European Railway Agency

Work Programme 2015

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Foreword by the Executive Director

2014 marked the European Railway Agency's 10th anniversary, which was celebrated by several events such as the European Railway Conference on 7-8 May and the 10th anniversary itself on 26 May.

In 2014, the Agency has been working intensively towards the implementation of the 4th Railway Package, hence reinforcing the partnership with our stakeholders, particularly with the National safety Authorities. The full implementation of the second railway package is the condition of the success of the technical pillar of the 4th Railway Package. In addition, the Agency has also been contributing to the preparation of Shift²rail, for instance, by having been included in the consultation process of the preliminary draft of the Shift²Rail master plan.

By its presence in the governing board and its contribution to the different IP's, the Agency not only has the possibility to guarantee respect and adaptation of the Technical Specifications (TSI) on Interoperability, but also to use this important tool to contribute to the removal of the remaining open points.

I am happy to present the Work Programme 2015; a year in which the Agency will need to continue finalising the full scope of TSI and Common Safety Measures (CSM), the next maintenance release of the European Rail Traffic Management System (ERTMS) and the essential of the work in the Cross Acceptance field, while also dedicating important means to communication, dissemination and training. These activities and projects will take the Agency well beyond cruising speed in the coming years.

As with previous editions, the Agency participated in September at Innotrans, the international trade fair for transport technology, in Berlin, and will continue to have a strong present at events and conferences in 2015. As well as increasing the Agency's visibility in the railway sector, raising awareness of the Agency's achievements and getting feedback from the sector and the stakeholders, the Agency will continue to endeavour to attract potential candidates.

On a personal level, I will conclude the final year of my 10-year-mandate as Executive Director of the Agency in 2014 and it has been a pleasure to manage the Agency. It is with pride that I look back at our achievements during the past decade: more than 8 databases in operation, more than 70 recommendations leading to legal acts, 60 impact assessments, more than 100 opinions and advices, an impressive numbers of guidelines, technical documents, documented processes and procedures, and our regular reports on evolution of safety and interoperability in Europe. I am confident that the Agency has the potential, the talent and the maturity to achieve the activities and projects as set out in this Work Programme.

Marcel Verslype
Executive Director

Contents

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 of transport 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 ensuring non-discrimination through 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. Under the general Agency's objective of developing an EU Interoperability and Safety framework, the Agency is focussing its tasks in the next years (horizon 2020) on implementing 4 operational activities:

1.   A harmonised Safety Framework
2.   Removing technical barriers
3.   A single European Train Control and Communication System
4.   A simplified access for customers.

In addition to the 4 operational activities, the Agency groups its horizontal and support functions and tasks under the activity "Evaluation, Management and Resources" covering the work mainly carried out by the Resources and Support Unit, the Corporate Management and Evaluation Unit and the Steering Group preparing the Agency in light of the Shift²Rail project.

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 a driver 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 creation of a "Single EU railway area"

3.1 Principles

ERA's activities aim at the achievement of the 5[1] activities contributing to the creation of a "single EU railway area".

Overall, the Agency prepares in working groups with participation of the stakeholders (NSAs and the sector), 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[2] (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 2015. The structure of the Work Programme follows ERA's activity-based management approach and is divided into 5 activities, each with a set of projects and key and other outputs, through which achievements can be monitored, measured and reported.

The Agency implicitly organises its activities according to the process of (a) developing (setting the standards for the desired outcome of the system), (b) monitoring (knowing the actual outcome of the system), and (c) facilitating (managing the change from the actual to the desired outcome).

The activities are subgrouped into 42 projects with 11 Agency Key Performance Indicators (KPIs) identified. A total of around 200 outputs are listed in Annex 1.

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

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[1] 4 operational and 1 horizontal activities
[2] Established by Article 21 of Directive 96/48/EC.

List of the Agency's KPIs

	Key Performance Indicators	Activity	Legal basis	Planned timing[3]
1	90% achievement of all outputs using financial and human resource planning 2015	ERA	Agency Regulation	End 2015
2	95% timely delivery of issuing reports, advice and opinions	ERA	Agency Regulation	End 2015
3	100% delivery of the priority countries programme to key milestones to contribute to the improved safety performance of those countries	Harmonised Safety Framework	Agency Regulation Art. 9	As per timescales in Priority Programme Plan
4	100% delivery of an information system to facilitate exchange of safety defects/issues between RUs/IMs/ECMs and Manufacturers		Directive 2004/49/EC Art. 21, Agency Regulation Art. 6	End 2015
5	Creation and implementation of a structured plan (Concrete Actions) for the Agency to assist MS to fully "clean up" and notify their National Technical Rules to reflect the scope extended TSIs	Removing Technical Barriers	Directive 2008/57/EC	End 2015
6	100% provision of the recommendations for the Maintenance Release 2 on ERTMS	Single Control and Comms System	Agency Regulation	End 2015
7	100% identification of railway indicators for each of the Agency's activities, agreed with the EC and stakeholders	Evaluations, Management and Resources	Agency Regulation	Mid 2015
8	100% implementation of the annual plan for QMS in line with ISO 9001 requirements and identified through the QMS review			End 2015
9	95% implementation of the establishment plan		Agency Regulation	End 2015
10	90% execution of payment vs. committed appropriations (average all types of appropriations)		Agency Regulation	End 2015
11	No financial loss, business disruption, or reputational risk		Agency Regulation	End 2015

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[3] Either timing planned within the Agency or within the agreed deadlines with eg the EC.

3.2   Business risks related to the activities

The Agency regularly reviews its risk register (Annex III) and identifies the main business risks that must be managed in order to carry out its tasks successfully.

The risk in the area of business continuity as identified in 2013 and 2014 has been mitigated through a revised contract policy within the Agency. The Agency therefore can now ensure business continuity through its existing staff with adequate competences.

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 also 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 further strengthened in 2015. 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 such as the use and the benefits of railway system-related registers have been already addressed in 2013 and 2014. In 2015, the Agency will deal with the related consequences.

The Agency's performance management is an area that will be brought under an improved control.

Last but not least, the Agency has been carefully and closely following the evolution of the 4th Railway Package discussion in order to plan its implementation within the Agency and the sector.

4. ERA's working method

4.1   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. Also, the records of meetings held by informal groups and networks and documents they provide are made available to members of the relevant working parties. 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.

4.2   Working method

The Executive Director, together with the management team:

1.   develops the annual and multiannual work programme and budget of the Agency;

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

3.   makes available guidance and training for Agency staff in:

   - the principles and processes underpinning the interoperability and the safety directives;
   - non-technical or safety issues (e.g. economic analysis, quality management);
   - technical issues as far as this is needed to maintain the level of competence of Agency staff and to keep them updated concerning the latest developments in their specific areas of competence;
   - 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's activities are prioritised taking into account their potential impact on the EU rail system (also in economic terms), the general EU railway policy framework and the current industrial and societal trends.

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.

5. The Agency's budget foreseen for 2015[45]

Activity	Unit Staff	DIRECT COSTS			ART 311	INDIRECT COSTS		TOTAL
		CHAP 30				Chapter 31 - ART 311	Titles 1 &2	
	FTE	ACTIVITIES	STUDIES	TRANSLATIONS, INTERPRETATION				
Harmonized Safety Framework	39,60	541 800,00	430 000,00	350 000,00	516 000,00	76 800	4 714 800	6 629 400,00
Removing Technical Barriers	40,80	478 200,00	390 000,00	370 000,00	316 000,00	79 127	4 857 673	6 491 000,00
Single EU Train Control and Communication System	22,50	320 000,00	410 000,00	0,00	226 000,00	43 636	2 678 864	3 678 500,00
Simplified Access for Customers	16,20	110 000,00	0,00	0,00	506 000,00	31 418	1 928 782	2 576 200,00
Evaluation, Management and Resources	45,90	200 000,00	200 000,00	20 000,00	996 000,00	89 018	5 464 882	6 969 900,00
Grand Total	165,00	1 650 000	1 430 000	740 000	2 560 000	320 000	19 645 000	26 345 000

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[4] Disclaimer: the figures are provisional and subject to final approval of the Budgetary Authority

[5] The Agency foresees 165 staff members in 2015 which is more than what is described in the Multi-Annual Staff Policy Plan 2014-2017 (MASPP) due to the additional tasks requests such as in the area of Shift²Rail. While the limits of the number of Temporary Agents as set in the MASPP will be respected (137 in 2015), the number of Contractual Agents and Seconded National Experts might be increased depending on the need and the available budget.

6. Detailed overview per activity

Activity 1 - Harmonized Safety Framework

The Safety Regulatory Framework has been established in previous years but early feedback on how the processes were working highlighted the need for improvement. In 2013, the European Commission brought forward proposals in the 4th 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 follow up to the original evaluation of transposition/monitoring the implementation of the safety directive, application of the Regulatory Monitoring Matrix, planned NSA cross audits and NIB assessments, a draft recommendation on a revised common safety method for assessing Common Safety Targets (CSTs) and National Reference Values (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, focusing 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 the new regulatory monitoring matrix to identify areas that should be addressed and reviewing the current framework on assessment and supervision by NSAs. Success in 2015 will only be achieved with the help of our stakeholders, the Member States and active Networks of National Safety Authorities (NSAs) and national investigation bodies (NIBs), all of whom play a key role in the field of safety.

Project 1.1 EC Task Force for a Single Safety Certificate

The Terms of Reference for an EC task force on a Single Safety Certificate were agreed at RISC and the detailed work packages are set out in the project plan. The task force acts in a programme oversight role but this project includes the work packages of the programme, including revision of the CSMs.

Significant output(s)	Legal Basis	Planned timing
Delivery of milestones in the RISC Task Force programme plan	Agency Regulation Art. 6, Directive 2004/49/EC Art. 10 and 6	Set out in programme plan

Project 1.2 Networks and information exchange

The NSA and NIB networks play a key role in harmonising the safety framework. The Agency provides the secretariat to the networks and currently chairs the meetings. To support the improved performance of the Network the Agency operates an annual survey and a jointly agreed action plan. For the Human Factors network, the challenge is to integrate Human Factors thinking into the mainstream activities. For safety, it is essential that information about known risks/defects is passed onto those who need to know without delay. In 2015, the Agency will work to ensure that there is an IT tool that allows all actors to do this in their native language. The need for a forum to discuss issues and identify ways to solve them has been identified as a need and the Agency will work with stakeholders to develop a common approach that incorporates the benefits of the Joint Network Secretariat and the Quick Response Procedure.

