

Work Programme  
**2013**



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# Introduction



In 2013, the Agency faces decisive turning points as well as the expected development of its activities.

By the end of 2012, the main recommendations mandated under the Interoperability, the Safety, and the Train Drivers Directives were complete. The Agency will now enter a challenging twofold phase.

1. Closing the remaining open points in Technical Specifications for Interoperability (TSIs) and learning the lessons from the application of these TSI clauses: this is in order to ensure the interoperability and technical compatibility of future projects, so that no new system diversities can be introduced.

2. A common understanding and the correct and unified application of the European framework in all Member States and by all actors in the system is the key prerequisite for the success of the European railway sector. The enhanced focus of the Agency's work is thus: **Make the existing legal framework work in the railway system.**

The diversity of approaches by EU Member States continues to undermine the economic viability of the railway sector in its core markets. To prevent this, we will intensify our explanation, dissemination, training (covering the existing legal framework) and the monitoring of the implementation of TSIs and directives in practice. This will enable ERA to understand where the system is and the progress that is being made. We will gather feedback about the effectiveness of the measures that have been implemented, including the cross-acceptance of technical rules and the removal of inconsistencies in roles and responsibilities. Consequently, the next steps in achieving a single safety certificate in around 2020 are now being undertaken. As a result of this, the Agency is becoming the **de facto railway system specifier** for the European Union.

To support all this, the Agency will strive to simplify the measures it proposes and increase the understanding of its communication of those measures. As an example, the descriptions contained in the activity-based work programme better illustrate **why we are doing this work**, pointing out the problems in the railway sector which will be solved by the work, and what we expect the **impact** of these measures to be.

The implementation of the Agency quality programme (the Agency programme), which was started in 2012, will be a cornerstone for continuously improving the coherence and consistency of the Agency's work.

Coordinating the EU Agencies is also an important and additional task in 2013 that cannot be ignored.

One of the Agency's main risks is endangered business continuity. While we fully support the principle of a turnover of staff working in the EU environment, the Agency will, nevertheless, have to manage the replacement, in 2013, of 20 % of its operational staff who have reached the end of their contracts. The recruitment of new staff and transfer of knowledge from existing staff will require a huge management effort by the Agency.

The Agency will continue to support the Commission in the development of the future role of the Agency, an evolution that could take place from 2014 onwards.

All this is reflected in the activities of the 2013 work programme. In the light of the above challenges and by further strengthening our role as 'the place where all the actors meet', we intend to come closer to the achievement of our mission: **to make the railway system work better for society.**



Marcel Verslype  
Executive Director



# ERA's mission and strategic objectives

The Agency's core objective and role is strictly defined in Article 1 of Regulation (EC) No 881/2004 <sup>(1)</sup> as amended by Regulation (EC) 1335/2008 (the Agency Regulation) <sup>(2)</sup>:

**'... to contribute, on technical matters, to the implementation of the Community legislation aimed at improving the competitive position of the railway sector by enhancing the level of interoperability of railway systems and at developing a common approach to safety on the European railway system, in order to contribute to creating a European railway area without frontiers and guaranteeing a high level of safety.'**

This is reflected in our vision and mission statements.

## Our vision

We contribute to the creation of an integrated European railway area where railway undertakings can run trains and organise their transport services freely, safely, effectively, and without interruption, where manufacturers, railway undertakings and infrastructure managers can benefit from an internal market for equipment and services, ensuring an economically sustainable railway sector. The objective is to allow the rail transport sector to realise its inherent competitive advantages in relation to other transport modes.

## Our mission

The Agency's mission is — very simply — to make the railway system work better for society.

## Our strategic objectives

(expected outcomes)

The achievement of the mission can be expressed by the achievement of the **four strategic objectives of the Agency**.

These objectives are to shape the base in the European Union for:

1. a harmonised safety regulatory framework for railway undertakings;
2. a simplified vehicle authorisation;
3. a single European train control system (ERTMS);
4. better meeting European customers' needs.

In addition, an Agency's objective is to support the European Commission in its promotion of the creation of an EU external market for the provision of railway equipment and services.

The Agency strives to achieve these objectives by its activities and the products delivered within them.

<sup>(1)</sup> Regulation (EC) No 881/2004 of the European Parliament and of the Council of 29 April 2004 establishing a European Railway Agency (Agency Regulation).

<sup>(2)</sup> Regulation (EC) No 1335/2008 of the European Parliament and of the Council of 16 December 2008 amending Regulation (EC) No 881/2004 establishing a European Railway Agency.



# ERA's activities, products, focal points, business risks and prioritization in 2013

## Agency activities

The **generic activities** the Agency is mandated with to achieve its strategic objectives are:

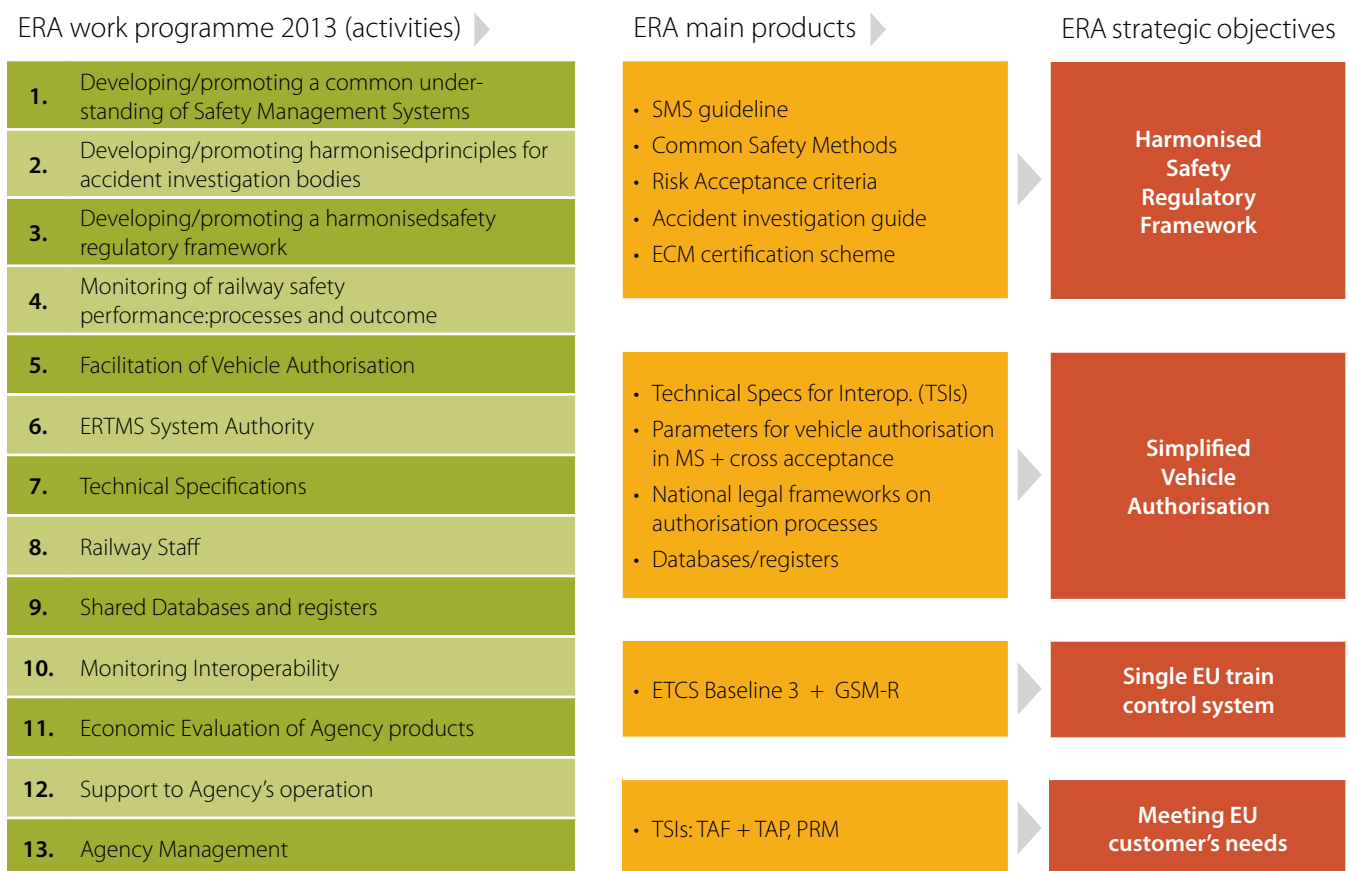
- developing, promoting and monitoring harmonised approaches towards risk control across its different stakeholders;
- improving the interoperability of the European rail system by developing the conditions for the free and uninterrupted movement of trains through technical and operational harmonisation, including conditions for the mutual acceptance of railway vehicles;
- facilitating the exchange of information within the railway sector by networking with railway actors, providing registers and databases, issuing reports and giving guidance on the implementation of the regulatory framework;

- evaluating, ex ante and ex post, the impact on the railway system of the intended and implemented Agency's activities;
- supporting the progressive creation of an internal and external EU market for the provision of railway equipment and services.

These activities belong to one or more of the logic components that form the basis to control any system:

- development (setting the standards for the desired state of the system);
- promotion and facilitation (managing the change from the actual to the desired state);
- monitoring (knowing the actual state of the system).

**Reflecting the logic of these components, the Agency carries out 13 activities to achieve the Agency's four strategic objectives (the Agency's activity-based structure):**



The activities are subgrouped into projects, tasks and related outputs are described in the relevant sections of Chapter 5, ERA activities.

# Agency products (outputs)

Within these tasks and activities, the Agency provides **its products** (outputs).

- The Agency carries out the **Management of specifications**. This takes the form of recommendations for secondary European legislation such as TSIs or Common Safety Methods (CSMs) and for the European Rail Traffic Management System (ERTMS) and/or the ongoing maintenance of these specifications (e.g. closing open points). The Agency normally produces application guidance to accompany the formal text.
- The Agency has a constantly growing role in **dissemination and training**. The scope of this product covers both the broad European legal framework of the Interoperability, the Safety, and the Train Drivers Directives and the specific texts produced by the Agency.
- The Agency has a key role as **facilitator and coordinator**. It is a neutral venue and 'the only place where all the railway actors meet'. In this context, it is the ideal forum for the development of the understanding of common problems affecting the competitiveness of the railway sector, the building of consensus solutions, and a common understanding of priorities.
- The Agency provides **assistance to the Commission and Member States** in the development, implementation, and monitoring of the framework put in place by the Interoperability, the Safety, and the Train Drivers Directives.

- The Agency also delivers **impact assessments and economic evaluations** for each of its recommendations and applies and enforces the principle of pre-assessment of task requests to establish a joint understanding of the effectiveness of the intended measures and the administrative burdens they may generate.

- The Agency is charged with the **development and management of databases and registers** related to railway interoperability and safety and mainly destined for use by all railway actors. These include such things as the register of vehicle types, the reference document of national rules used for vehicle authorisation and the databases of safety certificates and authorisations. The Agency also provides support and advice to the Commission in respect of the databases of notified national rules managed by the Commission.

- Finally, as an independent and neutral body of expertise, the Agency may be called on **to compile reports and provide opinions** on matters within its competence such as national technical or safety rules and refusals by National Safety Authorities to authorise placing railway subsystems or vehicles in service or proposals for new measures to manage dangerous goods.

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

These products (the outputs of the activities and projects) can be found in the Agency's activities to various extents and amounts, depending on the progress already achieved in each activity in the life cycle of the system control.



# Focal points 2013 on the way towards the strategic objectives

## 1. Strategic objective 'Single Safety Certificate'

The legislative programme initiated by the directives of 2004 and 2008 was completed in 2012 (development phase). The CSMs for risk assessment, conformity assessment, monitoring and supervision, and the entity in charge of maintenance (ECM) certification scheme will be fully applied during 2013. The Agency is now engaged entirely in follow-up activities, modifications of the texts and dissemination activities, and in making efforts to ensure the system is working. Monitoring of 'where the system is' will be undertaken to identify the progress made.

With the establishment of the **Joint Network Secretariat** in 2012, the Agency will have a tool to evaluate the effectiveness and practical implementation of these measures, together with the stakeholders, to identify the most critical safety issues and to analyse if additional legislative measures are necessary.

All this paves the way for the migration to a **single safety certificate** for railway undertakings in around 2020. Additionally, in order to avoid uncoordinated reactions after serious accidents or repetitive incidents, the Agency is finalising a process to allow the adoption of common agreed EU positions and action plans.

## 2. Strategic objective 'Simplified Vehicle Authorisation'

The year 2013 will be a key year for **making transparent and simplifying the processes and rules used for authorising railway vehicles and subsystems**. Work has come to a conclusion on the extension of scope of the TSIs to the entire railway system and the closing of some of the critical open points. A task remaining in 2013 is the closing of further open points in the TSIs. This eliminates the needs for simultaneous conformity with TSIs and national rules, each of which requires their own verification. Furthermore, for cases where national rules remain applicable (e.g. existing non-TSI conforming vehicles to be authorised in another country), 2012 saw the completion of the Reference Document Database (RDD) cross-referencing national rules for vehicle authorisation and their equivalence, which will be in use in 2013 and facilitating further the cross-acceptance of national rules.

The legal framework necessary for the efficient operation of the shared railway system, including the opening of the internal market in equipment and services for the construction, renewal, upgrading and operation of the rail system is now in place at European level. But, in practice, the railway undertakings and their suppliers still face numerous problems and obstacles to competitiveness, arising from the following:

- the European framework being implemented differently in each Member State rather than using a common approach;
- the existing national regimes not being removed but remaining as overlays or operating in parallel with the European framework — this often leads to confusion over roles and responsibilities and the duplication of rules, checks and verifications;
- the responsible actors are not applying the rules.

These problems of transition primarily arise from the need to restructure rules, roles and responsibilities to take account of the migration from a single 'closed' system managed by one entity to a regime more akin to that of the aviation and road sectors where the system is 'shared'. Such systems are managed by many actors, each responsible for their part of the system according to rules, roles and responsibilities laid down by EU law, complemented by national law which respects the European framework.

As the European framework for vehicle authorisation has now been put in place, we anticipate being asked to provide a significant number of (technical) opinions on such matters as TSI errors, compatibility of national rules with EU legislation, equivalence of national rules and refusals to authorise placing into service, which is part of the dissemination and clarification process.

### 3. Strategic objective ‘Single European Train Control System’

With the delivery of the European Train Control System (ETCS) baseline 3 in 2012, the focus in the **ERTMS** field will move to the follow-up of the development, testing and implementation, with targeted dissemination and monitoring activities to encourage the harmonised application of the standard system, with dedicated attention to early implementation to ensure timely examination of the return on experience.

The new Memorandum of Understanding (MoU) on ERTMS signed in April 2012 by the Commission, the Agency and the sector organisations spells out the priorities and respective commitments to progress successfully with the deployment of the system, entrusting a significant role to the Agency: all the necessary actions are included in this work programme.

The harmonisation of the specifications cannot bear fruit without a common approach to the verification and authorisation processes:

in this respect, specific activities with the notified bodies (NoBos) and cooperation with national safety authorities (NSAs) will be strengthened. In the field of railway communications, the Agency will define the roadmap to enable ETCS communications on packet-switched radio technologies, and to consolidate the requirements for the evolution of voice radio in view of the planned Global System for Mobile communications — Railways (GSM-R) life expectancy. With the help of the sector, the Agency will develop guidelines to simplify and standardise the engineering, and to support harmonised operations with the ERTMS system.

Cooperation with the Trans-European Transport Network (TEN-T) Executive Agency in evaluating specific ERTMS projects will be pursued and strengthened within the limits of the available resources, with the aim to help ensure that ERTMS projects receiving EU money are in conformity with the essential requirements and, indeed, contribute to the progressive deployment of a single harmonised system.

### 4. Strategic objective ‘Meeting EU customers’ needs’

Several TSIs are addressing issues related to railway customers.

For passengers, the TSI on telematics applications for passenger services (TAP TSI) Regulation established under the Article 10 of the Passenger Rights Regulation <sup>(3)</sup> is addressed to railway undertakings, infrastructure managers, ticket vendors and passengers and aims to harmonise the exchange of information between actors. The text is being completed by the recommendation of Phase 1 in Chapter 7 (IT specs, Governance, Master Plan and retail architecture). The recommendation was submitted at the end of October 2012 and will be voted on early in 2013. Further work is needed to close the open point on electronic ticketing, which will enable passengers to obtain a ticket for an entire trip involving several modes.

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

In order to establish the Agency as the ‘Telematics applications system authority’, our task is to ensure the continuing work of the TAF CCM and TAP CCM working parties. The new task from the year 2013 will be guiding, supporting and advising the rail sector and Member States when implementing the telematics TSIs. In this work, ERA continues to participate in the steering committee works in both TAP and TAF and, in addition, observes, advises and monitors the work done in Member States and among other rail actors; the main task

is to guarantee that everything will be done in line with legislation and all the actors are involved, including the small and medium-sized companies. At regular intervals, ERA has to inform the EC about the results in this monitoring and has to advise the EC about the possible changes needed.

In a multimodal context, ERA has to guarantee that any of the actions taken do not make additional obstacles for multimodal environment.

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

In the framework of Council Decision 2010/48/EC <sup>(4)</sup>, the EU shall take appropriate measures to ensure to persons with disabilities, access, on an equal basis with others, including to transportation.

In the context of the revision of the TSI on persons with reduced mobility (PRM TSI), collecting information on the detailed level of accessibility offered by stations and rolling stock has been identified as a benefit for persons with reduced mobility and people with disabilities. Such information is to be collected by stakeholders through inventories of assets, and made available to passengers (‘how’ is to be defined). It shall also be the basis for implementation plans for the PRM TSI that are to be put in place by Member States.

<sup>(3)</sup> Regulation (EC) No 1371/2007 of the European Parliament and of the Council of 23 October 2007 on rail passengers’ rights and obligations.

<sup>(4)</sup> Council Decision 2010/48/EC of 26 November 2009 concerning the conclusion, by the European Community, of the United Nations Convention on the Rights of Persons with Disabilities.

The Agency plans to develop an IT tool in order to facilitate the collection and interfacing of inventories of assets from all Member States. The architecture and all details relative to this accessibility database are to be defined. In 2013, the activities will be to identify

the form that such a tool for the centralisation of accessibility information would take, and to clarify the exact information required from stakeholders. The next phase, the development of the tool, will begin in Q4 2013.

## Business risks related to the activities

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

Given the number of contracts of operational staff coming to their end in 2013 and 2014, the main risk is to ensure business continuity through the recruitment of staff with adequate competencies. Experience shows that it is not always possible to attract the necessary calibre of expert staff (due to their rarity), in the first instance. A related risk arising from this is to the execution of the Agency's staff budget. Furthermore, the continuation of the IT services delivered by the Agency to the sector and the Agency is a major issue. A business continuity plan covering these aspects has been drawn up by the Agency and is under regular review.

Dissemination has become a key element for making the outputs of the Agency work in the railway sector. An effective stakeholder management and communication strategy is also considered indispensable. Failures in these domains would put the Agency at risk not

only from achieving the desired outcomes but through insufficient implementation of such outputs. These risks also impinge on the reputation of the Agency. To mitigate these risks, improved stakeholder management processes are already part of the measures included in the Agency's quality programme action plan for 2012 and they will be strengthened further in 2013. The results are reviewed regularly and the Agency's communication strategy will be adapted accordingly.

