ANNEX 1:
SPD 2017-2020 AND WP 2017

European Aviation Safety Agency

Single Programming Document 2017 – 2020

November 2016

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1 Foreword

The period 2017-2020 will see the entry into force of the new EASA Basic Regulation. At the time of drafting this Single Programming Document (SPD; former Multi-Annual Programming document (MAP)), the expansion of EASA's responsibility and remit is still in discussion at the European Council and European Parliament. Although the outcome of these ongoing negotiations is not clear, there is no doubt that EASA will play a much greater role in aviation related matters in the future. It is likely that EASA's future competences may include subjects such as rules for drones, the continuity of air traffic management services, conflict zones overflight and cybersecurity.

This SPD takes into account the preparatory work on the above mentioned topics, and other elements such as the EASA's legal requirements given by the current Basic Regulation, the technological and economic trends in aviation, the European Commission's priorities and the voice of the European National Aviation Authorities, industry and the other technical partners.

When developing the SPD, the Agency's senior management took all these issues into account, reviewed the strategic objectives, reassessed the long-term goals, and drafted the SPD with clear goals for the period 2017 – 2020. In line with these, priorities were defined and resources committed. A set of coherent and meaningful performance indicators are developed for each activity.

All activities have been assessed in terms of risks and the Agency's business risk register was derived based on the SPD exercise. Based upon the activities planned and associated risks, the KPIs will be refined to improve quarterly monitoring.

In the last 10 years, the size of the worldwide commercial aviation fleet has almost doubled, stretching the resources of regulators both in the EU and worldwide. The evolution of the economic situation is imposing changes in the way public organisations are working. In this context of limited or decreasing resources, particular attention must be given to long-term priorities and the most effective ways of achieving them whilst maintaining the highest possible safety levels. This achievement will never be taken for granted.

2 List of acronyms

Acronym	Explanation
AD	Airworthiness Directives
ANS	Air Navigation Services
ATM	Air Traffic Management
BASA	Bilateral Aviation Safety Agreement
CA	Contract Agents
CAW	Continuing Airworthiness
CS	Certification Specifications
DOA	Design Organisation Approval
EASA	European Aviation Safety Agency
EPAS	European Plan for Aviation Safety
EC	European Commission
ECAA	European Common Aviation Area
EU	European Union
F&C	Fees and Charges
FCL	Flight Crew Licensing
GA	General Aviation
ICAO	International Civil Aviation Organisation
IR	Implementing Rule
KPI	Key Performance Indicator
MS	Member State
NAA	National Aviation Authority
NPA	Notice of Proposed Amendments
OPS	Air operations
QE	Qualified Entities
RAG	Red Amber Green
RPK	Revenue Passenger Kilometres
RPAS	Remotely Piloted Air System
SACA	Safety Assessment of Community Aircraft
SAFA	Safety Assessment of Foreign Aircraft
SNE	Seconded National Experts
SWP	strategic workforce planning
TA	Temporary Agents
TCO	Third Country Operators
USOAP	Universal Safety Oversight Audit Programme
WA	Working Arrangement

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3   Mission statement

The Executive Director and the senior management team reviewed the Agency mission to have a clearer and simplified statement where the key messages are:

- **Safe air travel** both in terms of safety and environment protection
- Aimed at **European Union (EU) Citizens** in the EU and worldwide as the ultimate beneficiary of the work performed

Therefore the revised mission statement is:

Our mission is to provide safe air travel for EU citizens in Europe and worldwide.

The wording is fully aligned with the legal mandate defined in the founding act as outlined below.

Legal base

Decision	Date	Mission/ Tasks / Functions
OLD BASIC REGULATION: REGULATION (European Commission (EC)) No 1592/2002 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 15 July 2002 on common rules in the field of civil aviation and establishing a European Aviation Safety Agency (REPEALED)	15 July 2002 27 September 2002 (Entry into force)	Airworthiness Environmental compatibility The original Agency's responsibilities, given by Regulation 1592/2002 (repealed by Regulation 216/2008) include: expert advice to the EU for drafting new legislation; inspections, training and standardisation programmes to ensure uniform implementation of European aviation safety legislation in all Member States; safety and environmental type-certification of aircraft, engines, parts, appliances and continuous monitoring of their airworthiness; approval of organisations involved in the design of aeronautical products, as well as foreign production, maintenance and training organisations; EASA is also responsible for some specific executive tasks as specified in Commission Regulation (EC) No 768/2006 (regarding the collection and exchange of information on the safety of aircraft using Community airports and the management of the information system).
NEW BASIC REGULATION: REGULATION (EC) No 216/2008 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 20 February 2008 on common rules in the field of civil aviation and establishing a European Aviation Safety Agency, and repealing Council Directive 91/670/EEC, Regulation (EC) No 1592/2002 and Directive 2004/36/EC	20 February 2008 08 April 2008 (Entry into force)	Airworthiness Environmental compatibility Flight Crew Licensing (FCL) Operation of Aircraft Safety of foreign operators Regulation 216/2008 extending the Agency's competences entered into force on 8 April 2008. With this extension the Agency got responsibilities to develop the regulations in the fields of air operations (OPS), flight crew licensing (FCL) and the oversight of third country operators (TCO). As well as to carry out (according to Regulation 736/2006) standardisation inspections for air operations, flight crew licensing and flight simulators and to perform the certification of foreign synthetic training devices, pilot training organisations and aero medical centres, and certification tasks linked to the authorisation to third country operators.
Last amended by REGULATION (EC) No 1108/2009 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 21 October 2009	21 October 2009 14 December 2009 (Entry into force)	Aerodromes AirTraffic Management (ATM) Air Navigation Services (ANS) On 7 September 2009 the Council adopted the regulation extending EASA's competencies to cover the safety of aerodromes, air traffic

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amending Regulation (EC) No 216/2008 in the field of aerodromes, air traffic management and air navigation services and repealing Directive 2006/23/EC		management and air navigation services. In particular, EASA's new tasks cover rulemaking and standardisation inspections. In addition, as far as safety and technical issues are concerned, it will be necessary to coordinate rulemaking activities with the Single European Sky framework, including the related research (SESAR) and implementing rules as well as the new objectives set for its implementation.

EASA is governed by Regulation (EC) No 216/2008 forming the centrepiece of the aviation safety system in the EU. This system is complemented by other EU legislation some of which attributes tasks, roles and/or responsibilities to EASA, e.g. Regulation EU No 996/2010 on the investigation and prevention of accident and incidents in civil aviation, Regulation EU No 376/2014 on the reporting, analysis and follow-up of occurrences in civil aviation and Regulation (EC) No 2111/2005 on the establishment of a Community list of air carriers subject to an operating ban within the Community. For reasons of readability this legislation is not included in this table.

4   General context – Strategic plan

4.1   Background

EASA is the European Union Authority for aviation safety. The main activities of the organisation include strategy and safety management, the certification of aviation products and the oversight of approved organisations and the standardisation of EU Member States. Established in 2002, the Agency is composed of more than 700 aviation experts and administrators from EU Member States. The work performed by the Agency is complemented by activities run by National Aviation Authorities (NAA) as part of the EASA System.

Aviation is a dynamic sector, constantly evolving and reinventing itself with innovative business models and new technologies. In turn, regulators are faced with the challenge to be more efficient and flexible, and to adapt themselves to the needs of the industry. However, recent times have highlighted continuing and emerging challenges for aviation safety. The accident of Germanwings 4U9525, the disappearance of MH370, the loss of MH17 over a conflict zone, the emerging issue of cybersecurity and the radar interferences over central Europe have reminded us that the safety of passengers can never be taken for granted. Since the creation of the Agency the size of the worldwide commercial aviation fleet has almost doubled, stretching the resources of regulators both in the EU and worldwide.

The evolution of the economic situation is imposing changes in the way public organisations are working. In a context of limited or decreasing resources, particular attention must be given to long-term priorities and the most effective ways of achieving these whilst maintaining safety levels.
In 2013, the European Commission started the revision of the Framework Financial Regulation and introduced the Single Programming document. This instrument requires the Agencies to present a multiannual vision in order to set the basis for financial and staffing needs.
EASA took this opportunity to revise the planning cycle in order to meet the legal requirements and also to anticipate the challenges that the ever evolving economic and technological environment will present to the Agency.

The process as defined by EASA takes into account input and contributions including:
- The economic outlook
- The European Commission priorities
- The objectives set by the Transport Commissioner
- The voice of the European NAAs, industry and the other technical partners

The Agency's senior management took this input into account during the strategic workshop organised to reassess the long-term goals and the strategic objectives to be achieved in the period 2017 – 2020.

4.2 Aviation Sector Context, Stakeholder Review and EU Commission priorities

4.2.1 Aviation Sector Outlook

Many factors influence the aviation sector, impacting and developing its trends. According to statistics developed by Airbus, Boeing and Bombardier, the major market drivers are wealth creation, globalization of trade, emerging markets, development of new technologies and replacement demand. For the purpose of this overview, we have grouped them under the following:

4.2.1.1 Economic

The global economy is expected to continue improving. Increasing numbers of EU citizens and travellers around the world can afford the benefits of aviation transportation due to improved world trade and solid global economic growth - GDP growth is forecasted to cross the 3% threshold by 2016-2017. An additional factor that boosts the affordability of flights is the stronger growth of the low-cost market segment. It is expected that Low Cost Carriers will continue to capture market share and by 2034 it is expected they will fly 21% of the world Revenue Passenger Kilometres (RPKs). The continuing deregulation of the sector would also contribute for increased traffic growth[1]. The traffic measured in Revenue Passenger Kilometres (RPKs) has grown a remarkable 85% since 2001 and are expected to double again in the next fifteen years, and grow 145% to 15.2 trillion RPKs by 2034. Boeing[2] forecast the world fleet to double in size over the next 20 years (passenger traffic to grow 4.9% per year and cargo 4.7% per year).

Trade globalization will continue, particularly with and between emerging markets which will represent 43% of the world private consumption by 2034 (up from 31% currently). Domestic Chinese traffic is expected to become the largest single traffic flow, growing nearly four times over this period. Today, 47 aviation mega-cities[3] comprise 90% of long-haul flights and nearly a million passengers a day. Four out of the five largest aviation mega-cities today are in the "advanced" world. In spite of lower growth compared to emerging countries, their traffic is expected to double – keeping them, together with Dubai, at the top of the list in 2034.

4.2.1.2 Environmental

With factors such as energy availability, environmental issues could lead to stronger regulation of air transport, such as a cap on fossil fuel usage. A long-term transition to biofuels is a possible trend for aviation. Also compliance requirements relating to increased security and noise nuisance are expected to influence the market. Changes in global climate will also have a significant impact on aviation[4]. However some environmental factors will be mitigated by developing technology and operational measures.

4.2.1.3 Cyber-security (due to changing political environment)

The increasingly interconnected aviation communication network and data transfer are progressively exposed to cyber security threats impacting all aviation domains. Overall, it appears that aviation in all areas is prone to security threats, including cyber-attacks[5].

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[1] Airbus, Global Market Forecast 2015

[2] Boeing, Current Market Outlook 2015

[3] > 10.000 long haul passengers per day, Airbus Global Market Forecast 2015-2034

[4] EASA, Possible Picture of Future of Air Transport

[5] A-NPA 2014 -12 section 3.3.2. Aspects of aviation security

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4.2.1.4 New technologies applicable to commercial aviation

Innovation is likely to play an increasingly important role in all aspects of the commercial aviation industry including design, manufacturing and operations. Satellite based technologies will facilitate new navigation and traffic management systems, including the provision of remote towers to isolated airstrips. Remotely Piloted Air System (RPAS) manufacturing, operation and maintenance are becoming important drivers for growth and job creation. RPAS technology is also likely to impact manned aviation. The expected consequence of this driver is the harmonisation of the governing rules and implementation and monitoring of the new regulatory framework, which is currently under discussion.

4.2.1.5 New business models

Due to the increased complexity of the aviation industry, the number of interfaces between organisations, their contracted services and regulators has increased. The consequence is that NAAs will need to work together (through cooperative oversight) and the Agency will be required to evaluate whether the existing safety regulatory system adequately addresses current and future safety risks arising from new and emerging business-models.

4.2.1.6 Replacement demand

The replacement of airlines fleets have nearly tripled since 2000[6]. According to Bombardier, 1,825 worldwide business aircraft retirements forecasted over the next 10 years will drive increased replacements[7]. Nearly 14,000 passenger aircraft will be retired or converted to cargo traffic, and will be replaced with more fuel efficient latest generation aircraft. Most deliveries are forecast for the Asia-Pacific region. Combining replacements and the passenger aircraft needed to meet forecast traffic growth, the world wide fleet is expected to double reaching more than 35,000 aircraft by 2034[8].

4.2.2 Consequences as a result of the drivers

4.2.2.1 Size of the aircraft (single/twin aisle)

Airbus[9] forecasts that the single aisle aircraft types such as the A320 family and the B737 will be predominantly used and that over the next 20 years 70% of new deliveries will be for this class of aircraft. Long-haul travel will continue to be characterised by larger aircraft such as the A350 and B787. International long-haul traffic is expected to grow faster than domestic and international short-haul traffic, with an annual growth rate of 4.7% and its overall share of traffic growing to 45% over 20 years.

4.2.2.2 Capacity of Aerodromes

Increasingly airport congestion will limit growth, as more airports reach their limits in terms of slot capacity. There are several approaches that could help solve this problem:
- Using larger aircraft in order to increase the aerodrome slot efficiency
- Improving air traffic management to increase efficiency
- Creating new aerodromes (a scenario possible for the developing countries)
- Developing current aerodromes and runway capacity
- Providing the necessary regulatory framework for regional airports, which see the operation of smaller passenger aircraft

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[6]Boeing, Current market overview 2015

[7] Bombardier, Commercial aircraft market forecast 2015-2034

[8] Airbus, Global Market Forecast 2015-2034

[9] Airbus, Global Market Forecast 2015-2034

4.2.2.3   Air Traffic Management

Improving Air Traffic Management (ATM) is one of the ways to optimize capacity at aerodromes. Emerging technologies such as satellite based navigation can enable lower cost infrastructure. Operational and technological solutions for the modernisation of the European and global ATM systems are developed such as the SESAR Joint Undertaking -Traffic Synchronisation, Network Collaborative Management and Dynamic/Capacity Balancing, Airport Integration and Throughput, Conflict Management and Automation, System Wide Information Management.

4.2.2.4   Research

With the market globalisation and the increasing pace of change of technology and business models, research at an institutional level is becoming increasingly important. New challenges such as complex supply chains, 3D printing of aviation components, and the proliferation of small drones just to name a few must continue to be addressed. A coordinated research strategy is needed to achieve a single set of objectives at a European level.

4.2.3   Stakeholder Review

In the next few years the Agency will face new challenges and will have a growing number of stakeholders. These have been categorised in three groups: institutional organisations, industrial partners and end-users. The different actors have been mapped according to their level of influence on EASA and interest/dependency on EASA.

In addition to the EU citizens that are the ultimate beneficiary of the Agency's activities the analysis identified the following key stakeholders:
- The European Commission
- Industry applicants
- National Aviation Authorities
- Unions and Pilots (aviation sector)
- The General Aviation Community
- EASA staff

The strategic statements and the associated actions were defined considering as main driver the impact on the stakeholders.

4.3   The Juncker's Commission priorities 2014-2019

EASA is a European Union body, therefore its planning exercise must be aligned to the 10 key priorities defined by the Juncker's Commission at the beginning of its mandate.

1. Jobs, Growth and Investment
   - ✓ Creating jobs and boosting growth
2. Digital Single Market
   - ✓ Bringing down barriers to unlock online opportunities
3. Energy Union and Climate
   - ✓ Making energy more secure, affordable and sustainable
4. Internal Market
   - ✓ Stronger industry, fewer national trade barriers, stricter business ethics
5. Economic and Monetary Union
   - ✓ A deeper and fairer economic and monetary Union
6. EU-US Free Trade
   - ✓ Reaching a reasonable and balanced trade agreement
7. Justice and Fundamental Rights
   - ✓ Upholding shared values, the rule of law and fundamental rights
8. Migration
   - ✓ Towards a European agenda on Migration
9. EU as a Global Actor
   - ✓ A stronger global actor
10. Democratic Change
   - ✓ Making the EU more democratic

Out of the above priorities for the transport sector Commissioner Bulc identified the following as key priorities:

- Jobs, Growth and Investment
- Internal Market
- EU as a Global Actor
- Democratic Change

Cascading from these priorities, the Transport Agencies of the European Commission have been assigned the following objectives:

- Become global leaders
- One-stop shop for all domain-related matters
- Efficiency effort to be made, in particular on the simplification of processes
- Support to the industry
- Strategic alignment with the Juncker Objectives
- Innovative funding schemes

5 Strategic Plan

The Agency reviewed the planning framework taking into account all the elements above, aiming for a clear cascade from the vision to the objectives and actions.

5.1 Strategic statements

The mission statement is supported by 6 strategic statements that represent the goals to be achieved by the Agency in this planning cycle 2017-2020. The strategic statements respond to the inputs analysed by the Agency and responds to the objectives set by Commissioner Bulc.

1. Our ambition is to be the foremost Aviation Safety Agency in the world
   (Linked to the Junker objective: EU as Global Actor)

2. The Agency works on safety, in a proactive manner, helped by an enhanced safety analysis capability
   (Linked to the Junker objective: EU as Global Actor)

3. One system based on partners working in an integrated, harmonised and coordinated manner
   (Linked to the Junker objective: Jobs, Growth and Investment)

4. The Agency builds on committed, agile and talented staff
   (Linked to the Junker objective: EU as Global Actor)

5. Rules are smart, proportionate and contribute to the competitiveness of the Industry
   (Linked to the Junker objective: Jobs, Growth and Investment)

6. The Agency will continue to be independent from political or economic influence in all its safety actions
   (Linked to the Junker objective: EU as Global Actor)

The strategic statements are then developed into Strategic Objectives covering the planning cycle. This cascading mechanism allows the Agency to develop a direct link between all the planning elements down to personal objectives for staff.

5.2 Strategic Objectives

The strategic objectives are described through the expected outcomes and a brief description of the actions the Agency will take to achieve the objectives. The strategic actions will be monitored through specific key performance indicators (KPIs) that together with the ones used to monitor the recurrent activities of the Agency will constitute the 'operational dashboard'.

Strategic statement 1: "Our ambition is to be the foremost Aviation Safety Agency in the world"

Strategic Objective 1.1	Facilitating competitiveness, innovation and emerging technologies which generate European success
Outcome	Action
Achieving proportionate and performance-based regulatory actions that efficiently maintain safety, stimulate jobs, growth and European industry.	The Agency increases safety and environmental performance by facilitating new technology deployment, impact assessment, analysis and mitigation of risks and ex-post evaluations.

Strategic Objective 1.2	Sustaining worldwide recognition for the European aviation safety system
Outcome	Action
Recognition and respect as a strong partner with integrity, transparency and professional excellence.	The Agency shall implement an "International Strategy", promote European aviation standards and continue improving global safety and environmental protection levels.

Strategic statement 2: "The Agency works on safety, in a proactive manner, helped by an enhanced safety analysis capability"

Strategic Objective 2.1	Applying an advanced, pro-active and systematic approach to aviation safety
Outcome	Action
In consultation with National Aviation Authorities and Industry, develop a Safety Management capability that can programme and deliver effective and robust safety actions.	Within the framework of the European Plan for Aviation Safety (EPAS), the Agency shall assess, integrate and programme actions that result in Safety Promotion, Focused Oversight or Rulemaking.

