

Making the
railway system
work better for
society.

Draft Programming Document 2018

Draft 2.1 – 31.01.2017

Draft 2.1

Note to the reader:

- › The SPD 2018 is to be developed in different stages:
 - Draft 1.1 (Nov): Core ideas and objectives, to present draft 1.1 in EB (10 Nov) and MB (29-30 Nov)
 - Draft 1.2 (Jan): to present in EB and MB meetings, including consultation workshop
 - **Draft 2.1 (31 Jan): Draft to submit to EC, EP and Council (EC's official opinion due by 1 July)**
 - Draft 3 (Sept): Depending on the substance of the changes since draft 2.1, to present in EB and MB meetings in September
 - Draft 4 (Nov): Draft based on Commission opinion, for adoption by MB
- › The **structure and layout** of the Programming Document is in line with the guidelines from the EC (cf [presentation](#) in the AB mtg in November 2014)
- › The **5 activities** from the WP 2015, SPD 2016 and SPD 2017 have been so far retained for 2018
- › Data and information not yet available at this stage, will be further completed during the year.
- › The column "Achieved in 2017/New task" is for the time being **indicative** and are only projected results for 2017 or the identification of a new task in 2018.

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Foreword by the Executive Director

The European Union Agency for Railways is the EU agency tasked with establishing a single European railway area without borders, facilitating the development of a genuine European railway culture, driving the change to a pro-active railway safety culture with common criteria, targets and methods at EU level, advancing the single European Train Control and Communication System (ERTMS), and promoting a simplified access for customers of the European rail system. The activities of the Agency shall contribute to a high level of railway safety and interoperability, while improving the competitive position of the railway sector.

With the entry into force of the Technical Pillar of the Fourth Railway Package in 2016, the European Union Agency for Railways' mandate was extended by making it the main body responsible for issuing vehicle authorisations and safety certificates across the whole EU. In close coordination with Directorate-General for Mobility and Transport (DG MOVE), the Agency has developed a very significant preparation and implementation programme which, between 2016 and 2019, will transform the entire organisation enabling it to perform our new role, in particular as decision makers in the Single European Railway Area.

The railway sector is facing difficult times at the moment - it is seriously impacted not only by huge competition coming from other transport sectors (automotive, aviation and maritime sectors), but also from competition within the railway sector itself, mainly coming from the Far East. Evolution in technology, most notably in digital technology, constitutes both an opportunity and a challenge for the rail sector. The opportunity is due to the potential process improvements provided by digital, the challenge is caused by the fact that individual digital solutions might cause new issues for interoperability, and that other sectors might benefit considerably more from the digital transformation than rail – and these sectors might be quicker to make the transition to the digital world. With less fragmentation in the single European railway area, a technical harmonisation that can pave the way towards a global reference, and an approach for collaborative innovation in a competitive operational setting based on true customer orientation, we believe that the rail sector has a fair chance to master the transition from the transport mode that shaped the industrial revolution to an attractive transport mode in the digital age. To that end, the European Union Agency for Railways may contribute positively in several ways to the above aspects, in order to strengthen the competitiveness of rail.

As of 2017, the Agency is envisaging its activities and related objectives into a multi-annual perspective, in order to ensure clarity of goals, continuity, and stability. All Agency activities are traced back to a set of clear and stable, longer term objectives, together with a strategic approach to come closer to each goal step by step. These concrete steps are in turn described in more detail in the respective annual section of the work programme. In 2016, the Agency for Railways has published the pilot phase findings in its first Railway System Report, with railway indicators as a way to measure the impact of the Agency's work and to correlate it with rail market deliverables. These KPIs will continue to be the instrument for validating the effectiveness of the Agency's activities.

With this document, we intend to describe the Agency's programme for the years 2018 to 2020, and for 2018 in detail. The deadlines to reach the objectives are very ambitious and can only be respected if the necessary resources are made available to carry out sustained and coherent work over many years. As in the past, I am convinced that the implementation will further contribute to enabling better co-operation with all the stakeholders in the European Institutions and in the railway sector, in order to achieve our ultimate goal: "to make the railway system work better for society". Together, we will make it happen.

Josef Doppelbauer

List of Acronyms

4RP	Fourth Railway Package
AD	Administrator
ATO	Automatic Train Operation
AST	Assistant
BoA	Board of Appeal
CA	Contract Agent
CCS	Control command and signalling
CEF	Connecting Europe Facility
CSIs	Common Safety Indicators
CSMs	Common Safety Methods
CSTs	Common Safety Targets
DG MOVE	Directorate-General for Mobility and Transport
DG NEAR	Directorate-General for Neighbourhood and Enlargement Negotiations
ECM	Entity in Charge of Maintenance
ECVVR	European Centralised Virtual Vehicle Register
ENI	European Neighbourhood Instrument
ERADIS	ERA Database on Interoperability and Safety
ERATV	European Register of Authorised Types of Vehicles
ERRAC	European Rail Research Advisory Group
ERTMS	European Rail Traffic Management System
ETCS	European Train Control System
FTE	Full Time Equivalent
GoA	Grade of Automation
GSM R	Global System for Mobile Communications (Railway)
ICS	Internal Control Standards
ISC	Inter-service Consultation
IM	Infrastructure Manager
INEA	The Innovation and Networks Executive Agency
IoA	Inventory of Assets
JTI	Joint Technology Initiative
KPI	Key Performance Indicator
L3	Level 3 - conceptual phase

NIBs	National Investigation Bodies
NLF	National Legal Frameworks
NOTIF-IT	Notifications using Information Technology
NRD	National Reference Documents
NRV	National Reference Values
NSAs	National Safety Authorities
NVR	National Vehicle Register
OSJD	Organisation for Cooperation of Railways
OSS	One-stop-shop
OTIF	Organisation for International Carriage by Rail
PRIME	Platform for Railway Infrastructure Managers in Europe
PRM	Persons with reduced mobility
RDD	Reference Document Database
RFC	Rail Freight Corridors
RISC	Railway Interoperability and Safety Committee
RINF	Register of Infrastructures
RU	Railway Undertakings
SSC	Single Safety Certificate
SERA	Single European railway area
SMS	Safety Management System
SNE	Seconded National Expert
SPC	Single Point of Contact
SteCo	Steering Committee
TA	Temporary Agent
TDD	Train Drivers' Directive
TRAMOS	Transport Monitoring System
TRIS	Transport Information System
TSI	Technical Specifications on Interoperability
UNCRPD	European Act implementing the Convention on the Rights of Persons with Disabilities of the United Nations
VA	Vehicle Authorisation
WG	Working Group
WP	Working Party

Section I – General Context

The objective of the European Union Agency for Railways is to contribute, on technical matters, to the implementation of the European Union legislation aimed at creating a European railway area without frontiers and guaranteeing a high level of safety, by developing a common approach to safety on the European railway system, and improving the competitive position of the railway sector by enhancing the level of interoperability of railway systems.

As a result, the Agency contributes to an efficient internal market, helping to ensure a competitive EU position in the global market in relation to removing technical and operational barriers in the railway system, fostering harmonisation and standardisation, and issuing certifications and authorisations.

Even though the railway sector is traditionally more hesitant towards innovation, the Agency has been progressing in the area of digital technologies (such as ETCS, ATO), IT tools (such as OSS, databases and registers), and telematics applications (such as TAF and TAP).

Our mission is *“to make the railway system work better for society”*. To achieve this, the Agency carries out its activities, by implementing its policy on the following areas of equal importance:

1. Stakeholder Focus

- › We all are committed to offer excellent products and services to our stakeholders. This is to meet their needs and expectations in order to enhance their level of satisfaction.
- › For that, we all strive to encourage permanent cooperation with our stakeholders. We look for a common understanding of priorities and the building of consensus solutions through our independent and transparent position based on facts.

2. Ethical Values Commitment

- › In striving to gain our stakeholders' confidence, we all act with professionalism, impartiality, objectivity, independence, transparency and proportionality. We all show respect for others and believe in progress through diversity.

3. Legal Compliance

- › As a European Union Agency, we all act according to the law and apply the rules and procedures laid down in applicable legislation and regulations.

4. Staff involvement and development

- › People are our most valuable resource. We commit to maintain a fair and open culture and a spirit of cooperation with the staff and recognise the need to provide good working conditions. When necessary, this includes making available the resources to develop their competence and skills.

5. Everybody's Commitment to Quality

- › We are all committed to quality principles and responsible for complying with all the applicable requirements for delivering value to our stakeholders.
- › All managers at the Agency are responsible for taking the lead, setting objectives and demonstrating their commitment to Quality.

6. Continuous Improvement

- › It is our objective to continually improve the effectiveness of our Integrated Management System as well as our processes. By doing so, we all will be able to meet our challenges successfully and proactively.

7. Business Continuity

- › Our success relies on the preservation of our business critical activities. These ensure our continued efficient operation in a manner which maintains adequate standards of service provision to our stakeholders.

8. Information Governance

- › We all ensure the availability of information preserving its confidentiality and integrity.

9. A Culture of Sustainability

- › We all act in a responsible and sustainable manner.

The Agency also works in a wider framework as covered by the European Commission White Paper on Transport and its policy objectives for railways. A subset of the White Paper objectives is the creation of a “Single European railway area” (SERA) through improved technical interoperability and a common approach to safety on the EU railway system. The 2015 mid-term review of this White Paper has concluded that a significant gap exists between the objectives of the White Paper and the means by which they might be achieved and financed. The Report calls for an enhanced research and technology agenda for the transport sector, bearing in mind that priority should be given to projects to decarbonise transport, increase the transparency of the supply chain, enhance transport safety and security, improve traffic management and reduce administrative burdens.

These aspects have led the Agency to the definition of four strategic activities for the improved functioning of the railway system, complemented by a horizontal activity:

- (1) A Harmonised Approach to Safety
- (2) Removing technical barriers
- (3) A single European train control and communication system (ERTMS)
- (4) A simplified access for customers
- (5) Evaluation, management and resources

Railway actors will benefit in the first place from the Agency’s work on harmonized conditions for the development of a Single European railway area: through easier operation, simplified vehicle and network subsystem authorisation, opening of the market for railway products and services, harmonised control/command systems and easier access to and exchange of information. The harmonisation of environmental management – such as noise – contributes, both in a positive effect for the EU Citizens, and in the removal of unequal operating boundary conditions in EU Member States. All these harmonised conditions aim to improve the competitive position of the railway sector.

This harmonised framework is aimed at strongly supporting an easier market entry for railway undertakings (both new to the sector and/or new to a particular Member State) and enhanced competition between them. Additionally, through the competition between manufacturers, an easier access to rolling stock for these railway undertakings is possible and the market for the supply of railway products and services is opened to the benefit of all actors. Such enhanced competition leads finally, as demonstrated by the positive examples in the different EU Member States that have made good progress in the implementation of the framework, to the benefits of an open, shared system for the end EU railway customers: more transport choices, better quality of services, easier cross-border services, enhanced travel information, simplified system access, reduced prices.

As a logical next step, complementing the Agency’s current and future work, the Fourth Railway Package entrusts the Agency with the new tasks of issuing European-wide Safety Certificates for Railway

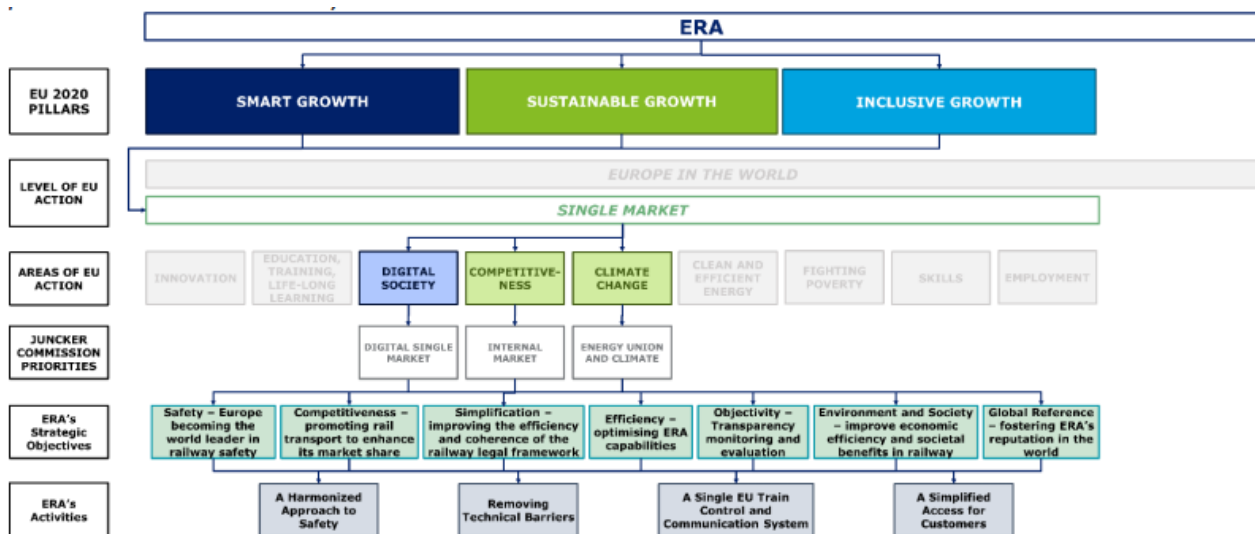
Undertakings, authorisations for placing on the market for rail vehicles, and approval of ERTMS trackside systems. These new competencies will further lower the administrative barriers that will remain after the Second and Third Railway Packages have been fully and properly implemented.

Following a prototype prioritisation scheme, based on an early assessment, which was deployed in 2016 for all projects in order to be able to prioritise and to plan the workload and the resources, and to set deadlines, the Agency will regularly make proposals for the (re-) prioritisation and (re)scheduling of projects, which, after agreement, become part of the ongoing change management process of the work programme.

In this context, the Agency developed a set of strategic, interrelated and equally important, objectives:

1. Europe becoming the world leader in railway safety
2. Promoting rail transport to enhance its market share
3. Improving the efficiency and coherence of the railway legal framework
4. Optimising the Agency’s capabilities
5. Transparency, monitoring and evaluation
6. Improve economic efficiency and societal benefits in railways
7. Fostering the Agency’s reputation in the world

The below graph visualises how the Agency’s operational activities and objectives feed into the EU 2020 pillars and the Juncker Commission agenda¹.



This Programming Document outlines the Agency’s activities for 2018-2020. The structure of the Programming Document follows the Agency’s activity-based management approach and is divided into the 5 activities mentioned above, each with a set of objectives, outputs and actions, expected outcomes, indicators and targets through which achievements can be monitored, measured and reported.

¹ Source: Deloitte Study, November 2016

Section II - Multi-annual programming 2018-2020

1. Multi-annual objectives

Competition helps to improve quality and efficiency, to foster innovation, and to drive cost down. Shifting traffic from other modes of transport to rail requires, among other measures, a much more competitive EU railway system, enabling rail finally to deploy its advantages in environmental protection and energy efficiency.

As the Agency has consistently worked towards this goal, the next years will be characterised by

- complementing further the work done up to now (“make it work”)
- in parallel, preparing the Agency and the railway stakeholder environment for the Agency’s new functions of EU wide safety certification, vehicle type authorisation and authorisation to place vehicles on the market, ERTMS trackside installation, as foreseen in the Technical Pillar of the Fourth Railway Package.
- supporting the Commission vision of a European railway system that is a world leader in railway safety and technical development
- pursuing the benefits of standardisation by contributing to the evolving Global References for railway technical and safety regulation (e.g. ISO/IEC standards, OTIF rules).

From a management perspective, the 5 Agency activities are run as programmes, using projects to systematically approach step-by-step to the respective long-term goal. The multi-annual perspective that is behind these programmes will be driven by strategies that describe their goals and objectives, as well as the approach followed in implementation. Projects and their outputs form the annual part of the work programme.

One of the programmes describing the Agency activities, is a specific programme for the implementation of the Fourth Railway Package. This programme includes the overall coordination, the preparation of the Single Safety Certification, the preparation of the Vehicle Authorisation, the preparation of the One-Stop-Shop, and the ERTMS trackside approval.

Over the next few year, the Agencies will be making progress in formulating strategies supporting the following overall objectives in the 4 operational Activities:

Activity 1 – A Harmonised Approach to Safety

- **Preparing for the Single Safety Certificate under the Fourth Railway Package:** with a view to becoming world leader in railway Safety, the work in this area feeds into the preparation together with the stakeholders, essentially the NSAs, in view of delivering a Single Safety Certificate in cooperation between the Agency, NSAs and actors from the entry into force of the Fourth Railway Package onwards. This cooperation will be tested in a shadow running even before taking over the new functions.
- **Learning for better Safety:** to further develop a common approach to Safety in the EU railway system, based on a shared understanding of roles and responsibilities and a common approach to Safety Culture with a focus on learning, improvement and prevention, as an essential base for the successful EU wide introduction in the Safety Management System regime and hence for the efficient harmonised processes leading to Safety Certification.

- **Monitoring Safety performance/ Improving Safety performance:** The Agency will work in partnership with all stakeholders to promote and establish an environment where the actors have trust in the functioning of the system, backed by an enhanced monitoring of the real underlying problems and barriers and by a focused approach on where to act in light of the evidence gathered.
- **Managing Maintenance risks:** The Agency will continue working with stakeholders to define and establish an acceptable level of risk for technical systems.

Activity 2 – Removing Technical Barriers

Preparing for Vehicle Authorisation under the Fourth Railway Package: to develop and migrate to the common vehicle authorisation process foreseen in the Fourth Railway Package. The Agency will learn from the return of experience of the existing authorisation processes including the practical learning case and the application of TSIs and exploiting the simplification benefits that come from the new framework. In order to ensure consistent application of the vehicle authorisation framework within the Agency and between the Agency and its partners the Agency will also develop application guides and other informative documentation.

- **Removing technical barriers/Removing operational barriers:** to support the removal of technical and operational barriers, to help the actors implement and apply the scope extended TSIs, to complete the cleaning up of National Rules, to continue supporting the implementation of the European train driver certification scheme in cooperation with NSAs and the sector. In particular, the further development of OPE TSI will set up a core of harmonised operational principles with the aim of reducing the need of national rules. Also, the Agency will concentrate on drafting a common examination scheme for the train driver licence and on supporting the Commission in preparing a first general revision of the Train Drivers' Directive. More generally, national safety rules on staff competence, fitness or other job access criteria, applicable to staff performing safety relevant work, will be evaluated with the aim of reducing national rules and recommending appropriate European measures where necessary. This activity will be prepared in close coordination with DG MOVE with the revision of the Train Drivers' Directive (TDD) to ensure the most efficient and effective procedure.
- **Ensuring efficient and effective conformity assessment:** the Agency will work in collaboration with NSAs to support national bodies for accreditation and recognition of assessment bodies according to CSM 402/2013 on risk assessment. The Agency will also develop tools necessary to improve further quality and trust among the actors, such as a scheme for the monitoring of Notified Bodies and further steps towards audits and inspections of NoBos as foreseen by the Fourth Railway Package. Furthermore, the Agency will develop a common approach for all assessment bodies aimed at better consistency, proportionality and simplification.

