



# Consolidated Annual Activity Report (CAAR) **2020**



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# Management Board's Assessment

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## Statement from the Chair of the EASA Management Board (MB)

2020 has been a challenging year. The COVID-19 crisis has generated a number of unexpected hurdles and difficulties for the aviation sector and continues to be the source of uncertainty, requiring innovative and flexible solutions, in particular to improve the resilience of the sector.

EASA's swift response at the start of the crisis, and close collaboration with external stakeholders/partners, in particular ECDC, resulted in the publication of crucial recommendations and instructions, specifically the guidelines for COVID operations, providing the basis for a clear and harmonised approach across Europe.

EASA is further commended for its resource management and crisis response in 2020. Throughout the pandemic, EASA has maintained a high level of operations, stepped up support to its partners, initiated remote working procedures and progressed on key topics in a variety of fields such as drones, ATM-ANS, environment, new types of propulsion and digitalisation. Moreover, the management of financial resources was communicated transparently and with increased exchange channels with external partners to mitigate the financial risks and uncertainties related to the crisis, which meant that EASA was able to finish the year in a strong financial position going into 2021.

One notable achievement in 2020, not only for EASA but the industry in general, is the work performed on the project for the B737Max European return to service. A complex and highly sensitive project, EASA demonstrated strong leadership and resilience, maintaining its independence in the face of political pressures and social concerns. The work continued into 2021 resulting in the approved return to commercial operations in Europe in February 2021.

As Europe and the world continues to deal with the effects of the COVID-19 crisis, EASA is encouraged to continue its efforts to this respect, preparing for the recovery of the sector, and the upcoming "new normal" state of operations. This will require agility, openness, and involve more digitalisation and remote working methods.

I am looking forward to seeing how EASA's strategy for the coming years evolves to address the new and emerging challenges effecting the sector and I encourage all EASA stakeholders to actively contribute to this strategy.

**21<sup>st</sup> April 2021**

**Piotr Samson**

**Chair of the EASA Management Board**

# Executive Summary

## The Agency in Brief

The European Union Aviation Safety Agency (“EASA” or “the Agency”) is an Agency of the European Union tasked with specific regulatory responsibilities and executive tasks in the area of aviation safety. Established in 2002, governed by [Regulation \(EU\) 2018/1139](#) (EASA Basic Regulation (BR)), EASA is at the centre of the European Union’s aviation safety system, ensuring that European citizens enjoy the highest common level of safety and environmental protection. Based in Cologne, Germany, EASA currently deploys around 800 aviation experts, administrators and consultants. The Agency also maintains an office in Brussels and representative offices in Canada, USA, Singapore and China.

### Principal Tasks:

EASA works in close cooperation with the Member States, Industry Partners and European Institutions. Furthermore, in the performance of its core activities the Agency is supported by the Member States’ National Aviation Authorities (NAA) as part of the EASA System. EASA’s principal tasks consist of:

- **Certification & approval** of aviation products and organisations, in fields where EASA has exclusive competence (e.g. airworthiness).
- **Oversight** and support to Member States in fields where EASA has shared competence (e.g. Air Operations, Air Traffic Management).
- **Drafting of regulatory material** setting up common standards for aviation in Europe and monitoring the effective implementation of such standards in Member States.
- Collection and analysis of **safety intelligence and performance data** to derive strategic action plans.
- **Promoting** the use of European and international standards.
- Supporting a more **sustainable and “green” aviation** through the management of a dedicated sustainable aviation programme.
- **Cooperating with international actors** in order to achieve the highest safety level for EU citizens globally (e.g. EU safety list, Third Country Operators authorisations).
- Supporting **innovation** and **new developments** (e.g. Drones, VTOL, Artificial Intelligence, Cybersecurity, Sustainable Aviation Fuels).

### Objectives:

- Ensure the highest common level of **safety protection** for EU citizens.
- Ensure the highest common level of **environmental protection**.
- **Single regulatory and certification process** among Member States.
- Facilitate the internal aviation single market & create a **level playing field**.
- Collaborate with other **international aviation organisations & regulators**.

### Key Figures in 2020:

- More than 2500 initial type certification (IAW) and operational suitability applications received and more than 2000 certificates issued.
- 335 Airworthiness Directives (ADs) delivered including revisions and corrections as well as 10 Emergency ADs.
- 30 Safety Information Bulletins (SIBs) published relating to airworthiness and operational matters.
- Over 4000 approvals and qualifications issued including over 2600 organisation approvals and Flight Simulation Training Devices (FSTD) qualifications under EASA oversight.
- 4 Opinions and 16 Notices of Proposed Amendment (NPAs) published.
- Around 750 applications received for Third Country Operator (TCO) authorisations.
- 23 Remote Inspections (RIs) performed, across all technical domains.
- 6227 applications registered, amongst these 2059 online applications received via the EASA Portal.



## The Year in Brief

2020 was a year of new and unexpected challenges. The COVID-19 Pandemic shook the world and had a profound impact on the aviation sector. Although the duration of the pandemic and outlook for the future is still uncertain, the sector is already anticipating that COVID will change the face of aviation not only in the short-term but for many years to come.

The crisis has emphasised more than ever the need to ensure **agility and resilience** in the EASA system. This is key to being able to address the challenges posed by the current and **changing risk landscape**, including risks related to security and health threats, whilst ensuring the highest safety levels.

Around the world, innovative thinking and rapid response have been fundamental to managing the crisis, from adapting to new ways of remote working to fast-tracking vaccine deployment. The EU aviation industry continues to innovate and advance products and services such as clean technology solutions, robotics and advanced materials. The Agency as a regulator has a central role to play in setting safety standards that enable these developments and further these goals, providing a framework within which the **European industry can maintain its competitiveness, innovate safely and, quickly, and profit from new market opportunities**.

Innovation is expected to play a crucial role in facilitating advances on environment and towards sustainable aviation, a key priority not only for the industry but for citizens and policy makers. Through key activities on environmental sustainability, innovation, drones, research, as well as international cooperation and other actions included in the European Plan for Aviation Safety (EPAS) the Agency has ramped up its support to the industry in regaining and maintaining its competitiveness.

*“A prime driver for EASA will be to ensure that the European aviation industry does not only survive the crisis, but emerges from it **stronger, greener and better prepared for the future**” [Patrick Ky, EASA Executive Director, September 2020].*

## 2020 Key Achievements

In support of the above, and reflecting on a challenging year, we would like to highlight some of the **key focus areas and main achievements of EASA in 2020**:

### Facing COVID-19 with our Partners

In early 2020, as COVID-19 started to spread, the Agency immediately mobilised its resources to re-focus priorities to actively support its stakeholders and address the new challenges. A number of activities were initiated, including, but not limited to the following:

- Publication of the **Aviation Health Safety Protocol** together with the European Centre for Disease Control and Prevention and Control (ECDC). The protocol describes measures to ensure the health of air travellers and aviation personnel, leveraging the Agency's aeromedical expertise and ECDC's knowledge in disease control and.
- Launch of a **charter programme** with airlines and aerodromes operators to monitor the implementation of the Aviation Health Safety Protocol and gather data on health safety.
- Initiation of the **Return to Normal Operations (RNO) project** to support national aviation authorities and industry to overcome the challenges of COVID-19. The project includes measures to reduce the risk of infection for passengers and crews, support remote audits and oversight, support aviation personnel and facilitate the extension of licenses, assess safety risks and threats.
- **COVID-19 Safety Risk Portfolio** created to identify and monitor the different safety issues that emerged out of the crisis covering a wide range of operational activities, with a significant safety management and human factor component. This work was done in collaboration with the industry and NAA's leveraging on existing collaborative groups of safety partners. The resulting COVID-19 risk portfolio is being closely monitored by the Agency and will become an integral part of the European Safety Risk Management process, feeding future EPAS editions

Further information on EASA's response to the crisis and key outputs can be found in Section II.2 - Major Developments – COVID-19, as well as on EASA's website under: <https://www.easa.europa.eu/web/covid-19>

### Boeing 737 MAX Return to Service

In November 2020 EASA issued a proposed Airworthiness Directive (AD) and a preliminary Safety Directive (SD) for the conditions of return to service of a modified version of the Boeing 737 MAX, mandating a package of software upgrades, electrical wiring rework, maintenance checks, operations manual updates and crew training, to allow the plane to fly in European skies after almost two years on the ground. Following disposition of all comments received during public consultation, the final AD and SD were published in January 2021 with the technical report. The Post B737 Max policy developments will impact our certification policy and processes with changes to our Product Rules, Safety Assessment Systems, a better integration of Human Factors in CAW process, further development of the Assurance Process and a better coordination of Investigation of Design, Flight Procedures, Training and Operational Aspects. The actual return to commercial operations in Europe occurred in February 2021. More information can be found on EASA's website under: [B737 Max Return to Service Europe](#).

## Focusing on Environment

In cooperation with global partners and industry, the Agency launched in 2020 the **EASA Sustainable Aviation Programme (2020-2024)** focusing efforts around 4 main objectives towards achieving a cleaner, quieter and more sustainable aviation system.



Together with global partners and industry, some **key deliveries in 2020 include:**

- Certification of the electric airplane Pipistrel Velis Electro, representing an important milestone in the quest for low-emission solutions.
- the Environmental Label initiative, aiming at reducing aviation's environmental footprint, entered its pilot phase, marking the success of the proof of concept.
- Innovation Partnership Agreement with CAA Norway including contribution to a High-Level Task Force on zero emissions aviation successfully initiated in February 2020.
- Study on aviation's impact of non-CO<sub>2</sub> emissions on climate change published.
- Support to EU's Refuel initiative on the use of sustainable aviation fuels.
- Launch of research projects addressing noise, emissions and market-based measures.
- Launch of first certification project against new CO<sub>2</sub> standards.

Further information on the key initiatives and developments covered by EASA Sustainable Aviation Programme and the latest environmental reports published can be found on EASA's website under: <https://www.easa.europa.eu/domains/environment>

## First Applications for Article 64/65 of EASA Basic Regulation

In 2020 EASA concluded the necessary arrangements with Hungary and Portugal to allow the transfer of responsibility in the domain of air operations (AOC) and continuing airworthiness management (CAMO) for two operators. In August 2020 EASA became the competent authority for Wizz Air Hungary, one of the largest and fastest growing point-to-point airlines in Europe, and in October 2020 for Masterjet (member of Luxaviation Group), one of the largest business aircraft operators worldwide.

## Future Skies – EASA Drone Programme

In order to establish the basis for a common and safe European market for drones, and to be a key enabler to support Unmanned Aircraft Systems (UAS) integration in the airspace, the Agency has made further progress in 2020 in establishing a comprehensive, risk-based, operations-centric EU regulatory framework for UAS. The Agency released its Opinion on the U-Space framework in March 2020, and the first set of EU regulations for the 'open' and 'specific' category UAS operations became applicable in December 2020.

In 2021, drones and UAS remain a top priority, with the Agency focusing on:

- Developing Acceptable Means of Compliance (AMC) and Guidance Material (GM) in support of the forthcoming U-space implementation.

- Further establishing a proportionate approach for the airworthiness of UAS.
- Implementing the EASA Counter-UAS Action Plan.
- Developing a first NPA on a comprehensive regulatory framework enabling operations of UAS and manned eVTOLs in the ‘certified’ category (supported by the results of an EASA study on societal acceptance of urban air mobility operations).



## Strengthening International Relationships

The COVID-19 crisis has highlighted that cooperation with international partners will play a pivotal role in the return to normal operations and recovery of the aviation industry. Throughout 2020, the Agency was strongly committed to provide mature guidance, support and leadership to the industry, in cooperation with EU health authorities.

Despite travel restrictions and related constraints, the Agency was pleased to conclude new working arrangements (WAs) with Colombia, South Korea, Qatar & Japan and continue implementation of the Bilateral Aviation Safety Agreements (BASAs) signed with China & Japan in 2019. In support of its worldwide technical cooperation and assistance activities EASA continued to maintain pace on 12 projects, implementing new working methods and web-based solutions to bring project stakeholders together (e.g. trainings, seminars, and similar events).

## Creating Digital Solutions & New Ways of Working

In the current climate, it is more vital than ever that EASA ensures its own sustainability. This means continuing to deliver the volume and quality of services required by European citizens and the industry, while also preserving the agility to react quickly to external factors, the efficiency to drive the most cost-effective and financially viable organisation and the digital capability to accompany the trends of the market.

Destination

**FUTURE-PROOF**

Powered by  CORAL

In February 2020 the Agency launched its corporate transformation programme, “**Destination: Future-proof**”, incorporating the ongoing digitalisation initiative (“CORAL”), with key objectives to modernise ways of working, simplify processes and provide digital services to its external stakeholders. The programme is expected to run until 2023 and initially set-out to achieve cost efficiency gains of at least 8% compared to 2019 but is currently expected to deliver overall efficiency gains of 20-25% at Agency level by 2025.

Some **key deliveries in 2020 include**: Launch of extended functionalities for the “**Applicant Portal**”; initial development of a **digital oversight application for organisations** (currently deployed for production organisations); and advanced online conferencing capabilities which have enabled remote standardisation inspections.

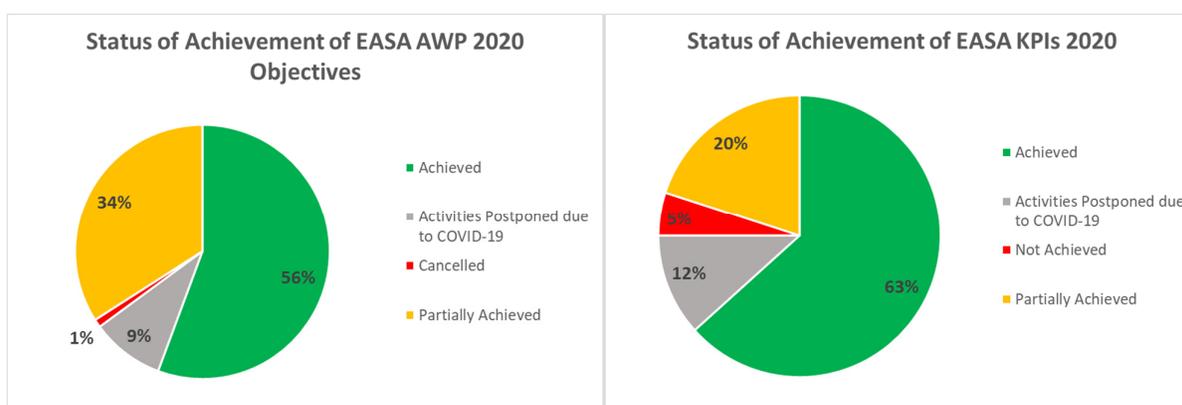
## Part I — Achievements of the Year

This chapter details EASA's achievements in 2020 against the Annual Work Programme 2020 (AWP) (SPD 2020-2022) and key performance indicators (KPIs) per key activity and the associated resources invested.

Around 100 objectives/targets and 60 KPIs over 10 key areas of activity were set out in the 2020 AWP. 35% of these objectives and 40% of KPIs were impacted by the COVID-19 crisis and experienced challenges and delays, related mainly due to travel restrictions, social distancing and/or availability of external stakeholders, or were postponed by EASA in order to relive pressure on the industry.

Despite this, EASA was able to achieve 90% (of which 56% fully achieved) of its AWP ambitions. Nevertheless, 9 objectives were required to be postponed due to the crisis but will follow-up in 2021 according to the evolution of the pandemic.

In terms of performance, the Agency's KPIs report that activities were able to sustain a high level of operation with 63% reported as achieved, 20% partially achieved and only 5% (or 3 KPIs/targets) not achieved. 12% (or 7 KPIs) have been postponed as a direct result of the COVID-19 crisis.



Legend			Objectives Result 2020	KPI Result 2020
	Achieved	Otherwise	56%	63%
	Partially Achieved	5-15 % below target / 2 indicators red or >30% of indicators red/yellow/grey	34%	20%
	Cancelled/Not Achieved	>15% below target / >30% indicators red	1%	5%
	Postponed	In light of COVID – activities postponed to 2021 or not comparable	9%	12%

Key Activity	Objectives Result 2020	KPI Result 2020
Safety Intelligence & Performance		
Product Certification		
Organisation Approvals		
Third Country Operators		
Standardisation		
EU Ramp Inspection Programme		
International Cooperation		
Rulemaking		
Applicant Services		
Transversal and Enabling Activities		

## I.1. Safety Intelligence and Performance

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### I.1.1. Overview

In essence, the main goal of Safety Intelligence and Performance is to identify the systemic safety risks of the European aviation system and recommend relevant mitigations. Understanding where the safety issues are enables and supports the transition towards an efficient, pro-active and evidence-based safety system.

Safety Intelligence requires the collection, processing and analysis of all relevant safety data. Relevant data includes, amongst others, flight data generated by the aircraft, safety reports, air traffic data and weather data. Collecting and analysing such diverse and vast amounts of data requires a collaborative effort at European level. As a result, EASA collaborates with safety partners, such as industry stakeholders and National Aviation Authorities. The analysis of the collected data aims at identifying and prioritising systemic safety issues and subsequently mitigating measures are recommended. Together these represent the main inputs for the safety drivers of the European Plan of Aviation Safety (EPAS).

The collaborative analysis work is currently done operationally via the Collaborative Analysis Groups (or CAGs) while EASA invests in the design of the Data4Safety programme that is meant to go operational in 2022.

In the EPAS, Cybersecurity is recognised as a systematic enabler. The Agency initiated the development of a comprehensive approach to tackle the cyber threats faced by the EU aviation sector. This combines information sharing, research, competence building and development of industry standards. These activities are coordinated through the European Strategic Coordination Platform, which includes a wide representation of EU institutions, agencies and organisations relevant to the European aviation sector, as well as States and Industry.

Safety and Intelligence Performance contributes to EASA's adoption of an efficient, pro-active and evidence-based safety system.

At EASA, Safety and Intelligence Performance efforts are organised across the following activities:

- **Safety Risk Management (SRM):** EASA's main aim is to strengthen its Safety Risk Management capacity by (i) investing in innovative technologies for data capture and analysis and (ii) ensuring safety intelligence feeds even more efficiently into the European Plan for Aviation Safety (EPAS).
- **European Big Data Programme – Data4Safety (D4S):** The programme aims to provide a Big Data Platform and Analysis capability at European level, including the upgrade of the ECCAIRS platform that sustains the European Central Repository of Occurrences (Regulations (EU) No 376/2014).
- **Safety Promotion Strategy:** Complements the Agency's Rulemaking activity with agile, risk proportionate, alternative risk mitigation measures to promote the most important Safety Issues identified through the Safety Risk Management process, and industry best practice that can significantly increase safety.
- **Cybersecurity:** In the EPAS, Cybersecurity is recognised as a systematic enabler. In light of the cyber threats, faced by the EU aviation sector, the Agency initiated the development of a comprehensive approach. It combines information sharing, research, competence building and development of industry standards. These activities are coordinated through the European Strategic Coordination Platform, which includes a wide representation of EU institutions, agencies and organisations, as well as States and Industry relevant to the European aviation sector.

- **European Information Sharing and Cooperation Platform on Conflict Zones:** The primary objective of the Platform is to share information on threats to civil aviation arising from zones of conflict or armed insurgency so that the Member States and air operators can conduct their risk assessments in a timely manner and implement swiftly appropriate mitigation measure to ensure a safe flight. The Platform aim is also the support to the existing EU Conflict Zone Alerting System and particularly the Integrated EU Aviation Security Risk Assessment Group in order to improve the availability and swiftness of relevant information exchange.

### I.1.2. Key Developments, Achievements & Outputs

Across Safety Intelligence and Performance, the following key outputs and developments have been achieved in 2020:

- The **COVID-19 Safety Risk portfolio** was created in reaction to the pandemic. This safety portfolio identified all the safety issues that emerged out the crisis. This work was done in collaboration with the industry and NAA's through the existing collaborative groups of safety partners such as the CAG (Collaborative Aviation Groups) and the NoA (Network of Analysts).
- The implementation of the **Safety Promotion** Strategy took a huge step forward with the launch of the new websites for Air Operations, Rotorcraft and General Aviation. These websites have had over 75,000 views and the material produced has had over half a million social media views.
- A process and report have been put in place to monitor the implementation of the COVID-19 **Aviation Health Safety Protocol**. The purpose process is to monitor the effectiveness of the EASA-ECDC COVID-19 Aviation Health Safety Protocol<sup>3</sup> and the associated risk of transmission of COVID-19 during the commercial air transport of passengers.
- Centralised in the Safety Intelligence and Performance Department, the team now also hosts security, cybersecurity and conflict zones activities with a view to further integrate safety and security risks into an **Integrated Risk Management** approach.

### I.1.3. Achievement of Annual Work Programme 2020 Objectives

SAFETY INTELLIGENCE AND PERFORMANCE	
Principal Funding Source: EU contribution	
<b>Objective A)</b>	Delivery of a clear process between SM1 (EASA Safety Intelligence & Performance Department) and SM2 (EASA Strategy & Programmes Department) to ensure that Safety Intelligence outputs (Risk Portfolios) are fed into EPAS.
	<p>In light of the COVID-19 pandemic significant efforts were directed towards the identification and mitigation of emerging safety risks, in particular through the development and management of a COVID-19 Portfolio. Nevertheless, valuable progress was also made on this objective. The optimisation of the Safety Risk Management (SRM) process and strong collaboration between EASA teams (SM1 and SM2) have allowed, for the first time, to implement the safety risk portfolios in the EPAS by the creation of an inaugural VOLUME III*. The SRM procedure will be updated in 2021 to reflect the SRM process optimisations achieved.</p> <p><i>*This new volume aims to present how aviation safety risks in Europe are analysed and the outcome of these analyses (i.e. where the risks are), with the purpose of providing readers with more insight on where the actions in the EPAS come from. EPAS Volume III also provides the first set of available EASA Safety Risk Portfolios. Safety Risk Portfolios are a list of safety issues that need to be mitigated at European level and need further action.</i></p>

## SAFETY PROMOTION

**Principal Funding Source:** EU Contribution

<b>Objective A)</b>	Assess if the initial objectives of the Safety Promotion Strategy have been achieved. Formulate and implement measures according to the results of that assessment.
	During 2020 the new Safety Promotion websites were launched on the Community platform. Over 60 different articles were produced and published along with a number of associated guidelines and posters. These have been widely shared on social media and the audience for the material has grown by over 300% since the start of 2020.
<b>Objective B)</b>	Promote best practices on Flight Data Monitoring (FDM): Complete the FDM precursors of main operational risks and other best practice & Establish a strategy to make FDM promotion even more effective
	FDM information updated to the stakeholder community with the goal of helping operators to use flight data to support their risk management activities.

## RESEARCH STRATEGY

**Principal Funding Source:** EU Contribution + Earmarked funds (from the EU)

<b>Objective A)</b>	Implement, manage and monitor the Horizon 2020 Contribution Agreement as part of the EU Framework Programme for Research and Innovation.
	The Research Contribution Agreement was signed by the European Commission and EASA in March 2020. All calls for tender were launched and subsequently six research projects successfully contracted and implemented. Further information and details on the projects are available on the EASA Website under: <a href="https://easa.europa.eu/research">Research   EASA (europa.eu)</a> .
<b>Objective B)</b>	Continue the collaboration with the association of universities and research centres.
	EASA continued developing its institutional relationships in research and innovation. Work with universities has continued with a view to launching a new Agency PhD scheme in 2021. Meanwhile, collaboration with national entities was strengthened through a new Memorandum of Cooperation (MoC) between EASA and the Association of European Research Establishments in Aeronautics (EREA). Two meetings of the Steering Group governing this agreement were held in 2020 to identify common priorities and initiate work on a joint Research Agenda.
<b>Objective C)</b>	Prepare the request for new Horizon Europe funding under the Horizon Europe Work Programme 2021-2022.
	A series of research priorities and funding envelope has been agreed with the European Commission for inclusion into the Horizon Europe Work Programme 2021-2022.

## CYBERSECURITY IN AVIATION AND EMERGING RISKS

**Principal Funding Source:** EU Contribution

<b>Objective A)</b>	Implement the Strategy for Cybersecurity in Aviation within the related timelines: Members sign Memorandum of Cooperation (MoC), to formalise establishment of the European Centre for Cyber Security in Aviation (ECCSA).
	Due to COVID-19 there was a delay on the response from stakeholders and there remains some concerns expressed by different parties that need to be addressed. Nevertheless, the MoC is expected to be launched for signature by Q1 2021.
<b>Objective B)</b>	Implement the Strategy for Cybersecurity in Aviation within the related timelines: Promote the development of a complete cybersecurity risk landscape, including the identification and sharing of new risks through e.g. bulletins and the rapid reaction to those risks by all parties.
	<p>The development of a comprehensive approach was initiated, covering a range of key elements and addressing the following questions:</p> <ul style="list-style-type: none"> <li>- Where to obtain necessary intelligence? In 2020 it was obtained through an MoC signed between EASA and CERT-EU (The Computer Emergency Response Team for the EU Institutions, bodies and agencies).</li> <li>- How to further analyse that intelligence and develop proposed actions? A critical aspect, as in many cases we are talking about public information, that has not been properly contrasted and is hardly actionable. This is where a platform called “Network of Cybersecurity Analysts” should support, with participants from the Member States, has been initiated as agreed with the MAB (Member States Advisory Body).</li> <li>- How the information (regardless of whether it is public or has been further analysed) can be shared with the appropriate parties (Member States and stakeholders)?</li> <li>- How the information can be used for the EASA work planning (EPAS, etc)?</li> </ul> <p>This work continues. The initiatives have been initiated (e.g. the Network of Cyber Analysts) and will be follow-up in 2021 in order to become fully operational.</p>
<b>Objective B)</b>	Implement the Strategy for Cybersecurity in Aviation within the related timelines: Publish an Opinion proposing the introduction of organisational requirements for the management of cybersecurity risks in all aviation domains
	The publication of the Opinion was delayed in order to address concerns expressed by Stakeholders and authorities related to the availability of the associated AMC/GM material (Acceptable Means of Compliance (AMC) / Guidance Material (GM)). This issue has been solved, in coordination with European Strategic Coordination Platform (ESCP) and the Opinion is expected to be published in Q2 2021.

## EUROPEAN BIG DATA PROGRAMME [Data4Safety (2016 - 2021)]

**Principal Funding Source:** EU grants + F&C accumulated reserve

<b>Objective A)</b>	Use cases of Proof of Concept validated by the Steering Board.
	Use Cases agreed by the Steering Board and implemented for FDM (Flight Data Monitoring) and ECR (European Central Repository) based Metrics.

<b>Objective B)</b>	Deliver the Use Cases of the Proof of Concept phase of the Data4Safety programme.
	As above.
<b>Objective C)</b>	Entry into Service of ECCAIRS 2.0 in second semester.
	Deployment of production version of ECCAIRS 2 done on 5 January 2021 in line with the deployment plan.

#### I.1.4. Resources & Key Performance Indicators

Resources	2020 Plan	2020 Actual
Human Resources (FTEs)	53	50
Of which allocated Human Resources (FTEs)	10	13

Performance indicators	Target 2020	Result 2020		Comment 2020
Timely processing of occurrence reports	≥85%/≤4 days	62%/6.8 days		Significant challenges to meet KPI due to availability of resources, workload impact from Article 64/65 and migration from IORS to SDM technical solution. Improvement expected in 2021 results.
Accuracy of technical owner allocation	≥95%	99.8%		
Timeliness to answer safety recommendations	≥97.5%	94.4%		Technical issue led to more lengthy response to 2 SRs.
Productivity and Quality of Safety Analysis process and SRM Process	≥4	4 items & Publication of ASR		
Implementation Safety Promotion Programme	≥80%	100%		
Safety Promotion Resource Engagement	9,7 FTE	9,4 FTE		
Timely execution of committed research projects	100%	100%		

Processing of requests for participation in external research projects	≥80%	100%		
Research Expert Engagement	≥9 FTE	4.1 FTE		Level of expert involvement not able to be realised, but projects were not negatively impacted. Target adjusted accordingly in SPD 2021-2023.

## I.2. Product Certification

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### I.2.1. Overview

EASA is responsible for the airworthiness and environmental certification of aeronautical products and parts. This responsibility encompasses the initial type certification (IAW), including operational suitability data and a variety of related certification activities, such as supplemental type certifications, approval of changes to type certificate and of repair design. All these activities are performed to maintain the highest level of safety and environmental compatibility.

Furthermore, it also covers activities to ensure the continuing airworthiness (CAW) of the certified products and parts throughout their entire operational life. This includes identifying and reacting without undue delay to safety problems and issuing and disseminating the applicable mandatory Airworthiness Directives.

The Agency also provides services to external stakeholders, such as the approval of maintenance review board (MRB) reports, certification support for validation of certificates outside the EU as well as technical advice contracts (TACs) upon request of either the industry, aviation authorities or other public institutions. EU industry is supported in validating their products in third countries, by developing and implementing streamlined procedures with bilateral partners and supporting industry with technical expertise.

### I.2.2. Key Developments, Achievements & Outputs

- **Boeing 737 MAX Return to Service:** In November 2020 EASA issued a proposed Airworthiness Directive (AD) and a preliminary Safety Directive (SD) for the conditions of return to service of a modified version of the Boeing 737 MAX, mandating a package of software upgrades, electrical wiring rework, maintenance checks, operations manual updates and crew training, to allow the plane to fly in European skies after almost two years on the ground. Following disposition of all comments received during public consultation, the final AD and SD were published in January 2021 with the technical report. The Post B737 Max policy developments will impact our certification policy and processes with changes to our Product Rules, Safety Assessment Systems, a better integration of Human Factors in CAW process, further development of the Assurance Process and a better coordination of Investigation of Design, Flight Procedures, Training and Operational Aspects. The actual return to commercial operations in Europe occurred in February 2021. More information can be found on EASA's website under: [B737 Max Return to Service Europe](#).
- **COVID-19 Crisis Response:** In 2020, in response to the COVID-19 crisis and in order to support industry as best as possible, EASA established a Return to Normal Operations group dealing with multiple matters and supported by Experts and Project Certification Managers (PCM's). Under the design related stream EASA provided guidance material for the transport of cargo in passenger cabin, treated related supplemental type certificate (STC) applications with priority and free of charge, developed guidance material for remote test witnessing and remote auditing, or how vaccines could be transported in the cabin using dry ice and how to enable proper tracking possibilities. In this respect we also published urgent Safety Information Bulletins, Guidance material, Safety Directives and practical scenarios related to product and design Certification. Additionally EASA also provided support to the Industry in bio-secure research.
- **Advancements in Cybersecurity:** Another important step for EASA towards increasing cybersecurity protection of large airplanes and rotorcraft was the amendment of rules related to the product certification especially for Certification Specifications (CS), Acceptable Means of Compliance (AMC) and Guidance Material (GM). These amendments reflected the state of the art of the protection of products and equipment against cybersecurity threats and additionally improved harmonisation with the Federal Aviation Administration (FAA) regulations.

- 2020 Annual Rotorcraft and VTOL Symposium:** Despite COVID-19 the Agency held the Annual Rotorcraft and VTOL Symposium in December 2020 via Live stream. Interest in the event continues to grow each year and provides a unique forum in Europe to discuss not only the latest rotorcraft and VTOL developments from a safety perspective. With some 400 participants, representing the highest participation recorded to date, it is a clear sign that the helicopter/rotorcraft/VTOL world is developing fast and the need for technical exchanges around safety is high. Key topics such as innovation, certification basis for gyroplanes, validation of a tilt-rotor rotorcraft, VTOL AMCs, Safety Workshops and the introduction of advance technologies in the cockpit were addressed. Further information about this and future events can be found on EASA’s website under: [Rotorcraft and VTOL Symposium 2020 | EASA \(europa.eu\)](https://www.easa.europa.eu/en/rotorcraft-and-vertol-symposium-2020)
- Support to Sustainable Aviation Programme:** As an important milestone in the quest for environmentally sustainable aviation, EASA also certified an electric airplane, the Pipistrel Velis Electro.
- Support to Drones Programme:** Certification requirements have been additionally set for light unmanned aircrafts, in order to guarantee safe operations in parcel delivery both in urban environments and crisis zones.

### Key Figures:

- More than 2500 IAW and operational suitability applications received and more than 2000 certificates issued, and representing however a decrease of 10-15% compared to 2019 (in particular for minor changes/repairs, approval of flight conditions for permit to fly and ETSOA certificates), reflecting the first impacts of COVID-19.
- 335 ADs (including revisions and corrections) and 10 Emergency ADs issued. A detailed list can be found on the [AD publication portal](#). The following figure shows an extract by department.
- 30 Safety Information Bulletins (SIBs) published relating to airworthiness and operational matters.
- 196 foreign ADs adopted and 27 Foreign Safety Advisory Information (FSAI) publications uploaded onto the AD publication portal.
- More than 520 applications received for supporting the validation by foreign authorities of EU applicants’ EASA design certificates (Certification Support for Validation).

