



**COUNCIL OF  
THE EUROPEAN UNION**

**Brussels, 16 July 2013**

**12392/13**

---

---

**Interinstitutional File:  
2013/0237 (NLE)**

---

---

**AVIATION 109**

**PROPOSAL**

---

from: European Commission  
dated: 12 July 2013

---

No Cion doc.: COM(2013) 503 final

---

Subject: Proposal for a COUNCIL REGULATION amending Regulation (EC) No 219/2007 on the establishment of a Joint Undertaking to develop the new generation European air traffic management system (SESAR) as regards the extension of the Joint Undertaking until 2024

---

Delegations will find attached a proposal from the Commission, submitted under a covering letter from Mr Jordi AYET PUIGARNAU to Mr Uwe CORSEPIUS, Secretary-General of the Council of the European Union.

---

Encl.: COM(2013) 503 final



Brussels, 10.7.2013  
COM(2013) 503 final

2013/0237 (NLE)

Proposal for a

## **COUNCIL REGULATION**

**amending Regulation (EC) No 219/2007 on the establishment of a Joint Undertaking to develop the new generation European air traffic management system (SESAR) as regards the extension of the Joint Undertaking until 2024**

(Text with EEA relevance)

{SWD(2013) 262 final}

## EXPLANATORY MEMORANDUM

### 1. OBJECTIVE OF THE PROPOSAL

The Single European Sky Air Traffic Management Research (SESAR) Joint Undertaking (the SJU), a public private partnership established in 2007<sup>1</sup>, is the implementation instrument for the technology pillar of the Single European Sky (SES) and, in this respect, is in charge of the SESAR project's development phase, *i.e.* is the "guardian" and the executor of the European ATM Master Plan (ATM Master Plan)<sup>2</sup>.

The Regulation (EC) 219/2007 (SJU Regulation) establishes that the SJU will cease to exist on 31 December 2016, as the Union funding to the Joint Undertaking's development phase is limited to the period covered by the Union's 2007-2013 financial perspectives. The Regulation already foresees the possibility for the Council to review the scope, governance, funding and duration of the Joint Undertaking on the basis of progress made in the development phase. As it is necessary to continue research and innovation on air traffic management (ATM) beyond 2016, and in particular, the coordinated approach in ATM research and innovation in the context of the SES to achieve the performance targets there defined, this legislative proposal seeks to extend the duration of the Joint Undertaking beyond 2016. The multiannual funding for the new activities highlighted in the ATM Master Plan from 2014 to 2020 under the Union's new financial framework<sup>3</sup> is part of Horizon 2020<sup>4</sup>.

### 2. JUSTIFICATION OF THE PROPOSED MEASURE

#### 2.1. Context

The SES legislative framework consists of four Basic Regulations<sup>5</sup>. The four Regulations adopted in 2004 (the SES I Package) have been revised and extended in 2009 with Regulation (EC) n° 1070/2009<sup>6</sup> aiming at increasing the overall performance of the air traffic management system in Europe (the SES II Package).

This framework also includes more than 20 Implementing Rules and Union Specifications ("technical standards") adopted by the European Commission starting from 2005 in view of ensuring interoperability of technologies and systems.

SES focuses on performance through institutional changes and the regulatory framework but also includes a major technological pillar, the SESAR project.

---

<sup>1</sup> Council Regulation (EC) 219/2007 under Article 171 (now TFEU 187) of the Treaty establishing the European Community.

<sup>2</sup> SESAR, *The Roadmap for Sustainable Air Traffic Management – European ATM Master Plan* (edition 2), October 2012.

<sup>3</sup> *A budget for Europe 2020*, COM(2011)500 and COM(2011)398, both dated 29.6.2011.

<sup>4</sup> *Proposal for a Council decision establishing the Specific Programme implementing Horizon 2020 - The Framework Programme for Research and Innovation (2014-2020)* – COM(2011) 811 final.

<sup>5</sup> Council Regulations (EC) No 549/2004, No 550/2004, No 551/2004 and No 552/2004 of 10.03.2004, OJ L96, 31.03.2004, p. 1)

<sup>6</sup> OJ L300, 14.11.2009 p, 34

The ATM Master Plan is the agreed roadmap that links ATM research and innovation activities with deployment scenarios contributing to the achievement of the SES performance objectives through the modernisation of ATM technologies and procedures.

The coordination and interaction between development and deployment is essential for the success of the SESAR project and for the full implementation of the SES.

## **2.2. The current activities**

The SJU is responsible for coordinating and managing the R&I activities of the SESAR project in accordance with the ATM Master Plan. It is also responsible for executing and maintaining the ATM Master Plan. The most recent version of the ATM Master Plan, approved in 2012, identifies the "Essential Operational Changes" that need to be implemented in three main steps to lead to the full deployment of the new SESAR concept by 2030:

- Step 1 – time based operations - concentrates on unlocking latent capability particularly by improving information sharing to optimize network effects.
- Step 2 – trajectory based operations - develops the System Wide Information Management (SWIM) and initial trajectory management concepts to increase efficiency.
- Step 3 – performance based improvements - will introduce a full and integrated trajectory management with new separation modes to achieve the long term political goal of SES.

The agreed and current work programme of the SJU covers Step 1 and, considering the maturity level of technology and operations, a large portion of Step 2 of the ATM Master Plan. In this respect, the SJU progress reports confirm that Step 1 and approximately 70% to 80% of Step 2 are expected to be delivered by the end of 2016. Moreover, although the current SJU work programme broadly covers the full R&I cycle, it mainly focusses on pre-industrial developments.

## **2.3. Evaluation of the SJU**

In December 2011, the Commission stated its intention to carry out the necessary assessments and consultations in view of extending the SJU beyond 2016<sup>7</sup>.

The following assessments and consultations have also examined whether there was a need to more substantially review the SJU regulation, e.g. to extend its scope of activities and possibly to modify its governance.

The SJU mid-term evaluation<sup>8</sup> revealed that the SJU performed well, both in terms of setting up and building its organisation as well as conducting its designated tasks, *i.e.* coordinating and managing the R&D activities in order to achieve SESAR's objectives.

The SJU's sound financial management has also been confirmed by the reports on the annual accounts<sup>9</sup>.

---

<sup>7</sup> Governance and incentive mechanisms for the deployment of SESAR, the Single European Sky's technological pillar COM (2011) 923 final.

<sup>8</sup> *Mid-Term Evaluation of the SESAR Joint Undertaking (TREN/A2/143-2007)*, Final Report, 2010.

Various consultations, including a public consultation led by the Commission's Directorate-General for Mobility and Transport (DG MOVE), show that support for an extension of the SJU is unanimous. The consultation process and the annual activity reports of the SJU also show that the SJU is on track with its activities and delivering according to the ATM Master Plan.

The current scope of the SJU allows it to cover all R&D activities in the Union aiming to modernise ATM in Europe. The SJU has carried out activities addressing the whole ATM research and development (R&D) lifecycle, including long term ATM research. The consultations confirmed that there is no need to change the scope of the SJU, although it may be necessary to slightly adjust the focus of its activities within that scope. In addition, no formal distinction can be made between each phase of the ATM innovation cycle, as they mutually interact. Hence, there is no need to change the SJU scope.

