



Annual Activity Report 2013

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European Railway Agency

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Table of Contents

Foreword by the Chairperson of the Administrative Board	7
A. Key Achievements of 2013 per strategic priority	12
Activity 1. Developing and promoting a common understanding of Safety Management Systems (SMS).....	15
1.1 Developing and promoting SMS overall principles.....	15
1.2 Developing and promoting CSM on Risk Assessment.....	16
1.3 Developing and promoting CSM on Monitoring.....	18
Activity 2. Developing and promoting harmonised principles for accident investigation bodies.....	19
2.1 Developing and promoting overall NIB principles	19
2.2 Promoting cooperation and providing assistance	19
Activity 3. Developing and promoting a harmonised safety regulatory framework	21
3.1 Developing and promoting overall principles for certification and regulation	21
3.2 Developing and promoting CSM on Conformity Assessment	21
3.3 Developing and promoting CSM on Supervision	22
3.4 Developing and promoting the ECM certification scheme	22
3.5 Coordinating the Accreditation framework	24
3.6 Promoting transparency and reduction of National Safety Rules	24
3.7 Joint Network Secretariat	25
3.8 The freight focus group.....	26
3.9 Harmonised EU action plans after serious accident and repetitive incidents	27
3.10 Promoting an integrated approach to the Transport of Dangerous Goods regulations	27
Activity 4. Monitoring of railway safety performance - processes and outcome...	29
4.1 Monitoring safety performance outcome	29
4.2 Monitoring NSA performance	30
4.3 Monitoring NIB performance.....	31
4.4 Monitoring of the progress of the migration to a Single Safety Certificate	31
4.5 Monitoring safety performance processes (other).....	33
4.6 Defining methods and assessing Common Safety Targets (CST).....	34
4.7 Evaluation of Directives transposition	34
Activity 5. Facilitation of Vehicle Authorisation.....	36
5.1 Promotion and monitoring of harmonised vehicle authorisation processes	36
5.2 Publication and classification of rules used for vehicle authorisation	37

5.3 Management of National Technical Rules	39
5.4 Monitoring of Member States' authorities granting vehicle authorisations (case studies).....	40
5.5 Development, promotion and dissemination of a harmonised European framework for the authorisation of railway vehicles	41
5.6 Tasks from Commission report on vehicle authorisation	42
Activity 6. ERTMS System Authority	45
6.1 Change Control Management and database of Change Requests	45
6.2 Support to the Commission as per art. 21(a).....	46
6.3 Verification and authorisation - evaluation survey	48
6.4 Support to ERTMS development, implementation and placing in service	48
6.5 Requirements for the railway communication system.....	49
6.6 Improved operation with ERTMS.....	49
Activity 7. Technical Specifications.....	51
7.1 TSIs revision and development	51
7.2 Collaboration with Notified Bodies (NoBos)	56
7.3 Collaboration with European Standardisation Organisations.....	56
7.4 Telematics Applications System Authority	56
Activity 8. Railway Staff	59
8.1 Certification of Train Drivers.....	59
8.2 Other on-board staff.....	59
8.3 Professional competences and health and safety	60
Activity 9. Shared Databases and Registers	61
9.1 ERADIS (ERA Database of Interoperability and Safety)	61
9.2 Reference Document Database.....	62
9.3 Database of National Safety and National Technical Rules	62
9.4 Registers for Interoperability	63
9.5 Safety performance and accident data	65
Activity 10. Monitoring Interoperability.....	66
10.1 Biennial report on interoperability	66
10.2 Evaluation of railway projects and of requests for TSI derogations.....	66
10.3 Notified Bodies – Notifications and efficiency.....	67
Activity 11. Economic Evaluation of Agency products.....	68
11.1 Developing and updating of the methodology	68
11.2 Defining needs and outcomes.....	69
11.3 Ex ante evaluations.....	70

11.4 Ex post evaluations	70
Activity 12. Support to Agency operations	72
12.1 Communication	72
12.2 Internal control and audit	73
12.3 Legal affairs	74
12.4 Human Resources	75
12.5 Finance, accounting and procurement	76
12.6 Information Technology.....	78
12.7 Facilities	79
Activity 13. Agency Management.....	81
13.1 Strategy and business planning.....	81
13.2 Stakeholder Management	82
13.3 Research and studies coordination	82
13.4 International relations management	83
13.5 Quality Management	85
13.6 Coordination of EU Agencies.....	86
B. Governance, Management and Internal Control Systems.....	86
Administrative Board	86
Summary of Board Decisions	88
Sub-Committee	88
Financial reporting	90
Revenue	90
Expenditure	90
Financial KPIs	90
Risk Management.....	91
Internal Control Standards	93
Compliance with Internal Control Standards	93
Materiality Criteria	94
C. Building Blocks Towards the Declaration of Assurance	96
Assessment by management	96
Data protection	98
Results from audits and evaluations during the reporting year	100
Audits European Court of Auditors (ECA)	100
Internal Audit Service (IAS).....	100
Audits Internal Audit Capability (IAC)	101
Follow up of reservations and action plans for audits from previous years	101

Follow up of observations from the discharge authority	102
Conclusions	103
D. Declaration of Assurance.....	104
Annexes.....	105
Annex I Statistics on financial management (provisional accounts)	105
Annex II Organisational chart	114
Annex III a Establishment plan	115
Annex III b Staff composition.....	116
Annex IV Human and financial resources by activity	122
Annex V a Composition of the Administrative Board 2009-2014*	125
Annex V b Composition of the Sub-Committee as of 31 January 2014	128
Annex VI Implementation of the roadmap on the follow-up to the Common Approach on EU decentralised Agencies	129
Glossary.....	136

Foreword by the Chairperson of the Administrative Board

This is a significant time in the Agency's development as the European railway authority for safety and interoperability, as envisaged by the Fourth Railway Package. With the Agency's 10th anniversary coming up in 2014 Marcel Verslype, the Agency's founding Executive Director, has achieved much to facilitate a common European approach in 2013. This will help ensure the eventual delivery of a cost-effective Single European Railway Area. But Mr Verslype's term of office finishes at the end of the year and, notwithstanding his Herculean achievements, there is yet more to be done. The European railway sector remains hampered by technical and administrative barriers. A more affordable, reliable and seamless European railway area will require these cumbersome and often discriminatory obstacles to be overcome.

Delivery will place extra demands on the Agency for which adequate and efficiently managed competences and resources will be needed. The Agency has major new responsibilities in prospect: if it is to meet the expectations placed on it by the EU institutions the budgetary authorities must reflect this in future budget provisions. Only then – and with the understanding and active support of the sector's stakeholders – will the Agency emerge as the truly European Railway Authority of the sort foreseen by the architects of the Fourth Railway Package.

While the new ERA Regulation and the recast of Directive 2008/57/EC (Railway Interoperability Directive) and Directive 2004/49/EC (Railway Safety Directive) will assist it in its new tasks, the efficient internal organisation of the Agency is of continuing importance. This is the bread-and-butter work of the existing Administrative Board and of its sub-committee on financial, budgetary and staff-related issues. This sub-committee can be seen as the fore-runner of the Executive Board anticipated by the new ERA Regulation.

During the course of 2013 the Agency's Administrative Board made good progress on a number of key initiatives. First, consistent with the positions adopted by Hinne Groot and me at the time of our election to the vice-chair and chair respectively of the Administrative Board in November 2012, the Board adopted a communication and dissemination strategy. This reflected our joint desire to ensure that the wider railway sector, particularly those represented in the Group of Representative Bodies as well as the national safety authorities, are closely involved in its development. The intention was that the external visibility of the Agency should be magnified and that dissemination and communication should form an integral part of the Agency's Work Programme 2014.

This focus on effective and participatory dissemination and communication was also reflected in the Agency's commitment to some of the special stakeholder events convened during the course of the year. These included a conference on ERTMS that provided a meeting ground with railway organisations, vendors and users in order to establish ERTMS requirements and ensure a smooth transition from the present era to the future as well as inclusive workshops to help prepare the Agency's Multi-Annual Plan 2014-2017 and its Work Programme 2014.

Both the eventual Multi-Annual Plan and the annual Work Programme elicited a strongly positive response from member states' representatives in the Administrative Board members and stakeholders. It was clear that many stakeholders appreciated wider engagement in the preparation process. But it was also apparent that the Administrative Board needs to ensure that in future exercises there is sufficient time for effective consultation within member states and stakeholder networks – a point reinforced by the value of the contributions received in the context of preparing the Work Programme 2014. In the annual Work Programme, the management team were able to build effectively on progress made by the Agency, following the firm encouragement of the sub-committee, in developing activity-based budgeting and impact appraisal techniques. The next phase of work planning should reflect the integration of robust key performance indicators.

Scrutiny of the Agency's internal management and control processes was maintained throughout the year. The sub-committee paid particular attention to the reports of the Court of Auditors and to the conclusions of the European Parliament's Budget Control Committee. The Administrative Board was reassured by the year-on-year progress made by the Agency's management team, noting a small number of outstanding issues. The question of carry-over was the most vexed: members expressed continuing concern about historic structural imbalances in the apportionment of funds between different budget titles but noted that procedural improvements were thought possible following revision of EU rules concerning financial and human resources.

One improvement in the arrangements deriving from those rules is of special note. For some time members of the Administrative Board had expressed growing concern that the Agency's business continuity was being jeopardised by the way in which it was being obliged to apply EU rules relating to the use and engagement of temporary agents. This was also a matter of concern to the staff and the cause of significant personal hardship. It was therefore with particular satisfaction that we were advised that the Commission had reviewed the interpretation of the rules. The effect was to enable a much-needed degree of flexibility in the duration of staff contracts and their renewal. This safeguards the intellectual assets being built up for the sector by the Agency.

Another issue of particular note was the concern of members of the Administrative Board arising from an instance where the Commission had required the Agency to undertake unscheduled additional tasks without the provision of concomitant additional funding. Whilst acknowledging the budgetary pressures facing all the EU institutions and the right of the Commission under the ERA Regulation to require additional assistance from the Agency, members were concerned that such un-resourced requirements should not impact on the delivery of work anticipated in the relevant Work Programme, itself the subject of careful deliberation. Following a robust exchange the Commission acquiesced that, in general terms, additional funds should be made available when additional tasks are requested. It is to the credit to the relationship between the Administrative Board, the Agency's direction team and to those responsible within the Commission that such matters can be debated without undermining the collaborative good-will of all concerned.

In conclusion I would like to express thanks to my colleagues on the Administrative Board and particularly to members of the sub-committee, the Executive Director and his direction team and the Board secretariat, for their collective commitment to the success of the Agency and the effectiveness of the Administrative Board itself. This reflects the willingness of many of those involved to commit significant extra time and energy to the Agency's business.

Christopher Irwin

Chairperson of the Administrative Board

Introduction

Our objective and role

The Agency's **core objective and role** is strictly defined in Article 1 of Regulation (EC) No 881/2004 as amended by Regulation No 1335/2008. It is:

'To contribute, on technical matters, to the implementation of the Community legislation aimed at improving the competitive position of the railway sector by enhancing the level of interoperability of railway systems and at developing a common approach to safety on the European railway system, in order to contribute to creating a European railway area without frontiers and guaranteeing a high level of safety.'

This is reflected in our vision and mission statements.

Our vision

We contribute to the creation of an integrated European railway area where Railway Undertakings can run trains and organise their transport services freely, safely, effectively, and without interruption, where Manufacturers, Railway Undertakings and Infrastructure Managers can benefit from an internal market for equipment and services, ensuring an economically sustainable railway sector. The objective is to allow the rail transport sector to realise its inherent competitive advantages in relation to other transport modes.

Our mission

The Agency's mission is – expressed in short words and in a simply manner -- to make the railway system work better for society.

Our strategic priorities (expected outcomes)

The achievement of the mission can be expressed by the achievement of the **four strategic priorities of the Agency**.

These priorities are to shape the base in the European Union for

1. a Harmonised Safety Regulatory Framework for Railway Undertakings
2. a Simplified Vehicle Authorisation
3. a Single European Train Control System (ERTMS)
4. better meeting European customer's needs

In addition, an Agency's objective is to support the European Commission in its promotion for the creation of an EU external market for the provision of railway equipment and services.

The Agency strives to achieve these objectives by its activities and the products delivered within them.

Agency activities

To achieve this, we prepare new and updated legislative acts for adoption by the European Commission ('the Commission'), after a positive opinion from the Railway Interoperability and Safety Committee of Member States ⁽¹⁾ (the RISC Committee), and give other technical support to the Commission.

This work can be grouped according to three logic components that form the basis for controlling any system:

- Development (setting the standards for the desired state of the system)
- Monitoring (knowing the actual state of the system)
- Facilitation (managing the change from the actual to the desired state)

Reflecting this logic, the Agency's work can be grouped into its **generic activities**:

⁽¹⁾ Established by Article 21 of Directive 96/48/EC.

- Developing, promoting and monitoring harmonised approaches towards risk control across its different stakeholders;
- Developing, promoting and monitoring the interoperability of the European rail system by developing conditions for the free and uninterrupted movement of trains through technical and operational harmonisation, including conditions for the mutual acceptance of railway vehicles;
- Facilitating the exchange of information within the railway sector by networking with railway actors, providing registers and databases, issuing reports and giving guidance on the implementation of the regulatory framework;
- Evaluating *ex-ante* and *ex-post* the impact on the railway system of the intended and implemented Agency's activities;
- Supporting the progressive creation of an internal and EU external market for the provision of railway equipment and services.

To better describe the substance of the work carried out to achieve our objective, this generic framework is summarised in our **13 activities** (the Agency's Activity Based Structure):

1. Developing and promoting a common understanding of Safety Management Systems (SMS)
2. Developing and promoting harmonised principles for accident investigation bodies
3. Developing and promoting a harmonised safety regulatory framework
4. Monitoring of railway safety performance - processes and outcome
5. Facilitation of Vehicle Authorisation
6. ERTMS System Authority
7. Technical Specifications
8. Railway Staff
9. Shared Databases and registers
10. Monitoring Interoperability
11. Economic Evaluation of Agency products
12. Support to Agency operations
13. Agency Management

Agency outputs

Within these tasks and activities, the Agency provides its products (outputs):

- The Agency carries out the Management of Specifications. This takes the form of recommendations for secondary European legislation such as Technical Specifications for Interoperability (TSIs), including ERTMS, or Common Safety Methods (CSM) /or the ongoing maintenance of these specifications (e.g. closing of open points). The Agency normally produces application guidance to accompany the formal text.
- The Agency has a constantly growing role in Dissemination and Training. The scope of this product covers both the broad European legal framework of the Interoperability, Train Drivers and Safety Directives and the specific texts produced by the Agency.
- The Agency has a key role as Facilitator and Coordinator. It is a neutral venue and “the only place where all the railway actors meet”. In this context it is the ideal forum for development of the understanding of common problems affecting the competitiveness of the railway sector and the building of consensus solutions and a common understanding of priorities.
- The Agency provides Assistance to the Commission and Member States in the development, implementation, and monitoring of the framework put in place by the Interoperability, Safety and Train Drivers directives
- The Agency also delivers Impact Assessments and Economic Evaluation for each of its recommendations and applies and enforces the principle of pre-assessment of task requests to establish a joint understanding of the effectiveness of the intended measures and the administrative burdens they may generate.
- The Agency is charged with the Development and Management of Databases and Registers related to railway Interoperability and Safety and mainly destined for use by all railway actors. These include such things as the register of vehicle types, the reference document of national rules used for vehicle authorisation and the databases of safety certificates and authorizations. The Agency also provides support and advice to the Commission in respect of the databases of notified national rules managed by the Commission.
- Finally, as an independent and neutral body of expertise, the Agency may be called upon to Compile Reports and Provide Opinions upon matters within its competence such as national technical or safety rules and refusals by National Safety Authorities to authorise placing railway sub-systems or vehicles in service or proposals for new measures to manage dangerous goods.

These products (= outputs of the activities and projects) can be found in the Agency’s activities to a different extent and amount, depending on the progress already achieved in each activity in the “life cycle” of the system control.

A. Key Achievements of 2013 per strategic priority

- **Strategic objective “Single Safety Certificate”:**

In regards to the legislative programme initiated by the directives of 2004 and 2008 and completed in 2012 (development phase), the Agency proceeded further in follow-up activities, modifications of the texts and dissemination activities to have the system working. Monitoring of “where the system is” has been undertaken to identify the progress made.

The Joint Network Secretariat (established in 2012), continued to act as a tool for the Agency to evaluate the effectiveness and practical implementation of these measures together with the stakeholders, to identify the most critical safety issues.

In June 2013, the Member States have accepted the principle of having a dedicated Task Force under the RISC auspices for facilitating the advent of a Single Safety Certificate Regime. In 2014 and onwards, this task force should be promoting and paving the path towards the Single Safety Certificate in driving and monitoring the developments of the necessary legislative revisions.

The need for a migration to a Single Safety Certificate for Railway Undertakings has been reinforced in the RSD recast proposal as part of the 4th Railway Package. This RISC Task Force for Single Safety Certificate is working in this direction.

- **Strategic objective “Simplified Vehicle Authorisation”:**

2013 has been a key year for making transparent and simplifying the processes and rules used for authorizing railway vehicles and subsystems.

By the end of 2013 all Member States with the exception of France, Germany, The Netherlands, Italy, Poland and the UK had published their National Legal Frameworks for vehicle authorisation (NLF) on the Agency Website. These NLF document the authorisation process applied in the respective Member State using a common template in form of a flow chart based on the Directives and Commission Recommendation 2011/217/EC (known as DV29). This makes the process for future authorisations much more transparent than it has been in the past and brings the Member States much closer to a common implementation of the directives which facilitates mutual recognition. It also enables Member States, facilitated by the Agency, to identify and hopefully rectify diversities of approach and non-conformities with the European framework.

To pave the way for the future, the Agency has now completed the drafting of almost all the Technical Specifications for Interoperability (TSIs) applicable to the entire EU railway network including the 1520mm network in the Baltic States. Most of the critical open points in the TSIs have been closed at this occasion. The respective Agency Recommendations have been submitted to the Commission.

This reduces the needs to prove simultaneously conformity with TSIs and national rules except for cases where national rules remain applicable (e.g. existing non TSI conform vehicles to be authorized in another country or vehicles to be operated on non TSI conform networks). The “Reference Document Database”(RDD) cross referencing National Rules for vehicle authorisation and their equivalencies came into use in 2013 and facilitates further the mutual recognition of national rules. So far by the end of 2013 Sweden, Finland, Norway, Greece, Hungary, Portugal, Slovak Republic had formally published their National Rules for vehicle authorisation in the RDD and taken responsibility for keeping it up to date. Belgium, Netherlands Luxembourg, Spain, France, Italy (and also Switzerland) are expected to publish their NRD in the RDD in the first quarter of 2014

Nevertheless although the legal framework necessary for the efficient operation of the shared railway system, including the opening of the internal market in equipment and services for the construction, renewal, upgrading and operation of the rail system is now in place at European level, in practice, the Railway Undertakings and their suppliers still face numerous problems and obstacles to competitiveness, arising from the following causes:

- The European framework being interpreted and implemented differently in each Member State
- The existing national regimes not being removed and replaced by the European framework but being allowed to remain as overlays or operating in parallel with the European framework. This often leads to confusion over roles and responsibilities and duplication of rules, checks and verifications;

- The responsible actors are not actually fully applying or fully conforming to the rules.

These problems of transition primarily arise from the need to restructure rules, roles and responsibilities to take account of the migration from a single “closed” system managed by one entity to a regime more like that of the aviation and road sectors where the system is “shared”. Such systems are managed by many actors, each responsible for their part of the system according to rules, roles and responsibilities laid down by EU law, and implemented by national law.

During 2013 to further clarify these roles and responsibilities and the common authorisation process, following several drafts and three workshops an updated Recommendation (known as DV29bis) was drafted by the Commission and the Agency and will be submitted to the RISC of June 2014.

- **Strategic objective “Single European Train Control System”:**

With the delivery of the ETCS Baseline 3 in 2012, the focus in the ERTMS field moved to the follow-up of the development, testing and implementations, with targeted dissemination and monitoring activities to favour harmonized application of the standard system, with dedicated attention to early implementations to ensure timely examination of the return of experience.

Those activities are in line with the new Memorandum of Understanding on ERTMS signed in April 2012 by the Commission, the Agency and the Sector Organizations spells out the priorities and respective commitments to progress successfully with the deployment of the system, entrusting a significant role to the Agency.

The harmonization of the specifications cannot bear fruit without a common approach to the verification and authorization processes: in this respect specific activities with the Notified Bodies and co-operation with NSAs have been progressively strengthened. In the field of railways communication, the Agency has started to define the roadmap to enable ETCS communications on packet-switched radio technologies, and to consolidate the requirements for the evolution of voice radio in view of the planned GSM-R life expectancy. With the help of the sector, the Agency developed guidelines to simplify and standardise the engineering, and to support harmonized operations with the ERTMS system.

The cooperation with the TEN-T Executive Agency in evaluating specific ERTMS projects has been pursued and strengthened in the limits of the available resources, with the aim to help ensuring that ERTMS projects receiving EU money are in conformity with the essential requirements and indeed contribute to the progressive deployment of a single harmonized system.

- **Strategic objective “Meeting EU customers’ needs”**

Several TSIs are addressing issues related to railway customers:

- For passengers, the TAP TSI regulation linked to the Art.10 of the Passenger rights regulation is addressed to Railway Undertakings, Infrastructure Managers and Ticket Vendors and aims at harmonizing the exchange of information between actors. The text has been completed by the recommendation of Phase 1 of Chapter 7 (IT specs, Governance, Master Plan and retail architecture). The recommendation has been submitted end of 2012 and has been voted early 2013. Further work is needed to close the open point on electronic ticketing, which makes the purchase of tickets across borders easier.
- For freight, the revision of TAF TSI (to extend its scope to the entire network) has been completed. The draft Decision is expected to be submitted to RISC in spring 2014.

In order to establish the Agency as the “Telematics Applications System Authority” our task is to keep ongoing the WPs in CCM both for TAP and TAF. The task in 2013 consisted in guiding, supporting and advising the rail sector and MSs when implementing the telematics TSIs. In this work ERA continues taking part in the Steering Committee works both in TAP and TAF and in addition observes, advises and monitors the work done in MSs and among other rail actors; main task is to guarantee that everything is done in line with legislation and all the actors are involved into it including the small and medium sized companies.

In a multimodal context ERA has to guarantee that all the actions taken do not make additional obstacles for multimodal environment.

To fulfil these tasks there is a big need for meetings both on EC level and also mutual meetings with MSs and railway actors.

Access to railways by all potential customers has been addressed in the context of the revision of the PRM TSI., Following the conclusion by the EU of the UN Convention on the Rights of Persons with Disabilities, the EU is required to take appropriate measures to ensure to persons with disabilities access, on an equal basis with others, including to transportation. These measures must include the identification and elimination of obstacles and barriers to accessibility.

Getting information about the detailed level of accessibility offered by stations and rolling stock has been identified as a benefit for PRMs and people with disabilities. Such information is to be collected by stakeholders through inventories of assets, and made available to passengers (“how” is to be defined). . In 2013, a dedicated ERA working party started identifying the format of such a tool and clarifying the exact information required from stakeholders. This work will continue in 2014.

The detailed achievements of the different outputs in the different Agency’s activities are presented in the following chapters.

Activity 1. Developing and promoting a common understanding of Safety Management Systems (SMS)

The concept of SMS is a key element in the legislative framework to improve the safety performance in an open railway market, as set out by Directive 2004/49/EC (RSD). There is clear evidence that, three to four years after the RSD should have been implemented, different RUs and IMs are still failing to grasp the basic concepts of a good working SMS, showing different levels of understanding and application of its requirements. A prime activity for the Agency is therefore to continue the development on the understanding of the basic concepts, elements and processes that are part of an adequate SMS within the railway sector, continuously taking into account the evolving knowledge on this topic in science and relevant other safety related sectors, and to promote this common understanding throughout Europe. The Agency aims to contribute to a better understanding by all stakeholders on the functioning of an adequate safety management system and how this can help to give assurance that the risks related to operating the railway are under control. In recognition of the vital role of humans in achieving the safe transport of goods and people on the European Railways, the Agency continued to develop a common approach to integrate human factors into some of its work streams.

1.1 Developing and promoting SMS overall principles

The SMS Application Guide and the web application developed in 2012 aimed at providing a knowledge building basis to be used by RUs/IMs to design and implement their SMS in conformity with aforementioned requirements of the Directive 2004/49/EC, based on the best practices adopted in the railway sector and in other high reliability industries, also allowing the integration with other management systems. It has been gradually complemented with papers on safety culture and human factors. Before going further in the development of this guideline by developing other papers on e.g. SMS Maturity and Monitoring of SMS, the Agency focused in 2013 mainly on the dissemination of the already available information by organizing 10 workshops covering SMS, ECMs and the CSMs. The Agency also analysed some of its work stream, e.g. on the CSM on risk assessment how human factor should be integrated. Those workshops were found important and responding to the needs by the railway industry as the attendance per workshop was between 60 and 120 persons and returns are positive.

This analysis revealed to be more complex than expected because of a relative lack of expertise and experience regarding Human Factors. The Agency considered that the raising of expertise of its own staff is necessary before going further. To achieve this, the Agency decided to concentrate in 2014 on two areas: maintenance staff and operational staff other than drivers.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Update of SMS guidelines depending on return of experience and needs expressed by stakeholders	Agency Regulation Art. 6, Directive 2004/49/EC Art. 6	End 2013	No No specific update has been considered as useful. The Agency preferred to concentrate on the dissemination workshops and to add several documents to the web application.
Combined workshops in Member States (SMS, ECM and CSMs) within overall dissemination concept	Agency Regulation Art. 6, Directive 2004/49/EC Art. 6	Ongoing	Yes 10 workshops were organised. Each of them covered at least 3 of the 4 subjects, mainly ECM certification CSM on

			Risk assessment and CSM on monitoring.
IT-Service (Web-SMS): incorporation of CSM processes	Agency Regulation Art. 6, Directive 2004/49/EC Art. 6	End 2013	Partially The project of integrating elements of guidelines of CSM on risk assessment and CSM on monitoring has been started and will be finalised in 2014.
Report on the integration of human factor within specific work stream like the CSM on RA	Agency Regulation Art. 6, Directive 2004/49/EC Art. 6	End 2013	Yes The Agency developed in collaboration with a consultant a systematic approach to identify human functions. The Agency has started the integration of human factors in the scope of maintenance of vehicles (collaboration with the freight focus group) and other staff than drivers.

1.2 Developing and promoting CSM on Risk Assessment

The Agency revised CSM and its guidelines vs. results of further developments on Assessment Bodies (AB), and organises additional dissemination workshops, as integrated part of the dissemination of the SMS principles, to help the sector in applying the CSM. This enabled the Agency to collect from stakeholders their experience and difficulties with the application of CSM on risk assessment. In addition the Agency strongly supported the EU Commission by addressing the last comments and developing the last minute amendments to the revised regulation on CSM on risk assessment for getting the favourable opinion of the RISC beginning 2013. The revised Regulation referenced as 402/2013/EU has been adopted and published in the first semester of 2013. Moreover the Agency made a lot of efforts to support OTIF in the revision of the PTU risk assessment in order to have this revised PTU in force in the same time as the Regulation 402/2013/EU.

The work performed by the Agency in 2012 on the Risk Acceptance Criteria did not allow the Agency to recommend any figures to be applied for the technical functions to the EC as part of the revision of regulation 352/2009/EC and has demonstrated that more time is needed for all the stakeholders to propose and validate these. In 2013, the Agency made a technical note proposing a way forward with this development which should lead in 2014 to some agreed figures. The Agency organized several presentations in the relevant networks: NSA Network and Network of Representative Bodies and one workshop in June 2013 with several NSAs and the Representative Bodies. The Agency had also several meetings with CER, EIM and UNIFE to progress in the delivery of validation elements justifying the RAC figures proposed. A second workshop has been organized in January 2013 where the Agency hopes to get validation elements and a common view between stakeholders and NSAs sufficient to be able to develop a recommendation for revising the CSM on risk assessment.