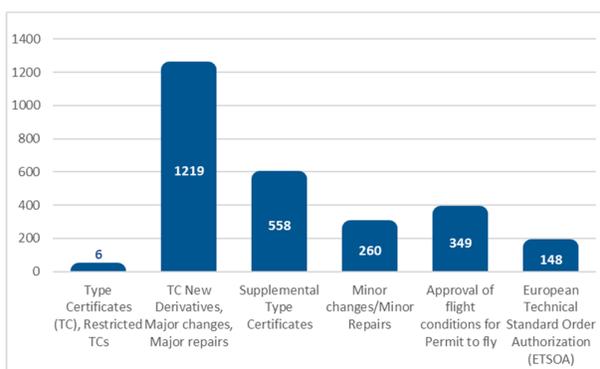


Figure 1 – 2020 Applications per Certification Activity

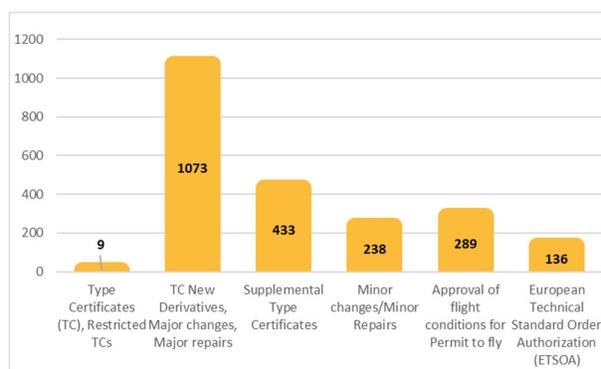


Figure 2 – 2020 Approvals issued per Certification Activity

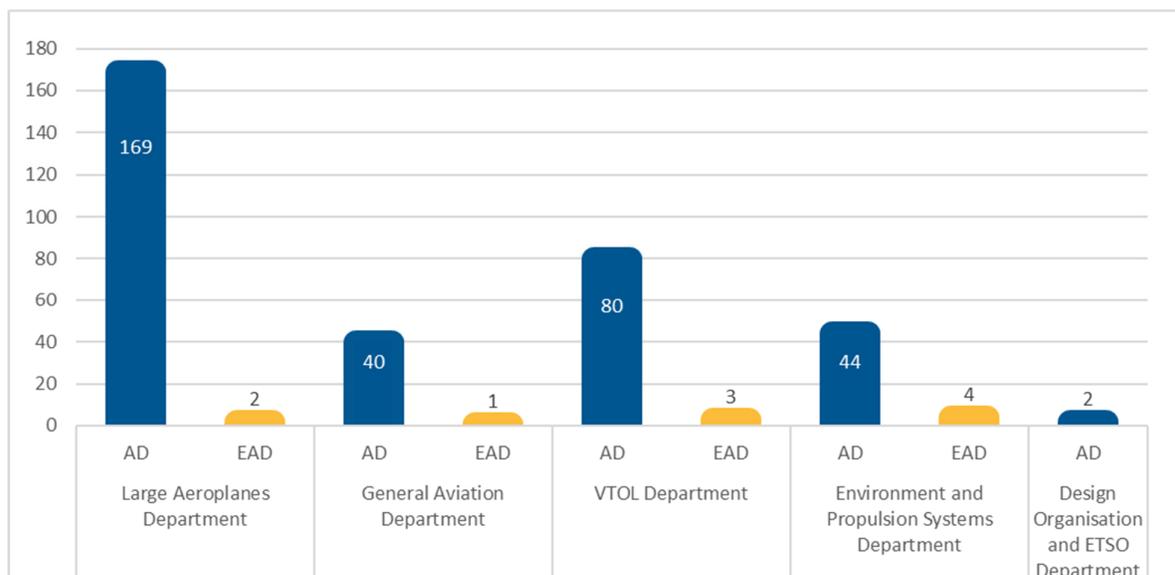


Figure 3 – 2020 AD &amp; EAD issued

### I.2.3. Achievement of Annual Work Programme 2020 Objectives

INITIAL AIRWORTHINESS, ENVIRONMENTAL CERTIFICATION AND OPERATIONAL SUITABILITY	
Principal Funding Source: F&C	
<b>Objective A)</b>	Process the applications for innovative products by defining the risk-based certification basis, in accordance with the certification plan.
	Establishment of safety objectives for e-VTOL light (Electronic – Vertical Take-off and Landing Aircraft) and Unmanned Aircraft Systems (UAS) have been achieved via the publication of a <a href="#">Special Condition</a> . EMCO/SIPO (Extended Minimum-Crew Operations/Single Pilot Operations) projects are on target and will facilitate the certification of future projects. Various TACs (Technical Advisory Contracts) and IPCs (Innovation Partnership Contracts) are in progress and will facilitate the future development of the certification basis. The first deliverable of the Artificial Intelligence (AI) roadmap will help to handle first applications with AI systems. Activity will continue over 2021.
<b>Objective B)</b>	Process all applications for product certification in application of the new Level of Involvement (LOI) rules.
	The objective is fully met, and the process has been fully implemented.
<b>Objective C)</b>	Implementation of continuous improvement of the initial airworthiness process in the framework of the CT 2020 Roadmap (e.g. harmonisation of the various phases in the Certification process and better workload management).
	Work on identifying recommendations and efficiency initiatives was performed in Q1 2020, however, in light of the COVID-19 crisis, as well as refocusing of resource investments in other priorities such as support the B737Max lessons learned and return to service project, this objective was put on hold. The overall aim for the objective and work done to date has been integrated into the scope for the Transformation Programme and is expected to be addressed in 2021 accordingly.

## CONTINUING AIRWORTHINESS AND OPERATIONAL SUITABILITY

**Principal Funding Source:** F&C

<b>Objective A)</b>	Implementation of the Rotorcraft Safety Roadmap recommendations within the related timelines.
	All EU helicopters were delivered with Crash-resistant fuel system (CRFS). ADs were timely issued to correct unsafe conditions. AW169/AW189 modifications were approved, mandated and implemented. The planned improvements for 2020 were realised however this work continues and implementation of further recommendations such as prioritising small operators, light rotorcraft, high risk operations, terrain and obstacle conflict and loss of control are planned for 2021.
<b>Objective B)</b>	Development of a new process to replace the Specific Airworthiness Specifications for the management of orphan aircraft.
	Orphan aircraft policy including the replacement of a specific Airworthiness Specification was agreed and implemented during the EASA Safety Committee in October 2020.

## CERTIFICATION RELATED SERVICES

**Principal Funding Source:** F&C

<b>Objective A)</b>	Implementation of the provisions introduced through new Bilateral Agreements or new Technical Implementation Procedures (TIP).
	The Technical Implementation Procedures with Japan and China were signed within days after the entry into force of the BASAs. Internal and external training was provided on principles and contents. Dialogue continues with the Civil Aviation Administration of China (CAAC) to support the implementation of all TIP provisions.
<b>Objective B)</b>	Implementation of the Instruction for Continuing Airworthiness / Maintenance Review Board synergies project in the framework of the CT 2020 Roadmap.
	Some tangible efficiency gains such as new synergies with Flight Standards directorate, and efficient programming, were achieved despite COVID-19 related challenges. This work continues and shall be integrated into the scope of the Transformation Programme.
<b>Objective C)</b>	Continuous support to the validation of European products to third countries.
	Continuous support to the validation of European certificates in third countries can be considered as successfully achieved in 2020. The need for such support activities with non-EU Authorities is a continuous need that is expected to continue in 2021 and the following years.

ENVIRONMENT AND SUSTAINABILITY (ART.87)	
<b>Principal Funding Source:</b> F&C	
<b>Objective A)</b>	Implement facilitation for Sustainable Aviation Fuels (Art 87.2).
	Continued coordination with DG MOVE on ReFuelEU initiative aimed to boost the update of sustainable aviation fuels with a monitoring function on the use of these fuels in the EU.
<b>Objective B)</b>	Implement actions on Electric and Hybrid Aviation (Art 87.2).
	Successful cooperation under an innovation partnership agreement with the Norwegian aviation authorities preparing the path towards sustainable aviation resulting in a set of recommendations from the partnership's High-Level Task Force being made available. Additional partnerships and agreements with industry stakeholder and research stakeholders have been established supporting the development of green technologies.
<b>Objective C)</b>	REACH co-ordination with ECHA (Art 87.2).
	Efficient co-ordination established with ECHA (European Chemicals Agency) with a view to restricting the use of hazardous chemicals in the aviation industry.
<b>Objective D)</b>	Implement Environmental label programme (Phase I) subject to decision at Management Board Dec 2019 (Art 87.2).
	With a view to increasing the environmental transparency of the aviation sector, an Aviation Environmental Label Proof-of-concept phase has been completed. Funding for the next "Demonstrator Phase" is under discussion and Integration of the Label programme into the European Commission's Smart and Sustainable Mobility Strategy.
<b>Objective E)</b>	Complete study on non-CO2 impacts of aviation on the climate (Art. 87.3) Publish Art 87.4 Recommendations.
	Study on the impact of aviation non-CO2 emissions delivered to the Commission with an updated analysis of the non-CO2 climate impacts of aviation and potential policy measures.
<b>Objective F)</b>	Draft specifications for the next edition of Environmental Report/Review (Art 87.4).
	As part of EASA's mandate to increase environmental transparency in the European Aviation sector including the publication of recommendations for the improvement of the environmental performance, the work of the next European Aviation Environmental Report (EAER) 2022 has been initiated.

#### I.2.4. Resources & Key Performance Indicators

Resources	2020 Plan	2020 Actual
Human Resources (FTEs)	359	357
Of which allocated Human Resources (FTEs)	126	118

Performance indicators	Target 2020	Result 2020		Comment 2020
Initial Airworthiness (IAW) performance rate	95-105 %	101%		
Airworthiness Directives deficiency rate	≤ 5 %	3.2%		
Continuing Airworthiness (CAW) predictability time	≥ 90 %	100%		
Occurrences backlog monitoring rate	90-110 %	114%		
Technical acceptance of occurrences timeliness	≤ 10 days	7 days		
Timeliness of certification support for validation of products	≥ 71 %	71%		Further analysis of the KPI data is underway. An internal taskforce has been established to address/implement any mitigating measures for the future.

## I.3. Organisation Approvals

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### I.3.1. Overview

Within the territory of the Member States, EASA is responsible for all Design Organisation Approvals (DOAs), as well as for certain other Organisation Approvals (OAs). Organisation Approval activities also include the approval and oversight of pan-European Air Navigation Service Providers and the Network Manager. In this context, EASA fulfils certification, oversight, and enforcement tasks, and verifies that the applicable requirements are met.

Outside the territory of the Member States, EASA approves and oversees organisations involved in air traffic controller training, simulators, design, production, maintenance, continued airworthiness management and maintenance training, as well as flight crew training organisations and aero-medical centres. Furthermore, EASA oversees all simulator devices located outside the EU and provides technical support to the satellite-based augmentation system in South Korea.

Articles 64 and 65 of EASA's Basic Regulation (EU) 2018/1139 expands the possible scope for the issuing and surveillance of European organisation approvals by the Agency (e.g. in Air Operator Certificates (AOCs), Continuing Airworthiness Management Organisations (CAMOs), Aircrew Training Organisations (ATOs) and Aircraft Maintenance Organisations (AMOs)) upon request for transfer.

### I.3.2. Key Developments, Achievements & Outputs

In 2020, the OA oversight activity was impacted by two major factors: the COVID-19 crisis and the UK withdrawal from the EU ("BREXIT").

As a consequence of the world-wide travel ban, and the inability to perform on-site audits, the Agency swiftly adapted its working methods and leveraged digital conferencing capabilities to allow for the oversight activity to be performed using remote technologies, to the greatest extent possible. The aviation industry in the OA domain was suffering from the decline in demand for regular services. However, despite the crisis, the Agency did not experience a significant reduction in the number of new OA applications, nor did the Agency see a significant increase in the number of approval surrenders. Industry adapted to the crisis by shifting to new activities such as the storage of aircraft or passenger-to-freighter conversions.

The forthcoming BREXIT implied in 2020 back-sourcing and re-allocation of oversight tasks previously carried out by the UK CAA. UK CAA was the partner authority with the largest volume of outsourced oversight from EASA. Altogether, EASA took back the oversight of 129 third country organisations in 2020.

Across Organisation Approvals, the following key outputs and developments have been achieved in 2020:

- Supporting Third Country approvals worldwide in order to sustain & promote the EU aviation system.
- Implementing new **Bilateral Aviation Safety Agreements (BASA)** & new Annexes to existing BASAs.
- Addressing requests under **Articles 64 and 65** of EASA's Basic Regulation (EU) 2018/1139: By the end of 2020, the Agency had approved two AOCs, two CAMOs and one simulation device organisation within the EU Member States. Other applications are currently being processed in close coordination with the affected Member States.
- **Streamlining Organisation Approval** processes and procedures in accordance with the defined Organisation Approval Roadmap and in conjunction with the Transformation (Destination: Future-

Proof) Programme and CORAL (Digitalisation) Roadmap, including further geographical pooling of missions and preparing introduction of digital workflow in Production (POA) as the first domain.

- **OA and Flight Simulation Training Devices (FSTD):** The number of organisation approvals and FSTD qualifications has grown steadily over the years. Not counting DOA (including Alternative Procedures to DOA) and TCO Authorisations, the number of organisation approvals and FSTD qualifications under EASA oversight stood at well over 2,600 by the end of 2020.
- **DOA:** Despite the COVID-19 crisis, EASA continued to receive a high number of applications for approval, which is comparable to previous years. However, the total number of certificates issued by EASA in the DOA domain has decreased compared to the last three years. This reduction in certificates issued is due to the inability of conducting on-site audits of the applicants, who in many cases struggled to make progress with their applications during the crisis.

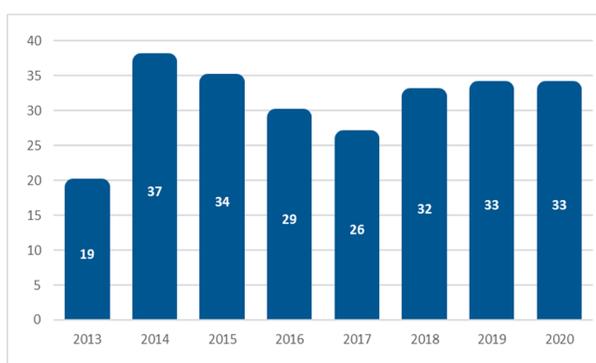


Figure 4 — New DOAs Applications received by EASA

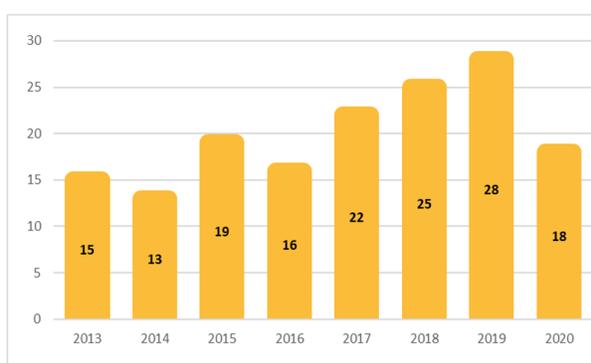


Figure 5 — DOAs issued by EASA since 2013

### I.3.3. Achievement of Annual Work Programme 2020 Objectives

DESIGN ORGANISATION APPROVALS (DOA)	
Principal Funding Source: F&C	
<b>Objective A)</b>	DOA Dashboard performance evaluation operational by end of 2020.
	New DOA dashboard is in use, project feedback collection in place since July 2020 via SEPIAC.
<b>Objective B)</b>	Ensure full implementation of the EU 2019/897 (Part 21 amendment) by the relevant DOAs.
	258 DOAs approved by end 2020, level 2 findings raised since 23 September 2020 for other cases, some DOAs indicated either to surrender their approval or to reduce the scope.

ORGANISATION APPROVALS (OA)	
<b>Principal Funding Source:</b> F&C	
<b>Objective A)</b>	Implementation of the provisions introduced through new bilateral agreements (e.g. Japan) or new annexes to existing BASAs.
	The new Annexes 3 and 4 to the EU-US Bilateral Agreement were signed by the European Commission and the FAA on 19 November 2020 at which point the Technical Implementation Procedures (TIPs) have also been signed by EASA and the FAA. Implementation workshops for NAAs and industry stakeholders shall be organised in 2021 (with a slight delay compared to the initial planning).
<b>Objective B)</b>	Ensure smooth reallocation of responsibilities in accordance with the provisions of Articles 64 and 65 of Regulation (EU) 2018/1139.
	The transfer of responsibility for two EASA AOCs and two related CAMOs as well as one simulation device organisation were performed on time and in full cooperation with the involved national authorities. Internal procedures for AOC oversight have been established and included under the EASA compliance monitoring system.
<b>Objective C)</b>	Further adapt the Organisation Approval processes and procedures in accordance with the CORAL Roadmap.
	The high-level Organisation Approval Process was successfully aligned across technical domains to facilitate digitalisation of the workflow in all domains. The adapted domain-specific procedures necessary for using the digital tools will be slightly delayed so as to start in Q2 2021.

### I.3.4. Resources & Key Performance Indicators

Resources	2020 Plan	2020 Actual
Human Resources (FTEs)	145	133
Of which allocated Human Resources (FTEs)	58	44

Performance indicators	Target 2020	Result 2020		Comment 2020
Timely approval of Design Organisation (DOA) continuation	≥95%	82.3%		Delays experienced as a result of the COVID-19 crisis.
Timely approval of Organisation continuation	≥90%	95%		
On time closure of Organisation Approvals (OA) findings	≥80%	91%		

## I.4. Third Country Operators

### I.4.1. Overview

The Agency is responsible for the authorisation of any third-country operator (TCO) who intends to perform commercial air transport (CAT) operations into, within, or out of any of the EU and EFTA Member States' territories. Authorisations are granted based on data-driven analyses, which is an application example of the data-driven safety plan for Europe. Once authorised, EASA is also responsible for the continuous monitoring of these TCO authorisation holders and for taking enforcement measures as necessary.

These activities are conducted in accordance with the provisions of Commission Regulation (EU) No. 452/2014. Associated Acceptable Means of Compliance (AMC) and Guidance Material (GM) have been published as Part-TCO/ AMC/GM.

### I.4.2. Key Developments, Achievements & Outputs

Even though a major reduction in flights in Europe and world-wide resulting from the COVID-19 crisis, the activity in the TCO domain did not lead to a significant reduction in the number of applications and continuous oversight activities. On the contrary, during 2020, the number of one-off notifications (e.g. ad-hoc flights for COVID-related cargo operations, repatriations, and other humanitarian reasons) was more than three times higher than during 2018 and 2019. At the end of 2020, the total number of TCO Authorisations was around 750.

Similarly as for Organisation Approvals, as a consequence of the world-wide travel ban, and the resulting inability to perform on-site audits, the Agency had to quickly adapt its working methods so that the oversight activity could be performed using remote technologies to the greatest extent possible.

### I.4.3. Achievement of Annual Work Programme 2020 Objectives

THIRD-COUNTRY OPERATORS AUTHORISATION	
Principal Funding Source: EU Contribution	
<b>Objective A)</b>	The improved articulation between the TCO Authorisation System and the EU Air Safety List, thus ensuring a fully coordinated approach, is fully implemented by the end of 2020.
	Significant progress was made to ensure a coordinated approach. Several discussions took place with European Commission (DG Move) resulting in the dedicated rulemaking task RMT.0736 planned in the EPAS accordingly. A kick-off meeting with DG Move for the new approach took place in early March-2021 (with a slight delay compared to the initial planning).
<b>Objective B)</b>	A new set of TCO safety focus areas is fully implemented as part of the 2020 Continuous Monitoring Programme.
	In light of the COVID-19 crisis, it was decided to put on hold the focus areas assessment in favour of addressing the COVID-related emerging risks first.

#### I.4.4. Resources & Key Performance Indicators

Resources	2020 Plan	2020 Actual
Human Resources (FTEs)	19	17
Of which allocated Human Resources (FTEs)	5	5

Performance indicators	Target 2020	Result 2020		Comment 2020
Review authorised TCOs as planned	≥90%	95%		
Timely validation/completion of Third-Country Operator applications	≥80%	100%		
Timely closure of the TCO findings of authorised operators according to the agreed CAP implementation due date	≥80%	96%		

## I.5. Standardisation

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### I.5.1. Overview

The Agency's Standardisation activities focus on the continuous monitoring of how Authorities apply the Basic Regulation and its Implementing Rules. The Agency's Continuous Monitoring Activities (CMA) determine the prioritisation, planning and scope of inspections, based on a data-driven assessment of the National Competent Authorities' (NCA) ability to discharge their safety oversight responsibilities.

### I.5.2. Key Developments, Achievements & Outputs

2020 has been marked by the onset of the COVID-19 pandemic, which massively impacted every part of the aviation sector. This, in turn, heavily affected the Agency's Standardisation activities, as NCAs had to:

- Support critical operations during the acute phase of the crisis, by providing guidance to their industry and adopting flexibility provisions and/or alternative means of compliance when needed;
- Perform remote oversight, in order to keep control of the situation and ensure safe operations; and
- Support a gradual industry return to regular operations when travel restrictions could be lifted.

Furthermore, the impact of the crisis was not the same on all NCAs. Besides the differences in governmental restrictions, those NCAs that were already experiencing significant difficulties (e.g. staffing, resources) before the crisis were the ones most distressed during the crisis.

EASA took a number of actions to assist NCAs in supporting their industry during the COVID-19 crisis. As Standardisation inspections could not take place for several months due to travel and gatherings restrictions, the Agency's standardisation experts were redeployed into a support role, using their technical expertise to help NCAs by means of:

- Developing templates to issue exemptions in a safe and harmonised manner;
- Publishing guidance documents to support identified technical and operational needs;
- Implementing a simplified process to manage AltMoCs during the crisis;
- Coordinating the EU position in response to ICAO State Letters addressing COVID-19 flexibility measures;
- Allowing further grace period for NCAs to close previous findings.

Shortly after the start of the outbreak, EASA established the Project Return to Normal Operations (RNO) to help the aviation industry to adjust and recover, and to support the aviation sector within the Agency's remit.

As no Standardisation inspections could take place for several months, the Agency's Standardisation resources, while continuing to perform continuous monitoring activities using all available data, were partially redeployed to implement Project RNO work stream #3 "Recovery support to EU/EASA NCAs", with the following activities across all Standardisation domains:

1. Support NCAs in managing flexibility provisions;
2. Support NCAs in adjusting oversight programmes to the industry's needs;
3. Support NCAs in developing plans to facilitate industry's recovery.

From September 2020 onwards, EASA was able to restart its Standardisation Inspections' Annual Programme (SIAP) by means of Remote Inspections (RIs), as described below, and the residual activities belonging to this RNO work stream were transferred to the regular Agency's CMA.

Additionally, the Agency partially compensated the impossibility to conduct Standardisation inspections on-site by enhancing its CMA activities, given the force majeure situation and taking into account that aviation activities were extremely reduced. However, as activity started to recover in summer, EASA developed a concept to perform Standardisation inspections remotely. Such remote inspections (RIs) are not a new type of Standardisation activities, but rather a new working method where the interaction between EASA and the inspected NCA takes place using modern technologies. The methodologies and procedures that apply to the on-site phase of an inspection were therefore adapted and converted into an off-site phase where all activities normally taking place on-site (review of documents and records, interviews with staff, direct observation) take place over a remote connection, using suitable audio- and video-communication tools, and sharing files and data online.

After having prepared the necessary enablers (implementing measures, training/briefing packages, etc), the first RIs took place in September 2020, and by the end of the year the Agency had performed 23 RIs across all technical domains, with largely positive feedback provided by the inspection teams and by the involved NCAs.

### I.5.3. Achievement of Annual Work Programme 2020 Objectives

STANDARDISATION: MONITOR APPLICATION OF REGULATIONS AND IMPLEMENTING RULES	
<b>Principal Funding Source:</b> EU Contribution	
<b>Objective A)</b>	Total number of inspections to remain stable compared to 2019 level, while implementing the extension of the scope to new domains, e.g. Drones.
	Due to COVID-19, many inspections were postponed due to travel and gathering restrictions. A Remote Inspections framework was introduced and put in operation.
<b>Objective B)</b>	Proportion of focused inspections to reach 67% for the established domains (Airworthiness, Operations, Aircrew, Air Traffic Management / Air Navigation Services).
	Due to COVID-19, 67% of inspections were conducted remotely (ad-hoc).
<b>Objective C)</b>	All EASA Member States have been inspected in the Systemic enablers for safety management domain at least once by the end of 2020.
	Due to COVID-19, the completion of the first cycle of SYS inspections had to be postponed until to 2021.

IMPLEMENTATION SUPPORT	
<b>Principal Funding Source:</b> EU Contribution	
<b>Objective A)</b>	Based on the experience gained in 2019, implement an Implementation Support process
	The regular Implementation Support (IS) process was put on hold due to the COVID-19. The objective was replaced by a new project called Project Return to Normal Operations (RNO) with the aim of supporting the Competent Authorities in discharging their safety oversight responsibilities during the COVID-19 crisis.

#### I.5.4. Resources & Key Performance Indicators

Resources	2020 Plan	2020 Actual
Human Resources (FTEs)	68	66
Of which allocated Human Resources (FTEs)	16	18

Performance indicators	Target 2020	Result 2020		Comment 2020
Efficient and robust Standardisation (yearly)	≤-5%	67%		Only 1/3 of planned standardisation inspections could take place in 2020 due to the COVID-19 crisis, the nr. of findings raised therefore dropped dramatically compared to the previous year. The KPI for 2020 is not representative.
Control of overdue Standardisation findings	≤20%	35%		Due to the crisis several activities postponed relieving the pressure on Competent Authorities.
Timely issuance of Standardisation reports	≥90%	86%		Due to the crisis Competent Authorities were allowed additional time to provide comments to reports therefore delaying the time to usance final report.

## I.6. EU Ramp Inspection Programme

### I.6.1. Overview

The EU Ramp Inspection Programme is a European programme for the performance of ramp inspections on aircraft used by Third Country Operators (Safety Assessment of Foreign Aircraft inspections) or used by operators which fall under the regulatory oversight of another EU Member State (Safety Assessment of Community Aircraft inspections).

The Programme is regulated by Commission Regulation (EU) 965/2012 and provides for the inspection of aircraft suspected of non-compliance with the applicable requirements (based on e.g. safety-relevant information collected by the Participating States or based on regular analysis of the centralised database administered by EASA). Ramp inspections may also be carried out in the absence of any suspicion of non-compliance, following a spot-check procedure.

### I.6.2. Key Developments, Achievements & Outputs

Across the ramp inspection domain, the following key outputs and developments were achieved in 2020:

- **COVID-19 New Working Measures:** The COVID-19 crisis had an immediate effect on the ramp inspection domain. The sudden drop in flights consequently led to a drop in inspections but also a new set of constraints and challenges within which to work. EASA provided guidance to inspectors on the conduct of inspections during the crisis while dealing with infection risks, exemptions and new developments like cargo transport in the passenger cabin. Furthermore, EASA provided guidance on the use of flexibility provisions for the continued qualification of inspectors who were not able to meet the minimum number of inspections (due to the crisis).
- **Alcohol Testing of Cabin Crew and Flight Crew Members:** The applicability date for alcohol testing of cabin crew and flight crew members was postponed to February 2021 in response to the COVID-19 crisis. Nevertheless, the foundation for the roll-out of the alcohol testing was established in 2020:
  - Inspector's guidance for Alcohol Testing published in October 2020.
  - Changes for the "Ramp Inspection Tool" (EASA's software application to manage all inspection reports) to accommodate the alcohol test results introduced.
  - Workshops were envisaged for both the industry and ramp inspectors to familiarise them with the new alcohol testing procedures. Due to COVID-19, these events had to be cancelled. Instead, EASA has invested time and efforts to develop a Computer-Based Training (CBT) for the inspectors, which will also be available to the industry. The CBT was rolled out in February 2021.

### I.6.3. Achievement of Annual Work Programme 2020 Objectives

SAFETY ASSESSMENT OF FOREIGN AIRCRAFT (SAFA) COORDINATION	
Principal Funding Source: EU Contribution	
Objective A)	One new SAFA Working Arrangement signed.
	A new SAFA Working Arrangement was signed with Qatar in January 2020. Negotiations for similar Working Arrangements are ongoing with Brazil and the US.

<b>Objective B)</b>	A comprehensive review of the safety-relevance of the ramp inspection items.
	The "Future of RAMP" project has been postponed to Q3 2021 due to a reprioritisation exercise as a result of the COVID-19 crisis. A complementary research project has started in Q4 2020 with the results expected in Q2 2021 to feed the reinstatement of the "Future of RAMP" project.
<b>Objective C)</b>	Implementation of Regulation (EU) 2018/1042 (alcohol testing of crews).
	The applicability date of ARO.RAMP.106 ("Alcohol testing") was postponed to February 2021 by the European Commission upon request of the Member States. Nevertheless, the foundation for the roll-out of the alcohol testing was established in 2020.

#### I.6.4. Resources & Key Performance Indicators

Resources	2020 Plan	2020 Actual
Human Resources (FTEs)	5	7
Of which allocated Human Resources (FTEs)	2	2

Performance indicators	Target 2020	Result 2020		Comment 2020
Timely issuance of data analyses to Participating States	100% on time	100% on time		



## I.7. International Cooperation

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### I.7.1. Overview

EASA works with Member States' and third country aviation authorities and other international partners worldwide to raise global aviation safety standards, to promote European best practices, policies and technology, in order to provide a higher level of safety for European citizens and a level playing field for the EU aviation industry. All these activities were undertaken with environmental protection and sustainability as a priority.

The Agency also provides technical assistance to countries/regions and helps to improve the regulatory and oversight capabilities of national and regional aviation authorities. To this end, EASA develops and implements civil aviation cooperation projects in the field of aviation safety and environmental protection, mainly funded by the EU and working in close cooperation with the European Commission. The Agency's technical in-house expertise, together with its strong partnership with Member States' National Aviation Authorities (NAAs), is vital for the successful implementation of these projects. The Agency has now become the leading implementing body of EU-funded technical cooperation programmes for aviation safety and environmental protection.

Furthermore, EASA and the EU also develop international cooperation instruments - Bilateral Aviation Safety Agreements (BASAs) at EU level and Working Arrangements (WAs) at EASA level - to organise the cooperation with international aviation partners efficiently and effectively and to support the European aviation industry.

In addition, EASA is mandated to assist the EU Member States in fulfilling their ICAO obligations. Many ICAO Standards and Recommended Practices have direct implications for safety, environmental protection and for the competitiveness of the European aviation industry. It is therefore of strategic importance for Europe to strengthen its presence and influence the ICAO processes upstream, both through EASA and the Member States. This includes initiatives such as conflict zones, health safety protocols, (cyber)security and innovative air mobility.

As a Regional Safety Oversight Organisation (RSOO) itself, EASA seeks to support other RSOOs worldwide but also ICAO in the development of the RSOO concept. A stronger recognition of RSOOs at ICAO level will allow ICAO to rely on the Agency's role as the RSOO for the European region, ultimately facilitating the integration of EASA's standardisation activity into ICAO's Universal Safety Oversight Audit Programme.

EASA has representation offices in the USA, China, Canada and Singapore, enabling the Agency to further strengthen its cooperation with authorities and industry and to support the implementation of agreements. It has an office in Brussels to ensure a permanent horizontal link with the EU institutions and Brussels-based stakeholders with respect to EASA's activities. Furthermore, technical cooperation projects are currently supported by temporary offices in Costa Rica, Zambia, China, Thailand and Sri Lanka.

### I.7.2. Key Developments, Achievements & Outputs

The COVID-19 crisis severely impacted aviation - the true extent of the impact is still not known. However, it is clear that cooperation with international partners will play a pivotal role in the return to normal operations and in the recovery of the aviation industry. Throughout 2020, the Agency was strongly committed to provide mature guidance, support and leadership to the industry, in cooperation with EU health authorities – also on an international level, for which the Agency has received much recognition.

Across International Cooperation, the following key outputs and developments have been achieved in 2020:

- Implementation of newly signed BASAs with China and Japan.

- Significant progress regarding the establishment of a BASA with the UK (subject to outcome of BREXIT negotiations).
- Signature of 4 new WAs with Colombia, South Korea, Qatar & Japan.
- Coordination and implementation of 12 technical assistance projects around the world (such as China, Africa, Central and South-East Asia, to name a few) financed, predominantly, by the European Commission (EC). Details of all ongoing (international) technical cooperation assistance contracts can be found in Annex VI – Contribution, Grants & Service Level Agreements - to this document.
- Provision of valuable support to Member States in fulfilling their obligations under the Chicago Convention by developing recommendations for replies to ICAO State Letters and by sharing information on the compliance of EU rules with ICAO Standards and Recommended Practices (SARPs). Furthermore, EASA worked with the ICAO Headquarter and the EUR/NAT Regional Office to support its Member States during the COVID crisis response, in particular by bridging the regional with ICAO's regional and global response. EASA also worked directly with third country partner states to facilitate the return to normal operations for air operators during and after the COVID-19 crisis (RNO project).
- The COVID-19 impacted heavily EASA's ability to progress on international activities, in particular for technical assistance projects, due to the extended travel restrictions, availability of international counterparts/stakeholders and social distancing. The international team reviewed swiftly working methods to mitigate the impact of the COVID-19 crisis, especially by increasing the use of web-based solutions for the implementation of project activities (e.g. training, seminars and similar events).

### I.7.3. Achievement of Annual Work Programme 2020 Objectives

BILATERAL AGREEMENT (BASA) AND WORKING ARRANGEMENT (WA)	
Principal Funding Source: EU Contribution	
<b>Objective A)</b>	Signature of at least 3 WA by Q4 2020.
	4 new WAs signed in 2020 strengthening EASA's partnership with the civil aviation authorities (CAAs) of: Colombia, South Korea, Qatar & Japan.
<b>Objective B)</b>	Review and/or update of at least 3 existing WA by Q4 2020.
	Singapore WA amended. In light of the conclusion of the BASA and TIPs with China and a review and alignment of the existing WA is ongoing.
<b>Objective C)</b>	Finalisation of negotiations of JCAB-EASA Technical Implementation Procedures (TIP) by Q2 2020.
	Negotiations finalised and TIP adopted in June 2020.

