

# Work Programme 2011



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European Railway Agency  
120, rue Marc Lefrancq  
BP 20392  
FR 59307 Valenciennes Cedex  
Telefon +33 (0) 3 27 09 65 00  
Fax +33 (0) 3 27 33 40 65  
[www.era.europa.eu](http://www.era.europa.eu)

# Introduction



Experience through 2008, 2009 and 2010 has shown that the development and adoption of the European legislation in the field of railway interoperability and safety is just the start of a long and difficult journey to the revitalised railway sector. Studies by the Agency into the implementation of the Railway Safety Directive and vehicle authorisation have revealed substantial differences in the “traditional” regimes used in each of the Member States for railway system and safety management. It is clear that in the convergence to a common approach each Member State is starting from a different position. These studies and the Agency’s contacts throughout the European Union have also revealed significantly different interpretations and implementations of the common approach prescribed by the directives and that the regimes in the different Member States are also evolving at different speeds.

Bearing in mind that the European railway system has a long history of stable national railway companies and that its assets have long or very long lifecycles, it is not surprising that there is huge inertia in the implementation of change. Nor is it unexpected that there is a natural tendency to continue “business as usual” and/or to adopt the “minimum change” approach by overlaying European initiatives on existing national regimes rather than simplifying by replacing the national regime by the European regime.

Experience through 2008, 2009 and 2010 has shown that the development and adoption of the European legislation in the field of railway interoperability and safety is just the start of a long and difficult journey to the revitalised railway sector. Studies by the Agency into the implementation of

However the opening of the markets and the separation of infrastructure from operations is a change of massive significance to the sector and its regulators demanding new approaches to railway system and safety management. The new regime of open markets and vertical separation is already in place and the “old tools” of railway system and safety management are no longer necessarily all fit for purpose. In this context it is clear that whilst the Agency’s formal role in preparing draft regulation is essential, at least as important is its ability to disseminate the roles, responsibilities, processes and requirements of the new regime (the “new tools”) to facilitate their effective and timely implementation and to reduce the inertia of change.

It is also essential in this time of transition that effective feedback mechanisms are put in place (return of experience) so that errors or omissions can be rapidly corrected.

With this in mind the Agency’s activities in 2011 will be evolving from the historical focus of drafting recommendations for technical legislation by balancing these ongoing activities with an increased level of dissemination and feedback activity. It is our aspiration that this will help facilitate the migration away from “business as usual” to the more competitive railway system that is foreseen by the directives and enable a rapid correction of errors and problems encountered in transition.

To complement this operational activity we are continuing to strengthen and improve the support services provided to our stakeholders and staff as the Agency develops its position as European railway system authority ever more dedicated to putting customers at the heart of its endeavours.

Marcel Verslype,  
Executive Director



# European Railway Agency core objective and role

The Agency's core objective and role is strictly defined in Article 1 of Regulation (EC) No 881/2004 as amended by regulation 1335/2008. It is:

***“to contribute, on technical matters, to the implementation of the Community legislation aimed at improving the competitive position of the railway sector by enhancing the level of interoperability of railway systems and at developing a common approach to safety on the European railway system, in order to contribute to creating a European railway area without frontiers and guaranteeing a high level of safety”.***

This is reflected in our vision and mission statements.

## Our vision

We contribute to the creation of an integrated European railway area where Railway Undertakings can run trains and organise their transport services freely, safely, effectively, and without interruption, where Manufacturers Railway Undertakings and Infrastructure Managers can benefit from an internal market for equipment and services, ensuring an economically sustainable railway sector. The objective is to allow the rail transport sector to realise its inherent competitive advantages in relation to other transport modes.

## Our mission

The main task of the Agency is to prepare new and updated legislative acts for adoption by the European Commission (“the Commission”), after a positive opinion from the Railway Interoperability and Safety Committee of Member States established by Article 21 of Directive 96 / 48 / EC (the RISC Committee), and to give other technical support to the Commission. The activities carried out by the Agency aim at:

- Developing a common approach to safety, safety regulation and accident investigation, in particular by harmonisation of safety assessment methods, safety targets and safety certification conditions.
- Improving the interoperability of the European rail system by developing the conditions for the free and uninterrupted movement of trains through technical and operational harmonisation, including conditions for mutual acceptance of railway vehicles.
- Supporting the progressive creation of an internal market for the provision of railway equipment and services
- Facilitating the exchange of information within the railway sector by networking with national bodies, providing registers and databases, issuing reports and giving guidance on the implementation of the regulatory framework.

# ERA priorities for 2011 and associated risks

The Agency works under the basis of Directive 2004/49/EC (the Railway Safety Directive) as amended by Directive 2008/110, Directive 2007/59/EC (the Driver Licensing Directive) Directive 2008/57/EC (the recast Railway Interoperability Directive), and Regulation (EC) No 881/2004 (the Agency Regulation) as amended by Regulation (EC) No 1335-2008, complemented by more detailed mandates and task requests that are delivered to it by the Commission from time to time.

In 2011 the Agency will continue to mature. In 2011 many of the recommendations of earlier years will be being implemented and the Agency intends to play a strong facilitative role in this respect. Return of experience will be captured and incorporated in updates and new recommendations.

In addition with the bedding in of the European regime, the opening of the passenger market and the ongoing liberalisation of the freight

market, 2010 saw a significant increase in “on demand” workload for opinions such as the addressing of errors or providing opinions on interpretations and implementations and we expect this to increase in 2011.

All these activities represent a very substantial workload across a very broad spectrum to be carried out with a relatively small resource. This resource needs to be in place on time. Should either the necessary budget or staff establishment not be in place in time, then it will not be possible to carry out all the activities to the timescales planned and this work programme may need to be amended.

Risks to success are mainly derived from the need to establish and secure budget in good time to enable the right specialist recruitment to take place. Furthermore, in a growing rail sector, the Agency is in competition with many other actors for the expertise that it requires and experience shows that it is not always possible to attract the

necessary calibre of staff upon first application. This presents a significant risk not just in the operational areas, where expertise of the right calibre is rare, but also in the administrative activities where expertise is extremely mobile.

### Managing the work

It is clear that it is possible that the overall requirements of the directive and the regulation, the sum total of the mandates, the expectations of the stakeholders, the increase in the proportion of “open ended” or “on request” work carried out by the Agency and future requirements may, in 2011, either exceed the quantity of resource available in total or the resource available in a particular subject area.

To manage this risk it will be necessary to:

- Prioritise,
- Make best use of technical expertise available from the sector,
- Balance use of internal staff with the use of contract staff and consultants.

When demand arises for work that is not funded the Agency will determine the most appropriate course of action consistent with its objective. This will include, as envisaged in the Agency Regulation, consideration of the possibility of charging for services provided by the Agency.

## Working Method

To ensure an integrated approach at working level, although each activity is allocated a lead unit for administration, the internal working groups incorporate experts from all relevant units and activities.

### The Managers’ Steering Committee

The Executive Director, together with the group of managers’ steering committee, will:

- Develop and adopt the long term plan of the Agency taking account of the ongoing need to support the harmonisation of decision making, close open points, adapt to scientific and technical progress and take account of market trends. More precise mission statements will be developed for particular area of activity.
- Act as the coordinating body for all the Agency’s units and working groups.
- Develop guidance and training for Agency Staff and Working Party experts in
  - the principles and processes underpinning the Interoperability and Safety Directives,
  - non technical or safety issues (e.g. economic analysis),
  - working methods, meeting management, consensus building etc.
- Act as a forum for prioritisation and risk management in respect of the activity of the Agency.
- Act as the focus for exchange of views with external organisations (inputs to and outputs from ERA) in respect of the overall activity of the Agency and particular activities that are not specific to a particular working party.

- Act as the internal review body for quality assurance of Agency recommendations.
- Ensure that the Administrative Board is regularly updated in respect of the Agency’s activities and progress with the implementation of the Work Programme, Budget and Staff plan.

The Agency will continue to work through the formal Working Parties prescribed by the directives and regulation. These will be supported by several informal groups.

- Survey groups will deal with generic functions (e.g. economic evaluation).
- Restricted groups will deal with specific horizontal interoperability and safety issues.
- Interface groups will deal with specific interfaces covered by two or more working groups.
- Smaller task forces, emanating from working groups, will be established to carry out specific tasks such as the drafting of documents.

In all its activities the Agency will respect the objective of putting the customer at the heart of European transport policy and utilising the principles of “Better Regulation”, in particular the objectives of simplification and reducing administrative burdens. It will work within the rules and procedures relevant to European Agencies.

### Transparency

Transparency is an essential prerequisite of the working method of the Agency.

Documents adopted by the Agency, in particular Recommendations to the Commission and Technical Opinions, will be made available

on the public website according to the rules on access to documents adopted by the Administrative Board.

In accordance with the requirements of Article 3 of the Agency Regulation that the work of the Working Parties shall be transparent, records of Working Party meetings and working documents will be made available to all members of the relevant Working Party, persons nominated by the representative bodies to coordinate their relationship with the Agency, and persons nominated by the representative bodies coordinators as their members' contacts for interoperability and safety matters. Members of the Network of National Safety Authorities will have access to documents of all Working Parties for which they have the right to appoint members.

### Participation & Decision Making

Working Parties shall be managed on a collaborative basis with the expectation that all members shall contribute to the development of the documentation in proportion to their expertise and relevance of the output to their representative body and its members.

Agreement within Working Parties shall normally be reached by consensus but, in the event of sustained failure to achieve consensus, the

### Support for Operational Activity

Agency shall request the parties in disagreement to document the case for their position and, taking account of the relative merits of the different options shall make a recommendation. The Agency shall document the different positions and the justification for its recommendation in the report that accompanies the final recommendation.

It is the role of the transverse functions of the Agency (Administration etc) to support and facilitate the operational functions in their achievement of the Agency's mission whilst at the same time maintaining compliance with European Community (EC) regulation and internal control requirements. All activities of the Agency will comply with the relevant EC rules and Regulations.

### Internal Quality Control

To ensure quality and consistency all Agency activities covering more than one operational unit's area of expertise involve staff from all the competent units and all recommendations whether or not they involve more than one unit are subject to an internal review by all units before their final sign-off by the Executive Director.