Activity 3 – A Single EU Train Control and Communication System

- **Increasing the Agency's role in checking ERTMS projects compliance with the specifications, onboard and trackside:** to secure the success of ERTMS by applying strong ERTMS version management and a strengthened system authority role to prevent any diversification of the Single EU Train Control and Command system. This is supported by the increased role in the checking European ERTMS infrastructure projects compliance with the specifications, and to also establish, in collaboration with all stakeholders and concerned actors in the ERTMS Stakeholders Platform, an optimised coordination of ERTMS development and deployment to ensure a single transparent, stable, affordable, and interoperable ERTMS system throughout Europe in line with the commitments of the Memorandum of Understanding on ERTMS signed in 2016, and improving the quality of the test specifications for the onboard system and of the NoBo assessment of conformity.

The Agency will be working with the Commission and the Shift²Rail JU on the relevant aspects of R&I to ensure the economic benefits of innovation, and promote the harmonized system as a reference on the international scene.

- **Ensuring interoperable and stable ERTMS:** the Agency will manage the maintenance and evolution of the ETCS and GSM-R specifications, improving their quality, including harmonized operational principles as defined in the longer term perspective. The Agency will publish the issues detected in the specifications and the solutions to ETCS and GSM-R Change Request resulting from the CCM process.
- **Establishing and improving communication backbone for railways:** the Agency will facilitate the EU railways to prepare for technological/business evolution in the field of ERTMS communications.

Activity 4 – A simplified access for customers

- **Preparing a One-Stop-Shop (OSS) for certification and authorisation under the Fourth Railway Package:** to prepare for the functions of the Fourth Railway Package, in cooperation with all stakeholders continuing to participate in learning cases, assisting the Commission in the developments of the common processes and documentation for the new regime and to prepare the “One Stop Shop” database, including all supporting aids, followed up by shadow running as for the Safety Certificates, Vehicle Authorisation and ERTMS trackside approval.
- **Facilitating users’ access to relevant data:** to continue the development and change management of the different Telematics TSIs, of the TSI for accessibility for persons with reduced mobility and of the registers and the inventory of assets foreseen to provide information on the implementation of the PRM TSI also to the customers.

Activity 5 - Evaluation, Management and Resources

- **Ensuring the coordination of the Fourth Railway Package implementation:** in addition to the projects in relation to the Fourth Railway Package covered in the operational activities, the Agency will develop further internal processes necessary as a prerequisite for implementing the Fourth Railway Package such as management and traceability of working documents, competency profiles, prioritisation of the Agency projects and activities, establishing a scheme for managing fees and charges, and establishing the required governance (e. g. appeal boards) etc.
- **Ensuring a prioritised portfolio of the Agency activities:** the Agency will continue to develop a set of common positions and standpoints on issues that need clarification first internally within the Agency and then with the stakeholders. These may cover clarification and guidance on how to implement the legal framework relating to interoperability and safety. In addition, all the strategies will be, in the spirit of the Better Regulation principles, accompanied by a careful evaluation of their expected and actual impacts and an enhanced monitoring to identify where the Agency should act specifically to improve its actions, and by a continued full focus on dissemination, training and communication among the stakeholders to explain and fully implement EU framework for the railway system.
- **Ensuring efficient and effective communication:** following the implementation of its Communication Strategy in 2015, the Agency will continue to deploy this strategy in line with the planning and optimise its internal horizontal processes, such as e-processes, sound financial management.

- **Ensuring legality of Agency's activities:** this service provides legal advice and opinion within the Agency.
- **Ensuring the implementation of the Agency's Integrated Management System (IMS):** Internally, the Agency will gain further efficiency through the full implementation of the Integrated Management System with the necessary IT support in the processes to be able to better focus our core business and maximise the impact of the Agency output on the sector.
- **Ensuring that railway related research and International Standards are aligned with SERA and ERA objectives.** In the fields of research and standardisation, the Agency will further strengthen its relationship with the Shift²Rail joint undertaking, Commission services involved in rail-related research and other European stakeholder entities involved in research affecting railways. (including ERRAC – European Rail Research Advisory Group) and standardisation bodies within and out of the EU.

The Agency will provide independent railway expertise to help ensure that research and standardisation activity carried out is targeted where it is most needed and supports the objectives and framework of the SERA. From 2018, where necessary to achieve its strategic objectives, the Agency will itself commission research.

In parallel the Agency will work with the entities involved in both research and standardisation to ensure that the innovation driven by research will be rapidly, efficiently and effectively integrated into the framework of regulation (TSIs) and standards.

- **Support to the development and dissemination of the EU acquis:** In all the Agency activities, we will seek to further improve the relations with our stakeholders to enhance the atmosphere of mutual trust and develop even more fruitful cooperation, establishing the Agency as the heart of the Single European Railway Area and as the natural partner for all railway actors to work together to improve the shared railway system based on a common understanding of how the key concepts of the “Big Picture” fit together. The Agency will assist the European Commission in the development and dissemination of the “European way” both inside and outside the EU-

These two objectives above are covered in the Agency strategy for International relations envisaged by Article 44 of the Agency Regulations and attached as Annex XI. This will enable the Agency to:

- *Learn from other entities carrying out similar roles*
- *Support the dissemination of the EU acquis and influence global references for future railway technical and safety rules and standards and associated processes*
- *Assist the EC to develop, enhance and exploit the possibilities for mutual (i.e. reciprocal) recognition of standards, certifications and authorisations*

In this context it will be necessary to apply the **principle of reciprocity**, in particular, to require the recognition of EU authorisations and certifications by the non-EU partners in return for the recognition of certifications and authorisations issued by third countries in the EU.

In order to ensure consistent application of the framework within the Agency (in recommendations, application guides etc), between the Agency and its EU partners and to facilitate dissemination within

and outside of the EU the Agency will continue to develop a Portfolio of “Common Positions” on key concepts of the framework

The objective will be that the EU rail sector **while importing better practice from worldwide where appropriate will gain competitiveness** by encouraging **worldwide convergence of standards to European standards, experiences and approaches.**

The strategy on international relations (Annex XI) intends to promote the European approach to states outside of Europe and (global acting) international organisation and to encourage a more competitive position of railway transport in Europe and worldwide and to establish the European Union Agency for Railways as global reference in safety and interoperability.

- **Ensuring sound management of the Agency’s human and financial resources, ICT services and facilities:** the Agency implements sound management through its services related to HR, financial and budgetary management, and information and facilities management.

With the extension of the Agency’s mandate in 2016, following the entry-into-force of the technical pillar of the Fourth Railway Package hence making it the main body responsible for issuing vehicle authorisations and safety certificates across the whole EU, the Agency plays an important role in improving the competitive position of the railway sector. The Agency is convinced that it needs to put in place a programme that can be delivered in strong collaboration with all our stakeholders, a programme best suited to support our overall joint objective: **a more competitive railway system, making the railway system work better for society.**

2. Multi-annual programme 2018-2020

2.1 A Harmonised Approach to Safety

The European Commission's proposals in the Fourth Railway Package represent an evolution of the Safety Regulatory Framework and in response, the Agency has developed a programme plan setting out milestones to be ready to deliver a Single Safety Certificate. Whilst harmonisation of the legal framework is a necessary precursor, it is clear that there is a need to bring about a more fundamental cultural change in the field of safety if the objective of a single European railway area is to be realised. Many of the barriers that exist represent the historically different approaches to safety across Europe. The world is changing and that change is reflected in rail, changes in technology bring new benefits and changed risks. The focus in safety is shifting to reflect both the need to rely on risk assessment and risk management and the growing understanding of the impact of human performance. The safety programme not only reflects the preparatory phase for the single safety certificate but also calls for the development of a strong focus on maintenance of railway vehicles and safety critical components, the transport of dangerous goods and the enhanced safety performance of the system, through a positive safety culture and supported by better data and monitoring.

An important part of establishing a Single European Railway Area is defining an acceptable level of risk for technical systems and the Agency will continue working with stakeholders to establish practical guidance and educational tools on the regulations for risk assessment and monitoring, including the use of design targets, the application to maintenance of railway vehicles and safety critical components and to the transport of dangerous goods

The aim is to establish a positive safety culture, to have roles and responsibilities understood and working among the actors in the next years and to build a strong working relationship with NSAs based on shared processes, shared understanding and trust. This collaborative working relationship is essential to support the increased competitiveness of rail and to achieve the objective of making Europe's railway system the world leader for safety.

<i>Main outputs 2018</i>	<i>Main outputs 2019</i>	<i>Main outputs 2020</i>
	Ready to receive applications for Safety Certificates.	
Initiation of Working Party	Development of recommendation	
Transport of dangerous goods: dissemination of risk assessment methodologies	Transport of dangerous goods: dissemination of risk assessment methodologies	Transport of dangerous goods: Monitoring of use of risk assessment methodologies
NSA monitoring according to article 33 of Agency Regulation 2016/796: Delivery of audits and inspections	NSA monitoring: Delivery of audits and inspections	NSA monitoring: Delivery. of audits and inspections Improvements of scheme
Revision of ECM scheme: Implementing act adopted	Information, training & guidance on revised ECM scheme	Information, training & guidance on revised ECM scheme. Analysis of outputs of S ² R regarding maintenance of railway vehicle.

<p>Communication programme on Safety Culture</p> <p>Establish methodology and baseline for Article 29 Railway Safety Directive commitment to report on safety culture development</p> <p>Review Eurocontrol programme to support national prosecutors</p> <p>Option for workshop with stakeholders to analyse legislative obstacles to positive culture development</p>	<p>Communication programme on Safety Culture</p> <p>Review assessment tools (NSA Monitoring and Matrix), according to need.</p> <p>Biennial review of stakeholder safety culture activities</p>	<p>Study to deliver report on development of safety culture in 2024, in accordance with Article 29 Railway Safety Directive</p> <p>Consider revision of guidance CSM Monitoring to include safety culture and occurrence reporting</p> <p>Option to assess feasibility of Agency led culture measurement programme</p>
<p>If mandate agreed, working party to develop CSM for Common Occurrence Reporting</p> <p>Finalise business requirements and guidance for reporting system</p> <p>Following impact assessment for stakeholders, build reporting system – new or adapt an existing system</p> <p>Develop analytical capability at EU and national level</p>	<p>If mandate agreed, working party to develop CSM for Common Occurrence Reporting (consider review of Annex 1 Railway Safety Directive)</p> <p>Occurrence reporting system operational</p> <p>Support reporting cultures</p> <p>Develop analytical capability at EU and national level</p>	<p>CSM for Common Occurrence Reporting adopted</p> <p>Support reporting cultures and voluntary use of EU occurrence reporting system</p> <p>Develop analytical capability at EU and national level</p>

2.2 Removing Technical Barriers

Overall, the Agency acts as the focus for all EU railway technical specifications (in partnership with EU standardisation organisations) and authorisation processes for railway vehicles and infrastructure. It supports the understanding and efficient application of the framework and the content, provides optimised tools and drives improvement on the basis of progress monitoring. With the Fourth Railway Package in force, it will issue all multi-Member State vehicle authorisations and, on request from applicants, national vehicle authorisations. All vehicle authorisations will be managed using the “One-Stop-Shop” IT system to be set up by the Agency considering the need to alleviate administration burden for the applicants. The Agency will involve in this process positive experiences from existing authorisation processes in the member states like pre-engagement and the principle that necessary tests to ensure technical compatibility and safe integration of the vehicle are part of the authorisation procedure.²

This streamlined vehicle authorisation will rest on comprehensive TSIs and a reduced set of national rules. To this aim, the next revision of the TSIs will include the closure of the remaining open points (where appropriate), the addition of the elements introduced by the Fourth Railway Package (including procedures and parameters to check vehicle-network compatibility), the correction to possible deficiencies and any

² When the 4RP comes into force the Commission has to draft an implemented act where this needs to be considered.

development needed to take into account the technologic, economic and social evolution (including e.g. new relevant standards). The TSIs revision will also consider the consistency of transitional measures, in particular in the view of the new vehicle authorisation process under the 4th RP.

The Agency will also optimise the allocation of assessment modules within the conformity assessment (chapter 6 in the TSIs) in order to keep the procedures as efficient as possible.

At the same time, the Agency will revise the decision on railway modules (Decision 2010/713/EU) as appropriate, or suggest migration towards the standard modules set out in Annex II to Decision No 768/2008/EC of the European Parliament and of the Council, for an improved clarity and the alignment with the most recent legislation.

The Agency will ensure the consistency of remaining national rules with the EU legal framework, and will prepare their publication in the Single Rule Database required by the 4th RP.

In parallel, the Agency will work in collaboration with NSAs on vehicle authorisation learning cases to facilitate successful implementation of the Fourth Railway Package. A similar task will be developed to support national bodies for accreditation and recognition of assessment bodies according to CSM 402/2013 on risk assessment.

In order to increase the trust in the work performed by NoBos and in the certification procedure as a whole, the Agency has already developed a set of harmonised requirements for conformity assessment bodies (applicable within both accreditation and recognition environment) and a proposal for an EU harmonised monitoring system for notified conformity assessment bodies.

In 2018, after endorsement by the Agency Management Board, the Agency will start the application of the monitoring system with on-site visits to NoBos in Member States as well as the support to national accreditation bodies and appropriate entities for recognition. The number of the visits will be determined by the available resources.

In the period 2018 – 2019 the Agency, after having developed practical experience on monitoring activities, will optimise the NSA and NoBo monitoring activities to have a single centralised network of monitoring staff.

The Agency will continue its cooperation with European Standardisation Organisations (ESO) in order to ensure coordination between the development of TSIs and the standardisation activities. Subject to prioritisation, the Agency will also identify possible standardisation activities, which may include interchangeable spare parts.

The assessment scheme for railway conformity assessment bodies will be discussed at ISO level.

To help remove the barriers to a single European railway area the Agency will make a recommendation on the selection and training of appropriate staff and the improved implementation of a European scheme for train driver certification.

<i>Main outputs 2018</i>	<i>Main outputs 2019</i>	<i>Main outputs 2020</i>
Recommendations on Rolling Stock TSIs revision (for alignment with 4RP)	Follow-up of the application of TSIs	Draft Recommendations on ENE and INF TSIs, following ex-post analysis.

Monitoring system for NoBos in place, including improvements of the harmonised assessment requirements for notified conformity assessment bodies.	Amendment of the Decision on railways modules.	Single Agency monitoring team for NSA and NoBo in place.
	Agency responsible for issuing vehicle authorisations	
Recommendation on the selection and training of appropriate staff		
Recommendation on harmonised examination scheme for train drivers		

2.3 A Single European Train Control and Communication System

The Agency is the system authority for the harmonized ERTMS specifications and for their coherent implementation in the railway system. Its role in vehicle authorisation and trackside ERTMS approval allows a strengthened leadership in the efficient application of the framework and of the standards. The Agency drives improvement on the basis of user requirements and progress monitoring.

Building on the successful and stable Baseline 3 of the European Train Control System (ETCS), and on the Global System for Mobile communications — Railways (GSM-R), the Agency will ensure the managed maintenance and evolution of the specifications, improving their quality, including harmonized operational principles as defined in the longer term perspective. The benefits from the identified game changers (ATO, L3, braking performance, security, etc.) will be leveraged respecting the key principles of compatibility and protection of investments. The development of this specification will include the assessment of the impact on the Operations and the reuse of existing flow of data between IMs and RUs (TAF TSI exchange of data). The Agency will exploit the commitments expressed in the Memorandum of Understanding on ERTMS signed in 2016 and with the help of the Stakeholders in the ERTMS Platform will ensure disciplined, compliant implementation of the harmonised .

In the field of railway communications, the Agency will develop the roadmap enabling ETCS communications on IP based radio technologies, and on the consolidation of the requirements for the evolution of voice radio in view of the planned GSM-R life expectancy, aiming at the definition of the new radio communication systems in 2018: the Agency with the Sector will develop proposals for spectrum harmonization towards the ECC/CEPT on one hand, and to influence 3GPP standards to cover railway communication needs on the other.

The focus on compliant ERTMS deployment is facilitated by the synergy with the Deployment Management Team contracted by DG MOVE, and by the coordination with INEA on EU funded projects.

<i>Main outputs 2018</i>	<i>Main outputs 2019</i>	<i>Main outputs 2020</i>
ATO – specifications agreed at level of Agency CCM working	ATO approved specification including interfaces solutions (FIS and/or FFFIS when economically beneficial) (GoA2), ready for TSI	Endorsement of system requirements for GoA4

groups for Grade of Automation 2 (GoA2)	CCS as necessary, and voluntary standards.	
Endorsement by the agency of the relevant specifications coming from S ² R and their introduction into the established CCM process (for later inclusion into CCS TSI) Management of game changer project (e.g. follow up of early implementation), taking into account S ² R activities)	Endorsement by the agency of the relevant specifications coming from S ² R and their introduction into the established CCM process (for later inclusion into CCS TSI) Management of game changer project (e.g. follow up of early implementation), taking into account S ² R activities)	Endorsement by the agency of the relevant specifications coming from S ² R and their introduction into the established CCM process (for later inclusion into CCS TSI) Management of game changer project (e.g. follow up of early implementation), taking into account S ² R activities)
Future Radio System – release of system definition paper Help rail sector defend needs of harmonised spectrum	Consultation on Future Radio System, including path to smooth migration Accompany the EC activity on the WRC19 on radio spectrum (for rail)	Contribute to enable Availability 3GPP standards suitable for Rail operational communications
Learning cases ERTMS Trackside	First engagements in ERTMS Trackside Approval based on applicant's request	ERTMS trackside approvals on demand
Maintenance of ETCS and GSM-R specifications, including mitigation measures in case of errors, through a fine-tuned CCM	Maintenance of ETCS and GSM-R specifications, including mitigation measures in case of errors, through a fine-tuned CCM	Maintenance of ETCS and GSM-R specifications, including mitigation measures in case of errors, through a fine-tuned CCM
Recommendations on TSIs CCS limited revision (4RP, testing)	Follow-up of the application of revised TSIs	
Publish report from specifications, including testing and validation working group from ERTMS stakeholder's platform in line with the 4RP process. Manage catalogue of OTS (operational test scenarios)		

2.4 A Simplified Access for Customers

As part of the implementation of the Fourth Railway Package, the Agency must develop a common Information and Communication System with a virtual One Stop Shop (OSS) functionality with the aim of keeping the Agency and NSAs informed about all applications for vehicle authorisations, for single safety certificates and for the check of technical solutions of ERTMS Trackside projects, stages of these procedures and their outcomes. If appropriate, this development needs to be based on the existing applications and registers. The OSS is the single entry point where the applicants shall submit its application files. The OSS will provide the applicants information on the stages and the outcomes of their applications and, where applicable, the requests and the decision of the Board of Appeal. The OSS will also implement an “early warning system” functionality able to identify at early stage the needs for coordination between the decisions to be taken by national safety authorities and the Agency in the case of different applications requesting similar vehicle authorisations or safety certifications.

