

Making the railway system
work better for society.

European Union Agency for Railways

Single Programming Document 2022-2024

For endorsement

DRAFT

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Foreword

The European Union Agency for Railways will cover a wide range of areas of work, involving actions to drive the continuation of the progress with safety and interoperability, together with its role of EU-wide authority for vehicle authorisations, single safety certificates and ERTMS trackside approvals.

The following aspects are key for the proposed multi-annual (2022-2024) and annual (2022) programming document:

- (1) The multi-annual work programme 2022-2024, together with the annual programme 2022 are drafted in line with the intervention logic principles and take into account the outcomes of the SPD 2022 Workshop held with the Management Board in June 2020. The work is organised around the agreed set of seven strategic statements, which project the Agency's raison d'être in relation to its stakeholders. The drivers of the work programme are the expected outcomes and impacts, which are supported by the Agency's planned projects and services, with their respective short-term outputs.
- (2) With all Member States having transposed the provisions of the technical pillar of the 4th Railway Package, the Agency will increasingly gain **precision in forecasting the volume and timing of work related to the Authority tasks**. The Agency will continue in 2022 to use a **flexible system** of managing its work and resources, based on a (re)prioritisation process, which was set up in 2018. This will allow to deliver the tasks related to the technical pillar of the 4th Railway Package together with the tasks in the field of railway safety and interoperability, under significant budget pressure.
- (3) The Agency will pay significant attention to **a regular monitoring of the SPD implementation** in terms of outputs, resource consumption and revenues, which can allow for possible adaptation of its work programme during the year. This will be complemented by estimating and monitoring the expected outcomes and impacts of Agency's work over longer periods of time.
- (4) The Agency will pay increasing attention to **monitoring and increasing the efficiency and performance** of its activities.
- (5) With **the 7 strategic statements put in place**, the Agency will strive for making railways work better for society, including by engaging with new priority areas such as digitalisation in a multimodal transport context, the green agenda, the capacity and traffic management optimisation at EU level, for the benefit of the EU customers and citizens.
- (6) With rail being an essential element of the decarbonisation of the European transport system, and with the implementation of a Single European Railway Area beginning to get traction, any potential budget constraints for the Agency, as happened in 2021, would have a strong impact on the European investment and innovation agenda. Several areas of the Agency's work might by consequence be affected, and the level of ambition and speed of delivery might need to be scaled accordingly. The Agency keeps its expectation that the remainder of the MFF will not be affected by budget constraints.

The Agency will continue to work closely with its stakeholders in order to ensure the successful implementation of this challenging multi-annual programme. The increasing awareness of the impact the European transport system has on emissions contributing to global warming should provide a stronger and stronger tailwind for rail as the most sustainable mode of transport. The activities of the Agency are crucial for contributing to the achievement of a significant modal shift to rail, in particular by helping to create and manage a Single European Rail Area, and to continuously improve Railway Safety in Europe.

Josef Doppelbauer

List of acronyms

4RP	Fourth Railway Package
ATO	Automatic Train Operation
BoA	Board of Appeal
CCM	Change Control Management
CCS	Control Command and Signalling
COR	Common Occurrence Reporting
CSIs	Common Safety Indicators
CSMs	Common Safety Methods
CSTs	Common Safety Targets
CUI	Common User Interface
DG MOVE	Directorate-General for Mobility and Transport
DG NEAR	Directorate-General for Neighbourhood and Enlargement Negotiations
EC	European Commission
EB	Executive Board
EU	European Union
ECM	Entity in Charge of Maintenance
ECVVR	European Centralised Virtual Vehicle Register
EFTA	European Free Trade Association
ERADIS	ERA Database on Interoperability and Safety
ERATV	European Register of Authorised Types of Vehicles
ERTMS	European Rail Traffic Management System
ESG	Economic Steering Group
ETCS	European Train Control System
EUMedRail	EuroMed Rail Safety and Interoperability project, funded by the EC
EVR	European Vehicle Register
FWC	Framework contract
GSM R	Global System for Mobile Communications (Railway)
HOF	Human and Organisational Factors
IM	Infrastructure Manager
IMS	Integrated Management System
INEA	The Innovation and Networks Executive Agency
IoA	Inventory of Assets
IPA	Instrument for Pre-accession Assistance
KPI	Key Performance Indicator
MB	Management Board
MFF	Multiannual Financial Framework
MS	Member State
NIBs	National Investigation Bodies
NSAs	National Safety Authorities
NTRs	National Technical Rules
NVR	National Vehicle Register
OSJD	Organisation for Cooperation of Railways
OSS	One Stop Shop
OTIF	Organisation for International Carriage by Rail
PRM	Persons with reduced mobility
RASCOP	Rail Standardisation Coordination Platform
RDD	Reference Document Database
RFC	Rail Freight Corridors
RISC	Railway Interoperability and Safety Committee
RINF	Register of Infrastructures
RST	Rolling stock
RU	Railway Undertakings
SAIT	Safety Alert IT tool
SERA	Single European railway area
SMS	Safety Management System
SSC	Single Safety Certificate

UfM	Union for the Mediterranean
TSI	Technical Specifications for Interoperability
VA	Vehicle Authorisation
VKM	Vehicle Keeper Marking

Mission statement

The Agency contributes to the further development and effective functioning of a Single European Railway Area without frontiers, by guaranteeing a **high level of railway safety and interoperability**, while improving the competitive position of the railway sector, as envisaged by the **Agency Regulation 2016/796**. In particular, the Agency shall contribute, on technical matters, to the development and the implementation of Union legislation by developing a common approach to safety on the Union rail system and by enhancing the level of interoperability on the Union rail system. Further objectives of the Agency shall be to follow the elimination of non-compliant national rules in order to support the performance of national authorities acting in the fields of railway safety and interoperability and to promote the optimisation of procedures.

With the entry into force of the **Fourth Railway Package technical pillar** in June 2019, the role of the Agency was substantially extended. With the transposition of the technical pillar in the Member States due by 31 October 2020 at the latest, the Agency has become the EU-wide authority responsible for issuing authorisations for placing railway vehicles on the market, single safety certificates for railway undertakings and ERTMS trackside approvals.

Our mission is **“to make the railway system work better for society”**. To foster its mission, the Agency relies on a set of core **values** related to:

- › Stakeholder Focus
- › Ethical Values Commitment
- › Legal Compliance
- › Staff involvement and development
- › Everybody’s Commitment to Quality
- › Continuous Improvement
- › Business Continuity
- › Information Governance
- › A Culture of Sustainability

Through its mission and actions, the Agency is committed to contribute to the EC Political guidelines:

- › a European Green Deal
- › an economy that works for people
- › a Europe fit for the digital age
- › a stronger Europe in the world

The Agency will support the EC agenda to ensure sustainable, safe, affordable and accessible transport and to strengthen rail’s role in the transport mix, in line with its mission and mandate.

I. General context

The 2022-2024 programming period involves **the full-fledged performance of the Agency's tasks** as EU-wide authority for safety certification, vehicle authorisation and ERTMS trackside approval, along with other tasks in the field of railway safety and interoperability as foreseen in the Technical Pillar of the Fourth Railway Package.

The Agency is implementing a structure of its work programme, which responds to **the intervention logic** requirements, in line with the guidelines provided by the Network of EU Agencies. It also strives to increase its performance in contributing to the outcomes and impacts expected by the EU citizens. In light of the above, the work programme of the Agency (in its multi-annual and annual planning) is organised around seven strategic statements discussed at the SPD 2022 Workshop organised with the Management Board in June 2020. The seven strategic statements show the direction of travel to which the Agency plans to embark in order to make the railway system work better for society, subject to its remit and accountability ceiling. The Agency does not operate in a vacuum, it is however embedded within an 'eco-system' in which there are many other organisational and institutional actors and stakeholders active¹. The realisation of the strategic statements will therefore not only depend on the Agency's efforts but will be the result of the efforts made by the railway sector as a whole and even of factors outside the control of the sector.

In order to evaluate the impact of the Agency's work and its contribution to the realisation of the strategic statements, the following terminology has been used in the annual part of the work programme:

- **Expected outcome:** What can be observed when the strategic statement has become reality as a result of a sector wide effort. It will take several years to realise the strategic statement.
- **Outcome indicators:** Sector wide indicators that demonstrate the positive evolution (on a yearly basis) towards the realisation of the strategic statement. The Agency is only partially contributing to the positive evolution of these indicators.
- **Agency's accountability ceiling:** The level up to which the Agency can be held accountable for contributing to the positive evolution of the outcome indicators (as represented in the figure below).
- **Progress towards outcome:** The main actions the Agency will take in the following year through its projects and services to support and influence the positive evolution of the outcome indicators.
- **Output indicators and targets:** Indicators and targets fully under the control of the Agency that demonstrate up to which extent the Agency delivers on a yearly basis the agreed work programme.

¹ This text has been partially copied from the concept paper on impact from the EUAN.

