

Making the railway system
work better for society.

European Union Agency for Railways

Single Programming Document 2021-2023

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Foreword

The European Union Agency for Railways will cover a wide range of areas of work, involving actions to drive the continuation of the progress with safety and interoperability, together with its role of EU-wide authority for vehicle authorisations, single safety certificates and ERTMS trackside approvals.

The following aspects are key for the proposed multi-annual (2021-2023) and annual (2021) programming document:

- (1) The 2021-2023 programming period marks the **full-fledged implementation** of the new tasks arising from the technical pillar of the 4th Railway Package together with the regular tasks in the field of railway safety and interoperability.
- (2) By the end of October 2020, all Member States shall have transposed the provisions of the technical pillar of the 4th Railway Package, thus increasing the **precision of the Agency's forecasted volume and timing of work**. The Agency will continue in 2021 to use a **flexible system** of managing its work and resources, based on a (re)prioritisation process, which was set up in 2018.
- (3) The Agency will pay significant attention to a **regular monitoring of the SPD implementation** in terms of outputs, resource consumption and revenues, which can allow for possible adaptation of its work programme during the year. The Agency will strive to balance its budget with a wide range of activities, including responding to priority requests.
- (4) Based on the return of experience from 2019 and 2020, the Agency will have strengthened its capacity of **estimating the volume and complexity of the projects for vehicle authorisation (VA) and safety certification (SSC)**. The Agency will work together with the pool of experts for the mutual benefit of the cooperation between the Agency and the NSAs. At the end of October 2020, the voluntary part of the Cooperation Agreement has not yet been signed by 9 NSAs (IT, SL, BG, HR, LV, LT, CZ, FR and AT). Discussions will continue for having also these NSA involved in the voluntary cooperation. This cooperation may also help the Agency in cases of capacity shortages. To take into account that NSA's will not always be able to assist the Agency because of own workloads, the Agency will in addition seek to secure external assistance through a framework contract and to recruit additional contract agents the cost of which will be recovered through fees and charges.
- (5) The Agency faces specific challenges in 2021 and 2022. The increase of work associated with Vehicle Authorisation and ETCS Trackside approvals comes at a time when there is an ambitious programme for national rules reduction and a package of TSI changes. In some cases the Agency's progress in these areas is dependent on the outputs from other organisations and the maturity of these outputs will impact the work programme. Moreover, this work draws on the same experts and the ambitions will need to be balanced to take into account the authorisation and approval workloads. As the authorisations and approvals requests are not predictable, there may be emerging peaks of demand, while the Agency has the obligation to respond within legal deadlines.
- (6) In addition to these pressures the uncertainty created by the current COVID-19 pandemic will need careful and continuous monitoring. In some cases the Agency may need to revert to the Management Board where the original targets are impacted by the pandemic restrictions.
- (7) Despite the significant expectations from the Agency and its work programme and, moreover, in the context of 2021 being the European Year of Rail, the Agency is unfortunately confronted with the prospect of a significant budget cut of 1.89 million € compared to the budget requested in the SPD 2021 version endorsed in January 2020 by the Management Board. The budget cut for 2021 is also an indication of the rest of the MFF being baselined at a much lower level than the needs.
- (8) With rail being an essential element of the decarbonisation of the European transport system, and with the implementation of a Single European Railway Area beginning to get traction, the budget cut for the Agency comes at a critical moment, with a potential impact on the European investment and innovation agenda. Several areas of the Agency's work are by consequence affected, and the level of ambition and speed of delivery had to be scaled accordingly. The Agency keeps its expectation that the requested budget be reinstated and has identified a list of areas of work and types of expenditure which could be reactivated, subject to the SPD governance workflow.

The Agency will continue to work closely with its stakeholders in order to ensure the successful implementation of this challenging multi-annual programme. The increasing awareness of the impact the European transport system has on emissions contributing to global warming should provide a stronger and stronger tailwind for rail as the most sustainable

mode of transport. The activities of the Agency are crucial for contributing to the achievement of a significant modal shift to rail, in particular by helping to create and manage a Single European Rail Area, and to continuously improve Railway Safety in Europe.

Josef Doppelbauer

List of acronyms

4RP	Fourth Railway Package
ATO	Automatic Train Operation
BoA	Board of Appeal
CCM	Change Control Management
CCS	Control Command and Signalling
COR	Common Occurrence Reporting
CSIs	Common Safety Indicators
CSMs	Common Safety Methods
CSTs	Common Safety Targets
CUI	Common User Interface
DG MOVE	Directorate-General for Mobility and Transport
DG NEAR	Directorate-General for Neighbourhood and Enlargement Negotiations
EC	European Commission
EB	Executive Board
EU	European Union
ECM	Entity in Charge of Maintenance
ECVVR	European Centralised Virtual Vehicle Register
EFTA	European Free Trade Association
ERADIS	ERA Database on Interoperability and Safety
ERATV	European Register of Authorised Types of Vehicles
ERTMS	European Rail Traffic Management System
ESG	Economic Steering Group
ETCS	European Train Control System
EUMedRail	EuroMed Rail Safety and Interoperability project, funded by the EC
EVR	European Vehicle Register
FWC	Framework contract
GSM R	Global System for Mobile Communications (Railway)
HOF	Human and Organisational Factors
IM	Infrastructure Manager
IMS	Integrated Management System
INEA	The Innovation and Networks Executive Agency
IoA	Inventory of Assets
IPA	Instrument for Pre-accession Assistance
KPI	Key Performance Indicator
MB	Management Board
MFF	Multiannual Financial Framework
MS	Member State
NIBs	National Investigation Bodies
NSAs	National Safety Authorities
NTRs	National Technical Rules
NVR	National Vehicle Register
OSJD	Organisation for Cooperation of Railways
OSS	One Stop Shop
OTIF	Organisation for International Carriage by Rail
PRM	Persons with reduced mobility
PoE	Pool of Experts
RASCOP	Rail Standardisation Coordination Platform
RDD	Reference Document Database
RFC	Rail Freight Corridors
RISC	Railway Interoperability and Safety Committee
RINF	Register of Infrastructures
RST	Rolling stock
RU	Railway Undertakings
SAIT	Safety Alert IT tool
SERA	Single European railway area
SMS	Safety Management System
SSC	Single Safety Certificate
UfM	Union for the Mediterranean
TSI	Technical Specifications for Interoperability
VA	Vehicle Authorisation
VKM	Vehicle Keeper Marking

Mission statement

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. Further objectives of the Agency shall be to follow the reduction of national railway rules in order to support the performance of national authorities acting in the fields of railway safety and interoperability and to promote the optimisation of procedures.

With the entry into force of the **Fourth Railway Package technical pillar**, the role of the Agency is substantially extended. As of 16 June 2019, the Agency has become the EU authority responsible for issuing authorisations for placing railway vehicles on the market, single safety certificates for railway undertakings and ERTMS trackside approvals. The transposition of the technical pillar in the Member States shall be completed by 31 October 2020, so that the Agency will be the authority for the whole EU from then on.

Our mission is **“to make the railway system work better for society”**. To foster its mission, the Agency relies on a set of core **values** related to:

- › Stakeholder Focus
- › Ethical Values Commitment
- › Legal Compliance
- › Staff involvement and development
- › Everybody’s Commitment to Quality
- › Continuous Improvement
- › Business Continuity
- › Information Governance
- › A Culture of Sustainability

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

The Agency will support the EC agenda to ensure sustainable, safe, affordable and accessible transport and to strengthen rail’s role in the transport mix, in line with its mission and mandate.

I. General context

The 2021-2023 programming period involves **the full-fledged performance of its tasks** as EU-wide authority for safety certification, vehicle authorisation and ERTMS trackside approval, along with other tasks in the field of railway safety and interoperability as foreseen in the Technical Pillar of the Fourth Railway Package. With all the new legal instruments and structures for the technical pillar's legislative framework put in place, the One Stop Shop application available and all the Member States having transposed by 2020, the Agency is now performing its role of EU-wide authority for VA, SSC and ERTMS trackside approval.

With the experience gained in 2019 and 2020, the Agency is able to better estimate the volume and timing of work for VA, SSC and ERTMS trackside approval requests, as well as to handle the necessary prioritisation mechanism for managing its work and resources.

The Agency will make significant efforts in 2021 for prioritising its work and outputs in order to cope with **the significant budget cut**. This will entail the downscaling of the level of ambition or speed of delivery for certain areas, together with substantial efforts for driving efficiency gains. Should the budget allocation increase compared to the current figures, the Agency will be ready to trigger the SPD governance workflow for reinstating de-prioritised activities and/or categories of expenditure.

The Agency will pay significant attention to a regular monitoring of the SPD implementation in terms of outputs, resource consumption and revenues, which can allow for agile responses and possible adaptation of its work programme. The Agency will work together with the pool of experts for the mutual benefit of the cooperation between the Agency and the NSAs. This cooperation may also help the Agency in cases of capacity shortages. In addition, the Agency will strive for continuously improving its efficiency in delivering the expected outputs, as well as its overall performance in contributing to the expected outcomes and impacts.

II. Multi-annual programming 2021-2023

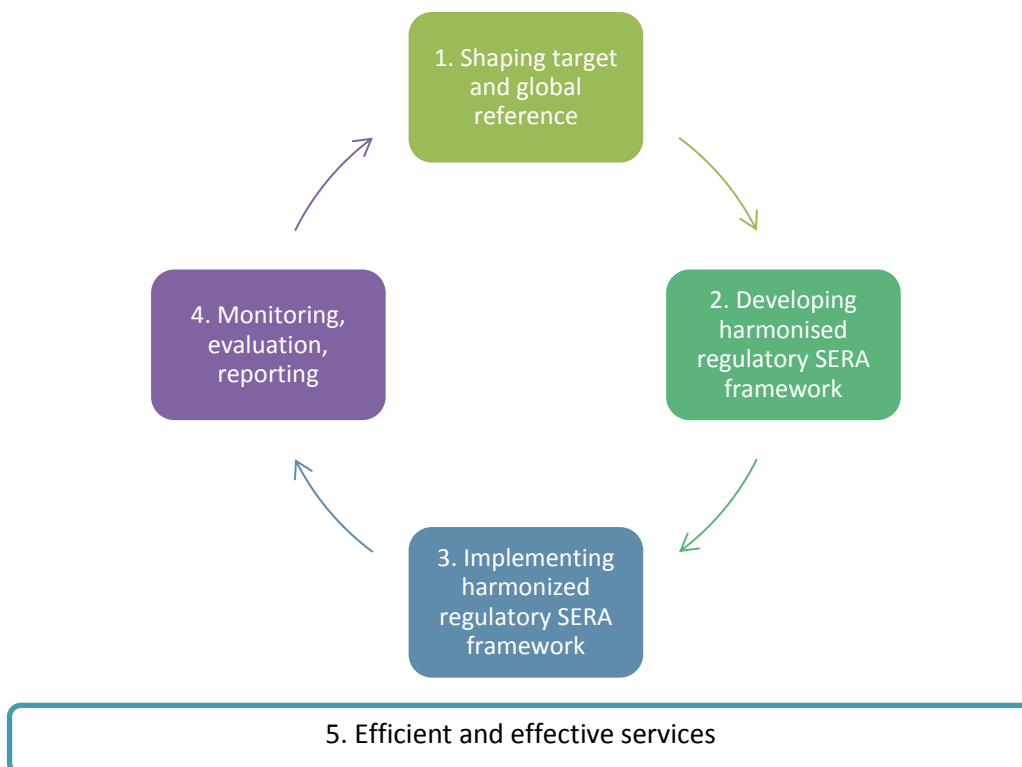
II.1 Multi-annual programme 2021-2023

II.1.1 Structure of the multi-annual programme 2021-2023

The structure of Agency’s multi-annual activities, organised according to the Plan-Do-Check-Act cycle, is intended to support the above-mentioned agile approach:

- › Activity 1 – Contributing to shaping target and global reference
- › Activity 2 – Developing the harmonised regulatory SERA technical framework
- › Activity 3 – Implementing the harmonised regulatory SERA framework
- › Activity 4 – Monitoring, evaluating and reporting
- › Activity 5 – Delivering efficient and effective services

This structure is primarily designed to ensure improved effectiveness and efficiency of the Agency work programme and is agnostic towards the organigram of the Agency. In fact, a matrix organisation is ensured between the organigram and the work programme structure.



Each of the 5 activities is subdivided into objectives, with a total of 23 objectives. The overview of the 23 SPD objectives is included in the following table.

Activity 1 – Contributing to shaping target and global reference		Activity 2 – Developing the harmonised regulatory SERA technical framework		Activity 3 – Implementing the harmonised regulatory SERA technical framework		Activity 4- Monitoring, evaluating and reporting		Activity 5- Delivering efficient and effective services	
1.1	Strategic Development	2.1	Harmonised Railway Operations and Management Systems	3.1	Support to the 4 th 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	2.5		3.5	Railway System Data	4.5		5.5	Ensuring efficient and effective communication (internal and corporate)

II.1.2 Content of the multi-annual programme 2021-2023

Activity 1 - Contributing to shaping target reference and global reference for the EU rail system

› **Objective 1.1 Strategic Development**

The Agency will work on the following strategic topics over the 2021-2023 multi-annual cycle:

- › the strategy on data and digitalisation – based on the successful implementation of the pilots in 2020 and considering the overall data governance developments and direction in general, to which the Agency cannot make exception, the Agency will focus on setting a linked data multi-annual programme, covering the new functionalities expected for RINF, but also other potential use cases.
- › the Green agenda – the Agency has prepared important contributions in the context of the Smart mobility strategy and is ready to support the European Commission, with solid technical input, in developing other policy documents relevant for the Green Deal
- › exploring the future of TSIs beyond 2022.

› **Objective 1.2 Enhancing Railway Safety through positive safety culture and integration of human and organisational factors**

Area 1 - Harmonised railway operations

The Agency will use the work on integration of human and organizational factors in supporting and evaluating the ongoing innovation projects linked to automation which could deliver significant operational improvements for the railway sector at European level, such as driver-less train operation or removing the language barrier.

Area 2 - Sustainable safety management

In order to continuously improve railway safety across Europe in a smart way, there is a need to consider both rules-based and behaviour-based safety. Promoting the integration of human and organisational factors expertise early in the design stage is key. In coming years all players will need to understand and adapt to new responsibilities, in particular linked to the gradual automation of human functions and its associated risks. Specific focus will be addressed to the role of leaders in developing a positive safety culture which is a necessary ingredient for sustainable safety management. In addition, several methods will be developed to evaluate the development of safety culture in the railway sector, including an EU wide survey to collect the perception of individuals on how safety is managed.

Area 3 - Learning from operational performance:

Lessons learned from incidents and accidents need to be systematically shared and a positive safety culture needs to be developed. This will only be achieved if incidents and accidents are deeply and thoroughly investigated, generating a better understanding of workplace reality as influenced by human and organisational factors.

› **Objective 1.3 Strengthening international cooperation in rail**

For the period 2021-2023, the Agency shall support the European Commission's international strategy and policy objectives. According to Art. 43 and 44 of the Agency Regulation, the Agency, in support to the cooperation led by the European Commission and in strict cooperation with DG MOVE, will promote European experiences, regulations and standards to 3rd parties and may establish respective administrative arrangements, such as the Administrative Arrangement concluded between the Agency and the Transport Community Treaty (TCT) Permanent Secretariat in 2019. In regard to the Western Balkan region, the Agency will continue to cooperate with the TCT Permanent Secretariat and implement specific technical assistance activities under the Instrument for Pre-Accession Assistance (IPA). Focus will be given to support the awareness and the implementation of European legislation on railways in the neighbour South (see 1.4 EUMedRail project).

The Agency will continue to support the strengthening of cooperation at a European level through the work with the European and international standardisation organisations, with OTIF and OSJD. The multi-annual planning of the activities related to global cooperation is to be aligned with the EC priorities.

The Agency will support the Networks (defined in Art. 38 of the ERA Regulation) that involve respectively NSAs, NIBs and RBs and several coordination meetings with various certification bodies. The support to those Networks includes the Organisation and Coordination of Network meetings, with the aim to facilitate and promote the exchange of information relating to railway safety and interoperability, promotion of good practices and dissemination of relevant knowledge, and the provision to the Agency of data on railway safety; to organize pro-active feedback on proposed opinions drafted by the Agency to the European Commission; to collect information from the Networks in light of the Agency's assistance to the Commission regarding the implementation of Union legislation aimed at enhancing the level of interoperability of railway systems and at developing a common approach to safety on the Union rail system; to strengthen the Partnership between the Agency and the NSAs by supporting the reorganization of the NSA Network to reflect the principles of the 4th railway Package; to facilitate the cooperation between the Networks of respectively NSAs, NIBs and RBs.

The Agency will continue to support the coordination among Member States and with EU institutions and agencies in order to ensure a proper response in the pandemic and post-pandemic context. The work related to the COVID-19 response during 2020 is a solid basis for the Agency to continue playing such role over the next years.

In this context, the Agency can benefit from its proven track of running effective working groups, expert groups, task forces, involving a wide range of relevant railway stakeholders. This is likely to ensure mutual acceptance of the measures in place between countries, regions and areas, including between European and third countries, as well as a consistent approach between transport modes so as to foster seamless transport recovery and restoration of mobility as a service also in crisis periods.

› **Objective 1.4 Implementing the EUMedRail Project**

The EUMedRail aims at increasing awareness and understanding of the EU regulatory framework outside the EU area.

After the conclusion of the EuMedRail current grant by the end of 2020, the Agency is discussing with the EC about the possible actions in this field for 2021 onwards.

› **Objective 1.5 Implementing the IPA and Western Balkans-Project**

The IPA and Western Balkans-Project aims at increasing awareness and understanding of the EU regulatory framework to all candidate or potential candidate countries for EU membership.

The Agency is implementing the IPA and Western Balkans-Project project 2020-2022 in line with the grant agreement provisions. An important part of the project is dedicated to supporting the implementation of the Transport Community Treaty's regional rail action plan, in liaison with the European Commission and in close cooperation with the Permanent Secretariat of the Transport Community. A continuation of the IPA and Western Balkans-Project beyond 2022 is subject to a new agreement with DG NEAR.

