



SESAR JOINT UNDERTAKING

Single Programming Document for years 2021–2023 (public version)

Edition date:	24 September 2021
Edition:	03.00
Status:	Approved

Abstract

This document is the public version of the Single Programming Document of the SESAR Joint Undertaking (SESAR JU) for the 2021–2023 period.

It provides multiannual (2021 to 2023) and annual (2021) programming components and forms the multiannual and annual work programmes of the SESAR JU. This Single Programming Document replaces the initial version of the Single Programming Document 2021-2023 adopted by the SESAR JU Administrative Board on 15 December 2020 and the first amended version adopted on 25 May 2021.

FINAL DOCUMENT – SECOND AMENDED VERSION (PUBLIC)

Founding Members



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PDF: ISBN 978-92-9216-171-2

doi: 10.2829/902519

MG-01-21-153-EN-N

Contents

Abstract	1
Foreword	6
Document history	8
List of acronyms, initialisms and definitions	9
Mission statement	14
Section I – General context	18
1. High-level policy objectives: achieving the EU Aviation Strategy goals	18
2. Drivers shaping the European aviation landscape: towards a Digital European Sky	20
Section II – Multiannual programming for years 2021–2023	24
1. Multiannual work programme for years 2021-2023	24
1.1. Introduction	24
1.2. Strategic area of operation 1: Provide strategic steering to the SESAR programme	40
1.3. Strategic area of operation 2: Deliver exploratory research	46
1.4. Strategic area of operation 3: Deliver industrial research and validation	57
1.5. Strategic area of operation 4: Deliver very large-scale demonstration activities	69
1.6. Strategic area of operation 5: Deliver SESAR outreach	74
1.7. Strategic area of operation 6: Deliver effective financial, administrative and corporate management	79
2. Human and financial resource outlook for years 2021–2023	81
2.1. Overview of the past and current situation	81
2.2. Outlook for the years 2021–2023	82
2.3. Resource programming for 2021–2023	82
2.4. Strategy for achieving efficiency gains	88
2.5. Negative priorities/decrease of existing tasks	89
Section III – Annual work programme for 2021	90
1. Executive summary	90
2. Activities in 2021	92
2.1. Strategic area of operation 1: Provide strategic steering to the SESAR programme (operational activity)	93
2.2. Strategic area of operation 2: Deliver exploratory research (operational activity)	95
2.3. Strategic area of operation 3: Deliver industrial research and validation (operational activity)	97
2.4. Strategic area of operation 4: Deliver very large-scale demonstration activities (operational activity)	99
2.5. Strategic area of operation 5: Deliver SESAR outreach (operational activity)	101
2.6. Strategic area of operation 6: Deliver effective financial, administrative and corporate management (transversal activity)	106
Annexes	120
Annex I: SESAR JU organisation chart	120
Annex II: Resource allocation per strategic area of operation – 2021–2023	121
Annex III: Financial resources (tables) – 2021–2023	122

Table 1 – Revenue	122
Table 2 – Expenditure.....	127
Table 3 – Budget outturn and cancellation of appropriations	148
Annex IV: Human resources (quantitative)	149
Table 1 – Staff population and its evolution; overview of all categories of staff	149
Table 2 – Multiannual staff policy plan for years 2021-2023 (posts)	152
Table 3 – Recruitment forecasts for 2021 following retirement/mobility or new requested posts	155
Annex V: Human resources (qualitative)	156
A. Recruitment and management of human resources	156
B. Appraisal of performance and reclassification/promotions	160
C. Mobility policy (internal mobility, between EU bodies and between EU bodies and the institutions) 163	
D. Gender representation	163
E. Geographical balance	165
F. Schooling	166
Annex VI: Environmental management	167
Annex VII: Buildings (table).....	169
Annex VIII: Privileges and immunities	170
Annex IX: Evaluations	171
Annex X: Strategy for the organisational management and internal control systems	172
The SESAR JU's Quality Management System	173
Annual Assessment	174
Annex XI: Plan for grant, contribution or service-level agreements	175
Annex XII: Procurement plan for 2021.....	176
Operational expenditure	176
Administrative expenditure.....	179
Annex XIII: Strategy for cooperation with third countries and/or international organisations.....	181
Annex XIV: List of Members of the SESAR Joint Undertaking.....	182
Annex XV: SESAR JU's critical risks for 2021	184

NB: The content of this document has been developed on the basis of Article 32 of the revised Framework Financial Regulation ⁽¹⁾ and subsequently on the basis of Article 31 of the revised SESAR JU Financial Rules ⁽²⁾. New guidelines from the European Commission on the establishment of the single programming document ⁽³⁾ are taken into account to the maximum extent possible at the moment of preparation of this document.

(1) Commission Delegated Regulation (EU) 2019/715 of 18 December 2018 on the framework financial regulation for the bodies set up under the TFEU and Euratom Treaty and referred to in Article 70 of Regulation (EU, Euratom) 2018/1046 of the European Parliament and of the Council of 18 July 2018 on the financial rules applicable to the general budget of the Union (OJ L 122, 10.5.2019, p. 1).

(2) Annex to SESAR JU Administrative Board Decision ADB(D)21-2019 of 9 October 2019.

(3) Annex I to the communication from the Commission on the strengthening of the governance of Union bodies under Article 70 of Regulation (EU, Euratom) 2018/1046 of the European Parliament and of the Council of 18 July 2018 on the

financial rules applicable to the general budget of the Union (OJ L 122, 10.5.2019, p. 1 and on the guidelines for the single programming document and the consolidated annual activity report, C(2020) 2297.

Founding Members



5

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Foreword



In support of European policy and legislation, the SESAR Joint Undertaking (SESAR JU), founded by the European Union and EUROCONTROL, is a key enabling organisation for the modernisation of European and global air traffic management (ATM), and the coordination and concentration of all ATM-related research and innovation efforts in the EU.

Since its establishment in 2007, the SESAR JU, together with its Members and partners, has provided a significant return on the original EU investment. It delivers high-performance solutions in accordance with the European ATM Master Plan ⁽⁴⁾ and with its performance ambition in terms of environmental efficiency, capacity, cost-efficiency and safety. The SESAR JU thus stimulates aviation ecosystem development, generating employment and business opportunities while ensuring the delivery of tangible societal benefits such as decarbonisation and the reduction of aviation's environmental footprint.

By successfully implementing the SESAR 2020 Programme, the SESAR JU leverages digital technology in ATM along the priorities established in the 2020 edition of the European ATM Master Plan and the Airspace Architecture Study ⁽⁵⁾ published in 2019. It will continue to provide the most efficient way of implementing research and innovation for Europe, further contributing to the delivery of the Single European Sky and the broader EU Aviation Strategy, while providing investors with a sound return on investment. Additionally, the SESAR JU is continuously reinforcing the role of the EU as a global actor in the field of aviation.

The SESAR JU's *Single Programming Document 2021–2023* addresses the final delivery stage of the SESAR 2020 programme. It builds on the exceptional measures decided by the Administrative Board in 2020 to take stock of the new challenges emerging from the post-COVID-19 crisis for the aviation domain, in particular from a budgetary perspective.

This document describes six strategic areas of operation (the ones already described in previous single programming documents) that the SESAR JU will pursue during the outlined programming period. In the period from 2021 to 2023, the SESAR JU will finalise research and investment efforts under the SESAR 2020 Programme through the execution and closure of Wave 2, Wave 3, ER4 and VLD Open 2 projects, all closely coupled with the EU's aviation policy. This work will lead to the delivery of the last batch of SESAR solutions in critical domains such as automation support, virtualisation and trajectory-based operations. It will enable further industrialisation and deployment of the key technologies and operational capabilities, and pave the way to future R & I activities in the ATM and aviation domains. By continuing these efforts in cooperation with its Members and with other organisations involved in

(4) SESAR Joint Undertaking, *European ATM Master Plan*, 2020 edition, Publications Office of the European Union, Luxembourg, 2019.

(5) SESAR Joint Undertaking, *A proposal for the future architecture of the European airspace*, Publications Office of the European Union, Luxembourg, 2019.

ATM-related research, the SESAR JU will progress towards delivering the research necessary to achieve the performance ambitions set out in the European ATM Master Plan.

The COVID-19 crisis challenges also have a dramatic impact on the SESAR JU's ability to reach the objectives described in each section related to the Strategic Areas of Operations. Actions have already been defined, as part of the work programme, to stabilise the programme delivery and the functioning of the SESAR JU in accordance with the principle of sound financial management, with a particular attention to the safety and integrity of the SESAR JU staff. However, changes to the activities described for the period 2021-2023 may be required in the coming months and the SESAR JU will continue a close monitoring and mitigation actions as far as possible.

While delivering on its strategic objectives, the SESAR JU will remain committed to strengthening its effective and efficient organisation by continually improving its processes, procedures, performance and risk management and information and communication technologies infrastructure, as well as by investing in its talented people.

Florian Guillermet

Executive Director of the SESAR Joint Undertaking

Document history

Edition	Date	Status	Justification
01.00	15.12.2020	Approved	Adoption by the Administrative Board
02.00	25.05.2021	Approved	Adoption of the first amended version by the Administrative Board
03.00	24.09.2021	Approved	Adoption of the first amended version by the Administrative Board

List of acronyms, initialisms and definitions

Acronym	Long name / definition
ADSP	ATM data service provider
AI	artificial intelligence
AIM	aeronautical information management
ANS	air navigation service
ANSP	air navigation service provider
A-PNT	alternative position, navigation and timing
ATC	air traffic control
ATM	air traffic management
ATSU	air traffic system unit
AU	airspace user (civil)
CA	contract agent
CAS	Common Audit Service of the Directorate-General for Research and Innovation of the European Commission
CEF	Connecting Europe Facility
CIC	Common Implementation Centre
CNS	communications, navigation and surveillance
DCB	demand and capacity balancing
DFMC	dual-frequency multi-constellation
DMSC	Delivery Management Sub-Committee
EASA	European Union Aviation Safety Agency
EDA	European Defence Agency
E-TMA	extended TMA (terminal manoeuvring area)
EATMA	European ATM (air traffic management) architecture
EFTA	European Free Trade Association
ER	exploratory research
EU	European Union
EUR	euro (currency)

EUROCAE	European Organisation for Civil Aviation Equipment
FAA	US Federal Aviation Administration
FCI	future communication infrastructure
FIR	flight information region
Flightpath 2050	report of the High Level Group on Aviation and Aeronautics Research established by the European Commission in December 2010, setting out a new vision for the aviation sector by 2050
FTE	full-time equivalent (staff)
GANP	global air navigation plan (from the International Civil Aviation Organization)
GBAS	ground-based augmentation system
G/G	ground/ground
GNSS	global navigation satellite system
GSA	European GNSS Agency
H2020	Horizon 2020 framework programme
HMI	human-machine interface
HR	human resources
IAC	Internal Audit Capability
IALN	Inter Agencies' Legal Network
IAS	Internal Audit Service of the European Commission
ICAO	International Civil Aviation Organization
ICT	information and communication technology
IFR	instrument flight rules
IR	industrial research and validation
JU	joint undertaking
KPA	key performance area
L-DACS	L-band Digital Aeronautical Communications System
LMIG	Legal Mechanism Issue Group
Members	Two founding members of the SESAR JU (the European Union and EUROCONTROL) and 19 stakeholder members, of which all apart from the EU are signatory to a membership agreement or accession agreement
MET	meteorological/meteorology

MoC	memorandum of cooperation
NAPO	Network of Agencies' Procurement Officers
NM	Network Manager
NSA	national supervisory authority
PC	Programme Committee
PMU	Programme Management Unit
QMS	SESAR JU's quality management system
R & I	research and innovation
RBT	reference business trajectory
RPAS	remotely piloted aircraft system
SBAS	satellite-based augmentation system
SES	Single European Sky
SESAR	Single European Sky ATM Research
SESAR 2020	SESAR 2020 innovation R & I programme, also referred to as the 'SESAR 2020 Programme' or 'SESAR 2020 R & I Programme'. It is the coordinated set of activities described in this document, being undertaken by the SESAR JU Members and managed by the SESAR JU
SESAR JU	Single European Sky ATM Research Joint Undertaking, established as a joint undertaking within the meaning of Article 187 of the Treaty on the Functioning of the European Union, established under the SESAR JU basic act
SESAR JU basic act	Council Regulation (EC) No 219/2007 of 27 February 2007 (OJ L 64, 2.3.2007, p. 1) on the establishment of a joint undertaking to develop the new generation European air traffic management system (SESAR), as amended by Council Regulation (EC) No 1361/2008 of 16 December 2008 (OJ L 352, 31.12.2008, p. 12) and by Council Regulation (EU) No 721/2014 of 16 June 2014 (OJ L 192, 1.7.2014, p. 1)
SNE	seconded national expert
SPD	single programming document
SWIM	system-wide information management
TA	temporary agent
TMA	terminal manoeuvring area
TRL	technology readiness level
UAS	unmanned aerial system

U-space	A set of new services relying on a high level of digitalisation and automation of functions, and specific procedures designed to support safe, efficient and secure access to airspace for a large numbers of drones, with an initial look at very low-level operations
UTM	unmanned traffic management
VLD	very large-scale demonstration

Table 1: List of acronyms and definitions



Founding Members



Mission statement

The mission of the Single European Sky ATM Research Joint Undertaking (SESAR JU), created under Article 171 of the Treaty establishing the European Community ⁽⁶⁾, is to develop a modernised Air Traffic Management (ATM) system for Europe, which will prevent crippling congestion of the European sky and reduce the environmental impact of air transport. Established in 2007 as a joint undertaking (JU), the SESAR JU is responsible for the modernisation of the European ATM system by coordinating and concentrating all relevant ATM research and innovation (R & I) efforts in the EU. The SESAR JU is also responsible for executing the European ATM Master Plan, which provides the ambition level and basis for reporting by stakeholders and key institutions on the execution of SESAR. It aims to define and develop the next generation of ATM systems capable of ensuring the worldwide safety and fluidity of air transport by 2050. Finally, the SESAR JU is responsible for ensuring international collaboration on ATM modernisation, under the principles established by the European Union.

The figure below depicts the central role of the SESAR JU in driving and coordinating ATM R & I in relation to EU policy.



Figure 1: The central role of the SESAR JU in driving and coordinating ATM research in the EU

Founded by the European Union and EUROCONTROL, in 2009 the SESAR JU became a Community body. It was initially augmented by 15 stakeholder Members and then in 2016 a further four members acceded to membership, all committing to underpinning the mission of the JU up to 2024. Together with their partners and affiliate associations, the Members represent over 100 organisations from across the ATM community, from civil and military air navigation service providers (ANSPs) to airports,

⁽⁶⁾ Now Article 187 of the Treaty on the Functioning of the European Union (OJ C 202, 7.6.2016), following the entry into force of the Treaty of Lisbon amending the Treaty on European Union and the Treaty establishing the European Community, on 1 December 2009.

civil and military Airspace Users (AUs), staff associations, academia and research centres. Through these partnerships and further collaboration with staff associations, regulators and the wider scientific community, the SESAR JU unites the skills of more than 3 000 experts to fast-track research, leading to change in European ATM in accordance with the ATM Master Plan while ensuring alignment with the EU Aviation Strategy and the Single European Sky (SES) regulation ⁽⁷⁾.

As an integral part of the SESAR project, the SESAR JU is the technological pillar of the Union’s Single European Sky (SES) policy and contributes to the SES targets by defining, developing and validating innovative technological and operational solutions for managing air traffic in a more efficient manner. With an initial budget of EUR 2.1 billion, of which EUR 700 million came from the EU ⁽⁸⁾ (until 2016), and then around an additional EUR 1.6 billion, of which EUR 596.3 million comes from the EU ⁽⁹⁾ (until 2024), the SESAR JU has established a contiguous research ‘pipeline to innovation’. This comprises three distinct strands of activities with the aim of seeing a flow of R & I activities meeting stakeholder needs and citizen expectations: exploratory research (ER), industrial research and validation (IR) and very large-scale demonstrations (VLDs).

The SESAR JU is linked to the European Commission’s mobility and transport policy, and makes a substantial positive contribution to its objectives in terms of ‘decarbonisation, digitalisation, investment and people’.

In addition, the SESAR JU operates in close coordination with other European organisations with direct links to the SESAR project, including EUROCONTROL (founding member), the European Union Aviation Safety Agency (EASA), the European Organisation for Civil Aviation Equipment (EUROCAE) and the SESAR Deployment Manager.

Vision

The objective of the SESAR JU is to coordinate research that delivers solutions that can modernise European ATM by defining, developing and delivering new or improved technologies and procedures (SESAR solutions).

SESAR’s vision builds on the notion of trajectory-based operations and relies on the provision of Air Navigation Services (ANS) in support of the execution of the business or mission trajectory – meaning that aircraft can fly their preferred (optimal performance and environmental) trajectories without being constrained by airspace configurations.

This vision is enabled by a progressive increase in the level of automation support, the implementation of virtualisation technologies for improved resilience and the use of standardised and interoperable systems. The system infrastructure will gradually evolve with digitalisation technology, allowing Air Navigation Service Providers (ANSPs), irrespective of national borders, to plug in their operations

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- ⁽⁷⁾ Regulation (EC) No 549/2004 of the European Parliament and of the Council of 10 March 2004 laying down the framework for the creation of the single European sky (the framework Regulation) (OJ L 96, 31.3.2004, p. 1), as amended by Regulation (EC) No 1070/2009 of the European Parliament and of the Council of 21 October 2009 amending Regulations (EC) No 549/2004, (EC) No 550/2004, (EC) No 551/2004 and (EC) No 552/2004 in order to improve the performance and sustainability of the European aviation system (OJ L 300, 14.11.2009, p. 34).
- ⁽⁸⁾ The EU’s contribution of EUR 700 million up to 2016 was composed of EUR 350 million under the seventh EU framework programme for research and innovation and EUR 350 million under the trans-European transport network programme.
- ⁽⁹⁾ The EU’s contribution of EUR 585 million until 2024 is established under the Horizon 2020 programme. An additional EU contribution of EUR 11.3 million is established under three delegation agreements through which the SESAR JU has been mandated by the European Commission to carry out additional activities in the area of ATM (for details, see point 1.1.3.3 ‘Funding the innovation pipeline’ below).

where needed, supported by a range of information services. Airports will be fully integrated into the ATM network level, which will facilitate and optimise airspace user operations and enable efficient links to other modes of transport.

Going beyond 2035 towards 2050, performance-based operations will be implemented across Europe, with multiple options envisaged such as seamless (borderless) coordination between ANSPs or full end-to-end ANS provided at the network level. Furthermore, it is widely recognised that to increase performance, ATM modernisation should look at the flight as a whole, within a flow and network context, rather than at segmented portions of its trajectory as is the case today. With this in mind, the vision will be realised across the entire ATM system, offering improvements at every stage of the flight.

European ATM Master Plan

ATM is a critical element in the European air transport value chain and is key to connecting regions and making Europe a global hub for mobility and prosperity. ATM modernisation therefore needs to reflect a greater focus on increased efficiency and effectiveness while sustaining or even improving the levels of safety, security and environmental performance. At the same time it must also recognise the need to provide solutions to address critical capacity bottlenecks.

Within the framework of the EU Aviation Strategy and of the SES, the European ATM Master Plan is the main planning tool for defining the SESAR project. The Master Plan defines the vision and the objectives of the SESAR project, ensuring that priorities and commitments made for SESAR development and deployment activities remain strongly connected to the EU’s policy priorities.

All SES R & I activities (ER, IR, VLDs) are carried out in line with the ambitions in the European ATM Master Plan. The Master Plan is an evolving roadmap that also builds on SESAR results and solutions and on a strong collaboration between all European ATM stakeholders, beyond the Members of the SESAR JU. Not only does it set out a high-level view of actions needed to deliver a high-performing ATM system and, ultimately, a ‘digital European sky’, it also explains why and by when. The critical path towards the vision of a digitalised aviation infrastructure is based on a few key components that are presented in Figure 2.

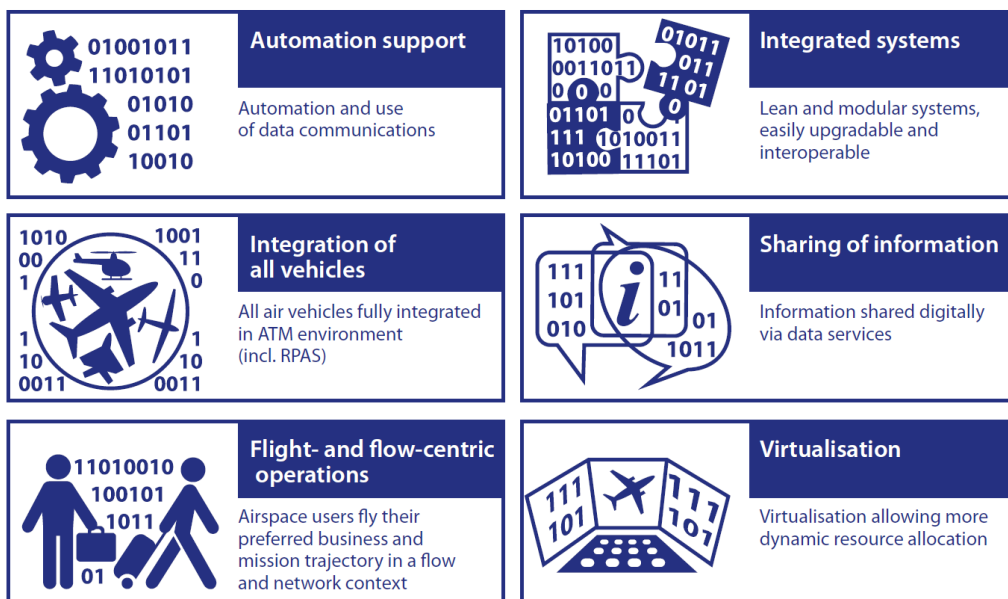


Figure 2: Components of the SESAR vision

The 2020 edition of the Master Plan is the fourth edition of that document. It developed an ambitious vision for the future of SESAR, as described below.

- It describes for the first time the vision beyond the existing SESAR 2020 Programme. It explains the ambition for SESAR 2020 delivery, by when and for what benefits. Beyond this, it also describes what will still be needed to achieve the ultimate goal of a fully digitalised aviation infrastructure; delivering by 2040 a fully scalable and digitalised system able to handle all traffic in a safe, efficient and environmentally friendly way. This paves the way to the detailed identification of additional research and innovation (R & I) needs beyond the current SESAR 2020 Programme.
- It incorporates the R & I needed for the full, safe and effective integration of all aerial vehicles, manned and unmanned, into all categories of airspace. It internalises and describes the different phases for delivering U-space services, including a preliminary business case, and describes the emerging R & I planned and needed to enable this concept.
- It structures the R & I into nine newly defined ‘essential operational changes’ – the ‘game changers’ that are necessary to deliver the SESAR vision.
- It contains a more integrated air/ground roadmap for enabling a rationalised and gradually digitalised aviation infrastructure, and in particular a critical path towards a performance- and service-oriented communication, navigation and surveillance infrastructure.
- It updates the macroeconomic impact of SESAR from the 2012 edition, confirming the weight of aviation for the European economy and the importance of effective ATM for passengers and EU citizens.
- It builds explicit links with the recommendations of the Airspace Architecture Study and its transition plan, and shows that the Master Plan contains the technological elements needed to implement their recommendations where and when they are decided.

Section I – General context

The SESAR JU defines and implements its multiannual work programme to support the achievements of the objectives of the European Commission and especially the objectives and ambitions set in the EU Aviation Strategy. By doing so, the SESAR JU analyses and monitors the major risks, which are twofold: external risks are identified, analysed as far as possible at the SESAR JU's level, and followed; risks affecting the implementation of the SESAR JU's work programme are described in Section II paragraph 1.1.4. *'Risks affecting the implementation of the work programme in the 2021-2023 period'*.

The description of both categories of major risks can be found in Annex XV *'SESAR JU's critical risks for 2021'*.

1. High-level policy objectives: achieving the EU Aviation Strategy goals

In December 2015, the publication of *'An Aviation Strategy for Europe'* ⁽¹⁰⁾ provided additional focus on and momentum towards completion of the Single European Sky, aiming to generate faster growth for the European economy, foster innovation and allow passengers to profit from safer, cleaner and cheaper flights while offering more connections. The strategy contributes directly to the European Commission's priorities, in particular in relation to preparing aviation for the digital age and contributing to its decarbonisation, as well as fostering the EU's leadership as a global actor in this domain.

The Aviation Strategy poses challenges and enablers as represented in the figure below.

⁽¹⁰⁾ Please see: <http://ec.europa.eu/transport/modes/air/aviation-strategy>



Figure 3: Key infographics from ‘An Aviation Strategy for Europe’

Within this framework, the SESAR JU acknowledges the objectives for the modernisation of ATM. To this end, SESAR also remains a flagship project identified within the European Commission’s Flightpath 2050, a roadmap for the provision of a clean, competitive, safe and secure European aviation industry. SESAR’s positive contribution to meeting the needs of citizens and markets and maintaining a competitive advantage for Europe is key to the continued successful evolution of ATM.

Within the SES legislative framework, the SESAR JU contributes to achieving the SES’s high-level goals, formulated in 2005 with a vision to deliver the following performance improvements by 2035:

- enable a threefold increase in capacity, which will also reduce delays both on the ground and in the air;
- improve safety by a factor of 10;
- enable a 10 % reduction in the environmental impact of flights;
- reduce the cost per flight by 50 %.

The SESAR JU transfers the result of its ATM R & I activities in the form of SESAR solutions ⁽¹¹⁾ made available for implementation, and therefore makes a positive contribution both to achieving the SES and to the wider ambition of Flightpath 2050 and the EU Aviation Strategy. The contribution of the SESAR programme to achieving the SES’s high-level goals appears in Figure 8, found later in this document.

⁽¹¹⁾ SESAR solutions are referred to as ‘candidate SESAR solutions’ as long as they are under development in the industrial research phase of the SESAR innovation pipeline (see Figure 7). Once validated at V3 level of maturity, they are packaged and referred to as ‘SESAR solutions’.

2. Drivers shaping the European aviation landscape: towards a Digital European Sky

Aviation, in particular air transport supported by ATM, is a key driver of EU economic growth, job creation and trade expansion. It is essential for the life and mobility of its citizens. However, the current ATM system is still highly fragmented and largely reliant on ageing technology, leading to inefficiencies amounting to approximately EUR 4 billion annually. The role of the SESAR JU in steering the SESAR R & I programme, is to define and develop solutions needed to build a more connected, greener and safer ATM system while ensuring that the latter is standardised and globally interoperable.

This work is currently undertaken through the SESAR R & I programme ('the SESAR 2020 Programme' for the period from 2015 to 2022), coordinated by the SESAR JU and performed by the industry at large. The activities performed by the industry are funded mostly through the Horizon 2020 framework programme, which means that the SESAR JU operates in accordance with Horizon 2020 rules and processes for all its activities relating to the awarding and management of these grants. The European Commission also grants the SESAR JU additional tasks under a variety of legislative frameworks; all of the activities are integrated into the SESAR 2020 Programme.

Besides the role of technology and innovation, the EU Aviation Strategy also recognises the need to secure Europe's leading role in international aviation. To this end, the SESAR JU also works closely with the European Commission and EUROCONTROL on building and executing a coordinated plan of action involving non-EU countries and the international aviation body known as the International Civil Aviation Organization (ICAO).

The challenges for ATM are captured and maintained in the European ATM Master Plan. The Both the 2015 edition and the new 2020 edition describe the SESAR performance ambitions for 2035, the 'essential operational changes' across four key features of the ATM system and the relationship to the supporting key R & I activities. Some of these challenges and solutions are described below. Major developments require a more profound transformation of ATM technology to support safe operations in both controlled and uncontrolled airspace; growth in the volume and diversity of air traffic; evolution towards automation in the ATM sector; parallel evolution towards automation in other transport sectors; and increasing reliance on digitally shared information.

- Growth in the volume and diversity of air traffic.** By 2050, air traffic will consist of tens of millions of annual flights. As shown in the figure below, the vast majority of this traffic will originate from new types of vehicles (such as drones) operating in airspace previously not used – very low-level airspace (initially below 150 m or 500 feet) away from aerodromes. In the airspace at and above 500 feet, which includes both controlled and uncontrolled airspace, in 2050 manned traffic will still outnumber unmanned aviation, but this airspace will be profoundly different from today's due to the increased density and diversity of traffic. In addition, the interactions between the various types of traffic will not necessarily be driven entirely by humans (e.g. single pilot operations leading to an increased degree of airborne automation, unmanned cargo requiring fully automated ATM interactions). The most significant entries into service of these new types of aircraft are expected to gradually scale up as from 2030, the time at which the supporting infrastructure needs to be ready to accommodate this new air traffic. Demand for access to lower-level airspace is already growing rapidly, as more and more drones are taking to the sky every day for leisure but also increasingly to deliver professional services (e.g. inspections and data collection, and public safety and security, but soon also for parcel delivery and urban air mobility). Two key implications follow from this. First, managing this level of air traffic at current productivity

levels will be unsustainable given the cost implications and limited gains in efficiency achieved through further splitting of sectors (airspace elasticity). Second, increased traffic levels and new forms of traffic (including military traffic such as remotely piloted aircraft systems (RPAS) and fifth-generation fighter aircraft) with diverse communication technologies, flight and speed patterns, etc. will lead to unprecedented levels of heterogeneity and complexity in vehicles requiring further automation, connectivity and interoperability. For both, the uncertainty of timing and the magnitude of change require the future ATM system to be fully scalable to ensure a cost-efficient ATM system with safety above the current levels.

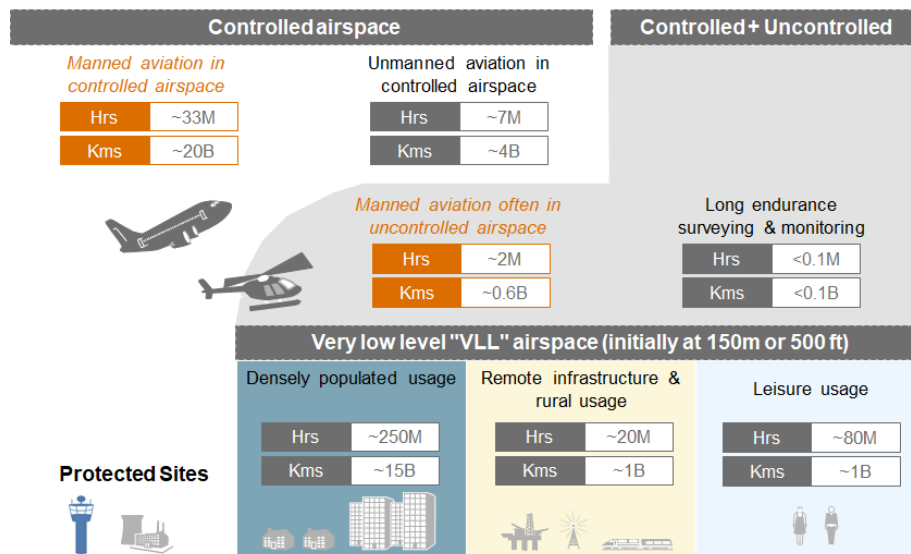


Figure 4: Impact of manned versus unmanned operations in airspace by 2050 ⁽¹²⁾

- European Green Deal for Aviation.** The objective of net-zero greenhouse gas emissions by 2050 set by the European Green Deal, in line with the EU's commitment to global climate action under the Paris Agreement, requires accelerating the shift to smarter and more sustainable mobility. The aviation industry has committed in the long-run to bring into service a new generation of aircraft that will be cleaner and quieter (based on alternative propulsion systems, new airframes and energy sources). However, this ambitious target cannot be achieved if ATM does not allow aircraft and airspace users to fully exploit their potential and thus to reduce emissions to a maximum. Therefore, ATM must evolve at a faster pace than today to bring environmental benefits in the shorter term. Indeed, despite the ATM modernisation efforts undertaken in the past years, 5 to 10% of CO₂ emissions generated by flights are still thought to be avoidable and caused by a fragmented ATM infrastructure that does not fully exploit the advantages of digitalisation and automation. In support of this goal, the SESAR project will gradually contribute to the elimination of environmental inefficiencies caused by the underlying aviation infrastructure, by ensuring that it offers solutions that will fully exploit the potential offered by next-generation aircraft for cleaner and quieter flight (see subparagraph 1.4.1. 'Building on SESAR success toward engaging into the European environmental commitment and the Green Deal').
- Shaping Europe's digital future for Aviation.** The desired change is profound and goes far beyond the narrow understanding of going paperless' or 'replacing analogue with digital'. A

⁽¹²⁾ Source: Drones Outlook Study, SESAR Joint Undertaking, 2016.

‘digitally transformed aviation’ will use targeted data and information through automated and connected solutions to improve the overall performance of the system from safety, efficiency and cost perspectives. Aviation will take full advantage of advanced digital technologies to generate new services and optimise current ones while delivering a better experience and benefits to all stakeholders. The progress made in the fields of machine learning and AI will open the door to a multitude of innovative applications in ATM. Tasks will be performed collaboratively by hybrid human-machine teams, in which advanced adaptable and adaptive automation principles could dynamically guide the allocation of tasks. The goal is not automation per se but optimising the overall performance of the socio-technical ATM system and maximising human performance and engagement at all times. The synchronisation of the air and ground automation systems will make it possible to reduce both controller and flight crew

- **Optimal use of air navigation services infrastructure and use of scarce resources.** The move from physical assets to services, as well as standardisation between systems, will result in a rationalised aviation infrastructure. This is especially the case for CNS, which will rely on more integrated solutions, increased civil-military synergies, and combined ground based-and satellite-based services. This rationalisation and integrated approach to CNS will result in a more efficient use and long-term availability of spectrum. Similarly, the virtualisation of ANS and sharing of data services will enable the delivery of ATC services irrespective of the location of the infrastructure. Virtual control centres and use of remote towers will allow a more efficient and flexible use of resources, substantially improving the cost efficiency of service provision. As a result, ANSPs will have leaner, more modular and scalable systems that are easier to upgrade and more interoperable. Because of this, the system will become more resilient to unexpected traffic downturns or rapid returns to growth
- **Evolution towards automation in other sectors will also shape the future of flight.** The convenience of using a technology or a service increases with the number of users that adopt it. Public acceptance of change and the aviation technology landscape at large will therefore increasingly be influenced by evolutions towards automation stemming from other safety- and security-critical sectors (such as automotive, energy and banking), as has already been observed for the rapidly expanding leisure or semi-professional drone sector.
- **Increasing reliance on digitally shared information.** The evolution of technology will make it possible for companies to collect, store and use large amounts of data to deliver new, innovative services whose relevance for flight safety will also continue to increase. This increased reliance on digitally shared information will further affirm the need for strong cybersecurity systems.

Primarily driven by the growth in the volume and diversity of air traffic, these additional evolutions call for the ATM sector to set the performance ambition to deliver a fully scalable system that is even safer than today’s system while contributing to the elimination of environmental inefficiencies due to the underlying aviation infrastructure.

The planned evolution of today’s aviation ecosystem towards a new (digital) ecosystem covering all aviation operations is presented in the following figure:

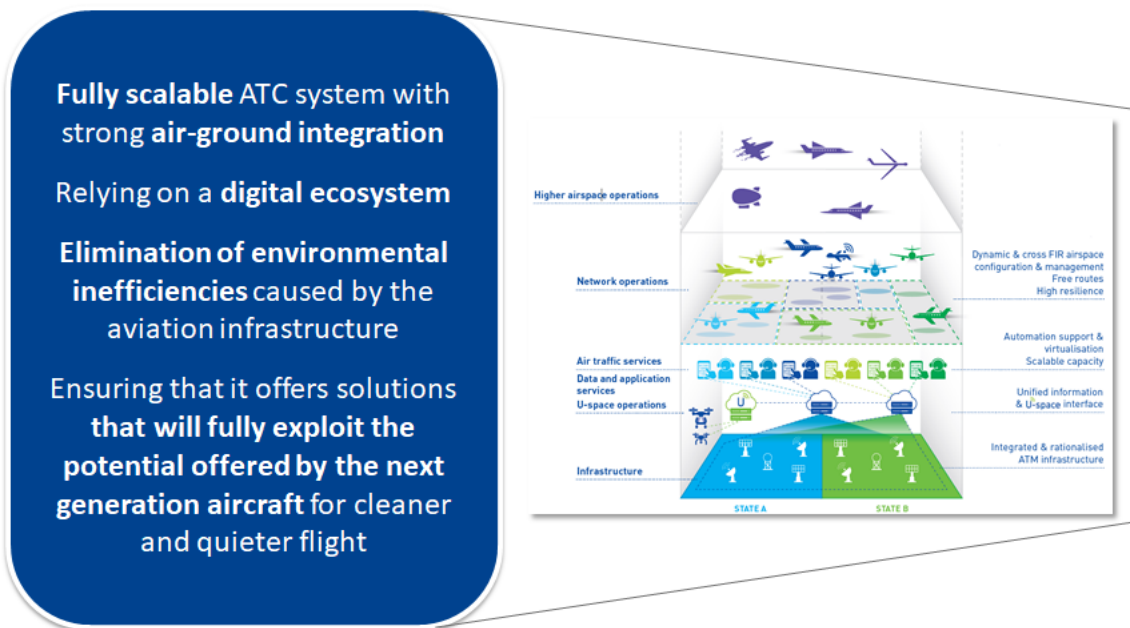


Figure 5: A new ecosystem for aviation

This view of a Digital European Sky remains as relevant post COVID-19 as it was before, and there is now also an opportunity to accelerate its priority characteristics. These are as follows.

- **Scalable.** The capacity of the ATM system needs to be able to adapt quickly and flexibly to traffic-demand variations without generating negative externalities (cost, delay, emissions, etc.).
- **Economically sustainable.** Fixed ATM costs need to be reduced to a minimum, so that the unit costs of the service are less dependent on the volume of traffic handled.
- **Environmentally efficient.** Building on low traffic levels, optimal trajectories should be the new norm.
- **Resilient.** System resilience is urgently needed to reduce the risk that a progressive return to operations over the course of the summer is subject to unforeseen airspace closures or capacity disruptions.
- **Predictable.** The new sanitisation measures will increase complexity and interdependencies; a safe and reliable passenger journey will require the elimination of any uncertainty, whether airborne or at the airport.

Section II – Multiannual programming for years 2021–2023

This section provides stakeholders with a general overview of the activities planned by the SESAR JU in order to fully execute its mandate and deliver its long-term strategy. It is structured around six strategic areas of operation and presents the multiannual objectives for the period from 2021 to 2023 that reflect the mandate of the SESAR JU and its priorities. This section is updated on an annual basis as a rolling plan, giving due consideration to the EU frameworks within which the SESAR JU operates. It replaces the Section II of the *Single Programming Document 2020–2022* insofar as it refers to the years 2021 and 2022.

1. Multiannual work programme for years 2021-2023

1.1. Introduction

The SESAR JU's 2021–2023 multiannual programme aims to ensure complete operational delivery of the SESAR 2020 R & I programme by the end of 2022 and its effective administrative closure by the end of 2023. As outlined in the SESAR 2020 multiannual work programme adopted by the SESAR JU Administrative Board in July 2015 ⁽¹³⁾, the SESAR 2020 Programme has been designed to encourage the implementation of the SESAR innovation pipeline outlined in point 1.1.3.1.

This chapter provides information on the strategic areas of operation according to which the SESAR JU multiannual work programme is established. In the following paragraphs, the activities, source and structure of funding and governance of each strategic area of operation are described. This structure also allows for the reporting provided during the year at Administrative Board level, and ultimately in the SESAR JU's Consolidated Annual Activity Report.

1.1.1. Six strategic areas of operation

In continuity with the plan established in previous years and building on the structure of the SESAR 2020 Programme set in the multiannual work programme, the following six strategic areas of operation each constitute a strategic objective the SESAR JU will follow in the period from 2021 to 2023.

- Strategic area of operation **1 – Provide strategic steering to the SESAR programme**. The SESAR JU will continue to provide strategic steering to the SESAR R & I programme and to contribute to the implementation of the EU Aviation Strategy, in particular through the links with the SES policy framework, by maintaining the European ATM Master Plan and providing guidance on the SESAR concept, architecture and performance. This strategic area of operation is further presented in paragraph 1.2 of this section and in Section III, paragraph 2.1.
- Strategic area of operation **2 – Deliver exploratory research**. Within the pipeline for innovation (see Figure 7 in point 1.1.3.1 'SESAR innovation pipeline' below), the first phase concerns ER, further categorised into the elements/projects that deal with relevant fundamental scientific subjects (excellent science and outreach) and those that investigate the initial applications of such science for the ATM sector (application-oriented research). This strategic area of operation is further presented in paragraph 1.3 of this section and in Section III, paragraph 2.2.

⁽¹³⁾ The multiannual work programme was adopted by the Administrative Board in 2015 (Decision [ADB\(D\)05-2015](#)).

- Strategic area of operation **3 – Deliver industrial research and validation**. The second phase of the pipeline for innovation is IR, which includes applied research, pre-industrial development and validation projects, and is delivered by the Members of the SESAR JU other than the EU. This phase is further split into three waves: Wave 1 covering the 2016–2019 period, Wave 2 (launched in 2019) to cover the period from 2020 to 2022 and Wave 3 covering the 2021–2022 period, i.e. the final years of the SESAR 2020 Programme. It aims for the progressive delivery of a number of specific operational or technical improvements – candidate SESAR solutions – systematically validated to support the decision on their individual implementation and synchronised deployment. The three waves will together cover the ambitions of the ATM Master Plan for the development phase. Paragraph 1.4 below and paragraph 2.3 in Section III further present this strategic area of operation.
- Strategic area of operation **4 – Deliver very large-scale demonstration activities**. The third phase of the pipeline for innovation deals with VLDs, which are designed as demonstrations of particular (some key) programme concept elements and SESAR solutions. These demonstrations provide the bridge between the development and deployment phases of SESAR and are delivered through work undertaken by SESAR JU Members other than the EU, supplemented by open calls for proposals to ensure the widest possible stakeholder participation.

In some cases, the results of application-oriented exploratory research can be passed to this third phase after a proper validation process in the context of ATM but without a full development process. This is particularly the case when a technology is mature in sectors other than ATM and when the focus is more on the adaptation of that mature technology for ATM than on developing the technology.

This strategic area of operation is further presented in paragraph 1.5 and in Section III, paragraph 2.4.

- Strategic area of operation **5 – Deliver SESAR outreach**. The SESAR JU ensures global outreach relating to the ATM Master Plan and the ongoing and planned SESAR activities, in full coordination with the European Commission and EUROCONTROL. This strategic area of operation is described in paragraph 1.6 below and in Section III, paragraph 2.5.
- Strategic area of operation **6 – Deliver effective financial, administrative and corporate management**. The SESAR JU must ensure it operates fully in accordance with its obligations, while also striving continually to improve its financial, administrative and corporate management as these elements of the SESAR JU’s operations remain an integral part of the delivery of its mission and values. This area also addresses the follow-up of audit recommendations and is outlined in further detail in paragraph 1.7 below and in Section III, paragraph 2.6.

1.1.2. SESAR 2020 Programme research topics to be addressed within the innovation pipeline

Recognising that by their nature there is a range of different paces for research activities across the programme, then within the innovation pipeline, the activities of the SESAR JU and its Members, as well as other programme participants, are designed to cover the full spectrum of research topics and maturity levels to be progressed by the SESAR 2020 Programme, which, in its current state, is depicted in the figure below. Based on the initial description established as part of the SESAR 2020 multiannual work programme in 2015, the SESAR JU maintains this structure continuously. It is expected that the maintenance of the ATM Master Plan, and in particular the Master Plan update campaign carried out in 2018–2019, could result in refinements of the structure of research topics.

