



European Aviation Safety Agency

Draft Work Programme 2014



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# 1 Executive Summary

This Draft Work Programme (DWP) represents the EASA plan of activities for 2014 and is based on the Business Plan (BP) 2013-2017 approved by the Management Board on the 11<sup>th</sup> of December 2012. The tasks described in the Draft 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'<sup>1</sup>.

As already announced in the Business Plan, due to increasing financial constraints, the Agency paid specific attention to resources optimization and to find the right balance between operational and support expenses. The estimates take into account the difficult budget environment and the request from the European Commission, on the occasion of the budget 2014 submission exercise launched in January 2013, to further reduce the staff level by 2% after a 1% cut in 2013. On the other side, EASA has been classified as "new tasks"<sup>2</sup> Agency in 2014, reflecting the new mandates still to be implemented in the field of ATM, Aerodromes, OSD, SAFA and TCO for which additional resources are needed.

Some planned activities described in the Draft Work Programme 2014 might not be possible in case the level of resources is further reduced. In addition the planning for the specific activities is dependent on the development and effective entry in to force of the related implementing rules including possible transition periods.

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

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<sup>1</sup> 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'

<sup>2</sup> This is fully supported by the European Parliament in its Resolution of 23 October 2012 on the Council position on the draft general budget of the European Union for the financial year 2013 - all sections (12749/2012 – C7-0233/2012 – 2012/2092(BUD)) that mentions "Is aware that certain agencies (such as Europol, EASA, ACER) have to implement additional tasks in 2013 which might not be reflected in the allocated budget or establishment plan for 2013; requests from the Commission, in case of necessity, to propose timely an Amending Budget for the respective agency; expects from the Commission further to present a new financial statement when a legislative procedure has been finalised by Parliament and the Council extending the mandate of an agency; is alert that such an extension might require additional resources which would need to be agreed upon by the budgetary authority;



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 revised Commission Regulation 736/2006. Further steps to intensify the cooperation with ICAO with regard to the integration 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 undermining 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 approximately 400 applications will be processed. 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. Safety Advancement, Planning, Promotion and Initiatives**

###### European Aviation Safety Programme & Plan, Publications and Safety Teams

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, 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. Safety Analysis & Reporting**

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.

###### Safety Reports, Performance and Data

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 in Europe. Analysis requires good data; the Agency continues to make available updated quality rules, workshops and training as well as playing a major role in the development of aviation taxonomies.

###### Occurrence Reporting Systems

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.



**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. Safety Investigations**

**Response and Follow-Up of Investigations**

The Agency works with and supports the activities of European Network of Civil Aviation Safety Investigation Authorities (ENCASIA). 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;
- 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. Production of new rules

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

#### b. Support to rules

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).

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<sub>2</sub> 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:

- Initial airworthiness and environmental certification of aeronautical products, parts and appliances (including approval of changes, repairs, flight conditions and related documents);
- Continuing airworthiness oversight (including mandatory corrective actions);
- 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). In July 2012 the new Commission Regulation (EU) No 646/2012 on Fines and Periodic Penalties entered into force to compel persons and undertakings to which the Agency has issued a certificate to comply with the Regulation (EC) 216/2008 and its Implementing rules. Once 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 2013. Implications on the 2014 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. Dassault Falcon SMS, Airbus A350, Bombardier Global 7000). 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 revised Commission Regulation 736/2006 (entry into force currently expected by the end of 2013), 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 will gradually grow in line with the EU policy towards neighbouring Countries, and may include up to 51 States on the basis of the WAs signed with the MASC Countries (Morocco, Tunisia, Lebanon, Jordan, Israel). In addition Croatia will join the European Union and this event will require a special effort in order to support the new member state in its integration process. 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 inspections in accordance with Regulation (EC) 736/2006, 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 if this is not approved, the first round of inspections may 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, 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. SAFA**

In 2014 the SAFA standardisation audits of the NAA of participating states in accordance with Reg. EC 736/2006 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**

Preparatory work in the field of Aerodromes should continue in 2014 with the recruitment of the relevant Section Manager who will focus on developing proactive measures, such as standardisation meetings and road-shows, to help States prepare for the upcoming IRs.

