

# **CHAPTER 1**

## **PROCEDURE 1**

### **CERTIFICATION ISSUANCE PROCEDURE**

#### **1. Objective**

This procedure prescribes the processes from the application to the issuance of the certificate for the applicant and the CAA.

#### **2. General**

This procedure is applicable for the following projects: Type Certificate (TC), Supplemental Type Certificate (STC), Validation of Type Certificate (VTC), Production Certificate (PC), Technical Standard Order Authorization (TSOA), Parts Manufacturer Approval (PMA) and Foreign Appliance Design Validation.

#### **3. Responsibilities**

##### **A. Certification Project Manager (hereafter referred as CPM)**

The CPM is responsible for the project management and making sure that the dispositions of the certification project are complied with the applicable civil regulations, certification procedures and Job Functions.

##### **B. Certification Team: The certification team is composed of the different disciplines of Aviation Safety Inspectors who is in charge of the certification affairs of the project.**

#### **4. Certification Procedure**

The certification processes can be divided into five phases: pre-application, formal application, document review, on-site evaluation and certificate issuance. The processes for those five phases is prescribed as follows:

##### **C. Pre-Application Phase**

(1) After the applicant submits the application to the CAA, the CAA will form a certification team and assign a CPM to handle the ongoing project status and coordinate the related affairs with the applicant.

##### **(2) Project Numbering**

A project number will be given to each certification project to identify the project records generated subsequently and denoted as follows:

ACS-###-OOO

### : Type of Certification: TC, VTC, STC, VSTC, PC, PMA, TSO, VDA etc.

OOO : 001~999

- (3) First of all, the CPM will execute the project possibility evaluation to see if the regulations and procedures are available. In case that the regulations and procedures are not in place, the CAA will promulgate those to serve as the basis for certification. In the other hand, if the applicant cannot continue the certification process due to his own concerns, the project can be cancelled after the evaluations of the certification team.
- (4) Preliminary review: For domestic applicant, the CPM can perform preliminary review on the applicant's design and production systems, if the CPM deems necessary. The CPM will coordinate with the applicant for the schedule and review items before the preliminary review.
- (5) Pre-Application Meeting
  - (a) Arrangement of pre-application meeting: the CPM will arrange a pre-application meeting to collect the opinions from the certification team and the applicant if necessary.
  - (b) The objective of this meeting is to familiarize the features of the application item and understand the intent of the applicant. The CAA will make the certification processes as clear as possible to the applicant and deal with the issues raised from the project.
  - (c) The CPM will provide the applicable regulations, certification procedures and Job Functions to the applicant.

#### D. Formal Application Phase

During this phase, the applicant will submit the required data package to the CAA. The certification team will check the completeness of data. The supplemental data will be sent to the CAA upon request. If the applicant fails to submit sufficient data, the CAA could reject the project. The CPM will notify the applicant of the rejection reasons.

##### (1) Project Notification

After the CAA accepts the application, the CPM will prepare a formal letter to notify the applicant of following information:

- (a) Project number,
- (b) Certification procedures

##### (2) Project Coordination Meeting

- (a) During the formal application phase, the CPM will hold the project

coordination meeting, which the certification team and the applicant will join. If the foreign applicant is unable to attend, only the certification team will participate in the meeting.

(b) The Objective for the Project Coordination Meeting:

- \* Confirm the applicant's certification needs.
- \* Explain the certification procedures to the applicant.
- \* Discuss and dispose certification issues.
- \* Coordinate the working plan of the project.

For the foreign applicant, the certification issues can be dealt with through telephones, faxes, letters or electronic mails.

(3) Certification Plan

For the complex project, the CPM and certification team will prepare the certification plan to confirm the applicable regulations, certification procedures, means of compliance, certification document and schedules etc. Please refer to the related Job Function for the details.

(4) Working Plan

(a) The CPM may coordinate with the applicant to prepare the working plan according to the applicable regulations, certification procedures and Job Functions. The items in the working plan are as follows:

- \* Project name, project number and project establishment information
- \* Certification team member
- \* Certification working items
- \* Certification scheduling

(b) Certification working items: these items are chosen from related certification procedures and Job Functions and reflect the project features.

(c) Certification scheduling: the schedule will be coordinated with the applicant or be prepared in accordance with the comments from the project coordination meeting.

E. Document Review Phase

(1) The certification team will review the data package submitted by the applicant. Please refer to related certification procedures and Job Functions for the document requirements.

(2) Document Review Meeting

The CPM will hold the document review meeting. The meeting minutes will be part of the project records. The objective of the meeting is:

(a) To determine the document's compliance to the applicable regulations,

certification procedures and Job Functions;

- (b) To determine if there is any major defects in the data package and whether the project will be cancelled if major defects are found; and
  - (c) To determine if certification project can move to on-site evaluation phase.
- (3) If the documents are found to comply with the requirements, the certification team will approve the documents. If certification team determines it is not necessary to go through the on-site evaluation phase, then the project will move to final stage, i.e., certification issuance phase. If on-site evaluation is deemed necessary, the certification team will plan for the related affairs.
- (4) After completion of document review, the CPM will charge the applicant for the document review fee according to the CAA fee requirements.