As far as the SJU membership process and governance are concerned, there is no evidence that changes are necessary. These processes are sufficiently open and transparent to accommodate any adjustments that may be necessary in an extended SJU.

A stronger focus on delivering deployable results has already been taken into account in its current management and will be further developed in the next two years.

#### **2.4. The next phase**

The deployment of the SESAR concept still requires coordinated development and validation activities to complete Step 2 and to fully address Step 3 of the ATM Master Plan.

Furthermore, now that the deployment process is about to be launched, the balance of resources allocated to the different phases of the R&I cycle could be reviewed to keep innovative ideas flowing in. In particular, more efforts could be put into exploratory research. Large scale demonstration activities focused on performance benefits, on conducting integrated and coordinated advanced validation and on demonstration activities showing readiness for deployment and for operational and/or technological transition will now be set up.

A future programme set from 2014 and operating for up to 10 years cannot be fixed once at the outset, provisions will need to be made to allow promising results from exploratory research to evolve in applied research, development and preparation for deployment thus accommodating an evolution of the topics contributing to the SES.

The SJU will draw up its multiannual work programme to complete Step 2 and address Step 3 of the ATM Master Plan following the prescriptions laid out in the Statutes annexed to Regulation (EC) 219/2007 (Article 16) and submit it for approval to its Administrative Board (Article 5).

---

<sup>9</sup> *Report on the annual accounts of the SESAR Joint Undertaking for the financial year 2010 (2011/C 368/05) (all the previous reports are positive). Court of Auditors report, OJ C 368/32.*

### **3. EX ANTE EVALUATION**

An ex-ante evaluation has been carried out and is attached to this proposal (document SEC(2013)xxx). It confirms the usefulness and efficiency of an extension of the SJU under Horizon 2020 to reach the SES performance objectives.

### **4. LEGAL ELEMENTS OF THE PROPOSAL**

The legal basis for the proposal is Article 187 TFEU, formerly Article 171 of the Treaty establishing the European Community, which has served as legal basis for Regulation 219/2007.

### **5. BUDGETARY IMPLICATION**

In the light of the above, the Commission proposes to provide again for a multiannual financial envelope to be imputed into the Union budget for the period from 1 January 2014 to 31 December 2020 coinciding with the new multiannual financial framework. In accordance with the Commission package of June 2011 "A Budget for Europe 2020" and the current practice the amount should be taken from the budget line 'Achieving a resource-efficient, environmentally-friendly, safe and seamless European transport system'. The Commission thus proposes earmarking an amount of up to EUR 600 million<sup>10</sup> (including EFTA contribution) for the reference period. This amount is indicative because it is subject to the negotiations currently on-going on the Multi-Annual Financial Framework for the period 2014-2020 and to negotiations with private partners. The SJU activities cover the ATM Master Plan. Taking into consideration the level of maturity, the current Programme is focused to deliver Step 1 – Time Based Operations and largely Step 2 – Trajectory Based Operations of the ATM Master Plan. The activities to be carried out under the 2014-2020 Multi Financial Framework cover the highest maturity level of Step 2, for which the technology and operations are expected to be available by 2016, and the full scope of Step 3 – Performance based operations of the ATM Master Plan. The SJU's work programme financed under the Union's 2007-2013 financial perspectives is proceeding and managed to be completing its activities by 31.12.16, while new activities will be phasing in from 2014 onwards. This will allow the current Members willing to continue participating in the SESAR project, to maintain the needed level of resources for the new work programme starting in 2014 without interrupting their activities. Details are provided in the attached legislative financial statement and the ex-ante evaluation. The annual amounts should be authorised by the Budgetary Authority in accordance with the budgetary procedure.

### **6. CONTENT OF THE PROPOSAL**

In order to extend the duration of the SJU, it is necessary to amend Regulation (EC) 219/2007, as follows:

---

<sup>10</sup> Indicative amount in current prices. The amount will depend on the final agreed amount for DG MOVE for the theme 'Smart, green and integrated transport' which will be approved by the Budgetary Authority in the final version of the legislative and financial statement..

- (1) Article 1, paragraph 2 is modified in order to extend the duration of the SJU until 31 December 2024. As the ATM Master Plan has been endorsed by the Council, it is no longer necessary to refer to it.
- (2) Article 1, paragraph 3 is deleted as the ATM Master Plan has been communicated to the European Parliament.
- (3) Article 1, paragraph 5, 5<sup>th</sup> indent is modified to clearly entitle the SESAR JU to award grants to its Members and other participants, considering Horizon 2020 Rules for Participation.
- (4) Article 2a, paragraph 5 is adapted by removing the limitation of 8 years on the employment contracts of temporary agents and contract agents, which could hinder the continuity of the employment of experienced staff for a body having a limited duration. For the same reason, the limitation of employment contracts to a fixed period renewable once and for a fixed period only was abandoned. Article 2a (5) already establishes a limitation: the period of engagement cannot exceed the duration of the Joint Undertaking. In any case, the provisions of the Staff Regulations of Officials of the European Union, the Conditions of Employment of other servants of the European Union and the related rules for application shall apply.
- (5) Article 4, paragraph 2, first sentence, the new amount of the EU contribution of up to EUR 600 million<sup>11</sup> (including EFTA contribution) for the 2014-2020 financial framework under Horizon 2020 is included.
- (6) Article 4, paragraph 3 is adapted in order to reflect the extension of the Joint Undertaking.
- (7) Article 4a, paragraph 1 is amended to reflect the new Framework Financial Regulation.
- (8) Article 4a, paragraph 2 is deleted as the provisions it offered are covered by the general reference to the new Framework Financial Regulation.
- (9) Article 7, first sentence is modified to comply with Horizon 2020 evaluation rules.

The proposal also contains three transitional provisions:

- (1) Article 2 that limits the mandate of the Executive Director in place on 1.1.2009 to 31 December 2016 to ensure coherence with Article 3 of the amending Regulation No 1361/2008.
- (2) Article 3 terminates by 31 December 2016 the membership of the current members of the Joint Undertaking who do not contribute to activities that will be financed by Horizon 2020 under the 2014-2020 financial framework. This provision aims to prevent “sleeping partners” in the Joint Undertaking.

---

<sup>11</sup> Indicative amount in current prices.

- (3) Article 4 terminates the SJU activities financed under the 7<sup>th</sup> Framework Programme for research by 31<sup>st</sup> December 2016, except for the project management activities related to the closing down.