TECHNICAL SUPPORT	
<b>Principal Funding Source:</b> EU Contribution + Earmarked funds (from the EU)	
<b>Objective A)</b>	Support the EC in developing another 2 new technical assistance projects and successfully launch those projects by end of 2020.
	Several existing projects were extended (EAPCA, South East Asia APP, ARISE +, Zambia, PASTACO, Ukraine) in order to offset delays as a result of COVID-19 crisis. As a result, no new projects were launched in 2020, but the foundation for 3 new projects with the European Commission agreed with their kick-off anticipated in Q2 2021.

ICAO COOPERATION	
<b>Principal Funding Source:</b> EU Contribution	
<b>Objective A)</b>	Full implementation of the changes introduced by Article 90 “International Cooperation” of the Regulation (EU) 2018/1139 by Q4 2020.
	The repository referred to in the Basic Regulation (BR) Art 74 is currently under development (see also Section I.10.3 for further information). In anticipation of the repository compliance checklists are currently published through the Sinapse platform of NCMC and on the EASA website. and State Letter recommendations are made available to States by using the CIRCABC portal of EC.
<b>Objective B)</b>	Ensuring global environmental standards are in line with European policy objectives as regards noise, emissions, sustainable fuels and market-based measures (i.e. CORSIA3) through technical leadership in the ICAO Committee for Aviation Environmental Protection (CAEP). For this purpose, EASA will include a report to the CAEP Steering Committee on supersonic transport, sustainable aviation fuels & urban mobility.
	Leadership of key technical work items performed to ensure that decisions on global environmental standards, which are referenced in the Basic Regulation, take into account both European interests and initiatives.

#### I.7.4. Resources & Key Performance Indicators

Resources	2020 Plan	2020 Actual
Human Resources (FTEs)	53	43
Of which allocated Human Resources (FTEs)	9	6

Note: 53 planned, 31 after the removal of Technical Training & ECQB Section.

Performance indicators	Target 2020	Result 2020		Comment 2020
Timely progression on Working Arrangements	≥80%	66.6%		Significant challenges and delays experienced due to the COVID-19 crisis. Nevertheless, 4 new WAs signed in 2020 with Colombia, South Korea, Qatar & Japan, and the Singapore WA amended. Work continues in 2021.
Timely progression on Bilateral Agreements	≥90%	100%		
Timely implementation of technical support to 3rd countries	≥80%	80.3%		Despite significant challenges and delays experienced due to the COVID-19 crisis, the target was achieved. Nevertheless, work will continue into 2021 to recover any delays.
Quality of delivered projects based on stakeholder feedback	≥ 5 on scale of up to 7	6.5		
Timely provision of recommendations on ICAO State Letters for use by Member States (MS)	≥90%	100%		
Timely delivery of compliance checklists for use by MS	Updated compliance checklists for 2 ICAO Annexes per year	Updated compliance checklists for 11 ICAO Annexes		

## I.8. Rulemaking

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### I.8.1. Overview

Modern, proportionate rules that are fit for purpose are essential to aviation safety and environmental protection, so as to uphold high common standards and ensure the competitiveness of European industry.

The European Commission's Better Regulation Agenda aims at delivering tangible benefits to European citizens and addressing the common challenges Europe faces. To meet this policy goal, EASA ensures that its regulatory proposals deliver maximum safety and environmental benefits at minimum cost to citizens, businesses and workers, without creating unnecessary regulatory burdens for Member States and for EASA itself. EASA designs regulatory proposals transparently, based on evidence, ensures they are understandable by those who are affected, and backed by its stakeholders.

Regulatory proposals are developed in accordance with the [European Plan for Aviation Safety \(EPAS\)](#). The EPAS describes all ongoing and planned actions identified to mitigate the main safety risks affecting the European aviation safety system. Rulemaking actions form an integral part thereof, often preceded, accompanied or followed by Research projects, Safety Promotion or actions assigned to MS, e.g. to support the roll out and implementation of regulatory changes.

### I.8.2. Key Developments, Achievements & Outputs

Across Rulemaking, the following key outputs and developments have been achieved in 2020:

- In 2020 EASA continued to develop 'EASA eRules', a comprehensive, single IT system for digitalisation of EU aviation rules, thereby providing a complete repository of EU aviation rules that is used for storing, sharing, searching, drafting and publishing of all aviation rules ('hard and soft law'). EASA eRules are published both in 'pdf' format and in web format, integrated to the EASA website.
- Throughout 2020, within the existing EPAS strategic priorities, EASA's rulemaking priorities for 2020-2021 and initial rulemaking planning were adapted to alleviate the effects of the COVID-19 pandemic, both for authorities and industry, and to support the safe return to operations (RNO project). Adapted rulemaking priorities were presented to and endorsed by the EASA MB in its June 2020 meeting. For further information on the RNO Project and related COVID-19 measures please see Section II.2 - Major Developments – COVID-19).
- Implementing the **Ground Handling** roadmap: a new remit stemming from the Regulation (EU) 2018/1139, the Agency has already engaged in a fact-finding phase, via safety assessment and dialogue with MS and stakeholders. It will resume the implementation of the resulting roadmap as of 2021.
- Preparing and consulting proportionate **initial airworthiness rules for sports and recreational aircraft**, with the 'Part-21 Light' Opinion to be published soon (Q1 2021).
- Significantly improving rotorcraft safety.

In particular, the following important rulemaking deliverables were published / finalised:

- Adoption of Regulation 2020/1150 amending Part-26 introducing **new additional airworthiness requirements for ageing aircraft**, conversion of class D cargo compartment and Runway overrun awareness and alerting systems.

- Adoption of Regulation (EU) 2020/469 amending the ATM/ANS Common Requirements and introducing a complete set of requirements for the provision of **Air Traffic Services (ATS), Aeronautical Information Services (AIS), Flight Procedure and Airspace design (FPD)**. It also included some amendments to requirements on the provision of Meteorological Services and to Regulation 923/2012 ‘SERA’, for alignment. Two related ED Decisions (2020/007/R and 2020/008/R) were published, with the related extensive set of AMC/GM.
- Opinion on **Fuel/energy planning and management**.
- Opinion on the Embodiment of **SMS requirements** into Part 21 and Part 145.
- Opinion for a **high-level regulatory framework for U-space (drones)**.
- Opinion Implementing the latest **CAEP amendments** to ICAO Annex 16 Volumes I, II and III (environmental protection).
- ED Decision updating the existing **initial training objectives for (ATSEPs) air traffic safety electronics personnel** related (in relation to Part-PERS of Regulation 2017/373).
- ED Decision introducing certification specifications to mitigate the potential effects of **cybersecurity** threats on safety.
- ED Decision with AMCs and guidance material for easier access of **general aviation (GA) pilots to instrument flight rules (IFR) flying**. ED Decision updating the existing initial training objectives for air traffic safety electronics personnel (ATSEPs) in relation to Part-PERS of Regulation 2017/373.
- ED Decisions to improve various provision for ensuring **runway safety**.
- ED Decisions updating a number of other Certification Specifications (CS) to increase **the safety of future aircraft design** and reflect the latest state of the art, namely CS-25, CS-ETSO, CS-CCD, CS-MMEL, and CS-MCSD.

For a full list of Decisions, Opinions & Notices of Proposed Amendment (NPAs) published in 2020 please see Annex I – Core Business Statistics.

### I.8.3. Achievement of Annual Work Programme 2020 Objectives

RULES DEVELOPMENT AND BETTER REGULATION	
Principal Funding Source: EU Contribution	
<b>Objective A)</b>	Opinion on the management of information security risks is published.
	Provisions for the management of <b>information security risks</b> by organisations in all the aviation domains drafted and is expected to be reviewed in Q1 2021 (ExCom Decision), with a slight delay compared to initial planning (Q4 2020).
<b>Objective B)</b>	All new rulemaking proposals included in the European Plan for Aviation Safety (EPAS) are subject to a Best Intervention Strategy (BIS) report accepted by Advisory Bodies.
	5 new rulemaking tasks were included in the EPAS 2021-2025, of which 1 required substantiation by BIS and was actioned accordingly. Of the new rulemaking subtasks, BIS contributed to justifying 3 new subtasks.

<b>Objective C)</b>	Opinion on proportionate initial airworthiness rules for sports and recreational aircraft.
	Provisions for proportionate initial airworthiness rules for sports and recreational aircraft drafted and is expected to be proposed in Q1 2021 (ExCom Decision), with a slight delay compared to initial planning (Q4 2020).

### DIGITAL LICENCE FOR AVIATION PILOT (dLAP)

**Principal Funding Source:** EU Contribution for development costs + MS for operational costs

<b>Objective A)</b>	Identify appropriate implementation scheme, internally (CORAL) vs. externally (subcontracting) and define the resources and financial implications of each option.
	Funding options with Member States for dLAP were presented to the MAB. dLAP Platform has been agreed to be developed in the framework of the CORAL (Digitalisation) Programme. Implementation actions related to resources, financials and planning are on-going.
<b>Objective B)</b>	Initiate development of a dLAP App based on the requirements already developed in the Proof of Concept.
	The development of the dLAP Platform is planned to start in Q2 2022.

#### I.8.4. Resources & Key Performance Indicators

Resources	2020 Plan	2020 Actual
Human Resources (FTEs)	73	79
Of which allocated Human Resources (FTEs)	19	21

Performance indicators	Target 2020	Result 2020		Comment 2020
Timely Progress on Rulemaking Programme	≥80%	80%	🟡	Several actions delayed due to COVID-19 to relieve pressure on the industry and overall system.
	≥80%	58%		
	≥80%	80%		
Rulemaking Process Efficiency	≤3.5 years	3.2 years	🟢	
	≤1.5 years	1.16 years		
	n/a	1.7 years		
Best Intervention Strategy (BIS) Coverage	≥95%	100%	🟢	
Number of evaluations published yearly	≥1	1 initiated	🟡	Evaluation report publication expected in Q1 2021.
Timely answer to exemption requests (as defined by regulation)	≥ 90%	97.2%	🟢	



## I.9. Applicant Services

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### I.9.1. Overview

The applicant services domain is EASA's front door for industrial and individual applicants for the certification of their product or organisation. It aims to make EASA a more user-friendly regulator by guiding applicants through the application process, ensuring that EASA's requirements and working methods are clear and predictable.

As the central hub of resource management in the system, EASA also maintains strong partnerships with a growing number of National Aviation Authorities (NAAs) to ensure access to the right certification expertise in the right place at the right time, Europe-wide. Lately, cooperation has extended to additional non-certification, non-oversight activities such as the reallocation of responsibilities upon request of organisations (operating in more than one Member State) under Art. 65 of the Basic Regulation, e.g., Air Operator Certification, International Cooperation and the Central Repository of Information.

### I.9.2. Key Developments, Achievements & Outputs

Across Applicant Services, the following key outputs and developments have been achieved in 2020:

- In total, **6.227 applications registered**. Amongst these, 2.059 online applications received via the EASA Portal, which represents 87% of applications within the scope of the Portal.
- **4.256 approvals issued**. Further efficiency gains achieved in this area of activity with the introduction of digital approvals replacing paper certificates
- Integration of the full Export Certificate of Airworthiness (ECofA) process and roles of ECofA Inspectors under the applicant relationships section leading to efficiency gains for the Agency
- 22 **partnership agreements** managed with NAAs and two Framework contracts with Qualified Entities (QEs), facilitating the outsourcing of more than 50K working hours for a variety of certification and oversight activities.
- Full roll-out of the **revised Fees & Charges Regulation** including a European wide information and support campaign.
- Continued implementation of technology platform to **digitalise certification processes**, with targeted completion by 2021. The target ecosystem is intended to be data centric, transparent and connected to the stakeholders.

### I.9.3. Achievement of Annual Work Programme 2020 Objectives

APPLICANT RELATIONS	
<b>Principal Funding Source: F&amp;C</b>	
<b>Objective A)</b>	By Q1 2020, complete an information campaign to ensure that applicants understand the new features of the amended fees and charges (F&C) regulation and the applicable terms and conditions.
	Information campaign launched in Q1 2020, with applicants, approval holders and other stakeholders to provide clarity on the potential impact of the revised F&C regulation, through: <ul style="list-style-type: none"> <li>- Dedicated meetings and workshops across Europe.</li> <li>- Mass and targeted mailings on adoption, publication and impact of the revised F&amp;C regulation.</li> <li>- Dedicated EASA website content.</li> </ul>
<b>Objective B)</b>	By Q1 2020, launch a product campaign to prepare applicants for the new communication channels that result from the introduction of digitalised certification processes.
	Product campaign was launched in 2019 and continued throughout 2020, hand in hand with the implementation roadmap for the digitalisation of certification processes, through: <ul style="list-style-type: none"> <li>- Dedicated demo sessions/workshops</li> <li>- Video/tutorial on EASA Website.</li> <li>- Targeted mailings.</li> <li>- Lunchtime lectures for EASA staff.</li> </ul>

NATIONAL AVIATION AUTHORITY (NAA) & QUALIFIED ENTITY (QE) OUTSOURCING	
<b>Principal Funding Source: F&amp;C</b>	
<b>Objective A)</b>	From Q1 2020, offer a reliable, predictable outsourcing programme that provides clarity to national aviation authorities under the partnership agreements and delivers a full range of required technical expertise efficiently into the system.
	Continuous dialogue with National Aviation Authorities is achieved through the MAB and on operational level. As a result of the COVID-19 crisis, the level of outsourcing had to be substantially reviewed due to the additional constraints brought about by travel restrictions and social distancing measures. The review of the outsourcing planning was done in close collaboration with the NAA's and revised annual targets per domain were established and achieved.
<b>Objective B)</b>	From Q3 2020, execute a newly designed quality assurance programme to make sure that technical, financial and management standards under the partnership agreements are met.
	Due to changing priorities during the COVID-19 crisis the introduction of the new quality assurance programme was postponed to 2021. The new quality assurance program was announced to National Aviation Authorities during some 17 Partner coordination meetings in December 2020. The execution of the program is anticipated to start in 2021 after formal adoption of the Quality Assurance document.

### F&C REGULATION REVIEW [Project 2017 – 2021]

<b>Principal Funding Source:</b> F&C	
<b>Objective A)</b>	Revised fees and charges regulation enters into force (January) and generates the correct level of income to cover costs.
	The implementation of the revised Fees and Charges Regulations has been successfully completed and a range of support provided to applicants, approval holders and other stakeholders as described above. The assessment of the sustainability of the rates will continue and progress in 2021.

Other objectives:

- CORAL Programme (2016-2017): See Section I.10 – Transversal & Enabling Activities.
- Bilateral Aviation Safety Agreements (BASA) Negotiation Projects China & Japan: See Section I.7 – International Cooperation.

#### I.9.4. Resources & Key Performance Indicators

Resources	2020 Plan	2020 Actual
Human Resources (FTEs)*	26	27
<i>*For planning and reporting the above resources are allocated proportionally between the Agency's F&amp;C financed and EU funded activities accordingly.</i>		

Performance indicators	Target 2020	Result 2020	Comment 2020
Typical processing times met	65%	65%	
Actual outsourced hours performed compared to target	95%	87%	 Outsourced activities impacted by COVID-19 crisis and several tasks insourced.
Applications received online	80%	87%	

## I.10. Transversal and Enabling Activities

### I.10.1. Overview

A number of transversal and enabling activities are conducted at EASA to enable the implementation of the core/operational activities of the Agency.

- Safety, strategy and business programming activities and budget implementation, together with management of external stakeholders and stakeholder engagement, are enabling activities to secure and effectively use EASA resources.
- Training, recruitment and development of EASA's human resources, provision of corporate services, information technology activities as well as the activities carried out in the domain of legal, quality, internal audit and communication strengthen EASA as organization and enhance the professional profile of EASA staff.
- Military, Drones, ATC Programme and CORAL Programme to address and invest resources on key strategic priorities of the Agency.

### I.10.2. Key Developments, Achievements & Outputs

The COVID-19 pandemic affected the Agency's work habits, requiring rapid changes to policies, facilities as well as technical solutions.

- The facilities were adapted to ensure social distancing, increased cleaning and disinfection of the premises was introduced and protective masks were provided to staff on regular basis.
- The teleworking policies were amended to allow flexibility to the circumstances.
- The Information Technologies department ensured the technical enablers for remote working, including in particular immediate increase of VPN capacity and purchase of additional videoconferencing equipment.
- Staff well-being was catered for by activating the network of trained EASA confident counsellors and enhancing the internal communication activities, covering regularly both topics related to different aviation domains and suggestions for health-safe leisure activities. A few virtual social events were also organised.

### I.10.3. Achievement of Annual Work Programme 2020 Objectives

MILITARY AVIATION	
Principal Funding Source: Mix of EU Contribution and F&C	
Objective A)	Continue commitment to certify dual-use platforms and civil derivatives.
	Commitment continues and even beyond the initial provisions related to the on-going projects due to the effective support provided by the Agency to military and industry applicants ensuring adequate and prioritized technical advice for appropriate airworthiness and safety solutions.

<b>Objective B)</b>	Commence implementation of NATO Roadmap, especially absorb lessons learned from military pilot-licensing of and their maintenance.
	The implementation of often pragmatic solutions adopted by the military for pilot-licensing and maintenance purposes is progressing however with necessary prudence given the still nascent civilian drone operations context where safety of the airspace integration, as well as cost-effectiveness of the solutions must be predominant.
<b>Objective C)</b>	Implement work programme with the European Defence Agency, focus on Single European Sky (SES) and ATM rulemaking.
	The global and coherent approach and contribution to the ATM regulatory framework related to aviation safety considering military ATM requirements adopted by the Agency supports an effective civil-military cooperation and coordination, allowing to contain any adverse impact on national and collective defence capabilities, and without prejudice to safety of civil aviation.
<b>Objective D)</b>	Support the military mobility initiative, led by the EC (Move.B1), regarding cybersecurity and aerodromes.
	EASA contributed actively on Aviation and ATM to the Commission's Action Plan on Military Mobility especially in relation to its new competences linked to the New Basic Regulation and the underlying opt-in clause for Member States.
<b>Objective E)</b>	Follow-up on von der Leyen's Commission objectives on Defence Industry.
	In light of the ongoing COVID-19 crisis, this objective was put on hold pending alignment with the EC on future objectives in the field of defence.
<b>Objective F)</b>	Reiterate bilateral arrangements with European national aviation authorities.
	There is an active and continuous cooperation in the context of the existing Cooperation Arrangements (CA) with French military (DGA – Military Procurement Agency), as well as with the German and Italian military in various domains like airworthiness, safety occurrences, drones. This work continues.

## STRATEGY AND SAFETY PLANNING

**Principal Funding Source:** Mix of EU Contribution and F&C

<b>Objective A)</b>	Develop at least two strategies in new areas of activity for the Agency.
	Strategic documents were developed on the Agency's COVID-19 priorities, potential involvement in the Health domain to support the return to operations of the Industry, and Research & Innovation.
<b>Objective B)</b>	Monitor the implementation of the Agency strategies developed in 2019 and adapt these as required.
	Work was undertaken to review the Agency strategies developed in 2019, adapting these as required with a view to supporting their implementation. Particular focus was placed on the Environment (supporting the development of Environmental - Sustainable Aviation Programme) and Aviation Security in light of developments in the Industry.

## BUSINESS PROGRAMMING, REPORTING AND INFORMATION MANAGEMENT

**Principal Funding Source:** Mix of EU Contribution and F&C

<b>Objective A)</b>	Business Programming and Reporting: Incorporate in planning new multi-annual financial framework.
	Single programming document (SPD) 2021-2023 and draft SPD 2022-2024 aligned with revised European Commission SPD template and incorporating new Multiannual Financial Framework (MFF) adopted by MB in December 2020 and published on the EASA website under: <a href="#">EASA SPD 2021-2023</a>
<b>Objective B)</b>	Business Programming and Reporting: Lead the establishment of an improved forecasting capability at Agency level.
	The methodology and approach adapted to build the basis for improving the Agency's forecasting capability, concentrating for the 2021-2023 programming exercise on staff related, digitalisation and outsourcing expenses. This activity continues. Further developments and improvement actions identified for 2021.
<b>Objective C)</b>	Information Management: Build the Agency Information Architecture, fit for the new Applicant Portal, focusing on the information domains: aviation products, personal information and roles.
	The Information Architecture starts to take shape with the definition of the initial and most needed information domains to support the development of the new digital core and the applications already in use. In 2020 work progressed for aviation items, personal data and roles and the different parties (counterparts) the Agency is dealing with. This work continues.
<b>Objective D)</b>	Information Management: Be able to find, trust and use the data in an agile manner so the data can be transformed into insights and contribute to the business value
	The purchase and implementation of a common platform was delayed due to COVID -19, however a "sandbox" to test the solution is available and operational since Q3 2020. Only limited progress could be achieved in implementing Analytics due to the above-mentioned delay but work will continue in 2021.

## EUROPEAN CENTRAL QUESTION BANK (ECQB)

**Principal Funding Source:** Mix of EU Contribution and F&C

<b>Objective A)</b>	New ECQB-related services, e.g. exam services, are available for EU Member States (MS) as well as for eligible and interested non-EU States.
	New ECQB services to support the development of question banks, syllabi and learning objectives are available for interested and eligible EU MS and non-EU states.

## TECHNICAL TRAINING

**Principal Funding Source:** Mix of EU Contribution and F&C

<b>Objective A)</b>	Training opportunities to be made available to address new technologies and other high-level business needs as identified in the annual planning.
	Based on the high-level business needs identified, new training courses and/or workshops were delivered on: <a href="#">CORSIA</a> (Climate Change impact from Civil Aviation (EU-South-East-Asia) of specific relevance to the environmental strategy, Artificial Intelligence and cyber security.
<b>Objective B)</b>	Establish the scope and framework for training course approvals under Article 92 of Regulation (EU) 2018/1139 by Q4 2020.
	The objective was postponed due to the COVID-19 crisis. The scoping of the objective with EASA's strategic units in view of external technical training collaboration and implementation support required and shall be done in the context of the refocused technical training organisation in 2021.

## HUMAN RESOURCES

**Principal Funding Source:** Mix of EU Contribution and F&C

<b>Objective A)</b>	Establish a competency management strategy to align human resource needs and Agency policies on competency development, recruitment and partnership with national aviation authorities for the period 2021-2026.
	An EASA competency management strategy was established and the first iteration of the competence framework elaborated, with the first mapping of results to be in place by April 2021. This activity continues. Further steps to continue in 2021.

## INFORMATION TECHNOLOGY

**Principal Funding Source:** Mix of EU Contribution and F&C

<b>Objective A)</b>	IT to continue building the new IT technical platform, in line with the CORAL/digitalisation roadmap.
	<p>Despite necessary cuts made to the IT/CORAL budget, as a result of COVID-19 cost savings measures, the following components of the IT technical platform were successfully deployed in 2020:</p> <ul style="list-style-type: none"> <li>- A secure access management system.</li> <li>- A document management system.</li> <li>- A machine to machine connection capability.</li> <li>- A data and analytics platform.</li> <li>- A Mobile app development platform.</li> </ul>

	These technical tools already facilitated advances such as the creation of the Drone repository or the digital passage locator form (ePLF) in 2020 and will continue to be rolled-out and configured to a wide-range of business processes in 2021.
<b>Objective B)</b>	IT to initiate agile development and delivery of modern tools using the new IT technical platform (e.g. case management).
	<p>Despite necessary cuts made to the IT/CORAL budget, as a result of COVID-19 cost savings measures, 3 out of the 4 streams (for initiation in 2020) were able to be initiated and, amongst others, 2 notable key digital tools were delivered:</p> <ul style="list-style-type: none"> <li>- New EASA portal to interact with our applicants went live and was constantly improved throughout the year to meet applicant's needs.</li> <li>- POA audit tool.</li> </ul> <p>Furthermore, EASA improved its tools and extended its capacity to exchange data to allow remote work. This allowed all activities to take place remotely as of May 2020.</p> <p>This work continues. Further development and roll-out of digital tools shall continue in line with the CORAL programme plan.</p>

### IMPLEMENT BUDGET

**Principal Funding Source:** Mix of EU Contribution and F&C

<b>Objective A)</b>	Provide data and recommendations to ensure that the agreed budget appropriations are used as planned, specifically that at least 95% of subsidy appropriations have been committed for agreed purposes.
	99% of current year appropriations have been committed. This target refers to the Amending Budget approved in order to align the C1 appropriations with revised spending plans following 'cuts' enabling achievement of 95% EC target. For further information on the management of EASA's financial resources please see Section II.3 - Budgetary & Financial Management.
<b>Objective B)</b>	The remaining budgetary imbalance of 1.1M€, generated in 2016, has been fully corrected.
	The remaining budgetary imbalance has been fully corrected using funds from 2020 budget.

### CORPORATE SERVICES

**Principal Funding Source:** Mix of EU Contribution and F&C

<b>Objective A)</b>	Implementation of consolidated procurement strategy for facility management services with focus on supplier management of potential new contractors by bundling contracts for cleaning, mail, security and reception services in order to improve contract management and centralise outsourced services.
	Procurement strategy was implemented and tender procedure successfully completed. New framework contracts are in place and the specific contracts prepared in order to put into operation the new strategy

<b>Objective B)</b>	Measure the customer satisfaction rate of the working environment for staff, delegates and visitors, in order to identify areas of improvement.
	In Q1 2020, customer satisfaction was measured and addressed on a monthly basis through dedicated feedback terminals. Due to COVID-19 and the very limited number of visitors on-site at EASA the feedback terminals were removed and the objective put on hold. Depending on the development of the COVID-19 situation, once visitors are able to be welcomed on-site the measurements may be re- instated.
<b>Objective C)</b>	Improved user experience of travel management systems.
	The survey on the 2019 activities was performed in 2020 allowing identification of areas for improvement to be addressed.

### EXECUTIVE DIRECTORATE RELATED PROCESSES

**Principal Funding Source:** Mix of EU Contribution and F&C

<b>Objective A)</b>	Monitor the implementation roadmap for the Regulation (EU) 2018/1139 EASA Basic Regulation and integrate the roadmap activities and objectives in the SPD and EPAS planning.
	All activities defined in the Basic Regulation roadmap are now included in the EPAS and SPD and monitored individually.
<b>Objective B)</b>	Review and update the policy on innovation management, including by identifying qualitative objectives to be attained.
	The Agency Innovation and Research Strategy was presented to and adopted by the Executive Committee in November 2020. This strategy will foster increased collaboration and coordination between the Agency Research and Innovation activities. It puts the stress on increasing partnerships with the Industry and identifies staff competency development on new technologies as a key priority.
<b>Objective C)</b>	Implement and assess the Agency's communication strategy by mid-2020
	The strategy has been broadly implemented despite the challenges of COVID. In addition to the website launch, we have also seen growth in the media prominence of EASA and in all of our social media channels as well as greater public awareness of EASA.

### REPOSITORY OF INFORMATION (Art.74)

**Principal Funding Source:** Mix of EU Contribution and F&C

<b>Objective A)</b>	Carry-on drafting of specifications per information domain to be endorsed by EASA management (licences, general aviation, aerodromes, exemptions, transfer of responsibility).
	The future repository architecture was defined and endorsed in Q3 2020 with a short delay compared to the initial planning, as a result of delays experienced due to the COVID-19 crisis. The definition of business and IT requirements are currently ongoing in line with the CORAL programme, with licensing and organisation approvals as priority. Work continues and IT implementation expected to start from October 2021.

<b>Objective B)</b>	Start of technical implementation under the CORAL programme (first information domain: drones)
	Drones repository is implemented and released to all Member States (MS). Future repository architecture based on CORAL capabilities and components defined and endorsed by ExCom and MAB in Q3/Q4 2020.
<b>Objective C)</b>	Start drafting the Notice of Proposed Amendment (NPA) for internal consultation.
	The ToR of the Repository stipulates that the drafting of the Opinion and Decision is aligned with technical implementation in order to ensure adequate regulation. As a result, technical implementation shall be aligned with the CORAL programme. The drafting is expected to start from Q2 2021 (following endorsement of repository architecture in Q3 2020 (as per objective A)) with technical implementation from Q4 2021.

### DEVELOP A RISK BASED, OPERATION CENTRIC EU REGULATORY FRAMEWORK FOR UNMANNED AIRCRAFTS [Drones Programme 2016 – 2023]

**Principal Funding Source:** Mix of EU Contribution and F&C

<b>Objective A)</b>	Release of a Notice of Proposed Amendment (NPA) supporting operations in the Certified Category for which industry interest is the highest (e.g. Urban Air Mobility). This includes the update or the creation of any necessary Commission Regulations related to airworthiness (Initial and continuing), operations, standardised European rules of the air (SERA), aerodromes, ATM and Remote Pilot Licences.
	<p>A total of six rulemaking working groups (RMT.0230 WGs) are proceeding in accordance with a revised Concept Paper (Issue 3) and an adjusted work programme, splitting the package into two NPAs in order to:</p> <ul style="list-style-type: none"> <li>- Re-prioritise and better align the sequence of deliverables with actual industry needs.</li> <li>- Focus on what industry needs first and improve making use of EASA resources.</li> <li>- Reduce technical and legal risks exposure.</li> <li>- Facilitate NAA implementation by sequencing (not all at the same time).</li> </ul> <p>In support of the Impact Assessments (IA) of the later NPAs, in 11/2020 EASA has launched a comprehensive study on the Societal Acceptance of UAM Operations. This work continues and follow-up objectives set in the SPD 2021-2023 accordingly.</p>
<b>Objective B)</b>	Support to the development of U-Space Commission Regulation and release of acceptable means of compliance (AMC) and guidance material (GM). Support the implementation of the regulation applicable to drones operated in the open and specific categories (commission implementing regulation (EU) 2019/947 and commission delegated regulation (EU) 2019/945).
	<p>U-space:</p> <ul style="list-style-type: none"> <li>- Final draft of the U-space regulatory package in preparation by the EC consisting of the draft regulation, an amendment to Reg. 2017/373 (ATM/ANS) and an amendment to Reg. 923/2012 (SERA). The final text was endorsed by the EASA Committee in Q1 2021.</li> <li>- In Q4 2020 an expert group for the development of AMC/GM was launched to support the implementation of the future U-space Regulation (NPA expected in Q4/2021).</li> </ul> <p>Open/specific category MS support:</p> <ul style="list-style-type: none"> <li>- Throughout the year, EASA has been proactive in supporting MS implementation of the regulation applicable to drones operated in the open and specific categories</li> </ul>

	<p>through a series of dedicated and topical webinars – a format that will be retained also post-COVID.</p> <ul style="list-style-type: none"> <li>- In 12 December 2020 EASA published a <a href="#">Decision</a> on ground risk class, UAS operator registration, additional Pre-defined Risk Assessments (PDRAs), further facilitating industry's application and NAA's verification of the Specific Operations Risk Assessment SORA methodology.</li> </ul>
<b>Objective C)</b>	Support the update of Commission Implementing Regulation (EU) 2019/947 and Commission Delegated Regulation (EU) 2019/945 to include standard scenarios for certain UAS operations in the specific category.
	Task completed, Regulations <a href="#">2020/639</a> (as regards standard scenarios for operations executed in or beyond the visual line of sight) and <a href="#">2020/1058</a> (as regards the introduction of two new unmanned aircraft systems classes) have been adopted introducing two standard scenarios, facilitating industry's application and NAA's verification of the Specific Operations Risk Assessment SORA methodology.
<b>Objective D)</b>	Implementation of the EASA Counter-UAS (C-UAS) Action Plan.
	Agreed actions in all five identified objectives initiated and in progress, with several elements completed. The <a href="#">EASA manual Drone Incident Management by Aerodromes</a> was subsequently published in March 2021, representing a key deliverable of the C-UAS Action Plan. Some elements of the C-UAS Action Plan continue according to plan.
<b>Objective E)</b>	Support the European Union in their international cooperation drone related actions.
	Due to COVID-19 crisis many activities on this action were postponed as a result of the social distancing, travel constraints and availability of external stakeholders. Nevertheless, exchanges with selected countries were successfully initiated or continued, respectively, using video conferencing in lieu of physical meetings.

### CORAL PROGRAMME [2016 – 2021]

**Principal Funding Source:** F&C

<b>Objective A)</b>	CORAL Phase I: Complete 80% implementation of CORAL phase I roadmap.
	<p>Despite delays related to the COVID-19 crisis and increased remote working and budget reductions three agile delivery streams (Portal, Workflow and Resource Management) were able to be initiated (out of the five foreseen in the initial plan) with the following key notable deliveries:</p> <ul style="list-style-type: none"> <li>- Portal: Online registration for additional applications for EASA services, online calculator for latest EASA fees, drones repository etc.</li> <li>- Workflow: Development of the tool to support of the Production Organisation Approval (POA) process, which will be released to the end users in Q1 2021.</li> <li>- Resource Management: Improvements for management in the time booking systems, rapidly implemented changes to accommodate new working arrangement under pandemic circumstances.</li> </ul>

<b>Objective B)</b>	CORAL Phase II: Complete 30% of the digitisation of the remaining processes
	The Transformation Office was set-up at the beginning of the year and started to support the digitalisation of processes in the domain of Human Resources, which has an overarching role in enabling other business services to be digitalised. The preparation for the digitalisation of other processes will continue in 2021.

