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|  | **Compliance with the Ex-ante Conditionalities Defined by the European Commission as a Necessary Prerequisite to Draw Funds from the OPT 2012 – 2020**  Railway Infrastructure Administration (RIA): OPT projects management | | | | | | | | |
|  | Adequate administrative capacity in the area | Yes/No | The role of the subject in the implementation structure and the scope of its involvement | Job types created n frame of the particular subject, guaranteeing the fulfillment of activities relevant to particular requirements, and the classification of these jobs within the organization | Assessment whether the activity in question may be governed by the existing organizational model (whether there is sufficient capacity or whether the organizational changes are needed), or, eventually, a plan and scheduling of the necessary changes | Number of employees in relevant job types | Assessment whether the current number of employees is sufficient or whether the increase in headcount is necessary. Information concerning the planned schedule of the capacity increase | Training, assessment and motivation system | Overall assessment of the subject's capacity to guarantee the activity in question and other identified human resources risks (including proposals of how to eliminate them and schedules of relevant measures to be taken) |
| 1 | **Tender procedures** |  | RIA covers both the preparation and implementation of all OPT related tender procedures | The Public Tender Act - related activities are carried out by the employees of both the Civil engineering Administration and the Directorate  **Directorate:**  Modernization division, investment department: system specialists, section directors, department directors and deputy director for the modernization in frame of the defined documentation circulation.  economics division – legal department, procurement & public contract department: system specialists, section director, department director and deputy DG for the economics in frame of the defined documentation circulation.  **Civil engineering administrations**  The following economic, technical and investment divisions employees participate in the tender procedures: system specialists, section directors, information systems deputy DG, deputy DG for economics, Directors | Current organizational model is convenient.  **Directorate:**  The modernization division is responsible for the methodological management of the Public tender act investments, it checks the Public tender act conditions and drafts agreements  The economics division is responsible for the Public tender act related methodology and tender procedures for the TAF-TSI and the TP projects  **Civil engineering administrations:**  Act as the investor's body responsible for the preparation of the tendering documentation, the draft of the Contract for work and the tender procedure organization | **Directorate:**  5 system specialists, 2 section directors, 2 department directors, Deputy DG for modernization and Deputy DG for economics  **Civil engineering administrations**  15 system specialists, 2section directors, 2 Deputy DG for economics, 2 directors  Furthermore, other technical and investment division employees participate in the Public tender act related processes, who also have other tasks to perform | As a result of a great number of OPT1 events, the overlap of two budgeting periods and the new CEF source, the RIA has been continuously adopting measures to enhance the absorption capacity in this area.  The schedule of necessary capacity enhancement is as follows:  **Directorate:**  + 2 system specialists  **Civil engineering administrations**  + 8 system specialists working exclusively on the Public tender act related issues | Education is an ongoing process and is related to eventual changes in relevant legislation  Employees are assessed and motivated through the non-guaranteed part of the salary institute.  The RIA has launched a pilot project of employee assessment through the 360 method | The system of organization of interconnected activities is functional and convenient. The optimal number of employees responsible for the Public tender act related activities depends on the number of tenders for particular periods and on the scope of administrative work necessary to be carried out according to the legislation in the area. In order to eliminate the risks connected to insufficient absorption capacities, it is necessary to increase the number of specialist jobs, see the relevant column, and allow for the operative utilization of support provided by external law firms offering high quality services (through, for example, a framework agreement) |