The Annex of the SJU Regulation, which contains the Statutes of the SJU, is amended as follows:

- (1) In Article 5, paragraph 1(m) has been modified to clearly specify that the SJU may award grants to implement the ATM Master Plan, considering the Rules for participation laid down in Horizon 2020.
- (2) In paragraph 2(a), the number of the Administrative Board meetings per year has been changed from four to three. The experience over the past years has shown that three mandatory meetings per year are sufficient to deal with the ordinary administration of the SJU and allows the Board to fulfil its obligations. Moreover, preparing these meetings, within the relatively short interval between them, increases the administrative burden. Furthermore, additional meetings of the Board can be organised if needed.
- (3) Article 6, paragraph 1, is modified to clarify the SJU procedure of awarding grants, considering the Rules for participation laid down in Horizon 2020.
- (4) In Article 7, paragraph 2 has been adapted to change the term of office of the Executive Director from 3 years into 5 years, renewable once. This change avoids that the term of office of the Executive Director comes to an end at the end of the duration of the SJU. Such a situation would be difficult to manage from the point of view of continuity. Moreover, at that time the most of the programme of the SJU would be already close to be finalised, which might lead to a lack of attractiveness of such a vacancy for suitable candidates.
- (5) Article 10, paragraphs 2 and 3 are modified to clarify that the SJU awards grants, considering the Rules for participation laid down in Horizon 2020.
- (6) Article 13, paragraph 2 is modified in accordance with Article 8(4) of the 2013 Financial Regulation, interest generated by the Union contribution is only due to the Union where provided for in the delegation agreement.
- (7) Article 16, paragraph 1, now includes a reference to the financial framework referred to in Article 4(2). This modification aims to distinguish activities of the SJU's work programme funded under the 2007-2013 financial perspectives from those funded under the 2014-2020 financial framework. This differentiation is important for the period 2014-2016 during which activities under the previous work programme and the new one are carried out simultaneously.
- (8) Article 17 has been modified to take into account the standard provision on the protection of the Union financial interests and the 2013 Financial Regulation, in particular its Article 60.

Finally, the Regulation has been adapted to Article 291 of the Lisbon Treaty on implementing acts.



Proposal for a

**COUNCIL REGULATION**

**amending Regulation (EC) No 219/2007 on the establishment of a Joint Undertaking to develop the new generation European air traffic management system (SESAR) as regards the extension of the Joint Undertaking until 2024**

(Text with EEA relevance)

THE COUNCIL OF THE EUROPEAN UNION,

Having regard to the Treaty on the Functioning of the European Union, and in particular Articles 187 and 188 thereof,

Having regard to the proposal from the European Commission,

Having regard to the opinion of the European Parliament<sup>1</sup>,

Having regard to the opinion of the European Economic and Social Committee<sup>2</sup>,

Whereas:

- (1) The Single European Sky Air Traffic Management Research and Development project (the 'SESAR project') aims to modernise the air traffic management ('ATM') in Europe and represents the technological pillar of the Single European Sky. It aims by 2030 to provide the Union with a high performance air traffic control infrastructure which will enable the safe and environmentally friendly development of air transport.
- (2) The SESAR project comprises three interrelated, continuous and evolving collaborative processes: the definition of the content and priorities, the development of new technological systems, components and operational procedures of the SESAR concept and the deployment plans of the next generation of ATM systems contributing to the achievement of the Single European Sky performance targets.
- (3) The first phase of the definition process ran from 2004 to 2008 and delivered the first edition of the European ATM Master plan (the 'ATM Master Plan'). The ATM Master Plan identifies three steps in the SESAR development process: Time Based operations

---

<sup>1</sup> OJ C , , p. .

<sup>2</sup> OJ C , , p. .

(Step 1), Trajectory Based Operations (Step 2) and Performance Based Operations (Step 3).

- (4) The SESAR Joint Undertaking (the 'Joint Undertaking') was set up by Regulation (EC) No 219/2007<sup>3</sup> of 27 February 2007, for the purpose of managing the activities of the development process of the SESAR project under the Union's 2007-2013 financial perspectives.
- (5) The Joint Undertaking's work programme, covered by the Union's 2007-2013 financial perspectives, addresses all elements of Step 1 and approximately 80% of Step 2 of the ATM Master Plan. The related activities should be completed by 2016. The remaining activities of Step 2 and those related to Step 3 should start in 2014 under the Union's 2014-2020 financial framework.
- (6) In accordance with Article 1(2) of Regulation (EC) No 219/2007, the Joint Undertaking should cease to exist on 31 December 2016 or eight years after an endorsement by the Council of the European Air Traffic Management Master Plan (the 'ATM Master Plan'), whichever is the earlier. The Commission communicated the ATM Master Plan to the Council on 14 November 2008<sup>4</sup> and the Council endorsed it on 30 March 2009.
- (7) The Joint Undertaking fulfils the criteria for public-private partnerships established under Decision (EU) No .../2013 of the Council of ... 2013 establishing the Specific Programme implementing Horizon 2020 (2014-2020)<sup>5</sup> (the 'Horizon 2020 Specific Programme').
- (8) To continue the development of the activities defined in the ATM Master Plan, it is necessary to extend the duration of the Joint Undertaking until 2024, which reflects the duration of the Union's 2014-2020 financial framework and allows 4 additional years for completion of projects that would be initiated by the end of that period.
- (9) Council Regulation (EC) No 1361/2008 of 16 December 2008 amending Regulation (EC) No 219/2007 on the establishment of a joint undertaking to develop the new generation European air traffic management system (SESAR)<sup>6</sup> indicates that the mandate of the Executive Director in force on 1 January 2009 shall cease on the date on which the Joint Undertaking shall cease to exist and that in the event of an extension of the duration of the Joint Undertaking, a new procedure leading to the appointment of the Executive Director should be launched in accordance with Article 7(2) of the Annex to Regulation (EC) No 219/2007.
- (10) The membership of members of the Joint Undertaking who do not contribute to the activities financed under the Union's 2014-2020 financial framework should be terminated by 31 December 2016.
- (11) The experience acquired from the operation of the Joint Undertaking as a Union body under Article 185 of Regulation (EC, Euratom) No 1605/2002<sup>7</sup> shows that the current

---

<sup>3</sup> OJ L 64, 2.3.2007, p. 1–11

<sup>4</sup> OJ C 76, 25.3.2010, p. 28–31

<sup>5</sup> OJ ... [H2020 SP]

<sup>6</sup> OJ L 352, 31.12.2008, p. 12–17

<sup>7</sup> OJ L 248, 19.6.2002, p. 1

framework of operation is sufficiently flexible and adapted to the needs of the Joint Undertaking. The Joint Undertaking should operate in accordance with Article 208 of Regulation (EU, Euratom) No 966/2012 of the European Parliament and the Council of 25 October 2012 on the financial rules applicable to the general budget of the Union<sup>8</sup>, which replaced Article 185 of Regulation No 1605/2002, and should adopt financial rules which should not depart from the framework Financial Regulation except where its specific needs so require and with the Commission's prior consent.