In addition, the project of adapting the ERADIS database has been started. To reduce IT development, the Agency decided to re-use the ECM module of ERADIS as this module proved to be successful to record 32 certification bodies and more than 350 certificates of ECM and certificates of maintenance workshops in one year.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Technical note on a way to proceed for RAC for technical systems	Directive 2004/49/EC Art. 6	May 2013	Yes This note was delivered in January 2013. It contains a set of RAC figures for technical systems.
Updated guidance documents following return of experience and needs expressed by stakeholders	Directive 2004/49/EC Art. 6, Regulation 352/2009 Art. 9	End 2013	Yes The Agency concentrated in the development of examples and dissemination materials to be used in dissemination workshops. Those materials validated through dissemination workshops will be used in 2014 to update the formal guidance documents.
Combined workshops in Member States (SMS, ECM and CSMs) within overall dissemination concept	Directive 2004/49/EC Art. 6	Ongoing	Yes See section 1.1. In addition the Agency participated to several meetings or conferences organized by representative bodies and NSAs where the Agency could get some elements regarding the implementation of the CSM on risk assessment.
Assessment Bodies module in ERADIS	Directive 2004/49/EC Art. 6	End 2013	Partially After the success of the module ECM, it has been decided to re-use this module for registering the assessment bodies. That reduces the necessary IT

			developments. ERADIS will be ready in 2014 largely before the end of the transitional period of Regulation 402/2013
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1.3 Developing and promoting CSM on Monitoring

As an integrated part of the dissemination of the SMS principles, the Agency started the dissemination of the CSM on monitoring.

A better understanding of how CSM for monitoring was applied and thus increased the experience/competence use of a common and harmonised method for monitoring, increasing mutual trust and facilitating the mutual recognition of the safety management system. This was an important building block in achieving fulfilment of the preconditions for migration towards a single safety certificate.

To support the implementation of the CSM on monitoring the Agency developed several examples that were used in the dissemination workshops and that will be included in the specific guidelines that should be published by beginning of 2014. These guidelines are also to be introduced in the web application on SMS mentioned in section 1.1 of this document.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Combined workshops in Member States (SMS, ECM and CSMs) within overall dissemination concept	Directive 2004/49/EC Art. 6	Ongoing	Yes See section 1.1

Activity 2. Developing and promoting harmonised principles for accident investigation bodies

Article 1 (Purpose), (23) to (25) and Article 19 - 25 of the Railway Safety Directive (RSD) require national accident investigation bodies (NIB) to be established, to investigate serious accidents (and accidents that under different circumstances might have led to serious accidents), and to make recommendations where appropriate in order to maintain or improve European railway safety. The ultimate objective of these investigations is the improvement of railway safety and the prevention of accidents.

2.1 Developing and promoting overall NIB principles

Working closely with the NIBs, and covering the scope of accident investigation as laid down in the RSD, the Agency is facilitating a Task Force on NIB independence. In co-operation with the network of NIBs, the Agency also continued to develop modules for the training of accident investigators in Europe and also has delivered several training sessions.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
TF to assess threats for NIB independence	Directive 2004/49/EC Art. 21, Agency Regulation Art. 6	3 meetings organised	Yes Development of a draft risk matrix related to independence; survey carried out
1 training sessions for accident investigators	Directive 2004/49/EC Art. 21, Agency Regulation Art. 6	tbd	Yes 2 training sessions delivered on request of NIBs
List of HF experts in participating MS established to support NIB in investigations	Directive 2004/49/EC Art. 21, Agency Regulation Art. 6	Ongoing update	Yes Preliminary list of HF experts made available to participating NIBs
Actions stemming from contact with RailPol	Directive 2004/49/EC Art. 21, Agency Regulation Art. 6	Ongoing	Yes Progress in the member states on agreements between police authorities and the NIBs has been monitored

2.2 Promoting cooperation and providing assistance

The Agency carries on organising the Network of NIBs to coordinate and promote the participation of the NIBs in the tasks of Project 2.1. This involves workshops with the NIBs on dedicated topics, the organisation of the NIB Network, its work program and its meetings, including joint meeting with the NSA network where appropriate, and providing assistance to the NIBs upon request. The Agency also facilitates the exchange of experience between NSA and NIB on how they integrate the human factors within their work.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
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<p>3 NIB network plenary meetings; workshops and seminars on specific topics; Human factor network</p>	<p>Directive 2004/49/EC Art. 21, Agency Regulation Art. 6</p>	<p>Plenary meetings</p>	<p>Yes Sharing of experience and best practice by convening</p> <ul style="list-style-type: none"> • 3 plenary meetings • 3 HF network meetings <p>1 Human Factors seminar</p>
<p>Participation in NIBs language groups</p>	<p>Directive 2004/49/EC Art. 21, Agency Regulation Art. 6</p>	<p>Ongoing</p>	<p>Yes Participation in and contribution to the Nordic and Central-European regional NIB groups</p>

Activity 3. Developing and promoting a harmonised safety regulatory framework

The implementation by member states of the safety regulatory framework as set out by the Railway Safety Directive is still very diverse. By this activity, the Agency aims at harmonising the implementation of this regulatory framework in order to improve safety in an open European railway market, also taking into account neighbouring countries.

3.1 Developing and promoting overall principles for certification and regulation

The Agency continued organising the Network of NSAs to coordinate and harmonise the different levels of performance among the NSAs, by facilitating the harmonisation of NSAs decision-making criteria and processes as described in article 16 of the Safety Directive. The issue of the “ownership” of the Network has been addressed so that NSAs feel responsible for a tool which allows them to discuss matters corresponding to their interests and needs. The Agency has made it clear that a stronger contribution from NSAs was essential. It was possible to verify significant progress in the maturity of the Network during 2013. This progress should allow a clearer vision on the objectives of the Network and the optimisation of working methods in the future.

In addition, a dedicated task force of NSAs (refer also to projects 3.2 and 3.3) provided a forum for NSAs to exchange on, learn from and promote best practices, propose solutions to overcome issues related to assessment and supervision or use of CSMs notified by NSAs, facilitate and promote harmonisation of the NSAs decision-making criteria and processes as described in article 16 of the Safety Directive. The work of this task force resulted in guidance documents for NSAs, respectively on a common approach to supervision of railway undertakings operating in more than one Member State and on issuing a safety certificate or safety authorisation.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
TF Assessment & Supervision to evaluate potential harmonisation of NSA processes	Directive 2004/49/EC Art. 6	4 meetings	Yes 2 meetings (following decision made by NSA representatives) 2 guidance documents Work programme for the harmonisation of NSA processes
Combined workshops in Member States within overall dissemination concept (SMS and CSM)	Directive 2004/49/EC Art. 17, Agency Regulation Art. 6	Ongoing	Yes 2 workshops (Hungary and Slovenia)
4 NSA network plenary meetings; workshops and seminars on specific topics	Directive 2004/49/EC Art. 17, Agency Regulation Art. 6	4 plenary meetings	Yes Sharing of experience and best practice by convening • 4 plenary meetings, • 1 extraordinary plenary meeting, 2 workshops

3.2 Developing and promoting CSM on Conformity Assessment

The Common Safety Methods on Conformity assessment (CSM CA) provided a harmonised framework for NSAs to assess the SMS of RUs and IMs prior to the award of a safety certificate/authorisation and the basic principles for NSA supervision of safety performance after the award of the certificate/authorisation, which was developed further in the CSM on Supervision. It also established the hierarchical relationship between part A and part B safety certificates and fixed an NSA approach to awarding part B certificates. Information on the CSM on supervision was integrated in the dissemination workshops (run in combination with dissemination on SMS, ECM certification and other CSMs).

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Combined workshops in Member States within overall dissemination concept (SMS and CSM)	Directive 2004/49/EC Art. 17, Agency Regulation Art. 6	Ongoing	Yes 2 workshops (Hungary and Slovenia)
TF Assessment & Supervision to evaluate potential harmonisation of NSA processes	Directive 2004/49/EC Art. 6	4 meetings	Yes 2 meetings (following decision made by NSA representatives) 2 guidance documents Work programme for the harmonisation of NSA processes

3.3 Developing and promoting CSM on Supervision

The Common Safety Methods on Supervision (CSM SU) provided a harmonised framework to be used by the NSAs for overseeing the delivery of safe operations by RUs and IMs and the efficiency of their SMS. The tasks of the Agency for this project have been integrated with the project 3.2 and mainly consisted in conducting a series of dissemination workshops (run in combination with dissemination on SMS, ECM certification and other CSMs) and in harmonising further the NSA approaches with the related task force (see project 3.1).

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Combined workshops in Member States within overall dissemination concept (SMS and CSM)	Directive 2004/49/EC Art. 17, Agency Regulation Art. 6	Ongoing	Yes 2 workshops (Hungary and Slovenia)
TF Assessment & Supervision to evaluate potential harmonisation of NSA processes	Directive 2004/49/EC Art. 6	4 meetings	Yes 2 meetings (following decision made by NSA representatives) 2 guidance documents Work programme for the harmonisation of NSA processes

3.4 Developing and promoting the ECM certification scheme

As an integrated part of the dissemination of the SMS principles the Agency organised dissemination workshops on ECM as well as cooperation between certification bodies, in line with Regulation 445/2011 Art. 6. This provided inputs for preparing the revision of the Regulation 445/2011 and the subsequent accreditation and certification schemes.

Gradually all the MS put in place the structure to get certification bodies, accredited, recognized or NSAs acting as certification bodies. The cooperation is today opened to 32 certification bodies in EU and in Switzerland. In 2014, the cooperation may be opened to the third countries of OTIF having implemented the ATMF annex A as a result of the cooperation agreement signed in 2013 by the DG MOVE, the Agency and OTIF.

The cooperation met 3 times in 2013. The main work was to clarify a number of aspects related to the Regulation 445/2011 to the certification bodies. In addition two task forces were finalized and produced guidance documents on the gaps between the ECM certification and other certifications and clarification on the concepts of release to service and return to operation. Those guidelines will be published in 2014.

A main concern remains: Allocation of responsibilities between the ECMs, keepers and RUs. The Agency answered in a new version of the ECM guidelines that was published in September 2013 and through the dissemination workshops. In addition OTIF set up a working group for the revision of the CUV appendix of the COTIF to fix the contractual rights and obligations of ECMs, keepers and RUS. The Agency participates actively with the DG MOVE to this working group.

Finally the ECM module of ERADIS is a success. In 2013, 32 certification bodies are registered with more than 350 certificates of ECMs and maintenance workshops.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Updated guidance documents following return of experience and needs expressed by stakeholders	Directive 2004/49/EC Art. 14a, Regulation 445/2011	Ongoing	Yes A new version of the ECM guidelines was published on the Agency's website in September 2013.
Combined workshops in Member States (SMS, ECM and CSMs) within overall dissemination concept	Directive 2004/49/EC Art. 14a, Regulation 445/2011		Yes See section 1.1. The dissemination of ECM certification through workshops in Member States started in 2012. End of 2013, the Agency considers that the whole EU has been covered. In addition the Agency organised a seminar in Lille on 21 November where the stakeholders and NSAs were invited to share their experience.
Harmonisation of the ECM certification process; cooperation of certification bodies	Directive 2004/49/EC Art. 14a, Regulation 445/2011	Ongoing	Yes 3 plenary meetings and 2 Task forces were organised. The cooperation covers today 32 certification bodies from EU and Switzerland.

3.5 Coordinating the Accreditation framework

The Agency organised dissemination activities addressed to the National Accreditation Bodies on the specificities of the railway environment including the legal aspects. This included training seminars, guidance documents and support to European cooperation on Accreditation (EA) to ensure the right railway knowledge for their members.

The above resulted in the implementation of new/revised legal rules with better performance (quicker, avoid national divergence and therefore endless discussions), and additional information related to the implementation of EU legal rules facilitating monitoring of implementation and revision activities and credibility through common way of managing activities.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Review of training material	Directive 2004/49/EC Art. 14a, Regulation 445/2011 & 352/2001	Ongoing - Development in 2014 regarding the CSM on risk assessment.	Partially

3.6 Promoting transparency and reduction of National Safety Rules

The Agency continued to support the Commission and MS in their efforts to improve both transparency and gradual reduction of National Safety Rules. In particular, the Agency implemented the action plan identified in the final report of the RISC Task Force on National Safety Rules. In particular this entailed launching a dissemination campaign. The Rule Management Tool developed by the Task Force constitutes a basis for identifying and evaluating the rules. A Working Party will be set up in 2014 in order to maintain and to further develop the common use of the rule management tool.

In 2013 the Agency carried out dissemination workshops in Hungary, Austria, Portugal and Denmark. This included customized information and dialogues, evaluation of the system of National Safety Rules and identification of specific priorities in each visited Member State. Additionally, a number of Member States held preparatory meetings or entered into dialogues with the Agency in order to have full dissemination workshops at a later stage.

Early identification of draft rules was considered as a cornerstone for improving the transparency and to prevent at an early stage the adoption of rules which were not in line with the EU legislative framework. The evaluation/pre-evaluation of notified National Safety Rules was finalised for Austria, Belgium, Denmark, Germany, Greece, Hungary, Luxembourg, Norway, Poland and Portugal. As a support to this project, the Agency also assisted the Commission in the maintenance and improvement of the NOTIF-IT tool (see project 9.3).

The Agency also defined a method to monitor progress with transparency and reduction of National Safety Rules and to steer improvements in Member States. This method is composed of the Transparency Barometer addressed to the railway sector and Transparency Survey addressed to the National Safety Authorities and Member States.

On the request of the Commission, the Agency continued to deliver Opinions and Advice on rules which were suspected to be inconsistent with the EU legislation.

Articles were also published in a number of railway press and internet sites about the results of the European Commission's Task Force on National Safety Rules and about the future of European rulemaking. In 2014 the Agency will promote Notif-IT upgrade to allow input by the Sector on National Safety Rules and facilitate monitoring activities.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
NSR Task Force final report results dissemination and implementation of the action plan	Agency Regulation Art. 21b, 30	According to planning	Yes Dissemination workshops in 4 MSs

			Facilitating the use of the Rule Management Tool Transparency barometer and survey of NSR process in MSs. Articles in press and internet
Check NSR registration, evaluation of draft rules for EC (ca. 100 NSR)	Agency Regulation Art. 9a, 19, 21b, 30	End 2013	Yes Evaluation of notified adopted National Safety Rules of 10 MSs in Notif-IT and during dissemination activities
Drafting of Opinions and Advice on Safety matters (cross Agency)	Agency Regulation Art. 9a	on request	Yes Agency's opinion regarding a draft national safety rule in Poland. Agency's Advice regarding Railway safety in Poland

3.7 Joint Network Secretariat

In September 2012, the NSA and NRB Networks established a secretariat, supported by the Agency, to enable better communication between them on issues of common interest. The objectives for the work are that a more mature dialogue between stakeholders improves understanding of each other's goals, allows joint problem-solving and supports railway actors in fulfilling their responsibilities under the European rail framework.

During 2013, the Joint Network Secretariat progressed 2 issues received in 2012 and received 2 new issues in 2013.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Publication of agreed position on notified issue concerning IM requirements for RU staff training, in order to manage shared operational risk		August 2013	Yes Clear statement of how European framework could

			be applied to manage the issue, available to all stakeholders to support their decision-making
Summary of the Agency work to harmonise NSA decision-making and enforcement		September 2013	Yes Importance of issue highlighted to NSAs and forward plan agreed with support of the sector
Delegation of recommendations from Italian NIB recommendations following accident at Viareggio: safety critical maintenance		Issue notified April 2013 and work planned to conclude March 2014	Yes Work plan agreed with Freight Focus Group and Task Force on Assessment and Supervision initiated
Joint Network Secretariat meetings	Agency Regulation Art. 6, 21b, 30	February, May and September 2013	Yes Meetings held

3.8 The freight focus group

The Agency organised the coordination and involvement of RBs and NSAs on activities of the safety unit related to ECM certification and harmonisation of maintenance that should be risk-based.

This impacted on accelerating the implementation of management system approach and risk based approach. If not, the Agency would risk inconsistencies at the level of authorities to impose new prescriptive rules tending to make ECM certification useless. Consequently, an increased risk at the cost of the railway freight transport. The coordination proposed by the freight focus group facilitated a better understanding on benefits of the ECM certification and the risk based approach to develop maintenance rules may bring. At longer term, it participated to a better understanding of the whole railway system.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Organisation of meetings with NSAs and RBs to address needs related specifically to rail freight transport	Agency Regulation Art. 6, Directive 2004/49/EC Art. 17	Ongoing	Yes 1 meeting on 24 September 2013

Due to lack of resources, the Freight Focus Group could only start its activities on 24 September 2013. Only one meeting has been organized. The second meeting has been organised at the end of January 2014. In addition a framework document describing the role and tasks of the Freight focus group is under development.

3.9 Harmonised EU action plans after serious accident and repetitive incidents

The Agency developed a procedure to allow urgent coordinated responses at EU level. This procedure was developed with a Task Force to facilitate EU coordination in order to elaborate quickly a coordinated, targeted and proportionate response to risks when urgent action is needed. The objective of this procedure coordinated response also allows preventing isolated and inconsistent measures which could impede EU legal rules and standards, interoperability and safety or efficiency of rail transport, from being taken, in isolation, by sparse national actors.

The Quick Response Procedure establishes a common understanding of the notions of urgency, of EU level interest and establishes criteria for the coordination between the responsible stakeholders.

The correct implementation of the Quick Response Procedure allows the responsible stakeholders establishing EU-wide recognized action plans two months after a request has been submitted.

The Agency acts as a facilitator for the correct implementation of the QRP by the responsible stakeholders.

The Agency is currently fine tuning the coordination of JNS and QRP processes in order to limit the operation costs and to coordinate non-urgent (JNS) and urgent (QRP) work streams. The updated JNS and QRP procedures will be ready for operation beginning 2014.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Quick response procedure drafted, first meeting of the Quick response Task Force organised	Agency Regulation Art. 21b	March 2013 Meeting required when	Yes Three QR Task Force meetings held Draft quick response procedure QRP was finalized in July 2013 and approved by the Task Force in July 2013

3.10 Promoting an integrated approach to the Transport of Dangerous Goods regulations

In complement to the monitoring of the development of rules at UNECE and OTIF levels mainly concerning requirements on 'substance safety' (see project 13.4) the Agency started the promotion of the development of an integrated approach for key technical, societal and political aspects in collaboration with the European Commission.

A common approach and use of risk-based decision making for the transport of Dangerous Goods was developed through the organisation of thematic workshops.

In 2013 the Agency developed the ideas concerning the use of risk-based approach and proposed the UNECE and OTIF Joint Meeting of the ADR/RID/ADN to start with a series of thematic Workshops. UNECE and OTIF agreed with the objectives and the Agency organized relevant meetings.

As a result of the Workshop organized by the Agency and of the work carried out by the UNECE Joint Meeting working group on the database for transport of Dangerous Goods it was agreed that the Agency will undertake the following activities in 2014:

- establish a road map for improving the common use of risk-based decision making in the field of dangerous goods transport and organize related future workshops

- start a cooperation with UNECE on cooperative databases for the Transport of Dangerous Goods by rail
- implement the new Administrative arrangement between DG MOVE, OTIF and the Agency for better aligning RID and EU legislation on railways.

These activities allow 'substance safety' experts and 'transport safety' experts to establish common approach and tools which are to be used as a technical background for the implementation of risk-based decision making at EU and International levels in the field of Transport of Dangerous Goods.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Organisation of two workshops	Agency Regulation Art. 21b	1st and 2nd semester 2013	Yes October 2013: a) Agency workshop on risk assessment in the field of TDG Combined with b) UNECE/OTIF Working Group meeting on databases.

Activity 4. Monitoring of railway safety performance - processes and outcome

In order to develop a complete and consistent safety approach, performance monitoring should combine the analysis of safety results through common safety indicators and common safety targets with the monitoring of compliance with and the effectiveness/efficiency of the legislative framework that is set out by the European Union. A prime activity for the Agency is therefore to initiative and develop a framework for monitoring safety performance, not only by looking at safety results but also at the functioning of the core elements and processes that are part of the safety regulatory framework as introduced by the RSD and related EU legislation.

4.1 Monitoring safety performance outcome

The Agency collected (through ERAIL database), processed (oversaw data submission, clarified with MSs), analysed (performs statistical tests with data) and published (CSI datasheet, Railway Safety Performance Report) CSI data. It further used CSI data to annually assess safety performance of MS and EU via CSTs and NRVs (2009/460/EC).

The Safety Performance Working Party met twice in 2013 to work on the development of Guidance on CSI data reporting, on the preparation of new methods for monitoring the performance of Member States, and to prepare the new safety indicators. The WP notably prepared the amendment of the Annex I to the Railway Safety Directive and produced an evaluation report on the CSM on CSTs/NRVs.

The Agency also produced an intermediate report on the development of railway safety. The report was delivered in electronic format only.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Analysis of safety information like e.g. CSIs accident reports, NSA/NIB annual reports, ...	Agency Regulation Art. 9	End 2013	Yes NIB annual reports evaluated intermediate report on the development of railway safety in the EU
Report on the quality of data reported to the Agency	Agency Regulation Art. 9	Nov 2013	No Postponed in 2014
Improvement and management of CSIs	Agency Regulation Art. 9	End 2013	Yes Recommendation addressed to EC on the revision on annex I to the RSD

4.2 Monitoring NSA performance

NSA Network established a cross-audit programme in 2011. The objectives for the Programme are to evaluate NSA performance, share best practice and increase trust, and identify difficulties with implementing the European legislation. In 2013, the Pilot project was reviewed and the first full audit cycle began. The Agency continues to support and develop the programme, supports the Cross Audit Committee, provides tailored training for the auditors and participates in the mixed teams that are performing the audits.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Pilot phase audits of NSAs Hungary, Great Britain, Ireland, Estonia and Netherlands completed and reports published to NSA Network		End 2013	Yes Audit findings available to all NSAs to support Programme objectives, pilots audits completed to allow review and improvement of Programme
Review of Pilot phase of Cross Audit Programme	Agency Regulation Art. 6, Directive 2004/49/EC Art. 17	January to March 2013	Yes Revised and improved Programme Documents adopted
Follow up audits of Finland, Hungary and Ireland completed and reports published to NSA Network		Final quarter 2013	Yes NSA improvement ensured and consolidated
22 NSA and Agency auditors assigned to 5 audits, trained and successfully passed auditor test	Agency Regulation Art. 6, Directive 2004/49/EC Art. 17	September 2013	Yes Necessary human resource secured for Programme, skills and competences of staff from several organisations improved
Audits of Poland, Channel Tunnel and Sweden started		October 2013	Yes Revised programme started on time and to plan

4.3 Monitoring NIB performance

In cooperation with volunteering NIBs, an assessment programme was developed and maintained. The Agency was developing and maintaining the approach and organised 2 assessments in 2013. In addition, accident investigation reports were analysed and feedback given to the concerned NIB.

NIB surveys aimed at collecting information and provided a framework for a communication around their activities and organisation. The objective of the assessment of NIBs was to help them achieve their objective above by developing a standard for accident investigation in Europe and by giving the NIBs support in identifying changes that improved their efficiency and effectiveness.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Voluntary assessments conducted	Agency Regulation Art. 6, Directive 2004/49/EC Art. 21	2 assessments	Yes Two NIB assessments have been performed and reports have been delivered and accepted by the assessed NIBs. Another 2 NIB assessments have been started.
Feedback to NIBs, (specific topic report)	Agency Regulation Art. 6, Directive 2004/49/EC Art. 21	During NIB network and separate meetings with individual NIBs	Yes Advice on request. Four short summaries have been made of the organisation of four NIBs.

4.4 Monitoring of the progress of the migration to a Single Safety Certificate

To achieve the delivery of the migration strategy, the Agency proposed in its recommendation that a working group chaired by the EC was to be set up. In June 2013, the Member States have accepted the principle of having a dedicated Task Force under the RISC auspices for facilitating the advent of a Single Safety Certificate Regime (SSC).

The former objective to monitor the progress of the harmonised methods (Common Safety Methods) for ensuring delivery of the two preconditions identified initially in the Agency recommendations remains a key objective but is not part of the activities strictly necessary for the delivery of the Single Safety Certificate. In 2014 and onwards, this task force should be promoting and paving the path towards the Single Safety Certificate in driving and monitoring the developments of the necessary legislative revisions.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Support to RISC Single Certificate Working Group	Directive 2004/49/EC Art. 10	Ongoing	Yes Programme Plan for a RISC Single Certificate Task Force submitted at RISC #68
Feedback from application of CSM RA for Programme Board, (specific topic report)	Directive 2004/49/EC Art. 10	Ongoing	Partially ; No request addressed to the Agency. Nevertheless the Agency took some initiatives such as meeting several stakeholders to identify the level of implementation of the CSM on risk assessment and the CSM on monitoring. The Agency started also to draft a framework document to monitor the implementation in a more structured way.
Feedback from application of CSM MO for Programme Board, (specific topic report)	Directive 2004/49/EC Art. 10	Ongoing	Partially No request addressed to the Agency. Nevertheless the Agency took some initiatives such as meeting several stakeholders to identify the level of implementation of the CSM on risk assessment and the CSM on monitoring. The Agency started also to draft a framework document to monitor the implementation in a more structured way.
Feedback from application of CSM CA for Programme Board, (specific topic report)	Directive 2004/49/EC Art. 10	Ongoing	This task was previous linked with the Agency's recommendation in 2012 for the migration towards the SSC. However, due to the proposed mandate for the review of the CSM on CA and SUP (RISC #69), feedback on the current application was mainly

			managed in 2013 through the NSA cross-audit programme and the dissemination workshops.
Feedback from application of CSM SU for Programme Board, (specific topic report)	Directive 2004/49/EC Art. 10	Ongoing	This task was previous linked with the Agency's recommendation in 2012 for the migration towards the SSC. However, due to the proposed mandate for the review of the CSM on CA and SUP (RISC #69), feedback on the current application was mainly managed in 2013 through the NSA cross-audit programme and the dissemination workshops.

4.5 Monitoring safety performance processes (other)

The Agency developed a framework (eventually legislative) for the collection, process, analysis and publication of data on safety performance related to the process. The work was done internally with the assistance of the existing WP on Safety Performance. Also the cooperation with aviation industry was sought.

In addition, the Agency developed and suggested a new approach: to monitor the performance of the railway safety regulatory framework on a Member State level. The aim of this approach is to create an overview of how the framework is functioning on a Member State level in order to get a better understanding of the mechanisms behind systemic problems but also of where there exists best practice in the application of the regulatory framework to be shared between Member States. For this purpose the Agency developed a model, the Regulatory Monitoring Matrix, which can provide a systematic overview of the situation in the different Member States concerning Ministry, NSA and NIB-level issues. The Matrix mainly uses information that is already available to the Agency within its different work streams so as to not create any double work for the Member States. The expected outcomes of the approach are more focused support to the Member States, more informed advice to the EC and better prioritization of the Agency's work. The approach was presented at RISC in June 2013 and a pilot study is currently carried out with voluntary Member States to develop a methodology and evaluate the model.

In 2013, the Agency also had a study carried out which analysed and summarised existing research in the area of risk regulation regimes. The results of the study were published on the Agency's website and incorporated in the theoretical background of the Regulatory Monitoring Matrix.

The Agency expected a return from experience on the ECM certification and implementation of SMS by RUs and IMs.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Feedback from implementation of SMS by RUs and IMs taking into account the specific RUs and IM needs	Directive 2004/49/EC Art. 14a, Agency Regulation Art. 9	Ongoing	Partially The Agency started to develop a framework to monitor the implementation of SMS and ECM certification in a more structured way.
A model for monitoring the overall	Agency Regulation	Ongoing	Partially

performance of the railway safety regulatory framework in the Member States.	Art. 6 and 9.		Development of the Regulatory Monitoring Matrix; pilot study with voluntary member states in progress
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4.6 Defining methods and assessing Common Safety Targets (CST)

The annual assessment of achievements of CSTs/NRVs was prepared by the Agency and delivered to the EC in March 2013. Following this assessment, the Agency issued recommendation to the EC to revise the second set of CSTs/NRVs in line with Art.7 (5) of the Railway Safety Directive.

The Agency organized a TF within the Safety Performance WP that prepared an evaluation and a report concerning potential improvements to be considered for the coming revision of CSM on CSTs/NRVs and of CSTs.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Annual assessment of achievements of CSTs/NRVs	Directive 2004/49/EC Art. 7 Commission Decision 2009/460/EC Art.4	End 2013	Yes Delivered to EC.
Draft recommendation on the method for CSTs assessment	Directive 2004/49/EC Art. 7, Commission Decision 2009/460/EC Art. 4	2013-2014	Yes Report from the SPWP as input to the revision of the CSM on CSTs and on CSTs

4.7 Evaluation of Directives transposition

The Agency provided DG MOVE with an overview of the status of the transposition of the Directives in the European Union. Upon request by DG MOVE, the Agency provided support in the exchanges between MSs and DG MOVE. The aim of these activities was to assist the Commission and the MSs in achieving a correct transposition of the European Directives.