Significant output(s)	Legal Basis	Planned timing
Development of a safety information system to allow all actors to share safety information	Directive 2004/49/EC Art. 21, Agency Regulation Art. 6	End 2015
NSA and NIB Network improved functioning. Measured by annual survey, action plan	Agency Regulation	End 2015
NIB network initiates work to migrate to new structure for NIB cooperation, including peer reviews	Revised Agency regulation	November 2015
Development of an IT tool that facilitates the exchange of safety alerts between sector organisations.		End 2015

Project 1.3 Safety Monitoring

The Agency uses a number of tools to monitor safety in addition to the well-known systems such as Common Safety Indicators (CSIs), accident reports and NSA/NIB annual reports. Of course, we will continue to work on the development and dissemination of CSI data. We will produce the annual report on the achievement of the CSTs. In addition to these established activities we will extend the regulatory monitoring matrix to at least 12 member states and work with stakeholders to develop occurrence monitoring and safety plans.

Significant output(s)	Legal Basis	Planned timing
CST annual report to the European Commission/RISC	Agency Regulation Art.9, Commission Decision 2009/460/EC Art.1	March 2015
Extension of Regulatory Monitoring Matrix to at least 12 Member States by end 2017 by including the priority countries in the Matrix Countries that will be in the process of a Matrix evaluation during 2015 are; Romania, Croatia, Estonia, Slovak Republic, Lithuania and Latvia. These are done in the context of the Priority Countries Programme and France separately on a purely voluntary basis.	Agency Regulation Art. 9	As set out in priority countries programme for 2015

Project 1.4 Audit & Assessment programme

The Cross - Audit programme for NSAs and the NIB assessment programme is a core part of the Agency work to harmonise the safety framework. This programme, adapted following the Agency advice to the Commission on Polish railway safety, will see Cross Audits and NIBs assessments focussed on the priority countries programme in 2015. Alongside the programme, the Agency will maintain the training programme for auditors for both Agency staff and NSA/NIB staff. This should ensure that the audit and assessment teams could be properly resourced.

Project 1.5 Improving Safety Performance

The Agency work on monitoring and audit enables a clearer prioritisation of its resources to achieve results. The Agency will use CSI data and outputs from the Matrix programme to drive this prioritisation. The Agency has already identified a group of countries and categories of fatalities that should be prioritised. The Matrix programme will allow the Agency to identify topic areas. In 2013 deaths relating to suicide and unauthorised access accounted for 72% of all fatalities on the railway network. There is emerging research that the use of behavioural techniques could bring change in this significant area and the Agency will test some of these assumptions through a targeted research programme. Finally, the Agency will look at the benefits risk profiling could bring in terms of benchmarking and establishing clearly the safety benefits that could be achieved by targeted investment.

Significant output(s)	Legal Basis	Planned timing
Review of safety of priority countries and development of collaboration programme	Agency Regulation Art. 9	Priority Programme plan sets out clear timescales
Development of a topic dissemination plan based on initial Matrix outputs.	Agency Regulation Art. 9	December 2015
Launch research programme on use of behavioural techniques to reduce fatality rates in suicide/unauthorised persons categories	Agency Regulation Art. 9	April 2015

Project 1.6 Promoting transparency and reduction of National Safety Rules

The Agency remains committed to the reduction of National Safety Rules (NSRs) either by their incorporation in European rules or their removal. The Agency clearly also has a role to evaluate new rules and to provide support to the Commission. Following the extension of scope of TSIs, the Agency will focus its effort on a review of remaining Type 6 safety rules.

Significant output(s)	Legal Basis	Planned timing
Review of type 6 rules and clustering of requirements. Proposals to allow either removal of rules or inclusion in European rules to be made based on review		End 2015

Project 1.7 Freight

The Agency recognises that the freight sector has some unique challenges and where they are of a general nature will use the Freight focus group to bring the actors together to find solutions. For the ECM work, the Agency will continue to support the certification and accreditation work. In the field of Dangerous Goods the Agency will continue to play an active role supporting the Commission in the fields of interest described in Art. 12 of the Administrative Agreement with OTIF. In particular, one of the objectives is to reduce the number of inconsistencies between COTIF and EU legislation.

The follow-up of the questionnaire about the certification of freight wagons ECM launched in 2014 is part of this activity.

Activity 2 - Removing Technical Barriers

The European railway system has been a system shared by many actors 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; instead, 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 why the process of vehicle authorisation appears to be rather difficult and expensive in some Member States and the Commission has identified in its preparation of the Technical pillar of the 4th railway package that progress needs to be accelerated meantime many diverging designs continue to be produced and authorised specifically for individual RUs rather than being placed on the market already authorised and problems with interoperability of ERTMS have arisen.

The Agency has worked hard to help the Member States move to a more satisfactory situation and in 2015 the implementation of the scope extended TSIs will continue. The application of the cope extended TSIs will remove 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 to close the remaining open points and deal with issues arising from the implementation in field of the TSIs.

With the completion of scope extended TSIs and the imminence of the implementation of the 4th Railway Package the need for the Member States to rapidly "clean up" their national rules becomes imperative. The Agency will during the latter part of 2015 focus on the structured approach to assisting the Member States in their obligation to clean up their rules, in particular to withdraw rules replaced by scope extended TSIs.

Indeed more generally, with the agreement on the 4th railway package the Agency now faces the challenge of preparing itself and helping the Commission and Member States prepare themselves for its implementation and the energies of the staff focussed on vehicle authorisation are from summer 2015 fully refocused on this preparation.

 During previous years, the Agency developed and published a common template flow chart of the authorisation process for each Member State 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 2015, the Agency will continue assisting the Member States to align the NLFs and NRDs in order to bring them all in line with each other and with the TSIs, thus delivering a substantial simplification. Many of the problems relating to vehicle authorisation derive from a lack of a common understanding of the European process, rules, roles and responsibilities. Building on the success of Recommendation 2011/217 (DV29) and using the application guides, the Agency and the European Commission will produce further guidance to complete the common understanding on 'how it is 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 migration to the 4th Railway Package.

A key element in the cost of vehicles and their authorisation is the diversity of 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.

Project 2.1 Harmonized EU rules for vehicles (including all structural TSIs)

Further to the entry into force of the full set of TSIs related to vehicle authorization, the Agency will now endeavour to develop provisions in Loc&Pas TSI for a unique authorisation valid for the entire network according to Article 23(1) of ID. It will also provide guidance for ensuring technical compatibility between routes and trains. At the request of many stakeholders, one of the key tasks in 2015 will be the definition of a common approach to determine the scale of the change of parameters which triggers the requirement for a new APS for vehicles upgraded or renewed. The task of closing remaining open points in the TSIs (mainly for other track gauges than 1435) will continue. In order to achieve this, a number of dedicated studies will be carried out and the result of research programmes will be taken into account. With a view to support the sector in the implementation of the TSIs, the Agency will draft the corresponding application guides and undertake dissemination activities at the request of relevant actors of the railway sector.

Significant output(s)	Legal Basis	Planned timing
Loc&Pas TSI including provisions for unique EU vehicle authorisation	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8	End 2015

Project 2.2 Harmonized EU rules for networks (including all structural TSIs)

The Agency will work on closing the remaining open points in TSIs, also taking into account the roadmap "Closure of open points and allocation of tasks" elaborated by the network of representative bodies. For this purpose, a number of dedicated studies will be carried out and the result of research programmes will be taken into account. The new or revised standards, elaborated upon the Agency's requests will also contribute to this task. The completion (e.g. closing of open points) or fine-tuning of existing TSI requirements according to the conclusions of these studies will become an important input to the progress of Interoperability, providing rules that will facilitate the achievement of interoperability from the technical and the economic points of view. With a focus on the series of European rail corridors, a long term strategy for the technical harmonisation of the EU networks (fixed installations) will be developed with focus on: main aspects underpinning the current situation, foreseen/ required performance level, revision of existing rules (for design, operation, maintenance, etc.), , involvement of the research institutions, new materials and technologies, etc. Specification of the parameters to be used for checking compatibility between trains and routes will be developed with consideration of the registers. Dissemination of the knowledge related to TSIs and their application will be an important part of this project.

Significant output(s)	Legal Basis	Planned timing
Number of "open points" closed	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8	In line with the roadmap

Project 2.3 Rules Strategy

As part of a rules strategy, the Agency will propose and implement a set of concrete actions to facilitate the Member States cleaning up, making transparent and notification of national rules to reflect scope extension on the TSIs. The Agency will monitor and report progress to the Commission RISC and Member States so that each can play their part in the implementation of the directive requirements.

As part of this initiative, the sector associations will be asked to identify the "Top 10 Barriers" and their economic effects. Action plans will be drawn up to reduce the impact or eliminate the barriers. In addition, a reporting and tracking system will be set up for sector actors to report "questionable" rules in order that

they can be investigated and followed up by the Agency with the NSAs, Member States and the Commission.

Significant output(s)	Legal Basis	Planned timing
Creation and full implementation of a structured plan of concrete actions for the Agency to assist MS fully "clean up" and notify their National Technical Rules to reflect the scope extended TSIs	Agency Regulation	October 2015
Regular reporting to the Commission and RISC of MS progress in "cleaning up" of rules.	Agency Regulation	Ongoing
List of parameters (Decision 2009/965/EC) updated to reflect TSI scope extension and published	EC Decision 2009/965/EU	Mid 2015

Project 2.4 Implementation of Interoperability Directive (including interoperability report, activities related to conformity assessment and NB-Rail, opinions and advices)

The Agency has the responsibility to monitor the progress with railway interoperability in the European Union. This includes the follow up of the original evaluation of the transposition of the Interoperability Directive in the different Member States, and the monitoring of the work of the NoBos and of the National Safety Authorities (NSAs). The report will be structured around a set of indicators to assess the development of the legal and institutional framework as well as the progress of introduction of interoperability constituents and TSI-compliant vehicles and lines in the railway market. The report will also examine the data available in ERA registers and in the National Vehicle Registers. The Agency will pave the way to ensure full consistency between the EVR and the NVRs. The purpose of the report is to provide up-to-date data and to analyse the trends by comparison with the data from previous reports. The report may be presented simultaneously with the biannual report on Safety performance.

