

Annual Report 2011



List of acronyms

AAR	Annual Activity Report
ABAC	The web-based accounting system developed for the Directorate-General for the Budget
AWP	Annual Work Programme
CAF	Common Assessment Framework
COTIF	Convention relative aux Transports Internationaux Ferroviaires
CR TSI	Conventional Rail, Technical Specification for Interoperability
CSIs	Common Safety Indicators
CSMs	Common Safety Methods
CSTs	Common Safety Targets
DMI	Driver Machine Interface
DNV	Det Norske Veritas
DREAM	Database for Railway Economic Analysis Management
EC	European Commission
ECM	Entity in Charge of Maintenance
ECVVR	European Centralised Virtual Vehicle Register
EMC	Electromagnetic compatibility
ERA	European Railway Agency
ERADIS	ERA Database on Interoperability and Safety
ERATV	European Register of Authorised Types of Vehicles
ERTMS	European Rail Traffic Management System
ESO	European Standardisation Organisation
ETCR	European Training Centre for Railways
ETCS	European Train Control System
EU	European Union
Eurostat	The statistical office of the European Union
GSMR	Global System for Mobile Communications (Railway)
HR	Human Resources
ICS	Internal Control Standards
IM	Infrastructure Manager
IT	Information Technology
JPCR	Joint Programming Committee Rail (for EN Standards)
MoU	Memorandum of Understanding

MSs	Member States
NIB	National Investigation Body
NNTR	Notified National Technical Rule
NB(s)	Notified Body(ies)
NB(-)Rail	Coordination group of Notified Bodies (Rail)
NRVs	National Reference Values
NSAs	National Safety Authorities
NVR	National Vehicle Register
OSJD	Organisation for Cooperation of Railways
OTIF	Organisation for International Carriage by Rail
RAC	Risk Acceptance Criteria
RID	Règlement concernant le transport internationale ferroviaire des marchandises dangereuses
RISC	Railway Interoperability and Safety Committee (formerly known as the 'Article 21' committee)
RU	Railway Undertaking
SMS	Safety Management System
SNCF	Société Nationale des Chemins de Fer français
SRS	System Requirements Specification
TEN-T	Trans-European Transport Network
TSI	Technical Specifications for Interoperability
TSI CCS	Technical Specifications for Interoperability Control Command Signalling
UIC	International Union of Railways
VVR	Virtual Vehicle Register
WG	Working Group
WP	Working Party

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1. The Agency in 2011

Foreword by the Chairman of the Administrative Board

The generic activities of the European Railway Agency within its overall objective can be categorised as follows:

- **Production of documentation**, mainly recommendations for secondary European legislation such as Technical Specifications for Interoperability (TSIs) or Common Safety Methods (CSM).
- **Development and Management of Databases and Registers** related to railway Interoperability and Safety, including such things as the register of vehicle types, the reference document of national rules used for vehicle authorisation and the databases of safety certificates and authorizations.
- **Compilation of Reports and Provision of Opinions** upon matters within its competence (national technical or safety rules, refusals by National Safety Authorities to authorise placing railway sub-systems or vehicles in service, proposals for new measures to manage dangerous goods, ...).
- **Dissemination and Training.** The Agency's growing role in this activity covers the broad European legal framework of the Interoperability, Driver Licensing and Safety Directives and the specific texts produced by the Agency.
- **Providing Assistance to the Commission and Member States** in the development, implementation, and monitoring of the framework put in place by the Interoperability, Safety and Driver Licensing directives.
- **Facilitator and Coordinator.** It is a key role of the Agency to be a neutral venue and *"the only place where all the railway actors meet"*. It is the ideal forum for development of the understanding of common problems of the railway sector, for the building of consensus solutions and for a common understanding of priorities.

Therefore we can consider the Agency to become the "Railway System Authority" for the European Union.

This report reveals that in 2011 the Agency made further progress in all these activities. A substantial part of the work on the recommendations for the secondary legislation could be completed. This leads the Agency now towards a new phase in its work, consisting to a large extent of the support to the implementation of the EU framework in the Railway Sector and in the EU Member States.

In parallel and in line with this development, 2011 saw the preparatory discussions for the future role of the Agency that shall be defined within the work on the so called 4th Railway package. On the eve of these decisions, it has proven beneficial that the Agency was



able to build valid, constructive relations and partnerships with its stakeholders during the past years, as they continue to strongly support the Agency and, in some cases, call for a greater role for it.

I am pleased to say that, in addition, the Agency's internal management and control processes are continuously improving, confirmed e. g. by the number of audit recommendations closed in 2011 or underway to being closed.

Therefore, my colleagues of the Administrative Board and I wish the Agency a successful further development towards the upcoming next phase of its existence.

A handwritten signature in blue ink, which appears to read "Harting". The signature is written in a cursive, flowing style.

Michael Harting
Chairman of the Administrative Board

Milestones and Key Messages of the Executive Director

Main achievements in recommendations for legislation

A central part of the Agency's work has always been the drafting of recommendations and reports. Key milestones in this area for 2011 were the solid and timely delivery of:

- The recommendation on the Common Safety Methods (CSM) on monitoring and report on the revision on the CSM on risk assessment
- The recommendation on the Common Safety Methods (CSM) on supervision
- The second set of Common Safety Targets (CST)
- First intermediate report on the revision and extension of scope of TSIs on Traffic Operation and Management, Locomotives and Passenger Rolling Stock, Infrastructure and Energy, Safety in Railway Tunnels and Persons with Reduced Mobility, including the merging of HS and CRTSIs
- The recommendation on the "first step" revision of TSI on Telematic Applications for Freight Services (TAF)
- The recommendation on amendment of several TSIs (Omnibus recommendation) including corrections
- The Commission recommendation 2011-217 on the authorisation for the placing in service of structural subsystems and vehicles under Directive 2008/57/EC developed by the Agency

- The recommendation for the revised TSI Control Command and Signalling with more robust requirements on ERTMS testing
- Acceleration of the work on the ERTMS Baseline 3 recommendation (to be delivered in 2012)

Each of these represents a further step towards the Single European Rail system.

Making it work

Despite all efforts and for a variety of reasons, there remain real obstacles to achieving the EU's rail policy objectives. This is why in 2011 the focus for the Agency's work continued to evolve, from not only drafting new legislation, but also toward supporting a stable and maturing legislative framework. The Agency has contributed to this objective with various tasks, among them:

- Guidelines for Safety Management Systems and for the certification of Entities in Charge of Maintenance
- Workshops on Safety Management Systems and on the CSM on conformity assessment
- NSA cross-audit and NIB assessment frameworks
- Draft Commission Decision on the European register of authorised types of railway vehicles
- Draft Commission implementing Decision on the common specifications of the register of railway infrastructure
- work for the follow-up of the DV 29 document (Commission Recommendation 2011/-217/EU), which gives Member States clearer guidance on how to implement Directive 2008/57/EC – the Interoperability Directive
- Completion of a Template Flow Chart for the documentation of vehicle authorisation processes
- Publication on the Agency's website of 23 out of 25 National Reference Documents containing the national rules for vehicle authorisation
- implementation of the ERTMS Change Control Management process for the Change Requests
- Work on the evaluation of the transposition of the Directives in MS's national law
- Ex post impact assessment, e. g. regarding the TSI on Persons with Reduced Mobility.

These supporting activities and products reflect the Agency's progress towards the dissemination and explanation of its outputs, aiming at "making the existing rules work". This includes, as an indispensable element, the monitoring activities to know how far the measures taken have been successful.





Building Relationships

The Agency continues to engage with a wide variety of stakeholders, including European institutions and the main stakeholders NSAs, representative bodies and NIBs and others such as passenger groups, trade unions, etc..

As one of a very small number of bodies throughout the world that publishes “open” technical specifications and safety management tools, the Agency is one of the credible players in the “world stage” for the promotion of European Specifications. This relates, for of railway systems outside the EU, e. g. to the use of ERTMS and in many cases of TSIs to facilitate open competitive procurement. The Agency is well placed to act as a “Technical Ambassador” for the European Union.

Planning for change

The Agency supports the view held by many that the legislation in place is largely sufficient, and that a period of stability is required to allow the framework to thrive.

In the discussion of the further potential measures “to make this framework work” (measures which are not related to the existing core functions of the Agency, as drafting the legislation), the Agency contributed to the assessment and review of the future role of the Agency by an internal working group which reviewed the potential future functions and subject areas that might be covered by it in the future. This work enlightened discussions with the EC on this issue and fed into the study commissioned by the EC on the Evaluation of Regulation 881/2004 (the Agency Regulation) and on the 4th Railway Package, both supported by consultants.

Internally, the basis for an overall quality management system for the Agency was laid, starting with an assessment exercise according to established methods (Common Assessment Framework, CAF), which will provide one element of the required base for the business continuity issue that the Agency will have to solve from 2013 onwards due to the termination of a majority of contracts of its operational staff.

Overall, the Agency considers that in 2011 several key results were achieved by the Agency and the first important steps in the life cycle of the Agency have been reached. It can be said that the Agency has taken the appropriate measures to shape the way forward, for an optimized fulfilment of its tasks in progress and for the achievement of its mission.

The Agency's Role, Mission and Vision

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. 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, promoting and monitoring a common EU approach to safety management and governance across the Agency stakeholders.
- 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.
- 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

Work has been carried out in 2011 to review the Agency's vision and mission statement in order to shape them in a more concise and understandable way. The result will be integrated in the 2012 work programme and in all Agency communication.



2. Work achieved in 2011

Administrative Board

The Administrative Board is the main governing body of the Agency. It is entrusted with the necessary powers to adopt the Agency's budget together with the work programme, to approve internal rules, and to establish transparent working procedures.

The Board is composed of four representatives of the European Commission and one from each of the Member States. Representatives of Norway and Iceland participate as members without voting rights along with six representatives from the railway sector who represent railway undertakings, infrastructure managers, railway supply industry, worker unions, passengers and freight customers.

2011 was the present Administrative Board's third year in office with Mr Michael Harting as Chairman and Mr János Berenyi as Deputy Chairman.

The Administrative Board met three times in 2011. It continued to play an important role in steering the work of the Agency through the adoption of the Work Programme 2011, the budget and establishment plan 2011.

The Board followed closely the on-going debate on the future development of the Agency and decided to present a position paper on the subject by mid-2012, in view of the revision of the EU legislative framework and the ERA basic regulation.

Sub-Committee

The Sub-Committee on financial, budgetary and staff-related issues has been created in 2009 by the Administrative Board in order to provide advice on these matters prior to all relevant Administrative Board decisions.

In 2011 the Sub-Committee met four times, its meetings take place before those of the Administrative Board. The Sub-Committee reports regularly to the Board.

The contribution of the Sub-Committee focused particularly on the budgetary challenges to be met in order to improve the budget implementation by respecting the principle of annuality, increasing the level of payments appropriations and dealing with the inherent constraints of the ERA budget. In addition, the Sub-Committee supported the introduction of performance indicators, activity based budgeting and multiannual programming as well as impact assessment of the activities and tasks of the Agency.

Reflection Group

The setting-up of an ad-hoc reflection group with a mandate to propose a position paper on the future role of the Agency was decided by the Administrative Board in 2011.

The context of the creation of the group was the prospect of a possible revision of the ERA founding regulation as well as the Agency

evaluation which made recommendations, among other, on governance issues and proposals for improving efficiency.

The reflection group started its work in November 2011. Given the calendar of EU legislative process, it has been agreed that the results of its work will be presented in June 2012 to the Administrative Board.

Summary of Board Decisions

22th Administrative Board Meeting, 15 March 2011 held in Lille, France

The Administrative Board:

- Adopted the Statements of Estimates 2012
- Adopted a Multi-Annual Policy Staff 2012-2014
- Appointed two reporting officers for the 2010 appraisal exercise of the Executive Director

23rd Administrative Board Meeting, 24 June 2011 held in Lille, France

The Administrative Board:

- Adopted an Amendment of the Terms of Reference of the Sub-Committee on financial, budgetary and staff-related issues
- Gave an Opinion on the Agency's annual accounts 2010 - Amended the Agency Establishment plan 2011
- Created an ad-hoc reflection group on the future role of the Agency

24th Administrative board meeting, 29 November 2011, held in Lille, France

The Administrative Board:

- Approved of budget 2011 transfers of appropriations
- Adopted the Work Programme 2012
- Adopted the budget 2012, subject to the adoption of the EU budget 2012
- Adopted an amendment to the Rules of experts reimbursement
- Nominated to the ERA AB Sub-Committee a member representing the Member States

In addition, the Administrative Board adopted by written procedure:

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3. Pillars, Activities

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

- Operations
- Management and Administration

This structure will be developed further into an "activity based structure" from 2012 on.

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 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 combining these approaches.

Safety Unit

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 promotion and 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 was 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 tended also to be more operational. Stakeholders and the Commission are now expecting that the Agency will provide support and response after important events and when urgent issues arise.