Activity 2 - Developing the harmonised regulatory SERA technical framework

› **Objective 2.1 Harmonised Railway Operations and Management Systems**

In general, the existing European legal safety framework is considered mature. Further developments should then be based on return of experience with the implementation of the already existing framework. In addition, in collaboration with Member States, the necessary framework needs to be developed to re-inforce the implementation of the existing legal framework (e.g. ECM network,

stronger (and more harmonised) control, etc.) in cases where Agency's supporting activities, like cooperation and dissemination activities, have shown not to be sufficiently effective. This will require a flexible and adaptable approach that takes into account the actual capability and maturity of member states and/or individual operators.

Area 1 - Harmonised railway operations. A combination of supporting the implementation of the safety framework within Member States and the publication of Acceptable Means of Compliance is used to address the remaining existing national safety rules. A top-down system approach and overall railway system description is required if further harmonization of railway operations is envisaged at European level.

Area 2 - Sustainable safety management. To be able to anticipate adverse situations in the best possible way and to be able to implement rules and means to deal with them in a safe way, there is need for a sound understanding of risk management and the proper deployment of safety management systems. The Agency will continue to contribute to the risk management stream of work, including the risk assessment methodologies for the transport of dangerous goods, as well as to the stream of work on inspection, maintenance and repair of rolling stock through an accreditation and recognition scheme for ECM certification bodies.

Area 3 - Learning from operational performance. To achieve "smart safety" all available data on the performance of the railway system will have to be used to allow for better informed decision making. This will also be supported by common safety methods for assessing the safety level and the safety performance of railway operators, that will be finalised in 2021, as a follow up to the previous work on COR.

› **Objective 2.2 Harmonised Technical Specifications (fixed installations and vehicles)**

Area 1 - TSIs revision. TSIs revision is prepared as a package in order to facilitate the implementation of the TSIs framework which contains multiple interfaces between the TSIs. The drafting process follows the ERA internal Change Control Management in order to ensure the best involvement of the stakeholders and a full transparency of the Agency's decisions. The so called TSI Revision package 2022 will contribute to the achievement of the European Green Deal by adapting the TSIs with regards to Digital Rail and Green freight. The delivery of the Agency's recommendation including the major Agency's works as regards to this package is planned by end 2021.

Area 2 - National Technical Rules. The focus on the assessment of the national technical rules, in particular of the vehicle-related ones (including CCS subsystem) but also those for fixed installations which risk to detrimentally impact the successful implementation of the 4th Railway Package, remains key for the Agency and will be prioritized according to the expected benefits and impact on railway business.

Area 3 - Interfaces between TSIs and standards. The new collaborative process between the Agency and the European Standardisation Organisations (ESOs) to enhance the efficiency, transparency and legal certainty for all the actors is applied. This includes the Agency support to the assessment of the harmonised standards and for follow-up of the EC standardisation request while ensuring the appropriate involvement of Shift2Rail to facilitate the smooth integration of research outputs in the standardisation work.

Area 4 - Learning from TSI implementation. The Agency acts as the reference point for all EU railway technical specifications (in partnership with EU standardisation organisations) and is becoming the reference point for EU-wide authorisation processes of railway vehicles. Feedback from the

authorization activities will be a valuable input to the drafting and maintenance of more effective and efficient specifications. The Agency will also monitor that recommendations for use and clarifications issued by NB-Rail so that they are in line with the TSIs. The continued service to support the Joint Network Secretariat will ensure emerging situations and issues are tackled in a responsive manner to safeguard the overall interoperability goal.

› **Objective 2.3 Harmonised Train Control System and Telematics (the Agency as System Authority)**

The Agency will continue to support with its technical expertise the implementation of the strategy defined in the EC Staff Working Document “Delivering an effective and interoperable ERTMS – the way ahead”, relying on the commitments from the Memorandum of Understanding on ERTMS (2016) and supported by the ERTMS Platform stakeholders, and the CCS System Framework as the context for the CCS/digital elements of the 2022 TSI revision package and longer-term goals.

The 2022 the revision of the CCS and OPE TSI (Appendix A) will deliver the managed evolution of ERTMS, focusing on:

- CCS TSI 2022: Include the necessary transition and migration arrangements to further facilitate the managed evolution of ERTMS taking into account the different economic interests of the Infrastructure Managers, Railway undertakings and Member States.
- CCS TSI 2022 revision (Annex A specifications): EECT will review the received technical CRs which supports an overall future proof/modular CCS on-board system architecture; the identified game changers (e.g. ATO, Level 3, new radio system, security, enhanced localisation); respecting the key principles of compatibility and protection of investments;
- OPE TSI 2022 revision: The ERTMS operational group (ERTMS OH) will focus its work on the harmonization of operational rules for ETCS L2/L3 operation without line side signalling and overlay of Class B-systems.

With the project of the managed radio evolution, the Agency will prepare the replacement of GSM-R for voice and data, enabling ETCS communications on IP based radio technologies, and to consolidate the requirements for the evolution of voice and data radio according to the specifications and standards being defined by 3GPP, ETSI, UIC, ERA, etc. The target is to deliver a proposal to the Commission on the definition of the new radio communication systems addressing the functional, technological, spectrum and migration aspects for the 2022 revision.

In addition, the Agency shall prepare its organisation for the future extension of the CCS TSI beyond ERTMS in order to align its organisation for the expected delivery of the longer-term goals as defined in the CCS System Framework.

The agency will continue the further development of the telematics applications for passengers (TAP TSI) and freight (TAF TSI), merging common parts and facilitating the cross-modal exchange of dynamic data, the involvement of terminals (including port terminals) and multimodal / CT operators, and the full roll-out of single train ID and on-line availability of key-messages.

› **Objective 2.4 Disseminating and Training to support implementation of the EU framework**

The Agency continues to experience a high demand for dissemination and training from both national organisations and individual companies. The agency has grouped the activities under the umbrella of a single service, the “ERA academy”.

The objective of the ERA Academy is to foster the development of railway capability across all of the organisations that are part of the railway system by:

- › raising awareness (dissemination), i.e. getting the stakeholders to know of the existence or obligation to adopt a specific legal act or good practice
- › raising understanding (training), going beyond awareness to cover the logic and reason why such requirements or practices are adopted and how to practically implement.
- › supporting actions, supporting the stakeholders in their development of inhouse capability and in the actual implementation of the EU legal framework, including the adoption of best practices.

According to the feedback from the monitoring activities carried out by the Agency and from stakeholders themselves, there is still a need to provide dissemination activities but also in-depth training courses on:

- › Core matters related to the EU railway regulatory framework (SSC, VA, Risk Assessment, Safety Management Systems, Accident Investigation, Monitoring, TSIs implementation, etc.), and
- › topics, identified as essential, from latest research activities in the field of safety and interoperability, (Safety Leadership, Human and Organisational Factors, etc.).
- › In the period 2021 to 2023 the Agency will develop and deliver a portfolio of training courses to support stakeholder requests. In some cases the Agency may recover the costs of delivering these courses so that it can balance this need with the other activities of the Agency.

Activity 3 - Implementing the harmonised regulatory SERA technical framework› **Objective 3.1 Support to the Fourth Railway Package implementation**

The Agency will continue its role as the sole body responsible for issuing multi-Member State vehicle authorisations and safety certificates across the whole EU and approving ERTMS trackside. After eighteen months of activity in this field, the Agency is now in the position to fine tune the related processes and the internal procedures without being able, due to budget constraints, to ensure that the revisions of the guides supporting these processes will be available in all EU languages. The Agency, based on the acquired experience, may consider submitting proposals to the European Commission to revise the practical arrangements on vehicle authorisations, on safety certificates, the recommendation on ERTMS trackside approval, the scheme for fees and charges, the rules of the procedure for the Board of Appeal and the common safety methods. This could include proposals submitted to the EC for improving current legal acts.

Due to budget constraints, the work on the One Stop Shop will be limited to maintenance of the tool for correcting obvious bugs. There will be in 2021 no new features developed.

User groups will recurrently be organized each year to gather the contribution from the external stakeholders to the continuous improvement of the process.

› **Objective 3.2 Issuing Single Safety Certificates**

The Agency will issue Single Safety Certificates, as part of its role of EU-wise authority enforced by the 4th Railway Package in close cooperation with the NSA concerned by the areas of operation. All single Safety Certificates will be managed using the Agency's One Stop Shop IT system.

› **Objective 3.3 Issuing Vehicle Authorisations, including ERTMS on-board assessments**

The Agency will issue Vehicle Authorisations, as part of its role of EU-wise authority enforced by the 4th Railway Package in close cooperation with the NSA concerned by the areas of use. All vehicle authorisations will be managed using the Agency's One Stop Shop IT system.

› **Objective 3.4 Issuing ERTMS trackside approvals**

The Agency will issue ERTMS Trackside approval, as part of its role of EU-wise authority enforced by the 4th Railway Package, taking into account, if any, the opinions of the NSA concerned by the trackside. These approvals will be managed using the Agency's One Stop Shop IT system.

› **Objective 3.5 Railway system data**

The Agency strives for providing timely and quality data for identified use cases (internal and external) e.g. to facilitate route compatibility checks, authorization processes, planning and operational purposes and to monitor the implementation of the SERA.

In the field of data and digitalisation, the Agency has already made significant progress on piloting the linked data approach and is looking at mainstreaming this approach for the broader scope of its databases and registers in order to respond to the legal requirements in an agile way, without unnecessary costs and time for developing IT tools and relational databases. This extension of the scope of linked data will require adequate resources and a clear project plan which will address any related issues.

The development of the core functionalities of the Single Rule Database will continue to enable the migration of national safety rules and notification of national fixed installation rules.

Activity 4 - Monitoring, evaluating and reporting› **Objective 4.1 Collect and analyse evidence for decision making**

The Agency carries out economic evaluations (ex-ante impact assessment, ex-post evaluations) in order to provide decision-makers with robust estimates of the effects of Agency recommendations. As such, this work is based on the Commission's Better Regulation Guidelines with attention given to continuous improvement of the applied methodology notably through the involvement of the Economic Steering Group. In a multi-annual perspective, increased emphasis will be given to ex-post evaluations in order to identify improvement areas which can be taken forward in Agency work streams. In 2021, the main focus under this Objective will concern the timely delivery of the impact assessments foreseen for the TSI Revision package. It is also foreseen to undertake at least one ex-post evaluation and this number is planned to increase in the following years (2022 and 2023). In addition, the successful use of ESG Task Forces (TF) to examine in-depth a specific area will continue. The ESG TF set up in 2020 focusing on the development of a coherent framework for migration and implementation requirements across all TSI, with particular reference to new requirements and innovations, will conclude its work in 2021. It is under consideration to launch another Task Force in 2021 which will go into 2022. The Agency will also collect and analyse data on the options and costs for better understanding possible actions as part of the response to addressing climate change challenges.

› **Objective 4.2 Monitoring**

The Agency's monitoring activities are aimed at contributing to improving overall EU safety and interoperability by increasing quality of and the trust in the work performed by NSAs, NIBs, NoBos and risk assessment bodies for an effective and efficient implementation of the 4RP provisions.

In 2021 the first audit cycle of the NSA monitoring will be completed, based on the targeted scope, focusing on the priority needs from the perspective of the 4th Railway Package (supervision and competence management framework). Moreover, follow-up visits of some NSAs already audited will take place in order to monitor the status of implementation of the action plans developed by those NSAs to address the audit findings. In September 2021, the Agency will address a report to the Management Board in order to evaluate the performance of the NSA monitoring programme taking into consideration the return of experience to further improve the programme. This will be also used for discussing the way forward starting 2022 as regards the approach and the scope for the NSA monitoring.

In 2021 the Agency will continue to run the NoBos monitoring process by performing audits and inspections to notified conformity assessment bodies, cooperating with the national notifying authorities and national accreditation bodies, as appropriate. In 2021 the Agency will revise the technical document setting out the requirements for conformity assessment bodies seeking notification.

The Agency will continue to perform qualitative analyses of the NIB accident investigation reports in order to extract meaningful conclusions. To the extent to which the limited resources allow, the Agency will continue to take part, as observer, to the peer review activities for NIBs

› **Objective 4.3 Identifying research needs for the target rail system and supporting the partner organisations in research and innovation**

The Agency contributes to railway research activities at the Commission's request or on its own initiative. The Agency supports the Commission services, representative bodies and the Shift2Rail Joint Undertaking with railway expertise. The Agency will continue to contribute to the possible successor for the Shift2Rail programme under Horizon Europe, subject to policy making decisions on the governance of the new partnership which will define the involvement and tasks of the Agency.

› **Objective 4.4 Reporting on the Railway System**

The Agency is monitoring the progress on railway interoperability and safety. Priority in 2021 will be given to the preparation of the biennial Report on Railway Interoperability and Safety as well as the annual assessment of achievement of safety targets (CSTs assessment report).

In a multi-annual perspective, the Agency will develop the capability to provide an overview of the safety and interoperability level of the Union rail system in accordance with Article 35(6) of the Agency Regulation. As an additional value-added element it is envisaged to undertake targeted studies, ad-hoc surveys and data analyses in order to provide up-to-date reports on the railway system with particular focus on SERA monitoring data.

Activity 5 - Delivering efficient and effective services› **Objective 5.1 Ensure good corporate governance**

This activity covers overall corporate governance including: the Agency's legal and accounting activities, the internal control coordination and ethics function, the preparation, regular monitoring and reporting of the Agency's work programme, the support for the Management and Executive Board, the process-based Integrated Management System (ISO 9001:2015 certified in June 2017) supporting ERA operations while maintaining quality standards.

› **Objective 5.2 Ensuring sound management of the Agency's human and financial resources and building facilities**

The main focus of the specific objective is to ensure an effective management of the Agency's needs linked to the tasks of the Fourth Railway Package and its impact on human and financial resources and building facilities, within the limit of the allocated resources.

› **Objective 5.3 Supporting business delivery through IT-systems**

The Agency will continue to develop and maintain core business applications and infrastructures for the benefit of the Agency's stakeholders, in line with its ICT strategy. It also ensures ICT business continuity, disaster recovery, information security activities and support to users of ICT systems and services, within the limit of the allocated resources.

› **Objective 5.4 Communicating effectively through website and social media**

The Agency will revise the website deployed in the beginning of 2018, adopting the latest version of the DRUPAL Content Management Software (CMS). The current CMS version will no longer be supported by the service provider (DIGIT) as from December 2021. While this technical change will be invisible to stakeholders it will require resources. Recognising the continued evolution of communication the Agency will be extending its use of social media and online communication, building on the success of the 2020 Webinars with the clear aim of reaching a wider audience and bringing the work of the Agency and its stakeholders closer to EU citizens.

› **Objective 5.5 Ensuring efficient and effective communication (internal and corporate)**

Just as the tasks of the Agency have undergone a transformation the Agency itself is embarked on a programme of organisational culture change, fostering a collaborative and modern working environment that will underpin future success. Coupled to this and reflecting the matrix style organisation there will be a continued focus on improving internal communication and exploiting the emerging tools for collaborative work.

The Agency remains committed to success through diversity and in the 2021-2023 period will continue its active participation in the Women in Transport Platform for Change, in addition to taking concrete steps to address the gender imbalance both within the organisation and in the railway field. A core part of this work will build upon a gender audit that will identify concrete actions for the Agency.

II.2 Human and financial resources – outlook for the years 2021 - 2023

II.2.1 Financial resources

The following table displays the evolution of the expenditure and the categories of revenues, respectively, over the period 2019-2023. The numbers included for 2021 reflect the budget cut announced by the European Commission and represent 1.89 million euro less than what was requested in the SPD 2021 draft endorsed in January 2020. The Agency counts on the fact that the 2021 budget will be re-instated at the requested level and that the allocation for the rest of the MFF will be corrected accordingly. The numbers included in the table below for the years 2022 and 2023 are based on Agency's needs and expectations.

	2019		2020	2021	2022	2023
	Planned	Actual	Planned	Planned	Planned	Planned
Expenditure	27 139 347	27 669 347	30 764 883	29 589 909	35 684 946	37 469 193
EU contribution	26 500 000	27 669 347	27 560 000	25 763 160	31 027 990	32 579 390
EFTA contribution	639 347	639 347	672 283	703 999	697 576	732 454
Fees and charges	-	345 280	2 532 600	3 122 750	3 959 380	4 157 349

II.2.2 Human resources

The establishment plan is presumed to be increasing through to 2023 mainly because of the expected increase in VA, TA and SSC activities. It is expected that efficiency gains will enable the Agency to cover most but not all of the expected increase in responsibilities and tasks with the existing level of resources. In order to achieve this some staff will need to be trained and/or redeployed to take on different roles.

	2019		2020	2021	2022*	2023*
	Authorised under the EU Budget	Staff population at 31/12/2019	Authorised under the EU Budget	Request of the Agency	Agency estimates	Agency estimates
Temporary Agents (TA)	148	139	148	151	154	157
Contract Agents (CA)	38	35	36	36	36	36
Seconded National Experts (SNE)	4	0	4	4	4	4
Structural service providers	15	14	13	14	14	14
Total	205	188	201	205	208	211

* As of 2022, in order to cope with the increasing budget pressure and become more cost-efficient, the Agency is exploring the possibility to replace up to 8 FTE's of the structural service providers by contract agent posts, where this would generate a budget saving.

Note: To take into account that NSA's will not always be able to assist the Agency because of own workloads, the Agency will in addition seek to secure external assistance through a framework contract and to recruit additional contract agents the cost of which will be recovered through fees and charges.

II.2.3 Strategy for achieving efficiency gains

In a context where “*Achieving more and better with the same*” is expected by the European citizens, the Agency will implement a multi-annual Operational Excellence project with an emphasis on “Focus and Simplicity” in order:

1. To **optimize budget spending** of the Agency;
2. To **optimize time consumption** of the Agency's processes and staff;
3. To **develop the intervention logic** (as per EUAN and ECA guidelines) of the Agency as an enabler to better assess and measure the performance of the Agency.

II.2.4 Negative priorities/decrease of existing tasks

With the announcement that 2021 was the European Year of Rail, the proposed draft SPD 2021 did not include any downsizing of the Agency work. However the significant reduction of the ERA subsidy compared to what was requested for 2021 together with the delay of transposition of the 4th Railway Package has forced the Agency to review its work programme.

The measures proposed have taken into account savings the Agency might be able to make quickly, such as maintaining a high proportion of virtual meetings and a further restriction in the reimbursement of people attending Agency meetings. These measures however carry some risk that those who do not have the infrastructure for comprehensive video conferencing or the means to fund travel are disproportionately impacted. Where the Agency can support specific cases it will of course try to do so.

The delivery against priorities will be monitored, and where there are risks to delivery, a discussion on progress and mitigation will take place, including timely discussions with the Management Board.