The Agency will continue developing a sectorial accreditation scheme for NoBos based on Annex VIII of Directive 2008/57/EC. The Agency will further analyse the current system to monitor the quality of the work performed by the NoBos as basis for a subsequent revision. The two projects aim at improving the confidence in the EC verification process.
Furthermore, the Agency will attend all meetings of the notified body coordination group as observer. Subject to a relevant Commission mandate, the Agency will revise Decision 2010/713/EU on modules e.g. to include modules for the assessment with reference to notified national technical rules (NNTRs).
As appropriate, the Agency will organise and chair meetings of the conformity survey group in order to provide consistency between the chapters 6 on the EC conformity assessment of the different TSIs. The current Memorandum of Understanding for providing technical secretariat for railway notified bodies ends on 31.12.2014. However, within the capacity allowed by all other tasks assigned to the Agency and taking into account the relevant priorities and the resources available , the Agency will endeavour to support the Commission in that regard until an alternative solution is adopted and implemented.

Significant output(s)	Legal Basis	Planned timing
Report on progress with railway interoperability	Agency Regulation Art. 14(2)	End 2015

issued

Agency Regulation Art. 21(b)

ERA advice on an improved sectorial accreditation   End 2015
scheme for NoBos submitted to EC

Project 2.5 Authorisation of Railway Vehicles

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. Following the work already started in 2014 on OSS, the Agency will continue to develop putting in place the first pilot projects for subsystem and railway vehicles. This initiative is an essential preparatory step that will enable the Agency to define and elaborate the processes, practices and procedures necessary to achieve the Agency's envisaged future role as an authority granting authorisations valid in several Member States. Taking account the 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 of the authorisation process. The Agency will also follow the progress of actions from the Vehicle Authorisation Task Force.

It is an essential prerequisite for successful implementation of the 4th railway package that a common understanding of the concepts, roles and responsibilities and required documentation is adopted by all MS and the Agency. It is also necessary to define a common workflow (Flowcharts for Authorisation). The Agency will commence work on this in summer 2015. Discussions will be held with NSAs and a working group will be set up. The working group will prepare proposals for the implementation of the 4th railway package

Significant output(s)	Legal Basis	Planned timing
Drafting additional guidance documents, update the Reference Document Application Guide	Agency Regulation	Ongoing
Development and Preparation of the framework for authorization envisaged by the 4th railway package	Agency Regulation	Ongoing

Project 2.6 Implementing the Framework for Vehicle Authorisation in the European Union

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 the Agency Database, as well as ensuring its good functioning

Taking into account the different approaches, the Agency will produce further clarification on authorisation process in order to converge to a common approach. The Agency completed the initial evaluation of the transposition of the Interoperability Directive for the European Commission in 2013. As of 2014, the work

will primarily involve, on request of the commission, the follow up of the original evaluation and the revision of real case studies in order to understand practical implementation and related issues that might arise. This will include feedback from applicants. In cooperation with the NSA network, an NSA cross-audit programme is running. 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 2103, 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 the RISC.

In autumn 2015 starting with a small number of volunteers "pilot" Member States, the Agency will develop a procedure to facilitate the MS to migrate to a fully conforming and consistent authorisation process based on the EU process flow charts for the existing and future directives.

The Agency will continue to participate in real authorisation cases ("learning cases") in order to a) learn from real cases b) offer advice and guidance on the EU framework to applicants, NSAS and other involved parties c)identify and correct problems, errors and ambiguities in the EU framework and TSIs. The vehicle authorisation issues tracking system will be used to ensure a systematic approach to this task.

Significant output(s)	Legal Basis	Planned timing
Update and maintain the NLF on Vehicle Authorisation for 28 Member States	Agency Regulation	Ongoing
Pilot procedure for facilitation of MS to migration to the EU process	Agency Regulation	End 2015

Project 2.7 Provision of tools & IT services related to Authorisation of Railway Vehicles

The Agency will based on the work to define the authorisation process, develop the business specification for the functionality required for the Vehicle Authorisation "One Stop Shop" database envisaged by the 4th Railway Package.

The Agency has set up and currently manages the Reference Document Database (RDD) which contains the national rules for authorisation and assists the Commission with the management and administration of the database of notified national rules, NOTIF-IT. The Agency will in 2015 continue to develop and improve the RDD, prepare to take over from EC the NOTIF-IT database during 2016 and will develop a plan for the "Single Rules Database" for National Technical Rules and National Safety Rules envisaged by the 4th Railway Package.

Significant output(s)	Legal Basis	Planned timing
IT Project Management & data consistency: Improved RDD functionality "user friendliness", administration and maintenance of NOTIF-IT.	Agency Regulation	End 2015
Key principles and outline plan for the Single Rules Database	Agency Regulation	end 2015

Project 2.8 Dissemination (incl. training) and communication of information related to Authorisation to railway sector (including Member State authorities, RU, IM, Manufacturers, DeBo, NoBo …)

The Agency will provide a structured programme of training and dissemination of the EU framework for authorization in order to have 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.

Significant output(s)	Legal Basis	Planned timing
Preparation and organisation of up to 5 training courses for staff of Member States managing RDD	Agency Regulation	End 2015
Preparation and organisation of up to 5 training courses for experts of the railway sector regarding applications for authorisation in accordance to the European Legal Framework	Agency Regulation	End 2015
Production of training and guidance documentation according to customer needs	Agency Regulation	

Project 2.9 Cooperation with Standardisation Bodies

In order to support the development of TSIs and ensure their efficient implementation, the Agency coordinates its TSI-related activities with the European Standardisation Organisations (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, also with the aim of promoting and speed up the development of the standards which are the most needed by the railway sector. Cooperation with research organisations is covered under point 5.7.

Significant output(s)	Legal Basis	Planned timing
Requests for Standards (RfS) and contributions to standards drafted with aim at closing the open points in TSIs	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8	Ongoing

Project 2.10 Harmonized EU framework for operation (TSI OPE) and workers performing safety critical tasks (including train drivers)

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.
In parallel, the Agency will continue to monitor the correct implementation of TSI OPE and further develop its Appendix B on common operational rules and principles. Appendix C of OPE TSI on safety related communications methodology will also be revised taking into account the results of the study launched by

the Agency in 2014. Regarding staff accompanying trains, the Agency will look in detail into the appropriate level of language competence according to the Common European Framework Reference. Following the 2013 report on the implementation of the Train Drivers Directive, the Agency will continue in 2015 (and possibly beyond) the elaboration of proposals for necessary amendments and potential improvements to the Directive itself as well as to related non-legislative acts. This will be done with the help of a 'support group', including representative bodies and NSAs. The overall aim is to facilitate rail transport at EC borders and to gain experiences on railway technology and operation developments in other areas of the world.

On the basis of Article 17 of the Agency Regulation, the Agency will evaluate National Rules in regard to other staff groups performing safety critical tasks and develop common provisions if required and where appropriate.
Article 17 of the Agency Regulations also provides for the development of conditions for accreditation of training centres and examiners. Accreditation may be used as alternative measure for recognition by competent authorities. This task has currently not much support by the sector. However, if confirmed by the Commission, the Agency will arrange for the required conditions in co-operation with the European Association for Accreditation (EA) and the sector.

Finally, the Agency will start the first wave of facilitation actions aiming at informing the impacted rail stakeholders and Member States (e.g. by running dissemination of the TSI OPE and by organizing seminars also concerning the certification scheme for train drivers).

Regarding the transposition of the Train Driver's Directive in national law, the Agency will continue to provide support to Member States on request by the Commission services.

Significant output(s)	Legal Basis	Planned timing
Meetings of the support group	Agency Regulation Art. 12	End 2015
Dissemination seminars held	Agency Regulation Art. 12	End 2015

Project 2.11 Support to the preparation of calls for proposals and evaluation of Interoperability projects in cooperation with the Commission and INEA (Innovation and Networks Executive Agency)

Based on the availability of resources, the Agency will support the Commission and INEA in drafting calls for proposals and in the evaluation process of the call. Furthermore, the Agency might be requested to monitor the progress of ongoing projects funded within the interoperability priority, namely the verification of compliance with TSIs.

Significant output(s)	Legal Basis	Planned timing
Agency position taken into account by INEA and EC	Agency Regulation Art 21a	On request

Activity 3 - Single EU Train Control and Communication System

The European Railway Traffic Management System (ERTMS) is an important industrial project for Europe and a major step for an interoperable railway system and the progressive establishment of an open market in the sector. The Agency fulfils the role of system authority for the ERTMS specifications: its priorities are to maintain the stable and consistent set of specifications, its timely release of these, and ensuring the resolution of errors, favouring investment decisions and protecting existing installed base.

The Agency will develop, consult on, and publish the framework for the long term, regular management of the specifications, with a comprehensive timetable to deliver the contents. A project will be defined for the delivery of the next maintenance release, with clear estimation of resources and milestones; the Agency will provide the project management function. When requested by the European Commission, the Agency will provide its technical advice and opinions in the field of ERTMS. 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 2012/88/EU and make any appropriate recommendations which may provide support to the INEA 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.

Project 3.1 Change Control Management for ETCS and GSM-R

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 Agency will make available the intermediate results of the resolution of the Change Requests, based on the CCM database. The work includes issuing of guidelines for implementing ERTMS; improved test specifications; work on ensuring backward compatibility; definition of standard interfaces where appropriate, including the Key Management System (KMS); 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.

Significant output(s)	Legal Basis	Planned timing
Recommendation on maintenance release, supported by an effective maintenance release and software version management	Agency Regulation	End of 2015

Project 3.2 Development of the requirement for the evolution of the railway communication system

Take the lead on the many initiatives aimed at defining the future of GSM-R and the bearer independency for ETCS data transmission; organise the discussion on the time plan for the adoption of new technologies while preserving the functional interoperability requirements and attractiveness of using the railway for final users; 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 MOVE and DG CONNECT on interferences, and will take this into account for the evolution of the railway communication system.

Significant output(s)	Legal Basis	Planned timing
Release of the high level requirements for the communication system based on technical and economic arguments	Agency Regulation	End 2015

Project 3.3 Sharing best practices in implementations and promotion of engineering guidelines and operation

The Agency continues, where appropriate, to produce harmonised guidelines (with the support of the sector and the involvement of the ERTMS MoU Steering Committee). National Rules, only allowed in the cases foreseen by the Interoperability Directive, can hamper interoperability: the Agency, in the frame of the project to facilitate the cleaning of national rules will monitor with special focus rules which can be in contradiction with the introduction of ERTMS as the harmonized interoperable system. 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; define 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.

Project 3.4 Support to the evaluation of ERTMS projects in cooperation with the Commission and INEA

Based on the availability of resources as a technical support to INEA and the European Commission, the Agency will monitor the ERTMS funded projects with the help of external technical experts to verify compliance with CCS TSI.

