



Supplemental type certification	Doc #	PR.STC.00001-002
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## Supplemental type certification

### **PR.STC.00001-002**

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**DOCUMENT CONTROL SHEET**

<b>Process Area</b>	Product airworthiness/ environment certification
<b>Main Process</b>	Supplemental type certification
<b>Main Process Owner</b>	Alain LEROY

**Reference documents****a) Contextual documents**

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 2003/11/RM - On definitions and abbreviations used in certification specifications for products, parts and appliances (« CS-Definition »)

ED Decision 2003/12/RM - On general acceptable means of compliance for airworthiness of products, parts and appliances (« AMC-20 »)

ED Decision 2003/13/RM - On Certification Specifications Including Airworthiness Code and Acceptable Means of Compliance, for sailplanes and powered sailplanes (« CS-22 »)

ED Decision 2003/14/RM - On Certification Specifications, Including Airworthiness Code and Acceptable Means of Compliance, for Normal, Utility, Aerobatic and Commuter Category Aeroplanes (« CS-23 »)

ED Decision 2003/15/RM - On Certification Specifications for Small Rotorcraft (« CS-27 »)

ED Decision 2003/16/RM - On Certification Specifications for Large Rotorcraft (« CS-29 »)

ED Decision 2003/17/RM - On Certification Specifications, Including Airworthiness Code and Acceptable Means of Compliance, for Very Light Rotorcraft (« CS-VLR »)

ED Decision 2003/18/RM - On Certification Specifications, Including Airworthiness Code and Acceptable Means of Compliance, for Very Light Aeroplanes (« CS-VLA »)

ED Decision 2003/2/RM - On Certification Specifications, Including Airworthiness Code and Acceptable Means of Compliance, for Large Aeroplanes (« CS-25 »)

ED Decision 2003/3/RM - On Certification Specifications, providing for Acceptable Means of Compliance for Aircraft Engine Emissions and Fuel Venting (« CS-34 »)

ED Decision 2003/4/RM - On Certification Specifications, providing for Acceptable Means of Compliance for Aircraft Noise (« CS-36 »)

ED Decision 2003/5/RM - On Certification Specifications, Including Airworthiness Code and Acceptable Means of Compliance, for Auxiliary Power Units (« CS-APU »)

ED Decision 2003/6/RM - On Certification Specifications, Including Airworthiness Code and Acceptable Means of Compliance, for All Weather Operations (« CS-AWO »)

ED Decision 2003/7/RM - On Certification Specifications, Including Airworthiness Code and Acceptable Means of Compliance, for Propellers (« CS-P »)

ED Decision 2003/9/RM - On Certification Specifications, Including Airworthiness Code and Acceptable Means of Compliance, for Engines (« CS-E »)

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 2009/078/E - Adopting the Code of Good Administrative Practice for the staff of the European Aviation Safety Agency in their relations with the public (repealing ED Decision No 2006/02/E)

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



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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

**b) Internal documents**

EASA Form NR 121 - Expert statement of technical satisfaction  
 EASA Form NR 91 - Supplemental type certificate  
 EASA Form NR 96 - Technical visa for post TC design approval  
 FO.TC.00032 - Type Certification Review Item  
 FO.TC.00035 - Compliance statement  
 FO.TC.00038 - Record of the certification team composition  
 TE.GEN.00100 - Letter  
 TE.GEN.00404 - Minutes of meeting  
 TE.TC.00016 - Final certification report  
 WI.ASALL.00050 - Terms of reference for task allocation and staff secondment  
 WI.APMAN.00008 - Morning meeting terms of reference  
 WI.DRM.00040 - Records management within P&A section  
 WI.DRM.00041 - Rotorcraft section record management  
 WI.DRM.00042 - General aviation records management  
 WI.DRM.00043 - Propulsion section records management  
 WI.DRM.00044 - Large aeroplanes section records management  
 WI.TC.00036 - Decisions and signatures for product safety oversight

**Abbreviations/Definitions**

## a) Definitions:

## Allocation

Means the assignment of the performance of a technical task including the technical management function.

## Attribution

Assignment of a task internally (using EASA staff or NAA seconded staff) or its allocation to an NAA.

## Certification Maintenance Requirements

Means the imposition of a maintenance task arising from the certification process, necessary to satisfy the airworthiness requirements.

## Certification Review Items

Means a document recording Deviations, Special Conditions, new Means of Compliance or any other certification issue which requires clarification and interpretation, or represents a major technical or administrative issue.

## Deviation

Means any deviation from the applicable airworthiness codes, environmental protection specifications and/ or acceptable means of compliance with Commission Regulation (EC) No. 1702/2003, Annex Part 21.

## EASA Member State

EU Member States and Norway, Liechtenstein, Iceland and Switzerland- European Third Countries defined in accordance with Article 66 of the Regulation (EC) No 216/2008 of the European Parliament and of the Council of 20 February 2008.

## Third Countries



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Non-EASA MemberState

Equivalent Safety Finding

see Commission Regulation (EC) No. 1702/2003, Annex Part 21, Section A, 21A.21(c)(2)

Imported Product

Means a product originating from a non-EU country to be imported into one or more of the countries of the European Union.

Purchase Order

SAP related terminology: Task allocation/ Request for secondment

Secondment

The assignment of an NAA employee to perform certain technical tasks for the Agency on a temporary basis under the direct technical management of the Agency.

Special Condition

Are Agency prescribed special detailed technical specifications for a product as stated in Commission Regulation (EC) No. 1702/2003, Annex Part 21, Section A, 21A.16B

Type Design

Means the Type Design definition (see Commission Regulation (EC) No. 1702/2003, Annex Part 21, Section A, 21A.31) presented by the applicant and for which compliance is demonstrated with the EASA Type Certification Basis.

Type Validation

Type Certification of Third Country products under a recognition agreement or working arrangement in accordance with Article 12 or Article 27 of Regulation (EC) No. 216/2009.

SAP Related terminology

Involvement Notification

E-mail sent out automatically by SAP to a project team member once his participation has been requested by the PCM.

Project No.

SAP Project No. or EASA Project No. for ongoing projects

Task Assignment e-mail

E-mail sent out automatically by SAP to the project certification manager once his task assignment has been requested by the CM during the morning meeting.

Purchase Order

A commercial document issued by EASA (buyer) to a National Aviation Authority (supplier) with which a Framework Service Contract has been signed to purchase their services (task allocation or secondment).

Technical Closure Notification

E-mail sent out automatically by SAP to all team members and PCM to inform them that they should book their last hours against the project

b) Abbreviations:

ADOA



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Alternative Procedure to Design Organisation Approval  
AFM  
Aircraft Flight Manual  
AMC  
Acceptable Means of Compliance  
A&P  
Applications and Procurement Services Department – Products Applications Management Section  
CATS  
Cross Application Time Sheet  
CM  
EASA Certification Manager (Section Manager Products Department)  
CMR  
Certification Maintenance Requirements  
CRI  
Certification Review Item  
CS  
Certification Specification (Airworthiness Code)  
DOA  
Design Organisation Approval  
EA  
Exporting Authority  
ED  
EASA Executive Director  
EP  
Environmental Protection Section  
ESF  
Equivalent Safety Finding  
ETSO  
European Technical Standard Order  
MoC  
Means of Compliance  
MMEL  
Master Minimum Equipment List  
MRB  
Maintenance Review Board  
NAA  
National Aviation Authority  
OEB  
Operations Evaluation Board  
PCA  
Primary Certification Authority  
PCM  
Project Certification Manager  
PE  
Panel of Experts  
POA  
Production Organisation Approval  
RTA  
Request for Technical Advice Panel of Experts  
RTC  
Restricted Type Certificate



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SC  
Special Condition  
SoD  
State of Design  
STC  
Supplemental Type Certificate  
TC  
Type Certificate  
TCP  
Type Certification Procedure  
TCDS  
Type Certificate Data Sheet  
TVP/PTVP  
Type Validation Principles/Post Type Validation Principles

**Log of issues**

Issue	Issue date	Change description
001	01/07/2010	First issue migration of C.P009-02
002	09/07/2010	Second issue accounts for the replacement of Work Instruction on Records Management at Department level with Work Instructions on Records Management at section level.



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## INTRODUCTION

### Purpose and scope

This procedure describes the process how the Certification Directorate of the European Aviation Safety Agency handles the supplemental type certification of aeronautical products and how it will issue Supplemental Type Certificates (STC).

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

This procedure describes all technical aspects related to the supplemental type certification of aeronautical products; it does not include the purely administrative aspects as processing the applications and determination of fees.

An STC attests the approval of a major change, classified in accordance with Article 21A.91 of Annex Part 21 to Commission Regulation (EC) No. 1702/2003, to an approved type design where the designer of the major change is not the Type Certificate holder.

The supplemental type certification shall be performed in accordance with the provisions of Annex I of the Basic Regulation and Annex Part 21, Subpart E of 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 and the related Acceptable Means of Compliance ("AMC") and Guidance Material ("GM").

This procedure also includes the performance of supplemental type certification of major changes designed by non-EU organisations and describes how EASA will handle the suspension, limitation or revocation of STCs according to Annex Part 21 to Commission Regulation (EC) No. 1702/2003.

### Legal framework

#### 1.1.1 Issuance of Supplemental Type Certificates

According to Articles 53(1), 18 (d) and 20(1) (f)(i) & (j) of Basic Regulation the EASA Management Board shall establish transparent procedures for taking individual decisions for airworthiness and environmental certification.

Under these provisions[1], 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 issuing of certificates for products, parts and appliances (hereinafter referred as to "MB Decision 12/2007").

According to its Article 1(1), the objective of the 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 the 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.

Supplemental Type Certificates shall be issued in accordance with the provisions of:

- a) Basic Regulation in particular its Annex 1;
- b) Section A, Subparts D and E of Annex to 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;
- c) related ED Decision on the Acceptable Means of Compliance ("AMC") and related Guidance Material ("GM")
- d) related ED Decisions on the applicable Certification Specifications and Acceptable Means of Compliance
- e) MB Decision 12/2007
- f) This Supplemental Type Certification Procedure (STCP)

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

#### 1.1.2 Applicable Fees

Applicants for Supplemental Type Certificates will be charged in accordance with the Commission Regulation on the fees and charges levied by the European Aviation Safety Agency in force at the date of receipt of the application by Applications & Procurement Services Department.