## **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 approximately 400 applications will be processed. 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, focusing mainly on exporting the European System to other regional organisations.

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 Reg. EC 736/2006, 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**

In 2014 several activities will be performed according to the final implementation rules and only after their entry into force. To ensure the necessary resources are available for these activities the initial recruitment plan for the TCO section will be completed. In implementing the framework of the transition period and ensuring a smooth phase-in of the transition programme it is expected that approximately 400 applications will need to be processed.

The working methods for the handling of new applications, renewals and changes to operations specifications, which includes a risk-based analysis and transparent surveillance methodology for holders of an authorisation, will be implemented and adjusted when necessary. To enable the above it is foreseen that the web-based IT tool which 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 trace the history of operations specifications issued by the Agency.

Following the entry into force of the IR the working methods for conducting inspections of Third Country Operators will be implemented and adjusted if necessary, including the implementation of a suitable software application for the administration and follow-up of non-compliances.

It is also envisaged to carry out a complete range of information activities aimed at communicating to stakeholders involved in the European approach to, and conduct of, Third Country Operator authorisations. Furthermore, the analysis of differences filed against ICAO SARPs will be supported. In the area of USOAP/CMA activities and the confidence in the oversight capabilities of the State of Operator regarding the AOCs issued interaction with ICAO will take place. Finally, the support to the European Commission in the context of EC Regulation No 2111/2005 of the European Parliament and of the Council of 14 December 2005 on the establishment of a Community list of air carriers subject to an operating ban within the Community will continue.



## **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 through 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 area of the first extension;
- Continue the maintenance and implementation of the agreements with US and Canada. Start the implementation of the agreement with Brazil. Start the preparation of an agreement with Japan;
- 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 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 a 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:
  - a proactive mode of communication with the media whenever necessary;
  - 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;
  - the delivery of clear, accessible and coherent messages with the improvement of the online communication and the Agency publications (print and online);
  - the organization of events to facilitate the implementation of the Agency's objectives.
  - creation of an EASA magazine for external audiences
  - restructuring of EASA website.
  - 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 EASA Academy, whose establishment is a key objective for 2013, will continue to develop. The Academy will function for both our existing training activities (General and Technical Training) and its work will be directly linked to the competencies and expertise identified by the Professional and Organisational Development Department. 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, expected 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**

In 2014 Technical Training will focus on the development and implementation of EASA Academy. The Academy, in partnership with all its stakeholders, will enable the provision of aviation safety training services using internal and external expertise to complement the existing systems. As part of the implementation the EASA Academy courses prospectus will need to be developed and the availability of training should increase for Industry, 3<sup>rd</sup> Countries and academia. With the adoption of this new operational setting the training activities should be streamlined taking the new customer base needs into account.

Furthermore Technical Training will in coordination with General Training develop the Competencies Frameworks for the Agency. Technical Training will also continue with the development of the Internal Inspector Qualification Programme and, together with EASA experts, develop the QDB for e-examination of EASA Inspectors.



