European Railway Agency

Work Programme
2014

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Work Programme
2014

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Foreword by the Executive Director

The Agency's over-riding objective is to contribute to improving the competitive position of the railway sector. It does this by enhancing the interoperability level of railway systems and by developing a common approach to safety on the European railway system. This is mainly achieved through its outputs, e. g. the development of recommendations for Technical Specifications for Interoperability (TSIs), Common Safety Methods (CSM) or the development and management of databases and registers. It is progressed further through supporting activities such as the monitoring of railway performance, and through its ever increasing activities in the facilitation of the legal framework to the railway sector's stakeholders via communication and dissemination to "make it work in practice".

Having completed a successful 2013, the Agency is preparing to face expected developments from the previous year as well as new projects and initiatives in 2014 and beyond.

The Fourth Railway Package, proposed by the European Commission early 2013, is under debate. Depending on the final negotiations, it could bring many interesting opportunities and challenges to ERA from 2017 onwards, for which we have already started to prepare ourselves.

While ERA is looking forward to these new challenges, we must ensure business continuity. In the autumn of 2013, a major step forward was undertaken to avert the risk of having to replace 50% of ERA's operational staff between 2013 and 2015 by changing the contract policy imposed by the ERA's founding regulation. The result is that ERA can head into the future with its knowledge base intact.

Moreover, 2014 will be the third year of activity based budgeting and the first annual budgeting exercise within the Multi-annual Financial Framework 2014-2020 for which the economic perspective is demanding, with tight expenditure ceilings and budget constraints.

All this and much more is described and reflected in the Work Programme for 2014. ERA's staff and I are looking forward to another year of fruitful co-operation with all the stakeholders at the European Institutions and the railway sector, so we can all together make the railway system work better for society.

Marcel Verslype
Executive Director

1. European policy context

ERA works in a wider framework of the EU white paper on transport and its policy goals for railways.

- Improving competitiveness of rail with other modes in order to increase the market share of the most environment-friendly mode of transport

- Spending public money more efficiently on public rail transport services

- Encouraging market entry by reducing administrative and technical barriers

- Opening domestic rail passenger transport to competition

- Encouraging market entry and ensure non – discrimination through a better governance of the infrastructure

A subset of these goals is the creation of a "Single EU railway area" through improved technical interoperability and a common approach to safety on the EU railway system. In the mid-term, this translates mainly into **4 EU strategic** priorities for an improved functioning of the railway system to which ERA's work is contributing:

(1) a **harmonised Safety Regulatory Framework**

(2) a **simplified Vehicle Authorisation**

(3) a **single European Train Control System (ERTMS)**

(4) a **simplified Access for Customers.**

2. ERA's foundation, vision, mission, values

The Agency's **foundation** is strictly defined in Article 1 of Regulation (EC) No 881/2004 as amended by regulation 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 its vision and mission statements:

The Agency has the **vision** "to make the railway system work better for society".

ERA's **mission** is to 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, allowing the rail transport sector to realise its inherent competitive advantages in relation to other transport modes.

The Agency defines its core **values** as:

- Being drivers of improvement through innovation
- Respecting others and believing in progress through diversity
- Building an independent and transparent position based on facts

3. ERA's contribution to the 4 EU strategic priorities

3.1 Principles

ERA's activities aim at the achievement of the 4 EU strategic priorities for the railway system.

Overall, the Agency prepares new and updated legislative acts for adoption by the European Commission, after a positive opinion from the Railway Interoperability and Safety Committee of Member States[1] (the RISC Committee), and gives other technical support to the European Commission.

Additionally, the Agency's work increasingly disseminates and facilitates the developed framework in the railway system and monitors the progress towards the desired outcome.

This Work Programme outlines ERA's activities for 2014, which will be its 10th year of activity. The structure of the Work Programme follows ERA's Activity Based Management approach and is divided into 12 activities, each with a set of sub-activities (projects) and outputs, as well as key performance indicators (KPI), through which achievements can be monitored, measured and reported.

The Agency organizes its activities according to the process of (1) Developing (setting the standards for the desired outcome of the system), (2) Monitoring (knowing the actual outcome of the system), and (3) Facilitating (managing the change from the actual to the desired outcome).

This system control is applied for the Agency's work in 2014 in a coherent way to all existing activities of the preceding work programmes which links them to each of the 4 EU strategic priorities.

The activities are subgrouped into 240 outputs of which 41 have been identified by the Management Team as Key Outputs[2] for the Agency.

By all this, the Agency is becoming the de facto **railway system specifier** for the European Union.

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1 established by Article 21 of Directive 96/48/EC
2 ERA's performance is determined by the achievement of the Key Outputs that have a major impact for the achievement of the 4 EU Strategic Priorities; the Key Outputs identified in the Agency are considered as Key Performance Indicators.

Overview of the 41 Key Outputs[3]

WP-Activity	WP-Project	Nr	Key Output	Timing
01.Developing a harmonised safety regulatory framework	01.01 Developing a harmonised approach to risk management	1	Delivery of milestones to realise the single safety certificate in the RISC Task Force programme plan	Set out in programme plan
	01.03 Developing overall principles for assessment and supervision	2	Revision of the current framework that supports assessment and supervision in accordance with the RISC Task Force on a single safety certificate programme	Ongoing
	01.04 Developing the ECM certification scheme	3	Report on early return of experience for the ECM certification scheme	End 2014
	01.06 Defining methods for Common Safety Targets (CST)	4	Draft recommendation on the revision of the CSM on CSTs/NRVs assessment	October 2014
	01.07 Developing tools for enhanced monitoring of railway safety performance and of the safety regulatory framework	5	Report on Pilot of Regulatory Monitoring Matrix	September 2014
02.Monitoring railway safety	02.01 Assist EC in evaluation of transposition of Safety and Train Driver's Directives	6	Evaluation of Rail Safety Directive transposition: follow up work, support the European Commission in EU-Pilots	December 2014
	02.02 Monitoring safety performance	7	Biannual report on Railway Safety in the EU	March 2014
	02.03 Monitoring the safety regulatory framework	8	Conduct of cross-audits Poland, Sweden, Channel Tunnel, Romania, Austria, Norway, Denmark, Italy	According to audit programme
	02.04 NIB assessment programme	9	Voluntary assessments conducted. Austria and Ireland (to be completed in 2014); Norway, Sweden and Czech Republic (started); Poland (follow-up).	According to audit programme
	02.05 Assessing Common Safety Targets (CST)	10	Yearly assessment report to the European Commission/RISC on the achievements of CSTs/NRVs	March 2014
03.Facilitating the improvement of the safety regulatory framework	03.05 Promoting transparency and reduction of National Safety Rules	11	Check of NSR registration, evaluation of draft and adopted rules for the European Commission	Ongoing
	03.06 Joint Network Secretariat and Quick Response Procedure	12	Implementation of a revised terms of reference including a review of membership, in order to incorporate the agreed procedures for responding to accidents and incidents	June 2014
	03.09 Development and operation of ERADIS (ERA Database of Interoperability and Safety)	13	New ERADIS modules implemented	Ongoing

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3 ERA's performance is determined by the achievement of the Key Outputs that have a major impact for the achievement of the 4 EU Strategic Priorities; the Key Outputs identified in the Agency are considered as Key Performance Indicators.

WP-Activity	WP-Project	Nr	Key Output	Timing
		14	ECM certificates, licenses, safety certificates and information on ECM certification bodies registered	Ongoing
	03.10 Development and operation of registers for SAF performance and accident data (ERAIL)	15	Accident investigation and CSI data registered	Ongoing
04.Developing of a harmonised framework of technical specifications and their application for vehicle authorisation	04.01 Authorisation processes	16	Amended template flowchart to take account of DV29bis	September 2014
		17	Further clarification of authorisation process (DV29bis)	February 2014
	04.04 Harmonised EU rules for railway operation	18	TSI OPE - Final draft submitted and updated until voted by RISC	July 2014
	04.06 Development of National rules and databases of National Rules	19	TSI conformity accepted in lieu of 75% of non-legacy rules	End 2014
	04.07 Development of registers used for authorisation	20	NVR & ECVVR registers being functional and accessible with updated information. Change control management set up	Ongoing/September 2014
06.Facilitating the improved performance of the framework for vehicle authorisation	06.03 Development and evolution to a common approach to National Technical Rules	21	100% of relevant national rules published	End 2014
	06.07 Architecture and use of registers	22	Interim report on rationalisation of vehicle related registers (NVR/ECVVR, ERATV, VKM, ECM), including CBA, allowing to decide the orientation for specifications amendments	October 2014
07.Developing ERTMS (as System Authority)	07.02 Development of the requirement for the evolution of the railway communication system	23	Report from the study on the definition of the basic requirements for the new railway communication system - roadmap for the migration to the new railway communication system.	1Q2014
08.Monitoring and Facilitating ERTMS implementation and performance	08.01 Sharing best practices in implementations and promotion of engineering guidelines	24	Release of ERTMS engineering guidelines, as defined in the 2012 MoU clause 54, in order to reduce differences of scenarios at national level. This activity is strongly dependent on actual input from the sector and on their support to apply the guidelines	3Q2014
	08.02 Support to the evaluation of ERTMS projects in cooperation with the Commission and TEN-T EA	25	Written feedback to TEN-T with regards to correct implementation of ERTMS. The actual number of projects will depend on the allocation of appropriate resources	According to the detailed plan to be shared with TEN-T EA
	08.04 Facilitation of improved operations with ERTMS	26	ERA database for operational feedback	End 2014

09.Developing, Monitoring and Facilitating improved system access	09.01 Passenger Telematics applications system authority	27	TAP CCM yearly baseline delivered to the European Commission	December 2014
	09.02 Freight Telematics applications system authority	28	TSI TAF - closure of Open-Points acc. Masterplan 2012	4Q2014
	09.03 Developing specifications for improved physical system access	29	Application guide of the revised PRM TSI available to the users	Mid-2014
	09.04 Development of Registers for improved system access	30	Coordination and monitoring the implementation of RINF by MS, reports to the EC. Management of the Network of nat'l entities in charge of the RINF. Processes implementing RINF governance rules. Change control mgmt set up. RINF application guide available	Ongoing
10.Operational activities across several strategic priorities	10.03 Economic Evaluation - ex ante evaluations	31	Ex ante impact assessment of key recommendations of 2014 linked to the 4 Agency priority areas	according to recommendation planning
	10.04 Economic Evaluation - ex post evaluations	32	Ex-post analysis of (1) certification of Entities in Charge of Maintenance (ECM) and (2) the operational requirements of the railway communication system	June 2014 (railway comms system) December 2014 (ECM)
11.Corporate Services	11.01 Communication	33	Updated communication plan and improved tools according to return of experience	March 2014
	11.03 Human Resources	34	95% of the establishment plan completed	4Q2014
	11.04 Finance, accounting and procurement	35	98% of appropriations committed	December 2014
		36	95% of invoices paid within legal deadline (30 days)	within the regulatory time limits
	11.05 Information Technology	37	No security incidents causing financial loss, business disruption or public embarrassment	4Q2014
	11.06 Facilities	38	3-4 initiatives undertaken to improve health & safety conditions	4Q2014
12.Agency Management	12.01 Strategy, business planning and reporting	39	Annual Activity Report 2013	March 2014
		40	Draft and final annual and multi-annual work programme on integrated planning basis	Draft February 2014, Final version October 2014
	12.02 Quality Management	41	Implementation and training of the approved processes	3Q2014

3.2 A summary of the Agency's outputs per strategic priority

Strategic priority 1. 'Harmonised Safety Regulatory Framework'

The Safety Regulatory Framework has been established in previous years but early feedback on how the processes were working highlighted the need for change. In 2013 the European Commission brought forward proposals in the Fourth Railway Package that represented an evolution of the Safety Regulatory Framework and the Administrative Board confirmed that the Agency should undertake some preparatory work to reflect the proposed changes. The Agency has developed a programme plan setting out milestones **to deliver a single safety certificate** and preparatory works have already begun. The safety programme not only reflects the preparatory phase but also calls for the development of a strong focus on **safety performance monitoring** and on the development of a shared understanding of how the framework should be applied. This work will be supported by **evaluating transposition of the Safety Directive, planned NSA audits and NIB assessments, a draft**

recommendation on a revised Common Safety Method for assessing CSTs and NRVs, as well as annual reporting on CSTs and a biannual report on safety performance. In 2013, two particular accidents tragically underlined the importance of managing safety risks. This work programme responds to such a need, focussing on developing systems that would allow the early identification of risk, sharing best practice and supporting those who are responsible for controlling risks on the railway network. We intend to support this **by running a pilot on a new Regulatory Monitoring Matrix and reviewing the current framework on assessment and supervision by NSAs.** Success in 2014 will only be achieved with the help of our stakeholders and active networks of National Safety Authorities (NSA) and National Investigation Bodies (NIB), all of whom play a key role in the field of safety.

Strategic priority 2. 'Simplified Vehicle Authorisation'

Although the European Railway system has been a system shared by many actors ever since the responsibilities for managing the system were separated out to Railway Undertakings, Infrastructure Managers and Government, in many cases the tools necessary to manage the shared system, as prescribed in the directives, are not fully in place and old tools appropriate only for vertically integrated single actor systems (e.g. homologation) continue to be used for a purpose they were not intended,.

This is one of the reasons that in some Member States the process of vehicle authorisation appears to be rather difficult and expensive, that manufacturers continue to find themselves producing and getting authorised different designs for different customers rather than placing an authorised type on the market for their customers to purchase and that problems with interoperability of ERTMS have arisen.

The Agency has worked hard to help the Member States move to a more satisfactory situation and 2014 will see the start of the **implementation of the scope extended TSIs,** removing the need to apply national rules in the authorisation process for new vehicles for everything except legacy interfaces and TSI open points. The Agency will endeavour **closing the remaining open points** and dealing with issues arising from the use in the "real world" of the TSIs.

In 2012 and 2013, the Agency developed and published a template flow chart of the authorisation process for each Member States to document their National Legal Frameworks (NLF) for authorisation, and introduced the **Reference Document Database (RDD)** containing all the national rules for vehicle authorisation and their equivalence classifications

– the National Reference Documents (NRD). In 2014, the Agency will further align the **NLFs and NRDs to bring them all into line with each other and with the TSIs thus delivering a substantial simplification.**

Many of the problems of vehicle authorisation relate to a lack of a common understanding of the European process, rules, roles and responsibilities and 2014 will see the Agency carrying out a **much greater level of training and dissemination in a structured manner.** Building on the success of Recommendation 2011/217 (DV29) and using application guides, the Agency and the European Commission together **will produce further guidance to complete the common understanding** on "how it's all supposed to work". This will be informed by a **greater involvement in real projects in order to understand the problems and issues** and facilitate trial "one-stop-shop" authorisations and migration to the Fourth Railway Package.

A key element in the cost of vehicles and their authorisation is the diversity of the networks both between Member States and, in some cases, within Member States which according to an assessment by the Agency accounts for about 50% of the cost of vehicle authorisation. In 2014 the Agency will be **doing its best through the network related TSIs, the OPE TSI and a clarification and simplification of registers to help Member States to meet their responsibility to avoid further diversity of networks** and wherever possible to converge.

Strategic priority 3. 'Single European Train Control System'

With the successful delivery in 2012 of the European Train Control System (ETCS) baseline 3, of the Global System for Mobile communications — Railways (GSM-R) specifications, of the harmonized Operational Rules and of the test specifications 2013, the focus in the **ERTMS** field is progressively moving to the **follow-up of the development, testing and implementation**, with **targeted dissemination and monitoring activities** to encourage the harmonised application of the standard system, with dedicated attention to early implementation to ensure timely examination of the return on experience.

The 2012 ERTMS Memorandum of Understanding (MoU) spells out the priorities and respective commitments to progress successfully with the deployment of the system, entrusting a significant role to the Agency.

The harmonisation of the specifications alone is not sufficient. We need a common approach to the verification and authorisation processes: in this respect, **specific activities with the Notified Bodies and cooperation with National Safety Authorities (NSAs) are being strengthened, in particular with NSA along ERTMS Corridors on the subject of testing and authorization processes.**

In the field of **railway communications**, the Agency will work on 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. The Agency will continue to support the European Commission and the Sector to help coordinating an EU approach among National Regulators, following up on the results of the workshops organized in 2012 and in 2013 in Lille. With the help of the sector, the Agency will **develop and publish guideline documents to simplify and standardise the engineering,** and to **support harmonised operations with the ERTMS system as defined in the ERTMS MoU.**

2014 will see an increased cooperation with the Directorate-General for Mobility and Transport (DG MOVE) and the T**rans-European Transport Network** (TEN-T) Executive Agency in **evaluating specific ERTMS projects**, within the limits of the available resources, with the aim to **help ensure that ERTMS projects receiving EU money are in conformity with the essential requirements** and, indeed, **contribute to the progressive deployment of a single harmonised European train control system.**

Strategic priority 4. 'Simplified Access for Customers'

Several TSIs are addressing issues related to railway customers.

For passengers, the TSI on telematics applications for passenger services (TAP TSI), Regulation linked to the Article 10 of the Passenger Rights Regulation [5] is addressed to railway undertakings, infrastructure managers, ticket vendors and passengers and aims to harmonise the exchange of information between actors. The text is being completed by the recommendation of Phase 1 in Chapter 7 (IT specs, Governance, Master Plan and retail architecture). The recommendation was submitted at the end of October 2012 and voted by RISC in June 2013. Further work is needed to close the open points: a) on electronic ticketing, which will enable passengers to obtain a ticket for an entire trip involving several modes; b) on a transmodel of timetables and tariffs; c) other open points.

For freight, the TSI on telematics applications for freight (TAF TSI) is currently being revised to extend its scope to the entire network.

In order to establish the Agency as the 'Telematics applications system authority', its task is to ensure the continuing work of the TAF and TAP Change Control Management (CCM) working parties. The new task which started in 2013 will be guiding, supporting and advising the rail sector and Member States when implementing the telematics TSIs. In this work, the Agency continues to participate in the Steering Committee works in both TAP and TAF and, in addition, observes, advises and monitors the work done by rail actors; the main task is to guarantee that everything will be done in line with legislation and all the actors are involved, including the small and medium-sized companies. At regular intervals, the Agency has to inform the European Commission about the results of this monitoring and has to advise them about the possible changes needed.

In a multimodal context, the Agency has to guarantee that none of the actions taken constitutes an additional obstacle for multimodal environment.

From another perspective, RUs need an efficient tool to plan their access to the different networks where they intend to operate. The Register of Infrastructures (RINF) is meant to meet this requirement.

To fulfil these tasks, there is a great need for meetings at European Commission level and also mutual meetings with Member States and railway actors.

In the framework of Council Decision 2010/48/EC[6], the EU shall take appropriate measures to ensure to persons with disabilities, access, on an equal basis with others, including to transportation.

In the context of the revision of the TSI on persons with reduced mobility (PRM TSI), collecting information on the detailed level of accessibility offered by stations and rolling stock has been identified as a preliminary step before their progressive elimination through implementation plans that are to be put in place by Member States. Such information is to be collected by stakeholders through inventories of assets. Also, it can be made available to passengers, persons with reduced mobility and people with disabilities considering it essential that detailed information about accessibility is provided.

In the meantime, the revision of the PRM TSI will be complemented by a clear specification of its implementation. The Agency examines the possible solutions for the development of a tool to collect and interface information from inventories of assets. The architecture and all details relative to this tool are to be defined. In 2013, the form that such a tool for the accessibility information would take has been identified, and the exact information required from stakeholders clarified. The next phase, the development or adaptation of the tool, will then begin.

The above described strategic priorities could not be achieved without a properly efficient and effective running of ERA itself. ERA is therefore committed to continue implementing the appropriate tools and resources in order to become a modern organisation which can quickly adapt to any changes.

The Agency envisages to achieve the EU strategic priorities by developing and implementing the activities as detailed in this Work Programme as of section 6 "ERA's activities in detail".

Ces places sont réservées en priorité aux personnes handicapées ou à mobilité réduite, aux femmes enceintes et aux personnes accompagnées d'enfants de moins de 4 ans.

Respectons les.

5 Regulation (EC) No 1371/2007 of the European Parliament and of the Council of 23 October 2007 on rail passengers' rights and obligations.
6 Council Decision 2010/48/EC of 26 November 2009 concerning the conclusion, by the European Community, of the United Nations Convention on the Rights of Persons with Disabilities.

3.3 Business risks related to the activities

The Agency regularly reviews its risk register (Annex II) and identifies the main business risks that must be managed for carrying out its tasks successfully.

Given the number of contracts of operational staff coming normally to an end in 2014, the main risk was that the continuity of the core activities might be interrupted. This risk could successfully be managed by huge efforts in 2013 which led to the implementation of the changed staff contract policy in autumn 2013. The Agency therefore can now ensure business continuity through its existing staff with adequate competencies.

In addition, the continuation of the Information Technology (IT) services delivered by the Agency to the sector and within the Agency is a major issue. A business continuity plan covering these aspects has been drawn up by the Agency and is under regular review.

Dissemination has become a key element for making the outputs of the Agency work in the railway sector. An effective stakeholder management and communication strategy is also considered indispensable. Failures in these domains would put the Agency at risk not only from achieving the desired outcomes but through insufficient implementation of such outputs. These risks also impinge on the reputation of the Agency. To mitigate these risks, improved stakeholder management processes are already part of the measures included in the Agency's quality programme action plan and especially in the communication strategy/communication plan project started in 2013. They all will be strengthened further in 2014. The results are reviewed regularly and the Agency's communication strategy will be adapted accordingly. This entails also the discovered risk of not tailoring the communication to the needs of the stakeholders, so the Agency will submit the communication activities to clarity, comprehensibility and coherence verification.

Risks related to (mandated) Agency's outputs as the use and the benefits of railway system related registers have been already addressed in 2013. In 2014, the Agency will deal with the related consequences.

The Agency's performance management is an area that will be brought even better under control. The most relevant key performance indicators (KPIs) are integrated in this work programme.

The unique added value of these KPIs is their link to the four EU strategic priorities for railways – setting the Agency into the position to identify the most beneficial activities that must be prioritised to drive the railway system towards the desired outcome.