Last but not least, the Agency's performance management is an area that must be brought under control to adjust, if necessary, the Agency's activities so that the expected outputs are not endangered. Performance management also provides the necessary warnings in areas that may be impacted in a sensitive way by the turnover of staff. The most relevant key performance indicators have been identified in the Agency's Quality programme action plan in 2012 and are being introduced gradually into the Agency's work programme management.

The related Agency's risk register can be found in Annex II.



## Managing the priorities

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

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

- prioritise;
- make the best use of technical expertise available from the sector;
- balance use of internal staff with the use of experts and consultants;
- constantly push to improve efficiency in the work undertaken.

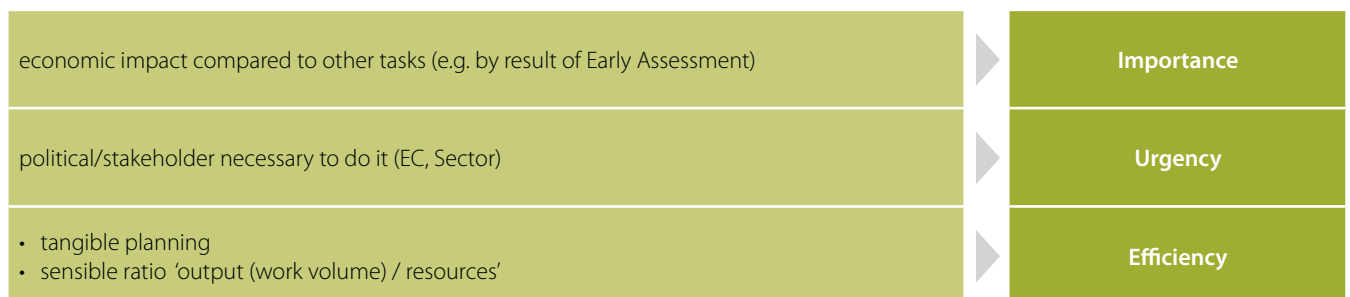
As the Agency's 2013 resource situation reaches a critical level in the light of the tasks expected to be performed by the Agency, the Agency conducted, in 2012, an exhaustive prioritisation exercise on its work programme and shared its results with the European Commission.

The following principle for the prioritisation of the tasks has been applied.

First step (within each of the four strategic objectives):



Second step ('One Agency ranking' across all objectives)



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

As the allocation of new tasks can, in the future, only be done within the given resource frame and by redirecting resources if need be, an efficient early assessment of new tasks and a regular exchange with the EC on the results will be established to ensure that priority is given to the tasks with the highest added value for the strategic objectives of the Agency.

The result of the subsequent resource (re)allocation is reflected in the underlying work programme 2013.

# ERA's working method

## The management team

The Executive Director, together with the management team:

1. develops and adopts the multi-annual plan of the Agency;
2. acts as a forum for the prioritisation and risk management of the activities of the Agency;
3. acts as the coordinating body for the Agency's activities;
4. provides guidance and training for Agency staff and working party members in:
  - the principles and processes underpinning the Interoperability and the Safety Directives;
  - non-technical or safety issues (e.g. economic analysis);
  - working methods, meeting management, consensus building, etc.

5. acts as the focus for the exchange of views with external organisations (inputs to, and outputs from, ERA) in respect of the Agency's activities, also including those activities that are not specific to a particular working party;

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

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

## Transparency

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

In accordance with the requirements of Article 3 of the Agency Regulation that the work of the working parties shall be transparent, records of working party meetings and working documents are

made available to all members of the relevant working party, persons nominated by the representative bodies to coordinate their relationship with the Agency, and persons nominated by the representative bodies coordinators as their members' contacts for interoperability and safety matters. Members of the Network of National Safety Authorities have access to documents of all working parties for which they have the right to appoint members.

## Participation and decision-making

Working parties are managed on a collaborative basis with the expectation that all members shall contribute to the results in proportion to their expertise and representing their representative body and its members.

Agreement within working parties shall normally be reached by consensus but, in the event of sustained failure to achieve consensus, the Agency shall request the parties in disagreement to document

the case for their position and, taking account of the relative merits of the different options, shall make a recommendation. The Agency shall document the different positions and the justification for its recommendation in the report that accompanies the final recommendation. To ensure an integrated approach at working level, the Agency's internal working groups incorporate experts with specialist knowledge in all relevant fields.

# ERA's budget foreseen for 2013

All figures are subject to the final approval of the budget authority.

Activity	Unit Staff	DIRECT COSTS				INDIRECT COSTS		SUB-TOTAL	Distributed overhead	TOTAL
		CHAP 30		BL3110	Chapter 31 - BL3110	Titles 1 & 2				
		Activities	Studies				Translation Interpretation			
Developing and promoting a common understanding of Safety Management System	3,45	135.940	120.000	130.820	0	0	424.699	320.146	1.131.605	
Developing and promoting harmonised principles for accident investigation bodies	1,96	75.840	120.000	132.020	0	0	241.278	181.880	751.018	
Developing and promoting a harmonised Safety Regulatory framework	8,76	307.980	60.000	93.520	0	0	1.078.367	812.891	2.352.759	
Monitoring of Safety Performance	14,55	153.160	0	43.640	0	0	1.791.123	1.350.179	3.338.103	
Facilitation of Vehicle Authorisation	16,08	167.000	50.000	20.000	0	0	1.979.468	1.492.157	3.708.625	
ERTMS System Authority	10,4	360.000	250.000	15.000	0	0	1.280.253	965.077	2.870.330	
Technical Specifications	20,85	430.100	320.000	100.000	0	0	2.566.661	1.934.793	5.351.554	
Railway staff	1,35	77.980	0	0	0	0	166.187	125.274	369.441	
Shared Databases and registers	10,25	131.450	0	0	1.578.299	0	1.261.788	951.157	3.922.694	
Monitoring Interoperability	2,2	47.350	0	0	0	0	270.823	204.151	522.324	
Economic Evaluation of Agency products	6,55	86.220	0	40.000	0	0	806.313	607.813	1.540.346	
Support to Agency operations	46,05	0	0	0	655.500	320.000	5.668.813	-6.644.313	0	
Agency Management	15,55	186.980	0	0	0	200.000	1.914.225	-2.301.205	0	
<b>Total</b>	<b>158</b>	<b>2.160.000</b>	<b>920.000</b>	<b>575.000</b>	<b>2.233.799</b>	<b>520.000</b>	<b>19.450.000</b>	<b>0</b>	<b>25.858.799</b>	

# ERA's activities

## 1. Developing and promoting a common understanding of safety management systems

The concept of a Safety Management System (SMS) is a key element in the legislative framework to improve the safety performance in an open railway market, as set out in Directive 2004/49/EC (RSD) <sup>(9)</sup>. There is clear evidence that, 3–4 years after the RSD should have been implemented, different railway undertakings (RUs) and infrastructure managers (IMs) are still failing to grasp the basic concepts of a well-designed SMS, showing different levels of understanding and application of its requirements. A prime activity for the Agency is, therefore, to continue the development of the understanding of the basic concepts, elements and processes that are part of an adequate

SMS within the railway sector, continuously taking into account the evolving knowledge on this topic in science and relevant other safety-related sectors, and to promote this common understanding throughout Europe. The Agency aims to contribute to a better understanding by all stakeholders on the functioning of an adequate SMS and how this can help to give assurance that the risks related to operating the railway are under control. In recognition of the vital role of humans in achieving the safe transport of goods and people on the European Railways, the Agency will continue to develop a common approach to integrate human factors into some of its work streams.

### 1.1. Developing and promoting SMS overall principles

#### What is the problem to be solved?

There used to be a lack of reference documents on guidance for designing an SMS (i.e. an international standard, as envisaged in paragraph 2.3.6 of the Annex to the Commission Decision concerning the second mandate for developing Common Safety Methods (CSM) under Directive 2004/49/EC, requesting ERA to develop the CSM on conformity assessment). Railway undertakings and infrastructure managers that have to implement an SMS in order to obtain a safety certificate or safety authorisation did not have any reference document to assist them in designing and implementing their SMS in conformity with the provisions of the Directive 2004/49/EC, Article 9 and Annex III.

#### What does the Agency do?

The SMS Application Guide and the web application developed in 2012 aim to provide a knowledge-building base to be used by RUs/IMs to design and implement their SMS in conformity with the aforementioned requirements of the Directive 2004/49/EC, based on the best practices adopted in the railway sector and in other high reliability industries, also allowing the integration with other management

systems. It has been gradually complemented with papers on safety culture and human factors. Before going further in the development of this guideline by developing other papers on, for example, SMS maturity and monitoring of SMSs, in 2013, the Agency will focus mainly on the dissemination of the already available information by organising workshops covering SMS, ECMs and CSMs. The Agency will also analyse on some of its work stream, for example, on the CSM on risk assessment and how human factors should be integrated.

#### What is the expected overall impact?

The workshops and the analysis of how human factors could be integrated within the Agency work streams will support the Agency in the definition of what are the most important items on which future additional guidelines could be needed and improve the stakeholders' understanding of the SMS. The web interface, which was designed in 2012 to support the dissemination, will be extended to the CSMs and the ECMs.

Principal outputs 2013	Legal basis	Timing
1. Update of the SMS guidelines depending on return on experience and needs expressed by stakeholders	Agency Regulation, Article 6; Directive 2004/49/EC, Article 6	December 2013
2. Combined workshops in Member States within overall dissemination concepts (SMS, ECMs and CSMs)	Agency Regulation, Article 6; Directive 2004/49/EC, Article 6	Ongoing
3. IT Service (web SMS): incorporation of CSM processes	Agency Regulation, Article 6; Directive 2004/49/EC, Article 6	December 2013
4. Report on the integration of human factors within specific work streams such as the CSM on risk assessment	Agency Regulation, Article 6; Directive 2004/49/EC, Article 6	December 2013

<sup>(9)</sup> Directive 2004/49/EC of the European Parliament and of the Council of 29 April 2004 on safety on the Community's railways and amending Council Directive 95/18/EC on the licensing of railway undertakings and Directive 2001/14/EC on the allocation of railway infrastructure capacity and the levying of charges for the use of railway infrastructures and safety certification (Railway Safety Directive).

## 1.2. Developing and promoting CSM on risk assessment

### What is the problem to be solved?

Commission Regulation (EC) No 352/2009<sup>(6)</sup> on CSM on risk assessment is in force. A harmonised application of the CSM on risk assessment (CSM RA) by different stakeholders (RUs, IMs, ECMs, etc.) is not straightforward. Some actors and Member States have difficulties with the method: consequently, the Agency is unable to collect pertinent experience on the method. A postponed application of the CSM by the sector does not enable the Agency to improve the Regulation or related guidelines. This uncertainty on the degree of implementation of the CSM also makes it difficult to target right the dissemination workshops.

### What does the Agency do?

Revision of the CSM and its guidelines v results of further developments on Assessment Bodies (AB). As an integrated part of the dissemination of the SMS principles, the Agency organises additional dissemination workshops (following those in 2009 and 2010) to help the sector in applying the CSM; this will enable the Agency to gather information on experiences and difficulties with the application of the CSM on risk assessment from stakeholders. The work performed by the Agency in 2012 on the risk acceptance criteria did not allow the Agency to recommend any figures to the EC as part of the revision of Commission Regulation (EC) No 352/2009 and the Agency

has demonstrated that more time is needed for all the stakeholders to propose and validate the figures for the risk acceptance criteria (RAC) on technical issues. In 2013, the Agency will make a technical note proposing a way forward with this development which should lead to some agreed figures in 2014. The Agency also ensures inclusion of assessment bodies in the European Railway Agency Database of Interoperability and Safety (ERADIS).

### What is the expected overall impact?

Better understanding of how the CSM on risk assessment can be applied and, thus, increase the experience/competence collection of illustrative cases of the use of the CSM that can be made available to the whole sector as future examples. Understanding of what might need to be revised in future in the CSM. The use of a common and harmonised method for risk assessment is expected to increase mutual trust and to facilitate the mutual recognition of results from risk assessments. This is an important building-block for the migration towards a single safety certificate.

Principal outputs 2013	Legal basis	Timing
1. Technical note on a way to proceed for RAC for technical issues	Directive 2004/49/EC, Article 6	May 2013
2. Updated guidance documents following return on experience and needs expressed by stakeholders	Directive 2004/49/EC, Article 6; Regulation (EC) No 352/2009, Article 9	December 2013
3. Combined workshops in Member States within overall dissemination concepts (SMS, ECMs and CSMs)	Directive 2004/49/EC, Article 6	Ongoing
4. Assessment body module in ERADIS	Directive 2004/49/EC, Article 6	December 2013

<sup>(6)</sup> Commission Regulation (EC) No 352/2009 of 24 April 2009 on the adoption of a common safety method on risk evaluation and assessment as referred to in Article 6(3)(a) of Directive 2004/49/EC of the European Parliament and of the Council.

### 1.3. Developing and promoting CSM on monitoring

#### What is the problem to be solved?

Monitoring safety performance is an important element of the SMS. In 2011, the Agency delivered a draft regulation on a CSM on monitoring the safety performance to the Commission. In 2012, it was approved by the establishment of the Railway Interoperability and Safety (RISC) Committee. The risk of a non-harmonised application of the method by the railway actors or the Member States will make the mutual recognition of the safety management system difficult.

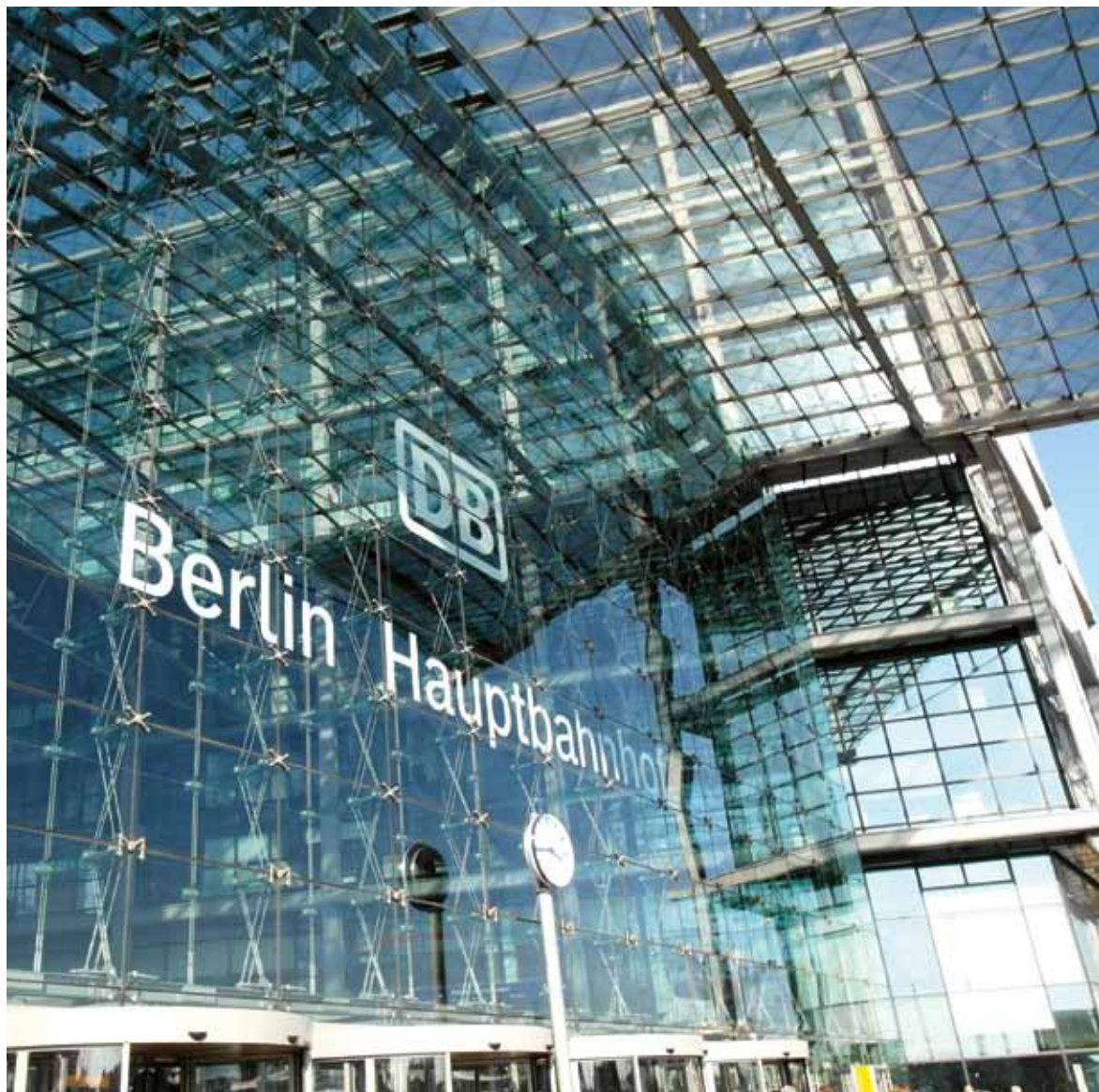
#### What does the Agency do?

As an integrated part of the dissemination of the SMS principles, the Agency will start the dissemination of the CSM on monitoring (CSM MO).

#### What is the expected overall impact?

A better understanding of how the CSM on monitoring can be applied and, thus, increase experience/competence. The use of a common and harmonised method for monitoring is expected to increase mutual trust and to facilitate the mutual recognition of the safety management system. This is an important building-block in achieving the fulfilment of the preconditions for migration towards a single safety certificate.

Principal outputs 2013	Legal basis	Timing
1. Combined workshops in Member States within the overall dissemination concepts (SMS, ECMs and CSMs)	Directive 2004/49/EC, Article 6	Ongoing



## 2. Developing and promoting harmonised principles for accident investigation bodies

Article 1 (Purpose), citations (23) to (25) and Article 19.1 of the Railway Safety Directive (RSD) require NIBs to be established, to investigate serious accidents (and accidents that, under different circumstances, might have led to serious accidents), and to make recommendations where appropriate in order to maintain or improve European railway safety. The ultimate objective of these investigations is the

improvement of railway safety and the prevention of accidents. A correct application of the investigation framework set out in the RSD, whereby all concerned organisations recognise and accept their own and each other's roles and responsibilities in investigating accidents and incidents, can contribute to a sustainable and safe development of the railway system in Europe.

### 2.1. Developing and promoting overall NIB principles

#### What is the problem to be solved?

With the aim of improving railway safety and preventing serious accidents, the RSD requires the establishment of a National Investigating Body (NIB) in all Member States, investigating serious accidents and accidents that, under different circumstances, might have led to serious accidents, and to make recommendations where appropriate.

These NIBs are still in the process of establishing how they can best, and to what extent, fulfil the important responsibility given to them by the RSD. Harmonisation of NIB principles will improve overall NIB efficiency and their integration into the legal framework.

#### What does the Agency do?

Working closely with the NIBs, and covering the scope of accident investigation as laid down in the RSD, the Agency will develop guidelines on NIB independence. The Agency will also continue to develop modules for the training of accident investigators in Europe and will also support the organisation of these training sessions.