Railway Undertakings need to check the administrative status of their vehicles and the compatibility of their trains with the different routes. The Agency will continue working on the development and implementation of the relevant infrastructure and vehicle registers:

- *Register of Infrastructure (RINF, expected to be completed by 2019)*
- *European Vehicle Register (EVR)*
- *European Register of Authorised Types of Vehicles (ERATV)*
- *Vehicle Keeper Marking Register (VKMR)*

The Agency performs the maintenance of the tools, their continuous improvement and supports the MSs and stakeholders in their implementation and use. Beyond this, the Agency in close collaboration with the stakeholders works on the consolidation of the vehicle-related registers into an integrated system also taking into account the provisions of the Fourth Railway Package.

In view of the digitalisation of railways, the Agency’s IT tools, registers and databases have the opportunity to play a pivotal role in the data management of the future development of the European Railway.

It is therefore of the utmost importance that the Agency takes steps to prepare itself to meet these challenges as soon as possible. In this context, two key areas of actions have been identified:

1. Lay a sound foundation for future multimodal data management requirements by consolidating Agency IT tools, registers and databases through measures such as: single access point, use of a reference data set, interlinking registers and databases, monitoring data quality and change control management.
2. Become a change engine in the field of European multimodal transport data management through proactively identifying opportunities in which the Agency plays the role of a facilitator, engaging with European railway stakeholders and external interested parties to explore future needs, requirements and new business use cases so as to provide guidance towards the best practices, standards and solutions in data management found in the sector.

Furthermore, the Agency will ensure the consistency of remaining national rules with the EU legal framework, will implement the Single Rules Database envisaged by the Fourth Railway Package (also by establishing a SRD User Group), and will continue providing guidance for the publication in this common database of remaining national rules by Member States.

Overall, the Agency provides recommendations for other rail Regulation - in particular for simplified access to the railway system and ticketing protocols - in cooperation with other organisations and provides optimised tools for customer access. It is the lead trainer for the understanding and efficient application of the framework and the content and drives improvement on the basis of progress monitoring.

More specifically in the field of simplified system access, the TSIs on telematics applications for passenger services (TAP TSI) and for freight (TAF TSI) are addressing issues related to railway customers, aiming at harmonizing the exchange of information between actors. The Agency, acting as 'Telematics applications system authority' will lead the closure of the remaining open points and continue to guide, support and monitor the rail sector and Member States when implementing the telematics TSIs, including the small and medium-sized companies. The Agency will continue performing the maintenance of the TAF/TAP technical documents, delivering every year an updated set of technical documents that will remain under its responsibility due to the role of system authority. These documents will become legally binding once they will be published on the Agency website without further intervention of the RISC or the EC.

The Agency will also continue performing dissemination activities for telematics as to ensure that aforementioned small and medium-sized companies will be able to implement telematics TSIs. In addition, the Agency will launch the preparatory works conducting to grant access to the rail freight customers and to allow the use of TAF TSI data for safety-related purpose (interface ERTMS – TAF). Possible consequences on TSI TAF system will be duly analysed. An additional functional modification will be considered in order to use the Consignment Note as a multimodal transport document. The Agency will continue providing technical advice to INEA in the framework of granting funds for TAF/TAP TSI Implementation. In addition, the Agency will draft the appropriate specification based on TAF TSI to collect safety related data serving for the purpose of the Common Occurrence Reporting and Transport Dangerous Goods Risk Assessment Processes.

From another perspective, society is also strongly demanding an improved access of stations and trains for persons with reduced mobility and persons with disabilities (PRM). For this purpose, according to articles 7 and 8 of Regulation 1300/2014 (TSI PRM), this regulation will be revised on the basis of the recommendation drafted by the Agency in 2017, a tool for informing the public and monitoring progress will be implemented (Inventory of Assets), and an EU strategy will be developed, based on common principles identified from the national implementation plans.

<i>Main outputs 2018</i>	<i>Main outputs 2019</i>	<i>Main outputs 2020</i>
	Recommendations on TAP TSIs revision Follow-up of the application of revised TSIs	
Report on TAP implementation. Monitoring Report on TAF implementation monitoring	Report on TAP implementation. Monitoring Report on TAF implementation. Monitoring TAP revision Intermediate report TAF/TAP CCM baseline	
Audits on INEA TAP implementation. Funding	Reports on TAP projects funded by INEA CEF programme	

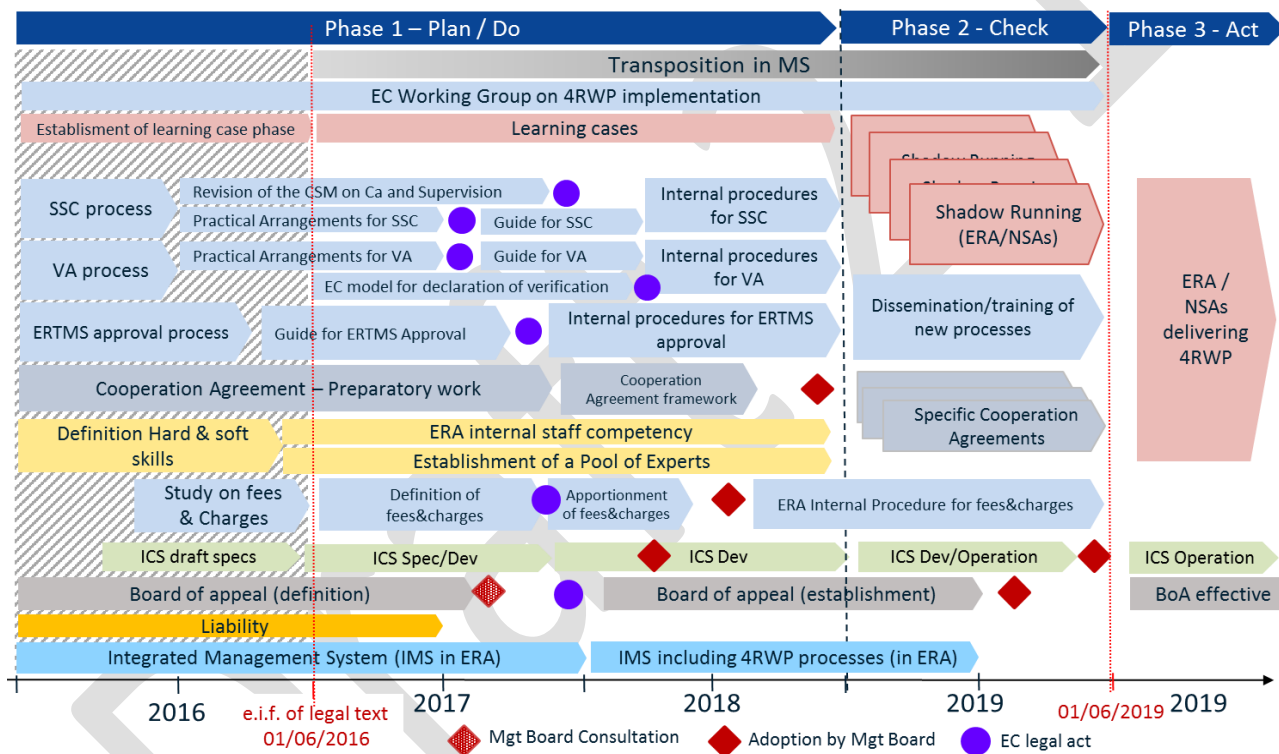
Audits on INEA TAF implementation Funding	Reports on TAF projects funded by INEA CEF programme	
TAF TSI Technical documents baseline	TAF TSI Technical documents baseline	
Technical Specification based on TAF TSI for COR and TDG reporting regimes	Update of Technical Specification based on TAF TSI for COR and TDG reporting regimes	TAF TSI Technical documents baseline
Revision of ERATV specification started	Recommendation of revised ERATV specification submitted to EC	
Finalisation and adoption of the revision of the PRM TSI (including the specification of Inventory of Assets).	Inventory of Assets implementation EU strategy defined (after analysis of national implementation plans)	Inventory of Assets in use
OSS ready for shadow running	OSS used by all involved parties in production	
Single Rules Database ready	Single Rules Database in operation	
		Become a change engine in the field of European multimodal transport data management through proactively identifying opportunities in which the Agency plays the role of a facilitator, engaging with European railway stakeholders and external interested parties to explore future needs, requirements and new business use cases so as to provide guidance towards the best practices, standards and solutions in data management found in the sector.
Lay a sound foundation for future multimodal data management requirements by consolidating Agency IT tools, registers and databases: single access point, use of a reference data set, interlinking registers and databases, monitoring data quality and change control management.		

2.5 Evaluation, Management and Resources

[ERA facilitating innovation to be added in the next draft]

This activity covers the coordination for the cross-unit projects, such as international relations, stakeholder management and also the preparation for the implementation of the Fourth Railway Package, as well as all the governance and administrative tasks of the Agency.

Conforming to the technical pillar of the Fourth Railway Package, the Agency will be the sole body responsible for issuing vehicle authorisations and safety certificates across the whole EU and ERTMS trackside. The following chart provides an overview of the different phases over the next few years for the Agency to prepare and implement in due time of the entry into force of the Fourth Railway Package.



Over the next couple of years, the Agency will continue to deploy its Communication Strategy in line with the planning, and optimise its internal horizontal processes, such as e-processes, sound financial management.

A key strategic objective of the Agency will be to develop its capability to define the needs for and to monitor support the implementation of railway related research and development.

The Agency as envisaged by Article 12 of Annex 1 of the Shift2Rail regulation has a key role in supporting the Shift²Rail Joint Undertaking (S²R) in the definition and implementation of its Master Plan with railway expertise by:-

- Proposing possible amendments to the S²R Master Plan and to the Annual Work Plans in particular to ensure that the research needs of the Single European Railway Area are covered

- *Proposing after consultation with stakeholders, guidelines for research activities leading to technical standards, with a view to guaranteeing the interoperability and safety of the results*
- *Reviewing the common developments for future system and contributing to defining target systems in regulatory requirements*
- *Reviewing project activities and results with a view to ascertaining their relevance to the objectives identified in the S²R regulation and to guaranteeing the interoperability and safety of the results*

The Agency will support other entities (in particular ERRAC) involved in transport related research affecting railways to ensure the objectives of EU transport policy (e.g. “greening” of transport, modal shift to rail) may be most efficiently met. Proposals will be elaborated as required. From 2018, where necessary to further achieve its strategic objectives, the Agency will itself commission research.

The outputs of the International Relations strategy in 2018 will be

- *to support EC activities in promotion of the European approach to states and international organisations outside of Europe. I*
- *to keep up with scientific and technical developments and*
- *to ensure promotion of the Union railways legislation and standards the Agency will also, where appropriate, strengthen coordination with international organisations and the administrations of third countries competent in matters covered by Agency activities.*

In this context the Agency will continue in 2018 with the EUMEDRail project, financed by a grants agreement signed between DG NEAR and the Agency, to support safe and interoperable railway transport in and between the states in EC neighbourhood of the South Mediterranean region. To adopt the outcome of the project closer to the needs of the beneficiaries the project will launch in 2018 a study to document the railway development (current and future) in the beneficiaries.

In order to optimise the use of scarce resources wherever practicable the Agency will work in partnership with relevant international organisations, make use of independent experts and through the NSA Network expertise from EU National Safety Authorities

In order to promote the concept of Global Reference and to avoid multiple bi-lateral meetings the Agency will continue to promote and support the “Platform of Railway Agencies” which is composed of several international organisations and the administrations of third countries dealing with subject matters covered by Agency activities

In order to ensure consistent application of the framework within the Agency (in recommendations, application guides etc), between the Agency and its EU partners and to facilitate dissemination within and outside of the EU the Agency will continue to develop a Portfolio of “Common Positions”) on key concepts of the framework

The Agency is performing impact assessments for its recommendations and opinions and is monitoring a set of railway indicators to identify the impact of its work on the railway sector. This will also contribute to an optimised environment for data mining and data reliability. In addition, early impact assessments are developed for the Agency’s strategies in view of setting up the SPD.

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3. Human and financial resource outlook for the years 2018-2020

[to be updated in a later draft in light of the budget discussions with the EC]

3.1 Overview of the past and current situation

3.1.1 Staff population overview for 2016

Activity	Unit Staff		% planned vs actual
	FTE planned in 2016	FTE 31/12/2016	
A Harmonized Approach to Safety	40.50	41.50	102.5%
Removing Technical Barriers	42.00	42.00	100%
A Single EU Train Control and Communication System	23.10	22.60	97.8%
A Simplified Access for Customers	16.90	16.50	97.6%
Evaluation, Management and Resources	46.50	42.40	91.2%
Grand Total	169.00	165.00	97.6%

The gap between the planned FTE number (169) and the staff employed at the end of 2016 (165) resulted from the open vacancies due to natural fluctuation and vacancies which could not be filled in 2016.

3.1.2 Expenditure for 2016

The **administrative expenditure** includes staff expenses, costs relating to intangible assets and property, plant and equipment (mainly depreciation) and other expenses.

The total expenditure per Title in 2016 was:

- 17,69 Mio€ committed in Title 1
- 2,48 Mio€ committed in Title 2
- 7,13 Mio€ committed in Title 3

The overall commitment rate is 99,02 % and the overall level of payment execution is 91,59 %.

3.2 Resource programming for the years 2018-2020

3.2.1 Financial resources

Title 1 will amount to 19 400 Mio € to cover the extra-posts requested (18 372 Mio € in 2017) and Title 2 will decrease as opposed to 2017 to 7 256 Mio €.

The **operational expenditure** includes expenses related to the operational activities of the Agency. Title 3 will remain at the same level as in 2017, i.e. 9 610 Mio €.

3.2.2 *Human resources*

In its communication COM (2013)519 of 10/07/2013 on the programming of human and financial resources for decentralised agencies 2014-2020, the Commission foresaw an EU contribution of 26 Mio € (without the EFTA contribution) with 148 TAs, meaning an increase of 9 posts compared to 2017. Additional information can be found in Annex I and II.

With the entry into force of the Fourth Railway Package, the Agency faces an additional challenge to attract Seconded National Experts (SNEs). It is therefore not considered a valid option to increase the number of SNEs to help meet the 2017 staff needs.

The ERA budget proposal for 2018, including the EFTA contribution, is 26 974 Mio € with 148 TAs, 42 CAs and 4 SNEs.

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Section III - Annual Work Programme 2018

4. Executive summary

Based on the goals and objectives outlined in the multi-annual programming section, and fully consistent with the approach described in Section II above, the annual work programme for 2018 describes the concrete outputs that are planned for this year.

The European Safety Regulatory Framework has now been established for several years, however, the need for a harmonised approach remains a key priority in order to ensure the highest possible safety level in the railway sector while migrating to a Single European Railway Area. In order to support a harmonised approach to Safety, the Agency will, amongst other actions, in 2018 further develop and implement the programme towards the Single Safety Certificate, work with stakeholders to promote a positive safety culture, and provide support in revising the Train Drivers' Directive (TDD).

As the European railway system is being shared by many actors, it is imperative to have a common understanding of the system, processes, rules and responsibilities. In this context, the Agency will continue to define and implement the process for vehicle authorisation, relying on further improvement of the scope extended TSIs (closing of open points) and significantly reduced national rules. In addition, more focus will be placed on training and dissemination activities and on the migration to a single database for railway rules.

The Agency will continue to work on the implementation of the railway databases and registers and their rationalisation to improve usefulness, usability and data quality while reducing administrative burdens and undue costs for the Member States and stakeholders. In particular, the Agency will work on the specifications and the implementation of the European Vehicles Register.

Concerning Notified Bodies, the Agency will follow up the implementation of the sectorial scheme for accreditation and recognition, and design the system for monitoring, including a forum for exchange of experiences for assessment bodies according to CSM 402/2013. The Agency will also continue supporting harmonisation for accreditation and recognition criteria of all checking bodies.

As the system authority for the ERTMS specifications, the Agency will manage the specifications including mitigation measures in case of errors, and the delivery of the game changers defined in the longer term perspective, in particular related to ATO and the new radio communications system. The Agency will leverage on the commitment of the ERTMS Stakeholders Platform to facilitate harmonized deployment of the system. The Agency will provide technical evaluation of EU-funded projects in cooperation with INEA. The Agency will seek early engagements with railways in the frame of 4RP trackside approval for ERTMS, and assistance to RU in assessing compatibility with infrastructure.

In order to improve the efficiency of the railway system, accessibility by all stakeholders and exchange of information needs to be further developed. In this respect, the Agency will continue working on a harmonised protocol for exchanging information between railway actors, and on an improved access of stations and trains, for instance, for persons with reduced mobility.

In addition to the 4 operational activities, the Agency groups its horizontal and support functions and tasks under the activity "Evaluation, Management and Resources" covering the work in relation to economic evaluations and assessments, business planning and reporting, Integrated Management System (IMS), the provision of legal advice, international relations, stakeholder management, research coordination, human and financial resources, information technologies and facilities. This Activity also covers project such as Shift²Rail and the Fourth Railway Package.

For past couple of years, the Agency has been preparing for the implementation of the 4RP programme, detailing the different phases over the next year, focusing in 2018 on establishing the Board of Appeal, the internal procedures for the Single Safety Certificate, Vehicle Authorisations, ERTMS approval, and fees and charges, IMS following the ISO certification, amongst others.

In conclusion, we believe that also in 2018 the Agency will strongly contribute to the effective functioning of the Single European Railway Area (SERA) without frontiers, moving closer to the vision of a harmonised approach to safety, removing technical barriers, advancing the single European Train Control and Communication System (ERTMS), and promoting simplified access for customers for the European rail sector.

