

Safety Unit

Annex to Agenda Item 8

Work	Legal Basis	Of	Overall Objective	Timing	Output in 2010	Unit Staff
Certification						6 + 2 SNE
Evaluate the development of safety certification with recommendations on a strategy for migration towards a single Community safety certificate, supported by a study contract	Art. 10.7	SD	Support the introduction of a single certificate combining European validity and network wide validity.	Dec 2010	Study report, recommendation to the Commission	
Development 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.	June 2010	Agency Guidelines	
Investigation of connectivity of registers for drivers licences and complementary certificates	COM decision (to be adopted)		Facilitating the exchange of information concerning licences and complimentary certificates	Report 2011 or 2012	first questionnaires to competent authorities	
Preparation of a draft for the technical and operating specifications for train driver smartcard, 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	Dec 2012	None	
Recommendation of a certification system for the entity in charge of maintenance in accordance with Art. 14a of amended Directive 2004/49/EC (by Directive 2008/110/EC) and a complementary study on maintenance workshop certification	Art14a Art 16a	SD AR	Harmonised requirements for entities in charge of maintenance of railway vehicles	July 2010	Recommendation to the Commission Measures to cover the transition period	
Organisation of a task force on freight wagon maintenance	Art. 21b	AR	To deal with urgent measures in relation to wheelset design and maintenance and to review the different maintenance regimes for freight wagons	July 2010	Report to the Commission	
Setting up of a freight platform to investigate measures to prevent freight train derailments and evaluate innovative safety technologies. Supported by a study contract.	Art. 21b	AR	Improve safety in rail freight transport	2015	Intermediate study report	
Regulation						7
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.	Report within two months of the request	Technical opinions to the EC, National Regulatory bodies and the DER Committee and advice to the EC	
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 30(2b)	AR	Assist the EC to monitor the implementation of the Railway Safety Directive into national law in the MS	ongoing	Report to the EC	

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	ongoing	Recommendations to the EC	
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	ongoing	Evaluation of rules and proposals for measures to improve safety regulation and accessibility	

Reporting						8 + 2 SNE
Report On Safety Performance of Member States	Art 9.2	AR	Measurement and presentation of railway safety performances reached in MS	Every two years	Publication of biennial report on railway safety performance in the EU	
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	Recommendation Sept-08	Follow-up of the implementation of the new Annex I	
Cooperation and coordination of NIBs, supported by seminar activities <u>and a study on training and competence requirements for investigators</u>	Art 21.7	SD	Facilitating the exchange of views and experiences of Accident Investigation Bodies by organisation of a network and network meetings	ongoing	Report to EC via the 2010 progress report on developing common investigation methods, drawing-up principles for follow-up of safety recommendations and adaptation to the development of technical and scientific progress	
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	ongoing	Co-operation with EUROSTAT through regular meetings, including training of Agency staff	
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"	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	

Assessment						5
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 and NRVs	March 2010	Report to EC	
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 and any priority areas where safety needs to be further improved	April 2011	Report to EC via the 2010 progress report	
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	Agency report on the revision of the first set of CSM taking into account - 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	December 2011	Report to EC via the 2010 progress report	
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 the methods used by the different actors of the railway sector to monitor that their systems continue to fulfil their safety requirements when operated and maintained,	June 2012	Report to EC via the 2010 progress report	

Horizontal Activities						2+ 3 Administrative Assistants

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	ongoing	Recommendations to the Commission, if appropriate	
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	ongoing	Recommendations to the Commission, if appropriate	
Keep a public database on safety related documents	Art 19 1 (c)	AR	Improve transparency and exchange of information	ongoing	Database already available; regular reviews and updates, in particular concerning accident causation taxonomy (subject to study contract)	
Cooperation between NSAs and NIBs	Art 6.5	AR	Facilitate the exchange and harmonisation of information, experiences and methods used between NSAs and NIBs	ongoing	Organisation of common meetings with NSAs and NIBs and a safety conference with all stakeholders	
Establishing a Network with NSA in accordance to Art. 17 of Directive 2004/49/EC	Art. 9	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	ongoing	Support to the network and organisation of network meetings	
<u>Reflections amongst NSAs on a strengthened role of the Agency</u>	<u>Art. 17</u>	<u>SD</u>	<u>To improve the working modalities of the NSA network and its relations with the Agency and to arrive at agreements on areas for a strengthened role of the Agency</u>	<u>September 2010</u>	<u>Report to EC</u>	
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	November 2011	Organisation of seminars, traineeships and training courses	

total for unit						31 + 4 SNE
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Interoperability Unit

