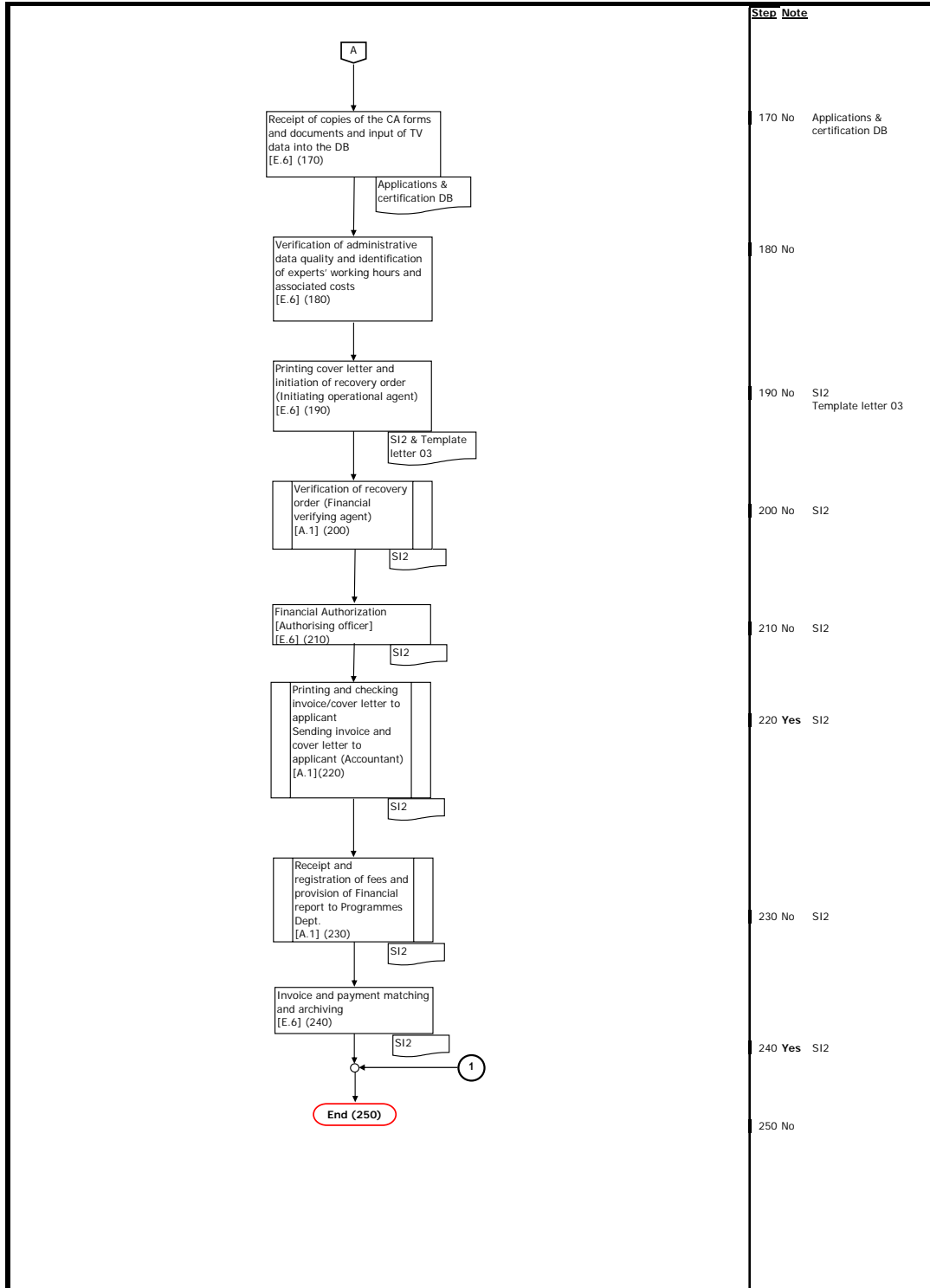
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Test Witnessing Support Activities