## Budget foreseen for 2011

ERA strategic pillars	TA	CA	SNE	Title 1	Title 2	Title 3	Total budget
<b>I. Operations</b>							
<b>a. Activities</b>							
<b>Safety</b>			4	166 667			5 139 093
	31			3 002 426		1 970 000	
<b>Interoperability</b>	32			3 099 278		1 000 000	4 099 278
<b>ERTMS</b>	14			1 355 934		1 198 000	2 553 934
<b>Economic evaluation</b>	7	1		774 820		520 000	1 294 820
<b>Cross acceptance</b>			2	83 333			2 224 268
	14			1 355 934		785 000	
<b>b. Operational Expenditures</b>				-		2 365 000	2 365 000
<b>II. Management and Administration</b>				-			
<b>Directorate</b>	10	3		1 259 082	84 000		1 343 082
<b>Administration</b>	36	6		4 067 803	2 416 000		6 483 803
<b>General support</b>		5		484 262			484 262
<b>Overall Totals</b>	<b>144</b>	<b>15</b>		<b>15 649 540</b>	<b>2 500 000</b>	<b>7 838 000</b>	<b>25 987 540</b>

# Pillars, Activities

The Agency's 2011 Work Programme is divided in two strategic pillars covering several fields of activity. These are:

## *I. Operations*

## *II. Management and Administration*

# First pillar – Operations

## Introduction

The Agency's operational activities are its *raison d'être*. In carrying out these activities it occupies a unique position as the only meeting place for all the sector actors and has sole responsibility in the context of the functions and powers assigned to it.

Agency activities are of two different natures. In many cases, such as the Drafting of Technical Specifications for Interoperability (TSIs) or the creation of Common Safety Methods, the Agency is tasked with the development of recommendations for secondary legislation. In other cases the Agency's role is of a facilitative nature with the objective of promulgating guidance, disseminating information, experience and best practice or facilitating the convergence of national decision making.

In any given subject area, the overall objective is often most effectively delivered by a mixture of these approaches.

## Safety

The years 2009 and 2010 saw the delivery of most recommendations related to the Railway Safety Directive, 2004 /49/EC with its update through Directive 2008 /110/EC. The activities of the Agency have since then gradually shifted from developing new proposals to the dissemination of these proposals, the monitoring of the application of the measures and to the facilitation of their implementation. The review of the already adopted measures is also an important task. With databases fully operational and an increase in exchange of information between bodies and authorities in the Member States, the activities tend also to be more operational. Stakeholders and the Commission expect that the Agency will provide support and response after important events and when urgent issues arise.

Adoption of the specific measures and the experience from their application have shown a profound need for further alignment of approaches to safety in the member states. The result of the evaluation of the implementation of the Railway Safety Directive, which the Agency carried out at the request of DG MOVE in 2010, indicates substantial divergences. The Agency intends to work with the National Safety Authorities (NSAs) and other stakeholders to create a better common understanding on roles and responsibilities in safety management. A strengthened co-operation between the Agency and

the Network of Safety Authorities to transform the peer reviews in a cross-audit framework may be one of several tools to accelerate an EU approach to safety.

In 2011 the Agency will follow up the action plan on railway safety, endorsed by the safety conference organised by the Commission in 2009. Special attention will be paid to freight train derailments. This will be supported by the study on measures against freight train derailments requested by the European Commission. The establishment of a freight platform investigating long term possible measures preventing freight train derailments will be discussed with the Commission, assisted by the RISC Committee, on the basis of terms of reference which will identify objectives and working methods. Following this discussion, this activity will be launched in accordance with the procedure of Article 21b of the ERA Regulation.

The Agency activities derived from the Railway Safety Directive and the Directive on certification of train drivers are described below according to the sector of the safety unit to which they are allocated.

## Safety Assessment

The Agency will finalise the developments of the roles and responsibilities of assessment bodies and of risk assessment criteria used during explicit risk estimation. The Agency will also analyse the feedback received from the applications of the common safety methods (CSMs) on risk assessment.

These activities will be the main inputs for the report, which the Agency is required, according to Article 9 of the EC regulation on CSM on risk assessment, to deliver to the Commission before the end of 2011.

The development of the second set of CSMs which covers methods to check that, as far as they are not yet covered by TSIs, the structural subsystems of the railway system are operated and maintained in accordance with the relevant essential requirements will continue. This second set of CSMs will develop:

- the methods used by the operators for monitoring their Safety Management System (SMS) as well as the interfaces with other potential actors
- the methods used by the NSAs when supervising SMS application. These methods are developed in close collaboration with the Safety Certification sector of the Safety Unit.

Due to the delay in the adoption of the first set of CSMs and the subsequent delay in the adoption of the mandate for the second set, it will not be possible to deliver the second set according to the deadline in the directive. The Agency will deliver its recommendation for this second set of CSM by the end of 2011.

The safety assessment sector will also participate in the development of safety related issues raised in the development of the other Agency units, for example in relation to the safety essential requirement in the interoperability directive.

#### Safety Certification

The Agency will monitor the implementation of the measures it has recommended for the migration towards a single certificate. To facilitate their implementation, the Agency will continue and even reinforce its activities in supporting the harmonisation of safety management systems and NSA processes for issuing certificates and the post-award supervision regime, by organising dedicated workshops. In addition, a CSM on supervision activities will be developed.

Following the adoption of the Entity In Charge of Maintenance (ECM) certification scheme, the Agency will monitor its implementation and in particular the transitional measures. The necessary register requested by the future ECM will be prepared.

The Agency will also discuss with the Commission, assisted by the RISC Committee, the establishment of an NSA cross auditing framework<sup>1</sup> on the basis of the draft charter. Through the conduct of cross-audits, where mixed teams of NSA and Agency staff would assess the processes put in place by an NSA to fulfil the requirements of the Directives 2004/49/EC, 2007/59/EC and 2008/57/EC, it is expected that the exchange of knowledge and good practice will accelerate the necessary harmonisation of NSA processes and decision making principles. Following this discussion this activity will be launched in accordance with the procedure of Art21b of the ERA Regulation.

In respect of the train driving licences directive, the Agency will launch an internal study on the possibility of using a smartcard, combining the driving licence and the complementary certificate relating to rolling stock and route knowledge. The final recommendation is due in December 2012.

#### Safety Regulation

The Agency will provide assistance to the Member States on questions arising from the notification of national safety rules and evaluate how these rules have been classified. Furthermore, when requested, the Agency will assist the Member States to improve the accessibility of the national safety rules. At the request of the Commission, committees and national regulatory bodies, the Agency will prepare technical opinions and advice. The Agency will continue to

participate in the RID (dangerous goods) committee and also assist the Commission in the evaluation of the implementation of the Railway Safety Directive in national law in the Member States.

#### Safety Reporting

To facilitate the exchange of experience between National Investigation Bodies (NIBs) the Agency will organise and support the network of NIBs in the continuing development of harmonised methods and approaches for accident investigation. During 2011 three plenary sessions will be convened.

The Agency will publish the annual update of the report on safety performance in the EU. From 2011 the data on common safety indicators will be reported according to common definitions by all Member States and Eurostat will have passed over responsibility for data collection to the Agency. The Agency will assure regular information flows to NIBs on key European accident information and trends.

The Agency will continue to actively support Investigation bodies in the investigation of accidents and incidents. During 2011 a cycle of training for accident investigators at a European level will be proposed, supported by a training steering group. Links will be actively maintained with the NSA Network, in particular with respect to the reporting and feedback of safety recommendations.

In line with the EC decision on CSM for common safety targets (CST), the Agency will report to the Commission the results of its assessment of the achievement of the CSTs and national reference values (NRVs) for 2009 by the end of March 2011.

The Agency will deliver in April 2011 its recommendation on the second set of CST which will be based on the experience of the first set of CST.

The further development of the database of accident investigation reports will continue, with the objective of developing a more comprehensive database, with increased 'user friendliness', continuing improvement in information quality and reporting and to facilitate analysis of the database information.

The use and effectiveness of the Safety Information System will continue to be monitored with further development if required.

#### Network of Safety Authorities

The Agency supports the National Safety Authorities (NSAs) in harmonising decision making criteria and exchanging best practices. During 2011 four plenary meetings will be organised to inform and to consult the NSAs about the Agency activities in the field of safety, interoperability, ERTMS and cross-acceptance. The meetings will increasingly encourage a more participative role of the NSA. To this end discussions will be concentrated on shorter lists of key-issues

<sup>1</sup> "Cross-auditing" means in this context a voluntary activity carried out by NSA auditors vis-à-vis their peers under the leadership of an audit committee established by the Network of NSA. The Agency will provide secretariat to the committee and act as audit programme manager.

– which the NSA may suggest – instead on the presentation of ongoing activities of ERA. The exchange of information on practices for certification, authorisation to place in service and inspection methods will continue and be increased.

Besides this networking, the organisation of taskforces for the annual reports, train driver licensing tasks, contact persons for national safety rules and the ERTMS focus group to develop harmonised approaches will continue.

Peer reviews among the NSAs have been carried out on safety certification processes during the last years and were extended in 2010 to include the authorisation processes for placing subsystems in service. These reviews will continue during the first half of 2011 and then be phased out and replaced by cross-audits subject to the procedure mentioned in the “safety certification” section.

The cooperation between NIBs and NSAs shall be strengthened, especially in the use of the safety information system and with the organisation of joint meetings.

## Interoperability Unit

### TSI Development

The Agency is required to produce proposals for new TSIs and to revise already adopted TSIs as identified in the two mandates given by the Commission C(2006) 124-final of 9 February 2006 and C(2007) 3371-final of 13 July 2007 pursuant to Art. 6 of the Interoperability Directive. A third mandate was given on 29th April 2010 by the Commission following the study done in 2009 for the extension of the scope of the TSIs to Off-TEN parts of the network according Art.8 of the Interoperability Directive 2008 / 57 / EC.

The task of revision and extension of the scope of the TSIs will include, where appropriate, the merging of the High Speed and Conventional Rail TSIs, and the inclusion of the requirements of transverse TSIs (Noise, Safety in Railway Tunnels and People with Reduced Mobility) in the TSIs of structural subsystems according to the results of complementary studies to be delivered within 6 months after the notification of the third mandate on interoperability issues.

This activity includes completion of the TSIs that are under preparation or revision:

- Revision of Traffic Operation and Management TSIs, (merging of HS and CR TSIs),
- Revision of Freight wagon TSI (including extension of scope).

A first intermediate report on the revision and extension of scope of the TSIs on Traffic Operation and Management, Locomotives and Passenger Rolling Stock, Infrastructure and Energy as well as on Safety in Railway Tunnels and Persons with Reduced Mobility will be issued by first semester of 2011.

