



European Technical Standard Order Authorisation	Doc #	PR.ETSOA.00001-001
	Approval Date	21/07/2010

European Technical Standard Order Authorisation

PR.ETSOA.00001-001

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European Technical Standard Order Authorisation	Doc #	PR.ETSOA.00001-001
	Approval Date	21/07/2010

DOCUMENT CONTROL SHEET

Process Area	Product airworthiness/ environment certification
Main Process	ETSO-authorisation
Main Process Owner	Markus GORNEMANN

Reference documents**a) Contextual documents**

Chicago Convention Annex 10 - Aeronautical Telecommunications (International Standards and Recommended Practices)

Commission Regulation (EC) 1356/2008 - Regulation of 23 December 2008 amending Regulation (EC) No 593/2007 on the fees and charges levied by the European Aviation Safety Agency

Commission Regulation (EC) 1702/2003 - Regulation of 24 September 2003 laying down implementing rules for the airworthiness and environmental certification of aircraft and related products, parts and appliances, as well as for the certification of design and production organisations

Commission Regulation (EC) 2042/2003 - Regulation of 20 November 2003 laying down implementing rules for the continuing airworthiness of aircraft and aeronautical products, parts and appliances, and on the approval of organisations and personnel involved in these tasks (OJ L315, 28.11.2003)

Commission Regulation (EC) 593/2007 - Regulation of 31 May 2007 on the fees and charges levied by the European Aviation Safety Agency Regulation (OJ L140, 01.06.2007)

ED Decision 2003/02 - On the implementation of airworthiness directives for products, parts and appliances designed in third countries and repealing ED Decision 1/2003

ED Decision 2003/1/RM - On AMC and GM for the airworthiness and environmental certification of aircraft and related products, parts and appliances, as well as for the certification of design and production organisations

ED Decision 2003/10/RM - On Certification Specifications, Including Airworthiness Code and Acceptable Means of Compliance, for European Technical Standard Orders (« CS-ETSO »)

ED Decision 2009/009/E - On the delegation of powers of the Executive Director to certain staff members of the Certification Directorate, and repealing ED Decision 2008/001/E

ED Decision 2009/019/R - Amending ED Decision No 2003/12/RM of 5 November 2003 on general acceptable means of compliance for airworthiness of products, parts and appliances (« AMC-20 »)

MB Decision 01-2004 - Decision of the Management Board concerning the arrangements to be applied by the Agency for public access to documents

MB Decision 04-2009 - Decision of the Management Board on guidelines for the allocation of certification tasks to National Aviation Authorities and Qualified Entities

MB Decision 12-2007 - Decision of 1 Oct 07 of the Management Board concerning the general principles related to the certification procedures to be applied by the Agency for the issuing of certificates for products parts and appliances (hereinafter referred to as PCP Decision)

Regulation (EC) 1049/2001 - Regulation of the European Parliament and of the Council of 30 May 2001 regarding public access to European Parliament, Council and Commission documents

Regulation (EC) 216/2008 - Regulation of European Parliament and of Council of 20 Feb. 2008 on common rules in the field of civil aviation and establishing a European Aviation Safety Agency and repealing Council Directive 91/670/EEC, Regulation (EC) 1592/2002 and Directive 2004/36/EC

UG.TC.00002 - Certification general user guide

b) Internal documents

EASA Form NR 34 - Application for European Technical Standard Order Authorisation

EASA Form NR 35 - Statement of Compliance for European Technical Standard Order Authorisation (ETSOA)

EASA Form NR 92 - ETSO-authorisation certificate

EASA Form NR 97A - Technical visa for ETSOA

EASA Form NR 97B - Technical visa for ETSOA validation

FO.ASALL.00022 - Assignment request - Fees and Charges Project

IC - CS-ETSO Deviation Consultation CRD

IC - CS-ETSO Deviation Request Consultation Paper (DRCP)

IC - Request for publication of CS-ETSO deviation

WI.ASALL.00050 - Terms of reference for task allocation and staff secondment

WI.DRM.00040 - Records management within P&A section

WI.TC.00036 - Decisions and signatures for product safety oversight



European Technical Standard Order Authorisation	Doc #	PR.ETSOA.00001-001
	Approval Date	21/07/2010

Abbreviations/Definitions

- ADOA
- Alternative Procedure to Design Organisation Approval
- AMC
- Acceptable Means of Compliance
- APU
- Auxiliary Power Unit
- CM P&A
- Certification Manager Parts and Appliances (EASA staff)
- CMP
- Certification Manager Propulsion
- DDP
- Declaration of Design and Performance
- DOA
- Design Organisation Approval
- DOAM
- Design Organisation Approval Manager
- DRCP
- Deviation Request Consultation Paper
- EASA
- European Aviation Safety Agency
- EC
- European Commission
- ED
- EASA Executive Director
- ETSO
- European Technical Standard Order
- ETSOA
- European Technical Standard Order Authorisation
- ETSOAP
- European Technical Standard Order Authorisation Procedure
- ETSOM
- ETSO-Managers NAA
- F.1.1
- Applications Management Section within Applications & Procurement Services Department
- F.1.3
- Certificates & Approvals Section within Applications & Procurement Services Department
- GM
- Guidance Material
- Internal party
- EASA staff
- JTSO
- Joint Technical Standard Order
- LoA
- Letter of Agreement (Production according to Part 21 Subpart F)
- MB



European Technical Standard Order Authorisation	Doc #	PR.ETSOA.00001-001
	Approval Date	21/07/2010

Management Board
NAA
National Aviation Authority
P&A
Parts and Appliances
PE
Panel of Experts
PCM P&A
Project Certification Manager P&A
POA
Production Organisation Approval
POAM
Production Organisation Approval Manager
TCP
Type Certification Procedure
TSO
Technical Standard Order

Log of issues		
Issue	Issue date	Change description
001	21/07/2010	First issue, migration of C.P007-01



European Technical Standard Order Authorisation	Doc #	PR.ETSOA.00001-001
	Approval Date	21/07/2010

INTRODUCTION

Purpose and scope

This document describes how EASA will internally handle European Technical Standard Order Authorisation (ETSOA) approvals and related tasks.

This procedure shall be followed in order to achieve standardised processes within the Agency.

This procedure applies to ETSO-Authorisations, changes thereto and approvals of deviation from any performance standard of an ETSO in accordance with Subpart O of Annex Part 21 to Commission Regulation (EC) No. 1702/2003.

This procedure also includes the performance of ETSO-Authorisations of non-EU products and describes how EASA will handle the suspension or revocation of certificates according to Annex Part 21 of Commission Regulation (EC) No. 1702/2003.

Legal framework

1. Issuance of ETSO-authorisations

According to Articles 53(1), 18(d) and 20(1) (g) of Regulation (EC) No. 216/2008 of the European Parliament and of the Council of 20 February 2008 on common rules in the field of civil aviation and establishing a European Aviation Safety Agency repealing Regulation (EC) 1592/2002 (hereinafter referred to as "the Basic Regulation"), the EASA Management Board shall establish transparent procedures for taking individual decisions for airworthiness and environmental certification.

Under these provisions, the Management Board adopted Decision No. 12/2007 of 01 October 2007 of the Management Board amending Decision No 07/2004 of the Management Board concerning the general principles related to the certification procedures to be applied by the Agency for the issuance of certificates for products, parts and appliances (hereinafter referred to as "MB Decision 12/2007").

According to its Article 1(1), the objective of MB Decision 12/2007 is "to establish the general principles to be followed by the Agency to perform environmental and airworthiness certification of aeronautical products, parts and appliances, including post certification activities, in accordance with the applicable implementing rules of the Basic Regulation".

Article 15 of MB Decision 12/2007 mandates the Executive Director to "establish the necessary associated detailed procedures for the implementation of this Decision [...]".

This procedure has been adopted under this mandate.

ETSO-Authorisations, changes thereto and approvals of deviation from any performance standard of an ETSO shall be issued in accordance with the provisions of:

- * Regulation (EC) No. 216/2008, in particular its Annex I;
- * Commission Regulation (EC) No. 1702/2003 of 24 September 2003 laying down implementing rules for the airworthiness and environmental certification of aircraft and related products, parts and appliances, in particular Subpart O of its Annex Part 21A, and the related Acceptable Means of Compliance ("AMC") and Guidance Material ("GM");
- * related ED Decisions on the acceptable Certification Specification and Acceptable Means of Compliance;
- * MB Decision 12/2007
- * this European Technical Standard Order Authorisation Procedure (ETSOAP)

Rights and obligations derived from applicable bilateral agreements as specified in Article 12 of the Basic Regulation shall not be affected.