The improvement of the way the Directives were transposed and their practical implementation aim at improving the competitive position of the railway sector by enhancing the level of interoperability of the railway system and at developing a common approach to safety.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Evaluation of Transposition of Railway Safety Directive	Agency Regulation Art. 21b and 30	End 2013	Yes Evaluation of the transposition of RSD in 2 Member States Assistance to EC on request

Evaluation of Transposition of Interoperability Directive	Agency Regulation Art. 30	End 2013	Yes Evaluation of the transposition of the IOD in 2 Member States Evaluation report of the transposition of the IOD in 27 Member States Assistance to EC on request
Train Driver's Directive: final report	Agency Regulation Art. 30	End 2013	No In agreement with the EC, the delivery of the final report was postponed to end of April.

Activity 5. Facilitation of Vehicle Authorisation

The complicated, unclear, different and not well documented “homologation” processes that apply in each Member State have been cited as a major barrier to the competitive position of rail and the opening of the markets for equipment supply and railway operation. Significant savings are expected from the simplification entailed by replacing the diverse national homologation procedures by the common European authorisation process envisaged in the Interoperability Directive and now the scope extended TSIs have been agreed by reducing the number of national technical rules to those strictly necessary to cover open points in the TSIs or for ensuring technical compatibility with legacy systems.

The estimated potential savings may reach at least 500m € per year, compared with Agency costs of less than 2m per year. Whilst the savings are dependent upon the actions of other actors (e.g. Member States) implementing and conforming to Directive 2008/57/EC and the Recommendation 2011/217/EC –(DV29), the Agency’s work is a necessary pre-condition for the realisation of these savings.

Progress in 2013 was however slower than planned in some areas due to shortage of staff arising from the termination of several contracts and difficulties in recruiting suitable staff to fill vacancies. By September 2013 only 12 out of 17 posts in the Cross Acceptance Unit were occupied. Priority was given to the collection and publishing of national rules in the RDD and improvements to the database functionality and user friendliness. The new contract arrangements that came into force in November 2013 have eased the situation and should also make the Agency more attractive to staff. By mid-January 2014 the staffing in the Cross Acceptance Unit have risen to 15 out of an establishment of 18 with further recruitment already under way.

5.1 Promotion and monitoring of harmonised vehicle authorisation processes

The Agency

- analysed the obstacles and made proposals to improve the situation based on the report of the Vehicle Authorisation Task Force published in 2013
- made clear the simplified EC process in the generic flow chart for the National Legal Framework
- disseminated the simplified process
- collected in one-on-one meetings with MS and NSA the information on the authorisation processes in each MS
- published the process for each Member State in the Reference Document Part 3 - the National Legal Framework (NLF)
- started to analyse commonalities and discrepancies in order to be able to recommend further simplifications

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Documentation of Authorisation Processes in Member States, publication of National Legal Framework (flow chart) for each MS	Commission Decision 2011/155/EU Art. 1	Completion of NLF first round of documentation Spring 2013. Review, analysis and comparison until end of 2013	Yes 21 x NLFs published on the ERA website. NLFs for France, Germany, Netherlands, Italy, Poland and the UK awaiting sign off by the MS
Update of application guide to the reference document	Commission Decision 2011/155/EU Art. 1	July 2013	Yes New version published 29 October 2013

Training and dissemination of EU framework for authorisation including the use of Geographical Interest Groups (GIG's)	Agency Regulation Art. 6, Directive 2004/49/EC Art. 17	Ongoing	Yes 30 GIG meetings took place in 2013
Support to EC in the clarification and resolution of problems relating to vehicle authorisation (e.g. Task Force updates to recommendation 2011/217/EU)	Requests from the Commission	July 2013	Yes DG MOVE were assisted the preparation of an update of Recommendation 2011/217/EU and amendments of Annexes V and VI of Directive 2008/57/EU Studies were launched a) to investigate tests required in addition to TSIs b) to analyse the possibilities for the Agency to set up a One Stop Shop to facilitate vehicle authorisation requiring authorisation in more than 1 MS

5.2 Publication and classification of rules used for vehicle authorisation

In 2013 the Agency

- collected and published the rules applied in MS in conjunction with the authorisation of railway vehicles
- facilitated the elimination of redundant rules,
- facilitated the convergence to common rules for groups of MSs,
- facilitated a common approach to national rules on difficult technical issues which contributed to TSI reviews and amendments.
- started to disseminate a common approach to the management of national rules.

The Agency facilitated the comparison, evaluation and classification of equivalence of the rules by Geographical Interest Groups of MS as follows:

Corridor A RST -	DE-AT-CH-IT-NL	- 4 Meetings in 2013
Corridor A ERTMS –	DE-AT – CH – IT- NL	7 Meetings in 2013
BeNeFLuCHE –	BE- NL – FR – LU – CH – E	- 6 Meetings in 2013
Central East North –	DE- NL – CZ – PL – AT	4 Meetings in 2013
Central East South	AT – CH – IT – Slo – HU – BG – RO	- 4 Meetings in 2013
NORDIC	NO – FI – SE – DK - DE	3 Meetings in 2013
BALTIC	LT – LV – ES – FI	2 meetings in 2013

Total 30 meetings, most of them 2-day-meetings (total 58 meeting days)

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Rules published in RDD and NOTIF-IT	Directive 2008/57/EC Art. 27 Decision 2011/155/EU Art. 1	95% of rules recorded by end 2013 75% rules classified A, B or C by end 2013	Partially Yes National Technical Rules applied in conjunction with the authorisation of railway vehicles are published for 27 MS by ERA Work needs next to be done to improve the quality of the publication and avoid the need for clarifications and investigation. The target of 75% of rules classified in Geographical Interest Groups was achieved.
List of rules used by MS to cover open pints	Directive 2008/57/EC Art. 27 Decision 2011/155/EU Art. 1	80% of the rules applied checked if they are relevant to close open points or relate to specific cases by July 2013	No Due to lack of resources the check of rules covering open points was postponed to 2014
List of rules that are allowed to be used for checks at additional authorisation of a vehicle already authorised in another MS	Directive 2008/57/EC Art. 27 Decision 2011/155/EU Art. 1	95% of rules identified for Network compatibility in MS by Oct. 2013	Partially
Separation of existing rules in National Reference Document to identify those that are mandatory (same status as TSI) and those that are accepted proof of conformity (A status similar to ENs not referenced in any TSI)	Directive 2008/57/EC Art. 27 Decision 2011/155/EU Art. 1	95% of rules classified as "mandatory" or "accepted proof of compliance" by September 2013	Partially Work to be done by MS supported by XA, work still ongoing
Equivalences identified in GIGS published in RDD	Decision 2011/155/EU Art. 3	Classification results of two further GIGs to be published by October 2013	Yes 2 GIGs (Central East North & BENEFLUCH) finished classification.
List of parameters by MS where TSIs already accepted for OFF-TENs (i.e. no need for specific case in TSI)	Directive 2008/57/EC Art. 27 Decision 2011/155/EU Art. 1	Ongoing	No Postponed to 2014 due to lack of resources
Maximum use of mutual acceptance, unnecessary rules	Decision	Ongoing	No

removed by MS (task force action C.1)	2011/155/EU Art. 3		Postponed to 2014 due to lack of resources
Management of up to 32 meetings p a, participation and facilitating of another 30 meetings p a (VA task force action C.3)	Directive 2008/57/EC Art. 27 Decision 2011/155/EU Art. 1	Ongoing	Yes 30 GIG meetings took place supported by the Agency comprising 58 meeting days
Integration of the results of Geographic Interest Groups to facilitate migration towards common solutions	Directive 2008/57/EC Art. 27 Decision 2011/155/EU Art. 1	Ongoing	No Postponed due to lack of resources

5.3 Management of National Technical Rules

The Agency supported the EC in developing and administration of EC database NOTIF-IT, provided training of users &, facilitated the notification of MS rules by for example providing clarification on criteria to be complied with for rules to be notified, analysing problems and proposing solutions and evaluating National Technical Rules (NTR) submitted for notification.

In order to ensure legal certainty and to avoid Member States putting in place rules that conflict with the EU framework or act as barriers to market entry, a suitable database properly used by the appropriate actors is a necessary prerequisite. 10% of the 133m € savings in locomotive authorisation from cross acceptance were attributed to this activity. For all vehicles and subsystems this equates to a minimum of approximately 26m € per year by 2020.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
NTR registration and database administration, assistance to MS regarding notification of National Technical Rules, support to EC in pre-evaluation of NTRs	Agency Regulation Art. 19	Evaluation of up to 250 NTR in 1 year (av. time for formal evaluation of 1 NTR: up to 4 hours, incl clarification with NTR submitter)	Yes Assistance provided to EC to resolve problems with NOTIF-IT Approx. 50 evaluations received but due severe staff shortage only 20 evaluations were partially carried out (due to IT problems the evaluation could not be completed)
Elaboration, Contribution, Co-ordination of (Technical) Opinions	Agency Regulation Art. 2, 9a and 10	On EC request	No TOs were requested on NTRs in 2013.
Reports, opinions to MS and EFTA Surveillance authority	Agency Regulation Art. 19	On request	No reports/opinions on NTRs requested in 2013. Support was given to the Inter-Governmental Commission in "cleaning

			up” of Channel Tunnel rules following the earlier Agency Technical Opinion.
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5.4 Monitoring of Member States’ authorities granting vehicle authorisations (case studies)

The Agency

- Reviewed the progress with the Vehicle Authorisation Task Force’s action plan and held a workshop in February 2013 to discuss/disseminate the progress
- Started to collect evidence of progress and problems, including case studies and surveys of Real Authorisation Cases and carried out the preparatory work leading to its participation as observer in real vehicle authorisation projects. The objective is to look at both sides of the table (NSA / applicant), and identify “hidden” problems which cause delays and additional efforts. The surveys were carried from September 2013 onwards and the findings and conclusions from them are scheduled to be published in early 2014.

10 organisations (Applicants, RUs and NSAs) have invited the Agency to participate in their authorisations as observer and have offered up to 20 cases for ERA involvement. In 2014 the Agency expects to involve itself in approx. 16 of these.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Progress reports against action plan for Vehicle Authorisation Task Force (VATF) Workshops reviewing progress against action plan	Commission Decision 2011/155/EU Art. 1	VATF progress report to be agreed with EC, at least once per year XA Report on progress in facilitation of vehicle authorisations	Yes Vehicle Authorisation Workshop and progress review held with the Commission Feb 2013
Development (Elaboration) of additional information, requirements, processes required by DeBos and organisations other than NSA in conjunction with the authorisation of railway vehicles	Agency Regulation Art. 6, Directive 2004/49/EC Art. 17	Documentation of additional information, processes required via consultation of up to 10 DeBOs or NoBos	Yes Study on test requirements in addition to TSIs commissioned. Report expected Spring 2014
Recommendations aimed at integrating identified additional requirements into TSIs, NTRs or other recognised elements of the EU framework	Agency Regulation Art. 6, Directive 2004/49/EC Art. 17	Report how to deal with additional information required by DeBO's or NoBos by December 2013	No Awaiting results of the study above
Monitoring and follow-up of case studies of granting real vehicle	Agency Regulation Art. 6,	Participation in up to 5 case	No

authorisations, surveys and additional information for identifying "blocking points" in real implementation raised by MS and sector which might require an harmonised EU approach	Directive 2004/49/EC Art. 17	studies in 2013 with up to 12 meetings each with applicants, DeBos, NoBos, NSAs Preference to be given to case studies with different NSAs involved	Participation delayed until 2014. 20 cases suggested by stakeholders approx. 16 cases will be studied in 2014.
At least one additional study to facilitate vehicle authorisation e.g. promoting the possibility to use ERTMS Stand-alone by implementing strategies for trackside ETCS installation which do not require dynamic transitions by ERTMS	Decision 2011/155/EU Art. 14	tbd	No No action due to lack of resources

5.5 Development, promotion and dissemination of a harmonised European framework for the authorisation of railway vehicles

The Agency developed documents aiming to facilitate vehicle authorisation and to clarify the European framework on the authorisation of railway vehicles. It also provided as far as possible also respective support to the EC (EC taskforce, DV 29 follow-up, Future of the Agency, 4th Railway Package...) and to EU MS.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Clarification documents (e.g. DV29bis)	Directive 2008/57/EC Art. 30	Oct 2013	Yes DG MOVE was assisted in the preparation of an update of Recommendation 2011/217/EU and amendments of Annexes V and VI of Directive 2008/57/EU
Dissemination of information on the application of Directive 2008/57/EC and the European legal framework in the scope of authorisation of railway vehicles to MS, NSA and the railway sector (e.g. Dir. 2011/217/EU - Dec. 2011/155/EU and others) via Geographic Interest Groups, seminars, workshops...	Directive 2008/57/EC Art. 30	within overall dissemination concept	Yes 3 x DV29bis workshops held. Yes Dissemination carried out at 30 GIGs during 2013
Identification of common approach which require an EU answer and development of adequate proposals for EC and further documents	Directive 2008/57/EC Art. 30	within overall dissemination concept	Yes Part of DV29bis activity above

5.6 Tasks from Commission report on vehicle authorisation

Various tasks for the Agency were identified in the report. Due to the Agency's budgetary and subsequent resource situation in 2013, the Agency could only comply with a restricted extent with the expectations raised by EC and the sector.

The necessary steps and changes required the Agency to interact with railway authorisations projects (e.g. ONE-STOP-SHOP, maximise the use of common templates to reduce translation costs, reducing the requirements for additional proof of compliances ...).

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
A.1 Clarification documents (e.g. DV29bis)	As the VATF was led by the commission and they specified the actions – there is no need for a legal basis other than the TF report itself	Covered by 5.5	Yes Covered by 5.5
A.1 DV29bis dissemination, seminars; distribution to Sector and NSAs	As the VATF was led by the commission and they specified the actions – there is no need for a legal basis other than the TF report itself	Within overall dissemination concept	Yes 3 X workshops held in 2013 to review draft DV29bis. Final version of DV29bis to be published in 2014.
A.2 reinforced role in monitoring of Directive's implementation: annual report	As the VATF was led by the commission and they specified the actions – there is no need for a legal basis other than the TF report itself	Monitoring partially covered by 5.4	Partially Partially covered by 5.4
A.6 dissemination of EU master processes in bilateral meetings with NSAs	As the VATF was led by the commission and they specified the actions – there is no need for a legal basis other than the TF report itself	5 workshops in 2013 - within overall dissemination concept	Yes Approx. 10 bi-lateral meetings held with NSAs. 3x Workshops held in Lille, 2 outside of France.
A.6 Training and seminars on EU master process to sector and NSAs; additional publication and dissemination to the	As the VATF was led by the commission and	3 workshops in 2013 - within overall	No No action due to lack of

sector	they specified the actions – there is no need for a legal basis other than the TF report itself	dissemination concept	resources
B.1 Registers users in MS are trained and operational	As the VATF was led by the commission and they specified the actions – there is no need for a legal basis other than the TF report itself	Within overall dissemination concept	Yes All users received a comprehensive documentation for use and maintenance. NSAs have been trained on ERATV – 2 workshops were organised.
B.6 roadmap to One-Stop-shop initiative (facilitating quasi-simultaneous authorizations in several member states)	As the VATF was led by the commission and they specified the actions – there is no need for a legal basis other than the TF report itself	Oct 2013	Partially One Stop Shop Study launched October 2013. Final Report expected April 2014
B.7 reinforced co-ordination of NoBos (tbd further)	As the VATF was led by the commission and they specified the actions – there is no need for a legal basis other than the TF report itself	Ongoing	Yes ERA participated to NB Rail plenary, strategy and subgroups meetings. Question & clarifications requests from NB Rail answered by ERA.
C.1 comparison of rules in GIGs	As the VATF was led by the commission and they specified the actions – there is no need for a legal basis other than the TF report itself	Covered by 5.2	Yes Covered by 5.2
C.3 clarification of the criteria for evaluation of MS rules	As the VATF was led by the commission and they specified the actions – there is no need for a legal basis other than the TF	Classification covered by 5.3	Yes Classification covered by 5.3

	report itself		
C.5 clarification of ERTMS criteria to avoid network compatibility tests	As the VATF was led by the commission and they specified the actions – there is no need for a legal basis other than the TF report itself	4Q2013	Yes
D.3 roadmap for the comparison of needs of compatibility tests with requirements in TSIs, identification of compatibility tests going beyond TSI requirements, proposal how to deal with these cases	As the VATF was led by the commission and they specified the actions – there is no need for a legal basis other than the TF report itself	Oct 2013	Yes Study launched October 2013
D.4 technical opinions on complaints	As the VATF was led by the commission and they specified the actions – there is no need for a legal basis other than the TF report itself	On demand	Yes None requested
D.5 5 templates with application guide including impact analysis to reduce translation need; intended enforcement via EC/RISC/MS/NSAs	As the VATF was led by the commission and they specified the actions – there is no need for a legal basis other than the TF report itself	4Q2013	Partially Templates Working Group set up and running. One Master template in draft planned sign-off Feb 2014

Activity 6. ERTMS System Authority

The European Railway Traffic Management System, ERTMS, is a major industrial project at the forefront of the EU agenda for an interoperable railway system and the progressive establishment of an open market in the sector. The ERTMS specifications are referenced in the Annex A of the TSI CCS; in addition to the revision and extension of scope of the CCS TSI, the Regulation art.21 (a) requests the Agency to carry out a number of specific tasks in coordination with the Commission ensuring a coherent development of the ERTMS and contributing to the compliance of ERTMS equipment as with the specifications in force. The Operational Rules specific for ETCS and for GSM-R are defined in the Annex A of the TSI OPE. The Agency has provided support to the TEN-T Executive Agency as regards projects for which an application for Community financial aid has been submitted. On request by the Commission, the Agency has provided its technical opinions on notification of ERTMS deployment plans and requests for derogations. The Agency fulfils the role of System Authority for the specifications of the system, GSM-R, ETCS and the related operational rules. The Agency provided technical support to the ERTMS Coordinator in its work and initiatives.

6.1 Change Control Management and database of Change Requests

The Agency acted as system Authority for ERTMS. The Change Control Management process was applied to ensure that feedback and requests from the sector were analysed with proper Impact Assessment for the maintenance of existing Baselines and the development of future Baselines the fields of communication and train control. The work included guidelines for implementing ERTMS, improved test specifications, standard interfaces where appropriate, closing of open points, simplification of the specifications and improvements to their format (e.g. formal language).

Harmonized, interoperable specifications were maintained and developed for the European Deployment of ERTMS, enabling interoperability and development of the market in the field of communication and train control systems. EU standards were recognised worldwide and helped the competitiveness of EU railway manufacturing and service industry. The increased quality and performance supported the acceptance of ERTMS, making the railway system more competitive.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Periodic reports on the status of the of Baseline 3 (ETCS) and baseline 0 (GSM-R) CR in the database	Agency Regulation Art. 21a	Monthly	Yes Database updated
Guideline for GSM-R	Agency Regulation Art. 21a	End 2013	Partially Not finalized (interference work ongoing)
Update/creation of documents for baseline 1 (GSM-R) for Annex A Recommendation to EC	Agency Regulation Art. 21a	If necessary	Not necessary
Recommendations to EC on modification of CCS TSI regarding ETCS Update/creation of documents for Annex A	Agency Regulation Art. 21a	If needed	Partially Work ongoing- agreed target June 2014
Test specifications for SRS 3.3.0	Agency Regulation Art. 21a	July 2013	No Delayed to June 2014

workshops creating jointly with EC and Sector a common solution for reducing GSM-R interferences to a minimum	Agency Regulation Art. 21a	End 2013	Yes Workshop held on 11 Nov 2013
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6.2 Support to the Commission as per art. 21(a)

In the area of ERTMS, the Agency provided support to the European Commission by:

- Assessing the migration mechanisms for the early implementers of ETCS in consequence of Decision 2008 on the adoption of 2.3.0d for ETCS
- Developing the system version management strategy separately for ETCS and GSM-R
- Supporting the EC in the development of the EU deployment plan for ERTMS and coordinating the installations along Corridors.
- Organising activities contributing to the Steering Committee and to the Corridor Group set up by the European Coordinator for ERTMS.
- Providing support to other Units in the field of ERTMS.
- Helping the EC and the TEN-T EA in the dissemination of the principles of the harmonized approach to all parties involved in the ERTMS deployment, in particular to IM, RU, manufacturers and laboratories.
- V Verify compliance with CCS TSI in TEN-T funded projects in collaboration with Commission, TEN-T EA, and external technical experts; provide information, guidance and feedback to those actors to help ensure correct and full implementation of the CCS TSI on such projects.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Technical support to the ERTMS coordinator	Agency Regulation Art. 21a	On demand	Yes Support and attendance to Steering Committee of the MoU
Attending and supporting with expertise the EC Corridor meetings	Agency Regulation Art. 21a	On demand	Yes Support and attendance to EC Corridors meetings
Written feedback to TEN-T in regard to correct implementation of ERTMS	Agency Regulation Art. 21a	On demand	Yes Formal follow up of 23 projects; reports delivered
Report to Commission on compliance of ERTMS projects	Agency Regulation Art. 21a	On demand	Yes 2 workshops with EC and TEN-T EA
information, guidance, feedback to TEN-T and	Agency	On demand and in	Formalized exchange

Cohesion funds project applicants regarding correct and full implementation of CCS TSI	Regulation Art. 21a	function of the available resources	of information
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6.3 Verification and authorisation - evaluation survey

The Agency regularly surveyed with the ad-hoc group of Notified Bodies any difficulty or problematic situation which could arise in the process of certification and verification for ERTMS ICs and subsystems, with the aim to offer guidance and allow harmonized approaches. The Agency addressed those issues also with the NSA in the ERTMS Focus Group, with the aim to identify at an early stage possible difficulties and allow open discussion and resolution among NSAs. The findings and the results of the activities were regularly reported in the ERTMS Report on certification and authorization Guidelines/Checklists to be elaborated

The above eventually had an impact on promoting the understanding that also the CCS subsystems were like any other subsystem, and the principles of the Directives for certification, verification and authorizations applied. It also helped the NoBos and NSA to reach common understanding facilitating their dialogue and providing technical and process expertise.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Update of report to the EC on ERTMS verification and authorisation processes Recommendations to EC if needed	Agency Regulation Art. 21a	End 2013	Yes Included in the DV29bis activity
Reports to EC on network/vehicle incompatibility risk	Agency Regulation Art. 21a	As necessary	Yes Part of the TEN-T project follow up
Chairing the NBRail ERTMS ad hoc working group	Agency Regulation Art. 21a	Ongoing	Yes
Report and guidance for certification and placing into service of ERTMS equipment	Agency Regulation Art. 21a	End 2013	Yes Included in DV29bis activity and Corridor A support
Support to DG MOVE, meetings with EA and national accreditation bodies; analysis and facilitation of the accreditation process of the ERTMS test labs	Agency Regulation Art. 21a	As necessary	Yes
Providing training for authorities and railways	Agency Regulation Art. 21a	On demand	Yes 13 workshops 1 ERTMS Conference

6.4 Support to ERTMS development, implementation and placing in service

The Agency started a survey and collection of requests and experiences for simplification of ERTMS (with the support of the sector and the involvement of the ERTMS MoU Steering Committee) and produced proposals for harmonized guidance where appropriate. A first draft of harmonized engineering guidelines for ETCS had already been released. The Agency played a central role in coordinating all the diverse initiatives aimed at the definition of the evolution of GSM-R; with a clear remit to make ETCS data transmission bearer-independent.

Simplification of ERTMS decreased the costs and helped to make the system more acceptable, usable and operable. It also supported the EC strategy for the ERTMS Corridors. To have the ERTMS transmission bearer independent made the system applicable everywhere without losing interoperability. It increased the flexibility and made it future proof.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Harmonised Guidance for ERTMS (e. g. engineering guidelines)	Agency Regulation Art. 21a	2Q 2013	Yes Additional guidelines published
Remit for a WG to support that ETCS data transmission will be bearer independent Report from the WG	Agency Regulation Art. 21a	1Q 2013 End 2013	No Not needed: an equivalent activity funded by TEN-T is ongoing at the ERTMS Users Group

6.5 Requirements for the railway communication system

The Agency took the lead and coordinated the many initiatives aimed at defining the future of GSM-R.

The Agency organised the discussion on the time plan for the reframing to new technology while preserving the functional interoperability requirements, generated a Railway communication roadmap where the migration from GSM-R was correctly analysed, and defined the basics and guidelines of the future railway telecommunication system to ensure that railway specific functions were correctly defined and implemented at the application level.

Management of the obsolescence of GSM-R was possible in parallel with the migration to the new system while gaining the cost effectiveness of standard technologies and maintaining the efficiency of defining railway specific application requirements.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
WG report on - definition of the basic requirements for the new railway communication system - roadmap for the migration to the new railway communication system	Agency Regulation Art. 21a	End 2013	Yes Study and questionnaire finalized Draft roadmap distributed
survey and definition of the high level requirements for the communication system; technology independence; long term migration to cope with GSM-R obsolescence	Agency Regulation Art. 21a	End 2013	Yes Preparatory work finished

6.6 Improved operation with ERTMS

A major achievement is the transfer of rules, initially developed for ERTMS only operations, to the Annex B of the TSI OPE. This demonstrates the sound principles used in the development of ERTMS rules, and the value of technical harmonization as a trigger for the operational harmonization.

The systematic collection of feedback from the growing installed base of ERTMS in Europe is a key element to ensure the system authority approach.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
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Rules for calculating the ERTMS train data	Agency Regulation Art. 21a	End 2013	Yes Overarching rules developed for ERTMS generalized into Annex B of TSI OPE
Report on return of experience from railways operating ERTMS in commercial service	Agency Regulation Art. 21a	As necessary	Yes Template and database for operational feedback created and collection started

Activity 7. Technical Specifications

According to the Directive 2008/57/EC of the European Parliament and of the Council of 17 June 2008 on the interoperability of the rail system within the Community, 'Technical specification for interoperability' (TSI) means a specification adopted in accordance with this Directive by which each subsystem or part of subsystem is covered in order to meet the essential requirements and ensure the interoperability of the rail system. The Agency has been mandated to revise the TSIs with an aim at closing open points, merging (where appropriate) the HS and CR TSIs, and extending their scope to the entire European Community rail network. Closing open points are also to include specifying the relevant parameters for the 1520 mm rail system, as far as possible. As emphasised by the "new approach" to standardisation, harmonised standards provide a presumption of conformity with the essential requirements set out in Annex III of Directive 2008/57/ZC. In some cases, the TSIs also refer to (parts of) standards which then become mandatory. It is therefore of utmost importance for the Agency to ensure a close coordination with the Standardization bodies (CEN, CENELEC, ETSI) and the Notified Bodies (NoBos) who verify the compliance to the TSI requirements of sub-systems and the conformity (to the requirements of TSIs) of Interoperability Constituents. It is expected that the revised TSIs will contribute to the simplification of the legal framework in the field of railway technology, related to design, construction, placing in service, renewal and upgrading. The revised TSIs should be easier for application and should contribute further to the development of the Community's rail system, opening the rail market and enhancing competitiveness of rail transport compared with the other means of transport.