The following table lists a set of Key Performance Indicators (KPIs) for 2018:

	<i>Key Performance Indicators 2018</i>	<i>Activity</i>
1	90% achievement of all outputs using financial and human resource planning 2018	The Agency
2	95% timely delivery of issuing reports, advice and opinions	The Agency
3	Successful implementation of the initial activities after entry-into-force of the Fourth Railway Package, delivery of the first mock-up version of the Information and Communication System implementing the One-Stop Shop	The Agency
4	95% implementation of the establishment plan	Evaluations, Management and Resources
5	100% delivery of the priority countries programme to key milestones 2018 and to programme 2019 to contribute to the improved safety performance of those countries	Harmonised Approach to Safety
6	Common Occurrence Reporting system defined and supporting business requirements and guidance substantially complete	Learning for Better Safety
7	Assistance to MS and progress monitoring on the “cleaning-up” of national technical and safety rules	Removing Technical Barriers
8	Effective operation of the ERTMS Stakeholder Platform	A Single European Train Control and Comms System
9	Future communication system for rail operation – released for consultation	A Single European Train Control and Comms System
10	More than 75% of the ERA finalized strategies complemented with an early impact assessment	Evaluations, Management and Resources
11	Impact assessments accompanying 100% of the issued recommendations and opinions	Evaluations, Management and Resources
12	More than 80% of Railway Indicators measured in the Railway System Report	Evaluations, Management and Resources
13	Documenting processes and procedures, and internal audit reports 100% in line with the roadmaps, programmes and timetables	Evaluations, Management and Resources

14	Carry-over of <10% of payment appropriations for Title 1, <20% for Title 2, and <30% for Title 3	Evaluations, Management and Resources
15	95% of ICT services disruption recovered within the recovery targets defined in the Business Continuity Plan	Evaluations, Management and Resources

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5. Activities

5.1 A Harmonised Approach to Safety

5.1.1 Overview of Activity 1 Harmonised Approach to Safety - overview

The Agency regulation identifies the need for a harmonised approach to safety that supports the Commission's vision of Europe as world leader in railway safety. Over recent years the legislative framework to support safety has been progressively developed and the Fourth Railway Package will adapt the framework to further support the development of a single safety area. The legislative framework is an essential element but is not enough. Safety has to be delivered on the ground in a harmonised way and that can only be achieved if there is a shared vision of safety, and a common approach to safety culture. Safety culture development is interdependent with safety reporting, learning and measuring and promoting safety management maturity, including strong safety leadership and proactive fulfilment of safety responsibilities. Without prejudice to the rules of confidentiality relating to investigations, there will need to be greater transparency in the sharing of information so that lessons learnt can be shared and each actor can take the responsibility for the part of safety that is theirs. Railway safety is not isolated from other parts of the system or from society and the factors that act as obstacles to safety harmonisation and safety improvements need to be understood. The Agency is part of a team of National Safety Authorities (NSAs), National Investigation Bodies (NIBs), Railway companies, and Ministries that will need to work collaboratively to deliver safety.

The Commission proposals in the Fourth Railway Package already show the need for cooperation agreements in the fields of safety certification and authorisation for placing on the market of vehicles but in fact all of the safety initiatives are necessarily delivered through partnership and collaboration.

In addition to working closely with its stakeholders and other actors of the railway sector, the Agency will in 2017 also continue developing and implementing the Single Safety Certificate programme, broaden the scope of the Monitoring Matrix.

The Agency will also continue to implement educational initiatives for a wider range of stakeholders, in particular middle management of railway actors.

5.1.2 Activity 1 - Harmonised Approach to Safety - Objectives, Indicators, expected outcomes and outputs

Objective 1 - Preparing for the Single Safety Certificate				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Delivery of the part of the fourth Railway package program related to the Single Safety Certificate as presented to the Board and to the EC TF for the Fourth Railway package Cooperation arrangement framework between NSAs and the Agency for delivering Single Safety Certificate (target mid 2017)	Compliance with the 4RP programme achieved.	All milestones achieved	All milestones achieved	Simpler, harmonised system for railway safety certification.
Agency internal procedures for SSC	Status of the procedures		Procedures approved by the Management team	
Revision of the Common Safety Methods on Conformity Assessment (Commission Regulations n°1158/2010/EU and 1169/2010/EU)	CSM recommendation status	Revision completed in course of 2017		Common approach to assessment of safety certificate applications.
Revision of the Common Safety Method on Supervision (Commission Regulation n°1077/2012/EU)	CSM recommendation status	Revision completed in course of 2017		Common approach to supervision by NSAs and cooperation between NSAs and the Agency, consistency for sector. Convergence of NSA maturity levels.
Development of a framework for a pool of NSA experts in line with the	Status of pool of framework contract	Agreed by December 2017		Common approach to assessment of safety certificate applications. Ability to deliver in time and quality the Single Safety

implementation of the Fourth Railway Package				Certificates from 2018 and onwards. Closer Agency/NSA collaboration.
Recommendation issued on the Revision of Commission Regulation (EC) No 653/2007 for the development and adoption of common templates and forms. Agreed by RISC.	Outcome of RISC vote	Positive opinion		Clearer, simpler process for safety certification.
Objective 2 - Learning for better Safety				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Support the development of a system for NIB peer review.	Status of peer review programme established by NIBs	System operational	Pilot program managed and undertaken by NIBs	Harmonisation of NIB performance and approach.
Support for the NSA/NIB/Human Factors Networks, the ECM certification bodies, CSM RA assessment bodies, and Joint Network Secretariat.	Implementation of the actions	Meeting records show broader engagement from those attending, low rate of outstanding actions, increased sense of ownership.		Greater consistency of approach by National bodies and sector.
	JNS issues raised and closed.			

<p>Sharing and learning from investigated accidents, incidents, precursors and safety alerts, in particular development of an EU Common Occurrence Reporting System.</p>	<p>Number of registered users in the COR system</p> <p>Number of alerts in the safety alert system</p> <p>Percentage of ERAIL investigation reports with completed or partially completed causation classification taxonomy</p>	<p>Consensus achieved with Representative bodies and NSAs and NIBs for a defined Common Occurrence Reporting system. If appropriate, mandate adopted to develop supporting CSM.</p>	<p>If mandate agreed, working party to develop CSM for Common Occurrence Reporting and finalise business requirements and guidance for reporting system.</p> <p>Start build of reporting system – new or adapt an existing system</p> <p>Optimise existing data collection, analysis and reporting activities, including annual safety reports and ERADIS</p> <p>Develop analytical capability at EU and national level (recruitment, guidance, training, new platforms)</p>	<p>NSAs, RUs, IMs and NIBs can consult occurrence reports submitted by other actors, to enhance risk management and risk analyses, in the context of the development of a common occurrence reporting scheme.</p>
<p>Objective 3 - Monitoring Safety performance</p>				
<p><i>Main outputs/actions</i></p>	<p><i>Indicator</i></p>	<p><i>Achieved in 2017/New task</i></p>	<p><i>Target 2018</i></p>	<p><i>Expected outcome</i></p>
<p>Collection, management and analysis of safety statistics</p>	<p>Timely publication of report</p>	<p>Safety Overview published of 2015 data</p>	<p>2018 Safety Performance Report, sheets and thematic reports (2016 data)</p>	<p>Consistent, reliable safety performance data drives better policy decision-making.</p>

			<p>(art. 35(4) Agency Regulation)</p> <p>CSI data collection campaign (ERAIL or new Common Occurrence Reporting tool)</p> <p>Annual CST assessment</p> <p>Support to Eurostat, European Commission and Parliament to achieve alignments of CSI / CST legislation with Regulation (EC) No 91/2003 on Rail Transport Statistics</p>	
<p>Revision of Common Safety Method for Common Safety Targets- Progress Working Party to develop new Method</p>	<p>Project Plan for development of recommendation</p>	<p>Consultation on value and purpose of targets. New mandate for revision of CSM proposed to RISC Committee</p>	<p>Mandate for revision of Common Safety Method adopted. Development of a method that is consistent with strategic approach to safety development and supports improvement.</p>	<p>Better measurement of Safety performance driving better Safety decision making.</p>

ERADIS development-Functioning system for registration of safety certificates, licences and ECM data.	Number of valid and accessible records in the database.	Review of ERADIS functionality and user satisfaction to improve data quality and output	Completion of review and substantial upgrade published	Published and accurate information supports an open, European rail sector, including NSA cross border supervision and assessment.
"Monitoring of the performance and decision-making of national safety authorities" (NSA audit according to Agency Reg. Art. 31). Audit protocols and program established. Training program set up. Pool of experts established.	Status of audit programme	Operational	Operational	Closer Agency/NSA collaboration. Enhanced Audits.
Objective 4 – Improving Safety performance				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Promoting a positive safety culture to ensure a high level of safety without increasing the regulatory burden on the sector	Compliance with project plan	Raising awareness externally of Safety culture through targeted events.	High level leaders commitment to safety culture development amongst national authorities and rail actors Established baseline of safety culture across European railways, working with Human Factors Network First phase of programme of work	Positive culture underpins excellence in safety management, driving the risk-based approach to safety. Better integration of human factors into railway operations

			<p>with Eurocontrol (to support national prosecutors) complete and assessment carried out of benefit and impact for railways</p> <p>Human Factors Network delivers report on automation of railway tasks</p>	
Targeted dissemination on SMS issues identified by the Matrix results and Sector feedback	Number of dissemination events	<p>1 or more for each Priority Country</p> <p>Run a pilot comprehensive training program in HU</p>	<p>Organisation of an annual conference on safety and accident investigation in the railway sector;</p> <p>Training of NIBs on different topics such as SMS, TSIs, legislation</p>	
Organising/Attending workshops. Support to the Commission on railway matters in relation with third party organisations (OTIF, UNECE) and Dangerous Goods	<p>Level of support provided.</p> <p>Status of Dangerous Goods Guide</p>	<p>Participation to meetings organised by commission or OTIF. Around 10/year and 3 workshops organised on Transport of dangerous goods management -</p>	<p>Participation to meetings organised by commission or OTIF. Around 10/year</p>	<p>Greater harmonisation across Member States, beyond EU borders. Greater harmonisation of approach across modes for dangerous goods.</p>

		<p>Publication of guide.</p> <p>Technical mission in USA and Canada to promote the guide</p> <p>Set up of working group to manage requests for modification of TSIs and CSMs in relation to TDG</p>	<p>Dissemination: 2 workshops organised on guide for risk assessment in Transport of dangerous goods –</p> <p>Run a working group to manage requests for modification of TSIs</p>	
<p>Support for implementation of CSM Risk Assessment and CSM on monitoring. Provision of training and guidance</p>	<p>Number of individuals/bodies trained</p>	<p>Proposal for a more comprehensive risk assessment training module developed for wider range of stakeholders</p>	<p>Run the training and development of additional modules</p>	<p>Clearer, more robust application of CSM Risk Assessment and CSM on monitoring</p>
	<p>Provision of guidance</p>	<p>Issue guide on practical application of CSM RA in the framework of VA</p>	<p>Issue guide on practical application of CSM RA in the framework of maintenance of vehicles and safety critical components</p>	

Scheme for peer review of assessment bodies including procedures, requirements and assessment criteria (article 14(1) of Regulation 402/2013)	Provision of a scheme	Development completed	Scheme operational	
Implementation of new IPA program. Delivery of programme of IPA 2 contract. Provision of a final report to EC	% of programme delivered	Finalisation contract IPA (II) 100%	New contract IPA (III) awarded	Better and quicker implementation of the EU railway approach and legislation within countries on the way to accession
Objective 5 – Managing Maintenance risks				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Development of the recommendation. Delivery of the full impact assessment	Status of ECM regulation amendment	70% complete	Issuing recommendation on extension of scope to EC.	Greater Harmonisation of Rolling Stock Maintenance
Safety Critical components (Fourth railway package - article 19 of Agency Regulation 796/2016 - article 29 of Recast Safety Directive 798/2016)	Report status New development status	Completion of the Agency report	Development of a scheme for identification of safety critical components and, where appropriate, marking and trace effectively the safety critical components while ensuring economic efficiency	Greater Harmonisation of Rolling Stock Maintenance

5.1.3 Activity 1 - Harmonized Approach to Safety – Resources [to be added to draft 2]

FTE	Budget Title 3 (Operational)	Total budget

Draft 2.1

5.2 Removing Technical Barriers

5.2.1 Overview of Activity 2 - Removing Technical Barriers - Overview

For newly authorised vehicles, the application of the scope-extended TSIs which entered into force in 2015, reduced the need of national rules to TSI open points, specific cases not described in the TSI, and legacy interfaces (such as Class B Control command and signalling (CCS)). On this basis, in 2018 the Agency will continue to facilitate and monitor Member States' "cleaning up" of their national rules, in particular operational rules (type 4 safety rules) and rules on competencies (type 6 safety rules), also in order to further develop the OPE TSI. In particular, the Agency will perform specific dissemination activities in relation to the new framework of OPE TSI (Fundamental Operating Principles, clear structure for type for NRs and improved links to the operational requirements in the new SMS of RUs and IMs).

The Agency will continue facilitating and monitoring the implementation of the scope-extended TSIs, and closing the remaining open points where needed, while at the same time updating the TSIs also on the basis of the Fourth Railway Package provisions. The TSI updating will also consider the inclusion of appropriate and coherent transition provisions in the view of the new process for VA. Furthermore, the rolling-stock related TSIs will define the cases which require a new vehicle type authorisation or a new authorisation to place a vehicle on the market.

Regarding vehicle authorisation, the Agency will work with the Member States to facilitate the migration from their National Legal Frameworks to the European Legal Framework set up by the Fourth Railway Package and will report the Member States progress to the Commission. The Agency will also build on the experience of the Real Authorisation Cases work in 2014 and 2015 to participate in "Learning Cases" of vehicle authorisation.

In order to increase the trust in the work performed by NoBos, the Agency will further support the implementation of the scheme for accreditation and recognition and continue the monitoring of NoBos.

In addition to working closely with its stakeholders and other actors of the railway sector, the Agency will in 2018 also continue developing a European scheme for train driver certification for removing technical barrier and to support the improvements of the Train Drivers' Directive (TDD). This activity will be coordinated with the revision of the TDD to ensure the most efficient and effective procedure.

5.2.2 Activity 2 - Removing Technical Barriers - Objectives, Indicators, expected outcomes and outputs

Objective 6 - Preparing for Vehicle Authorisation under the Fourth Railway Package				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Proposal for Implementing Acts on Vehicle Authorisation	Status of the proposal for implementing act relative to the fourth railway package program plan	All program plan milestones achieved	To be completed (tbc)	Simplified process for vehicle authorisation
Recruitment plan for the staff required to carry out Vehicle Authorisation	Recruitment plan progress	Recruitments according to the recruitment plan and budget adopted by the Board	Recruitments according to the recruitment plan and budget adopted by the Board	Adequate resources in place
Preparing templates for EC declaration of verification	Templates available	Final templates available	Templates in use	Facilitating authorisation process
Agency internal procedures for VA	Status of the procedures		Procedures approved by the Management team	
Objective 7 - Removing technical barriers				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Loc&Pas TSI	Delivery of (draft) recommendation/report, as applicable	Intermediate report on the TSI revision to include	Recommendation for TSI revision (4RP).	Replacement of national rules by TSI requirements, where applicable

		elements from the Fourth Railway Package		
WAG TSI	Delivery of (draft) recommendation/report, as applicable	Intermediate report on the TSI revision to include elements from the 4RP	Recommendation for TSI revision (4RP).	Replacement of national rules by TSI requirements, where applicable
SRT TSI	Delivery of (draft) recommendation/report, as applicable	Intermediate report on the TSI revision to include elements from the Fourth Railway Package	Interim report on TSI revision	Replacement of national rules by TSI requirements, where applicable
Noise TSI	Delivery of (draft) recommendation/report, as applicable	Recommendation to revise Noise TSI	TSI revision adopted and in force, covering also existing freight wagons.	Simplified requirements for vehicle authorisation and operation
ENE TSI	Delivery of (draft) recommendation/report, as applicable	Intermediate report on the TSI revision to include elements from the Fourth Railway Package Ex-Post evaluation report	Interim report on TSI revision (ex-post analysis)	Replacement of national rules by TSI requirements, where applicable
INF TSI	Delivery of (draft) recommendation/report, as applicable	Intermediate report on the TSI revision to include elements from the	Interim report on TSI revision (ex-post analysis)	Replacement of national rules by TSI requirements, where applicable

		Fourth Railway Package Ex-Post Evaluation report		
PRM TSI	Completion of revision work	Recommendation to revise PRM TSI according to its article 7.	Amendment of PRM TSI in force (including loA specification, implementation plans and mutual criteria).	PRM updated, loA specified
TSI application guides	% planned revision of application guides delivered	Complete 80 % of the revision planned to be completed in the year	Complete 80 % of the revision planned to be completed in the year	TSIs correctly implemented
Support to INEA	Number of INEA calls supported by the Agency	agreed support in the year completed by the Agency Audits of projects granted by INEA	agreed support in the year completed by the Agency Audits of projects granted by INEA	Efficient and effective allocation of EU funds Audits of projects granted by INEA
Cleaning-up of national technical and safety rules	Deliverables	Remaining technical rules for ERTMS and GSM-R on top of TSIs (on-board) available in RDD OPE TSI Appendix B developed Report on type 6 national safety rules	tbc	Substitution of national rules by TSI requirements

		Report on technical rules for fixed installation.		
Cooperation with European Standardisation Bodies (CEN/CENELEC/ETSI)	% of needs for RfS addressed	Issuing RfS as needed e.g. to close open points in TSIs Target: address by emission of RfS at least 80% of the needs raised by stakeholders in the year	Idem as 2017	Assure an adequate coverage of interoperability issues by EU standards
Cooperation with ISO/IEC	Liaison agreed	IEC Liaison A agreed	tbc	Better involvement of the Agency on international standardisation
Cooperation with OTIF	alignment EU/OTIF rules achieved	Alignment TSI /UTP Ongoing Alignment of OTIF legislation with Fourth Railway Package	Idem as 2017	Promotion and use of EU railway regulation outside EU (extending interoperability beyond the EU)
Cooperation with OSJD		Ongoing	ongoing	Promotion and use of EU railway regulation outside EU (extending interoperability beyond the EU)
Support to the Commission to set up international agreements to facilitate rail transport at EC borders, including the European Neighbourhood Instrument (ENI) programme.	% of ENI project delivered	On demand for general support. For ENI 100% of planned activities for 2017 delivered	On demand for general support. For ENI 100% of planned activities for 2018 delivered	Promotion and use of EU railway regulation outside EU (extending interoperability beyond the EU)

The Agency taking active role in assisting RFC in removal of technical barriers, especially in implementing ERTMS with priority to 2020/2022 corridors	% of Agency contributions	Agency attendance to RFC meeting on demand	Agency attendance to RFC meeting on demand	Removal of national rules; constructive suggestions to TSI WP
Objective 8 – Removing operational barriers				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
OPE TSI	Delivery of (final draft) recommendation	Final draft recommendation for OPE TSI revision	Final recommendation issued	Replacement of national operational rules by TSI requirements, where applicable
Developing examination scheme for Driver Licence	WP/deliverable	Draft recommendation for Examination scheme for Driver License	Final recommendation issued	Recommendation and accompanying report for amending the TDD
Objective 9 – Ensuring efficient and effective conformity assessment				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Accreditation/recognition scheme for NoBos and AsBos	Recommendations/reports delivered	Accreditation scheme follow-up implementation and update	idem	Increased NoBos work quality and trust

Monitoring the quality of works performed by NoBos	Recommendations/reports delivered	Implementation of the monitoring scheme First steps towards NoBos audits and inspections	Audit and inspections ongoing (tbc)	Increased NoBos work quality and trust
Participation in NB-Rail strategy, plenary and subgroup meetings	% of meetings attended	Ongoing	Ongoing	Increased NoBos work quality and trust
Preparing templates for EC certificates	Templates available	Final templates available	Final templates in current use (tbc)	Facilitating application for authorisation

5.2.3 Activity 2 - Removing Technical Barriers – Resources

FTE	Budget Title 3 (Operational)	Total budget

Draft 2.1

5.3 A Single EU Train Control and Communication System

5.3.1 Overview of Activity 3 - A Single EU Train Control and Communication System

The European Railway Traffic Management System (ERTMS) is an important industrial project for Europe and a major step for an interoperable railway system and the progressive establishment of an open market in the sector. ERTMS is a cornerstone of a more efficient and performant railway system. The Agency is the system authority for the ERTMS specifications.