Also, the requested Communication plan which provides an overview of the Agency's communication and dissemination activities is attached in annex III.

Last but not least, the Agency has to follow closely and carefully the evolution of the upcoming Fourth Railway Package to plan the implementation of it within the Agency and the sector.

4. ERA's working and prioritisation method

4.1 The management team

The Executive Director, together with the management team:

1.	develops the multi-annual plan of the Agency;

2.	acts as the body for the coordination, prioritisation and risk management of the activities of the Agency;

3.	provides guidance and training for Agency staff and working party members in:

	•	the principles and processes underpinning the Interoperability and the Safety Directives

	•	non-technical or safety issues (e.g. economic analysis, quality management);

	•	working methods, meeting management, consensus building, etc.

4.	 acts as the focus for the exchange of views with external organisations in respect of the Agency's activities, also including those activities that are not specific to a particular working party;

5.	ensures that the Administrative Board and its Subcommittee are regularly updated in respect of the Agency's activities and progress with the implementation of the work programme, budget and staff plan.

The Agency continues to work through the formal working parties prescribed by the directives and the Agency Regulation. These will be supported by several informal groups and networks.

4.2 Transparency

Transparency is an essential prerequisite of the working method of the Agency. Documents adopted by the Agency, in particular recommendations to the European Commission and technical opinions, are made available on the public website according to the rules on access to documents adopted by the Administrative Board.

In accordance with the requirements of Article 3 of the Agency Regulation that the work of the working parties shall be transparent, records of working party meetings and working documents are made available to all members of the relevant working party, persons nominated by the representative bodies to coordinate their relationship with the Agency, and persons nominated by the representative bodies coordinators as their members' contacts for interoperability and safety matters. Members of the Network of National Safety Authorities have access to documents of all working parties for which they have the right to appoint members.

4.3 Managing the priorities

It is a permanent and underlying challenge that the overall requirements of the directives and the Agency Regulation, the sum total of the mandates, the expectations of the stakeholders, the increase in the proportion of 'open-ended' or 'on-demand' work carried out by the Agency and future requirements can either exceed the quantity of resources available in total or the resources available in a particular subject area. Furthermore, the Agency, the railway sector, the National Safety Authorities (NSAs) and other national bodies (e.g. National Investigation Bodies) who contribute to Agency works are confronted with budget restrictions of various severities.

To manage these risks, it is necessary to focus on the most critical issues and to:

	•	prioritise

	•	make the best use of technical expertise available from the sector

	•	balance use of internal staff with the use of experts and consultants

	•	constantly push to improve efficiency in the work undertaken

The following principles for the prioritisation of the tasks are applied since 2013:

- First step (within each of the 4 strategic priorities):

contribution of a task to strategic priority ▶ **Strategic compliance**

- Second step (<<One agency ranking>> across all priorities):

economic impact compared to other tasks
(e.g.by result of Early Assessment) ▶ **importance**

Political/stakeholder necessity to do it (EC, Sector) ▶ **urgency**

-tangible planning
-sensible ratio <<output (work volume) / resources>> ▶ **efficiency**

Continuing from 2013, the Agency's work programme is based on the above prioritisation scheme. If the 2014 resource situation would reach a critical level in the light of upcoming additional tasks expected to be performed by the Agency, the same principle will be applied to each new task request, in exchange with the European Commission, to define its ranking in the overall contribution to the achievement of the Agency's four strategic priorities.

To estimate the **economic impact** of the requested tasks, where possible an **early assessment** of the tasks is performed in order to provide a clear, widely shared basis for defining the impact and allocating resources and setting deadlines. The Agency shall conduct these assessments problems encountered and possible solutions before works actually start. Based on these assessments, the Agency will make proposals for the re-prioritisation and rescheduling of projects, which, after agreement, become part of the ongoing change management process of the work programme.

The overall principle will be linked during the further evolution of this work programme to the **key performance indicators** development to make sure that tasks are prioritised which is

    - key drivers
    - the most efficient / the most economically beneficial
to achieve the four strategic priorities.

5. The Agency's budget foreseen for 2014

Activity	Unit Staff	DIRECT COSTS			
		CHAP 30			
	FTE	ACTIVITIES	STUDIES	TRANSLATIONS, INTERPRETATION	
Developing a harmonised safety regulatory framework	7,35	183 080,00	0,00	0,00	
Monitoring railway safety	12,39	120 060,00	230 000,00	0,00	
Facilitating the improvement o the safety regulatory framework	16,08	257 805,00	140 000,00	250 000,00	
Developing a harmonised framework of technical specifications and their application for vehicule	24,05	455 790,00	110 000,00	130 000,00	
Monitoring the framework implementation and performance for vehicle authorisation	6,18	48 200,00	0,00	10 000,00	
Facilitating the improved perfomance of the framework for vehicle authorisation	16,68	89 200,00	0,00	40 000,00	
Developing ERTMS (as System Authority)	5,42	147 150,00	120 000,00	0,00	
Monitoring and Facilitating ERTMS implementation and performance	6,64	155 250,00	200 000,00	0,00	
Developing, Monitoring and Facilitating improved system acces	8,65	314 090,00	0,00	0,00	
Operational activities across several strategic priorities	9,55	98 875,00	0,00	20 000,00	
Corporate Services	33,00	1 100,00	0,00	0,00	
Agency Management	10,03	4 400,00	0,00	0,00	
Grand Total	**156,00**	**1 875 000**	**800 000**	**450 000**	

ART 311	INDIRECT COSTS		SUB - TOTAL	Distributed overhead	TOTAL
	Chapter 31 - ART 311	Titles 1 & 2			
		930 529	**1 113 608,85**	381 085,89	**1 494 684,74**
200 000,00		1 568 606	**2 118 665,77**	642 401,93	**2 761 067,70**
80 000,00		2 035 769	**2 763 574,23**	833 722,60	**3 597 296,83**
570 000,00		3 044 792	**4 310 581,67**	1 246 954,52	**5 557 536,18**
		781 771	**839 970,83**	320 164,00	**1 160 134,83**
		2 111 098	**2 240 297,76**	864 572,41	**3 104 870,17**
		686 186	**953 335,90**	281 018,44	**1 234 354,34**
100 000,00		840 008	**1 295 258,01**	344 014,27	**1 639 272,28**
180 000,00		1 095 112	**1 589 202,18**	448 488,84	**2 037 691,02**
1 285 000,00		1 209 054	**2 612 929,49**	495 152,42	**3 108 081,90**
85 000,00	320 000,00	4 177 885	**4 583 984,62**	-4 583 984,62	**0,00**
		1 269 191	**1 273 590,71**	-1 273 590,71	**0,00**
2 500 000	320 000	19 750 000	**25 695 000,00**	0,00	**25 695 000,00**

6. The Agency's activities in detail

Activity 1. Developing a harmonised safety regulatory framework

The Safety Management System (SMS) is the corner stone of the legislative framework designed to improve safety performance and support the opening of the railway market in a way that ensures safety is not compromised. It is clear that there is a need for all the organisations in this sector to develop a clear and shared understanding of the roles and responsibilities they have for safety in this shared system. In some cases there remains a need to understand the core concepts of a safety management based system of risk control. A prime activity for the Agency is, therefore, to continue the development of the understanding of the basic concepts, elements and processes that are part of an adequate SMS within the railway sector and to promote this common understanding throughout Europe. The Railway Safety Directive (RSD) requires National Investigating Bodies 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. This approach can foster a "just culture" where the emphasis is on understanding the causes of accidents and taking steps to prevent recurrence. The work of the National Investigating Bodies is an essential part of the safety management framework. The implementation by Member States of the safety regulatory framework as set out by the RSD is still very diverse. Through this activity, the Agency aims to support the implementation of this regulatory framework in a way that allows for the operation of a safe and open railway market within the European Union. The Agency recognises the clear need to take into account the interaction of this framework with the systems in place in neighbouring countries. Effective safety management requires competent people to perform safety-critical tasks and a key element of the safety framework already in place is designed to ensure this competency, for on-board staff, is managed properly and recognised at a European level. These systems support effective safety management and the free movement of workers within the EU.

1.1. Developing a harmonised approach to risk management

What is the problem to be solved?

The Agency report on the migration to a single safety certificate issued in accordance with Article 10(7) of the railway safety directive identified a number of barriers to the successful migration, in particular the absence of detail in the CSMs for conformity assessment and supervision. Parallel experience with the ECM certification process shows this absence makes harmonisation challenging.

In the revision of the European Commission Regulation (EC) No 352/2009 on CSM and risk assessment adopted in 2013 as Commission Regulation (EU) No 402/2013, the definition of risk acceptance criteria (RAC) for technical issues could not be achieved due to a lack of contentment and maturity of the different interested parties. In 2013 the Agency started a new initiative by the publication of a technical note to make possible the issue of a recommendation to the European Commission in 2014.

What does the Agency do?

Following a proposal of the Agency a task force has been established under the Railway Interoperability and Safety Committee to oversee the programme of work to provide greater clarity in the assessment and supervision processes and the migration to a single safety certificate scheme.

The Agency performed, in 2013, activities to collect evidence from the interested parties to validate figures regarding risk acceptance criteria for technical issue. Those figures should allow the Agency to address a recommendation to the European Commission for a revision of the annexes of the Commission Regulation (EU) No 402/2013.

What is the expected overall impact?

The work will provide the basis for a migration to a single certificate and in the short-term benefits from greater clarity and consistency in the areas of assessment and supervision.

The use of common risk assessment criteria for technical issue is expected to increase mutual trust and to facilitate the mutual recognition of authorisation of placing in service of a structural subsystem. This work precedes work on RACs for human activity which is also a supporting element for the migration towards a single safety certificate.

	Outputs 2014	Legal basis	Timing	KPI
1.	Delivery of milestones to realise the single safety certificate in the RISC Task Force programme plan	Agency regulation Article 6, Directive 2004/49/EC Articles 10 and 6	Set out in programme plan	1
2.	Recommendation for RAC for technical issues	Agency regulation Article 6, Directive 2004/49/EC Article 6	September 2014	–

1.2. Developing overall NIB principles

What is the problem to be solved?

With the aim of improving railway safety and preventing serious accidents, the RSD requires the establishment of a national investigating body in all Member States, investigating serious accidents and accidents that, under different circumstances, might have led to serious accidents, and to make recommendations where appropriate. These national investigating bodies are still in the process of establishing how they can best, and to what extent, fulfil the important responsibility given to them by the RSD. Harmonisation of NIB principles will improve overall NIB efficiency and their integration into the legal framework. It will also support NIB cooperation across national boundaries.

What does the Agency do?

Working closely with the national investigating bodies, and covering the scope of accident investigation as laid down in the RSD, the Agency will identify and promote existing good practice of national investigating bodies and, where needed, support this with the development of guidelines.

What is the expected overall impact?

These initiatives will result in improved efficiency and effectiveness of the national investigating bodies in performing their duties, and an increasing European harmonisation of NIB process and practice. Consequently, supported by training, a correct and harmonised application of the investigation framework as set out in the RSD, whereby all concerned organisations recognise and accept their own and each other's roles and responsibilities in investigating accidents and incidents, will contribute to a sustainable and safe development of the railway system in Europe.

	Outputs 2014	Legal basis	Timing	KPI
1.	Update of existing guidance and development of a register of specific NIB competence	Directive 2004/49/EC Article 21, Agency regulation Article 6	Ongoing	–
2.	Report of NIB Task Force to assess threats for NIB independence	Directive 2004/49/EC Article 21, Agency regulation Article 6	Set out in NIB working programme	–

1.3 Developing overall principles for assessment and supervision

What is the problem to be solved?

Railway safety within Europe is built on the mutual acceptance of certificates and authorisations for RUs/ECMs and IMs issued in single Member States. This requires a similar approach to certification and regulation, an equal level of performance and a high degree of mutual trust amongst NSAs and between other certification bodies. Recent findings, however, show a great variety of approaches and a different level of maturity of NSAs in different Member States, sometimes even hindering the further development of an open European railway market. The concept of a single safety certificate articulated in the current safety directive and included in the proposals of the 4th Railway Package require greater impetus in this area if progress is to be achieved.

What does the Agency do?

The RISC Task Force on the single safety certificate will act as a programme management board for the delivery of a series of building blocks. One essential building block is the harmonization of the approaches to assessment and supervision. Currently a dedicated Task Force of NSAs, focusing mainly on their assessment and supervision tasks and in close relationship with the NSA Network, has offered the opportunity to exchange and learn from best practices (which have been put in place by the most mature NSAs) and propose solutions to overcome identified problem areas with a harmonised implementation of the EU legal framework. The work of this Task Force was intended to result in guidance and improved common understanding of the actual outcome of implementation of the EU legal framework for NSAs on certification and supervision/regulation activities. The RISC Task Force will need to consider whether this remains the most appropriate way to address this area and how greater progress can be secured. This work will need to take into account the results of the NSA cross-audits (presented under 2.3).

What is the expected overall impact?

This project aims to contribute to an accelerated harmonisation of certification and supervision/regulation processes throughout Europe and an enhanced understanding and respect of the role and responsibility of all stakeholders within the safety regulatory framework.

	Outputs 2014	Legal basis	Timing	KPI
1.	Revision of the current framework that supports assessment and supervision in accordance with the RISC Task Force on a single safety certificate programme	Agency regulation Article 6	Ongoing	2

1.4. Developing the ECM certification scheme

What is the problem to be solved?

ECM accreditation scheme: The EN 45011:2004 is replaced by the EN ISO 17065:2012. A transition period of 3 years has been established by the standardisation bodies to ensure the migration of accreditation schemes towards the new standard. Therefore the ECM accreditation scheme (including the ECM certification scheme) as stated in Article 6 of the ECM Regulation (EU) No 445/2011 and developed by the Agency on behalf of the European Commission has to be updated. Clarifications resulting from 2 years of implementation of the ECM Regulation (EU) 445/2011 and new needs of the railway actors should also be introduced in the ECM accreditation scheme.

Revision of European Commission Regulation (EU) No 445/2011: The Fourth Railway Package anticipates the adoption by the EU Commission of the extension of scope of ECM Regulation (EU) No 445/2011 to all vehicles by the end of 2016 (nevertheless in Directive 2004/49/EC Art. 14a it is still planned for end 2018). Therefore a working group must be set up in 2014 in order to prepare a recommendation to the European Commission by mid-2015.

What does the Agency do?

ECM accreditation scheme: Since 2011 the Agency has organised, as imposed by Article 6 of Regulation (EU) No 445/2011, the cooperation between certification bodies (see section 3.1). This cooperation will provide inputs for revising the ECM accreditation scheme. The Agency will provide a revision of the ECM accreditation scheme and will proceed to its validation by the European Cooperation for Accreditation (the association of national accreditation bodies according to the European Commission Regulation (EC) No 765/2008).

Revision of European Commission Regulation (EU) No 445/2011: The Agency shall set up a Working Group to support the development of a recommendation on extension of the scope of regulation 445/2011. The main activities of this working group will be to support the Agency in issuing a report on return of experience and for the development of an impact assessment regarding the extension of scope of the ECM certification to all vehicles.

What is the expected overall impact?

The revision of the ECM accreditation scheme and the revision of the European Commission Regulation (EU) No 445/2011 (extension of the scope) will answer the needs of RUs and IMs to get assurance on the capability of ECMs. Consequently this facilitates the implementation of the SMS

	Outputs 2014	Legal basis	Timing	KPI
1.	Report on early return of experience for the ECM certification scheme	Directive 2004/49/EC Article 14a, Regulation (EU) 445/2011 Article 6	End 2014	3

1.5. Safety critical workers

What is the problem to be solved?

Directive 2007/59/EC ('train drivers directive' or 'TDD') establishes the legal basis for a common European licence scheme for train drivers. This, amongst other things, allows train drivers to perform cross-border services and facilitates changing from one employer to another. However, Member States are implementing this certification model differently from one another. It is therefore important to monitor this implementation in the different Member States. More specifically, the TDD requires a common format for the train driver's licence valid all over the EU network and the complementary certificate informing on the routes and rolling stock the driver is allowed to operate. The content of these documents determine the skills and competencies that drivers must acquire and maintain during all the time they are active as train drivers. However, training centres and examiners are often part of historical railway undertakings and act at the best within one Member State. To ensure the free movement of train drivers within the Union, it is necessary (as requested by the TDD) that these training centres and examiners are accredited or recognised according to a common scheme under the three main criteria: independence, competence and impartiality. In addition to train drivers, other crew members perform safety-critical tasks on board trains. To facilitate cross-border traffic and the free movement of these crew members, a common training attestation scheme which will be recognised in all Member States of the EU shall be put in place.

What does the Agency do?

The evaluation of the development of the certification of train drivers in the different Member States under Article 33 of the TDD will be concluded after a workshop where all Member States representatives (the group established under Article 35 of the TDD) and industry stakeholders, including worker's organisations will exchange their positions on the basis of the results of the wide enquiry made under the format of a questionnaire. After this workshop and further discussion with the DG Mobility and Transport of the European Commission, the exact remits of the follow-up activities will be determined. For the accreditation of training centres and examiners, the Agency is creating common conditions that will be valid throughout the EU. To take into account the other on-board staff performing safety-critical tasks, the Agency has launched in September 2013 a working party which is carrying out two of the three tasks assigned to the Agency by the Report of the European Commission: Define the model for the attestation that will enable crew members to have their skills and abilities related to passenger safety recognised all over the EU and amend the TSI on operation and traffic management accordingly. The third task: evaluation of national rules will be carried out separately.

What is the expected overall impact?

Staff performing safety-critical tasks will have a common basis of skills and competences commonly recognised throughout the EU. This will ease cross-border traffic without exchange of crew and enhance the mobility of on-board workers within the Union.

	Outputs 2014	Legal basis	Timing	KPI
1.	Start work to improve provisions in TDD following the report on the evaluation of the development of the certification of train drivers	Agency regulation Article 16b, TDD Article 33	1Q2014	–
2.	Model for the attestation of training centres and examiners for train drivers	Agency regulation Article 17, Directive 2007/59/EC Article 33	End 2014	–
3.	Cooperation with DG Internal Market and Services to accompany the pilot implementation of the Internal Market Information System (IMI) for facilitating the exchange of data between NLRs (national licence registers)	Commission Decision 2010/17/EC Article 3	To start with the launch of the IMI pilot	–
4.	Model for the attestation of crew members abilities; amendment of the OPE TSI	Agency regulation Article 12, Directive 2007/59/EC Article 28	2Q2014	–

1.6. Defining methods for common safety targets (CST)

What is the problem to be solved?

As required in European Commission Decision 2009/460/EC, the Agency shall prepare a revision of a common safety method for the assessment of achievements of common safety targets (CSTs) and national reference values (NRVs) for 2015. It should be based on the experience gained from the first and second set of CSTs/NRVs and their assessments. CSTs are used as a tool to monitor that the safety targets are met and that the level of railway safety in the EU is at least be maintained.

What does the Agency do?

The Agency started the preparatory work for the revision of the CSM already in 2013. After reviewing the up-to-date experience with the current CSM and its evaluation, the Agency will seek to improve the CSM and the entire framework of CSTs.

What is the expected overall impact?

A better system for monitoring railway safety on MSs and EU levels.

	Outputs 2014	Legal basis	Timing	KPI
1.	Impact assessment of CSM on CST	Directive 2004/49/EC Article 7, Commission Decision 2009/460/EC Article 4	October 2014	–
2.	Draft recommendation on the revision of the CSM on CSTs/NRVs assessment	Agency regulation Article 6, Directive 2004/49/EC Article 7	October 2014	4
3.	Workshop on revising CSM on CSTs and NRVs	Agency regulation Article 6, Directive 2004/49/EC Article 7	November 2014	–

1.7. Developing tools for enhanced monitoring of railway safety performance and of the Safety Regulatory Framework

What is the problem to be solved?

Current framework for railway safety monitoring has shown its limitations due to reliance on accident outcomes and due to its fundamentally reactive nature. This system does not allow reaction to emerging safety issues and to proactively manage safety performance at national and European level.

What does the Agency do?

The European Railway Agency is developing a new framework for evaluation and assessment of railway safety at Union and Member States level. It comprises extended monitoring of safety outcomes and a set of tools for the assessment of the regulatory regime in Member States. The former entails the use of accident precursor data for safety monitoring, while the latter consists of a framework for evaluation of the performance and processes of the key actors in railway safety management at national level (transport ministry, national safety authority and national investigation body). The pilot application of the regulatory monitoring matrix will cover a few volunteering MSs in 2014, with the pilot evaluation and recommendation report to be published in June 2014. The Agency will also start developing a framework for national railway safety plans and a framework for common occurrence monitoring in the EU. They are the cornerstones of the foreseen Safety Management System for the EU and for MSs.

What is the expected overall impact?

A better system for monitoring railway safety on different levels, but in particular at EU level, allowing for a more systematic and proactive work of NSAs and of the European Commission.

	Outputs 2014	Legal basis	Timing	KPI
1.	Report on pilot of regulatory monitoring matrix	Agency regulation Article 9	September 2014	5
2.	Workshop on common occurrence monitoring in the EU	Agency regulation Article 9	September 2014	–
3.	Workshop on national safety plans	Agency regulation Article 9	November 2014	–

Activity 2. Monitoring railway safety

In the application of Article 9 of the Agency regulation, the Agency is charged with monitoring safety performance at the level of the European Union. In order to develop a complete and consistent safety approach, this 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 initiate and develop a framework for monitoring safety performance not only by looking at safety results but also 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. The Agency will also build on existing and maturing collected data to analyse causes, and propose solutions for management, of the most significant risks.

2.1. Assist EC in evaluation of transposition of safety and train driver's directives

What is the problem to be solved?

Transposition of the EU legislative framework varies across the EU. This problem has been identified through the Member States' evaluations that have been carried for the RSD and the interoperability directive (IOD). So far, it seems that all the evaluated Member States have areas where the completeness of the transposition needs further clarification. The scope and scale of the necessary clarification varies across all Member States. This project covers support for the evaluation of the train drivers' directive (TDD). The incorrect transposition of EU legislation into national law is seen as hindering any improvement in the competitive position of the railway sector by undermining the level of interoperability of the railway system and the common approach to safety.

What does the Agency do?