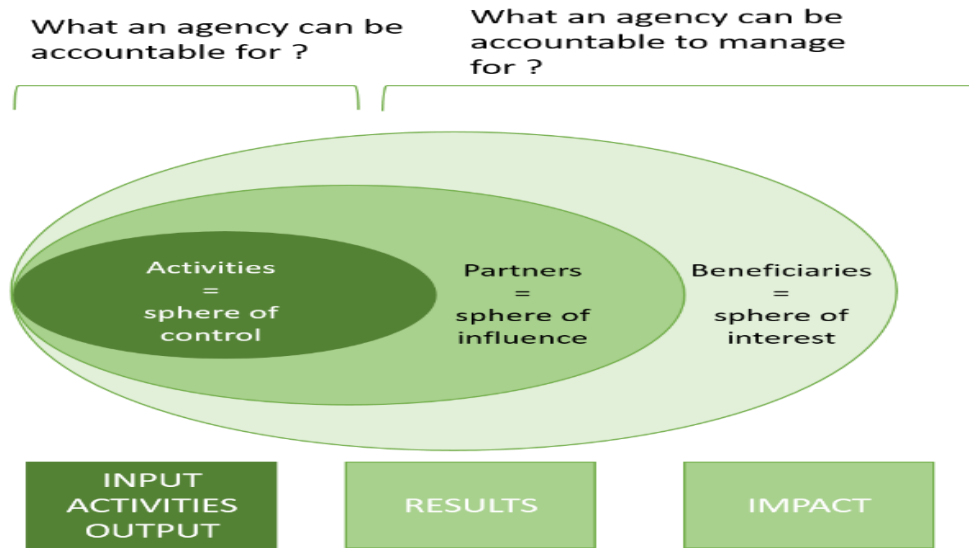


Figure 1: Accountability ceiling

The concrete Agency work, represented by projects and services with concrete outputs, is organised by grouping the projects and services which together can contribute to the outcomes and impacts stated in a particular strategic statement. This grouping is further explained and detailed in the next chapters of the document.

The Agency will continue in 2022 to put significant effort for prioritising its work and outputs in order to cope with **any possible resource limitations**. Should the budget for 2022 be subjected to cuts compared to the requested budget envelope, the Agency will put forward a list of negative priorities, which will be discussed with the Management Board.

The Agency will pay significant attention to a regular monitoring of the SPD implementation in terms of outputs, resource consumption and revenues, which can allow for agile responses and possible adaptation of its work programme. The Agency will work together with the pool of experts for the mutual benefit of the cooperation between the Agency and the NSAs. This cooperation may also help the Agency in cases of capacity shortages. In addition, the Agency will strive for continuously improving its efficiency in delivering the expected outputs, as well as its overall performance in contributing to the expected outcomes and impacts.

II. Multi-annual programming 2022-2024

II.1 Structure of the multi-annual programme 2022-2024

The structure of the Agency's multi-annual work programme is organised according to the 7 strategic statements discussed, reviewed and confirmed by the Management Board at the SPD 2022 Workshop in June 2020.

The 7 strategic statements confirmed during the MB workshop are:

- › **Strategic statement 1** - There will no longer be any technical and operational barriers to the free movement of people and goods by rail, assets can be reused throughout Europe.
- › **Strategic statement 2** - Rail will become the backbone that supports an environmentally sustainable multimodal transport system and will be favoured as a transport mode by the new generations.
- › **Strategic statement 3** - Rail traffic will become seamless and MaaS (Mobility as a Service) and LaaS (Logistic as a Service) will be ensured, including multi-leg ticketing.
- › **Strategic statement 4** - Rail will be an increasingly safe and secure mode of transport for its users and workers.
- › **Strategic statement 5** - Rail will be agile in responding to emergency situations.
- › **Strategic statement 6** - Rail will become increasingly economically competitive as a mode and as a sector.
- › **Strategic statement 7** - The EU will become the global reference for rail and ERA authorisations will be globally recognised.

Two additional strategic statement are included to reflect the aspects of transversal nature in the Agency's management, namely:

- › **Strategic statement 8** – The Agency will ensure an effective and efficient governance of its portfolio of activities in order to offer the best value for money to citizens and business in the EU
- › **Strategic statement 9** – The Agency will ensure a performant working environment, based on high quality motivated resources and a collaborative behaviour

II.2 Content of the multi-annual programme 2022-2024

Strategic statement 1 - There will no longer be any technical and operational barriers to the free movement of people and goods by rail, assets can be reused throughout Europe.

By 2022, the Agency will have consolidated its position as European authority for rail, sustaining an excellent reputation both in technical terms, but also in terms of customer service. From the perspective of its position of authority for delivering vehicle authorisations and ERTMS trackside approvals, the Agency will continue in the period 2022-2024 to drive further the harmonisation towards the Single European Rail Area, in terms of technical and operational interoperability. Given its role as ERTMS and telematics system authority the Agency will contribute to the management of compatibility as deployment on network grows. Also building on synergies with the future system pillar initiative. The compliance of TSIs with policy goals and their overall effectiveness and system stability, together with a successful cleaning up of the national technical, safety and operational rules are fundamental for an increasingly effective authority function in the field of VA and ERTMS trackside approval. The Agency will continue to identify related research needs and assess mature innovation products, with a clear potential for market uptake, in order to reflect them into the technical specifications. The Agency will thus contribute to seamless train operations on the EU and an actual unique market for railway services and railway assets.

Within its multi-annual (2022 -2024) work programme the Agency will continue to focus on the **removal of redundant national rules** (operational, safety and technical), the **harmonisation of the remaining rules**, and timely integration of relevant mature technical and methodological innovation (into the TSIs)² as well as the development of **Acceptable Means Of Compliance (AMOC)**. It will continue to deliver its role as sole body responsible **for issuing multi-Member State vehicle authorisations and approving ERTMS trackside**. The **lessons learnt** through the issuing of VAs, ERTMS trackside approvals, from the monitoring of NoBos and from drafting process of RFUs will be used to propose continuous improvements to the technical specifications and to the authorization procedures. An essential part of the decision making process on which the Agency will continue to contribute is related to facilitating the **data exchange for, among various purposes, authorization, registration and route compatibility checks**.

Strategic statement 2 - Rail will become the backbone that supports an environmentally sustainable multimodal transport system and will be favoured as a transport mode by the new generations **and Strategic statement 3** - Rail traffic will become seamless and MaaS (Mobility as a Service) and LaaS (Logistic as a Service) will be ensured, including multi-leg ticketing.

The Agency has started to play an important role in promoting further the transformation of the European transport system towards emission-free, sustainable transport modes, based on multi-modal integration (MaaS). By 2022, the Agency will have provided substantial input to the Green Deal deliverables and will

² [Timely = ensuring the right balance between stability and remaining state of the art]

have played a key role for driving the data and digitalisation agenda for railways, based on the linked data approach. This is particularly relevant in a multi-modal context.

For the period 2022-2024, the Agency will continue to play a key role in ensuring the right framework for the data and information exchange related to assets and services (including ticketing data), based on linked data and universal data identifiers by involving where relevant stakeholders and solution developers. This will ensure a seamless exchange of data with other modes of transport, thus allowing the customers to benefit from a comprehensive logistics chain or the mobility-as-a-service, respectively. Within its multi-annual (2022-2024) work programme the Agency will identify **bottlenecks, opportunities and areas for improvement to foster a coordinated traffic management at EU level**, to support **optimised traffic management** by developing harmonised guidelines and sharing best practice between the stakeholders.

Furthermore the Agency will become a reference for facilitating the **multi-modal data exchange and queries**, based on the data-centric architecture and the linked data technology, following the pilots developed in 2020 and the mainstreaming of linked data approached afterwards. This will cover all the databases and registers under the Agency's remit as well as the specifications for data exchange (TAP/TAF TSI). Emerging areas in which the Agency could play an active role include facilitating data exchange in a multi-modal context (e.g. **hubs, terminals and nodes for intermodal shifts**). The Agency will continue to support the EC **Green Deal** across its activities.

Strategic statement 4 - Rail will be an increasingly safe and secure mode of transport for its users and workers.

The Agency will continue to work for improving operational safety and overall operational performance of the railway system through the management of major railway operational risks, as well as through positive safety culture, integration of human and organisational factors and the cultivation of a continuous learning environment. The definition of security related specification will be included in the scope of work covered by the Agency.

Within its multi-annual (2022 -2024) work programme the Agency will continue to focus on **enhancing railway safety through positive safety culture and integration of human and organisational factors** and on the **harmonisation of the safety approach**. The Agency will continue its role as the sole body responsible **for issuing multi-Member State single safety certificates** and vehicles authorisations and will further continue to **monitor NSAs**. The **lessons learnt** through the issuing of SSCs and VAs, the monitoring of NSAs, the review of **NIB accident reports** and the information exchanged during NSA and NIB meetings will be used to continuously improve the common safety methods, the safety certification and authorisation procedures as well as the compliance of the rolling stocks to its essential requirements and more precisely, for this strategic statement, to the safety one. An essential element in the safety related decision making on which the Agency will continue to contribute is the improvement of the structure, quality and availability of **safety relevant data**.

Strategic statement 5 - Rail will be agile in responding to emergency situations.

Based on the experience gained during the post-Covid crisis, the Agency will continue to strengthen its role as facilitator at the level of the rail sector, but also from a multi-modal perspective. The ultimate purpose is that emergency situations impacting cross border rail operations are managed through a harmonised response across transport modes and that the response reduces the impact on the cross border operations and manages to restore normal operations as soon as possible.

The Agency will deliver support in building a **contingency handbook**, including a common definition of emergency situations, a common process for immediate action and emergency situation protocols. Furthermore, taking account of the developments and deliverable from S2R in this area, the Agency will facilitate the **proper data architecture**, based on the linked data technologies, which allows for retrieving the relevant data for addressing emergency situations, irrespective of barriers related to data formats or languages.

Strategic statement 6 - Rail will become increasingly economically competitive as a mode and as a **sector**.

The Agency will continue make sure that the rules and system specifications are smart, proportionate and contribute to the competitiveness of the industry. It will also make sure that the SSC and VA processes are cost and time cutting and foster the entrance of new operators.