- (12) The participation in indirect actions funded by the Joint Undertaking should comply with Regulation (EU) No ... /2013 of the European Parliament and of the Council of [...] 2013 laying down the rules for the participation and dissemination in "Horizon 2020 - the Framework Programme for Research and Innovation (2014-2020)"<sup>9</sup> and no derogation in accordance with Article 1(3) of Regulation (EU) No [...] should be required.
- (13) In order to ensure uniform conditions for the implementation of this Regulation, implementing powers should be conferred on the Commission. Those powers should be exercised in accordance with Regulation (EU) No 182/2011 of the European Parliament and of the Council of 16 February 2011 laying down the rules and general principles concerning mechanisms for control by Member States of the Commission's exercise of implementing powers.
- (14) Therefore, Regulation (EC) No 219/2007 should be amended accordingly,

HAS ADOPTED THIS REGULATION:

#### *Article 1*

#### **Amendments to Regulation (EC) No 219/2007**

Regulation (EC) No 219/2007 is amended as follows:

1. Article 1, is amended as follows:
  - (a) paragraph 2 is replaced by the following:

“2. The Joint Undertaking shall cease to exist on 31 December 2024.”;
  - (b) paragraph 3 is deleted;
  - (c) in paragraph (5), the fifth indent is replaced by the following:

"- ensuring the supervision of activities related to the development of common products duly identified in the ATM Master Plan, through grants to Members and through the most appropriate measures, such as procurement or the award of grants following calls for proposals to achieve the programme objectives, in accordance with Regulation (EU) No[...] laying down the rules for participation and dissemination in 'Horizon 2020 – the Framework Programme for Research and Innovation (2014-2020)'.“;

---

<sup>8</sup> OJ L 298, 26.10.2012, p. 1–96

<sup>9</sup> OJ ... [H2020 RfP]

2. In Article 2a, paragraph 5 is replaced by the following:

“5. The staff of the Joint Undertaking shall consist of temporary agents and contract agents. The total period of engagement shall not in any case exceed the duration of the Joint Undertaking.”;
3. Article 4 is amended as follows:
  - (a) the first subparagraph of paragraph 2 is replaced by the following:

"2. The maximum Union contribution covering the costs under the Multiannual Financial Framework 2014-2020 shall be EUR 600 million<sup>10</sup>, including EFTA contributions, paid from the budget appropriations allocated to the Horizon 2020 - The Framework Programme for Research and Innovation (2014-2020).";
  - (b) paragraph 3 is replaced by the following:

"3. All Union financial contributions to the Joint Undertaking shall cease upon expiry of the 2014-2020 financial framework unless otherwise decided by the Council on the basis of a Commission proposal.";
4. Article 4a is amended as follows:
  - (a) paragraph 1 is replaced by the following:

"1. The financial rules applicable to the Joint Undertaking shall be adopted by the Administrative Board after consulting the Commission. They shall not depart from the framework Financial Regulation unless it is specifically required for the Joint Undertaking's operation and the Commission has given its prior consent.";
  - (b) paragraph 2 is deleted.
5. Article 5 is amended as follows:
  - (a) paragraph 2 is replaced by the following:

"The Commission shall adopt the Union position in the Administrative Board."
  - (b) paragraph 3 is deleted.
  - (c) paragraph 4 is replaced by the following:

"4. Without prejudice to paragraph 2, the position of the Union in the Administrative Board as regards decisions concerning significant modifications of the ATM Master Plan shall be adopted by the Commission. Those implementing acts shall be adopted in accordance with the examination procedure referred to in Article 6(2)."
6. Article 6 is replaced by the following:

---

<sup>10</sup> Indicative amount in current prices. The amount will depend on the final agreed amount for DG MOVE for the theme 'Smart, green and integrated transport' which will be approved by the Budgetary Authority in the final version of the legislative and financial statement.

## **"Article 6**

1. The Commission shall be assisted by the Single Sky Committee established by Regulation (EC) No 549/2004. That committee shall be a committee within the meaning of Regulation (EU) No 182/2011.
2. Where reference is made to this paragraph, Article 5 of Regulation (EU) No 182/2011 shall apply."
7. Article 7 is replaced by the following:

"Every three years from the start of the activities of the Joint Undertaking and 6 months after the winding down of the Joint Undertaking, the Commission shall carry out evaluations on the implementation of this Regulation, the results obtained by the Joint Undertaking and its working methods, as well as on the general financial situation of the Joint Undertaking. The Commission shall present the results of those evaluations to the European Parliament and to the Council.";
8. The Annex is amended in accordance with the Annex to this Regulation.

### *Article 2*

#### **Transitional provisions relating to the mandate of the Executive Director**

The mandate of the Executive Director in office on 1 January 2009 shall expire on 31 December 2016 at the latest. Upon expiry of that mandate or the replacement of the Executive Director in office on 1 January 2009, a new procedure leading to the appointment of the Executive Director shall be launched in accordance with Article 7(2) of the Annex to Regulation (EC) No 219/2007.

### *Article 3*

#### **Transitional provisions relating to the membership in the Joint Undertaking**

Membership in the Joint Undertaking shall end by 31 December 2016 with regards to the Members of the Joint Undertaking who, as of 1 January 2014, do not contribute in kind or in cash to the costs of the Joint Undertaking's work programme related to the Union's 2014-2020 financial framework.

### *Article 4*

#### **Transitional provisions relating to the activities of the Joint Undertaking financed under the Union's 2007-2013 financial framework**

The activities of the Joint Undertaking financed under the 7<sup>th</sup> Framework Programme for research and technological development and the Framework Programme on Trans-European networks initiated until 31 December 2013 shall be terminated by 31 December 2016, with the exclusion of project management activities related to their closing down.

*Article 5*

**Entry into force and application**

This Regulation shall enter into force on the twentieth day following that of its publication in the *Official Journal of the European Union*.

It shall apply from 1 January 2014.

This Regulation shall be binding in its entirety and directly applicable in all Member States.

Done at Brussels,

*For the Council  
The President*

## ANNEX

The Annex is amended as follows:

1. Article 5 is amended as follows :

(a) in paragraph 1, point (m) is replaced by the following:

"(m) laying down the rules and procedures for awarding the contracts or grants and any other agreement necessary to implement the ATM Master Plan, including specific procedures for avoidance of conflict of interest;"

(b) in paragraph 2, point (a) is replaced by the following:

"(a) the Administrative Board shall meet at least three times a year. Extraordinary meetings shall be convened either at the request of one-third of the members of the Administrative Board representing at least 30 % of the voting rights, at the request of the Commission or of the Executive Director;"

2. In Article 6, paragraph 1 is replaced by the following:

"1. Members of the Joint Undertaking or of the Administrative Board and Joint Undertaking staff are not allowed to participate in the preparation, evaluation or the award procedure of financial support from the Joint Undertaking, in particular following calls for tender or calls for proposals if they own, represent or have agreements with bodies which are potential candidates or applicants."

3. In Article 7, paragraph 2 is replaced by the following:

"2. The Executive Director shall be engaged as a temporary agent of the Joint Undertaking under Article 2(a) of the Conditions of employment of other servants. The Executive Director shall be appointed by the Administrative Board, from a list of candidates proposed by the Commission, following an open and transparent selection procedure.

For the purpose of concluding the contract with the Executive Director, the Joint Undertaking shall be represented by the Chairperson of the Administrative Board.

The term of office of the Executive Director shall be five years. By the end of that period, the Commission shall undertake an assessment that takes into account an evaluation of the performance of the Executive Director and the Joint Undertaking's future tasks and challenges.

The Administrative Board, acting on a proposal from the Commission, which takes into account the assessment referred to in the third subparagraph of this paragraph, may extend once the term of office of the Executive Director for no more than five years.

An Executive Director whose term of office has been extended may not participate in another selection procedure for the same post at the end of the overall period.