Adoptions 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 has carried out at the request of DG MOVE, indicated 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 and to discuss and resolve identified issues which make the legislative framework not so efficient that it should be. For this purpose, different initiatives (such as Joint Network Secretariat) have been proposed by the Agency and discussed with its different stakeholders in order to be fully operational in 2012.

This also led the Safety Unit to slightly adapt its organisation to better face its new mission to "*Develop, promote and monitor a common EU approach to safety management and governance across the Agency stakeholders in order to make the railway system work better*".

The main activities performed by the Agency to fulfil this mission are described below:

Development

In 2011, the Agency has been finalising the last implementing measures required by Directives 2004/49/EC and 2008/110/EC. These developments covered:

- The operators' key safety management system processes of risk assessment and monitoring. This result in 2011 by the delivery to the Commission of the recommendation on the Common Safety Methods (CSM) on monitoring and of the report on the revision of the CSM on risk assessment (Regulation 352/2009/EC). This revision covers mainly the role and responsibilities of assessment bodies within the risk assessment framework. The development of Risk Assessment Criteria to be used in explicit risk estimation did not result in tangible results and will therefore not be part of the revision.
- The National Safety Authorities processes to assess and supervise operators' safety management systems. This result in 2011 by the delivery by the Agency to the Commission of its recommendation on the Common Safety Methods (CSM) on supervision.
- The second set of Common Safety Targets (CST) which took into account the experience of the implementation of the first set of CST.
- Methods and approaches for accident investigations

In addition to these developments, the Agency also delivers its first draft of its recommendation on the migration for a single safety certificate.



Following the action plan on railway safety, endorsed by the safety conference organised by the Commission in 2009 after the tragic accident of Viareggio, a set of studies with the objective to propose efficient measures for reducing freight train derailments were launched. This results in 2011 in the Agency report identifying all prevention and mitigation that exist today or could be implemented within 5 to 10 years and analysing the most promising ones from a risk reduction point of view.

Promotion

The Agency should now focus on making the existing regulatory framework work better which is a prerequisite for the single certificate. This objective can be achieved by among others the Agency promoting the EU legal framework and all the measures the Agency developed. This has already started in 2011 by:

- Developing and promoting guidelines for Safety Management Systems and for the certification of Entity in Charge of Maintenance
- Organising workshops on Safety Management Systems and on the CSM on conformity assessment
- Developing training materials for accident investigations and for risk assessment

In addition, the Agency continued, through the National Safety Authorities (NSAs) and National Investigation Bodies (NIB) networks, to support them in harmonising decision making criteria and exchanging best practices. During the plenary meetings, the Agency increasingly encouraged a more participative role of the participants by asking them to propose issues for exchange of views and for exchanging best practices. This will continue and be increased in the next years.

Monitoring

The Agency also monitored the safety performance of the European Community. The results of this monitoring have been presented by the Agency within its annual safety performance report and within its annual assessment of achievements of the CST.

But the monitoring activities of the Agency have not been limited to looking at safety results and performances but were also performed by evaluating the transposition of Directives and by initiating activities looking at the functioning of the core elements and processes that are part of the safety regulatory framework. This resulted in the establishment of NSA cross audit and NIB assessment frameworks. These are voluntary activities carried out by NSA and NIB auditors vis-à-vis peers under the leadership of the networks. The Agency is providing the secretariat and acts as audit program manager.



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 non 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 included (according to the mandate), 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.

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 was issued by first semester of 2011.

In addition, in 2011 the Agency delivered 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 has also launched a working group to define the specifications of the verification of composite brake blocks so that they may be included as closing the corresponding open point in a later revision of the Wagon TSI.

The Agency delivered in May 2011 a recommendation on the "first step" revision of TSI on Telematic Applications for Freight services (TAF). Since the Agency has not received the expected contributions from the sector, the second step of revision could not start in 2011. The full revision should start in a dedicated ERA Working Party from September 2012.

The Agency had the charge of:

- Monitoring the drafting the TAP Implementation Phase One (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 has managed 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 has organised the appropriate working parties. The Agency delivered in Dec 2011 a recommendation on the "Baseline 1.1.1" of the Technical Documents of the TSI on Telematic Applications for Passenger services (TAP).

The revision of the TSIs related to Energy, Infrastructure and Locomotives and passenger rolling stock was well advanced. According to the results of the complementary studies, the TSIs related to the above subsystems for High Speed and Conventional Rail have been merged into the single TSI for each subsystem. Number of open points have been closed. The open points related to the parameters for 1520 mm system are still being dealt with by dedicated subgroup. This task will be finalised by November 2012. The preliminary drafts of the three TSIs will be delivered by June 2012, and the final drafts by the end of 2012.

Another salient achievement was the recommendation on WAG TSI which is going to be submitted in January 2012. This is covering the extended scope (TEN and off-TEN) but doesn't include provisions for 1520 mm networks, in accordance to the conclusions of the preliminary report. It represents a big step forward in the aim of the Agency for lean regulation.

The analysis of aspects that would need a revision (errors, return of experience etc.) with consideration of the section 7.2 of the NOI TSI:2005, and of the limited revision of the NOI TSI made in 2011 (ERA Recommendation in 2010), have led to the commencement of the process of full revision of the CRTSI Noise.

In September 2011 the Agency submitted a recommendation on amendment of several TSIs (the Omnibus recommendation). These proposed amendments included modifications necessary for consistency with the specifications of ERATV and RINF, as well as correction or errors.

In addition the Agency continued 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. The most essential guides were translated into French and German.

Technical Coordination

In order to support the development of the TSIs and ensure their efficient implementation, the Agency continues to coordinate its TSIs related activities with the European standardisation organisations (ESOs), the notified bodies (NoBos) and the national safety authorities (NSAs). In particular, the Agency assisted 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.

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

On September, the Agency delivered a recommendation on the omnibus amendment of TSIs in force aiming at correcting deficiencies addressed in technical opinions, minor errors and conflicts with recommendations of registers.

Monitoring and Evaluation of Interoperability

The second report on interoperability progress in the EU was prepared by the Agency in 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 continued 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 worked 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 is being 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 continues to update and amend this web based data base. The Agency is also maintaining the links of all 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 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. The development of the application started in end 2011, once the Commission Implementing Decision was adopted. The application will be operational by 31 December 2012.

ERTMS Unit

The Recommendation for the revised TSI Control Command and Signalling, has been presented to the Commission in January: it covers the two CCS subsystems (trackside and on-board) and it is applicable to the HS and CR network. Supporting DG MOVE in follow up discussions with NSAs and MS ensured a positive opinion of MS in the June RISC meeting.

In cooperation with the sector representatives and the NSAs, in the different ERTMS working groups, the Agency has implemented the Change Control Management process, analysing the relevant Change Requests (CR) and drafting and updating the specifications for ETCS and GSM-R. The Agency has progressed in the definition of the ETCS Baseline 3 according to the demanding time table set out in the ERTMS MoU of 2008. The request from the Commission and the Danish Presidency to officially deliver the Baseline 3 Recommendation in April 2012 (earlier than the planned 3rd quarter) has required further acceleration of the activities.

In October a test campaign on the DMI ergonomics for Baseline 3 has been carried out in cooperation with the ERTMS Users Group and with the participation of ten train drivers, with positive results. The debugging of the test specifications for Baseline 2 progressed according to schedule.

By December the SRS and the DMI specifications were published on the ERA Website for information and scrutiny.

The cooperation with the TEN-T Executive Agency on ERTMS was strengthened by the participation to the mid term review of the on-going projects, and by the dedicated meetings and analysis of specific projects financing the installation of ETCS on locomotives. For the new GSM R Baseline, the Agency has finalised with the sector the definition of the new EIRENE specifications, and the necessary updates to the Morane documents. The resulting documents will be included in the ERTMS Recommendation of 2012 as the GSM-R Baseline 0.

The Unit has organised work with 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, in coordination with the Interoperability Unit.

The maintenance of the ETCS baseline 2 has been ensured also by the definition and publication of recommended engineering rules, as requested by the sector: the continuation of the Agency's work on this activity will be dependent on the degree of acceptance and support demonstrated by the sector.

The Agency has released the updated report on the certification of ERTMS equipment, coordinated with the Cross Acceptance report on the vehicle authorization, presenting its results and facilitating the debate at the ERTMS Conference of the Agency organized on the 29 of March in Lille, with the attendance of around 100 participants.

The Agency has updated and released 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 (i.e. ETCS version 2.3.0d). The Agency has started the work on the scope extension for the TSI CCS, in cooperation with the Economic Evaluation Unit, defining and distributing the questionnaires to the MS via the NSA. The Agency has supported the Commission in the evaluation of two requests for derogation for the TSI CCS.

Cross Acceptance Unit

The mission of the unit is to facilitate the authorisation of railway vehicles in MS of the European Union via publication of rules and processes applied promoting mutual recognition of national rules. The Unit also runs the Network of Representative Bodies on behalf of the Agency. The aim of this network is to offer the railway sector the possibility to express its needs and to discuss progress of the Agency work. The Unit also participated the EC taskforce on vehicle authorisation. Regular meetings of XA Working Party and XA Core Group in 2011 offered also offered a good basis for discussion and exchange of information between the Unit, the NSAs and the sector. Preparatory work started for the update of the list of parameters, set up in Decision 2009/965/EC. The update by the Agency is envisaged to be ready by end of 2012.

A Template Flow Chart, based on the process described by Directive 2008/57/EC, for the documentation of the authorisation processes (National Legal Framework) run by MS authorities for vehicles and subsystems, was completed and supported by the sector, NSA and RISC.

The Agency in 2011 published on its website 23 out of 25 National Reference Documents containing the national rules for vehicle authorisation. In order to facilitate the access to this information the Agency supported by a user's group set up the specifications for part 2 (rules part) of the Reference Document Database (RDD) and by the end of 2011 had commenced the specification for part 3 (National Legal Framework). The Agency started the testing of the RDD at the end of 2011 with the objective of "going live" from 1st of April 2012. The required link of RDD with EC database NOTIF-IT (Database for notification of national rules) was specified in 2011 and its implementation in the Agency and EC started in March 2012. To support the notification of national technical rules the Agency organized a series of workshops on NOTIF-IT and also provided assistance to EC in the development and maintenance of NOTIF-IT.



Supported by the Agency comparison and evaluation on equivalence of rules applied for the authorisation of railway vehicles took place in 2011 in 7 different Geographical Interest Groups, involving 20 out of 25 Member States. The number of A or C classified rules increased from 73 % to 80 % of all rules.

The Study on the collection of requirements for "on track" testing was completed and published, the analysis of these requirements will lead to a roadmap for "on-track" testing in 2012.

The Cross Acceptance Unit in 2011 supported the Agency in its provision of a technical opinion on the Channel Tunnel rules to the Inter-Governmental Commission and other technical opinions to EC. Organising the Research Steering Group, the Unit documented the needs of the Agency on research and the Agency follow-up of several projects, funded by DG RESEARCH, including the participation of the Agency in Advisory boards of some projects. The policy on "Agency approach to research" was updated and adopted.

Economic Evaluation Unit

The Economic Evaluation unit has provided support in the assessment of Agency recommendations and other work. This support consists in methodologies, formalized processes and work being actually carried out by unit members, although 2011 saw (for the first time) external contributors in the form of consultancy services. We would also wish to remind that most relevant technical or business data are owned by the business actors – railway undertakings, wagon keepers, manufacturers, etc. So the annual report of the Agency is certainly a place where their contributions should be acknowledged.

In turn, some works by the Economic Evaluation drew particular attention (e.g. Register of Infrastructure) because of the unexpectedly high costs involved. This triggered an overall, deep reflection

on registers, and on their usage for various purposes (strategic planning, vehicle authorisation). While the economic case for the proposed RINF could definitely be made, this is to remind that economic evaluation is by no means an uneventful activity with no influence on final decisions.

Particular attention was paid to ETCS (the signalling component of ERTMS) with regards to the safeguarding of early investment, in view of the gradual convergence to the stabilized version 2.3.0d. The conditions for a fruitful deployment of the next baseline (3.0.0) have also been clarified.

Ex post impact assessment was conducted for the first time in a formal way in 2011, regarding the "Technical specification of interoperability relating to persons with reduced mobility in the trans-European conventional and high-speed rail system". This considerable task was carried out through a consultancy contract, given the limited internal resources and the wide scope of investigations. In order to ensure consistency with other evaluation works and transparency with the concerned stakeholders, the impact assessment was conducted using the same process as for Agency-internal studies. The study extended over seven "sample countries", and the intermediate results were shared the interested parties. The results were both sobering and encouraging: while improved accessibility is gaining momentum, application of the TSI does not appear to be the main driving factor. Concerns were expressed about possible administrative burdens. The study provided useful information for the revision of the TSI, as well as for overall governance of accessibility projects.