Work	Legal Basis	Of	Overall Objective	Timing	Output in 2010	Unit Staff
TSIs Development			Technical support for implementation of rail interoperability			17
Infrastructure (INF)	Art 12	AR, FM	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.	Jan 2010	Launching of the revision for extension of the geographical scope, closing of open points (incl. 1520 track gauge system)	
Energy (ENE)	Art 12	AR, FM		Jan 2010	Launching of revision for extension of the geographical scope, closing of open points (incl. 1520 track gauge system)	
Passenger Carriages & Traction Units (LOC&PAS)	Art 12	AR, FM		Jan 2010	Launching of revision for extension of the geographical scope, closing of open points (incl. 1520 track gauge system)	
Telematic Applications for Passengers (TAP)	Art 12	AR, FM		Jun 2010	Completion of TSI. Final draft	
Telematic Applications for Freight (TAF)	Art 12	AR, FM		Jun 2010 Dec 2010	Preliminary then Intermediate report on TAF TSI revision due to TAP TSI impact (including clarification of the actual scope of ESDP)	
Freight wagons (WAG)	Art 12 (b) Art 2.1	AR, FM		Jun 2010 Dec 2010	Completion of TSI including extension of the geographical scope Preliminary draft Final draft	
Operation (OPE)	Art 12 (b) Art 2.1	AR, FM		Jun 2010 Jul 2010	Completion of revision of CR TSI. Final draft Launching of revision for extension of the geographical scope, closing of open points	
Noise (NOI)	Art 12 (b) Art 2.1	AR, FM		Apr 2010	Completion of revision of TSI. Consultation	
General for INF, ENE, LOC&PAS	Art 12 (b) Art 2.1	AR, FM		Sep 2010	Report on pertinence of merging HS and CR TSIs.	
General for transversal TSIs (Persons with reduced mobility (PRM), Safety in Railway Tunnels (SRT), Noise)	Art 12 (b) Art 2.1	AR, FM		Sep 2010	Report on pertinence of inclusion of requirements directly in the TSIs for structural subsystems.	

Coordination of TSIs						6
Coordination with ESOS	Art. 4.2	Mandate 2006	Alignment of the work of ERA and Standardisation Bodies	Ongoing	Requests for Standards when necessary	
Coordination with NB Rail	Art 12 (d)	AR	Assist the Commission by organising and facilitating cooperation of Notified Bodies	Ongoing	Regular coordination meetings and strategic meeting + Subgroups	
Evaluation of National Technical Rules	Art 2.3.5	FM	Technical evaluation of the NTRs in use for the implementation of the Essential Requirements	Ongoing		
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	June 2010 Ongoing	Update of the general guide Specific guides for adopted TSIs Update of lists of standards	
General support on TSI implementation (IQ, Minor errors, Opinion on SA refusal PITS)	Art s2.2./2.3.4	FM	Assist the EC with technical expertise on Interpretive Questions and errors to assess their impact and to suggest possible solutions.	Ongoing	Opinions on request from the Commission	
Coordination with NSAs	Art. 6.5	AR	Organisation and facilitation of cooperation between NSAs in respect of TSI and Interoperability	Ongoing	Regular meetings of the NSA Network and task force (interoperability issues), peer reviews	
Evaluation of Derogations	2.3.2	FM	Assist the EC with technical expertise to evaluate national derogations. Avoid unnecessary divergence from TSIs	Ongoing	Opinions on request from the Commission	

Monitoring						2
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	Ongoing	Opinions on request from the Commission	
Report on Interoperability	Art 14.2	AR	Identify indicators to measure interoperability progress. Understanding of progress towards the objectives	Ongoing		
Promote Interoperability (innovations, procedures for implementation, assist the Commission)	Art 21	AR	As specified by the Commission	On request	Delivery of the requested outputs	
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	On request	Report as request by the Commission	

Vocational Competences						2
Preparation of draft 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.	June 2010	Final draft recommendation	
Assisting to the cooperation amongst Member States in the implementation of the Train Drivers Directive.	Art 16 b - 1 (f)	AR	Facilitate and improve the implementation process on national level by coordinating common understanding regarding Directive provisions and by providing opportunity to meet and exchange experiences.	Ongoing	4 meetings/year	
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	Ongoing	Report at the request of the Commission	
Report on profile and tasks of other crew members performing safety-critical tasks and on possible options for certification in accordance with Article 28 of Train Driver Licence.	Art 16c	AR	Identify the profile and tasks of other crew members performing safety-critical tasks which should be regulated at Community level	June 2010	Final draft recommendation	
Recommendations in regard to a system for accreditation of training centres	Art 17.2	AR	Facilitate the mutual recognition of training services in particular those offered in the context of train driver certification	Sept, 2010	Final draft recommendation	

Databases and Registers						4
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	Jul 2010	Recommendation on specification of the register.	
Register of Infrastructure	Art 35 of 2008/57/EC	ID	Establishing compatibility with rolling stock Establishing progress with establishment of TSI compliant Infrastructure Specification	Jul 2010	Recommendation on specification of the Infrastructure register.	
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	Ongoing	Publication of updated VKMs on first Wednesday of each month (except August)	
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.	Ongoing	Ongoing update of the databases	

total for unit						31
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ERTMS Unit