### 3 The Agency's Key Performance Indicators

KEY PERFORMANCE AREA	EASA ACTIVITY AREAS			
	Certification & Approvals	Rulemaking	Standardisation	Support
<b>Process/ Effectiveness</b>	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
<b>Stakeholders/ Customers</b>	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
<b>Resources</b>	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
<b>Employees, learning and growth</b>	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	Rulemaking	Standardisation	Support
Process/ Effectiveness	<p><i>Aim: Ensure an acceptable level of continuing airworthiness oversight</i></p> <p>1.1 Indicator: Number of yearly technical working hours performed as a percentage of planned hours (CAWR).</p> <p><i>Aim: Ensure the certification and approval process is performed in a timely manner</i></p> <p>1.2 Indicator: : % of positive feedback received through stakeholders feedback questionnaires after completion of the various certification tasks.</p>	<p><i>Aim: Implement rulemaking work programme</i></p> <p>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)</p> <p><i>Aim: For EASA to discharge its obligations under the Basic Regulation to assist Member States in fulfilling their obligations under the Chicago Convention</i></p> <p>2.2 Indicator: % of State Letter recommendations provided on time.</p> <p><i>Aim: Efficiency of the rulemaking process and evolvement of stakeholder</i></p> <p>2.3 Indicator : % of positive feedback received from stakeholders on the rulemaking process and its outcome</p>	<p><i>Aim: Efficiency and effectiveness of the Standardisation Inspection Programme</i></p> <p>3.1 Indicator: % of achieved visits against the approved Standardisation Inspection Programme</p> <p>3.2 Indicator: %of Final Inspection Reports delivered to Member States within 12 weeks of the completion of the Inspection</p> <p><i>Aim: To measure the progress of the introduction of risk elements in standardisation planning</i></p> <p>3.3 Indicator : Progress towards the implementation of risk based CMA (Continuous Monitoring Approach)</p>	<p><i>Aim: Improve the efficiency and effectiveness of support processes</i></p> <p>4.1 Indicator: % of working hours allocated to support tasks agency-wide versus total hours (actual versus planned)</p> <p><i>Aim: Improve the efficiency of the debt recovery process</i></p> <p>4.2 Indicator: Average number of days to cash recovery orders</p> <p><i>Aim: Improve the Agency response to formal safety recommendations</i></p> <p>4.3 Indicator: % of new safety recommendations answered (i.e. actions decided &amp; planned) in not more than 90 days</p>
Stakeholders/ Customers	<p><i>Aim: Stakeholder (Industry) satisfaction</i></p> <p>5.1 Indicator: % of positive feedback received through stakeholders feedback questionnaires after completion of the various certification tasks</p> <p><i>Aim: Ensure the allocated time for certification and approval tasks is in line with stakeholders needs</i></p> <p>5.2 Indicator: % of positive feedback received through stakeholders feedback concerning agreement on delivery date.</p>	<p><i>Aim: Stakeholder satisfaction</i></p> <p>6.1 Indicator: % of positive feedback on the process and the outcome of the stakeholder consultation</p>	<p><i>Aim: Stakeholder (NAA) satisfaction</i></p> <p>7.1 Indicator: Standardisation stakeholder feedback for Preparatory phase and Visiting phase</p> <p>7.2 Indicator: Average satisfaction for Standardisation Inspection and Follow up and closure</p>	<p><i>Aim: Timeliness in the execution of key administrative tasks</i></p> <p>8.1a Indicator: % of applications for initial airworthiness certification related activities processed to task allocation within 5 working days from application receipt</p> <p>8.1b Indicator: % of certificates issued within 2 working days from technical visa receipt</p> <p>8.2 Indicator: % of initial invoices prepared within 2 working days after the release of the project.</p>



KEY PERFORMANCE AREA	EASA ACTIVITY AREAS			
	Certification & Approvals	Rulemaking	Standardisation	Support
Resources	<p><i>Aim: Budget adherence</i> 9.1 Indicator: Actual budget versus planned budget</p> <p><i>Aim: Internalise certification tasks in line with internalisation policy</i> 9.2 Indicator: Internal hours performed as a % of total hours (actual versus planned)</p>	<p><i>Aim: Budget adherence</i> 10.1 Indicator: Actual budget versus planned budget</p> <p><i>Aim: Split of time spend on production of rules and supporting processes</i> 10.2 Indicator: FTE spent on production of rules and FTE spent on improving processes managed by Rulemaking as % of planned FTE</p>	<p><i>Aim: Budget adherence</i> 11.1 Indicator: Actual budget versus planned budget</p> <p><i>Aim: Adequate number of qualified inspectors available and used in standardisation visits</i> 11.2 Indicator: Number of Inspectors used from 'pool of inspectors' as % of total team members on a visit</p>	<p><i>Aim: Maintain high budget implementation rate</i> 12.1 Indicator: % of executed commitments compared to the forecast considering the whole annual budget</p> <p><i>Aim: Monitor support costs in comparison to total costs</i> 12.2 Indicator: % of support costs versus the total costs (actual versus planned)</p>
Employees, learning and growth	<p><i>Aim: Improve the efficiency of technical staff.</i> 13. Indicator: number of technical hours (project work) as % of total hours</p> <p><i>Aim: Learning organisation</i> 13.1a Indicator: % of positive feedback from staff with regard to training 13.1b Indicator: Number of training days per member of staff</p> <p><i>Aim: Staff planning versus vacancy rate</i> 13.2 Indicator: % vacancy rate assessed against the expected year end vacancy rate</p> <p><i>Aim: Overall well-being of the Agency</i> 13.3 Indicator: Average Number of Sick Days per Full Time Equivalent</p>			