The Agency will **evaluate the economic impact of the vehicle authorisation and issuing of single safety certificate processes** on the railway sector, the impact of the **TSIs as a package**, of **market opening and competition** and of **modular inter changeability** in the CCS system specifications. The Agency will look at **safety improvements from a cost-effectiveness perspective**. The results of the assessments will be used to propose recommendations for improving the legal texts, as well as any non-regulatory instruments, in the spirit of the Better Regulation principles.

Economic analyses (notably impact assessment and evaluation studies) will contribute to the activities under this Strategic Statement. Moreover, monitoring of the railway system along with data and information analysis will underpin this Strategic Statement.

Strategic statement 7 - The EU will become the global reference for rail and ERA authorisations will be globally recognised.

The Agency will continue supporting the European Commission's international strategy and international relations agenda, continue its **collaboration with European and international standardization organizations** and continue to deploy "**ERA academy**", its dissemination and training service. Furthermore the Agency will strive to make **EU authorisations internationally recognized** and will **focus on the EC priorities in terms of technical priority areas and geographical priority areas** and **provide the requested analyses and support**. If grant is extended beyond 2022, the Agency will continue the **IPA** and/or the **EUMedRail** projects.

The Agency accompanies the 7 thematic strategic statements which explain how it will work for making railways work better for society, with 2 transversal strategic statement related to its governance and support activities, namely:

Strategic statement 8 – The Agency will ensure an effective and efficient governance of its portfolio of activities in order to offer the best value for money to citizens and business in the EU.

The Agency will make sure: that its portfolio of activities is planned in a sound manner, in line with its long term strategy and the intervention logic model; that the outcomes and impacts of the its work are always at the core of its decisions; that there is a clear link between the outcomes/impacts and the Agency's projects and services, including their outputs; that the delivery, monitoring and reporting of the Agency's projects and services are coordinated in the spirit of efficiency and performance and that they are properly communicated to the public. The Agency recognizes the importance of sound governance, particularly considering that we are entrusted with tax payers' money and will ensure that the Agency's work respects the governance framework required by legislation and decided by the management board.

Strategic statement 9 – The Agency will ensure a performant working environment, based on high quality motivated resources and a collaborative behaviour.

This includes the multi-annual work related to the human resources strategy, the ICT strategy, the building facilities, the management of Agency's financial resources and procurements, the accounting and legal services.

II.3 Human and financial resources – outlook for the years 2022 - 2024

II.3.1 Financial resources

The following table displays the evolution of the expenditure and the categories of revenues, respectively, over the period 2020-2024. The numbers included in the table below for the years 2023 and 2024 are based on the current assessment of Agency's needs and expectations.

	2020	2021	2022	2023	2024
	Planned	Planned	Planned	Planned	Planned
Expenditure	30 764 883	29 589 909	35 684 946	37 469 193	pm
EU contribution	27 560 000	25 763 160	31 027 990	32 579 390	pm
EFTA contribution	672 283	703 999	697 576	732 454	pm
Fees and charges	2 532 600	3 122 750	3 959 380	4 157 349	pm

II.3.2 Human resources

The establishment plan is presumed to be increasing through to 2023 mainly because of the expected increase in VA, TA and SSC activities. It is expected that efficiency gains will enable the Agency to cover most but not all of the expected increase in responsibilities and tasks with the existing level of resources. In order to achieve this some staff will need to be trained and/or redeployed to take on different roles.

	2019		2020	2021	2022*	2023*	2024*
	Authorised under the EU Budget	Staff population at 31/12/2019	Authorised under the EU Budget	Request of the Agency	Agency estimates	Agency estimates	Agency estimates
Temporary Agents (TA)	148	139	148	151	154	157	160
Contract Agents (CA)	38	35	36	36	36	36	36
Seconded National Experts (SNE)	4	0	4	4	4	4	4
Structural service providers	15	14	13	14	14	14	14
Total	205	188	201	205	208	211	214

* As of 2022, in order to cope with the increasing budget pressure and become more cost-efficient, the Agency is exploring the possibility to replace up to 8 FTE's of the structural service providers by contract agent posts, where this would generate a budget saving.

Note: To take into account that NSA's will not always be able to assist the Agency because of own workloads, the Agency will in addition seek to secure external assistance through a framework contract and to recruit additional contract agents the cost of which will be recovered through fees and charges.

II.3.3 Strategy for achieving efficiency gains

In a context where “*Achieving more and better with the same*” is expected by the European citizens, the Agency is implementing a multi-annual Operational Excellence project with an emphasis on “Focus and Simplicity” in order:

1. To **optimize budget spending** of the Agency;
2. To **optimize time consumption** of the Agency’s processes and staff;
3. To **develop the intervention logic** (as per EUAN and ECA guidelines) of the Agency as an enabler to better assess and measure the performance of the Agency.

III. Annual Work programme 2022

III.1 Executive summary

III.2 Activities

III.2.1 Strategic statement 1

Expected outcome	<i>There will no longer be any technical and operational barriers to the free movement of people and goods by rail, assets can be reused throughout Europe.</i>
Outcome indicators	% of cross border traffic by rail (trend) % of cross border traffic by mode of transport (trend) Journey duration (passengers and freight) for a sample of selected routes (trend) 5 % of cost and time reduction for authorisation processes compared to the baseline established by the end of 2021 % of available linked data for selected use cases (e.g. route compatibility check, registration)
Agency's accountability ceiling	
Progress towards outcome in 2022	
Expected resource envelope - Human resources - Financial resources	
Fee-based	Partially

List of the main projects/services	Output indicator	Target for 2022
System specifications/model – technical		
TSIs stability (RST, FI)	Change Requests addressed in the TSIs cycle	
Assessing and embedding mature innovation in specifications	No. of proposed innovations assessed and embedded in TSIs Research projects of interest for ERA identified, followed and monitored	

	ERA needs for research identified and communicated to the relevant research bodies	
National Technical Rules management	% of NTRs cleaned up	
Manage Radio Communication evolution	TSI CCS 2022 recommendation	
Manage ERTMS long term evolution	TSI CCS 2022 recommendation (incl. CRs for ETCS L2/L3 operational harmonization, CRs for ERTMS Game Changers and modular system architecture)	
National ERTMS Technical Rules management	Agency internal procedure on NRs management applied	95% of the files respecting the deadlines of the procedure and without non-conformity
System specifications/model – operational		
Harmonising railway operations	Cleaned up NSRs	
	Acceptable means of compliance (as requested in Regulation (EU) 2019/775 (OPE TSI))	
Authorisation		
Issuing ERTMS Trackside Approvals	Proportion of decisions taken according to the legal framework deadlines	100%
Issuing Vehicle Authorisation, including ERTMS on-board assessments	Proportion of decisions taken according to the legal framework deadlines (for completeness and assessment phases)	100%
Revision of VA guides and procedures	Proportion of major problems detected during operation, for which solutions are proposed in the relevant document	95%
Revision ERTMS Trackside approval guide and procedures (including the follow up of funded projects)	Proportion of major problems assessed with a decision following the change control process	95%
OSS releases	Proportion of significant problems detected during operation for which solutions are available in a next release.	95%

Business helpdesk SSC/VA/ERTMS Trackside	Proportion of the requests on the Agency scope of work addressed to the business helpdesk answered within 10 working days	90%
Monitoring of relevant actors (NoBos)		
NoBo monitoring	No. of audit/inspection reports sent to NoBos for comments after the onsite	6 or more, depending on available resources
Data availability		
Manage the evolution of Telematics application for passengers (TAP TSI)	Change requests included in TAP technical appendices, according to the CCM process	
Manage the evolution of Telematics application for freight (TAF TSI)	Revision of TAF TSI	
	Change requests included in TAF technical appendices, according to the CCM process	
SRD, RDD	Depending on the progress made in 2021	95%
RINF	% System availability	98%
	% of user support requests answered on time	90%
ERATV	% System availability	98%
	% of submitted new types published	85%
EVR	% system availability	98%
VKMR	% VKM published	100%
Organisation's codes	Depending on the progress made in 2021	
ERADIS	% System availability	98%

III.2.2 Strategic statement 2 and Strategic statement 3

Expected outcome	<p><i>Rail will become the backbone that supports an environmentally sustainable multimodal transport system and will be favoured as a transport mode by the new generations.</i></p> <p><i>Rail traffic will become seamless and MaaS (Mobility as a Service) and LaaS (Logistic as a Service) will be ensured, including multi-leg ticketing.</i></p>
Outcome indicators	<p>% modal shift from road/air to rail – see Green deal priorities</p> <p>Public perception change as regards rail by age group (Eurobarometer)</p> <p>% of multi-leg trips supported by linked ticketing data</p>
Agency's accountability ceiling	
Progress towards outcome in 2022	
Expected resource envelope	
<ul style="list-style-type: none"> - Human resources - Financial resources 	
Fee-based	No

List of the main projects/services supporting the objective	Output indicator	Target for 2022
Green deal	TBD	
TSI Noise		
<i>Study on bottlenecks, opportunities and areas for improvement to foster a coordinated traffic management at EU level</i>	TBD	
<i>Support optimised traffic management by developing harmonised guidelines and sharing best practice between the stakeholders</i>	TBD	
<i>Supporting multi-modal standards for data exchange, based on the data-centric architecture and the linked data technology</i>	TBD	
<i>Study on technical specifications for the future Hyperloop authorisation</i>	TBD	

