

## **ANNEX 1: EASA MANAGEMENT STANDARDS**



EASA Management Standards	Doc #	LI.IMS.00003-005
	Approval Date	05/12/2017

## EASA Management Standards

**LI.IMS.00003-005**

	Name	Validation	Date
Prepared by:	Allison KERR	Validated	30/11/2017
Verified by:	Valérie LANDRY-SIVEL	Validated	30/11/2017
Reviewed by:	Dominique PERRON	Validated	30/11/2017
Approved by:	Valérie LANDRY-SIVEL	Validated	30/11/2017
Authorised by:	Patrick KY	Validated	05/12/2017



**DOCUMENT CONTROL SHEET****Log of issues**

Issue	Issue date	Change description
001	18/07/2008	First issue, migration of E.L001-02 with original content and formal validation dates unchanged.
002	03/01/2013	Updated taking account the revised ISO9001:2008 Standard and minor changes to text / description of Management Standards to add clarity. Re-ordering of the references to the ISO Standard to run sequentially. Removal of column "E.L001-00 mapping".
003	01/09/2014	Migration of Quality documents in compliance with Convergence project.
004	10/03/2016	Revised to reflect the requirements of the ISO9001:2015 Standard. Details of changes: <ul style="list-style-type: none"><li>• Complete revision of the references to the relevant clauses in the ISO 9001 Standard</li><li>• Minor changes to wording of EASA Management Standards 1, 2, 7, 14, 20 to align with the terminology used in the revised Standard.</li><li>• Heading "Management Responsibility" replaced by "Leadership".</li></ul>
005	05/12/2017	Revised to reflect the requirements of the Internal Control Framework of the European Commission <sup>1</sup> , consisting of five internal control components and 17 principles designed to provide reasonable assurance that the Commission's objectives are being met. Endorsed by the PAR AG on 24/11/2017.

<sup>1</sup> (2017) 2373 final, Communication to the Commission from Commissioner Oettinger, Revision of Internal Control Framework, Brussels, 19.4.2017





EASA Management Standards

Doc #

LI.IMS.00003-005

Approval Date

05/12/2017

	EASA Management Standards	ISO 9001 Standard	Internal Control Framework
<b>Context</b>			
1	The Agency shall determine and monitor the external and internal issues that are relevant to its overall purpose and strategic direction, that affect its ability to achieve the intended results of the Integrated Management System (IMS).	4 Context of the organisation	
2	<p>The Agency shall develop, monitor, communicate and continually improve the efficiency and effectiveness of the IMS.</p> <p>The Agency shall develop the scope of the IMS while:</p> <ul style="list-style-type: none"><li>- taking into account the applicable legal and regulatory requirements and stakeholder expectations;</li><li>- applying risk based thinking aimed at taking advantage of opportunities and preventing undesirable results;</li><li>- defining the processes needed;</li><li>- selecting and developing control activities that contribute to the mitigation of risks to an acceptable level;</li><li>- ensuring the effectiveness and continuous improvement of the system;</li><li>- evaluating and implementing any changes needed to ensure that these processes achieve their intended results.</li></ul>	4 Context of the organisation	





	EASA Management Standards	ISO 9001 Standard	Internal Control Framework
<b>Leadership</b>			
3	The Directors of the Agency shall provide evidence of their commitment to the development and implementation of the management system by: <ul style="list-style-type: none"><li>- taking accountability for the IMS;</li><li>- establishing, maintaining and communicating the EASA Strategy and IMS Policy and Quality Objectives in line with the context, strategic direction and mission statement;</li><li>- promoting the process approach and risk based thinking;</li><li>- promoting continuous improvement.</li></ul>	4. Context 5. Leadership 7.3 Awareness 7.4 Communication 9.3 Management Review	12. Deploys through policies and procedures
4	The Directors and all management levels demonstrate their commitment to the EASA values and in their instructions, actions and behavior. Assess whether individuals are aligned with the "Code of Conduct for the staff of EASA" and address any deviations in a timely manner. The Directors shall also assess the potential risk in the internal control system based on the EASA antifraud strategy and taking into consideration audit and OLAF reports.	5 Leadership 5.2 Quality Policy	1. Demonstrates commitment to integrity and ethical values 8. Assesses fraud risk
5	The Agency shall assign and communicate to all staff on up to date and written basis: <ul style="list-style-type: none"><li>- their responsibility and authority;</li><li>- their role in the section/department;</li><li>- their tasks assignment (job description);</li><li>- their delegated authority, if applicable and use appropriate processes and technology to assign responsibility and segregate duties;</li><li>- their reporting line to enable the execution of authority, fulfilment of responsibilities and flow of information.</li></ul>	5.3 Organisational roles, responsibilities and authorities 7.2 Competence 7.3 Awareness 7.4 Communication 7.5 Documented information	3. Establishes structure, authority and responsibility