2. Applicable Fees

Applicants for ETSOA will be charged in accordance with the Commission Regulation (EC) on the fees and charges levied by the European Aviation Safety Agency in force at the time of receipt of the application.

Further details on the applicable fees can be found on the EASA website as follows:
http://www.easa.europa.eu/ws_prod/g/rg_regulations_fnc.php.



European Technical Standard Order Authorisation	Doc #	PR.ETSOA.00001-001
	Approval Date	21/07/2010

Basic Principles

1. Application

Applications for an EASA ETSO-Authorisation (EASA Form NR 34) shall be sent to the Applications and Procurement Services Department and made in accordance with Article 21A.603 of Annex Part 21 to Commission Regulation (EC) No. 1702/2003 and MB Decision 12/2007.

The application form can be found on the EASA website as follows:
http://www.easa.europa.eu/ws_prod/c/c_app_forms.php.

2. Attribution of Technical Investigation Tasks

After eligibility has been fully assessed and the application has been accepted by the Agency in accordance with Article 4 of MB Decision 12/2007, the CM P&A will decide, whether the technical investigation will be further processed internally or if the technical investigation should be allocated to a National Aviation Authority (NAA).

Furthermore, it is the responsibility of the CM P&A to select the party that should carry out the certification tasks incumbent upon the Agency and to check its availability.

In principle, the Agency shall perform itself all tasks incumbent upon it, to the extent allowed by its staffing level, the ability of its staff to perform the task and the number of tasks to be dealt with.

Where the application is further processed internally, the technical investigation is performed by the EASA Products Certification Department – Parts and Appliances Section using EASA staff and when necessary NAA seconded staff. Individual NAA staff, selected by the Parts and Appliances Section, may be invited to participate in a specific technical task under the direct technical management of the Agency, where there is a framework service contract concerning the provision of services in place between the Agency and the NAA seconding staff.

The selected PCM/team members (EASA staff or NAA seconded staff) will be informed by the Applications Management Section in writing and the total/individual workload estimate. A tolerance of 30% of overbooking of the total estimated number of working hours is provided for EASA staff. For NAA seconded staff, no tolerance is provided regarding the maximum number of working hours specified in the purchase order (Request for Secondment Letter). Where more work is required by the NAA seconded staff member (TM) to complete the task than specified, the TM must request an amendment of the purchase order before proceeding with the task.

Where the technical investigation is allocated to a NAA, the allocation of tasks will be performed in accordance with MB Decision No. 04/2009 of 10 February 2009 of the Management Board on guidelines for the allocation of certification tasks to national aviation authorities or qualified entities (hereinafter referred to as "MB Decision 04/2009");

Pursuant to Article 3(2) and 5(3) of MB Decision 04/2009, the Agency may only allocate the technical investigation task to the NAAs of EASA Member States that have been accredited for this task and when there is a appropriate legal arrangement in place between that NAA and the Agency.

The selected NAA will be informed in writing of its selection and the workload estimate.

No tolerance is provided regarding the maximum number of working hours specified in the purchase order (Task Allocation Letter). Where more work is required by the NAA to complete the task than specified, the NAA must request an amendment of the purchase order before proceeding with the task. When executing allocated certification tasks, the NAA is accountable to the CM P&A who will make the final decisions in relation to the issuing, modification, suspension or revocation of certificates, including the issuing of airworthiness directives or the granting of deviations.

All certification tasks, irrespective whether they are performed internally or allocated to an NAA shall be executed following the provisions of this European Technical Standard Order Authorisation Procedure.

For further details, please refer to Work Instruction WI.ASALL.00050 - Terms of Reference for Task Allocation and Staff Secondment and UG.TC.00002 - Certification General User Guide (former Certification Handbook).

3. Certification Team



European Technical Standard Order Authorisation	Doc #	PR.ETSOA.00001-001
	Approval Date	21/07/2010

The CM P&A, or the CMP in case of an APU, will nominate a Project Manager (PCM P&A) for the investigation to be performed. The PCM P&A may request the assistance of other certification specialists, if the investigation requires the involvement of experts for the assessment of specific elements of the application.

4. Certification Procedure for ETSOA

For further details, refer to Process Chart and Activity Description of this procedure.

5. Issuance of ETSO-Authorisation

Upon completion of the technical investigation and acceptance of proposed deviations, if any, in accordance with Article 21A.610 of Annex Part 21 to Commission Regulation (EC) No. 1702/2003, the PCM P&A will submit the technical visa and data package to the CM P&A. The CM P&A is responsible to generate and sign the ETSO-Authorisation Certificate.

Note: the issuance of certificates for APUs is fully handled by the Certification Manager Propulsion.

6. Design and Production Organisation Approval

The PCM P&A shall ensure appropriate communication with the responsible DOA team leader in order to exchange any findings by the Certification team which may affect the continuous validity of the design organisation approval of the applicant.

If necessary, the PCM will contact the competent authority (NAA focal point responsible) for the POA in order to ensure appropriate communication.

7. Continuing Airworthiness

The PCM P&A shall organise continuing airworthiness actions in accordance with Article 12 of MB Decision 12/2007.

For further details, refer to EASA Procedures PR.CAP.0001 – Continuing Airworthiness of Type Design (CAP), PR.CAP.0007 - Alternative Means of Compliance to AD and PR.CAP.00008 - Safety Information Bulletin.

For foreign equipment approvals, continuing airworthiness actions will be performed in accordance with the procedures of the relevant bilateral (recognition) agreement with the State of Design, if any.

8. Reporting System

Article 21A.3 of Annex Part 21 to Commission Regulation (EC) No. 1702/2003 details the ETSO-Authorisation holders responsibilities regarding reporting to EASA.

For further details, reference is made to EASA Procedure PR.CAP.00001 - Continuing Airworthiness of Type Design (CAP).

Such reports need to be made in a form and a manner as defined in the approved company procedure contained in the Organisation Exposition of the POA holder, ADOA holder or DOA holder.

9. Panel of Experts

A Panel of Experts (PE) which comprises specialists with extensive technical knowledge and experience necessary for ETSO-Authorisations has been established by EASA in accordance with Article 16 of MB Decision 12/2007. For detailed information on the PE please consult the EASA User Guide UG.TC.00002 - Certification General User Guide (former Certification Handbook).

The Panels of Experts are available for advice on technical certification principles and technical interpretation of the implementing rules of the Basic Regulation, technical standardisation and technical training ensuring appropriate technical certification knowledge within EASA. They may also act as team members, however respecting then that their roles do not conflict.

The experts shall notify any possible conflict of interest. In such cases they shall abstain from participating in the deliberations of the PE.

10. Resolution of Disagreements

According to Article 18(1) of MB Decision 12/2007, every effort shall be made to resolve all kind of disagreements concerning issues between the applicant and the EASA at the lowest possible level.



European Technical Standard Order Authorisation	Doc #	PR.ETSOA.00001-001
	Approval Date	21/07/2010

The EASA Team will be the primary decision maker in the process under the supervision of the PCM P&A. The EASA Team shall have the ability and power to take the first decisions to the largest possible extent.

If the Applicant does not agree with the EASA Team decision, the CM P&A as a first step, and the responsible Head of Department of the Certification Directorate afterwards, will try to reach a mutually acceptable resolution.

If an agreement still cannot be reached, the matter will be brought to the Certification Director who will take a decision thereto.

Following Article 18(2)(3)(4) of MB Decision 12/2007, if further escalation is necessary the final decision will be made by the EASA Executive Director, following consultation with the PE. In this case the Applicant shall have the right to be heard by the PE. The opinion of the PE will be communicated to the Applicant together with the final decision.

11. Involvement of the Legal Department

For further details, refer to EASA Work Instruction WI.TC.00006 - Requests for Legal Advice for Product Safety Oversight.