## **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. This exercise will be next performed in May and therefore the result will be taken into account when the Work Programme is prepared and presented in September of 2013.



## 5 Staff and budget

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

	2011	2012	2013 <sup>3</sup>	2014 <sup>4</sup>	2014
Category	Posts filled on 31.12.11	Posts filled <sup>5</sup> on 31.12.12	Establishment Plan (Authorised)	Draft Budget (EASA proposal) <sup>o</sup>	Draft Budget(EC proposal)
AD16	0	0	0	1	
AD15	2	2	2	1	
AD14	5	5	14	18	
AD13	7	9	21	26	
AD12	22	21	37	42	
AD11	14	15	60	65	
AD10	49	67	84	89	
AD9	80	76	107	116	
AD8	77	85	100	97	
AD7	95	105	75	85	
AD6	76	78	46	45	
AD5	16	17	5	3	
<b>Total AD</b>	<b>443</b>	<b>480</b>	<b>551</b>	<b>588</b>	
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	29	
AST3	53	51	23	21	
AST2	29	32	20	18	
AST1	16	14	4	5	
<b>Total AST</b>	<b>130</b>	<b>132</b>	<b>141</b>	<b>147</b>	
<b>Total EASA</b>	<b>573</b>	<b>612</b>	<b>692</b>	<b>735</b>	

<sup>3</sup> Out of the 692 posts, the number of posts financed by the EU is 227

<sup>4</sup> 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.

<sup>5</sup> It has to be noted that 2 structural part-time pilots occupy only 1 post



## 5.2 Planned Temporary Agent posts per activity<sup>6</sup>

<u>Temporary Agents</u>	<u>Actual EOY 2012</u>	<u>MSPP 2013 (Ref only)</u>	<u>Draft Budget 2014 (EASA Proposal)</u>	<u>Draft Budget 2014 (EC Proposal)</u>
	<u>Total</u>	<u>Total</u>	<u>Total</u>	<u>Total</u>
Safety Assessment and Promotion	17	18	18	
Regulation	79	81	83	
Product Safety Oversight	246	287	309	
Standardisation	43	53	54	
Organisation Approvals	60	69	69	
Operators	15	15	33	
International Cooperation	16	16	16	
Support Activities	136	153	153	
<b>Total Agency</b>	<b>612</b>	<b>692</b>	<b>735</b>	
<i>Delta year on year</i>		80	43	
<b>F&amp;C financed</b>	<b>396</b>	<b>465</b>	<b>487</b>	
<i>Delta year on year</i>		69	22	
<b>Subsidy financed</b>	<b>216</b>	<b>227</b>	<b>248</b>	
<i>Delta year on year</i>		11	21	