2018 will see the Agency managing the specifications in a transparent manner to protect investments and allow innovation, following the principles established in the ERTMS MoU signed in 2016. If error corrections are necessary, the Agency will ensure that also mitigation measures are developed. In the frame of the long-term perspective, the game changers will be progressively defined: in 2018 the common specifications for ATO (grade of automation²) will be agreed and made available.

The harmonised specifications alone will not deliver the full set of benefits expected from ERTMS. It is necessary to ensure their coordinated applications, also by promoting best practices and proven approaches with engineering rules and operational concepts, and achieving cost effective verification and authorisation. The Stakeholders Platform will be instrumental to enable those objectives, in parallel with the progressive implementation of the Fourth Railway Package roles of the Agency in vehicle authorisation and trackside ERTMS approval. The Agency will increase direct contact and seek feedback from real implementations, implementing shadow running. The Agency will apply de facto the principles of the Fourth Railway Package approval to trackside projects. The Agency will cooperate with DG MOVE leveraging on the cost/value-added of the ERTMS Deployment Manager, in particular focusing on the compliance of trackside ERTMS implementations, and providing support to the INEA Executive Agency regarding projects for which an application for Community financial aid has been submitted. The Agency will complete investigations on the threats and opportunities of cyber-security related to safety critical software and communication systems. The Agency will release the specifications of the future communication system, ensuring a wide consultation of all relevant stakeholders.

5.3.2 Activity 3 - A Single EU Train Control and Communication System - Objectives, Indicators, expected outcomes and outputs

Objective 10 – Increasing the Agency’s role in the checking of ERTMS projects compliance with the specifications, onboard and trackside				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Procedure for the ERTMS trackside approval process; Definition of pool of expert/framework contract	Practical Arrangements	Practical Arrangements included in EC Recommendation	Running learning cases	Harmonized implementation of ERTMS fostering SERA
Ad Hoc application of the approval process to selected projects	Number of projects assessed	1	1	Harmonized implementation of ERTMS fostering SERA
Agency internal procedures for ERTMS Trackside approval	Status of the procedures		Procedures approved by the Management team	
Objective 11 – Ensuring interoperable and stable ERTMS				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Integration of priority game changers (ATO, L3, braking curves, satellite positioning)	Project plan for game changers	ATO (GoA2) specifications relevant for TSI defined, in coordination with S ² R	ATO (GoA2) specifications agreed at CCM level (test and validation pending S ² R planning) Game Changers managed according to plan	Ensure managed evolution preserving stability and compatibility

Publication of Change Requests solutions on ETCS + GSM-R as output of the CCM process	Number of CR received and closed Compliance with CCM procedure	Technical Opinion on error corrections	Industrial plans for software error corrections agreed with ETCS suppliers Fine-tune CCM	Ensuring compliance of ERTMS products on the market
Ad hoc meeting NoBo WG	Number of meetings	3	3	Ensuring compliance of ERTMS products on the market
Cyber-security – SWOT analysis and identification of feasible/necessary measures for ERTMS and the future	Integration of set of requirements	Cyber-security requirements related to ETCS and GSM-R - report	Security requirements integrated in consultation paper for future communication system	Preserve interoperability and standardisation with improved resilience against security hazards
Stakeholder Platform fully functional ERTMS Conference	Stakeholder satisfaction level	ERTMS Conference 2017 organized	Publish report from Stakeholders' Platform Test and Validation WG Manage catalogue of OTS	Ensuring quality of ERTMS products and systems
CCS TSI	Delivery of intermediate report	Project plan for limited TSI CCS revision	Draft recommendation for TSI revision.	Closing priority open point, avoiding national rules, clear process for certification, improvement in testing
Objective 12 – Establishing and improving communication backbone for railways				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>

<p>Catalogue of feasible options</p> <p>Migration strategy options</p> <p>Identification of potential “clients” for data channel (TAF, TAP, energy meters, Dangerous Goods,)</p>		<p>Final definition of options and dependencies</p>	<p>Publication, including smooth migration path – wide consultation</p> <p>Accompany EC in WRC19</p> <p>Help rail sector defining the need for harmonised spectrum</p>	<p>Allowing EU railways to prepare for technological/business evolution</p>
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Draft 2.1

5.3.3 Activity 3 - A Single EU Train Control and Communication System – Resources

FTE	Budget Title 3 (Operational)	Total budget

Draft 2.1

5.4 A simplified access for customers

5.4.1 Overview of Activity 4 - A simplified access for customers

The functional and technical specifications for the OSS which will be put in production when the Agency has to effectively deliver vehicle authorisations and single safety certificates and check the technical solutions of ERTMS tenders will be finalised beginning 2017. These specifications will have to be adopted by the Agency Management Board by mid of 2017 which will allow to finalise the OSS development by the end of 2017. This release of the OSS will be used in shadow running. The business needs for the vehicle authorisation part of the One Stop Shop Database has been developed in 2016 with particular attention on the requirement to include an “early warning” system to identify at an early stage the needs for coordination between decisions to be taken by national safety authorities and the Agency in the case of different applications requesting similar authorisations.

Further progress is expected regarding accessibility by all stakeholders / customers of the railway system information, including rules and data related to its operation. This will result in enhanced performance and usability of the railway system, as well as the potential creation of new business opportunities.

In 2018 the Agency will continue performing the maintenance of the railway registers quoted in section 2.4. The Agency will also work on their continuous improvement (in particular for the consolidation and integration of the railway-related registers) and will support the MSs and stakeholders in their implementation and use..

The Agency will also continue developing the “Single Rules Database” envisaged by the Fourth Railway Package to replace the current NOTIF-IT and RDD databases.

From another perspective, to improve access of stations and trains for Persons with Reduced Mobility (PRM), a tool for informing the public and monitoring progress of PRM TSI implementation will be developed (Inventory of Assets).

The deployment of harmonised protocols and processes for exchanging information between railway actors will enable RUs and IMs to permanently locate freight trains and exchange documents related to the carried goods. The deployment of similar harmonised protocols and processes will allow the issue by travel agents of seamless tickets covering several RUs in several countries and the exchange of additional traveling information between stakeholders / customers according to the European Rail Passengers’ Rights Regulation. Above deployment of those harmonised protocols and processes will be done in a multimodal environment where special attention will be paid to aspects such as information exchange towards emergency systems in freight or connection to other modes of transport in passenger transport. The Agency will in this context continue to monitor the implementation of above harmonised protocols / processes and issue implementation progress report to EC. In addition, focus will be placed on dissemination activities vis-à-vis the RUs, IMs and other impacted actors in form of regional workshops.

Moreover, in order to ensure the TSI compliant deployment of the Telematics Subsystems, the Agency could check upon request the level of compliance of the developed IT applications against:

- *the interfaces as described in the Technical Documents listed in the Appendices of the TAP and TAF TSIs*
- *the processes as described in chapter 4 of the TAP and TAF TSIs.*

In addition, the Agency will, on request, perform audits to evaluate the compliance of IT applications against:

- *the interfaces as described in the Technical Documents listed in the Appendices of the TAP and TAF TSIs*
- *the processes as described in chapter 4 of the TAP and TAF TSIs.*

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5.4.2 Activity 4 - A simplified access for customers - Objectives, Indicators, expected outcomes and outputs

Objective 13 – Preparing a One-Stop-Shop (OSS) for certification and authorisation under the Fourth Railway Package				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Functional and technical specifications of OSS	Specifications submitted to and adopted by the Board	Specifications covering 100% of the essential functionalities of the OSS, to be adopted by the Board	OSS in production for shadow running Adoption by MB	Tool ready for shadow running
Objective 14 – Facilitating users' access to relevant data				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
RINF	% completed, Monitoring reports issued	Improved completeness of database Revision of RINF decision taking into account feedback from users Report on monitoring and implementation of RINF issued	Report on RINF gap analysis	Availability of reliable information concerning railway fixed installations

Vehicle-related registers (ECVVR, ERATV, ERADIS, VKMR, EVR)	Issuing recommendation	Recommendation for EVR Specifications	tbc	EVR fully operational in 2021
PRM inventory of assets (IoA)	Completion of specifications	IoA specifications included in draft revised PRM TSI	IoA specifications in force.	Availability to the public of information of PRM TSI implementation
Single Rules Database	Databases complete and available for operation	Single Rules Database specified	SRD User Group established and consulted Single Rules Database developed	Transparency of rules
TAF TSI	% deliverables available	TAF TSI updated and implemented	idem	Availability of relevant reliable information for freight operation
TAP TSI	Delivery of intermediate report TSI	TAP TSI revision WP started	Intermediate report on the TAP TSI revision	TAP TSI open points closed, link TAP TSI PRM IoA
Program definition for management of multimodal transport data	Programme defined	Preparatory analysis completed	Program plan adopted	Facilitate multimodal mobility

5.4.3 Activity 4 - A simplified access for customers – Resources

FTE	Budget Title 3 (Operational)	Total budget

Draft 2.1

5.5 Evaluation, Management and Resources

5.5.1 Overview of Activity 5 - Evaluation, Management and Resources

The horizontal activities supporting the Executive Director and the Agency are strategy and business planning and reporting, the Integrated Management System (IMS), deployment of the communications strategy, and providing legal advice. This activity also covers areas such as human resources, procurement, finance, accounting, ICT and facilities. In addition, there are the transversal tasks of economic evaluations/impact assessments, international relations management, railway research coordination (in particular the provision of support for Shift²Rail the EC and other entities such as ERRAC involved in transport research), establishing and maintaining the Portfolio of Common Positions, stakeholder management (e.g. the networks of Representative Bodies, NSAs, NIBs) and the preparation of the implementation of the Fourth Railway Package. These horizontal actions support in general the Agency as a whole, and more particularly, the core business in increasing the efficiency in outputs.

In the framework of the Fourth Railway Package, in addition to the projects already described in the previous activities, the Agency has to develop other projects, described in the below table, which also need to be finalised to enable it to deliver its tasks from the Fourth Railway Package.

Railway specifications are becoming global documents in increasing number. To take account of this and to reflect the status of the TSIs, CSMs and other Agency outputs, with their equivalents around the world, the Agency will further develop and promote its international relations strategy.

This will be done through appropriate arrangements with relevant organisations and partner Agencies .

5.5.2 Activity 5 - Evaluation, Management and Resources - Objectives, Indicators, expected outcomes and outputs

Objective 15 – Ensuring the coordination of the Fourth Railway Package implementation				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Cooperation arrangement framework adopted by the Board Apportionment of fees and charges adopted by the Board Establishment of the pool of experts	Board or EC adoption or approval	Supporting processes in place for the shadow running phase	Appointment decision by MB	Agency ready to perform shadow running
Appointment of the members for the BoA and appointment decision	Board or EC adoption or approval	Proposal for the IA for the rules of procedure for the BoA	Appointment decision by MB	Agency ready to establish its BoA
Objective 16 – Ensuring a prioritised portfolio of the Agency activities				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Early impact assessments for ERA strategies in view of setting up the SPD	% of ERA finalized strategies complemented with an early impact assessment	Relevant strategies defined	75%	Agency focusing on those objectives/programs with the highest positive impact for the railway sector
Impact assessments for recommendations and opinions/advices	% of issued recommendations and opinions accompanied by an impact assessment	100%	100%	Agency delivering recommendations and opinions with the highest positive impact for the railway sector

Ex post evaluations for selected topics	No. of ex post evaluations performed	According to the needs identified	According to the needs identified	Better understanding of the legislation's actual impacts and potential underlying drivers
New edition of the railway system report issued, including the railway indicators	% of Railway Indicators measured in the Railway System Report	80%	80%	Transparency on the outcomes/impacts of Agency's work in the railway system
Objective 17 – Ensuring efficient and effective communication				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Further implementation of the communication strategy	% deployment according to the 2018 plan	95%	95%	A better outreach of the Agency's activities and deliverables.
Communication/dissemination plan 2018	% delivered to MB in January 2019	100%	100%	
Objective 18 – Ensuring the implementation of the Agency's Integrated Management System (IMS)				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Documenting and implementing processes and procedures, and continuously reviewing related improvements. Maintaining the ISO 9001 Certification	% in line with the relevant roadmaps including 3 rd party audit implementation plan	100%	100%	Agency as a reliable and trustworthy business partner for all stakeholders
Objective 19 – Ensuring legality of Agency's activities				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>

Legal advice and opinions	% legal advice and opinions delivered in time according to the process or procedure	100%	100%	Ensuring compliance of the Agency's activities with the relevant legal frameworks at national and European level
Objective 20 – Ensuring that railway related research and International Standards are aligned with SERA and ERA objectives				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Assisting the S ² R JU & other entities involved in research projects affecting the rail sector according to the Agency Research & Innovation Strategy	Agency's interest in research projects identified Identification of Research & Innovation initiatives with high potential of market uptake	Classification of S ² R research projects according to the Agency interest Research & Innovation Strategy put in place	100% of S ² R projects classified Follow up of research projects of high interest for the Agency Implement the Agency Research & Innovation strategy	S ² R main documents aligned with the objectives of the EC and ERA for the creation of the SERA in a balanced way taking account of the stakeholders' needs Strengthen the system approach to Research & Innovation in Rail
Contribute to the definition and implementation of the S ² R Master Plan, in particular by performing the following advisory tasks: (a) proposing possible amendments to the S ² R Master Plan and to the annual work plans, in particular to ensure that research needs relating to the	% research projects which are in full compliance with the EU regulatory provisions	Contribution to the review of the S ² R MAAP and AWP Contribution to the S ² R IP Steering Committees and	Push for a single, clear and long term "Big picture" of railway research & innovation needs. Contribute to the simplification of the S ² R Master plan	1 single, clear, long term vision shared and endorsed by the railway actors (possibly extended at global/international level)

<p>realisation of the Single European Railway Area are covered;</p> <p>(b) proposing, after consultation with the stakeholders, guidelines for research and development activities leading to technical standards with a view to guaranteeing the interoperability and safety of results;</p> <p>(c) reviewing the common developments for the future system and contributing to defining target systems in regulatory requirements;</p> <p>(d) reviewing project activities and results with a view to ascertaining their relevance to the S²R objectives and to guaranteeing the interoperability and safety of research results.</p>	<p>% of TSIs open points closed with support from the S²R projects</p> <p>% of research outcomes incorporated in EU regulatory texts</p>	<p>Research projects for which the Agency has high interest</p>	<p>Strengthen and monitor the interface between regulatory provisions, standards and Research and Innovation within the framework of the S²R programme</p>	
<p>Providing specific expertise for the evaluation of the submissions to S²R</p>	<p>% of requests answered by the Agency for specific expertise in the evaluation of the submissions to S²R</p>	<p>100%</p>		
<p>Working with the Commission, EU stakeholders and standardisation bodies within and outside the EU to ensure optimal development of standards and their alignment with mandatory rules and regulations</p>		<p>Railway Standardisation Platform (RASCOP) launched with the EC and Stakeholders. Mapping of standardisation activity</p>	<p>TBA in discussion with EC and RSCOP</p>	<p>Structured coherent framework of regulation and standards.</p> <p>Gaps, overlaps and inconsistencies addressed.</p>

Objective 21 – Support to the development and dissemination of the EU acquis				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Assistance to the Commission in the promotion of European regulations and standards for railways according to the International Relations Strategy	% support requested by the Commission provided	Programme of actions established with the Commission and non-EU entities	To be defined in the programme of actions	Removal of technical barriers to trade
Supporting EC in its promotion of European regulations and standards for railways, for interoperability and safety of railway transport in the Mediterranean Region	% Contractual requirements met	EUMEDRAIL launched	Study on railway development in the Southern Mediterranean region	Report on railway development in the Southern Mediterranean region Requirements of DG near met
Management and Maintenance of the Portfolio of Agency Common Positions	TBA	First set of Common Positions adopted	Full set of positions completed	Consistent and coherent approach to the “big picture” and the key concepts underpinning it with the Agency The EU framework may be easily understood by non-EU actors
Objective 22 – Ensuring sound management of the Agency’s human and financial resources, ICT services and facilities				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Number of selection procedures planned and carried out in a year	% implementation of the establishment plan	95%	95%	Full use of the available and planned human resources

	X months as an average length[1] of a selection procedure	3 months	3 months	
Average number of training days per staff member (formal training and language courses)	Min. average number of training days per staff member	8	8	Continuous improvement of staff skills and knowledge
Annual budget executed as planned	% of the annual appropriations committed	95%	95%	Efficient use of financial resources
	% carry-over of payment appropriations	<10% for T1; <20% for T2; <30% for T3	<10% for T1; <20% for T2; <30% for T3	
	% of execution of C8 payment appropriations	95%	95%	
Secured ICT environment	Number of security incidents causing loss of data, business disruption or public embarrassment	0 incidents	0 incidents	Secure working environment

5.5.3 Activity 5 - Evaluation, Management and Resources – Resources

FTE	Budget Title 3 (Operational)	Total budget

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Annexes

Annex I: Resource allocation

1. Multi-annual resource allocation

The communication COM (2013)519 of 10/07/2013 on the programming of human and financial resources for decentralised agencies 2014-2020 contains the following planning for the Agency:

Year	2013	2014	2015	2016	2017	2018	2019	2020
Budget (Mio€)	25,007	25,007	25,613	26,000	26,000	26,250	26,500	26,750
Establishment Plan (TAs)	143	140	137	134	139	148	148	148

The increase of 9 TAs foreseen as of 2018 is to give the Agency the additional staff to carry out the new tasks stemming from its new funding regulation and the 4RP. These additional posts should be fee-financed. However, the Agency will only get fees and charges as of 2019.