Another retrospective study concerned the evolution of rail passenger safety over the last twenty-five years. It provides insight about the way safety-related decisions were made under different circumstances, both political and market-related. Interestingly, it confirms that Safety Management Systems, as codified by the first railway safety directive in 2004, are essential contributors to rail safety. The economic database project took a slightly unexpected turn despite, or because of, resource scarcity. Since extensive data collection and database feeding are essentially out of reach, model generation was pushed instead, using internal resources. The business need was driven by two TSIs being under revision and requiring sophisticated assessment methods, resting on real or hypothetical deployment plans (CCS and PRM).

Of more relevance to most readers is, however, the "Early Assessment" initiative developed by the Agency under the coordination of the Economic Evaluation Unit, considering methodologies successfully put at work by the European Aviation Safety Agency. The first intent was to perform high level assessment of the likely impacts of Agency works before these even start, so as to clarify the stakes and deploy proportionate efforts. Ultimately, Early Assessment is seen as both a rationalization and a communication tool, by analyzing actual problems rather than emphasizing solutions, and by expressing these in the shortest and simplest possible terms, for the best benefit of decision-making. The Early Assessment policy has been developed in 2011, then formally adopted by Agency Management early 2012, and is now being gradually put in force.



Second pillar - Administration & Support Services

Administration Unit

The process of consolidation as regards financial and HR systems continued in 2011. Particular emphasis was put on quality management, internal control and data protection in the administrative area, formalisation of rules and procedures and development of monitoring methods.

Human Resources

In the course of 2011, ERA recruited 14 Temporary Agents, 2 SNEs and 2 Contract Agents. In addition, following their participation in open selection procedures, 3 Temporary Agents already working at the Agency were offered new posts. 7 Temporary Agents as well as 2 Contract Agents left the Agency in 2011.

At the end of 2011, 140 Temporary Agents, 8 Contract Agents and 6 Seconded National Experts were working at the Agency. Most of the remaining 4 open positions of the 2011 Establishment Plan are cases where the Temporary Agents were already selected in 2011 but are in the process of taking up post in 2012. 14 trainees were welcomed in the Agency in 2011.

Work has continued on developing a coherent policy on contract renewal, contract length and internal mobility. However, in 2011 priority was given to reviewing Article 24(3) of ERA's founding regulation with a view to having the rules on short term and long term employment changed to better suit the needs of the Agency. Seven different Implementing Rules designed to give effect to the Staff Regulations are currently either in the process of being adopted or have been approved by the Commission. ERA has now adopted 85 % of the existing Implementing Rules.

In the area of HR most of the procedures have been documented and will subsequently be reviewed and fine-tuned in 2012.

The area of Data Protection was given extensive consideration in 2011 aiming at mapping and drafting 14 data protection notifications of the HR processes in the inventory, all prior-checkable. All 14 notifications have been sent to the Data Protection Officer, 3 of which were reviewed based on the DPO comments.

The fourth staff performance appraisal cycle was successfully completed in 2011. As part of the continuing "help desk" function of HR and in line with continuous improvement, three information sessions were offered to all staff. Upon completion of the appraisal procedure 17 meritorious staff members were nominated and, in the course of 2011, 16 of these were reclassified once they had fulfilled the eligibility criteria.

Following the identification of the Agency's training needs and in light of ERA's training policy, ERA's 2011 training plan was drawn up and has served as a basis for the organisation and delivery of the 2011 training courses and initiatives. In June 2011, the Agency decided to adopt the "CAF" (Common Assessment Framework)

model as the self-assessment framework in ERA with the purpose of improving the overall performance of the Agency. Some extensive training actions followed this decision that involved 38 staff members in the initial phase of 2011 and a total of 95 days of training. The number of days of training provided internally was increased from 62% in 2010 to 80% in 2011, and "lunch time conferences" on various topics proved very successful among Agency staff. Social dialogue was maintained throughout the year by regular meetings between the Head of Administration and the Staff Committee.

Following a negotiated tender procedure in the late fall 2011, a provider of staff survey was selected with a view of carrying a first survey mid-2012 followed by an improvement action plan end of 2012 - early 2013.

Despite the important need to develop further the e-HR management tool, the available resources have allowed only to maintain and adapt the existing modules. As a result the use of e-recruitment has been delayed.

Finance, Accounting and Procurement

In 2011, the Agency committed 95 % of the available appropriations. € 1.34 M out of the total planned subsidy of € 25.98 M was not requested from the European Commission. This decision was first announced in early June 2011 and was taken in order to reduce the amount which at the end of the year would be carried over to 2012. As regards the payments, the Agency used 85 % of the committed appropriations. The 15 % that are carried over to 2012 concern mainly operational expenditure (Title 3). As regards the appropriations carried over from 2010, more than 97 % of the appropriations have been executed.

As planned in the work programme, the procedures in relation to the financial system (Manual of procedures) and more specifically the different routing slips used in the Agency were reviewed in 2011. The Manual will be subject of subsequent revision in 2012. Important steps were taken to accelerate the overall payment process. Although the financial and technical constraints did not permit allocating additional human resources to process the files, the centralisation of the invoice registration, introduction of an IT application, MiMa, to deal with the staff missions and the "mass payment" feature all contributed to shortening the time required to prepare and execute payments.

Even if decreased compared to 2010, delays for reimbursing staff missions and experts cost claims occurred. The "mass payment" feature is a means to simplify and rationalise the process linked to the high number of single payments related to staff missions and experts reimbursements. The process will be further improved in order to achieve the objectives of increasing the staff efficiency and further reducing the payment delays in 2012.

Ex-post controls were carried out to ascertain the quality of the financial files. It was not possible to carry out as many controls as initially envisaged. However, priority will be given to this activity in 2012 when also a centralised system gathering all recommendations

and findings will be set up. As regards processing of commitments the delays reached an acceptable level in 2011.

The quality of the reporting improved in 2011 and better information is disclosed to the management on a regular basis. Also the presentation of the annual accounts was improved in order to increase transparency. This improvement was recognised by the European Parliament in its global report for the Agencies.

The Agency uses ABAC Contract but detected some inconsistencies in certain reports. In 2012, the possible sources of discrepancies in the system will be investigated in cooperation with the Commission. Efforts have been undertaken to strengthen the annual procurement planning, mainly by launching procurement procedures earlier and reinforcing assistance provided by the central procurement function. Compared to the annual procurement planning, the major part of the procurement procedures foreseen in Annex I of the Work Programme 2011 were carried out and completed before the end of the year. However, the following operational studies had to be cancelled due to the lack of resources:

- Benchmark study - enforcement powers for safety regulation;
- Identification of existing academic research on the specific processes of an SMS;
- Study on interoperability of driver licence registers;
- Implementation of methodology and processes.

As regards the ERTMS study for ETCS specification consolidation, the initial amount was increased to conclude a framework contract for 4 years with a total amount of € 700.000 instead of a direct contract of € 100.000.

Some investments (like renewal of IT equipment) planned under the 2010 budget were carried out in 2011. Due to reassignment of resources to internal projects (dashboard of ERA activities), the development of the Economic Evaluation DREAM database was launched at the end of 2011 postponing the investments to 2012. Also late approval of the specifications for the ERATV project resulted in launching investments only in November 2011.

Information Technology

In 2011, the activities were driven by the findings of the Enterprise Architecture Study and the results of the audit carried by the Internal Audit Service (IAS) in 2010. The ERA IT Governing Committee (EIGC), established at the end of 2010, continued its work by ensuring that the enterprise portfolio of IT investments met the business needs and the governance requirements. As required by the IAS, the reference framework aimed at making decision about IT investments was approved and introduced. A two-year road map setting up the priorities for the years 2011-2012 was established and preparation of the IT mid-term strategy to be completed in 2012 was launched.

Hardware to power a shadow IT facility in case of major technical outage at the ERA headquarters was acquired.

A consolidation of the end-user environment took place, implementing the "mobile desktop" concept, making available tools and data when working offsite.

The anti-spam gateway and the DMZ were updated and upgraded. The Agency website was upgraded to a newer platform, simplifying the contributor's actions and improving the quality of the published information and documents.

The Agency's Extranet welcomed the creation of 28 additional sites, confirming its strategic role as collaboration space.

The ICT services supported the operations of the European Railway Agency Database of Interoperability and Safety (ERADIS) and the European Central Vehicle Register systems, while in parallel development of the Reference Document Database (RDD) was carried out. The European Register of Authorised Types of Railway Vehicles (ERATV), the Register of Infrastructure (RINF) and the feasibility study for the National Register of Train Driving Licences and Register of Complementary Certificates (I-NLR/CCR) were launched. The development of the ECCAIRS-ERAIL database supporting common safety indicators was made available to the users' community and the development of accident investigation feature progressed, aiming at becoming operational in the first semester of 2012. The DREAM Project advances well as of the beginning of 2012 with the objective of contributing effectively to PRM (Persons with Reduced Mobility) and CCS (Control Command Signalling) studies.

The consolidation, upgrade and update of the ICT systems powering core services progressed. The adoption of blade technology on the server side enabled the reduction of power consumption of about 125 kWh/day and the cooling load of 428.000 BTUs/day. No critical incidents were reported.

The Service Desk proved itself to be efficient and effective in supporting ERA's internal and external users. In 2011 on-site support at the Lille premises was introduced.

The reserve lists for IT Project Managers, Networks and IT Systems Administrators, Software Solutions Administrators, and IT Security Officer were established. From these lists, one IT Systems Administrator and one Software Solutions Administrator were recruited



during the second semester of 2011. The IT Project Office was reinforced by one external IT Project Manager. An IT Security Officer started his function in February 2012.

Premises and Facilities

The preparatory phase of the project to increase the capacity of the headquarters in Valenciennes was completed in 2011. The execution of the planned activities will be completed during the first semester 2012. As no progress was made regarding the conclusion of a seat agreement with the host state, the lease for the building was renewed for one year only.

The improvement of the Lille premises was postponed due to the lack of resources. However a dedicated support for the users was introduced in 2011.

Due to the expiration of the current framework contracts (provision of professional office cleaning services, provision of professional reception and security services), the relevant procurement procedures were launched.

Following the appointment of the Health & Safety working group, an evacuation procedure was adopted, followed by the first evacuation exercise.

The planned initiative to improve the audio-visual equipment for the meeting facilities at the Valenciennes and Lille premises was postponed to 2012, enabling the Agency to join an inter-institutional procurement procedure allowing a better economy of scale. The planned recruitment of the staff for the Facility Management team was completed. A reserve list for Administrative Assistants Logisticians (TA, AST6) was established. From this list two candidates were recruited. The planned recruitment of an Administrative and Logistical Support Agent (CA, FGI) was also achieved in 2011.

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 assisted the Executive Director with expertise and advice in four main areas (communication, legal advice, quality and audit) to help the authorizing officer control risks involved in his/her activities.

The audit activities are described in the next chapter of this annual report.

The Directorate's function has been reinforced by the recruitment of the *Head of Directorate* who took over the post from 01 June 2012. In addition to the tasks described above, the management of the Agency's work programme ("Agency's business management") and all related tasks were also transferred to this function. Two first results of this activity that involved deeply all Agency's Units were

- the transfer of the draft work programme 2012 into an **activity based structure**
- the introduction of a database for creating the Agency's future work programmes (used first for the draft AWP 2013),

providing so the base for an integrated (multi-annual) planning and execution monitoring of the Agency's work, introducing higher levels of standardisation and so efficiency in the whole Agency management.

Communication Office

The Communication Office provided all tools and material needed by the Agency Staff to present their activities to the outside world and to strengthen the Agency's image. This included also the delivering of or assistance to internal communication means.

In 2011 the Communication Office developed further 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.

Legal Office

The Legal Office continued 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 legally review and horizontally coordinate the Agency's tasks from a legal viewpoint.

It has also continued to provide the usual legal and administrative support as secretariat of the Administrative Board and of its Subcommittee on Financial, Budgetary and Staff related Issues. The Acting Data Protection Officer ensured on an on-going basis that, in 2011, the Agency became further 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). Details on the related output are provided in the Administration's Unit chapter of this report.

Quality Office

In 2011 the Office continued to provide assurance and advisory services as regards the design and functioning of the internal control system of the Agency.

The main step towards a fully operational quality management system in the Agency was the start of a structured assessment by Agency's management and staff according to the scheme of the Common Assessment Framework (CAF) with the support of EIPA ⁽¹⁾. The CAF exercise will result in a Quality Action Plan in the first semester 2012 and will then be implemented according to the identified priorities.

In parallel to this exercise, and as its future need was already known, the definition of three priority transversal processes (process on issuing opinions, process on writing a recommendation and process on appointment of representatives for working parties) was continued and was partially (and for some fully) finalised until end of 2011. These activities will be implemented in 2012 as part of the deployment of the CAF Quality Action Plan.

