

Making the railway system
work better for society.

Single Programming Document 2018

Adopted version

Foreword by the Executive Director

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

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

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

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

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

Josef Doppelbauer

List of acronyms

4RP	Fourth Railway Package
AD	Administrator
ATO	Automatic Train Operation
AST	Assistant
BoA	Board of Appeal
CA	Contract Agent
CCS	Control command and signalling
CEF	Connecting Europe Facility
CSIs	Common Safety Indicators
CSMs	Common Safety Methods
CSTs	Common Safety Targets
DG MOVE	Directorate-General for Mobility and Transport
DG NEAR	Directorate-General for Neighbourhood and Enlargement Negotiations
ECM	Entity in Charge of Maintenance
ECVVR	European Centralised Virtual Vehicle Register
ENI	European Neighbourhood Instrument
ERADIS	ERA Database on Interoperability and Safety
ERATV	European Register of Authorised Types of Vehicles
ERRAC	European Rail Research Advisory Group
ERTMS	European Rail Traffic Management System
ETCS	European Train Control System
FTE	Full Time Equivalent
GoA	Grade of Automation
GSM R	Global System for Mobile Communications (Railway)

ICS	Internal Control Standards
ISC	Inter-service Consultation
IM	Infrastructure Manager
INEA	The Innovation and Networks Executive Agency
IoA	Inventory of Assets
JTI	Joint Technology Initiative
KPI	Key Performance Indicator
L3	Level 3 - conceptual phase
NIBs	National Investigation Bodies
NLF	National Legal Frameworks
NOTIF-IT	Notifications using Information Technology
NRD	National Reference Documents
NRV	National Reference Values
NSAs	National Safety Authorities
NVR	National Vehicle Register
OSJD	Organisation for Cooperation of Railways
OSS	One-stop-shop
OTIF	Organisation for International Carriage by Rail
PRIME	Platform for Railway Infrastructure Managers in Europe
PRM	Persons with reduced mobility
RDD	Reference Document Database
RFC	Rail Freight Corridors
RISC	Railway Interoperability and Safety Committee
RINF	Register of Infrastructures
RU	Railway Undertakings
SSC	Single Safety Certificate

SERA	Single European railway area
SMS	Safety Management System
SNE	Seconded National Expert
SPC	Single Point of Contact
SteCo	Steering Committee
TA	Temporary Agent
TDD	Train Drivers' Directive
TRAMOS	Transport Monitoring System
TRIS	Transport Information System
TSI	Technical Specifications on Interoperability
UNCRPD	European Act implementing the Convention on the Rights of Persons with Disabilities of the United Nations
VA	Vehicle Authorisation
WG	Working Group
WP	Working Party

Section I – General context

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

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

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

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

1. Stakeholder Focus

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

2. Ethical Values Commitment

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

3. Legal Compliance

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

4. Staff involvement and development

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

5. Everybody's Commitment to Quality

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

6. Continuous Improvement

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

7. Business Continuity

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

8. Information Governance

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

9. A Culture of Sustainability

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

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

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

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

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

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

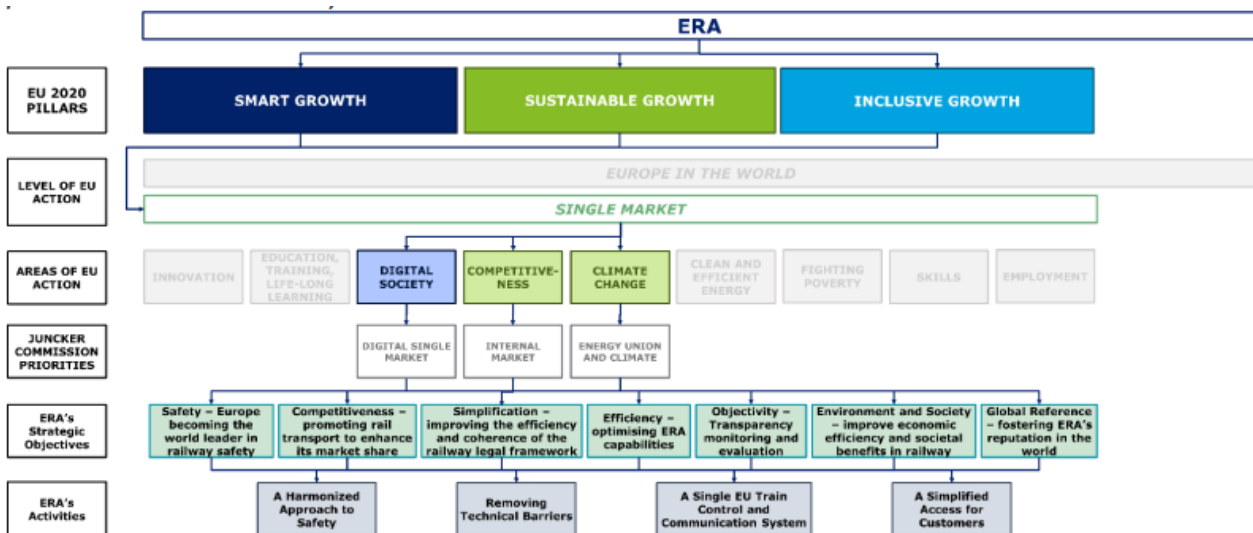
As a logical next step, complementing the Agency’s current and future work, the Fourth Railway Package entrusts the Agency with the new tasks of issuing European-wide Safety Certificates for Railway Undertakings, authorisations for placing on the market for rail vehicles, and approval of ERTMS trackside systems. These new competencies will further lower the administrative barriers that will remain after the Second and Third Railway Packages have been fully and properly implemented.

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

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

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

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



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

¹. Source: Deloitte Study, November 2016.

Section II - Multi-annual programming 2018-2020

1. Multi-annual objectives

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

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

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

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

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

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

Activity 1 – A Harmonised Approach to Safety

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

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

Activity 2 – Removing Technical Barriers

- **Preparing for Vehicle Authorisation under the Fourth Railway Package:** to develop and migrate to the common Vehicle Authorisation process foreseen in the Fourth Railway Package. The Agency will learn from the return of experience of the existing authorisation processes including the practical learning case and the application of TSIs and exploiting the simplification benefits that come from the new framework. In order to ensure consistent application of the Vehicle Authorisation framework within the Agency and between the Agency and its partners the Agency will also develop application guides and other informative documentation.
- **Removing technical barriers/Removing operational barriers:** to support the removal of technical and operational barriers, to complement the TSIs with the new elements set out in the Fourth Railway Package (including the provisions applicable to the existing subsystems and vehicles in the event of modifications and the parameters of the subsystems to be checked by the railway undertaking after the Vehicle Authorisation to ensure compatibility between vehicles and the infrastructure), to help the actors to implement and apply the scope extended TSIs, to start full revision of the TSIs (taking into consideration the objectives mentioned in the Delegated Act on TSIs revision, as well as other feed-back), to revise the conformity assessment modules in the Decision 2010/713/EU to identify and exploit possible simplification and cost savings for the sector, to complete the cleaning up of National Rules, and to continue supporting the implementation of the European train driver certification scheme in cooperation with NSAs and the sector. In particular, the further development of OPE TSI will set up a core of harmonised operational principles with the aim of reducing the need of national rules. Also, the Agency will concentrate on drafting a common examination scheme for the train driver licence and on supporting the Commission in preparing a first general revision of the Train Drivers' Directive. More generally, national safety rules on staff competence, fitness or other job access criteria, applicable to staff performing safety relevant work, will be evaluated with the aim of reducing national rules and recommending appropriate European measures where necessary. This activity will be prepared in close coordination with DG MOVE with the revision of the Train Drivers' Directive (TDD) to ensure the most efficient and effective procedure.
- **Ensuring efficient and effective conformity assessment:** the Agency will work in collaboration with NSAs to support national bodies for accreditation and recognition of assessment bodies according to CSM 402/2013 on risk assessment. The Agency will also develop tools necessary to improve further quality and trust among the actors, such as a scheme for the monitoring of Notified Bodies and further steps towards audits and inspections of NoBos as foreseen by the Fourth Railway Package. Furthermore, the Agency will develop a common approach for all assessment bodies aimed at better consistency, proportionality and simplification.

Activity 3 – A Single EU Train Control and Communication System

- **Increasing the Agency’s role in checking ERTMS projects compliance with the specifications, on-board and trackside:** to secure the success of ERTMS by applying strong ERTMS version management and a strengthened system authority role to prevent any diversification of the Single EU Train Control and Command system. This is supported by the increased role in the checking European ERTMS infrastructure projects compliance with the specifications, and to also establish, in collaboration with all stakeholders and concerned actors in the ERTMS Stakeholders Platform, an optimised coordination of ERTMS development and deployment to ensure a single transparent, stable, affordable, and interoperable ERTMS system throughout Europe in line with the commitments of the Memorandum of Understanding on ERTMS signed in 2016, and improving the quality of the test specifications for the on-board system and of the NoBo assessment of conformity. The Agency will be working with the Commission and the Shift²Rail JU on the relevant aspects of research and innovation to ensure the economic benefits of innovation, and promote the harmonised system as a reference on the international scene.
- **Ensuring interoperable and stable ERTMS:** the Agency will manage the maintenance and evolution of the ETCS and GSM-R specifications, improving their quality, including harmonised operational principles, as defined in the longer term perspective. The Agency will publish the issues detected in the specifications and the solutions to ETCS and GSM-R Change Request resulting from the CCM process.
- **Establishing and improving communication backbone for railways:** the Agency will facilitate the EU railways to prepare for technological/business evolution in the field of ERTMS communications.

Activity 4 – A simplified access for customers

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

Activity 5 - Evaluation, Management and Resources

- **Ensuring the coordination of the Fourth Railway Package implementation:** in addition to the projects in relation to the Fourth Railway Package covered in the operational activities, the Agency will develop further internal processes necessary as a prerequisite for implementing the Fourth Railway Package such as management and traceability of working documents, competency profiles, prioritisation of the Agency projects and activities, establishing a scheme for managing fees and charges, and establishing the required governance (e. g. appeal boards) etc.

- **Ensuring a prioritised portfolio of the Agency activities:** the Agency will continue to develop a set of common positions and standpoints on issues that need clarification first internally within the Agency and then with the stakeholders. These may cover clarification and guidance on how to implement the legal framework relating to interoperability and safety. In addition, all the strategies will be, in the spirit of the Better Regulation principles, accompanied by a careful evaluation of their expected and actual impacts and an enhanced monitoring to identify where the Agency should act specifically to improve its actions, and by a continued full focus on dissemination, training and communication among the stakeholders to explain and fully implement EU framework for the railway system.
- **Ensuring efficient and effective communication:** following the implementation of its Communication Strategy in 2015, the Agency will continue to deploy this strategy in line with the planning and optimise its internal horizontal processes, such as e-processes, sound financial management.
- **Ensuring legality of Agency's activities:** this service provides legal advice and opinion within the Agency.
- **Ensuring the implementation of the Agency's Integrated Management System (IMS):** Internally, the Agency will gain further efficiency through the full implementation of the Integrated Management System with the necessary IT support in the processes to be able to better focus our core business and maximise the impact of the Agency output on the sector.
- **Ensuring that railway related research and International Standards are aligned with SERA and ERA objectives.** In the fields of research and standardisation, the Agency will further strengthen its relationship with:
 - the Shift²Rail joint undertaking,
 - the Commission services involved in rail-related research,
 - other European stakeholder entities involved in research affecting railways (including ERRAC – European Rail Research Advisory Group), and
 - standardisation bodies within and out of the EU.
- The Agency will provide independent railway expertise to help ensure that research and standardisation activity carried out is targeted where it is most needed and that it supports the objectives and framework of the SERA. From 2018, where necessary to achieve its strategic objectives, the Agency will itself commission research.

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

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

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

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

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

In order to consistently apply the SERA framework in the Agency (in recommendations, application guides etc.), and with its EU partners, we aim to disseminate and further develop a Portfolio of “Common Positions”.

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

The strategy on international relations (Annex XI) intends to promote the European approach to countries outside of Europe. With international organisations, we aim to encourage a more competitive position for railway transport in Europe and worldwide establishing the European Union Agency for Railways as global reference in safety and interoperability.

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

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

2. Multi-annual programme 2018-2020

2.1 A Harmonised Approach to Safety

The European Commission's proposals in the Fourth Railway Package represent an evolution of the Safety Regulatory Framework and in response, the Agency has developed a programme plan setting out milestones to be ready to deliver a Single Safety Certificate. Whilst harmonisation of the legal framework is a necessary precursor, it is clear that there is a need to bring about a more fundamental cultural change in the field of safety if the objective of a single European railway area is to be realised. For safety management systems to be truly effective they need to represent more than just words or good intentions. Organisational cultures that are positive about safety are necessary to support safety management systems by clearly demonstrating that the commitment given in the documentation is matched by action in reality and not only when the spectre of supervision by national authorities is present. Many of the barriers that exist represent the historically different approaches to safety across Europe. The world is changing and that change is reflected in rail, changes in technology bring new benefits and changed risks. It is essential that safety requirements do not unnecessarily limit innovation in this sector and the widespread application of good risk management and safety management systems offers the best opportunity to allow this, where rigid rules can inadvertently create barriers. The focus in safety is shifting to reflect both the need to rely on risk assessment and risk management and the growing understanding of the impact of human performance. The safety programme not only reflects the preparatory phase for the Single Safety Certificate but also calls for the development of a strong focus on maintenance of railway vehicles, safety critical components both for vehicles and infrastructure, the transport of dangerous goods and the enhanced safety performance of the system, through a positive safety culture and supported by better data and monitoring. Regarding safety critical components, the priority is given to vehicles because of ECM revision in progress. Extension to infrastructure would depend on outcome of vehicle consideration and available resources.

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

The aim is to establish a positive safety culture, to have roles and responsibilities understood and working among the actors in the next years and to build a strong working relationship with NSAs based on shared processes, shared understanding and trust. This collaborative working relationship is essential to support the increased competitiveness of rail and to achieve the objective of making Europe's railway system the world leader for safety. The target is to promote positive safety cultures to ensure a high level of safety without increasing the regulatory or financial burden on the sector. Raising awareness externally of safety culture through targeted external events. Positive culture underpins excellence in safety management, driving the risk-based approach to safety.

In addition the Agency recognises that it too, will play its part in the safety framework in the new tasks of safety certification and Vehicle Authorisation. In recognition of this issue the Agency programme for the implementation of these tasks includes putting in place robust systems and ensuring the right competencies are available.

<i>Main outputs 2018</i>	<i>Main outputs 2019</i>	<i>Main outputs 2020</i>
	Ready to receive applications for Safety Certificates.	
Transport of dangerous goods: dissemination of risk assessment methodologies	Transport of dangerous goods: dissemination of risk assessment methodologies	Transport of dangerous goods: Monitoring of use of risk assessment methodologies
NSA monitoring according to article 33 of Agency Regulation 2016/796: Performing pilot audits with 2 or 3 voluntary NSAs. Delivery of training to auditors. Delivery of audits and inspections (start 1 ⁿ 3-years cycle)	NSA monitoring: Delivery of audits and inspections	NSA monitoring: Delivery of audits and inspections Start planning for second audit cycle
Revision of ECM scheme: Issue of the Agency recommendation (including impact assessment) for extension of the scope to all vehicles including definition and processes for safety critical components (for vehicles only). Implementing act adopted	Revision of ECM scheme: Information, training & guidance on revised ECM scheme including the aspects related to the safety critical components (for vehicles)	Revision of ECM scheme: Information, training & guidance on revised ECM scheme including the aspects related to the safety critical components (for vehicles). Future maintenance aspects: Analysis of outputs of S ² R regarding maintenance of railway vehicle.
		Safety critical components: Analysis of the extension of the safety critical components approach to infrastructure.
Communication programme on Safety Culture – including the development and delivery of targeted dissemination products Establish methodology and baseline for Article 29 Railway Safety Directive commitment to report on safety culture development Review Eurocontrol programme to support national prosecutors Option for workshop with stakeholders to analyse legislative obstacles to positive culture development	Communication programme on Safety Culture - including the development and delivery of targeted dissemination products Review NSA Monitoring reference to take into account changes in the legal framework. Biennial review of stakeholder safety culture activities	Communication programme on Safety Culture - including the development and delivery of targeted dissemination products Depending on methodology and baseline, study to deliver report on development of safety culture in 2024, in accordance with Article 29 Railway Safety Directive Consider revision of guidance CSM Monitoring to include safety culture and occurrence reporting Option to assess feasibility of Agency led culture measurement programme

<i>Main outputs 2018</i>	<i>Main outputs 2019</i>	<i>Main outputs 2020</i>
<p>After review of the responses to the Impact assessment published in 2017 and if mandate agreed, working party to develop CSM for Common Occurrence Reporting</p> <p>Finalise business requirements and guidance for reporting system</p> <p>Following impact assessment for stakeholders, build reporting system – new or adapt an existing system</p> <p>Develop analytical capability at EU and national level, to include systematic analysis of NIB investigation reports with the objective of identifying any lessons to be learnt at European level.</p>	<p>If mandate agreed, working party to develop CSM for Common Occurrence Reporting (consider review of Annex 1 Railway Safety Directive)</p> <p>Support reporting cultures</p> <p>Develop analytical capability at EU and national level</p>	<p>CSM for Common Occurrence Reporting adopted</p> <p>Support reporting cultures.</p> <p>Develop analytical capability at EU and national level</p>

2.2 Removing Technical Barriers

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

This streamlined Vehicle Authorisation will rest on comprehensive TSIs and a reduced set of national rules. To this aim, the next revision of the TSIs will include the closure of the remaining open points (where appropriate), the addition of the elements introduced by the Fourth Railway Package (including procedures and parameters to check vehicle-network compatibility), the correction to possible deficiencies and any development needed to take into account the technologic, economic and social evolution (including e.g. new relevant standards). The TSIs revision will also consider the consistency of transitional measures, in particular in the view of the new Vehicle Authorisation process under the 4th RP.

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

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

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

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

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

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

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

The Agency will continue its cooperation with European Standardisation Organisations (ESO) in order to ensure coordination between the development of TSIs and the standardisation activities.

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

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

<i>Main outputs 2018</i>	<i>Main outputs 2019</i>	<i>Main outputs 2020</i>
Recommendations on Loc&Pas, Wagon and Noise TSIs (for alignment with 4RP)	Recommendations on Loc&Pas, Wag, Noise TSI (for technical aspects) Recommendations TAP and TAF TSIs	Draft Recommendations on ENE and INF TSIs, following the Delegated Act and ex-post analysis.
Recommendations on PRM, OPE, SRT, TAP and TAF TSIs		

<i>Main outputs 2018</i>	<i>Main outputs 2019</i>	<i>Main outputs 2020</i>
Monitoring system for NoBos in place, including improvements of the harmonised assessment requirements for notified conformity assessment bodies.		
Study on conformity assessment modules.	Revision of the Decision on railway modules	
	Agency responsible for issuing Vehicle Authorisations	
	Recommendation in harmonised examination scheme for train drivers	

2.3 A Single European Train Control and Communication System

The Agency is the system authority for the harmonised ERTMS specifications and for their coherent implementation in the railway system. Its role in Vehicle Authorisation and trackside ERTMS approval allows a strengthened leadership in the efficient application of the framework and of the standards. With the application of the 4th Railway Package, the Agency will help the sector in the correct implementation of ERTMS by offering an opinion before the authorization of trackside subsystems and by advising applicants on the technical compatibility when requested according to Article 30 of the Agency Regulation.

