European Aviation Safety Agency

Work Programme 2014

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1 Executive Summary

The 2014 Draft Work Programme (DWP) adopted on the 12th of March 2013 and based on the Business Plan (BP) 2013-2017 approved by the Management Board on the 11th of December 2012, represents EASA's activity plan for 2014. This draft Work Programme was subsequently reviewed taking into account the outcome of the Multiannual Financial Framework (MFF – adopted in September 2013) and the on-going BP 2014-2018 exercise, including the latest agreement reached between the European Parliament and the Council in November 2013. The tasks described in the Work Programme 2014 are fully in line with the overall strategy and priorities of the European Union's aviation safety policy as described in the 2011 'White Paper on Transport[1].

As already announced in the Business Plan, due to increasing financial constraints, the Agency paid specific attention to resources optimization and to finding the right balance between operational and support expenses.

The estimates take into account the difficult budget environment, especially on the subsidy side where the European Commission, Parliament and the Council in the context of the budgetary procedure agreed to reduce the EASA staffing by 1% in 2014. In addition, EASA was not classified as "new tasks" Agency in 2014 as expected in the draft Work Programme, but only for the period 2015-2018.

It needs to be noted also that the budget proposed for EASA for 2014 has been reduced by around 0,6 M€ vs. the 2013 budget, as a result of a penalty applied for the payment execution rate below 95%[2] related to carried forward amounts in the 2012 budget.
Also the TCO activity which was shifted from F&C to EU subsidy with no additional funding nor staffing granted in 2014 (estimated cost 1.5 M€).

For 2014, this means a global reduction of 7 posts from 692 to 685 posts out of which:
- Subsidy posts: reduced from 227 to 222 (-5) including the 7 posts for the TCO activity in 2014;
- F&C posts: reduced from 465 to 463 (-2).

Regarding the Fees &Charges financed activities, the introduction of the new Fees & Charges Regulation, which includes a much improved cost reflectivity and better cost coverage, is expected at the beginning of 2014.

In addition it must be noted that the planning for the specific activities is dependent on the development and effective entry into force of the related implementing rules including possible transition periods.

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[1] COM(2011) 144 final of 28.3.2011 'White Paper: Roadmap to a Single European Transport Area – Towards a competitive and resource efficient transport system'
[2] The lower payment execution rate was due to a still non-resolved dispute with the landlord, resulting in the withholding of part of the rent payment. The Agency's view is that it should not be penalised as this decision was taken to respect the principle of sound financial management and consequently the withheld amount should not be considered for the calculation of the budget execution rate.

Taking this into consideration, the main expected changes in the Agency's tasks in 2014 versus 2013 can be summarised as follows:

Strategic Safety:
Strategic safety brings together the Agency's safety management activities. This ensures internal collaboration on safety topics and the sharing of lessons learned. Building on the Communication: "Setting up an Aviation Safety Management System for Europe" the Agency works on the management of civil aviation safety risk. The importance of Occurrence Reporting and Analysis needs to be emphasised as it is the corner stone to Safety Management (European Aviation Safety Programmes and Safety Management Systems).
A priority is the continuing development of the feedback system that gathers data, extracts intelligence and provides information for action. To ensure goals are met the activity of measurement and monitoring of safety performance will be expanded.

Rulemaking:
In 2014 the Agency will focus on developing and if possible starting the implementation of the Regulatory ATM/ANS Regulatory Roadmap and on the alignment with ICAO outcome ANC 12 (notably in the field of Remotely Piloted Air System) and SESAR/NEXTGEN. The Rulemaking work programme containing the agreed production of draft Regulations and soft rules will include activities following up on the review of Part M General aviation and more in general issues in relation to General Aviation to address the recommendations on General Aviation as discussed with the Management Board and agreed by the EASA Committee. The Agency will also implement the changes in the Rulemaking process as outlined in the Review of the Rulemaking process decision which has been formally adopted in March 2012 by the EASA Management Board. The Agency will develop new rules in all areas based on priorities set by the EASp, feedback from Standardisation, Safety Recommendations, alignment of SES and EASA regulation in the ATM domain, compliance to the Basic Regulation, the introduction of SMS, harmonisation with the US and Canada, technological developments or the need to ensure a level playing field in aviation safety and environmental protection. The Rulemaking work programme, in the field of Environmental Protection, will also involve the implementation of CAEP/9 decisions. In the course of 2013 a discussion will take place on overall priority setting in relation to the priorities in Rulemaking for the coming ten years that will have its impact on the priorities in Rulemaking. The priorities will have to be linked to the overall EU policy as reflected in Europe 2020.

Product Safety Oversight:
The approval of mandatory Operational Suitability Data (OSD) and its inclusion into the Initial Type Certification process will be one of the new challenges in 2014, with the increase of the expected workload as a consequence.
Furthermore, the refinement of the Agency's criteria for determining its adequate technical level of Involvement (LoI) in the certification process will lead to a revision of some working methods and procedures. Careful change management will be prerequisite for success.

In the field of continuing airworthiness oversight, the amount of available safety data will further increase due to additional reporting obligations, the high complexity of new type designs, continuous growth of aircraft fleets in operation and the increasing number of approved type designs subject to the Agency's safety oversight responsibility.   All data received will be processed and analysed via the fully implemented Internal Occurrence Reporting System (IORS). For certification related services upon request of industry and Member States the Agency will continue to offer its expertise as far as available resources allow.

Organisation Approvals:
In 2014 the SMS implementation in CAO and POA will be initiated taking into account the outcome of the relevant NPAs. SMS implementation will be consolidated in the FCLOA domain due to the fact that part FCL has already been applied in ARA and ORA. The ATM/ANS domain will be further consolidated.

Inspection of Member States:
In 2014 a risk based Continuous Monitoring Approach to Standardisation is expected to be fully implemented, in line with a new Commission Regulation 628/2013 repealing 736/2006. Further steps to intensify the cooperation with ICAO with regard to the harmonisation of the two inspection/audit programmes will continue. Taking into account the new rules implementation timeframe, EASA will define a roadmap for the implementation of standardisation in the field of Aerodromes, although this and its effective implementation is dependent on the approved establishment plan and budget.
In general terms, reductions in standardisation staff and resources would force the Agency to scale back the related activities, thus limiting its ability to monitor the risks identified by its evaluation model.

Operators:
2014 will be the first year after entry into force of the regulation for authorisation of third country operators. It is expected that in Q3 2014 the 24-months TCO transition period will commence during which all approximately 850 third-country operators will be assessed and authorised by the Agency. The existing SAFA Guidance Material will be transferred and complemented with material for SACA (Safety Assessment of Community Aircraft) inspections; establishing the processes for the technical evaluation of SAFA Training Organisations.

2 Activities of the Agency

2.1 *Strategic Safety*

The sharing of roles, as described in the EASA Basic Regulation means that the Agency, the Member States and the industry must work together to implement the safety management system. The European Aviation Safety Programme (EASP), which describes the Regulations and activities to manage safety in Europe, will be reviewed and aligned with Annex 19. Feedback mechanisms are a key part of the programme. Data is acquired and analysed in a timely manner to ensure sound information is used for the Agency's work and targeted follow-up. Applying rigorous processes, indicators of safety performance will be used so as to monitor the level of safety of the European aviation system. The main activities in this domain are outlined in Section 2.1.1.

2.1.1 Strategic Safety Work Programme 2014

a. <u>Safety Advancement, Planning, Promotion and Initiatives</u>
<u>European Aviation Safety Programme & Plan, Publications and Safety Teams</u>
The outcome of the EASP is a European Aviation Safety Plan (EASp), which provides a description of significant safety issues together with clear actions and deliverables to address the risks. The EASp tracks the progress towards mitigating the major risks to aviation safety in Europe. The annual cycle of activities to review, update and promote the EASp will reach maturity. The EASp will establish itself as a true European roadmap for safety. Improvements will be made in the identification of risks (in order for the Plan actions to better rely on sound evidence data), measuring performance and the mechanism to coordinate the EASp with stakeholders.
ESSI is a voluntary safety partnership bringing together aviation authorities, the industry and international partners such as ICAO and the FAA. Facilitated by the Agency, ESSI will further develop its cooperation with the US Commercial Aviation Safety Team (CAST), the International Helicopter Safety Team (IHST) as well as with ICAO's Regional Aviation Safety Groups (RASG).

b. <u>Safety Analysis & Reporting</u>
Acquiring and analysis of data are vital parts of any safety management system. Work is automated as far as practicable but the skills of an analyst draw the maximum from data.

<u>Safety Reports, Performance and Data</u>
Work on the design and use of Safety Performance Indicators (SPIs) will further expand using the 3-tier model. To take a total system view a set of high level SPIs will be implemented for all areas. The Annual Safety Review will provide a clearer link to the issues in the EASp in order to have a more efficient monitoring. The Network of Analysts (NoA) will have a closer strategic relationship with the EASp process and undertake an annual analysis of the key aviation safety risks at a European level. Analysis requires good data; the Agency, in cooperation with the Commission JRC continues to make available updated quality rules, workshops and training as well as playing a major role in the development of aviation taxonomies.