	EASA Management Standards	ISO 9001 Standard	Internal Control Framework
<b>Strategy and Planning</b>			
6	<p>The Agency shall define, communicate, implement and monitor a strategy and planning process so as to cover long-term, medium and short term planning, including:</p> <ul style="list-style-type: none"><li>- setting of objectives and indicators at every level, and updating when necessary;</li><li>- allocating resources required to achieve policy, operational, financial and performance goals;</li><li>- identifying responsibilities;</li><li>- establishing deadlines;</li><li>- defining how the results will be evaluated.</li></ul> <p>The Agency may conduct, as appropriate, impact assessments to assess the performance, analyse options and related impact on new initiatives.</p>	<p>4.1 Understanding the organisation and its context 4.2 Understanding the needs and expectations of interested parties 5.1 Leadership and commitment 6 Planning 7.1 Resources 7.5 Documented information</p>	<p>6. Specifies suitable objectives 12. Deploys control activities through policies and procedures</p>
7	<p>The Agency shall identify and assess risks and opportunities to the achievement of its objectives across the organisation, as a basis for determining how they should be managed, to:</p> <ul style="list-style-type: none"><li>- give assurance that the management system can achieve its intended results;</li><li>- enhance desirable effects;</li><li>- prevent, or reduce, undesired effects;</li><li>- achieve improvement.</li></ul>	<p>6 Planning 7.5 Documented information 9.3 Management review</p>	<p>7. Identifies and analyses risk 8. Assesses fraud risk</p>
8	<p>The Agency shall identify and assess changes that could significantly impact on the IMS, the internal control system and the achievement of objectives. The changes shall be carried out in a planned manner considering the purpose of changes and potential consequences and available resources.</p>	<p>6.3 Planning of changes</p>	<p>9. Identifies and analyses significant change</p>





	EASA Management Standards	ISO 9001 Standard	Internal Control Framework
	<b>Support</b>		
9	The Agency shall determine, provide and maintain the infrastructure and work environment needed to achieve its objectives including: - buildings; - equipment; - information and communication technology (including security of IT system and data quality, availability and confidentiality). The Agency shall select and develop control activities over the acquisition, development and maintenance of technology and related infrastructure.	7.1.1 Resources - General 7.1.2 People 7.1.3 Infrastructure 7.1.4 Environment for the operation of processes	11. Selects and develops general control over technology
10	The Agency shall define, provide and maintain the environment necessary for the operation of its processes, including: - social; - psychological; - physical.	7.1.3 Infrastructure 7.5 Documented information 8.1 Operational planning and control	
11	The Agency shall implement a document management system to manage the lifecycle of its internal and external documents, including identification, registration, versioning, availability, filing, archiving, retention, disposal and retrieval capabilities. As a minimum: - the Strategy and IMS Policy; - documented processes and procedures; - records as evidence of output of the processes; - records regarding competence and training of individuals; - audit reports; - output from Management Review. The Agency shall identify, control and protect stakeholder property (external information).	7.5 Documented information 8.5.3 Property belonging to customers or external providers 8.5.4 Preservation	13. Uses relevant information





	EASA Management Standards	ISO 9001 Standard	Internal Control Framework
12	<p>The Agency shall determine the internal and external communications relevant to the IMS, including:</p> <ul style="list-style-type: none"><li>- what it will communicate;</li><li>- when to communicate;</li><li>- with whom to communicate;</li><li>- how to communicate;</li><li>- and who communicates.</li></ul>	7.4 Communication	14. Communicates internally 15. Communicates externally
13	<p>The Agency demonstrates a commitment to attract, develop and retain competent individuals in alignment with objectives by:</p> <ul style="list-style-type: none"><li>- defining clear roles and responsibilities and holds individuals and entrusted entities accountable for the performance of internal control responsibilities across the Agency and for implementation of corrective action as necessary;</li><li>- defining the competences and knowledge necessary to support the achievement of objectives;</li><li>- annually assess staff efficiency, abilities and conduct against expected of standards and set objectives, taking action to address shortcomings where necessary;</li><li>- organise the promotion of eligible staff after consideration of comparative merits;</li><li>- provide the training and coaching needed to attract, develop and retain a sufficient number of competent staff;</li><li>- promote and plan staff mobility so as to strike the right balance between continuity and renewal;</li><li>- establish succession planning and deputising arrangements for operational activities and financial transactions to ensure continuity of operations.</li></ul>	7. Support 7.1.2 People 7.2 Competence 7.3 Awareness 7.5 Documented information	4. Demonstrates commitment to competence 5. Enforces accountability