The Executive Director may be removed from office only upon a decision of the Administrative Board acting on a proposal from the Commission.";

4. In Article 9, paragraph 1 is replaced by the following:

"In order to carry out the tasks defined in Article 1(5) of this Regulation, the Joint Undertaking may conclude specific agreements with and award grants to its members.";

5. Article 10 is replaced by the following:

"Article 10

#### **Contracts and grants**

1. Notwithstanding the provisions of Article 9, the Joint Undertaking may conclude service and supply contracts or grant agreements with undertakings or a consortium of undertakings, in particular to carry out the tasks provided for in Article 1(5) of this Regulation.

2. The Joint Undertaking shall ensure that the contracts and grant agreements and agreements referred to in paragraph 1 provide for the right of the Commission to carry out controls in order to ensure that the financial interests of the Union are protected.

3. The contracts and grant agreements referred to in paragraph 1 shall include all appropriate provisions relating to the intellectual property rights referred to in Article 18. In order to avoid any conflict of interest, members involved in defining work that is subject to a procurement or grant procedure, including their staff seconded under Article 8, may not take part in carrying out that work.

6. In Article 13, paragraph 2 is amended as follows:

"Any interest yielded by the contributions paid by the members of the Joint Undertaking shall be considered to be revenue of the Joint Undertaking."

7. In Article 16, the introductory part of paragraph 1 is replaced by the following:

"The Joint Undertaking shall draw up its work programme on the basis of the financial framework referred to in Article 4(2) and on the basis of sound management and accountability principles setting out clear deliverables and milestones. It shall consist of:";

8. Article 17 is replaced by the following:

"Article 17

#### **Protection of the Union's financial interests**

1. The Joint Undertaking shall take appropriate measures ensuring that, when actions financed under this Regulation are implemented, the financial interests of the Union are protected by the application of preventive measures against fraud, corruption and any other illegal activities, by effective checks and, if irregularities are detected, by the recovery of the amounts wrongly paid and, where appropriate, by effective, proportional and deterrent penalties.



2. The Commission or its representatives and the Court of Auditors shall have the power of audit, on the basis of documents as well as on-the-spot, over all grant beneficiaries, contractors and subcontractors who have received Union funds.

3. The European Anti-Fraud Office ('OLAF') shall be authorised to carry out on-the-spot checks and inspections on economic operators concerned directly or indirectly by such funding in accordance with the procedures laid down in Council Regulation (Euratom, EC) No 2185/96 of 11 November 1996 concerning on-the-spot checks and inspections carried out by the Commission in order to protect the European Communities' financial interests against fraud and other irregularities with a view to establishing that there has been fraud, corruption or any other illegal activity affecting the financial interests of the Union in connection with a grant agreement or decision or a contract concerning Union funding.

4. Without prejudice to paragraphs 1, 2 and 3, cooperation agreements with international organisations, grant agreements, decisions and contracts resulting from the implementation of this Regulation shall expressly entitle the Commission, the Court of Auditors and OLAF to conduct such audits, on-the-spot checks and inspections."

9. Article 24 is deleted.

## **II.6.4 – Legislative Financial Statement – ‘Agencies’**

### **LEGISLATIVE FINANCIAL STATEMENT**

[to be used for any proposal or initiative submitted to the legislative authority concerning the bodies referred to in Article 208 or 209 of the Financial Regulation

(Article 31 of the Financial Regulation and Article 19 of the Rules of Application)]

**1. FRAMEWORK OF THE PROPOSAL/INITIATIVE**

- 1.1. Title of the proposal/initiative
- 1.2. Policy area(s) concerned in the ABM/ABB structure
- 1.3. Nature of the proposal/initiative
- 1.4. Objectives
- 1.5. Grounds for the proposal/initiative
- 1.6. Duration and financial impact
- 1.7. Management mode(s) envisaged

**2. MANAGEMENT MEASURES**

- 2.1. Monitoring and reporting rules
- 2.2. Management and control system
- 2.3. Measures to prevent fraud and irregularities

**3. ESTIMATED FINANCIAL IMPACT OF THE PROPOSAL/INITIATIVE**

- 3.1. Heading(s) of the multiannual financial framework and expenditure budget line(s) affected
- 3.2. Estimated impact on expenditure
  - 3.2.1. *Summary of estimated impact on expenditure*
  - 3.2.2. *Estimated impact on [body]'s appropriations*
  - 3.2.3. *Estimated impact on [body]'s human resources*
  - 3.2.4. *Compatibility with the current multiannual financial framework*
  - 3.2.5. *Third-party contributions*
- 3.3. Estimated impact on revenue

## LEGISLATIVE FINANCIAL STATEMENT

### 1. FRAMEWORK OF THE PROPOSAL/INITIATIVE

#### 1.1. Title of the proposal/initiative

Proposal for a Council Regulation (EU) amending the Regulation (EC) N° 219/2007 on the establishment of a joint undertaking to develop the new generation European air traffic management system (SESAR)

#### 1.2. Policy area(s) concerned in the ABM/ABB structure<sup>1</sup>

Policy area: Title 6 - Transport

Activity: Chapter 06 03 "Horizon 2020: research and innovation related to transport"

#### 1.3. Nature of the proposal/initiative

The proposal/initiative relates to **a new action**

The proposal/initiative relates to **a new action following a pilot project/preparatory action<sup>2</sup>**

The proposal/initiative relates to **the extension of an existing action**

The proposal/initiative relates to **an action redirected towards a new action**

#### 1.4. Objective(s)

##### 1.4.1. *The Commission's multiannual strategic objective(s) targeted by the proposal/initiative*

The general objective is to contribute to achieving the Single European Sky (SES) performance targets through the timely development and deployment of the SESAR concept in accordance with the European Air Traffic Management (ATM) Master Plan specified in the Communication from the Commission to the Council and to the European Parliament (COM(2008) 750).

The European Union set high-level goals for the SES policy to be met by 2020:

- enable 3-fold increase in capacity, which will also reduce delays both on the ground and in the air,
- improve safety by a factor of 10,
- reduce the environmental impact per flight by 10%,
- cut ATM costs by 50%.

##### 1.4.2. *Specific objective(s) and ABM/ABB activity(ies) concerned*

Specific objective No

<sup>1</sup> ABM: Activity-Based Management – ABB: Activity-Based Budgeting.

<sup>2</sup> As referred to in Article 54(2)(a) or (b) of the Financial Regulation.

The specific objective is to ensure the modernisation of the European ATM system by concentrating and coordinating all relevant ATM R&I activities in the EU and in line with the ATM Master Plan.

- Continuing the activities of the Joint Undertaking,
- Organising and coordinating the implementation of the project, in accordance with the Master Plan;
- Organising the research, development, validation and study work carried out under its authority;
- Organising invitations to tender for the development of joint products.

ABM/ABB activity(ies) concerned

06.03.03.01, Achieving a resource-efficient, environmentally-friendly, safe and seamless European transport system

1.4.3. *Expected result(s) and impact*

*Specify the effects which the proposal/initiative should have on the beneficiaries/groups targeted.*

Provide continuity of SESAR Project management and provide financial security in a multiannual perspective in the ATM research and innovation field. The main task of the SJU is to manage research and innovation (research, development and validation activities) of the SESAR programme by combining the funding provided by its public and private sector members. The SESAR programme, through its definition, development and deployment processes, will deliver a new and global interoperable concept of ATM to the benefits of aircraft operators, air navigation service providers, airports, passengers and competitiveness of the European economy.