Strategic Objective 2.2	Using information technology to the benefit of the European Safety Management process
Outcome	Action
Managerial and technical processes and interactions with stakeholders are simplified, efficient and information is accessible to multiple parties.	Consistent with strategic priorities, the Agency shall implement integrated safety and environmental programming. Taking a holistic approach, the Agency shall manage the analysis of complex safety data efficiently and effectively. The Agency shall follow an "Information Security Roadmap" to protect its technical infrastructure.

Strategic statement 3: "One system based on partners working in an integrated, harmonised and coordinated manner"

Strategic Objective 3.1	Identifying safety deficiencies and taking corrective actions in a common, coordinated and rapid manner
Outcome	Action
A comprehensive Risk-Based Oversight system provides safety performance monitoring of aviation activities.	The Agency shall develop and implement one harmonised Risk-Based Oversight system capable of targeted and timely responses to identified issues.

Strategic Objective 3.2	Integrating technical resource management at European level for efficiency, effectiveness and flexibility
Outcome	Action
Competent well trained technical experts can be deployed in a coordinated manner to support safety activities and National Aviation Authorities throughout Europe.	The Agency shall lead the integration of planning, deployment and support for the "common pool" of experts. The Agency shall develop and maintain an "EASA Virtual Academy".

Strategic Objective 3.3	Establishing a new resource scheme to sustain the European aviation safety system
Outcome	Action
One new harmonised resource management mechanism that forecasts revenues and reliably provides funds over the complete business cycle. Cooperative oversight and pooling of experts at EU level are included.	The Agency shall investigate, report and recommend innovative and proportionate new funding mechanisms.

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Strategic statement 4: "The Agency builds on committed, agile and talented staff"

Strategic Objective 4.1	Empowering individuals to develop, engage and grow so as to deliver on our priorities
Outcome	Action
Clear, concise and complete HR policies, procedures and practices that include encompassing recognition, training and development.	For all activities, the Agency shall ensure regular tailored job evaluations, professional growth opportunities and succession planning for its staff.

Strategic Objective 4.2	Creating a quality work environment that helps staff succeed
Outcome	Action
Facilities that encourage team work, cooperation and collaboration and encompass a paperless workplace with up-to-date support tools.	The Agency shall provide customised work premises and tools for active staff collaboration and support.

Strategic Objective 4.3	Pledging to improve, refine and simplify processes, procedures and practices so as to drive efficiency
Outcome	Action
Stakeholders receive an efficient, straightforward, quality service at a high level of availability and low level of bureaucracy.	The Agency shall implement improvements, track progress, benchmark and review performance; with particular attention to certificate applicants and the Fees & Charges framework.

Strategic statement 5: "Rules are smart, proportionate and contribute to the competitiveness of the Industry"

Strategic Objective 5.1	Redefining and simplifying Rulemaking activities	
Outcome	Action	
Consultation mechanisms and Rules, Opinions and Guidance that are objective, understandable and responsive to demand.	The Agency shall monitor, and if necessary, restructure its consultative bodies. In order to assure a consistent, efficient and effective approach. In addition the Agency shall consistently conduct preliminary impact assessments.	

Strategic Objective 5.2	Assessing Rules and Regulations to ensure they are effective, proportionate and remain relevant	
Outcome	Action	
A smart feedback loop constantly improving aviation Rules and Regulations.	In consultation with stakeholders, the Agency shall regularly review enacted Rules and Regulations to maintain, amend, remove or replace them with measures like Safety Promotion.	

Strategic statement 6: "The Agency will continue to be independent from political or economic influence in all its safety actions"

Strategic Objective 6.1	Demonstrating integrity by assuring technical independence and robustness of safety decision making
Outcome	Action
Technical safety decision making that is objective, based on analysis, impact assessment and fair judgment and not influenced by bias or undue influence.	The Agency shall maintain a conflict of interest management system and strengthen existing mechanisms such as the job rotation scheme.

Strategic Objective 6.2	Minimising the consequences of political or unexpected constraints that may impact aviation safety
Outcome	Action
Problems are anticipated and countermeasures are enacted so that safety risks are minimised and stakeholder expectations are satisfied.	The Agency shall employ data based decision-making processes and establish practical measures to counter safety risks stemming from resource constraints and the impact of undue influence.

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6 Multi-annual Programming 2017-2020

6.1 Introduction

The Single Programming Document for 2017 – 2020 is the translation of the strategic vision of EASA into activities. The planned activities take into account the high expectations of Industry, international partners, as well as of the European public both in terms of being able to adequately react to safety issues stemming from a new elements (new technologies, cybersecurity, conflict zones) and to increase the level of efficiency of the organisation. Close collaboration with the European Commission and National Aviation Authorities will secure full consistency of this Single Programming document and its implementation with the overall strategy and priorities of the European Union's aviation safety and environmental protection policies. The strategic statements driving the program are aligned to the provisions contained in the Juncker's Commission agenda. In addition the programme takes into account the 2011 'White Paper on Transport'[10], the Commission's Communication to the Parliament on setting up an Aviation Safety Management system for Europe[11]; and the Single European Sky regulatory framework. The activities described in this Work Programme marginally take into account the proposal for the revision of the Agency's Basic Regulation (Regulation (EC) 216/2008) and might be subject to amendments based on the final text thereof.

The achievement of activities described is dependent on both the budget and the staffing plan that will be defined by the Budgetary Authority for the planning period 2017 - 2020.

6.2 Safety Management

Striving for the highest common standard of civil aviation safety in Europe the Agency will implement a system of risk based safety management. This system will consist of both reactive and proactive elements to ensure both that historical data is used effectively and emerging risks (such as Cyber security and RPAS) are properly identified. This effort will drive the transition towards an efficient, pro-active and evidence-based safety system. It will rely on two pillars:

- The strengthening of the safety intelligence and safety performance functions: this will require on one hand an enhanced safety data analysis capacity to better anticipate emerging risks, on the other hand an increased reliance on safety Key Performance Indicators (KPIs) to better measure the effectiveness of safety actions.

- The development of a top-down and risk-based safety programming function: this will rely upon the use of European Plan for Aviation Safety (EPAS) as the vehicle to establish EU-wide strategic safety priorities and decide upon the more efficient and cost effective set of actions.

6.2.1 Safety Intelligence and Performance

Strategic Objective 1.1	Facilitating competitiveness, innovation and emerging technologies which generate European success

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[10] 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'
[11] COM(2011) 670 final of 25.10.2011 COMMUNICATION FROM THE COMMISSION TO THE COUNCIL AND THE EUROPEAN PARLIAMENT - Setting up an Aviation Safety Management System for Europe

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Action	Launch the Proof of Concept phase of the European Big Data Programme for Aviation Safety and further deploy the programme.
Expected output	Delivery of a collaborative and voluntary Programme that provides the necessary data-driven systemic risk identification and a common platform for analysis needed to support of the EPAS.
Indicator (KPI)	40 members have joined the programme by 2020. Programme main data-driven source of European Risk Identification for all relevant bodies.
Risk	Availability of funding, willingness of safety data owners to join the programme and share their data.

Strategic Objective 2.1	Applying an advanced, pro-active and systematic approach to aviation safety
Action	To produce Safety Intelligence and Performance information as part of the safety risk management process, and in particular information on safety issues, through analysis of safety data or research efforts.
Expected output	To have a mature and consistent, safety risk management process fully integrated with the EPAS to identify, control and monitor safety issues as part of a closed loop process.
Indicator (KPI)	100% of safety risk portfolios qualified by data analysis (reactive), risk assessments (proactive) and continual performance monitoring.
Risk	Quality of data and provision of analysis resources to complete the process development and analysis tasks.

Strategic Objective 2.1	Applying an advanced, pro-active and systematic approach to aviation safety
Action	To consolidate the implementation of the Research Strategy.
Expected output	Provision of a Research Strategy and delivery of research activities that supports the needs of the EPAS and wider aviation industry.
Indicator (KPI)	Completion of research tasks to meet the needs of the European Aviation Community and approval of the Research Strategy.
Risk	Insufficient funding of the Research Strategy.

6.2.2 Risk-based Safety Programming

Strategic Objective 1.1	Facilitating competitiveness, innovation and emerging technologies which generate European success
Action	Ensure that the Agency's Strategic Plan takes due account of the EU and worldwide economical context and medium/long term perspectives.
Expected output	The Strategic Plan includes an analysis of the economical context and medium/long term perspectives supporting strategic objectives.
Indicator (KPI)	Validation and recognition of the Strategic Plan by the Agency key stakeholders.
Risk	Dependence on the quality of external input.

Strategic Objective 6.1	Demonstrating integrity by assuring technical independence and robustness of safety decision making

Action	Ensure that emerging risks related to new technologies are analysed to find the most cost-efficient and business enabling mitigation measures.
Expected output	Emerging risks related to new technologies are addressed both proactively and in a performance based manner.
Indicator (KPI)	100% of emerging risks identified by the Safety Risk Panel are assessed against preliminary impact assessment.
Risk	Relies on the availability of sound safety and economic data.

Strategic Objective 3.1	Identifying safety deficiencies and taking corrective actions in a common, coordinated and rapid manner
Action	Reinforce the "oversight" dimension in the EPAS.
Expected output	Increased reactivity of EPAS by giving more focus to short-term actions.
Indicator (KPI)	30% of the EPAS actions are "oversight" actions for the Member States 70% of the Member States oversight actions in their State Safety Plan derive from the EPAS.
Risk	The tendency to over-regulate remains to the detriment of focussing on oversight.

6.3 Safety Promotion

Safety promotion is one of the three complementary means (with Regulations and Oversight) to address safety risks. The objective of safety promotion is to enhance the risk awareness and safety culture of all actors involved in aviation safety, through training activities, the publication of safety information material, the sharing of best practices, etc. It deals with the fundamental aspects of safety culture, human performance and behavioural elements. Safety promotion is a very efficient means to address safety issues, both in term of impact and cost effectiveness. In the past 10 years, the main focus was given by the Agency to rulemaking and oversight actions; therefore raising the role of safety promotion will be a key priority for the coming years. Furthermore, to be effective, safety promotion actions should be implemented in a systemic manner, relying on all concerned actors: the Agency, the Member States and the organisations and individuals involved in aviation. Finally the embodiment of safety promotion in the core activities of the Agency will require further streamlining and integration of the safety promotion process.

Strategic Objective 3.2	Integrating technical resource management at European level for efficiency, effectiveness and flexibility
Action	Ensure that safety promotion actions are coordinated at EU level, including the pool of resources across NAA where feasible.
Expected output	Safety Promotion is an EU-wide, fully coordinated activity
Indicator (KPI)	In any Member State (MS), at least 50% of the safety promotion actions result from EU-wide cooperation
Risk	Lack of feedback on implementation and effectiveness of Safety Promotion Actions

Strategic Objective 4.3	Pledging to improve, refine and simplify processes, procedures and practices so as to drive efficiency
Action	To streamline and integrate the Safety Promotion process in the Agency activities.
Expected output	Safety Promotion becomes a core activity of the Agency. The role of the Agency in Safety Promotion is recognised in the aviation community.

Indicator (KPI)	KPI to be defined at later stage because EU-wide visibility of the Agency in Safety Promotion needs to be first measured through stakeholders' feedback survey as an initial benchmark.
Risk	Resistance to change – trend to overregulate instead of using safety promotion tools.

6.4 Regulation

The Agency manages and coordinates the preparation of EU regulation related to the civil aviation safety and environmental compatibility. In this context, EASA produces and submits opinions to the European Commission and adopts supporting Certification Specifications, Acceptable Means of Compliance and Guidance Material. In order to produce less, better and timely regulations, the Agency will need to streamline and improve the involvement of key stakeholders in the rulemaking process, introduce progressively a Performance Based Environment and generalise fact based decision making by making use of Impact Assessment methodologies at all stages of the process:

- - Preliminary Impact Assessment at the programming phase
- - Regulatory Impact Assessment at the Rule Development phase
- - Ex-post evaluations once the regulations have been implemented

Strategic Objective 1.1	Facilitating competitiveness, innovation and emerging technologies which generate European success
Action	Ensure that all new regulations or amended regulations are, when feasible, performance based and enable the introduction of new technologies.
Expected output	EU performance based regulations better adapt to an evolving environment.
Indicator (KPI)	In 2018 100% of impact assessments have assessed the possibility to use a performance based approach.
Risk	Risks inherent to a performance based approach: difficulties in term of oversight and enforcement. Possible impact on level playing field.

Strategic Objective 5.1	Redefining and simplifying Rulemaking activities
Action	Monitoring the consultative bodies to align stakeholder needs, address overlaps and remove duplication.
Expected output	Streamlined, more effective and accelerated rulemaking procedures to cater for stakeholder's need and important safety issues.
Indicator (KPI)	100% of consensus established with advisory bodies are accepted in the legislative phase (EASA Committee).
Risk	Failure to properly collect and assess stakeholders' input.

Strategic Objective 5.1	Redefining and simplifying Rulemaking activities
Action	Conduct preliminary impact assessments.
Expected output	Accelerated identification of the adequate measure to react on identified safety gaps (decision on the way forward: Rulemaking Task, Safety Information Bulletin, Operational Directive, oversight action or Safety promotion).
Indicator (KPI)	Availability of a working procedure and implementation.
Risk	Fall back to existing procedures.

Strategic Objective 6.1	Demonstrating integrity by assuring technical independence and robustness of safety decision making
Action	Ensure the use of data-driven impact assessments.
Expected output	Agency decisions on safety actions are based on objective facts with a sound justification.
Indicator (KPI)	All Agency medium/long term safety actions supported by an impact assessment.
Risk	Lack of sound data to support the process.

Strategic Objective 5.2	Assessing Rules and Regulations to ensure they are effective, proportionate and remain relevant
Action	Include in the Rulemaking Programme the evaluation of already implemented rules.
Expected output	Existing EU Aviation Safety Regulations are assessed proactively on the basis of their effectiveness and efficiency and amended as a result of this exercise.
Indicator (KPI)	2017: 10% of the tasks in the Rulemaking Programme are ex-post evaluations 2019: 30% of the tasks in the Rulemaking Programme are ex-post evaluations
Risk	Constant shift of priorities due to the perception of more urgent rulemaking actions - also linked with the tendency of overregulating.

6.5 Product Safety/ Environment Oversight

The Agency is responsible for the initial Airworthiness certification (including the environmental and operational suitability aspects), the continuing airworthiness of the approved type designs and provides services upon request of the industry such as support in the validation of European products in third countries.

The Certification activity has developed successfully over the past years. Nevertheless, continuous improvement efforts such as the streamlining of the existing working methods and the continuous work to further improve aviation safety will have a significant impact during the coming years. Therefore the following actions have been identified in the field of product safety oversight, providing a tangible contribution to the achievement of the strategic objectives.

Strategic Objective 4.3	Pledging to improve, refine and simplify processes, procedures and practices so as to drive efficiency
Action	Providing stakeholders with high quality services both in terms of handling applications (e.g. managing incoming applications and issuance of certificates and invoices) and of technical elements of the certification process (e.g. communication and defining the necessary level of involvement).
Expected output	Maintain an acceptable level of positive stakeholders feedback received through regular questionnaires.
Indicator (KPI)	The overall stakeholders' satisfaction rate, measured through surveys addressed to certificate holders after the completion of the certification

	tasks in the field of Initial Airworthiness, should be 2017: ≥76%; 2018: ≥77%; 2019: ≥78%; 2020: ≥78%
Risk	A low level of satisfaction will undermine the reputation of the Agency.

Strategic Objective 4.3	Pledging to improve, refine and simplify processes, procedures and practices so as to drive efficiency
Action	Streamlining the existing working methods (e.g. procedures and work instructions) in the framework of the implementation of the Level of involvement concept.
Expected output	More effective usage of available resources.
Indicator (KPI)	(1) Number of performed hours per project category as a percentage of the standard project hours. The expected range of acceptable values for the years 2017-2020 is 80%-120%. (2) Actual project duration as % of the standard project duration (for projects closed in the reporting period)
Risk	Inappropriate level of involvement may negatively affect product safety.

Strategic Objective 4.3	Pledging to improve, refine and simplify processes, procedures and practices so as to drive efficiency
Action	Revision of the existing Bilateral Agreements, aiming for the acceptance of foreign certificates, in order to avoid any duplication or any unnecessary administrative or technical work.
Expected output	Revision of the Annexes under the Bilateral Agreements by 2020.
Indicator (KPI)	Reduction of workload following the improvements implemented (target to be defined).
Risk	Not complying with stakeholders expectations in terms of efficiency gains.

Strategic Objective 5.2	Assessing Rules and Regulations to ensure they are effective, proportionate and remain relevant
Action	Assess the existing Rules, Regulations and Certification Specifications (CSs).
Expected output	Less prescriptive rules and harmonised CSs with bilateral partners.
Indicator (KPI)	To harmonise with the Federal Aviation Administration the CS 27 and CS 29 by 2020.
Risk	Not complying with stakeholders expectations in terms of efficiency gains.

Strategic Objective 1.1	Facilitating competitiveness, innovation and emerging technologies which generate European success
Action	Develop a risk based, operation centric EU regulatory framework for RPAS using performance based regulation principles. It includes 3 categories: open, specific and certified.
Expected output	Implementing rules (IR) for the 3 categories and associated Certification Specifications, standards and safety promotion actions
Indicator (KPI)	In accordance with the rulemaking programme. IR to be adopted by end 2017.
Risk	Hampering the creation of a healthy drone industry.

Strategic Objective 5.1	Redefining and simplifying rulemaking activities
Action	Simpler, lighter, better regulations for General Aviation (GA).
Expected output	Implementing rules, Acceptable Means of Compliance and Guidance Material; certification specifications; standards, safety promotion actions.
Indicator (KPI)	Develop the expected output in full compliance with the GA roadmap.
Risk	Stagnation and even reduction of GA activities.

In addition to the specific actions highlighted above Product Safety/ Environment Oversight activities include the daily operational work for Initial Airworthiness certification and Continuing Airworthiness oversight. The trend described in the following graph takes into account the current available information and estimates however it can be subject to changes in case of new products being developed or unexpected complexity arising due to new technologies. In the upcoming years the Agency wants to increase its effort in Continuing Airworthiness in order to assure the current high safety standards.