<u>Occurrence Reporting Systems</u>
The Agency's Internal Occurrence Reporting System (IORS) will continue to expand as it is considered to be the corner stone of safety Management (European Aviation Safety Programmes and Safety Management Systems). Cooperation with National Aviation Authorities (NAAs) will be further developed as well as the feedback to all stakeholders. The IT tools, working methods and automation of data capture will be improved to increase efficiency, improve the usability of the system and to incorporate new areas. User training activities will take place, including the maintenance and updating of e-learning courses. The new Regulation

of the European Parliament and of the Council on occurrence reporting in civil aviation may enter into force in 2014 and may imply actions for the Agency.

c. Safety Information, Reporting and Corrective Action

Continuing Operational Safety & Formal Publications

A primary role of the Agency to ensure the continuing operational safety is the publication of safety related information e.g. Airworthiness Directives (AD), Emergency Airworthiness Directives (EAD), Safety Information Bulletins (SIB) and Proposed Airworthiness Directives (PAD). This work will further develop in the future (estimated by a third by 2016) for the following reasons:

- Safety information Bulletins (SIB) are increasingly valued to address safety related issues in domains other than airworthiness, e.g. Operations, Flight Crew Licensing, ATM/ANS and Aerodromes;
- Operation Suitability Data (OSD) will become part of the activity and this would require the issuance of a specific Directives;
- Safety Directives for operations as defined under (EC) No 216/2008 Article 22 are expected to start in 2014, as well as Safety Directives as envisaged by Article 13 of regulation (EC) No 1034/2011.

d. Accident/Safety Investigation Authority

Response and Follow-Up of Investigations

The Agency works with and supports the activities of European Network of Civil Aviation Safety Investigation Authorities (ENCASIA), in particular in the context of the subgroup responsible for the EU Safety Recommendations Database. Support will be offered to States in setting up training for European investigators giving a better understanding on EASA's roles and responsibilities.

The Agency will further develop coordination and synchronisation of safety recommendations data, taking benefit of the European central database and EASA's bilateral agreements with major certification authorities. Access to data will be developed in order to promote a wider usage of collected information and demonstrate accountabilities for the recommended safety improvements. The Agency will promote European Flight Data Monitoring initiatives.

e. Research and Foresight

The EASA three-year Research Plan will be updated. Priority will be given to the execution of projects that are actions of the European Aviation Safety Plan (EASp) and the necessity to adapt to novel technologies that are part of certification activities. Means will be put in place to better share and disseminate the results of research activities. Assess potential gaps or bottlenecks against long-term Flightpath 2050 goals and ACARE safety objectives and develop recommendations for EU Research and Innovation programme decision makers. The European Aviation Research Partnership Group (EARPG) implements developed instruments to share and disseminate the results research activities with a larger community by thematic events. The EARPG Thematic Programme will be reviewed and updated.

f. Human Performance

Activities will move academic research into practical applications, share industry best practice and lessons learnt. The EASp will contain an action plan and monitor follow-up of human performance work. On-going activities include, continued development in the coordination with the European Strategic Safety Initiative (ESSI) and the European Aviation Research Partnership Group (EARPG).

2.2 *Rulemaking*

The Total System Approach (all safety and technical regulations of the Basic Regulation 'under one roof', including the elimination of the overlap between EASA and SES regulation, and developed in coherence) has become an important and continuous rulemaking policy for EASA. The aim is to develop aviation safety/technical rules that are the 'the state of the art' and that deals with regulatory framework in an integrated way.

The following elements have been taken into account in setting up priorities for the current planning cycle:

- The overall EU policy as reflected in EU 2020 and the legislative obligations of the Agency with respect to the 1st and 2nd extension of its remit;
- The priorities set by the European Safety Strategy and the priority actions outlined in the EASp;
- The compliance of rules with ICAO SARPs or identification of differences where these exist;
- The existing BASA's that are in place and the work for further improving the existing annexes under the BASA as well the development on new Annexes;
- The implementation of the agreed political priorities of the overall ATM/ANS Regulatory Roadmap in ATM and related developments (e.g. SESAR deployment);
- Identified additional regulatory work on Implementing Rules related to new technological developments;
- The feedback coming from rule implementation, certification and standardisation;
- In the course of 2013 a discussion will take place on overall priority setting in relation to the priorities in Rulemaking for the coming ten years that will have its impact on the priorities in Rulemaking. These will have to be linked to the overall EU policy as reflected in Europe 2020.

2.2.1 Rulemaking Work Programme 2014

a. <u>Production of new rules</u>

The annexed Rulemaking Programme 2014-2017 provides details on the rulemaking tasks the Agency will work on in the coming years as agreed between EASA, the European Commission and the Member States. The planning of those tasks is based on the following considerations:

- The implementation of the adopted Management Board decision 01/2012 on the Rulemaking process;
- The experience gained in outsourcing Rulemaking tasks to Industry and the expected involvement of NAAs;
- The increased involvement of Standardisation bodies, such as EUROCAE in Rulemaking activities;
- The applicable arrangement between EASA and Eurocontrol on support to EASA work;
- The growing importance of areas like Environmental Protection and Remotely Piloted Air Systems;
- Issues in other policy areas, for example, health, chemical, and cyber security have to be monitored and co-ordinated with the respective players;
- Revision of the Basic Regulation.

b. <u>Support to rules</u>

The main challenges of the activity are:

- To assist the Member States and the Industry at an adequate level during the implementation of the new regulations;
- Increase the production of Technical Publications;
- Consolidate processes for the development of a risk-based rulemaking programme.

Supporting the implementation of the new rules will be a major activity. More time will be devoted to communicating with Member States and stakeholders.

The Directorate will therefore increase attendance at external events and regional workshops, organise regional workshops, and invest in training, etc.

A close cooperation with the Standardisation department will be organised to ensure the most optimal support to Member States and Stakeholders on the new regulations related to the first and second extension.

c. Coordination with ICAO and rule harmonisation with third countries

The Rulemaking directorate will take a pro-active approach to ICAO. An example of which is the area of OPS, more specifically the Dangerous Goods Panels. There will be a new initiative launched to reinforce the co-operation on further harmonisation with the FAA and TCCA. In addition, the Directorate has started to assist Member States in filling differences and each department will prepare the files for the ICAO Electronic Filing of Differences (EFOD) on Annexes. The extension of the BASA EU/US will require substantial resources and time to the confidence building and technical discussions on new BASA Annexes with the FAA.

In 2014 EASA, in close coordination with the European Commission, will implement a structured process to better manage EASA/EU interactions with ICAO, especially in the domain of ICAO SARPs development (e.g. coordination of EU participation in panels, task forces, working groups; coordination of answers to ICAO State Letters) and implementation (coordination with ICAO on the Universal Safety Oversight Audit Programme / Continuous Monitoring Approach). Specific attention will be given to participating and contributing to the Annex 19 2nd phase development activities.

For environmental protection the emphasis is to be proactive in the ICAO Committee on Aviation Environmental Protection (CAEP). The key work items in ICAO/CAEP 2014-2016 timeframe are: the development CO_2 standard; new requirement on Particulate Matter; and any emerging task such as the development of verification method for noise contour calculation data (with respect to the Balanced Approach for Noise) and technical work to make sure the noise and emission requirements remain up to date and effective while ensuring that certification procedures are as simple and inexpensive as possible. In addition, cooperation in the rulemaking domain will be reinforced with States using EASA rules (States from the "PANEP" [Pan-European], "Euromed" [Euro-Mediterranean] and "ICF" [EASA International Cooperation Forum] communities).

d. Rulemaking related tasks

The risk based approach requires coordination and contribution to other Agency core processes such as Standardisation (e.g. Finding Classification Committees), Safety Recommendations process, EASp and Certification activities. It is foreseen that the TCO activities will generate appeals and complaints, thus necessitating the Agency to have procedures for preparing fines and penalties decisions in place by 2014.

The new Fines Regulation will require additional work for the Agency. The resources required for this work still needs to be clarified and will be done so by the end of 2013. With the applicability of the first extension rules, Article 14 exemptions and derogations will increase. This also applies to the assessment of individual FTL schemes. These activities are particularly time critical and require extra effort however this, cannot be estimated at this point of time as the rulemaking task is still on-going.

A new task is envisaged in a new Regulation of the Parliament and the Council on the establishment of rules for the Balanced Approach for noise. The proposal is currently in co-decision and expected to enter into force in the coming years. The proposal puts new tasks on the Agency for which the implementation (setting up a database and developing verification procedures in AMC and Guidance material) is still to be developed. This development will be done within the ICAO framework in order to achieve global harmonisation.