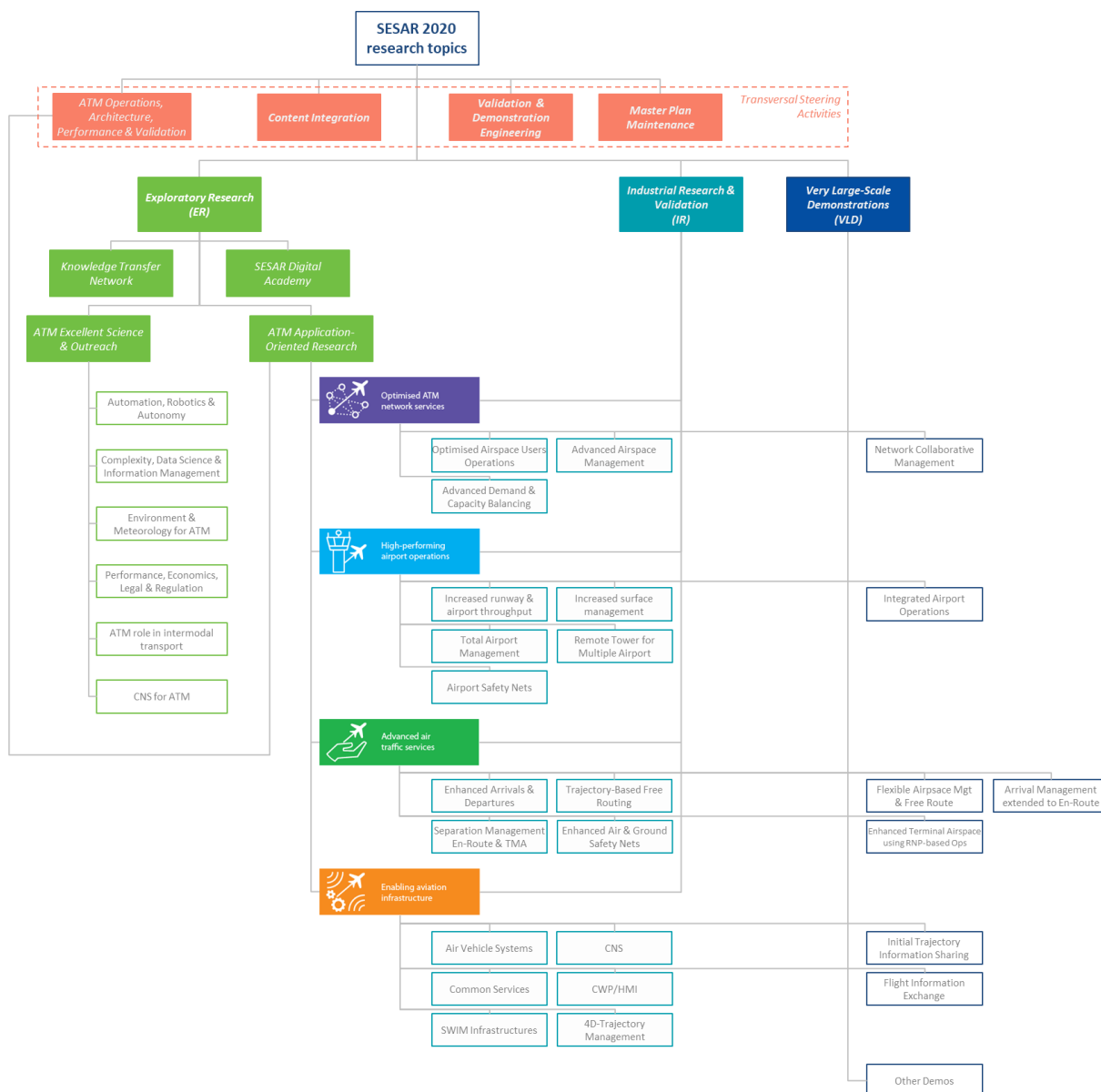


Figure 6: Structure of research topics covered by the SESAR 2020 Programme (as in mid-2020)

In addition to the activities mapped in the figure above, in 2017 the European Commission entrusted the SESAR JU with the management of U-space related activities at EU level ⁽¹⁴⁾.

1.1.3. SESAR 2020 Programme objectives

1.1.3.1. The SESAR innovation pipeline

As depicted in Figure 1, the SESAR JU plays a central role in driving and coordinating ATM research in the European Union. This role materialises mostly in the maintenance of the European ATM Master Plan and in the SESAR R & I programme.

⁽¹⁴⁾ Letter from the European Commission to the members of the Administrative Board of the SESAR Joint Undertaking dated 26 July 2007, with reference MOVE.DDG2.E3/OV – nd/ Ares(2017).

The second SESAR R & I programme for the period from 2016 to 2022, the SESAR 2020 Programme is structured into three main R & I phases that aim to deliver a pipeline of innovation. This matures operational and technology solutions through the European operational concept validation methodology’s well-established control and monitoring process, which is linked to Technology Readiness Level (TRL) ⁽¹⁵⁾.

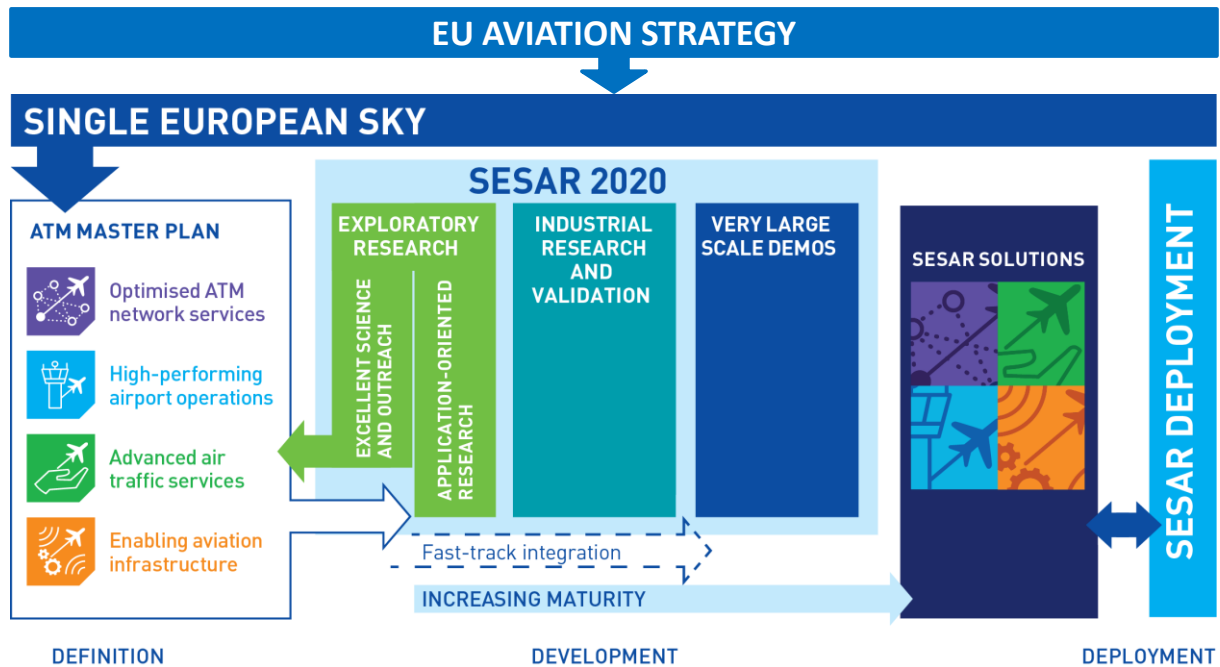


Figure 7: SESAR’s innovation pipeline – from the EU Aviation Strategy to SESAR solutions

This pipeline starts with the EU Aviation Strategy and the SES objectives (see Section I) that feed into the European ATM Master Plan, the main planning tool that defines the ATM modernisation roadmap and priorities that are maintained and updated on a regular basis. ER addresses both transversal topics for future ATM evolution and application-oriented research. According to the four key features defined in the Master Plan, it is then expanded upon with contributions from the SESAR JU Members other than the EU that undertake IR. As per the European ATM Master Plan, this will ultimately deliver results in the form of SESAR solutions that will contribute to firmly establishing the performance benefits in preparation for deployment. The SESAR JU then further exploits the benefits of the partnership in demonstrating, on a large scale, the concepts and technologies in representative environments (VLDs).

In some cases, for instance where technology is mature in sectors other than ATM, fast-track integration from application-oriented research to demonstration activities is possible provided that it includes a proper validation in the context of ATM. This is the case in particular when the focus is more on the adaptation of that mature technology for ATM than on developing the technology (for instance, activities related to U-space, described in subparagraph 2.5.2 of the *Single Programming Document 2020–2022* on VLDs).

⁽¹⁵⁾ As defined in the ‘Horizon 2020 work programme 2018–2020’, Part 19 ‘General annexes’, Section G ‘Technology readiness levels (TRL)’.

1.1.3.2. The European ATM Master Plan: main planning tool for the modernisation of the European ATM

Within the framework of the EU Aviation Strategy and of the SES, the European ATM Master Plan is the main planning tool for the modernisation of the European ATM.

The Master Plan is the official European roadmap building on SESAR results and solutions and strong collaboration between all European ATM stakeholders, not just the Members of the SESAR JU. The new 2020 edition of the Master Plan defines the vision (the 'digital European sky') for the SESAR project as a whole (bringing together SESAR development and deployment activities) and related priorities to realise the digital transformation of the ATM, making European airspace the most efficient and environmentally friendly sky to fly in the world.

1.1.3.2.1. The four SESAR key features

In this Single Programming Document (SPD), SESAR solutions are categorised according to the four key features, forming a coherent way to present the solutions over the time span of the multiannual work programme and across all ATM in Europe, as explained in this document in Section II, Chapter 1 'Multiannual work programme for years 2021-2023' and Section III 'Annual work programme for 2021' of this document:

High-performing airport operations



The future European ATM system relies on the full integration of airports as nodes into the network. This implies enhancing airport operations, ensuring a seamless process through collaborative decision-making and developing collaborative recovery procedures in adverse conditions. In this context, this feature mainly addresses the need for increasing airport capacity through the enhancement of runway throughput, integrated surface management, total airport management and airport safety nets.

Advanced air traffic services



The future European ATM system will be characterised by advanced service provision, underpinned by the development of automation tools to support controllers in routine tasks, allowing them to better address traffic demand with increased en-route available capacity. This feature reflects this move towards further automation with activities addressing enhanced arrivals and departures, separation management, enhanced air and ground safety nets and trajectory- and performance-based free routing.

Optimised ATM network services



An optimised ATM network must be robust and resilient to a whole range of disruptions, including meteorological and unplanned events relying on a dynamic and collaborative mechanism. This will allow for a common, updated, consistent and accurate plan that provides reference information to all planning and executing ATM actors. This enables better consideration of the expected traffic demand in advance, with the aim of making the required en-route capacity available. It also enables the en-route and airport plans and capabilities to be linked to consider traffic demand from gate to gate and to optimise the network capacity accordingly.

This feature includes activities in the areas of advanced airspace management, advanced Demand and Capacity Balancing (DCB) and optimised airspace user operations, along with optimised ATM network management through a fully integrated network operations plan and airport operations plans via System-Wide Information Management (SWIM).







Enabling aviation infrastructure



The enhancements described in the first three key features will be underpinned by an advanced, integrated and rationalised aviation infrastructure, providing the required technical capabilities in a resource-efficient manner. This feature will rely on enhanced integration and interfacing between aircraft and ground systems; communications, navigation and surveillance (CNS) systems; SWIM; trajectory management; and common support services. Furthermore, the safe integration of drones in all categories of airspace and the development of U-space are new policy priorities that are reflected in the dedicated roadmap delivered in 2017 ⁽¹⁶⁾ and in a dedicated call for proposals organised by the SESAR JU in 2018 (see sub-paragraph 1.5.2 ‘VLD Wave 2’ below and Section III, paragraph 2.4 ‘Strategic area of operation 4: Deliver very large-scale demonstration activities (operational activity)’). The drones roadmap’s key findings and results are incorporated into the 2020 edition of the European ATM Master Plan to achieve the overall goal of securing the integration of all air vehicles into the airspace.

1.1.3.2.2. The European ATM Master Plan performance framework

The SESAR JU results in the 2021–2023 period will continue to contribute to the achievement of the SES and the European ATM Master Plan performance ambition milestone for 2035, as well as its ambition across the six main performance areas illustrated in the figure below.

Key performance area	SES high-level goals 2005	Key performance Indicator	Performance ambition vs. baseline			
			Baseline value (2012)	Ambition value (2035)	Absolute improvement	Relative improvement
 Capacity	Enable 3-fold increase in ATM capacity	Departure delay⁴, min/dep	9.5 min	6.5-8.5 min	1-3 min	10-30%
		IFR movements at most congested airports⁵, million	4 million	4.2-4.4 million	0.2-0.4 million	5-10%
		Network throughput IFR flights⁵, million	9.7 million	~15.7 million	~6.0 million	~60%
		Network throughput IFR flight hours⁵, million	15.2 million	~26.7 million	~11.5 million	~75%
 Cost efficiency	Reduced ATM services unit costs by 50% or more	Gate-to-gate direct ANS cost per flight¹, EUR(2012)	EUR 960	EUR 580-670	EUR 290-380	30-40%
		Gate-to-gate fuel burn per flight², kg/flight	5280 kg	4780-5030 kg	250-500 kg	5-10%
 Operational efficiency		Additional gate-to-gate flight time per flight, min/flight	8.2 min	3.7-4.1 min	4.1-4.5 min	50-55%
		Within the: Gate-to-gate flight time per flight ³ , min/flight	(111 min)	(116 min)		
 Environment	Enable 10% reduction in the effects flights have on the environment	Gate-to-gate CO₂ emissions, tonnes/flight	16.6 tonnes	15-15.8 tonnes	0.8-1.6 tonnes	5-10%
 Safety	Improve safety by factor 10	Accidents with direct ATM contribution⁴, #/year Includes in-flight accidents as well as accidents during surface movement (during taxi and on the runway)	0.7 (long-term average)	no ATM related accidents	0.7	100%
 Security		ATM related security incidents resulting in traffic disruptions	unknown	no significant disruption due to cyber-security vulnerabilities	unknown	-

- 1 Unit rate savings will be larger because the average number of Service Units per flight continues to increase.
- 2 “Additional” means the average flight time extension caused by ATM inefficiencies.
- 3 Average flight time increases because the number of long-distance flights is forecast to grow faster than the number of short-distance flights.
- 4 All primary and secondary (reactionary) delay, including ATM and non-ATM causes.
- 5 Includes all non-segregated unmanned traffic flying IFR, but not the drone traffic flying in airspace below 500 feet or the new entrants flying above FL 600
- 6 In accordance with the PRR definition: where at least one ATM event or item was judged to be DIRECTLY in the causal chain of events leading to the accident. Without that ATM event, it is considered that the accident would not have happened.

Figure 8: Performance ambitions for 2035 for controlled airspace ⁽¹⁷⁾

⁽¹⁶⁾ SESAR Joint Undertaking, *European ATM Master Plan: Roadmap for the safe integration of drones into all classes of operations*, 2018. This document is available on the [SESAR JU website](#).

⁽¹⁷⁾ Source: European ATM master plan (performance improvement ambitions are baselined against the situation in 2012).

The realisation of the SESAR target vision will not only bring significant direct and quantifiable performance gains to ATM, air transport and aviation, but it is also expected to deliver wider benefits for the EU economy and society in general.

1.1.3.2.3. SESAR delivery: upgrade phases of the European ATM system

The delivery of these results in the form of SESAR solutions, as defined above in subparagraph 1.1.3 'SESAR 2020 Programme objectives', will contribute to the various phases of the upgrade of the ATM system as outlined in the Master Plan. These phases are depicted in the figure below.

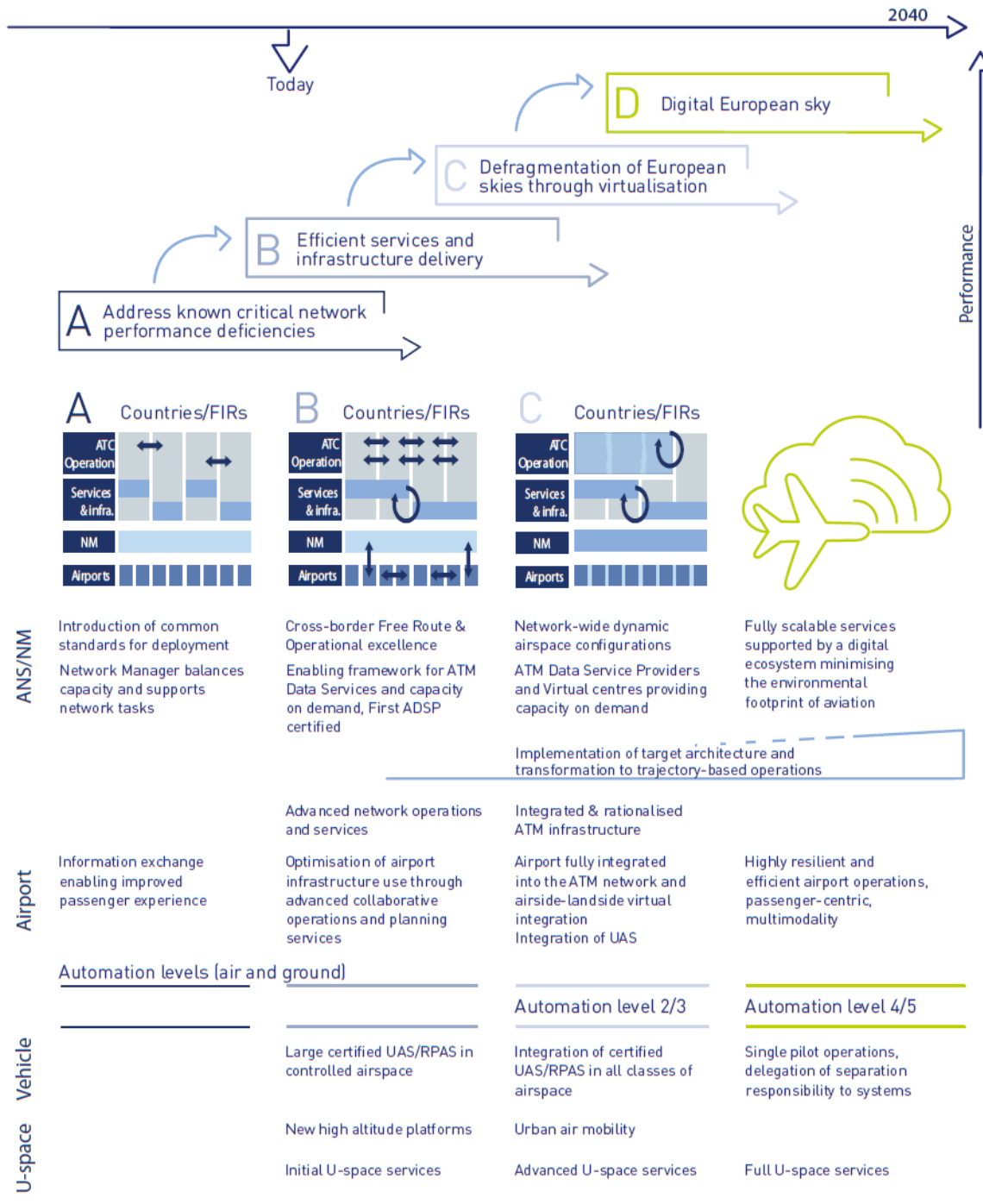


Figure 9: European ATM system upgrade phases as per the ATM Master Plan

Until 2018 the primary objective of the SESAR solutions delivered was to contribute to phases A and B, while preparing the ground for those solutions that will be further developed in the next period. Driven by the 2020 update of the ATM Master Plan and building on the results of Wave 1 and the ER outcome, candidate SESAR solutions will be delivered under Wave 2 of the SESAR 2020 Programme from 2019 to 2022. A mix of these will be further developed up to pre-industrialisation maturity level (V3 or TRL6 then recognising SESAR solutions, covering up to phase C⁽¹⁸⁾) in continuation of those delivered under Wave 1, and will bring new topics with new concepts developed within the ER projects. For the latter, development may be required beyond SESAR 2020 for the further maturation of the scientific and technical challenges of the SESAR target vision (phase D).

Section III, paragraph 2.4 'Strategic area of operation 4: Deliver very large-scale demonstration activities (operational activity)' provides the list of candidate SESAR solutions under development and their contribution to the European ATM system upgrade phases, to the SESAR vision and to the performance areas of the SES.

1.1.3.3. Funding the innovation pipeline

The SESAR JU has received funds from various sources in the EU in order to execute the SESAR 2020 Programme. These funds were delegated to the SESAR JU under four different legal frameworks, namely Horizon 2020⁽¹⁹⁾, the Connecting Europe Facility (CEF)⁽²⁰⁾ and two types of assigned revenues⁽²¹⁾, each allowing execution of either grants (following calls for proposals) or studies (following calls for tenders). The diversity of the applicable legal frameworks under which the SESAR JU operates, each with its own requirements and obligations, also comes with a high degree of complexity. This is due to the number of derogations from these legal frameworks that have been defined in the corresponding delegation agreements between the European Commission (the delegator) and the SESAR JU.

Besides the EU's contribution of EUR 585 million established under the Horizon 2020 programme, an additional EU contribution of EUR 11.3 million was provided to the SESAR JU by the European Commission under three delegation agreements under which the SESAR JU was mandated to carry out additional activities in the area of ATM. These delegation agreements are the following.

- Delegation agreement EC/SESAR JU (ref. MOVE/E3/DA/2016-669/SI2.743803), signed on 6 December 2016⁽²²⁾, with a delegated budget of EUR 500 000 in assigned revenue to organise a call for proposals for a geofencing demonstration.

⁽¹⁸⁾ Pending the outcome of the results of the SESAR 2020 programme and excluding the delivery of U-space related solutions, which are only partly covered in the current programme.

⁽¹⁹⁾ The rules applicable to the grants co-funded by the SESAR JU under the Horizon 2020 programme are defined in Regulation (EU) No 1290/2013 of the European Parliament and of the Council of 11 December 2013 laying down the rules for participation and dissemination in 'Horizon 2020 – the framework programme for research and innovation (2014–2020)' (OJ L 347, 20.12.2013, p. 81).

⁽²⁰⁾ The rules applicable to the grants co-funded by the SESAR JU under the CEF are defined in Regulation (EU) No 1316/2013 of the European Parliament and of the Council of 11 December 2013 establishing the Connecting Europe Facility, amending Regulation (EU) No 913/2010 and repealing Regulations (EC) No 680/2007 and (EC) No 67/2010 (OJ L 348, 20.12.2013, p. 129).

⁽²¹⁾ The rules applicable to the grants co-funded by SESAR JU through use of the assigned revenue are defined in Regulation (EU, Euratom) 2018/1046 of the European Parliament and of the Council of 18 July 2018 on the financial rules applicable to the general budget of the Union (EU financial regulation) (OJ L 193, 30.7.2018, p. 1).

⁽²²⁾ In accordance with Article 54(2)(a) and Article 58(1)(c)(iv) of Regulation (EU, Euratom) 2018/1046 of the European Parliament and of the Council of 18 July 2018 on the financial rules applicable to the general budget of the Union (EU financial regulation) (OJ L 193, 30.7.2018, p. 1).

- Delegation agreement EC/SESAR JU (ref. MOVE/E3/DA/2017-477/SI2.766828), signed on 10 November 2017, with a delegated budget of EUR 800 000 in assigned revenue to procure a study to develop a proposal for the future architecture of European airspace.
- Delegation agreement EC/SESAR JU (ref. MOVE/E3/DA/2017-564/si2.771010), signed on 13 December 2016, with a delegated budget of EUR 10 million in assigned revenue from CEF funds to organise a call for proposals on U-space demonstrations.

The three phases of the pipeline and the steering of the programme will be delivered using the following instruments: ER and part of the VLDs being secured using open calls for proposals, and the IR and the remaining part of the VLDs using calls restricted to the Members of the SESAR JU other than the EU.

The relationship between the various programme phases of the SESAR 2020 Programme and the various call activities is outlined in the following figure and is further detailed in paragraphs 1.2 to 1.5 of this section.

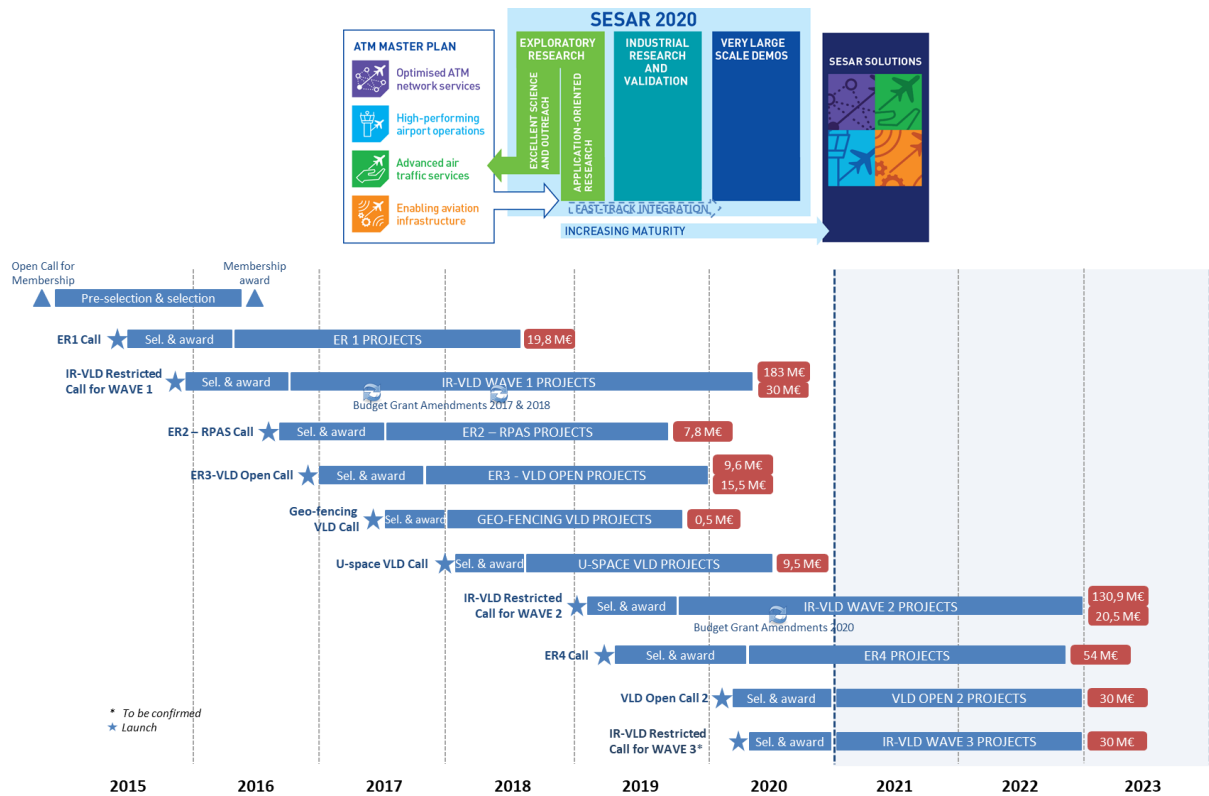


Figure 10: Call activities of the SESAR 2020 Programme over the 2015–2022 period

As shown in the figure above, the SESAR JU plans to have, where possible, all calls for proposals related to the SESAR 2020 Programme launched and all related grant agreements signed by the end of 2020 or early 2021 in duly justified cases ⁽²³⁾, while at this stage all projects are expected to complete their activities and be closed by the end of 2022.

⁽²³⁾ According to Article 1 of the basic act of the SESAR JU, ‘calls for proposals under the Joint Undertaking shall be launched at the latest by 31 December 2020. In duly justified cases calls for proposals may be launched until 31 December 2021’.

In addition to the calls for proposals listed above, the SESAR JU undertakes studies in relation to technical topics that are relevant to the technological pillar of the SES. Of these, the list of procurement actions related to studies the SESAR JU will undertake in 2021 appears in Annex XII 'Procurement plan for 2021'.

1.1.3.4. Overview of the SESAR 2020 Programme portfolio of projects at the beginning of October 2020

As a result of the calls for proposals already completed by the end of 2019, the SESAR 2020 Programme is composed of the following 81 closed and 48 ongoing projects (129 in total), which implement the research topics presented in subparagraph 1.1.2 'SESAR 2020 Programme research topics to be addressed within the innovation pipeline' (Figure 6). An additional 24 projects are in the grant agreement preparation phase and are expected to be launched by Q1 2021. Each topic of the ER is covered by one or several projects, while topics of the IR and VLD are generally covered by one project each. As can be seen in the figure below and in relation to Figure 6, most of the research topics of the SESAR 2020 Programme are covered by projects in execution or projects that are closed (closed projects, i.e. those that had completed their activities by the end of November 2020, are marked with the symbol ✓.) The approach covering the remaining topics is presented in Section III, paragraphs 2.1 to 2.4.

According to Article 6 of the general agreement between the European Commission and the SESAR JU signed on 19 December 2014, 'grant agreements shall not be signed later than 31 August 2021, or 31 August 2022 in duly justified cases under Article 1(1) of the SJU Regulation or beyond that date in exceptional and duly justified cases under Article 20(3) of the Rules of Participation'.

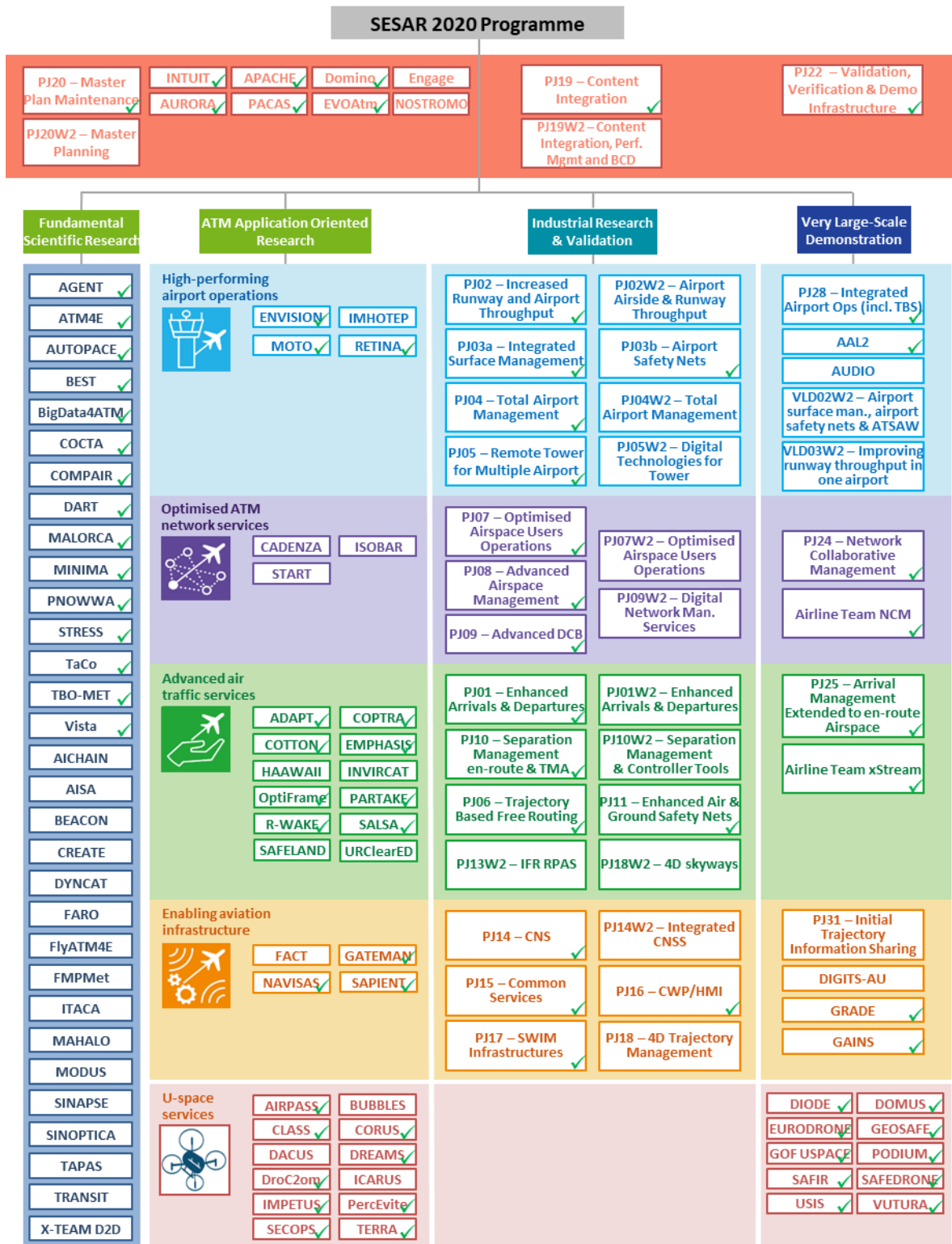


Figure 11: SESAR 2020 Programme portfolio of projects matching the research topics at the end of November 2020 (projects in execution or closed)

1.1.3.5. Dissemination of information about project results

The SESAR JU will systematically collate and disseminate data from completed and ongoing projects with the aim of obtaining a comprehensive overview of the progress achieved in each financed project against the targets outlined in the SESAR JU's annual and multiannual work plans. Such data collection will enable a holistic view of the SESAR 2020 activities and their impact. Output from projects, such as standardisation material, publications and patents, will be made available on the SESAR JU's website (via either uploaded documents or links to relevant websites) and through direct dissemination of material to the appropriate bodies in support of the preparation for deployment. Information on Horizon 2020 calls for proposals and projects will continue to be made available through the Horizon 2020 Funding and Tenders Portal and other Horizon 2020 reporting mechanisms. In addition, the SESAR JU will continue to publish and promulgate SESAR solutions once they are available and validated through the release process.

The SESAR 2020 Programme will comply with all provisions of the Horizon 2020 programme. However, while ER and VLD Open projects will comply with all the provisions of the '*Horizon 2020 work programme 2018–2020*', Annex L, related to open access to research data, IR and VLD projects receiving co-financing following restricted calls for proposals, as defined in Section III, subpoint 2.6.1.1.3 of the SPD for 2020–2022, may decide to opt out of these provisions in order to protect results that are expected to be commercially or industrially exploited and/or to protect the project's main aim, as explained in Section II, subparagraphs 1.4.1 'IR Wave 2 projects (from 2019 to 2022)' and 1.5.1 'VLD Open call (from 2018 to 2021) under the call for proposals with reference H2020-SESAR-2016-2'. In addition, the justification for a project-by-project opt-out by IR and VLD projects can be further reinforced due to the complementary nature of co-financed projects. This means that their results, including the research data, will be published and accessible as SESAR solutions, rather than individual project-by-project results and/or research data. The publication of SESAR solutions is coordinated and carried out by the SESAR JU.

1.1.4. Risks affecting the implementation of the work programme in the 2021-2023 period

Over the 2021-2023 period, the SESAR JU's work programme may be affected by risks which are registered in the SESAR JU's corporate risk register.

The information on the SESAR JU's critical risks is not public and may be made available on request in case of justified need.

1.1.5. Governance of the SESAR 2020 Programme

The governance of the SESAR 2020 Programme is shown in the following figure.

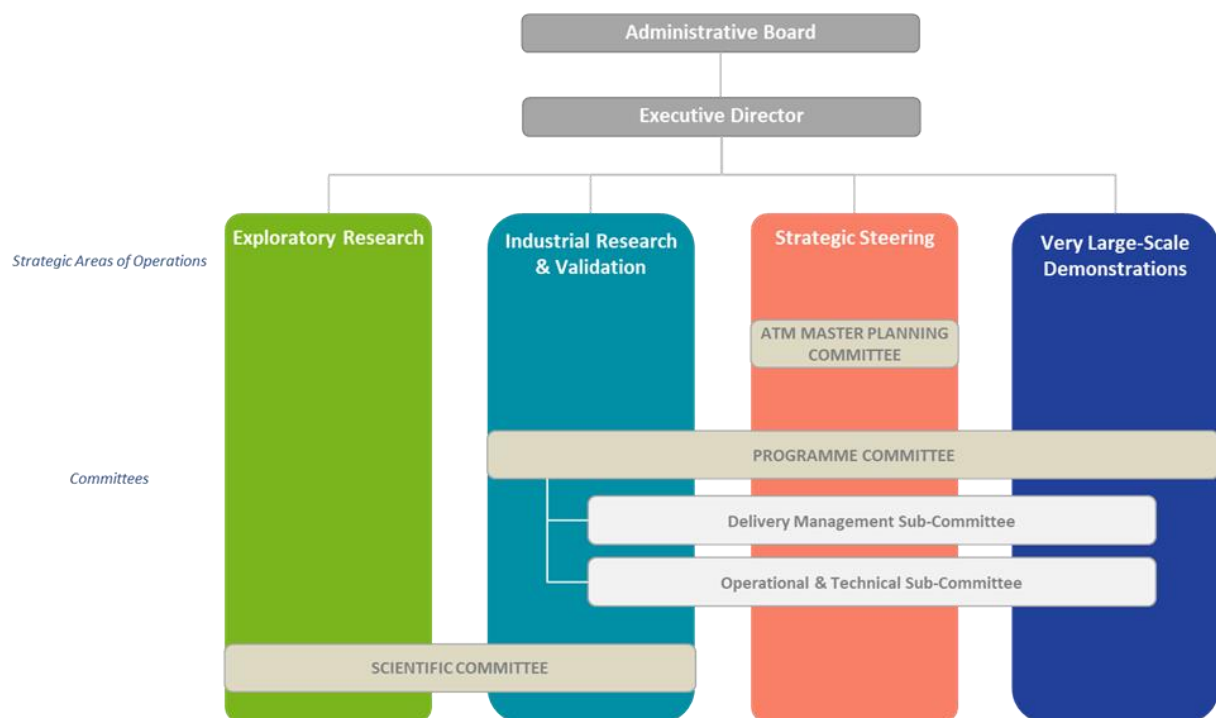


Figure 12: Governance of the SESAR 2020 Programme

1.1.5.1. Administrative Board

The Administrative Board is the main governance body of the SESAR JU. It is responsible for the strategic orientation and effective operation of the SESAR JU, supervises the implementation of its activities in accordance with Article 5 of the Statutes of the Joint Undertaking and efficiently manages any potential situation or risk of conflict of interest arising in the implementation of the programme. In accordance with the SESAR JU basic act, the Administrative Board is chaired by the European Commission, representing the EU, and with the EUROCONTROL representative acting as a vice-chair. It is constituted of one representative from each Member of the JU ⁽²⁴⁾, the military, civil airspace users, ANSPs, equipment manufacturers, airports, ATM staff and the scientific institutions/community.

1.1.5.2. Executive Director

Appointed by the Administrative Board, the SESAR JU's Executive Director is responsible for the appointment of staff and their assignments and for the day-to-day management of the JU, and is its legal representative. He or she directs the execution of the SESAR 2020 Programme, including taking responsibility for necessary technical, operational and architectural decisions, within guidelines established by the Administrative Board to which he or she is responsible. He or she provides the Administrative Board with all information necessary for the performance of its functions. This includes in particular the drawing up and regular updating of the multiannual and annual work programmes of the JU, including an estimate of programme costs and the assurance that the activities of the JU are being carried out with complete independence and without any conflicts of interest. He or she also submits any proposal involving changes in the design of the SESAR project to the Administrative Board.

⁽²⁴⁾ The list of members of the SESAR JU is provided in Annex XIV.

1.1.5.3. Programme Committee

The Programme Committee is composed of representatives of each of the Members of the SESAR JU other than the EU. In addition to this, one representative of civil airspace users and another from the European Commission act as permanent observers. The secretariat and the chair are provided by the SESAR JU.

By representing their organisations, the Programme Committee members commit to implementing decisions taken by the committee that affect the SESAR programme with regard to technical and contractual matters.

The Programme Committee supports the SESAR JU's Executive Director in the delivery of the SESAR 2020 Programme, covering the IR and VLD phases of the programme.

The Programme Committee is supported by two subcommittees: a Delivery Management Sub-Committee (DMSC), which focuses on the management of the programme and of the various contributions, and an Operations and Technical Sub-Committee, which focuses on steering the content of the activities.

1.1.5.4. ATM Master Planning Committee

This committee is composed of representatives of the European Commission, EUROCONTROL, civil airspace users, the European Defence Agency representing the military, ANSPs, ground and airborne equipment manufacturers, airports, professional staff organisations in the ATM sector, the European Union Aviation Safety Agency (EASA), EUROCAE, the SES Network Manager and the SESAR Deployment Manager.

These representatives were put forward to the Executive Director by the relevant Members of the SESAR JU Administrative Board for formal appointment to the committee. The committee provides advice to the Executive Director on the progress of the implementation of the European ATM Master Plan and monitors coherence between its three levels ⁽²⁵⁾. In particular, it identifies potential gaps in or opportunities for improving the Master Plan priorities and advises the Executive Director on measures it considers are needed.

1.1.5.5. Scientific Committee

The Scientific Committee supports the SESAR JU's Executive Director in ensuring the scientific excellence of the SESAR 2020 Programme. In particular, under the chair of the SESAR JU, this committee monitors the ER activities (content and results) of the SESAR 2020 Programme and the transition to IR. It also provides the Executive Director with scientific advice covering the whole range of the SESAR JU's research activities under the SESAR 2020 Programme.

The committee-member seats are filled by experts selected as a result of an open call for scientists and researchers from across the research community, along with one observer from each of the founding members (the European Commission on behalf of the EU, and EUROCONTROL). In order to foster the transition between the ER and IR, an observer seat is reserved for a representative of the Programme Committee.

⁽²⁵⁾ Level 1 – Executive view; Level 2 – Planning view for SESAR development activities; Level 3 – Planning view for SESAR deployment activities.

The current membership of the Scientific Committee is valid until the end of February 2021. Means for an extension further to this date are under consideration.

1.1.6. The future of ATM research

According to its current basic act, the SESAR JU will cease to exist in its present organisational form on 31 December 2024, as stipulated in Article 1(2) of the amended SESAR JU basic act.

In 2019, the European Commission launched activities to determine options for an integrated ATM partnership (SESAR 3) in the next multiannual financial framework (2021–2027). In light of this ongoing process initiated and led by the European Commission, and as a result of the Administrative Board’s responsibility for proposing to the European Commission the extension and/or dissolution of the JU ⁽²⁶⁾, two main scenarios have been identified:

- **Establishment of the SESAR 3 Joint Undertaking.** The European Commission plans to publish a legislative proposal in 2020 for the adoption of a new Council regulation in 2021 (time frame for adoption by the Council to be confirmed). This regulation would repeal and replace the amended SESAR JU basic act and lay down the legal basis for establishing the future JU. If confirmed, it is assumed in this scenario that from the date of entry into force of the new regulation (assumed in 2021), the transition would have to be planned carefully and relevant technical, financial and legal provisions would have to be in place to transfer the current obligations to the future JU. Such scenario would also require an amendment to this SPD in due time, in order to provide the legal basis and the planning for the transition and the transfer of rights and obligations towards the new legal entity based on Article 187 TFEU (repeal and replace scenario).
- **Termination of the SESAR JU.** Should there be no decision for a future partnership for ATM by the end of 2021, the Administrative Board will be asked to adopt proposals on the finalisation of the SESAR 2020 programme, dissolution of the SESAR JU and on the appointment of liquidators for conducting the proceedings involved in winding up the JU ⁽²⁷⁾. Upon approval from the Administrative Board and under close supervision of the European Commission, the SESAR JU will wind up and liquidate its activities, leading to their cessation by 31 December 2024 at the latest (termination scenario).

The SESAR JU is, under the leadership of the European Commission, anticipating and assessing the potential consequences of the changing regulatory and financial conditions governing the SESAR JU and its programme, which are summarised in risk identified in the Annex XV with the reference CORP05 ‘The SESAR JU may not be able to manage the transition towards the ending phase of the SESAR 2020 programme execution and/or future ATM research due to limitations in the field of human resources, legal framework, stakeholders support contract etc.’. The mitigation measures identified in that Annex aim to secure continuity of required expertise, completion of the existing SESAR 2020 Programme under the current set of rules, as well as being able to support transition arrangements defined by the European Commission to establish SESAR 3 and its respective programme. This approach aims at adapting as quickly and efficiently as possible to any changes once the decisions affecting the future partnership are made and effective. In particular, the SESAR JU will have to transition all applicable contracts, agreements and decisions towards the new legal entity. Details of this transition will have

⁽²⁶⁾ As per Article 5(1)(k) of the SESAR JU Statutes annexed to the SESAR JU basic act, the Administrative Board is responsible for ‘deciding on proposals to the European Commission on the extension and the dissolution of the Joint Undertaking’. However, the legislative initiative in this regard remains with the European Commission.

⁽²⁷⁾ As per Article 25 of the SESAR JU Statutes annexed to the SESAR JU basic act.

to be provided for in the basic act of the new legal entity, in spite of which the following risks could impact the new partnership severely:

- Risk related to financial resources: actions and activities carried out under the current SESAR JU basic act have a level of funding from all Members of the SESAR JU, which correspond to direct (in the form of grants and contracts) and indirect costs (including SESAR JU running costs). The repeal and replace scenario must include a carry-over of all financial resources towards the new legal entity. Not carrying over all financial resources to cover both direct and indirect costs would put the ability of the SESAR JU to achieve its objectives at very high risk;
- Risk related to human resources: the SESAR JU must have a staff establishment plan which is commensurate to its complete mandate, and must keep the level of resources that are currently carrying out actions and activities under the SESAR 2020 programme until the end of 2023 (see above the schedule of actions in paragraph 1.1. 'Introduction'). Furthermore, it must be in a position to adapt its range of competencies to new elements of its work programme, implemented as from 2021, especially the ones related to the challenges of digitalisation, automation, environmental performance and contribution to the European Green Deal, which are identified in Section I of this document and which form the backbone of the Digital European Sky Strategic Research and innovation Agenda (SRIA). The completion of the SESAR 2020 Programme operational, financial and administrative activities, and the preparation and launch of the SESAR 3 Programme, together with ongoing activities of the SESAR JU and SESAR 3 JU in support of the Commission's policy-making, requires the staff establishment plan to be maintained at least at the current level, skills and experience. Not having the number and types of human resources would jeopardise the implementation of the SESAR JU's work programme dramatically;
- Risk related to private partners contribution: the future ATM partnership will leverage both financial and in-kind contribution of private partners (air navigation service providers, airports, manufacturing industry, operators, airspace users, institutional partners...). The provisions of the SESAR 3 JU's basic act must enable the mechanisms (financing rate, funding schedule, research phases, conditions for participation...) to establish a work programme that will adequately leverage the capacity of the partners to deliver research and innovation activities and to de-risk their participation to the partnership.

Taking consideration of these risk factors, the risk with reference CORP05 is assessed at a high level of criticality. While the European Commission manages the process required to potentially establish the future JU, the SESAR JU will, under the supervision of its Administrative Board, provide support as requested in order to adequately respond to any final decision from the European Union.

Further information on related proceedings from a multiannual perspective is available in Section II, paragraph 1.7 'Strategic area of operation 6: Deliver effective financial, administrative and corporate management'.