Graph: number of direct technical hours (project related) expected per Product Safety/ Environment Oversight activities
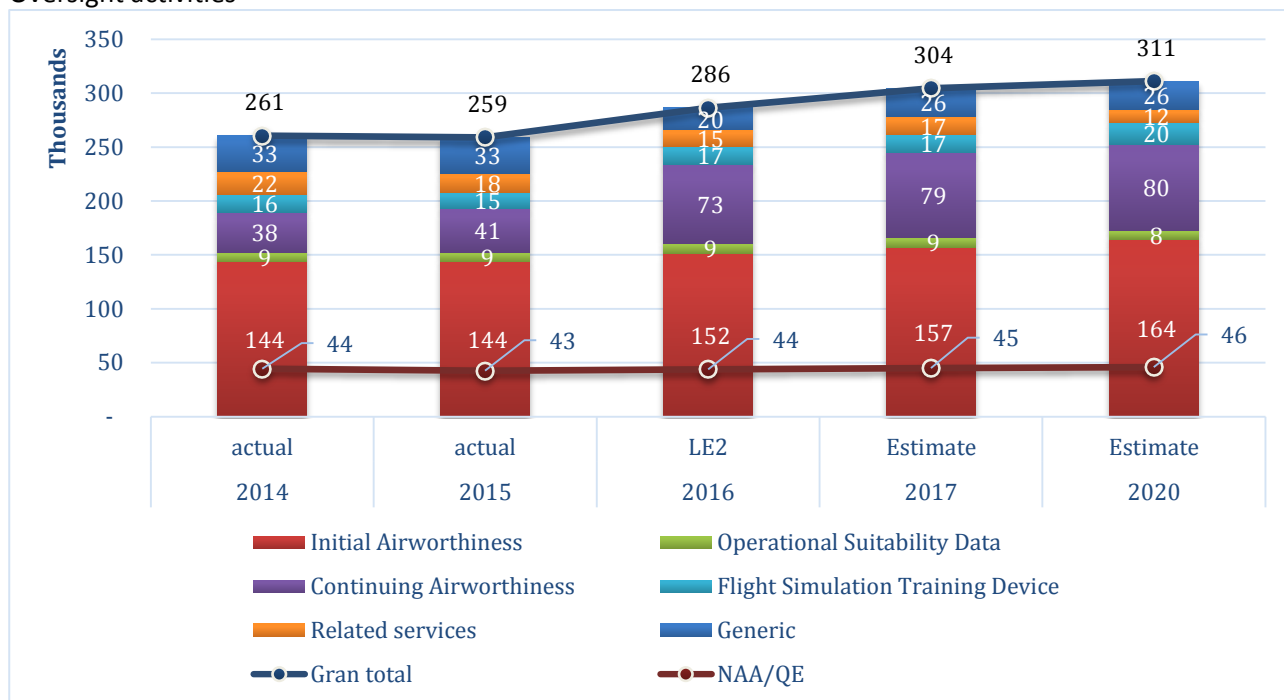
6.6 Organisation Approvals

The organisation approvals activities consist of approval and oversight of organisations responsible for production, maintenance, maintenance training, continued airworthiness management and flight crew licensing located outside the territory of the Member States, and design organisations wherever located. With the second extension of the remit to ATM/ANS, the activities include the approval and oversight of Pan-European Air Navigation Service providers, Air Traffic Controller training organisations outside the territory of the Member States and the oversight of the Network Manager on behalf of the European Commission.

Strategic Objective 3.1	Identifying safety deficiencies and taking corrective actions in a common, coordinated and rapid manner
Action	Further develop the risk based oversight approach in the domain of organisations approvals.
Expected output	Incorporation of the risk based oversight approach into the Organisations Approvals Procedures.
Indicator (KPI)	Availability of adopted procedures for Organisations oversight.
Risk	Description of the associated risks.

Strategic Objective 1.2	Sustaining worldwide recognition for the European aviation safety system
Action	Further explore the possibilities of Bilateral Agreements and Working Agreements to enable a transfer of oversight, acceptance of foreign approval systems or accreditation, where this would be a safe and sound measure.
Expected output	Reduction of agency involvement after signature of any specific Bilateral Aviation Safety Agreement (BASA) or Working Arrangements (WA).
Indicator (KPI)	Number or organisations transferred (depending on the number of approved organisations in the country affected by the BASA or WA).

Risk	Increasing complexity of the international approval system instead of a reduction in complexity.

Strategic Objective 1.2	Sustaining worldwide recognition for the European aviation safety system
Action	To promote the EASA system by contributing to the implementation of Design Organisation Approval (DOA) principles (Part 21 subpart J) in the regulatory system of foreign authorities.
Expected output	Development of training sessions and exchange programme with foreign authorities, in accordance with the requests.
Indicator (KPI)	By 2020 one authority outside EU applying the DOA principles.
Risk	Subject to the number of request coming from the foreign authorities, impact on resources.

In addition to the specific actions highlighted above Organisation Approval activities include the daily operational work. The trend described in the following graph takes into account the current available information and estimates however it can be subject to changes in case of new big organisations not used to work with the European system.

Graph: number of direct technical hours (project related) expected per Organisation Approval activities
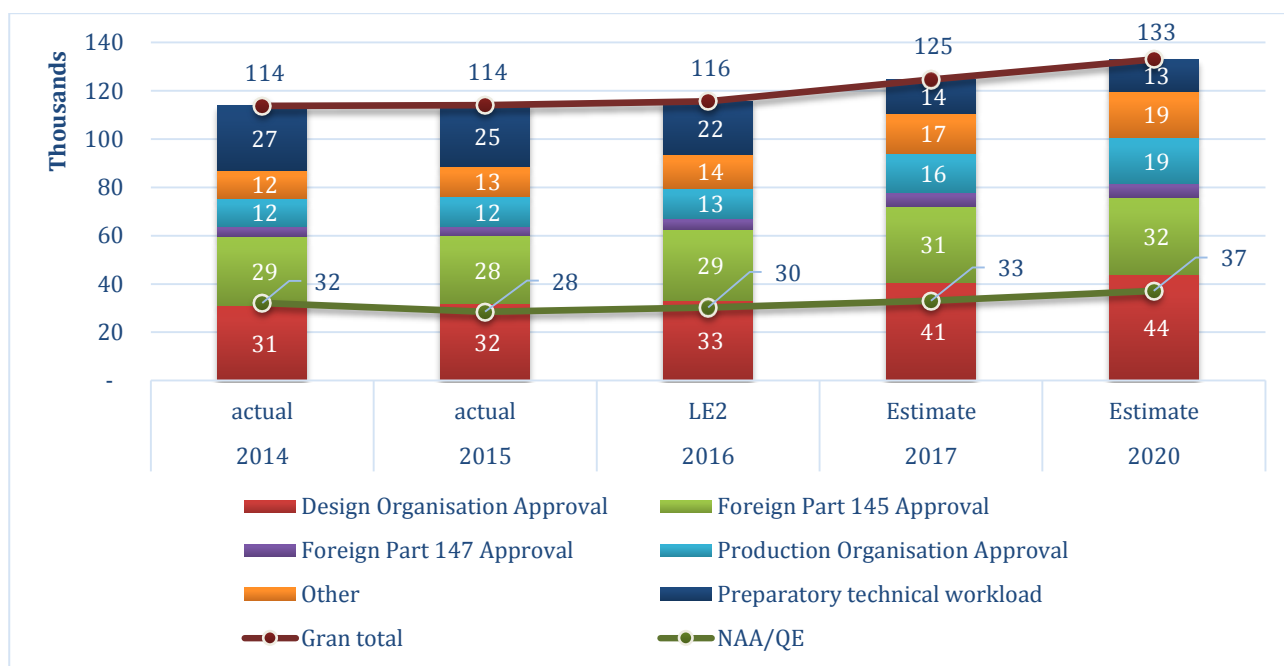
6.7   Oversight of the European Aviation System

6.7.1   Inspection of Member States – Standardisation

Tasked with monitoring the application by national competent authorities of the Basic Regulation and its Implementing Rules, EASA's standardisation activities will focus on the implementation of Authority requirements in OPS and Air Crew to complete the programme of cross-domain assessments and review of EPAS actions. To ensure all domains benefit from the experience gained in this context, training and workshops for standardisation team leaders will be organised. The standardisation process is being

extended to cover the Aerodromes domain in order to commence the oversight in 2018 and to provide implementation assistance to Member States upon request. In addition, EASA and International Civil Aviation Organisation (ICAO) will continue their collaboration and seek the implementation of their Working Arrangement to exchange data and information.

Strategic Objective 3.1	Identifying safety deficiencies and taking corrective actions in a common, coordinated and rapid manner
Action	Building on the lessons learnt from the cross-domain assessments, enhance the competencies of the Standardisation inspectors in order to prepare them for the new regulatory environment with regard to Authority Requirements.
Expected output	Increased competence of Standardisation inspectors.
Indicator (KPI)	All Standardisation inspectors have acquired the necessary additional competencies by 2017 and successfully completed an initial training by end of 2016.
Risk	Delays in achieving increased inspector competence may lead to a delay in the efficient implementation of the Risk-based Oversight system.

Strategic Objective 3.1	Identifying safety deficiencies and taking corrective actions in a common, coordinated and rapid manner
Action	Further develop/complete the capacity for oversight in the Aerodromes' domain.
Expected output	Final expansion of Standardisation activities to the Aerodromes domain.
Indicator (KPI)	Availability of the final set of working methods and procedures.
Risk	Delayed capability of Standardisation of Aerodromes Regulations.

6.7.2 Third Country Operators

The authorisation of Third Country Operators (TCO) performing commercial air transport operations in territories covered by the EASA Basic Regulation will contribute directly to enhancing the data-driven safety plan for Europe.

Strategic Objective 3.1	Identifying safety deficiencies and taking corrective actions in a common, coordinated and rapid manner
Action	Develop a new articulation between the EU Air safety list and the TCO authorisation system in order to enhance the effectiveness and efficiency of both instruments and to ensure a coordinated approach when dealing with negative TCO decisions on safety grounds.
Expected output	Evaluation for a possible revision to the safety list regulation and if needed TCO regulation to ensure consistency between the two systems and improve their effectiveness and efficiency.
Indicator (KPI)	Publication of a new air safety regulation one year after entry into force of the new Basic Regulation.
Risk	Inefficient management of TCO due to duplication of activities.

Strategic Objective 3.1	Identifying safety deficiencies and taking corrective actions in a common, coordinated and rapid manner.
Action	Further develop the Continuous Monitoring Programme (CMP) in terms of effectiveness and efficiency.

Expected output	A robust and sustainable TCO CMP that is part of a holistic and systemic approach to approved entities ensuring that all information is timely available in all affected domains.
Indicator (KPI)	All authorised third-country operators holding at least another EASA approval (i.e. Part-145, ATO) are part of an integrated monitoring system by 2020.
Risk	Unmitigated safety hazards stemming from authorised third-country operators.

6.7.3   Ramp Inspection Programmes (SAFA/SACA)

The Ramp Inspection Programmes (Safety Assessment of Foreign Aircraft (SAFA)/ Safety Assessment of Community Aircraft (SACA)) will contribute directly to enhancing the data-driven safety plan for Europe and disseminating EU regulations and products. This will be achieved by integrating safety data/indicators from other processes in the ramp inspections programmes in order for those to become more risk-based and by continuing the coordination, cooperation and information sharing with key external partners (EC, ICAO, and International Air Transport Association).

Strategic Objective 1.2	Sustaining worldwide recognition for the European aviation safety system
Action	Further expansion of the European ramp inspection programme by selecting and inviting new strategic partners globally to become participating states, in accordance with the EASA International Cooperation Strategy 2016-2020.
Expected output	The signature of a working arrangement (WA) with several of the States identified in the Implementation Plan of the EASA International Cooperation Strategy 2016-2020.
Indicator (KPI)	Three new WAs signed by 2020.
Risk	Regional (political) complications for States joining a European programme; Impaired ramp inspection data quality due to a rapid growth and/or capability/willingness of the new state to obey to the programme standards; Insufficient resources to manage the growth.

Strategic Objective 3.2	Integrating technical resource management at European level for efficiency, effectiveness and flexibility.
Action	Based on the outcome of the 2017 feasibility study, develop and maintain a European pool of ramp inspectors who can be seconded to other Member States and to EASA in Europe whenever necessary.
Expected output	A pool of ramp inspectors holding a common mutually-recognised European authorisation / qualification.
Indicator (KPI)	At least 5 States participating in such EU pool of ramp inspectors by 2020.
Risk	Lack of resources in the participating Member States Negative outcome of the feasibility study.

6.8   International Cooperation

EU Member States have obligations as ICAO Contracting States. EASA has a mandate, under the Basic Regulation, to help them comply with these obligations. Resources are limited both at national and within EASA and it is therefore critical to optimise the use of relevant European resources to this effect. Many ICAO Standards and Recommended Practices (SARPs) have important implications for safety and for the competitiveness of the European aviation industry. It is therefore of strategic importance for Europe to strengthen its presence and influence in the ICAO SARPs development processes, both through EASA and the Member States.

Strategic Objective 3.2	Integrating technical resource management at European level for efficiency, effectiveness and flexibility
Action	Develop and reinforce existing coordination mechanisms in order to increase EU's influence in ICAO.
Expected output	EU's available resources will be organised with a view to achieving, in the most efficient way, the maximum possible impact on ICAO processes.
Indicator (KPI)	Number of ICAO panels and working groups with an effective European coordination mechanism.
Risk	The main risk is to develop heavy or sub-optimal mechanisms whose functioning would consume too many EASA or Member States resources.

Due to the international nature of air transport, safety and environmental protection cannot be achieved by stopping actions at the EU borders. Similarly, the stakes for the European industrial and technological activities are international by nature and conditioned by international standards (i.e. Standard Bodies). In this context, the international dimension of aviation safety regulators is becoming more and more critical and deserves consideration in the Agency's strategic planning.

Therefore, EASA and the EU need to develop international cooperation instruments, either Bilateral Aviation Safety Agreements (BASAs) at EU level, or Working Arrangements (WAs) at EASA level, to organise efficiently and effectively their international cooperation with international aviation partners.

Strategic Objective 1.1	Facilitating competitiveness, innovation and emerging technologies which generate European success
Action	Develop balanced and effective arrangements and agreements, to be concluded respectively by EASA and the EU, with major aviation partners worldwide, with a view to facilitating the free circulation of goods and services while contributing to ensuring a uniform high level of safety in the EU and beyond.
Expected output	Conclusion by the EU of Bilateral Aviation Safety Agreements (BASAs) negotiated with the proactive support of EASA, and conclusion by EASA of Working Arrangements (WAs), that will reduce administrative and technical barriers for access to foreign markets while improving aviation safety.
Indicator (KPI)	Conclusion of BASAs and / or WAs with major aviation partners within the 2017-2020 period.
Risk	Risk of unbalance in BASAs and WAs, to the detriment of European Industry Safety risk in case of deficiency in some foreign partners' safety systems.

Through its technical cooperation activities, the Agency works with the National Aviation Authorities and other partners worldwide to raise global aviation safety standards. It provides technical assistance to countries and regions, and helps to improve the regulatory and oversight capabilities of national and regional aviation authorities.

To this end, EASA manages EU-funded civil aviation cooperation projects, working hand-in-hand with the European Commission. The Agency's in-house technical expertise together with the strong partnership with some National Aviation Authorities is key for the successful implementation of these projects. The main aim for the future should be to become the leading capacity in the field of EU funded aviation technical cooperation programmes.

In order to better prioritise and organise the work related to these technical cooperation programmes and projects the Agency developed an "EASA International Strategy" with the objective to put EASA at the centre of the EU international technical cooperation activities and to also ensure safety and environmental protection on the international level. In addition it aims on the promotion of EU standards and the provision of support to European industry interests.

Strategic Objective 1.2	Sustaining worldwide recognition for the European aviation safety system
Action	Implement and keep updated the "EASA International Strategy".
Expected output	Recognition and respect of EASA as a strong partner with integrity, transparency and professional excellence. Based on this EASA shall become the leading implementer of the EU funded aviation technical cooperation programmes.
Indicator (KPI)	Initiation of at least 3 new EU funded projects managed by EASA by taking the official leading function within the 2017 – 2020 period.
Risk	The main risk is that the Commission might decide not to give all the projects to EASA as the leading party. Another risk is the difficulties to secure contribution of technical units to the Agency's International activities.

The Agency is tasked to provide high quality technical training to all EASA Staff, to NAAs staff and to the Agency's stakeholders as applicable. The main objective of the Agency's Technical Training System is therefore to achieve and maintain, using best industry practices and all available tools, a high level of competency for each staff member in accordance with the duties and responsibilities assigned by the Agency, while remaining current on latest developments in aviation and in order to ensure the necessary technical expertise to carry out the Agency's core activities.

In addition to that special emphasis has to be put on improving the cooperation with NAA training experts and the creation of platforms and processes allowing for a more efficient, effective and flexible resource management for aviation training on EU level.

Strategic Objective 3.2	Integrating technical resource management at European level for efficiency, effectiveness and flexibility
Action	Support the coordination of technical resource management related to the provision of technical training at EU level through the activities related to the enhancement of expertise of Member State staff by getting the Virtual Academy fully operational, by providing courses to NAA staff and by establishing an authority training expert platform (Common Training Initiative Group).
Expected output	EU's available resources in the field of technical training will be organised with a view to achieving, in the most efficient way, the maximum possible impact on the quality of technical training for NAA staff.
Indicator (KPI)	Scope and affectivity of EU coordination mechanisms for technical training managed by EASA.
Risk	The main risk is that NAA staff and the coordinating training focal points will not be in a position (resources / funding) to participate in these activities.

6.9 Support activities

The strategic workforce planning (SWP) in the Agency will be a continuous process that will aim at identifying the profiles needed to support the organisation in delivering its strategic objectives. It will be about identifying the right person in the right job at the right time. SWP is a management process which

will be used to plan for future staff needs, changes and challenges. SWP is also about identifying, assessing, developing and sustaining staff skills to successfully accomplish business goals and priorities while balancing the needs and expectations of the staff. Through this process, the Agency will gain the necessary insight into the staff's capacity and needs so that the top management can make strategic human resources decisions and take purposeful, timely action towards developing their people.

With regard to financial management, EASA will further develop a sustainable and consistent funding scheme taking into account the realities and potential of the aviation industry as well as the future advances in order to secure the long-term funding of the Agency.

The EASA Applicant portal will be deployed as a standard gateway for all application types and master data self-management by applicants. Moreover, a forecasting system will be put in place in order to estimate the number and type of received applications.

With regard to facilities, EASA will further develop and provide functional, secure, safe, healthy and productive working environment. It will manage all Agency sites with the aim to obtain long-term value for money under its lease agreements.

Strategic Objective 4.1	Empowering individuals to develop, engage and grow so as to deliver on our priorities
Action	Build up the Aviation Safety Talent Community
Expected output	The Agency has sufficient number of motivated, innovation-prone and high-potential staff
Indicator (KPI)	Strategic workforce planning implemented by end 2017
Risk	Insufficient number of skilled applicants

Strategic Objective 4.3	Pledging to improve, refine and simplify processes, procedures and practices so as to drive efficiency
Action	Ensure that applicants have access to transparent and predictable information on the status and cost of their applications and existing certificates.
Expected output	Full service applicant portal and dedicated applicant relations team
Indicator (KPI)	-Targeted processing times published for all applications by the end of 2016 -Actual processing times measured and reported against target by 2017 -85% of processing time targets met by 2018 - Full online submission of applications by 2019 - Overall applicant satisfaction rate consistently above 80% for the period 2018-2020. Verified by annual survey.
Risk	Factors beyond the control of EASA influence satisfaction rates.

Strategic Objective 3.3	Establishing a new financial scheme to sustain the European aviation safety system
Action	Further develop a sustainable and consistent funding scheme.
Expected output	A simplified system that ensures a balanced financial situation.
Indicator (KPI)	After review, Fees and Charges (F&C) surplus/deficit compared to actual costs is <10%

Risk	Unbalanced financial situation, unfair treatment of applicants, too complex funding scheme leading to inefficiency.

Strategic Objective 4.3	Pledging to improve, refine and simplify processes, procedures and practices so as to drive efficiency.
Action	Secure and rationalise the Information Technology (IT) architecture integrating clouds services.
Expected output	'as-is' IT architecture assessed, 'to-be' IT architecture defined and deployed, taking into account IT security needs and clouds services.
Indicator (KPI)	'to-be' IT architecture defined and deployed by 2020.
Risk	Business needs and/or information/data architecture unclear preventing from rationalisation of number of technologies and/or usage of clouds services.