### ATM/ANS COORDINATION PROGRAMME (ATC)

**Principal Funding Source:** Mix of EU Contribution and F&C

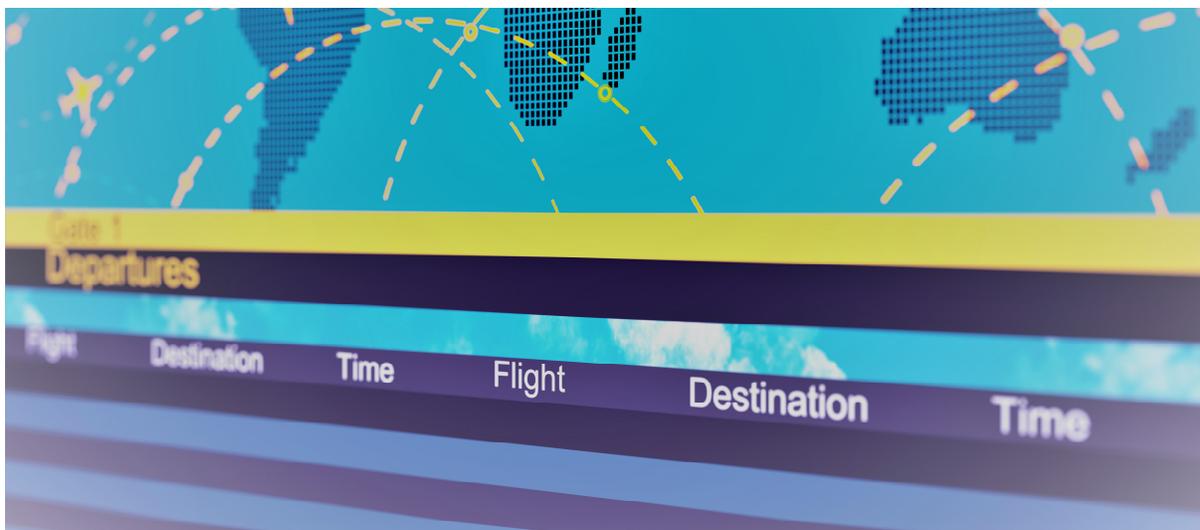
<b>Objective A)</b>	Ensure consistent and coordinated actions with respect to all ATM/ANS, SESAR and Single European Sky (SES) activities.
	Regular coordination activities executed with respect to ATM/ANS, SESAR and Single European Sky (SES) activities.
<b>Objective B)</b>	The follow-up of the Airspace Architecture Study including the establishment of a work plan to implement the Transition Plan.
	The Airspace Architecture Study and its Transition Plan were followed up and implemented in specific key areas.
<b>Objective C)</b>	The follow-up of the relevant recommendations of the Wise Persons Group Report and the establishment of a work plan.
	The relevant recommendations of the Wise Persons Group Report are followed-up and supported (e.g.) as regards in the ATCO Plan and in supporting the EC to establish the ADSP provision scheme.
<b>Objective D)</b>	Improve the overall performance of the European ATM system and support the digital transformation of the European sky.
	ATC programme activities have supported the digital transformation of the European sky.

#### I.10.4. Resources & Key Performance Indicators

Resources	2020 Plan	2020 Actual
Human Resources (FTEs) *	219	200
*For planning and reporting the above resources are allocated proportionally between the Agency's F&C financed and EU funded activities accordingly.		

Performance indicators	Target 2020	Result 2020		Comment 2020
Technical training days per staff member per year	≥90%=≥1538 days	77%=1316 days in total		Due to travel and meeting restrictions focus shifted to web-based delivery methods, focus on essential training activities, and therefore volumes of classroom training was limited.
Trainee satisfaction	≥3.8	4.2		
Occupancy rate (fulfilment of the establishment plan at end year – yearly reporting)	≥98%	94.3%		In light of the COVID-19 crisis and conservative spending plan, the number of external recruitments were limited leading to a decreased occupancy.
Turnover rate	≤5%	1.3% for TAs; 1.2% for TAs and CAs		
Staff Engagement survey (triennial) employee engagement score	n/a	n/a	n/a	Survey only every 3 years.
Sick Leave (annually)	≤9%	7.7 days		
Operational cost of legacy services vs. Total operational IT costs	85%	Not available		The pool of legacy IT services is still under definition. Consequently, the share of cost of IT legacy services operations against the total cost of IT services operations cannot yet be calculated. The KPI will be measured in 2021.
IT achievement of Service Level Agreement (SLA)	≥90%	80%		
Budget committed	≥95%	98.97%		
Carried over commitments	≤2.5%	5.46%		High volume of cancelled appropriations directly attributable to COVID-19 crisis.
Reaction time to health incidents reported to EASA security/LSO from time of report of incident until first reaction	Max 5 min	Within 5 min		

Percentage of overall mission claims paid within 30 days	>75%	63%	⚠️	Volume of travel impacted by COVID-19 crisis -2020 KPI result lacks comparability to previous years.
Number of non-conformity against the ISO standards	0%	0%	✅	
Corrective action closure rate of Audit findings	80%	79%	⚠️	
ECQB: number of newly developed questions and of amendment reports issued to NAAs regarding reviewed existing questions per year	≥90%	97%	✅	



## Part II (a) — Management

### II.1 Management Board

The Management Board (MB) plays a key role in steering the work of the Agency. In 2020, the MB had four online meetings to be promptly informed of and involved in all major developments, such as:

- Activities and measures taken in light of the COVID-19 pandemic.
- Activities in the areas of return to service of Boeing 737-MAX.
- Environmental matters, aiming towards a more sustainable aviation.
- The EASA contribution to the Single European Sky, supporting the overall performance of the civil aviation sector.

A complete list of the MB members can be found in Annex IX - EASA Management Board Members.

For planning and resources related matters, the MB is assisted by the Programming and Resources Advisory Group (PAR), allowing the MB to focus on items of strategic nature and directly related to aviation safety.

#### II.1.1 Summary of MB Decisions taken in 2020

The key decisions adopted/taken by the MB (and where relevant endorsed also by the PAR) are listed below.

- Appointed Mr Pöntinen, the MB Member from Finland, as new PAR AG Chair.
- Appointed Mr Maddison as new EASA Accounting Officer.
- Adopted the Annual Activity Report 2019.
- Adopted the MB Opinion on the 2019 Annual Accounts.
- Adopted the first amending Budget 2020.
- Adopted the implementing rules in the area of human resources concerning:
  - The application by analogy of the Commission Decision C(2020)1559 of 16 March 2020 amending Decision C(1013)9051 of 16 December 2013 on leave; related to special leave for new-born children;
  - The application by analogy of the Commission Decisions C(2011)1278 of 3 March 2011 on the general implementing provisions for Articles 11 and 12 of Annex VIII to the Staff Regulations on the transfer of pension rights and C(2020)4818 of 20 July 2020 amending the Commission Decision C(2011)1278; related to transfer of pension rights.
- Adopted 2 financial decisions on conflict zones and for a study on the adequate charging of costs to earmarked funded projects.

- Adopted SPD 2021-2023, including Budget 2021 (as well as the Draft SPD 2022-2024, including Draft Budget 2022) outlining the Agency's strategy, multi-annual objectives and annual work programme 2021.
- Adopted the 2021 Audit Programme.
- Adopted the new internal data protection rules.
- Adopted the EPAS 2021-2025.

## II.2 Major Developments: COVID-19

The COVID-19 health pandemic was not only a major external development in 2020, but a defining one for the years to come, in terms of ways of working, priorities and how EASA will support its stakeholders. Also, the aviation sector has experienced a significant strain in coping with the multiple implications of this continued crisis, meanwhile its duration and lasting effects remain uncertain.

In early 2020, as COVID-19 started to spread in Europe, the Agency immediately mobilised its resources to re-focus priorities aiming to actively support its stakeholders in addressing the new challenges.

### II.2.1 Emergency Management

#### First Reaction - Controlling the Spread of a New Virus

On 27 January 2020 EASA issued a Safety Information Bulletin (SIB), giving recommendations to national aviation authorities, airlines and airports in response to the evolution of the COVID-19 outbreak in China. The Agency issued, in the following months, several guidance to national aviation authorities, airlines and airports to deal with the virus. These initial actions culminated in the launch of the Aviation Health Safety Protocol, drafted in close cooperation with the European Centre for Disease Prevention and Control (ECDC) and the launch of a charter programme with aerodromes operators and airlines to monitor the data stemming from the implementation of the Protocol.



Figure 6 - EASA Response I

### II.2.2 Supporting the Aviation Industry

The COVID-19 pandemic impacts the aviation sector on an unprecedented level. After a dramatic drop in traffic during the months of April and May 2020 (90%<sup>1</sup> reduction compared to 2019), European traffic recovered slightly over the summer months before dropping again, around 65%<sup>1</sup> reduction in February 2021 compared to 2019. Intercontinental traffic volumes remain extremely low, heavily impacted by the varying national travel restrictions. Particularly hard hit are airlines and their personnel, with rippling effects across the entire sector, ranging from the manufacturing industry, air navigation service providers, airports, ground

<sup>1</sup> Data source: Eurocontrol

handling providers, training industry to general aviation. Conversely, the recovery of the airline industry will lead the recovery of the entire sector.

The Agency's response focused on the following areas:

- 1) Assist the European industry in overcoming the crisis, by providing the necessary **regulatory flexibility**.
- 2) Monitor continuously the safety performance and ensure that **emerging threats are identified and mitigated**.
- 3) Develop, in coordination with other relevant EU institutions, aviation specific measures that will ensure the **health safety of the passengers** and front-line personnel. Support their **harmonised implementation at EU level**.
- 4) Work with the international partners in devising and implementing adequate measures aimed at **containing the COVID-19 induced risks and support a globally coordinated approach**.
- 5) Contribute to the development of robust measures that will enhance the **resilience of the European aviation sector in front of biological threats**.
- 6) **Adjust priorities and working methods to the new realities and emerging challenges**.

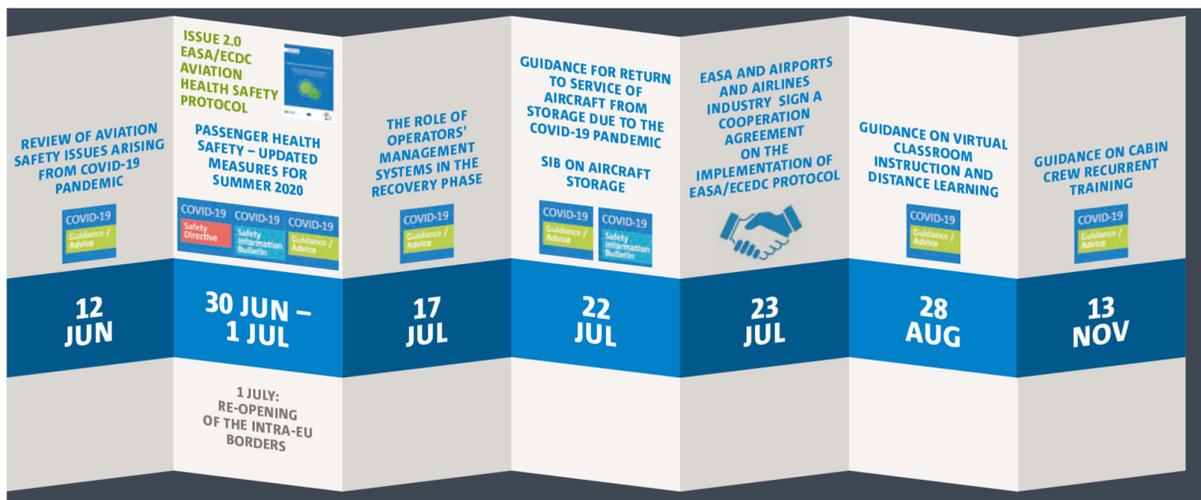


Figure 7 - EASA Response II

## Return to Normal Operations (RNO) Project

To coordinate EASA's support to aviation, the Agency launched end of March 2020 the RNO Project, supported by a taskforce containing MS and Industry representatives. RNO further aims to alleviate the effects of and assess new or emerging safety issues resulting from the crisis, by providing proportionate and safe solutions that are fit for purpose and address the specificities of various domains, with a view to support a safe Return to Normal Operations.

The activities of the task force concentrated around five main work streams:

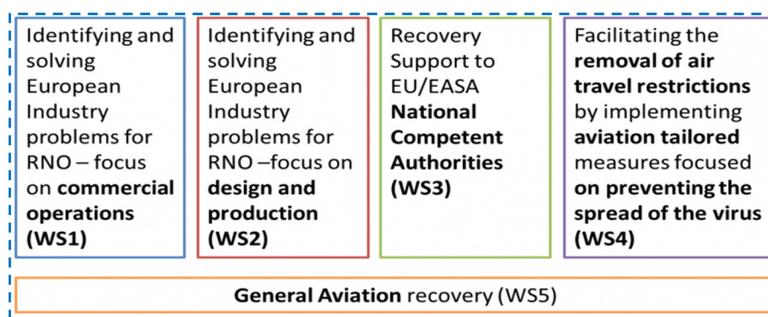


Figure 8 - RNO Project Plan

The RNO project made notable progress in 2020 and is an example of fruitful collaboration at EU level. This work continues. In 2021, the RNO project is expected to continue delivering on the work packages and become an integral part of EASA regular activities to ensure that EASA processes are fully capable of delivering in a post-COVID environment.

Below, are some of the **key outputs coordinated by the RNO project**:

### → Keeping Stakeholders Up-To-Date

To make information easily accessible, the EASA website was restructured to gather all the information published related to COVID, so the EASA Stakeholders have easy and direct access to all resources such as the latest versions of EASA guidance, travel information by region, Aviation Industry Charter and other references. Up until the end of December, 49 news items and press releases have been published under the dedicated COVID news category on top of all the normal publications.

More information can be found under: <https://www.easa.europa.eu/the-agency/coronavirus-covid-19>

### → Enabling Repatriation and Cargo Flights

As the situation unfolded and lockdowns started across Europe, airlines started performing repatriation flights to bring European citizens home. Quite a number of those flights were returning from high-risk areas, so on 26 March 2020, the Agency published guidelines to help airlines protect their crew members in this challenging situation. Additional guidelines for competent authorities were published, explaining how to grant exemptions from the rules on flight time limitations and provide mitigation measures to prevent accumulation of fatigue by crews that operated those repatriation flights.

### → Enabling Special Uses of Aircraft

With the evolving health challenges, passenger aircraft had to be reconfigured to enable the carriage of medical supplies to places where they were needed the most. The Certification activity focussed efforts on the approval of special uses of aircraft. This included requests to enable the aeromedical transport of COVID-19 patients using specialised equipment on both helicopters and airplanes. Such equipment

included special air transportable isolators, which posed a specific technical and safety related challenge. On 2 April 2020 information was published for design organisations and aircraft operators to provide further guidance on the design change classifications, certification aspects and the use of exemptions from the current requirements. This was followed on 6 April 2020 by information on the airworthiness aspects for installation of patient isolation devices and cockpit separations.

#### → **Supporting Air Crew and other Aviation Personnel**

As most pilots, controllers and other aviation personnel became unable to continue working or flying, the Agency started working closely with the Member States to deal with licencing issues that the crisis caused such as the unavailability to get the medical examinations, complete check flights and meet currency requirements. In collaboration with the National Competent Authorities (NCAs) and Member States, EASA worked on guidelines and mitigation measures so that aviation personnel affected by the crisis could remain current in their qualifications.

#### → **Supporting Organisation Oversight**

To maintain the auditing of organisations and mitigate the challenges for the oversight activity, a series of guidelines was shared with the Member States early in March, and an updated version was published in July 2020. Another line of activity was focused on issuing several guidelines for operators and member states to increase the reliability and resilience of their management systems and proactively identify the new risks caused by reduced flying activity.

#### → **Supporting Rotorcraft, Aerodromes and Ground Handling**

Addressing the Rotorcraft community, EASA published on April 6 a consolidated guidance on helicopter operations in the COVID-19 pandemic. The guidance itself is being consider for co-option into ICAO Annex 19. Aerodromes and ground handling service providers (GHSP) were also heavily affected by the lack of flying activities. With several potential safety issues specific to aerodrome operations, among which an increase of wildlife presence in the airport areas, potential malfunctioning of the aerodrome systems (lighting and radio navigation aids, equipment and facilities), or staff redundancy, EASA issued two SIBs to prepare aerodromes and GHSPs for gradual return to operations in safe conditions.

#### → **Welcoming Passengers through Health Safety Measures**

In parallel to supporting operations, as lockdowns started to be put in place across Europe and beyond, a comprehensive set of health measures for passengers that covered their journey from arrival at the departure airport to leaving the arrival airport at the other end. EASA and ECDC working extremely closely to develop these measures that would become the Aviation Health Safety Protocol (AHSP) that was published on 20 May 2020.

#### → **The Aviation Industry Charter for COVID-19**

With the health safety measures now providing a framework for the industry, EASA & ECDC launched in May 2020 the Aviation Health Safety Protocol (AHSP) charter programme sand additional materials to support airlines and airports to implement the guidelines, grouping 52 airlines and 48 airports with a multi-layered approach based on the 'Plan-Do-Check-Act' process for aviation safety management, occupational health, and public safety.

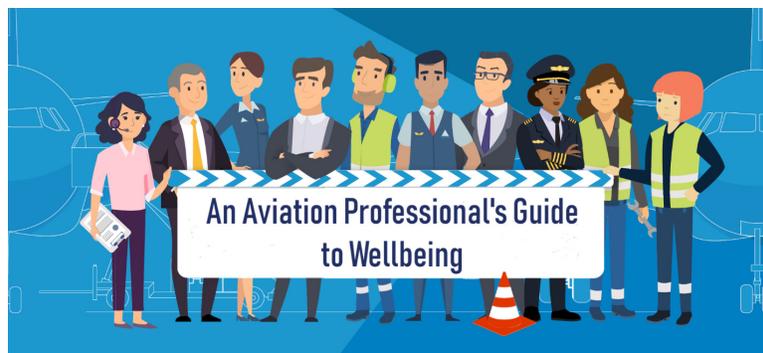
#### → **Safe and Effective Operations**

The aviation industry is ensuring that safety has not been impacted by the COVID-19 pandemic and a contribution to that has been the work led by the Safety Intelligence and Performance activity, identifying

upfront the safety issues arising from the pandemic and sharing it with the RNO taskforce. Following a joint effort, involving experts from across the Agency and the industry collaborative groups a report was published on 12 June 2020 which identified 47 different safety issues in the following areas: Management Systems; Human Performance; Training, Checking and Recency; Outdated Information; Infrastructure and Equipment; Financial Impacts on Safety.

### → Caring for our People

The pandemic has been extremely challenging for the whole aviation community. Thousands of aviation staff have been made redundant or are on long-term furlough pending the long-term recovery. As aircraft across the world were grounded, the human element to the crisis needed to be tackled quickly. EASA teamed up with organisations across 3 continents, the Flight Safety Foundation, the Royal Aeronautical Society and Trinity College, Dublin, to develop the Aviation Professional's Guide to Wellbeing, published on 16 April 2020. The support to the aviation community continued developing a wide range of material and culminating in the launch of a Wellbeing Resource Hub in late November 2020.



### → Ongoing work – Electronic Passenger Locator Form (ePLF)

Following a request of the European Commission, the Agency developed by December 2020 a digital exchange platform allowing Member States to exchange data gathered through digital national PLF system with the main purpose to enable cross-borders contact tracing and thus avoid further spread of the coronavirus and its variants across Europe. The European Commission is enhancing the legal framework to enable cross-borders contact tracing and assessing how to best integrate this project with the other ongoing activities related to vaccination, testing and recovery from COVID.

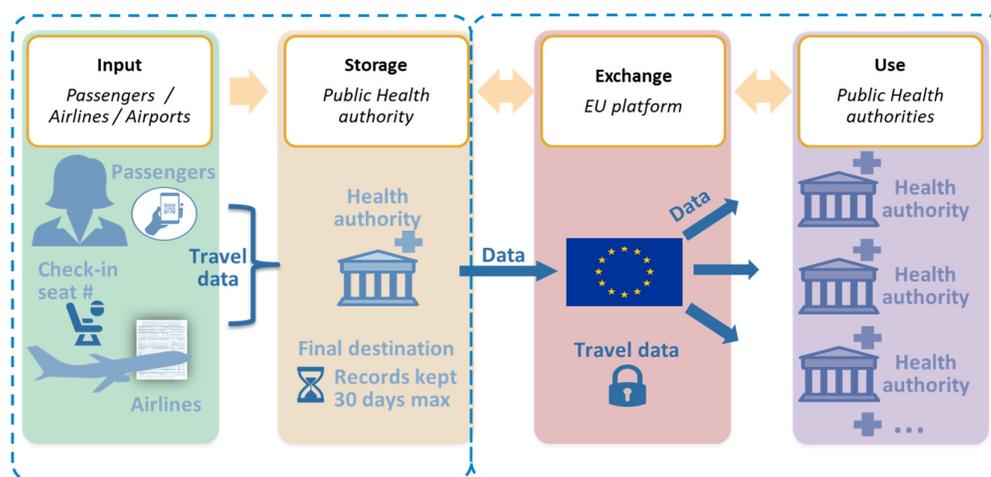


Figure 9 - ePLF Project

### II.2.3 Internal Impact & Support to EASA Staff

As many businesses and organisations experienced in 2020, EASA had to quickly adapt its working methods and on-site facilities to: cater for increased home office; assess, address and implement the impacts of European and national health directives and COVID-19 guidance; advise and prepare for the social impacts of the crisis on staff members' health and wellbeing.

To this respect, the COVID-19 crisis challenged EASA to be innovative and ambitious in its internal response. A number of measures and initiatives were implemented through the committed and quick action of EASA staff:

- **Dedicated COVID Working Group established** (*under the leadership of the Executive Director's Office including Aeromedical Experts, Medical Advisor(s), experts from HR, Legal, Corporate Services and Communication as well as Staff Committee representatives*) to **advise EASA's senior management on Health, Corporate, Social and related issues** as well as oversee subsequent implementation actions.
- **Extended teleworking arrangements** introduced to allow staff members increased flexibility to work from home to, amongst others, protect staff members health and organise child-care.
- **Enabled effectiveness remote working** through increased VPN capacity, enhanced videoconferencing equipment and software.
- Modified EASA's facilities to **ensure a safe working environment** for staff members on-site, in line with applicable local, national and EC guidelines for staff members in the office.
- Dedicated **guidance for managers** to support staff to cope with teleworking and home schooling as well as to help staff with stress associated with the COVID-19.
- **Increased communication with staff members** through regular newsletters, intranet news items, social committee initiatives (such as online quizzes, digital staff events, etc.).

### II.2.4 Impact on Agency Strategy & Resources

#### → **Priorities & Resources:**

In light of the crisis, EASA performed an assessment of its annual work programme in March 2020. The existing priorities and objectives were complemented to address the new challenges and emerging risks such as the RNO project and health initiatives as mentioned above. Where necessary, resources were invested in completing back-log projects, supporting the COVID-19 working threads and advancing strategic priorities such as environment and innovation/future developments, including drones. The re-focused priorities were aligned and agreed by the EASA Management Board on 9 June 2020.

The crisis led also to a significant reduction in EASA's Fee's & Charges revenue by 18M€ (-15%) compared to the initial 2020 plan. Notwithstanding, EASA was able to preserve its financial sustainability, via a comprehensive cost saving exercise. For further information see Part II.3 – Budgetary & Financial Mgmt.

#### → **90% of Targets achieved despite COVID:**

Some 35% of the annual work programme objectives and 40% of KPIs were impacted by the COVID-19 crisis and experienced challenges and delays, related mainly due to travel restrictions, social distancing and/or availability of external stakeholders, or were postponed by EASA in order to relieve pressure on the industry.

As noted in Part I – Achievements of the Year, despite this, EASA was able to achieve 90% (of which 56% fully achieved) of its AWP ambitions. Nevertheless, 9 objectives were required to be postponed due to the crisis but will follow-up in 2021 according to the evolution of the pandemic.

In terms of performance, the Agency's KPIs report that activities were able to sustain a high level of operation with 63% reported as achieved, 20% partially achieved and only 5% (or 3 KPIs/targets) not achieved. 12% (or 7 KPIs) have been postponed as a direct result of the COVID-19 crisis.

## II.3 Budgetary & Financial Management and other administrative tasks

The COVID-19 crisis had an immediate and significant impact on the aviation sector. The effects of this were felt by the Agency in the changing number and type of applications being received from industry for certification and approval services as well as fluctuations in average payment trends of customers.

EASA's SPD (2020-2022) forecasted Fees & Charges ("F&C") revenue to be stable over the period of 2020-2022, arriving at 125M€ in 2020 and reflecting an increase compared to 2019 due to the application of the new F&C Regulation. In light of the COVID-19 crisis the planning assumptions on the evolution of the market were revisited and adjusted down to 90M€ due to a slowdown in the level of incoming payments (as reflected in the 1st amending budget 2020 – see below). The final 2020 revenue finally reached 107M€.

### Implementation of Appropriations

Appropriations authorised in the Agency's initial budget for 2020 totalled 219M€ (compared to 199M€ in 2019).

The MB adopted one amending budget to reflect:

- A forecasted reduction in fees and charges revenue estimations from the originally planned 125M€ to 90M€ for 2020: An estimated reduction of 35M€.
- Following a transversal cost-cutting exercise to manage the reductions described above, savings were made in expenditure related to outsourcing, travel and expert meetings, where activity levels have also seen a significant decrease. Cuts were also made on planned expenditure related to the CORAL (digitalisation) and transformation/efficiency programmes, as well as postponing several HR and IT investments planned for 2020; whilst sparing those activities necessary to support the industry.
- A contribution of 90K€ from Hungary to cover the costs of EASA staff working on a memorandum of understanding established to provide technical assistance.
- The cost cutting exercise also led to some savings across subsidy funded activities, which have been reinvested to fund important operational projects such as: Urban Air Mobility (UAM) study on societal acceptance of UAM concepts; development of information sharing platform on conflict zones; environmental studies and digital standardisation visits (video conferencing).

Final available appropriations totalled 183M€ (2019: 196M€) and were executed as detailed below:

(Thousands of €)

Expenditure	Initial budget 2020	Amending budget 2020	Final budget 2020	Transfers 2020	Final bud. after transfers	Executed budget 2020
T1 Staff	98.736	-2.277	96.459	802	97.261	97.156
T2 Buildings & Equipment	21.184	-1.050	20.134	-	20.134	19.263
T3 Operational	47.051	-17.495	29.556	-802	28.754	24.458
T4 Special Programmes	-	-	-	-	-	14.850
T5 Accumulated Surplus	51.816	-14.923	36.893	-	36.893	-
Total Expenditure excl. Internal assigned	218.787	-35.745	183.042	-	183.042	155.727

*Table: 2020 budget: figures included in this table relate to the published 2020 budget and therefore include only current-year appropriations, i.e. C1 & R0. Amounts carried over, i.e. C8 & R8, and internal assigned revenues, i.e. C4 & C5 appropriations, are not included.*

## Achievement of Budget Implementation Targets

As a result of comprehensive in-year budget monitoring, the final budget implementation rate for 2020 current-year appropriations (C1) was 99% (compared to 97% in 2019) and well above the European Commission's target of 95%.

The cancelled appropriations relating to commitments carried over to 2020 (C8) was 5.46% (compared to 3.7% in 2019). The vast majority of the cancelled C8 volumes (approximately 3% of the 5.46% total) were attributable to the COVID-19 crisis and cancellations caused mainly by global travel restrictions, confinement measures, reduction in activities and cancellation of events.

Summary information on budget implementation rates for all fund sources is provided in Annex II - Statistics on Financial Management.

## Budget Result

The 2020 F&C budgetary result was 9.4M€ (compared to -0.7M€ in 2019). Staff costs increased by 0.9M€, administrative costs increased by 0.3M€ while operational expenditure decreased by 14.4M€ and the F&C income decreased by 3.2M€ compared to 2019. The decrease in the operational activities and income is due to the COVID-19 pandemic impact on the aviation industry and on the Agency's activities. The accumulated F&C surplus was brought up from 51.5M€ to 60.9M€.

With regard to subsidy-related activities, staff costs increased by 0.2M€, administrative costs decreased by 0.1M€ and operational expenditure decreased by 1.9M€ compared to 2019. The overall subsidy budget result was +3.2M€ of which 0.85M€ was used to adjust (fully offset) the negative balance from 2016, resulting in a total Budget outturn of 2.3M€.

		2020	2019
<b>REVENUE</b>			
Balancing Commission subsidy	+	38.883.873	38.551.730,17
Other subsidy from Commission (Phare, IPA, Delegation agreement, ...)	+	26.728.006	21.885.824,75
Fee income	+	106.504.271	109.639.447,93
Other income	+	1.174.295	1.477.442,95
<b>TOTAL REVENUE (a)</b>		<b>173.290.444</b>	<b>171.554.445,80</b>
<b>EXPENDITURE</b>			
<i>Title I: Staff</i>			
Payments	-	96.956.074	95.717.899,06
Appropriations carried over	-	316.277	397.604,37
<i>Title II: Administrative Expenses</i>			
Payments	-	15.562.346	13.842.108,32
Appropriations carried over	-	3.792.672	5.388.494,56
<i>Title III: Operating Expenditure</i>			
Payments	-	34.813.684	44.082.573,60
Appropriations carried over	-	108.363.373	92.654.533,87
<b>TOTAL EXPENDITURE (b)</b>		<b>259.804.425</b>	<b>252.083.213,78</b>
<b>OUTTURN FOR THE FINANCIAL YEAR (a-b)</b>		<b>-86.513.982</b>	<b>-80.528.767,98</b>
Cancellation of unused payment appropriations carried over from previous year	+	604.267	414.361,08
Adj. carry-over from previous Y of appropriations available at 31.12 arising from assigned revenue	+	89.134.861	80.293.191,59
Exchange differences for the year (gain +/- loss -)	+/-	-17.271	-38.954,53
<b>BALANCE OF THE OUTTURN ACCOUNT FOR THE FINANCIAL YEAR</b>		<b>3.207.876</b>	<b>139.830,16</b>
Adjustment for negative balance from previous year (-)	+/-	-855.256	-139.830,16
<b>Total Budgetary Outturn</b>		<b>2.352.620</b>	<b>0</b>

### Waivers of Recoveries

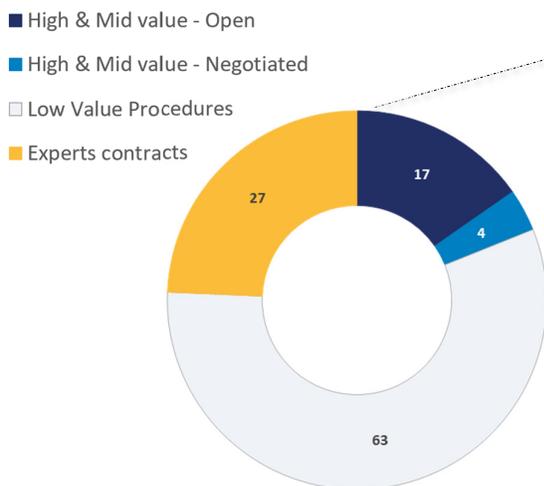
In accordance with Art. 66 of the EASA Financial Regulation and Art. 101(6) of Regulation (EU) 2018/1046, the Agency is required to report on waivers of established amounts receivable granted during the year. Waivers of established amounts receivable granted during 2020 totalled 4K€.

### Procurement Procedures Launched and/or Finalised in 2020

The Agency managed 21 high-value and middle-value (>60K€) procedures during 2020, of which 13 were signed in 2020. In addition, 90 low value (1-60K€) & experts contracts were concluded as well as approximately 400 specific contracts (under framework contracts).

The following graph shows the total number of procurement procedures by type concluded in 2020, as well as the details by Activity of the High and Middle value procedures. See Further details by project in Annex I.4 - Procurement Procedures.

**Number of Procurement Procedures by Type**



**High & Mid Value Procedures by Activity**



### Grant, Contribution and Service Level Agreements

During 2020 the Agency managed 23 projects / assignments, with a total value of approximately 90M€ over 3-5 years, (mainly) on behalf of the European Commission for which EASA receives specific funding ("Earmarked Funds") in the field of international technical cooperation, research, safety intelligence (Data for Safety - D4S) and environmental protection.

Further details see Annex VI - Contribution, Grants & Service level Agreements.

## II.4 Delegation & Sub-delegation

In accordance with the EASA Financial Regulation, the Executive Director (ED), as authorising officer, delegates to Agency staff certain powers of budget implementation, which are covered by the Staff Regulations. The ED has delegated budget implementation tasks to eight delegated authorising officers who have in turn, and with the explicit agreement of the ED, subdelegated budget implementation tasks to 26 sub-delegated authorising officers.

Time limits are not systematically set to financial delegations; however, when staff departures/transfers are notified/identified, an end date is entered in the financial system, which indicates the termination of the respective financial delegations.

Ex post checks on financial delegations are conducted twice a year, and additional checks to identify leavers, transfers, etc. are carried out twice a month, in line with the internal procedures, implementing transfers/leavers etc on the first or 16<sup>th</sup> of the month.

The ED is presented with an annual report on financial delegations, which provides full details of all delegations in force, budget lines covered, financial limits and specific conditions, as well as the actions taken in respect of ex post controls and their results.

## II.5 Human Resources (HR) Management

The establishment plan is expected to be stable until 2023. The demographic trend towards an ageing staff population means that the Agency expects an increasing number of retirements. There will be no automatic 'one-for-one replacement' for leavers. A more flexible approach to workforce management is being implemented in order to reply to the needs in a more agile way with an adequate level of planning in the short-, mid- and long-term, favouring internal mobility and temporary sharing of resources between units.

Efficiency gains will enable the Agency to accommodate the expected increase in responsibilities and tasks with the existing human resources. To achieve those gains, some staff members will need to be trained and/or redeployed to take on different roles; in this context, a competence management project was launched in 2020 to support the workforce planning process.

### Benchmarking Exercise

Following the Network of Agencies' methodology, which is based on the one applied by the Commission, EASA continued to perform the screening and benchmarking of posts for the seventh year in a row. Compared to the 2016-2018 period, the results in 2019 & 2020 showed a transfer of posts from the 'Administrative and Support and Coordination' and 'Neutral' to the 'Operational' subcategories.

