

Consolidated Annual Activity Report of the  
EU Agency for Railways 2021

# Table of Contents

Table of Contents .....	2
Management Board's analysis and assessment.....	4
Mission Statement .....	11
Executive Summary .....	13
Section I - Achievements of 2021.....	15
I.1. <i>Activity 1</i> - Contributing to shaping target and global reference.....	18
I.2. <i>Activity 2</i> - Developing the harmonised regulatory SERA technical framework .....	32
I.3. <i>Activity 3</i> - Implementing the harmonised regulatory SERA framework (under 4RP) .....	44
I.4. <i>Activity 4</i> - Monitoring, evaluating and reporting .....	53
I.5. <i>Activity 5</i> - Delivering efficient and effective services.....	60
Section II - Management .....	74
II.1. Management Board.....	74
II.2. Major Developments.....	77
II.3. Budgetary and financial management .....	78
II.4. Delegation and sub-delegation of the powers of budget implementation to agency's Staff.....	81
II.5. Human Resources Management .....	81
II.6. Strategy for efficiency gains .....	83
II.7. Assessment of audit and ex-post evaluation results during the reporting year .....	84
II.8.a. Follow up of recommendations and action plans for audits and evaluation.....	87
II.8.b. Follow-up of recommendations issued following investigations by the European Anti-Fraud Office (OLAF) .....	87
II.9. Follow-up of observations from the discharge authority .....	87
II.10. Environment management.....	90
II.11. Assessment by management.....	91
Section III - Assessment of the effectiveness of the internal control systems.....	95
III.1. Effectiveness of internal control systems.....	95
III.2. Conclusions of assessment of internal control systems.....	95
III.3 Statement of the manager in charge of risk management and internal control .....	96
Section IV - Management assurance .....	97
IV.1. Review of the elements supporting assurance .....	97
IV. 2. Reservations .....	97
Section V - Declaration of assurance .....	98
VI. Annexes.....	99

Annex I. Core business statistics.....	99
Annex II. Statistics on Financial Management.....	100
Annex III. Building policy .....	111
Annex IV. Organisational chart.....	113
Annex V. Establishment plan and additional information on Human Resources management.....	116
Annex VI. Human and financial resources by activity .....	125
Annex VII. Fees and Charges .....	127
The following chart represents the OSS Services satisfaction levels in the satisfaction survey from the Agency' Service Desk: .....	127
Annex VIII. Grant, contribution or service-level agreements.....	129
Annex IX. Reporting on the Contribution Agreement MOVE/C4/SUB/2021-454/S12.852702 – ERA contribution to the System Pillar.....	131
Annex X. Environmental management.....	134
Annex XI. Procurement plan.....	135
Annex XII. Final annual accounts.....	137
Glossary .....	142

# Management Board's analysis and assessment

The Annual Activity Report 2021 of the EU Agency for Railways is prepared in line with the provisions of the Agency Regulation (EU) No. 796/2016 and those of the Agency Financial Regulation (Management Board Decision no.206/2019).

The report describes the Agency's performance, together with financial and management information for the year 2021. The above-mentioned regulations also require the Management Board to adopt the Annual Activity Report and forward it by 1 July 2022 to the European Parliament, the Council, the European Commission and the Court of Auditors, and to make it available to the general public.

The Agency has made the necessary efforts to align the content of the current report to the provisions of the Communication from the Commission on the strengthening of the governance of Union Bodies under Art. 70 of the Financial Regulation 2018/1046 and on the EC guidelines of the Consolidated Annual Activity Report, issued in April 2020.

## Assessment by the Agency's Management Board

In 2021, the world continued to endure a global pandemic. As COVID-19 continued to spread throughout Europe with new dangerous variants, policy-makers imposed restrictions to safeguard the health of citizens, which have heavily impacted, among others, the rail sector. For reference, the Community of European Railways and Infrastructure Companies (CER) reported a €23 billion loss in 2021 (roughly 33% of total revenue) compared with 2019<sup>1</sup>. The railway system has however continued to show resilience in 2021, as it continued to provide its essential services for freight and passenger transport.

2021 was also the European Year of rail, and highlighted rail as one of the most sustainable, innovative, and safest transport modes available. As part of the European Year of Rail, a special EU train travelled across the continent stopping in over 100 cities in 26 countries. This initiative showcased the potential of rail, as well as its achievements in development interoperable railways across Europe, together with the importance of removing any of the persisting cross-border barriers.

In addition, the European Commission published an important and ambitious Action Plan. Its aim is to boost long-distance and cross-border passenger rail services, combined with changes to the Trans-European Transport Network (TEN-T), as well as to increase high-speed rail capacity. Together with a new European Investment Bank (EIB) support for investment in rail, these measures are preparing the ground for a renaissance in rail<sup>2</sup>.

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<sup>1</sup> <https://www.railjournal.com/financial/european-railways-lose-e50bn-in-revenue-during-covid-19-pandemic/>

<sup>2</sup> More information available at [https://europa.eu/year-of-rail/news/new-action-plan-boosting-long-distance-and-cross-border-passenger-rail-2021-12-14\\_en](https://europa.eu/year-of-rail/news/new-action-plan-boosting-long-distance-and-cross-border-passenger-rail-2021-12-14_en)

With this broader context in mind, the Board has assessed the Executive Director's report on the Agency's achievements and results for 2021. The Board acknowledges the Agency's performance and notes the following key aspects:

**(1) The Management Board takes note of the Agency's timely and adequate response to the COVID-19 pandemic consequences**, in relation to both its staff/working arrangements and to the railway sector.

Given the urgency and high number of COVID-19 cases across the EU, the Management Board adopted the necessary decisions to ensure Agency's business continuity during the pandemic, including the necessary decision-making arrangements for teleworking for the Agency's staff, and the continuous digital support needed for effective remote work.

The Management Board have been themselves regularly informed on the Agency's responses to the various phases of the pandemic. The Management Board was particularly satisfied with the resilience of the Agency' staff, which continued working efficiently almost entirely remotely.

Regarding the COVID-19 pandemic consequences on the railway sector, the Agency prepared a report on "Travel safety during COVID-19 for passengers travelling long distance by train and other modes". In addition, the Agency organized a webinar on "Post pandemic Recovery of Rail Transport" which has been positively received by the railway stakeholders.

The Agency has made efficient and effective use of the remote meetings to preserve a high level of involvement for its external stakeholders.

**(2) Following the full transposition of the technical pillar of the fourth railway package in October 2020, the Agency has continued in 2021 to perform its fully fledged role of EU authority responsible for issuing authorisations for placing railway vehicles on the market, single safety certificates for railway undertakings and ERTMS trackside approvals.**

During 2021, a number of 41 Single Safety Certificates, 1260 Vehicles Authorisations, and 2 ERTMS Trackside Approvals have been issued, which prove the successful and timely delivery of the 4<sup>th</sup> railway package.

Another essential change which took place in 2021 was the adoption of a new hourly rate for Authority tasks, as the new implementing regulation (Regulation (EU) 2021/1903) has become applicable starting November 23<sup>rd</sup>. Until December 2021, the hourly rate applied by the Agency for Authority tasks related activities was of €130, which was too low to allow the balancing of the expenditure related to the fees and charges activities with the associated revenues. The approved changes related to the hourly rate increase from €130 to €239, together with the One-Stop Shop (OSS) cost recovery and the fixed rate for the conformity to type applications, will allow the Agency to recover the actual costs linked to its authority tasks. The Management Board was continuously kept informed on the Agency's request, as well as on the progress of the negotiations until the amendment of the Implementing Regulation on fees and charges in November 2021.

The Board expresses its satisfaction by noting that in the first three years of its new mandate, the Agency has been effectively performing its role of EU-wide authority. It also welcomes the transparency proven by the Agency in sharing up-to-date data on the number of applications and requests received and processed for its authority tasks.

In addition, the Board notes the Agency's effective maintenance of the OSS as well as the upgrade of other registers, to fulfil the needs arising from the 4<sup>th</sup> Railway Package.

Furthermore, the Management Board expresses its satisfaction regarding the good continuation of the 4<sup>th</sup> Railway Package Steering Group activities, which started 2019, allowing the Board to get reports about the Agency's preparedness for the 4<sup>th</sup> Railway Package and to address early issues linked to its implementation in a constructive manner. The Management Board adopted the recommendation prepared by the Steering Group, i.a. to install ERA advisory groups for VA and SSC in order to continuously improve the Authority tasks operations.

**(3) The Board notes that the Agency has continued to successfully deliver its tasks in the field of EU rail interoperability and safety.**

The Board welcomes the continuous commitment from the Agency to the objective of creating a Single European Railway Area and its sustained work in key areas such as reducing national rules and ensuring the maturity of its technical specifications. More specifically, the Agency worked on the revision of the TSI package to be delivered in 2022, in line with the European Commission policy expectations. The Board is content with the extensive work carried by the Agency in 2021 to assess the VA National Rules and is looking forward to the finalisation of the assessment for the remaining MSs in 2022, as well as to the results in terms of rules reduction over the next years. In addition, the Board is satisfied with the finalization in 2021 of the recommendation on the revised TAP and TAF TSIs. The Board is also quite satisfied with the progress made on the establishment of the European Vehicle Register (EVR). Indeed, following several test environment releases throughout the year, the final production release has been deployed at the end of November 2021.

In addition, the Board notes with contentment the work carried out by the Agency in the safety field, including the EU Climate Survey, which gathered 46,500 responses across Europe, marking a new successful step in supporting the sector with the development of a positive safety culture. The Board also appreciates the delivery of the Recommendation for the CSM on Assessment of Safety Levels and Safety Performance (ASLP) but remains concerned that the financing for the new IT tool required by the regulation is still not yet confirmed. In addition the Board appreciated the continued development of safety training for rail stakeholders, such as the one on organisational just culture or the training on SMS, both developed in 2021.

The Board is convinced that three acceptable means of compliance on TSI OPE (safety on loads, safety of passengers, as well as on test and checks braking) sent to the European Commission will strengthen both competitiveness and safety of rail transport across Europe.

**(4) The Management Board notes with satisfaction that despite the pandemic and its related suspension of travels, on-site inspections, and audits for a large part of 2021, the Agency has effectively performed its tasks in the field of NSA monitoring, in line with the targeted scope (as decided for reasons linked to the limited resources available), as well as the NoBo monitoring tasks.**

Indeed, the first NSA monitoring audit cycle, which started in 2019 was finalized in 2021. All EU NSAs and one volunteering non-EU NSA were audited with a specific focus on two aspects: management of competences and supervision activities. In 2021, 6 audits were performed, as well as one follow-up audit. The Board is happy to have received a report on the conclusions of the 1st audit cycle, which constitutes

important evidence for identifying the areas where a coordinated ERA-NSA effort is needed in the future. Regarding the NoBos Monitoring activities in 2021, the Agency delivered 5 audits instead of 4.

The Agency has also performed its important work on accident/incident analysis and NIB reporting, which was welcomed by the Management Board. Indeed, two reports were finalized in 2021 (NIB Sweden and NIB Croatia).

The Management Board deems these activities significant to support the tasks related to issuing the VA and SSC, as well as for the TSI revision process; the Board therefore encourages the Agency to keep a sustained rhythm for these activities in the future.

**(5) The Management Board appreciates the Agency's presence in relevant EU and international fora as well as its facilitating role in the context of the NSA, NIB and NRB cooperation.**

While the approach to meetings representation was heavily affected by the COVID-19 pandemic, the Management Board acknowledges Agency's continued contribution in OSJD, OTIF, NSA, NIB and NRB cooperation, as well as its key role played with the IPA and EuMedRail projects.

**(6) The Management Board recognises the Agency's efforts to strengthen its strategic development in coordination with the European Commission and in relation to the Executive Board strategic agenda.**

The Management Board welcomes Agency's strategic advancements in 2021 on the emerging topic data interoperability. Indeed, the Agency put in place the first application that works over linked data, paving the way towards harvesting useful services from existing data. This application was well received by the Railway Undertakings, as it responds to a highly demanded feature: the route compatibility check. The Board looks forward to the future contribution of the Agency in this strategic field and has started to explore ways of strategic cooperation with the railway sector in this area.

The Management Board was equally pleased to witness the launch of the IT strategy development in 2021. Such strategy is essential for the Agency, not only to rationalize its costs, but also to ensure that all staff have access to the right technology enabling the Agency to deploy its full potential. The Board looks forward to its progress in 2022.

The Management Board was pleased to see the progress of the Better Together project, which developed a new Mission and Vision for the Agency. The Board understands the essential role this project plays within the organization, to respond to the need for organisational culture change in line with the changes to the Agency's mandate over the last years.

In addition, the Board appreciated the SPD 2023 workshop organised in 2021 in full remote mode and encourages the Agency to continue using a comparable concept for future workshops. Moreover, continuing on the successful start of the implementation of the intervention logic following guidance from the network of EU agencies, the Agency deepened its related rationale and involved appropriately the Management Board throughout the workshop. The shift from the pure output-based planning and monitoring to the strategic, outcome one is a key success from the years 2020 and 2021. The Management wishes for the Agency to continue on this successful path and recommends to further implement the intervention logic as a guiding principle for future Agency's activities.

**(7)** The Management Board acknowledges the **level of transparency of Agency's reporting on the SPD outputs achievement and on the budget execution**, respectively.

In 2021, the Agency developed a monitoring dashboard, providing clear and transparent data on many areas, such as the human resources, the budget overview, the authority tasks, the status of implementation for the key projects and services (human resources intensive, budget intensive or other projects flagged by the Management Board for their strategic importance). This new tool was warmly welcomed by the members of the Management Board and has become a recurring item for all meetings, as it provides a very clear picture of the Agency's state of play.

The Management Board is pleased with the Agency's performance in implementing its budget in 2021 and notes with satisfaction the high rate of budget commitments, together with the substantially increasing payment rates compared to the previous years. The Management Board encourages the Agency to pursue these positive efforts over the coming years for an effective and efficient budget execution, as well as its positive practices of ensuring transparency and pro-active decisions on its budget implementation.

In addition, the Management Board appreciates the agile SPD process which took place in 2021, allowing for three rounds of SPD amendments, in order to ensure that the document is appropriately updated based on the most recent developments, such as the pandemic.

**(8)** The Management Board acknowledges the efforts made by the Agency to respond to the increasing **IT security needs**, as well as the prompt response from the European Commission to ensure an additional budget of 1.298 mill € in 2021 for strengthening the Agency's IT security posture. In addition, the Board notes that Agency has advanced in its global IT rollout programme. Indeed, the Board is content with the Agency's preparation to move SRM/SharePoint to the cloud, as well as the implementation of the Human Resource Management information system of the European Commission (SYSPER) to further digitalise and centralise data.

Moreover, the Board welcomes the substantial work done in 2021 in order to prepare the migration from the financial IT application ABAC to SUMMA. Thanks to these efforts, the Agency was ready for the successful go live to SUMMA on the 1<sup>st</sup> of Jan 2022, as one of the three pilot EU agencies involved.

**(9)** The Management Board is pleased that the European Parliament has granted the discharge for 2020 budget and that the European Court of Auditors audit on the 2020 annual accounts confirmed the **reliability of the accounts, as well as the legality and regularity of all underlying transaction**. The Board encourages the Agency to continue its efforts to implement the Internal Control Framework and in particular by developing internal control monitoring criteria and indicators. It recognises the efforts made to strengthen a control system which can provide reasonable assurance on sound financial management and on the achievement of the objectives. The Management Board encourages the Agency to give effect to the internal control principles by developing measures that will enhance the efficiency of the system. It also encourages the Agency to continue to follow up on the observations from ECA and from the EP.

**(10)** During 2021, the Board has discussed the available resources for the policy-related activities, the authority tasks and the support activities and invited the Agency to identify opportunities to enlarge the resource availability for the policy-related tasks, given the high demand for those and their importance. This analysis has become a building block for the **ERA Strengthening Plan** adopted in 2022. The structure for the Strengthening Plan included the identification of the streams of work for which the Agency does not



have sufficient resources in line with the full level of ambition, together with the Agency's commitments for an efficient and effective use of its human and financial resources.

The Management Board looks forward to continuing monitoring this important development together with the Agency.

**(11)** The Management Board welcomes the continued efforts of the Agency in terms of strengthening **communication, adapted to the COVID-19 context**, marked by the successful organisation of 9 webinars in 2021 on various topics, which gathered up an incredibly wide audience from across the EU. The Agency also prepared several publications and videos, which have been positively perceived by the Agency's stakeholders. The Board is pleased with the Agency's participation, alongside the European Commission to the COP26 in Glasgow to showcase the importance of railways in the decarbonisation path.

The Agency has successfully organised the Rail Safety Days in 2021 in Porto, in cooperation with the Portuguese Presidency of the Council of the EU, highlighting the importance of rail safety as one of the key priorities for the policy making bodies, the railway system and the EU citizens.

**(12)** The Management Board also appreciates the Agency's high-level **contribution to several key areas of analysis and research**.

The Board is pleased to have seen the publication of the second report on the Green Agenda from the Agency "*Fostering the railway sector through the European Green Deal - part 2 Freight*".

In addition, the *Annual overview for Interoperability*, as well as the *Safety Overview 2021* provide clear and interesting data, which is welcomed by the Board.

Agency's contributions to the work on the System Pillar of the S2R Joint Undertaking and its successor programme Europe's Rail Joint Undertaking is also appreciated by the Management Board. Such input is very much needed to ensure the effective and efficient contribution of railway innovation to the competitiveness of rail in the transport mix. The Management Board looks forward to further developments in this area in the future.

### Conclusions and recommendations

**(1)** The information provided in the Annual Activity Report 2021 gives the Management Board sufficient assurance that the resources assigned have been used for their purpose in accordance with principles of sound financial management. In addition, the control procedures put in place provide the necessary guarantees concerning the legality and regularity of the transactions underlying the accounts.

**(2)** The Board witnesses a very good degree of achievement of Agency's targets for the various outputs, a satisfactory degree of achievement for its set of KPIs in 2021, as well as very good budget implementation rates, while taking the global COVID-19 context and constraints into consideration. The Management Board encourages the Agency to continue the regular monitoring of budget spending and outputs achievement and to keep a standing agenda item on these aspects on the occasion of the Management Board meetings, by continuing to use the very effective instruments put in place (the SPD Dashboard). The Management Board encourages the Agency to continue to provide a regular monitoring of the operations related to its fees and charges related activities, in addition to the ones linked to the EU subsidy.

**(3)** The Management Board notes that the performance of the Agency continues to be highly dependent on its cooperation with NSAs, NoBos, NIBs and the railway sector, and recommends to the Agency to continue to foster the relationships with its stakeholders.

**(4)** The Management Board recognises that the Agency has shown its preparedness to cope with the authority tasks in 2021 and encourages the Agency to continue increasing its level of performance for the years to come, in close cooperation with all its stakeholders. The Management Board will continue its close involvement in this with the help of the 4<sup>th</sup> Railway Package Steering Group.

**(5)** The Management Board strongly recommends, in line with the ERA Strengthening Plan, the European Parliament and the Council to dedicate sufficient resources to the EU Agency for Railways, in line with the expected prioritisation of tasks. The implementation of the 4th Railway Package in particular and the European Year of Rail 2021 have identified a number of areas where more resources are required for the Agency to be able to effectively deliver on the policy objectives for sustainable transport and mobility. The Management Board will closely follow the implementation of the Strengthening Plan to make sure that the Agency will be granted an adequate level of resources in order to effectively cope with the priorities of work for the years to come, while showcasing its efforts for increasing efficiency.

**(6)** The Management Board has effectively played its role remotely in 2021. All the necessary decisions have been taken, ensuring the Agency proper governance. The Management Board has unfortunately still not managed in 2021 to decide on a language arrangement for the Agency.

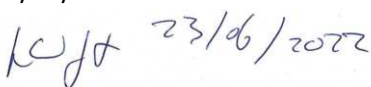
**(7)** The Management Board will continue to monitor the satisfactory application of a proper budget management, of the internal control standards, of the IAS and ECA recommendations, respectively. In addition to strengthening its compliance and assurance activities, the Management Board encourages the Agency to address the efficiency and performance gains, in line with the European Commission recommendations.

**(8)** The Management Board appreciates Agency's efforts to strengthen the strategic planning of its activities in coordination with the European Commission and in line with the Executive Board's strategic agenda and encourages the Agency to continue these efforts in the future.

**(9)** The Management Board acknowledges Agency's proven efforts, particularly by continued dedication from its staff, to ensure business continuity in this challenging period. Flexibility was needed in order to effectively cope with the COVID-19 crisis impacts. In this context, the Management Board already notes Agency's efforts to ensure continuity of its operations and to accompany the railway sector in facing the related challenges.

**(10)** The Management Board adopts the Annual Activity Report. In the light of the above analysis and assessment, the Management Board requests to forward this Report, together with this analysis, to the European Commission, the European Parliament, the Council, and the Court of Auditors.

21/06/2022



Hinne Groot  
Vice Chairperson of the Management Board

# Mission Statement

The updated vision and mission statements of the Agency (“A sustainable, safe European transport system without frontiers” and “Moving Europe towards a sustainable and safe railway system without frontiers”, respectively) were defined in 2021, following intense work carried out through the organisational culture change (Better Together) project, with the explicit aim to have full staff buy-in. The new mission and vision statements of the Agency better reflect its current position and role, while of course remaining fully in line with the legal mandate of the Agency.

The Agency contributes to the further development and effective functioning of a Single European Railway Area without frontiers, by guaranteeing a **high level of railway safety and interoperability**, while improving the competitive position of the railway sector, as envisaged by the **Agency Regulation 2016/796**. In particular, the Agency shall contribute, on technical matters, to the implementation of Union legislation by developing a common approach to safety on the Union rail system and by enhancing the level of interoperability on the Union rail system and associated data, with a specific focus on facilitating the interoperable deployment of ERTMS and on access to data for pushing rail modernisation and digitalisation. By working in close cooperation with the national authorities acting in the fields of railway safety and interoperability, the Agency will substantially contribute to an increased competitiveness of rail and to the seamless cross-border traffic in the EU. Moreover, through timely delivery of appropriate regulation that reflects the harmonised and validated solution proposals from the Europe’s Rail Joint Undertaking, the Agency contributes significantly to the coordinated and rapid deployment of such solutions, thus strengthening the competitiveness of rail in the transport mix. All these elements are translated into rail becoming more attractive and affordable for passengers and freight, with the Agency playing an active role in supporting the delivery of the European Green Deal for the EU citizens and businesses.

## Vision Statement

A sustainable, safe European transport system without frontiers

## Mission Statement

Moving Europe towards a sustainable and safe railway system without frontiers

To foster its mission, the Agency has identified the following fundamentals (F) and enablers (E):



Through its mission and actions, the Agency is committed to contribute to the EC Political guidelines:

- › a European Green Deal
- › an economy that works for people
- › a Europe fit for the digital age
- › a stronger Europe in the world

# Executive Summary

The Consolidated Annual Activity Report for 2021 provides an overview of the activities and achievements against the work programme of the Agency. It follows the guidelines established by the European Commission, and as such takes into account the main internal and external factors which have influenced the work of the Agency. Overall, the Agency has been quite successful in achieving its milestones and delivering on its core mission throughout the year.

The Agency's **main achievements** of 2021 can be summarised as follows:

- › 2021 was the first full year with all Member States having transposed the technical pillar of the 4RP.
- › Authority tasks in Vehicle Authorisation, Single Safety Certification, and ERTMS Trackside Approval were timely delivered despite the significant increase in the number of applications received.
- › The preparation of the revised TSI CCS as part of the 2022 package has continued together with the dedicated working party, taking into account the request of the EC on specific items like new error correction process and the deletion of the partial fulfilment clause.
- › The consultation on the 2022 package revision of the TSI relating to Telematics applications for Freight (TAF TSI) and of the TSI relating to Telematics applications for passengers (TAP TSI) has taken place, followed by the preparation of the associated recommendations.
- › The Agency provided guidance and technical assistance to the EC for the preparation of the System Pillar under the new Europe's Rail Joint Undertaking.
- › The first 3-year cycle of the monitoring of National Safety Authorities has been completed, including the reporting to the Management Board on its results. In addition, the second 3-year cycle of audits has been launched.
- › The Agency has continued the monitoring of Notified Bodies and has launched the revision of the ERA Assessment Scheme.
- › Support for the establishment and the implementation of a system of Peer Review among National Investigating Bodies has continued in 2021.
- › Successful continuation of the 4th Railway Package Steering Group activities, allowing the Management Board to get reports about the Agency's preparedness for the 4th Railway Package and to address early issues linked to its implementation in a constructive manner.
- › The Agency has successfully completed an ambitious safety climate survey, with overall 46,500 replies;
- › The Recommendation for the CSM on Assessment of Safety Levels and Safety Performance (ASLP) was delivered to the EC.
- › The Agency was successful in promoting its Risk Management Framework for the transport of dangerous goods as a guiding reference recognized internationally.
- › The impact assessment of recommendations and opinions was carried out with a focus on the TSI 2022 revision package. The reporting of progress on safety and interoperability, and the annual assessment of safety targets achievements were also ensured.
- › The deployment of the European Vehicle Register (EVR) in a production environment was successfully concluded in 2021. The system is ready to host vehicles data from NVRs, which are being migrated in 2022 in accordance with a migration plan.
- › A new Organisation Codes Register was deployed, as well as the Fixed Installation rules module in the Single Rules Database.
- › The Agency has continued to strengthen the multi-annual work plan development in coordination with the European Commission, by involving the Management Board through the dedicated SPD workshop, and in relation to the Executive Board strategic agenda. The Agency responded, among

others, to the emerging need of mainstreaming the linked data approach, following the successful implementation of the linked data pilots together with the sector.

- › The Agency has allocated increasing attention to strengthening its performance in both delivering its outputs efficiently, but also for maximising the outputs contribution to broader outcomes and impacts, in the spirit of the intervention logic. In 2021, work was started for the preparation of a Strengthening Plan, which was eventually finalised and endorsed by the Management Board early 2022.
- › The Agency has continued to strengthen the content for training modules on VA, SSC and OSS and to deliver successful training sessions, which are an important enabler for the delivery of its authority tasks.
- › The Agency maintained a strong presence in the media and increased its social media following in 2021. In addition, the Agency organised successful webinars, with an audience reaching of up to 500 participants per event.
- › Following the adoption of the ERA Competency framework Reference Guidebook, ERA completed the revision of all Generic Job Descriptions and launched the “Simplified Competency framework” pilot phase, including the development of a dedicated IT tool.
- › In 2021 the Agency has progressed with the migration of the HR modules to the EC HR tool SYSPER 2, as well as with the SRM/SharePoint migration to the cloud.
- › In order to address the IT security technological gap, and thanks to efforts from the European Commission, the Agency received a dedicated budget of 1.298 M€ to improve its IT security posture, which allowed for the implementation of an ambitious IT security plan, whose content was coordinated with CERT-EU.

As described above, in 2021, the Agency performed its authority tasks and issued Single Safety Certificates, Vehicle Authorisations, and ERTMS Trackside Approvals. The year 2021 has marked a substantial increase in the number of SSC, VA and TA issued, also taking into account the effects of the full transposition (41 SSCs issued, 1260 VAs and 2 ERTMS TAs).

The Agency ensured a high level of transparency by regularly monitoring and sharing with the Management Board the level of achievement of its SPD outputs and the level of its budget execution, respectively. This also allowed for a quick redeployment of any savings due to the cancellation of meetings and missions in the context of the pandemic restrictions, to cover urgent needs during the year, on the background of a persisting pressure on the Agency’s resource envelope. The budget execution of the Agency in 2021 has yielded positive results. The work on the efficiency gains and performance was further strengthened in 2021, in line with the European Commission’s requirements and recommendations. More information can be found under section II.6.

The Report reveals a higher degree of achievement of Agency’s targets for the various outputs, as well as a good degree of achievement for its set of KPIs. The Agency acknowledges that there is always room for continuous improvement and strives to continuously increase the rate of achievement of its objectives and targets. The report confirms a sound management of the budget, financial and human resources. The Agency is properly following the audit results and audit recommendations received. The Agency’s Management assurance is provided with no reservations.

# Section I - Achievements of 2021

This part of the report records:

- › the main achievements for the Agency's activities against SPD 2021
- › the achievement of Agency's KPIs, as defined in SPD 2021

All the annual achievements reported below are supporting the multi-annual objectives defined in SPD 2021. The links to evidence might lead to internal workspaces within the Agency. For more information, one should contact the Agency directly.

In **Activity 1** the work has been focusing on topics such as strengthening of the EU framework outside of the EU, the mainstreaming of interoperable data, and the organisation's culture change project. In parallel, the Agency continued to organise the meetings of the NSA Network, the NRB management and coordination and the NIB cooperation, respectively, by adjusting to the COVID-19 context and re-orienting towards remote meetings. The EUMedRail and the IPA projects have continued their important work, while being impacted by the travel and meeting restrictions due to the COVID-19 pandemic. When it comes to enhancing Railway Safety through positive safety culture, with almost 100 participating partner-organisations and overall 46,500 replies, the Agency' safety climate survey marks a new successful step in supporting the sector with the development of a positive safety culture. A new service on management of Innovation and long-term evolution of the Agency was successfully set-up mid-2021, which enabled the Agency's contribution to the System Pillar of the Europe's Rail JU. A contribution agreement was signed with DG MOVE to compensate the resources allocated to the System Pillar activities.

In **Activity 2**, the year 2021 was mainly dedicated to advancing with the revision of the complete TSI package by 2022, as requested by the EC mandate. In parallel, a strong focus was maintained on the cleaning up of the remaining national technical, safety and operational rules constituting obstacles to smooth rail operations. In addition, the introduction of a new CSM on the assessment of safety levels and safety performance, for which a Recommendation was sent to the European Commission, is an important step towards the transparent exchange of safety related information throughout the European railway sector.








In **Activity 3**, the Agency continued to effectively perform its role of authority responsible for issuing authorisations for placing railway vehicles on the market (VA), single safety certificates (SSC) for railway undertakings and ERTMS trackside approvals. 2021 saw the first year of full transposition of the technical pillar and a consistent increase on the number of applications processed by the Agency. The Agency maintained the OSS and upgraded other registers, so as to fulfil the needs arising from SSC, to comply with ECM Regulation (EU)2019/779, to receive notifications of national safety rules, and to enable the exchange of data between RINF and stakeholders' systems. In particular, the new EVR has been deployed at the end of 2021, ready to host vehicles data from the existing National Vehicles Registers; the new Organisation Codes Register has been deployed and used across 2021, and a new module to notify Fixed Installations rules has been deployed in the Single Rules Database.

In **Activity 4**, the Agency completed the first 3-year cycle of the monitoring of National Safety Authorities and reported to the Management Board on its results. In addition, the second 3-year cycle of NSA audits was launched. The monitoring of Notified Bodies continued and the revision of the ERA Assessment Scheme was launched. Furthermore, the Agency supported the establishment and the implementation of a system of Peer Review among National Investigating Bodies. The analytical tasks

linked to the impact assessment of recommendations and opinions were further developed with focus on the TSI 2022 revision package. Moreover, there were also a number of deliverables linked to ad-hoc ex-post evaluations, the reporting of progress on safety and interoperability, and the annual assessment of safety targets achievements as well as other analyses (e.g. on trends in railway patents and COVID-19 risks for passengers). The research activities focused on the identification of SERA research needs taking into account the return of experience, and the management of their integration and their follow-up into the relevant rail research programmes, which were mainly linked to the cooperation under Shift2Rail and its successor Europe's Rail Joint Undertaking.

