|  |
| --- |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
| Safety programming and monitoring (EPAS) |
| **PR.SFPRG.00001-003** |
|  |
|  |
|  |
|  |
|  | Name | Validation | Date |
| Prepared by: | Gilles Gardiol | Validated | 20/02/2020 |
| Verified by: | Rodrigo Priego | Validated | 20/02/2020 |
| Reviewed by: | Dominique Perron | Validated | 20/02/2020 |
| Approved by: | Massimo Mazzoletti | Validated | 21/02/2020 |
| Authorised by: | Luc Tytgat | Validated | 10/03/2020 |

|  |
| --- |
| **DOCUMENT CONTROL SHEET** |

|  |
| --- |
| **Reference documents** |
| **a) Contextual documents** |
| COM (2015) - 599 Final - The European Aviation Safety Programme Document - 2nd edition of 7 December 2015, chapter 2 European Safety Risk ManagementCOM(2011) - 670 Final - Communication from the Commission to the Council and the European Parliament -Setting up an Aviation Safety Management System for EuropeCommission regulation template - Template of Commission Regulation. Annex of EASA opinionFAA-EASA Rulemaking cooperation guidelinesMB Decision 01-2004 - Decision of the Management Board of 3rd of February 2004 concerning the arrangements to be applied by the Agency for public access to documentsMB Decision 18-2015 - Decision of the Management Board concerning the procedure to be applied by the Agency for the issuing of opinions, certification specifications and guidance material ("Rulemaking procedure")Regulation (EC) 1049/2001 - Regulation (EC) of the European Parliament and of the Council of 30 May 2001 regarding public access to European Parliament, Council and Commission documentsRegulation (EU) 2018/1139 - Regulation (EU) 2018/1139 of the European Parliament and of the Council of 4 July 2018 on common rules in the field of civil aviation and establishing a European Union Aviation Safety Agency, and amending Regulations (EC) No 2111/2005, (EC) No 1008/2008,Regulation (EU) 2018/1725 - OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 23 October 2018 on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies, offices and agencies and on the free movement of such data |
| **b) Internal documents** |
| UG.SFPRG.00017 - BIS user-guideWI.SFPRG.00013 - Candidate Issue Register Management. |

|  |
| --- |
| **Abbreviations/Definitions** |
| AB: Advisory Body (e.g. MAB, SAB, TeB, TeC and Sectorial Committee)BIS: Best Intervention StrategyCAG: Collaboration and Analysis GroupEPAS: European Plan for Aviation SafetyESC: EASA Safety CommitteeFAA: Federal Aviation AuthorityIAME: Impact Assessment, Monitoring & EvaluationMAB: Member State Advisory BodyRMP: Rulemaking ProgrammeMAB: Member State Advisory BodySAB: Stakeholder Advisory BodySP: Safety PromotionSRP: Safety Risk PanelTCCAA: Transport Canada Civil Aviation AuthorityTeB: Technical BodiesTeC: Technical Committees |

|  |
| --- |
| **Log of issues** |
| Issue | Issue date | Change description |
| 001 | 18/11/2016 | First issue prepared by Rodrigo Priego. |
| 002 | 23/10/2018 | Second issue to reflect developments made in EPAS during first half of year 2018 and to close the IAS recommendations.  |
| 003 | 10/03/2020 | Third issue to describe the prioritisation of proposals and the BIS workflow.  |
|  |  |   |

|  |
| --- |
| **INTRODUCTION** |

**Purpose and scope**

This procedure defines how the European Plan for Aviation Safety (EPAS) is developed and monitored.

The responsibility for overseeing and coordinating the programming process lies with SM.2.1. The responsibility for the technical content of the Safety Programmes lies with the respective operational department HoD. In case of horizontal actions, the responsibility is with the project manager nominated to manage the action and the HoD to which the project manager is reporting to.

**Legal framework**

Regulation (EU) 2018/1139 – Article 6

Management Board Decision 18/2015 of 18 December 2015 amending and replacing MB Decision 01-2012 of 13/03/2012.

COM(2011) 670 final – Communication from the Commission to the Council and the European Parliament -

Setting up an Aviation Safety Management System for Europe

COM(2015) 599 final – ANNEX 1 to the Report to the European Parliament and the Council - The European Aviation Safety Programme Document 2nd edition.

**Basic Principles**

The EPAS covers a five-year time frame. In line with Article 6(1) of the Basic Regulation, EPAS is updated on a yearly basis. Hence, EPAS is developed as a rolling five-year plan in close cooperation with stakeholders, drawing increasingly from an evidence-based approach. There are two distinct programming phases, each with a dedicated stakeholder consultation.

 — During the ‘strategic phase’, the strategic priorities derived from the EU Aviation Strategy are discussed and agreed with the EASA ABs, by means of a dedicated EPAS Strategy Workshop or during MAB/SAB meetings. SAB and MAB take the lead in consolidating inputs from their domain sub-committees and provide EASA with the industry/Member State's views on the strategic priorities.