#### F. On-Site Evaluation Phase

- (1) If the on-site evaluation is needed, the CPM will coordinate the applicant with the following:
  - (a) On-site review items,
  - (b) On-site review team member,
  - (c) Schedule for on-site evaluation,
  - (d) Applicant's cooperation items,
  - (e) Preparation of the checklist, and
  - (f) On-site evaluation fee estimation.
- (2) On-site review items: the CPM will arrange the review items according to the applicable regulations, certification procedures, Job Functions and the results of document review.
- (3) On-site review team member: the CPM will select the appropriate personnel according to their specialties from the certification team to form the on-site evaluation team.
- (4) Schedule for on-site evaluation: the CPM will coordinate the applicant with the days and date for evaluation.
- (5) Applicant's cooperation items: before the visit to the applicant's facilities, the CPM will arrange the followings in advance:
  - (a) The focal point during on-site evaluation,
  - (b) The required escorts in the applicant's facilities, and
  - (c) Transportation arrangements.
- (6) Preparation of the checklist: the certification team will prepare the checklist

according to the applicable regulations, certification procedures and Job Functions.

- (7) On-site evaluation fee: after determination of the days and date of the on-site evaluation, the CPM will charge the applicant for the on-site evaluation fee according to the CAA fee requirements.

(8) Execution of On-Site Evaluation

When the preparation for on-site evaluation is completed, the CPM will notify the certification team to prepare for execution on-site evaluation. The work items for the on-site evaluation will be determined upon the needs and are listed as follows:

- (a) The CPM will act as the team leader of the on-site evaluation team or appoint another appropriate person to take charge with the following:
  - \* Coordination works: to dispose the issues raised from the certification team or the applicant; and
  - \* To cope with the difficulties encountered during the evaluations.
- (b) The on-site evaluation team is responsible for the two working items:
  - \* Professional review: the team member will find the compliance with applicable regulations and certification procedures.
  - \* Problem reporting: the team member should report the encountered problems to the team leader for dispositions.
- (c) The working items for the on-site evaluation includes:
  - \* Holding the open meeting,
  - \* Execution the on-site evaluations,
  - \* Problem solving and
  - \* Receiving the supplemental data from the applicant.
- (d) Holding the open meeting: in the beginning, the team leader will act as the chairman. The agenda will be follows (The following items are listed as the reference. It can be selected as needed.)
  - \* To introduce the team member,
  - \* Objective and scope of this evaluation,
  - \* The requirement of the evaluation,
  - \* Cooperation items in the applicant's facilities, for example, the guidance way of the escorts,
  - \* The evaluation methods (The team will abide by the company's proprietary policies and will summarize the findings before leaving one of the company's departments/sections),
  - \* On-site evaluation schedule (It can be adjusted as necessary),
  - \* To report the noncompliance or nonconformity items,

- \* The corrective actions are required for any noncompliance or nonconformity and
- \* The close meeting will be held in the end of evaluation.
- (e) Execution the on-site evaluations: the team will perform the evaluation according to the review items in the checklist.
- (f) Disposition of the noncompliance or nonconformity items: the team will record all the noncompliance or nonconformity items in the related forms according to applicable certification procedures and Job Functions.
- (g) Applicant submitting the supplementary data: the applicant will provide the evidence for the questions asked by the team member. The team member will find the objective evidences to determine the compliance with the requirements and record the results in the required forms.

(9) On-Site Evaluation Close meeting

In the end of evaluation, the CPM will hold the close meeting. The on-site evaluation team member and applicant will join this meeting. The objective of this meeting is as follows:

- (a) To report the evaluation results and the any noncompliance or nonconformity item and their severity and the applicant will confirm those report items.
- (b) To notify the applicant that all the noncompliance or nonconformity items shall be corrected through supplementary documents or necessary on-site re-evaluations.

G. Certificate Issuance Phase

- (1) After the on-site evaluation, the CPM may hold the final project meeting to determine if the application complies with applicable regulations and is eligible to issue the certificate.
- (2) If the application is found to comply with all the applicable requirements, the CPM will prepare the certification reports. If the application fails to comply with the requirements, the CPM will still prepare the reports and explain the rejection reasons.

(3) Completion of Certification Reports

The CPM will collect all the records from document review, on-site evaluation phases in the report and follow the requirements in the applicable regulations, certification procedures and Job Functions. In addition to that, the reports also includes the following:

- (a) Project data sheet
- (b) Certification process milestones

- (c) Regulations/Standards compliance conformation checklist
- (d) The attachments include the required certification records specified in the related certification procedures and Job Functions, such as the application letter, the document list submitted by the applicant, necessary inspection and approval documentation.

(4) Certification process data sheet: this data sheet includes different subject of five certification phases, company's name and address as well as project number. The CPM will also include all the import working items, their start/completion dates and related attachments.

(5) Issuing Certificate After Approval of Certification Report

The CPM will submit the certification report for approval. After the certification report is approved, the certificate or approval/acceptance letter will be issued by CAA. The applicant will submit the certificate issuance fee upon the CAA's notification and obtain the certificate.

H. Continued Surveillance and Certificate Management

After the applicant obtains the certificate, the CPM's work completes. The CAA will assign an inspector to monitor the continued operational safety according to the applicable Job Functions.

I. Filing of Project Records

The CPM will maintain all the project files when the project is in process. After the completion of the project, the design and production project records will be transferred to the assigned inspector.

J. Termination of the Project

Once the certificate is surrendered or withdrawn, the CAA will terminate this project. All the necessary design and production data and records will then transfer to the CAA by the certificate holder for retention to ensure the continued operational safety.

K. Confidential Requirements

The CAA shall exert the technical data, which is provided by the applicant for the certification purpose only.