1.4.4. *Indicators of results and impact*

*Specify the indicators for monitoring implementation of the proposal/initiative.*

SJU has developed performance indicators which are published annually and monitored by the Administrative Board, such as:

- Release(s) achievement
- Measurement of the actual consumption effort by partners
- Status of completion against the ATM Master Plan
- General status of independencies between projects
- Status of issues and relevance of action plans
- Number of SESAR research prototypes or operational procedures that have reached the maturity phase
- qualitative assessment of the Projects and overall Programme through Control Gates

Furthermore, the indicators of results and impact set out in the Horizon 2020 - Framework Programme for Research and Innovation specific objective of the societal challenges “Smart, Green and Integrated Transport” are monitored and annually reported by the Administrative Board to the Commission.

## 1.5. Grounds for the proposal/initiative

### 1.5.1. Requirement(s) to be met in the short or long term

Allow continuity of the development process during which SJU is mandated to conclude multiannual contracts and make the necessary budgetary planning in accordance with the principles laid down in the framework of the Financial Regulation for the EU bodies.

### 1.5.2. Added value of EU involvement

EU action is clearly justified in the context of the SES policy and regulations, the general objective being to eliminate internal market barriers in the skies. Prior to the SES policy, progress towards efficiency, cost effectiveness, positive environmental impact, etc. in aviation had been slow, which was partly attributed to an unsystematic approach. Consequently, as SES policy is as valid now as it was when first set up, the leading role of the EU within the SES policy is as essential today as it was then.

Equally, Member States or private stakeholders would not be able, by themselves to leverage and pool together resources, coordinate and steer at EU level research and development activities towards deployment of the SESAR concept, and actively involve stakeholders. Furthermore, the involvement of the EU will guarantee that the Commission represents the public interest and has the institutional responsibility to drive the process of implementing the SES exercising regulatory and oversight functions. The Commission's leading role in bringing the aviation stakeholders to cooperate and rationalise their resources for modernising ATM, while preserving their driving role, will allow better use of EU and private resources. This will also guarantee coherence of the modernisation of the European ATM system and fair competition on the ATM market. EU intervention in the development of SESAR technologies and procedures will ensure that the EU ATM infrastructure is more strongly driven by European objectives and network benefits.

### 1.5.3. Lessons learned from similar experiences in the past

Progress, achievement and lessons learnt are evidenced by the Mid-Term Evaluation of the SJU (2010). In accordance with Article 7 of the Regulation 219/2007, the Commission evaluated the implementation of the regulation after three years and concluded that the SJU performed well both in terms of setting up and building its organisation as well as conducting its designated tasks. More specifically, the evaluation assessed the SJU's effectiveness as high as the SJU has produced the required outputs and results, e.g. organising and coordinating activities in accordance with the ATM Master Plan and the management of funding, the mobilising of funds, the involvement of stakeholders, the involvement of SMEs, the organising of technical work avoiding fragmentation. Moreover, the SJU's sound financial management has also been confirmed by the Court of Auditors on the reports on the SJU annual accounts.

### 1.5.4. Compatibility and possible synergy with other appropriate instruments

The proposal is coherent with SES policy and legislation, in particular with the SJU founding regulation 219/2007 on which the European Parliament and the Council came to an agreement.

The proposal aims at extending SJU beyond 31.12.2016 thereby to ensure the achievement of the SES and the ATM related objectives of Horizon 2020.

## 1.6. Duration and financial impact

X Proposal/initiative of **limited duration**

- X Proposal/initiative in effect from 01.01.2014 to 31.12.2024
- X Financial impact from 2014 to 2020 for the commitment appropriations and from 2014 to 2024 for payment appropriations.

Proposal/initiative of **unlimited duration**

- Implementation with a start-up period from YYYY to YYYY,
- followed by full-scale operation.

## 1.7. Management mode(s) envisaged<sup>3</sup>

For 2013 budget

**NOT APPLICABLE**

**Centralised indirect management** with the delegation of implementation tasks to:

- executive agencies
- bodies set up by the European Union<sup>4</sup>
- national public-sector bodies/bodies with public-service mission
- persons entrusted with the implementation of specific actions pursuant to Title V of the Treaty on European Union and identified in the relevant basic act within the meaning of Article 49 of the Financial Regulation

**Joint management** with international organisations (*to be specified*)

*If more than one management mode is indicated, please provide details in the "Comments" section.*

From 2014 budget

**Direct management** by the Commission through:

- executive agencies

**Shared management with Member States:**

X **Indirect management by entrusting budget implementation tasks to:**

- international organisations and their agencies (please specify);

<sup>3</sup> Details of management modes and references to the Financial Regulation may be found on the BudgWeb site: [http://www.cc.cec/budg/man/budgmanag/budgmanag\\_en.html](http://www.cc.cec/budg/man/budgmanag/budgmanag_en.html)

<sup>4</sup> As referred to in Article 208 and 209 of the Financial Regulation.



- the EIB and the European Investment Fund;
- bodies referred to in Articles 208 FR;
- public law bodies;
- bodies governed by private law with a public service mission to the extent that they provide adequate financial guarantees;
- bodies governed by the private law of a Member State that are entrusted with the implementation of a public-private partnership and that provide adequate financial guarantees;
- persons entrusted with the implementation of specific actions in the CFSP pursuant to Title V of the TEU and identified in the relevant basic act.

## **2. MANAGEMENT MEASURES**

### **2.1. Monitoring and reporting rules**

*Specify frequency and conditions.*

All EU bodies work under a strict monitoring system involving internal audit capability, the Administrative Board, the audit service of the Commission, mid-term and ex-post evaluations (every three years, the Commission evaluates the implementation of the regulation and results obtained, a final evaluation is also planned), the annual report from the Court of Auditors and the Budgetary Authority, the SJU annual release, annual working programmes and annual reports. In addition, the system laid down in the SJU founding regulation will continue to apply.

In accordance with the Horizon 2020 - Framework Programme for Research and Innovation, the Administrative Board annually monitors and reports to the Commission, where applicable, on the implementation of SJU.

### **2.2. Management and control system**

#### *2.2.1. Risk(s) identified*

The risks assessment was performed under the ex-ante evaluation report. Table 1 in the commission Staff Working Document provides an overview of the different risks and their assessment (P 24-27).

#### *2.2.2. Control method(s) envisaged*

SJU achievements towards the ATM Master Plan.

### **2.3. Measures to prevent fraud and irregularities**

*Specify existing or envisaged prevention and protection measures.*

Articles 15 (Implementation and control of the budget), 17 (protection of the financial interests of the Union) and 20 (Anti-fraud measures) laid down under the SJU founding regulation continue to apply.

### 3. ESTIMATED FINANCIAL IMPACT OF THE PROPOSAL/INITIATIVE

#### 3.1. Heading(s) of the multiannual financial framework and expenditure budget line(s) affected

- Existing budget lines

In order of multiannual financial framework headings and budget lines.