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

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

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

<i>Main outputs 2018</i>	<i>Main outputs 2019</i>	<i>Main outputs 2020</i>
ATO – specifications agreed at level of Agency CCM working groups for Grade of Automation 2 (GoA2)	ATO approved specification including interfaces solutions (FIS and/or FFFIS when economically beneficial) (GoA2), ready for CCS TSI as necessary, and voluntary standards.	Endorsement of system requirements for GoA4
Endorsement by the agency of the relevant specifications coming from S ² R and their introduction into the established CCM process (for later inclusion into CCS TSI) Management of game changer project (e.g. follow up of early implementation), taking into account S ² R activities)	Endorsement by the agency of the relevant specifications coming from S ² R and their introduction into the established CCM process (for later inclusion into CCS TSI) Management of game changer project (e.g. follow up of early implementation), taking into account S ² R activities)	Endorsement by the agency of the relevant specifications coming from S ² R and their introduction into the established CCM process (for later inclusion into CCS TSI) Management of game changer project (e.g. follow up of early implementation), taking into account S ² R activities)
Future Radio System – release of system definition paper Help rail sector defend needs of harmonised spectrum	Consultation on Future Radio System, including path to smooth migration Accompany the EC activity on the WRC19 on radio spectrum (for rail)	Contribute to enable Availability 3GPP standards suitable for Rail operational communications
Learning cases ERTMS Trackside	First engagements in ERTMS Trackside Approval based on applicant's request	ERTMS trackside approvals on demand
Maintenance of ETCS and GSM-R specifications, including mitigation measures in case of errors, through a fine-tuned CCM	Maintenance of ETCS and GSM-R specifications, including mitigation measures in case of errors, through a fine-tuned CCM	Maintenance of ETCS and GSM-R specifications, including mitigation measures in case of errors, through a fine-tuned CCM
Recommendations on CCS TSIs limited revision (4RP, testing)	Follow-up of the application of revised TSIs	Follow-up of the application of revised TSIs
Updating of the Appendix A of the OPE TSI	Follow-up of the application of the ERTMS operational rules, in particular in selected rulebooks	Follow-up of the application of the ERTMS operational rules, in particular in selected rulebooks
Publish report from specifications, including testing and validation working group from ERTMS stakeholder's platform in line with the 4RP process and managing catalogue of OTS (operational test scenarios)	Report on the assessment of Error CRs in the database, possibly resulting in a Technical Opinion	Report on the assessment of Error CRs in the database, possibly resulting in a Technical Opinion
Support to ERTMS deployment program by the evaluation of ERTMS projects	Support to ERTMS deployment program by the evaluation of ERTMS projects	Support to ERTMS deployment program by the evaluation of ERTMS projects

<i>Main outputs 2018</i>	<i>Main outputs 2019</i>	<i>Main outputs 2020</i>
Develop practical arrangements for the process on advising on compatibility between ERTMS on-board and trackside subsystems	Develop a new procedure in close collaboration with the railway sector	Implement procedure and handle applicants' request

2.4 Simplified Access for Customers

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

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

- › Register of Infrastructure (RINF, expected to be completed by 2019 according to the 2014 Decision))
- › European Centralised Virtual Vehicle Register (ECVVR) and its successor European Vehicle Register (EVR)
- › European Register of Authorised Types of Vehicles (ERATV)
- › Vehicle Keeper Marking Register (VKMR)
- › ERA Database for Interoperability and Safety documents (ERADIS)- interoperability part

The Agency performs the maintenance of the tools, registers and databases, their continuous improvement and supports the MSs and stakeholders in their implementation and use. Beyond this, the Agency, in close collaboration with the stakeholders, works on the revision of the specifications of the register of infrastructure (RINF) and the register of authorised types of vehicles (ERATV) as well as on the consolidation of the vehicle register (ECVVR) into an integrated system (EVR). All these projects take into account the provisions of the Fourth Railway Package.

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

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

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

Furthermore, the Agency will ensure the consistency of remaining national rules with the EU legal framework and will continue providing guidance to Member States for the notification publication of remaining national rules in appropriate EU Databases. The Agency will also develop and implement the Single Rules Database envisaged by the Fourth Railway Package together with the SRD User Group. The Agency will support users of the appropriate EU databases (RDD and NOTIF IT) until they are replaced by the SRD.

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

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

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

From another perspective, society is also strongly demanding an improved access of stations and trains for persons with reduced mobility and persons with disabilities (PRM). For this purpose, according to articles 7 and 8 of Regulation 1300/2014 (TSI PRM), this Regulation will be revised on the basis of the Recommendation drafted by the Agency in 2017, a tool for informing the public and monitoring progress will be implemented

(Inventory of Assets), and an EU strategy will be developed, based on common principles identified from the national implementation plans.

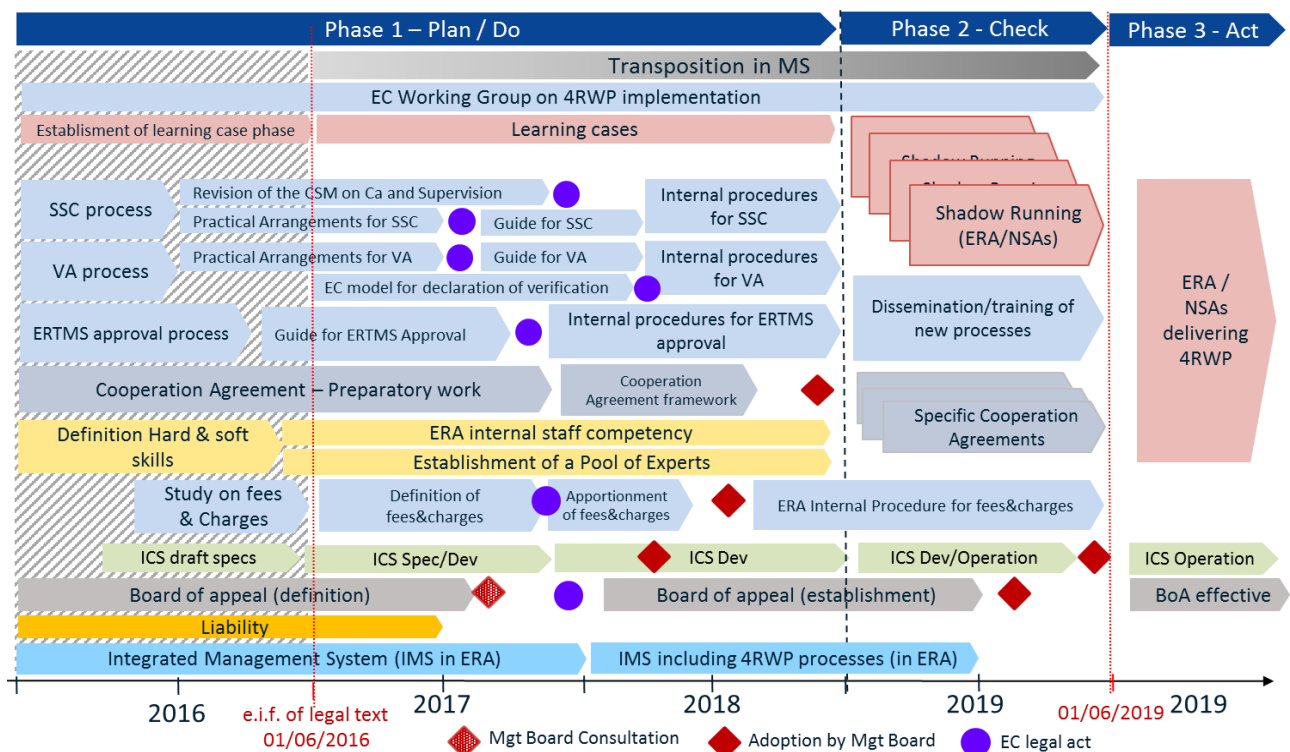
<i>Main outputs 2018</i>	<i>Main outputs 2019</i>	<i>Main outputs 2020</i>
ERA recommendation on the specification of the RINF Decision 75% of RINF data imported according to the 2014 Decision	Implementation of revised RINF Decision RINF data import completed according to the 2014 Decision	RINF data import completed according to the new Decision from 2018
EVR implementation started	EVR implementation	EVR implementation
TAP TSI simplified procedure to update technical baseline	Recommendations on TAP TSIs revision Follow-up of the application of revised TSIs	
Report on TAP implementation. Monitoring Report on TAF implementation monitoring	Report on TAP implementation. Monitoring Report on TAF implementation. Monitoring TAP revision Intermediate report TAF/TAP CCM baseline	
Audits on INEA TAP implementation. Funding Audits on INEA TAF implementation Funding	Reports on TAP projects funded by INEA CEF programme Reports on TAF projects funded by INEA CEF programme	
TAF TSI simplified procedure to update technical baseline		
TAF TSI Technical documents baseline	TAF TSI Technical documents baseline	
Technical Specification based on TAF TSI for COR and TDG reporting regimes	Update of Technical Specification based on TAF TSI for COR and TDG reporting regimes	TAF TSI Technical documents baseline
Implementation of ERADIS tool in line with OSS requirements	Implementation of ERADIS tool in line with OSS requirements	Implementation of ERADIS tool in line with OSS requirements
Revision of ERATV specification started	Recommendation on revised ERATV specification submitted to EC	Implementation of the revised ERATV Decision
Implementation of ERATV tool in line with OSS requirements	Implementation of ERATV tool in line with OSS requirements	Implementation of ERATV tool in line with OSS requirements
Finalisation and adoption of the revision of the PRM TSI (including the specification of Inventory of Assets).	Inventory of Assets implementation EU strategy defined (after analysis of national implementation plans)	Inventory of Assets in use
OSS ready for shadow running	OSS used by all involved parties in production	
Single Rules Database (SRD) ready for testing	Single Rules Database (SRD) in operation	Single Rules Database (SRD) disseminated

<i>Main outputs 2018</i>	<i>Main outputs 2019</i>	<i>Main outputs 2020</i>
		Become a change engine in the field of European multimodal transport data management through proactively identifying opportunities in which the Agency plays the role of a facilitator, engaging with European railway stakeholders and external interested parties to explore future needs, requirements and new business use cases so as to provide guidance towards the best practices, standards and solutions in data management found in the sector.
Lay a sound foundation for future multimodal data management requirements by consolidating Agency IT tools, registers and databases: single access point, use of a reference data set, interlinking registers and databases, monitoring data quality and change control management.		

2.5 Evaluation, Management and Resources

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

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



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

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

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

- › Proposing possible amendments to the S²R Master Plan and to the Annual Work Plans in particular to ensure that the research needs of the Single European Railway Area are covered
- › Proposing after consultation with stakeholders, guidelines for research activities leading to technical standards, with a view to guaranteeing the interoperability and safety of the results
- › Reviewing the common developments for future system and contributing to defining target systems in regulatory requirements
- › Reviewing project activities and results with a view to ascertaining their relevance to the objectives identified in the S²R regulation and to guaranteeing the interoperability and safety of the results

The Agency will support other entities (in particular ERRAC) involved in transport related research affecting railways to ensure the objectives of EU transport policy (e.g. “greening” of transport, modal shift to rail) may

be most efficiently met. Proposals will be elaborated as required. From 2018, where necessary to further achieve its strategic objectives, the Agency will itself commission research.

The outputs of the International Relations strategy in 2018 will be

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

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

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

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

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

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

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

3.1 Overview of the past and current situation

3.1.1 Staff population overview for 2016

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

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

3.1.2 Expenditure for 2016

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

The total expenditure per Title in 2016 was:

- 17,69 Mio€ committed in Title 1
- 2,48 Mio€ committed in Title 2
- 6,94 Mio€ committed in Title 3

The overall commitment rate was 99,02 % and the overall level of payment execution was 91,57 %.

3.2 Resource programming for the years 2018-2020

3.2.1 Financial resources

Title 1 will amount to 18 790 Mio € to cover the extra-posts as stated in the DB 2018 (18 372 Mio € in 2017) and Title 2 will remain the same as 2017, 2 750 Mio €.

The **operational expenditure** includes expenses related to the operational activities of the Agency. Title 3 will decrease to 7 250 Mio € (9 610 Mio € in 2017).

3.2.2 Human resources

In its communication COM (2013)519 of 10/07/2013 on the programming of human and financial resources for decentralised agencies 2014-2020, the Commission foresaw an EU contribution of 26,25 Mio € (without the EFTA contribution) with 148 TAs, meaning an increase of 9 posts compared to 2017. Additional information can be found in Annex I and II.

With the entry into force of the Fourth Railway Package, the Agency has been facing an additional challenge to attract Seconded National Experts (SNEs). It is therefore not considered a valid option to increase the number of SNEs to help meet the 2017 and 2018 staff needs.

Since the entry-into-force of the Fourth Railway Package in 2016, the implementation of the Package has intensified. Following on from 2016, the Agency will continue to improve on the efficiency of internal resources, by re-allocating staff to 4RP tasks, and by fully maintaining the Integrated Management System, which has been ISO 9001 certified in 2017, focusing on the Agency's core business and outputs. In addition, the Agency will overall aim to continuously improve its efficiency and effectiveness by, for instance, increasing the use of paperless processes, running of working groups (TSI, CSM), etc. Following the conclusions of the Common Approach regarding governance, management and efficiency, the Agency already benefits from common services provided by other EU institutions (EC, PMO, EPSO), benchmarks with other Agencies (the EU Agencies Network), joined procurement procedures and shares resources (Accounting Officer shared with ESMA, sharing the ICT back-up facilities with CdT).

The budget allocation for 2018 provides for sufficient cover of the activities planned in this work programme. However, the transition to the Fourth Railway Package entails some uncertainties, in particular in regard to the effort needed for learning cases and shadow running. There is no imminent need, but in case the Agency would need to re-prioritise its activities and tasks, the following topic areas/topics collected in the SPD 2018 Management Board workshop would be subject to a negative priority discussion in the Management Board:

- › Reduce support for NIB peer review to a minimum as this is an obligation on the Member States.
- › Common Occurrence Reporting and development of the tool
- › Revision of CSTs
- › Study to establish a methodology and baseline, via pilot programme, for safety culture evaluation
- › Development of a "leadership" workshop to support a positive safety culture
- › SRT TSI, Noise TSI
- › Cooperation ISO/IEC
- › Scheme for European Driver's License
- › Participation to NB-Rail
- › PRM IoA
- › TAP/TAF TSIs dissemination events
- › Communication activities limited to 4RP
- › No maintenance for ISO 9001 Certification
- › Limited to no resources for S²R and standardisation

On top of the negative priorities identified, the Agency envisaged to make savings in the following fields, should it be needed to cover the activities foreseen under the new Founding Regulation (learning cases, training for Pool of Experts):

- › Reduction of number of missions and related costs
- › Reduction of number of meetings or meetings days
- › Reduction of number of experts to be reimbursed
- › No provision of interpretation services (NSA meetings)
- › No provision of support (NIB meetings)
- › Reduction of translated documents

The Agency is identifying deployment opportunities by analysing the above mentioned efficiency gains, by implementing a competence framework in the near future and by following-up on a functional review which will take place in 2017. In addition, the Agency might improve on the current organisational structure in the course of 2018 depending on the said framework and review.

The Agency's budget for 2018, including the EFTA contribution, is 28 790 Mio € € with 148 TAs, 40 CAs and 4 SNEs.

Section III - Annual Work Programme 2018

4. Executive summary

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

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

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

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

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

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

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

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

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

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

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

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

	<i>Key Performance Indicators 2018</i>	<i>Activity</i>
13	Documenting processes and procedures, and internal audit reports 100% in line with the roadmaps, programmes and timetables	Evaluations, Management and Resources
14	Carry-over of <10% of payment appropriations for Title 1, <20% for Title 2, and <30% for Title 3	Evaluations, Management and Resources
15	95% of ICT services disruption recovered within the recovery targets defined in the Business Continuity Plan	Evaluations, Management and Resources

5. Activities

5.1 A Harmonised Approach to Safety

5.1.1 Overview of Activity 1 Harmonised Approach to Safety - overview

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

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

In addition to working closely with its stakeholders and other actors of the railway sector, the Agency will in 2018 also continue developing and implementing the Single Safety Certificate project.

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

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

Objective 1 - Preparing for the Single Safety Certificate				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Delivery of the part of the fourth Railway package program related to the Single Safety Certificate as presented to the Board and to the EC TF for the Fourth Railway package Cooperation arrangement framework between NSAs and the Agency for delivering Single Safety Certificate	Compliance with the 4RP programme achieved.	All milestones achieved	All milestones achieved	Simpler, harmonised system for railway safety certification.
Agency internal procedures for SSC	Status of the procedures		Procedures approved by the Management team	
Revision of Agency guidance following learning cases	2 workshops	Published draft guidance	Published revised guidance	Clearer and comprehensive guidance for applicants for SSC and authorities
Development of dissemination/training materials for SSC	Dissemination/training materials ready		Modules ready to train ERA Staff and members of the pool of experts	Staff competence to the required standards for carrying out Safety assessment

Objective 2 - Learning for better Safety				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Support the development of a system for NIB peer review.	<ol style="list-style-type: none"> 1) Closing the issues submitted to the Agency : number of issues closed/number of issues submitted 2) Provide the requested training on time 3) IMS Procedure approved 	Process and referential ready to start pilot program	<p>In the project (S) 'NIB peer review':</p> <ol style="list-style-type: none"> 1) Support the pilot program managed and undertaken by NIBs (2 or 3 pilot peer reviews) 2) Support the establishment and running of training for peer reviewers. 3) Develop and implement the IMS procedure for ensuring support in 2019. 	Harmonisation of NIB performance and approach by an increased confidence on investigation reports and recommendations. Those reports and recommendations being deemed effective for providing inputs to railway actors for ensuring the lessons learning.

Objective 2 - Learning for better Safety				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Support for the NSA/NIB/Human Factors Networks, the ECM certification bodies, CSM RA assessment bodies, and Joint Network Secretariat.	NSA/NIB/ECM/CSM RA/JNS : 1) Number of organised meetings 2) Closing the issues submitted to the Agency : number of issues closed/number of issues submitted 3) Closing the issues submitted to the NSA/NIB/ECM Certification bodies/Assessment bodies : number of issues closed/number of issues submitted	Meeting records show broader engagement from those attending, low rate of outstanding actions, increased sense of ownership. 3 NSA network meetings + 3 NIB network meetings including 2 common meetings NSA-NIB 1 meeting of ECM certification bodies cooperation ECM certification bodies cooperation: New procedure in force including ERADIs new module. Establishment of CSM Risk Assessment bodies' coordination group	NSA network (S): Organise 3 NSA network meetings including 3 NSA-NIB common meetings NIB network (S): Organise 3 NIB network meetings including 3 NSA-NIB common meetings ECM certification bodies cooperation (S): Organise 1 meeting. CSM risk assessment bodies coordination (S): Organise 3 meetings JNS (S): Organise meetings upon needs expressed by NSAs and RBs.	Greater consistency of approach by National bodies and sector.