Strategic Objective 4.2	Creating a quality work environment that helps staff succeed
Action	Deploy the Corporate mobility programme with the aim to reduce carbon footprint.
Expected output	Policies on business travel, conference management and commuting target the lowering of CO_2 emissions to sustainable levels by year end 2017.
Indicator (KPI)	Carbon footprint ($kgCO_2e$) per full-time equivalent employee measurement for the period 2018-2020.
Risk	Development of EASA activities requires increased levels of business travel and/or face-to-face meetings on site.

7 Human and financial resources -outlook for years 2017-2020

7.1 Overview of the past and current situation

7.1.1 Financial resources

From a financial perspective, 2015 was a successful year and the provisional results show a stable and sound financial situation. The financial targets have been comfortably achieved and even exceeded.

The positive financial results of 2015 and previous years are a solid basis to build on for the future, in order for the Agency to meet its strategic and operational objectives.

In 2015, the Agency invoiced 99.6m EUR, an increase of +1.4% compared to 2014. The very high debt recovery level was maintained this year resulting in 101.6m EUR being cashed in.

The Agency performed according to its planned activities achieving again a very high budget execution rate of 98% (C1).

In 2016, the Agency's expenditure trend is in line with 2015 achieved budget execution. As from 2016 the Agency has to pay the pension contribution for the F&C financed staff, amounting to almost 8.6m EUR. As a consequence, and given that F&C tariffs have not been reviewed, the Agency does not expect to close the year with a financial surplus, unlike previous years.

7.1.2 Human resources

In 2015 the Agency made a significant effort in terms of recruitment filling completely the approved establishment plan for 2015. On the 1st of January 2015 the Agency had 650 filled posts. By the 31st of December 2015 it recruited up to the limit of 679, as defined by the approved establishment plan. Detailed data is provided under chapter 9.4.

7.2 Resource programming for the years 2017 -2020

7.2.1 Financial resources

The current Single Programming document takes into consideration financial and human resources stemming from the ongoing revision of the Basic Regulation (see chapter 7.2.3). The key highlights are as follows.

Revenue:

F&C activities: the expected revenue is based on a market evolution estimated on the basis of available information. In most areas the activities are estimated to be stable with the only exception being certification activities linked to new type certificates, to be issued for the Chinese and Russian products that started in 2016. For future years, certification of new products from non-EU states (e.g. Japan, China, Russia, …) are included in the workload forecast, as well as effects stemming from the evolution of the bilateral agreements.

EU subvention: the amount considered in the present plan is aligned to the 2014 -2020 Multiannual Financial Plan issued by EU Commission in 2015. Additional funding has been included in the Agency's financial statement, to be released only once the New Basic Regulation has been adopted (c.f. chapter 7.2.3).

Expenditure:

Staffing: in the definition of the staffing evolution the Agency applied the reductions for the EU Subsidy financed posts as per the 2014 -2020 Multiannual Financial Plan while for the F&C funded posts the estimated workload requires that the 2016 levels are kept constant. In 2016, EASA was considered as a pilot case, by DG BUDGET, and the workload analysis and the efficiency measures taken, lead to the reduction of only one F&C post in 2017, compared to 2016.

In terms of cost estimation the projections include an annual increase equal to 2.8% in 2017 and 1% for every subsequent year. This includes the cost of life adaptations. The pension contribution for the F&C covered posts is fully accounted for. An element of risk for the expenditure management is the evolution of the school fees covered by the Agency. Moving to younger staff due to the natural turnover implies a growing pressure on that expense.

Building, infrastructure and other operating expenses: mid- 2016 the Agency moved to the new premises. As from 2017 and onward the costs included refer to the operational costs because the move and the fit out of the new building will be completed by the end of 2016. It must be noted, despite the significant increase in office space and environmental standards, the total rent is equal to the one paid for the previous building.

Operational expenses: the evolution of the activities of the Agency (i.e. TCO) together with the dynamic of the salaries (i.e. pension contribution for the F&C Staff) are increasing the constraints. In the plan this implies that certain activities like Research need to develop alternative funding means in order to assure an adequate level. In the context of the revision of the Basic Regulation the Agency can hardly accept new activities without adequate resources. As from 2017 the Agency will have to start a revision of the F&C scheme, in order to cope with the market evolution and the increasing imbalance between revenues and costs. This effect can be initially compensated by drawing from the F&C reserve, but in the long-run a balanced F&C situation must be achieved.

7.2.2   Human resources

The evolution of the staff in the period 2017 -2020 as indicated 7.2.1 will consider the proposed post reduction as stemming from the 2014 -2020 Multiannual Financial Framework. In this planning no new or expansion of additional tasks are foreseen because the revision of the Basic Regulation is still on-going and at the same the current funding levels do not allow the absorption of new initiatives.

As in the past the Agency will continue to work to increase its efficiency through constant process monitoring and improvement. In addition, having reached the full staffing level, all new posts that become vacant due to retirement or leavers will be awarded only to activities having the highest strategic priority.

7.2.3   Impact of the revised basic regulation on EASA resources

Related to the new Basic Regulation, DG MOVE requests for EASA the below depict increase in human and financial resources. The staff and financial resources quoted below correspond to the current version of the Agency Financial Statement, from May 2016. Negotiations between the European Parliament, the European Commission and the Member States are still on-going, consequently, this proposal does not necessarily reflect the potentially more advanced state of the talks. Once the definitive remits of the New Basic Regulation have been agreed upon, EASA will need to carefully evaluate its scope, to commit to the

level of adjustments necessary to its financing and staffing plan. The availability of funds and posts mentioned below is subject to the adoption of the new Basic Regulation.

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Heading		Heads		2017	2018	2019	2020
EASA baseline: Subisidy Part (EU contribution)		223 TA	42 CA	34.870	34.870	35.568	36.279
Heading 1a Competitiveness for Growth and Jobs		+5 TA	+4 CA	+1.115	+2.045	+1.395	+1.395
Safety management process between the EU - Member States	European repository (Art. 28): data for decision-makig and monitoring		+1 CA	+0.436	+0.570	+0.270	+0.270
	Big Data: data and analysis for European aviation system	+2 TA	+1 CA	+0.062	+0.334	+0.334	+0.334
Ensure its consistency in the regulatory system	Ground handling (Art. 11): system of common requirements	+1 TA		+0.028	+0.132	+0.132	+0.132
	Harmonisation of Security and Safety aspects (Art. 40)	+1 TA		+0.028	+0.132	+0.132	+0.132
	Environmental Protection: Certification and Report (Art. 39)	+1 TA		+0.158	+0.282	+0.282	+0.282
Effective pooling and sharing of resources between Member States and the Agency	Promotion of risk and performance based oversight methods			+0.086	+0.100	+0.100	+0.100
	Pool of experts (Art. 17)		+1 CA	+0.096	+0.175	+0.075	+0.075
	Framework for delegation of responsibilities (Art. 18)			+0.151	+0.175		
	Ensure common training standards (Art. 43)		+1 CA	+0.070	+0.145	+0.070	+0.070
EASA Subsidy Part (EU Contribution) + NEW Basic Regulation		**228 TA**	**46 CA**	**35.985**	**36.915**	**36.963**	**37.674**

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8   2017 Work Programme

8.1   Executive summary

The 2017 Work programme is the last operational step to be followed in order to translate the strategy into concrete actions and for that reason it is an integral part of the Single Programming document.
The Agency will assure that all its core operational activities are carried on with specific attention to the stakeholders and to the overall efficiency. It is expected that the organisation is able to respond promptly and efficiently to safety issues and for this reason the proposed actions are:

Safety Management
Implementation of a risk based safety management system at European level;
Implementation of an IT suite to support data analysis.

Safety Promotion
Enhance the Safety promotion concept in order to effectively support regulation an oversight;

Regulation
Development of regulation supporting new technologies and new business areas;
Increase the efficiency of processes in order to better control risks without over-regulating;

Product Safety / Environment oversight
Increase the responsiveness to incoming safety occurrences;
Streamline the implementation of the Technical Implementation Procedures with the bilateral partners.

Oversight of the European Aviation System
Expand the cross-domain assessment capabilities in the context of inspections to Member States
Extension of Continuous Monitoring Programme to all authorised Third Country Operators.
Enhance the SAFA database to obtain more relevant and accurate date

International Cooperation
Support the EU Commission in the negotiations for the BASA with China and Japan

Support Activities
Extend the use of the Applicant Portal to organisation approvals.
Enhance the staffing allocation by increasing efficiency and reducing the costs

8.2   Safety Management

In 2017, the processes needed to implement a system of risk based safety management will be consolidated into a unified Pan-European approach to support the needs of the European Aviation Community. This system will need to build on the historical, reactive approach to safety whilst also effectively integrating information on emerging risks (such as Cyber security and RPAS). This effort will drive the transition towards an efficient, pro-active and evidence-based safety system. It will rely on two pillars:
-   The strengthening of the safety intelligence and safety performance functions
-   The development of a top-down and risk-based safety programming function

8.2.1 Safety Intelligence and Performance

The Safety Intelligence and Performance activities in total will use 37.7 FTE,[12] involving 6 Seconded National Experts which includes also the resources indicated in the following actions.

Strategic Objective 1.1	Facilitating competitiveness, innovation and emerging technologies which generate European success
Action	Develop an integrated, collaborative approach to the exchange and management of safety data at European Level to support the needs of the European Aviation Community.
Expected output	Ability to exploit data sources such as the European Central Repository, Safety Recommendations Information System and any other identified sources by EASA, Members States.
Indicator (KPI)	Majority of Member States use the European data sources to support their own safety risk management activities.
Risk	Availability of Agency resources and provision of sufficient data quality by industry and the EASA Member States.
Resources	2 FTE

Strategic Objective 2.1; 2.2; 1.1; 6.1	Applying an advanced, pro-active and systematic approach to aviation safety
Action	To produce Safety Intelligence and Performance information as part of the safety risk management process, and in particular information on safety issues, through analysis of safety data or research efforts.
Expected output	To have a mature, integrated safety risk management process to include occurrence reporting, data collection and safety analysis which establishes the link between the Annual Safety Review and the EPAS and a systematic analysis of causal and contributory factors to occurrences.
Indicator (KPI)	KPIs: • Timely processing of occurrence reports • Timely execution of committed research projects • Research Resource Engagement
Risk	Quality of data and provision of analysis resources to complete the process development and analysis tasks.
Resources	15 FTE

Strategic Objective 2.2; 1.1	Using information technology to the benefit of the European Safety Management process
Action	Implement a Safety Data Management IT tool and other safety data tools (text mining) to enhance our safety management capabilities.
Expected output	A Safety Data Management IT tool that is able to provide the Agency with the intelligence needed to support its full range of activities.
Indicator (KPI)	Validation of the Safety Data Management IT tool by the EASA Safety Committee.
Risk	Availability of resources and funding.

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[12] The FTE calculation includes Temporary and Contract Agents and Seconded National Experts both directly involved with the activity or part of support.

Resources	4 FTE and 75K Euros

8.2.2 Risk-based Safety Programming

In 2017 a particular focus will be given to further integrating the planning documents of the EU Aviation System (EPAS) and of the Agency (namely the Rulemaking Programme). Of extreme importance is the need for better coordination of safety actions at EU level, and the EPAS to become the common EU-wide safety planning document. In order to achieve this the sense of ownership of EPAS by Member States must be significantly improved. A fact based, data driven approach to defining the safety priorities, as well as the improved involvement of stakeholders in the process are prerequisites.

The Risk-based Safety Programming activities in total will use 8.1 FTE involving 1 Seconded National Expert which includes also the resources indicated in the following actions.

Strategic Objective 5.2	Assessing Rules and Regulations to ensure they are effective, proportionate and remain relevant
Action	Ensure that the Agency actions engaged to improve safety are fully supported by impact assessments including safety analysis.
Expected output	Discussions with stakeholders on safety priorities are based on facts rather than emotion.
Indicator (KPI)	KPI: • Preliminary Impact Assessment Coverage
Risk	Lack of availability of data, lack of stakeholder engagement to support the Agency.
Resources	SM (SM 2: 5 FTE), CT, FS, Stakeholders

Strategic Objective 3.1; 2.1	Identifying safety deficiencies and taking corrective actions in a common, coordinated and rapid manner
Action	Make the EPAS the reference programming document for the whole EU aviation safety system.
Expected output	EPAS is seen by the Member States as they key safety programming document.
Indicator (KPI)	KPI: • At least 75% of MS State Safety Plan actions are derived from the EPAS.
Risk	Limiting the MS capacity of initiative by relying only on the EPAS. States are not mandated (yet) to have a Safety Plan.
Resources	SM (2 FTE SM2), FS, Stakeholders

8.3 Safety Promotion

Safety Promotion is a key activity to support the development of a good safety culture in Europe and address issues related to Human performance and behaviour. To further enhance the contribution of safety promotion to the improvement of aviation safety, it has to be recognised by the whole aviation community as an efficient tool. To achieve this, the involvement of stakeholders in the development and dissemination of safety promotion material is key.

The Safety Promotion activities in total will use 6.9. FTE involving 1 Seconded National Expert which includes also the resources indicated in the following actions.

Strategic Objective 1.1; 2.1	Facilitating competitiveness, innovation and emerging technologies which generate European success
Action	Develop safety promotion as a cost-effective tool to manage safety risks based on a risk regulation management process (Commercial Air Transport, Rotorcraft, and General Aviation).
Expected output	Safety Promotion is considered by the Industry, EASA, Member States and the Commission as a key pillar of safety management, equal to regulations and oversight.
Indicator (KPI)	KPIs: • Implementation Safety Promotion Programme • Safety Promotion Resource Engagement
Risk	Could lead to excessive de-regulation, reducing safety margins.
Resources	SM, CT, FS; Stakeholders; EU Commission; Member States

8.4 Regulation

In order to contribute to the EU agenda for competitiveness, more focus will be given the development or amendment of regulations aiming at supporting technological development, new business area, cost effectiveness, etc. Those tasks are grouped in the Rulemaking Programme under the driver "Efficiency". Particular effort will also be given to the ex-post evaluation in order to identify areas of possible efficiency improvement.

The Regulation activity in total will use 99.5 FTE involving 6 Seconded National Experts which includes also the resources indicated in the following actions.

Strategic Objective 1.1; 2.1; 5.1; 5.2	Facilitating competitiveness, innovation and emerging technologies which generate European success
Action	Ensure that existing and new EASA Safety Regulations are cost-efficient and performance-based in order to increase the competitiveness, job creation and growth of the EU Industry while maintaining or increasing the level of safety through impact assessment, ex-post evaluation and strategic planning.
Expected output	Actual contribution of the Agency to EU Industry competitiveness.
Indicator (KPI)	KPIs: • Share of efficiency tasks in the Safety programme • Impact Assessment Coverage
Risk	Losing sight of safety priorities, lack of support data from stakeholders because of time-consuming data collection and confidentiality issues.
Resources	SM (4 FTE), CT, FS; Stakeholders

Strategic Objective 5.1	Redefining and simplifying Rulemaking activities
Action	Effectively manage the Agency's consultation process on regulations and safety promotion material.
Expected output	The Agency decisions on safety actions achieve their intended purpose.

Indicator (KPI)	KPIs:
	• Rulemaking Process Efficiency
	• Efficient and robust resource allocation
	• Rulemaking Resource Engagement
	• Regulation Quality
Risk	Failure to identify unwanted consequences.
Resources	SM (5 FTE)

Strategic Objective 5.1	Redefining and simplifying Rulemaking activities
Action	Deploy activities related to ex-post rulemaking evaluation in order to identify areas of possible improvement and transfer into performance-based environment.
Expected output	Preliminary list of affected rules.
Indicator (KPI)	KPI:
	• Sub-Question of Regulations Quality on Quality of Impact Assessment
Risk	Not evaluated rules may be too prescriptive and/or non-proportional. A non-consistent evaluation could result in not achieving the envisaged balance between performance-based and prescriptive elements of the regulatory system.
Resources	FS 5 ex-post evaluation coordination together with experts in the domains affected (estimated 1.5 FTE in 2017).

8.5 Product Safety/ Environment Oversight

As mandated by the Regulation (EC) 2016/2008, the Agency regularly performs initial airworthiness Certification and oversight tasks (including environmental and operational suitability aspects) and continuing airworthiness oversight activities. Furthermore, it provides services upon request of the industry, such as support to validation of European products in third countries. The following tables list specific actions linked to the Agency's strategic objectives in the field of product safety oversight.

The Product Safety/ Environment Oversight activity in total will use 380.1 FTE. In addition almost 28 FTE are provided by the National Authorities / Qualified Entities through outsourcing activities. Those resources include the FTEs dedicated to the following specific actions.

Strategic Objective 1.1	Facilitating competitiveness, innovation and emerging technologies which generate European success
Action	Enhance the technical support to the industry in the validation of European products in third countries. This will be further improved taking into account the existing Bilateral Agreements and Working Arrangements.
Expected output	Validation of European products in third countries.
Indicator (KPI)	KPI:
	• Certification support for validation timeliness
Risk	Delays in deliveries for European products in third country's markets, causing potential economic losses to the industry.
Resources	3 FTEs

Strategic Objective 2.1; 3.1	Applying an advanced, pro-active and systematic approach to aviation safety
Action	Assign sufficient resources to process the forecasted increase of incoming safety information and perform the necessary continuing airworthiness monitoring together with the TC Holders (the workload in continuing airworthiness activities is expected to increase during 2017 due to the increase of the number of type certificates issued, the growing aircraft fleets in operation and the growing amount of incoming safety information).
Expected output	Maintain the current level of product safety in a changing environment.
Indicator (KPI)	KPIs: • Occurrences backlog monitoring rate • Technical acceptance of occurrences timeliness
Risk	The creation of a potential backlog in analysing the incoming safety information might undermine the overall level of safety.
Resources	50 FTEs

Strategic Objective 2.2	Using information technology to the benefit of the European Safety Management process
Action	Provide the Project Certification Managers and Experts with an IT tool supporting them in performing their daily tasks in initial airworthiness projects (e.g. receiving, sharing and commenting technical documents with the applicants).
Expected output	Implementation of the SEPIAC (Shared Electronic Platform Initial Airworthiness Certification) integrated platform.
Indicator (KPI)	Expected entry into production by mid-2017 of phase I.
Risk	Limited use of the platform by external parties.
Resources	2 FTE, 200K Euro

Strategic Objective 4.3	Pledging to improve, refine and simplify processes, procedures and practices so as to drive efficiency
Action	Streamline and harmonise as much as possible the Technical Implementation Procedures (TIP) with the bilateral partners.
Expected output	More acceptance of technical findings by other parties and less technical involvement compared to previous revision.
Indicator (KPI)	Revision of the existing TIPs by end 2017.
Risk	Not complying with stakeholders expectations in terms of efficiency gains.
Resources	3 FTEs

8.6 Organisation Approvals

The organisations approvals activities in 2017 will focus in the introduction and implementation of the Risk Based Oversight for Design Organisations approvals.

The Organisation Approvals activity will use a total of 136.3 FTE. In addition almost 27 FTE are provided by the National Authorities / Qualified Entities through outsourcing activities. Those resources include the FTEs dedicated to the following specific actions.