2. Resource allocation 2018³ [to be updated in a later draft in light of the budget discussions with the EC]

Activity	Unit Staff	DIRECT COSTS		INDIRECT COSTS		TOTAL BUDGET 2016 PER ACTIVITIES
	FTE	CHAPTER 30	CHAPTER 31	TITLE 1 & TITLE 2		
		ACTIVITIES				
Harmonized Safety Framework	45.00	2,040,000	519,811	5,132,432		7,692,243
Removing Technical Barriers	46.50	1,049,000	537,138	5,303,514		6,880,651
Single EU Train Control and Communication System	26.10	700,000	301,490	2,976,811		3,978,301
Simplified Access for Customers	14.90	2,500,000	172,115	1,699,405		4,371,521
Evaluation, Management and Resources	52.50	1,300,000	606,446	5,987,838		7,894,284
Grand Total	185.00	7,580,000	2,137,000	21,100,000		30,817,000

1. Background

The technical pillar of the 4RP has entered into force in June 2016. This legal package is the single most important set of legal acts on railways for decades, and it will have a decisive impact on the realisation of the Single European Railway Area, by driving down costs and thereby improving the competitiveness of the rail system. The European Union Agency for Railways will play a decisive role in the implementation of the 4RP, as the legal package contains foresees several significant new tasks and responsibilities for the Agency, which will need to be funded and covered with the needed resources. The legal text provides for a three year transition phase for the Agency has to take up its full role as European authority for safety certification and vehicle authorisation in railways. These new tasks will become effective in June 2019, however, the legal package prescribes a one year “shadow running” period prior to this date, starting in June 2018.

In close coordination with DG MOVE, the Agency has developed a very significant preparation programme which between now and 2019 will transform the entire Agency to enable us to perform our new role, in particular as decision makers in the Single European Railway Area. The deadlines are very ambitious and can only be respected if the necessary resources are made available. Within this preparation programme, and in line with the approved Agency budget for 2017, there will be a significant ramp-up of resources in the Agency already in 2017. With this note, we describe the further steps of the preparation programme to be taken in 2018, in order to ensure that the Agency will be ready to shadow-run the treatment of real applications for

³ General disclaimer: the Agency's final budget is subject to the adoption by the Budgetary Authority of the general EU budget.

safety certificates and vehicle (type) authorisations in mid-2018, and to take over the full responsibility for treating such applications from 2019.

2. The Commission Communication from 2013

ERA's budgets for 2014, 2015 and 2016 have all been in line with the Commission's communication on the programming of human and financial resources for decentralized agencies 2014-2020 from July 2013 - with the only exception that for 2016 the Commission agreed to frontload one new post only foreseen for 2017 already in the 2016 budget. This frontloading was included in the draft budget adopted by the budgetary authority in December 2015.

The ERA budget for 2017 has been aligned with the new responsibilities which were not included at the time the EC communication COM (2013)519 was adopted, namely the Safety Occurrence reporting, the One-Stop-Shop application and other new tasks (see below). These additional tasks, similarly to 2017, must be considered and the corresponding budget and resources need to be added on top of the already agreed subsidy mentioned in the EC communication.

According to the communication, ERA's 2018 budget should include **148 posts and a subsidy of € 26.25 M**. It is further explained why ERA will need to keep the additional 12 contract agents agreed in 2017 also in 2018, and, as a consequence of the new agency regulation, the subsidy for 2018 should be € 28.70M.

When considering these aspects, it should also be noted that, in line with the reduction by in total ten subsidy financed posts from 2012 to 2016 (or by nine if the frontloaded fee financed post from 2017 is taken into account), the Agency has taken a series of initiatives to increase the efficiency by rationalising our way of working and discontinuing activities of lesser priority. These activities, in particular the introduction of tool-supported programme and project management, will continue to bear fruit in 2018.

3. Subsidy financed tasks

Already in 2016, ERA took up a number of new tasks under the 4RP without any additional posts. In 2017, additional resources will be required for the so-called One Stop Shop (OSS) and the safety occurrence reporting. These are both elements which have been added to the legal text in the course of the political negotiations but no additional posts were granted for these activities.

a. One Stop Shop (Article 11a of the Regulation on the European Union Agency for Railways)

As a completely new feature, the 4RP provides for ERA to establish and later run an information and communication system with a virtual "One Stop Shop" functionality. In the future, all applications (regardless of whether they will be treated by ERA or by a national safety authority) for a single safety certificate, a vehicle (type) authorisation or an ERTMS trackside specification approval must be treated through this new system. The system shall also cater for the interfacing with all the different actors in the processes. It must become operational in 2018 for the so called shadow running. The One Stop Shop is a precondition for the good functioning of the truly European approach of the 4RP.

It is a legal requirement for ERA to develop and maintain the One Stop Shop.

The development costs for the **One Stop Shop** have been estimated as follows:

2015		2016		2017		2018		Total	
Budget ⁴	FTE	Budget	FTE	Budget	FTE	Budget	FTE	Budget	FTE
0.05M	0.3	0.7M	2.4	2.0M	3.0	1.95M + FTE costs	3.0	4.7M + FTE costs	8.8

⁴ The budget figures do not include the staff costs.

For 2015, the resources were found through reprioritisation within the given budget as nothing was originally foreseen. In the 2016 the Agency received additionally € 0.7M as per savings made by DG MOVE to fund the OSS project.

For 2017, ERA will dedicate **3 contract agents** that **need to be prolonged in 2018**. It will also be necessary to increase the 2018 subsidy by € 1.95M (plus staff costs).

b. Occurrence reporting (Article 18 of the Regulation on the European Union Agency for Railways)

The Commission white paper objective of the European Railway system as the “world leader for safety” is underpinned by the new tasks for the Agency set out in the 4RP. In particular, there is a clear need to address the different safety cultures that result in significant numbers of national rules and the creation of virtual barriers to the Single European Railway Area⁵. This work includes working with national prosecuting authorities as a new work stream and the development of new IT tools, explicitly referenced in Article 4(5) of the Railway Safety Directive, to record and share occurrences and safety information. Currently no tool exists for this at a European level. The reduction of national rules and development of occurrence reporting is a priority of the Commission in this area.

The development of the new safety culture work is estimated at 3 FTE, even if we can work through national partners. ERA received in 2017 **three additional contract agents** for this area and **need to secure them in 2018**.

A yearly cost of € 140k is foreseen for the engagement work, such as workshops, training and on-line tutorials. This engagement includes the Agency contribution to joint work with national prosecutors in the field of rail. For the maintenance of the tool to support sharing of safety information the estimate is € 60k/year.

c. Other new tasks

The resource needs for further new tasks stemming from the 4RP or EC mandates are:

- › New governance and appeal boards: In relation to its preparation and management, , **1 contract agent** agreed in 2017 needs to be secured in 2018.
- › **Administrative support for “fees and charges”**: the building-up of the F&C system in cooperation with the stakeholders requires **1 contract agent** as of 2017 to be secured in 2018 (and the following years)

d. Grant Agreements

The Agency has also signed two grant agreements with DG NEAR (IPA and ENI) including additional budget (300 k€ for IPA – 2 years - and 2 M€ for ENI – 2 years) and resources (2 CA for IPA and 3 CA for ENI). However, these extra resources need to be managed by existing internal ERA resources. This will be done through internal reorganization and efficiency gains to absorb this extra work.

Fee financed tasks

a. Ramping up for the shadow running

The Agency intends to already recruit 4 CAs in 2017 for starting this activity and needs to secure these 4 CAs in 2018.

⁵ 1) New obligation for the Agency under Article 4(2) of the Railway Safety Directive, RSD, to ensure safety at a European level. 2) New obligation on actors to develop systems that support positive safety culture Article 9(2). Without some harmonisation at European level these might generate more national barriers and therefore run counter to requirements in RSD Article 1(f).

- b. The nine fee financed posts foreseen in the 2013 Communication for 2018 will be used for strengthening the team for the three central new authority tasks: issuing of safety certificates, issuing of vehicle and vehicle type authorisations and approval of ERTMS track-side equipment projects. Two of the nine fee financed post will be used for the Board of appeal and for the OSS management. Temporary subsidy financing*

It should be noted that as the legal text stands now, there will be no revenue from fees and charges in 2017 (and 2018). Only when ERA will take over the full responsibility for handling applications in 2019 will the Agency generate revenue in terms of fees and charges. Thus, the entire preparation process will have to be financed through an extraordinary subsidy. In 2018, this extraordinary subsidy has been calculated at € 1.00M considering that it will not be practically possible to have all staff in place from the beginning of the year.

Budget needs for 2018

Considering the above, the 2018 resource need for ERA is to have 42 contract agents (keeping the 12 agreed in 2017) and 148 temporary agents foreseen in the establishment plan 2018.

Experience has shown that it is practically impossible for ERA to attract well-qualified SNEs. With the arrival of the 4RP, all signs are that in particular national authorities will become even more reluctant to allow their good staff to come to work for ERA as SNEs. It is therefore not considered a valid option to increase the number of SNEs to help meet the 2018 staffing needs.

The additional need for subsidy funding is € 3.15M.

The budget needs can be summarised as follows:

a. Posts for temporary agents

Subsidy financed tasks	
2013 Communication	139
Sub-total	139
Fee financed tasks	
2013 Communication but no fees and charges in 2018	9
Sub-total	9
Total	148

b. Contract agents

2016 Budget	30
One Stop Shop 2017-2018	3
Occurrence reporting 2017-2018	3
SSC/VA/ERTMS authorisation posts (2017 continued)	4
Administrative support 2017-2018	2
Total	42

c. Seconded National Experts

It is foreseen to keep the number at 4.

d. Subsidy

2013 Communication	26.25
OSS	1.95
Safety Occurrence reporting	0.20
Additional subsidy not covered by fees	1.00
Total Subsidy 2018	29.40
Difference	3.15

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Annex II: Financial Resources 2018-2020*[to be updated in a later draft in light of the budget discussions with the EC]**Table 1 – Expenditure*

<i>Expenditure</i>	<i>2017</i>		<i>2018</i>	
	<i>Commitment appropriations</i>	<i>Payment appropriations</i>	<i>Commitment appropriations</i>	<i>Payment appropriations</i>
	18 300 000	18 300 000	19 400 000	19 400 000
	2 800 000	2 800 000	2 750 000	2 750 000
	9 717 000	9 717 000	7 256 000	7 256 000
Total expenditure	30 817 000	30 817 000	29 406 000	29 406 000

Table 2 – Revenue

<i>Revenues</i>	2017	2018
	Revenues estimated by the agency	Budget Forecast
EU contribution	30 000 000	28 700 000
Other revenue	732 000	706 000
Total revenues	30 732 000	29 406 000

<i>REVENUES</i>	2015	2016	2017		<i>VAR 2018 /2017</i>	<i>Envisaged 2018</i>	<i>Envisaged 2019</i>
	<i>Executed Budget</i>	<i>Revenues estimated by the agency</i>	<i>As requested by the agency</i>	<i>Budget Forecast</i>			
1 REVENUE FROM FEES AND CHARGES							
2. EU CONTRIBUTION	24 659 000	26 700 000	31 100 000	30 000 000		28 700 000	
of which Administrative (Title 1 and Title 2)							
of which Operational (Title 3)							
of which assigned revenues deriving from previous years' surpluses	954 000	787 016	391 224	357 000			
3 THIRD COUNTRIES CONTRIBUTION (incl. EFTA and candidate countries)	732 000	695 879	844 800	732 000		706 000	
of which EFTA		695 879	844 800	732 000		706 000	

of which Candidate Countries							
4 OTHER CONTRIBUTIONS							
of which delegation agreement, ad hoc grants							
5 ADMINISTRATIVE OPERATIONS							
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT							
7 CORRECTION OF BUDGETARY IMBALANCES							
TOTAL REVENUES	26 345 000	27 395 879	31 994 800	30 732 000		29 406 000	

Table 3 – Budget outturn and cancellation of appropriations

<i>Budget outturn</i>	<i>2014</i>	<i>2015</i>	<i>2016</i>
Reserve from the previous years' surplus (+)	954 287	787 016	357 347
Revenue actually received (+)	25 772 443	26 592 262	27 784 590
Payments made (-)	-22 075 957	-23 733 926	- 25 481 829
Carry-over of appropriations (-)	-2 984 698	-2 608 459	- 2 221 313
Cancellation of appropriations carried over (+)	69 599	93 602	111 021
Adjustment for carry over of assigned revenue appropriations from previous year (+)	6 395	50 174	187 333
Exchange rate differences (+/-)	-766	-2 429	-1 588
Adjustment for negative balance from previous year (-)	-954 287	-787 016	-357 347
Total	787 016	391 224	378 214

Annex III: Human Resources 2018-2020*[to be updated in a later draft in light of the budget discussions with the EC]*

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

Staff population		Staff population in voted Budget 2015	Staff population actually filled at 31.12.2015	Staff population in voted Budget 2016	Staff population in voted Budget 2017	Staff population in Draft EU Budget 2018	Staff population envisaged in 2019	Staff population envisaged in 2020
Officials	AD							
	AST							
	AST/SC							
TA	AD	104	99	99	103	111	113	113
	AST	33	36	36	36	37	37	37
	AST/SC	0	0	0	0	0	0	0
Total TA		137	135	135	139	148	150	150
CA GFIV		6	6	15	21	21	21	21
CA GF III		4	5	5	8	8	8	8
CA GF II		7	7	7	10	10	10	10
CA GF I		3	3	3	3	3	3	3
Total CA		16	21	30	42	42	42	42
SNE		8	3	4	4	4	4	4
Structural service		7	7	7	10	10	10	10
Total		168	166	176	195	204	206	206
External staff for occasional replacement								

⁶ This category is not included in the breakdown of staff presented in 3.2 of this Programming Document.
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Table 2 – Multi-annual staff policy plan 2018-2020

Function group and grade	2016		2017		2018		2019		2020	
	Authorised under the EU Budget		Authorised under the EU Budget		Request of the Agency		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										
AD 15							1			1
AD 14		1		1		1				
AD 13							1			
AD 12				1		2	3			4
AD 11		6		5		6	7			8
AD 10		14		18		18	19			20
AD 9		31		33		32	32			34
AD 8		20		21		22	21			25
AD 7		13		14		15	15			10
AD 6		14		10		15	14			11
AD 5										
AD TOTAL		99		103		111	113			113
AST 11										
AST 10										
AST 9		3		3		3	3			2
AST 8		4		5		5	5			6
AST 7		4		4		4	5			6
AST 6		3		3		3	3			5
AST 5		7		8		8	8			9
AST 4		6		9		9	9			7
AST 3		6		3		4	4			2
AST 2		3		1		1				
AST 1										
AST TOTAL		36		36		37	37			37
AST/SC 6										

Function group and grade	2016		2017		2018		2019		2020	
	Authorised under the EU Budget		Authorised under the EU Budget		Request of the Agency		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
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		135		139		148		150		150

Annex IV:

A. Recruitment policy

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. The main exceptions used to be for tasks where it is not clear that they are of a long term nature, tasks which do not require the post holder to have completed secondary education and situations where budgetary constraints do not allow for employing Temporary Agents. However, with the reduction in the number of posts for temporary Agents, there will be very limited scope for recruiting staff for secretarial tasks (and increasingly also for assistant tasks) as Temporary Agents. It is therefore likely that most new staff in this area will be recruited as contract agents rather than using the new category AST or AST/SC;
- b) Temporary and Contract Agents are as far as possible treated in the same way.

In addition, it should be noted that the Agency does not employ officials. However, there are cases where EU officials have been seconded at their own request and have therefore acquired the status of Temporary Agent.

Selection and engagement procedures:

The procedures for selection and engagement of Temporary Agents and Contract Agents are 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 Temporary Agents and Contract Agents, the Financial Regulation (European Commission and the Agency), the Code of Good Administrative Behaviour and the data protection rules.

As nationals of Norway, Iceland and Liechtenstein are eligible for working for the Agency, it only exceptionally makes use of the general reserve lists established by EPSO.

The selection procedures for the recruitment 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. The General Implementing Provisions on the procedures governing the engagement and use of **Contract staff** at the European Railway Agency (N° 340/11.2010) was adopted on the 9th November 2010 and are expected to be replaced in the course of 2016.

The selection procedure has recently been reviewed based on recommendations from the Internal Audit Service, the Court of Auditors and the Decision of the European Ombudsman closing the own-initiative inquiry OI/4/2013/CK into the EU Agencies practices regarding disclosure of the names of the Selection Board members (OI-4-2013-CK-S2014-191669). The new procedure may be summarised as follows:

- *The drafting, translation⁷ and publication of a call for applications fixing amongst other specifications, whether the post is for short-term or long-term employment, eligibility and selection criteria, type and duration of contract and recruitment grade, references to the selection procedure (including participation to other assessment process if applicable, e.g. assessment centres for managerial posts). The Agency publishes the call for applications (as well as the names and roles in the selection committee⁸) on its website, IntraComm and the EPSO website. Calls for applications are also sent to other EU agencies,*

⁷ Was introduced in the course of 2016.

⁸ *id.*

members of the Administrative Board, the permanent representations of Member States to the EU and national railway organisations. Calls for applications are also promoted through specialised press, when appropriate.

- **Applications** are received only by e-mail.
- A **selection committee** is nominated by the Executive Director and is composed of at least three members including the Head of Unit concerned, a representative from the Resources & Support Unit (usually from the HR Sector) and a representative nominated by the Staff Committee. In specific situations experts from outside the Agency are invited to be members of a selection committee. The role of the selection committee is to prepare the list of questions and the written test, to select on the basis of eligibility and selection criteria the candidates to be short listed, to conduct the interviews and written tests, to evaluate the replies and integrate the results of all related assessment, to decide on the suitability of applicants and make a recommendation to the Executive Director on the applicant (s) to be included in the reserve list of successful candidates. As a general rule, all members of the selection committee will have followed the relevant training offered by DG HR.
- The **compliance with impartiality, confidentiality and transparency of procedures** is monitored by the HR Sector and deviances are transmitted to the Executive Director. For example all members of the selection committee complete a 'declaration of confidentiality and conflict of interest' form.
- **Interviews, written tests** and, where applicable, additional assessment are organised by the HR Sector which provides logistic and secretarial support including the scheduling of interviews/test(s), sending invitations to the applicants and responding to queries from invited applicants.
- **Recommendations of the selection committee** are prepared summarising the results of the assessment and drawing up a list of applicants considered suitable for the post. The evaluation sheets signed by the members of the Committee are annexed to the written recommendation.
- The Executive Director adopts a **decision** on the candidates to be entered on the reserve list and any job offers to be made.
- All candidates are informed of the result of their application.
- There is **access to information** regarding all stages of the selection procedure for candidates who so request it. Documents are kept by the HR Sector in accordance with the guidelines of the European Data Protection Supervisor.
- A candidate who considers that a mistake has been made regarding the eligibility of his/her application has 20 days to launch an appeal procedure. The selection committee has 45 calendar days to reply to requests for appeal.
- **Data is processed** in accordance with Regulation (EC) N°45/2001 of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies on the free movement of such data.
- The **engagement procedure** consists of telephone contact with the candidate, confirmation, by e-mail, and exchange of information using the personal data form to calculate monthly salary. The candidate is also required to complete a declaration of conflict of interest. The step at engagement level is calculated, a salary simulation made, and the job offer sent by post. An invitation for a pre-engagement medical is sent together with a request of the necessary supporting document. A contract of employment is then signed following the receipt of all relevant documentation and a medical 'fit to work' certificate.

