

Making the railway system
work better for society.

European Union Agency for Railways

Single Programming Document 2021-2023

Draft

Contents

Foreword	3
List of acronyms.....	4
Mission statement.....	5
Section 1. General context	6
Section 2. Multi-annual programming 2021-2023	7
2.1. Structure of the multi-annual programme 2021-2023	7
2.2. Content of the multi-annual programme 2021-2023	9
2.3. Resources outlook 2021-2023.....	17
Section 3. Annual Work programme 2021.....	18
3.1. Activity 1 Contributing to shaping target and global reference.....	20
3.2. Activity 2 Developing the harmonised regulatory SERA technical framework	25
3.3. Activity 3 Implementing the harmonised regulatory SERA technical framework (under 4 RP).....	31
3.4. Activity 4 Monitoring, evaluating and reporting.....	37
3.5. Activity 5 Delivering efficient and effective services.....	41
Annexes	49
Annex I: Resource allocation	49
Annex II: Financial Resources 2021-2023	50
Annex III: Human Resources 2021-2023	54
Annex IV.....	56
A. Engagement policy.....	56
B. Appraisal of performance and reclassification.....	59
C. Mobility policy.....	61
D. Gender and geographical balance	62
E. Schooling (Agency Regulation, Art. 71 [^] 2)	65
Annex V: Buildings.....	66
Annex VI: Privileges and immunities	67
Annex VII: Risks 2021.....	68
Annex VIII: Procurement plan 2021	76
Annex IX: Organisation chart.....	77

Foreword

The European Union Agency for Railways has entered a new era, with a fully-fledged package of tasks, involving the continuation of the progress with safety and interoperability, while having started in 2019 its role of EU-wide authority for vehicle authorisations, single safety certificates and ERTMS trackside approvals.

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

- (1) The 2021-2023 programming period marks the **full-fledged implementation** of the new tasks arising from the technical pillar of the 4th Railway Package together with the regular tasks in the field of railway safety and interoperability.
- (2) By June 2020, all Member States will have transposed the provisions of the technical pillar of the 4th Railway Package, thus increasing the **precision of the Agency's forecasted volume and timing of work**. The Agency will continue in 2021 to use a **flexible system** of managing its work and resources, based on a (re)prioritisation process, which was set up in 2018.
- (3) The Agency will continue to work around the established **Plan-Do-Check-Act cycle** and ensure stability of its activities and multi-annual objectives based on this cycle, with the aim of increasing effectiveness and efficiency of its work programme.
- (4) The Agency will pay significant attention to a **regular monitoring of the SPD implementation** in terms of outputs, resource consumption and revenues, which can allow for possible adaptation of its work programme during the year. The Agency will strive to balance its budget with a wide range of activities, including responding to priority requests.
- (5) 2021 and 2022 will see the Agency supporting the delivery of **an ambitious package of TSIs revisions** to support the successful development of the Single European Railway Area.
- (6) Based on the return of experience from 2019 and 2020, the Agency will have strengthened its capacity of **estimating the volume and complexity of the projects for vehicle authorisation (VA) and safety certification (SSC)** by the time SPD 2021 will be submitted for the Management Board adoption in November 2020. The estimates on the revenues, expenditure and associated inflows/outflows related to the fees and charges activities remain rough at the moment of preparing the first draft of SPD 2021. In the meantime, the Agency will continue to collect all the necessary return of experience in order to refine its estimates on the volume and timing of the work for the VA, SSC and ERTMS Trackside approvals. The Agency will work together with the pool of experts for the mutual benefit of the cooperation between the Agency and the NSAs. This cooperation may also help the Agency in cases of capacity shortages.

The Agency will continue to work closely with its stakeholders in order to ensure the successful implementation of this challenging multi-annual programme. The increasing awareness of the impact the European transport system has on emissions contributing to global warming provides a strong tailwind for rail as the most sustainable mode of transport. The activities of the Agency will positively contribute to achieving a significant modal shift to rail, in particular by helping to create and manage a Single European Rail Area.

Josef Doppelbauer

List of acronyms

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

Mission statement

The Agency contributes to the further development and effective functioning of a single European railway area without frontiers, by guaranteeing a **high level of railway safety and interoperability**, while improving the competitive position of the railway sector, as envisaged by the **Agency Regulation 2016/796**. In particular, the Agency shall contribute, on technical matters, to the implementation of Union legislation by developing a common approach to safety on the Union rail system and by enhancing the level of interoperability on the Union rail system. Further objectives of the Agency shall be to follow the reduction of national railway rules in order to support the performance of national authorities acting in the fields of railway safety and interoperability and to promote the optimisation of procedures.

With the entry into force of the **Fourth Railway Package technical pillar**, the role of the Agency is substantially extended. As of 16 June 2019, the Agency has become the EU authority responsible for issuing authorisations for placing railway vehicles on the market, single safety certificates for railway undertakings and ERTMS trackside approvals.

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

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

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

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

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

Section 1. General context

The Agency will continue to work in close cooperation with the EC in order to address, through multi-annual roadmaps, the **main EC policy priorities**, by identifying the main problem statements and opportunities to be addressed and setting objectives, along with a multi-annual plan of action. The 2021-2023 programming period involves **the full-fledged performance of its tasks** as EU-wide authority for safety certification, vehicle authorisation and ERTMS trackside approval, along with other tasks in the field of railway safety and interoperability as foreseen in the Technical Pillar of the Fourth Railway Package,. With all the new legal instruments and structures for the technical pillar's legislative framework put in place, the One Stop Shop application available and all the Member States having transposed by 2020, the Agency is now performing its role of EU-wide authority for VA, SSC and ERTMS trackside approval.

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

The Agency will continue in 2021 to put significant effort for prioritising its work and outputs in order to cope with **a limited budget compared to the needs**, considering the package of new tasks envisaged for the Agency compared to the past years (delivering safety certifications, vehicle authorisations and ERTMS trackside approvals; monitoring of NSAs and NoBos; maintenance of One Stop Shop etc.). Should additional budget become available for 2021, the Agency will subject to the Management Board's decision a list of topics and categories of expenditure for possible prioritisation.

The Agency will pay significant attention to a regular monitoring of the SPD implementation in terms of outputs, resource consumption and revenues, which can allow for agile responses and possible adaptation of its work programme during the year, including flexibility to respond e.g. to requests for opinions on the basis of Article 10, Article 19 points (d), (e), requests for reports under Article 35(5) of Regulation (EU) 2016/796, Commission Regulation (EU) 2019/554 (TDD pilots) etc. The latter will be subject to the availability of staff and budget and will be subjected to the Management Board's decision on updating SPD accordingly. The Agency will work together with the pool of experts for the mutual benefit of the cooperation between the Agency and the NSAs. This cooperation may also help the Agency in cases of capacity shortages.

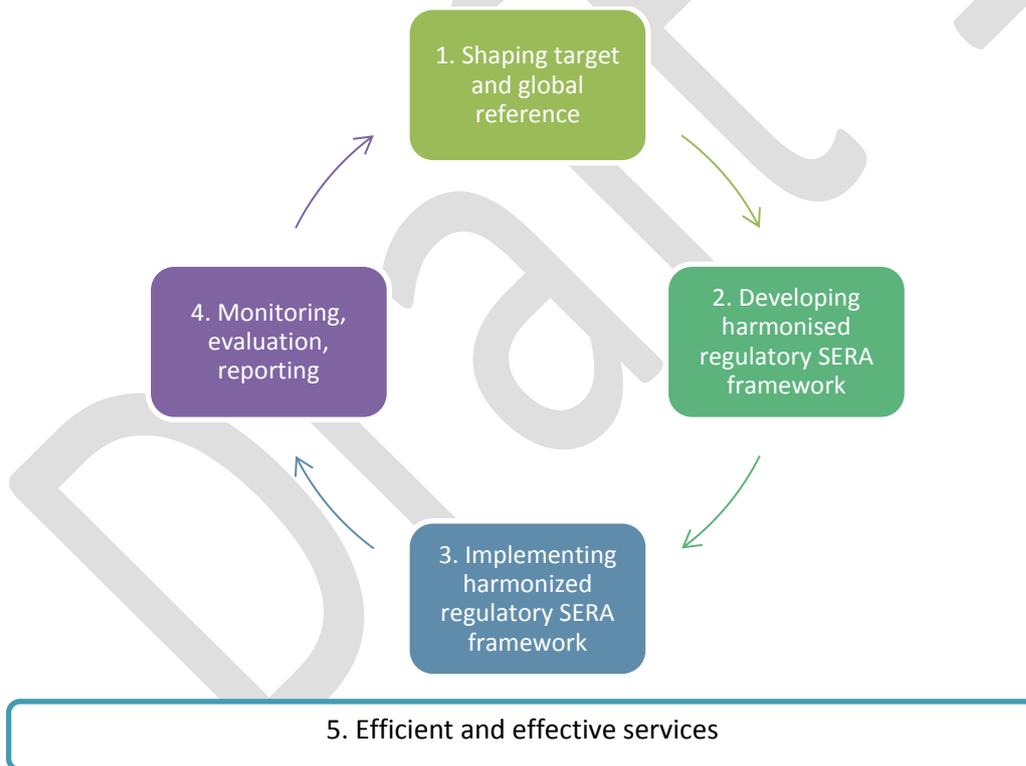
Section 2. Multi-annual programming 2021-2023

2.1. Structure of the multi-annual programme 2021-2023

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

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

The Agency envisages to keep this structure of activities rather stable over the next multi-annual cycle. Such structure is primarily designed to ensure improved effectiveness and efficiency of the Agency work programme and is agnostic towards the organigram of the Agency. In fact, a matrix organisation is ensured between the organigram and the work programme structure.



Each of the 5 activities is subdivided into objectives, with a total of 23 objectives, which are also envisaged to remain stable on a multi-annual basis. The overview of the 23 SPD objectives is included in the following table.