The Agency provided the European Commission with an overview and an evaluation of the transposition of the Railway Safety and Train Driver's Directives. The work will be followed in some cases, where it was not done before, as it will be the case for Croatia, who entered the Union in July 2013. On request, the Agency will continue to provide support in exchanges between the Member States and the Directorate-General for Mobility and Transport. The aim of these activities is to support the European Commission and assist the Member States in their attempts to transpose European directives correctly. The Agency also provided the European Commission with an evaluation of the transposition of the TDD. The work will be followed in the case of Croatia, who entered the Union in July 2013. Based on this evaluation the European Commission is sending requests for clarification to all Member States where issues have been identified. The Agency is tasked with analysing the responses of the different Member States and establishing a synthesis which will enable the European Commission to take further action as appropriate.

What is the expected overall impact?

The improvement in the way in which directives are transposed and their practical implementation aims at improving the competitive position of the railway sector by enhancing the level of interoperability of the railway system and developing a common approach to safety.

	Outputs 2014	Legal basis	Timing	KPI
1.	Evaluation of rail safety directive transposition: follow-up work, support the European Commission in EU Pilots	Agency regulation Article 21b	December 2014	6
2.	Evaluation of Train Driver's Directive transposition: follow-up work, summary of answers from Member States to the European Commission requests for clarification	Agency regulation Article 30	1Q2014	–
3.	Summary of clarifications received from Member States in answer to the European Commission request and appropriate advice	Agency regulation Article 21b	Ongoing	–

2.2. Monitoring safety performance

What is the problem to be solved?

Railway safety performance at a European level needs to be continuously monitored (assessed) to provide feedback to policymakers on the effectiveness of EU railway safety policies. The Agency should also make use of the data collected to help identify opportunities for improvements, by analysing underlying causes of the most significant risks and proposing cost effective methods for their control. In 2013 the Agency highlighted a number of weaknesses in the current monitoring systems, particularly where accident rates are normally very low. The accidents in France and Spain in 2013 highlighted the need to retain a strong focus on safety and to develop systems of monitoring that support early intervention. Alongside improved monitoring tools the Agency recognises the importance of maintaining systems of work that allow for feedback on the application of systems, such as the ECM certification scheme, to support a cycle of continuous improvement.

What does the Agency do?

The Agency receives safety performance information linked to common safety indicators (CSI) which the Agency uses to annually assess the safety performance of Member States and the EU via common safety targets (CSTs) and national reference values (NRVs). Clearly the validity of the assessment depends heavily on data quality. The Agency will report in 2014 on the data quality and on the completeness of the data supplied annually. The issue of incomplete data has been raised by the Commission in their review of the 2012 NSA Network Activity Report and the Agency shares the concern that the missing data represents a lost opportunity in our ability to understand the true cost of accidents. The Agency receives and gathers a broad range of information, both in terms of CSI data and national reporting, including NIB early notification of accidents and NIB reports following their investigations. The first step is to publish the data and reports so that they are available to others. The Agency now intends to make better use of the collected information by analysing trends and underlying causes. To make better practical use of the existing work, the Agency will work to identify common issues and, where possible, solutions, to be addressed at a European level.

What is the expected overall impact?

High quality data on safety performance leads to a thorough understanding of areas with increased risks that need policy actions; this enables the Agency to run cost-benefit analyses, produce high quality impact assessments, better understand how the Safety Regulatory Framework is applied and, ultimately, contribute to the effectiveness of the EU railway Safety Regulatory Framework. But the benefits are not limited to the Agency. To systematically reduce risk in an economically sustainable way all parties need a clear understanding of the safety issues, of emerging trends and areas that should be prioritised. In 2014 the Agency work on safety performance monitoring, in its widest sense, will be focused on providing greater clarity. Where possible, the Agency will propose practical, cost-effective, best practice solutions for control of the most significant risks, to support the improvement and implementation of RU and IM safety management systems.

	Outputs 2014	Legal basis	Timing	KPI
1.	Analysis of safety information like e.g. CSIs accident reports, NSA/NIB annual reports; view on Member States and EU safety level, input for safety priority setting	Agency regulation Article 9	Ongoing	–
2.	Report on the quality and completeness of data reported to the Agency	Agency regulation Article 9	November 2014	–
3.	Development and dissemination of CSI data	Agency regulation Article 9	December 2014	–
4.	Development of a research project to understand how IMs can better control risks of unauthorised persons and suicides on the railway	Agency regulation Article 9	October 2014	–
5.	Feedback from implementation of SMS by RUs and IMs and of the maintenance system by ECMs taking into account the specific RUs and IM needs	Directive 2004/49/EC Article 14a, Agency regulation Article 9	Ongoing	–
6.	Biannual report on railway safety in the EU	Agency regulation Article 9	March 2014	7

2.3. Monitoring the Safety Regulatory Framework

What is the problem to be solved?

In order to develop a complete and consistent safety approach, the monitoring of safety performance at the level of the European Community 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. After all, this legislative framework, as set out by the RSD, only becomes meaningful (law in action) when it is backed up by the mobilisation of Member States' powers through, for example, the activities of NSAs and national investigating bodies. To determine the necessary assurance that the system is working as intended and to fulfil the aim of continuous improvement, this needs to be monitored.

What does the Agency do?

Together with the NSA Network, the Agency has established a programme of NSA cross-audits. Following a 2-year pilot, which included audits of six NSAs, the Agency is now improving and maintaining the programme, by supporting the cross-audit committee, providing ongoing training for the pool of auditors and participating in the mixed teams that are performing the audits. A full, 5-year audit cycle began in 2013 to assess the performance of all NSAs.

What is the expected overall impact?

Assessing the activities of NSAs in all Member States, in a structured and transparent way, will provide an overview of the effectiveness of the Safety Regulatory Framework, increase mutual trust between NSAs and encourage the sharing of best practice in order to improve NSA performance. In addition, this project will accelerate the harmonisation of NSA processes as foreseen by RSD Article 17(4) and, therefore, also contribute to the Agency's activity in developing the overall principles for assessment and supervision (project 1.3). Possible synergies with the monitoring of Member State authorities providing vehicle authorisations (project 5.3) will be maximised.

	Outputs 2014	Legal basis	Timing	KPI
1.	Conduct of cross-audits Poland, Sweden, Channel Tunnel, Romania, Austria, Norway, Denmark, Italy	Agency regulation Article 6, Directive 2004/49/EC Article 17	According to audit programme	8
2.	Training for cross-auditors, support to Audit Committee, development of NSA cross-audit framework, maintenance of supporting webtool	Agency regulation Article 6, Directive 2004/49/EC Article 17	Ongoing	–
3.	Report to RISC (compare to chapter 5.2)	Agency regulation Article 6, Directive 2004/49/EC Article 17	Ongoing	–

2.4. NIB assessment programme

What is the problem to be solved?

The railway safety directive requires the national investigating bodies to investigate serious accidents and incidents in order to maintain or improve railway safety. In order for the Agency to be able to support the national investigating bodies in this task and to fulfil the requirements, it is imperative to understand the way the national investigating bodies' work, how investigations are carried out, and their needs.

What does the Agency do?

In cooperation with volunteering national investigating bodies, an assessment programme is being developed and maintained. In addition, accident investigation reports are analysed with the objective of identifying; • Key areas where safety can be improved; and • Good practice which can be shared amongst the national investigating bodies.

What is the expected overall impact?

NIB surveys aim at collecting information and providing a framework for a communication around their activities and organisation. The objective of the assessment of the national investigating bodies is to help them achieve their above objective by developing a standard for accident investigation in Europe and by giving the national investigating bodies support to identify changes that will improve their efficiency and effectiveness.

	Outputs 2014	Legal basis	Timing	KPI
1.	Voluntary assessments conducted. Austria and Ireland (to be completed in 2014); Norway, Sweden and Czech Republic (started); Poland (follow-up).	Agency regulation Article 6, Directive 2004/49/EC Article 21	According to audit programme	9
2.	Survey of NIBs not part of the NIB audit programme	Agency regulation Article 6, Directive 2004/49/EC Article 21	End 2014	–

2.5. Assessing common safety targets (CST)

What is the problem to be solved?

Based on the already adopted CST/NRV, at the beginning of each year, the Agency assesses the safety level in Member States and communicates it to RISC. The purpose is to make the Commission and the Committee aware of the development of railway safety in MSs.

What does the Agency do?

The Agency assesses the safety performance of MSs through the concept of CSTs and NRVs by applying CSM (Commission Decision 2009/460/EC).

What is the expected overall impact?

Assurance that railway safety has been at least maintained in MSs. Enforcement tools foreseen in the CSM can be applied on MSs showing possible/probable deterioration of railway safety.

	Outputs 2014	Legal basis	Timing	KPI
1.	Yearly assessment report to the European Commission/RISC on the achievements of CSTs/NRVs	Agency regulation Article 9, Commission Decision 2009/460/EC Article 1	March 2014	10

Activity 3. Facilitating the improvement of the Safety Regulatory Framework

In order to ensure the greatest possible transparency and equal access for all parties to relevant information, public documents envisaged for the interoperability process and for matters related to safety should be accessible to users and the public. The Agency is required to provide an efficient means of exchanging this information by developing and maintaining several databases and registers. In addition, there is a growing role for the Agency in promoting and explaining the Safety Regulatory Framework to all stakeholders by continuing and even intensifying already started dissemination activities and training for all stakeholders.

3.1. Promoting a harmonised Safety Regulatory Framework

What is the problem to be solved?

SMS principles — CSM on risk assessment — CSM on monitoring: From the monitoring activities, the Agency is aware of the varied application of SMS principles and the CSMs. It is clear therefore that more needs to be done to disseminate the principles of SMS and CSMs to all interested parties and based on their feedback to improve them. The risk of a non-harmonised application of the SMS principles and CSMs is that the objective of a single European railway area is undermined.

ECM certification: Commission Regulation (EU) No 445/2011 on certification of entities in charge of maintenance (ECM regulation) is in force. A common implementation in the EU must be ensured and is a precondition of the credibility of the ECM certification. In addition RUs should be in position to trust in the ECM certification. The Commission Regulation (EU) No 445/2011 is judged as insufficiently detailed by stakeholders, authorities and accreditation bodies to ensure common implementation. There is a need for additional guidance documents and to take into account the evolution of the maturity of stakeholders regarding the management system approach.

What does the Agency do?

SMS principles — CSM on risk assessment — CSM on monitoring. The web application developed in 2012 aims at providing a knowledge-building base to be used by RUs/IMs to design and implement their SMS in conformity with the aforementioned requirements of Directive 2004/49/EC. It has been gradually complemented with papers on safety culture and human factors. In 2013, the web application was completed by documents related to the implementation of the CSM on risk assessment and the CSM on monitoring. This continuous update of the web application will continue in 2014. In 2014, the Agency will continue to focus mainly on the dissemination activities of the already available information by organising workshops covering SMS, ECMs and both CSMs. The Agency will continue to reflect on improving how human factors should be integrated and will start the development of related guidance documents.

ECM certification: As an integrated part of the dissemination of the SMS principles, the Agency will organise dissemination workshops on ECMs. The Agency will also continue to organise, as imposed by Article 6 of Regulation (EU) No 445/2011, the cooperation between certification bodies. This will provide inputs for adopting clarifications and for revising the ECM accreditation scheme (see also section 1.4).

What is the expected overall impact?

SMS principles — CSM on risk assessment — CSM on monitoring: The continuous increase of awareness of RUs, IMs and authorities on how to design and monitor a SMS and how to implement the harmonised risk assessment approach will lead to a rising of maturity in the whole EU. The use of common safety methods on risk assessment is expected to increase mutual trust and to facilitate the mutual recognition of results from risk assessments. A better understanding of how the CSM on monitoring can be applied and, thus, increase experience/competence. The use of a common and harmonised method for monitoring is expected to increase mutual trust and to facilitate the mutual recognition of the Safety Management System. Therefore these are also important building blocks in achieving the fulfilment of the preconditions for migration towards a single safety certificate.

ECM certification: A common implementation of the ECM regulation that will answer the needs of RUs (assurance on the capability of ECMs) and the economic possibilities of ECMs; maintain the costs of the ECM certification under monitoring (avoid dumping or exaggerated costs).

	Outputs 2014	Legal basis	Timing	KPI
1	Combined workshops in Member States (SMS, ECM, CSM, NSR) within overall dissemination concept, communication through diverse channels (conferences, Internet, press, etc.), dedicated SMS website	Directive 2004/49/EC Article 17, Agency regulation Article 6	Ongoing	–
2.	Development of human factors network, updated list of HF experts in Member States	Agency regulation Article 6, Directive 2004/49/EC Article 17 and 21	Ongoing	–
3.	Updated guidance documents (SMS, CSM, ECM) following return of experience and needs expressed by stakeholders	Directive 2004/49/EC Article 17, Agency regulation Article 6	Ongoing	–

3.2. Promoting NSA cooperation and providing assistance (incl training)

What is the problem to be solved?

According to Article 17(4) of the RSD: The safety authorities shall conduct an active exchange of views and experience for the purpose of harmonising their decision-making criteria across the Community. Their cooperation shall in particular aim at facilitating and coordinating the safety certification of railway undertakings which have been granted international train paths in accordance with the procedure laid down in Article 15 of Directive 2001/14/EC. The Agency shall support the safety authorities in these tasks.

What does the Agency do?

The Agency will carry on organising the Network of NSAs to coordinate and harmonise the different levels of performance among the NSAs, for example by facilitating the harmonisation of NSAs decision-making criteria and processes, described in Article 16 of the RSD. Together with the Network of NSAs the need for dedicated training will be assessed (see also project 1.3).

What is the expected overall impact?

This project aims to contribute to an accelerated harmonisation of core NSA processes throughout Europe and an enhanced understanding and respect of the role and responsibility of all stakeholders within the Safety Regulatory Framework.

	Outputs 2014	Legal basis	Timing	KPI
1.	Three NSA network plenary meetings; workshops and seminars on specific topics	Directive 2004/49/EC Article 17, Agency regulation Article 6	December 2014	–
2.	Bilateral meetings, training on demand in relation to assistance to the NSAs	Directive 2004/49/EC Article 17, Agency regulation Article 6	Ongoing	–

3.3. Promoting NIB cooperation and providing assistance (including training)

What is the problem to be solved?

From its monitoring activities, the Agency is aware of different approaches to accident investigation in the Member States. This leads to difficulties in cases where investigations bodies have to cooperate, e.g. when an RU licensed in another Member State is involved in an occurrence. As the major part of the accident investigators are technicians, they are not familiar with the concept of SMS. However, the RSD requires that accident investigation also covers SMS issues. The Agency has also observed that the reporting tool ERAIL is not used in the way it has been designed; this makes it difficult to systematically analyse the outcome from accident investigation in order to prevent accidents.

What does the Agency do?

According to Article 21(7) of the RSD the Agency shall support the national investigating bodies in their tasks of developing common investigation methods, drawing up common principles for follow-up of safety recommendations and adapting to the development of technical and scientific progress. The Agency will carry on organising the network of national investigating bodies. This will involve workshops with the national investigating bodies on dedicated topics. Together with the national investigating bodies, the Agency will also continue to develop and deliver training for accident investigators including the correct application of the ERAIL tool. In addition, the Agency will provide national investigating bodies with specific and targeted information on the Safety Regulatory Framework (including the concept of SMS). As provided for in the RSD, the Agency may assist an NIB in accident investigation on request. This activity will be extended to IPA countries where appropriate.

What is the expected overall impact?

Building on the work developed in project 1.2, the promotion of NIB cooperation will result in an improved efficiency and effectiveness of national investigating bodies in performing their duties and an increasing European harmonisation of NIB processes and practice.

	Outputs 2014	Legal basis	Timing	KPI
1.	Development and delivery of modular training sessions for accident investigators (including SMS and ERAIL)	Directive 2004/49/EC Article 21, Agency regulation Article 6	Training sessions organised according to expressed needs	–
2.	Organisation of the NIB Network (including three NIB network plenary meetings; workshops and seminars on specific topics, participation in regional NIB groups)	Directive 2004/49/EC Article 21, Agency regulation Article 6	Ongoing	–
3.	Assist in accident investigations to the NIBs	Directive 2004/49/EC Article 21	On request	–
4.	Providing NIBs with specific information on the Safety Regulatory Framework (including SMS)	Directive 2004/49/EC Article 21, Agency regulation Article 6	Ongoing	–

3.4. Coordinating the accreditation and recognition framework

What is the problem to be solved?

Accreditation and recognition are the tools to be used to ensure the capability of conformity assessment bodies according to Regulation (EC) No 765/2008. Several ERA activities are impacted: ECM certification, CSM on risk assessment (independent safety assessment), accreditation of training centres, verification of subsystems by NoBos, etc. There is a need to coordinate ERA activities related to accreditation with the European Cooperation for Accreditation (EA). If not, there is a risk of impairing or delaying the implementation of legal rules (national divergence).

What does the Agency do?

The Agency will organise dissemination activities addressed specifically to the national accreditation bodies and to recognition bodies on the specificities of the railway environment including the legal aspects. This will include training seminars, guidance documents and support to European cooperation for Accreditation (EA) to ensure better understanding of railways by their members. The Agency will also participate in several coordination activities initiated by EA in the domains of certification and inspection.

What is the expected overall impact?

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

	Outputs 2014	Legal basis	Timing	KPI
1.	Review of training material on accreditation and recognition principles	Directive 2004/49/EC Article 14a, Regulation (EU) 402/2013 Article 14	Ongoing	–
2.	Support to EA	Directive 2004/49/EC Article 14a, Regulation (EU) 402/2013 Article 14	Ongoing	–
3.	Harmonisation of the ECM certification process; cooperation of certification bodies	Regulation (EU) 445/2011 Article 6, Regulation (EU) 402/2013 Article 14	Ongoing	–

3.5. Promoting transparency and reduction of national safety rules

What is the problem to be solved?

In spite of positive developments, national safety rules (NSR) are still a barrier to the free movement of railway traffic in the European Union. During the last years, the Agency has delivered important recommendations (TSIs, CSMs, etc.) for improving harmonisation. But, the currently high number of NSRs and the lack of transparency hinder further harmonisation. A reduction in the number of NSRs is also a prerequisite for moving towards the concept of a single certificate, but depends on further harmonisation in the safety/operation area. Established at the end of 2010 under RISC, the Task Force of National Safety Rules clarified uncertainties and overlaps of rules and proposed procedures on how to 'clear up' the rules systems in Member States. Building on this work, the Agency will make efforts to promote further transparency and reduction of national safety rules.

What does the Agency do?

The Agency will disseminate the results of the Task Force of National Safety Rules. The long-term aim is to no longer have national safety rules outside of the scope of European harmonised rules, such as CSM, TSI OPE and CST. The Agency will carry on supporting the Commission and Member States in their efforts to improve both transparency and gradual reduction in national safety rules. In particular, the Agency will discuss with each NSA/Member State the impact of the findings in the final report for their notified national safety rules. In dissemination workshops the Agency will explain to stakeholders in Member States how national safety rules fit into the system of European harmonised rules, the SMS and 'agreements' among the infrastructure managers and railway undertakings. The Agency will introduce new tools to help NSA/Member States to clean up their rules systems and new modules in NOTIF-IT to support more transparency. Stakeholders will get the possibility to comment on draft rules before rules are adopted. In the same way stakeholders may comment/claim on rules, which are supposed to be NSR, but were not notified. The Agency will continue to work on the development of the 'rules management tool', which will be presented as a draft recommendation to RISC within the first half of 2014. The Agency will continue to pre-evaluate permanently notified NSR and evaluate rules after claims or comments from stakeholders. The process will be followed by a monitoring system based on a stakeholders/NSA/Member States survey and a follow-up of defined key performance indicators. The Agency will report the progress of these activities to RISC, as one important input for the implementation of a single safety certificate. On the request

of the Commission, the Agency will continue to deliver (technical) opinions on rules which are suspected to be inconsistent with the EU legislation.

What is the expected overall impact?

It is expected that this project will have the following impacts: the transparency of the national safety rules' systems in Member States will be improved and will facilitate the realisation of safety certificates for RUs; the national safety rules will gradually be reduced to the minimum and will facilitate the access of new entrants to the market; facilitation of the migration to the concept of a single certificate by drastically reducing the number of national safety rules, which is a prerequisite. The implementation of the rules management tool and the discussion on harmonised rules will have an impact on the TSI and CSM, CST working parties, as they will have to decide which NSR should be put on a European harmonised level, what remains as a national safety rule and what rule shall be covered by the SMS of RU and IM.

	Outputs 2014	Legal basis	Timing	KPI
1.	Check of NSR registration, evaluation of draft and adopted rules for the European Commission	Agency regulation Article 9a	Ongoing	11
2.	Apply and update the 'rules management tool'	Agency regulation Article 6	Ongoing	–

3.6. Joint Network Secretariat and Quick Response Procedure

What is the problem to be solved?

Currently, dialogue with our stakeholders is too often inadequate and fragmented (there is an absence of high level discussion with all stakeholders represented). It is often very difficult to get good quality feedback on how the framework is working. Stakeholder engagement is heavily weighted towards reactive discussions, rather than proactive engagement. Member State practical solutions and implementation are often not harmonised, particularly in response to accidents and incidents, sometimes creating a clear barrier to an open European railway market. Plenary meetings are expensive but not optimised.

What does the Agency do?

The Agency has developed a mechanism so that all the main railway actors can work together to identify issues and propose ways to resolve them. A separate and distinct procedure has been developed to respond to accidents and incidents, which will be overseen by the Joint Network Secretariat. The Agency acts as the secretary for the Joint Network Secretariat. The terms of reference, adopted on 24 September 2012, reflect our stakeholders' agreement to a 2-year pilot phase, to test the structure, followed by a review and decision on whether to continue the project. These terms of reference have been adapted in 2013 to incorporate the procedure developed for responding to accidents and incidents. The pilot will end in September 2014, when the Agency will prepare a review in order to enable our stakeholders to take a decision on its future.

What is the expected overall impact?

A harmonised implementation of the regulatory framework and problem solving, as well as improved and more mature dialogue within and between the plenary groups. Better, more dynamic response to accidents and incidents, reducing the risk of non-harmonised measures creating unnecessary barriers to the open market.