The procedure applies by analogy to the selection of **Seconded National Experts** with the following exceptions:

- SNEs already in post at the Agency may be members of the Selection Committees for SNE selection only;
- SNEs do not necessarily have to pass written tests;
- SNEs do not need to provide the same number of supporting documents in view of their secondment to the Agency;
- SNE do not need to undergo medical examination.

Before the secondment of an SNE is formally agreed, the Agency sends a letter to his/her employer requesting written approval of the secondment and also of the period of secondment concerned (Exchange of letters).

Depending on the function and the level of tasks and within the limits authorised by the establishment plan of the Agency, Temporary Agents are recruited 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, AD10, AD11 or on an exceptional basis, at grade AD12. However, except for the post as Executive Director, no post has so far been filled at a level above AD10.

In the Assistant function group, recruitment at a grade higher than the one provided for 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 first renewal is normally for two years and any further renewal will be 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 shall be 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

In accordance with Article 85 of the CEOS, contract staff can be recruited for a fixed period of at least three months and not more than five years. Contract Agents are recruited 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 secretarial tasks.

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

- › Secretarial tasks;

- › Coping with temporary peaks in workloads;
- › Launching pilot projects or new activities whose long-term commitment in terms of staffing is unclear;
- › Replacing staff on long-term absences such as maternity leave, long-term sick leave or CCP;
- › Unforeseen deficits in staffing levels and budgetary restrictions in overcoming this problem by recruiting Temporary Agents.

However, increasingly ERA has also engaged Contract Agents for other tasks, such as:

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

Following the general principle stating that Temporary and Contract Agents are as far as possible treated in the same way, the distinction between short-term and long-term jobs for Contract Agents will follow the same logic as the one for Temporary Agents. As well, the initial contract will normally be for four years unless the duration of the foreseen tasks is shorter.

c. **Seconded national experts**⁹

In 2009, the Agency adopted a decision on the policy and the procedures governing the recruitment and use of seconded national experts in the Agency consolidating and simplifying the existing rules (Decision N° 237/2009). SNEs assist the Agency staff and cannot perform middle management duties.

SNEs are seconded from their national employer to the Agency's operational units on the basis of their specific competencies and technical expertise in the railway domain.

A possibility to recruit '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 has no such SNEs at the moment.

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.

Types of key function:

- *Project Officer*

d. **Trainees**

Professional traineeships last between three and five months in accordance with Decision N° ERA-ED-DEC-1063-2015. Professional traineeships are organised once or twice per year, depending on budget availability.

⁹ SNEs are not employed by the Agency.

e. **Structural service providers**¹⁰

Staff FTE	Tasks	Description	PD per Year	Total PD per Year	Framework Contract	Expiring
6	Service Desk	User support and assistance	220	1320	ESP/EISD5 signed in May 2015	Date of signature, 3+1 Y
7	Senior Analyst Programmer	Writing/maintenance/prototyping of applications that reflect the specifications.	220	1540	ESP/EISD5 signed in May 2015	Date of signature, 3+1 Y
1	Webmaster	Creation and staging of web site	220	220	ESP/EISD5 signed in May 2015	Date of signature, 3+1 Y
1	Application Architect Designer	Design and development OSS	220	220	ESP/EISD5 signed in May 2015	Date of signature, 3+1 Y

B. *Appraisal of performance and reclassification/promotions*

The Agency applies Decision N° 122 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° 123 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. In 2016, new decisions were adopted, governing the reclassification of Temporary Agents and of Contract Agents. They were applied for the first time for the appraisal and reclassification exercise taking place in 2016.

The 9th reclassification exercise took place in 2016 and 16 members of staff were reclassified. The present reclassification policy complies with the principles established in the Commission's model decision on reclassification of Temporary Agents. Since 2016, the Agency adopted rules for the reclassification of Contract Agents.

¹⁰ Structural service providers are not employed by the Agency.
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Tel. +33 (0)327 09 65 00 | era.europa.eu

Table 1 - Reclassification of temporary staff/promotion of officials [data not yet available in January – will be updated in the next draft]

Category and grade	Staff in activity at 01.01.2015		How many staff members were promoted / reclassified in 2016 ¹¹		Average number of years in grade of reclassified/promoted staff members
	officials	TA	officials	TA	
AD 16					
AD 15					
AD 14		1			
AD 13					
AD 12					
AD 11		3			
AD 10		13			
AD 9		26			
AD 8		15			
AD 7		19			
AD 6		21			
AD 5					
Total AD		98			
AST 11					
AST 10					
AST 9		2			
AST 8		1			
AST 7		1			
AST 6		3			
AST 5		7			
AST 4		6			
AST 3		10			
AST 2		6			
AST 1					
Total AST		36			

¹¹ Reclassification decision 2016 to be taken in January 2017

Total		137			
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Table 2 - Reclassification of contract staff [data not yet available in January – will be updated in the next draft]

Category and grade	Staff in activity at 01.01.2015		How many staff members were promoted / reclassified in 2016 ¹²		Average number of years in grade of reclassified/promoted staff members
	officials	CA	officials	CA	
FG I					
FG II					
FG III					
FG IV					
Total AST					
Total					

¹² Reclassification decision 2016 to be taken in January 2017

C. 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) enshrines two scenarios for internal mobility for TA 2(f). These are reassignment in the interest of the service and mobility following the internal publication of a post.

The Agency actively promotes internal mobility 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 that are 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 among agencies (Inter-agency Job Market)*

A number of the support staff who have left the Agency in previous years have accepted Temporary Agent positions in other agencies. In addition, the recent establishment of a number of new Joint Undertakings in Brussels has led to staff leaving and candidates refusing job offers from the Agency. On the other hand, many staff members who took up long-term Temporary Agent positions at the Agency come from other EU Agencies.

With the new implementing rules for 2(f) Temporary Agents, the Inter-Agency Job Market is no longer applicable.

3. *Mobility between the agencies and the institutions*

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

4. *Tables for 2016 (Temporary agents, contract agents and SNE's) [to be updated in draft 2]*

	2016	
	New staff	Departing staff
Mobility within the agency	5	5
Mobility among agencies	1	1
Mobility between the agencies and the institutions	-	1
Other	14	7
Total	20	14

D. Gender and geographical balance

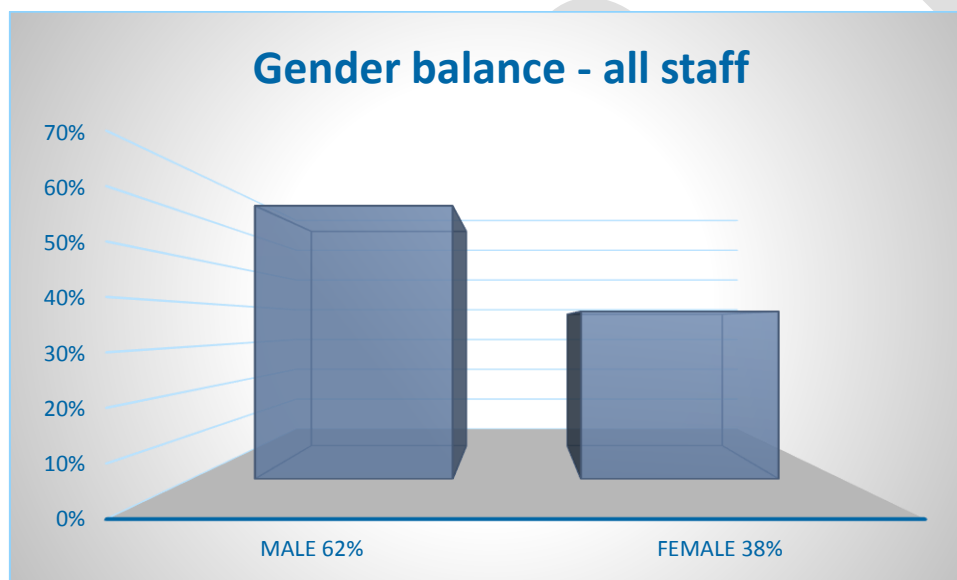
The following non-discrimination notice is included in all vacancy notices:

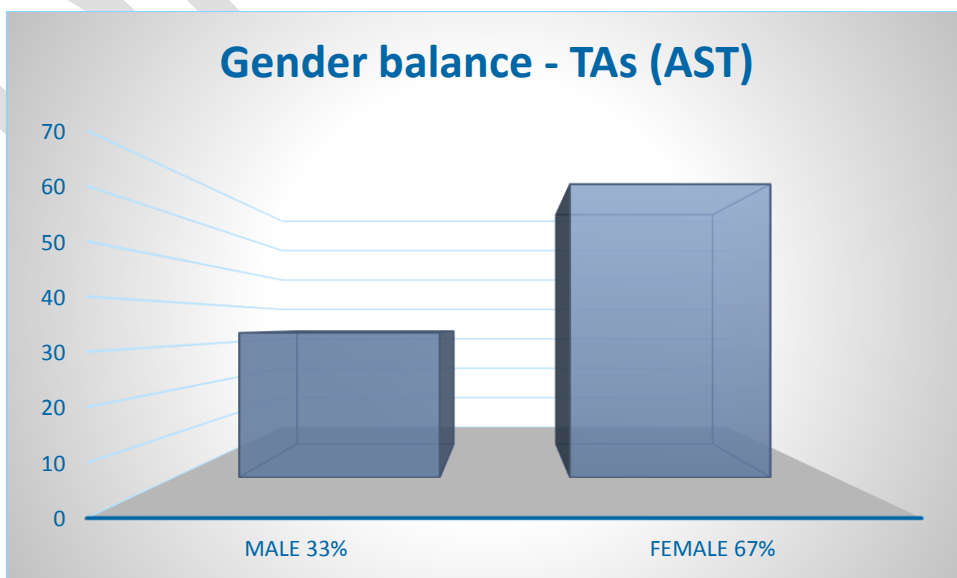
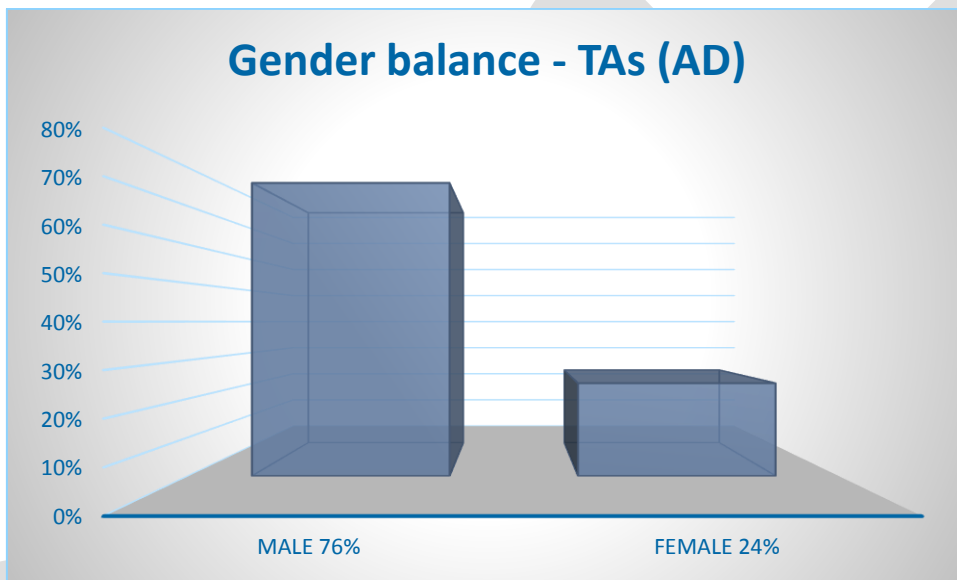
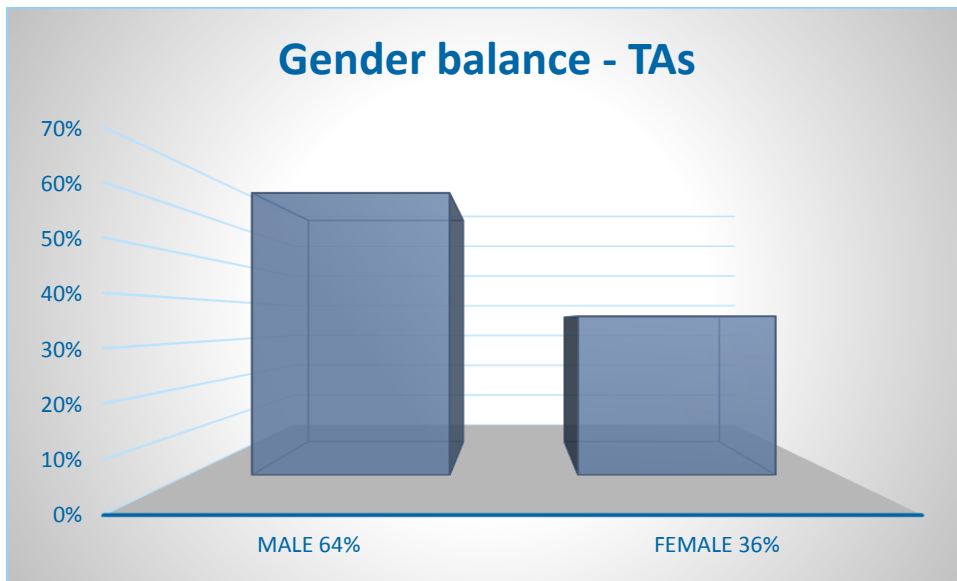
“Equal opportunities: The European Union takes great care to avoid any form of discrimination in its recruitment procedures”.

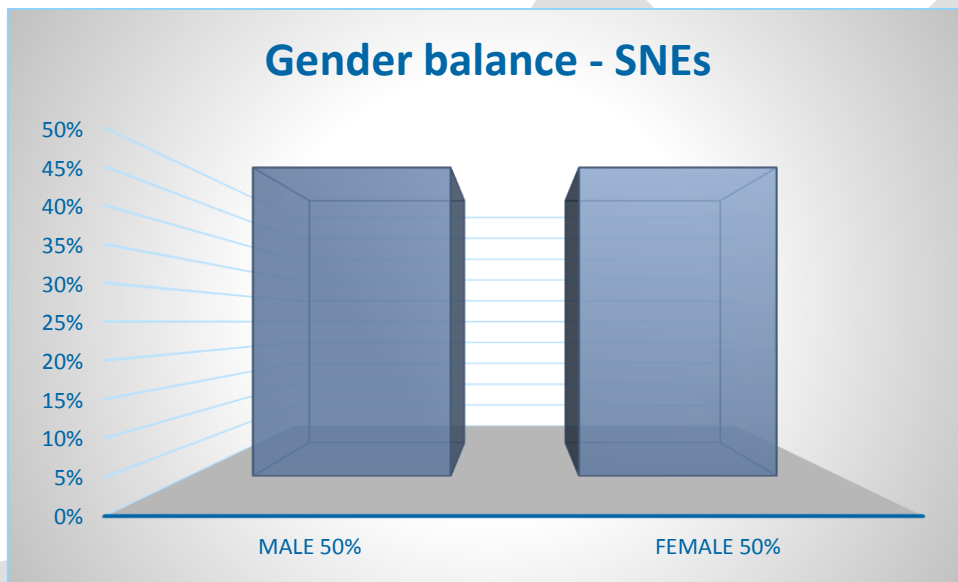
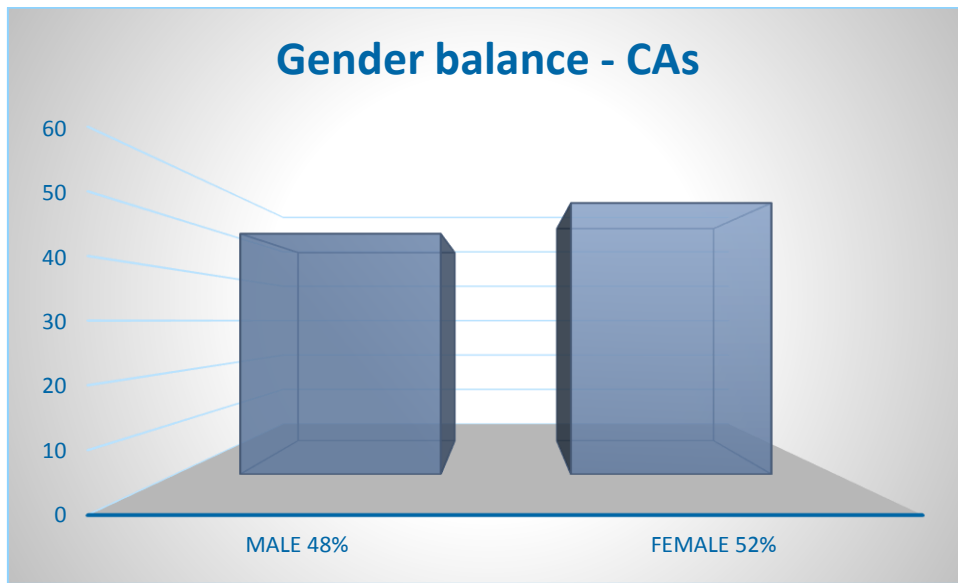
Applications are encouraged from all candidates and facilities management is prepared to accommodate people with disabilities. A positive discrimination policy however has not been put in place.

