

Making the railway system
work better for society.

Procedure

Single Programming Document

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<i>Document ID</i>	PRO_SPD_001
<i>Origin</i>	The European Union Agency for Railways
<i>Activity Based Item</i>	05. Evaluation, Management and Resources
<i>Applicable to</i>	All Units

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Document History

<i>Version</i>	<i>Date</i>	<i>Comments</i>
0.1	03/06/2016	First draft version to EB and MB in June meetings for initial feedback and comments.
0.2	05/09/2016	Draft version reviewed by the QSGShort explanation of what have changed
0.3	10/10/2016	Draft version including comments from MB
0.4	22/11/2016	Draft version including comment from Executive Board
1.0	29/11/2016	Version adopted by the Management Board

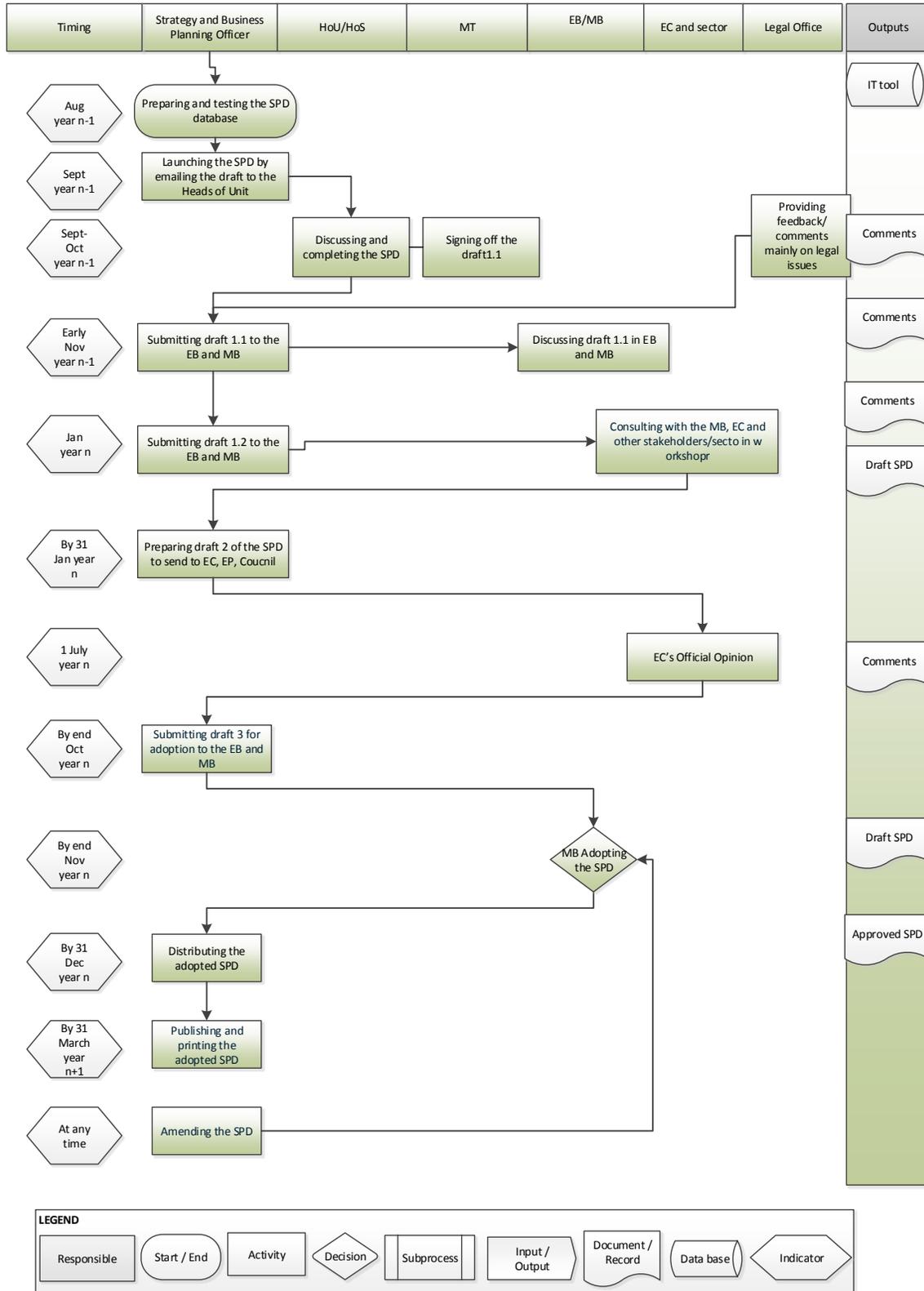
<i>Process Deployment</i>	Strategic Processes > Strategic Planning and Reporting
<i>Process Owner</i>	Head of Corporate Management and Evaluation Unit
<i>Purpose</i>	The purpose of this procedure is to give an overview of legal requirements, activities, responsibilities and deadlines for the planning of the Agency's work programme (Single Programming Document). The procedure replaces PRO_P&R_001, implemented on 9/01/2015.
<i>Scope</i>	This procedure applies to all the Agency staff who is involved in the drafting of the above mentioned document.