⁽¹⁾ European Institute of Public Administration

4. Internal Control, Audit and Risk Management

Internal Control and Audit

A key activity which contributed significantly to the development and consolidation of Agency's internal control system during 2011, was the annual assessment of the 16 Internal Control Standards (ICS), followed by an Action Plan to fill the gaps resulting from the ICS evaluation.

In 2011 and in line with the quality road map, the Agency has undertaken the Common Assessment Framework (CAF) exercise described in the previous chapter, resulting in a Quality Action Plan in the first semester 2012 whose implementation will be commencing in the course of 2012. The main aim of this activity remains the further enhancement of the Agency's management system by promoting value creation for stakeholders and a performance-based culture. In parallel, the Agency has continued in 2011 with analysis and improvement of its business and support processes.

In this regard, besides the measures on processes as described in the previous chapter on Quality, enhanced measures and tools were developed dealing more effectively with Conflict of Interest (Conflict of Interest Policy) and Management of Action Plans. The latter tool is operational since end 2011.

Auditing activities were also carried out during 2011. An audit engagement was carried out by the Internal Audit Service of the EU Commission on the subject "Expert Management in

Interoperability" which resulted in six recommendations. The Agency has promptly compiled an action plan for implementing auditors' recommendations.

As regards the 28 outstanding audit recommendations existing at the beginning of the year, 3 recommendations were closed still during 2011 by the Agency, another 9 recommendations will be closed during the very first months of 2012. About the remaining further 16 open recommendations, 5 were implemented during the year and are waiting for IAS follow-up while 11 are under implementation at the date of this report.

Risk Management

The Agency has implemented a risk management process during 2011 aimed at identifying the risks which needed to be mitigated for guarantying reasonable assurance about the achievement of the main objectives. During the second semester of 2011 an up-date of the Risk Register was carried out, taking into account and combining the results of the Agency's own risk assessment and of the risk assessment carried out.

Please find below a summary of the actions started during 2011 for risk mitigation.

The individual, related mitigating actions are followed up in the Agency's tracking tool described before.

Internal Control and Audit

Risks MANAGEMENT PROCESSES	Mitigation measures performed/initiated in 2011
<p>Root cause - Lack of business continuity plan may lead in case of disaster to</p> <p>Event - inability and unpreparedness of recovering core ICT systems and services</p> <p>Effect - so putting at risk the performance of critical business processes</p>	Mitigation by means the establishment of a business continuity plan
<p>Root cause - Lack of stakeholders relation management system coupled with weak external communication strategy and practices</p> <p>Event - may lead to inability of the Agency in congruently reconciling diverse stakeholders expectations and effectively translating them into Agency's programming process so</p> <p>Effect - impairing the quality of objectives defined in the annual work programme</p>	Mitigation by means the establishment of a relation management framework
<p>Root cause - Lack of a formal tool for measuring Agency's performance may lead to</p> <p>Event - significant weakening of the decision making and planning processes,</p> <p>Effect - putting at risk the overall sustainability of core business.</p>	Mitigation by developing a set of KPIs which enables performance measurement
<p>Root cause - Lack of communication strategy and codified practices may negatively</p> <p>Event - impact ability of the Agency in effectively conveying messages to key stakeholders and in running soundly crisis management events</p> <p>Effect - putting into danger an effective, timely and consistent implementation of the Agency's output in the railway sector.</p>	Mitigation by developing a Communication policy

5. Annexes

Annex 1a: Composition of the Administrative Board 2009-2014*

Member State	Member of the Administrative Board	Alternate
AUSTRIA	Mr Wolfgang CATHARIN	Mr Klaus GSTETTENBAUER
BELGIUM	Mr Joannes PEETERS	Mrs Valérie VERZELE
BULGARIA	Mr Veselin VASILEV	Mrs Petya HRISTOVA
CYPRUS	Mr Alecos MICHAELIDES	Mrs Elpida EPAMINONDA
CZECH REPUBLIC	Mr Jindřich KUŠNÍR	Mr Kamil PRAVDÍK
DENMARK	Mr Jesper RASMUSSEN	Mr Hans Christian WOLTER
ESTONIA	Mr Raigo UUKKIVI	Mr Indrek LAINEVEER
FINLAND	Mr Yrjö MÄKELÄ	Mr Hannu PENNANEN
FRANCE	Mr Benoit CHEVALIER	Mrs Ainhoa SAN MARTIN
GERMANY	Mr Michael HARTING	Mr Ralf SCHWEINSBERG
GREECE	Mr Triantafyllos PAPATRIANTAFYLLOU	Mr Konstantinos PITSAS
HUNGARY	Mr. Gábor RÁCZ	Mr. Daniel SCHÜTZENHOFFER
IRELAND	Mr Mary MOLLOY	Ms Caitriona KEENAHAN
ITALY	Mr Antonio PARENTE	Mr Giorgio MORANDI
LATVIA	Mr Jānis EIDUKS	Mr Andris DUNSKIS
LITHUANIA	Mr Robertas ŠERĖNAS	Mr Antanas DUBIKAITIS
LUXEMBOURG	Mr Jeannot POEKER	Mrs Myriam SCHAACK-RECKEN
MALTA	Mr Joseph TONG	Mr Fabian GALEA
NETHERLANDS	Mr Hinne J.Y. GROOT	Mr Paul T. GELTON
POLAND	Mr Krzysztof BANASZEK	Mr Piotr CUKIERSKI
PORTUGAL	Mr António CRISÓSTOMO TEIXEIRA	Mr José ARANHA ANTUNES
ROMANIA	Mr Claudiu DUMITRESCU	Mr Dinu DRĂGAN
SLOVAKIA	Mr Mikuláš SEDLÁK	Mr Miroslav DORČAK
SLOVENIA	Mr Ljubo ŽERAK	Mrs Breda KRIŽNAR
SPAIN	Mr Francisco Javier SÁNCHEZ AYALA	Mr Manuel NIÑO GONZÁLEZ
SWEDEN	Mr Mats ANDERSSON	Mr Carl SILFVERSWÄRD
UNITED KINGDOM	Mr Chris CARR	Mr Chris ANGELL

* as of June 2012

European Economic Area (EEA)*

Member State	Member of the Administrative Board	Alternate
NORWAY	Mr Erik Ø. JOHNSEN	Mr Øystein RAVIK
ICELAND	-	-

European Commission*

MEMBERS		ALTERNATES	
FUNCTION/MEMBER OF THE ADMINISTRATIVE BOARD	NAME	FUNCTION	NAME
DEPUTY DIRECTOR-GENERAL IN CHARGE OF THE COORDINATION OF TRANSPORT POLICY IN THE FIELD OF LAND TRANSPORT, AIR TRANSPORT AND MARITIME TRANSPORT DIRECTORATE-GENERAL FOR MOBILITY AND TRANSPORT	Mr Fotis KARAMITSOS	DIRECTOR IN CHARGE OF THE MANAGEMENT OF HUMAN RESOURCES AND FINANCIAL RESOURCES DIRECTORATE-GENERAL FOR MOBILITY AND TRANSPORT	Mr Stefan TOSTMANN
DIRECTOR IN CHARGE OF INLAND TRANSPORT POLICY INCLUDING THE DEVELOPMENT OF THE INTERNAL RAILWAY MARKET DIRECTORATE-GENERAL FOR MOBILITY AND TRANSPORT	Mr Jean-Eric PAQUET	ADMINISTRATOR IN CHARGE OF INTEROPERABILITY AND SAFETY IN THE RAILWAY UNIT DIRECTORATE-GENERAL FOR MOBILITY AND TRANSPORT	Mr Patrizio GRILLO
DIRECTOR IN CHARGE OF POLICY DEVELOPMENT FOR THE TRANSEUROPEAN TRANSPORT NETWORK DIRECTORATE-GENERAL FOR MOBILITY AND TRANSPORT	Mr Jean-Eric PAQUET	HEAD OF UNIT IN CHARGE OF RAIL POLICY INCLUDING MARKET OPENING AND TECHNICAL HARMONISATION AND THE RELATIONS WITH THE EUROPEAN RAILWAY AGENCY DIRECTORATE-GENERAL FOR MOBILITY AND TRANSPORT	Ms Sian PROUT
DIRECTOR IN CHARGE OF POLICY DEVELOPMENT FOR THE NEW APPROACH INDUSTRIES, TOURISM AND CORPORATE SOCIAL RESPONSIBILITY DIRECTORATE-GENERAL FOR ENTERPRISE AND INDUSTRY	Mr Gwenole COZIGOU	ADMINISTRATOR IN CHARGE OF THE RAILWAY INDUSTRY DIRECTORATE-GENERAL FOR ENTERPRISE AND INDUSTRY	Mr Jean-Jacques WOELDGEN

Representatives of the rail sector*

Groups	Member	Alternate
RAILWAY UNDERTAKINGS	Mr Jacques DAMAS	Mr Martin HENKE
INFRASTRUCTURE MANAGERS	To be appointed	Mr Michele MARIO ELIA
RAILWAY INDUSTRY	Mr Dan Anders OTTEBORN	Mr Bruno DAMBRINE
WORKER UNIONS	Mr Guy GREIVELDING	Ms Sabine TRIER
PASSENGERS	Mr Christopher IRWIN	Mr Rian van der BORG
FREIGHT CUSTOMERS	Mr János BERÉNYI	Mr Heiner ROGGE

Annex 1b: Composition of the Sub-Committee 2009-2014*

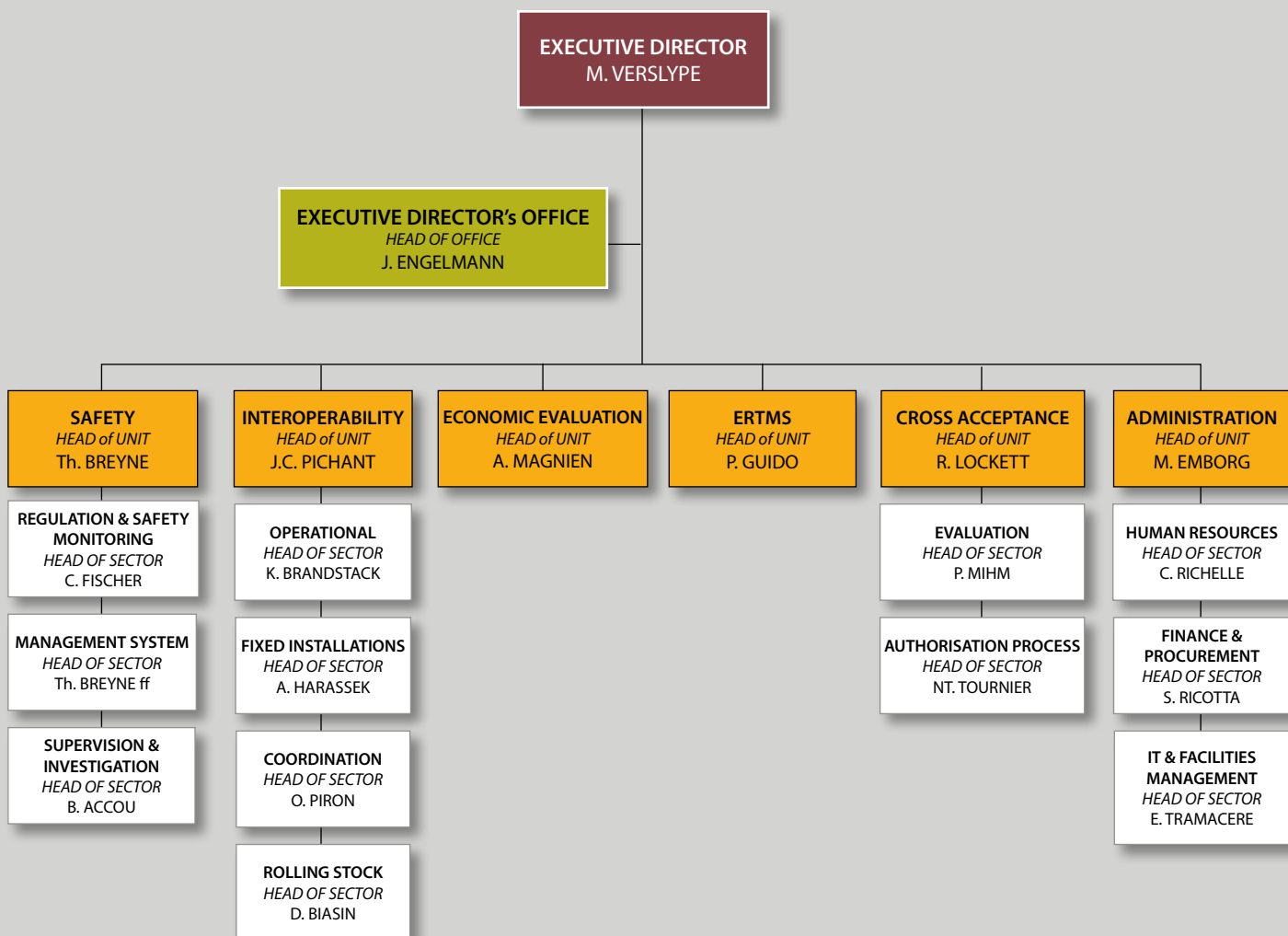
MEMBER OF THE SUB-COMMITTEE	
GERMANY	Mr Michael HARTING
PASSENGERS	Mr Christopher IRWIN (Chair)
NETHERLANDS	Mr Paul T. GELTON
FRANCE	Ms Ainhoa SAN MARTIN
EUROPEAN COMMISSION	
	Head of Unit – Rail Transport and interoperability Director - Management of human and financial resources