#### What is the expected overall impact?

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

Principal outputs 2013	Legal basis	Timing
1. TF to assess threats to NIB independence	Directive 2004/49/EC; Article 21; Agency Regulation, Article 6	Three meetings organised
2. One training session for accident investigators	Directive 2004/49/EC, Article 21; Agency Regulation, Article 6	tbd
3. List of Human Factors (HF) experts in each Member State established to support NIB in investigations	Directive 2004/49/EC, Article 21; Agency Regulation, Article 6	Ongoing update
4. Actions stemming from contact with RAILPOL	Directive 2004/49/EC, Article 21; Agency Regulation, Article 6	Ongoing

## 2.2. Promoting cooperation and providing assistance

### What is the problem to be solved?

According to Article 21(7) of the RSD: 'The investigating bodies shall conduct an active exchange of views and experience for the purpose of developing common investigation methods, drawing up common principles for follow-up of safety recommendations and adaptation to the development of technical and scientific progress. The Agency shall support the investigating bodies in this task.'

### What does the Agency do?

The Agency will carry on organising the network of NIBs to coordinate and promote the participation of the NIBs in the tasks of project 5.2.1. This will involve workshops with the NIBs on dedicated topics, the

organisation of the NIB network, its work programme and its meetings, including joint meeting with the NSA network, where appropriate, and providing assistance to the NIBs on request. The Agency will also facilitate the exchange of experience between NSAs and NIBs on how they integrate human factors within their work.

### What is the expected overall impact?

Building on the work developed in project 5.2.1, the promotion of NIB cooperation will result in an improved efficiency and effectiveness of NIBs in performing their duties and an increasing European harmonisation of NIB processes and practice.

Principal outputs 2013	Legal basis	Timing
1. Three NIB network plenary meetings; workshops and seminars on specific topics; human factor network	Directive 2004/49/EC, Article 21; Agency Regulation, Article 6	Three plenary meetings
2. Participation in NIB language groups	Directive 2004/49/EC, Article 21; Agency Regulation, Article 6	Ongoing



### 3. Developing and promoting a harmonised safety regulatory framework

The implementation by Member States of the safety regulatory framework as set out by the RSD is still very diverse. Through this activity, the Agency aims at harmonising the implementation of this

regulatory framework in order to improve safety in an open European railway market, also taking into account neighbouring countries.

#### 3.1. Developing and promoting overall principles for certification and regulation

##### What is the problem to be solved?

Railway safety within Europe is built on the mutual acceptance of certificates and authorisations for RUs/ECMs and IMs issued in single Member States. This requires a similar approach to certification and regulation, an equal level of performance and a high degree of mutual trust amongst NSAs and between other certification bodies. Recent findings, however, show a great variety of approaches and a different level of maturity of NSAs in different Member States, sometimes even hindering the further development of an open European railway market.

##### What does the Agency do?

The Agency will carry on organising the Network of NSAs to coordinate and harmonise the different levels of performance among the NSAs, for example by facilitating the harmonisation of NSAs

decision-making criteria and processes, described in Article 6 of the RDS. In addition, a dedicated task force (TF) of NSAs (refer to projects 5.3.2 and 5.3.3) will offer the opportunity to exchange and learn from best practices (which have been put in place by the most mature NSAs) and propose solutions to overcome identified problem areas with a harmonised implementation of the EU legal framework. The work of this task force will result in guidance for NSAs on certification and supervision/regulation activities.

##### What is the expected overall impact?

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

Principal outputs 2013	Legal basis	Timing
1. Task force on assessment and supervision to evaluate potential harmonisation of NSA processes	Directive 2004/49/EC, Article 6	Four meetings
2. Combined workshops in Member States within overall dissemination concepts (SMS and CSMs)	Directive 2004/49/EC, Article 17; Agency Regulation, Article 6	Ongoing
3. Four NSA network plenary meetings; workshops and seminars on specific topics	Directive 2004/49/EC; Article 17; Agency Regulation, Article 6	Four plenary meetings

#### 3.2. Developing and promoting CSM on conformity assessment

##### What is the problem to be solved?

Despite the publication at the end of 2010 of the CSM on conformity assessment, the approaches and maturity of NSAs to certification are still very different in the various Member States. This jeopardises the mutual trust among NSAs and clearly represents a barrier to the further development of an open European railway market.

##### What does the Agency do?

The CSMs on conformity assessment (CSM CA) provide a harmonised framework for NSAs to assess the SMS of RUs and IMs prior to the award of a safety certificate/authorisation and provides the

basic principles for NSA supervision of safety performance after the award of the certificate/authorisation, which is developed further in the CSM on supervision. It also establishes the hierarchical relationship between Part A and Part B safety certificates and fixes an NSA approach to awarding Part B certificates. In 2013, information on the CSM on supervision can be integrated into the dissemination workshops with NSAs (run in combination with dissemination on SMS) that will continue. Feedback on this activity together with the results on the TF on CSM on conformity assessment and supervision will result in a revision of the guidance for NSAs (and, eventually, the CSM).

### What is the problem to be solved?

Despite the publication at the end of 2010 of the CSM on conformity assessment, the approaches and maturity of NSAs to certification are still very different in the various Member States. This jeopardises the mutual trust among NSAs and clearly represents a barrier to the further development of an open European railway market.

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approach to awarding Part B certificates. In 2013, information on the CSM on supervision can be integrated into the dissemination workshops with NSAs (run in combination with dissemination on SMS) that will continue. Feedback on this activity together with the results on the TF on CSM on conformity assessment and supervision will result in a revision of the guidance for NSAs (and, eventually, the CSM).

### What is the expected overall impact?

This project aims to contribute to an accelerated harmonisation of certification and supervision/regulation processes throughout Europe. Correct implementation of the CSM will also provide a transparent approach so that RUs and IMs know how their applications for certification will be assessed and the basic principles on how their performance will be assessed afterwards, which should improve the trust of all stakeholders in the safety regulatory framework.

Principal outputs 2013	Legal basis	Timing
1. Combined workshops in Member States within overall dissemination concepts (SMS and CSMs)	Directive 2004/49/EC, Article 17; Agency Regulation, Article 6	Ongoing
2. TF on assessment and supervision to evaluate potential harmonisation of NSA processes	Directive 2004/49/EC, Article 6	Four meetings

## 3.3. Developing and promoting CSM on supervision

### What is the problem to be solved?

Commission Regulation (EU) No 1077/2012 <sup>(?)</sup> on a CSM for supervision enters into force in December 2012 and shall apply from June 2013. The experience of the other CSMs clearly showed that if these are not supported by clear guidelines and strong dissemination, they will not bring all the expected benefits, which will jeopardise the necessary trust between NSAs.

### What does the Agency do?

The CSMs on supervision (CSM SU) provide a harmonised framework to be used by the NSAs for monitoring and supervising the delivery of safe operations by RUs and IMs and the efficiency of their SMS. The tasks of the Agency for this project have been integrated into project 5.3.2 and mainly consist of finalising the dissemination workshops of

these two CSMs and harmonising further the NSA approaches with the related task force.

### What is the expected overall impact?

In order to promote and improve safety, NSAs need to build a relationship with the RUs and IMs that starts with the assessment of their applications and the issuing of a safety certificate/authorisation. However, to obtain a complete picture of the risk profile and potential safety performance of the railway system within a Member State and of the different players in this system, NSAs need also to perform supervisory activities, using different sources of monitoring as an input. By performing these activities, the NSA can provide the Member State's government and the public in general with a source of independent advice on railway safety issues.

Principal outputs 2013	Legal basis	Timing
1. Combined workshops in Member States within overall dissemination concepts (SMS and CSMs)	Directive 2004/49/EC, Article 17; Agency Regulation, Article 6	Ongoing
2. TF on assessment and supervision to evaluate potential harmonisation of NSA processes	Directive 2004/49/EC, Article 6	Four meetings

<sup>(?)</sup> Commission Regulation (EU) No 1077/2012 of 16 November 2012 on a common safety method for supervision by national safety authorities issuing a safety certificate or safety authorisation.

### 3.4. Developing and promoting the ECM certification scheme

#### What is the problem to be solved?

Commission Regulation (EU) No 445/2011 <sup>(8)</sup> on certification of entities in charge of maintenance (ECM Regulation) is in force. A common implementation in the EU must be ensured and is a pre-condition of the credibility of the ECM certification. RUs must trust in the ECM certification. The ECM Regulation is judged as insufficiently detailed by stakeholders and accreditation bodies to ensure common implementation. There is a need for additional guidance documents and to take into account the evolution of the maturity of stakeholders regarding the management system approach.

#### What does the Agency do?

As an integrated part of the dissemination of the SMS principles, the Agency will organise dissemination workshops on ECMs. The Agency

will also organise, as imposed by Article 6 of Regulation (EU) No 445/2011, cooperation between certification bodies. This will provide inputs for revising the accreditation and certification schemes.

#### What is the expected overall impact?

Common implementation of the ECM Regulation that will answer the needs of RUs (assurance on the capability of ECMs) and the economic possibilities of ECMs; maintain the costs of the ECM certification under monitoring (avoid dumping or exaggerated costs); and preparation for the revision of the ECM regulation planned in the Safety Directive for 2015.

Principal outputs 2013	Legal basis	Timing
1. Updated guidance documents following return on experience and needs expressed by stakeholders	Directive 2004/49/EC, Article 14a; Regulation (EU) No 445/2011	Ongoing
2. Combined workshops in Member States within overall dissemination concept (SMS, ECMs and CSMs)	Directive 2004/49/EC, Article 14a; Regulation (EU) No 445/2011	
3. Harmonisation of the ECM certification process; cooperation of certification bodies	Directive 2004/49/EC, Article 14a; Regulation (EU) No 445/2011	Ongoing

### 3.5. Coordinating the accreditation framework

#### What is the problem to be solved?

Accreditation is the tool to be used to ensure the capability of conformity assessment bodies according to Regulation (EC) No 765/2008 <sup>(9)</sup>. Several ERA activities are impacted: ECM certification, independent safety assessment, accreditation of training centres, etc. There is a need to coordinate ERA activities related to accreditation with the European cooperation for Accreditation (EA). If not, there is a risk of impairing or delaying the implementation of legal rules (national divergence).

#### What does the Agency do?

The Agency will organise dissemination activities addressed to the national accreditation bodies on the specificities of the railway

environment including the legal aspects. This will include training seminars, guidance documents and support to European cooperation for Accreditation (EA) to ensure the right railway knowledge for their members.

#### What is the expected overall impact?

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

Principal outputs 2013	Legal basis	Timing
1. Review of training material	Directive 2004/49/EC, Article 14a; Regulation (EU) No 445/2011; Regulation (EC) No 352/2009	Ongoing

<sup>(8)</sup> Commission Regulation (EU) No 445/2011 of 10 May 2011 on a system of certification of entities in charge of maintenance for freight wagons and amending Regulation (EC) No 653/2007.

<sup>(9)</sup> Regulation (EC) No 765/2008 of the European Parliament and of the Council of 9 July 2008 setting out the requirements for accreditation and market surveillance relating to the marketing of products and repealing Regulation (EEC) No 339/93.

### 3.6. Promoting transparency and reduction of National Safety Rules

#### What is the problem to be solved?

In spite of positive developments, National Safety Rules (NSR) are still a barrier to the free movement of railway traffic in the European Union. During the last years, the Agency has delivered important recommendations (TSIs, CSMs, etc.) for improving harmonisation. But, the currently high number of NSRs and the lack of transparency is still a problem for further harmonisation. At the same time, a reduction in the number of NSRs is a prerequisite for moving towards the concept of a single certificate.

#### What does the Agency do?

The Agency will carry on supporting the Commission and Member States in their efforts to improve both transparency and gradual reduction in national safety rules. In particular, the Agency will implement the action plan identified in the final report of the RISC Task Force on National Safety Rules. This entails the implementation of a new module in Notif IT (Notifications using Information Technology) for the notification of draft rules. Early identification of draft rules is

considered as a key development for improving the transparency and to prevent, at an early stage, the adoption of rules which would not be in line with the EU legislative framework. On the request of the Commission, the Agency will continue to deliver (technical) opinions on rules which are suspected to be inconsistent with the EU legislation. As support to this project, the Agency will continue to assist the Commission in the maintenance and improvement of the Notif IT tool (see project 5.9.3).

#### What is the expected overall impact?

It is expected, that this project will have the following impacts: the transparency of the national safety rules' systems in Member States will be improved and will facilitate the realisation of safety certificates for RUs; the national safety rules will gradually be reduced to the minimum and will facilitate the access of new entrants to the market; facilitation of the migration to the concept of a single certificate by drastically reducing the number of national safety rules, which is a prerequisite.

Principal outputs 2013	Legal basis	Timing
1. NSR task force final report results' dissemination and implementation of the action plan	Agency Regulation, Articles 21b, 30	According to planning
2. Check NSR registration, evaluation of draft rules for the EC (approximately 100 NSRs)	Agency Regulation, Articles 9a, 19, 21b, 30	December 2013
3. Drafting of opinions (cross-Agency)	Agency Regulation, Article 9a	On request

### 3.7. Joint Network Secretariat

#### What is the problem to be solved?

There is inadequate and fragmented dialogue with our stakeholders (a lack of high-level discussion with all stakeholders represented); poor feedback, which restricts monitoring of regulatory framework; stakeholder engagement is purely reactive, not proactive; practical solutions and implementation not harmonised; plenary meetings are expensive, but not optimised.

#### What does the Agency do?

The Agency has developed a mechanism so that all the main railway actors can work together to identify issues and propose ways to resolve them. The secretarial duties of the Joint Network Secretariat are the responsibility of the Agency.

#### What is the expected overall impact?

A harmonised implementation of the regulatory framework and problem-solving as well as improved and more mature dialogue within and between the plenary groups.

Principal outputs 2013	Legal basis	Timing
1. Well-organised and prepared Joint Network Secretariat meetings, identified issues are defined and treated at appropriate meetings	Agency Regulation, Articles 6, 21b, 30	Regular meetings or phone calls during the 2-year pilot phase

### 3.8. The Freight focus group

#### What is the problem to be solved?

There is insufficient coordination of the activities of the safety unit impacting railway freight transport. This coordination is assured in ERA but always seems to remain difficult for stakeholders and NSAs. The management system approach and the risk-based approach are still not adopted by the majority of stakeholders and NSAs.

#### What does the Agency do?

Coordination organised by ERA and involving representative bodies (RBs) and NSAs on activities of the safety unit related to ECM certification and harmonisation of maintenance that should be risk-based.

#### What is the expected overall impact?

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

Principal outputs 2013	Legal basis	Timing
1. Organisation of meetings with NSAs and RBs to address needs related specifically to rail freight transport	Agency Regulation, Article 6; Directive 2004/49/EC, Article 17	Ongoing

### 3.9. Harmonised EU action plans after serious accident and repetitive incidents

#### What is the problem to be solved?

Recent examples have shown that there is a tendency for NSAs to be under pressure to impose new rules after accidents or repetitive incidents. In some of these cases, the rules are a clear barrier for an open European Railway market.

#### What does the Agency do?

The Agency is developing a procedure to allow a harmonised EU position.

#### What is the expected overall impact?

This project will reduce the number of national measures and rules imposed by NSAs after an accident or incident and so increase the competitiveness of rail by preventing heterogeneous measures in EU Member States.

Principal outputs 2013	Legal basis	Timing
1. Quick response procedure drafted, first meeting of the Quick response task force organised	Agency Regulation, Article 21b	March 2013, meeting when required



### 3.10. Promoting an integrated approach to the Transport of Dangerous Goods regulations

#### What is the problem to be solved?

The development of regulations on the transport of dangerous goods is particularly complex because the overall safety level is based on the combination of sets of rules pursuing two different objectives: (i) rules related to 'substance safety' are defined to ensure that no immediate hazard(s) from the substance(s) can harm the workers and the public, before, during or after normal transport operations; (ii) rules related to 'transport safety' are defined to ensure that residual risks during transport operations are kept as low as possible and allow for efficient and competitive transport operations. Three EU directives <sup>(10)</sup> and one international agreement (RID) <sup>(11)</sup> contribute to the achievement of these objectives in a consistent and competitive way for the sector. Today, an EU integrated approach for achieving coherent development in 'substance safety' and 'transport safety' is missing on technical, societal and political aspects. This approach shall also consider the needs of external EU stakeholders.

#### What does the Agency do?

Complementary to the monitoring of the development of rules at UNECE (United Nations Economic Commission for Europe) and OTIF

(Organisation intergouvernementale pour les transports internationaux ferroviaires) levels mainly concerning the requirements on 'substance safety' (see project 5.13.6), the Agency is promoting the development of an integrated approach for key technical, societal and political aspects in collaboration with the European Commission. Common understanding will be developed through the organisation of thematic workshops. These workshops will bring together experts on 'substance safety' and 'transport safety' in order to establish common views which can be used as a technical background for the development of consistent sets of rules at EU and International levels.

#### What is the expected overall impact?

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

Principal outputs 2013	Legal basis	Timing
1. Organisation of two workshops	Agency Regulation, Article 21b	First and second semesters 2013

<sup>(10)</sup> Directive 2008/68/EC of the European Parliament and of the Council of 24 September 2008 on the inland transport of dangerous goods; Directive 2004/49/EC of the European Parliament and of the Council of 29 April 2004 on safety on the Community's railways and amending Council Directive 95/18/EC on the licensing of railway undertakings and Directive 2001/14/EC on the allocation of railway infrastructure capacity and the levying of charges for the use of railway infrastructure and safety certification (Railway Safety Directive); Directive 2008/57/EC of the European Parliament and of the Council of 17 June 2008 on the interoperability of the rail system within the Community.

<sup>(11)</sup> Regulations concerning the International Carriage of Dangerous Goods by Rail (RID).



## 4. Monitoring of railway safety performance — processes and outcome

In the application of Article 9 of the Agency Regulation, the Agency is charged with monitoring the safety performance at the level of the European Community. In order to develop a complete and consistent safety approach, this monitoring should combine the analysis of safety results through common safety indicators and common safety targets with the monitoring of compliance with and the

effectiveness/efficiency of the legislative framework that is set out by the European Union. A prime activity for the Agency is therefore to initiate and develop a framework for monitoring safety performance not only by looking at safety results but also the functioning of the core elements and processes that are part of the safety regulatory framework as introduced by the RSD and related EU legislation.

### 4.1. Monitoring safety performance outcome

#### What is the problem to be solved?

Railway safety performance needs to be continuously monitored (assessed) to allow feedback to policymakers on the efficiency of EU railway safety policies/measures. Information on outcomes is needed to allow judgement on whether railway safety is at least maintained. The Agency needs this intelligence to identify key areas of its work in railway safety, and to assess the cost-effectiveness of its operation.

#### What does the Agency do?

The Agency collects (through the European Railway Accident Information Links (ERAIL) database), processes (oversees the submission, clarifies with Member States), analyses (performs statistical tests with data) and publishes (Common Safety Indicator (CSI) datasheets, Railway safety performance reports) CSI data. The Agency further uses CSI data to annually assess the safety performance of Member States and the EU via common safety targets (CSTs) and national reference values (NRVs) <sup>(12)</sup>. The Safety performance working party meets twice a year to work on the development of the ERA (guidance on CSI data reporting, preparation of the new methods for monitoring of

performance of Member States, preparation of the new safety indicators). In addition to this, in order to better focus its activities, the Agency needs to better understand how the safety regulatory framework has been implemented and is applied. To this end, the Agency will analyse in detail all the available information the Agency has in, for example, the NSA and NIB reports (accident investigation reports). In 2013, the Agency will continue to analyse the quality of all received data but will not, as previously, issue a safety performance report: the next will be issued in 2014.