1.2. Strategic area of operation 1: Provide strategic steering to the SESAR programme

Under the leadership of the SESAR JU, all SESAR 2020 R & I activities are undertaken under a common framework. As introduced with the SESAR 2020 Programme research topics diagram (Figure 6), this framework applicable to IR relies on the following elements:

- maintenance of the European ATM Master Plan;
- content integration activities aiming for transversal steering of the programme through the concept of operations, architecture activities and the performance framework
- system engineering support activities aiming to create traceability and coverage reports between high level concept and operational requirements with requirements, validation objectives and validation results at the level of solution development.

In the 2021–2023 period, the following projects should support the execution of this framework in 2021–2022, as depicted in Figure 11: PJ.20 W2 ‘Master Plan maintenance’, covering the maintenance of the ATM Master Plan and PJ.19 W2 ‘Content integration’, covering the required coordination of IR projects to develop the concept of operations, architecture and performance, and alignment with the ATM Master Plan.

The strategic steering projects work very closely with the SESAR JU to provide an additional level of integration to de-risk the delivery of candidate SESAR solutions.

In this role, the SESAR JU benefits from additional support from airspace users, professional staff organisations, EASA and national authorities (see subparagraph 1.2.5 ‘Support contracts and agreements / working arrangements’). They mainly provide the SESAR JU with advice to help the broader buy-in on the results of the SESAR 2020 Programme.

In addition to these projects, in continuation of the work done in previous years and upon the request of the European Commission, the SESAR JU may carry out additional activities in the period from 2021 to 2023 to assist stakeholders in other areas related to the technological pillar of the SES.

1.2.1. ATM Master Plan maintenance

The significant Master Plan update campaign conducted in 2018–2019 enabled the definition of the vision towards a digital European Sky, highlighting the priorities that supports the digital transformation of the ATM industry through increased resilience, scalability and sustainability.

In light of the COVID-19 crisis, a broad dialogue conducted at the level of the Master Planning Committee confirmed that the overall vision and the objectives of the 2020 edition of the European ATM Master Plan (Level 1 – Executive view) remain valid, while adjustments to the shorter-term (2020–2025) implementation milestones may be necessary. Many of which are dependent on on-going regulatory decisions impacting the SESAR Development (SESAR 3) and SESAR Deployment phases (CP1, RP3).

On this basis, it was decided to postpone the formal update of the implementation levels for the Master Plan for SESAR Development activities (level 2) and SESAR Deployment activities (level 3) until the aforementioned supporting regulatory decisions enter into force.

In the 2021–2022 period, the planned ATM Master Plan maintenance activities therefore will consist in:

- Delivering the annual updates for Level 2 and 3 with consideration for the associated standardisation and regulatory needs,
- The implementation of actions resulting from the advice provided by the Master Planning Committee.

The governance of the ATM Master Plan maintenance is materialised by the support provided to the SESAR JU's Executive Director by the ATM Master Planning Committee, as described in point 1.1.5.4 'ATM Master Planning Committee'.

Providing input to the Executive Director and facilitating his consultation of the ATM Master Planning Committee, in continuation of project PJ.20 over the 2016–2019 period, in 2021–2022 project PJ.20 W2 will support the SESAR JU in the maintenance of the ATM Master Plan in accordance with the signed grant agreement. The expected delivery of the PJ.20 W2 transversal activities is as follows.

PJ.20 W2 transversal deliverables	2021	2022
Update of Master Plan level 1		X (if need is confirmed by the Board)
Update of Master Plan level 2 (published on MP portal and supporting level 1 gap and impact assessment)	X	X (for endorsement by the Board)
Update of Master Plan level 3 (Plan & report)	X	X (for endorsement by the Board)
Update of standardisation needs	X	X
Update of regulatory needs	X	X

Table 2: Transversal deliverables of PJ.20 W2 supporting the Master Plan maintenance

Further information on the follow-on activities of the update of the 2020 edition of the European ATM Master Plan are provided in Section III, paragraph 2.1 'Strategic area of operation 1: Provide strategic steering to the SESAR programme (operational activity)'.

1.2.2. Content integration and transversal programme steering

The SESAR 2020 Programme requires expert guidance and steering to achieve the objectives of the European ATM Master Plan. While the decisions are taken by the SESAR JU in coordination with the SESAR governance, content-integration activities, supported by PJ.19 W2, coordinate and integrate operational and technical solutions, and as such support and guide the execution of the transversal processes (e.g. safety, security assessment, cost–benefit analysis) to ensure their completeness, consistency and coherence from a holistic perspective. The content-integration activities also cover the maintenance and support of the performance framework and ensure its implementation by the SESAR 2020 projects. These activities provide support to the activities that monitor the programme and that lead to the SESAR JU's necessary further decision-making.

The objective of project PJ.19 W2 is to support programme execution and IR project developments for the delivery of the SESAR solutions in line with the ATM Master Plan. To achieve that objective, the project will support the SESAR JU in:

- organising and executing content-integration change processes;

- organising on a continuous basis the activities needed at programme level aiming to coordinate and consolidate the ATM architectural content elements;
- contributing to the solution maturity assessment;
- ensuring the translation of the Master Plan performance ambition into validation targets;
- supporting solution projects in their performance evaluation and aggregate performance results in business cases, which will then be consolidated by PJ.20 W2 as part of its Master Planning maintenance activities;
- proposing concept-of-operations evolutions aligned with the SESAR target vision and the European ATM Master Plan performance ambitions;
- enabling and supporting the system engineering data management framework, allowing system engineering data to be captured (requirements and validation / demonstration objectives and results) in a structured way and ensuring consistency, coherence and coverage analysis at programme level.

The expected delivery of the PJ.19 W2 transversal activities is as follows.

PJ.19 W2 transversal deliverables 2021–2022	2021	2022
Operational concept and High level Operational Requirements documents	X	X
Architecture description document	X	X
Performance framework and assumptions	X	
Consolidated performance assessment and gap analysis	X	X
Consolidated CBA / business case (as input to pj20 MP campaign)	X	
Architecture release (MP L2) and eATM portal release note	X	X
Service roadmap and Service, Information and Terminology (RSIT) reports”	X	X

Table 3: Concept, architecture and performance steering activities deliverables in 2021–2022

1.2.3. Transversal and strategic steering activities funding

Strategic steering activities are supported by projects funded through ER and IR calls for proposals (see paragraphs 1.3 and 1.4 of this section), as follows:

Ref.	Title	Short project description	Call for proposals	Status (June 2020)	Max. total co-financing value (EUR) ⁽²⁸⁾
PJ.19 W2	Content integration	‘Content integration’ (CI) activities aim to coordinate and integrate operational and technical solutions, and as such to support and guide the processes to ensure their completeness, consistency and coherency from a holistic perspective as expressed in the SESAR concept of operations.	H2020-SESAR-2019-1	Ongoing during the period from 2020 to 2022	4 500 702
PJ.20 W2	Master Plan maintenance	The European ATM Master Plan has three levels (Executive, Planning and Implementation) that require synchronised monitoring and alignment. The work consists in maintaining, updating and publishing as and when necessary the Master Plan, and in managing the Master Plan update campaigns.	H2020-SESAR-2019-1	Ongoing during the period from 2020 to 2022	2 088 795
NOSTROMO	Next-Generation Open-Source Tools for ATM Performance Modelling and Optimisation	The ATM system is composed of elements that interact with each other generating a number of properties characteristic of complex adaptive systems. NOSTROMO aims to develop new approaches to ATM performance modelling able to reconcile model transparency, computational tractability and ease of use with the necessary sophistication required for a realistic representation of the ATM system.	H2020-SESAR-2019-2	Ongoing during the period from 2020 to 2022	1 771 361

One transversal project (‘Engage’) addressing the Knowledge Transfer Network under the open ER 3 call (with reference H2020-SESAR-2016-1) is expected to be completed by the end of 2021.

Table 4: SESAR 2020 programme transversal and strategic steering activities with related co-financing

Furthermore, as presented in Section II, point 2.3.1.2 ‘Expenditure’, in addition to direct funding (Title III – Operational expenditure) the SESAR JU also dedicates a proportion of its running costs (Title I – Staff expenditure and Title II – Infrastructure and operating expenditure) to carrying out the programme steering activities. The overall funding for strategic area of operation 1 is indicated in

⁽²⁸⁾ For closed projects, final grant amounts are indicated.

Annex II. Support contracts / agreements / working arrangements with additional stakeholder groups are funded through a dedicated budget subject to procurement actions.

1.2.4. Other activities carried out to assist stakeholders in matters related to the technological pillar of the SES

1.2.4.1. Support to European Commission's policy-making

In the 2021–2023 period, the SESAR JU will support the European Commission in relation with the preparation of the future ATM research agenda and practical steps as part of the new EU multiannual financial framework for 2021–2027.

The SESAR JU will also support the European Commission DG MOVE in the transition between the Pilot Common Project and the Common Project 1.

1.2.4.2. U-space integration activities

On top of the delivery of the SESAR 2020 Programme, in 2021 the SESAR JU will continue to assist the European Commission with the integration of new air vehicles into the ATM environment and U-space.

Indeed, the Vilnius and Helsinki Conferences have clearly highlighted that unlocking drone operations in Europe has become an urgent priority for Europe, with a hard deadline of 2019 for U-space foundation services (also referred to as U1 services) ⁽²⁹⁾. The European Commission has entrusted the SESAR JU with the task of managing U-space-related activities at EU level ⁽³⁰⁾, and has signed a specific delegation agreement ⁽³¹⁾ to perform demonstration activities to validate systems that support U-space services.

Following this mandate, the SESAR JU launched a U-space call for proposals (with reference CEF-SESAR-2018-1) in early 2018, which resulted in six projects relating to U-space that completed their demonstration activities in Q2 2020, delivering a set of findings and technology solutions that will directly support the development and implementation of U-space.

In addition, further U-space research activities have been identified in the technical specifications for the ER4 and VLD Open 2 calls in 2020. These topics and any funded projects will mainly deal with urban air mobility, demand and capacity balancing for drones, airport traffic management for a drone fleet, multimodal mobility and integration of all aerial vehicles.

1.2.5. Support contracts and agreements / working arrangements

The SESAR JU has set up an external support contract to help in steering the SESAR 2020 Programme: the SESAR Development Support Service contract covering industrial support, programme management support and the provision of a collaborative programme management platform until the end of December 2022.

In addition, the SESAR JU will benefit from four main agreements with additional stakeholder groups to provide strategic advice to the SESAR JU:

⁽²⁹⁾ For more information on levels of U-space services please refer to the [U-space Blueprint](#), SESAR JU, 2017, p. 5.

⁽³⁰⁾ Letter from the European Commission to the members of the Administrative Board of the SESAR Joint Undertaking dated 26 July 2007, with reference MOVE.DDG2.E3/OV – nd/ Ares(2017).

⁽³¹⁾ The European Commission has given a mandate to the SESAR JU to organise U-space demonstrations through delegation agreement EC/SESAR JU ref. MOVE/E3/DA/2017-564/si2.771010, signed on 13 December 2007, with a delegated budget of EUR 10 million from the CEF fund.

- airspace-user support contracts (with civil airspace users),
- working arrangements with professional staff organisations,
- authority working arrangements (with national aviation authorities),
- the support contract with airports.

Furthermore, in 2021 the SESAR JU will continue to cooperate closely with EASA on the basis of the current memorandum of cooperation that is planned to be replaced by an inter institutional service level agreement for the provision of services in support of the execution of the European ATM Master Plan that were not covered by the EASA fees and charges or by a financial contribution and subsidies from the EU.

1.3. Strategic area of operation 2: Deliver exploratory research

As outlined in the SESAR 2020 Programme, ER topics presented in subparagraph 1.1.2 ‘SESAR 2020 Programme research topics to be addressed within the innovation pipeline’ (Figure 6), are all essential and integral components of the R & I scope funded and managed by the SJU. These activities are structured around three key areas.

- One transversal area: the ‘Knowledge Transfer Network’. Aims to assess and coordinate project results to contribute to spotting innovative ideas, concepts and models that can support the identification of ATM system concept trade-offs; new technology validation at system level; and defining and consolidating requirements. The ATM research community will be able to share research results.
- Two research areas, as described below.
 - **ATM excellent science and outreach.** This will help develop new concepts for ATM beyond those identified in the European ATM Master Plan, and will help to develop emerging technologies and methods to the level of maturity required to feed the applied research conducted by the SESAR JU. This part of ER will be structured around the four key features and the transversal needs of the programme to ensure there is a flow of ideas and results in a structured manner across the whole programme:
 - automation and autonomy,
 - complexity, data science and information management,
 - environment and meteorology for ATM,
 - performance, economics, legal and regulation,
 - ATM’s role in intermodal transport,
 - CNS for ATM.
 - **ATM application-oriented research.** This aims at bridging the results of ATM excellent science and outreach with the higher maturity ATM research performed with the wider research community, as part of SJU Industrial Research activities, and providing the necessary scientific support to ATM change. There will also be a particular focus on bringing the ATM capacity to the level required to comply with the expected traffic growth, either directly or through connection to further funded research areas in other disciplines or sectors.

The abovementioned three areas of the ER are further complemented as of 2020 by the SESAR Digital Academy, described in more detail in point 1.3.3.2 of this section.

ER is fully funded by the European Union under the Horizon 2020 framework and has a total funding amount of up to EUR 100 million ⁽³²⁾, which includes direct funding (Title III – Operational expenditure) through ‘open’ calls for proposals and a portion allocated to the SESAR JU running costs (Title I – Staff

⁽³²⁾ The SESAR JU’s basic act establishes an amount of ‘EUR 85 million for exploratory research ... Exploratory research activities should be entirely paid from the Union budget’, which was confirmed in the multiannual work programme of the SESAR 2020 programme. With the addition of EUR 15.4 million to the maximum budget of the fourth open call for proposals for ER, the total budget allocated to ER activities has been increased to EUR 100 million, including direct funding and a proportion of SESAR JU running costs.

expenditure and Title II – Infrastructure and operating expenditure). The overall funding for strategic area of operation 2 for 2021–2023 is indicated in Annex II.

A sequence of four calls for proposals covers the full spectrum of ER activities over the period from 2015 to 2022, as depicted in the following figure:

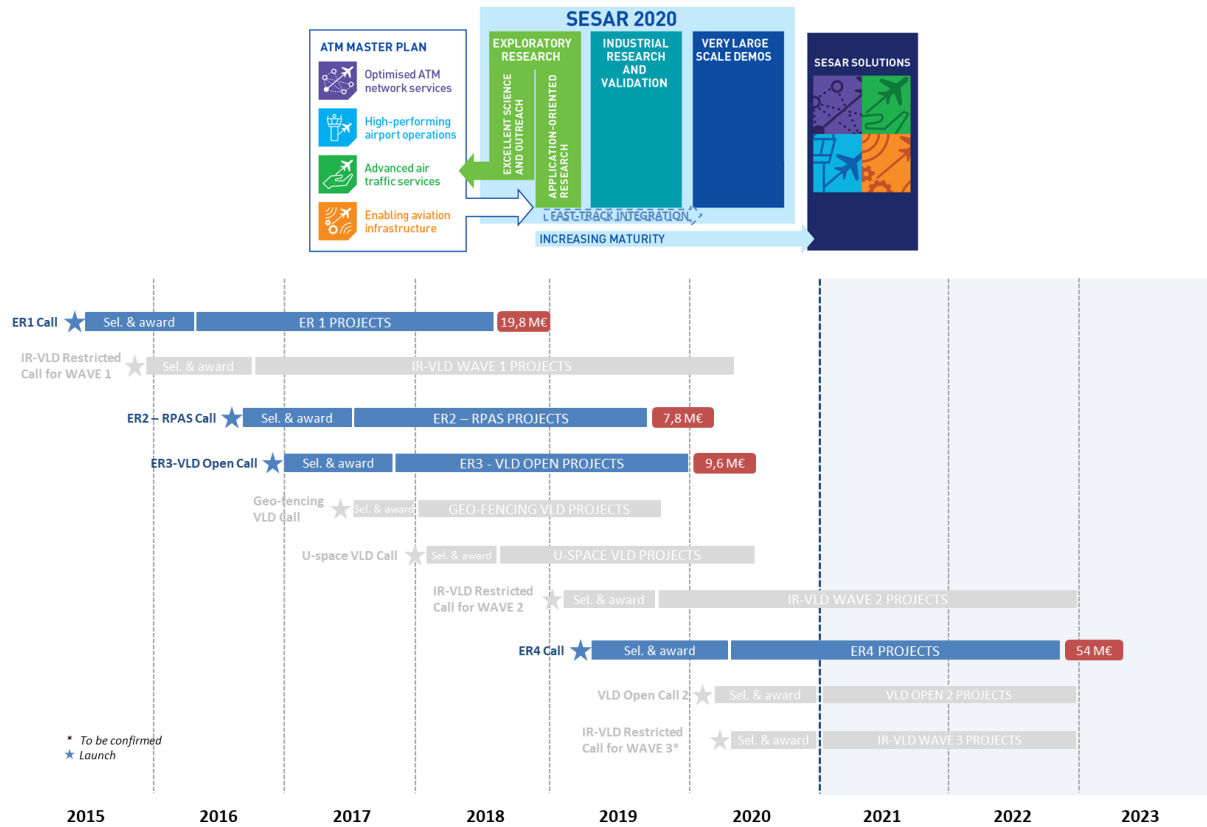


Figure 13: Sequence of ER calls and related funding over the 2015–2022 period

As depicted in this figure, during the 2021–2023 period the SESAR JU will, for ER activities, supervise and ensure the delivery of results by the projects launched under the ER4 call for proposals (with reference H2020-SESAR-2019-2), then ensure the financial and administrative closure of these projects in 2023.

As outlined in the SESAR 2020 Programme research topics presented in subparagraph 1.1.2 ‘SESAR 2020 Programme research topics to be addressed within the innovation pipeline’, ER projects cover application-oriented research focusing on the four key features of the ATM Master Plan, along with fundamental scientific research activities.

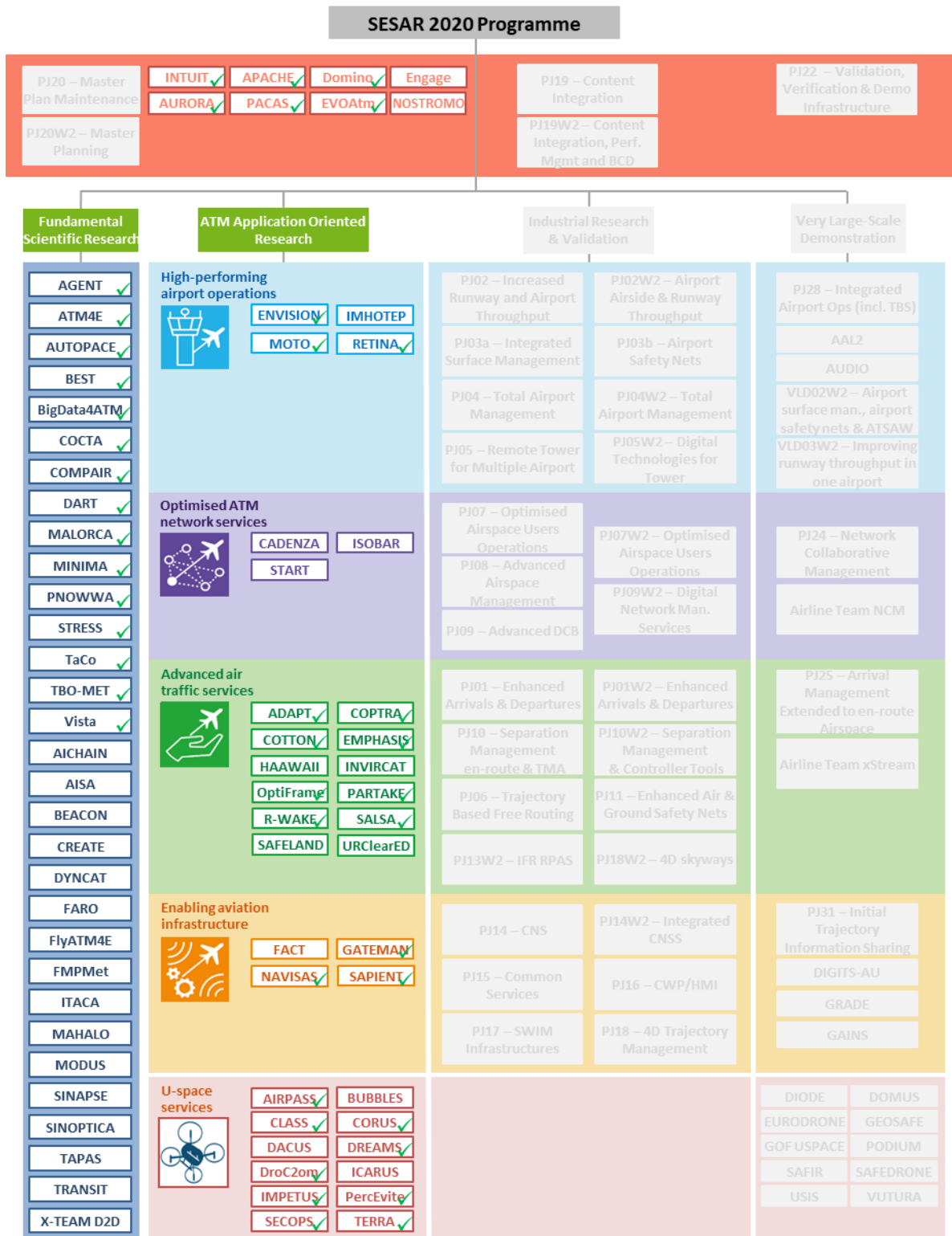


Figure 14: SESAR 2020 Programme portfolio of projects for ER at the beginning of November 2020

1.3.1. Calls for proposals launched in previous years and already closed in the beginning of 2021

Two first calls on ER were organised in 2015 and 2016, resulting in a total of 37 projects, which are now complete. Details on these calls and projects can be found in the SESAR JU's SPDs for previous periods and in the SESAR JU's consolidated annual activity reports.

The third call related to ER (under the call for proposals with reference H2020-SESAR-2016-2 with the designation ER3/VLD Open) resulted in eight ER projects. The only project still in execution under that call for proposals is the 'Engage' support action project, which will close by the end of 2021.

Project reference	Project title	Short project description	Max. total co-financing value (EUR)
Engage	Knowledge Transfer Network	The network aims to stimulate the transfer of ER results towards ATM application-oriented research. The network will establish a knowledge hub, in which members across the research community are continuously involved. This will include an observatory and will undertake the role of devising and maintaining the long-term roadmap development of innovative and interdisciplinary ATM concepts beyond SESAR 2020. The knowledge hub will be the one-stop, go-to source for information in Europe. This project should close by the end of 2021.	3 971 875

Table 5: 'Engage', the ongoing ER3 project in the 2021–2023 period (under the call for proposals with reference H2020-SESAR-2016-2)

A summary of the results of ER projects already completed and closed will be available in the next SESAR JU consolidated annual activity report.

1.3.2. Calls for proposals in execution: ER4 call for proposals with reference H2020-SESAR-2019-2

A fourth ER call was launched in 2019. After the completion of the call procedure and the successful award of 29 grants, 27 ER projects were launched by the end of May 2020 and two projects (FACT and 'HAAWAI') have been launched during the summer 2020.

During the review of its budget for expenditure conducted in April 2020, the SESAR JU identified available operational appropriations (Title III). Considering the overall very good quality of proposals received in response to the ER4 call, and kept on a reserve list due to the limited budget initially available (EUR 38.6 million at the launch of the call), the SESAR JU decided to take the opportunity of the available operational appropriations to increase the maximum budget of the ER4 call for proposals by EUR 15.4 million. This allowed to launch 12 additional proposals extracted from the reserve list in the grant agreement preparation phase. The signature of these grants is expected by the end of 2020 with the aim of launching these projects into execution in January 2021.

All ER4 projects are expected to close by the end of 2022. This call is building on and complementing the research topics already included in the earlier ER calls launched in 2015 and 2016 (see above). For the ER4 call for proposals, the SESAR JU will comply with all provisions of the 'General annexes' to the

'Horizon 2020 work programme 2018–2020' ⁽³³⁾. All related grants are in compliance with the Horizon 2020 model grant agreement.

In the beginning of October 2020, the SESAR 2020 Programme included the following projects as a result of the ER4 call.

Project reference	Project title	Short project description	Max. total funding value (EUR)
AICHAIN	A platform for privacy-preserving Federated Machine Learning using Blockchain to enable Operational Improvements in ATM	AICHAIN proposes an innovative digital information management concept combining federated machine learning and Blockchain technologies. This enables the cyber-secured exploitation of large private data sets by a privacy-preserving federated learning architecture in which neither the training data nor the training model needs to be exposed.	996 505
AISA	AI Situational Awareness Foundation for Advancing Automation	To implement advanced automation, artificial intelligence (AI) and humans need to be able to share situational awareness. Therefore, the AISA project is exploring the effect of, and opportunities for, distributed human-machine situational awareness in en-route air traffic control (ATC) operations. The project is developing an intelligent situationally aware system by combining machine learning with a reasoning engine.	990 125
BEACON	Behavioural Economics for ATM Concepts	BEACON aims to study the feasibility of extending user-driven prioritisation process to allow multi-prioritisation processes in the airspace and the exchange of slots between airlines. It will build two models: a strategic model and a detailed tactical simulator. To properly capture the agents' behaviours, BEACON will make use of behavioural economics.	996 594
BUBBLES	Defining the BUilding Basic BLocks for a U-Space SEparation Management Service	BUBBLES aims to formulate and validate the concept of a U-space advanced (U3) 'separation management service'. It will develop algorithms to compute the collision risk of unmanned aerial systems, allowing separation minima and methods to be defined so that a safety level stated in terms of overall probability of collision can be defined and maintained.	1 606 109
CADENZA	Advanced Capacity and Demand Management for	CADENZA aims to develop a detailed trajectory broker concept for the European network, incorporating advanced demand–capacity balancing	1 158 124

⁽³³⁾ European Commission Decision C(2017) 7124 of 27 October 2017.

Project reference	Project title	Short project description	Max. total funding value (EUR)
	European Network Performance Optimization	mechanisms. The trajectory broker will balance capacity and demand through a coordinated capacity provision process and collaborative trajectory management (including a novel trajectory-charging scheme). Significant improvements in cost-efficiency and delay are expected.	
CREATE	Innovative operations and climate and weather models to improve ATM resilience and reduce impacts	Air operations largely use weather information to make the air traffic flow safe, continuous and efficient. As climate changes continue, the information available on the weather at short and longer notice is increasing and technology is being improved. CREATE aims to achieve innovative procedures in ATM to reduce the climate and environmental impact, while becoming more resilient to weather phenomena.	998 165
DACUS	Demand and Capacity Optimisation in U-space	DACUS aims to develop a service-oriented Demand and Capacity Balancing (DCB) process for drone traffic management. This overall objective responds to an operational and technical need in European drone operations for a tangible solution integrating the functionalities of SESAR's U-space services for traffic management to produce timely, efficient and safe decisions.	1 739 618
DYNCAT	Dynamic Configuration Adjustment in the TMA	DYNCAT aims to enable more environmentally friendly and more predictable flight profiles in the TMA, namely on approach, by supporting pilots in configuration management.	989 299
FACT	Future All Aviation CNS Technology	FACT aims to increase safety, security, efficiency, and robustness of future air traffic environment through development of integrated CNS functional architecture supporting the use of common performance based approach, addressing needs of large spectrum of airspace users across varied operational environments.	1 850 500
FARO	saFety And Resilience guidelines for aviatiOn	FARO aims to bring new insights into safety and resilience in ATM, with four objectives: to exploit existing safety knowledge; to quantify the impact of increasing automation on ATM safety; to analyse the impact of increasing automation on ATM resilience; and to provide design guidelines and identify future research needs.	999 559

Project reference	Project title	Short project description	Max. total funding value (EUR)
FlyATM4E	Flying Air Traffic Management for the benefit of environment and climate	FlyATM4E aims to expand approved climate-assessment methods and the optimisation of aircraft trajectories to identify promising mitigation options suitable for solving the task of reducing the overall climate impact of aircraft operations. The project will assess the feasibility of a concept for the environmental assessment of ATM operations working towards the environmental optimisation of air traffic operations.	999 765
FMPMet	Meteorological uncertainty management for Flow Management Positions	FMPMet aims to integrate meteorological forecast uncertainty information into the decision-making process for flow management position. FMPMet aims to provide the flow management position with an intuitive and interpretable probabilistic assessment of the impact of convective weather on the operations, up to 8 hours in advance.	849 000
HAAWAII	Highly Automated Air Traffic Controller Workstations with Artificial Intelligence Integration	HAAWAII aims to research and develop a reliable, error-resilient and adaptable solution to automatically transcribe voice commands issued by both air traffic controllers and pilots, and to perform proof-of-concept trials in challenging environments. Also, the objectively estimated controllers' workload utilising digitised voice recordings of the complex London TMA will be assessed.	1 825 000
ICARUS	Integrated Common Altitude Reference System for U-space	ICARUS aims to propose an innovative solution to the challenge of the common altitude reference inside very low-level airspaces with the definition of a new U-space service and its validation in a real operational environment.	1 144 588
IMHOTEP	Integrated Multimodal Airport Operations for Efficient Passenger Flow Management	IMHOTEP aims to develop a concept of operations and a set of data analysis methods, predictive models and decision-support tools that allow information sharing, common situational awareness and real-time collaborative decision-making between airports and ground transport stakeholders.	1 999 805
INVIRCAT	IFR RPAS Control in Airports and TMA	INVIRCAT aims to create a concept of operations for remotely piloted aircraft systems in the terminal manoeuvring area of airports, assessing it through simulations, and to draft a set of	1 416 055

Project reference	Project title	Short project description	Max. total funding value (EUR)
		recommendations for rule-makers and standardisation bodies.	
ISOBAR	Artificial Intelligence Solutions to Meteo-Based DCB Imbalances for Network Operations Planning	ISOBAR aims at providing a service- and AI-based network operations plan, by integrating enhanced convective weather forecasts for predicting imbalances between capacity and demand and exploiting AI to select mitigation measures at the local and network levels in a collaborative air-traffic-flow and capacity-management operations paradigm.	1 908 798
ITACA	Incentivising Technology Adoption for Accelerating Change in ATM	ITACA aims to accelerate the development, adoption and deployment of new technologies in ATM. ITACA will develop a new set of methodologies and tools enabling the rigorous and comprehensive assessment of policies and regulations aimed at amplifying the uptake of new technologies within ATM.	999 938
MAHALO	Modern ATM via Human/Automation Learning Optimisation	To answer the question of whether automation should match human behaviour or be understandable to humans, MAHALO aims to develop an individually tuned machine learning system to solve ATC conflicts and couple this to an enhanced en-route Conflict Detection & Resolution display. Insights will be used to define a framework to guide the design of future AI systems.	997 213
Modus	Modelling and assessing the role of air transport in an integrated, intermodal transport system	Modus analyses the performance of the overall transport system by considering the entire door-to-door journey holistically. The project identifies (future) drivers for passenger demand and supply and assesses the impact on airside and landside processes and capacities. Based on these analyses, potential solutions to meet high-level European transport objectives are proposed.	998 875
NOSTROMO	Next-Generation Open-Source Tools for ATM Performance Modelling and Optimisation	The ATM system is composed of elements that interact with each other generating a number of properties characteristic of complex adaptive systems. NOSTROMO aims to develop new approaches to ATM performance modelling able to reconcile model transparency, computational tractability and ease of use with the necessary sophistication required for a realistic representation of the ATM system.	1 771 361

Project reference	Project title	Short project description	Max. total funding value (EUR)
SAFELAND	SAFE LANDING through enhanced ground support	SAFELAND aims to support the flight and landing of aircraft operated by a single pilot, in case of partial or total incapacitation of the pilot. SAFELAND will focus on the ground side, and specifically on the role ATM could have in managing the transition from a single-pilot-operated flight to a status with reduced or absent contribution of the on-board pilot to landing.	1 978 138
SINAPSE	Software defined networking architecture augmented with Artificial Intelligence to improve aeronautical communications performance, security and efficiency	SINAPSE aims to propose an intelligent and secured aeronautical datalink communications network architecture design, based on the software-defined networking architecture model augmented with AI to predict and prevent safety services outages, to optimise available network resources and to implement cybersecurity functions protecting the network against digital attacks.	853 300
SINOPTICA	Satellite-borne and IN-situ Observations to Predict The Initiation of Convection for ATM	SINOPTICA aims to explore the potential of assimilating remote-sensing, global navigation satellite system (GNSS)-derived datasets and in situ weather-station data into very high-resolution, very short-range numerical weather forecasts to provide improved prediction of extreme weather events to the benefit of ATM operations.	999 285
START	a Stable and resilient ATM by integrating Robust airline operations into the network	START aims to develop, implement and validate optimisation algorithms for robust airline operations that result in stable and resilient ATM performance even in disturbed scenarios. The main focus of the project is the optimisation of conventional traffic situations while considering disruptive weather events such as thunderstorms.	1 999 411
TAPAS	Towards an Automated and exPlainable ATM System	TAPAS aims to explore highly automated AI-based scenarios through analysis and experimental activities applying explainable artificial intelligence and visual analytics, in order to derive general principles of transparency that pave the way for the application of AI technologies in ATM environments, enabling higher levels of automation.	997 410
TRANSIT	Travel Information management for Seamless Intermodal Transport	TRANSIT aims to develop a set of multimodal key performance indicators, mobility data analysis methods and	999 950

Project reference	Project title	Short project description	Max. total funding value (EUR)
		transport simulation tools, allowing the evaluation of the impact of innovative intermodal transport solutions on the quality, efficiency and resilience of the door-to-door passenger journey.	

**Table 6: Ongoing ER4 projects in the 2021–2022 period
(under the call for proposals with reference H2020-SESAR-2019-2)**

1.3.3. Other activities related to exploratory research

1.3.3.1. SESAR Innovation Days

The SESAR Innovation Days are an annual event representing the main vehicle for SESAR Joint Undertaking to share progress and disseminate exploratory research results, where researchers, industry and stakeholders meet to exchange information on new and innovative research activities and relevant results coming from the SESAR Programme managed by the SJU; they are the main vehicle for SESAR Joint Undertaking to share progress and disseminate exploratory research results

Since their creation in 2010 the SESAR Innovation Days have become a landmark event in the European aviation research calendar. The event is not only a vehicle for the SESAR JU to share progress and disseminate results of its ER programme, but is also an opportunity for the wider research community to present their work.

As in previous years, the 2021 event will be shaped by scientific papers and presentations, selected based on an open call for contributions. The event will also feature a poster exhibition and a networking event, which will provide participants with the opportunity to learn about other interesting projects and to meet like-minded researchers and key industry, airport and airline players (see Table 22 in Section III, point 2.5.1.1 ‘Communication and promotion activities’). Should the current COVID situation limit the mobility of the participants, the event will be done in virtual mode.

The SESAR Young Scientist Award, which aims to recognise young scientists with great potential who contribute to the scientific research in the field of ATM and aviation, is also presented during the SESAR Innovation Days.

1.3.3.2. SESAR Digital Academy

The SESAR Digital Academy responds to a request from the previous Commissioner for transport to skill and inspire the next generation aviation workforce in anticipation of the digital economy.

The vision of the SESAR Digital Academy is to become a recognised learning initiative supporting Europe’s future aviation and ATM workforce. The mission is to nurture Europe’s brightest minds and advance learning, scientific excellence and innovation in aviation and ATM, to promote student mobility and a whole spectrum of learning opportunities, from fundamental research to industry-focussed applied research, and to enhance the knowledge, skills and employability of aviation professionals.

The SESAR Digital Academy seeks to bring together under one umbrella SESAR exploratory research activities and outreach, relating to education and training, as well as professional learning opportunities offered by research centres, universities, industry partners and other entities within the ATM/aviation domain.

Linked with the Knowledge Transfer Network (addressed by the ER3 project 'Engage'), and making use of a dedicated portal on the SESAR JU's website, during the period from 2021 to 2023 the initiative will increase the accessibility and visibility of existing SESAR outreach and will continue to highlight relevant events, such as the SESAR Innovation Days, along with other activities targeting students and the academic community, such as the Young Scientist Award.

1.4. Strategic area of operation 3: Deliver industrial research and validation

During the reporting period, SESAR 2020 IR activities will facilitate the migration of ideas from ER and have them further extended in the applied research and finally in the pre-industrial development stage, validation, large-scale demonstration and then final preparation for deployment. Therefore, the main objective of this strategic area of operation is to deliver SESAR solutions that are derived from the ATM Master Plan and identified in the SESAR 2020 multiannual work programme.

This is done through projects funded under a maximum of three calls for proposals restricted to the 19 SESAR JU Members other than the EU and EUROCONTROL. The total EU funding available for these calls under Horizon 2020 is EUR 398 million in direct costs (Title III – Operational expenditure), including EUR 319.7 million for IR and EUR 20.1 million for strategic steering activities – see paragraph 1.2 ‘Strategic area of operation 1: Provide strategic steering to the SESAR programme’ above; the remaining part is for VLDs – see paragraph 1.5 ‘Strategic area of operation 4: Deliver very large-scale demonstration activities’, as depicted in the figure below.

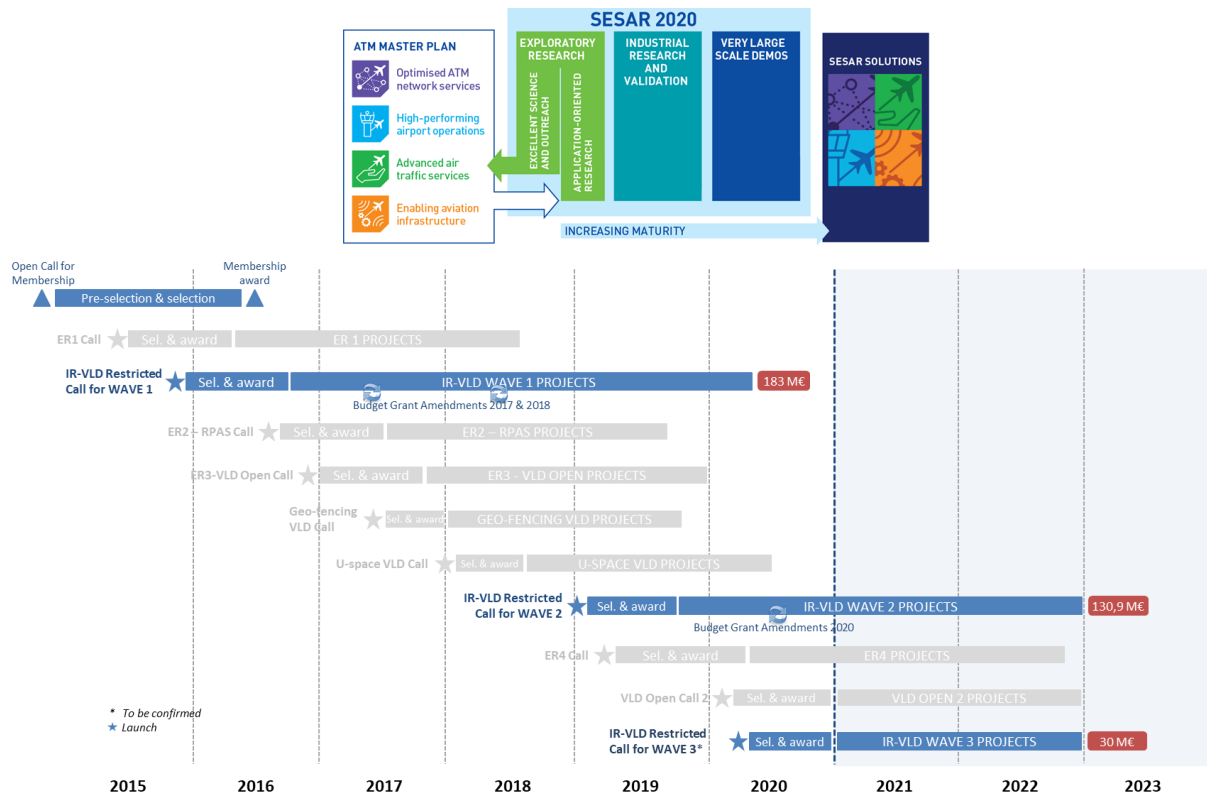


Figure 15: Sequence of IR calls and related funding over the 2015–2022 period

The exact amount of each call is to be confirmed, especially taking into account the results of the call for proposals with reference H2020-SESAR-2019-1 (IR-VLD Wave 2 call) and the unspent budget made available at the end of Wave 1. The last restricted call for proposals (Wave 3, with reference H2020-SESAR-2020-2) was launched in Q1 2020, with projects starting by the end of 2020 or in early 2021 and to be completed by the end of 2022.

In addition, a portion of the SESAR JU’s running costs (Title I – Staff expenditure and Title II – Infrastructure and operating expenditure) is used to carry out the IR activities. The overall funding for strategic area of operation 3 (IR) for 2021–2023 period is indicated in Annex II.

All projects under Wave 1 have been completed by the end of 2020. During the period from 2021 to 2023, the SESAR JU will, in the context of IR activities, supervise and ensure the delivery of (candidate) SESAR solutions by the IR Wave 2 and IR Wave 3 projects (end result: the SESAR solution packs), then close the grant agreements by the end of 2022. The SESAR JU will then ensure the financial and administrative closure of the grant agreements by the end of 2023.

The following paragraphs indicate the remaining candidate SESAR solutions that will be delivered by the above-listed projects through the SESAR release process. Each entry represents the targeted achievement of a European operational concept validation methodology maturity level (V1, V2, or V3); an 'S' representing the target availability date of the SESAR solution. The mapping of these candidate SESAR solutions with the nine essential operational changes is provided in Annex A of the 2020 edition of the European ATM Master Plan.

The results from Wave 1 and Wave 2 will cover the objectives set for the development phase of the SESAR programme in the ATM Master Plan. In order to guarantee a stable link between Wave 1 and Wave 2 projects, the option on the complementarity of grants has been activated for the Wave 2 call for proposals (with reference H2020-SESAR-2019-1). The link between candidate SESAR solutions funded through Wave 1 and the projects covering the same solutions that are continued in Wave 2 appears in Annex A of the 2020 edition of the European ATM Master Plan.

1.4.1. Building on SESAR success toward engaging into the European environmental commitment and the Green Deal

Innovation in ATM has progressed over the past decade thanks to the SESAR programme. More in detail, en-route solutions detailed in the second wave of ongoing projects might offer a potential benefit of 200.3 kg/ CO₂ per ECAC flight, if deployed at large scale in the European airspace.

As example, the major SESAR 1 solutions contributing to the CO₂ reduction per flight are the following:

- PJ.10-02b: Advanced Separation Management where the savings can reach -114.0 kg/ CO₂ per flight in the departure or arrival phase as well as en-route.
- PJ.01-02: Use of Arrival and Departure Management Information for Traffic Optimisation within the TMA offering up to -54.2 kg/ CO₂ per flight, in the arrival phase of the flight

Around airport, SESAR Solutions for airport and terminal airspace, such as continuous climb and descent operations (CCO/CDO), or noise preferential routes are being considered for deployment to address noise reduction. Interestingly, this is done taking into consideration the problematic of interdependencies and trade-off between strategic environmental objectives. The concept of continuous descent/climb approach offer a potential savings of 340,000 t. fuel/year, equivalent to 1.1 million t/CO₂.

At airport, for ground operations, the use of emission free taxiing, without compromising punctuality, could make a fuel saving of around 2%, and as such should be further studied and generalised. Additionally, Improved airport operations (advanced collaborative decision making) & optimised taxi and runway usage in order to avoid unnecessary fuel burn are reflected in 13 of the 17 A-CDM airports that target to bring improvements of 108,072 t of CO₂ emissions.

At the end of 2020, looking at the ambition from SESAR to deliver an improvement between 250 and 500 KG of kerosene per flight, the state of play of the program indicates that only a low effort is required to achieve the expected performance ambition lower levels of the Master Plan. The continuation of the program beyond 2020 under the new JU setting and its strengthening in developing solutions targeting environmental impact, will allow reaching the ATM Master Plan objectives.

1.4.2. IR Wave 2 projects (from 2019 to 2022)

The IR Wave 2 call for proposals (within the restricted call with reference H2020-SESAR-2019-1, also covering VLD activities) was launched in Q1 2019. The evaluation of the proposals was performed, the beneficiaries were selected and the grants were awarded by the end of 2019. The grant agreement signature procedure was finalised by the end of 2019 for grants related to industrial research. This enabled the launch into execution of all Wave 2 IR projects during Q4 2019. The delivery of the Wave 2 SESAR solutions is expected during the 2020–2022 period.

The IR Wave 2 call aims to enable the flexibility needed to align future research with the results of Wave 1, reassess relative priorities and ensure the best value for money for the EU and delivery against SES goals. This call will also allow for the completion of those candidate SESAR solutions that were not planned to be delivered to V3 maturity level within Wave 1. Finally, it will allow for strategic input to scope new projects from the Master Plan update and to build on the results of the outcome of ER projects from the ER1 call to increase the maturity of the research towards future solutions.

Furthermore, the results from the IR-VLD Wave 2 call for proposals will provide the basis for setting up a changed ecosystem for aviation, and more specifically to modernise the underlying ATM infrastructure. This ecosystem will mainly be built upon ATM solutions characterised by:

- higher levels of autonomy and connectivity of all air vehicles, coupled with more automated traffic management;
- digital and automated tools provided on board the air vehicle itself or as part of the ground-based infrastructure;
- virtual technologies to decouple the physical infrastructure, such as sensors, communication devices or navigation devices, from the services that are provided to manage the airspace;
- big-data analytics and open-source data usage to encourage the creation of new services;
- system modularity to allow scalable and easier upgrades and greater interoperability.