In addition the Agency will deliver by the first semester of 2011 complementary studies on the definition of the limit between the scope of the TSIs and urban transport, on the issue of interchangeable spare parts, and on the opportunity for, and the consequences of specifying requirements concerning the infrastructure part of the energy billing system. The Agency will also initiate a study to define the specifications on LL composite brake blocks so that they may be included in a later revision of the Wagon TSI.

The Agency will deliver by the end of 2011 the final draft of the revised TSI on Telematic Applications for Freight services (TAF). This revision will focus on the extension of the scope while taking into account and clarifying the current Strategic Deployment Plan (SEDP). It may also include measures to help the implementation. Particular attention will be paid to ensure coherence between the TAF TSI and the TSI on Telematic Applications for Passengers services (TAP), and to align the change management procedure of the technical annexes of the TAF TSI with those of the TAP TSI.

The Agency has the charge of:

- Taking part to the group in charge of drafting the SEDP,
- Setting up and manage the Change Control Management (CCM) both for TAP and TAF,
- Providing support to Commission's Task force on Telematics Applications

The Agency will manage the change control process for the TAF and TAP technical annexes and specifications and the configuration control of the reference baselines, ensuring their quality and completeness, and taking particular account of their relevance for safety-critical applications and the imperative to ensure full interoperability. It will organise the appropriate working party.

While revising the TSIs for the extension of the scope including the possibility to merge HS & CR TSIs or to split transverse TSI into other TSIs as a result of the preliminary studies, the remaining open points will be closed wherever possible. Particularly this will include closing of open points for the 1520 mm track gauge system in Infrastructure, Energy and Locomotives and Passenger Rolling Stock TSIs.

In application of the requirements stated in Art. 7.2 of the Noise TSI, the Agency will start in 2010 an activity with the aim to deliver by June 2013 a report and, if needed, a proposal for revising this TSI. A first intermediate report will be delivered by end of 2011.

In addition the Agency will continue the activities related to the “Guide for the Application of TSIs”, the regular updates of the part related to the general provisions of the Directive and dedicated guidance for TSIs already in force including maintenance of the list of applicable standards.

### Technical Coordination

In order to support the development of the TSIs and ensure their

efficient implementation, the Agency will continue to coordinate its TSIs related activities with the European standardisation organisations (ESOs), the notified bodies (NoBos) and the national safety authorities (NSAs). This coordination will keep on providing valuable feedback about the conformity assessment of interoperability constituents and verification procedure for subsystems. In particular, the Agency will assist the Commission in organising and facilitating the cooperation of Notified Bodies as described in article 28.5 of the Interoperability Directive in carrying out the role of technical secretariat of NB Rail.

Furthermore the Agency will continue the peer review activity on the "Placing Into Service" (PITS) process aimed to support the NSAs harmonisation and to establish and reinforce a mutual trust between them.

In addition to this and when requested by the Commission, the Agency will support TSI implementation providing its technical opinions on critical errors, interpretative questions, derogations and refusal of PITS of some vehicle by NSAs.

The Agency will also keep the technical documents related to the TSIs up-to-date.

#### Monitoring and Evaluation of Interoperability

The Agency will continue to publish the biennial report on interoperability progress in the EU. The second report will be issued in June 2011 as a result of collecting all useful data in order to assess the evolution of interoperability in the European Union.

#### Vocational Competences

In regard to the implementation of the Directive on the certification of train drivers by Member States the Agency will continue to support the structured cooperation and exchange among Member States which was initiated in 2009. This platform provides opportunities to exchange also on implementation of common uniform criteria including training and assessment aspects following the recommendation issued by the Agency.

In this context the Agency currently works on recommendations to improve specifications on train driver competence requirements in regard to 'minimum linguistic competence' (Annex VI Dir 2007 / 59 / EC) and to 'general professional competence' (Annex IV Dir 2007 / 59 / EC).

In addition a particular attention will be paid during the revision of TSIs to complement and to amend the requirements related to professional qualifications and health and safety conditions of the staff involved in operation and maintenance of the sub-systems concerned.

#### Registers and Databases

The Agency is in charge of making publicly accessible documents related to the application of the Interoperability Directive. The Agency will continue to update and amend this web based data base.

The Agency is also maintaining the links between all the National Vehicles Registers developed according Art 33 of the Interoperability Directive in providing a European virtual search engine to find information registered when the vehicle is placed into service.

Following the recommendation to be issued in 2010 on Infrastructure Register and the European Register of Authorized Types of Vehicles, the Agency will have to set up the ERATV and develop a web based application to enable stakeholders to obtain information on the types of vehicles authorised in different MSs and facilitate the data exchange between the NSAs. A prototype will be available by mid of year and tested during second semester of 2011 before deployment phase. Tests of the application and deployment phase will be done in 2012.

#### ERTMS Unit

The Agency will exert its role as the system authority for the specifications for the European Rail Traffic Management System (ERTMS) both for the European Train Control System (ETCS) and the European railway radio system – GSMR.

It will manage the change control process for the ERTMS specifications and the configuration control of the reference baselines, ensuring their quality and completeness, and taking particular account of their relevance for safety-critical applications and the imperative to ensure full interoperability. This will include the maintenance of the ETCS version currently in force, and the development and progressive validation of the stable set of specifications for the new ETCS Baseline 3, compatible with the current version of the system.

This latter activity in particular will take into account the results of the relevant test and simulations projects carried out in the frame of the multiannual TEN-T grants program; this will require significant coordination effort with the involved organizations, in particular the ERTMS Users Group and UNISIG.

For the new GSMR Baseline, the Agency will finalise with the sector the definition of the new EIRENE specifications, and the necessary updates to the Morane documents. A significant effort will be required to define the appropriate System Version Management to ensure the backward compatibility and controlled migration to the new Baseline.

The Unit will organise the appropriate working parties for the update of the ERTMS operational rules for the current baseline and the development of the operational rules for the next baselines of ETCS and GSM-R. This will be coordinated with the Interoperability Unit.

The maintenance of the current baseline will be ensured also by the definition and publication of recommended engineering rules to help the testing and acceptance process.

The Agency will continue the examination of the procedures for verification and placing into service of ERTMS, with appropriate Working Parties with Notified Bodies and National Safety Authorities, coordinating the work to assess the effectiveness of the test and certification

processes and deliver the report to the Commission, including, where necessary, the appropriate recommendations for improvements. When examining the placing into service, cooperation and coordination between the ERTMS and Cross Acceptance Unit will be ensured.

The Agency will update as necessary the evaluation of the impact of the Commission Decision of 23 / 4 / 2008 and of the mechanism to be envisaged to facilitate the migration of ETCS projects to full compliance with said Decision, based on the information notified by the Member States.

The Agency will assess the feasibility and define mechanisms for an ETCS onboard test architecture offering the possibility to closely represent the functional scenarios corresponding to specific lines, collecting test sequences drawn up at national/corridor level. In parallel the Agency will outsource the work of compiling the test specifications for the ETCS baseline 3 and validating them with appropriate laboratory tools.

To this effect it will be crucial to coordinate the actions and commitments made by the sector and the Commission in the ERTMS Memorandum of Understanding signed on the 4 / 7 / 2008 which are essential to enable the Agency to deliver according to expectations.

The Unit will evaluate the feasibility of ETCS Level 3 definition and of a suitable solution packet switched carrier for ETCS: no deliverables are expected in 2011.

The Agency will continue the work on the scope extension for the TSI CCS, producing a first intermediate report.

The work on the resolution of the remaining EMC open point will progress in cooperation with the activities on Cross Acceptance, in accordance with the roadmap defined with the sector.

The Agency will, as appropriate, implement the recommendations of the report evaluating the certification process.

The Agency will, at the request of the Commission, make appropriate proposals to foster interoperability of the corridors laid down in Decision 2009/561/EC and make any appropriate recommendation to the TEN-T Executive Agency as regards projects for which an application for Community financial aid has been submitted.

When requested by the Commission, the Agency will provide its technical opinions on derogations.

## Cross Acceptance Unit

The core objective of the cross acceptance unit is to facilitate the mutual recognition of national rules, processes and authorisations particularly those relating to placing in service of vehicles, as a "bridge" until a complete set of TSIs is in place and the railway system conforms to these TSIs.

In November 2009 the list of parameters to be checked in conjunction with the placing into service of non TSI conform vehicles and the

classification of national rules was adopted by the Commission, based upon a recommendation of the Agency. In 2010 the first version of the Reference Document which collates, in a set of National Reference Documents, the various national rules applied by the Member States in respect of the parameters was compiled. In 2011 the data will be transferred into the Cross Acceptance IT database. To enable easy cross referencing of national rules and TSI requirements for each vehicle parameter, the Agency's Cross Acceptance database will, in 2011, be integrated with the European Commission's NOTIF-IT database of national rules which was placed into service mid 2010. Users will be offered a single point of entry for both databases through the Agency's web site.

The majority of national vehicle rules are now contained within the suite of National Reference Documents maintained by the Agency and the task of the Evaluation section of the Unit for 2011 is to work with the NSAs to compare them and establish equivalence. This will be facilitated by a series of bi-lateral meetings and geographically based multilateral meetings with the relevant NSAs and stakeholders (known as "Geographical Interest Groups" (GIGs)). With over 350 parameters and 27 Member States this is not a small task however, each classification of equivalence (category A) of the rules between two Member States will eliminate the need, time and cost of re-checking the parameter at each and every authorisation. The Agency will work with the NSAs and other stakeholders to prioritise the classification of the national rules according to business needs.

With the introduction of the Notif-IT database in 2010 and the requirement to notify technical rules covering the "off-TENs" network the workload for the unit in respect of the publication and evaluation national technical rules is expected to substantially increase. Not only does the Agency Regulation require the Agency to publish all these rules but it is anticipated that the Commission will ask the Agency to review draft National Technical Rules and to ask for technical opinions on specific rules. With greater visibility of rules and the opening of the markets for train operation we expect an increasing number of requests from the Commission for technical opinions in respect of national technical rules that are perceived as an obstacle to vehicle authorisation.

The Agency's study of the different national authorisation processes carried out in 2009-2010 identified that, although they contain the same basic elements, in practice the existing vehicle authorisation processes are significantly different in each Member State and that much needs to be done to migrate from the "homologation" practiced by the former national railway administrations to the process of "authorisation to place into service" carried out by NSAs, Notified Bodies and Designated Bodies described in the recast Interoperability Directive.