 — Based on these strategic priorities agreed/confirmed with the EASA ABs, a draft EPAS is then developed and provided to all ABs for detailed comments.

Following the AB consultation, the final draft EPAS is consolidated and presented for approval to the EASA Management Board (MB). Following its formal approval by the MB, it is published on the EASA website[1].

EPAS development follows a pre-established calendar with the following main steps & timelines (dates are indicative and may change every year). :

1. Develop 1st draft EPAS, incl. internal consultation (3.5 months)

2. Consult Advisory Bodies on 1st Draft EPAS (2 months)

3. Develop DRD and produce 2nd Draft EPAS (2 months)

4. Final review, present to MAB & SAB, post CRD on IMF (1 month)

5. Submit to MB secretariat (mid-NOV)

6. Formal endorsement by the MB (mid-DEC)

[1] https://www.easa.europa.eu/easa-and-you/safety-management/european-plan-aviation-safety

**Structure of process charts**





|  |  |
| --- | --- |
| **Activity** | **Description to the process activity** |
| Review candidate issue | The Agency receives proposals for activities as well as candidate issues in the scope of EPAS on a continuous basis from a wide range of sources: European Commission’s requests, new/amended ICAO SARPs , ICAO State Letters, FAA look ahead programme, the Standardisation Annual Report, European Safety Risk Management Process (SRM)….Internal and external stakeholders are strongly advised to use the web form to capture candidate issues in order to facilitate the analysis of their requests: https://www.easa.europa.eu/rulemaking-proposal-candidate-issue-identification-form.  An initial review of the received candidate issues is carried out in order to identify if it is a safety or non-safety one. While safety related proposals are dealt with through the SRM process, non-safety related proposals are subject to an initial review carried out by the planning focal points in FS and CT. SM.2 is the owner of the central data base for candidate issues.The management of the candidate issue register is documented in a dedicated work instruction (WI.SFPRG.00013). |
| Prioritise initial candidate issues through a list of criteria | The initial prioritisation intends to generate a ranked list of issues/actions considering a number of prioritisation criteria, including:  - legal obligation to act; - the link with the EPAS strategic priorities;  - potential safety, economic, social and environmental consequences, if the action proposed is not endorsed; and - workload at EASA, Member States and industry level to develop the action.Strategic priorities get a higher ranking when setting rulemaking priorities. The timing of the related actions often needs to consider other parameters, in addition to the strategic priority ranking. Prioritisation is done across domains but also within a domain: e.g. if an issue is small in absolute terms (across domains) but fundamental for a specific domain to be resolved, it is then considered as key. |
| Validate list of prioritised issues/actions and rulemaking proposals  | The resulting list of issues/actions is then reviewed and endorsed internally by the EASA Safety Committee (ESC) and a decision is made on issues/actions that will be further assessed to determine Best Intervention Strategies (BIS). The operational department appoints a BIS leader. |
| Update the candidate issue register | Following validation of the list of issues to be further processed feedback will be provided to the initiator of the item (AB, other EASA department or person outside EASA) and candidate issue register is updated as necessary |
| Define BIS ToR | SM2 (IAME team) initiates the development of the BIS ToR together with the BIS Leader.  |

|  |
| --- |
| **Internal Process Interfaces** |
| Assess if recommendation on ICAO SL should be issuedAssessment of Safety IssuesAltMoC approved by EASA as competent authorityAltMoC managementDevelop BIS |



|  |  |
| --- | --- |
| **Activity** | **Description to the process activity** |
| Develop first draft EPAS | SM.2 develops the first draft EPAS with the support of EPAS Focal Points nominated in the operational departments.Coordination is ensured with the safety promotion team and with the research team. For rulemaking, safety promotion and evaluation actions the following criteria will be assessed:- available resources (including those from other Departments and Directorates) and required expertise ;- Strategic priorities: If a task is part of the strategic priorities it should be implemented with priority. - Comments received from MAB/SAB on the BIS and their priority;- Any agreement taken with third countries (e.g. FAA, TCCA) as part of the rulemaking cooperation framework. |
| Perform internal consultation on first draft EPAS | Once input from EPAS focal points is reviewed and consolidated, the draft EPAS will be shared with all heads of operational departments for review and validation. Following this, the draft EPAS is presented to the SM Director to obtain agreement for AB consultation. |
| Perform external consultation on first draft EPAS | The draft EPAS is submitted for review to all ABs. The document is provided together with a dedicated comment form to structure the input and facilitate consolidation and subsequent analysis. Comments will be addressed to the functional mailbox ‘epas@easa.europa.eu’, monitored by SM.2. |
| Review the comments received on first draft EPAS | SM.2 will compile all AB comments in a single draft CRD (excel format). The comments will be ‘tagged’ on different comment categories depending on their nature (using pre-established list) and for each domain concerned, as well as the department/section responsible for providing a response identified. The CRD and the master draft EPAS file will then be provided to all EPAS Focal Points, who will be responsible for analysing the comments, providing responses and amending the EPAS in line with comments made, where required. SM.2 will be responsible for these tasks where the comments relate to Strategy and programming, to formatting or layout issues.  |
| Develop final EPAS | Following completion of the CRD and corresponding updates to the document, a final draft EPAS is prepared. The completed CRD will be provided to all ABs through the AB SharePoint portal.  The final draft EPAS is presented to senior management for approval (ExCom or ESC depending on meeting calendar). Following this it ispresented to the MAB and SAB in their Q4 meetings. Where progress with development allows the final draft will also be shared with the MAB and SAB ahead of their meetings to provide them with a last opportunity to review it (at this stage no major comments will be accepted). |
| Submit the EPAS to MB for endorsement | The final version of the EPAS, considering requests for minor changes (from EPAS Focal Points or MAB/SAB) is submitted mid-November to the MB for endorsement at the December meeting. MB decision on EPAS publication is decided during the MB December meeting. |
| Publish final EPAS | Once the document is adopted by the MB, a MB decision is issued and the document is published on the website. Once adopted, a link to the EPAS will be provided to a number of additional stakeholders, including Eurocontrol, the ICAO Paris office, FAA and TCCA. A list of contacts for such special notifications is maintained by SM.2. |