Significant output(s)	Legal Basis	Planned timing
Agency position taken into account by INEA and EC in priorities, call definitions	Agency Regulation Art 21a	On request

Project 3.5 Promotion and facilitation of testing, certification and authorisation for ERTMS

In the preparation phase for future enlarged responsibilities, the Agency will take a more active and pragmatic approach in reacting to questions from stakeholders related to the application of the TSI CCS. The Agency will support the European Commission in the follow up and the revision 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 as well as keepers and owners of locomotives and EMUs/DMUs. 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.
To ensure the viability of regular updates of the complex software based system, the Agency will analyse in cooperation with the National Safety Authorities, the possible options to ensure efficient application of the EU railway legislation to software updates. The findings and results of the activities are reported in the documents concerned, Guidelines/Checklists (especially common checklist for TSI CCS) will be elaborated where necessary.

Significant output(s)	Legal Basis	Planned timing
Providing guidelines in relation to ERTMS	Agency Regulation Art 21a	End 2015
ERTMS conference	Agency Regulation	May 2015

Activity 4 - Simplified Access for Customers

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 pre-requisite 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 of stations and trains for persons with reduced mobility (PRM), ranging from disabled or impaired people to prams and heavy luggage carriers. All improvements in this matter would benefit not only the PRMs, but also all passengers and the system itself by improving passengers' 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.

Project 4.1 Database of interoperability and safety (ERADIS)

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.

In addition, the Agency is maintaining ERAIL (European Railway Accident Information Links) databases, originally developed with the Commission's Joint Research Centre, covering accident investigation reports, safety recommendations and common safety indicators.

Significant output(s)	Legal Basis	Planned timing
ERADIS information verified and available to any interested parties	Agency Regulation Art. 19	ongoing

Project 4.2 Registers for vehicles (ECVVR, ERATV…)

The Agency develops further and maintains the ERATV (European Register of Authorised Type of Vehicles) and ECVVR (European Central Virtual Vehicle Register) both in collaboration with the NSAs, as well as the VKM (Vehicle Keeper Marking) register in collaboration with OTIF. The possibility of interfacing the various vehicle-related registers to each other will also be analysed and communicated to the MSs and EC.

Significant output(s)	Legal Basis	Planned timing
Intermediate report on the rationalisation of vehicle-related Registers	Agency Regulation Art. 18 and 19	September 2015
ERA proposal for a roadmap for compliance of vehicle-related register with the 4th Railway Package.	Agency Regulation Art. 18 and 19	End 2015

Project 4.3 Register of infrastructure (RINF) and PRM inventory of assets

The Agency develops further and maintains the specifications and the CUI (Common User Interface) of the RINF (Railway Infrastructure Register) in collaboration with the experts and the NREs (national registration entities). The major tasks of the Agency include to make the CUI available to stakeholders and to support the MSs in the implementation of the RINF Decision, in particular in the population of RINF with data related to the Freight corridors. The Agency shall ensure that there is clarity between the information presented in the RINF and the information presented in the Network Statement, bearing in mind the requirements of the end users

The Agency will have identified in 2014 the form of the PRM inventory of assets, and clarified the exact information required from stakeholders. 2015 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.

Significant output(s)	Legal Basis	Planned timing
CUI available to stakeholders	Agency Regulation Art. 18	January 2015
RINF guide published	Agency Regulation Art. 18	January 2015

Project 4.4 Telematics applications Passengers and Telematics applications Freight

The Agency acts as system authority by supporting the railway sector on the technical specifications, with a multiple purpose: continue to lead the change control management (similar to the successful system for ERTMS, using the same tools); support full compliance of technical developments with the TSI; prepare TSI updates whenever these prove to be necessary for a successful implementation. In addition, the Agency will monitor the actual deployment of the telematics TSIs and report to the EC on progress in implementation and identifying obstacles. The Agency will simultaneously start the first wave of facilitation actions aiming at informing the impacted rail stakeholders and Member States authorities (e.g. by running dissemination seminars).

Significant output(s)	Legal Basis	Planned timing
Monitoring deployment tool in place	Agency Regulation Art. 12	End 2015
Dissemination seminars held	Agency Regulation Art. 12	End 2015

Activity 5 - Evaluation, Management and Resources

The horizontal activities supporting the Executive Director and the Agency's operations are carried out by the Corporate Management and Evaluation Unit and the Resources and Support Unit. The Corporate Management and Evaluation Unit is responsible for the Agency's strategy and business planning, its quality programme, communication, internal audit, legal affairs and the Economic Evaluation of the Agency's work. 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. Transversal projects as the international relations management and the railway research coordination belong as well in this activity.

The legal basis for the Agency's horizontal and support activities 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, more specific legal basis for these activities is a number of internal administrative instructions and orders issued by the Executive Director which allow the Agency to operate and function or other EU and national legislation that applies and could serve as the basis for the aforementioned activities.

In accordance with the adopted strategic orientation of economic evaluation from 2014, the core activities in this area will in 2015 encompass the following:
- Comprehensive policy evaluation for each of the four operational activities
- Early assessment of all potential projects considered by the Agency including those suggested on the basis of the regulatory fitness checks
- Impact assessments

In addition to these tasks all linked to the four operational activities it is also foreseen that a number of horizontal tasks will be undertaken. These tasks are of relevance to all the operational activities. Key horizontal activities are grouped as follows:
- System data management and railway indicators;
- Assessment toolbox development and management;
- Prioritisation scheme development and management.

Overall, this set of interrelated economic evaluation tasks will provide the framework for ensuring that Agency measures contribute to make the railway sector more competitive; in short that 'the Agency is doing the right things'. 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.

Project 5.1 Comprehensive policy evaluation for each of the four operational activities

This will involve an extensive analysis of the current issues faced by the stakeholders as well as at system level per operational activity area. In particular, on the basis of the available evidence and return of experience, the evaluation will be undertaken in order to analyse possible explanatory factors for the observed trends. To this end regular measurement of railway indicators (RIs) will be performed. Although the main purpose of the analysis is to understand the main issues and their underlying factors, the analysis may also contribute to the formulation of suggestions for

amendments to legislative measures or of possible new measures. For 2015 the focus will be on the preparation of the specific methodology to be used for each of the four operational activities taking into account the data gathered for the Railway Indicators. An interim report will be delivered for two of the operational activities being 'Removing technical barriers' and 'Single European Train Control and Communication System'.

Significant output(s)	Legal Basis	Planned timing
Methodology for the comprehensive policy evaluations for the four operational activities	Agency Regulation	End 2015
Railway Indicator (RI) tables	Agency Regulation	Mid 2015
Interim report for "Removing Technical Barriers" and "Single European Train Control and Communication System"	Agency Regulation	

Project 5.2 Early assessment of all potential projects considered by the Agency

The Agency will apply an early assessment process applicable to all potential projects of the Agency under consideration. A key element will be to determine whether the issues identified are likely to be influenced positively by Agency action and the risks if no Agency action is undertaken. The early assessment process should be a tool to answer the questions: a) Is Agency action necessary and in line with the EU legislative framework; b) Is impact assessment work required in order to determine the content of the Agency action? In this regard the early assessment process will provide the basis for priority setting as a Go/No go filter, in close collaboration with all operational units. The result of the early assessment activity will be integrated into the Work Programme 2016 and presented to the Administrative Board.

Significant output(s)	Legal Basis	Planned timing
Early assessment reports for new and relevant projects in all four operational activities	Agency Regulation	End 2015

Project 5.3 Impact assessments

On the basis of the early assessments impact assessments may be required to determine the best option(s) to achieve the objectives behind each of the possible Agency actions while minimizing any negative impacts. Three types of cases may result from the early assessment according to the proportionality principle: (a) no need for impact assessment; (b) light impact assessment needed; (c) full impact assessment required. In general, any Agency action which is expected to have significant impacts needs to be preceded by a full impact assessment. Furthermore, It is foreseen that for a limited number of projects for which there are likely to be significant impacts and/or significant stakeholder concerns, close cooperation between the Agency and DG MOVE will be established. It has been agreed that such a cooperation will be necessary for the following 2015 Work Programme projects:

- 01.7 Freight, Harmonisation of the ECM certification process; cooperation of certification bodies
- 03.2 Development of the requirement for the evolution of the railway communication system
- 04.2 Registers for vehicles (ECVVR, ERATV…)

Extent and modus operandi of the cooperation will be determined for each project individually, depending on its nature and evolvement over the time

Project 5.4 Data analysis & methodologies (incl. assessment tools)

Building on the work on system data management in 2014 the Agency will seek to address data fragmentation in the railway sector by facilitating cooperation and information exchange between the different stakeholders taking into account the following aspects: data requirements, data sources / providers, data storage / access, data analysis and representation. Similarly, further activities are foreseen in 2015 for assessment toolbox development and management to examine the spectrum of methodologies covering both quantitative and qualitative approaches. Work on the prioritisation scheme will in 2015 focus on its testing. This will provide information on the experiences with the scheme, especially on the criteria and parameters considered. The outcome of the testing will provide the basis for further refinement of the scheme.

Project 5.5 International relations

The Agency has a policy on international relations in order to analyse the different requirements and to investigate the possibilities to achieve consistency. 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 will develop MoUs for cooperation, attend meetings, workshops and seminars with third parties or support the European Commission in meetings.

The Administrative Arrangements between OTIF, DG MOVE and the Agency signed in Brussels on 24th October 2013 enable these three players to better plan the activities of common interest and to prioritise the tasks using their resources efficiently. The Agency will continue to assist the Commission in its cooperation with OTIF to establish and maintain equivalence between the EU and OTIF legislation concerning railway interoperability and safety to the extent necessary for international rail traffic. The purpose of this cooperation is to facilitate the rail transport services and recognition of authorisations for placing in service and admission to operation between the EU Member States and non-EU OTIF Contracting States.

Significant output(s)	Legal Basis	Planned timing
Support to the Commission to set up international agreements	Agency Regulation Art. 1	On request
Information exchange and participation in activities of mutual interest to draft equivalent technical specifications at EU and OTIF	Agency Regulation Art. 1, OTIF-DG MOVE-ERA Administrative Arrangements	In accordance with ERA and OTIF Work Programmes

Facilitating of know-how transfer on railway operation, technology, regulation between EU and third countries	Agency Regulation	Ongoing
Cooperation with OSJD aimed at facilitation of the TSI revision progress	Commission Decision C(2010)2576 final ERA Recommendation ERA/REC/03-2008/INT	Ongoing
Facilitation of Cross-border traffic with third countries	Agency Regulation	Ongoing

Project 5.6 Stakeholder management

The Agency 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.