Process Chart

PC02







<b>Certification Support for Validation (CSV)</b>	<b>Doc # E.P010-01</b> For internal use only
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Step	Description of the process step (Test witnessing support activities)
10	---
020	<p>The CA sends a request to EASA for performing test witnessing on its behalf. A copy of this request should be sent to the European company where the test has to be performed.</p> <p style="text-align: center;"><b>Note:</b> a quarterly pre-planning and coordination between the CA and EASA facilitates and accelerates the process</p>
030	EASA reviews the request, registers it in the database and reserves a project number.
040	<p>The company where the test has to be performed should send a contract proposal to EASA (EASA Form 41).</p> <p style="text-align: center;"><b>Note 1:</b> One contract proposal per project. The contract has to be signed by the company/Applicant. In case of multiple requests (more than one project) on a single EASA Form 41, EASA will process and invoice each project separately.</p> <p style="text-align: center;"><b>Note 2:</b> The EASA Third Party Financial Information is needed (unless previously provided) in case of reimbursement.</p> <p style="text-align: center;"><b>Note 3:</b> If no contract proposal is sent, EASA has to inform the CA that the requested support cannot be provided.</p>
041	Input of additional data related to the absence of EASA form 41 duly completed and signed by the EU company into the Applications/Certifications DB and archiving of supporting documents.
050	EASA - Plans and Programmes Department reviews the application and decides in coordination with the EASA - Products Department to which responsible party the allocation of the activities will be made.
060-090	Based on the information provided by the Applicant in the contract and upon request, EASA will send a quote of the estimated total amount of charges for the services to be provided to the Applicant. However, the preparation of such a quote requires additional processing time.
100	Input of additional data related to the task allocation and quote (if applicable) into the Applications/Certifications DB.
110	Input of additional data related to the refusal of the quote into the Applications/Certifications DB and archiving of supporting documents.
120	---
130 – 140	<p>EASA sends a task allocation letter to the responsible party and informs the Applicant accordingly.</p> <p>The EU company is informed about the further processing of its application and about the technical contact points through a copy of the EASA allocation letter.</p>
150 - 160	<p>Coordination of the technical activities between RP and Applicant (and CA, if necessary) and performance of the activities.</p> <p>After completion of the activities, the RP provides EASA - Plans and Programmes Department with a TV (including hours spent by expert(s) and day(s) on mission(s)) as well as the copies of associated documentation for the CA (e.g. FAA Form 8100-1 "conformity inspection record").</p>



## Certification Support for Validation (CSV)

Doc # E.P010-01

For internal use only

	<p><b>Note:</b> The RP (if EASA - Products Department) forwards directly the requested forms and documents to the CA (copies to EASA - Plans and Programmes Department as previously mentioned).</p> <p>The RP (if NAA) forwards directly the requested forms and documents to the CA with a cover page clearly indicating that the task has been performed on behalf of the EASA based on a task allocation (with letter ref.) and clearly citing the EASA Project Number (copies to EASA - Plans and Programmes Department as previously mentioned).</p> <p>EASA support ends upon receipt of the associated documentation requested by the CA.</p>
<b>170-210</b>	---
<b>220</b>	<p>An initial invoice for the costs of the test witnessing activities is sent to the Applicant, based on the TV data.</p> <p><b>Note:</b> If applicable, a final invoice for the real costs of the test witnessing activities will be sent to the Applicant based on additional information (e.g. actual travel costs) available at a later stage.</p>
<b>230</b>	---
<b>240</b>	After receipt of the payment from the EU company, the EASA - Plans and Programmes Department closes the project file and archives all supporting documents.
<b>250</b>	End of the Certification Support for Validation process.



## Certification Support for Validation (CSV)

Doc # E.P010-01

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## Appendix

## LIST OF RECORDS

REC

PC01 Certification Support for Validation process	
Related to step	Description
020	Contract for Certification Support for Validation of EASA Certificates and other Third Country Approval Activities (EASA Form 41)
060	Forwarding letter to the VA (Template Letter 00)
080	Quote letter to Applicant (Template Letter 01)
140/150	Task allocation letter (Template Letter 02)
160/170/180	Technical Visa for Type Certificate / Restricted Type Certificate (EASA Form 95), Technical Visa for Post TC Design Approval (EASA Form 96), Technical Visa for ETSOA (EASA Form 97) and supporting documents
210	Cover letter to be sent with invoice (Template Letter 03)
240	Invoice
160/180/260/290	ETSO/Products EASA Statement of Compliance (Template Letter 04 + 05)
300	Copy of the certificate issued by the third country VA

PC02 Test Witnessing Support process	
Related to step	Description
020	Contract for Certification Support for Validation of EASA Certificates and other Third Country Approval Activities (EASA Form 41)
070	Quote letter to Applicant (Template Letter 01)
130/140	Task allocation letter (Template Letter 02)
150/160	Technical Visa for Post TC Design Approval (EASA Form 96) and supporting documents
190	Cover letter to be sent with invoice (Template Letter 03)
220	Invoice