2.3 *Product Safety Oversight*

The activities in the field of Product Safety Oversight consist of:
- Certification:
  - Airworthiness and environmental certification of aeronautical products, parts and appliances (IAW);
  - Qualification of non EU Flight Simulation Training Devices (FSTD).
- Continuing Airworthiness Oversight (CAW):
  - Review of available safety information (occurrence reports, safety recommendations, etc.);
  - Development and implementation of corrective actions and Safety Information e.g. Airworthiness Directives.
- Certification related services such as MRB reports, OEB reports, Certification Support for Validation (CSV) outside the EU, Technical Advice and Assistance upon request of industry, aviation authorities or other public institutions.

Certification experts also provide expertise and support to other core activities of the Agency such as Organisations Oversight (DOA), Rulemaking, International Cooperation and ANS/ATM activities and for internal management and support services such as Technical Training and Research activities.

2.3.1 Product Safety Oversight Work Programme 2014

The Certification activity has developed successfully over the past years. In anticipation of the new OSD approval tasks, the certification directorate has been reorganised, with experts now combined into one single department. Numerous activities have been foreseen for 2014 which are explained below and can be summarised in dedicated tables in term of resources needed and workload foreseen (see the attachment A). Furthermore, once the Commission Regulation (EU) No 646/2012 on Fines and Periodic Penalties will be fully implemented (i.e. as from 2014), it is expected to create additional workload for the certification directorate.

A new Regulation on Occurrence Reporting is expected to enter into force in 2014. Implications on the future workload assumptions will be carefully analysed as soon as the final text will be available. The biggest challenge for 2014 will be to ensure an adequate level of resources in order to maintain the right level of technical involvement and safety oversight, as mandated by the Basic Regulation.

a.   Initial Airworthiness and Environmental Certification
In the area of initial airworthiness and environmental certification the overall workload will further develop with the mandatory approval of Operational Suitability Data (OSD) as an integral part of the Type Certification process. OSD have to be provided by TC/STC-holder and include:
- Minimum Syllabi for Cockpit and Cabin Crew Type Rating Training,
- Minimum Syllabi for Maintenance Certifying Staff Type Training,
- Master Minimum Equipment Lists (MMEL),
- Reference data for FSTD,

Some of the new approval tasks were already performed in the past as services to the industry under the Operational Evaluation Board (OEB) process within the frame of a Memorandum of Understanding (MoU) between EASA and NAAs.

In 2014 OSD related catch-up and implementation activities (e.g. refinement of working methods) will require a significant amount of resources. It is assumed that OSD activities will be subject to an hourly charge, allowing the Agency to fully recover all the related costs. Financial monitoring will be put in place, the revenue estimations for 2014 will be carefully reviewed in the light of the actual information available and the number of applications

received. In accordance with the Agency's outsourcing strategy a significant part of the new activities will be outsourced to NAAs and Qualified Entities.

In close cooperation with the aviation industry, the Agency is optimising its standards for the determination of an appropriate level of technical involvement (LoI) in any certification activity, based on tangible, risk based criteria. In parallel, there are continuous efforts to streamline the validation processes for non-EU products in the framework of existing Bilateral Aviation Safety Agreements (BASA).

Further challenges will come from products designed in emerging countries (China, Brazil, and India), the constant growth of the technical complexity of new aircraft types and the ever higher expectations with regards to the environmental impact of aircraft and engines.

In 2014 several major projects will enter into their crucial final phase (e.g. . , Airbus A350,, Bombardier CSeries, Eurocopter EC 175). Some of those projects will at the same time serve as pilot projects for the verification of the effectiveness of refined working methods.

b.   Continuing Airworthiness oversight

The overall workload associated with Continuing Airworthiness (CAW) oversight tasks will increase in line with developments of the civil air transportation sector and the evolution of relevant safety data available to the Agency. Oversight tasks will expand to cover potential safety issues related to OSD, including appropriate corrective actions.

Industry, international partners but also the European public have high expectations regarding the Agency's capability to adequately react at any time on safety issues and to take all reasonable proactive measures to minimise hazards to aviation. The main challenge for EASA will be to have sufficient resources available and at the same time to optimise their use for in-depth analysis and follow-up of all incoming information in order to correct unsafe conditions and thus prevent incidents or accidents.

c.   Product Safety Oversight related services

The demand for product safety oversight related services provided to external stakeholders (e.g.: MRB reports, OEB reports, Certification Support for Validation (CSV) outside the EU, Technical Advice and Assistance upon the request of industry, Aviation Authorities or other public institutions) are expected to grow in 2014. EASA is increasingly recognised world-wide as a centre of expertise and is expected to play an even greater role in the future. The main challenge for EASA will be to constantly meet these expectations and to further strengthen its reputation as a leading regulator at a global level.

d.   Expertise and Support for other Agency processes

Certification experts will provide expertise and support for other internal core and support processes. Emphasis will be put on support for rulemaking projects and assistance to the approval and oversight of design organisations. However, other activities such as the implementation of Working Arrangements and Bilateral Agreements, ANS/ATM related approvals and advice and internal management and support services like Accreditation of external service providers (NAAs and Qualified Entities), Technical Training and coordination of Research activities will consume significant amounts of available resources.

2.4 **Organisation Approvals**

The organisations approvals activities consist of approving organisations responsible for production, maintenance, maintenance training and continued airworthiness management located outside the territory of the Member States, and design organisations wherever located. Other activities consist of approving production organisations located in the territory of one or more Member States, if requested by the Member State(s) concerned.

In addition, with the first extension of the remit, the activities include the approval and oversight of Flight Crew Licensing organisations located outside the territory of EASA Member States. With the second extension of the remit to ATM/ANS, the activities include the approval/oversight of Pan-European Air Navigation Service providers, EGNOS, the Network Manager Function of Eurocontrol on behalf of the European Commission and air traffic controller training organisations located outside the territory of the Member States.

2.4.1 Organisation Approvals Work Programme 2014

The organisation approvals activity is fairly mature; applying a solid working approach supported by highly qualified experts and well established working methods. In addition to the core activities, there will be focus on initiating SMS implementation in CAO and POA taking into account the outcome of the relevant NPAs. SMS implementation will be consolidated in the FCLOA domain due to the fact that part FCL has already been applied in ARA and ORA. The ATM/ANS domain will be further consolidated.

2.5 **Inspection of Member States**

In line with its Standardisation strategy the Agency maintains a well-balanced standardisation programme based on:
- Regulatory compliance verification, risk-based and focused on safety issues;
- Pro-active standardisation, through active involvement of Authorities;
- Regulatory feedback in accordance with BR art. 24(3).

The aim is not only to check whether Authorities are implementing regulations correctly, but to contribute to raising safety standards in line with the overall EASA objectives.

2.5.1 Standardisation Work Programme 2014

As part of its risk based continuous monitoring approach to standardisation (CMA), as agreed with the European Commission and established in a new Standardisation Regulation, that is Commission Regulation 628/2013 repealing 736/2006, EASA's standardisation process will cooperate more with the ICAO's USOAP programme, in order to achieve an optimal use of available resources and reduce multiple auditing burdens on Member States.

The geographical scope of inspections is gradually grow in line with the EU policy towards neighbouring Countries (Croatia joined the EU on 1st July 2013),, and may include up to 50 States taking into account also WAs signed with the MASC Countries (Morocco, Tunisia, Lebanon, Jordan, Israel).   The additional assessment activities required by DG MOVE E.1 in the context of the ECAA agreement are expected to continue.

Furthermore, the following domain-specific considerations apply:

a. Air Operations / Aircrew (OPS, FCL, MED, FSTD)
In these domains, the year 2014 will be another year of transition. The entry into force of the EU Implementing Rules (IRs) requires substantial work, including an update of working tools (pre-visit questionnaires, inspection checklists) and the conduct of training to maintain an adequate level of competency of Team Leaders. During the transition there will also be a need to place more emphasis on pro-active standardisation activities, such as additional workshops and seminars in order to familiarise Member States' competent authorities with the new Regulations.

Furthermore, the scope of standardisation will be progressively extended, as the new Regulations will gradually cover types of operations, activities and licences previously regulated only at a national level. Additionally, implementation plans and Conversion reports developed by Competent Authorities will have to be assessed.

The above will greatly increase the workload in the affected domains, and it will have an impact on the volume of inspections that can be performed in 2014, which will be driven by the outcome of the risk assessment model and will take into consideration the progress achieved by Member States in implementing the new Regulations. Additionally, International Standardisation activities will increase, as bilateral agreements in the domain of Aircrew come into force. Finally, at this time the Agency does not know to what extent each State will make use of the various "opt-out" provisions for Air Operations. As this will become known, the inspection plan may have to be revised accordingly.

b. Air Traffic Management / Air Navigation Services (ANS)
EASA started to perform standardisation inspections in this field in 2012. Hence, the first priority in 2014 is to complete a full cycle of standardisation inspections in order to establish a consistent "baseline"..