In **Activity 5**, the Agency implemented the necessary changes in order to continue the delivery of efficient and effective services towards its external and internal stakeholders, including the progress with the application of the intervention logic in its SPD and the increasing focus on performance, linking together the focus on efficiency in delivering its outputs and the focus on outcomes and impacts for the railway system and the citizens.

The next parts under Section I include the detailed record of the achievement assessment for the outputs listed in SPD 2021-2023 for the various SPD objectives. The infographics used for the various levels of achievement are referenced in the following table.

Achievement chart reference	
Overachieved	
Achieved	
Partly achieved	
Not achieved	
Not Achieved due to COVID-19 pandemic	
Postponed	
No data available / No assessment possible	

As an element of novelty compared to the previous years editions, a short explanation is provided not only for the outputs which were not achieved/partly achieved, but also for the list of achievements, in order to better guide the reader on the content of the Agency's actual contributions during 2021. Moreover, a text box was included at the end of each SPD Objective assessment, including a description of the added value brought by that objective for the EU citizens.







The mapping of the 24 SPD objectives across the 5 SPD activities is captured in the following table.

<b>Activity 1</b> Contributing to shaping target and global reference	<b>Activity 2</b> Developing the harmonised regulatory SERA technical framework	<b>Activity 3</b> Implementing the harmonised regulatory SERA technical framework	<b>Activity 4</b> Monitoring, evaluating and reporting	<b>Activity 5</b> Delivering efficient and effective services
1.1 Strategic Development	2.1 Harmonised Railway Operations and Management Systems	3.1 Support to the 4 <sup>th</sup> RP Implementation	4.1 Collect and analyse evidence for decision making	5.1 Ensure good corporate governance
1.2 Enhancing Railway Safety through positive safety culture and integration human and organisational factors	2.2 Harmonised technical specifications (fixed installations and vehicles)	3.2 Issuing Single Safety Certificates	4.2 Monitoring	5.2 Ensuring sound management of the Agency's human and financial resources and building facilities
1.3 Strengthening international cooperation in rail	2.3 Harmonised Train Control System and Telematics (communications, signalling, ERTMS system authority, telematics system authority)	3.3 Issuing vehicle authorization, including ERTMS on-board assessments	4.3 Identifying research needs for the Target Rail System and supporting partner organisations in research and innovation	5.3 Support business delivery through IT systems
1.4 Implementing the EU Med Rail Project	2.4 Disseminating and Training to support implementation of the EU framework	3.4 Issuing ERTMS trackside approval	4.4 Reporting on the Railway System	5.4 Communicating effectively through website and social media
1.5 Implementing the IPA and Western Balkans-Project		3.5 Railway System Data		5.5 Ensuring efficient and effective communication (internal and corporate)
1.6 Coordinating the Agency position on research and innovation activities including contribution to ERJU System Pillar and innovation projects				


I.1. Activity 1 - Contributing to shaping target and global reference



I.1.1 Strategic development

The following outputs were recorded under SPD 2021-2023:

Data and Digitalisation	
Indicator	Target
Linked data programme proposal (including the list of specific projects which can be addressed with linked data)	Endorsed by MB
 <b>Partly achieved</b> The projects list is part of the roadmap which was endorsed by the MB. Any updates to the list following the decisions of the Agency's Data Steering Committee will be brought to the attention of the EB/MB under the Strategic Calendar agenda point. <b>Link to evidence:</b> Evidence available upon request	
Linked data programme proposal (including the list of specific projects which can be addressed with linked data)	RINF functionalities over the Knowledge graph: Data search and consultation, Route Compatibility Check.
 <b>Achieved</b> Both RINF functionalities over the Knowledge graph (Data search and consultation and Route Compatibility Check) have been published. <b>Link to evidence:</b> <a href="#">Link 1</a> ;	
New RINF architecture which facilitates the extension towards microscopic level description of railway infrastructure.	By 1st December 2021
 <b>Achieved</b> The new RINF architecture, which works with linked data, is available. <b>Link to evidence:</b> Evidence available upon request	
Timely management of RINF user support requests.	90%
 <b>Achieved</b> The timely management of RINF users support requests has been achieved at 91%. <b>Link to evidence:</b> Evidence available upon request	




<p><b>Added value to EU Citizens</b></p> <p>This project aims at bringing value to the Agency's data collection not only to the railway sector organisations but also to all EU citizens. We want to increase their value, and this will come as a product of the transformation of the digital assets following the FAIR principles: Findability, Accessibility, Interoperability and Reuse. In other words, we want to tackle the availability of high-value datasets, which is the key to the development of new services. The Agency inaugurated this new way of working by offering the Route Compatibility Check as an assistive tool for experts in the domain, however several use cases can follow by interested parties who can use the ERA Knowledge graph, which so far comprises railway infrastructure and vehicle type data, as their data source.</p>
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Green agenda	
Indicator	Target
Agency's input for the Green deal policy documents	Provided to EC
 <p><b>Achieved</b></p> <p>The Agency has delivered the reports prepared to the European Commission as input for the action plan to boost long distance and cross-border passenger rail. The latter was published by the EC on the 14th of December 2021. In addition, a webinar on <i>How rail freight helps achieving climate goals</i> was organised.</p> <p><b>Link to evidence:</b> <a href="#">Link 1</a>;</p>	
<p><b>Added value to EU Citizens</b></p> <p>In the context of the Green Deal, some ambitious environmental objectives have been set: carbon neutral economy by 2050 and reduction of 90% of transport emissions by the same date. In the sustainable and smart mobility strategy, sector objectives have been developed: doubling high-speed traffic by 2030 and tripling it by 2050, 50% increase of rail freight traffic by 2030 and doubling it by 2050 and, finally, carbon neutral journey up to 500km for collective transport. The railway sector has a clear contribution to provide to reach those objectives, which should ensure a better future to EU citizens by mitigating the effects of climate change. The Agency is pushing to make sure that the role of the railway sector in reaching environmental objectives is understood and fostered with the final objective to make railway the backbone of the transport and mobility system in Europe.</p>	


Better Together at ERA	
Indicator	Target
No. of workshops organised to substantiate the findings of the survey and address quick wins in achieving the organisational culture change	Minimal 2
 <p><b>Achieved</b> Following a general workshop in July 2021, the aim was to adopt the new vision/mission and fundamentals of the Agency in September 2021. This was covered through a series of six internal workshops run with the Agency's management team. The new vision/mission and fundamentals have been adopted in December 2021 and presented to the whole staff during the General Assembly of the 15th of December 2021. <b>Link to evidence:</b> Evidence available upon request</p>	
Gender equality audit carried out	100%
 <p><b>Not achieved</b> A specialised gender audit training has been followed by three Agency staff members, who have now been certified. The audit strategy is under development, including the rescheduling of the gender audit for 2022, which will be driven by the three staff members trained in 2021.</p>	
<b>Contribution to EU Citizens</b>	
This project will enhance the Agency's working environment and culture, which should strengthen its workforce to deliver high-quality outputs. The Agency aims to address the current gender imbalance, as identified in the discharge report from the European Parliament.	


I.1.2 Enhancing Railway Safety through positive safety culture and integration of human and organisational factors


The following outputs were recorded under SPD 2021-2023:

Develop Safety Culture	
Indicator	Target
Information on the development of safety culture collected, as input for RSD Art.29.2 report to Commission	EU wide survey finalised, set up and launched
 <p><b>Overachieved</b> The Agency has successfully launched a unique safety perception survey open to all rail professionals working in the European Union and in EFTA states: 46500 responses to the European Rail Safety Climate Survey (ERA-SCS) were collected. <b>Link to evidence:</b> <a href="#">Link 1</a>;</p>	
Organisational Just Culture: training module / workshop	Developed and tested
 <p><b>Achieved</b> Training modules developed with the support of the task force and workshop delivered on 13 and 15/12/2021. <b>Link to evidence:</b> Evidence available upon request</p>	
Series of guides on safety culture	1 additional guide available
 <p><b>Not achieved</b> The guide has been mostly drafted in 2020 and has not been finalised in 2021 because of the need to concentrate the efforts on the Safety Climate Survey and on the work on SSC. However, valuable additional work has been conducted in 2021, in particular under the peer review pilot activity, carried out with CER, Trenitalia, SNCF, ÖBB and SBB. The content of the existing guidelines has been used and enriched during the training delivered to the peer reviewers in March 2021. The added value of such guide will be reevaluated in the context of a new project for transmitting safety management knowledge. <b>Link to evidence:</b> Evidence available upon request</p>	
<b>Contribution to EU Citizens</b>	
<p>The degree of maturity in safety management is very diverse throughout Europe. One of the underlying reasons is a poor understanding/acceptance of responsibilities and how to put this in practice. This requires the right mindset, and an adequate safety strategy that is systematically implemented in both formal and informal elements of safety management. Rail safety is at the core of EU citizens’ interest. The Agency has developed the above-mentioned activities to further strengthen it.</p>	

Integrate Human and Organisational Factors (HOF)	
Indicator	Target
Automation myth busting - series	2 publications available
 <b>Partly achieved</b> One paper on automation myth busting was prepared and published on the Agency's website in 2021. <b>Link to evidence:</b> <a href="#">Link 1</a> ;	
HOF in accident investigation: training module / workshop HOF in SMS: training module /workshop	Finalised Developed and tested
 <b>Partly achieved</b> The training module on HOF in SMS was prepared and a workshop was organised with one railway undertaking. For the module on HOF in accident investigation, the progress was limited due to the focus of the efforts on the Safety Climate Survey and SSC. <b>Link to evidence:</b> Evidence available upon request	
HOF toolkit (supporting operators to integrate HOF in change projects)	Developed and tested
 <b>Achieved</b> The guidance on HOF in change management and the HOF change management tool have been shared with the members of the task force for their feedback. <b>Link to evidence:</b> Evidence available upon request	
<b>Contribution to EU Citizens</b>	
The objective of the project is to increase awareness, both internally and externally, about the importance of integrating HOF and provide practical tools to enable the sector to do this in order to improve railway safety performance and efficiency. Integrating HOF will not only improve safety performance but also be cost effective. For example ensuring that a human-centred design approach is taken from the start will avoid costly revisions due to designs being unsuitable for the operators.	


Learning from Safety Performance	
Indicator	Target
Investigating SMS: training module / workshop	Ready for (online) delivery
 <b>Achieved</b> The 1 <sup>st</sup> pilot training was successfully delivered (week 1-5 March, 2021). <b>Link to evidence:</b> Evidence available upon request	

HOF in accident investigation: training modules/workshop	Ready for (online) delivery
 <b>Not achieved</b> For the module on HOF in accident investigation, the progress was limited due to the focus of the efforts on the Safety Climate Survey and SSC work.	
<b>Contribution to EU Citizens</b>	
Important lessons can be learned from safety performance and events. Unfortunately, despite the fact that a lot of resources go into the analysis of events, the learning potential is not fully exploited. The project aims to improve this situation both at operational and authority level. The development and implementation of the CSM ASLP is a sub-initiative to achieve this.	




TDG Coordination	
Indicator	Target
Number of meetings where ERA supports EC in accordance with Agency Regulation Article 17	15 meetings
 <b>Overachieved</b> The Agency attended 29 meetings to support the EC on TDG matters. <b>Link to evidence:</b> Evidence available upon request	
<b>Contribution to EU Citizens</b>	
This service contributes to the safety of EU citizens, as well as the safety of the environment within the EU. Through involvement at high-level meetings, the Agency provides support to ensure multimodality is pursued. In addition, this service contributes to removing unnecessary barriers to the free and efficient railway operations of TDG carriage.	


I.1.3 Strengthening international cooperation in rail


The following outputs were recorded under SPD 2021-2023:


Coordination of international relations	
Indicator	Target
Collaboration with OSJD, OTIF	Ensured (as far as no travel is required)
 <p><b>Achieved</b> ERA participated in all OTIF Working Group "TECH" meetings, in the Committee of Technical Experts and in the OTIF General Assembly. The intensive cooperation continued in the ERA-OSJD Contact Group and in the framework of OSJD meetings on coding and IT. All scheduled meetings took place online. ERA-OSJD Contact Group made publically available the comparative analysis of requirements for basic parameters for two subsystems: energy (update) and telematics applications for freight (first edition). <b>Link to evidence:</b> <a href="#">Link 1</a>;</p>	
Engagement with other international regulation bodies (Platform of regulators)	Ensured (as far as no travel is required)
 <p><b>Achieved</b> The Agency attended the 5<sup>th</sup> meeting of the Platform of regulators, which took place on 18 November 2021. <b>Link to evidence:</b> Evidence available upon request</p>	
Support to EC in wider international engagement	Ensured (as far as no travel is required)
 <p><b>Achieved</b> The support was ongoing within the limits of available resources e.g. invitations to webinars and contacts via phone conferences with ERA partners outside the EU. <b>Link to evidence:</b> Evidence available upon request</p>	
<b>Contribution to EU Citizens</b>	
<p>The Agency's cooperation with OSJD on technical and operational matters supports EC policies and EU rail industry in the joint effort of increasing attractiveness and capacities for passenger and freight transport by rail.</p> <p>Furthermore, the Agency provides possible technical support to the European Commission in other areas of its broad international agenda. The EU transport policy aims at promoting greater development and stability in the neighbouring countries, enhancing connectivity with the neighbouring areas and towards Asia, and creating a level-playing field for international rail transport and the rail supply industry beyond EU borders.</p>	



Networks	
Indicator	Target
NSA network	Organised
 <p><b>Achieved</b> 3 NSA Network meetings, 3 NSA Ad-Hoc meetings, and 1 Joint NSA/NRB Network meeting were organized in 2021. Due to the Covid-19 situation, all meetings were held online apart for 1 NSA Network hybrid meeting (ERA premises and online). <b>Link to evidence:</b> Evidence available upon request</p>	
NRB management and coordination	Organised
 <p><b>Achieved</b> In 2021, 1 Joint NSA/NRB Network meeting and 4 NRB Network meetings were organised. Due to the Covid-19 situation, all meetings were held online. <b>Link to evidence:</b> Evidence available upon request</p>	
NIB cooperation	Organised
 <p><b>Achieved</b> In 2021, 3 NIB Network meetings were organised. Due to the Covid-19 situation, all meetings were held online apart for 1 NIB Network hybrid meeting (ERA premises and online). <b>Link to evidence:</b> Evidence available upon request</p>	
<b>Contribution to EU Citizens</b>	
The Networks project aims at facilitating and improving the collaboration and partnership among the Agency, the NSAs, the NIBs, and the NRBs. Various topics in the field of safety and interoperability, which are at stake also for EU Citizens are discussed during several meetings organised under the Networks project.	





COVID-19 Platform	
Indicator	Target
Guidelines, analyses, advice	Prepared depending on the need
 <p><b>Achieved</b> The following documents have been prepared in 2021: (a) travel safety during COVID-19 study, and (b) post pandemic recovery of rail transportation <b>Link to evidence:</b> <a href="#">Link 1</a>;</p>	

Facilitation between relevant stakeholders	Ensured
 <p><b>Achieved</b> The COVID-19 Platform provided advice, facilitating and promoting the sharing of best practices in response to the COVID-19 crisis, and facilitated access to information between all stakeholders. A webinar was also organized on the “Post pandemic recovery of Rail Transport”, and the study “rail travel remains safer than car travel, even during the pandemic” was presented within the framework of the COVID-19 taskforce of UIC. Finally, the Agency was present at the 6<sup>th</sup> webinar of the African Railway Thursdays on “Health &amp; Safety Challenges face by Railways since COVID-19”. <b>Link to evidence:</b> <a href="#">Link 1</a>; <a href="#">Link 2</a>; <a href="#">Link 3</a>;</p>	
<p><b>Contribution to EU Citizens</b></p> <p>The COVID-19 platform facilitates the international exchange of COVID-19 relevant information, experiences, and best practices in the European transport sector and beyond. This platform provided information for the progressive restoration of transport services and connectivity, the safeguard of the health and safety passengers, transport workers and staff, and the re-establishment of trust in rail services.</p>	




Collaboration with European and international standardization organizations	
Indicator	Target
Assessment of the new standard version to be referred to in TSIs	30% of ENs assessed by end 2021
 <p><b>Overachieved</b> A number of 43 EN standards were assessed, which constitutes 86% of the total number of standards under assessment. <b>Link to evidence:</b> Evidence available upon request</p>	
<p><b>Added value to EU Citizens</b></p> <p>After accidents and incidents, we bring the EU experts together in order to improve safety while striving for keeping or even enhancing the competitiveness of railways, the safest and most environmental friendly transport mode.</p>	

### I.1.4 Implementing the EU MedRail project

The following outputs were recorded under SPD2021-2023:





EUMedRail	
Indicator	Target
Workshops and technical visits: <i>No. of national workshops involving one beneficiary</i>	3
 <b>Overachieved</b> Bilateral/thematic meetings organised with all beneficiaries (Algeria, Egypt, Israel, Jordan, Lebanon, Morocco, Palestine <sup>3</sup> and Tunisia). <b>Link to evidence:</b> Evidence available upon request	
Workshops and technical visits: <i>No. of regional workshops involving more than one beneficiary</i>	3
 <b>Overachieved</b> In 2021, the EUMedRail project organised 5 regional workshops on human and organisational factors in SMS, safety culture, safety certification and supervision, accident and incident investigation and safe operations. <b>Link to evidence:</b> Evidence available upon request	
Workshops and technical visits: <i>EUMEDRAIL annual conference</i>	1
 <b>Achieved</b> A steering committee meeting was organised involving among others the partner countries, EC, UfM, OTIF, UIC. <b>Link to evidence:</b> Evidence available upon request	
Traineeship arrangements for experts of the region: <ul style="list-style-type: none"> <li>• Number of trainees from the beneficiaries at the Agency</li> <li>• Proportion of beneficiaries represented</li> </ul>	<ul style="list-style-type: none"> <li>• 3</li> <li>• 100%</li> </ul>
 <b>Not achieved</b> Because of the COVID-19 pandemic, the traineeship programme had to be postponed to 2022.	






<sup>3</sup> \* This designation shall not be construed as recognition of a State of Palestine and is without prejudice to the individual positions of the Member States on this issue.

Experts participation to meetings organized by the Agency Support to Cooperation with DG NEAR / UfM: Evaluation of UfM documents related to rail transport	1
 <b>Achieved</b> The evaluation was completed in 2021. <b>Link to evidence:</b> Evidence available upon request	
Experts participation to meetings organized by the Agency Support to Cooperation with DG NEAR / UfM: No. of UfM working group meetings attended	2
 <b>Achieved</b> The EUMedRail progress updates have been presented at UfM WG meeting on May 31, and December 15, 2021. <b>Link to evidence:</b> Evidence available upon request	
Experts participation to meetings organized by the Agency: <i>No. of meetings/events organized by the Agency, where the experts from the region attend</i>	6
 <b>Achieved / No sufficient data available</b> The experts attended two conferences (Cybersecurity in Railways and European Rail Safety days). Regarding webinars, participants register anonymously. While the team is very confident that experts from the regions attended at least 4 webinars, no supporting evidence can be provided for this part of the target. <b>Link to evidence:</b> <a href="#">link 1</a> ;	
<b>Added value to EU Citizens</b> The EUMedRail project promotes regional cooperation with the Southern Mediterranean partners in the framework of the European Neighbourhood Policy. In particular, the project encourages the exchange of best practices in the field of interoperability and safety of the EU railway system and the promotion of the European Rail Traffic Management System (ERTMS). The exchange of information between the Agency and the beneficiaries supports shared vision of safety Management and railway operations.	



## I.1.5 Implementing the IPA and Western Balkans-project

The following outputs were recorded under SPD 2021-2023:

IPA and Western Balkan	
Indicator	Target
Dissemination packages including an overview of the legislation	Prepared, 1 delivered
 <b>Achieved</b> In 2021 two additional webinars were translated to Albanian, Serbian and Turkish languages and made available online for all interested railway experts of the region. Presently, there are six webinars available covering different rail safety subjects, certification, authorisation and approval, innovation (EN only), rail freight (EN only) and the European Green Deal. Additionally, two Safety Management training sessions were organised by the Agency in Podgorica, Montenegro. <b>Link to evidence:</b> Evidence available upon request	
Training course on Risk Management	Prepared, 1 delivered
 <b>Not achieved</b> Dissemination on site was not possible due to COVID-19 pandemic. Much work was dedicated therefore to online dissemination, noting that it might not be accessible to all beneficiaries.	
Training course on Safety Management System	Prepared, 1 delivered
 <b>Achieved</b> Two Safety Management training sessions were organised by the Agency in Podgorica, Montenegro. <b>Link to evidence:</b> <a href="#">link 1</a> ; <a href="#">link 2</a>	
E-learning deployed	Yes
 <b>Achieved</b> In 2021 two additional webinars were translated to Albanian, Serbian and Turkish languages and made available online for all interested railway experts of the region. Presently, there are six webinars available covering different rail safety subjects, certification, authorisation and approval, innovation (EN only), rail freight (EN only) and the European Green Deal. <b>Link to evidence:</b> Evidence available upon request	
Trainees hosted	Yes





 <b>Not achieved</b> Due to the COVID-19 pandemic, no traineeship could be organized for this project.	
Technical support for analysis of national rules - Satisfied requests	100%
 <b>Achieved</b> All requests for support to the Agency have been tackled. <b>Link to evidence:</b> Evidence available upon request	
Participation of IPA reps to NSA network meetings and NIB plenaries - No. of reps invited	7 per year
 <b>Achieved</b> The Agency invited all beneficiaries to nominate two observers for the 45 <sup>th</sup> , 46 <sup>th</sup> , and 47 <sup>th</sup> NIB Network Meetings. The Agency followed the same approach for the 56 <sup>th</sup> and 57 <sup>th</sup> NSA Network Meetings. <b>Link to evidence:</b> Evidence available upon request	
Participation of IPA professionals to NSA Monitoring and NIB peer-review - No of reps invited	7 per year
 <b>Not achieved</b> In 2021, only one NSA monitoring audit (Latvia) was open to the participation of an IPA Professional (the Director of the NSA North Macedonia was invited to participate). When it comes to NIB Peer Reviews which took place in 2021, none of them could involve IPA representatives in 2021.	
IPA Project management - project documentation and interim reports to EC	Issued
 <b>Achieved</b> All the related documentation was duly prepared: Project Plan updated; Annual Narrative Report 2020 and Annual Financial Report 2020 sent to DG NEAR; Management Declaration sent to DG NEAR. <b>Link to evidence:</b> Evidence available upon request	
<b>Added value to EU Citizens</b> When the EU candidate countries will join the Union, they will have already implemented the framework and the EU acquis. This will allow EU citizens to use rail as environmentally friendly and safe mode of transport and transport their goods from/to South-Eastern Europe, as rail freight corridors are today connecting the Western Balkans with the EU. In a long run the IPA and Western Balkan Project will support the implementation of the Interoperability Directive and the Safety Directive among the project beneficiaries. This will provide the base for a market opening of rail services and seamless train rides from and to this neighbouring region.	

I.1.6 Coordinating the Agency position on research and innovation activities including contribution to ERJU System Pillar and innovation projects





Management of innovation and long-term evolution of the Agency	
Indicator	Target
Service established: - IMS documentation - PPS documentation	31/12/2021
 <b>Achieved</b> All the related documents were established and agreed (Service ToR and service plan; service monthly reports). <b>Link to evidence:</b> Evidence available upon request	
Coordination of Agency contribution to the preparation of the System Pillar: - Agency position delivered to EC	31/12/2021
 <b>Achieved</b> Internal / external coordination ensured (repository created, ERA positions agreed, meetings organised or attended, contributions shared). <b>Link to evidence:</b> Evidence available upon request	
<b>Contribution to EU Citizens</b> The EU railway system has an important role for citizens as an environmentally safe transport mode. It needs to transform in order to meet the policy objectives of modal shift and decarbonisation and to take account of the emerging customer needs. This transformation requires innovation in governance, service offer and technology. The Agency in its role as System authority and as independent technical support of the EC, needs to reflect proactively on its long-term evolution. Such reflection should consider amongst other things the foreseen evolution and transformation of the EU railway system. The Agency’s contribution to the preparation of the System Pillar under the new Joint Undertaking Europe’s Rail is an unique opportunity to exchange on and feed this reflection.	




## I.2. Activity 2 - Developing the harmonised regulatory SERA technical framework

## I.2.1. Harmonised Railway Operations and Management Systems

Harmonising railway operations	
Indicator	Target
Cleaned up NSR	100% of outstanding safety rules analysed by Agency end September 2021
 <b>Partly achieved</b> 12 out of 27 (44%) concerned MS were informed of the Agency's initial assessment. <b>Link to evidence:</b> Restricted access due to confidentiality	
Acceptable means of compliance (as requested in Regulation (EU) 2019/775 (OPE TSI))	By working party proposed AMOCs are approved
 <b>Achieved</b> All three AMOCs (safety of loads, safety of passengers, test and checks) sent to EC for discussion at RISC; final TO, including impact assessment published on the Agency's website (Opinion ERA/OPI/2021). <b>Link to evidence:</b> <a href="#">Link 1</a> ;	
Harmonisation of operational rules in Annex A of OPE TSI	Integrated in revision of TSI OPE
 <b>Partly achieved</b> Work on the harmonisation of operational rules in Annex A of OPE TSI is ongoing. The deadline for recommendation for the TSI was extended with 6 months, in agreement with the European Commission. <b>Link to evidence:</b> <a href="#">Link 1</a> ;	
Recommendation to EC on the use of rear end signals	June 2021
 <b>Achieved</b> Recommendation on the technical specification for interoperability relating to the operation and traffic management subsystem of the rail system within the European Union and repealing Decision 2012/757/EU sent to the EC (ref. 5544) <b>Link to evidence:</b> Evidence available upon request	
<b>Added value to EU Citizens</b>	
The project aims at harmonising the operational practices in order to move towards a true Single European Railway Area.	







Sustainable Safety Management	
Indicator	Target
SMS guidance	Updated, taking into account feedback from SSC activities
 <b>Achieved</b> Within the Safety Management System guidance, the HOF and safety culture elements have been updated. <b>Link to evidence:</b> Evidence available upon request	
Cooperations of assessment (RA) and certification bodies (ECM)	Agreed number of technical and cooperation meetings organised
 <b>Partly achieved</b> Out of the 3 meetings planned, 2 were organised. The third meeting could not be organised, as staff were diverted to process SSCs. <b>Link to evidence:</b> Evidence available upon request	
Development of Risk Management Platform	Prototype finalised and accessible
 <b>Achieved</b> The prototype was finalised in 2021 and accessible to stakeholders. <b>Link to evidence:</b> <a href="#">Link 1</a> (the link is only accessible during the meetings of the Task Force)	
EUDG	2 meetings organised
 <b>Achieved</b> Two meetings of the sub-group were organised. <b>Link to evidence:</b> Evidence available upon request	
<b>Added value to EU Citizens</b>	
The project aims at supporting operators (i.e. RU, IM, ECM) and authorities (incl. Certification bodies) to understand and accept their responsibilities under the Railway Safety Directive, with the implementation of a living SMS as the cornerstone for controlling the risk of railway operations. For the TDG workstream, the particular aim is to create a level playing field for assessing risk between all land transport modes.	




Learning from safety performance – CSM ASLP	
Indicator	Target
Common Safety Method (CSM) on Assessment of Safety Level and Safety Performance	Final recommendation after consultation sent
 <b>Achieved</b> The recommendation was addressed to the European Commission on 19/05/2021. <b>Link to evidence:</b> Evidence available upon request	
Business requirements for the information sharing system (ISS)	Finalised
 <b>Partly achieved</b> The business requirements have been documented in 2021. The functional description cannot be developed without access to an ECCAIRS2 platform development environment, which can only be implemented with a formal and budgeted collaboration with EASA. <b>Link to evidence:</b> Evidence available upon request	
Group of Analysts	Launch meeting organised and work started
 <b>Partly achieved</b> The subgroup establishing the working arrangements of the Group of Analysts started its work in February 2021. The actual work of the Group of Analysts can only start once the regulation on the CSM ASLP is adopted. <b>Link to evidence:</b> Evidence available upon request	
<b>Added value to EU Citizens</b> The CSM ASLP provides assistance to the railway undertakings and infrastructure managers for improving their safety management and, in particular will ensure that they can achieve their business objectives in a continuously improved safe manner. It will also support decision-making of Member States regarding the achievement of common safety targets referred to in Article 7 of Directive (EU) 2016/798, by providing evidence and information on the evolution of safety performance and safety levels at national and Union level. Based on non-duplicated and interoperable collection of safety data, the CSM ASLP will implement a harmonised assessment of safety level, a harmonised assessment of safety performance and a well-structured process to help each railway operator, national safety authorities and the Agency to qualitatively and quantitatively learn about the causes of accident and incident occurrences and on their consequences in terms of victims and damages. The CSM ASLP will allow the national safety authorities and the Agency to collect national and Union level data resulting in the delivery of meaningful harmonised information that are necessary for their respective risk-based decision-making.	


### 1.2.2. Harmonised technical specifications (fixed installations and vehicles)



The following outputs were recorded under this objective:

National Technical Rules management	
Indicator	Target
Number of assessment delivered on time	5 MSs assessed and related TOs issued in case of negative assessment
 <b>Partly achieved</b> The assessment for Austria, Croatia, and Slovenia was delivered according to plan. Slight delays were experienced for the assessment related to Germany and Italy, which was delivered in the first quarter of 2022. <b>Link to evidence:</b> Restricted access due to confidentiality	
3 MSs Assessed on NRs for Fixed Installations (PL, HU, DE)	Finalised
 <b>Postponed</b> As agreed with the European Commission, the deadline to finalise the work on the elimination of redundant national rules for fixed installations was moved to 2022.	
Agency internal procedure on NRs management applied	95% of the files respecting the deadlines of the procedure and without non-conformity
 <b>Achieved</b> 100% of the technical opinions delivered according to the procedure in 2021 <b>Link to evidence:</b> Restricted access due to confidentiality	
<b>Added value to EU Citizens</b> The persistence of National Technical Rules impacting the design and authorisation of railway vehicles is a significant obstacle, causing additional costs and risks for the projects. For this reason, the Agency made it a priority to tackle their assessment and launch a program to reduce their number within the boundary of the available resources.	





Joint Network Secretariat	
Indicator	Target
Normal procedure Great Belt	Delivered according to plan
 <b>Achieved</b> The normal procedure on the Great Belt was delivered according to the updated plan, which envisages the closure of the procedure in April 2022. Following the incident, which took place at the Great Belt Bridget in January 2021, a new JNS urgent procedure was concluded. Its results were also taken into account for extending the future scope of the normal procedure. <b>Link to evidence:</b> <a href="#">Link 1</a> ;	
<b>Added value to EU Citizens</b>	
After accidents and incidents, the Agency brings the EU experts together in order to improve safety while striving for keeping or even enhancing the competitiveness of railways, the safest and most environmental friendly transport mode.	