12. Limitation, Suspension and Revocation

When an ETSO-Authorisation shall be limited, suspended or revoked in accordance with Article 20(1)(i) of the Basic Regulation and Article 13 of MB Decision 12/2007, the Agency shall notify by letter the holder of the ETSO-Authorisation and all States which approved the article concerned of its decision and the reasons therefore (ref. IC 17 Notification of limitation, suspension or revocation). This letter will make reference to the possibility for appeal as specified in Articles 44 to 50 of the Basic Regulation.

For further details, refer to EASA Procedure PR.SLC.00001 – Limitation, suspension and revocation of product certificates.

13. Transfer and Surrender

An ETSO authorisation issued under Annex Part 21, Section A, Subpart O to Commission Regulation (EC) No. 1702/2003 is not transferable, except for a change in ownership of the holder in accordance with Article 21A.621 of Annex Part 21 to Commission Regulation (EC) No. 1702/2003.

Upon surrender of an ETSOA approval, the certificate shall be returned to the agency in accordance with the applicable provisions of Article 21A.619 (b) of Annex Part 21 to Commission Regulation (EC) No. 1702/2003. For further details, refer to EASA Procedure PR.TOC.00001 - Transfer and surrender of product certificates.

14. Approval of e.g. foreign TSOs

For the approval of equipment originating from applicants whose principal place of business is located outside the territory of the Member States, other procedures than those described above may apply depending on the content of bilateral (recognition) agreements or working arrangements with the State of Design.

14.1. Approval of e.g. foreign TSOs under a formal agreement with the State of Design

In the case of a formal bilateral (recognition) agreement between the Community and a third country in accordance with Article 12 of the Basic Regulation, this agreement including the associated implementing procedures may supplement, change or supersede any applicable European legislation and related procedures.

In this case the EASA certification may be called validation and it is assumed that the imported equipment shall meet, with the same level of confidence, a level of safety equivalent to that required for comparable equipment designed and manufactured within EASA Member States.

14.2. Approval of e.g. foreign TSOs under a working arrangement with the State of Design

In the case of a working arrangement between EASA and the competent authority of a third country in accordance with Article 27 of the Basic Regulation, the provisions of the WA shall apply.

15. Communication and Publication



European Technical Standard Order Authorisation	Doc #	PR.ETSOA.00001-001
	Approval Date	21/07/2010

Significant decisions affecting the result of the certification procedure shall be communicated by EASA to the Applicant in writing, including a reference to the possibility for appeal according to Articles 44 to 50 of the Basic Regulation, as established in MB Decision 12/2007.

Pursuant to Article 14 of MB Decision 12/2007, EASA decisions related to the issuing, modification, limitation, suspension or revocation of ETSO-Authorisations shall be published in the EASA Official Publication.

The following lists are published on the in the EASA Official Publication:

- * List of ETSO Authorisations issued since 28 September 2003 by EASA and JTSA Authorisations issued prior to 28, September 2003 and transferred to EASA
- * List of parachutes approvals issued by, NAAs prior to EASA,
- * Summary of ETSO approved deviations,
- * Summary of ETSO rejected deviations.

16. Confidentiality of Documents

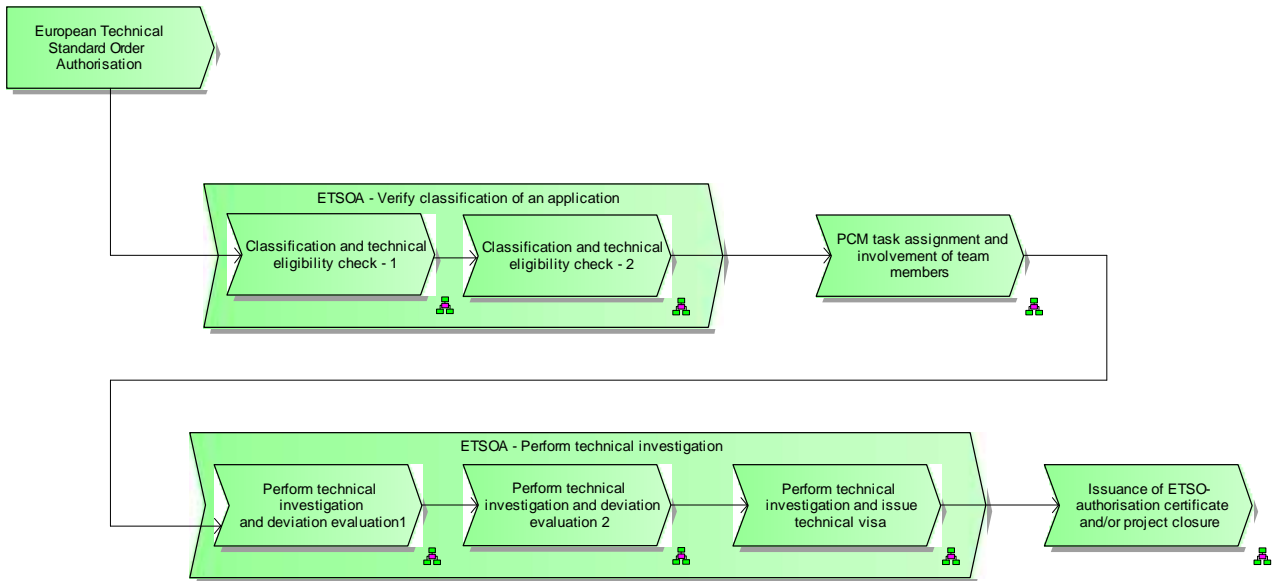
All documents and information received and held by EASA related to the certification procedure which originates from the Approval Holder/Applicant or a third party will be handled in accordance with:

- * Basic Regulation,
- * Regulation (EC) No. 1049/2001 of the European Parliament and of the Council of 30 May 2001 regarding public access to European Parliament, Council and Commission documents,
- * Decision No. 1/2004 of 3 February 2004 of the Management Board concerning the arrangements to be applied by the Agency for public access to documents, and
- * Regulation (EC) No. 45/2001 of the European Parliament and of the Council of 18 December on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies and on the free movement of such data.