Heading of multiannual financial framework	Budget line	Type of expenditure	Contribution			
	Number [Heading.....]	Diff./non-diff. (1)	from EFTA countries <sup>2</sup>	from candidate countries <sup>3</sup>	from third countries	within the meaning of Article 18(1)(aa) of the Financial Regulation
1	06.03.07.01 Societal challenges – SESAR JU2	Diff.	YES	YES	YES	NO

- No new budget lines requested

<sup>1</sup> Diff. = Differentiated appropriations / Non-Diff. = Non-differentiated appropriations.

<sup>2</sup> EFTA: European Free Trade Association.

<sup>3</sup> Candidate countries and, where applicable, potential candidate countries from the Western Balkans.

### 3.2. Estimated impact on expenditure

#### 3.2.1. Summary of estimated impact on expenditure

EUR million (to three decimal places)

Heading of multiannual financial Framework:		Operational expenditure										TOTAL	
		1A										L	
DG MOVE	06.06.03.0.1	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	
Title 1	Commitments	(1)	0	0	2.100	2.100	2.100	10.500	0	0	0	0	<b>16.800</b>
	Payments	(2)	0	0	2.100	2.100	2.100	2.100	2.100	2.100	2.100	2.100	<b>16.800</b>
Title 2	Commitments	(1a)	0	0	1.230	1.230	1.230	6.170	0	0	0	0	<b>9.870</b>
	Payments	(2a)	0	0	1.230	1.230	1.230	1.230	1.230	1.230	1.230	1.230	<b>9.870</b>
Title 3	Commitments	(3a)	20.000	50.000	60.000	76.670	116.670	133.330	0	0	0	0	<b>573.330</b>
	Payments	(3b)	10.000	40.000	60.000	56.670	76.670	86.670	76.670	26.670	26.670	26.670	<b>576.330</b>
<b>TOTAL appropriations for [body]</b>	Commitments	=1+1 a +3a	20	50	60	80	120	150	0	0	0	0	<b>600</b>
	Payments	=2+2 a +3b	10	40	60	60	80	90	80	30	30	30	<b>600</b>

DG MOVE	06.03.07.01	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	Total
<b>Total Operational appropriations</b>	Commitments*	20	50	60	80	120	120	150	0	0	0	0	<b>600</b>
	Payments *	10	40	60	60	80	90	90	80	30	30	30	<b>600</b>

EUR million (to three decimal places)

(\* ) Payment Appropriations can be performed after 2020 while Commitment Appropriations must be done at the latest end of 2020.

The forecast is primarily based on the experience gained so far in the SESAR programme and on extrapolations relating to the activities to be carried out during the extension.

<b>Heading of multiannual financial framework:</b>	<b>5</b>	'Administrative expenditure'											
<b>DG MOVE</b>		<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2019</b>	<b>2020</b>	<b>2020</b>	<b>2020</b>	<b>2020</b>	<b>2020</b>	<b>Total</b>
• Human resources (3)		0.471	0.471	0.471	0.471	0.471	0.471	0.471	0.471	0.471	0.471	0.471	<b>3.297</b>
• Other administrative expenditure (4)				0.100			0.100						<b>0.200</b>
	Appropriations	0.471	0.471	0.571	0.471	0.471	0.571	0.471	0.471	0.471	0.571	0.471	<b>3.497</b>
<b>TOTAL appropriations under HEADING 5</b> of the multiannual financial framework	(Total commitments = Total payments) (3) +(4)	0.471	0.471	0.571	0.471	0.471	0.571	0.471	0.471	0.471	0.571	0.471	<b>3.497</b>

EUR million (to 3 decimal places)

TOTAL appropriations under HEADINGS 1A and 5 of the multiannual financial framework	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	TOTAL
	Commitments	20.471	50.471	60.571	80.471	120.471	120.571	150.471	0	0	0	0
Payments	10.471	40.471	60.571	60.471	80.471	90.571	90.471	80	30	30	30	603.497

EUR million (to 3 decimal places)

### 3.2.2. Estimated impact on SESAR JU's appropriations

- The proposal/initiative does not require the use of operational appropriations
- The proposal/initiative requires the use of operational appropriations, as described below:

Commitment appropriations in EUR million (to three decimal places)

Specific objective: Coordination of all relevant ATM R&I activities in the EU and in line with the ATM Master Plan, as specified in the SESAR Programme.	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	TOTAL
	Commitments	20.471	50.471	60.571	80.471	120.471	120.571	150.471	0	0	0	0

### 3.2.3. Estimated impact on SESAR JU's human resources

#### 3.2.3.1. Summary

- The proposal/initiative does not require the use of appropriations of an administrative nature
- The proposal/initiative requires the use of appropriations of an administrative nature, as described below:

Staffing numbers in the SESAR JU (in headcounts / FTE)<sup>1</sup>

	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	TOTAL
Temporary agents	39	39	39	39	39	39	39	39	39	39	39	<b>39</b>
of which AD	33	33	33	33	33	33	33	33	33	33	33	<b>33</b>
of which AST	6	6	6	6	6	6	6	6	6	6	6	<b>6</b>
Contract agents	--	--	--	--	--	--	-	--	--	--	--	--
Seconded National Experts	3	3	3	3	3	3	3	3	3	3	3	<b>3</b>
<b>TOTAL</b>	<b>42</b>	<b>42</b>	<b>42</b>	<b>42</b>	<b>42</b>	<b>42</b>	<b>42</b>	<b>42</b>	<b>42</b>	<b>42</b>	<b>42</b>	<b>42</b>

EUR million (to three decimal places)

	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	TOTAL
Officials (AD Grades)												
Officials (AST Grades)												
Temporary agents												
of which AD												
of which AST												
Contract agents												
Seconded National Experts												
<b>TOTAL</b>	<b>6.300</b>	<b>6.400</b>	<b>6.500</b>	<b>6.600</b>	<b>6.700</b>	<b>6.800</b>	<b>6.900</b>	<b>7.000</b>	<b>7.100</b>	<b>7.200</b>	<b>7.300</b>	<b>74.85</b>

<sup>1</sup> In the case of PPP bodies under Article 209 FR, this table is included for information purposes.

Please indicate the planned recruitment date and adapt the amount accordingly (if recruitment occurs in July, only 50% of the average cost is taken into account) and provide further explanations in the Annex, section 3.

### 3.2.3.2. Estimated requirements of human resources for the parent DG

- The proposal/initiative does not require the use of human resources.
- The proposal/initiative requires the use of human resources, as described below:

*Estimate to be expressed in full time equivalents*

	2014	2015	2016	2017	2018	2019	2020
• Establishment plan posts (officials and temporary staff)							
06 01 01 01 (Headquarters and Commission's Representation Offices – 2AD + 1AST)	0.393	0.393	0.393	0.393	0.393	0.393	0.393
XX 01 01 02 (Delegations)							
XX 01 05 01 (Indirect research)							
10 01 05 01 (Direct research)							
• External staff (in Full Time Equivalent: FTE)							
06 01 02 01 - 1 SNE from the 'global envelope')	0.078	0.078	0.078	0.078	0.078	0.078	0.078
XX 01 02 02 (CA, LA, SNE, INT and JED in the delegations)							
XX 01 04 yy <sup>2</sup>	- at Headquarters <sup>3</sup>						
	- in delegations						
XX 01 05 02 (CA, SNE, INT – Indirect research)							
10 01 05 02 (CA, SNE, INT- Direct research)							
Other budget lines (specify)							
<b>TOTAL</b>	<b>0.471</b>	<b>0.471</b>	<b>0.471</b>	<b>0.471</b>	<b>0.471</b>	<b>0.471</b>	<b>0.471</b>

<sup>2</sup> Sub-ceiling for external staff covered by operational appropriations (former "BA" lines).