<i>Process Customers and other stakeholders</i>	The Agency, Management Board, Executive Board, European Commission, European Parliament, Council and other stakeholders
<i>Process Input</i>	PRO_STP_001 Strategic Planning PRO_PPS_001 Programme Project and Service Management
<i>Process Output</i>	Single Programming Document
<i>Legal Basis</i>	REGULATION (EU) 2016/796 of the European Parliament and of the Council of 11 May 2016 on the European Union Agency for Railways and repealing Regulation (EC) No 881/2004 Decision n°93 of the Administrative Board of the European Railway Agency adopting the financial regulation of the Agency Decision n° 116 of the AB of the European Railway Agency adopting the ERA management standards (ERA Management Standard No. 4 – Objectives, strategic planning and reporting)
<i>Performance Indicators</i>	1. Timely delivery of the development and adoption of the Single Programming Document by the Management Team 2. Adoption by the Agency Management Board
<i>Linked with other (Sub)Processes</i>	Budget implementation (BUI) IMS Review (IMR) Measurement and Analysis of projects and processes (MPP) Prioritisation of Activities process (POA) Project & Programme Management (PRM) Administrative Board Management (ABM) Relations with European Institutions (EIR) Project, programme and service management (PPS) PRO_AAR_001. Annual Activity Reporting
<i>Enablers</i>	Consultation workshop for Management Board

1. Definitions and Abbreviations

ACCOF	Accounting Officer
CME	Corporate Management and Evaluation Unit
EB	Executive Board
EC	European Commission
ED	Executive Director
F&P	Finance and Procurement Sector
(F)FR	(Framework) Financial Regulation
HR	Human Resources Sector
HoU	Head of Unit at the Agency
ITFM	IT and Facilities Management Sector
MB	Management Board
MT	Management Team
Networks	Refers in this procedure to the National Safety Authorities and National Investigation Bodies' Networks
SBPO	Strategy and Business Planning Officer
SPD	Single Programming Document
Sponsor	In preparation of the SPD consultation workshop in March, each Activity in the SPD has a "sponsor" allocated to, i.e. an MB member who, together with the relevant HoU, presents any open issues/comments in relation to that Activity
Year n+1	The year of the annual work programme (Section III of the SPD)

2. Flow Chart



3. Description

The Agency Regulation (EU) 2016/796, article 52, foresees that *“the Management Board shall adopt the programming document containing annual and multi-annual programmes by 30 November each year, taking into account the opinion of the Commission, and shall forward it to the Member States, the European Parliament, the Council and the Commission and to the networks referred to in Article 38. The annual work programme shall lay down the actions that the Agency is to perform during the coming year.”*

In line with article 54, the Agency’s Executive Director is responsible for preparing the programming document and submitting it to the Management Board after consultation of the Commission.

This procedure describes the steps to be applied for the adoption of the programming document, including the consultation of relevant stakeholders.

In its meeting of 6 June 2014, the Heads of EU Agencies adopted a programming document to be applied by all decentralized agencies. The document, prepared in close cooperation between the EU Agencies Network and the European Commission, sets out multi-annual and annual programming requirements in line with Article 32 of the Framework Financial Regulation (FFR).

The multi-annual section of the Single Programming Document (SPD, Section II) outlines the Agency’s overall strategic direction and resource programming including multi-annual budget and staff.