III.2.3 Strategic statement 4

Expected outcome	<i>Rail will be an increasingly safe and secure mode of transport for its users and workers.</i>
Outcome indicator	Railway accidents and incidents data (including breakdown by category, by country, monetization) – trend Railway security failures EU railway safety compared to best performers worldwide Cost of safety measures - trend 5 % of cost and time reduction for safety certification processes compared to the baseline established by the end of 2021 % of available linked safety data
Agency's accountability ceiling	
Progress towards outcome in 2022	
Expected resource envelope - Human resources - Financial resources	
Fee-based	Partially

List of the main projects/services	Output indicator	Target for 2022
System specifications/model		
Sustainable safety management	SMS guidance	Updated, taking into account feedback from SSC activities
	CSMs updates...	
	TDG...	
Facilitate the development of a harmonised safety culture	...	
	...	
Integrate Human and Organisational Factors (HOF)	...	
Assessing and embedding mature innovation	No. of proposed innovations assessed from a safety perspective Research projects of interest for ERA identified, followed and monitored ERA needs for research identified and communicated to the relevant research bodies	
Safety certification		

Issuing Single Safety Certificates	Proportion of decisions taken according to the legal framework deadlines (for completeness and assessment phases)	100%
Learning from safety performance		
Networks	<ul style="list-style-type: none"> › NSA Network › NRB management and coordination › NIB cooperation 	Organised
Monitoring of relevant actors		
NSA Annual Safety report analysis	Qualitative analysis of NSA Annual Safety reports to be presented at the NSA annual performance review Workshop	1 summary analysis presented at the workshop
NSA monitoring	No. of audit reports sent to NSAs for comments after the onsite No. of follow – up audits	10 At least 2
Support the NIB Peer review system	ERA to attend as observer to the NIB Peer Reviewed	Delivered
Review of NIB accident investigation reports	Qualitative analysis of NIB accident investigation reports	Year N summary analysis delivered (publication in year Q1 year N+1)

III.2.4 Strategic statement 5

Expected outcome	<i>Rail will be agile in responding to emergency situations</i>
Outcome indicator	Simulated journey duration in emergency situation compared to the baseline % of medical equipment / patients likely to be transported by train Reduced response and handling time of an emergency situation
Agency's accountability ceiling	
Progress towards outcome in 2022	
Expected resource envelope - Human resources - Financial resources	
Fee-based	No

List of the main projects/services	Output indicator	Target for 2022
<i>Support to the development and maintenance of the contingency handbook</i>	<i>Contingency handbook developed - TBD</i>	

III.2.5 Strategic statement 6

Expected outcome	<i>Rail will become increasingly economically competitive as a mode and as a sector.</i>
Outcome indicator	No. of new entrants on the market (trend) % of state aid in the overall financing model of railway companies % of modal shift from road/air to rail
Agency's accountability ceiling	
Progress towards outcome in 2022	
Expected resource envelope	
- Human resources	
- Financial resources	
Fee-based	No

List of the main projects/services	Output indicator	Target for 2022
<i>Study on the economic impact of the vehicle authorisation and issuing of single safety certificate processes</i>	TBD	
<i>Study on the economic impact of TSIs as a package</i>	TBD	
<i>Study on the economic impact of the modular inter changeability</i>	TBD	
Impact assessments for recommendations and opinions	% of issued recommendations and opinions accompanied by an impact assessment	100%
Economic Steering Group (ESG) and Task Forces	Task Force report endorsed by the ESG	Report delivered to the ESG by December
Ex-post assessment for selected topics	Topic(s) identified. Ex-post assessment(s) delivered.	Topic(s) identified by end of January. At least one ex-post assessment delivered by December.
Reporting on safety and interoperability of SERA	Report on Railway Safety and Interoperability Annual assessment report on achievements of CSTs	Available by Q2 2022 Available 31/03/2022

III.2.6 Strategic statement 7

Expected outcome	<i>The EU will become the global reference for rail and ERA authorisations will be globally recognised.</i>
Outcome indicator	Exports of EU manufactured railway vehicles (trend) and correlation with TSI “export” rate No of countries recognising ERA issued authorisations (trend)
Agency’s accountability ceiling	
Progress towards outcome in 2022	
Expected resource envelope	
- Human resources	
- Financial resources	
Fee-based	No

List of the main projects/services	Output indicator	Target for 2022
Global cooperation	Implementation of the global cooperation roadmap alongside the following areas: › Collaboration with OSJD and OTIF › Engagement with other international regulation bodies › Support to EC in wider international engagement	Ensured
Standardisation work		
ERA Academy	No. of training courses delivered	
	Positive overall feedback from the audience/participants per initiative	
	No. of dissemination activities delivered	
	Positive overall feedback from the audience/participants per initiative	
	No. of conferences delivered	
	Positive overall feedback from the audience/participants per initiative	
	No. of seminars delivered	
	Positive overall feedback from the audience/participants per initiative	
	No. of summer schools delivered	
	No. or PoE training courses delivered	
Positive overall feedback from the audience/participants per initiative		

EU MedRail project		
IPA project		
Crisis and reputation management	Reputational damages resulting in written complaints from the stakeholders	None
	Reputational damages resulting in legal actions against the Agency	None

III.2.7 Strategic statement 8

Expected outcome	<i>The Agency will ensure an effective and efficient governance of its portfolio of activities in order to offer the best value for money to citizens and business in the EU.</i>
Outcome indicator	Agency's performance in delivering on Strategic statements 1-7
Agency's accountability ceiling	
Progress towards outcome in 2022	
Expected resource envelope - Human resources - Financial resources	-
Fee-based	No

List of the main projects/services	Output indicator	Target for 2022
Agency's strategic development	Number of multi-annual roadmaps developed for priority topics from the programming document	At least 2*
Management, control and support of Agency's portfolio of projects and services	Monthly reports for Agency's projects and services	100% of project and service reports collected and analysed
Issuing and updating SPD and AAR	SPD 2023	Adopted by MB
	AAR 2021	Adopted by MB
ICC	% of nonconformities identified for which corrective/preventive actions are established	100%
	Agency' most significant risks identified and assessed. Remedial actions plans	Documented and reported in AAR
Efficiency and performance programme	% of efficiency gains achieved Performance dashboard implemented	
Integrated Management System	Rate of closing audits findings	100%
	ISO 9001 certification	ISO 9001 certificate maintained
Supporting EB and MB meetings	% of mandatory decision topics for 2022 covered by the EB/MB meetings	100%
Data governance	% of data related topics governed by the data steering committee	100%

	Number of prototypes based on linked data	2-3
Website/online	Website availability	> 97% (excluding maintenance)
	% of internal accepted change requests for the website implemented	100%
	Twitter number of followers	At least 5% more than previous year
	LinkedIn presence	2 posts per month
	LinkedIn number of followers	At least 5% more than previous year
Women in transport	Scholarship awarded Implementation of the gender audit action plan	Achieved Ongoing
Publication management	% of planned publications delivered	100%
Event management	No. of events delivered with positive feedback from the stakeholders	3
	% of events with overall positive feedback	100%
Internal communication lifecycle	Survey on quality of internal communication	Delivered
	Action plan	Defined
Provisions, strategy and plans for an effective and efficient communication	Communication plan	Drafted and approved

III.2.8 Strategic statement 9

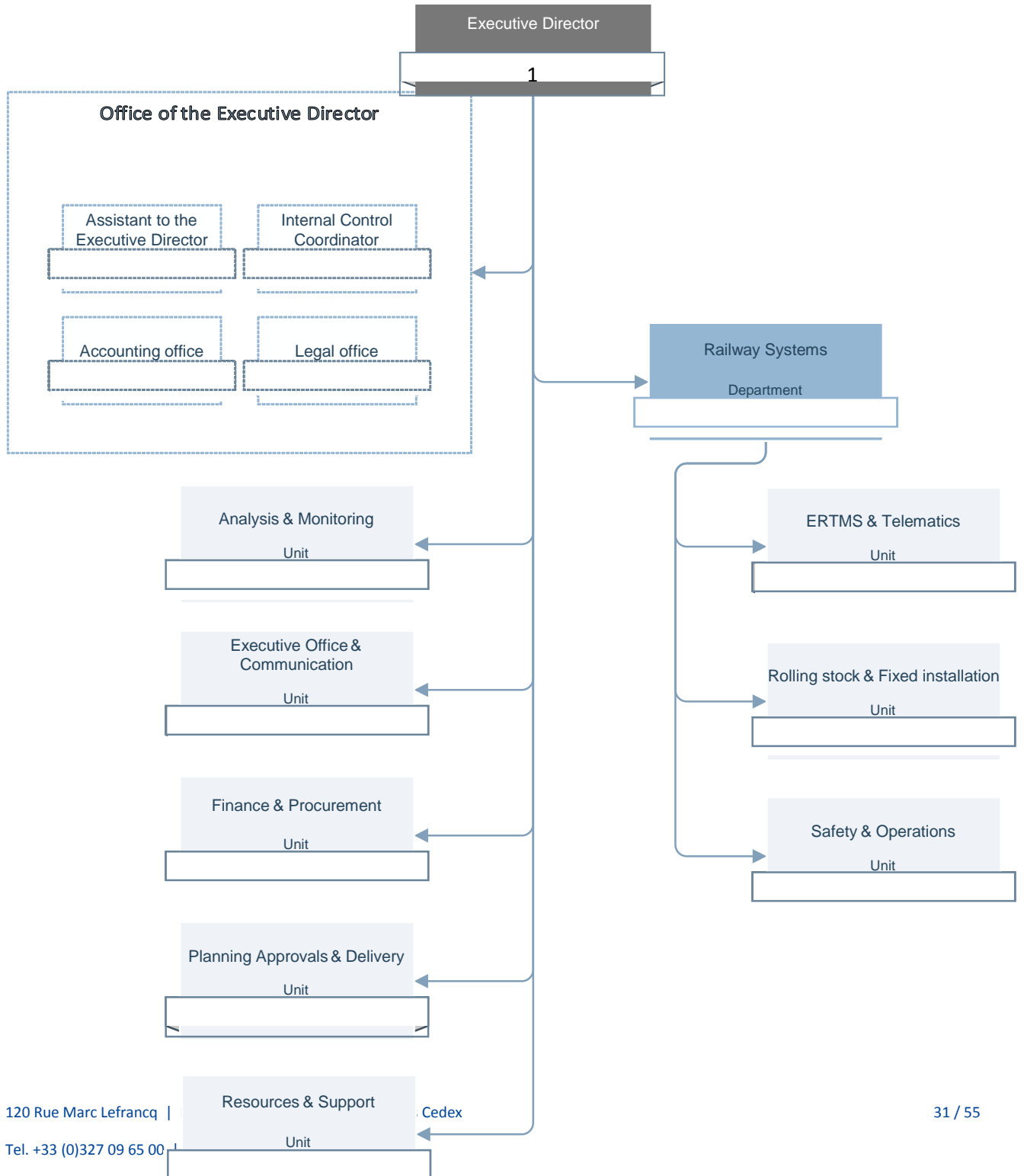
Expected outcome	<i>The Agency will ensure a performant working environment, based on high quality motivated resources and a collaborative behaviour.</i>
Outcome indicator	Agency's efficiency and effectiveness for support services
Agency's accountability ceiling	
Progress towards outcome in 2022	
Expected resource envelope - Human resources - Financial resources	-
Fee-based	No