Objective 2 - Learning for better Safety				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
	<p>Human and organisational factors network:</p> <p>1) Number of organised meetings</p> <p>2) Closing the issues submitted to the Agency : number of issues closed/number of issues submitted</p> <p>3) Closing the issues submitted to the NSA/NIB/ECM Certification bodies/Assessment bodies : number of issues closed/number of issues submitted</p>		<p>Reorganisation of the Human Factors Network, to better identify and support the delivery of ad hoc training material: first material is on automation of railway tasks</p>	

Objective 2 - Learning for better Safety				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
	JNS issues raised and closed : number of issues closed/number of issues submitted	1 raised issue leading to application for the urgent procedure including 3 specific task force meeting on June-July 2017 and 2 JNS meetings on June and July 2017 : issue closed in August 2017	Progress and close the raised issues	

Objective 2 - Learning for better Safety				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
<p>CSM Risk assessment: support to implementation</p> <p>As support for a more effective implementation of CSM Risk Assessment, facilitate the establishment and operation of a peer review of recognition bodies according to the art 14 of the Regulation 402/2013. This peer review aims at providing an increased assurance on the capabilities of recognised assessment bodies through the control of the recognition bodies put in place by the MS.</p>	<p>Provision and implementation of an effective peer review</p> <p>In 2019, the peer review program should enter into its implementing phase.</p>	<p>Project (P) : CSM risk assessment peer review:</p> <p>Development of the scheme: Issue necessary documents, i.e. a policy paper describing the concept and key basic principles, an assessment procedure, a referential of applicable requirements for peer review, a competencies framework describing the competencies that lead assessors and assessors must have.</p>	<p>Project (P) : CSM risk assessment peer review:</p> <p>Test and training prior to implementation of the scheme, which has been developed in 2017:</p> <ol style="list-style-type: none"> 1) Training of peer evaluators 2) Running of 2 pilots peer reviews 3) Evaluation of the pilots and adjustment of procedures <p><i>Develop and implement the IMS procedure for ensuring support in 2019.</i></p>	<p>Establishment of a stable peer review to ensure harmonisation between accreditation and recognition as required by Reg. (EU) 402/2013. Therefore this will create confidence on recognised assessment bodies</p>

Objective 2 - Learning for better Safety				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Sharing and learning from investigated accidents, incidents, precursors and safety alerts, in particular development of an EU Common Occurrence Reporting System alongside the maintenance of ERAIL investigations database.	<p>Number of registered users in the SAIT system</p> <p>Number of alerts in the safety alert system</p> <p>Percentage of ERAIL investigation reports with completed or partially completed causation classification taxonomy</p>	<p>Impact assessment and proposal on future COR system developed.</p> <p>5 alerts and 132 users in SAIT</p> <p>ERAIL system maintained in line with requests of NIBs on information sharing.</p>	<p>If mandate adopted to develop supporting CSM, working party to develop CSM for Common Occurrence Reporting and established.</p> <p>Big data study finalised and published.</p> <p>Further deliverables on the future of risk profiling and the role of NSAs in developing positive cultures around reporting, learning and fairness (just).</p> <p>Current ERAIL system maintained and future system planned in line with requests of NIBs on information sharing and COR.</p> <p>Review of SAIT following users consultations</p>	<p>NSAs, RUs, IMs and NIBs can consult safety alerts or safety analysis, based on reports submitted by other actors, to enhance risk management and risk analyses, in the context of the development of a common occurrence reporting scheme. This will help to ensure better risk-based decision making to improve railway safety performance across different actors in EU.</p> <p>Revision of SAIT, including Terms of Use and Guidance, following a user's consultation, in order to finally enhance its implementation.</p>

Objective 2 - Learning for better Safety				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Sharing and learning from investigated accidents, incidents, precursors and safety alerts, in particular development of an EU Common Occurrence Reporting System alongside the maintenance of ERAIL investigations database.	<p>Number of registered users in the SAIT system</p> <p>Number of alerts in the safety alert system</p> <p>Percentage of ERAIL investigation reports with completed or partially completed causation classification taxonomy</p>	<p>Impact assessment and proposal on future COR system developed.</p> <p>5 alerts and 132 users in SAIT</p> <p>ERAIL system maintained in line with requests of NIBs on information sharing.</p>	<p>If mandate adopted to develop supporting CSM, working party to develop CSM for Common Occurrence Reporting and established.</p> <p>Big data study finalised and published.</p> <p>Further deliverables on the future of risk profiling and the role of NSAs in developing positive cultures around reporting, learning and fairness (just).</p> <p>Current ERAIL system maintained and future system planned in line with requests of NIBs on information sharing and COR.</p> <p>Review of SAIT following users consultations</p>	<p>NSAs, RUs, IMs and NIBs can consult safety alerts or safety analysis, based on reports submitted by other actors, to enhance risk management and risk analyses, in the context of the development of a common occurrence reporting scheme. This will help to ensure better risk-based decision making to improve railway safety performance across different actors in EU.</p> <p>Revision of SAIT, including Terms of Use and Guidance, following a user's consultation, in order to finally enhance its implementation.</p>

Objective 2 - Learning for better Safety				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Safety Briefing Development	Finalised IMS procedure and operational system	Briefings delivered on time	Procedure agreed with the Commission and fully operational (including notification system and support structures)	Executive Director and Commission provided with accurate and relevant briefings following EU fatal rail accidents.
Annual safety performance review meeting with NSAs	IMS processes established and meetings supported by NSAs	First meeting of NSAs to review safety issues across EU	NSA meeting in 2018 shows progress in actions from 2017 and increased engagement from NSAs	Sharing of safety performance information from NSAs at a European level leading to smarter targeting of resources across the EU. Sharing of best practice leading to more effective and efficient safety interventions.

Objective 3 - Monitoring Safety performance				
Main outputs/actions	Indicator	Achieved in 2017/New task	Target 2018	Expected outcome
Collection, management and analysis of safety statistics	Timely publication of report	Safety Overview published of 2017 data	<p>2018 Safety Performance Report, sheets and thematic reports (2016 data) (art. 35(4) Agency Regulation)</p> <p>CSI data collection campaign (ERAIL)</p> <p>Annual CST assessment</p> <p>Support to Eurostat, European Commission and Parliament to achieve alignments of CSI / CST legislation with Regulation (EC) No 91/2003 on Rail Transport Statistics</p>	<p>Consistent, reliable safety performance data drives better policy decision-making.</p> <p>New Eurostat Glossary for Transport Statistics including safety statistics.</p>

Objective 3 - Monitoring Safety performance				
Main outputs/actions	Indicator	Achieved in 2017/New task	Target 2018	Expected outcome
Revision of Common Safety Method for Common Safety Targets- Progress Working Party to develop new Method	Project Plan for development of recommendation	Consultation on value and purpose of targets. New mandate for revision of CSM proposed to RISC Committee	If necessary, mandate for revision of Common Safety Method for Common Safety Targets to be adopted. Development of a method that is consistent with strategic approach to safety development and supports improvement.	Better monitoring and measurement of Safety performance driving better Safety decision making.
ERADIS development- Functioning system for registration of safety certificates, licences and ECM data. Assessment Bodies data and NIB & NSA annual reports	Number of valid and accessible records in the database. IMS procedure(s) developed for the user support of the three services Strategic review of future of safety information databases implemented according to planned milestones	Users of each database supported ad hoc or according to separate IMS procedures	Procedure and dedicated work instructions if needed developed. Strategic review of future of safety information databases substantially complete	Published and accurate information supports an open, European rail sector, including NSA cross border supervision and assessment. Improvement of consistency of approaches regarding user's support management Future of individual databases aligned with OSS and COR

Objective 3 - Monitoring Safety performance				
Main outputs/actions	Indicator	Achieved in 2017/New task	Target 2018	Expected outcome
"Monitoring of the performance and decision-making of national safety authorities" (NSA audit according to Agency Reg. Art. 33). Audit protocols and program established. Training program set up. Pool of experts established.	In 2019, the NSA monitoring should enter into its implementing phase	Project (P) : Development of a scheme for NSA Monitoring 1) Provision of a scheme composed of documents to be approved by the MB (expected on 11/2017 at the latest) <i>Develop the requirements for a training of auditors.</i>	Project (P) : Test and training prior to implementation of the scheme 1) Training of auditors 2) Running 2 or 3 pilots audits with voluntary NSAs <i>Evaluation of the pilots and adjustment of IMS processes</i>	Closer Agency/NSA collaboration. Enhanced Audits. In 2019, the NSA monitoring should enter into its 1st 3-year-cycle.
"Report on the state of implementation and application of EU legislation on railway safety and interoperability in one Member State ." Report to be produced and delivered to the European commission under Art. 35 (5) of the Agency Regulation.	Timely publication of the report	New task	1 report	Clear picture of the functioning of the regulatory framework in a Member State.

Objective 4 – Improving Safety performance				
Main outputs/actions	Indicator	Achieved in 2017/New task	Target 2018	Expected outcome
Promoting a positive safety culture to ensure a high level of safety without increasing the regulatory burden on the sector	Delivery of agreed project plans.	<p>Raising awareness externally of Safety culture through targeted events.</p> <p>Project with Eurocontrol to support state prosecutors and expert witnesses now covers rail, including appropriate materials and expert involvement.</p>	<p>High level leaders commitment to safety culture development amongst national authorities and rail actors</p> <p>Launched feasibility study for evaluating the development of safety culture, according to Directive 2016-798</p> <p>First phase of programme of work with Eurocontrol (to support national prosecutors) complete and assessment carried out of benefit and impact for railways</p> <p>Development of targeted communication and training material on Safety Culture and human and organisational factors</p>	<p>Positive culture underpins excellence in safety management, driving the risk-based approach to safety.</p> <p>Better integration of human factors into railway operations</p>

Objective 4 – Improving Safety performance				
Main outputs/actions	Indicator	Achieved in 2017/New task	Target 2018	Expected outcome
Targeted dissemination on Safety issues	Number of dissemination events	1 or more for each Priority Country Run a pilot comprehensive training program in HU	Organisation of a regular conference on safety in the railway sector Training of NIBs on different topics such as SMS, TSIs, legislation	
Support to the Commission and railway sector on railway matters in relation with third party organisations (OTIF, UNECE) and Dangerous Goods.	Closing the issues submitted to the Agency : number of issues closed/number of issues submitted Number of visits on the dedicated website Number of developed examples	Project (S) : TDG Coordination working group: Participation to meetings organised by commission or OTIF. Around 10/year Project (P) : TDG Roadmap 2014-2017: 1) 3 workshops organised on Transport of dangerous goods management 2) Publication of guide. -RID-TSI-CSM coordination: Set up of steering group to manage requests for modification of TSIs and CSMs in relation to TDG	Project (S) TDG 2018-Assistance to EC : Participation to meetings organised by commission or OTIF. Around 10/year Project (P) : TDG Roadmap 2018-2020: 1) Setting up of dedicated website 2) Initiate the development of a risk estimation engine, aligned with the development of COR 3) 2 workshops organised on guide for risk assessment in Transport of dangerous goods 4) Working group for developing examples of application – (S): -RID-TSI-CSM coordination: Run a steering group to manage requests for modification of TSIs and CSMs	Greater harmonisation across Member States, beyond EU borders. Greater harmonisation of approach across modes for dangerous goods.

Objective 4 – Improving Safety performance				
Main outputs/actions	Indicator	Achieved in 2017/New task	Target 2018	Expected outcome
Support for implementation of CSM Risk Assessment and CSM on monitoring. Provision of training and guidance	Number of individuals/bodies trained	Project (P) : Development of CSM Risk Assessment training Proposal for a more comprehensive risk assessment training module developed for wider range of stakeholders	Project (P) : Development of training on Risk management : 1) Develop the training materials in collaboration with 5 selected universities <i>Run the training</i>	Clearer, more robust application of CSM Risk Assessment and CSM on monitoring
	Provision of guidance	Issue guide on practical application of CSM RA in the framework of VA		
Implementation of new IPA program. Delivery of programme of IPA 2 contract. Provision of a final report to EC	% of programme delivered	Project (P): IPA 2 Finalisation contract IPA 2 100%	Project (P) IPA3 New contract IPA 3 awarded Contract IPA 3 achieved at 50 %	Better and quicker implementation of the EU railway approach and legislation within countries on the way to accession

Objective 5 – Managing Maintenance risks				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Development of the recommendation for the revision of the ECM regulation 445/2011. Delivery of the full impact assessment	Recommendation sent to EC	70% complete. Issue draft implementing act and draft impact assessment for consultation.	Issuing recommendation including impact assessment on extension of scope to EC.	Greater Harmonisation of Vehicles Maintenance
Safety Critical components (Fourth railway package - article 19 of Agency Regulation 796/2016 - article 29 of Recast Safety Directive 798/2016)	Recommendation sent to EC	Completion of the Agency report	Issuing a recommendation on development of a scheme for identification of safety critical components and, where appropriate, marking and trace effectively the safety critical components while ensuring economic efficiency	Greater Harmonisation of Rolling Stock Maintenance

5.1.3 Activity 1 - Harmonised Approach to Safety – Resources

FTE	Budget Title 3 (Operational)	Total budget
48	€1.355.000	€6. 740.000

5.2 Removing Technical Barriers

5.2.1 Overview of Activity 2 - Removing Technical Barriers - Overview

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

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

Regarding Vehicle Authorisation, the Agency will work with the Member States to facilitate the migration from their National Legal Frameworks to the European Legal Framework set up by the Fourth Railway Package and will report the Member States progress to the Commission. The Agency will also build on the experience of the Real Authorisation Cases work in 2014 and 2015 to participate in “Learning Cases” of Vehicle Authorisation. The Agency will continue to develop the guide with the help of stakeholders based on the text adopted at the end of 2017.

In order to increase the trust in the work performed by NoBos, the Agency will further support the implementation of the scheme for accreditation and recognition and progressively put in place the monitoring of NoBos. At the same time, the Agency will carry out a study on conformity assessment modules.

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

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

Objective 6 - Preparing for Vehicle Authorisation under the Fourth Railway Package				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Revision of Agency guidance following learning cases	2 workshops	Published draft guidance	Published revised guidance	Clearer and comprehensive guidance for applicants for VA and authorities
Development of dissemination/training materials for VA	Dissemination/training materials ready		Modules ready to train ERA Staff and members of the pool of experts	Staff competence to the required standards for carrying out Safety assessment
Recruitment plan for the staff required to carry out Vehicle Authorisation	Recruitment plan progress	Recruitments according to the recruitment plan and budget adopted by the Board	Recruitments according to the recruitment plan and budget adopted by the Board	Adequate resources in place
Preparing templates for EC declaration of verification	Templates available	Final templates available	Templates in use	Facilitating authorisation process
Agency internal procedures for VA	Status of the procedures		Procedures approved by the Management team	

Objective 7 - Removing technical barriers				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Loc&Pas TSI	Delivery of (draft) recommendation/report, as applicable	Intermediate report on the TSI revision to include elements from the Fourth Railway Package	Recommendation for TSI revision (4RP).	Replacement of national rules by TSI requirements, where applicable
WAG TSI	Delivery of (draft) recommendation/report, as applicable	Intermediate report on the TSI revision to include elements from the 4RP	Recommendation for TSI revision (4RP).	Replacement of national rules by TSI requirements, where applicable
SRT TSI	Delivery of (draft) recommendation/report, as applicable	New task	Recommendation for TSI revision (4RP).	Replacement of national rules by TSI requirements, where applicable
Noise TSI	Delivery of (draft) recommendation/report, as applicable	Report on strategy for retrofitting existing freight wagon	Recommendation for TSI revision covering existing freight wagons and alignment with 4RP	Simplified requirements for VA and operation
ENE TSI	Delivery of (draft) recommendation/report, as applicable	Ex-Post evaluation report	Interim report on TSI revision	Replacement of national rules by TSI requirements, where applicable
INF TSI	Delivery of (draft) recommendation/report, as applicable	Ex-Post Evaluation report	Interim report on TSI revision	Replacement of national rules by TSI requirements, where applicable
PRM TSI	Completion of revision work	Recommendation to revise PRM TSI regarding IoA requirements.	Recommendation of PRM TSI (including implementation plans and mutual criteria).	PRM updated,

Objective 7 - Removing technical barriers				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
TSI application guides	% planned revision of application guides delivered	Complete 80 % of the revision planned to be completed in the year	Complete 80 % of the revision planned to be completed in the year	TSIs correctly implemented
Support to INEA	Number of INEA calls supported by the Agency	agreed support in the year completed by the Agency Audits of projects granted by INEA	agreed support in the year completed by the Agency Audits of projects granted by INEA	Efficient and effective allocation of EU funds Audits of projects granted by INEA
Cleaning-up of national technical and safety rules	Deliverables	Remaining technical rules including ERTMS and GSM-R on top of TSIs (vehicle) available in RDD OPE TSI Appendix B developed	Report on type 5 national safety rules Report on cleaning-up technical rules for vehicles. Report on cleaning-up technical rules for fixed installation.	Substitution of national rules by TSI requirements
Cooperation with European Standardisation Bodies (CEN/CENELEC/ETSI)	% of needs for RfS addressed	Issuing RfS as needed e.g. to close open points in TSIs Target: address by emission of RfS at least 80% of the needs raised by stakeholders in the year	Idem as 2017	Assure an adequate coverage of interoperability issues by EU standards

Objective 7 - Removing technical barriers				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Cooperation with ISO/IEC	Liaison, MoU or other agreement concluded	ongoing	Define the type of agreement to be concluded	Better involvement of the Agency on international standardisation
Cooperation with OTIF	alignment EU/OTIF rules achieved	Alignment TSI /UTP Ongoing Alignment of OTIF legislation with Fourth Railway Package	Idem as 2017	Promotion and use of EU railway regulation outside EU (extending interoperability beyond the EU)
Cooperation with OSJD		Ongoing	ongoing	Promotion and use of EU railway regulation outside EU (extending interoperability beyond the EU)
Support to the Commission to set up international agreements to facilitate rail transport at EC borders, including the European Neighbourhood Instrument (ENI) programme.	% of ENI project delivered	On demand for general support. For ENI 100% of planned activities for 2017 delivered	On demand for general support. For ENI 100% of planned activities for 2018 delivered	Promotion and use of EU railway regulation outside EU (extending interoperability beyond the EU)

Objective 7 - Removing technical barriers				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
The Agency taking active role in assisting RFC in removal of technical barriers, especially in implementing ERTMS with priority to 2020/2022 corridors	% of Agency contributions	Agency attendance to RFC meeting on demand	Agency attendance to RFC meeting on demand	Removal of national rules; constructive suggestions to TSI WP
Objective 8 – Removing operational barriers				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
OPE TSI	Delivery of (final draft) recommendation	Final draft recommendation for OPE TSI revision	Final recommendation issued	Replacement of national operational rules by TSI requirements, where applicable
Developing examination scheme for Driver Licence	WP/deliverable	ongoing	Report issued	Recommendation and accompanying report for amending the TDD
Objective 9 – Ensuring efficient and effective conformity assessment				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Accreditation/recognition scheme for NoBos and AsBos	Recommendations/reports delivered	Accreditation scheme follow-up implementation and update	idem	Increased NoBos work quality and trust

Objective 9 – Ensuring efficient and effective conformity assessment				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Monitoring the quality of works performed by NoBos	Recommendations/reports delivered	Implementation of the monitoring scheme First steps towards NoBos audits and inspections	Audit and inspections ongoing	Increased NoBos work quality and trust
Participation in NB-Rail strategy, plenary and subgroup meetings	% of meetings attended	Ongoing	Ongoing	Increased NoBos work quality and trust
Preparing templates for EC certificates	Templates available	Final templates available	Final templates in current use	Facilitating application for authorisation
Revision of conformity assessment modules	Study finalised	ToR and project plan approved	Study finalised	Cost savings and simplification of conformity assessment

5.2.3 Activity 2 - Removing Technical Barriers – Resources

FTE	Budget Title 3 (Operational)	Total budget
50	€528.000	€6.137.375

5.3 A Single EU Train Control and Communication System

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

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

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

The harmonised specifications alone will not deliver the full set of benefits expected from ERTMS. It is necessary to ensure their coordinated applications, also by promoting best practices and proven approaches with engineering rules and operational concepts, and achieving cost effective verification and authorisation. The Stakeholders Platform will be instrumental to enable those objectives, in parallel with the progressive implementation of the Fourth Railway Package roles of the Agency in Vehicle Authorisation and trackside ERTMS approval. The Agency will increase direct contact and seek feedback from real implementations. The Agency will apply de facto the principles of the Fourth Railway Package approval to trackside projects and develop mechanisms on how to advise on the compatibility between ERTMS on-board and trackside, as stipulated in Article 30 of the Agency Regulation. The Agency will elaborate a harmonised operational rulebook to foster the consistent use of ERTMS. The Agency will cooperate with DG MOVE leveraging on the cost/value-added of the ERTMS Deployment Manager, in particular focusing on the compliance of trackside ERTMS implementations, and providing support to the INEA Executive Agency regarding projects for which an application for Community financial aid has been submitted. The Agency will complete investigations on the threats and opportunities of cyber-security related to safety critical software and communication systems. The Agency will propose the definition of the future communication system, ensuring a wide consultation of all relevant stakeholders.