<sup>6</sup> Before Cross services hours reallocation





### 5.3 Planned Temporary Agent posts per organisational unit

Temporary Agents	Actual EOY 2012	MSP 2013 (Ref only)	Draft Budget 2014 (EASA Proposal)	Draft Budget 2014 (EC Proposal)
	Total	Total	Total	Total
C0 - Director's Office	3	3	3	
C1 - Products	98	110	109	
C2 - Experts	90	114	133	
C4 - Certification Policy & Planning	6	7	7	
C5 - ATM/ANS	2	2	4	
<b>Total C</b>	<b>199</b>	<b>236</b>	<b>256</b>	
<i>Delta year on year</i>		34	20	
S0 - Director's Office	3	5	5	
S1 - Standardisation	46	49	57	
S2 - Organisations	60	69	69	
S3 - Technical Training	10	12	12	
S4 - Operators	15	22	33	
<b>Total S</b>	<b>134</b>	<b>157</b>	<b>176</b>	
<i>Delta year on year</i>		12	19	
R0 - Director's Office	4	4	4	
R1 - International Cooperation	16	16	16	
R2 - Environmental Protection	4	4	8	
R3 - Flight Standards	24	23	19	
R4 - Product Safety	18	19	21	
R5 - ATM/Airport	17	17	17	
R6 - Process Support	13	14	14	
R7 - Legal	15	15	15	
<b>Total R</b>	<b>111</b>	<b>112</b>	<b>114</b>	
<i>Delta year on year</i>		1	2	
E0 - Director's Office	6	6	6	
E1 - Communication	6	8	8	
E2 - Strategic Safety Analysis & Research	17	18	18	
E3 - Internal Audit & Quality	8	8	8	
E4 - Policy Officers and Mail	5	4	4	
E5 - Human Resources	19	22	22	
E6 - SIRD	11	13	13	
E7 - General Affairs Department	1	1	1	
<b>Total E</b>	<b>73</b>	<b>80</b>	<b>80</b>	
<i>Delta year on year</i>		6	0	
F0 - Director's Office	4	4	4	
F1 - Applications & Procurement Services	39	43	45	
F2 - Finance Services	27	29	29	
F3 - Information Services	15	21	21	
F4 - Corporate Services	10	10	10	
<b>Total F</b>	<b>95</b>	<b>107</b>	<b>109</b>	
<i>Delta year on year</i>		5	2	
<b>Total Agency</b>	<b>612</b>	<b>692</b>	<b>735</b>	
<i>Delta year on year</i>		80	43	
<b>F&amp;C financed</b>	<b>396</b>	<b>465</b>	<b>487</b>	
<i>Delta year on year</i>		69	22	
<b>Subsidy financed</b>	<b>216</b>	<b>227</b>	<b>248</b>	
<i>Delta year on year</i>		11	21	



## 5.4 Budget 2014

(all figures are in € '000s)

REVENUES	Executed Budget 2011	Executed Budget 2012 <sup>7</sup>	Executed Budget 2013	Draft Budget 2014 (EASA Proposal) <sup>°</sup>	Draft Budget 2014 (EC Proposal)
1 REVENUE FROM FEES AND CHARGES	71,977,936	74,196,574	91,869,000	102,368,000	
2 EUROPEAN COMMUNITY SUBSIDY	34,399,000	34,862,000	34,862,000	36,469,000	
3 THIRD COUNTRIES CONTRIBUTION (incl. EFTA and candidate countries)	1,772,635	1,860,009	1,718,000	1,790,000	
4 OTHER CONTRIBUTIONS	1,185,697	3,121,419	5,397,000	5,091,000	
5 ADMINISTRATIVE OPERATIONS	11,530,764	951,491	900,000	900,000	
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT	83,405	64,104	0	0	
7 CORRECTION OF BUDGETARY IMBALANCES	0	0	14,788,865	14,144,865	
<b>TOTAL REVENUES</b>	<b>110,949,436</b>	<b>115,055,607</b>	<b>149,534,865</b>	<b>160,762,865</b>	
<b>Fees and Charges total revenues<sup>8</sup></b>	<b>72,775,133</b>	<b>75,069,308</b>	<b>107,405,865</b>	<b>117,260,865</b>	
<b>Regulatory activities total revenues<sup>9</sup></b>	<b>38,174,303</b>	<b>39,986,298</b>	<b>42,129,000</b>	<b>43,502,000</b>	

<sup>7</sup> The final amount for the correction of budgetary imbalances will be inscribed with the 1<sup>st</sup> amending budget