List of the main projects/services	Output indicator	Target for 2022
ICT	Availability of the core ICT systems Availability of Extranet % of users satisfied with the quality of IT service delivery in "Very Good/Excellent" rate. Study for "Registers" cloud migration	98% min 98% min 70% Study finalised
HR	% Implementation of the Establishment % of staff turnover	98% ≤ 5%
Facilities management		
Legal support	% of legal acts issued by the Agency, as defined by the Agency regulation, for which legal advice was provided	100%
Accounting	Opinion in the CoA annual report on reliable Agency accounts	Positive
Annual budget execution	% of the annual appropriations committed	98 %
	% of carry-over of payment appropriations	<10% for T1, <20% for T2 and <30% for T3
	% of execution of C8 payment appropriations	95 %
	% payments made by contractual deadline	>95%

IV. Annexes

IV.1 Organisation chart

Organisational chart – 2021:



IV.2 Resource allocation

year	2021			2022			2023		
Activity	TA	CA/SNE	Budget allocated €	TA	CA/SNE	Budget allocated €	TA	CA/SNE	Budget allocated €
Operational expenditure out of which									
1. Contributing to shaping target and global reference	7.03	7.35	173,563.00	7.03	7.35		7.03	7.35	
2. Developing the harmonised regulatory SERA technical framework	30.05	4.65	772,448.00	30.05	4.65		30.05	4.65	
3. Implementing the harmonised regulatory SERA technical framework	38.78	7.85	979,882.00	41.78	7.85		44.78	7.85	
4. Monitoring, evaluating and reporting	15.3	0.4	230,517.00	15.3	0.4		15.3	0.4	
5. Delivering efficient and effective services	36.74	18.80	1,390,840.00	36.74	18.80		36.74	18.80	
ERA Management and Administration	23.1	4.95		23.1	4.95		23.1	4.95	
Staff related costs			20,797,909.00						
Building, equipment and other expenditure			2,122,000.00						
Total	151	44	26,467,159.00	154	44	35,684,946	157	44	37,469,193

IV.3 Financial Resources 2022-2024

Table 1 – Revenue

<i>Revenues</i>	<i>2021</i>	<i>2022</i>
EU contribution	25.763.160	31.027.990
Other revenue – EFTA	703 999	697.576
Fees and charges	3.122.750	3.959.380
Total revenues	29.589.909	35.684.946

<i>REVENUES</i>	<i>2020</i>	<i>2021</i>	<i>2022</i>		<i>Envisaged 2023</i>	<i>Envisaged 2024</i>
	<i>Executed Budget</i>	<i>Revenues estimated by the agency</i>	<i>Agency request</i>	<i>Budget forecast</i>		
1 REVENUE FROM FEES AND CHARGES	1.793.032	3.122.750	3.959.380	3.959.380	4.157.349	pm
2. EU CONTRIBUTION*	27.030.000	25.763.160	31.027.990	31.027.990	32.579.390	pm
of which assigned revenues deriving from previous years' surpluses	80.722	59.486				
3 THIRD COUNTRIES CONTRIBUTION (incl. EFTA and candidate countries)	639.347	703.999	697.576	697.576	732.454	pm
of which EFTA	639.347	693.999	697.576	697.576	732.454	pm
4 OTHER CONTRIBUTIONS						
of which delegation agreement, ad hoc grants						
5 ADMINISTRATIVE OPERATIONS						
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT		10.000				
7 CORRECTION OF BUDGETARY IMBALANCES						
TOTAL REVENUES	29.462.379	29.589.909	35.684.946	35.684.946	37.469.193	pm

Additional EU funding: grant, contribution and service-level agreements

REVENUES	Additional EU funding: grant, contribution and service-level agreements						
	Executed	Estimated by the Agency	2022		VAR N+1/N (%)	Envisaged	Envisaged
	2020	2021	Agency request	Budget forecast		2023	2024
ADDITIONAL EU FUNDING STEMMING FROM GRANTS (FFR Art.7) of which							
EUMEDRAIL	246,119	300,400*	342,896*	342,896*			
IPA	150,000	150,000	150,000	150,000		150,000	pm
ADDITIONAL EU FUNDING STEMMING FROM CONTRIBUTION AGREEMENTS (FFR Art.7)							
ADDITIONAL EU FUNDING STEMMING FROM SERVICE LEVEL AGREEMENTS (FFR Art. 43.2)	45,000	pm	pm	pm		pm	pm
TOTAL	441,119	450,400	492,896	492,896		150,000	pm

* These Grant numbers are provisional amounts for the EU MedRail project continuation (subject to signature in December 2020).

The revenues referred above are used for covering expenditure strictly in the scope of the respective grant contracts/SLAs

Table 2 – Expenditure

<i>Expenditure</i>	2021		2022	
	<i>Commitment appropriations</i>	<i>Payment appropriations</i>	<i>Commitment appropriations</i>	<i>Payment appropriations</i>
Title I	20 797 909	20 797 909	22 502 590	22 502 590
Title II	2.122.000	2.122.000	2 523 000	2 523 000
Title III	3.547.250	3.547.250	6,699,976	6,699,976
Title IV	3.122.750	3.122.750	3.959.380	3.959.380
Total expenditure	29 589 909	29 589 909	35 684 946	35 684 946

Expenditure (EU Contribution)

Commitment appropriations (EU Contribution)

EXPENDITURE	Commitment appropriations (EU Contribution)				
	Executed Budget 2019	Budget 2020	Draft Budget Agency request		VAR 2022/2021 (%)
			2021	2022	
Title 1 - Staff expenditure	20 294 328	20 467 100	20 797 909	22 502 590	8.20%
Salaries & allowances	19 705 823	19 824 100	20 304 909	21 999 590	8.35%
- <i>Of which establishment plan posts</i>	17 624 469	17 475 000	17 884 709	18 905 000	5.70%
- <i>Of which external personnel</i>	2 081 354	2 349 100	2 420 200	3 094 590	27.87%
Expenditure relating to Staff recruitment	153 080	135 000	70 000	80 000	14.29%
Employer's pension contributions					
Mission expenses	67 000	100 000	46 000	50 000	8.70%
Socio-medical infrastructure	43 988	57 000	57 000	60 000	5.26%
Training	122 011	150 000	120 000	150 000	25.00%
External Services	173 616	180 000	177 000	140 000	-20.90%
Receptions, events and representation	1 670	3 000	3 000	3 000	0.00%
Social welfare	27 140	18 000	20 000	20 000	0.00%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	2 085 676	2 323 350	2 122 000	2 523 000	18.90%
Rental of buildings and associated costs	1 216 857	1 222 000	1 045 000	1 286 000	23.06%

EXPENDITURE	Commitment appropriations (EU Contribution)				
	Executed Budget 2019	Budget 2020	Draft Budget Agency request		VAR 2022/2021 (%)
			2021	2022	
Information, communication technology and data processing	603 234	778 600	755 000	895 000	18.54%
Movable property and associated costs	61 604	90 250	90 000	75 000	-16.67%
Current administrative expenditure	13 737	12 000	7 000	12 000	71.43%
Postage / Telecommunications	146 249	185 000	185 000	215 000	16.22%
Meeting expenses	969	4 500	5 000	5 000	0.00%
Running costs in connection with operational activities					
Information and publishing	4 916	4 000	5 000	5 000	0.00%
Studies					
Other infrastructure and operating expenditure	38 110	27 000	30 000	30 000	0.00%
Title 3 - Operational expenditure	5 283 283	5 441 833	3 547 250	6 699 976	88.88%
Operational activities directly linked to the Agency regulation	3 617 667	4 237 486	2 414 315	4 655 576	92.83%
Other Activities	1 665 616	1 204 347	1 132 935	2 044 400	80.45%
TOTAL	27 663 287	28 232 283	26 467 159	31 725 566	19.87%

