

Supporting Statement
Certification Procedures for Products and Parts
FAR 21

OMB 2120-0018

SUMMARY OF CHANGES: The decrease in the hourly burden in this reporting period is due to the removal of the form 8130-3 from this collection, and its previously reported hourly burden removed from this report. It was determined that the 8130-3 form is completed by the FAA, not the public; the form was included in the previous submission of this collection in error.

Justification

- 1. Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection. Attach a copy of the appropriate section of each statute and regulation mandating or authorizing collection of information.**

Certification Procedures for Products and Parts, FAR 21, supports the DOT strategic goal on safety.

The purpose of Title 49 United States Code, Subtitle VII, Aviation Programs, is to encourage and foster the development of civil aeronautics, and to promote safety in air commerce.

Section 40113(a) empowers the Secretary of Transportation (or the Administrator of the Federal Aviation Administration with respect to aviation safety duties and powers designated to be carried out by the Administrator) may take action he/she considers necessary to carry out this part, including conducting investigations, prescribing regulations, standards and procedures, and issuing orders.

Section 44701 empowers the Administrator to promote safety by prescribing minimum safety standards and regulations necessary for safety in air commerce. It also empowers the Administrator to grant an exemption from a requirement of a regulation if it is in the public interest.

Section 44702(a) specifies that applications shall be as the Administrator prescribes as to form, content, retention, and manner served.

Section 44702(d) empowers the Administrator to delegate to a qualified private person, or an employee under the supervision of that person, matters related to examination, testing and inspection necessary to issue a certificate; and issuing the certificate

Section 44704(a) empowers the Administrator to issue type certificates for aircraft, aircraft engines, propellers, and appliances.

Section 44704(b) empowers the Administrator to issue a type certificate designated as a supplemental type certificate for a change to an aircraft, aircraft engine, propeller, or appliance.

Section 44704(c) empowers the Administrator to issue a production certificate authorizing the production of conforming duplicates of any aircraft, aircraft engine, propeller, or appliance for which a type certificate has been issued.

Federal Aviation Regulation (FAR) Part 21, Certification Procedures for Products and Parts, implements the provisions of Sections 40113, 44701, 44702, and 44704, prescribing procedural requirements for the issue of type certificates and changes to those certificates; the issue of production certificates; the issue of airworthiness approvals; the certificates; the issue of support airworthiness approvals; the issue of Technical Standard Orders; the related approval of materials, parts, processes and appliances; and rules governing the holder of such certificates and approvals.

2. **Indicate how, by whom, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection.**

FAA Airworthiness inspectors, designated inspectors, engineers, and designated engineers review the required data submittals to determine that aviation products and articles and their manufacturing facilities comply with the applicable requirements, and that the products and articles have no unsafe features. Those products and articles and their facilities that comply with the minimum requirements are issued one or more appropriate certificates. A probable unsafe condition could exist for the owner/operator or public if the certification program was not conducted.

3. **Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g., permitting electronic submission of responses, and the basis for the decision for adopting this means of collection. Also describe any consideration of using information technology to reduce burden.**

Government Paperwork Elimination Act efforts are ongoing to improve information technology through internal automation systems designed to collect, organize, store, and transmit diverse information. The information collected can now be found on the FAA website.

The FAA is working to develop systems that would allow the electronic collection of the specific information requested in these forms and the use of electronic signatures. However, this effort is 4-5 years away from the testing phase. It will also require a

regulatory change since the FAA is currently required to collect written signatures on these forms which serve as certifying statements for the information provided.

- 4. Describe efforts to identify duplication. Show specifically why any similar information already available cannot be used or modified for use for the purposes described in Item 2 above.**

We have checked our other public reports and are satisfied that no duplication exists. No other agency is responsible for collecting information on the certification of aircraft products and parts.

The information requested by the FAA established a record of essential data concerning the applicant and product(s) involved and is available only from the applicant. The information is not available elsewhere.