The Agency, coordinated by the Cross Acceptance Unit, will continue to offer support to the Commission, Member States, NSAs and sector actors to facilitate a convergence of understanding and a common approach to vehicle authorisation under the auspices of the recast interoperability directive which led in 2010 to the compilation of the "Common Understanding" document (DV29). In 2011 the Agency will assist in the dissemination of this common approach through the

Agency Working Parties, and the Geographical Interest Groups and workshops and seminars as appropriate.

In 2011 the Agency will also start to include in the Reference Document the Member States details of national legal frameworks implementing the authorisation process envisaged by the recast Interoperability Directive.

It is particularly important that for the success of the ERTMS corridors that a common approach is adopted to what is at the moment one of the most expensive and non-mutually recognised parts of vehicle authorisation, the on-board GSM-R and ETCS. The Cross Acceptance, ERTMS and Economic Evaluation units will work in partnership with the Corridor authorities and sector to facilitate and implement the simplification of authorisation envisaged by the directive. This includes making transparent the national requirements for on board ERTMS by publishing them in the Reference Document.

There are also a number of specific Technical subjects such as Electro-Magnetic Compatibility (EMC) and vehicle-track interaction where current national requirements are not very transparent and, although the physics is the same and the equipment is supplied from the same manufacturers, the rules and procedures diverge significantly between Member States. These “difficult” subject areas tend to occur at the vehicle-network interface which was previously specified and managed within a national railway company but is now an “open” interface whose management is shared by all the actors and which must be specified both within TSIs and also in the short-medium term within national rules. In 2011 the Agency will work to foster a common understanding of these technical issues between the different Member States and to encourage a convergence of the national rules and the TSIs covering these subjects by the adoption of such things as common test methods.

In 2009-2010 the Agency developed its approach to research with the relevant actors. Key activities were to define and promote the research necessary to close “open points” in the TSIs, cross acceptance and safety activities whilst at the same time disseminating the European framework of interoperability and safety legislation in order to help align European research activities with the European framework

for the management technical and safety system architecture. This will continue in 2011.

The unit will continue through the year to coordinate the Agency’s strategic agenda and planning processes in the form of an annual and a multi-annual work programme. It will also manage the relationship with the sector actors through the informal Network of Representative Bodies which as a parallel to the Network of National Safety Authorities acts as a focus for discussion of Agency-wide issues with the representative bodies.

### Economic Evaluation Unit

As in the previous years, the Economic Evaluation unit will further support the other operational units in their efforts to provide the most economically efficient recommendations fulfilling the aims of the Directives. This task is far from routine because of a few significant events, among which:

The creation of the cross-acceptance unit, as a response to various requests in the Agency Regulation; this will lead the Economic Evaluation unit to compare the predictability, costs and delays of national acceptance processes with European processes described in the Directives;

The TSI scope extension, the adoption of which will be strongly influenced by economic appraisal, as foreseen in the Interoperability Directive; this strong influence requires in-depth analysis, much beyond the “best alternative” approach that proved sufficient in most cases in the past;

The technical, economic and financial analysis of ERTMS migration, especially with regards to version change, as foreseen in Art. 21 of the Agency Regulation, and in close cooperation with the ERTMS unit and Commission bodies (DG MOVE, TEN executive Agency, European Investment Bank).

Also, and as foreseen long ago, it is clear that the development of the 2nd set of Common Safety Targets will involve economic analysis,



in particular with regards to the side-effects of enhanced safety. A preliminary step, to be initiated in 2011, is the retrospective analysis of the evolution of railway safety and its underlying causes. While it seems obvious that railway safety has improved, so far, at the same pace as societal risk adversity, the mechanisms of this evolution are less clear. Purpose is to better understand the external and internal causes of risk reduction, “technical progress” certainly not being the sole driver.

As the first delivery cycle for TSIs is now complete, the Economic Evaluation unit will introduce ex post assessment of TSIs as a new task, from 2011. The envisaged assessment will be conducted together with other operational units in charge. Priority shall be given to the TSI for passengers with reduced mobility, as it is complex, linked with potentially high economic impacts, with even higher commercial and political relevance.

In order to support the aforementioned tasks in a consistent and efficient way, the Agency will further develop and deploy its economic database project. The database structure defined in 2009 underwent validation in 2010, and will progressively be populated from 2011. Model generation has been prototyped in 2009, following a top-down approach to foster readability. This aspect will have, however, low priority in 2011. Collaboration tools (through the Agency extranet) introduced in 2010 are gaining importance and will be further developed in 2011. The aim is to provide stakeholders with a better overview of the growing number of ERA work streams and their resulting deliverables.

The general methodology for economic evaluation, partly revised in 2010, will be the basis for more comprehensive assessment of interoperability and safety legislation. These efforts will be pursued in close cooperation with the Commission, which manages even more essential pieces of railway legislation such as directive 2001 / 14.

Efforts will be made to identify:

- the effect of TSIs already in force, in conjunction with (hopefully growing) mutual recognition of national rules;
- the joint effect of technical specifications for interoperability, especially if applied in a consistent way to the whole European railway network;
- the resulting shifts in economic balance of the railway sector.

Given the rising diversity of economically relevant subjects, and the limited resources available, particular care will be taken in:

- ensuring that the selection of economic studies is a transparent and well controlled process;
- using qualitative (or semi-quantitative) assessment methods and reports that are robust enough to raise confidence;
- using more thoroughly confidence ranges or sensitivity analyses when quantified results are obtained.

As initiated in 2010, a growing part of economic assessment studies or related investigations will be subcontracted, in order to accelerate complex studies and to increase the substance of our reports. The key aim however remains to ensure that the Commission, the Member States and the railway sector get a clear view of the impact of Agency recommendations, and may adapt their vision according to the insight hopefully provided. For that sake, the formalisation of ‘Economic Evaluation Deliverables’ and their continued publication on the Agency’s Extranet will remain the essential tool. Also, summary assessment reports will routinely be published on the internet website, together with the Agency recommendations they support.

## Second pillar - Administration & Support Services

### Administration Unit

After a period of significant changes including the move into new premises and the introduction of new financial and HR systems, in 2010 the main focus was on consolidation. This process of consolidation will be continued in 2011 with additional emphasis on quality management within the administrative area. The formalisation of rules and procedures will be given extra priority, service levels defined and methods for their monitoring devised.

Important inputs for this process will be the outcome of the regular and specific audits, the input from user groups, a staff survey and the general development of the activities of the Agency. To enable the

required improvement of the quality of the services rendered to the rest of the organisation and its stakeholders, and to do away with certain bottlenecks, additional staff will be needed in 2011.

### Human Resources

The prime asset of the Agency is its highly qualified staff. The recruitment function will continue to be crucial for the success of ERA in 2011. The number of short term staff to leave the Agency will increase and this must also be expected in respect of the general turnover of staff. Additional resources will be allocated to this area to enable the recruitment procedures to be dealt with more quickly and the selection techniques and processes will be developed in light of best practices within other European and international organisations. In

this context the use of psychometric tests will be considered and the introduction of e-recruitment is foreseen.

In terms of existing staff, the planning and support of training activities and their integration in a systematic career development will be given priority. This will also be supported by increased internal mobility and the annual performance appraisal and reclassification procedure which will be guided intensively by the HR Sector. An area which will receive additional attention in 2011 is health and safety.

The management tool e-HR (originally developed by EASA) will be developed further to address ERA's specific needs and additional modules are planned to be launched. It will be constantly and systematically reviewed in order to ensure that all related procedures are properly documented and comply with all legal requirements such as data protection, internal control and risk management.

Particular attention will continue to be given to the involvement of the Staff Committee and the Staff Club in the developments in the HR area.

#### Finance, Accounting and Procurement

In 2011 all outstanding procedures in relation to the use of the financial system ABAC will be reviewed and documented as follow up to the overall validation of the accounting system in 2010. Focus will also be on simplification of the procedures with a view to ensuring a faster processing of commitments and payments. Quality targets and the system of ex -post controls will be developed further Experience with ABAC has shown that the system is considerably more work intensive than the previous system, SI2. Consequently, the present complement of staff is not able to keep up with the workload which has lead to unsatisfactory delays in the processing of financial files.

In 2011, the quality of the management reports will be reviewed in order to optimise the use made of the possibilities provided by the new system.

An effort will be made to strengthen the annual procurement planning which together with an increase of the allocated staff shall ensure a smooth implementation. To facilitate the planning, ABAC Contract will be introduced to support the decentralised contract management.

Note that due to the shortfall under the 2010 budget, investments originally planned in the 2010 budget under Title 2 (renewal of IT equipment, audio-visual equipment for the meeting rooms in Lille and Valenciennes etc.) and Title 3 (essentially further development of the DREAM database and the development of the ERATV register) will be pursued, cancelled or postponed to 2011. In particular the development phase of the ERATV is mainly postponed till 2011. Pending discussions with the experts, the analytical phase gathering requirements will identify exactly required financing for the ERATV project. The project may then be further developed in 2012. The further development of the Economic Evaluation DREAM database will be taken forward in 2011 without the planned investments in 2010. The exact amount of the investments under Title 2 to be postponed from

2010 to 2011 will depend on the final need for funding under Title 1.

#### Information Technology

The implementation of the findings of an Enterprise Architecture Study carried out in 2009 and the results of the IT audit carried out by the Internal Audit Service in 2010 will continue to form the general framework for the activities in 2011.

Within the area of Administrative support the focus will be on consolidation and further development of the new systems put in place in 2009 and 2010. In combination with increased focus on the support services this aims to improve the way the basic functioning of the Agency's activities are facilitated. A general purpose in this context is to promote e-administration. The most important operational projects foreseen for 2011 are the consolidation of the ECVVR, ERADIS systems to reach the required maturity level. The collaboration space in extranet will be further developed to offer enhanced functionalities.

The DREAM project for Economic Evaluation is planned to leave the prototype phase and be ready for the production environment. Additional key projects that will be started are the Vehicle Type Register and the Reference Document Database for Cross Acceptance. The ECCAIRS database for Safety, supporting accident investigation, following the results of 2009 assessment, will see the finalisation of the migration of the accident part of ERA database to ECCAIRS with a taxonomy adapted to Safety needs.

The possibilities of increasing the tools available offsite will be explored with a view to improve the efficiency of the work, while guaranteeing the security of the systems.

#### Premises and facilities

In Valenciennes, the main tasks will be to improve the current logistics services offered for the support of the Agency's business and dealing with the initiatives required to host the Agency's staff. This is likely to include the increase of the capacity of the present headquarters and later possibly the move of part of the organisation to a new site.