	Outputs 2014	Legal basis	Timing	KPI
1.	Support and organisation of Joint Network Secretariat meetings, resolution of notified issues and quick response task forces to accidents and incidents	Agency regulation Article 6	Ongoing	–
2.	Implementation of revised terms of reference including a review of membership, in order to incorporate the agreed procedures for responding to accidents and incidents	Agency regulation Article 6	June 2014	12
3.	Review the 2-year pilot and decide on the future of the work	Agency regulation Article 6	November 2014	–

3.7. The freight focus group

What is the problem to be solved?

There is insufficient coordination of the activities of the safety unit impacting railway freight transport. This coordination is assured in ERA but always seems to remain difficult for stakeholders and NSAs. The management system approach and the risk-based approach are still not adopted by the majority of stakeholders and NSAs. In addition, requests of Member States to regulate more the railway freight transport are continuously issued and have to be managed by the Agency.

What does the Agency do?

Coordination organised by ERA and involving representative bodies (RBs) and NSAs on activities of the safety unit related to ECM certification and harmonisation of maintenance that should be risk-based. Gradually the freight focus group will be extended to other aspects of the railway freight transport regarding interoperability and railway operations. This will be performed in collaboration with the networks and the Joint Network Secretariat.

What is the expected overall impact?

Accelerating the implementation of management system approach and risk-based approach; if not, there is a risk of inconsistencies at the level of authorities to impose new prescriptive rules tending to make ECM certification useless and, consequently, the risk of increases in the costs of railway freight transport. The coordination proposed by the Freight Focus Group facilitates a better understanding of the benefits of the ECM certification and the risk-based approach to developing maintenance rules. In the longer term, it contributes to a better understanding of the whole railway system. The extension to interoperability and railway operations will avoid that authorities impose new prescriptive rules tending to make safety certification useless and, consequently, risk increases in the costs of railway freight transport.

	Outputs 2014	Legal basis	Timing	KPI
1.	Organisation of meetings with NSAs and RBs to address needs related specifically to rail freight transport	Agency regulation Article 6, Directive 2004/49/EC Article 17	Ongoing	–
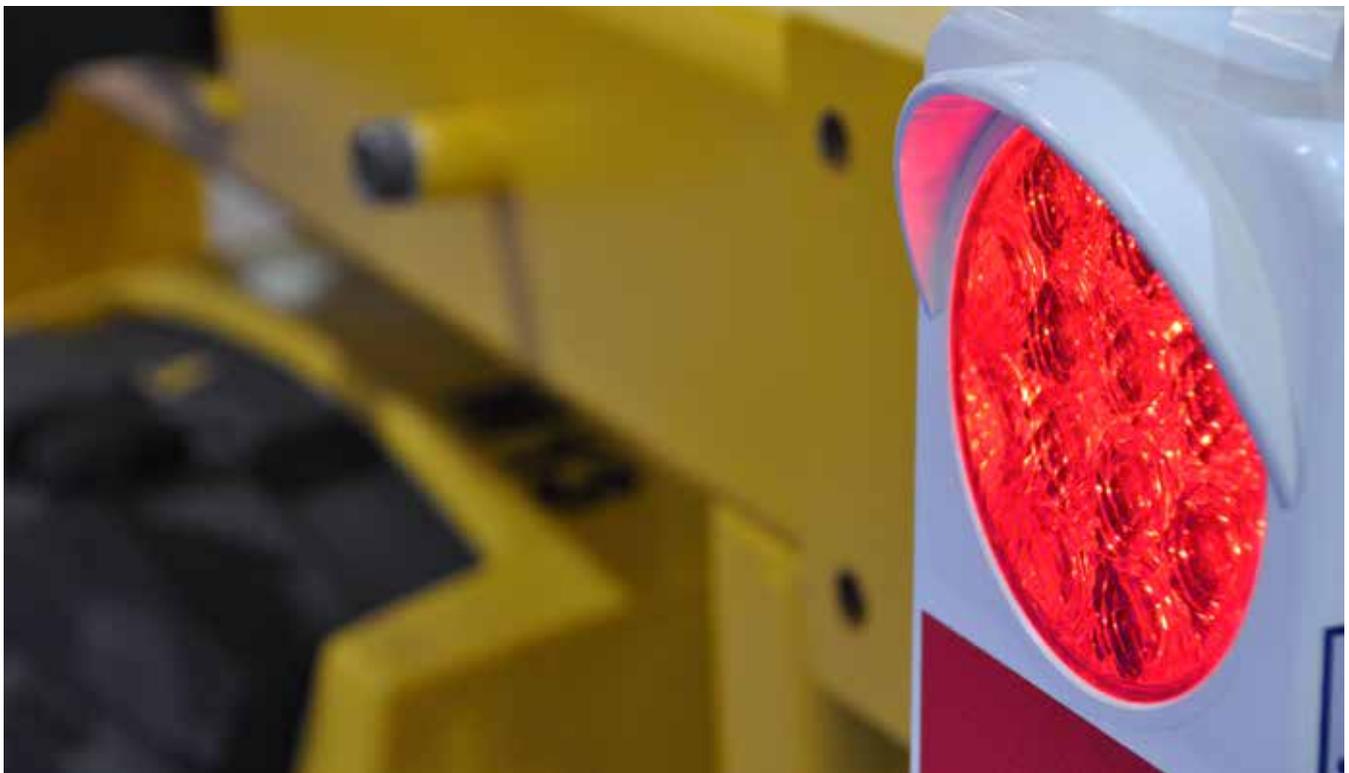
3.8. International relations management for dangerous goods

What is the problem to be solved?

The development of regulations on the transport of dangerous goods is particularly complex because the overall safety level is based on the combination of sets of rules pursuing two different objectives: (i) rules related to 'substance safety' are defined to ensure that no immediate hazard(s) from the substance(s) can harm the workers and the public, before, during or after normal transport operations; (ii) rules related to 'transport safety' are defined to ensure that residual risks during transport operations are kept as low as possible and allow for efficient and competitive transport operations. Three EU directives and one international agreement (RID) contribute to the achievement of these objectives in a consistent and competitive way for the sector. Today, an EU integrated approach for achieving coherent development in 'substance safety' and 'transport safety' is missing on technical, societal and political aspects.

What does the Agency do?

In addition to the monitoring of the development of rules at UNECE (United Nations Economic Commission for Europe) and OTIF (Organisation intergouvernementale pour les transports internationaux ferroviaires) levels mainly concerning the requirements on 'substance safety', the Agency is promoting the development of an integrated approach for key technical, societal and political aspects in collaboration with the European Commission. Common understanding will be developed through the organisation of thematic workshops. These workshops will bring together experts on 'substance safety' and 'transport safety' in order to establish common views which can be used as a technical background for the development of consistent sets of rules at EU and international levels.

What is the expected overall impact?

The expected impacts are: an improvement in safety by promoting better understanding of existing requirements to stakeholders; simplification of the different sets of rules and avoiding potential inconsistencies; a reduction in the overall risks related to the transport of dangerous goods for society by promoting the use of railways; reduction in costs for the sector through the development of a common approach to the reduction of risks.

	Outputs 2014	Legal basis	Timing	KPI
1.	Organisation of two workshops in the context of international relations management for dangerous goods	Agency regulation Article 21b	1st and 2nd semester 2014	–
2.	Conduct a Working Party and develop common positions; continued reporting to the European Commission; supporting the European Commission positions in OTIF	Agency regulation Article 21b	Ongoing	–

3.9. Development and operation of Eradis (ERA Database of Interoperability and Safety)

What is the problem to be solved?

Various documents issued by various bodies (e.g. EC declarations, authorisations for placing in service, safety certificates, accident investigation reports, notified national rules) are not always easily available to interested entities, primarily RUs, IMs, manufacturers and others. This situation creates real barriers to the opening of the market for railway transport, as well as railway products and services.

What does the Agency do?

The Agency maintains the computerised system through which all important information is made available for any interested party, either through direct access to the data stored at ERA, or via a common interface to the local (national) databases. The system also includes EU templates aiming to harmonise the format of some documents.

What is the expected overall impact?

All data necessary for railway transport actors are easily available. This contributes to the opening of the railway transport and railway-related products and services, increasing the competitiveness of the railway transport compared to other modes of transport.

	Outputs 2014	Legal basis	Timing	KPI
1.	New Eradis modules implemented	Agency regulation Article 19, Commission Regulation (EU) 445/2011 Article 10	Ongoing	13
2.	Eradis maintained	Agency regulation Article 19, Commission Regulation (EU) 445/2011 Article 10	Ongoing	–
3.	ECM certificates, licences, safety certificates and information on ECM certification bodies registered	Agency regulation Article 19, Commission Regulation (EU) 445/2011 Article 10	Ongoing	14

3.10. Development and operation of registers for SAF performance and accident data (ERAIL)

What is the problem to be solved?

The national investigating bodies submit notifications and final reports of investigations opened according to Article 24 of the RSD (see also Article 19 of the Agency regulation on the accessibility of documents and registers). The NSAs collect and aggregate accident statistics and common safety indicator (CSI) data from the infrastructure managers and railway undertakings and submit national data to the Agency in accordance with Articles 5 and 18 of the RSD. In 2014 we expect an extended use of the ERAIL tool for Agency applications. Therefore we will have to support the development and implementation of new functionalities.

What does the Agency do?

The information on investigations submitted by national investigating bodies is processed and validated by the Agency and made publicly available through Eradis and the ERAIL database. This validation process includes the verification of accuracy and correctness of information, administration of the translation of reports and communication with the investigation bodies. The work is continuous. The data on CSIs is submitted annually by NSAs and the Agency performs checks on data quality and validates the submitted information before the data is made publicly available through Eradis and the ERAIL database.

What is the expected overall impact?

Transparency and equal access for all interested parties and the public to the safety performance-related data: investigation reports and CSIs; analysis of safety performance in the EU countries.

	Outputs 2014	Legal basis	Timing	KPI
1.	Accident investigation and CSI data registered	Directive 2004/49/EC Article 24, Agency regulation Articles 9 and 19	Ongoing	15
2.	ERAIL maintained	Directive 2004/49/EC Article 24, Agency regulation Articles 9 and 19	Ongoing	–
3.	Next ERAIL modules (e.g. reporting tools) implemented	Directive 2004/49/EC Article 24, Agency regulation Articles 9 and 19	Ongoing	–

3.11. Notif-IT for NSR

What is the problem to be solved?

National safety rules are requested to be notified by Member States and to be publically available. For this purpose, the Commission has put in place databases accessible with the Notif IT tool.

What does the Agency do?

The European Commission's own resources to implement and to manage these databases are limited and the Agency assists the Commission in the setting up, operation, administration and management of the databases, in the maintenance and improvement of the Notif IT tool, and provides assistance to users.

What is the expected overall impact?

The databases and Notif IT are tools which enable concerned stakeholders to make the system of national rules transparent, and are a prerequisite to the reduction in the number of national rules as well as to the cross-acceptance of rules between Member States. Databases and Notif IT are essential prerequisites for project 3.5.

	Outputs 2014	Legal basis	Timing	KPI
1.	Assistance to the European Commission for maintaining and improving Notif-IT for national safety rules. Support to the development of the workflow on notification of draft rules.	Agency regulation Article 19	Ongoing	–
2.	Preparation of the transfer of NOTIF-IT from EC to ERA	Agency regulation Article 19	Ongoing	–

3.12. Opinions and advice

What is the problem to be solved?

There are occasions where the transposition of an EU requirement or its implementation is brought into question. The Commission may wish to seek the help of the Agency in establishing the facts and providing an opinion or advice. This might cover a wide range of safety issues from the Safety Regulatory Framework in a Member State to a specific national safety rule.

What does the Agency do?

At the request of the European Commission, the Agency provides opinions and advice to the European Commission in accordance with the processes and timescales set out in EU law.

**What is the expected overall impact?**

The European Commission has an objective expert opinion on issues on which they have to express an opinion or on which they need to take decisions.

	Outputs 2014	Legal basis	Timing	KPI
1.	Opinions and advice provided in the context of the Safety Regulatory Framework	Agency regulation Articles 9a, 10, 21b	On EC request	–

Activity 4. Developing a harmonised framework of technical specifications and their application for vehicle authorisation

Vehicle authorisation has been cited as a major barrier to the competitive position of the railways and the opening of the markets for equipment supply and railway operation. Significant savings are achievable through the simplification possible by replacing the national 'homologation' procedures with the common European authorisation process envisaged in the IOD. The use of national technical rules (NTRs) will be strictly limited to those necessary for addressing open points in the TSIs, specific cases and legacy systems. The following figure indicates the potential annual savings for locomotive authorisation costs that may be achieved by 2020: with the simplification in locomotive authorisation, the sector will benefit by EUR 225 million per year by 2020. Similar savings of at least the same scale can be expected for other vehicle categories. The potential total savings may reach at least EUR 500 million per year, compared with Agency costs of less than EUR 2 million per year. Whilst the savings are dependent on the actions of other actors, for example Member States implementing Directive 2008/57/EC and adopting Commission Recommendation 2011/217/EC (DV29), the Agency's work is a necessary precondition for the realisation of these savings.

Potential savings for locomotive authorisation €M

- Status quo including TSIs limited to TEN-T
- Directive effectively transposed and applied, scope of TSIs extended to the entire network and cross acceptance
- Network migrated to conformity with the TSIs
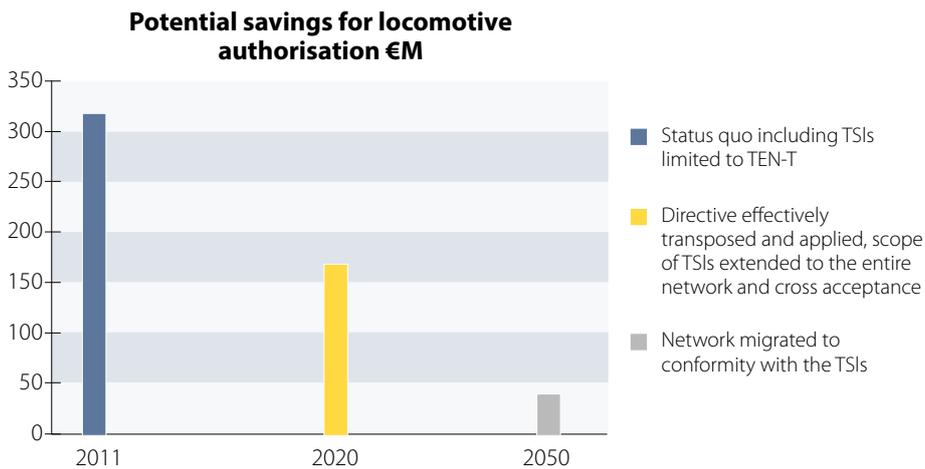
4.1. Authorisation processes

What is the problem to be solved?

Vehicle authorisation processes were in the past different in each Member State. Member States need to converge to a common approach to implementation of the directive using common documentation where appropriate.

What does the Agency do?

Following the Agency documentation of the authorisation processes in 2012/2013 of all the national legal frameworks of the Member States, the Agency will update and maintain the relevant information in, and functionality of, the Agency database. Taking account of the different approaches the Agency will produce further clarification on the authorisation process in order to converge to a common approach.

What is the expected overall impact?

Simplification and harmonisation of locomotive authorisation processes is estimated to save approximately EUR 225 million per year by 2020. For all vehicles the outcome can be expected to be at least EUR 500 million per year before market opening effects are taken into account.

	Outputs 2014	Legal basis	Timing	KPI
1.	Development of up to five additional templates in 2014 for information to be exchanged with authorities or documents to be issued by authorities	Vehicle Authorisation Task Force recommendation	Ongoing	–
2.	Amended template flowchart to take account of DV29bis	Agency regulation Article 30, Directive 2008/57/EC Article 30	September 2014	16
3.	Further clarification of authorisation process (DV-29bis)	Agency regulation Article 30, Directive 2008/57/EC Article 30	February 2014	17
4.	Full set of national legal frameworks in RDD	Agency regulation Article 30, Directive 2008/57/EC Article 30	December 2014	–
5	Facilitate the evolution of MS national legal frameworks to 100 % conformity with the EU framework/40 % reduction in number of process deviations from the EU framework	Commission Decision 2011/155/EU Article 1	Ongoing/ Dec 2014	–

4.2. Harmonised EU rules for vehicles

What is the problem to be solved?

The diversity of technical solutions across Europe, inherited from networks developed on a national basis, the lack of compatibility of national rail systems resulted in closed markets for railway products and services. This entails high costs for rail transport services compared to other modes of transport. In conformity with the Mandate 2010, the TSIs have been revised in view of their extension to the entire EU network. The revised TSIs will constitute the basis for a harmonised regulation. However, a number of open points still remain, for which national rules apply, creating an uneven playing field of requirements to be applied.

What does the Agency do?

Closing open points in the TSIs remains an essential task of the Agency. For this, a number of dedicated studies will be carried out and the result of research programmes will be taken into account. Determining a common approach to which change of parameters triggers a new APS for vehicles upgraded or renewed is a key contributor to the harmonisation of rules across Europe. The Agency will work on this subject in 2014 and beyond.

What is the expected overall impact?

This will result in a comprehensive set of rules, harmonised throughout EU, which will further reduce the room for application of national rules by MSs. The result will be a more readable legislation, which will reduce the cost of the APS and a broader opening of the market.

	Outputs 2014	Legal basis	Timing	KPI
1.	TSI Loc and Pas — Interface with INF and CCS; report of studies on particular issues (e.g. flange lubrication, sanding, etc.); progress in the closure of open points. Recommendation of a solution to facilitate the exchange of passenger coaches. Recommendation for parameters which trigger the necessity of a new APS for rolling stock.	Agency regulation Article 12, Directive 2008/57/EC Article 6	4Q2014	–
2.	TSI WAG — Revision process opened — aligned texts in OTIF and OSJD; progress in the closure of open points. Recommendation for parameters which trigger the necessity of a new APS for rolling	Agency regulation Article 12, Directive 2008/57/EC Article 6	Ongoing	–
3.	TSI NOI — Report of studies on particular issues (noise reduction, local measures). Recommendation for parameters which trigger the necessity of a new APS for rolling	Agency regulation Article 12, Directive 2008/57/EC Article 6	4Q2014	–
4.	TSI CCS — Closure of the open points: quality of sand, safety requirements for the ETCS DMI.	Agency regulation Article 12, Directive 2008/57/EC Article 6	4Q2014	–

4.3. Harmonised EU rules for network

What is the problem to be solved?

The diversity of technical solutions across Europe, inherited from networks developed on a national basis, the lack of harmonisation of national fixed installations resulted in closed markets for railway products and services. This entails high costs for investments and as a consequence for rail transport services compared to other modes of transport. In conformity with the Mandate 2010, the TSIs have been revised in view of extending their scope to the entire EU network. The revised TSIs will constitute the basis for a harmonised regulation. However, a number of open points still remain, hindering the creation of a common market for products and services.

What does the Agency do?

The Agency endeavours to close these remaining points. For this, a number of dedicated studies will be carried out and the result of research programmes will be taken into account.

What is the expected overall impact?

This will result in a comprehensive set of regulations, harmonised throughout the EU, which will reduce the number of national rules to be applied locally for the APS of fixed installations. The result will be a more readable legislation and a broader opening of the market. Eventually, this will result in a reduction of the cost of components. The clarification of conditions to trigger a new APS for upgraded and renewed fixed installations will further contribute to creating a level playing field throughout the EU.

	Outputs 2014	Legal basis	Timing	KPI
1.	TSI ENE — Progress in the closure of open points — Report studies of particular issues (Europanto) — Recommendation for parameters which trigger the necessity of a new APS (for renewed or upgraded subsystems)	Agency regulation Article 12, Directive 2008/57/EC Article 6	4Q2014	–
2.	TSI INF — Progress in the closure of open points — study reports. Recommendation for parameters which trigger the necessity of a new APS (for renewed or upgraded subsystems)	Agency regulation Article 12, Directive 2008/57/EC Article 6	4Q2014	–
3.	TSI CCS — Closure of the open points: quality of sand, follow up of the recommendation 2013 at RISC and if necessary with Member States.	Agency regulation Article 12, Directive 2008/57/EC Article 6	4Q2014	–
4.	TSI SRT — Progress in the closure of the open points; study report. Recommendation for parameters which trigger the necessity of a new APS (for renewed or upgraded tunnels)	Agency regulation Article 12, Directive 2008/57/EC Article 6	4Q2014	–

4.4. Harmonised EU rules for railway operation

What is the problem to be solved?

The diversity of operational rules across Europe results in interruptions in rail traffic. In order to address these interruptions the Agency performs following actions in the framework of the TSI on Operation and Traffic Management (OPE TSI).

What does the Agency do?

The first steps in harmonising railway operational rules have been completed by the revision of the OPE TSI which is planned to be submitted to RISC in June 2014. In the second half of 2014, work will begin on complementing the TSI OPE (e.g. Appendix B on communications, etc.).

What is the expected overall impact?

Clarifying and complementing the OPE TSI will limit the application of national rules for operation. Better information for stakeholders about their responsibilities in various operational aspects will lead to significant economies of scale for the rail stakeholders.

	Outputs 2014	Legal basis	Timing	KPI
1.	TSI OPE — Final draft submitted and updated until voted by RISC	Agency regulation Article 12, Directive 2008/57/EC Article 6	July 2014	18

4.5. Application of EU rules

What is the problem to be solved?

The assessment of the requirements contained in the TSIs is made by the notified bodies, which are notified by MSs. The applicant may choose different modules according to criteria contained in the TSI. These modules do not cover the verification of non-TSI compliant vehicles.

What does the Agency do?

The Agency will revise the Commission Decision 2010/713/EU on Modules in conformity with the interoperability directive Article 26 and support the European Commission in activities related to accreditation and recognition of notified bodies.

What is the expected overall impact?

The verification of non-TSI compliant vehicles will be done on the same basis as the verification of TSI- compliant vehicles, thus improving transparency and simplifying the process.