| 2 | **Fulfillment of the requirements ensuing from the legislation relevant to the environmen-tal protection** |  | RIA guarantees the fulfillment of all legal requirements in the area, both during the preparation and implementation phase | Environmental protection - related activities are guaranteed by employees of the Civil engineering administrations and of the Directorate  **Directorate:**  Rail operability division, environment section: system specialists, section directors  **Civil engineering administrations**  The environmental issues are treated by the Environmental section: system specialists and the section director, with whom the civil engineering division employees are cooperating, as well as the implementation division employees who are responsible for the fulfillment of legislative requirements | The current model is based on the cooperation of specialized units within the Directorate and Civil engineering administration, and, furthermore, within the Civil engineering administration, on the cooperation with the units working on both preparation and implementation. This model is convenient and it is necessary to develop and enhance it. | **Directorate:**  4 system specialists + section director  **Civil engineering administrations**  3 system specialists + section director + employees working on the preparation and implementation  Furthermore, other technical and investment division employees who also have other tasks to perform | The great number of events and the complexity of the environmental issues concerning the entire project cycle taken into consideration, it is necessary to adopt, in this area, certain human resources measures that would enhance the absorption capacity of the preparation and implementation of the projects.  The proposal is as follows:  **Directorate:**  + 2 system specialists  **Civil engineering administrations**  + 3 system specialists working exclusively on the Public tender act - related issues | Education is an ongoing process and is related to eventual changes in relevant legislation  Employees are assessed and motivated through the non-guaranteed part of the salary institute  Currently, the RIA has launched a pilot project of employee assessment through the 360 method | It is possible to expect that the proposed capacity will be able to cover efficiently the raised issues  It is not convenient to co-finance these jobs from the TP OPT or TP CEF for the following reasons:   1. A total of 6 Civil engineering administration employees  (currently 3) will be working both on the preparation and implementation phase of all projects, regardless the source of financing. 2. The Directorate employees address the issues transversely, across all RIA activities |
| 3 | **Preparation of high quality projects (“project pipeline”) and their promotion, i.e. the process of preparation and implementation of projects** |  | RIA guarantees, according to the Ministry of transport strategy, both preparation and implementation of the projects | The preparation and implementation of the projects is guaranteed by the Civil engineering administration and units of the Directorate  **Directorate**  026 (strategy) – system specialists, section directors, department directors  Modernization division - investment department (07), construction preparation department (06), EU funds section: system specialists, section directors, department directors a Deputy DG for modernization in frame of the defined documentation circulation.  And, furthermore, selected experts of special units of the Directorate in frame of the construction works preparation (assessment of technical solutions ...)  **Civil engineering administrations**  Projects are prepared by the employees of technical divisions and they are implemented by the employees of investments divisions. system specialists, railway transport engineer, section directors, information systems director, directors  Regional Directorate | RIA is one of the few investment organizations providing for a turn-key preparation and implementation of the projects, which is a highly efficient model, approved by years of practice. In frame of the RIA, specialist units cooperate on the above, such as the Directorate, the Civil engineering administration and department directors, as defined by the organizational rules. This model is fully functional and it is desirable to further develop and enhance it. | **Directorate**  026 – 3 system specialists  Modernization division – 33 system specialists, 8 section directors,2 department directors, deputy DG for modernization  special units of the Directorate - O12,13,14,20 – approx. 27  **Civil engineering administrations**  A total of 73 employees participate in the preparation ( system specialists and lawyers responsible for property settlements), 3 Deputy DG, 4 heads of regional offices and 12 section directors.  A total of 127 employees participate in the implementation (construction supervisor, technical support employees), 4 deputy DG and 14 technical support section directors  Regional Directorate - 21 system specialists approx. (3 employees per department director) – preparation support and support of construction supervisors). Civil engineering administration see item no. 5 | The jobs covering the area of preparation and implementation are crucial to ensure the absorption of financial means and a functional implementation of the projects. Current workload is a minimum of 4 large construction sites per 1 construction supervisor (each construction site has an RIA supervising team), plus several smaller construction sites, meanwhile the administrative complexity of the projects has been growing. It is necessary to enhance the human resources backup of both areas in order to guarantee the quality of the preparation and implementation of the projects.  Directorate  + 15 system specialists for the Modernization division and O26  + 11 system specialists for special units of the Directorate (O12,13,14,20)  Civil engineering administrations  The area of preparation including legal services + 15 system specialists  The area of implementation +29 system specialists  Regional Directorate - for the information, see item no. 5 | RIA provides for training according to relevant job positions and specializations.  