Further details on the applicable fees can be found on the EASA website as follows:



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[http://www.easa.europa.eu/ws\\_prod/g/rg\\_regulations\\_fnc.php](http://www.easa.europa.eu/ws_prod/g/rg_regulations_fnc.php)

[1] According to Article 69(1) of Regulation 216/2008 references made to the repealed Regulation shall be construed as being made to Regulation 216 and should be read in accordance with the correlation table set out in Annex VI.

## Basic Principles

### 1.1.1 Application

Applications for an EASA Supplemental Type Certificate (EASA Form 33) shall be sent to the Applications and Procurement Services Department and made in accordance with Article 21A.113 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](http://www.easa.europa.eu/ws_prod/c/c_app_forms.php)

### 1.1.2 Attribution of technical investigation tasks

Upon completion of the first eligibility assessment and on the condition that the application has been accepted by the Agency, the responsible Certification Manager (CM) 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 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, using EASA staff and/or NAA seconded staff. Individual NAA staff, selected by the EASA Products Certification Department, may be invited to participate in a specific technical task under the direct technical management of the Agency, when 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 in writing together with the reasons thereto of the total/ individual workload estimate. A tolerance of 30% overbooking of the total estimated number of working hours is provided. Secondly, for EASA staff members, a tolerance of 30% overbooking of the individual estimated number of working hours is provided. Finally, for NAA seconded staff, no tolerance is provided regarding the maximum number of the working hours specified in the purchase order (Request for Secondment Letter). Where more work is required by the NAA seconded staff team member (TM) to complete the task, 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 and qualified entities (hereinafter referred to as "MB Decision 04/2009").

Pursuant to Article 3(2) and 5(3) of MB Decision No. 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 an appropriate legal arrangement<sup>[1]</sup> in place between that NAA and the Agency. The selected NAA will be informed in writing of its selection together with the reasons thereto 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, 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 responsible CM who shall 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 exemptions or the adoption of certification bases.

All certification tasks, irrespective whether they are performed internally or allocated to an NAA shall be executed following the provisions of this EASA Supplemental Type Certification Procedure.



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

#### 1.1.2.1 EU STC Applicants

A product supplemental type certification task for which the Agency is responsible shall preferably be performed by the Agency itself. The following cases can occur:

A)

In case the Agency does not perform a product supplemental type certification task itself, this task shall be allocated to the NAA of the State of Design.

B)

Should it not be possible to allocate the certification task to the NAA of the State of Design for reasons which may include inadequate scope of accreditation, inability or unwillingness to provide services in accordance with the Agency's procedures or within the allocated timeframe, internalisation of the certification task may be reconsidered or the certification task may be allocated instead to an alternative NAA that is suitably accredited. The alternative NAA shall be selected in accordance with the following criteria:

a) The product type and/or model in question already appears in Annex II of the Framework Service Contract of the alternative NAA;

or

b) The alternative NAA has particular experience and competence for this task, i.e. if the NAA has built up the necessary expertise in a particular field, domain or category of product, and is accredited to perform tasks in such area(s)

#### 1.1.2.2 Non-EU STC Applicants

For imported products designed by foreign organisations, if the Agency cannot perform the task by itself, NAAs of EU Member States may be allocated supplemental type certification tasks in accordance with the criteria listed in section 1.2.2.1 B) "EU Applicants" in order of importance.

#### 1.1.3 Certification Team

##### 1.1.3.1 General

The EASA certification process for a Supplemental Type Certification of a major change to an approved type design is performed by a Team of experts, led by a Project Certification Manager (PCM). The PCM is accountable to the responsible EASA Certification Manager (CM).

##### 1.1.3.2 Determination of of the Certification Team

In order to establish an appropriate certification team, the applicant, if deemed necessary by the responsible CM, will organise an initial briefing for general familiarisation with the project. This briefing will take place at a convenient and cost effective location. The attendance at the initial briefing will normally include at least a representative of the EASA Certification Directorate and the PCM, if already appointed.

A presentation to the applicant about content and use of EASA STCP will be provided if the applicant is not familiar with the procedures.

Following the general familiarisation the responsible Products CM with the Experts Head of Department, the Certification Environmental Protection Section Manager and the appointed PCM will select the members of the Certification Team from EASA and/or NAA staff from NAAs with which EASA has appropriate contractual arrangements.

The certification team may consist of EASA staff and/or staff from NAAs with which EASA has appropriate contractual arrangements. In the case of using certification experts from NAAs the following selection criteria shall apply, by order of importance:

1. Qualification
2. Experience
3. Availability
4. Costs

The composition and size of certification teams can vary and is dependant on the change which needs to be certificated. Where the extent of the investigation does not justify the need for a team, one person may perform the investigation.



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Where the extent of the investigation justifies the need for a team, the nominated PCM may likely need to involve specialists covering the disciplines of:

Flight (including Performance), Human factors, Structures, Hydro-mechanical systems, Electrical systems, Avionic systems, Powerplant, Transmissions, Cabin safety, Environmental Control systems Electronic Controls & Software, Noise & Environmental protection.

The team involved in the certification of the concerned product and its continuing airworthiness should be used as much as possible, without prejudice to adjust team size to the nature and complexity of the project. For significant changes classified in accordance with Article 21A.1010 of Annex to Commission Regulation (EC) No. 1702/2003, the PCM will record the team composition using the EASA Form FO.TC.00038, Record of the Certification Team Composition.

Trainees, at no costs for the applicant, may be assigned to the Team.

In cases where the technical investigation is allocated to an external party, the certification team will be appointed by this party taking into account the principles of this EASA STCP.

#### 1.1.3.3 Management of Certification Teams

The responsible CM through monitoring, coordination and management of PCMs, will aim to ensure equal treatment of applicants across certification projects. For this, the responsible CM shall organise regular co-ordination meetings with all PCM's, where also cross fertilisation of administrative and technical standardisation across certification projects is achieved. Technical training should be provided on these occasions on a regular basis.

In cases where the technical investigation is allocated to an external party, the responsible PCMs of those parties shall be invited to the co-ordination meetings.

#### 1.1.4 Certification Procedures

##### 1.1.4.1 Principles

Once an application has been accepted and a certification team is established, the EASA supplemental type certification process can generally be divided in the following phases.

##### Phase I – Technical Familiarisation and establishment of the Supplemental Type Certification Basis

The objective of this phase is to provide technical information about the project to the Team specialists to enable the definition of and the agreement on the EASA Supplemental Type Certification Basis.

##### Phase II – Agreement of the Certification Programme

The objective of this phase is the definition of and the agreement on the proposed means of compliance with the Certification Basis and the identification of the Team involvement.

##### Phase III – Compliance determinations

The objective of this phase is the demonstration of compliance with the Certification Basis and the acceptance of the compliance demonstration.

##### Phase IV- Final Report/Technical Visa and issue of a Supplemental Type Certificate

The objective of this phase is the establishment of a project final report/technical visa recording details of the type investigation and the issue of the EASA Supplemental Type Certificate.

These phases are further detailed in the Process Chart and Process Steps and also in the Certification general user guide (former Certification Handbook), document UG.TC.00002.

##### 1.1.4.2 Classification of Changes

Changes to an approved type design classified as major in accordance with Article 21A.91 of Annex Part 21 to Commission Regulation (EC) No. 1702/2003 are divided into two categories:

'Significant': A significant change is a product-level major change and results from either an accumulation of changes or an isolated extensive change rising to product level that makes the product distinct from others. It is classified in accordance with Article 21A.101(b)(1) (i) and/or (ii) of Annex Part 21 to Commission Regulation (EC) 1702/2003.

'Non-significant': A 'non-significant' change is a product-level major change that does not come with the criteria that defines a significant change (see Article 21A.101(b) of Annex Part 21 to Commission Regulation (EC) No. 1702/2003.)

The classification of 'significant' and 'non-significant' shall be made by the Agency in one of two ways (using the criteria detailed in AMC and GM for Part 21 Section A/ Subpart D:



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(a) by agreeing to appropriate controls and procedures that enable the applicant to make a declaration that a change is 'non-significant'. An appropriate declaration by the applicant to the Agency may be acceptable for this purpose. In all cases, the Agency retains the option to be involved.

(b) by accepting the determination of significance relevant to a major change based on the applicant's submission.

In cases where the technical investigation is allocated to an external party, this party shall verify and accept the classification of changes in accordance with the principles of this EASA STCP. If in doubt and when deemed necessary by the external party, the CM shall provide assistance for the classification of changes.

#### 1.1.4.3 Changes to a Supplemental Type Certificate

In accordance with Article 21A.117(a) of Annex to Commission Regulation (EC) No. 1702/2003, the procedure for approval of minor changes to the part of a product covered by a STC shall follow Subpart D of Annex Part 21 to Commission Regulation (EC) No. 1702/2003 and the internal working procedures for TC changes.

In accordance with Article 21A.117(b) of Annex Part 21 to Commission Regulation (EC) No. 1702/2003, the approval of major changes to the part of a product covered by a STC shall be carried out within the framework of this STC procedure following Subpart E of Annex Part 21 to Commission Regulation (EC) No. 1702/2003 and approved as a separate STC.

In accordance with Article 21A.117(c) of Annex Part 21 to Commission Regulation (EC) No. 1702/2003, the approval of major changes to the part of a product covered by a STC submitted by the STC holder itself may be approved following this procedure as changes to the existing STC.

#### 1.1.5 NON-EU STC Applicants

##### 1.1.5.1 General

For supplemental type certification of changes 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 agreements or working arrangements.

When an application has been made within the framework of a bilateral agreement, the Agency may accept classification of changes by the non EU applicant if endorsed by the Primary Certification Authority (PCA). In these cases the PCA shall confirm that the application is in accordance with bilateral agreements.

##### 1.1.5.2 Supplemental Type Certification under a formal bilateral (recognition) agreement with the State of Change Design

In the case of a formal bilateral (recognition) agreement between the Community and a third country in accordance with article 12 of Regulation (EC) No 216/2008, 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 major change designed by a non EU applicant shall meet, with the same level of confidence, a level of safety equivalent to that required for a comparable major change designed and manufactured within an EASA Member States.

In cases where there are known differences in the regulations and interpretations, these differences are covered by means of Validation Items and CRIs (certification review item).

As long as the Community has not concluded own bilateral (recognition) agreements, according to Article 12 of the Basic Regulation, existing bilateral (recognition) agreements - including their implementation procedures (IPA) - between EU Member States and third countries, may be used for the validation of non EU Supplemental Type Certificates. This includes Type validation principles/post type validation principles (TVP/PTVP) as agreed with the FAA, for example.