Activity 1 – Contributing to shaping target and global reference		Activity 2 – Developing the harmonised regulatory SERA technical framework		Activity 3 – Implementing the harmonised regulatory SERA technical framework		Activity 4- Monitoring, evaluating and reporting		Activity 5- Delivering efficient and effective services	
1.1	Strategic Development	2.1	Harmonised Railway Operations and Management Systems	3.1	Support to the 4 th RP Implementation	4.1	Collect and analyse evidence for decision making	5.1	Ensure good corporate governance
1.2	Enhancing Railway Safety through positive safety culture and integration human and organisational factors	2.2	Harmonised technical specifications (fixed installations and vehicles)	3.2	Issuing Single Safety Certificates	4.2	Monitoring	5.2	Ensuring sound management of the Agency's human and financial resources and building facilities
1.3	Strengthening international cooperation in rail	2.3	Harmonised Train Control System and Telematics (communications, signalling, ERTMS system authority, telematics system authority)	3.3	Issuing vehicle authorization, including ERTMS on-board assessments	4.3	Identifying research needs for the Target Rail System and supporting partner organisations in research and innovation	5.3	Support business delivery through IT systems
1.4	Implementing the EU Med Rail Project	2.4	Disseminating and Training to support implementation of the EU framework	3.4	Issuing ERTMS trackside approval	4.4	Reporting on the Railway System	5.4	Communicating effectively website and social media
1.5	Implementing the IPA Project	2.5		3.5	Railway System Data	4.5		5.5	Ensuring efficient and effective communication (internal and corporate)

2.2. Content of the multi-annual programme 2021-2023

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

› **Objective 1.1 Strategic Development**

The Agency, together with the European Commission, will continue to develop multi-annual roadmaps on several topics, in line with the EC policy objectives. These roadmaps are likely to strengthen the multi-annual view from the incoming programming documents of the Agency. Striving towards an accelerated ERTMS roll out, together with exploring the digital potential for the railway system and for internal efficiency gains will be on the Agency's multi-annual strategic agenda. The Executive/ Management Board can designate rapporteurs to take part to the roadmaps preparation. Moreover, progress with the roadmaps is envisaged to be presented at the Executive/ Management Board meetings.

Once the multi-annual roadmap on data and digitalization will deliver the outcomes of the pilot cases in 2020, those will be taken into account in the planning for Objective 3.5 for developing the way forward, depending on the respective outcomes.

The Agency's strategic development will explore relevant areas of action as part of the response to the climate change challenges and the sustainable transport requirements, in line with the EC priorities. Moreover, the Agency would like to drive a strategy of achieving efficiency gains and synergies, by making best use of emerging techniques and technologies and thus potentially freeing resources for priority tasks, both internally and at the level of the EU railway system.

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

Area 1 - Harmonised railway operations

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

Area 2 - Sustainable safety management

In order to continuously improve railway safety across Europe in a smart way, there is a need to consider both rules-based and behaviour-based safety. Promoting the integration of human and organisational factors expertise early in the design stage is key. In coming years all players will need to understand and adapt to new responsibilities, in particular linked to the gradual automation of human functions and its associated risks. Specific focus will be addressed to the role of leaders in developing a positive safety culture which is a necessary ingredient for sustainable safety management.

Area 3 - Learning from operational performance:

In addition, a better understanding of workplace reality as influenced by human and organisational factors is needed. Therefore, lessons learned from accidents need to be systematically shared and a positive safety culture needs to be developed.

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

For the period 2021-2023, the Agency shall support the European Commission's international strategy and policy objectives, in line with the roadmap on global cooperation drafted in the course of 2020. According to Art. 43 and 44 of the Agency Regulation, the Agency, in support to the cooperation led by the European Commission and in strict cooperation with DG MOVE, will promote European experiences, regulations and standards to 3rd parties and may establish respective administrative arrangements, such as the Administrative Arrangement concluded between the Agency and the Transport Community Treaty (TCT) Permanent Secretariat in 2019. In regard to the Western Balkan

region, the Agency will continue to cooperate with the TCT Permanent Secretariat and implement specific technical assistance activities under the Instrument for Pre-Accession Assistance (IPA). The Agency will continue to support the strengthening of cooperation at a European level through the work with the European and international standardisation organisations, with OTIF and OSJD. The multi-annual planning of the activities related to global cooperation is to be aligned with the EC priorities. Beyond this, the Agency supports the Networks (defined in Art. 38 of the ERA Regulation) that involve respectively NSAs, NIBs and RBs and several coordination meetings with various certification bodies. The support to those Networks includes the Organisation and Coordination of Network meetings, with the aim to facilitate and promote the exchange of information relating to railway safety and interoperability, promotion of good practices and dissemination of relevant knowledge, and the provision to the Agency of data on railway safety; to organize pro-active feedback on proposed opinions drafted by the Agency to the European Commission; to collect information from the Networks in light of the Agency's assistance to the Commission regarding the implementation of Union legislation aimed at enhancing the level of interoperability of railway systems and at developing a common approach to safety on the Union rail system; to strengthen the Partnership between the Agency and the NSAs by supporting the reorganization of the NSA Network to reflect the principles of the 4th railway Package; to facilitate the cooperation between the Networks of respectively NSAs, NIBs and RBs.

› **Objectives 1.4 Implementing the EUMedRail Project and Objective 1.5 Implementing the IPA Project**

Both grants aim at increasing awareness and understanding of the EU regulatory framework outside the EU area.

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

The Agency is implementing the IPA project 2020-2022 in line with the grant agreement provisions. An important part of the project is dedicated to supporting the implementation of the Transport Community Treaty's regional rail action plan, in liaison with the European Commission and in close cooperation with the Permanent Secretariat of the Transport Community.

Activity 2 - Developing the harmonised regulatory SERA technical framework› **Objective 2.1 Harmonised Railway Operations and Management Systems**

In general, the existing European legal safety framework is considered mature, however further actions will be required to enforce the implementation of the existing legal framework. Therefore, a framework needs to be developed in cooperation with the EC and the Member States in case all Agency's supporting activities, like cooperation and dissemination activities, are not sufficiently effective.

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

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

Area 3 - Learning from operational performance. To achieve "smart safety" all available data on the performance of the railway system will have to be used to allow for better informed decision making. This will also be supported by common safety methods for assessing the safety level and the safety performance of railway operators, that will be developed in 2020, as a follow up to the previous work on COR.

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

Area 1 - TSIs revision. TSIs revision will be prepared as a package in order to facilitate the implementation of the TSIs framework which contains multiple interfaces between the TSIs. The drafting of this package will follow the ERA internal Change Control process in order to ensure the best involvement of the stakeholders and a full transparency of the Agency's decisions. The next package is planned for the year 2022 and will contribute to the progressive achievement of the internal market of rail equipment and the integration of two main components: CCS/digital and green freight.).

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

Area 3 - Interfaces between TSIs and standards. The new collaborative process between the Agency and the European Standardisation Organisations (ESOs) to enhance the efficiency, transparency and legal certainty for all the actors is applied. This includes the Agency support to the assessment of the harmonised standards and for follow-up of the EC standardisation request.

Area 4 - Learning from TSI implementation. The Agency acts as the reference point for all EU railway technical specifications (in partnership with EU standardisation organisations) and is becoming the reference point for EU-wide authorisation processes of railway vehicles. Feedback from the authorization activities will be a valuable input to the drafting and maintenance of more effective and efficient specifications. The continued service to support the Joint Network Secretariat will ensure

emerging situations and issues are tackled in a responsive manner to safeguard the overall interoperability goal.

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

The Agency will continue to support with its technical expertise the implementation of the strategy defined in the EC Staff Working Document “Delivering an effective and interoperable ERTMS – the way ahead”, relying on the commitments from the Memorandum of Understanding on ERTMS (2016) and supported by the ERTMS Platform stakeholders.

The 2022 the revision of the CCS and OPE TSI (Appendix A) will deliver the managed evolution of ERTMS, including: an overall future proof/modular CCS on-board system architecture; the identified game changers (e.g. ATO, Level 3, new radio system, security, enhanced localisation); respecting the key principles of compatibility and protection of investments; the harmonization of operational rules for ETCS L2/L3 operation without line side signalling and overlay of Class B-systems.

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

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

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

The main expected outcome is the deployment of the dissemination and training service of the agency, namely “ERA academy”. The general objective of the ERA Academy is to foster the development of a proper “railway culture” by:

- › raising awareness, i.e. getting the stakeholders to know of the existence or obligation to adopt a specific legal act or good practice
- › raising understanding, in addition to the previous item, the logic and reason why such requirements or practices are adopted
- › triggering actions, i.e. train the stakeholders in the actual implementation of the EU legal framework, including the adoption of best practices.

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

- › matters related to the EU railway regulatory framework (SSC, VA, Risk Assessment, Safety Management Systems, Monitoring, TSIs implementation, etc.), and
- › topics, identified as essential, from latest research activities in the field of safety and interoperability, (Safety Leadership, Human and Organisational Factors, etc.).

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

The Agency will continue its role as the sole body responsible for issuing multi-Member State vehicle authorisations and safety certificates across the whole EU and approving ERTMS trackside. After eighteen months of activity in this field, the Agency is now in the position to fine tune the related processes, the internal procedures and the software tool involved. The Agency, based on the acquired experience, may consider submitting proposals to the European Commission to revise the practical arrangements on vehicle authorisations, on safety certificates, the recommendation on ERTMS trackside approval, the scheme for fees and charges, the rules of the procedure for the Board of Appeal and the common safety methods. This could include proposals submitted to the EC for improving current legal acts. Similarly, a new release for One Stop Shop will be launched embracing the previously identified recommended enhancements to provide support to this process optimization. New features will also be included in this new release, some of them linked to facilitate the user access and to improve the OSS performance. User groups will recurrently be organized each year to gather the contribution from the external stakeholders to the continuous improvement of the process.

› **Objective 3.2 Issuing Single Safety Certificates**

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

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

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

› **Objective 3.4 Issuing ERTMS trackside approvals**

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

› **Objective 3.5 Railway system data**

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

Once the multi-annual roadmap on data and digitalization will deliver the outcomes from the two pilot cases in 2020 (Automating the checks in RINF and ERATV for route compatibility check with the help of an external IT reference/interface; Working on a standardised railway network topology, with a higher granularity than RINF, and a standardised way for sharing it), those will be taken into account in the planning for Objective 3.5 for developing the way forward, depending on the respective outcomes.

The development of the core functionalities of the Single Rule Database will continue to enable the migration of data from RDD and Notif-IT by end of 2021.

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

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

› **Objective 4.2 Monitoring**

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

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

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

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

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

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

The Agency contributes to the definition and implementation of the Shift2Rail Master Plan¹ by: proposing possible amendments to the Shift2Rail Master Plan and to the annual work plans, in

¹ <https://ec.europa.eu/transport/sites/transport/files/modes/rail/doc/2015-03-31-decisionn4-2015-adoption-s2r-masterplan.pdf>

particular to ensure that research needs relating to the realisation of the SERA are covered; proposing, after consultation with the stakeholders, guidelines for research and development activities leading to technical standards with a view to guaranteeing the interoperability and safety of results; reviewing the common developments for the future system and contributing to defining target systems in regulatory requirements, and reviewing project activities and results with a view to ascertaining their contribution to standardisation and hence the interoperability of the rail system.