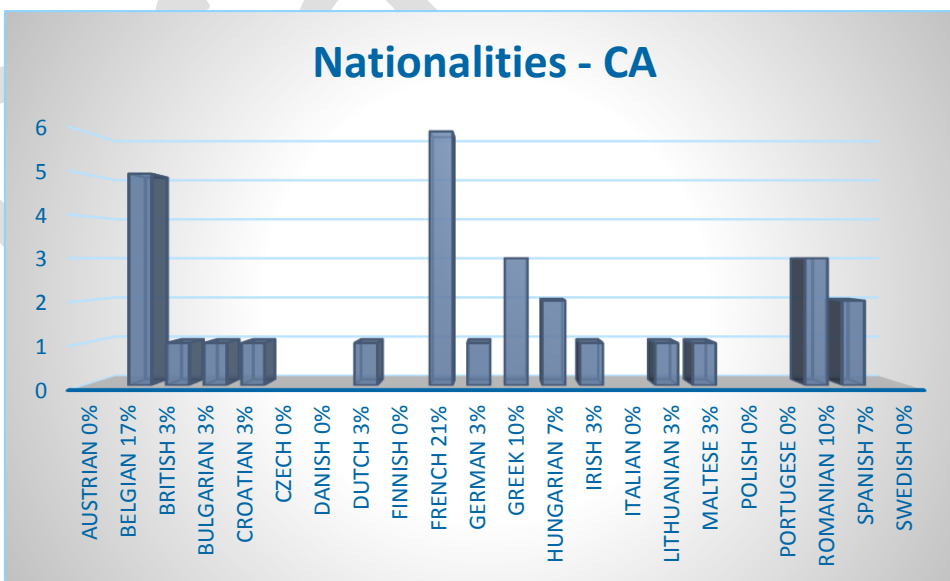
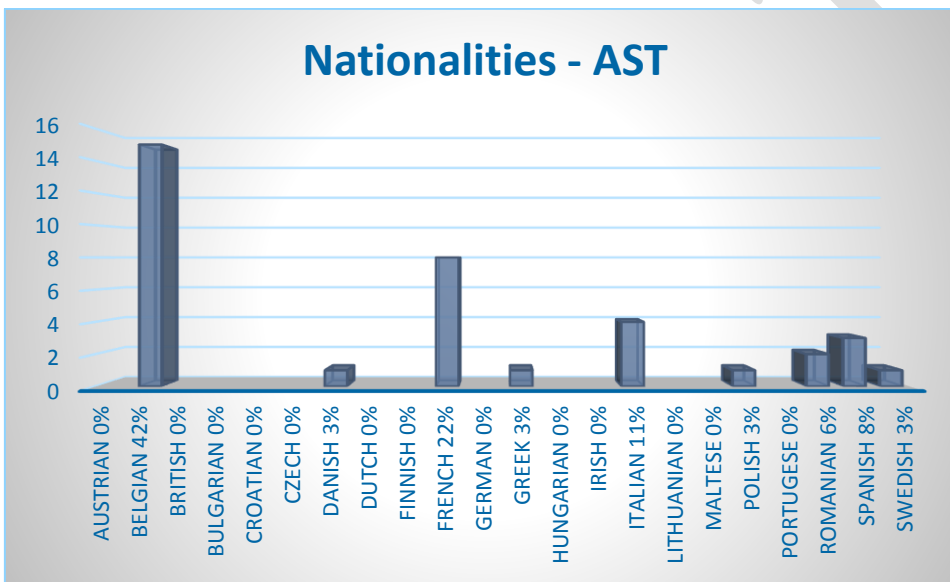
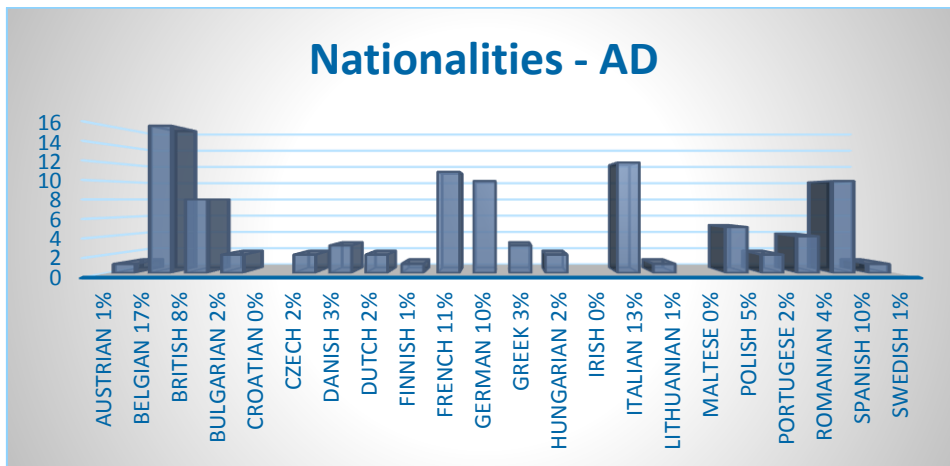
In general, the gender balance at the Agency has been stable over recent years. As can be seen from the “All Staff” pie chart, the figures, based on the situation in 2016, are 62% male staff and 38% female staff.

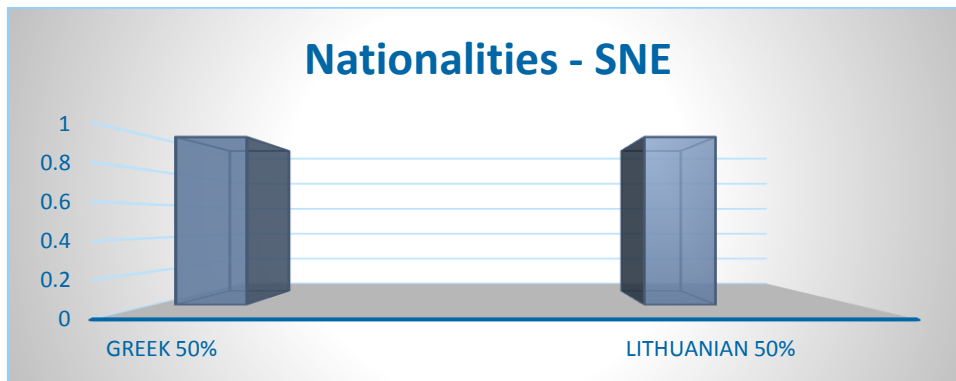
The current **flexi-time** policy and the Decision on **teleworking** of the Agency are designed to facilitate an improved work-life balance.











E. Schooling

There is no European School in Valenciennes where the Agency is located and the Agency has no arrangements with any international school in the vicinity. The local schooling system has an international section (English) at college and 'Lycée' level, but the students follow the French curriculum working towards the 'brevet' and the 'baccalaureate' awarded by the French Ministry of Education. There are facilities for international schooling in Lille but many staff members send their children to the European School in Brussels (and for that reason choose to live in Brussels and commute from there).

Annex V: Buildings*5.1.1 Current building(s) [to be updated in draft 2]*

	<i>Name, location and type of building</i>	<i>Other Comment</i>
Information to be provided per building:	Agency HQ, Valenciennes, 120 rue Marc Lefrancq	The Agency is the only tenant of the building.
Surface area (in square metres) Of which office space Of which non-office space	5.250 M ² de Surface Hors Oeuvre Nette (S.H.O.N)	
Annual rent (in EUR)	EUR 419 653.68 HT/year	The new INSEE indicator will be published during the 1st Quarter 2016.
Type and duration of rental contract	1 year with tacit renewal	
Host country grant or support	No	
Present value of the building	If the agency owns the building	

	<i>Name, location and type of building</i>	<i>Other Comment</i>
Information to be provided per building:	Rental of 90 parking places from SAEM Valenciennes	
Surface area (in square metres) Of which office space Of which non-office space	90 parking places	
Annual rent (in EUR)	EUR 21 675,00 HT/year	
Type and duration of rental contract	1 year with tacit renewal	
Host country grant or support	No	
Present value of the building	If the agency owns the building	

	<i>Name, location and type of building</i>	<i>Other Comment</i>
Information to be provided per building:	the Agency meeting premises, 299, Boulevard de Leeds – Lille	
Surface area (in square metres) Of which office space Of which non-office space	602,62 M ²	
Annual rent (in EUR)	EUR 108 052,36 HT/year r	
Type and duration of rental contract	Contract will end on 31/12/2023.	
Host country grant or support	No	
Present value of the building	If the agency owns the building	

	<i>Name, location and type of building</i>	<i>Other Comment</i>
Information to be provided per building:	Rental of 8 parking places from Espace International	
Surface area (in square metres) Of which office space Of which non-office space	8 parking places	
Annual rent (in EUR)	EUR 20 180,92 HT/year	
Type and duration of rental contract	Contract will end on 31/12/2023.	
Host country grant or support	No	
Present value of the building	If the agency owns the building	

5.1.2 Building project in the planning phase

Since it has not yet been possible to find any alternative and viable solution for the Agency, a new lease agreement for the current Lille premises has been signed. However, the Agency, with the support of the French Authorities, is still searching for possible new premises in Lille.

Annex VI: Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
	Not applicable	Not applicable

Draft 2.1

Annex VII: Risks 2018

[This information is not yet available and will be added in a later draft]

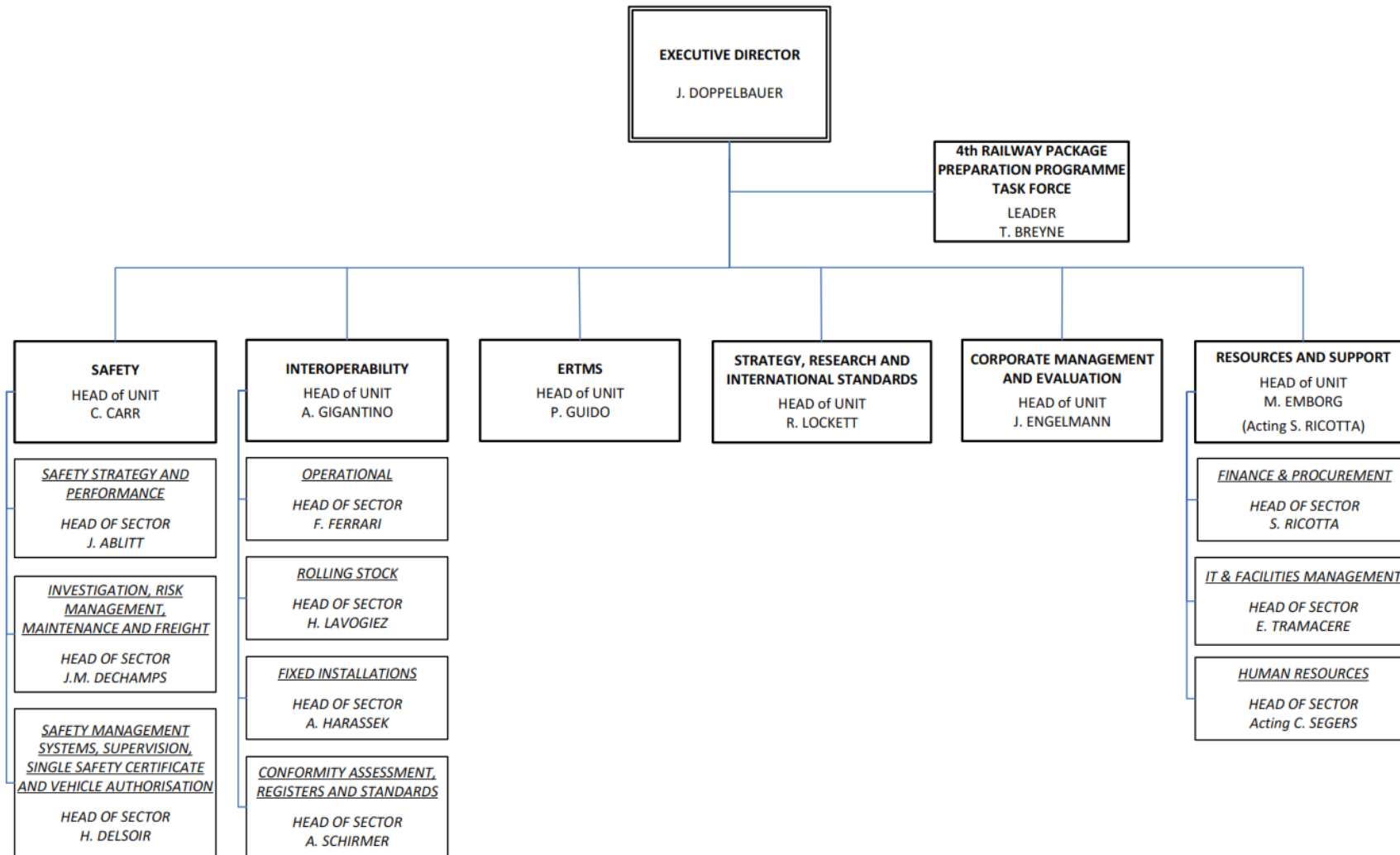
Draft 2.1

Annex VIII: Procurement plan 2018

[This information is not yet available and will be added in a later draft]

Draft 2.1

Annex IX: Organisation chart at 29.01.2016



ERA-Organisation Chart 29-01-2016

Annex X: Overview of objectives in 2018

<i>Activity 1</i>	<i>Activity 2</i>	<i>Activity 3</i>	<i>Activity 4</i>	<i>Activity 5</i>
Preparing for the Single Safety Certificate under the Fourth Railway Package	Preparing for Vehicle Authorisation under the Fourth Railway Package	Increasing the Agency's role in checking ERTMS projects compliance with the specifications, onboard and trackside	Preparing a One-Stop-Shop (OSS) for certification and authorisation under the Fourth Railway Package	Ensuring the coordination of the Fourth Railway Package implementation
Learning for better Safety	Removing technical barriers	Ensuring interoperable and stable ERTMS	Facilitating users' access to relevant data	Ensuring a prioritised portfolio of the Agency activities
Monitoring Safety performance	Removing operational barriers	Establishing and improving communication backbone for railways		
Improving Safety performance	Ensuring efficient and effective conformity assessment			Ensuring efficient and effective communication
Managing Maintenance risks				Ensuring the implementation of the Agency's Integrated Management System (IMS)
				Ensuring legality of Agency's activities
				Ensuring that railway related research and International Standards are aligned with SERA and ERA objectives
				Support to the dissemination and development of the EU acquis
				Ensuring sound management of the Agency's human and financial resources, ICT services and facilities

Annex XI: Agency strategy for international relations

Introduction

This strategy responds to the requirements of **Article 44 of the Agency regulation** (*“The Management Board shall adopt a strategy for relations with third countries or international organisations concerning matters for which the Agency is competent.”*). It is drafted taking account of and in consistency with the joint DG-MOVE Agency paper **“International relations in the area of rail”**.

Purpose and need

According to the WTO Technical Barriers to Trade agreement (TBT) Art 2.4, *“where technical regulations are required and relevant international standards exist or their completion is imminent, members shall use them, or the relevant parts of them, as a basis for their technical regulations except when such international standards or relevant parts would be an ineffective or inappropriate means for the fulfilment of the legitimate objectives pursued...”*. It is therefore necessary to determine **the optimal relationship between EU Technical Regulations, EU Standards and global standards for railway transport and to exercise respectively influence over the development of international standards** related to railway transport and railway technology.

A **global approach to legal frameworks, rules, standards and processes** is needed to make rail more cost effective, safer and more competitive.

There are opportunities to support the European Commission in rail related international initiatives including the **export of European best practices and the import of better practice from out of the EU** thereby helping European suppliers in the world market, improving the EU framework and generating opportunities for the Agency to promote further its experiences in the field of safety and interoperability including its experiences in training, railway related databases, authorisation of railway vehicles and certification of railway safety management systems to non-EU organisations. The **principle of reciprocity** will apply, requiring the recognition of EU authorisations and certifications by the non-EU partners in return for the recognition of certifications and authorisations issued by third countries in the EU.

Scope

The agency **is involved** in various categories of tasks in the area of international relations, including, but not limited to:

- › **assistance to the European Commission (EC)** by providing support in relation to non-EU entities (OSJD, OTIF, EU positions on Dangerous Goods in UNECE and OTIF RID, support to the European Neighbourhood Instrument Project, support to Accession Countries, assisting the EC in Trade Talks and Industrial Dialogue with non EU States (e.g. Japan, China);
- › **standardisation activities** - support to the EC Rail Standardisation Coordination Platform for Europe – RASCOP; relations with European Standardisation Bodies, relations with International Standardisation Bodies,
- › **coordination with supervisory authorities, international organisations and the administrations of third countries** in order to keep up with scientific and technical developments and to ensure promotion of the EU railways legislation and standards.

Therefore the current strategy covers:

- › All **relationships with non-EU entities**, where the Agency is acting in support of the European Commission or on matters for which the Agency is competent;
- › All Agency **relationships with and membership of standardisation entities (e.g.ETSI)**.

Vision

The EU rail sector will **gain competitiveness** by encouraging **worldwide convergence of standards to European Standards while importing better practice from worldwide where appropriate.**

This should lead to:

- › Significantly reduced costs and thereby to a more competitive rail sector within and outside EU;
- ›
- › larger and more open railway markets within and outside EU;
- ›
- › Strengthened support to the EC in the achievement of their following objectives:
 1. *Developing relations with third countries and relevant international organisations to facilitate smooth national and international rail transport operations;*
 2. *Fostering jobs, growth and investment in the rail sector;*
 3. *Allowing taxpayers and rail users to benefit from best value for money with regard to procurement of rail equipment and services;*
 4. *Directing infrastructure investment into rail projects in Europe that correspond to EU policy priorities and comply with EU rules;*
 5. *Creating the conditions for economic growth and integration in the EU neighbourhood by facilitating safe and interoperable railway transport and connecting people between EU and the neighbourhood as well as between the states of EU neighbourhood;*
 6. *Improving contribution of rail to inter-modal transport and attracting freight to rail transport from other transport modes.*

Specific objectives and actions

The specific objectives (SO) as well as the corresponding actions are displayed in the following table.

SO 1	To continuously support the EC in achieving its objectives in the field of international relations related to the rail sector.	1.1. Implement multi-lateral opportunities for convergence (Platform of Rail Agencies) 1.2. Implement bi-lateral opportunities for convergence 1.3. Clarify, “clean up” and disseminate a common understanding of the current EU framework for interoperability and safety outside EU (the “rules and tools” for a shared system) 1.4. exchange experiences in the field of trainings and databases in the field of railway safety and interoperability, vehicle authorisations and safety certification with non-EU entities 1.5 Support EU neighbourhood policy
SO 2	To support the convergence of railway rules and regulations (“Global Reference”) based on the EU legal framework and standards and foster interoperability beyond the EU	2.1. Support EC, on request, to use the defined “rules and tools” in the pursuit of trade negotiations, industrial dialogue and mutual (reciprocal) recognition
SO 3	To influence the development of international standards related to railway transport , while remaining open for importing best practices, where appropriate	3.1. Set up a policy and working arrangements governing the ERA relationship with the EU and International Standardisation Bodies 3.2. Become member of ETSI
SO 4	To ensure Agency internal coordination, as well as coordination with the EC for the international relations activities	4.1. Develop internal procedure for internal coordination and communication between the staff involved in the different activities related to international relations 4.2. Participate to the EC regular International Relations Liaison meetings
SO 5	To share knowledge of research needs, activities and outputs between the	5.1. Promote at worldwide level the EU and Agency activities in the field of research.

	Agency, the EC, Shift2Rail and non-EU entities	5.2. Identify common areas of interest in the field of research between the Agency and non-EU organisations 5.3. Promote the development of worldwide standards based on 5.1 and 5.2
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Estimated resources are:-

- * Assistance/Support to the EC: 178.400 € + 385 Mission Days (incl. preparation of the mission)
- * ERA sponsored Activities: 122.000 € + 415 Mission Days (incl. preparation of the mission)

Prioritisation between international activities in support of the European Commission prioritization will be carried out in full consultation with the EC.

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