7.1 TSIs revision and development

The major tasks of the Agency included:

- Revising the existing TSIs aiming at achieving Interoperability within the railway systems in Europe.
- Assisting the Commission in the legislation process for adopting the TSI drafts, submitted in 2012, answering the questions from the MSs and the Commission related to the draft TSIs.
- Answering the questions related to implementation of the TSIs in force, received from DG MOVE, MSs, NSAs and stakeholders, preparing the Technical Opinions, updating the references to the standards, correction of the errors and closing open points through amendments to the TSI by the „omnibus procedure”, assisting the Commission in preparation of the decisions within the „omnibus procedure”.
- Clarifications, closing of open points and corrected errors were the indispensable quality elements for the TSIs implementation, leading to the required eased and smoothed application that reduces time and costs.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
TSI CCS - Closure of the open points Scope extension	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8	4Q2013	Yes Presentation of draft recommendation for amendment of CCS TSI in June 2013 RISC meeting. After completion of consultations, recommendation issued to EC in December: - Proposal for scope extension based on the results of economic evaluation. - Solution for some open points related to

			<p>compatibility of train detection.</p> <p>Work has been started with experts and NSAs of countries with wide track gauge rail to include their parameters related to train detection systems in the CCS TSI.</p>
TSI ENE - Closure of open points — Merging HS and CR TSIs - Extension of scope - final amendments before vote	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8	2Q2013 – original time plan was modified due to the shift of vote from October 2013 to January 2014	<p>Yes</p> <p>The TSI draft, sent to the Commission in December 2012, was completed with the specific cases submitted by the MSs. Number of questions, comments and requests for change from the MSs have been analysed and answered, the final draft was eventually voted in January 2014</p>
TSI INF - Closure of open points - – Merging HS and CR TSIs - Extension of scope - final amendments before vote	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8	2Q2013– original time plan was modified due to the shift of vote from October 2013 to January 2014	<p>Yes</p> <p>The TSI draft, sent to the Commission in December 2012, was completed with the specific cases submitted by the MSs. Number of questions, comments and requests for change from the MSs have been analysed and answered, the final draft was eventually voted in January 2014</p>
TSI Noise - extension of scope, merging HS and CR, revision of noise levels: preliminary draft / final draft recommendation	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8	February-August 2013	<p>Yes</p> <p>A recommendation was addressed to the Commission in September 2013.</p>
TSI OPE -Recommendation submitted	Agency Regulation Art. 12, Directive	End 2013	<p>Yes</p> <p>The recommendation and TSI draft together with the accompanying</p>

	2008/57/EC Art. 6, 8		report and the application guide sent to the Commission in December 2013.
TSI PRM - Extension of scope - Closure of open points - Implementation plan: final draft recommendation	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8	2Q2013 and 4Q2013	Yes A recommendation was addressed to the Commission in May 2013 and was voted in January 2014.
TSI RST - Closure of open points - Extension of scope - final amendments before vote	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8	2Q2013	Yes Following its recommendation from December 2012, ERA assisted DG-Move to prepare the regulation, which received a positive vote in the RISC of October 2103.
TSI SRT - Closure of the open points, scope extension	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8	2Q2013	Yes Following its recommendation from December 2012, ERA assisted DG-Move to prepare the regulation, which received a positive vote in the RISC of October 2103.
TSI TAF - Extension of scope - final amendments before vote	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8	2Q2013	Yes Recommendation for the revision of TAF TSI sent to the Commission in December 2013 (with specific provisions for Baltic States) Recommendation for the Change Control baselines of TAF and TAP TSIs sent to the Commission in December 2013
TSI TAP - Closure of open points - Extension of scope - final amendments before vote	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8	1Q2013	Yes The final version of the TAP TSI after the incorporation of the results of the TAP TSI phase 1 was voted by

			<p>the RISC-committee in June 2013.</p> <p>For the closing of open point 4.2.22 ERA has finalized in 2013 the study about the exchange of fare information's with other modes of transport. For the closing of the open points 4.2.10 and 4.2.11.2 the CEN-standard TS 16406/2013 – based on a Request for Standardization by ERA - was published by CEN.</p>
Composite Brake Blocks recommendation for amending the WAG TSI	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8	Mid 2013	<p>No</p> <p>Following an extension of the deadline, the drafting of the recommendation is planned to be completed in 1Q2014</p>
Updating the Application Guide to the new TSIs	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8	End 2013	<p>Yes</p> <p>The general part of the Application Guide has been kept up to date.</p> <p>Updating the Application Guide has been well advanced. Due to great number of comments and requests for change of the TSI drafts and postponing of the vote of TSI ENE, INF, LOC&PAS and SRT, final update will be completed in 2014</p>
EMC for train detection	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8	Ongoing	<p>Yes</p> <p>Contacts established with research projects (EUREMCO) for a coordinated approach to EMC issues related to compatibility of track circuits.</p>

			Results of a measurement campaign to validate and extend the compatibility requirements for axle counters are delayed and will be available in 2Q2014
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7.2 Collaboration with Notified Bodies (NoBos)

The Agency coordinated its TSIs related activities with the notified bodies (NoBos). In particular, the Agency assisted the Commission by acting as technical secretariat of NB-Rail (Network of Notified Bodies). The Agency was also represented in the various sub-groups of NB-Rail.

The Agency ensured a proper coordination among the notified bodies and keeps a continuous feedback on the implementation of the TSIs.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Assisting the NB-Rail in preparation and convening the meetings	Agency Regulation Art. 12, 13	Ongoing	Yes ERA assisted NB Rail in three plenary and three strategy meetings. ERA assisted NB Rail in migration to the new document management platform (CIRCABC)

7.3 Collaboration with European Standardisation Organisations

In order to support the development of the TSIs and ensure their efficient implementation, the Agency coordinated its TSIs related activities with the European standardisation organisations (ESOs). The Agency issued a number of requests for standards when this is needed for the TSIs. The Agency was represented in the two Technical Committees for rail (TC256 and TC9X) that coordinated the development of the ENs related to rail.

The TSI revision by the Agency has been done in consistency with the EN standards; the list of ENs referenced in the TSIs is up to date. Relevant requests for standards were issued by the Agency.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Ensuring consistency of the TSIs with standards, issuing requests for standards	Agency Regulation Art. 12	Ongoing	Yes Coordination of the TSI revision process and drafting of European Standards has been ensured, so that references to standards in the TSI are up to date.

7.4 Telematics Applications System Authority

The Agency helped the railway sector finalizing the specifications, with a dual purpose:

- Introducing a change control management similar to the successful one applying to ERTMS, using the same tools;
- Ensuring full compliance of technical developments with the TSIs, or preparing TSI updates whenever these prove to be absolutely necessary for a successful implementation.

In addition, the Agency is to monitor the actual deployment of the Telematics TSIs and report about identified obstacles.

The expected impact was, reaping the full benefits of those TSIs that have direct effect on customers. Also, the Agency was in the best position to ensure that small and medium sized companies are equally able to use harmonized telematics applications. Past experience with the even more complex ERTMS specification seemed to offer a guarantee that the specifications were managed efficiently, reducing administrative burdens to a minimum.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
updated and published TAF and TAP TSI master plans	Commission Regulation (EC) 62/2006 Art. 4b	Ongoing	Yes Both masterplans received from the European Rail Sector and are published at the public ERA website
participation in TAF/TAP implementation governance (TAF SteCo, TAP SteCo and TAP governance entity)	Commission Regulation (EC) 62/2006 Art. 4b	Ongoing	Yes ERA has followed up closely and contributed to the work of these Steering Committees. TAP governance entity set-up is still in progress
new TAP baseline version	Commission Regulation (EC) 62/2006 Art. 4b	3Q2013	Yes Recommendation for the Change Control baselines of TAF and TAP TSIs sent to the Commission in December 2013
one merged ERA TAP TD B.30 and TAF data catalogue	Commission Regulation (EC) 62/2006 Art. 4b	3Q2013	Yes This was achieved for above baselines and was sent to the Commission in December 2013
monitoring reports about implementation of TAF system (against master plan)	Commission Regulation (EC) 62/2006 Art. 4b	Ongoing	Yes It has been done on a permanent basis within the works for above TAF Steering Committee and TAP Steering Committee
monitoring reports about the development of TAP system (against master plan)	Commission Regulation (EC) 62/2006 Art. 4b	Ongoing	Yes It has been done on a permanent basis within the works for

			above TAF Steering Committee and TAP Steering Committee
promotion of Telematics Application in a multi modal context	Commission Regulation (EC) 62/2006 Art. 4b	Ongoing	Yes For the closing of open point 4.2.22 of TAP TSI ERA has finalized in 2013 the study about the exchange of fare information's with other modes of transport.
Establishment of a "Railway IT Architecture Board" including registers	Commission Regulation (EC) 62/2006 Art. 4b	Ongoing	Yes

Activity 8. Railway Staff

Railway staff is one of the key elements for effective interoperability. Vehicles authorised in all EU-MS still need competent staff to operate them in cross-border traffic. ERA shall support the opening of the market by looking into the various requirements for recognition between the MS. The recognition of the various competencies shall also support the free movement of workers, another policy area of the European Union.

8.1 Certification of Train Drivers

The Agency developed the single drivers' license model, according to the Directive on the certification of train drivers operating locomotives and trains on the railway system in the Community. The Agency accompanies the process of step-by-step implementation in the Member State and coordinates the exchange on first experiences and best practice between them. In 2013 a first in-depth evaluation of the provisions of the Train Drivers Directive itself as well as of the 4 non-legislative acts that were adopted in context of the train driver certification scheme, was carried out. By end of 2013 the Agency delivered a report to the Commission with some 25 proposals for improvement of current provisions. These proposals were based on the feedback of a questionnaire survey and on discussions in workshops, working groups or with the social partners in context of the Sectoral European Social Dialogue Committee for railways. It will be for the coming years to develop with the sector the appropriate amendments aiming to realise the envisaged improvements. The Agency was also in charge of developing the assessment schemes to be used for accreditation of training centres and examiners of train drivers. This task will continue in 2014.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Report on the evaluation of the development of the certification of train drivers in accordance with the TDD	Agency Regulation Art. 16b	October 2013	Yes Delivered in 4Q2013 to the Commission
Draft assessment scheme for the accreditation of training centres and examiners	Agency Regulation Art. 16b	End 2013	Partially Work in progress 2013
Pilot application of IT-system to facilitate the exchange of data between NLRs and CCRs It was decided to choose the IMI information system of DG Internal Market. The required implementing act was developed to be adopted by the competent committee end of November 2013. The pilot implementation will be prepared and tested in 2014.	EC Decision 2010/17/EC Art 3	End 2013	Partially Work in progress, cooperation with DG Internal Market and sector. Pilot testing will start in 2014

8.2 Other on-board staff

Following the mandate of the Commission, the Agency developed with support of a dedicated working party recommendations to amend TSI OPE. The drafting was finished beginning 2014. After social-partner consultation (3 months), recommendation and accompanying report should be submitted by mid-2014 to the Commission. Once the recommended amendments will be approved and implemented, the competence and health requirements specified in part 4.6 and 4.7 of TSI OPE as well as in related annexes will be applicable to all 'other train crew members' (= train crew members not driving the train). Application now is limited to staff operating train in cross-border services.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
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Common approach on competence and fitness requirements for other train crew members in safety critical tasks within TSI OPE. The Commission Report in addition mandates the Agency to develop a 'training attestation' scheme for this staff group.	Directive 2007/59/EC Art. 28	End 2013	Partially ERA Working Party has been set up in 3Q2013 and three meetings have been held. Delivery of report rescheduled for mid-2014.
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8.3 Professional competences and health and safety

The Agency made an analysis of requirements of health and safety in existing TSIs. The next step was to develop common approach process and to apply this approach in the revision of all TSIs, while achieving a common set of requirements in all the TSIs and harmonised requirements in chapters 4.6 and 4.7 of TSIs. These tasks were given low priority and postponed to 2014 due to lack of resources.

Activity 9. Shared Databases and Registers

In order to ensure the greatest possible transparency and equal access for all parties to relevant information, the public documents envisaged for the interoperability process and for matters related to safety should be accessible to the users and to the public. The Agency is required to provide an efficient means of exchanging this information by developing and maintaining several databases and registers. To develop and maintain transparency of information the Agency will continue to develop the legislation and specifications on registers, put in place and maintain the databases and registers, agree with the relevant parties on the data transmission and validate the data.

9.1 ERADIS (ERA Database of Interoperability and Safety)

The Agency maintained the computerised system, through which all the important information are made available for any interested party, either through direct access to the data stored in ERA, or via common interface to the local (national) data bases. The system also included EU templates aiming to harmonise the format of some documents.

All the data submitted by the relevant organizations and bodies was available. . This contributed to the opening of the railway transport and railway related products and services, increasing the competitiveness of the railway transport towards other modes of transport.

In 2013, the first version of ERADIS module to register accredited Independent Safety Assessment Bodies has been developed based on the proposed draft Regulation 402/2013, some substantial changes to the final version of the Regulation resulted in updates to the originally developed module. For this reason, the new module will be put in operation in 2014.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
ECM certificates registered	Commission Regulation (EU) 445/2011 Art. 10, Agency Regulation Art. 19	Ongoing	Yes 32 certification bodies, 350 certificates of ECMs and maintenance workshops registered.
Registered licenses	Directive 95/18/EC, as amended by Directive 2001/13/EC, Agency Regulation Art. 19	Ongoing	Yes 1878 licences registered
Registered safety certificates	Directive 2004/49/EC Art. 10, Agency Regulation Art. 19	Ongoing	Yes 2748 safety certificates registered
Data base being functional and accessible with updated information	Commission Regulation (EU) 445/2011 Art. 10, Directive 2004/49/EC Art. 10, Directive 95/18/EC, as amended by Directive	Ongoing	Yes Database was functional and accessible with the registered information.

	2001/13/EC, Agency Regulation Art. 19		
Registered ISA data	Commission Implementing Regulation (EU) No 402/2013 Art. 13, Agency Regulation Art. 19	Ongoing	No Not being registered yet; new module for Assessment Bodies is scheduled to be operational in 2014
ERADIS module to register accredited Independent Safety Assessment Bodies (CSM RA)	Commission Implementing Regulation (EU) No 402/2013 Art. 13, Agency Regulation Art. 19	Ongoing	No Operation will start in 2014

9.2 Reference Document Database

The Agency specified, implemented and put in place a single European database based upon a single European list of parameters.

Without a database the savings from 5.1 and 5.2 (estimated 250 m €) per year could not be realised. A central database is therefore an essential pre-requisite.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Maintenance of RDD, updating and improvements of functionalities. Management and maintenance of database	Commission Decision 2011/155/EU Art. 1	Ongoing	Yes 2 new versions installed in 2013, facilitating access to information on rules New element added to cover processes for National Legal Frameworks based on template flow chart
Checking of data consistencies, support to NSA, public and sector, special reports on demand, management and maintenance of data	Commission Decision 2011/155/EU Art. 1, 3, 4	Ongoing	Partially Ongoing

9.3 Database of National Safety and National Technical Rules

Databases and NOTIF-IT are essential pre-requisites for performing the projects 3.6 and 5.4.

As the Commission's own resources to implement and to manage these databases are limited, the Agency assisted the Commission in the setting up, operation, administration and management of the databases, in the maintenance and the improvement of the NOTIF-IT tool and provided assistance to the users.

Early review of draft national rules is considered as a key development to improve the transparency and to prevent the adoption of rules by MS that are not in line with the EU legislative framework. To this end the Agency continued its assistance to the Commission for the development of a new module of NOTIF-IT allowing the notification of draft rules,

at an early stage. Tests started in November 2013 with the view of delivering the module for use end March 2014. In 2014 the Agency will start using an upgrade of Notif-IT which will facilitate rules reduction and monitoring, and will make preparations for the transfer of the database from the Commission to Agency in 2015.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Assistance to EC for maintaining and improving NOTIF-IT for national rules Support to the development of the workflow on notification of draft rules.	Agency Regulation Art. 21b	Ongoing	Partially New Notif-IT module for draft rules under test phase. Operation foreseen by the EC in March 2014. Assistance provided to EC. NOTIF-IT RDD link established for NTR, expected to go live Feb 2014
Support to EC, administration of NOTIF-IT, improvement and further development of NOTIF-IT, feedback to EC services regarding user needs.	Agency Regulation Art. 21b	Ongoing	Partially Ongoing

9.4 Registers for Interoperability

The Agency developed and maintained the RINF (register of infrastructure), ERATV (European register of authorised type of vehicles) and NVR (national vehicle register)/ECVVR (European central virtual vehicle register) in order to solve the described issue. The possibility of interfacing the various registers to each other was also analysed.

The Agency developed and maintained RINF, ERATV and ECVVR for proper usability by the Sector, maintained the specification for the NVRs and coordinated their development in the different Member States.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
ERATV Register being functional and accessible with updated information	Directive 2008/57/EC Art. 34, Agency Regulation Art. 18, 19	Ongoing	Yes ERATV has been hosted by ERA according to the specifications. Data submitted by NSAs has been published.
ECVVR register being functional and accessible with updated information	Directive 2008/57/EC Art. 33, Agency Regulation Art. 18, 19	Ongoing	Yes VVR has been hosted by ERA according to the specifications. Following MS connected their NVRs in 2013: PL, IT, LT, SK, EE and NO, plus OTIF

			Contracting States RS and CH. This adds to MS that connected their NVR in 2012 (DK, PT, FR, LU, RO, NL, AT, CZ, SI and BE).
Coordination and monitoring the implementation of RINF by MSs, reports to the EC	Directive 2008/57/EC Art. 35, Agency Regulation Art. 18, 19	Ongoing	Yes Recommendation for amendment of the RINF decision has been sent to the Commission. Network of national entities in charge of the RINF has been set up.
Guidance on the status of registers under the ID and kind of source for authorisation information	Directive 2008/57/EC Art. 34		Yes Application Guides for ERATV and ECVVR have been kept up to date.
Guidance on use of registers in practice (e. g. comparison of data in different registers)	Directive 2008/57/EC Art. 34	tbd	Yes Application Guides for ERATV and ECVVR have been kept up to date. The ERATV Guide includes an annex describing the relationship between ERATV and RINF data.
Report on fulfilment of sector needs by operational databases and potential interaction of registers	Directive 2008/57/EC Art. 34	tbd	Yes Study on consistency of registers has been submitted to the Commission. As result of the study a new WP for rationalisation of vehicle related registers has been set up.
Defined structure, detail level of information required, functional specification for an accessibility register related to TSI PRM	Directive 2008/57/EC Art. 34	Q42013	Yes The initial plan was to submit the recommendation in-time for incorporation into the revised PRM TSI. Due to the

			requirement of MSs for an evaluation of the best way to ensure the availability of accessibility information (try to avoid setting an additional register), ERA had to postpone this task. The WP is active and the new deadline is end-2015.
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9.5 Safety performance and accident data

The ERAIL system has been upgraded in 2013 with the improvements to all parts: investigation, CSIs and user management and with corrections to the first part of bugs and issues reported by the users.

The information on investigations submitted by NIBs was processed and validated by the Agency and made publicly available through the ERADIS/ERAIL database. This validation process included verification of accuracy and correctness of information, administration of translations of reports and communication with the investigation bodies. The work was continuously ongoing. The data on CSIs was submitted annually by NSAs and the Agency performed checks of data quality and validated the submitted information before the data was made publicly available through the ERADIS/ERAIL database.

By doing this, the Agency added to the transparency and equal access for all interested parties and the public to the safety performance related data: investigation reports and CSIs, and to the analysis of safety performance in the EU countries.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Development and management of ERAIL database	Directive 2004/49/EC Art. 24, Agency Regulation Art. 19	Ongoing	Yes Safety-Information System integrated and tested (ongoing) Upgraded system put in operation in July 2013
Ongoing management of the system	Directive 2004/49/EC Art. 9, Agency Regulation Art. 18	Ongoing	Yes Improved use and access to information published by the Agency Database up to date.

Activity 10. Monitoring Interoperability

The Agency produces report on progress with interoperability every two years which provides the basis for the analysis of the trends of implementation of interoperability across the European Union. The legal basis for this report is provided by Article 14(2) of the Agency Regulation. Without prejudice to the responsibility of Member States, the Agency may also, at the request of the Commission, monitor the quality or coordinate the work of Notified Bodies. For the time being, the availability of interoperability related data in the Agency is rather limited because databases and registers are still being defined or populated. Therefore, the Agency collects data from other sources, the primary source being the questionnaires distributed to the national safety authorities. Any reports and opinions requested by the Commission have an impact on the workload of the Agency. This impact is difficult to evaluate as the Agency is not aware about the number of requests that may come from the Commission.

10.1 Biennial report on interoperability

The report identified the problems with implementation of the railway legislation, summarised the legal and institutional framework established to enhance technical and operational compatibility between rail networks, explained the indicators used to evaluate the railway interoperability progress, and looked into effects of Technical Specifications for Interoperability (TSIs) on railway market.

The report was published in the Agency website and as printed document. The findings were made available to any person or entity interested in them, and contributed to better understanding the problems related to implementation of the interoperability principles and relevant legislation. The report helped to identify and understand the shortcomings of implementation of interoperability, thus contributing to the further improvements.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Report published	Agency Regulation Art. 14	End 2013	Yes The draft biennial Report on Progress of Interoperability is complete.

10.2 Evaluation of railway projects and of requests for TSI derogations

At the request of the Commission, the Agency should have analysed projects (in general co-financed by the EU), and in particular, checked if projects were in line with the interoperability principles and the TSIs. No such request has been received in 2013. At the request of the Commission, the Agency evaluated the request for derogation from the provisions of the TSIs, submitted by the Member State. Advices were issued by the Agency on the compliance with the corresponding clause of the Directive (Art.21b) of the case described in the request for derogation and on the consequences of granting such derogation.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Opinion sent to the Commission	Agency Regulation Art. 15	On request	Yes 1 opinion submitted.
Advices sent to the Commission	Agency Regulation Art. 21b.2(b)	On request	Yes 5 advices submitted.

10.3 Notified Bodies – Notifications and efficiency

The Agency may, at the request of the Commission, monitor the quality of the work of the notified bodies and consider if they met the criteria referred to in Annex VIII of the Interoperability Directive. In case of new notification of a notified body, the Agency was also consulted by the Commission before approval.

Improper work of the NoBo was identified, the way of improvement was indicated, thus contributing to the better functioning of the NoBos, and to the smooth process of verification and placing in service.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Monitoring quality of work of NoBos, issuing the opinion to the Commission	Agency Regulation Art. 13	On request	Yes No requests have been received

Activity 11. Economic Evaluation of Agency products

Economic evaluation of Agency products / activities provides the possibility to identify their main impacts in terms of costs and benefits. The Agency has conducted ex-ante impact assessment of its own recommendations since it started operations. Two significant developments regarding the range of economic evaluation activities have been introduced during 2012 and 2013: 1) start on ex-post assessments; 2) specification and implementation of so-called early assessment process. The former concerns the assessment of measures already in place based on actual experiences and outcomes. In this way ex-post work contributes to an improved understanding of a given problem which may inform upcoming ex-ante assessments. It is expected that ex-post work will obtain increased importance in the coming years from 2014 onwards. The purpose of the latter is to enable early diagnosis of the possible added value of Agency works, to clarify the remit of Working Parties and, ultimately, to document the impact assessment of each recommendation in a clear, concise and standard way.

During 2013, with respect to impact assessment, the Agency identified, in consultation with the different stakeholders, how and where the main focus should be for the future. In particular, this will involve a closer alignment with the 4 strategic priorities. Furthermore, economic evaluation activities will take a bird's eye perspective in order to facilitate a more strategic orientation of the Agency. Emphasis will be placed on: a) outcome KPI monitoring and ex-post for each strategic priority; b) systematic early assessment for each output KPI in the Work Programme; c) limited number of strategic ex-ante assessments. In addition, a number of horizontal tasks have also been identified including: 4RWP analyses, system data management, prioritisation scheme and assessment toolbox.

Overall, it should be noted that a key aim of the agreed re-orientation of Economic Evaluation is to achieve a better alignment with stakeholders and their concerns.

11.1 Developing and updating of the methodology

Significant work on updating / developing the overall approach and methodology for economic evaluation was undertaken during 2013. In particular, this work involved review of experience and insight obtained to date along with consultation with stakeholders. This permitted a strategic reorientation of economic evaluation work to be adopted by the end of the year. As outlined above this reorientation involves a closer alignment of economic evaluation activities to the four strategic priorities with emphasis on the extent to which progress on these are being achieved (outcome KPI monitoring and ex-post), early assessment of proposed Agency products and strategic ex-ante impact assessments outcome KPI monitoring,

A detailed review was undertaken of the general methodology guidance document. This review confirmed that the document should be kept short focusing on key principles. The draft updated general methodology guidance document was prepared by May 2013. Following the adopted reorientation of the economic evaluation activities it was decided that more added-value would be achieved by substituting the current guidance document with a Terms of Reference for the economic evaluation activities. Essentially, the ToR would be based on the draft updated guidance document detailing the purpose of economic evaluation activities at the Agency, key areas of work, main principles and deliverables. Overall, economic evaluation work is based on the Commission's Impact Assessment Guidelines. In those cases where these guidelines do not cover aspects of Agency analyses specific methodology notes will be prepared in order to document the Agency approach. The ToR will be ready for external stakeholders by June 2014.

Building on earlier work on standardised economic impact assessment models a model generator was developed, simplifying the construction of sophisticated Excel-based model. This model generator was tested in two cases (CCS and PRM). Whilst results were obtained, further work on simplification of the model generator is required before this would become a workable solution to IA problems / projects. The results were made available to stakeholders.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Outline and framework for strategic reorientation	Directive	End 2013	Yes

of economic evaluation focus and activities	2008/57/EC Art. 6, 8, 31, Agency Regulation Art. 6, 16b, 21a		Strategic re-orientation of economic evaluation focus and activities adopted by ERA management by the end of 2013.
New annex to the general methodology guidance	Directive 2008/57/EC Art. 6, 8, 31, Agency Regulation Art. 6, 16b, 21a	June 2013	Yes Draft updated methodology guidance document prepared. This will form the basis for ToR of EcoEv activities to be established by June 2014
Impact assessment model generator	Directive 2008/57/EC Art. 6, 8, 31, Agency Regulation Art. 6, 16b, 21a	July 2013	Yes Model generator was established as scheduled and results provided to stakeholders

11.2 Defining needs and outcomes

Building on the experiences with the Early Assessment template and current principles for resource prioritisation an initial draft proposal for a prioritisation framework was developed in 2013. As such this framework is of significant importance for how the Agency manages its activities. It was concluded that further refinement would be useful in order to ensure a robust and well-tested framework. This further development and testing is scheduled to be carried out in 2014. The application of the prioritisation framework forms an integral part of the identified strategic reorientation.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Prioritised Agency's task list	Directive 2008/57/EC Art. 6, 8, 31, Agency Regulation Art. 6, 16b, 21a	June 2013	Partially Initial draft prioritisation framework specified by September 2013. It was concluded that refinement and testing would be very useful. Given staff constraints this was scheduled for 2014.
Prioritisation of open points	Directive 2008/57/EC Art. 6, 8, 31, Agency Regulation	According to TSI planning	Yes EcoEv contributed to the selection of the open points to be

	Art. 6, 16b, 21a		addressed for the different TSIs as required. It should be noted that an overall list of open points for all TSIs does not exist but can be assembled as each TSI now has a dedicated annex with the open points along with additional information.
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11.3 Ex ante evaluations

Most impact assessments completed in 2013 focused on the scope extension of the TSIs and the closing of Open Points. This assessment work had started simultaneously with the development of recommendations, and came to a simultaneous conclusion. In particular, impact assessments on OPE, LOC & PAS, NOISE, SRT, PRM, CCS, ENE and TAF TSIs as well as ETCS related aspects (Odometry & DMI) were completed during 2013. In simple cases with low risks, the standardised “early assessment” report were the minimum provided.

The impact assessments contributed to the decision if and under which conditions the scope of a TSI for a specific subsystem could possibly be extended to the whole European railway network. In addition the most economic viable solution for the European Railway sector was identified when closing an Open Point.

As part of the reorientation of Economic Evaluation activities ex-ante impact assessments will focus on the key strategic decisions within the four priority areas of the Agency.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Ex-ante impact assessment of all recommendations of 2013	Directive 2008/57/EC Art. 6, 8, 31, Agency Regulation Art. 6, 16b, 21a	According to recommendation planning	Yes

11.4 Ex post evaluations

In 2013, the main ex-post activity was undertaken at a strategic level rather than being focused on any specific recommendation. In particular, it involved a review of the overall approach and focus of Economic Evaluation activities. This review included consultation with external stakeholders. It formed the basis for the strategic reorientation of the Economic Evaluation activities agreed at the end of the year. As part of this reorientation stronger emphasis will be put on ex-post evaluations at the strategic level in future.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Ex-post impact assessment of 1 past recommendation	Directive 2008/57/EC Art. 6, 8, 31, Agency	End 2013	Yes The output delivered was redefined in order to reflect the core

	Regulation Art. 6, 16b, 21a		activity this year of looking at the overall approach of Economic Evaluation. This activity was successfully concluded in December 2013.
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Activity 12. Support to Agency operations

The transverse activities supporting the operations and the Executive Director are carried out by the Executive Director's Office and the Administration Unit. The Executive Director's Office is responsible for the Agency's strategy and business planning, the Agency quality programme, communication, internal audit and legal affairs. The Administration Unit owns the areas of human resources, procurement, finance, accounting, ICT and facilities. Based on the regulatory framework (in particular the Founding Regulation, Staff Regulations, Financial Regulation and Internal Control Standards), both entities develop and provide the required projects and services. Within the administrative support services, in 2013 particular emphasis was given to the selection and engagement of new agents (as a result of contracts termination for numerous operational staff members), further improvement of planning and execution of the budget and procurement procedures, implementation of changes resulting from entering into force of the new Staff Regulations and implementation of the Service Management Framework.