III. Annual Work programme 2021

III.1 Executive summary

In **Activity 1**, the Agency will continue the work on the strategy for data and digitalisation following the successful implementation of the linked data pilots in 2020. The Agency will set the basis for a linked data multi-annual programme, covering the new functionalities expected for RINF, but also other potential use cases. The Agency will continue to contribute to the Smart mobility strategy as well as other policy documents relevant for the Green Deal, such as the ones related to capacity increase. The Agency will also explore the future of TSIs beyond 2022. Internally, the Agency will strive to harvest the digital potential for driving internal efficiency gains, by making best use of emerging techniques and technologies and thus potentially freeing resources for priority tasks. It will also continue the work in the field of organisational culture change, as part of the Better together @ERA project.

The basic building blocks for a deeper, harmonised understanding of the importance of a positive safety culture and human and organisational factors will be defined and tested with target stakeholders. In 2021, the Agency will also launch an EU wide survey to collect information on how individual railway staff perceive the way safety is managed.

In parallel, the ongoing activities shall be maintained for the coordination of networks and implementation of the IPA and Western Balkans-project, building on the cooperation with the Permanent Secretariat of the Transport Community, and of the EU MedRail projects.

In **Activity 2**, 2021 shall mainly be dedicated to prepare the TSIs revision package of 2022. In parallel, a strong focus shall be maintained on the assessment the national technical rules and the cleaning-up of the safety rules which are a main contributor for the achievement of the SERA. The learning from implementations of SSC, VA and ERTMS trackside approvals shall be optimised as a continuous process in order to improve the overall regulatory framework. This will also provide input for the development of support activities that will help the sector to better understand and implement the existing regulatory framework.

In **Activity 3**, the Agency will continue to issue single safety certificates, vehicle authorisations and ERTMS trackside approvals. The Agency shall maintain the One Stop Shop (OSS) and maintain the other registers according the needs with a priority towards the implementation of the Fourth Railway Package needs. In addition, the Agency will also provide support to its applicants with the services offered by its business helpdesk.

In **Activity 4**, the Agency shall continue implementing in 2021 the NSAs and NoBos monitoring schemes and maintain its activities on accident/incident analysis and NIB reporting. For the NoBo monitoring, the Agency will reflect on defining the scope and priorities based on the return of experience from the previous years. The analysis tasks linked to impact assessment of recommendations and opinions shall be maintained with a focus on the impact assessment for the transition and migration framework for the changes in the TSIs revision package. In parallel, an increased attention to ex-post assessment of legislation linked to Agency recommendations shall be put in place. Regular reporting on the railway system in terms of progress on safety and interoperability will be further developed and customised. The research activities shall continue to focus on the identification of research needs linked to the SERA needs and the management of the integration and follow-up of these needs within the relevant research programmes (mainly linked to the cooperation with Shift2Rail or its possible successor).

In **Activity 5**, the Agency will implement the necessary changes in order to continue the delivery of efficient and effective services towards its external and internal stakeholders.

The following table lists the main Key Performance Indicators (KPIs) for 2021:

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

III.2 Activities

III.2.1 Activity 1 Contributing to shaping target and global reference

Objective 1.1 Strategic development

Expected outcome	Agency's strategic planning responding to legal requirements, as well as to emerging problems and opportunities within the transport/railway sector
Outcome indicator	Fit for purpose multi-annual programmes (External stakeholders' positive assessment)
Pre-conditions for achieving the outcome	Regular coordination with the external stakeholders on the strategic agenda topics, including the EC
Progress towards outcome in 2021	Develop multi-annual roadmaps/programs for identified priority topics in line with agreed priorities
Expected resource envelope - Human resources - Financial resources	- 4.35 FTEs - 43,817 €
Fee-based	No

List of the main projects/services	Output indicator	Target for 2021
Data and digitalisation	Linked data programme proposal (including the list of specific projects which can be addressed with linked data)	Endorsed by MB Intermediate progress on the RINF functionalities
Green agenda	Agency's input for the Green deal policy documents	Provided to EC
Better together @ERA	No. of workshops organised to substantiate the findings of the survey and address quick wins in achieving the organisational culture change	Minimal 2

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

Expected outcome	Improved safety and overall performance of the railway system through positive safety culture, integration of human and organisational factors and the cultivation of a continuous learning environment.
Outcome indicator	The degree of understanding of all players in the railway system of how human and organisational factors (incl. safety culture) are influencing operational performance. Safety Culture evaluation possible from 2021 (to be published from 2024 onwards based on developed methodology)
Pre-conditions for achieving the outcome	Cooperation of the railway sector (EC, national authorities, duty holders, RFCs etc.)
Progress towards outcome in 2021	An increased understanding of HOF, safety culture and organisational learning, as well as the development of practical tools that help to support their integration – including a CSM on safety levels/ safety performance.
Expected resource envelope - Human resources - Financial resources	- 4.13 FTEs - 66,839€
Fee-based	No

List of the main projects/services	Output indicator	Target for 2021
Develop safety culture	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
Develop of safety culture	Organisational Just Culture: training module / workshop	developed and tested
Develop of safety culture	Series of guides on safety culture	1 additional guide available
Integrate Human and Organisational Factors (HOF)	Automation myth busting - series	2 publications available
Integrate Human and Organisational Factors (HOF)	HOF in accident investigation: training module / workshop HOF in SMS: training module / workshop	Finalised Developed and tested
Integrate Human and Organisational Factors (HOF)	HOF toolkit (supporting operators to integrate HOF in change projects)	Developed and tested
Learning from safety performance	Investigating SMS: training module / workshop	Developed and tested

Objective 1.3 Strengthening international cooperation in rail

Expected outcome	Effective EU railway framework Strengthen the EU railway framework as the global reference Continued engagement and coordination with the stakeholders Promotion of European experiences to and establishment of administrative arrangements with 3 rd parties
Outcome indicator	EU railway framework effectiveness Number of Member States outside EU implementing (partially or totally) the EU railway framework
Pre-conditions for achieving the outcome	Readiness to cooperate internationally Agreement with EC on the relevant roadmaps
Progress towards outcome in 2021	Continuation of work together with ERA – OSJD contact group and exploring potential under renewed MoU Support to EC in the scope of the 2020 signed AdAr with OTIF
Expected resource envelope - Human resources - Financial resources	- 1.90 FTEs - 62 907€
Fee-based	No

List of the main projects/services	Output indicator	Target for 2021
Coordination of international relations	Implementation of multi-annual project plan including: › Collaboration with OSJD, OTIF › Engagement with other international regulation bodies (Platform of regulators) › Support to EC in wider international engagement	Ensured (as far as no travel is required)
Networks	› NSA Network › NRB management and coordination › NIB cooperation	Organised
COVID-19 platform	› Guidelines, analyses, advice	Prepared depending on the need
	› Facilitation between relevant stakeholders	Ensured

Objective 1.4 Implementing the EU MedRail project

Expected outcome	Technical Assistance in railways with a view on further developing an integrated, safe and efficient transport system in the South Mediterranean Region. Support the implementation of the Regional Transport Action Plan actions related to rail transport, by promoting convergence with EU and international standards, facilitating interoperability, and increasing beneficiaries' participation in the activities of ERA
Outcome indicator	Awareness on the EU regulatory framework Exchange of best practices Implementation of the EU approach in the railway system
Pre-conditions for achieving the outcome	Readiness to cooperate internationally Available resources at EU side
Progress towards outcome in 2021	In accordance to the grant agreement for 2021
Expected resource envelope	
- Human resources	- 3 FTEs
- Financial resources	- Grants agreement
Fee-based	No

List of the main projects/services	Output indicator	Target for 2021
Workshops and technical visits	No. of national workshops involving one beneficiary	3
	No. of regional workshops involving more than one beneficiary	3
	EUMEDRAIL annual conference	1
Traineeship arrangements for experts of the region	No. of trainees from the beneficiaries at the Agency	3
	Proportion of beneficiaries represented	100%
Experts participation to meetings organized by the Agency Support to Cooperation with DG NEAR / UfM	No. of meetings/events organized by the Agency, where the experts from the region attend	6
	No. of UfM working group meetings attended	2
Experts participation to meetings organized by the Agency	Evaluation of UfM documents related to rail transport	1

Objective 1.5 Implementing the IPA and Western Balkans-project

Expected outcome	Strengthening the regional cooperation between beneficiaries and their ability to fulfil the (future) obligations, deriving from the EU railway regulatory framework. Support rail sector reforms to enable the integration of the beneficiaries' railways systems into the Single European Railway Area.
Outcome indicator	<ul style="list-style-type: none"> › Increase awareness, understanding and implementation capacity in relation to the EU railway regulatory framework › Reduction of national rules and cross-border arrangement harmonisation › Create the right culture and environment within the national administration to set up bodies required by the EU legislation.
Pre-conditions for achieving the outcome	Commitment of beneficiaries to cooperate and participate Beneficiaries' government support and commitment. Security environment in beneficiaries allowing smooth organization of events.
Progress towards outcome in 2021	In accordance with the grant agreement for 2020-2022
Expected resource envelope	
- Human resources	- 1 FTE
- Financial resources	- Grant agreement
Fee-based	No

List of the main projects/services	Output indicator	Target for 2021
Dissemination packages including an overview of the legislation	Prepared	Yes
	Delivered	1
Training course on Risk Management	Prepared	Yes
	Delivered	1
Training course on Safety Management System	Prepared	Yes
	Delivered	1
E-learning	Deployed	Yes
Trainees	Hosted	Yes
Technical support for analysis of national rules	Satisfied requests	100%
Participation of IPA reps to NSA network meetings and NIB plenaries	No. of reps invited	7 per year
Participation of IPA professionals to NSA Monitoring and NIB peer-review	No. of reps invited	7 per year
IPA Project management	Project documentation	Issued
	Interim reports to EC	Issued

III.2.2 Activity 2 Developing the harmonised regulatory SERA technical framework

Objective 2.1 Harmonised Railway Operations and Management Systems

Expected outcome	Improved operational safety and overall operational performance of the railway system through the management of major railway operational risks
Outcome indicator	Degree of harmonisation of railway operations and management systems throughout Europe Transparency, availability and coherence of national (operational) rules with the EU framework
Pre-conditions for achieving the outcome	Cooperation of the railway sector (EC, national authorities, duty holders, etc.)
Progress towards outcome in 2021	Improved understanding and implementation of SMS and risk management, progress in removing operational barriers (harmonisation of operational rules in Annex A of OPE TSI, development of acceptable means of compliance (as requested in Regulation (EU) 2019/775 (OPE TSI)[2]) and based on deliverables from projects under Project Support Action in the field of "Technical Operational Issues Log Book"), follow up on risk management for transport of dangerous goods
Expected resource envelope - Human resources - Financial resources	- 7.55 FTEs - 59,384€
Fee-based	No

List of the main projects/services	Output indicator	Target for 2021
Harmonising railway operations	Cleaned up NSR	80% of Member States have accepted transfer to SRD (incl. related removal of NSR)
Harmonising railway operations	Acceptable means of compliance (as requested in Regulation (EU) 2019/775 (OPE TSI)	By working party proposed AMOCs are approved
Harmonising railway operations	harmonisation of operational rules in Annex A of OPE TSI	Integrated in revision of TSI OPE
Sustainable safety management	SMS guidance	Updated, taking into account feedback from SSC activities

Sustainable safety management	Risk analysis and safe integration: training module / workshop	Developed and tested
Sustainable safety management	Cooperations of assessment (RA) and certification bodies (ECM)	Agreed number of technical and cooperation meetings organised
Sustainable safety management - TDG	EUDG,	2 meetings organised
Sustainable safety management - TDG	development of Risk Management platform	Prototype finalised and accessible Platform for collaborative development set up
Learning from safety performance – CSM ASLP	Common Safety Method (CSM) on Assessment of Safety Level and Safety Performance	Final recommendation after consultation sent
Learning from safety performance – CSM ASLP	Business requirements for the information sharing system (ISS)	Finalised
Learning from safety performance – CSM ASLP	Group of Analysts	Launch meeting organised and work started

Objective 2.2 Harmonised technical specifications (fixed installations and vehicles)

Expected outcome	Removing technical barriers and opening the market for railway products through a Single European Railway Area
Outcome indicator	Evolution of the no. of applicable national technical rules (NTRs) No. of vehicles compliant with TSIs Trackside infrastructure conforming to TSIs (via RINF)
Pre-conditions for achieving the outcome	Cooperation from MSs on cleaning up NTRs and support from EC
Progress towards outcome in 2021	Deliver the TSI revision package 2022 based on the EC request that includes digitalization, clean freight, remove most impacting remaining barriers and regular maintenance. Initiate the Classification of National Rules for vehicles authorization and assessment of National Rules for fixed installations. Continued support to Joint Network Secretariat
Expected resource envelope - Human resources - Financial resources	- 9.85 FTEs - 67,342€
Fee-based	No

List of the main projects/services	Output indicator	Target for 2021
Area 1: TSIs revision package	Delivery of Agency's recommendation	End 2021
Area 2: National Technical Rules management	Agency internal procedure on VA NRs management applied	100% of the files respecting the deadlines of the procedure and without non-conformity
	Assessment on NRs for Fixed Installations	100% of the assessment delivered on time
Area 2: Joint Network Secretariat	Agency support provided to JNS procedures (urgent/normal)	100% of the NS procedures supported by Agency in a timely manner

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

Expected outcome	Contribute to the EU harmonised implementation of train control systems and telematics, as part of the digitalisation agenda for railways: <ul style="list-style-type: none"> › Coherent deployment of the ERTMS and Automatic Train Operation over ETCS (GoA2) to increase savings in implementation cost using modular architecture, reducing VA activities by using modular safety functions; operation cost and the environmental footprint. › Integrated ticketing and multi-modal travel information and reservation systems. › Exchange of wagons, combined or multi-modal transport, the development of the rail freight corridors, taking into account the evolution of technological elements, and innovation programs.
Outcome indicator	Maturity of ERTMS specifications Telematics TSI functions implemented in accordance to the Masterplan
Pre-conditions for achieving the outcome	<ul style="list-style-type: none"> › Usable and timely deliverables from external sources, such as: S2R; ETSI, UIC, EUG, CEN/CENELEC, CEPT... › Coordination between the different activities of the internal and external workgroups. › Definition of ESC/RSC delivered by IMs through RINF; › Effective collaboration with the TAP Governance body to accelerate the implementation of the TAP TSI.
Progress towards outcome in 2021	Progressive consensus on Radio Communication and ETCS evolution, proposal for a modular CCS architecture, integration of the ATO GoA2 function and interface with the rolling stock. Manage TAF/TAP TSIs evolution
Expected resource envelope <ul style="list-style-type: none"> - Human resources - Financial resources 	<ul style="list-style-type: none"> - 11.34 FTEs - 79,397€
Fee-based	No, except for the issuing of advice on ERTMS compatibility (art 30 of Agency Regulation)

List of the main projects/services	Output indicator	Target for 2021
Manage Radio Communication evolution	TSI CCS 2022 recommendation with focus on ETCS readiness for FRMCS integration;	End 2021

Manage ERTMS long term evolution	TSI CCS 2022 recommendation with focus on transition and migration requirements for ERTMS long term evolution and including Annex A specifications (with integration of CRs from the error corrections within the last Art. 10 technical opinions and with integration of mature enhancements mainly linked to ERTMS Game Changers such as ATO GoA1/2 or linked to on-board modular specifications)	End 2021
	CCS Principles System Framework: updated program/project plan linked to the delivery of the CCS Principles Framework in alignment with the Shift2Rail2-framework	End 2021
National ERTMS Technical Rules management	Agency internal procedure on NRs management applied	95% of the files respecting the deadlines of the procedure and without non-conformity
Manage the evolution of Telematics application for passengers (TAP TSI)	Change requests included in TAP technical appendices, according to the CCM process ERSAD operational	Q3
Manage the evolution of Telematics application for freight (TAF TSI)	Revision of TAF TSI	End 2021
	Change requests included in TAF technical appendices, according to the CCM process	Q3

Objective 2.4 Disseminating and Training to support implementation of the EU framework

Expected outcome	<p>The main outcome of this objective is to support the harmonized implementation of the EU framework and to strengthen capability through dissemination and training activities.</p> <p>This is done by:</p> <ul style="list-style-type: none"> › Delivering dissemination activities with the stakeholders, under art 39 of the Agency Regulation › Creating a training service provider working under conditions set out in Art. 43 of the Agency Regulation › Delivering events that support knowledge sharing, in close cooperation with the NSA' s as key players for knowledge sharing and support for EU legal frameworks implementation <p>The Agency has set up the ERA Academy service to deliver the activities above.</p> <p>Dissemination (Art.39) is provided free of charge and consists of high-level events to raise awareness and explain the basic requirements.</p> <p>Training involves a more detailed event on specific topics that allows more time to go into greater depth and to allow the attendees to apply the principles in practice in their own setting. Training activities will be carried in the spirit of cooperation, not competition and 7 in accordance to Art.43 of the Agency Regulation and the relevant MB decisions.</p>
Outcome indicator	<p>Positive overall feedback from the audience/participants per initiative</p> <p>Decreasing number of issues identified in the monitoring activities based on improved knowledge e.g. implementation of CSMs, TSIs, etc.</p>
Pre-conditions for achieving the outcome	Availability of specific expertise and budget
Progress towards outcome in 2021	<p>Increase the involvement of the stakeholders in dissemination (e.g. asking also to other bodies than NSAs)</p> <p>Increasing the offer in the training catalogue</p> <p>Maintenance and improvement of the e-learning tool for the ERA Academy</p>
Expected resource envelope	<ul style="list-style-type: none"> - Human resources - Financial resources <ul style="list-style-type: none"> - 5.96 FTEs - 566,325€
Fee-based	The nature and extent of the fee based will be defined in accordance with Art. 43 of the Agency Regulation and the relevant MB decisions.