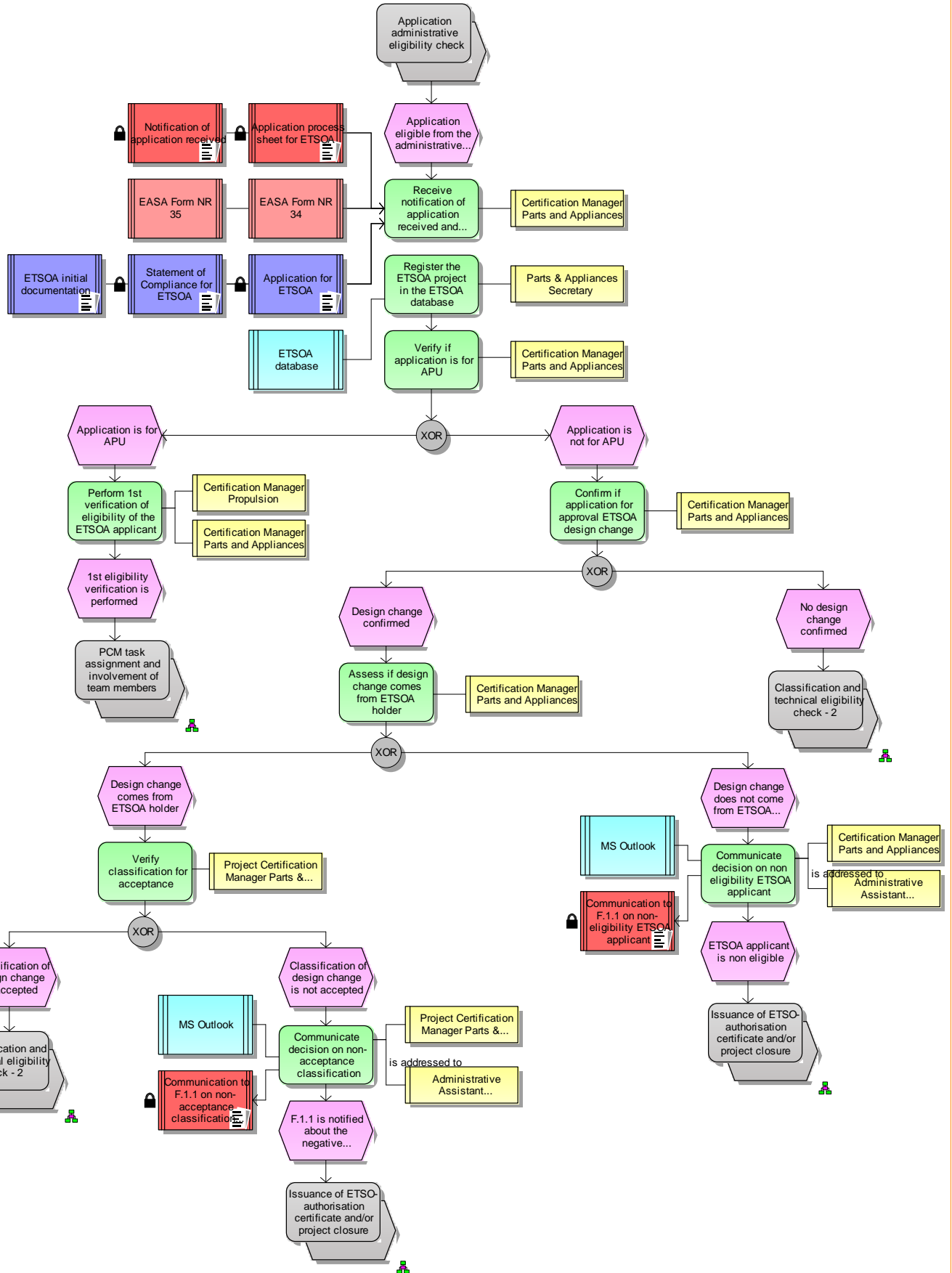
Structure of process charts

European Technical Standard Order Authorisation





Classification and technical eligibility check - 1





European Technical Standard Order Authorisation	Doc #	PR.ETSOA.00001-001
	Approval Date	21/07/2010

Activity	Description to the process activity
Receive notification of application received and process sheet	Applications for an EASA ETSO-Authorisation (EASA Form NR 34) shall be sent to the Applications and Procurement Services Department and made in accordance with Article 21A.603 of Annex Part 21 to Commission Regulation (EC) No. 1702/2003 and MB Decision 12/2007.
Perform 1st verification of eligibility of the ETSOA applicant	The CM P&A together with the Certification Manager Propulsion (CMP), in case of an application for an Auxiliary Power Unit (APU), shall make a first check on eligibility according to Commission Regulation (EC) No. 1702/2003, Annex Part 21 and will determine how it will proceed with the application communicating this, together with the applicable requirements, to the Applicant within the month following receipt of the correct application.
Register the ETSOA project in the ETSOA database	For new projects, the P&A Secretary will register the project and all relevant information in the ETSOA database under the EASA/SAP project number. Applications for approval of major change to previously issued ETSO-authorisations are considered to be applications for new authorisations under Articles 21A.603 and 21A.611(b) of Annex Part 21 to Commission Regulation (EC) No. 1702/2003 and shall be registered as such in the ETSOA database. Where a minor change to a previously approved ETSO-authorisation certificate is deemed necessary by the Agency, the minor change shall be registered into the ETSOA database as a separate record, the old record will be marked as superseded.
Verify if application is for APU	---
Confirm if application for approval ETSOA design change	---
Assess if design change comes from ETSOA holder	---
Verify classification for acceptance	The PCM P&A will review the minor changes to verify the classification. The PCM P&A will acknowledge receipt of minor changes identified by the ETSOA holder in accordance with Article 21A.611(a) of Annex Part 21 to Commission Regulation (EC) No. 1702/2003.
Communicate decision on non-acceptance classification	Communicate decision on non-acceptance classification and reasons thereto to the Applications Management Section to enable the Applications Management Section to notify the applicant that the classification is not accepted by EASA and that the application will be processed as an application for major change if applied for by ETSOA Holder or if not, the application will be considered to be a new application.
Communicate decision on non eligibility ETSOA applicant	---

Internal Process Interfaces

Application administrative eligibility check
 PCM task assignment and involvement of team members
 Classification and technical eligibility check - 2
 Issuance of ETSO-authorisation certificate and/or project closure



European Technical Standard Order Authorisation	Doc # Approval Date	PR.ETSOA.00001-001 21/07/2010
---	------------------------	----------------------------------

Activity	Description to the process activity
Assess if it is a validation or certification activity	For further details, refer to Chapter 14. Approval of e.g. Foreign TSOs of this procedure
Is there a Bilateral Agreement in place with the SoD	---
Is there an EASA approved POA/LoA and DOA/APDOA in place	---
Take decision to proceed with the certification tasks iaw BA	---
Assess if ADOA requirements are met	<p>The PCM P&A will check the applications for eligibility in accordance with Article 21A.602A of Annex Part 21 to Commission Regulation (EC) No. 1702/2003.</p> <p>The demonstration of capability for design required in Article 21A.602B(b) of Annex Part 21 to Commission Regulation (EC) No. 1702/2003 will be assessed by the Section Design Organisation. The PCM P&A will co-ordinate with the EASA Design Organisation Manager in order to have such demonstration established on time and prior to ETSO-authorisation.</p>
Notify F.1.1 that applicant should apply for ADOA or DOA	<p>When the Applicant has not demonstrated its capabilities for design, the PCM P&A will inform Applications Management Section. Applications Management Section will then send a Holding Letter to the Applicant, requesting the Applicant to submit to the Agency an application for ADOA or DOA, depending on the case.</p> <p>The process will be put on hold until such an application has been received.</p> <p>Although the ETSO-Authorisation process may be continued upon receipt of evidence that the Applicant has made an application for ADOA or DOA as appropriate, the ETSO-Authorisation may only be issued once the ADOA or DOA has been granted.</p>
Assess if POA or LoA requirements are met	<p>The PCM P&A will check the applications for eligibility in accordance with Article 21A.602A of Annex Part 21 to Commission Regulation (EC) No. 1702/2003.</p> <p>For the demonstration of capability for production, the PCM P&A will check the existence of a Part 21 production approval under Subpart F or G, or co-ordinate with the responsible competent authority in order to have such approval issued on time and prior to the issuance of the ETSOA.</p>
Check with DOA section if EASA Form NR 80 or 81 received	---
Take decision to proceed with the certification task	---
Notify F.1.1 that applicant should apply for POA or LoA	<p>When the Applicant has not demonstrated its capabilities for production, the CM P&A will notify the Applications Management Section. The Applications Management Section will then send a Holding Letter to the Applicant, requesting the Applicant to submit to the competent NAA an application for POA or LoA (production according to Part 21 Subpart F).</p> <p>The process will be put on hold until such an application has been received.</p> <p>Although the ETSO-Authorisation process may be continued upon receipt of evidence that the Applicant has made an application for POA or LoA (production according to Part 21 Subpart F), the ETSO-Authorisation may only be issued once the POA or LoA (production according to Part 21 Subpart F) has been granted.</p>
Check with POA section if EASA Form NR 50 has been received	---