<sup>8</sup> Revenues do not include the carried forward assigned revenues

<sup>9</sup> Regulatory activities total revenues include assigned revenues for international cooperation projects



EXPENDITURES	Executed Budget 2011	Executed Budget 2012 <sup>10</sup>	Executed Budget 2013	Draft Budget 2014 (EASA Proposal) <sup>o</sup>	Draft Budget 2014 (EC Proposal)
T1 STAFF	57,895,754	64,418,774	71,476,000	80,723,000	
T2 BUILDINGS EQUIPMENT	13,683,999	13,497,111	15,842,000	15,189,000	
T3 OPERATIONAL	43,044,144	44,198,284	49,675,000	52,552,000	
T4 SPECIAL PROGRAMMES	456,679	1,695,632	5,397,000	5,091,000	
T5 RESERVE <sup>11</sup>	0	0	7,144,865	7,207,865	
<b>TOTAL EXPENDITURES</b>	<b>115,080,576</b>	<b>123,809,802</b>	<b>149,534,865</b>	<b>160,762,865</b>	

<sup>10</sup> The final amount for the correction of budgetary imbalances will be inscribed with the 1<sup>st</sup> amending budget.

<sup>11</sup> 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)

NB: the financial projections below need to be adjusted following the revised priorities of the Agency in case of approval of the proposed budget reduction

ACTIVITY	TITLE	2011 (accrual accounting)	2012 (accrual accounting)*	Budget 2013	Draft Budget 2014 (EASA proposal)	Draft Budget 2014 (EC proposal)
Product Cert. + Flight Std.	Title 1	(25,095.0)		(33,759.0)	(37,689.4)	
	- Title 2	(5,652.0)		(7,819.3)	(8,091.1)	
	- T3 Naa/QE	(8,838.0)		(20,072.0)	(24,280.0)	
	- Title 3	(5,863.0)		(4,188.1)	(3,978.1)	
	- Title 4	-		-	-	
	<b>TOTAL</b>	<b>(45,448.0)</b>		<b>(65,838.4)</b>	<b>(74,038.6)</b>	
Organisations	Title 1	(8,239.0)		(10,563.4)	(11,365.0)	
	- Title 2	(1,875.0)		(2,606.3)	(2,493.7)	
	- T3 Naa/QE	(9,487.6)		(10,503.0)	(10,403.0)	
	- Title 3	(1,745.4)		(1,455.9)	(1,520.9)	
	- Title 4	-		-	-	
	<b>TOTAL</b>	<b>(21,347.0)</b>		<b>(25,128.7)</b>	<b>(25,782.6)</b>	
Third Country Op.	Title 1	(585.0)		(967.5)	(2,359.6)	
	- Title 2	(174.0)		(299.4)	(466.2)	
	- T3 Naa/QE	-		-	-	
	- Title 3	(143.0)		(382.0)	(468.0)	
	- Title 4	-		-	-	
	<b>TOTAL</b>	<b>(902.0)</b>		<b>(1,648.9)</b>	<b>(3,293.8)</b>	
Standardisation	Title 1	(6,005.0)		(7,379.1)	(9,523.7)	
	- Title 2	(1,160.0)		(1,303.5)	(1,126.2)	
	- Title 3	(640.0)		(1,054.0)	(992.0)	
	- Title 4	-		-	-	
	- <b>Total</b>	<b>(7,805.0)</b>		<b>(9,736.6)</b>	<b>(11,641.9)</b>	
SAFA	Title 1	(985.0)		(1,086.4)	(1,071.6)	
	- Title 2	(207.0)		(215.7)	(183.5)	
	- Title 3	(77.0)		(134.0)	(139.0)	
	- Title 4	-		-	-	
	- <b>Total</b>	<b>(1,269.0)</b>				