Employees are assessed and motivated through the non-guaranteed part of the salary institute  Currently, the RIA has launched a pilot project of employee assessment through the 360 method | The absorption capacity of the RIA has reached its limits both in the are of preparation and implementation. The work load has been increasing as a result of the growing administrative burden and an intensive system of controls and audits. It is necessary to enhance both the quality and headcount of both areas. Except for increasing the number of highly skilled specialists, other measures are implemented and the most exposed jobs are temporally strengthened. Another part of the strategy is to train new specialists who are going to replace those who are retiring. This strategy, however, is made difficult by the lack of technical and economic specialists on the job market. It is very difficult to properly respond to significant changes of the volume of work by finding appropriate headcount. The absorption capacity is also influenced by the availability technical equipment.  Measures taken to eliminate the risks falls under personal management (increasing the number of employees, cooperation with universities) but cover also purchase of technical equipment, partially under the TP support and the introduction of a high quality comprehensive information system.  Another solution, furthermore, is a possibility to operatively use the support of external lawyers (through framework agreements, for example).  The proposed solutions do not influence the current way of outsourcing of specific services (such as construction designs, feasibility studies, environmental assessment) and they are not meant to replace them (it is not the increase in capacity that is discussed but a modification of form). |
| 4 | **Financial management of the projects** |  | The RIA finances both the preparation and implementation of the projects.  These activities are provided for:  Planning/ budgeting measures, change management  Claiming resources  Budget management  Payments/  accounting | **Directorate**  Investment department (07)- department directors, section directors, system specialists  economics division financial department (O1) and the economics and controlling department (O2): section directors, system specialists  **Civil engineering administrations**  The financial management for the preparation and implementation areas is provided by: construction economists and system specialists  For the economics deputy DG financial examiners, system specialists, section directors, economics deputy DG | Current organizational model is convenient  Directorate  The investment department keeps track of the overall investment budget, administers budgeting measures, claiming resources, processes the payment requests and develops analyses, overviews and support materials for the RIA, Ministry of transport and State fund of transport infrastructure management  The economics division creates the methodology, it administers the VAT, invoice and technical assistance payments, reposting and refunds  Civil engineering administrations keep track of the project budget, keep the books concerning the costs of the project, carry out the payments to contractors, reposting and refunds | **Directorate**  Investment department – 10 system specialists + section directors  economics division – 5 system specialists + 3 section directors  **Civil engineering administrations**  Preparation 16 employees  Investment (implementation) – 20 employees  economics division – 13 employees + 2 economics deputy DG | **Directorate**  + 3 system specialists  **Civil engineering administrations**  Preparation area +2 system specialists (construction economists)  Implementation area + 5 system specialists (construction economists) | RIA provides for training according to relevant job positions and specializations.  Employees are assessed and motivated through the non-guaranteed part of the salary institute  Currently, the RIA has launched a pilot project of employee assessment through the 360 method | The system of organization is functional and convenient. Since the requests for finances are carried out in various sections, it would be ideal to create a coordinating function within the economics division that would coordinate the OPT project -related agenda within the economics division.  Continuous release of resources, bringing down the administrative burden in the process of planning financing, and reinforcing of the investor's autonomy in the process of financial management of smaller projects are an important prerequisite for a continuous and smooth resource release. |
| 5 | Maintenance and management of established infrastructure  (administrative, technical and financial) |  | RIA is responsible for the maintenance and management of the established infrastructure from the following perspectives:   * Financial * Technical * Administrative | The following Directorate and regional directorate units participate in the maintenance-related activities  **Directorate**  The operability division, O 15, the operability department, the department of operability and mechanization, the controlling, infrastructure and testing section - system specialists, section directors, department directors  economics division, finance department, economics and controlling department - system specialists, section directors  Modernization division, O 7 system specialist  **Organizational units - department director, Railway geodetics