<sup>3</sup> Mainly for the Structural Funds, the European Agricultural Fund for Rural Development (EAFRD) and the European Fisheries Fund (EFF).



**XX** is the policy area or budget title concerned.

The human resources required will be met by staff from the DG who are already assigned to management of the action and/or have been redeployed within the DG, together if necessary with any additional allocation which may be granted to the managing DG under the annual allocation procedure and in the light of budgetary constraints.

Description of tasks to be carried out:

Officials and temporary staff	<ul style="list-style-type: none"> <li>- Support to the Administrative Board;</li> <li>- Liaison with Single Sky Committee;</li> <li>- Liaison with other policy areas;</li> <li>- Supervision, monitoring and evaluation of the action towards the execution of the ATM Master Plan.</li> </ul>
External staff	- Coordination ATM research carried out in the frame of SESR with other aviation research activities.

Description of the calculation of cost for FTE equivalent should be included in the Annex, section 3.

### 3.2.3.3. Estimated requirements of human resources for the SESAR JU<sup>4</sup>

- The proposal/initiative does not require the use of human resources.
- The proposal/initiative requires the use of human resources, as described below:

a. Estimated requirements of human resources to be financed from appropriations under 2014-2020 Multiannual Financial Framework

*Estimate to be expressed in full time equivalents*

	Year 2014	Year 2015	Year 2016	Year 2017	2018	2019	2020	2021	2022	2023	2024
<b>• Establishment plan posts (officials and temporary staff)</b>											
XX XX XX XX (PPP body)											
Officials (AD grades)	--	--	--	--	--		--			--	
Officials (AST grades)	--	--	--	--	--		--			--	

<sup>4</sup> In the case of PPP bodies under Article 209 FR, this section is included for information purposes.

• External staff (in Full Time Equivalent: FTE) <sup>5</sup>											
XX XX XX XX (PPP body)											
TA				39	39	39	39	39	39	39	39
of which AD				33	33	33	33	33	33	33	33
of which AST				6	6	6	6	6	6	6	6
CA				—	--	--	--	--	--	--	--
SNE				3	3	3	3	3	3	3	3
INT				--	--	--	--	--	--	--	--
<b>TOTAL</b>				<b>42</b>	<b>42</b>	<b>42</b>	<b>42</b>	<b>42</b>	<b>42</b>	<b>42</b>	<b>42</b>

Description of tasks to be carried out:

Officials and temporary staff	Ensure the sound programme and financial management of the SJU and the SESAR Programme through the achievement of the objectives defined in the Council Regulation 219/2007 and the European ATM Master Plan. The staff steers and ensure the oversight of the implementation of the SESAR Programme, concentrating on the core activities and subcontracting to external providers – including the Commission, the provisions of support services (ITC, salary and missions calculations, etc.).
External staff	Where necessary staff with specific expertise, in particular from Member States, is brought inside the SJU to complement the technical expertise of the temporary staff. This ensures a better understanding of the expected needs and organization of the EU and Eurocontrol Member States which will be in the future implementing the results of the SESAR Programme.

Description of the calculation of cost for FTE equivalent should be included in the Annex, section 3.

*b. Human resources financed from appropriations under 2007-2013 Multiannual Financial Framework<sup>6</sup>*

*Estimate to be expressed in full time equivalents*

	Year 2014	Year 2015	Year 2016	Year 2017
• Establishment plan posts (officials and temporary staff)				
XX XX XX XX (PPP body)				

<sup>5</sup> CA = Contract Agent; LA = Local Agent; SNE = Seconded National Expert; INT = agency staff ('Intérimaire').

<sup>6</sup> In the case of PPP bodies under Article 209 FR, this table is included for information purposes.

Officials (AD grades)	--	--	--	--
Officials (AST grades)				
<b>• External staff (in Full Time Equivalent: FTE)<sup>7</sup></b>				
SESAR JU (PPP body)				
TA	39	39	39	--
of which AD	33	33	33	--
of which AST	6	6	6	--
CA	--	--	--	--
SNE	3	3	3	--
INT	--	--	--	--
<b>TOTAL</b>	<b>42</b>	<b>42</b>	<b>42</b>	<b>--</b>

c. *Contribution to the running costs for the finalisation of activities financed under 2007-2013 Multiannual Financial Framework*

EUR million (to 3 decimal places)

	Year <b>2014</b>	Year <b>2015</b>	Year <b>2016</b>	<a href="#">Total[1]</a>
Contribution in cash from the EU <i>Commitments (*)</i>	0,000	0,000	0,000	0,000
Contribution in cash from third parties (Members + Eurocontrol) <i>Commitments (also = payments)</i>	5,819	8,204	8,204	22,228
<b>TOTAL</b>	5,819	8,204	8,204	22,228

[\[1\] The total for the EU cash contribution should equal the amount front-loaded in the 2013 budget for the completion of the 2007-2013 activities of the body.](#)

<sup>7</sup> CA = Contract Agent; LA = Local Agent; SNE = Seconded National Expert; INT = agency staff ('Intérimaire').

### 3.2.4. Compatibility with the current multiannual financial framework

- Proposal/initiative is compatible the current multiannual financial framework.

### 3.2.5. Third-party contributions

- The proposal/initiative does not provide for co-financing by third parties.
- The proposal/initiative provides for the co-financing estimated below:

Appropriations in EUR million (to three decimal places)

	Year 2014	Year 2015	Year 2016	Year 2017	2018	2019	2020	2021	2022	2023	2024	Total
<i>Eurocontrol contribution in cash to the administrative costs</i>	1	2	0.250	3	5	5	1.300	1.300	1.300	1.300	1.300	22.75
<i>Other members contributions in cash to the administrative costs</i>	2.500	2.500	2.500	2.500	5	5	1	1	1	1	1	25
<i>Eurocontrol's contribution in kind to the operational costs</i>	19	38	49.750	57	95	95	24.700	24.700	24.700	24.700	24.700	477.25
<i>Other members contributions in kind to the operational costs</i>	47.500	47.500	47.500	47.500	95	95	19	19	19	19	19	475
<b>TOTAL appropriations cofinanced</b>	<b>70</b>	<b>90</b>	<b>100</b>	<b>110</b>	<b>200</b>	<b>200</b>	<b>46</b>	<b>46</b>	<b>46</b>	<b>46</b>	<b>46</b>	<b>1000</b>

### 3.3. Estimated impact on revenue

- Proposal/initiative has no financial impact on revenue.
- Proposal/initiative has the following financial impact:
  - on own resources
  - on miscellaneous revenue