The number of inspectors required to achieve this has been proposed in the Establishment Plan. However in view of budget restrictions roved, the first round of inspections will take more than 2 years. The number of inspections expected in 2014 will also be subject to additional tasks being requested by the EC, such as verification of the safety KPIs, assessment of the annual Performance reports (Regulation (EU) 691/2010), support to NCP and SES implementation, etc. These were not included in the Establishment Plan calculations.

c. Airworthiness
In this domain, standardisation is well established and mature, and no major regulatory changes are foreseen. However, permanently introduced changes to the existing regulatory material will have to be adequately addressed by the standardisation inspections and the workload related to supporting Accreditation and International Standardisation activities, which fall under the responsibility of the Airworthiness Section, is expected to increase further as new Qualified Entities and bilateral agreements / working arrangements enter the scene.

d. Ramp Inspection (SAFA/SACA)
In 2014 the Ramp Inspection (SAFA/SACA) standardisation audits of the NAA of participating states in accordance with the applicable standardisation Regulation will be carried out. In view of implementing the new IRs concerning ramp inspections the activity will be focused on adapting the standardisation process to the new regulatory framework.

e. Aerodromes
In this field, unlike in all other fields of civil aviation, there has been no European standardisation process to build upon, so the introduction of activities will be challenging and will require extensive preparatory work. Having regard to the schedule of the Implementing Rules adoption and their intended applicability dates with the possible transition, the initial preparatory activities should start at the end of 2014 (e.g. recruitment of the Section Manager who will focus on developing proactive measures, such as developing the standardisation process for Aerodromes, standardisation meetings and road-shows, to help States prepare for the upcoming IRs) and continue as intensive development tasks in subsequent years expecting the start of full systematic scope of standardisation inspections at latest in 2017.

2.5.2 Accreditation Work Programme 2014
Accreditation is a prerequisite for the allocation of certification tasks to EASA contracted Certification Service Providers (CSP). It ensures the initial qualification of CSPs as well as the

subsequent oversight. In 2014 the initial audits of Authorities and Qualified Entities (QEs) in accordance with the EASA tender for outsourcing of certification tasks, especially for the new EASA remits, will be completed.   Furthermore, surveillance audits of accredited CSPs in 2014 will be planned in accordance with a risk evaluation methodology to be established in the course of 2013.

2.6 *Operators*

2014 will be the first year after entry into force of the regulation for authorisation of third country operators. It is expected that in Q3 2014 the 24-months TCO transition period will commence during which all approximately 850 third-country operators will be assessed and authorised by the Agency.   The existing SAFA Guidance Material will be transferred and complemented with material for SACA (Safety Assessment of Community Aircraft) inspections; establishing the processes for the technical evaluation of SAFA Training Organisations.

2.6.1 Ramp inspection programmes (SAFA/SACA) Work Programme 2014

In view of implementing the new IRs concerning ramp inspections the activity will be focused on the following three areas: standardisation, coordination and internationalisation.   In the area of standardisation the process will be adapted to the new regulatory framework. For the coordination dimension, the process for the technical evaluation of SAFA Training Organisations will be established and the Ramp Inspection database will be prepared to support SACA inspections. For internationalisation, other strategic partners will be identified and negotiations with them will have to be initiated. Furthermore, the EU SAFA Programme will be promoted internationally.

Regular and ad-hoc analyses will be carried out and when needed the analytical methods will be improved.   Also the SAFA standardisation audits of the NAA of participating states, in accordance with the applicable standardisation Regulation, will be carried out and the support to the European Commission for Safety List activities will continue. Finally, it is foreseen to implement the MoU between EASA and IATA on Information Exchange.

2.6.2 Third Country Operators Work Programme 2014

It is expected that the TCO WP 2014 will be structured as follows:

Q1:   Final preparations and entry-into-force of TCO implementing regulation

Q2-3: start of the 6-months TCO application period to register applications and data from all TCO currently flying to EASA Member States

Q4:   Start of the 24-months transition period during which EASA will complete the assessment and TCO authorisation of all applicants
.

The working methods for the handling of new applications, renewals and changes to operations specifications, which includes a risk-based analysis and continuous monitoring programme for holders of an authorisation, will be implemented and adjusted when necessary.   To enable the above it is foreseen that the web-based TCO software applicationwhich will allow EASA and each TCO authorisation holder to update and manage relevant information and documentation will be implemented. This tool will include features to follow-up on non-compliance findings and to trace the history of operations specifications issued by the Agency.

It is also envisaged to establish a network of TCO focal points at all EASA Member States. During the TCO transition period, EASA MS will notify EASA of commercial entry permits issued to foreign air carriers at national level, so that EASA can appropriately manage the 'hand-over'

of these assessments from national to European level. For this purpose, MS NAA workshops are planned in Q1, 2014.

Furthermore, a methodology for the acceptance of mitigating measures for ICAO differences filed by the States of Operator will be implemented using ICAO's 'Electronic Filing of Differences' (EFOD) database.

In the area of USOAP/CMA activities and the confidence in the oversight capabilities of the State of Operator responsible for regarding the AOCs issued interaction with ICAO will continue. Finally, the support to the European Commission in the context of EC Regulation No 2111/2005 on the establishment of a Community list of air carriers subject to an operating ban within the Community will continue to the extent feasible considering the TCO authorisation workload and the TCO resourcing constraints.

2.7 *International Cooperation*

This activity is focused on two strategic fields:
   (i)   Contribute to the European Union external relations policy in aviation in particular through the implementation of bilateral agreements/arrangements and activities at multilateral level (ICAO);
   (ii) Support the enhancement of aviation safety world-wide through Technical Cooperation programmes in particular though the implementation of EU projects.

2.7.1 International Cooperation Work Programme 2014

- Support the European Commission in the negotiation of new annexes to the agreements with the US and Canada, namely in the areas of Licensing and Air Operations;;
- Continue the maintenance and implementation of the bilateral aviation safety agreements with the US and Canada. Start the implementation of the agreement with Brazil. Assist the Commission with the identification of candidate countries with whom such agreements could be negotiated; Supporting the European Commission in its negotiations of international agreements;
- Develop and/or negotiate working arrangements, in coordination with the Commission, to support the certification exercises and the export of European products. ;
- Technical Assistance missions to CAAs subject to Regulation (EC) No 2111/2005 in order to support them to meet international requirements;
- Consolidate the EASA role in the EC financed Civil Aviation Cooperation projects such as the Mediterranean Aviation Safety Coordination (MASC) Programme, the TRACECA (Central Asia) IPA II (Western Balkans), SATA and CEMAC in Africa and AATIP in South East Asia.;
- Support to the Regional Organisations such as South Asia Regional Initiatives (SARI) and South-East Asia Regional Initiatives Forum (SEARIF) in order to ensure the sustainability to EU projects; ACSA in Central-America as well as Regional Organisations in Africa such as UEMOA, CEMAC and CASSOA;
- Involvement in ICAO COSCAP Programmes, such as the Gulf States, and several regional projects in sub-Saharan Africa and Asia-Pacific;
- Support to the countries making use of EU regulations through the ICF (International Co-operation Forum). Coordination of the ICF network of focal points ICF and their activities; (every 18 months) organise the 3rd, 4th and 5th International Cooperation Forums.

2.8 *Support activities*

The support activities include Application and Procurement Services, Finance, Information Services, Corporate Services (F Directorate), Communication, Human Resources, Internal Audit (E Directorate), Legal (R Directorate) and Technical Training (S Directorate). The activity over the course of the planning period is consistent with the EASA Strategic Objectives.

2.8.1 Support activities Work Programme 2014
a. Applications management and Procurement services
- Complete the implementation of the revised Fees & Charges Regulation including new tariffs to ensure sufficient revenue and improve cost reflectivity for F&C activities;
- Roll out a web-portal enabling applicants to prepare and dispatch online-applications and to autonomously manage certain customer master data;
- Further enhance the efficiency of applications management, certification outsourcing and applicants invoicing through improved and simplified processes and automation where possible.

b. Finance Services
- Review and adapt the Agency's Financial Regulation based on the new Commission's Framework Financial Regulations for decentralised bodies that should be issued in 2013;
- Continue Agency communication on financial rules, best practices and procedures through various internal forums: Finance days, specific contacts with peers in other Directorates and user friendly and continuously updated intranet information.

c. Information Technology Services
- Integrate existing applications and further extend where required: HR-Systems, Standardisation Systems, ERP (project management, flexible time management, applicant access through web portal), Document Management System, Occurrence databases.

d. Corporate Services
- Continue phase 2 of the Information Management Programme, rolling out SharePoint foundation document management software to further processes identified in the annual plan;
- Ensure agreement on the future EASA offices in Cologne.