#### What is the expected overall impact?

High-quality data on safety performance leads to a thorough understanding of areas with increased risks that need policy actions; this enables the Agency to run cost-benefit analyses, produce high-quality impact assessments, better understand how the safety regulatory framework is applied and, ultimately, contribute to the credibility of the EU railway safety regulatory framework and of the actions of the Agency. Improved cost-effectiveness would increase the competitiveness of railway transport in the EU.

Principal outputs 2013	Legal basis	Timing
1. Analysis of safety information (e.g. CSIs accident reports, NSA and NIB annual reports)	Agency Regulation, Article 9	December 2013
2. Report on the quality of data reported to the Agency	Agency Regulation, Article 9	November 2013
3. Improvement and management of CSIs	Agency Regulation, Article 9	December 2013

<sup>(12)</sup> Commission Decision 2009/460/EC of 5 June 2009 on the adoption of a common safety method for assessment of achievement of safety targets, as referred to in Article 6 of Directive 2009/49/EC of the European Parliament and of the Council.

## 4.2. Monitoring NSA performance

### What is the problem to be solved?

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

### What does the Agency do?

In cooperation with the NSA network, an NSA cross-audit programme is run. The Agency is developing and maintaining the approach for

this programme, supporting the cross-audit committee, providing ongoing training for the pool of auditors and participating in the mixed teams that are performing the audits. From 2103, the programme foresees a 5-year audit cycle to assess the performance of all NSAs. In addition, an annual report on the implementation of this project will be presented to RISC.

### What is the expected overall impact?

Assessing the activities of NSAs in all Member States, in a structured and transparent way, will provide all stakeholders with the necessary overview of the effectiveness of the safety regulatory framework at a European level and the necessary information to harmonise and optimise it. In addition, this project will accelerate the harmonisation of NSA processes as foreseen by RSD Article 17(4) and, therefore, also contribute to the Agency's activity in developing and promoting harmonised processes for certification and regulation (project 5.3.1).

Principal outputs 2013	Legal basis	Timing
1. Report to RISC, conduct of cross-audits	Agency Regulation, Article 6; Directive 2004/49/EC, Article 17	2013–17 cycle started
2. Training for cross-auditors	Agency Regulation, Article 6; Directive 2004/49/EC, Article 17	Ongoing
3. Audit committee support	Agency Regulation, Article 6; Directive 2004/49/EC, Article 17	Ongoing
4. Result of survey on NSA organisation	Agency Regulation, Article 6; Directive 2004/49/EC, Article 17	According to planning



### 4.3. Monitoring NIB performance

#### What is the problem to be solved?

The Railway Safety Directive requires NIBs to be established, investigate serious accidents, and to make recommendations where appropriate in order to maintain or improve railway safety. In order for the Agency to be able to support the NIBs in this task and to fulfil the requirements, it is imperative to understand the way the NIBs work, how investigations are carried out, and what their needs are (for alternative motivation, see project 5.4.2).

#### What does the Agency do?

In cooperation with volunteer NIBs, an assessment programme is being developed and maintained. The Agency is developing and maintaining the approach and will organise two assessments in 2013. In addition, accident investigation reports are analysed and feedback is provided to the concerned NIB.

#### What is the expected overall impact?

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

Principal outputs 2013	Legal basis	Timing
1. Voluntary assessments conducted	Agency Regulation, Article 6; Directive 2004/49/EC, Article 21	Two assessments
2. Feedback to NIBs (specific topic report)	Agency Regulation, Article 6; Directive 2004/49/EC, Article 21	During NIB network

### 4.4. Monitoring of the progress of the migration to a Single Safety Certificate

#### What is the problem to be solved?

Member States are continuing to use the Part B safety certificate to add unnecessary requirements. Too much reliance is placed on assessment rather than supervision of the operational activities. Too much unnecessary bureaucracy prevents new entrants and does not help improve safety. Before the move to the single EU safety certificate can take place, the Agency concludes, in its recommendation, that there are two preconditions that must be met: (i) both RUs and IMs must take their full responsibility under RSD Article 4(3) for managing, controlling and monitoring risks of their operation; (ii) there is harmonised decision-making and supervision of the safety of the sector by NSAs

#### What does the Agency do?

To achieve the delivery of the migration strategy, the Agency proposes, in its recommendation, that a working group chaired by the EC is set up to monitor the progress of the harmonised methods (CSMs) and other related projects that will help to deliver the required step

change. This working group, supported by the Agency, will also be responsible for making decisions on what further information and/or action may be needed to achieve the target date of 2020. To allow migration to the single certificate, the Agency will organise feedback activities from the application of the different CSMs. The Agency will also work closely with stakeholders to ensure delivery of the two preconditions.

#### What is the expected overall impact?

The single EU safety certificate is not only possible but it will contribute to the efficiency and the competitiveness of the rail system by removing unnecessary regulatory, administrative and technical barriers. The single certificate will not only make the railway system more effective and efficient, it can do this without affecting the existing good safety levels. This is against the current belief that more must be done to make the railways work better and help them become a key player in the future of the EU transport sector.

Principal outputs 2013	Legal basis	Timing
1. Support to RISC Single certificate working group	Directive 2004/49/EC, Article 10	Ongoing
2. Feedback from application of CSM RA to Programme Board (specific topic report)	Directive 2004/49/EC, Article 10	Ongoing
3. Feedback from application of CSM MO to Programme Board (specific topic report)	Directive 2004/49/EC, Article 10	Ongoing
4. Feedback from application of CSM CA to Programme Board (specific topic report)	Directive 2004/49/EC, Article 10	Ongoing
3. Feedback from application of CSM SU to Programme Board (specific topic report)	Directive 2004/49/EC, Article 10	Ongoing

#### 4.5. Monitoring safety performance processes (other)

##### What is the problem to be solved?

Railway safety performance needs to be continuously monitored (assessed) as to allow feedback to policymakers on the efficiency of EU railway safety policies/measures. Feedback from the application of the ECM certification scheme is needed to ensure the coherent harmonised application, which is a prerequisite for trust between RUs and ECMs.

##### What does the Agency do?

The Agency develops a framework (eventually legislative) for the collection, process, analysis and publication of data on safety performance related to the process. The work is done internally with the assistance of the existing WP on safety performance. The cooperation with aviation industry will be sought.

##### What is the expected overall impact?

From this activity, we expect a return from experience on the ECM certification and implementation of SMS by RUs and IMs.

Principal outputs 2013	Legal basis	Timing
1. Feedback from implementation of SMS by RUs and IMs taking into account the specific RUs and IM needs	Directive 2004/49/EC, Article 14a; Agency Regulation, Article 9	Ongoing
2. Follow-up on the 'regulatory regime' study tender inputs	Directive 2004/49/EC, Article 14a; Agency Regulation, Article 9	September 2013



## 4.6. Defining methods and assessing common safety targets

### What is the problem to be solved?

As required in Commission Decision 2009/460/EC, the Agency shall propose a new common method for the assessment of achievements of Common Safety Targets (CSTs) and National Reference Values (NRVs), based on the experience gained from the first and second set of CSTs/NRVs and their assessments. The level of railway safety in the EU shall at least be maintained. CSTs are used as a tool to monitor that the safety targets are met. Until now, with the current set of CST, it has always been difficult to draw any robust conclusions. This was mainly due to the quality of the input data but recent information received from other modes of transport seem to indicate that other means could exist to measure the safety performance of a Member State.

### What does the Agency do?

The currently available resources do not allow the Agency to start the development of the second set of CSTs in 2013. In 2013, the Agency will, nevertheless, investigate if there are more efficient ways than CSTs to measure the safety performance of Member States. If it is the case, the Agency will develop these concepts and approaches to monitor Member States. The work will be done internally with the assistance of the Safety performance working party.

### What is the expected overall impact?

This development aims at either confirming that the CST approach is the best for monitoring safety at Member State level or to propose alternatives. In case the CST approach seems to be the best, CSTs will then be developed for 2016 (with a one-year delay compared to the mandate), which will not impact the first assessment of achievement of these new CSTs.

Principal outputs 2013	Legal basis	Timing
1. Draft recommendation on the method of assessment of CSTs	Directive 2004/49/EC, Article 7; Commission Decision 2009/460/EC, Article 4	2013–14

## 4.7. Evaluation of transposition of directives

### What is the problem to be solved?

Member States do not seem to transpose the EU legislative framework completely, correctly, and in due time. This problem has been identified through the Member States' evaluations that have been carried for the RSD and the Interoperability Directive (IOD) <sup>(13)</sup>. So far, it seems that all the evaluated Member States are concerned, but not all Member States are the same level. This project covers support for the evaluation of the Train Drivers' Directive (TDD) <sup>(14)</sup>. The incorrect transposition of EU legislation into national law is seen as hindering any improvement in the competitive position of the railway sector by enhancing the level of interoperability of the railway system and at developing a common approach to safety.

### What does the Agency do?

The Agency provides the Directorate-General for Mobility and Transport with an overview of the status of the transposition of the directives in the European Union. On the request of the Directorate-General for Mobility and Transport, the Agency provides support in exchanges between the Member States and the Directorate-General for Mobility and Transport. The aim of these activities is to assist the Commission and the Member States in their attempts to transpose European directives correctly, and to avoid infringements.

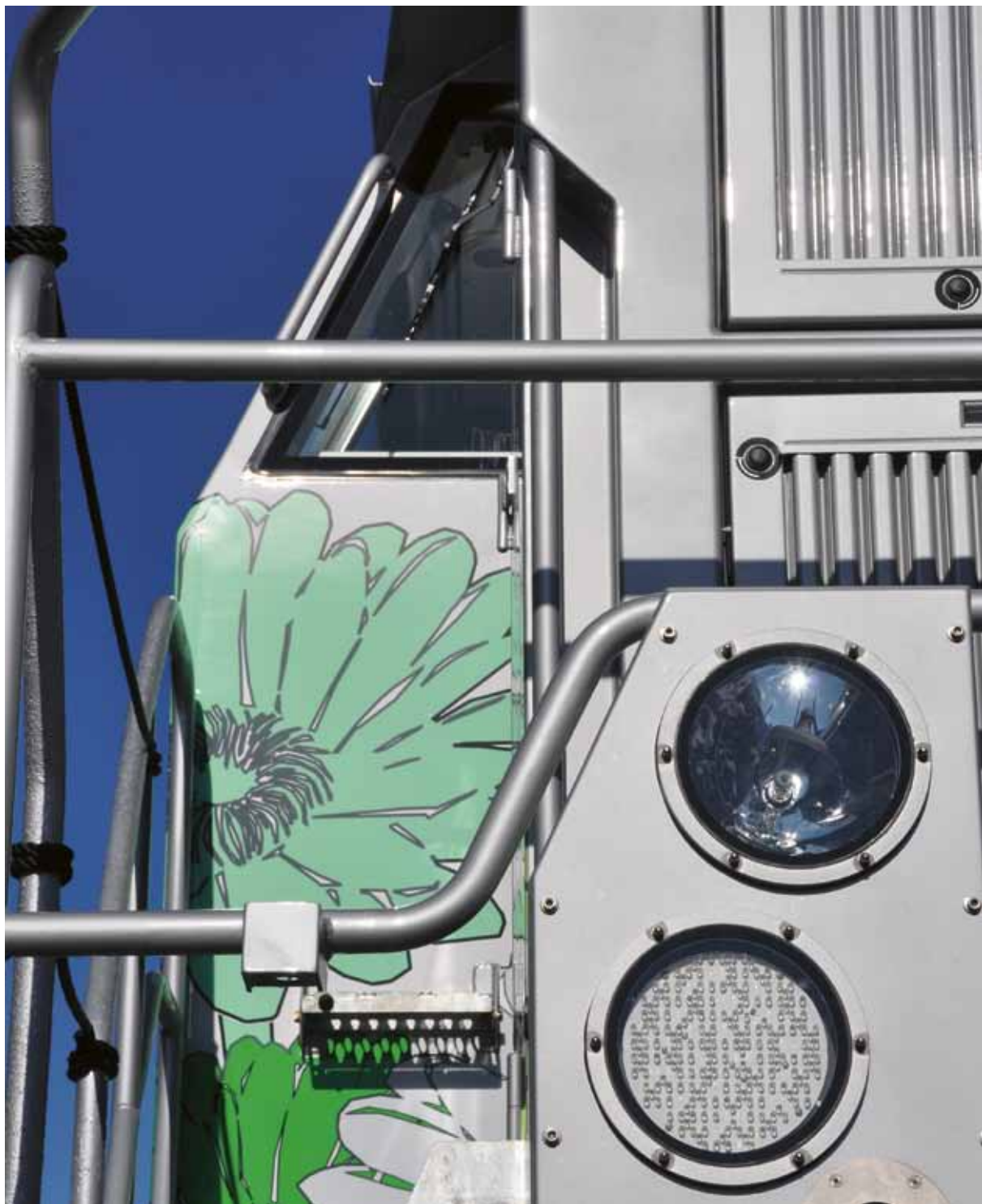
### What is the expected overall impact?

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

<sup>(13)</sup> Directive 2008/57/EC of the European Parliament and of the Council of 17 June 2008 on the interoperability of the rail system within the Community.

<sup>(14)</sup> Directive 2007/59/EC of the European Parliament and of the Council of 23 October 2007 on the certification of train drivers operating locomotives and trains on the railway system in Europe (TDD).

Principal outputs 2013	Legal basis	Timing
1. RSD: follow-up on works, revision of evaluations, supporting the EC in EU Pilot, drafting letters for the EC, reports on the implementation in Member States	Agency Regulation, Articles 21b and 30	December 2013
2. IOD: follow-up on works, revision of evaluations, supporting the EC in EU Pilot, drafting letters for the EC, reports on the implementation in Member States	Agency Regulation, Article 30	December 2013
1. TDD: final report	Agency Regulation, Article 30	December 2013

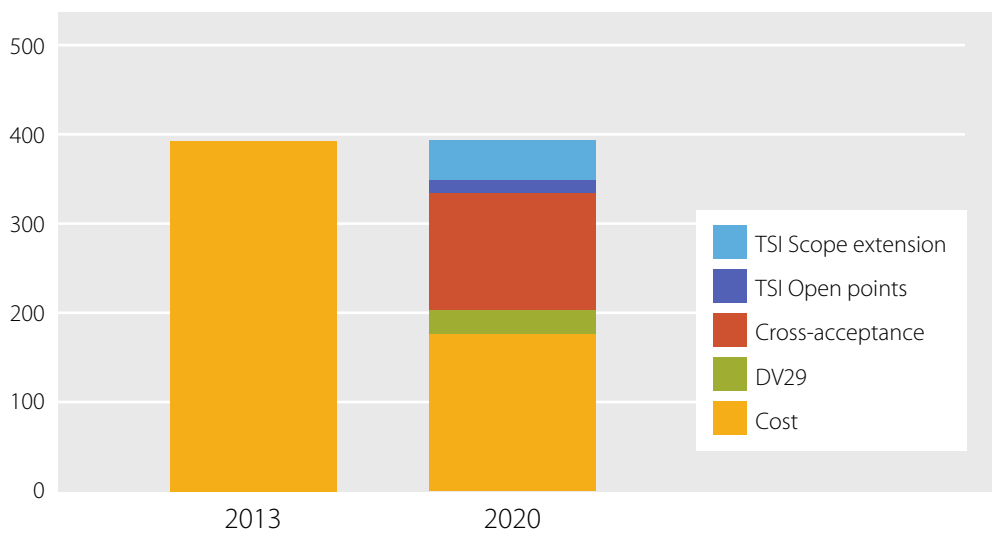


## 5. Facilitation of vehicle authorisation

Vehicle authorisation has been cited as a major barrier to the competitive position of the railways and the opening of the markets for equipment supply and railway operation. Significant savings are achievable through the simplification possible by replacing the national 'homologation' procedures with the common European authorisation process envisaged in the IOD using the minimum number of national technical rules (NTRs) strictly necessary for ensuring

technical compatibility with non-TSI-conforming networks. The following figure indicates the potential annual savings for locomotive authorisation costs that may be achieved by 2020: with the simplification in locomotive authorisation, the sector will benefit by EUR 225 million per year by 2020. Similar savings of at least the same scale can be expected for other vehicle categories.

### Annual cost of locomotive authorisation (million EUR)



The potential total savings may reach at least EUR 500 million per year, compared with Agency costs of less than EUR 2 million per year. Whilst the savings are dependent on the actions of other actors, for example Member States implementing Directive 2008/57/EC and

adopting Commission Recommendation 2011/217/EC (DV29) <sup>(15)</sup>, the Agency's work is a necessary precondition for the realisation of these savings.

<sup>(15)</sup> EC Recommendation 2011/217/EU of 29 March 2011 on the authorisation for the placing in service of structural subsystems and vehicles under Directive 2008/57/EC of the European Parliament and of the Council.



## 5.1. Promotion and monitoring of harmonised vehicle authorisation processes

### What is the problem to be solved?

Vehicle authorisation processes are different in all the Member States: many Member States do not conform to the EC legal framework. The authorisation processes appear to be unnecessary complex and not transparent; this results in an unnecessary administrative burden leading to uncertainty, delay, additional costs, etc.

### What does the Agency do?

The Agency will analyse the obstacles and make proposals to improve the situation (report on vehicle authorisation, Part 2); make the simplified EC process clearer (the generic flow chart for the National Legal Framework (NLF)); disseminate the simplified process;

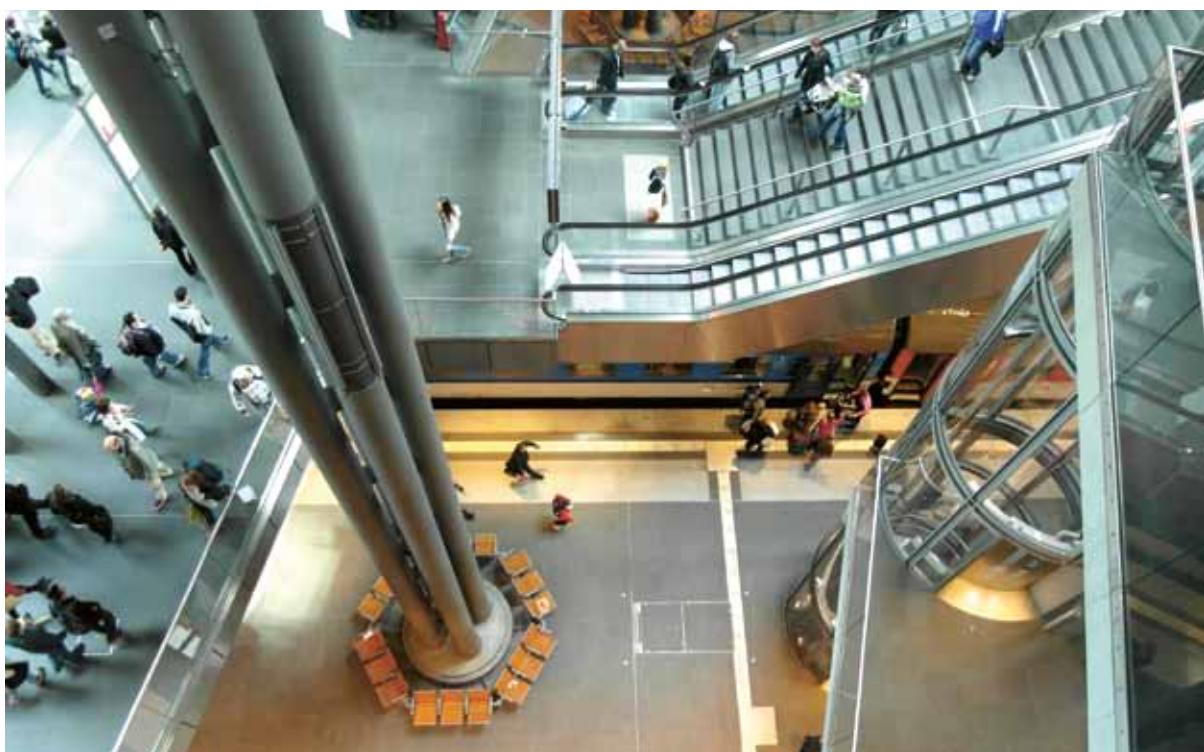
collect, in one-to-one meetings with Member States/NSAs, information on the authorisation processes in each Member State: publish the process for each Member State in the reference document, Part 3; analyse commonalities and discrepancies and recommend further simplifications

### What is the expected overall impact?

The simplification and harmonisation of locomotive authorisation processes is estimated to save approximately EUR 20 million per year by 2020. For all vehicles, the outcome can be expected to be at least EUR 50 million per year before market opening effects are taken into account.