Internal Process Interfaces

Classification and technical eligibility check - 1

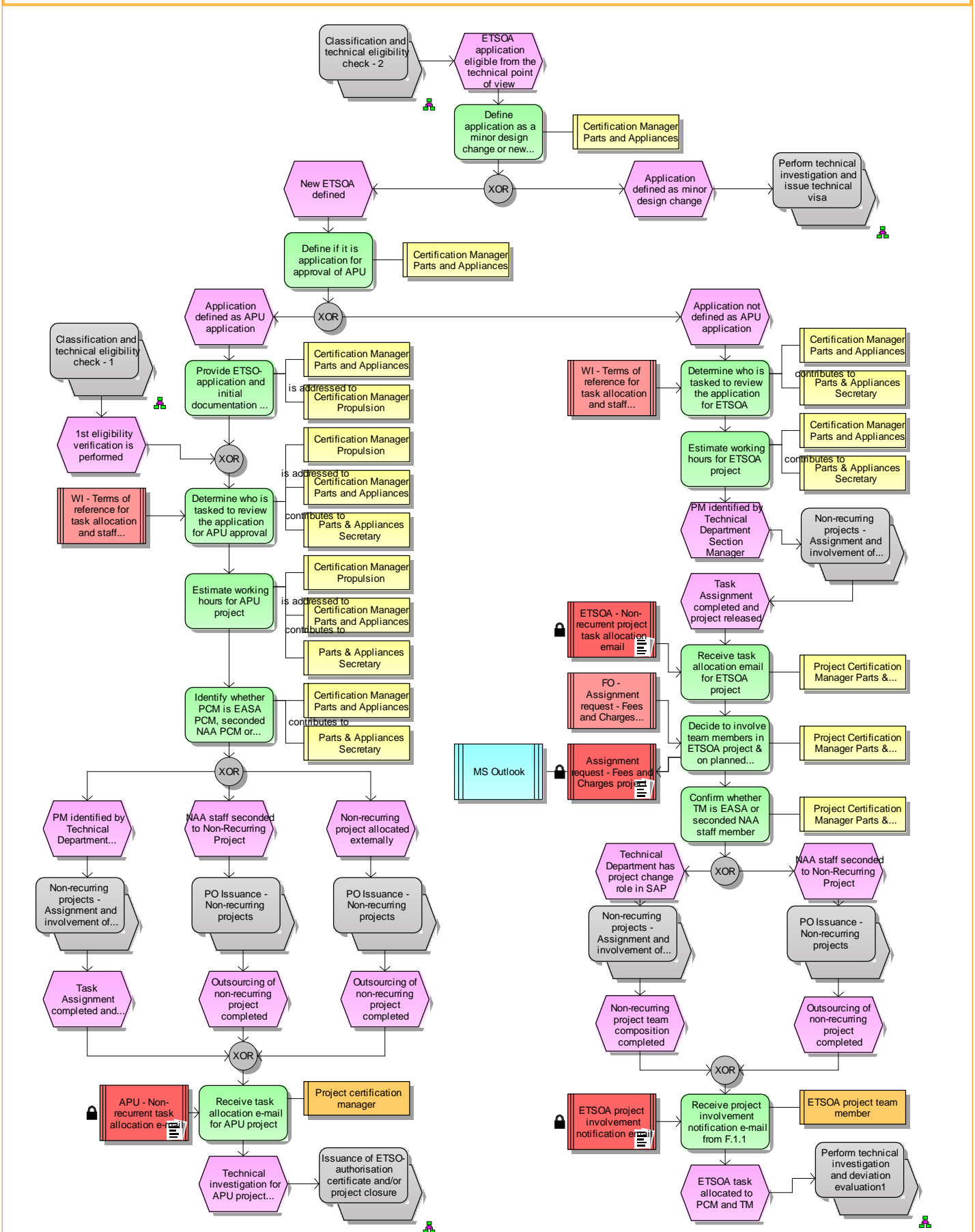


European Technical Standard Order Authorisation	Doc # Approval Date	PR.ETSOA.00001-001 21/07/2010
---	------------------------	----------------------------------

Issuance of ETSO-authorisation certificate and/or project closure
PCM task assignment and involvement of team members



PCM task assignment and involvement of team members





European Technical Standard Order Authorisation	Doc # Approval Date	PR.ETSOA.00001-001 21/07/2010
---	------------------------	----------------------------------

Activity	Description to the process activity
Define if it is application for approval of APU	---
Provide ETSO- application and initial documentation to CM Propulsion	---
Define application as a minor design change or new ETSOA	---
Determine who is tasked to review the application for APU approval	<p>1. EASA Products Certification Department – Parts and Appliances Section, 2. NAA of State of Design, if NAA has been accredited, 3. other NAA through secondment of NAA staff to the Agency.</p> <p>For further details, refer to Basic Principles - 2. Attribution of Technical Investigation Tasks of this procedure.</p> <p>The P&A Secretary will then, on behalf of the CM P&A, assign the selected PCM to the ETSOA project in SAP (except in case of secondment of NAA staff or allocation to NAA).</p>
Estimate working hours for APU project	<p>All cost related information will be registered into the ETSOA database (i.e. estimated number of working hours to perform technical investigation, kind / value of equipment).</p> <p>The P&A Secretary will then, on behalf of the CM P&A, assign the planned working hours to the ETSOA project in SAP (except in case of secondment of NAA staff or allocation to NAA).</p>
Identify whether PCM is EASA PCM, seconded NAA PCM or accredited NAA	<p>In the event of allocation of the ETSOA project to an accredited NAA or the assignment of the ETSOA project to a seconded NAA PCM, the CM P&A shall request A&P to proceed with the related transactions (creation of PO) in SAP.</p> <p>In the event of assignment of the ETSOA project to an EASA PCM (in-house), the CM P&A provides the name of the selected EASA PCM and working hours estimate to the P&A Secretary. The P&A Secretary will then, on behalf of the CM P&A, assign the EASA PCM and related working hours to the ETSOA project in SAP.</p>
Determine who is tasked to review the application for ETSOA	<p>1. EASA Products Certification Department – Parts and Appliances Section, 2. other NAA through secondment of NAA staff to the Agency.</p> <p>For further details, refer to Basic Principles - 2. Attribution of Technical Investigation Tasks of this procedure.</p> <p>The P&A Secretary will then, on behalf of the CM P&A, assign the selected PCM to the ETSOA project in SAP (except in case of secondment of NAA staff).</p>
Estimate working hours for ETSOA project	<p>All cost related information for ETSOA project will be registered into SAP (i.e. estimated number of working hours to perform technical investigation, kind / value of equipment).</p> <p>The P&A Secretary will then, on behalf of the CM P&A, assign the planned working hours to the ETSOA project in SAP (except in case of secondment of NAA staff).</p> <p>The Applications and Procurements Services Department will initiate the fees and charges invoicing through SAP.</p>
Receive task allocation email for ETSOA project	---
Decide to involve team members in ETSOA project & on planned working hours / team member	---
Confirm whether TM is EASA or	In the event of involvement of external team members, the PCM shall complete



European Technical Standard Order Authorisation	Doc #	PR.ETSOA.00001-001
	Approval Date	21/07/2010

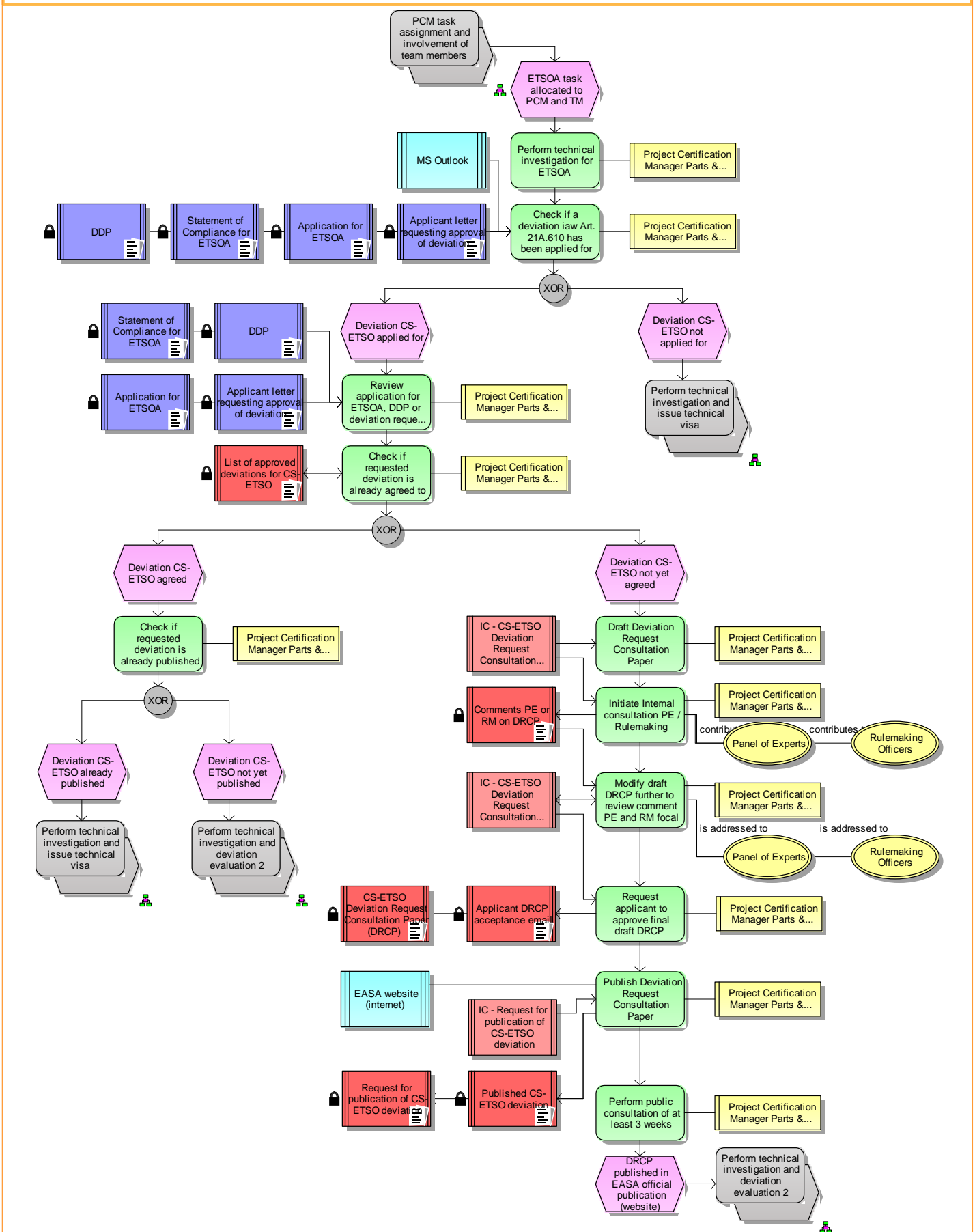
seconded NAA staff member	the Assignment Request Form - Fees and Charges Projects and sent the form to the Applications Management Section for further processing in SAP. In the event no external team members are involved in the project, the aforementioned form shall be sent to the P&A Secretary. The P&A Secretary will then, on behalf of the CM P&A, assign the TM to the ETSOA project in SAP (except in case of secondment of NAA staff).
Receive task allocation e-mail for APU project	---
Receive project involvement notification e-mail from F.1.1	---