Learning from TSIs	
Indicator	Target
Requests for technical opinions answered within the agreed deadlines	100%
 <b>Achieved</b> All the 3 technical opinions requested were delivered on time and presented at RISC. <b>Link to evidence:</b> <a href="#">Link 1</a> ;	
Requests for advice answered within the agreed deadlines	100%
 <b>Achieved</b> No advice was requested in 2021. <b>Link to evidence:</b> <a href="#">Link 1</a> ;	
Opinions under Art 19(1)(d) AR adopted as Acceptable Means of Compliance (AMOC)	100%
 <b>Achieved</b> The 2 opinions requested according to Art 19(1)(d) were turned into Acceptable Means of Compliance (ERA/OPI/2021-08 and ERA/OPI/2021-01). <b>Link to evidence:</b> <a href="#">Link 1</a> ;	
Participation to NB rail meetings (PLE and STR only)	100%


	<p><b>Achieved</b> ERA participated to the 3 plenary and 3 strategy NB Rail meetings (Strategy meetings : 27/1, 5/5, 13/10; Plenary meetings : 25/2, 17/6, 10/11) <b>Link to evidence:</b> Evidence available upon request</p>
<b>Added value to EU Citizens</b>	
<p>The content of the opinions and advices covers a large number of topics such as questions &amp; clarifications from NB Rail, specific cases from MSs, potential deficiencies in TSIs, etc. After endorsement by EC and RISC, these opinions/advices could constitute acceptable means of compliance with the TSIs and are published in the Agency’s website. These AMOCs contribute to the evolution towards the Target System.</p>	



TSI revision package	
Indicator	Target
Intermediate draft submitted to WP	End 2021
	<p><b>Postponed</b> The European Commission confirmed an extension to end of March 2022 for delivering the draft recommendation <b>Link to evidence:</b> Restricted access due to confidentiality</p>
TSIs revision package - Achievement of the 2022 TSI revision Package	100% CRs delivered according to the planning agreed with DG MOVE
	<p><b>Postponed</b> The European Commission confirmed an extension to end of June 2022 for delivering the final recommendation <b>Link to evidence:</b> Restricted access due to confidentiality</p>
<b>Added value to EU Citizens</b>	
<p>The primary objective of revising the TSIs is to implement the key policy priorities for sustainable and multimodal transport defined by the Commission. In addition, this service aims at reaching the optimal level of technical harmonisation, therefore removing technical barriers and enhancing interoperability.</p>	


## I.2.3. Harmonised Train Control System and Telematics (communications, signalling, ERTMS system authority, telematics system authority)

Manage the evolution of Telematics application for passengers (TAP TSI)	
Indicator	Target
Change requests included in TAP technical appendices, according to the CCM process	Q2 and Q4 2021
 <b>Achieved</b> The change requests have been processed and maintenance releases have been published on 15 June. As there was no change request submitted by the rail sector in November, the updates published on 15/12/2021 covered TAF/TAP TSI common topics. <b>Link to evidence:</b> <a href="#">Link 1</a> ;	
Recommendation about the revised TAP TSI delivered to DG MOVE (precondition: no delay by social consultation).	End 2021
 <b>Partly achieved</b> Revision was finalised in the 2021 Working Party meetings, and the social consultation ended on October 31, 2021. Its results have been consolidated and included into a recommendation sent to DG Move on January 21, 2022. <b>Link to evidence:</b> <a href="#">Link 1</a> ;	
ERSAD database operational	End 2021
 <b>Partly achieved</b> The ERSAD pilot had been foreseen to be deployed in a test environment in the cloud but could only be deployed on an internal test system in 2021. <b>Link to evidence:</b> <a href="#">Link 1</a> ;	
Monitoring of the TAP TSI implementation - progress report on Year -1	Q2 2021
 <b>Achieved</b> The implementation progress report for 2020 has been published in May 2021. <b>Link to evidence:</b> <a href="#">Link 1</a> ;	
<b>Added value to EU Citizens</b>	
One key element addressed in the sustainable and smart mobility strategy of the EU is the availability of a multimodal ticketing in EU by 2030. The revision of the TAP TSI and the continuous development of the technical documents contribute to this goal.	

Manage Radio Communication evolution	
Indicator	Target
CCS TSI - the part of ETCS/ATO readiness for FRMCS specifications consolidated	June 2022
 <b>Postponed</b> The original timing was revised through the second amendment of SPD 2021 (MB decision 269), due to the intense pressure in 2021 on Authority activities.	



Manage ERTMS long term evolution	
Indicator	Target
TSI CCS - the part of ATO GoA1/2 specifications consolidated	June 2022
 <b>Postponed</b> The original timing was revised through the second amendment of SPD 2021 (MB decision 269), due to the intense pressure in 2021 on Authority activities.	

Manage the evolution of Telematics application for freight (TAF TSI)	
Indicator	Target
Revision of TAF TSI	End 2021
 <b>Achieved</b> The revision of TAF TSI was achieved in 2021 and its related recommendations were sent to the EC in January 2021. <b>Link to evidence:</b> <a href="#">Link 1</a> ; <a href="#">Link 2</a> ;	
Change requests included in TAF technical appendices, according to the CCM process	Q4 2021
 <b>Achieved</b> CCM process followed. The maintenance release was issued on 15/12. <b>Link to evidence:</b> <a href="#">Link 1</a> ;	
Monitoring of the TAF TSI implementation - progress report on Year -1	Q2 2021





 <p><b>Achieved</b> Implementation report for 2020 was sent to the European Commission in Q2 2021. <b>Link to evidence:</b> <a href="#">Link 1</a>;</p>
<p><b>Added value to EU Citizens</b> Quicker and better rail freight product offering and consignment tracing / forecast is possible now with the new TAF TSI which leads to the realisation of the Green Deal objectives. Rail freight first and last mile operation data exchange (to harbours or terminals) is available now so that rail freight offers a value proposal to business partners.</p>



**I.2.4. Disseminating and Training to support implementation of the EU framework**


The following outputs were recorded under SPD2021-2023:

ERA Academy	
Indicator	Target
Delivering Training: Safety Training including safety training portfolio managed by the ERA Academy	Delivered
 <p><b>Achieved</b> The Agency delivered training sessions to Ermewa, NSA Netherlands, as well as IPA workshops. Their materials are being used as pilot for the e-learning tool. <b>Link to evidence:</b> Evidence available upon request</p>	
Building the Academy: Includes the creation of the ELearning environment (Moodle) and the interconnection of Moodle with ERA Knowledge Hubbasics, ERA Terminology, and Webpage. Promotion of the Academy.	Developed as planned
 <p><b>Partly achieved</b> The Agency has worked hard to test and finalise the e-learning tool (Moodle), but endured significant delays in its the development and provision. Moodle will eventually be available in 2022. In the meanwhile, the knowledge HUB page on the ERA website has been continuously updated and work has been carried out in the development of an ERA Terminology webpage, which will be implemented in the new version of the Agency’s website. <b>Link to evidence:</b> <a href="#">link 1</a>;</p>	
Building the Academy: includes Procurement FWC, development of learning modules by the contractor (this includes the PoE training v2.0).	Contractor selected and development of modules initiated






 <b>Not achieved</b> Following the development of a new concept for the ERA Academy, the tender specifications have been several times re-considered and reworked. A new tender has been launched in February 2022.	
Contributing to the Competency Framework: Linking HR framework with PoE framework and technical trainings organised by the Academy to improve experts' knowledge	Structure established
 <b>Partly achieved</b> The mapping of the pool of experts competencies against the Agency's HR framework was performed. Subsequent work to establish the structure of such framework, as well as the training delivery are ongoing. <b>Link to evidence:</b> Evidence available upon request	
Delivering Trainings: Regional Workshops (Online edition) - includes formal requests from NSAs or other stakeholders justified by strong business needs. Also includes deliveries to MSs; IPA; EU MedRail; Special Requests (ad-hoc).	At least 2 disseminations delivered
 <b>Overachieved</b> 2 remote workshops were delivered in the spring and 2 IPA workshops were delivered in October. <b>Link to evidence:</b> Evidence available upon request	
Delivering Events: all the events that were planned for the current year or are being organised for next year (note that these may be subject to unforeseen delays/postponement or cancellations): Safety Days 2021 (conference); Sifer 2021; IRSC 2021 remotely; ETCR 2021 remotely; preparation IRSC 2022, Innotrans 2022 and ERTMS 2022	Events for 2021 delivered and pre-work for other events done
 <b>Achieved</b> All events listed in the indicator were delivered, and the preparation for the 2022 was carried out appropriately. <b>Link to evidence:</b> <a href="#">Link 1</a> ;	
Delivering Events: all requested Webinars that are part of the communication portfolio such as - international activities of ERA, Green Agenda, "EU: Year of Rail", TSI Revision, etc.	9 Webinars delivered




	<p><b>Achieved</b></p>	<p>9 Webinars have been delivered in 2021 with continuous excellent audience retainment on the following topics:</p>
		<ul style="list-style-type: none"> <li>• Railways in the World: ERA's International Activities and Cooperations</li> <li>• How Rail Freight helps Achieving Climate Goals</li> <li>• Post-Pandemic Recovery of Rail Transportation,</li> <li>• Maintenance of Railway Vehicles: What's New and What You Need to Know,</li> <li>• Launch of European European Year of Rail</li> <li>• Progress on Safety towards SERA: issues and actions for railways in Europe</li> <li>• Towards a Harmonised European Rail Pass</li> <li>• European Data on Rails, the Linked Data Project</li> <li>• Managing Cybersecurity Risks in Railways (with ENISA)</li> </ul>
		<p>In addition, the Academy has successfully organized the <i>ENISA-ERA Conference: Cybersecurity in Railway</i> on March 16 and 17, 2021.</p>
		<p><b>Link to evidence:</b> <a href="#">link 1</a>;</p>
<p>Delivering Trainings: PoE Training V1.0 (online edition): PoE Training for VA; PoE Training for SSC (on-site training replaced by video modules); PoE Training for ERTMS TA (no requests so far but accounted for in planning).</p>	<p>2 online training weeks successfully delivered</p>	
	<p><b>Achieved</b></p>	<p>All requested training sessions have been delivered in 2021, with 35 experts trained in VA. In addition, SSC training sessions have been videorecorded to be delivered in a more flexible way in the future. The feedback received from the participants was overall positive.</p>
		<p><b>Link to Evidence:</b> Evidence available upon request</p>
<p><b>Added value to EU Citizens</b></p>		
<p>The Academy activities will undoubtedly make a difference to the European railway sector, by: contributing to reach a common understanding of European railway regulations and TSIs; improving railway safety by raising awareness; upskilling, and training railway staff, as such contributing to reaching the highest level of safety in Europe; contributing to the Women in Transport initiative; contributing to making European standards become a global reference, also promoting that harmonised terminology is used.</p>		

Provisions, strategy and plans for an effective and efficient communication	
Indicator	Target
Communication plan	Drafted and approved
 <b>Achieved</b> Communication plan prepared and submitted to the Management Board (MB decision 278) <b>Link to evidence:</b> <a href="#">Link 1</a> ;	
<b>Contribution to EU Citizens</b>	
The Communication and Dissemination plan makes the planned activities of the Agency transparent, enabling the sector to react and contribute. It is part of the Agency's professional approach to promote European railways and to ensure continuous visibility of ERA's activities throughout the year.	


I.3. Activity 3 - Implementing the harmonised regulatory SERA framework (under 4RP)


I.3.1. Support to the 4<sup>th</sup> RP Implementation


Revision of SSC guides and procedures	
Indicator	Target
Proportion of problems detected during safety certification activities (including pre-engagement and notifications) for which solutions are proposed	95%
 <b>Achieved</b> Issues arising from different sources (Plenary/Peer Review meetings, Business Helpdesk) were captured in the PAD SSC Action log and solutions were proposed. <b>Link to evidence:</b> Restricted access due to confidentiality	
Proportion of problems related to safety certification activities (including pre-engagement and notifications) reported by stakeholders for which solutions are proposed	95%
 <b>Achieved</b> All issues reported by stakeholders have been added to the appropriate issue log and solutions were identified. <b>Link to evidence:</b> Restricted access due to confidentiality	
Proportion of problems detected during safety certification activities (including pre-engagement and notifications) for which solutions are proposed	5 SSC plenary meetings
 <b>Achieved</b> 5 SSC plenary meetings have been organised. <b>Link to evidence:</b> Restricted access due to confidentiality	
<b>Contribution to EU Citizens</b>	
EU citizens expect that the Safety Certification Process is collaborative and efficient, and that suitable information is available for assessors and applicants alike so that Safety Certificate applications are processed in a timely manner. The changes we have made to the SMS Requirements Guide and the work we have done with the NSAs and our own assessment staff to improve understanding and skills helps to deliver this objective.	


Revision of VA guides and procedures	
Indicator	Target
Proportion of problems detected during vehicle authorisation activities (including pre-engagement and notifications) for which solutions are proposed	95%
 <b>Achieved</b> Problems detected during vehicle authorisation activities are discussed in VA RoE meetings. For each meeting, there is a supporting presentation, which includes the solutions proposed. <b>Link to evidence:</b> Restricted access due to confidentiality	
Proportion of problems related to vehicle authorisation activities (including pre-engagement and notifications) reported by stakeholders for which solutions are proposed	95%
 <b>Achieved</b> Problems and doubts reported by stakeholders through 'Contact Us' section of ERA website or through Service Desk are duly analysed. Answers and solutions are proposed by means of the concerned tool (SRMo or Service Desk) within the agreed timeframes (usually, less than 5 working days). <b>Link to evidence:</b> Restricted access due to confidentiality	
Proportion of problems raised in the return of experience meetings for which solutions are proposed	95%
 <b>Achieved</b> Whenever further actions are agreed during the VA RoE meetings, in addition to the solutions and proposals laid down in the supporting presentations, they are logged into an action list, which is continuously monitored and updated. <b>Link to evidence:</b> Restricted access due to confidentiality	
<b>Contribution to EU Citizens</b>	
The project aims at the simplification and industrialization of the authorisation process. This will reduce the time needed for delivering authorisations and the associated costs. The immediate consequence of this will be a decrease in the time needed for placing in operation railway vehicles, while keeping or even improving the existing safety levels. This will foster the modernisation and renewal of the fleets in the EU, setting the grounds for allowing EU Citizens to benefit from state-of-the-art trains.	

### Revision ERTMS Trackside approval guide and procedures (including the follow up of funded projects)


Indicator	Target
Proportion of major problems assessed with a decision following the change control process	95%
 <b>No assessment possible</b> The achievement assessment of this indicator was not possible given the small amount of issues reported in 2021. For future years, this indicator will be better defined, including a categorisation for the types of issues.	

OSS releases	
Indicator	Target
Proportion of significant problems detected during operation for which solutions are available in a next release.	95%
 <b>Achieved</b> Identified significant problems are continually addressed by updating the system, according to release scope recorded in TFS. <b>Link to evidence:</b> Evidence available upon request	
<b>Contribution to EU Citizens</b> The service contributes to the efficient issuing of Single Safety Certificates, Vehicle Authorisations, and ERTMS Trackside Approvals, by operating and improving the One-Stop Shop system according to the evolving business needs and supporting its user community.	


Business helpdesk SSC/VA/ERTMS Trackside	
Indicator	Target
Proportion of the requests on the Agency scope of work addressed to the business helpdesk answered within 10 working days	90%
 <b>Achieved</b> External requests from Agency's stakeholders related to VA/SSC/TA were tackled within 10 days during 2021. Feedback received from stakeholders reflects a high satisfaction level. <b>Link to evidence:</b> Evidence available upon request	
<b>Contribution to EU Citizens</b> Ensuring correct and prompt support to Agency's stakeholders allows a correct understanding of the 4th Railway Package and it enables higher efficiency for Single Safety Certification, Vehicle Authorisations and ERTMS Trackside Approvals by the Agency and its stakeholders.	

Negotiation of the Cooperation Agreements with NSAs	
Indicator	Target
Proportion of Pool of Experts (PoE) Agreements signed by December 2021	75%
 <p><b>Partly achieved</b> Among EU Member States having a railway system, Norway and Switzerland, 19/27 Pool of Experts agreements were signed in 2021 (70%). While the target has not been fully achieved, it is considered to be a success, as the PoE agreements are signed on a voluntary basis, therefore outside of the Agency's control.</p> <p><b>Link to evidence:</b> Evidence available upon request</p>	
<b>Contribution to EU Citizens</b>	
The added value is that this project allowed approximation of authorities when delivering enforceable acts for an interoperable SERA.	


### I.3.2. Issuing Single Safety Certificates

Issuing Single Safety Certificates	
Indicator	Target
Proportion of decisions taken according to the legal framework deadlines (for completeness and assessment phases)	100%
 <p><b>Achieved</b> All decisions have been taken within the legal framework deadline taking into account the time freeze agreed with the applicants.</p> <p><b>Link to evidence:</b> Restricted access due to confidentiality</p>	
<b>Contribution to EU Citizens</b>	
The single safety certificate gives evidence that the railway undertaking has established its safety management system and is able to comply with its legal obligations. Access to the railway infrastructure is granted only to railway undertakings that hold a valid single safety certificate. The safety certification activity of the Agency is contributing to increase and harmonise safety management systems of the operators while lifting the competitiveness of the European railway sector by significantly reducing the administrative burden for obtaining the necessary safety certificate needed for cross-border rail services.	

## I.3.3. Issuing Vehicle Authorisation, including ERTMS on-board assessments





Issuing Vehicle Authorisation, including ERTMS on-board assessments	
Indicator	Target
Proportion of decisions taken according to the legal framework deadlines (for completeness and assessment phases)	100%
 <b>Achieved</b> All decisions have been taken within the legal framework deadline taking into account the time freeze agreed with the applicants. <b>Link to evidence:</b> Restricted access due to confidentiality	
<b>Contribution to EU Citizens</b>	
The authorisation process allows the authorising entity to achieve a reasonable assurance that the applicant and the other entities involved in the design, manufacture, verification and validation of the vehicle and/or vehicle type have fulfilled their obligations and responsibilities, in order to ensure that the vehicle and/or vehicle type conforms to the applicable laws. The vehicle authorisation activity of the Agency is contributing to boost the competitiveness of the European railway sector by significantly reducing the costs and the administrative burden for authorising vehicles intended for cross-border rail services.	







## I.3.4 Issuing ERTMS Trackside Approvals





Issuing ERTMS Trackside Approvals	
Indicator	Target
Issuing Approvals - Proportion of decisions taken according to the legal framework deadlines	100%
 <b>Achieved</b> All decisions have been taken within the legal framework deadline taking into account the time freeze agreed with the applicants. <b>Link to evidence:</b> Restricted access due to confidentiality	
<b>Contribution to EU Citizens</b>	
The ERTMS trackside approval ensures that the European Rail Traffic Management System (ERTMS) equipment is interoperable, fostering the reduction of technical barriers.	



## I.3.5. Railways System Data

Registers	
Indicator	Target
ERADIS (maintenance and operation): ERADIS % of user support requests received via Service Desk and allocated to the Registers team answered on time	80%
 <b>Overachieved</b> 98.66 % according to statistics provided by Service Desk was achieved in 2021. <b>Link to evidence:</b> Evidence available upon request	
ERADIS (maintenance and operation): ERADIS % System availability (covering maintenance, bug fixes and patches and their analysis and testing)	98%
 <b>Achieved</b> 98.66 % according to statistics provided by Service Desk was achieved in 2021. <b>Link to evidence:</b> Evidence available upon request	
ERADIS (maintenance and operation): ERADIS % of submitted ERADIS documents assigned to the Registers team managed (published, rejected, or other actions taken)	95%
 <b>Achieved</b> 98.66 % according to statistics provided by Service Desk was achieved in 2021. <b>Link to evidence:</b> Evidence available upon request	
SRD: Development of the functionalities of SRD that will enable the notification of fixed installation rules to SRD	SRD version enabling the notification of fixed installation rules deployed to production by December 2021
 <b>Achieved</b> SRD version enabling the notification of fixed installation rules deployed on December 9, 2021. <b>Link to evidence:</b> <a href="#">Link 1</a> ;	
SRD: % System availability (ensured by maintenance, bug fixes and patches and their analysis and testing)	85%

	<b>Achieved</b> The availability reached 94.24% in 2021. <b>Link to evidence:</b> Evidence available upon request	
	RDD (maintenance and operation): % System availability (covering maintenance, bug fixes and patches and their analysis and testing)	98%
	<b>Achieved</b> The availability reached 99.94% in 2021. <b>Link to evidence:</b> Evidence available upon request	
	ERATV (maintenance and operation): % System availability (ensured by maintenance, bug fixes and patches and their analysis and testing)	98%
	<b>Achieved</b> The availability reached 99.70% in 2021. <b>Link to evidence:</b> Evidence available upon request	
	ERATV (maintenance and operation): % of submitted records published or clarification requested	85%
	<b>Overachieved</b> All submitted documents have been published or clarifications have been processed. <b>Link to evidence:</b> Evidence available upon request	
	VKMR (operation): published monthly	Published
	<b>Achieved</b> The VKM was published every month in 2021. <b>Link to evidence:</b> Evidence available upon request	
	Establishing an EVR on the basis of the current ECVVR: Start of the migration of local NVRs [currently hosted at Member States ] and start connecting decentralized VRs [that will remain hosted by MSs] to EVR	21/06/2021
	<b>Achieved</b> A first test release of EVR was made available to Member States on 03/12/2020 to start the migration of local NVRs and connecting decentralized vehicle registers. The access to this first release was published on the Agency's website. Further communication was sent to the Member States on 30/03/2021. Since then, Netherlands, Poland, Finland, Luxembourg, and Italy have started the migration of their local sNVRs to EVR, checking the	

<p>readiness of their data. A 3rd release of the test environment was deployed on June 2021. The production release has been deployed on 30/11/2021. The data migration is still ongoing.</p> <p><b>Link to evidence:</b> Evidence available upon request</p>	
<p>Establishing an EVR on the basis of the current ECVVR: % system availability (ensured by maintenance, bug fixes and patches and their analysis and testing)</p>	<p>98% starting from July 2021</p>
<p> <b>Partly achieved</b> A first test release of EVR was made available to Member States on 03/12/2020 to start the migration of local NVRs and connecting decentralized vehicle registers. The access to this first release was published on ERA Website (Under Registers/EVR). Further communication package was sent to the Member States on 30/03/2021. Since then, the Netherlands, Poland, Finland, Luxembourg, and Italy have started the migration of their local NVRs to EVR. A 3rd release of the test environment was deployed on June 2021. The production release has been deployed on 30/11/2021. Starting from this date, the availability percentage is 100%.</p> <p><b>Link to evidence:</b> Evidence available upon request</p>	
<p>Organisation's codes Register: Organisation Codes register placed in operation</p>	<p>21/06/2021</p>
<p> <b>Achieved</b> The OCs have been issued via the OCR starting from 24/06/2021.</p> <p><b>Link to evidence:</b> Evidence available upon request</p>	
<p>Organisation's codes Register: % of requests for organisation code allocation answered (accepted or rejected) within 10 days</p>	<p>90%</p>
<p> <b>Achieved</b> The rate of requests for organisation code allocation answered within 10 working days reached 96.53% after the release in production (June 2021).</p> <p><b>Link to evidence:</b> Evidence available upon request</p>	
<p>OCR: % System availability (covering maintenance, bug fixes and patches and their analysis and testing)</p>	<p>98% starting from July 2021</p>
<p> <b>Achieved / no assessment possible</b> The system availability was measured only in December and it hits the target (100%). No assessment was possible for the period July-November.</p> <p><b>Link to evidence:</b> Evidence available upon request</p>	
<p><b>Contribution to EU Citizens</b></p>	


The registers support the smooth delivery of the Agency and Member States authority tasks such as Vehicle Authorisations, Safety Certificates. This means safer and more efficient seamless railway operations in Europe for a true Single European Railway Area.


The registers also increase the transparency of the railway system in terms of safety performance; quality of the service, in terms of punctuality, customers satisfaction; independent and transparent regulation (including National Rules). Citizens' safety can benefit from the registers support the rail sector and the rail supply industry in sharing risks arising from defects and malfunctioning of technical equipment. Manufacturers of rolling stock, signalling systems and other components will benefit from the registers listing the national rules, to which they must comply (in addition to the TSIs), to be able to market their products in the EU.


Finally, the EU citizens will benefit from a more effective and efficient railway system thanks to the registers' data driving the policy making of the European Commission and the evaluation of the effectiveness of the legislation currently in force.

I.4. Activity 4 - Monitoring, evaluating and reporting


I.4.1 Collect and analyse evidence for decision making




Impact assessments for recommendations and opinions	
Indicator	Target
% of issued recommendations and opinions accompanied by an impact assessment	100%
 <b>Achieved</b> 1 Recommendation and 3 Opinions have been published by the Agency and accompanied by (light) impact assessments. <b>Link to evidence:</b> Evidence available upon request	
<b>Contribution to EU Citizens</b>	
The impact assessments promote transparent and evidence-based decision making, not solely on technical grounds, but considering wider socio-economic interests. This in turn leads to better regulation.	

Economic Steering Group and task forces	
Indicator	Target
Task Force Report endorsed by ESG	Report delivered to the ESG by December
 <b>Achieved</b> Final report of the Task Force was delivered to ESG on December 22, 2021. <b>Link to evidence:</b> Evidence available upon request	
<b>Contribution to EU Citizens</b>	
The Task Force on Migration and Transition was completed, which has developed a harmonised transition framework to better handle changes in requirements within rolling stock and CCS TSIs. The framework has been welcomed by many sector organisations as it shall reduce administrative burdens and limit the economic impacts of TSI transitions on existing projects. The novel TSI transition framework, moreover, will reduce administrative burdens and thus contribute to a more efficient European railway sector.	


Ex post assessment for selected topics	
Indicator	Target
Number of completed ex-post evaluations	At least one, depending on availability of resources
 <b>Achieved</b> Study on CSM on assessment of achievement of safety targets was published in March 2021. In addition, consolidated inputs for Safety Directive implementation report were delivered. <b>Link to evidence:</b> <a href="#">Link 1</a> ;	
<b>Contribution to EU Citizens</b>	
Ex-post assessments on existing legislation and policy initiatives determine whether these are working as intended and whether there are issues to be addressed in order to facilitate improvements. The delivered reports have enhanced knowledge on specific pieces of EU legislation that will contribute to introduce improvements for the railway sector (e.g. in the case of vehicle authorisations under the 4th Railway Package).	

## I.4.2 Monitoring



NSA Annual Safety report analysis	
Indicator	Target
Qualitative analysis of NSA Annual Safety reports to be presented to the NSA at the Workshop or delivered if the workshop is not possible	1 summary analysis presented at the workshop or delivered to NSAs
 <b>Achieved</b> Draft of Qualitative Analysis of 2019 NSA Reports sent to NSAs on 18/11/2021. <b>Link to evidence:</b> Evidence available upon request	
<b>Contribution to EU Citizens</b>	
This project helps the Agency to evaluate NSA safety performance across the EU MS based on information contained in the annual reports and to share good initiatives across the EU MS. This project also supports a harmonised safety approach in the MS through a standardised set of information that the NSAs share with all interested stakeholders.	


NSA monitoring	
Indicator	Target
No. of audit reports sent to NSA for comments after the onsite visit	At least 5
 <b>Overachieved</b> 5 NSA Monitoring reports (NL, LT, SK, LV, CH) have been sent to the NSAs for comments, finalised, and sent to EC. An additional audit (NSA ES) was started in 2021 as well. The on-site took place 18-23/10/2021. The first cycle of NSA monitoring was completed in 2021. <b>Link to evidence:</b> Restricted access due to confidentiality	
No. of follow – up audits	At least 1
 <b>Achieved</b> 1 follow up report delivered to EC (NSA HU). <b>Link to evidence:</b> Restricted access due to confidentiality	
Final report to the ERA Management Board	1 final report by December
 <b>Achieved</b> Final report submitted for MB meeting N°57. <b>Link to evidence:</b> Evidence available upon request	

<p><b>Contribution to EU Citizens</b></p> <p>Performance, organisation and decision-making procedures in the field of railway safety and interoperability vary substantially among national safety authorities, which may have a detrimental effect to the safe railway operations and the opening of the market. The performance of NSA monitoring activities supports such harmonisation and fosters coordination and mutual trust between NSAs and the Agency.</p>
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Support the NIB Peer review system	
Indicator	Target
ERA to attend as observer, at least remotely, to the meetings of NIB Peer Review meetings	Attend to, at least, 50% of NIBs preparatory Peer Review meetings
<p> <b>Achieved</b></p> <p>The Agency attended two (Sweden and Croatia) out of three planned peer review on-site visits as observer. Due to pandemic restrictions, the third visit has been postponed to 2022.</p> <p><b>Link to evidence:</b> Evidence available upon request</p>	
<p><b>Contribution to EU Citizens</b></p> <p>There is diversity in the quality of the NIBs organisations (e.g. financial and human resources and expertise) and in terms of conducted accident investigations and issued safety recommendations in the EU. By monitoring and evaluating the effectiveness and the independence of NIBs who choose to participate in the peer review programme on a voluntary basis, the Agency was enabled to support the improvement of the quality of railway accident investigations and the harmonisation of different levels of independence and effectiveness of NIBs.</p>	





NoBos monitoring	
Indicator	Target
No. of reports for NoBos audit/inspection sent to NoBos for comments after the onsite visit.	At least 2 reports, depending on resources availability
 <b>Over- Achieved</b> 5 audits were completed in 2021 (4 remotely and 1 on-site). All final reports were delivered in the scheduled timeframe. <b>Link to evidence:</b> Restricted access due to confidentiality	
Indicator	Target
Revision of the ERA technical document	Drafted and approved
 <b>Postponed</b> Draft revised version postponed to 2022 (amendment SPD #1).	
Contribution to EU Citizens	
Harmonised NoBo assessments ensure cross-assessment of results, therefore a reduction of conformity assessment costs and time. Checking and ensuring a high level of NoBo competence ensures delivery of compliant products which in turn fosters the safety of those products and of the citizens that use them. The project also contributed to the increase of trust in 3rd party conformity assessment practices.	


Review of NIB Accident investigation reports	
Indicator	Target
Qualitative analysis of NIB accident investigation	One draft summary analysis delivered
 <b>Postponed</b> No deliverable in 2021. The summary analysis will be possibly delivered in 2022.	