e. Legal Services
- Support the Agency in the domain of the new Fines and Penalties Regulation;
- Support to the development of the 2nd phase ATM and ADR rules and support to the implementation of 1st and 2nd extension rules;
- Strengthen EASA's role in the Just Culture discussion on regional and international level;
- Development and enhancement of key legal processes, in particular e.g. such as the WB process and the Art. 90(2) appeal process and the process for procuring external legal advice;
- Present the 'EASA perspective' in key aviation legal forums and start to establish an international network of 'governmental/university' professional legal aviation experts;
- Discuss (e.g. in a workshop) with legal counterparts of NAAs legal and institutional issues of common interest.

f. Communications
Reporting to the Executive Director, the Communications Department defines and implements the Agency's communications strategy. In line with EASA's strategic objectives and the

extension of the Agency's scope of responsibilities, the communication strategy in the coming year will focus on:

- Increased efforts to raise awareness and disseminate to all stakeholders (aviation sector, institutional audiences, and the public) Agency information and its effects, through:
  - o a proactive mode of communication with the media whenever necessary;
  - o regular interaction with the communications counterparts in the aviation industry, the NAA's, accident investigators and regulators from the major third countries and partner organizations such as IATA, Eurocontrol, SESAR, ASD, ACI, CANSO, AIA, AEA;
  - o the delivery of clear, accessible and coherent messages with the improvement of the online communication and the Agency publications (print and online);
  - o the organization of events to facilitate the implementation of the Agency's objectives.
  - o creation of an EASA magazine for external audiences
  - o restructuring of EASA website.
  - o communicate on the development of the Single European Sky activities.
- Protect the Agency's reputation and implement the crisis communications plan whenever necessary.
- Develop the internal communication of the Agency.

g. Audit & Quality

In 2014, the Agency will maintain its ISO9001:2008 certificate, obtained in 2010 and renewed in 2013. This means to carry on the implementation of recommendations from the renewal certification audit in 2013 and the continual improvement of its processes. In order to support the continual improvement of the Agency's Integrated Management System, dedicated benchmarking with European Agencies and a NAA quality exchange day will be conducted to exchange experience and lessons learned.

As with every year, the internal audit section will perform audits in accordance with the 2014 annual audit programme which is formulated utilising a risk based approach. The section will also coordinate the work of the Internal Audit Service (IAS) and other external audits, such as the European Court of Auditors. In addition, the section will ensure the maintenance of the IFACI certificate (IPPF Standards) obtained in 2010 and renewed in 2013. Finally, the audit section will coordinate the Agency's annual 2014 risk assessment exercise and when appropriate, will update the Agency's risk register.

h. Human Resources

The Professional and Organisational Development Department created in 2013 will continue to set-up a close link between attracting and selecting talent, performance management, training, mobility and the identification of potential in order to guarantee growth. Competencies will be identified and possible gaps will be addressed, with a particular emphasis being placed on expertise needed in the future.

The Personnel Administration Department, also created in 2013, will continue to ensure the efficient implementation of all regulatory provisions related to the conditions of employment.

A special attention will be dedicated to the application within EASA of any relevant change which may be introduced with the reform of the EU Staff Regulations, excepted to be adopted during 2013. Both the efficiency and the quality of administrative processes and of services to staff will benefit from renewed IT tools and databases, whose deployment started in 2013 and will be completed in 2014.

i. Technical Training

Technical Training will extend the scope of its activities to cover the 1st and 2nd extensions, addressing the needs of internal and external stakeholders. New courses and e-examinations will continue to be developed in-house, making optimal use of expertise within the Agency. A

major project is the competency-based training model for inspector qualification. New technologies will be harnessed to provide stakeholders with a compelling range of courses offered in various course formats. A key tool will be online registration, and payment, via the ELG. S.3 will also continue with its other major activities: procuring external training, managing the Technical Library and ELG..

3 The Agency's Key Performance Indicators

KEY PERFORMANCE AREA	EASA ACTIVITY AREAS			
	Certification & Approvals	**Rulemaking**	**Standardisation**	**Support**
Process/ Effectiveness	1. Efficiency of certification & approvals activities, including an acceptable level of continuing airworthiness oversight	2. Transparency and effectiveness in the rulemaking process	3. Adherence to safety standards through an efficient & effective Standardisation process	4. Efficiency of planning and support tasks to assist delivery of core activities
Stakeholders/ Customers	5.Industry satisfaction with certification and approvals process	6. Stakeholder satisfaction with rulemaking process	7. Stakeholder satisfaction with standardisation activities	8. Timeliness in the execution of key administrative tasks
Resources	9. Budget and internalisation policy adherence	10. Budget adherence & allocation of resources	11. Budget adherence and use of resources	12. Overall adherence to budget & capacity to limit support costs
Employees, learning and growth	13. Efficiency of human resources management and the development of staff			

Notes: The Key Performance Indicators have been developed by a Working Group of the FABS Advisory Group. The measurement of these indicators will be made via a 'lower level' set of indicators which are currently being measured by the Agency (outlined in the table below). The frequency of the measurement varies by indicator type, but in general they are measured and reported on either biannually or annually. These indicators will be reviewed by the FABS Advisory Group, which will report to the Management Board on the progress made. The FABS Advisory Group will review the KPI and the 'lower level' indicators with the Agency on at least an annual basis to ensure their continuing relevance and also to include any progress made in developing new indicators.

KEY PERFORMANCE AREA	EASA ACTIVITY AREAS			
	Certification & Approvals	**Regulation**	**Standardisation**	**Support**
Process/ Effectiveness	*Aim: Ensure an acceptable level of continuing airworthiness oversight* **1.1 Indicator: Number of yearly technical working hours performed as a percentage of planned hours (CAWR).**	*Aim: Implement rulemaking work programme* **2.1 Indicator: % of implementation of the Rulemaking Work Programme (only considering the task R committed for during the Year N of the adopted Rulemaking work Programme)**	*Aim: Efficiency and effectiveness of the Standardisation Inspection Programme* **3.1 Indicator: % of achieved visits against the approved Standardisation Inspection Programme** **Note\; new criterion for the planned scope in accordance with Com. Reg. 628/2013 will be introduced**	*Aim: Improve the efficiency and effectiveness of support processes* **4.1 Indicator: % of working hours allocated to support tasks agency-wide versus total hours (actual versus planned)**

Certification & Approvals — 1.1

%	2011	2012	Q1 2013	2014 Target
Result	88%	85%	77%	
Target	90%	90%	92%	81%

Aim: Ensure the certification and approval process is performed in a timely manner

1.2 Indicator : % of positive feedback received through stakeholders feedback questionnaires after completion of the various certification tasks.

%	2011	2012	Q1 2013	2014 Target
Result	-	-	n/a*	
Target	-	-	71%	70%

* This KPI was not measured in 2010 or 2011. The measurement for 2012 is on-going, results expected by Q3 2013.

Regulation — 2.1

	2011	2012	Q1 2013	2014 Target
Result	91%	>100%	3%	
Target	95%	95%	95%	95%

Aim: For EASA to discharge its obligations under the Basic Regulation to assist Member States in fulfilling their obligations under the Chicago Convention

2.2 Indicator: % of State Letter recommendations provided on time.

	2011	2012	Q1 2013	2014 Target
Result	100%	84%	100%	
Target	90%	90%	90%	90%

Aim: Efficiency of the rulemaking process and evolvement of stakeholder

2.3 Indicator : % of positive feedback received from stakeholders on the rulemaking process and its outcome

%	2012	Q1 2013	2014 Target
Result	61%	n/a	
Target	65%	65%	65%

Standardisation — 3.1

	2011	2012	Q1 2013	2014 Target
Result	127%	109%	96%	
Target	100%	100%	100%	100%

Note to Q1 2013: 1 insp. In FSTD cancelled on the request of the NAA

3.2 Indicator: %of Final Inspection Reports delivered to Member States within 10 weeks of the completion of the Inspection

Note: new relevant criteria based on the Com. Reg. 628/2013 will be introduced

%	2012	Q1 2013	2014 Target
Result	100%	90%	
Target	100%	100%	100%

Aim: To measure the progress of the introduction of risk elements in standardisation planning

3.3 Indicator : Progress towards the implementation of risk based CMA (Continuous Monitoring Approach)

Support — 4.1

2012	2011	2012	Q1 2013	2014 Target
Support Tasks	21%	21%	18%	24%
Total Hours	979,600	1,081,200	272,457	

Aim: Improve the efficiency of the debt recovery process

4.2 Indicator: Average number of days to cash recovery orders

	2011	2012	Q1 2013	2014 Target
Result	98	74	65.5	
Target	100	95	75	75

Aim: Improve the Agency response to formal safety recommendations

4.3 Indicator: % of new safety recommendations answered (i.e. actions decided & planned) in not more than 90 days

%	2011	2012	Q1 2013	2014 Target
Result	91%	97%	n.a.*	
Target	97%	97%		97.5%

* This results for this indicator are only available at the end of the each year.