12.1 Communication

The core mission of the Communication Office is to provide the external and internal communication processes and performing tools for the Agency's stakeholders and staff to ensure the required Agency's impact on the Railway Sector.

An adequate communication led to the intended understanding and implementation of the Agency's outputs in the Railway Sector. In reverse, sound communication delivered feedback on the effectiveness and consequences of the Agency's measures and led so to improved future EC's and Agency's measures. This implementation and feedback were the indispensable basis for fulfilling the Agency's mission "to make the Railway system work better for society".

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Communication plan stemming from communication strategy, tools	Agency Regulation	March 2013	Yes Communication plan annexed to the Work Programme 2014, adopted in November by Administrative Board
Regular update of the ERA Internet/Intranet/Extranet	Agency Regulation	Ongoing	Yes Regular meetings of web steering group
Annual Report and specific Agency reports, External Newsletters	Agency Regulation	1Q2013, ongoing	Yes Annual Activity Report published in August; WP 2013 published in March Railway Safety Performance Report published in May
Agency participation at conferences/exhibitions: 1 SIFER, 1 efficient Interoperability dissemination event	Agency Regulation	tbd	Yes SIFER in March TEN-T days in October ERTMS Conference in November
Internal Newsletters/ general internal	Agency	Quarterly and	Yes

Communication	Regulation	ongoing	Internal Agency News continuous External ERA Flash News launched in September
Agency's templates shaped, CI/CD assurance of external presentations	Agency Regulation	Following DMS project plan and on request	Yes Revised template adopted by the Management Team in December
Answers to external information requests via website	Agency Regulation	15 days after reception of request	Yes 403 information requests with an average response time of 10 days

12.2 Internal control and audit

The Agency carried out an internal quality audit on the QMS in November 2013. The overall conclusion was that the audit results can be considered as adequate considering to the state of play of the QMS's implementation. The internal control and audit re-assures the Executive Director on the development and implementation of the QMS, advices on and supports the risk management process through monitoring and evaluating. It also advices on and supports the internal control components (validation of Internal Control Standards assessment, advice on policies/process/project development and coordination of closure of audit recommendations, quality checks on IT projects).

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Ex post/Internal audit report	Agency Regulation	March - June 2013	Yes Internal audit performed in November
Assessment report on Internal Control Standards	Agency Regulation	Nov 2013	Assessment performed as planned in November
Advice and support on design and maintenance of Agency processes: A - revised Col policy B - output according to QSG plan C - ad hoc advice	Agency Regulation	A - Feb 2013 B - ongoing C - ongoing	A – No (due to lack of resources) B – Yes C- Yes
Updating of risk register (including maintenance and facilitation of risk management process implementation at ERA)	Agency Regulation	June and Dec 2013	Yes Updated 3Q2013
Updating of Issue Tracking System (including design/maintenance and facilitation of	Agency	Ongoing	Yes

"implementing action plan" at ERA)	Regulation		Continuously updated
A. Opinion on draft IAS reports (audit & risk assessment) B. Validation of GRC data C. Art. 72,5 Report	Agency Regulation	A. depending on IAS audit schedule B. On -going/4Q C. 3Q2013	A – Partially - IAS draft follow-up report expected in 1Q 2014 B – Yes - Continuously updated C – Yes – in 4Q2013

12.3 Legal affairs

The Legal Office provided legal opinions and legal advices to the Executive Director and to all Units and Sectors, also on its own initiative. It provided legal and administrative support (Secretariat) to the Administrative Board and its Subcommittee and ensured in particular the timely organisation and coordination of the meetings of the Administrative Board. It also intervened in case of claims and proceedings before the Courts and other public authorities. The Legal Office is also performing the role of the Data Protection Officer (DPO) which is to ensure in an independent manner the proper application within ERA of the Regulation (EC) 45/2001 in order to safeguard compliance with personal data protection rules.

The Legal Office is also managing the ethics requests which concern the Agency staff, it is involved in the checks of the declarations of external activities and other similar issues foreseen in the internal conflict of interest policy and leaving the Agency procedure.

By doing the above, the Legal Office so guaranteed legality and consistency of recommendations and opinions issued by the Agency and of the decisions adopted by the Executive Director and by the Administrative Board, including ensuring the compliance of the Agency's activities with the applicable legal framework prevents maladministration of the Agency. It facilitated indirectly the smooth performance of its tasks under the Agency Regulation and thus improving the Railway System.

The Legal Office conducts on behalf of the Agency with the assistance of an outside legal counsel the proceedings before the Civil Service Tribunal in two appeal cases filed in 2013 by staff members and former staff members of the Agency (cases F-95/13 and F-120/13).

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Legal advice, legal opinions	Agency Regulation	Ongoing	Yes Ongoing
Legal and administrative support to the Administrative Board (including Budgetary Subcommittee)	Agency Regulation	Ongoing	Yes Ongoing
Administrative Board / Sub-Committee meetings	Agency Regulation/ Decision N° 85 of the Administrative Board of the European Railway Agency establishing a Sub-	3 and 5 times per year	Yes Admin Board meetings on 20/03, 24/06, 26/11 Yes Sub-Committee

	Committee of the Board and repealing decision ERA AB n°33 of 23 June 2009		meetings on 25/01, 14/03, 17/06, 23/09, 18/11
Implementation of Regulation (EC) 45/2001 in order to ensure compliance with personal data rules	Agency Regulation	Ongoing	Yes Ongoing

12.4 Human Resources

The HR project secures the full range of human resources management services including recruitment, engagement, individual entitlements, learning & development, CDR, reclassification, administration, reporting, ... in compliance with the legal framework.

At the end of 2013, 134 Temporary Agents, 12 Contract Agents and 3 Seconded National Experts were working at the Agency. 3 of the remaining open positions of the 2013 Establishment Plan are cases where the Temporary Agents were already selected in 2013 but are in the process of taking up post in 2014. It is to be noted that some establishment plan positions were put on hold considering the decrease in staff foreseen in 2014, 2015 and 2016. 14 trainees were welcomed in the Agency in 2013.

Work has continued on the topic of Article 24(3) of ERA's founding regulation. In the framework of the 4th Railway Package, ERA had suggested to the Commission to clarify elements of Article 24(3) in the future Agency Regulation without changing the basic principle of having temporary agents both on short-term and on long-term employment. At the end of 2013 the Executive Director signed Decision ERA-ED-DEC-677-2013 governing the engagement and the use of Temporary agents (amending Decision N° 251/1 1.2009 on Temporary agents in the European Railway Agency) as well as Decision ERA-ED-DEC-678-2013 on long-term and short-term Temporary Agents posts at ERA.

ERA has now adopted 92 % of the existing Implementing Rules. Extensive work in this area was dedicated in 2013 to the preparation of the new Implementing Rules to give effect to the New Staff Regulations (coming into force on 1 January 2014).

Activities in the field of Learning & Development aim at providing the staff with the necessary skills and knowledge to meet the Agency's objectives with the highest competences, and insuring as much as possible coherent induction to newcomers and knowledge management in the operational units. In light of the desired skills needed for the 4th Railway Package, some specific training actions were developed and carried out, such as "ISO 9001 Lead Auditor" certification training, "writing with impact" and "training the occasional trainer". Over 80% of the number of training days was organized in-house.

High quality level of the Agency deliverables thanks to the performance of a knowledgeable, experienced and well trained staff contributed to a more efficient railway system in Europe.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
HR services (recruitment, entitlements, onboarding, CDR, reclassification, learning & development, reporting, project management) carried out in respect of the legal framework and within the set deadlines 95% of the establishment plan filled at the end of the year	Agency Regulation	Ongoing	Yes 95,1% of the establishment plan filled at the end of the year.

LEAMA management	Agency Regulation	Ongoing	Yes Improvement of the tool is ongoing.
New e-HR modules according to Agency quality programme and in function of budget available	Agency Regulation	According to project plan	No Postponed due to limited availability of human resources. The available resources have allowed only maintaining and adapting the existing modules.
Completed review of data protection notifications	Agency Regulation	Ongoing	Yes Review completed; new notifications under the approval process.
Staff survey and subsequent action plan in place	Agency Regulation	2Q2013	Yes Action plan following to the staff survey 2012 has been defined. The identified actions are ongoing.
Subsequent administrative activities undertaken with regard to the introduction of new Staff Regulations (as of 1 January 2014), e.g. review of Implementing Rules, changes of individual entitlements, etc.	Agency Regulation	2Q2013	Yes Administrative activities with regard to the introduction of the New Staff Regulations (as of 1 January 2014) have been prepared. Information to staff has been provided.

12.5 Finance, accounting and procurement

The project encompasses all ongoing tasks in relation to the preparation and execution of the budget, reporting on the budgetary execution, bookkeeping and relations with the Court of Auditors.

The Finance and Procurement Sector in charge of those tasks co-ordinated procurement planning and provided support in preparation and implementation of procurement procedures. Despite the multiple changes to the initial procurement planning, all call for tenders were launched within the set deadlines and all contracts, with the exception of one late procurement request, were signed by the end of August. The latter combined with a strict and rigorous monthly budgetary follow-up, has contributed to excellent budgetary execution results in terms of both, commitments and payments. In 2013 the Sector explored the possibilities of using e-PRIOR, a service-oriented platform designed for procurement. Given that e-PRIOR will only be fully in production in 2015, a feasibility study should be undertaken in 2014.

An IT-based tool for the user's questions in relation to mission expenses was introduced at the beginning of May 2013. The aim of this being twofold: (1) enhance staff's knowledge on mission reimbursement rules and (2) streamline and harmonize the way in which support is provided by the Finance sector. This tool has already shown its usefulness since the latest ex-post control report on payments demonstrated that there are only few errors as regards application of the mission reimbursement rules.

The efficiency of the finance team has further increased in 2013. Indeed the average payment delay (with the target of 45 days for a payment) for the reimbursement of staff missions decreased from 57 days to 52 days whilst the average payment delay for the reimbursement of experts remained stable (29 days in 2013 compared to 27 days in 2012).

Following the adoption of the new Framework Financial Regulation for decentralized bodies, the Agency has prepared its new Financial Regulation, which was approved by the Administrative Board in December 2013 and which is applicable as from 01.01.2014.

In the context of the Agency's quality management system the procurement cell has revised and updated the existing procurement procedure according to the quality management template.

The Agency has agreed to share the services provided by his Accounting Officer with another Agency (ESMA) on a temporary basis. This is fully in line with the request from the Commission, Council and European Parliament to look for synergies and increased cooperation between agencies.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Financial transactions and accounting services carried out in respect of the legal framework and within the set deadlines Budget execution: commitments >98%; payments >70%; 95% of payments within the set deadlines	Agency Regulation	Ongoing	Yes Budget execution: - Commitments: 98% - Payments: 88% Payments: Invoices: 97% within the regulatory deadline of 30 days
Advice & support for launching and carrying out procurement procedures 100% of procurement procedures carried out	Agency Regulation	Within the set deadlines	Yes All procurement procedures were launched and all contracts were signed by end of August
N+1 year budget submitted and approved	Agency Regulation	4Q2013	Yes Budget submitted to and approved by the Board at end of November
Monthly reports on budgetary execution	Agency Regulation	Monthly	Yes Monthly reports issued as planned
Asset Management updates	Agency Regulation	Ongoing	Yes Physical inventory exercise carried out

			during 4Q2013
IT Service MiMa	Agency Regulation	Ongoing	Yes Deployment of a service desk portal for MiMa
Decision on usefulness of e-PRIOR application for ERA activities	Agency Regulation	3Q2013	No Since E-Prior will only be fully in production in 2015 a feasibility study should be undertaken in 2014

12.6 Information Technology

In-house staff, contractors working on-site and contracted providers supplied conventional ICT services. In 2013, based on the business needs and operational demands, the consolidation of the Service Management Framework progressed. In-house expertise identified the relationship between Master Data Management and the Enterprise Information Architecture to rationalise the design of the core business data. The ongoing activities in relation to documentation of procedures and definition of service levels and performance indicators were also enhanced in 2013.

The project safeguarded that all Agency activities were carried out in a safe IT environment and in respect of data protection principles, engaging with stakeholders in aligning the ICT provided services with current and future business needs.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
IT security strategy implemented and working as designed	Agency Regulation	Ongoing	Yes Definition of the SECURIS@ERA framework (SECURE Information Systems at ERA)
Standard IT services delivered	Agency Regulation	Ongoing	Yes Global availability over 99%
IT Service Desk Valenciennes and Lille	Agency Regulation	Ongoing	Yes The service was supplied on regular basis
Documentation of procedures and definition of service levels monitored and corrective actions undertaken	Agency Regulation	Ongoing	Yes Documentation of the procedures was improved and corrective actions were taken where needed

On-line web services made available in line with business requirements	Agency Regulation	Ongoing	Yes Global availability over 99%
Business continuity plan tested and working as designed	Agency Regulation	3Q2013	No Due to the unavailability of the remote site, test postponed for 2014
Service Management Framework consolidated	Agency Regulation	4Q2013	Partially The consolidation of the Service Management Framework progressed
Relationship between Master Data and Enterprise Information Architecture Governance identified	Agency Regulation	4Q2013	Yes Convergence into the Rationalisation of Vehicle Related Registers Working Party

12.7 Facilities

In-house staff, contractors working on-site and contracted providers supplied the services needed for the management of the premises. In 2013, the process of formulating the Agency's requirements to rent premises in Lille started. Together with the HR and ICT teams significant steps were taken in improving the health and safety and the business continuity planning. EMAS (Eco Management and Audit Scheme) initiatives were started to reduce the environmental impact of the activities of the organisation.

The project safeguarded that all Agency activities were carried out in safe and comfortable working conditions, engaging with stakeholders in aligning the Facility Management services with current and future business needs.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Standard facilities services provided	Agency Regulation	Ongoing	Yes The services were supplied on regular basis
Evacuation exercise executed. Related procedures and documents revised and updated.	Agency Regulation	Ongoing	Yes The evacuation exercise was executed and the adoption of the "DU - Document Unique" (in France mandatory health and safety document containing the risks

			identified at the work place)
Requirements to a possible new building defined	Agency Regulation	4Q2013	Partially Valenciennes new terms of reference postponed for 2014; Lille new terms of reference defined
Introduction of EMAS initiatives	Agency Regulation	4Q2013	Yes Adoption of the Sustainable Practices Rules

Activity 13. Agency Management

The Agency continued in 2013 its integrated “One Agency” approach across all its units. This approach is since 2012 reflected in the "Activity Based" Structure of the Work Programme, the guiding structure for planning, execution and communication of the Agency's work. This coherent base for all activities of the Agency serves for structuring the operational matters as well as for a consistent management of all stakeholder interfaces. Furthermore, it is the indispensable basis for the discussion with the stakeholders of the strategic priorities of the work programme and the related resource allocations. The Agency Quality Programme implementation continued after its start in 2012. It ensures the necessary improvements of the Agency's key products, based on stakeholder needs, key performance indicators and their systematic feedback into the processes. Further existing and new transversal projects have been grouped into this activity: the International relations management, the Railway research coordination and the coordination of the EU Agencies due to the presidency rotating to ERA in 2013.

13.1 Strategy and business planning

The Agency's Strategy and Business Planning ensured, in close cooperation with the EC and other stakeholders, the strategic direction, the prioritization and the integrated planning of the (multi-)annual work programme. (Early) Impact assessment is used as default tool for identifying the right priorities. The implementation of the annual work programme and its change management were regularly monitored and adjusted where necessary. The final achievements of a business year are laid down in the Annual Activity Report.

The setting of the strategic priorities in function of the highest contribution to the strategic objectives set the EC and the Agency in the position to focus on the most promising activities for achieving those objectives and so for achieving the mission (to make the railway system work better for society). The close management of the work programme ensured its delivery in content and time.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Evaluation and prioritisation of the content of the (multi) annual work programme	Agency Regulation	With draft WP and Ongoing	Yes Several feedback sessions during the year to EC, AB and stakeholders
Draft and final annual and multi-annual work programme on integrated planning basis	Agency Regulation	Draft February 2013, Final version October 2013	Yes Annual WP adopted by the AB in November Multi annual WP noted by the AB in November
Execution monitoring, corrective actions and change management for the WP	Agency Regulation	Ongoing	Yes Continuous exercise
Annual Activity Report 2012	Agency Regulation	March 2013	Yes Annual Activity Report adopted by the Administrative Board on 12/06 and published in August

Monthly EIGC meetings organised. The IT strategic plan built and updated. Programme portfolios analyses made.	Agency Regulation	Ongoing	Yes 9 EIGC meetings held - annual ICT strategy developed following the workshop of Dec. 2012. ICT strategy workshop held in Dec. 2013 to define guidelines 2014 to 2016
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13.2 Stakeholder Management

The Agency coordinated meetings with the Network of Representative Bodies (NRB) to inform about Agency activities to agree on sector contributions to the Agency's work and to review "hot" issues, resulting in a better regulation, reduction of administrative burden, improvement of the sector's competitiveness.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Coordination of the NRB Network, organisation of NRB Network plenary meetings, seminars and workshops on specific topics	Agency Regulation	Minimum of 3 NRB meetings per year. Other events and activities as required	Yes 3 NRB Meetings successfully held to the satisfaction of participants. One special NRB held

13.3 Research and studies coordination

The Agency disseminated the EU framework to those involved in research; determined the Agency's needs for research; disseminated these needs to the funders and advisory bodies and influences research projects to ensure the outputs meet best the Agency's defined needs. It coordinated its studies in order to ensure coherence in study definition, clear strategic path of future Agency activities, and better knowledge of study sub-contractors.

In 2013 several research projects in particular the Trio Train project delivered outputs that helped the Agency to fill open points in the TSIs.

The Agency also supported the Commission in the development of the proposals for the Shift2Rail research project.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Coordination of the Agency's needs on research (and studies), reports and support to EC services for research, co-ordination of Agency activities and relationship to research projects, institutes and organisations	Agency Regulation	ERA research needs synchronized with ERRAC & DG RTD calendars. Regular meetings of the Agency	Yes Research Steering Group met Regularly. Input to Shift2Rail initiative ERA research needs

		Research Steering Group.	published and discussed with DG Research. Successful Chairmanship of TRioTrain Advisory Council and liaison with projects. Outputs most useful to the Agency
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13.4 International relations management

The Agency has a policy and dedicated projects on International Relations.

In 2013 the Commission, Agency and UNIFE set up a structured approach and regular meetings to ensure coordination of out of EU relations.

As an initiative under this framework the Agency, in partnership with the Commission and UNIFE further developed its involvement with the United States – in particular the Federal Railroad Association. Work is ongoing to develop a structured approach to subjects of a common interest (e.g. high speed standards, research, safety management and improving the competitive position of rail freight)

The Agency also monitored the development of rules under OTIF, UNECE and OSJD which are relevant for existing or under development EU legislation and managed to make most of these developments consistent with it. The Agency managed to limit the adoption of new inconsistencies between RID (international agreement concerning the regulation on the carriage of dangerous goods by rail) and the EU railway legislation, even if further improvements will need to be achieved in 2014. The new administrative arrangement between DG MOVE, OTIF and the Agency should facilitate this objective.

Concerning the relations between the Agency and the EU candidate and potential candidate countries, major steps have been accomplished under the IPA project 2012-2013 in collaboration with DG ELARG and DG MOVE. The Agency staff attended and chaired meetings, workshops and seminars on the EU railway legislation for the EU candidate and potential candidate countries, based on the agreement with the EC. Moreover, the EU candidate and potential candidate countries were given the opportunity through the IPA Project to actively participate in the meetings of the NSAs and NIBs, at equal level with the Member States.

The main achievement was our contribution through several workshops and dedicated meetings under IPA to the preparation of the Croatian railway safety and interoperability legislation before Croatia joined the Union. Very important also was the contribution of the Agency to the creation of a cooperation network between the IPA beneficiaries. The Agency facilitated and promoted through the IPA Project the involvement of Serbia and Kosovo on railway technical matters, as well as the participation of Turkey and the Former Yugoslav Republic of Macedonia for the first time in the IPA activities in the field of the EU railway legislation. In addition, through IPA the Agency's managed to trigger the interest of Bosnia and Herzegovina and Kosovo in the railway databases maintained by the Agency.

In practice, the overall benefit of this activity was to ease to a maximum the cross-border traffic with the said countries, the impact of foreign rulemaking on EU railway legislation was made limited, whereas the integration of EU candidate countries and potential candidates was better facilitated. In addition the EU railway legislation was substantially promoted in the Western Balkan countries and Turkey. Using the experience of railway organisations outside Europe (e.g. axle loads of USA) the Agency saved duplication of research and specification development. (E.g. sharing running dynamics knowledge) and facilitated a convergence of national rules. An information exchange with various worldwide countries and related associations were further established.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
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Participation in out of Europe events involving authorisation processes and technical rules	Agency Regulation Art. 21b	on request	Yes Joint visit with EC and UNIFE to US in conjunction with UNIFE-APTA
Assisting EC representing EU positions in OTIF, technical support	Agency Regulation Art. 21b	Meetings and exchange of information according to needs	Yes Participation to relevant UNECE and OTIF meetings
Representing EU railway interests at UNECE WP, following the developments and report to the EC and to experts in the Agency	Agency Regulation Art. 21b	Meetings and exchange of information according to needs	Yes Recognition of the Agency as a steering partner by UNECE and OTIF for developing risk-based approach in the field of Dangerous Goods Transport (TDG).
Via IPA: promoting of EC railway legislation in EU candidate countries or potential candidates	Agency Regulation Art. 30	Ongoing	Yes Contribution to Croatian railway law. Network between IPA countries Training of staff of IPA countries in the parameters of the EU legislation
Reporting on developments at OSJD	Agency Regulation Art. 30		Yes Participation to the revision of Annex II to SMGS on TDG.
Follow-up of progress and development of railway technology	Agency Regulation Art. 21b	Meetings and exchange of information according to needs	Yes ERA attended the WCRR meeting in Sydney to get abreast of research in the railway field.
Conduct a Working Party on the Transport of Dangerous Goods and develop common positions; continued reporting to EC; representing EC positions in OTIF	Agency Regulation Art. 21b	Ongoing	Yes Administrative arrangement signed between DG MOVE, OTIF and ERA on Dangerous Goods.

13.5 Quality Management

The Agency implemented further, under the management of the Quality office, the Quality Road Map stemming from the 2012 CAF action plan ("The Agency programme"), including the cross-Agency implementation, performance monitoring and review of its processes and their outputs, based on the identified needs or performance deficiencies. The Agency further developed, with the support of consultant processes that regards strategic and managerial tasks such as the Risk Management, the Internal Quality and ICS Assessment.

Some specific actions like the organization of internal trainings on main Agency products and implementation visits helping the staff to apply and understand the procedures were put in place.

Specific IT tools like the Action Tracking System and the Non-conformity Register were developed in order to facilitate the implementation of the Management System

On November, the first ERA Internal Quality Audit was carried out, having as objectives to verify the appropriate implementation and effectiveness of the ERA Management System and to make an assessment of the implementation level of Standards. The achievement of the Agency's business excellence, so the delivery of the Agency's outputs in the required quality, constituted the necessary base for the powerful execution of the tasks laid down in the work programme, also in terms of business continuity, to finally "*make the Agency work better for the railway system*".

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Process map and management system documents including strategic plan, audit procedure and non-conformity procedure	Agency Regulation	1Q2013	Yes Processes mapped and documented
Development and implementation (incl KPI) of Admin, Network, MoU and database processes	Agency Regulation	3Q2013	No Postponed. The first QMS review revealed other key processes to be developed first. The following Q documents have been implemented: Process Guide, Risk Mgt, Procurement, Internal Q Audit & ICS Assessment
Q manual, report templates, Q policy completed	Agency Regulation	4Q2013	Yes
Review and improvement of 4 processes (implemented in 2012)	Agency Regulation	3Q2013	Yes Processes have been analysed during the Internal Quality Audit
Implementation of post mail records and metadata system	Agency Regulation	2Q2013	No Postponed
Internal training and seminars	Agency Regulation	Ongoing	Yes Ongoing

13.6 Coordination of EU Agencies

The coordination of the network rotates between agencies for periods of one year at a time. The previous, the actual and the subsequent coordinating agency together form a troika. ERA became member of the troika in March 2012 and will be member until March 2015. ERA took over the coordination role on 1 March 2013 and has this role until the end of February 2014. The coordination tasks consisted mainly of being the single point of contact between the regulatory agencies and in particular the European institutions on issues of a horizontal nature and representing the agencies in meetings and negotiations. Furthermore, ERA has as a coordinating agency hosted two meetings of the Heads of Agency and two meetings of the Heads of Administration Networks. In addition, ERA has hosted a number of meetings for so-called sub-networks dealing with specific issues such as performance development and communication.

To enable ERA to carry out this significant additional task without negatively affecting the ongoing tasks of the Agency, a specific taskforce was established per 16 February 2013. This taskforce will be dismantled on 16 March 2014 when the work has been handed over to the next coordinating agency.

The main activities during 2013 have related to the implementation of the Common Approach on Decentralised Agencies agreed by the European Parliament, the Council and the Commission. Other important matters have been the 2011 and 2012 discharge, the 2014 budget and the programming of resources for agencies under the Multiannual Financial framework 2014-2020, the reform of the Staff Regulations and the new Framework Financial Regulation.

Fulfilling the coordination function of EU agencies network created a possibility to give an increased visibility of ERA initiatives and a wider promotion of the Agency activities.

Principal outputs 2013	Legal Basis	Planned Timing	Achieved
Taskforce for the coordination function of the Agencies fully operational	Agency Regulation	1Q2013	Yes
Two meetings of the heads of agency network organised and taken place	Agency Regulation	March 2013 – December 2013	Yes
Two meetings of the heads of administration network organised and taken place	Agency Regulation	March 2013 – December 2013	Yes

B. Governance, Management and Internal Control Systems

Administrative Board

The Administrative Board is the main governing body of the Agency. Its mission is to effectively ensure that the Agency accomplishes its functions and it is vested with the necessary powers for this, including establishing the work programme and budget.

The Board is composed of four representatives of the European Commission and one from each of the Member States. Representatives of Norway and Iceland participate as members without voting rights along with six representatives from the railway sector who represent railway undertakings, infrastructure managers, the railway supply industry, worker unions, passengers and freight customers. Croatia had the status of observer until 1 July 2013 when it became a full member in the Board. The EFTA Surveillance Authority (ESA) has observer status in the Board since February 2013.

2013 was the first full year under the Chairmanship of Mr Christopher Irwin, the Vice-Chairmanship of Mr Hinne Groot.

This year the Board followed closely the evolution of the legislative proposal for the 4th Railway Package, the Shift2Rail

proposal and their impact to the Agency's work and organisation.

The Board discussed in detail the steps and timetable of the selection procedure for a new Executive Director. It appointed its Chair as observer and the Swedish member as an alternate to the selection panel to be set up by the Commission. The Board members were also consulted in writing on the vacancy notice for the Executive Director's post.

The members of the Board continued to closely follow these proposals and they supported the Executive Director to implement them in the future. The Board is being informed regularly on the follow-up.

The agreement made in 2012 to have a multi-annual programme and a communication and dissemination plan for the Agency was successfully implemented. The communication and dissemination plan was adopted in November 2013 as an annexe of the Work Programme 2014.

The Board gave a positive opinion in November 2013 to the first Multi annual programme for the Agency which covers the years 2014-2017.

This year's novelty in the consultation process for the preparation of the Work Programme 2014 and the Multi-annual work programme 2014-2017 was a workshop organised in June 2013 for the Board members and all the sector representatives who allowed for a constructive exchange and wider engagement of the stakeholders concerned.

In addition, the Work Programme 2014 included a significant number of Key Performance Indicators (KPIs) which is an improvement following the proposal of the Board, while the structure and the content of the Annual Report 2012 have been extensively improved to comply with the set requirements common to all EU Agencies.

Finally, the Board adopted at the end of the year by written procedure the new ERA Financial Regulation which is in line with the Framework Financial Regulation applicable to the EU bodies.