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

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

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

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

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

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

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

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

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

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

The Agency will revise the website deployed in the beginning of 2018, adopting the latest version of the DRUPAL Content Management Software (CMS). The current CMS version will no longer be supported by the service provider (DIGIT) as from December 2021. In relation to the social media, the Agency will further extend their use, including story telling on the Agency's daily work.

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

The Agency will continue to develop the necessary internal communication systems to ensure efficient delivery of its new tasks acknowledging the role of the Agency in issuing vehicle authorisations, single safety certificates and ERTMS trackside approvals.

The Agency will maintain a collaborative and pro-active relationship with the media.

It will also continue to be engaged in the Women in Transport Platform for Change.

2.3. Resources outlook 2021-2023

The new Multi-annual Financial Framework is still under adoption.

The Agency is currently clarifying the approach for the provision of the resource outlook for the period 2021-2023 with the European Commission. The below figures need to be read as provisional.

	2021	2022	2023
Expenditure	31 937 550	32 924 483	33 323 350
EU contribution	27 653 050	28 472 507	28 648 658
EFTA contribution	677 500	697 576	701 892
Fees and charges	3 607 000	3 754 400	3 972 800
Temporary Agents (TA)	154	158	161
Contract Agents (CA)	36	36	36
Seconded National Experts (SNE)	4	4	4

Section 3. Annual Work programme 2021

In **Activity 1**, the roadmaps developed in 2019 (CCS principles framework, data & digitalisation, safety & operations and TSIs) were used as discussion papers with DGMove, to feed the multi-annual content of the SPD. In 2021, the Agency will develop further the interoperable data roadmap, depending on the outcomes of the pilot cases in 2020 and will address strategic topics such as accelerating the ERTMS roll out, responding to the climate change challenges and the sustainable transport requirements, in line with the EC priorities. Moreover, the Agency will strive to harvest the digital potential for driving internal efficiency gains, by making best use of emerging techniques and technologies and thus potentially freeing resources for priority tasks.

The basic building blocks for a deeper, harmonised understanding of the importance of a positive safety culture and human and organisational factors will be defined and tested with target stakeholders.

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

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

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

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

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

The fiches from the Annual work programme do not include, at this stage, any indication of the human and budget resources needed. This will depend on the final MFF figures, as well as on the internal arbitration discussions.

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

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

3.1. Activity 1 Contributing to shaping target and global reference

Objective 1.1 Strategic development

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

List of the main projects/services	Output indicator	Target for 2021
Agency's strategic development	Number of multi-annual roadmaps developed for priority topics from the programming document	At least 2*

* Potential topics for multi-annual roadmaps subject to confirmation of priorities: Agency's activities as part of the response to the climate change challenges; interoperable data – Phase 2 following the pilot cases from 2020; ERTMS roll out acceleration; digital opportunities for driving internal efficiency gains etc.

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

Expected outcome	Improved safety and overall performance of the railway system through positive safety culture, integration of human and organisational factors and the cultivation of a continuous learning environment.
Outcome indicator	The degree of understanding of all players in the railway system of how human and organisational factors (incl. safety culture) are influencing operational performance. Safety Culture evaluation possible from 2022 (to be published from 2024 onwards based on developed methodology)
Pre-conditions for achieving the outcome	Cooperation of the railway sector (EC, national authorities, duty holders, RFCs etc.)
Progress towards outcome in 2021	An increased understanding of HOF, safety culture and organisational learning, as well as the development of practical tools that help to support their integration – including a CSM on safety levels/ safety performance.
Expected resource envelope - Human resources - Financial resources	
Fee-based	No

List of the main projects/services	Output indicator	Target for 2021
Area 1: ...		
Area 2: ...		
Area 3: ...		

Objective 1.3 Strengthening international cooperation in rail

Expected outcome	Effective EU railway framework Strengthen the EU railway framework as the global reference Continued engagement and coordination with the stakeholders Promotion of European experiences to and establishment of administrative arrangements with 3 rd parties
Outcome indicator	EU railway framework effectiveness Number of Member States outside EU implementing (partially or totally) the EU railway framework
Pre-conditions for achieving the outcome	Readiness to cooperate internationally Agreement with EC on the relevant roadmaps
Progress towards outcome in 2021	Setting up the envisaged roadmaps and starting implementation accordingly
Expected resource envelope - Human resources - Financial resources	
Fee-based	No

List of the main projects/services	Output indicator	Target for 2021
Coordination of international relations	Implementation of the global cooperation roadmap drafted in 2020 alongside the following areas: <ul style="list-style-type: none"> › Collaboration with OSJD and OTIF › Engagement with other international regulation bodies (Platform of regulators) › Support to EC in wider international engagement 	Ensured
Networks	<ul style="list-style-type: none"> › NSA Network › NRB management and coordination › NIB cooperation 	Organised

Objective 1.4 Implementing the EU MedRail project

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

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

Objective 1.5 Implementing the IPA project

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

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

3.2. Activity 2 Developing the harmonised regulatory SERA technical framework

Objective 2.1 Harmonised Railway Operations and Management Systems

Expected outcome	Improved operational safety and overall operational performance of the railway system through the management of major railway operational risks
Outcome indicator	Degree of harmonisation of railway operations and management systems throughout Europe
Pre-conditions for achieving the outcome	Cooperation of the railway sector (EC, national authorities, duty holders, etc.)
Progress towards outcome in 2021	Improved understanding and implementation of SMS and risk management, progress in removing operational barriers for RFCs, follow up on risk management for transport of dangerous goods
Expected resource envelope - Human resources - Financial resources	
Fee-based	No

List of the main projects/services	Output indicator	Target for 2021
Area 1: Harmonised Operational Rules		
Area 2: Risk management		

Objective 2.2 Harmonised technical specifications (fixed installations and vehicles)

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

List of the main projects/services	Output indicator	Target for 2021
Area 1: TSIs revision package	Progress report on TSIs revision	End 2021
Area 2: National Technical Rules management	Agency internal procedure on VA NRs management applied	100% of the files respecting the deadlines of the procedure and without non-conformity
	Assessment on NRs for Fixed Installations	100% of the assessment delivered on time

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

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

List of the main projects/services	Output indicator	Target for 2021
Manage Radio Communication evolution	Progress report on TSI CCS 2022 recommendation	End 2021
Manage ERTMS long term evolution	Progress report on TSI CCS 2022 recommendation (incl. CRs for ETCS L2/L3 operational harmonization, CRs for ERTMS Game Changers and modular system architecture)	End 2021

National ERTMS Technical Rules management	Agency internal procedure on NRs management applied	95% of the files respecting the deadlines of the procedure and without non-conformity
Manage the evolution of Telematics application for passengers (TAP TSI)	Change requests included in TAP technical appendices, according to the CCM process	
Manage the evolution of Telematics application for freight (TAF TSI)	Revision of TAF TSI	
	Change requests included in TAF technical appendices, according to the CCM process	

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

Expected outcome	<p>The main outcome of this objective is to support the harmonized implementation of the EU framework and to strengthen the level of awareness through dissemination and training activities.</p> <p>This is done by:</p> <ul style="list-style-type: none"> › Delivering dissemination activities with the stakeholders, under art 39 of the Agency Regulation › Creating a training service provider working under conditions set out in Art. 43 of the Agency Regulation <p>The Agency has set up the ERA Academy service to deliver the activities above.</p> <p>Dissemination (Art.39) is provided free of charge and consists of high-level events to raise awareness and explain the basic requirements.</p> <p>Training involves a more detailed event on specific topics that allows more time to go into greater depth and to allow the attendees to apply the principles in practice in their own setting. Training may or may not be chargeable. Training activities will be carried in the spirit of cooperation, not competition.</p>
Outcome indicator	<p>No. of training courses delivered</p> <p>No. of dissemination activities delivered</p> <p>No. of conferences delivered</p> <p>No. of seminars delivered</p> <p>No. of summer schools delivered</p> <p>Positive overall feedback from the audience/participants per initiate</p> <p>Decreasing number of issues identified in the monitoring activities based on improved knowledge e.g. implementation of CSMs, TSIs, etc.</p>
Pre-conditions for achieving the outcome	Availability of specific expertise and budget
Progress towards outcome in 2021	<p>Increase the involvement of the stakeholders in dissemination (e.g. asking also to other bodies than NSAs)</p> <p>Increasing the offer in the training catalogue</p> <p>Maintenance and improvement of the e-learning tool for the ERA Academy</p>
Expected resource envelope	
<ul style="list-style-type: none"> - Human resources - Financial resources 	
Fee-based	The nature and extent of the fee based will be defined in accordance with Art. 43 of the Agency Regulation and the XXX MB decisions.

List of the main projects/services	Output indicator	Target for 2021
Training courses	No. of training courses delivered	6

	Positive overall feedback from the audience/participants per initiative	70%
Dissemination	No. of dissemination activities delivered	15
	Positive overall feedback from the audience/participants per initiative	70%
Conferences	No. of conferences delivered	1, CCRCC
	Positive overall feedback from the audience/participants per initiative	70%
Seminars	No. of seminars delivered	1
	Positive overall feedback from the audience/participants per initiative	70%
Summer school	No. of summer schools delivered	1
Pool of experts training courses	No. or PoE training courses delivered	6
	Positive overall feedback from the audience/participants per initiative	80%

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

Objective 3.1 Support to the Fourth Railway Package implementation

Expected outcome	Optimized processes and tool to deliver SSC, VA and ERTMS Trackside approval
Outcome indicator	Time to propose and communicate the solution for all major changes affecting the quality of an outcome of a process or a procedure managed by the Planning and Approvals Delivery Unit in the Agency (target 2 months) Availability of releases addressing agreed change requests and addressing significant bugs (target every 3 months) Proportion of similar clauses between signed CAs (without taking into account clauses dealing with national specificities). – target 80%
Pre-conditions for achieving the outcome	None
Progress towards outcome in 2021	Effective CCM procedure on processes, procedures and tools for achieving the expected outcome.
Expected resource envelope - Human resources - Financial resources	
Fee-based	No

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

Objective 3.2 Issuing Single Safety Certificates

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

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

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

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

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

Objective 3.4 Issuing ERTMS trackside approvals

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

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

Objective 3.5 Railway System Data

Expected outcome	Provide timely and quality data for identified use cases (internal and external) e.g. to facilitate route compatibility checks, authorization processes, planning and operational purposes, sharing of railway licenses' information and to support monitoring the implementation of SERA.
Outcome indicator	Fulfilment of use cases by registers and databases Usability of the Agency's IT tools for registers and databases Data completeness in Agency's registers and databases
Pre-conditions for achieving the outcome	Business part: Clear definition of users' needs based on stakeholders' expectations and feedback IT part: Availability of IT expertise Data: Good level of quality for the data inputs from external stakeholders
Progress towards outcome in 2021	New architecture of RINF application according results of conclusion of impact assessment Further ERATV and ERADIS ² integration with OSS to allow issuing of VA and SSC. Refundation of ERADIS Placing in operation of EVR in the course of 2021. SRD implementation. IT tool allowing an easy retrieval of reports for all purposes related to the improvement of safety" (pm) Inventory of assets (pm) Depending on the outcomes of the data pilots in 2020, carried under the Strategic development Objective, the approach to the registers development and maintenance under Objective 3.5 might change. This can only be assessed once the pilots are implemented and the conclusions will be included in SPD 2021, before the November adoption.
Expected resource envelope - Human resources - Financial resources	
Fee-based	No

List of the main projects/services	Output indicator	Target for 2021
ERADIS (maintenance and operation)	development of the new ERADIS application	30% done by December 2021

² ERADIS is used, inter alia, to publish the 'EC' certificates of verification of subsystems, the 'EC' certificates of conformity of interoperability constituents and verification of subsystems and the 'EC' certificates of suitability for use of interoperability constituents provided by the NoBos to the Agency in accordance with Article 42 of Directive 2016/797.