	Outputs 2014	Legal basis	Timing	KPI
1.	Recommendation of revised modules for including non-TSI conform vehicles (Directive 2008/57/EC Article 26)	Agency regulation Article 12, Directive 2008/57/EC Article 26	Ongoing	–
2.	Support to the European Commission at the meetings of the Steering Group on Accreditation. Support to the European Commission at the meetings with EA. Advice in drafting of an EA policy for the accreditation.	Agency regulation Articles 13 and 21b	Ongoing	–

4.6. Development of national rules and databases of national rules

What is the problem to be solved?

National technical rules and their verification procedures need to be made transparent and easily accessible and to be in line with EU regulation.

What does the Agency do?

The Agency has set up and manages the Reference Document Database which contains the national rules for authorisation and assists the Commission with managing and administrating the NOIF-IT database of notified national rules and evaluating national technical rules.

What is the expected overall impact?

Without a database the savings from 4.1 and 4.2 (estimated EUR 250 million) per year will not be realised. A central database is an essential prerequisite that enables the Member States to 'clean up' their rules, accept other Member States rules as equivalent and to enable them to accept TSI conform vehicles on non-TSI-conform parts of the network with the minimum of extra requirements.

	Outputs 2014	Legal basis	Timing	KPI
1.	Pre-evaluation of national technical rules: Meetings with the European Commission every 2–3 months. Pre-evaluation of up to 350 NTRs pa (4h per rule).	Directive 2008/57/EC Article 27, Decision 2011/155/EU Article 1	Ongoing	–
2.	Management of technical rules databases (Notif-IT and RDD)	Directive 2008/57/EC Article 27, Decision 2011/155/EU Article 1	Ongoing	–
3.	IT project management and data consistency: Improved RDD functionality, extension of RDD functionality to support one-stop-shop	Directive 2008/57/EC Article 27, Decision 2011/155/EU Article 1	2 RDD releases in 2014 OSS functionality end 2014	–
4.	TSI conformity accepted in lieu of 75 % of non-legacy rules	Directive 2008/57/EC Article 27, Decision 2011/155/EU Article 1	End 2014	19
5.	Meetings with the European Commission every 2–3 months on Notif-IT, organisation and chairing of RDD users group meetings 3–4 meetings p.a.	Directive 2008/57/EC Article 27, Decision 2011/155/EU Article1	Ongoing	–

4.7. Development of registers used for authorisation

What is the problem to be solved?

There is a need for traceability of vehicles that operate on the EU railway network, including their technical characteristics and details of the authorisation for placing in service. This would allow a simplification of the APIS and the cross-acceptance process. It would also make transparent which vehicle is potentially operable on which network.

What does the Agency do?

The Agency has to develop and maintain the ERATV (European Register of Authorised Type of Vehicles) and ECVVR (European Central Virtual Vehicle Register) — in collaboration with the NSAs (who have to maintain their NVR (National Vehicle Register) — in order to solve the described issue, as well as the VKM (Vehicle Keeper Marking) Register in collaboration with OTIF. The possibility of interfacing the various registers to each other will also be analysed.

	Outputs 2014	Legal basis	Timing	KPI
1.	ERATV Register being functional and accessible with updated information	Directive 2008/57/EC Article 34, Agency regulation Articles 18, 19	Ongoing	–
2.	NVR and ECVVR registers being functional and accessible with updated information. Change control management set-up.	Directive 2008/57/EC Article 33, Agency regulation Articles 18, 19	Ongoing/ September 2014	20
3.	VKM register being functional and accessible with updated information. Change control management set-up	Agency regulation Article 19,Dec 2007/756/EC Annex Sec. 2.1 (as last amended by 2012/757/EU)	Ongoing/ September 2014	–
4.	Eradis — SQR (service quality report) issued	PRR Art.28	End 2014	–

4.8. Collaboration and coordination related to authorisation

What is the problem to be solved?

Notified bodies are the organisations which check the conformity of interoperability constituents and subsystems with the TSIs. It is important for them to have a clear and common understanding of the specifications. In this respect, feedback from the notified bodies has to be taken into account in the development of TSIs. Article 28(5) of the interoperability directive requires the Commission to ensure appropriate coordination and cooperation between notified bodies. The lack of coordination of the TSI-related activity of the Agency with the notified bodies' activities entails a risk of inefficient implementation of the TSIs, resulting in extended time and costs of authorisation of the new subsystems, thus increasing the cost of the railway transport services. TSIs often make references to the European standards (ENs), directly or through the guide for their application. Harmonised standards are deemed to give a presumption of conformity to the TSI requirements that they address. In some cases, there are no ENs relating to the technical issues covered by TSIs, or the EN provisions are not fully consistent with the TSIs. Train traffic doesn't stop at the border of the EU. However, the neighbouring countries apply rules which are different from the TSIs. It is therefore important to ensure that these rules are compatible with the EU rules. By ensuring this compatibility, trains originating from the EU will be accepted in third countries, and trains from third countries accepted in the EU.

What does the Agency do?

The Agency coordinates its TSI-related activities with the notified bodies. In particular, the Agency assists the Commission by acting as technical secretariat of NB-Rail (Network of Notified Bodies). The Agency is also represented in the various subgroups of NB-Rail. In order to support the development of TSIs and ensure their efficient implementation, the Agency coordinates its TSI-related activities with the ESOs. The Agency, taking into account the opinion of the relevant working parties, issues requests for European standards when needed for TSIs. The Agency is represented on the two technical committees for rail (TC256 and TC9X) which coordinate the development of ENs related to railways. On another hand, the Agency works with the international organisations setting rules for third countries (CIT, OSJD, OTIF) on a regular basis, in order to achieve consistency of requirements. A particular administrative arrangement allows OTIF representative to attend ERA WP meetings on issues of common interest.

What is the expected overall impact?

The Agency ensures proper coordination of the notified bodies and has continuous feedback on the implementation

of the TSIs in the field. EN standards are kept consistent with TSI requirements and the list of ENs referenced in the TSIs is kept up to date. Relevant requests for standards are issued by the Agency (e.g. to close open points); the ESOs issue the standards that are necessary for the efficient implementation of the TSIs. Rules governing the authorisation and operation of trains in neighbouring countries are consistent with TSIs, thus preventing the need for additional authorisation for cross-border traffic.

	Outputs 2014	Legal basis	Timing	KPI
1.	NB Rail three plenary and three strategy meetings properly called, prepared and conveyed, minutes of the meetings taken. Support to NB Rail chair in engaging all the notified bodies in NB Rail. NR Rail CIRCABC maintained up to date.	Agency regulation Article 12	Ongoing	–
2.	Questions of NB Rail on interpretation of TSIs answered. Feedback from NB Rail for TSI drafting collected.	Agency regulation Article 12	Ongoing	–
3.	Consistency of OTIF regulations, in particular UTP with the EU regulations ensured (UTP LOC and PAS, UTP Noise, amendments of the general UTPs, application guides, safety provisions intended to be included in ATMF revision, registers)	Agency regulation Article 30	Ongoing	–
4.	Report of the study on technical aspects related to passenger coaches for their operation in a common fleet shared by several railway undertakings, in cooperation with OTIF	Agency regulation Article 30 — PRR	December 2014	–
5.	Three meetings with CIT on issues common with TAP	Regulation (EU) 454/2011 Article 3	Ongoing	–
6.	Consistency of the TSIs and other regulations with standards, issuing requests for standards	Agency regulation Article 12	Ongoing	–
7.	Reporting on developments at OSJD	Agency regulation Article 21 b	Ongoing	–

Activity 5. Monitoring the framework implementation and performance for vehicle authorisation

The Agency is tasked with the duty to monitor the implementation of the regulatory framework in the different Member States. This includes the monitoring of the transposition of the interoperability directive in the different Member States, of the work of the national safety authorities (NSAs). Without prejudice to the responsibility of Member States, the Agency may also, at the request of the Commission, monitor the quality of the work of notified bodies. Every 2 years, the Agency produces a report on progress with interoperability which provides the basis for analysing the trends of implementation of interoperability across the European Union. For the time being, the availability of interoperability-related data in the Agency is rather limited because databases and registers still need to be 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 hard to evaluate as the Agency is not aware of the number of requests that may come from the Commission.

5.1. Evaluation of interoperability directive transposition

What is the problem to be solved?

The incorrect, incomplete and inconsistent transposition of EU legislation into national law is seen as hindering the improvement in 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.

What does the Agency do?

In 2013 the Agency has completed the initial evaluation of

the transposition of the interoperability directive for the European Commission. Work on 2014 will primarily be involved in, on request of the Commission, follow up to the original evaluation.

The improvement in the way in which directives are transposed and their practical implementation aims at improving the competitive position of the railway sector by enhancing the level of interoperability of the railway system and developing a common approach to safety.

What is the expected overall impact?

	Outputs 2014	Legal basis	Timing	KPI
1.	Interoperability directive: follow-up of works, revision of evaluations, support the European Commission in taking out EU-Pilot, drafting letters for the European Commission, report on the implementation in Member States	Agency regulation Article 21 b	On request	–

5.2. NSA cross audit (ID implementation part)

What is the problem to be solved?

NSAs in the different Member States have different and sometimes diverging approaches to granting (or refusing) authorisations to place into service (APS). This may result in unequal treatment of requests depending in which Member State they are placed. This might entail discrimination against applicants in particular for a second authorisation of vehicles. In order to develop a complete and consistent approach, the monitoring of the work of the different NSAs is necessary.

What does the Agency do?

In cooperation with the NSA network, an NSA cross-audit programme is run. The Agency is developing and maintaining the approach for this programme, supporting the cross-audit committee, providing ongoing training for the pool of auditors and participating in the mixed teams that are performing the audits. From 2013, the programme foresees a 5-year audit cycle to assess the performance of all NSAs. In addition, an annual report on the implementation of this project will be presented to RISC.

What is the expected overall impact?

Assessing the activities of NSAs in all Member States, in a structured and transparent way, will provide all stakeholders with the necessary overview of the effectiveness of the interoperability regulatory framework at a European level and the necessary information to harmonise and optimise it. In addition, this project will accelerate the harmonisation of NSA processes as foreseen by RSD Article 17(4) and, therefore, also contribute to the Agency's activity in developing and promoting harmonised processes for authorisation for placing into service of vehicles.

	Outputs 2014	Legal basis	Timing	KPI
1.	Conduct and report to RISC on NSA cross-audits (three ongoing from 2013, five to start in 2014 — number of reporting will depend on RISC)	Agency regulation Article 6, Directive 2004/49/EC Article 17	According to audit programme	–

5.3. Monitoring of Member States authorities granting vehicle authorisations (case studies)

What is the problem to be solved?

At the moment, there are different perceptions of progress on vehicle authorisation and cross-acceptance by NSAs and applicants. A consensus is now achieved in the Vehicle Authorisation Task Force's action plan and the increasing amount of common understanding guidance and application guides. A review of progress with its implementation in the 'real world' and the return on experience is necessary with specific focus on the resolution of issues causing the most problems, 'blocking points'.

What does the Agency do?

The Agency will participate in case studies on vehicle and subsystem authorisation, collecting and analysing progress and problems, making comparisons with the defined (master) process and the rules published for the authorisation of vehicles, document sources of problems and look for solutions, especially those which require a European answer. It will learn about 'authorisation' in practice in the 'real world' which will provide feedback on application of the authorisation process and the applicable rules. It will also review progress of actions from the Vehicle Authorisation Task Force.

What is the expected overall impact?

With the first initiatives (publication and classification of rules, harmonisation and publication of processes) it can be estimated based upon the Agency's report on vehicle authorisation that 20 % of the potential savings remain to

be addressed by initiatives and actions where the solution or common understanding is not yet identified or implemented (open issues). This equates to approximately EUR 25 million for locomotives and, therefore, of the order of at least EUR 50 million for all vehicles.

	Outputs 2014	Legal basis	Timing	KPI
1.	Participation in case studies on vehicle and subsystem authorisation	Agency regulation Article 6, Directive 2004/49/EC Article 17	Ongoing	–
2.	Report on activity and indication of lessons learnt on granting vehicle authorisations	Agency regulation Article 6, Directive 2004/49/EC Article 17	December 2014	–

5.4. Biennial 'Railway report': interoperability part

What is the problem to be solved?

It is necessary to monitor the level of achievement of the objectives of the interoperability directive.

What does the Agency do?

Every 2 years, the Agency delivers a report on progress with railway interoperability in the European Union in order to provide an objective analysis of developments in this area. This will from this year be compounded into the overall biennial railway report, which will also cover safety aspects. The report will identify the problems with implementation of the railway legislation; summarise the legal and institutional framework established to enhance technical and operational compatibility between rail networks; provide indicators to evaluate progress in railway interoperability.

What is the expected overall impact?

The report is published on the Agency website and as printed document. The findings are made available to any interested person or entity, and contribute to a better understanding of the stakes related to the implementation of the interoperability principles and relevant legislation.

	Outputs 2014	Legal basis	Timing	KPI
1.	Limited update of 2013 report as contribution to the general ERA report delivered	Agency regulation Article 14	End 2014	–

5.5. Evaluation of railway projects and of requests for TSI derogations

What is the problem to be solved?

For various reasons (mostly economic), projects are sometimes executed not in full compliance with the applicable EU regulations. For TSIs, the European Commission may ask the Agency to evaluate projects in course of execution or requests for derogations issued by Member States.

What does the Agency do?

At the request of the Commission, the Agency analyses such projects (in general co-financed by the EU) and, in particular, checks if they are in line with the interoperability principles and the TSIs. At the request of the Commission, the Agency evaluates any requests for derogations from the provisions of the TSIs, submitted by the Member State and provides an opinion or an advice to the European Commission.

What is the expected overall impact?

An opinion is issued by the Agency if a project is confirmed to be in line with the interoperability principles and the TSIs. The applicant, therefore, may be entitled to financial support from EU funds. The European Commission has an expert opinion which puts it in a better position to accept or reject the requests for derogations from MSs.

	Outputs 2014	Legal basis	Timing	KPI
1.	Opinion sent to the Commission on the evaluation of railway projects and requests for TSI derogations	Agency regulation Article 15	On request	–

5.6. Notified bodies — Monitoring notifications and efficiency

What is the problem to be solved?

Notified bodies are notified by the different Member States under different criteria. They may perform their duties differently and may not fully meet the criteria referred to in Annex VIII of the interoperability directive. However, the certificates issued by notified bodies are valid across the EU. Therefore, a certain level of harmonisation shall be granted in order to provide confidence between the NSAs and the notified bodies of various origins.

What does the Agency do?

The Agency may, at the request of the European Commission, monitor the notification of the notified bodies, checking in particular if they meet the criteria referred to in Annex VIII of the IOD and the quality of their verifications. In case of new notifications of a notified body, the Agency may also be consulted by the European Commission before approval.

What is the expected overall impact?

An increased level of mutual trust will be achieved between NSAs and notified bodies, enabling the avoidance of reluctance to apply the EU regulation.

	Outputs 2014	Legal basis	Timing	KPI
1.	Monitoring quality of work of notified bodies, issuing the opinion to the Commission	Agency regulation Article 13	On request	–

Activity 6. Facilitating the improved performance of the framework for vehicle authorisation

To improve the performance framework it is necessary to ensure that all the actors are aware of and understand the framework (training and dissemination). A particular emphasis will be put on supporting stakeholders in the implementation of the common authorisation and certification processes, the TSIs and on the proper use of registers. Then as a next step a proposal for a one-stop-shop can be investigated and elaborated in preparation for the Fourth Railway Package. In parallel more work needs to be done to facilitate a common approach by the NSAs and Member States to the management and the progressive elimination of national technical rules that remain pending the closure of open points in TSIs and the removal of legacy systems. In this respect, the Agency may be asked by the European Commission to provide technical opinions and advice. Finally, any proposals for improvements to the framework need to be developed.

6.1. Assistance advice and problem solving on authorisation process including training and dissemination

What is the problem to be solved?

The authorisation process has been different in every Member State. Interpretations of the directives have been different between Member States training and dissemination of the common approach is necessary.

What does the Agency do?

The Agency will provide a structured programme of training and dissemination of the EU framework for authorisation.

What is the expected overall impact?

A consistent understanding and better application of the EU framework so that all parties understand what they have to do and mutually recognise what is done by others.

	Outputs 2014	Legal basis	Timing	KPI
1.	Structured programme of training and dissemination for key stakeholders in the framework for vehicle authorisation	Agency regulation Article 6, Directive 2004/49/EC Article 17	Ongoing	–

6.2. Facilitating simultaneous authorisations (one-stop-shop and preparation for 4th RP)

What is the problem to be solved?

Where it is intended that a vehicle is to be placed on the market in more than one Member States there are benefits to be obtained from a coordinated approach by the relevant NSAs and verification bodies. Such coordination allows work to be shared between the different NSAs and different verification bodies and the opportunities of mutual recognition to be maximised to avoid duplicative and repeat work. The result is a simplified authorisation process for more than one Member State at the same time, or in a planned, staged process with each authorising NSA making use of work carried out by others or as part of other's authorisations.

What does the Agency do?

As envisaged in the report of the Task Force on vehicle authorisation the Agency will take part in real authorisation cases, facilitating the mutual recognition between Member States and developing best practice recommendations, procedures and templates for authorisations. This initiative forms an essential preparatory step to enable the Agency to define and elaborate the processes, practices and procedures necessary for it to migrate to its envisaged future role as an authority granting single authorisations valid in several Member States.

What is the expected overall impact?

Initially a facilitation and simplification of authorisations of vehicles intended to be placed on the market for several Member States, followed by a more rapid and efficient migration to the single authorisation envisaged in the Fourth Railway Package.

	Outputs 2014	Legal basis	Timing	KPI
1.	Agency facilitation of simultaneous authorisations (one-stop-shop) set and running	Vehicle Authorisation Task Force recommendation	4Q2014	–

6.3. Development and evolution to a common approach to national technical rules

What is the problem to be solved?

Member States apply different national rules for similar subjects. Many of these rules may be considered equivalent. Vehicle authorisation rules (cases where national rules apply for vehicle authorisation) are not the same in different Member States; in many Member States they are different from European Commission specifications (e.g. TSIs), may be redundant (e.g. not necessary to comply with essential requirements) and/or are not fully transparent. Verification procedures and assessment requirements need to be made clear and published.

What does the Agency do?

The Agency will facilitate the updating and 'cleaning up' of national rules to reflect the EU framework and TSI scope extension. TSI scope extension in itself should remove the need for the majority of national rules for new vehicle authorisation. For new vehicles only rules covering TSI open points and legacy systems should remain. National variations on the Target System will be covered in the TSIs as specific cases. The Agency will also clarify which parameters are to be checked at additional authorisation (i.e. those relating to compatibility with the additional network. The Agency will also facilitate where possible the convergence to common rules for groups of Member States. It will also facilitate a common approach to national rules on difficult technical issues which will contribute to TSI reviews and amendments, in particular the closure of difficult open points. Finally the Agency will facilitate and disseminate a common approach to the management of national rules among the Member States.

What is the expected overall impact?

These efforts will reduce/eliminate an unnecessary administrative burden due to a lack of transparence and mutual recognition of national rules that had led to unnecessary requirements, double checks, uncertainty, delay, additional costs, etc. in the authorisation process.

	Outputs 2014	Legal basis	Timing	KPI
1	Participation in about eight geographic groups of NSAs, four to six meetings per group in 2014	Directive 2008/57/EC Article 27, Decision 2011/155/EU Article 1	Ongoing	–
2.	100 % of relevant national rules published	Directive 2008/57/EC Article 27, Decision 2011/155/EU Article 1	End 2014	21
3.	Update of published information of rules applied for the authorisation of railway vehicles. Update of classification of equivalence of rules applied by different NSAs	Directive 2008/57/EC Article 27, Decision 2011/155/EU Article 1	Ongoing	–

6.4. Proposals for improving the framework

What is the problem to be solved?

Following on from 4.1 and 6.1 it may be necessary not just to clarify and disseminate the common EU framework but there may also be opportunities identified to improve the framework.

What does the Agency do?

Taking account of experience from various sources (e.g. national legal frameworks for authorisation, case studies, Vehicle Authorisation Task Force, etc.) the Agency will make proposals for improvements.

What is the expected overall impact?

Simplified and more consistent authorisation

	Outputs 2014	Legal basis	Timing	KPI
1.	Progress report on the European Commission Vehicle Authorisation Task Force action. Suggestions for improvements to the framework.	Agency regulation Article 30, Directive 2008/57/EC Article 30	Ongoing	–

6.5. Technical opinions and advice

What is the problem to be solved?

There are occasions where the transposition of an EU requirement or its implementation is brought into question. The Commission may wish to seek the help of the Agency in establishing the facts and providing an opinion or advice. This might cover a wide range of issues from the framework for vehicle authorisation in a Member State to a specific national interoperability rule.

What does the Agency do?

At the request of the European Commission, the Agency provides technical opinions and advice to the European Commission in accordance with the processes and timescales set out in EU law.

What is the expected overall impact?

The European Commission has an objective expert opine on issues on which they have to express an opinion or on which they need to take decisions.

	Outputs 2014	Legal basis	Timing	KPI
1.	(Technical) Opinions and advice submitted in the context of the framework for vehicle authorisation	Agency regulation Articles 2, 10	On EC request	–

6.6. Support to the implementation of TSIs

What is the problem to be solved?

Stakeholders and authorities will need to replace their historical way of managing the railway system by applying the EU regulations. This will entail far-reaching behavioural and even cultural changes in each layer of these organisations. Failure to implement the EU regulations properly would result in an uneven application of EU and national rules, resulting in chaos for the stakeholders.

What does the Agency do?

Having established the harmonised regulatory basis with the revised TSIs, the Agency will put the emphasis on helping the sector in the implementation of these regulations. This will comprise dissemination seminars with the different actors, bilateral meetings, timely answer to queries, etc.

What is the expected overall impact?

This will result in an efficient implementation of the TSIs and speeding up the evolution towards a harmonised railway network.