Full details can be found in Annex IV - Establishment Plan & Additional Information on Human Resources Management' under the table Benchmarking Exercise.

### Recruitment Policy

According to the Agency's mandate and business plan, the Agency recruits staff to mainly perform tasks of a permanent nature to ensure sufficient expertise in all domains across the organisation. The majority of the tasks are performed by temporary agents (TAs) in the administrator (AD) and assistant (AST) function groups.

In 2020, the Agency slowed significantly the rate and volume of external recruitments in order to generate financial savings and used internal sourcing as a main channel to respond to business needs.

### Temporary Agents

All temporary agent posts are identified as posts of long-term duration. The TAs are engaged to ensure the Agency carries out its mandate on all technical, administrative, and managerial levels of the organisation.

The criterion for identifying long-term duration posts is whether such posts involve tasks of a permanent nature. These tasks are derived from the Agency's strategic workforce planning, which is cascaded down to the multi-annual recruitment plan, which is in line with the Agency's key objectives and serves the need for continuous expertise in specific areas. In addition, selection procedures are designed to foster internal mobility, complemented by external recruitment for specific profiles. The Agency is filling in its vacant posts in accordance to the MB Decision 07/2015 outlining the procedure on engagement and use of temporary staff under Article 2 (f).

### Contract Agents

The Agency employs short-term and long-term contract agent (CA) staff to support TA staff in performing specific projects, tasks, and carry out administrative work with a long-term duration.

CA staff, which accounted for 13.7 % of the Agency staff in 2020, plays an essential role in many of the Agency's core activities and processes. Due to the specific nature of the tasks covered by CA staff, the Agency employs CA staff only in function groups III and IV. In June 2019 the Agency has adopted the Implementing

rules, governing the conditions of engagement and use of contract staff under Art. 3a, EASA MB Decision 11/2019, allowing optimisation of the recruitment process and ensuring career and mobility opportunities for CA staff.

### Seconded National Experts (SNEs)

For certain expertise, seconded national experts (SNEs) are temporarily working at the Agency under the rules applicable to such experts. In general, their assigned tasks require in-depth expert knowledge and extensive work experience in a specific field of aviation.

### Interims

A limited number of short-term staff ('interims') work at the Agency, contracted through an external service provider, who is selected following an open tender procedure. The Agency is following an established policy determining the business criteria for the use of interims. In 2020, the Agency has significantly decreased the use of interim staff in order to respond to the financial impact of the COVID-19 pandemic.

### Implementing Rules

In 2020, the MB adopted the following list of implementing rules:

Reference	Date	Subject
04-2020	25/06/2020	MB Decision concerning the application by analogy of the Commission Decision C(2020)1559 of 16 March 2020 amending Decision C(2013)9051 of 16 December 2013 on leave. Related to special leave for new-born children
11-2020	15/12/2020	MB Decisions concerning the adoption by analogy of the Commission Decisions C(2011)1278 of 3 March 2011 on the general implementing provisions for Articles 11 and 12 of Annex VIII to the Staff Regulations on the transfer of pension rights and C(2020)4818 of 20 July 2020 amending the Commission Decision C(2011)1278. Related to transfer of pension rights.

## II.6 Strategy for Efficiency Gains

In February 2020 the Agency launched, as announced in the SPD 2020-2022, a corporate transformation programme, “Destination: Future-proof”, incorporating the ongoing digitalisation initiative (“CORAL”). The programme is expected to run until 2023 and initially set-out to achieve cost efficiency gains of at least 8% compared to 2019 but is currently expected to deliver overall efficiency gains of 20-25% at Agency level by 2025.

### Programme Approach to Achieving Efficiency Gains:

- **Wave based:** Assess working practices in each department in turn (“waves”) and eliminate activities that add little or no value. Simple steps will be automated, thereby quickly freeing resources for redeployment.
- **Invest in people:** Engage staff in cutting red tape now and in the future by coaching a core team in lean management and agile approaches. This team will then have the competences to lead change initiatives in the years to come.
- **Harmonise:** Eliminate duplicated or competing practices by harmonising suitable procedures at corporate level, thereby minimising inefficiency and miscommunication.
- **AGILE IT:** The Agency digitalisation programme (CORAL) will continue to build on the agile governance structure already put in place, the review of IT infrastructure already completed and investments in several technology platforms to manage security, workflow, data & information, and data exchange. The Agency will redesign its processes to capitalise on new digital standards and recast its legacy systems to reduce associated running costs.
- **Workforce Management:** In order to capitalise on the existing staff base the Agency will adopt a more ambitious programme to reskill or reassign existing staff to priority activities in lieu of recruiting replacements. This will depend on creating a more reliable means to assess knowledge and skills, where the future gaps in workforce will be and the availability of key staff.

### 2020 Achievements:

As the COVID-19 pandemic began to take hold the Agency turned its focus on implementing new working (remote) methods, cost saving measures to maintain its cash flow and support to industry and stakeholders. In addition to the ongoing transformation programme initiatives the Agency was able to leverage certain measures introduced as a result of the pandemic and generate early efficiency gains by:

- **Online Conferences & Meetings:** Moving to video-conferencing for a number of high-level conferences, workshops or meetings such as holding its Annual Safety Conference as a virtual event with 2,000 participants, which alone resulted in estimated global savings upwards of 600K€.
- **Remote inspections:** Moving part of the standardisation inspection programme to a remote basis. As of December 2020, EASA had carried out 16 Member State inspections using videoconferencing instead of site visits, cutting related travel time and costs by around 25%.
- **Digital Approvals:** Digital solution to allow issuing of digital-only approvals instead of paper certificates. In addition to an estimated workload reduction of 1 FTE per annum, the process is also faster and more flexible, allowing approvals to be issued from any location.
- **Digital Foundation:** CORAL was successful in delivering on a number of EASA “new digital core” technical solutions which will lay the foundation for automating internal processes and realising

efficiency gains. A number of internal processes have already moved to a digital basis. This work continues.



## II.7 Assessment of Audit Results during the Reporting Year

### II.7.1 Internal Audit Services (IAS)

In 2020, the IAS team performed an audit on certification and organisations - level of involvement. The final audit report was delivered in Q1 2021. The Agency is currently taking measures based on the IAS' team auditing, carried out during 2020, and the resulting actions performed.

### II.7.2 Internal Audit Capability (IAC)

The 2020 audit programme consisted of 8 engagements (five assurance audits and three follow up audits). All audits were delivered in line with the annual programme and concluded with the issuance of the final reports by December 2020.

The programme included as well, on top of internal audits performed by the IAC, one assurance audit performed by the IAS. The objective of the five assurance audits was to assess whether there is reasonable assurance that the relevant regulations and/or requirements were complied with, the process objectives were met, and the key risks were properly mitigated through a robust internal control system. In each of the five audits, the required level of assurance was provided, and recommendations were given to enhance the control environment or the overall efficiency of the processes.

The three follow-up audits assessed the status of agreed actions, resulting from the initial audits performed in 2019, including their effectiveness as well as any residual risks associated with the objectives of each audited activity. During the 2020 follow-up audit, 8 out of the 13 actions identified in the initial audit could be closed, whereby the residual risks were considered to have been reduced to an acceptable level through the implementation of the agreed mitigating actions. The implementation of the remaining five actions will be assessed in 2021.

The results of the 2020 audit programme were formalised in the Annual Audit Report (dated 25 January 2021) and discussed with the Executive Director during a dedicated meeting on 26 February 2021.

### II.7.3 European Court of Auditors

Related to the Court's opinion on 2019 Accounts, the Chamber IV of the European Court of Auditors (ECA), adopted at its meeting of 12 May 2020, a positive opinion on the reliability of the Agency's accounts "present fairly, in all material respects, the financial position of the Agency".

## II.8.a Follow-up to Audit Plans, Audits & Recommendations

### Internal Audit Services (IAS)

Despite some delays experienced as a result of the COVID-19 crisis, all actions issued by the IAS team are being implemented and have the status ‘in progress’.

The main recommendations\* covered the following areas:

- (a) Refresher training and raising awareness on ethics, fraud prevention and conflict of interests.
- (b) Monitoring of the project duration of certification projects.
- (c) Control mechanism for the management systems of the national aviation authorities.

*\*It should be noted that none of the recommendations were classified as ‘critical’ or ‘very important’. The related actions are being addressed and will be implemented in 2021 accordingly.*

### European Court of Auditors (ECA)

The following table provides an overview of the ECA observations from the period 2016-2019 including the current status of implementation:

Year	ECA Observation	Status	EASA: Corrective actions explanation
2016	The Agency has accumulated a 52M€ surplus from industry-financed activities over the years, for which there is no provision in the Agency’s Founding Regulation.	<b>On-going</b> <i>(not under Agency’s control)</i>	The Agency has and continues to further actions to address this observations, most notably through the 2019 Financial Regulation Revision and 2018 Fees & Charges Regulation Revision. However a long-term solution has not yet been found / agreed with the EU institutions.
2018	The terms used in the framework contract with a single operator were not specific enough to allow fair competition. The Agency should design framework contracts, which allow fair competition and ensure value for money.	<b>Completed</b>	See also Section II.9.2 for further details on improvement measures in procurement procedures & policies.
2018	The Agency committed the funds for an agreement with the Commission on archiving services after the renewal of the agreement. The commitment of funds should be recorded before entering a legal obligation in order to ensure that funds are available for contracts, which allow fair competition and ensure value for money.	<b>Ongoing</b>	An exception had been raised to address this item. The Agency regularly reminds financial actors accordingly. Furthermore, the Agency has launched a project focussing on the improvement of Contract Management which involves all respective counterparts. Also, the Agency intends to implement an application which allows better monitoring of the process steps and alerting systems which prevent any risk of entering legal commitments before budgetary commitments.
2019	We found instances of non-compliance in the management of the procurement procedures. In particular, the issue of re-opening of competition had been identified in our audits in previous years without being satisfactorily resolved.	<b>Completed</b>	The Agency took well into account the observations and assesses for each procurement procedure to launch which type of contract would be the most adequate in compliance with the Financial Regulation.

2019	The Agency signed a framework contract with a single operator for the procurement of facility-management consulting services. However, the terms used in the contract were not specific enough to allow for fair competition. This was because the specific requirements concerning the services to be provided were not yet known at the time of the procurement procedure, as the services in the scope of the contract were only generically defined. According to the Financial Regulation, in such circumstances the contracting authority must award a framework contract to multiple operators, and a competitive procedure between the selected contractors must be used for specific purchases.	<b>Completed</b>	The number of procedures resulting in MFWC with RoC has increased considerably (see above). Further reference is made to the above listed checklist. See also Section II.9.2 for further details on improvement measures in procurement procedures & policies.
2019	For a procedure concerning the procurement of IT services, the Agency required potential tenderers to submit evidence that their minimum annual turnover was at a level which exceeded the maximum allowed by the Financial Regulation.	<b>Completed</b>	Checklist for the TS was set up/ adapted to address/prevent this item.
2019	For three out of four procurement procedures audited, the Agency did not publish the estimated volume of the contract as required by the Financial Regulation.	<b>Ongoing</b>	The estimated volume was published in the procurement documents. On recommendation from the auditors, the Agency now includes a respective reference to the relevant section of the tender specifications in the contract notice.

## II.8.b Follow-up of Recommendations issued following investigations by OLAF

There were no recommendations by OLAF for follow-up in 2020.

## II.9 Follow-up of Observations from the Discharge Authority

On 28<sup>th</sup> April 2021, the European Parliament granted its **discharge** -(P9\_TA(2021)0185- **to the Agency for the financial year 2019** (2020/2161(DEC)) and approved the formal closure of the Agency's annual accounts.

Regarding the **follow-up to the observations** made by the European Parliament in its **discharge granted to the Agency for the financial year 2018** (2019/2077(DEC)) on some aspects of the Agency's financial and administrative management, the Agency took the following measures:

### II.9.1 Staff Policy

The European Parliament requested the Agency to focus on several points:

- The Agency's **gender balance** was addressed by joining the Commission's initiative 'Women in Transport', which aims to strengthen women's employment and representation opportunities at all levels. EASA established a Gender Balance Task Force to promote equality and redress. The actions from the Task force are focusing on awareness campaigns and open debates, awareness and empowerment training and guidance for work-life balance.
- EASA reinforced the monitoring of gender distribution and encourages female applications during selection procedures. Favourable working conditions, including opportunities for maternity leave, part time working, special part time arrangements for breast feeding, flexi leave and teleworking. At the beginning of 2019 EASA appointed a female Director. In January 2020, a second female Director was appointed. Consequently, the current gender distribution of the Senior Management is balanced at 50% male and female (2 male Directors and 2 female Directors). Including the Executive Director, the ratio becomes 60% male and 40% female. In addition, recurrent analysis of the relevant processes (i.e. performance appraisal, reclassification, selection) is performed to ensure gender balance to the extent possible. Since the appointment of the gender balance advocate the representation of women in managerial positions has increased from 16.9% to 22.5% (2020 data).
- Integrate **work-life balance** with the staff policy: Following feedback from a staff survey, the Agency fully implemented the 'Teleworking Policy', revised its 'Flexitime' arrangements, and changed the core hours, to increase the 'health and well-being' of staff. In 2019, a staff engagement survey was conducted and the results show that policies on work-life balance are well appreciated by staff (+21% improvement from 2016 survey). With the COVID-19 pandemic, exceptions to the 'normal teleworking' policy were introduced, in particular the possibility to telework 100%, for a certain groups of staff and for a defined period of time, to comply with the national rules implemented to try to contain the pandemic. The 'Teleworking Policy' will need to be reviewed in the context of the post COVID-19 pandemic.
- A **dual-career system** (technical and non-technical staff, managerial included) is in place to make staff development more transparent. Also, a competence project was launched to be continued in 2021 which will contribute to hiring, on-boarding, succession planning and career. With the Junior Qualification Programme (JQP) in place since 2016, recruitment waves of Juniors in 2016, 2018, expected in 2021 the Agency has yet another building block in place to enable career development.
- The Agency is expected to deliver the same level of quality and services with decreasing level of resources and in order to achieve this goal, needs to invest in upskilling and developing of its staff. For this reason, a competency management and strategic workforce planning programme was outlined in 2020 and shall continue in 2021 onwards.

## II.9.2 Procurement

Further to the responses provided to the European Parliament in the frame of the 2018 discharge, where it was clarified that mentioned risks were addressed thanks to the an electronic information exchange solution (e-procurement) so financial actors were reminded and made aware, the Agency introduced several measures to considerably enhance contract management at the Agency. Increasing awareness on the importance of contracts providing the best value for money as well as strengthening the actors involved in the procurement process were considered necessary.

In this respect, annual objectives for contract managers together with a profile description outlining their main responsibilities, skills and competences were set up. Striving for an effective monitoring of the Agency's contracts and its contractors' performance, allowing for appropriate interventions when necessary, management was invited to nominate the most suitable colleagues to adequately perform the important role of a contract manager.

Important efforts have also been brought to the contract managers and support teams' preparedness and awareness over the contracts they are responsible for. Tailored guidance and support material, complemented with training, workshops and exchanges on contracts and their implementation has been implemented. This is today integrated in the standard support package to be offered to all contract managers and users of complex contracts.

Additionally, the designation of procurement focal points from the different Agency's operational areas was found to be an important contributor to improve our overall contract management standards by promoting and enabling across the organisation a (i) transparent and more effective planning (ii) an enhanced monitoring of the Agency's contracts, and (iii) a closer interface between the different actors with an active role in the management of the contracts/procedures.

## II.9.3 Prevention and management of conflicts of interest and transparency

In 2017, the Agency revised its 'Policy on impartiality and independence: prevention and mitigation of Conflict of Interest', extending the obligation to complete a declaration of interests to all staff members. The declaration of interests is now a continuous exercise (staff members are obliged to declare any change at any point in time). However, the Agency officially reminds all staff members of their obligation to update their declaration of interests on a yearly basis.

Following the final audit report issued in May 2019 on 'Ethics, Fraud, Prevention and Conflict of Interest', performed in 2018 by the IAS team of the European Commission, the Agency continued in 2020 the process of further enhancing Conflict of Interest Management at EASA taking into account the recommendations from the auditors. Most notably, detailed guidelines for EASA staff and managers was elaborated and published on the EASA intranet and the Annual Declaration Process for EASA staff and EASA Management Board was further refined.

Regarding the transparency policy in its relation with stakeholders and other third parties, the Agency, being a technical EU Agency, needs by nature to have an open dialogue with aviation stakeholders and take their views into consideration. The Agency is bound by its legal mandate to have this interaction with aviation stakeholders. All technical workshops organised by the Agency with its aviation stakeholders are reflected on the 'Events' page of the Agency's website.

## II.9.4 Internal Controls

In 2020 the internal audit capability performed five audit assurance engagements to assess whether the relevant regulations were complied with, the process objectives were being met, and the key risks were properly mitigated. Those internal audits aimed at providing level of assurance in each of the reviews and recommendations were given to further enhance either the control environment or the overall efficiency of the processes; Furthermore, the three follow-up audits carried out in 2020 aimed at reviewing that the residual risks were reduced to fall to an acceptable level.



## II.10 Environment Management

In 2016, EASA moved to a DGNB-gold-certified building (German Sustainable Building Council), with inter alia the following technical features: well water cooling, centralised ventilation with heat recovery, CAT-2+-certified Data Centre with approximately 85 % non-active cooling, LED lights in conference areas, e-chargers for cars and e-bikes.

In addition, the EASA travel policy encourages the use of public transport as much as possible, for both long-distance (train instead of car) and short trips (local transport instead of taxi or car). To reduce CO2 emissions in the area of business travel, EASA encourages use of other communication methods (e.g. videoconferencing) in lieu of travelling. For further details see Annex VII - Environment Management on Operations.

## II.11 Assessment by Management

### Overall Budget Implementation Rate

Comprehensive budget monitoring ensured a final current year (C1) budget implementation rate of 99%, well above the European Commission's (EC) target of 95%.

The cancellation of amounts relating to commitments carried over to 2020 from the previous year (C8) increased to 5.46% compared to 3.7% in 2019. This is slightly above (50.909€) the 5% ceiling of the EC. The vast majority of the cancelled C8 volumes (approximately 3% of the 5.46% total) were attributable to the COVID-19 crisis and cancellations caused mainly by global travel restrictions, confinement measures, reduction in activities and cancellation of events.

Further information on budget implementation rates can be found in Annex II - Statistics on Financial Management.

### Legality & Regularity

Ex-ante verifications were performed on each of the 21.5K financial transactions processed by the Agency in 2020: approximately 5K by financial verifying agents and 16.5K by reporting authorising officers (for recovery orders, mission expenditure reimbursements, and 'low-risk transactions'). Additionally, in accordance with the Ex-post Control Annual Programme for 2020, 33 ex-post control exercises were performed on recovery orders, mission expenditure reimbursements, and low-risk and low-value transactions, procurement procedures, International cooperation and CORAL projects' transactions.

### Procurement Procedures

In 2020, the Agency managed 21 high & middle value procedures (>60K€) as well as approximately 400 specific contracts (under framework contracts) and 90 low value (1-60K€) & experts contracts were concluded.

Further information on procurement procedures launched in 2020 can be found in Annex I.4 - Procurement procedures.

### Registration of Exceptions

In accordance with EASA Management Standard 18, the Agency implemented an exception process to document deviations from established processes and procedures. To ensure traceability, deviations from the rules and/or procedures are documented in an exception request, which is recorded in a dedicated exception register. For each request, corrective/preventive actions and risk level are identified prior to approval by the relevant director.

The Agency's 'Audit and Assurance Section' reviewed the exception requests submitted in 2020. The results of this review were reported to the directors during the Management Review.

There were no significant financial exceptions registered in 2020.

## Part II (b) — External Evaluation

### EASA Basic Regulation - (EU) 2018/1139 Art. 124 Evaluation

Every five years, the European Commission, taking into account as well the views of the Management Board and stakeholders of EASA, performs an evaluation assessing the Agency's performance in relation to its objectives, mandates and tasks.

In this regard, the last evaluation was launched in December 2017 and performed during 2018. The efficiency and robustness of EASA's SPD process was evaluated, including by way of benchmarking this process against the practice applied by other Agencies. The final evaluation report concluded very positively and was endorsed by the MB in its meeting of December 2018. With the implementation of the report's recommendations confirmed by the PAR-AG, the MB finally closed this project in its meeting of June 2019.

The next evaluation is planned to be launched in 2022, which should conclude not later than 12 September 2023.



## Part III — Assessment of the Effectiveness of Internal Control Systems

The internal control standards of the Agency include the internal control framework of the European Commission, consisting of five internal control components and 17 principles, and the international quality standards (ISO 9001), resulting in 22 EASA Management Standards.

### III.1 Effectiveness of Internal Control Systems

The integrated management system of the Agency was recertified with the ISO 9001:2015 standard in 2019. In 2020, a surveillance audit as performed, during which the auditors identified no nonconformity. The Agency directors reviewed the effectiveness of the management system during the 'Management Review' meeting. On that occasion, the results of the integrated management system were presented, and improvement actions were submitted for approval. Based on all these activities, it was concluded that the internal control system fully complies with the Agency's management standards.

#### III.1.1 Risk Assessment

The Agency performs a risk assessment exercise in line with the methodology developed for EU agencies and bodies. During the risk assessment, the criticality of the risks is established based on their likelihood of occurrence and potential impact. Mitigating actions are developed and agreed with the express purpose of being implemented prior to or during year n. The outcome of the risk assessment exercise serves as input to the planning exercise for the Single Programming Document (SPD); during the subsequent annual risk assessment, the status of the mitigating actions and critical risk are assessed.

The following risks were identified in the SPD 2020-2022. An explanation of the status and of the mitigating actions evolution during the year is provided below:

#### Information Security

**Description:** Partial protection of information managed by the Agency, including third-party information, at an adequate level of security.

**Actions taken:** The Information Security Management (ISM) roadmap, endorsed by the Executive Committee (ExCom), is well on track and entered Phase II (2018/2019), which was successfully completed by the end of June 2019. Phase III started at the end of Q4 2019 (6 December 2019) and its final products were delivered in two steps: EU classified information (EUCI) road map in Q1 2020, followed by ISM awareness material and training end of Q2 2020.

#### Repository of Information (Art. 74)

**Description:** Failure to define, implement, and maintain the Repository of Information as required in Regulation (EU) 2018/1139 (the new 'Basic Regulation').

**Actions taken:** The Agency created a task force with the Member States to ensure appropriate and agreed specifications for the Repository of Information, and to implement an interim technical solution for critical areas, e.g. certain cases of exemptions and unmanned aircraft system (UAS) registration. The task force include legal and data protection officers, as well as representatives from the Information Technology and

Information Management teams. The choice and implementation of the technical solution is also integrated with the CORAL programme. Thanks to these actions, the interim solutions for exemptions and UAS registration were released on time.

### Emergency Management

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**Description:** Lack of or inappropriate response to an emergency/crisis.

**Actions taken:** An emergency management process replaced the former crisis response plan. The emergency management process refers to the crisis communication activities managed by the Communication Department. The emergency management process design was prepared in 2019 and adopted by management in February 2020. The actions taken in 2019 in response to the B-737 MAX event served as a practical exercise, which proved to be very useful in the review of the documentation for the emergency management (EM) process. Furthermore, the COVID-19 crisis provided a basis to test the principles of the EM process resulting as well in the set-up of the COVID group.

### Initial airworthiness and operational suitability, continuing airworthiness and operational suitability, certification-related services

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**Description:** The Agency or its staff is found guilty and/or civil/criminal liability is engaged.

**Actions taken:** The Agency regularly revises procedures and processes, including the Handbook for Design Organisations Approval and Certification, to control and standardise the implementation of certification across Directorates. In addition, mitigation measures to control outsourced tasks are put in place, using a new system to replace the previous accreditations scheme.

### Prepare EASA for BREXIT

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**Description:** Potential disruption of aviation activities.

**Actions taken:** The Agency has been in close cooperation with the European Commission (EC) following the negotiations with the United Kingdom. EASA prepared itself for all eventualities and put in place contingency measures in coordination with the EC (for further details, see the adopted Single Programming Document (SPD) 2020-2023, Chapter IV.19 'Contingency Plan for No Deal Brexit'). The BREXIT scenarios were followed closely in 2020 and follow-up accordingly.

### Information Management

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**Description:** Failure to establish and maintain an integrated, consistent and efficient information management framework. Failure to define ownership of information and agree upon at the Agency level. Inappropriate or lack of documentation/information management system.

**Actions taken:** Information management integrated into the Agency digitalisation and efficiency programme (CORAL/Transformation) to ensure adequate ownership at Agency level and follow-up of risks, issues and actions. Work on the information architecture and tools to support data/information management tested.

### III.1.2 Agency Actions to Prevent Fraud

The Agency has developed its own Anti-Fraud Strategy in the framework of the Commission's Anti-Fraud Strategy, based on an internal risk assessment exercise carried out in accordance with the methodology and guidance of the European Anti-Fraud Office (OLAF). The strategy covers the whole anti-fraud life cycle and is built on key objectives and specific actions tailored to the Agency's environment.

The Agency's Anti-Fraud Strategy aims to complement the Commission's and OLAF's general anti-fraud frameworks and actions by promoting a high level of fraud awareness among the Agency's management and staff and by helping to reduce the potential fraud risks and their impact on the effectiveness and reputation of the Agency.

The Management Board (MB) endorsed the Agency's Anti-Fraud Strategy in 2014. All related actions have been completed. The IAS team conducted an ethics audit in 2018, including the areas of code of conduct, ethics, and fraud; the final audit report was published in 2020. The report concluded that the Agency's management and control systems for fraud prevention, ethics, and conflict of interest are adequately designed, efficient, effectively implemented, and support the Agency in achieving its strategic objectives. However, the report contained some auditors' recommendations on which the Agency started working; implementation of the related actions is expected in 2021.

### III.1.3 Cost & Benefits of Controls

EASA has implemented a number of controls, procedures/processes and tools in order to ensure the legality and regularity of its activities, safeguard the sound financial management of its resources, provide adequate transparency and oversight of key activities/resources to support management decisions as well as maintaining and continuously improving the quality of its outputs.

In comparison to the total human and financial resources of the Agency the balance between effectiveness (including benefits), efficiency and economy of controls is around 3%. Of the 752 Agency staff employed in 2020, 4% were dedicated to the control functions listed in Annex I.5 and of the approx. 160M€ budget of the Agency 3% were invested in the control functions listed in Annex I.5.

The control strategy is therefore considered adequate and in terms of costs proportionate to the risks it serves to mitigate and provides reasonable assurance for that the budget has been effectively implemented, on time and complying with the rules. Nevertheless, the Agency continues to review its internal control procedures and policies to implement improvements, risk management and ensure a proportionate balance between cost of benefits and controls.

For further details please see table in **Annex I.5. Report on Cost & Benefits of Controls** which provides a summary table of the key controls in place at the Agency, summarising their i) Effectiveness (purpose, overall benefits and volume of controls), ii) Efficiency (volume of human resources dedicated to the control) and iii) Economy (cost of the controls).

## III.2 Conclusion of Assessment of Internal Control Systems

The Agency performed the annual assessment of its management standards. The conclusion of this assessment was that the Agency's management system complies with the management standards, thanks to the robust monitoring system that was established at both management and process levels.

## III.3 Statement of the Manager in Charge of Risk Management & Internal Control

I, the undersigned,

Manager in charge of risk management and internal control within the European Union Aviation Safety Agency (EASA),

In my capacity as Manager in charge of risk management and internal control, I declare that in accordance with the Agency's Internal Control Framework, I have reported my advice and recommendations on the overall state of internal control in the Agency to the Executive Director.

I hereby certify that the information provided in the present Consolidated Annual Activity Report and in its Annexes is, to the best of my knowledge, accurate, reliable, and complete.

***Cologne, 18 March 2021***

**Jean-Christophe NICAISE**

**Acting Section Manager — Internal Audit & Assurance of the European Union Aviation Safety Agency**

*Digitally signed through ARES [Document Mgmt. System]*

## Part IV — Management Assurance

### IV.1 Review of the Elements Supporting Assurance

The Agency established and maintains an ISO-certified Integrated Management System (IMS) ensuring that resources and processes are managed and controlled. Processes are described and managed according to the objectives, risks and key performance indicators (KPIs) identified. This includes risks linked to fraud. Through continuous assessments and improvements, the Agency ensures compliance with applicable regulations and a high level of performance. The completeness and effectiveness of the IMS is reviewed once a year through a self-assessment. The results of this assessment are reported to the Directors at the Management Review meeting, where the continuous effectiveness of the system is examined. As part of the Agency's planning and reporting cycle, regular reporting at management level is in place regarding the use of resources, in particular in the fields of human resources and financial activities.

In 2020, controls were exercised through:

- A robust internal audit capability.
- Ex-post and ex-ante controls, exceptions, and delegations of power.
- The ethical committee.
- Regular European Court of Auditors (ECA) and Internal Audit Services (IAS) audits.

Related corrective actions are then followed up as part of the management system. In summary, all information reported in Parts II and III stems from the:

- Assurance given by the Agency management.
- Results of the internal-control self-assessment of EASA management standards.
- Audit results of the EASA internal audit capability.
- Results of the European Commission Services and ECA audits and implementation of the measures to address weaknesses identified.
- Reporting on exceptions and preventive/corrective actions implemented.
- Mitigating measures implemented, following the annual risk assessment exercise.
- Ex-ante and ex-post controls.
- The annual Management Review letter signed by the Agency's Accounting Officer together with the Executive Director.

### IV.2 Reservations

Based on the information and the materiality criteria provided above, no reservations are made.

## IV.3 Overall Conclusions on Assurance

In conclusion, the management has reasonable assurance that, overall:

- Suitable controls are in place and working as intended.
- Risks are being appropriately monitored and mitigated.
- Necessary improvements and reinforcements are being implemented.
- The Executive Director, in his capacity as Authorising Officer, signed the Declaration of Assurance without reservation.



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## Part V — Declaration of Assurance

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I, the undersigned, Patrick KY, Executive Director of the European Union Aviation Safety Agency, in my capacity as Authorising Officer,

Declare that the information contained in this report gives a true and fair view.

State that I have reasonable assurance that the resources assigned to the activities described in this report have been used for their intended purpose and in accordance with the principle of sound financial management, and that the control procedures put in place give the necessary guarantees concerning the legality and regularity of the underlying transactions.

This reasonable assurance is based on my own judgement and on the information at my disposal, such as the results of the EASA management standards self-assessment, exceptions analysis, ex post controls, risk assessment, the work of the Internal Audit Capability, the observations of the Internal Audit Service (IAS) and the lessons learned from the reports of the European Court of Auditors (ECA) on years prior to the year of this declaration.

Confirm that I am not aware of anything not reported that could harm the interests of the Agency.

***Cologne, 7<sup>th</sup> May 2021***

*Digitally signed through ARES [Document Mgmt. System]*

**Patrick KY**

**Executive Director of the European Union Aviation Safety Agency**

# Annexes

## I. Core Business Statistics

### I.1. Key Performance Indicators (KPIs)

In line with the KPIs and targets set in the SPD 2020-2022 to measure the performance of EASA's key activities, the below tables provide an overall summary per key activity of the result as well as the detailed results per indicators including comments in case of non-achieved targets using the following calculation:

Legend			Result 2020
	Achieved	Otherwise	<b>63%</b>
	Partially Achieved	5-15 % below target / 2 indicators red or >30% of indicators red/yellow/grey	<b>20%</b>
	Cancelled/Not Achieved	>15% below target / >30% indicators red	<b>5%</b>
	Postponed	In light of COVID – activities postponed to 2021 or not comparable	<b>12%</b>

## Summary Table

Activity	Result 2018	Result 2019	Result 2020
Safety Intelligence & Performance			
Product Certification			
Organisation Approvals			
Third Country Operators			
Standardisation			
EU Ramp Inspection Programme	N/A		
International Cooperation			
Rulemaking			
Applicant Services			
Transversal and Enabling Activities			

## Detailed 2020 KPI Results

## Safety Intelligence &amp; Performance

Performance indicators	Description	Result 2018	Result 2019	Target 2020	Result 2020	Comment 2020
Timely processing of occurrence reports	Percentage of occurrence reports processed within five working days, whereas the average processing time is equal to or below 4	96%/3.1 days	80%/4.1 days	≥85%/≤4 days	62%/6.8 days	 Significant challenges to meet KPI due to availability of resources, workload impact from Article 64/65 and migration from IORS to SDM technical solution. Improvement expected in 2021 results.
Accuracy of technical owner allocation	Accurate allocation of occurrence report to technical owner, at first attempt	98%	98.5%	≥95%	99.8%	
Timeliness to answer safety recommendations	% of first replies provided within 90 days	100%	100%	≥97.5%	94.4%	 Technical issue led to more lengthy response to 2 SRs.
Productivity and Quality of Safety Analysis process and SRM Process:	1. Analysis of safety issues Number of Safety Issues Analysis or Outcomes of D4S directed Study documents presented and endorsed by the SRP.	4 items	4 items	≥4	4 items & Publication of ASR	
Implementation Safety Promotion Programme	% of completion and execution of the Annual Domain safety promotion plans (deliverables and publication)	100%	100%	≥80%	100%	
Safety Promotion Resource Engagement	The number of FTEs spent on safety promotion actions	Achieved	8,7 FTE	9,7 FTE	9,4 FTE	

Timely execution of committed research projects	# research projects decided to be launched in N, towards the end of N-1 vs. # research projects launched in N	50%	Below target	100%	100%		
Processing of requests for participation in external research projects	Percentage of external requests answered within two weeks	New KPI	76%	≥80%	100%		
Research Expert Engagement	Measures the volume of effort dedicated to external research projects (cross-services). Percentage of cross services hours provided in relation to SPD target hours	1.4 FTE	3.5 FTE	≥9 FTE	4.1 FTE		Level of expert involvement not able to be realised, but projects were not negatively impacted. Target adjusted accordingly in SPD 2021-2023.