## I.4.3 Identifying research needs for the Target Rail System and supporting partner organisations in research and innovation

Support to S2R as requested by the S2R regulation, Cooperation with other bodies on research	
Indicator	Target
Research projects of interest for ERA identified, followed and monitored. Feedback provided to S2R.	100% of S2R projects analysed and projects of interest for ERA identified ; at least 20% of projects of interest for ERA monitored, depending on available resources
 <b>Overachieved</b> 100% of S2R projects analysed and projects of interest for ERA analysed. Approximately 62% of the projects of interest for ERA were monitored. Majority of the projects monitored via Shift2Rail IP Steering Committees. <b>Link to evidence:</b> Evidence available upon request	
ERA 2022 needs for research identified and communicated	ERA 2022 needs for research fed in time to the relevant EU bodies
 <b>Achieved</b> Agency's contribution to the advisory board of 8 projects of interest for the Agency was delivered: CONNECTA-2 and SAFE4RAIL-2, LYNX4RAIL, RAILS, FCH2RAIL, HYPERNEX, SAFETY4RAILS, TRANSLATE4RAIL projects and S2R Strategic Advice study. The Agency priority research topics to feed in the relevant EU Rail JU documents were sent to DG MOVE and Shift2Rail JU on 31/05/2021. <b>Link to evidence:</b> Evidence available upon request	
Contribution to railway research activities at EU level at EC request (e.g. Hyperloop)	Contribution fed in time according to resources availability
 <b>Achieved</b> The Agency attended 4 meetings organised by DG MOVE & S2R. Its contribution included: participation to the EC consultant's on a study for a regulatory framework, and participation in the advisory board of the project Hypernex. Research needs for the Horizon Europe Work Program 2023-2024 provided to DG MOVE on 06/12/2021. <b>Link to evidence:</b> Evidence available upon request	
<b>Contribution to EU Citizens</b>	
<p>The Agency, in its remit as technical regulator and authorising authority, assisted the European Commission and Shift2Rail JU in steering research and innovation in railways towards a consistent and evolutionary approach in view of keeping and attracting new customers.</p> <p>In particular, the Agency strived to make sure that the main research and innovation streams respect and foster the EU-wide regulation and processes for ensuring harmonisation and fighting fragmentation, and that the EU regulatory processes is open to incorporate the significant outcomes of research and innovation projects, which prove efficient and effective in supporting technical harmonisation, market orientation and response to customers' needs.</p>	

## I.4.4 Reporting on the Railway System




Report on progress with safety and interoperability in SERA (AR, Art. 35(4))	
Indicator	Target
Annual overview for safety	Available by March
 <b>Achieved</b> Annual overviews for both safety and interoperability completed and published on the ERA website. <b>Link to evidence:</b> <a href="#">Link 1</a> ; <a href="#">Link 2</a> ;	
Annual assessment report on achievements of CSTs	31/03/2021
 <b>Achieved</b> Delivery of the report to the European Commission on the last week of March 2021. <b>Link to evidence:</b> <a href="#">Link 1</a> ;	
<b>Contribution to EU Citizens</b>	
The (statutory) reporting service ensures that findings regarding the progress with safety and interoperability of the Single European Railway Area are transparently available based on all available statistics. This strongly contributes to evidence-based decision-making.	




Data and information analysis	
Indicator	Target
Creation of an automated report template and the delivery of all (over 100) ERA Safety Climate Survey partner reports.	Delivery before 31/08/21
 <b>Achieved</b> 101 reports in 19 European languages were delivered to the partners on August 25, 2021. <b>Link to evidence:</b> <a href="#">Link 1</a> ;	
<b>Contribution to EU Citizens</b>	
The ERA SCS analytical reports gave railway organisations a powerful instrument to assess their internal safety perceptions and define actions for improvement, contributing to an increasingly safe European railway system.	



I.5. Activity 5 - Delivering efficient and effective services



I.5.1. Ensure good corporate governance



The following outputs were recorded under SPD 2021-2023:


Integrated Management System	
Indicator	Target
Rate of closing pre-2021 audits findings (encoded in ERA Action Tracking System)	75%
 <b>Not achieved</b> Out of the total of 14 actions open at the beginning of 2021, 1 action was closed and 1 was proposed for closure. The remaining 12 actions were decided to be postponed to 2022. The Agency started in 2022 to revise its auditing process prioritisation. <b>Link to evidence:</b> Evidence available upon request	
ISO 9001 certification	ISO 9001 certificate maintained
 <b>Achieved</b> The external audit took place in June 2021. No non-conformities, observations neither weaknesses have been identified. <b>Link to evidence:</b> Evidence available upon request	
Number of simplified (LEAN-ed) ERA processes	Minimum 2
 <b>Overachieved</b> In 2021, 4 processes were LEAN-ed: Documentation management; Review of NIB accident investigation reports; Issuing an Agency’s Opinion; Learning and development. <b>Link to evidence:</b> Evidence available upon request	
<b>Contribution to EU Citizens</b>	
ERA Integrated Management System (IMS) comprising clearly identified and interrelated processes assists the Agency in delivering quality products and services in line with its objectives. The strive for a continued improvement enhances the quality, efficiency and helps in achieving stakeholders’ satisfaction.	



Management, control and support of Agency's portfolio of projects and services	
Indicator	Target
Monthly reports for Agency's projects and services	95% collected
 <b>Achieved</b> 98.5% ratio in average for 2021 is reached, excluding the summer holiday period. Link to evidence: Evidence available upon request	
Projects at risk of not achieving SPD outputs identified, causes analysed, mitigation measures proposed and implemented by the PM/SM, PO/SO	100% of mitigation measures proposed and implemented for projects at risk by the PM/SM, PO/SO
 <b>Partly achieved</b> While the Agency monitors its projects and services and proposes risk mitigation measures, the implementation of these measures was not centrally tracked in 2021. Further monitoring will be implemented in 2022. <b>Link to evidence:</b> Evidence available upon request	
Communication of SPD outputs for which risks cannot be mitigated within Agency's control	90% of project outputs that will not be fully achieved communicated to the Management team
 <b>Achieved</b> Outputs that would not be fully achieved were communicated to the Management team. <b>Link to evidence:</b> Evidence available upon request	
<b>Contribution to EU Citizens</b>	
The added value for citizens is having a view on the portfolio management decisions, which in turn have a direct impact on the proper delivery of the Agency's work programme.	



Issuing and updating SPD and AAR	
Indicator	Target
SPD 2022	Adopted by MB
 <b>Achieved</b> SPD 2022 has been adopted by the MB on 23/11/2021 <b>Link to evidence:</b> <a href="#">link 1</a> (decision 272);	
AAR 2020	Adopted by MB
 <b>Achieved</b> The CAAR 2020 has been adopted through written procedure by the Management Board. <b>Link to evidence:</b> <a href="#">link 1</a> (decision 264)	
<b>Added value to EU Citizens</b>	
The Single Programming Document and the Consolidated Annual Activity Report are key documents ensuring an efficient governance of the Agency, in terms of planning, monitoring and reporting. They therefore reinforce the transparent and good management of the Agency's resources, ensuring best value for money for the Agency's activities.	

Efficiency Programme	
Indicator	Target
Agency SPD performance dashboard	Prototype delivered by July 2021
 <b>Achieved</b> The prototype was finalized by the end of June 2021 and presented to the Management Board on July 6, 2021. The dashboard was well received and became a recurring item on the MB agenda. <b>Link to evidence:</b> Evidence available upon request	
Workshops for short terms efficiency measures	4 by Q4 2021
 <b>Partly achieved</b> 3 workshops have been organized, gathering 39 staff from all units and teams to discuss both short-term and long-term efficiency measures. A fourth workshop was not organized due to the lack of availability of staff, as they had faced pressure with rising authorisation and policy work. <b>Link to evidence:</b> Evidence available upon request	
Efficiency strategy	Developed by Q4 2021


 <b>Partly achieved</b> The efficiency strategy has largely been drafted but its finalisation had to be put on hold in order to ensure alignment with the Strengthening Plan. Such alignment will be reflected in SPD 2023-2025. <b>Link to evidence:</b> Evidence available upon request	
Audit plan delivered	Q4 2021
 <b>Partly achieved</b> Six internal IMS audits took place in 2021. A follow-up exercise in relation with outstanding IMS audit findings from previous audits was also performed. However, the audit programme was not fully implemented. For the future, the Agency will replace the current system of automatically auditing all processes over a certain cycle by a system which ensures a prioritisation of the processes to be audited, in direct relation to the risk assessment findings and with the performance objectives linked to the Strengthening Plan. Focus will be shifted to strengthen the follow up of the audit findings in order to boost compliance, efficiency and effectiveness. <b>Link to evidence:</b> Evidence available upon request	
<b>Added value to EU Citizens</b> The Efficiency programme was an essential project to enhance the effectiveness, identify efficiency gains, and increase transparency within the Agency. Through this programme, which has been gradually integrated in the Strengthening Plan, the governance of the Agency is improved, especially through an increased data-driven decision-making and improved monitoring system. This project therefore ensures that the Agency provides high value for money activities and outputs for the railway sector and the EU citizens at large.	


Supporting EB and MB meetings	
Indicator	Target
% of mandatory decision topics for 2021 covered by the EB/MB meetings	100%
 <b>Achieved</b> All decisions have been adopted in light with the Regulation and other legal requirements. <b>Link to evidence:</b> <a href="#">Link 1</a> ;	
<b>Contribution to EU Citizens</b> The Management Board ensures that the Agency carries out its mission and performs the tasks assigned to it under the conditions laid down in the Regulation 796/2016.	

ICC services	
Indicator	Target
% of nonconformities identified for which corrective/preventive actions are established	100%
 <b>Achieved</b> For all the NC identified during the year corrective actions have been established, following agreement with the action owners <b>Link to evidence:</b> Evidence available upon request	
Agency' most significant risks identified and assessed. Remedial actions plans	Documented and reported in AAR
 <b>Achieved</b> The Agency' most significant risks identified and assessed, as well as remedial actions plans were documented and reported in CAAR 2020 and the IMS review report 2021. <b>Link to evidence:</b> <a href="#">Link 1</a> ;	
<b>Contribution to EU Citizens</b>	
This service provides reasonable assurance that the Agency's resources are used as intended.	

Ethics services	
Indicator	Target
% of Agency staff trained on antifraud	At least 15%
 <b>Overachieved</b> 22.1% of Agency' staff attended the Antifraud training sessions and 33.15% of the Agency's staff (including newcomers) attended the Ethics training session. <b>Link to evidence:</b> Evidence available upon request	
% of annual declaration of interests (DoI) submitted by staff members	At least 90%
 <b>Achieved</b> 93.5% of staff submitted annual declaration of interests (DoI) <b>Link to evidence:</b> Evidence available upon request	
<b>Contribution to EU Citizens</b>	
This service enables to maintain the integrity of the decision making of the Agency and the credibility of the Agency's work (especially in the area of regulatory tasks) and to protect the Agency's reputation and its staff from malicious accusations.	









Legal support	
Indicator	Target
% of legal acts issued by the Agency, as defined by the Agency regulation, for which legal advice was provided	100%
 <b>Achieved</b> All requests for legal advice on operational, HR, procurement, and other matters, have been addressed with comments, replies, or advice. <b>Link to evidence:</b> Not applicable	
<b>Contribution to EU Citizens</b>	
Legal support provides a guarantee that the rule of law is respected in all aspects of the functioning of the Agency.	


Accounting	
Indicator	Target
Opinion in the CoA annual report on reliable Agency accounts	Positive
 <b>Achieved</b> The CoA issued a positive opinion for the 2020 accounts (received in 2021). <b>Link to evidence:</b> <a href="#">Link 1</a> (section 3.12.);	
<b>Contribution to EU Citizens</b>	
The service ensures that that the Agency’s accounts are reliable, legal and regular in all material respects.	

## I.5.2. Ensuring sound management of the Agency's human and financial resources and building facilities





The following outputs were recorded under SPD2021-2023:

Annual budget execution	
Indicator	Target
% of the annual appropriations committed	98%
 <b>Achieved</b> In 2021, 99.81% of the annual appropriations have been committed. <b>Link to evidence:</b> Evidence available upon request	
% of carry-over of payment appropriations	<10% for T1, <20% for T2 and <30% for T3
 <b>Achieved</b> In 2021, the % of carry-over of payment appropriations was the following: T1: 0.67%; T2: 18.1% ; T3: 29.34% <b>Link to evidence:</b> Evidence available upon request	
% of execution of C8 payment appropriations	95%
 <b>Achieved</b> In 2021, 98.81% of C8 payment appropriations was executed. <b>Link to evidence:</b> Evidence available upon request	
% payments made by contractual deadline	>95%
 <b>Achieved</b> In 2021, 98.47% of payments have been processed by contractual deadline. <b>Link to evidence:</b> Evidence available upon request	
<b>Added value to EU Citizens</b>	
The Annual budget implementation service provides added value to EU Citizens by ensuring an effective and efficient budget implementation and facilitates a successful discharge for the Agency's budget implementation.	

HR service	
Indicator	Target
% implementation of the establishment plan	98%
 <b>Achieved</b> 98% of establishment plan (Temporary Agents) implemented <b>Link to evidence:</b> Evidence available upon request	
% of staff turnover	≤ 5%
 <b>Achieved</b> The staff turnover was 7/184 (3.8%) <b>Link to evidence:</b> Evidence available upon request	
<b>Added value to EU Citizens</b>	
Proper staffing ensured to allow the Agency delivering the objectives set in the SPD.	






Procurement service	
Indicator	Target
No. of procurement procedures timely organised out of the total number of procurement procedures planned in the annual procurement plan	>90%
 <b>Partly achieved</b> The majority of the planned procedures have been organised according to the plan. For the procedure on promotional material, the launch was postponed to February 2022. The procedure on development of training products was not launched in 2021, awaiting for an internal definition of the scope of the services, in line with the business needs. <b>Link to evidence:</b> please refer to Annex IX (procurement plan)	
<b>Added value to EU Citizens</b>	
Public procurement refers to the process by which the Agency purchases its services, supplies or works from companies. The role of the procurement service is to ensure the application of fair, competitive, transparent, value-for-money standards and practices for the Agency procurement system. It ensures that public money is used efficiently.	

I.5.3. Support business delivery through IT systems


ICT service	
Indicator	Target
ServiceDesk users satisfaction feedback "Very Good/Excellent" rate	>70%
 <b>Achieved</b> Q1 (73%), Q2 (94%), Q3 (94%), Q4 (72%), which leads to an average of 83.25% for 2021. <b>Link to evidence:</b> Evidence available upon request	
Average yearly availability of the Critical IT systems	98%
 <b>Achieved</b> Including IT infrastructure and line of business applications. Availability of critical systems at 99,53% <b>Link to evidence:</b> Evidence available upon request	
Average yearly availability of the Essential IT systems	95%
 <b>Achieved</b> Availability of essential systems at 99,93% <b>Link to evidence:</b> Evidence available upon request	
Average yearly availability of the Necessary IT systems	93%
 <b>Achieved</b> Availability of necessary systems at 99,8% <b>Link to evidence:</b> Evidence available upon request	
<b>Added value to EU Citizens</b>	
Proper supporting IT systems and related services have been made available during the pandemic crisis, allowing the remote execution of the business activities.	

## I.5.4. Communicating effectively through website and social media

The following outputs were recorded under SPD2021-2023:



Website/Online	
Indicator	Target
Website availability	> 97% (excluding maintenance)
 <b>Achieved</b> In 2021, the website reached a 99.97% of availability. <b>Link to evidence:</b> Evidence available upon request	
% of internal accepted change requests for the website implemented	100%
 <b>Achieved</b> All the requests to the website are closely monitored internally and performed by the contractor. <b>Link to evidence:</b> Not applicable	
Twitter number of followers	At least 5% more than previous year
 <b>Overachieved</b> In 2021, the Agency gained 26,8% of followers. <b>Link to evidence:</b> Evidence available upon request	
LinkedIn presence	2 posts per month
 <b>Overachieved</b> In 2021, the Agency published 92 posts (roughly 8 posts per month). <b>Link to evidence:</b> Evidence available upon request	
LinkedIn number of followers	At least 5% more than previous year
 <b>Overachieved</b> In 2021, The Agency gained 24.8% of followers compared with 2020. <b>Link to evidence:</b> Evidence available upon request	






Revamping of website	
Indicator	Target



Technical specifications and functional requirements including the integration of the ERA academy learning system	Approved by end of 2021
 <b>Partly achieved</b> The analysis of ERA requirements to revamp and migrate the website to Drupal 8/9 is ongoing. One workshop and several short meetings/changes have been carried out by DIGIT and ERA. The migration should be finalised in 2022 together with the revamping. <b>Link to evidence:</b> Evidence available upon request	
<b>Contribution to EU Citizens</b>	
The ERA website is a showcase of the Agency as much as a tool that facilitates to bring the knowledge of our Stakeholders to the next level. Being the European railway authority, it is essential to improve continuously the usability of the website, for the railway sector, and for European citizens.	



### I.5.5. Ensuring efficient and effective communication (internal and external)

The following outputs were recorded under SPD2021-2023:



Women in transport	
Indicator	Target
Publication of theses /dissertations and possibly traineeship at ERA	Ongoing
 <b>Not achieved</b> A selection committee has been established and the selection criteria have been set. Nevertheless, the Agency did not organize traineeships in 2021.	
Review of the recruitment process to address gender balance	Ongoing
 <b>Not achieved</b> The internal consultation with HR is ongoing. Further developments will be reviewed during the participatory gender audit scheduled for 2022.	
<b>Contribution to EU Citizens</b>	
Women are under-represented in the rail sector. At the Agency, the numbers of women in senior positions or operational roles are low. There is a significant and an increasing international body of evidence that shows creating a better gender balance bring benefits for women and men, for the organisation and for wider society. The measurement of the success of Women in Transport focuses on more immediate metrics such as the gender balance of applicants for posts at the Agency and gender balance at all levels of the organisation. Without concrete action it is likely that the issue of gender balance would take generations to improve, if ever. This project is part of the Management commitment to “walk the talk” as a signatory of the Women in Transport initiative. Ethically, it is the right thing to do, economically it is the smart thing to do.	



Crisis and reputation management	
Indicator	Target
Crisis and reputation management - training staff	Delivered
 <p><b>Achieved</b> A new training was delivered by a certified trainer on November 18 focused on simulating real communication crisis situations. The training session involved 4 ERA colleagues and will be offered to additional ones in 2022. <b>Link to evidence:</b> Evidence available upon request</p>	
Efficient media coverage of ERA events	At least one media coverage per ERA event in relevant international media, 1 in specialised media
 <p><b>Achieved</b> All ERA events had media coverage and press representatives were present at the venues, in case this was possible taking into consideration COVID 19 applicable safety rules. <b>Link to evidence:</b> Evidence available upon request</p>	
Efficient media relations	All enquiries answered within deadline
 <p><b>Achieved</b> Press requests were answered within the defined deadlines. <b>Link to evidence:</b> Evidence available upon request</p>	
Efficient media relations	Increased number of articles / features compared to 2020
 <p><b>Achieved</b> There has been an increase of 14% in media coverage of the Agency compared with 2020. This is also due to the Agency's intensive involvement in the events linked to the European Year of Rail. <b>Link to evidence:</b> Evidence available upon request</p>	
Efficient structure to manage media relations implemented	Tools, messages, channels in place
 <p><b>Partly achieved</b> Efficient structure to manage media relations is being developed and will be implemented starting 2022. <b>Link to evidence:</b> Restricted access due to confidentiality</p>	
Efficient crisis communications	No reputational damages (legal actions, written complaints)

	<b>Achieved</b> No complaints or negative media coverage have been issued in 2021. <b>Link to evidence:</b> Not applicable
Crisis communication capability implemented	100%
	<b>Achieved</b> The internal mechanism for crisis communication is in place. The functional structure will be further tested in 2022. <b>Link to evidence:</b> Evidence available upon request
<b>Contribution to EU Citizens</b>	
Press is of vital importance for building an institutional reputation and has a relevant role to play in case a crisis communication occurs. From this perspective, the added value of this project can be considered from a triple perspective: for ERA (building ERA’s reputation as a trustworthy and professional EU body and creating awareness amongst EU stakeholders and within the Brussels institutional area about the importance of our projects and activities); for the ERA Stakeholders (creating trust in our capability and capacity to deliver in accordance with SPD and other programmatic documents); for EU citizens (explaining our raison d’être, which in this case is moving Europe towards a safe and sustainable railway system without frontiers).	

Publication management	
Indicator	Target
Deliver effective communication services not linked to a specific project or service	100% delivered within deadline in highest quality
	<b>Achieved</b> All communication requests have been fully delivered. <b>Link to evidence:</b> Evidence available upon request
Deliver effective communication services to other projects and services	100% delivered within deadline in highest quality
	<b>Achieved</b> All communication services and publications have been delivered as requested. <b>Link to evidence:</b> Evidence available upon request
Improve the quality of the activities within the scope of the service, develop new communication possibilities (tools, channels, ...)	Improvements identified and implemented



	<b>Achieved</b> The communication campaigns concept was presented as a possible tool to reach wider audiences, including European citizens. <b>Link to evidence:</b> <a href="#">Link 1</a> ;
Safeguard the corporate design of ERA	Enhance strong ERA branding
	<b>Achieved</b> Communication campaigns concept was improved to reach wider audiences, including European citizens (HOF campaign, CAAR2020 fact sheet). <b>Link to evidence:</b> <a href="#">Link 1</a> ;
<b>Contribution to EU Citizens</b>	
Providing communication tools enables us to present our work to the world, to explain why rail is the safest and the most sustainable means of transport. Communication campaigns and the respective outputs (e.g., visuals, videos, GIFs, infographics, publications, etc.) bring closer to the stakeholders and to the public relevant information about ERA, providing the necessary evidence supporting the idea of rail as first choice of transport. Our communication services provided the necessary data for an informed decision when it comes to choosing the most sustainable means of transport.	

Internal communication lifecycle	
Indicator	Target
Evaluation survey	One survey per year
	<b>Achieved</b> The survey was carried out in October 2021 <b>Link to evidence:</b> Evidence available upon request
Actions based on survey results	70% of proposed actions initiated
	<b>Achieved</b> The survey findings led to the initiation of several actions to improve internal communication (more updates from management, more updates from ERA projects, communication on HR matters, etc.). <b>Link to evidence:</b> Evidence available upon request
<b>Contribution to EU Citizens</b>	
The service is providing a invaluable contribution to improving the organisational culture at the Agency, especially at times of transition from a technical agency to a European authority. Staff engagement and a positive organisational culture are key factors in presenting the Agency to the outside world as a strong and unified organisation that speaks with one voice. Organisational change is a lengthy process, but with effective, transparent, and reliable internal communication, the internal cohesion will be strengthened and innovative, progressive thinking representing dynamic European values will be fostered.	

## Section II - Management

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### II.1. Management Board

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The Management Board (MB) continued to follow closely strategic initiatives developed in the Executive Board, and the impact of the Fourth Railway Package tasks on the Agency's work and organisation.

Highlights in 2021 include:

- Decision-making procedures (1) to ensure business continuity during the COVID-19 crisis and (2) to delegate the Executive Director's decision for Vehicle Authorisations, Single Safety Certifications and ERTMS Trackside Approvals
- Appointment of 2 members and 1 alternate to the Executive Board
- Extension of the mandate and revising the scope of the 4<sup>th</sup> Railway Package Steering Group
- Amending the SPD 2021 and related budget in light of the additional EU subsidy for IT security

The Management Board has as of yet not agreed to a linguistic regime for the Agency.

The Management Board met 3 times in 2021 and was assisted by the Executive Board (EB), in particular by preparing the decisions to be adopted by it and by ensuring an adequate follow up to the findings and recommendations after investigations and internal/external audits. The Executive Board also supported and advised the Executive Director on the implementation of the Management Board decisions, with a view to reinforcing supervision of administrative and budgetary management.

In 2021, the Executive Board supervised the efforts of the management to deal with the budgetary issues and especially to improve the budget implementation by respecting the principle of annuality, to ensure an appropriate execution of the budget and to follow the Internal Audit Service recommendations and the Court of Auditor's observations. The Executive Board also closely followed the key performance indicators which have been included in the Programming Document 2021, the activity-based budgeting, and the impact assessment of the activities and tasks of the Agency. It also paid attention to the maintenance of the ISO 9001 certification (IMS), and the communication and dissemination plan for the year. Together with the Management Board, the Executive Board ensured adequate follow-up to the findings and recommendations stemming from the various internal or external audit reports and evaluations, including by means of appropriate actions taken by the Executive Director.

The Executive Board met 3 times in 2021.

The Agency's Management has, beside the Management Board meetings and Executive Board meetings, regular meetings with the Chair, the Vice-Chair of the Management Board, and the Vice-Chair of the Executive Board. As in previous years, an MB workshop was organised in June 2021 in order to start the preparation of the Single Programming Document 2023.

A summary of the Management Board decisions in 2021 is provided below:

› **55th meeting – 18 March 2021**

- DECISION n° 256 of the Management Board of the European Union Agency for Railways appointing a member of the Executive Board
- DECISION n° 257 of the Management Board of the European Union Agency for Railways adopting the annex 2 template for the impact assessment methodology
- DECISION n° 258 of the Management Board of the European Union Agency for Railways establishing procedures for decision-making by the Executive Director in relation to authorisations for placing vehicles on the market, single safety certificates, and ERTMS

› **56th meeting – 6 July 2021**

- DECISION n° 265 of the Management Board of the European Union Agency for Railways amending the Single Programming Document 2021
- DECISION n° 266 of the Management Board of the European Union Agency for Railways amending DECISION n° 161 of the Management Board of the European Union Agency for Railways adopting the policy on monitoring the performance and decision-making of National
- DECISION n° 267 of the Management Board of the European Union Agency for Railways amending MB Decision n° 227 establishing procedures for decision-making in relation to ensure business continuity during COVID-19 pandemic crisis for higher management
- DECISION n° 268 of the Management Board of the European Union Agency for Railways appointing a member of the Executive Board

› **57th meeting – 23 November 2021**

- DECISION n°271 of the Management Board of the European Union Agency for Railways appointing an alternate of the Executive Board
- DECISION n°272 of the Management Board of the European Union Agency for Railways adopting the Single Programming Document 2022
- DECISION n°273 of the Management Board of the European Union Agency for Railways adopting the Budget and the Establishment Plan 2022
- DECISION n°274 of the Management Board of the European Union Agency for Railways adopting the policy on monitoring the performance and decision-making of National Safety Authorities (NSAs) for the years 2022 onwards and repealing Decisions n° 161, 188, 21
- DECISION n°275 of the Management Board of the European Union Agency for Railways on the extension of the derogation from the application of Annex to the Decision n° 141 on the implementation of Telework, as a measure pertaining to the Corona virus and amending DECISION n° 249
- DECISION n°276 of the Management Board of the European Union Agency for Railways amending MB Decision n° 267 establishing procedures for decision-making in relation to ensure business continuity during COVID-19 pandemic crisis for higher management
- DECISION n°277 of the Management Board of the European Union Agency for Railways extending the appointment of the reporting officers for the appraisal of the Executive Director
- DECISION n°278 of the Management Board of the European Union Agency for Railways adopting the ERA Communication and Dissemination Plan for 2022

In addition, the Management Board adopted by written procedure:

- DECISION n°252 of the Management Board of the European Union Agency for Railways extending the mandate of the Fourth Railway Package Steering Group

- DECISION n° 253 of the Management Board of the European Union Agency for Railways on internal rules concerning restrictions of certain data-subject rights in relation to the processing of personal data in the framework of activities carried out by ERA
- DECISION n° 254 of the Management Board of the European Union Agency for Railways adopting the ERA Communication Plan for 2021
- DECISION n° 255 of the Management Board of the European Union Agency (confidential)
- DECISION n° 259 of the Management Board of the European Union Agency (confidential)
- DECISION n° 260 of the Management Board of the European Union Agency for Railways amending the budget for 2021)
- DECISION n° 261 of the Management Board of the European Union Agency (confidential)
- DECISION n° 262 of the Management Board of the European Union Agency (confidential)
- DECISION n° 263 of the Management Board of the European Union Agency for Railways amending the budget for 2021
- DECISION n° 264 of the Management Board of the European Union Agency for Railways adopting the Consolidated Annual Activity Report 2020
- Decision n° 269 of the Management Board of the European Union Agency for Railways amending the Single Programming Document 2021 (amendment n°2)
- Decision n° 270 of the Management Board of the European Union Agency for Railways amending the Single Programming Document 2021 (amendment n°3)
- DECISION n° 279 of the Management Board of the European Union Agency (confidential)
- DECISION n° 280 of the Management Board of the European Union Agency for Railways amending the budget 2021 (amendment n°2)
- DECISION n° 281 of the Management Board of the European Union Agency (confidential)
- DECISION n° 282 of the Management Board of the European Union Agency (confidential)

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## II.2. Major Developments

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In 2021, through the Better Together project (for more information, please refer to I.1.1), the Agency has adopted a new vision and mission. To foster its mission, the Agency has identified a list of fundamentals and enablers, which can both be found under section 2 (Mission Statement).

The COVID-19 pandemic continued to impact the work and functioning of the Agency in 2021. The Agency built on its successful approach of 2020 and adapted whenever needed to ensure business continuity. Thanks to the Management Board decision 275 on the implementation of telework, the Agency could protect the health of its staff and move to a 100% teleworking regime when the COVID-19 infections peaked across the EU. General Assemblies, whose concept was designed in 2020, continued to take place, as it provided a platform to update colleagues on the sanitary situations, as well as other important issues. Thanks to these measures and flexible approaches, the Agency continued to deliver on all of its tasks and duties efficiently throughout the year.

2021 was also the first full year for which all Member States had transposed the technical pillar of the 4<sup>th</sup> Railway Package. The volume of work in this area increased as a result in 2021. Furthermore, the hourly rate for the authority tasks was revised in 2021. The approved changes related to the hourly rate increase from €130 to €239, together with the OSS cost recovery and the fixed rate for the conformity to type applications, will allow the Agency to recover the actual costs linked to its authority tasks, though not having an impact on the 2021 financial situation as the new implementing regulation (Regulation (EU) 2021/1903) has become applicable starting November 23<sup>rd</sup> 2021.

The Agency has allocated increasing attention to strengthening its performance in both delivering its outputs efficiently, but also for maximising the outputs contribution to broader outcomes and impact, in the spirit of the intervention logic. In 2021, work was started for the preparation of a Strengthening Plan, which was eventually finalised and endorsed by the Management Board early 2022.

Moreover, the Agency has also advanced significantly in its IT rollout, impacting many sections of the organisation. First, the Agency has intensely worked on the move from ABAC to SUMMA as one of the 3 pilot EU Agencies in order to ensure a successful go live for the 1<sup>st</sup> of January 2022. The Agency has also worked throughout 2021 to prepare the move of SRM/SharePoint to the cloud. Finally, in order to address the IT security technological gap, and thanks to efforts from the European Commission, the Agency received a dedicated budget of 1.298 M€ to improve its IT security posture, which allowed for the implementation of an ambitious IT security plan, whose content was coordinated with CERT-EU.

## II.3. Budgetary and financial management

### II.3.1 Revenues

The Budgetary Authority (the European Parliament and the Council) approved the initial 2021 ERA budget of € 29 589 909, including an estimate of the own revenues from fees and charges for € 3 122 750, the Commission's subsidy for € 25 763 160 (including assigned revenue for € 59 486), the EFTA contribution for € 693 999 and the contribution from Switzerland of € 10 000 as a fee for the use of OSS. The Agency received an amending budget for € 1 298 000 approved by the Budgetary Authority and included in the Commission's subsidy for € 27 063 159. Hence, the 2021 ERA amended budget reached €30 887 909.