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

Objective 10 – Increasing the Agency’s role in the checking of ERTMS projects compliance with the specifications, on-board and trackside				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Application Guide for the ERTMS trackside approval process; Requirements for assessors and requirements for possible procurement	Application Guide Status of requirements for assessors and possible procurement	Practical Arrangements included in EC Recommendation	First version of Application Guide finalized Draft requirements for assessors and for possible procurement	Harmonised implementation of ERTMS fostering SERA
Agency internal procedures for ERTMS Trackside approval	Status of the procedures		Procedures approved by the Management team	Harmonised implementation of ERTMS fostering SERA
Preparing and developing procedures for advising applicants for VA on the compatibility between on-board and trackside ERTMS.	According to project plan	New task	Develop Practical Arrangements for the process of advising on the compatibility between ERTMS on-board and trackside subsystems	Harmonised implementation of ERTMS fostering SERA
Agency internal procedures for ERTMS Trackside approval	Status of the procedures		Procedures approved by the Management team	Harmonised implementation of ERTMS fostering SERA

Objective 10 – Increasing the Agency’s role in the checking of ERTMS projects compliance with the specifications, on-board and trackside				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Preparing and developing procedures for advising applicants for VA on the compatibility between on-board and trackside ERTMS.	According to project plan	New task	Develop Practical Arrangements for the process of advising on the compatibility between ERTMS on-board and trackside subsystems	Harmonised implementation of ERTMS fostering SERA
Provide technical input to the call definition, funding decision drafting and action evaluation to verify the compliance of projects with Interop Directive and ERTMS standard Preparation of internal process and guidance on examination of ERTMS trackside projects	Answer to all requests from INEA in a timely manner	All requests from INEA timely answered and Task 6 coordination successfully ensured	100% of INEA requests timely processed	Harmonised implementation of ERTMS fostering SERA

Objective 11 – Ensuring interoperable and stable ERTMS				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Integration of priority game changers (ATO, L3, braking curves, satellite positioning)	Program plan for game changers	ATO (GoA2) specifications relevant for TSI defined, in coordination with S ² R	ATO (GoA2) specifications agreed at CCM level (test and validation pending S ² R planning) Game Changers managed according to program plan	Ensure managed evolution preserving stability and compatibility
Publication of Change Requests solutions on ETCS + GSM-R as output of the CCM process	Number of new CR received and closed Compliance with CCM procedure	Technical Opinion on error corrections	100% of the new CR received and closed Compliance with no non-conformities with the CCM procedure	Ensure managed evolution preserving stability and compatibility
Ad hoc meeting NoBo WG	Number of meetings	3	3	Ensure managed evolution preserving stability and compatibility
Cyber-security – position paper on feasible/necessary measures for ERTMS and the future	Level of integration of security requirements in the consultation paper of the future communication system	Cyber-security requirements related to ETCS and GSM-R – draft report	100% of security requirements integrated in formal consultation paper for future communication system	Ensure managed evolution preserving stability and compatibility
Stakeholder Platform fully functional	Report from Stakeholders' Platform Test and Validation WG	First Board Meeting organized	Published report from Stakeholders' Platform Test and Validation WG	Ensure managed evolution preserving stability and compatibility

Objective 11 – Ensuring interoperable and stable ERTMS				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
CCS TSI	Recommendation for TSI revision	Project plan for limited CCS TSI revision	Delivery of intermediate report including the Recommendations	Ensure managed evolution preserving stability and compatibility
Processing of proposals for further harmonization of ERTMS operational rules within the Operational Harmonization working group.	Proposals raised by Working Group for amendments to Appendix A to OPE TSI	Draft Appendix A to the OPE TSI	100% of proposals processed for next OPE TSI	Ensure managed evolution preserving stability and compatibility
Objective 12 – Establishing and improving communication backbone for railways				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Consultation paper covering: Catalogue of feasible options Migration strategy options Identification of potential “clients” for data channel (TAF, TAP, energy meters, Dangerous Goods,)	Progress according to program plan	Proposals of catalogue of options and dependencies	Fully published, including smooth migration path Formal position of rail sector concerning spectrum needs	Allowing EU railways to prepare for technological/business evolution

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

FTE	Budget Title 3 (Operational)	Total budget
28	€580.000	€3.721.250

*5.4 Simplified access for customers**5.4.1 Overview of Activity 4 - Simplified access for customers*

The functional and technical specifications for the OSS which will be put in production when the Agency has to effectively deliver Vehicle Authorisations and Single Safety Certificates and check the technical solutions of ERTMS tenders. This release of the OSS will be used at first in shadow running. The business needs for the Vehicle Authorisation part of the One Stop Shop Database has been developed in 2016 with particular attention on the requirement to include an “early warning” system to identify at an early stage the needs for coordination between decisions to be taken by national safety authorities and the Agency in the case of different applications requesting similar authorisations.

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

In 2018 the Agency will continue performing the maintenance of the following railway IT tools, registers and databases:

- › Register of Infrastructure (RINF, expected to be completed by 2019 according to the 2014 Decision))
- › European Centralised Virtual Vehicle Register (ECVVR) and its successor European Vehicle Register (EVR)
- › European Register of Authorised Types of Vehicles (ERATV)
- › Vehicle Keeper Marking Register (VKMR)
- › ERA Database for Interoperability and Safety documents (ERADIS)

The Agency will also work on their continuous improvement (in particular for the revision of the Decision on the infrastructure register and the consolidation and integration of the railway-related registers) and will support the MSs and stakeholders in their implementation and use.

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

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

The agency will revise the TAF TSI and the TAP TSI regulations in order to simplify the procedure for the update of its technical baseline in accordance with the TAF TSI and TAP TSI Change Control Management process as envisaged by Commission Delegated Decision Supplementing the Directive 2016/797 in view to facilitate the deployment of harmonised protocols and processes for exchanging information between railway actors will enable RUs and IMs to permanently locate freight trains and exchange documents related to the carried goods. The deployment of similar harmonised protocols and processes will allow the issue by travel agents of seamless tickets covering several RUs in several countries and the exchange of additional traveling information between stakeholders / customers according to the European Rail Passengers' Rights Regulation. Above deployment of those harmonised protocols and processes will be done in a multimodal environment where special attention will be paid to aspects such as information exchange towards emergency systems in freight or connection to other modes of transport in passenger transport. The Agency will in this context continue to monitor the implementation of above harmonised protocols / processes and issue implementation progress report to EC. In addition, focus will be placed on dissemination activities vis-à-vis the RUs, IMs and other impacted actors in form of regional workshops. Moreover, in order to ensure the TSI compliant deployment of the Telematics Subsystems, the Agency could check upon request the level of compliance of the developed IT applications against:

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

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

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

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

Objective 13 – Preparing a One-Stop-Shop (OSS) for certification and authorisation under the Fourth Railway Package				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Functional and technical specifications of OSS	Specifications submitted to and adopted by the Board	Specifications covering 100% of the essential functionalities of the OSS, to be adopted by the Board	OSS in production for shadow running Adoption by MB	Tool ready for shadow running
Objective 14 – Facilitating users’ access to relevant data				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Implementation and revision Register for Infrastructure (RINF)	75% completed in accordance with the 2014 Decision, Monitoring reports issued	Improved completeness of database Revision of RINF decision taking into account feedback from users started Recurrent reporting on monitoring and implementation of RINF issued	Submission of the ERA recommendation on the revised RINF Decision Report Recurrent reporting on monitoring and implementation of RINF issued	Availability of reliable information concerning railway fixed installations regarding a possible future use for compatibility checks Further progress in the population of RINF in accordance with the 2014 Decision
Development of the European Vehicle Register EVR	Implementation of the new EVR specifications started	Recommendation for EVR Specifications submitted to EC	IA adopted and implementation of the EVR specifications started	EVR fully operational in 2021

Objective 14 – Facilitating users’ access to relevant data				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
ERATV	Revision the ERATV Decision and alignment with OSS started	New task	Revision of the ERATV Decision and alignment with OSS started	Revised ERATV fully operational in June 2019
ERADIS development- Functioning system for registration of EC declarations of verification of subsystems, EC declarations of conformity of interoperability constituents, EC declarations of suitability of use of interoperability constituents, Authorisation for placing in service and RU Service quality performance reports	Number of valid and accessible records in the database. IMS procedure(s) developed for the user support Strategic review of future of ERADIS database implemented according to planned milestones	Users of ERADIS supported ad hoc or according to separate IMS procedures	Procedure and dedicated work instructions developed, if needed. Strategic review of future of ERADIS information databases substantially completed	Published, accurate information supports an open, European rail sector, including NSA cross border supervision and assessment. Improvement of consistency of approaches regarding user’s support management Future of individual databases aligned with OSS and COR
PRM inventory of assets (IoA)	Completion of specifications	IoA specifications included in draft revised PRM TSI	IoA specifications in force.	Availability to the public of information of PRM TSI implementation

Objective 14 – Facilitating users’ access to relevant data				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Single Rules Database (SRD)	SRD specifications finalized SRD IT development started	SRD Users Group established SRD Users Group consulted (4 meetings) SRD Business Processes and Use case diagrams V0.1 established Specific Contract with the IT vendor established	SRD specifications finalized SRD IT development started	Transparency of rules SRD operational by June 2019
TAF TSI	Recommendation submitted to the commission.	Expert group establishment	Adoption by MB	Facilitate the update of the TAF technical Baseline
TAF TSI	% deliverables available	TAF TSI updated and implemented	idem	Availability of relevant reliable information for freight operation
TAP TSI	Recommendation submitted to the commission.	Expert group establishment	Adoption by MB	Facilitate the update of the TAP technical Baseline
TAP TSI	Delivery of intermediate report TSI	TAP TSI revision WP started	Intermediate report on the TAP TSI revision	TAP TSI open points closed, link TAP TSI PRM IoA

Objective 14 – Facilitating users’ access to relevant data				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Program definition for management of multimodal transport data	Programme defined	Preparatory analysis completed	Program plan adopted	Facilitate multimodal mobility

5.4.3 Activity 4 - Simplified access for customers – Resources

FTE	Budget Title 3 (Operational)	Total budget
14	€1.550.000	€3.120.625

5.5 Evaluation, Management and Resources

5.5.1 Overview of Activity 5 - Evaluation, Management and Resources

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

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

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

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

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

Objective 15 – Ensuring the coordination of the Fourth Railway Package implementation				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Cooperation arrangement framework adopted by the Board Apportionment of fees and charges adopted by the Board Establishment of the pool of experts	Board or EC adoption or approval	Supporting processes in place for the shadow running phase	Appointment decision by MB	Agency ready to perform shadow running
Appointment of the members for the BoA and appointment decision	Board or EC adoption or approval	Proposal for the IA for the rules of procedure for the BoA	Appointment decision by MB	Agency ready to establish its BoA

Objective 16 – Ensuring a prioritised portfolio of the Agency activities				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Early impact assessments for ERA strategies in view of setting up the SPD	% of ERA finalized strategies complemented with an early impact assessment	Relevant strategies defined	75%	Agency focusing on those objectives/programs with the highest positive impact for the railway sector
Impact assessments for recommendations and opinions/advices	% of issued recommendations and opinions accompanied by an impact assessment	100%	100%	Agency delivering recommendations and opinions with the highest positive impact for the railway sector
Ex post evaluations for selected topics	No. of ex post evaluations performed	According to the needs identified	According to the needs identified	Better understanding of the legislation's actual impacts and potential underlying drivers
New edition of the railway system report issued, including the railway indicators	% of Railway Indicators measured in the Railway System Report	80%	80%	Transparency on the outcomes/impacts of Agency's work in the railway system
Economic Steering Group (ESG)	% of SPD Objectives for which further evidence on benefits and costs was collected through the ESG taskforces	New task	5%	Transparency on the outcomes/impacts of Agency's work in the railway system

Objective 16 – Ensuring a prioritised portfolio of the Agency activities				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Railway System Data Inventory (RSDI)	% of RSDI implementation	New task	100%	Agency making use of up-to-date economic and descriptive data in its activities
Planning, monitoring and reporting	Timely delivery of the SPD, quarterly reports and AAR	100%	100%	Transparency on the outcomes/impacts of Agency's work in the railway system
Objective 17 – Ensuring efficient and effective communication				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Further implementation of the communication strategy	% deployment according to the 2018 plan	95%	95%	A better outreach of the Agency's activities and deliverables.
Communication/dissemination plan 2018	% delivered to MB in January 2019	100%	100%	
Data Visualisation Tool (DVT)	% of DVT implementation	New task	100%	Agency enhancing its capabilities in communicating and reporting on evaluation and monitoring tasks

Objective 18 – Ensuring the implementation of the Agency’s Integrated Management System (IMS)				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Documenting and implementing processes and procedures, and continuously reviewing related improvements Maintaining the ISO 9001 Certification	% in line with the relevant roadmaps including 3 rd party audit implementation plan	100%	100%	Agency as a reliable and trustworthy business partner for all stakeholders
Objective 19 – Ensuring legality of Agency’s activities				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Legal advice and opinions	% legal advice and opinions delivered in time according to the process or procedure	100%	100%	Ensuring compliance of the Agency’s activities with the relevant legal frameworks at national and European level

Objective 20 – Ensuring that railway related research and International Standards are aligned with SERA and ERA objectives				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Assisting the S ² R JU & other entities involved in research projects affecting the rail sector according to the Agency Research & Innovation Strategy	Agency's interest in research projects identified Identification of Research & Innovation initiatives with high potential of market uptake	Classification of S ² R research projects according to the Agency interest Research & Innovation Strategy put in place	100% of S ² R projects classified Follow up of research projects of high interest for the Agency Implement the Agency Research & Innovation strategy	S ² R main documents aligned with the objectives of the EC and ERA for the creation of the SERA in a balanced way taking account of the stakeholders' needs Strengthen the system approach to Research & Innovation in Rail
Contribute to the definition and implementation of the S ² R Master Plan, in particular by performing the following advisory tasks: (a) proposing possible amendments to the S ² R Master Plan and to the annual work plans, in particular to ensure that research needs relating to the realisation of the Single European Railway Area are covered;	% research projects which are in full compliance with the EU regulatory provisions % of TSIs open points closed with support from the S ² R projects % of research outcomes incorporated in EU regulatory texts Guidelines produced	Contribution to the review of the S ² R MAAP and AWP Contribution to the S ² R IP Steering Committees and Research projects for which the Agency has high interest	Push for a single, clear and long term "Big picture" of railway research & innovation needs. Contribute to the simplification of the S ² R Master plan Strengthen and monitor the interface between regulatory provisions, standards and Research and Innovation within the framework of the S ² R programme 100% published guidelines	1 single, clear, long term vision shared and endorsed by the railway actors (possibly extended at global/international level)

<p>(b) proposing, after consultation with the stakeholders, guidelines for research and development activities leading to technical standards with a view to guaranteeing the interoperability and safety of results;</p> <p>(c) reviewing the common developments for the future system and contributing to defining target systems in regulatory requirements;</p> <p>(d) reviewing project activities and results with a view to ascertaining their relevance to the S²R objectives and to guaranteeing the interoperability and safety of research results.</p>				
<p>Providing specific expertise for the evaluation of the submissions to S²R</p>	<p>% of requests answered by the Agency for specific expertise in the evaluation of the submissions to S²R</p>	<p>100%</p>		

Objective 20 – Ensuring that railway related research and International Standards are aligned with SERA and ERA objectives				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Working with the Commission, EU stakeholders and standardisation bodies within and outside the EU to ensure optimal development of standards and their alignment with mandatory rules and regulations		Railway Standardisation Platform (RASCOP) launched with the EC and Stakeholders. Mapping of standardisation activity	TBA in discussion with EC and RSCOP	Structured coherent framework of regulation and standards. Gaps, overlaps and inconsistencies addressed.
Objective 21 – Support to the development and dissemination of the EU acquis				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Assistance to the Commission in the promotion of European regulations and standards for railways according to the International Relations Strategy	% support requested by the Commission provided	Programme of actions established with the Commission and non-EU entities	To be defined in the programme of actions	Removal of technical barriers to trade
Supporting EC in its promotion of European regulations and standards for railways, for interoperability and safety of railway transport in the Mediterranean Region	% Contractual requirements met	EUMEDRAIL launched	EUMEDRAIL objectives met	Requirements of DG NEAR met; full participation of EUMEDRAIL states

Objective 21 – Support to the development and dissemination of the EU acquis				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
First steps for the development of a railway system strategy with the EC, including Management and maintenance of Common Positions	% of Positions completed	First set of Common Positions adopted	100%	Consistent and coherent common understanding of the railway system framework and its key concepts The EU framework may be easily understood by non-EU actors
Objective 22 – Ensuring sound management of the Agency’s human and financial resources, ICT services and facilities				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Number of selection procedures planned and carried out in a year	% implementation of the establishment plan	95%	96%	Full use of the available and planned human resources
	X months as an average length of a selection procedure	3 months	3 months	
Average number of training days per staff member (formal training and language courses)	Min. average number of training days per staff member	8	8	Continuous improvement of staff skills and knowledge

Objective 22 – Ensuring sound management of the Agency’s human and financial resources, ICT services and facilities				
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2017/New task</i>	<i>Target 2018</i>	<i>Expected outcome</i>
Annual budget executed as planned	% of the annual appropriations committed	95%	95%	Efficient use of financial resources
	% carry-over of payment appropriations	<10% for T1; <20% for T2; <30% for T3	<10% for T1; <20% for T2; <30% for T3	
	% of execution of C8 payment appropriations	95%	95%	
Secured ICT environment	Number of security incidents causing loss of data, business disruption or public embarrassment	0 incidents	0 incidents	Secure working environment

5.5.3 Activity 5 - Evaluation, Management and Resources – Resources

FTE	Budget Title 3 (Operational)	Total budget
52	€3.240.243	€9.073.993

Annexes

Annex I: Resource allocation

1. Multi-annual resource allocation

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

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

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

2. Resource allocation 2018

Activity	Unit Staff	DIRECT COSTS	INDIRECT COSTS		TOTAL BUDGET 2018 PER ACTIVITIES
		Contribution 3rd parties (Ch 30)	Other contributions (Ch31)	TITLE 1 & TITLE 2	
	FTE	ACTIVITIES			
Harmonised Safety Framework	48	1.355.000	-	5.385.000	6.740.000
Removing Technical Barriers	50	528.000	-	5.609.375	6.137.375
Single EU Train Control and Communication System	28	580.000	-	3.141.250	3.721.250
Simplified Access for Customers	14	1.550.000	-	1.570.625	3.120.625
Evaluation, Management and Resources	52	1.600.000	1.640.243	5.833.750	9.073.993
Grand Total	192	5.613.000	1.640.243	21.540.000	28.793.243

3. Background

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

In close coordination with DG MOVE, the Agency has developed a very significant preparation programme which between 2016 and 2019 will transform the entire Agency to enable us to perform our new role, in particular as decision makers in the Single European Railway Area. The deadlines are very ambitious and can only be respected if the necessary resources are made available. Within this preparation programme, and in

line with the approved Agency budget for 2017 and 2018, there already has been a significant ramp-up of resources in the Agency since 2017, ensuring that the Agency will be ready to shadow-run the treatment of real applications for safety certificates and vehicle (type) authorisations in mid-2018, and to take over the full responsibility for treating such applications from 2019.

Budget needs for 2018

Considering the above, the 2018 resource need for ERA is to have 40 contract agents and 148 temporary agents foreseen in the establishment plan 2018.

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

Annex II: Financial Resources 2018-2020

Table 1 – Expenditure

<i>Expenditure</i>	2017		2018	
	<i>Commitment appropriations</i>	<i>Payment appropriations</i>	<i>Commitment appropriations</i>	<i>Payment appropriations</i>
Title 1	18 372 200	18 372 200	18 790 000	18 790 000
Title 2	2 750 000	2 750 000	2 750 000	2 750 000
Title 3	9 609 800	9 609 800	7 253 243	7 253 243
Total expenditure	30 732 000	30 732 000	28 793 243	28 793 243

<i>Expenditure</i>	Commitment appropriations						
	Executed Budget N-1	Budget N	Draft Budget N+1		VAR N+1 / N	Envisaged in N+2	Envisaged N+3
			<i>Agency request</i>	<i>Budget Forecast</i>			
Title 1 Staff Expenditure	17.696.412	18.372.200	19.400.000	18.790.000	+2%	18.926.807	22.350.732
11 Salaries & allowances	17.127.707	17.727.200	18.725.000	18.115.000	+2%	18.251.807	21.675.732
- of which establishment plan posts	17.127.707	17.727.200	18.725.000	18.115.000	+2%	16.449.807	16.705.732
- Of which salary costs related to F&C						1.802.000	4.970.000
12 Expenditure relating to Staff recruitment							
13 Mission expenses	125.500	140.000	140.000	140.000	-	140.000	140.000
14 Socio-medical infrastructure	272.000	340.000	370.000	370.000	-	370.000	370.000
15 Training	178.869	160.000	160.000	160.000	-	160.000	160.000
17 Receptions and events	2.070	5.000	5.000	5.000	-	5.000	5.000

Expenditure	Commitment appropriations						
	Executed Budget N-1	Budget N	Draft Budget N+1		VAR N+1 / N	Envisaged in N+2	Envisaged N+3
			Agency request	Budget Forecast			
Title 2 Infrastructure and operating expenditure	2.488.787	2.750.000	2.750.000	2.750.000	-	2.750.000	2.750.000
20 Rental of buildings and associated costs ^[1]	1.223.942	1.350.000	1.350.000	1.350.000	-	1.350.000	1.350.000
21 Information and communication technology	798.421	700.000	700.000	700.000	-	700.000	700.000
22 Movable property and associated costs	105.323	295.000	295.000	295.000	-	295.000	295.000
23 Current administrative expenditure	228.896	220.000	220.000	220.000	-	220.000	220.000
24 Postage / Telecommunications	132.205	185.000	185.000	185.000	-	185.000	185.000
Title 3 Operational expenditure	6.942.898	9.609.800	7.256.000	7.253.243	-25%	8.936.143	14.157.043
30 Operational Activities directly linked to the Regulation n°881/2004	2.556.300	7.530.000	5.523.000	5.613.000	-25%	5.613.000	5.613.000
30 Expenses linked to F&C activities					-	1.682.900	6.903.800
31 Operational expenditures	4.386.598	2.079.800	1.733.000	1.640.243	-21%	1.640.243	1.640.243
TOTAL EXPENDITURE	27.128.097	30.732.000	29.406.000	28.793.243	-6%	30.612.950	39.257.775

^[1] Including possible repayment of interest; detailed information as regards building policy provided in Table in Annex III

Table 2 – Revenue

<i>Revenues</i>	2017	2018
	Revenues estimated by the agency	Budget Forecast
EU contribution	30 000 000	28 135 398
Other revenue	732 000	657 845
Total revenues	30 732 000	28 793 243

<i>Revenues</i>	2016	2017	2018		VAR 2018 / 2017	Envisaged in 2019	Envisaged in 2020
	Executed Budget	Revenues estimated by the agency	As requested by the agency	Budget Forecast			
1 REVENUE FROM FEES AND CHARGES²						3.484.900	11.873.800
2. EU CONTRIBUTION³	26 700 000	30 000 000	28 700 000	28 135 398	93%	26.500.000	26.750.000
of which Administrative (Title 1 and Title 2)							
of which Operational (Title 3)							
of which assigned revenues deriving from previous years' surpluses	787 016	357 000	378 214	378 214	5.9%		
SPECIFIC CONTRIBUTION FOR ONE-STOP-SHOP							
3 THIRD COUNTRIES CONTRIBUTION (incl. EFTA and candidate countries)	695 879	732 000	706 000	657 845	49%	628.050	633.975
of which EFTA	695 879	732 000	706 000	657 845	90%	628.050	633.975
of which Candidate Countries							

² Subject to the adoption of the F&C Regulation.