In parallel refundation (new development with new design)	Update of OSS/ERADIS APIs to fulfil the minimum needs arising from SSC.	Released by December 2021
	% of safety certificates published on time	98%
	No of workshops/ trainings organized for ERADIS users from NSA staff and NoBos if needed	4
SRD (development)	Continuation of the migration of fixed installation rules from Notif-IT to SRD. -Start of the migration of vehicle rules from RDD to SRD Start of the migration of RDD to SRD.	100% of the migration of fixed installation rules done by end of 2021
RDD (development and operation)	maintenance	100% of minimal changes for facing the delay of the development of SRD
	% System availability for RDD	98%
ERATV (maintenance and operation)	% System availability	98%
	Second phase of integration with OSS	Done by the end of 2021
RINF (development and operation)	On-going development based on the results of the impact assessment and the available budget	To be defined later
	% System availability	98%
VKMR (operation)	% VKM published	100%
Establishing an EVR on the basis of the current ECVVR	Migration of local NVRs to EVR Connection of decentralized VR to EVR	Ended by July 2021
	% system availability	98%
Organisation's codes (end of development)	In operation	Ended by July 2021

3.4. Activity 4 Monitoring, evaluating and reporting

Objective 4.1 Collect and analyse evidence for decision making

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

List of the main projects/services	Output indicator	Target for 2021
Impact assessments for recommendations and opinions	% of issued recommendations and opinions accompanied by an impact assessment	100%
Ex post assessment for selected topics	Number of completed ex-post evaluations	At least 2
Economic Steering Group and task forces	Task Force Report endorsed by ESG	Delivered by December 2021

Objective 4.2 Monitoring

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

List of the main projects/services	Output indicator	Target for 2021
NSA Annual Safety report analysis	Qualitative analysis of NSA Annual Safety reports to be presented at the NSA annual performance review Workshop	1 summary analysis presented at the workshop
NSA monitoring	No. of audit reports finalized No. of follow – up audits Report to the management board	10 At least 2 1 by September
Support the NIB Peer review system	Information report by ERA as observer to the NIB Peer Review task force	Delivered
Review of NIB accident investigation reports	Qualitative analysis of NIB accident investigation reports	1 summary analysis delivered
NoBos monitoring	No. of reports for NoBos audit/inspection Revision of the ERA technical document	6 Draft version by Q4

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

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

List of the main projects/services supporting the objective	Output indicator	Target for 2021
Technological Watch	<ul style="list-style-type: none"> › Available Shift2Rail projects (ERA level of interest 2 to 3) ' deliverables uploaded onto the Tech watch library › Internal communication sessions organized to raise awareness 	<ul style="list-style-type: none"> › 100% of available deliverables uploaded › 2 communication sessions organised
Support to S2R as requested by the S2R regulation Cooperation with other bodies on research	<ul style="list-style-type: none"> › Research projects of interest for ERA identified, followed and monitored › ERA 2021 needs for research identified 	<ul style="list-style-type: none"> › 100% of S2R projects analysed and projects of interest for ERA identified › 50% of projects of interest for ERA monitored according to available resources › ERA 2021 needs for research fed in time to the relevant EU bodies (ERRAC, S2R, EC)

Objective 4.4 Reporting on the Railway System

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

List of the main projects/services	Output indicator	Target for 2021
Report on progress with safety and interoperability in SERA (AR, Art. 35(4))	Annual overview	Available by end of Q3 2021
Annual assessment of achievement of safety targets (CSTs assessment report) SAD (Art.7) on the basis of gathered CSIs + support to Eurostat	Annual assessment report on achievements of CSTs	31/03/2021

3.5. Activity 5 Delivering efficient and effective services

Objective 5.1 Ensure good corporate governance

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

List of the main projects/services	Output indicator	Target for 2021
Issuing and updating SPD and AAR	SPD 2022	Adopted by MB
	AAR 2020	Adopted by MB
Efficiency programme	Efficiency programme (scope and action plan)	Published
Supporting EB and MB meetings	% of mandatory decision topics for 2021 covered by the EB/MB meetings	100%
ICC and ethics services	% of nonconformities identified for which corrective/preventive actions are established	100%
	Agency' most significant risks identified and assessed. Remedial actions plans	Documented and reported in AAR
	% of Agency staff trained on antifraud and ethics	at least 25%
	% of annual declarations of interest of staff submitted	100%
Legal support	% of legal acts issued by the Agency, as defined by the Agency regulation, for which legal advice was provided	100%
Accounting	Opinion in the CoA annual report on reliable Agency accounts	Positive
Integrated Management System	Rate of closing pre-2020 audits findings	100%

	ISO 9001 certification	ISO 9001 certificate maintained
Management, control and support of Agency's portfolio of projects and services	Monthly reports for Agency's projects and services	100% of project and service reports collected and analysed

Draft

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

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

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

Objective 5.3 Supporting business delivery through IT systems

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

List of the main projects/services	Output indicator	Target for 2021
Workplace modernisation	No of current paper based process becoming fully digital	At least 1
	% of available processes updated	At least 60%
Disaster Recovery	Mean elapsed time to restore applications at the alternate site	6 working hours
Support stakeholders	% of users satisfied with the quality of IT service delivery in "Very Good/Excellent" rate.	70%
ICT infra management and maintenance	Availability of the core ICT systems	Min 98%
Extranet and intranet management and maintenance	Availability of Extranet is 98%	98%
End-point computing environment	Rate of update for the fleet of the devices	10%
	Number of updates deployed by year	4
Office automation tools and ERP licensing, consultancy and support	EU tools and off-the-shelf software	Made available
Telecom services	Fixed and mobile telephony, internet, Testa access	Made available

List of the main projects/services	Output indicator	Target for 2021
Audio-visual management and maintenance	Audio-visual equipment	Made available

Draft

Objective 5.4 Communicating effectively through website and social media

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

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

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

Expected outcome	Boosting the reputation of the Agency by building trust among stakeholders and acting professionally. Establish the image of ERA as European authority, which efficiently performs the new tasks set out under the Fourth Railway Package. This is supported by media campaigns, publications, press work, and delivery of key events, which all contribute to achieving the strategic objectives of the Agency. Initiate campaigns that give a voice to the sector, and support its modernization and transformation – including the Women in Transport project that will have a particular positive impact on the Agency reputation.
Outcome indicator	Increase visibility Reputation Management Stakeholder feedback Internal Communications Processes established Strategy updated
Pre-conditions for achieving the outcome	Access to technical, human and financial resources to deliver the relevant activities
Progress towards outcome in 2020	Maintenance and improvement of a crisis management process Publications Women in transport activity Communication plan (required by the Agency Regulation)
Expected resource envelope - Human resources - Financial resources	
Fee-based	

List of the main projects/services supporting the objective	Output indicator	Target for 2020
Crisis and reputation management	Reputational damages resulting in written complaints from the stakeholders	None
	Reputational damages resulting in legal actions against the Agency	None
	Training staff	Delivered
Women in transport	Scholarship awarded Implementation of the gender audit action plan	Achieved Ongoing
Publication management	% of planned publications delivered	100%
Event management	No. of events delivered with positive feedback from the stakeholders	3

	% of events with overall positive feedback	100%
Internal communication lifecycle	Survey on quality of internal communication	Delivered
	Action plan	Defined
Provisions, strategy and plans for an effective and efficient communication	Communication plan	Drafted and approved

Draft

Annexes

Annex I: Resource allocation

The new Multi-annual Financial Framework is still under adoption.

The Agency is currently clarifying the approach for the provision of the resource outlook for the period 2021-2023 with the European Commission.

1. Multi-annual resource allocation
2. Resource allocation 2021

Draft

Annex II: Financial Resources 2021-2023

The new Multi-annual Financial Framework is still under adoption.

The Agency is currently clarifying the approach for the provision of the resource outlook for the period 2021-2023 with the European Commission. The figures related to the period 2021-2023 in the following tables need to be read as provisional.

Table 1 – Expenditure

<i>Expenditure</i>	<i>2020</i>		<i>2021</i>	
	<i>Commitment appropriations</i>	<i>Payment appropriations</i>	<i>Commitment appropriations</i>	<i>Payment appropriations</i>
Title I	20.467.100	20.467.100	20.881.200	20.881.200
Title II	2.323.350	2.323.350	2.347.000	2.347.000
Title III	5.441.883	5.441.883	5.102.350	5.102.350
Title IV	2.532.600	2.532.600	3.607.000	3.607.000
Total expenditure	30.764.883	30.764.883	31.937.550	31.937.550