Principal outputs 2013	Legal basis	Timing
1. Documentation of authorisation processes in Member States, publication of NLF (flow chart) for each Member State	Commission Decision 2011/155/EU <sup>(16)</sup> , Article 1	Completion of NLF first round of documentation Spring 2013; review, analysis and comparison until end of 2013
2. Update of application guide to the reference document	Commission Decision 2011/155/EU, Article 1	July 2013
3. Training and dissemination of the EU framework for authorisation including the use of Geographical Interest Groups (GIGs)	Agency Regulation, Article 6; Directive 2004/49/EC, Article 17	Ongoing
4. Support to the EC in the clarification and resolution of problems relating to vehicle authorisation (e.g. task force updates to Commission Recommendation 2011/217/EU)	Requests from the Commission	July 2013

<sup>(16)</sup> Commission Decision 2011/155/EU of 9 March 2011 on the publication and management of the reference document referred to in Article 27(4) of Directive 2008/57/EC of the European Parliament and of the Council on the interoperability of the rail system within the Community.



## 5.2. Publication and classification of rules used for vehicle authorisation

### What is the problem to be solved?

Vehicle authorisation rules are not the same in all Member States. In many Member States, they are different to EC specifications (e.g. TSIs); they may be redundant (e.g. not necessary to comply with essential requirements); they are not fully transparent. Verification procedures and assessment requirements need to be made clear and published. A European process to establish the equivalence of national technical rules needs to be put into place and managed. This will reduce/eliminate any unnecessary administrative burden that had led to unnecessary requirements, double checks, uncertainty, delay, additional costs, etc.

### What does the Agency do?

The Agency will collect the rules; publish the rules; facilitate the classification of equivalence of the rules by group of Member States; publish the equivalence of the rules; facilitate the elimination of redundant rules; facilitate the convergence to common rules for

groups of Member States; facilitate a common approach to national rules on difficult technical issues which contributes to TSI reviews and amendments. The Agency disseminates a common approach to the management of national rules.

### What is the expected overall impact?

By 2020, the cross-acceptance for additional authorisations is calculated to yield savings of the order of EUR 133 million per year for locomotives. Up to 40 % of this can be attributed to the publication and mutual recognition of national rules in the reference document. It is also expected that the work carried out to clarify 'difficult' interface issues will contribute approximately 10 % to the EUR 12 million savings per year to be realised by closing open points in the TSIs. Total savings of the order of EUR 50 million per year are anticipated for locomotives, which implies well over EUR 100 million per year for all vehicles.

Principal outputs 2013	Legal basis	Timing
1. Rules published in RDD and Notif IT	Directive 2008/57/EC, Article 27; Decision 2011/155/EU, Article 1	95 % of rules recorded by end 2013; 75 % rules classified A, B or C by end 2013
2. List of rules used by Member States to close open points — for use by the Interoperability Unit to close open points	Directive 2008/57/EC, Article 27; Decision 2011/155/EU, Article 1	80 % of the rules applied checked to see if they are relevant to open points or relate to specific cases by July 2013
3. List of rules that are allowed to be used for checks at additional authorisation of a vehicle already authorised in another Member State	Directive 2008/57/EC, Article 27; Decision 2011/155/EU, Article 1	95 % of rules identified for network compatibility in Member States by October 2013
4. Separation of existing rules in national reference documents to identify those that are mandatory (same status as TSIs) and those that are accepted proof of conformity (same status as European Standards (ENs))	Directive 2008/57/EC, Article 27; Decision 2011/155/EU, Article 1	95 % of rules classified as 'mandatory' or 'accepted proof of compliance' by September 2013
5. Equivalences identified in GIGs published in the RDD	Decision 2011/155/EU, Article 3	Classification results of two further GIGs will be published by October 2013
6. List of parameters used by Member States where TSIs already accepted for off-TENS (i.e. no need for specific case in TSIs)	Directive 2008/57/EC, Article 27; Decision 2011/155/EU, Article 1	Ongoing
7. Maximum use of mutual acceptance, unnecessary rules removed by Member States (task force action C.1)	Decision 2011/155/EU, Article 3	Ongoing
8. Management of up to 32 meetings per year, participation and facilitation of another 30 meetings per year (vehicle authorisation task force action C.3)	I	Ongoing
9. Integration of the results of GIGs to facilitate migration towards common solutions	Directive 2008/57/EC, Article 27; Decision 2011/155/EU, Article 1	Ongoing

### 5.3. Management of national technical rules

#### What is the problem to be solved?

EU Member States have not yet notified all of their national technical rules to the Commission. There was no common template or approach for notification: a database is required to assess the national technical rules notified.

#### What does the Agency do?

The Agency supports the EC in specifying, establishing and developing a database; administers the database; provides training for users; facilitates the Member States in their notifications to reduce double entry; analyses problems and proposes solutions; registers NTRs; issues technical opinions on NTRs and refusals on authorisation for the placing in service of vehicles. It supports the Commission and EFTA Surveillance Authority in the evaluation and notification of the rules submitted for notification in Notif IT and TRIS.

#### What is the expected overall impact?

To avoid surprises, applicants need legal certainty. It is also necessary to ensure that Member States do not put in place rules that conflict with the EU framework or act as barriers to market entry. A suitable database properly used by the appropriate actors is a necessary prerequisite for this. Some 10 % of the EUR 133 million savings in locomotive authorisations from cross-acceptance are attributed to this activity. For all vehicles and subsystems, this equates to a minimum of approximately EUR 26 million per year by 2020.

Principal outputs 2013	Legal basis	Timing
1. NTR registration and database administration, assistance to Member States regarding notification of NTRs, support to the EC in pre-evaluation of NTRs	Agency Regulation, Article 19	Evaluation of up to 250 NTRs in one year (average time for formal evaluation of one NTR is up to 4 hours, including clarification with the NTR submitter)
2. Elaboration, contribution, coordination of (technical) opinions	Agency Regulation, Articles 2, 10	On the request of the EC
3. Reports, opinions to Member States and the EFTA Surveillance authority	Agency Regulation, Article 19	On request

### 5.4. Monitoring of Member States' authorities granting vehicle authorisations (case studies)

#### What is the problem to be solved?

At the moment, there are different perceptions of progress on vehicle authorisation and cross-acceptance (XA) by NSAs and applicants. A consensus is now achieved in the vehicle authorisation task force's action plan. A review of progress with its implementation and the return on experience is necessary with specific focus on the resolution of issues causing the most problems, 'blocking points'.

#### What does the Agency do?

The Agency will review the progress on the vehicle authorisation task force (VATF) action plan; identify 'blocking points' where there exists a lack of knowledge or common understanding preventing the classification and/or mutual recognition and make recommendation for

further improvements; collect evidence of progress and problems, including case studies and participation in real vehicle authorisation projects, looking at both sides of the table (NSA/applicant); identification of 'hidden' problems which cause delays and additional efforts

#### What is the expected overall impact?

With the first initiatives (publication and classification of rules, harmonisation and publication of processes) it can be estimated that 20 % of the potential savings remain to be addressed by initiatives and actions where the solution or common understanding is not yet identified or implemented (open issues). This equates to approximately EUR 25 million for locomotives and, therefore, of the order of at least EUR 50 million for all vehicles.

Principal outputs 2013	Legal basis	Timing
1. VATF progress reports, workshops reviewing progress against action plan	Commission Decision 2011/155/EU, Article 1	VATF progress report to be agreed with the EC, at least once per year; XA Report on progress in facilitation of vehicle authorisations
2. Development (elaboration) of additional information, requirements, processes required by Designated Bodies (DeBos) and organisations other than NSAs in conjunction with the authorisation of railway vehicles	Agency Regulation, Article 6; Directive 2004/49/EC, Article 17	Documentation of additional information, processes required via consultation of up to 10 DeBos or NoBos
3. Recommendations aimed at integrating identified additional requirements into TSIs, NTRs or other recognised elements of the EU framework	Agency Regulation, Article 6; Directive 2004/49/EC, Article 17	Report on how to deal with additional information required by DeBos or NoBos by December 2013
4. Monitoring and follow-up of case studies on granting real vehicle authorisations, surveys and additional information for identifying 'blocking points' in real implementations raised by Member States and sectors which might require an harmonised EU approach	Agency Regulation, Article 6; Directive 2004/49/EC, Article 17	Participation in up to five case studies in 2013 with up to 12 meetings each with applicants (DeBos, NoBos, NSAs); preference will be given to case studies with different NSAs involved
5. At least one additional study to facilitate vehicle authorisation (e.g. promoting the possibility of using ERTMS stand-alone by implementing strategies for trackside ETCS installation which will not require dynamic transitions by ERTMS)	Decision 2011/155/EU, Article 14	tbd

## 5.5. Development, promotion and dissemination of a harmonised European framework for the authorisation of railway vehicles

### What is the problem to be solved?

Among railway actors, there is a need for common understanding of the European Framework, a need to communicate the European legal framework to the railway sector, to identify obstacles and opportunities for their removal and to develop further the European framework also considering the return on experience of the first, second and third railway packages.

### What does the Agency do?

The Agency will develop documents aiming to facilitate vehicle authorisation and to clarify the European framework on the authorisation of railway vehicles (e.g. Commission Recommendation 2011/217/EU, Decision 2011/155/EU). It will identify areas which will

require a European answer and inform Member States about the European process for the authorisation of vehicles. It will also provide, as far as possible, respective support to the EC (EC task force, DV 29 follow-up, Future of the Agency, etc.) and to EU Member States.

### What is the expected overall impact?

To realise the benefits, the framework must be understood by those regulating, supervising and carrying out authorisations. Understanding of the framework is an essential prerequisite for the anticipated EUR 500 million saving to be achieved from simplifying authorisation. In essence, the opportunistic cost of this activity is estimated to be at least EUR 50 million.

Principal outputs 2013	Legal basis	Timing
1. Clarification documents (e.g. DV29 bis)	Agency Regulation, Article 30; Directive 2008/57/EC, Article 30	October 2013
2. Dissemination of Member States and NSAs regarding the European framework in the scope of authorisation of railway vehicles (e.g. Commission Recommendation 2011/217/EU, Decision 2011/155/EU) via GIGs, seminars, workshops, etc.	Agency Regulation, Article 30; Directive 2008/57/EC, Article 30	Within overall dissemination concept
3. Identification of common approach which requires an EU answer and development of adequate proposals for EC and further documents	Agency Regulation, Article 30; Directive 2008/57/EC, Article 30	Within overall dissemination concept

(17) Commission Decision 2009/561/EC of 22 July 2009 amending Decision 2006/679/EC as regards the implementation of the technical specifications for interoperability relating to the control-command and signalling subsystem of the trans-European conventional rail system.

## 5.6. Tasks from the Commission report on vehicle authorisation

### What is the problem to be solved?

In 2012, the European Commission invited the stakeholders of the railway sector and Member States to a task force in order to identify the problems causing delays and additional costs for the authorisation of railway vehicles and to define the necessary steps (action plan) to facilitate vehicle authorisation. The results of the task force are published in an EC report identifying a series of additional steps to be taken; a series of these steps are addressed to the European Railway Agency.

### What does the Agency do?

Various tasks for the Agency have been identified in the report. Due to the Agency's budgetary and subsequent resource situation in

2013, the Agency can only comply with the expectations raised by the EC and the sector to a restricted extent.

### What is the expected overall impact?

The necessary steps and changes would enable the Agency to interact more efficiently with railway authorisations projects (e.g. one-stop shops, maximise the use of common templates to reduce translation costs, reducing the requirements for additional proof of compliances). As the full scope of tasks in this activity cannot be carried out, the time horizon of the indicated potential savings will be postponed for a minimum of one year.

Principal outputs 2013	Timing
1. A.1 Clarification documents (e.g. DV29 bis)	Covered by project 5.5.5
2. A.1 DV29 bis dissemination, seminars; distribution to sector and NSAs	Within overall dissemination concept
3. A.2 Reinforced role in monitoring the implementation of directives: annual report	Monitoring partially covered by project 5.5.4
4. A.6 Dissemination of EU master processes in bilateral meetings with NSAs	Five workshops in 2013 — within overall dissemination concept
5. A.6 Training and seminars on EU master process to sector and NSAs; additional publication and dissemination to the sector	Three workshops in 2013 — within overall dissemination concept
6. B.1 Register users in Member States are trained and operational	Within overall dissemination concept
7. B.6 Roadmap to One-stop-shop initiative (facilitating quasi-simultaneous authorisations in several Member States)	October 2013
8. B.7 Reinforced coordination of NoBos (tbd further)	Ongoing
9. C.1 Comparison of rules in GIGs	Covered by project 5.5.2
10. C.3 Clarification of the criteria for evaluation of Member State rules	Classification covered by project 5.5.3
11. C.5 Clarification of ERTMS criteria to avoid network compatibility tests	Q4 2013
12. D.3 Roadmap for the comparison of needs of compatibility tests with requirements in TSIs, identification of compatibility tests going beyond TSI requirements, proposal on how to deal with these cases	October 2013
13. D.4 Technical opinions on complaints	On demand
14. D.5 Five templates with application guide including impact analysis to reduce translation need; intended enforcement via the EC/RISC/Member States/NSAs	Q4 2013

## 6. ERTMS system authority

The European Railway Traffic Management System (ERTMS) is a major industrial project at the forefront of the EU agenda for an interoperable railway system and the progressive establishment of an open market in the sector. The ERTMS specifications are referenced in Annex A of the TSI on command control and signalling subsystems (CCS TSI); in addition to the revision and extension of scope of the CCS TSI, the Regulation Article 21(a) requests the Agency to carry out a number of specific tasks in coordination with the Commission ensuring a coherent development of the ERTMS and contributing to the compliance of ERTMS equipment as with the specifications in force. The operational rules specific for ETCS and GSM-R are defined

in Annex A of the TSI on operation and traffic management (OPE TSI). The Agency will, at the request of the Commission, make appropriate proposals to foster interoperability of the corridors laid down in Decision 2009/561/EC (17) and make any appropriate recommendations which may provide support to the TEN-T Executive Agency regarding projects for which an application for Community financial aid has been submitted. When requested by the Commission, the Agency will provide its technical opinions on derogations. The Agency fulfils the role of the system authority for the specifications of the system, GSM-R, ETCS and the related operational rules. The Agency provides technical support to the ERTMS Coordinator in its work and initiatives.

### 6.1. Change control management and database of change requests

#### What is the problem to be solved?

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

#### What does the Agency do?

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

format (e.g. formal language). The Agency will issue new baselines when appropriate and ensure their backward compatibility.

#### What is the expected overall impact?

Harmonised, interoperable specifications are maintained and developed for the European deployment of ERTMS, enabling interoperability and development of the market in the field of communication and train control systems. EU standards are recognised worldwide and help the competitiveness of EU railway manufacturing and service industry. The increased quality and performance will support the acceptance of ERTMS, making the railway system more competitive.

Principal outputs 2013	Legal basis	Timing
1. Periodic reports on the status of the of baseline 3 (ETCS) and baseline 0 (GSM-R) CR in the database	Agency Regulation, Article 21a	Monthly
2. Guideline for GSM-R	Agency Regulation, Article 21a	End 2013
3. Update/creation of documents for baseline 1 (GSM-R) for Annex A recommendation to the EC	Agency Regulation, Article 21a	If necessary
4. Recommendations to the EC on modification of CCS TSI regarding ETCS; update/creation of documents for Annex A	Agency Regulation, Article 21a	If needed
5. Test specifications for SRS 3.3.0	Agency Regulation, Article 21a	July 2013
6. As planned in ERTMS MoU	Agency Regulation, Article 21a	According planning
7. Workshops creating, jointly with the EC and the sector, a common solution for reducing GSM-R interference to a minimum	Agency Regulation, Article 21a	End 2013

## 6.2. Support to the Commission as per Article 21(a)

### What is the problem to be solved?

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

### What does the Agency do?

Assess the migration mechanisms for the early implementers of ETCS in consequence of Decision 2008 on the adoption of 2.3.0d for ETCS; develop the system version management strategy separately for ETCS and GSM-R; support the EC in the development of the EU deployment plan for ERTMS and coordinating the installations along corridors; activities contributing to the Steering Committee and Corridor Group set up by the European coordinator for ERTMS; support to other Units in the field of ERTMS; help the EC and the TEN-T EA in

the dissemination of the principles of the harmonised approach to all parties involved in the ERTMS deployment, in particular to IM, RU, manufacturers and laboratories. On a case-by-case basis, based on the availability of marginal resources, monitor deployment of ERTMS and verify compliance with CCS TSI in TEN T and projected funded by Cohesion Funds in collaboration, as appropriate, with the Commission, TEN-T EA, notified bodies, and external technical experts; provide information, guidance and feedback to those actors to help ensure correct and full implementation of CCS TSI on such projects.

### What is the expected overall impact?

Improved understanding of the harmonised system with all parties involved in the deployment of ERTMS; more efficient use of scarce EU resources, with early detection of deviations; making sure harmonised requirements are applied transparently will increase trust, confidence, reliability, planning.

Principal outputs 2013	Legal basis	Timing
1. Technical support to the ERTMS coordinator	Agency Regulation, Article 21a	On demand
2. Attending and supporting with expertise the EC Corridor meetings	Agency Regulation, Article 21a	On demand
3. Written feedback to TEN-T regarding the correct implementation of ERTMS	Agency Regulation, Article 21a	On demand
4. Report to the Commission on compliance of ERTMS projects	Agency Regulation, Article 21a	On demand
5. Information, guidance, feedback to TEN-T and Cohesion Fund project applicants regarding correct and full implementation of CCS TSI	Agency Regulation, Article 21a	On demand and in function of the available resources

## 6.3. Verification and authorisation — evaluation survey

### What is the problem to be solved?

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

### What does the Agency do?

The Agency regularly surveys with the ad hoc group of notified bodies any difficulty or problematic situation which could arise in the process of certification and verification for ERTMS ICs and subsystems, with the aim to offer guidance and allow harmonised approaches.

The Agency also addresses those issues with the NSAs in the ERTMS focus group, with the aim of identifying at an early stage possible difficulties and thus allowing open discussion and resolution among NSAs. The findings and results of the activities are regularly reported in the ERTMS Report on certification and authorisation Guidelines/Checklists to be elaborated.