	EASA Management Standards	ISO 9001 Standard	Internal Control Framework
	<b>Operation</b>		
14	The Agency shall describe and manage its processes in compliance with its applicable requirements (e.g. Basic Regulation, Implementing Rules, Financial Regulation, ISO 9001 standard, ICS standard...). These processes shall ensure appropriate segregation of duties. The Integrated Management System shall ensure appropriate traceability and evidence of conformity of the work performed. Records shall be established and controlled as an output of each process.	4 Context of the organisation 5.1.2 Customer focus 5.3 Organizational roles, responsibilities and authorities 7.5 Documented information 8.1 Operational planning and control 8.2 Determination of requirements for products and services 8.5 Production and service provision	10. Selects and develops control activities 12. Deploys through policies and procedures 13. Uses relevant information
15	The Agency shall identify, implement and continually improve a stakeholder-related process so as to determine and review the stakeholders' needs, to collect and analyse their feedback and to monitor their expectations and satisfaction.	5.1.2 Customer focus 8.2.1 Customer communication 9.1.2 Customer satisfaction 9.3 Management review	15. Communicates externally
16	The Agency shall define and implement purchasing process, including: - supplier evaluation and monitoring; - the verification of purchased product; - ensuring that outsourced processes are controlled.	7.5 Documented information 8.1 Operational planning and control 8.2 Determination of requirements for products and services 8.4 Control of externally provided products and services 8.5 Production and service provision 8.6 Release of products and services 8.7 Control of nonconforming process outputs, products and services	
17	The Agency shall establish and maintain business continuity plans used by trained staff to ensure continuation of work in case of a major disruption. Where necessary they must include coordinated and agreed disaster recovery plan for time sensitive supporting infrastructure.	7.1.3 Infrastructure	10. Selects and develops control activities





	EASA Management Standards	ISO 9001 Standard	Internal Control Framework
	<b>Performance evaluation</b>		
18	<p>The Agency shall measure, monitor, analyse and review the effectiveness of its processes and conformity of related products. The staff member in charge performs the Business Process Assessment, including control of activities and risk assessment in a timely manner and takes corrective action where needed.</p> <p>Deviation from established processes and procedures shall be documented in exception reports. All instances must be justified and approved before action is taken and lodged centrally.</p>	<p>6.1 Actions to address risks and opportunities 7.5 Documented information 8.5 Production and service provision 8.6 Release of products and services 8.7 Control of nonconforming outputs 9.1 Monitoring, measurement, analysis and evaluation 9.3 Management review 10.2 Nonconformity and corrective action</p>	<p>16. Conducts ongoing and/or separate assessments 12. Deploys control activities through policies and procedures</p>
19	<p>The Agency shall set up an appropriate audit capability, including:</p> <ul style="list-style-type: none"> <li>- planning and maintenance of audit programme;</li> <li>- defining audit criteria and scope;</li> <li>- audit reporting;</li> <li>- reporting on deficiencies to the management and in the Annual Activity Report after assessment of the severity classification;</li> <li>- definition and monitoring of correction and corrective action plans ensuring timely implementation of corrective action by action owner.</li> </ul>	<p>6.1 Actions to address risks and opportunities 7.5 Documented information 9.2 Internal audit 9.3 Management review 10.2 Nonconformity and corrective action</p>	<p>16. Conducts ongoing and/or separate assessments 17. Assesses and communicates deficiencies</p>
20	<p>The Agency shall develop and monitor its EASA Management Standards.</p> <p>The EASA Management Standards shall be assessed once a year. The results of the assessment shall be reported to the Management Review and used for improvement of the Integrated Management System.</p>	<p>4. Context of the organisation 5. Leadership 7.5 Documented information 9.3 Management Review</p>	<p>16. Conducts ongoing and/or separate assessments</p>





	EASA Management Standards	ISO 9001 Standard	Internal Control Framework
21	<p>The Directors shall review, at planned intervals, the continuing suitability, adequacy, performance and effectiveness of the IMS during the Management Review including decision and action related to:</p> <ul style="list-style-type: none"><li>- the effectiveness of internal control, including deficiencies and deviations;</li><li>- opportunities for improvement;</li><li>- need for change to the IMS;</li><li>- resources needed.</li></ul>	<p>4.Context of the organisation 5.1 Leadership and commitment 7.5 Documented information 9.3 Management Review 10. Improvement 10.1 General 10.3 Continual improvement</p>	<p>2. Exercises oversight responsibility 16. Conducts ongoing and/or separate assessments</p>
22	<p>The Executive Director, in his capacity as Authorising Officer, shall oversee the development and performance of internal control and risk management, in order to provide a Declaration of Assurance* on the appropriate allocation of resources and their use for their intended purpose in an accordance with the principles of sound financial management, as well as, on the adequacy of the control procedures in place.</p> <p>*This declaration is part of the Annual Activity Report of the Agency.</p>	<p>7.5 Documented information 9.1.3 Analysis and evaluation 9.3 Management review</p>	<p>2. Exercises oversight responsibility 17. Assesses and communicates deficiencies</p>