³ Amounts in line with Financial Programming/2013 Communication
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<i>Revenues</i>	2016	2017	2018		VAR 2018 / 2017	Envisaged in 2019	Envisaged in 2020
	Executed Budget	Revenues estimated by the agency	As requested by the agency	Budget Forecast			
4 OTHER CONTRIBUTIONS							
of which delegation agreement, ad hoc grants							
5 ADMINISTRATIVE OPERATIONS							
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT							
7 CORRECTION OF BUDGETARY IMBALANCES							
TOTAL REVENUES	27 395 879	30 732 000	29 406 000	28 793 243	93%	30.612.950	39.257.775

Table 3 – Budget outturn and cancellation of appropriations

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

Annex III: Human Resources 2018-2020*Table 1 – Staff population and its evolution; Overview of all categories of staff*

Staff population		Staff population in voted Budget 2015	Staff population actually filled at 31.12.2015	Staff population in voted Budget 2016	Staff population actually filled at 31.12.2016	Staff population in voted Budget 2017	Staff population in EU Budget 2018	Staff population envisaged in 2019	Staff population envisaged in 2020
Officials	AD								
	AST								
	AST/SC								
TA	AD	104	99	99	97	103	111	111	111
	AST	33	36	36	36	36	37	37	37
	AST/SC	0	0	0	0	0	0	0	0
Total TA		137	135	135	133	139	148	148	148
CA GFIV		6	6	15	12	21	19	17	17
CA GF III		4	5	5	8	8	8	8	8
CA GF II		7	7	7	6	10	10	10	10
CA GF I		3	3	3	3	3	3	3	3
Total CA		16	21	30	29	42	40	38	38
SNE		8	3	4	3	4	4	4	4
Structural service providers ⁴		7	7	7	7	10	10	10	10
Total		168	166	176	172	195	205	204	204
External staff for occasional replacement									

⁴ This category is not included in the breakdown of staff presented in 3.2 of this Programming Document.

Table 2 – Multi -annual staff policy plan 2018-2020

Function group and grade	2016		2016		2017		2018		2019		2020	
	Authorised under the EU Budget		Filled on 31.12.2016		Authorised under the EU Budget		Request of the Agency		Request of the Agency		Request of the Agency	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16												
AD 15										1		1
AD 14		1		1		1		1				
AD 13										1		
AD 12						1		2		3		4
AD 11		6		3		5		6		7		8
AD 10		14		12		18		18		19		20
AD 9		31		25		33		32		32		34
AD 8		20		16		21		22		21		25
AD 7		13		20		14		15		15		10
AD 6		14		20		10		15		12		9
AD 5												
AD TOTAL		99		97		103		111		111		111
AST 11												
AST 10												
AST 9		3		2		3		3		3		2
AST 8		4		1		5		5		5		6
AST 7		4		1		4		4		5		6
AST 6		3		3		3		3		3		5
AST 5		7		7		8		8		8		9
AST 4		6		6		9		9		9		7
AST 3		6		10		3		4		4		2
AST 2		3		6		1		1				

Function group and grade	2016		2016		2017		2018		2019		2020	
	Authorised under the EU Budget		Filled on 31.12.2016		Authorised under the EU Budget		Request of the Agency		Request of the Agency		Request of the Agency	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST 1												
AST TOTAL		36		36		36		37		37		37
AST/SC 6												
AST/SC 5												
AST/SC 4												
AST/SC 3												
AST/SC 2												
AST/SC 1												
AST/SC TOTAL												
TOTAL		135		133		139		148		148		148

Annex IV:

A. Engagement policy

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

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

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

Selection and engagement procedures:

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

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

The selection procedures for the recruitment of **Temporary Agents** are carried out in accordance with Decision N° 121 of the Administrative Board of the European Railway Agency laying down the general implementing provisions on the procedure governing the engagement and use of temporary staff under Article 2(f) of the CEOS. The General Implementing Provisions on the procedures governing the engagement and use of **Contract staff** at the European Railway Agency (N° 340/11.2010) was adopted on the 9th November 2010 and are expected to be replaced in the course of 2017.

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

- The drafting, translation⁵ and publication of a **call for applications** fixing amongst other specifications, whether the post is for short-term or long-term employment, eligibility and selection criteria, type and duration of contract and engagement FG and grade, references to the selection procedure (including participation to other assessment process if applicable, e.g. assessment centres for managerial posts). The Agency publishes the call for applications (as well as the names and roles in the selection committee⁶) on its website, IntraComm and the EPSO website. Calls for applications are also sent to other EU agencies, members of the Administrative Board, the permanent representations of Member States to the EU and national railway organisations. Calls for applications are also promoted through specialised press, when appropriate.
- **Applications** are received only by e-mail and to be sent to a dedicated functional mailbox.
- A **selection committee** is nominated by the Executive Director and is composed of at least three members including the Head of Unit concerned, a representative from the Resources & Support Unit (usually from the HR Sector) and a representative nominated by the Staff Committee. In specific situations experts from outside the Agency are invited to be members of a selection committee. The role of the selection committee is to prepare the list of questions and the written test, to select on the basis of eligibility and selection criteria the candidates to be short listed or put on a reserve list, to conduct the interviews and written tests, to evaluate the replies and integrate the results of all related assessment, to decide on the suitability of applicants and make a recommendation to the Executive Director on the applicant (s) to be included in the shortlist or reserve list of successful candidates. As a general rule, all members of the selection committee will have followed the relevant training offered by DG HR.
- The **compliance with impartiality, confidentiality and transparency of procedures** is monitored by the HR Sector and deviances are transmitted to the Executive Director. For example: all members of the selection committee complete a 'declaration of confidentiality and conflict of interest' form.
- **Interviews, written tests** and, where applicable, additional assessment are organised by the HR Sector which provides logistic and administrative support including the scheduling of interviews/test(s), sending invitations to the applicants and responding to queries from invited applicants.
- **Recommendations of the selection committee** are prepared summarising the results of the assessment and drawing up a list of applicants considered suitable for the post. The evaluation sheets signed by the members of the Committee are annexed to the written recommendation.
- The Executive Director adopts a **decision** on the candidates to be entered on the shortlist or reserve list and any job offers to be made.
- All candidates are informed of the result of their application.
- There is **access to information** regarding all stages of the selection procedure for candidates who so request it. Documents are kept by the HR Sector in accordance with the guidelines of the European Data Protection Supervisor.
- A candidate who considers that a mistake has been made regarding the eligibility of his/her application has 20 days to launch an appeal procedure. The selection committee has 45 calendar days to reply to requests for appeal.

⁵. Was introduced in the course of 2016.

⁶. *Id.*

- **Data is processed** in accordance with Regulation (EC) N°45/2001 of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies on the free movement of such data.
- The **engagement procedure** consists of telephone contact with the candidate, confirmation, by e-mail, and exchange of information using the personal data form to calculate monthly salary. The candidate is also required to complete a declaration of conflict of interest. The step at engagement level is calculated, a salary simulation is made, and the job offer is sent by post. An invitation for a pre-engagement medical check-up is sent together with a request for the necessary supporting document proving the successful candidate meets all provisions to be engaged. A contract of employment is then issued following the receipt of all relevant documentation and a medical 'fit to work' certificate to be signed by the AACC (by delegation from the MB) and the to be engaged staff member.

A simplified procedure for the selection of **Seconded National Experts** is in the pipeline.

As the rules stipulate, before the secondment of an SNE is formalised, the Agency sends a letter to his/her employer requesting written approval of the secondment and also of the period of secondment concerned (Exchange of letters).

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

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

For managerial posts or highly specialised posts, the Agency can engage Temporary Agents at grades AD 9, AD10, AD11 or on an exceptional basis, at grade AD12. However, except for the post as Executive Director, no post has so far been filled at a level above AD11.

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

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

a. **Temporary agents**

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

The decision to renew contracts of employment of Temporary Agents occupying a long-term post shall be taken by the Executive Director based on two considerations: the continuity of the post and the competences

and performances of the jobholder, in accordance with Decision N° ERA-ED-DEC-678-2013 and the Procedure PRO_STA_01 on “renewal and non-renewal of contracts of employment before the expiry date”.

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

b. Contract agents

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

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

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

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

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

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

SNEs are seconded from their national employer to the Agency’s operational units on the basis of their specific competenc(i)es and technical expertise in the railway domain.

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

c. Seconded national experts⁷

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

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

Types of key function:

- › Project Officer

d. Trainees

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

⁷. SNEs are not employed by the Agency.

e. Structural service providers⁸

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

B. Appraisal of performance and reclassification/promotions

The Agency applies Decision N° 132 of the Administrative Board of the European Railway Agency on the general provisions for implementing Article 43 of the Staff Regulations and implementing the first paragraph of Article 44 of the Staff Regulations for temporary staff and Decision N° 133 of the Administrative Board of the European Railway Agency on the general provisions for implementing Article 87(1) of the Conditions of Employment of Other Servants of the European Union and implementing the first paragraph of Article 44 of the Staff Regulations. They were applied for the first time for the appraisal and reclassification exercise taking place in 2016.

The 10th reclassification exercise took place in 2017 and 17 members of staff were reclassified. Since 2016, the Agency adopted rules for the reclassification of Contract Agents.

⁸ Structural service providers are not employed by the Agency.

Table 1 - Reclassification of temporary staff/promotion of officials

Category and grade	Staff in activity at 01.01.2016		How many staff members were promoted / reclassified in 2016		Average number of months in grade of reclassified/promoted staff members
	officials	TA	officials	TA	
AD 16					
AD 15					
AD 14		1			
AD 13					
AD 12					
AD 11		3			
AD 10		13			
AD 9		26		4	51.84
AD 8		15			
AD 7		19			
AD 6		21		5	30.90
AD 5					
Total AD		98		9	
AST 11					
AST 10					
AST 9		2			
AST 8		1			
AST 7		1			
AST 6		3			
AST 5		7		2	51.11
AST 4		6			
AST 3		10			
AST 2		6			
AST 1					
Total AST		36		2	
Total		137		11	

Table 2 - Reclassification of contract staff

Category and grade	Staff in activity at 01.01.2016		How many staff members were promoted / reclassified in 2016		Average number of months in grade of reclassified/promoted staff members
	officials	CA	officials	CA	
FG I		3		1	94
FG II		7		2	77
FG III		3			
FG IV		5		2	43.50
Total CAs		18		5	

C. Mobility policy

1. *Mobility within the Agency*

Decision N° 121 of the Administrative Board of the European Railway Agency laying down the general implementing provisions on the procedure governing the engagement and use of temporary staff under Article 2(f) of the CEOS (adopted on 25.11.2016) enshrines two scenarios for internal mobility for TA 2(f). These are reassignment in the interest of the service and mobility following the internal publication of a post.

The Agency actively promotes internal mobility but due to the very specific, technical competences of a big part of the staff, internal mobility remains limited.

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

2. *Mobility among agencies (Inter-agency Job Market)*

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

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

3. *Mobility between the agencies and the institutions*

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

4. *Tables for 2016 (Temporary agents, contract agents and SNE's)*

	2016	
	New staff	Departing staff
Mobility within the agency		
Mobility among agencies		
Mobility between the agencies and the institutions		
Other	11	1
Total	11	1

D. Gender and geographical balance

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

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

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

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

Even though, the specific business area and technical labour market may be the main reasons for overrepresentation of men in the Agency, in every call for applications, the Agency underlines its commitment to promote equal opportunities, including gender balance and diversity, as also stated in the Agency’s Human Resources strategy. The same applies to the Member States’ representatives in the Management Board. As of mid-2017, the Management Board is being chaired by Mrs Clío Liégeois.

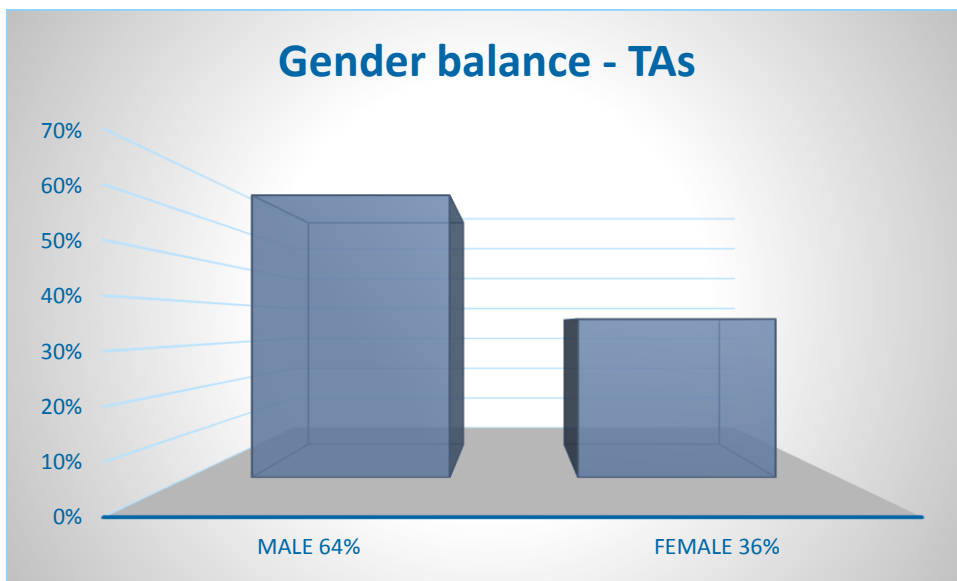
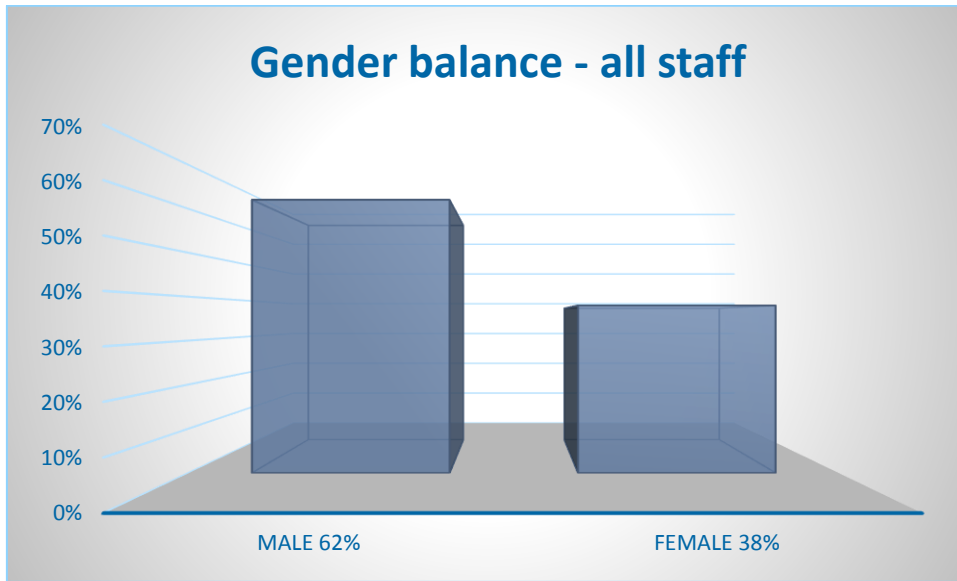
The Agency welcomes the European Commission’s new Diversity and Inclusion strategy in order to reach at least 40% women in its management by 1 November 2019. However, this strategy is not applicable to the Agency due to its size, type of contract (long-term) and limited possibility of mobility. The Agency nevertheless keeps this target for its entire staff and not only for its Management.

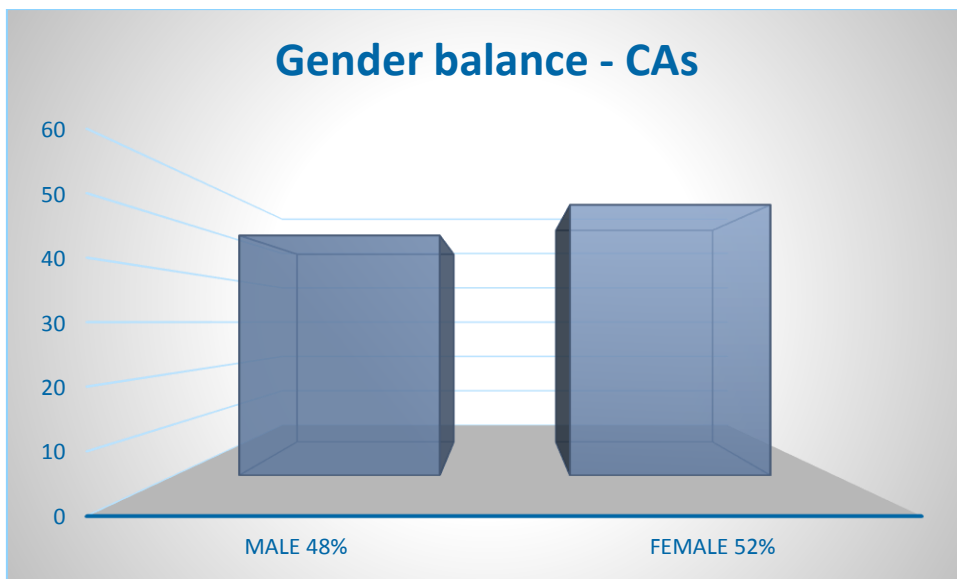
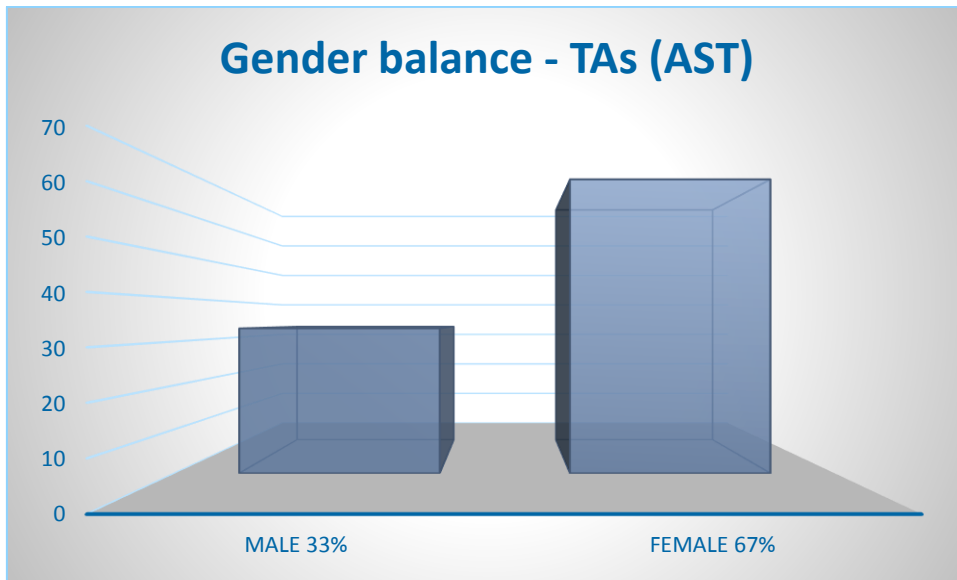
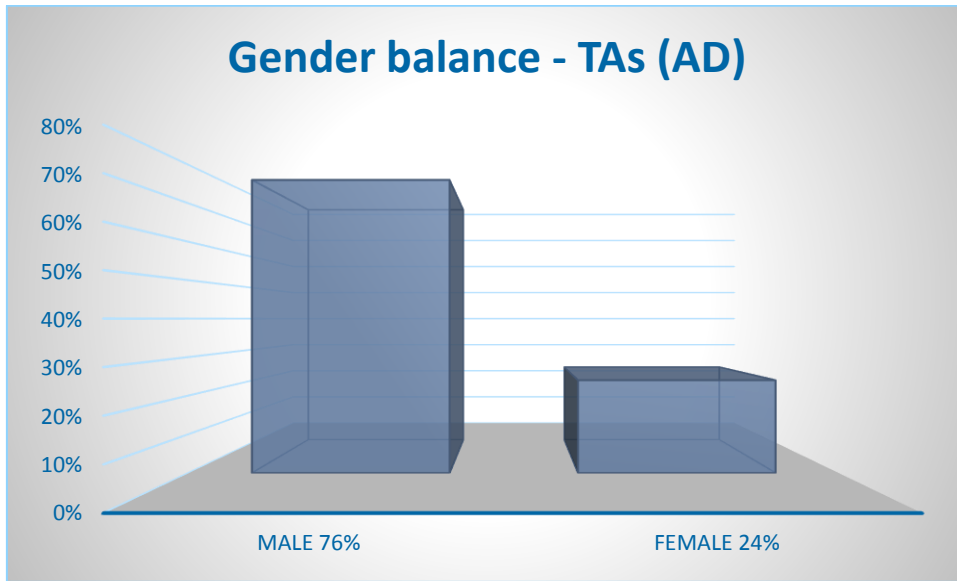
As gender balance across all staff is a concern for many Agencies, we expect a debate at the Network of Agencies in the near future.