### What is the expected overall impact?

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

Principal outputs 2013	Legal basis	Timing
1. Update of report to the EC on ERTMS verification and authorisation processes; recommendations to the EC if needed	Agency Regulation, Article 21a	End 2013
2. Reports to the EC on network/vehicle incompatibility risk	Agency Regulation, Article 21a	As necessary
3. Chairing the NB Rail ERTMS ad hoc working group	Agency Regulation, Article 21a	Ongoing
4. Report and guidance for certification and placing into service of ERTMS equipment	Agency Regulation, Article 21a	End 2013
5. Support to the Directorate-General for Mobility and Transport, meetings with EA and national accreditation bodies; analysis and facilitation of the accreditation process of the ERTMS test labs	Agency Regulation, Article 21a	As necessary
6. Providing training for authorities and railways	Agency Regulation, Article 21a	On demand

#### 6.4. Support to ERTMS development, implementation and placing in service

##### What is the problem to be solved?

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

##### What does the Agency do?

The Agency has started a survey and collection of requests and experience for the simplification of ERTMS (with the support of the sector and the involvement of the ERTMS MoU Steering Committee) and

will produce proposals for harmonised guidance where appropriate. A first draft of harmonised engineering guidelines for ETCS has already been released. The Agency will play a central role in coordinating all the diverse initiatives aimed at the definition of the evolution of GSM-R, with a clear remit to make ETCS data transmission bearer-independent.

##### What is the expected overall impact?

Simplification of ERTMS will decrease the costs and help to make the system more acceptable, usable and operable. It will also support the EC strategy for the ERTMS corridors. To have the ERTMS transmission bearer-independent will make the system applicable everywhere without losing interoperability. It will increase the flexibility and make it future-proof.

Principal outputs 2013	Legal basis	Timing
1. Harmonised guidance for ERTMS (e.g. engineering guidelines)	Agency Regulation, Article 21a	Q2 2013
2. Remit for a working group on bearer-independent ETCS data transmission; report from above working group	Agency Regulation, Article 21a	Q1 2013 End 2013

## 6.5. Requirements for the railway communication system

### What is the problem to be solved?

The success of GSM R is based on the use of worldwide standards. On the other hand, those standards are evolving and the railway applications and requirements are not strongly considered. The GSM technology will be obsolete in a matter of years; the challenge is to enable a transition from GSM-R to the future communication system, and to define the future system in such a way that it gains benefit from standard technologies but allows railway-specific functions to migrate seamlessly across successive generations of technology: a future-proof system.

### What does the Agency do?

Take the lead on the many initiatives aimed at defining the future of GSM-R; organise the discussion on the time plan for the reframing to new technology while preserving the functional interoperability requirements; generate a railway communication roadmap where the migration from GSM-R is correctly analysed, defining the basics and guidelines of the future railway telecommunication system, and ensuring that railway-specific functions are correctly defined and realised at the application level.

### What is the expected overall impact?

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

Principal outputs 2013	Legal basis	Timing
<ol style="list-style-type: none"> <li>Working party report on:           <ul style="list-style-type: none"> <li>— definition of the basic requirements for the new railway communication system,</li> <li>— roadmap for the migration to the new railway communication system.</li> </ul> </li> </ol>	Agency Regulation, Article 21a	End 2013
<ol style="list-style-type: none"> <li>Survey and definition of the high level requirements for the communication system; technology independence; long-term migration to cope with GSM R obsolescence</li> </ol>	Agency Regulation, Article 21a	End 2013

## 6.6. Improved operation with ERTMS

### What is the problem to be solved?

The benefits of the harmonised technical system cannot be exploited if differences in its operation continue. The example of the GSM R railway emergency call is striking: a complete technical solution has been developed and implemented to allow the standardisation of the function, but the definition of a common operational rule for the train drivers was not addressed at all (the Agency resolved it with the ERTMS operational rules in 2012).

### What does the Agency do?

Harmonise the principles and rules for operations within the ETCS and GSM R systems; definition of opportunities for cost-efficiency measures in the frame of standardised approaches to the training of the drivers for ERTMS; define of common principles applicable to operational rules used in the calculation of safety-related parameters for ETCS.

### What is the expected overall impact?

Harmonised operation, reduced costs whilst increasing safety.

Principal outputs 2013	Legal basis	Timing
<ol style="list-style-type: none"> <li>Rules for calculating ERTMS train data</li> </ol>	Agency Regulation, Article 21a	End 2013
<ol style="list-style-type: none"> <li>Report on return on experience from railways operating ERTMS in commercial service</li> </ol>	Agency Regulation, Article 21a	As necessary

## 7. Technical specifications

According to Directive 2008/57/EC of the European Parliament and of the Council of 17 June 2008 on the interoperability of the rail system within the Community, 'Technical specification for interoperability' (TSI) means a specification adopted in accordance with this Directive by which each subsystem or part of subsystem is covered in order to meet the essential requirements and ensure the interoperability of the rail system. The Agency has been mandated to revise the TSIs with an aim of closing open points, merging (where appropriate) the high speed (HS) and conventional rail (CR) TSIs, and extending their scope to the entire European Community rail network.

Closing open points will also include specifying the relevant parameters for the 1 520 mm rail system as far as possible. As emphasised by the 'new approach' to standardisation, the functional specifications

of the TSIs are complemented by technical solutions described in harmonised standards which provide a presumption of conformity with the TSIs. It is, therefore, of utmost importance for the Agency to ensure a close coordination with the standardisation bodies (CEN, CENELEC, ETSI) and the notified bodies (NoBos) who verify the compliance to the TSI requirements of subsystems and the conformity (to the requirements of TSIs) of interoperability constituents. It is expected that the revised TSIs will contribute to the simplification of the legal framework in the field of railway technology, related to design, construction, placing in service, renewal and upgrading. The revised TSIs should be easier to apply and should contribute further to the development of the Community's rail system, opening the rail market, and enhancing the competitiveness of rail transport compared to other means of transport.

### 7.1. TSI revision and development

#### What is the problem to be solved?

The diversity of technical solutions across Europe due to historical reasons, no compatibility and interoperability of national rail systems, and closed markets for railway products and services result in high costs of rail transport services and its reduced competitiveness with respect to other modes of transport. There are problems with the implementation of the TSIs in force: questions have been received from the Directorate-General for Mobility and Transport, Member States and stakeholders. A number of open points remain in the TSIs, causing uncertainty about the requirements and parameters to be applied.

#### What does the Agency do?

The major tasks of the Agency include: revising the existing TSIs aiming at the harmonisation of the railway systems in Europe; assisting the Commission in the legislation process for adopting the TSI drafts,

submitted in 2012; answering questions from the Member States and the Commission related to the draft TSIs; answering questions (from the Directorate-General for Mobility and Transport, Member States, NSAs and stakeholders) related to the implementation of the TSIs in force; preparing technical opinions; updating the references to the standards; correction of errors and closing open points through amendments to the TSI through the 'omnibus procedure', assisting the Commission in the preparation of decisions within the 'omnibus procedure'.

#### What is the expected overall impact?

Clarifications, closing open points and corrected errors are the indispensable quality elements for the implementation of TSIs, leading to the required eased and smoothed application that reduces time and costs.

Principal outputs 2013	Legal basis	Timing
1. CCS TSI — closure of open points mainly EMC (electromagnetic compatibility) scope extension	Agency Regulation, Article 12; Directive 2008/57/EC, Articles 6, 8	
2. ENE TSI (Energy subsystem)— closure of open points, extension of scope, final amendments before vote	Agency Regulation, Article 12; Directive 2008/57/EC, Articles 6, 8	Q2 2013
3. INF TSI (Infrastructure subsystem)— closure of open points, extension of scope, final amendments before vote	Agency Regulation, Article 12; Directive 2008/57/EC, Articles 6, 8	Q2 2013
4. Noise TSI— extension of scope, merging HS and CR, revision of noise levels, preliminary draft/final draft recommendation	Agency Regulation, Article 12; Directive 2008/57/EC, Articles 6, 8	2.2013/8.2013
5. OPE TSI— revision completed and preliminary draft ready	Agency Regulation, Article 12; Directive 2008/57/EC, Articles 6, 8	End 2013

Principal outputs 2013	Legal basis	Timing
6. PRM TSI— extension of scope, closure of open points, implementation plan: final draft recommendation	Agency Regulation, Article 12; Directive 2008/57/EC, Articles 6, 8	Q2 2013 and Q4 2013
7. RST TSI (Rolling stock subsystem)— closure of open points, extension of scope, final amendments before vote	Agency Regulation, Article 12; Directive 2008/57/EC, Articles 6, 8	Q2 2013
8. SRT TSI (Safety in railway tunnels)— closure of the open points, scope extension	Agency Regulation, Article 12; Directive 2008/57/EC, Articles 6, 8	Q2 2013
9. TAF TSI— extension of scope, final amendments before vote	Agency Regulation, Article 12; Directive 2008/57/EC, Articles 6, 8	Q2 2013
10. TAP TSI — closure of open points, extension of scope, final amendments before vote	Agency Regulation, Article 12; Directive 2008/57/EC, Articles 6, 8	Q1 2013
11. Composite brake blocks recommendation for amending the WAG TSI (Freight wagons)	Agency Regulation, Article 12; Directive 2008/57/EC, Articles 6, 8	Mid 2013
12. Updating the Application Guide for the new TSIs	Agency Regulation, Article 12; Directive 2008/57/EC, Articles 6, 8	End 2013
13. EMC for train detection		Ongoing

## 7.2. Collaboration with notified bodies

### What is the problem to be solved?

Feedback from the NoBos has to be taken into account in the development of TSIs. Annex I of Decision No 768/2008/EC <sup>(18)</sup> requires the Commission to ensure appropriate coordination and cooperation between notified bodies. Lack of coordination of the TSI-related activity of the Agency with the NoBos' activities brings a risk of inefficient implementation of the TSIs, resulting in extended time and costs of authorisation of the new subsystems, thus increasing the cost of the railway transport services.

### What does the Agency do?

The Agency coordinates its TSI-related activities with the notified bodies (NoBos). In particular, the Agency assists the Commission by acting as technical secretariat of NB-Rail (Network of Notified Bodies). The Agency is also represented in the various subgroups of NB-Rail.

### What is the expected overall impact?

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

Principal outputs 2013	Legal basis	Timing
1. Assisting NB-Rail in preparation and conveying meetings	Agency Regulation, Articles 12, 13	Ongoing

## 7.3. Collaboration with European standardisation organisations

### What is the problem to be solved?

TSIs often make references to the European Standards (ENs). In many cases, there are no ENs relating to the technical issues covered by TSIs, or the EN provisions are not consistent with the TSIs. When the ENs are not in line with the TSIs, there is a risk that the TSIs are not properly applied, as stakeholders tend to use ENs as they are. Therefore, the Agency needs, on one hand, to draft and revise, as well as keep

the TSIs updated (see project 5.7.1) and, on other hand, to cooperate with the European Standardisation Bodies (ESOs) in order to develop 'harmonised standards'.

### What does the Agency do?

In order to support the development of TSIs and ensure their efficient implementation, the Agency coordinates its TSI-related activities with

<sup>(18)</sup> Decision No 768/2008/EC of the European Parliament and of the Council of 9 July 2008 on a common framework for the marketing of products, and repealing Council Decision 93/465/EEC.

the ESOs. The Agency issues a number of requests for European standards when needed for TSIs. The Agency is represented on the two technical committees for rail (TC256 and TC9X) that coordinate the development of ENs related to railways.

#### What is the expected overall impact?

The TSIs drafted and revised by the Agency will be consistent and in line with ENs, and the list of ENs referenced in the TSIs will be up to date. Relevant requests for standards are issued by the Agency; the ESOs issue the standards that are necessary for the proper and smooth implementation of the TSIs.

Principal outputs 2013	Legal basis	Timing
1. Ensuring consistency of the TSIs with European standards, issuing requests for standards	Agency Regulation, Article 12	Ongoing

## 7.4. Telematics applications system authority

#### What is the problem to be solved?

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

#### What does the Agency do?

The Agency will help the railway sector to finalise the specifications, with a dual purpose; introduce change control management similar to the successful system for ERTMS, using the same tools; ensure full compliance of technical developments with TSIs; prepare TSI updates

whenever these prove to be absolutely necessary for a successful implementation. In addition, the Agency will monitor the actual deployment of the telematics TSIs and report on identified obstacles.

#### What is the expected overall impact?

The expected impact is in reaping the full benefits of those TSIs that have a direct effect on customers. Furthermore, the Agency is in the best position to ensure that small and medium-sized companies will equally be able to use harmonised telematics applications. Past experience with the even more complex ERTMS specification seems to offer a guarantee that the specifications will be managed efficiently, reducing administrative burdens to a minimum.

Principal outputs 2013	Legal basis	Timing
1. Update and publish TAF TSI and TAP TSI master plans	Commission Regulation (EC) No 62/2006 <sup>(19)</sup> , Article 4b	As necessary
2. Participation in TAF/TAP implementation governance (TAF SteCo, TAP SteCo and TAP governance entity)	Commission Regulation (EC) No 62/2006, Article 4b	On request
3. New TAP baseline version	Commission Regulation (EC) No 62/2006, Article 4b	Q3 2012
4. A merged ERA TAP TD B.30 and TAF data catalogue	Commission Regulation (EC) No 62/2006, Article 4b	Q3 2013
5. Monitoring reports on the implementation of TAF system (against master plan)	Commission Regulation (EC) No 62/2006, Article 4b	Ongoing
6. Monitoring reports on the development of TAP system (against master plan)	Commission Regulation (EC) No 62/2006, Article 4b	Ongoing
7. Promotion of telematics application in a multi-modal context	Commission Regulation (EC) No 62/2006, Article 4b	Ongoing
8. Establishment of a 'Railway IT Architecture Board' including registers	Commission Regulation (EC) No 62/2006, Article 4b	Ongoing

<sup>(19)</sup> Commission Regulation (EC) No 62/2006 of 23 December 2005 concerning the technical specification for interoperability relating to the telematics applications for freight subsystem of the trans-European conventional rail system.

## 8. Railway staff

Railway staff is one of the key elements for effective interoperability. Vehicles authorised in all EU Member States still need competent staff to operate them in cross-border traffic. The ERA shall support the opening of the market by looking into the various requirements for

recognition between the Member States. The recognition of the various competencies shall also support the free movement of workers, another policy area of the European Union.

### 8.1. Certification of train drivers

#### What is the problem to be solved?

Drivers' licences issued in different Member States are not mutually recognised, having various formats and containing different information. Furthermore, the training centres are only capable of working locally, within one Member State, and their training and certificates are not cross-accepted within the EU. The free movement of the workers (drivers) is, therefore, harmed.

#### What does the Agency do?

The Agency has developed the single drivers' licence model, according to the TDD. The Agency is also in charge of developing the assessment schemes to be used for the accreditation of training centres and examiners of train drivers. It is also defined in the Directive that

ERA has to carry out an evaluation of the development of the certification of train drivers in accordance with this Directive. It shall submit a report to the Commission not later than 4 years following the adoption of the basic parameters of the registers provided for in Article 22(4).

#### What is the expected overall impact?

The outcome of the Agency's activity will, in the long term, contribute to harmonisation of the train drivers' licences, and their mutual acceptance. Furthermore, the assessment of the training centres and examiners will be gradually harmonised and the results will be recognised within the EU.

Principal outputs 2013	Legal basis	Timing
1. Draft assessment scheme for the accreditation of training centres and examiners	Agency Regulation, Article 16b	December 2013
2. Pilot application of IT system to facilitate the exchange of data between NLRs and CCRs	Commission Decision 2010/17/EC <sup>(20)</sup> , Article 3	December 2013
3. Report on the evaluation of the development of the certification of train drivers in accordance with the TDD	Agency Regulation, Article 16b	29.10.2013

<sup>(20)</sup> Commission Decision 2010/17/EC of 29 October 2009 on the adoption of basic parameters for registers of train driving licences and complementary certificates provided for under Directive 2007/59/EC of the European Parliament and of the Council.



## 8.2. Other on-board Staff

### What is the problem to be solved?

Today, the requirements for other crew on the train are mainly company-based rules and, sometimes, national rules. The Agency shall identify the profile and tasks of other crew members performing safety-critical tasks whose professional qualifications accordingly contribute to railway safety and who should be regulated at Community level by means of a system of licences and/or certificates which may be similar to the system established by the TDD.

### What does the Agency do?

According to requirements, ERA has delivered its report to the EC. The next steps will be to develop detailed requirements for the European level. However, this task has low priority due to lack of resources.

### What is the expected overall impact?

A common approach to certify other train staff in safety-critical tasks.

Principal outputs 2013	Legal basis	Timing
1. Common approach to certify other train staff in safety-critical tasks	Directive 2007/59/EC, Article 28	To be determined in the EC mandate — assumption: 31.12.2013

## 8.3. Professional competences and health and safety

### What is the problem to be solved?

In revising TSIs, revisions shall contain, for the staff concerned, the professional qualifications and health and safety conditions at work required for the operation and maintenance of the above subsystem, as well as for the implementation of the TSIs. The task is to develop the common framework to be consistent, and with a similar approach to health and safety conditions, in the various TSIs.

### What does the Agency do?

The ERA will make analyses of requirements of health and safety in existing TSIs. The next step will be to develop a common approach process and to apply this approach in the revision of all TSIs. However, these tasks have low priority and are postponed to 2014 due to lack of resources.

### What is the expected overall impact?

Achieve a common set of requirements in all the TSIs; harmonised requirements in Chapters 4.6 and 4.7 of TSIs.



## 9. Shared databases and registers

In order to ensure the greatest possible transparency and equal access for all parties to relevant information, public documents envisaged for the interoperability process and for matters related to safety should be accessible to users and the public. The Agency is required to provide an efficient means of exchanging this information by

developing and maintaining several databases and registers. To develop and maintain transparency of information, the Agency will continue to develop the legislation and specifications on registers; put in place and maintain the databases and registers; agree with the relevant parties on the data transmission and validate the data.

### 9.1. ERADIS (ERA Database of Interoperability and Safety)

#### What is the problem to be solved?

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

#### What does the Agency do?

The Agency maintains the computerised system through which all important information is made available for any interested party,

either through direct access to the data stored at ERA, or via a common interface to the local (national) databases. The system also includes EU templates aiming to harmonise the format of some documents.

#### What is the expected overall impact?

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

Principal outputs 2013	Legal basis	Timing
1. ECM certificates registered	Regulation (EU) No 445/2011, Article 10; Agency Regulation, Article 19	Ongoing
2. Registered licenses	Regulation (EU) No 445/2011, Article 10; Agency Regulation, Article 19	Ongoing
3. Registered licenses	Regulation (EU) No 445/2011, Article 10; Agency Regulation, Article 19	Ongoing
4. Registered safety certificates	Regulation (EU) No 445/2011, Article 10; Agency Regulation, Article 19	Ongoing
5. Database to be functional and accessible with updated information	Regulation (EU) No 445/2011, Article 10; Agency Regulation, Article 19	Ongoing
6. Registered ISA data	Regulation (EU) No 445/2011, Article 10; Agency Regulation, Article 19	Ongoing
7. ERADIS module to register accredited independent safety assessment bodies (CSM RA)	Regulation (EU) No 445/2011, Article 10; Agency Regulation, Article 19	Ongoing

## 9.2. Reference document database

### What is the problem to be solved?

National rules for vehicle authorisation are published in many different places but a comprehensive 'one-stop shop' is required. Existing agreements recording agreements on equivalence of rules between Member States are based on different lists of parameters and are not compatible with each other and existing agreements on equivalence of rules are published in many different places: a structured single database is required.