The annual section of the SPD (Section III) comprises objectives, outputs, indicators and targets. It also contains a description of the activities to be financed and an indication of the amount of financial and human resources allocated to each activity. The annual work programme is to be coherent with the multi-annual programme. The Strategy and Business Planning Officer (SBPO) sets out the milestones and deadlines in a detailed annual timetable, approved by the Management Team (MT) and adopted by the Management Board (MB).

The SBPO ensures that:

- › each draft that is being distributed to the Executive Board (EB), the MB, the European Commission (EC) and other stakeholders, has been formerly approved by the MT, and
- › each draft is being circulated in a timely manner prior to EB and MB meetings. All correspondence to the EB, MB and EC is centralised by the Agency’s Secretariat Board.

The Head of Unit of the Corporate Management and Evaluation Unit (CME) not only supervises the procedure, but is also the back-up for the development of the Single Programming Document (SPD).

3.1. Step 1. Preparing the SPD database

Each July of year n-1, the SBPO initiates the process for SPD year n+1 by preparing the relevant requirements and documentation, based on the template in Annex I.

3.2. Step 2. Launching the SPD

The SBPO launches the drafting of the SPD in the course of July by emailing the Heads of Unit (HoU) and informing them on the draft SPD and the main internal and legal milestones (Annex II).

The SBPO offers assistance and guidance, upon request, to the Units in drafting the SPD. To ensure ownership and commitment to the SPD's objectives, staff should be involved by the HoU in establishing the SPD. Accordingly, HoUs shall consult with their staff before providing input to the draft SPD.

3.3. Step 3. Completing and discussing the draft SPD within the Agency

Based on the input from the Agency's Units, the SBPO prepares, on behalf of the Executive Director, the draft 1 for discussion in the MT by the end of October n-1. The SBPO involves the Agency's Legal Office for feedback on any legal matters in the draft SPD.

3.4. Step 4. Submitting the drafts of the SPD to the EB and the MB

Upon approval of the draft SPD by the MT, the SBPO submits, on behalf of the Executive Director, draft 1.1 of the SPD to the EB and MB for discussion in the November meetings of year n-1.

Based on the discussion and feedback received, the SBPO prepares draft 1.2 (clean version and version in track changes) in due time of the EB and MB meetings in year n.

The SBPO keeps a log on all the comments received, including the replies and justifications, throughout the entire development process. This log is shared with the EB and MB with every draft sent.

3.5. Step 5. Consulting the MB, EC and other stakeholders

The SBPO prepares the consultation workshop to be taken place with the MB, EC and other stakeholders, such as the railway sector, in January of year n for SPD year+1. The relevant HoU, i.e. Chairman of the Network (NIB, NSA, GRB, ..), invites at this stage the Networks by email to participate in the workshop or to provide their feedback through their representatives in the MB.

Draft 1.2 of the SPD is used as the basis for discussion in the consultation workshop. The MB, and other stakeholders are requested to provide their comments 2 weeks prior to the workshop to the SBPO in order for the Agency to properly prepare the replies and justifications to the comments.

The SBPO presents the agenda and the structure of the workshop in the EB meeting in January, as well as a suggestion, in cooperation with the MB Chair, to nominate "sponsors", i.e. an MB member/observer, for each of the Agency's activities in the SPD.

3.6. Step 6. Preparing draft 2 of the SPD

Following the consultation workshop in January, the SBPO prepares draft 2 as a mature and comprehensive version (clean version and version in track changes) of the SPD to be endorsed by the MB, for distribution to the Commission, the European Parliament and the Council by 31 January.

3.7. Step 7. Submitting draft 3 for adoption to the MB

Having regarded the feedback from the EC's official opinion to be received by 1 July, from the European Parliament, from the Council, and from the MB, the SBPO finalises and submits draft 3 of the SPD by the end of October of year n for discussion in the EB and adoption in the MB November meetings

3.8. Step 8. Adopting the SPD

The EB and the MB discuss the SPD in their respective meetings of November of year n. The MB adopts the SPD n+1 in that same meeting. If the MB does not adopt the SPD in its meeting in November, the SPD shall be adopted by written procedure.

In addition, the programming document shall become definitive after final adoption of the Union general budget and, if necessary, shall be adjusted accordingly, and if, within 15 days of the date of adoption of the programming document, the Commission expresses its disagreement with such document, the Management Board shall re-examine the programme and adopt it, as amended if necessary, within a period of 2 months, in second reading either by a two-thirds majority of its members entitled to vote, including all Commission representatives, or by unanimity of the representatives of the Member States.