	Outputs 2014	Legal basis	Timing	KPI
1.	Guide on establishing technical compatibility with a route	Agency regulation Article 12	4Q2014	–
2.	TSI Loc and Pas support to NSAs, notified bodies, representative bodies	Agency regulation Articles 6 and 12	On demand	–
3.	TSI WAG support to NSAs, notified bodies, representative bodies	Agency regulation Articles 6 and 12	On demand	–
4.	TSI NOI support to NSAs, notified bodies, representative bodies	Agency regulation Articles 6 and 12	On demand	–
5.	TSI ENE support to NSAs, notified bodies, representative bodies	Agency regulation Articles 6 and 12	On demand	–
6.	TSI INF support to NSAs, notified bodies, representative bodies	Agency regulation Articles 6 and 12	On demand	–
7.	TSI SRT support to NSAs, notified bodies, representative bodies	Agency regulation Articles 6 and 12	On demand	–
8.	TSI OPE support to NSAs, notified bodies, representative bodies	Agency regulation Articles 6 and 12	On demand	–
9.	Revised and updated application guide — including new TSIs	Agency regulation Article 12	End 2014	–

6.7. Architecture and use of registers

What is the problem to be solved?

Several registers are kept by the Agency and made available to the sector for various purposes. Improper use of these registers may result in poor implementation of the regulation and even in decreasing the safety level of railways. On another hand, the quality of registers relies on the quality and availability of the data which shall be provided by several actors (mainly authorities).

What does the Agency do?

The Agency clarifies the purpose of registers and the rules for data provision. Dissemination activities will be undertaken

(seminars, bilateral meetings, etc.) to ensure that all actors are fully aware of their scope and duties. The Working Party on rationalisation of vehicle-related registers launched in 2013 will continue its activity.

What is the expected overall impact?

Stakeholders will understand and make the intended use of registers, thus reducing costs and increasing the efficiency of transfer of information. The work on rationalisation of registers will allow a clear definition of the intended use of the register and minimise the burden on information providers.

	Outputs 2014	Legal basis	Timing	KPI
1.	Interim report on rationalisation of vehicle-related registers (NVR/ECVVR, ERATV, VKM, ECM), including CBA, allowing to decide the orientation for specifications amendments	Directive 2008/57/EC Articles 33, 34	October 2014	22
2.	Application guides for NVR/ECVVR, ERATV, VKM and ERADIS kept up to date (Task B1 of VA Task Force). When necessary, workshops with registration entities of the Member States (tentatively one workshop a year).	Directive 2008/57/EC Articles 33, 34	Ongoing	–

Activity 7. Developing ERTMS (as system authority)

The European Railway Traffic Management System (ERTMS) is an important industrial project for Europe and a major step for an interoperable railway system and the progressive establishment of an open market in the sector. The Agency fulfils the role of system authority for the ERTMS specifications. They are referenced in Annex A of the TSI on command control and signaling subsystems (CCS TSI). The operational rules specific for ETCS and GSM-R are defined in Annex A of the TSI on operation and traffic management (OPE TSI). When requested by the European Commission, the Agency will provide its technical advice and opinions in the field of ERTMS. The Agency provides technical support to the ERTMS Coordinator in its work and initiatives.

7.1. Change control management for ETCS and GSM-R

What is the problem to be solved?

Avoid the pitfall of divergent implementations of ERTMS and help in promoting the harmonised European system.

What does the Agency do?

The Agency acts as the system authority for ERTMS (ETCS and GSM-R). The change control management process is applied to ensure that feedback and requests from the sector are analysed with proper impact assessment for the maintenance of existing baselines and the development of future baselines in the fields of communication and train control. The work includes the issue of guidelines for implementing ERTMS; improved test specifications; definition of standard interfaces where appropriate; closing open points; simplification of the specifications and improvements to their format (e.g.

formal language). The Agency will integrate the result of work streams defined in the 2012 MoU, like the extensions on ATO (automatic train operation), KMS (key management system), and carrier independence. The Agency will issue new baselines when appropriate and will ensure their backward compatibility.

What is the expected overall impact?

Harmonised, interoperable specifications are 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 are recognised worldwide and help the competitiveness of EU railway manufacturing and service industry. The increased quality and performance will support the acceptance of ERTMS, making the railway system more competitive.

	Outputs 2014	Legal basis	Timing	KPI
1.	Periodic reports on the status of the Baseline 3 (ETCS) and baseline 0 (GSM-R) change control in the database	Agency regulation Article 21a	Monthly	–
2.	Guideline for GSM-R	Agency regulation Article 21a	July 2014	–

3.	Update/creation of documents for baseline 1 (GSM-R) for Annex A for 2015 Recommendation	Agency regulation Articles 12 and 21a	According to Working Group calendar	–
4.	Draft versions of documents for Annex A and intermediate results to prepare the 2015 Recommendations to the European Commission on modification of CCS TSI regarding ETCS update	Agency regulation Articles 12 and 21a	According to Working Group calendar	–
5.	Test specifications for ETCS Baseline 3	Agency regulation Article 21a	Ongoing, for second maintenance release	–
6.	Follow up and if possible evaluation report on ATO, satellite navigation activities funded by EU programmes. Coordination of the KMS specifications carried out by beneficiaries of TEN-T programme	Agency regulation Article 21a	According MoU planning	–
7.	Guidelines on interference management and co-existence GSM-R and public services	Agency regulation Article 21a	End 2014	–

7.2. Development of the requirement for the evolution of the railway communication system

What is the problem to be solved?

The success of GSM-R is based on the use of worldwide standards. On the other hand, those standards are evolving and the railway applications and requirements are not strongly considered. The GSM technology will be obsolete in a matter of years, and today GSM-R is already suffering from the interferences from more modern equipment and installations providing advanced services. The challenge is to enable a transition from GSM-R to the future communication system, defining the future system in such a way that it benefits from standard technologies but allows railway-specific functions to migrate seamlessly across successive generations of technology: a future-proof system.

What does the Agency do?

Take the lead on the many initiatives aimed at defining the future of GSM-R; organise the discussion on the time plan for the adoption of new technologies while preserving the functional interoperability requirements; generate a railway communication roadmap where the migration from GSM-R is correctly analysed, defining the basic model and guidelines of the future railway telecommunication system, and ensuring that railway-specific functions are correctly defined and realised at the application level. The Agency will take part and support the coordination board set up by DG Mobility and Transport and DG Communications Networks, Content and Technology on interferences, and will take this into account for the evolution of the railway communication system.

What is the expected overall impact?

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

	Outputs 2014	Legal basis	Timing	KPI
1.	Report from the study on the definition of the basic requirements for the new railway communication system — roadmap for the migration to the new railway communication system.	Agency regulation Article 21a	1Q2014	23
2.	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 Article 21a	Ongoing — activity continues in 2015 (enhanced operational requirement specification)	—

Activity 8. Monitoring and facilitating ERTMS implementation and performance

The harmonised specifications alone will not deliver the full set of benefits expected from ERTMS. It is necessary to ensure their coordinated applications and cost effective verification and authorisation. The Agency will, at the request of the European Commission, make appropriate proposals to foster interoperability of the corridors laid down in Decision 2009/561/EC and make any appropriate recommendations which may provide support to the TEN-T Executive Agency regarding projects for which an application for Community financial aid has been submitted. When requested by the European Commission, the Agency will provide its technical opinions on derogations. The Agency provides technical support to the ERTMS Coordinator in its work and initiatives.

8.1. Sharing best practices in implementation and promotion of engineering guidelines

What is the problem to be solved?

The Corridor MoU Steering Committee has identified the added value of proactively addressing the simplification and harmonisation of ERTMS implementations (making use of the flexible specifications in a more structured and coordinated manner). The projected obsolescence of GSM calls for a timely action to define the future communication system for the railways, separating the railway-specific functions at application level and leaving flexibility in the technological solution, and allowing ETCS data transmission to be bearer-independent.

What does the Agency do?

The Agency continues, where appropriate, to produce harmonised guidelines (with the support of the sector and the involvement of the ERTMS MoU Steering Committee). The Agency will play 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.

What is the expected overall impact?

Simplification of ERTMS will decrease the costs and help to make the system more acceptable, usable and operable. Harmonised guidelines when applied by the stakeholder involved will lead to common system and operational behavior; it will also support the European Commission strategy for the ERTMS corridors. To have the ERTMS transmission bearer-independent will make the system applicable everywhere without losing interoperability. It will increase the flexibility and make it future-proof.

	Outputs 2014	Legal basis	Timing	KPI
1.	Release of ERTMS engineering guidelines, as defined in the 2012 MoU clause 54, in order to reduce differences of scenarios at national level. This activity is strongly dependent on actual input from the sector and on their support to apply the guidelines.	Agency regulation Article 21a	3Q2014	24
2.	Develop the terms of reference for the follow-up work to make ETCS independent of the data carrier, based on the results of the WP 9 of the TEN 2011 MAP (ETCS over GPRS)	Agency regulation Article 21a	3Q2014	–

8.2. Support to the evaluation of ERTMS projects in cooperation with the Commission and TEN-T EA

What is the problem to be solved?

EU financial support for the ERTMS project should only be granted when compliance with the specifications and the legal framework is ensured: the checking of those conditions needs a significant effort and competent, independent expertise, helping the overall effort to deploy resources towards interoperable developments (Agency Regulation, Article 21(a)(3)).

What does the Agency do?

Support the European Commission in the follow up of the EU deployment plan for ERTMS and coordinating the installations along corridors; activities contributing to the Steering Committee and Corridor Group set up by the European coordinator for ERTMS. Support to other units in the field of ERTMS; disseminate of the principles of the harmonised approach to all parties involved in the ERTMS deployment, in particular to IM, RU, manufacturers and laboratories. Based on the availability of resources, the Agency will increase monitoring the deployment of ERTMS and verify compliance with CCS TSI in TEN-T and projects funded by EU programmes in collaboration, as appropriate, with the European Commission, TEN-T EA, and external technical experts; provide technical assistance, information, guidance and feedback to those actors to help ensure correct and full implementation of CCS TSI on such projects.

What is the expected overall impact?

Improved understanding of the harmonised system with all parties involved in the deployment of ERTMS; support the alignment of European funding and policies with the compliance with the European legal framework ending up in a more efficient use of scarce EU resources, with early detection of deviations; making sure harmonised requirements are applied transparently will increase trust, confidence, reliability, planning.

	Outputs 2014	Legal basis	Timing	KPI
1.	Provide technical support to the ERTMS coordinator	Agency regulation Article 21a	Ongoing	–
2.	Attend and support with expertise the ERTMS MoU Steering Committee meetings; ad hoc participation to selected meetings of the Management Committees of ERTMS Corridors.	Agency regulation Article 21a	According to SteCo calendar, and on demand	–
3.	Written feedback to TEN-T with regards to correct implementation of ERTMS. The actual number of projects will depend on the allocation of appropriate resources.	Agency regulation Article 21a	According to the detailed plan to be shared with TEN-T EA	25
4.	Report to Commission on compliance of ERTMS projects	Agency regulation Article 21a	Ongoing	–

8.3. Promotion and facilitation of testing and certification for ERTMS

What is the problem to be solved?

For the success of ERTMS, it is essential that products are placed on the market only if in conformity with the specifications, and authorisations are granted when the subsystems are compliant with the specifications. The details and the evidence of the verification and authorisation processes for ERTMS must guarantee the confidence in the interoperability of the system.

What does the Agency do?

The Agency regularly surveys 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 harmonised approaches. The Agency also addresses those issues with the NSAs in the ERTMS Focus Group, with the aim of identifying at an early stage possible difficulties and thus allowing open discussion and resolution among NSAs. The findings and results of the activities are reported in the documents concerned, guidelines/checklists will be elaborated where necessary.

What is the expected overall impact?

Promote the understanding that the CCS subsystems are like any other subsystem, and the principles of the directives for certification, verification and authorisations also apply. Help for notified bodies and NSAs to reach common understanding, facilitating their dialogue and providing technical and process expertise.

	Outputs 2014	Legal basis	Timing	KPI
1.	Update of report to the European Commission on ERTMS verification and authorisation processes, recommendations to European Commission if needed	Agency regulation Article 21a	End 2014	–
2.	Reports to the European Commission on network/vehicle incompatibility risk	Agency regulation Article 21a	Based availability of data by stakeholders	–
3.	Chair the NBRail ERTMS Ad Hoc Working Group	Agency regulation Article 21a	According to Working Group calendar	–
4.	Report and guidance for certification and placing into service of ERTMS equipment	Agency regulation Article 21a	End 2014 (based on availability of data)	–
5.	Support to DG Mobility and Transport, meetings with EA and national accreditation bodies; analysis and facilitation of the accreditation process of the ERTMS test labs.	Agency regulation Article 21a	On demand	–
6.	Provide training on ERTMS for authorities and railways	Agency regulation Article 21a	Two events per year; organisation of the ERTMS Conference in the second part of 2014	–

8.4. Facilitation of improved operations with ERTMS

What is the problem to be solved?

The benefits of the harmonised technical system cannot be exploited if differences in its operation continue.

What does the Agency do?

Harmonise the principles and rules for operation within the ETCS and GSM-R systems together with the engineering rules; definition of opportunities for cost-efficiency measures in the frame of standardised approaches to the training of the drivers for ERTMS; definition of common principles applicable to operational rules used in the calculation of safety-related parameters for ERTMS; adjustment of the system based on operational feedback.

What is the expected overall impact?

Harmonised operation, reduced costs whilst increasing safety.

	Outputs 2014	Legal basis	Timing	KPI
1.	Rules for calculating the ERTMS train data	Agency regulation Article 21a	Work in progress — dependent on support from sector	–
2.	Report on return of experience from railways operating ERTMS in commercial service	Agency regulation Article 21a	End 2014	–
3.	ERA database for operational feedback	Agency regulation Articles 12 and 21a	End 2014	26
4.	Harmonised operational rules for ERTMS	Agency regulation Articles 21a	On time for second maintenance release in 2015	–
5.	Maintained ETCS DMI specification	Agency regulation Articles 21a	On time for second maintenance release in 2015	–
6.	Support improved operation with ERTMS with the release and publication of guidelines	Agency regulation Articles 21a	Work in progress — dependent on support from sector	–

Activity 9. Developing, monitoring and facilitating improved system access

Accessibility by all stakeholders of the system itself and of information related to its operation is an area where significant progress is expected, which will result in enhanced efficiency and image of the railway system as a whole. The creation of a harmonised protocol for exchanging information between railway actors is a prerequisite to enable RUs to permanently locate freight trains and exchange documents related to the carried goods. It is also necessary to allow the issue by travel agents of seamless tickets covering several RUs in several countries. Furthermore, providing relevant information to RUs through the Register of Infrastructures (RINF) is an absolute necessity to enable them to fulfil their responsibilities in checking route compatibility. From another perspective, society is also strongly demanding an improved access to stations and trains for persons with reduced mobility (ranging from disabled or impaired people to prams and heavy luggage carriers). All improvements in this matter would benefit, not only PRMs, but also all passengers and even to the system itself by improving passenger flow and increase in global efficiency. This latter aspect is enhanced by the European act implementing the Convention on the Rights of Persons with Disabilities of the United Nations (UNCRPD), which quotes the TSI PRM as a tool for its implementation.

9.1. Passenger telematics applications system authority

What is the problem to be solved?

TSIs for telematics applications (both passenger and freight-related, respectively TAP and TAF TSIs) are already in force. These TSIs express functional requirements, leaving room for interpretation, and the deployment strategy is basically in the hands of the railway sector. Deployment of TAP and TAF TSIs, in particular, has so far been slow, although its benefits, in terms of competitiveness of rail freight transport, were deemed very high.

What does the Agency do?

The Agency helps the railway sector to finalise the specifications, with a multiple purpose: introduce change control management (similar to the successful system for ERTMS, using the same tools); ensure full compliance of technical developments with TSIs; prepare TSI updates whenever these prove to be absolutely necessary for a successful implementation. In addition, the Agency will monitor the actual deployment of the telematics TSIs and report on identified obstacles. The Agency will simultaneously start the first wave of facilitation actions aiming at informing the impacted rail stakeholders (e.g. by running dissemination seminars).

What is the expected overall impact?

The expected impact is in reaping the full benefits of those TSIs that have a direct effect on customers. Furthermore, the Agency is in the best position to ensure that small and medium-sized companies will equally be able to use harmonised telematics applications. The complex ERTMS specification has paved the way for TAP; the efficient management of specifications will reduce administrative burdens to a minimum. Moreover, the deployment of the system will be successfully monitored by the Agency as 'the system authority' and stakeholders will be better informed about their responsibilities in telematics.

	Outputs 2014	Legal basis	Timing	KPI
1.	Final technical specification incorporated in the TSI TAP	Agency regulation Article 12, Directive 2008/57/EC Article 6	End 2014	–
2.	Consistency between ERA TDs and UIC leaflets ensured according to the MoU signed in July 2013 between UIC and ERA	Agency regulation Article 12, Commission Regulation (EU) 454/2011 Article 3	Ongoing	–
3.	TAP CCM yearly baseline delivered to the European Commission	Agency regulation Article 12, Commission Regulation (EU) 454/2011 Article 3	December 2014	27
4.	Published reports on quality level of actors for TAP	Commission Regulation (EC) 1371/2007 Article 28	End 2014	–
5.	Assess conformity of IT solutions implemented by the European Railway Sector to Regulation 454/2011/EC	Agency regulation Article 12	On demand	–
6.	Report on implementation of TAP Phase 2; TAP Phase 3 — Master plan delivered; retail architecture implemented; RU/IM communication architecture implemented	Agency regulation Article 12, Commission Regulation (EU) 454/2011 Article 3	End 2014	–
7.	Report on the implementation of conditions of carriages (PRM; bikes; car; luggage) submitted	Agency regulation Article 12	End 2014	–
	Outputs 2014	**Legal basis**	**Timing**	**KPI**
8.	Support the European Commission in the TAP Steering Committee (Steco)	Agency regulation Article 12	Ongoing	–
9.	TAP implementation facilitated by geographical workshops	Agency regulation Article 12	Ongoing	–
10.	TAP location reference file updated and available on ERA website	Agency regulation Article 12, Commission Regulation (EU 454/2011 Article 3	Ongoing	–

| 11. | Support to small RUs and ticket vendors to fulfil their obligations from Regulation 454/2011/EC | Agency regulation Article 12 | On demand | – |
| 12. | Support provided to the European Commission on assessment of projects, tendering, etc. for TAP | Agency regulation Article 12 | On demand | – |

9.2. Freight telematics applications system authority

What is the problem to be solved?

TSIs for telematics applications (both passenger and freight-related, respctively TAP and TAF TSIs) are already in force. These TSIs express functional requirements, leaving room for interpretation, and the deployment strategy is basically in the hands of the railway sector. Deployment of TAP and TAF TSIs, in particular, has so far been slow, although its benefits, in terms of competitiveness of rail freight transport, were deemed very high.

What does the Agency do?

The Agency helps the railway sector to finalise the specifications, with a multiple purpose: introduce change control management (similar to the successful system for ERTMS, using the same tools); ensure full compliance of technical developments with TSIs; prepare TSI updates whenever these prove to be absolutely necessary for a successful implementation. In addition, the Agency will monitor the actual deployment of the telematics TSIs and

report on identified obstacles. The Agency will simultaneously start the first wave of facilitation actions aiming at informing the impacted rail stakeholders (e.g. by running dissemination seminars).

What is the expected overall impact?

The expected impact is in reaping the full benefits of those TSIs that have a direct effect on customers. Furthermore, the Agency is in the best position to ensure that small and medium-sized companies will equally be able to use harmonised telematics applications. The complex ERTMS specification has paved the way for TAP; the efficient management of specifications will reduce administrative burdens to a minimum. Moreover, the deployment of the system will be successfully monitored by the Agency as 'the system authority' and stakeholders will be better informed about their responsibilities in telematics.

	Outputs 2014	Legal basis	Timing	KPI
1.	TSI TAF — closure of Open-Points acc. Master-plan 2012	Agency regulation Article 12, Directive 2008/57/EC Article 6	4Q2014	28
2.	Changes to the TSI TAF managed through the CCM	Agency regulation Article 12, Regulation (EC) 62/2006 Article 4b	Ongoing	–
3.	Assess conformity of IT solutions implemented by the European Railway Sector with Regulation 62/2006/EC	Agency regulation Article 12	On demand	–
4.	TAF implementation monitored acc. Master plan 2012	Agency regulation Article 12, Regulation (EC) 62/2006 Article 4b	Ongoing	–
5.	Support the European Commission in the TAF Steering Committee (Steco)	Agency regulation Article 12	On demand	–
6.	TAF implementation facilitated by geographical workshops	Agency regulation Article 12, Regulation (EC) 62/2006 Article 4b	Ongoing	–
7.	Availability of TAF location reference file on the Agency's website	Agency regulation Article 12	Ongoing	–
8.	Support small RUs and customers to fulfil their obligations from Regulation 62/2006/EC	Agency regulation Article 12	On demand	–
9.	Support provided to the European Commission on assessment of projects, tendering, etc. on TAF	Agency regulation Article 12, Regulation (EC) 62/2006 Article 4b	On demand	–

9.3. Developing specifications for improved physical system access

What is the problem to be solved?

The revised PRM TSI will be submitted to RISC in early 2014. For the infrastructure subsystem, it will contain different types of requirements if the subsystem is considered railway specific or non-railway specific. The application guide linked to the TSI shall clarify the conduct to adopt in each case.

What does the Agency do?

The major tasks of the Agency once the revised PRM TSI is approved will be, together with the dedicated working party, to update the references to the standards for the built environment and for accessibility, in order to articulate precisely those documents.

What is the expected overall impact?

The clarification of the case of railway specific and non-railway specific requirements will help applicants apply the TSI for both new and existing subsystems.

	Outputs 2014	Legal basis	Timing	KPI
1.	Application guide of the revised PRM TSI available to the users	Agency regulation Article 12, Directive 2008/57/EC Article 6	Mid-2014	29

9.4. Development of registers for improved system access

What is the problem to be solved?

The availability of relevant information on the characteristics and parameters of railway subsystems in various countries and railway lines is critical for an easy access to the network. This information is necessary for manufacturers of vehicles or components (e.g. to enable design of the rolling stock suitable for specific type of operation), as well as for RUs to enable them to plan their operation on various lines which have different parameters. It is also a help to passengers: in the context of the revision of the PRM TSI, getting detailed information about the level of accessibility offered by stations and rolling stocks has been identified as a preliminary step before the progressive elimination of such obstacles. It shall be the basis for the PRM TSI implementation plans that are to be put in place by Member States. For consistency and interoperability, the information about existing obstacles needs to be collected via a harmonised tool.