For the definition of the candidate SESAR solutions, the SESAR JU paid particular attention to ensuring a path towards achieving the SESAR target vision provided in the European ATM Master Plan, updated and refined in the 2018–2019 campaign to develop the Digital European Sky vision, and its performance ambition. This approach relied on the use of the following prioritisation criteria.

- **ATM performance improvement potential.** Demonstrating performance gains in capacity (at the airport, en-route and in TMA), cost efficiency, operational efficiency, safety, security and environment.
- **ATM digitalisation potential.** Advancing automation, connectivity/sharing of information, virtualisation, integration of all vehicles, flight- and flow-centric operations, lean and modular systems.

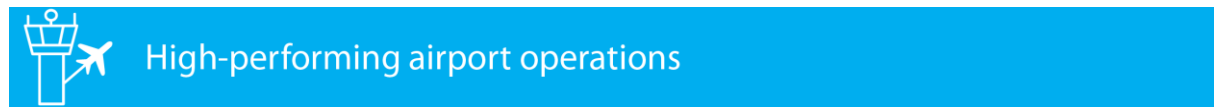
The SESAR 2020 Programme complies with all of the provisions of the ‘*Horizon 2020 work programme 2018–2020*’ for IR Wave 2 and Wave 3 projects. However, it should be noted that the SESAR 2020 Programme delivers results through the SESAR solutions and not project by project. Therefore, it is not necessary for all IR projects (receiving co-financing following restricted calls for proposals, as defined in Section III, subpoint 2.6.1.1.3 of the SPD for 2020–2022) to provide open access to all research data, and they may decide to opt out of the provisions of Annex L ‘Conditions related to open access to

research data' contained in the 'General annexes' to a related Horizon 2020 work programme ⁽³⁴⁾. This opt-out, if used, would aim to protect results that are expected to be commercially or industrially exploited and/or to protect the project's main aim ⁽³⁵⁾ of contributing to a programme comprising two or more projects that jointly contribute to the delivery of one or more SESAR solutions.

A summary of closed IR projects and their results is available in the latest SESAR JU consolidated annual activity report.

All solutions referred to in the following tables are being developed through IR Wave 2 projects launched in Q4 2019.

1.4.2.1. IR Wave 2 projects delivering candidate SESAR solutions within the 'High-performing airport operations' key feature



The 'High-performing airport operations' IR projects will deliver the following results (candidate SESAR solutions) over the 2021–2022 period.

Candidate SESAR solution ref.	Candidate SESAR solution title	Expected maturity level in 2021	Expected maturity level in 2022	ATM system upgrade phase	ATM Master Plan KPAs contributed to
PJ.02-W2-14 (Wave 2)	Evolution of separation minima for increased runway throughput		V1 to V3-S	Phase C – Regional, trajectory-based, flight- and flow-centric operations	Capacity Operational efficiency (fuel & CO ² reduction) Resilience Safety Human performance
PJ.02-W2-21 (Wave 2)	Digital evolution of integrated surface management		V3-S	Phase C – Regional, trajectory-based, flight- and flow-centric operations	Capacity Predictability Safety Human performance
PJ.02-W2-04 (Wave 2)	Advanced geometric GNSS-based procedures in the TMA		V2	Phase C – Regional, trajectory-based, flight- and flow-centric operations	Capacity Operational efficiency (fuel & CO ² reduction) Predictability Safety

⁽³⁴⁾ Part 20 'General annexes' to the 'Horizon 2020 work programme 2016–2017' (European Commission Decision C(2016) 4614 of 25 July 2016); or Part 19 'General annexes' to the 'Horizon 2020 work programme 2018–2020' (European Commission Decision C(2019) 4575 of 2 July 2019).

⁽³⁵⁾ In line with 'General annexes', Annex L, second paragraph, points (a) and (d) of the 'Horizon 2020 work programme 2016–2017'.

Candidate SESAR solution ref.	Candidate SESAR solution title	Expected maturity level in 2021	Expected maturity level in 2022	ATM system upgrade phase	ATM Master Plan KPAs contributed to
					Cost-efficiency Flexibility
PJ.02-W2-17 (Wave 2)	Improved access to secondary airports		V3-S	Phase C – Regional, trajectory-based, flight- and flow-centric operations	Capacity Predictability Safety
PJ.02-W2-25 (Wave 2)	Safety support tools for avoiding runway excursions		V3-S	Phase B – Efficient services and infrastructure delivery	Safety Human performance Interoperability Cost-efficiency Capacity
PJ.04-W2-28 (Wave 2)	Enhanced collaborative airport performance planning and monitoring	V3-S for sub-solution 28.1	V2 ongoing to V3-S	Phase C – Regional, trajectory-based, flight- and flow-centric operations	Predictability Punctuality Operational efficiency (fuel & CO ² reduction) Resilience
PJ.04-W2-29 (Wave 2)	Digital collaborative airport performance management		V2 to V3-S	Phase C – Regional, trajectory-based, flight- and flow-centric operations	Capacity Predictability Punctuality Operational efficiency (fuel & CO ² reduction)
PJ.05-W2-35 (Wave 2)	Multiple remote tower and remote tower centre		V3-S	Phase C – Regional, trajectory-based, flight- and flow-centric operations	Cost-efficiency Access and equity Human performance
PJ.05-W2-97 (Wave 2)	HMI interaction modes for airport tower		TRL4	Phase C – Regional, trajectory-based, flight- and flow-centric operations	Capacity Cost efficiency Safety

Table 7: Delivery of candidate SESAR solutions within the ‘High-performing airport operations’ key feature in 2021 and 2022

1.4.2.2. IR Wave 2 projects delivering candidate SESAR solutions within the ‘Optimised ATM network services’ key feature



Optimised ATM network services

The ‘Optimised ATM network services’ IR projects will deliver the following results (candidate SESAR solutions) over the 2021–2022 period.

Candidate SESAR solution ref.	Candidate SESAR solution title	Expected maturity level in 2021	Expected maturity level in 2022	ATM system upgrade phase	ATM Master Plan KPAs contributed to
PJ.07-W2-38 (Wave 2)	Enhanced integration of AU trajectory definition and network management processes		V3-S	Phase C – Regional, trajectory-based, flight- and flow-centric operations	Operational efficiency (fuel & CO ² reduction) Predictability Flexibility Access and equity
PJ.07-W2-40 (Wave 2)	Mission trajectories management with integrated dynamic mobile areas type 1 and type 2		V3-S	Phase C – Regional, trajectory-based, flight- and flow-centric operations	Cost-efficiency Safety Operational efficiency (fuel & CO ² reduction) Capacity Predictability Human performance Cost-efficiency Flexibility Civil/military cooperation and coordination Access and equity
PJ.07-W2-39 (Wave 2)	Collaborative framework managing delay constraints on arrivals		V3-S	Phase C – Regional, trajectory-based, flight- and flow-centric operations	Predictability Flexibility Access and equity
PJ.09-W2-44 (Wave 2)	Dynamic airspace configurations			Phase C – Regional, trajectory-based, flight- and flow-centric operations	Cost-efficiency Safety Operational efficiency (fuel & CO ² reduction) Capacity Predictability Human performance

Candidate SESAR solution ref.	Candidate SESAR solution title	Expected maturity level in 2021	Expected maturity level in 2022	ATM system upgrade phase	ATM Master Plan KPAs contributed to
					Cost-efficiency Flexibility Civil/military cooperation and coordination Access and equity
PJ.09-W2-49 (Wave 2)	Collaborative network performance management		V2 to V3-S	Phase C – Regional, trajectory-based, flight- and flow-centric operations	Safety Operational efficiency (fuel & CO ² reduction) Predictability Cost-efficiency Capacity Flexibility Security Access and equity
PJ.09-W2-45 (Wave 2)	Enhanced network traffic prediction and shared complexity representation		V2 to V3-S	Phase C – Regional, trajectory-based, flight- and flow-centric operations	Safety Operational efficiency (fuel & CO ² reduction) Capacity Cost-efficiency Predictability Flexibility Access and equity

Table 8: Delivery of candidate SESAR solutions within the ‘Optimised ATM network services’ key feature in 2021 and 2022

1.4.2.3. IR Wave 2 projects delivering candidate SESAR solutions within the ‘Advanced air traffic services’ key feature



Advanced air traffic services

The ‘Advanced air traffic services’ IR projects will deliver the following results (candidate SESAR solutions) over the 2021–2022 period.

Candidate SESAR solution ref.	Candidate SESAR solution title	Expected maturity level in 2021	Expected maturity level in 2022	ATM system upgrade phase	ATM Master Plan KPAs contributed to
PJ.01-W2-08 (Wave 2)	Dynamic E-TMA for advanced continuous climb and descent		V2 to V3-S	Phase B – Efficient services and infrastructure delivery	Capacity Predictability Safety

Candidate SESAR solution ref.	Candidate SESAR solution title	Expected maturity level in 2021	Expected maturity level in 2022	ATM system upgrade phase	ATM Master Plan KPAs contributed to
	operations and improved arrival and departure operations				Cost-efficiency Operational efficiency (fuel & CO ² reduction) Flexibility
PJ.01-W2-06 (Wave 2)	Advanced rotorcraft operations in the TMA		V2	Phase B – Efficient services and infrastructure delivery	Capacity Predictability Safety Operational efficiency (fuel & CO ² reduction)
PJ.10-W2-73 (Wave 2)	Flight-centric ATC and improved distribution of separation responsibility in ATC		V2 to V3-S	Phase C – Regional, trajectory-based, flight- and flow-centric operations	Capacity Flexibility Cost-efficiency Human performance Operational efficiency (fuel & CO ² reduction) Predictability
PJ.10-W2-93 (Wave 2)	Delegation of airspace amongst ATSUs		V3-S	Phase C – Regional, trajectory-based, flight- and flow-centric operations	Capacity Operational efficiency (fuel & CO ² reduction) Safety Human performance Cost-efficiency
PJ.10-W2-96 (Wave 2)	HMI interaction modes for ATC centre		TRL6	Phase C – Regional, trajectory-based, flight- and flow-centric operations	Capacity Safety Human performance Cost-efficiency
PJ.13-W2-111 (Wave 2)	Collision avoidance for IFR RPAS		V3-S	Phase B – Efficient services and infrastructure delivery	Safety Interoperability
PJ.13-W2-115 (Wave 2)	IFR RPAS accommodation in airspace class A to C		V3-S	Phase C – Regional, trajectory-based, flight- and flow-centric operations	Safety Interoperability

Candidate SESAR solution ref.	Candidate SESAR solution title	Expected maturity level in 2021	Expected maturity level in 2022	ATM system upgrade phase	ATM Master Plan KPAs contributed to
PJ.13-W2-117 (Wave 2)	IFR RPAS integration in airspace class A to C		V2	Phase C – Regional, trajectory-based, flight- and flow-centric operations	Safety Interoperability
PJ.18-W2-53 (Wave 2)	Improved ground trajectory predictions enabling future automation tools		V2 to V3-S	Phase C – Regional, trajectory-based, flight- and flow-centric operations	Capacity Operational efficiency (fuel & CO ² reduction) Predictability Safety Human performance Cost-efficiency
PJ.18-W2-56 (Wave 2)	Improved vertical profiles through enhanced vertical clearances		V2	Phase C – Regional, trajectory-based, flight- and flow-centric operations	Capacity Operational efficiency (fuel & CO ² reduction) Predictability Safety Human performance
PJ.18-W2-57 (Wave 2)	RBT revision supported by datalink and increased automation		V1	Phase C – Regional, trajectory-based, flight- and flow-centric operations	Capacity Operational efficiency (fuel & CO ² reduction) Predictability Safety Human performance
PJ.18-W2-88 (Wave 2)	Trajectory prediction service		TRL4 ongoing	Phase C – Regional, trajectory-based, flight- and flow-centric operations	Cost efficiency Interoperability

Table 9: Delivery of candidate SESAR solutions within the ‘Advanced air traffic services’ key feature in 2021 and 2022

1.4.2.4. IR Wave 2 projects delivering candidate SESAR solutions within the ‘Enabling aviation infrastructure’ key feature



Enabling aviation infrastructure

The ‘Enabling aviation infrastructure’ IR projects will deliver the following results in 2021 and 2022. ‘Enabling aviation infrastructure’ projects are not mapped with ATM Master Plan KPAs as their role in the work programme is to support the achievement of performance targets through operational projects. Similarly, the maturity of the ‘Enabling aviation infrastructure’ candidate solutions is indicated according to the TRL criteria and not according to the European operational concept validation methodology as for other key features.

Candidate SESAR solution ref.	Candidate SESAR solution title	Expected maturity level in 2021	Expected maturity level in 2022	ATM system upgrade phase
PJ.14-W2-76 (Wave 2)	Integrated CNS and spectrum		TRL6	Phase C – Regional, trajectory-based, flight- and flow-centric operations
PJ.14-W2-77 (Wave 2)	FCI services		TRL6	Phase C – Regional, trajectory-based, flight- and flow-centric operations
PJ.14-W2-60 (Wave 2)	FCI terrestrial data link and A-PNT enabler (L-DACS)		TRL6	Phase C – Regional, trajectory-based, flight- and flow-centric operations
PJ.14-W2-107 (Wave 2)	Future satellite communications data link		TRL6 ongoing	Phase C – Regional, trajectory-based, flight- and flow-centric operations
PJ.14-W2-61 (Wave 2)	Hyper-connected ATM		TRL2	Phase C – Regional, trajectory-based, flight- and flow-centric operations
PJ.14-W2-81 (Wave 2)	Long-term alternative position, navigation and timing (A-PNT)		TRL4 to TRL6	Phase C – Regional, trajectory-based, flight- and flow-centric operations
PJ.14-W2-79 (Wave 2)	Dual frequency / multi constellation DFMC GNSS/SBAS and GBAS		TRL4 to TRL6	Phase C – Regional, trajectory-based, flight- and flow-centric operations
PJ.14-W2-110 (Wave 2)	Aircraft as an AIM/MET sensor and consumer		TRL4	Phase B – Efficient services and infrastructure delivery
PJ.14-W2-83 (Wave 2)	Surveillance performance monitoring		TRL6	Phase C – Regional, trajectory-based, flight- and flow-centric operations
PJ.14-W2-84 (Wave 2)	New use and evolution of cooperative and non-cooperative surveillance		TRL6	Phase C – Regional, trajectory-based, flight- and flow-centric operations
PJ.17-W2-100 (Wave 2)	SWIM TI purple profile for air/ground safety-		TRL4	Phase C – Regional, trajectory-based, flight- and flow-centric operations

Candidate SESAR solution ref.	Candidate SESAR solution title	Expected maturity level in 2021	Expected maturity level in 2022	ATM system upgrade phase
	critical information sharing			
PJ.17-W2-101 (Wave 2)	SWIM TI green profile for G/G civil–military information sharing		TRL6	Phase C – Regional, trajectory-based, flight- and flow-centric operations

Table 10: Delivery of candidate SESAR solutions within the ‘Enabling aviation infrastructure’ key feature in 2021 and 2022

1.4.3. Wave 3 projects (from 2020 to 2022)

The Wave 3 restricted call for proposals (with reference H2020-SESAR-2020-2, also covering VLD activities) was launched in Q1 2020, with a target of grant agreement signature by the end of 2020 or in early 2021. The projects co-financed under this call are expected to deliver results (candidate SESAR solutions) over the 2021–2022 period. The candidate SESAR solutions would be developed (and, in some cases, delivered) through the SESAR release process.

At the time of drafting this document, the signature of Wave 3 grants is not complete and the list of candidate SESAR solutions developed cannot be established.

1.5. Strategic area of operation 4: Deliver very large-scale demonstration activities

VLDs are designed to help bridge the gap between the development and deployment phases of the SESAR programme, and not to replace either type of activity. VLDs use early versions of end-user systems and include the integration of new technology elements into existing systems when needed and when possible. As such, VLDs will mostly derive from work matured through an earlier phase of IR.

VLDs are conducted either as a result of restricted calls for proposals by the SESAR JU Members other than the EU, or through open calls for proposals by SESAR JU Members other than the EU or other entities. VLD activities are run under up to seven calls and have overall direct funding (Title III – Operational expenditure) of EUR 107.6 million, broken down as depicted in the figure below. In addition, a portion of the SESAR JU’s running costs (Title I– Staff expenditure and Title II – Infrastructure and operating expenditure) is used to carry out the VLDs. The overall funding for strategic area of operation 4 for 2021 to 2023 is indicated in Annex II.

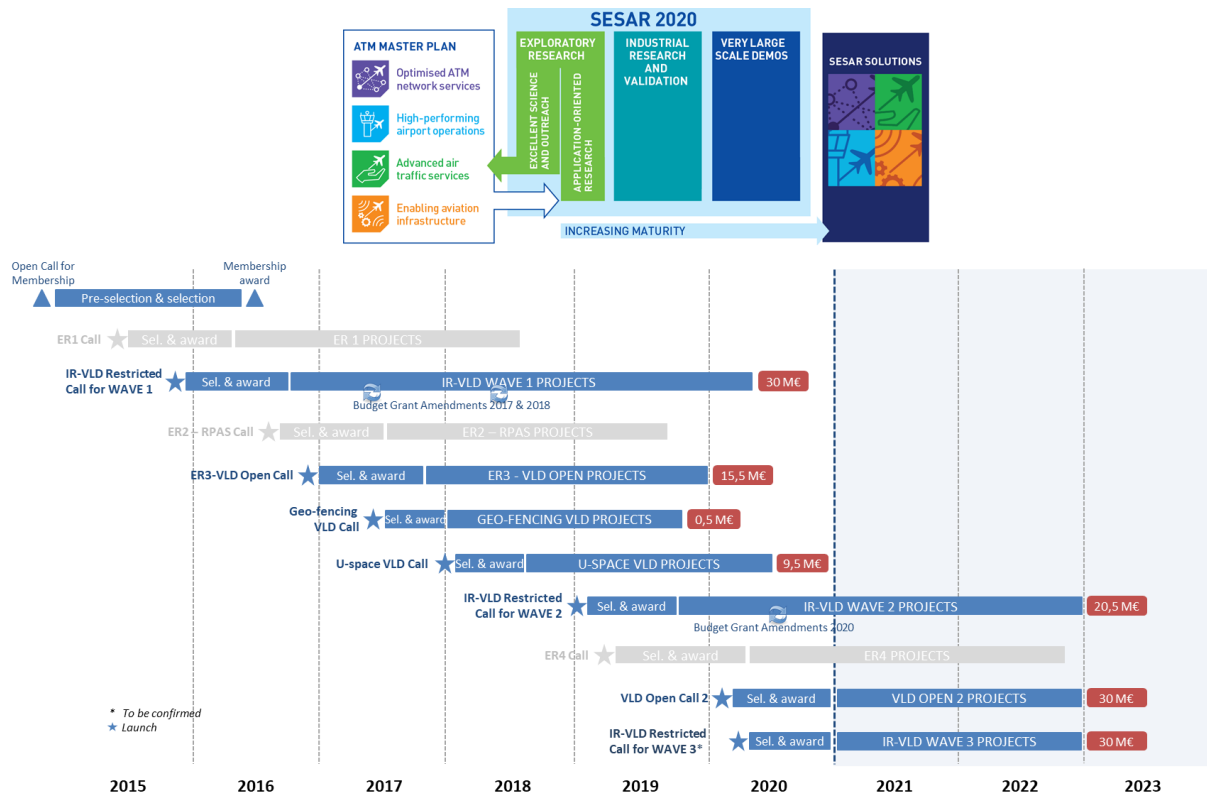


Figure 17: Sequence of VLD calls and related funding over the 2015–2022 period

From 2021 to 2023 the SESAR JU will, in the context of VLDs, supervise and ensure the final delivery of the only remaining VLD Open project in execution (AUDIO, under the call with reference H2020-SESAR-2016-2), then close the project; and supervise the Wave 2, Wave 3 and VLD Open 2 projects, then close the grant agreements by the end of 2022. The SESAR JU will then ensure the financial and administrative closure of the grant agreements by the end of 2023.

As outlined in the SESAR 2020 Programme research topics presented in subparagraph 1.1.2 ‘SESAR 2020 Programme research topics to be addressed within the innovation pipeline’, VLDs cover the four key features of the European ATM Master Plan and U-space, along with other high priority policy areas.

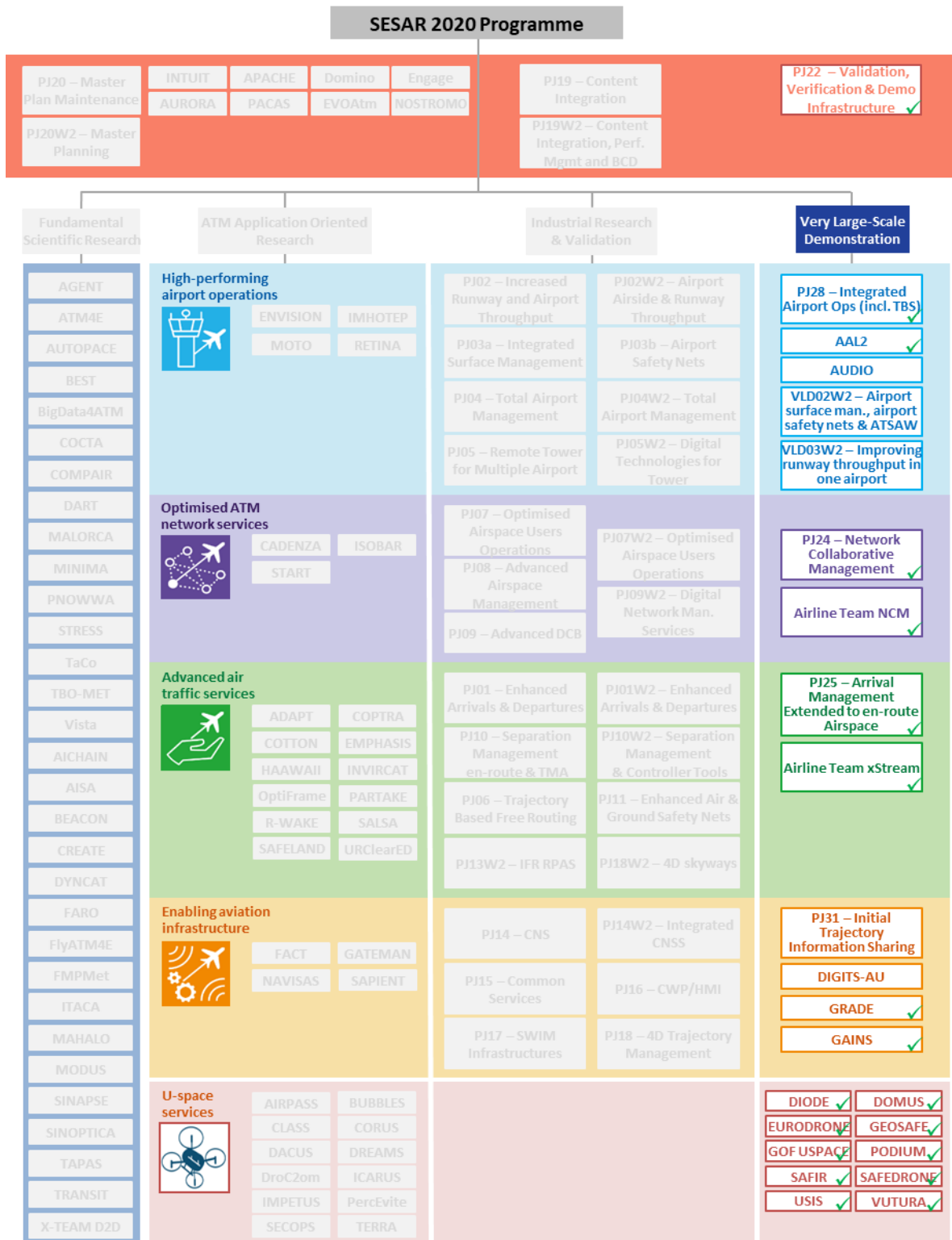


Figure 18: SESAR 2020 Programme portfolio of projects for VLDs at the beginning of November 2020

A summary of closed VLD projects and their results is available in the latest SESAR JU consolidated annual activity report.

The SESAR 2020 Programme complies with all provisions of the ‘Horizon 2020 work programme 2018–2020’ for VLD Wave 2 and Wave 3 projects. However, it should be noted that the SESAR 2020 Programme delivers results through the SESAR solutions and not project by project. Therefore, it is not necessary for all VLD projects (receiving co-financing following restricted calls for proposals, as defined in Section III, subpoint 2.6.1.1.3 of the SPD for 2020–2022) to provide open access to all research data, and they may decide to opt out of the provisions of Annex L ‘Conditions related to open access to research data’ contained in the ‘General annexes’ to a related Horizon 2020 work programme ⁽³⁶⁾. This opt-out, if used, would aim to protect results that are expected to be commercially or industrially exploited and/or to protect the project’s main aim ⁽³⁷⁾ of contributing to a programme comprising two or more projects that jointly contribute to the delivery of one or more SESAR solutions. For the VLD Open 2 call for proposals, the SESAR JU will comply with all provisions of the ‘General annexes’ to the ‘Horizon 2020 work programme 2018–2020’, including Annex L ‘Conditions related to open access to research data’ within Part 19 ‘General annexes’. All grants under the VLD Open 2 call for proposals will be in compliance with the Horizon 2020 model grant agreement.

1.5.1. VLD Open call (from 2018 to 2021) under the call for proposals with reference H2020-SESAR-2016-2)

To complement the Wave 1 call for proposals restricted to SESAR JU Members other than the EU, an open call related to VLDs (‘VLD Open call’ under the call for proposals with reference H2020-SESAR-2016-2) was launched at the end of 2016. Out of the total maximum co-financing level of EUR 18 million for VLDs, the outcome of the call was an award of EUR 17.8 million and the grant signature of eight VLD activities. The activities were launched into execution during the course of 2018, each delivering a demonstration plan and a demonstration report within the indicative project duration of 2 years, thus delivering the final project results by the end of 2020. The last projects resulting from this call for proposals that are still in execution in 2021 is as follows.

Project reference	Project title	Short project description	Max. total co-financing value (EUR)
AUDIO	Airspace user support to the development of integrated airport operations	The project aims at making aircraft movement on the airport surface safer and more efficient by performing an on-board demonstration for electronic flight bag applications. To achieve this the project will demonstrate the viability of an innovative advanced and connected moving map application. The application provides the cockpit with local airport data such as the on-ground traffic situation and planned taxi routes. Equipped with this additional information, on-board operations are expected to run more smoothly as crews are aware of the planned ground trajectory and the surrounding complex environment.	818 050

⁽³⁶⁾ Part 20 ‘General annexes’ to the ‘Horizon 2020 work programme 2016–2017’ (European Commission Decision C(2016) 4614 of 25 July 2016); or Part 19 ‘General annexes’ to the ‘Horizon 2020 work programme 2018–2020’ (European Commission Decision C(2019) 4575 of 2 July 2019).

⁽³⁷⁾ In line with ‘General annexes’, Annex L, second paragraph, points (a) and (d) of the ‘Horizon 2020 work programme 2016–2017’.

Project reference	Project title	Short project description	Max. total co-financing value (EUR)
DIGITS-AU	Demonstration of ATM Improvements Generated by Initial Trajectory Sharing - Airspace User Part	<p>DIGITS-AU is the essential AU complement to the DIGITS project (Demonstration of ATM Improvements Generated by Initial Trajectory Sharing). DIGITS-AU brings together AUs</p> <ul style="list-style-type: none"> - who operate (even partially) in the airspace of ANSPs participating in DIGITS - who will receive new on-board avionics capabilities, making it possible to downlink trajectory predictions, the so-called Extended Projected Profile (EPP), for sharing with ATC. 	4 527 147

1.5.2. VLD Wave 2 (from 2019 to 2022) under the call for proposals with reference H2020-SESAR-2019-1

In Q1 2019 the SESAR JU launched the restricted call for proposals with reference H2020-SESAR-2019-1 covering IR and VLD. The evaluation of the proposals received was performed, the beneficiaries were selected and two out of the total of three grants were signed in Q4 2019 and in Q1 2020. The finalisation of the VLD grant agreement signature procedure for the remaining grant is expected to be finalised in Q4 2020. This will enable the delivery of Wave 2 demonstration results in the 2020–2022 period.

A summary of the Wave 2 VLD projects launched into execution by the end of October 2020 is provided in the following table.

Project reference	Project title	Short project description	Max. total co-financing value (EUR)
VLD2-W2 STAIRS	Airport surface management, airport safety nets and ATSAW	The project intends to demonstrate the use of the specific avionics (validated within the Wave 1) providing traffic alerts for pilots during runway operations to prevent runway incursion and aircraft collision. The demonstration will address both mainline and business aviation solutions during the lifecycle of the demonstration project; the systems will go through a full certification review process to ensure compliance with the applicable certification specification and to be ready for deployment.	2 697 113
VLD2-W3 SORT	Safely Optimized Runway Throughput	The projects aims at demonstrating fundamental changes in wake turbulence separation minima; in safe and efficient runway use tailored at	4 773 830

Project reference	Project title	Short project description	Max. total co-financing value (EUR)
		individual aircraft level using new technology and analytics; in reduced radar separation minima on final approach	

Table 11: Ongoing Wave 2 VLD projects in the 2021–2023 period (under the call for proposals with reference H2020-SESAR-2019-1)

1.5.3. VLD Open 2 (from 2020 to 2022) call for proposals with reference H2020-SESAR-2020-1

In 2020, to complement the call for proposals restricted to SESAR JU Members other than the EU, the SESAR JU launched the second VLD open call for proposals (with reference H2020-SESAR-2020-1).

Subject to the successful completion of the grant agreement signature procedure, the launch into execution of related project activities is expected in Q1 2021, with grant closure activities in Q4 2022. This call is intended to be the last open call for VLDs, optimising the usage of funds available to bridge the gap between development and deployment and to secure the achievement of policy priorities such as the implementation of the Airspace Architecture Study transition plan.

At the time of drafting this document, the signature of VLD Open 2 grants is not complete and the list of projects cannot be established.

1.6. Strategic area of operation 5: Deliver SESAR outreach

As indicated in the SESAR JU basic act, the JU is responsible for securing support and buy-in from all stakeholders in the ATM value chain for the definition (European ATM Master Plan) and development of SESAR technologies and procedures (SESAR solutions). This requires continued and extensive outreach in the form of communications and external relations (including international affairs), supported by the core SESAR membership, and cooperative arrangements and contracts with specific stakeholder groups.



Figure 19: SESAR JU’s specific stakeholder groups within the ATM value chain

As presented in point 2.3.1.2 ‘Expenditure’ below, in addition to direct funding (from Title II and Title III) the SESAR JU also dedicates a proportion of its running costs (Title I – Staff expenditure and Title II – Infrastructure and operating expenditure) to carrying out SESAR outreach activities. The overall funding for strategic area of operation 5 is indicated in Annex II.

1.6.1. European stakeholder outreach

The SESAR JU’s outreach work will target and involve a wide range of SESAR JU member and stakeholder organisations (see Figure 19). This outreach aims to secure the involvement of stakeholders in the SESAR JU’s R & I activities, including in support of validating SESAR solutions, as well as to ensure close coordination and, where appropriate, alignment with activities which are outside SESAR but are of strategic importance to the success of the SESAR project, such as standardisation. The SESAR JU also maintains close relations with institutional stakeholders such as the European Commission, the European Parliament, and the European Council, along with EUROCONTROL (a founding member of the SESAR JU, together with the EU represented by the European Commission), in order to ensure that its activities are aligned with and take into account developments in the EU’s policy towards ATM.

During the 2021–2023 period the SESAR JU will continue to foster its strong ties with the following key European stakeholder groups.

- **European Union Aviation Safety Agency (EASA).** The SESAR JU will collaborate under the established memorandum of cooperation (MoC) with EASA ⁽³⁸⁾ to secure early involvement and inputs for the awareness and readiness of SESAR activities for industrialisation and subsequent deployments. The MoC will, at the same time, cater for the SESAR JU’s direct provision of support to EASA in European and international activities that relate to securing the necessary safety, security and regulatory arrangements.
- **European Defence Agency.** The MoC established with the European Defence Agency ⁽³⁹⁾ will continue with the aim of securing support and buy-in from the military community (in their roles as ANSPs, airport operators, airspace users and regulators) in relation to SESAR JU activities and the ATM Master Plan. In particular, areas of common interest include the ATM Master Plan, regulations, space-based systems, the integration of unmanned aerial systems, cybersecurity threats to and vulnerabilities of ATM and the development of aviation/ATM standards.
- **European Space Agency.** The established MoC ⁽⁴⁰⁾ will make it possible to focus on strategic cooperation to coordinate roadmaps, specifically in relation to the integrated CNS strategy and the ATM Master Plan, defining the role of satellite communications as an element of importance for the future enabling CNS infrastructure for ATM.
- **National aviation authorities.** The SESAR JU will work under the established MoCs with the European national authorities ⁽⁴¹⁾ to secure support to the SESAR JU from the various national authorities and to de-risk SESAR solutions’ readiness for deployment.
- **Clean Sky 2 Joint Undertaking.** The established MoC ⁽⁴²⁾ caters for the sharing of best practices and for identifying gaps and synergies in areas where a joint vision and approach is beneficial for both programmes. The cooperation will also align on performance targets in general and environmental targets in particular.
- **Advisory Council for Aviation Research and Innovation in Europe (ACARE).** The SESAR JU participates in the advisory council to ensure the appropriate representation of ATM in the European strategic innovation and research agenda, and to secure the link with Flightpath 2050.
- **EUROCAE.** The participation of the SESAR JU in the EUROCAE Council and the Technical Advisory Committee will continue in 2021–2023, securing close collaboration between the SESAR JU Members and the availability of SESAR material in support of standardisation. The

⁽³⁸⁾ Memorandum of cooperation between the European Aviation Safety Agency and the SESAR Joint Undertaking signed on 23 November 2016 to establish the general terms of cooperation between the parties.

⁽³⁹⁾ Memorandum of cooperation between the European Defence Agency and the Single European Sky ATM Research Joint Undertaking signed on 19 December 2016 to establish the general terms of cooperation between the parties.

⁽⁴⁰⁾ Memorandum of cooperation between the European Space Agency and the Single European Sky ATM Research Joint Undertaking signed on 15 September 2016 to establish a cooperative framework between the parties.

⁽⁴¹⁾ Six MoCs signed on 9 June 2017 between the Single European Sky ATM Research Joint Undertaking and the Directorate General Civil Aviation of Bulgaria, the Croatian Civil Aviation Agency, the Civil Aviation Authority of the Czech Republic, the German Federal Supervisory Authority for Air Navigation Services, the Irish Aviation Authority and the Swiss Federal Office of Civil Aviation.

⁽⁴²⁾ Memorandum of cooperation between the Clean Sky 2 Joint Undertaking and the Single European Sky ATM Research Joint Undertaking signed on 10 December 2015 to establish a cooperative framework between the parties.

alignment of priorities will be important in relation to the ATM Master Plan and the ICAO global air navigation plan (GANP),

- **European ATM Standardisation Coordination Group** — the SESAR JU continue its involvement in this group to ensure that a consistent and credible plan for the development of ATM standards is maintained, aligned with the priorities of SESAR 2020, the ATM Master Plan and the ICAO GANP.
- **European Strategic Coordination Platform.** The SESAR JU will participate actively in the activities under the EASA-led European Strategic Coordination Platform to coordinate the definition and implementation of the European strategy for cybersecurity in aviation.
- **Professional staff organisations.** The SESAR JU will secure support from the different professional staff associations in the provision of operational expertise in relation to all of the tasks of the SESAR JU. Moreover, this cooperative arrangement serves to enhance the buy-in of front-end users to the new ATM developments. Furthermore, the SESAR JU will support the professional staff organisations in their respective activities as agreed to be relevant and necessary to secure inclusion in developments and commitment to the SESAR solutions.
- **European airports.** The SESAR JU will work closely with European airports and the Airport Council International through the SESAR work programme and on airport activities such as roadshows and conferences, with specific inputs from SESAR for securing awareness, buy-in and commitment.
- **Civil airspace users.** The SESAR JU will continue to reach out to the airspace user categories on activities relevant and necessary to secure awareness of and buy-in and commitment to the SESAR work and activities.
- **New entrants.** New innovative airspace users and organisations in the field of unmanned traffic management / U-space, unmanned aerial systems and high-level operations will be approached based on relevant EU strategies and on a case-by-case basis to find the most efficient mechanism of cooperation for the benefit of SESAR JU tasks and activities.

1.6.2. Cooperation with third countries and international organisations

The SESAR JU's international cooperation activities are conducted in close coordination with the European Commission to ensure consistency and alignment with the EU's broader aviation strategy, in particular its external affairs dimension.

The SESAR JU will continue to conduct outreach activities with international partners pursuant to its strategy for cooperation with third countries and/or international organisations. The principal objectives of this strategy are threefold:

- to secure global leadership for SESAR in the context of ICAO;
- to ensure global interoperability and harmonisation based on SESAR solutions;
- to promote and support the competitiveness of the European aviation and ATM industry.

1.6.2.1. Cooperation with ICAO

ICAO is the global body responsible for developing international civil aviation standards and recommended practices and policies in support of a safe, efficient, secure, economically sustainable and environmentally responsible civil aviation sector. A key objective of the SESAR JU's international

engagement is to ensure an alignment between its and Europe’s priorities and those established at ICAO level. It is particularly important to ensure that the European ATM Master Plan and industry standardisation initiatives remain aligned with the relevant ICAO provisions and their future evolution. For this reason, the SESAR JU works closely with the European Commission and other European institutions and partners, notably EASA and EUROCONTROL, in support of ICAO. The SESAR JU participates in regular European ICAO coordination meetings, chaired by the European Commission, as a means to define European priorities and plan accompanying actions and inputs to ICAO. The SESAR JU also participates in the broader European Safety and Air Navigation Coordination Group, which ensures coordination with the 44 European Civil Aviation Conference (ECAC) states.

In 2021–2023 the SESAR JU’s ICAO-related activities will involve engagement on the future evolution of the GANP and the aviation system block upgrades through participation in relevant groups such as the ICAO GANP Study Group. Particular milestones over the period will be the ICAO High Level Safety Conference being planned for 2021 and the 41st ICAO Assembly that will take place in 2022. The SESAR JU will also seek to work closely with ICAO as it develops policies in strategically important domains, such as integrated communications, navigation and surveillance, drones, higher airspace operations and environmental targets.

By continuing to engage closely with such activities, the SESAR JU is able to ensure that policies, standards and provisions being established at the global level are interoperable and harmonised with those being developed through the SESAR R & I pipeline, recognising that this is a vital prerequisite for a safe, secure, efficient and sustainable global ATM system. This in turn helps maintain and further strengthen SESAR’s position as a global leader in aviation and ATM modernisation, which also serves to promote the competitiveness and global market shares of the European aviation and ATM industry.

1.6.2.2. Cooperation with international partners

In addition to its direct participation and involvement in ICAO activities, the SESAR JU cooperates with a number of key international partners. The SESAR JU has cooperated since 2011 with the US Federal Aviation Administration (FAA) / NextGen programme under the EU–US MoC on ATM modernisation, civil aviation R & I and global interoperability. The FAA’s NextGen programme and SESAR are the two largest ATM modernisation initiatives in the world. As such, it is essential that the two programmes be closely aligned to ensure that global interoperability and harmonisation can be maintained, not only for the present but for the future too. Maintaining regular dialogue across a range of topics and domains allows the two sides to identify any risks, issues or opportunities that may arise in relation to global interoperability. A review of the scope of this cooperation during 2020 will allow a renewed focus on priority topics of interest, reflecting the evolution of the programmes on each side of the Atlantic.

The SESAR JU will also maintain cooperation with a number of other key partners through a range of instruments. The SESAR JU has its own bilateral MoCs with Qatar, Singapore and the United Arab Emirates. Singapore is an important partner due to the leading role it plays in ATM in South-East Asia, building on its own ATM research capabilities. Singapore is working to progress rapidly in the development and application of new technologies in ATM, such as automation, machine learning and AI, as well as the integration of drones. The country is therefore working on many of the same themes and topics as the SESAR JU, so there is ample scope for developing mutually beneficial research in 2021–2023.

Qatar and the United Arab Emirates are two important aviation partners for the EU, and the SESAR JU has developed cooperative arrangements with each of them as part of the broader EU aviation strategy, with the objective of facilitating dialogue and sharing of information in relation to our

respective ATM modernisation activities. The rapid growth of air traffic between Europe and the Gulf region in recent years means that there is a mutual interest in ATM modernisation, along with strong interest in the development and application of digital technologies to improve safety, efficiency and sustainability.

The SESAR JU also cooperates with Japan under a MoC between the Commission's Directorate-General for Mobility and Transport and the Japanese Transport Ministry, which aims to support global interoperability. Japan has its own ATM modernisation programme, known as CARATS, and is therefore also an important partner for the SESAR JU. Like Europe, Japan also has ambitious goals to integrate drones into its airspace, and this is a specific area in which the SESAR JU will seek to deepen dialogue and cooperation.

The SESAR JU also works closely in support of EASA on the ATM-related elements of EU technical cooperation projects with third countries and regions. This includes cooperation with China under the EU–China aviation partnership project and regional technical cooperation projects with South-East Asia, South Asia and Latin America. Conducted within the framework of the EU's external aviation policy, these projects cover the sharing of lessons learnt, knowledge and expertise, and cooperation activities related to ATM modernisation towards ICAO.

1.6.3. Communications

The SESAR JU's communications strategy defines the following broad objectives.

- Illustrate and showcase SESAR solutions that are mature and ready for industrialisation and deployment, showing tangible benefits for aviation and society as a whole.
- Extend SESAR awareness and outreach activities directly with stakeholders and at European and global events/conferences to promote SESAR results, thus raising awareness and securing European and global stakeholders' commitment.
- Promote SESAR as an integral part of the day-to-day air transport and ATM domain, both in Europe and globally.
- Enhance the partnership spirit of the SESAR JU through communications activities with its staff and SESAR experts.

To meet these objectives over the 2021–2023 period, the SESAR JU will carry out the following activities.

- Promote and market the SESAR brand, the benefits that can be realised through SESAR solutions and the availability of industrial products to deliver results.
- Participate in and organise events in Europe and elsewhere in the world.
- Create and publish appropriately targeted printed materials and digital communications in general and as needed based on SESAR 2020 project results, and specifically in relation to key strategic events.
- Provide effective press and media outreach.

1.7. Strategic area of operation 6: Deliver effective financial, administrative and corporate management

Management and administrative services are brought together primarily under this area of operation to ensure that the core horizontal activities of the SESAR JU are planned, implemented, monitored and reported in a coherent and consistent way. Its main objectives are to facilitate the efficient and effective delivery of the SESAR JU's work programme and to ensure sound financial and resource management. The effectiveness of the organisation based on the mission, vision and values of the SESAR JU will continue, aligning the capabilities of the organisation, technology and the extensive competencies of its human capital in order to maximise its added value.

To that end, in the period from 2021 to 2023, the SESAR JU will continually align operational and strategic planning activities with the capabilities of the organisation to best serve stakeholders' needs and to maintain full regulatory compliance with all the obligations stemming from the various legal frameworks under which it operates, namely Horizon 2020, the CEF and general EU funds⁽⁴³⁾. The SESAR JU's internal audit capability function will continue to objectively examine, evaluate and report on the adequacy of the SESAR JU's internal controls as a contribution to the proper, economic and effective use of its resources.

Furthermore, in an effort to continually align resource allocation with strategic priorities through the introduction of best practices and standards, the SESAR JU will identify key business areas and processes that need improvement; diagnose and analyse the reasons behind poor performance, where necessary; and plan and implement the changes required to improve performance in a quantifiable or measurable way.

Additionally, bearing in mind Article 1(2) of the amended SESAR JU basic act, which stipulates that the JU shall cease to exist on 31 December 2024, as well as ongoing discussions on the future of the EU public–private partnerships under the new Union Long Term Budget, the SESAR JU will conduct the necessary proceedings over the 2021–2024 period to ensure the effective and timely implementation of one or both scenarios of the future of SESAR set forth in subparagraph 1.1.6 'Future of ATM research' above. These proceedings are planned as follows.

- In 2021: implement the approved scenario in accordance with the most recent and relevant developments (e.g. in the case of the transfer of SESAR JU activities to a new ATM partnership, to align the plan with the provisions of the new Council regulation establishing an institutionalised partnership on ATM) and start implementing the plan.
- In 2022:
 - depending on the approved scenario and the progress of the legislative process, the SESAR JU will either be operating as a new ATM partnership or continuing its existing mandate leading to a fully defined termination scenario (which includes finalising the preparation of the detailed planning of the winding-up of SESAR JU corporate and administrative activities and starting the detailed planning of the SESAR JU's final liquidation, as defined in the roadmap updated and finalised in 2020 for this particular scenario);

⁽⁴³⁾ For more information on the legal frameworks under which the SESAR JU operates, please refer to Section II, point 1.1.3.3 'Funding the innovation pipeline'.

- irrespective of the approved scenario, the SESAR JU will finalise the R & I activities from the main SESAR 2020 Programme (allowing the final payments for the last finalised projects to be made in 2023).
- In 2023: under the repeal and replace scenario, the SESAR 3 JU shall replace and succeed the SESAR JU. Therefore, the new partnership will be responsible for managing all rights and obligations including assets, debts or liabilities of the SESAR JU. In addition, as provided by the transitional provisions of the draft of the future regulation ⁽⁴⁴⁾, actions initiated under the SESAR JU established by Council Regulation (EC) No 219/2007, as last amended by Council Regulation (EU) No 721/2014 and the financial obligations related to such actions, shall continue to be governed by that Regulation until their completion. Consequently, the SESAR JU will start the implementation of the transfer of corporate and administrative activities under the SESAR 2020 Programme, all based on the detailed implementation plan approved in 2020 and subsequently updated.
- In 2024: under the termination scenario, the SESAR JU will finalise the implementation of the winding-up of the corporate and administrative activities and run the liquidation activities, with a view to completing all winding-up and liquidation activities by the end of 2024.