In the course of 2021, the Agency has also received a contribution from the Commission of € 300 400 in relation to the EU Medrail project and a contribution of € 250 000 as a first instalment from the EU for the System Pilar agreement.

For the authority activities, the Agency invoiced a total amount of € 5 020 526,28 in 2021, out of which € 4 146 779,95 was cashed in the same year. In addition the outstanding amount of € 234 551 relating to recovery orders issued in 2020 was also cashed in 2021, bringing the total cashed amount for 2021 to € 4 381 330,95.

Below an overview can be found of the revenue actually received in 2021.

<i>Revenue</i>	<i>Initial budget</i>	<i>Amending budget</i>	<i>Delegation agreement</i>	<i>Revenue Received</i>	<i>Final budget</i>
<i>Subsidy</i>	25 763 160	1 298 000			27 061 160
<i>Fee income estimated</i>	3 122 750			4 381 331	4 381 331
<i>Contribution from third countries (EEA/EFTA)</i>	693 999				693 999
<i>Contribution from Switzerland (OSS)</i>	10 000				10 000
<i>EUMEDRAIL subsidy</i>			300 400		300 400
<i>SYSTEM PILLAR subsidy</i>			250 000		250 000
<i>Miscellaneous revenue</i>					138 075
<b>TOTAL</b>	<b>29 589 909</b>	<b>1 298 000</b>	<b>550 400</b>	<b>4 381 331</b>	<b>32 834 965</b>

### II.3.2. Expenditure and financial KPIs

The level of execution of the total commitment appropriations 2021-C1 reached 99.81% of the appropriations.

With regard to the execution of payment appropriations 2021-C1, the Agency used 93.71% of the appropriations. The level of execution per title (payment versus appropriation) is as follows:

- › T1: 99.33%
- › T2: 81.9%
- › T3: 70.66%

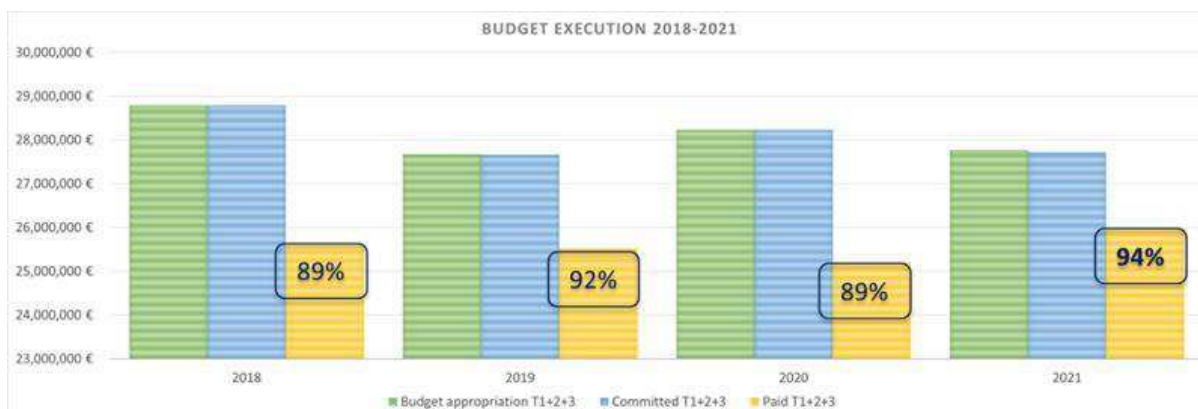
The level of execution per title (payment versus commitments) is as follows:

- › T1: 99.32%
- › T2: 81.74%

› T3: 69.87%

Payments execution of 2021-C8 appropriations reached 98.81% of the total amount of € 3 089 212. The detailed breakdown of expenditure by Title and by budget line is included in Annex II, table II.1.1.

The Agency has recorded a positive trend in the commitment and payment levels over the last years, as shown in the next figure.



The budget execution strengthening actions implemented in 2021 have had a clear impact, ensuring the achievement of all KPIs set for the 2021 budget execution (C8 execution above 95%; C1 commitment above 98%; C1 payment above 90% for T1, 80% for T2 and 70% for T3). The work will continue in future years to ensure we meet the required targets but also to seek to increase the value for money outcomes of the budget deployment.

### II.3.3. Budget transfers

The Agency referred to the provisions of the ERA Financial Regulation for implementing budget transfers during the year in order to make optimal and sound use of its available resources and cope with the extra need in Title 1.

2021	Initial adopted budget	Amending budgets	Transfers between titles	Final adopted budget	Additional appropriations (assigned revenue)	Total appropriations available
Title I	20 797 909		668 688	21 466 597	35 376	21 501 973
Title II	2 122 000		-30 322	2 091 678	60 640	2 152 318
Title III	3 547 250	1 298 000*	-638 366	4 206 884	70 474	4 277 786
<b>TOTAL</b>	<b>26 467 159</b>	<b>27 765 159</b>	-	<b>27 765 159</b>	<b>166 490</b>	<b>27 932 077</b>

\*IT security budget received at the beginning of May 2021

The Management Board have adopted one budget transfer in line with the provisions of the ERA Financial Regulation (transfer between titles, above the 10% threshold) and have been regularly informed on all transfers approved by the Executive Director (within titles or between titles, but below the 10% threshold), with a clear indicator of the amounts and of the justification related to the business need.

### II.3.4. Internal control of budget implementation

In order to prevent, detect, correct and follow up fraud and irregularities, the Agency implements best international practices and the Internal Control Framework based on the Commission's guidelines. The segregation of tasks in the expenditure life cycle is enforced and regularly audited. The financial workflows embedded a proper verification function step for both the commitments and the payments.

In 2021, the Agency had to cope with three main challenges from the point of view of the budget execution:

- The continuation of the pandemic context conditioning a broad range of Agency's expenditure (e.g. meetings, missions, events, interpretations etc.). The fact that 2021 alternated a period of no missions and meetings, but that at some point towards the end of the summer those appeared as possible, created a quite high level of uncertainty and triggered the need for a regular monitoring of the budget deployments, with a focus on the type of expenditure directly impacted by the pandemic.
- Managing the identified salary gap, following the use of an underestimated average for the TA/CA salaries.
- Absorb as fast and effectively as possible the IT security budget of 1.298 MEUR, which was received rather late in the year (Budget amending MB Decision 260/03 May 2021).

To cope with these challenges and in order to ensure a sound, effective and efficient execution of its budget, the Agency has put in place a system of regular budget execution monitoring, based on the reports on appropriations, commitments and payments automated from ABAC, by budget line. This allowed for a gradual identification amounts that the various projects/services were not likely to commit/pay in line with the annual plan and, by consequence, for an early redeployment of those available resources towards the emerging needs, within the boundaries of the SPD, as well as within the boundaries of the transfer provisions from the ERA Financial Regulation.

The assets and related information are tracked on yearly basis and all the assets' records are available in ABAC Asset.



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## II.4. Delegation and sub-delegation of the powers of budget implementation to agency's Staff

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As Authorising Officer (AO) of the Agency, the Executive Director (ED) grants financial delegations to the Authorising Officers by Delegations (AOD) in line with the importance of decisions to be taken and risks involved (in principle Heads of Units/Department -for their own areas of responsibility). The delegations may be updated depending on the organisational/staff changes. The AO/AOD are also formally allocating the responsibilities to the other financial actors involved in ex-ante checks of all transactions. The rules for financial delegations are enshrined in the ERA Financial Regulation and internal rules, in particular the charter of tasks and responsibilities. Although it also includes conditions for sub-delegation, this possibility has not been used in line with the risk environment.

During the year, temporary cross-delegation may be agreed between AOD under the strict supervision and control of the AO in order to ensure business continuity. The process is digitalised and the active delegations are displayed as a calendar view on the intranet. Controls are carried out periodically to ensure that the access rights granted in the IT tool for managing financial transactions are in line with the delegations and responsibilities entrusted by the Authorising Officer. This process is also checked by the European Court of Auditors.

The Agency made sure to keep all the delegation decisions for the AODs up to date, mirroring for example any change brought to the budget structure during 2021.

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## II.5. Human Resources Management

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In the area of modernising HR the most important developments in 2021 include:

- Development of a simplified competency framework focused on the competencies linked to the 4<sup>th</sup> RP activities; the framework will be used in the selection process, performance management, career development, learning and development and shall be extended to other job families in the future;
- Implementation of the EC HR management system (SYStem du PERsonnel – Sysper II) planned to go live beginning of 2022 and migration of all the HR data in this system; this tool shall significantly simplify and streamline HR processes; work to review the processes to adapt to the new tool have been implemented or are in the process of being implemented
- Dematerialisation of HR processes -selection and engagement processes (ie. paperless, use of electronic signature) accelerated in the context of COVID-19.

The Agency is aligning the internal culture with the general objectives of improving efficiency/accountability and has implemented measures including the revision of Agency's mission and vision, together with the definition of internal values and behaviors expected from staff and management, as part of the ongoing Better Together project.

**HR policies/procedures**

While the implementation of the 4<sup>th</sup> RP activities has reached its cruising speed level, some further minor fine-tuning in the re-assignment of roles / staff was carried out, thereby further enhancing the matrix organisation approach. This did not however bring changes to the establishment plan, nor to existing HR policies.

**COVID-19 impact**

The Agency has followed the highest safety standards and best practices from other EU institutions and the French Government to limit the consequences of the pandemic on Agency's staff (physical presence in the building was reduced to minimum and teleworking was the general rule). The Agency ensured business continuity by establishing flexible working regimes and providing a reliable, secure and efficient ICT environment.

**Benchmarking exercise**

Article 29(3) of the Agency Financial Regulation sets out the obligation for the Agency to carry out an annual benchmarking exercise, and more specifically a job screening focusing on the efficiency of internal resources. The purpose of the job screening is:

- › To identify any scope for reducing staffing levels in administrative support and coordination functions and
- › To facilitate the reallocation of resources from overhead to operational frontline activities.

All jobs inside the Agency received one screening value:

- › "Operational" – serving frontline activities and directly implementing the mandate of the Agency;
- › "Administrative support and coordination" – ensure support to the operational functions, such as HR, IT, Facilities;
- › "Neutral" - same as above in the areas of Finance and Control.

The results of the Job screening exercise 2021 are included in Annex V.3.

By comparison to 2020, the following evolution can be identified:

- For the category "Administrative support and coordination": the proportion is stable compared to 2020 (in the region of 17.5%), though in absolute terms the number has slightly decreased
- For the category "Operational": the proportion increased from 71.6% in 2020 to 74.2% in 2021
- For the category "Neutral": the proportion decreased from 10.9% in 2020 to 8.2% in 2021
- In terms of overall number, the decrease from 209 (in 2020) to 203 (in 2021) is explained by the fact that in 2021 the Agency did not have any trainee.

The Agency is making constant efforts to increase the direct utilisation of its human resources and the proportion of staff allocated to Operational activities.

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## II.6. Strategy for efficiency gains

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The Agency is committed to continuously improving its functioning, streamlining its processes, optimising the engagement of its staff, and allowing for the reallocation of resources to the most important priorities. The Agency will continue to realise the efficiency effects from initiatives already started in the previous programming cycles, such as:

- The very high degree of digitalisation, eliminating paper-processes and bringing forward online solutions such as e-procurement, e-invoicing etc.
- The continuous cooperation of the Agency with the EUAN network, as well as the European Commission to increase its efficiency:
  - EUAN: best practices and lessons learnt, shared services
  - EU Commission (DG DIGIT, DG BUDGET): implementation of digital EU tools and software, including the migration to SUMMA in 2022 as one of the three pilot agencies.
- The new prioritisation exercise (arbitration), focusing on multiannual planning, and allocating resources in the most efficient manner, based on the value for money for the EU citizens.
- Following a high number of valuable ad-hoc exchanges of expertise between EASA and ERA, the Agency has initiated the formalisation of the Cooperation with EASA, and has defined the initial core areas of cooperation.

In addition, in 2021, the Agency worked quite intensively on efficiency gains. Indeed, through the “Integrated Performance Management” project, (please refer to section I.5.1), a programme was developed to prepare a fully-fledged Strategy on Efficiency Gains. In order to prepare it, the Agency carried out a literature review, a light comparative analysis with other European agencies, and organised three internal workshop on short-term and long-term efficiency gains. This work progressed until the end of 2021 and led to the drafting of the Strengthening Plan, finalised and endorsed by the Management Board at the beginning of 2022, whose objective is to ensure that the Agency has the right level of resources to perform the most adding value activities in an effective and efficient manner, in line with its ambition level.

The **Strengthening plan**, on which work has started in 2021, is built on the following pillars:

1. Further consolidating the data collection and transparency through reinforced monitoring and a data-driven performance culture. This will entail the use and further improvement of the existing tools and mechanism which yielded results starting 2021, such as the SPD dashboard.
2. Budget planning, management, and absorption leading to better budget execution. This will entail the use and further improvement of the existing tools and mechanism which yielded results starting 2021, such as the budget execution monitoring. For the items of expenditure which represent a significant share of the Agency’s budget, benchmarking analyses with similar organisations will be run and opportunities to use shared services with other agencies or with the EC will be analysed.
3. Higher administrative efficiency: the Agency will further increase the direct utilisation of all its resources, will continue to seek for process efficiencies, including through digitalisation and automation and will look at the most effective solutions for sub-contracting non-critical and non-sensitive pieces of work.
4. Targeting the resources to achieve the EU policy objectives. While the level of ambition and action for the Agency around the defined strategic statements can be very high, as also

confirmed by the Management Board expectations during the SPD 2023 workshop, the Agency has put in place a mechanism of internal arbitration in order to identify and put forward the priorities which can fit within the available envelope of budget and human resources in order to ensure the best value for money for the EU citizens. For 2023, a series of arbitration and prioritisation workshops is envisaged, which will further shape the current draft towards the version to be submitted for adoption in November 2022.

5. Predictability and sustainability of Authority work: the Agency is continuously improving the predictability of its authority tasks volume of work, while also working on the streamlining of processes, including through automation (e.g. for the conformity to type activities) and better training of applicants.

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## II.7. Assessment of audit and ex-post evaluation results during the reporting year

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### II.7.1. Internal Audit Service (IAS)

IAS has carried out a risk assessment to identify areas for prospective audits for the Agency in the next years (2021-2023). Three audit topics were identified: Strategic Planning, budgeting and monitoring, IT governance and 4th Railway Package Implementation. In line with its plan, IAS has conducted the first audit on Strategic Planning, budgeting, and monitoring. The final audit report for the latter was sent to the Agency in March 2022. The Agency has in response prepared an action plan, which was accepted by IAS in May 2022.

In parallel, the Agency continued the implementation of audit recommendations stemming from the Audit on Information management and Information security (2019). This focused on the two recommendations rated as very important by IAS, namely:

- Data governance framework (ie. defining data management strategy, architecture, governance, framework for data and security policies) and
- IT continuity and physical security (ie. developing failover and disaster recovery plan for IT systems managed by the Agency)

with a formal revised implementation date set to end of the year 2022.

One recommendation rated as important refers to data and IT operations (ie. improving the management of IT support and the execution of IT contracts) with an initial completion date of 31/12/2021 is also delayed by six months.

### II.7.2. Internal Audit Capability (IAC) (where applicable)

N.a.

### II.7.3. European Court of Auditors (ECA)

For the financial year 2020, the European Court of Auditors expressed the following opinions:

#### *Opinion on the reliability of the accounts*

In the Court's opinion, the accounts of the Agency for the year ended 31 December 2020 present fairly, in all material respects, the financial position of the Agency at 31 December 2020, the results of its

operations, its cash flows, and the changes in net assets for the year then ended, in accordance with its Financial Regulation and with accounting rules adopted by the Commission's accounting officer. These are based on internationally accepted accounting standards for the public sector.

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

In the Court's opinion, the transactions underlying the annual accounts of the Agency for the financial year which ended 31 December 2020, are legal and regular in all material respects.

In parallel, the Agency has continued to implement the last three outstanding observations from the previous ECA reports:

- **First observation related to cost incurred by the Agency with double seat location:** the Agency has significantly reduced its operations costs for its seat in Lille in parallel with complying with the Council decision 2004/97/EC obliging the Agency to have double seats (Valenciennes and Lille).  
Since the start of the pandemic, the Agency stopped organising meetings in its Lille space, with the following positive consequences on its costs: no need for cleaning and maintenance costs; no need for mission costs for ERA staff (and no staff time spent for travelling back and forth); no need for catering costs for meetings in Lille; no need for reimbursing the EB and MB members participation to physical EB and MB meetings.  
The Agency further looked into the possibility of withdrawing earlier from the rental contract for the Lille premises (whose validity goes until end 2023), but the internal legal opinion was that the clauses of the contract did not allow for such withdrawal without significant consequences for the Agency. However, the Agency expressed its interest to the owner of the space to withdraw from the contract before the expiry date in case the latter would be interested to consent to it. At least a partial step was achieved in July 2021, when an addendum to the rental contract was signed, following the owner's interest to recover a small part of the Agency's space.  
The Agency included on the agenda of the MB meeting on 23/11/2021 a point regarding the organisation of the EB and MB meetings in 2022. The feedback received during the meeting from the MB members was that they would wish to continue with the remote meetings in 2022, with the exception of 1 meeting (possibly the one in June when the MB workshop on SPD also normally takes place) to be held in person. The option to hold one meeting in Lille could potentially ensure the compliance with the double-seat requirement, while it would have a lower impact on the Agency resources. This does not require a permanently rented contract, but could be covered with an occasional renting of a meeting space for the dedicated MB meeting.
- **Second observation, related to the improvement of controls for the SME status of applicants for the SSCs and VAs applications before granting them potential favorable conditions for payment of fees:** the Agency has put in place formal checks to determine if an applicant may potential qualify for the SME status and benefit from financial assistance from the Agency, by setting up a dedicated work instruction with clear allocation of responsibilities for performing the check. Moreover, information on the SMEs facilities as applicants were transparently communicated on the Agency's website. The template for self-declaring the FTE status was envisaged in the dedicated tool (OSS).
- **Third observation regarding improvement of monitoring on the number of internal users of IT services provided by the EC to charge the accurate costs:** The Agency has introduced formal checks to verify the exact number of users based on automatic reports from the IT tool. In addition, the Agency is limiting the number of users to reduce the costs.

Based on the preliminary observations sent by ECA at the end of May 2022 as regards the 2021 financial year, the first observation is marked as not applicable any more, the second one is marked as ongoing and the third one is marked as completed.

The European Court of Auditors final report on the annual accounts of the European Union Agency for Railways for the financial year 2021 is not available yet. The Agency received in May 2022 the ECA preliminary opinion for the financial year 2021, which includes a positive draft opinion on the accounts and a positive draft opinion on the legality and regularity of the transactions. The information on the F&C regularisation payment for Q4 2021, which had already been provided by the Agency in the Report on budget and financial management 2021, was in the meantime also added to final accounts, following ECA remark.

The preliminary opinion also includes a re-assessment of the status of the previous observations, as described above, namely:

- The first one on **cost incurred by the Agency with double seat location** – is assessed as N/A
- The second one **related to the improvement of controls for the SME status of applicants for the SSCs and VAs applications before granting them potential favorable conditions for payment of fees** – is assessed as Ongoing
- The third one **regarding improvement of monitoring on the number of internal users of IT services provided by the EC to charge the accurate costs** – is assessed as Closed.

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## II.8.a. Follow up of recommendations and action plans for audits and evaluation

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As regards the financial year 2021, the European Court of Auditors made two desk reviews:

- the first one took place from 29 November to 03 December 2021 in relation to the budget year 2021;
- the second one took place from 28 February 2022 to 4 March 2022.

A comprehensive check was performed for the underlying transactions (expenditure and revenue), based on samples indicated by the Court, in line with its auditing methodology.

In the meantime, a financial audit on financial year 2021 was also performed by an external auditor (Bakertilly) leading to no findings nor recommendations; Bakertilly's opinion is that the provisional annual accounts of the Agency present fairly, in all material aspects, its financial position as at December 31, 2021.

As regards the follow-up of ECA outstanding recommendations from previous years, as well as the ECA preliminary observations for the financial year 2021, received in May 2022, please see the details under section II.7.3.

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## II.8.b. Follow-up of recommendations issued following investigations by the European Anti-Fraud Office (OLAF)

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One investigation has been opened by OLAF in October 2021. The investigation is ongoing.

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## II.9. Follow-up of observations from the discharge authority

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In April 2021, the European Parliament granted the discharge to the Agency for the financial year 2019 and approved the formal closure of the Agency's annual accounts. The Agency has taken the following measures to reply to European Parliament observations included in the resolutions for the discharge, as follows:

- › The Agency has put in place a thorough budget monitoring system in order to keep a close follow up of the budget execution rates for all the titles of the budget during the year (detail follow up based on daily ABAC reports, as well as monthly budget review meetings). The Agency is making constant efforts to manage the constraints on both budget and FTEs in order to ensure a proper balancing between the priorities linked to policy work and the priorities linked to its authority tasks (VA, SSC and ERTMS trackside approvals).
- › A first important milestone was the preparatory work for requesting an increase of the hourly rate for the authority tasks, expected to be subject to RISC vote in 2021. Even if a positive vote is casted, the Agency will still face significant challenges due to the limited allocation of staff in the Establishment Plan.

- › In 2020, the Agency has seen a downward trend for the non-conformities compared to 2019 (33, out of which only 18 events had a financial impact, compared to 30 in 2019).
- › The Agency is putting substantial efforts to strengthen its ex ante verification function, based on the learning curve from the detected non-conformities. In this respect, the Agency explores the possibility to strengthen its internal organisation and resources around verification and control by focusing on prevention rather than correction.
- › The Agency is implementing the roadmap on Data and digitalization, which is the result of iterations with its Management Board, with a focus on mainstreaming the Linked data approach. The latter was positively piloted for part of the data related activities of the Agency and is an innovative approach at the level of the European railway system.
- › The Agency actively shares its resources with other EU agencies, especially in the administrative and support functions and cooperated with other EU transport agencies on operational matters.
- › The Agency has in the meantime managed to further decrease the vacancy rate as well as to attract SNEs. Several competitions have led to reserve lists which can be deployed efficiently whenever a vacancy emerges as part of the natural turnover cycle.
- › The Agency has implemented the Women in Transport initiative to tackle the gender disparity aspects. Internally, the Agency will pay close attention to increase the female presence on the Management Team (currently one permanent member and one ad interim member are females). The Agency has also encouraged the MSs to appoint female representatives to the Management Board and this has led to an increase of the female members proportion compared to the past years. On the Agency's Executive Board, both the Chair and the Vice-Chair are now female.
- › The Agency is more broadly looking into strengthening its internal organisation and resources around verification and control by focusing on prevention rather than correction. The Agency has enhanced the controls in the process of monitoring the contract execution. More specifically in relation to one of the ECA observations, before the annual payment is executed, the operational agent giving 'certified correct' shall carry out controls, which for instance include verifying the exact number of users in the IT system (based on an automated report). Evidence of this control shall be provided to the Authorising Officer by Delegation before authorising the payment.
- › The current legal framework for preventing and mitigating potential conflict of interests introducing the principle of submission of annual declaration of interest is implemented in the last two years. While it is too early to assess its effectiveness at this stage, the Agency is reporting annually on antifraud measures and conflict of interests in its Annual Activity Report
- › Since 2020, the Agency has started publishing on its website the CVs of the Executive Director and of the middle management staff (i.e Head of Department, Heads of Units).
- › Despite the major disruption imposed by the pandemic in 2020, ERA adopted a proactive communication stance. Seven initiatives ensured an improved external and internal communication, as well as the Agency's business continuity: (1) The creation of the COVID-19 stakeholder platform; (2) In collaboration with ECDC, the Agency developed an infographic providing information to rail users on COVID-19 safety measures on rail; (3) The Agency published a COVID-19 information bulletin, which provides detailed recommendations; (4) The European Commission, ECDC, and ERA have developed a COVID-19 railway protocol, outlining the operational guidelines for the safe resumption of railway operations in Europe; (5) ERA organised seven successful webinars, with audiences reaching close to 1500 participants; (6) ERA increased its social media communication in 2020, grasping the potential of online communication during pandemic conditions; (7) ERA published numerous documents showcasing its work, rail's potential, and newsletters.



- › While such situation increases the magnitude of the resource constraints for the Agency, there is nothing in the Agency's accountability ceiling which can be done to address this situation (ie language arrangement for the Agency)
- › The Agency has started to prepare a strategy on its human resources development. This will be based on the analysis of the existing situation and will include an action plan with concrete deliverables and timeline.
- › The Agency is putting efforts to best define and monitor its KPIs. Specific actions were taken in this respect:
  - Focusing the Agency's work programme on the intervention logic and measuring not only outputs, but also the added value for the railway system and the citizens
  - Implementing an SPD Dashboard, which is regularly shared with the Agency's Executive and Management Board in order to drive the governance of the Agency based on data.
- › Through Article 40 of the Agency Regulation foresees the Agency's contribution to railway research activities, the Agency did not undertake yet research activities by itself. Most of railway research at EU level are currently performed under the Joint Undertakings (JU) Shift2Rail and its successor Europe's Rail (EU-RAIL, established by Council Regulation (EU) 2021/2085). The Agency contributes to EU-RAIL in accordance with Article 98 of the abovementioned Regulation. Dissemination of the related research results activities to the public are performed directly by the JU.

The European Parliament has granted the discharge to the Agency with regards to the implementation of the 2020 budget in May 2022. The Agency is currently analysing the observations received and will report on the actions taken in CAAR 2022.

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## II.10. Environment management

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The Agency is committed to promoting sustainability. The Agency prepared a document which guides ERA staff regarding sustainable development. Concern for the environment and promoting a broader sustainability agenda are integral to ERA's professional activities and the management of the organisation.

The Agency's aim is to follow and to promote good sustainability practice, to reduce the environmental impacts of its activities and to help its stakeholders to do the same. The Agency's principles are implemented in different goals:

- › Green building, (Certification HQE - "Haute Qualité Environnementale" for the new building project),
- › Transportation,
- › Climate protection,
- › Waste reduction and recycling,
- › Environmental preferable purchasing,
- › Sustainable resource management.

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## II.11. Assessment by management

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### II.11.1. Implementation of the budget

The budget monitoring process ensured that the targets for the budget implementation were met. Further information on budget implementation can be found in section II.1 and II.3.2.

### II.11.2. Legality and regularity

Depending on the risk level of the transaction, the Agency has two workflows: one complete workflow model for high-risk transactions and one light workflow model for low-risk transactions (amount < € 1.000). These differentiated workflows only apply to payments. An ex-ante financial verification is processed for high-risk transactions while in the simplified, low-risk workflow, the financial verification is performed by the AODs themselves and an ex-post control for this particular expenditure is carried out.

It should also be noted that in 2021, due to COVID-19 restrictions, the financial transactions processed by the Agency in the areas not subjected to an ex-ante FVA check was reduced. These areas concern the missions expenditure and external experts reimbursement (ie. fewer missions, limited on site meetings involving external experts), The benefits of these controls were considered lower than the costs. For this reason, no specific ex post verification was carried out.

A simplified Annual Activity Report has been signed by all Delegated Authorising Officers (AODs) who have to formally endorse the responsibility of the financial transactions validated in the course of 2021 and to declare any conflict of interest and/or fraud of which they might be aware. The simplified AAR is integrated in the CAAR of the Executive Director.

The audit performed by the external auditor (Bakertilly) has led to no findings nor recommendations. The ECA report on the financial year 2021 is pending; any observations stemming from such the ECA audit on the financial year will be duly followed up by the Agency.

### II.11.3. Validation of the accounting system

No update of the validation of the accounting system was performed in 2021 since there were no significant changes. However an update is planned in 2022 following the introduction of a new financial system, SUMMA, as from 01/01/2022.

### II.11.4. Procurement procedures

The original procurement plan which had approved by the Management Board as part of the Single Programming Document 2021 (acting as financing decision for the Agency's operational expenditure, as per the provisions of the ERA Financial Regulation). The procurement plan was updated once during the year.

**Amendment 1:** 06 July 2021: By means of the [MB Decision n° 265](#), the SPD 2021 was amended in order to complete the procurement plan, namely:

- Add 350 000€ for a new call for tenders “Development of training products for the knowledge hub”
- Add 228 000€ to framework contract SCIC/C1/2018/FWC (Event management).

Here is the summary of the procedures actually carried out in 2021:

- › 4 Open call for tenders,
- › 4 Negotiated procedures
- › 2 Reopening of competition

Nota bene:

- › The above does not take into account the low-value contracts;
- › The above does not take into account the fact that a procedure may be cancelled and/or replaced by another one

Additional information can be found under Annex IX (Procurement Plan).

#### II.11.5. Registration of non-conformities

In accordance with the Agency’s management standard 9, each deviation from an established process or procedure is documented, justified and approved at the appropriate management level. They are then registered in the Nonconformity Register. In line with Agency procedures, corrective and/or preventive actions are established when repetitive exceptions events or a critical hazard to any process performance arise. Actions are recorded and reviewed in order to identify trends. In view of increasing the effectiveness of its processes and following the certification of the Agency against ISO 9001 standard for quality management system, the Agency is encouraging staff to report any type of non-conformities, including non-financial.

In 2021, 35 nonconformities (NC) have been registered. They can be segregated by type: 17 ex-ante nonconformities (exceptions) and 18 ex-post nonconformities (non-compliances). The area of ex-ante nonconformities (ie. Exceptions) concern compliance with administrative rules (ie. deviation from teleworking rules - 16 events). Only one event had a direct financial impact (i.e. extension of the duration of a Framework contract for business continuity reasons). The areas of ex-post nonconformities (ie. non-compliances events) relate mainly to administrative rules (ie. teleworking – 6 events), compliance with commitments (4 events), and procurement rules (2 events). The other 6 non-compliance events are of singular nature (ie. gap in the existing rules for formalising regularisation payments from the fees activities, weaknesses in the monitoring of a contract execution, compliance with the rules for managing translations, disaster recovery test not implemented, events of non-financial nature).

The number of NC in the financial area has decreased compared to previous years. In order to develop an effective and efficient control environment, the functions of financial verification and ex-post control have been reinforced. In 2022, the controls on contract management shall be reinforced. Risk based and periodical assessment of the functioning of the main areas of internal control supporting the assurance process will be systematically conducted. The financial process for assigned revenues has been enhanced (plan the forecast of revenues, regularisation of payments). The Agency intends to review the financial circuits and workflows and on this occasion to develop a hands on manual for the financial actors in order to clarify their responsibilities.