What does the Agency do?

In respect of the issue described in the above paragraph, the major tasks of the Agency include providing access to the Register of Infrastructures (RINF) that the stakeholders may consult in order to get the relevant information necessary for manufacturing railway equipment (first of all the vehicles), or planning future operation. Regarding the latter, the Agency will have identified in 2013, the form that such a tool for the centralisation of accessibility information would take, and clarified the exact information required from stakeholders. 2014 will be the year for the development/adaptation of the tool that will facilitate the collection and interfacing of inventories of assets from all Member States.

What is the expected overall impact?

Access to the information on the parameters of the infrastructure subsystem will ease the activities of the stakeholders, making manufacturing and preparation for operation faster and less expensive. When finalised, the tool that will enable making an inventory of the accessibility of stations and vehicles will help Member States define the priorities and criteria for the PRM TSI implementation plans. It will also enable a consistent estimation of the level of accessibility offered by railways in Europe, and a consistent measurement of the improvement of accessibility. Such information will eventually be made available to passengers.

	Outputs 2014	Legal basis	Timing	KPI
1.	Coordination and monitoring the implementation of RINF by MS, reports to the EC. Management of the Network of national entities in charge of the RINF. Processes implementing RINF governance rules. Change control management set up. RINF application guide available.	Directive 2008/57/EC Article 35, Agency regulation Articles 18, 19	Ongoing	30
2.	Defined structure, detail level of information required, functional specification for the availability to the public of the information on accessibility	Agency regulation Article 12	December 2014	–

Activity 10. Operational activities across several strategic priorities

Agency recommendations are mostly converted into European Commission decisions, for example TSIs or CSMs, and these have the force of law. As such, recommendations inevitably induce administrative costs, or technical changes, that must serve the very purposes of railway policy and, therefore, contribute to make the railway sector more competitive. Before any decision is made, the Agency must demonstrate that the recommendation abides by the proportionality principle, has considered the best available options, and does not generate 'collateral damage'. The Agency has conducted the impact assessment of its own recommendations since it started operations. It is conducted by a functionally independent unit, developing a methodology (based on EC recommendations), and producing deliverables as needed, from early assessment through methodology documents to full impact assessment reports. Particular emphasis is put on 'early assessment forms' first trialled in 2012, the purpose of which 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. In addition, there is increased attention to ex post evaluation on adopted legislative measures following from Agency recommendations in order to monitor the extent to which objectives are fulfilled and inform subsequent ex ante assessments in the context of the next cycle of recommendations. The impact assessment process associates: • the other Agency units responsible for the recommendations; • the stakeholders represented in working parties of the Agency; • stakeholders represented in the Economic Survey Group convened by the Economic Evaluation Unit; • other concerned stakeholders as may be required. Most impact assessment works confirm orientations that would have been taken anyway by reasonable and knowledgeable experts. Even so, impact assessment may contribute to clarify technical debates for a wider audience, which is essential for transparent

decision-making. In some significant cases, economic evaluation contributes in solving less obvious issues and choosing the best option, taking into account all concerned parties.

In the case of economic evaluation, the legal basis is primarily the Agency Regulation (EC) 881/2004 and on this basis several other EU legislative acts apply. In particular, economic evaluation is provided for various tasks in Directives 2004/49/EC, 2007/59/EC and 2008/57/EC.

10.1. Economic evaluation — methodology and tools

What is the problem to be solved?

The current methodology guidelines which were already drafted in 2006/07 do not consider the new activities of the Agency (e.g. cross-acceptance), the newly established ERA internal evaluation processes (in particular early assessment of Agency activities) as well as certain economic issues in the framework of impact assessment (notably e.g. opportunity costs, externalities and semi-quantitative analysis).

What does the Agency do?

The methodology guidelines are being updated, summarising experience and insight gained over the years as well as

addressing the aspects currently not covered or considered with too few aspects included. Furthermore, attention is given to developing more user-friendly guidelines. The guidelines will be structured such that the main text remains short while annexes and list of web-links to relevant information sources provide further details as required.

What is the expected overall impact?

Impact assessment based on updated and user-friendly guidelines documents are likely to be improved, also building on dedicated work being undertaken to establish appropriate databases for economic evaluation (see below).

	Outputs 2014	Legal basis	Timing	KPI
1.	New annex to the general methodology guidance	Agency regulation	March 2014	–

10.2. Economic evaluation — early assessment (needs and outcomes)

What is the problem to be solved?

Currently, no formalised prioritisation process is in place for all the potential activities of the Agency. This becomes more crucial in the future because the number of requested activities of the Agency may grow but the number of available resources is limited.

What does the Agency do?

The Agency will apply a pre-assessment process applicable to all potential activities of the Agency, including TSI open points, to determine an optimised priority list. In this regard the early assessment process will provide the basic elements to then compare the different activities by utilising aspects from techniques such as multi-criteria decision analysis and

decision conferences. Particular attention will be given to the criteria set out in Section 3 with reference to strategic compliance, importance, urgency and efficiency. Moreover, extensive consultation and dialogue with stakeholders in the sector and authorities is foreseen in order to understand the main concerns early on. On the basis of the early assessment it will also be determined the effort and detail required in the subsequent ex ante assessments.

What is the expected overall impact?

The early assessment process will contribute to the selection of activities within the annual and multi-annual Work Programmes, in particular by clarifying the stakes of foreseen works, and their urgency.

	Outputs 2014	Legal basis	Timing	KPI
1.	Draft Agency framework for prioritisation	Agency regulation	June 2014	–
2.	Prioritisation of open points	Agency regulation	According to TSI planning	–

10.3. Economic evaluation — ex ante evaluations

What is the problem to be solved?

In principle, most recommendations of the Agency resulting from the RSD, the IOD and the TDD have to be accompanied by an impact assessment. An important challenge is to ensure access to relevant data in order to facilitate a comprehensive assessment of cost and benefits.

What does the Agency do?

In 2014, most impact assessments will focus on the scope of the TSIs and the closure of open points. This assessment work has started simultaneously with the development of recommendations, and will come to a simultaneous conclusion. In simple cases, with low stakes, the standardised 'early assessment' format will be the minimum provided. Overall, extensive interaction with stakeholders will support the required information collection covering both quantitative data as well as case studies. The early assessment process will ensure that orders of magnitude indications regarding the significance of the problem to be solved by an Agency activity are well understood at the start of the work on a given recommendation. Moreover, the ex post evaluation work that is being progressed will support future ex ante assessment both in terms of methodology and in terms of data. Dedicated work foreseen on developing databases with generic information for economic evaluation is also of relevance in this context.

What is the expected overall impact?

The impact assessments will contribute to the decision if, and under which conditions, the scope of a TSI for a specific subsystem should be extended to the whole of the European railway network. In addition, the most economically viable solution for the European railway sector will be identified when closing an open point. As such this should support the competitiveness of rail vis-à-vis other modes.

	Outputs 2014	Legal basis	Timing	KPI
1.	Ex ante impact assessment of key recommendations of 2014 linked to the four Agency priority areas	Agency regulation	According to recommendation planning	31

10.4. Economic evaluation — ex post evaluations

What is the problem to be solved?

Once a recommendation is in force and implemented, the outcome and effects inside and outside the railway sector of this recommendation are not currently monitored in a formalised process. A first ex post assessment took place in 2011, examining PRM TSI, in force since 2008, and provided very useful insight. Budgetary limitations did not allow the Agency to use the same contractual set-up though. In 2012, an ex post assessment of the SRT TSI was conducted, mainly using internal resources and bilateral meetings with selected Member States.

What does the Agency do?

The Agency will perform further ex post analyses in order to monitor the outcome of its recommendations. It will rely on internal resources, and also on the cooperation of stakeholders, NSAs and Member States as primary information sources. Based on the 2011–12 experience, the methodology and process will be established utilising existing ex post evaluation frameworks, so as to avoid biases or mistakes (sampling being an economic necessity).

What is the expected overall impact?

The ex post analysis will provide essential input for future revisions of the recommendation and, thus, enable a continuous improvement in the European legal framework providing the basis for a more competitive railway system. An additional benefit is that it can contribute towards improved future early and/or ex ante assessments.

	Outputs 2014	Legal basis	Timing	KPI
1.	Ex post analysis of (1) certification of Entities in Charge of Maintenance (ECM) and (2) the operational requirements of the railway communication system	Agency regulation	June 2014 (railway comms system) December 2014 (ECM)	32

10.5. Stakeholder management

What is the problem to be solved?

There is a need to review the return on experience to identify the impact of Agency work on the sector, a need for information from the sector to identify areas which might require a harmonised approach at European regulatory level and a need for a structured dissemination and feedback of information between the Agency and sector on cross-Agency issues and for the resolution of specific 'hot issues'.

What does the Agency do?

The Agency, therefore, coordinates meetings with the Network of Representative Bodies (NRB) to inform them about Agency activities, to agree on sector contributions to the Agency's work, and to review 'hot issues'.

What is the expected overall impact?

Better regulation, reduction of administrative burden, and improvement in the sector's competitiveness.

	Outputs 2014	Legal basis	Timing	KPI
1.	Coordination of the NRB Network, organisation of NRB Network plenary meetings, seminars and workshops on specific topics	Agency regulation	Minimum of three NRB meetings per year. Other events and activities as required.	–

10.6. Research and studies coordination

What is the problem to be solved?

The Agency has a responsibility to review and update TSIs in order to take account of developments in technology or social requirements, standardisation work and acknowledged research work, and to support the investigation bodies in their activities by adapting their investigation methods to the development of technical and scientific progress.

What does the Agency do?

The Agency disseminates the EU framework to those involved in research; determines the Agency's needs for research; disseminates these needs to the providers of funds and advisory bodies; and influences research projects to ensure the outputs best meet the Agency's defined needs. The Agency coordinates its studies in order to ensure coherence in study definition, a clear strategic path for future Agency activities, and a better knowledge of study subcontractors.

What is the expected overall impact?

To move from a situation where research is initiated and managed directly by national railway companies to a situation where most research is initiated and managed at EU level; filling the gaps in knowledge by closing open points in TSIs and developing common European methods is estimated to generate 10 % of the savings from open points. The duplication of studies between units will be avoided; experience from different units on performance, behaviour, compliance of consultants can be better exchanged and analysed to improve results of studies. The Agency will assist the EC in the development of the Shift2Rail initiative.

	Outputs 2014	Legal basis	Timing	KPI
1.	Coordination of the Agency's needs on research (and studies), reports and support to the European Commission services for research, coordination of Agency activities and relationship to research projects, institutes and organisations	Agency regulation	ERA research needs synchronised with ERRAC and DG RTD calendars	–
2.	Regular updates and dissemination of Agency research needs	Agency regulation	Ongoing	–
3.	Review of the technical annexes for Shift2Rail	Agency regulation	1-2Q2014	–
4.	Meetings with the European Commission and relevant research projects	Agency regulation	According to research calendar. Three meetings per year with DG RTD. Specific meetings on specific projects with relevant POs.	–

10.7. International relations management

What is the problem to be solved?

Railways exist through the world and European suppliers supply to the rest of the world. Suppliers from outside Europe supply to European actors. In the context of technical and safety issues the Agency has an obligation to take account of scientific and technical progress which takes place outside the EU as well as inside the EU. In other parts of the world there is clearly knowledge, experience and best practice which can be used by the Agency to develop and enhance its outputs.

The European framework (directives, TSIs, CSMs, etc.) is at the moment the only publicly available framework of roles, responsibilities, specifications and procedures that is available to be used for the management of an 'open', shared railway system managed by many actors in an open market. This framework, its specifications and processes are published in a set of languages understood the world over. For this reason specification such as those which define ERTMS or requirements for high speed subsystems have been used or adapted all over the world.

It is clear therefore that as the 'de facto' railway system specifier for Europe, ERA, within the scope of its competencies, has a key

role to play on the world stage and in sharing practices and specifications with other similar agencies may benefit from scientific and technical development through the world, help promote European interests outside Europe and with these objectives in mind participate in and facilitate the gradual convergence of railway specifications and market opening throughout the world.

What does the Agency do?

The Agency has a policy on international relations. Under the auspices of established agreements and specific agreements and understandings developed with similar organisations outside Europe and according to the status and benefits to be gained from third country activities, the Agency staff attend meetings, workshops and seminars with third parties or support the European Commission at meetings.

What is the expected overall impact?

By sharing and adopting best practice the quality of the Agency's work will be enhanced, parallel and duplicative work will be reduced, and economies of scale and efficiencies arising from market opening will be facilitated.

	Outputs 2014	Legal basis	Timing	KPI
1.	Participation in out-of-Europe events involving ERA scope of subject matter authorisation processes and technical rules according to Agency policy, agreements, MOUs or ad hoc arrangements	Agency regulation Article 21b	On demand	–

2.	Represent EU railway interests at UNEC WP, following the developments and report to the European Commission and to experts in the Agency (besides relationship with OSJD and OTIF mentioned separately)	Agency regulation Article 21b	Meetings and exchange of information according to needs	–
3.	Promote of the European Commission railway legislation in EU candidate countries or potential candidates, via IPA	Agency regulation Article 30	Ongoing	–

Activity 11. Corporate services

The horizontal activities supporting the Executive Director and the Agency are carried out by the Executive Director's Office and the Resources and Support Unit. The Executive Director's Office is responsible for the Agency's strategy and business planning, its quality programme, communication, internal audit and legal affairs. The Resources and Support Unit is in charge of 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. In 2014, the support services will continue to emphasise the selection and engagement of new staff members (as a result of contracts terminating for numerous operational agents), the improvement of planning and execution of the budget and procurement procedures, the implementation of changes resulting from the entering into force of the delayed new Staff Regulations and the optimisation of the core IT functions and delivery of quality IT services by adopting technologies that will best support the Agency ICT strategy agreed in 2012.

The legal basis for 'Corporate Services' is primarily the Agency Regulation (EC) 881/2004 and on this basis several other EU legislative acts which apply to the Agency mainly, for example, staff regulations, financial regulations, decisions, and guarantee the proper functioning of the Agency.

In addition, the more specific legal basis for activities under 'Corporate Services' is a number of internal administrative instructions and orders issued by the Executive Director which allow the Agency to operate and function.

Finally, other EU and national legislation can also apply and be the basis for 'corporate services' activities.

11.1. Communication

What is the problem to be solved?

As the Agency would benefit from a more substantial communication of its activities and outputs, it is considered to be essential to move forward to a more enhanced and integrated communication plan. The Agency also recognises that the whole communication strategy and channels — including the regular gathering of a return on experience — needs strong enhancement.

What does the Agency do?

The core mission of the Communication Office is to provide the external and internal communication processes and working tools for the Agency's stakeholders and staff to ensure the required Agency's impact on the railway sector in line with its remit. Following the common approach based on the conclusions of the Inter-Institutional Working Group on Decentralised Agencies, ERA assists in the coordination of the preparation of a handbook on communication for all agencies. The document aims to be a support tool for those working with communications in the EU agencies.

What is the expected overall impact?

Adequate communication leads to the intended understanding and implementation of the Agency's outputs in the railway sector. Additionally, sound communication delivers feedback on the effectiveness and efficiency of the Agency's measures and therefore leads to improved future European Commission and Agency measures. This implementation and feedback is the indispensable basis for fulfilling the Agency's mission, i.e. to make the railway system work better for society.

	Outputs 2014	Legal basis	Timing	KPI
1.	Updated communication plan and improved tools according to return of experience	Agency regulation	March 2014	33
2.	Regular update of the ERA Internet/intranet/extranet	Agency regulation	Ongoing	–
3.	Publication of the Annual Report and specific Agency reports, external newsletters	Agency regulation	1Q2014	–
4.	Agency participation at conferences/exhibitions: 1 InnoTrans, further not yet known	Agency regulation	September 2014	–
5.	Publication of internal newsletters/general internal communication	Agency regulation	Quarterly	–
6.	Agency's templates and external presentations register updated	Agency regulation	Ongoing	–
7.	Replies to external information requests via website	Agency regulation	15 days after reception of request	–

11.2. Legal affairs

What is the problem to be solved?

The Legal Office and the Data Protection Officer contribute to ensuring the compliance of the Agency's acts and actions with the applicable legal framework in order to avoid or minimise legal risks (including sanctions or warnings from public authorities — whether at European or national level — and claims from staff members or third parties).

What does the Agency do?

The Legal Office provides legal opinions and legal advice to the Executive Director and to all units and sectors, upon request or on its own initiative. It also intervenes in case of claims and proceedings before courts and other public authorities. The Office provides legal and administrative support (Secretariat) to the Administrative Board and its Subcommittee and ensures

also the timely organisation and coordination of the meetings of the Administrative Board. The Data Protection Officer (DPO) safeguards, in an independent manner, the proper application within ERA of Regulation (EC) 45/2001 and assists the Agency data controllers/Head of Units in ensuring compliance with personal data protection rules.

What is the expected overall impact?

The Legal Office thus verifies the legality and consistency of recommendations and opinions issued by the Agency and the decisions adopted by the Executive Director and by the Administrative Board. Ensuring the compliance of the Agency's activities with the applicable legal framework prevents maladministration and indirectly facilitates the smooth performance of its tasks under the Agency regulation.

	Outputs 2014	Legal basis	Timing	KPI
1.	Legal advice, legal opinions	Agency regulation	Ongoing	–
2.	Legal and administrative support to the Administrative Board (including Budgetary Sub-Committee)	Agency regulation	Ongoing	–
3.	Administrative Board/Budgetary Sub-Committee meetings	Agency regulation	3 to 4 times per year	–
4.	Implementation of Regulation (EC) 45/2001 in order to ensure compliance with personal data rules	Agency regulation	Ongoing	–

11.3. Human resources

What is the problem to be solved?

The quality of the Agency outputs depends on the availability and performance of human resources with the required knowledge, experience and skills. The HR activities aim at providing support to recruit a sufficient number of appropriately skilled staff to carry out Agency activities. Selection and engagement will be given particular consideration in 2014 as many contracts of operational staff members are coming to an end in 2014, as was already the case in 2013. Also, ERA has been classified as an agency with 'new tasks' for 2014 which will add to some of the recruitment activities, such as the identification and development of the required staff competencies in the Fourth Railway Package (without identifying the outputs).

What does the Agency do?

The HR project secures the full range of human resources management services including recruitment, engagement, individual entitlements, learning and development, CDR, reclassification, data protection, administration, reporting … in compliance with the legal framework. The preparation of the new role of ERA will be given careful attention in 2014. HR activities shall thus include the identification and development of the required staff competencies, and recruitment of staff with new complementary skills, as foreseen in the Fourth Railway Package activities. Some additional administrative activities undertaken with regard to the introduction of new Staff Regulations (as of mid-2013) will be in their implementation phase, e.g. review of implementing rules, changes of individual entitlements … In the course of 2014 a second round of staff satisfaction survey will be launched. A subsequent action plan will help to better address the main actions for improving quality of work and performance of staff members.

Also some initiatives managed and/or facilitated by the HR sector will be continued and improved in 2014: prevention of harassment, knowledge management, induction of newcomers, information to leavers, ERA management coaching scheme.

What is the expected overall impact?

High quality levels of Agency deliverables as a result of the performance of a knowledgeable, experienced and well trained staff will contribute to a more efficient railway system in Europe.

	Outputs 2014	Legal basis	Timing	KPI
1.	95 % of the establishment plan completed	Agency regulation	4Q2014	34
2.	Average length of a selection process: < 4 months	Agency regulation	4Q2014	–

3.	All administrative activities related to entitlement, onboarding, exit process, salaries, data protection, reporting … carried out in a timely manner and in respect of the legal framework.	Agency regulation Staff Regulation	Ongoing	–
4.	Minimum eight days of training days per staff member (formal training and language courses)	Agency regulation Staff Regulation	4Q2014	–
5.	Annual staff survey carried out	Agency regulation	4Q2014	–

11.4. Finance, accounting and procurement

What is the problem to be solved?

The project aims to provide support to the Agency operational activities, in particular with regard to financial operations, accounting and procurement procedures ensuring legality and timeliness of operations. The finance, accounting and procurement sector will continue to simplify the procedures in order to increase efficiency and use paperless processes.

What does the Agency do?

The finance, accounting and procurement project encompasses all ongoing tasks in relation to the preparation and execution of the budget (including financial initiation of commitments and payments); reporting on the budgetary execution; accounting and relations with the Court of Auditors.

The finance and procurement sector in charge of those tasks coordinates procurement planning and provides support in the preparation and implementation of procurement procedures. In the course of 2014, the Fourth Railway Package is intended to be adopted. The Agency will need to explore the possibilities of external financing and the related administrative processes. This will imply a revision of the financial procedures and an internal reorganisation of the financial management.

What is the expected overall impact?

The project safeguards that all supporting operations to the Agency activities are legal, carried out in accordance with sound financial management principles, and within strictly defined deadlines.

	Outputs 2014	Legal basis	Timing	KPI
1.	Financial transactions and accounting services carried out in accordance with the legal framework and within the set deadlines: 300 commitments, 2 200 payment requests, 10 recovery orders	Agency regulation	Ongoing	–
2.	98 % of appropriations committed	Agency regulation	December 2014	35
3.	90 % execution of payment vs. committed appropriations (average all types of appropriations)	Agency regulation	December 2014	–
4.	< 10 carry-over of payment appropriations (total of credits)	Agency regulation	December 2014	–
5.	95 % of invoices paid within legal deadline (30 days)	Agency regulation	Within the regulatory time limits	36
6.	Asset management updates	Agency regulation	December 2014	–
7.	15–20 launched and completed procurement procedures	Agency regulation	4Q2014	–

		Legal basis	Timing	KPI
8.	100 % of procurement procedures launched and completed against plan	Agency regulation	4Q2014	–
9.	Average length of procurement process for open procedures: 5 months	Agency regulation	4Q2014	–
10.	Reports on the budgetary execution	Agency regulation	Monthly	–
11.	N+1 year budget submitted and approved within the regulatory deadlines	Agency regulation	4Q2014	–

11.5. Information technology

What is the problem to be solved?

All activities carried out by the Agency require the use and the exploitation of ICT resources in line with the business strategy and priorities. The IT project aims at satisfying the business requirement for ICT in service offerings and the development of strategies to deliver these services in a transparent and effective manner.