Concerning Lille, the Agency will need to review the needs for meeting facilities as the present premises can no longer accommodate certain of the Agency's larger meetings. It remains unclear whether this will require new or additional premises to be rented on a more permanent basis, but in any case the dedicated support for the users of the Lille premises will need to be improved to ensure a proper running of the activities there.

The tasks of the requested additional staff for 2011 for the Administration Unit will be as follows:

- The Administration Officer (TA, AD6) is required to strengthen the work in relation to IT security and business continuity. This activity being vital for the Agency who cannot outsource it. In addition there is an increasing need for support the IT projects directly linked to the Agency's operational activities.



- The Senior Administrative Assistant (TA, AST7) is required to ensure the management of the modern new headquarters in Valenciennes. Furthermore, the jobholder shall enable the Organisation to comply with the applicable legislation on health and safety, just as s/he will be responsible for the formalisation and documentation of all related procedures.
- The very significant number of short term staff employed due to the provisions of the Agency Regulation will lead to a marked increase in the turn-over of staff when the Organisation enters its seventh year of operations in 2011. To ensure that the Agency also under these circumstances will be able to fill its vacancies at a reasonable speed and thereby remain able to achieve its objectives, a Secretary (CA, FG II) for the recruitment function will be required.
- The increase in operational activities over the last years has led to an additional need for logistic and practical support both at the site in Lille and in Valenciennes. For this purpose an additional Administration Support Logistician Agent (CA, FG I) is needed.

## Directorate

The mission of the Directorate is supporting the Executive Director in the discharging of his management responsibility by providing him with assurance on key areas of the internal control system of the Agency. For this aim the Directorate's staff assists the Executive Director in three main areas: communication, legal advice and audit & quality. The legal basis for the establishment of three support services basically resides in Art. 38 (4) of the Financial Regulation of the Agency which inter alia requires the authorizing officer to set up within his/her departments an expertise and advice function designed to help him/her control risks involved in his/her activities.

legally review and horizontally coordinate the agency's tasks from a legal viewpoint.

It will also continue to provide the usual legal and administrative support as secretariat of the Administrative Board and of its Sub-Committee on Financial, Budgetary and Staff related Issues.

The Data Protection Officer will ensure that, in 2011, the Agency be fully compliant with the requirements under Regulation (EC) 45/2001 (in particular, that the register of processing operations be operational and up to date, and that the processing operations likely to present specific risks have been notified to and approved by the EDPS).

## Communication Office

The Communication Office provides the tools needed by the Agency Staff to present their activities to the outside world and to strengthen the Agency's image. It is also assisting the internal communication processes.

In 2011 the Communication Office will continue its activities, producing publications, organizing events and exhibitions, manage the website, answer requests, monitoring the media and maintaining contacts with the specialized and general press.

## Audit & Quality Office

In 2011 the Office will continue to provide assurance and advisories services as regards the design and functioning of the internal control system of the Agency.

In particular, assurance services shall be provided in a risk-based modality and in close coordination with the Internal Audit Service of the European Commission in order to avoid overlapping and optimizing the overall use of auditing resources for the agency. In this regard, ex-post transaction checks are also envisaged aimed at providing additional assurance on validation of user rights in ABAC and on the effective implementation of sensitive posts policy at the Agency.

## Legal Entity

The Legal Entity will continue to provide independent legal advice to the Executive Director, to legally assist operational and administration units to improve the legal quality of the acts produced under the foundational Regulation and the 2011 Work Programme and to

Advisory services will mainly focus on: 1) helping the agency in consolidating its risk management framework and, 2) promoting and facilitating the establishment of a quality management system within the agency.

# Table of Activities by task

## Safety Unit

Work	Legal Basis	Of
<b>Certification</b>		
Evaluate the development of safety certification - follow up of the migration towards a single Community safety certificate.	Art. 10.7 Art.9.2	SD AR
Development of guidelines/methods on NSA processes	Art. 6(3)(b) Art.21	SD AR
Dissemination of Guidelines on NSA processes	Art. 6(3)(b) Art.9	SD AR
Dissemination of Guidelines on set-up and implementation of safety management systems for RUs, IMs and ECMs	Mandate under Art. 6(3)(b)	SD
ECM certification -follow up of implementation and transitional measures	Art,14a (5)	SD
Cross auditing activities among the NSAs supported by the Agency	Art.6 Art 21b	AR
Development of an accreditation scheme for railway activities	Art. 17	SD
Investigation of connectivity of registers for drivers licences and complementary certificates	Art. 6, 16a Art 6, 14a	AR
Preparation of a draft for the technical and operating specifications for train driver smartcard, supported by a study contract	Art. 3	SD
<b>Regulation</b>		
At request of the EC, carry out a technical examination of new national safety rules and at request of the National Regulatory Bodies and the DER Committee examine safety related aspects	Art. 9A, 10 and 21b	AR
At request of the EC, the Agency will examine the transposition of the Railway Safety Directive into the national legislation of the Member States	Art 21b	AR
At request of the EC, the Agency will participate in the international committees on the transport of dangerous goods (RID).	Art 6(2)	AR
Promote accessibility of national safety rules	Art 19 1 (f)/ Art 8	AR/SD
<b>Reporting</b>		
Agency report on the assessment of achievement of NRVs and CSTs	Art 4	EC Decision on CSM for CST

Overall Objective	Timing	Output in 2011	Unit Staff
			7 TA, 2 SNE
Support the introduction of a single certificate combining European validity and network wide validity.	Dec 2012	(preliminary) report to the Commission	
Support the harmonisation of NSA processes.	Dec 2011	study on enforcement powers for safety regulation / study on academic research on regulatory activities	
Support the harmonisation of NSA processes.	2011-2012	workshops	
Support the harmonisation of safety management systems through a sector-wide approach.	2011-2012	workshops / study on academic research on SMS processes	
Review the ECM certification scheme, in order to include all vehicles and to up-date, if necessary, the certification system applicable to freight wagons.	2018	Dissemination activities Register preparation	
Support the harmonisation of NSA processes and decision making principles	Dec 2011	Cross audit programme and manual - start up of pilot phase during the second half of the year / study for development of auditor training. Activity report to the Commission.	
Support interest of Accreditation Bodies in railway activities, through co-operation with EA	Dec 2012	Memorandum of understanding with EA	
Facilitating the exchange of information concerning licences and complementary certificates	Report 2011 or 2012	study on interoperability of registers/ (preliminary) report to the Commission	
Facilitating the use of smartcards combining the licence and certificates provided for in Article 4 of Directive 2007/59/EC	Dec 2012	study on Smartcard/ Report with preliminary analysis	
			6 TA
Prevention of further diversity of rules concerning TSIs, CSTs and CSMs and examination of other safety related aspects.	Report within two months of the request	Technical opinions/advice to the EC, National Regulatory bodies and the DER Committee and advice to the EC	
Assist the EC to monitor the implementation of the Railway Safety Directive into national law in the MS	ongoing	Report to the EC	
Assist the EC to monitor if the RID is consistent with EU railway legislation	ongoing	Recommendation/advice to the EC	
To provide a basis for the evaluation of the rules by the Agency and the monitoring of the rules by the Commission, including assistance to the MS	ongoing	Evaluation of rules and proposals for measures to improve safety regulation and accessibility	
			8 TA, 1 SNE
According to the EC decision on CSM for CST, the Agency shall annually report to the Commission the results of its assessment of the achievement of the CSTs for 2009 and NVRs	March 2011	Report to EC	

Work	Legal Basis	Of
Development of the 2nd set of CST	Art 7 (3)	SD
Report On Safety Performance of Member States	Art 9.2	AR
Monitoring and development of data quality for Common Safety Indicators	Art 9.1	AR
Cooperation and coordination of NIBs, supported by seminar and training activities	Art 21.7	SD
Support to Network of Investigation Bodies (NIB)	Art, 21(5)	SD
Co-operation with Eurostat	Art 9.3	AR
Collection and evaluation of accidents reported by NIBs to the Agency	Art. 19 and Art. 24	SD
Keep a public database on safety related documents	Art 19 1 (c)	AR
Link together activities related to level crossing safety	Art. 6, 9	AR
Study on measure against train derailment	Art, 21	AR
Assessment		
Development of the revision of the EC regulation on the 1st set of CSM	Art 9 (4)	EC regulation on the 1st set of CSM
Development of the 2nd set of CSM, including a study contract on monitoring practices	Art 6 (3)	SD

Overall Objective	Timing	Output in 2011	Unit Staff
Development of the 2nd set of CST based on the experience of the 1st set of CST	April 2011	Report to EC via the 2011 progress report	
Measurement and presentation of railway safety performances reached in MS	Every two years	Publication of biennial report on railway safety performance in the EU Annual update of the safety report	
Follow up to the implementation of ANNEX 1 recommendation for the harmonisation of CSIs of Directive 2004/49/EC	Recommendation Sept-08	Follow-up of the implementation of the new Annex I	
Facilitating the exchange of views and experiences of Accident Investigation Bodies by organisation of a network and network meetings. Training of investigators	ongoing	Report to EC via the 2011 activity report. Training courses	
At the request of NIB, provide expertise and support to investigation	on going	Report to EC	
Co-operation with Eurostat to avoid any duplication of work and to ensure methodological consistency between the common safety indicators and the indicators used in other modes of transport	ongoing	Co-operation with EUROSTAT through regular meetings, including training of Agency staff	
Facilitating the exchange of information between accident investigation bodies, MS and stakeholders to improve railway safety performances in MS by analysis and dissemination of "Lessons learned from accidents"	ongoing	Analysis and evaluation of accident reports and safety recommendations elaborated by NIBs, Support NIBs in accordance to Art. 21 (5) of Directive 2004/49/EC by accident investigation or elaboration of safety recommendations	
Improve transparency and exchange of information	ongoing	Database already available; regular reviews and updates, in particular concerning accident causation taxonomy (subject to study contract)	
Level crossing safety is one of the major risk areas for the railways. The objective is to create a group where regulatory aspects and exchange of best practices can be considered	ongoing	Improved co-ordination in reports to the EC, inputs to CST, TSI, etc.	
Assessment of existing technical and operational measures against freight train derailments Update of the Derailment Detection Device study	2012	Update of the recommendation and impact assessment	
			5 TA
Agency report on the revision of the first set of CSM taking into account <ul style="list-style-type: none"> <li>an analysis of the experience gained by the proposers with their first applications</li> <li>an analysis of the experience of the proposers for their decisions on the significance of the changes</li> <li>the uses of codes of practices within the CSM process</li> <li>the overall effectiveness of the CSM process</li> <li>the development on the risk acceptance criteria and the assessment bodies</li> </ul>	December 2011 April 2012	Report to EC Study on detailed training tools for risk assessment Study on risk acceptance criteria for operational issues Recommendation to EC	
Development of the 2nd set of CSM according to mandate 04/49 MA05 asking to develop common safety methods used by the different actors of the railway sector for checking conformity of operation and maintenance of structural subsystems with relevant essential requirements	December 2011	Recommendation to EC	