### III.11.6 Risk management

In 2021, the Agency has carried out two risks assessment exercises aligned with the annual strategic planning of the Agency. Both exercises covered all areas/activities of the Agency (bottom-up approach). The Agency risk register is fully updated and includes the most significant risks of the Agency stemming not only from the projects/services but also risks associated with the strategic objectives linked with the delivery of the new tasks, business objectives of continuity, reputational risks. The major challenge continued to be the effects of the COVID-19 pandemic (an event outside the realm of expectations). It should be stressed that the impact of the pandemic on the railway sector is not known and this may have a long term impact especially on the delivery process for certification and authorisation.

The most significant risks at Agency level are the following:

- › *ERA priorities changed or not fully developed because of financial uncertainties (ie. forecasting the revenues from fees and charges; the amount EU subsidies) and external events outside the realm of expectations (ie. COVID evolution and impact on the railway sector)*  
Mitigating measures have been put in place such as increase of the hourly rate for fees and charges, or are ongoing, such as the efforts linked to the Agency's Strengthening Plan.
- › *Risk of peak of workload demands associated with the applications requests for authorisation/renewal of SSCs, VAs (especially vehicle type requests) and ERTMS TA not adequately managed (in terms of having appropriate level of FTEs -internal and external with the right competences)*  
It is a risk inherent in the business model of the Agency (ie. limited resources, recurrent need of reprioritisation, strict legal deadlines etc.) linked also to the circumstances inherent in the development of the Agency and the uncontrolled external environment. A methodology for forecasting the number of applications as well as ad-hoc reprioritisation of resources had to be implemented. The Agency is also looking into streamlining these processes in order to generate efficiency gains, especially in relation to the deployment of indirect FTEs for these activities.
- › *Information assets security risk (insufficient protection of information assets both Agency and third party from external threats) in the context of the need to carefully manage and protect the confidentiality and integrity of significant sensitive information/data.*  
The Agency obtained additional financial resources to increase the resilience of IT systems against cyberattacks and actively cooperates with CERT\_EU to respond to information security incidents and cyber-threats. Work is ongoing to implement an Information Security Management System.
- › *The risk of ineffective budget management due to errors in the planning of financial resources & budget underspending (ie. Title 1 (weaknesses in the estimation of appropriations) and Title 3 (low commitments rate compared to the appropriations), as well as the risk of flaws in allocation of resources in line with Agency's priorities.* It should be noted that the risk related to budget underspending has been substantially mitigated by the Agency during 2021. Moreover, the Strengthening Plan put in place and the link to the SPD will ensure a more clear view on the priority areas of Agency's work.
- › *The risk of absence of a working language regime in the Agency is considered a risk but also an issue (materialised risk). In order to minimise the negative effects, priority will be given to activities related to the 4RP (eg. priority on translations, selection/allocation of staff with specific language skills).*

The update of the risk register resulted in changes that do not lead to the identification of a reservation in the CAAR.

### II.11.7. Fraud prevention and detection

The Agency continued to implement the measures prescribed by the *Framework for Good Administrative behaviour a key element of the Antifraud Strategy*, which includes mandatory submission of declaration of interests from staff members and independent experts with specific information to be provided for facilitating the assessment and the implementation of mitigating measures if need be, rules for managing gifts and hospitality and the use of social media.

The members of the Management Board of the Agency are also requested to submit an annual declarations of interest which is verified by a specific body.

The declaration of interests of MB members, managerial staff (including staff with decision making powers pursuant to the provisions of [MB DEC 199](#) and [MB DEC 258](#)) are published on the Agency's website.

The Agency continued the training on Ethics and Antifraud which are mandatory for all staff. The Agency is implementing a 4 year cycle of trainings (2020-2023) with the purpose of reaching 100% participation at the end of the cycle. The overall rate of participation in 2021 was 22.1 % for Antifraud and 33.15. % for Ethics. The training on Ethics is focused on staff obligations pursuant to the provisions of the Staff Regulations, while the training on antifraud is designed to improve the detection techniques and encourage staff to report any suspicion of fraud Both trainings are tailor made in line with the Agency risk environment.

The intranet page of the Agency was updated with information related to ethics.

In order to further enhance the transparency of its actions, the Agency is publishing on the website the list of all meetings held by the Executive Director with organisations or self-employed individuals<sup>4</sup>.

OLAF has opened an internal investigation in 2021. The case is ongoing.

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<sup>4</sup> Any organisation or individual, irrespective of their legal status, engaged in activities carried out with the objective of directly or indirectly influencing the formulation or implementation of policy and the decision-making processes of the Agency.

# Section III - Assessment of the effectiveness of the internal control systems

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## III.1. Effectiveness of internal control systems

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The Agency has integrated the new principles of the Internal Control Framework, into its ERA management standards to ensure consistency (via Management Board Decisions 191). It should be noted that most of the measures giving effect to the internal control principles were in vast majority already implemented in the Agency before the formal integration. Since the formal certification in 2017, ERA is also using ISO 9001:2015 standards applicable to all its processes. The management has formally reviewed the implementation as part of the IMS Review, but the monitoring is continuous throughout the year and potential internal control deficiencies are discussed in the Management Team meetings. The review demonstrates that the internal control system in its components and principles is in general functioning well. Some improvements have been identified that would contribute to the effectiveness of the system. Measures will be implemented and monitored as part of the IMS cycle. The Agency is in the process of defining the internal control monitoring criteria based on relevance. Complementarity is also sought with other relevant sources of information relevant for the assurance.

The assessment of the internal control system relies also on the tools described in section 2 of the report: reported nonconformities, results of the audits, ex-post controls, any weakness reported by staff regarding the internal processes or in the Ethics areas as well as the results of the risk assessment exercise. The Agency continued to implement the internal control measures necessary to reach compliance with the requirements of the management standards.

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## III.2. Conclusions of assessment of internal control systems

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The Agency conducted the annual assessment of the ERA Internal Control Framework. The conclusion of this assessment is that the Agency is compliant with the but some areas for improvement have been identified. With regards to potential improvements identified in this exercise, a consolidated list of actions was established corresponding to each ERA management standard which will be monitored throughout the year 2022. The list of actions is based on multiple sources including: nonconformity reports, Agency risk register, stakeholders feedback analysis, measurement of process performance, monthly management reports on the implementation of projects and services in the Agency. The Agency was subject to a surveillance audit to verify that the the Agency's processes are complying with the ISO requirements. No non-conformities were identified by the certification body.

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### III.3 Statement of the manager in charge of risk management and internal control

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*I, the undersigned,*

*Manager in charge of risk management and internal control within ERA*

*In my capacity as Manager in charge of risk management and internal control, I declare that in accordance with Agency's internal control framework, I have reported my advice and recommendations on the overall state of internal control in the Agency to the executive Director.*

*I hereby certify that the information provided in the present Consolidated Annual Activity Report and its annexes is, to the best of my knowledge, accurate, reliable and complete.*

*Valenciennes, 21/06/2022*



*Andrei Lixandru*



## Section IV - Management assurance

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### IV.1. Review of the elements supporting assurance

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The information reported in Parts 2 and 3 stems from:

- › the assurance given by the Agency management (via the annual management review of the internal control system, the monthly internal reports provided by the HoD/HoUs to the Executive Director regarding the internal controls put in place to mitigate the main risks and issues);
- › the results of the IMS review;
- › the results of the Commission's services and Court of Auditors' audits and implementation of the measures to address weaknesses identified;
- › the reporting on nonconformities and preventive/corrective actions implemented;
- › the mitigated actions implemented following the annual risk assessment exercise;
- › the ex-ante controls.

This approach provides sufficient guarantees as to the completeness and reliability of the information reported and results in a complete coverage of the budget delegated to the Executive Director of the Agency.

Concerning the overall state of the IMS, management has reasonable assurance that, generally, the Agency has suitable controls in place that are working as intended, risks are being mitigated and/or monitored and improvements and reinforcements are being made. No systematic weakness came to the attention of management that would have an impact on the declaration of assurance; neither were elements identified that could seriously damage the reputation of the Agency.

In conclusion, management has reasonable assurance that, overall, suitable controls are in place and working as intended; risks are being appropriately monitored and mitigated; and necessary improvements and reinforcements are being implemented.

The Agency has systematically examined the available control results and indicators as well as the observations and recommendations issued by internal auditors and the European Court of Auditors. These elements have been assessed to determine their impact on the management's assurance as regards the achievement of control objectives.

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### IV. 2. Reservations

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On the basis of the information and the materiality criteria provided above, no reservation is expressed.

# Section V - Declaration of assurance

## Declaration of Assurance

*I, the undersigned, Executive Director of the EU Agency for Railways,*

*In my capacity as authorising officer,*

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

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

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

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

*Valenciennes, 21/06/2022*



Josef Doppelbauer

## VI. Annexes

### Annex I. Core business statistics

	<i>Key Performance Indicators set up in SPD 2021</i>	<i>Level of achievement</i>
1	100% decisions taken according to the legal framework deadlines for issuing SSC (for completeness and assessment phases)	Achieved
2	100% decisions taken according to the legal framework deadlines for issuing VA (for completeness and assessment phases)	Achieved
3	100% decisions taken according to the legal framework deadlines for issuing Trackside approvals (for completeness and assessment phases)	Achieved
4	95% of the recommendations and opinions issued within the legal deadlines	Achieved
5	98% implementation of the establishment plan	98 %
6	Less than 5% of staff turnover	3,8 %
7	98 % of the annual appropriations committed	99,81%
8	95% execution of carry over payment appropriations	98.81%
9	95% payments made by contractual deadline	98.47%
10	98% availability of the core ICT systems	99.53 %
11	95% achievement rate for the SPD outputs	76.41%

## Annex II. Statistics on Financial Management

## II.1. Implementation of the budget 2021

## II.1.1. Budget implementation 2021 (C1 funds)

31/12/2021							
Fund Source : C1			TARGET 95%		TARGET 90%		RAL Amount
Budget lines	Description	Appropriation (1)	Committed (2)	% Committed (3=2/1)	Paid (6)	% Paid (7=6/2)	RAL Balance Payment (8=2-6)
A01100	BASIC SALARY	18 545 593,60	18 545 593,60	100,00 %	18 545 593,60	100,00 %	0,00
A01110	CONTRACT AGENTS	2 314 098,72	2 314 098,72	100,00 %	2 314 098,72	100,00 %	0,00
A01172	TRAINEESHIPS	8 629,72	8 629,72	100,00 %	8 629,72	100,00 %	0,00
A01178	EXTERNAL SERVICES (P	252 944,00	252 941,48	100,00 %	168 274,09	66,53 %	84 667,39
A01180	SUNDRY RECRUITMENT E	47 923,00	47 923,00	100,00 %	47 923,00	100,00 %	0,00
	<b>CHAPTER 11</b>	<b>21 169 189,04</b>	<b>21 169 186,52</b>	<b>100,00 %</b>	<b>21 084 519,13</b>	<b>99,60 %</b>	<b>84 667,39</b>
A01300	MISSION EXPENSES, DU	1 200,00	1 200,00	100,00 %	956,50	79,71 %	243,50
	<b>CHAPTER 13</b>	<b>1 200,00</b>	<b>1 200,00</b>	<b>100,00 %</b>	<b>956,50</b>	<b>79,71 %</b>	<b>243,50</b>
A01430	MEDICAL SERVICE	33 814,00	33 814,00	100,00 %	1 814,04	5,36 %	31 999,96
A01440	INTERNAL TRAINING &	116 980,00	116 542,75	99,63 %	88 819,00	76,21 %	27 723,75
A01441	SOCIAL EVENTS	6 050,00	6 050,00	100,00 %	6 050,00	100,00 %	0,00
	<b>CHAPTER 14</b>	<b>156 844,00</b>	<b>156 406,75</b>	<b>99,72 %</b>	<b>96 683,04</b>	<b>61,82 %</b>	<b>59 723,71</b>
A01520	SECONDED NATIONAL EX	138 687,09	138 687,09	100,00 %	138 687,09	100,00 %	0,00
	<b>CHAPTER 15</b>	<b>138 687,09</b>	<b>138 687,09</b>	<b>100,00 %</b>	<b>138 687,09</b>	<b>100,00 %</b>	<b>0,00</b>
A01700	ENTERTAINMENT AND RE	677,20	677,20	100,00 %	677,20	100,00 %	0,00
	<b>CHAPTER 17</b>	<b>677,20</b>	<b>677,20</b>	<b>100,00 %</b>	<b>677,20</b>	<b>100,00 %</b>	<b>0,00</b>
	<b>TITLE 1</b>	<b>21 466 597,33</b>	<b>21 466 157,56</b>	<b>100,00 %</b>	<b>21 321 522,96</b>	<b>99,32 %</b>	<b>144 634,60</b>

Budget lines	Description	Appropriation (1)	Committed (2)	% Committed (3=2/1)	Paid (6)	% Paid (7=6/2)	RAL Balance Payment (8=2-6)
				TARGET 95%		TARGET 80%	
A02000	RENTALS BUILDINGS AN	564 929,77	564 929,77	100,00 %	564 929,77	100,00 %	0,00
A02010	INSURANCE ON BUILDIN	16 377,14	16 377,14	100,00 %	16 377,14	100,00 %	0,00
A02020	WATER, GAS, ELECTRIC	124 101,31	124 101,31	100,00 %	115 374,95	92,97 %	8 726,36
A02030	CLEANING AND MAINTEN	171 380,74	171 380,74	100,00 %	125 384,19	73,16 %	45 996,55
A02040	FITTING-OUT OF PREMI	39 249,17	39 249,17	100,00 %	24 967,49	63,61 %	14 281,68
A02050	SECURITY AND SURVEIL	237 736,80	237 736,80	100,00 %	171 334,96	72,07 %	66 401,84
	<b>CHAPTER 20</b>	<b>1 153 774,93</b>	<b>1 153 774,93</b>	<b>100,00 %</b>	<b>1 018 368,50</b>	<b>88,26 %</b>	<b>135 406,43</b>
A02100	DATA-PROCESSING EQUI	205 331,40	205 170,38	99,92 %	111 649,62	54,42 %	93 520,76
A02101	SOFTWARE DEVELOPMENT	485 331,79	485 160,93	99,96 %	452 160,93	93,20 %	33 000,00
	<b>CHAPTER 21</b>	<b>690 663,19</b>	<b>690 331,31</b>	<b>99,95 %</b>	<b>563 810,55</b>	<b>81,67 %</b>	<b>126 520,76</b>
A02200	TECHNICAL INSTALLATI	47 261,23	47 261,23	100,00 %	30 894,27	65,37 %	16 366,96
A02250	LIBRARY STOCK, PURCH	56,71	56,71	100,00 %	56,71	100,00 %	0,00
	<b>CHAPTER 22</b>	<b>47 317,94</b>	<b>47 317,94</b>	<b>100,00 %</b>	<b>30 950,98</b>	<b>65,41 %</b>	<b>16 366,96</b>
A02300	STATIONERY AND OFFIC	10 787,54	10 787,54	100,00 %	3 528,08	32,71 %	7 259,46
A02320	BANK CHARGES	4 000,00	3 995,83	99,90 %	0,00	0,00 %	3 995,83
A02354	DEPART. REMOVALS	10 470,00	10 470,00	100,00 %	8 215,50	78,47 %	2 254,50
A02355	PETTY EXPENSES	1 181,17	1 111,07	94,07 %	927,74	83,50 %	183,33
A02360	PUBLICATIONS	4 206,00	4 206,00	100,00 %	2 298,00	54,64 %	1 908,00
	<b>CHAPTER 23</b>	<b>30 644,71</b>	<b>30 570,44</b>	<b>99,76 %</b>	<b>14 969,32</b>	<b>48,97 %</b>	<b>15 601,12</b>
A02400	CORRESPOND. & COURIE	4 580,00	4 580,00	100,00 %	4 538,10	99,09 %	41,90
A02410	TELECOMS' SUBSCRIPTI	164 696,90	164 694,45	100,00 %	77 101,83	46,82 %	87 592,62
	<b>CHAPTER 24</b>	<b>169 276,90</b>	<b>169 274,45</b>	<b>100,00 %</b>	<b>81 639,93</b>	<b>48,23 %</b>	<b>87 634,52</b>
	<b>TITLE 2</b>	<b>2 091 677,67</b>	<b>2 091 269,07</b>	<b>99,98 %</b>	<b>1 709 739,28</b>	<b>81,74 %</b>	<b>381 529,79</b>

Budget lines	Description	Appropriation (1)	Committed (2)	% Committed (3=2/1)	Paid (6)	% Paid (7=6/2)	RAL Balance Payment (8=2-6)
				TARGET 95%		TARGET 70%	
B03000	STRENGTHENING GLOBA	13 381,19	11 823,17	88,36 %	11 823,17	100,00 %	0,00
B03001	STRATEGIC DEVELOPMEN	526 388,90	525 066,75	99,75 %	525 066,75	100,00 %	0,00
B03002	ENHANCING RAILWAY SA	27 334,65	26 047,81	95,29 %	26 047,81	100,00 %	0,00
B03010	HARMONISED RAILWAY O	20 717,00	16 914,83	81,65 %	16 914,83	100,00 %	0,00
B03011	HARMONISED TECHNICAL	0,18	0,00	0,00 %	0,00	0,00 %	0,00
B03013	DISSEMINATING AND TR	120 474,85	86 948,17	72,17 %	29 321,67	33,72 %	57 626,50
B03020	ENSURING THE COORDIN	438 762,85	438 664,87	99,98 %	307 364,10	70,07 %	131 300,77
B03022	RAILWAY SYSTEM DATA	285 880,00	285 880,00	100,00 %	196 560,00	68,76 %	89 320,00
B03030	COLLECT AND ANALYSE	11 347,32	11 347,32	100,00 %	11 347,32	100,00 %	0,00
B03031	MONITORING	58 533,01	58 533,01	100,00 %	58 533,01	100,00 %	0,00
B03033	REPORTING ON THE RAI	136,00	136,00	100,00 %	136,00	100,00 %	0,00
B03040	ENSURE GOOD CORPORAT	82 773,08	78 012,29	94,25 %	71 243,46	91,32 %	6 768,83
B03041	COMMUNICATING EFFECT	39 373,13	39 373,13	100,00 %	33 140,00	84,17 %	6 233,13
B03042	ENSURING EFFICIENT A	16 419,93	16 419,93	100,00 %	15 380,38	93,67 %	1 039,55
	<b>CHAPTER 30</b>	<b>1 641 522,09</b>	<b>1 595 167,28</b>	<b>97,18 %</b>	<b>1 302 878,50</b>	<b>81,68 %</b>	<b>292 288,78</b>
B03100	BOOKS, NEWSPAPERS, M	29 024,82	29 024,18	100,00 %	29 024,18	100,00 %	0,00
B03110	IT OPERATIONS'SYSTEM	2 536 337,09	2 533 484,31	99,89 %	1 607 655,06	63,46 %	925 829,25
	<b>CHAPTER 31</b>	<b>2 565 361,91</b>	<b>2 562 508,49</b>	<b>99,89 %</b>	<b>1 636 679,24</b>	<b>63,87 %</b>	<b>925 829,25</b>
	<b>TITLE 3</b>	<b>4 206 884,00</b>	<b>4 157 675,77</b>	<b>98,83 %</b>	<b>2 939 557,74</b>	<b>69,87 %</b>	<b>1 218 118,03</b>
	<b>TOTAL TITLES</b>	<b>27 765 159,00</b>	<b>27 715 102,40</b>	<b>99,82 %</b>	<b>25 970 819,98</b>	<b>93,54 %</b>	<b>1 744 282,42</b>

## II.1.2. Appropriations carried over 2020/2021 (C8 funds)

31/12/2021					TARGET 95%	RAL Amount
Fund Source : C8						
Budget lines	Description	Appropriation (1)	Paid (2)	% Paid (3=2/1)	RAL Balance Payment (4=1-2)	
A01172	TRAINEESHIPS	1 646,85	1 646,85	100,00 %	0,00	
A01178	EXTERNAL SERVICES (P	15 042,00	15 042,00	100,00 %	0,00	
	<b>CHAPTER 11</b>	<b>16 688,85</b>	<b>16 688,85</b>	<b>100,00 %</b>	<b>0,00</b>	
A01300	MISSION EXPENSES, DU	766,94	0,00	0,00 %	766,94	
	<b>CHAPTER 13</b>	<b>766,94</b>	<b>0,00</b>	<b>0,00 %</b>	<b>766,94</b>	
A01430	MEDICAL SERVICE	347,88	347,88	100,00 %	0,00	
A01440	INTERNAL TRAINING &	14 125,70	13 140,50	93,03 %	985,20	
	<b>CHAPTER 14</b>	<b>14 473,58</b>	<b>13 488,38</b>	<b>93,19 %</b>	<b>985,20</b>	
	<b>TITLE 1</b>	<b>31 929,37</b>	<b>30 177,23</b>	<b>94,51 %</b>	<b>1 752,14</b>	
A02020	WATER, GAS, ELECTRIC	2 458,45	2 261,40	91,98 %	197,05	
A02030	CLEANING AND MAINTEN	51 030,62	50 971,81	99,88 %	58,81	
A02040	FITTING-OUT OF PREMI	76 632,19	76 632,19	100,00 %	0,00	
A02050	SECURITY AND SURVEIL	39 129,68	38 922,60	99,47 %	207,08	
	<b>CHAPTER 20</b>	<b>169 250,94</b>	<b>168 788,00</b>	<b>99,73 %</b>	<b>462,94</b>	
A02100	DATA-PROCESSING EQUI	167 904,30	167 904,30	100,00 %	0,00	
A02101	SOFTWARE DEVELOPMENT	44 958,55	44 924,12	99,92 %	34,43	
	<b>CHAPTER 21</b>	<b>212 862,85</b>	<b>212 828,42</b>	<b>99,98 %</b>	<b>34,43</b>	
A02200	TECHNICAL INSTALLATI	106,01	0,00	0,00 %	106,01	
	<b>CHAPTER 22</b>	<b>106,01</b>	<b>0,00</b>	<b>0,00 %</b>	<b>106,01</b>	
A02300	STATIONERY AND OFFIC	871,79	840,91	96,46 %	30,88	
A02354	DEPART. REMOVALS	1 542,00	1 542,00	100,00 %	0,00	
	<b>CHAPTER 23</b>	<b>2 413,79</b>	<b>2 382,91</b>	<b>98,72 %</b>	<b>30,88</b>	
A02400	CORRESPOND. & COURIE	56,61	56,61	100,00 %	0,00	
A02410	TELECOMS' SUBSCRIPTI	1 771,90	1 504,01	84,88 %	267,89	
	<b>CHAPTER 24</b>	<b>1 828,51</b>	<b>1 560,62</b>	<b>85,35 %</b>	<b>267,89</b>	
	<b>TITLE 2</b>	<b>386 462,10</b>	<b>385 559,95</b>	<b>99,77 %</b>	<b>902,15</b>	
B03000	STRENGTHENING GLOBA	9 240,60	9 240,60	100,00 %	0,00	
B03001	STRATEGIC DEVELOPMEN	446 626,86	438 996,62	98,29 %	7 630,24	
B03002	ENHANCING RAILWAY SA	24 918,00	24 918,00	100,00 %	0,00	
B03012	HARMONISED TRAIN CON	31 125,00	31 125,00	100,00 %	0,00	
B03013	DISSEMINATING AND TR	249 819,38	248 432,02	99,44 %	1 387,36	
B03020	ENSURING THE COORDIN	689 566,21	679 975,79	98,61 %	9 590,42	
B03022	RAILWAY SYSTEM DATA	414 725,02	414 725,02	100,00 %	0,00	
B03031	MONITORING	9 395,00	9 395,00	100,00 %	0,00	
B03032	IDENTIFYING RESEARCH	7 870,00	7 080,00	89,96 %	790,00	
B03041	COMMUNICATING EFFECT	24 320,00	24 320,00	100,00 %	0,00	
B03042	ENSURING EFFICIENT A	9 985,12	9 985,12	100,00 %	0,00	
	<b>CHAPTER 30</b>	<b>1 917 591,19</b>	<b>1 898 193,17</b>	<b>98,99 %</b>	<b>19 398,02</b>	
B03100	BOOKS, NEWSPAPERS, M	441,63	441,63	100,00 %	0,00	
B03110	IT OPERATIONS'SYSTEM	752 788,39	744 730,86	98,93 %	8 057,53	
	<b>CHAPTER 31</b>	<b>753 230,02</b>	<b>745 172,49</b>	<b>98,93 %</b>	<b>8 057,53</b>	
	<b>TITLE 3</b>	<b>2 670 821,21</b>	<b>2 643 365,66</b>	<b>98,97 %</b>	<b>27 455,55</b>	
	<b>TOTAL TITLES</b>	<b>3 089 212,68</b>	<b>3 059 102,84</b>	<b>99,03 %</b>	<b>30 109,84</b>	

*II.1.3. Appropriations carried over 2021/2022 C1-credits*

	<i>Chapter</i>	<i>Amount carried over 2021/2022</i>	<i>% Amount carried over 2021/2022</i>
11	Staff in active employment	84 667	0%
13	Missions and travel	244	20%
14	Socio-medical infrastructure	59 724	38%
	<b>Title I</b>	<b>144 634</b>	<b>1%</b>
20	Investments in immovable property, rental of buildings and associated cost	135 406	12%
21	Data processing	126 521	18%
22	Movable property and associated costs	16 367	35%
23	Current administrative expenditure	15 601	51%
24	Post and telecommunications	87 635	52%
	<b>Title II</b>	<b>381 530</b>	<b>18%</b>
30	Operational Activities directly linked to the Regulation n°796/2016	292 289	18%
31	Operational expenditures	925 829	36%
	<b>Title III</b>	<b>1 218 118</b>	<b>29%</b>
	<b>Total Budget</b>	<b>1 744 282</b>	<b>6%</b>

*II.1.4. Reconciliation budget and economic outturn*

	<i>2021</i>	<i>2020</i>
<b>Economic result (+ for surplus and - for deficit) of the consolidation reporting package</b>	<b>118 709</b>	<b>1 075 365</b>
<b>Ajustment for accrual items (items not in the budgetary result but included in the economic result)</b>		
Adjustments for Accrual Cut-off (reversal 31.12.N-1)	-846 141	-1 689 888
Adjustments for Accrual Cut-off (cut- off 31.12.N )	1 024 956	1 788 466
Amount from liaison account with Commission booked in the economic revenue	0	0
Unpaid invoices at year end but booked in charges (class 6)	0	29 939
Depreciation of intangible and tangible assets (1)	1 175 782	1 265 216
Provisions (1)	0	0
Value reductions (1)	7 800	0
Recovery Orders issued in 2020 in class 7 and not yet cashed	-873 746	-256 885
Prefinancing given in previous year and cleared in the year	0	0
Prefinancing received in previous year and cleared in the year	-262 837	-244 893
Payments made from carry over of payment appropriations	3 059 103	2 039 988
Other *)	-1 110 797	-962 268
<b>Ajustment for budgetary items (item included in the budgetary result but not in the economic result)</b>		
Asset acquisitions (less unpaid amounts)	-243 742	-416 485
New pre-financing paid in the year 2020 and remaining open as at 31.12.2020	0	0



New pre-financing received in the year 2020 and remaining open as at. 31.12.2020	620 038	537 920
Budgetary recovery orders issued before 2020 and cashed in the year	256 885	153 469
Budgetary recovery orders issued in 2019 on balance sheet accounts (not 7 or 6 accounts) and cashed	0	0
Capital payments on financial leasing (they are budgetary payments but not in the economic result)	0	0
Payment appropriations carried over to 2021	-3 894 958	-4 097 691
Cancellation of unused carried over payment appropriations from previous year	30 110	106 232
Adjustment for carry-over from the previous year of appropriations available at 31.12 arising from assigned revenue	1 008 478	785 738
Payments for pensions ( they are budgetary payments but booked against provisions)	0	0
Payments for stocks of leave and supplementary hours ( they are budgetary payments but booked against provisions)	0	0
Other **)	0	0
<b>Budget outturn for the year</b>	<b>69 638</b>	<b>114 225</b>

#### II.1.5. Budget outturn and cancellation of appropriations

Budget outturn	2018	2019	2020	2021
Reserve from the previous years' surplus (+)	80 722	119 879	59 486	114 225
Revenue actually received (+)	28 850 412	28 644 227	30 761 007	32 834 965
Payments made (-)	- 26 386 114	- 26 041 310	- 27 440 679	-29 908 642
Carryover of appropriations (-)	- 3 509 588	- 2 931 959	- 4 097 690	-3 894 958
Cancellation of appropriations carried over (+)	122 715	54 280	106 232	30 110
Adjustment for carryover of assigned revenue appropriations from previous year (+)	1 045 234	335 358	785 738	1 008 478
Exchange rate differences (+/-)	- 2 780	- 1 110	- 383	-315
Adjustment for negative balance from previous year (-)	- 80 722	- 119 879	- 59 486	-114 225
<b>TOTAL</b>	<b>119 879</b>	<b>59 486</b>	<b>114 225</b>	<b>69 638</b>

\*N – the year covered by the programming document drafted in N-1 (as per definition art. 32 of Commission Delegated Regulation (EU) 2019/715).

Descriptive information and justification on:

- › **Cancellation of commitment appropriations:** the unused C1 budget was 50 056.60 EUR in 2021.
- › **Cancellation of payment appropriations for the year and payment appropriations carried over:** the C8 cancelled in 2021 was 0.97%.

#### II.1.6. Fees and charges revenues and expenditures

##### II.1.6.1 Hourly rate elements

In 2021, a new hourly rate was adopted through Commission Implementing Regulation (EU) 2021/1903. Therefore, we will present the details for the hourly rates applied in 2021:

a) January 1- November 23, 2021: hourly rate based on the EC Implementing Regulation (EU) 2018/764;

Direct salary costs of staff working on applications	€ 88
Estimated salary cost of staff providing supporting services (25% of direct salary costs)	€ 22
Estimated allocation of indirect costs (building, IT, translation, missions, ...)	€ 20
<b>Total</b>	<b>€ 130</b>

b) November 23, 2021 – present: hourly rate based on the EC Implementing Regulation (EU) 2021/1903;

	Units	Cost	Total Eur
<b>Direct costs components:</b>			
DC01- Salary cost related to the team in charge of the assessment of the applications			
Hours in TA group (27.72 FTE)	36,036	112.88	4,067,661.98
Hours in CA group (5.28 FTE)	6,864	66.97	459,648.53
DC02 - Agency contribution to the pension scheme for the fee-related activities			382,672.81
DC03 – Operational expenditure related to the assessment of applications (meetings, travels, translations)	280	1,000.00	280,000.00
<b>Total direct cost</b>			<b>5,189,983.32</b>
<b>Indirect costs components:</b>			
IC01- Costs related to the team working for the agency in charge of horizontal support activities for delivering authorisations, certificates and approvals			
Hours in TA group (6.72 FTE)	8,736	108.79	950,423.50
Hours in CA group (1.79 FTE)	2,327	61.11	142,191.95
IC02- General overhead costs			3,348,017.97
IC03 - Operation and Maintenance of the OSS			693,632.00
IC04- Cost related to the Board of Appeal			31,000.00
<b>Total indirect cost</b>			<b>5,165,265.42</b>
<b>TOTAL COST IN ONE YEAR (a)</b>			<b>10,355,248.73</b>
<b>Cost recovered from OSS charge</b>			
Applications submitted to ERA (other than CTT)	280	400	112,000.00
CTT Applications submitted to ERA	1,000.00	75	75,000.00
<b>TOTAL COST RECOVERED FROM THE OSS CHARGE (b)</b>			<b>187,000.00</b>
<b>Cost recovered from the hourly rate</b>			
TOTAL COST IN ONE YEAR TO BE RECOVERED FROM THE HOURLY RATE (a) - (b)			10,168,248.73
TOTAL DIRECT HOURS IN ONE YEAR	42,600.00		
<b>Hourly rate</b>			<b>238.69</b>

The cost calculated includes the cost of Agency staff and external experts involved in the processing of applications, the costs of supporting services and activities related to the processing of applications, as well as any other operational costs, as required by the legislation.