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	2012	December 2010: second draft of SRS 300; first draft of Operational Rules; second draft of DMI specifications; other lower level interface specifications updated	
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	ongoing	ongoing: CR Database in operation; second half 2010 update of Agency Document if necessary;	
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	ongoing	Validation of SVM specifications for ETCS based on results of TEN-T program second half 2010; definition SVM for GSM-R Dec. 2010	
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.	No deadline in Regulation	Dec. 2010: assessment report to the Commission based on available notifications	
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	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)	ongoing	second half 2010: Report to the Commission on the procedures; if necessary Recommendations in case of incompatibilities or non-equivalence of ERTMS related NNTRS	
CCS TSI	Art 2.1	FM	Revision of the two CCS TSIs including open points, extension of the scope; technical opinions to the Commission on critical errors	ongoing	November final report, December final text July: Launching of revision for extension of the geographical scope*	
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		On demand support	
Evaluate ERTMS certification	Art 21a 7	AR	Evaluate test and certification procedures, in particular the role and organisation of test laboratories and test centres	ongoing	Report to the Commission with recommendation for improvement; second half 2010 in parallel with work on autorisation procedures	
Outsource ETCS system Test compilation	Art 21a 7	AR	write the terms of reference, procure and manage the external contract	Dec 2010	Launch contract 1st quarter; set of specifications, validation report, acceptance from existing laboratories for December 2010	
tot for unit						14

Cross Acceptance Unit

Work	Legal Basis	Of	Overall Objective	Timing	Output in 2010	Unit Staff
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	ongoing	Maintenance strategy and Agency long term plan, 2011 work Programme and 2009 Annual Report	
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	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	
Coordinate the Agency's relationships with stakeholders	Art 3	AR	Overview review the activities of the Agency with stakeholders. Identification of specific problem areas	ongoing	Regular review meetings	
Review the list of parameters in Section 1 of Annex VII to the directive and make recommendations	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)	ongoing	Update of list of parameters as required	
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 ID	AR Ongoing facilitation of the exchange of views and experience for the purpose of harmonising Member State decision-making criteria in respect of the authorisation processes and requirements in national rules relating to the vehicle parameters to be checked including those involving on board ERTMS (with ERTMS unit)	Ongoing	Working party and sub-group meetings. Review of Member State's processes and legal framework for vehicle authorisation (including processes to be adopted for corridors). Documentation of the legal frameworks in the Reference Document	
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 database tool that constitutes the Reference Document	Ongoing	Spreadsheet version of Ref Doc end 2009; IT version late 2010	
National Technical Rules	Art 2,3,4 + Art 9a	FM + AR	Evaluation of NTRs notifications	Ongoing	Reports to the Commission on request	
Evaluation of national rules	Art 9 b 3 Art 27 3	AR	ID Establish equivalence between national rules to facilitate mutual recognition of rules and authorisations	Ongoing	Entry of national rules into the Reference Document: A,C categorisation of the rules according to equivalence	
Studies into technical obstacles to mutual recognition of national rules	Art 9 b 3 Art 27 3	AR	ID Study the underpinning technical basis for the different national requirements in national technical rules	Ongoing	2 studies facilitating the evaluation of national rules	
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	2 months	As required	
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	2 months	As required	
total for unit						13+ 1 SNE

Economic Evaluation

Work	Legal Basis	Overall Objective	Timing	Output in 2009	Unit Staff
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)		Applied methodologies and assessment reports	4,5
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		Reports delivered to Commission, or participation to works of the Commission, or assistance to ERTMS unit	0,5
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)		General methodology updates, questionnaire management, setup of DREAM database	3
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Administration Unit

Work	Legal Basis	Of	Overall Objective	Timing	Output in 2010	Staff
Maintain and further improve the management of the Agency's human resources			* 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		* 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	10,5
Maintain and further improve the financial management throughout the financial cycle from planning and budget preparation to the production of the annual accounts			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		* ABAC Contracts and Assets implemented * Review and documentation of procedures (including validation of the financial system) * Improved management reporting * Ex post controls introduced	14,5
Maintain and further improve the support in the field of information and communication technologies in relation to operational projects, infrastructure and administrative applications			* 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 such as HR management, finance and procurement * Proceed with the establishment and documentation of rules and procedures		* 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	9,5
Maintain and further improve the physical working environment and the logistic support throughout the Agency			* Deal with outstanding issues in relation to the new headquarters in valenciennes * 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		* The new headquarters will be fully operational * Increased need for meeting facilities in Lille accommodated	3,5
Total for unit						38
Directorate			Legal Services, Internal Control, Communications, Secretariat		Support for the Director and Units	11