What does the Agency do?

The ICT service offers are carried out by in-house staff and contractors working on site. In 2014, based on the business needs and operational demands, the Agency will optimise its core IT functions and deliver quality IT services, adopting those technologies that will support best the ICT strategy agreed in 2012. This involves using IT assets and information to generate the maximum value from available innovations, understanding the reality of the costs and the long-term consequences of investment decisions.

What is the expected overall impact?

The project safeguards that all Agency activities are 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.

	Outputs 2014	Legal basis	Timing	KPI
1.	Around 1 100 user support service requests received by Service Desk annually. Around 900 software change requests provided annually.	Agency regulation	Continuous	–
2.	80 % of users satisfied with the quality of IT service delivery in 'very good' rate	Agency regulation	Continuous	–
3.	Four business impact analysis and continuity tests carried out	Agency regulation	4Q2014	–
4.	100 % of exercises and tests that have achieved recovery objectives	Agency regulation	4Q2014	–
5.	No security incidents causing financial loss, business disruption or public embarrassment	Agency regulation	4Q2014	37
6.	Documentation of procedures and definition of service levels monitored and corrective actions undertaken	Agency regulation	Ongoing	–
7.	20–25 IT projects managed, overall portfolio budget and time deviation below 20 %	Agency regulation	4Q2014	–

11.6. Facilities

What is the problem to be solved?

All activities carried out by the Agency require the use and the exploitation of adequate premises in line with the business strategy and priorities. The facilities management project aims at satisfying the business requirement for logistics in service offerings and the development of strategies to deliver these services in a transparent and effective manner.

What does the Agency do?

The facilities management (FM) services are carried out by in-house staff and contractors working on site. Together with the HR and ICT teams, the FM team will continue its efforts in further improving the health and safety conditions and the business continuity planning. EMAS initiatives will continue in order to reduce the environmental impact of the activities of the organisation.

What is the expected overall impact?

The project safeguards that all Agency activities are carried out in safe and comfortable working conditions, engaging with stakeholders in aligning the FM services with current and future business needs.

	Outputs 2014	Legal basis	Timing	KPI
1.	Around 250 service requests fulfilled	Agency regulation	Ongoing	–
2.	80 % of users satisfied with the quality of FM services in 'very good' rate	Agency regulation	4Q2014	–
3.	3–4 initiatives undertaken to improve health and safety conditions	Agency regulation	4Q2014	38
4.	1–3 EMAS measures adopted	Agency regulation	4Q2014	–

Activity 12. Agency management

The Agency continues, in 2014, its integrated 'One Agency' approach across its operational units. Since 2012, this approach has been 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 operational matters as well as for a consistent management of all stakeholder interfaces. Furthermore, it is the indispensable basis for discussion with the stakeholders on the strategic priorities of the Work Programme and the related resource allocations. The implementation of the Agency quality programme reaches the phase of first implementation audits transversal projects as the international relations management, the railway research coordination and the coordination of the EU agencies (The latter project will come to an end already in the 1st Q 2014) belong as well in this activity.

The legal basis for 'agency management' is primarily the Agency Regulation (EC) 881/2004 and on this basis several other EU legislative acts which apply to the Agency mainly, for example, staff regulations, financial regulations, decisions, and guarantee the proper functioning of the Agency.

In addition, a more specific legal basis for activities under 'agency management' is a number of internal administrative instructions and orders issued by the Executive Director which allow the Agency to operate and function.

12.1. Strategy, business planning and reporting

What is the problem to be solved?

The setting of the right activities for the Agency is key to the overall success of the improvement of the European railway system. Furthermore, the planning, prioritisation and execution of the processes and tasks of the Agency need to be managed to ensure their maximum efficiency, clarity and thus impact. The ongoing and coherent management of the Work Programme, staff and financial planning is necessary to achieve the required outputs in terms of content, time and efficiency, and thus to achieve the strategic objectives of the Agency.

What does the Agency do?

The Agency's strategy and business planning ensures, in close cooperation with the European Commission and other stakeholders, the strategic direction, the prioritisation and the integrated planning of the (multi) annual Work Programme. Impact (early) assessment is used as default tool to identify the right priorities. The implementation of the annual Work Programme and its change management are regularly monitored and adjusted where necessary. The final achievements of a business year are laid down in the Annual Activity Report.

What is the expected overall impact?

The setting of the strategic priorities as a function of the highest contribution to the strategic objectives place the European Commission and the Agency in a position to focus on the most promising activities for achieving those objectives and thus for achieving the Agency's mission (to make the railway system work better for society). The close management of the Work Programme ensures its delivery in content and time.

	Outputs 2014	Legal basis	Timing	KPI
1.	Evaluation and prioritisation of the content of the (multi) annual Work Programme	Agency regulation	With Draft WP and Ongoing	–
2.	Annual Activity Report 2013	Agency regulation	March 2014	39
3.	Execution monitoring, corrective actions and change management for the WP	Agency regulation	Ongoing	–
4.	Draft and final annual and multiannual Work Programme on integrated planning basis	Agency regulation	Draft February 2014, final version October 2014	40

12.2. Quality management

What is the problem to be solved?

The Agency, on its way to business excellence, is in the process of implementing a process-oriented quality management system (QMS), with the following goals: • create more value for stakeholders, • increase transparency of decision-making, • facilitate the Agency management, • enhance accountability for use of resources. The QMS project has started mid-2012 and is not yet fully implemented.

What does the Agency do?

The Agency will implement further, under the management of the Quality Office, the quality roadmap. This includes the development and implementation of the remaining procedures and the continuous improvement of the system by auditing, monitoring and measuring the processes in place and their related outputs.

What is the expected overall impact?

The achievement of the Agency's business excellence, and so the delivery of the Agency's outputs at the required quality, constitutes the necessary base for the powerful execution of the tasks laid down in the Work Programme, and also in terms of business continuity, to finally 'make the Agency work better for the railway system'.

	Outputs 2014	Legal basis	Timing	KPI
1.	Development of quality processes	Agency regulation	According to the Quality Steering Group workplan	–
2.	Implementation and training of the approved processes	Agency regulation	3Q2014	41
3.	Audit report, exceptions register	Agency regulation	4Q2014	–
4.	Internal training and seminars	Agency regulation	Ongoing	–

12.3. Internal control and audit and risk management

What is the problem to be solved?

The internal control, audit and risk management function provides assurance and support to the Executive Director of the Agency as regards the effectiveness of key processes such as internal control, risk management and audit, with the ultimate objective of delivering value to stakeholders while complying with the applicable regulatory framework.

What does the Agency do?

Assurance activity for the Executive Director (internal quality audits and ex post control activity); advice and support on design and implementation of risk management process; advice and support on design and maintenance of internal control components (evaluation of internal control standards, advice on policies/process/project development and coordination over design, implementation and monitoring of IAS audit recommendations).

What is the expected overall impact?

Providing the Executive Director with assurance and support on the Agency's internal control system, including the quality management system in place, and risk management framework will ultimately increase the efficiency, effectiveness and compliance of the Agency's operations, so as to improve the overall impact on the railway system. Furthermore, it contributes to providing assurance to the Executive Director as a key building block for his declaration of assurance contained in the Annual Activity Report of the Agency.

	Outputs 2014	Legal basis	Timing	KPI
1.	Ex post/Internal audit report	Agency regulation	March–June 2014	–
2.	Assessment report on internal control standards	Agency regulation	November 2014	–
3.	Advice and support on design and maintenance of Agency processes: ad hoc advice	Agency regulation	Ongoing	–
4.	Advice and support on design and maintenance of Agency processes: output according to QSG plan	Agency regulation	Ongoing	–
5.	High level risk assessment workshop preparation and updating of risk register	Agency regulation	June and November 2014	–
6.	Updating of issue tracking system (including design/maintenance and facilitation of —'implementing action plan' at ERA)	Agency regulation	Ongoing	–
7.	Validation of GRC data C. Article 72,5 Report	Agency regulation	Ongoing/4Q C. 3Q	–
8.	Opinion on draft IAS reports (audit and risk assessment)	Agency regulation	Depending on IAS audit schedule	–

12.4. Coordination of EU agencies

What is the problem to be solved?

The regulatory EU agencies have created a network where issues of common interest are dealt with. These issues are, in particular, related to the management of staff, budgetary and financial management matters and subjects of a more political nature such as the implementation of the results of the work of the Interinstitutional Working Group on Decentralised Agencies. The network prepares common positions in dealing with the European Commission and representing agencies interests.

What does the Agency do?

The coordination of the network rotates between agencies for a period of 1 year at a time. ERA took over the coordination role for the period 1 March 2013 till 28 February 2014. During the first 2 months of 2014 ERA will continue representing the EU Agencies Network vis-à-vis EU institutions. In the course of this period one meeting of the Heads of Agency and one meeting of the Heads of Administration will be carried out. In addition, ERA will prepare handover of the chairmanship to the succeeding chair of the EU Agencies Network.

What is the expected overall impact?

Fulfilling the coordination function of EU agencies network creates an opportunity to present increased visibility of ERA initiatives and a wider promotion of the Agency activities.

	Outputs 2014	Legal basis	Timing	KPI
1.	Effective representation of the EU agencies interests vis-à-vis EU institutions. One meeting of the Heads of Administration and the Heads of Agency organised and carried out		1Q2014	–
2.	Handover report to the succeeding chair of the EU Agencies Network		March 2014	–

Annex I: Procurements requests foreseen in 2014 (Operations and Administration)

Title	Expected signature date	Estimated amount	Unit	Type of contract	Operations/ Administration	Comments
Priority 1requests						
ETCS follow-up for TEN-T	31/01/2014	200 000 €	ERTMS	Direct service contract	OP	
GSM-R evolution	05/05/2014	120 000 €	ERTMS	Direct service contract	OP	
Construction of ERA's stand (Innotrans conference - Berlin)	30/04/2014	35 000 €	Executive Director's Office	Direct service contract	AD	
Study on a Universal Overhead Contact Line design - Phase 2	03/03/2014	70 000 €	INTEROP	Direct service contract	OP	
Communication methods between drivers and signallers	05/05/2014	70 000 €	INTEROP	Direct service contract	OP	
Office Furniture	01/05/2014	195 000 €	Resources & Support	Framework Contract	AD	Total amount of FWC is €390,000 for a period of 2 years
Building -Equipment related insurances for Valenciennes and Lille, & informatics	01/10/2014	12 500 €	Resources & Support	Framework Contract	AD	Total amount of FWC is €50,000 for a period of 4 years
Service Contract for Building Maintenance Services and Construction Works for the ERA HQ building in Valenciennes	01/11/2014	225 000 €	Resources & Support	Framework Contract	AD	Total amount of FWC is €900,000 for a period of 4 years
Technical assistance in the field of Quality Management System	01/10/2014	90 000 €	Executive Director's Office	Framework Contract	AD	Total amount of FWC is €600,000 for a period of 4 years
Communication methods between drivers and signallers	05/05/2014	70 000 €	SAFETY	Direct service contract	OP	
Review of Data Quality and approach of the Agency annual report on Safety	30/05/2014	200 000 €	SAFETY	Direct service contract	OP	
Training on X-Audit	30/09/2014	30 000 €	SAFETY	Framework Contract	OP	
	Priority 1 OP	760 000 €				
	Priority 1 AD	557 500 €				
	Priority 1 Total	1 317 500 €				

Title	Expected signature date	Estimated amount	Unit	Type of contract	Operations/ Administration	Comments
Priority 2 requests						
Additional tasks of the European Railway Agency to facilitate the authorisation of railway vehicles	30/10/2014	50 000 €	Cross Ac-ceptance	Direct service contract	OP	
Upgrade of ETCS test specifica-tions	31/03/2014	150 000 €	ERTMS	Framework Contract	OP	
Study on a Universal Overhead Contact Line design - Phase 2	03/03/2014	110 000 €	INTEROP	Direct service contract	OP	
Erail training REP	30/03/2014	60 000 €	SAFETY	Direct service contract	OP	
Establish a multi-annual monitoring plan regarding the implementation of SMS and ECM maintenance system.	30/04/2014	120 000 €	SAFETY	Direct service contract	OP	
State of implementation of CSM RA and CSM MO in different geographical area of EU	30/04/2014	60 000 €	SAFETY	Direct service contract	OP	
Further development of the framework of human functions in European railways	30/04/2014	60 000 €	SAFETY	Direct service contract	OP	
Development of a visual repre-sentation and development tool for the framework of human functions	30/04/2014	60 000 €	SAFETY	Direct service contract	OP	
Management system approach: Study on expected middle-term and long-term benefits for RUs and IMs regarding the imple-mentation of a SMS	15/05/2014	60 000 €	SAFETY	Direct service contract	OP	
Applicability of existing precursor and risk models at a European level	30/06/2014	200 000 €	€SAFETY	Direct service contract	OP	
	Priority 2 OP	930 000 €				
	Priority 2 AD	0 €				
	Priority 2 Total	930 000 €				
	TOTAL PRIO 1 and	22 247 500 €				

Annex II: ERA Risk Register (3Q2013)

Title	Description	Risk typology	Risk rating	Mitigating action
Business continuity	**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 **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 **Root cause 3** — Lack of Safety Management System may lead to: Event — danger to the health and safety of staff **Root cause 4** — Lack of DMS may impact negatively: Event — the efficiency of key processes	Strategic processes	High	**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 **Action 2** — change of contact policy (coordination by HR) in cooperation with DG Mobility and Transport **Risk Actionee 2:** M. Emborg, HR services **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 (Secouriste et Saveteurs du Travail). 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 **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
Stakeholders relation management	**Root cause** — Lack of stakeholders relation management system coupled with weak external communication strategy and practices: **Event** — may lead to inability of the Agency in congruently reconciling diverse stakeholders expectations and effectively translating them into Agency's programming process so: **Effect** — impairing the quality of objectives defined in the annual Work Programme. Reputational risk is at stake as well.	Strategic processes	High	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.

Performance measurement	**Root cause —** Lack of a formal tool for measuring Agency's performance may lead to: **Event —** significant weakening of the de-cision- making and planning processes so: **Effect —** putting at risk the overall sustainability of core business. Reputational risk is at stake as well.	Management processes	High	KPIs are introduced in WP 2014, monitoring and use of the results in the course of 2014
Communication strategy and practices	**Root cause —** Lack of communication strategy and codified practices may negatively: **Event —** impact ability of the Agency in effectively conveying messages to key stakeholders and in running soundly crisis management events: **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.	Support processes	High	Communication plan/strategy started in sum-mer 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.
Reduction of resources in short–medium term as from 2014	**Root cause —** Persistent financial crisis in Europe may lead the European Council and Parliament to propose severe budget restrictions to EU budget financial pers-pectives 2014–20, so: **Event —** the Agency may be required to cut its budget again for 2014 and onwards so... **Effect —** the delivery of different Agency's outputs to reach the strategic objectives may not be possible or strongly impacted from 2014 onwards	Management processes	High	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. 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.
Comprehensibility of ERA's outputs	**Root cause —** Poor clarity and low un-derstandability of ERA's outputs/products could lead: **Event —** to rejection and/or reluctance by ERA stakeholders in using/accepting the outputs so leading to: **Effect —** the Agency being unable to prove the fulfilment of its strategic objec-tives as stated in WP.	Strategic processes	High	Simplicity and clarity as guiding principles in product development. This will be assured by regularly using test user groups and by collec-ting stakeholders' feedback when developing and improving products and services.
Change of legal framework	**Root cause —** Current EC proposals for the Fourth Railway Package would change fundamentally the approach and the related responsibilities of the safety certificate: **Event —** this could lead to lack of com-mitment from our different stakeholders to harmonise their way of working: **Effect —** putting into danger the timely and consistent implementation of the Agency's output with negative impact on objective 1,2 and 4.	Strategic processes	High	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 if resources are available).

Evolution of ERTMS outside Europe	**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: **Event —** there is a risk that in the medium term the Agency role of system authority will be put in question so leading to: **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.	Management processes	High	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: 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	**Root cause —** Lack of stakeholders' agreement on purpose and method of use of ERA's registers will lead to: **Event —** rejection and/or reluctance in using this product by stakeholders so impacting: **Effect —** the related objectives (i.e. unsound use of resources) with significant reputational risks vis-à-vis ERA's stakeholders	Management processes	High	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.

Delays in the execution of procurement procedures	**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:
	Event — late contracts signature so leading to:
	Effect — excessive carryovers putting annuality principle at stake
	  - 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	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)

Annex III: Communications plan

The Administrative Board requested the Agency in its 29th meeting on 24 June 2013 and in line with the results of the position paper 'Proposals by the European Railway Agency Administrative Board for an improved functioning and governance' (2012), to start working on the optimisation of its communication and dissemination activities. The Agency was asked to produce, in a first step in 2013, an overview of the existing Agency's communication activities, to be integrated in the ERA Work Programme 2014. This overview should deliver a basis for the stakeholders for a check of completeness and correspondence with their main communication and dissemination problems.

The Agency set up a matrix of its existing communication activities, extracting the communication-related parts of the Work Programme and referencing them to the different stakeholders and communication channels, showing 'what' is communicated to 'whom' and 'how/via which channel'. The matrix was presented to the Administrative Board SubCommittee on 23 September 2013 and is available on the ERA extranet.

The identified **ERA stakeholders** are:

EU institution, DG Mobility and Transport	European standardisation organisations
EU institution, other including ECA	OTIF, UIC, OSJD
EU Parliament	Academia + research
EU Council	Consultancy
Social partners	European accreditation + accreditation bodies
Administrative Board + SubCommittee	European Data Protection Service (EDPS)
RISC/Member States and subgroups	EU citizens
EU (potential) candidate countries	Others
ERTMS coordinator	Tenderers
TEN-T + beneficiaries	Contractors
Railway Representative Body	Railway Regulatory Body
Railway National Safety Authority (NSA)	
Railway National Investigation Body (NIB)	
Railway actors (RU, IM, manuf., ROSCO, ECM)	
Railway Certification Body	

The identified different **ERA communication channels** are:

ERA website	Presentations (in Member States)
ERA extranet	Presentations in sector meetings and similar
E-mails	Presentations in training centres/schools
Printed ERA document	ERA database
Work group or network meeting	Articles
RISC task forces, subgroups or similar	(TV or similar)
Bilateral meeting Multipliers	ERA conferences or events EP hearings
Participation in conferences	AdminBoard/AB SubCom meetings
Workshops in Member States	Official Journal/Marchés online
Trainings	EPSO

Principally, the Agency communicates in each of the three cyclic phases of its work:

—   Developing (leading e.g. to recommendations);
—   Monitoring (especially the publication and distribution of reports);
—   Facilitating (the main area of explanatory dissemination and communication).

In each phase, different groups of the abovementioned stakeholders are touched and in different channels (marked in the matrix). The **facilitating phase** was considered as the one with the highest importance for optimisation.

Generally, the **content of the ERA communication** in the facilitating phase can be summarised as follows:

Strategic priority	Harmonised safety regulatory framework	Simplified vehicle authorisation	Single EU train control system	Simplified access for customers	Agency management
EU framework		New approach			
EU framework	SAF directive	IOP directive SAF directive	IOP directive	IOP Directive?	(--)
ERA outputs	CSM, SMS, ECM, NSR …	TSIs, NTRs, NRD/ authorisation processes …DV 29	TSIs (CCS/OPE) + annexes on Baseline 2+3 + GSM-R	… TSIs	Financial/ business/ HR, procurement, data pro-tection
	databases	databases		databases	
			ETCS deploy-ment plan		

The analysis revealed a different situation in the different strategic priorities regarding the organisation of the communication, depending on the progress in their 'life cycle', as shown in the matrix extracts below.

For the **simplified vehicle authorisation** priority (where the first development phase is not yet fully terminated), the Agency's communication activities are currently predominantly undertaken 'on demand':

For the **single EU train control system** priority, the Agency is organising a mix of planned (mainly in steering groups and conferences) and 'on demand' dissemination:

For the **simplified access for customers** priority, the Agency is organising a mix of dissemination, partially still connected to the development phase (e.g. for RINF):

For the **harmonised Safety Regulatory Framework** priority, the Agency is already undertaking more structured and planned dissemination in workshops, Networks, trainings, etc.:

In addition, the Agency is active in **various general dissemination activities** via presentations on **e.g. conferences, association's general assemblies, parliament hearings and on the InnoTrans fair.**

The Agency has moreover set up the following **draft objectives** for the facilitating phase:

Make the EU regulatory framework, the secondary legislation (ERA) and their interaction understood *and accepted,*

promote its coherent, transparent and synchronized implementation and application in and between the Member States,

support the continuous improvement of the EU solutions by structuring the exchange of views and experience amongst the railway sector actors,

ensure the communication required by the administrative framework is carried out properly.

To start now the **optimisation of the effectiveness** of the future communication measures, two work streams will be undertaken in the next step:

— increase the **effectiveness of the channels and tools used up to now** (the way that seminars, trainings, etc. are held, website support ….), e.g. based on user's feedback and an analysis on how to reach a maximum target audience (e.g. holding ERTMS workshops at TEN-T days) and via the enhancement of the training skills of ERA's staff.

— **improve going forward the monitoring and mapping of** which problems in implementation and application occur in which EU Member States, in which strategic priority and on which level (taking into account results and lessons learned from pilots such as the 'Regulatory Monitoring Matrix').

To set up the right monitoring, it is indispensable to rework the **objective setting** in early 2014 in order to define what exactly shall be achieved and to focus the monitoring on these parameters.

Such a monitoring and overview allows then dissemination to be targeted at the right stakeholders, with the right measures, via the right channels (which also determines the right 'place'), **in short: to optimise the communication plan**, and to see what progress has been made. It will also identify the most effective dissemination activities and be used therefore to increase the efficiency of dissemination.

This will enable ERA to focus the use of ERA resources in proportion to the scale of the problem by subject and/or geographical area and to the persistence of problems.

ERA will also organise dissemination via partners intended to act as 'multipliers', whose competence will be ensured by 'train the trainer' programmes and/or licensing. In this context, the need may arise to motivate ERA's stakeholders to contribute more by their own dissemination (e.g. via the representative bodies).

This process will be accompanied by a regular progress report and feedback in the Administrative Board.

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