##### 1.1.5.3 Supplemental Type Certification under a working arrangement (WA) with the Civil Airworthiness Authority of the State of Change 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.

In accordance with Article 3(2) of Regulation (EC) No 1702/ 2003, the need for a third country applicant to hold a Design Approval Organisation may be alleviated through the direct involvement of the competent authority.

Using provisions of the working arrangement the PCM may use the foreign certification system, which has been demonstrated to offer the same level of independent checking function according to Article 3(2) of 1702/2003, to find compliance with the EASA certification basis.

#### 1.1.6 Interface with other activities



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#### 1.1.6.1 General

Co-ordination will be required with a number of other activities. These activities include:

- a) Aircraft/Engine/Propeller interactions
- b) Equipment approval
- c) Environmental protection
- d) Design Organisation approval
- e) Production Organisation approval
- f) Maintenance interactions
- g) Operations interactions

#### 1.1.6.2 Aircraft/Engine/Propeller interactions

In cases where the change covers alternative engine or propeller applications for the aircraft the STC applicant is responsible for the installation of the engine/propeller in the aircraft and has to show compliance with installation requirements that apply to over and above those required for the separate type certification of the engine/propeller. The engine/propeller manufacturer is expected to support the STC applicant in this process.

The EASA aircraft certification team has to recognise that there are potential interfaces between the relevant certification specifications and has to ensure proper interface communication.

#### 1.1.6.3 Environmental protection

The applicant for an aircraft STC has to show continued compliance of the changed product with the applicable aircraft noise and fuel venting requirements. The applicant for an aircraft engine STC has to show continued compliance of the changed product with the applicable engine emissions requirements.

The responsible PCM for that product change has to coordinate with the CM EP to provide for the necessary expertise. If the change affects any of the environmental characteristics (certificated noise and/ or emissions levels), it is classified as major. The changes in the noise levels need to be recorded in the EASA TCDS for Noise.

#### 1.1.6.4 Equipment Approval

For the approval of equipment to be certified as part of the Product, the applicant for the TC/STC is responsible for the approval of the equipment and its installation. An acceptable means of providing compliance data in support of the equipment and its installation is to show that the equipment meets the appropriate ETSO standard.

When equipment is not to be certified as part of the product, obtaining European Technical Standard Order (ETSO) Authorisation is the responsibility of the equipment manufacturer.

The ETSO Authorisation is the recognition by EASA that the equipment meets predefined qualification and performance criteria.

ETSO Approval of the equipment will be treated as a separate process for which the procedures listed in EASA European Technical Standard Order Procedure (ETSOAP) PR.ETSO.00001 shall apply.

#### 1.1.6.5 Design and Production Organisation Approval

The PCM 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 organisational approvals of the applicant.

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

#### 1.1.6.6 Maintenance Interactions

As required by Article 21A.120 of Annex Part 21 to Commission Regulation (EC) No. 1702/2003 and in accordance with the provisions of the applicable Certification Specifications, Instructions for Continued Airworthiness shall be furnished by the applicant. Certification Maintenance Requirements (CMRs) and Airworthiness Limitations (ALIs) shall be reviewed by the certification team to ensure compliance with the Type Certification Basis.

#### 1.1.6.7 Operations Interactions



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If the applicant requests to establish an operation evaluation board (OEB) the responsible CM shall inform the EASA Head of Flight Standards Department who will ensure that an OEB is formed with appropriate representation covering airworthiness, operational and licensing aspects.

The responsible CM shall ensure appropriate representation on the OEB from the certification team.

The OEB process will be handled under separate procedures by the Certification Flight Standards Department.

#### 1.1.6.8 Continuing Airworthiness

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

For further details, refer to EASA Procedures PR.CAP.00001, PR.CAP.00007, PR.CAP.00008 (former Continuing Airworthiness of Type Design -CAP).

#### 1.1.6.9 Approval of Flight Conditions for a Permit to Fly

The Agency approves Flight conditions related to safety of design, under which a Permit to Fly may be issued, amongst other, for initial flights of an aircraft modified by a change that is yet to be approved.

For further details, refer to EASA Procedure "Approval of Flight Conditions for a Permit to Fly (Technical Process)" and EASA Work Instruction "Approval of Flight Conditions Outside of Working Hours".

#### 1.1.6.10 Reporting System

Article 21A.3 of Annex Part 21 to Commission Regulation (EC) No. 1702/2003 details the Supplemental Type Certificates holders' responsibilities regarding reporting to EASA.

For further details, refer to EASA Procedures PR.CAP.00001, PR.CAP.00007, PR.CAP.00008 (former 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 Design Organisation Approval holder (DOA), Alternative Procedure to Design Organisation Approval holder (ADOA) or Production Organisation Approval holder (POA).

For non-EU projects, reporting will be in accordance with the procedures of the relevant Bilateral Agreement or Working Arrangement.

#### 1.1.7 Additional Provisions

##### 1.1.7.1 Panel of Experts

A Panel of Experts (PE) which comprises experts with extensive technical knowledge and experience in all technical disciplines necessary for type certification of aviation products has been established by EASA in accordance with Article 16 of MB Decision 12/2007. For detailed information on the Panel of Experts please consult the 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 PCM or 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.

The EU legislation and EASA implementing rules concerning the public access to documents are applicable to the PE. The Agency shall provide the panel with the administrative and logistical support necessary for its operation.

##### 1.1.7.2 Resolution and 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 EASA and the Approval Holder/Applicant at the lowest possible level.

The EASA Team will be the primary decision maker in the process under the supervision of its team leader. The EASA Team shall have the ability and power to take the first decisions to the largest possible extent.

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



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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.

1.1.7.3 Involvement of the Legal Department

The CM shall consult the EASA legal service at the earliest possible stage:

- a) before the adoption of a negative decision taken during the certification process which is subject to appeal according to Articles 44 to 50 of the Basic Regulation, the provisions of the MB Decision N° 7/2004 ("Products Certification Procedure") or this internal working procedure;
- b) when an applicant or certificate holder requests that a disagreement shall be formally handled according to Art. 18.2-18.4 of the Products Certification Procedure;

The CM should consult the EASA legal service at the earliest possible stage:

- c) when there is a disagreement with the applicant on a significant decision affecting the result of the certification process outside the scope of Art. 18.2-18.4 of the Products Certification Procedure;
- d) in any other case when deemed necessary.

For further details, please refer to Work Instruction WI.TC.00006 Request for legal advice for Product Safety Oversight.

1.1.7.4 Interaction with the Applications and Procurement Services Department (A&P) within the Finance and Business (F&B) Services Directorate

The direct handling administrative and financial aspects of the projects are carried out by the Applications and Procurement Services Department, in particular by the Products Applications Management Section. These tasks are performed in support of the core process.

Of great importance is the reciprocal communication during the life of a project of events with significant impact on the financial and administrative status of the project.

For each project that needs to be set up, the CM/PCM will provide A&P with a minimum of information necessary for the administrative handling of the project addressing project set-up, recording of working time for team members, financial management and outsourcing management. For further details, please refer to WI.ASALL.00050 Terms of Reference for Task Allocation and Staff Secondment.

Once the task allocation decision process is complete and the project certification manager for the task identified, A&P will send a task assignment e-mail to the selected internal PCM or issue a purchase order (task secondment-/task allocation letter). Both will include an overall project work volume estimate.

For internalised tasks, the selected PCM will review and, if necessary amend and complete the estimated project work volume using the Assignment Request Form (FO.ASALL.00003). This form shall also be used by the PCM to inform A&P on the team composition and the involvement of the team members.

For tasks allocated to an NAA, the selected NAA will review the estimated project work volume and where necessary, request A&P to amend the work volume specified in the purchase order. Where the certification tasks require the involvement of EASA experts, the NAA must request their involvement to the CM. The CM shall then use the Assignment Request Form to inform A&P accordingly.

During the technical investigation, the PCM should ensure the correctness of all project planning data. Based on the team members' feedback, team composition, team member's involvement and planning data may be revised by the PCM at any time. The PCM should communicate these changes to A&P using the Assignment Request Form ( FO.ASALL.00003 ).

Until the definition of roles in the SAP system will allow staff of the C Directorate to independently access planning and financial data, the Head of Product Certification Department, the CM and the PCM will receive on a quarterly basis feedback from A&P to enable them to substantiate and document any core activity management decision.

Upon request, and until the system will allow the independent extraction of data the PCM will also be provided with the project's financial status report at the closure of the technical investigation.



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The expected content of the financial status report will include the project start date, dates/ amounts/ payment status of all sent invoices and any due invoices.

Additionally, the Accounting Department will notify the responsible CM and PCM whenever the due fee remains unpaid after receipt of the second reminder and invite the Head of Product Certification Department and the responsible CM and PCM to take part in related discussions in the Debt Recovery Committee (DRC). Further to these discussions the DRC will recommend follow-up actions to the Certification Director and to the Finance & Business Services Directorate.

Certification general user guide UG.TC.00002 (former Certification Handbook) describes in detail the interaction between the responsible CM, PCM and the Applications and Procurement Services during the type certification and post type certification process.

#### 1.1.7.5 Suspension, limitation and revocation of a certificate

When the STC holder fails to comply with applicable requirements, the responsible PCM or the Certification Manager will decide to either limit, suspend or revoke a STC.

For the suspension and revocation of a certificate, the Certification Manager shall follow the relevant provisions of the applicable implementing rules of the Basic Regulation and MB Decision No 12/2007 or Fees and Charges Regulation, including the related internal working procedure on suspension, limitation and revocation of a certificate ( PR.SRC.00001).

#### 1.1.7.6 Documentation

##### 1.1.7.6.1 General

Some documentation, manuals or sections of manuals require formal EASA approval. The relevant documents, if found acceptable by the responsible PCM, shall be referenced in the STC, including number and revision status, and deemed to be approved as integral part of the EASA STC.

##### 1.1.7.6.2 Documents associated with Aircraft Supplemental Type Certification

###### Aircraft Flight Manual

If the change leading to a STC affects the Aircraft Flight Manual (AFM), an AFM amendment will be reviewed and agreed by the certification team.

The Team will determine whether the limitations, operational procedures and performance contained in the AFM amendment provides for safe operations and are compatible with the EASA Type Design, and the EASA Supplemental Type Certification Basis.