Internal Process Interfaces

- Classification and technical eligibility check - 2
- Classification and technical eligibility check - 1
- Perform technical investigation and issue technical visa
- Non-recurring projects - Assignment and involvement of EASA staff
- PO Issuance - Non-recurring projects
- Issuance of ETSO-authorisation certificate and/or project closure
- Perform technical investigation and deviation evaluation1



Perform technical investigation and deviation evaluation 1





European Technical Standard Order Authorisation	Doc # Approval Date	PR.ETSOA.00001-001 21/07/2010
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Activity	Description to the process activity
Review application for ETSOA, DDP or deviation request letter	<p>The request for approval to deviate from any performance standard of an ETSO may be submitted to the Agency at the time of application for ETSO-Authorisation by listing the deviation(s) on the ETSOA application form (EASA Form NR 34) and by providing a description of the compensating factors or the design features providing an equivalent level of safety in the Declaration of Design and Performance (DDP) (document to be attached to the application).</p> <p>Alternatively, the request may be submitted later in the process when the need for approval of deviation becomes available through a separate letter listing the deviations and containing a description of the compensating factors or the design features providing an equivalent level of safety. In this case, applications for deviations may be submitted directly to the PCM P&A, who will review them and inform the CM P&A.</p> <p>Applications for deviations are considered to form part of the application for ETSO-Authorisation and the CM P&A will register these applications under the ETSO-Authorisation project number.</p>
Perform technical investigation for ETSOA	<p>The PCM P&A will:</p> <ul style="list-style-type: none"> * participate in a familiarisation meeting (optional), * accept Certification Basis applied for after its verification, * verify that all data required by 21A.605 have been submitted, * manage the compliance finding process including, <ul style="list-style-type: none"> * evaluate the documents provided by the Applicant for compliance with ETSO, * involve software expert / expert for software/hardware quality assurance: <ul style="list-style-type: none"> * perform audits for software / hardware qualification, * review design process report (software / complex hardware), * review test plan / compliance demonstration plan, i.e. verify whether the Applicant has a correct understanding of the testing requirements, * review test (test witnessing, test reports), * review compliance report and matrix (crosscheck compliance finding against each requirement), * request and review nameplate, * review DDP, * review manuals (installations / operations), * request missing information, * participate in technical discussions, * establish a compliance check-list, * verification whether POA or LoA (production according to Part 21 Subpart F) exists and capability list covers application. <p>In case of ETSOA applications from non EU countries under the umbrella of a bilateral agreement or working arrangement, the PCM P&A shall follow the specific procedures specified in the applicable agreement or arrangement.</p>
Check if a deviation iaw Art. 21A.610 has been applied for	<p>Deviations must be applied for according to Article 21A.610 of Annex Part 21 to Commission Regulation (EC) No. 1702/2003.</p>
Check if requested deviation is already agreed to	<p>In accordance with Article 3(2) of MB Decision 12/2007, deviations from the applicable airworthiness codes, environmental protection certification specifications and/or acceptable means of compliance with Part 21, as well as important special conditions and equivalent safety findings, shall be submitted to the Panel of Experts and be subject to a public consultation of at least 3 weeks, except if they have been previously agreed and published in the Official</p>



European Technical Standard Order Authorisation	Doc #	PR.ETSOA.00001-001
	Approval Date	21/07/2010

	<p>Publication of the Agency. The final decision shall be published in the Official Publication of the Agency.</p> <p>The document "Approved Deviations for CS-ETSO" shall be used for this purpose. This document lists the deviations that have been accepted by the Agency on Industry request following a public consultation in accordance with Article 3(2) of MB Decision 12/2007.</p>
Check if requested deviation is already published	<p>In accordance with Article 3(2) of MB Decision 12/2007, deviations from the applicable airworthiness codes, environmental protection certification specifications and/or acceptable means of compliance with Part 21, as well as important special conditions and equivalent safety findings, shall be submitted to the Panel of Experts and be subject to a public consultation of at least 3 weeks, except if they have been previously agreed and published in the Official Publication of the Agency. The final decision shall be published in the Official Publication of the Agency.</p> <p>The document "Approved Deviations for CS-ETSO" shall be used for this purpose. This document lists the deviations that have been accepted by the Agency on Industry request following a public consultation in accordance with Article 3(2) of MB Decision 12/2007.</p>
Draft Deviation Request Consultation Paper	---
Initiate Internal consultation PE / Rulemaking	In accordance with Article 3(2) of MB Decision 12/2007, deviations from the applicable airworthiness codes, environmental protection certification specifications and/or acceptable means of compliance with Part 21, as well as important special conditions and equivalent safety findings, shall be submitted to the Panel of Experts.
Modify draft DRCP further to review comment PE and RM focal	---
Request applicant to approve final draft DRCP	The PCM P&A will review the comments and modify draft deviation publication, where required, prior to proceeding with its publication for public consultation.
Publish Deviation Request Consultation Paper	In accordance with Article 3(2) of MB Decision 12/2007, deviations from the applicable airworthiness codes, environmental protection certification specifications and/or acceptable means of compliance with Part 21, as well as important special conditions and equivalent safety findings, shall be subject to a public consultation of at least 3 weeks.
Perform public consultation of at least 3 weeks	---

Internal Process Interfaces

- PCM task assignment and involvement of team members
- Perform technical investigation and issue technical visa
- Perform technical investigation and deviation evaluation 2