The legal basis and general principles ruling the model are:

- REG.(EU) 2016/796. Art. 80.2 – F&C set in a transparent, fair and uniform manner
- REG.(EU) 2016/796. Art. 80.3 – ensure that the revenue is sufficient to cover the full cost of the services provided
- REG.(EU) 2016/796. Art. 80.3 – the level of F&C shall be revised following a recurrent significant imbalance

The model establishes the different parameters to ensure that the revenue is sufficient to cover the full cost of the services provided, setting the level of fees and charges in a transparent, fair and uniform manner.

**The model is not designed to obtain an exact match of the different cost elements annually**, as this is not requested by the legislation. The model allows to estimate the cost in an average year (taking 2021 as a reference) and from there derive the level of fees and charges, respecting the legal principles.

The procedures of the Agency and the evaluation and revision of the level of fees and charges by the Commission are established by Article 9 and Article 10 of [Regulation \(EU\) 2018/764](#) as amended by [Regulation \(EU\) 2021/1903](#).

#### II.1.6.2. Financial results 2021 for the fees and charges activities

The data in this chapter is organised according to the main categories of applications:

- › [Vehicle Authorisations \(VA\)](#)
- › [Vehicle Authorisations – Conformity to Type \(VA CTT\)](#)
- › [Single Safety Certificates \(SSC\)](#)
- › [ERTMS Trackside Approvals \(TA\)](#)

For each of these categories, the data is further split into:

- I. already invoiced amounts
- II. forecasted amounts (not yet invoiced, but expected to be invoiced)

Data is presented with a matrix approach in order to capture the time lag between the year of application (displayed by column) and the year of invoicing (displayed by row).

While the invoiced data tables are based on actual numbers, the forecasted data tables are based on assumptions related to the volume and timing of applications by type.

- › For the **Single Safety Certificates**, the degree of accuracy for the forecasts is likely to be much higher because the trend is linked to the actual expiry dates for the current certificates in force plus a margin of unplanned applications, e.g. for new entrants.
- › For the **Vehicle Authorisations**, the Agency has started to model a pattern of applications based on the data collected so far and project it for the future period. The assumptions will be refined with more time passing and once a full reference year has elapsed. Even in that case, new market trends still need to be factored for continuously refining the assumptions.
- › For the **VA CTT**, a linear trend assumption was applied. With more return of experience, also this can be further refined.

## Revenue

### *VA applications*

I. Sum of amounts actually invoiced	Year of application				Out of which		
	Year of invoicing	2019	2020	2021	Grand Total	PoE invoices	NSA invoices
2019	55,385.00				55,385.00	0	16,000.00
2020	710,819.81	396,524.50			1,107,344.31	0	274,724.21
2021	59,741.00	1,466,265.10	816,700.95		2,342,707.05	81,380	823,664.85
<b>Grand Total</b>	<b>825,945.81</b>	<b>1,862,789.60</b>	<b>816,700.95</b>		<b>3,505,436.36</b>	<b>81,380</b>	<b>1,114,389.06</b>

II. Sum of amounts forecasted (to be invoiced)	Year of application			
Estimated year of invoicing	2020	2021	2022	Grand Total
2022		195,940.00	1,050,000.00	1,245,940.00
<b>Grand Total</b>	<b>0.00</b>	<b>195,940.00</b>	<b>1,050,000.00</b>	<b>1,245,940.00</b>

*VA-CTT applications*

I. Sum of amounts actually invoiced	Year of application				Out of which		
	Year of invoicing	2019	2020	2021	Grand Total	PoE invoices	NSA invoices
2019	373,100.00				373,100.00	0	0
2020	36,660.00	515,411.00			552,071.00	10,205	0
2021		68,055.00	741,769.00		809,824.00	1,625	0
<b>Grand Total</b>	<b>409,760.00</b>	<b>583,466.00</b>	<b>741,769.00</b>		<b>1,734,995.00</b>	<b>11,830</b>	<b>0</b>

II. Sum of amounts forecasted (to be invoiced)	Year of application		
Estimated year of invoicing	2021	2022	Grand Total
2022		420,000.00	420,000.00
<b>Grand Total</b>	<b>0.00</b>	<b>420,000.00</b>	<b>420,000.00</b>

*SSC applications*

I. Sum of amounts actually invoiced	Year of application				Out of which		
	Year of invoicing	2019	2020	2021	Grand Total	PoE invoices	NSA invoices
2019	85,540.00				85,540.00	0.00	0.00
2020	202,898.50	161,869.00			364,767.50	3,770.00	67,562.50
2021		783,704.68	755,775.15		1,539,479.83	204,631.70	459,818.13
<b>Grand Total</b>	<b>288,438.50</b>	<b>945,573.68</b>	<b>755,775.15</b>		<b>1,989,787.33</b>	<b>208,401.70</b>	<b>527,380.63</b>

<b>II. Sum of amounts</b>				
<b>forecasted (to be invoiced)</b>	<b>Year of application</b>			
<b>Estimated year of invoicing</b>	<b>2020</b>	<b>2021</b>	<b>2022</b>	<b>Grand Total</b>
2022	27,400.00	1,203,522.30	203,840.00	<b>1,434,762.30</b>
2023			203,840.00	<b>203,840.00</b>
<b>Grand Total</b>	<b>27,400.00</b>	<b>1,203,522.30</b>	<b>407,680.00</b>	<b>1,638,602.30</b>

*ERTMS TA applications*

<b>I. Sum of amounts</b>	<b>Year of application</b>				<b>Out of which</b>	
<b>actually invoiced</b>	<b>2019</b>	<b>2020</b>	<b>2021</b>	<b>Grand Total</b>	<b>PoE invoices</b>	<b>NSA invoices</b>
2020	18,070.00	9,847.50		<b>27,917.50</b>	0.00	0
2021	29,217.50	163,475.00	51,317.50	<b>244,010.00</b>	42,640.00	0
<b>Grand Total</b>	<b>47,287.50</b>	<b>173,322.50</b>	<b>51,317.50</b>	<b>271,927.50</b>	<b>42,640.00</b>	<b>0</b>

**Expenditure**

<b>2021 RO</b>			<b>2020 RO</b>		
Appropriations	Commitments	Payments	Appropriations	Commitments	Payments
11 449 214	10 875 452	3 608 194	5 644 764	5351 912	1 794 023
	94.99%	31.51%		94.81%	31.78%

The amount of the available commitment appropriations is based upon a forecast of revenue which is made for each single application. The amounts in the table above include both the commitment and payments made on current year's commitment appropriations as on last year's commitment appropriations. In the table below a split of these amounts can be found.

<b>Commitments</b>					<b>Payments</b>			<b>Outstanding</b>
Carried over from previous years	De-commitments on carry-overs	Remaining commitments previous years	Commitments current year	Total	Payments previous year's commitments	Payments current year	Total payments	
3 557 889	- 1 571 373	1 986 516	8 888 936	10 875 452	1 225 845	2 382 349	3 608 194	7 267 258

In addition it should be noted that the increase in the total amount of remaining payment credits at the end of 2021 of € 1 278 058 as compared to 2020 (€ 504 921) can be explained by the fact that in 2021 the regularization between titles 4 and 1 and 2 for the salary costs of operational staff, salary cost of supporting services and a portion of the overhead cost was only done for 3 quarters instead of 4. The impact of this non-executed regularization payment in 2021 was € 602 179. The Title 4 activities, related to fees and charges for Vehicle Authorisation and Single Safety Certification, are bound to a time lag of approximately seven months between the moment of the submission of the application and the moment of cashing. There is therefore a genuine multi-annual component associated to the fees and charges appropriations, which needs to be taken into account when regularisations are performed. This multi-annual aspect is particularly important in a start-up situation, as the Agency was in between 2019 and 2021.

The new Implementing Regulation on Fees and Charges entered into force on 23 November 2021, which envisages an increase of the hourly rate from 130€ to 239€, as well as the OSS cost recovery and the fixed

rate for VA CTT. The forecasted revenue corresponding to the ERA staff for Jan-June 2022 is estimated at 2.275 mill €. This is much more limited compared to the revenue forecasted to be cashed after June 2022, due to the fact that it is only starting with June that the effect of the updated hourly rate will be noticed significantly. According to the expenditure structure for the 2022 budget the proportion of costs for fees and charges related activities for the first half of 2022 is in the order of 3.313 mill€. The Agency therefore needs to tackle this cash flow gap of more than 1 mill € with the necessary prudence, and has therefore decided to adjust the regularization schedule accordingly.

Finally it should be noted that out of the total payments made in 2021 € 1 873 658 related to the salary costs of the operational staff that has worked on the applications, the salary costs of the operational /administrative staff providing supporting services and - a portion of the overhead costs (mainly building and other administrative expenditure. The balance of € 1 268 511 represented payments done to national authorities for their assessment of the national part and to external experts from the pool of experts for the work done on behalf of the Agency.

## II.2. Negotiated procedures

Contracts ≤ € 15 000 Contracts ≥ € 139 000 (Negotiated procedures under point 11 of Annex 1 FR)

- › Count: 1
- › Total Amount: € 23 395

## II.3. Summary of procedures

Excluding real estate contracts and contracts ≤ €15 000)

Type of contract	Count
Supply	0
Services	10
Works	0
<b>TOTAL</b>	<b>10</b>

Procedures	Count	Amount (€)
Open	4	3 540 000
Restricted	0	0
Negotiated	4	435 395
Negotiated Competing	0	0
Other - Reopening of competition	2	395 000
<b>TOTAL</b>	<b>10</b>	<b>4 370 395</b>

## Annex III. Building policy

## Current building(s)

Table 1 - Current building(s)

#	Building name and type	Location	Surface Area (in m <sup>2</sup> )			Rental contact					Host country (grant or support)
			Office space	Non-office	Total	Rent (€/year) <sup>5</sup>	Duration of the contract	Type	Breakout clause Y/N	Conditions attached to the breakout clause (if applicable)	
1	<a href="#">ERA HQ</a>	<a href="#">120 rue Marc Lefrancq, 59307 Valenciennes, FR</a>	5 250 m <sup>2</sup> <sup>6</sup>	-	5 250 m <sup>2</sup>	459 800.93 €	1 year with tacit renewal	office rental	N	N/A	no
2	<a href="#">Lille Office - Espace International</a>	<a href="#">299 Boulevard de Leeds, 59000 Lille, FR</a>	421.57 m <sup>2</sup>	73.06 m <sup>2</sup>	494.63 m <sup>2</sup>	101 151.02 €	Until 31/12/2023	meeting premise rental	N	N/A	no
3	Parking des Tertiales - SPL Valenciennes Stationnement	<a href="#">Rue du Fer à Cheval, 59300 Valenciennes, FR</a>	-	-	100 parking places	24 083.00 €	1 year with tacit renewal	parking rental	N	N/A	no
4	Espace International	<a href="#">13 Avenue le Corbusier 59800 Lille, FR</a>	-	-	1 parking place	2 619.38 €	Until 31/12/2023	parking rental	N	N/A	no
<b>Total</b>			<b>5 671.50 m<sup>2</sup></b>	<b>73.06 m<sup>2</sup></b>	<b>5 744.63 m<sup>2</sup> + 101 parking</b>	<b>587,654.33 €</b>					

<sup>5</sup> HT = hors taxe (excluding tax), as of 2021<sup>6</sup> SHON = Surface Hors Œuvre Nette (Net Surface Area), see <https://www.service-public.fr/particuliers/vosdroits/F2868>  
era.europa.eu

### Notes:

#### 1. ERA HQ (Valenciennes):

ERA is the only tenant in the ERA HQ building, the Agency exclusively occupies and uses all office and non-office spaces in the building. Therefore, all surface area is included under the 5 250 m<sup>2</sup> of office space (SHON, terraces are not considered).

#### 2. Lille Office - Espace International (Lille):

ERA shares office spaces with the building landlord (CCI de Région) on the 2<sup>nd</sup> floor. Following the signature of the addendum n°2 to main Lease contract signed on 07/07/2021 for the retrocession of meeting rooms Kálmán Kandó to the CCI de Région, the total office space being rented by ERA represents 494.63 m<sup>2</sup> instead 602.62 m<sup>2</sup> (421.57 m<sup>2</sup> net office space + 73.06 m<sup>2</sup> representing 14.77% “de quote-part des parties communes”).

ERA has an exclusive use of only 421.57 m<sup>2</sup> (included under “Office space”<sup>7</sup>) of the 494.63 m<sup>2</sup> considered in the rent, the remaining 73.06 m<sup>2</sup> (included under “Non-office”<sup>8</sup>) are shared with the landlord and other tenants.

### Building project in the planning phase

Due to the growth of the Agency, the current building in Valenciennes does not offer any longer the required conditions to accommodate staff and activities related to the Agency’s role as railways’ Authority. Therefore, the Agency has re-allocated the majority of staff members in double office spaces as a short-term solution. Another short-medium term solution is the implementation of teleworking up to the limit set by the Management Board Decision on Teleworking.

In parallel, as part of a long-term solution, the Agency and Valenciennes Métropole have started defining the requirements for a new building to accommodate ERA activities after 2027 by means of a Study composed of different phases. In 2018, the Phase I of the Study confirmed that the current ERA HQ cannot accommodate all requirements related to the Agency activities and growth. In 2019 and 2020, the Agency has managed to complete the Phases 2 and 4 of the technical and functional study resulting in the approval of the technical specifications that will be used as the base for the selection of architects in the Phase 3 of the Study. Taking into account the experience gained during the pandemic with large-scale teleworking and new ways of working, the building capacity was revised and the technical project.

In 2022, following the approval of the project, it is foreseen that Valenciennes Métropole will launch a “Concours” (Contest / CFT) for the selection of the Architect as part of the Phase 3 of the Project.

### Building projects submitted to the European Parliament and the Council

See status under previous section.

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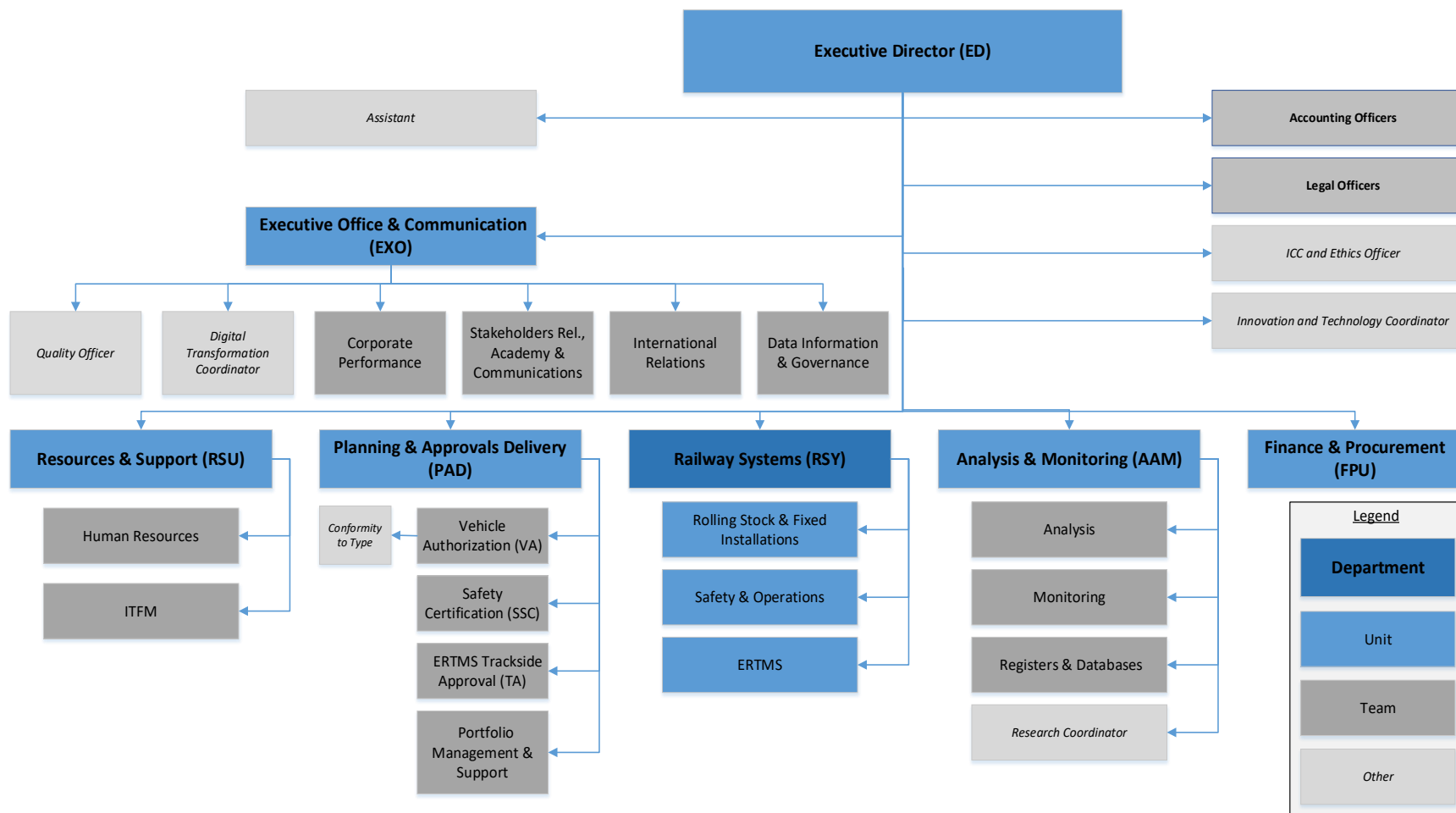
<sup>7</sup> 421.57 m<sup>2</sup> “Office space”: the net office space being used exclusively by the Agency, namely the reception, cafeteria, meeting rooms, offices, circulations, storage / technical rooms, copy corners inside ERA closed space

<sup>8</sup> 73.06 m<sup>2</sup> “Non-office”: toilets / sanitary installations, storage / technical rooms and circulations located outside ERA closed space and being shared with other occupants, including building common areas located on the ground floor main reception (parking places are not considered)



Annex IV. Organisational chart

Organisational chart as of 31/12/2021



**Number of posts for each organisational entity<sup>9</sup>**

Department, Unit, or Team	EU contribution & Fees & charges				Grants, Contrib. & SLAs				Grand Total
	TA	CA	SNE	Σ Posts	TA	CA	SNE	Σ Posts	
ED	6	2		8					8
ED (general)	2	2		4					4
Accountancy	2			2					2
Legal	2			2					2
<u>RSY</u>	55	4		59					59
RSY (general)	9			9					9
ERTMS	16	1		17					17
RSFI	16			16					16
SO	14	3		17					17
PAD	17	6		23					23
(general)	3	2		5					5
ERTMS Trackside Approval	1	1		2					2
Portfolio Management & Support	4	1		5					5
Safety Certification	3			3					3
Vehicle Authorization	6	2		8					8
AAM	27	1		28					28
AAM (general)	5			5					5
Analysis	5			5					5
Monitoring	11			11					11
Registers & Databases	6	1		7					7
EXO	17	11	2	30		4		4	34
EXO (general)	5	2		7					7
Corporate Performance	2	3	1	6					6

<sup>9</sup> Expressed in terms of headcount

Department, Unit, or Team	EU contribution & Fees & charges				Grants, Contrib. & SLAs				Grand Total
	TA	CA	SNE	Σ Posts	TA	CA	SNE	Σ Posts	
Data Information & Governance	3		1	4					4
International Relations	3			3		4		4	7
Stakeholders Relations, Academy & Communications	4	6		10					10
FPU	7	3		10					10
FPU (general)	1			1					1
Finance	4	1		5					5
Procurement	2	2		4					4
RSU	19	7		26					26
RSU (general)	2			2					2
Human Resources	6	1		7					7
ITFM	11	6		17					17
<b>Grand Total</b>	<b>148</b>	<b>34</b>	<b>2</b>	<b>184</b>		<b>4</b>		<b>4</b>	<b>188</b>

## Annex V. Establishment plan and additional information on Human Resources management

## V.1.a. Staff population and its evolution in 2021

Human resources Establishment plan posts	2020			2021		
	Authorised staff	Actually filled as of 31/12/2020	Occupancy rate %	Authorised staff	Actually filled as of 31/12/2021	Occupancy rate %
Administrators (AD)	113	110	97.3%	116	114	98.3%
Assistants (AST)	35	34	97.1%	35	34	97.1%
Assistants/Secretaries (AST/SC)	0	0		0	0	
Total establishment plan posts	148	144	97.3%	151	148	98.0%
External staff	Authorised staff	Executed FTE as of 31/12/2020	Execution rate %	Authorised staff	Executed FTE as of 31/12/2021	Execution rate %
Contract Agents (CA)	36	29	80.6%	36	34	94.4%
Seconded National Experts (SNE)	4	1	25.0%	4	2	50.0%
Total external staff	40	30	75.0%	40	36	90.0%
Total staff	188	174	92.6%	191	184	96.3%

**Additional external staff expected to be financed from grant, contribution or service-level agreements**

Human resources	2020	2021
External staff financed from agreements	Actual FTE	Actual FTE
Contract Agents (CA)	4	4
Seconded National Experts (SNE)	0	0
<b>Total external staff</b>	<b>4</b>	<b>4</b>

**Structural service providers<sup>10</sup>**

Structural service providers	Actually in place as of 31/12/2021
Infrastructure	1
IT - Service Desk	4
IT - Security	1
Registers (including OSS)	3
Other - Software management/development	3
<b>Total structural service providers</b>	<b>12</b>

**Interim workers**

Interim workers	FTEs in 2021
<b>Total interim workers</b>	<b>0</b>

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<sup>10</sup> Service providers are contracted by a private company and carry out specialised outsourced tasks of a horizontal/support nature.

## V.1.b. Multi-annual staff policy plan – status in 2021

## Temporary Agents

Temporary Agents	2020		2020		2021		2021	
	Authorised budget Permanent posts	Temporary posts	Actually filled as of 31/12 Permanent posts	Temporary posts	Authorised budget Permanent posts	Temporary posts	Actually filled as of 31/12 Permanent posts	Temporary posts
AD 16		0		0		0		0
AD 15		1		0		1		0
AD 14		0		1		0		1
AD 13		0		0		0		0
AD 12		4		1		4		1
AD 11		7		5		10		6
AD 10		19		15		19		22
AD 9		32		22		29		19
AD 8		21		27		21		25
AD 7		15		17		15		14
AD 6		14		20		17		24
AD 5		0		2		0		2
<b>Total AD</b>		<b>113</b>		<b>110</b>		<b>116</b>		<b>114</b>
AST 11		0		0		0		0
AST 10		0		0		0		0
AST 9		2		2		2		2
AST 8		5		0		5		2
AST 7		5		4		5		3
AST 6		2		7		6		6
AST 5		8		5		8		5
AST 4		9		7		9		10
AST 3		4		9		0		6
AST 2		0		0		0		0

Temporary Agents	2020		2020		2021		2021	
	Authorised budget Permanent posts	Temporary posts	Actually filled as of 31/12 Permanent posts	Temporary posts	Authorised budget Permanent posts	Temporary posts	Actually filled as of 31/12 Permanent posts	Temporary posts
AST 1		0		0		0		0
Total AST		35		34		35		34
AST/SC 6								
AST/SC 5								
AST/SC 4								
AST/SC 3								
AST/SC 2								
AST/SC 1								
Total AST/SC		0		0		0		0
Total TAs		148		144		151		148

## Contract Agents

Contract Agents	Authorised 2020	Headcount as of 31/12/2020	Authorised 2021	Headcount as of 31/12/2021
Function Group IV	15	15	15	22
Function Group III	8	4	8	4
Function Group II	10	6	10	6
Function Group I	3	3	3	2
Total	36	28	36	34

## Seconded National Experts

Seconded National Experts	Authorised 2020	Headcount as of 31/12/2020	Authorised 2021	Headcount as of 31/12/2021
Total	4	1	4	2

## V.1.c. Use of human resources for the OSS application in 2021

Out of the numbers indicated in Tables V.1.a. and V.1.b, the following resource consumption was linked to the OSS applications in 2021<sup>11</sup>:

<b>Direct hours (billable)</b>	<b>h</b>
VA	13,930.41
VA CTT	5,855.78
VA Notifications 16.4	380.92
SSC	7,623.40
TA	1,796.50
<b>Total</b>	<b>29,587.01</b>

<b>Non-direct hours</b>	<b>h</b>
Horizontal support	12,651.25
OSS operation and maintenance	1,596.00
Helpdesk VA, SSC, TA	1,761.67
<b>Total</b>	<b>16,008.92</b>

Note: the numbers correspond to the work encoded in MS Project for the work carried in 2021, irrespective of the billing year (2021 or 2022).

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<sup>11</sup> This does not include the work of PoE



## V.2. Information on engagement grade/function group for each type of post

Key functions	Type of contract (official, TA or CA)	Function group, grade of engagement + Via IM/IAM/Ext selection procedure	Indication whether the function is dedicated to administrative support or operations
Head of Department	0	0	0
Head of Unit	1 TA	EXT AD 9	Operations
Team Leader	0	0	0
Project Officer	5 TA	EXT AD 6	Operations
Legal Officer	1 TA	EXT AD 6	Administrative
Project Officer	1 CA	EXT FG IV	Operations
Project Officer	5 CA	EXT FG IV	Administrative
IT Officer	2 CA	EXT FG IV	Administrative

## V.3. Result of the Agency's job screening exercise

Job Type Category	YEAR N-1 (%)	YEAR N (%)	Year N-1	Year N	Difference
<b>Administrative support and coordination</b>	17.46	17.57	36.50	35.66	-0.84
Administrative support	13.58	12.20	28.40	24.764	-3.636
Coordination	3.88	5.37	8.10	10.90	2.797
<b>Operational</b>	71.63	74.22	149.70	150.68	0.98
Top level Operational Coordination	6.22	8.61	13.00	17.48	4.478
Program Management & Implementation	52.30	60.78	109.30	123.39	14.09
Evaluation & Impact Assessment	4.93	1.54	10.30	3.13	-7.17
General operational	8.18	3.29	17.10	6.69	-10.415
<b>Neutral</b>	10.91	8.21	22.80	16.66	-6.14
Finance /Control	10.91	8.21	22.80	16.66	-6.14
Linguistics	0	0.00	0.00	0.00	0
<b>TOTAL</b>			209.00	203.00	

**A. Gender representation**

Establishment plan posts	Level	Official		Temporary		Contract Agents		Grand Total	
		Staff	%	Staff	%	Staff	%	Staff	%
Female	Administrator level (AD + CA FG IV)			27	14.8%	5	2.7%	32	17.6%
	Assistant level (AST + CA FG I-III + AST/SC)			24	13.2%	9	4.9%	33	18.1%
	Total Female			51	28.0%	14	7.7%	65	35.7%
Male	Administrator level (AD + CA FG IV)			87	47.8%	16	8.8%	103	56.6%
	Assistant level (AST + CA FG I-III + AST/SC)			10	5.5%	4	2.2%	14	7.7%
	Total Male			97	53.3%	20	11.0%	117	64.3%
Total				148	81.3%	34	18.7%	182	100%

External staff financed from Grants, Contrib. & SLAs	Level	Official		Temporary		Contract Agents		Grand Total	
		Staff	%	Staff	%	Staff	%	Staff	%
Female	Administrator level (AD + CA FG IV)				0.0%	1	0.5%	1	0.5%
	Assistant level (AST + CA FG I-III + AST/SC)				0.0%	2	1.1%	2	1.1%
	Total Female			0	0.0%	3	1.6%	3	1.6%
Male	Administrator level (AD + CA FG IV)				0.0%	1	0.5%	1	0.5%
	Assistant level (AST + CA FG I-III + AST/SC)				0.0%	0	0.0%	0	0.0%
	Total Male			0	0.0%	1	0.5%	1	0.5%
Total				0	0.0%	4	2.2%	4	2%

**Data regarding gender evolution over 5 years of the Middle and Senior management<sup>12</sup>**





























Managers	2017		2021	
	Number	%	Number	%
Female	1	14%	2	22%
Male	6	86%	7	78%
Total	7	100%	9	100%




Refer also to "Women in transport" project (I.5.5. Ensuring efficient and effective communication (internal and external))

<sup>12</sup> Staff who is defined as middle manager by the applicable General Implementing provisions on middle management

**B. Geographical balance**


T 1 – Officials, TAs and CAs – data at 31/12/2021

Nationality Establishment plan posts	AD + CA FG IV		AST + CA FG I-III + AST/SC		TOTAL	
	Number	% of total staff	Number	% of total staff	Number	% of total staff
Austrian 	1	0.5%	0	0.0%	1	0.5%
Belgian 	25	13.7%	19	10.4%	44	24.2%
Bulgarian 	1	0.5%	0	0.0%	1	0.5%
Croatian 	1	0.5%	0	0.0%	1	0.5%
Cypriot 		0.0%		0.0%		0.0%
Czech 	10	5.5%	0	0.0%	10	5.5%
Danish 	2	1.1%	1	0.5%	3	1.6%
Estonian 		0.0%		0.0%		0.0%
Finnish 	1	0.5%	0	0.0%	1	0.5%
French 	15	8.2%	16	8.8%	31	17.0%
German 	9	4.9%	1	0.5%	10	5.5%
Greek 	4	2.2%	0	0.0%	4	2.2%
Hungarian 	3	1.6%	0	0.0%	3	1.6%
Irish 	0	0.0%	1	0.5%	1	0.5%
Italian 	20	11.0%	3	1.6%	23	12.6%
Latvian 		0.0%		0.0%		0.0%
Lithuanian 	2	1.1%	0	0.0%	2	1.1%
Luxembourg 		0.0%		0.0%		0.0%
Maltese 		0.0%		0.0%		0.0%
Dutch 	4	2.2%	0	0.0%	4	2.2%
Polish 	6	3.3%	1	0.5%	7	3.8%
Portuguese 	3	1.6%	0	0.0%	3	1.6%
Romanian 	7	3.8%	2	1.1%	9	4.9%
Slovakian 		0.0%		0.0%		0.0%
Slovenian 		0.0%		0.0%		0.0%
Spanish 	15	8.2%	2	1.1%	17	9.3%
Swedish 	1	0.5%	1	0.5%	2	1.1%
British 	5	2.7%	0	0.0%	5	2.7%
<b>Total</b>	<b>135</b>	<b>74.2%</b>	<b>47</b>	<b>25.8%</b>	<b>182</b>	<b>100%</b>

Nationality External staff financed from Grants, Contrib. & SLAs	AD + CA FG IV		AST + CA FG I-III + AST/SC		TOTAL	
	Number	% of total staff	Number	% of total staff	Number	% of total staff
French 	1	25.0%	1	25.0%	2	50.0%
Romanian 		0.0%	1	25.0%	1	25.0%
Spanish 	1	25.0%		0.0%	1	25.0%
<b>Total</b>	<b>2</b>	<b>50.0%</b>	<b>2</b>	<b>50.0%</b>	<b>4</b>	<b>100%</b>

- The AACC granted the Brexit exception to 5 UK Nationals as provided for in the Arts 12(2), 47 and 119 of the CEOS.
- ERA may engage citizens from EEA states (Iceland, Liechtenstein and Norway), but does not receive any applications from these countries.