Summary of Board Decisions

In its 28th meeting on 20 March 2013, held in Lille, the Administrative Board:

- › Approved a transfer of 2013 budget appropriations
- › Amended the ERA Internal Control Standards
- › Adopted the statement of estimates 2014
- › Adopted Multi-Annual Staff Policy Plan 2014-2016
- › Appointed reporting officers for the Executive Director's 2013-2014 appraisal exercise
- › Amended the composition and terms of reference of the Sub-Committee
- › Appointed the members and alternates of the Sub-Committee

In its 29th meeting on 24 June 2013, held in Lille, the Administrative Board:

- › Adopted the minutes of the 28th meeting held on 20 March 2013
- › Amended the work programme 2013
- › Gave an opinion on the Annual accounts 2012

The meeting followed a workshop on the elaboration of the work programme 2014

In its 30th meeting on 26 November 2013, held in Lille, the Administrative Board:

- › nominated its Chair, Mr Christopher Irwin, observer and its member representing Sweden, Mr Mats Andersson, alternate observer to the panel for the selection of the future ERA Executive Director – mandate 2015-2019.
- › amended the ERA work programme 2013
- › gave a positive opinion on the Multi-annual work programme 2014-2017
- › adopted the ERA work programme 2014
- › adopted the ERA budget and establishment plan 2014
- › took note of the transfers of appropriations 2013 decided by the Executive Director
- › agreed to the temporary arrangement of sharing partly the ERA Accountant's services with ESMA

In addition the Administrative Board adopted by written procedure the Annual Report 2012 and the new ERA Financial Regulation.

Sub-Committee

The Sub-Committee on financial, budgetary and staff-related issues was created in 2009 in order to provide advice on these matters prior to Administrative Board decisions. In 2013 the Sub-Committee met five times: its meetings usually take place before those of the Administrative Board. The Sub-Committee reports regularly to the Board.

Following the proposals of the position paper of the Administrative Board agreed on 26 June 2012, the advisory role of the Sub-Committee was enlarged in 2013. The extension of the scope of the Sub-Committee decided by the Board is in line with the legislative proposals of the European Commission on a 'Regulation of the European Union Agency for Railways and repealing regulation (EC) N° 881/2004'2 which foresee the establishment of an Executive Board to assist the Management Board.

This year the Sub-Committee's tasks included, in addition to the regular financial and staff issues, consultation and opinions on the work programme and planning, annual reporting, communication and dissemination plan and preparation of the transition towards the 4th Railway Package and Shift2Rail.

The Sub-Committee contributed substantially to the proper preparation of the meetings of the Board and advised it in relation to the decisions to be taken by the Board.

It continued to follow up closely the situation of staff turn-over and the constraints related to the limited contract duration of staff recruited from railway sector professionals. The Sub-Committee discussed in detail the Executive Director's decisions on the new staff contract approach which guarantees business continuity.

In addition, it supervised the efforts of the management to deal with the budgetary issues and especially to improve the budget implementation by respecting the principle of annuality, to increase the level of payments appropriations and to follow up of the Internal Audit Service recommendations and the Court of Auditor's observations.

In addition, it follows closely the establishment of key performance indicators which have been included in the Work Programme 2014, activity-based budgeting as well as impact assessment of the activities and tasks of the Agency.

The Sub-Committee since 2013 is composed of the Chairperson of the Board, the Deputy- Chairperson, two representatives of the Commission and four other members of the Board including one representative of the stakeholders. The Board appointed the members of the Sub-Committee and its chairperson. The Board appointed also alternates of the members of the Sub-Committee and a deputy chairperson. The Commission representatives in the Administrative Board proposed two members representing the Commission in the Sub-Committee and their two alternates.

Financial reporting

Revenue

The Budgetary Authority approved for 2013 the Agency budget of EUR 24 871 400. The total for assigned revenues was up to EUR 136 000 and the EFTA contribution was up to EUR 696 399. The Agency also forecasted a grant from DG Enlargement of EUR 150 000 and external fees of EUR 5 000. This brings the total forecasted budget to EUR 25 858 799.

The total revenue received from the Commission and external entities was EUR 25 853 799 (no fees were received in 2013). On top of this the Agency received EUR 40 415 of other revenue, representing penalties for liquidated damages paid by two suppliers and recharging of services provided to external parties.

Expenditure

In 2013, the Agency committed 97.9 % of the available appropriations.

EUR 0.5 million out of the total planned subsidy of EUR 25.8 million was not used. This amount comes from the fact that the Agency has forecasted to pay the 2011 and 2012 salary adjustments which have been rejected by the Council and for which the Court of Justice gave a negative opinion to the European Commission in November 2013. As regards the payments, the Agency used 88 % of the appropriations committed in 2013. The 12 % that are carried over to 2014 mainly concern operational expenditure (Title 3). In addition, 96.3 % of the appropriations carried over from 2012 (C8 credits) have been executed.

With regard to the original procurement plan, approved by the Administrative Board as part of the Work Programme 2013 and which serves as the Agency's financing decision, some procedures needed to be amended and the revised list of procurement procedures was submitted for adoption to the Administrative Board in June 2013 and also in November 2013. As a result all planned procedures have been used.

It is worth mentioning that in 2013 the Agency regularly used the 'procurement requests' application under the 'Procurement' intranet. The 'procurement requests' tool allows the centralisation and standardisation of the procurement requests and has been used in 2013 for preparing the procurement plan annexed to the Work Programme.

Financial KPIs

Global C1 Commitment rate: 97.9 %

Commitment rate Title 1: 97.2 %

Commitment rate Title 2: 99.5 %

Commitment rate Title 3: 98.9 %

Global C1 Payment on commitment rate: 88.1 %

C1 Payment on commitment rate Title 1: 94.6 %

C1 Payment on commitment rate Title 2: 81.3 %

C1 Payment on commitment rate Title 3: 74.4 %

Global C8 Payment rate: 96.3 %

C8 Payment rate Title 1: 93.3 %

C8 Payment rate Title 2: 97.5 %

C8 Payment rate Title 3: 96.5 %

Rate of commercial invoices paid within 30 days: 97 % (target: 95 %)

Rate of procurement procedures launched and concluded against the plan: 100 % (target: 100 %)

Risk Management

The Agency continued to implement a risk-management process during 2013 aimed at identifying the risks which needed to be mitigated for guaranteeing reasonable assurance about the achievement of the main objectives.

The main review of the risk-management process was carried out in 2012 and was aimed at producing an enhanced risk-management framework for the Agency. The revised risk-management process was further implemented by the Agency in the course of 2013 following approval by the Quality Steering Group.

Below is an extract of the Risk Register version 3Q 2013 including a full report on mitigating actions covering the years 2012 and 2013.

Title	Description	Risk typology	Risk rating	Mitigating action
Business continuity	<p>Root cause 1 — Lack of business continuity plan may lead in case of disaster to: Event — inability and unpreparedness of recovering core ICT systems and services Effect — so putting at risk the performance of critical business processes</p> <p>Root cause 2 — Dependence on a small number of individual's knowledge and experience to comply with the requirements of the mandates may lead to: Event — inability in implementing the annual Work Programme</p> <p>Root cause 3 — Lack of Safety Management System may lead to: Event — danger to the health and safety of staff</p> <p>Root cause 4 — Lack of DMS may impact negatively: Event — the efficiency of key processes</p>	Strategic processes	High	<p>Action 1 — The activities to set up and configure on site the Disaster Recovery Mobile Rack Solution were completed. Data population is completed and on-site synchronised. Due to late availability of the CdT server room in Luxembourg, the shipping of the equipment to the CdT premises is planned by December 2013. Memorandum of understanding with CdT submitted and waiting for signature. DR solution in place by Q1 2014 1: Risk Actionee: E. Tramacere</p> <p>Action 2 — change of contact policy (coordination by HR) in cooperation with DG Mobility and Transport Risk Actionee 2: M. Emborg, HR services</p> <p>Action 3 — The Health and Safety working group, established by the ED decision No 395, has identified priority actions in order to improve the evacuation procedure, namely fire pickets and staff members certified as SST (<i>Secouriste et Saveteurs du Travail</i>). With regard to the latter, the Agency completed the training of the staff members that volunteered as SST and that the Agency considered as suitable members of the First Aid Team. A more visible intranet page was created and a single SOS number was established. With regard to the fire pickets, work is in progress and it is expected to have them in place by Q2-2014. Risk Actionee 3: E. Tramacere</p> <p>Action 4 — A procedure for managing documents has been developed by quality project (ISO approach) during 4Q 2012 and further during 2013. ongoing customisation of tools for the document management and storage. Risk Actionee 4: J. Engelmann</p>

Stakeholders relation management	<p>Root cause — Lack of stakeholders relation management system coupled with weak external communication strategy and practices:</p> <p>Event — may lead to inability of the Agency in congruently reconciling diverse stakeholders expectations and effectively translating them into Agency's programming process so:</p> <p>Effect — impairing the quality of objectives defined in the annual Work Programme. Reputational risk is at stake as well.</p>	<p>Strategic processes</p>	<p>High</p>	<p>Stakeholder analysis carried out during CAF led to stakeholders mapping. The regular meetings/workshops/networks with the key Agency stakeholders which are installed continue in an ever mature way (NRB, NSA, NIB, MS and EU Commission). Stakeholder management process will be formalised in the Quality Steering Group in 2014. A particular focus is already given to streamlining relationships with the EU Commission as regards conditions and modalities for accepting new tasks.</p>
Performance measurement	<p>Root cause — Lack of a formal tool for measuring Agency's performance may lead to:</p> <p>Event — significant weakening of the decision-making and planning processes so:</p> <p>Effect — putting at risk the overall sustainability of core business. Reputational risk is at stake as well.</p>	<p>Management processes</p>	<p>High</p>	<p>KPIs are introduced in WP 2014, monitoring and use of the results in the course of 2014</p>
Communication strategy and practices	<p>Root cause — Lack of communication strategy and codified practices may negatively:</p> <p>Event — impact ability of the Agency in effectively conveying messages to key stakeholders and in running soundly crisis management events:</p> <p>Effect — put into danger an effective, timely and consistent implementation of the Agency's output in the railway sector. Reputational risk is at stake as well.</p>	<p>Support processes</p>	<p>High</p>	<p>Communication plan/strategy started in summer 2013, Work Programme 2014 contains first synopsis of ERA's communication activities. Optimisation of the setting of stakeholder/message/channel starting in 4Q13, progress report in March 2014 Administrative Board. Process agreed with Administrative Board.</p>
Reduction of resources in short-medium term as from 2014	<p>Root cause — Persistent financial crisis in Europe may lead the European Council and Parliament to propose severe budget restrictions to EU budget financial perspectives 2014–20, so:</p> <p>Event — the Agency may be required to cut its budget again for 2014 and onwards so:</p> <p>Effect — the delivery of different Agency's outputs to reach the strategic objectives may not be possible or strongly impacted from 2014 onwards</p>	<p>Management processes</p>	<p>High</p>	<p>(a) Enhancement of multiannual planning process (resources and outputs) started in 4Q2013 to ensure effective budget allocation and proper spending during carrying out of ERA tasks.</p> <p>(b) As a result of the communication to all stakeholders and in the forefront of the 4th Railway Package, ERA's budget has not been reduced in a vital way for 2014 and remains still stable over the next period.</p>
Comprehensibility of ERA's outputs	<p>Root cause — Poor clarity and low understandability of ERA's outputs/products could lead:</p> <p>Event — to rejection and/or reluctance by ERA stakeholders in using/accepting the outputs so leading to:</p> <p>Effect — the Agency being unable to prove the fulfilment of its strategic objectives as stated in WP.</p>	<p>Strategic processes</p>	<p>High</p>	<p>Simplicity and clarity as guiding principles in product development. This will be assured by regularly using test user groups and by collecting stakeholders' feedback when developing and improving products and services.</p>
Change of legal framework	<p>Root cause — Current EC proposals for the Fourth Railway Package would change fundamentally the approach and the related responsibilities of the safety certificate:</p> <p>Event — this could lead to lack of commitment from our different stakeholders to harmonise their way of working:</p> <p>Effect — putting into danger the timely and consistent implementation of the Agency's output with negative impact on objective 1,2</p>	<p>Strategic processes</p>	<p>High</p>	<ol style="list-style-type: none"> 1. Be regularly updated by EC on the status of this proposal of change for the 4th RP 2. If the proposal seems to be confirmed, organise regular discussions with NSAs during NSA network or bi-laterally to establish the transition from NSA granting the SC to the ERA. 3. If the proposal seems to be confirmed when discussions confirm lack of harmonisation, provide active support to the NSA (depending

	and 4.			if resources are available).
Evolution of ERTMS outside Europe	<p>Root cause — ERTMS deployment is progressing at much faster pace outside EU; EU market is now reduced to about 50 % of total. This will lead to ERTMS being more and more influenced by non-EU requirements, contracts, and context:</p> <p>Event — there is a risk that in the medium term the Agency role of system authority will be put in question so leading to:</p> <p>Effect — putting into danger the timely and consistent implementation of the ERTMS outputs with negative impact on objective 3. In particular the objective of Article 1 of the interoperability directive ‘to progressively establish the market for products and services’ will be put in jeopardy if the EU technical harmonisation does not take account of the worldwide standardisation of ERTMS.</p>	Management processes	High	<p>This is a residual risk where the Agency alone has limited margin of manoeuvre. The two main actions at the level of the Agency are:</p> <ol style="list-style-type: none"> 1. To increase our awareness of the global standardisation efforts, of the actors and strategic directions: this can be done with the help of the sector, with participation to selected Conferences, etc. 2. To pursue and when possible to intensify our contacts with regulatory bodies outside the EU, to share experiences, to understand approaches and when possible to coordinate actions: this can be done e.g. with the cooperation agreements or MoU (like the one with FRA).
Delay concerning Agency registers	<p>Root cause — Lack of stakeholders’ agreement on purpose and method of use of ERA’s registers will lead to:</p> <p>Event — rejection and/or reluctance in using this product by stakeholders so impacting:</p> <p>Effect — the related objectives (i.e. unsound use of resources) with significant reputational risks vis-à-vis ERA’s stakeholders</p>	Management processes	High	<p>Issue has been brought up at the appropriate level (RISC and EC) in 2013. Several actions have been started as a workshop with EC and stakeholders on registers and a ‘working party for the rationalisation of the use of registers’ to reach an acceptable level of consensus among stakeholders as regards the development of registers.</p>
Delays in the execution of procurement procedures	<p>Root cause — 1. inappropriate procurement planning; 2. delays in preparation of procurement documentation; 3. delays in the evaluation process. 1., 2. and 3. leading to:</p> <p>Event — late contracts signature so leading to:</p> <p>Effect — excessive carryovers putting annuality principle at stake</p> <ul style="list-style-type: none"> — delays in the implementation of the Work Programme — high exposure to criticism and findings from ECA — putting at risk the discharging process from the budgetary authority (COCOBU) — reputational risk 	Support processes	High	<ol style="list-style-type: none"> 1. To avoid planning of late contract signature; any procedure leading to the signature of a contract in Q4 of the year will be cancelled/postponed to next year/rescheduled for an earlier signature date. 2. Raising awareness of AO’s obligations by expanding regular reporting on the state of affairs (improved financial monthly reporting to MT)

Internal Control Standards

Compliance with Internal Control Standards

16 ICS were adopted by the Agency in line with the requirement of its Financial Regulation (Art 38, 4).

In 2013, The ICS assessment has been carried out together with the Internal Quality Audit.

The aim of this exercise was to provide the Executive Director with relevant information on the status of the internal control system within the Agency, to reinforce his declaration of assurance contained in this Annual Activity Report.

The evaluation on compliance showed that the Agency still needs to make some effort in order to achieve full compliance on 50 % of the standards, while minor improvements are required for the remaining 50 %.

Please find below a summary table on 2013 ICS assessment.

Ref. ICS	Full Compliance	Partial Compliance	Actions planned for 2014 for achieving full compliance
ICS 1 Mission			
ICS 2 Ethics & Values			
ICS 3 Staff recruitment mobility, turn over			Enhance effective control over management of Job Descriptions. A working group was established to develop the 'Job Description' procedure.
ICS 4 Staff performance, management & development			
ICS 5 Objectives and performance indicators			In WP2014 key outputs have been identified. Monitoring of the related KPIs will be implemented in 2014. During CDR exercise (1Q2014) the link between individual objectives and the objectives of ERA by applying the cascade process will be communicated.
ICS 6 Risk management process			
ICS 7 Operational structure			Actions ACT-2013-18 and ACT-2013-25 regarding ABAC access rights and sensitive functions will be closed during 2014.
ICS 8 Process and procedures			The Agency will continue during 2014 designing and implementing the ERA management system internal documents.
ICS 9 Management supervision			As part of the implementation of the ERA Management System additional supervision activities will be implemented during 2014 to ensure the efficiency and effectiveness of the Agency.
ICS 10 Business continuity			Action ACT-2013-6 is foreseen to be finished in March 2014.
ICS 11 Document management			DMS and the related rules/procedures to be finalized and implemented during 2014 by achieving full integration with ISO approach adopted by the Agency.
ICS 12 Information and communication			Development of a formal Communication policy and practices will be completed during 2014.
ICS 13 Accounting and financial reporting			
ICS 14 Evaluation of activities			
ICS 15 Assessment of internal control system			
ICS 16 Internal audit/quality capability			

Materiality Criteria

The thresholds that are applied by the European Court of Auditors as regards the financial statements are the following: individual errors exceeding 2% of the balance sheet total or exceeding 25 % of a given balance sheet heading which represents as a minimum 0,5 % of the balance sheet total must be corrected.

C. Building Blocks Towards the Declaration of Assurance

Assessment by management

Results of budgetary monitoring

The 2013 budget was subject to close and regular monitoring to ensure optimal and sound management of the Agency's financial resources.

The level of commitment execution reached nearly 98 %, i.e. above the level of 2012.

As regards the payment appropriations, the Agency used 88 % of the committed appropriations and thus has complied with the carry-over threshold, of respectively 10%, 20% and 30%, applied by the Court for all three titles, compared to 90 % in 2012. This significant improvement is a result of serious actions aimed at reducing the carry-overs, in particular for operational expenditure (Title 3 of the budget) mainly by further strengthening the procurement planning and procedures and improving the procedures for payments by reducing the processing time.

Legality and regularity

Depending on the risk level of the transaction, ERA has two workflows: one complete workflow model for high-risk transactions and one light workflow model for low-risk transactions (amount < EUR 1 000). These differentiated workflows apply only to payments. An *ex-ante* financial verification is processed for high-risk transactions while in the simplified, low-risk workflow, the financial verifying agent has been removed and an *ex-post* control for this particular expenditure is carried out.

Accordingly, in 2013 *ex-post* controls continued to be carried out using the same methodology as in the past: sampling, detailed findings and reports with recommendations. Following the risk assessment, it was decided to focus in 2013 on the reimbursement of mission expenses and the reimbursement of the mass payment files for recruitment interviews. The results of the controls were excellent. This was mainly due to the implementation of a service desk portal for all questions related to reimbursement of mission expenses and to a greater coherence in application of the mission reimbursement rules.

A simplified Annual Activity Report has been signed by all Delegated Authorising Officers who have to formally endorse the responsibility of the financial transactions validated in the course of 2013 and to declare any conflict and/or fraud of which they might be aware. The simplified AAR is integrated in the AAR of the Executive Director.

Validation of the accounting system

No validation of the local systems was carried out in 2013 since there were no significant changes to the existing system. All actions identified as a result of the 2012 validation were implemented in the course of 2013.

Registration of exceptions

No financial loss for the Agency has resulted from the exceptions registered in 2013.

More than half of 33 exceptions related to the late submission of staff mission cost claims. In addition:

- Six exceptions were related to a breach of Article 62 of the ERA FR (no commitment or underestimation of the commitment foreseen to cover a legal obligation);
- One exception was related to procurement rules (*a posteriori* increased market ceiling);
- Two exceptions related to the extension of the duration of the traineeships;
- One exception related to the use of the EPSO CAST database for the recruitment of contractual agent secretaries;
- Three other exceptions related to deviations from internal rules (bringing in of non-standard equipment, policy on mobile phones and policy on reimbursement farewell drink for management).

It should be noted that the exceptions registered in the course of the previous year (2012) have been duly analysed at the beginning of 2013. Since then the Agency adopted the "Nonconformity Management Procedure" and organised

information sessions for the staff dealing with missions (mainly secretaries). The development of an automatic reminder for staff members after completing the mission had to be postponed pending other modifications of the e-HR system used at ERA.

Accordingly, the Agency still needs to address the weaknesses identified in the exceptions by:

- developing an automatic reminder to the staff members after the mission has been completed (foreseen for 1 Q 2014);
- organising a refreshment information session to explain to staff how to avoid situations like 'a posteriori commitment' or the wrong use of low-value market procedures.

Fraud

Indicator	Result 2013	Result 2012	Variance analysis/comments
Cases referred to OLAF	0	0	N/A

Data protection

Context

The Agency continued in 2013 the implementation of the actions identified during the two previous years as necessary to attain the set targets for reaching personal data protection compliance.

A number of actors, mainly the Data Protection Officer, the Data Controllers and the Data Protection Coordinators were actively involved and contributed to progress made towards data protection compliance and to meet the objectives set by the European Data Protection Supervisor in 2011 mainly in terms of processing notified, training and privacy by design.

The aim was to become compliant to the Agency rules by ensuring that the personal data of the Agency staff as well as those of our external partners are lawfully, adequately, proportionately and properly processed in line with Regulation (EC) 45/2001.

ERA DPO Inventory

The Agency kept on updating throughout the year the inventory which comprises a list of all the personal data processing operations of the organisation.

The Agency's inventory includes 56 entries which correspond to the ERA processing operations as they have been identified until today. The inventory gives information about the name of the processing, whether the notification is prior-checkable or not, the name of the controller, risk level and status.

ERA DPO Register

All processing operations or sets of operations intended to serve a single purpose or several related purposes must be notified by the data controller to the DPO. The information provided includes the set of data specified in Article 25 of Regulation (EC) 45/2001.

The Register comprises 53 notifications of which 17 correspond to prior-check processing operations.

Similar to the inventory, the ERA DPO Register is a data base which contains all notifications submitted to the DPO in line with the requirements set by Regulation (EC) 45/2001.

The Agency continued to notify the processing operations and at the same time verified that the information regarding processing in the HR field was kept updated in relation to ongoing changes in the processing procedures.

Privacy by design

The Agency enhanced its efforts in considering early enough the data protection aspects in IT projects which cover all operational business. A number of documents were elaborated to provide how privacy by design will be implemented, for example the ICT Strategy 2012 – 2014, ICT Work plan 2013. During the projects inception phase a vision document and during the project elaboration, the Supplementary Specifications contain a section to specify the requirements for data protection.

It has been considered widening “doing it by design” further than to the developments of proprietary IT business systems. More particularly in the field of internal IT development (software solutions management developed in the Agency for administrative databases etc), the use of the simplified Vision document for formalizing the examination of the data protection questions was proposed to be introduced.

Staff training and awareness raising

The training on data protection was organised in the form of sessions for all staff members as well as targeted modules for newcomers and for staff who are more involved in the implementation of Regulation 45/2001.

A dedicated web-site with full information on data protection has been developed on which all the available awareness material including training material are posted. The Data Protection Day has been celebrated at the Agency with a quiz and material on the latest developments, on the legal framework and definitions, and a section on the data protection at the Agency as well as general useful information and links.

Outputs

The Agency has identified 17 prior-check processing operations. They have all been notified except two due to the fact that procedures are not yet in place.

42 Article 25 Regulation (EC) 45/2001 notifications were notified to the DPO register.

The Agency notified in 2013 two true prior-check notifications relating to the processing operations: procurement and harassment.

Results from audits and evaluations during the reporting year

In the following paragraphs will present the activity carried out by the bodies providing internal and external auditing services to the European Railway Agency. This activity is considered essential for the Executive Director in order to build his declaration of assurance.

Audits European Court of Auditors (ECA)

In its report on the annual accounts of the European Railway Agency for the financial year 2012 ⁽²⁾, the European Court of Auditors expressed the following opinions:

Opinion on the reliability of the accounts

‘In the Court’s opinion, the Agency’s Annual Accounts ⁽³⁾ present fairly, in all material respects, its financial position as of 31 December 2012 and the results of its operations and its cash flows for the year then ended, in accordance with the provisions of its Financial Regulation and the accounting rules adopted by the Commission’s accounting officer ⁽⁴⁾.’

Opinion on the legality and the regularity of the transactions underlying the accounts

‘In the Court’s opinion, the transactions underlying the annual accounts of the Agency for the financial year ended 31 December 2012 are legal and regular in all material respects.’

The Court of Auditors has commented the fact that the Agency had suppressed the Internal Audit Capability and replaced it with an Internal Control Coordinator function. Given that the internal auditor had left the agency and had not yet been replaced, the auditors expressed their uncertainties on how the internal auditing function provided for in the Agency’s financial regulation would be carried out under the new structure. The internal control coordinator took up his post on 1 March 2014.

In addition, the Court expressed its concern about the correctness of calculations of the family allowances and requested the Agency to reinforce the existing controls in order to make sure that they were calculated on the basis of complete and up to date information.

The above comments do not call the Court’s opinions into question.

Internal Audit Service (IAS)

In November 2013 the IAS carried out a follow-up audit on open recommendations, which ERA considered as ready for closure. The draft report was received in February 2014. The audit focused in particular on the recommendations regarding HR Management, Planning & Budgeting, Expert Management and Building Block of Assurance and resulted in the closure of 5 recommendations for the Agency and one downgrade from very important to important rate. Another 4 recommendations were closed and one downgraded, following the desk review by IAS at the beginning and end of 2013. The result is represented in the overview table in the next para on Audits Internal Audit Capability (IAC). Further recommendations are requested to be closed in the course of 2014.

⁽²⁾ OJ C 388, 15.12.2012.

⁽³⁾ The Final Annual Accounts were drawn up on 4 July 2012 and received by the Court on 7 July 2012. The Final Annual Accounts, consolidated with those of the Commission, are published in the Official Journal of the European Union by 15 November of the following year. These can be found on the following website <http://eca.europa.eu> or www.era.europa.eu.

⁽⁴⁾ The accounting rules adopted by the Commission’s accounting officer are derived from International Public Sector Accounting Standards (IPSAS) issued by the International Federation of Accountants or, in their absence, International Accounting Standards (IAS)/International Financial Reporting Standards (IFRS) issued by the International Accounting Standards Board.

Audits Internal Audit Capability (IAC)

Following an in-depth cost/benefit analysis, the Agency's management decided in 2012 not to have an Internal Audit Capability but to rely on the IAS for this activity. It was also decided to set up an internal control coordinator function aiming at better supporting the Executive Director in implementing risk management and in assessing the internal control system, including evaluating the Internal Control Standards, its effective integration into the quality management system and the support in implementing the internal quality management audit. For this aim, the function of the internal control coordinator (ICC) will replace the one of internal auditor (IA) at the Agency. A selection procedure for the recruitment of an ICC had been launched and concluded in 2013. The newly recruited ICC started in March 2014. Despite the fact that the Agency did not have a proper IAC function in place, a set of internal control and audit exercises were carried out (cf project 12.2).

Follow up of reservations and action plans for audits from previous years

No reservations were issued by the Executive Director from the start of the activities of the Agency.

During 2013 the Agency has continued to implement corrective actions in order to close audit recommendations issued by the IAS in the previous years. In this regard, a significant effort was made during 2013 aimed at implementing an important number of audit recommendations. This effort resulted in closing 9 IAS recommendations.

The Agency still needs to implement in total thirteen recommendations whose completion is envisaged within 2014.

Please find below a table summarising on the status of audit recommendations during the year 2013:

Status as per 31/12/2013			
	Total of recommendations contained in the audit report	Recommendations implemented by ERA and closed by IAS	Under implementation by ERA
Audit on Human Resources Management /2009			
Critical	0		
Very Important	4	3	1
Important	2	2	0
Total	6	5	1
Audit on Budgeting and Planning /2010			
Critical	0		
Very Important	5	5	0

Important	11	8	3
Total	16	13	3
Audit on Expert Management in Interoperability /2011			
Critical	0		
Very Important	1	1	0
Important	4	2	2
Desirable	1	1	0
Total	6	4	2
Audit on AAR & Building Blocks of Assurance/2012			
Critical	0		
Very Important	2	0	2
Important	7	3	4
Desirable	1	0	1
Total	10	3	7
Grand Total	38	25	13

Follow up of observations from the discharge authority

In April 2013 the discharge authority granted discharge to ERA's Executive Director for the implementation of the 2011 budget. In its resolution, the discharge authority raised concerns regarding measures ensuring the respect of the budgetary principle of annuality, i.e. too high level of carry-overs of the Agency, in particular for operational expenditure and also the staff situation at ERA due to the expected significant turnover.