List of the main projects/services	Output indicator	Target for 2021
Training courses	No. of resources committed to training courses	Not to exceed 2 FTEs
	Positive overall feedback from the audience/participants per initiative	70%
Dissemination	No. of resources committed to dissemination activities	Up to 1,5 FTEs
	Positive overall feedback from the audience/participants per initiative	70%
Events	No. of events (co)organised and/or delivered	4: IRSC, ERTMS 2021, Rail Safety Days, SIFER
	Positive overall feedback from the audience/participants per initiative	70%
Pool of experts training courses	No. of PoE training courses delivered	2
	No. of PoE follow-up sessions delivered	2
	Positive overall feedback from the audience/participants per initiative	70%

III.2.3 Activity 3 Implementing the harmonised regulatory SERA technical framework (under 4 RP)

Objective 3.1 Support to the Fourth Railway Package implementation

Expected outcome	Optimized processes to deliver SSC, VA and ERTMS Trackside approval and maintenance of the OSS
Outcome indicator	Time to propose and communicate the solution for all major changes affecting the quality of an outcome of a process or a procedure managed by the Planning and Approvals Delivery Unit in the Agency (target 2 months) Availability of releases addressing significant bugs (target every 3 months)
Pre-conditions for achieving the outcome	None
Progress towards outcome in 2021	Effective CCM procedure on processes, procedures and tools for achieving the expected outcome.
Expected resource envelope	<ul style="list-style-type: none"> - Human resources - 15.20 FTEs - Financial resources - 693,632€
Fee-based	No

List of the main projects/services	Output indicator	Target for 2021
Revision of SSC guides and procedures	Proportion of major problems detected during operation, for which solutions are proposed in the relevant document	95%
Revision of VA guides and procedures	Proportion of major problems detected during operation, for which solutions are proposed in the relevant document	95%
Revision ERTMS Trackside approval guide and procedures (including the follow up of funded projects)	Proportion of major problems assessed with a decision following the change control process	95%
OSS releases	Proportion of significant problems detected during operation for which solutions are available in a next release.	95%
Business helpdesk SSC/VA/ERTMS Trackside	Proportion of the requests on the Agency scope of work addressed to the business helpdesk answered within 10 working days	90%

Objective 3.2 Issuing Single Safety Certificates

Expected outcome	Reduced costs (time spent) for issuing Single Safety Certificates compared with the baseline established with the start of the 4 th Railway Package Low rate of reviewed decisions. Very low rate of decisions brought to the Board of Appeal.
Outcome indicator	5 % of cost reduction. Less than 5 % all decisions reviewed upon applicant request for review. Less than 1 % of the decisions brought to the Board of Appeal.
Pre-conditions for achieving the outcome	<ul style="list-style-type: none"> › Timely implementation by MS. › Same trend in time and cost reduction from the NSAs participating in the assessments. › Effective cooperation agreements. › Availability of SSC expertise.
Progress towards outcome in 2021	Baselines for the expected outcomes need first to be established until the end of 2021, therefore the monitoring of the outcomes can only happen afterwards. Most of the progress towards outcomes will be visible from 2022.
Expected resource envelope <ul style="list-style-type: none"> - Human resources - Financial resources 	5.54 FTEs covered by the Agency's staff Note: Demand in excess of this number will be covered by external support (Pools of experts, contracted staff) Fees and charges
Fee-based	Entirely

List of the main projects/services	Output indicator	Target for 2021
Issuing Single Safety Certificates	Proportion of decisions taken according to the legal framework deadlines(for completeness and assessment phases)	100%

Objective 3.3 Issuing Vehicle Authorisation, including ERTMS on-board assessments

Expected outcome	Reduced costs (time spent) for issuing vehicle (type) authorization compared with the baseline established with the start of the 4 th Railway Package. Low rate of reviewed decisions. Very low rate of decisions brought to the Board of Appeal. Reduced time for authorization in conformity to type
Outcome indicator	5 % of cost reduction. Less than 5 % of all decisions reviewed upon applicant request for review. Less than 1 % of the decisions brought to the Board of Appeal. 95% of the authorization in conformity to type in less than one week
Pre-conditions for achieving the outcome	<ul style="list-style-type: none"> › Timely implementation by MS. › Same trend in time and cost reduction from the NSAs participating in the assessments. › Effective cooperation agreements. › Availability of VA expertise.
Progress towards outcome in 2021	Baselines for the expected outcomes need first to be established until the end of 2021, therefore the monitoring of the outcomes can only happen afterwards. Most of the progress towards outcomes will be visible from 2022.
Expected resource envelope <ul style="list-style-type: none"> - Human resources - Financial resources 	15.39 FTEs Note: Demand in excess of this number will be covered by external support (Pools of experts, contracted staff) Fees and charges
Fee-based	Entirely

List of the main projects/services	Output indicator	Target for 2021
Issuing Vehicle Authorisation, including ERTMS on-board assessments	Proportion of decisions taken according to the legal framework deadlines (for completeness and assessment phases)	100%

Objective 3.4 Issuing ERTMS trackside approvals

Expected outcome	Reduction of interoperability issues in ERTMS trackside projects Very low rate of decisions brought to the Board of Appeal.
Outcome indicator	Continuous reduction of interoperability issues in ERTMS trackside projects. Less than 1 % of the decisions brought to the Board of Appeal.
Pre-conditions for achieving the outcome	Timely implementation by MS. Availability of technical experts. Tendering process not closed before 15 th of June 2019
Progress towards outcome in 2021	Baselines for the expected outcomes need first to be established until the end of 2021, therefore the monitoring of the outcomes can only happen afterwards. Most of the progress towards outcomes will be visible from 2022.
Expected resource envelope - Human resources - Financial resources	2.35 FTEs Note: Demand in excess of this number will be covered by external support (Pools of experts, contracted staff) Fees and charges
Fee-based	Entirely

List of the main projects/services	Output indicator	Target for 2021
Issuing Approvals	Proportion of decisions taken according to the legal framework deadlines (for completeness and assessment phases)	100%

Objective 3.5 Railway System Data

Expected outcome	Provide timely and quality data for identified use cases (internal and external) e.g. to facilitate route compatibility checks, authorization processes, planning and operational purposes, sharing of railway licenses' information and to support monitoring the implementation of SERA.
Outcome indicator	Fulfilment of use cases by registers and databases Usability of the Agency's IT tools for registers and databases Data completeness in Agency's registers and databases
Pre-conditions for achieving the outcome	Business part: Clear definition of users' needs based on stakeholders' expectations and feedback IT part: Availability of IT expertise Data: Good level of quality for the data inputs from external stakeholders
Progress towards outcome in 2021	Maintenance and minor incremental development of registers
Expected resource envelope - Human resources - Financial resources	- 8.15 FTEs - 286,250 €
Fee-based	No

List of the main projects/services	Output indicator	Target for 2021
ERADIS ¹ (maintenance and operation)	% of user support requests allocated to the Registers team answered on time	90%
	% System availability (covering maintenance, bug fixes and	98%

¹ ERADIS is used, inter alia, to publish the 'EC' certificates of verification of subsystems, the 'EC' certificates of conformity of interoperability constituents and verification of subsystems and the 'EC' certificates of suitability for use of interoperability constituents provided by the NoBos to the Agency in accordance with Article 42 of Directive 2016/797.

	patches and their analysis and testing)	
	% of submitted ERADIS documents assigned to the Registers team managed:	95% ²
	No of workshops/ trainings organized for ERADIS users from NSA staff and NoBos if needed	Maximum 2, depending of the needs expressed by the stakeholders
SRD (development, maintenance and operation)	Continuation of the migration of the national safety rules not already imported in SRD.	Ongoing until December
	Development of the functionalities of SRD that will enable the notification of fixed installation rules templates to SRD	100% by December
	% System availability (ensured by maintenance, bug fixes and patches and their analysis and testing)	85%
RDD (maintenance and operation)	% System availability (ensured by maintenance, bug fixes and patches and their analysis and testing)	98%
ERATV (maintenance and operation)	% System availability(ensured by maintenance, bug fixes and patches and their analysis and testing)	98%
	% of submitted new types published	85%
RINF (development, maintenance and operation)	Data model, data structures, and technical specifications of new RINF application finalized	November 2021 (allowing the start of future development of New RINF in 2022, depending on resources availability)
	% of user support requests answered on time	90%
	% System availability(ensured by maintenance, bug fixes and patches and their analysis and testing)	98%

² This target may be reviewed, based on the amount of documents actually submitted.

VKMR (operation)	% VKM published	100%
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 Member States] to EVR	June 2021
	% system availability(ensured by maintenance, bug fixes and patches and their analysis and testing)	Minimum 90%, depending on the usage of the system, 98% since it will be in operation
Organisation's codes development	Final version of Organisation Codes in operation	June 2021
	% of user support requests answered on time	90%
	% System availability (ensured by-maintenance, bug fixes and patches and their analysis and testing)	98%

III.2.4 Activity 4 Monitoring, evaluating and reporting

Objective 4.1 Collect and analyse evidence for decision making

Expected outcome	Support decision making with better evidence and knowledge
Outcome indicator	Proportion of Agency's project portfolio for which relevant, coherent and clear evidence is available
Pre-conditions for achieving the outcome	Reliable, consistent and comprehensive (by country / stakeholder) data for decision-making including IAs, ex-post evaluation and other pertinent analyses. Integrated data management (reference and master data, data quality, data warehousing and business intelligence).
Progress towards outcome in 2021	In accordance with Article 8(1) of the Agency Regulation it will be ensured that all RECs and OPIs issued in 2021 are accompanied by impact assessments, thereby supporting evidence-based decision-making. In particular, top priority will be given to the timely delivery of the impact assessment undertaken as part of the 2022 TSI revision package. Economic Steering Group Task Forces will examine in-depth evidence on the outcomes of the various objectives (topics) from the Agency's work programme. In particular, one ESG Task Force will be organised in 2021. In addition, in line with the Agency Regulation (Article 8(3)), particular ex-post assessments of legislation based on Agency recommendations will be completed in order to determine any potential for optimisation. It is planned that at least one ex-post assessment will be completed in 2021.
Expected resource envelope - Human resources - Financial resources	- 1.42 FTEs - 9,358€
Fee-based	No

List of the main projects/services	Output indicator	Target for 2021
Impact assessments for recommendations and opinions	% of issued recommendations and opinions accompanied by an impact assessment	100%
Ex post assessment for selected topics	Number of completed ex-post evaluations	At least one, depending on availability of resources

Economic Steering Group and task forces	Task Force Report endorsed by ESG	Report delivered to the ESG by December
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Objective 4.2 Monitoring

Expected outcome	Contribute to improving overall EU safety and interoperability by increasing quality of and the trust in the work performed by NSAs, NIBs, NoBos and recognised assessment bodies for an effective and efficient implementation of the 4RP provisions.
Outcome indicator	Perception of stakeholders (baseline for 2019 and progress report in 3-5 years' time).
Pre-conditions for achieving the outcome	<ul style="list-style-type: none"> › audit team will have to follow trainings on audits on management systems › timely access to NIB reports › NSA, NoBos, AsBos commitment and availability
Progress towards outcome in 2021	<p>2021 will see the end of the first cycle of the NSA monitoring with a report to the management board in September 2021. This report will establish the next steps for the improvements of the NSA monitoring in the following years.</p> <p>NoBos Monitoring will be continued according to the scheme in force. For the NoBo monitoring, the Agency will reflect on defining the scope and priorities based on the return of experience from the previous years. At the same time the technical document setting out the requirements for conformity assessment bodies seeking notification will be revised.</p>
Expected resource envelope	<ul style="list-style-type: none"> - 10.74 FTEs - 203,782 €
Fee-based	No

List of the main projects/services	Output indicator	Target for 2021
NSA Annual Safety report analysis	Qualitative analysis of NSA Annual Safety reports to be presented to the NSA I at the Workshop or delivered if the workshop is not possible	1 summary analysis presented at the workshop or delivered to NSAs in case of impossibility to hold the workshop.
NSA monitoring	No. of audit reports sent to NSA for comments after the onsite visit No. of follow – up audits Report to the ERA Management Board	At least 5 At least 1 1 report by September

Support the NIB Peer review system	ERA to attend as observer, at least remotely, to the meetings of NIB Peer Reviewed	Attend to, at least, 50% of NIBs peer review meetings
Review of NIB accident investigation reports	Qualitative analysis of NIB accident investigation reports.	One draft summary analysis delivered (publication in Q1 2022)
NoBos monitoring	No. of reports for NoBos audit/inspection sent to NoBos for comments after the onsite visit. Revision of the ERA technical document	At least 4 reports, depending on resources availability Draft revised version by Q4

Objective 4.3 Identifying research needs for the Target Rail System and supporting partner organisations in research and innovation

Expected outcome	Influence EU research and innovation programmes / projects to support the policies and framework of a SERA
Outcome indicator	SERA needs addressed by EU research and innovation programmes /projects (closure of open points, projects outputs incorporated in EU regulatory texts)
Pre-conditions for achieving the outcome	<ul style="list-style-type: none"> › ERA role & responsibilities well defined in relevant legislation (e.g. Possible successor of Shift2Rail) › Visibility of the Research Steering Group activities in the Agency › Steady coordination with all stakeholders EC, ERRAC, GRB and S2R
Progress towards outcome in 2021	SERA needs taken into account in 2021 in the influenced research and innovation programmes / projects ERA contribution to the successor of S2R formulated and communicated.
Expected resource envelope <ul style="list-style-type: none"> - Human resources - Financial resources 	<ul style="list-style-type: none"> - 2.24 FTEs - 11,663 €
Fee-based	No

List of the main projects/services supporting the objective	Output indicator	Target for 2021
Technological Watch	<ul style="list-style-type: none"> › Available Shift2Rail projects (ERA level of interest 2 to 3) ' deliverables uploaded onto the Tech Watch library › Internal communication sessions organized to raise awareness 	<ul style="list-style-type: none"> › 100% of available deliverables uploaded onto the Tech Watch library › 2 internal communication sessions organised
Support to S2R as requested by the S2R regulation Cooperation with other bodies on research	<ul style="list-style-type: none"> › Research projects of interest for ERA identified, followed and monitored. Feedback provided to S2R. › ERA 2022 needs for research identified and communicated. 	<ul style="list-style-type: none"> › 100% of S2R projects analysed and projects of interest for ERA identified › at least 30% of projects of interest for ERA monitored, depending on available resources › ERA 2022 needs for research fed in time to the relevant EU bodies (ERRAC, S2R, EC)

Objective 4.4 Reporting on the Railway System

Expected outcome	Transparency on the progress towards the achievement of the SERA framework (progress with safety, interoperability and efficiency of the Union railway system) in order to identify the need for value-added measures
Outcome indicator	Number of internal and external users of Agency datasets and reports on the railway system
Pre-conditions for achieving the outcome	Availability and access to relevant / harmonized data (internal and external), incl. IT tools, where needed Availability of relevant IT-tools for data analysis and visual display (e.g. SPSS, GIS etc.)
Progress towards outcome in 2021	Emphasis in 2021 will be placed on the preparation of the next biennial Report on Railway Safety and Interoperability and on the annual assessment of achievement of safety targets. Furthermore, the Agency will develop the capability to provide an overview of the safety and interoperability level of the Union rail system in accordance with Article 35(6) of the Agency Regulation. In addition, support to the EC for its report on the implementation of the Interoperability Directive will be provided (report to be published by June 2022). As an additional value-added element it is envisaged to undertake targeted studies, ad-hoc surveys and data analyses in order to provide up-to-date reports on the railway system with particular focus on SERA monitoring data
Expected resource envelope - Human resources - Financial resources	- 1.30 FTEs - 5,714 €
Fee-based	No

List of the main projects/services	Output indicator	Target for 2021
Report on progress with safety and interoperability in SERA (AR, Art. 35(4))	Annual overview for safety	Available by March
Annual assessment of achievement of safety targets (CSTs assessment report) SAD (Art.7) on the basis of gathered CSIs + support to Eurostat	Annual assessment report on achievements of CSTs	31/03/2021

III.2.5 Activity 5 Delivering efficient and effective services

Objective 5.1 Ensure good corporate governance

Expected outcome	Legal and quality compliance Consistent application of the principles of effectiveness and efficiency in the Agency's corporate governance, based on a strategy of efficiency gains and synergies Agency compliant with the management standards based on quality management standard ISO 9001:2015 and the Internal Control Framework
Outcome indicator	Degree of compliance to the legal and quality requirements Effectiveness and efficiency gains for the Agency Effective EB and MB organisation
Pre-conditions for achieving the outcome	Cultural change towards a greater emphasis on effectiveness and efficiency gains with explicit efficiency targets
Progress towards outcome in 2021	Legal and quality compliance Delivering on effectiveness and efficiency gains in the Agency
Expected resource envelope - Human resources - Financial resources	- 16.54 FTEs - 80,174€
Fee-based	No

List of the main projects/services	Output indicator	Target for 2021
Issuing and updating SPD and AAR	SPD 2022	Adopted by MB
	AAR 2020	Adopted by MB
Efficiency programme	Efficiency programme (scope and action plan)	Published
Supporting EB and MB meetings	% of mandatory decision topics for 2021 covered by the EB/MB meetings	100%
ICC and ethics services	% of nonconformities identified for which corrective/preventive actions are established	100%
	Agency' most significant risks identified and assessed. Remedial actions plans	Documented and reported in AAR
	% of Agency staff trained on antifraud and ethics	at least 25%
	% of annual declarations of interest of staff submitted	100%

Legal support	% of legal acts issued by the Agency, as defined by the Agency regulation, for which legal advice was provided	100%
Accounting	Opinion in the CoA annual report on reliable Agency accounts	Positive
Integrated Management System	Rate of closing pre-2020 audits findings	100%
	ISO 9001 certification	ISO 9001 certificate maintained
Management, control and support of Agency's portfolio of projects and services	Monthly reports for Agency's projects and services	100% of project and service reports collected and analysed

Objective 5.2 Ensuring sound management of the Agency's human and financial resources and building facilities

Expected outcome	Ensure effective and efficient functioning of the Agency through sound management of human resources, budget and building facilities; establishing and maintaining a modern working environment
Outcome indicator	No business disruptions (related to IT systems for finance, staff and building availability) jeopardizing the fulfilment of the critical functions of the Agency All activities foreseen in the SPD and in particular those linked to the 4RP are effectively implemented Budget used for the intended purpose, respecting the sound financial management principle. Budget discharge granted Increase digital and paperless processes in the administrative area (financial/HR)
Pre-conditions for achieving the outcome	Stability of EC IT tools and possibility for customization Availability of resources
Progress towards outcome in 2021	Progress with paperless processes Continuous support in terms of HR, budget and building facilities, especially considering the forecasted increase of the 4 th Railway Package activities Migration to SYSPER II Migration to ARES
Expected resource envelope - Human resources - Financial resources	- 25.40 FTEs - 1,409,200 €
Fee-based	No