Expenditure (EU Contribution)

Payment appropriations (EU Contribution)

EXPENDITURE	Commitment appropriations (EU Contribution)				
	Executed Budget 2019	Budget 2020	Draft Budget Agency request		VAR 2022/2021 (%)
			2021	2022	
Title 1 - Staff expenditure	20 294 328	20 467 100	20 797 909	22 502 590	8.20%
Salaries & allowances	19 705 823	19 824 100	20 304 909	21 999 590	8.35%
- Of which establishment plan posts	17 624 469	17 475 000	17 884 709	18 905 000	5.70%
- Of which external personnel	2 081 354	2 349 100	2 420 200	3 094 590	27.87%

EXPENDITURE	Commitment appropriations (EU Contribution)				VAR 2022/2021 (%)
	Executed Budget 2019	Budget 2020	Draft Budget Agency request		
			2021	2022	
Expenditure relating to Staff recruitment	153 080	135 000	70 000	80 000	14.29%
Employer's pension contributions					
Mission expenses	67 000	100 000	46 000	50 000	8.70%
Socio-medical infrastructure	43 988	57 000	57 000	60 000	5.26%
Training	122 011	150 000	120 000	150 000	25.00%
External Services	173 616	180 000	177 000	140 000	-20.90%
Receptions, events and representation	1 670	3 000	3 000	3 000	0.00%
Social welfare	27 140	18 000	20 000	20 000	0.00%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	2 085 676	2 323 350	2 122 000	2 523 000	18.90%
Rental of buildings and associated costs	1 216 857	1 222 000	1 045 000	1 286 000	23.06%
Information, communication technology and data processing	603 234	778 600	755 000	895 000	18.54%
Movable property and associated costs	61 604	90 250	90 000	75 000	-16.67%
Current administrative expenditure	13 737	12 000	7 000	12 000	71.43%
Postage / Telecommunications	146 249	185 000	185 000	215 000	16.22%
Meeting expenses	969	4 500	5 000	5 000	0.00%
Running costs in connection with operational activities					
Information and publishing	4 916	4 000	5 000	5 000	0.00%
Studies					
Other infrastructure and operating expenditure	38 110	27 000	30 000	30 000	0.00%
Title 3 - Operational expenditure	5 283 283	5 441 833	3 547 250	6 699 976	88.88%
Operational activities directly linked to the Agency regulation	3 617 667	4 237 486	2 414 315	4 655 576	92.83%
Other Activities	1 665 616	1 204 347	1 132 935	2 044 400	80.45%
TOTAL	27 663 287	28 232 283	26 467 159	31 725 566	19.87%

Draft 1

Expenditure (fees and charges)

Commitment appropriations (fees and charges)

EXPENDITURE	Commitment appropriations (Fees and charges)				
	Executed Budget 2019	Budget 2020	Draft Budget Agency request		VAR 2022/2021 (%)
			2021	2022	
Title 1 - Staff expenditure		2 532 600	3 122 750	3 959 380	26.79%
Salaries & allowances		1 308 000	1 726 000	2 406 000	39.40%
- <i>Of which establishment plan posts</i>		1 125 000	1 536 000	2 010 000	30.86%
- <i>Of which external personnel</i>		183 000	190 000	396 000	108.42%
Expenditure relating to Staff recruitment					
Employer's pension contributions		301 650	396 750	553 380	39.48%
Mission expenses					
Socio-medical infrastructure					
Training					
External Services		922 950	1 000 000	1 000 000	0.00%
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure					
Rental of buildings and associated costs					
Information, communication technology and data processing					
Movable property and associated costs					
Current administrative expenditure					
Postage / Telecommunications					
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure					
Operational activities directly linked to the Agency regulation					

EXPENDITURE	Commitment appropriations (Fees and charges)				
	Executed Budget 2019	Budget 2020	Draft Budget Agency request		VAR 2022/2021 (%)
			2021	2022	
Other Activities					
TOTAL		2 532 600	3 122 750	3 959 380	26.79%

Payment appropriations (Fees and charges)

EXPENDITURE	Commitment appropriations (Fees and charges)				
	Executed Budget 2019	Budget 2020	Draft Budget Agency request		VAR 2022/2021 (%)
			2021	2022	
Title 1 - Staff expenditure		2 532 600	3 122 750	3 959 380	26.79%
Salaries & allowances		1 308 000	1 726 000	2 406 000	39.40%
- Of which establishment plan posts		1 125 000	1 536 000	2 010 000	30.86%
- Of which external personnel		183 000	190 000	396 000	108.42%
Expenditure relating to Staff recruitment					
Employer's pension contributions		301 650	396 750	553 380	39.48%
Mission expenses					
Socio-medical infrastructure					
Training					
External Services		922 950	1 000 000	1 000 000	0.00%
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure					
Rental of buildings and associated costs					
Information, communication technology and data processing					
Movable property and associated costs					
Current administrative expenditure					
Postage / Telecommunications					
Meeting expenses					
Running costs in connection with operational activities					

EXPENDITURE	Commitment appropriations (Fees and charges)				VAR 2022/2021 (%)
	Executed Budget 2019	Budget 2020	Draft Budget Agency request		
			2021	2022	
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure					
Operational activities directly linked to the Agency regulation					
Other Activities					
TOTAL		2 532 600	3 122 750	3 959 380	26.79%

Table 3 – Budget outturn and cancellation of appropriations

<i>Budget outturn</i>	<i>2017</i>	<i>2018</i>	<i>2019</i>
Reserve from the previous years' surplus (+)	378 215	80 722	119 879
Revenue actually received (+)	31 930 147	28 644 227	29 895 702
Payments made (-)	- 27 143 336	- 26 386 114	- 26 041 311
Carry-over of appropriations (-)	- 4 948 422	- 3 509 588	-2 590 904
Cancellation of appropriations carried over (+)	64 813	122 715	54 280
Adjustment for carry over of assigned revenue appropriations from previous year (+)	179 832	1 045 234	335 358
Exchange rate differences (+/-)	- 2 312	- 2 780	-1 110
Adjustment for negative balance from previous year (-)	- 378 215	- 80 722	-119 879
Total	80 722	119 879	59 486

IV.4 Human Resources 2022-2024 – quantitative

Table 1 – Staff population and its evolution; Overview of all categories of staff

A. Statutory staff and SNE

Staff population		Staff population in voted Budget 2019	Staff population in voted Budget 2020	Staff population at 31/12/2020	Staff population in EU Budget 2021	Staff population envisaged in 2022	Staff population envisaged in 2023	Staff population envisaged in 2024
Officials	AD							
	AST							
	AST/SC							
TA	AD	113	113		116	119	122	125
	AST	35	35		35	35	35	35
	AST/SC	0	0		0	0	0	0
Total TA		148	148		151	154	157	160
CA GFIV		17	15		16	16	16	16
CA GF III		8	8		12	12	12	12
CA GF II		10	10		8	8	8	8
CA GF I		3	3		0	0	0	0
Total CA*		38	36		36	36	36	36
SNE		4	4		4	4	4	4
Total		190	188		191	194	197	200

As of 2022, in order to cope with the increasing budget pressure and become more cost-efficient, the Agency is exploring the possibility to replace up to 8 FTE's of the structural service providers by contract agent posts, where this would generate a budget saving.

Note: To take into account that NSA's will not always be able to assist the Agency because of own workloads, the Agency will in addition seek to secure external assistance through a framework contract and to recruit additional contract agents the cost of which will be recovered through fees and charges.

B. Additional external staff expected to be financed from grant, contribution or service-level agreements

Human Resources	2021	2022	2023	2024
	Envisaged FTE	Envisaged FTE	Envisaged FTE	Envisaged FTE
Contract Agents (CA)	4	4	4	pm
Seconded National Experts (SNE)	0	0	0	pm

Human Resources	2021	2022	2023	2024
	Envisaged FTE	Envisaged FTE	Envisaged FTE	Envisaged FTE
TOTAL	4	4	4	pm

Table 2 – Multi- annual staff policy plan 2022-2024

Function group and grade	2020		2020	2021		2022		2023		2024	
	Authorised under the EU Budget		Staff population at 31/12/2020	Authorised under the EU Budget		Authorised under the EU Budget		Request of the Agency		Request of the Agency	
	Permanent posts	Temporary posts		Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16		0			0		0		0		0
AD 15		1			1		1		1		1
AD 14		0			0		0		0		0
AD 13		0			0		0		0		0
AD 12		4			4		4		4		4
AD 11		7			10		10		10		10
AD 10		19			19		19		19		19
AD 9		32			29		29		29		29
AD 8		21			21		21		21		21
AD 7		15			15		15		15		15
AD 6		14			17		20		23		26
AD 5		0			0		0		0		0
AD TOTAL		113			116		119		122		125
AST 11		0			0		0		0		0
AST 10		0			0		0		0		0
AST 9		2			2		2		2		2
AST 8		5			5		5		5		5
AST 7		5			5		5		5		5
AST 6		2			6		6		6		6
AST 5		8			8		8		8		8
AST 4		9			9		9		9		9
AST 3		4			0		0		0		0
AST 2		0			0		0		0		0
AST 1		0			0		0		0		0
AST TOTAL		35			35		35		35		35
AST/SC 6											
AST/SC 5											
AST/SC 4											
AST/SC 3											
AST/SC 2											
AST/SC 1											
AST/SC TOTAL											
TOTAL		148			151		154		157		160