Annex 1c: Composition of the Reflection Group 2011-2012*

MEMBER OF THE REFLECTION GROUP	
GERMANY	Mr Ralf SCHWEINSBERG
SWEDEN	Mr Mats ANDERSSON
NETHERLANDS	Mr Hinne GROOT
FRANCE	Ms Ainhoa SAN MARTIN
UNITED KINGDOM	Mr Chris CARR
EUROPEAN COMMISSION	
	Directorate-General Mobility and Transport Rail Transport and interoperability Unit
	Mr Patrizio GRILLO Mr Piotr RAPACZ
RAIL SECTORS	
PASSENGERS	Mr Christopher IRWIN (Chair)
RAILWAY UNDERTAKINGS	Mr Jacques DAMAS

* as of June 2012

Annex 2: ERA Organisational Chart



Annex 3: Declaration of Assurance by the Authorising officer

I, undersigned, Marcel VERSLYPE, Executive Director of the European Railway Agency in my capacity as authorising officer;

Declare that the information contained in this Annual Activity Report 2011 gives a true and fair view ⁽²⁾;

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

This reasonable assurance is based on my own judgement and on the information at my disposal;

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

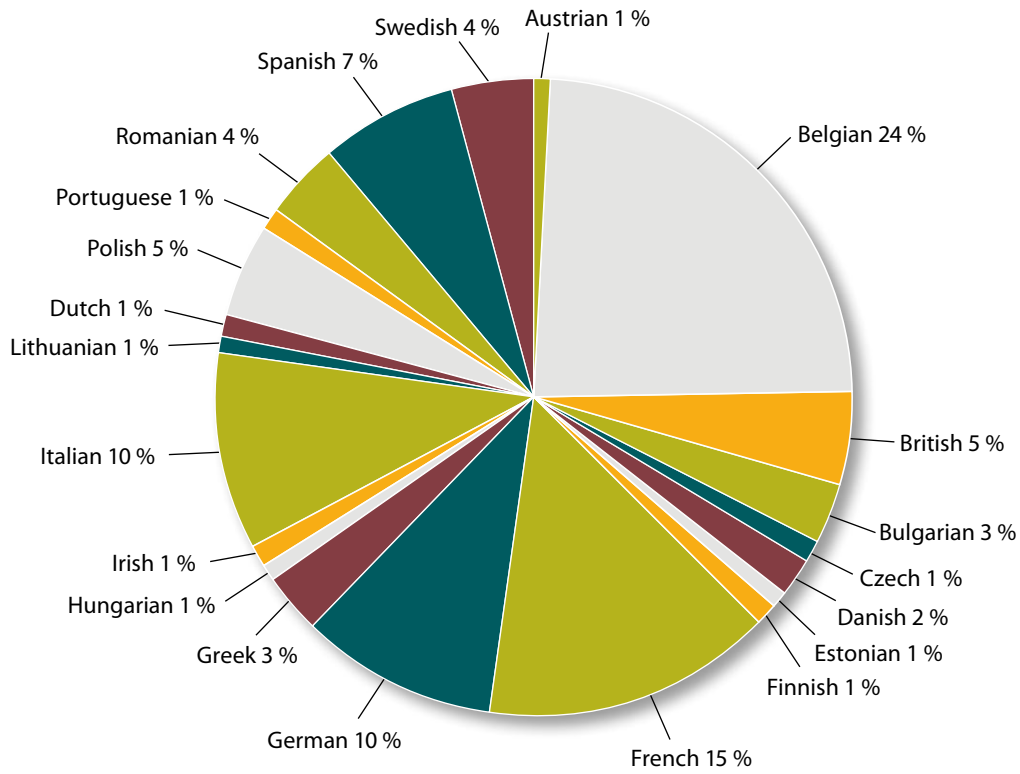
Valenciennes,
Marcel Verslype

⁽²⁾ True and fair in this context means reliable, complete and correct view on the state of affairs in the Agency

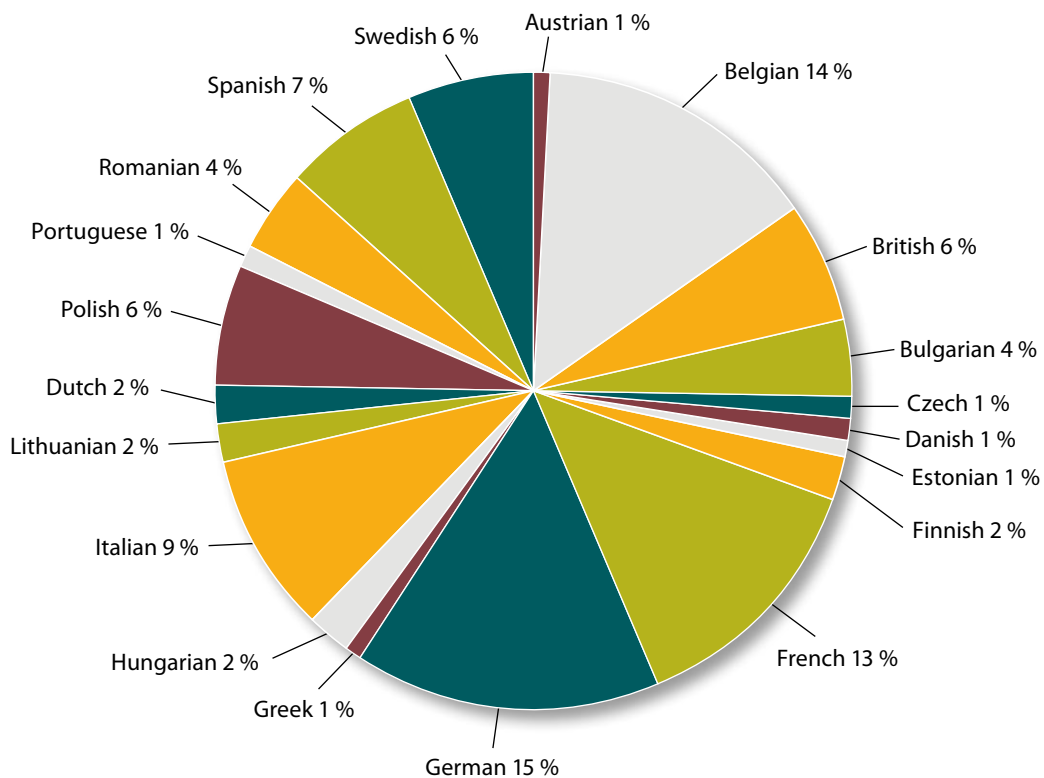
Annex 4: Staff Composition 2011

Split of nationalities within ERA

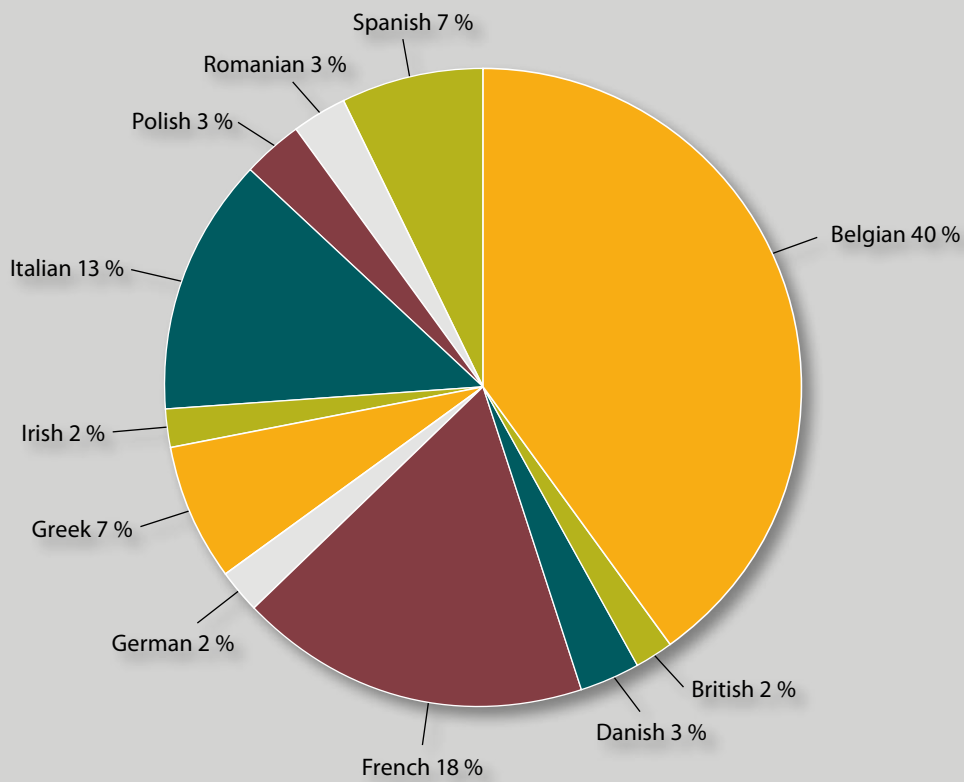
All Staff (21 nationalities)



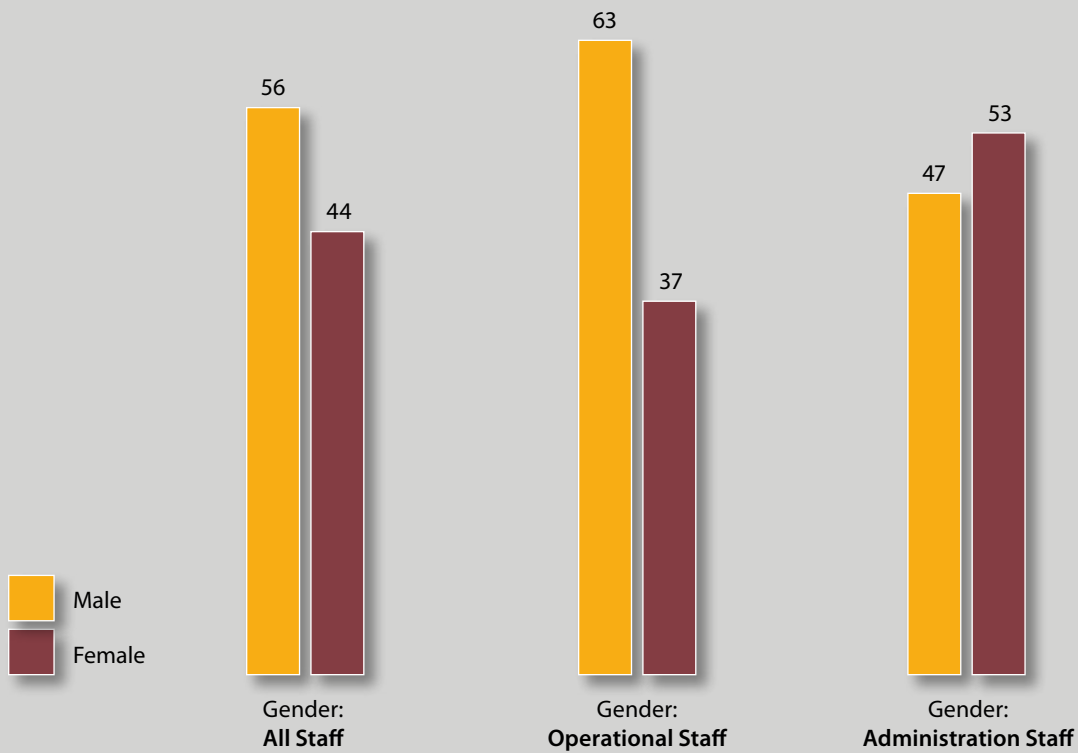
Operational staff (20 nationalities)



Administration staff (11 nationalities)



Gender Balance



Annex 5: Financial reports 2011

Table 1: Budget execution

2011	Appropriations	Commitments	% / App	Payments	% / App	Carry-over	% / App
Title I	15 932 218	15 930 664	100	15 710 948	99	219 716	1
Title II	2 212 782	2 212 548	100	1 649 635	75	562 913	25
Title III	7 843 665	6 495 020	83	3 659 761	47	2 835 259	36
Total annual subsidy	25 988 665	24 638 232	95	21 020 345	81	3 617 887	14

Table 2a: Negotiated Procedures

Contracts ≤ 25 000 € Contracts ≥ 60.000 €

- Count: 2
- Total Amount: 117 450 €

* FR (IR): Financial Regulation (Implementing Rules)