List of the main projects/services	Output indicator	Target for 2021
Selection, Engagement, Learning and Development	% implementation of the establishment plan	98%
	% of staff turnover	≤ 5%
Annual budget execution	% of the annual appropriations committed	98 %
	% of carry-over of payment appropriations	<10% for T1, <20% for T2 and <30% for T3
	% of execution of C8 payment appropriations	95 %
	% payments made by contractual deadline	>95%

Objective 5.3 Supporting business delivery through IT systems

Expected outcome	<p>Implement the ICT strategy</p> <p>Information security compliance</p> <p>Use cloud computing services, aiming at exploiting standard functionality and infrastructure, embedding manageability and security, improving reliability of data and applying greater automation of the build and run processes, in terms of agility and cost optimization benefits.</p> <p>Meet common business needs through shared solutions available amongst the EUIs.</p> <p>Vendor independence to widen the choice of solutions, interoperability, reduce total cost of ownership, business continuity.</p> <p>Provide staff members with up-to-date technical equipment</p>
Outcome indicator	<p>Availability of ICT core services: 98%</p> <p>70 % of users satisfied with the quality of service desk response in "Very Good/Excellent" rate</p>
Pre-conditions for achieving the outcome	Availability of resources
Progress towards outcome in 2021	<p>Inventory of information assets</p> <p>Increased security levels</p> <p>Cloud strategy assessment for business applications</p> <p>Cloud migration for Exchange and SharePoint online</p>
<p>Expected resource envelope</p> <ul style="list-style-type: none"> - Human resources - Financial resources 	<ul style="list-style-type: none"> - 9 FTEs - 2.047.538 €
Fee-based	No

List of the main projects/services	Output indicator	Target for 2021
Workplace modernisation	No of current paper based process becoming fully digital	At least 1
Disaster Recovery	Mean elapsed time to restore applications at the alternate site	6 working hours
Support stakeholders	% of users satisfied with the quality of IT service delivery in "Very Good/Excellent" rate.	70%
ICT infra management and maintenance	Availability of the core ICT systems	Min 98%
Extranet and intranet management and maintenance	Availability of Extranet is 98%	98%

List of the main projects/services	Output indicator	Target for 2021
Office automation tools and ERP licensing, consultancy and support	EU tools and off-the-shelf software	Made available
Telecom services	Fixed and mobile telephony, internet, Testa access	Made available
Audio-visual management and maintenance	Audio-visual equipment	Made available

Objective 5.4 Communicating effectively through website and social media

Expected outcome	To have a service framework in place in order to make sure that online and social communication is technically correct, targeted and delivered timely
Outcome indicator	Service framework is maintained and updated. Website is available and fit for purpose. Social media accounts are maintained and updated.
Pre-conditions for achieving the outcome	Resources, content and qualified staff
Progress towards outcome in 2021	Maintain and improve website: - Revamping of the website; - Integration of the ERA academy learning system;
Expected resource envelope - Human resources - Financial resources	- 2.55 FTEs - 147,682€
Fee-based	No

List of the main projects/services supporting the objective	Output indicator	Target for 2021
Revamping of website	Technical specifications and functional requirements including the integration of the ERA academy learning system	Approved by end of 2021
Website/online	Website availability	> 97% (excluding maintenance)
	% of internal accepted change requests for the website implemented	100%
	Twitter number of followers	At least 5% more than previous year
	LinkedIn presence	2 posts per month
	LinkedIn number of followers	At least 5% more than previous year

Objective 5.5 Ensuring efficient and effective communication (internal and corporate)

Expected outcome	<p>Boosting the reputation of the Agency by building trust among stakeholders and acting professionally. Establish the image of ERA as European authority, which efficiently performs the new tasks set out under the Fourth Railway Package. This is supported by media campaigns, publications, press work, and delivery of key events, which all contribute to achieving the strategic objectives of the Agency.</p> <p>Initiate campaigns that give a voice to the sector, and support its modernization and transformation – including the Women in Transport project that will have a particular positive impact on the Agency reputation.</p>
Outcome indicator	<p>Increase visibility</p> <p>Reputation Management</p> <p>Stakeholder feedback</p> <p>Internal Communications</p> <p>Processes established</p> <p>Strategy updated</p>
Pre-conditions for achieving the outcome	Access to technical, human and financial resources to deliver the relevant activities
Progress towards outcome in 2021	<p>Maintenance and improvement of a crisis management process</p> <p>Publications</p> <p>Women in transport project</p> <p>Communication plan</p> <p>Events, including webinars, in particular events and initiatives in the context of the year of rail in 2021 with the aim to promote rail interoperability as a way to decarbonise the European transport system, as well as rail safety and security, to advertise the Agency's enhanced mandate to issue single safety certificates and vehicle authorisations and to ensure an interoperable European Rail Traffic Management System (ERTMS).</p> <p>Communication services (advice, support and delivery) for all other SPD activities on-demand.</p>
<p>Expected resource envelope</p> <ul style="list-style-type: none"> - Human resources - Financial resources 	<ul style="list-style-type: none"> - 2.05 FTEs - 30,049€
Fee-based	

List of the main projects/services supporting the objective	Output indicator	Target for 2021
Crisis and reputation management	Reputational damages resulting in written complaints from the stakeholders	None
	Reputational damages resulting in legal actions against the Agency	None
	Training staff	Delivered
Women in transport	Scholarship awarded Implementation of the gender audit action plan	Achieved Ongoing
Publication management	% of planned publications delivered	100%
Event and webinar management	No. of events delivered with positive feedback from the stakeholders	3
	% of events with overall positive feedback	100%
Internal communication lifecycle	Survey on quality of internal communication	Delivered
	Action plan	Defined
Provisions, strategy and plans for an effective and efficient communication	Communication plan	Drafted and approved
Deliver on-demand communication services supporting and promoting all other SPD activities	Communication plan of each project/service	On-time high-quality delivery

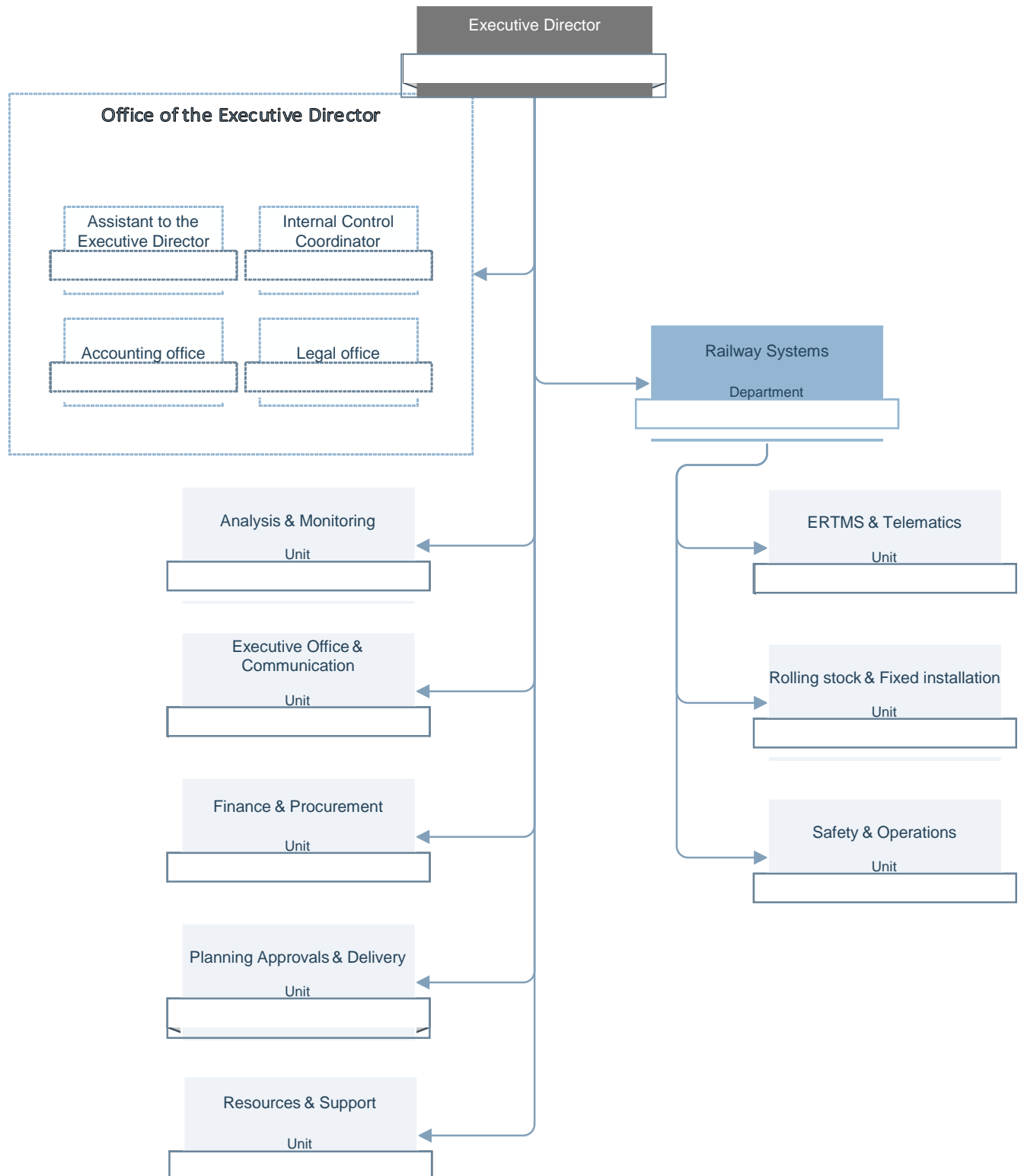
Note:

In addition to the FTE numbers displayed under each SPD Objective, 28.05 FTEs are recorded under the ERA Management and administration tasks.

IV. Annexes

IV.1 Organisation chart

Organisational chart – 2020:



IV.2 Resource allocation

year	2021			2022			2023		
Activity	TA	CA/SN E	Budget allocated €	TA	CA/SN E	Budget allocated €	TA	CA/S NE	Budget allocated €
Operational expenditure out of which									
1. Contributing to shaping target and global reference	7.03	7.35	173,563.00	7.03	7.35		7.03	7.35	
2. Developing the harmonised regulatory SERA technical framework	30.05	4.65	772,448.00	30.05	4.65		30.05	4.65	
3. Implementing the harmonised regulatory SERA technical framework	38.78	7.85	979,882.00	41.78	7.85		44.78	7.85	
4. Monitoring, evaluating and reporting	15.3	0.4	230,517.00	15.3	0.4		15.3	0.4	
5. Delivering efficient and effective services	36.74	18.80	1,390,840.00	36.74	18.80		36.74	18.80	
ERA Management and Administration	23.1	4.95		23.1	4.95		23.1	4.95	
Staff related costs			20,797,909.00						
Building, equipment and other expenditure			2,122,000.00						
Total	151	44	26,467,159.00	154	44	35,684,946	157	44	37,469,193

The staff numbers include also the staff working on the EU grants (obj.1.4 and 1.5)

IV.3 Financial Resources 2021-2023

The new Multi-annual Financial Framework is still under adoption. For 2021 the Agency has reflected the reduced budget announced by the European Commission. For 2022 and 2023 the numbers reflect the Agency's estimated based on its needs.

Table 1 – Revenue

General revenues

<i>Revenues</i>	<i>2020</i>	<i>2021</i>	<i>2022</i>
EU contribution	27.560.000	25.763.160	31.027.990
Other revenue – EFTA	672.283	703.999	697.576
Fees and charges	2.532.600	3.122.750	3.959.380
Total revenues	30.764.883	29.589.909	35.684.946

<i>REVENUES</i>	<i>2019</i>	<i>2020</i>	<i>2021</i>		<i>VAR 2021 /2020 %</i>	<i>Envisaged 2022</i>	<i>Envisaged 2023</i>
	<i>Executed Budget</i>	<i>Revenues estimated by the agency</i>	<i>Agency request</i>	<i>Budget forecast³</i>			
1 REVENUE FROM FEES AND CHARGES	1.793.032	2.532.600	3.607.000	3.122.750	23.3%	3.959.380	4.157.349
2. EU CONTRIBUTION*	27.030.000	27.560.000	27.653.050	25.763.160	-6.52%	31.027.990	32.579.390
of which assigned revenues deriving from previous years' surpluses	80.722	119.879	59.486	59.486	-50.38%		
3 THIRD COUNTRIES CONTRIBUTION (incl. EFTA and candidate countries)	639.347	672.283	676.042	703.999	4.72%	697.576	732.454
of which EFTA	639.347	672.283	676.042	693.999	4.72%	697.576	732.454
4 OTHER CONTRIBUTIONS							
of which delegation agreement, ad hoc grants							
5 ADMINISTRATIVE OPERATIONS							
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT				10.000			
7 CORRECTION OF BUDGETARY IMBALANCES							
TOTAL REVENUES	29.462.379	30.764.883	31.936.092	29.589.909	-3.81%	35.684.946	37.469.193

Additional EU funding: grant, contribution and service-level agreements

³ The Budget forecast is the latest/ more accurate estimation of the revenues and expenditures

REVENUES	Additional EU funding: grant, contribution and service-level agreements						
	Executed	Estimated by the Agency	2021		VAR N+1/N (%)	Envisaged	Envisaged
	2019	2020	Agency request	Budget forecast		2022	2023
ADDITIONAL EU FUNDING STEMMING FROM GRANTS (FFR Art.7) of which							
EUMEDRAIL	1,219,287	246,119	300,400*	300,400*	22.05%	342,896*	
IPA	99,192	150,000	150,000	150,000	0.00%	150,000	150,000
ADDITIONAL EU FUNDING STEMMING FROM CONTRIBUTION AGREEMENTS (FFR Art.7)							
ADDITIONAL EU FUNDING STEMMING FROM SERVICE LEVEL AGREEMENTS (FFR Art. 43.2)	42,953	45,000	pm	pm	pm	pm	pm
TOTAL	1,361,432	441,119	450,400	450,400	2.10%	492,896	150,000

* These Grant numbers are provisional amounts for the EU MedRail project continuation (subject to signature in December 2020).

The revenues referred above are used for covering expenditure strictly in the scope of the respective grant contracts/SLAs

Table 2 – Expenditure

<i>Expenditure</i>	2020		2021	
	<i>Commitment appropriations</i>	<i>Payment appropriations</i>	<i>Commitment appropriations</i>	<i>Payment appropriations</i>
Title I	20.467.100	20.467.100	20.797.909	20.797.909
Title II	2.323.350	2.323.350	2.122.000	2.122.000
Title III	5.441.883	5.441.883	3.547.250	3.547.250
Title IV	2.532.600	2.532.600	3.122.750	3.122.750
Total expenditure	30.764.883	30.764.883	29.589.909	29.589.909

Expenditure (EU Contribution)

Commitment appropriations (EU Contribution)

EXPENDITURE	Commitment appropriations (EU Contribution)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	20 294 328	20 467 100	20 881 200	20 797 909	1,6%
Salaries & allowances	19 705 823	19 824 100	20 291 200	20 304 909	2,42%
- Of which establishment plan posts	17 624 469	17 475 000	17 872 000	17 884 709	2,34%
- Of which external personnel	2 081 354	2 349 100	2 419 200	2 420 200	3,03%
Expenditure relating to Staff recruitment	153 080	135 000	80 000	70 000	-48,15%
Employer's pension contributions					
Mission expenses	67 000	100 000	100 000	46 000	-54,00%
Socio-medical infrastructure	43 988	57 000	57 000	57 000	0,00%
Training	122 011	150 000	150 000	120 000	-20,00%
External Services	173 616	180 000	180 000	177 000	-1,67%
Receptions, events and representation	1 670	3 000	3 000	3 000	0,00%
Social welfare	27 140	18 000	20 000	20 000	11,11%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	2 085 676	2 323 350	2 347 000	2 122 000	8,67%
Rental of buildings and associated costs	1 216 857	1 222 000	1 230 000	1 045 000	-14,48%
Information, communication technology and data processing	603 234	778 600	790 000	755 000	-3,03%
Movable property and associated costs	61 604	90 250	90 000	90 000	0,28%
Current administrative expenditure	13 737	12 000	12 000	7 000	-41,67
Postage / Telecommunications	146 249	185 000	185 000	185 000	0,00%
Meeting expenses	969	4 500	5 000	5 000	11,11%
Running costs in connection with operational activities					
Information and publishing	4 916	4 000	5 000	5 000	25,00%
Studies					
Other infrastructure and operating expenditure	38 110	27 000	30 000	30 000	11,11%
Title 3 - Operational expenditure	5 283 283	5 441 833	5 110 892	3 547 250	-34,82%
Contributing to shaping target reference and global reference for the EU rail system	270 485	242 121	242 121	173 563	-28,32%
Developing the harmonised regulatory SERA technical framework	297 578	1 106 088	856 088	772 448	-30,16%
Implementing the harmonised regulatory SERA technical framework (under 4RP)	2 100 181	2 129 869	2 048 925	979 882	-53,99%
Monitoring, evaluating and reporting	322 885	349 888	349 888	230 517	-34,12%
Delivering efficient and effective services	626 538	409 520	409 520	257 905	-37,02%
Other Activities	1 665 616	1 204 347	1 204 350	1 132 935	-5,93%
TOTAL	27 663 287	28 232 283	28 339 092	26 467 159	-6,25%

Expenditure (EU Contribution)

Payment appropriations (EU Contribution)

EXPENDITURE	Payment appropriations (EU Contribution)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	20 294 328	20 467 100	20 881 200	20 797 909	1.6%
Salaries & allowances	19 705 823	19 824 100	20 291 200	20 304 909	2,42%
- Of which establishment plan posts	17 624 469	17 475 000	17 872 000	17 884 709	2,34%
- Of which external personnel	2 081 354	2 349 100	2 419 200	2 420 200	3,03%
Expenditure relating to Staff recruitment	153 080	135 000	80 000	70 000	-48,15%
Employer's pension contributions					
Mission expenses	67 000	100 000	100 000	46 000	-54,00%
Socio-medical infrastructure	43 988	57 000	57 000	57 000	0,00%
Training	122 011	150 000	150 000	120 000	-20,00%
External Services	173 616	180 000	180 000	177 000	-1,67%
Receptions, events and representation	1 670	3 000	3 000	3 000	0,00%
Social welfare	27 140	18 000	20 000	20 000	11,11%
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	2 085 676	2 323 350	2 347 000	2 122 000	8,67%
Rental of buildings and associated costs	1 216 857	1 222 000	1 230 000	1 045 000	-14,48%
Information, communication technology and data processing	603 234	778 600	790 000	755 000	-3,03%
Movable property and associated costs	61 604	90 250	90 000	90 000	0,28%
Current administrative expenditure	13 737	12 000	12 000	7 000	-41,67
Postage / Telecommunications	146 249	185 000	185 000	185 000	0,00%
Meeting expenses	969	4 500	5 000	5 000	11,11%
Running costs in connection with operational activities					
Information and publishing	4 916	4 000	5 000	5 000	25,00%
Studies					
Other infrastructure and operating expenditure	38 110	27 000	30 000	30 000	11,11%
Title 3 - Operational expenditure	5 283 283	5 441 833	5 110 892	3 547 250	-34,82%
Contributing to shaping target reference and global reference for the EU rail system	270 485	242 121	242 121	173 563	-28,32%
Developing the harmonised regulatory SERA technical framework	297 578	1 106 088	856 088	772 448	-30,16%
Implementing the harmonised regulatory SERA technical framework (under 4RP)	2 100 181	2 129 869	2 048 925	979 882	-53,99%