As regards the level of carry-overs, the Agency is carrying out close budget execution monitoring since 2012. This improved the Agency's business and procurement planning as well as payment procedures and further reduced processing time of payments. The reinforced budget monitoring resulted in reaching in both budget years, e.g. 2012 and 2013, the targets applied by the Court of Auditors, namely carry-overs of less than 10 % in Title 1, less than 20 % in Title 2 and less than 30 % in Title 3. It should also be noted that nearly the entire amount carried over was spent during the following year (96 % of the carry-overs were used in 2012 and 2013).

With regard to the staff situation, the Agency took several initiatives in terms of improving knowledge management and recruitment planning. But it was deemed impossible to ensure the necessary business continuity in view of particularly high turnover of operational staff expected in the coming years. Accordingly, in July 2013 ERA asked for the Commission's agreement to an amendment of the implementing rule on the use and engagement of temporary agents at the Agency. In October 2013, the Commission gave its agreement to the amendment which entered into force in November 2013. In line with the new provisions, as of 11 November 2013 the ERA operational staff can occupy long-term positions which was not the case before. It is the expectation that as a result of this revision of the implementing rule, the staff turnover will be reduced to a manageable level.

Conclusions

Based on all the elements and facts presented in the previous sections, it can be concluded that the information presented in the previous sections is reasonably complete and reliable and provides an exhaustive and fair view of the Agency's situation.

D. Declaration of Assurance

I, the undersigned, Executive Director of the European Railway Agency,

In my capacity as authorising officer,

Declare that the information contained in this report gives a true and fair view.

State that I have reasonable assurance that the resources assigned to the activities described in this report have been used for their intended purpose and in accordance with the principles of sound financial management, and that the control procedures put in place give the necessary guarantees concerning the legality and regularity of the underlying transactions.

This reasonable assurance is based on my own judgment and on the information at my disposal, such as the results of the self-assessment, ex-post controls, the work of the Internal Audit Service and the lessons learnt from the reports of the Court of Auditors for years prior to the year of this declaration.

Confirm that I am not aware of anything not reported here which could harm the interests of the Agency.

Valenciennes,

(signature)

Marcel VERSLYPE

Annexes

Annex I Statistics on financial management (provisional accounts)

Table 1 – Budget execution

2013	Appropriations	Commitments	% / App	Payments	% /App	Carry-over	% /App
Title I	16 590 000	16 131 823	97	15 701 820	95	⁵ 124 690	1
Title II	2 860 000	2 831 915	99	2 316 153	81	515 762	18
Title III	6 408 799	6 343 195	99	4 768 219	74	1 574 976	25
Total Annual Subsidy	25 858 799	25 306 933,00	98	22 786 192,00	88	2 215 428	9

⁵ Total carry-over on title I is € 430 003 of which € 305 313 is automatically cancelled since it concerns salary related expenses for which no carry-forward is allowed.

Table 2a: Negotiated Procedures

Contracts ≤ EUR 25 000 Contracts ≥ EUR 60 000

- Count: 8
- Total Amount: 290 171 €

* (RAP): Rules of Application

Number	Contractor(s)		Type of Contract	Description	Amount (€)	Legal Base
	Name	Address				
ERA 2013 03 DIR NP	Pixoo Print Rue Bois des Faulx 26 B 6030 Marchienne- au-pont		Framework Service Contract	Design, graphic, editing, print.	60 000€	Article 137 RAP
ERA 2013 04 RSU NP	Bedford Hotel 135 rue du midi B-1000 Bruxelles		Purchase Order	ERA needed to organise three meetings for the Heads of Agency and Heads of Administration (chairmanship).	20 469€	Article 137 RAP
ERA 2013 06 RSU NP	Diffusion Distribution Automatique 11 rue Rousseau F-59210 Dunkerke		Framework Service Contract	Water fountains	17 500€	Article 137 RAP
ERA 2013 10 XACC NP	INECO Paseo de la Habana 138 28036 Madrid (ES)		Direct Service Contract	Proposal for setting up a One Stop Shop for vehicle authorization operated by the European Railway Agency	23 960€	Article 137 RAP
ERA 2013 11 DIR NP	Newcom 76 rue Jaurès		Framework Service	Objets publicitaires	60 000€	Article 137 RAP

Number	Contractor(s)		Type of Contract	Description	Amount (€)	Legal Base
	Name	Address				
	F-59410 Anzin		Contract			
ERA 2013 12 RSU NP	Dekra 2, rue Galilée, Parc de l'Etoile 59760 Grande Synthe		Framework Service Contract	Health & Safety at work	60 000€	Article 137 RAP
ERA 2013 15 XACC NP	Rina Spa Via Corsica 12 IT-16128 Genova		Direct Service Contract	Tests required by NSAs going beyond TSIs requirement	22 800€	Article 137 RAP
ERA 2013 18 RSU NP	Le Nouveau Palace S.A. 3 rue Gineste B-1210 Brussels		Purchase Order	ERA needed to organise three meetings for the Heads of Agency and Heads of Administration (chairmanship).	25 442 €	Article 137 RAP

Table 2b: Summary of Procedures

(Excluding real estate contracts
and contracts ≤ €15.000)

Type of contract	Count	Amount (€)
Supply	1	60 000
Services	13	1 214 426
Works	0	0
TOTAL	14	1 274 426

Procedures	Count	Amount (€)
Open	5	772 660
Restricted	1	211 595
Negotiated	8	290 171
Negotiated Competing	0	0
Other	0	0
TOTAL	14	1 274 426

Table 3: Real Estate Contracts

Number	Contractor(s)		Type of Contract	Description	Amount (€)	Legal Base
	Name	Address				
N/A	Communauté d'agglomération de Valenciennes Métropole Hôpital du Hainaut, 2 Place de l'Hôpital Général BP 60227 59305 Valenciennes Cedex FRANCE	Hôpital du Hainaut, 2 Place de l'Hôpital Général BP 60227 59305 Valenciennes Cedex FRANCE	Building contract	Lease contract of ERA's headquarters 120 rue Lefrancq 59300 Valenciennes FRANCE	423 829	IR – Art 126(h)

Table 4: Economic Outturn Account (provisional accounts)

ECONOMIC OUTTURN ACCOUNT	31/12/2013	31/12/2012
Revenues from administrative operations	-108,40	1 954,05
Other operating revenues	24 961 246,06	24 389 188,98
Subsidy received	24 912 065,85	24 345 524,81
<i>Title 1&2</i>	18 490 000,00	18 716 000,00
<i>Title 3</i>	7 213 799,00	6 928 000,00
<i>Part of Phare Funds subsidy used in 2012</i>	162 553,77	135 861,21
<i>To be reimbursed (Budget outturn)</i>	-954 286,92	-1 434 336,40
Miscellaneous revenue	49 180,21	43 664,17
TOTAL OPERATING REVENUE	24 961 137,66	24 391 143,03
Administrative expenses	-20 171 195,44	-20 250 248,49
<i>Staff expenses</i>	-15 287 292,72	-15 504 476,56
<i>Fixed assets related expenses</i>	-960 773,66	-785 750,91
<i>Other administrative expenses</i>	-3 923 129,06	-3 960 021,02
Operational expenses	-4 413 748,05	-5 692 968,75
<i>Other operational expenses</i>	-4 413 748,05	-5 692 968,75
TOTAL OPERATING EXPENSES	-24 584 943,49	-25 943 217,24
SURPLUS (DEFICIT) FROM OPERATING ACTIVITIES	376 194,17	-1 552 074,21
Financial revenues	0,00	0,00
Financial expenses	0,00	-30,00
Movement in pensions (-expense; + revenue)	0,00	0,00
SURPLUS (DEFICIT) FROM NON-OPERATING ACTIVITIES	0,00	-30,00
SURPLUS (DEFICIT) FROM ORDINARY ACTIVITIES	376 194,17	-1 552 104,21
Extraordinary gains (+)	0,00	0,00
Extraordinary losses (-)	0,00	0,00
SURPLUS (DEFICIT) FROM EXTRAORDINARY ITEMS	0,00	0,00
ECONOMIC RESULT OF THE YEAR	376 194,17	-1 552 104,21

Table 5: Balance sheet (provisional accounts)

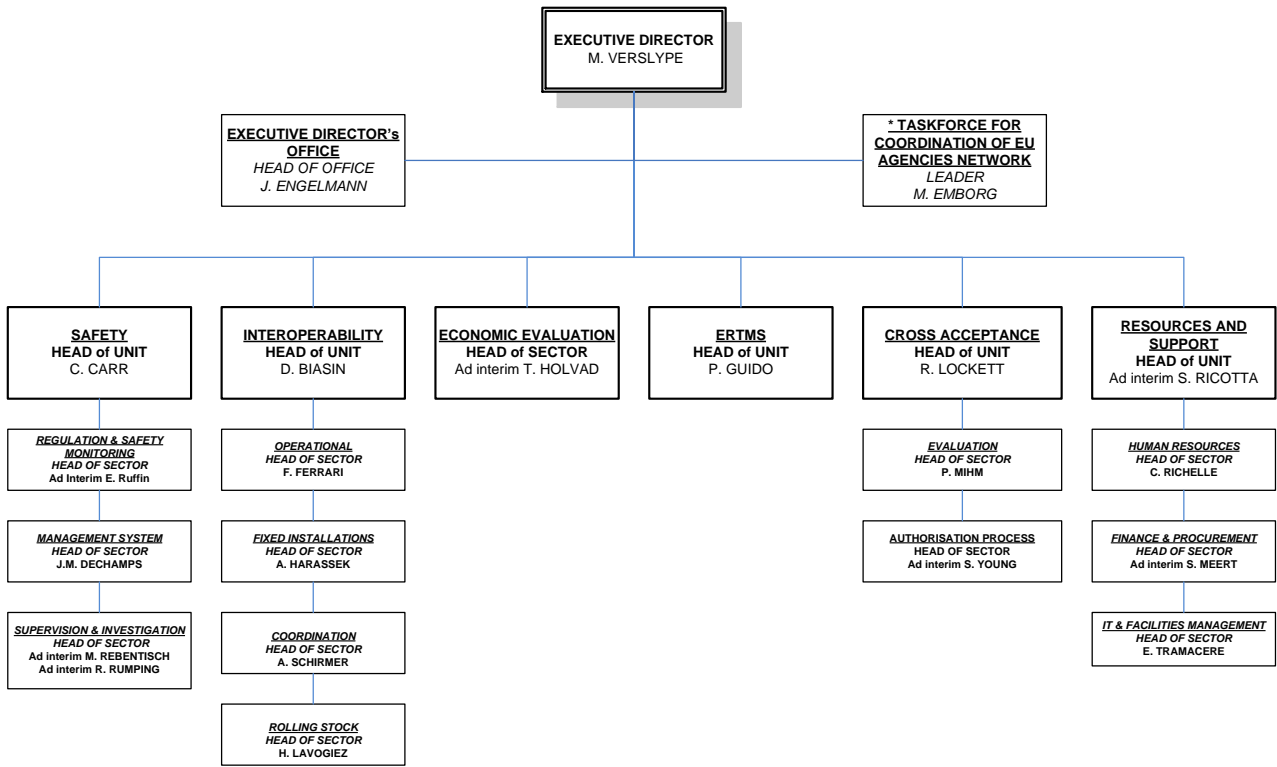
BALANCE SHEET - ASSETS	31/12/2013	31/12/2012
<u>A. NON CURRENT ASSETS</u>		
Intangible assets	1 506 756,87	1 446 937,83
Property, plant and equipment	1 187 373,50	1 009 235,00
Land and buildings	4 710,00	5 270,00
Plant and equipment	24 695,00	2 828,00
Computer hardware	965 685,00	831 772,00
Furniture and vehicles	130 201,00	97 983,00
Other fixtures and fittings	62 082,50	71 382,00
Leasing	0,00	0,00
Tangible fixed assets under construction	0,00	0,00
Long-term receivables	3 371,30	0,00
Long-term receivables	3 371,30	0,00
TOTAL NON-CURRENT ASSETS	2 697 501,67	2 456 172,83
<u>B. CURRENT ASSETS</u>		
Short-term pre-financing	0,00	0,00
Short-term pre-financing	0,00	0,00
Short-term receivables	862 115,65	429 952,02
Current receivables	564 540,45	385 781,01
Long-term receivables falling due within a year	0,00	0,00
Sundry receivables	57 281,91	44 171,01
Other	240 293,29	0,00
<i>Accrued income</i>	0,00	0,00
<i>Deferred charges</i>	105 957,33	0,00
<i>Other active accruals & deferrals</i>	17 005,91	0,00
<i>Deferrals and accruals with consolidated EC entities</i>	0,00	0,00
<i>Short term receivables with consolidated EC entities</i>	117 330,05	0,00
Cash and cash equivalents	2 438 071,75	3 214 156,49
TOTAL CURRENT ASSETS	3 300 187,40	3 644 108,51
TOTAL	5 997 689,07	6 100 281,34

BALANCE SHEET - LIABILITIES		31/12/2013	31/12/2012
<u>A. CAPITAL</u>		3 201 064,68	2 824 870,51
Accumulated surplus/deficit		2 824 870,51	4 376 974,72
Economic result of the year-profit+/loss-		376 194,17	-1 552 104,21
<u>B. NON CURRENT LIABILITIES</u>		0,00	0,00
Employee benefits		0,00	0,00
Long-term provisions		0,00	0,00
TOTAL NON-CURRENT LIABILITIES (A+B)		3 201 064,68	2 824 870,51
<u>C. CURRENT LIABILITIES</u>		2 796 624,39	3 275 410,83
Provisions for risks and charges		807 627,75	601 268,78
Accounts payable		1 988 996,64	2 674 142,05
Current payables		1 605,71	24 265,03
Long term liabilities falling due within the year		0,00	0,00
Sundry payables		3 790,28	7 270,07
Other		1 009 140,70	1 076 379,13
<i>Accrued charges</i>		914 677,28	798 362,88
<i>Deferred income</i>		0,00	0,00
<i>Other passive accruals & deferrals</i>		0,00	0,00
<i>Deferrals and accruals with consolidated EC entities</i>		94 463,42	278 016,25
Accounts payable with consolidated EC entities		974 459,95	1 566 227,82
<i>.....Prefinancing received from consolidated EC entities</i>		955 871,94	1 448 475,19
<i>.....Other accounts payable against consolidated EC entities</i>		18 588,01	117 752,63
TOTAL CURRENT LIABILITIES		2 796 624,39	3 275 410,83
TOTAL		5 997 689,07	6 100 281,34

Table 6: Budget and revenue outturn (provisional accounts)

	2013	2012
Revenue		
Commission subsidy DG TREN	25 703 799.00	25 644 000.00
Phare funds from Commission	150 000.00	150 000.00
Fee income	0.00	5 000.00
Other revenue	40 415.20	115 423.71
Total revenue (a)	25 894 214.20	25 914 423.71
Expenditure		
Personnel expenses – Budget Title I		
<i>Payments</i>	15 701 819.74	15 706 124.98
<i>Automatic carry-overs</i>	129 189.72	185 829.80
Administrative expenses – Budget Title II		
<i>Payments</i>	2 372 475.58	1 884 860.15
<i>Automatic carry-overs</i>	517 657.34	290 927.15
Operational expenses – Budget Title III		
<i>Payments</i>	4 768 219.22	4 577 176.64
<i>Automatic carry-overs</i>	1 574 975.90	1 959 682.33
Total expenditure (b)	25 064 337.50	24 604 601.05
Out-turn for the financial year (a-b)	829 876.70	1 309 822.66
Cancellation of unused carry-overs	87 293.39	126 316.52
Adjustment for carry-over from the previous year of appropriations available at 31.12 arising from assigned revenue	37 696.85	
Exchange differences for the year	- 580.02	- 1 802.78
Balance carried over from year N-1	1 434 346.40	136 683.33
Positive balance from year N-1 reimbursed in year N to the Commission	- 1 434 346.40	- 136 683.33
Balance of the out-turn account for the financial year	954 286.92	1 434 336.40
Not included in the budget out-turn:		
Interest received by 31/12/N on the Commission subsidy and to be reimbursed to the Commission	14 803.01	24 705.88

Annex II Organisational chart



31/12/2013

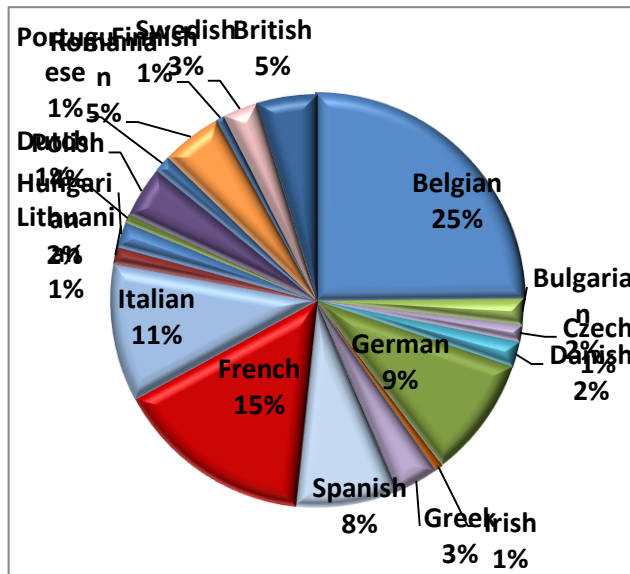
* Only for the period 16/02/2013 – 15/03/2014

Annex III a Establishment plan

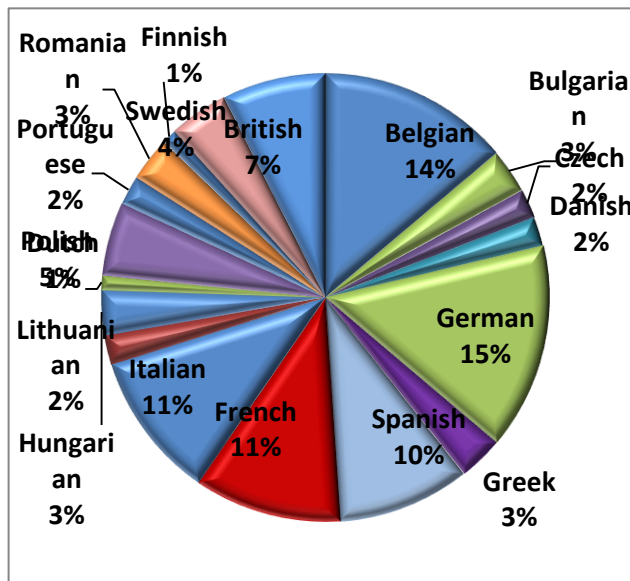
Category and Grade	Establishment Plan in Budget 2013		Real at 31/12/2013
	Officials	TA	TA
AD 16			
AD 15			
AD 14		1	1
AD 13			
AD 12			
AD 11		2	
AD 10		13	6
AD 9		26	24
AD 8		22	24
AD 7		9	2
AD 6		30	36
AD 5			1
Total AD	0	103	94
AST 11			
AST 10			
AST 9		2	
AST 8		2	2
AST 7		1	1
AST 6		2	4
AST 5		5	5
AST 4		6	5
AST 3		8	6
AST 2		8	12
AST 1		6	5
Total AST	0	40	40
TOTAL	0	143	134

Annex III b Staff composition

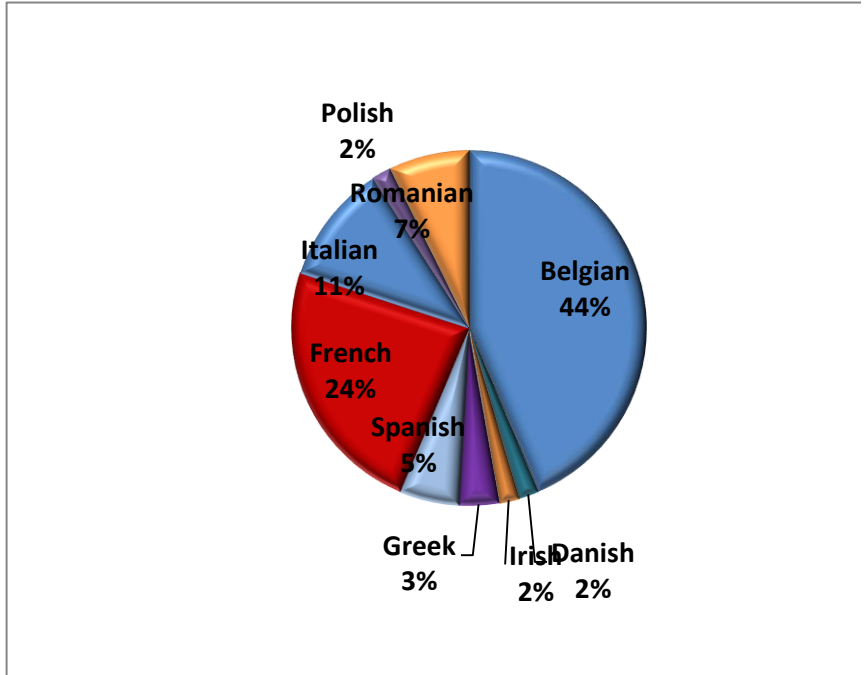
All staff by nationality (19 nationalities)



Operational staff by nationality (18 nationalities)

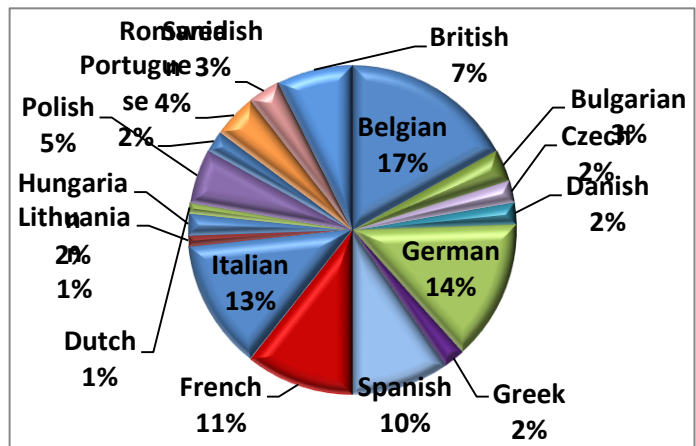


Administrative staff by nationality (9 nationalities)

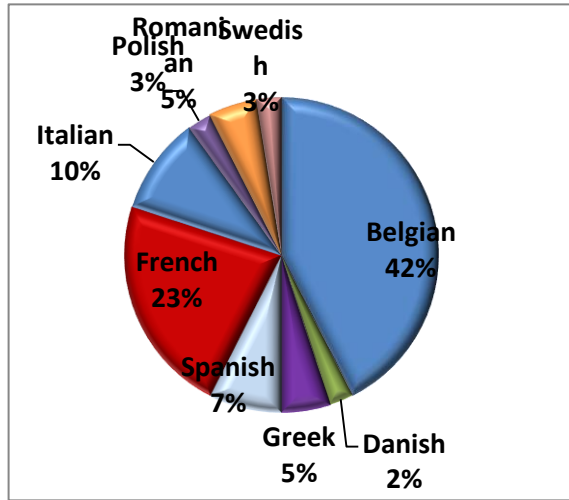


Nationality per contract type

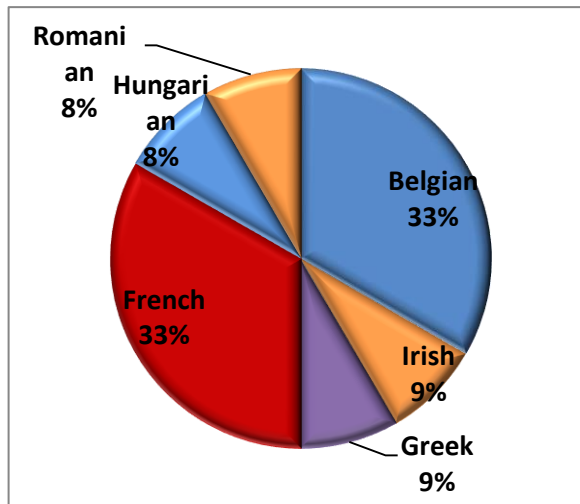
Administrator (AD)



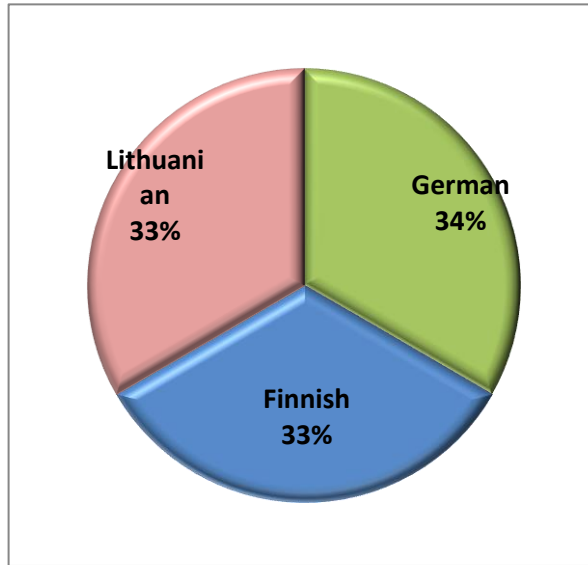
Assistant (AST)



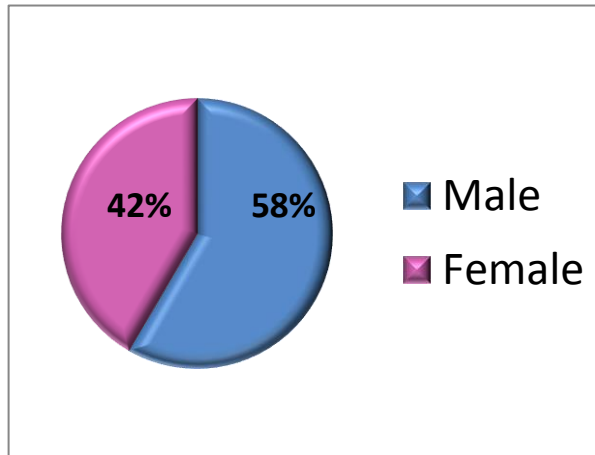
Contract agent (CA)



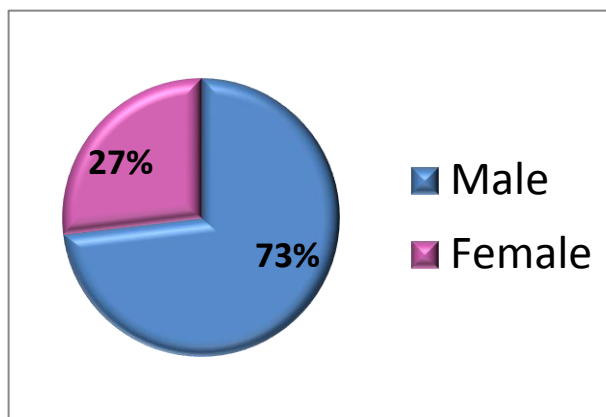
Seconded national expert (SNE)