The roadmap of the approved scenario and the related detailed implementation plan is expected to be fully integrated with SESAR JU's multiannual and annual work programmes as part of all of the SPDs covering the related period once the legal basis is established. During the whole process the SESAR JU will focus on the timely and complete fulfilment of its overall mission and programme and on meeting the expectations of its stakeholders, while ensuring the appropriate level of its corporate activities to fulfil all its obligations and fully respecting any budgetary and human resource constraints derived from the application of the legislation.

As presented in Section II, point 2.3.1.2 'Expenditure', the SESAR JU dedicates a proportion of its running costs (from Title I and Title II) to carrying out financial, administrative and corporate activities. The overall funding for strategic area of operation 6 is indicated in Annex II.

⁽⁴⁴⁾ In accordance with the transitional provisions established through the Article 175 of the draft Single Basic Act applying to the SESAR 3 Joint Undertaking.

2. Human and financial resource outlook for years 2021–2023

2.1. Overview of the past and current situation

At the end of 2019 and during 2020, in line with the situation reported in 2019, the staff establishment plan of the SESAR JU contains 39 temporary agent (TA) posts, along with 3 seconded national expert (SNE) posts for which Member State experience is requested (as authorised by the SESAR JU Administrative Board). For detailed data on the different staff categories, please refer to Annex IV, Table 1 and Annex V, sub-annex A.

The last year to request the remaining EU entitlements intended for the SESAR 2020 Programme (EUR 585 million in commitment appropriations, less the appropriations already requested) is 2020. Therefore, the 2020 EU contribution is expected to increase by 9.8 % compared to 2019, while the overall revenue of the SESAR JU is expected to increase by 3.9 %.

(EUR)

Revenue	Commitments received in 2019	Commitments planned in 2020
EU contribution (EFTA included)	112 618 000	123 671 000
Other revenue	35 041 809	29 820 122
Total	147 659 809	153 491 122

Table 12: SESAR JU revenue overview for 2019 and 2020

From 2019 to 2020, Title III expenditure is expected to start decreasing as a result of the launch of calls for proposals to which the budget was assigned, taking into account remaining SESAR 2020 Programme funds and unused budget appropriations from previous calls for proposals.

(EUR)

Expenditure	Commitments made in 2019	Commitments planned in 2020
Title I	5 585 740	5 454 684
Title II	3 161 028	3 022 095
Title III	138 913 040	131 630 939
Total	147 659 809	140 107 718
Title IV		13 383 404 ⁽⁴⁵⁾
Total incl. Title IV		153 491 122

Table 13: SESAR JU expenditure overview for 2019 and 2020

⁽⁴⁵⁾ The amount frontloaded in 2020 to cover the larger part of the running costs during the 2021–2024 period (EUR 3 345 851 per year).

2.2. Outlook for the years 2021–2023

The SESAR JU does not plan to carry out new activities in the 2021-2023 period in comparison to the previous periods.

As defined in paragraphs 1.2 to 1.6 above, over 2021 and 2022, the SESAR JU will steer and supervise the execution of the SESAR 2020 Programme and carry out the related outreach activities. The programme will be at its full speed over that period. Corporate and administrative functions will support the operational activities and provide assurance of the sound financial management of the SESAR JU.

Starting from 2023, operational activities will be completed and the SESAR JU will carry out closure activities of the SESAR 2020 Programme from an administrative and financial perspective. Communication activities related to the completion of the programme will also be undertaken.

This multiannual plan requires an adapted level of resources with full staff establishment plan until the end of 2022, and a decrease in the level of human resources from 2023 onwards. The profile of resources, which is described in the following paragraphs, follows this high-level plan.

Should a new partnership for ATM research be established that impacts the strategic orientations and the work programme of the SESAR JU with new tasks and/or a growth of existing tasks, the level of resources would be reconsidered.

2.3. Resource programming for 2021–2023

No EU financial contribution is planned to the SESAR JU for the 2021–2023 period. The 2021–2023 staff numbers are indicative, subject to the outcome of the EU's future budgetary procedures.

2.3.1. Financial resources

2.3.1.1. Revenues

In accordance with Article 4 of the SESAR JU basic act and the Statutes annexed to it, all revenue of the SESAR JU shall come from contributions from its Members and can be financial or in-kind. The SESAR JU basic act extending the mandate of the SESAR JU and setting out the sources of financing over the 2014–2020 period sets the overall amount of EU funding as EUR 585 million under the Horizon 2020 programme. In the 2020 draft budget, the SESAR JU requested only the amount needed for running costs covering the period from 2020 until 2024 (i.e. EUR 3.35 million per year). That budget request leads to a total amount requested for running costs of EUR 16.73 million for the period from 2020 to 2024, and to an amount of EUR 26.71 million in total for the SESAR 2020 Programme, instead of the EUR 29.25 million provided for in the SESAR JU 2020 multiannual work programme ⁽⁴⁶⁾, hence a gap of EUR 2.54 million in the EU's contribution to the running costs. This gap is a direct consequence of the use of SESAR 1 funds instead of SESAR 2020 funds to cover 2016 running costs. The corresponding amount of EUR 2.54 million is thus available through the EU's contribution to operational activities, with the possibility to transfer this amount to the running costs budget (Titles I and II) if needed to ensure the coverage of the running costs until 2024. This ensures that the overall EU funding of

⁽⁴⁶⁾ The SESAR 2020 multiannual work programme provides for an allocation of a maximum of 5 % of the overall funding of EUR 585 million to the running costs of the SESAR JU (see paragraph 1.5).

EUR 585 million under the Horizon 2020 programme ⁽⁴⁷⁾, as defined in the SESAR JU’s basic act, is maintained.

The last year to request the remaining EU entitlements (EUR 585 million in commitment appropriations, less the appropriations already requested) is 2020 ⁽⁴⁸⁾. In the 2021–2023 period, the SESAR JU will continue annually to request payment appropriations from the European Commission to cover payments to be made on the basis of legal commitments entered into in the aforementioned period or in preceding financial years.

All SESAR JU Members other than the European Commission (representing the EU) contribute to the SESAR JU as follows.

- Financial contributions: 5 % of each Member’s contribution shall be in cash in order to finance the running costs of the JU (i.e. staff, infrastructure and operating expenditure).
- In-kind contributions, consisting of the operational activities carried out by the stakeholder Members for developing, both jointly and under the SESAR JU’s supervision, the next generation of the ATM system in Europe.
- As a founding member, pursuant to Article 9(2)(b) of the SESAR JU Statutes and the SESAR JU–EUROCONTROL Agreement, EUROCONTROL shall, in particular, contribute to the SESAR JU’s work programme ⁽⁴⁹⁾ through a set of activities under the authority of the SESAR JU, which may include the following:
 - through research, development and validation activities under the SESAR 2020 Programme, subject to the award of grants (in-kind contribution);
 - through external coordination and adaptation of the relevant EUROCONTROL consultation mechanisms (in-kind contribution);
 - through detachment of the Programme Management Unit (in-kind contribution) ⁽⁵⁰⁾;

⁽⁴⁷⁾ Not including the additional revenues of EUR 11.3 million granted to the SESAR JU by the European Commission and referred to in point 1.1.3.3

⁽⁴⁸⁾ Article 4(3) of the amended SESAR JU basic act stipulates that ‘All Union financial contributions to the Joint Undertaking shall cease upon expiry of the 2014–2020 financial framework unless otherwise decided by the Council on the basis of a Commission proposal’. The expiry date of the 2014–2020 financial framework is 31 December 2020.

⁽⁴⁹⁾ In accordance with Schedule 2 of the SESAR JU–EUROCONTROL Agreement, the EUROCONTROL financial contribution shall comprise: ‘(a) An estimated amount of EUR 25 million (corresponding to 5 % of the total contribution of EUROCONTROL), as a contribution for the SJU’s running costs. This amount shall consist of: i) an estimated amount of EUR 10 million (ten-million-EURO) for IT support provided in accordance with the terms and conditions in Schedule 4, ii) the remaining estimated amount of EUR 15 million (fifteen-million-EURO) cash contribution to be transferred to the SESAR JU according to a time schedule duly justified by the actual needs of the SJU.’ Therefore, the level of cash contribution is highly dependent on the level of actual EUROCONTROL gross in-kind contributions, and can fluctuate up or down.

⁽⁵⁰⁾ Pursuant to Article 9(2)(b) of the SESAR JU Statutes and the SESAR JU–EUROCONTROL Agreement, in 2008 EUROCONTROL established a unit as a programme support office, hosted by the SESAR JU, to provide the necessary support in the management of the SESAR programme. This support is considered as an in-kind contribution to the SESAR JU. Under the current SESAR JU–EUROCONTROL Agreement (see schedules 2 and 3 of that agreement), this unit is known as the Programme Management Unit (PMU) for the duration of the SESAR 2020 Programme. The PMU provides programme management support to the SESAR JU in strict coordination with the other SESAR JU teams. The number of staff engaged in this function at the end of 2019 was 19. The PMU staff assigned to the SESAR JU for the execution of this agreement shall remain subject to EUROCONTROL’s staff regulations and rules.

- through the provision of information and communication technology (ICT) support to the SESAR JU in accordance with Schedule 4 of this agreement (in-kind and financial contribution);
- upon request of the SESAR JU, through the execution of other ATM-related studies necessary to support SESAR JU in the achievement of its objectives, complementary to the SESAR 2020 Programme (in-kind contribution).

Before the SESAR JU Administrative Board accepted the accession of 19 stakeholder Members other than the EU, the value and the utility of the in-kind contributions that were offered by each candidate member for carrying out the tasks of the JU were assessed. Following that assessment, the contribution of each Member was contractually established (as estimates) in a unique membership agreement signed by the SESAR JU and all Members (excluding EUROCONTROL which signed a specific SESAR JU-EUROCONTROL Agreement). These are as follows.

(EUR)

Members	Estimated total net contribution ⁽⁵¹⁾	Of which financial contribution	Of which net in-kind contribution
European Union	585 000 000.00	585 000 000.00	
EUROCONTROL	492 256 781.00	25 000 000.00	467 256 781.00
Other Members in total	325 838 461.65 ⁽⁵²⁾	18 466 058.00	307 372 403.65
AIRBUS	26 761 006.00	1 667 271.00	25 093 735.00
AT-ONE Consortium	12 495 693.00	627 887.00	11 867 806.00
B4 Consortium	2 382 455.00	397 076.00	1 985 379.00
COOPANS Consortium	9 275 779.00	599 718.00	8 676 061.00
DASSAULT Aviation	5 247 567.00	290 928.00	4 956 639.00
DFS	8 483 712.00	672 725.00	7 810 987.00
DSNA	9 831 224.62	641 023.00	9 190 201.62
ENAIRE	16 452 269.00	834 917.00	15 617 352.00
ENAV	8 143 260.00	643 950.00	7 499 310.00
FREQUENTIS Consortium	6 885 998.00	475 866.00	6 410 132.00
Honeywell Aerospace	15 324 183.38	777 926.00	14 546 257.38
INDRA	21 534 500.00	1 656 500.00	19 878 000.00
Leonardo	48 127 619.53	2 291 791.00	45 835 828.53
NATMIG Consortium	10 472 227.00	511 804.00	9 960 423.00
NATS	9 363 535.00	655 208.00	8 708 327.00
SEAC2020 Consortium	3 485 625.00	222 625.00	3 263 000.00
SKYGUIDE	1 637 165.12	263 860.00	1 373 305.12
THALES AIR SYSTEMS	75 585 799.00	3 599 324.00	71 986 475.00

⁽⁵¹⁾ In accordance with Article 10.2.2 of the membership agreement: 'Cash Contributions shall correspond to 5 % of each Member's Gross In-Kind Contribution after deduction of the SJU Co-Financing. For the sole purpose of calculating the amount of Cash Contribution due by each Member under this Agreement, the SJU Co-Financing shall be considered as capped to 50 % of each Member Gross In-Kind Contribution'. Therefore, the level of cash contributions is highly dependent on the level of actual gross in-kind contributions from members, and can fluctuate up or down.

⁽⁵²⁾ The In-Kind Contribution of some Members will be revised in the course of 2021 through decisions of the Administrative Board.

Members	Estimated total net contribution ⁽⁵¹⁾	Of which financial contribution	Of which net in-kind contribution
THALES AVIONICS	34 348 844.00	1 635 659.00	32 713 185.00
Total	1 403 095 242.65	628 466 058.00	774 629 184.65

Table 14: SESAR JU financial resources estimate overview for the 2014–2024 period

2.3.1.2. Expenditure

For the 2021–2023 period, once SESAR JU running costs are taken into account, the overall estimated expenditure is EUR 28.5 million in commitment appropriations, broken down as follows.

(EUR)

	2021 budget	2022 forecast budget	2023 forecast budget
Title I	5 671 227	4 876 436	4 707 226
Title II	3 647 863	3 151 447	3 185 159
Title III	2 521 500 ⁽⁵³⁾	700 000	
Total	11 840 591	8 727 883	7 892 385

Table 15: SESAR JU financial resource outlook (commitment appropriations) for the 2021–2023 period

The total figures for Titles I, II and III for the whole period are the same in both documents.

Title III ‘Operational expenditure’ is planned as follows.

- For grants, subject to the successful conclusion of the calls for proposals launched in 2020, expenditure will decrease significantly in commitments as from 2021 due to the gradual closure of Horizon 2020 actions.
- Unused commitment and payment appropriations of 2020 will be carried over into 2021 and 2022 to cover administrative and other operational expenditure. It is anticipated that the amount of unused commitment and payment appropriations for both operational and administrative expenditure will be relatively high in 2020, due to the following two factors.
 - In 2020 the SESAR JU has received the totality of the remaining SESAR 2020 Programme funds from the EU, which will also be used to cover expenditure in 2021–2024 (e.g. experts’ fees for deliverables review, project audits, studies, etc. and the running costs from 2021 until 2024).
 - The SESAR JU plans to commit in 2020 the amount received for calls for proposals launched in 2020 (namely VLD Open 2 and IR-VLD Wave 3 calls) in relation to the signature of grant agreements; however, it should be noted that the 2020 commitment implementation rate may be impacted if the signature of some grant agreements were to be postponed to 2021 ⁽⁵⁴⁾. Payments in relation to grant agreements signed in 2020 will be executed over the 2020–2023 period.
- The global budgetary envelope for procurement appears in Annex XII (2021 only).

⁽⁵³⁾ Title III commitments in 2021 and 2022 will be financed through the budget outturn and unused appropriations in previous years.

⁽⁵⁴⁾ In accordance with Article 6 of the SESAR JU–EU general agreement the final date for signing grant agreements is set as 31 August 2021.

The overall planned expenditure of the SESAR JU for 2021–2023, in commitment appropriations and in payment appropriations, including direct Title III and indirect Title I and Title II figures, is broken down per Strategic Area of Operation in the following table:

Strategic area of operation	Types of procedure	Call and support activities budget			
		Commitment appropriations (EUR)	As a percentage of the total	Payment appropriations (EUR)	As a percentage of the total
Strategic area of operation 1 – Strategic steering	Restricted Horizon 2020 calls for proposals Procurement of support services	3 080 111	10.82%	3 082 183	1.94%
Strategic area of operation 2 – Exploratory research	Open Horizon 2020 calls for proposals	2 752 471	9.67%	38 904 594	24.43%
Strategic area of operation 3 – Industrial research and validation	Restricted Horizon 2020 calls for proposals Procurement of support services	10 089 039	35.45%	92 385 451	58.00%
Strategic area of operation 4 – Very large-scale demonstrations	Open and restricted Horizon 2020 calls for proposals Procurement of support services	3 415 555	12.00%	14 707 152	9.23%
Strategic area of operation 5 – SESAR outreach	Procurement of support services	3 715 248	13.05%	4 786 841	3.01%
Strategic area of operation 6 – Deliver effective financial, administrative and corporate management	Procurement of support services	5 408 434	19.00%	5 408 434	3.40%
Total		28 460 859	100.00%	159 274 657	100.00%

Table 16: SESAR 2020 Programme expenditure outlook for the 2021–2023 period

Most expenditure planned as of 2021 will be funded from the budget result (outturn). This will include pre-2021 unused or re-inscribed financial contributions of the EU to SESAR JU’s administrative and operational expenditure, but also new financial contributions of EUROCONTROL and Members other than the EU to SESAR JU’s administrative expenditure.

2.3.1.3. Budget outturn and cancellation of appropriations

A part of the 2020 budget surplus that remains unused by the JU is included in the 2021 budget of the SESAR JU. Detailed information can be found in the Annex III ‘Financial resources (tables) – 2021–2023’.

Given the multiannual nature of the SESAR 2020 Programme, and in line with the SESAR JU Financial Rules, cancelled appropriations may be entered in the estimates of revenue and expenditure up to the following 3 financial years. Furthermore, according to Commission Decision C(2019) 5447 of 16 July 2019, Article 12(2) of the revised SESAR JU Financial Rules provides that in order to ensure the continuity of the SESAR JU operation until its termination, appropriations related to administrative expenditure ⁽⁵⁵⁾ may, under conditions defined therein, be entered in the estimates of revenue and expenditure up to the 4 financial years following the last payment of the EU financial contributions as per Article 4(3) of SESAR JU basic act. Therefore, the commitment appropriations that are unused by the end of 2020 have been carried over to 2021. The related payment appropriations will have to be re-inscribed into the budget of each year according to the assessment of the needs.

2.3.2. Human resources

For the 2021-2023 period, 38 TA posts and one CA post have been included in the staff establishment plan of the SESAR JU, along with three SNE posts for which experience of Member States is required. For detailed data on the different staff categories, please refer to Annex IV, Table 1 and Annex V sub-annex A.

In absence of an adopted future regulatory framework for the functioning of a new partnership on ATM research and innovation during the EU multiannual financial framework for 2021–2027, the SESAR JU plans to adapt the published vacancies and the renewals of determined duration contracts in the 2021–2024 period to the scenario of a termination of the SESAR JU on the 31 December 2024 (as described in Section II, subparagraph 1.1.6. ‘The future of ATM research’). This adaptation is designed with due consideration to the budget availability and to the operational needs of the SESAR JU as its possible termination approaches. As a consequence, in a scenario where that SESAR JU would be terminated at the end of 2024, the SESAR JU plans a gradual reduction of the filled positions during the 2021–2024 period of 62 % in total, with reference to the positions available in the staff establishment plan in 2020, including contract agents and seconded national experts.

The abovementioned staff policy plan will be automatically revised if and when a confirmation on the establishment of the future regulatory framework for the ATM research and innovation partnership is communicated to the SESAR JU (as described in Section II, subparagraph 1.1.6. ‘The future of ATM research’). Simultaneously, the SESAR JU would assess and propose appropriate modifications of the multiannual staff policy plan for the 2022–2024 period to adapt it to the actual budget availability and to the operational needs of a possible new ATM partnership.

⁽⁵⁵⁾ In addition, Article 6(2) of the revised SESAR JU financial rules (Annex to SESAR JU Administrative Board Decision ADB(D)21-2019 of 9 October 2019) stipulates that the budget of the SESAR JU shall contain (only) differentiated appropriations. Consequently, administrative appropriations (contained in Titles I and II of the SESAR JU’s annual budget) are also considered to be differentiated appropriations, allowing the SESAR JU to re-enter such appropriations, if unused, in the estimates of revenue and expenditure of future years.

2.4. Strategy for achieving efficiency gains

To cope with the complexity stemming from the management of activities under four legal frameworks, the SESAR JU will continue its efforts towards further efficiency gains. This is in particular required to face a situation where contribution from Members of the SESAR JU other than the Union may be at risk as a consequence of the COVID-19 crisis and its impacts on the aviation sector; the related risk is described in further detail the table 62 in Annex XV. Furthermore, efficiency gains will contribute to the mitigation of a major risk with reference CORP05 'The SESAR JU may not be able to take up new challenges due to limited human resources' (see Annex XV).

In the 2021-2023 period, the SESAR JU will benefit from efficiency measures already implemented in previous years and will evaluate and, in some cases, implement new measures for further efficiency gains:

- **Quality management:** the SESAR JU undertakes regular process improvement initiatives in the context of the SESAR JU quality management system (see Section III, point 2.6.1.5 'Corporate quality management' and Annex X 'Strategy for the organisational management and internal control systems') supervised by the Quality, Information and Communication Technology Committee (QICT Committee), in order to monitor effectiveness and efficiency of business processes and IT tools, and focus on value added activities. This will continue in 2021 with specific attention to policies, procedures, processes and internal control that maintain alignment with evolving obligations and that also enhance support for staff working from home.
- **Information and document management:** the QICT Committee also supervises the implementation and continuous improvement of the SESAR JU's Information and Document Management System (IDMS), which aims at simplifying and streamlining the management of information and documentation within the organisation. The IDMS is based on software implemented in 2017 and has been under constant improvement since then. In that regard, the SESAR JU is also considering the implementation of modules in ARES (the European Commission's document management system) that will streamline communication with Commission services.
- **Electronic workflows:** the managed configuration of electronic systems supporting quality and information processes and key workflows that can be operated either locally or remotely makes teleworking measures possible with limited impact on the SESAR JU's business continuity. This is thanks to the effectiveness of the SESAR JU's ICT system, which includes collaboration platforms and electronic workflows that, in combination with ABAC workflows, support the most critical processes bound with strict deadlines. In 2021, this will be a significant element of the SESAR JU's mitigation plan and response to any potential reinstatement of COVID-19 protective measures. With the currently existing tools, the legal transactions done in 2020 through electronic workflows had to be blue-ink signed a posteriori by the relevant actors in the workflow, once presence at the SESAR JU is possible. The aim is to remove this additional inefficiency in 2021 a financial tool (SPEEDWELL) into the ICT configuration to further enhance financial transactions.
- **Reduction in the number of staff missions:** made possible through the increased use of video conferences, the number of missions has been reduced, especially for recurring monitoring activities such as project reviews. Typically, for meetings relating to ER, IR and VLD, and except for critical meetings such as kick-off meetings and critical reviews, the SESAR JU has opted for web conferences to coordinate with grant beneficiaries. This represents a

significant benefit in terms of environmental footprint, efficiency and work–life balance. Since the COVID-19 restrictions the SJU regularly uses on-line collaboration platforms for meetings, and increased staff familiarity with these systems could further reduce overall staff missions once travel restrictions are removed.

Moreover, in 2021 the human resources (HR) information system Sysper for Agencies, developed by the European Commission, will be in full operation at the SESAR JU. This HR system is based on the Commission’s HR management rules, in particular on the Staff Regulations and the Conditions of Employment of Other Servants of the European Union ⁽⁵⁶⁾, the General Implementing Provisions thereto and the related business processes. It is expected to streamline the management of HR-related transactions and reporting. Sysper’s modules cover the following HR areas:

- identity management,
- organisation management (organisation chart, job quotas),
- employee personal data management,
- talent management (career management, job descriptions, vacancies),
- time management (including work patterns, leave rights, absences, flexitime),
- document management (generation of various certificates, personal files digitalisation),
- optionally, other areas such as evaluation, reclassification, HR reporting and analytical services.

Finally, ICT opportunities will also be used in the field of procurement as the SESAR JU is finalising the implementation of the e-procurement suite provided by the European Commission, which will be in full operation in 2021.

2.5. Negative priorities/decrease of existing tasks

As described above in paragraph 2.2 ‘Outlook for the years 2021 to 2023’, the SESAR JU is planned to cease to exist at the end of 2024. Therefore, from 2023 onwards, it will be in its winding-up phase starting with the administrative and financial closure of the SESAR 2020 Programme operations and outreach activities over the year 2023, and continuing in 2024 with the closure of the financial, administrative and corporate activities. The allocation of tasks and resources will be carried out accordingly.

⁽⁵⁶⁾ As last amended by Regulation (EU, Euratom) No 1023/2013 of the European Parliament and of the Council of 22 October 2013 amending the Staff Regulations of Officials of the European Union and the Conditions of Employment of Other Servants of the European Union (OJ L 287, 29.10.2013, p. 15).

Section III – Annual work programme for 2021

The content of the SPD's annual work programme section includes the required content as set out in Article 16(1)(b) of the Annex to Council Regulation (EC) No 219/2007 (Statutes of the Joint Undertaking), as amended. The 'work programme' of the SESAR JU corresponds to the term 'work plan' defined in Article 2(1)(22) of Regulation (EU) No 1290/2013 ⁽⁵⁷⁾ which defines the 'work plan' as 'the document similar to the Commission work programme adopted by funding bodies entrusted with part of the implementation of Horizon 2020 in accordance with Article 9(2) of Regulation (EU) No 1291/2013' ⁽⁵⁸⁾.

1. Executive summary

In 2021, the SESAR JU will continue to steer and manage the innovation pipeline delivered through the SESAR 2020 Programme by the SESAR JU Members other than the EU and other organisations involved in ATM-related research and demonstration activities. Furthermore, as of 2021 no further funding will be provided by the European Union to the SESAR 2020 Programme under the Horizon 2020 programme.

Therefore, the main activities planned for 2021 are:

- The follow-up of activities laid out in the 2020 edition of the European ATM Master Plan, in particular in its level 3 (the 'Implementation view'), and ensure the update of levels 2 ('Planning and architecture view') and 3.
- The management of the grant agreements for ongoing projects under the ER4 open call for proposals (H2020-SESAR-2019-2).
- The assurance of continuous commitment of the scientific community around the SESAR topics through organisation of the SESAR Innovation Days and the Young Scientist Award and through further strengthening of the SESAR Digital Academy.
- The completion of Release 10 in line with the Release 10 plan published in 2020 and the execution of Release 11 based on the Release 11 plan published at the end of 2020.
- The management of the grant agreements for ongoing projects under the IR-VLD Wave 2 restricted call for proposals (H2020-SESAR-2019-1).
- The management of the grant agreements for ongoing projects under the IR-VLD Wave 3 restricted call for proposals (H2020-SESAR-2020-2).
- The supervision and assurance of the final delivery of the two remaining VLD Open projects in execution and ensure management of the grant agreements for ongoing projects under the VLD Open 2 open call for proposals (H2020-SESAR-2020-1).

⁽⁵⁷⁾ Regulation (EU) No 1290/2013 of the European Parliament and of the Council of 11 December 2013 laying down the rules for participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)" and repealing Regulation (EC) No 1906/2006 (OJ L 347, 20.12.2013, p. 81).

⁽⁵⁸⁾ Regulation (EU) No 1291/2013 of the European Parliament and of the Council of 11 December 2013 establishing Horizon 2020 – the framework programme for research and innovation (2014–2020) and repealing Decision No 1982/2006/EC (OJ L 347, 20.12.2013, p. 104).

- The continuation of showcasing mature SESAR solutions through awareness and outreach activities directly with stakeholders and at European and global events/conferences, promoting SESAR as an integral part of the day-to-day air transport and ATM domain, both in Europe and globally.
- Depending on the scenario selected for the future ATM partnership, start the operational and administrative winding-up activities of the SESAR 2020 Programme. The SESAR JU would draw a particular attention to, if applicable, identifying targets for the transfer of SESAR JU intangible assets, or any other solution that may be considered relevant.
- If the EU determines there will be a future ATM partnership, the current SESAR JU will follow guidance from the European Commission to prepare transition plans and undertake transition activities to help secure the transition while minimising impact to the current SESAR 2020 programme. It is expected that an update to this Single Programming Document will be required to describe transition to and operation as a new legal entity.
- The assurance of effective and efficient financial, administrative, legal and corporate management supported by diligent implementation of internal control principles and systematic quality assurance activities.

Stakeholder engagement beyond the Members is critical to the successful delivery of the SESAR JU's mandated goals. As such there will be a continuing need to embed a strategic and systematic approach to civil and military stakeholder engagement and management across the SESAR JU in 2021. To do this, the SESAR JU will continue to engage in partnerships with relevant actors in order to foster operational and policy coherence and have a positive benefit on the execution of the SESAR JU's mandate and those of its main stakeholders. Such partnerships will include, inter alia, EU institutions and decentralised bodies, ICAO, other regional R & I programmes, standardisation bodies and other third-party organisations. The SESAR JU will also continue to undertake effective outreach through the delivery of clear, targeted and effective communications on the SESAR JU's activities to all its external stakeholders, increasing the visibility, credibility and accurate understanding of the SESAR JU's work and mandate, leading to the significantly increased visibility of the SESAR JU as an important stakeholder in the modernisation of the European ATM system.

In the current context of the ongoing global COVID-19 crisis and EU-UK future relationship negotiations, particular attention will be given to the monitoring and mitigation of the ensuing risks towards successful finalisation of the SESAR 2020 Programme and effective and efficient functioning of the SESAR JU. In accordance with the SESAR JU risk management policy, the risks related to the possible negative effects of the Brexit (CORP06)⁽⁵⁹⁾ and of COVID-19 crisis (CORP08) have been identified and included in the risk register in Annex XV as critical risks.

During the course of the year, the SESAR JU will also continue to align the capabilities of the corporate services elements of its organisation to support the delivery of the SESAR 2020 Programme and activities. The objective for the SESAR JU in 2021 is the continued development and consolidation of SESAR JU support processes, with an emphasis on further developing their efficiency and effectiveness in line with best practices, standards and applicable regulatory frameworks.

⁽⁵⁹⁾ It is assumed that analysis and mitigations being implemented in 2020 will reduce the risk to negligible levels, while the implications for the SESAR JU governance and programme will be known. This text is maintained until true.

2. Activities in 2021

In this chapter each strategic area of operation is described, with a focus on activities to be conducted in 2021, associated with objectives, indicators and the 2021 targets/metrics.

All the SESAR JU's activities will be supervised by the Administrative Board (see Section II, point 1.1.5.1 'Administrative Board' above), which plans to hold three meetings during 2021. The key decisions and documents to be adopted during the course of 2021 are expected to be the following.

Q1	<p>Adopt operating decisions required for 2021 and beyond.</p> <p>Adopt a decision on the Internal Audit Capability 2021 work plan.</p> <p>Adopt a decision on the 2021 voting-rights allocation.</p>
Q2	Adopt the <i>Consolidated Annual Activity Report 2020</i> and the decision on its assessment.
Q4	<p>Adopt a decision on the final accounts for 2020.</p> <p>Adopt the SPD for 2022–2024 (if applicable).</p>

Table 17: Provisional timetable for key Administrative Board activities and decisions in 2021

2.1. Strategic area of operation 1: Provide strategic steering to the SESAR programme (operational activity)

2.1.1. Overview of activities

In the context of the strategic steering activities, in 2021 the SESAR JU will:

- Supervise the Wave 2 transversal activities under the call with reference H2020-SESAR-2019-1,
- Ensure the update of levels 2 and 3 of the European ATM Master Plan following the adoption of its 2020 edition at the end of 2019,
- Ensure the effective and efficient supervision of the SESAR 2020 Programme in accordance with the governance scheme (see Section II, subparagraph 1.1.5),
- Upon request by the European Commission, prepare the transition towards the future ATM partnership.

2.1.2. Objectives, indicators, expected outcomes and outputs

Indicators and measurements applicable for strategic area of operation 1 in 2021 are as follows.

Objectives	Indicators	Target for 2021
Supervision of Wave 2 transversal activities	See subparagraph 2.3.2, objective 'Call with reference H2020-SESAR-2019-1 (IR-VLD Wave 2 call for proposals): Reporting and Payment (REPA)'	
Ensure effective and efficient SESAR 2020 Programme governance meetings	Meetings of the Programme Committee and the Delivery Management Sub-Committee	Four meetings of the Programme Committee Four meetings of the Delivery Management Sub-Committee
	Meetings of the Master Planning Committee	At least two
	Meetings of the Scientific Committee	At least three
Prepare the transition towards the future ATM partnership	Develop a multi-annual work programme (MAWP) for SESAR 3 in line with the Digital European Sky Strategic Research and Innovation Agenda (SRIA) published in its draft version in September 2020 ⁽⁶⁰⁾	SESAR 3 MAWP adopted by the Governing Board of the new ATM partnership, or equivalent body
	Develop a transition plan towards the future ATM partnership	SESAR 2020-SESAR 3 transition plan adopted by the Governing Board of the new ATM partnership, or equivalent body

⁽⁶⁰⁾ The Digital European Sky Strategic Research and Innovation Agenda is available on the [SESAR JU's public website](#).

Objectives	Indicators	Target for 2021
	Start the execution of the transition as established in the transition plan	TBD as per transition plan

Table 18: Objectives, indicators and targets for strategic steering activities in 2021

2.1.3. Resources

Resources include a dedicated proportion of direct funding (Title III – Operational expenditure) implemented through open calls for proposals and procurement procedures and a portion of the SESAR JU’s human and administrative resources (appearing, from a budgetary perspective, in Title I – Staff expenditure and Title II – Infrastructure and operating expenditure of the SESAR JU budget).

The overall funding for strategic area of operation 1 for 2021 appears in Annex III and in Table 16 in Section II, point 2.3.1.2 ‘Expenditure’.

2.1.4. Estimates of quantifiable workload drivers

The main workload drivers stemming from the abovementioned 2021 activities and related objectives are laid out in the following table.

Activity / objective	Workload drivers
Supervision of the Wave 2 transversal activities	Participation in project coordination meetings with grant beneficiaries, reviews of intermediate project reports and deliverables
Effective and efficient SESAR 2020 Programme governance meetings	Per meeting: preparation of the meeting presentations and other materials, administrative tasks related to the organisation of meetings, administrative and operational follow-up activities including the drafting and publication of minutes
Preparation of the transition towards the future ATM partnership	To be completed

2.2. Strategic area of operation 2: Deliver exploratory research (operational activity)

2.2.1. Overview of activities

In the context of ER activities, in 2021 the SESAR JU will do the following.

- Supervise and ensure the final delivery of the only remaining ER3 project in execution ('Engage', under the call with reference H2020-SESAR-2016-2), then close the project.
- Supervise the projects launched in 2020 under the ER4 call for proposals (call with reference H2020-SESAR-2019-2), along with the related grant agreements (see SPD for 2019–2021, Section III, point 2.6.1.3 for call conditions).
- Organise the SESAR Innovation Days (see this section, point 2.5.1.1 'Communication and promotion activities' and Section II, point 1.3.3.1 'SESAR Innovation Days').
- As part of the SESAR Innovation Days and in continuation of activities conducted in previous years, organise the Young Scientist Award, which is the annual prize of EUR 5 000 to be awarded to a successful young scientist applicant or to be split among several successful applicants, following an open call for applications and in line with the evaluation conducted by the appointed evaluation committee.
- Use the SESAR Digital Academy initiative to raise the profile and visibility of existing SESAR outputs, events and activities with the development of new educational and continuing professional development services using existing contractual arrangements and communication channels.

2.2.2. Objectives, indicators, expected outcomes and outputs

Accordingly, and in addition to those specific ER deliverables outlined within the multiannual section of the SPD, the SESAR JU has identified a number of other objectives to be delivered during 2021, as outlined in the table below.

Objectives	Indicators	Target for 2021
Supervise ER projects (under calls for proposals H2020-SESAR-2019-2)	Execution of the H2020 REPA including the Projects Review	100 % (1 project)
	Percentage of ER4 projects that have their project management plan approved by the SESAR JU by the end of 2021	100 %
Ensure the commitment of the scientific community around the SESAR topics	Organisation of the SESAR Innovation Days	100 %
	Active coordination with the scientific community through meetings with the Association for the Scientific Development of ATM in Europe, and participation in the Advisory Council for Aviation Research and Innovation in Europe and EUROCONTROL's Agency Research Team	At least one meeting with each organisation
	Organisation of Young Scientist Award 2021	100 %
Maintain the SESAR Digital Academy and expand its membership	Portal publicly available throughout the year	100 %
	Additional organisations contributing to the academy across academia, industry, standards and regulation	At least four

Objectives	Indicators	Target for 2021
	Organise relevant events under the framework of the SESAR Digital Academy	At least two

Table 19: Objectives, indicators and targets for ER in 2021

2.2.3. Resources

Resources include a dedicated proportion of direct funding (Title III – Operational expenditure) implemented through open calls for proposals and procurement procedures and a portion of the SESAR JU’s human and administrative resources (appearing, from a budgetary perspective, in Title I – Staff expenditure and Title II – Infrastructure and operating expenditure of the SESAR JU budget).

The overall funding for strategic area of operation 2 for 2021–2023 appears in Annex III and in Table 16 in Section II, point 2.3.1.2 ‘Expenditure’.

2.2.4. Estimates of quantifiable workload drivers

The main workload drivers stemming from the abovementioned 2021 activities and related objectives are laid out in the following table.

Activity / objective	Workload drivers
Supervision of ER projects (under calls for proposals H2020-SESAR-2019-2)	Number of project coordination meetings with grant beneficiaries, number of project management plans reviewed
Commitment of the scientific community around the SESAR topics	Number of meetings per organisation
Maintenance of the SESAR Digital Academy and expand its membership	Number of events Number of updates to the portal

2.3. Strategic area of operation 3: Deliver industrial research and validation (operational activity)

2.3.1. Overview of activities

In the context of IR activities, in 2021 the SESAR JU will do the following.

- Supervise the IR projects launched in 2019 under the IR-VLD Wave 2 restricted call for proposals (with reference H2020-SESAR-2019-1), along with the related grant agreements (see SPD for 2019–2021, Section III, point 2.6.1.2 for call conditions).
- Supervise the IR projects launched in 2020 under the IR-VLD Wave 3 restricted call for proposals (with reference H2020-SESAR-2020-2), along with the related grant agreements (see SPD for 2020–2022, point 2.6.1.3 for call conditions).
- Complete Release 10, execute Release 11 and plan Release 12.

2.3.2. Objectives, indicators, expected outcomes and outputs

In addition to those specific deliverables outlined within the corresponding multiannual section, the SESAR JU has identified a number of other objectives to be delivered during 2021, which are outlined in the table below.

Objectives	Indicators	Target for 2021
Execute validation exercises of Release 10	Percentage of Release 10 solutions validation exercises completed in 2021	100 %
Close Release 10	Delivery of the Release 10 close out report, including coverage of the last Pilot Common Project solutions	Release 10 close out report available and approved by the Programme Committee by mid-2021
Execute validation exercises of Release 11	Percentage of Release 11 solutions validation exercises completed in 2021	60 %
Prepare Release 12	Delivery of the Release 12 plan	Release 12 plan available and approved by the Programme Committee by year end
Call with reference H2020-SESAR-2019-1 (IR-VLD Wave 2 call for proposals): Reporting and Payment (REPA)	Execution of the H2020 REPA including the Projects Reviews	All Project Reviews completed by mid-2021
Call with reference H2020-SESAR-2020-2 (IR-VLD Wave 3 call for proposals): supervise the delivery of results of IR Wave 3 projects	Percentage of IR Wave 3 projects that have their project management plan approved by the SESAR JU by the end of 2021	100 %

Table 20: Objectives, indicators and targets for IR in 2021

2.3.3. Resources

Resources include a dedicated proportion of direct funding (Title III – Operational expenditure) implemented through open calls for proposals and procurement procedures and a portion of the SESAR JU’s human and administrative resources (appearing, from a budgetary perspective, in Title I – Staff expenditure and Title II – Infrastructure and operating expenditure of the SESAR JU budget).

The overall funding for strategic area of operation 3 for 2021–2023 appears in Annex III and in Table 16 in Section II, point 2.3.1.2 ‘Expenditure’.

2.3.4. Estimates of quantifiable workload drivers

The main workload drivers stemming from the abovementioned 2021 activities and related objectives are laid out in the following table.

Activity / objective	Workload drivers
Execution of the validation exercises of Release 10 and close out	Monitoring of the preparation and execution of the validation activities, assessment of the technical deliverables, review of the maturity of the developed SESAR Solutions and consolidation of the results in the R10 Report
Execution of the validation exercises of Release 11	Monitoring of the preparation and execution of the validation activities, assessment of the technical deliverables, review of the maturity of the developed SESAR Solutions
Preparation of Release 12	Coordination of the definition of the R12 Plan content with all members and PC approval for its execution
Execution of the H2020 REPA	Organisation, preparation and execution of the Projects Reviews and completion of the H2020 Reporting and Payment process
Supervision of the delivery of results of IR Wave 3 projects	Launch into execution the W3 projects and monitoring of the delivery of the first results Review of project management plans

2.4. Strategic area of operation 4: Deliver very large-scale demonstration activities (operational activity)

2.4.1. Overview of activities

In the context of VLDs, in 2021 the SESAR JU will do the following.

- Supervise and ensure the final delivery of the two remaining VLD Open projects in execution (AUDIO and DIGITS AU, under the call with reference H2020-SESAR-2016-2), then close the projects.
- Supervise the VLD projects launched in 2019 under the IR-VLD Wave 2 restricted call for proposals (with reference H2020-SESAR-2019-2), along with the related grant agreements (see SPD for 2019–2021, Section III, point 2.6.1.2 for call conditions).
- Supervise the VLD projects launched in 2020 under the IR-VLD Wave 3 restricted call for proposals (with reference H2020-SESAR-2020-2), along with the related grant agreements (see SPD for 2020–2022, point 2.6.1.3 for call conditions).
- Supervise the VLD Open 2 projects launched in 2020 under the open call for proposals (with reference H2020-SESAR-2020-1), along with the related grant agreements (see SPD for 2020–2022, point 2.6.1.2 for call conditions). The projects under the VLD Open 2 call are expected to close by the end of 2022 at the latest.

2.4.2. Objectives, indicators, expected outcomes and outputs

In addition to the specific deliverables outlined within the corresponding multiannual section, the SESAR JU has identified a number of other objectives to be delivered during 2021, as outlined in the table below.

Objectives	Indicators	Target for 2021
Calls with reference H2020-SESAR-2016-2 (VLD Open 1), H2020-SESAR-2019-1 (IR-VLD Wave 2 call for proposals) : Reporting and Payment (REPA)	Execution of the H2020 REPA including the Projects Reviews	All Project Reviews completed by mid-2021
Call with reference H2020-SESAR-2020-2 (IR-VLD Wave 3 call for proposals): launch of the VLD projects into execution	Percentage of the VLD Wave 3 projects that have their project management plan approved by the SESAR JU by the end of 2021	100 %
Call with reference H2020-SESAR-2020-1 (VLD Open 2 call for proposals): launch projects into execution	Percentage of the VLD Open 2 projects that have their project management plan approved by the SESAR JU by the end of 2021	100 %

Table 21: Objectives, indicators and targets for VLDs in 2021

2.4.3. Resources

Resources include a dedicated proportion of direct funding (Title III – Operational expenditure) implemented through open calls for proposals and procurement procedures and a portion of the SESAR JU’s human and administrative resources (appearing, from a budgetary perspective, in Title I – Staff expenditure and Title II – Infrastructure and operating expenditure of the SESAR JU budget).

The overall funding for strategic area of operation 4 for 2021–2023 appears in Annex III and in Table 16 in Section II, point 2.3.1.2 ‘Expenditure’.

2.4.4. Estimates of quantifiable workload drivers

The main workload drivers stemming from the abovementioned 2021 activities and related objectives are laid out in the following table.

Activity / objective	Workload drivers
Execution of the H2020 REPA	Organisation, preparation and execution of the Projects Reviews and completion of the H2020 Reporting and Payment process
Launch and ramp up of W3 VLDs	Launch into execution the W3 VLD projects and monitor the preparation of the demonstration activities
Launch and ramp up of Open VLD 2	Launch into execution the Open VLD 2 projects and monitor the preparation of the demonstration activities

2.5. Strategic area of operation 5: Deliver SESAR outreach (operational activity)

2.5.1. Overview of activities

SESAR outreach plays an integral role in engaging with the wider aviation community and informing them about the SESAR JU's work and results. Outreach also encourages wider international commitment to the SESAR approach to ATM modernisation and contributes to maintaining the momentum around SESAR R & I.

Through its outreach activities, the SESAR JU promotes the following key messages about the partnership and programme:

- The unique SESAR JU public–private partnership is delivering solutions that drive aviation performance, in support of EU transport and mobility policy objectives.
- The SESAR JU model pools resources and expertise from Europe's aviation community and beyond to deliver efficient and value-for-money R & I.
- Embracing new trends and opportunities through cutting-edge R & I is a prerequisite for maintaining Europe's global leadership and competitiveness in aviation.

For 2021, recognising the impact of the COVID pandemic on the industry, SESAR JU outreach activities will focus on the promotion of the digital transformation (scalability and cost efficiency) and the benefits SESAR brings in terms of strengthening industrial competitiveness and leadership. Outreach activities will also seek to highlight the role of research and innovation investment in supporting economic recovery.

2.5.1.1. Communication and promotion activities

In 2021 the SESAR JU's communication activities will support the activities of SESAR 2020 through the application of the following targeted objectives, in accordance with the SESAR JU's rolling communications strategy.

- Continue to regularly illustrate and showcase SESAR solutions that are mature and ready for industrialisation and deployment, showing tangible benefits for aviation and society as a whole.
- Continue the awareness and outreach activities on SESAR directly with stakeholders and at European and global events/conferences to promote SESAR results, raising awareness and securing European and global stakeholders' commitment.
- Promote SESAR as an integral part of the day-to-day air transport and ATM domain, both in Europe and globally.
- Enhance the arrangements of the SESAR JU with its Members.

To meet these objectives, the SESAR JU will carry out the following activities.