Work	Legal Basis	Of
<b>Horizontal Activities</b>		
Other measures in the field of safety	Art 6.2	AR
Transitional Measures	Art 6.3	AR
Cooperation between NSAs and NIBs	Art 6.5	AR
Establishing a Network with NSA in accordance to Art. 17 of Directive 2004/49/EC Survey of NSA activities	Art. 9 Art, 17(4)	AR
Organisation of a freight platform	Action plan, Art. 6(2) 21b	AR
Support to candidate countries through an instrument for pre-accession (IPA)	Art. 1	AR
<b>Total for Safety Unit</b>		

## Interoperability Unit

Work	Legal Basis	Of
<b>TSIs Development</b>		
Infrastructure (INF)	Art 12	AR, FM, EM
Energy (ENE)	Art 12	AR, FM, EM
Passenger Carriages & Traction Units (LOC&PAS)	Art 12	AR, FM, EM
Telematic Applications for Passengers (TAP)	Art 12	AR, FM, EM

Overall Objective	Timing	Output in 2011	Unit Staff
			5 TA, and 1 SNE
Clarification of items concerning safety which are not covered by the four sectors of the Safety Unit	ongoing	Recommendations to the Commission, if appropriate	
Recommendations to the Commission for the transitional period preceding adoption of CSTs and CSMs and technical specifications for interoperability	ongoing	Recommendations to the Commission, if appropriate	
Facilitate the exchange and harmonisation of information, experiences and methods used between NSAs and NIBs	ongoing	Organisation of common meetings with NSAs and NIBs and a safety conference with all stakeholders	
Facilitate the exchange and harmonisation of information, experiences and methods used among NSAs Supporting the harmonisation of decision making criteria in accordance to Article 17 of Directive 2004/49/EC	ongoing	Support to the network and organisation of network meetings Report to EC	
Freight train derailments is major safety issue and cause disturbances in rail traffic. The platform will supervise activities to prevent and mitigate derailments, including follow-up of the results of the Task Force on freight wagon maintenance	until 2015	Workshops, reports, recommendations to EC	
Facilitate the integration of authorities and bodies in candidate countries in the work of the Agency and prepare them for accession	November 2011	Organisation of seminars, traineeships and training courses	
			31 TA, 4 SNE,

Overall Objective	Timing	Output in 2011	Unit Staff
Technical support for implementation of rail interoperability			18
Definition of an optimal level of technical harmonisation of the European railways to facilitate, improve and develop international rail transport services within the EU, and contribute to the interoperability of the rail system as well as creation of the internal market for railway products and services.	April 2011	Revision for extension of the geographical scope, closing of open points (incl. 1520 track gauge system), Intermediate report	
	April 2011	Revision for extension of the geographical scope, closing of open points (incl. 1520 track gauge system), Intermediate report	
	April 2011	Revision for extension of the geographical scope, closing of open points (incl. 1520 track gauge system), Intermediate report	
	From beginning 2011	Change Management procedures for updating Technical Annexes	

Work	Legal Basis	Of
Telematic Applications for Freight (TAF)	Art 12	AR, FM, EM
Freight wagons (WAG)	Art 12 (b) Art 2.1	AR, FM, EM
Operation (OPE)	Art 12 (b) Art 2.1	AR, FM, EM
Noise (NOI)	Art 12 (b) Art 2.1	AR, FM, EM
Persons with reduced mobility (PRM)	Art 12 (b) Art 2.1	AR, FM, EM
Safety in Railway Tunnels (SRT)	Art 12 (b) Art 2.1	AR, FM, EM
General for All TSIs	Art 12 (b) Art 2.1	AR, FM, EM
<b>Coordination of TSIs</b>		
Coordination with ESOs	Art. 4.2	Mandate 2006
Coordination with NB Rail	Art 12 (d)	AR
TSI Implementation Guide	Art 2.3.1	FM
General support on TSI implementation (IQ, Minor errors, Opinion on SA refusal PITS)	Art s2.2.2/2.3.4	FM
Coordination with NSAs	Art. 6.5	AR
Evaluation of Derogations	2.3.2	FM
<b>Monitoring</b>		
Monitor the quality of the work of NoBos and check Nobos to ensure criteria (An VII of ID) are met	Art 13	AR
Report on Interoperability	Art 14.2	AR
Promote Interoperability (innovations, procedures for implementation, assist the Commission)	Art 21	AR
Examination on Interoperability Projects	Art 15	AR

Overall Objective	Timing	Output in 2011	Unit Staff
Definition of an optimal level of technical harmonisation of the European railways to facilitate, improve and develop international rail transport services within the EU, and contribute to the interoperability of the rail system as well as creation of the internal market for railway products and services.	April 2011 Oct, 2011	Revision of TAF TSI including extension of scope and update of SEDP, Preliminary draft, Final draft	
	April 2011	Revision of the CR TSIs including extension of the scope, Final draft	
	April 2011	Revision of HR & CRTSIs including merging, Final draft	
	December 2011	Revision for a second step approach of noise reduction including infrastructure into the scope, Intermediate report	
	April 2011	Revision with a view of extension of scope, Intermediate report	
	April 2011	Revision with a view of extension of scope, Intermediate report	
	October 2011	Report on limit between scope of TSIs and urban transport, Report on billing system for energy consumption, Report on spare parts	
			7
Alignment of the work of ERA and Standardisation Bodies	Ongoing	Requests for Standards when necessary	
Assist the Commission by organising and facilitating cooperation of Notified Bodies	Ongoing	Regular coordination meetings and strategic meeting + Subgroups	
Assistance to the MS and all stake holders in application of TSIs, guidance on using the TSIs and in particular references to European standards	Ongoing	Update of the general guide Specific guides for adopted TSIs Update of lists of standards	
Assist the EC with technical expertise on Interpretive Questions and errors to assess their impact and to suggest possible solutions.	Ongoing	Opinions on request from the Commission	
Organisation and facilitation of cooperation between NSAs in respect of TSI and Interoperability	Ongoing	Regular meetings of the NSA Network and task force (interoperability issues), peer reviews	
Assist the EC with technical expertise to evaluate national derogations. Avoid unnecessary divergence from TSIs	Ongoing	Opinions on request from the Commission	
			2
Ensuring quality and consistency of the work of Notified Bodies	Ongoing	Opinions on request from the Commission	
Identify indicators to measure interoperability progress. Understanding of progress towards the objectives	June 2011	Second report on Interoperability progress	
As specified by the Commission	On request	Delivery of the requested outputs	
Ensuring that the projects (in particular co-financed by the EC) are in line with the interoperability principles. Avoid unnecessary divergence from TSIs	On request	Report as request by the Commission	

Work	Legal Basis	Of
<b>Vocational Competences</b>		
Community criteria on the choice of examiners and examinations	Art 16 b - 1 (c) Art 25	AR DL
System for accreditation of training centres	Art 17.2	AR
Assisting to the cooperation amongst Member States in the implementation of the Train Drivers Directive.	Art 16 b - 1 (f)  Art. 35	AR DL
On request to carry out cost/benefit analysis on application of Train Driver Directive in regard to drivers operating exclusively on the territory of the requesting Member State.	Art 16 b - 1 (g)+(h)	AR
Recommendation on specifying common criteria in regard to vocational competencies and assessment of staff involved in operation and maintenance to ammend non-essential elements of Annexes of Direcitve 2007/59	Art 17,1  Art 23.3	AR DL
Amendment of chapter 4.6 on Professional qualifications and of chapter 4,7 on Health and safety conditions in the process of revising the TSIs	Art. 5g	ID
<b>Databases and Registers</b>		
European Register of Authorised Types of Vehicle	Art 34 of 2008/57/EC	ID
Register of Infrastructure	Art 35 of 2008/57/EC	ID
Vehicle Keeper Marking(VKM) register	Art. 19.1 (k)	AR
Setting up of the Database of Interoperability and Safety Documents (ERADIS) (including ECVVR, VKM)	Art 19	AR
<b>Total for Interoperability Unit</b>		

Overall Objective	Timing	Output in 2011	Unit Staff
			2
Supporting Member States in regard to their task of choosing examiners and examinations.	Ongoing	Support to NSAs and monitoring of implementation	
Facilitate the mutual recognition of training services in the context of train driver	Ongoing	Support to NSAs and monitoring of implementation	
Facilitate and improve the implementation process on national level by coordinating common understanding regarding Directive provisions and by providing opportunity to meet and exchange experiences.	Ongoing	4 meetings/year	
Provide structured and reliable figures and information on the effects of implementation in order to allow the Commission to take decisions on the Member States requests in a transparent and comprehensible way	Ongoing	Report at the request of the Commission	
Contribute to interoperability and safety of the railway system by providing common criteria where needed or appropriate	June 2011 June 2011	Recommendation on amendment Annex VI of Directive 2007/59 on minimum linguistic competence requirements for drivers Recommendation on amendment of Annex IV of Directive 2007/59 on general professional competence requirements for drivers	
Specification for the staff concerned, of the professional qualifications and health and safety conditions at work required for the operation and maintenance	deadline of revision of TSIs	report and deliverable of the related TSIs	
			3
Enabling the stakeholders to obtain the information on the types of vehicles authorised in different MSs, facilitating the data exchange between the NSAs	prototype by mid 2011 tests & deployment 2012	Development of a web based software to collect data of types	
Establishing compatibility with rolling stock Establishing progress with establishment of TSI compliant Infrastructure Specification	tests & deployment	Support to IMs and monitoring of implementation	
The register of vehicle keeper markings kept by the Agency in accordance with the TSI on operation and traffic management ensures uniqueness of the vehicle keeper markings	Ongoing	Publication of updated VKMs on first Wednesday of each month (except August)	
Collect and publish on the Agency's website railway interoperability related documents: EC declarations of verification of subsystems, EC declarations of conformity of constituent, EC Declaration of suitability for use of constituent, Authorisations for putting into service concerning fixed installations.	Ongoing	Ongoing update of the databases	
			32