Significant output(s)	Legal Basis	Planned timing
Organising at least 3 NRB meetings with an continuously improving level of customer satisfaction	Agency Regulation	End 2015

Project 5.7 Co-ordination and monitoring of research activities in the field of railway transport

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 assists these bodies in the definition of scope and aims of research projects to ensure the outputs best meet the needs of the single European Rail Area.
Following the set up of the Joint Undertaking Shift²Rail most of the Agency's activity relating to research will be focused on providing technical support to Shift²Rail.

Significant output(s)	Legal Basis	Planned timing
Proposing possible amendments to the Shift²Rail Master Plan and to the annual work plans	Shift2Rail Regulation	To be determined according to emerging development of Sfift2Rail Joint Technology Initiative
Proposing, after consultation with the stakeholders of Shift²Rail Regulation, guidelines for research and	Shift2Rail Regulation	To be determined according to

development activities leading to technical standards with a view to guaranteeing the interoperability and safety of results		emerging development of Sfift2Rail Joint Technology Initiative
Reviewing the common developments for the future system and contributing to defining target systems in regulatory requirements;	Shift2Rail Regulation	To be determined according to emerging development of Sfift2Rail Joint Technology Initiative
Reviewing project activities and results with a view to ascertaining their relevance to the objectives identified in Article 2(2) of this Regulation and to guaranteeing the interoperability and safety of research results	Shift2Rail Regulation	To be determined according to emerging development of Sfift2Rail Joint Technology Initiative

Project 5.8 Opinions and advice

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.

Any report, advice and opinions requested by the EC will have an impact on the workload which is difficult to anticipate

Significant output(s)	Legal Basis	Planned timing
Advices and opinions issued within the agreed deadlines	Agency Regulation Art. 2(b), 9a(3), 10, 15, 21b(2)	On request

Project 5.9 Quality Management and audit/control

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, assessing, monitoring and measuring the processes in place and their related outputs including the functioning of the internal control systems in order to provide reasonable assurance to the Executive Director that suitable controls are in place and working as intended, risk are being mitigated and improvements are being implemented.

Significant output(s)	Legal Basis	Planned timing
Developing and implementing Quality processes,	Agency Regulation	According to the

procedures and other documents in the QMS including those necessary to satisfy internal control requirements and to manage risks		Quality Steering Group workplan
QMS review report of the ERA Management System including the assessment of the ICS and ISO requirements	Financial regulation	According to the Quality Steering Group workplan

Project 5.10 Strategy and Business Planning

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.

Significant output(s)	Legal Basis	Planned timing
Drafting and finalising the annual work programme	Agency Regulation	First draft February 2015, final version for approval October 2015

Project 5.11 Legal Affairs

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.

Project 5.12 Communications

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.

Significant output(s)	Legal Basis	Planned timing
Updated communication plan and improved tools according to return of experience	Agency Regulation	March 2015

Project 5.13 Resources (human and financial)

The finance, accounting and procurement activity encompasses all on-going tasks in relation to the preparation and execution of the budget (including financial initiation of commitments and payments); reporting on the budgetary execution; accounting; relations with the Court of Auditors; coordination of the procurement planning and provision of support in the preparation and implementation of procurement procedures. Given the foreseen adoption of the 4th Railway Package in 2014, the Agency will need to explore the possibilities of external financing and prepare for the necessary changes this might have on its financial processes and/or systems. In this context it will also need to explore the possibility of introducing an e-procurement system and a paperless workflow for the handling of its financial transactions. Human Resources secures the full range of human resources management services including recruitment, engagement, individual entitlements, learning & development, CDR, reclassification, data protection, administration, reporting, … in compliance with the legal framework. HR shall also support the Agency in terms of resourcing and developing skills in order to prepare for new tasks, such as the 4th Railway Package and Shift2Rail.

On matters relating to staff, the Agency's Staff Committee is consulted in accordance with the provisions of the Staff Regulations. A wider dialogue with staff shall take place in particular in regular meetings with members of the Staff Committee, in ad hoc working groups and in staff assemblies.

Significant output(s)	Legal Basis	Planned timing
95% of the establishment plan filled at the end of the year	Agency Regulation	End 2015
95% of appropriations committed	Agency Regulation	End 2015
At least 95% of invoices paid within legal deadline (30 days)	Agency Regulation	within the regulatory time limits
Execution of payment vs committed appropriations (average all types of appropriations)	Agency Regulation	End 2015

Project 5.14 Information Technology and Facilities

The ICT service offers are carried out by in-house staff and contractors working on site. In 2015, based on the business needs and operational demands, the Agency will optimize its core IT functions and deliver valued IT services, adopting those technologies that will support best the ICT strategy agreed in 2014, in a paperless and environmentally friendly approach. 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. 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.

Significant output(s)	Legal Basis	Planned timing
2-5 initiatives undertaken to improve health & safety conditions	Agency Regulation	End 2015

| No security incidents causing financial loss, business disruption or public embarrassment | Agency Regulation | End 2015 |
| Establishment of ERA and Commission mutual access to rail databases in cooperation with the Commission | Agency Regulation | End 2015 |

Project 5.15 Preparation for the 4th Railway Package

On 17 June 2015, the Latvian presidency of the Council struck a provisional deal with the European Parliament on new rules to improve interoperability and safety authorisation procedures for European railways. The reform also gives new tasks to the Agency. Together, the two directives and a regulation make up the technical pillar of the 4th Railway Package.

In light of these developments during 2015, the Executive Director established a task force in charge of the overall coordination of the 4th Railway Package preparation programme.

Significant output(s)	Legal Basis	Planned timing
Establishment of a Task Force to prepare for the implementation of the 4th Railway Package	New Agency Regulation	Ongoing
Roadmap with milestones	New Agency Regulation	Ongoing
Coordination of tasks in relation to the 4th Railway Package in other Activities	New Agency Regulation	Ongoing

Annex I: Overview of all outputs

WP-Activity	WP-Project	Nr	Output	Legal basis	Timing	Significant output
Activity 1 - Harmonized Safety Framework	01.01 EC Task Force for a Single Safety Certificate	1	Delivery of milestones in the RISC Task Force programme plan	Agency Regulation Art. 6, Directive 2004/49/EC Art. 10 and 6	Set out in programme plan	yes
	01.02 Networks and information exchange	2	NSA and NIB Network improved functioning. Measured by annual survey action plan	Agency Regulation	End 2015	yes
		3	NIB network initiates work to migrate to new structure for NIB cooperation, including peer reviews	Revised Agency regulation	November 2015	Yes
		4	Development of an IT tool that facilitates the exchange of safety alerts between sector organisations.		End 2015	yes
		5	Development of the safety information system to allow all actors to share safety information	Directive 2004/49/EC Art. 21, Agency Regulation Art. 6	End 2015	yes
		6	Human factors Network establishes integration with Agency work streams	Agency Regulation Art. 6, Directive 2004/49/EC Art. 17 and 21	End 2015	
	01.03 Safety Monitoring	7	CST annual report to the European Commission/RISC	Agency Regulation Art.9, Commission Decision	March 2015	yes

				2009/460/EC Art.1		
		8	Extension of Regulatory Monitoring Matrix to at least 12 Member States by end 2017 by including the priority countries in the Matrix	Agency Regulation Art. 9	As set out in priority countries programme for 2015	yes
		9	Development and dissemination of CSI data	Agency Regulation Art. 9	End 2015	
		10	Analysis of safety information like e.g. CSIs accident reports, NSA/NIB annual reports; view on MS and EU safety level, input for safety priority setting	Agency Regulation Art. 9	Ongoing	
		11	Report on early return of experience for the ECM certification scheme	Directive 2004/49/EC Art. 14a, Regulation (EU) 445/2011 Art. 6	End 2015	
		12	Research project to understand how IMs can better control risks of unauthorised persons and suicides on the railway	Agency Regulation Art. 9	End 2015	
	01.04 Audit & Assessment programme	13	Voluntary assessments conducted of (countries to be identified)	Agency Regulation Art. 6, Directive 2004/49/EC Art. 21	According to audit programme	
		14	Report to RISC, conduct of cross-audits	Agency Regulation Art. 6, Directive 2004/49/EC Art. 17	2013-2017 cycle started	
		15	Conduct of cross-audits Poland, Sweden, Channel Tunnel, Romania, Austria, Norway, Denmark, Italy	Agency Regulation Art. 6, Directive 2004/49/EC Art. 17	15 month audit covered in 2013-17 audit cycle	

		16	24 training for cross-auditors, support to Audit Committee, development of NSA cross-audit framework, maintenance of supporting webtool	Agency Regulation Art. 6, Directive 2004/49/EC Art. 17	Ongoing	
	01.05 Improving Safety Performance	17	Review of safety of priority countries and development of collaboration programme	Agency Regulation Art. 9	Priority Programme plan sets out clear timescales	yes
		18	Development of a topic dissemination plan based on initial Matrix outputs	Agency Regulation Art. 9	End 2015	yes
		19	Launch research programme on use of behavioural techniques to reduce fatality rates in suicide/unauthorised persons categories	Agency Regulation Art. 9	April 2015	yes
		20	Development of risk profile tool to allow safety benchmarking and prioritisation	Agency Regulation Art. 9	End 2015	
	01.06 Promoting transparency and reduction of National Safety Rules	21	Review of type 6 rules and clustering of requirements. Proposals to allow either removal of rules or inclusion in European rules to be made based on review		End 2015	yes
		22	Workshop on common occurrence monitoring in the EU	Agency Regulation Art. 9	October 2015	
		23	Workshop on national safety plans	Agency Regulation Art. 9	November 2015	
		24	Applying and updating the "Rules Management Tool"	Agency Regulation Art. 6	Ongoing	
		25	Preparing a transfer of NOTIF-IT from EC to ERA	Agency Regulation Art. 19	End 2015	
		26	Assistance to the European Commission for maintaining and improving Notif-IT for national safety rules	Agency Regulation Art. 19	Ongoing	
		27	Check of NSR registration, evaluation of draft and adopted rules for the European Commission	Agency Regulation Art. 9a	Ongoing	