Number	Contractor(s) Name Address	Type of contract	Description	Amount (€)	Legal base
ERA/2011/SAF/NP/01	SENER Ingeniería Y Sistemas S.A. 391 Provença E-08025 Barcelona Spain	Service contract	Identification of existing academic research on the specific processes of an SMS	57 500	Art 129/IR
ERA/2011/SAF/NP/02	UNIVERSITY OF GLASGOW School of Computer Science UK – G12 8QQ Glasgow United Kingdom	Service contract	Facilitating the use of new approaches in accident investigation by NIB's study	59 950	Art 129/IR

Table 2b : Summary of Procedures

(Excluding real estate contracts and contracts ≤ €25.000)

Type of contract	Count	Amount (€)
Supply	0	0
Services	19	6 043 721
Works	0	0
Total	19	6 043 721

Procedures	Count	Amount (€)
Open	14	5 813 721
Restricted	0	0
Negotiated	5	230 000
Negotiated Competing	0	0
Other	0	0
Total	19	6 043 721

Table 3: Real Estate Contracts

Number	Contractor(s) name	Contractor(s) address	Type of contract	Description	Amount (€)	Legal base
N / A	Communauté d'agglomération de Valenciennes Métropole	Hôpital du Hainaut. 2 Place de l'Hôpital Général BP 60227 59305 Valenciennes Cedex FRANCE	Building contract	Lease contract of ERA's new headquarters 120 rue Lefrancq 59300 Valenciennes FRANCE	395 904	Article 126(h) IR



Table 4: Economic Outturn Account (final accounts)

ECONOMIC OUTTURN ACCOUNT	31/12/2011	31/12/2010
Revenues from administrative operations	7 202.00	15 476.68
Other operating revenues	24 722 091.23	23 563 144.48
Subsidy received	24 562 926.98	23 556 004.98
Title 1&2	18 145 000.00	19 576 494.00
Title 3	6 398 665.00	4 455 746.00
Part of Phare Funds subsidy used in 2010	155 945.31	44 054.69
To be reimbursed (Budget outturn)	-136 683.33	-520 289.71
Miscellaneous revenue	159 164.25	7 139.50
TOTAL OPERATING REVENUE	24 729 293.23	23 578 621.16
Administrative expenses	-19 157 034.10	-17 108 577.62
<i>Staff expenses</i>	<i>-15 495 627.47</i>	<i>-14 019 521.31</i>
<i>Fixed assets related expenses</i>	<i>-494 913.16</i>	<i>-460 498.98</i>
<i>Other administrative expenses</i>	<i>-3 166 493.47</i>	<i>-2 628 557.33</i>
Operational expenses	-6 062 146.83	-5 369 743.69
<i>Other operational expenses</i>	<i>-6 062 146.83</i>	<i>-5 369 743.69</i>
TOTAL OPERATING EXPENSES	-25 219 180.93	-22 478 321.31
SURPLUS (DEFICIT) FROM OPERATING ACTIVITIES	-489 887.70	1 100 299.85
Financial revenues	0.00	0.00
Financial expenses	-119.65	-6 633.75
Movement in pensions (-expense; + revenue)	0.00	0.00
SURPLUS (DEFICIT) FROM NON-OPERATING ACTIVITIES	-119.65	-6 633.75
SURPLUS (DEFICIT) FROM ORDINARY ACTIVITIES	-490 007.35	1 093 666.10
Extraordinary gains (+)	0.00	0.00
Extraordinary losses (-)	0.00	0.00
SURPLUS (DEFICIT) FROM EXTRAORDINARY ITEMS	0.00	0.00
ECONOMIC RESULT OF THE YEAR	-490 007.35	1 093 666.10

Table 5: Balance sheet (final accounts)

BALANCE SHEET - ASSETS	31/12/2011	31/12/2010
A. NON CURRENT ASSETS		
Intangible assets	962 955.33	65 654.00
Property, plant and equipment	1 117 412.50	947 009.00
Land and buildings	0.00	0.00
Plant and equipment	1 550.00	0.00
Computer hardware	924 156.00	774 538.00
Furniture and vehicles	98 129.00	110 429.00
Other fixtures and fittings	93 577.50	62 042.00
Leasing	0.00	0.00
Tangible fixed assets under construction	0.00	0.00
Long-term receivables	2 954.00	0.00
Long-term receivables	2 954.00	0.00
TOTAL NON-CURRENT ASSETS	2 083 321.83	1 012 663.00
B. CURRENT ASSETS		
Short-term pre-financing	117 480.00	0.00
Short-term pre-financing	117 480.00	0.00
Short-term receivables	598 238.37	369 225.38
Current receivables	587 558.51	353 370.13
Long-term receivables falling due within a year	0.00	0.00
Sundry receivables	10 679.86	15 467.60
Other	0.00	0.00
<i>Accrued income</i>	<i>0.00</i>	<i>0.00</i>
<i>Deferred charges</i>	<i>0.00</i>	<i>0.00</i>
<i>Deferrals and accruals with consolidated EC entities</i>	<i>0.00</i>	<i>0.00</i>
<i>Short term receivables with consolidated EC entities</i>	<i>0.00</i>	<i>387.65</i>
Cash and cash equivalents	3 273 368.53	5 770 718.58
TOTAL CURRENT ASSETS	3 989 086.90	6 139 943.96
TOTAL	6 072 408.73	7 152 606.96

BALANCE SHEET - LIABILITIES	31/12/2011	31/12/2010
A. CAPITAL	4 376 974.72	4 866 982 07
Accumulated surplus/deficit	4 866 982.07	3 773 315.97
Economic result of the year-profit+/-loss-	-490 007.35	1 093 666.10
C. NON CURRENT LIABILITIES	0.00	0.00
Employee benefits	0.00	0.00
Long-term provisions	0.00	0.00
TOTAL NON-CURRENT LIABILITIES	4 376 974.72	4 866 982 07
D. CURRENT LIABILITIES	1 695 434.01	2 285 624.89
Provisions for risks and charges	146 066.42	117 055.20
Accounts payable	1 549 367.59	2 168 569.69
Current payables	35 287.48	0.00
Long term liabilities falling due within the year	0.00	0.00
Sundry payables	98 392.49	97 760.54
Other	1 237 996.57	1 428 828.15
Accrued charges	1 130 130.31	1 380 546.43
Deferred income	0.00	0.00
Deferrals and accruals with consolidated EC entities	107 866.26	48 281.72
Accounts payable with consolidated EC entities	177 691.05	641 981.00
...Pre-financing received from consolidated EC entities	136 683.33	576 235.02
...Other accounts payable against consolidated EC entities	41 007.72	65 745.98
TOTAL CURRENT LIABILITIES	1 695 434.01	2 285 624.89
TOTAL	6 072 408.73	7 152 606.96

Table 6: Budget and revenue outturn (final accounts)

Budget outturn

	2011	2010
Revenue		
Commission subsidy DG TREN	24 543 665.00	24 032 240.00
Phare funds from Commission	100 000.00	100 000.00
Fee income	5 000.00	5 000.00
Other revenue	72 883.40	61 294.00
Total revenue (a)	24 721 548.40	24 198 534.00
Expenditure		
Personnel expenses – Budget Title I	15 710 948.01	14 372 516.34
Payments	219 715.92	134 632.31
Automatic carry-overs		
Administrative expenses – Budget Title II	1 721 678.71	1 489 202.07
Payments	562 912.60	912 911.54
Automatic carry-overs		
Operational expenses – Budget Title III	3 659 761.37	2 642 377.98
Payments	2 835 258.57	4 417 947.10
Automatic carry-overs	24 710 275.18	23 969 587.34
Total expenditure (b)	24 710 275.18	23 969 587.34
Outturn for the financial year (a-b)	11 273.22	228 946.66
Cancellation of unused carry-overs	126 116.22	292 742.30
Exchange differences for the year	-706.11	-1 399.25
Balance carried over from year N-1	-520 289.71	-928 540.49
Positive balance from year N-1 reimbursed in year N to the Commission	520 289.71	928 540.49
Balance of the outturn account for the financial year	136 683.33	520 289.71

Not included in the budget outturn:

Interest received by 31/12/N on the Commission subsidy and to be reimbursed to the Commission	41 007.72	37 615.20
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Annex 6: Delivery of the Work Programme 2011

Safety Unit

Work	Legal Basis	Of	Overall Objective
Certification			
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	Support the introduction of a single certificate combining European validity and network wide validity.
Development of guidelines/methods on NSA processes	Art. 6(3)(b) Art.21	SD AR	Support the harmonisation of NSA processes.
Dissemination of Guidelines on NSA processes	Art. 6(3)(b) Art.9	SD AR	Support the harmonisation of NSA processes.
Dissemination of Guidelines on set-up and implementation of safety management systems for RUs, IMs and ECMs	Mandate under Art. 6(3)(b)	SD	Support the harmonisation of safety management systems through a sector-wide approach.
ECM certification -follow up of implementation and transitional measures	Art,14a (5)	SD	Review the ECM certification scheme, in order to include all vehicles and to up-date, if necessary, the certification system applicable to freight wagons
Cross auditing activities among the NSAs supported by the Agency	"Art.6 Art 21b Art. 17"	AR SD	Support the harmonisation of NSA processes and decision making principles
Development of an accreditation scheme for railway activities	Art. 6, 16a Art 6, 14a	AR SD	Support interest of Accreditation Bodies in railway activities, through co-operation with EA
Investigation of connectivity of registers for drivers licences and complementary certificates	Art. 3	Dec. 2010/17/EC	Facilitating the exchange of information concerning licences and complementary certificates
Preparation of a draft for the technical and operating specifications for train driver smart-card, supported by a study contract	Art 34 Art 16b 1 (e)	DL AR	Facilitating the use of smartcards combining the licence and certificates provided for in Article 4 of Directive 2007/59/EC
Regulation			
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	Prevention of further diversity of rules concerning TSIs, CSTs and CSMs and examination of other safety related aspects.
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	Assist the EC to monitor the implementation of the Railway Safety Directive into national law in the MS
At request of the EC, the Agency will participate in the international committees on the transport of dangerous goods (RID).	Art 6(2)	AR	Assist the EC to monitor if the RID is consistent with EU railway legislation
Promote accessibility of national safety rules	Art 19 1 (f)/ Art 8	AR/SD	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

Timing	Output in 2011	staff planned	staff actual at 31/12	Achieved in 2011
		9	9	
Dec 2012	(preliminary) report to the Commission			achieved, report delivered
Dec 2011	study on enforcement powers for safety regulation / study on academic research on regulatory activities			achieved, integrated in cross-audit protocols
2011-2012	workshops			achieved, ongoing, also in 2012-2013
2011-2012	workshops / study on academic research on SMS processes			achieved, ongoing, also in 2012-2013
2018	"Dissemination activities Register preparation"			Not achieved - will start from April 2012 with combined workshops on SMS and ECM
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.			achieved, pilot phase ongoing until mid 2013
Dec 2012	Memorandum of understanding with EA			achieved
Report 2011 or 2012	study on interoperability of registers/ (preliminary) report to the Commission			feasibility study finalised
Dec 2012	study on Smartcard/ Report with preliminary analysis			preliminary study finalised, report under development
		6	8	
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			achieved
ongoing	Report to the EC			achieved, work on ID also started
ongoing	Recommendation/advice to the EC			achieved
ongoing	Evaluation of rules and proposals for measures to improve safety regulation and accessibility			achieved

Work	Legal Basis	Of	Overall Objective
Reporting			
Agency report on the assessment of achievement of NRVs and CSTs	Art 4	EC Decision on CSM for CST	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 NRVs
Development of the 2nd set of CST	Art 7 (3)	SD	Development of the 2nd set of CST based on the experience of the 1st set of CST
Report On Safety Performance of Member States	Art 9.2	AR	Measurement and presentation of railway safety performances reached in MS
Monitoring and development of data quality for Common Safety Indicators	Art 9.1	AR	Follow up to the implementation of ANNEX 1 recommendation for the harmonisation of CSIs of Directive 2004/49/EC
Cooperation and coordination of NIBs, supported by seminar and training activities	Art 21.7	SD	Facilitating the exchange of views and experiences of Accident Investigation Bodies by organisation of a network and network meetings. Training of investigators
Support to Network of Investigation Bodies (NIB)	Art, 21(5)	SD	At the request of NIB, provide expertise and support to investigation
Co-operation with Eurostat	Art 9.3	AR	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
Collection and evaluation of accidents reported by NIBs to the Agency	Art. 19 and Art. 24	SD	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"
Keep a public database on safety related documents	Art 19 1 (c)	AR	Improve transparency and exchange of information
Link together activities related to level crossing safety	Art. 6, 9	AR	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
Study on measure against train derailment	Art, 21	AR	Assessment of existing technical and operational measures against freight train derailments Update of the Derailment Detection Device study