- 5. If the collection of information impacts small businesses or other small entities (Item 5 of OMB Form 83-I), describe any methods used to minimize burden.**

The information required is the minimum needed to determine if an unsafe condition exists.

- 6. Describe the consequences to Federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing burden.**

The frequency of collection of this information is not a set time; it is established as needed by the respondent.

- 7. Explain any special circumstances that would require the collection to be conducted in a manner inconsistent with the guidelines in Title 5 CFR 1320.5(d) (2)(i)-(viii).**

This collection of information is consistent with the guidelines in 5 CFR 1320.5(d) (2).

- 8. If applicable, provide a copy and identify the date and page number of publication in the Federal Register of the agency's notice, required by 5 CFR 1320.8(d) soliciting comments on the information collection prior to submission to OMB. Summarize public comments received in response to that notice and describe actions taken by the agency in response to these comments. Specifically address comments received on cost and hour burden.**

The FAA continues to maintain dialogue with industry and exchanges information throughout such programs as the Service Difficulty Reporting (SDR) Program and the Aging Aircraft Program, as well as the normal rulemaking process.

A 60-day notice for public comments was published in the Federal Register on June 25, 2010, vol. 75, no. 122.

The FAA received one comment from an aircraft engine manufacturer that indicating that it “does not believe FAA Forms 8130-1, 8130-3 or 8130-6 are necessary for the proper performance of the functions of the Department nor do the forms have a practical utility.” The FAA does not concur with this comment. These forms are required to ensure that approved procedures are followed that enhance aviation safety. The comment also indicated that FAA’s estimate of the average time burden to complete the forms was inaccurate to their experiences in using the forms. FAA believes that their estimation of roughly several days to complete each active form is an overestimation of the actual time burden to complete each form.

9. Explain any decision to provide any payment or gift to respondents, other than re-enumeration of contractors or grantees.

No payment or gift is given to any respondents.

10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.

No assurance of confidentiality is provided or needed.

11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private.

There are no sensitive questions in this collection of information.

12. Provide estimates of the hour burden of the collection of information.

A section-by-section breakdown of the applicable sections of FAR 21 is listed below, showing frequency of response, burden, and how the burden has been estimated.

Section 21.15 requires an applicant for a type certificate to make an application on a form and in a manner prescribed by the Administrator. FAA Form 8110-12 is used for that purpose.

Estimated annual applications received	1078
Average hours per application	x .8
Total annual burden	862 hours reporting

Section 21.85 requires that an applicant apply by FAA Form 8110-12 for amendment to a type certificate. The application includes the applicant's documentation for amending its type certificate. Annual Burden included under Section 21.15.

Section 21.113 requires that any person introducing a major change in a type design must apply to the FAA for a supplemental type certificate or amendment to the original type certificate, on FAA Form 8110-12. Annual Burden included under Section 21.15.

Section 21.133 covers the application for a production certificate (PC). FAA Form 8110-12, Application for Type Certificate, Production Certificate, or Supplemental Type Certificate is used for the purpose. Section 21.143(a) also requires the applicant to submit for approval, data describing the inspection and test procedures necessary to ensure that each article produced conforms to the type design and is in condition for safe operation. The annual burden for an application for PC is included under Section 21.15.

Section 21.153 requires a PC holder desiring to amend the PC to submit certain data. FAA Form 8110-12 is submitted in addition to data required. Annual Burden included under Section 21.15.

Section 21.267 requires the manufacturer to place certain manufacturing and quality data in the current records file, submit an FAA Form 8110-12, and a statement to the FAA when amending the PC. Annual Burden included under Section 21.15.

Section 21.253 requires an applicant for a type certificate or an amended type certificate to submit FAA Form 8110-12 to the administrator. Annual Burden included under Section 21.15.