# ERTMS Unit

Work	Legal Basis	Of
Update the ERTMS specifications	Art 21 a 1	AR
Set up a procedure for (ERTMS) change management and a register for changes	Art 21 a 2	AR
Develop a Version Management Strategy;	Art 21a 4	AR
Assess the costs and migration mechanisms for early implementations before Commission Decision of 23/4/2008	Art 21a 4	AR
Set up NoBo WG and NSA Cooperation to evaluate Verification and Authorisation. Recommend appropriate measures to the Commission in the case of risk of incompatibilities between networks and vehicles, implement recommended actions	Art 21a 5	AR
CCS TSI		Mandate
Support the EC to develop EU deployment plan and coordinating ERTMS installation along corridors. Support for other units	Art 21a 3	AR
Evaluate and follow up ERTMS certification	Art 21a 7	AR
Organise and coordinate the compilation of ETCS system Test specifications	Art 21a 7	AR
<b>Total for unit ERTMS</b>		

Overall Objective	Timing	Output in 2011	Unit Staff
Write, review and validate the necessary specification documents for ETCS and GSM-R, with the required level of quality, using the resources available internally, external consultants and the sector contribution	2012	December 2011: third draft of SRS 300; second draft of Operational Rules; third draft of DMI specifications; other lower level interface specifications updated	4,5
Definition of Change Control Management (CCM) procedure, agreement and enforcement of the procedure with the sector; Design, update and populate the Change Request database; In addition, writing and revision of the specification document	ongoing	ongoing: CR Database in operation; update of Agency Document if necessary;	1
Validate with sector the technical mechanism; define the operational constraints for ETCS and separately for GSM-R	ongoing	Validation of SVM specifications for ETCS based on results of TEN-T program; validation of SVM for GSM-R	1
Based on notification from MS, based on inputs from IM as required in the new ERTMS MoU, ERA will take stock of the costs claimed by early implementers and review the possible technical migration mechanisms . ERA will support the Commission to identify possible financial mechanisms to support migration.	No deadline in Regulation	Dec. 2011: assessment report to the Commission based on available notifications	1
Survey the application of EC verification and of authorisation to place into service with NoBos and NSA. The analysis of procedures for authorisation to service will be joint with Cross Acceptance (authorisation for vehicles compliant with TSI vs vehicles compliant with NNTR)	ongoing	second half 2011: Report to the Commission on the procedures; If necessary Recommendations in case of incompatibilities or non-equivalence of ERTMS related NNTRS	1
Extension of the scope; technical opinions to the Commission on critical errors; EMC WG to continue definition of target system	ongoing	December intermediate report	1,5
Survey of implementation versions, support on request		On demand support	0,5
Evaluate test and certification procedures, in particular the role and organisation of test laboratories and test centres	ongoing	Update the Report to the Commission with recommendation for improvement	1,5
Write the terms of reference, procure and manage the external contract	Dec 2011	Launch contract 1st quarter; set of specifications, validation report, acceptance from existing laboratories for December	2
			14

# Cross Acceptance Unit

Work	Legal Basis	Of
Agency Strategy, long term plan, work programme and annual report	Art 25 2	AR
Coordinate the Agency's approach to research	Art 6.2 Art 26 Art 12 (b) & (c)	ID SD IR
Coordinate the Agency's relationships with stakeholders	Art 3	AR
Maintain the list of parameters in Section 1 of Annex VII to the directive and make recommendations for updates if required	Art 9b 2 Art 27 2	AR ID
Facilitate the harmonisation of decision making in respect of national rules and autorisation processes related to placing vehicles and vehicle related subsystems into service.	Art 17.4 Art 9 b 3 Art 21a 5,6,7 Art 27 3	SD AR AR ID
Draft Reference Document cross referencing national rules for placing vehs in service and update thereof	Art 9 b 3 Art 27 3	AR ID
Evaluation of national vehicle rules	Art 9 b 3 Art 27 3	AR ID
Publishing National Technical Rules	Art 17	ID
Evaluation of National Technical Rules	Art 2,3,4 Art 9a	FM AR
Investigation into the obstacles to and opportunities for mutual recognition of national rules	Art 9 b 3 Art 27 3	AR ID
When called upon by an NSA or the commission provide opinions on the equivalence of national rules	Art 10.2 (a)	AR
Provide an opinion when called by the competent appeal body referred to in Art 21 (10) of interop directive in the case of an SA refusal to authorise PITS	Art 10 2 (b)	AR
<b>Total for Cross Acceptance Unit</b>		

Overall Objective	Timing	Output in 2011	Unit Staff
Plan and review the Activities of the Agency and the Unit	ongoing	Maintenance strategy and Agency long term plan, 2012 work Programme and 2010 Annual Report	
Facilitate alignment between the research needs of the Agency and research carried out by the bodies commissioning research to enable the Agency's recommendations to take account of scientific and technical progress and market trends. Coordination of Agency involvement in research activity	ongoing	Internal reviews of Agency research needs and of the impact of sector research on Agency recommendations. Regular meetings of the Agency Research Steering Group	
Overview review the activities of the Agency with stakeholders. Manage the Network of Representative Bodies	ongoing	Regular meetings	
Ensure consistency between the parameters checked for TSI conform and non TSI conform vehicles. Review and update the list as necessary (eg when new TSI is published or when appropriate to facilitate greater recognition of equivalence)	ongoing	Update of list of parameters as required	
Ongoing facilitation of the exchange of views and experience for the purpose of harmonising Member State decision-making criteria in respect of the authorisation processes and requirements in national rules relating to the vehicle parameters to be checked including those involving on board ERTMS (with ERTMS unit)	Ongoing	Working party and sub-group meetings. Review of Member State's processes and legal framework for vehicle authorisation (including processes to be adopted for corridors). Documentation of the legal frameworks in the Reference Document	
Implement and maintain the Reference Document and associated database	Ongoing	Implementation of the new database and the link to Notif-IT	
Establish equivalence between national vehicle rules to facilitate mutual recognition of rules and authorisations	Ongoing	Arrange and attend meetings to evaluate the equivalence of national vehicle rules. Entry of national rules into the Reference Document: A,C categorisation of the rules according to equivalence	
Assist the Commission with the specification, development of the Notif-IT database for national Technical Rules and National Vehicle Rules. Publish national Technical Rules	Ongoing	Assist the Commission in development of the NOTIF-IT database. Training MS and NSAs in the introduction of national vehicle rules into the Notif-IT database	
Evaluation of NTRs notifications	Ongoing	Evaluate new rules as agreed with the Commission	
Study the underpinning technical basis for the different national requirements in national technical rules and facilitate convergence (eg by defining common test specifications)	Ongoing	Study and Recommendations for Common National Technical Rules	
Facilitate mutual recognition of national rules related to vehicles and their authorisation	2 months	As required	
Technical opinion to facilitate appeals	2 months	As required	
			14+2SNE

# Economic Evaluation

Work	Legal Basis
Evaluation of Agency recommendations	ID Art 6, 8    SD Art 7
Opinions in the context of projects or corridors, incl. ERTMS migration	AR Art 21
Methodology and data management	Support to the above
Studies	Support to the above
<b>Total for Economic Evaluation</b>	

# Administration

Work	Overall Objective
Maintain and further improve the management of the Agency's human resources	<ul style="list-style-type: none"> <li>• The timely recruitment of all staff required</li> <li>• Proactive support in the field of training and increased emphasis on training provided by internal staff</li> <li>• Completion of outstanding implementing rules and further documentation of internal procedures</li> <li>• More proactive support in relation to recruitments, staff appraisal etc. with a view to ensure consistency throughout the organisation</li> </ul>
Maintain and further improve the financial management throughout the financial cycle from planning and budget preparation to the production of the annual accounts	<ul style="list-style-type: none"> <li>• Promote the principle of sound financial management within ERA and more particularly</li> <li>• reduce the time needed for processing financial files</li> <li>• improve the management reporting</li> <li>• introduce ex post controls</li> <li>• proceed with the documentation of internal procedures and validation of the financial system</li> <li>• improve the procurement function in relation to planning and contract management</li> </ul>
Maintain and further improve the support in the field of information and communication technologies in relation to operational projects, infrastructure and administrative applications	<ul style="list-style-type: none"> <li>• Support the setting up of new registers and databases for the operational units</li> <li>• Enhance the extranet to facilitate the co-operation with experts from the sector</li> <li>• Support the use and further development of IT solutions in support of administrative functions</li> <li>• enhance IT security and business continuity</li> <li>• Proceed with the establishment and documentation of rules and procedures</li> </ul>

Overall Objective	Output in 2011	Unit Staff
Provide an impact assessment for each Agency recommendation to support decision-making (internal and external)	Applied methodologies and assessment reports	
Provide assistance to the Commission, upon request, in evaluating economic rationale leading to requests for derogations or for EU funds	Reports delivered to Commission, or participation to works of the Commission, or assistance to ERTMS unit	
Ensure transparency of works and create confidence by sharing methodology, methods, data and results with all concerned stakeholders (within the boundaries of confidentiality rules generally established for, or by the Agency)	General methodology updates, questionnaire management, setup of DREAM database	
In view of ex post evaluation of PRM TSI ; historical evolution of safety performance and underlying factors ; various studies related to scope extension	Intermediate or final reports on said studies	
		8

Output in 2011	Unit Staff
<ul style="list-style-type: none"> <li>• All staff foreseen in the establishment plan will be in place (if available)</li> <li>• All relevant implementing rules adopted</li> <li>• The number of internal trainings significant increased</li> <li>• The new HR management tool developed further</li> </ul>	
<ul style="list-style-type: none"> <li>• ABAC Contracts and Assets implemented</li> <li>• Review and documentation of procedures (including validation of the financial system)</li> <li>• Improved management reporting</li> <li>• Ex post controls introduced</li> </ul>	
<ul style="list-style-type: none"> <li>• The Virtual Vehicle Register and Safety, interoperability and DREAM databases in place and maintained</li> <li>• HR management, finance and procurement management tools consolidated and developed further</li> </ul>	

Work	Overall Objective
Maintain and further improve the physical working environment and the logistic support throughout the Agency	<ul style="list-style-type: none"> <li>• Deal with outstanding issues in relation to the new headquarters in Valenciennes and prepare for an increase of capacity on or off site</li> <li>• Improve the logistical support for the users of the facilities in Lille in order to facilitate the work in Lille and reduce the negative effects of the double seat</li> <li>• Further the work with user groups concerning the two sites of the Agency</li> <li>• Proceed with the documentation of internal procedures</li> </ul>
<b>Total for Administration</b>	