- Promote and market the SESAR brand, the benefits that can be realised through SESAR solutions and the availability of industrial products to deliver results in international forums, both in Europe and in other ICAO regions.
- Create and disseminate appropriately targeted printed materials and digital communications in general and as needed based on SESAR 2020 project results, and specifically in relation to the events listed below.

- Provide effective press and media outreach.

The following table provides an overview of the major events and conferences in 2021 in which SESAR will invest significant resources. However, it should be noted that various other conferences and events organised by the EU and by European and international stakeholders may require the SESAR JU's participation with speakers, workshops or exhibition stands.

Event name	Location	Date	Organiser	Comments
Events/webinars in collaboration with institutional and stakeholder partners (up to 4)	Brussels	Q1–Q4 2021	SESAR JU and partners	Events or webinars to promote the value of the public–private partnership approach and the results from SESAR to target stakeholder and institutional audiences
SESAR JU Internal Meeting	Virtual	27 April	SESAR JU	A meeting with representatives from our core membership and key stakeholders in order to provide an update on the status of the programme and highlight ATM priorities both within Europe and beyond.
SESAR JU Digital European Sky Awards Ceremony	Virtual	17 June 2021	SESAR JU	The 2021 edition of the SESAR JU awards, aims to celebrate the best of SESAR research and innovation, recognising successful SESAR 2020 projects and achievements. The projects have been evaluated by a distinguished panel of ATM experts. 17 projects in the 5 categories were selected based on their contribution to the European Digital Sky.
SESAR Spotlight Event, showcasing U-space services for medical air mobility	Hybrid Conference, Brussels & Virtual	18 November 2021	SESAR JU, in collaboration with Skeyes and Helicus	This event aims to showcase some of the U-space services and use cases being researched, developed and demonstrated within the SESAR 2020 programme, aiming to make drone services for medical air mobility a reality.
SESAR Innovation Days	Virtual	7-9 December 2021	SESAR JU	A week-long virtual conference with online exhibition, networking and other activities (e.g. poster pitches, industry site visits, etc.)
Digital events (webinars/vodcasts)	Virtual	Q1–Q4 2021	SESAR JU	Virtual events with presentations and discussion about SESAR projects, solutions and results

Table 22: Key events and conferences for SESAR JU in 2021

The following table represents the publications / digital communications / online communications and communications coordination currently planned for 2021:

Publications	When
Application of SESAR 2020 visual identity (print material: posters, visual graphics, etc.)	Q1–Q4 2021
2020 SESAR innovation pipeline – R & I highlights	Q1 2021
SESAR solutions catalogue – 4th edition	Q1 2021
Various brochures/factsheets on SESAR JU R & I (e.g. performance, environment, solutions, results)	Q1-Q4 2021
Digital communication	When
2021 highlights	Q4 2021
Digital material and tools (incl. virtual reality, augmented reality, gaming and videos)	Q1-Q4 2021
Social media content	Q1-Q4 2021
Online communication	When
E-news (interviews and project news)	10 e-news per annum
Contributions to external magazines	12-16 articles per annum
Press relations	Q1-Q4 2021
Social media campaigns	Q1-Q4 2021
Communications coordination	When
Review SESAR 2020 project plans and activities	Q1-Q4 2021
Update SESAR JU communications strategy	Q2-Q3 2021
Organise WebEx and face-to-face meetings with the Communications Coordination Group	Q1-Q4 2021

Table 23: Main publications and communication activities in 2021

2.5.1.2. Cooperation with third countries and international organisations

As per its strategy for cooperation with third countries and international organisations (see subparagraph 1.6.2 in Section II), the SESAR JU will continue to engage actively with key international partners in support of global interoperability and harmonisation. At the global level, in relation to ICAO, the SESAR JU will maintain its active participation and collaboration under the leadership of the European Commission, in particular through participation in the ICAO GANP Study Group, which oversees the future evolution of the GANP, following up on the outcome of the 40th ICAO Assembly. The alignment between the ICAO GANP, the ATM Master Plan and the SESAR 2020 Programme is essential to de-risk development towards deployment. The SESAR JU will, in this respect, continue to participate in the European ICAO Coordination Group chaired by the European Commission.

The close collaboration with the FAA and its NextGen programme will continue, subject to the outcome of the review of priority topics being conducted by the European Commission and the FAA to take into account changing priorities and emerging issues, in particular with a view to future ATM research needs. The priorities for the collaboration will be set by the Executive Committee on the basis of the

EU–US MoC, chaired on the European side by the Commission. The focus will nevertheless remain on identifying and mitigating international harmonisation and global interoperability risks.

The existing cooperative arrangements with other international partners covering the ATM domain, whether of the SESAR JU or at the level of the European Commission or the European Union, will be further enhanced during 2021 as the SESAR solutions evolve and are being deployed. This includes arrangements with Georgia, Japan, Qatar, Singapore and the United Arab Emirates. The SESAR JU will also work closely with the European Commission and other SESAR Members to identify and leverage opportunities to extend and deepen international collaboration, including under EU technical cooperation projects with China, Latin America, South Asia and South-East Asia. In doing so the SESAR JU will closely follow the policies of the EU and the needs of the EU Aviation Strategy and of the SES framework.

2.5.2. Objectives, indicators, expected outcomes and outputs

The outcome of these activities will be measured according to the metrics indicated in the SESAR JU’s rolling communications strategy (e.g. level of participation of stakeholders, website analytics, social media analytics, etc.).

Objectives	Indicators	Target for 2021
Strengthen global interoperability activities aligned with the European Commission’s expectations, especially towards ICAO, in close collaboration with FAA/NextGen and other ATM modernisation initiatives	Coverage of ICAO GANP aviation system block upgrade modules aligned and agreed with NextGen. Transparent progress towards interoperability and harmonisation between SESAR and NextGen	Securing inputs to and outcomes from the ICAO High-Level Safety Conference in 2021 that are aligned with SESAR JU’s priorities and requirements Active participation in the ICAO GANP Study Group Prioritised work plan agreed with FAA under EU-US MoC
Strengthen links towards standards-making organisations such as EUROCAE and the Radio Technical Commission for Aeronautics with the involvement of SESAR JU Members and the availability of SESAR material in support of standardisation	Alignment of priorities in standards development with the ATM Master Plan and SESAR 2020 needs	Well-aligned and supporting roadmaps relevant for standards among SESAR, standards-making organisations, international bodies and ICAO SESAR JU active participation in the European ATM Standards Coordination Group, the EUROCAE Council and the Council and Technical Advisory Committee to ensure alignment of the work programmes SESAR member/project contribution to standards-development groups
Promote SESAR JU activities and results through publications, workshops and events	SESAR JU events SESAR JU participation in relevant ATM events SESAR JU publications	See Table 22 above See Table 23 above
Active cooperative arrangements with all EU	Active cooperative arrangements or agreements with European (EU	Actors and initiatives to be addressed as a priority:

Objectives	Indicators	Target for 2021
Member States and stakeholders, international actors and other modernisation initiatives in aviation relating to the SESAR definition and development phases	Member States and stakeholders) actors	<ul style="list-style-type: none"> – national aviation authorities – Airport Council International – Clean Sky 2 Joint Undertaking – EASA – European Defence Agency – European Space Agency – EUROCAE – PSOs
	Active cooperative arrangements or agreements with international actors and other ATM modernisation initiatives	Actors and initiatives to be addressed as priority: <ul style="list-style-type: none"> – ICAO (see also the abovementioned objective for 2021 in relation to GANP) – China – Qatar – Singapore – United States (FAA)

Table 24: Objectives, indicators and targets for SESAR outreach in 2021

2.5.3. Resources

Resources include a dedicated proportion of direct funding (Title III – Operational expenditure) implemented through open calls for proposals and procurement procedures and a portion of the SESAR JU’s human and administrative resources (appearing, from a budgetary perspective, in Title I – Staff expenditure and Title II – Infrastructure and operating expenditure of the SESAR JU budget).

The overall funding for strategic area of operation 5 for 2021–2023 appears in Annex III and in Table 16 in Section II, point 2.3.1.2 ‘Expenditure’.

2.5.4. Estimates of quantifiable workload drivers

The main workload drivers stemming from the abovementioned 2021 activities and related objectives are laid out in the following table.

Activity / objective	Workload drivers
Strengthened global interoperability activities	Number of meetings and participation in coordination / cooperation events
Strengthened links towards standards-making organisations	Number of meetings and participation in coordination / cooperation events
Promotion of SESAR JU activities and results	Number of publications, workshops, events organised or participated to
Active cooperative arrangements with all EU Member States and stakeholders, international actors and other modernisation initiatives in aviation relating to SESAR	Number of meetings and participation in coordination / cooperation events

2.6. Strategic area of operation 6: Deliver effective financial, administrative and corporate management (transversal activity)

2.6.1. Overview of activities

This chapter outlines the activities that will be carried out to deliver the objectives of the SESAR JU relating to financial, administrative and corporate management. These objectives are summarised in subparagraph 2.6.2 below and are associated with relevant indicators and 2021 targets.

2.6.1.1. Calls for proposals and grant management

No new calls for proposals are planned to be launched in 2021 under the SESAR 2020 Programme.

In 2021, the SESAR JU will manage grant agreements and the execution of payments in accordance with the financial circuit for the grant agreements within the Horizon 2020 set of rules where reporting periods become due or projects close their work and final payment is due. This will be carried out in relation to the calls for proposals mentioned earlier in this document ⁽⁶¹⁾, namely:

- the final phase of the execution of the last ER3 grant ('Engage' project) resulting from the open call for proposals with reference H2020-SESAR-2016-2;
- the final phase of the execution of the last VLD Open grants (AUDIO and DIGITS AU projects) resulting from the open call for proposals with reference H2020-SESAR-2016-2;
- the signature of the last grant agreements and the execution of the ER4 grants resulting from the open call for proposals with reference H2020-SESAR-2019-2;
- the execution of the IR and VLD Wave 2 grants resulting from the restricted call for proposals with reference H2020-SESAR-2019-1;
- the signature of the last grant agreements and the execution of the IR and VLD Wave 3 grants resulting from the restricted call for proposals with reference H2020-SESAR-2020-2;
- the signature of the last grant agreements and the execution of the VLD Open 2 grants resulting from the open call for proposals with reference H2020-SESAR-2020-1.

2.6.1.2. Financial management

The SESAR JU will continue to work with a proactive approach to ensure the transparent and effective management of financial resources and a high level of budget implementation (in terms of both commitments and payments).

During 2021, the SESAR JU will continue to streamline workflows within the SESAR JU's finance-related IT systems (ABAC/SAP and the SESAR JU's own information and document management system IDMS, complemented with SPEEDWELL for some financial transactions) and with regard to the Horizon 2020 IT tools (SYGMA/Compass), and to maintain a high level of accuracy in budgetary forecasting.

The procedures and tools at the SESAR JU related to services contracted to European Commission's Directorate-General for Budget will continue to be implemented in accordance with the service

⁽⁶¹⁾ In accordance with Regulation (EU) No 1290/2013 of the European Parliament and of the Council of 11 December 2013 laying down the rules for participation and dissemination in 'Horizon 2020 – the framework programme for research and innovation (2014–2020)' (OJ L 347, 20.12.2013).

agreements. These services are: treasury, accounting, central budgetary framework, recovery actions, validation of local systems and financial reporting.

In the context of the COVID-19 crisis and its financial impact on the SESAR JU Members (as mentioned in risk CORP08, which is described in table 62 in the Annex XV), the JU has put in place a series of budgetary measures following a discussion supported at the Administrative Board's meeting of 7 May 2020. These measures aim to provide the Members and the aviation sector with immediate cash-flow support through measures that in 2021, in continuation of the measures implemented in 2020, will take the form of:

- an increase in pre-financing rates ⁽⁶²⁾ from 20 % to 40 % for projects under the VLD Open 2 call and from 60 % to 80 % for projects under the Wave 2 (pre-financing of second instalments) and Wave 3 calls;
- a temporary reduction of 20 % in the cash contributions requested from the Members other than the EU for the SESAR JU's running costs. The overall due amount will be regularised later on, on the basis of the actual accepted in-kind contribution costs of each Member under the SESAR 2020 Programme ⁽⁶³⁾.

2.6.1.3. Legal and procurement support to operations

In the field of legal and procurement support to operations and in continuation of activities carried out over the past years, in 2021 the SESAR JU will carry out the following actions:

For legal affairs:

- Develop legal analysis on various matters requiring it. This analysis aims to ensure:
 - the regularity and legality of all SESAR JU's binding agreements, contracts, grants, decisions, processes and measures;
 - compliance with the agreements concluded with SESAR JU's Members (Membership Agreement);
 - compliance with the agreements concluded with SESAR JU's founding members (delegation agreements with the European Commission, agreement with EUROCONTROL);
 - appropriate support for activities aiming at defining the future of SESAR.
- Such analysis could take the form of:
 - legal advice, opinions, legal risk assessments and related mitigation actions,

⁽⁶²⁾ Without preventing the SESAR JU from considering possible stronger monitoring measures for some beneficiaries should there be doubts about their financial viability.

⁽⁶³⁾ This measure is in anticipation of a possible temporary decrease in the in-kind contribution of the Members other than the EU, as described in the risk with reference CORP08 in Table 67 in Annex XV. Considering the present level of expenditure and the impact of the COVID-19 crisis on the in-kind contributions, the Administrative Board has agreed to allow the SESAR JU to reduce the requested amount of contributions to be paid in 2020 and 2021, below the indicative amounts provided for in the Membership Agreement, in accordance with Article 10.2.3 of the Membership agreement: 'Every year, no later than 1st July, each Member shall pay to the SJU one seventh (1/7) of the amount of Cash Contribution as calculated under article 10.2.2 of this Agreement'. The situation will be reassessed in the SPD for 2022–2024, and the overall level of contributions (in-kind and in cash) will be checked against the obligations of the Membership Agreement, which will remain in place. Meanwhile, the SESAR JU will continue to closely monitor the execution of ongoing projects and the delivery of planned solutions.

- participation in the SESAR JU’s technical and administrative projects,
- drafting, reviewing or updating SESAR JU staff training activities, guidelines or other material on legal matters including SESAR JU’s internal rules and procedures.
- Coordinate with the European Commission and relevant SESAR JU external stakeholders with regard to legal aspects of:
 - the implementation of the SESAR 2020 Programme activities;
 - any measure related to the transition towards the new multiannual financial framework;
 - the development and implementation of the programme and administrative closure/transition scenarios, including the potential liquidation of the SESAR JU in its current form, the transfer of tangible and intangible assets and any other topics requiring legal expertise;
 - Brexit-related decision-making.
- Participate in interagency legal and procurement networks (Inter Agencies’ Legal Network (IALN) and Network of Agencies’ Procurement Officers (NAPO)) as well as in Horizon 2020 legal networks (Legal Mechanism Issue Group (LMIG), and Common Implementation Centre (CIC) ad hoc meetings) in order to contribute to the implementation and development of these networks’ annual work programmes, concerted guidance, processes and templates.

For procurement:

- Provide legal and procedural support and advice for the effective implementation of the procurement plan for 2021 (Annex XII of this document): preparation, launch and administration of procurement procedure files and contracts.
- Develop legal and procedural analysis on various matters requiring it in the field of procurement in view of the rules and regulatory framework applicable to SESAR JU procurement and contract management. Such analysis could take the form of legal advice, legal risk assessments and related mitigation actions, SESAR JU staff training activities, guidelines or other material on procurement matters as well as drafting, review and/or update of the SESAR JU’s internal rules and procedures related to procurement activities.
- Promote automation in the management of procurement and contracts (i.e. e-procurement),
- Liaise with other JUs and EU agencies in relation to inter-institutional and joint procurement.

2.6.1.4. Corporate planning and reporting activities

2.6.1.4.1. Preparation and adoption of corporate planning and reporting documents

By 31 January 2021 the SESAR JU will prepare and submit to the Budgetary Authority its SPD for 2022–2024. This document will be further developed and submitted to the Administrative Board by the end of November 2021 for adoption in December, subject to there being no transfer to a new legal entity and no early termination of the SESAR JU by January 2021.

In February 2021 the SESAR JU will prepare the first amended version of the SPD for 2021–2023, aiming for the adoption of the budget outturn and the transfer of unused 2020 appropriations to the 2021 budget by the Administrative Board.

Subject to there being no transfer to a new legal entity, the SESAR JU will, by the end of 2021, prepare and submit to the Administrative Board for review its SPD for 2023–2024. The submission of this document to the European Commission, which will also serve as the SESAR JU’s input into the EU’s draft budget for 2023, will be prepared for 31 January 2022.

In addition, the SESAR JU will prepare its Consolidated Annual Activity Report for 2020 and submit it to the Budgetary Authority by 30 June 2021.

2.6.1.4.2. Future scenario definition and preparation

The outline of activities to be carried out in 2021 in relation to the definition and preparation of the future scenario appears in Section II, paragraph 1.7 ‘Strategic area of operation 6: Deliver effective financial, administrative and corporate management’. These activities will be further developed and elaborated upon in accordance with upcoming developments as regards the future of ATM research.

2.6.1.5. Corporate quality and ICT management

In 2021, in accordance with its strategy for the organisational management and internal control systems presented in Annex X, the SESAR JU will maintain its Quality Management System and will continue performing extensive quality monitoring. Specific continuous improvement actions will be defined and followed up within the QICT Committee.

The SESAR JU will also run its Information and Document Management System and the supporting platform (referred to as IDMS) in relation with other tools and platforms it uses where information or documents are managed, be they owned by the SESAR JU itself or by the European Commission (ABAC for financial processes, Horizon 2020 tools for grant management etc.) or by another provider. Continuous improvement actions will be planned and undertaken, and will be followed up within the QICT Committee.

The ICT coordination will continue to support SESAR JU corporate governance and staff by:

- providing expert advice and input in the fields of ICT, unified communications and business continuity management;
- providing a stable and continuously accessible teleworking infrastructure;
- ensuring seamless transition of ICT service suppliers (EUROCONTROL subcontractors) with minimised interruptions to service and continuity of support arrangements.

During the reporting period, continuous care will be taken to ensure that the ICT infrastructure and the operating environment are suitable to meet the needs and budget of the SESAR JU. The configuration is controlled through internal governance (QICT Committee), with deviations described through change requests or in transformation projects. Service-level measurement and performance improvement activities will be safeguarded by service improvement requests and problem management. During early 2021, the SESAR JU major IT supplier, EUROCONTROL, is changing suppliers and as a consequence, the SESAR JU must also transition to services provided by new organisations. This change will have consequences for cost and effort to support transition activities, furthermore the migration to cloud-based services will have to also take place later in the year. The SESAR JU will apply significant effort to secure equivalence of services and continuity of operations for staff and stakeholders while planning additional evolutions through projects to be approved by the QICT Committee. Additional budget and effort is foreseen during 2021 to secure these activities, with a return to stable levels in 2022.

Ensuring the continuity and interoperability of the ICT services provided will require particular attention when renewing contractual elements of the infrastructure environment, of the centralised licensing portfolio (in particular due to new European Commission framework contracts, which are planned to be used as of 2020) and of the ICT coordination services.

2.6.1.6. Human resources

In 2021 the SESAR JU will implement the learning and development policy through a set of trainings tailored to the type of position of its employees, with a dedicated monitoring tool for both compliance with the policy and budget execution.

Efficiency gains in the area of HR are presented in Section II, paragraph 2.4 'Strategy for achieving efficiency gains', and will be monitored in 2021.

During the year the SESAR JU will continue to implement all guidance material and procedures deriving from implementing rules and model decisions which are mandatory for the SESAR JU.

The SESAR JU will pay special attention to staff retention, although it is acknowledged that the uncertainty inherent in the future of SESAR is a challenge to this objective.

Besides the above, HR activities will focus on the following specific objectives during 2021:

- If the termination of the SESAR JU has to be carried out by 2024, reduce the number of filled posts by 12 % (comprising of TAs, CAs and SNEs) while maintaining the operational capability of the SESAR JU fit for achieving its objectives in 2021.
- Complete the staff selection processes following the two vacancies considered essential for the operation of the SESAR JU.
- Present to the Administrative Board members, for their adoption, the relevant model decisions, implementing rules or requests for opt-outs relating to the Staff Regulations developed by the European Commission, where appropriate.

2.6.1.7. Facility and support services

Facility and support services activities are related to the following administrative tasks and services.

- Facilities management coordination, supporting all persons working and/or providing services within the SESAR JU premises, by providing facility coordination support in the buildings and logistics services.
- Mission coordination, supporting SESAR JU staff by providing core support for their travel bookings and the execution of missions, and for the reimbursement of travel expenses towards the travel agency's expenses and the traveller's claims.
- Insurance coordination, ensuring necessary coverage against recognised operational risks and the follow-up of new insurance claims.

In 2021, in terms of facilities management, work will continue on a number of initiatives at the SESAR JU's premises in Brussels to sustain or improve the productivity, safety and efficiency of the working environment and facilities offered to SESAR JU staff. In particular, the SESAR JU will:

- publish a public procurement call for tenders in relation to security services, split into two lots: lot 1 'Guarding services' and lot 2 'Alarm monitoring, badging and video surveillance systems';

- start the preparation of a new public procurement call for tenders in relation to cleaning services;
- depending on the evolution of the COVID-19 crisis, extend or implement measures to monitor the occupancy levels and the presence of the staff at the SESAR JU's premises, based on the rules and recommendations of the European Commission and the Belgian authorities.

Mission support will also continue during 2021, consisting of mission process management and support for all staff across the SESAR JU while contributing to continuous improvement initiatives relating to the mission system or the electronic workflow.

2.6.1.8. Internal control, risk management and audits

2.6.1.8.1. Ex ante and ex post controls

Ex ante controls

Ex ante controls remain important tools to help the SESAR JU prevent errors and to avoid the need for *ex post* corrective actions. In accordance with Article 74 of the EU Financial Regulation and Article 44 of the SESAR JU's Financial Rules, 'each operation shall be subject at least to an *ex ante* control relating to the operational and financial aspects of the operation, on the basis of a multiannual control strategy which takes risk into account'. The main objective of *ex ante* controls therefore is to ensure that the principle of sound financial management is applied. In 2021, the following *ex ante* activities will take place.

- Generate and check grant agreements.
- Initiate, check and verify invoices for administrative expenditure.
- Assess periodic reports from grants, and verify and pay cost claims.

Ex post controls

One of the other major pillars of assurance for SESAR JU is its *ex post* audit activity. Its main objectives are as follows.

- Provide the authorising officer with the necessary elements of assurance in a timely manner on the operational expenditure.
- Assess the regularity and legality of the transactions.
- Attain residual error rates at an acceptable level at the closure of SESAR 2020 Programme, once the financial impact of all audits and correction and recovery measures has been taken into account.
- Determine the sound financial management of the transactions, with the support of the internal or external technical experts, with the overall objective of assessing the value for money of the SESAR JU's operations.
- Identify systemic errors through the analysis and synthesis of the results obtained and formulate recommendations to address the issues,
- Provide the SESAR JU auditees with recommendations to improve the financial management, processes, procedures and practices applied to the activities related to the SESAR JU's contracts, with the main purpose being to ensure that recurring errors are avoided by the SESAR JU beneficiaries.

In 2021 the audit activity is expected to encompass (according to the Horizon 2020 Audit Strategy) audits in 18 participations, performed by the Common Audit Service of DG Research and Innovation (CAS), as well as follow-up and closure of any pending audits previously launched, regular meetings and exchange of information. For all these activities, the SESAR JU has an active participation in the CAS coordination mechanisms. Additional 15 participations will be audited in 2022.

The SESAR JU will also contribute to the Implementation Strategy for Horizon Europe, in particular by participating in discussions, making proposals for a common audit approach on common financial rules.

The enhanced communication campaign provided by the CAS will support external stakeholders when needed.

During 2021, and as agreed with the Commission Services, the audits to other grants and projects different from those of H 2020 (64) that could not be done during 2020 due to the COVID-19 crisis, will be performed in 2021, once the participation of EC auditors is secured.

Corporate risk management policy

The SESAR JU risk management policy addresses four threads of risks: corporate risks, master plan risks, SESAR JU internal risks and SESAR 2020 Programme risks. The policy focuses on the management of critical risks, defined as risks that:

- endanger the realisation of objectives outlined in the European ATM Master Plan,
- cause serious damage to the SESAR partners (SESAR JU Members, the broader stakeholder community involved in the execution of the European ATM Master Plan);
- result in critical intervention at political level (European Parliament / Council of the European Union / European Commission) regarding the SESAR JU's performance;
- result in infringement of laws and regulations;
- result in misuse of public money;
- put the safety levels of aviation at stake;
- in any way seriously impact the SESAR JU's image and reputation.

The list of critical risks that may affect the achievement of the SESAR JU's objectives for 2021 as per the above definition, extracted from the SESAR JU's corporate risk register, appears in Annex XV.

Strategic risk assessment

In November 2018, the IAS conducted a strategic risk assessment of the SESAR JU. This entailed the IAS analysing all of the operational, administrative, financial and IT processes of the SESAR JU with the aim of identifying areas of risk and future audit topics. This strategic risk assessment was performed in coordination with the SESAR JU IAC, and led to the 2019–2021 Strategic Internal Audit Plan (SIAP) which was published in May 2019.

The IAS concluded that the most significant risks relate to the following three topics.

⁽⁶⁴⁾ This affects the calls for proposals on Geofencing (with reference SESAR-2017-1) and on U-space (with reference CEF-SESAR-2018-1).

- **Grant implementation and programme management.** The SESAR JU's activities follow the standard Horizon 2020 grant management cycle from the preparation and launch of calls for proposals, via project implementation, to closure. In its previous strategic internal audit plan the IAS covered the risks of the initial phase of the grant management process. In the latest risk assessment exercise the IAS singled out the risks relating to the grant implementation phase and programme management, and will conduct an audit in this field.
- **The in-kind contribution validation process.** The majority of contributions from the SESAR JU's private members and EUROCONTROL are in-kind contributions. Taking into account the large amounts involved and the complexity and importance of the validation process, the IAS will conduct an audit on the in-kind contribution validation process.
- **Human resources management.** The staffing plan of the SESAR JU consists of 39 TA and CA posts. In addition, there are members of staff seconded from EUROCONTROL, and from industry members, and SNEs from Member State authorities. The combination of 'traditional' HR-related risks (HR planning and allocation, recruitment and career development) with the unique challenge of a workforce that is subject to two different regulations (EU and EUROCONTROL) led the IAS to plan an audit on HR management.

The IAS also identified two additional areas of risk that may be audited in the coming years.

- **The new internal control framework.** The SESAR JU completed the transition to the new internal control framework at the end of 2018. This entails a shift of focus from compliance towards an assessment of the effectiveness and efficiency of the control system, which may result in risks to the organisation. The implementation of the associated metrics and reporting have been developed in previous years, revised in 2020 and will be implemented from 2021.
- **The internal data protection regulation.** This regulation lays down rules relating to the protection of natural persons with regard to the processing of personal data by the EU institutions, bodies, offices and agencies. If the roles, responsibilities and processes of staff working with personal data are unclear or not defined, or do not match the new data protection regulation, this may lead to personal data not being properly managed and to litigation and financial claims. This is a cross-cutting risk that applies to all EU institutions and bodies. In the case of the JUs most of the grant-related personal data is managed by the Common Support Centre. There is therefore joint ownership of the data, and consequently of the risk.

Finally, the IAS identified a number of risks that were brought to the attention of management even though they will not be covered by internal audit work of the IAS. The SESAR JU has already initiated actions to address these risks in 2019 and 2020 and will continue to work on mitigating measures in 2021.

- An inherent risk for SESAR JU is the uncertainty that derives from the fact that the next framework programme for R & I for 2021–2027, Horizon Europe, has not yet been adopted by the European Parliament and the Council. It is therefore not known whether Horizon Europe will include a third generation of JUs. This entails a major uncertainty factor for the JU and bears important risks to its continued existence. As the proposal and adoption of Horizon Europe falls outside of the JU's remit, this was considered to be a non-auditable topic.
- The absence of an updated business continuity plan and the lack of a tested disaster recovery plan increases SESAR JU's business continuity risk and should be addressed by SESAR JU's

management. However, taking into account the higher priority of the core business of the JU and the limited IAS resources, this risk will not be audited.

- In the area of ICT the IAS identified two risks that are worth highlighting. First, the risk that the lack of an IT strategy may lead to non-alignment between business and IT, and suboptimal value from the portfolio of projects and services. Second, the risk that SESAR JU's supplier management could lead to a lack of control of IT suppliers, which could result in paying above market prices for IT services. However, taking into account the higher priority of the other audit topics and the IAS's limited IT auditing resources, these risks will not be audited.

The next in-depth risk assessment by the IAS is planned for 2022.

2.6.1.8.2. Audits

Internal Audit Capability

The SESAR JU's Internal Audit Capability (IAC) will perform audit and consulting engagements based on risks identified in 2020 and will coordinate activities with the Internal Audit Service (IAS) of the European Commission and the European Court of Auditors as described below. The 2021 annual audit plan of the IAC will be presented to the Administrative Board in December 2020.

Internal Audit Service 2021 audits

Internal audits are carried out by the IAS in liaison with the IAC.

In 2021, the IAS plans, in accordance with the "2019–2021 Strategic Internal Audit Plan", an audit on the in-kind contribution validation process. (cf subpoint 2.6.1.8.3).

European Court of Auditors 2021 audits

At this stage the SESAR JU is not aware of any external audits to be conducted by the European Court of Auditors in 2021, with the exception of the recurring annual audit of the accounts.

2.6.1.9. Data protection

Since the entry into force of Regulation (EU) 2018/1725 ⁽⁶⁵⁾, the long-term commitment to a privacy practice and culture has been strengthened at the SESAR JU.

The SJU will continue adapting its processes and ICT tools when used for processing personal data. This will enable fully compliance with Regulation 2018/1725.

Whereas most of the novelties and requirements of Regulation (EU) 2018/1725 have been tackled by the SESAR JU through the implementation and monitoring of the action plan, a number of ongoing actions are to be performed in the upcoming years in line with the main principles of:

- accountability and shift of responsibilities from the Data Protection Officer to the controller responsible for compliance at three levels (insurance, demonstration and verification);
- documentation and consultation obligations closely tied to the risks;

⁽⁶⁵⁾ Regulation (EU) 2018/1725 of the European Parliament and of the Council of 23 October 2018 on the protection of natural persons with regard to the processing of personal data by the Union institutions, bodies, offices and agencies and on the free movement of such data, and repealing Regulation (EC) No 45/2001 and Decision No 1247/2002/EC (OJ L 295, 21.11.2018, p. 39).

- transparency and provision of clear information to data subjects allowing for the effective exercise of data subjects' rights';
- a new obligation on the part of the SESAR JU to notify personal data breaches to the supervisory authority;
- strict data protection clauses in contracts.

For this purpose, the SESAR JU will continue to implement the following recurring activities.

- Plan, provide advice and report to the controller on accountability at three levels: (1) participation in the QICT Committee meetings; (2) constant monitoring of the SESAR JU action plan on data protection; and (3) regular reporting obligations to the European Commission and the European Data Protection Supervisor.
- Record and map all transfers of personal data.
- Update the electronic records system (GDPR central system) and privacy notices.
- Implement data protection by design and by default in the definition of new services and tasks by introducing data protection requirements for procurement procedures at three different levels (definition, evaluation and reporting) and in the resulting contracts.
- Draft SESAR JU policies and internal rules on data protection;
- Perform data protection impact assessments;
- Report any identified data breaches and notifications to the European Data Protection Supervisor,
- Contribute to and follow up on developments in joint controllership.
- Cooperate with EUROCONTROL's data protection officer and draft the SESAR JU-EUROCONTROL joint controllership agreement.
- Dissemination and info sessions across the SESAR JU.

2.6.2. Objectives, indicators, expected outcomes and outputs

The SESAR JU has the following objectives to be delivered during 2021, which will be tracked according to the indicators mentioned in the following table.

Objectives	Indicators	Target for 2021
Ensure full compliance with programming and reporting requirements	Full compliance with programming obligations for JUs:	Full compliance
	<ul style="list-style-type: none"> • first amended version of the SPD for 2021–2023 submitted to the Administrative Board for adoption by 28 February 2021 (transfer of unused 2020 appropriations to the 2021 budget and inscription of budget result) 	100 %
	<ul style="list-style-type: none"> • draft SPD for 2022–2024 submitted to the budgetary authority by 31 January 2021 	100 %
	<ul style="list-style-type: none"> • SPD for 2022–2024 submitted to Administrative Board by the end of November 2021 for adoption in mid-December 2021 	100 %

Objectives	Indicators	Target for 2021
	<ul style="list-style-type: none"> SPD for 2023–2024 preparations initiated by 31 July 2021 	100 %
	Full compliance with reporting obligations for JUs:	Full compliance
	<ul style="list-style-type: none"> Corporate Annual Activity Report 2020 adopted by the Administrative Board and sent to the budgetary authority by 30 June 2021 	100 %
	<ul style="list-style-type: none"> report on the implementation of the delegation agreement on U-space submitted to the European Commission by 15 February 2021 	100 %
	Number of critical observations from auditors	0
	Number of files sent to OLAF for investigation	0
Monitor exception and non-compliance events register	Register the exceptions and non-compliance events per SESAR JU area which are identified and notified	100%
Monitor efficiency and effectiveness of legal and procurement activities	Percentage of completed legal and procurement aspects of the contract action planning within deadlines	95 %
	Provision of legal advice to the SESAR JU on: <ul style="list-style-type: none"> Horizon 2020 grants non-Horizon 2020 grants other matters in relation to the European network with agencies and the Common Support Centre 	In accordance with the plan agreed with the requestor
Monitor efficiency and effectiveness of project audit activities	Horizon 2020 project audits: provision of necessary inputs to the CAS to execute audits in 2021	100 %
	Deliver the plan for audits on non-Horizon 2020 activities: geofencing, U-space and airspace architecture	100 %
Monitor efficiency and effectiveness of human resources management	Effective staffing management: <ul style="list-style-type: none"> maximum turnover rate minimum occupancy rate 	10 % ⁽⁶⁶⁾ 90 % ⁽⁶⁷⁾
	Implementation of career development review and promotion exercise	100 %
	Implementation of or opt-out from Commission implementing decisions and models	100 %

⁽⁶⁶⁾ This figure is subject to a major review following the evolution of staffing levels in accordance with the staff policy plan depending on the scenario which will be in place at the SJU in 2021.

⁽⁶⁷⁾ This figure is subject to a major review following the evolution of staffing levels in accordance with the staff policy plan depending on the scenario which will be in place at the SJU in 2021.

Objectives	Indicators	Target for 2021
Monitor efficiency and effectiveness of SESAR JU's corporate and management activities	Full compliance with the internal control framework during 2021 (to be documented in the Corporate Annual Activity Report 2021)	100 %
	Discrepancies against processes, and their translation into quality management system improvement actions Continuous registration of improvement actions as part of the SESAR JU Quality Management System	All process improvement actions taken in accordance with the action plan, defined if discrepancies are found
	An acceptable level of corporate risks as per the risk management plan, allowing for the leveraging of opportunities	All risk-related actions implemented in accordance with the mitigation plan
Monitor efficiency and effectiveness of budget and finance activities	Budget request for 2022 submitted to the European Commission by 31 January 2021	100 %
	Percentage of SESAR 2020 balancing payments executed in a timely manner	100 % of requested payments made
	Budget execution: commitment and payment appropriations are executed as planned in the 2021 budget	90 % for commitment appropriations 80 % for payment appropriations
	Completion of 2020 annual accounts within regulatory deadlines	100 %
	Support for the European Court of Auditors' audit and provision of relevant documentation leading to an unqualified opinion on the 2020 accounts	100 %
Deliver infrastructure services to enable teams and SESAR JU to operate smoothly	Quality of IT, infrastructure and facilities and existence of business continuity and disaster recovery planning	No major disruption of service unless triggered under business continuity and disaster planning
Prepare the SESAR 2020 Programme closure	A SESAR 2020 Programme closure plan is to be adopted by the Administrative Board by 31.12.2021, laying out the objectives, activities, milestones, resources, risks and other relevant aspects of the closure process over the 2022–2023 period	50 %
Prepare the transition towards the new legal entity 'SESAR 3 JU'	Develop a transition plan towards the new 'SESAR 3 JU'	SESAR JU -SESAR 3 JU transition plan adopted by the Governing Board of the new ATM partnership, or equivalent body
	Start the execution of the transition as established in the transition plan	TBD as per transition plan

Table 25: Objectives, indicators and targets for financial, administrative and corporate management in 2021

2.6.3. Resources

Resources include a dedicated proportion of direct funding (Title III – Operational expenditure) implemented through open calls for proposals and procurement procedures and a portion of the SESAR JU’s human and administrative resources (appearing, from a budgetary perspective, in Title I – Staff expenditure and Title II – Infrastructure and operating expenditure of the SESAR JU budget).

The overall funding for strategic area of operation 6 for 2021–2023 appears in Annex III and in Table 16 in Section II, point 2.3.1.2 ‘Expenditure’.

2.6.4. Estimates of quantifiable workload drivers

The main workload drivers stemming from the abovementioned 2021 activities and related objectives are laid out in the following table.

Activity / objective	Workload drivers
Full compliance with programming and reporting requirements	Preparation for adoption of up to three amendments to the SPD 2021-2023 Preparation for adoption of the SPD 2022-2024 including three major draft versions Preparation of the draft SPD 2023-2024 Preparation for adoption of the CAAR 2020 including two major draft versions Preparation for adoption of one implementation report related to the delegation agreement on U-space
Monitoring of exception and non-compliance events	Number of exceptions and/or non-compliance events identified, analysed, notified and registered
Monitoring of efficiency and effectiveness of legal and procurement activities	Number and criticality of legal analyses Number and complexity of procurement actions (see Annex XII ‘Procurement Plan for 2021’)
Monitoring of efficiency and effectiveness of project audit activities	Number of participations subject of CAS audit activities coordinated with the SESAR JU
Monitoring of efficiency and effectiveness of human resources management	Number of vacancies and applications CDR and reclassification cycle Number of Commission implementing decisions and models decisions
Monitoring of efficiency and effectiveness of budget and finance activities	Preparation of budget and budget requests, meeting with the European Commission Number of financial transactions (commitments, payments) Preparation of 2020 annual accounts and meetings with the European Court of Auditors
Monitoring of efficiency and effectiveness of corporate and management activities	Internal meetings and workshops related to the follow-up of the internal control indicators Analysis of discrepancies against processes, definition and implementation of related improvement actions through meetings with process actors, revision of process assets etc. Risk management workshops preparation and follow-up

Activity / objective	Workload drivers
Infrastructure services delivered to enable teams and SESAR JU to operate smoothly	<p>Ongoing monitoring of IT, infrastructure and facilities, including meetings with service providers and maintenance of related procedures</p> <p>Contractual management of IT service providers</p> <p>Maintenance of business continuity and disaster recovery plans</p>
SESAR 2020 Programme closure preparation	Drafting of the SESAR 2020 Programme closure plan with internal stakeholders

Annexes

Annex I: SESAR JU organisation chart

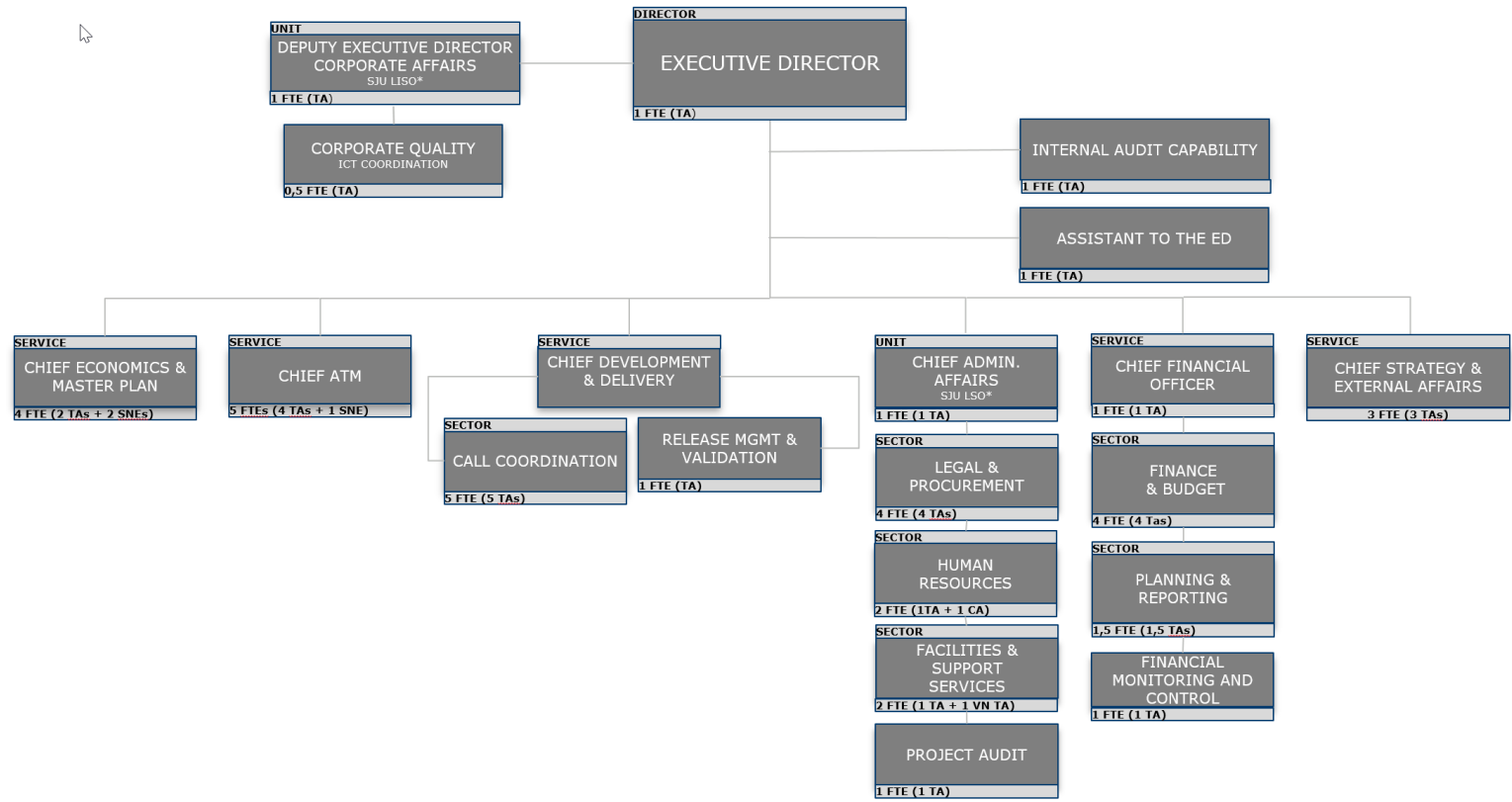


Figure 20: SESAR JU Organisation chart as at 1 June 2020 ⁽⁶⁸⁾

⁽⁶⁸⁾ In accordance with the SESAR JU’s Administrative Board decision with reference ADB(D)11-2019 adopted through written procedure ADB(WP)2019-007 on 6 June 2019, within the specific tasks performed by the incumbent of the function ‘Deputy Executive Director’, some are derived directly from delegations of the Executive Director for certain areas and periods of time. The function named ‘Deputy Executive Director’ is classified as Head of Unit in accordance with the recommendations of the Commission.

Annex II: Resource allocation per strategic area of operation – 2021–2023

The following table provides information relating to human and financial resources, broken down per strategic area of operation, in accordance with Chapter 2 of Sections II and III.

Activity / Area of operation	Year N (2020)			Year N+1 (2021)			Year N+2 (2022)			Year N+3 (2023)		
	TA (posts)	CA & SNE (FTE)	Budget allocated (million EUR)	TA (posts)	CA & SNE (FTE)	Budget allocated (million EUR)	TA (posts)	CA & SNE (FTE)	Budget allocated (million EUR)	TA (posts)	CA & SNE (FTE)	Budget allocated (million EUR)
Strategic area of operation 1: Provide strategic steering to the SESAR programme	3	2	3.92	3	2	1.16	3	2	0.99	3	2	0.94
Strategic area of operation 2: Deliver exploratory research	3	1	16.44	3	1	1.14	3	1	0.86	3	1	0.75
Strategic area of operation 3: Deliver industrial research and validation	15		78.63	15		3.99	15		3.28	15		2.82
Strategic area of operation 4: Deliver very large-scale demonstration activities	5		36.44	5		1.36	5		1.12	5		0.94
Strategic area of operation 5: Deliver SESAR outreach	4		2.86	4		2.20	4		0.76	4		0.75
Strategic area of operation 6: Deliver effective financial, administrative and corporate management	8	1	1.82	8	1	2.00	8	1	1.72	8	1	1.69
TOTAL	38	4	140.11	38	4	11.85	38	4	8.73	38	4	7.89

Table 26: Resource allocation per strategic area of operation from 2020 (year N) until 2023 (year N+3)

NB: The total 2020 budget of EUR 140.11 million does not include EUR 13.4 million of unused appropriations not required in 2020 (frontloading of running costs in 2020 for the years 2021 to 2024), and the total 2021 budget of EUR 11.85 million does not include EUR 21.31 million of unused appropriations not required in 2021. See Annex III, Table 2 ‘Detailed expenditure’ for more details.

Founding Members

Annex III: Financial resources (tables) – 2021–2023

In this annex, the financial resources are presented for the whole of the SESAR JU.

Table 1 – Revenue

The budget presented below for the year 2021 results from an initial budget adoption and two amendment procedures described in the paragraphs below.