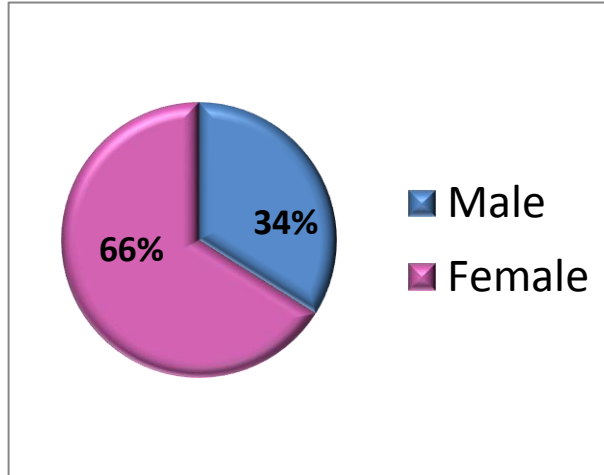
Gender balance all staff



Gender balance operational staff

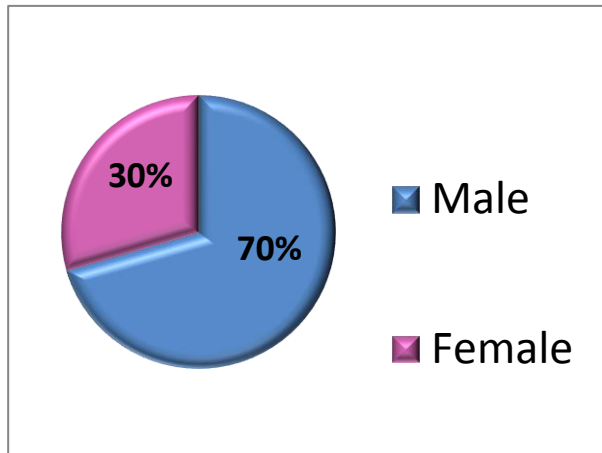


Gender balance administrative staff

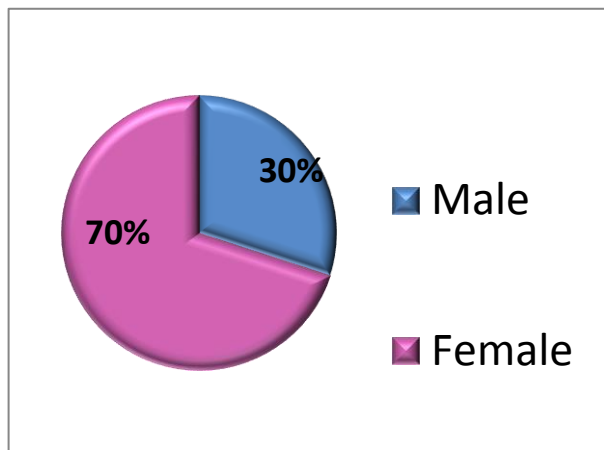


Gender balance per contract type

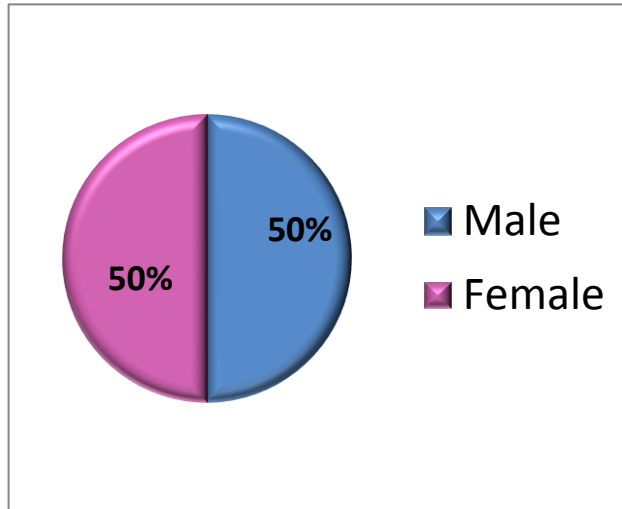
Administrator



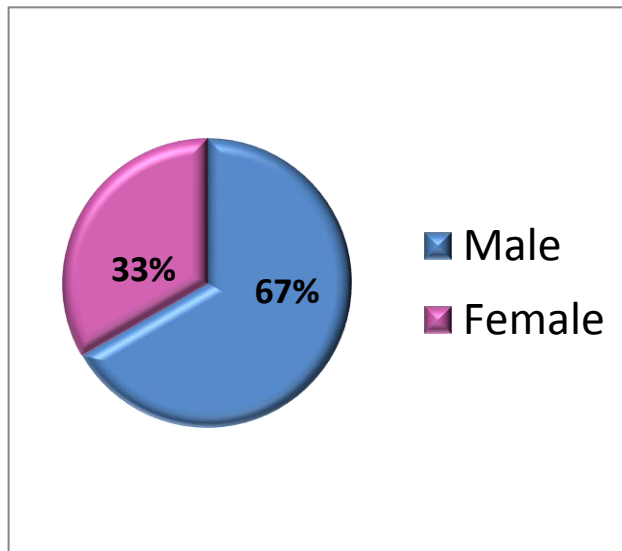
Assistant



Contract agent



Seconded national expert



Annex IV Human and financial resources by activity (planned vs actual)

The following table shows the planned resources as described in [the Work Programme 2013](#):

Activity	Unit Staff planned	DIRECT COSTS				INDIRECT COSTS		SUB-TOTAL	Distributed overhead	TOTAL
		CHAP 30			BL3110	Chapter 31 - BL3110	Titles 1 &2			
		FTE	ACTIVITIES	STUDIES						
1. Developing and promoting a common understanding of a Safety Management System	3,45	135 940	120 000	130 820	0	0	424 699	811 459	320 146	1 131 605
2. Developing and promoting harmonised principles for accident investigation bodies	1,96	75 840	120 000	132 020	0	0	241 278	569 138	181 880	751 018
3. Developing and promoting a harmonised Safety Regulatory Framework	8,76	307 980	60 000	93 520	0	0	1 078 367	1 539 867	812 891	2 352 759
4. Monitoring Safety Performance	14,55	153 160	0	43 640		0	1 791 123	1 987 923	1 350 179	3 338 103
5. Facilitation of Vehicle Authorisation	16,08	167 000	50 000	20 000	0	0	1 979 468	2 216 468	1 492 157	3 708 625
6. ERTMS System Authority	10,40	360 000	250 000	15 000	0		1 280 253	1 905 253	965 077	2 870 330
7. Technical Specifications	20,85	430 100	320 000	100 000	0	0	2 566 661	3 416 761	1 934 793	5 351 554
8. Railway staff	1,35	77 980	0	0	0		166 187	244 167	125 274	369 441
9. Shared databases and registers	10,25	131 450	0	0	1 578 299	0	1 261 788	2 971 537	951 157	3 922 694
10. Monitoring Interoperability	2,20	47 350	0	0	0	0	270 823	318 173	204 151	522 324
11. Economic evaluation of Agency products	6,55	86 220	0	40 000	0	0	806 313	932 533	607 813	1 540 346
12. Support to the Agency operations	46,05	0	0	0	655 500	320 000	5 668 813	6 644 313	-6 644 313	0
13. Agency Management	15,55	186 980	0	0	0	200 000	1 914 225	2 301 205	-2 301 205	0
Grand Total	158	2 160 000	920 000	575 000	2 233 799	520 000	19 450 000	25 858 799	0	25 858 799

The following table shows the actual resources used in 2013:

Activity	Unit Staff at 31/12	DIRECT COSTS				INDIRECT COSTS		SUB-TOTAL	Distributed overhead	TOTAL
		CHAP 30			BL3110	Chapter 31 - BL3110	Titles 1 & 2			
	FTE	ACTIVITIES	STUDIES	TRANSLATIONS, INTERPRETATION						
Developing and promoting a common understanding of Safety Management System	3,45	125 940,00	119 990,00	150 320,00	0,00	0,00	439 093,26	835 343,26	328 341,01	1 163 684,27
Developing and promoting harmonised principles for accident investigation bodies	1,96	75 840,00	0,00	132 020,00	0,00	0,00	249 455,88	457 315,88	186 535,76	643 851,64
Developing and promoting a harmonised Safety Regulatory framework	8,76	297 980,00	51 503,00	93 520,00	0,00	0,00	1 114 915,07	1 557 918,07	833 700,64	2 391 618,71
Monitoring of Safety Performance	14,55	143 160,00	0,00	43 640,00	0,00	0,00	1 851 828,11	2 038 628,11	1 384 742,50	3 423 370,61
Facilitation of Vehicle Authorisation	14,08	119 900,00	46 760,00	98 041,00	0,00	0,00	1 792 009,60	2 056 710,60	1 340 011,99	3 396 722,59
ERTMS System Authority	11,4	319 954,00	496 248,00	7 280,00	0,00	0,00	1 450 916,87	2 274 398,87	1 084 952,89	3 359 351,76
Technical Specifications	19,85	370 100,00	217 670,00	93 821,00	0,00	0,00	2 526 377,18	3 207 968,18	1 889 150,43	5 097 118,60
Railway staff	1,35	62 980,00	0,00	0,00	0,00	0,00	171 819,10	234 799,10	128 481,26	363 280,37
Shared Databases and registers	9,25	77 450,00	0,00	0,00	1 734 098,00	0,00	1 177 279,04	2 988 827,04	880 334,58	3 869 161,62
Monitoring Interoperability	2,2	45 553,00	0,00	0,00	0,00	0,00	280 001,50	325 554,50	209 376,87	534 931,37
Economic Evaluation of Agency products	4,55	51 717,00	0,00	0,00	0,00	0,00	579 094,01	630 811,01	433 029,44	1 063 840,46
Support to Agency operations	43,05	0,00	0,00	0,00	529 472,00	352 357,00	5 479 120,27	6 360 949,27	-6 360 949,27	0,00
Agency Management	14,55	166 980,00	0,00	0,00	0,00	318 900,00	1 851 828,11	2 337 708,11	-2 337 708,11	0,00
Total	149	1 857 554,00	932 171,00	618 642,00	2 263 570,00	671 257,00	18 963 738,00	25 306 932,00	0,00	25 306 932,00

The gap between the planned FTE number (158) and the staff employed at the end of 2013 (149) resulted from the open vacancies due to natural fluctuation and vacancies which could not be filled in 2013. The individual impacts on the Agency's work programme are described in detail in the different activity/project chapters of the underlying report.

I. MEMBER STATES

MEMBER STATE	MEMBER OF THE ADMINISTRATIVE BOARD	ALTERNATE
AUSTRIA	Mr Wolfgang CATHARIN	Mr Klaus GSTETTENBAUER
BELGIUM	Mr Joannes PEETERS	Ms Clio LIEGEOIS
BULGARIA	Mr Veselin VASILEV	Ms Silvia SHUMELOVA
CROATIA	Mr Kresimir RAGUZ	Ms Ljiljana BOSAK
CYPRUS	Mr Nicos IACOVOU	Ms Elpida EPAMINONDA
CZECH REPUBLIC	Mr Jindřich KUŠNÍR	Mr Luboš KNÍŽEK
DENMARK	Mr Jesper RASMUSSEN	Mr Hans Christian WOLTER
ESTONIA	Mr Raigo UUKKIVI	Mr Indrek LAINEVEER
FINLAND	Mr Yrjö MÄKELÄ	Mr Hannu PENNANEN
FRANCE	Mr Benoit CHEVALIER	Ms Ainhoa SAN MARTIN
GERMANY	Mr Ralf SCHWEINSBERG	Mr Wolfram NEUHÖFER
GREECE	Mr Triantafyllos PAPATRIANTAFYLLOU	Mr Konstantinos PITSAS
HUNGARY	Mr Gábor RÁCZ	Mrs Helga NEMETH
IRELAND	Mr Mary MOLLOY	Ms Caitriona KEENAHAN
ITALY	Mr Antonio PARENTE	Mr Giorgio MORANDI
LATVIA	Mr Jánis EIDUKS	Mr Andris DUNSKIS
LITHUANIA	Mr Robertas ŠERĖNAS	Mr Antanas DUBIKAITIS
LUXEMBOURG	Mr Jeannot POEKER	Mr André BISSEN
MALTA	To be appointed	To be appointed
NETHERLANDS	Mr Hinne J.Y. GROOT	Mr Peter NEUTEBOOM
POLAND	To be appointed	Mr Piotr CUKIERSKI
PORTUGAL	Mr António CRISÓSTOMO TEIXEIRA	Mr José ARANHA ANTUNES
ROMANIA	Mr Claudiu DUMITRESCU	Mr Dinu DRĂGAN
SLOVAKIA	Mr Mikuláš SEDLÁK	Mr Miroslav DORČAK
SLOVENIA	Mr Ljubo ŽERAK	Ms Breda KRIŽNAR
SPAIN	Mr Jorge BALLESTEROS SÁNCHEZ	Mr Eduardo SANTIAGO GONZÁLEZ
SWEDEN	Mr Mats ANDERSSON	Mr Carl SILFVERSWÄRD
UNITED KINGDOM	Mr Robin GROTH	Mr Christopher ANGELL

Status: 31.01.2014

II. EUROPEAN ECONOMIC AREA (EEA)*

MEMBER STATE	MEMBER OF THE ADMINISTRATION BOARD	ALTERNATE
NORWAY	Mr Erik Ø. REIERSØL-JOHNSEN	Mr Øystein RAVIK

Status: 31.01.2014

III. EUROPEAN COMMISSION*

MEMBERS		ALTERNATES	
FUNCTION/MEMBER OF THE ADMINISTRATIVE BOARD	NAME	FUNCTION	NAME
DIRECTOR-GENERAL DIRECTORATE-GENERAL FOR MOBILITY AND TRANSPORT	Mr Matthias RUETE	DEPUTY DIRECTOR-GENERAL DIRECTORATE-GENERAL FOR MOBILITY AND TRANSPORT	Mr Fotis KARAMITSOS (acting)
DIRECTOR IN CHARGE OF INLAND TRANSPORT POLICY AND THE TRANS-EUROPEAN TRANSPORT NETWORK DIRECTORATE-GENERAL FOR MOBILITY AND TRANSPORT	Mr Olivier ONIDI	DEPUTY HEAD OF UNIT IN CHARGE OF RAIL POLICY INCLUDING RELATIONS WITH THE EUROPEAN RAILWAY AGENCY DIRECTORATE-GENERAL FOR MOBILITY AND TRANSPORT	Mr Patrizio GRILLO
HEAD OF UNIT IN CHARGE OF RAIL POLICY INCLUDING EUROPEAN RAILWAY AGENCY DIRECTORATE-GENERAL FOR MOBILITY AND TRANSPORT	Ms Sian PROUT	ADMINISTRATOR IN CHARGE OF RELATIONS WITH THE EUROPEAN RAILWAY AGENCY DIRECTORATE-GENERAL FOR MOBILITY AND TRANSPORT	Mr Piotr RAPACZ
DIRECTOR SHARED RESOURCES DIRECTORATE DIRECTORATE-GENERAL FOR MOBILITY AND TRANSPORT	Mr Olivier ONIDI (acting)	HEAD OF UNIT IN CHARGE OF FINANCIAL RESOURCES, SHARED RESOURCES DIRECTORATE DIRECTORATE-GENERAL FOR MOBILITY AND TRANSPORT	Ms Paloma ABA GARROTE

Status: 31/01/2014

IV. REPRESENTATIVES OF THE RAIL SECTOR*

	MEMBER	ALTERNATE
RAILWAY UNDERTAKINGS	Mr Jacques DAMAS	Mr Pierre TONON
INFRASTRUCTURE MANAGERS	Ms Monika HEIMING	Mr Michele MARIO ELIA
RAILWAY INDUSTRY	Mr Dan Anders OTTEBORN	Mr Bruno DAMBRINE
WORKER UNIONS	Mr Guy GREIVELDING	Ms Sabine TRIER
PASSENGERS	Mr Christopher IRWIN	Mr Rian van der BORG
FREIGHT CUSTOMERS	Mr Martin BURKHARDT	Mr Heiner ROGGE

Status: 31.01.2014

V. Observer*

EFTA Surveillance Authority (ESA)	Mr Caspar EBRECHT
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Status*: 31.01.2014

Annex V b Composition of the Sub-Committee as of 31 January 2014

MEMBER OF THE SUB-COMMITTEE	
Member	Alternate
Chairman	Deputy-Chairman
Mr Christopher IRWIN, <i>railway sector, representative of passengers</i>	Mr Hinne GROOT, <i>representative of the Netherlands</i>
Representing the Member States	
Mr Mats ANDERSSON, <i>representative of Sweden</i>	Mr Robin GROTH, <i>representative of the United Kingdom</i>
Ms Clio LIEGEOIS, <i>representative of Belgium</i>	Ms Caitriona KEENAHAN, <i>representative of Ireland</i>
Mr Ralf SCHWEINSBERG, <i>representative of Germany</i>	Mr Gábor RÁCZ, <i>representative of Hungary</i>
Representing the European Commission	
Head of Unit 'Single European Rail Area', DG MOVE	Administrator in 'Single European Rail Area' unit, DG MOVE, in charge of the European Railway Agency
'Financial resources', Shared Resources Directorate, DG MOVE,	Administrator in 'Financial resources' unit, DG MOVE, in charge of the agencies
Representing the Railway Sector	
Mr Dan OTTEBORN, railway sector, representative Railway Industry	Mr Pierre TONON, railway sector, representative, Railway Undertakings

Status: 31.01.2014

Annex VI Implementation of the roadmap on the follow-up to the Common Approach on EU decentralised Agencies

The environment within which decentralised agencies operate is undergoing dramatic change these years. The need for a more coherent and efficient framework has led to the Commission's Communication "The European Agencies – The way forward" of March 2008 and later the launching of an Inter-Institutional Working Group (IIWG) on EU Agencies. The result of the IIWG was the Common Approach from July 2012 based on which the Commission developed its Roadmap.

The Roadmap of 19 December 2012 contains 90 actions (for Agencies, the EU Institutions and Member States) to follow-up on the Common Approach. The document sets deadlines and priorities. The identified priority actions concern:

- The Annual Work Programme;
- Conflicts of interest;
- Headquarter agreements;
- ABB / ABM and key performance indicators;
- Guidelines / template for evaluations.

The Roadmap also required the involvement of the Agencies to work with the three main institutions, in particular with the Commission, when cooperation with Agencies was considered necessary and useful. This was especially important on subjects where Agencies have already started implementing the Common Approach individually and where Agencies are better placed to provide collective contributions to the Roadmap implementation on subjects that are of common interest. In addition, the Roadmap recognises that the Agencies' different sub-networks⁶ have already been proactive in this regard.

The EU Agencies Network has also been active in preparing their joint contributions, in dialogue with the Commission, to many other Roadmap and Roadmap related actions such as those dealing with:

- Standard provisions for Agencies' founding acts;
- Sharing services between agencies;
- Communication activities;
- New Framework Financial Regulation;
- Developing Single Annual Report templates;
- Prevention and management of conflicts of interest;
- Guidelines on performance indicators for Agency Directors.

⁶ In particular the Performance Development Network (PDN), the Inter-Agency Legal Network (IALN) and the Heads of Communication and Information Network (HCIN)

The EU Agencies Network provided its first progress report⁷ on the implementation of the Common Approach at the beginning of 2014. It contained the information on the work carried out collectively by the Agencies and in some cases also by Agencies individually.

This Annex describes the status of the most important parts of the work carried out by the European Railway Agency towards the implementation of the Roadmap. It is the intention to report regularly as the work progresses.

Action (Roadmap)			Agency activity in 2013
Heading II - Operation of agencies			
Rationalisation			
15 - Consider sharing services between agencies, either by proximity of locations or by policy area	Agencies	On a regular basis	<p>The EU Agencies Network carried out two surveys with regard to services that Agencies could share among themselves. As a result, a catalogue of shared services was developed which lists the types of services and tools that Agencies are willing to make available to each other at no or marginal cost. ERA had offered to the members of the EU Agencies Network a number of IT tools developed under the Sharepoint application at no cost.</p> <p>In addition, at the end of 2013 ERA agreed to share its accountant's services during 6 executive months (with a possible extension until end of September 2014) with ESMA located in Paris. The full segregation of accounting duties of Accounting Officer of ERA and the services provided as Accounting Officer of ESMA is ensured. The working time and salary costs (based on time sheets) are shared between both Agencies.</p>
Websites			
25 - Ensure the website mentions that they are European Union agencies	Agencies	As soon as possible if not already the case	ERA's website mentions that ERA is "An agency of the European Union".
Annual Work Programme			

⁷ "Agencies' activities in 2013 relating to the Common Approach", distributed to three main institutions on 14 January 2014.

28 - Develop and use key performance indicators	Agencies / COM	Every year	<p>ERA has been providing in its subsequent annual activity reports some key financial performance indicators.</p> <p>In its Work Programme 2014, it has been for the first time where a full set (in total 41) of key outputs considered as key performance indicators, were proposed by the Agency and adopted by the ERA Administrative Board. These relate in the first instance to the operational activities of the Agency and not only to its financial management.</p>
Multi-annual Work Programme			
29 - Draw up multiannual strategic programmes or guidelines linked with multiannual resource planning (budget and staff in particular) and linked with successive annual work programmes	Agencies	On a regular basis	<p>The first <i>Multi-annual work programme 2014-2017</i> of the European Railway Agency has been adopted by the Administrative Board on 26 November 2013.</p> <p>The link between the strategic programmes and multiannual resource planning has not yet been established. However, Article 32 of the new Framework Financial Regulation (FFR) requires that each Agency develops a single programming document (SPD) containing both, the multi-annual and annual perspectives and makes a link to human and financial resources. The template of this document is being developed by the EU Agencies Network in close cooperation with the Commission services. In line with FFR, the document will have to be applied by all Agencies at the latest as of 1 January 2016 (e.g. for the 2017 planning).</p>
Conflicts of interest			
34 - Adopt and implement a clear policy on conflicts of interest and, in particular, exchange experience and possibly develop a coordinated approach to common problems concerning scientific committees and boards of appeal, and define transparent and objectively verifiable criteria for the impartiality and independence of the members of Boards of appeal	Agencies	2013	<p>ERA had adopted the conflict of interest policy applicable to ERA staff in February 2012. This policy needs to be revised in order to incorporate the elements related to the management of COI for the administrative board and boards of appeal. The revision will be carried out on the basis of the guidelines on COI developed and adopted by the Commission at the end of 2013.</p>
Relations with national agencies / administrations			
38 - Maintain relations with national agencies and define clearly the respective roles	Agencies	On a regular basis	<p>ERA has no direct correspondence of its roles or tasks in national agencies/authorities yet. This will change under the entry into force of the 4th railway package in the horizon 2017-2020 when ERA becomes a decision making Agency which cooperates with National Safety Authorities. The internal preparatory works cover of course especially the area of the (even contractual) relationship</p>

			between ERA and NSAs. Since its beginning of existence, ERA is furthermore running a Network for exchange and coordination with National Safety Authorities to optimise the relationship, harmonise decision-making etc.
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HEADING III/ Evaluations, audits and OLAF			
Evaluations			
50 - MBs to consider the need for ex-ante evaluation of activities/programmes	Agencies	On a regular basis	The ERA Administrative Board has pointed out several times the importance of the impact assessment of ERA's work with the result that the production of impact assessments on the own work is even contained as a task for ERA in the proposal for a new Agency Regulation under the 4 th Railway Package. Nevertheless, the existing Economic Evaluation Unit in ERA is already providing impact assessments for all Agencies' recommendations.
Internal audit and control			
53 - To avoid overlaps of audit topics or calendars: IAS to discuss its audit planning with agencies' management and IACs to coordinate their audit plans with the IAS	COM IAS, Agencies		<p>ERA has been always ensuring that the IAC audits are coordinated with the audits planned by IAS to avoid overlaps.</p> <p>As of March 2013 ERA does not have the IAC function, instead the post of an Internal Control Coordinator (ICC) has been created.</p> <p>However, ERA is in the process of introducing Quality Management System (QMS) in the framework of which a first quality internal audit had been carried out in November 2013. ERA announced the scope and timing of the audit to IAS.</p>
Follow-up to internal and external audits			
58 - Ensure agencies' (management / executive) boards are adequately informed and involved	Agencies	On a regular basis	ERA regularly informs the Administrative Board (AB) and the AB Sub-Committee on financial, budgetary and staff related issues about the state of play of the follow-up to audits.
59 - Inform the partner DG and DG Budget of the results of audits of the ECA, as well as of the measures taken to meet the recommendations of the discharge authority and those of the Court	Agencies	Whenever relevant	In line with the Memorandum of Understanding between ERA and DG MOVE, DG MOVE receives on a quarterly basis the state of play with regard to the implementation of ECA, IAS and internal audits.
Anti-fraud activities			
65 - Ensure that all the standard contracts contain the clauses that can constitute a solid legal basis, in particular in third countries, to enable OLAF to carry out checks and inspections	Agencies	Whenever relevant	Article II.18.5 of the General Conditions of Contract used by ERA mentions that "[...], the OLAF may also carry out on the spot checks and inspections in accordance with the procedures laid down by Union law for the protection of the financial interests of the Union against fraud and other irregularities. Where appropriate,

			the findings may lead to recovery by the contracting authority”.
67 - Inform newly recruited staff on OLAF's role	Agencies	Whenever relevant	<p>ERA organises regular induction sessions for newcomers with ethics, conflict of interest and data protection on the agenda, and the anti-fraud measures and OLAF’s role being mentioned. All newcomers are invited to get acquainted with the Commission “Practical guide to staff ethics and conduct”, where the role of OLAF is also explained.</p> <p>Approximately twice a year, ERA organises info session on ethics & integrity carried out by the experts on ethics.</p> <p>In addition, in December 2013, OLAF had been invited to present its role and update the Agency staff on the developments with regard to anti-fraud strategies that Agencies need to develop in the course of 2014.</p>
HEADING IV/ Management of financial and human resources and budgetary process			
Implementation of the Financial Regulation rules			
70 - Encourage new administrative staff to attend either specific training on financial regulation and implementing rules (organised directly in the agencies) or general training on procurement procedures and other financial matters (provided by the Commission)	Agencies	On a regular basis	It is obligatory for the newcomers dealing with financial issues to attend the general training on financial matters and/or procurement procedures provided by the Commission. Also internal training/information sessions are organised so ERA financial regulation/implementing rules are known and respected.
Activity Based Budgeting (ABB) and Activity Based Management (ABM)			
74 - Exchange best practices	Agencies	On a regular basis	Since 2012, the EU Agencies Network has collected data in order to create a toolbox with common instruments for application of Activity Based Budget (ABB), Activity Based Costing (ABC) and Activity Based Management (ABM). ERA had played a vital role in this exercise by sharing its experience to all Agencies.
Resources planning			
78 - Provide adequate justification if they decide not to take full account of the COM's opinion on the draft staff policy plan	Agencies	Whenever relevant	ERA always provides a complete list of responses to the comments provided in the Commission’s opinion on the draft staff policy plan.
Budget process and execution			

83 - Improve the management of commitments to align them with real needs	Agencies	On a regular basis	In 2013, the Agency used 88 % of the committed appropriations and thus has complied with the carry-over thresholds of respectively 10%, 20% and 30%, applied by the European Court of Auditors for all three budgetary titles. This significant improvement is a result of serious of actions aimed at reducing the carry-overs, in particular for operational expenditure (Title 3 of the budget) mainly by further strengthening the procurement planning and procedures and improving the procedures for payments by reducing the processing time.
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Glossary

AAR	Annual Activity Report
ABAC	The web-based accounting system developed for the Directorate-General for the Budget
AWP	Annual Work Programme
CAF	Common Assessment Framework
COTIF	Convention Relative aux Transports Internationaux Ferroviaires
CR TSI	Conventional Rail, Technical Specification for Interoperability
CSIs	Common Safety Indicators
CSMs	Common Safety Methods
CSTs	Common Safety Targets
DMI	Driver Machine Interface
DNV	Det Norske Veritas
DREAM	Database for Railway Economic Analysis Management
EC	European Commission
ECM	Entity in Charge of Maintenance
ECVVR	European Centralised Virtual Vehicle Register
EMC	Electromagnetic compatibility
ERA	European Railway Agency
ERADIS	ERA Database on Interoperability and Safety
ERATV	European Register of Authorised Types of Vehicles
ERTMS	European Rail Traffic Management System
ESO	European Standardisation Organisation
ETCR	European Training Centre for Railways
ETCS	European Train Control System
EU	European Union
Eurostat	The statistical office of the European Union
GSMR	Global System for Mobile Communications (Railway)
HR	Human Resources
ICS	Internal Control Standards
IM	Infrastructure Manager
IT	Information Technology
JPCR	Joint Programming Committee Rail (for EN Standards)
MoU	Memorandum of Understanding
MSs	Member States
NIB	National Investigation Body
NNTR	Notified National Technical Rule
NB(s)	Notified Body(ies)
NB(-)Rail	Coordination group of Notified Bodies (Rail)
NRVs	National Reference Values
NSAs	National Safety Authorities
NVR	National Vehicle Register
OSJD	Organisation for Cooperation of Railways
OTIF	Organisation for International Carriage by Rail
RAC	Risk Acceptance Criteria
RID	Reglement concernant le transport internationale ferroviaire des marchandises dangereuses
RISC	Railway Interoperability and Safety Committee (formerly known as the 'Article 21' committee)
RU	Railway Undertaking
SMS	Safety Management System
SNCF	Société Nationale des Chemins de Fer français
SRS	System Requirements Specification
TEN-T	Trans-European Transport Network
TSI	Technical Specifications for Interoperability
TSI CCS	Technical Specifications for Interoperability Control Command Signalling
UIC	International Union of Railways
VVR	Virtual Vehicle Register
WG	Working Group
WP	Working Party