%	2012	Q1 2013	2014	2015
Result	60%	70%		
Target	*	*	85%*	100%

KEY PERFORMANCE AREA	EASA ACTIVITY AREAS			
	Certification & Approvals	**Regulation**	**Standardisation**	**Support**
Stakeholders/ Customers	*Aim: Stakeholder (Industry) satisfaction* **5.1 Indicator: % of positive feedback received through stakeholders feedback questionnaires after completion of the various certification tasks**	*Aim: Stakeholder (Industry) satisfaction* **6.1 Indicator: % of positive feedback on the process and the outcome of the stakeholder consultation**	*Aim: Stakeholder (Industry) satisfaction* **7.1 Indicator: Standardisation stakeholder feedback for Preparatory phase and Visiting phase**	*Aim: Timeliness in the execution of key administrative tasks* **8.1a Indicator: % of applications for initial airworthiness certification related activities processed to task allocation within 5 working days from application receipt**

5.1 (Certification & Approvals)

%	2011	2012	Q1 2013	2014 Target
Result	71%	77%	n/a*	
Target	65%	71%	71%	76%
Response rate	30%	32%		

* Product Certification result only (excludes MRB of 82% satisfaction)
* Stakeholder survey results not yet available for 2013.

6.1 (Regulation)

%	2012	Q1 2013	2014 Target
Result	61%	n/a	
Target	65%	65%	65%

* Stakeholder survey results not yet available for 2013. Next survey will be launched in 2014. Results will be available in 2014 Q2.

7.1 (Standardisation)

Phase	2011	2012	Q1 2013	2014 Target
Preparatory	83%	83%	n/a*	80%
Visiting	84%	84%	n/a*	80%
Response rate	27%	51%		80%

7.2 Indicator: Average satisfaction for Standardisation Inspection and Follow up and closure

Phase	2011	2012	Q1 2013	2014 Target
Inspection	84%	85%	n/a*	80%
Follow up & closure	84%	n/a*	n/a*	80%
Response rate	29%			80%

8.1a (Support)

%	2011	2012	Q1 2013	2014 Target
Result	73%	80%	80%	
Target	75%	75%	80%	80%

8.1b Indicator: % of certificates issued within 2 working days from technical visa receipt

%	2011	2012	Q1 2013	2014 Target
Result	99%	88%	92%	
Target	80%	90%	90%	90%

8.2 Indicator: % of initial invoices prepared within 2 working days after the release of the project.

	2011	2012	Q1 2013	2014 Target
Result	81%	83%	83%	
Target	80%	80%	80%	80%

KEY PERFORMANCE AREA	EASA ACTIVITY AREAS			
	Certification & Approvals	**Regulation**	**Standardisation**	**Support**
Resources	*Aim: Budget adherence* **9.1 Indicator: Actual budget versus planned budget**	*Aim: Budget adherence* **10.1 Indicator: Actual budget versus planned budget**	*Aim: Budget adherence* **11.1 Indicator: Actual budget versus planned budget**	*Aim: Maintain high budget implementation rate* *12.1 Indicator: % of executed commitments compared to the forecast considering the whole annual budget* *

9.1 Indicator: Actual budget versus planned budget (Certification & Approvals)

	2012	Q1 2013	2014 Target
Result	84%	87%	
Target	98%	95%	95%

Aim: Internalise certification tasks in line with internalisation policy

9.2 Indicator: Internal hours performed as a % of total hours (actual versus planned)

	2012	Q1 2013	2014 Target
Result	76%	80%	
Target	74%	75%	76%

10.1 Indicator: Actual budget versus planned budget (Regulation)

	2012	Q1 2013	2014 Target
Result	91%	30%	
Target	98%	95%	95%

Aim: Split of time spend on production of rules and supporting processes

10.2 Indicator: Number of FTE spent on production of rules and FTE spent on support to rules

%	Q3 2013 Result	2014 Target
Target		35
Target		35

11.1 Indicator: Actual budget versus planned budget (Standardisation)

	2012	Q1 2013	2014 Target
Result	68%	77%	
Target	98%	95%	95%

12.1 Indicator: % of executed commitments compared to the forecast considering the whole annual budget *

	2011	2012	Q1 2013	2014 Target
Result	98%	97%	73.6%	
Target	98%	98%	95%	95%

*The overall budget execution includes Title 4 considered as fully committed.

Aim: Monitor support costs in comparison to total costs

12.2 Indicator: % of support costs versus the total costs (actual versus planned)

	2011	2012	Q 1 2013	2014 Target
Result	19%	19%	n/a*	19%

 * This results for Q1 2013 will be available in July.

Employees, learning and growth

Aim: Improve the efficiency of technical staff.

13. Indicator: number of technical hours (project work) as % of total hours

	2011	2012	Q1 2013	2014 Target
Result	43%	46%	54%	

KEY PERFORMANCE AREA	EASA ACTIVITY AREAS			
	Certification & Approvals	**Rulemaking**	**Standardisation**	**Support**
	Aim: Learning organisation **13.1a Indicator: % of positive feedback from staff with regard to training**			

Aim: Learning organisation

13.1a Indicator: % of positive feedback from staff with regard to training

	2011	2012	Q1 2013	2014 Target
Result	n/a*	n/a*	n/a*	
Target	76%	78%		

* This indicator is currently under review/revision and will be measured results for will be available in July 2014.

13.1b Indicator: Number of training days per member of staff

Average man-days	2011	2012	Q3 2013	2014 Target
General training	2.9	2.6	1.34	
Language training*	2.3	2.9	0.7	
total	5.2	5.5	2.04	

* figures resulting from the 1st semester;

Aim: Staff planning versus vacancy rate

13.2 **Indicator: % vacancy rate against the requested posts for the given years**

	2011	2012	Q3 2013
Result	0.2%	3.3%	7%

Aim: Overall well-being of the Agency

13.3 Indicator: Average Number of Sick Days per Full Time Equivalent

	2011	2012	2013	2014 Target
Result	7.2	6	9	9

4 Actions addressing the Risk Register linked to 2014

Each year, the Agency performs a risk assessment exercise in line with the methodology developed for EU organisations. During this assessment, the criticality of the risks, based on their likelihood of occurrence and potential impact are established. The following critical risks have been identified as specifically linked to 2014:

Change of Agency Governance: Change of Agency governance as result of Inter-institutional Working Group (IIWG) on Agencies.

Action to be taken: The Commission released a roadmap. The action will be defined when amendment to the Basic Regulation is launched.

Management of Conflict of Interest at Management Board: Failure to manage situations, in which a MB member has personal or professional interest, that compromise independence in decision-making or are perceived or might be perceived as compromising such independence.

Action to be taken: Implementation of Code of Conduct including Policy on Conflict of Interest and Policy on Gift and Hospitality.

Crisis management: Lack of or inappropriate crisis response in aviation

Actions to be taken: Review the crisis management process by improving basic crisis management techniques and by reconsidering Internal Crisis Operation Cell operation procedures.

Managing external communication: Inappropriate message management.
Actions to be taken: Keep procedures under review and modify as necessary

Fines and penalties regulation: Exposure as a result of non-implementing fines and penalties regulation (646/2012)

Actions to be taken: Send official letter to the EC making them aware of the issue.

Standardised safety level in Europe in areas of OPS/FCL and ATM/ANS: Failure to establish, and then maintain, the same level of safety across Europe through safety oversight of Member States in the areas of OPS, FCL, ATM and ANS.

Actions to be taken:
- Explore the creation of a pool of Flight OPS Inspectors among Member States
- EASA to implement revised regulation 736
- Explore alternative means by which pressure can be placed on NAAs to take action to enable findings to be closed in discussion with the Commission

Recruiting sufficient staff: Failure to recruit sufficient staff (both technical and administrative) with necessary competences, experiences, skills (incl. managerial).

Actions to be taken: Use of assessment centers in recruitment, establishing the Agency's reputation as an employer of choice, and ensure the retention of professional skills

Information management: Inappropriate or lack of documentation/information management system.

Action to be taken: Agency-wide programme on Information management under ExCom control.