###### Airworthiness Limitations Items and Certification Maintenance Requirements

The documents containing Airworthiness Limitations and Certification Maintenance Requirements arising from the certification process shall be reviewed and agreed by the EASA certification team.

##### 1.1.7.6.3 Documents associated with Engine and/or Propeller Supplemental Type Certification

The Airworthiness Limitations section, which itself requires formal approval, is usually, as a repository, contained in one of the following official documents:

- a) Engine and/or Propeller Installation Drawing and Manual
- b) Engine and/or Propeller Operating Instruction Manual
- c) Engine and/or Maintenance and Overhaul Manual

##### 1.1.7.6.4 Documents associated with Limitation, Suspension and Revocation of a Supplemental Type Certificate

When a Supplemental Type Certificate 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 or in accordance with Fees and Charges Regulation , the Agency shall notify by letter the holder of the Type Certificate and all States which approved the article concerned of its decision and the reasons for limitation, suspension or revocation. This letter shall 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.SRC.00001 Limitation, Suspension and Revocation of Certificates and Approvals.

##### 1.1.7.6.5 Documents associated with Transfer and Surrender of a Supplemental Type Certificate

The request for transfer or surrender of a product certificate shall be made by the certificate holder. There is no dedicated EASA form available for requesting the surrender of a certificate.



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For requesting the transfer of a certificate there is EASA form 38 which can be found on the Agency's Internet site. After transfer or surrender of the certificate the previous product certificate shall be returned to the Agency. For further details, refer to EASA Procedure PR.TOC.00001 Transfer and Surrender of Certificates.

#### 1.1.7.6.6 Communication and Publication

Significant decisions affecting the result of the supplemental type 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 certificates shall be published in the EASA Official Publication. The responsible CM shall make provisions in order that relevant information is published.

The following lists are published on the EASA Official Publication:

- (a) Type Certificates issued since 28 September 2003
- (b) List of all Products under EASA responsibility
- (c) Surrendered Type Certificates
- (d) Type Certificates Datasheets
- (e) Type Certificates Datasheets for Noise
- (f) Consultations (Public consultations on Deviations, Equivalent Safety Findings and Special Conditions)
- (g) Supplemental Type Certificates List
- (h) TCDS for Supplemental Type Certificates

#### 1.1.7.6.7 Confidentiality of Documents

All documents and information received and held by EASA related to the certification procedure which originates from the Certificate Holder/Applicant or a third party are subject to protection from disclosure in accordance with:

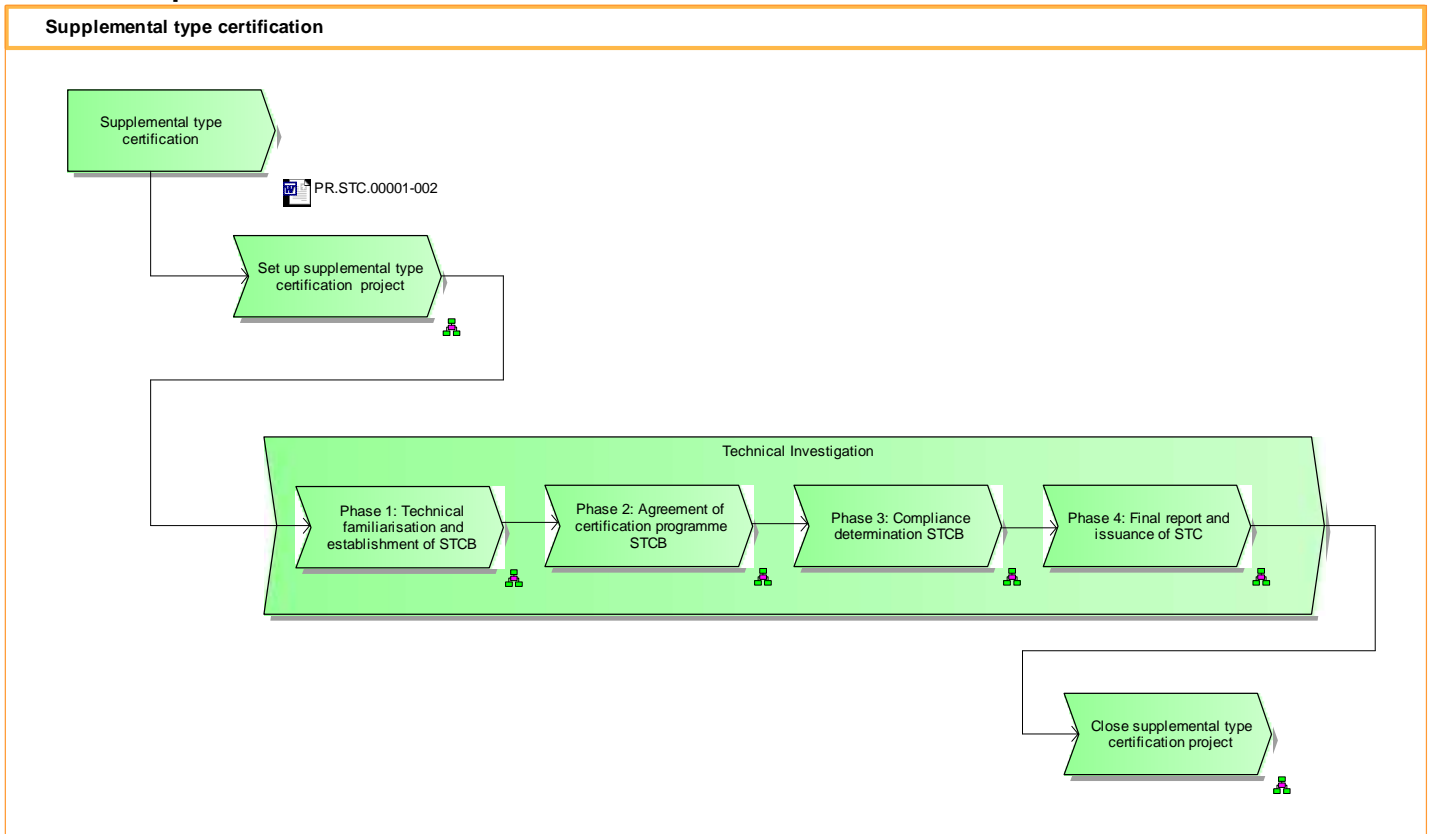
- 1. EASA Basic Regulation
- 2. Regulation (EC) No 1049/2001 of the European Parliament and of the Council of 30 May 2001 regarding public access to European Parliament, Council and Commission documents
- 3. Decision No 1/2004 of 3 February 2004 of the Management Board concerning the arrangements to be applied by the Agency for public access to documents.
- 4. Regulation (EC) No. 45/2001 of the European Parliament and of the Council of 18 December 2001 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.

In cases where applicants choose to submit data required to support applications in electronic format, a written procedure on the use of electronic technology and storage of data shall be established for the specific project.

[1] A framework service contract concerning the provision of services between the NAA and the Agency or a EASA Executive Director Letter on Allocation of Tasks to the NAA