Item	EXPENDITURE	Budget 2020	Draft budget 2021		VAR N+1/N %	Envisaged 2022	Envisaged 2023
			Agency request	Budget forecast			
TITLE 1	EXPENDITURE RELATING TO PERSONS WORKING WITH THE ERA						
Chap. 11	Staff in active employment	19.949.100	20.311.200			20.811.200	21.331.200
Chap.13	Missions and travel	100.000	100.000			100.000	100.000
Chap. 14	Socio-medical infrastructure	225.000	227.000			227.000	227.000
Chap. 15	Staff exchanges between the ERA and the public sector	190.000	240.000			240.000	240.000
Chap. 17	Entertainment and representation expenses	3.000	3.000			3.000	3.000
Chap. 19	Pensions and pension subsidies						
TITLE 1	TOTAL TITLE 1	20.467.100	20.881.200			21.381.200	21.901.200
TITLE 2	BUILDING, EQUIPMENT AND MISCELLANEOUS OPERATING EXPENDITURE						
Chap. 20	Investments in immovable property, rental of buildings and associated cost	1.222.000	1.230.000			1.230.000	1.230.000
Chap. 21	Data processing	778.600	790.000			790.000	790.000
Chap. 22	Movable property and associated costs	90.250	90.000			90.000	90.000
Chap. 23	Current administrative expenditure	47.500	52.000			52.000	52.000
Chap. 24	Post and telecommunications	185.000	185.000			185.000	185.000
TITLE 2	TOTAL TITLE 2	2.323.100	2.347.000			2.347.000	2.347.000
TITLE 3	EXPENSES RELATING TO PERFORMANCE OF SPECIFIC MISSIONS						
Chap. 30	Operational Activities directly linked to the Regulation n°881/2004	4.237.486	3.898.000			4.237.486	3.898.000
Chap. 31	Operational expenditures	1.204.347	1.204.350			1.204.347	1.204.350
TITLE 3	TOTAL TITLE 3	5.441.883	5.102.350			5.441.883	5.102.350
TITLE 4	EXPENDITURE RELATING TO FEE-RELATED ACTIVITIES						
Chap. 40	Staff in active employment	1.609.650	2.607.000			3.225.060	3.697.380
Chap. 41	Costs of services provided by service providers	922.950	1.000.000			529.340	275.420
TITLE 4	TOTAL TITLE 4	2.532.600	3.607.000			3.754.400	3.972.800
	GRAND TOTAL	30.764.883	31.937.550			32.924.483	33.323.350

Table 2 – Revenue

<i>Revenues</i>	<i>2020</i>	<i>2021</i>
EU contribution	27.560.000	27.653.050
Other revenue – EFTA	672.283	677.500
Fees and charges	2.532.600	3.607.000
Total revenues	30.764.883	31.937.550

<i>REVENUES</i>	<i>2019</i>	<i>2020</i>	<i>2021</i>		<i>VAR 2021 /2020 %</i>	<i>Envisaged 2022</i>	<i>Envisaged 2023</i>
	<i>Executed Budget</i>	<i>Revenues estimated by the agency</i>	<i>Agency request</i>	<i>Budget forecast</i>			
1 REVENUE FROM FEES AND CHARGES		2.532.600	3.607.000			3.754.400	3.972.800
2. EU CONTRIBUTION*	26.500.000	27.560.000	27.653.050			28.472.507	28.648.658
of which assigned revenues deriving from previous years' surpluses	80.722	119.879					
3 THIRD COUNTRIES CONTRIBUTION (incl. EFTA and candidate countries)	639.347	672.283	677.500			697.576	701.892
of which EFTA	639.347	672.283	677.500			697.576	701.892
4 OTHER CONTRIBUTIONS							
of which delegation agreement, ad hoc grants							
5 ADMINISTRATIVE OPERATIONS							
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT							
7 CORRECTION OF BUDGETARY IMBALANCES							
TOTAL REVENUES	27.139.347	30.764.883	31.937.550			32.924.483	33.323.350

Table 3 – Budget outturn and cancellation of appropriations

<i>Budget outturn</i>	<i>2017</i>	<i>2018</i>	<i>2019</i>
Reserve from the previous years' surplus (+)	378 215	80 722	119 879
Revenue actually received (+)	31 930 147	28 850 412	28 644 227
Payments made (-)	-27 143 336	- 26 386 114	- 26 041 310
Carry-over of appropriations (-)	- 4 948 422	- 3 509 588	- 2 931 959
Cancellation of appropriations carried over (+)	64 813	122 715	54 280
Adjustment for carry over of assigned revenue appropriations from previous year (+)	179 832	1 045 234	335 358
Exchange rate differences (+/-)	- 2 312	- 2 780	- 1 110
Adjustment for negative balance from previous year (-)	-378 215	- 80 722	-119 879
Total	80 722	119 879	59 486

Draft

Annex III: Human Resources 2021-2023

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

Staff population		Staff population in voted Budget 2018	Staff population in voted Budget 2019	Staff population at 31/12/2019	Staff population in EU Budget 2020	Staff population envisaged in 2021	Staff population envisaged in 2022	Staff population envisaged in 2023
Officials	AD							
	AST							
	AST/SC							
TA	AD	111	97	113	113	119	123	126
	AST	37	35	35	35	35	35	35
	AST/SC	0	0	0	0	0	0	0
Total TA		148	132	148	148	154	158	161
CA GFIV		19	13	17	15	15	15	15
CA GF III		8	8	8	8	8	8	8
CA GF II		10	7	10	10	10	10	10
CA GFI		3	3	3	3	3	3	3
Total CA*		40	31	38	36	36	36	36
SNE		4	2	4	4	4	4	4
Structural service		15	14	15	13	13	13	13
Total		207	179	205	201	207	211	214
External staff for occasional replacement								

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

Function group and grade	2019		2019	2020		2021		2022		2023	
	Authorised under the EU Budget		Staff population at 31/12/2019	Authorised under the EU Budget		Authorised under the EU Budget		Request of the Agency		Request of the Agency	
	Permanent posts	Temporary posts		Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16		0	0		0		0				
AD 15		0	0		1		1				
AD 14		1	1		0		0				
AD 13		0	0		0		0				
AD 12		4	1		4		4				
AD 11		7	2		7		10				
AD 10		19	15		19		19				
AD 9		32	23		32		29				
AD 8		21	18		21		21				
AD 7		15	21		15		15				
AD 6		14	23		14		20				
AD 5		0	0		0		0				
AD TOTAL		113	104		113		119		123		126
AST 11		0	0		0		0				
AST 10		0	0		0		0				
AST 9		2	1		2		2				
AST 8		5	1		5		5				
AST 7		5	4		5		5				
AST 6		2	4		2		6				
AST 5		8	9		8		8				
AST 4		9	3		9		9				
AST 3		4	13		4		0				
AST 2		0	0		0		0				
AST 1		0	0		0		0				
AST TOTAL		35	35		35		35		35		35
AST/SC 6			0								
AST/SC 5			0								
AST/SC 4			0								
AST/SC 3			0								
AST/SC 2			0								
AST/SC 1			0								
AST/SC TOTAL			0								
TOTAL		148	139		148		154		158		161

Annex IV

A. Engagement policy

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

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

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

Selection and engagement procedures:

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

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

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

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

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

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

For managerial posts or highly specialised posts, the Agency can engage Temporary Agents at grades AD 9 and AD10 or at grade AD12 for Heads of Department and at grade AD 13 for Advisers.

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

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

a. Temporary agents

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

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

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

b. Contract agents

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

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

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

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

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

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

c. Seconded national experts³

Seconded National Experts (SNEs) are staff employed by a national, regional or local public administration or a public intergovernmental organisation who are seconded to the Agency so that it can use their expertise in a particular field. SNEs are seconded from their national employer to the Agency’s operational units on the

³. SNEs are not employed by the Agency.

basis of their specific competenc(i)es and technical expertise in the railway domain, based on DECISION n° 173 of the Management Board of the European Union Agency for Railways laying down rules on the secondment to the Agency of seconded national experts and national experts in professional training.

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

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

d. Trainees

Professional traineeships last between three and five months in accordance with Decision N° ERA-ED-DEC-1063-2015. As of 2020, professional traineeships are organised once per year, depending on budget availability.

e. Structural service providers⁴

Staff FTE	Tasks	Description	PD per Year	Total PD per Year	Framework Contract	Expiring
5	Service Desk	User support and assistance	220	1100	ESMA/2018/02 signed in October 2018	Date of signature, 2+1+1 Y
2	Business Analyst	Writing/maintenance/prototyping of applications that reflect the specifications.	220	440	ESMA/2018/02 signed in October 2018	Date of signature, 2+1+1 Y
3	UX/UI Specialist	Creation and staging of automated solutions based on ERA tools	220	660	ESMA/2018/02 signed in October 2018	Date of signature, 2+1+1 Y
2	Business Analyst	Creation and staging of automated solutions based on ERA tools	220	440	ESMA/2018/02 signed in October 2018	Date of signature, 2+1+1 Y
1	Business Analyst	Design and development OSS	220	220	ESMA/2018/02 signed in October 2018	Date of signature, 2+1+1 Y
1	Receptionist	3 shifts per day	220	220	ERA 2016 08 FWC	Date of signature, 1+1+1+1 Y

⁴. Structural service providers are not employed by the Agency.

B. Appraisal of performance and reclassification

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

Table 1 - Reclassification of temporary staff

Category and grade	Staff in activity at 01.01.2019		How many staff members were promoted / reclassified in 2019 ⁵		Average number of months in grade of reclassified staff members
	officials	TA	officials	TA	
AD 16		0			
AD 15		0			
AD 14		1			
AD 13		0			
AD 12		1			
AD 11		2		1	70
AD 10		15		1	71
AD 9		25		1	57
AD 8		18		4	77
AD 7		21		3	76
AD 6		16		3	63
AD 5		0			
Total AD		99		13	
AST 11		0			
AST 10		0			
AST 9		1			
AST 8		1			
AST 7		4			
AST 6		4		1	58
AST 5		9		2	58
AST 4		3		5	70
AST 3		13		2	70
AST 2		0		2	58
AST 1		0			
Total AST		35		12	
Total		134		25	

⁵. *Reclassification decision 2019.*

Table 2 - Reclassification of contract staff

Category and grade	Staff in activity at 01.01.2019		How many staff members were promoted / reclassified in 2019		Average number of years in grade of reclassified/promoted staff members
	officials	CA	officials	CA	
FG I		3			
FG II		7		3	52
FG III		9		1	57
FG IV		13		2	59
Total CA		32		6	

Draft

C. Mobility policy

1. Mobility within the agency

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

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

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

2. Mobility between Union Agencies

The implementing rules on the engagement and use of Temporary Agents 2(f) and Contract Agents define the scope of mobility between Union Agencies.

A very limited number of the support staff who have left the Agency in previous years have accepted Temporary/Contract Agent positions in other Agencies.

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

3. Mobility between the agencies and the institutions

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

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

	2019	
	(New) staff	Departing staff
Mobility within the agency	14	
Mobility among agencies	1	
Mobility between the agencies and the institutions	0	
Other	13	2 staff members + 2 SNEs
Total	14 new staff	4 exits and 2 staff members on CCP

D. Gender and geographical balance

The following non-discrimination notice is included in all vacancy notices: “Equal opportunities: The European Union takes great care to avoid any form of discrimination in its engagement procedures”.

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

The Agency has been systematically monitoring the gender distribution for its selection procedures. In general, the gender balance at the Agency has been stable over recent years.