administration, Railway energy administration, Technical center of infrastructure, Fire service –** a comprehensive catalogue of specialist jobs  operability  rail director, rail administrator,  chief rail master, mechanic, rail master, signal technician, the maintenance and repair technician, rail construction ironworker, fire fighter specialist, track worker, patrol man  Operation management  e.g. dispatcher, signaler, switch controller, railway transport operator, station controller | The current organizational model is convenient to guarantee the maintenance of the infrastructure  the operability organizational units are responsible for the activities related to the operability of the railway infrastructure (according to the Act no. 266/1994, section 2, paragraph 2 and section 20, paragraph 1 as amended), including the controlling and assessment of the technical condition of the railway infrastructure, realization of repairs and maintenance, cooperation on the preparation and implementation of investment projects  The operation management divisions are responsible for the activities related to the running of the railway infrastructure, organization of the rail transportation on the railway infrastructure according to the Act no. 266/1994, section 2, paragraph 3 and 4 as amended, for the gathering of the documentation necessary to create the time-distance graphs (TDG),  processing of local technological procedures and basic transport documentation (BTD), transport inspection, organization of trainings,  dispatcher courses, examinations, organization of the switch off, examination and activation of the signaling system  administration of operation applications, ongoing monitoring of the quality of the railway infrastructure, including the consecutive analyses of the impact on railway transport. | **Directorate**  Operability division - 26 system specialists, 3 section directors  economics division – 3 system specialists a section directors  The deputy DG for modernization – 1 system specialist  system specialist  **Regional Directorate,** **Railway energy administration,** **Railway geodetics administration, Technical center of infrastructure, Fire service**  17 146 employees approx. | **Directorate**  The growing number of projects co-financed from the operability portfolio taken into consideration, it is necessary to increase the number of the Directorate employees by 2 system specialists  **Regional Directorate**  In the past, the number of employees of the department director, Railway energy administration, Railway geodetics administration, Technical center of infrastructure and Fire service was, for various reasons, decreased. The current state is not satisfactory. In order to stabilize it, approximately 40 employees need to be hired. | RIA provides for special and regular trainings according to relevant job positions and specializations and with respect to current legislation.  Employees are assessed and motivated through the non-guaranteed part of the salary institute  Currently, the RIA has launched a pilot project of employee assessment through the 360 method | Absorption capacity in the area of infrastructure maintenance is not sufficient.  The RIA adopts measures complete the headcount with the aim to do it by the end of 2015.  The proposed enhancement of the RIA was approved by the board of directors and it has been launched. There is an effort to offer these new jobs to employee from other RIA functions that have been eliminated. |
| 6 | **Complex systems management in the given transport sector (ITS, such as ERTMS)** |  | The implementation of the ITS in the railway transport proceeds according to the EU legislation. The implementation and the operation of the railway parts of the system is guaranteed by the RIA. | **Directorate**  the strategy department O26, the IT department O22, the basic operations department 012, the railway economics department O13, the automation department 014  - system specialists, section directors, department directors  Civil engineering administrations  system specialists, section directors | Organizational model is convenient  O26 guarantee the compliance of the implementation plan with the EU targets and seeks feedback from the EU bodies (EC and ERA) and other organizations (CER, UIC...)  Special RIA units guarantee special and organizational conditions needed for the implementation and methodology of the subsequent operation of the implemented systems.  Civil engineering administrations implement the remote control signaling equipment (information given in part 3, project pipeline)  The civil engineering administration Prague West concentrates on the preparation and implementation of the ERTMS constructions (i.e. GSM – R and ETCS) within the entire RIA railway network.  The executive elements of the RIA (department director, Technical center of infrastructure and central control room) are responsible for the administration and operation of the implemented systems | **Directorate**  Strategy department – 1 system specialist  Employees of other departments of the Directorate work on these issues as a part of their agenda (O12,O22 (ITS)  O14)  **Civil engineering administrations**  Preparation division - 3 system specialists a 2 section directors (all only part time)  Implementation division – 5 technological construction specialists | **Directorate** O26: +1  **Civil engineering administrations**  Preparation division +1 system specialist  Implementation division + 4 system specialists | Education is an ongoing process and is related to eventual changes in relevant legislation  Employees are assessed and motivated through the non-guaranteed part of the salary institute  Currently, the RIA has launched a pilot project of employee assessment through the 360 method | In order to fulfill the EU regulation concerning the TSI, it is necessary to reinforce the RIA absorption capacity. The process needs to be launched as soon as on the level of colleges because there is a great lack of graduates. Another factor is the limited capacity of the project designers who have to cope with the lack of specialists.  **The ERTMS projects are addressed, within the RIA, solely the special Construction administration West section, covering the entire railway network. We suggest the reinforcement of this section.**  Methodological and conceptual activities fall under the agenda of the Strategy department, with one specialist ( **+1 perspectively).**  **There is no overlap with other RIA units.** |
| 7/8 | Internal procedures enabling to efficiently monitor the projects, identify possible delays, and guarantee the public tender procedure  Internal procedures enabling to timely detect issues in project implementaion |  | In the implementation structure of the projects co-financed from the EU funds, comprising institutions such as Ministry of transport, the state fund for transport infrastructure, ministry of finance, ministry of regional development. These institutions carry out the ex ante control, ongoing monitoring and follow up control, the RIA is responsible for the internal control and monitoring of prepared and implemented projects and cooperates with the above institutions  RIA is responsible for an ongoing technical and financial monitoring of the implementation of the projects in order to timely detect any possible issues | The management control as well as monitoring is ongoing on all levels of the RIA, in all organizational units and in the Directorate.  The management control falls under the responsibilities of the management, according to the organizational rules.  Furthermore, monitoring of horizontal (such as preparation of the projects, drawing of funds) as well as vertical (individual projects) has been set.  There are two types of monitoring: monitoring according to internal rules and monitoring carried out for superordinate bodies (MT, State fund of transport infrastructure).  Directorate and civil engineering administrations have allocated human resources to carry out monitoring and controlling activities and, furthermore, employees responsible for the preparation and implementation within the economics divisions with whom they cooperate  The construction supervisors teams are responsible for the technical and financial supervision of the investor. Also, there is the OHS supervision, as defined by the legislation and internal rules. | Current internal organizational model is functional. Procedures and duties are defined within a system of internal rules. Duties with respect to superordinate bodies are set in these bodies' instructions and methodologies.  RIA starts to implement the internal monitoring system ASPE. To monitor the projects and identify risks, a system of control days has been set up by the Civil engineering administrations and individual projects.  The increase in requirements with respect of the volume of monitored data and cooperation with the audits is very demanding as for the personnel capacity.  In order to ensure the transparency of public tenders, a specific system has been set up, as well as internal rules and template documents that prevent influencing the public tender act related procedures.  Technical and financial supervision is guaranteed on an ongoing basis during the construction work, during special audit days (the entire supervision team, director of the construction site and environmental and OHS specialists participating) concerned bodies and municipalities, during the controlling days of the civil engineering administrations with the participation of the deputy DG for modernization, MT and State fund of transport infrastructure. Furthermore, specific controlling days are organized concerning the horizontal issues, such as project preparation, risk assessment | Employees administering solely the controls and audits.  **Directorate**  4 system specialists (OI), working exclusively in the area of monitoring and controlling  **Civil engineering administrations**  4 system specialists  Regular construction sites monitoring and preparation of the controlling days is furthermore covered by three employees (as an extra to their regular agenda), see item no. 3 | The intensive monitoring and increased number of audits requires an increase  Directorate +4 system specialists  Civil engineering administrations + 2 system specialists. | Education is  a/ an ongoing process and is related to eventual changes in relevant legislation  b/ special or organized on an on-going bases by the department directors or the intermediate body  Employees are assessed and motivated through the non-guaranteed part of the salary institute | The system of the organization of the related activities is functional and convenient. We propose to slightly increase the headcount  Furthermore, we propose to organize common trainings for the department directors and intermediary bodies concerning the findings of the controls that would lead to a definition of recommendations and instructions how to prevent them. |