	01.07 Freight	28	Harmonisation of the ECM certification process; cooperation of certification bodies	Regulation (EU) 445/2011 Art. 6, Regulation (EU) 402/2013 Art. 14	Ongoing	
		29	Organisation of two workshops related to the Transport of Dangerous Goods	Agency Regulation Art. 21b	1st and 2nd semester 2015	
		30	Organisation of freight focus group meetings to address needs related specifically to rail freight transport	Agency Regulation Art. 6, Directive 2004/49/EC Art. 17	Ongoing	
		31	Conduct a Working Party and develop common positions; continued reporting to the European Commission; supporting the European Commission positions in OTIF	Agency Regulation Art. 21b	Ongoing	
		32	Support to the European Association for Accreditation (EA)	Directive 2004/49/EC Art. 14a, Regulation (EU) 445/2011 Art. 6, Regulation (EU) 402/2013 Art. 14	Ongoing	
Activity 2 - Removing Technical Barriers	02.01 Harmonized EU rules for vehicles (including all structural TSIs)	33	Loc&Pas TSI including provisions for unique EU vehicle authorisation	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8	End 2015	yes
		34	Maintain up to date database of authorisation processes (National Legal Framework) in each Member State	Commission Decision 2011/155/EU Art. 1	Ongoing	
		35	Development of templates for content of authorization file for information to be exchanged with authorities or documents to be issued by authorities	Agency Regulation		
		36	Recommendation on the TSI LOC&PAS revision follow-up	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8	End 2015	

	02.02 Harmonized EU rules for networks (including all structural TSIs)	37	Number of "open points" closed	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8	In line with the roadmap	yes
		38	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 Art. 12, Directive 2008/57/EC Art. 6	End 2015	
		39	TSI CCS - Closure of the open points: quality of sand, safety requirements for the ETCS DMI.	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8	End 2015	
		40	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 Art. 12, Directive 2008/57/EC Art. 6	End 2015	
		41	TSE ENE - Progress in the closure of the open point (energy metering and OCL)	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6	End 2015	
		42	TSI INF - Progress in the closure of open points - study reports	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6	End 2015	
		43	TSI NOI - Report of studies on particular issues (noise reduction, local measures)	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8	End 2015	
		44	Recommendation on the TSI WAG revision follow-up	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8	End 2015	
	02.03 Cleaning up of National Technical Rules	49	List of parameters (Decision 2009/965/EC) updated to reflect TSI scope extension and published	EC Decision 2009/965/EU	Mid 2015	yes
		46	Creation and full implementation of a structured plan of concrete actions for the Agency to assist MS fully "clean up" and	Agency Regulation	October 2015	yes

			notify their National Technical Rules to reflect the scope extended TSIs			
		47	Regular reporting to the Commission and RISC of MS progress in "cleaning up" of rules.	Agency Regulation	October 2015	yes
	02.04 Implementation of Interoperability Directive (including interoperability report, activities related to conformity assessment and NB-Rail, opinions and advices)	50	ERA advice on an improved sectorial accreditation scheme for NoBos submitted to EC	Agency Regulation Art. 21(b)	End 2015	yes
		51	Report on progress with railway interoperability issued	Agency Regulation Art. 14(2)	End 2015	yes
		52	Opinion on the evaluation of railway projects and requests for TSI derogations sent to the EC	Agency Regulation Art. 15	On request	
		53	Feedback from NB Rail for TSI drafting. Recommendations for Use (RFUs) drafted by NB-Rail checked by ERA during the drafting process of RFU	Agency Regulation Art. 12	Ongoing	
		54	System allowing detection of potential incorrect transposition/implementation of the Interoperability Directive in place	Agency Regulation Art. 30	On request	
		55	Report on detected issues in relation to the implementation of the Interoperability Directive sent to the EC	Agency Regulation Art. 30	On request	
		56	Support to the EC for communication with Member States in relation to the transposition of the Interoperability Directive	Agency Regulation Art. 30	On request	

		57	Carrying out the tasks and providing the deliverables set out in the MoU between ERA and NB Rail	Agency Regulation Art. 12	Ongoing	
		58	Current system for monitoring quality of work of Notified Bodies analysed.	Agency Regulation Art. 13	On request	
		59	Support to the European Commission at the meetings with the European Association for Accreditation (EA) and advice concerning Notified Bodies accreditation policy	Agency Regulation Art.12, 13 and 21b	Ongoing	
		60	General part of the TSI Application Guide kept up-to-date - Specific TSI Application Guides published by the date of publication of the TSI	Agency Regulation Art. 12	Ongoing	
	02.05 Authorisation of Railway Vehicles	61	Development and Preparation of the framework for authorization envisaged by the 4th railway package	Agency Regulation	Ongoing	yes
		62	Drafting additional guidance documents, update the Reference Document Application Guide	Agency Regulation	Ongoing	yes
		67	Progress report on the European Commission vehicle authorisation Task Force Action. Suggestions for improvements to the framework.	Agency Regulation Art. 30, Directive 2008/57/EC Art. 30	End 2015	
	02.06 Implementing the Framework for Vehicle Authorisation in the European Union	68	Update and maintain the NLF on Vehicle Authorisation for 28 Member States	Agency Regulation	Ongoing	yes
		69	Participating in up to 6 Member States real authorisation cases on Vehicle Authorisation. Report on lessons learnt	Agency Regulation	End 2015	yes
		70	Specification of a "Unique Rules Database" for draft, applied and notified National Safety Rules and National Technical Rules	Agency Regulation	End 2015	

		71	Management of NOTIF-IT	Directive 2008/57/EC Art. 27 Decision 2011/155/EU Art. 1	Ongoing	
		72	Management of Reference Document Database including managing the Users' group	Directive 2008/57/EC Art. 27 Decision 2011/155/EU Art. 1	Ongoing	
		73	Pre-evaluation of National Technical Rules: Meetings with the European Commission every 2-3 months.	Directive 2008/57/EC Art. 27 Decision 2011/155/EU Art. 1	Ongoing	
	02.07 Provision of tools & IT services related to Authorisation of Railway Vehicles	74	IT Project Management & data consistency: Improved RDD functionality "user friendliness", administration and maintenance of NOTIF-IT	Agency Regulation	End 2015	yes
		75	Key principles and outline plan for the Single Rules Database	Agency Regulation	end 2015	yes
	02.08 Dissemination (incl. training) and communication of information related to Authorisation to railway sector (including Member State authorities, RU, IM, Manufacturers, DeBo, NoBo …)	76	Preparation and organisation of up to 5 training courses for staff of Member States managing RDD	Agency Regulation	End 2015	yes

		77	Preparation and organisation of up to 5 training courses for experts of the railway sector regarding applications for authorisation in accordance to the European Legal Framework	Agency Regulation	End 2015	yes
		78	Production of training and guidance documentation according to customer needs	Agency Regulation		yes
		79	Structured programme of training and dissemination of the EU framework for authorisation	Agency Regulation Art. 6, Directive 2004/49/EC Art. 17	Ongoing	
	02.09 Cooperation with Standardisation Bodies	80	Requests for Standards (RfS) and contribution to standards drafted with aim at closing the open points in TSIs	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8	Ongoing	yes
		81	ERA position on draft standards communicated to SBs in time	Agency Regulation	Ongoing	
	02.10 Harmonized EU framework for operation (TSI OPE) and workers performing safety critical tasks (including train drivers)	82	Dissemination seminars held	Agency Regulation Art. 12	End 2015	yes
		83	Meetings of the support group	Agency Regulation Art. 12	End 2015	yes
		84	ERA report sent to EC	Agency Regulation Art. 12	End 2015	
		85	Consistency of OTIF regulations, in particular UTP with the EU regulations, ensured	Agency Regulation Art. 30	Ongoing	
		86	National/regional workshops and dissemination seminars on TDD	Agency Regulation Art. 16b	On request/Ongoing	

		87	Meetings with CIT on issues common with TAP	Regulation (EU) 454/2011 Art. 3	Ongoing	
		88	National/regional workshops and dissemination seminars on OPE TSI	Agency Regulation Art. 16b	On request/Ongoing	
		89	Recommendation for the revision of Appendices B and C of OPE TSI submitted to EC	Agency Regulation Art. 12	2015Q3	
	02.11 Support to the preparation of calls for proposals and evaluation of Interoperability projects in cooperation with the Commission and INEA (Innovation and Networks Executive Agency)	90	Agency position taken into account by INEA and EC	Agency Regulation Art. 21(a)	On request	yes
Activity 3 - Single EU Train Control and Communication System	03.01 Change Control Management for ETCS and GSM-R	91	Recommendation on maintenance release supported by an effective release and software version management	Agency Regulation	End 2015	yes
		92	Follow up and if possible evaluation report on ATO, satellite navigation activities funded by EU programs. Coordination of the KMS specifications carried out by beneficiaries of TEN-T program	Agency Regulation Art. 21a	According MoU planning	
		93	Dissemination leaflet for GSM-R	Agency Regulation Art. 21a	2015Q3	
		94	Update/creation of documents for baseline 1 (GSM-R) for Annex A for 2015 Recommendation	Agency Regulation Art. 12 and 21a	according to Working Group calendar	
		95	Guidelines on interference management and co-existence GSM-R and public services	Agency Regulation Art. 21a	End 2015	
		96	Periodic reports on the status of the of Baseline 3 (ETCS) and baseline 0 (GSM-R)	Agency Regulation Art. 21a	Monthly	

			change control in the database			
		97	Test specifications for ETCS Baseline 3	Agency Regulation Art. 21a	Ongoing, for second maintenance release	
		98	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 Art. 12 and 21a	According to Project Management	
	03.02 Development of the requirement for the evolution of the railway communication system	99	Release of the high level requirements for the communication system based on technical and economic arguments	Agency Regulation	End 2015	yes
		100	Survey and definition of the high level requirements for the communication system; technology independence; long term migration to cope with GSM-R obsolescence	Agency Regulation Art 21a	Ongoing	
	03.03 Sharing best practices in implementations and promotion of engineering guidelines and operation	101	Harmonised Guidance for ERTMS (e. g. engineering guidelines)	Agency Regulation Art 21a	If further supported by the sector	
		102	Remit for a Working Group to support that ETCS data transmission will be bearer independent, report from the Working Group; review and position paper on the results of the TEN-T activity on the subject	Agency Regulation Art 21a	Ongoing	
		103	Report on the harmonized calculation of train data	Agency Regulation Art 21a	End 2015	