3.9. Step 9. Distributing the adopted SPD

The SBPO distributes the adopted SPD in .pdf to the Member States, the European Court of Auditors (ECA), the European Parliament, the Council and the EC within a week following the adoption.

The SBPO communicates the adoption of the SPD to the Agency staff through an Agency News.

3.10. Step 10. Publishing and printing the adopted SPD

Upon adoption of the SPD by the MB, the SBPO prepares the proofreading and the publication of the SPD on the Agency's website and of the printed version together with the Agency's Communication Office.

The SPD is to be printed within 4 months of adoption.

3.11. Step 11. Amending the SPD

Any substantial changes and amendments to be made to the SPD during the year and agreed in the MT, is proposed to and discussed in the relevant EB and MB meeting.

A change to the SPD could be triggered by an external request or mandate, the result of a measuring and monitoring exercise, IMS review, etc.

When a new task, subject to an analysis of the human and budgetary resources implications, is assigned to the Agency, the MB adopts the amendment in an MB Decision. The allocation of a new task may be subject to a decision to postpone other tasks.

The SBPO is to provide the EC, EP and Council with the amendments to the SPD.

In line with FFR Art. 32.4, the MB may delegate the power to make non-substantial amendments to the SPD to the Agency's Authorising Officer (i.e. the Executive Director).

4. Templates / Forms

- › SPD structure as adopted by the Heads of EU Agencies

5. Records and Others Outputs

<i>Record Name</i>	<i>Storage Responsible</i>	<i>Storage Location</i>	<i>Minimum Retention Time</i>
Comments from the Agency's Units on the draft SPD provided by the SBPO	SBPO	Intranet – 'Strategy and Business Planning'	3 years after publishing the Single Programming Document
Comments from EC, MB and stakeholders, including the Agency's reply.	SBPO	Intranet – 'Strategy and Business Planning'	3 years after publishing the Single Programming Document
Adopted version of the SPD and any amendments	SBPO	Intranet – 'Strategy and Business Planning'	3 years after publishing the Single Programming Document

ANNEX I**An overview of the content of the SPD and the responsible parties:**

<i>Part in Programming Document</i>	<i>Name section/annex</i>	<i>Responsibility</i>	<i>Description</i>	<i>Additional information</i>
	Foreword - list of acronyms - mission statement	SBPO	Personal message from the Director, detailing its priorities and challenges for the years N+1-N+3. Overview of all acronyms used throughout the document. Full text of the mission, vision, values, including presentation of the legal mandate and tasks of the agency as laid out in its founding regulation.	
Section I	General context	SBPO	Placing the work of the agency into the anticipated future context of the organisation. A description of influencing factors that were anticipated when the multiannual work programme or strategy was decided accompanied by a short explanation as to how (i) they impact the agency, and (ii) they will be addressed in the multi-annual programme.	
Section II	Multi-annual work programme	SBPO		
1	Multi-annual objectives	MT	This section lists / describes the medium term, strategic objectives of the Agency as well as explains how the progress in their achievement is monitored (e.g. with indicators and targets). These objectives are fixed for a certain number of years, and not updated annually.	1-2 pages, preferably in a table
2	Multi-annual programme	MT	These sections describe the content of the multi-annual programme i.e. the strategic action areas that explain what needs to be done to achieve the objectives. The programme can be fixed for a certain number of years and not updated annually.	

3	Human and financial resource outlook for N+1-N+3	HR/F&P	This section explains the future outlook for the resource needs for the strategic action areas based on the situation at the end of year N-1 and deriving from the multi-annual objectives as well as the outlook based on the Multi-annual Financial Framework and solutions for potential discrepancies between the two.	Updated annually
Section III	Annual work programme	SBPO		
1	Executive summary	SBPO	Brief summary of the WP.	
2	Activities	All HoUs	This is the main body of the Work Programme describing, per activity (i) what the agency aims to deliver in the respective year towards achieving its medium-term objectives, and (ii) how expected results will be measured. Except for the narrative, the rest of the information can be provided in table format. There should be a link between each objective, indicators measuring the achievement thereof, targets for the indicators as well as outputs which need to be delivered to achieve results and thereby the objective in question. Activities should remain stable over a number of years.	This information can be presented in the format of the template in section E of the guidelines, however, this is optional.
Annex I	Resource allocation per Activity	Relevant HoU + ED agreement		
Annex II	Financial resources	F&P		
<i>Table 1</i>	Expenditure	ACCOF		Table format provided
<i>Table 2</i>	Revenue	ACCOF		Table format provided
<i>Table 3</i>	Budget outturn and cancellation of appropriations	ACCOF		Table format provided