Timing	Output in 2011	staff planned	staff actual at 31/12	Achieved in 2011
		9	7	
March 2011	Report to EC			achieved
April 2011	Report to EC via the 2011 progress report			achieved
Every two years	Publication of biennial report on railway safety performance in the EU Annual update of the safety report			achieved
Recommendation Sept-08	Follow-up of the implementation of the new Annex I			achieved, completed by the development of the ERAIL tool
ongoing	Report to EC via the 2011 activity report. Training courses			achieved, on going process for developing the NIB training courses (first 2 modules developed in 2011)
on going	Report to EC			achieved
ongoing	Co-operation with EUROSTAT through regular meetings, including training of Agency staff			achieved, in the scope of the CSI harmonisation and the CST achievement assessment
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			achieved
ongoing	Database already available; regular reviews and updates, in particular concerning accident causation taxonomy (subject to study contract)			achieved, ERADIS and ERAIL development
ongoing	Improved co-ordination in reports to the EC, inputs to CST, TSI, etc.			achieved
2012	Update of the recommendation and impact assessment			achieved, Supported by DNV study

Work	Legal Basis	Of	Overall Objective
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	<p>Agency report on the revision of the first set of CSM taking into account</p> <ul style="list-style-type: none"> - an analysis of the experience gained by the proposers with their first applications - an analysis of the experience of the proposers for their decisions on the significance of the changes - the uses of codes of practices within the CSM process - the overall effectiveness of the CSM process - the development on the risk acceptance criteria and the assessment bodies
Development of the 2nd set of CSM, including a study contract on monitoring practices	Art 6 (3)	SD	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
Horizontal Activities			
Other measures in the field of safety	Art 6.2	AR	Clarification of items concerning safety which are not covered by the four sectors of the Safety Unit
Transitional Measures	Art 6.3	AR	Recommendations to the Commission for the transitional period preceding adoption of CSTs and CSMs and technical specifications for interoperability
Cooperation between NSAs and NIBs	Art 6.5	AR	Facilitate the exchange and harmonisation of information, experiences and methods used between NSAs and NIBs
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	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
Organisation of a freight platform	Action plan, Art. 6(2) 21b	AR	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
Support to candidate countries through an instrument for pre-accession (IPA)	Art. 1	AR	Facilitate the integration of authorities and bodies in candidate countries in the work of the Agency and prepare them for accession
TOTAL FOR UNIT SAFETY			

Timing	Output in 2011	staff planned	staff actual at 31/12	Achieved in 2011
		5	4	
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			achieved
December 2011	Recommendation to EC			achieved
		6	6	
ongoing	Recommendations to the Commission, if appropriate			NA
ongoing	Recommendations to the Commission, if appropriate			NA
ongoing	Organisation of common meetings with NSAs and NIBs and a safety conference with all stakeholders			achieved
ongoing	Support to the network and organisation of network meetings Report to EC			achieved
until 2015	Workshops, reports, recommendations to EC			achieved, freight focus group initiated as follow up of the TF on wagon maintenance
November 2011	Organisation of seminars, traineeships and training courses			achieved, end of first contract
		35	34	

In 2011, one FTE was missing following the death of one safety unit staff and the replacement of the head of the safety unit. The impact was reduced by prioritising some unit activities. Some tasks related to the development of accident investigation methods and in the training of accident investigators were delayed and the dissemination of the ECM regulation was postponed and synergies with the dissemination of the CSM on Conformity Assessment were developed

Interoperability Unit

Work	Legal Basis	Of	Overall Objective
TSIs Development			Technical support for implementation of rail interoperability
Infrastructure (INF)	Art 12	AR, FM, EM	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.
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	
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	
Coordination of TSIs			
Coordination with ESOs	Art. 4.2	Mandate 2006	Alignment of the work of ERA and Standardisation Bodies
Coordination with NB Rail	Art 12 (d)	AR	Assist the Commission by organising and facilitating cooperation of Notified Bodies
TSI Implementation Guide	Art 2.3.1	FM	Assistance to the MS and all stake holders in application of TSIs, guidance on using the TSIs and in particular references to European standards

Timing	Output in 2011	staff planned	staff actual at 31/12	Achieved in 2011
		18	18	
April 2011	Revision for extension of the geographical scope, closing of open points (incl. 1520 track gauge system), Intermediate report			achieved, Revision in progress according to the schedule, intermediate report delivered
April 2011	Revision for extension of the geographical scope, closing of open points (incl. 1520 track gauge system), Intermediate report			achieved, Revision in progress according to the schedule, intermediate report delivered
April 2011	Revision for extension of the geographical scope, closing of open points (incl. 1520 track gauge system), Intermediate report			achieved, Revision in progress according to the schedule, intermediate report delivered
From beginning 2011	Change Management procedures for updating Technical Annexes			achieved, Change Mtg procedures set up in Dec after publication of the TSI TAP
April 2011 Oct, 2011	Revision of TAF TSI including extension of scope and update of SEDP, Preliminary draft, Final draft			No activity due to no input from the sector received
April 2011	Revision of the CR TSIs including extension of the scope, Final draft			achieved, Final draft delivered
April 2011	Revision of HR & CR TSIs including merging, Final draft			achieved, Final draft delivered in Sept. due to long translation process
December 2011	Revision for a second step approach of noise reduction including infrastructure into the scope, Intermediate report			achieved, Revision in progress according to the schedule, intermediate report postponed until April 2012
April 2011	Revision with a view of extension of scope, Intermediate report			achieved, Revision in progress according to the schedule, intermediate report delivered
April 2011	Revision with a view of extension of scope, Intermediate report			achieved, Revision in progress according to the schedule, intermediate report delivered
October 2011 Sep 2011	Report on limit between scope of TSIs and urban transport, Report on billing system for energy consumption, Report on spare parts Omnibus recommendation for amendment of TSIs			achieved, Report on billing system delivered, report on limit between TSI scope and urban transport delivered, report on spare parts delivered, Omnibus recommendation
		7	7	
Ongoing	Requests for Standards when necessary			achieved, 4 requests for standards issued
Ongoing	Regular coordination meetings and strategic meeting + Subgroups			achieved, 4 Plenary meetings and 15 sub-groups meeting organised
Ongoing	Update of the general guide Specific guides for adopted TSIs Update of lists of standards			achieved, The general guide and TSI specific guides published, list of standards updated

Work	Legal Basis	Of	Overall Objective
General support on TSI implementation (IQ, Minor errors, Opinion on SA refusal PITS)	Art s2.2.2/2.3.4	FM	Assist the EC with technical expertise on Interpretive Questions and errors to assess their impact and to suggest possible solutions.
Coordination with NSAs	Art. 6.5	AR	Organisation and facilitation of cooperation between NSAs in respect of TSI and Interoperability
Evaluation of Derogations	2.3.2	FM	Assist the EC with technical expertise to evaluate national derogations. Avoid unnecessary divergence from TSIs

Monitoring			
Monitor the quality of the work of NoBos and check Nobos to ensure criteria (An VII of ID) are met	Art 13	AR	Ensuring quality and consistency of the work of Notified Bodies
Report on Interoperability	Art 14.2	AR	Identify indicators to measure interoperability progress. Understanding of progress towards the objectives
Promote Interoperability (innovations, procedures for implementation, assist the Commission)	Art 21	AR	As specified by the Commission
Examination on Interoperability Projects	Art 15	AR	Ensuring that the projects (in particular co-financed by the EC) are in line with the interoperability principles. Avoid unnecessary divergence from TSIs

Vocational Competences			
Community criteria on the choice of examiners and examinations	Art 16 b - 1 (c) Art 25	AR DL	Supporting Member States in regard to their task of choosing examiners and examinations.
System for accreditation of training centres	Art 17 .2	AR	Facilitate the mutual recognition of training services in the context of train driver
Assisting to the cooperation amongst Member States in the implementation of the Train Drivers Directive.	Art 16 b - 1 (f) Art. 35	AR DL	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.
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	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
Recommendation on specifying common criteria in regard to vocational competencies and assessment of staff involved in operation and maintenance to amend non-essential elements of Annexes of Directive 2007/59	Art 17,1 Art 23.3	AR DL	Contribute to interoperability and safety of the railway system by providing common criteria where needed or appropriate
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	Specification for the staff concerned, of the professional qualifications and health and safety conditions at work required for the operation and maintenance

Timing	Output in 2011	staff planned	staff actual at 31/12	Achieved in 2011
Ongoing	Opinions on request from the Commission			achieved, 10 TOs sent to the Commission
Ongoing	Regular meetings of the NSA Network and task force (interoperability issues), peer reviews			achieved, Peer review of NSA UK, FR, IT and SE performed
Ongoing	Opinions on request from the Commission			achieved, 4 TOs sent to the Commission
		2	2	
Ongoing	Opinions on request from the Commission			No requests received
June 2011	Second report on Interoperability progress			achieved, Biennial report published in March 2012 due to long editorial process
On request	Delivery of the requested outputs			No requests received
On request	Report as request by the Commission			No requests received
		2	2	
Ongoing	Support to NSAs and monitoring of implementation			achieved, 2 recommendations issued
Ongoing	Support to NSAs and monitoring of implementation			achieved, Agreement signed in Dec by ERA with DG ENT on accreditation scheme
Ongoing	4 meetings/year			achieved, On-going, 4 meetings held
Ongoing	Report at the request of the Commission			achieved, Request for derogation from the UK answered
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			achieved, Two recommendation delivered in 2011
deadline of revision of TSIs	report and deliverable of the related TSIs			achieved, Work in progress, deadline for TSIs is in 2012

Work	Legal Basis	Of	Overall Objective
Databases and Registers			
European Register of Authorised Types of Vehicle	Art 34 of 2008/57/EC	ID	Enabling the stakeholders to obtain the information on the types of vehicles authorised in different MSs, facilitating the data exchange between the NSAs
Register of Infrastructure	Art 35 of 2008/57/EC	ID	Establishing compatibility with rolling stock Establishing progress with establishment of TSI compliant Infrastructure Specification
Vehicle Keeper Marking(VKM) register	Art. 19.1 (k)	AR	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
Setting up of the Database of Interoperability and Safety Documents (ERADIS) (including ECVVR, VKM)	Art 19	AR	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.
TOTAL FOR UNIT INTEROPERABILITY			

Timing	Output in 2011	staff planned	staff actual at 31/12	Achieved in 2011
		3	3	
Ongoing	Kick off of the development of a web based software to collect data of types (to be completed in 2012).			achieved - work in progress, deadline for putting database in production is 31 Dec 2012
Ongoing	Support to IMs and monitoring of implementation			achieved, On-going, RINF specification published in Oct,
Ongoing	Publication of updated VKMs on first Wednesday of each month (except August)			achieved, On-going
Ongoing	Ongoing update of the databases			achieved, On-going
		32	32	

In total one FTE over the year was not available due to the pregnancy and maternity leaves of two project officers in the co-ordination sector. The impact was reduced thanks to re-allocation of part of the task to the PO in the fixed installation sector, nevertheless as a consequence, a hand-over of the NB-Rail secretariat, publication of the biennial report on interoperability progress, and development of the databases were slightly delayed.