General revenues (financial contributions)

SESAR JU revenues in 2020 (year N) and 2021 (year N+1)

(EUR)

REVENUES	N (2020)		N+1 (2021)	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
EU contribution (EFTA included)	123 671 000	118 521 320	3 345 851	41 301 467
Other revenue	30 225 521	- 10 297 718	29 802 074	26 879 931
TOTAL REVENUES	153 896 521	108 223 601	33 147 925	68 181 399

Table 27: SESAR JU revenues in 2020 (year N) and 2021 (year N+1) – commitment & payment appropriations

Initial revenues budget for 2021

The total amount of EUR 11 344 673 of commitment appropriations for 2021 includes:

- EUR 3 345 851 taken from the EUR 13 383 404 of commitment appropriations frontloaded in 2020 for 2021–2024 expenditure, not to be used for expenditure related to activities under the SESAR JU’s 2020 work programme but carried over to cover the running costs (staff, and infrastructure and operating expenditure) in the years 2021 to 2024;
- EUR 1 200 000 of cash contribution from EUROCONTROL;
- EUR 3 087 011 of cash contribution from Members other than the EU and EUROCONTROL.

- EUR 3 711 812 of unused commitment appropriations from previous years (prior to 2020) re-inscribed into the 2021 budget;

The total amount of EUR 46 785 481 of payment appropriations for 2021 includes:

- EUR 3 340 659 of EU contribution to the running costs (EFTA rate of 2,70% included);
- EUR 37 960 808 of EU contribution to the operational costs (EFTA rate of 2,70% included);
- EUR 1 200 000 of cash contribution from EUROCONTROL;
- EUR 2 110 408 of cash contribution from Members other than the EU and EUROCONTROL (80 % of the annual instalment foreseen in the Membership Agreement, as explained above in point 2.6.1.2 of Section III);
- EUR 2 173 606 of unused payment appropriations from previous years (prior to 2020) re-inscribed into the 2021 budget.

In accordance with the measures laid out in Section III, point 2.6.1.2 ‘Financial management’, in 2021 the SESAR JU will closely monitor the revenue stemming from the contributions of the members other than the EU, and adapt its budget positions, if necessary, depending on the evaluation of the situation and related risks.

First amending revenue budget for 2021

1. The reassessment of each budget line for the year 2021 led to additional needs compare to the initial budget 2021. Explanations on the amended expenditure budget for 2021 are provided as part of the explanations below related to Table 2 ‘Expenditure’ under point ‘First amending expenditure budget for 2021’. To cover these additional expenditures, an inscription of EUR 495 917.43 of unused appropriations from previous years in revenue payment appropriations into the 2021 budget is required.
2. Furthermore, to cover 2022-2024 expenditure, an **amount of EUR 11 269 781.07 as budget result is inscribed in revenue appropriations into the 2021 budget** as follows (see: “Table 33: Transfer of budget results (EU part) to Title IV to cover 2022-2024 needs”):
 - EUR 7 569 781.07 for the running costs (EUR 17 607 334.32: balance of Title 4 after 1st amending SPD 2021-2023 – EUR 10 037 553.25: balance Title 4 at 31 December 2020),
 - EUR 3 700 000.00 for the operational costs.
3. Therefore, the **re-inscription of the unused and/or cancelled appropriations in revenue commitment appropriations into the 2021 revenue budget amounts to EUR 10 533 470.68** out of which:
 - EUR 495 917.43 as reassessment of budget lines like described in point 1. above,

Founding Members



- EUR 10 037 553.25: balance Title 4 at 31 December 2020 described in point 2. (above).

Second amending revenue budget for 2021

The budgeted consumption of Wave 2 projects was under-estimated. Revised expenditure figures for 2021, which include additional expenditure payments for Title III 'Operational expenditure', compared to the initial and first amended budget for 2021, are explained in the paragraph 'Second amending expenditure budget for 2021' under Table 2 'Expenditure' below.

To cover these additional expenditure payments, an amount of EUR 20 900 000 must be mobilised out of the unused and/or cancelled appropriations from previous years and inscribed into the 2021 revenue payment appropriations budget.

Detailed revenues (financial contributions)

Detailed SESAR JU revenue over the 2019-2023 period (N-1 to N+3)

(EUR)

REVENUES	General revenues						
	N-1 (2019)	N (2020)	N+1 (2021)		VAR N+1 / N (%)	N+2 (2022)	N+3 (2023)
	Executed budget	Estimated budget	Requested budget	Budget forecast		Envisaged budget	Envisaged budget
1 Revenue from fees and charges	915.509,91	81.564,25	-	-	-100,0%	-	-
2 EU contribution	110.000.000,00	120.760.668,00	-	-	-100,0%	-	-
— of which administrative (Title I and Title II) (budget line 1100)	3.252.411,00	16.335.567,00	-	-	-100,0%	-	-
— of which operational (Title III) (budget line 1200 – EU)	106.747.589,00	104.425.101,00	-	-	-100,0%	-	-
— of which assigned revenues deriving from additional budget (budget line 1300)	-	-	-	-	-	-	-
3 Third countries' contribution (incl. EFTA and candidate countries)	2.618.000,00	2.910.332,10	-	-	-100,0%	-	-
— of which EFTA (budget line 1200 – EFTA)	2.618.000,00	2.910.332,10	-	-	-100,0%	-	-
— of which candidate countries	-	-	-	-	-	-	-
4 Other contributions (budget lines 2100 and 3100)	9.726.078,65	2.678.840,49	4.287.011,00	4.287.011,00	60,0%	5.934.006,50	4.128.368,88
— of which delegation agreement, ad hoc grants	-	-	-	-	-	-	-
5 Administrative operations	-	-	-	-	-	-	-
6 Revenues from services rendered against payment	-	-	-	-	-	-	-
7 Correction of budgetary imbalances	-	-	-	-	-	-	-
8 Interest generated	-	-	-	-	-	-	-
9 Budget out-turn and unused appropriations from previous years (budget line 5100)	24.400.220,15	27.465.116,38	28.860.914,13	28.860.914,13	5,1%	2.793.876,45	3.764.016,36
TOTAL REVENUES	147.659.808,71	153.896.521,22	33.147.925,13	33.147.925,13		8.727.882,95	7.892.385,24
UNUSED APPROPRIATIONS NOT REQUIRED IN CURRENT YEAR	-	13.383.404,00	-	-	-100,0%	-	-
TOTAL REVENUES incl. UNUSED APPROPRIATIONS NOT REQUIRED IN CURRENT YEAR	147.659.808,71	140.107.717,48	33.147.925,13	33.147.925,13	-76,3%	8.727.882,95	7.892.385,24

Table 28: Detailed SESAR JU revenue budget (financial contribution) over the 2019–2023 period (N – 1 to N + 3) – commitment appropriations

Note: As this table presents commitment appropriations only, the second amendment to the 2021 budget, required to increase the 2021 payment appropriations, does not appear.

In-kind revenues

SESAR JU in-kind revenue over the 2020-2023 period (N to N+3)

(EUR)

TITLE/CHAPTER	Revenue entitlements estimated by the agency			
	N (2020)	N+1 (2021)	N+2 (2022)	N+3 (2023)
1. In-kind contribution from founding members	71 114 628,50	64 870 399.50	37 553 447.00	67 363 675.00
<i>1.1 European Union</i>	-	-	-	-
<i>1.2 EUROCONTROL</i>	<i>71 114 628.50</i>	<i>64 870 399.50</i>	<i>37 553 447.00</i>	<i>67 363 675.00</i>
2. In-kind contribution from other members	48 400 919.75	34 599 118.33	18 006 612.67	36 013 225.00
<i>2.1 Other members</i>	<i>48 400 919.75</i>	<i>34 599 118.33</i>	<i>18 006 612.67</i>	<i>36 013 225.00</i>
TOTAL in-kind revenue	119 515 548.25	99 469 517.83	55 560 059.67	103 376 900.00

Table 29: In-kind revenue over the 2020–2023 period (N to N + 3)

Table 2 – Expenditure

The budget presented below for the year 2021 results from an initial budget adoption and an amendment procedure described in the paragraphs below.

Expenditure per budget title

SESAR JU expenditure per budget title in 2020 (year N) and 2021 (year N+1) – commitment and payment appropriations

(EUR)

EXPENDITURE	N (2020)		N+1 (2021)	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title I	5 454 684	5 544 647	5 671 227	5 671 227
Title II	3 022 095	3 164 888	3 647 863	3 647 863
Title III	131 630 938	129 988 652	2 521 500	58 862 308
Title IV	13 383 404	-	21 307 334	-
TOTAL EXPENDITURE	153 491 121	138 698 187	33 147 925	68 181 399

Table 30: SESAR JU expenditure per budget title in 2020 (year N) and 2021 (year N + 1) – commitment and payment appropriations

The total expenditure for 2021 amounts to EUR 11 840 591 in commitment appropriations and EUR 47 281 399 in payment appropriations, which include Title I, II and III appropriations in the initial budget.

Initial expenditure budget for 2021

In the initial expenditure budget, the total amount of EUR 11 344 673 of commitment appropriations for 2021 included:

- EUR 5 644 386 for staff expenditure (Title I); it should be noted that any costs for increase of salaries, reclassifications and contract changes are sufficiently covered by the voted budget;
- EUR 3 180 287 for infrastructure and operating expenditure (Title II);
- EUR 2 520 000 for operational expenditure (Title III) composed of:
 - EUR 750 000 for experts;
 - EUR 350 000 for seconded staff from SESAR JU Members (see below paragraph 3.2 in Annex V);

- EUR 110 000 for the Scientific Committee;
- EUR 1 310 000 for Airspace users, Professional staff organisations, NSAs and the Young scientist award.

The total amount of EUR 46 785 481 of payment appropriations for 2021 included:

- EUR 5 644 386 for staff expenditure (Title I);
- EUR 3 180 287 for infrastructure and operating expenditure (Title II);
- EUR 37 960 808 for operational expenditure (Title III) composed of:
 - EUR 488 507 for experts;
 - EUR 350 000 for Seconded from Members;
 - EUR 200 000 for the Service Level Agreement between SESAR and EASA;
 - EUR 21 654 255 for ER2 (final payments) and ER4 (interim payments) open calls;
 - EUR 85 000 for the Scientific Committee;
 - EUR 2 500 000 for the SESAR development support services (SDSS) contract extension;
 - EUR 6 986 393 for the restricted to Members calls: Wave 1 (final payments), Wave 2 (interim payments) and Wave 3 (remaining pre-financing);
 - EUR 4 574 356 for VLD2 open call (remaining pre-financing);
 - EUR 1 122 297 for Airspace users, Professional staff organisations, NSAs and the Young scientist award.

In accordance with the measures laid out in Section III, point 2.6.1.2 'Financial management', in 2021 the SESAR JU will closely monitor its expenditure and adapt its budget plans, if necessary, depending on the evaluation of the situation and risks relating to the revenue stemming from contributions of the Members other than the EU.

First amending expenditure budget for 2021

A reassessment of each budget line for the year 2021 led to the identification of additional needs in comparison with the initial budget for 2021:

- Title I – Staff expenditure: increase of EUR 26 841.10 both in commitment and payment appropriations for interim Staff (budget line 1220): one additional interim to cover maternity leave and three renewals for six months for existing interims ⁽⁶⁹⁾.
- Title II – Infrastructure and operating expenditure: three budget lines need to be increased at this stage for a total of EUR 107 576.33:
 - Security Maintenance Contract (2170) increased by EUR 51 886.43: the two current contracts end their four year duration in October 2021 and need to be renewed for four more years. As far as the alarm contract is concerned, there is an option in the contract requesting the contractor to first conduct an assessment of the existing system and to advise if a change should be foreseen. In case this change is advised, the SJU can ask for a change of the system, which is estimated at EUR 65 000.
 - Insurances (2640) increased by EUR 7 377.90. The initial amount budgeted was short and the recalculation of the annual charges for the existing contracts requires an increase of the budget.
 - IT system maintenance (2710) increased by EUR 48 312.00 for:
 - Increase of the existing TESTA-NG III contract,
 - New IT programs set-up and annual fees: BLUEBELL, SPEEDWELL, ARES & RACHEL.
- Title III – Operational expenditure: two budget lines need to be amended:
 - Young Scientist award (budget line B03800: “Deliver SESAR outreach”) as a decision to increase the prices award by EUR 1 500.00 in order to attract more candidates.
 - Ex-post audits for U-space projects (Delegation Agreement registered and paid on budget line B03700: “Deliver very large-scale demonstration activities”)
 - 5 % of the total CEF contribution of EUR 10 million were allocated for ex-post audits (administrative expenditure) of the U-space projects.
 - The estimated budget is EUR 360 000.00 for these audits.
 - The unused appropriations from previous years for this Delegation Agreement amount to EUR 2 494 217.25. The pay back of the remaining amount to the European Commission will be considered once all operations are closed, in particular when the audit is paid.

⁽⁶⁹⁾ In relation with the SESAR 3 Joint Undertaking referred to in subparagraph 1.1.6 of Section II above, ‘The future of ATM research’, the staff numbers will be aligned with the Legislative and Financial Statement as soon as the new legal basis is adopted
Founding Members

User Ref.	Gross amount received	Consumption (payments until 31/12/2020)	Remaining cash
USPACE GA CEF-SESAR-2018-1 GOF USPACE SJU/LC/0343-CTR		1.109.992,80	
USPACE GA CEF-SESAR-2018-1 SAFIR USPACE SJU/LC/0344-CTR		1.328.441,00	
USPACE GA CEF-SESAR-2018-1 DIODE USPACE SJU/LC/0340-CTR		1.092.247,78	
USPACE GA CEF-SESAR-2018-1 DOMUS USPACE SJU/LC/0341-CTR		1.826.909,97	
USPACE GA CEF-SESAR-2018-1 EURODRONE USPACE SJU/LC/0342-CTR		1.284.187,48	
USPACE GA CEF-SESAR-2018-1 VUTURA USPACE SJU/LC/0345-CTR		783.453,31	
EXPERTS CALL EVALUATION U-SPACE		14.207,55	
USPACE Video & VR		65.272,00	
USPACE Blueprint		284,94	
USPACE project results brochure		785,92	
	10.000.000,00	7.505.782,75	2.494.217,25

- EUR 360 000 needs to be transferred from budget line B03700 (from unused appropriations from previous years) to Title II budget line 2830 Audit fiscal and accounting support.

To cover this additional expenditure, the SESAR JU will use funds from various sources.

Article 16 of the SJU Financial Rules stipulates, *“If the budget result... is positive, it shall be entered in the budget of the SJU for the following financial year as revenue... The revenue or payment appropriations shall be entered in the budget of the SJU..., while implementation of the budget of the SJU is under way, by means of an amending budget.”* The cumulated budget result of the SESAR JU (as published each year since 2016 in the SJU Annual Accounts) amounts to EUR 21 788 989:

SESAR 2020					
<i>all figures in EUR</i>	2020	2019	2018	2017	2016
REVENUE RECEIVED FOR THE YEAR					
Contribution from the European Union SESAR2020	117.711.961	114.136.182	88.184.652	82.853.066	56.519.225
Contribution from Eurocontrol	1.137.244	1.848.266	5.189.144		
Contributions from other Members	1.303.103	2.729.585	2.546.435		
Other sources of contribution and revenue	3.292.937	5.148.227	80.633		
TOTAL REVENUE (1)	123.445.244,67	123.862.260,65	96.000.863,78	82.853.066,05	56.519.225,00
TOTAL PAYMENTS MADE FOR THE YEAR					
Staff Expenditure SESAR2020	(5.192.405)	(5.325.094)	(5.219.663)	(4.748.615)	
Administrative Expenditure SESAR2020	(2.945.854)	(2.448.741)	(4.050.475)	(1.340.472)	
Operating Expenditure SESAR2020	(113.064.735)	(142.845.562)	(67.515.373)	(56.271.199)	(49.919.493)
TOTAL EXPENDITURE (2)	(121.202.994,69)	(150.619.396,75)	(76.785.510,48)	(62.360.286,93)	(49.919.492,55)
EXCHANGE RATE DIFFERENCES	(3.990,18)				
BUDGET SURPLUS of the year (3)=(1)-(2) SESAR2020	2.238.259,80	(26.757.136,10)	19.215.353,30	20.492.779,12	6.599.732,45
Total Budget Surplus previous year (4) SESAR2020	19.550.728,77	46.307.864,87	27.092.511,57	6.599.732,45	0
NEW TOTAL BUDGET SURPLUS (5)=(3)+(4) SESAR2020	21.788.988,57	19.550.728,77	46.307.864,87	27.092.511,57	6.599.732,45

Table 31: Cumulated budget result of the SESAR JU in 2020

Taking into account the revenue received and the expenditure breakdown in running costs and operational costs, as well as the budget result from the Delegation Agreements (final balance has to be reimbursed to the Commission), the SESAR JU budget result related to H2020 funds is as follows:

Budget Result			
	Administrative	Operational	Total
Total revenue	36.432.504,68	446.248.155,47	482.680.660,15
Total expenditure	31.272.210,18	429.619.461,40	460.891.671,58
Budget result	5.160.294,50	16.628.694,07	21.788.988,57
Balance of U-Space DA 31/12/2020		-2.494.217,25	-2.494.217,25
Balance of AAS DA 31/12/2021		-25.377,73	-25.377,73
H2020 Budget result (excl. Delegation Agreements)	5.160.294,50	14.109.099,09	19.269.393,59

Table 32: SESAR JU budget result related to H2020 funds

In accordance with the Article 16 of the Financial Rules quoted above, part of this budget result will be transferred (i.e. re-inscribed in C2) to Title IV to cover 2022-2024 needs, as follows:

Title 4 running costs		Commitment
2020 EU contribution to the running costs (2021-2024)		13.383.404,00
2021 consumption for the initial budget	-	3.345.850,75
	<i>Subtotal: balance Title 4 (1)</i>	<i>10.037.553,25</i>
2020 EU contribution to the running costs (available in 2020 in operational activities) (2)		2.543.904,00
Re-inscription of budget result Title 1 (amendment 1 budget 2021)		2.108.134,55
Re-inscription of budget result Title 2 (amendment 1 budget 2021)		3.052.159,95
	<i>Subtotal: re-inscriptions (3)</i>	<i>5.160.294,50</i>
Use of Title 4 for Title 1 increase (amendment 1 budget 2021)	-	26.841,10
Use of Title 4 for Title 2 increase (amendment 1 budget 2021)	-	107.576,33
	<i>Subtotal: use of Title 4 (4)</i>	<i>134.417,43</i>
Available 2021-2024 for the running costs (1)+(2)+(3)+(4)		17.607.334,32
Title 4 operational costs		Commitment
Unused appropriations from previous years		
Margin to cover unexpected operational costs and transition to SESAR 3		3.000.000,00
Budget 2022 needs Experts		350.000,00
Budget 2022 needs secondments from Members		350.000,00
Available 2021-2024 for the operational costs		3.700.000,00
Total available for 2021-2024		21.307.334,32

Table 33: Transfer of budget results (EU part) to Title IV to cover 2022-2024 needs

In addition, the amended budget for year 2021 uses some of the unused and/or cancelled appropriations to cover the identified additional needs. Article 12 of the SJU Financial Rules states: “...the cancelled appropriations may be entered in the estimates of revenue and expenditure up to the following three financial years, in accordance with Article 31... 2. To ensure the continuity of the SJU operation until its termination, appropriations related to administrative expenditure may be entered in the estimates of revenue and expenditure up to the following four financial years following the last payment of the EU financial contributions as per Article 4(3) of the SJU constituent act,...”.

Therefore, the following 2021 expenditure budget adjustments are required, mirroring the 2021 revenue budget adjustments defined under Table 1 under point ‘First amending revenue budget for 2021’:

- Inscription in C2 ⁽⁷⁰⁾ of EUR 26 841.10 of previous years unused appropriations both in commitment and payment into the 2021 budget for budget line 1220 (“Interim Staff”),
- Inscription in C2 of EUR 51 886.43 of previous years unused appropriations both in commitment and payment into the 2021 budget for budget line 2170 (“Security Maintenance Contract”),
- Inscription in C2 of EUR 48 312.00 of previous years unused appropriations both in commitment and payment into the 2021 budget for budget line 2710 (“IT system maintenance”),
- Inscription in C2 of EUR 7 377.90 of previous years unused appropriations both in commitment and payment into the 2021 budget for budget line 2640 (“Insurances”),
- Inscription in C2 of EUR 360 000.00 of previous years unused appropriations both in commitment and payment into the 2021 budget for budget line 2830 (“Audit fiscal and accounting support”),
- Inscription in C2 of EUR 1 500.00 of previous years unused appropriations both in commitment and payment into the 2021 budget for budget line B03800 (“Deliver SESAR Outreach”),
- Inscription in C2 of EUR 11 269 781.07 ⁽⁷¹⁾ of the budget result in commitment appropriations into the 2021 budget for budget line 4100 (“Budget outturn and unused appropriations from previous years”),
- Inscription in C2 of EUR 10 037 553.2569 of previous years unused appropriations in commitment appropriations into the 2021 budget for budget line 4100 (“Budget outturn and unused appropriations from previous years”),

Furthermore, the proposal of the Commission for the Single Basic Act establishing the SESAR 3 Joint Undertaking under Horizon Europe allows in its Article 174.14 that all needed unused appropriations from previous years cumulated by the SESAR JU under the SESAR 2020 Programme could be re-inscribed and transferred to the new body: *“Any unused appropriations under the regulations referred to in paragraph 1 shall be transferred to the corresponding joint undertaking established by this regulation. Any unused operational appropriations so transferred, shall first be used to provide financial support to indirect actions initiated under Horizon 2020. Remaining operational appropriations may be used for indirect actions initiated under this regulation. Where such operational appropriations are used for indirect actions initiated under this regulation, they shall count against the financial*

⁽⁷⁰⁾ C2 is a fund source used for re-inscribing appropriations of previous years, thus avoiding to accumulate unused appropriations over years.

⁽⁷¹⁾ With these two inscriptions total Title IV will amount to EUR 21 307 334.32 split between running costs for EUR 17 607 334.32 and operational costs for EUR 3 700 000.00.

contribution to be provided by the Union to the respective joint undertaking under this regulation". These unused appropriations would be transferred to Title IV.

Second amending expenditure budget for 2021

The budgeted payment appropriations for Wave 2 projects (reporting period 1) were based on the execution rate of Wave 1 projects (reporting period 1) and amounted to EUR 8 375 356.49. Nevertheless, the actual consumption so far amounts to EUR 26 728 920.93 and one payment is still pending for EUR 4 244 395.85. This has led to an under-estimation of EUR 22 597 960.29 in payment appropriations for 2021. All the payments forecasts were assessed based on already received cost claims and contractual amounts.

Taking into account the remaining cash balance of EUR 21 545 376 at 1 September 2021 and the EFTA contribution still to be received from the Commission (EUR 1 115 539), the SESAR JU can cover the additional payments with an **increase in payment appropriations for a total amount of EUR 20 900 000.00**. As outlined in the paragraph ‘Second amending revenue budget for 2021’ under Table 1 ‘Revenue’ above, the increase in payment appropriations is covered through the mobilisation of unused and/or cancelled appropriations from previous years. The increase is broken down as follows:

- Inscription in C2 ⁽⁷²⁾ of EUR 500 000.00 of previous years unused appropriations in payment into the 2021 budget for budget line 3400 (“Providing Strategic Steering to the SESAR programme”) to cover payments in relation with seconded staff from SESAR JU members and SJU-EASA SLA (Service Level Agreement),
- Inscription in C2 of EUR 13 300 000.00 of previous years unused appropriations in payment into the 2021 budget for budget line 3500 (“Deliver Exploratory Research”) to cover Exploratory Research 4 projects (reporting period 1) payments,
- Inscription in C2 of EUR 6 550 000.00 of previous years unused appropriations in payment into the 2021 budget for budget line 3600 (“Deliver Industrial Research and Validation”) to cover Wave 2 projects (reporting period 1) payments,
- Inscription in C2 of EUR 550 000.00 of previous years unused appropriations in payment into the 2021 budget for budget line 3800 (“Deliver SESAR Outreach”) to cover Professional Staff Associations and Airspace Users payments.

⁽⁷²⁾ C2 is a fund source used for re-inscribing appropriations of previous years, thus avoiding to accumulate unused appropriations over years.
Founding Members

Note: In order to cope with most urgent payments, in anticipation of the amended budget, the Executive Director has authorised the following transfers inside Title III in accordance with Article 25 of the SJU Financial Rules (ADB(D)21-2019):

Detailed SESAR JU expenditure budget 2021 (initial and amended budgets) – Payment (EUR)

ABAC Budget line	EXPENDITURE	Payment appropriations		
		Initial budget 2021	Budget 2021 Amendment 1	Transfers done within ED authority
	Title III - Operational expenditure	37 960 807 87	37 960 807 87	- 0.00
3100	SESAR 1 - 3 1 Studies/Development Conducted By the SJU		-	
3200	SESAR 1 - 3 2 Studies/Development Conducted By EUROCONTROL		-	
3300	SESAR 1 - 3 3 Studies/Development Conducted By Other Members		-	
3400	SESAR 2020 3 1 - Providing Strategic Steering to the SESAR programme	1 038 507.00	1 038 507.00	- 90 000.00
3500	SESAR 2020 3 2 - Deliver Exploratory Research	21 739 254.82	21 739 254.82	- 20 459 295.78
3600	SESAR 2020 3 3 - Deliver Industrial Research and Validation	9 486 392.59	9 486 392.59	20 112 250.24
3700	SESAR 2020 3 4 - Deliver Very Large-Scale Demonstration activities	4 574 356.46	4 574 356.46	787 749.76
3800	SESAR 2020 3 5 - Deliver SESAR Outreach	1 122 297.00	1 123 797.00	- 350 704.22
	TOTAL EXPENDITURE	46 785 481.25	47 281 398.68	- 0.00

Table 34: Detailed SESAR JU expenditure budget 2021 – Payment appropriations (Title III)

These transfers will be reported in the SESAR JU's Consolidated Annual Activity Report for 2021.

Detailed expenditure

Detailed SESAR JU expenditure over the 2019-2023 period (N-1 to N+3) – commitment appropriations

(EUR)

EXPENDITURE	Commitment appropriations						
	Executed budget N-1 (2019)	Adopted budget N (2020)	Budget N+1 (2021)		VAR N+1 / N (%)	Budget N+2 (2022)	Budget N+3 (2023)
			Agency request	Budget forecast			
Title I – Staff expenditure	5 585 740	5 454 683.74	5 671 227.35	5 671 227.35		4 876 435.69	4 707 225.82
11 Salaries and allowances	5 069 940.35	5 191 487.42	5 286 687.35	5 286 687	1.8%	4 377 085	4 202 590.00
– of which establishment plan posts	4 280 861.82	4 472 237.30	4,798,730.00	4,798,730	7.3%	4 201 115	4,082,597.00
– of which external personnel	789 078.53	719 250.12	487 957.35	487 957	-32.2%	175 970	119 993.00
12 Expenditure relating to staff recruitment	15 000.00	5 000.00	5 000.00	5 000	-	5 100	1 500.00
13 Mission expenses	335 000.00	110 000.00	200 000.00	200 000	81.8%	312 120	318 362.40
14 Socio-medical infrastructure	-	-	-	-	-	-	-
15 Training	50 000.00	28 196.32	50 000.00	50 000	77.3%	50 000	50 000.00
16 External services	92 000.00	90 000.00	93 840.00	93 840	4.3%	95 717	97 631.14
17 Receptions and events	-	-	-	-	-	-	-
19 Other staff-related expenditure	23 800.00	30 000.00	35 700.00	35 700	19.0%	36 414	37 142.28
Title II – Infrastructure and operating expenditure	3 161 028	3 022 095.34	3 647 863.46	3 647 863.46		3 151 447.27	3 185 159.42
20 Rental of buildings and associated costs (*)	964 888	839 151.57	908 181.45	908 181	8.2%	889 730	907 524.40
21 Information and communication technology	1 545 270	1 516 263.72	1 687 152.00	1 687 152	11.3%	1 542 062	1 588 903.56
22 Movable property and associated costs	10 000	5 675.00	2 562.24	2 562	-54.9%	2 613	2 665.76
23 Current administrative expenditure	234 956	256 605.65	639 767.77	639 768	149.3%	246 638	250 970.42
24 Postage/telecommunications	-	-	-	-	-	-	-
25 Meeting expenses	10 000	4 400.00	10 200.00	10 200	131.8%	10 404	10 612.08
26 Running costs in connection with operational activities	-	-	-	-	-	-	-
27 Information and publishing	395 915	399 999.40	400 000.00	400 000	0.0%	460 000	424 483.20
28 Studies	-	-	-	-	-	-	-

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Title III – Operational expenditure	138 913 040	131 630 938.39	2 521 500.00	2 521 500.00		700 000.00	-
SESAR 1 – 3.1 Studies/development conducted by the SJU	28 128	-	-	-	-	-	-
SESAR 1 – 3.2 Studies/development conducted by EUROCONTROL	-	-	-	-	-	-	-
SESAR 1 – 3.3 Studies/development conducted by other members	4 128	-	-	-	-	-	-
SESAR 2020 3.1 – Providing strategic steering to the SESAR programme	6 993 327	4 597 141.89	1 100 000.00	1 100 000.00	-76.1%	700 000.00	-
SESAR 2020 3.2 – Deliver exploratory research	38 824 361	15 400 000.00	110 000.00	110 000.00	-99.3%	-	-
SESAR 2020 3.3 – Deliver industrial research and validation	88 050 584	74.551.438.93	-	-	-100.0%	-	-
SESAR 2020 3.4 – Deliver very large-scale demonstration activities	2 697 113	35 027 357.58	-	-	-100.0%	-	-
SESAR 2020 3.5 – Deliver SESAR outreach	2 315 400	2 055 000.00	1 311 500.00	1 311 500.00	-36.2%	-	-
Title IV – Unused appropriations not required in the current year	-	13 383 404.00	21 307 334.32	21 307 334.32		-	-
TOTAL EXPENDITURE	147 659 809	153 491 121.47	33 147 925.13	33 147 925.13		8 727 882.95	7 892 385.24
[*] Including possible repayment of interest; detailed information as regards building policy can be found in Annex VII.							
BUDGET RESULT (COMMITMENTS)	-	-	-	-	-	-	-

Table 35: Detailed SESAR JU expenditure budget over the 2019–2023 period (N – 1 to N + 3) – commitment appropriations

Detailed SESAR JU expenditure over the 2019-2023 period (N-1 to N+3) – payment appropriations

(EUR)

EXPENDITURE	Payment appropriations						
	Executed budget N-1 (2019)	Adoped budget N (2020)	Budget N+1 (2021)		VAR N+1 / N (%)	Budget N+2 (2022)	Budget N+3 (2023)
			Agency request	Budget forecast			
Title I - Staff Expenditure	5 325 094.12	5 544 64.75	5 671 227.35	5 671 227.35		4 876 435.69	4 707 225.82
11 Salaries and allowances	4 935 639	5 246 487	5 286 687	5 286 687	0.8%	4 377 084.89	4 202 590.00
— of which establishment plan posts	4 280 862	4 472 237	4 798 730	4 798 730	7.3%	4 201 115.00	4 082 597.00
— of which external personnel	654 777	774 249	487 957	487 957	(37.0)%	175 969.89	119 993.00
12 Expenditure relating to staff recruitment	1 388	3 315	5 000	5 000	50.8%	5 100.00	1 500.00
13 Mission expenses	255 762	150 079	200 000	200 000	33.3%	312 120.00	318 362.40
14 Socio-medical infrastructure	-	-	-	-	-	-	-
15 Training	31 377	28 196	50 000	50 000	77.3%	50 000.00	50 000.00
16 External services	82 720	89 478	93 840	93 840	4.9%	95 716.80	97 631.14
17 Receptions and events	-	-	-	-	-	-	-
19 Other staff-related expenditure	18 208	27 092	35 700	35 700	31.8%	36 414.00	37 142.28
Title II - Infrastructure and operating expenditure	2 447 436	3 164 888	3 647 863	3 647 863		3 151 447.27	3 185 159.42
20 Rental of buildings and associated costs (*)	799 769	837 156	908 181	908 181	8.5%	889 729.80	907 524.40
21 Information and communication technology	1 210 535	1 678 048	1 687 152	1 687 152	0.5%	1 542 062.32	1 588 903.56
22 Movable property and associated costs	25	5 675	2 562	2 562	-54.9%	2 613.49	2 665.76
23 Current administrative expenditure	221 352	242 525	639 768	639 768	163.8%	246 637.66	250 970.42
24 Postage/telecommunications	-	-	-	-	-	-	-
25 Meeting expenses	6 595	4 384	10 200	10 200	132.7%	10 404.00	10 612.08
26 Running costs in connection with operational activities	-	-	-	-	-	-	-
27 Information and publishing	209 160	397 100	400 000	400 000	0.7%	460 000.00	424 483.20
28 Studies	-	-	-	-	-	-	-

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Title III - Operational expenditure	143 732 149	129 988 652	58 862 308	58 862 308		51 322 936.69	23 850 053.36
SESAR 1 – 3.1 Studies/development conducted by the SJU	437 512	4 128	-	-	-100.0%	-	-
SESAR 1 – 3.2 Studies/development conducted by EUROCONTROL	-	-	-	-	-	-	-
SESAR 1 – 3.3 Studies/development conducted by other members	447 770	-	-	-	-	-	-
SESAR 2020 3.1 – Providing strategic steering to the SESAR programme	6 702 021	3 498 567	1 448 507	1 448 507	-58.6%	900 000.00	-
SESAR 2020 3.2 – Deliver exploratory research	5 807 774	19 194 349	14 579 959	14 579 959	-24.0%	21 584 834.90	-
SESAR 2020 3.3 – Deliver industrial research and validation	114 925 787	61 246 810	36 148 643	36 148 643	-41.0%	27 778 101.79	18 014 137.68
SESAR 2020 3.4 – Deliver very large-scale demonstration activities	13 671 077	44 279 798	5 362 106	5 362 106	-87.9%	-	5 835 915.68
SESAR 2020 3.5 – Deliver SESAR outreach	1 740 208	1 765 000	1 323 093	1 323 093	-25.0%	1 060 000.00	-
Title IV – Unused appropriations not required in the current year	-	-	-	-		-	-
TOTAL EXPENDITURE	151 504 679	138 698 187.03	68 181 398.68	68 181 398.68		59 350 819.64	31 742 438.60

[*] Including possible repayment of interest; detailed information as regards building policy can be found in Annex VII.

Table 36: Detailed SESAR JU expenditure budget over the 2019–2023 period (N – 1 to N + 3) – payment appropriations

Expenditure in 2021 – overview of the initial and amended budgets

SESAR JU expenditure budget per Title in 2021 (initial and amended budgets) – Commitment & Payment appropriations

(EUR)

EXPENDITURE	Initial Budget 2021		Amendment 1		Final Budget 2021 Amendment 2		Variation 2nd amendment vs. 1st amendment	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title I	5 644 386	5 644 386	5 671 227	5 671 227	5 671 227	5 671 227	-	-
Title II	3 180 287	3 180 287	3 647 863	3 647 863	3 647 863	3 647 863	-	-
Title III	2 520 000	37 960 808	2 521 500	37 962 308	2 521 500	58 862 308	-	- 20 900 000
Title IV	-	-	21 307 334	-	21 307 334	-	-	-
TOTAL EXPENDITURE	11 344 673	46 785 481	33 147 925	47 281 399	33 147 925	68 181 399	-	-20 900 000

Table 37: SESAR JU expenditure per Title in 2021 (initial and amended budgets) – Commitment & Payment appropriations

Detailed SESAR JU expenditure budget 2021 (initial and amended budgets) – Commitment appropriations

(EUR)

EXPENDITURE	Commitment appropriations				
	Initial budget 2021	Budget 2021 Amendment 1	Transfers done within ED authority	Budget 2021 Amendment 2 C2 re-inscription unused appropriations previous years (SAP inscription)	Final budget 2021 Amendment 2
Title I - Staff expenditure	5 644 386.25	5 671 227.35	-	-	5 671 227.35
11 Salaries & allowances	5 259 846.25	5 286 687.35	-	-	5 286 687.35
- of which establishment plan posts	4 798 730.00	4 798 730.00			4 798 730.00
- of which external personnel	461 116.25	487 957.35	-	-	487 957.35
Contract agents	82 268.00	82 268.00			82 268.00
Interim staff	243 158.90	270 000.00			270 000.00
Seconded national experts (SNE)	135 689.35	135 689.35			135 689.35
12 Expenditure relating to Staff recruitment	5 000.00	5 000.00			5 000.00
13 Mission expenses	200 000.00	200 000.00			200 000.00
14 Socio-medical infrastructure		-			-
15 Training	50 000.00	50 000.00			50 000.00
16 External Services	93 840.00	93 840.00			93 840.00
17 Receptions and events		-			-
19 Other Staff related expenditure	35 700.00	35 700.00			35 700.00

Continued on next page

Title II - Infrastructure and operating expenditure	3 180 287.13	3 647 863.46	-	-	3 647 863.46
20 Rental of buildings and associated costs ^[*]	856 295.02	908 181.45	-	-	908 181.45
<i>Office and parking rental</i>	418 031.14	418 031.14			418 031.14
<i>Office and parking charges</i>	127 344.96	127 344.96			127 344.96
<i>Real estate tax</i>	57 222.00	57 222.00			57 222.00
<i>Regional tax</i>	37 142.28	37 142.28			37 142.28
<i>Cleaning and reception</i>	173 946.41	173 946.41			173 946.41
<i>Security maintenance contract</i>	40 113.57	92 000.00			92 000.00
<i>Works and repairs</i>	2 494.66	2 494.66			2 494.66
21 Information and communication technology	1 638 840.00	1 687 152.00	-	-	1 687 152.00
<i>IT system maintenance and unified communication</i>	1 207 400.00	1 255 712.00	30 000.00		1 285 712.00
<i>Software</i>	42 000.00	42 000.00			42 000.00
<i>Hardware</i>	65 000.00	65 000.00	- 30 000.00		35 000.00
<i>Website</i>	124 440.00	124 440.00			124 440.00
<i>ICT support</i>	200 000.00	200 000.00			200 000.00
22 Movable property and associated costs	2 562.24	2 562.24			2 562.24
23 Current administrative expenditure	272 389.87	639 767.77	-	-	639 767.77
<i>Administrative supplies and postage</i>	31 563.03	31 563.03			31 563.03
<i>Photocopier and printer consumables</i>	1 428.00	1 428.00			1 428.00
<i>Subscription to publications. newspapers. memberships</i>	17 785.38	17 785.38			17 785.38
<i>Insurances</i>	10 622.10	18 000.00			18 000.00
<i>Office hospitality</i>	15 917.63	15 917.63			15 917.63
<i>Packaging and transport</i>	216.21	216.21			216.21
<i>Bank charges</i>	5 100.00	5 100.00			5 100.00
<i>Contingencies 2</i>	-	-			-
<i>Translation of official documents</i>	14 912.21	14 912.21			14 912.21
<i>Quality Management</i>		-			-
<i>Legal support</i>	50 000.00	50 000.00			50 000.00
<i>Audit fiscal and accounting support</i>	124 845.31	484 845.31			484 845.31
24 Postage / Telecommunications			-	-	-
25 Meeting expenses	10 200.00	10 200.00			10 200.00
26 Running costs in connection with operational activities			-	-	-
27 Information and publishing	400 000.00	400 000.00			400 000.00
28 Studies			-	-	-

Continued on next page

Title III - Operational expenditure	2 520 000.00	2 521 500.00	-	-	2 521 500.00
SESAR 1 - 3 1 Studies/Development Conducted By the SJU		-		-	-
SESAR 1 - 3 2 Studies/Development Conducted By EUROCONTROL		-		-	-
SESAR 1 - 3 3 Studies/Development Conducted By Other Members		-		-	-
SESAR 2020 3 1 - Providing Strategic Steering to the SESAR programme	1 100 000.00	1 100 000.00			1 100 000.00
SESAR 2020 3 2 - Deliver Exploratory Research	110 000.00	110 000.00			110 000.00
SESAR 2020 3 3 - Deliver Industrial Research and Validation		-			-
SESAR 2020 3 4 - Deliver Very Large-Scale Demonstration activities		-			-
SESAR 2020 3 5 - Deliver SESAR Outreach	1 310 000.00	1 311 500.00			1 311 500.00
Title IV - Unused appropriations not required in current Year	-	21 307 334.32	-	-	21 307 334.32
<i>Running costs</i>		17 607 334.32			17 607 334.32
<i>Operational costs</i>		3 700 000.00			3 700 000.00
TOTAL EXPENDITURE	11 344 673.38	33 147 925.13	-	-	33 147 925.13

Table 38: Detailed SESAR JU expenditure in 2021 (initial and amended budgets) – Commitment appropriations

Detailed SESAR JU expenditure budget 2021 (initial and amended budgets) – Payment

(EUR)

EXPENDITURE	Payment appropriations				
	Initial budget 2021	Budget 2021 Amendment 1	<i>Transfers done within ED authority</i>	<i>Budget 2021 Amendment 2 C2 re-inscription unused appropriations previous years (SAP inscription)</i>	Final budget 2021 Amendment 2
Title I - Staff expenditure	5 644 386.25	5 671 227.35	-	-	5 671 227,35
11 Salaries & allowances	5 259 846.25	5 286 687.35	-	-	5 286 687.35
- of which establishment plan posts	4 798 730.00	4 798 730.00			4 798 730.00
- of which external personnel	461 116.25	487 957.35	-	-	487 957.35
<i>Contract agents</i>	82 268.00	82 268.00			82 268.00
<i>Interim staff</i>	243 158.90	270 000.00			270 000.00
<i>Seconded national experts (SNE)</i>	135 689.35	135 689.35			135 689.35
12 Expenditure relating to Staff recruitment	5 000.00	5 000.00			5 000.00
13 Mission expenses	200 000.00	200 000.00			200 000.00
14 Socio-medical infrastructure		-			-
15 Training	50 000.00	50 000.00			50 000.00
16 External Services	93 840.00	93 840.00			93 840.00
17 Receptions and events		-			-
19 Other Staff related expenditure	35 700.00	35 700.00			35 700.00

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Title II - Infrastructure and operating expenditure	3 180 287.13	3 647 863.46	-	-	3 647.863.46
20 Rental of buildings and associated costs ^[*]	856 295.02	908 181.45	-	-	908 181.45
<i>Office and parking rental</i>	418 031.14	418 031.14			418 031.14
<i>Office and parking charges</i>	127 344.96	127 344.96			127 344.96
<i>Real estate tax</i>	57 222.00	57 222.00			57 222.00
<i>Regional tax</i>	37 142.28	37 142.28			37 142.28
<i>Cleaning and reception</i>	173 946.41	173 946.41			173 946.41
<i>Security maintenance contract</i>	40 113.57	92 000.00			92 000.00
<i>Works and repairs</i>	2 494.65	2 494.65			2 494.65
21 Information and communication technology	1 638 840.00	1 687 152.00	-	-	1 687 152.00
<i>IT system maintenance and unified communication</i>	1 207 400.00	1 255 712.00	30 000.00		1 285 712.00
<i>Software</i>	42 000.00	42 000.00			42 000.00
<i>Hardware</i>	65 000.00	65 000.00	- 30 000.00		35 000.00
<i>Website</i>	124 440.00	124 440.00			124 440.00
<i>ICT support</i>	200 000.00	200 000.00			200 000.00
22 Movable property and associated costs	2 562.24	2 562.24			2 562.24
23 Current administrative expenditure	272 389.87	639 767.77	-	-	639 767.77
<i>Administrative supplies and postage</i>	31 563.03	31 563.03			31 563.03
<i>Photocopier and printer consumables</i>	1 428.00	1 428.00			1 428.00
<i>Subscription to publications, newspapers, memberships</i>	17 785.38	17 785.38			17 785.38
<i>Insurances</i>	10 622.09	17 999.99			17 999.99
<i>Office hospitality</i>	15 917.63	15 917.63			15 917.63
<i>Packaging and transport</i>	216.21	216.21			216.21
<i>Bank charges</i>	5 100.00	5 100.00			5 100.00
<i>Contingencies 2</i>		-			-
<i>Translation of official documents</i>	14 912.21	14 912.21			14 912.21
<i>Quality Management</i>		-			-
<i>Legal support</i>	50 000.00	50 000.00			50 000.00
<i>Audit fiscal and accounting support</i>	124 845.31	484 845.31			484 845.31
24 Postage / Telecommunications		-		-	-
25 Meeting expenses	10 200.00	10 200.00			10 200.00
26 Running costs in connection with operational activities		-		-	-
27 Information and publishing	400 000.00	400 000.00			400 000.00
28 Studies		-		-	-

Continued on next page

Title III - Operational expenditure	37 960 807.87	37 962 307.87	- 0.00	20 900 000.00	58 862 307.87
SESAR 1 - 3.1 Studies/Development Conducted By the SJU		-		-	-
SESAR 1 - 3.2 Studies/Development Conducted By EUROCONTROL		-		-	-
SESAR 1 - 3.3 Studies/Development Conducted By Other Members		-		-	-
SESAR 2020 3.1 - Providing Strategic Steering to the SESAR programme	1 038 507.00	1 038 507.00	-90 000.00	500 000.00	1 448 507.00
SESAR 2020 3.2 - Deliver Exploratory Research	21 739 254.82	21 739 254.82	-20 459 295.78	13 300 000.00	14 579 959.04
SESAR 2020 3.3 - Deliver Industrial Research and Validation	9 486 392.59	9 486 392.59	20 112 250.24	6 550 000.00	36 148 642.83
SESAR 2020 3.4 - Deliver Very Large-Scale Demonstration activities	4 574 356.46	4 574 356.46	787 749.76		5 362 106.22
SESAR 2020 3.5 - Deliver SESAR Outreach	1 122 297.00	1 123 797.00	-350 704.22	550 000.00	1 323 092.78
Title IV - Unused appropriations not required in current Year		-	-	-	-
<i>Running costs</i>					-
<i>Operational costs</i>					-
TOTAL EXPENDITURE	46 785 481.25	47 281 398.68	- 0.00	20 900 000.00	68 181 398.68

Table 39: Detailed SESAR JU expenditure in 2021 (initial and amended budgets) – Payment appropriations

Table 3 – Budget outturn and cancellation of appropriations

(EUR)

Budget outturn	N – 3 (2017)	N – 2 (2018)	N – 1 (2019)
Revenue actually received (+)	202 760 405	155 862 704	202 014 804
Payments made (–)	– 144 784 881	– 78 625 670	– 151 504 679
Carry-over of appropriations (–)	– 374 682	– 1 148 814	
Cancellation of appropriations carried over (+)			
Adjustment for carry-over of assigned revenue appropriations from previous year (+)			
Exchange rate differences (+/–)			
Adjustment for negative balance from previous year (–)			
TOTAL	57 600 842	76 088 220	50 510 125

Table 40: Budget outturn and cancellation of appropriations over the 2017–2019 period (N – 3 to N – 1)

Annex IV: Human resources (quantitative)

The 2021–2023 staff numbers are indicative, subject to the outcome of the EU’s future budgetary procedures.