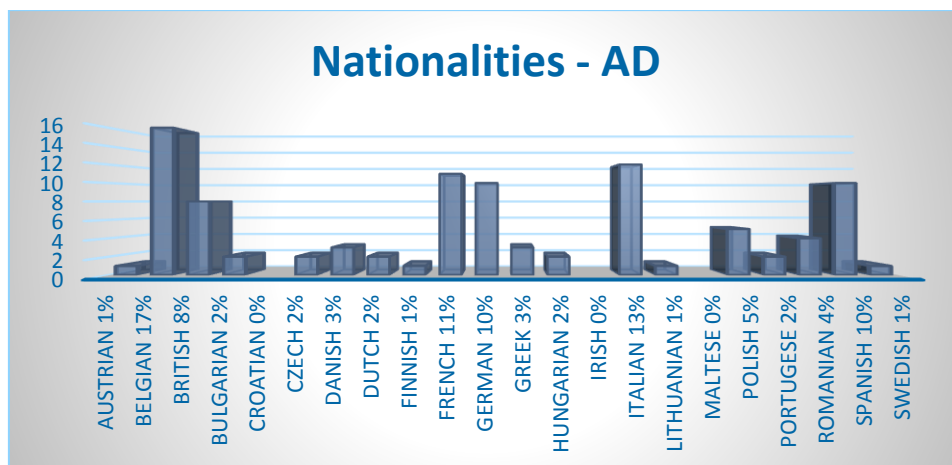
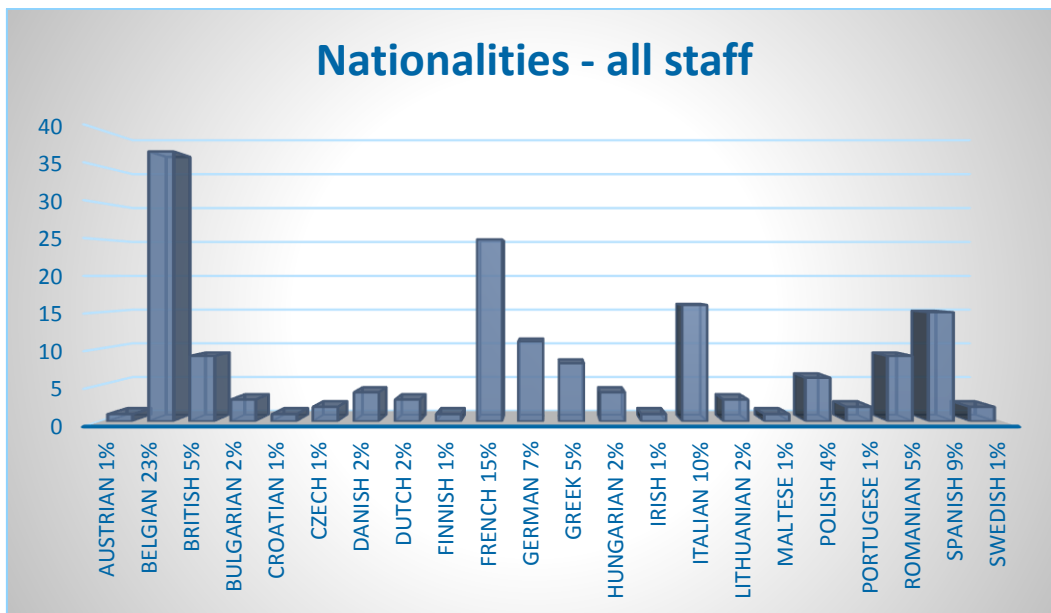
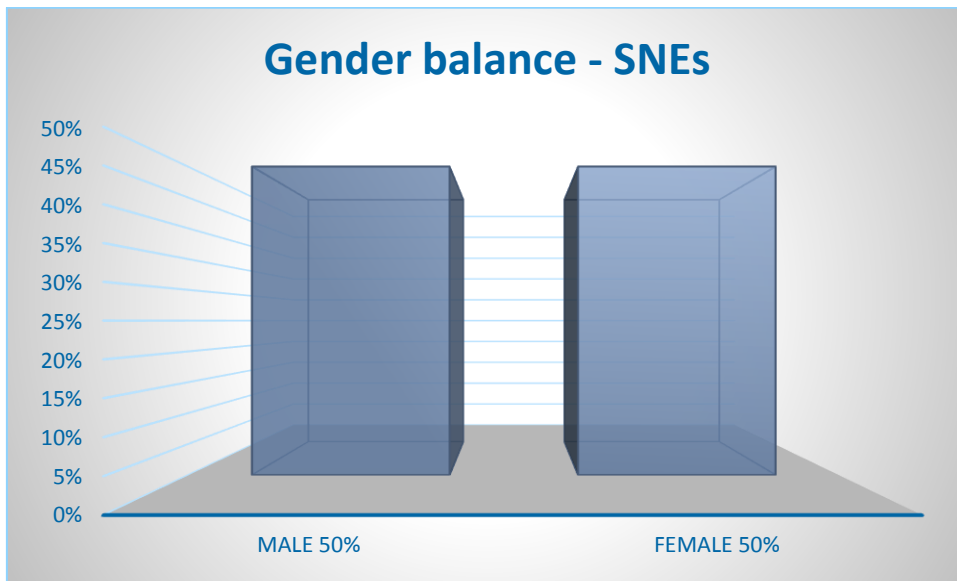
The Agency will also look into the possibility to cooperate with the EU “Platform for change”, initiated by the European Economic and Social Committee and to be launched towards the end of 2017, to address gender equality in transport.

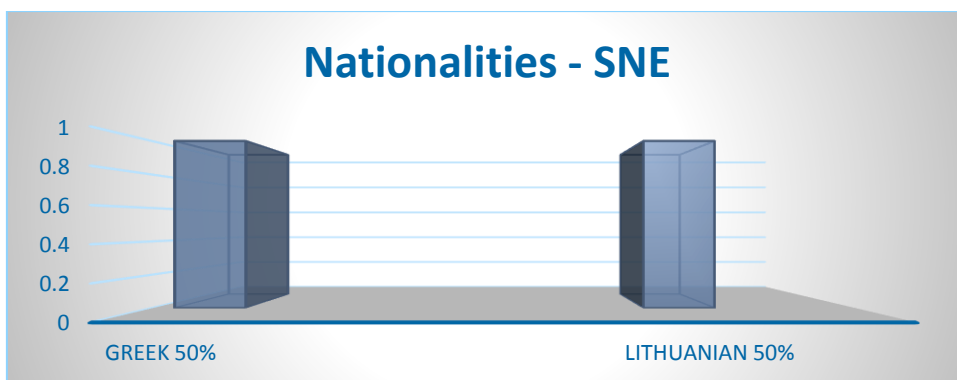
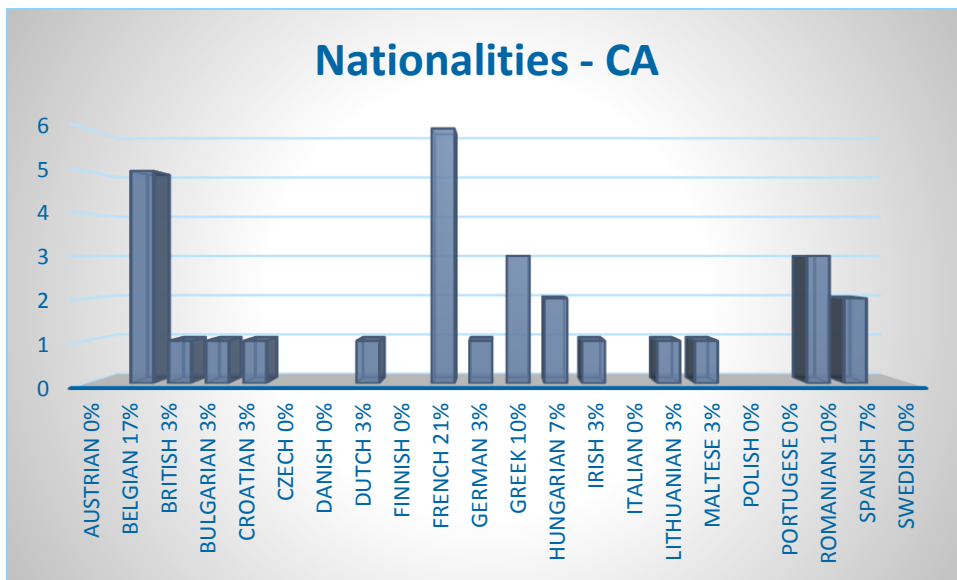
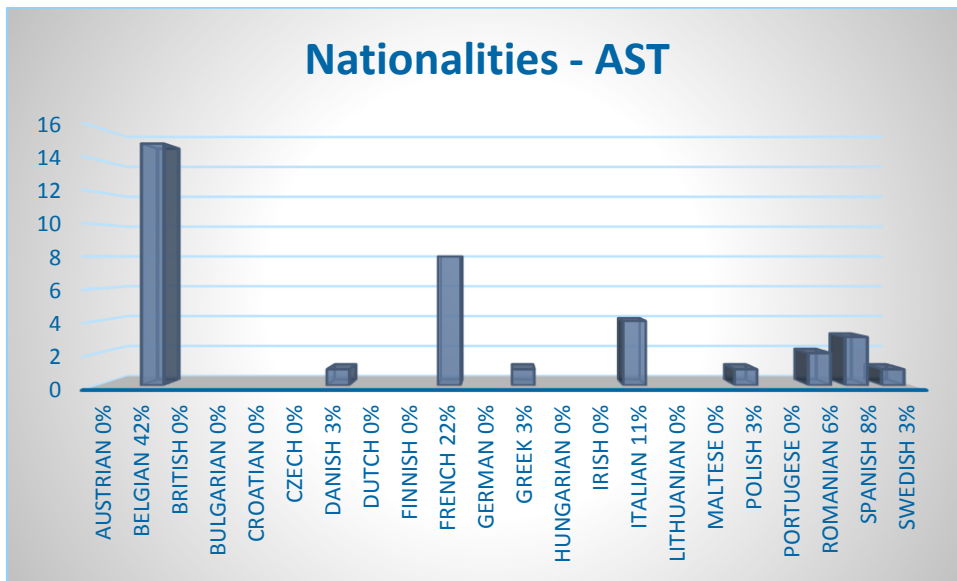
The Agency further actively supports initiatives to increase the attractiveness of the railway sector for women, and promotes gender diversity.

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









E. Schooling

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

Annex VI: Privileges and immunities

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

Annex VII: Risks 2018

Title	Risk description Consequence/Cause		Activity/ Objective 2018	Impact (1-5)	Likelihood (1-5)	Inherent risk	Considering controls in place + effectiveness	Impact (1-5)	Likelihood (1-5)	Residual risk	Measures to achieve acceptable risk for management	Deadline	Date of origin
Inconsistent and late transposition of the 4th RWP in Member States	i) major shortcomings in the project planning (delays and possible complaints from stakeholders), ii) inadequate	(may be caused by) a) Insufficient preparedness of the Member States (e.g. roles,	Activity 1: Harmonised approach to Safety Activity 2: Removing technical barriers	5	4	Critical (20)	a) The key processes provides the possibility of different iteration in the assessment phase giving time to put in place and to have enough feedback from the audit scheme to be put	4	3	High (12)	a) Participation of the Agency in learning case phase - Identification/selection of SC and VA projects at national level with	a) June 2019 Oct 2017 c) 11/2017 for SSCs and VAs 02/2018	SPD 2016

	<p>use of resources</p> <p>iii) low quality of deliverables (VAs, Safety certificates-SC) which might lead to increase number of appeals to Agency decisions</p> <p>iv) Low political support/ stakeholders' reluctance</p> <p>v) Member States within a different area of use might be in a different state of transposition and/or different level of understanding, leading to unclarity in the process</p> <p>might represent a reputational risk for the Agency perceived as main responsible for</p>	<p>responsibilities, working methods) involved in delivering the key processes (i.e issuing VA, safety certificates, checking ERTMS trackside files) to the specific requirements</p> <p>b) New processes/systems of work (i.e. revised CSM, new practical arrangements, relevant guides) not applied in a consistent manner by all concerned actors (NSAs and the Agency)</p>	<p>Objective 1: Preparing for the Single Safety Certificate under the Fourth Railway Package</p> <p>Objective 6: Preparing for Vehicle Authorisation under the Fourth Railway Package</p> <p>Objective 10: Increasing the Agency's role in the checking of ERTMS projects compliance with specifications onboard and trackside</p>				<p>in place for NSA and NOBO activities.</p> <p>b) Regular and structured meetings with the stakeholders (in particular NSAs, MSs, EC)</p> <p>c) Participation of the Agency in real cases authorisation.</p> <p>d) Monitoring MS progress towards conformity with the 4RWP</p> <p>e) Regular and structured meetings with the stakeholders(in particular NSAs, MSs, EC)</p> <p>f) A 4RWP Steering Committee involving all key stakeholders set up</p> <p>g) Coordination with NSA for detailed dissemination within each MS& organisation of dissemination workshops</p> <p>h) Communication campaigns in transport ministries</p> <p>i) Organisation of regional workshops/conferences (SERA)</p>				<p>volunteering NSAs</p> <p>b) Development of clear guides for each of the 3 new tasks</p>	<p>for ERTMS trackside</p>	
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	<p>issuing VA and SC across EU + the success of the Agency as European Authority depends on cooperation with MS + negative impact on the rail market)</p>												
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<p>Secondary legislation (implementing acts) watered down by Member States</p>	<p>Insufficient legal framework for processing the applications for the SSC and VAs</p> <p>Ineffective and inconsistent implementation of the tasks regarding the 4RWP</p>	<p>(may be caused by)</p> <p>a) Agency proposal for the implementing acts on practical arrangements adopted without the essential requirements ensuring adequate implementation of the Interoperability and Safety Directives</p>	<p>Activity 1: Harmonised approach to Safety</p> <p>Activity 2: Removing technical barriers</p>	5	4	Critical (20)	4	3	High (12)	<p>a) Organising structured exchange of information with NSAs in the framework of NSA's subgroups</p>	<p>a)-Sept 2017</p> <p>b)-d) Nov 2017</p>	SPD 2017
		<p>b) Due to inconsistent and late input from the NSAs on the content of the framework on cooperation agreements</p> <p>c) Inherent issues of legal translation of</p>	<p>Objective 1: Preparing for the Single Safety Certificate under the Fourth Railway Package</p> <p>Objective 6: Preparing for Vehicle Authorisation under the Fourth Railway Package</p>							<p>a) Regular and structured meetings with the stakeholders (in particular NSAs, MSs, EC)</p> <p>b) Participation of the Agency in real cases authorisation.</p> <p>c) Monitoring MS progress towards conformity with the 4RWP</p> <p>d) Regular and structured meetings with the stakeholders(in particular NSAs, MSs, EC)</p> <p>e) NSA's subgroups set up for developing proposals on cooperation agreements</p> <p>f) Organisation of regional workshops/conferences (SERA)</p>		

		the 4RP technical pillar leading to a different interpretation of the meaning in different EU languages												
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<p>Inadequate competences and ineffective allocation of staff</p>	<p>i) negative impact on the planning of current and future HR needs and skills requirements</p> <p>ii) lack of quality and delays of the agency current and future key outputs/objectives (e.g. implementation of railway registers, one single stop shop)</p> <p>iii) damage of the Agency reputation.</p>	<p>(may be caused by)</p> <p>a) Insufficient measures taken to ensure the necessary/right staff competences (e.g. especially for new areas of responsibilities) and</p>	<p>Activity 5: Evaluation, management and resources</p>	5	4	Critical (20)	4	2	Medium (8)	<p>a) Mid and long term - Continue the implementation of the competency management system project - Set-up of a pool of experts from NSAs;</p> <p>- Selection and engagement of staff with specific competences (as determined by the gap analysis)</p>	<p>a) 06/2018 -12/2017 -12/2017</p> <p>12/2107</p>	SPD 2016
		<p>b) Difficulty to recruit enough competent staff</p> <p>c) Not enough budget and headcount provided</p> <p>d) Insufficient information about the workload involved to perform the Agency tasks</p> <p>e) Insufficient</p>	<p>Objective 22: Ensuring sound management of the Agency's human and financial resources, ICT services and facilities</p> <p>a) Competence management project ongoing (identification of competences for the VAs and SSCs; gap analysis; estimation of workload)</p> <p>b) Implementation of the simplified selection procedure</p> <p>c) Selection and engagement of CAs is ongoing</p> <p>d) Generic job description project ongoing</p> <p>b) Implement a functional review of all Agencies functions</p> <p>c) Development of the HR strategic Plan 2018-2013</p> <p>d) Self-assessment of staff skills and competencies</p> <p>e) MS Project tool supporting planning and implementation of the selection and engagement process</p>									

		resources in the HR sector									f) Workload analysis to be done, consequently reinforcement and reallocation of tasks within the HR Sector		
Corporate cyber security risk	<ul style="list-style-type: none"> Temporary suspension, slowing down or delay on operational activities/services. 	(May be caused by): Agency ICT application systems, including Agency registers	Activity 5: Evaluation, management and resources	4	3	High (12)	Business Continuity Plan and IT Security policy in place	4	2	Medium (8)	Implementation of ICT strategy 2017-2020 with a focus on the measures regarding information security governance (i.e.	-end 4th quarter 2017-end 4th quarter 2018	SPD 2018