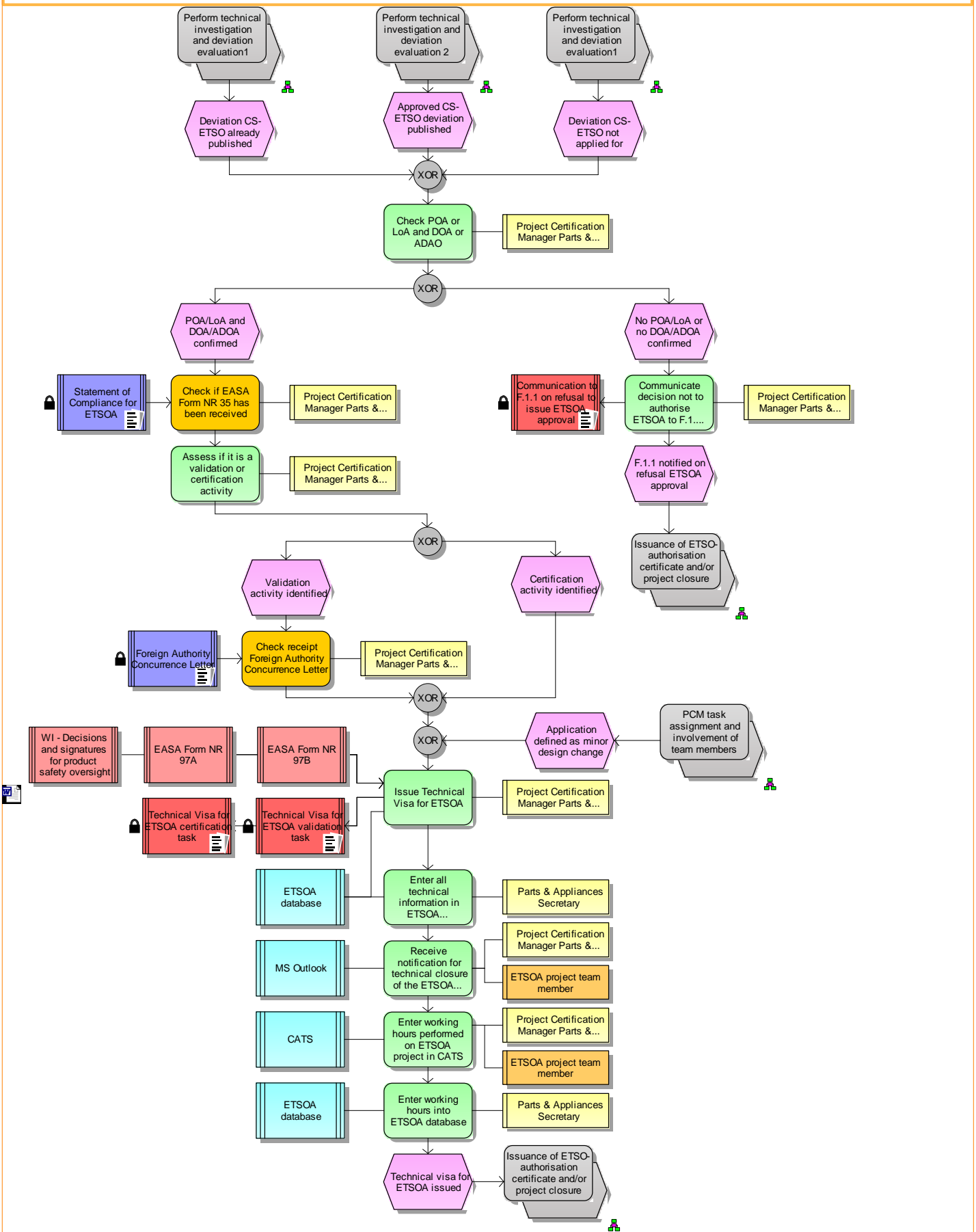
European Technical Standard Order Authorisation	Doc #	PR.ETSOA.00001-001
	Approval Date	21/07/2010

Activity	Description to the process activity
Prepare Deviation Consultation Comment Response Document	---
Assess comments on DRCP received	---
Check if deviation provides an equivalent level of safety (ELOS)	---
Approve ETSOA deviation	The deviation is approved through the issuance of the ETSO-Authorisation certificate.
Update summary of ETSO approved deviations	---
Publish approved deviation on the internet	---
Communicate decision not to authorise ETSO to F.1.1 and request to cancel project	In case of refusal of an ETSO-Authorisation, the CM P&A will request the Applications Management Section to notify this decision in writing to the Applicant together with the reasons thereto, including a reference to the possibility for appeal as specified in Articles 44 to 50 of the Basic Regulation. The negative decision template approved by the Legal Department shall be used. Any time the process user deviates from the template already approved, the Legal Department shall be consulted again. Archive proof. The Applications Management Section will proceed with the fees and charges invoicing process through SAP.
Update summary of ETSO rejected deviations	---
Publish rejected ETSO deviation on the internet	---

Internal Process Interfaces
Perform technical investigation and deviation evaluation1 Perform technical investigation and issue technical visa Issuance of ETSO-authorisation certificate and/or project closure



Perform technical investigation and issue technical visa





European Technical Standard Order Authorisation	Doc # Approval Date	PR.ETSOA.00001-001 21/07/2010
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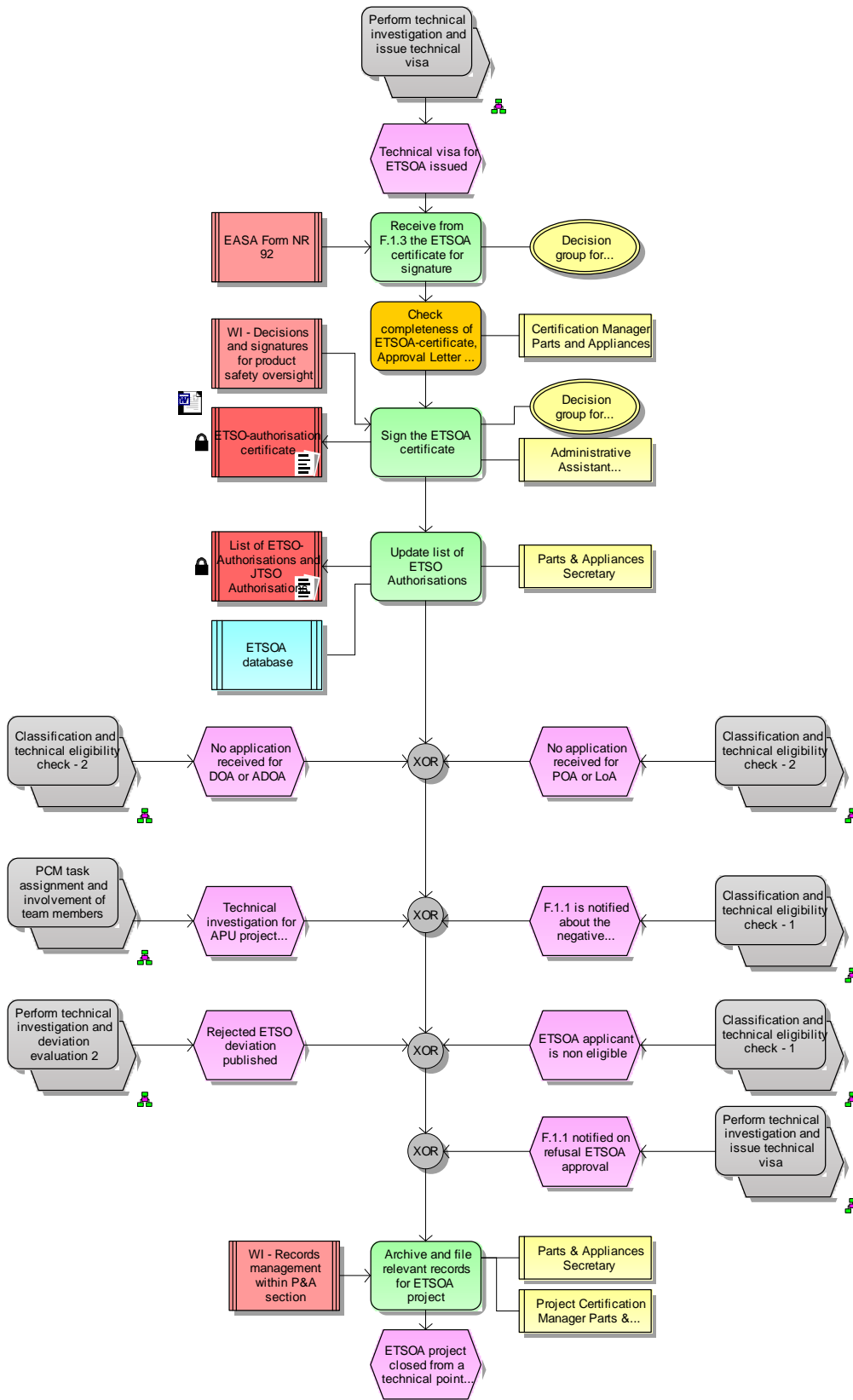
Activity	Description to the process activity
Check if EASA Form NR 35 has been received	The process cannot proceed until EASA Form NR 35 has been received. In the event the EASA Form NR 35 has not been received by the Agency, the PCM P&A shall request the EASA Form NR 35 to the applicant.
Check POA or LoA and DOA or ADAO	Check: <ul style="list-style-type: none"> * DOA or ADOA capability, * the PCM P&A will check whether the DOAM has confirmed that DOA or ADOA exists and capability list covers application, * POA capability, * the PCM P&A will check whether the POAM has confirmed that POA or LoA (production according to Part 21 Subpart F exists) and capability list covers application.
Assess if it is a validation or certification activity	For further details, refer to Chapter Basic Principles - 14. Approval of e.g. Foreign TSOs of this procedure
Check receipt Foreign Authority Concurrence Letter	The process cannot proceed until the concurrence letter has been received. In the event the concurrence letter has not been received by the Agency, the PCM P&A shall request assistance from the applicant for obtaining Foreign Authority Concurrence Letter.
Communicate decision not to authorise ETSOA to F.1.1 and request to cancel project	In case of refusal of an ETSO-Authorisation, the CM P&A will request the Applications Management Section to notify this decision in writing to the Applicant together with the reasons thereto, including a reference to the possibility for appeal as specified in Articles 44 to 50 of the Basic Regulation. The negative decision template approved by the Legal Department shall be used. Any time the process user deviates from the template already approved, the Legal Department shall be consulted again. Archive proof. The Applications Management Section will proceed with the fees and charges invoicing process through SAP.
Issue Technical Visa for ETSOA	Use EASA Form NR 97A in the event of a certification task. Use EASA Form NR 97B in the event of a validation task.
Enter all technical information in ETSOA database	If a minor change to the previously issued ETSO-Authorisation certificate is deemed necessary by the Agency, this minor change shall be issued as a revision to the original ETSO-Authorisation certificate. A revised ETSO-Authorisation certificate shall retain its original ETSO-Authorisation certificate number with the addition of the revision number, e.g. Rev. A, Rev. B, etc.
Receive notification for technical closure of the ETSOA project	---
Enter working hours performed on ETSOA project in CATS	---
Enter working hours into ETSOA database	---