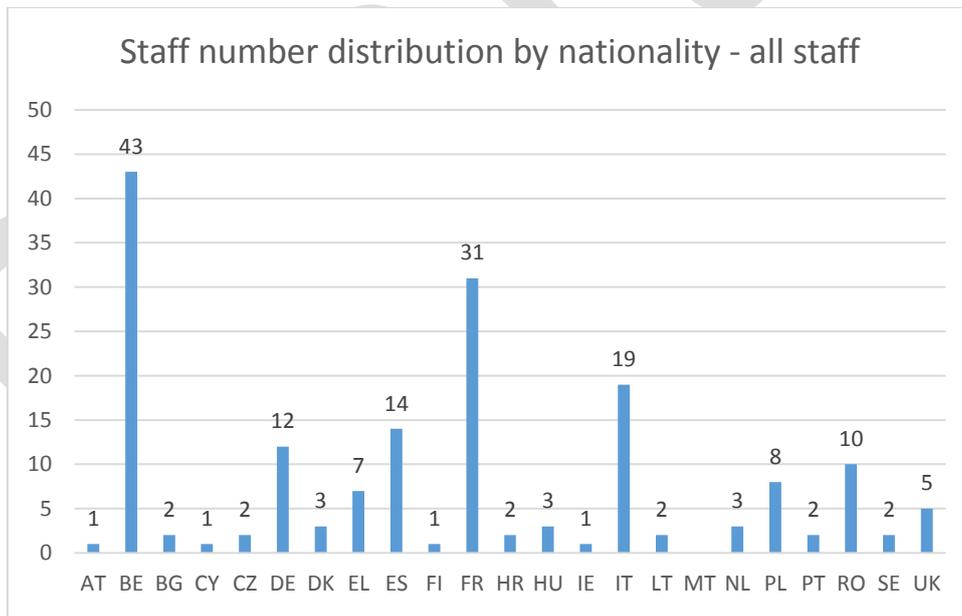
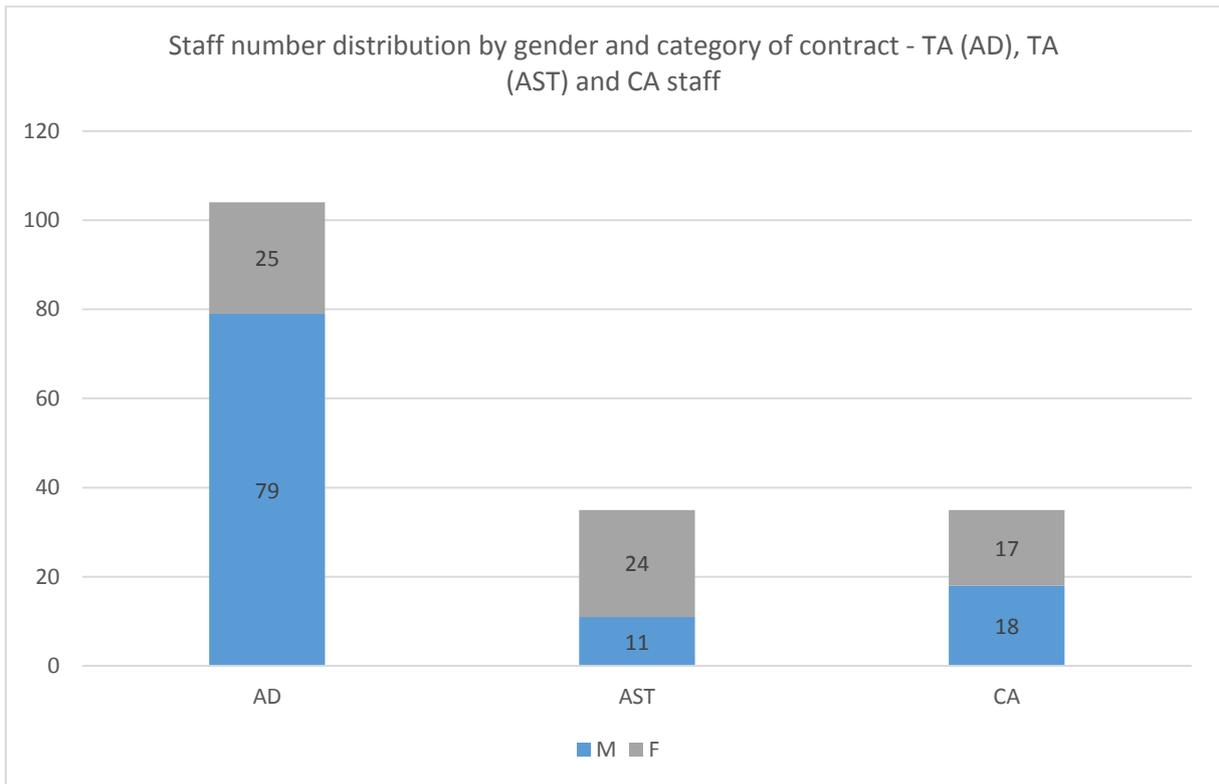
Even though, the specific business area and technical labour market may be the main reasons for overrepresentation of men in the Agency, in every call for applications, the Agency underlines its commitment to promote equal opportunities, including gender balance and diversity, as also stated in the Agency’s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

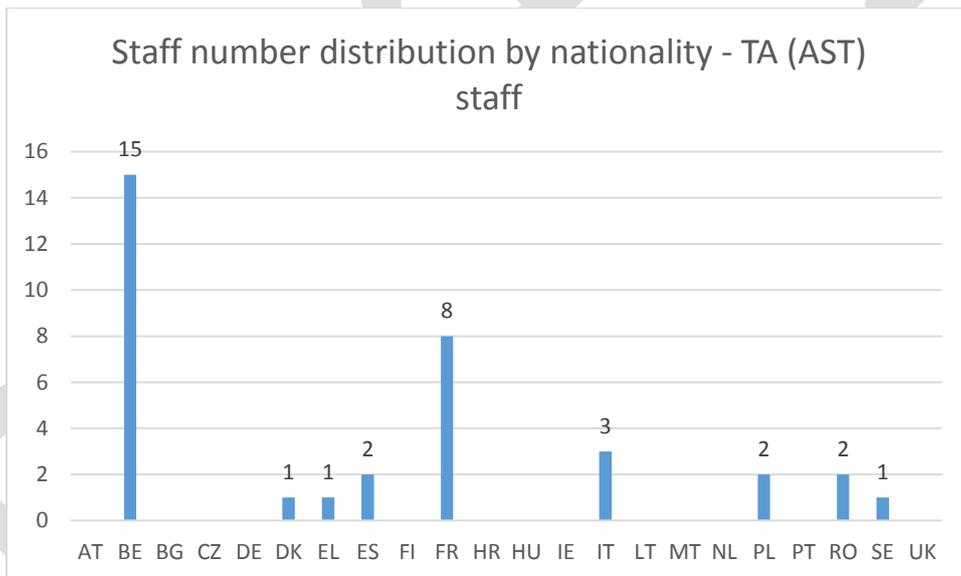
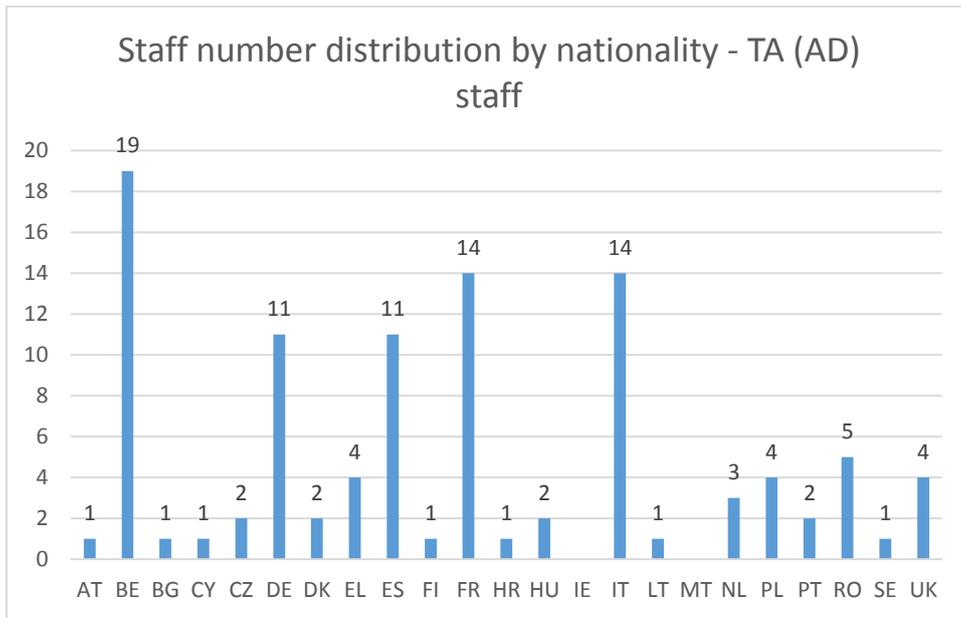
The Agency is participating to the EU “Platform for change”, initiated by the European Economic and Social Committee which was launched in 2017, to address gender equality in transport. The Agency further actively supports initiatives to increase the attractiveness of the railway sector for women, and promotes gender diversity.

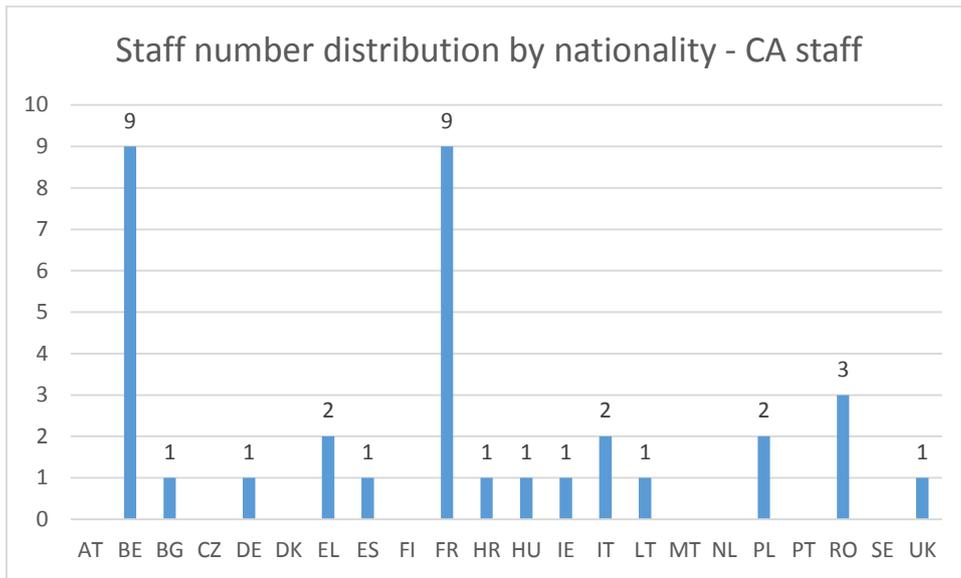
The gender and nationality distribution are reported below in several graphs: overall staff and breakdown according to the type of contract: Temporary Agents (TA) – Administrators (AD); Temporary Agents (TA) – Assistants (AST); Contract Agents (CA).