EXPENDITURE	Payment appropriations (EU Contribution)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Monitoring, evaluating and reporting	322 885	349 888	349 888	230 517	-34.12%
Delivering efficient and effective services	626 538	409 520	409 520	257 905	-37.02%
Other Activities	1 665 616	1 204 347	1 204 350	1 132 935	-5.93%
TOTAL	27 663 287	28 232 283	28 339 092	26 467 159	-6.25%

Expenditure (fees and charges)

Commitment appropriations (fees and charges)

EXPENDITURE	Commitment appropriations (Fees and charges)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure		2 532 600	3 607 000	3 122 750	23,30%
Salaries & allowances		1 308 000	2 120 000	1 726 000	31,96%
- <i>Of which establishment plan posts</i>		1 125 000	1 930 000	1 536 000	36,53%
- <i>Of which external personnel</i>		183 000	190 000	190 000	0,03%
Expenditure relating to Staff recruitment					
Employer's pension contributions		301 650	487 000	396 750	31,53%
Mission expenses					
Socio-medical infrastructure					
Training					
External Services		922 950	1 000 000	1 000 000	8,35%
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure					
Rental of buildings and associated costs					
Information, communication technology and data processing					
Movable property and associated costs					
Current administrative expenditure					
Postage / Telecommunications					
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure					
Contributing to shaping target reference and global reference for the EU rail system					
Developing the harmonised regulatory SERA technical framework					

EXPENDITURE	Commitment appropriations (Fees and charges)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Implementing the harmonised regulatory SERA technical framework (under 4RP)					
Monitoring, evaluating and reporting					
Delivering efficient and effective services					
Other Activities					
TOTAL		2 532 600	3 607 000	3 122 750	23,30%

Payment appropriations (Fees and charges)

EXPENDITURE	Payment appropriations (Fees and charges)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure		2 532 600	3 607 000	3 122 750	23,30%
Salaries & allowances		1 308 000	2 120 000	1 726 000	31,96%
- Of which establishment plan posts		1 125 000	1 930 000	1 536 000	36,53%
- Of which external personnel		183 000	190 000	190 000	0,03%
Expenditure relating to Staff recruitment					
Employer's pension contributions		301 650	487 000	396 750	31,53%
Mission expenses					
Socio-medical infrastructure					
Training					
External Services		922 950	1 000 000	1 000 000	8,35%
Receptions, events and representation					
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure					
Rental of buildings and associated costs					
Information, communication technology and data processing					
Movable property and associated costs					
Current administrative expenditure					
Postage / Telecommunications					
Meeting expenses					

EXPENDITURE	Payment appropriations (Fees and charges)				
	Executed Budget 2019	Budget 2020	Draft Budget 2021		VAR 2021/2020 (%)
			Agency request	Budget forecast	
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure					
Contributing to shaping target reference and global reference for the EU rail system					
Developing the harmonised regulatory SERA technical framework					
Implementing the harmonised regulatory SERA technical framework (under 4RP)					
Monitoring, evaluating and reporting					
Delivering efficient and effective services					
Other Activities					
TOTAL		2 532 600	3 607 000	3 122 750	23,30%

Table 3 – Budget outturn and cancellation of appropriations

<i>Budget outturn</i>	<i>2017</i>	<i>2018</i>	<i>2019</i>
Reserve from the previous years' surplus (+)	378 215	80 722	119 879
Revenue actually received (+)	31 930 147	28 644 227	29 895 702
Payments made (-)	- 27 143 336	- 26 386 114	- 26 041 311
Carry-over of appropriations (-)	- 4 948 422	- 3 509 588	-2 590 904
Cancellation of appropriations carried over (+)	64 813	122 715	54 280
Adjustment for carry over of assigned revenue appropriations from previous year (+)	179 832	1 045 234	335 358
Exchange rate differences (+/-)	- 2 312	- 2 780	-1 110
Adjustment for negative balance from previous year (-)	- 378 215	- 80 722	-119 879
Total	80 722	119 879	59 486

IV.4 Human Resources 2021-2023 – quantitative

Table 1 – Staff population and its evolution; Overview of all categories of staff

A. Statutory staff and SNE

Staff population		Staff population in voted Budget 2018	Staff population in voted Budget 2019	Staff population at 31/12/2019	Staff population in EU Budget 2020	Staff population envisaged in 2021	Staff population envisaged in 2022	Staff population envisaged in 2023
Officials	AD							
	AST							
	AST/SC							
TA	AD	111	113	104	113	116	119	122
	AST	37	35	35	35	35	35	35
	AST/SC	0	0	0	0	0	0	0
Total TA		148	148	139	148	151	154	157
CA GFIV		19	17	13	15	16	16	16
CA GF III		8	8	8	8	12	12	12
CA GF II		10	10	7	10	8	8	8
CA GFI		3	3	3	3	0	0	0
Total CA*		40	38	31	36	36	36	36
SNE		4	4	2	4	4	4	4
Total		192	190	172	188	191	194	197

As of 2022, in order to cope with the increasing budget pressure and become more cost-efficient, the Agency is exploring the possibility to replace up to 8 FTE's of the structural service providers by contract agent posts, where this would generate a budget saving.

Note: To take into account that NSA's will not always be able to assist the Agency because of own workloads, the Agency will in addition seek to secure external assistance through a framework contract and to recruit additional contract agents the cost of which will be recovered through fees and charges.

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

Human Resources	2020	2021	2022	2023
	Envisaged FTE	Envisaged FTE	Envisaged FTE	Envisaged FTE
Contract Agents (CA)	3	4	4	4
Seconded National Experts (SNE)	0	0	0	0
TOTAL	3	3	0	0

Table 2 – Multi- annual staff policy plan 2021-2023

Function group and grade	2019		2019	2020		2021		2022		2023	
	Authorised under the EU Budget		Staff population at 31/12/2019	Authorised under the EU Budget		Authorised under the EU Budget		Request of the Agency		Request of the Agency	
	Permanent posts	Temporary posts		Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16		0	0		0		0		0		0
AD 15		0	0		1		1		1		1
AD 14		1	1		0		0		0		0
AD 13		0	0		0		0		0		0
AD 12		4	1		4		4		4		4
AD 11		7	2		7		10		10		10
AD 10		19	15		19		19		19		19
AD 9		32	23		32		29		29		29
AD 8		21	18		21		21		21		21
AD 7		15	21		15		15		15		15
AD 6		14	23		14		17		20		23
AD 5		0	0		0		0		0		0
AD TOTAL		113	104		113		116		119		122
AST 11		0	0		0		0		0		0
AST 10		0	0		0		0		0		0
AST 9		2	1		2		2		2		2
AST 8		5	1		5		5		5		5
AST 7		5	4		5		5		5		5
AST 6		2	4		2		6		6		6
AST 5		8	9		8		8		8		8
AST 4		9	3		9		9		9		9
AST 3		4	13		4		0		0		0
AST 2		0	0		0		0		0		0
AST 1		0	0		0		0		0		0
AST TOTAL		35	35		35		35		35		35
AST/SC 6			0								
AST/SC 5			0								
AST/SC 4			0								
AST/SC 3			0								
AST/SC 2			0								
AST/SC 1			0								
AST/SC TOTAL			0								
TOTAL		148	139		148		151		154		157

Contract Agents

Contract agents	FTE corresponding to the authorised budget 2019	Headcount as of 31/12/2019	FTE corresponding to the authorised budget 2020	FTE request for budget 2021	FTE request for budget 2022	FTE request for budget 2023
Function Group IV	17	13	15	16	16	16
Function Group III	8	8	8	12	12	12
Function Group II	10	7	10	8	8	8

Contract agents	FTE corresponding to the authorised budget 2019	Headcount as of 31/12/2019	FTE corresponding to the authorised budget 2020	FTE request for budget 2021	FTE request for budget 2022	FTE request for budget 2023
Function Group I	3	3	3			
TOTAL	40	31	36	36	36	36

As of 2022, in order to cope with the increasing budget pressure and become more cost-efficient, the Agency is exploring the possibility to replace up to 8 FTE's of the structural service providers by contract agent posts, where this would generate a budget saving.

Note: To take into account that NSA's will not always be able to assist the Agency because of own workloads, the Agency will in addition seek to secure external assistance through a framework contract and to recruit additional contract agents the cost of which will be recovered through fees and charges.

Seconded National Experts

Seconded National Experts	FTE corresponding to the authorised budget 2019	Executed FTE as of 31/12/2019	Headcount as of 31/12/2019	FTE corresponding to the authorised budget 2020	FTE corresponding to the authorised budget 2021	FTE corresponding to the authorised budget 2022	FTE corresponding to the authorised budget 2023
TOTAL	4	2	2	4	4	4	4

Table 3 - Recruitment forecasts 2021 following retirement/mobility or new requested posts

Job title in the Agency	Type of contract (Official, TA or CA)		TA/Official		CA Recruitment Function Group (I, II, III and IV)
	Due to foreseen retirement/mobility	New post requested due to additional tasks	Function group/grade of recruitment internal (Brackets) and external (single grade) foreseen for publication *	Internal (brackets) / External	
FM assistant	X				FGIII
Project officers	X			AD6	
Team leader	X		AD8-10		

Number of inter-agency mobility Year 2020 from and to the Agency: 1 TA AD7

IV.5 Human Resources 2021-2023 – qualitative

IV.5.1 Recrutement policy

Implementing rules in place:

		Yes	No	If no, which other implementing rules are in place
Engagement of CA	Model Decision C(2019)3016	x		
Engagement of TA	Model Decision C(2015)1509	x		
Middle management	Model decision C(2018)2542	x		
Type of posts	Model Decision C(2018)8800	x		

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

- a) The core of the Agency staff consists of Temporary Agents. All Temporary Agent positions have been identified as long-term positions. Due to the budgetary and establishment plan constraints the Agency is obliged to also engage Contract Agents in order to fulfil its mission;
- b) Temporary and Contract Agents are as far as possible treated equivalently.

In addition, it should be noted the Agency does not employ officials. However, there are cases where EU officials have been engaged following an external selection procedure and have therefore acquired the status of Temporary Agent in the Agency (whilst remaining an official on unpaid leave in their institution of origin).

Selection and engagement procedures:

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

The Agency also makes use of the EPSO CAST lists accessible to Agencies for the engagement of Contract Agents.

Because of the Agreement on the European Economic Area nationals of Norway, Iceland and Liechtenstein are eligible for working for the Agency.

The selection procedures for the engagement of Temporary Agents are carried out in accordance with Decision N° 121 of the Administrative Board of the European Railway Agency laying down the general implementing provisions on the procedure governing the engagement and use of temporary staff under Article 2(f) of the CEOS.

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

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

For managerial posts or highly specialised posts, the Agency can engage Temporary Agents at grades AD 9 and AD10 or at grade AD12 for Heads of Department.

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

a. Temporary agents

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

The decision to renew contracts of employment of Temporary Agents occupying a long-term post is taken by the Executive Director based on two considerations: the continuity of the post and the competences and performances of the jobholder, in accordance with Decision N° ERA-ED-DEC-678-2013 and the Procedure PRO_STA_01 on “renewal and non-renewal of contracts of employment before the expiry date”.

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

b. Contract agents

The selection procedures for the engagement of Contract Agents are carried out in accordance with Decision n° 210 of the Management Board of the European Union Agency on the general provisions for implementing Article 79(2) of the Conditions of Employment of Other Servants of the European Union, governing the conditions of employment of contract staff employed under the terms of Article 3a thereof.

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

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

- › Administrative tasks;
- › Coping with temporary peaks in workloads;
- › Launching projects or new activities for which long-term commitment in terms of staffing is unclear;
- › Replacing staff on long-term absences such as maternity leave, long-term sick leave or unpaid leave;

However, increasingly ERA has also engages Contract Agents for other (long-term) tasks, such as:

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

c. Seconded national experts⁴

Seconded National Experts (SNEs) are staff employed by a national, regional or local public administration or a public intergovernmental organisation who are seconded to the Agency so that it can use their expertise in a particular field. SNEs are seconded from their national employer to the Agency's operational units on the basis of their specific competenc(i)es and technical expertise in the railway domain, based on DECISION n° 173 of the Management Board of the European Union Agency for Railways laying down rules on the secondment to the Agency of seconded national experts and national experts in professional training.

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

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

d. Trainees

Professional traineeships last 10 months and are managed in accordance with Decision N° ERA-ED-DEC-1063-2015, depending on budget availability.

⁴. SNEs are not employed by the Agency.

e. Structural service providers⁵

Staff FTE	Tasks	Description	PD per Year	Total PD per Year	Framework Contract	Expiring
4	Service Desk	User support and assistance	220	880	ESMA/2018/02 signed in October 2018	Date of signature, 2+1+1 Y
3	Business Analyst	Writing/maintenance/prototyping of applications that reflect the specifications.	220	660	ESMA/2018/02 signed in October 2018	Date of signature, 2+1+1 Y
2	UX/UI Specialist	Creation and staging of automated solutions based on ERA tools	220	220	ESMA/2018/02 signed in October 2018	Date of signature, 2+1+1 Y
2	Business Analyst	Creation and staging of automated solutions based on ERA tools	220	440	ESMA/2018/02 signed in October 2018	Date of signature, 2+1+1 Y
1	Business Analyst	Design and development OSS	220	220	ESMA/2018/02 signed in October 2018	Date of signature, 2+1+1 Y
1	System Administrator	Stage, support and implement ICT systems and services	220	220	ESMA/2018/02 signed in October 2018	Date of signature, 2+1+1 Y
1	Application Developer	Stage, support, and implement enhancements to operational ICT systems.	220	220	ESMA/2018/02 signed in October 2018	Date of signature, 2+1+1 Y
1	Receptionist	3 shifts per day	220	220	ERA 2016 08 FWC	Date of signature, 1+1+1+1 Y

⁵ Structural service providers are not employed by the Agency.

IV.5.2 Appraisal of performance and reclassification

Implementing rules in place:

		Yes	No	If no, which other implementing rules are in place
Reclassification of TA	Model Decision C(2015)9560	x		
Reclassification of CA	Model Decision C(2015)9561	x		

The Agency applies Decision N° 132 of the Administrative Board of the European Railway Agency on the general provisions for implementing Article 43 of the Staff Regulations and implementing the first paragraph of Article 44 of the Staff Regulations for temporary staff and Decision N° 133 of the Administrative Board of the European Railway Agency on the general provisions for implementing Article 87(1) of the Conditions of Employment of Other Servants of the European Union and implementing the first paragraph of Article 44 of the Staff Regulations. They were first implemented for the appraisal and reclassification exercise of 2016. Since 2016, the Agency adopted and implemented the rules for the reclassification of Contract Agents.

Table 1 - Reclassification of temporary staff

Grades	Number of staff members reclassified in Year N-1	Average seniority in grade before reclassification (5 years average)	Average number of years in grade of reclassified staff members according to Decision C(2015)9561
AD05			2.8
AD06	3	4,00	2.8
AD07	3	4,16	2.8
AD08	4	4,66	3
AD09	1	5,33	4
AD10	1	4,75	4
AD11	1	5,75	4
AD12			6.7
AD13			6.7
AST1			3
AST2	2	4,00	3
AST3	2	3,83	3
AST4	5	3,66	3
AST5	2	4,75	4
AST6	1	4,33	4
AST7			4

AST8			4
AST9			N/A
AST10			5
(Senior assistant)			
AST/SC1			4
AST/SC2			5
AST/SC3			5.9
AST/SC4			6.7
AST/SC5			8.3

Table 2 -Reclassification of contract staff

Function Group	Grade	How many staff members were reclassified in Year 2019	Average seniority in grade before reclassification (5 years average)	Average number of years in grade of reclassified staff members according to Decision C(2015)9561
CA IV	17	-		Between 6 and 10 years
	16	-		Between 5 and 7 years
	15	-		Between 4 and 6 years
	14	2	3,75	Between 3 and 5 years
	13	-		Between 3 and 5 years
CA III	11	-		Between 6 and 10 years
	10	-		Between 5 and 7 years
	9	-		Between 4 and 6 years
	8	1	4,66	Between 3 and 5 years
CA II	6	-		Between 6 and 10 years
	5	3	5,41	Between 5 and 7 years
	4	-		Between 3 and 5 years
CA I	2	-		Between 6 and 10 years
	1	-		Between 3 and 5 years

IV.5.3 Mobility policy

1. Mobility within the agency

Decision N° 121 of the Administrative Board of the European Railway Agency laying down the general implementing provisions on the procedure governing the engagement and use of temporary staff under Article 2(f) of the CEOS (adopted on 25.11.2016) and Decision n° 210 of the Management Board of the European Union Agency on the general provisions for implementing Article 79(2) of the Conditions of Employment of Other Servants of the European Union, governing the conditions of employment of contract staff employed under the terms of Article 3a thereof enshrine the scenarios for internal mobility for TA 2(f) and CA.

The Agency considers internal mobility when vacancies arise, but due to the very specific, technical competences of a big part of the staff, internal mobility remains limited.

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

2. Mobility between Union Agencies

The implementing rules on the engagement and use of Temporary Agents 2(f) and Contract Agents define the scope of mobility between Union Agencies. A very limited number of the support staff who have left the Agency in previous years have accepted Temporary/Contract Agent positions in other Agencies.

Increasingly staff members who took up long-term Temporary Agent positions at the Agency come from other EU Agencies.