Section 21.53, 21.130, Statement of Conformity. Applicants for a type or supplemental type certificate must submit a statement of conformity (FAA Form 8130-9) for each engine or propeller presented for certification. This form includes a statement that the engine or propeller conforms to the type design. Applicants must also submit this for each aircraft or part thereof presented for type or supplemental type testing. This form includes a statement that the applicant complied with 21.33(a), i.e., made all inspections and tests necessary. Holders or licensees of a type certificate (TC) for products manufactured in the U.S. must, upon initial transfer or application for an original airworthiness approval, provide this form. This form includes a statement that the product conforms to type design, has been tested, and is in condition for safe operation.

Estimated annual submittals	10000
Average hours per form	x .8
Estimated annual burden	8000 hours reporting

Section 21.193 This Section requires an eligibility statement for amateur-built aircraft, FAA Form 8130-12.

Estimated annual applications	500
Average hours per application	x <u>.25</u>
Total annual burden	125 hours reporting

Section 21.215 requires the applicant for a provisional airworthiness certificate to submit an application (FAA Form 8130-6) and the pertinent information specified in Sections 21.221(c), 21.223(c), and 21.225(c). This is done by letter or statement.

Estimated applications for provisional airworthiness certificates	5000
Average hours per notifications	x <u>.7</u>
Estimated annual burden	3500 hours reporting

Section 21.221(c) requires the manufacturer to submit a statement that the aircraft conforms to the FAA-approved type design corresponding to the provisional type certificate. Annual Burden included under Section 21.215.

Sections 21.173 21.177 and 21.199 require the applicant for an airworthiness certificate, amendment of an airworthiness certificate, amendment of an airworthiness certificate, or a special flight permit to apply in a form and manner acceptable to the FAA Form 8130-6, Application for Airworthiness Certificate, is used for this purpose. Annual Burden included under Section 21.215

Section 21.327(b) provides for manufacturers holding a production approval to apply orally for export airworthiness approvals of aircraft engines, propellers, and articles. FAA Form 8130-1, Application for Export Certificate of Airworthiness, is used to apply for export airworthiness approval for aircraft, and other products and articles when required.

Estimated annual applications	35000
Average hours per notifications	x <u>.2</u>
Total annual burden	7000 Hours reporting

Burden Summary

Form	Annual Responses	Time per form	Total annual burden
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8110-12	1078	.8 hours	862 hours
8130-9	10000	.8 hours	8000 hours
8130-12	500	.25 hours	125 hours
8130-6	5000	.7 hours	3500 hours
8130-1	35000	.2 hours	7000 hours
TOTAL	51578		19487

Total number of annual responses: 51,578.

Total Reporting and Record keeping: 19,487 hours.

13. Provide an estimate of the total annual cost burden to respondents or record keepers resulting from the collection of information.

There are no additional costs not already included in number 12.

14. Provide estimates of annualized cost to the Federal Government and to the respondents.

The annual cost to the Federal Aviation Administration for this collection of information is estimated to be approximately \$600,000 per year, based on technical and administrative support expenses.

15. Explain reasons for any program changes or adjustments reported in Items 13 or 14 of the OMB Form 83-1.

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16. For collections of information whose results will be published, outline plans for tabulation and publication. Address any complex analytical techniques that will be used. Provide the time schedule for the entire project, including beginning and ending dates of the collection of information completion of report, publication dates, and other dates.

There are no plans for statistical publications.

17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons that display would be inappropriate.

The FAA is seeking approval to not display the expiration date. The subject FAA forms are recurring forms that are printed and stocked for continuous use. When the supply gets low, these forms are automatically reprinted and stocked so that there will be no interruption in services. It would not be cost effective to destroy unused, dated stock. FAA, therefore, requests an exemption from placing the expiration date on the forms. Additionally, forms can be reproduced from the FAA website.

18. Explain each exception to the certification statement identified in Item 19, “Certification of Paperwork Reduction Act Submissions,” of OMB Form 83-1.

There are no exceptions.