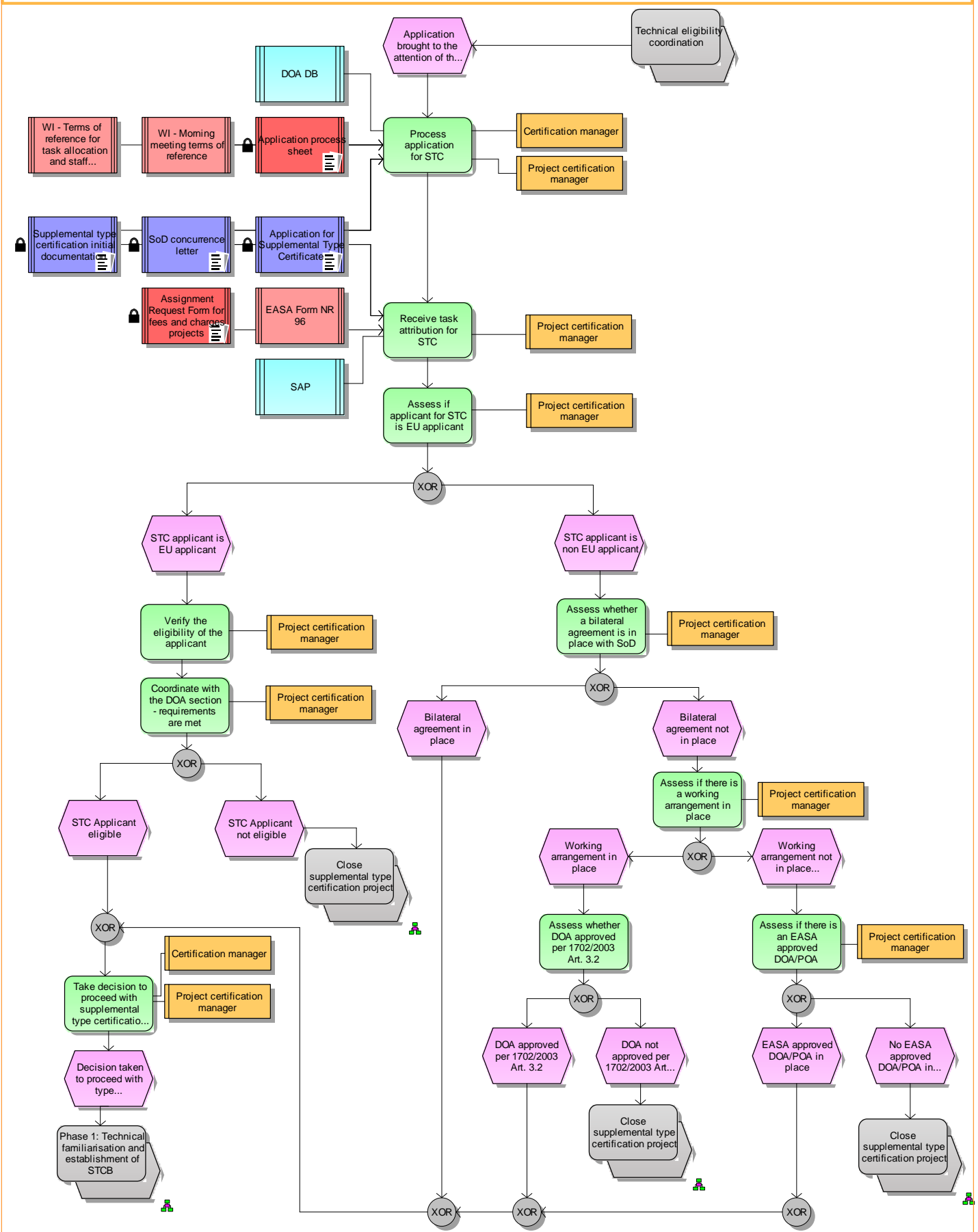


Structure of process charts





Set up supplemental type certification project





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Activity	Description to the process activity
Process application for STC	<p>Applications for a Supplemental Type Certificate (EASA Form NR 33) shall be sent to the EASA Applications and Procurement Services Department Manager of the Products Applications Management Section (A&amp;P) and made in accordance with Article 113 of Annex Part 21 and MB Decision 12/2007.</p> <p>Further details about format and address can be found on the EASA website.</p> <p>The Certification Manager (CM) or a designated Project Certification Manager (PCM) will review at the Morning Meeting with A&amp;P staff all applications received on the previous working day.</p> <p>The details are specified in Morning Meeting – Terms of Reference, Work Instruction number WI.APMAN.00008.</p> <p>The CM or a designated PCM will estimate the working hours necessary to perform the technical investigation and will select the EASA PCM (using EASA or NAAs seconded staff) or allocate the technical investigation to the NAAs in accordance with MB Decision 4-2009 of 10 February 2009 of the Management Board on guidelines for the allocation of certification tasks to national aviation authorities and qualified entities, and Work Instruction WI.ASALL.00050 Terms of Reference for Task Allocation and Staff Secondment.</p> <p>In principle, the CM or the designated PCM also performs a first applicant eligibility check.</p> <p>A DOA database that lists the approved DOAs, their full scope of the design activities that can be performed, DAO Team Leader, etc. is maintained on the Agency's Intranet site and it is available for consultation.</p>
Receive task attribution for STC	<p>After the morning meeting when the PCM has been identified and the project total work volume has been estimated and entered in SAP, an e-mail is sent to the appointed internal PCM.</p> <p>Should the selected PCM be an NAA employee, then a purchase order (request for secondment will be sent to the relevant NAA. Should the task be completely allocated to an NAA a purchase order (task allocation) shall be sent to the relevant NAA.</p> <p>The appointed PCM receives the task attribution by e-mail together with the following documents: EASA Form NR 33, EASA application process sheet, initial documentation, SoD concurrence letter, if applicable, prefilled EASA Form NR 96, and assignment request form FO.ASALL.00003 that contains the planned working hours for the project.</p>
Assess if applicant for STC is EU applicant	<p>The selected PCM will review the application and will determine if the applicant concerned is an EU applicant or not.</p> <p>If the applicant concerned is an EU applicant go to EPC Set up supplemental type certification project - Verify the eligibility of the applicant, if it is not an EU applicant go to EPC set up supplemental type certification project - Assess whether a bilateral agreement is in place with SoD</p>
Verify the eligibility of the applicant	<p>From EPC Set up Project - Assess if applicant is EU --&gt; EU applicant</p> <p>During the technical investigation, the PCM managing the project will perform the</p>



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	<p>final verification of the correct classification and assess the applicant's eligibility in accordance with Article 112 of Annex Part 21A of Commission Regulation (EC) No. 1702/2003.</p> <p>For EU products applications for supplemental type certification can only be submitted by appropriately approved organisations with Design Organisation Approval (DOA and AP DOA) (unless the DOA/ AP DOA approval process is concurrent with the certification) either under Part 21 or a non-EU system acceptable to EASA as being equivalent to Part 21.</p> <p>Each DOA is issued with Terms of Approval containing the list of products covered by the Approval. The DOA Handbook of the Organisation must also detail the full scope of the design activities that can be performed.</p> <p>In case the applicant is not eligible and unable to acquire the required privileges the certification process is stopped. Go to EPC Close supplemental type certification project - Archive relevant records and file the electronic documents.</p> <p>In case the applicant is eligible or able to acquire the required privileges the certification process is continued. Go to EPC Set up supplemental type certification project - take decision to proceed with certification task</p>
<p>Coordinate with the DOA section - requirements are met</p>	<p>When activities start on a new product, or more generally on tasks (Major Changes or STCs), outside the Terms / Scope of Approval, a DOA review is necessary. Compliance with the Part-21 Subpart J-DOA requirements by the organisation, procedures and personnel must be checked with respect to the new activities. The extent of the review will be highly dependent on the impact on the Design Organisation resulting from novelties or specific aspects of the new product, Major Change or STC or from the new Scope of Work.</p> <p>Therefore, when an application for new or amended TC or new STC is received, the PCM may contact the DOA Team Leader for the applicant to ensure that the appropriate work will be performed to extend the DOA Terms / Scope of Approval.</p> <p>Alternative procedures to DOA may be used in accordance with Part 21 Subpart J and Advisory Material. See also Internal Working Procedure for Alternative Procedures for Design Organisation Approval.</p> <p>In order to ensure consistent use of this clause, the PCM may co-ordinate with the EASA Organisation Management before any decision is made.</p> <p>Where an application for DOA / AP DOA is being processed concurrently with a design approval the DOA Team Leader and PCM need to coordinate their activities in order that the DOA approval be granted ahead of the closure of the technical investigation and with the appropriate terms of approval.</p>
<p>Assess whether a bilateral agreement is in place with SoD</p>	<p>From EPC Set up Project - Assess if applicant is EU --&gt; Non EU applicant</p> <p>If the applicant is not an EU applicant, the PCM will investigate if there is a Bilateral Agreement in place with the SoD.</p> <p>The certification tasks will be performed in accordance with the applicable Bilateral Agreements with the State of Design (SoD).</p>



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	<p>In the case of a formal recognition agreement between the Community and a Third Country in accordance with Article 12 of Regulation (EC) 216/2008, this agreement including the associated implementing procedures may supplement, change or supersede the above certification procedures.</p> <p>As long as the Community has not concluded its own recognition agreements, existing agreements of EU Member States, including their implementation procedures (IPA), shall be used for the validation of non EU Supplemental Type Certificates.</p> <p>If there is no bilateral agreement in place, go to EPC Set up supplemental type certification project- Assess if there is a working arrangement in place</p> <p>If there is a bilateral agreement in place, go to EPC Set up supplemental type certification project - Take decision to proceed with certification task.</p>
Take decision to proceed with supplemental type certification tasks	<p>From EPC Set up project - Assess whether a bilateral agreement is in place with the SoD --&gt; Bilateral agreement in place; or</p> <p>From EPC Set up project - Assess whether there is a working arrangement in place --&gt; working arrangement in place</p> <p>From EPC Set up project - Assess whether there is an EASA approved DOA/POA - -&gt; EASA approved DOA/POA in place</p> <p>If there is a Bilateral Agreement, or a WA in place, or if the applicant holds an approved DOA/ POA, the certification process continues.</p> <p>The PCM and his team will ensure the SoD Authority's concurrence (Confirmation Letter and/ or Statement of Compliance)</p> <p>The PCM in concurrence with the CM, will take the decision to perform the supplemental type certification tasks in accordance with the either the BA or WA in place with the SoD, or in accordance with EASA Type Certification Procedure if no BA or WA is in place, but the applicant holds a DOA/ POA approval. (follow with Activity Receive initial briefings for familiarisation).</p>
Assess if there is a working arrangement in place	<p>Assess whether a bilateral agreement is in place with SoD --&gt; Bilateral agreement not in place</p> <p>If no BA is in place with the SoD, the PCM will investigate further, if there is a WA in place between EASA and the Airworthiness Authority of the SoD.</p> <p>In the case that there is a WA between EASA and the competent authority of a third country in accordance with Article 27 of the Basic Regulation, the WA certification procedures shall apply.</p> <p>Based on the WA the PCM may use the foreign certification system, which has been demonstrated the same level of independent checking function, to find compliance with the EASA certification basis.</p> <p>If there is no WA in place, go to EPC Set up project - Assess if there is an EASA</p>