Strategic Objective 3.1	Identifying safety deficiencies and taking corrective actions in a common, coordinated and rapid manner
Action	Implement a Risk Based Oversight approach for the oversight of the Design Organisation Approvals
Expected output	Improve the allocation of resources in order to better focus on Safety related matters
Indicator (KPI)	DOA dashboard completed for all surveillance cases by end 2017
Risk	No specific risks identified
Resources	2 FTE

8.7   Oversight on the European Aviation System

8.7.1   Inspection of Member States

Following the completion of the 2016 cross-domain assessments, the Standardisation activity will focus in 2017 on analysing the results and implementing the full programme of standardisation inspector qualification incentives.

The Inspections of Member States activity will use a total of 69.7 FTE including 5 Seconded National Experts. Those resources include the FTEs dedicated to the following specific actions.

Strategic Objective 3.1	Identifying safety deficiencies and taking corrective actions in a common, coordinated and rapid manner
Action	Complete the Standardisation surveillance cycle in accordance with the Standardisation Inspection Annual Programme.
Expected output	Delivery of the complete Standardisation cycle.
Indicator (KPI)	KPIs: • Efficient and robust Standardisation • Active Control of overdue Standardisation findings • Timely issuance of Standardisation findings Milestones: • Definition of the implementation plan for each new domain and task • Adherence to the plan within the established time-frame for all new domains and tasks
Risk	Loss of credibility in case of less than full completion of the Standardisation Inspection Annual Programme.
Resources	31 FTEs

Strategic Objective 3.1	Identifying safety deficiencies and taking corrective actions in a common, coordinated and rapid manner
Action	Expand the cross-domain assessment capabilities to the domain of airworthiness (initial and continuing).
Expected output	Comprehensive results on cross-domain assessment (no longer restricted to FCL and OPS).

Indicator (KPI)	Availability of a complete set of cross-domain assessment procedures and questionnaires.
Risk	Lack of visibility on the implementation of Authority Requirements in the EU Member States.
Resources	1 FTE

8.7.2   Third Country Operators

Following the completion by 2016 of the initial TCO authorisations of all existing third-country operators, the TCO activity will focus in 2017 on the implementation of the Continuous Monitoring Programme (CMP).

The Third Country Operators activity will use a total of 18.4 FTE including 3 Seconded National Experts. Those resources include the FTEs dedicated to the following specific actions.

Strategic Objective 3.1	Identifying safety deficiencies and taking corrective actions in a common, coordinated and rapid manner
Action	Implement the Continuous Monitoring Programme (CMP) for all authorised TCOs in order to react appropriately and timely to aviation safety concerns that may adversely affect the safe operation of TCO authorisation holders.
Expected output	All authorised TCOs subject to the appropriate CMP
Indicator (KPI)	Milestone: • CMP fully documented • All authorised TCOs subject to CMP • 100% CMP implementation rate
Risk	Agency failing to identify timely when an authorised TCO is no longer in compliance with Part-TCO.
Resources	8 FTE

Strategic Objective 3.1	Identifying safety deficiencies and taking corrective actions in a common, coordinated and rapid manner
Action	Assist the Commission in the implementation of Regulation (EC) No 2111/2005, by conducting the necessary evaluations of third country authorities and making appropriate recommendations to the Commission.
Expected output	Evaluations of third country authorities as per agreed work programme
Indicator (KPI)	Comparison between the work programme agreed with the Commission with that actually implemented by the Agency. Measurement of the Commission's acceptance level of the technical recommendations made by the Agency.
Risk	Agency failing to adequately assist the Commission in the implementation of the EU Air Safety List Regulation.
Resources	1 FTE

8.7.3   Ramp Inspection Programmes (SAFA/SACA)

In 2017, the SAFA Coordination Section will focus on further improving the accuracy of the incoming data as well as the analytical results by enhancing the available IT tools. In addition, a study will be ongoing to investigate the achievability of a European pool of inspectors; the mutual recognition of such inspectors

would allow that resources, whenever necessary, could be pulled from such a pool by the Member States and by the Agency.

The Ramp Inspection Programmes activity will use a total of 8.9 FTE including 1 Seconded National Expert. Those resources include the FTEs dedicated to the following specific actions.

Strategic Objective 2.2	Using information technology to the benefit of the European Safety Management process
Action	Enhance the SAFA database in order to: - allow ramp inspectors to make safety driven decisions on which operator to inspect. - allow ramp inspectors to prepare themselves optimally for the inspection in order to get the best results out of the inspections - Amend the SAFA analysis interface in order to retrieve the required data with minimal manual intervention, in order to reduce human errors.
Expected output	Improved tools enabling EASA to extract more accurate and relevant data for the data analysis in a more efficient manner.
Indicator (KPI)	Enhanced satisfaction rate in the SAFA database user survey to 75% for all stakeholders.
Risk	Risk of optimal preparation is that inspectors get a tunnel vision for issues raised during previous inspections.
Resources	0,5 FTE

Strategic Objective 3.2	Integrating technical resource management at European level for efficiency, effectiveness and flexibility
Action	Explore the feasibility of creating a European pool of ramp inspectors, which can be seconded horizontally and vertically in Europe whenever necessary.
Expected output	Feasibility study for the issuance of European authorisation / qualifications for ramp inspectors in Europe, to be used without further nomination formalities in Europe.
Indicator (KPI)	Study completed and approved by December 2017.
Risk	Lack of clarity on the identity of the inspecting authority; lacking knowledge on the other member states' national (legal) specifics; Failure of the project due to the need of implementation in all member states' legal frameworks.
Resources	0,5 FTE

8.8 International Cooperation

The International Cooperation activities will be focussed in the implementation of the action plan defined in 2016 (C.f. annex 9.10). In particular, the multiannual work with ICAO and the assistance to the EU both in the implementation of the BASA and the management of the technical projects.

The International Cooperation activity will use a total of 42.4 FTE including 1 Seconded National Expert. Those resources include the FTEs dedicated to the following specific actions.

Strategic Objective 3.2; 1.2	Integrating technical resource management at European level for efficiency, effectiveness and flexibility
Action (2017)	Implement the policy and action plan for an increased influence of EASA and the EU in ICAO.
Expected output	Strategic direction on the priorities in terms of EASA relations with ICAO and initial implementation of the identified activities.
Indicator (KPI)	KPIs: • Timely provision of ICAO State Letters • Timely delivery of compliance checklists • Timely coordination of European positions and contributions to ICAO assemblies and high level conferences.
Risk	The main risk is to develop heavy or sub-optimal mechanisms whose functioning would consume too many EASA resources.
Resources	Per year EASA Project Core team 200,000 EUR, 7 FTEs EASA on-call internal experts – 30,000 EUR, 2 FTEs

Strategic Objective 1.1	Facilitating competitiveness, innovation and emerging technologies which generate European success
Action	Support the European Commission negotiating BASAs with China and Japan. Develop WAs with major EASA aviation partners, such as India, Israel, Turkey, Vietnam.
Expected output	Conclusion by the EU of Bilateral Aviation Safety Agreements (BASAs) with China and Japan. Working Arrangements (WAs) that will reduce administrative barriers for access to foreign markets while improving aviation safety.
Indicator (KPI)	KPIs: • Timely progression on Working Arrangements • Timely progression on Bilateral Agreements • Stakeholder Survey
Risk	Risk of unbalance in BASAs and WAs, to the detriment of European Industry Safety risk in case of deficiency in some foreign partners' safety systems.
Resources	4 FTEs Missions ca. 100 000 EUR

8.9 Support activities

In 2017 the Agency will have in place the first building blocks of the Strategic Workforce planning and it will also recruit the first young graduates to push through the junior graduate programme.

It is also foreseen to maintain the high standards achieved in terms of budget implementation and, if need confirmed in 2016, to ensure timely adoption of a mid-term sustainable and efficient EASA F&C system, ready to enter into force on 1 January 2018.

The Applicant portal will be further enhanced to cover applications for organisation approvals and adapted to offer more user friendly functionalities.

Strategic Objective 4.1; 1.1	Empowering individuals to develop, engage and grow so as to deliver on our priorities
Action	Ensure flexible and efficient staffing process.
Expected output	Identifying the right person in the right job at the right time.
Indicator (KPI)	KPIs: • Occupancy rate • Vacancy duration • Personnel fluctuation rate • Rate of sick leave Milestone: • Strategic workforce planning implemented by end 2017
Risk	Insufficient number of applicants, candidates not having the required specialised skills/experience, high number of leavers/retirements.
Resources	5 FTE

Strategic Objective 4.3	Pledging to improve, refine and simplify processes, procedures and practices so as to drive efficiency
Action	Implement budget according to EU and EASA rules.
Expected output	High budget implementation rate maintained and in line with sound financial management principles.
Indicator (KPI)	KPIs: • Budget committed • Carried over commitments
Risk	Change in priorities, no financial instrument (procurement) available to spend the budget.
Resources	11 FTE (budget monitoring + verification ex ante and ex post)

Strategic Objective 4.3	Pledging to improve, refine and simplify processes, procedures and practices so as to drive efficiency
Action	Extend the Applicant portal to online applications for all certificates and approvals.
Expected output	Applicants can submit and track applications for organisation approvals 24/7.
Indicator (KPI)	• Functional and technical specifications agreed and implementation partner selected.
Risk	Project delays, low level of user take up
Resources	1000 man days IT support 0.62m EUR

	0.5-1 FTE Project management

Strategic Objective 4.3; 1.1; 2.2; 3.1	Pledging to improve, refine and simplify processes, procedures and practices so as to drive efficiency
Action	Finalise the assessment and the modelling of the 'as is' Business and IT architecture and establish the first draft of the 'to be' Business and IT architecture.
Expected output	'As is' business and IT architecture formalised. 'to be' Business and IT architecture defined.
Indicator (KPI)	Milestones: • 'as-is' IT architecture assessed by 2017 KPI: • IT expanding services realisation
Risk	Incorrect information, description from business preventing from assessing the 'as is' Business & IT architecture and/or agreeing on the 'to be' business & IT architecture.
Resources	17,5 FTE internal staff, 1,000 KEUR consultancy assistance

8.10 Efficiency Gains

EASA is addressing the external and internal demands to objectively demonstrate the Agency's efficiency. For this purpose, (1) the set of indicators, included in annex 9.12 have been updated. (2) Additionally, the Agency is working on making on-going and planed efficiency initiatives more transparent. EASA is enhancing its focus on activities that add value, to increase safety, quality of its actions and responsiveness to the aviation industry. One of the initiatives that will bring positive impetus is LEAP, but also other activities are in preparation, to support the Agency in what is to become a self-sustaining continuous transformation process towards enhanced performance.

Planned/ On-going efficiency initiatives

Responsible organisational unit	End date	Objective	Efficiency gains (FTE) 2017/2021	Pre-requisites
Strategy and Programmes	2021	Levy synergies across business-, strategy- and safety-programming	0.1/2.0	None
CT product departments	2019	Implementation of the recommendations from continuous improvement processes like LEAP, CT post convergence and EASA Survey follow up	TBD[13]	Budget clearance (partly)
FS regulations sections	2019	Implementation of LEAP recommendations such as a policy to refer industry questions to the NAAs (with exceptions) and introduce online self-service content, FAQs, etc., as well as the implementation of PIA, Accelerated and Direct Publication rulemaking procedures so as to focus on resource-intensive RMTs.	by 2019: 5.2[14]	Budget clearance (partly)
Human Resources	2021	Efficiency gains based upon projects "HR IT Tools" as well as "Planning and implementation of efficiency initiatives"	1.1 / 1.4	Budget clearance
Information Technology	2018	Deployment of Identity Access Management infrastructure and digital signature and process atomisation	3.3 / 3.4	none
Applicant Services	2020	CORAL leading to a digitised certification process, revision of F&C regulation	0.4 / 5.9	CORAL
Finance and Procurement	2020	Revision of F&C regulation	0 / 0.8	Budget clearance

[13] Subject to a full implementation of the recommendations, the expectation is between 5 and 10 FTE efficiency gains
[14] it represents the ambition defined in the LEAP programme and to be implemented following the implementation plan to the extent possible

9 Annexes

9.1 Resource allocation per activity

	values in Euro		Budget 2016	Budget 2017	Draft Budget 2018	Envisaged 2019	Envisaged 2020
Fees and Charges activities	Product Certification	Revenue	65.837.000	70.317.000	67.910.000	69.279.000	69.493.000
		Title 1	- 42.900.000	- 47.272.000	- 48.990.000	- 50.439.000	- 51.415.000
		Title 2	- 13.008.000	- 8.126.000	- 7.960.000	- 7.608.000	- 7.304.000
		title 3 NAA/QE	- 11.211.000	- 11.622.000	- 11.479.000	- 12.125.000	- 12.682.000
		Title 3	- 4.458.000	- 4.850.000	- 4.572.000	- 4.295.000	- 4.371.000
		Title 4	-	p.m.	p.m.	p.m.	p.m.
		Total	**- 5.740.000**	**- 1.553.000**	**- 5.091.000**	**- 5.188.000**	**- 6.279.000**
	Organisations	Revenue	30.543.000	31.047.000	32.345.000	32.699.000	33.389.000
		Title 1	- 15.136.000	- 16.647.000	- 17.632.000	- 17.659.000	- 18.219.000
		Title 2	- 4.754.000	- 3.019.000	- 2.954.000	- 2.849.000	- 2.727.000
		title 3 NAA/QE	- 8.959.000	- 9.093.000	- 9.523.000	- 10.029.000	- 10.248.000
		Title 3	- 2.437.000	- 2.288.000	- 2.236.000	- 2.162.000	- 2.195.000
		Title 4	-	p.m.	p.m.	p.m.	p.m.
		Total	**- 743.000**	**-**	**-**	**-**	**-**
		Reserve adj for new building	6.683.000				-
		Reserve adj	- 200.000	1.553.000	5.091.000	5.188.000	6.279.000
	Total F&C		**-**	**-**	**-**	**-**	**-**
Subsidy and other contributions		EU Subsidy	36.370.000	35.985.000	36.915.000	36.963.000	37.673.000
		third country contribution	2.064.000	2.048.000	2.100.000	2.102.000	2.143.000
		Other income	566.000	363.000	414.000	342.000	397.000
	Third Country Operators	Title 1	- 1.713.000	- 1.898.000	- 1.931.000	- 1.986.000	- 2.032.000
		Title 2	- 427.000	- 321.000	- 317.000	- 304.000	- 292.000
		Title 3	- 144.000	- 87.000	- 225.000	- 219.000	- 220.000
		Title 4	-	p.m.	p.m.	p.m.	p.m.
		Total	**- 2.284.000**	**- 2.306.000**	**- 2.473.000**	**- 2.509.000**	**- 2.544.000**
	Standardisation	Title 1	- 7.792.000	- 7.662.000	- 8.189.000	- 8.251.000	- 8.491.000
		Title 2	- 1.818.000	- 1.404.000	- 1.379.000	- 1.322.000	- 1.274.000
		Title 3	- 790.000	- 736.000	- 680.000	- 678.000	- 687.000
		Title 4	-	p.m.	p.m.	p.m.	p.m.
		Total	**- 10.400.000**	**- 9.802.000**	**- 10.248.000**	**- 10.251.000**	**- 10.452.000**
	SAFA	Title 1	- 746.000	- 822.000	- 856.000	- 885.000	- 911.000
		Title 2	- 214.000	- 168.000	- 165.000	- 159.000	- 152.000
		Title 3	- 130.000	- 112.000	- 125.000	- 121.000	- 122.000
		Title 4	-	p.m.	p.m.	p.m.	p.m.
		Total	**- 1.090.000**	**- 1.102.000**	**- 1.146.000**	**- 1.165.000**	**- 1.185.000**
	Rulemaking	Title 1	- 10.191.000	- 10.772.000	- 11.136.000	- 11.408.000	- 12.159.000
		Title 2	- 2.510.000	- 1.971.000	- 1.883.000	- 1.806.000	- 1.737.000
		Title 3	- 1.039.000	- 858.000	- 922.000	- 853.000	- 870.000
		Title 4	-	p.m.	p.m.	p.m.	p.m.
		Total	**- 13.740.000**	**- 13.601.000**	**- 13.941.000**	**- 14.067.000**	**- 14.766.000**
	Int'l Cooperation	Title 1	- 3.342.000	- 2.961.000	- 2.772.000	- 2.820.000	- 2.910.000
		Title 2	- 1.200.000	- 887.000	- 914.000	- 920.000	- 891.000
		Title 3	- 719.000	- 565.000	- 484.000	- 473.000	- 471.000
		Title 4	-	p.m.	p.m.	p.m.	p.m.
		Total	**- 5.261.000**	**- 4.413.000**	**- 4.170.000**	**- 4.213.000**	**- 4.272.000**
	Strategic Safety	Title 1	- 4.128.000	- 5.102.000	- 5.668.000	- 5.528.000	- 5.619.000
		Title 2	- 1.051.000	- 902.000	- 880.000	- 843.000	- 806.000
		Title 3	- 1.046.000	- 1.168.000	- 903.000	- 831.000	- 569.000
		Title 4	-	p.m.	p.m.	p.m.	p.m.
		Total	**- 6.225.000**	**- 7.172.000**	**- 7.451.000**	**- 7.202.000**	**- 6.994.000**
	Total Subsidy and other contr.		**-**	**-**	**-**	**-**	**-**
	Grand-Total		**-**	**-**	**-**	**-**	**-**

Nota bene: a) the table above does not include the Working Budget for the NAA/Qualified Entities (QE) budget line
b) the budget 2017 as well as the draft budget figures for 2018, 2019 and 2020, are indicative at this stage, depending of the outcome of the legislative process.

Activity	2017 FTE
Product Safety/ Environmental Oversight	380.1
Organisation Approvals	136.3
Third Country Op.	18.4
Inspection of Member States	69.7
Ramp Inspection Programmes (SAFA/ SACA)	8.9
Regulation	99.5
International Cooperation	42.4
Safety Management	52.6
Total[15]	808

9.2   Human and Financial resources

Table 1: Expenditure

Expenditure	Budget 2016	Budget 2017		Draft Budget 2018	
	Commitment appropriations	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1	85,948,000	93,136,000	93,136,000	97,174,000	97,174,000
Title 2	24,982,000	16,798,000	16,798,000	16,452,000	16,452,000
Title 3	33,881,000	35,479,000	35,479,000	34,299,000	34,299,000
Title 4	-	-	-	-	-
Title 5	31,668,000	43,233,000	43,233,000	39,092,000	39,092,000
Total expenditure	**176,479,000**	**188,646,000**	**188,646,000**	**187,017,000**	**187,017,000**

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[15] FTEs include Temporary and Contract Agents as well as Seconded National Experts.