Considering the low number of SNEs (up to a maximum of 4 persons), this is counted in the overall staff figures, but no breakdown is provided for this category.

The values in the graphs are based on the existing numbers of staff at the end of 2019.







E. Schooling (Agency Regulation, Art. 71^2)

There is no European School in Valenciennes and the Agency has no arrangements with any international school in the vicinity. The local schooling system has an international section (English) at college and ‘Lycée’ level, but the students follow the French curriculum working towards the ‘brevet’ and the ‘baccalaureat’ awarded by the French Ministry of Education. There are also facilities for international schooling in Lille but many staff members prefer to send their children to the European School in Brussels (and for that reason choose to live in Brussels and commute from there). Since 2018 there are ongoing developments for establishing a European School in Lille which will gradually launch a full curriculum over the next years. The Agency is fostering a cooperative relationship with the relevant authorities.

Annex V: Buildings

5.1.1 Current building(s)

	Name, location and type of building	Other Comment
Information to be provided per building:	ERA HQ, Valenciennes, 120 rue Marc Lefrancq	1. ERA is the only tenant of the building
Surface area (in square metres) Of which office space Of which non-office space	5.250 M ² de Surface Hors Oeuvre Nette (S.H.O.N)	
Annual rent (in EUR)	In 2019: EUR 449.535,76 HT/year	The new INSEE indicator has been published during the 1st Quarter 2019.
Type and duration of rental contract	1 year with tacit renewal	
Host country grant or support	No	
Present value of the building	If the Agency owns the building	

	Name, location and type of building	Other Comment
Information to be provided per building:	Rental of 100 parking places from SAEM Valenciennes	
Surface area (in square metres) Of which office space Of which non-office space	100 parking places	
Annual rent (in EUR)	In 2019: EUR 25.379,17HT/year	
Type and duration of rental contract	1 year with tacit renewal	
Host country grant or support	No	
Present value of the building	If the Agency owns the building	

	Name, location and type of building	Other Comment
Information to be provided per building:	ERA meeting premises, 299, Boulevard de Leeds – Lille	
Surface area (in square metres)	602,62 M ²	
Annual rent (in EUR)	In 2019: EUR 110.433,96 HT/year	The new INSEE indicator has been published during the 1st Quarter 2019.
Type and duration of rental contract	Contract will end on 31/12/2023.	
Host country grant or support	No	
Present value of the building	If the Agency owns the building	

	Name, location and type of building	Other Comment
Information to be provided per building:	Rental of 1 parking place from Espace International	
Surface area (in square metres) Of which office space Of which non-office space	1 parking place	
Annual rent (in EUR)	In 2019: EUR 2.578,21 HT/year	The new INSEE indicator has been published during the 1st Quarter 2019
Type and duration of rental contract	Contract will end on 31/12/2023.	
Host country grant or support	No	
Present value of the building	If the Agency owns the building	

5.1.2 Building project in the planning phase

Due to the growth of the Agency, the current building in Valenciennes is becoming tight. The Agency is currently re-allocating staff members in double office spaces as a short-term solution. The Agency and Valenciennes Métropole have started defining the requirements related to the current and future estimated building's needs to make viable proposals for the headquarters.

Annex VI: Privileges and immunities

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

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

Annex VII: Risks 2021

Number	Title	Risk description Consequence/Cause		Activity/Objective 2020	Residual risk	Measures to achieve acceptable risk for management
1	Risk of peak of workload demands associated with the applications requests for authorisation/renewal of SSCs and VAs (especially vehicle type requests)	Serious and immediate direct consequences on the timeline for delivering the new tasks, which may also result in non-compliance with applicable rules and regulations as well as financial losses and reputational damages for the Agency and its stakeholders	May be caused by: a) Temporary shortage of experts for assessing applications related to VAs and SSCs b) Difficulties to estimate the moment and intensity of the peak workload c) Inherent cyclical nature of submission of VAs applications	Activity 3: Implementing the harmonised regulatory SERA technical framework Objective 3.2 Issuing Safety Certificates Objective 3.3 Issuing Vehicle Authorisation, including ERTMS on-board assessments Objective 3.4 Issuing ETCS trackside approvals	Critical (20)	Formal prioritisation of SPD objectives to optimise allocation of resources Review the classification of critical and essential functions of the Agency in view of limiting the impact of disruption on the Agency's main services and products Establishment of a communication network between the Agency and NSA to cope with crisis situations
2	Inconsistent/incorrect transposition of the 4th RWP legislation	<ul style="list-style-type: none"> Major shortcomings in the project planning (delays and possible complaints from stakeholders) Low quality of deliverables (VAs, Safety certificates-SC) which might lead to increase number of appeals to Agency decisions Low political support/ stakeholders' reluctance to support the 4RP Package Delay in the transposition; Member States within different area of use might be in a different state of transposition and/or different level of understanding, leading to unclarity in the process, exclusion of respective Member States from the area of use might represent a reputational risk for the Agency perceived as main responsible for issuing VA and SC across EU + the success of the Agency as European Authority depends on cooperation with MS + negative impact on the rail market 	May be caused by : <ul style="list-style-type: none"> Insufficient preparedness of the Member States (e.g. roles, responsibilities, working methods) involved in delivering the key processes (i.e. issuing vehicle authorisation, safety certificates, checking ERTMS trackside files) to the specific requirements New processes/systems of work (i.e. revised CSM, new practical arrangements, relevant guides) not applied in a consistent manner by all concerned actors (NSAs and the Agency) insufficient level of awareness regarding the changes introduced by the 4RP Legal framework lack of clarity/ misinterpretation of the 4RP legal framework by the Member States 	Activity 3: Implementing the harmonised regulatory SERA technical framework Objective 3.2 Issuing Single Safety Certificates Objective 3.3 Issuing Vehicle Authorisation, including ERTMS on-board assessments Objective 3.4 Issuing ERTMS trackside approvals	High (16)	a) Participation of the Agency in learning case phase b) Development of clear guides for each of the 3 new tasks c) Support the Commission to enhance communication towards governments

Number	Title	Risk description Consequence/Cause		Activity/Objective 2020	Residual risk	Measures to achieve acceptable risk for management
3	Liability risk for the Agency and its staff for an act or an omission especially in relation to decision making process for authorisations for VAs, SSC and ERTMS	Financial damages for the Agency and its stakeholders; Reputational damage (lack of trust in Agency's capacity to manage the responsibilities under the 4th Railway Package); Staff member liability at stake.	(may be caused by): Mistakes in issuing authorisations/certifications under the 4th Railway Package (e.g. leading to train accidents) Non-compliance with applicable rules and procedures; Inadequate technical expertise	Activity 3: Implementing the harmonised regulatory SERA technical framework Objective 3.2 Issuing Single Safety Certificates Objective 3.3 Issuing Vehicle Authorisation, including ERTMS on-board assessments Objective 3.4 Issuing ERTMS trackside approvals	Low (5)	Competency framework including operational tasks related to 4RP
4	Information security risk ((insufficient protection of information both Agency and third party)	<ul style="list-style-type: none"> • Temporary suspension, slowing down or delay on operational activities/services • Loss of information • Material financial loss • Data breach and liability for losses resulting from a data breach 	In the context of: - increase visibility of the Agency following the starting of the new tasks (making the Agency more a potential added value target); - various threats affecting the Agency information security system (i.e. cyber-attacks, phishing, disclosure of information or passwords etc.) and - considering the insufficient and ineffective mitigating measures put in place (i.e. lack of an Information security management system, insufficient awareness on the issue at Agency level)	Activity 5: Delivering efficient and effective services Objective 5.1. Ensure good corporate governance	Medium (8)	Develop and deploy an Information Security Management System (Securis@ERA) to allow the Agency to guarantee that Information Assets under its responsibility have their confidentiality, integrity and availability protected at required level - Milestone 1: information assets valuable to the Agency are identified, ownership is allocated and security classification is decided
5	Misaligned ERA rail registers data and service not fitting into the purpose	a) VAs and SSCs delivery processes not supported by quality data b) Synergies between the various databases managed by the Agency and the delivery of new tasks not achieved c) Not delivering complete and accurate products/services d) Impose administrative burden to the rail sector	May be caused by : <ul style="list-style-type: none"> • Low quality of data input from external stakeholders • Lack of automatic internal consistency checks due to inadequate silo approach design of Agency registers 	Activity 4: Monitoring, evaluating and reporting Objective 4.1 Collect and analyse evidence for decision making	Medium (9)	<ol style="list-style-type: none"> Incremental improvement the Railway registers based on a day by day business cases (including terms of use) Pilots on linking data between the different registers (3 pilots) Roadmap on railway data and digitalisation (ACT XXX)

Number	Title	Risk description Consequence/Cause		Activity/Objective 2020	Residual risk	Measures to achieve acceptable risk for management
		e) Differ measures to tackle issues of the Railway system f) More substantial and ad-hoc effort for Agency to obtain the required data for analyses	<ul style="list-style-type: none"> Lack of harmonised legal framework imposing parameters sometime not interoperable) 			
6	Security requirements create new barriers for interoperability	<ul style="list-style-type: none"> Delays or limits to the implementation of key objectives in the field of interoperability (i.e. removal of technical barriers, cleaning up of national rules) Member States could impose additional measures contradicting TSI or ERTMS specifications (e.g. KMS, ..) (even if the risk is outside the control of the Agency it may entail: - adverse reputation due to the perception the Agency is the main responsible for implementation of interoperability and - a higher workload (unplanned)) 	May be caused by : <ul style="list-style-type: none"> Potential occurrence of malicious acts affecting the rail sector Increase of (cyber) security attacks leads to development of additional security measure Security is an area under the competence of MS which may develop national rules hindering interoperability 	Activity 2: Developing the harmonised regulatory SERA technical framework Objective 2.2 Harmonised technical specifications (fixed installations and vehicles)	Medium (9))	a) Follow-up developments and assess the potential impact on the different activities of the Agencies and on the respective stakeholders b) (This action is not formalised; it is not meant to be carried out over a certain period of time, consuming resources and producing specific outputs)
7	EU priorities changed or not fully developed.	<ul style="list-style-type: none"> Agency prioritization may not be effective in achieving desired (but unclear/unknown objectives) Less efficient deployment of resources. Disjointed approach to issues 	May be caused by : <ul style="list-style-type: none"> Change in Commission Geopolitical shifts, requiring an EU adjustment. (wars, trade wars, climate change 	Activity 1: Contributing to shaping target and global reference Objective 1.1 Strengthening global cooperation in rail Objective 2.1 Strategic development	Medium (9)	<ul style="list-style-type: none"> Close collaboration with Commission (DG MOVE) to ensure Agency approach aligns with EC policy objectives. Regular Liaison meetings with Commission and sector on emerging International issues Regular updating of Agency Roadmaps so that teams understand what they are aiming at and what approach to take. Updates to International strategy adopted by the Board. Agency application of ISO 9000 management systems to monitor and manage changes.