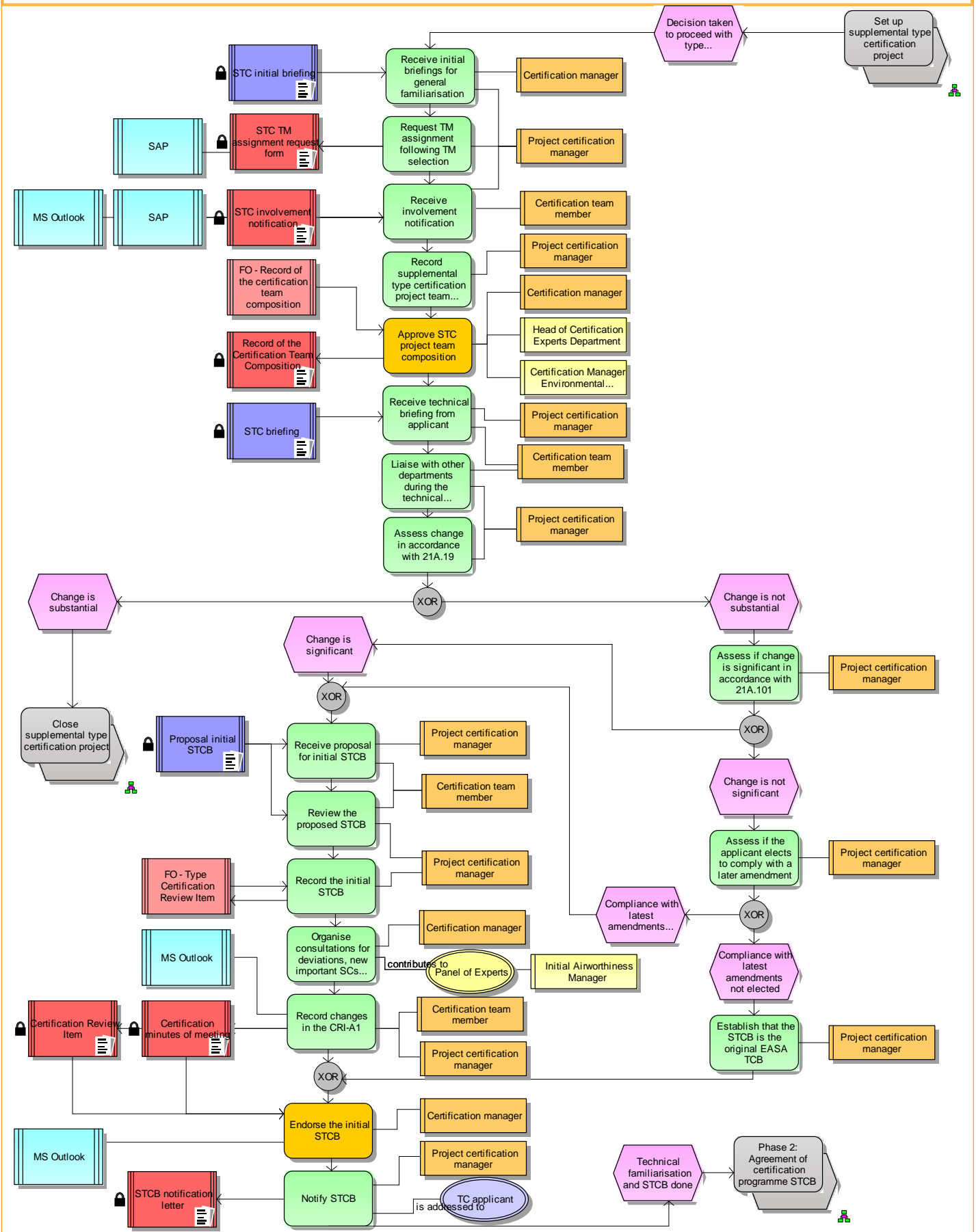
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	<p>approved DOA/POA.</p> <p>If there is a WA, go to EPC Set up prject - Take decision to proceed with certification task.</p>
Assess whether DOA approved per 1702/2003 Art. 3.2	The PCM shall make the assessment wether the NoN-EU applicant organisation has demonstrated its capability by holding a certificate issued in accordance with 1702/2003 Article 3.2
Assess if there is an EASA approved DOA/POA	<p>Assess whether there is a working arrangement in place --&gt; no working arrangement in place.</p> <p>If a project is considered to be outside the scope of the WA or BA the PCM will contact the Organisations Department in order to establish if the applicant has an EASA approved organisation. In the case of a DOA and POA, the certification tasks will be performed in accordance with this Supplemental Type Certification Procedure.</p> <p>If no DOA/POA is in place the certification process stops. The PCM will inform A&amp;P, who will notify the applicant of the rejection of the application and recommend the applicant to contact the EASA organisation department and make applications for DOA and POA.</p> <p>All documents received to date will be filed in accordance with WI.DRM.00038 Certiffication Directorate records keeping and archiving.</p> <p>If there is no EASA approved DOA/POA in place, go to EPC Close project.</p> <p>If there is an EASA approved DOA/POA in place, go to EPC Set up prject - Take decision to proceed with certification task.</p>

<b>Internal Process Interfaces</b>
<p>Technical eligibility coordination</p> <p>Close supplemental type certification project</p> <p>Phase 1: Technical familiarisation and establishment of STCB</p>



Phase 1: Technical familiarisation and establishment of STCB





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Activity	Description to the process activity
Receive initial briefings for general familiarisation	The CM/ PCM will receive initial briefings for general familiarisation from the applicant.
Request TM assignment following TM selection	<p>For significant changes, the PCM, CM and the Head of Experts Department will coordinate for the establishing of the necessary team. The certification team may consist of EASA staff and/or staff from NAAs with which EASA has appropriate contractual arrangements.</p> <p>The PCM is accountable to the responsible EASA CM.</p> <p>The PCM will fill in the Assignment Form FO.ASALL.00003 with the team members and number of allocated hours and return it to A&amp;P requesting the team members' assignment.</p> <p>The terms of use of the form (limitations, categories of projects and threshold hours) are mentioned in Work Instruction WI.APMAN.00008 Plans and Programmes Department/ Products Department Morning Meeting Terms of Reference.</p>
Receive involvement notification	<p>Each team member selected to participate in the project (and the PCM) will receive an Involvement Notification automated e-mail generated by SAP.</p> <p>For every new team member added to the project later on or in case the work volume is amended – an e-mail is sent again to the affected team members.</p>
Record supplemental type certification project team composition	<p>The PCM will record the team composition using the EASA form FO.TC.00038 following the form's Completion Instructions.</p> <p>For projects managed by an EASA PCM, the PCM is responsible for proposing, managing and issuing this form, and for filing it.</p> <p>For projects allocated to an NAA, the CM is responsible for managing and issuing this form, upon PCM team definition from the NAA, and for filing it.</p> <p>Maintenance of the team composition form is detailed in the Certification General User Guide (former Certification Handbook) document UG.TC.00002.</p>
Approve STC project team composition	The Record of the Certification Team Composition form FO.TC.00038 will be approved (when needed) by the CM and by the Head of Experts department. The need and the purpose of these signatures is detailed in the Certification General User Guide (former Certification Handbook) document UG.TC.00002.
Receive technical briefing from applicant	<p>For significant changes, the certification team needs to receive thorough technical briefings from the applicant about the product in order to fully understand the design, including new used technologies and any unique or unconventional features or intended unconventional usage of the product.</p> <p>These design features, which cannot be addressed by the usual applicable certification specification, might affect the establishment of the EASA</p>



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	<p>Supplemental Type Certification Basis with the inclusion of dedicated Special Conditions.</p> <p>For 'non-significant' changes the technical briefings from the applicant shall be aligned accordingly.</p>
Liaise with other departments during the technical investigation	<p>During the certification process the PCM and his team will interface with other departments as necessary (Aircraft/Engine/Propeller, Equipment approval, Environmental protection, Maintenance, Operations, Legal department, Applications and Procurement Services and Finance Services departments).</p> <p>Procedures and Work Instructions relevant to the process interfaces with other departments should be followed.</p>
Assess change in accordance with 21A.19	<p>In accordance with Part 21A.19, the PCM will make the determination if the change is substantial or not.</p> <p>If the change is substantial, the PCM will reject the application and inform A&amp;P, who in turn will notify the applicant of the rejection of the application and recommend the applicant to apply for a new Type Certificate, using the applicable standard letter. All documents received to date will be filed in accordance with Certification WI DRM.00038- Certification directorate records keeping and archiving.</p>
Receive proposal for initial STCB	<p>From EPC Phase 1: Technical familiarisation and establishment of STCB - Assess if the applicant elects to comply with a later amendment --&gt; Applicant elects to comply</p> <p>or</p> <p>From EPC Phase 1: Technical familiarisation and establishment of STCB - Assess if change is significant in accordance with 21A.101 --&gt; Significant change</p> <p>The applicant will propose the initial Supplemental Type Certification Basis (STCB) to the PCM.</p> <p>For non-significant changes the applicant can elect to comply with a later certification specifications amendment.</p> <p>If the change is not significant (and the applicant does not elect to comply with a later amendment) the STCB is the original EASA TCB of the applicable product.</p> <p>(Note: Depending on the design change additional Deviations, ESF or SC's may still be required in addition, so even then we cannot systematically assume that no CRI is needed - e.g. see current EWIS situation - generic SC CRI H-1 are to be systematically applied.</p> <p>Depending on the situation, a CRI A-1 may need to be established - for details refer to Certification General User Guide (former Certification Handbook), document UG.TC.00002.</p>
Review the proposed STCB	<p>If the applicant elects to comply to a later amendment of the applicable certification specifications, they will become part of the initial STCB.</p> <p>On the basis of applicant's proposal and supported by the certification team the PCM shall draft the initial Supplemental Type Certification Basis which consists of</p>



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	<p>applicable certification specifications (airworthiness code) and environmental protection requirements and any deviations if applicable (in accordance with 21A.17 and 21A.18), unless the original EASA TCB can be used with no additional elements to be considered.</p> <p>Special Conditions, where properly justified, may also form part of the Supplemental Type Certification Basis.</p> <p>New Special Conditions, if considered as important by the responsible EASA CM, will need to undergo a consultation process in accordance with procedures described in the Certification general user guide (former Certification Handbook), document UG.TC.00002.</p>
Record the initial STCB	<p>If the the EASA Supplemental Type Certification Basis is different from the original EASA Type Certification Basis of the applicable product, the PCM will record it in a Certification Review Item (CRI) document.</p> <p>Detailed CRI-procedures are defined in Certification general user guide (former Certification Handbook), document UG.TC.00002.</p>
Assess if change is significant in accordance with 21A.101	<p>From EPC Phase 1: Technical familiarisation and establishment of STCB - Assess change in accordance with Article 21A.19 --&gt; No substantial change</p> <p>The Applicant will make the declaration if the change is significant or non-significant. The PCM will accept or not this declaration.</p> <p>Note: A Certification Programme may not yet be available at that stage.</p> <p>If the change is significant, go to EPC Phase 1: Technical familiarisation and establishment of STCB - Assess if the applicant elects to comply with a later amendment.</p> <p>If the change is not significant, go to EPC Phase 1: Technical familiarisation and establishment of STCB - Receive proposal for initial STCB</p>
Organise consultations for deviations, new important SCs and ESFs	<p>Before initiating the public consultation, the CM/PCM will organise consultations for deviations, new SCs and ESFs with the panel of experts and the rulemaking department, as necessary.</p>
Record changes in the CRI-A1	<p>Any Deviation, Special Condition, Equivalent Safety Finding detailed in a separate CRI will be recorded in CRI-A1 when forming part of the Supplemental Type Certification Basis.</p>
Assess if the applicant elects to comply with a later amendment	<p>For non- significant changes, the applicant can elect or not to comply with a later certification specifications amendment.</p>
Endorse the initial STCB	<p>The initial Supplemental Type Certification Basis may need to be changed along the course of the certification process due to new applied technologies, introduction of design changes, discovery of unsafe conditions or compliance demonstration results.</p> <p>The responsible EASA CM will review the Supplemental Type Certification Basis as proposed by the PCM and will endorse at least its initial and final content.</p> <p>The endorsement of the CM shall be traceable (e.g. recorded notes of internal</p>



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	meeting; internal communication; e-mail).
Notify STCB	The PCM will notify the applicant of the agreed STCB, making reference to the possibility of appeal under article 44 of the Basic Regulation as mentioned in Management Board Decision MB 12- 2007 Amending the Products Certification Procedures MB Meeting 04-2007 (11 September 2007).
Establish that the STCB is the original EASA TCB	If the change is not significant the STCB is the original EASA TCB of the applicable product.