	<ul style="list-style-type: none"> • Loss of information 	disrupted by cyber attacks	Objective 22: Ensuring sound management of the Agency's human and financial resources, ICT services and facilities							SECURIS @ERA).			
Inappropriate data management	a) Inconsistent and unreliable data b) misinformed/uninformed management decisions c) Not	(may be caused by) a) Inconsistent/inadequate management of external railway data	Activity 4: A simplified access for customers	5	4	Critical (20)	<ul style="list-style-type: none"> • Consultants and staff member recruited to support the business owners and to develop a roadmap for further development and use of Agency databases and 	4	3	High (12)	Implement an effective and consistent management of external data (development of a specific program	30/12/2017	SPD 2017

	delivering complete and accurate products/services d) Impose administrative burden to the rail sector	(e.g. registers)b) Inadequate technical systems as well	Objective 14: Facilitating users' access to relevant data				registers;• RVRR project ongoing				on management of railway data)		
Delay in reduction of national rules	<ul style="list-style-type: none"> • Delay in achieving the specific requirements of interoperability • Discrimination among operators on the railway market 	(May be caused by):	Activity 2: Removing technical barriers	5	4	Critical (20)	<ul style="list-style-type: none"> • Bilateral meetings in place with NSAs to support the clarifications of NTRs • Guidance developed under the project Notif-It • Structured approach and common criteria for cleaning up NTRs established 	4	3	High (12)	a) Revision of the recommendation on OPE TSI b) Provide an user friendly tools for facilitating the notification of NTRs (i.e. creation of a single database rule)	a) 30/03/2018 b) Development by end 2018 Migration by 09/2019	SPD 2017
		<ul style="list-style-type: none"> • Insufficient resources in the Agency and Member States (MS) to manage the process • Partial lack of cooperation from MS to contribute • Insufficient European standard framework regarding operational rules • Rules/requirements coming from regulations 	Objective 7: Removing technical barriers										

		outside the rail domain											
Noise reduction targets not achieved	<ul style="list-style-type: none"> Ineffective/noticeable reduction of noise generated by the rail freight wagons Barriers to 	(May be caused by): <ul style="list-style-type: none"> Different/divergent stakeholders 	Activity 2: Removing technical barriers	5	4	Critical (20)	<ul style="list-style-type: none"> TSIs on noise in force since 2011 Environmental Noise Directive 	4	3	High (12)	1. Cooperation with the Commission to define appropriate and reasonable timescales for	i) August 2017 ii) 2nd quarter 2018	SPD 2017

	<p>railway interoperability and EU railway market</p>	<p>opinions to accommodate</p> <ul style="list-style-type: none"> • Project with high economic implications for stakeholders (i.e. high costs implications) • Unilateral measures taken by MSs against the reduction of railway noise (i.e. leading to barriers in interoperability) 	<p>Objective 7: Removing technical barriers</p>							<p>retrofitting of existing wagons</p> <ul style="list-style-type: none"> i) Adoption of delegated acts by the EC ii) Recommendation of the Agency on revising NOI TSI 			
<p>Security requirements create new barriers</p>	<p>i) Delays or limits to the implementation of key objectives in the field of interoperability (i.e. removal of technical barriers, cleaning up of national rules)</p> <p>ii) Member States could</p>	<p>(may be caused by)</p> <p>a) Potential occurrence of malicious acts affecting the rail sector</p> <p>b) Increase of (cyber) security attacks leads to</p>	<p>Activity 2: Removing technical barriers</p> <p>Activity 3: A single EU train control and communication system</p>	4	5	Critical (20)	<ul style="list-style-type: none"> • Safety requirements already in place • TSIs and CSMs are the available mechanisms to enable the implementation of an EU common approach on security 	4	3	High (12)	<p>Mapping of all the areas of interoperability that may be affected by the security issues</p>	30/12/2017	SPD 2016

	<p>impose additional measures contradicting TSI or ERTMS specifications (e.g. KMS, ..)</p> <p>(even if reasons outside the Agency, could have negative consequences for the Agency as it increases the usual workload and affects its reputation as the Agency is perceived as main responsible for implementation of interoperability)</p>	<p>development of additional security measure</p> <p>c) Security is an area under the competence of MS</p>	<p>Objectives 7: Removing technical barriers</p> <p>Objective 11: Ensuring interoperable and stable ERTMS</p>										
<p>EU's railway acquis undermined as global reference for</p>	<p>a) EU Railway Acquis not suitable for adoption by others as global reference</p>	<p>(may be caused by):</p> <p>a) EU Railway acquis unnecessarily complex and/or</p>	<p>Activity 5: Evaluation, management and resources</p>	3	4	High (12)	<p>ISO and IEC have governance that is independent from ERA and the EC. EU Member States who are involved in ISO and IEC governance need to fulfil their obligations under TBT to ensure the</p>	3	-3	Medium (9)	<p>a) In the ongoing review and development of the EU interoperability and safety ensure that the needs of</p>	<p>a) a1. first draft 12/2017 final version 06/2018</p>	<p>SPD 2017</p>

<p>standardisation and regulation</p>	<p>b) • Tendency towards fragmentation of the rail sector and market for rail products; • Increased costs for rail products; • Slow innovation</p> <p>c) Europe may lose its role of leading global standardisation (e.g. products based on European standards may not accepted outside Europe) affecting the competitive position of Europe</p> <p>d) The EC and the Agency may lose their influence over standardisation' activities necessary to support the TSIs, CSMs and</p>	<p>limited in scope</p> <p>b) Railway standards' content migrating from CEN-CENELEC to ISO IEC</p> <p>c) New emerging global standards may be influenced by stakeholders from outside Europe</p> <p>d) World trade agreements give precedence to international standards which may overrule the current EN standards referenced in or giving presumption of conformity to TSIs</p>	<p>Objective 20: Ensuring that railway related research and International Standards are aligned with SERA and ERA objectives</p> <p>Objective 21: Support to the development and dissemination of the EU acquis</p>				<p>involvement of their rulemakers (ERA and EC).</p> <p>International relations strategy and EC standards (RASCOP) platform in place at EC level</p> <p>International Strategy in place</p> <p>Agency taking a strong role in the EC Standardisation Platform (RASCOP) to ensure optimal development of standards and their alignment with mandatory rules and regulations</p>			<p>the sector are met with the most viable and simple solutions in order that non-EU entities will be encouraged to adopt the same approach.</p> <p>a1) Develop together with the EC an Agency strategy supported by common positions for the development of the framework with a scope which is broad enough to be adopted outside EU</p> <p>a2) Contribute to railway related research activities to ensure that research needs relating to the single European railway area are covered in particular supporting S2R by reviewing developments for the future system and making proposals for the Multi-annual Plan</p>	<p>a2. according to the timescale for review of the S2R Master Plan</p> <p>b) ongoing through 2018</p> <p>c) as requested by the EC</p> <p>d) started & ongoing through 2018</p> <p>e) ongoing through 2018</p>	
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	other EU railway regulations									<p>(according to the times scale for reviewing of the Master plan)</p> <p>b) Actively promote the EU acquis - by developing relationships with entities outside the EU competent in matters covered by Agency activities - by managing EU instruments on behalf of the EC (e.g. IPA, EUMedrail)</p> <p>c) Actively assist the Commission on railway related international relations and trade negotiations disseminating and promoting the EU acquis (e.g. Technical working group envisaged by the Japanese trade agreement talks)</p> <p>d) To make proposals for</p>	<p>Target dates</p> <p>a) Review of first draft by the EC and the Agency - sept. 2017</p>	
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											<p>mechanisms through RASCOP to ensure that standards development delivers the most viable solutions and that the needs of the EU SERA (e.g. interoperability) are met by international standards</p> <p>e) Promote the recognition of Agency type and VA and safety certification outside the EU</p>		
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<p>Ineffective contribution to innovation in the Sector</p>	<p>The Agency:a) fails to deliver in its role as "orchestrator" of innovation in the shared systemb) acts as a barrier to innovation by not adapting TSIs or being over-conservative in the autorisation processc) has an inconsistency of approach to understanding and evolution of EU framework</p>	<p>The Agency:a) fails to identify and promote the right targets for researchb) fails to ensure rail is integrated into the transport reserch agenda (including multi-modal solutions)c) fails to promote innovation adapted from outside the rail sectord) misses the "big picture" objectives for the target SERA railway system in the development of its work acts by continuing a fragmented, bottom up project by project</p>	<p>Activity 5: Evaluation, management and resources</p>																
		<p>Objective 20: Ensuring that railway related research and International Standards are aligned with SERA and ERA objectives</p>	4	4	High (16)	4	3	High (12)	<p>Implement the research strategya) contribute to the definition of the S2R multiannual plan by identifying subject areas for innovation to make rail safer and more competitiveb) develop in partnership with EC/ERRAC/Shift to Rail/ the framework conditions for the target shared railway system for 2030-2040 c) set-up with ERRAC, S2R and EC a Research and Innovation Platform of stakeholdersd) contribute to the evaluation of the deployment potential of proposed initiatives in each of the S2R calls e) monitor how the regulatory framework is addressed</p>	<p>a) periodic review by the Governin g Board of S2Rb) draft 12/2018 final version 12/2019c) end 2017d) according to S2R planninge) according to the planning of each IPf) + g) as required by the evolution of the innovations</p>	SPD 2016								

		approach to the development of TSIs etc.									regulation provisions in the Innovation Programs (IP) of S2R by participating in the Steering Groups f) ensure there are no regulatory barriers to adoption of innovation by making proposals for the adoption of the regulatory framework (TSI's, CSMs) to take account of innovative solutions resulting from research g) ensure all subjects/concepts where there are inconsistencies of understanding and direction are covered by agreed Common Positions		
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<p>Loss of interoperability after GSM-R</p>	<ul style="list-style-type: none"> • Obsolescence of GSM-R technology (e.g. IMs or RUs decide to procure communication systems (replacing GSM-R) incompatible with target solution) • The Agencies Program on evolution of radio does not deliver timely (in 2022) new standards as replacement for GSM-R in the CCS TSI • Member state may decide on an allocation of radio spectrum incompatible with target solution 	<p>(may be caused by):</p> <p>a) No consensus on functionality, technical solution, migration strategy on the communication system</p>	<p>Activity 3: A single EU train control and communication system</p>	5	4	Critical (20)	<p>Coordination Working Group with all relevant stakeholders, that monitors:</p> <ul style="list-style-type: none"> - Technical developments (availability, suitability and sustainability of technologies) - Migration schedule (start and end dates for operations with GSM-R and other technologies, while maintaining interoperability) - Spectrum availability in EU 	4	3	High (12)	<p>Define and implement a new system to replace GSM-R</p> <p>a) Report to the EC on the definition of the new system</p> <p>a1) First intermediate report</p> <p>a2) Second intermediate report</p> <p>b) Provide recommendation to the EC for changes in CCS TSI</p> <p>b1) First report</p> <p>b2) Second report</p> <p>c) Launch the study on technical architecture</p>	<p>2022</p> <p>a) 2018 a1) end 2017 a2) 06/2018</p> <p>b) 2021 b1) end 2017 b2) 06/2018</p> <p>c) Oct 2017</p>	SPD 2017
		<p>b) No suitable radio spectrum available, in particular for the transitional period</p> <p>c) Low level of contribution by stakeholders to the Agency project (i.e. definition of new communication system), so that results of studies and</p>	<p>Objective 12: Establishing and improving communication backbone for railways</p>										

		standards are not sufficiently representative											
Unsatisfactory proposal on ERTMS approval	Dissatisfaction to NSAs and Infrastructure managers (IMs), possibly causing	(May be caused by) Inability: a) to reach	Activity 3: A single EU train control and communication system	4	3	High (12)	<ul style="list-style-type: none"> • Consultation with NSAs and IMs foreseen in the framework of the 4RWP • Provisional agreement reached with European 	4	3	High (12)	Apply process developed on a number of learning	01/02/2018 01/07/20	SPD 2017

	<p>shortfall to the Agency (i.e. refusal of IMs to pay the fees for ERTMS Trackside approval if the service provided by the Agency is not considered as value for money),</p> <p>Loss of credibility for the Agency and – in a worst case scenario - possible intervention from European Commission.</p>	<p>an agreement on a solution in line with legal text that satisfies both stakeholders.</p> <p>b) to source resources to carry out process</p>	<p>Objective 10: Increasing the Agency's role in the checking of ERTMS projects compliance with the specifications, onboard and trackside.</p>				<p>Commission on the scope of the ERTMS trackside approval</p> <ul style="list-style-type: none"> • Interim support from the EC Deployment Management Team acquired for Learning Cases • Workshops and bilaterals meetings to consult stakeholders (i.e. NSAs, IMs,) and update Agency proposal on ERTMS trackside approval process (Nov 2016 & Feb 2017) 			<p>cases, disseminate findings and improve process where necessary</p> <p>Set up of a pool of experts (via a framework contract)</p>	18 (FWC signed)		
<p>Authorisation and certification workload</p>	<p>i) in case of low number of VAs applications>low fee income>negative impact on HR planning</p>	<p>(May be caused by)</p> <p>Uncertainty with regard to:</p> <p>a) the number of Vehicle authorisation</p>	<p>Activity 1: Harmonised approach to Safety</p> <p>Activity 2: Removing technical barriers</p>	5	3	Critical (15)	<p>a) Internal task force in charge of the overall coordination of the programme has been established in April 2015.</p> <p>b) Monthly progress reports to the ERA management team to identify potential problems and decide</p>	5	2	High (10)	<p>a) Identification/selection of SC and VA projects at national level with volunteering NSAs</p> <p>b) Mid and long</p>	<p>a) Oct 2017</p> <p>c) 06/2018</p>	SPD 2016

	<p>ii) in case of higher number of VAs applications >legal deadlines for issuing VAs may not be met</p> <p>iii) ineffective application of 4RWP legislation (which could represent a reputational risk for the Agency perceived as main responsible for issuing VAs across EU)</p>	<p>s (VAs) applications;</p> <p>b) the correct adoption and implementation of the implementing acts by the MS;</p>	<p>Objective 1: Preparing for the Single Safety Certificate</p> <p>Objective 6: Preparing for Vehicle Authorisation under the Fourth Railway Package</p>				<p>adequate measures.</p> <p>c) Coordination meetings with the European Commission, NSAs and the AB have been put in place to ensure coherence of the programme.</p> <p>d) Survey to the manufacturer to estimate the number of VA based on the current ongoing tenders and those ones expected in the next years</p> <p>e) A 4RWP Steering Committee involving all key stakeholders set up</p>				<p>term - Continue the implementation of the competency management system project</p> <ul style="list-style-type: none"> - Set-up of a pool of experts; - Selection and engagement of staff with specific competences (as determined by the gap analysis) 		
<p>Delay in the implementation of One Stop Shop</p>	<p>Delay- in the implementation of the Agency new tasks –i.e. granting safety certificates and issuing VA</p>	<p>(may be caused by)The operational availability of the ‘One stop shop’ tool is</p>	<p>Activity 1: Harmonised approach to Safety</p> <p>Activity 2: Removing technical barriers</p>	5	4	Critical (20)	<p>a) Application Architect Designer (ADD) appointed from September 2015b) Close cooperation between the ADD and the operational units to ensure the capture of the business</p>	5	1	Medium (5)	<p>a) Specification to be approved by the Management Board b) Develop a BCP that can be activated in case the OSS is not</p>	09/2017 06/2018	SPD 2016

		delayed (i.e. development lifecycle, business requirements v1.0 not delivered according to plan, disagreement Agency/NSAs), practical arrangements documents not agreed by the end of 2016	Objective 1: Preparation of the Single Safety Certificate Objective 6: Preparing for Vehicle Authorisation under the Fourth Railway Package				needs as soon as possible) Participation of the Agency in the NSA subgroup on cooperation agreements to capture the views of the NSAs d) First set of OSS specification already available from May 2016 e) IT architecture in place allowing several iteration of specifications coming from new business needs f) Appointment of an external analyst to follow the OSS development g) Organisation of a dedicated workshops on the subject				operational by the scheduled date		
Agency planning and prioritisation	i) Need of reprioritisation of Agency objectives/proje	(may be caused by) Unexpected external events	Activity 5: Evaluation, management and resources	4	3	High (12)	<ul style="list-style-type: none"> • Organisation of different stakeholders' networks • Stakeholder consultation workshop for the SPD • Prioritisation exercise ongoing; early assessment 	3	2	Medium (6)	Implement a crisis management	12/2017	SPD 2016

	cts ii) Delay in the implementation of Agency objectives/projects		Objective 19 Ensuring the implementation of the Agency's Integrated Management System (IMS) Objective 16: Ensuring a prioritised portfolio of the Agency activities				already started; • ERA Management Team monthly reports monitoring • Early engagement with the European Commission on the Agency strategic planning • Continue negotiation with the Commission the reviewed ERA priorities • Implementation of procedures describing the processes for planning, prioritising and reporting of Agency work				procedure		
Stakeholder alignment and	i) Inability of the Agency to expose the reality of its work and to	(may be caused by) a) Insufficient	Activity 5: Evaluation, management and resources	4	4	High (16)	• Communication plan/activities in place (e.g. organization of railway events, satisfaction surveys) • Regular feedback from	4	2	Medium (8)	a) Continue implementation of ERA	a) 12/2017	SPD 2016

<p>mobilisation</p>	<p>influence the way its message is received by the stakeholders</p> <p>ii) Difficulties:</p> <ul style="list-style-type: none"> to approach stakeholders who are resistant/reluctant/ambivalent to support Agency objectives; in maintaining stakeholders engagement <p>iv) low interest of stakeholders in Agency's work</p> <p>V) Inconsistency and low quality of the messages sent by the Agency</p>	<p>clear message and inaccurate reception of Agency message by different stakeholders concerning agency objectives/tasks)</p> <p>b) Inability to convey a common message on main Agency areas of activity</p>	<p>Objective 17: Ensuring efficient and effective communication</p>					<p>stakeholders/various dissemination activities</p> <ul style="list-style-type: none"> ERA policy in place 				<p>communication strategy action plan</p> <p>b) Establish a dashboard to monitor the processes' effectiveness and the achievement of the Agency objectives based on MS project</p> <p>c) Reinforcement of the culture by management commitment to the ERA policy (i.e. organise a satisfaction survey among participants to MT/HoS meetings and analyse the feedback)</p>	<p>b) 30/06/2017</p> <p>c) 12/2017</p>	
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Unjustified carry-overs higher than the acceptable levels of the CoA	i) Significant carry-overs of committed appropriations for operational expenditures putting annuality principles at risk (resulting in a potential negative revision of the Agency's budget for the year n+1.) ii) Delays in the implementation of the Work Programme iii) High exposure to criticism from ECA and the Budgetary Authority (putting at risk the discharge process)	(may be caused by)	Activity 5: Evaluation, management and resources	4	3	High (12)	a) Continued close follow-up of the budgetary expenditure (regular budget reviews meetings); b) Databox tool for following the implementation of the WP (SPD) c) Creation of a daily budget execution with commitments and payment details available to each unit. d) Procurement and contract management procedure in place e) Assignment of yearly specific individual objectives for all HoUs in the appraisal reports related to the Agency budget execution (to be continued in 2018) including measured assessment criteria f) Draft new template of the Annual Activity Report by AO/AOD prepared by F&P and shared with ICC.	4	2	Medium (8)	Development and implementation of a new AO/AOD reporting in the AAR to improve the monitoring of budgetary execution	Nov 2017	SPD 2016
		Inappropriate and/or inadequate management of financial means, inappropriate procurement planning as well as delays in the related process											

Incoherent message on Safety Culture	Incoherent message delivered to stakeholders which may cause reputational damage	(may be caused by) The work that is done by ERA, the way we do it or the way we communicate about it do not reflect a positive safety culture	Activity 1: Harmonised approach to Safety Objective 4: Improving safety performance	4	3	High (12)	<ul style="list-style-type: none"> • Terms of Reference for the Common approach for safety • Project Plan (includes training and support for staff) 	4	2	Medium (8)	Apply the Safety Culture principles across all activities of the Agency: a) Management Meeting day learning session (on safety culture) b) Detailed plan for internal staff awareness raising c) Prepare deliverables to support learning and awareness internally (communications materials, CDR objective, case studies, discussion cards) d) Safety Culture input to revision of CSMS for Supervision and Conformity Assessment, including guidance, in line with their project plan	a+b+c+d) -Nov 2017	SPD 2017
Strategic alignment of the sector in ERTMS	Damage to the reputation of ERTMS as a system which can jeopardize	(May be caused by) a) Delays in reaching	Activity 3: A single EU train control and communication system	4	3	High (12)	Signature of the Memorandum of Understanding (MoU) between the Agency, the EC and the European rail sector	3	2	Medium (6)	a) Review the results of the MoU by developing an action plan with the Commission	a) 01/12/2017 b) 2020	SPD 2017

	the full achievement of the Agency's ERTMS objectives	<p>milestones on cooperation (such as signing of Memorandum of Understandings),</p> <p>b) Inability to have a common position on important matters (such as Automatic Train Operation).</p> <p>c) Lack of commitment from supply industry to quality and cost-effective products and disciplined implementation</p>	Objective 11: Ensuring interoperable and stable ERTMS				ERTMS Stakeholders Platform implemented				and the railway sector (carry out learning cases, refraining from specific implementation by IM and RU's, ensure all infrastructure is compatible with B3, commitment by supplier to offer error corrections in software)	(final deadline)	
Ethics and fraud	i) Increase of the likelihood of not compliance	(may be caused by)	Activity 5: Evaluation, management	5	2	High (10)	<ul style="list-style-type: none"> Agency Anti-Fraud Strategy Conflict of interest policy 	5	2	Medi	a) Implement the action plan of the Anti-fraud strategy	December 2017	SPD 2016

	<p>with the rules regarding ethical obligations</p> <p>ii) Ineffective prevention and detection of potential fraud cases</p>	<p>a) insufficient awareness on ethical conduct/ guidance on specific areas</p> <p>b) Ineffective measures in place to prevent and detect fraud</p>	<p>and resources</p> <p>Objective 19: Ensuring legality of Agency's activities</p>				<p>for all staff ; Induction session on ethics</p> <ul style="list-style-type: none"> • Code of Good Administrative behaviour • Practical guide to staff on ethics and conduct • A functional mailbox on ethical issues <p>However, the existing rules are not promoted and measures are rarely taken to make sure that these rules are observed</p>		<p>um (10)</p>	<p>b) Maintain a fair and open culture through the application of the management commitment to the policy (i.e. ED to deliver a message to participants during the fraud prevention training to be organised in Nov 2016)</p>		
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<p>Failure to meet EUMEDRA IL project objectives</p>	<ul style="list-style-type: none"> • Disruption in the implementation of project activities • Insufficient interest from the countries which will benefit of the project activities • Underspending concerning the EUMEDRA IL project funded under the European Neighborhood Instrument - entail a reputational risk beyond the ordinary taking into account the amount involved (2 mill. Euros) and the international context 	<p>May be caused by:</p> <p>a) Shortage of staff with required knowledge and expertise to implement the project</p> <p>b) Complexity of the projects (i.e. long implementation period, diversity of stakeholders with different interests and different stages of administrative and railway development)</p>	<p>Objective 21: Support to the development and dissemination of EU acquis</p>	<p>4</p>	<p>3</p>	<p>High (12)</p>	<p>Recruitment of 3 new staff Internal redeployment of 1 & 1/2 FTE pending completion of the recruitment Programme plan in place</p>	<p>4</p>	<p>2</p>	<p>Medium (8)</p>	<p>a) Continue to redeploy Agency staff to assist in the implementation of project activities</p> <p>b) Call upon independent experts to assist the Agency in the implementation of the project</p> <p>c) Work closely with European External Action Service (EEAS) by inviting systematically to all meetings in the countries involved in the project</p>	<p>a) when needed upon Commission request</p> <p>b) 12/2018</p> <p>c) Periodic review with the EC and EEAS on the effectiveness of the measures -March & Sept 2018</p>	<p>SPD 2018</p>
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The IAS carried out a full risk assessment in 2016. The exercise resulted in mapping the Agency risks, taking the risks into consideration which were included in the SPD 2017. The IAS risk map is being updated and will include the risks identified in the risk register 2018. The Agency risks are shared with the IAS in draft stages if required, and systematically when the IAS performs audits on any process in the Agency. So far, the IAS has not yet provided any direct feedback on the Agency risks.