Annex III	Human resources - quantitative	HR	Overview of all categories of staff; Staff policy plan for N+1 – N+3	
Table 1	Staff population and its evolution/Overview of all categories of staff	HR		Table format provided
Table 2	Multi-annual staff policy plan N+1 - Year N+3	HR		Table format provided
Annex IV	Human resources - qualitative	HR	Information concerning recruitment policy, appraisal of performance and reclassification/promotions, mobility policy, gender and geographical balance and schooling.	
A		HR	Description of the recruitment policy by each type of staff (officials, temporary agents, contract agents, seconded national experts, structural service providers) to include information about: a) type of key functions; b) the selection procedure (including policy on (internal) competitions if applicable); c) the entry grade for each key function (for officials and TA); d) the length of contracts, and e) the tender procedure in case of external service providers.	Table format provided
B	Appraisal of performance and reclassification of (1) temporary staff (table 1) and (2) contract staff (table 2)	HR	Table + the agency's policy on performance appraisal and promotion/reclassification – short description	Table format provided
C	Mobility policy	HR	Brief description of the policy on: a) internal mobility along with quantitative evolution; b) mobility between agencies (ref to Inter-agency job market agreement and the number of vacant posts as a result of staff mobility to other agencies, as well as no of staff coming from other agencies recruited through IAJM); c) mobility between agency and	

			Institutions.	
D	Gender and geographical balance	HR	Explanatory figures to highlight gender/nationalities of staff (with reference to the contract type and indication of the function group)	
E	Schooling	HR	Information concerning existence of a European School, European section in a national school or an agreement with an international school. If a solution still needs to be found, the agency should provide possible scenarios.	
Annex V	Building policy	ITFM	Brief information on the agency's building policy; current situation and future outlook. Building projects in planning phase [If applicable: information on building policy, the expected evolution of the surface area, and a description of building projects in the planning phase which are already identified] Building projects submitted to the European Parliament and the Council [If applicable: information on building projects likely to have significant financial implications which will be submitted to the European Parliament and the Council shortly, as well as the final terms and costs of building projects previously submitted, in accordance with Article 203 of the Financial Regulation]	Table format provided
Annex VI	Privileges and immunities	Legal Office	Brief information on privileges and immunities applicable to the agency such as: VAT exemptions, diplomatic status, education etc.	Table format provided
Annex VII	Evaluations	ICC	Internal monitoring and evaluation system; action plans deriving from ex-post evaluations	short summary, max ½ page, possibly link to website
Annex VIII	Risks	ICC	Internal and external risks (opportunities and threats) that could potentially impact the implementation of the Work Programme, including a list of countermeasures.	2-3 pages

Annex IX	Procurement plan for the year N+1	Each HoU and F&P for consolidation	Information to be covered (for Financing Decision year N+1): Main procurement initiative, value, indicative timeframe for launching the procurement, type of procedure/contract	3-4 pages
Annex X	Organisational chart	HR	Organisation chart of the Agency for year N, or if restructuring known, year N+1, including the precise number of each category of staff for each entity at 31/12/N-1.	

ANNEX II**Overview of main internal and legal deadlines for the SPD**

Each Unit/Sector is responsible for drawing up its own detailed timetable in order to meet the main internal and legal deadlines¹ as described below.

<i>Milestone/deadline</i>	<i>Action</i>
Mid-year n-1	Launch of the SPD year +1
November year n-1	Draft 1.1 to EB and MB
January year n	Draft 1.2 to EB and MB, including consultation workshop
31 January year n	Draft 2 to EC, EP, the Council, EB and MB
1 July year n	Official opinion from EC
October year n	Draft 3 to EB and MB
November year n	Adopted SPD
Mid-December year n	Circulation of adopted SPD to the Member States, the European Parliament, the Council and the EC
By April year n+1	Printed version of SPD

¹ The milestones are set in accordance with the Executive Board and the Management Board meeting dates. The timings in this procedure are only approximate; details shall be documented in the relevant responsible's timetable.