## Directorate - Communication Office

Work	Overall Objective
Publication of reports and other documentation	<p>The Communication Office provides the tools needed by the Agency Staff to present their activities to the outside world and to strengthen the Agency's image. It is also assisting the internal communication processes.</p> <p>In 2011 the Communication Office will continue its activities, producing publications, organizing events and exhibitions, manage the website, answer requests, monitoring the media and maintaining contacts with the specialized and general press.</p>
Conference support	
Agency presentation during exhibitions	
Purchase of promotional material	
Design services	
Media monitoring services	
Managing the Agency public website	
<b>Total for Entity</b>	

## Directorate Legal Entity

Work	Legal Basis
Legal Opinions and Legal Assistance	Reg 881/2004
Secretariat of the Administrative Board	Art 25 Reg 881/2004 and Art 15 of the Rules of Procedure of the AB
Performing the tasks of DPO under Reg 45/2001 (to ensure protection of personal data at ERA)	Art 24 of Reg 45/2001
<b>Total for Entity</b>	

Output in 2011	Unit Staff
<ul style="list-style-type: none"> <li>• The new headquarters will be fully operational</li> <li>• Increased need for meeting facilities in Lille accommodated</li> </ul>	
	42

Timing	Output in 2011	Unit Staff
ongoing	on a continual basis reports and brochures are published - the Agency video will be updated	
ongoing	preparation of conferences with e.g. Visual material will be continued	
ongoing	at least one major event per year shall enhance the visibility of the Agency in the sector	
ongoing	stock of promo material has to be sustained to support events	
ongoing	a design service contract ensures the Agency's needs for designing reports and promotional material	
ongoing	a contractor should provide media monitoring services	
ongoing	custom developments to enhance usability of the website	
		3

Overall Objective	Timing	Output in 2011	Unit Staff
To provide independent legal advice to the Executive Director, to legally assist operational and administration units to improve the legal quality of the acts produced under the foundational Regulation and to legally review and horizontally coordinate the agency's tasks from a legal viewpoint. Where necessary, consultation of external legal counsel (advice in legal matters and/or assistance during litigation, etc).	Permanent Task		
Providing legal and administrative support to the Administrative Board (incl Budgetary Sub-Committee)	Regular Task		
To ensure full compliance with Reg 45/2001	Permanent Task	Report to DPS	
			4

# Directorate Audit & Quality Office

Work	Legal Basis	Overall Objective
Issuing of independent opinion on the adequateness of the internal control system of the agency and recommendations for mitigating risk exposure to an acceptable level.	FR Art. 38 (4)	Providing the Executive Director with assurance on the effectiveness of the internal control system of the Agency and promoting the culture of continuous improvement
Advice on internal control system design and development	FR Art. 38 (4)	Providing the Executive Director with assurance on the effectiveness of the internal control system of the Agency and promoting the culture of continuous improvement
Assessment of implementation of Internal Control Standards	FR Art. 38 (4), ICS N°15	Providing the Executive Director with assurance on the effectiveness of the internal control system of the Agency and promoting the culture of continuous improvement
Support in establishing an Enterprise Risk Management framework	FR Art. 38 (4)	Providing the Executive Director with assurance on the effectiveness of the internal control system of the Agency and promoting the culture of continuous improvement
Advice on the establishment of a quality management system	FR Art. 38 (4)	Providing the Executive Director with assurance on the effectiveness of the internal control system of the Agency and promoting the culture of continuous improvement supported by a consultancy contract.
<b>Director</b>		
<b>General Support</b>		
<b>Total</b>		

Timing	Output in 2011	Unit Staff
1 per semester	Audit reports and follow-ups (2), ex-post transaction checks (auditor)	
on-going	On-going advice to AO and AODs on the development of key components of the internal control system of the Agency.	
last quarter	Annual assessment on the ICS implementation (quality officer)	
last quarter	Updating and monitoring of risk register, risk management assessment	
on-going	Execution of quality project; main outputs: process mapping, quality manual and activities to improve stakeholder satisfaction	
		2
		4
		5
		159 + 6 SNE

# Annex I Procurements foreseen for 2011

Unit	Name of responsible official	Type of contract
Safety	T. Breyne	Direct Contracts to be signed under Chapter 30
Safety	T. Breyne	
Safety	A. Patacchini	
Safety	E. Douvi	
Safety	L. McDaid	
Safety	A. Patacchini	
Safety	L. McDaid	
Safety	A. Patacchini	
Safety	J. Rajan	
Safety	J. Rajan	
ERTMS	P. Guido	

## Sub-total (chapter 30)

Admin	E. Tramacere	Framework Contracts for a 4 years period
Admin	E. Tramacere	
Admin	E. Tramacere	
Admin	E. Tramacere	
Admin	E. Tramacere	
Admin	E. Tramacere	
Admin	E. Tramacere	
Admin	L. Colucci	
Admin	L. Colucci	
Admin	L. Colucci	
Directorate	A. Romano	

## Sub-total (administrative expenditures)

## TOTAL VALUE OF CONTRACTS

Estimate amount	Object/description of the tender	Expected starting date of the contract
100.000,00 €	Detailed training tools for the risk assessment	Q2-2011
120.000,00 €	RAC for operational issues	Q1-2011
120.000,00 €	SmartCard -feasibility study	Q1-2011
120.000,00 €	Development and delivery of training for the cross-audit framework	Q1-2011
60.000,00 €	Benchmark study - enforcement powers for safety regulation	Q2-2011
60.000,00 €	Identification of existing academic research on the specific processes of an SMS	Q3-2011
60.000,00 €	Identification of existing academic research on regulatory bodies and (safety) supervision activities	Q4-2011
60.000,00 €	study on interoperability of driver licence registers	Q4-2011
30.000 €	implementation of methodology and processes	Q2-2011
100.000 €	training of NIB	Q3-2011
100.000 €	Study for ETCS specification consolidation	Q2-2011
<b>930.000 €</b>		
800.000 €	Security services	Q3-2011
500.000 €	Cleaning services	Q3-2011
1.000.000 €	Telecom services	Q3-2011
100.000 €	Health & Safety	Q3-2011
300.000 €	Office furniture	Q1-2012
500.000 €	Stationary and office supplies	Q1-2012
400.000 €	Interpretation services	Q1-2011
150.000 €	Medical services	Q3-2011
500.000 €	Language courses	Q1-2012
60.000 €	Staff satisfaction survey	Q1-2012
400.000 €	External Aid in Implementing a Quality Management System at ERA	Q2-2011
<b>4.710.000 €</b>		
<b>5.640.000 €</b>		

# Annex II

## Budget allocation by Groups of Tasks

Unit	Unit Staff			DIRECT COSTS				
				BL1520	CHAP 30			BL3110
	TA	CA	SNE		Activities	Studies	Translations, interpretation	
<b>Safety Unit</b>								
Certification	6		2	83.333,33	138.387,10	480.000,00	62.903,23	333.000,00
Regulation	7				161.451,61		73.387,10	
Reporting	8			83.333,33	184.516,13	130.000,00	83.870,97	
Assessment	5				115.322,58	220.000,00	52.419,35	
Horizontal Activities	5				115.322,58	0,00	52.419,35	
IPA					100.000,00	0,00	0,00	
<b>Total for unit</b>	<b>31</b>		<b>4</b>	<b>166.666,67</b>	<b>815.000,00</b>	<b>830.000,00</b>	<b>325.000,00</b>	<b>333.000,00</b>
<b>Interoperability Unit</b>								
TSIs Development	18				450.000,00		112.500,00	
Coordination of TSIs	7				175.000,00		43.750,00	
Monitoring	2				50.000,00		12.500,00	
Vocational Competences	2				50.000,00		12.500,00	
Databases and Registers	3				75.000,00		18.750,00	523.000,00
<b>Total for unit</b>					<b>800.000,00</b>	<b>0,00</b>	<b>200.000,00</b>	<b>523.000,00</b>
<b>ERTMS Unit</b>								
<b>Total for unit</b>	<b>14</b>				<b>398.000,00</b>	<b>800.000,00</b>	<b>0,00</b>	<b>333.000,00</b>
<b>Economic Evaluation Unit</b>								
<b>Total for unit</b>	<b>7</b>	<b>1</b>			<b>150.000,00</b>	<b>340.000,00</b>	<b>30.000,00</b>	<b>368.000,00</b>
<b>Cross Acceptance Unit</b>								
<b>Total for unit</b>	<b>14</b>		<b>2</b>	<b>83.333,33</b>	<b>305.000,00</b>	<b>180.000,00</b>	<b>300.000,00</b>	<b>343.000,00</b>
<b>Administration Unit</b>								
<b>Total for unit</b>	<b>36</b>	<b>6</b>						
<b>Directorate</b>								
<b>Total for unit</b>	<b>10</b>	<b>3</b>						
<b>General Support</b>		<b>5</b>						
<b>TOTAL</b>	<b>144</b>	<b>15</b>	<b>6</b>	<b>250.000,00</b>	<b>2.468.000,00</b>	<b>2.150.000,00</b>	<b>855.000,00</b>	<b>1.900.000,00</b>

INDIRECT COSTS		TOTAL
Chapter 31 - BL3110	Titles 1 &2 - BL1520	

28.181,82	675.454,34	1.801.259,81
32.878,79	788.030,06	1.055.747,56
37.575,76	900.605,79	1.419.901,97
23.484,85	562.878,62	974.105,40
23.484,85	562.878,62	754.105,40
0,00	0,00	100.000,00

<b>145.606,06</b>	<b>3.489.847,42</b>	<b>6.105.120,15</b>
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84.545,45	2.026.363,02	2.673.408,47
32.878,79	788.030,06	1.039.658,85
9.393,94	225.151,45	297.045,39
9.393,94	225.151,45	297.045,39
14.090,91	337.727,17	968.568,08

<b>150.303,03</b>	<b>3.602.423,14</b>	<b>5.275.726,17</b>
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<b>65.757,58</b>	<b>1.576.060,13</b>	<b>3.172.817,70</b>
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<b>37.575,76</b>	<b>900.605,79</b>	<b>1.826.181,54</b>
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<b>65.757,58</b>	<b>1.576.060,13</b>	<b>2.853.151,03</b>
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	<b>4.728.180,38</b>	<b>4.728.180,38</b>
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	<b>1.463.484,40</b>	<b>1.463.484,40</b>
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	<b>562.878,62</b>	<b>562.878,62</b>
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<b>465.000,00</b>	<b>17.899.540,00</b>	<b>25.987.540,00</b>
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