### Product Certification

Performance indicators	Description	Result 2018	Result 2019	Target 2020	Result 2020		Comment 2020
Initial Airworthiness (IAW) performance rate	Actual time (hours) spent per main project category as % of the planned hours	88 %	89%	95-105 %	101%		
Airworthiness Directives deficiency rate	% of Airworthiness Directives (AD) issued that require non-substantive corrections	4 %	4.3%	≤ 5 %	3.2%		
Continuing Airworthiness (CAW) predictability time	Technical working hours performed on CAW compared to planned CAW hours (in the reporting period)	110 %	95%	≥ 90 %	100%		
Occurrences backlog monitoring rate	Number of occurrences closed by CT staff in one period as % of incoming occurrences over the same period	110 %	77%	90-110 %	114%		

Technical acceptance of occurrences timeliness	Time until 'technical acceptance' of incoming occurrences by technical staff. technical acceptance = start of investigation	10 days	13 days	≤ 10 days	7 days		
Timeliness of certification support for validation of products	'Time of 'Forwarding letters' sent to Third Country Authorities not above 20 working days after the project allocation	64 %	67%	≥ 71 %	71%		Further analysis of the KPI data is underway. An internal taskforce has been established to address/implement any mitigating measures for the future.

### Organisation Approvals

Performance indicators	Description	Result 2018	Result 2019	Target 2020	Result 2020		Comment 2020
Timely approval of Design Organisation (DOA) continuation	Rate of 3rd year annual surveillance reports approved within 2 months after the due date	New KPI	97%	≥95%	82.3%		Delays experienced as a result of the COVID-19 crisis.
Timely approval of Organisation continuation	Rate of continuation recommendations issued within 2 months after the due date	93%	95.4%	≥90%	95%		
On time closure of Organisation Approvals (OA) findings	Ensure OA compliance with target dates: % of findings closed within the applicable deadlines. Deadlines are defined by the regulations and vary according to the findings	91%	89.5%	≥80%	91%		

## Third Country Operators

Performance indicators	Description	Result 2018	Result 2019	Target 2020	Result 2020	Comment 2020
Review authorised TCOs as planned	Rate of authorised TCOs due for periodic review actually processed	New KPI	99.5%	≥90%	95%	
Timely validation/completion of Third-Country Operator applications	Rate of Initial Applications not requiring further assessment authorised within 30 days	87.5%	80%	≥80%	100%	
Timely closure of the TCO findings of authorised operators according to the agreed CAP implementation due date	For authorised operators not subject to enforcement measures, rate of the corrective actions closed within the agreed deadline (initial or revised)	New KPI	New KPI	≥80%	96%	

## Standardisation

Performance indicators	Description	Result 2018	Result 2019	Target 2020	Result 2020	Comment 2020
Efficient and robust Standardisation (yearly)	5% year-on-year decrease of the total number of findings raised against Regulations that have been applicable for more than 2 years	-24%	-17%	≤-5%	67%	 Only 1/3 of planned standardisation inspections could take place in 2020 due to the COVID-19 crisis, the nr. of findings raised therefore dropped dramatically compared to the previous year. The KPI for 2020 is not representative.
Control of overdue Standardisation findings	Maximum 20% of findings without supplementary reports after 6	17%	17.1%	≤20%	35%	 Due to the crisis several activities postponed to relieve the pressure on Competent Authorities.

	months from the date they became overdue						
Timely issuance of Standardisation reports	90% of standardisations report due shall be issued 10 weeks after the standardisation visit	89%	92.2%	≥90%	86%		Due to the crisis Competent Authorities were allowed additional time to provide comments to reports therefore delaying the time to usance final report.

### EU Ramp Inspection Programme

Performance indicators	Description	Result 2018	Result 2019	Target 2020	Result 2020	Comment 2020
Timely issuance of data analyses to Participating States	Timely preparation and issuance of periodic analyses of ramp inspection data to all Participating States at least twice per year in accordance with the defined calendar	New KPI	100% on time	100% on time	100% on time	

### International Cooperation

Performance indicators	Description	Result 2018	Result 2019	Target 2020	Result 2020	Comment 2020
Timely progression on Working Arrangements	% of WAs concluded/amended compared to annual planning	On track	On track	≥80%	66.6%	 Significant challenges and delays experienced due to the COVID-19 crisis. Nevertheless, 4 new WAs signed in 2020 with Colombia, South Korea, Qatar & Japan, and the Singapore WA amended. Work continues in 2021.

Timely progression on Bilateral Agreements	% of EASA's tasks and actions related to BASA negotiations finalised within planned timeframe	Below Target	On track	≥90%	100%		
Timely implementation of technical support to 3rd countries	Implementation rate of the specific activities of the Work Plan	94%	90%	≥80%	80.3%		Despite significant challenges and delays experienced due to the COVID-19 crisis, the target was achieved. Nevertheless, work will continue into 2021 to recover any delays.
Quality of delivered projects based on stakeholder feedback	Average score of all completed feedback forms, on scale from 0 to 7, where 7 is the best score possible	New KPI	6.54	≥ 5 on scale of up to 7	6.5		
Timely provision of recommendations on ICAO State Letters for use by Member States (MS)	% of State Letters recommendations provided on time	Below Target	100%	≥90%	100%		
Timely delivery of compliance checklists for use by MS	Timely delivery of Compliance Checklists	Delayed	Delayed	Updated compliance checklists for 2 ICAO Annexes per year	Updated compliance checklists for 11 ICAO Annexes		

## Rulemaking

Performance indicators	Description	Result 2018	Result 2019	Target 2020	Result 2020		Comment 2020
Timely Progress on Rulemaking Programme	Measures if number of publications for Opinions, Decisions and NPAs are in line with planned number of publications. 1. Opinions planned vs actuals 2. Decisions <sup>2</sup> planned vs actuals 3. NPAs planned vs actuals	100% 57% N/A	100% 81% 59%	≥80% ≥80% ≥80%	80% 58% 80%		Several actions delayed due to COVID-19 to relieve pressure on the industry and overall system.
Rulemaking Process Efficiency	1. Average time with standard procedure 2. Average time with Art.15/16 3. Average time at the EC	3.1 years (avg.)	3.5 years 1.7 years 1.9 years	≤3.5 years ≤1.5 years n/a	3.2 years 1.16 years 1.7 years		
Best Intervention Strategy (BIS) Coverage	At the programming level, almost all actions to be supported by impact assessment in the Best Intervention Strategy	78%	100%	≥95%	100%		
Number of evaluations published yearly	Cover domains with ex-post evaluations of rules	2	New KPI	≥1	1 initiated		Evaluation report publication expected in Q1 2021.
Timely answer to exemption requests (as defined by regulation)	Exemptions and derogations notifications are processed in a timely manner and subsequent safety recommendations ensure business continuity at appropriate safety levels	88%	83.6%	≥ 90%	97.2%		

<sup>2</sup> This includes Decisions stand alone and Decision CS. Decision pending IR are excluded.

## Applicant Services

Performance indicators	Description	Result 2018	Result 2019	Target 2020	Result 2020	Comment 2020
Typical processing times met	Measures the percentage of applications that are completed within the typical processing time communicated to the applicant (date of submission to date of issuance of certificate)	New KPI	Achieved	65%	65%	
Actual outsourced hours performed compared to target	Measures the percentage of the workload allocated to national aviation authorities that is delivered within the period compared to the partnership targets	New KPI	Achieved	95%	87%	 Outsourced activities impacted by COVID-19 crisis and several tasks insourced.
Applications received online	Measures the percentage of all applications submitted through the web portal	New KPI	90%	80%	87%	

## Transversal and Enabling Activities

Performance indicators	Description	Result 2018	Result 2019	Target 2020	Result 2020		Comment 2020
Technical training days per staff member per year	Implementation of service targets as specified in the training plan	New KPI	Below target	≥90%=≥1538 days	77%=1316 days in total		Travel restrictions and direction by senior management to focus on web-based delivery methods and as regards procured trainings, to focus on essential training activities, meant that the volume of classroom training was limited.
Trainee satisfaction	Level of satisfaction with provided training services (measured on a scale from 1 to 5, 5 = excellent)	New KPI	4.3	≥3.8	4.2		
Occupancy rate (fulfilment of the establishment plan at end year – yearly reporting)	Ensure usage of Statutory Temporary Agent posts in line with ED directive	98%	96.5%	≥98%	94.3%		In light of the COVID-19 crisis and conservative spending plan, the number of external recruitments were limited leading to a decreased occupancy.
Turnover rate	Numbers of statutory staff voluntary leaving the Agency, as a percentage of total statutory staff (yearly reporting)	4.6%	2.5%	≤5%	1.3% for TAs; 1.2% for TAs and CAs		
Staff Engagement survey (triennial) employee engagement score	Staff Engagement measured by combining the responses to the questions: - I would recommend EASA as an employer to a friend or family member; - I intend to still be working for the Agency in 12 months' time; - I see myself having a long-term perspective at EASA; - I am highly motivated in my current job;	68% (2016)	76%	n/a	n/a	n/a	Survey only every 3 years.

	- I go beyond what is normally required in my job for the Agency to succeed.						
Sick Leave (annually)	Annual average days of short-term sick leave per staff member (yearly reporting)	9.2%	8.9 days	≤9%	7.7 days		
Operational cost of legacy services vs. Total operational IT costs	Share of operational costs devoted to legacy systems should be progressively reduced in favour of the new digital platforms		New KPI	85%	Not available		The pool of legacy IT services is still under definition. Consequently, the share of cost of IT legacy services operations against the total cost of IT services operations cannot yet be calculated. The KPI will be measured in 2021.
IT achievement of Service Level Agreement (SLA)	Level of completion (%) of IT targets/services as per SLAs.	89%	86%	≥90%	80%		
Budget committed	% of budget committed at budget closure. Calculated exclusively on C1 appropriations. EC Target >95%	99%	97%	≥95%	98.97%		
Carried over commitments	% of carried over commitments (C8) not paid by budget closure. EC Target not more than 5%	2%	3.7%	≤2.5%	5.46%		High volume of cancelled appropriations directly attributable to COVID-19 crisis.
Reaction time to health incidents reported to EASA security/LSO from time of report of incident until first reaction (e.g. arrival of internal paramedic on site)	Reaction time to health incidents is less than 5 minutes	New KPI	New KPI	Max 5 min	Within 5 min		
Percentage of overall mission claims paid within 30 days	More than 75 % of mission claims are reimbursed within 30 days	New KPI	New KPI	>75%	63%		Volume of travel impacted by COVID-19 crisis -2020 KPI result lacks comparability to previous years.

Number of non-conformity against the ISO standards	% of critical and very important audit recommendations implemented within 6 months from the original implementation date defined	0%	0%	0%	0%		
Corrective action closure rate of Audit findings	Captures the number of non-conformities documented by external ISO auditors and/or internal auditors	100%	80%	80%	79%		
ECQB: number of newly developed questions and of amendment reports issued to NAAs regarding reviewed existing questions per year	Number of questions actually newly developed, compared to the number of to-be questions to be newly developed, as defined in the work plan; and; Number of amendment reports actually issued compared to the number of planned amendment reports	New KPI	98%	≥90%	97%		

## I.2. Decisions, Opinions & Notices of Proposed Amendment (NPAs) in 2020

### (a) Executive Director Decisions (EDD)

Title of official publication	Task number	Task title	Affected stakeholders
EDD 2020/001/R	RMT.0049	Specific risk and standardised criteria for conducting aeroplane-level safety assessments of critical systems	DAHs
EDD 2020/001/R	RMT.0570	Reduction of runway excursions	Air Operators, POA holders, applicants for TC/STC
EDD 2020/002/R	RMT.0251 Phase I	Embodiment of safety management system requirements into Commission Regulations (EU) Nos 1321/2014 and 748/2012	CAMOs, AMOs (Part-145), POA holders, DOA holders, ETSOA holders and CAs
EDD 2020/002/R	RMT.0276	Technical records	Air operators, CAMOs and AMOs (Part-145 and Part-M Subpart-F)
EDD 2020/002/R	RMT.0281	New training/teaching technologies for maintenance staff	Maintenance training organisations (MTOs), MOs, CAMOs, and NAAs
EDD 2020/002/R	RMT.0352	Non-commercial operations of aircraft listed in the operations specifications (OpSpecs) by an AOC holder	CAT Operators
EDD 2020/002/R	RMT.0393	Maintenance check flights	Operators, CAMOs, and AMOs (Part-145 and Part-M Subpart-F)
EDD 2020/002/R	RMT.0547	Task force for the review of Part-M for General Aviation (PHASE II)	AMOs (Part-145 and Part-M Subpart F), CAMOs, operators other than airlines, GAs and CAs
EDD 2020/003/R	RMT.0654	Revision of the balloon licensing requirements	Balloon operators, pilots, flight instructors and flight examiners, CAs and DTOs
EDD 2020/004/R	RMT.0701	Revision of the sailplane licensing requirements	Sailplane operators, pilots, flight instructors, flight examiners, ATOs and DTOs
EDD 2020/005/R	RMT.0188	Update of flight crew licensing implementing rules	Flight examiners, instructors, pilots, ATOs and DTOs
EDD 2020/006/R	RMT.0648	Aircraft cybersecurity	Applicants for TC/STC for large aeroplanes or large rotorcraft
EDD 2020/007/R	RMT.0464	Requirements for air traffic services	MSs, CAs, ANSPs, ATCOs, ADR operators, aircraft operators, pilots and trade unions
EDD 2020/007/R	RMT.0703	Runway safety	Aerodrome operators, AOC holders, GA, ANSPs and CAs
EDD 2020/008/R	RMT.0445	Technical requirements and operating procedures for airspace design, including flight procedure design	MS, CAs, ANSPs, aerodrome operators and air operators

EDD 2020/008/R	RMT.0477	Technical requirements and operational procedures for aeronautical information services and aeronautical information management	MSs, CAs, ANSPs, ADR operators and air operators
EDD 2020/008/R	RMT.0719	Regular update of air traffic management/air navigation services rules (IRs and AMC & GM)	ATM/ANS service providers, network manager, aircraft operators, CAs
EDD 2020/009/R	RMT.0589	Rescue and firefighting services (RFFS) at aerodromes	CAs, ADR operators
EDD 2020/010/R	RMT.0561	Update of AMC-20 — in-flight entertainment (IFE), harmonisation of safety and software criteria	AOC holders, POA holders of aircraft and equipment
EDD 2020/010/R	RMT.0643	Regular update of AMC-20	Manufacturers, maintenance organisations and air operators
EDD 2020/011/R	RMT.0457	Regular update of CS-ETSO	Design and production organisation
EDD 2020/012/R	RMT.0499	Regular update of CS-MMEL	Design organisations of complex motor-powered aircraft and other design organisations dealing with changes or supplemental type certificates to these aircraft, Design organisations of other-than-complex motor-powered aircraft
EDD 2020/013/R	RMT.0581	Loss of control prevention and recovery training	Pilots, instructors, flight examiners, ATOs and Air Operators
EDD 2020/014/R	RMT.0679	Revision of surveillance performance and interoperability (SPI)	Member States, CAs, ANSPs, aircraft operators and Air Traffic Controllers.
EDD 2020/015/R	RMT.0508	Regular update of CS-CCD	Design organisations of complex motor-powered aircraft and other design organisations dealing with changes or supplemental type certificates to these aircraft.
EDD 2020/016/R	RMT.0703	Runway safety	Aerodrome operators, AOC holders, GA, ANSPs and CAs
EDD 2020/017/R	RMT.0464	Requirements for air traffic services	MSs, CAs, ANSPs, ATCOs, ADR operators, aircraft operators, pilots and trade unions
EDD 2020/018/R	RMT.0677	Easier access of general aviation (GA) pilots to instrument flight rules (IFR) flying	Pilots, instructors, flight examiners and ATOs, ANSPs
EDD 2020/019/R	RMT.0106	Certification specifications and guidance material for maintenance certifying staff type rating training	DAHs, maintenance personnel, approved maintenance training organisations (Part-147) and CAs
EDD 2020/020/R	RMT.0719	Regular update of air traffic management/air navigation services rules (IRs and AMC & GM)	ATM/ANS service providers, network manager, aircraft operators, CAs

EDD 2020/021/R	RMT.0485	Requirements for the provision of apron management services at aerodromes	Aerodrome operators, ANSPs, AOC holders and CAs
EDD 2020/022/R	RMT.0730	Regular update of the AMC & GM to Regulations (EU) 2019/945 & 2019/947 (drones in the 'open' and 'specific' categories) BVLOS Ops in urban environment	UAS operators (private and commercial); competent authorities; flight crews; remote pilots; maintenance staff; design and production organisations; other airspace users (manned aircraft); service providers of air traffic management/air navigation services (ATM/ANS) and other ATM network functions; air traffic services (ATS) personnel; aerodrome operators; general public; model aircraft associations
EDD 2020/023/R	RMT.0225	Development of an ageing aircraft structure plan	Air operators and POA holders
EDD 2020/023/R	RMT.0570	Reduction of runway excursions	DAHs and operators
EDD 2020/023/R	RMT.0070	Additional airworthiness specifications for operations: fire hazard in Class D cargo compartments	Air Operators, POA holders, applicants for TC/STC
EDD 2020/024/R	RMT.0249	Installation and maintenance of recorders — certification aspects	Operators (of aircraft required to be equipped with flight recorders), POA holders and DOA holders
EDD 2020/024/R	RMT.0586	Tyre pressure monitoring system	Aeroplane Operators
EDD 2020/024/R	RMT.0673	Regular update of CS-25	Large aeroplane DAHs

## (b) Opinions

Title of official publication	Task number	Task title	Affected stakeholders
01/2020	RMT.0230	Introduction of a regulatory framework for the operation of drones	Member States, UAS operators (individuals and organisations), UAS manufacturers, manned aviation community, model aircraft community, ATM/ANS service providers, U-space service providers, ADR operators, all airspace users
02/2020	RMT.0573	Fuel/energy planning and management	AOC holders
03/2020	RMT.0514	Implementation of the latest CAEP amendments to ICAO Annex 16 Volumes I, II and III	DOA and POA holders
04/2020	RMT.0251 Phase II	Embodiment of safety management system requirements into Commission Regulations (EU) Nos 1321/2014 and 748/2012	AMOs (Part-145), POA holders, DOA holders, ETSOA holders and Competent Authorities

## (c) NPAs

Title of official publication	Task number	Task title	Affected stakeholders
NPA 2020-01	RMT.0673	Regular update of CS-25	Large aeroplane DAHs
NPA 2020-02	RMT.0379	All-weather operations	POA holders, air operators, ATOs, ADR operators and ATM/ANS
NPA 2020-03	RMT.0400	Amendment of requirements for flight recorders and underwater locating devices	Aircraft operators and POA holders
NPA 2020-04	RMT.0031	Regular update of AMC & GM to Part 21	Design and production organisations, CAs, the Agency (on a case-by-case basis)
NPA 2020-05	RMT.0586	Tyre pressure monitoring system	Aeroplane Operators
NPA 2020-06	RMT.0514	Implementation of the CAEP amendments	DOA and POA holders
NPA 2020-07	RMT.0730	Regular update of the AMC & GM to Regulations (EU) 2019/945 & 2019/947 (drones in the 'open' and 'specific' categories)	UAS operators (private and commercial); competent authorities; flight crews; remote pilots; maintenance staff; design & production organisations; other airspace users (manned aircraft); service providers of air traffic management/air navigation services (ATM/ANS) and other ATM network functions; air traffic services (ATS) personnel; aerodrome operators; general public; model aircraft associations
NPA 2020-08	RMT.0509	Regular update of CS-FCD	Design organisations of aircraft and other design organisations dealing with changes or supplemental type certificates to these aircraft
NPA 2020-09	RMT.0643	Regular update of AMC-20	Manufacturers, maintenance organisations and air operators
NPA 2020-10	RMT.0591	Regular update of aerodrome rules	Aerodrome operators, CAs
NPA 2020-11	RMT.0673	Regular update of CS-25	Large aeroplane DAHs
NPA 2020-12	RMT.0255	Review of Part-66	Aircraft maintenance licence (AML) holders, approved maintenance training organisations (AMTOs), approved maintenance organisations (AMOs) and CAs.
NPA 2020-13	RMT.0037	Regular update of CS-22	Sailplane and powered sailplane manufacturers and other design organisations dealing with supplemental type certificates (STCs), repairs or changes to sailplanes or powered sailplanes.
NPA 2020-14	RMT.0678	Simpler, lighter and better flight crew licensing requirements for general aviation	Pilots, flight examiners and CAs, ATOs, DTOs
NPA 2020-15	RMT.0196	Update of flight simulation training device requirements	Air operators, ATOs, DTOs, pilots, instructors and flight examiners
NPA 2020-16	RMT.0120	Helicopter ditching and water impact occupant survivability	DAHs and helicopter operators

### I.3. Studies & Research Projects

The following table provides the list of research projects completed, continued, or initiated by EASA in 2020:

Title	Main area	Short description	Budget (€) Duration (m)	Status
<b>Safe transport of lithium batteries by air</b>	Commercial transport	Study a series of mitigating measures that can be used to enhance safety when transporting lithium-metal and lithium-ion batteries on board an aircraft.	1 000 K€ (EC) 26 Months	Completed
<b>DESIRE</b>	Commercial transport	Evaluate the effects of unmanned aircraft system (UAS) strikes to aircraft structures by analytical and experimental means.	17 K€ (BMBF) 19	Ongoing
<b>CERTEST</b>	Commercial transport	Enable lighter, more cost- and fuel-efficient composite aerostructures by providing the scientific foundations for a new approach to integrated high-fidelity structural testing, multiscale modelling, and 3D product quantification.	30 K€ (EPSRC) 52 Months	Ongoing
<b>Helicopter underwater evacuation</b>	Commercial transport	Perform an initial review of the available research data on underwater escape from helicopters, as well as an assessment of the feasibility of performing further focussed research to correct any shortfalls that may be identified in the initial review.	50 K€ (EASA) 11 Months	Completed
<b>PAFA-ONE</b>	Commercial transport	Plug&Fly Avionics: Foundations for safe and qualified self-organization	36 K€ (LUFO) 46 Months	Ongoing
<b>VICKI</b>	Commercial transport	Virtual Crew Assistant – context-sensitive assistance for reduced crew operations through artificial intelligence	60 K€ (LUFO) 43 Months	Ongoing
<b>Flight Instruction OBIS concept</b>	Commercial transport	Provision of an independent assessment of training delivered from outside a Flight Simulation Training Device (FSTD) using an Off-Board Instructor Operating Station (OBIS)	125 K€ (EASA) 11 Months	Ongoing
<b>DAP Ramp Inspection</b>	New technologies	Provision of Data Analytics services by the Data Analytics Provider for assessing the data analysis methodology used in the ramp inspection programme and provide suggestions for improvements to address the flaws in the current methodology.	59 K€ (EASA) 11 Months	Ongoing

In addition, EASA developed or continued a series of partnerships with the following EU-funded projects (**Horizon 2020 Programme**):

Title	Main area	Short description	EASA bud (€) Duration (m)	Status
<b>SARAH</b>	Commercial transport	Achieve increased safety and robust certification for aircraft ditching.	13K€ 36 Months	Completed
<b>MAHEPA PVS</b>	General Aviation (GA)	Use a modular approach to hybrid electric propulsion architecture (GA).	120K€ 20 Months	Ongoing
<b>ICARe</b>	Cross-domain	Develop a research cooperation platform for aviation with third countries.	80K€ 36 Months	Completed
<b>OPTICS2</b>	Cross-domain	Create an observatory of safety and security research for aviation.	140K€ 48 Months	Ongoing
<b>ENGAGE</b>	Cross-domain	Organise networking actions to improve the linkage between exploratory research in air traffic management (ATM), operational needs, and transport policies	37K€ 48 Months	Ongoing
<b>MUSIC-haic</b>	Commercial transport	Develop advanced icing numerical simulation tools to be used both as design tools to anticipate and reduce ice crystal icing (ICI) hazards, and as acceptable means of compliance (AMC) during the certification process.	22K€ 48 Months	Ongoing
<b>ACASIAS</b>	Commercial transport	Develop advanced concepts for aerostructures with multifunctional capabilities, i.e. embed sensors and antennas into typical structures of aircraft (e.g. fuselage panels, winglets, and tails).	15K€ 36 Months	Completed
<b>ICE GENESIS</b>	Commercial transport	Provide the European aeronautical industry with a validated new generation of 3D icing engineering tools (numerical simulation tools and upgraded test capabilities).	48K€ 42 Months	Ongoing
<b>SAFEMODE</b>	Commercial transport	Strengthen synergies between aviation and the maritime sector in the area of human factors to achieve a more efficient and resilient mode of transportation.	77K€ 36 Months	Ongoing
<b>AVIATOR</b>	Commercial transport	Use a multilevel measurement, modelling, and assessment approach to develop an improved description and quantification of relevant aircraft engine emissions, and their impact on air quality in and around airports under different climatic conditions.	70K€ 35 Months	Ongoing
<b>RAPTOR</b>	Commercial transport	Bring together a consortium of world leading interdisciplinary experts in the fields of measurement, modelling, and health to assess the synergy of the current and potential future impacts of aircraft non-volatile particulate matter (nvPM), and provide robust support to key stakeholders, going beyond the current Committee on Aviation Environmental Protection (CAEP) cycle.	11K€ 22 Months	Ongoing

<b>TRANSCEND</b>	Commercial transport	Provide an assessment of the environmental impact at aircraft and air transport levels of alternative energy sources and novel propulsion technology for aircraft with entry-into-service before 2050.	6K€ 27 Months	Ongoing
<b>FMCD</b>	Commercial transport	Develop a new locking and latching mechanism for cargo doors (SAAB AKTIEBOLAG).	25K€ 44 Months	Ongoing
<b>ROCS</b>	Commercial transport	Define guidelines for generating rotorcraft certification data through flight simulation.	93K€ 35 Months	Ongoing
<b>EC-EASA Contribution Agreement Research</b>	Cross-domain	Implementation of the Entrusted Tasks identified under the European Framework for Research and Innovation (the entrusted tasks'). Notably, tasks identified under the 2018-Programme 2020 Work programme (Commission Implementing Decision C(2019)4575) implementing the Horizon 2020 Specific Programme: Actions relating to aviation safety research to prepare future regulation within the specific objective "Other Actions" of Part 11 "Smart, green and integrated transport".	13M€ 84 Months	Ongoing

## I.4. Procurement Procedures

The following table provides the list of the procurement procedures that were either Launched and/or finalised in 2020:

TYPE OF PROCEDURE	REFERENCE OF PROCEDURE	TYPE & DESCRIPTION OF CONTRACT	CONTRACT VOLUME	CONTRACTOR	DATE OF SIGNATURE & DURATION (Years)
OPEN	EASA.2019.HVP.08	<b>FWC - H2020 LOT 1: ASSESSMENT OF ENVIRONMENTAL IMPACTS FRAMEWORK CONTRACT – RESEARCH ON CHARACTERISTICS OF AIRCRAFT ENGINE EMISSIONS</b>	0,9M€	Instituto Nacional de Tecnica Aeroespacial Esteban Terradas (INTA) (consortium leader)	23/09/2020 (4Y)
		<b>FWC - H2020 LOT 2: ASSESSMENT OF ENVIRONMENTAL IMPACTS FRAMEWORK CONTRACT – RESEARCH ON ASSESSING THE NOISE OF ROTOCRAFT AND NOVEL TECHNOLOGY</b>	0,9M€	Stichting Nationaal Lucht- en Ruimtevaartlaboratorium (NLR) (consortium leader)	27/05/2020 (4Y)
		<b>FWC - H2020 LOT 3: ENVIRONMENTAL IMPACT MITIGATION FRAMEWORK CONTRACT – ENHANCED CAPABILITY TO ASSESS POLICY- MEASURES</b>	0,55M€	Stichting Nationaal Lucht- en Ruimtevaartlaboratorium (NLR)	27/05/2020 (4Y)
OPEN	EASA.2019.HVP.09	<b>DC - H2020: Vulnerability of manned aircraft to drone strikes</b>	1.795M€	QinetiQ Limited	03/06/2020 (3Y)
OPEN	EASA.2019.HVP.17	<b>DC – H2020 PROJECT: INTEGRITY IMPROVEMENT OF ROTORCRAFT MAIN GEAR BOX (MGB)</b>	1.7M€	ZF Luftfahrttechnik GmbH	16/06/2020 (2.7 Y)
OPEN	EASA.2019.HVP.18	<b>DC - H2020: Helicopter Off-Shore Operations – New flotation systems</b>	1.475M€	DART Buyer Inc. d/b/a DART Aerospace Ltd	25/06/2020 (3Y)
NEGOTIATED	EASA.2019.HVP.19	<b>FWC - NAA support to EASA International Cooperation activities</b>	9.4M€	Agencia Estatal de Seguridad Aérea, AESA	08/07/2020 (5Y)
				Austro Control Gesellschaft für Zivilluftfahrt mit beschränkter Haftung	
				Direction Generale De L'Aviation Civile (DGAC)	
				Croatian Civil Aviation Agency	
				Enre Nazionale Aviazione Civile - E.N.A.C	
UK CAA - TERMINATED	Terminated 31/12/2020				

TYPE OF PROCEDURE	REFERENCE OF PROCEDURE	TYPE & DESCRIPTION OF CONTRACT	CONTRACT VOLUME	CONTRACTOR	DATE OF SIGNATURE & DURATION (Years)
OPEN	EASA.2019.HVP.21	<b>FWC - Lot 1:</b> Provision of expertise and services in the design, development and deployment of new IT capabilities (“Expanding services”)	14.9M€	Altia Consultores S.A.	26/08/2020 (4Y)
				e-KARE (Cegeka Groep NV, Serco Services GmbH)	26/08/2020 (4Y)
				THREE4EASA (FinCons SPA, Bilbomatica SA, Seidor Consulting S.L.)	26/08/2020 (4Y)
				Intrasoft International SA, IRIS Solutions & Experts SA	26/08/2020 (4Y)
		<b>FWC - Lot 2:</b> Provision of expertise and services in the operation and maintenance of running IT capabilities (“Running services”)	13.2M€	Consortium Exepide (I.R.I.S. Solutions & Experts S.A., Intrasoft International S.A., Engineering Belgium)	26/08/2020 (4Y)
				e-KARE (Serco Services GmbH, Cegeka Groep NV)	
Trasys International EEIG, AxiansEU Digital Solutions	26/08/2020 (4Y)				
OPEN	EASA.2019.HVP.25	<b>FWC - Lot 1:</b> Strategic & Business Management Consultancy – Transformation Partner	12M€	McKinsey Solutions SPRL	10/06/2020 (4Y)
				BearingPoint GmbH	
				Deloitte Consulting & Advisory CVBA	
		<b>FWC - Lot 2:</b> Strategic & Business Management Consultancy Services – Management Consultancy Partner	3M€	McKinsey Solutions SPRL (Consortium leader)	21/07/2020 (4Y)
				Cylad Consulting	
				Deloitte Consulting & Advisory	
				Horváth & Partner GmbH	
				The Boston Consultancy Group GmbH	
NEGOTIATED	EASA.2019.HVP.27	<b>FWC - IT Services – Maintenance, Operation, Security &amp; Architecture (ITMOA)</b>	3M€	TRASYS International EEIG	30/01/2020 (1.5 Y)
OPEN	EASA.2020.HVP.02		1M€	Amazee Labs AG	11/11/2020

TYPE OF PROCEDURE	REFERENCE OF PROCEDURE	TYPE & DESCRIPTION OF CONTRACT	CONTRACT VOLUME	CONTRACTOR	DATE OF SIGNATURE & DURATION (Years)
		<b>FWC</b> - Digital Content Management Services, user experience, graphic design, advice and deployment of digital marketing solutions		E-WORX SA	(4Y)
NEGOTIATED	EASA.2020.HVP.05	<b>DC</b> - FM Agreement for the Brussels Office	0,044M€	AIMRE	28/04/2020 (No Term)
OPEN	EASA.2020.HVP.10	<b>FWC</b> - Lot 1: Support to EASA international cooperation activities - Aviation related consultancy	21,6M€	Bureau Veritas Exploitation (Consortium leader)	10/12/2020 (4Y)
				EGIS AVIA (Consortium leader)	
				NTU INTERNATIONAL A/S (Consortium leader)	
		<b>FWC</b> - Lot 2: Support to EASA international cooperation activities - event management, promotion and logistics	18,4M€	Cecoforma (Conception, Etudes et Cooperation de Formation)	10/12/2020 (4Y)
				NTU INTERNATIONAL A/S (Consortium leader)	
OPEN	EASA.2020.HVP.15	Conflict Zones Platform	0,15M€	Sora Risk Solutions Limited t/a Osprey Flight Solutions	10/12/2020 (1Y)
NEGOTIATED	EASA.2019.MVP.09	<b>FWC</b> - Aviation Safety Database - subscription	0,13M€	Reed Business Information Limited (CIRIUM)	06/03/2020 (4Y)
OPEN	EASA.2020.HVP.02	<b>FWC</b> - Lot 2: Video productions	0,8M€	* Evaluations ongoing or contracts pending award/signature	
OPEN	EASA.2020.HVP.04	<b>FWC</b> - Framework contract ASSESS III	1,5M€	* Evaluations ongoing or contracts pending award/signature	
OPEN	EASA.2020.HVP.07	<b>FWC</b> - Lot 1: Banking services for day to day operations	0,1M€	* Evaluations ongoing or contracts pending award/signature	
OPEN	EASA.2020.HVP.07	<b>FWC</b> - Lot 2: Banking Services - Savings Account	0,505M€	* Evaluations ongoing or contracts pending award/signature	
OPEN	EASA.2020.HVP.11	<b>FWC</b> - Layout, design and production of printed and electronic material	0,3M€	* Evaluations ongoing or contracts pending award/signature	
OPEN	EASA.2020.HVP.17	<b>FWC</b> - Cabin air quality: assessment of long-term effects of contaminants	2,1M€	* Evaluations ongoing or contracts pending award/signature	