5 Staff and budget

5.1 *Establishment Plan: Planned Temporary Agent posts per grade*

	2011	2012	2013[3]	2014[4]
Category	Posts filled on 31.12.11	Posts filled[5] on 31.12.12	Establishment Plan (Authorised)	Draft Budget (EASA proposal)°
AD16	0	0	0	0
AD15	2	2	2	2
AD14	5	5	14	18
AD13	7	9	21	26
AD12	22	21	37	42
AD11	14	15	60	66
AD10	49	67	84	89
AD9	80	76	107	114
AD8	77	85	100	90
AD7	95	105	75	64
AD6	76	78	46	29
AD5	16	17	5	3
Total AD	443	480	551	543
AST11	0	0	0	0
AST10	0	0	0	0
AST9	0	0	0	1
AST8	0	0	2	3
AST7	0	0	8	11
AST6	1	2	19	23
AST5	8	10	34	36
AST4	23	23	31	28
AST3	53	51	23	21
AST2	29	32	20	16
AST1	16	14	4	3
Total AST	130	132	141	142
Total EASA	573	612	692	685

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[3] Out of the 692 posts, the number of posts financed by the EU is 227
[4] Out of the 725 posts, the number of posts financed by the EU is 241, i.e. an increase of 14 posts when compared to 2013 reflecting the need for the implementation of new tasks.
[5] It has to be noted that 2 structural part-time pilots occupy only 1 post

5.2 *Planned Temporary Agent posts per activity[6]*

Temporary Agents	Actual EOY 2012	MSPP 2013 (Ref only)	Draft Budget 2014
	Total	Total	Total
Safety Assessment and Promotion	17	18	18
Regulation	79	81	79
Product Safety Oversight	246	287	277
Standardisation	43	53	52
Organisation Approvals	60	69	74
Operators	15	15	15
International Cooperation	16	16	17
Support Activities	136	153	153
Total Agency	**612**	**692**	**685**
Delta year on year		*80*	*-7*
F&C financed	**396**	**465**	**463**
Delta year on year		*69*	*-2*
Subsidy financed	**216**	**227**	**222**
Delta year on year		*11*	*-5*

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[6] Before Cross services hours reallocation

5.3 Planned Temporary Agent posts per organisational unit

Temporary Agents	Actual EOY 2012	MSPP 2013	Draft Budget 2014
	Total	*Total*	*Total*
C0 - Director's Office	3	3	3
C1 - Products	98	101	105
C2 - Experts	90	119	109
C4 - Certification Policy & Planning	6	7	7
C5 - ATM/ANS	2	3	4
Total C	**199**	**233**	**228**
Delta year on year		*34*	*-5*
S0 - Director's Office	3	5	5
S1 - Standardisation	46	49	50
S2 - Organisations	60	69	74
S3 - Technical Training	10	12	12
S4 - Operators	15	22	15
Total S	**134**	**157**	**156**
Delta year on year		*23*	*-1*
R0 - Director's Office	4	4	4
R2 - Environmental Protection	4	4	4
R3 - Flight Standards	24	23	23
R4 - Product Safety	18	19	18
R5 - ATM/Airport	17	17	18
R6 - Process Support	13	12	12
Total R	**80**	**79**	**79**
Delta year on year		*-1*	*0*
E0 - Director's Office	16	16	16
E1 - Communication	6	8	6
E2 - Safety Analysis & Research	17	31	31
E3 - Internal Audit & Quality	8	8	8
E4 - Policy Officers and Mail	5	4	3
E5 – Legal	15	15	15
E6 - Professional and Organisational Dep.	11	14	16
E7 - General Affairs Department	1	2	2
E8 - International Coop.	16	16	17
Total E	**95**	**114**	**114**

Delta year on year		*19*	*0*
F0 - Director's Office	4	4	4
F1 - Applications Services	39	33	33
F2 - Finance Services	27	29	28
F3 - Information Services	15	20	20
F4 - Corporate Services	10	10	10
F5 - Procurement Services Department		13	13
Total F	**95**	**109**	**108**
Delta year on year		*14*	*-1*
Total Agency	**603**	**692**	**685**
Delta year on year		89	-7
F&C financed	**396**	**465**	**463**
Delta year on year		69	-2
Subsidy financed	**216**	**227**	**222**
Delta year on year		11	-5

5.4   Budget 2014

(all figures are in €)

REVENUES	Executed Budget 2011	Executed Budget 2012[7]	1st amending Budget 2013	Budget 2014
1 REVENUE FROM FEES AND CHARGES	71,977,936	74,196,574	83,770,000	88,333,000
2 EUROPEAN COMMUNITY SUBSIDY	34,399,000	34,862,000	34,862,000	34,174,000
3 THIRD COUNTRIES CONTRIBUTION (incl. EFTA and candidate countries)	1,772,635	1,860,009	1,718,000	1,749,000
4 OTHER CONTRIBUTIONS	1,185,697	3,121,419	5,797,000	5,325,000
5 ADMINISTRATIVE OPERATIONS	11,530,764	951,491	900,000	950,000
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT	83,405	64,104	0	100,000
7 CORRECTION OF BUDGETARY IMBALANCES	0	0	24,197,273	18,428,000
TOTAL REVENUES	**110,949,436**	**115,055,607**	**151,224,273**	**149,059,000**
Fees and Charges total revenues[8]	72,775,133	75,069,308	107,695,273	107,640,000
Regulatory activities total revenues[9]	38,174,303	39,986,298	43,529,000	41,419,000

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[7] The final amount for the correction of budgetary imbalances will be inscribed with the 1st amending budget
[8] Revenues do not include the carried forward assigned revenues
[9] Regulatory activities total revenues include assigned revenues for international cooperation projects

EXPENDITURES	Executed Budget 2011	Executed Budget 2012[10]	1st amending Budget 2013	Budget 2014 °
T1 STAFF	57,895,754	64,418,774	71,286,000	79,200,000
T2 BUILDINGS EQUIPMENT	13,683,999	13,497,111	16,956,000	15, 890,000
T3 OPERATIONAL	43,044,144	44,198,284	37,730,000	39,843,000
T4 SPECIAL PROGRAMMES	456,679	1,695,632	5,325,000	5,797,000
T5 RESERVE[11]	0	0	18,428,273	9,848,000
TOTAL EXPENDITURES	**115,080,576**	**123,809,802**	**149,059,000**	**151,244,273**

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[10] The final amount for the correction of budgetary imbalances will be inscribed with the 1st amending budget.
[11] This appropriation is intended to cover expenditures funded by assigned revenue from F&C.

5.5 Expenditure breakdown per activity

(all figures are in € '000s)

			2012 actual	2014	2015
Fees and Charges activities	Product Cert. + Flight Std.	Revenues	49,780.84	63,495	64,707
		Title 1	(29,164)	(37,917)	(39,986)
		Title 2	(5,606)	(8,973)	(7,694)
		T3 Naa/QE	(11,691)	(14,586)	(13,205)
		Title 3	(5,503)	(3,949)	(4,471)
		Title 4	-	-	-
		Total	(2,183)	(1,930)	(649)
	Organisations	Revenues	24,072	25,717	26,613
		Title 1	(8,886)	(12,607)	(13,010)
		Title 2	(1,864)	(2,907)	(2,485)
		T3 Naa/QE	(8,774)	(9,419)	(9,602)
		Title 3	(2,507)	(1,432)	(1,734)
		Title 4	-	-	-
		Total	2,040	(649)	(218)
	Third Country Op.	Revenues	13	-	-
		Title 1	(569)	(0)	-
		Title 2	(112)	-	-
		T3 Naa/QE	-	-	-
		Title 3	(206)	-	-
		Title 4	-	-	-
		Total	(874)	(0)	-
		Reseve adj for new building		2,579	866
		Total F&C	(1,017)	(0)	0
Subsidy and other contributions		EC Subsidy	35,871	34,174	36,370
		Third Country contr	994	1,749	1,792
		Other income	1,170	5,497	4,201
	Third Country Op.	Title 1		(1,284)	(1,126)
		Title 2		(203)	(258)
		Title 3		(64)	(119)
		Title 4		-	-
		Total		(1,550)	(1,502)
	Standardisation	Title 1	(7,018)	(8,105)	(7,928)
		Title 2	(1,216)	(1,182)	(1,485)
		Title 3	(1,032)	(651)	(517)
		Title 4	-	-	-
		Total	(9,265)	(9,938)	(9,931)
	SAFA	Title 1	(1,111)	(910)	(899)
		Title 2	(226)	(168)	(213)
		Title 3	(171)	(316)	(232)
		Title 4		-	-
		Total	(1,508)	(1,394)	(1,344)
	Rulemaking	Title 1	(12,360)	(14,545)	(14,258)
		Title 2	(2,186)	(2,195)	(2,864)
		Title 3	(3,955)	(1,264)	(2,378)
		Title 4		-	-
		Total	(18,500)	(18,005)	(19,501)
	International Cooperation	Title 1	(2,379)	(1,654)	(1,576)
		Title 2	(654)	(716)	(909)
		Title 3	(1,624)	(373)	(478)
		Title 4		(5,325)	(4,029)
		Total	(4,657)	(8,069)	(6,992)
	Strategic Safety	Title 1	(2,704)	(2,177)	(2,156)
		Title 2	(573)	(611)	(860)
		Title 3	(765)	325	(77)
		Title 4	(0)	-	-
		Total	(4,042)	(2,463)	(3,092)
		Total Subsidy and other contr.	62	0	0

Attachment A: Fees & Charges-financed activities workload estimates

Product Certification

Technical workload (in hours)						
Activity	**2012 (Actual)**	**2014**	**2015**	**2016**	**2017**	**2018**
Certification (Initial Airworthiness)	**139,916**	**158,708**	**156,458**	**156,976**	**157,428**	**157,428**
Certification	*130,917*	*145,309*	*145,310*	*145,310*	*145,310*	*145,310*
Qualification of FSTD	*8,998*	*13,399*	*11,148*	*11,666*	*12,118*	*12,118*
Continuing Airworthiness (CAW)	**53,380**	**76,400**	**78,500**	**80,000**	**81,500**	**82,800**
Certification related services:	**34,571**	**53,734**	**52,290**	**50,890**	**49,490**	**46,590**
MRB	*18,512*	*22,000*	*20,550*	*19,150*	*17,750*	*14,850*
Related services to external stakeholders	*3,896*	*5,100*	*5,100*	*5,100*	*5,100*	*5,100*
OEB* (incl. future OSD mandatory activities and services upon request of industry)	*12,163*	*26,634*	*26,640*	*26,640*	*26,640*	*26,640*
Total Product Safety Oversight workload	**227,867**	**288,842**	**287,248**	**287,866**	**288,418**	**286,818**
Internal Workload	**169,591**	**227,879**	**230,984**	**232,927**	**234,879**	**236,179**
External Workload	**58,276**	**60,963**	**56,265**	**54,940**	**53,540**	**50,640**
Internalization rate	**74%**	**79%**	**80%**	**81%**	**81%**	**82%**

* 2012 OEB Actual value doesn't include NAAs working hours.