Table 2 – Expenditure

EXPENDITURE	Commitment appropriations							
	Executed Budget 2015	Budget 2016	Budget 2017	Draft Budget 2018		VAR 2018/2017	Envisaged 2019	Envisaged 2020
				Agency request	Budget Forecast			
Title 1 Staff Expenditure	**74,294,017**	**85,948,000**	**93,136,000**	**97,174,000**	**-**	**104.3 %**	**98,976,000**	**101,756,000**
11 Salaries & allowances	69,457,778	79,473,000	86,775,000	91,243,000	-	105.1 %	93,158,000	95,808,000
- of which establishment plan posts	*64,131,535*	*72,195,000*	*79,641,000*	*83,271,000*	*-*	*104.6 %*	*84,720,000*	*87,296,000*
- of which external personnel	*5,326,243*	*6,828,000*	*6,834,000*	*7,672,000*	*-*	*112.3 %*	*8,138,000*	*8,212,000*
12 Expenditure relating to Staff recruitment	761,157	1,439,000	1,067,000	781,000	-	73.2 %	482,000	498,000
13 Mission expenses	-	-	-	-	-	-	-	-
14.1 Socio-medical infrastructure	66,800	118,000	151,000	155,000	-	102.6 %	155,000	155,000
15 Training	444,913	734,000	714,000	580,000	-	81.2 %	550,000	550,000
16 External Services	168,947	450,000	300,000	300,000	-	100.0 %	300,000	300,000
17 Receptions and events	86,217	192,000	101,000	98,000	-	97.0 %	98,000	98,000
14.2 Social welfare	3,308,205	3,992,000	4,328,000	4,317,000	-	99.7 %	4,533,000	4,647,000
Title 2 Infrastructure and operating expenditure	**21,981,237**	**24,982,000**	**16,798,000**	**16,452,000**	**-**	**97.9 %**	**15,811,000**	**15,183,000**
20 Rental of buildings and associated costs [1]	13,649,614	15,336,000	9,729,000	9,537,000	-	98.0 %	9,468,000	9,506,000
21 Information and communication technology	6,970,826	4,799,000	5,442,000	5,399,000	-	99.2 %	4,968,000	4,434,000
22 Movable property and associated costs	36,905	2,894,000	434,000	389,000	-	89.6 %	326,000	189,000
23 Current administrative expenditure	1,128,963	1,747,000	947,000	921,000	-	97.3 %	839,000	840,000
24 Postage / Telecommunications	194,929	206,000	246,000	206,000	-	83.7 %	210,000	214,000
25 Meeting expenses	-	-	-	-	-		-	-
26 Running costs in connection with operational activities	-	-	-	-	-		-	-
27 Information and publishing	-	-	-	-	-		-	-
28 Studies	-	-	-	-	-		-	-
Title 3 Operational expenditure	**31,380,667**	**33,881,000**	**35,479,000**	**34,299,000**	**-**	**96.7 %**	**35,086,000**	**35,885,000**
30 Certification activities	22,578,203	23,130,000	25,275,000	24,162,000	-	95.6 %	25,464,000	26,390,000
31 Standardisation activities	233,102	203,000	204,000	210,000	-	102.9 %	205,000	206,000
32 Operational information technologies	-	1,036,000	1,183,000	833,000	-	70.4 %	699,000	360,000
33 Communication and publication	265,683	428,000	425,000	525,000	-	123.5 %	465,000	465,000
34 Meeting expenses	671,660	753,000	636,000	842,000	-	132.4 %	635,000	843,000
35 Translation and interpretation costs	204,705	137,000	111,000	176,000	-	158.6 %	111,000	111,000
36 Rule Making activities	739,754	595,000	624,000	524,000	-	84.0 %	524,000	544,000
37 Mission, entertainment and representation expenses	5,316,498	6,222,000	5,782,000	6,012,000	-	104.0 %	6,020,000	6,053,000
38 Technical training	394,602	587,000	649,000	725,000	-	111.7 %	723,000	723,000
39 ED and strategic activities	976,460	790,000	590,000	290,000	-	49.2 %	240,000	190,000
Title 4 Special Operation Programmes	**5,445,378**	**-**	**-**	**-**	**-**	**-**	**-**	**-**
40 Technical Cooperation with Third Countries	5,445,378	-	-	-	-	-	-	-
41 Research programmes	-	-	-	-	-	-	-	-
Title 5 Other expenditures	**-**	**31,668,000**	**43,233,000**	**39,092,000**	**-**	**90.4 %**	**33,754,000**	**27,325,000**
50 Provisions	-	31,668,000	43,233,000	39,092,000	-	90.4 %	33,754,000	27,325,000
TOTAL EXPENDITURE	**133,101,299**	**176,479,000**	**188,646,000**	**187,017,000**	**-**	**99.1 %**	**183,627,000**	**180,149,000**

Table 3 - Revenue

Revenues	Budget 2016	Budget 2017	Draft Budget 2018
	Revenues estimated by the agency	Revenues estimated by the agency	Revenues estimated by the agency
EU contribution	36,370,000	35,985,000	36,915,000
Other revenue	140,109,000	152,661,000	150,102,000
Total revenues	176,479,000	188,646,000	187,017,000

REVENUES	Executed Budget 2015	Budget 2016	Budget 2017	Draft Budget 2018		VAR 2019/2018	Envisaged 2019	Envisaged 2020
	Executed Budget	Executed Budget	Revenues estimated by the agency	As requested by the agency	Budget Forecast			
1 REVENUE FROM FEES AND CHARGES	101,614,758	95,926,000	100,834,000	99,626,000	-	101.9 %	101,470,000	102,279,000
2. EU CONTRIBUTION	36,370,000	36,370,000	35,985,000	36,915,000	-	100.1 %	36,963,000	37,673,000
of which Administrative (Title 1 and Title 2)	-	-	-	-	-	-	-	-
of which Operational (Title 3)	-	-	-	-	-	-	-	-
of which assigned revenues deriving from previous years' surpluses	797,791	-	-	-	-	-	-	-
3 THIRD COUNTRIES CONTRIBUTION (incl. EFTA and candidate countries)	2,161,036	2,064,000	2,048,000	2,100,000	-	100.1 %	2,102,000	2,143,000
of which EFTA	2,161,036	2,064,000	2,048,000	2,100,000	-	100.1 %	2,102,000	2,143,000
of which Candidate Countries	-	-	-	-	-	-	-	-
4 OTHER CONTRIBUTIONS	8,125,201	-	-	-	-	-	-	-
- Of which additional EU funding stemming from ad hoc grants (FFR Art.7)	5,625,201	-	-	-	-	-	-	-
- Of which additional EU funding stemming from delegation agreements (FFR Art.8)	2,500,000	-	-	-	-	-	-	-
5 ADMINISTRATIVE OPERATIONS	860,006	868,000	793,000	943,000	-	79.5 %	750,000	900,000
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT	209,999	150,000	100,000	100,000	-	100.0 %	100,000	100,000
7 CORRECTION OF BUDGETARY IMBALANCES	43,046,283	41,101,000	48,886,000	47,333,000	-	89.2 %	42,242,000	37,054,000
TOTAL REVENUES	192,387,283	176,479,000	188,646,000	187,017,000	-	98.2 %	183,627,000	180,149,000

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Table 4 – Budget outturn and cancellation of appropriations

Calculation budget outturn

Budget outturn	2013	2014	2015
Revenue actually received (+)	124,869,696	137,427,717	149,849,063
Payments made (-)	-114,795,811	-118,006,808	-121,165,218
Carry-over of appropriations (-)	-52,227,725	-63,172,290	-83,742,572
Cancellation of appropriations carried over (+)	555,302	231,971	200,252
Adjustment for carry over of assigned revenue appropriations from previous year (+)	42,401,672	44,995,986	56,884,303
Exchange rate differences (+/-)	-5,344	-16,852	-29,117
Adjustment for negative balance from previous year (-)			
Total	797,791	1,459,725	1,996,711

Cancelation of commitment appropriations 2015

2.2m EUR have been cancelled on C1 appropriations of which 1.8m EUR relate to subsidy activities. 0.4m EUR relate to Fees & Charges and will therefore be carried over to 2016 as they are considered as assigned revenues.

Justification/Explanation	Title	Type of expense	Cancelled Appropriation
Lower than anticipated salary adjustment, SNE recruitment and training costs.	1	Staff	1,324,682
Transfers were made to bring forward move related costs originally planned for 2016. Final payments in this respect were eventually less than originally estimated.	2	Administrative expenses	467,691
Mainly due to reduced mission and translation costs.	3	Operational expenses	447,285
	Total		2,239,658

Cancelation of payment appropriations for the year
As above being commitment appropriations equal to payment appropriations

Payment appropriations carried over 200,252 EUR.

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9.3   Staff population

Staff population		Actually filled as of 31.12.2015	Authorised under EU Budget 2016	Actually filled as of 31 12.2016	Authorised under EU Budget 2017	Envisaged in 2018	Envisaged in 2019
Officials	AD						
	AST						
	AST/SC						
TA	AD	547	548	n/a	552	551	551
	AST	132	128	n/a	126	125	125
	AST/SC						
Total		679	676	n/a	678	676	676
CA GFIV				n/a			
CA GFIII				n/a			
CA GFII							
CA GFI							
Total		83	102	n/a	106	106	106
SNEs		16	24	n/a	24	24	24
Structural service providers							
GRAND TOTAL		778	802	n/a	808	806	806
External staff for occasional replacement		22 Interims					
		6 Trainees					

NB: Actually filed posts 31.12.2015 includes offer letters sent

2015 4 ASTs were on unpaid leave so the Agency currently has 128 ASTs in active employment

Category and grade	Establishment plan in EU Budget 2015		Filled posts as of 31/12/2015		Modifications in year 2015 in application of flexibility rule		Establishment plan in EU Budget 2016		Modifications in year 2016 in application of flexibility rule		Establishment plan in Draft EU Budget 2017 EASA request		Establishment plan 2018		Establishment plan 2019	
	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA
AD 16		-		-		-		-		n/a		-		-		-
AD 15		2		-		-		1		n/a		1		1		1
AD 14		23		7		-		25		n/a		25		28		31
AD 13		31		12		-		32		n/a		32		35		38
AD 12		48		17		-		53		n/a		53		64		75
AD 11		72		31		-		76		n/a		76		81		86
AD 10		95		72		-		98		n/a		98		103		108
AD 9		118		95		-		117		n/a		117		113		115
AD 8		81		115		-		77		n/a		77		74		65
AD 7		55		117		-		47		n/a		52		39		24
AD 6		24		69		-		20		n/a		20		13		8
AD 5		2		12		-		2		n/a		1		-		-
Total AD		**551**		**547**		**-**		**548**		**n/a**		**552**		**551**		**551**
AST 11		-		-		-		-		n/a		-		-		-
AST 10		-		-		-		-		n/a		-		-		-
AST 9		1		-		-		1		n/a		1		1		1
AST 8		4		-		-		4		n/a		4		4		4
AST 7		12		1		-		13		n/a		14		13		13
AST 6		22		7		-		23		n/a		25		27		29
AST 5		32		18		-		33		n/a		33		34		35
AST 4		26		35		-		25		n/a		24		23		22
AST 3		18		39		-		17		n/a		16		17		16
AST 2		11		23		-		10		n/a		8		6		5
AST 1		2		9		-		2		n/a		1		-		-
Total AST		**128**		**132**		**-**		**128**		**n/a**		**126**		**125**		**125**
Total AST/SC																
TOTAL		**679**		**679**		**-**		**676**		**n/a**		**678**		**676**		**676**

NB: Actually filed posts 31.12.2015 includes offer letters sent

2015 4 ASTs were on unpaid leave so the Agency currently has 128 ASTs in active employment

9.4   Human resources policies

9.4.1   Recruitment policy

EASA is recruiting mainly staff to perform tasks of a permanent nature, resulting from the mandate and the business plan of the Agency, which will ensure continuous expertise in all domains across the organisation. The majority of the tasks are performed by Temporary Agents (TAs) in the AD and AST function group. All temporary agent posts are identified as posts of long-term duration. The TAs are engaged to assure the fulfilment of the Agency mandate in all technical, administrative and managerial levels of the organisation.

The criteria of the Agency in identifying posts of a long-time duration are that such posts cover tasks of a permanent nature and are based on its strategic workforce planning, cascaded into the multi annual recruitment plan and in line with the agency's key objectives and the identified needs to safeguard continuous expertise in the specific areas. In addition, selection procedures will be designed to foster internal mobility complemented by external recruitment for specific profiles. The entry grades will follow the Staff Regulations.

For certain expertise Seconded National Experts (SNEs) are temporarily working at EASA under the rules applicable to such experts. In general, their assigned tasks at EASA require in-depths expert knowledge and extensive work experience in a specific aviation field.

A limited number of short-term staff (interims) work in EASA and are contracted through an external service provider, selected following an open tender procedure.

9.4.2 Appraisal of performance and reclassification/promotions

Table 1 - Reclassification of temporary staff/promotion of officials

Category and grade	Staff in activity at 1.01.2014		How many staff members were promoted / reclassified in Year 2015		Average number of years in grade of reclassified/promoted staff members
	officials	TA	officials	TA	
AD 16		-		-	
AD 15		1		-	
AD 14		5		-	
AD 13		9		-	
AD 12		20		-	
AD 11		17		1	4
AD 10		69		1	4
AD 9		72		3	4.3
AD 8		86		11	4.4
AD 7		105		31	3.8
AD 6		82		11	3.5
AD 5		17		1	2.38
Total AD		483		59	
AST 11		-		-	
AST 10		-		-	
AST 9		-		-	
AST 8		-		-	
AST 7		-		-	
AST 6		2		1	4
AST 5		10		2	4
AST 4		23		6	4
AST 3		52		11	3.4
AST 2		33		4	4.3
AST 1		16		2	3.7
Total AST		136		26	
AST/SC1		-		-	
AST/SC2		-		-	
AST/SC3		-		-	
AST/SC4		-		-	
AST/SC5		-		-	
AST/SC6		-		-	
Total AST/SC		-		-	
Total		619		85	

9.4.3 Appraisal of performance and reclassification/promotions

Table 2 -Reclassification of contract staff

Function Group	Grade	Staff in activity at 1.01.2014	How many staff members were reclassified in 2015	Average number of years in grade of reclassified staff members
CA IV	18	-	-	
	17	-	-	
	16	-	-	
	15	1	-	
	14	7	-	
	13	5	-	
CA III	12	-	-	
	11	4	-	
	10	7	2	3.9
	9	25	4	4.3
	8	22	5	4.9
CA II	7	-	-	
	6	-	-	
	5	-	-	
	4	-	-	
CA I	3	-	-	
	2	-	-	
	1	-	-	
Total		71	11	

Besides the performance appraisal review in the context of the probationary period for newly recruited staff, EASA established a new formalised appraisal procedure of individual performance in 2016 for both, Temporary and Contract Agents, based on the new implementing rules issued in 2015. The system provides for an annual evaluation of each staff member's efficiency, ability and conduct as foreseen in Article 43 of the Staff Regulations. The system includes also the formalisation of an individual training and development plan. The appraisal procedure at EASA is well established and provides a solid basis for the reclassification procedure.

A new merit-based career development system (reclassification for its temporary and contract agents (CA)) has been implemented in EASA in 2016, in line with the new reclassification implementing rules adopted also in 2016.

9.4.4 Mobility policy

The Agency has maximised its staffing plan, already employing the core part of its workforce and is changing its sourcing approach from a "concrete needs based" to a "strategic" approach. To assure its future sustainable development the Agency is redesigning its processes aiming at establishing a career management policy that enables internal mobility of staff to correspond to the flexibility defined by business demands.

In line with the provisions detailed in the Art 2f implementing rule, the Agency has been developing in the framework of the network of agencies and Standing Working Party procedures for promoting and implementing mobility between Agencies employing Art 2f TAs.

9.4.5 Gender and geographical balance

Explanatory figures to highlight gender/nationalities of staff (with reference to the contract type and indication of the function group).

Nationality	TA AD		TA AST		TA Total	CA FGIII		CA FGIV		CA Total	Grand Total
	F	M	F	M		F	M	F	M		
Austria	2	6	2		10						10
Belgium	1	15	7	4	27		1		1	2	29
Bulgaria	5	1	2		8				2	2	10
Croatia						1				1	1
Cyprus		1			1						1
Czech Republic	1	5			6						6
Denmark		4	2		6						6
Estonia	1				1						1
Finland	1	6	2		9						9
France	19	101	10	2	132	5	2			7	139
Germany	13	81	34	9	137	10	6	2	1	19	156
Greece	1	10	8	2	21	3	4		2	9	30
Hungary	2	3	3		8		2	1		3	11
Iceland		3			3						3
Ireland	1	4	1		6	1				1	7
Italy	7	63	8	3	81	2	1		2	5	86
Latvia		3	2		5						5
Lithuania		2			2						2
Norway		1			1						1
Poland	1	4	6		11	2	2		2	6	17
Portugal	5	6			11	1				1	12
Romania	7	12	3	1	23	5		2	3	10	33
Serbia								1		1	1
Slovakia	2	4			6						6
Slovenia		4			4			1		1	5
Spain	13	39	5	1	58	1	1	1	3	6	64
Sweden		4	2		6						6
the Netherlands	3	23	3		29						29
United Kingdom	6	38	2	2	48	1	3		1	5	53
Grand Total	91	443	102	24	660	32	22	8	17	79	739

NB: Gender and geographical balance of staff in house end of October 2016 excluding offer letters sent.

9.4.6 Schooling

There is no European School Type 2 in the Cologne area, however due to the lack of a European School EASA has signed service contracts with 6 international schools in the Cologne area and is financing the school fees of children attending primary and secondary schools within the established ceilings of 13.178 EUR per child in primary school and 15.696 EUR per child in secondary school. These ceilings were established for the 2016-2017 school year and are revised on a yearly basis.

9.5 Buildings

Building from Jan to Jun 2016

	Name, location and type of building	Other Comment
Information to be provided per building:	Koln Triangle,Ottoplatz1, Cologne	
Surface area (in square metres)	18.645	
Of which office space	16 095	
Of which non-office space	2 551	

Annual rent (in EUR) (6 month rent)	6 706 556 (3 353 278)	Figure includes rent indexation of 0.8483% applied as of 01.01.2016. Rentable area valid as of 1st June 2012.
Type and duration of rental contract	Rental 15.05.2004-30.06.2016	
Host country grant or support	No	
Present value of the building	Not applicable	

The Agency moved to a new headquarters in Cologne on 01.06.2016. The project has been approved by the Council (06.06.2013) and the European Parliament (27.06.2013).

Building from June to December 2016

	Name, location and type of building	Other Comment
Information to be provided per building:	Neue Direktion Köln, Konrad-Adenauer-Ufer 3, Cologne	
Surface area (in square metres) Of which office space Of which other spaces (e.g. archive, storage area)	22.958 22.077 881	
Annual rent (in EUR) (6 month rent incl. service charges for 8 months)	6.528.284 3 393 382	
Type and duration of rental contract	Rental 01.07.2016-30.06.2036 with 2 months handover period (01.05.2016-30.06.2016)	
Host country grant or support	No	
Present value of the building	Not applicable	

In addition the Agency has an office in Brussels:

	Name, location and type of building	Other Comment
Information to be provided per building:	Ave deCortenbergh100; 1040 Brussels	
Surface area (in square metres) Of which office space Of which non-office space	944,39 540,66 403,73	Non-office space consists of meeting rooms on level 0.
Annual rent (in EUR)	333.011	
Type and duration of rental contract	Rental 01.03.2012-28.02.2021	Due to possible early termination by each of the parties (clause included in the rental agreement) as of end Feb. 2018, dilapidation and removal costs are foreseen in 2017 and 2018.
Host country grant or support	No	
Present value of the building	Not applicable	

9.6 Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
Brussels	12 months VAT free for certain types of purchases (electrical goods, furniture, car etc.) based on the same agreement between the EC and the Belgium Minister of Foreign Affairs	Access to the crèche / kindergarten, garderie post-scolaire and European Schools of the European institutions

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
In the absence of a European School in Cologne, EASA signed service contracts with international schools in the Cologne area	EASA is paying the school fees for children attending primary and secondary school in the international schools with which a service contract has been signed within the limit of a ceiling established per school year (13.178 EUR for primary school and 15.696 EUR for secondary school for the school year 2016-2017)	
Agreement between EASA & KVB (the company offering public transport services in the Cologne area)	EASA staff members can benefit (as any other employees working for a company located in the Cologne area) from a cheaper price for the public transport season ticket. The cost of the season ticket is deducted on a monthly basis from the EASA employees' salaries who have subscribe via EASA for the public transport season ticket	
FWC between EASA and a relocation company	EASA staff members can benefit from the services of a relocation company (once for 20hrs) to help them finding an accommodation and settling in the Cologne area.	