Contract Agents

Contract agents	FTE corresponding to the authorised budget 2020	Headcount as of 31/12/2020	FTE corresponding to the authorised budget 2021	FTE request for budget 2022	FTE request for budget 2023	FTE request for budget 2024
Function Group IV	17		16	16	16	16
Function Group III	8		12	12	12	12
Function Group II	10		8	8	8	8
Function Group I	3					
TOTAL	40		36	36	36	36

Seconded National Experts

Seconded National Experts	FTE corresponding to the authorised budget 2020	Executed FTE as of 31/12/2020	Headcount as of 31/12/2020	FTE corresponding to the authorised budget 2021	FTE corresponding to the authorised budget 2022	FTE corresponding to the authorised budget 2023	FTE corresponding to the authorised budget 2024
TOTAL	4	2	2	4	4	4	4

Table 3 - Recruitment forecasts 2022 following retirement/mobility or new requested posts

Job title in the Agency	Type of contract (Official, TA or CA)		TA/Official		CA
	Due to foreseen retirement/mobility	New post requested due to additional tasks	Function group/grade of recruitment internal (Brackets) and external (single grade) foreseen for publication *		Recruitment Function Group (I, II, III and IV)
			Internal (brackets)	External	

Number of inter-agency mobility Year 2021 from and to the Agency: to be filled in

IV.5 Human Resources 2022-2024 – qualitative

IV.5.1 Recrutement policy

Implementing rules in place:

		Yes	No	If no, which other implementing rules are in place
Engagement of CA	Model Decision C(2019)3016	x		
Engagement of TA	Model Decision C(2015)1509	x		
Middle management	Model decision C(2018)2542	x		
Type of posts	Model Decision C(2018)8800	x		

The following general principles guide the application of the legal framework concerning the Agency staff:

- a) The core of the Agency staff consists of Temporary Agents. All Temporary Agent positions have been identified as long-term positions. Due to the budgetary and establishment plan constraints the Agency is obliged to also engage Contract Agents in order to fulfil its mission;
- b) Temporary and Contract Agents are as far as possible treated equivalently.

In addition, it should be noted the Agency does not employ officials. However, there are cases where EU officials have been engaged following an external selection procedure and have therefore acquired the status of Temporary Agent in the Agency (whilst remaining an official on unpaid leave in their institution of origin).

Selection and engagement procedures:

The procedure for selection and engagement of Temporary Agents and Contract Agents is based on Articles 27-34 of the Staff Regulations and Articles 12-15 and 82-84 of the Conditions of Employment of Other Servants of the European Communities (CEOS), the related Implementing Rules on the engagement and use of Temporary Agents and Contract Agents, the Financial Regulation (European Commission and the Agency), the Code of Good Administrative Behaviour and the data protection rules.

The Agency also makes use of the EPSO CAST lists accessible to Agencies for the engagement of Contract Agents.

Because of the Agreement on the European Economic Area nationals of Norway, Iceland and Liechtenstein are eligible for working for the Agency.

The selection procedures for the engagement of Temporary Agents are carried out in accordance with Decision N° 121 of the Administrative Board of the European Railway Agency laying down the general implementing provisions on the procedure governing the engagement and use of temporary staff under Article 2(f) of the CEOS.

Depending on the function and the level of tasks and within the limits authorised by the establishment plan of the Agency, Temporary Agents are engaged at the following entry grades:

- › AST 1 to AST 4 for the function group AST
- › AD 5 to AD8 for the function group AD

For managerial posts or highly specialised posts, the Agency can engage Temporary Agents at grades AD 9 and AD10 or at grade AD12 for Heads of Department and at grade AD 13 for Advisers.

In the TA 'Assistant' function group, engagement at a grade higher than the one mentioned above can exceptionally take place on the basis of an analysis of the labour market conditions and the need for particularly experienced staff.

The duration of contracts for Temporary Agents is governed by Decision N° ERA-ED-DEC-1109-2015. Staff holding a long-term post are normally offered an initial contract with a duration of four years with the possibility of renewal. The standard practice for a first renewal is normally for a two-year period and any further renewal is for an indefinite period. For staff on short-term employment, the duration of the contract depends on the duration of the tasks to be carried out.

a. Temporary agents

The new Agency Regulation which entered into force in 2016 makes no distinction between posts for long-term and short-term employment. Still a post can, in accordance with Article 16 of Decision no. 121, be defined to be for short-term employment when it involves tasks of a limited duration.

The decision to renew contracts of employment of Temporary Agents occupying a long-term post is taken by the Executive Director based on two considerations: the continuity of the post and the competences and performances of the jobholder, in accordance with Decision N° ERA-ED-DEC-678-2013 and the Procedure PRO_STA_01 on "renewal and non-renewal of contracts of employment before the expiry date".

If a TA or former TA is awarded a second contract of employment in the same function group, this contract shall be considered as a renewal in the sense of Article 8 of the CEOS if the period between the end of the first contract and the starting date of the new contract is less than 6 months. If the period between the two contracts of employment is 6 months or more or if the new contract is in a different function group, the second contract of employment shall be considered a new contract of employment.

b. Contract agents

The selection procedures for the engagement of Contract Agents are carried out in accordance with Decision n° 210 of the Management Board of the European Union Agency on the general provisions for implementing Article 79(2) of the Conditions of Employment of Other Servants of the European Union, governing the conditions of employment of contract staff employed under the terms of Article 3a thereof.

In accordance with Article 85 of the CEOS, contract staff can be engaged for a fixed period of at least three months and not more than five years. Contract Agents are engaged for their specific competence in different areas of administration (finance, HR, IT, logistics, legal, audit, quality management), in the railway domain or to perform manual or administrative tasks.

This type of contract is usually used to meet specific needs such as:

- › Administrative tasks;
- › Coping with temporary peaks in workloads;

- › Launching projects or new activities for which long-term commitment in terms of staffing is unclear;
- › Replacing staff on long-term absences such as maternity leave, long-term sick leave or unpaid leave;
- › Unforeseen deficits in staffing levels and budgetary restrictions in overcoming this problem by engaging Contract Agents.

However, increasingly ERA has also engages Contract Agents for other (long-term) tasks, such as:

- › Administrative and Logistician Support Agents
- › Assistants
- › Project Officers

c. Seconded national experts³

Seconded National Experts (SNEs) are staff employed by a national, regional or local public administration or a public intergovernmental organisation who are seconded to the Agency so that it can use their expertise in a particular field. SNEs are seconded from their national employer to the Agency's operational units on the basis of their specific competenc(i)es and technical expertise in the railway domain, based on DECISION n° 173 of the Management Board of the European Union Agency for Railways laying down rules on the secondment to the Agency of seconded national experts and national experts in professional training.

A possibility to mandate 'cost-free' SNEs also exists, where the Agency does not pay any allowances or cover any of the expenses related to the performance of their duties during their secondment, although the Agency does not deploy such SNEs at the moment.

SNEs assist the Agency staff and cannot perform (middle) management duties. The initial period of secondment may not be less than six months or more than two years. It may be renewed once or more up to a total period not exceeding four years. Exceptionally, the Agency's Executive Director may authorise one more extension of the secondment for the maximum duration of one year at the end of the four year period. Each secondment and extension is subject to an exchange of letters. An SNE may be seconded once again provided that the conditions of secondment still exist and a period of at least six years has elapsed between the end of the previous secondment and the new secondment unless the previous secondments lasted for less than four years.

d. Trainees

Professional traineeships last 10 months and are managed in accordance with Decision N° ERA-ED-DEC-1063-2015, depending on budget availability.

e. Structural service providers⁴

To be filled in

[IV.5.2 Appraisal of performance and reclassification](#)

³. SNEs are not employed by the Agency.

⁴. Structural service providers are not employed by the Agency.

Implementing rules in place:

		Yes	No	If no, which other implementing rules are in place
Reclassification of TA	Model Decision C(2015)9560	x		
Reclassification of CA	Model Decision C(2015)9561	x		

The Agency applies Decision N° 132 of the Administrative Board of the European Railway Agency on the general provisions for implementing Article 43 of the Staff Regulations and implementing the first paragraph of Article 44 of the Staff Regulations for temporary staff and Decision N° 133 of the Administrative Board of the European Railway Agency on the general provisions for implementing Article 87(1) of the Conditions of Employment of Other Servants of the European Union and implementing the first paragraph of Article 44 of the Staff Regulations. They were first implemented for the appraisal and reclassification exercise of 2016. Since 2016, the Agency adopted and implemented the rules for the reclassification of Contract Agents.

IV.5.3 Mobility policy

1. Mobility within the agency

Decision N° 121 of the Administrative Board of the European Railway Agency laying down the general implementing provisions on the procedure governing the engagement and use of temporary staff under Article 2(f) of the CEOS (adopted on 25.11.2016) and Decision n° 210 of the Management Board of the European Union Agency on the general provisions for implementing Article 79(2) of the Conditions of Employment of Other Servants of the European Union, governing the conditions of employment of contract staff employed under the terms of Article 3a thereof enshrine the scenarios for internal mobility for TA 2(f) and CA.

The Agency considers internal mobility when vacancies arise, but due to the very specific, technical competences of a big part of the staff, internal mobility remains limited.

Furthermore, members of the Agency staff can apply for vacant posts within the Agency advertised externally. A supplementary agreement in accordance with Article 10 of the CEOS will be concluded as required if existing staff get a new job.

2. Mobility between Union Agencies

The implementing rules on the engagement and use of Temporary Agents 2(f) and Contract Agents define the scope of mobility between Union Agencies.

