

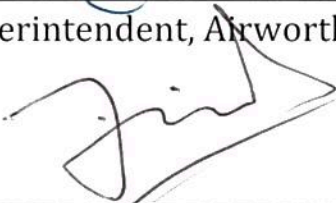
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# ANAC-EASA-FAA-TCCA Certification Management Team Collaboration Strategy

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Superintendent, Airworthiness Department



Certification Director



Director, Aircraft Certification Service



Director, Standards



Transports  
Canada

Transport  
Canada

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# Background

On September 25, 2014, the Directors of the Certification Services/Departments of the Federal Aviation Administration (FAA), European Aviation Safety Agency (EASA), Transport Canada Civil Aviation (TCCA) and the Agência Nacional de Aviação Civil (ANAC) met in Washington DC for the annual quadrilateral collaboration meeting. The authorities determined that the increasing globalization of the aviation industry necessitates greater collaboration among the authorities in order to harmonize regulatory systems and effectively respond to common industry issues. Moreover, increasing levels of domestic certification activity and validation projects from other emerging States of Design are placing growing resource demands on the four authorities. Therefore, maximizing the use of existing bilateral partnerships to fully recognize the findings made by the four partners is essential to reduce the efforts currently expended on validation programs. This cooperation is based on established confidence and knowledge of each other's systems, which under a risk-based approach, may be applied to enhance reciprocal acceptance.

The Directors committed to the creation of a formal governance structure that will manage our collaboration efforts efficiently and effectively, promote the development and implementation of regulatory and policy solutions to common certification issues, and support greater harmonization of our systems. On September 16, 2015 the authorities signed the charter establishing the Certification Management Team (CMT). This charter created a framework under which the Directors of the Certification Services/Departments of the FAA, EASA, TCCA and ANAC (i.e. the Certification Management Team) will manage technical, policy, and bilateral agreement certification, manufacturing, export and continued airworthiness issues common among the four authorities.

The CMT framework is structured to promote collaboration at the lowest possible level. The CMT directly oversees five technical Certification Authorities Groups that include representation from each of the CMT authorities. These groups include:

- Certification Authorities for Bilateral Agreement (CABA) and Certification Policy
- Certification Authorities for General Aviation Products (CAGP)
- Certification Authorities for Transport Airplane (CATA)
- Certification Authorities for Rotorcraft Products (CARP)
- Certification Authorities for Propulsion Products (CAPP)

Individual Task Specific Teams can be established under the guidance of the Certification Authorities Groups to address Technical Policy (i.e. product specific) or Procedural Policy (Bilateral/Certification Policy) in nature.

## CMT Vision and Objective

The CMT Vision is to use active confidence building initiatives and risk based validation principles to accept partner certification activities with limited or no technical involvement. The CMT aims to optimize implementation of our bilateral airworthiness agreements by enhancing the acceptance of certificating authority (CA) approvals and findings of compliance without any further technical review by the Validating Authority (VA). As a result, the authorities can maximize reliance on the CA to the greatest extent practicable.

The CMT partners recognize that while the ultimate objective is to achieve full acceptance by the VA, without any technical assessment or issuance of a validation approval, challenges remain. Therefore, the authorities are committed to implementing risk based validation principles and taking immediate steps to eliminate technical involvement. Implementation of this strategy will reduce certification authority resource expenditure, ensure a high degree of safety, and promote regulatory cooperation and harmonization between the CMT partners.

## CMT Strategic Focus Areas

In addition to defining the CMT Vision this document captures high-level strategic focus areas which the CMT partners will assume in order to realize the above vision. The CMT will endeavor to work in a quadrilateral fashion to address these focus areas but realizes that each authority has agreements in place that are bilateral in scope and timelines will not always align. In light of this CMT partners may develop bilateral roadmaps to address these strategic focus areas. The focus areas include:

**Partnership Leveraging:** Based on the high level of confidence in each authority's certification capability as established through years of bilateral cooperation, the CMT partners will leverage each other's certification systems to reduce or eliminate duplicative validation efforts. The CMT partners recognize that limited resources should be applied to the areas of greatest risk to the flying public.

**Continued Confidence Building:** CMT partners recognize that effectively leveraging the certification systems of the other authorities requires the creation and management of a robust confidence building system. The CMT governance structure authorizes the establishment of both senior management and technical working groups to provide a forum for identifying and resolving potential differences between regulatory systems. In addition, by institutionalizing post-approval analysis and feedback mechanisms, the CMT partners can fully leverage partner certification findings while still maintaining confidence in the performance of the partnership. As a result, resources previously committed to duplicative validation work can be refocused on effective oversight of rapidly innovating domestic aviation industry.

**Global Leadership:** As experienced certification authorities, the CMT partners must lead the international community in developing common standards and policies aimed at ensuring the safety of the flying public while embracing new and novel technologies developed by the globalized aviation industry. The CMT should actively engage with industry and promote common solutions and approaches to aircraft certification within the international community. Agreement among the CMT partners provides a critical foundation for harmonization among ICAO member states and provides the agility needed to adapt without compromising the long standing record of safe oversight of the aviation community.

**Certification Policy Alignment:** Recognizing that differences exist between the legal frameworks of the partner States, the CMT members will work closely to align existing certification policies to allow for the seamless transfer of aviation products and efficient oversight of the industry while maintaining the highest safety standards. In keeping with the spirit of cooperation, the CMT partners will engage each other to develop common principles and policy in support of new rulemaking efforts whenever possible.

The CMT collaboration strategy is to develop bilateral processes which apply a risk-based approach to reduce and further eliminate VA level of involvement (LOI). In practical terms, a three tiered approach is envisioned based on mutual confidence and the continued maintenance and expansion of such confidence. The tiers are:

1. Reciprocal Acceptance of Certificates and Approvals- An approval in the system of one party constitutes a valid approval in the other party's system without any technical involvement or issuance by the VA (importing authority).
2. Streamlined Validation of Certificates and Approvals- The issuance of an approval in the system of one party leads to the issuance of an approval by the VA without any technical involvement.
3. Validation Work-Plan- The LOI by the VA is established based on a set of risk based principles rather than a comprehensive review of compliance findings made by the CA. This process applies a work-plan that incorporates active management oversight to ensure common principles and procedures are applied to maximize reliance on the CA's findings.

# CMT Strategic Direction

Vision: CMT partners use active confidence building initiatives and risk based validation principles to accept partner certification activities with limited or no technical involvement.



## CMT Focus Areas

Partnership Leveraging

Certification System Harmonization

Global Leadership

Continued Confidence Building



## Strategic Outcomes

## CMT Strategic Goals

CMT Focus Areas	Desired Outcomes
Partnership Leveraging	CMT partners fully leverage bilateral agreements to issue Type Certificates with no technical involvement.
	CMT partners accept each other's article approvals with no State of Registry design approval.
	Risk based validation model implemented into CMT partner systems for any remaining areas requiring verification.
Continued Confidence Building	Certification authority technical working groups function as primary mechanism for addressing technical issues between CMT partners.
	Confidence building mechanisms implemented incorporating risk based decision making are fully implemented.
Global Leadership	Key CMT-aligned policies/procedures recognized as global model.
	Effective industry engagement ensures smooth implementation of CMT harmonized policies.
Certification Policy Alignment	New CMT partner rules and certification policies are substantially harmonized.
	MCAI from CMT partners directly adopted.