9.7 Evaluations

In line with the Basic Regulation, the Management Board received the findings of the evaluation. The next step was for the Management Board to issue recommendations regarding changes to this Regulation, the Agency and its working practices to the Commission who in turn may forward them, together with its own opinion as well as appropriate proposals, to the European Parliament and to the Council. This was done in Q3 2013 and included an action plan with a timetable. Both the findings and the recommendations of the evaluation were made public.

A new evaluation of the Agency is expected to be carried out by end 2018.
https://www.easa.europa.eu/system/files/dfu/Article%2062%20Report.pdf

9.8 Risk register 2017

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:

1.1 Crisis management: Lack of or inappropriate crisis response in aviation.
Action to be taken by 12/2017: Review and update the current crisis response plan, ensure validation of the updated procedure by management, perform a new crisis exercise

4.1 Standardisation: Failure to establish, and then maintain, a uniform level of implementation of EU Safety regulations across Europe and associated MS through Standardisation of Member States.
Action to be taken by 12/2017: Expand the risk based CMA (Reg. 628/2013) to ADR. Organise jointly (SM/FS/CT Directorates) thematic workshops for NAAs and industry to explain and discuss new Implementing Rules.

10.1 Management of external expertise (outsourcing): Failure of the external experts (outsourcing) to provide adequate services to the Agency (on-time, on-cost and on-quality).

Action to be taken by 03/2017: Review the (out-)sourcing strategy of the Agency in order to ensure a robust and integrated European certification, oversight and enforcement system which is able to cope with the current and future challenges

10.2 Business Continuity: Failure in providing the capability to respond to incidents and business disruptions in order to continue business operations at an acceptable pre-defined level while protecting welfare and safety.
Action to be taken by 12/2017: Release Business Continuity Plan for critical processes, Release IT disaster recovery plan for critical processes, Release a full business continuity plan.

10.3 Information Security: Failure in protection of information managed by the Agency, including third party information, to an adequate level of security.
Action to be taken: Establish and implement governance and framework of the Agency Information Security Management System, Establish and implement training/awareness on Information Security, Establish Information Security Risk Register, Carry-out 'running IT applications and systems security enhancement' project, Establish framework to leverage security within IT capabilities and components (data, architecture, applications, systems..).

9.9   Procurement plan 2017

The indicative 2017 Procurement Plan for Operational Middle and High Value (>60K EUR) Procurement Procedures (this includes procedures which were planned already for 2016 yet continue in 2017 with a budgetary impact in 2017/2018) is forecasted as follows:

BUDGET LINE	CONTRACT SUBJECT/DESCRIPTION OF NEEDS	TYPE OF CONTRACT	NR OF CONTRACTS / PROCEDURES	ESTIMATED TOTAL CONTRACT VALUE	POTENTIAL 2017 BUDGET IMPACT (GLOBAL BUDETARY ENVELOPE)	INDICATIVE TIMEFRAME (LAUNCH)	Already listed for Financing Decision in 2016 Y/N
3300	Digital and Visual Communication Services – Video productions and animation motion graphics, web streaming services	Framework	1	400,000.00 €	70,000.00 €	Q4 2016	Y
3300	Digital and Visual Communication Services – Web design and development, user experience and gjraphic design	Framework	1	500,000.00 €	90,000.00 €	Q4 2016	Y
3300	Digital and Visual Communication Services – Drupal Content Management System (CMS) as a service (website support and hosting, maintenance, optimisation, training)	Framework	1	400,000.00 €	70,000.00 €	Q4 2016	Y
3300	Communication Services - Event management	Framework	1	1,500,000.00 €	250,000.00 €	Q4 2016	Y
3300	Communication Services - Communication strategy advice & crisis communication	Framework	1	600,000.00 €	100,000.00 €	Q4 2016	Y
3300	Communication Services – Supply of promotional material	Framework	1	400,000.00 €	70,000.00 €	Q4 2016	Y
3000	Outsourcing certain Certification Tasks to Qualified Entities (QEs)	Framework	1	1,000,000.00 €	N/A - 2018 budget	Q3/4 2017	Y
3700	Travel security	Framework	1	TBD	N/A - 2018 budget	Q3/4 2017	Y
3800	Technical Training Services	Framework	2	1,400,000.00 €	250,000.00 €	Q4 2016/Q1 2017	Y
3903	Aviation & Related Safety Research	Framework & Direct Contracts	6	TBD	N/A - 2018 budget	Q1/2 2017	Y but w/ different structure / contract nature
3600	Rig test to calculate correction method(s) for nvPM certification	Direct Contract	1	200,000.00 €	50,000	Q3/2017	N
3003	SEPIAC phase I (as part of the CORAL programme)	Framework	1	300,000.00 €	40,000.00 €	Q2/2017	N
			18	€ 6,700,000.00	€ 990,000.00		

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Based on the indicative planning of the Agency's contractual needs for 2017 (for both administrative and operational activities), as well as the level of procurement related services requested over the last years, the volume and potential budgetary impact of the 2017 procurement activity is forecasted as follows:

TYPE OF PROCEDURE	*ANTICIPATED VOLUME*	FORECASTED 2017 BUDGETARY IMPACT
High Value Procedures (>135K EUR)	*30*	1,5–2m EUR
Low and Middle Value Procedures (1-135K EUR)	*200*	2m EUR
Framework Contract Implementation (Specific Contracts)	*450*	20-25m EUR
	680	23,5-29m EUR

Nota Bene: *Please note that the above provides an estimation in line with the planning made in October 2017 and therefore may vary depending on developments, market analysis, more precise cost contact volume estimations, priorities, budget availability etc.*

9.10 European Commission Assignments 2017-2020

The Agency is currently managing an ever increasing number of projects / assignments on behalf of the European Commission (and occasionally other bodies), for which it receives specific funding (often handled as "earmarked funds"), in the field of international technical cooperation, safety intelligence, research and environmental protection. In order to implement such projects the Agency has, and continues to streamline, a comprehensive framework for managing them with a view to ensuring and optimising the efficient and effective processing of such assignments, both technically and administratively.

The SPD also takes into account the latest forecasts with regard to projects expected to be assigned from the European Commission as well as the respective resources required from the Agency (both operational and support) for their completion – see chapter 6 and 8 for further information.

In line with the known needs of the European Commission to date, the following tables provide an indicative planning of on-going and planned assignments for the period 2017-2021.

9.10.1 (International) Technical Cooperation Projects:

PROJECT	CONTRACTING PARTY	BENEFICIARY COUNTRIES	DESCRIPTION / OBJECTIVE	TYPE OF CONTRACT	DURATION	STATUS	OVERALL BUDGET (EURO)
ATA-AC (CEMAC): Amélioration du Transport Aérien en Afrique Centrale (ATA-AC) (FR) / Central Africa Aviation Safety Project (CAASP) (EN)	DG-DEVCO[1]	ECCAS[5]	The ATA-AC project is done in the framework of the "PACIE" (Assistance Programme for Commerce and Economic Integration) of the Central African States which aim is to ease their insertion into the world economy and promote the economic growth in order to reduce poverty. Within this framework, the overall objective of the ATA-AC project is to contribute to the prevention and the reduction of civil aviation incidents and accidents. Three main expected results of ATA-AC are: (1) Support the setting up of the Regional Safety Oversight Organisation ASSA-AC (Agence de Supervision de la Sécurité en Afrique Centrale). (2) Train technical personnel from Central Africa in aviation safety. (3) Develop of action plan for the rehabilitation of the main airports in the region.	GRANT	Aug 2013 - Dec 2017	ONGOING	2.7m EUR
EaP/CA (TRACECA III): EU-ENPI/CA Aviation Project	DG-DEVCO[1]	Eastern Europe, South Caucasus and Central Asia	The overall objective of the project is to support the implementation of comprehensive civil aviation agreement with the EU in the Eastern Partnership countries and upgrading civil aviation safety and security standards in Central Asia. The expected results are: (1) Eastern Partnership countries (Armenia, Azerbaijan, Georgia, Moldova and Ukraine) will have their capacity reinforced to fulfil the international civil aviation obligations as well as the beneficiaries which have signed a comprehensive civil aviation agreement with the EU or for which such negotiations are planned or in progress will have implemented the measures foreseen in the Common aviation area agreements. (2) Central Asian countries (Kazakhstan, Kirgizstan, Tajikistan and Uzbekistan) will have their capacity reinforced to fulfil the international civil aviation obligations on aviation safety and security (air cargo).	GRANT	Dec 2015 - Dec 2019	ONGOING	5m EUR

PROJECT	CONTRACTING PARTY	BENEFICIARY COUNTRIES	DESCRIPTION / OBJECTIVE	TYPE OF CONTRACT	DURATION	STATUS	OVERALL BUDGET (EURO)
IASOM (MALAWI): Improvement of Safety Oversight in Malawi	DG-DEVCO[1] - EU Delegation to Malawi	Malawi	The overall objective of the project is to contribute to a reliable, safe aviation environment capable of promoting economic growth in Malawi. EASA therefore focuses its primary actions towards two main specific project objectives (Purpose): (1) Contribute to the enhancement of the regulatory and institutional framework of the Malawi aviation sector. (2) Contribute to the Technical and organisational capacity building of the DCA Malawi, as well as other aviation stakeholders where found beneficial in ensuring effective implementation of the actions/activities.	GRANT	Dec 2013 - Jun 2017	ONGOING	2.5m EUR
EASP (EUROMED): Euromed Aviation Safety project	DG-NEAR[2]	Algeria, Egypt, Israel, Jordan, Lebanon, Libya, Morocco, Palestine, [Syria] and Tunisia	The overall objective of the action is to promote harmonisation of the European Neighbourhood Instrument (ENI) south countries' civil aviation safety rules and standards with those of the European Union. The main expected results of EASP: (1) Provide EU expertise on the practical implementation of EU civil aviation safety rules. (2) Assist partner states towards the civil aviation safety standards of the European Union. (3) Promote greater mutual awareness and technical contact between EASA and the partner countries. (4) Assist in establishing technical contacts between the Mediterranean Partners themselves.	GRANT	Jan 2015 - Jun 2017	ONGOING	2m EUR

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PROJECT	CONTRACTING PARTY	BENEFICIARY COUNTRIES	DESCRIPTION / OBJECTIVE	TYPE OF CONTRACT	DURATION	STATUS	OVERALL BUDGET (EURO)
IPA3: EASA Programme on aviation safety	DG-NEAR[2]	[7]Accession countries	The overall objective of this project is to further support the beneficiary countries to fulfil their international obligations on aviation safety and to foster deeper the knowledge of the specificities of the EU's aviation safety system stemming from the ECAA and the working arrangements with EASA. The project also aims to ensure that the beneficiary countries with the potential risk of significant aviation safety concerns will increase their capacity to close their findings. The expected results are: (1) Where deemed necessary, the functional structure and core processes as well as relevant documentation of the administrations concerned are updated to ensure the effective transposition and implementation of the EU aviation legislation in the domain of aviation safety in accordance with the ECAA, and follow up procedures to maintain functional compliance are established; (2) Sustainable progress is made in the fulfilment of authority oversight requirements in the domains of Airworthiness, Air Crew, Air operations, Aerodromes, and its Management System; (3) Corrective Action plans following up the findings identified by the Universal Safety Oversight Audit Programmes of ICAO (USOAP) or the EASA Standardisation visits, are addressing the finding and are timely developed; (4) Training and workshops delivered in areas on commonly identified needs; (5) Exchange of experience between/amongst beneficiaries via peer to peer support to enable better understanding on implementation models in regards to NAA's management system and overall implementation aspects of implementing rules.	GRANT	July 2015 - Jun 2017	ONGOING	500k EUR

PROJECT	CONTRACTING PARTY	BENEFICIARY COUNTRIES	DESCRIPTION / OBJECTIVE	TYPE OF CONTRACT	DURATION	STATUS	OVERALL BUDGET (EURO)
EU CHINA: EU-China Aviation Partnership Project	FPI[3]	China	The overall objective is to complement and reinforce European aviation interests in China through increased and deepened EU-China aviation dialogues and technical cooperation/exchanges in the context of the EU's external aviation policy, thereby promoting the European aviation industry in a key growth market, contributing inter alia to a continued high level of aviation safety. The expected results are: (1) Dialogue deepened between Chinese and European Authorities on aviation matters. (2) Increased awareness among the Chinese aviation community, especially the Chinese administration, about European aviation expertise. (3) Reduced market access obstacles for European industry in China. (4) Improved environmental performance of the Chinese aviation sector.	DELEGATION	Sept 2015 - Sept 2020	ONGOING	10m EUR
EU-SOUTH ASIA: EU-South Asia Aviation Partnership Project	FPI[3]	Afghanistan, Bangladesh, Bhutan, India, Maldives, Nepal, Pakistan and Sri Lanka.	The overall objective of the project is to contribute to the development of European aviation interests in South Asia in order to provide a more compatible and open market for the European aviation industry. This should be done by promoting European aviation policies, standards and technology which will also foster a higher level of aviation safety and environmental standards in the region. The expected results are: (1) Enhanced dialogue and institutional relations between South Asian and European Authorities in the field of civil aviation. (2) Increased technical exchanges between the South Asian and European aviation industries. (3) Reduction of barriers that impede market access and development for the European aviation industry in South Asia. (4) Improved environmental performance of the South Asian aviation sector.	DELEGATION	2017-2020	PLANNED	7.5m EUR

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PROJECT	CONTRACTING PARTY	BENEFICIARY COUNTRIES	DESCRIPTION / OBJECTIVE	TYPE OF CONTRACT	DURATION	STATUS	OVERALL BUDGET (EURO)
EU-SOUTH EAST ASIA: EU-South East Asia Aviation Partnership Project.	FPI[3]	ASEAN region[8]	The overall objective of the project is to contribute to the development of European aviation interests in South East Asia in order to provide a more compatible and open market for the European aviation industry. This should be done by promoting European aviation policies, standards and technology which will also foster a higher level of aviation safety and environmental standards in the region. The expected results are: (1) Greater convergence towards EU regulations and best practice. (2) A higher common level standard of safety and environmental protection. (3) Enhanced dialogue and stronger institutional links with key regional actors. (4) Greater market penetration by EU industry. A second project in the same region is currently under preparation - most probably under the Commission's ARISE plus programme. A similar timeframe as for this FPI project is foreseen.	DELEGATION	2017-2020	PLANNED	7.5m EUR
EU ASEAN / ARISE PLUS (AATIP II): ARISE Plus / ASEAN Air Transport Component	DG-DEVCO[1] – EU Delegation of Thailand	ASEAN region[8]	The overall objective of the project is to support the further development of the ASEAN Aviation Single Aviation Market (ASAM) and raise awareness. It should further strengthen the ASEAN Member State capacities and the national ASEAN Member State ATM systems by supporting development and implementation of an ASEAN Air Traffic Management Master Plan. This project will also address environmental protection issues, shall enhance the air transport market and will provide support for an EU/ASEAN comprehensive agreement.	DELEGATION	2017-2020	PLANNED	5m EUR

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PROJECT	CONTRACTING PARTY	BENEFICIARY COUNTRIES	DESCRIPTION / OBJECTIVE	TYPE OF CONTRACT	DURATION	STATUS	OVERALL BUDGET (EURO)
EU LATIN AMERICA (LATAM): EU-Latin America Civil Aviation Project	FPI[3]	Argentina, Brazil, Chile, Columbia & Mexico.	The overall objective of the project is to strengthen regulatory cooperation and to provide market access and a secure environment for economic partnership between the EU and Latin America in the domain of civil aviation. The objectives are: (1) Dialogue deepened between Latin American and EU Authorities on aviation regulation and the environment, reduction of barriers (such as safety oversight problems or ATM capacity) that hamper business development between Latin America and the EU. (2) Enhanced partnership between the Latin American and EU aviation industry. (3) EU experience used to improve airport infrastructure and Air Traffic Management capacity at national and regional level. (4) Development of long-term and sustainable cooperation and partnership between EU and Latin American educational institutions and the building of a sustainable platform for education programmes. (5) Enhanced Latin America regional regulatory harmonisation process initiated under ACSA in Central America and SRVSOP in South America.	DELEGATION	2017-2020	PLANNED	7m EUR
SIASA 2	DG-DEVCO[1]	Sub-saharan states	The objective of this project is to support the sub-saharan states in improving their implementation of ICAO safety standards through regulation development activities, training and workshop sessions. The programme also supports regional safety oversight organisations (RSOOs) in Africa.	DELEGATION	2018-2021	PLANNED	5m EUR
ZAMBIA II	DG-DEVCO[1]	Zambia	The purpose of this project is to support the Civil Aviation Authority of Zambia under EDF11 Aviation Sector Support Programme.	GRANT	2018-2021	PLANNED	1.8m EUR

PROJECT	CONTRACTING PARTY	BENEFICIARY COUNTRIES	DESCRIPTION / OBJECTIVE	TYPE OF CONTRACT	DURATION	STATUS	OVERALL BUDGET (EURO)
AfDB-ECCAS: PASTA-CO ECCAS	ECCAS[5] (Economic Community of Central African States)	ECCAS[5]	This project should be considered as a follow-up of the ATA-AC (CEMAC) project. The overall objective of the project is to mainly provide the following training: (1) Familiarisation training to the community regulation; (2) Inspector training (PEL, OPS, AIR, AGA and ANS); (3) ECCAIRS training for the usage and installation of the tool. The financial resources for this project are provided through the African Development Bank (AfDB) via the African Development Fund for the programme entitled PASTA-CO (Projet d'Appui au Secteur du Transport Aérien en Afrique Centrale et Occidentale).	GRANT	2017-2019	PLANNED	1.8m EUR
AfDB-WAEMU: PASTA-CO WAEMU	WAEMU (West Africa Economic and Monetary Union)	ACSAC as well as the Civil Aviation Authorities of the 8 WAEMU Member States.	The overall objective of the project is to support the Regional Safety Oversight Organisation (RSOO) called ACSAC through assistance in: (1) Developing aviation safety regulations for the region; (2) Managing safety data; and, (3) Delivering training to the regional and national experts. The financial resources for this project are provided through the African Development Bank (AfDB) via the African Development Fund for the programme entitled PASTA-CO (Projet d'Appui au Secteur du Transport Aérien en Afrique Centrale et Occidentale).	GRANT	2017-2019	PLANNED	1.2m EUR
UKRAINE: EASA-SAAU Airworthiness Convergence project	DG-NEAR[2]	Ukraine	The overall objective of this project is to facilitate preparations for the implementation of the respective provisions stemming from the Common Aviation Area Agreement (CAA Agreement) between the EU and Ukraine, the Working Arrangement (WA) between the State Aviation Administration of Ukraine (SAAU) and EASA, as well as the Arrangement between SAAU and the European Commission (EC) with regard to the convergence of the Ukrainian initial and continuing airworthiness and maintenance certification system with the applicable EU requirements.	DELEGATION	2017-2019	PLANNED	1m EUR

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PROJECT	CONTRACTING PARTY	BENEFICIARY COUNTRIES	DESCRIPTION / OBJECTIVE	TYPE OF CONTRACT	DURATION	STATUS	OVERALL BUDGET (EURO)
SAFETY LIST III: EU Safety List Service Framework Contract	DG-MOVE[4]	N/A	Provision of expertise and related technical assistance in the framework of Regulation (EC) No 2111/2005 on the establishment of a Union list of banned carriers subject to an operating ban within the Union and informing the air travelling public.	SERVICE	2017-2020	PLANNED	800k EUR
Thailand	Civil Aviation Authority of Thailand	Thailand	The objectives of this project are to support the Civil Aviation Authority of Thailand in resolving its safety oversight concerns and to assist its transition towards EU-based regulations.	SERVICE (Technical Advice Contract)	Jan 2017 - Jan 2019	PLANNED	2.5m EUR

[1]**DG-DEVCO:** European Commission Directorate General for International Cooperation and Development

[2]**DG-NEAR:** European Commission, Directorate-General for Neighbourhood and Enlargement Negotiations

[3]**FPI:** European Commission Service for Foreign Policy Instruments

[4]**DG-MOVE:** European Commission Directorate General for Mobility and Transport

[5]**ECCAS:** Economic Community of Central African States *(Gabon, Cameroon, the Central African Republic (CAR), Chad, Congo Brazzaville and Equatorial Guinea)*

[6]**Sub-Saharan African countries:** Angola, Cape Verde, Central African Republic, Chad, Comoros, Equatorial Guinea, Gabon, Gambia, Guinea-Bissau, Liberia, Mail, Madagascar, Mauritania, Eritrea, Seychelles, Somalia, Soudan

[7]**Accession countries**: the former Yugoslav Republic of Macedonia, Croatia, Turkey, Albania, Bosnia and Herzegovina, Iceland, Montenegro, Serbia including Kosovo

[8]**ASEAN region:** Brunei, Cambodia, Indonesia, Laos, Malaysia, Myanmar, Philippines, Singapore, Thailand and Vietnam.