A very limited number of the support staff who have left the Agency in previous years have accepted Temporary/Contract Agent positions in other Agencies.

Increasingly staff members who took up long-term Temporary Agent positions at the Agency come from other EU Agencies.

3. Mobility between the agencies and the institutions

Some posts are filled following an external selection procedure by staff coming from other European institutions (in particular the Commission), although the number remains small.

IV.5.4 Gender representation

To be filled in

IV.5.5 Geographical balance

To be filled in

IV.5.6 Environment management

The Agency is committed to promoting sustainability. The Agency drafted a document which guides ERA staff regarding sustainable development at ERA. Concern for the environment and promoting a broader sustainability agenda are integral to ERA's professional activities and the management of the organisation. The Agency's aim is to follow and to promote good sustainability practice, to reduce the environmental impacts of its activities and to help its stakeholders to do the same.

The Agency's principles are implemented in different goals:

- › Green building (E.G. The Agency is considering a building green certification for its new building project - Certification HQE - "Haute Qualité Environnementale").
- › Transportation
- › Climate protection
- › Waste reduction and recycling
- › Environmental preferable purchasing (E.G. The Agency is considering procurement for green electricity)
- › Sustainable resource management

IV.6 Building policy

IV.6.1 Current building(s)

To be filled in

IV.6.2 Building project in the planning phase

To be updated

IV.7 Privileges and immunities

The written procedure of the Management Board from August 2018 concerning the approval of a headquarters agreement between the Agency and the host Member State, has been completed successfully. No objections or negative votes were expressed by the members of the Management Board.

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
As per PPI and under the HA possibility to have diplomatic plates for 3 Agency cars. The Agency may fly its flag in its buildings and cars	No privileges have been granted to the Agency staff other than the ones envisaged in the PPI. The HA does not confer any additional rights to the Agency staff.	N.a.

Draft

IV.8 Evaluations

The Agency puts in place a system of internal monitoring and evaluation.

The monitoring is accompanied by actions plans, which are followed up by the Management Team.

The Agency will propose a set of indicators related to internal management standards which cover various dimensions including compliance, effectiveness and efficiency.

IV.9 Strategy for the organisational management and internal control systems

The strategy gives an overview on how the internal control system is organised and is contributing to the mitigation of the risks to the achievement of Agency's objectives to acceptable levels.

The Agency is operating with two control frameworks: COSO-based EC internal control framework (ICF) (adapted to the Agency's governance) and ISO based –quality system (ISO 9001:2015 –certified), integrated in one single management system designed to provide reasonable assurance regarding the achievement of the five internal control objectives derived from the Agency's Financial regulation as well as ensuring continuous improvement and the need to implement a flexible and effective governance.

The integrated management system is implemented through four high-level components (i) Strategic, (ii) Core, (iii) Support and (iv) Measurement and improvement. Each component is including all 17 principles of the ICF. There is also a clear link with the internal components (Control environment, Risk assessment, Control Activities and Monitoring). This system is deployed further at the level of processes.

The roles and responsibilities for implementing the system are also 'integrated': the director and the heads of units in their capacity as AO/AODs must ensure that the internal controls are efficient and effective while as process owners they are responsible for improvement of the processes. All staff should ensure at their own level of competency that their activities comply with rules and regulations and report any deficiency. The ICC oversees and monitors the implementation of the key internal control systems on a yearly basis. This function is in charge of facilitating the risk management process. The accounting officer certifies the year-end accounts thus providing reasonable assurance that the accounts present a true and fair view of the financial situation of the Agency. The IAS is the internal auditor of the Agency and performs independent assessment on the internal control systems based on a three-year plan. Complementary, internal audits are performed annually to ensure compliance with ISO requirements. The external audit is performed by the European Court of Auditors (for the legality and regularity of transactions) and an external company (for the accounts).

The delegations of powers for executing the budget are detailed in internal procedures.

Internal controls tools include:

- › Controls performed at all levels of the Agency

- › Risk management in particular at project/service level and Agency level where the most significant/relevant risks are captured including strategic risks (recorded in the agency risk register and reported in the AAR). Risks are formally assessed at both inherent and residual level to make sure that the analysis of the effectiveness of the controls in place is ensured before additional mitigating measures are put in place (cost-effectiveness of controls).
- › Corrective/preventive measures are established when recurrent and systemic errors are recorded. Ex-ante nonconformities involving significant amount of money (>15.000 euros) are approved by the AO
- › Internal control monitoring criteria for measuring the presence and the functioning of the principles are developed considering the risk environment and are focused more on effectiveness and efficiency.
- › Follow-up of recommendations from ECA, IAS, Discharge authority as well as other sources (eg. external evaluations) to ensure that the actions plans are effectively implemented within the agreed deadlines.
- › An integrated reporting system to inform and alert management on the progress on the implementation of costs for each project/service as well as SPD outputs (monthly dashboard). The cost data is connected to the source (ABAC). It includes several other parameters such as risks, issues, changes, corrective actions taken, quality, milestones etc.
- › Budgetary status reports are produced on a daily basis including an overview per unit of the budget execution per budget line for all fund sources, financial information on commitments, payments and transfers, information on progress of planned procurement and contracts. The information helps achieving the performance targets in these particular areas.
- › Ex-ante controls consisting in several checks of financial and operational aspects of transactions by the actors involved in the financial circuits. There is a very comprehensive checklist/templates as well as guidance which ensure an effective level of control. The specific controls are detailed in the manual of financial procedures which also included the steps to be taken for making a financial transaction, the various financial circuits by type of transaction and the different roles and responsibilities.
- › Ex-post controls for payments not subject to an ex-ante verification (payments considered with a low risk, with an amount of less than 1.000 €) are carried out bi-annually. The exercise is implemented following a risk assessment. The materiality criterion defined by the AO/AODs for drawing a reservation in the AAR is an assessment of whether more than 2% of the payments of the ABB activity concerned is erroneous.
- › Ad-hoc controls are additionally applied at the level of processes whenever the management assesses it is necessary to mitigate a specific risk (eg, selection procedures, financial delegations).

The Agency's anti-fraud strategy has been developed in accordance with OLAF guidelines, it is setting clear objectives, actions and responsibilities and it is based on a standalone fraud risk assessment exercise adapted to the Agency's environment encompassing fraud risks regardless of their criticality. The risk of fraud is duly considered when carry out the risk assessment exercise.

The strategy is focusing on three objectives:

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- Handle effectively actual or perceived conflict of interest,
- Enhance the promotion of high ethical values as well as increasing fraud awareness
- Enhance data and information security

The objectives are fully aligned with the fraud risks identified which include inherent significant risk of conflict of interest due to specific circumstances of the Agency's activities (ie. regulatory powers with significant decision making powers and potential reputational, legal and financial consequences if conflict of interest not adequately managed; relatively limited 'market' for recruitment of staff as well as for entities which could provide services for the Agency), potential risk of cyber-attacks leading to operational damage, loss of data, unauthorised disclosure of information or breach of data; potential risk of outsourcing the data and information security without proper security risk assessment), risk of staff members not being fully aware of their ethics obligations as well as handling and reporting fraud. The Agency has put in place comprehensive control measures proportional to the level of risks and amount of risk identified which encompass (but not limited to) mandatory tailor made trainings on ethics and separately on antifraud for all staff, mandatory submission of declaration of interests for all staff and members of the Management Board and of the Board of Appeal, ex-post/on the spot controls, review of internal procedures (including procedures for reporting and handling fraud). Control indicators enable assessment of effectiveness of the measures taken.

Assessment of the effectiveness of the integrated management system

The agency monitors continuously the efficiency and effectiveness of the Internal Control Framework. A yearly assessment report is produced where consideration is given to the results of controls mentioned above. All the internal control components and principles must be present and functioning well at all levels of the Agency to be considered effective. The results of the assessment are reported in the AAR.

IV.10 Plan for grant, contribution or service-level agreements (table)

REVENUES	Additional EU funding: grant, contribution and service-level agreements						
	Executed	Estimated by the Agency	2022		VAR N+1/N (%)	Envisaged	Envisaged
	2020	2021	Agency request	Budget forecast		2023	2024
ADDITIONAL EU FUNDING STEMMING FROM GRANTS (FFR Art.7) of which							
EUMEDRAIL	246,119	300,400*	342,896*	342,896*			
IPA	150,000	150,000	150,000	150,000		150,000	pm
ADDITIONAL EU FUNDING STEMMING FROM CONTRIBUTION AGREEMENTS (FFR Art.7)							
ADDITIONAL EU FUNDING STEMMING FROM SERVICE LEVEL AGREEMENTS (FFR Art. 43.2)	45,000	pm	pm	pm		pm	pm
TOTAL	441,119	450,400	492,896	492,896		150,000	pm

IV.11 Strategy for cooperation with third countries and/or international organisations

Since the adoption of the existing strategy for global cooperation (together with SPD 2018), the Agency is updating the scope of work in order to best address the priorities listed by the European Commission in this field, namely:

The EU transport policy aims at promoting greater development and stability in the neighbouring countries, enhancing connectivity with the neighbouring areas and towards Asia, and creating a level-playing field for international rail transport and the rail supply industry beyond EU borders. The Commission welcomes Agency's aspirations to provide technical support at Commission request. The Commission reminds that the main priorities as regards rail international cooperation fall into EU's neighbourhood, strategic partners and high growth economies beyond neighbourhood, and international organisations. Agency's international activities should not go beyond.

These priorities will be included in the multi-annual project plan for Global cooperation, which will be shared with the Management Board once drafted.