<b>Internal Process Interfaces</b>
Close supplemental type certification project Set up supplemental type certification project Phase 2: Agreement of certification programme STCB



Phase 2: Agreement of certification programme STCB





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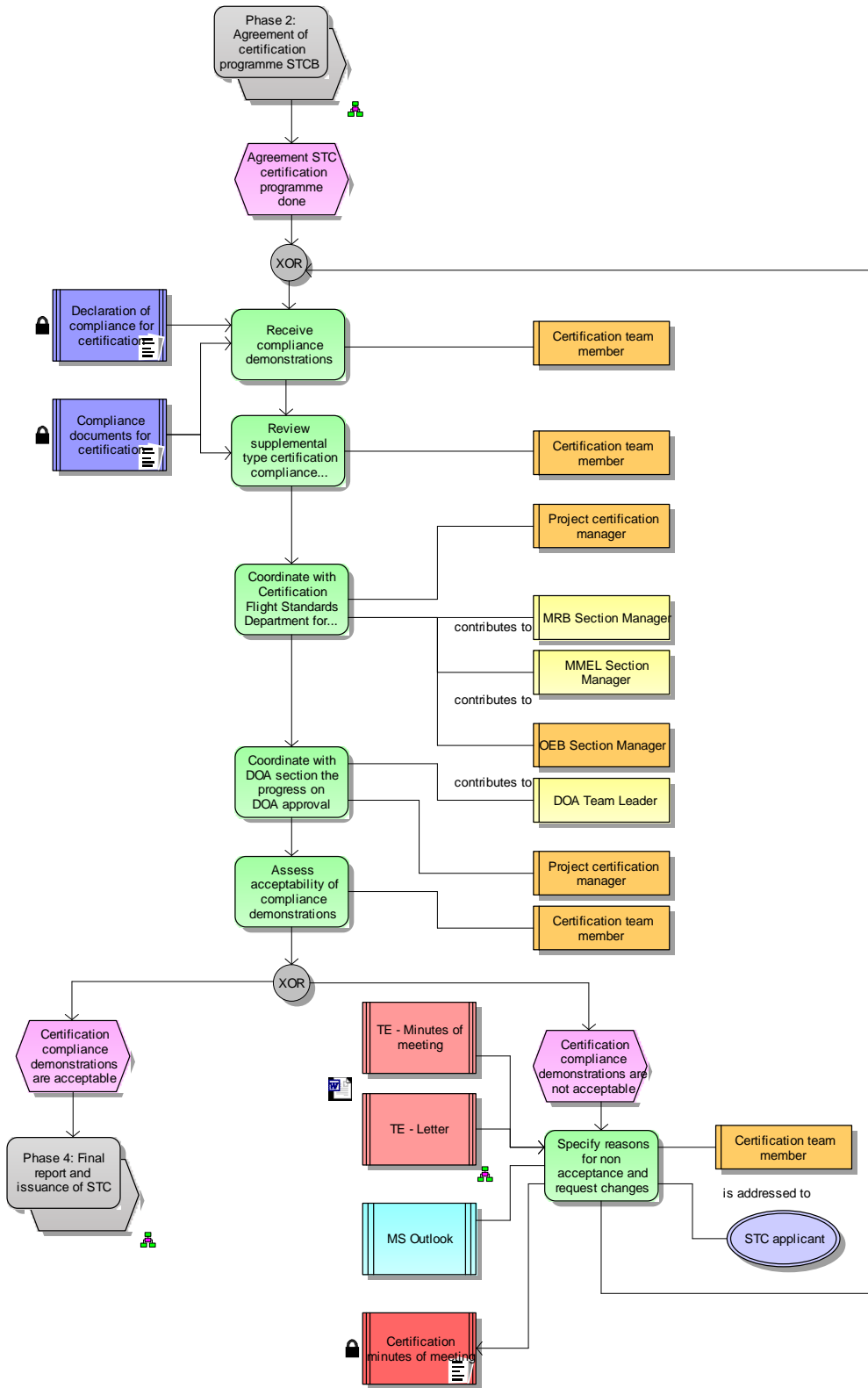
Activity	Description to the process activity
Receive draft Certification programme	<p>The applicant will submit a proposed Certification Programme which:</p> <ul style="list-style-type: none"> <li>a) Describes the proposed means of compliance with the type certification basis to the level and with the details appropriate to the complexity of the project and accounting for the applicant DOA procedures.</li> <li>b) Identifies (also by reference to other documents) all the activities intended to be carried out for compliance demonstration and the related documents</li> </ul> <p>All documents required to show compliance with the applicable requirements and their scheduled date of availability will be identified in the Certification Programme for each subject.</p>
Assess whether the draft CP is acceptable	The certification team shall review the proposed Certification Programme and advise the PCM accordingly.
Identify the team's level of involvement	<p>The PCM (and where applicable together with the CM) will identify on the Certification Programme the Team Members' Level of Involvement.</p> <p>For EP, the PCM will coordinate with the EP CM to identify on the Team Members' Level of Involvement.</p> <p>When defining the certification team involvement, full use should be made of the applicants Design Organisation Approval (DOA) privileges under Article 263 (b) of Annex Part 21A. Particularly all compliance documents to be accepted without further verification by the certification team shall be agreed with the applicant according to the scheduled level of involvement.</p>
Record the agreement on the certification programme	The PCM and his team shall discuss and agree the Certification Programme with the applicant. The PCM shall record his agreement with the Certification Programme in a traceable way (e.g. minutes of meeting; e-mail; letter)
Notify the applicant of the agreement	The PCM shall notify the applicant of his agreement on the Certification Programme including LoI in a traceable way (e.g. minutes of meeting; e-mail; letter).
Request amendment to the certification programme	If draft CP is not acceptable the PCM/ TM request amendment to the certification programme to include all documents (via letter, e-mail, meeting minutes).

**Internal Process Interfaces**

Phase 1: Technical familiarisation and establishment of STCB  
Phase 3: Compliance determination STCB



Phase 3: Compliance determination STCB





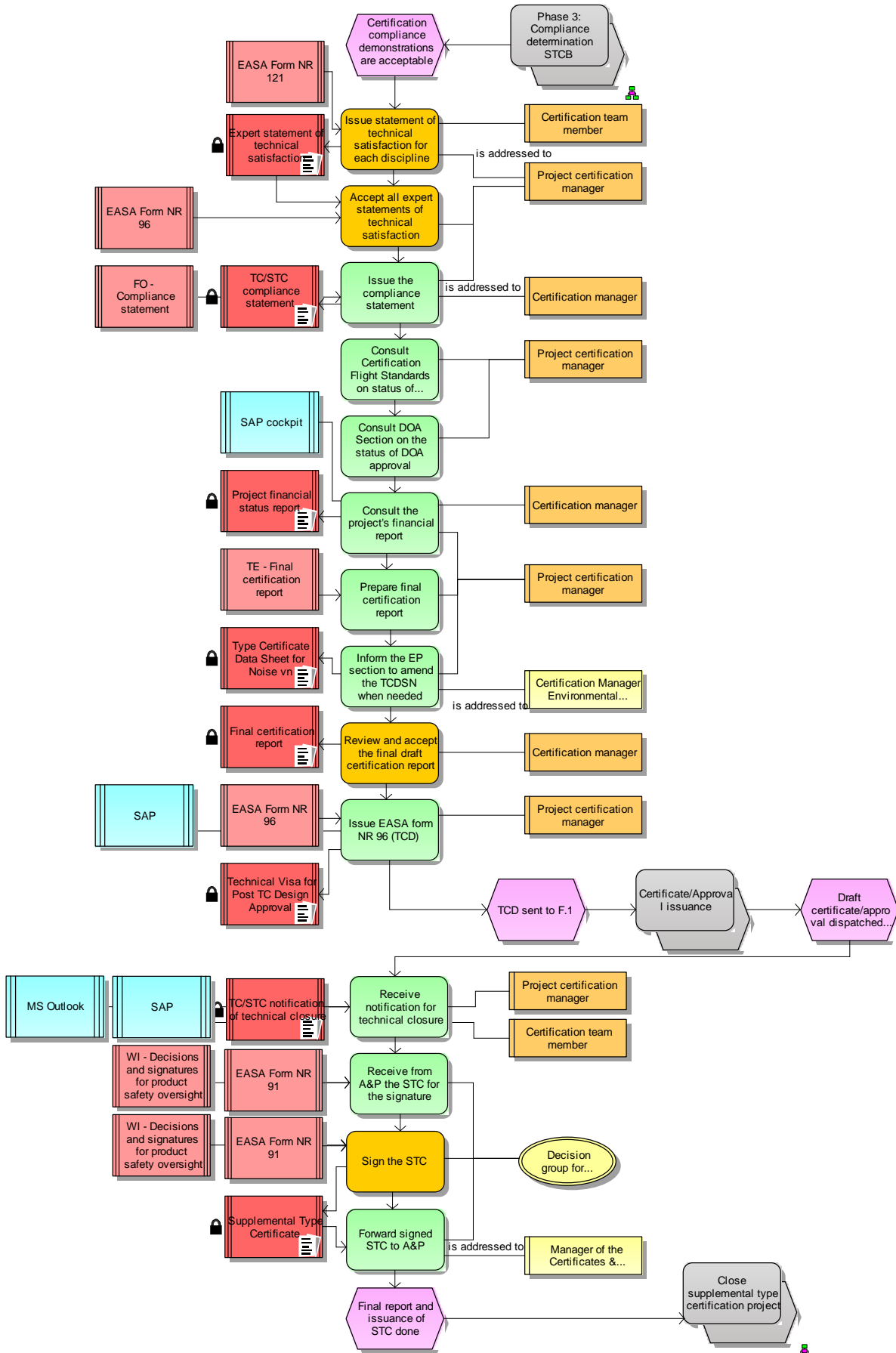
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Activity	Description to the process activity
Receive compliance demonstrations	---
Review supplemental type certification compliance demonstrations	---
Coordinate with Certification Flight Standards Department for MMEL, MRB, OEB interactions, when needed.	---
Coordinate with DOA section the progress on DOA approval	Coordinate with DOA section the DOA approval in the case where the application for DOA is being processed concurrently with the design approval.
Assess acceptability of compliance demonstrations	---
Specify reasons for non acceptance and request changes	---

Internal Process Interfaces
Phase 2: Agreement of certification programme STCB Phase 4: Final report and issuance of STC