	03.04 Support to the evaluation of ERTMS projects in cooperation with the Commission and INEA	104	Agency position taken into account by INEA and EC in priorities, call definitions	Agency Regulation Art 21a	On request	yes
		105	Written feedback to INEA in regard to correct implementation of ERTMS	Agency Regulation Art 21a	according to bilateral plan INEA/ERA	
		106	Attending and supporting with expertises the ERTMS MoU Steering Committee meetings; ad hoc participation to selected meetings of the Management Committees of ERTMS Corridors	Agency Regulation Art 21a	According to SteCo calendar, and on request	
		107	Providing technical support to the ERTMS coordinator	Agency Regulation Art 21a	Ongoing	
	03.05 Promotion and facilitation of testing, certification and authorisation for ERTMS	108	ERTMS conference	Agency Regulation	May 2015	yes
		109	Providing guidelines in relation to ERTMS	Agency Regulation Art 21a	End 2015	yes
		110	Providing training for authorities and railways	Agency Regulation Art 21a	On request	
		111	Rules for calculating the ERTMS train data	Agency Regulation Art 21a	Work in progress - dependent on support from sector	
		112	Update and maintenance of the ERA database for operational feedback	Agency Regulation Art 12 and 21a	Ongoing	
		113	Reports to the European Commission on network/vehicle incompatibility risk	Agency Regulation Art 21a	Based availability of data by stakeholders	

		114	Support improved operation with ERTMS with the release and publication of guidelines	Agency Regulation Art 21a	Work in progress - dependent on support from sector	
		115	Support to DG MOVE, meetings with European Association for Accreditation (EA) and national accreditation bodies; analysis and facilitation of the accreditation process of the ERTMS test labs	Agency Regulation Art 21a	On request	
		116	Chairing the NBRail ERTMS ad hoc working group	Agency Regulation Art 21a	According to Working Group calendar	
Activity 4 - Simplified Access for Customers	04.01 Database of interoperability and safety (ERADIS)	117	ERADIS information verified and available to any interested parties	Agency Regulation Art. 19	Ongoing	yes
	04.02 Registers for vehicles (ECVVR, ERATV…)	118	Intermediate report on the rationalisation of vehicle-related Registers	Agency Regulation Art. 18 and 19	September 2015	yes
		119	ERA proposal for a roadmap for compliance of vehicle-related register with the 4th Railway Package	Agency Regulation Art. 18 and 19	End 2015	yes
		120	Application guides for NVR/ECVVR, ERATV, VKM and ERADIS kept up to date - Change management system in place - Management of the community of users in place - Disseminations workshops with users organised	Directive 2008/57/EC Art. 33, 34	Ongoing	
	04.03 Register of infrastructure (RINF) and PRM inventory of assets	121	CUI available to stakeholders	Agency Regulation Art. 18	January 2015	yes
		122	RINF guide published	Agency Regulation Art. 18	January 2015	yes

		123	Application guide kept up-to-date - Change management system in place - Dissemination workshops organised - Report to EC submitted	Agency Regulation	Ongoing	
		124	Application guide finalised and kept updated	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8	Ongoing	
		125	Prototype tools available for demonstration	Directive 2008/57/EC Art. 34 and 35; Decision 2008/164/EC	2015Q3	
	04.04 Telematics applications Passengers and Telematics applications Freight	126	Dissemination seminars held	Agency Regulation Art. 12	End 2015	yes
		127	Monitoring deployment tool in place	Agency Regulation Art. 12	End 2015	yes
		128	TAP CCM baseline delivered to the European Commission, keeping consistency between ERA TDs and UIC leaflets ensured according to the MoU signed in July 2013 between UIC and ERA	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8, Regulation 454/2011/EC Annex Art.7.5	Ongoing	
		129	Support to small RUs and ticket vendors to fulfill their obligations from regulation 454/2011/EC	Art 12 or specific Mandate	On request	
		130	Support to small RUs and customers to fulfill their obligation s from Regulation 62/2006/EC	Agency Regulation Art. 12	On request	

		131	Report on the implementation of conditions of carriages (PRM; bikes; car; luggage) submitted	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8, Regulation 454/2011/EC Annex Art.7,2,2,2		
		132	Report on the implementation of TAP Phase 2; TAP Phase 3 - Master plan delivered; retail architecture implemented; RU/IM communication architecture implemented	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8, Regulation 454/2011/EC Annex Art.7,2,2,2		
		133	Support the European Commission in the TAF Steering Committee (Steco)	Agency Regulation Art. 12	On request	
		134	Support the European Commission in the TAP Steering Committee (Steco)	Agency Regulation Art. 12	Ongoing	
		135	TAP location reference file updated and available on ERA website	Agency Regulation Art. 12, Directive 2008/57/EC Art. 6, 8, Regulation 454/2011/EC Art.3	Ongoing	
		136	TAF location reference file available on ERA website	Agency Regulation Art. 12	Ongoing	
		137	Changes to the TSI TAF managed through the CCM	Agency Regulation Art. 12, Regulation (EC) 62/2006 Art. 4b	Ongoing	
Activity 5 - Evaluation, Management and Resources	05.01 Outcome KPI monitoring and ex-post reporting per operational activity	138	Methodology for the comprehensive policy evaluations for the four operational activities	Agency Regulation	End 2015	yes
		139	Interim report for "Removing Technical Barriers" and "Single European Train Control and Communication System"	Agency Regulation	End 2015	yes
		140	Railway Indicator (RI) tables	Agency Regulation	Mid 2015	yes

	05.02 Prioritisation scheme and early assessments	141	Early assessment reports for new and relevant projects in all four operational activities	Agency Regulation	End 2015	yes
	05.03 Strategic ex ante assessments (incl. support to operational activity)	142	Strategic ex-ante impact assessments of up to 2 key recommendations per operational activity	Agency Regulation	According to recommendation planning	
	05.04 Data analysis & methodologies (incl. assessment tools)	143	Report on horizontal tasks in terms status and recommendation for work in 2016	Agency Regulation	End 2015	
	05.05 International relations	144	Information exchange and participation in activities of mutual interest to draft equivalent technical specifications at EU and OTIF	Agency Regulation Art. 1, OTIF-DG MOVE-ERA Administrative Arrangements	In accordance with ERA and OTIF Work Programmes	yes
		145	Support to the Commission to set up international agreements	Agency Regulation Art. 1	On request	yes
		146	Facilitating of know-how transfer on railway operation, technology, regulation between EU and third countries	Agency Regulation	Ongoing	yes
		147	Cooperation with OSJD aimed at facilitation of the TSI revision progress	Commission Decision C(2010)2576 final ERA Recommendation ERA/REC/03-2008/INT	Ongoing	yes
		148	Facilitation of Cross-border traffic with third countries		Ongoing	yes

		149	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 Art. 21b	On request	
		150	via IPA: promoting of the European Commission railway legislation in EU candidate countries or potential candidates	Agency Regulation Art. 30	Ongoing	
		151	Besides relationship with OSJD and OTIF mentioned separately, representing EU railway interests at UNEC WP, following the developments and report to the European Commission and to experts in the Agency	Agency Regulation	Meetings and exchange of information according to needs	
	05.06 Stakeholder management	152	Organising at least 3 NRB meetings with an continuously improving level of customer satisfaction	Agency Regulation	End 2015	yes
		153	Coordination of the NRB Network, organisation of NRB Network plenary meetings, seminars and workshops on specific topics	Agency Regulation	Minimum of 3 NRB meetings per year. Other events and activities as required	
	05.07 Co-ordination and monitoring of research activities in the field of railway transport	154	Proposing possible amendments to the Shift²Rail Master Plan and to the annual work plans	Shift²Rail Regulation	To be determined according to emerging development of Sfift2Rail Joint Technology Initiative	yes
		155	Proposing, after consultation with the stakeholders referred to in point (e) of Shift2Rail Regulation, guidelines for research and development activities leading to technical standards with a view to guaranteeing the interoperability and safety of results	Shift²Rail Regulation	To be determined according to emerging development of Sfift2Rail Joint Technology Initiative	yes

		156	Reviewing the common developments for the future system and contributing to defining target systems in regulatory requirements	Shift²Rail Regulation	To be determined according to emerging development of Sfift2Rail Joint Technology Initiative	yes
		157	Reviewing project activities and results with a view to ascertaining their relevance to the objectives identified in Article 2(2) of this Regulation and to guaranteeing the interoperability and safety of research results	Shift2Rail Regulation	To be determined according to emerging development of Sfift2Rail Joint Technology Initiative	yes
		158	Regular updates and dissemination of Agency Research needs	Agency Regulation	Ongoing	
		159	Coordination of the Agency's needs on research (and studies), reports and support to the European Commission services for research, co-ordination of Agency activities and relationship to research projects, institutes and organisations	Agency Regulation	ERA research needs synchronized with ERRAC & DG RTD calendars	
	05.08 Opinions and advice	160	Advices and opinions issued within the agreed deadlines	Agency Regulation Art. 2(b), 9a(3), 10, 15, 21b(2	On request	yes
	05.09 Quality Management and audit/control	161	Developing and implementing Quality processes, procedures and other documents in the QMS, including those necessary to satisfy internal control requirements and to manage risks	Agency Regulation	According to the Quality Steering Group workplan	yes
		162	QMS review report of the ERA Management System including the assessment of the ICS	Financial Regulation	According to the Quality Steering Group workplan	yes
		163	Review and update the Risk Register as part of the QMS	Agency Regulation	2015Q1, 2015Q3	yes

		164	As part of the QMS Review, reporting on audit activities and on the exceptions register	Agency Regulation	2015Q1	
		165	As part of the QMS Review, assessing the Internal Control Standards	Agency Regulation	2015Q3	
	05.10 Strategy and Business Planning	166	Drafting and finalising the annual work programme	Agency Regulation	First draft February 2015, final version for approval October 2015	yes
		167	Drafting and finalising the Annual Activity Report 2014	Agency Regulation	March 2015	
		168	Updating the multi-annual programme	Agency Regulation	November 2015	
		169	Execution monitoring, corrective actions and change management for the WP	Agency Regulation	Ongoing	
	05.11 Legal Affairs	170	Providing legal advice and legal opinions (general)	Agency Regulation	Ongoing	
		171	Implementation of Regulation (EC) 45/2001 in order to ensure compliance with personal data rules	Agency Regulation	Ongoing	
		172	Providing legal and administrative support to the Administrative Board and the Budgetary Sub-Committee	Agency Regulation	Ongoing	
	05.12 Communications	173	Updated communication plan and improved tools according to return of experience	Agency Regulation	March 2015	yes
		173	Agency participation at conferences/exhibitions (possible an Agency Conference, to be decided during the year)	Agency Regulation	May 2015 (Agency Conference), September 2015 (Innotrans)	
		174	Answers to external information requests via website	Agency Regulation	15 days after reception of request	
		175	Publication of the Annual Report and specific Agency reports, Flash News	Agency Regulation	Ongoing	