-			(1,436.1)	(1,394.1)	
Rulemaking	Title 1	(10,653.0)	(11,650.5)	(12,607.0)	
-	Title 2	(2,103.0)	(2,184.5)	(1,723.0)	
-	Title 3	(2,702.0)	(3,162.0)	(2,712.0)	
-	Title 4	-	-	-	
-	<b>Total</b>	(15,458.0)	(16,997.0)	(17,042.0)	
International Cooperation	Title 1	(2,680.0)	(3,119.9)	(2,983.9)	
-	Title 2	(614.0)	(592.6)	(445.6)	
-	Title 3	(1,480.0)	(369.0)	(469.0)	
-	Title 4	(722.0)	(5,397.0)	(5,091.0)	
-	<b>Total</b>	(5,496.0)	(9,478.5)	(8,989.5)	
Strategic Safety	Title 1	(3,021.0)	(2,950.0)	(3,122.8)	
-	Title 2	(828.0)	(820.8)	(659.7)	
-	Title 3	236.0	(710.0)	(652.0)	
-	Title 4	-	-	-	
-	<b>Total</b>	(3,613.0)	(4,480.8)	(4,434.5)	
Total EASA	Title 1 Staff	(57,848.0)	-	(71,476.0)	(80,723.0)
	Title 2 Building equipemnt	(12,787.0)	-	(15,842.0)	(15,189.0)
	Title 3 Operational (incl Naa/QE)	(30,883.0)	-	(42,030.0)	(45,614.0)
	Title 3 Working capital			(7,645.0)	(6,938.0)
	Title 4	(722.0)	-	(5,397.0)	(5,091.0)
	Title 5 Reserve			(7,144.9)	(7,207.9)
	<b>Total</b>	(102,240.0)	-	(149,534.9)	(160,762.9)

\*Will be included as soon as available



## Attachment A: Fees & Charges-financed activities workload estimates

### Product Certification

Technical workload (in hours )								
Activity	2011 (Actual)	2012 (Actual)**	2013	2014	2015	2016	2017	delta '11 to '17
Certification (Initial Airworthiness):	141,937		157,171	165,101	160,865	161,377	161,894	14%
<i>Certification</i>	141,937		137,315	144,300	144,300	144,300	144,300	2%
<i>Qualification of FSTD</i>	-		19,856	20,801	16,565	17,077	17,594	
Continuing Airworthiness (CAW):	47,215		70,800	76,900	78,500	80,000	81,500	73%
Certification related services:	27,342		63,300	91,400	91,900	92,400	92,400	238%
<i>MRB</i>	15,973		27,400	27,900	28,400	28,900	28,900	81%
<i>Related services to external stakeholders (CSV + Technical advice)</i>	2,034		8,600	8,600	8,600	8,600	8,600	323%
<i>OEB* (incl. future OSD mandatory activities and services upon request of industry)</i>	9,335		27,300	54,900	54,900	54,900	54,900	488%
<b>Total Product Safety Oversight workload:</b>	<b>216,494</b>		<b>291,271</b>	<b>333,401</b>	<b>331,265</b>	<b>333,777</b>	<b>335,794</b>	<b>55%</b>
Internal Workload	159,673		216,868	245,306	250,224	254,262	256,592	61%
External Workload	56,821		74,402	88,095	81,041	79,515	79,203	39%
Internalization rate	74%		74%	74%	76%	76%	76%	
* 2011 and 2012 OEB values don't include NAAs working hours.								
** Will be updated as soon as data on external hours is available								



## Organisation Approvals

Technical workload (in hours)								
Activity	2011 (Actual)	2012 (Actual)**	2013	2014	2015	2016	2017	delta '11 to '17
Design Organisations	6,853		8,952	10,003	11,034	12,066	12,066	76%
Alternative Procedure to DOA	774		444	444	444	444	444	-43%
POA	561		1,416	1,229	1,041	854	854	52%
ECoFA	1,718		1,850	1,850	1,850	1,850	1,850	8%
ATO	0		1,050	1,050	1,050	1,050	1,050	
Foreign part 145 app	2,493		1,739	1,739	1,727	1,727	1,727	-31%
Foreign part 147 app	660		547	547	936	1,325	1,325	101%
AOA	0		1,962	800	400	400	400	
Other	1,005		2,212	900	500	500	500	-50%
Oversight	50,372		43,261	44,721	45,967	47,112	47,522	-6%
Total Project Workload	64,434		63,433	63,283	64,950	67,328	67,738	5%
Preparatory technical workload	44,086		44,684	46,731	45,654	43,276	42,866	-3%
Total Workload	108,520		108,081	110,014	110,604	110,604	110,604	2%
Internal Workload	34,339		30,725	31,561	33,223	35,450	35,592	4%
External Workload	30,095		32,708	31,721	31,727	31,879	32,146	7%
Internalisation rate	53%		48%	50%	51%	53%	53%	
** Will be updated as soon as data on external hours is available								