TYPE OF PROCEDURE	REFERENCE OF PROCEDURE	TYPE & DESCRIPTION OF CONTRACT	CONTRACT VOLUME	CONTRACTOR	DATE OF SIGNATURE & DURATION (Years)
OPEN	EASA.2020.HVP.12	<b>FWC</b> - Fire risks caused by PEDs on-board aircraft	0,6M€	* Evaluations ongoing or contracts pending award/signature	
OPEN	EASA.2020.HVP.09	<b>FWC</b> - New FWC for Legal Advice on EASA premises and related services (2 lots)	0,675M€	* Evaluations ongoing or contracts pending award/signature	

*Type of Contract abbreviations refers to:*

**FWC** – Framework Contracts (long term ones ran over several years)

**DC** – Direct contracts (may be short or long but with a clear roadmap and set of tasks to be performed).

## I.5. Report of Cost &amp; Benefits of Controls

i) Effectiveness		
Functions & Activities	Description, Characteristics & Benefits of Controls	Cost-Effectiveness Indicators
<b>Financial Management including Budget &amp; Accounting</b>	<p>The Finance Department (FD) has implemented robust processes, tools and control steps/financial circuits in order to ensure the sound financial management of Agency funds, legality and regularity of financial transactions, compliance with the key principles of expenditure and revenue management (including earmarked funds) as well as the rules and guidelines prescribed by the financial regulation and European Commission.</p> <p><u>Key Control Functions:</u></p> <ul style="list-style-type: none"> <li>- <i>Ex-Ante Financial Verification:</i> Financial transactions are subject to a pre-defined and documented workflow including ex-ante financial verification either from a FVA (financial verification agent in FD) or authorising officer (AO).</li> <li>- <i>Ex-Post Controls:</i> For those financial transactions considered low-risk/value an ex-ante financial verification by FVA is not performed, but rather a ex-post control programme is in place to sample and audit a number of those transactions for quality control, learning purposes and assessment of adequacy of controls.</li> <li>- <i>Budget Monitoring Exercises (BME):</i> Led by FD with key focal points in operational directorates to revalidate and amend budget planning assumptions and track budget implementation rates and EC targets.</li> <li>- Central (in FD) corporate budget and accounting services, drawing up the Agency accounts and ensuring accounting quality.</li> <li>- The Agency's integrated financial systems supported by SAP enable robust, accurate and efficient financial management and reporting to support management decision making.</li> <li>- Budget implementation and financial accounting are performed in a largely paperless environment supported by integrated financial workflows covering all steps of the financial circuits improving the speed, efficiency and integrity of transaction processing and minimising risks of error occurrence.</li> <li>- These processes undergo regular review, audits and improvements in to maximise the effectiveness and efficiency of the controls.</li> </ul>	<p>In 2020:</p> <ul style="list-style-type: none"> <li>- 21.500 Ex-Ante Financial Verifications performed: 4.900 by FVAs and 16.600 AOs.</li> <li>- 33 Ex-Post Control cycles ( in accordance with the 2020 Ex-post Control Annual Programme for 2020) performed on recovery orders, mission expenditure reimbursements, and low-risk and low-value transactions, procurement procedures, International cooperation and CORAL projects' transactions.</li> <li>- 3 Budget Monitoring Exercises (BMEs).</li> <li>- An advanced management accounting system (SAP C0) approved by external auditors provides accurate cost accounting information required by the Agency's complex financial structure.</li> </ul>

<b>Procurement Management</b>	The Agency has in place a centralised procurement team to coordinate, lead/plan and oversee the procurement activities of the Agency to most notably: ensure a standardised and professional approach, safeguard the legality and regularity of procedures, leverage specific procurement and legal expertise to improve the quality of tenders, evaluations and contract design, support contract/project managers in reaching optimal contract designs for their needs and roadmaps for supplier performance.	The Agency managed 21 high-value and middle-value (>60K€) procedures during 2020, of which 13 were signed in 2020. In addition, 90 low value (1-60K€) & experts contracts were concluded as well as approximately 400 specific contracts (under framework contracts).
<b>Strategic Programming &amp; Planning, Internal Control, Assurance and Quality Management</b>	The Agency has put dedicated teams in place to manage i) Strategic Planning, ii) Business Programming & Reporting and iii) internal control (audit) and quality management which coordinate the preparation and follow-up Strategic/Management Plans (including Single Programming Document SPD), Annual Activity Reports, monitoring of progress of objectives/strategy and key performance indicators, regular quality reviews of business processes and measurement of performance of internal controls through, amongst others, exception management process and annual assessment of EASA Management Standards.	<ul style="list-style-type: none"> <li>- Single Programming Document (SPD) Publication</li> <li>- Annual Activity Report (CAAR) Publication.</li> <li>- Annual assessment of the EASA Management Standards.</li> <li>- Annual review of Exceptions registered reported to the EASA Management Review.</li> </ul>
<b>Internal and External audit including ISO Certification plus Anti-Fraud</b>	<p>Central internal audit team (including manager in charge of risk management &amp; internal control) prepare annual internal audit programme, validated by Executive Director, implement and report outputs to senior management. Actions (recommendations) are systematically follow-up and re-assessed until closure.</p> <p>External Audit activities carried out to ensure that the Agency funds are spent in accordance with EU rules and regulations. Including activities in the Agency corporate level to counter fraud and any illegal activities affecting the EU's financial interests.</p>	<ul style="list-style-type: none"> <li>- Implementation of sound management system, with procedures to support the monitoring of the effectiveness and efficiency; prevention of conflict of interest, risk mitigation measures for the detection and prevention of fraud to protect the EU's financial interest and avoid potential reputational damage.</li> <li>- Annual internal audit programme implemented.</li> <li>- ISO 9001 Certification maintained.</li> </ul>
<b>ICT</b>	EASA's IT and Digitalisation strategy, governance, architecture and expenditure planning is overseen and managed by a dedicated committee, "CIO Board" (Chief Information Officer Board), made up of representatives from each of the Agency's directorates, Head of IT Department, Head of IT Strategy, Planning & Support Section, Managers of the Agency's Digitalisation & Efficiency Programmes: It acts as a key control to ensure that the IT strategy is aligned with the Agency's key priorities, safeguards the Agency's assets and information, makes effective use of the funds allocated to IT activities and ensures that the needs of the key stakeholders are met.	The CIO Board meets as required, typically monthly, and oversees an annual IT budget of around 15M€ . Since 2019 it has supervised the implementation of a new Agile development methodology, the digitalisation of processes and delivery of stable ICT services to EASA stakeholders.

<p><b>Impact Assessment</b></p>	<p>The impact assessment team at EASA supports the regulation officers in gathering and analysing evidence to support policymaking by establishing inception Impact Assessment (IA), including data, scientific advice, other expert views and stakeholder input, drafting IA reports (or review) and coordinating related activities with relevant rulemaking tasks (RMTs), Safety Promotion Tasks, Member States Tasks and areas of expertise.</p> <p>The IA team provide key inputs and substantiations to the EPAS publication (European Plan for Aviation Safety).</p>	<p>In 2020:</p> <ul style="list-style-type: none"> <li>- 23 BIS (Best Intervention Strategy), out of which 10 were consulted.</li> <li>- 28 RIAs (Regulatory Impact Assessment), out of which 6 NPAs (Notice of Proposed Amendment) and 1 Opinion.</li> <li>- 5 new RMTs have been included in EPAS, all of them are supported by an impact assessment as necessary.</li> </ul>
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#	Functions & Activities	Staff hours included for calculation	Efficiency			Economy	
			Hours*	FTE*	Staff Cost** (€)	Other Cost (€)	TOTAL COST (€)
1	Financial Management: including Budget & Accounting	Finance Department - limited to the Accountant/Controllers, Payment Controllers, BME, Managers, FVAs	17,725 h	11.1	1.4M€	.2M€	1.5M€
2	Procurement Management	Procurement Section	18,442 h	11.5	1.4M€	.0M€	1.4M€
3	Strategic Programming & Planning, Internal Control, Assurance & Quality Management	Business Programming Team & Quality Team	10,909 h	6.8	.9M€	.0M€	.9M€
4	Internal and External audit including ISO Certification plus Anti-Fraud	Audit Team (2 Full Time Team Members)	3,200 h	2.0	.2M€	.0M€	.3M€
5	ICT	CIO board (Monthly meetings)	432 h	0.3	.0M€	.0M€	.0M€
6	Impact Assessment	All EASA - BIS & RIA	3,944 h	2.5	.3M€	.3M€	.6M€
<b>Total Controls</b>			54,653 h	34.2	4.3M€	.5M€	4.7M€
<b>Total EASA***</b>			1,246,280 h	778.9	97.1M€	63.8M€	160.9M€
<b>% Cost of Control</b>			<b>4%</b>	<b>4%</b>	<b>4%</b>	<b>1%</b>	<b>3%</b>

\*2020 Working Hrs recorded in CATs for EASA Staff + Ext Consultants

\*\*Staff Cost – Working Hours multiplied by average €78 per hour

\*\*\*Excl. Earmarked Revenues

## II. Statistics on Financial Management

### 2020 Budget Implementation - All Fund Sources (thousands of euros)

C1 - Current year appropriations								
Title	Final Budget	Executed Commitment Amount	% Committed	Cancelled Appropriations	Executed Payment Amount	% Paid	Carried over to 2021	
	(1)	(2)		(1)-(2)	(3)	(3)/(1)		
Total Title 1 - STAFF	88.631	88.527	100%	104	88.234	100%	293	
Total Title 2 - BUILDING, EQUIPMENT AND MISCELLANEOUS OPERATING EXPENDITURE	20.133	19.263	96%	870	15.473	77%	3.789	
Total Title 3 - OPERATIONAL EXPENDITURE	5.690	5.087	89%	603	2.329	41%	2.757	
<b>Grand Total</b>	<b>114.454</b>	<b>112.876</b>	<b>99%</b>	<b>1.578</b>	<b>106.037</b>	<b>93%</b>	<b>6.840</b>	

*C1 Current year appropriations - the majority of EASA's budget lines are funded by a combination of F&C revenue and the EU subsidy, the C1 funds source is used for appropriations for the year financed by the EU subsidy as well as appropriations financed by both EU subsidy and external assigned revenue from fees & charges.*

R0 - External Assigned Revenue Current year appropriations								
Title	Final Budget	Executed Commitment Amount	% Committed	Cancelled Appropriations/Reserve	Executed Payment Amount	% Paid	Carried over to 2021	
	(1)	(2)	(2)/(1)	(1)-(2)	(3)	(3)/(1)	(2)-(3)	
Total Title 1 - STAFF	8.630	8.629	100%	1	8.629	100%	-	
Total Title 2 - BUILDING, EQUIPMENT AND MISCELLANEOUS OPERATING EXPENDITURE	1	-	0%	1	-	0%	-	
Total Title 3 - OPERATIONAL EXPENDITURE	23.064	19.371	84%	3.693	11.582	50%	7.789	
Total Title 4 - SPECIAL OPERATION PROGRAMMES	36.928	14.850	40%	22.078	6.110	17%	8.740	
<b>Grand Total</b>	<b>68.623</b>	<b>42.850</b>	<b>62%</b>	<b>25.773</b>	<b>26.321</b>	<b>38%</b>	<b>16.529</b>	

*The R0 fund source is used for external assigned revenues related purely to fees & charges activities as well as external assigned revenues related to special operations programmes funded by, inter alia, other Commission DGs (Grants & delegation agreements mainly for International Technical Cooperation projects).*

C4 - Internal Assigned Revenue Current year appropriations								
Title	Amounts received 2020_C4	Executed Commitment Amount	% Committed	Carried Over Appropriations	Executed Payment Amount	% Paid	Carried over to 2021	
	(1)	(2)	(2)/(1)	(1)-(2)	(3)	(3)/(1)	(2)-(3)	
Total Title 1 - STAFF	80	57	71%	23	57	71%	-	
Total Title 2 - BUILDING, EQUIPMENT AND MISCELLANEOUS OPERATING EXPENDITURE	13	10	75%	3	10	75%	-	
Total Title 3 - OPERATIONAL EXPENDITURE	29	7	23%	22	7	23%	-	
<b>Grand Total</b>	<b>122</b>	<b>73</b>	<b>60%</b>	<b>49</b>	<b>73</b>	<b>60%</b>	<b>-</b>	

*C4 internal assigned revenue relates mainly to income received from participants to EASA organised events.*

C5 - Internal Assigned Revenue carried over appropriations							
Title	Amounts received 2019_C5	Executed Commitment Amount	% Committed	Cancelled Appropriations	Executed Payment Amount	% Paid	
	(1)	(2)	(2)/(1)	(1)-(2)	(3)	(3)/(1)	
Total Title 1 - STAFF	10	10	100%	-	10	100%	
Total Title 2 - BUILDING, EQUIPMENT AND MISCELLANEOUS OPERATING EXPENDITURE	79	79	100%	-	79	100%	
Total Title 3 - OPERATIONAL EXPENDITURE	524	42	8%	483	42	8%	
<b>Grand Total</b>	<b>613</b>	<b>131</b>	<b>21%</b>	<b>483</b>	<b>131</b>	<b>21%</b>	

*C5 internal assigned revenue relates mainly to income received from participants to EASA organised events carried over from the previous year.*

C8 - Carried over from previous year						
Title	Carried over Commitment Amount	Executed Payment Amount	% Paid	Carried over to 2021	Cancelled Appropriations	Cancelled Appropriations %
	(1)	(2)	(2)/(1)		(1)-(2)	
Total Title 1 - STAFF	361	360	100%	-	2	0%
Total Title 2 - BUILDING, EQUIPMENT AND MISCELLANEOUS OPERATING EXPENDITURE	7.071	5.016	71%	1.761	293	4%
Total Title 3 - OPERATIONAL EXPENDITURE	3.635	3.326	91%	-	309	9%
<b>Grand Total</b>	<b>11.067</b>	<b>8.702</b>	<b>79%</b>	<b>1.761</b>	<b>604</b>	<b>5%</b>

EU subsidy and mixed funded appropriations carried over from the previous year.

R8 - External assigned revenue carried over from previous year				
Title	Carried over amount	Executed Payment Amount	% Paid	Cancelled Appropriations
	(1)	(2)	(2)/(1)	(1)-(2)
Total Title 1 - STAFF	27	27	100%	-
Total Title 3 - OPERATIONAL EXPENDITURE	11.478	6.941	60%	4.537
Total Title 4 - SPECIAL OPERATION PROGRAMMES	14.315	7.803	55%	6.512
<b>Grand Total</b>	<b>25.819</b>	<b>14.770</b>	<b>57%</b>	<b>11.049</b>

*The R8 fund source is used for external assigned revenues related purely to fees & charges activities as well as external assigned revenues related to special operations programmes funded by, inter alia, other Commission DGs (Grants & delegation agreements mainly for International Technical Cooperation projects) carried over from the previous year.*

**BUDGET RESULT ACCOUNT FOR FINANCIAL YEAR 2020**  
(thousands of euros)

	2020	2019	Variance
<b>REVENUE</b>			
Fee income (Fees & Charges)	106.504	109.639	-3%
European Union Subsidy	37.954	37.643	1%
Third Countries Contribution (EU)	930	909	2%
Third Countries Contribution (Switzerland)	1.433	1.357	5%
Delegation agreements & Grants	25.295	20.529	19%
Financial interests (Fees & Charges)	56	65	-16%
Parking and others (Fees & Charges)	321	334	-4%
Parking and others (Subsidy)	182	180	2%
Services rendered against payment	492	144	71%
Internal Assigned Revenue	122	755	-518%
<b>TOTAL REVENUE (a)</b>	<b>173.290</b>	<b>171.554</b>	<b>1%</b>
<b>EXPENDITURE</b>			
<i>Title I: Staff</i>			
Payments	- 96.956	95.718	1%
Appropriations carried over	- 316	398	-26%
<i>Title II: Administrative Expenses</i>			
Payments	- 15.562	13.842	11%
Appropriations carried over	- 5.554	7.150	-29%
<i>Title III: Operating Expenditure</i>			
Payments	- 20.901	33.546	-61%
Appropriations carried over	- 10.569	15.638	-48%
<i>Title IV: Earmarked projects</i>			
Payments	- 13.913	10.537	24%
Appropriations carried over	- 11.382	9.992	12%
<b>TOTAL EXPENDITURE (b)</b>	<b>175.153</b>	<b>186.820</b>	<b>-7%</b>
Result before carry over not used	- 1.863	- 15.265	-719%
Cancellation of unused payment appropriations carried over from previous year	+ 604	414	31%
Carry over C8	1.761	1.761	0%
Adjustment of Assigned Revenue carried over	+ 12.118	12.577	-4%
Exchange differences for the year (gain +/- loss -)	+/- 17	- 39	-126%
<b>Result of the year</b>	<b>12.603</b>	<b>-552</b>	<b>104%</b>
<b>Related to Subsidy Activities</b>	3.208	140	96%
<b>Related to Fees and Charges Activities</b>	9.395	692	107%
<b>Total</b>	<b>12.603</b>	<b>-552</b>	<b>104%</b>
<b>Accumulated surplus on Fees and Charges Activities</b>			
Accumulated surplus from previous year	+ 51.503	52.194	-1%
Adjustment of accumulated provision	+/- 9.395	- 692	107%
<b>Accumulated Surplus</b>	<b>60.898</b>	<b>51.503</b>	<b>15%</b>

### Budget Transfers & Amending Budgets

39 transfers, totalling 7.45M€, and one amending budget were carried out during 2020. The most significant transfers were:

- Budget reallocations to cover the implementation of the “wing gust” use case in the framework of the Data4Safety programme, amendment of subscriptions for the Viasto interview suite and to cover the payments in line with Articles 64, 65 and 83a of the Staff Regulation;
- Transfers within the budget line for outsourcing of certification activities (3000) to cover changes of outsourcing demand.

The first amending budget was adopted by the Management Board (MB) to reflect:

- The 2019 results related to certification activities.
- Reduction in fees and charges revenue.
- Reductions were made in expenditure related to various budget lines.
- Reinvestment of cost cutting activities to fund important operational projects.

#### Late-Payment Interest

Late-payment interest paid in 2020 amounted to a total of 0,048M€ (2019: 0,016M€).

### III. Organisational Chart

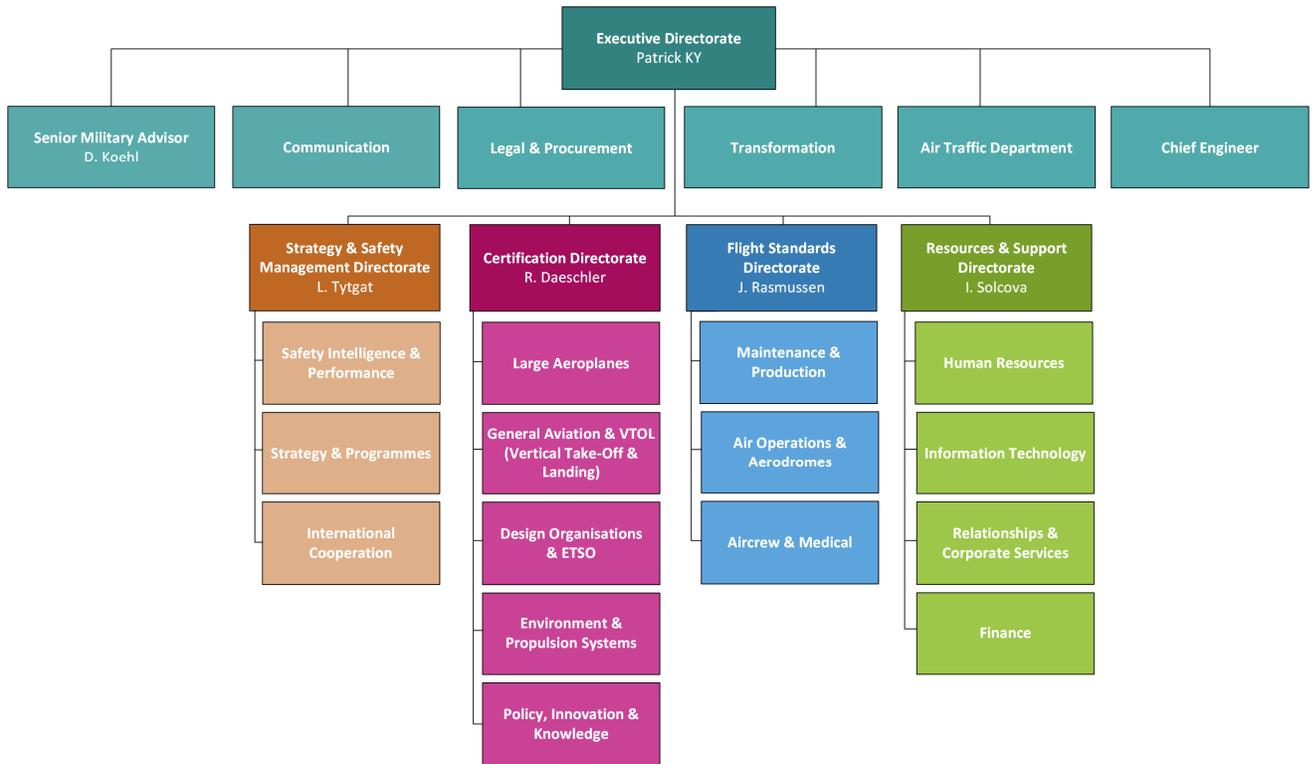


Figure 10 - EASA Organisation Chart (31 December 2020)

## IV. Establishment Plan & Additional Information on Human Resources Management

### Establishment Plan — EASA total

Temporary Agents Function group and grade	2020				2021	
	Authorised under the EU Budget		Actually filled as of 31.12.2020		Authorised under the EU Budget	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16						
AD 15		1		1		1
AD 14		25		2		25
AD 13		33		5		33
AD 12		66		16		66
AD 11		88		45		88
AD 10		110		75		110
AD 9		120		129		120
AD 8		78		116		78
AD 7		32		70		32
AD 6		11		50		11
AD 5		2		25		2
<b>AD TOTAL</b>		<b>566</b>		<b>534<sup>3</sup></b>		<b>566</b>
AST 9		1		0		1
AST 8		3		1		3
AST 7		11		1		11
AST 6		27		14		27
AST 5		30		37		28
AST 4		25		30		25
AST 3		15		18		15
AST 2		2		6		2
AST 1		0		0		0
<b>AST TOTAL</b>		<b>114</b>		<b>107</b>		<b>112</b>
<b>TOTAL</b>		<b>680</b>		<b>641<sup>4</sup></b>		<b>680<sup>5</sup></b>

<sup>3</sup> 534 posts occupied, including 2 offer letters sent and approved.

<sup>4</sup> 641 posts occupied including 2 offer letters sent and approved.

<sup>5</sup> 680 including 1 AST/SC3 and 1 AST/SC2 authorised for 2021 (not included in the table).

Establishment Plan — Fees & Charges<sup>6</sup>

Fees & Charges: Function group and grade	2020				2021	
	Authorised under the EU Budget		Actually filled as of 31.12.2020		Authorised under the EU Budget	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16						
AD 15		1		1		1
AD 14		15		1		15
AD 13		24		3		24
AD 12		48		12		48
AD 11		69		37		69
AD 10		73		46		73
AD 9		67		76		67
AD 8		52		83		52
AD 7		25		54		25
AD 6		8		34		8
AD 5		1		17		1
<b>AD TOTAL</b>		<b>383</b>		<b>364</b>		<b>383</b>
AST 11						
AST 10						
AST 9		1				1
AST 8		1		1		1
AST 7		11				11
AST 6		10		6		10
AST 5		19		27		19
AST 4		17		18		17
AST 3		10		15		10
AST 2		1		3		1
AST 1		0				0
<b>AST TOTAL</b>		<b>70</b>		<b>70</b>		<b>70</b>
<b>TOTAL</b>		<b>454</b>		<b>434<sup>7</sup></b>		<b>454<sup>8</sup></b>

<sup>6</sup> Split between funding is indicative<sup>7</sup> 434 including 2 offer letters sent and accepted<sup>8</sup> 454 including 1 AST/SC3 authorised (not included in the table)

Establishment Plan — Subsidy<sup>9</sup>

Subsidy: Function group and grade	2020				2021	
	Authorised under the EU Budget		Actually filled as of 31.12.2020		Authorised under the EU Budget	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16						
AD 15						
AD 14		10		1		10
AD 13		9		2		9
AD 12		18		4		18
AD 11		19		8		19
AD 10		37		29		37
AD 9		53		53		53
AD 8		26		33		26
AD 7		7		16		7
AD 6		3		16		3
AD 5		1		8		1
<b>AD TOTAL</b>		<b>183</b>		<b>170</b>		<b>183</b>
AST 11						
AST 10						
AST 9						
AST 8		2		0		2
AST 7				1		
AST 6		17		8		17
AST 5		9		10		9
AST 4		8		12		8
AST 3		5		3		5
AST 2		1		3		1
AST 1						
<b>AST TOTAL</b>		<b>42</b>		<b>37</b>		<b>42</b>
<b>TOTAL</b>		<b>226</b>		<b>207</b>		<b>226<sup>10</sup></b>

<sup>9</sup> Split between funding is indicative<sup>10</sup> 226 including 1 AST/SC2 authorised (not included in the table)

## External personnel EASA – Contract Agents EASA

Contract agents	Authorised 2020	Recruited as of 31.12.2020
Function Group IV	36	28
Function Group III	68	60
Function Group II	2	
Function Group I		
<b>TOTAL</b>	<b>106</b>	<b>88</b>

## External personnel EASA – Seconded National Experts EASA

Seconded National Experts	Authorised 2020	Recruited as of 31.12.2020
<b>TOTAL</b>	<b>24</b>	<b>15</b>

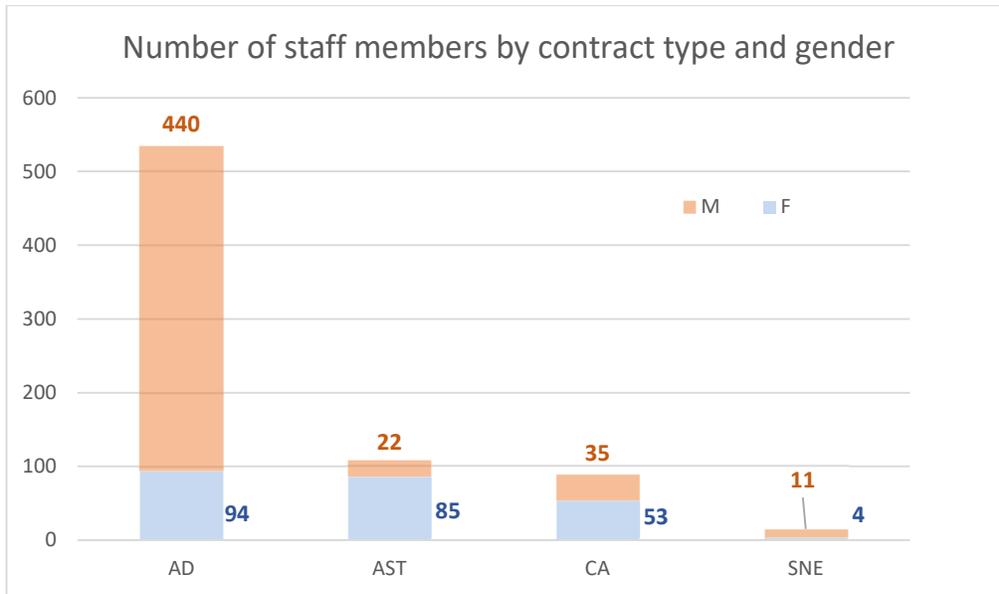
## Key Functions

Key functions (examples)	Type of contract (official, temporary agent (TA) or contract agent (CA))	Function group, grade of recruitment (or bottom of the brackets if published in brackets)	Indication whether the function is dedicated to administration, support, or policy (operational)
<b>CORE FUNCTIONS</b>			
Director	TA Level 2	AD 12	Depending on the Directorate, operational in the aviation area, support in the administrative area, e.g.: Finance and Business Services Director (support), Certification Director (operational)
Head of Department	TA Level 3	AD 9-AD 12 (depending on complexity, size, and responsibilities of the Department)	Depending on the Department, operational in the aviation area, support in the administrative area, e.g.: Head of Finance (support); Head of Product Department (operational)
Head of Unit	N/A	N/A	N/A
Head of Section	TA 'Section Manager' Level 4 (excluded from management allowance)	AD 7-AD 10 (depending on complexity, size, and responsibilities of the Section)	Depending on the Section, operational in the aviation area, support in the administrative area
Senior Officer	TA	AD 9-AD 10	Depending on the Section, operational in the aviation area, support in the administrative area
Officer	TA or CA IV	AD 6-AD 8	Depending on the Section, operational in the aviation area, support in the administrative area
Junior Officer	TA or CA IV	AD 5	Depending on the Section, operational in the aviation area, support in the administrative area
Senior Assistant	TA or CA III	AST 3	Depending on the Section, operational in the aviation area, support in the administrative area
Junior Assistant	TA or CA III	AST 1	Depending on the Section, operational in the aviation area, support in the administrative area
<b>SUPPORT FUNCTIONS</b>			
Head of Administration	TA	N/a	
Head of Human Resources	TA	AD 10	
Head of Finance	TA	AD 10	

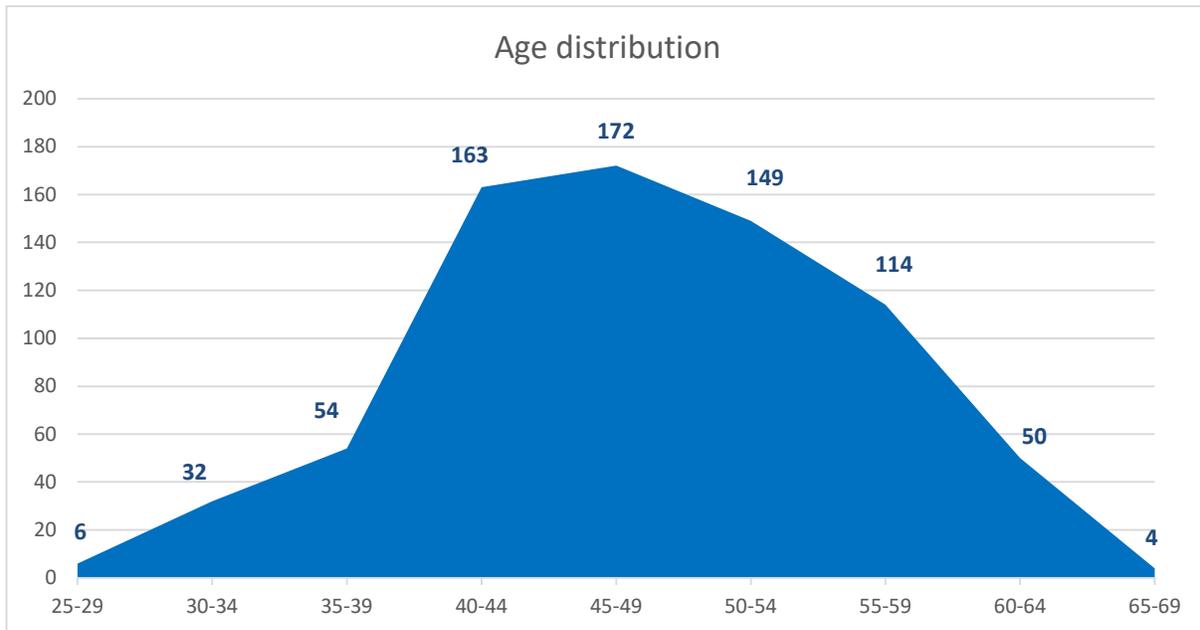
<i>Head of Communication</i>	TA	AD 10	
<i>Head of IT</i>	TA	AD 12	
<i>Senior Officer</i>	TA	AD 9-AD 10	
<i>Officer</i>	TA	AD 6-AD 8	
<i>Junior Officer</i>	TA	AD 5	
<i>Webmaster-Editor</i>	TA	AD 7 ('Web Content Officer'/'Web Master')	
<i>Secretary</i>	TA	AST 1	
<i>Mail Clerk</i>	N/a	N/a	
<b>SPECIAL FUNCTIONS</b>			
<i>Data Protection Officer</i>	TA	AD 8	
<i>Accounting Officer</i>	TA	AD 10	
<i>Internal Auditor</i>	TA	AD 9	