Organisation Approvals

Technical workload (in hours)						
Activity	**2012 (Actual)**	**2014**	**2015**	**2016**	**2017**	**2018**
EASA Design Organisation Approval	28,674	32,312	31,934	32,249	32,438	32,751
EASA Foreign Part 145 Approval	21,447	23,263	23,865	24,368	24,870	25,371
EASA Foreign Part 147 Approval	3,258	3,881	3,873	4,034	4,196	4,357
EASA POA Approval	9,963	12,754	13,541	14,335	14,791	15,212
EASA Export Certificate of AW	2,111	3,105	3,105	3,220	3,335	3,450
ATM/ANS Service Provider Organisation	917	4,182	2,280	2,280	2,280	2,280
Part - ORA ATO Approval	390	8,565	8,565	8,565	8,565	8,565
EASA Approval for AP to DOA	491	715	725	735	745	756
Changes to EASA DOA[12]	1,136	-	-	-	-	-
Other	2,318	3,214	3,483	3,763	4,018	4,241
Total Project workload	**70,704**	**91,991**	**91,370**	**93,549**	**95,237**	**96,982**
Internal workload	40,017	57,105	56,423	57,965	58,965	59,983
External workload	30,687	34,886	34,947	35,585	36,272	36,998
Internalisation Rate	**57%**	**62%**	**62%**	**62%**	**62%**	**62%**
Preparatory technical workload	54,588	35,000	35,000	35,000	35,000	35,000
Total Organisational Approvals workload	**125,292**	**126,991**	**126,370**	**128,549**	**130,237**	**131,982**

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[12] Changes to DOA" are now part of the "EASA Design Organisational Approval" total.

7 Attachment B: List of Acronyms

ACI	Airports Council International		ECAC ACC	ECAC Accident Investigation Expert Group
ACSA	Agencia Centroamericana para la Seguridad Aeronautica		ECAC ANCAT	Group of Experts on the Abatement of Nuisances caused by Air Transport
AD	Airworthiness Directives		ECAST	European Commercial Aviation Safety Team
AEA	Association of European Airlines		ECCAIRS	European Coordination Centre for Accident and Incident Reporting Systems
AeMCs	Aero Medical Centres			
AIA	Aerospace Industries Association		ECR	European Central Repository
AMC	Acceptable Means of Compliance		EGAST	European General Aviation Safety Team
ANC 12	ICAO's 12th Air Navigation Conference		EGNOS	European Geostationary Navigation Overlay Service
ANS	Air Navigation Services		EHEST	European Helicopter Safety Team
AOCs	Air Operator Certificate		ENACT	EASA/NAA Certification Transition Group
ARA	Authority Requirements for Aircrew			
ASD	AeroSpace and Defense Industries Association of Europe		ENCASIA	European Network of Safety Investigation Authorities
ATCO	Air Traffic Control Officer		EPA	European Part Approval
ATM	Air Traffic Management		ER	Existing Remit
BASA	Bilateral Aviation Safety Agreement		ERP	Enterprise Resource Planning
BP	Business Plan		ESSI	European Strategic Safety Initiatives
BPM	The Agency's Business Process Management tool		ETSO	European Technical Standard Order
BR	Basic Regulation		EU	European Union
C	Certification Directorate		EUROCAE	European Organisation for Civil Aviation Equipment
CAA	Civil Aviation Authority		F&C	Fees and Charges
CAEP	Committee on Aviation Environmental Protection		FAA	Federal Aviation Administration
CAN	Canada		FAB	Functional Airspace Block
CANSO	Civil Air Navigation Services Organisation		FAQ	Frequently Asked Questions
CAO	Continued Airworthiness Organisations		FAR	Federal Aviation Requirement
CASSOA	Civil Aviation Safety and Security Oversight Agency - East African Community		FCL	Flight Crew Licensing
			FCLOA	Flight Crew Licensing Organisation Approval
CAT	Commercial Air Transport		FSTD	Flight Simulation Training Devices
CAW	Continuing Airworthiness Activities		FTE	Flight Test Engineer
CEMAC	Communauté Economique et Monétaire d'Afrique Centrale		FTL	Flight Time Limitations
CMA	Continuous Monitoring Approach		FTO	Flight Training Organisation
COSCAP	Cooperative Development of Operational Safety & Continued Airworthiness Programme (ICAO)		FTTO	Flight Training and Testing Office
			HR	Human Resources
CQB	Central Question Bank		IATA	International Air Transport Association
CS	Certification Specification		IAW	Initial Airworthiness
DEVCO	Directorate General of Development and Cooperation		ICAO	International Civil Aviation Organisation
DOA	Design Organisation Approval		ICAO CAEP	ICAO Committee on Aviation Environmental Protection
EAB	EASA Advisory Board		ICAO COSCAP	ICAO Cooperative development of Operational Safety and Continuing Airworthiness Program
EARPG	European Aviation Research Partnership Group			
EASA	European Aviation Safety Agency		ICAO SARPS	ICAO Standards and Recommended Practices
EASp	European Aviation Safety Programme		ICAO USOAP	ICAO Universal Safety Oversight Audit Program
EC	European Commission			
ECAA	European Common Aviation Area		ICF	International Co-operation Forum
ECAC	European Civil Aviation Conference		IORS	Internal Occurrence Reporting System

IR	Implementing Rules		SPOA	Single Production Organisation Approval
IRIS	ESA programme to support SESAR under the umbrella of ESA's ARTES (ARTES 10) programme		SPP	Staff Policy Plan
			SSCC	Safety Standards Consultation Committee (EASA)
ISO	International Standards Organisation		TCCA	Transport Canada Civil Aviation
IS	Information Services		TCO	Third Country Operator
JAA	Joint Aviation Authority		TRACECA	Transport Corridor Europe-Caucasus-Asia
JAR	Joint Aviation Requirement		TRTOs	Type Rating Training Organisations
JOEB	Joint Operational Evaluation Board		UAS	Unmanned Air Ship
KPI	Key Performance Indicator		UEMOA	Union Economique et Monétaire Ouest Africaine
LPL	Leisure Pilot Licence		US	United States
MASC	Mediterranean Aviation Safety Coordination		USOAP	Universal Safety Oversight Audit Programme
MB	Management Board (EASA)		WA	Working Arrangement
MIST	Maintenance International Standards Team		WP	Work programme
MMEL	Master Minimum Equipment List			
MOA	Maintenance Organisation Approval			
MoU	Memorandum of Understanding			
MRB	Maintenance Review Board			
MS	Member State			
MTOA	Maintenance Training Organisation Approval			
NAA	National Aviation Authority			
NPA	Notice for Proposed Amendment			
NETS	Navigation towards Enhanced Transparency System			
NEXTGEN	US' SESAR program – Next Generation			
OEB	Operational Evaluation Board			
OPS	Operations			
ORA	Organisation Requirements for Aircrew			
OSC	Operational Suitability Certificate			
OSD	Operational Suitability Data			
POA	Production Organisation Approval			
PBN	Performance Based Navigation			
PRB	Performance Review Board			
QE	Qualified Entities			
R&D	Research and Development			
RF	Registered Facility			
RIA	Regulatory Impact Assessment			
SACA	Safety Assessment of Community Aircraft			
SAFA	Safety Assessment of Foreign Aircraft			
SARI	South Asia Regional Initiatives			
SEARIF	South-East Asia Regional Initiatives Forum			
SES	Single European Sky			
SESAR	Single European Sky ATM Research			
SIA	Safety Investigation Authority			
SIB	Safety Information Bulletins			
SL	State Letters			
SMS	Safety Management System (ICAO)			
SNE	Seconded National Expert			