### What does the Agency do?

The Agency specifies, will implement and put in place a single European database based on a single European list of parameters.

### What is the expected overall impact?

Without a database, the savings from projects 5.5.1 and 5.5.2 (estimated EUR 250 million) per year will not be realised: a central database is an essential prerequisite.

Principal outputs 2013	Legal basis	Timing
1. Maintenance of the Reference Document Database (RDD), updating and improvements to functionalities; management and maintenance of database	Commission Decision 2011/155/EU, Article 1	Ongoing
2. Checking of data consistency; support to NSAs, public and sector; special reports on demand; management and maintenance of data	Commission Decision 2011/155/EU, Articles 1, 3, 4	Ongoing

## 9.3. Database of national safety and national technical rules

### What is the problem to be solved?

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

### What does the Agency do?

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

### What is the expected overall impact?

The databases and Notif IT are tools which enable concerned stakeholders to make the system of national rules transparent, and are a prerequisite to the reduction in the number of national rules as well as to the cross-acceptance of rules between Member States. Databases and Notif IT are essential prerequisites for project 5.3.7 and 5.5.4.

Principal outputs 2013	Legal basis	Timing
1. Assistance to the EC in maintaining and improving Notif IT for national safety rules; support to the development of the workflow on notification of draft rules.	Agency Regulation, Article 21b	Ongoing
2. Support to the EC; administration of Notif IT; improvement and further development of Notif IT; feedback to EC services regarding user needs	Agency Regulation, Article 21b	Ongoing

## 9.4. Registers for interoperability

### What is the problem to be solved?

There is a need for a set of tools aiming at describing the compatibility between vehicles and infrastructure. This would allow a simplification of the APIS and the cross-acceptance process. It would also make transparent which vehicle is potentially operable on which network.

### What does the Agency do?

The Agency has to develop and maintain the RINF (Register of Infrastructure), ERATV (European Register of Authorised Type of Vehicles)

and NVR (National Vehicle Register)/ECVVR (European Central Virtual Vehicle Register) in order to solve the described issue. The possibility of interfacing the various registers to each other will also be analysed.

### What is the expected overall impact?

Develop and maintain RINF, ERATV and ECVVR for proper usability by the sector, maintain the specification for the NVRs and coordinate their development in the different Member States.

Principal outputs 2013	Legal basis	Timing
1. ERATV register to be functional and accessible with updated information	Directive 2008/57/EC, Article 34; Agency Regulation, Articles 18, 19	Ongoing
2. NNVR and ECVVR registers to be functional and accessible with updated information	Directive 2008/57/EC, Article 33; Agency Regulation Articles 18, 19	Ongoing
3. Coordination and monitoring of the implementation of RINF by Member States; reports to the EC	Directive 2008/57/EC, Article 35; Agency Regulation, Articles 18, 19	Ongoing
4. Guidance on the status of registers under the ID and kind of source for authorisation information	Directive 2008/57/EC, Article 34	
5. Guidance on use of registers in practice (e.g. comparison of data in different registers)	Directive 2008/57/EC, Article 34	tbd
6. Report on fulfilment of sector needs by operational databases and potential interaction of registers	Directive 2008/57/EC, Article 34	tbd
7. Define structure, detail level of information required, and functional specification for an accessibility register related to PRM TSI	Directive 2008/57/EC, Article 34	Q4 2013



## 9.5. Safety performance and accident data

### What is the problem to be solved?

The NIBs submit notifications and final reports of investigations opened according to Article 24 of the RSD (see also Article 19 of the Agency Regulation on the accessibility of documents and registers). The NSAs collect and aggregate accident statistics and common safety indicator (CSI) data from the infrastructure managers and railway undertakings and submit national data to the Agency in accordance with Articles 5 and 18 of the RSD. Without this information, projects 5.4.6 and 5.4.1 cannot be completed.

### What does the Agency do?

The information on investigations submitted by NIBs is processed and validated by the Agency and made publicly available through

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

### What is the expected overall impact?

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

Principal outputs 2013	Legal basis	Timing
1. Development and management of the ERAIL database	Directive 2004/49/EC, Article 24; Agency Regulation, Article 19	Ongoing
2. Ongoing management of the system	Directive 2004/49/EC, Article 9; Agency Regulation, Article 18	



## 10. Monitoring interoperability

The Agency produces reports on progress with interoperability every two years which provides the basis for the analysis of the trends of implementation of interoperability across the European Union. The legal basis for this report is provided by Article 14(2) of the Agency Regulation. Without prejudice to the responsibility of Member States, the Agency may also, at the request of the Commission, monitor the quality or coordinate the work of notified bodies. For the time being, the availability of interoperability-related data in the Agency

is rather limited because databases and registers are still being defined or populated. Therefore, the Agency collects data from other sources, the primary source being the questionnaires distributed to the national safety authorities. Any reports and opinions requested by the Commission have an impact on the workload of the Agency. This impact is difficult to evaluate as the Agency is not aware of the number of requests that may come from the Commission.

### 10.1. Biennial report on interoperability

#### What is the problem to be solved?

Every two years, the Agency delivers a report on progress with railway interoperability in the European Union in order to provide an objective analysis of developments in this area. This year, the third report will be issued and will target a wide audience ranging from policymakers and national authorities to lobbying organisations and other railway stakeholders.

#### What does the Agency do?

The report will identify the problems with implementation of the railway legislation; summarise the legal and institutional framework established to enhance technical and operational compatibility

between rail networks; explain the indicators used to evaluate the railway interoperability progress; and look into effects of TSIs on the railway market.

#### What is the expected overall impact?

The report is published on the Agency website and as a printed document. The findings are made available to any interested person or entity, and contribute to a better understanding of the problems related to the implementation of the interoperability principles and relevant legislation. The report helps to identify and understand the shortcomings of the implementation of interoperability, thus contributing to further improvements.

Principal outputs 2013	Legal basis	Timing
1. Report to be published	Agency Regulation, Article 14	End 2013

### 10.2. Evaluation of railway projects and requests for TSI derogations

#### What is the problem to be solved?

There is no certainty that a project to be executed by a Member State or other applicant will be in line with the interoperability principles and the TSIs. It can happen that a Member State intends to execute a project with certain deviations from the TSIs' requirements, due to various (in most cases, economic) reasons.

#### What does the Agency do?

At the request of the Commission, the Agency analyses such projects (in general, co-financed by the EU) and in particular, checks if they are in line with the interoperability principles and the TSIs. At the request

of the Commission, the Agency evaluates any requests for derogations from the provisions of the TSIs, submitted by the Member State.

#### What is the expected overall impact?

An opinion is issued by the Agency if a project is confirmed to be in line with the interoperability principles and the TSIs. The applicant, therefore, may be entitled to financial support from EU funds. An opinion on whether derogation should be granted from the requirements of the TSIs, or not, is issued by the Agency.

Principal outputs 2013	Legal basis	Timing
1. Opinion sent to the Commission	Agency Regulation, Article 15	On request

### 10.3. Notified bodies — notifications and efficiency

#### What is the problem to be solved?

The notified bodies may perform their duties weakly and may not meet the criteria referred to in Annex VIII of the IOD. In such a case, the certificates issued may not reflect the real status of the design and construction of the subsystem or interoperability constituent. There is a risk that the subsystems or ICs may not meet the necessary interoperability requirements, despite having the relevant certificates. On other hand, it may happen that the subsystem/IC does not receive a certificate, even if, in fact, it meets all the relevant requirements.

#### What does the Agency do?

The Agency may, at the request of the Commission, monitor the quality of the work of the notified bodies and consider if they met the criteria referred to in Annex VIII of the IOD. In case of new notifications of a notified body, the Agency is also consulted by the Commission before approval.

#### What is the expected overall impact?

Improper work by NoBos will be identified; the way to improvement is indicated, thus contributing to the better functioning of NoBos, and to the smooth process of verification and placing in service.

Principal outputs 2013	Legal basis	Timing
1. Monitoring the quality of work of NoBos, issuing opinions to the Commission	Agency Regulation, Article 13	End 2013



## 11. Economic evaluation of Agency products

Agency recommendations are mostly converted into Commission decisions, for example TSIs or CSMs, and these have the force of law. As such, recommendations inevitably induce administrative costs, or technical changes, that must serve the very purposes of railway policy and, therefore, contribute to make the railway sector more competitive. Before any decision is made, the Agency must demonstrate that the recommendation abides by the proportionality principle, has considered the best available options, and does not generate 'collateral damage'. The Agency has conducted the impact assessment of its own recommendations since it started operations. It is conducted by a functionally independent unit, developing a methodology (based on EC recommendations), and producing deliverables as needed, from early assessment through methodology documents to full impact assessment reports. Particular emphasis is put on 'early assessment forms' first trialled in 2012, the purpose of which is to enable early diagnosis of the possible added value of Agency works, to clarify the remit of working parties and, ultimately, to document the impact assessment of each recommendation in a clear, concise and standard way.

### The impact assessment process associates:

- the other Agency units responsible for the recommendations;
- the stakeholders represented in working parties of the Agency;
- stakeholders represented in the Economic Survey Group convened by the Economic Evaluation Unit;
- other concerned stakeholders as may be required.

Most impact assessment works confirm orientations that would have been taken anyway by reasonable and knowledgeable experts. Even so, impact assessment may contribute to clarify technical debates for a wider audience, which is essential for transparent decision-making. In some significant cases, economic evaluation contributes in solving less obvious issues and choosing the best option, taking into account all concerned parties. Moreover, spreading 'economic' thinking in a railway environment traditionally dominated by technical, regulatory, and national concerns may bring long-term benefits.

### 11.1. Developing and updating of the methodology

#### What is the problem to be solved?

Current methodology guidelines which were already drafted in 2006/07 do not consider the new activities of the Agency (e.g. cross-acceptance), the newly established ERA internal evaluation processes (early assessment of Agency activities) as well as a number of economic issues in the framework of impact assessment (e.g. discounting, opportunity costs, and externalities). The modelling of different options can be very complex and specific IT support is required. In addition, people do not trust complex models. In a number of cases, the use of sensitive data is necessary, with uncertain availability.

#### What does the Agency do?

The methodology guidelines will be updated, summarising experience and insight gained over the years. Standardised economic models will be established which will allow easy understanding of

the model. As an alternative to requesting sensitive data, the Agency would propose such standardised models for use by concerned stakeholders. The discussions with the impacted stakeholders would focus on the basic modelling assumptions and the outcome of modelling. A model generator, hugely simplifying the construction of sophisticated Excel-based models, will be the primary tool, and will also be put at the disposal of stakeholders.

#### What is the expected overall impact?

Impact assessment could be applied to complex issues (ETCS or GSM-R migration, accessibility, etc.) using standardised models that are reliable, shared, and well understood. The quality of the assessment will be improved and, for this reason, would improve the overall quality of the Agency recommendations.

Principal outputs 2013	Legal basis	Timing
1. New annex to the general methodology guidance	Directive 2008/57/EC, Articles 6, 8, 31; Agency Regulation, Articles 6, 16b, 21a	June 2013
2. Impact assessment model generator	Directive 2008/57/EC, Articles 6, 8, 31; Agency Regulation, Articles 6, 16b, 21a	July 2013

## 11.2. Defining needs and outcomes

### What is the problem to be solved?

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

### What does the Agency do?

The Agency will apply a pre-assessment process applicable to all potential activities of the Agency, including TSI open points, to determine an optimised priority list.

### What is the expected overall impact?

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

Principal outputs 2013	Legal basis	Timing
1. Prioritised task list for the Agency	Directive 2008/57/EC, Articles 6, 8, 31; Agency Regulation, Articles 6, 16b, 21a	June 2013
2. Prioritisation of open points	Directive 2008/57/EC, Articles 6, 8, 31; Agency Regulation, Articles 6, 16b, 21a	According to TSI planning

## 11.3. *Ex ante* evaluations

### What is the problem to be solved?

In principle, most recommendations of the Agency resulting from the RSD the IOD have to be accompanied by an impact assessment.

### What does the Agency do?

In 2013, most impact assessments will focus on the scope of the TSIs and the closure of open points. This assessment work has started simultaneously with the development of recommendations, and will come to a simultaneous conclusion. In simple cases, with low

stakes, the standardised 'early assessment' format will be the minimum provided.

### What is the expected overall impact?

The impact assessments will contribute to the decision if, and under which conditions, the scope of a TSI for a specific subsystem should be extended to the whole of the European railway network. In addition, the most economically viable solution for the European railway sector will be identified when closing an open point.

Principal outputs 2013	Legal basis	Timing
1. <i>Ex ante</i> impact assessment of all recommendations of 2013	Directive 2008/57/EC, Articles 6, 8, 31; Agency Regulation, Articles 6, 16b, 21a	According to recommendation planning

## 11.4. *Ex post* evaluations

### What is the problem to be solved?

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

### What does the Agency do?

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

### What is the expected overall impact?

The *ex post* analysis will provide essential input for future revisions of the recommendation and, thus, enable a continuous improvement in the European legal framework.

Principal outputs 2013	Legal basis	Timing
1. <i>Ex post</i> impact assessment of 1 past recommendation	Directive 2008/57/EC, Articles 6, 8, 31; Agency Regulation, Articles 6, 16b, 21a	December 2013



## 12. Support to Agency operations

The transverse activities supporting the operations and the Executive Director are carried out by the Executive Director's Office and the Administration Unit. The Executive Director's Office is responsible for the Agency's strategy and business planning, the Agency quality programme, communication, internal audit and legal affairs. The Administration Unit owns the areas of human resources, procurement, finance, accounting, ICT and facilities. Based on the regulatory framework (in particular the Founding Regulation, Staff Regulations, Financial Regulation and Internal Control Standards), both entities

develop and provide the required projects and services. Within the administrative support services, in 2013, particular emphasis will be given to the selection and engagement of new agents (as a result of contracts terminating for numerous operational staff members), further improvement of planning and execution of the budget and procurement procedures, implementation of changes resulting from the entering into force of the new Staff Regulations and the implementation of the Service Management Framework.

### 12.1. Communication

#### What is the problem to be solved?

ERA's activities and outputs are not yet sufficiently known and implemented in the railway sector and by all stakeholders. Only basic communication could be delivered in the first years of the Agency's existence. Essential communication tools are not at the performance level for the upcoming requirements (especially after the entry into force of most of the Agency's recommendations). The whole communication strategy and channels — including the regular gathering of a return on experience — needs strong enhancement.

#### What does the Agency do?

The core mission of the Communication Office is thus to provide the external and internal communication processes and working tools for the Agency's stakeholders and staff to ensure the required Agency's impact on the railway sector.

#### What is the expected overall impact?

Adequate communication leads to the intended understanding and implementation of the Agency's outputs in the railway sector. On the other hand, sound communication delivers feedback on the effectiveness and consequences of the Agency's measures and so leads to improved future EC and Agency measures. This implementation and feedback is the indispensable basis for fulfilling the Agency's mission: to make the railway system work better for society.

Principal outputs 2013	Legal basis	Timing
1. Communication plan stemming from communication strategy, tools	Agency Regulation	March 2013
2. Regular update of the ERA intranet/extranet	Agency Regulation	Ongoing
3. Annual report and specific Agency reports; external Newsletters	Agency Regulation	Q1 2013, ongoing
4. Agency participation at conferences/exhibitions: one at SIFER, one efficient Interoperability dissemination event	Agency Regulation	tbd
5. Internal newsletters/general internal communication	Agency Regulation	Quarterly and ongoing
6. Agency's templates shaped; CI/CD assurance of external presentations	Agency Regulation	Following DMS project plan and on request
7. Answers to external information requests via website	Agency Regulation	15 days after reception of request

## 12.2. Internal control and audit

### What is the problem to be solved?

The audit and internal control function provides assurance and advice to the Executive Director of the Agency as regards the effectiveness of internal control, risk management and governance with the ultimate objective of delivering value to stakeholders.

### What does the Agency do?

Reassurance activity for the Executive Director (internal audits and ex post control activity); advice and support on design and maintenance of risk management process (monitoring and evaluation of risk management process); advice and support on design and maintenance of internal control components (validation of internal control

standards assessment, advice on policies/process/project development and coordination of closure of audit recommendations, quality checks on IT projects).

### What is the expected overall impact?

Providing the Executive Director with independent and objective assurance and advice on the Agency's internal control system and risk management framework will ultimately increase the efficiency and effectiveness of the Agency's operations, which will improve the railway system. Furthermore, it contributes to providing assurance on compliance of the Agency's activities with the applicable legal framework.

Principal outputs 2013	Legal basis	Timing
1. Ex post/internal audit report	Agency Regulation	March–June 2013
2. Assessment report on internal control standards	Agency Regulation	November 2013
3. Advice and support on the design and maintenance of Agency processes: (a) revised Col policy; (b) output according to QSG plan; (c) ad hoc advice.	Agency Regulation	(a) February 2013; (b) ongoing; (c) ongoing.
4. Updating of the risk register (including maintenance and facilitation of risk management process implementation at ERA)	Agency Regulation	June and December 2013
5. Updating of issue tracking system (including design/maintenance and facilitation of 'implementing action plan' at ERA)	Agency Regulation	Ongoing
6. (a) Opinion on draft IAS reports (audit and risk assessment); (b) Validation of GRC data; (c) Article 72.5 Report.	Agency Regulation	(a) Depending on IAS audit schedule; (b) ongoing, Q4; (c) Q3.



### 12.3. Legal affairs

#### What is the problem to be solved?

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

#### What does the Agency do?

The Legal Office provides legal opinions and legal advice to the Executive Director and to all units and sectors, including on its own initiative. The Office provides legal and administrative support (Secretariat) to the Administrative Board and its subcommittee and ensures, in particular, the timely organisation and coordination of the meetings of the Administrative Board. It also intervenes in case of claims and proceedings before courts and other public authorities.

The Data Protection Officer (DPO) ensures, in an independent manner, the proper application within ERA of Regulation (EC) 45/2001 <sup>(21)</sup> in order to ensure compliance with personal data protection rules.

#### What is the expected overall impact?

The Legal Office thus ensures legality and consistency of recommendations and opinions issued by the Agency and of the decisions adopted by the Executive Director and by the Administrative Board. Ensuring the compliance of the Agency's activities with the applicable legal framework prevents maladministration of the Agency and indirectly facilitates the smooth performance of its tasks under the Agency Regulation, which will improve the railway system.

Principal outputs 2013	Legal basis	Timing
1. Legal advice; legal opinions	Agency Regulation	Ongoing
2. Legal and administrative support to the Administrative Board (including Budgetary Subcommittee)	Agency Regulation	Ongoing
3. Administrative Board/Budgetary subcommittee meetings	Agency Regulation	Three/four times per year
4. Implementation of Regulation (EC) 45/2001 in order to ensure compliance with personal data rules	Agency Regulation	Ongoing

<sup>(21)</sup> Regulation (EC) No 45/2001 of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies on the free movement of such data.



## 12.4. Human resources

### What is the problem to be solved?

The quality of the Agency outputs depends on the availability and performance of human resources with the required knowledge, experience and skills. The HR activities aim at providing support to recruit a sufficient number of appropriately skilled staff to carry out Agency activities. The HR project facilitates onboarding and continuous improvement of professional and personal development of staff and consequently contributes to the achievement of ERA goals.