|  |
| --- |
| **Internal Process Interfaces** |
| Develop BISMonitor existing actions Develop ToRDevelop Safety Promotion ToR |



|  |  |
| --- | --- |
| **Activity** | **Description to the process activity** |
| Develop BIS report | Once the BIS ToR are defined, the BIS is developed in line with a dedicated user guide (UG.RPRO.00094). |
| Validate the BIS report by ESC | The BIS report is presented by the BIS Leader or the IAME team for approval. |
| Validate BIS report with ABs consultation | The validated BIS by the ESC are sent to the ABs for consultation. |
| Answer to ABs comments | The BIS is submitted for review to all ABs. The document is provided together with a dedicated comment form to structure the input and facilitate consolidation and subsequent analysis. Comments are addressed to the functional mailbox ‘impact.assessment@easa.europa.eu’, monitored by SM.2.(IAME team) |
| Plan actions in EPAS according to the resources  | The validated BIS actions after the AB consultation are then included in the EPAS taking into consideration available resources according ESC and AB consultation. These actions have to be provided at the latest mid-April of each year to be included in the EPAS (i.e. see activity “Develop first draft EPAS” in the process “Drafting and consultation of EPAS”). |

|  |
| --- |
| **Internal Process Interfaces** |
| Prioritise proposalsDrafting and consultation on EPAS |



|  |  |
| --- | --- |
| **Activity** | **Description to the process activity** |
| Update status of actions in internal database  | The actions that are published on EPAS are recorded in an internal data base (excel) named PROMA. The database contains all information related to each individual action as well as any related changes. Member States are invited to submit their State Plan for Aviation Safety (SPAS) that must describe how MST actions are implemented at State level. SM.2 assesses the SPAS to determine the extent to which such actions are implemented. The results of such assessments are discussed at regular SM TeB meetings and will also be considered for subsequent EPAS planning cycles. |
| Issue regular status report  | On a regular basis PROMA is queried to obtain the latest status of the actions. Different reports are prepared: - On a monthly basis a rulemaking dashboard with rulemaking deliverables is discussed with HoD and directors.  - On a quarterly basis, the dashboard is presented to the ExCom. - For the remaining tasks (RES, SPT and EVT) the status is updated twice a year |
| Organise programming coordination meetings | Regular coordination meetings are organised with EPAS focal points in CT, FS and SM. During these meetings the latest status of existing actions, resources as well as candidate issues are discussed.  |
| Perform final update of existing actions programmed versus resources | PROMA is updated in order to capture the outcome of the discussions with operational departments regarding their available resources for the following EPAS planning cycle. |

|  |
| --- |
| **Internal Process Interfaces** |
| Drafting and consultation on EPAS |

|  |
| --- |
| **RECORDS** |

|  |
| --- |
| **Appendix A : Operational Documents** |

|  |
| --- |
| **Drafting and consultation on EPAS** |
| **Record** | **Activity** |
| Final EPAS |

|  |
| --- |
|  - Publish final EPAS |

 |
| CRD |

|  |
| --- |
|  - Review the comments received on first draft EPAS |

 |
| EPAS (MB Decision) |

|  |
| --- |
|  - Submit the EPAS to MB for endorsement |

 |

|  |
| --- |
| **Develop BIS** |
| **Record** | **Activity** |
| Best Intervention Strategy report  |

|  |
| --- |
|  - Answer to ABs comments |

 |
| Best Intervention Strategy report  |

|  |
| --- |
|  - Develop BIS report |

 |

|  |
| --- |
| **Appendix B : External Documents** |