Annex VIII: Procurement plan 2018

Activity	Title	Description	Indicative timeframe for launching the procurement procedure	Estimated amount to be committed in 2018*	Market ceiling	Type of Contract
Activity 1	Provision of training for an effective peer review of recognition body in Reg 402-2013	Provide a training to the selected peer reviewers about audit techniques and specific requirements related to the activity of assessment bodies according to Regulation 402/2013	Q1 2018	€ 25.000	€ 25.000	Direct contract
Activity 1	NSA Monitoring training	Article 33§1 of Regulation (EU) 2016/796 states that "...the Agency shall monitor the performance and decision-making of NSAs through audit and inspections..." §2.b of the same Regulation states that we shall establish a list of qualified auditors and provide them with training when needed. Lot 1 The aim of this lot is to provide an international recognized qualification to the agency staff who will be involved in NSA monitoring. Lot 2 This lot aims to provide the training and qualification on specific aspects of NSA monitoring.	Q1 2018	€ 86.250	€ 345.000	Framework Contract
Activity 1	Feasibility study for evaluating railway safety culture at the member state level	The study will support the design of a specific process for evaluating railway safety culture at the member state level. Contractors will first set up methodologies, that they will test to evaluate railway safety culture in four member states. Such an evaluation requires in-depth fieldwork (including document analysis, interviews and observations in the most relevant stakeholders' organisations). For each case, an intermediary report detailing the data analysis will be delivered. In their final report, contractors will propose features of an appropriate process for evaluating railway safety culture at the member state level, to be implemented at the Agency.	Q1 2018	€ 350.000	€ 350.000	Direct contract
Activity 1	Development of innovative Material for a Tailored Workshop on Railway Safety Leadership	In several high risk industries, safety specialists have recently initiated effective programmes to improve leadership for safety at all levels of the organization. The Agency intends to promote such approaches by designing a pilot workshop based on most advanced pedagogical tools and recent theoretical and practical developments in behavioural and organizational sciences. A high quality film that illustrates applications of those theories in railways will constitute the red line of the workshop. To develop it, a mix of very specific competences (behavioural sciences, high risk industries, film making experience) is needed.	Q1 2018	€ 132.250	€ 132.250	Direct contract
Activity 1	ICSI Membership and access to training material	ICSI (Institute for Industrial Safety Culture) is a non-profit organisation, situated in Toulouse (FR), that is providing training material and consultancy for its members. Becoming a member (annual fee of 10.000 EUR) will allow the Agency to participate in working groups and receive support on request. Subscribing to the ICSI Safety Academy (annual fee of 40.000 EUR) will allow the Agency to have access to all available training material (documents, videos, e-learning modules, etc.) and the support of ICSI to integrate this exclusive material into future developments of the Agency.	Q1 2018	€ 50.000	€ 50.000	Direct contract
Activity 3	ETCS Driver's Handbook	While working with representatives of drivers' associations, it became clear that a harmonized driver's manual on the use of the onboard ETCS subsystem would be valuable in several instances: •in facilitating training in driving under ETCS •in streamlining drivers' certification •in boosting operational harmonization Such a manual could be derived out of the existing technical specifications in CCS TSI, combined with the operational situations covered in Appendix A of the OPE TSI. No development of new specifications or functionalities is envisaged. It will be a handbook to which the driver will refer to when driving under ETCS.	Q1 2018	€ 200.000	€ 200.000	Direct contract

Activity	Title	Description	Indicative timeframe for launching the procurement procedure	Estimated amount to be committed in 2018*	Market ceiling	Type of Contract
Activity 3	Optimisation of the certification framework for the railways radio system	The evolution of the railways radio communication systems points to a shift towards application based architectures, IP based interfaces and bearer independent services. Currently, in the railway system the approach is different. A change in the system architecture is envisaged in order to be in line with the technical developments. The certification framework will need to be adapted accordingly. The study aims at the analysis of different aspects (such as the full characterization of ETCS QoS parameters for EDORs, the consideration of applications as ICs, how to minimize the impact on certification in case of a change of a single application or in case of additional applications, etc). Due to the nature of the different activities, it may be needed to launch separate procurement for each part of the study. This will result in a possible division of the study in at least 2 parts (Part A and Part B), with different Terms of Reference, to obtain the best contractor for each subject.	Q2 2018	€ 200.000	€ 200.000	Direct contract
Activity 3	Technical and operational assessment on radio spectrum related subjects	In the Multiple FWC, it was foreseen that the Agency might request the contractors to provide resource with expertise on certain subjects, to perform common studies with the Agency, and to provide technical and operational assessment on spectrum matters. The scope of the services to be requested in this Specific Contract fits in that area. The Agency would need to count with the support of technical experts in the subject of radio spectrum to help with the preparation and follow up of different meetings (i.e. ECC WG FM, FM56, CPG PTD, SRD/MG, SE7) and, in some cases, to attend on behalf of the Agency. The activities requested will range from review of technical papers, preparation of contributions together with the Agency, issuing synthesis of technical reports, preparing debriefings, providing innovative solutions to the accommodation of railway needs within the spectrum, attending to meetings together or on behalf of the Agency, etc.	Q1 2018	€ 80.000	€ 80.000	Specific contract
Activity 4	Development of the IT tools for the 'Inventory of Assets' system	Software development work for the IT-tools necessary for the Inventory of Assets system that is required by the TSI PRM. The exact scope of work depends on the result of the vote on the proposed Recommendation ERA-REC-128 that is planned in January 2018	Q2 2018	€ 92.000	€ 92.000	Direct contract
Activity 5	Subscription to Newspapers and Magazines for a 2 years period	Subscription to Newspapers and Magazines for the Agency premises as for a 2 years period. See Note to the File with the essential elements and Annex 1 in attachment.	Q1 2018	€ 14.000	€ 14.000	Direct contract
Activity 5	External Service Provision for ERA Information System Development (ESP-EISD6)	This call for tenders aims for the signature of multiple framework contracts for the provision of external services in the field of development, studies and support of information systems. Lot 1: 2 000 000/year (rounded) Lot 2: 1 100 000/year (rounded) Lot 3: 600 000/year (rounded)	Q4 2018	€ 3.700.000	€ 14.800.000	Framework Contract
Activity 5	Assurances Multirisques	Agency building related insurance services (coverage of any damages against fire, explosions, natural disasters and climatic, electrical and water hazards, broken windows, thefts, vandalism, including civil liability coverage for events organized outside Agency premises)	Q2 2018	€ 13.750	€ 55.000	Framework Contract
Activity 5	Services de "Maintenance Multi Technique" et "Travaux" pour l'immeuble de l'Agence à Valenciennes	Provision of building maintenance services and construction works for the ERA HQ building in Valenciennes	Q2 2018	€ 275.000	€ 1.100.000	Framework Contract
Activity 5	Prestations de services traiteur pour Lille	Catering services to support Agency events organized in the Lille premises	Q3 2018	€ 125.000	€ 500.000	Framework Contract
Activity 5	Services de sécurité, gardiennage et de télésurveillance	Security related services for the Agency premises in Valenciennes and Lille	Q2 2018	€ 150.000	€ 600.000	Framework Contract
Activity 5	Services d'interprétation	Provision of interpretation related services to support Agency operations and events	Q4 2018	€ 150.000	€ 600.000	Framework Contract
Activity 5	Provision of legal assistance to the Agency in case of a request for testimony addressed by the Spanish	Provision of legal assistance to the Agency in case of a request for testimony addressed by the Spanish courts in Santiago train accident case. Timely delivery of legal assistance to the Agency if and when the latter (or its staff members) is (are) requested by the competent Spanish Court (in A Coruña – Galicia) to provide testimony about the applicable EU railway legislation (and maybe about the Spanish investigation report following the train accident in Santiago de Compostella in 2013 and the related ERA "technical advice" prepared at the Commission's request). The case is still on-going in Spain and the association of victims has asked the court to ask for a testimony from the agency. Authorities seem to object but there is a risk to be requested to appear in court.	Q1 2018	€ 30.000	€ 30.000	Direct contract

Activity	Title	Description	Indicative timeframe for launching the procurement procedure	Estimated amount to be committed in 2018*	Market ceiling	Type of Contract
Activity 5	Stand builder for InnoTrans	ERA will be present at Innotrans in September 2018 and need a stand builder to build a professional stand to welcome people during the fair	Q1 2018	€ 100.000	€ 100.000	Direct contract
Activity 5	IRJ Pro Fleet Monitor and Project Monitor annual subscription	Single user access to Fleet Monitor and Project Monitor databases maintained by the International Railway Journal. Annual subscription for the access to data.	Q4 2018	€ 4.000	€ 4.000	Direct contract
Activity 5	Technical assistance in the field of Integrated Management System	The subject of the FWC is assistance to the Agency in establishing a process-based management system and in creating and developing methods, tools and techniques for its establishment including stakeholders' analysis and integrated strategy, process mapping and continuous process improvement/re-engineering as well as in establishing a general training programme, organising specific training activities, and creating information products designed to strengthen the Agency's continuous improvement 'culture' and evidence based process thinking.	Q3 2018	€ 150.000	€ 600.000	Framework Contract
Activity 5	Internal comms and organisational change consultant	To accompany and support the organizational change of the agency brought by the 4RP by efficient internal communication	Q1 2018	€ 50.000	€ 200.000	Framework Contract
Activity 5	Baseline study internal communications and organisational change	Baseline study is necessary to identify current situation, determine development areas/axes and indicators for the planned FWC on internal communications. (2018-2022)	Q1 2018	€ 15.000	€ 15.000	Direct contract
Activity 5	Advertisement Placement for Communication in IRJ	The Communication office will advertise certain ERA events in the International Railway Journal (IRJ).	Q1 2018	€ 7.560	€ 7.560	Direct contract
Activity 5	Data visualisation tool	To make Agency data and key figures available to the Agency's stakeholders on the Agency website in an interactive and harmonized manner whilst maintaining the data in a trusted environment.	Q1 2018	€ 10.000	€ 10.000	Direct contract
Activity 5	Advertisement Placement for Communication in Railway Gazette	The Communication office will advertise certain ERA events in the Railway Gazette (RG).	Q1 2018	€ 12.440	€ 12.440	Direct contract
Activity 5	Safety conference	Organisation of a safety conference which will be held in Dubrovnik in March or April 2018 (2 days conference)	Q1 2018	€ 100.000	€ 100.000	Direct contract
Activity 5	Event organisation support including moderation services	Support for the organisation of ERA events (eg conferences, SERA events, ..), including moderation for these events.	Q1 2018	€ 250.000	€ 1.000.000	Framework Contract
				€ 6.372.250		
* The amount to be committed in 2018 for framework contracts are an estimation of the total value of the FWC divided by the length of the contract (i.e. 4 years)						

Annex IX: Overview of objectives in 2018

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

Annex V: Buildings*5.1.1 Current building(s)*

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

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

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

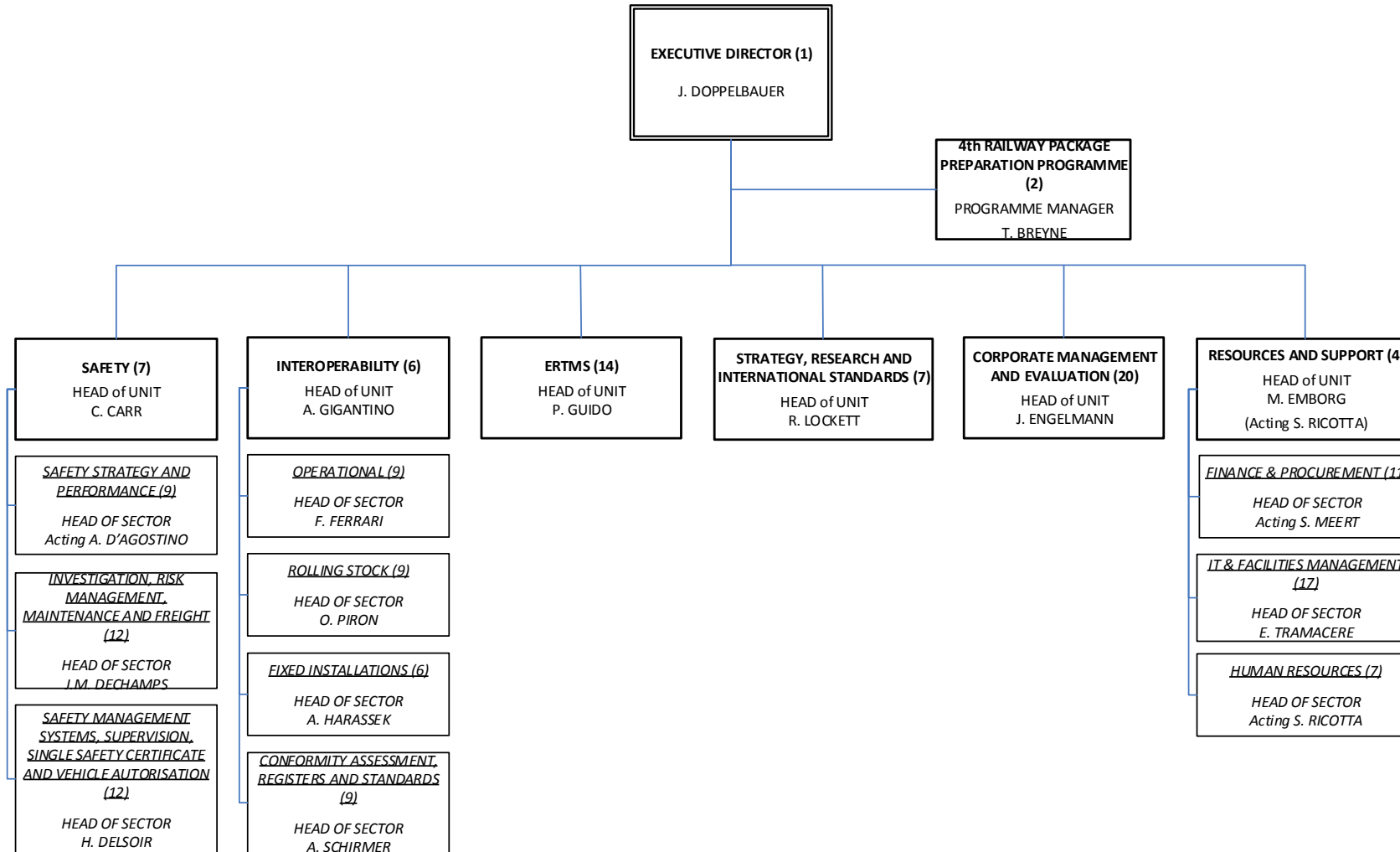
	Name, location and type of building	Other Comment
Information to be provided per building:	Rental of 8 parking places from Espace International	
Surface area (in square metres) Of which office space Of which non-office space	8 parking places	
Annual rent (in EUR)	EUR 20 180,92 HT/year	
Type and duration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

5.1.2 Building project in the planning phase

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

Due to the growth of the Agency, the current building in Valenciennes is becoming tight. The Agency is currently re-allocating staff members in double office spaces as a short-term solution. Discussions have started with Valenciennes Métropole to find alternative solutions for the headquarters.

Annex X: Organisation chart



16.09.2017

Annex XI: Agency strategy for international relations

Introduction

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

Purpose and need

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

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

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

Scope

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

- › **assistance to the European Commission (EC)** by providing support in relation to non-EU entities (OSJD, OTIF, EU positions on Dangerous Goods in UNECE and OTIF RID, support to the European Neighbourhood Instrument Project, support to Accession Countries, assisting the EC in Trade Talks and Industrial Dialogue with non EU States (e.g. Japan, China);
- › **standardisation activities** - support to the EC Rail Standardisation Coordination Platform for Europe – RASCOP; relations with European Standardisation Bodies, relations with International Standardisation Bodies,

- › **coordination with supervisory authorities, international organisations and the administrations of third countries** in order to keep up with scientific and technical developments and to ensure promotion of the EU railways legislation and standards.

Therefore the current strategy covers:

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

Vision

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

This should lead to:

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

Specific objectives and actions

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

SO 1	To continuously support the EC in achieving its objectives in the field of international relations related to the rail sector.	1.1. Implement multi-lateral opportunities for convergence (Platform of Rail Agencies) 1.2. Implement bi-lateral opportunities for convergence 1.3. Clarify, “clean up” and disseminate a common understanding of the current EU framework for interoperability and safety outside EU (the “rules and tools” for a shared system) 1.4. exchange experiences in the field of trainings and databases in the field of railway safety and interoperability, VAs and safety certification with non-EU entities 1.5 Support EU neighbourhood policy
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SO 2	To support the convergence of railway rules and regulations (“Global Reference”) based on the EU legal framework and standards and foster interoperability beyond the EU	2.1. Support EC, on request, to use the defined “rules and tools” in the pursuit of trade negotiations, industrial dialogue and mutual (reciprocal) recognition
SO 3	To influence the development of international standards related to railway transport , while remaining open for importing best practices, where appropriate	3.1. Set up a policy and working arrangements governing the ERA relationship with the EU and International Standardisation Bodies 3.2. Membership of ETSI
SO 4	To ensure Agency internal coordination, as well as coordination with the EC for the international relations activities	4.1. Develop internal procedure for internal coordination and communication between the staff involved in the different activities related to international relations 4.2. Participate to the EC regular International Relations Liaison meetings
SO 5	To share knowledge of research needs, activities and outputs between the Agency, the EC, Shift2Rail and non-EU entities	5.1. Promote at worldwide level the EU and Agency activities in the field of research. 5.2. Identify common areas of interest in the field of research between the Agency and non-EU organisations 5.3. Promote the development of worldwide standards based on 5.1 and 5.2

Estimated resources are:

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

Prioritisation of international activities will be carried out in full consultation with the EC.