### What does the Agency do?

The HR project covers the full range of human resources management services including recruitment, engagement, individual entitlements, learning and development, CDR, reclassification, administration, reporting, etc., in compliance with the legal framework. Selection and engagement will be given particular consideration in 2013 as many contracts of operational staff members will come to an end in 2013

and 2014. In 2013, a second round of the staff satisfaction survey will be launched. A subsequent action plan will help to identify gaps and outline main actions for improving the quality of work and performance of staff members. Efforts will be intensified to streamline and document procedures in order to both make efficiency gains and to facilitate the preparation of the necessary data protection notifications. Furthermore, some initiatives managed and/or facilitated by the HR sector will be in their implementation phase in 2013: the ERA management coaching scheme; prevention of harassment; candidates' communication plan; induction of newcomers.

### What is the expected overall impact?

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

Principal outputs 2013	Legal basis	Timing
1. HR services (recruitment, entitlements, onboarding, CDR, reclassification, learning and development, reporting, project management) carried out in respect of the legal framework and within the set deadlines; 95 % of the establishment plan to be filled at the end of the year	Agency Regulation	Ongoing
2. LEAMA management	Agency Regulation	Ongoing
3. New e-HR modules according to the Agency quality programme and in function of budget available	Agency Regulation	According to project plan
4. Completed review of data protection notifications	Agency Regulation	Ongoing
5. Staff survey and subsequent action plan in place	Agency Regulation	Q2 2013
6. Subsequent administrative activities undertaken with regard to the introduction of new Staff Regulations (as of 1 January 2013) (e.g. review of implementing rules, changes of individual entitlements)	Agency Regulation	Q2 2013



## 12.5. Finance, accounting and procurement

### What is the problem to be solved?

The project aims to provide support to the Agency operational activities, in particular with regard to financial operations, accounting and procurement procedures ensuring legality and timeliness of operations.

### What does the Agency do?

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

and provides support in the preparation and implementation of procurement procedures. In 2013, the sector will explore the possibilities of using e-PRIOR: a service-oriented platform designed for procurement, allowing the European Commission, the EU Agencies and institutions and their suppliers to exchange post-award documents (e Ordering, e Catalogues, e Invoicing and e Archiving) by using web services or via the PEPPOL network.

### What is the expected overall impact?

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

Principal outputs 2013	Legal basis	Timing
1. Financial transactions and accounting services carried out in respect of the legal framework and within the set deadlines; budget execution: commitments > 98 %; payments > 70 %; 95 % of payments within the set deadlines	Agency Regulation	Ongoing
2. Advice and support for launching and carrying out procurement procedures; 100 % of procurement procedures carried out	Agency Regulation	Within the set deadlines
3. N+1 year budget to be submitted and approved	Agency Regulation	Q4 2013
4. Monthly reports on budgetary execution	Agency Regulation	Monthly
5. Asset management updates	Agency Regulation	Ongoing
6. IT Service MiMa	Agency Regulation	Ongoing
7. Decision on usefulness of e PRIOR application in ERA activities	Agency Regulation	Q3 2013

## 12.6. Information technology

### What is the problem to be solved?

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

### What does the Agency do?

The ICT service offers are carried out by in-house staff and contractors working on site. In 2013, based on the business needs and operational demands, the service management framework will be consolidated.

In-house expertise will identify the relationship between master data management and the enterprise information architecture to rationalise the design of the core business data. The ongoing activities in relation to the documentation of procedures and definition of service levels and performance indicators will also be enhanced in 2013.

### What is the expected overall impact?

The project safeguards that all Agency activities are carried out in a safe IT environment and in respect of data protection principles, engaging with stakeholders in aligning the ICT provided services with current and future business needs.

Principal outputs 2013	Legal basis	Timing
1. IT security strategy implemented and working as designed	Agency Regulation	Ongoing
2. Standard IT services delivered	Agency Regulation	Ongoing
3. IT service desks at Valenciennes and Lille	Agency Regulation	Ongoing
4. Documentation of procedures and definition of service levels monitored, and corrective actions undertaken	Agency Regulation	Ongoing
5. Online web services made available in line with business requirements	Agency Regulation	Ongoing
6. Business continuity plan tested and working as designed	Agency Regulation	Q3 2013
7. Service management framework consolidated	Agency Regulation	Q4 2013
8. Relationship between master data and enterprise information architecture governance identified	Agency Regulation	Q4 2013

## 12.7. Facilities

### What is the problem to be solved?

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

### What does the Agency do?

The facilities management (FM) services are carried out by in-house staff and contractors working on site. In 2013, the process of

formulating the Agency's requirements to a possible new building in Valenciennes will continue. Together with the HR and ICT teams, significant steps will be taken in improving the health and safety and business continuity planning. Eco-Management and Audit Scheme (EMAS) initiatives will commence to reduce the environmental impact of the activities of the organisation.

### What is the expected overall impact?

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

Principal outputs 2013	Legal basis	Timing
1. Standard facilities services provided	Agency Regulation	Ongoing
2. Evacuation exercise executed; related procedures and documents revised and updated.	Agency Regulation	Ongoing
3. Requirements for a possible new building defined	Agency Regulation	Q4 2013
4. Introduction of EMAS initiatives	Agency Regulation	Q4 2013

## 13. Agency management

The Agency continues, in 2013, its integrated 'One Agency' approach across its operational units. Since 2012, this approach has been reflected in the activity-based structure of the work programme, the guiding structure for planning, execution and communication of the Agency's work. This coherent base for all activities of the Agency serves for structuring operational matters as well as for a consistent management of all stakeholder interfaces. Furthermore, it is the indispensable basis for discussion with the stakeholders on the strategic priorities of the work programme and the related resource

allocations. The implementation of the Agency quality programme continues after its commencement in 2012; it ensures the necessary improvements in the Agency's key products, based on stakeholder needs, key performance indicators and their systematic feedback into the processes. Further existing and new transversal projects have been grouped into this activity: the international relations management, the railway research coordination and the coordination of the EU Agencies due to the presidency rotating to ERA in 2013.

### 13.1. Strategy and business planning

#### What is the problem to be solved?

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

#### What does the Agency do?

The Agency's strategy and business planning ensures, in close cooperation with the EC and other stakeholders, the strategic direction, the prioritisation and the integrated planning of the (multi-)annual

work programme. Impact (early) assessment is used as default tool to identify the right priorities. The implementation of the annual work programme and its change management are regularly monitored and adjusted where necessary. The final achievements of a business year are laid down in the Annual Activity Report.

#### What is the expected overall impact?

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

Principal outputs 2013	Legal basis	Timing
1. Evaluation and prioritisation of the content of the (multi) annual work programme	Agency Regulation	With draft WP and ongoing
2. Draft and final annual and multi-annual work programme on integrated planning basis	Agency Regulation	Draft, February 2013; Final version, October 2013
3. Execution monitoring, corrective actions and change management for the WP	Agency Regulation	Ongoing
4. Annual Activity Report 2012	Agency Regulation	March 2013
5. Monthly ERA IT Governing Committee (EIGC) meetings organised; IT strategic plan built and updated; programme portfolios analyses made	Agency Regulation	Ongoing

## 13.2. Stakeholder management

### What is the problem to be solved?

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

### What does the Agency do?

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

### What is the expected overall impact?

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

Principal outputs 2013	Legal basis	Timing
1. Coordination of the NRB; organisation of NRB plenary meetings; seminars and workshops on specific topics	Agency Regulation	Minimum of three NRB meetings per year; other events and activities as required

## 13.3. Research and studies coordination

### What is the problem to be solved?

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

### What does the Agency do?

The Agency disseminates the EU framework to those involved in research; determines the Agency's needs for research; disseminates these needs to the providers of funds and advisory bodies; and influences research projects to ensure the outputs best meet the Agency's

defined needs. The Agency coordinates its studies in order to ensure coherence in study definition, a clear strategic path for future Agency activities, and a better knowledge of study subcontractors.

### What is the expected overall impact?

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

Principal outputs 2013	Legal basis	Timing
1. Very limited coordination of the Agency's needs on research (and studies); reports and support to EC services for research; coordination of Agency activities and relationship to research projects, institutes and organisations	Agency Regulation	ERA research needs to be synchronised with ERRAC <sup>(22)</sup> and the Directorate-General for Research and Innovation calendars; regular meetings of the Agency Research Steering Group

<sup>(22)</sup> The European Rail Research Advisory Council.

## 13.4. International relations management

### What is the problem to be solved?

The Agency is required by the Commission to provide technical expertise in support of the Commission agreements with neighbouring and EU candidate countries and potential candidates (enlargement policy countries). International relations offer an opportunity to open the world markets to EU suppliers and promulgate the EU framework and specifications (e.g. ERTMS is a world leader — 55 % of sales are outside EU). The development of railway systems in many parts of the world will bring also research and technical development on railway relevant components, subsystems and systems. To make these developments also accessible to EU Member States, the Agency will need to discuss the different approaches and developments and exchange experiences with organisations outside of the European Union. To meet the objective of becoming a centre of excellence, Agency staff must be up to date with scientific and technical progress.

### What does the Agency do?

The Agency has a policy on international relations. According to the status and benefits to be gained from third country activities, the Agency staff attend meetings, workshops and seminars with

third parties or support the EC at meetings under the auspices of established agreements. The Agency monitors, in this framework, the development of OTIF, UNECE and OSJD (Organisation for Cooperation between Railways) rules and tries to prevent the adoption of inconsistent rules at international level when identified. It tries to influence international technical rule-making concerning the transport of dangerous goods on rail. Information to candidate and potential candidate countries is provided in different forms; an information exchange with various worldwide countries and related associations is established.

### What is the expected overall impact?

To ease to a maximum the cross-border traffic with the said countries, the impact of foreign rule-making on EU railway legislation shall be limited, whereas the integration of EU candidate countries and potential candidates must be facilitated. Without EU specifications being used at world level, the market share of European technology is expected to decline. Using the experience of railway organisations outside Europe (e.g. axle loads cf. US) saves on duplication of research and specification development (e.g. sharing running dynamics knowledge) and facilitates a convergence of national rules.

Principal outputs 2013	Legal basis	Timing
1. Participation in out-of-Europe events involving authorisation processes and technical rules	Agency Regulation, Article 21b	On request
2. Assisting the EC to represent EU positions in OTIF, technical support	Agency Regulation, Article 21b	Meetings and exchange of information according to needs
3. Representing EU railway interests at UNECE WP, following the developments and report to the EC and to experts in the Agency	Agency Regulation, Article 21b	Meetings and exchange of information according to needs
4. Via IPA: promoting EC railway legislation in EU candidate countries or potential candidates	Agency Regulation, Article 30	Ongoing
5. Reporting on developments at OSJD	Agency Regulation, Article 30	
6. Follow-up of progress and development of railway technology	Agency Regulation, Article 21b	Meetings and exchange of information according to needs
7. Conduct a RID working party and develop common positions; continued reporting to the EC; representing EC positions in OTIF	Agency Regulation, Article 21b	Ongoing

## 13.5. Quality management

### What is the problem to be solved?

Until 2012, the Agency was lacking a quality management system, resulting in unclear customer/stakeholder needs (internal and external) to be fulfilled and in heterogeneous processes across the Agency. This is especially hindering the smooth running of the Agency's business during a huge staff turnover which will be the case in 2013 and 2014. Thus, a strong knowledge management process is required as well. A quality system in place is a very vital element for business continuity. The implementation of the CAF (Common Assessment Framework) action plan started in 2012 must be continued (the Agency programme).

### What does the Agency do?

The Agency will implement further, under the management of the Quality Office, the quality roadmap stemming from the 2012 CAF

action plan (the Agency programme). This includes the cross-Agency implementation, performance monitoring and review of its processes and their outputs, based on identified needs or performance deficiencies. The Agency will develop further, with the support of a consultant, its knowledge management process. Some specific actions such as the organisation of internal training on main Agency products as well the formalisation of Frequent Asked Questions (FAQ) resulting from workshops will be put in place.

### What is the expected overall impact?

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

Principal outputs 2013	Legal basis	Timing
1. Process map and management system documents including strategic plan, audit procedure and non-conformity procedure	Agency Regulation	Q1 2013
2. Development and implementation (including key performance indicators) of administration, network, MoU and database processes	Agency Regulation	Q3 2013
3. Quality manual; report templates; quality policy completed	Agency Regulation	Q4 2013
4. Review and improvement of four processes (implemented in 2012)	Agency Regulation	Q3 2013
5. Implementation of post-mail records and metadata system	Agency Regulation	Q2 2013
6. Internal training and seminars	Agency Regulation	Ongoing



## 13.6. Coordination of EU Agencies

### What is the problem to be solved?

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

### What does the Agency do?

The coordination of the network rotates between agencies for a period of one year at a time. The previous, the actual and the subsequent coordinating agency together form a troika. ERA will take over the coordination role for the period March 2013 to March 2014. This

means that ERA became a member of the troika in March 2012 and will be a member until March 2015. The coordination tasks consist mainly of being the single point of contact between the regulatory agencies and, in particular, the European institutions on issues of a horizontal nature and representing the agencies in meetings and negotiations. Furthermore, the coordinating agency normally hosts three meetings of the Heads of Agency and three meetings of the Heads of Administration Networks. Two of the three meetings to be hosted by ERA will be held in 2013.

### What is the expected overall impact?

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

Principal outputs 2013	Legal basis	Timing
1. Task force for the coordination function of the Agencies fully operational	Agency Regulation	Q1 2013
2. Two meetings of the Heads of Agency Network organised and taken place	Agency Regulation	March 2013– December 2013
3. Two meetings of the Heads of Administration Network organised and taken place	Agency Regulation	March 2013– December 2013



# Annex I: Procurements foreseen for 2013

Title	Expected signature date	Estimated amount (EUR)	Unit/sector	Type of contract
Flange or rail lubrication — how to ensure transparency and avoid unjustified barrier on the EU network	28.2.2013	100 000	Interoperability	Direct
Study on a universal overhead contact line design	15.4.2013	220 000	Interoperability: fixed installations sector	Direct
ETCS specifications — evaluation and simplification	4.4.2013	100 000	ERTMS	Specific contract under existing framework contract
Survey of operational communications	12.4.2013	100 000	ERTMS	Specific contract under existing framework contract
eREC — Human factors validation	19.5.2013	50 000	ERTMS	Specific contract under existing framework contract
Safety certificate Part A	30.4.2013	120 000	Safety: Supervision and Investigation	Direct
IM RU responsibilities in controlling risks	30.4.2013	120 000	Safety: Management System	Direct
Training on Xaudit	15.3.2013	60 000	Safety: Regulation and Safety Monitoring	Direct
Tests required by NSAs going beyond TSIs' requirement	31.5.2013	2 000	Cross-acceptance: Evaluation	Direct
One-stop shop: how to set up a one-stop shop and what does it contain	28.6.2013	25 000	Cross-acceptance: evaluation	Direct

# Annex II: ERA Risk register 1Q 2013

	Risk Description
<b>Business Continuity</b>	
<ul style="list-style-type: none"> <li>• Root Cause</li> <li>• Event</li> <li>• Effect</li> </ul>	<p>Lack of business continuity plan may lead in case of disaster to....</p> <p>inability and unpreparedness of recovering core ICT systems and services...</p> <p>so putting at risk the performance of critical business processes.</p>
<ul style="list-style-type: none"> <li>• Root Cause</li> <li>• Event</li> </ul>	<p>Dependence on a small number of individual's knowledge and experience to comply with the requirements of the mandates may lead to...</p> <p>inability in implementing the annual work programme.</p>
<ul style="list-style-type: none"> <li>• Root Cause</li> <li>• Event</li> </ul>	<p>Lack of safety management system may lead to....</p> <p>danger to the health and safety of staff.</p>
<ul style="list-style-type: none"> <li>• Root Cause</li> <li>• Event</li> </ul>	<p>Lack of DMS may impact negatively....</p> <p>the efficiency of key processes.</p>
<b>Stakeholders relation management</b>	
<ul style="list-style-type: none"> <li>• Root Cause</li> <li>• Event</li> <li>• Effect</li> </ul>	<p>Lack of stakeholders relation management system coupled with weak external communication strategy and practices... may lead to inability of the Agency in congruently reconciling diverse stakeholders expectations and effectively translating them into Agency's programming process so...</p> <p>impairing the quality of objectives defined in the annual work programme.</p> <p>Reputational risk is at stake as well.</p>
<b>Performance measurement</b>	
<ul style="list-style-type: none"> <li>• Root Cause</li> <li>• Event</li> <li>• Effect</li> </ul>	<p>Lack of a formal tool for measuring Agency's performance may lead to...</p> <p>significant weakening of the decision making and planning processes,...</p> <p>putting a risk the overall sustainability of core business.</p> <p>Reputational risk is at stake as well.</p>
<b>Communication strategy and practices</b>	
<ul style="list-style-type: none"> <li>• Root Cause</li> <li>• Event</li> <li>• Effect</li> </ul>	<p>Lack of communication strategy and codified practices may negatively...</p> <p>impact ability of the Agency in effectively conveying messages to key stakeholders and in running soundly crisis management events...</p> <p>putting into danger an effective, timely and consistent implementation of the Agency's output in the railway sector.</p> <p>Reputational risk is at stake as well.</p>

Proposed Action Plan	Risk Rating	Risk Owner	Risk Actionee	Risk Status	Risk Direction
<p>The activities to set-up and configure the Disaster Recovery Mobile Rack Solution were completed. Currently the Data population is in progress and will be completed by the end of November. It is still planned to move the Equipment to the CdT premises in Luxembourg in December 2012, January 2013, depending on the availability of the CdT new server room. Memorandum of understanding in progress, but not finalised yet (submission by the end of November 2012). Final testing within 2Q 2013</p> <p><b>Time:</b> 2Q 2013</p>	High	ExDir	Head of ITFM	Open	↓
<p>Knowledge transfer between leaving staff and newcomers will be managed by each unit. Best practices have been exchanged and will be used cross Units (coordination by HR)</p> <p><b>Time:</b> 1Q 2013</p>			Heads of Units		
<p>The Health and Safety working group, established by the ED decision N° 395, has identified priority actions in order to improve the evacuation procedure, namely fire pickets and staff members certified as SST (Secouriste et Saveteurs du Travail). About this latter, the Agency launched an internal call for interest to identify staff members suitable as SST. The chosen staff members followed the specific training on 12th and 13th December 2012. About the fire pickets this is planned to be completed in Q2-2013</p> <p><b>Time:</b> 2Q 2013</p>			Head of ITFM		
<p>A. Procedure for managing documents has been developed by quality project (ISO approach) during 4Q 2012. B. On going customisation of tools for the document management and storage.</p> <p><b>Time:</b> A. Full implementation within 1Q 2013 B. Incremental development in line with the development of Agency's processes as per quality road map</p>			Head of Dir		
<p>Stakeholder analysis carried out during CAF leading to stakeholders mapping.</p> <p>Supported by this analysis, meetings/workshops were installed with key Agency stakeholders: NRB, NSA, NB, MS and EU Commission. Formalisation of stakeholder management process during quality project to be produced until 2Q 2013.</p> <p><b>Time:</b> 2Q 2013</p>	High	HoDir	HoDir	Open	↓
<p>Performance analysis process will be developed within 4 Q 2013 by quality project.</p> <p><b>Time:</b> 4Q 2013</p>	High	HoDir	Senior Quality Officer	Open	→
<p>Overarching communication strategy and efficient dissemination concepts will be set up until 2Q 2013</p> <p><b>Time:</b> 2Q 2013</p>	High	HoDir	HoDir	Open	→



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