#### Evolution over 5 years of the most represented nationality in the Agency

Most represented nationality Establishment plan posts	2017		2021	
	Number	%	Number	%
Belgian 	38	23%	44	24%

## Annex VI. Human and financial resources by activity

## V.1. Planned (SPD 2021)

Year	Planned 2021		
Activity	TA	CA/SNE	Budget allocated €
<b>Operational expenditure out of which</b>			
<b>1. Contributing to shaping target and global reference</b>	7.03	7.35	173,563.00
<b>2. Developing the harmonised regulatory SERA technical framework</b>	30.05	4.65	772,448.00
<b>3. Implementing the harmonised regulatory SERA technical framework</b>	38.78	7.85	979,882.00
<b>4. Monitoring, evaluating and reporting</b>	15.30	0.40	230,517.00
<b>5. Delivering efficient and effective services</b>	36.74	18.80	1,390,840.00
<b>ERA Management and Administration</b>	23.10	4.95	
<b>Staff related costs</b>			20,797,909.00
<b>Building, equipment and other expenditure</b>			2,122,000.00
<b>Total</b>	151.00	44.00	26,467,159.00

The staff numbers include also the staff working on the EU grants (obj.1.4 and.5)

## V.2. Actuals (CAAR 2021)

Activity	Unit Staff	DIRECT COSTS (paid in 2021)		INDIRECT COSTS (paid in 2021)			TOTAL PAYMENTS BY ACTIVITY (2021)
		TITLE 3 - CHAPTER	TITLE 4	TITLE 1	TITLE 2	TITLE 3 - CHAPTER 31	
	FTE (actual reported numbers in MS Project)						
1. Contributing to shaping the target and global reference	18.75	562,938		2,243,930	179,937	172,248	3,159,053
2. Developing the Harmonised Regulatory SERA Technical Framework	30.54	46,237		3,654,913	293,082	280,558	4,274,789
3. Implementing the Harmonised Regulatory SERA Technical Framework (under 4RP)	51.07	503,924	3,608,194	6,111,867	490,101	469,158	11,183,244
4. Monitoring, Evaluating and Reporting	13.01	70,016		1,556,988	124,852	119,517	1,871,374
5. Delivering efficient and effective services	50.04	119,764		5,988,600	480,216	459,696	7,048,276
				-	-	-	-
ERA Management and Administration	14.75			1,765,225	141,551	135,502	2,042,277
<b>Grand Total</b>	<b>178.16</b>	<b>1,302,879</b>	<b>3,608,194</b>	<b>21,321,523</b>	<b>1,709,739</b>	<b>1,636,679</b>	<b>29,579,014</b>
				<b>21,321,523</b>	<b>1,709,739</b>	<b>1,636,679</b>	

## Annex VII. Fees and Charges

### VII.1. Volumes

In the years between 2016 (entry into force of the Technical Pillar) and 2019 (start of ERA's authority activities), the Agency has successfully mastered the transformation and is delivering on these tasks. Cumulatively since 2019, around 29,500 vehicles have been authorized, 62 Single Safety Certificates and 2 ERTMS Trackside Approvals have been issued. The number of applications received by the Agency is higher than expected and indeed estimated in the impact assessment which accompanied the 4<sup>th</sup> Railway Package. Moreover, the rate of new applications is still growing exponentially. The focus has been put in a lean and highly efficient process allowing the Agency to process the authorisation for placing on the market of each of "all-EU" freight wagons manufactured for the European market with only 5 FTEs and with an average duration of less than 5 working days.

The Agency has fully delivered on its obligations and this in a period of time where the pandemic required significant adaptation of working arrangements.

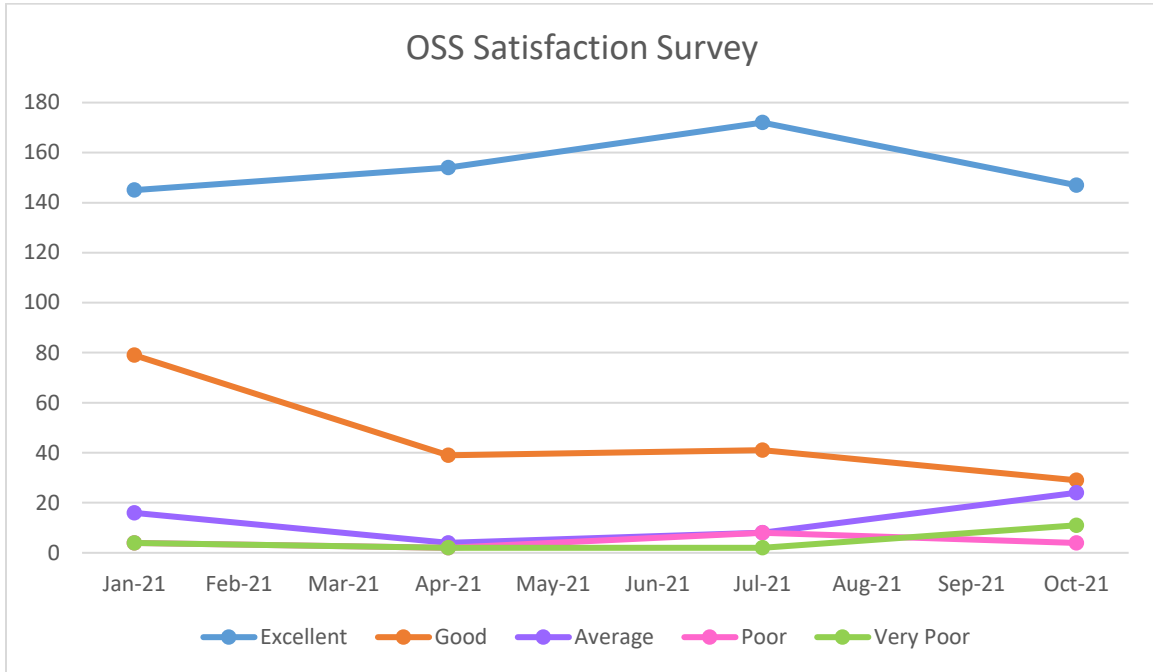
Year	SSCs issued	VA issued	ERTMS TA issued
2019	5	310	0
2020	20	917	0
2021	41	1260	2
<b>TOTAL</b>	<b>66</b>	<b>2487</b>	<b>2</b>

For any information on Fees and Charges budget for 2021, please refer to Annex II, section 1.6.

Regarding information on Human Resources deployed for the OSS applications, please refer to Annex V, section 1.c.

### VII.2. Customer satisfaction

The following chart represents the OSS Services satisfaction levels in the satisfaction survey from the Agency' Service Desk:





## Annex VIII. Grant, contribution or service-level agreements

	Date of signature	Total amount (EUR)	General information			Financial and HR impacts		
			Duration	Counterpart	Short description		2020	2021
<b>Grant Agreements</b>								
1. IPA (2019/410-319)	04/12/2019	450,000	36 months 01/01/2020 – 31/12/2022	DG NEAR	Continuation of pre-accession support to the EU candidates and potential candidates (Western Balkans and Turkey)	Amount (EUR)	129,287	165,895
						№ of CAs	1	1
						№ of SNEs	0	0
2. EUMedRail (ENI/2020/359-727)	31/12/2016	2,000,000	72 months 01/01/2017 – 31/12/2022	DG NEAR	Implementation of the action EUMedRail - EuroMed Rail Safety and Interoperability Project	Amount (EUR)	1,090,000	326,874
						№ of CAs	3	3
						№ of SNEs	0	0
Total Grant Agreements						Amount (EUR)	1,219,287	492,769
						№ of CAs	4	4
						№ of SNEs	0	0
<b>Contribution Agreements</b>								
1. System Pillar (MOVE/C4/SUB/2021-454/S12.852702)	15/07/2021	750,000	36 months 16/07/2021 - 15/07/2024	DG MOVE SRD.3	Provide a financial contribution to finance the implementation of the action ERA support to the Railway System Pillar	Amount (EUR)		250,000
						№ of CAs <sup>13</sup>		0
						№ of SNEs		
2. Access to OSS	13/12/2019	20,000				Amount (EUR)	10,000	10,000

<sup>13</sup> As per Annex III of the Contribution agreement, - One full time project manager in charge of the coordination of ERA experts, sector working groups, and interfacing with the System Pillar governance bodies and the ERJU management

- Plus a total of one full-time equivalent distributed between safety and interoperability expertise.

The recruitment process of the two additional CAs launched in 2021 were not finalised at end 2021, thus a net CAs number of 0 instead of 2 in 2021

			Until the signature of a Cooperation Agreement	Federal Office of Transport (FOT) of Switzerland	Admin. Arrangement between the Swiss Federal Office of Transport and ERA <sup>14</sup>	Nº of CAs		
						Nº of SNEs		
Total Contribution Agreements						Amount (EUR)	10,000	260,000
						Nº of CAs		
<b>Service-Level Agreements</b>						Nº of SNEs		
						Amount (EUR)	42,953	35,376
1. ESMA-ERA Accountant SLA (ESM 1095)	20/11/2013 30/06/2015	N/A <sup>15</sup>	12 months, renewed aut. 30/06/2015 – 30/06/2021	European Securities and Markets Authority (ESMA)	Provision of accounting services to ESMA (40% FTE of 1 TA)	Nº of CAs		
						Nº of SNEs		
Total Service-Level Agreements						Amount (EUR)	42,953	35,376
						Nº of CAs		
<b>Total</b>						Nº of SNEs		
						<b>Amount (EUR)</b>	<b>1,272,240</b>	<b>595,776</b>
						<b>Nº of CAs</b>	<b>4</b>	<b>4</b>
						<b>Nº of SNEs</b>	<b>0</b>	<b>0</b>

<sup>14</sup> In exchange of the access granted by the Agency to the OSS, the FOT accepts to pay a service fee, payable annually.

<sup>15</sup> No fixed amount defined, ERA's Accounting Officer (AD10) to serve "two working days per week in order to provide the services of Accounting Office [...] in accordance with ESMA's Financial Regulations and Implementing Rules" – as a consequence, all remuneration and staff costs are borne by ESMA proportionately (2/5<sup>th</sup>)

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## Annex IX. Reporting on the Contribution Agreement MOVE/C4/SUB/2021-454/S12.852702 – ERA contribution to the System Pillar

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- **Summary of the action**

- In its role as System authority, the Agency is contributing to the System Pillar activities of the new Joint Undertaking Europe's Rail.
- it relates to the Agency's input to the work on the System Pillar within the new rail Joint Undertaking.
- To compensate the Agency resources allocated to the System Pillar activities, a Contribution agreement MOVE/C4/SUB/2021-454/S12.852702 has been signed with DG MOVE on 15/07/2021.
- The Agency SPD 2021 has been updated to take account of the action described under the Contribution agreement by Decision of the Agency's Management Board on 26/10/2021.
- The action was implemented within the Agency under the service 1240: Management of Innovation and long-term evolution of the Agency.

- **Actual results**

The Agency delivered the following outputs:

- The document 'ERJU System Pillar – Prerequisites from the perspective of the Agency' was delivered to EC and the JU
- The service 1240 was set up – A coordinator was appointed and the IMS documentation was established
- The Agency experts participated in the System Pillar Core Group meetings and workshops
- Internal weekly meetings were organised to coordinate the Agency's inputs to the System Pillar Core group

- **Difficulties encountered and measures taken**

- An internal coordination team was set up within the Agency to manage in the most efficient manner its contribution to the System Pillar.
- The System Pillar activities required availability of Agency experts mostly from the Railway System Department. Unfortunately, the same experts were already fully loaded with TSI 2022 update, and 4th RP activities.
- Therefore, the Contribution agreement signed with DG MOVE that would bring 2 additional FTEs should have helped compensating the lack of experts' availabilities.
- However, the recruitment process launched end of 2021 did not allow to hire the planned 2 additional FTEs in 2021.
- In addition, after discussions with DG MOVE, it was agreed to amend the Contribution agreement bringing the number of additional FTEs to 3.

- The amendment N°1 to the Contribution agreement with extension of the contract end date to 01/05/2025, the estimated total cost at 690K€, and the number of 3 FTEs was signed 08/02/2022.

- **Information on the implementation of the Visibility and Communication Plan**

- Information on the action were provided to the Agency Communication team for update of the Agency 2021 Communication plan on 01/10/2021.
- The amended Agency communication plan was adopted by the Agency Management Board on 23/11/2021.

- **Breakdown of total costs**

- **As per the contribution agreement**

- The Contribution agreement planned 250K€ for the costs of 2 FTEs.
- As the 2FTEs were not recruited yet in 2021, there were Zero costs reported for 2021.

- **As per Service 1240 management**

- The resources consumed by service 1240 for 2021 recorded under the Agency project management tool was of 878 working hours spread over the Agency contributors.
- Though no cost was reported under the contribution agreement for 2021, those 878 working hours represented a total cost of: 209K€ based on an hourly rate of 238€69.

- **Summary of controls carried out**

The action is managed according to the Agency internal processes: IMS, PAD and Internal Control.

- IMS: IMS documentation related to the service 1240 was established and applied.
- PAD: Monthly reports are established and collected by the PAD Unit. The monthly reported elements are consolidated in the Agency dashboard and reviewed by the Agency Management.
- Internal Control: Risks management is undertaken and included as part of the monthly reports

- **Request for payment**

- Request for payment for a first instalment of 250K€ was submitted to DG MOVE on 14/10/2021.
- The related payment was made by DG MOVE on 08/11/2021.

- **Work plan & budget for the next reporting period)**

- The work plan and budget forecast for 2022 for the service 1240 was submitted under the Agency internal process for the SPD2022 with 3.2 FTEs.
- The results of the internal arbitration process allocated 2.3FTEs to the service with the following budget and work plan.

ERA1240				
Management of innovation and long-term evolution of the Agency	2,32	€ -	Agency's inputs to ERJU Master plan	Delivered by 31/12/22
			Agency's inputs to ERJU Multi-Annual Work Plan: <ul style="list-style-type: none"> <li>• The calendar for the planned TSI maintenance and revision (considering the indications from the Commission at the occasion of the adoption of the 2022 revision package);</li> <li>• The template for the CR to ensure a fast and successful integration of the System Pillar outputs into the Change Control Management for the TSIs, including completeness and quality requirements;</li> <li>• The identification of necessary studies to be proposed, in particular for the Human Machine Interface and HOF</li> </ul>	Delivered by 31/12/22
			The Agency's strategic document 'A compelling vision for the target railway system' will be updated with contribution from the RSG and in coordination with the JU	Delivered by 31/12/22

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## Annex X. Environmental management

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The Agency is committed to promote a culture of sustainability acting in a responsible and sustainable manner (refer to point 9 of the European Union Agency for Railways Policy).

However, like all organisations, we consume natural resources and pollute the environment through daily operations.

In order to minimise the environmental impacts and continually improve performances, we have adopted eco-sustainable practices (IMS document GUI\_BMG\_001) which are intended to drive corporate and individual behaviours toward a climate friendly and resource efficient organisation.

These practices are intended to be the initial stage toward the achievement of the EMAS certification that, due to the resources constraints, ERA has not targeted yet.

Despite these limitations, we pursue, whenever possible, the adoption and related implementation of environmental measures and initiatives that can be achieved with the available means.

In this respect the Agency routinely monitors its use of

- › electricity,
- › water,
- › paper.

In relation to the period 2020-2021, due to the premises' lockdown and limitations of the building's use, the gathered information is not relevant to report significant trends.

In 2021 the Agency

- › launched the initiative "Save a cup, bring your mug", to reduce the consumption of disposable paper cups,
- › installed new ICT equipment in its server room that are consuming less energy,
- › participated to the 15th Greening network meeting organised amongst all the EUIs.

## Annex XI. Procurement plan

Title	Description	Market ceiling	Type of Contract	Year	Status	Explanation
PROMOTIONAL MATERIAL	The communication office seeks a supplier that can fulfil all needs for advertising material of the Agency.	80,000.00 €	Framework Contract	2021	Evaluation phase	The launch was postponed to February 2022.
Development of training products for the knowledge hub		350000€	Framework Contract	2021	Postponed	The procedure on development of training products was not launched in 2021, awaiting for an internal definition of the scope of the services, in line with the business needs.
Application for ETSI membership	ETSI offers services in telecommunication standardization that are needed for the program future radio communication Membership from 01/01/2021 to 31/12/2021 (and following 3 years – tacit renewal)	41,272.00 €	Direct contract	2021	Organised	
FWC for support on VA applications	Reinforcement of the available resources to assign on vehicle authorisation projects	1,500,000.00 €	Framework Contract	2021	Organised	

ETF Contract concerning UIC Leaflets	In the framework of drafting and revising TSIs and related documents (reports, application guides, etc.) ERA project officers need for various subjects to consult UIC leaflets which represent the state of art of developments made by the Railway Sector, in particular Railway Undertakings.	60,000.00 €	Direct contract	2021	Organised	
Fourniture de services traiteur et restauration rapide pour Valenciennes	Catering services to support events and meetings in the ERA HQ in Valenciennes	250,000.00 €	Framework Contract	2021	Organised	

FRAMEWORK CONTRACTS			Paid in 2020	To be committed in 2021 (estimates)	paid in 2021
Local Identifier	User Reference	Expiry Date			
<b>PMO contract / AMEX - GLOBAL BUSINESS TRAVEL</b>	Travel Agency services (missions)	03/31/2024	86,310.00	200,000.00	13,081.00
<b>ERA 2017 39 FWC &amp; ERA 2018 27 FWC</b>	Catering services (Lille and Valenciennes)	25/01/2022	34,942.72	150,000.00	3,565.00
<b>ERA 2018 36 FWC</b>	ASSISTANCE ERTMS TRACKSIDE APPROVAL	28/04/2023	3,960.00	100,000.00	27,156.00
<b>ERA 2019 02 FWC</b>	Interpretation services	12/08/2023	61,121.35	150,000.00	70,869.00
<b>ERA 2019 06 FWC</b>	ESP-EISD6 - Off site IT services	28/07/2024	511,586.00	1,000,000.00	110,578.94
<b>DG SCIC - SCIC/C1/2018/FWC/02</b>	European Safety Days (Porto)	31/12/2021	0.00	240,000.00	199,893.51



## Annex XII. Final annual accounts

## XII.1. Provisional\* annual accounts (assets, liabilities)

\* subject to ECA observations to be received by the end of May 2022

	<i>Note</i>	<i>31/12/2021</i>	<i>31/12/2020</i>
<b>A. NON CURRENT ASSETS</b>			
Intangible assets	3.5.2.1	2 467 647	3 385 858
Property, plant and equipment	3.5.2.2	380 551	394 379
Land and buildings		49 733	793
Plant and equipment		515	1 927
Computer hardware		257 040	291 571
Furniture and vehicles		42 008	54 731
Other fixtures and fittings		31 255	45 357
Non-current receivables	3.5.2.3	31 898	31 898
<b>TOTAL NON-CURRENT ASSETS</b>		<b>2 880 096</b>	<b>3 812 135</b>
<b>B. CURRENT ASSETS</b>			
Pre-financing		0	0
Pre-financing with consolidated entities		0	0
Exchange receivables and recoverables	3.5.2.4	3 576 583	1 897 602
Current receivables		854 396	258 445
Sundry receivables		37 227	20 917
Current receivables with consolidated entities		0	398
Other receivables		0	0
Accrued income with consolidated entities		0	11 353
Accrued fee income		2 095 315	1 179 611
Deferred charges		589 645	426 879
Non - exchange receivables and recoverables	3.5.2.5	124 940	253 014
Current receivables Member States		124 940	253 014
Other receivables		0	0
Cash and cash equivalents	3.5.2.6	3 169 907	3 808 531
<b>TOTAL CURRENT ASSETS</b>		<b>6 871 430</b>	<b>5 959 147</b>
<b>TOTAL ASSETS</b>		<b>9 751 527</b>	<b>9 771 283</b>

	<i>Note</i>	<i>31/12/2021</i>	<i>31/12/2020</i>
<b>A. NET ASSETS</b>	<b>3.5.2.7</b>	<b>7 580 118</b>	<b>7 461 409</b>
Accumulated surplus/deficit		7 461 409	6 386 044
Economic result of the year-profit+/loss-		118 709	1 075 365
<b>B. NON CURRENT LIABILITIES</b>		<b>0</b>	<b>0</b>
Pension and other employee benefits		0	0
Provisions for risks and liabilities		0	0
<b>TOTAL NON-CURRENT LIABILITIES (A+B)</b>		<b>7 580 118</b>	<b>7 461 409</b>
<b>C. CURRENT LIABILITIES</b>		<b>2 171 408</b>	<b>2 309 873</b>
<b>Provisions for risks and liabilities</b>	<b>3.5.2.8</b>	<b>0</b>	<b>0</b>
<b>Accounts payable</b>	<b>3.5.2.9</b>	<b>807 508</b>	<b>623 401</b>
Current payables		0	32 635
Sundry payables		0	0
Accounts payable with consolidated EC entities		807 508	590 766
..... <i>Prefinancing received from consolidated EC entities</i>		807 508	573 868
..... <i>Other accounts payable against consolidated EC entities</i>		0	16 898
<b>Accrued charges and deferred income</b>	<b>3.5.2.10</b>	<b>1 363 901</b>	<b>1 686 473</b>
Accrued charges		1 363 901	1 686 473
Deferred income		0	0
Other passive accruals & deferrals		0	0
Deferrals and accruals with consolidated EC entities		0	0
<b>TOTAL CURRENT LIABILITIES</b>		<b>2 171 408</b>	<b>2 309 873</b>
<b>TOTAL LIABILITIES</b>		<b>9 751 527</b>	<b>9 771 283</b>

## XII.2. Statement of financial performance

<i>STATEMENT OF FINANCIAL PERFORMANCE</i>	<i>Note</i>	<i>31/12/2021</i>	<i>31/12/2020</i>
Subsidy received	3.5.3.1	27 948 359	28 389 255
Title 1&2 <sup>16</sup>		22 919 909	22 790 450
Title 3 <sup>17</sup>		4 835 250	5 441 833
Part of Phare Funds subsidy used in current year		68 976	22 576
Part of EUMEDRAIL pre-financing used in current year		193 862	248 621
Part of System Pillar agreement used in current year		0	0

<sup>16</sup> Title 1 = staff expenditure and Title 2 = administrative expenditure.

<sup>17</sup> Title 3 = operational expenditure

To be reimbursed (Budget outturn)		-69 638	-114 225
Revenue from adjustment/provisions		0	0
<b>NON-EXCHANGE REVENUES</b>	<b>3.5.3.1</b>	<b>27 948 359</b>	<b>28 389 255</b>
Fee income		5 936 230 <sup>18</sup>	2 886 392
Fixed Assets related income		1 693	0
Exchange rate differences gains		73	156
Bank interest		529	1 708
Income from other exchange operations (3rd parties)		90 305	72 918
Income from consolidated EU entities		24 023	43 340
<b>EXCHANGE REVENUES</b>	<b>3.5.3.1</b>	<b>6 052 853</b>	<b>3 004 513</b>
<b>TOTAL REVENUES</b>		<b>34 001 212</b>	<b>31 393 768</b>
Operational expenses	3.5.3.3	6 130 557	4 323 217
Staff and Pension costs	3.5.3.2	23 247 444	21 769 476
Finance costs		4 372	29 145
Other expenses		4 500 129	4 196 564
Property, plant and equipment related expenses	3.5.3.2	2 236 384	2 442 857
Other Expenses	3.5.3.2	2 263 359	1 753 168
Exchange rate differences losses		387	539
<b>TOTAL EXPENSES</b>		<b>33 882 503</b>	<b>30 318 403</b>
<b>SURPLUS (DEFICIT) FROM ORDINARY ACTIVITIES</b>		<b>118 709</b>	<b>1 075 365</b>
<b>ECONOMIC RESULT OF THE YEAR</b>		<b>118 709</b>	<b>1 075 365</b>

### XII.3. Statement of changes in net assets

Capital	Reserves		Accumulated Surplus / Deficit	Economic result of the year	Capital (total)
	Fair value reserve	Other reserves			
<b>Balance as of 31 December 2020</b>	<b>0</b>	<b>0</b>	<b>6 386 044</b>	<b>1 075 365</b>	<b>7 461 409</b>
Changes in accounting policies	0	0	0	0	0
<b>Balance as of 1 January 2021 (if restated)</b>	<b>0</b>	<b>0</b>	<b>6 386 044</b>	<b>1 075 365</b>	<b>7 461 409</b>
Allocation of the Economic Result of Previous Year	0	0	1 075 365	-1 075 365	0

<sup>18</sup> This figure also includes revenues from activities listed under Article 43 of the Agency's regulation. In 2021, the sum of revenues from Article 43 amounted to €18,720.

Economic result of the year	0	0	0	118 709	118 709
<b>Balance as of 31 December 2021</b>	<b>0</b>	<b>0</b>	<b>7 461 409</b>	<b>118 709</b>	<b>7 580 118</b>

## XII.4. Cash flow statement

	<b>2021</b>	<b>2020</b>
<b>Cash Flows from ordinary activities</b>		
<b>Economic result of the year</b>	<b>118 709</b>	<b>1 075 365</b>
<b>Operating activities</b>		
Amortization (intangible fixed assets) +	918 211	748 453
Depreciation (tangible fixed assets) +	257 570	516 764
Increase/(decrease) in Provisions for risks and liabilities	0	0
Increase/(decrease) in Value reduction for doubtful debts	0	0
(Increase)/decrease in Stock	0	0
(Increase)/decrease in Long term Pre-financing	0	0
(Increase)/decrease in Short term Pre-financing	0	18 824
(Increase)/decrease in Long term Receivables	0	0
(Increase)/decrease in Short term Receivables	-1 678 981	-1 071 125
(Increase)/decrease in Receivables related to consolidated EC entities	128 074	-142 974
Increase/(decrease) in Other Long term liabilities	0	0
Increase/(decrease) in Accounts payable	-355 207	32 624
Increase/(decrease) in Liabilities related to consolidated EC entities	216 742	-199 560
(Gains)/losses on sale of Property, plant and equipment	0	0
Extraordinary items	0	0
<b>Net cash Flow from operating activities</b>	<b>-394 882</b>	<b>978 371</b>
<b>Cash Flows from investing activities</b>		
Purchase of tangible and intangible fixed assets (-)	-245 435	-416 485
Proceeds from tangible and intangible fixed assets (+)	1 693	0
<b>Net cash flow from investing activities</b>	<b>-243 742</b>	<b>-416 485</b>
<b>Net increase/(decrease) in cash and cash equivalents</b>	<b>-638 624</b>	<b>561 886</b>
Cash and cash equivalents at the beginning of the period	3 808 531	3 246 645
Cash and cash equivalents at the end of the period	3 169 907	3 808 531

# Glossary

AD	Administrator
AMOCS	Acceptable Means of Compliance
AO	Authorising Officer
AOD	Authorising Officer by Delegation
ASLP	Assessment of Safety Level and Performance
AST	Assistant
BoA	Board of Appeal
CA	Contract Agent
CAAR	Consolidated Annual Activity Report
CCM	Change Control Management
CCS	Control Command and Signalling
CEOS	Conditions of Employment of Other Servants
COVID-19	Coronavirus pandemic (SARS-CoV-2)
CSMs	Common Safety Methods
CSTs	Common Safety Targets
DG BUDG	Directorate-General for Budget
DG DIGIT	Directorate-General for Informatics
DG MOVE	Directorate-General for Mobility and Transport
DG NEAR	Directorate-General for Neighbourhood and Enlargement Negotiations
DoI	Declaration of Interest
EASA	European Union Aviation Safety Agency
EB	Executive Board
EC	European Commission
ECA	European Court of Auditors
ECM	Entity in Charge of Maintenance
EFTA	European Free Trade Association
ERA	European Union Agency for Railways
ERADIS	ERA Database on Interoperability and Safety
ERATV	European Register of Authorised Types of Vehicles
EU Rail JU	Europe's Rail Joint Undertaking
ERSAD	European Railway Stations Accessibility Database
ERTMS	European Rail Traffic Management System
ESG	Economic Steering Group
ETCS	European Train Control System
EU	European Union
EUAN	EU Agencies Network
EUMedRail	EuroMed Rail Safety and Interoperability Project
EVR	European Vehicle Register
FM	Facility Management
FRMCS	Future Railway Mobile Communication System
FTE	Full Time Equivalent
FWC	Framework Contract
HOF	Human and Organisational Factors
HQ	Headquarters
HR	Human Resources
IAS	Internal Audit Service of the Commission
ICC	Internal Control Coordinator
ICF	Internal Control Framework
ICT	Information and Communication Technologies
IM	Infrastructure Manager

IMS	Integrated Management System
IPA	Instrument for Pre-accession Assistance
IRSC	International Railway Safety Council
ISO	International Organisation for Standardization
ISS	Information Sharing System
IT	Information Technology
JNS	Joint Network Secretariat
JU	Joint Undertaking
KPI	Key Performance Indicator
MB	Management Board
MS	Member State of the European Union
MT	Management Team
NIB	National Investigation Body
NOBO	Notified Body
NSA	National Safety Authority
NTRs	National Technical Rules
NVR	National Vehicle Register
OSJD	Organization for Co-operation between Railways
OSS	One-Stop Shop
OTIF	Organisation for International Carriage by Rail
PoE	Pool of Experts
RDD	Reference Document Database
Reg.	EC Regulation
RFC	Rail Freight Corridors
RINF	Register of Infrastructures
RISC	Railway Interoperability and Safety Committee
RSD	Railway Safety Directive
RU	Railway Undertaking
SERA	Single European Railway Area
SLA	Service Level Agreement
SMS	Safety Management System
SNE	Seconded National Expert
SP	Safety Performance
SPD	Single Programming Document
SRD	Single Rules Database
SSC	Single Safety Certificate
TAs	Temporary Agents
TA	Trackside Approvals
TAF	Telematics Applications for Freight
TAP	Telematics Applications for Passenger Services
TDG	Transport of Dangerous Goods
TSI	Technical Specifications for Interoperability
UfM	Union for the Mediterranean
UIC	International Union of Railways
TSI	Technical Specifications for Interoperability
VA	Vehicle Authorisation
VKM	Vehicle Keeper Marking
WP	Work Programme
4RP	Fourth Railway Package