Internal Process Interfaces

Perform technical investigation and deviation evaluation1
 Perform technical investigation and deviation evaluation 2
 Issuance of ETSO-authorisation certificate and/or project closure
 PCM task assignment and involvement of team members



Issuance of ETSO-authorisation certificate and/or project closure





European Technical Standard Order Authorisation	Doc # Approval Date	PR.ETSOA.00001-001 21/07/2010
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Activity	Description to the process activity
Receive from F.1.3 the ETSOA certificate for signature	---
Check completeness of ETSOA-certificate, Approval Letter & data	Check data package for completeness: <ol style="list-style-type: none"> 1. technical visa, 2. compliance Statement, 3. compliance checklist, 4. deviations, 5. for validations a compliance statement of the exporting authority.
Sign the ETSOA certificate	<p>In the event of a minor change to a previously issued ETSO-Authorisation certificate, the reissued ETSO-Authorisation certificate shall bear a new issue date but track of the date of issue of the initial approval shall be kept in the ETSOA database.</p> <p>The CM P&A will sign the ETSO Authorisation Certificate.</p> <p>The CM P&A will check that he has received the necessary delegation of powers in accordance with the latest applicable ED Decision on the delegation of powers of the Executive Director to certain staff members of the Certification Directorate.</p> <p>The Applications and Procurement Services Department will send the ETSO-Authorisation Certificate and Approval Letter to the Applicant; and copy the ETSO-Authorisation Certificate for validations to the exporting authority, when relevant.</p>
Update list of ETSO Authorisations	---
Archive and file relevant records for ETSOA project	Record keeping and archiving is ensured as defined in EASA work instruction WI.DRM.00040 Records Management within the Parts and Appliances Section.

Internal Process Interfaces

Perform technical investigation and issue technical visa
 Classification and technical eligibility check - 2
 PCM task assignment and involvement of team members
 Perform technical investigation and deviation evaluation 2
 Classification and technical eligibility check - 1



European Technical Standard Order Authorisation	Doc #	PR.ETSOA.00001-001
	Approval Date	21/07/2010

RECORDS

Appendix A : Operational Documents

Classification and technical eligibility check - 1	
Record	Activity
Communication to F.1.1 on non-acceptance classification ETSOA design change	- Communicate decision on non-acceptance classification
Communication to F.1.1 on non-eligibility ETSOA applicant	- Communicate decision on non eligibility ETSOA applicant

Classification and technical eligibility check - 2	
Record	Activity
Email notification to F.1.1 on ETSOA holding letter for design capabilities	- Notify F.1.1 that applicant should apply for ADOA or DOA
Email notification to F.1.1 on ETSOA holding letter for production capabilities	- Notify F.1.1 that applicant should apply for POA or LoA

PCM task assignment and involvement of team members	
Record	Activity
Assignment request - Fees and Charges project	- Decide to involve team members in ETSOA project & on planned working hours / team member

Perform technical investigation and deviation evaluation 1	
Record	Activity
Comments PE or RM on DRCP	- Initiate Internal consultation PE / Rulemaking
Published CS-ETSO deviation	- Publish Deviation Request Consultation Paper
CS-ETSO Deviation Request Consultation Paper (DRCP)	- Request applicant to approve final draft DRCP
Request for publication of CS-ETSO deviation	- Publish Deviation Request Consultation Paper
Applicant DRCP acceptance email	- Request applicant to approve final draft DRCP
List of approved deviations for CS-ETSO	- Check if requested deviation is already agreed to

Perform technical investigation and deviation evaluation 2	
Record	Activity
Summary of ETSO approved deviations	- Publish approved deviation on the internet
Technical Visa for ETSOA certification task	- Communicate decision not to authorise ETSO to F.1.1 and request to cancel project
Summary of ETSO rejected deviations	- Publish rejected ETSO deviation on the internet
Technical Visa for ETSOA validation task	- Communicate decision not to authorise ETSO to F.1.1 and request to cancel project
CS-ETSO Deviation Consultation CRD	- Prepare Deviation Consultation Comment Response Document - Check if deviation provides an equivalent level of safety (ELOS)

Perform technical investigation and issue technical visa	
Record	Activity
Technical Visa for ETSOA certification task	- Issue Technical Visa for ETSOA
Communication to F.1.1 on refusal to issue ETSOA approval	- Communicate decision not to authorise ETSOA to F.1.1 and request to cancel project
Technical Visa for ETSOA validation task	- Issue Technical Visa for ETSOA

Issuance of ETSO-authorisation certificate and/or project closure



European Technical Standard Order Authorisation	Doc #	PR.ETSOA.00001-001
	Approval Date	21/07/2010

Record	Activity
ETSO-authorisation certificate	- Sign the ETSOA certificate
List of ETSO-Authorisations and JTSO Authorisations	- Update list of ETSO Authorisations

Appendix B : External Documents

Classification and technical eligibility check - 1	
Record	Activity
Statement of Compliance for ETSOA	- Receive notification of application received and process sheet
Application for ETSOA	- Receive notification of application received and process sheet

Classification and technical eligibility check - 2	
Record	Activity
Application for ETSOA	- Assess if it is a validation or certification activity

Perform technical investigation and deviation evaluation 1	
Record	Activity
Applicant letter requesting approval of deviation	- Check if a deviation iaw Art. 21A.610 has been applied for - Review application for ETSOA, DDP or deviation request letter
Statement of Compliance for ETSOA	- Check if a deviation iaw Art. 21A.610 has been applied for - Review application for ETSOA, DDP or deviation request letter
DDP	- Check if a deviation iaw Art. 21A.610 has been applied for - Review application for ETSOA, DDP or deviation request letter
Application for ETSOA	- Check if a deviation iaw Art. 21A.610 has been applied for - Review application for ETSOA, DDP or deviation request letter

Perform technical investigation and issue technical visa	
Record	Activity
Statement of Compliance for ETSOA	- Check if EASA Form NR 35 has been received
Foreign Authority Concurrence Letter	- Check receipt Foreign Authority Concurrence Letter