3. Mobility between the agencies and the institutions

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

4. Tables for 2019 (Temporary agents, contract agents and SNE's)

	2019	
	(New) staff	Departing staff
Mobility within the agency	14	
Mobility among agencies	1	
Mobility between the agencies and the institutions	0	2
Other	15	
Total	15 new staff	4 of which 2 due to retirement and 2 staff members on CCP

IV.5.4 Gender representation

Table 1 - Data on 31/12/2019

		Official		Temporary		Contract Agents		Grand Total	
		Staff	%	Staff	%	Staff	%	Staff	%
Female	Administrator level			26	14.9%	3	2%	29	16.6%
	Assistant level (AST & AST/SC)			24	13.7%	14	8%	38	21.8%
	Total			50	28.7%	17	9.7%	67	38.5%
Male	Administrator level			78	44.8%	13	7%	91	52.3%
	Assistant level (AST & AST/SC)			11	6%	5	3%	16	9%
	Total			90	51.7%	18	10.3%	107	61.5%
Grand Total				140	80.5%	34	19.5%	174	100%

Table 2 - Data regarding gender evolution over 5 years of the Middle and Senior management

	2015		2019	
	Number	%	Number	%
Female Managers	1	0.6%	1	0.5%
Male Managers	6	4%	9	5%

The following non-discrimination notice is included in all vacancy notices: “Equal opportunities: The European Union takes great care to avoid any form of discrimination in its engagement procedures”. Applications are encouraged from all candidates and facilities management is prepared to accommodate people with disabilities. A positive discrimination policy however has not been put in place.

The Agency has been systematically monitoring the gender distribution for its selection procedures. In general, the gender balance at the Agency has been stable over recent years. The Agency underlines its commitment to promote equal opportunities, including gender balance and diversity, as also stated in the Agency’s Human Resources strategy. The same applies to the Member States’ representatives in the Management Board.

The Agency is participating to the EU “Platform for change to address gender equality in transport. The Agency further actively supports initiatives to increase the attractiveness of the railway sector for women, and promotes gender diversity.

IV.5.5 Geographical balance

Table 1 - Data on 31/12/Year 2019

Nationality	AD + CA FG IV		AST/SC- AST + CA FGI/CA FGII/CA FGIII		TOTAL	
	Number	% of total staff members in AD and FG IV categories	Number	% of total staff members in AST SC/AST and FG I, II and III categories	Number	% of total staff
AT	1	0.5%	0		1	0.5%
BE	23	13.2%	20	11.5%	43	24.7%
BG	1	0.5%	1	0.5%	2	1%
CZ	2	1%	0		2	1%
DE	12	6.9%	0		12	6.9%
DK	2	1%	1	0.5%	3	1.7%
EL	5	2.9%	2	1%	7	4%
ES	12	6.9%	2	1%	14	8%
FI	1	0.5%	0		1	0.5%
FR	15	8.6%	17	9.8%	32	18.4%
HR	2	1%	0		2	1%
HU	2	1%	1	0.5%	3	1.7%
IE	0		1	0.5%	1	0.05%
IT	16	9.2%	3	1.7%	19	10.9%
LT	2	1%	0		2	1%
NL	3	1.7%	0		3	1.7%
PL	6	3.4%	1	0.5%	7	4%
PT	2	1%	0		2	1%
RO	6	3.4%	4	2.3%	10	5.7%
SE	1	0.5%	1	0.5%	2	1%
UK	5	2.9%	0		5	2.9%
TOTAL	120	69%	54	31%	174	100%

Table 2 - Evolution over 5 years of the most represented nationality in the Agency

Most represented nationality	2015		2019	
	Number	%	Number	%
Belgian	36 out 157	22.9%	43 out of 174	24.7%

IV.5.6 Schooling (Agency Regulation, Art. 71[^]2)

Agreement in place with the European School(s) of			
Contribution agreements signed with the EC on type I European schools			No
Contribution agreements signed with the EC on type II European schools			No
Number of service contracts in place with international schools:	NA		
Description of any other solutions or actions in place: Since 2019 a school in Lille has started offering a European School educational curriculum for primary and secondary education which will gradually develop to a fully-fledged European School educational curriculum in the next years. The Agency is fostering a cooperative relationship with the relevant authorities. The Agency has, however, a limited presence in Lille, with the offices being located in Valenciennes.			

IV.6 Environment management

The Agency is committed to promoting sustainability. The Agency drafted a document which guides ERA staff regarding sustainable development at ERA. 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 (E.G. The Agency is considering a building green certification for its new building project - Certification HQE - “Haute Qualité Environnementale”).
- › Transportation
- › Climate protection
- › Waste reduction and recycling
- › Environmental preferable purchasing (E.G. The Agency is considering procurement for green electricity)
- › Sustainable resource management

IV.7 Building policy

IV.7.1 Current building(s)

	Name, location and type of building	Other Comment
Information to be provided per building:	ERA HQ, Valenciennes, 120 rue Marc Lefrancq	1. ERA is the only tenant of the building
Surface area (in square metres) Of which office space Of which non-office space	5.250 M ² de Surface Hors Oeuvre Nette (S.H.O.N)	

Annual rent (in EUR)	In 2020: EUR 455.103,30HT/year	The new INSEE indicator has been published during the 1st Quarter 2019.
Type and duration of rental contract	1 year with tacit renewal	
Host country grant or support	No	
Present value of the building	If the Agency owns the building	

	Name, location and type of building	Other Comment
Information to be provided per building:	Rental of 100 parking places from SAEM Valenciennes	
Surface area (in square metres) Of which office space Of which non-office space	100 parking places	
Annual rent (in EUR)	In 2020: EUR 24.083,33HT/year	
Type and duration of rental contract	1 year with tacit renewal	
Host country grant or support	No	
Present value of the building	If the Agency owns the building	

	Name, location and type of building	Other Comment
Information to be provided per building:	ERA meeting premises, 299, Boulevard de Leeds – Lille	
Surface area (in square metres)	602,62 M ²	
Annual rent (in EUR)	In 2020: EUR 112.500,80 HT/year	The new INSEE indicator has been published during the 1st Quarter 2019.
Type and duration of rental contract	Contract will end on 31/12/2023.	
Host country grant or support	No	
Present value of the building	If the Agency owns the building	

	Name, location and type of building	Other Comment
Information to be provided per building:	Rental of 1 parking place from Espace International	
Surface area (in square metres) Of which office space Of which non-office space	1 parking place	
Annual rent (in EUR)	In 2020: EUR 2.626,48HT/year	The new INSEE indicator has been published during the 1st Quarter 2019
Type and duration of rental contract	Contract will end on 31/12/2023.	

Host country grant or support	No	
Present value of the building	If the Agency owns the building	

Note: In order to cope with the budget restrictions, the Agency is basing itself on the assumption that there will no longer be permanent offices rented in Lille, subject to the current contractual conditions.

IV.7.2 Building project in the planning phase

Due to the growth of the Agency, the current building in Valenciennes is becoming tight. The Agency has re-allocated staff members in double office spaces as a short-term solution. Other short-medium term solutions are being considered such as teleworking or temporary accommodation in other existing buildings in the direct neighbourhood of the ERA HQ, should there be a need. 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 2026. Currently, a 300 posts building is being considered with a possibility to add a second building of 200 posts. The Agency is also considering the integration of building green certification to the project (Certification HQE -“Haute Qualité Environnementale”). In 2021, the Agency main objective is to collect and assess all Agency needs aiming at completing the technical file that will be required for elaborating both, the technical and financial dossier to be formally address to the EU Budgetary Authority for the financing of a new building. This technical file will also be the base for the selection of architects in the Phase 3 of the Study.

IV.8 Privileges and immunities

The written procedure of the Management Board from August 2018 concerning the approval of a headquarters agreement between the Agency and the host Member State, has been completed successfully. No objections or negative votes were expressed by the members of the Management Board.

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
As per PPI and under the HA possibility to have diplomatic plates for 3 Agency cars. The Agency may fly its flag in its buildings and cars	No privileges have been granted to the Agency staff other than the ones envisaged in the PPI. The HA does not confer any additional rights to the Agency staff.	N.a.

IV.9 Evaluations

The Agency puts in place a system of internal monitoring and evaluation.

The monitoring is accompanied by actions plans, which are followed up by the Management Team.

The Agency will propose a set of indicators related to internal management standards which cover various dimensions including compliance, effectiveness and efficiency.

IV.10 Strategy for the organisational management and internal control systems

The strategy gives an overview on how the internal control system is organised and is contributing to the mitigation of the risks to the achievement of Agency's objectives to acceptable levels.

The Agency is operating with two control frameworks: COSO-based EC internal control framework (ICF) (adapted to the Agency's governance) and ISO based –quality system (ISO 9001:2015 –certified), integrated in one single management system designed to provide reasonable assurance regarding the achievement of the five internal control objectives derived from the Agency's Financial regulation as well as ensuring continuous improvement and the need to implement a flexible and effective governance.

The integrated management system is implemented through four high-level components (i) Strategic, (ii) Core, (iii) Support and (iv) Measurement and improvement. Each component is including all 17 principles of the ICF. There is also a clear link with the internal components (Control environment, Risk assessment, Control Activities and Monitoring). This system is deployed further at the level of processes.

The roles and responsibilities for implementing the system are also 'integrated': the director and the heads of units in their capacity as AO/AODs must ensure that the internal controls are efficient and effective while as process owners they are responsible for improvement of the processes. All staff should ensure at their own level of competency that their activities comply with rules and regulations and report any deficiency. The ICC oversees and monitors the implementation of the key internal control systems on a yearly basis. This function is also in charge of facilitating the risk management process. The accounting officer certifies the year-end accounts thus providing reasonable assurance that the accounts present a true and fair view of the financial situation of the Agency. The IAS is the internal auditor of the Agency and performs independent assessment on the internal control systems based on a three-year plan. Complementary, internal audits are performed annually to ensure compliance with ISO requirements. The external audit is performed by the European Court of Auditors (for the legality and regularity of transactions) and an external company (for the accounts).

The delegations of powers for executing the budget are detailed in internal procedures.

Internal controls tools include:

- › Controls performed at all levels of the Agency

- › Risk management in particular at project/service level and Agency level where the most significant/relevant risks are captured including strategic risks (recorded in the agency risk register and reported in the AAR). Risks are formally assessed at both inherent and residual level to make sure that the analysis of the effectiveness of the controls in place is ensured before additional mitigating measures are put in place (cost-effectiveness of controls).
- › Corrective/preventive measures are established when recurrent and systemic errors are recorded. Ex-ante nonconformities involving significant amount of money (>15.000 euros) are approved by the AO
- › Internal control monitoring criteria for measuring the presence and the functioning of the principles are developed considering the risk environment and are focused more on effectiveness and efficiency.
- › Follow-up of recommendations from ECA, IAS, Discharge authority as well as other sources (eg. external evaluations) to ensure that the actions plans are effectively implemented within the agreed deadlines.
- › An integrated reporting system to inform and alert management on the progress on the implementation of costs for each project/service as well as SPD outputs (monthly dashboard). The cost data is connected to the source (ABAC). It includes several other parameters such as risks, issues, changes, corrective actions taken, quality, milestones etc.
- › Budgetary status reports are produced on a daily basis including an overview per unit of the budget execution per budget line for all fund sources, financial information on commitments, payments and transfers, information on progress of planned procurement and contracts. The information helps achieving the performance targets in these particular areas.
- › Ex-ante controls consisting in several checks of financial and operational aspects of transactions by the actors involved in the financial circuits. There is a very comprehensive checklist/templates as well as guidance which ensure an effective level of control. The specific controls are detailed in the manual of financial procedures which also included the steps to be taken for making a financial transaction, the various financial circuits by type of transaction and the different roles and responsibilities.
- › Ex-post controls for payments not subject to an ex-ante verification (payments considered with a low risk, with an amount of less than 1.000 €) are carried out bi-annually. The exercise is implemented following a risk assessment. The materiality criterion defined by the AO/AODs for drawing a reservation in the AAR is an assessment of whether more than 2% of the payments of the ABB activity concerned is erroneous.
- › Ad-hoc controls are additionally applied at the level of processes whenever the management assesses it is necessary to mitigate a specific risk (eg, selection procedures, financial delegations).

The Agency's anti-fraud strategy has been developed in accordance with OLAF guidelines, it is setting clear objectives, actions and responsibilities and it is based on a standalone fraud risk assessment exercise adapted to the Agency's environment encompassing fraud risks regardless of their criticality. The risk of fraud is duly considered when carry out the risk assessment exercise.

The strategy is focusing on three objectives:

- Handle effectively actual or perceived conflict of interest,
- Enhance the promotion of high ethical values as well as increasing fraud awareness
- Enhance data and information security

The objectives are fully aligned with the fraud risks identified which include inherent significant risk of conflict of interest due to specific circumstances of the Agency's activities (ie. regulatory powers with significant decision making powers and potential reputational, legal and financial consequences if conflict of interest not adequately managed; relatively limited 'market' for recruitment of staff as well as for entities which could provide services for the Agency), potential risk of cyber-attacks leading to operational damage, loss of data, unauthorised disclosure of information or breach of data; potential risk of outsourcing the data and information security without proper security risk assessment), risk of staff members not being fully aware of their ethics obligations as well as handling and reporting fraud. The Agency has put in place comprehensive control measures proportional to the level of risks and amount of risk identified which encompass (but not limited to) mandatory tailor made trainings on ethics and separately on antifraud for all staff, mandatory submission of declaration of interests for all staff and members of the Management Board and of the Board of Appeal, ex-post/on the spot controls, review of internal procedures (including procedures for reporting and handling fraud). Control indicators enable assessment of effectiveness of the measures taken.

Assessment of the effectiveness of the integrated management system

The agency monitors continuously the efficiency and effectiveness of the Internal Control Framework. A yearly assessment report is produced where consideration is given to the results of controls mentioned above. All the internal control components and principles must be present and functioning well at all levels of the Agency to be considered effective. The results of the assessment are reported in the AAR.

IV.11 Plan for grant, contribution or service-level agreements (table)

REVENUES	Additional EU funding: grant, contribution and service-level agreements						
	Executed	Estimated by the Agency	2021		VAR N+1/N (%)	Envisaged	Envisaged
	2019	2020	Agency request	Budget forecast		2022	2023
ADDITIONAL EU FUNDING STEMMING FROM GRANTS (FFR Art.7) of which							
EUMEDRAIL	1,219,287	246,119	300,400*	300,400*	22.05%	342,896*	
IPA	99,192	150,000	150,000	150,000	0.00%	150,000	150,000
ADDITIONAL EU FUNDING STEMMING FROM CONTRIBUTION AGREEMENTS (FFR Art.7)							
ADDITIONAL EU FUNDING STEMMING FROM SERVICE LEVEL AGREEMENTS (FFR Art. 43.2)	42,953	45,000	pm	pm	pm	pm	pm
TOTAL	1,361,432	441,119	450,400	450,400	2.10%	492,896	150,000

IV.12 Strategy for cooperation with third countries and/or international organisations

Since the adoption of the existing strategy for global cooperation (together with SPD 2018), the Agency is updating the scope of work in order to best address the priorities listed by the European Commission in this field, namely:

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. The Commission welcomes Agency's aspirations to provide technical support at Commission request. The Commission reminds that the main priorities as regards rail international cooperation fall into EU's neighbourhood, strategic partners and high growth economies beyond neighbourhood, and international organisations. Agency's international activities should not go beyond.

These priorities will be included in the multi-annual project plan for Global cooperation, which will be shared with the Management Board once drafted.

IV.13 Procurement plan

Title	Description	Market ceiling	Type of Contract	Year
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
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
FWC for support on VA applications	Reinforcement of the available resources to assign on vehicle authorisation projects	1,500,000.00 €	Framework Contract	2021
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
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

FRAMEWORK CONTRACTS			Paid in 2020	To be committed in 2021 (estimates)
Local Identifier	User Reference	Expiry Date		

PMO contract / AMEX - GLOBAL BUSINESS TRAVEL	Travel Agency services (missions)	3/31/2024	86,310.00	200,000.00
ERA 2017 39 FWC & ERA 2018 27 FWC	Catering services (Lille and Valenciennes)	25/01/2022	34,942.72	150,000.00
ERA 2018 36 FWC	ASSISTANCE ERTMS TRACKSIDE APPROVAL	28/04/2023	0.00	100,000.00
ERA 2019 02 FWC	Interpretation services	12/08/2023	61,121.35	150,000.00
ERA 2019 06 FWC	ESP-EISD6 - Off site IT services	28/07/2024	0.00	1,000,000.00

IV.14 Risk register

N°	Title	Risk description Consequence/Cause		Activity/Objective 2021	Residual risk	Measures to reduce the risk
1	EU/ERA priorities changed or not fully developed because of financial uncertainties and external events outside the realm of expectations	<ul style="list-style-type: none"> Negative impact on the timely delivery of SPD outputs in the next years Less efficient deployment of resources (conflict/shortage in allocating resources) Agency prioritisation may not be effective in achieving desired objectives Disjointed approach to issues Agency not being able to fulfil the minimum legal requirements related to its mandate; Lost opportunity to update/upgrade Agency's products to meet railway sector expectations, potential obsolescence and significant stakeholder dissatisfaction 	<p>May be caused by:</p> <ul style="list-style-type: none"> Insufficient Commission subsidy to cover Agency's expenditures in 2021 (and potentially in the next years); MFF not adopted before the end of the year Potential low priority for the Commission in investment in EU railway policies/strategies; Agency is approached by key stakeholders to implement additional ad-hoc requests Resurrection/prolongation of the pandemic threat (and other events outside the realm of expectations of similar magnitude) Geopolitical shifts, requiring an EU adjustments (trade wars, climate change) 	<p>Activity 1: Contributing to shaping target and global reference</p> <p>Objective 1.1 Strategic Development</p> <p>Objective 1.3 Strengthening global cooperation in rail</p>	Critical	<p>a) Implementing a multiannual planning (Year N +3) based on specific strategic outcomes cascaded down to/interlinked with Agency's projects/services outputs</p> <p>b) Lobby to the Discharge Authority for a favourable amendment to Agency's budget for 2021</p> <p>c) Examine possible ways of achieving synergies and efficiency gains in the Agency addressing both at operational and administrative level (by reviewing the infrastructure in place and reduce duplication/waste)</p> <p>d) Using the intervention logic concept for defining and collecting the key outcomes/results to better understand the overall added value of ERA policies</p> <p>e) Development of an external strategy integrating online aspects coherent with Commission key messages to better communicate on Agency's priorities and achievements</p> <p>f) Development of a platform to facilitate the exchange and dialogue among European railway stakeholders in order to discuss methodological and practical problems regarding post-Covid period</p> <ul style="list-style-type: none"> Establishment of an info exchange platform