Phase 4: Final report and issuance of STC





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Activity	Description to the process activity
Issue statement of technical satisfaction for each discipline	If the compliance demonstrations are acceptable, the Team Members shall issue to the PCM statements of satisfaction with the applicants' compliance declaration of the discipline involved using EASA Form NR 121 Expert Statement of Technical Satisfaction. For simple STCs, the team is formed by PCM only. He performs the review of the compliance demonstrations.
Accept all expert statements of technical satisfaction	---
Issue the compliance statement	On acceptance of all necessary statements of satisfaction received from the EASA certification team, the PCM shall issue EASA Form NR 96 to A&P, confirming that the Supplemental Type design of the product complies with the Supplemental Type Certification Basis established by the Agency.
Consult Certification Flight Standards on status of MMEL, MRB, OEB interactions.	---
Consult DOA Section on the status of DOA approval	The PCM shall consult with the DOA Team Leader on the status of teh DOA approval, which needs to be granted ahead of the closure of the technical investigation.
Consult the project's financial report	<p>Upon request, and until the system allows the independent extraction of data from the SAP cockpit version, the PCM will request from A&amp;P the project's financial status report at the closure of the technical investigation.</p> <p>The expected content of the financial status report will include the project start date, dates/ amounts/ payment status of all sent invoices and any due invoices.</p> <p>The Accounting Department will notify the responsible CM and PCM whenever the due fee remains unpaid after receipt of the second reminder and will invite the Head of Product Certification Department and the responsible CM and PCM to take part in related discussions in the Debt Recovery Committee (DRC). Further to these discussions the DRC will recommend follow-up actions to the Certification Director and to the Finance &amp; Business Services Directorate.</p>
Prepare final certification report	<p>For significant changes, the PCM in conjunction with the Team, shall produce a report which will record the Type Design on which the type investigation process is based, the significant subjects investigated, the details of that investigation, the process followed and the conclusions regarding compliance with the Supplemental Type Certification Basis.</p> <p>Certification General User Guide (former Certification Handbook), document UG.TC.00002, defines working procedures addressing the content and presentation of such Final Report.</p> <p>Note: In case of validation the Final Report contains the State of Design Statement of Satisfaction with delegated compliance findings.</p> <p>The PCM shall present the final report to the CM for approval.</p>
Inform the EP section to amend the TCDSN when needed	Changes in the noise levels need to be recorded in the EASA TCDS for Noise if a TCDSN exists. The PCM shall inform the EP section to amend the EASA Noise Database accordingly.
Review and accept the final draft certification report	The PCM shall present the final draft report to the responsible EASA CM for approval.
Issue EASA form NR 96 (TCD)	After approval of the final draft report the responsible EASA PCM shall fill in the Technical Visa, EASA Form 96, sign it and forward it to A&P.



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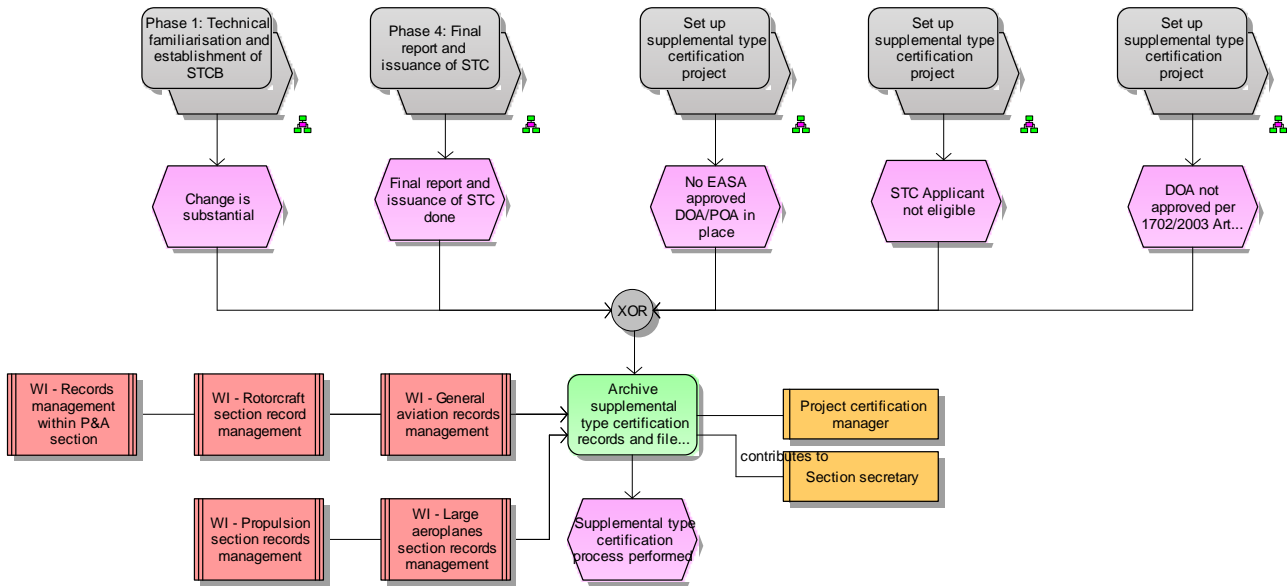
	<p>The Technical Visa is the EASA approved document on the basis of which a certificate or approval is issued and is also used to report the hours worked by the Team and missions undertaken for planning and budgetary purposes. This document enables the administrative closure of the project for Post Type Certification projects and enables both, the technical and administrative closure of the project.</p> <p>The Technical Visa (Technical closure document- TCD) is also forwarded to the departments supporting the administrative and financial follow-up of the projects and used, as appropriate, in the processing of invoices, the verification of payments, and at a higher level, in the budget planning/execution and closure activities.</p> <p>In order to enable the administrative closure of teh project the PCM and the team members shall record all project applicable hours on the relevant codes in the time tracking system (CATS); the missions should also be booked under the relevant code in MiMa .</p> <p>Upon receiving the completed Technical Visa from the PCM, the A&amp;P shall ensure that all necessary steps for the administrative and financial project closure are performed.</p>
Receive notification for technical closure	<p>Upon the registration of the Technical Visa in SAP, an automated e-mail "Notification of Technical Closure" is created and sent to the PCM and to the TM in order to inform them that the project will remain available in CATS only for a limited period of time and that they should complete their booking of working hours against the project within the timeframe set in the "Notification of Technical Closure".</p>
Receive from A&P the STC for the signature	<p>A&amp;P will also prepare the STC, (EASA Form 91) to be signed by the responsible signatory in accordance with Work Instruction Decisions and Signatures for Product Safety Oversight, document WI.TC.00036.</p> <p>The A&amp;P department will dispatch the certificate to the applicant, unless otherwise agreed with the Certification Directorate, in order to ensure that all due fees for the technical investigation have been paid by the applicant prior to receiving the certificate.</p>
Sign the STC	<p>For STC signature delegation see Work Instruction WI.TC.00036 – "Decisions &amp; Signatures for Product Safety Oversight".</p>
Forward signed STC to A&P	<p>The signed STC will be submitted back to A&amp;P for further processing. The PCM will obtain a copy of the certificate upon its distribution to the applicant.</p>

**Internal Process Interfaces**

Phase 3: Compliance determination STCB  
 Certificate/Approval issuance  
 Close supplemental type certification project



Close supplemental type certification project





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Activity	Description to the process activity
Archive supplemental type certification records and file electronic documents	The PCM together with the section Secretary shall archive the relevant records and file the electronic records (if applicable) in accordance with existing internal working instructions on records management at section level.

Internal Process Interfaces
Phase 1: Technical familiarisation and establishment of STCB Phase 4: Final report and issuance of STC Set up supplemental type certification project



Supplemental type certification

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**RECORDS****Appendix A : Operational Documents**

<b>Phase 1: Technical familiarisation and establishment of STCB</b>	
<b>Record</b>	<b>Activity</b>
STC TM assignment request form	- Request TM assignment following TM selection
Certification minutes of meeting	- Record changes in the CRI-A1
STCB notification letter	- Notify STCB
Certification Review Item	- Record changes in the CRI-A1
Record of the Certification Team Composition	- Approve STC project team composition

<b>Phase 2: Agreement of certification programme STCB</b>	
<b>Record</b>	<b>Activity</b>
Letter request amendment to certification programme	- Request amendment to the certification programme
Certification minutes of meeting	- Request amendment to the certification programme - Record the agreement on the certification programme - Notify the applicant of the agreement
Certification programme	- Record the agreement on the certification programme
Letter notification of the STC applicant of the agreement	- Notify the applicant of the agreement

<b>Phase 3: Compliance determination STCB</b>	
<b>Record</b>	<b>Activity</b>
Certification minutes of meeting	- Specify reasons for non acceptance and request changes

<b>Phase 4: Final report and issuance of STC</b>	
<b>Record</b>	<b>Activity</b>
Project financial status report	- Consult the project's financial report
Type Certificate Data Sheet for Noise vn	- Inform the EP section to amend the TCDSN when needed
Final certification report	- Review and accept the final draft certification report
Supplemental Type Certificate	- Sign the STC
TC/STC compliance statement	- Issue the compliance statement
Expert statement of technical satisfaction	- Issue statement of technical satisfaction for each discipline
Technical Visa for Post TC Design Approval	- Issue EASA form NR 96 (TCD)

**Appendix B : External Documents**

<b>Set up supplemental type certification project</b>	
<b>Record</b>	<b>Activity</b>
Supplemental type certification initial documentation	- Receive task attribution for STC - Process application for STC
SoD concurrence letter	- Receive task attribution for STC - Process application for STC
Application for Supplemental Type Certificate	- Process application for STC

<b>Phase 1: Technical familiarisation and establishment of STCB</b>	
<b>Record</b>	<b>Activity</b>
STC initial briefing	- Receive initial briefings for general familiarisation



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Proposal initial STCB	- Receive proposal for initial STCB - Review the proposed STCB
STC briefing	- Receive technical briefing from applicant

<b>Phase 2: Agreement of certification programme STCB</b>	
<b>Record</b>	<b>Activity</b>
Draft Certification programme	- Assess whether the draft CP is acceptable - Receive draft Certification programme

<b>Phase 3: Compliance determination STCB</b>	
<b>Record</b>	<b>Activity</b>
Declaration of compliance for certification	- Receive compliance demonstrations
Compliance documents for certification	- Receive compliance demonstrations - Review supplemental type certification compliance demonstrations