		176	Regular update of the ERA internal and external websites	Agency Regulation	Ongoing	
	05.13 Resources (human and financial)	177	95% of the establishment plan filled at the end of the year	Agency Regulation	End 2015	yes
		178	95% of appropriations committed	Agency Regulation	End 2015	yes
		179	At least 95% of invoices paid within legal deadline (30 days)	Agency Regulation	within the regulatory time limits	yes
		180	Execution of payment vs committed appropriations (average all types of appropriations)	Agency Regulation	End 2015	yes
		181	Annual staff survey carried out	Agency Regulation	End 2015	
		182	N+1 year budget submitted and approved within the regulatory deadlines Reports on the budgetary execution	Agency Regulation	Monthly	
		183	Minimum 8 days of training days per staff member (formal training and language courses)	Agency Regulation Staff Regulation	End 2015	
		184	15-20 procurement procedures launched and completed	Agency Regulation	End 2015	
		185	100% of procurement procedures launched and completed against plan	Agency Regulation	End 2015	
		186	Average length of procurement process for open procedures: 5 months	Agency Regulation	End 2015	
		187	Average length of a selection process: < 4 months	Agency Regulation	End 2015	
		188	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	

		189	Financial transactions and accounting services carried out in respect of the legal framework and within the set deadlines: 300 commitments, 2200 payment requests, 10 recovery orders	Agency Regulation	Ongoing	
		190	< 10% carry-over of payment appropriations (total of credits)	Agency Regulation	End 2015	
		191	Asset management updates	Agency Regulation	End 2015	
	05.14 Information Technology and Facilities	192	2-5 initiatives undertaken to improve health & safety conditions	Agency Regulation	End 2015	yes
		193	No security incidents causing financial loss, business disruption or public embarrassment	Agency Regulation	End 2015	yes
		194	Establishment of ERA and Commission mutual access to rail databases in cooperation with the Commission	Agency Regulation	End 2015	yes
		195	1-3 EMAS measures adopted	Agency Regulation	End 2015	
		196	20-25 IT projects managed	Agency Regulation	End 2015	
		197	Documentation of procedures and definition of service levels monitored and corrective actions undertaken	Agency Regulation	Ongoing	
		198	Around 1100 user support service requests received by Service Desk annually Around 900 software change requests provided annually	Agency Regulation	Continuous	
		199	80% of users satisfied with the quality of IT service delivery in "Very good" rate	Agency Regulation	Continuous	
		200	4 business impact analysis and continuity tests carried out	Agency Regulation	End 2015	
		201	100% of exercises and tests that have achieved recovery objectives	Agency Regulation	End 2015	

		202	80% of users satisfied with the quality of Facilities Management services in "Very good" rate	Agency Regulation	End 2015	
		203	Around 250 service requests fulfilled	Agency Regulation	Ongoing	
	05.15 Preparation for the 4th Railway Package	204	Establishment of a Task Force to prepare for the implementation of the 4th Railway Package	New Agency Regulation	Ongoing	yes
		205	Roadmap with milestones	New Agency Regulation	Ongoing	yes
		206	Coordination of tasks in relation to the 4th Railway Package in other Activities	New Agency Regulation	Ongoing	yes

Annex II: Procurements requests foreseen in 2015 (Operations and Administration)

WP 2015						
Title	Expected signature date	Estimated Amount for 2015 (EUR)	Unit	Type of contract	OP/ AD	Comments
Services de Nettoyage, d'Entretien des espaces verts et services de Prévention, Détection et Destruction de nuisibles	16.11	0	Resources & Support	Framework Contract	AD	FWC of 580 000 for 4 years
Magazines (electronic and paper)	30.11	6 250	Resources & Support	Framework Contract	OP	FWC of 25 000 for 4 years
Service contract for the provision of fixed and mobile Telephony, DSL, Internet access and Associated Services	31.12	0	Resources & Support	Framework Contract	AD	FWC of 800 000 for 4 years
Interpretation services	01.07	50 000	Resources & Support	Framework Contract	OP	FWC of 600000 for 4 years
Travel services	15.11	0	Resources & Support	Framework Contract	AD/ OP	FWC of 750 000 for 4 years
Service Contract for provision of Electricity for ERA HQ Building in Valenciennes	31.12	0	Resources & Support	Framework Contract	AD	FWC of 400 000 for 4 years
Preparation and implementation of 4th Railway Package activities: "fees and charges"	30.11	150 000	Corporate and Evaluation	Direct Contract	OP	
Technical assistance in the field of Quality Management System	18.02	200 000	Corporate and Evaluation	Framework Contract	OP	FWC of 600 000 for 4 years
Study on migration of Railway radio communication system from GSM-R	11.03	110 000	ERTMS	Framework Contract	OP	FWC of 900 000 for 4 years
Coexistence of GSM-R with other communication systems	02.06	150 000	ERTMS	Framework Contract	OP	
ERTMS Specification formalisation support and modelling	30.11	150 000	ERTMS	Framework Contract	OP	FWC 560 000 for 4 years
Applicability of existing precursor and risk models at a European level	30.06	15 000 + 60 000	Safety	2 Direct service contracts	OP	
Development of a safety information IT system to exchange information between railway sector actors	09.03	60 000 + 15 000	Safety	2 Direct service contracts	OP	
ESP EISD 5	Lot 1 31.05; Lot 2 01.07; Lot 3: 15.10	800 000	Resources & Support	3 lots FWC cascade and reopening	OP	FWC 3 lots – 4 years – total budget 15 840k
	Total	1 766 250				

Annex III: ERA Risk Register

Hazard (potential damage)	Risk description (cause - consequence)	Impact (1-5)	Likelihood (1-5)	Inherent risk (if no controls applied or ineffective) Critical/High/Medium/Low	Considering controls in place + effectiveness	Impact (1-5) in terms of financial and reputation	Likelihood (1-5) based on previous experiences	Residual risk (critical/ high/ medium /low)	Measures to achieve acceptable risk for management
Inconsistency/ lower quality of Agency outputs	**Root cause 1:** Too high stakeholder expectations **Root cause 2:** Workload demands exceeding allocated resources	2→5	5	High→Critical	• Communication plan/activities in place • Optimization of the setting of stakeholder message/channels already started • External Stakeholder Perception Management procedure under development	5	5	Critical	• Adoption and full implementation of the communication strategy • External Stakeholder Perception Management procedure in place
	Root cause 3: Unexpected changes of priorities/legislation	3	3	Medium	• Communication plan/activities in place	3	3	Medium	N/A
	Root cause 4: Inadequate internal flexibility for resource allocation **Root cause 5:** Lack of management prioritization **Root cause 6:** Unclear criteria to ensure effective resource allocation	2→5	5	High	• Management team meetings • Internal decision making procedure • Internal mobility procedure • Strategic indicators in the Multi Annual Staff Policy • Stakeholder consultation workshop for the Work Programme	2→5	3	Medium→ High	• Implementing the job screening exercise • Comprehensive policy evaluation • Adoption and full implementation of the Communication Strategy and of the decision making procedure • Work Programme management and prioritisation programme • Monitoring Key performance indicators
	Root cause 7: insufficient access to the right expertise	4	3	High	• Management of 'Working parties' in place • Organisation of different stakeholders' networks • Possibility to use independent experts	4	3	High	Enhance cooperation with other EU Agencies
	Root cause 8: lack of quality assurance for out outputs	3→5	4	High→Critical	Ongoing development the quality management system	3→5	2	Medium→ High	Certified Integrated management system implemeted

Decreasing Agency reputation	**Root cause 1:** Unclear (doubts on usefulness) of our work	4	4	High	• Communication plan/activities in place • Optimization of the setting of stakeholder message/channels already started • External Stakeholder Perception Management procedure under development	4	3	High	• Adoption and full implementation of the communication strategy • External Stakeholder Perception Management procedure in place • Development railway indicators • Comprehensive policy evaluation
	Root cause 2: Divergent/conflicting interests of stakeholders	5	5	Critical	• Organisation of different stakeholders' networks • Stakeholder consultation workshop for the Work Programme	5	3	High	• Adoption and full implementation of the communication strategy • External Stakeholder Perception Management procedure in place
	Root cause 3: Poor perception of railway sector	3	3	Medium	N/A	3	3	Medium	N/A
	Root cause 4: Poor reputation of the agency	5	2	High	• Communication plan/activities in place (e.g. seminars, conferences, workshops, publications, fairs, exhibitions)	5	2	High	• Adoption and full implementation of the communication strategy
	Root cause 5: Difficulties to recruit the right staff	5	1	Medium	• Employment conditions • Promotion of the Agency	5	1	Medium	Continuing implementation of the measures in place

Inefficient and lack of compliance	• **Root cause 1:** Inappropriate management tools in place (especially in IT)	4	4	High	• Ongoing development of quality management system • Project & contract management procedures • EIGC for IT • Business Continuity Plan (BCP) adopted	4	3	High	• Certified Integrated management system implemented • Work Programme Management Procedure • BCP fully implemented
	Root cause 2: Lack of mitigated measures of Conflict of Interests for staff	4	2	Medium	• Revision of agency policy on long term/short term contracts • Policy on Conflict of interest for staff • Induction training on ethics for staff	4	1	Medium	Develop and implement an Anti-fraud strategy (including revised policy on CoI for staff)
	Root cause 3: Lack of mitigated measures of Conflict of Interests for Administrative Board	4	2	Medium	N/A	4	2	Medium	Policy on Conflict of Interest for AB members (+decl. on CoI and assessment)
	Root cause 4: Mismanagement of money (sound financial management as well as intentional irregularities)	3	4	High	• Activity Based Budget (ABB) in place • Monthly budgetary meetings review • Contract management procedure (performance management and control) • Supervisory measures (AOD) • Procurement plan (including tender procedures for year n); any changes must by approved by AB)	3	1	Low	• Develop and implement an Anti-fraud strategy • Effective implementation of the contract management procedure • External/internal audits + controls • Regularly improved budget rule forecast
	Root cause 5: Degradation of staff well being	4	2	Medium	• Employment conditions • Internal mobility policy	3	1	Low	Continuing implementation of the measures in place

	Root cause 6: Inadequate proactive service culture (internal/external)	4	4	High	Regular feedback from stakeholders/various dissemination activities	4	2	Medium	Developing feedback tools and activities
Inefficient and lack of compliance	**Root cause 7 :** Insufficent awareness on ethical conduct/ guidance on specific areas	3	3	Medium	• Conflict of interest policy for all staff • Code of Good Administrative behaviour • Practical guide to staff ethics and conduct • A functional mailbox on ethical issues However, the existing rules are not promoted and measures are rarely taken to make sure that these rules are observed	2	1	Low	Develop and implement an Anti-fraud strategy