ERTMS Unit

Work	Legal Basis	Of	Overall Objective
Update the ERTMS specifications	Art 21 a 1	AR	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
Set up a procedure for (ERTMS) change management and a register for changes	Art 21 a 2	AR	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
Develop a Version Management Strategy;	Art 21a 4	AR	Validate with sector the technical mechanism; define the operational constraints for ETCS and separately for GSM-R
Assess the costs and migration mechanisms for early implementations before Commission Decision of 23/4/2008	Art 21a 4	AR	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.
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	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)
CCS TSI		Mandate	Extension of the scope; technical opinions to the Commission on critical errors; EMC WG to continue definition of target system
Support the EC to develop EU deployment plan and coordinating ERTMS installation along corridors. Support for other units	Art 21a 3	AR	Survey of implementation versions, support on request
Evaluate and follow up ERTMS certification	Art 21a 7	AR	Evaluate test and certification procedures, in particular the role and organisation of test laboratories and test centres
Organise and coordinate the compilation of ETCS system Test specifications	Art 21a 7	AR	Write the terms of reference, procure and manage the external contract
TOTAL FOR UNIT ERTMS			

Timing	Output in 2011	staff planned	staff actual at 31/12	Achieved in 2011
2012	December 2011: third draft of SRS 300; second draft of Operational Rules; third draft of DMI specifications; other lower level interface specifications updated			achieved, all intermediate versions foreseen in 2011 released, incl operational rules for ERTMS
ongoing	ongoing: CR Database in operation; update of Agency Document if necessary;			achieved, more than 600 CR logged in the database
ongoing	Validation of SVM specifications for ETCS based on results of TEN-T program; validation of SVM for GSM-R			achieved, documents delivered; test campaign for backward compatibility finished; NO SVM for GSM-R (not needed now because no new version of GSM-R)
No deadline in Regulation	Dec. 2011: assessment report to the Commission based on available notifications			achieved, Report released
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			Ongoing - findings on the process included in the report; no recommendation on incompatibilities
ongoing	December intermediate report			Partly achieved: TSI merged for CR+HS voted; Intermediate report delayed to 2012 waiting for questionnaire answers; TSI corrections in Omnibus;
	On demand support			achieved, Support to ERTMS MoU Steering Committee; support to TEN-T EA in evaluation of actions with 6 beneficiaries
ongoing	Update the Report to the Commission with recommendation for improvement			achieved, Report released; presentation at the ERTMS Conference
Dec 2011	Launch contract 1st quarter; set of specifications, validation report, acceptance from existing laboratories for December			achieved, Contract launched and executed; validation report delivered
		14	14	

The unit reached its maximum size (11 experts) as planned, while managing the first turn-overs. The level of resources was in line with the planning, allowing the proper execution of the work program

Cross Acceptance Unit

Work	Legal Basis	Of	Overall Objective
Agency Strategy, long term plan, work programme and annual report	Art 25 2	AR	Plan and review the Activities of the Agency and the Unit
Coordinate the Agency's approach to research	Art 6.2 Art 26 Art 12 (b) & (c)	ID SD IR	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
Coordinate the Agency's relationships with stakeholders	Art 3	AR	Overview review the activities of the Agency with stakeholders. Manage the Network of Representative Bodies
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	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)
Facilitate the harmonisation of decision making in respect of national rules and authorisation 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	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)
Draft Reference Document cross referencing national rules for placing vehs in service and update thereof	Art 9 b 3 Art 27 3	AR ID	Implement and maintain the Reference Document and associated database
Evaluation of national vehicle rules	Art 9 b 3 Art 27 3	AR ID	Establish equivalence between national vehicle rules to facilitate mutual recognition of rules and authorisations
Publishing National Technical Rules	Art 17	ID	Assist the Commission with the specification, development of the Notif-IT database for national Technical Rules and National Vehicle Rules. Publish national Technical Rules
Evaluation of National Technical Rules	Art 2,3,4 Art 9a	FM AR	Evaluation of NTRs notifications

Timing	Output in 2011	staff planned	staff actual at 31/12	Achieved in 2011
ongoing	Maintenance strategy and Agency long term plan, 2012 work Programme and 2010 Annual Report			"Work Programme and Annual Report delivered and adopted. Activity Based approach adopted for 2012 Work Programme Nota: this work was handed over to the Directorate from summer 2011 on after the recruitment of the Head of Directorate"
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			achieved, Regular meetings of Research Steering Group. Needs established and documented Agency participation in several reasearch project's Advisory Boards "Agency approach to research" policy updated and adopted
ongoing	Regular meetings			Regular Meetings of Network of Representative Bodies held
ongoing	Update of list of parameters as required			No update required in 2011. Preparatory work started for update to of parameters in 2012
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			achieved, Regular meetings of Working Party and Core Group. Template flow chart for documenting National Legal Frameworks completed and supported by RISC. Active dissemination of reccommendation 2011/217 in Corridor A NSA authorisation group
Ongoing	Implementation of the new database and the link to Notif-IT			achieved, Users group set up for Reference Document Database; Prototype RDD for National Reference Documents set up and succesfully trialled. Link to NOTIF-IT specified-In place March 2012. 23 out of 25 National Reference Documents published (waiting 2 x MS)
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			achieved, Geographical Interest Groups in place to evaluate equivalence. Categorisations A or C increased from 73% to 80% of all rules; 20/25 Member States involved in Classification
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			achieved, Assistance provided to Commission in the development and de-bugging of NOTIF-IT. Training course provided to the MS
Ongoing	Evaluate new rules as agreed with the Commission			No requests

Work	Legal Basis	Of	Overall Objective
Investigation into the obstacles to and opportunities for mutual recognition of national rules	Art 9 b 3 Art 27 3	AR ID	Study the undepinning technical basis for the different national requirements in national technical rules and facilitate convergence (eg by defining common test specifications)
When called upon by an NSA or the commission provide opinions on the equivalence of national rules	Art 10.2 (a)	AR	Facilitate mutual recognition of national rules related to vehicles and their authorisation
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	Technical opinion to facilitate appeals
TOTAL FOR UNIT CROSS ACCEPTANCE			

Economic Evaluation

Work	Legal Basis	Overall Objective
Evaluation of Agency recommendations	ID Art 6, 8 SD Art 7	Provide an impact assessment for each Agency recommendation to support decision-making (internal and external)
Opinions in the context of projects or corridors, incl. ERTMS migration	AR Art 21	Provide assistance to the Commission, upon request, in evaluating economic rationale leading to requests for derogations or for EU funds
Methodology and data management	Support to the above	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)
Studies	Support to the above	In view of ex post evaluation of PRM TSI ; historical evolution of safety performance and underlying factors ; various studies related to scope extension
TOTAL FOR UNIT		

Administration

Timing	Output in 2011	staff planned	staff actual at 31/12	Achieved in 2011
Ongoing	Study and Recommendations for Common National Technical Rules			achieved, Study into "on track" testing completed
2 months	As required			No requests
2 months	As required			Technical Opinion on the Channel Tunnel rules provided on behalf of the Agency to the Inter Governmental Commission

		16	14	
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In March 2011 one SNE left the Cross Acceptance Unit causing delays in the area of research; its replacement is foreseen to happen in 2012.

The IT Database officer changed in September 2011 from Cross Acceptance to IT Unit, causing an increasing gap regarding efforts available for the further development of RDD and evaluation of rules, the gap regarding RDD development could partly be covered by IT consultant services; recruitment procedure for Database Officer launched in 2012.

Output in 2011	staff planned	staff actual at 31/12	Achieved in 2011
Applied methodologies and assessment reports			11 applied methodologies, 8 impact assessment reports, and other deliverables
Reports delivered to Commission, or participation to works of the Commission, or assistance to ERTMS unit			Contribution in assessment of derogations when required. Participation to TEN-TEA project evaluation.
General methodology updates, questionnaire management, setup of DREAM database			Early assessment methodology set up. DREAM database : model generator development
Intermediate or final reports on said studies			Reports on PRM TSI (ex post) and historical safety analysis completed. No further external studies.

	8	7	
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Some works on the DREAM database (actual data collection) could not be carried out due to canceling of a foreseen resource.

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

Output in 2011	staff planned	staff actual at 31/12	Achieved in 2011
<ul style="list-style-type: none"> * All staff foreseen in the establishment plan will be in place (if available) * All relevant implementing rules adopted * The number of internal trainings significant increased * The new HR management tool developed further 			<ul style="list-style-type: none"> * Staff has been recruited as planned with a vacancy rate of 2,78 % at the end of the year. * 85 % of the available Implementing Rules have been adopted. * The number of days of internal trainings has significantly increased from 62 % in 2010 to 80 % in 2011. * Due to budget and resources constraints, the HR management tool has not been developed further and rather maintained at its 2010 level.
<ul style="list-style-type: none"> * ABAC Contracts and Assets implemented * Review and documentation of procedures (including validation of the financial system) * Improved management reporting * Ex post controls introduced 			<ul style="list-style-type: none"> * ABAC Assets has been implemented. ABAC Contracts will be further customised in 2012 to meet specific needs of the Agency. * The Manual of financial procedures has been reviewed. The financial system will be validated in 2012 after renewal of the financial processes. * The reporting has been further improved and tailored to the needs of the management. * Ex post controls of "low value" payments have been carried out but further strengthening of the process is necessary in 2012. * The process for payments related to staff missions was simplified by introduction of the "mass payment" feature.
<ul style="list-style-type: none"> * The Virtual Vehicle Register and Safety, interoperability and DREAM databases in place and maintained * HR management, finance and procurement management tools consolidated and developed further 			<ul style="list-style-type: none"> * The European Railway Agency Database of Interoperability and Safety (ERADIS) and the European Central Vehicle Register systems (ECVVR) were supported and maintained. * Enterprise Resource Management tools were supported and consolidated. * The development of the Reference Document Database (RDD) and the European Register of Authorised Types of railway Vehicles (ERATV) was started. * The prototype of the DREAM Project for the Economic Evaluation due to lack of resources was postponed to 2012.
<ul style="list-style-type: none"> * The new headquarters will be fully operational * Increased need for meeting facilities in Lille accommodated 			<ul style="list-style-type: none"> * The preparatory phase of the project to increase the capacity of the headquarters in Valenciennes was completed. * The improvement of the Lille premises was postponed due to the lack of resources. However a dedicated support for the users was made available. * Health and Safety working group was appointed and the evacuation procedure was adopted, followed by the first evacuation exercise. * Relevant procurement procedures for replacing expiring framework contracts were launched.
	42	41	

At the end of 2011 the Administration Unit reached the planned number of staff. One Contractual Agent could not be recruited due to budgetary constraints. This cancellation and few vacancies filled later in the year delayed the achievement of some objectives (mainly in IT area) but did not have major impact on the final delivery of the outputs.

Directorate - Communication Office

Work	Overall Objective	Timing
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>	ongoing
Conference support		ongoing
Agency presentation during exhibitions		ongoing
Purchase of promotional material		ongoing
Design services		ongoing
Media monitoring services		ongoing
Managing the Agency public website		ongoing
TOTAL FOR ENTITY		

Directorate Legal Office

Work	Legal Basis	Overall Objective
Legal Opinions and Legal Assistance	Reg 881/2004	To provide independent legal advice to the Executive Director, to assist operational and administration units in legal matters to improve the legal quality of the acts and other documents produced under the foundational Regulation and other relevant legislation, and to 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).
Secretariat of the Administrative Board	Art 25 Reg 881/2004 and Art 15 of the Rules of Procedure of the AB	Providing legal and administrative support to the Administrative Board (incl Budgetary Sub-Committee)
Performing the tasks of DPO under Reg 45/2001 (to ensure protection of personal data at ERA)	Art 24 of Reg 45/2001	To ensure compliance with Reg 45/2001
TOTAL FOR ENTITY		

Output in 2011	staff planned	staff actual at 31/12	Achieved in 2011
on a continual basis reports and brochures are published - the Agency video will be updated			Annual Report, work programme, Safety & Interop. Report + new specific brochures published. Agency Video project postponed to/ now ongoing in 2012.
preparation of conferences with e.g. Visual material will be continued			different meetings/ conference supported with staff, preparation and material
at least one major event per year shall enhance the visibility of the Agency in the sector			GSM-R Conference held in Lille
stock of promo material has to be sustained to support events			has been completely updated and adjusted according to specific needs of events
a design service contract ensures the Agency's needs for designing reports and promotional material			in place
a contractor should provide media monitoring services			project on hold for other priors
custom developments to enhance usability of the website			search functionality enhanced
	3	2	

Timing	Output in 2011	staff planned	staff actual at 31/12	Achieved in 2011
Permanent Task	Legal opinions on draft recommendations, opinions, ED Decisions and legal advice and assistance on operational and administrative matters			Several legal opinions on draft recommendations and opinions - daily legal advices and legal assistance on operational and administrative matters
Regular Task	management of AB meetings, publications of decisions, written procedures, extranet update			All Administrative Board meetings held as described in the text part of this Annual report
Permanent Task	Register of notifications data protection processing operations, reports to EDPS, prior-check notifications to EDPS			Register introduced in a data base, a significant number of notifications have been notified, all pending prior-check notifications were notified
		4	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.
TOTAL FOR ENTITY		
Director and support		
DIRECTORATE TOTAL		
General Support		
TOTAL		

Timing	Output in 2011	staff planned	staff actual at 31/12	Achieved in 2011
1 per semester	Audit reports and follow-ups (2), ex-post transaction checks (auditor)			Follow up + Ex-post check
on-going	On-going advice to AO and AODs on the development of key components of the internal control system of the Agency.			Conflict of Interest policy
last quarter	Annual assessment on the ICS implementation (quality officer)			Internal Control Standards (ICS) report
last quarter	Updating and monitoring of risk register, risk management assessment			Quality review of risk register + risk management framework review
on-going	Execution of quality project; main outputs: process mapping, quality manual and activities to improve stakeholder satisfaction			Quality project started, 50% achievement of the CAF self assessment according to project plan 2011/2012 (as planned)
		2	2	
		4	4	
		13	12	
		5	0	
		165	154	

The recruited Head of Directorate (Executive Director's office) took over the post from June 2011 on but the hand-over of the task to manage the Annual Work Programme from the Cross Acceptance Unit did not influence the output. The Quality Officer changed to Administration Unit with the end of the year. As she stayed member of the Common Assessment Framework project group, no delay was caused neither. The staff member foreseen for the communication office could not be recruited delaying the start of the work on the communication strategy to 2012.

In 2011 there was no valid opportunity for recruiting contract agents (5 posts for general support) foreseen for dealing with temporary peaks in workload and/or replacing staff on long-term absences.