9.10.2 Safety Intelligence Projects:

PROJECT	CONTRACTING PARTY	DESCRIPTION / OBJECTIVE	TYPE OF CONTRACT	DURATION	STATUS	OVERALL BUDGET (EURO)
Data4Safety (D4S) programme	DG-MOVE[1]	Enhancing further aviation safety will require a massive collection of data coupled with the capacity to analyse them. Currently, the data and the analytical capacity are fragmented and scattered in the different organisations in Europe. The Data4Safety (or D4S) programme aims to take advantage of Big Data technologies to organise the collection of data and support their analysis as well as supporting European technologies and market leadership in civil aviation to enhance European know-how in Big Data technologies. Building on an independent feasibility study commissioned by EASA in 2015 this initial "proof of concept" phase is planned to be executed to trial and prove at a practical level that the concept will work.	GRANT	Jan 2017-Dec 2019	PLANNED	5m EUR

[1]**DG-MOVE:** European Commission Directorate General for Mobility and Transport

9.10.3 Research Projects:

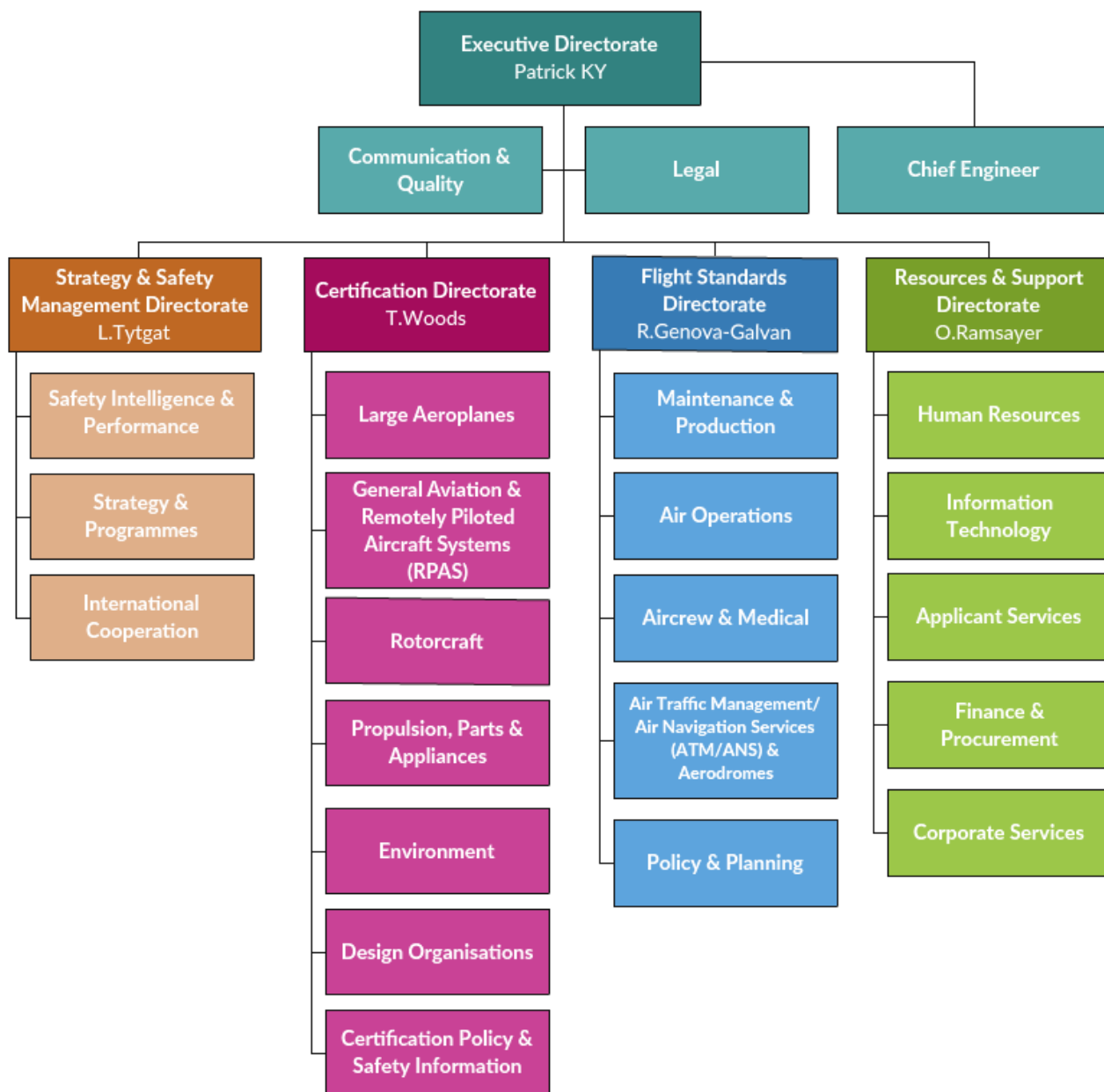| PROJECT	CONTRACTING PARTY	DESCRIPTION / OBJECTIVE	TYPE OF CONTRACT	DURATION	STATUS	OVERALL BUDGET (EURO)
Several projects	EU R&D Programme 'Horizon 2020' National R&D Programmes	With the globalisation of the aviation industry and the increasing pace of changes in technologies and business models, the Agency can no longer limit itself to research focussing mainly on its internal needs. Through the participation to EU funded or national research and development programmes EASA aim is to get ready to: • Prepare the evolutions of aviation standards and the deployment of new products and operational concepts • Support the development of new safety management concepts/methods/tools • Investigate safety or security threats, support reactive safety management • Obtain knowledge and data on novel products or technologies	GRANT or SERVICE CONTRACTS	Jan 2017-Dec 2019	PLANNED	Estimated total of 800k EUR (staff efforts only)

9.10.4 Environmental Protection:

PROJECT	CONTRACTING PARTY	DESCRIPTION / OBJECTIVE	TYPE OF CONTRACT	DURATION	STATUS	OVERALL BUDGET (EURO)
Development of ICAO rules on MRV for the global Market-based Measure	DG-CLIMA[1]	Support on technical and policy advice necessary for DG CLIMA to successfully contribute to ICAO's process on the development and adoption of ICAO's standard and Recommended Practice (SARP) on Monitoring, Reporting and Verification (MRV) for international aviation.	COOPERATION AGREEMENT (SERVICE CONTRACT)	Dec 2016-Dec 2017	PLANNED	€100 K

[1]**DG-CLIMA:** European Commission Directorate General for Climate Action

9.11 Organisation chart

Executive Directorate
Patrick KY

Communication & Quality

Legal

Chief Engineer

Strategy & Safety Management Directorate
L.Tytgat
- Safety Intelligence & Performance
- Strategy & Programmes
- International Cooperation

Certification Directorate
T.Woods
- Large Aeroplanes
- General Aviation & Remotely Piloted Aircraft Systems (RPAS)
- Rotorcraft
- Propulsion, Parts & Appliances
- Environment
- Design Organisations
- Certification Policy & Safety Information

Flight Standards Directorate
R.Genova-Galvan
- Maintenance & Production
- Air Operations
- Aircrew & Medical
- Air Traffic Management/ Air Navigation Services (ATM/ANS) & Aerodromes
- Policy & Planning

Resources & Support Directorate
O.Ramsayer
- Human Resources
- Information Technology
- Applicant Services
- Finance & Procurement
- Corporate Services

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9.12 Agency KPI dashboard

Introduction:

The following tables contain the overview of the Agency's Key Performance Indicators (KPI), to monitor EASA's progress towards its strategic goals. Each KPI is evaluated based on a Red-Amber-Green (RAG) rating system, having equal weight. A KPI is evaluated as red if it is 15% below its target value, Amber if it is 15% to 10% below target and Green if it is 0 – 5% below target value. Across the Agency's core processes KPIs were defined to monitor achievement of the strategic priorities. A detailed list can be found at the end of this annex. Beforehand, you find an aggregation by directorate programme and strategic statement. Aggregated R-A-G coding is based on the following logic:

Result of lower level KPIs:	Result of Higher level KPIs:
All Green	Green
Green and 1 amber	Green
Green and 2 amber	Amber
Green and 1 red	Amber
All Amber	Amber
2 Amber and 1 red	Amber
2 red and 1 amber	Red
All red	Red

Strategic Statement	Directorate Programmes				EASA
	Strategy & Safety Management Directorate	Certification Directorate	Flight Standards Directorate	Resources and Support Directorate	Executive Director
Our ambition is to be the foremost Aviation Safety Agency in the world	- Accident Follow-up - International Cooperation (1/2) - Business Analysis	- Initial Airworthiness - Certification Support	- Initial Organisation Approval - Third Country Operator	- Finance and Procurement - HR Workforce Planning - Applicant Services - Expanding IT Services	
The Agency works on safety, in a proactive manner, helped by an enhanced safety analysis capability	- Safety intelligence and performance - Safety Programming - Safety Promotion	- Occurrence Reporting	- Continued Organisation Approval (1/2)		
One system based on partners working in an integrated, harmonised and coordinated manner	- International Cooperation (2/2)	- Continued Airworthiness	- Continued Organisation Approval (2/2) - Feedback on Organisation Approval process - Standardisation		
The Agency builds on committed, agile and talented staff				- Staff Engagement - Corporate Services - Running IT Services - Efficiency Gains	- Transversal Efficiency Gains
Rules are smart, proportionate and contribute to the competitiveness of the Industry	- (Preliminary-) Impact Assessment		- Development of Regulatory Material		
The Agency will continue to be independent from political or economic influence in all its safety actions	- Research				- Internal Audit - Quality

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Strategic Statement (1)	Directorate Programmes				EASA
	Strategy & Safety Management Directorate	**Certification Directorate**	**Flight Standards Directorate**	**Resources and Support Directorate**	**Executive Director**
Our ambition is to be the foremost Aviation Safety Agency in the world	Timeliness to answer recommendations **Target 2017**: <90 days	Initial Airworthiness (stakeholders) satisfaction rate **Target 2017**: ≥76% Yearly stakeholder feedback on completed certification tasks of previous year	Timely initial approval of Organisation **Target 2017**: 80-100% of initial application approvals fulfilled according to timeline defined in associated procedures	Budget committed(**) **Target 2017**: ≥ 99% of budget committed at budget closure	
	Timely progression on Working Arrangements (WA) **Target 2017**: ≥75% WA's of annual planning concluded/amended	Initial Airworthiness (IAW) performance rate **Target 2017**: 80-120% Actual time (hours) spent as % of standard hours	Timely validation/completion of Third Country Operator applications **Target 2017**: ≥ 95% of valid/complete applications processed within 30 days	Carried over commitments(**) **Target 2017**: ≤ 2.5% of carried over commitments (C8) not paid by budget closure	
	Timely progression on Bilateral Agreements **Target 2017**: ≥90% of EASA's tasks and actions related to BASA negotiations finalised within planned timeframe	IAW compliance timeliness with the target certification date **Target 2017**: 80-120% Actual project duration as % of the standard duration		Occupancy Rate(**) **Target 2017**: ≥98% average occupancy rate against the establishment plan over the year	
	Timely provision of ICAO State Letters **Target 2017**: ≥90% of State Letters recommendations provided on time	Certification support for validation timeliness **Target 2017**: ≥70% of 'Forwarding letters' sent to Third Country Authorities sent within 15 days, after project allocation		Vacancy Duration **Target 2017**: ≤ 4.5 months average duration of a post remaining vacant	
	'Timely implementation of Technical support to 3rd countries **Target 2017**: ≥66% Implementation of the specific activities of the Work Plan			Percent variance from cost expected by applicant **Target 2017**: ≥75% of applications billed on or below latest cost estimate	
	Return of Investment realisation for IT investment projects **Target 2017**: 100% of projects having realised at least their expected ROI, at the post-project review			IT expanding services realisation **Target 2017**: >100% of operational expanding budget vs. organisational expanding services	

Strategic Statement (2)	Directorate Programmes				EASA
	Strategy & Safety Management Directorate	Certification Directorate	Flight Standards Directorate	Resources and Support Directorate	Executive Director
The Agency works on safety, in a proactive manner, helped by an enhanced safety analysis capability	Productivity of Safety Analysis process **Target 2017**: ≥3 safety analysis reports approved for publication	Occurrences backlog monitoring rate **Target 2017**: 90-110% Number of occurrences closed by CT staff in one period as % of incoming occurrences over the same period	Timely approval of Organisation continuation **Target 2017**: 80-100% of applications for continued approvals fulfilled according to timeline defined in associated procedures		
	Timely processing of occurrence reports **Target 2017**: 1. 90% processed within 5 working days, 2. Average processing time ≤ 4 working days	Technical acceptance of occurrences timeliness **Target 2017**: ≤ 10 days until 'technical acceptance' of incoming occurrences			
	Accuracy of technical owner allocation **Target 2017**: ≥95%				
	Share of Efficiency tasks in the Safety programme **Target 2017**: 30%				
	Implementation Safety Promotion Programme **Target 2017**: 80% completion of the safety promotion programme				
	Safety Promotion Resource Engagement **Target 2017**: ≥3FTE				

Nota Bene: the KPI marked with the sign (**) are the directors KPI as defined in the "Guidelines on key performance indicators (KPI) for directors of EU decentralised agencies" dated 13/3/2015

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Strategic Statement (3)	Directorate Programmes				EASA
	Strategy & Safety Management Directorate	**Certification Directorate**	**Flight Standards Directorate**	**Resources and Support**	**Executive Director**
One system based on partners working in an integrated, harmonised and coordinated manner	BASA progress: Stakeholder Survey Target 2017: Survey with industry / associations regarding BASA progress (development and implementation) is under development[(*)]	Airworthiness Directives deficiency rate **Target 2017**: ≤ 5% of Airworthiness Directives (AD) issued that require non-substantive corrections	On time closure of Organisation Approvals (OA) findings **Target 2017**: ≥ 95% of findings closed within the applicable deadlines		
	Technical course delivery **Target 2017**: ≥90% of delivered courses versus planned	CAW predictability time **Target 2017**: ≥84% of technical working hours performed on CAW compared to plan	Feedback on Organisation Approval process **Target 2017**: a survey after the issuance of every initial approval and after every renewed approval is under development[(*)]		
	Timely delivery of compliance check-lists **Target 2017**: 'deliver compliance checklists within 6 months after the update of the Electronic Filing of Differences database'		Efficient and robust Standardisation **Target 2017**: 5% year-on-year decrease of the total number of findings raised against regulations that have been applicable for more than 2 years		
	Timely coordination of European positions and contributions to ICAO assemblies and high level conferences Target and measurement TBD[(*)]		Active control of overdue Standardisation findings **Target 2017**: 0% of findings subject to supplementary reports after 6 months from the date they became overdue		
			Timely issuance of Standardisation findings (reports) **Target 2017**: ≥ 95% of final reports issued within the 10-weeks deadline		

[(*)] Methodology to measure KPI is currently being implemented

Strategic Statement (4)	Directorate Programmes				EASA
	Strategy & Safety Management Directorate	**Certification Directorate**	**Flight Standards Directorate**	**Resources and Support**	**Executive Director**
The Agency builds on committed, agile and talented staff				Personnel fluctuation rate **Target 2017**: 2 -10% p.a. of deployed workforce leaving by own initiative	
				Rate of sick leave(**) **Target 2017**: <9 days of average short term sick leave per staff member	Efficiency Gains LEAP Pilot 1 and Pilot 2 **Target 2021**: efficiency gains allowing of re-deployment of 18 FTEs across Project Cerfication Manager and Rule Making Officer Staff, assuming constant workload
				Building cost per square-meter **Target 2017**: costs below 453 EUR/m^2	
				IT achievement of Service Level Agreement (SLA) **Target 2017**: >90% of services which achieved their target Service Level Agreement (SLA)	
				Efficiency Gains Target 2017: 4% re-deployment of all posts compared to 2015	

Nota Bene: the KPI marked with the sign (**) are the directors KPI as defined in the "Guidelines on key performance indicators (KPI) for directors of EU decentralised agencies" dated 13/3/2015

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Strategic Statement (5)	Directorate Programmes				EASA
	Strategy & Safety Management Directorate	Certification Directorate	Flight Standards Directorate	Resources and Support	Executive Director
Rules are smart, proportionate and contribute to the competitiveness of the Industry	Preliminary Impact Assessments Coverage **Target 2017**: ≥60% of safety programme actions with preliminary impact assessment		Efficient and robust resource allocation **Target 2017**: TBD Average number of FTEs spent on one rulemaking activity[*]		
	Impact Assessment Coverage **Target 2017**: ≥65% of NPA with quantified impact assessment published		Rulemaking (RM) Resource Engagement **Target 2017**: ≤55 FTE registered time on Rulemaking projects		
			RM Process Efficiency Target 2017: ≤ 18 months		
			Regulation Quality **Target 2017**: Survey with Advisory Bodies at the time the NPA/Opinion/decision is published is under development[*]		
			Timely answer to exemption requests (as defined by regulation) **Target 2017**: ≥95%		

[*] Methodology to measure KPI is currently being implemented

Strategic Statement (6)	Directorate Programmes				EASA
	Strategy & Safety Management Directorate	Executive Director	Flight Standards Directorate	Resources and Support	Executive Director
The Agency will continue to be independent from political or economic influence in all its safety actions	Timely execution of committed research projects **Target 2017**: 100%				Corrective action closure rate of Audit findings **Target 2017**: 70%
	Research Resource Engagement **Target 2017**: 0.5 FTE				Number of non-conformity against the ISO standards **Target 2017**: 0

9.13 Rulemaking and Standardisation Programme

For these two programmes, please refer to the other attachments.

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