**Staffing Distribution:**

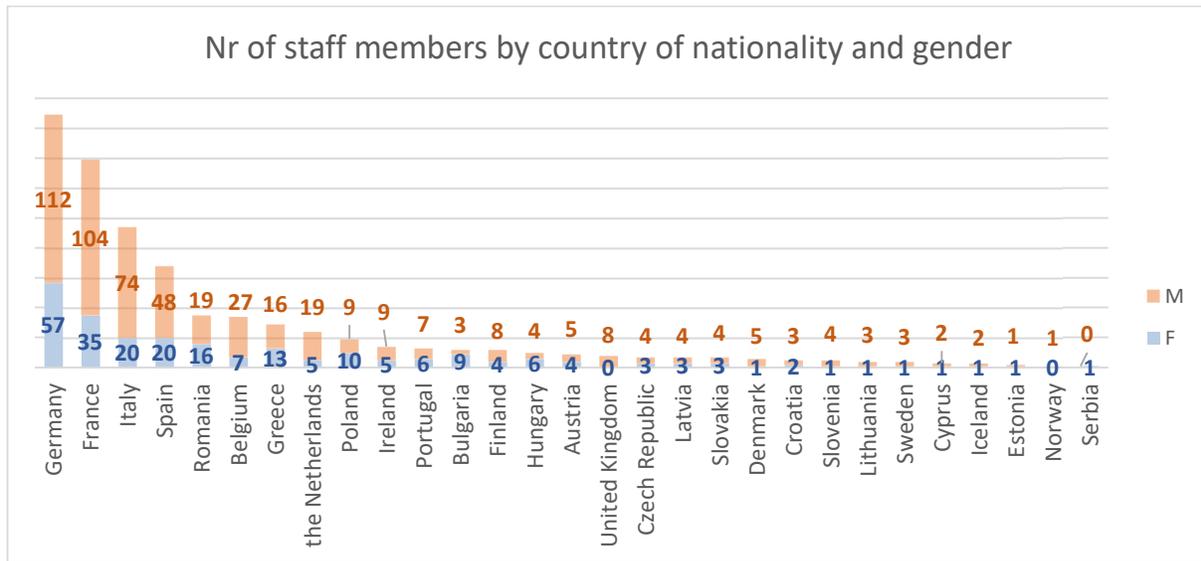
**(a) by Gender: Male & Female**



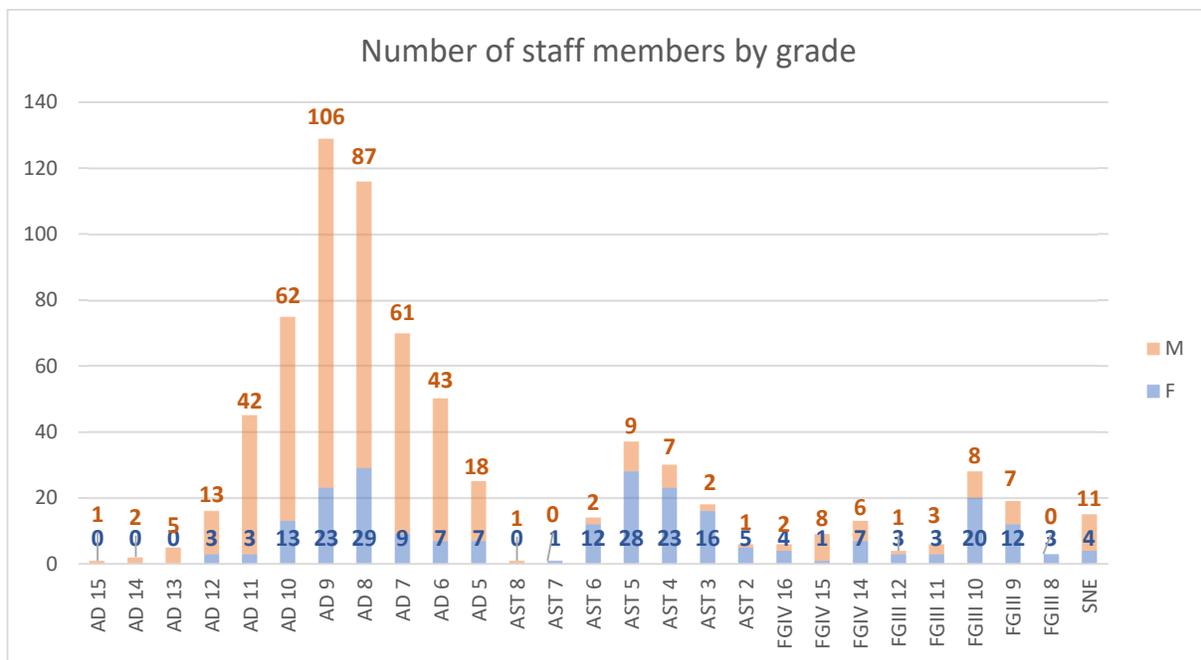
**(b) by Age:**



(c) by Gender and Country of Nationality:



(d) by Gender and Grade:



## Benchmark Exercise: distribution by Job Type

### (a) Total

Job Type (subcategory)	Aggregated 2016	Aggregated 2017	Aggregated 2018	Aggregated 2019	Aggregated 2020
Administrative Support and Coordination	12,50 %	12,47 %	12,37 %	10,40%	10,76%
Administrative Support	10,20 %	10,28 %	9,95 %	8,38%	8,85%
Coordination	2,30 %	2,19 %	2,42 %	2,02%	1,91%
Operational	81,00 %	81,51 %	81,87 %	84,07%	84,09%
Top Level Operational Coordination	1,40 %	1,37 %	1,22 %	0,91%	1,45%
Programme Management & Implementation	50,30 %	52,46 %	54,38 %	53,26%	53,66%
Evaluation & Impact Assessment	11,60 %	11,00 %	11,91 %	12,01%	12,29%
General Operational	17,70 %	16,68 %	14,35 %	17,89%	16,69%
Neutral	6,40 %	6,02 %	5,76 %	5,52%	5,15%
Finance/Control	5,80 %	5,43 %	5,18 %	4,89%	4,63%
Linguistics	0,60 %	0,59 %	0,58 %	0,63%	0,52%

### (b) Statutory Staff Only

Job Type (subcategory)	Aggregated 2016	Aggregated 2017	Aggregated 2018	Aggregated 2019	Aggregated 2020
Administrative Support and Coordination	9,70 %	9,10 %	8,91 %	7,58%	8,49%
Administrative Support	7,30 %	6,70 %	6,53 %	5,68%	6,67%
Coordination	2,50 %	2,40 %	2,38 %	1,91%	1,83%
Operational	83,80 %	84,80 %	85,10 %	86,55%	86,03%
Top Level Operational Coordination	1,50 %	1,50 %	1,34 %	0,99%	1,55%
Programme Management & Implementation	51,90 %	54,30 %	56,45 %	54,64%	54,85%
Evaluation & Impact Assessment	12,00 %	12,00 %	12,83 %	12,43%	12,31%
General Operational	18,30 %	17,10 %	14,48 %	18,48%	17,32%
Neutral	6,50 %	6,10 %	5,99 %	5,87%	5,48%
Finance/Control	6,00 %	5,70 %	5,48 %	5,32%	4,92%
Linguistics	0,50 %	0,40 %	0,51 %	0,55%	0,55%

## V. Human & Financial Resources by Activity

Values in thousands of euros			2020 Actual	2019 Actual	
Fees & Charges activities	Product Certification	Revenue (incl. interest, parking & oth. Rev.)	57.571	69.792	
		Title 1	- 49.207	-48.965	
		Title 2	- 9.135	-8.803	
		Title 3 NAAs/QEs	- 2.901	-12.735	
		Title 3	- 4.087	-5.369	
		Title 4	p.m.	p.m.	
		<b>Total</b>	<b>-7.759</b>	<b>-6.079</b>	
	Organisation approvals	Revenue (incl. interest, parking & oth. Rev.)	49.311	40.220	
		Title 1	-18.944	-18.268	
		Title 2	-3.357	-3.436	
		Title 3 NAA/QE	-6.601	-10.082	
		Title 3	-3.255	-3.048	
		Title 4	p.m.	p.m.	
		<b>Total</b>	<b>17.154</b>	<b>5.387</b>	
	<b>Total Fees &amp; Charges</b>	<b>9.395</b>	<b>-692</b>		
Subsidy and other contributions	EU subsidy	EU subsidy	38.884	37.643	
		Third-country contribution	1.428	2.265	
		Other income	681	311	
		Third-country operators	Title 1	- 1.867	-2.149
			Title 2	- 418	-462
			Title 3	- 68	-130
	Title 4		p.m.	p.m.	
		<b>Total</b>	<b>- 2.353</b>	<b>-2.742</b>	
	Standardisation	Title 1	- 7.897	-8.532	
		Title 2	- 1.623	-1.660	
		Title 3	- 450	-1.290	
		Title 4	p.m.	p.m.	
		<b>Total</b>	<b>- 9.970</b>	<b>-11.483</b>	
	SAFA	Title 1	- 622	-540	
		Title 2	- 100	-111	
		Title 3	- 14	-38	
		Title 4	p.m.	p.m.	
		<b>Total</b>	<b>- 736</b>	<b>-690</b>	
	Rulemaking	Title 1	- 9.338	-8.860	
		Title 2	- 1.978	-2.457	
		Title 3	- 858	-1.685	
Title 4		p.m.	p.m.		
	<b>Total</b>	<b>- 12.174</b>	<b>-13.003</b>		
International cooperation	Title 1	- 3.448	-3.340		
	Title 2	- 1.147	-752		
	Title 3	- 327	-639		
	Title 4	p.m.	p.m.		
	<b>Total</b>	<b>- 4.922</b>	<b>-4.731</b>		
Safety Intelligence & Performance	Title 1	- 5.832	-5.408		
	Title 2	- 1.212	-1.121		
	Title 3	- 586	-903		
	Title 4	p.m.	p.m.		
	<b>Total</b>	<b>- 7.630</b>	<b>-7.432</b>		
	<b>Total subsidy and other contributions</b>	<b>3.208</b>	<b>140</b>		
	<b>Grand total</b>	<b>12.603</b>	<b>-552</b>		

## Time spent by Activity

Activity	2020 Staff*	2019 Staff*
Product certification	357	358
Organisation approvals	133	131
Third-country operators	17	19
Standardisation	66	69
EU ramp inspection programme	7	5
Rulemaking	79	84
International cooperation	43	40
Safety Intelligence & Performance	50	56
<b>Total</b>	<b>752</b>	<b>762</b>

\* The value represents the Workload that has being recorded for each activity in EASA's time booking tool. Workload is calculated in Hours and is then transformed in a Full Time Employee. Only internal EASA staff is considered: TA and CA & SNE.



## VI. Contribution, Grants & Service Level Agreements (SLAs)

EASA manages an increasing number of projects/assignments on behalf of the European Commission (EC) (and occasionally other EU 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.

To implement such projects/ assignments, EASA has streamlined, and continues to streamline, a comprehensive framework for their management to ensure and optimise their efficient and effective processing, both technically and administratively.

The table below provides details of the ongoing projects/ assignments in 2020, which in most cases, also extend to the following years:

Agreements (by kind)	Date of signature & Duration & Counterpart	Total Amount	Short description	2020
<b>a. Grant Agreements</b>				<b>in €'000 FTE = CA &amp; TA</b>
1. Data4Safety (D4S) programme - Big Data for Aviation - Grant 1 MOVE/E4/SUB/CEF/PSA /2016-637/2017-407/SI2.764098/SI2.764101	11/2017; 2017-2021; DG MOVE	5.000K€	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.	1.604K€ FTE 0
2. Data4Safety (D4S) programme - Big Data for Aviation - Grant 2 MOVE/E4/SUB/CEF/PSA /2019-39/SI2.807751	05/2019; 2019-2022; DG MOVE	5.000K€	Expansion of the scope of the Data4Safety programme as envisaged under Grant Agreement 1 and development of ECCAIRS 2.	2.049K€ FTE 0
3. "OPTICS2" project	10/2017; 2017-2021; INEA	140K€	Observatory of safety and security research for aviation	4K€ FTE 0
4. "ENGAGE" project	01/2018; 2018-2021; SESAR JU	37K€	Networking between research org. to improve linkage between exploratory research and operational needs and transport policy.	3K€ FTE 0
5. "ICARE" project	10/2017; 2017-2020; INEA	82K€	Develop a research cooperation platform for aviation with third countries (US, China, Japan, Canada, Korea, Russia).	6K€ FTE 0

Agreements (by kind)	Date of signature & Duration & Counterpart	Total Amount	Short description	2020
<b>a. Grant Agreements (continuation)</b>				<b>in €'000 FTE = CA &amp; TA</b>
6. EU-EaP/CA Aviation Project (TRACECA 3)	12/2015; 2016-2021; DG INTPA	5.000K€	The overall objective of the project is to support the implementation of comprehensive civil aviation agreements with the EU in the Eastern Partnership countries and the upgrading of civil aviation safety and security standards in Central Asia.	210K€ FTE 0,5
7. PASTA-CO ECCAS (Project d'Appui au Transport Aerien en Afrique Centrale et Occidentale (ECCAS (Economic Community of Central African States) )	12/2015; 2018-2022; CEEAC (Afrique Centrale)	1.712K€	The overall objective of the project is to mainly provide the following training: Familiarisation training to the community regulation, Inspector training (PEL, OPS, AIR and AGA) The training to be provided will concern the 11 ECCAS Member States. The financial resources for this project are provided through the African Development Fund of AfDB for the programme entitled PASTA-CO (Projet d'Appui au Secteur du Transport Aérien en Afrique Centrale et Occidentale – Project for the Support to the Air Transport Sector in Central and Western Africa).	66K€ FTE 0,3
8. SAA Ukraine EC convergence Certif	02/2017; 2017-2020; ENI (EU Delegation in Ukraine)	1.000K€	The overall objective of this project is to facilitate preparations for the implementation of the relevant 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, the Arrangement between SAAU and the European Commission (EC) with regard to the convergence of certification systems as well as other potential future aviation safety arrangements and agreements between Ukraine and the EU. This should be done by supporting a set of activities ensuring effective implementation of the relevant EU acquis in Ukraine and by reinforcing SAAU's structural capacity for airworthiness over	86K€ FTE 0,6
9. EASA Programme on aviation safety - IPA IV	12/2017; 2018-2019; DG NEAR	290K€	The overall objective of this Action is to support the sustainable development of civil aviation administration systems in the beneficiary countries. It aims at upgrading regulations and work practices to reach compliance with the international standards in the field of aviation safety and, specifically for the Western Balkan countries, with the requirements of the European Common Aviation Area Agreement (ECAA) being signed with the EU and its Member States.	2K€ FTE 0,3
<b>a. Total Grant Agreements</b>		<b>18.261K€</b>		<b>4.029K€ FTE 1,7</b>

Agreements (by kind)	Date of signature & Duration & Counterpart	Total Amount	Short description	2020
<b>b. Contribution Agreements</b>				in €'000 FTE = CA & TA
1. EU-SEA CCCA CORSIA: EU-South East Asia Cooperation on mitigating Aviation Environmental and Climate Change Impacts)	08/2019; 2019-2022; FPI - Delegation of the EU to Thailand	4.000K€	The overall objective of the project is to enhance political, economic and environmental partnership between the EU and partner countries in South East Asia in the areas of civil aviation environment and climate change.	458K€ FTE 1,3
2. CORSIA Africa & the Caribbean: Capacity building for CO2 mitigation from aviation	12/2019; 2019-2022; DG INTPA	5.000K€	The overall objective of the project is to enhance political, economic and environmental partnership between the EU and partner countries in Africa in the areas of civil aviation environment and climate change. This will be a follow-up of a previous project finance by DG INTPA and implemented by ICAO.	65K€ FTE 0,4
3. EASA – IPA 5 Programme on aviation safety	02/2020; 2020-2023; DG NEAR	840K€	"The overall objective of the action is to increase IPA beneficiary countries compliance with the EU aviation acquis. The specific objective of the action is to increase capability for transposition of EU aviation acquis.	53K€ FTE 0
4. EUROMED 2: Euro Med Transport Aviation Project (ETAP)	12/2019; 2020-2024; DG NEAR	3.000K€	In line with the European Neighbourhood Policy (ENP) and the Aviation Strategy for Europe, this project will develop and support the Euro Mediterranean Southern neighbourhood countries, by strengthening institutional links, promoting regulatory harmonization, addressing capacity limitations and supporting environmental protection and climate change action. It will promote harmonized policy, standards and best practice in order to support the development of a wider Common Aviation Area (CAA).	0 K€ FTE 0
5. Contribution Agreement Environmental Labelling	07/2020; 2020-2023; DG MOVE	1.500K€	The purpose of this Agreement is to provide a contribution for the implementation of the Entrusted Tasks identified under the Pilot Project "Environmental labelling for aviation" . Notably, tasks identified under the Environmental labelling for aviation - Demonstration project for the development/feasibility of an environmental labelling system in aviation.	100K€ FTE 0
6. EC-EASA Contribution Agreement Research	03/2020; 2020-2024; DG MOVE	13.000K€	The purpose of this Agreement is to provide a contribution by the Contracting Authority for the implementation of the Entrusted Tasks identified under the European Framework for Research and Innovation (the entrusted tasks'). Notably, tasks identified under the 2018-Programme 2020 Work programme (Commission Implementing Decision C(2019)4575) implementing the Horizon 2020 Specific Programme: Actions relating to aviation safety research to prepare future regulation within the specific objective "Other Actions" of Part 11 "Smart, green and integrated transport".	5.301K€ FTE 0
<b>Total Contribution Agreements</b>		<b>27.340K€</b>		<b>5.977K€</b> <b>FTE 1,7</b>

Agreements (by kind)	Date of signature & Duration & Counterpart	Total Amount	Short description	2020
<b>c. Delegation Agreements Delegation Agreements</b>				<b>in €'000 FTE = CA &amp; TA</b>
1. EU China Aviation Partnership Project	09/2015 ; 2015-2021	10.000 k€	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.	1 429K€ FTE 1,6
2. Zambia – Aviation Sector Support Programme II	01/01/201 ; 2018-2022	1.800 k€	To develop a reliable and effective aviation sector capable of contributing to economic growth in Zambia. Improve compliance with international aviation standards, especially in terms of both air safety and security oversight.	225K€ FTE 0,7
3. EU South East Asia Aviation Partnership Project	01/2018 ; 2018-2022	7.500 k€	Enhance political, economic and environmental partnership between the EU and South East Asia in the domain of civil aviation. Align EU and South East Asia policy in the field of civil aviation, facilitate market access for EU aviation industry and minimise the impact of aviation on the environment and climate change. Areas of intervention will include regulatory convergence, and preparation and support for implementing the EU-ASEAN comprehensive air transport agreement and a Global Market Based Measure (GMBM) for carbon neutral growth. The project will also raise the profile and visibility of the EU as a centre of aviation excellence when engaging in this partnership.	390K€ FTE 1,4
4. EU Latin America Cooperation on Civil Aviation (EU LAC)	01/2018 ; 2018-2021	7.000 k€	The EU-LAC Aviation Partnership Project is funded by the European Union and implemented by the European Aviation Safety Agency (EASA) to enhance political, economic and environmental partnership between the EU and LAC region in the domain of civil aviation.	855K€ FTE 2,4
5. ARISE PLUS	12/2017 ; 2017-2022	5.000 k€	"Support the development of the ASEAN Single Aviation Market, and in particular aviation safety, security and, air traffic management which are key priorities outlined under the Kuala Lumpur Transport Strategic Plan 2016-2025 adopted by the ASEAN Transport Ministers in November 2015. This project will also address environmental protection issues, shall enhance the air transport market and will provide support for an EU-ASEAN comprehensive air transport agreement.	460K€ FTE 1,3
6. EU-Africa Safety in Aviation (EU-ASA)	12/2018 ; 2019-2022	5.000 k€	"The overall objective is to improve aviation safety in Africa. The specific objective of the EU-Africa Safety in Aviation action is to assist African Member States to meet their obligations under the Chicago Convention to establish an effective aviation safety oversight system.	266K€ FTE 0,9
7. SOUTH ASIA APP	12/2016; 2016-2020	7.500K€	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	740K€ FTE 2,4
<b>Total Delegation Agreements</b>		<b>43.800K€</b>		<b>4.365K€ FTE 10,7</b>

Agreements (by kind)	Date of signature & Duration & Counterpart	Total Amount	Short description	2020
<b>d. Collaboration agreements</b>				in €'000 FTE = CA & TA
1. Research Collaboration agreements.		809K€	Research projects in different domains	37K€ FTE 0,2

+ a.- Grant agreements	Total Amount: 90.210K€	2020 14.408K€ FTE 14,3
+ b.- Contribution agreements		
+ c.- Delegation Agreements		
+ d.- Collaboration agreements		

## VII. Environment Management on Operations

In 2016, EASA moved to a DGNB-gold-certified building (German Sustainable Building Council), with inter alia the following technical features: well water cooling, centralised ventilation with heat recovery, CAT-2+-certified Data Centre with approximately 85 % non-active cooling, LED lights in conference areas, e-chargers for cars and e-bikes.

The building, located at the main Cologne public transportation hub, optimises the use of energy and water consumption, and has centralised waste collection points for paper, plastic, residual waste and glass in the team spaces. EASA purchases and uses 100 % renewable energy. Electrical energy is 100% renewable (RheinEnergie Ökostrom), while heating energy used is efficient district heating (Fernwärme), which is produced using 100% fossil resources (natural gas and oil).

EASA implemented the Green Public Procurement (GPP) tool for the selection of contractors, and has measures in place to reduce the consumption of paper and office supplies, saving paper/toner/resources with the centralized copy/printing machines with intelligent print management instead of having individual printers. Fresh/on-demand cooking is offered in our canteen, with a focus on local products, the reduction of disposables, and a minimised use of plastic and disposable containers. EASA encourages cycling and the use of public transport by subsidising the transport ticket and by offering flexible working time as well as teleworking. EASA travel policy encourages the use of public transport as much as possible, for both long-distance (train instead of car) and short trips (local transport instead of taxi or car). In general, for trips up to 800 km, where feasible, train travel is the preferred means of transport. EASA participates in the Deutsche Bahn business customers' programme, which ensures that all energy used for business travel is derived from renewable sources. EASA has invested and continues to invest in videoconference facilities as an incentive to reduce business travel. To facilitate this, in addition to already existing equipment, a project to enhance videoconferencing facilities in the EASA conference centre is ongoing. Since the end of 2018, all staff have related WebEx licences. It is foreseen to review the travel policy to implement further steps aimed at the reduction of missions related CO2.

## VIII. Final Annual Accounts

### VIII.1. Balance Sheet

<b>ASSETS</b>	Note	31/12/2020	31/12/2019
<b>NON-CURRENT ASSETS</b>	<b>3.2</b>		
<i>Intangible fixed assets</i>	<b>3.2.1</b>		
Computer Software		5.709	3.186
Intangible under construction		1.017	1.600
<i>Tangible fixed assets</i>	<b>3.2.1</b>		
Computer Hardware		1.180	813
Furniture		7.087	7.762
Other fixture and fittings		30	51
<b>Total</b>		<b>15.024</b>	<b>13.411</b>
<b>CURRENT ASSETS</b>	<b>3.3</b>		
Current receivables	<b>3.3.1</b>	9.188	7.393
Sundry receivables	<b>3.3.2</b>	34	263
Accrued revenues	<b>3.3.3</b>	2.654	6.263
Prepaid expenses	<b>3.3.4</b>	3.233	3.306
EU entities	<b>3.3.5</b>	138	-
Cash and equivalents	<b>3.3.6</b>	115.713	97.126
<b>Total</b>		<b>130.961</b>	<b>114.352</b>
<b>TOTAL ASSETS</b>		<b>145.984</b>	<b>127.763</b>

<b>LIABILITIES</b>	Note	31/12/2020	31/12/2019
<b>NON-CURRENT LIABILITIES</b>	<b>3.4</b>		
EU entities-long term	<b>3.4.1</b>	14.490	241
<b>Total</b>		<b>14.490</b>	<b>241</b>
<b>CURRENT LIABILITIES</b>	<b>3.5</b>		
Deferred revenues	<b>3.3.3</b>	42.793	35.069
Current payables general	<b>3.5.1</b>	15.921	22.376
EU entities-short term	<b>3.5.2</b>	21.764	18.568
Non-EU entities short term	<b>3.5.3</b>	463	342
<b>Total</b>		<b>80.941</b>	<b>76.355</b>
<b>TOTAL LIABILITIES</b>		<b>95.431</b>	<b>76.596</b>

<b>NET ASSETS</b>	Note	31/12/2020	31/12/2019
Surplus (deficit) forwarded from previous years		51.167	53.186
Net surplus(deficit) for the period		(614)	(2.019)
<b>TOTAL NET ASSETS</b>		<b>50.553</b>	<b>51.167</b>

## VIII.2. Statement of financial performance (SFP)

	Note	2020	2019
<b>OPERATING REVENUE</b>	3.6		
Fees and Charges	3.6.1	99.073	107.882
Contribution from EU entities	3.6.2	47.018	51.103
Contribution from non- EU entities	3.6.3	119	420
Recovery of expenses	3.6.4	620	1.287
Contribution from EFTA <sup>[1]</sup> countries	3.6.5	1.428	1.361
<b>TOTAL OPERATING REVENUE</b>		<b>148,258</b>	<b>162.054</b>
<b>OPERATING EXPENSES</b>	3.7		
Staff expenses	3.7.1	(97.531)	(95.889)
Buildings and related expenses	3.7.2	(10.454)	(9.614)
Other expenses	3.7.3	(7.568)	(9.336)
Depreciation and write offs	3.7.4	(3.893)	(2.569)
Outsourcing and contracting activities	3.7.5	(29.460)	(46.609)
<b>TOTAL OPERATING EXPENSES</b>		<b>(148.906)</b>	<b>(164.017)</b>
<b>SURPLUS (DEFICIT) FROM OPERATING ACTIVITIES</b>		<b>(648)</b>	<b>(1.964)</b>
<b>NON-OPERATING REVENUES (EXPENSES)</b>	3.8		
Interests received from third parties		84	70
Interests & charges paid to third parties		(49)	(125)
<b>SURPLUS/ (DEFICIT) FROM NON-OPERATING ACTIVITIES</b>		<b>34</b>	<b>(55)</b>
<b>SURPLUS/ (DEFICIT) FROM ORDINARY ACTIVITIES</b>		<b>(614)</b>	<b>(2.019)</b>
<b>SURPLUS/ (DEFICIT) FROM EXTRAORDINARY ITEMS</b>			
<b>NET SURPLUS/ (DEFICIT) FOR THE PERIOD</b>		<b>(614)</b>	<b>(2.019)</b>

<sup>[1]</sup> EFTA: European Free Trade Association

## VIII.3. Statement of financial performance (SFP) by funding sources

thousands of Euros

	2020 SFP FINAL				2019 SFP FINAL				2019 VS 2020 DELTA			
	F&C	SUBS	EARM	EASA	F&C	SUBS	EARM	EASA	F&C	SUBS	EARM	EASA
<b>OPERATING REVENUE</b>												
Fees and Charges	99.073	-	-	<b>99.073</b>	107.878	5	-	107.882	+ 8.805	+ 5	+ 0	+ 8.810
Contribution from EU entities	-	36.934	10.084	<b>47.018</b>	-	38.620	12.482	51.103	+ 0	+ 1.687	+ 2.398	+ 4.085
Other contributions non EU	-	90	29	<b>119</b>	-	-	420	420	+ 0	(90)	+ 391	+ 301
Recovery of expenses	395	225	-	<b>620</b>	819	469	-	1.287	+ 424	+ 243	+ 0	+ 667
Contribution from EFTA countries	-	1.428	-	<b>1.428</b>	-	1.361	-	1.361	+ 0	(66)	+ 0	(66)
<b>TOTAL OPERATING REVENUE</b>	<b>99.468</b>	<b>38.677</b>	<b>10.114</b>	<b>148.258</b>	<b>108.696</b>	<b>40.455</b>	<b>12.902</b>	<b>162.054</b>	<b>+ 9.229</b>	<b>+ 1.778</b>	<b>+ 2.788</b>	<b>+ 13.795</b>
<b>OPERATING EXPENSES</b>												
Staff expenses	(67.034)	(28.687)	(1.810)	<b>(97.531)</b>	(65.701)	(27.955)	(2.233)	(95.889)	+ 1.333	+ 733	(424)	+ 1.642
Buildings and related expenses	(6.961)	(3.218)	(274)	<b>(10.454)</b>	(6.352)	(2.922)	(339)	(9.614)	+ 609	+ 296	(65)	+ 840
Other expenses	(4.932)	(2.619)	(17)	<b>(7.568)</b>	(5.621)	(3.606)	(110)	(9.336)	(689)	(986)	(93)	(1.768)
Depreciation and write offs	(2.837)	(1.055)	-	<b>(3.893)</b>	(1.652)	(917)	-	(2.569)	+ 1.185	+ 139	+ 0	+ 1.324
Outsourcing and contracting activities	(18.746)	(2.701)	(8.013)	<b>(29.460)</b>	(31.107)	(5.282)	(10.220)	(46.609)	(12.361)	(2.581)	(2.207)	(17.149)
<b>TOTAL OPERATING EXPENSES</b>	<b>(100.511)</b>	<b>(38.282)</b>	<b>(10.114)</b>	<b>(148.906)</b>	<b>(110.434)</b>	<b>(40.681)</b>	<b>(12.902)</b>	<b>(164.017)</b>	<b>(9.923)</b>	<b>(2.400)</b>	<b>(2.788)</b>	<b>(15.111)</b>
									+ 0	+ 0	+ 0	+ 0
<b>SURPLUS (DEFICIT) FROM OPERATING ACTIVITIES</b>	<b>(1.043)</b>	<b>395</b>	<b>0</b>	<b>(648)</b>	<b>(1.738)</b>	<b>(226)</b>	<b>0</b>	<b>(1.964)</b>	<b>(694)</b>	<b>(621)</b>	<b>+ 0</b>	<b>(1.315)</b>
<b>NON OPERATING REVENUES (EXPENSES)</b>												
Interests received from third parties	84	-	-	<b>84</b>	70	-	-	70	(14)	+ 0	+ 0	(14)
Interests & charges paid to third parties	(32)	(17)	-	<b>(49)</b>	(83)	(42)	-	(125)	(51)	(26)	+ 0	(76)
Other financial charges	-	-	-	-	-	-	-	-	-	-	-	-
<b>SURPLUS (DEFICIT) NON OPERATING ACTIVITIES</b>	<b>51</b>	<b>(17)</b>	<b>-</b>	<b>34</b>	<b>(13)</b>	<b>(42)</b>	<b>-</b>	<b>(55)</b>	<b>(64)</b>	<b>(26)</b>	<b>+ 0</b>	<b>(90)</b>
<b>SURPLUS (DEFICIT) FROM ORDINARY ACTIVITIES</b>	<b>(992)</b>	<b>378</b>	<b>0</b>	<b>(614)</b>	<b>(1.750)</b>	<b>(268)</b>	<b>0</b>	<b>(2.019)</b>	<b>(758)</b>	<b>(647)</b>	<b>+ 0</b>	<b>(1.405)</b>
<b>SURPLUS (DEFICIT) FROM EXTRAORDINARY ITEMS</b>												
<b>NET SURPLUS FOR THE PERIOD</b>	<b>(992)</b>	<b>378</b>	<b>0</b>	<b>(614)</b>	<b>(1.750)</b>	<b>(268)</b>	<b>0</b>	<b>(2.019)</b>	<b>(758)</b>	<b>(647)</b>	<b>+ 0</b>	<b>(1.405)</b>

## IX. EASA Management Board Members

The EASA Management Board (MB) brings together representatives of the Member States and the European Commission. The MB is responsible for defining EASA's priorities, establishing the budget, and monitoring EASA's operation.

<b>Members with voting rights</b>	European Commission (2 votes) and European Union Member States (1 vote each)
<b>Members without voting rights</b>	Norway, Liechtenstein, Iceland, Switzerland
<b>Observers</b>	Albania, Bosnia and Herzegovina, North Macedonia, Montenegro, Serbia, Georgia, Moldova and the Stakeholder Advisory Body (SAB).

<b>Chair of the MB</b>	<b>Deputy Chair of the MB</b>
<b>Mr Piotr SAMSON</b> (Poland)	<b>Mr Johann Friedrich COLSMAN</b> (Germany)

The full list of EASA MB Members is available on the EASA website: <http://www.easa.europa.eu/the-agency/management-board/member>

## X. List of Abbreviations

Abbreviation	Explanation
AD	Airworthiness directive
ANS	Air navigation services
ATM	Air traffic management
BASA	Bilateral Aviation Safety Agreement
BIS	Best intervention strategy
BOB	Bilateral Oversight Board
BR	Basic Regulation (Regulation (EU) 2018/1139)
BPM	Business process management
CA	Contract agents
CAAC	Civil Aviation Administration of China
CAW	Continuing airworthiness
CMP	Continuous monitoring programme
CoI	Conflict of interest
CS	Certification specifications
CTIG	Common Training Initiative Group
DOA	Design organisation approval
DC	Direct contracts
D4S	Data for Safety Programme
EASA	European Union Aviation Safety Agency
EC	European Commission
ECAA	European Common Aviation Area
ECAC	European Civil Aviation Conference
ECQB	European Central Question Bank
EPAS	European Plan for Aviation Safety
ETSO	European Technical Standard Order
EU	European Union
FAA	Federal Aviation Administration
FCL	Flight crew licensing
FWC	Framework Contracts
GA	General Aviation
ICAO	International Civil Aviation Organization
IMS	Integrated management system
IORS	Internal occurrence reporting system
IR	Implementing rule
JCAB	Japan Civil Aviation Bureau
KPI	Key performance indicator

MB	Management Board
MS	Member State
NAA	National aviation authority
NPA	Notice of proposed amendment
OSD	Operational suitability data
QE	Qualified entity
RAG	Red amber green
RMT	Rulemaking task
RSOO	Regional Safety Oversight Organisation
SAFA	Safety assessment of foreign aircraft
SARP	Standards and Recommended Practices
SBAS	Satellite-based augmentation systems
SESAR	Single European Sky ATM Research
SIB	Safety information bulletin
SMS	Safety management system
SNE	Seconded national expert
SPD	Single programming document
TA	Temporary agents
TCO	Third-country operator
TIP	Technical implementation procedure
TOR	Terms of reference
UA	Unmanned aircraft
UAS	Unmanned aircraft system
WA	Working arrangement



**End of Document**