## 7 Attachment B: List of Acronyms

ACI	Airports Council International	ECAC	European Civil Aviation Conference
ACSA	Agencia Centroamericana para la Seguridad Aeronautica	ECAC ACC	ECAC Accident Investigation Expert Group
AD	Airworthiness Directives	ECAC ANCAT	Group of Experts on the Abatement of Nuisances caused by Air Transport
AEA	Association of European Airlines	ECAST	European Commercial Aviation Safety Team
AeMCs	Aero Medical Centres	ECCAIRS	European Coordination Centre for Accident and Incident Reporting Systems
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	ENCASIA	European Network of Safety Investigation Authorities
ASD	AeroSpace and Defense Industries Association of Europe	EPA	European Part Approval
ATCO	Air Traffic Control Officer	ER	Existing Remit
ATM	Air Traffic Management	ERP	Enterprise Resource Planning
BASA	Bilateral Aviation Safety Agreement	ESSI	European Strategic Safety Initiatives
BP	Business Plan	ETSO	European Technical Standard Order
BPM	The Agency's Business Process Management tool	EU	European Union
BR	Basic Regulation	EUROCAE	European Organisation for Civil Aviation Equipment
C	Certification Directorate	F&C	Fees and Charges
CAA	Civil Aviation Authority	FAA	Federal Aviation Administration
CAEP	Committee on Aviation Environmental Protection	FAB	Functional Airspace Block
CAN	Canada	FAQ	Frequently Asked Questions
CANSO	Civil Air Navigation Services Organisation	FAR	Federal Aviation Requirement
CAO	Continued Airworthiness Organisations	FCL	Flight Crew Licensing
CASSOA	Civil Aviation Safety and Security Oversight Agency - East African Community	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
CQB	Central Question Bank	HR	Human Resources
CS	Certification Specification	IATA	International Air Transport Association
DEVCO	Directorate General of Development and Cooperation	IAW	Initial Airworthiness
DOA	Design Organisation Approval	ICAO	International Civil Aviation Organisation
DWP	Draft Work Programme	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	ICAO SARPS	ICAO Standards and Recommended Practices
EASA	European Aviation Safety Agency	ICAO USOAP	ICAO Universal Safety Oversight Audit Program
EASp	European Aviation Safety Programme	ICF	International Co-operation Forum
EC	European Commission		
ECAA	European Common Aviation Area		



IORES	Internal Occurrence Reporting System	SNE	Seconded National Expert
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
ISO	International Standards Organisation	SSCC	Safety Standards Consultation Committee (EASA)
IS	Information Services	TCCA	Transport Canada Civil Aviation
JAA	Joint Aviation Authority	TCO	Third Country Operator
JAR	Joint Aviation Requirement	TRACECA	Transport Corridor Europe-Caucasus-Asia
JOEB	Joint Operational Evaluation Board	TRTOs	Type Rating Training Organisations
KPI	Key Performance Indicator	UAS	Unmanned Air Ship
LPL	Leisure Pilot Licence	UEMOA	Union Economique et Monétaire Ouest Africaine
MASC	Mediterranean Aviation Safety Coordination	US	United States
MB	Management Board (EASA)	USOAP	Universal Safety Oversight Audit Programme
MIST	Maintenance International Standards Team	WA	Working Arrangement
MMEL	Master Minimum Equipment List	WP	Work programme
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)		