N°	Title	Risk description Consequence/Cause		Activity/Objective 2021	Residual risk	Measures to reduce the risk
						g) Annual review of the International Strategy (part of the SPD planning)
2	Risk of peak of workload demands associated with the applications requests for authorisation/renewal of SSCs, VAs (especially vehicle type requests) and TSA not adequately managed	<ul style="list-style-type: none"> • Serious and immediate direct consequences on the timeline for delivering the new tasks, which may also result in non-compliance with applicable rules and regulations as well as financial losses and reputational damages for the Agency and its stakeholders • Temporary de-prioritisation of planned statutory activities leading to potential delay of tasks/deliverables 	<p>May be caused by:</p> <ul style="list-style-type: none"> • Temporary shortage of experts with the rights skills and competences for assessing applications related to VAs, SSCs and TSA • Insufficient flexibility to redeploy internal and external (i.e. NSA) resources • Difficulties to estimate the moment and intensity of the peak workload • Inherent cyclical nature of submission of VAs/SSCs applications 	<p>Activity 2: Developing the harmonised regulatory SERA framework Activity 3: Implementing the harmonised regulatory SERA technical framework Activity 4: Monitoring, evaluating and reporting</p> <p>Objectives from activity 2, 3 and 4 (with a significant impact for objectives under activity 2)</p>	Critical	<p>a) Formalise adequate arrangements to ensure staff planning and (re)allocation in case of business continuity issues and need of rapid reprioritisation of activities;</p> <p>b) Envisage the possibility to use independent experts in order to provide expertise and knowledge in areas where NSA may not provide sufficient support (action more adapted to the expected volume of work)</p>
3	Information assets security risk (insufficient protection of information assets both Agency and third party)	<ul style="list-style-type: none"> • Unavailability of IT critical services for longer periods which may slow down or delay on operational activities/services. • Loss of information assets /leakage or manipulation/destruction of information which may eventually may lead to legal 	<p>may be caused by:</p> <p>In the context of:</p> <ul style="list-style-type: none"> • increased migration of information and information management to the cloud • increase visibility of the Agency following the starting of the new tasks; 	<p>Activity 5: Delivering efficient and effective services</p> <p>Objective 5.1 Ensure good corporate governance Objective 5.3 Supporting business</p>	High In spite of the quality and appropriateness of the risk treatment, the estimated residual risk of likelihood may	<p>1. Develop and deploy an Information Security Management System (Securis@ERA) to allow the Agency to guarantee that Information Assets under its responsibility have their confidentiality, integrity and availability protected at required level</p> <p>a) Identification of assets information and information security requirements b) Establish an information security register for all critical assets</p>

N°	Title	Risk description Consequence/Cause		Activity/Objective 2021	Residual risk	Measures to reduce the risk
		(e.g. data protection breached and liability for losses resulting from a data breach), financial and reputational consequences (e.g. third party information compromised, misused).	<ul style="list-style-type: none"> • various inherent threats affecting the Agency information security system (i.e. cyber-attacks, phishing, etc.) and • insufficient controls put in place to adequately manage/protect the information assets due to insufficient investments in IT security 	delivery through IT systems	increase in short term as the frequency of occurrence cannot be anticipated and might even increase due to external factors, and the implementation of the mitigating actions require a longer period.	<p>c) Establish an IT security register</p> <p>2. Prioritise IT security activities & plan and allocate resources accordingly in 2021 and in the next years</p>
4	Business Continuity risk for Agency core functions in case of crisis situations and need of sudden reprioritisation of tasks	<ul style="list-style-type: none"> • Failure to ensure the continuity of critical and essential functions at an acceptable pre-defined level (i.e. endangering the achievement of Agency objectives) • Loss of knowledge • Financial (e.g. loss of revenues from fees (e.g. applicants choosing another to another authority body) and reputational damage (loss of stakeholder trust) • Unavailability of staff at large scale 	<p>may be caused by:</p> <ul style="list-style-type: none"> • Ineffective and obsolete business continuity plan (BIA for core functions not finalised) and inadequate preparation (training; awareness) • Ineffective handover arrangements, back up procedures, loss of knowledge inadequately managed • Unforeseen external events outside the realm of expectations (e.g. pandemic threat) inadequately managed 	<p>Activity 5: Delivering effective and efficient services</p> <p>Objective 5.2 Ensuring sound management of the Agency's human and financial resources and building facilities</p>	High	<p>a) Formalise adequate arrangements to ensure staff planning and (re)allocation in case of business continuity issues and need of rapid reprioritisation of activities</p> <p>b) Set-up a plan for a stress test considering a pandemic scenario</p> <p>c) Competency framework including operational tasks related to 4RP (which shall help identifying the most qualified staff)</p>

N°	Title	Risk description Consequence/Cause		Activity/Objective 2021	Residual risk	Measures to reduce the risk
5	Risk of NSA and NoBos monitoring not achieving its objectives	<ul style="list-style-type: none"> audits and inspections may be less effective/reliable; difficulties in providing reasonable assurance that the systems and processes implemented by the NSAs and NoBos are adequate and effective to execute the tasks related to safety and interoperability, outcomes directly impacting the Agency's work on delivering the new tasks. potential 'positive' consequence: opportunity to achieve efficiency gains (i.e. shortened distances, reduced travel time and costs for ERA auditors) 	<p>may be caused by:</p> <p>In the context of pandemics the Agency is forced to perform the NSA and NoBo audits almost fully remotely with limited possibility to monitor on site.</p>	<p>Activity 4: Monitoring, evaluating and reporting</p> <p>Objective 4.2. Monitoring</p>	Medium	<p>Residual risk remains the same; the controls already in place cannot be enhanced further; risk accepted. The effectiveness of the measures can only be assessed once several audits are carried out in a similar manner.</p> <p>In Sept 2021 the Agency shall report to the MB on the results of the first cycle of NSA monitoring which will be used by the Agency to take stock on the lesson learned</p>
6	Inconsistent/incorrect transposition of the 4th RP legislation affecting the Agency's activities for delivering on the new tasks	<ul style="list-style-type: none"> major shortcomings in the project planning (delays and possible complaints from stakeholders), low quality of deliverables (VAs, Safety certificates-SC) which might lead to increase number of appeals to Agency decisions Delay in the transposition; Member States within different area of use might be in a different state of transposition 	<p>(may be caused by)</p> <ul style="list-style-type: none"> Insufficient preparedness of the Member States (e.g. roles, responsibilities, working methods) involved in delivering the key processes (i.e. issuing vehicle authorisation, safety certificates, checking ERTMS trackside files) to the specific requirements New processes/systems of work (i.e. revised CSM, new practical arrangements, relevant guides) not applied 	<p>Activity 3: Implementing the harmonised regulatory SERA technical framework</p> <p>Objective 3.2 Issuing Safety Certificates Objective 3.3 Issuing Vehicle Authorisation, including ERTMS on-board assessments Objective 3.4 Issuing ERTMS trackside approvals</p>	Medium	<p>a) Bilateral negotiations and agreements with the NSAs from the Member States which didn't transpose the 4RP within the specified deadline to ensure that the process for delivering new tasks is not affected (until full transposition is achieved)</p> <p>b) Exchanges on return of experience with NSAs (User group of OSS to be created including NSAs and the railway sector)</p> <p>c) Support the Commission to identify and raise awareness to MS to voluntary remedy alleged inconsistent transposition of the 4RP provisions and to eventually taking legal actions against the Member States who fail to fully transpose the provisions of the 4RP legal package</p>

N°	Title	Risk description Consequence/Cause		Activity/Objective 2021	Residual risk	Measures to reduce the risk
		<p>and/or different level of understanding, leading to unclarity in the process, high risk of exclusion of a MS from the area of use.</p> <ul style="list-style-type: none"> • Delay in transposition of the 4RP <p>might represent a reputational risk for the Agency perceived as main responsible for issuing VA and SC across EU + the success of the Agency as European Authority depends on cooperation with MS + negative impact on the rail market)</p>	<p>in a consistent manner by all concerned actors (NSAs and the Agency)</p> <ul style="list-style-type: none"> • Insufficient level of awareness regarding the changes introduced by the 4RP Legal framework • lack of clarity/misinterpretation of the 4RP legal framework by the Member States (MS) • In light of the COVID 19 outbreak, uncertainties regarding the number of MS which will completely transpose the 4 RP Package in 2020 (including compliance with the new revised deadline for transposition) 			
7	Risk of salary costs for the fee financed staff members not fully funded from fees and charges	<ul style="list-style-type: none"> • Level of fees and charges insufficient to pay all salaries for fee financed staff members • Salaries for the fee financed staff may be ultimately covered from the EU contribution (Title I of the ERA Budget) which may entail deviation from the budgetary principle of specification. 	<p>May be caused by:</p> <ul style="list-style-type: none"> • Difficult to estimate in advance the number of VAs applications and the related amount of fees and charges to be levied; • Inappropriate rules on payment of the fees and charges (i.e. long timeframe for payment, impossibility to cash in advance some part of fees and charges) 	<p>Activity 5. Delivering efficient and effective services</p> <p>Objective 5.2 Ensuring sound management of the Agency's human and financial resources and building facilities</p>	Medium	<p>a) (Short term) Envisage the possibility to request/negotiate for additional EU subsidy for Title 1 of ERA budget</p> <p>b) (Long term) Submission of a revised proposal amending the Implementing Regulation 2018/764 regarding the principles for payment for fees and charges (revision of the hourly rate for the Conformity to Type applications considering the actual costs incurred by the Agency) estimated timeframe: approval in the next RISC meeting (February 2021)</p>

N°	Title	Risk description Consequence/Cause	Activity/Objective 2021	Residual risk	Measures to reduce the risk	
8	Misaligned ERA rail registers data and service not fitting into the purpose	<p>i) • VAs and SSCs delivery processes not supported by quality data</p> <ul style="list-style-type: none"> • Synergies between the various databases managed by the Agency and the delivery of new tasks not achieved • Not delivering complete and accurate products/services • Impose administrative burden to the rail sector • Differ measures to tackle issues of the Railway system • More substantial and ad-hoc effort for Agency to obtain the required data for analyses • Changes/updates to the registers might not be based on objective/complete information leading to inadequate technical solutions/functionality 	<p>may be caused by:</p> <ul style="list-style-type: none"> • Uncertainties regarding the full transposition of the 4RP legislation by all MS (leading by default to fewer applications) • Low quality of data input from external stakeholders • Lack of automatic internal consistency checks due to inadequate silo approach design of Agency registers • Lack of harmonised legal framework imposing parameters sometime not interoperable • Insufficient resources to meet all legal requirements in particular complete analysis to support the process of improvement/streamlining data (e.g. RINF) 	<p>Activity 4: Monitoring, evaluating and reporting</p> <p>Objective 4.1 Collect and analyse evidence for decision making</p>	<p>Medium</p>	<p>a) Pilots on linking data between the different registers (2 pilots) as a basis for moving towards a better exploitation of the info/data to perform the business</p> <p>b) Roadmap on railway data and digitalisation 2020-2023 based in particular on the positive outcome for action a.</p>
9	Misalignment of stakeholders' priorities and expectations	<p>i) Inability of the Agency to expose the reality of its work and to influence the way its message is received by the stakeholders</p>	<p>may be caused by:</p> <p>a) Poor internal communication (non-reliability of available information, delays in</p>	<p>Activity 2: Developing the harmonised regulatory SERA framework</p>	<p>Medium</p>	<p>a) Development of an external communication strategy including an online strategy</p> <p>b) Review the internal communication process to reduce the risk of flaws of intra-Agency</p>

N°	Title	Risk description Consequence/Cause		Activity/Objective 2021	Residual risk	Measures to reduce the risk
		ii) Difficulties: <ul style="list-style-type: none"> to approach stakeholders who are resistant/reluctant/ambivalent to support Agency objectives; in maintaining stakeholders engagement iii) low interest of stakeholders in Agency's work	receiving the necessary data) as well as insufficient coordination of Agency external communication b) Unstructured and inconsistent stakeholder feedback to identify the weaknesses in the communication process;	Activity 5: Delivering efficient and effective services Objective 2.4 Disseminating and training to support implementation of the EU framework Objective 5.4: Communicating effectively through website and social media		communication impacting the external communication milestone: survey on quality of internal communication
10	Risk of jeopardising the quality/reliability of the VAs delivery process as well as potential longer delays in the process	<ul style="list-style-type: none"> conformity assessment carried out by the NoBos not fully aligned with the requirements provided by the relevant TSI Potential negative consequence on the quality and reliability of the VAs delivery processes as NoBo certificates are an input for vehicle authorisation, and inherently on the rail products put on the market Potential loss of credibility of the EU certification system (both for NoBO & the Agency) 	'May be caused by: <ul style="list-style-type: none"> Insufficient cooperation from other stakeholders (i.e. Notifying authorities) involved in the NoBo monitoring activities; Temporary unavailability of Agency staff reallocated to other priorities (e.g. regulatory tasks) to carry out the planned monitoring activities; With the current resources allocation, the ERA NoBo monitoring program can cover only 10% of NoBos per year 	Activity 4: Monitoring, evaluating and reporting Objective 4.2. Monitoring	Medium	a) Allocate staff in line based on Agency objectives and priorities in an objective manner; b) Share best practices, encouraging continuous improvement: Forum of exchanges of good practices; c) Put in place of a competency framework in place to enable an effective tool for inventorying and searching staff with relevant competencies

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11	Risk of absence of a working language regime in the Agency	<p>I) Financial consequences - Translation costs impacting Agency budget</p> <p>II) Legal consequences - Translation that can be contested in Court (increase number of litigations) and non-compliance with legal deadlines for delivering the Agency outputs</p> <p>III) Reputational consequences (dissemination activities are less effective).</p> <p>IV) Disruption to the wider activities of the Agency because of constant adjustment to project teams.</p>	<p>(May be caused by:)</p> <p>a) Failure of the MS representatives in the Agency Management Board to agree on an implementing rule for the linguistic regime of the Agency</p> <p>b) Increasing demands in translation in a very wide range of languages in the context of the 4RWP tasks & specific gaps in language skills (especially German)</p> <p>c) Accumulation of backlogs and delays in translation</p> <p>d) Errors/inaccurate translation of technical documents</p> <p>e) Inappropriate implementation of art.74 of the AR on Language Arrangements</p>	<p>Mainly</p> <p>Activity 3: Preparing and implementing the harmonised regulatory SERA technical framework</p> <p>Objective 3.1 Support to the Fourth Railway Package implementation Objective 3.2 Issuing Safety Certificates Objective 3.3 Issuing Vehicle Authorisation, including ERTMS on-board assessments Objective 3.4 Issuing ERTMS trackside approvals</p> <p>Objective 5.2 Ensuring sound management of the Agency's human and financial resources and building facilities</p>	Medium	<p>a) Adjustment of recruitment to target language gaps</p> <p>b) Envisage the possibility to use independent experts in order to provide technical and language knowledge</p> <p>c) Continue negotiation at MB level for the adoption of a language regime</p>
12	Risk of misalignment between Shift2Rail (S2R) activities and regulatory provisions	<ul style="list-style-type: none"> Regulatory provisions on railway interoperability & safety are not considered; European financial assistance not spend in most effective manner; Missing access to available documents 	<ul style="list-style-type: none"> Due to potential different interests between the railway industry and railway service providers (e.g. railway undertakings), the Agency's research needs might not be taken into account under S2R projects (especially for developing ERTMS solutions); 	<p>Activity 2: Developing the harmonised regulatory SERA framework (under 4RP)</p> <p>Objective 2.2 Harmonised technical specifications (fixed installations and vehicles)</p>	Medium	Residual risk remains the same; When relevant the compelling vision for the target rail system updated considering the EU priorities

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		<ul style="list-style-type: none"> S2R products/solutions may not cover/contribute to the achievement of interoperability and safety objectives 	<ul style="list-style-type: none"> Insufficient resources (financial) and decision making powers to influence/determine whether the S2R proposed actions are valid with regards to Agency objectives Insufficient timely coordination between S2R and the Agency in reviewing S2R projects with a view of validating the relevance for achieving safety and interoperability objectives 	<p>Objective 2.3 Harmonised Train Control System and telematics</p> <p>Activity 4: Monitoring, evaluating and reporting Objective 4.3. Identifying research needs for the Target Rail System and supporting partner organisations in research and innovation</p>		
13	<p>Liability risk for the Agency and its staff for an act or an omission especially in relation to decision making process for authorisations for VAs, SSC and ERTMS</p>	<p>i) Financial damages for the Agency and its stakeholders;</p> <p>ii) Reputational damage (lack of trust in Agency's capacity to manage the responsibilities under the 4th Railway Package);</p> <p>iii) Staff member liability at stake.</p>	<p>may be caused by:</p> <ul style="list-style-type: none"> Mistakes in issuing authorisations/certifications under the 4th Railway Package (e.g. leading to train accidents) Non-compliance with applicable rules and procedures; Inadequate technical expertise 	<p>Activity 3: Implementing the harmonised regulatory SERA technical framework</p> <p>Activity 5: Delivering effective and efficient services</p> <p>Objective 3.2 Issuing Safety Certificates Objective 3.3 Issuing Vehicle Authorisation, including ERTMS on-board assessments Objective 3.4 Issuing ERTMS trackside approvals</p>	Medium	Competency framework including operational tasks related to 4RP (which shall help identifying the most qualified staff)

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				Objective 5.1 Ensure good corporate governance		
14	Security requirements create new barriers for interoperability	<p>i) Delays or limits to the implementation of key objectives in the field of interoperability (i.e. removal of technical barriers, cleaning up of national rules)</p> <p>ii) Member States could impose additional measures contradicting TSI or ERTMS specifications (e.g. KMS, ..)</p> <p>even if the risk is outside the control of the Agency it may entail: - adverse reputation due to the perception the Agency is the main responsible for implementation of interoperability and -a higher workload (unplanned)</p>	<p>may be caused by:</p> <p>a) Potential occurrence of malicious acts affecting the rail sector</p> <p>b) Increase of (cyber) security attacks leads to development of additional security measure</p> <p>c) Security is an area under the competence of Member States which may develop national rules hindering interoperability</p>	<p>Activity 2: Developing the harmonised regulatory SERA framework (under (4RP))</p> <p>All objectives from Activity 2</p>	Medium	Follow-up developments and assess the potential impact on the different activities of the Agencies and on the respective stakeholders