Table 1 – Staff population and its evolution; overview of all categories of staff

A. Statutory staff and SNEs

The complete Staff Establishment Plan of the SESAR JU is composed of Temporary Agents and Contract Agents. The Staff population of the SESAR JU also includes Seconded National Experts, as follows ⁽⁷³⁾:

STAFF	Year N – 1 (2019)			Year N (2020)	Year N + 1 (2021)	Year N + 2 (2022)	Year N + 3 (2023)
	Authorised budget	Actually filled as of 31.12.N – 1	Occupancy rate (%)	Authorised staff	Envisaged staff	Envisaged staff	Envisaged staff
Administrators (AD)	33	32	97 %	33	32	32	32
Assistants (AST)	6	5	100 %	6	6	6	6
Assistants/secretaries (AST/SC)							
TOTAL ESTABLISHMENT PLAN POSTS	39	37	97 %	39	38	38	38
EXTERNAL STAFF	FTE corresponding to authorised budget	Executed FTE as of 31.12.N – 1	Execution rate (%)	Headcount as of 31.12.N – 1	FTE corresponding to authorised budget	Envisaged FTE	Envisaged FTE
Contract Agents (CA)	0	0	100 %	0	1	1	1
Seconded National Experts (SNE)	3	2.5	85 %	3	3	3	3

⁽⁷³⁾ In relation with the SESAR 3 Joint Undertaking referred to in subparagraph 1.1.6 of Section II above, ‘The future of ATM research’, the staff numbers will be aligned with the Legislative and Financial Statement as soon as the new legal basis is adopted, i.e. 37 TA and 2 SNE.
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TOTAL EXTERNAL STAFF	3	2.5	85 %	3	4	4	4
TOTAL STAFF	42	39.5	96 %	42	42	42	42

Table 41: Staff population and its evolution over the 2019–2023 period (N – 1 to N + 3)

B. Additional external staff expected to be financed from grant, contribution or service-level agreements

The SESAR JU will not have additional external staff expected to be financed from grant, contribution or service-level agreements in the period from 2021 to 2023

C. Other human resources (incl. external personnel working for the SESAR JU in-house)

A description of all types of other human resources mentioned in the table below is provided in Annex V, parts A.2 and A.3.

TYPE OF OTHER HUMAN RESOURCES ⁽⁷⁴⁾	Actually in place as of 31.12.2019
INTERIM WORKERS	3
BLUE BOOK TRAINEES	2
ATYPICAL TRAINEES	1
STRUCTURAL SERVICE PROVIDERS	3
of which for security services	0
of which for IT services	1
of which for reception services	2
OTHER PERSONNEL ENGAGED THROUGH OPERATIONAL EXPENDITURE UNDER SPECIFIC AGREEMENTS APPROVED BY THE ADMINISTRATIVE BOARD	2
TOTAL OTHER HUMAN RESOURCES	11

Table 42: Other human resources as at 31.12.2019 (N – 1)

⁽⁷⁴⁾ Structural service providers are contracted by a private company and carry out specialised outsourced tasks of a horizontal/support nature for the SESAR JU. The following general criteria must be fulfilled: (1) no individual contract with the SESAR JU on the part of the provider; (2) the provider works on the SESAR JU premises, usually with a PC and a desk; (3) the provider is administratively monitored by the SESAR JU (badge, etc.); and (4) the provider contributes to the added value of the SESAR JU.

Founding Members

Table 2 – Multiannual staff policy plan for years 2021-2023 (posts)**Statutory staff**

FUNCTION GROUP AND GRADE	Year N – 1 (2019)				Year N (2020)		Year N + 1 (2021)		Year N + 2 (2022)		Year N + 3 (2023)	
	Authorised budget		Actually filled as of 31.12.N – 1		Authorised budget		Envisaged		Envisaged (to be confirmed)		Envisaged (to be confirmed)	
	Perm. posts	Temp. posts	Perm. posts	Temp. posts	Perm. posts	Temp. posts	Perm. posts	Temp. posts	Perm. posts	Temp. posts	Perm. posts	Temp. posts
AD 16												
AD 15		1		1		1		1		1		1
AD 14												
AD 13								1		2		3
AD 12		4		4		5		5		4		4
AD 11		3		1		3		3		4		4
AD 10		2		3		2		2		2		2
AD 9		4		5		5		6		7		8
AD 8		6		6		7		7		7		7
AD 7		7		5		6		4		4		3
AD 6		6		7		4		3		1		
AD 5												
Total AD	0	33	0	32	0	33	0	32	0	32	0	32
AST 11												
AST 10												
AST 9		1		1		1		1		1		1
AST 8												

FUNCTION GROUP AND GRADE	Year N – 1 (2019)				Year N (2020)		Year N + 1 (2021)		Year N + 2 (2022)		Year N + 3 (2023)	
	Authorised budget		Actually filled as of 31.12.N – 1		Authorised budget		Envisaged		Envisaged (to be confirmed)		Envisaged (to be confirmed)	
	Perm. posts	Temp. posts	Perm. posts	Temp. posts	Perm. posts	Temp. posts	Perm. posts	Temp. posts	Perm. posts	Temp. posts	Perm. posts	Temp. posts
AST 7		1				1		1		1		1
AST 6												
AST 5						1		2		3		4
AST 4		2		3		2		1				
AST 3		1		1		1		1		1		
AST 2		1										
AST 1												
Total AST	0	6	0	5	0	6	0	6	0	6	0	6
AST/SC 6												
AST/SC 5												
AST/SC 4												
AST/SC 3												
AST/SC 2												
AST/SC 1												
Total AST/SC	0	0	0	0	0	0	0	0	0	0	0	0
GRAND TOTAL	0	39	0	37	0	39	0	38	0	38	0	38

Table 43: Multiannual staff policy plan for years 2021-2023 (N + 1 to N + 3)

External personnel

CONTRACT AGENTS	Year N – 1 (2019)			Year N (2020)	Year N + 1 (2021)	Year N + 2 (2022)	Year N + 3 (2023)
	FTE corresponding to authorised budget	Executed FTE as of 31.12.N – 1	Headcount as of 31.12.N – 1	FTE corresponding to authorised budget	Envisaged FTE	Envisaged FTE	Envisaged FTE
Function group IV					1	1	1
Function group III							
Function group II							
Function group I							
TOTAL	0	0	0	0	1	1	1

Table 44: Evolution of CAs per function group over the 2019–2023 period (N – 1 to N + 3)

Secoded national experts

SECODED NATIONAL EXPERTS	Year N – 1 (2019)			Year N (2020)	Year N + 1 (2021)	Year N + 2 (2022)	Year N + 3 (2023)
	FTE corresponding to authorised budget	Executed FTE as of 31.12.N – 1	Headcount as of 31.12.N – 1	FTE corresponding to authorised budget	Envisaged FTE	Envisaged FTE	Envisaged FTE
TOTAL	3	2.5	3	3	3	3	3

Table 45: Evolution of SNEs per function group over the 2019–2023 period (N – 1 to N + 3)

Table 3 – Recruitment forecasts for 2021 following retirement/mobility or new requested posts

Job title in the SESAR JU	Type of contract (official, TA or CA)		TA / official function group / grade of recruitment planned for publication		CA recruitment function group (I, II, III or IV)
	Due to planned retirement or mobility	New post requested due to additional tasks	Internal (brackets)	External (single grade)	
Planning & Reporting Officer	X		AST3-9	AST4	
Facility Coordinator	X		AST1-3	AST2	

Table 46: Recruitment forecasts for 2021 (N + 1)**Interagency mobility in 2020**

- Number of SESAR JU staff recruited by other EU agencies: 1.
- Number of staff recruited by the SESAR JU from other EU agencies: 1.

Annex V: Human resources (qualitative)

The SESAR JU staff establishment plan is the document adopted by the Administrative Board defining the total number of posts by grade authorised by the EC to execute the JU's work programme. These posts are filled by personnel recruited under the following types of contract.

- TA/CA contracts, for duties requiring a long-term contract during the period of existence of the SESAR JU.
- SNE contracts, for which experience within Member States' organisations is desirable.

A. Recruitment and management of human resources

Following Council Regulation (EU) No 721/2014 amending Council Regulation (EC) No 1361/2008, the staff of the JU consists of TAs and CAs recruited for a fixed period that may be renewed once for a fixed period of up to 5 years. Any other renewal shall be for an indefinite period in accordance with the EU's Staff Regulations. The total period of engagement shall not in any case exceed the duration of the JU.

The staff of the SESAR JU shall consist of highly specialised technical staff members in charge of the management and implementation of the SESAR programme and highly specialised and diversified administrative staff to ensure the functioning of the SESAR JU. In establishing the different job descriptions and the organisation chart of the SESAR JU, particular attention is paid to preserving the separation of functions, to managing the risk of conflicts of interest and to ensuring the efficient and cost-effective operation of the organisation.

It has to be recognised that it is difficult to attract highly skilled persons on TA contracts for a limited duration, given the time frame indicated in the SESAR JU founding act.

1. Statutory staff recruitment policy

The SESAR JU launches recruitment procedures for TAs through the announcement of vacant posts on its website and that of the European Personnel Selection Office. The SESAR JU may also recruit CAs from the European Personnel Selection Office's reserve lists, for the specific needs identified above.

Generally, vacancies are online for 1 month, during which time candidates can submit their applications. Exceptionally, this period may be extended. The exact deadline for applying for a job is indicated in the vacancy notice of the selection procedure, which also provides information on the job requirements and the conditions of employment. Candidates are requested to submit their application exclusively by means of a functional email address specific to each vacancy notice.

The eligibility of candidates is assessed according to compliance with all formal requirements by the closing date for the submission of applications. Eligible candidates whose applications show evidence of all of the essential selection criteria described in the vacancy notice may be invited for an interview, which is held for the most part in English. During the selection process candidates may be required to undergo a competency assessment exercise.

Candidates invited to an interview are requested to submit, on the day of the interview, a copy of their diploma(s) and evidence of their professional experience, clearly indicating the starting and finishing dates, the function(s) and the exact nature of the duties carried out. However, prior to the signature of the contract, selected candidates are requested to provide the SESAR JU with original or certified copies of all relevant documents proving the eligibility requirements.

As a result of the interviews the selection panel recommends the most suitable candidates for the post in question. The list of suitable candidates established by the selection panel may also be used for the recruitment of a similar post, depending on the needs of the SESAR JU. All candidates are informed by letter about the outcome of the selection procedure. Candidates are informed that inclusion on a reserve list does not guarantee recruitment.

The selection panel's work and deliberations are strictly confidential, and candidates are informed that any contact with its members is strictly forbidden.

The Executive Director, Appointing Authority of the SESAR JU, takes the final decision to offer the job to a selected candidate from the reserve list established by the selection panel.

1.1. Officials

The SESAR JU has no permanent posts in its establishment plan and, therefore, cannot appoint officials.

1.2. Temporary agents

On the basis of the missions and tasks set out by the SESAR JU basic act, most of its existing workforce is assigned to long-term posts, within the limits of the existence of the SESAR JU, both in the operational areas and in the transversal areas.

All TA posts have been identified as posts of long duration, and selected candidates are offered limited duration contracts (except for staff who were under Belgian contracts as at 1 January 2009, in accordance with the transition provisions of Council Regulation (EC) No 1361/2008, who are under indefinite duration contracts still subject to the end of functioning of the SESAR JU on 31 December 2024 at the latest).

The recruitment process followed complies with the European Commission's rules on the engagement and use of temporary staff. The entry grades are determined with regard to the complexity and level of responsibility of the tasks to be performed by the new staff member. These grades are compatible with the provisions of Article 53 of the Conditions of Employment of Other Servants of the European Union, with the corresponding implementing rules on the engagement of TAs 2(f) and with the grades authorised by the European Commission in the SESAR JU's staff establishment plan.

1.3. Contract agents

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157

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The SESAR JU's staff establishment plan contains one CA position.

If needed, CAs will be recruited on a fixed-term contract, usually with a duration of 1 year, renewable once for a fixed period. Any further renewal shall be for an indefinite period in accordance with the Staff Regulations. In exceptional cases, the appointing authority may decide on a different contract duration. The total period of engagement shall not in any case exceed the duration of the SESAR JU (Article 2(a) of Council Regulation (EC) No 219/2007 as amended by Council Regulation (EU) No 721/2014).

1.4. Seconded national experts

In relation to requirements for specific expertise, the SESAR JU recruits SNEs from competent national organisations in the EU Member States, especially where expertise within regulators, public authorities or other public bodies is desirable.

1.5. European Commission implementing rules relating to the recruitment of staff

The table below provides an overview of the relevant European Commission implementing rules relating to the recruitment of staff, as applied by the SESAR JU.

Subject matter	Decision number	Applied by SESAR JU		If no, which other implementing rules are in place
		Yes	No	
Engagement of CAs	Model Decision C(2019) 3016	X		
Engagement of TAs	Model Decision C(2015) 1509	X		
Middle management	Model Decision C(2018) 2542	X		
Type of post	Model Decision C(2018) 8800		X	C(2013) 8979

Table 47: Implementing rules relating to the recruitment of staff applied by the SESAR JU

2. Other human resources managed by the SESAR JU

2.1. Interim services acquisition

The SESAR JU has the capacity to engage interim staff on a temporary basis and on short-term contracts through temping agencies in the case of:

- necessary replacement of TAs or CAs in a situation of their long-term absence, and for the duration of such absence
or

- unforeseen additional tasks implying a level of additional workload that cannot be carried out by the existing TAs and CAs.

For these cases, the SESAR JU is using a framework contract (ref. HR/R1/PR/2019/023), for the period 01/07/2020 to 30/06/2024. The budget available for this procurement is equivalent to 6 FTEs per year during a 4 year period.

2.2. Blue book trainees

The SESAR JU has the capacity to offer traineeships to Blue Book trainees through the SLA signed with the European Commission. The maximum capacity of the SESAR JU to host Blue Book trainees, in accordance with the SLA, is six trainees per traineeship period.

2.3. Atypical trainees

The SESAR JU engages occasionally atypical trainees for short-term traineeships, without a financial impact for the SESAR JU. In 2021, the template and rules to engage atypical trainees, harmonised with those used by the European Commission, will be available.

3. External personnel working for the SESAR JU in-house

3.1. Structural service providers

For the purposes of managing, planning and controlling reception services, in 2011 the SESAR JU signed a 1-year renewable contract with a service provider. This service provider provides one to two FTEs as receptionists / back-office reception staff. It is not always the same person providing the services. In terms of ICT coordination, one person is provided by an external service provider. There is no contractual relation at all between the persons appointed by the service providers to provide these services and the SESAR JU, for what these persons have no link with SESAR JU HR matters.

3.2. Seconded staff from SESAR JU selected members

At its meeting on 31 May 2017 the Administrative Board of the SESAR JU, having regard to Article 5(1)(p) and Article 8 of the Annex to the SESAR JU basic act and the SESAR Joint Undertaking Membership Agreement, which entered into force on 6 July and was signed by the SESAR JU, EUROCONTROL and the SESAR JU's 19 selected members by virtue of Decision ADB(D)02-2016, decided:

- to adopt specific conditions on the secondment of staff of SESAR JU selected members, as detailed in Annex 1 to Decision ADB(D)07-2017;
- to delegate the power to the Executive Director to establish the necessary agreements in line with the aforementioned conditions.

When the experts with specific expertise requested for a certain post are not available for direct recruitment by the SESAR JU and this expertise is retained by personnel working for one of SESAR JU Members, the SESAR JU fills these highly specialised posts with secondments from its Members, ensuring that proper measures to manage potential conflicts of interest are in place (segregation of duties, annual declarations on conflicts of interest, etc.).

In compliance with the Administrative Board’s decision, the SESAR JU launches a call for expression of interest to its selected members to establish a list of potential candidates for specific posts.

Secondment to the SESAR JU is subject to the signature of a secondment agreement.

B. Appraisal of performance and reclassification/promotions

Implementing rules in place.

Subject matter	Decision number	Applied by SESAR JU		If no, which other implementing rules are in place
		Yes	No	
Reclassification of TAs	Model Decision C(2015) 9560	X		
Reclassification of CAs	Model Decision C(2015) 9561	X		
Appraisal of TAs	Model Decision C(2013) 8985	X		
Appraisal of CAs	Model Decision C(2014) 2226	X		

Table 48: Implementing rules related to reclassification/promotions applied by the SESAR JU

Reclassification of temporary staff / promotion of officials

GRADE	Average seniority in the grade among reclassified staff						
	Year N – 4 (2016)	Year N – 3 (2017)	Year N – 2 (2018)	Year N – 1 (2019)	Year N (2020)	Actual average over 5 years (N – 4 to N)	Average over 5 years (according to decision C(2015) 9563)
AD 5	2.2	2				2.2	2.8

GRADE	Average seniority in the grade among reclassified staff						
	Year N – 4 (2016)	Year N – 3 (2017)	Year N – 2 (2018)	Year N – 1 (2019)	Year N (2020)	Actual average over 5 years (N – 4 to N)	Average over 5 years (according to decision C(2015) 9563)
AD 6		2	3	2.5	3.6	2.8	2.8
AD 7	2	2	3	4	3	2.8	2.8
AD 8	2		4	2.6	3	2.8	3.0
AD 9					3.7	3.7	4.0
AD 10					7.5	7.5	4.0
AD 11							4.0
AD 12							6.7
AD 13							6.7
AST 1							3.0
AST 2	2					2.0	3.0
AST 3			2	9.5		5.8	3.0
AST 4							3.0
AST 5							4.0
AST 6		3				3.0	4.0
AST 7							4.0
AST 8			4			4.0	4.0
AST 9							N/A
AST 10							5.0
AST/SC 1							4.0
AST/SC 2							5.0

GRADE	Average seniority in the grade among reclassified staff						
	Year N – 4 (2016)	Year N – 3 (2017)	Year N – 2 (2018)	Year N – 1 (2019)	Year N (2020)	Actual average over 5 years (N – 4 to N)	Average over 5 years (according to decision C(2015) 9563)
AST/SC 3							5.9
AST/SC 4							6.7
AST/SC 5							8.3

Table 49: Reclassification of temporary staff/promotion of officials

Reclassification of contract staff

FUNCTION GROUP	GRADE	Staff in activity at 1.01.N – 2 (2018)	Staff reclassified in year $n - 1$ (2019)	Average number of years in grade of reclassified staff members	Average number of years in grade of reclassified staff members (according to Decision C(2015) 9561)
CA IV	17	-	-	-	6 to 10 years
	16	1	-	-	5 to 7 years
	15	-	-	-	4 to 6 years
	14	1	-	-	3 to 5 years
	13	-	-	-	3 to 5 years
CA III	11	-	-	-	6 to 10 years
	10	-	-	-	5 to 7 years
	9	-	-	-	4 to 6 years
	8	-	-	-	3 to 5 years
CA II	6	-	-	-	6 to 10 years
	5	-	-	-	5 to 7 years
	4	-	-	-	3 to 5 years
	3	-	-	-	6 to 10 years

CA I	2	-	-	-	3 to 5 years
	1	-	-	-	6 to 10 years

Table 50: Reclassification of contract staff

No contract staff members were reclassified during 2018 and 2019.

C. Mobility policy (internal mobility, between EU bodies and between EU bodies and the institutions)

1. Mobility within the SESAR JU

Vacancy notices are accessible internally as well as externally, and staff members are always given the opportunity to apply.

2. Mobility between EU bodies

Until 2016 the SESAR JU's statutory staff were excluded from the possibility of benefiting from mobility between the EU agencies, substantially limiting one of the key elements of the career development of its staff. This situation has changed with the adoption of new implementing rules on the selection of TAs 2(f) in April 2016 under the new Staff Regulations.

3. Mobility between the SESAR JU and the institutions

The SESAR JU has currently no posts occupied by an official from an institution ⁽⁷⁵⁾; nevertheless, where appropriate the SESAR JU can consider favouring mobility with the institutions.

D. Gender representation

Since its establishment the SESAR JU has ensured equal opportunities for staff and has done its best to attract specialised technical staff of the highest calibre. The equal-opportunities policy is applied to recruitments in order to secure a gender and geographical balance in a domain of operations that appears to be highly unbalanced.

⁽⁷⁵⁾ There is one TA who is on secondment from the European Commission in its own interest.
Founding Members

Gender representation of statutory staff (officials, TAs and CAs) as at 31.12.2019

GENDER	FUNCTION GROUP	Officials		TAs		CAs		GRAND TOTAL	
		Staff	%	Staff	%	Staff	%	Staff	%
Female	AD			15	41			15	41
	AST & AST/SC			3	8			3	8
	TOTAL			18	49			18	49
Male	AD			17	46			17	46
	AST & AST/SC			2	5			2	5
	TOTAL			19	51			19	51
GRAND TOTAL				37	100			37	100

Table 51: Gender representation of statutory staff (officials, TAs and CAs) as at 31.12.2019

Gender evolution of middle ⁽⁷⁶⁾ and senior management over 5 years

GENDER	N – 5 (2015)		N – 1 (2019)	
	Number	%	Number	%
Female managers	0	0	0	0
Male managers	1	100	2	100
TOTAL	1	100	2	100

Table 52: Gender evolution of middle and senior management over 5 years

⁽⁷⁶⁾ Staff who is defined as middle manager by the applicable general implementing provisions on middle management of the European Commission.
164

E. Geographical balance

Geographical representation of statutory staff (officials, TA and CA) as at 31.12.2019

NATIONALITY	AD and CA FG IV		AST/SC, AST, CA FG I-III		TOTAL	
	Number	% of total AD and CA FG IV staff	Number	% of total AST/SC, AST, CA FG I-III staff	Number	% of total staff
Belgium	3	9 %	2	40 %	5	14 %
Bulgaria	1	3 %	1	20 %	2	5 %
Germany	1	3 %			1	3 %
Ireland	3	9 %			3	8 %
Greece	2	6 %			2	5 %
Spain	4	13 %			4	11 %
France	4	13 %	1	20 %	5	14 %
Croatia			1	20 %	1	3 %
Italy	4	13 %			4	11 %
Cyprus	1	3 %			1	3 %
Lithuania	1	3 %			1	3 %
Netherlands	2	6 %			2	5 %
Portugal	1	3 %			1	3 %
Sweden	1	3 %			1	3 %
United Kingdom	4	13 %			4	11 %
TOTAL	32	100%	5	100%	37	100%

Table 53: Geographical representation of statutory staff (officials, TAs and CAs) as at 31 December 2019

Evolution of the most-represented nationality in the SESAR JU over 5 years

MOST REPRESENTED NATIONALITY	N – 5 (2015)		N – 1 (2019)	
	Number	%	Number	%
United Kingdom	7/38	18 %	4/37	11 %

Table 54: Evolution of the most-represented nationality in the SESAR JU over 5 years

F. Schooling

The European Schools in Brussels should cover the schooling needs of children of SESAR JU staff, for those members of staff currently eligible.

Agreement in place with the European School(s) of:	
Contribution agreements signed with the European Commission on type I European schools (yes/no)	No. SESAR staff with a contract with a minimum duration of 1 year and who receive family allowances from the SESAR JU can have their children enrolled in the European Schools (type I) in Brussels as category I pupils, meaning that they are accepted as a priority and no school fees have to be paid by the parents. A contribution agreement was not concluded at that time due to the low number of children of SESAR JU staff in the European Schools.
Contribution agreements signed with the European Commission on type II European schools (yes/no)	No
Number of service contracts in place with international schools	0
Description of any other solutions or actions in place	N/A

Table 55: Schooling arrangements implemented by the SESAR JU

Annex VI: Environmental management

The SESAR JU is dedicated to reducing the impact of its overall activities on the environment.

Given that the SESAR JU is one of the tenants of the building referred to in the Annex VII, environmental management at the SESAR JU is limited to implementing environmentally friendly practices at its premises and strongly encouraging its staff to abide with these. Staff are provided with the appropriate instructions and means to ensure the continuous and diligent application of the following environmentally friendly practices.

- Waste management, more particularly sorting of glass, cardboard and PMD waste.
- Use of environmentally friendly paper for all printers, compliant with ISO 14020 standard and the International Chamber of Commerce framework for environmental claims.
- Inclusion of provisions encouraging environmentally friendly performance in public calls for tender for cleaning services. Products used by the cleaning company must meet the following relevant core criteria.
 - No ingredients (substances) shall be listed on the product label, in the safety data sheet or in other relevant technical data sheets that have been identified as substances of very high concern ⁽⁷⁷⁾ and have been included in the list in Article 59 of Regulation (EC) No 1907/2006 (the REACH regulation) ⁽⁷⁸⁾. In order to comply with this condition, the tenderer shall take the following into account:
 - products carrying a relevant Type I Ecolabel are deemed to comply;
 - other appropriate means of proof are possible, such as the provision of the ingredients listed on the product label, the safety data sheet, the manufacturer’s website and any other relevant technical data sheets, along with their CAS number (where available).
 - **Packaging requirements.** All products must be delivered with clear dosing instructions. Sprays containing propellants should not be used. Products packaged as trigger sprays should be sold as part of a refillable system. The contractor should also be able to justify the range of products used.

⁽⁷⁷⁾ The list of substances referred to (the candidate list) can be found at: <https://echa.europa.eu/web/guest/candidate-list-table>.

⁽⁷⁸⁾ Regulation (EC) No 1907/2006 of the European Parliament and of the Council of 18 December 2006 concerning the registration, evaluation, authorisation and restriction of chemicals (REACH), establishing a European Chemicals Agency, amending Directive 1999/45/EC and repealing Council Regulation (EEC) No 793/93 and Commission Regulation (EC) No 1488/94 as well as Council Directive 76/769/EEC and Commission Directives 91/155/EEC, 93/67/EEC, 93/105/EC and 2000/21/EC (OJ L 396, 30.12.2006, p. 1).

If certain products to be used do not comply with this requirement, the contractor shall provide in advance a written justification for such an exception. The SESAR JU reserves the right to request that the contractor refrain from using any products identified as exceptions to the rule above.

- **Staff and organisation.** All cleaning staff employed in carrying out the service should be correctly trained for their various tasks. This training should cover cleaning agents, methods, equipment and machines used; waste management; and aspects of health, safety and the environment. A record of these training measures (introductory/vocational training) should be kept at the disposal of the SESAR JU.
- The SESAR JU also encourages use of bicycles by providing secure storage, and has a scheme to contribute to the cost of public transport season tickets if the applicant agrees to not use the car park unless under exceptional circumstances.

Furthermore, amongst the efficiency measures described above in Section II paragraph 2.4, the reduction in the number of missions and the preference for web conferences, when possible, has a positive impact on the environmental footprint of the SESAR JU.

Annex VII: Buildings (table)

The SESAR JU has already established its location in Brussels through the rental of suitable office accommodation and ancillary space secured for the duration of the extended SESAR JU. There is no plan to acquire any property or buildings in the future.

Current building(s) are as follows.

		Building 1	Comment
Building name and type		Office Building	
Location		Avenue de Cortenbergh 100 1000 Brussels	Joint-occupancy building with non-EU bodies
Surface area (in m²)	Office space	1 765	
	Non-space	63	There are an additional 28 car parking spaces (not included in the surface area)
	Total	1 828	
Rental contract	Rent (EUR/year)	427 925	Excluding gratuities and other reductions
	Duration of the contract	9-year lease from 2016	
	Type	Fixed-term lease	
	Breakout clause (yes/no)	Yes	
	Conditions attached to the breakout clause (if applicable)	Diplomatic clause for rupture of rental contract with 6 months' notice.	
Host country (grant or support)		N/A	

Table 56: Buildings

- Building projects in planning phase: N/A.
- Building projects submitted to the European Parliament and the Council: N/A.

Founding Members



Annex VIII: Privileges and immunities

Privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education/daycare
VAT exemption as of 16/10/2008, administrative agreement with the Belgian authorities since 30/03/2009	Protocol of privileges and immunities applicable to staff with regard to VAT	N/A

Table 57: Privileges and immunities



Annex IX: Evaluations

In 2017 the SESAR JU was subject to two evaluations ⁽⁷⁹⁾. The first concerned the closure of the SESAR 1 Programme (final evaluation of SESAR 1, 2007–2016), while the second focused on the ongoing research activities under the SESAR 2020 Programme (interim evaluation of SESAR 2020, 2014–2020).

The reports led to five recommendations in total. SESAR JU management considers that the action plan has been fully implemented, except for recommendation 5. The implementation of this recommendation is currently subject to validation at policy level on the future of the SESAR JU. Therefore, in agreement with the European Commission, the action is currently on hold. No further actions are planned for 2021.

No new evaluations of the SESAR programme have been announced to the SESAR JU for 2021.

⁽⁷⁹⁾ Both reports can be found here: https://ec.europa.eu/transport/transport-modes/news/2017-10-10-transport-join-undertakings-are-delivering-expected-results_en. The full Horizon 2020 evaluation can be found here: http://ec.europa.eu/research/evaluations/index_en.cfm?pg=h2020evaluation

Founding Members



Annex X: Strategy for the organisational management and internal control systems

The SESAR JU implements the Commission's internal control framework (ICF) through its Quality Management System (QMS), which has been in place since 2015 ⁽⁸⁰⁾ and is accessed via a portal on the SESAR JU's IT system. The QMS is implemented to help the SESAR JU in achieving its objectives and optimising its value to stakeholders. The SESAR JU's Quality Manual describes the approach, which is represented in the figure below.

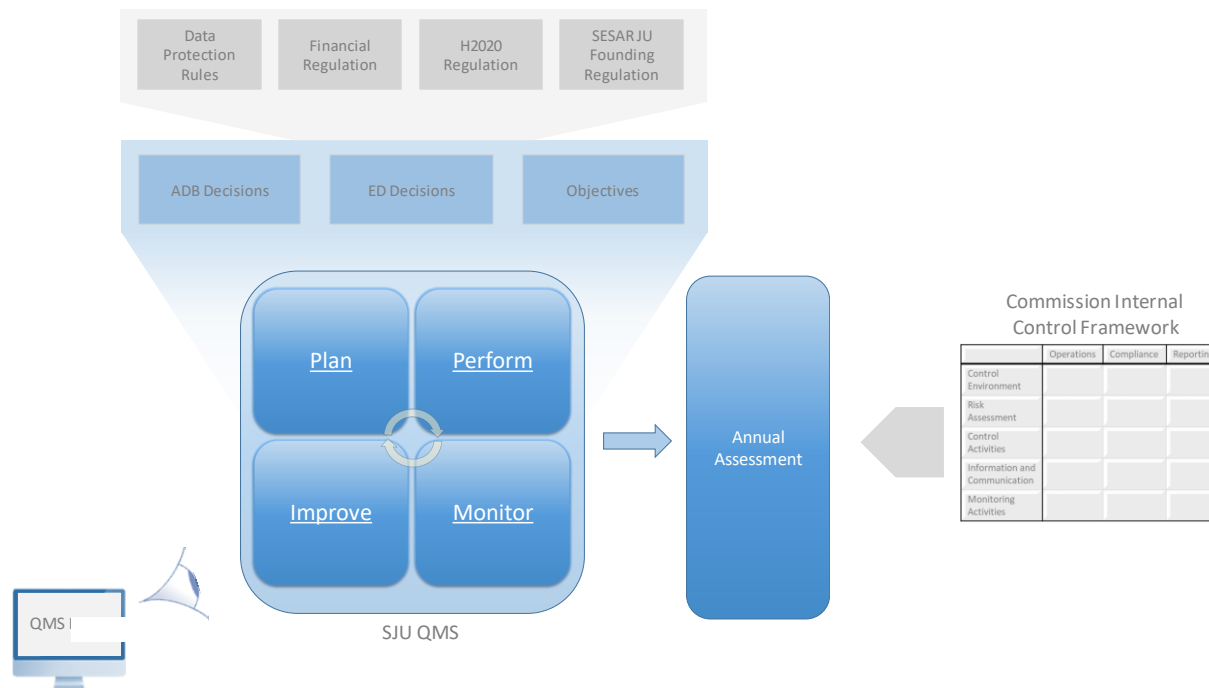


Figure 21: The SESAR JU implementation of the Internal Control Framework

The achievement of SESAR JU objectives (including the performance of the QMS) is assessed annually for its suitability and effectiveness and reported through an implementation of metrics to be presented in the CAAR. The QMS allows for the management of these metrics.

⁽⁸⁰⁾ The quality management approach at the SJU has been defined and adopted through SJU/ED/395.
172

The SESAR JU's Quality Management System

The SESAR JU Quality Manual includes a defined strategy to deploy a Quality Management System (QMS) and applies continual improvement through a PDCA cycle (Plan, Do, Check and Act or Improve). This continual improvement cycle applies to all the processes used at the SESAR JU to comply with its obligations and to deliver its expected results. It involves also the tools related to these processes, and the people that use these tools and processes. The SESAR JU application of the PDCA cycle is summarised below.

Plan

The Single Programming Document (SPD) is the primary planning tool for the SESAR JU and is complemented by lower level objective setting established by the Executive Director with the Corporate Management Team.

Do

The SESAR JU meets its objectives through the execution of its processes and the adequacy of these processes to the objectives. Ensuring the stability of the processes and their alignment with the strategic goals and objectives is key to the SJU performance and to ensure that stakeholder requirements can be met, which will in turn help building stakeholder confidence.

Roles and responsibilities with regard to process management are established. Process definitions together with a comprehensive process map are published through the QMS Portal. By monitoring the adherence to these processes the QMS helps the SJU to achieve these results.

Check

Several structures have been put in place, either by Regulation or by Decision of the Executive Director, to monitor the SESAR JU's activities. They benefit from the inputs of the QMS regarding the adherence of the SESAR JU to its processes, and the adequacy of such processes. These structures include:

- Administrative Board (ADB),
- Corporate Management Team (CMT),
- Budget Control Committee (BCC),
- Quality and ICT Committee (QICT),
- Project Audit,
- Internal Audit Capability (IAC),

- Annual Reporting through the Consolidated Annual Activity Report (CAAR).

Act (Improve)

As a result of monitoring activities, the SESAR JU routinely initiates change and improvement initiatives.

Annual Assessment

In 2021 the SESAR JU will introduce CMT annual reviews to assesses and monitor the performance of the SJU, using the inputs from the QMS according to the Internal Control Framework introduced by the European Commission in 2017, by assessing each of the 50 characteristics of the 17 principles across the five components of the Internal Control Framework.

The CAAR will report on the consolidated ratings for the 17 principles.



Annex XI: Plan for grant, contribution or service-level agreements

The information foreseen in this table by the SPD template is not applicable for the SESAR JU in the period 2021-2023.

Founding Members



175

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Annex XII: Procurement plan for 2021

As per Article 110 of the EU Financial Regulation, ‘a budgetary commitment shall be preceded by a financing decision adopted by the Union institution or by the authority to which powers have been delegated by the Union institution’. This financing decision, which at the same time constitutes the annual or multiannual work programme, shall in particular set out certain essential elements for actions involving expenditure from the budget for procurement and prizes.

NB: In accordance with Article 110 (5) of the EU Financial Regulation and the principle of sound financial management, the SESAR JU authorising officer may decide to make non-substantial changes and amend the indicative budget or timing identified above for a given procurement procedure if this allows for improved adherence to the SESAR JU’s objectives. A change of more than 20 % in the volume of appropriations, the introduction of a new action or other changes affecting the political choices in the SPD are to be considered substantial.

Operational expenditure

The maximum global budgetary envelope reserved for procurements covered by operational appropriations is estimated to be a minimum of EUR 1 810 285 in 2021.

Strategic area of operation 1 – Provide strategic steering to the SESAR programme

No procurement action is foreseen for this Strategic Area of Operation

Strategic area of operation 2 – Deliver exploratory research

Reference	Budget line	Procurement area	Procurement description	Target signature date	Total estimated budget (EUR)	Type of contract/ procedure	Comments
Op.2.1.	B03800	Young Scientist Award	Award to a young scientist for exceptional achievements in the field of the ATM research	Q4 2021	6 500	Prize	
Total for strategic area of operation 2 – Deliver exploratory research					6 500		

Strategic area of operation 3 – Deliver industrial research and validation

No procurement action is foreseen for this Strategic Area of Operation in 2021.

Strategic area of operation 5 – Deliver SESAR outreach

Reference	Budget line	Procurement area	Procurement description	Target signature date	Total estimated budget (EUR)	Type of contract/ procedure	Comments
Op.5.1		Economics and Master Plan	Inter-institutional Service Level Agreement (SLA) SJU-EASA	Q1 2021	200 000	Joint Procurement	
Op.5.2		Airports expertise support	Implementation of framework contract for 2021	Early Q1 2021	300 000	Specific contract under SESAR JU framework contract	
Op.5.3		Professional staff organisations support lot 1	Implementation of framework contract for 2021	Q1 2020	59 950	Specific contract under SESAR JU framework contract	
Op.5.4		Professional staff organisations support lot 2	Implementation of framework contract for 2021	Q1 2020	59 950	Specific contract under SESAR JU framework contract	
Op.5.5		Professional staff organisations support lot 3	Implementation of framework contract for 2021	Q1 2020	59 950	Specific contract under SESAR JU framework contract	
Op.5.6		Professional staff organisations support lot 4	Implementation of framework contract for 2021	Q1 2020	59 950	Specific contract under SESAR JU framework contract	
Op.5.7		Professional staff organisations support lot 5	Implementation of framework contract for 2021	Q1 2020	59 950	Specific contract under SESAR JU framework contract	
Op.5.8-1		Airspace users Lot 1	Implementation of framework contract for 2021	Q1 2021	352 720	Specific contract under SESAR JU framework contract	
Op.5.8-2		Airspace users Lot 2	Implementation of framework contract for 2021	Q1 2021	181 090	Specific contract under SESAR JU framework contract	
Op.5.8-3		Airspace users Lot 3	Implementation of framework contract for 2021	Q1 2021	219 125	Specific contract under SESAR JU framework contract	

Reference	Budget line	Procurement area	Procurement description	Target signature date	Total estimated budget (EUR)	Type of contract/ procedure	Comments
Op.5.8-4		Airspace users Lot 4	Implementation of framework contract for 2021	Q1 2021	251 100	Specific contract under SESAR JU framework contract	
Total for strategic area of operation 5 – Deliver SESAR outreach					Min. 1 803 785		

Table 58: Main procurement activities to be conducted in 2021 covered by operational appropriations

Administrative expenditure

Although not necessary in the case of administrative appropriations, the SESAR JU decided to identify its main administrative support expenditures for transparency purposes, as shown in the following tables. This list is for information purposes only and non-exhaustive.

Strategic area of operation 5 – Deliver SESAR outreach

Reference	Procurement area	Procurement description	Target signature date	Total estimated budget (EUR)	Type of contract/ procedure	Comments
Ad.5.1.	Lot 1 – Strategic communications, editorial and graphic design	Support in the creation and implementation of SESAR JU communication strategy	Q1 2021	80 000	Specific contract under SESAR JU framework contract	
Ad.5.2.	Lot 1 – Strategic communications, editorial and graphic design	Provision of strategic supports services (editorial, graphical, analysis)	Q3 2021	70 000	Specific contract under SESAR JU framework contract	
Ad.5.5.	Lot 2 – Digital communications	Provision of digital communication support services (video production, animations, other multimedia solutions)	Q3 2021	80 000	Specific contract under SESAR JU framework contract	
Ad.5.6.	Lot 3 – Event communications	Event support to SESAR JU Internal meeting and SESAR JU Awards Ceremony	Q1 2021	32 076	Specific contract under SESAR JU framework contract	
Ad 5.10	Lot 3 – Event communications	Event support for upcoming SESAR JU Events	Q2 2021	185 000	Specific contract under SESAR JU framework contract	
Ad 5.13	EU office of publications	Graphical & editorial support or printing	Q1-Q4 2021	15 000	SLA agreement	
Ad 5.14	Low value communications procurement	Low value procurement	Q1-Q4 2021	20 000	Low value procurement	
Ad 5.15	Audit	U-space projects ex-post audits	Q2 2021	360 000	Re-opening of competition with DG BUDG FWC for audit	

Reference	Procurement area	Procurement description	Target signature date	Total estimated budget (EUR)	Type of contract/ procedure	Comments
Total for strategic area of operation 5 – Deliver SESAR outreach				899 000		

Strategic area of operation 6 – Deliver effective financial, administrative and corporate management

Reference	Procurement area	Procurement description	Target signature date	Total est. budget (EUR)	Type of contract / procedure	Comments
Ad.6.1.	Facility Coordination	Security: Guarding	Q3 2021	122 400	open call	
Ad.6.2.	Facility Coordination	Security: Alarm	Q4 2021	156 060	open call	
Ad.6.3.	Facility Coordination	Security Equipment	Q2 2021	50 000	open call	
Ad.6.4.	Facility Coordination	Security Equipment	Q4 2021	65 000	open call	
Total for strategic area of operation 6 – Deliver effective financial, administrative and corporate management				393 460		

Table 59: Main procurement activities to be conducted in 2021 covered by administrative appropriations

Annex XIII: Strategy for cooperation with third countries and/or international organisations

This strategy is defined in Section II, subparagraph 1.6.2 'Cooperation with third countries and international organisations'.

Annex XIV: List of Members of the SESAR Joint Undertaking

The SESAR JU Members and their respective constituent entities are listed below:

Name of Member	Constituent Entities	Country
European Union, represented by the European Commission (founding member)		
EUROCONTROL, the European Organisation for the Safety of Air Navigation, represented by its agency (founding member)	Single entity	
Airbus SAS	Single entity	France
AT-One Consortium	Deutsches Zentrum für Luft-und Raumfahrt e. V. (German Aerospace Center, DLR)	Germany
	Stichting Nationaal Lucht- en Ruimtevaartlaboratorium (National Aerospace Centre, NLR)	Netherlands
B4 Consortium	Polska Agencja Żeglugi Powietrznej, the Polish Air Navigation Services Agency: (PANSA)	Poland
	Rizeni Letoveho Provozu Ceske Republiky Statni Podnik, the Air Navigation Services of the Czech Republic: (ANS CR)	Czechia
	Letové prevádzkové služby Slovenskej republiky, štátny podnik: (LPS SR s.p.) – state-owned ANSP of Slovakia	Slovakia
	Valstybes imone 'Oro navigacija', the State Enterprise 'Oro Navigacija' (ON) – state-owned ANSP of Lithuania	Lithuania
COOPANS Consortium	Naviair	Denmark
	Irish Aviation Authority: (IAA)	Ireland
	Croatia Control, Croatian Air Navigation Services Ltd: (CCL)	Croatia
	Austro Control Österreichische Gesellschaft für Zivilluftfahrt mbH: (ACG)	Austria
	Luftfartsverket: (LFV)	Sweden
Dassault Aviation SA	Single entity	France
DFS Deutsche Flugsicherung GmbH: (DFS)	Single entity	Germany
République Française, Ministère de L'écologie, du Développement Durable, et de L'Energie, acting via Direction Générale de L'Aviation civile, represented by Direction des Services de la Navigation Aérienne: (DSNA)	Single entity	France
ENAV S.p.A	Single entity	Italy

Entidad Pública Empresarial ENAIRE	Single entity	Spain
Leonardo	Single entity	Italy
Frequentis SESAR Partners (Consortium)	Frequentis AG	Austria
	Hungarocontrol Zrt (HC)	Hungary
	Atos Belgium SA/NV	Belgium
Honeywell Aerospace SAS	Single entity	France
INDRA Sistemas, S.A.	Single entity	Spain
NATS (En Route) Plc	Single entity	United Kingdom
North European ATM Industry Group NATMIG Consortium	Stiftelsen SINTEF	Norway
	Saab AB	Sweden
	Airtel ATN Ltd.	Ireland
SESAR European Airports Consortium (SEAC 2020)	Heathrow Airport Limited	United Kingdom
	Aéroports de Paris S.A.	France
	Flughafen München GmbH	Germany
	Flughafen Zürich AG	Switzerland
	Schiphol Nederland B.V.	Netherlands
	Swedavia AB	Sweden
	Avinor AS	Norway
Skyguide, Swiss civil and military Air Navigation Services Ltd	Single entity	Switzerland
Thales Air Systems SAS	Single entity	France
Thales Avionics SAS	Single entity	France

Table 60: List of SESAR JU Members

Annex XV: SESAR JU's critical risks for 2021

The information on the SESAR JU's critical risks is not public and may be made available on request in case of justified need.