Number	Title	Risk description Consequence/Cause		Activity/Objective 2020	Residual risk	Measures to achieve acceptable risk for management
8	Loss of interoperability after GSM-R	<ul style="list-style-type: none"> • Obsolescence of GSM-R technology (e.g. IMs or RUs decide to procure communication systems (replacing GSM-R) incompatible with target solution) • The Agencies Program on evolution of radio does not deliver timely (in 2022) new standards as replacement for GSM-R in the CCS TSI • Member state may decide on an allocation of radio spectrum incompatible with target solution 	May be caused by : <ul style="list-style-type: none"> • No consensus on functionality, technical solution, migration strategy of the communication system • No suitable radio spectrum available, in particular for the transitional period • Low level of contribution by stakeholders to the Agency project (i.e. definition of new communication system), so that results of studies and standards are not sufficiently representative 	Activity 2: Developing the harmonised regulatory SERA technical framework Objective 2.3 Harmonised Train Control System and telematics	High (15)	Define and implement a new system to replace GSM-R <ul style="list-style-type: none"> • Report to the EC on the definition of the new system a1) First intermediate report a2) Second intermediate report • Provide recommendation to the EC for changes in CCS TSI b1) First report b2) Second report Ensure continuation of the current GSM-R as long as possible (at least until the manufacturers will not support the system) (This action is not formalised)
9	Process of One Stop Shop not supporting adequately the business needs	Difficulties in the implementation of the Agency new tasks	May be caused by : <ul style="list-style-type: none"> - OSS Business specifications not in line with the real needs - Bugs in the OSS development - potential disruption of business or system failures - unsuccessful timely completion of the necessary procurement procedures for the maintenance services 	Activity 3: Implementing the harmonised regulatory SERA technical framework (under 4 RP) Objective 3.2 Issuing Single Safety Certificates Objective 3.3 Issuing Vehicle Authorisation, including ERTMS on-board assessments Objective 3.4 Issuing ERTMS trackside approvals	High (12)	a. Change management process applied regularly for the OSS and the processes in order to be able to prioritise the change requests (ACT 2019-68) b. Regular releases/revisions c. Identification of acceptable workarounds before changes are implemented in a production release or an approved versions of the process d. Reinforcement of the involvement of the business in the UAT

Number	Title	Risk description Consequence/Cause		Activity/Objective 2020	Residual risk	Measures to achieve acceptable risk for management
10	Misalignment of stakeholders' priorities and expectations	<p>i) Inability of the Agency to expose the reality of its work and to influence the way its message is received by the stakeholders</p> <p>II) Difficulties: - to approach stakeholders who are resistant/reluctant/ ambivalent to support Agency objectives - in maintaining stakeholders engagement</p> <p>II) Low interest of stakeholders in Agency's work</p> <p>Iv) Inconsistency and low quality of the messages sent by the Agency</p> <p>V) Uncertainties regarding the message to be conveyed;</p>	<p>a) Poor internal communication (non-reliability of available information, delays in receiving the necessary data) as well as insufficient coordination of Agency external communication</p> <p>b) Unstructured and consistent stakeholder feedback to identify the weaknesses in the communication process;</p> <p>c) Agency communication not 'customer oriented' and/or targeting all relevant stakeholders</p>	<p>Activity 2: Developing the harmonised regulatory SERA technical framework</p> <p>Activity 5: Delivering efficient and effective services</p> <p>Objective 2.4 Disseminating and training to support implementation of the EU framework</p> <p>Objective 5.4: Communicating effectively through website and social media</p>	Medium (8)	<p>a) Establishment of an ERA Academy and of a library containing dissemination and training materials packages</p> <p>b) Establishment of digital monitoring system (i.e. Meltwater) to monitor the presence and the online reputation of the Agency in the social media</p> <p>c) Review the internal communication process to reduce the risk of flaws of intra-Agency communication impacting the external communication</p>
11	Crisis management - inability to manage crisis situations	<p>i) Increased operating (e.g. to correct the product/service) and regulatory costs (stakeholder lawsuit);</p> <p>ii) Loss of revenues from fees (e.g. applicants choosing another to another authority body)</p> <p>iii) Loss of stakeholder trust</p>	<p>Context: New tasks and responsibilities under the 4th Railway Package, Unforeseen internal (malfunctioning of processes; HR issues and legality risks) or external events (e.g. political, financial)</p>	<p>Activity 5: Delivering efficient and effective services</p> <p>Objective 5.4: Communicating effectively through website and social media</p>	High (15)	<p>a) Implement a crisis plan/process</p> <p>b) Implement a system which enable quick and timely access to accurate Agency information in critical situations</p> <p>c) Perform a crisis simulation exercise (once action a) is finalised)</p>
12	Business Continuity risk for Agency core functions in case of staff turnover and reprioritisation of tasks	<p>i) Loss of critical information resulting in putting at risk the performance of critical business processes</p> <p>ii) Failure to ensure the continuity of core functions at an acceptable pre-defined level (i.e. endangering the achievement of Agency objectives)</p> <p>iii) Loss of knowledge</p> <p>iv) Financial and reputational damage</p>	<p>May be caused by :</p> <ul style="list-style-type: none"> • Ineffective business continuity plan (core operational functions not determined) and inadequate preparation (training; awareness) <p>b) Ineffective handover arrangements, back up procedures, loss of knowledge not adequately managed</p>	<p>Activity 3: Implementing the harmonised regulatory SERA technical framework (under 4 RP)</p> <p>Objective 3.2 Issuing Single Safety Certificates</p> <p>Objective 3.3 Issuing Vehicle Authorisation, including ERTMS on-board assessments</p> <p>Objective 3.4 Issuing ERTMS trackside approvals</p> <p>Activity 5: Delivering effective and efficient services</p>	Medium (8)	<p>a) Conduct a Business Impact Analysis (BIA) on the impact of a disruption to the functions (i.e. activities, services, infrastructure, human resources) that support the delivery of Agency key objectives</p>

Number	Title	Risk description Consequence/Cause		Activity/Objective 2020	Residual risk	Measures to achieve acceptable risk for management
				Objective 5.2 Ensuring sound management of the Agency's human and financial resources and building facilities		
13	Risk of absence of a working language regime in the Agency	<ul style="list-style-type: none"> Financial consequences - Translation costs impacting Agency budget Legal consequences - Translation that can be contested in Court (increase number of litigations) and non-compliance with legal deadlines for delivering the Agency outputs Reputational consequences 	<p>May be caused by:</p> <ul style="list-style-type: none"> Failure of the MS representatives in the Agency Management Board to agree on an implementing rule for the linguistic regime of the Agency Increasing demands in translation in the context of the 4RWP tasks Accumulation of backlogs and delays in translation Errors/inaccurate translation of technical documents Inappropriate implementation of art.74 of the AR on Language Arrangements 	<p>Mainly</p> <p>Activity 3: Implementing the harmonised regulatory SERA technical framework (under 4RP)</p> <p>Objective 3.1: Ensuring the coordination of the Fourth Railway Package implementation</p> <p>Objective 3.2 Issuing Single Safety Certificates</p> <p>Objective 3.3 Issuing Vehicle Authorisation, including ERTMS on-board assessments</p> <p>Objective 3.4 Issuing ERTMS trackside approvals</p>	Low (5)	N/A
14	Risk of misalignment between S2R activities and regulatory provisions	<ul style="list-style-type: none"> Regulatory provisions on railway interoperability & safety are not considered European financial assistance not spend in most effective manner missing access to available documents 	<ul style="list-style-type: none"> Due to potential different interests between the railway industry and railway service providers (e.g. railway undertakings), the Agency's research needs might not be taken into account under S2R projects (especially for developing ERTMS solutions) 	Activity 4: Monitoring, evaluating and reporting Objective 4.3. Identifying research needs for the Target Rail System and supporting partner organisations in research and innovation	Medium (6)	Coordinate with S2R and the EC to ensure that the research needs identified by the Agency are properly taken into account under S2R projects at two levels: <ul style="list-style-type: none"> Head of Unit level Executive Director level

Number	Title	Risk description Consequence/Cause		Activity/Objective 2020	Residual risk	Measures to achieve acceptable risk for management
15	Gap in Agency Competencies (languages)	<ul style="list-style-type: none"> Agency struggles to deliver statutory obligations Dissemination activities are less effective. Disruption to the wider activities of the Agency because of constant adjustment to project teams. 	Caused by; <ul style="list-style-type: none"> The Agency needs to process applications for VA and SSC in a very wide range of languages Specific gaps in language skills (especially German) 	All Agency Activities but primarily 3.2 & 3.3	Medium (8)	a) Adjustment of recruitment to target language gaps b) Use of pools of Experts c) Use of regional workspaces
16	Risk of not compliance with the Data Protection Regulation 1725/2018	Consequences on confidentiality and integrity of the personal data giving effect to: <ol style="list-style-type: none"> Potential legal challenges (i.e. infringement of EU regulation, law suits); Potential financial consequences (i.e. penalties from EDPS); Potential reputation consequences (in the current context of the new tasks the outside perception could be that the Agency is unable to protect stakeholder data) 	May be caused by: <ol style="list-style-type: none"> Insufficient resources to implement the necessary systems and processes to manage the data collected by the Agency Inadequate knowledge and poor understanding of the Data Protection regulation in a context of a technological (digital) environment with high degree of interconnectivity and interdependency and a variety of possible threats and vulnerabilities 	Activity 5 Delivering efficient and effective services All objectives	Low (5)	Effective integration and implementation of the new GDPR framework including awareness about the roles and responsibilities
17	Potential limited cooperation from the stakeholders (e.g. NSAs, NoBos, NAs, etc.) involved in the monitoring process negatively impacting the monitoring activities of the Agency	'May lead to: Limited trust in the activities the Agency have to perform Potential negative consequence on VAs and SSCs delivery processes	'May be caused by: <ol style="list-style-type: none"> Unwillingness to be audited, possible refusal to provide documents, the planning of the audits, to exchange the development of audit plans, etc. (e.g. For the NSA monitoring, deadline of September 2021 to report to the MB could be compromised); 	Activity 4: Monitoring, evaluating and reporting Objective 4.2. Monitoring	Medium (6)	

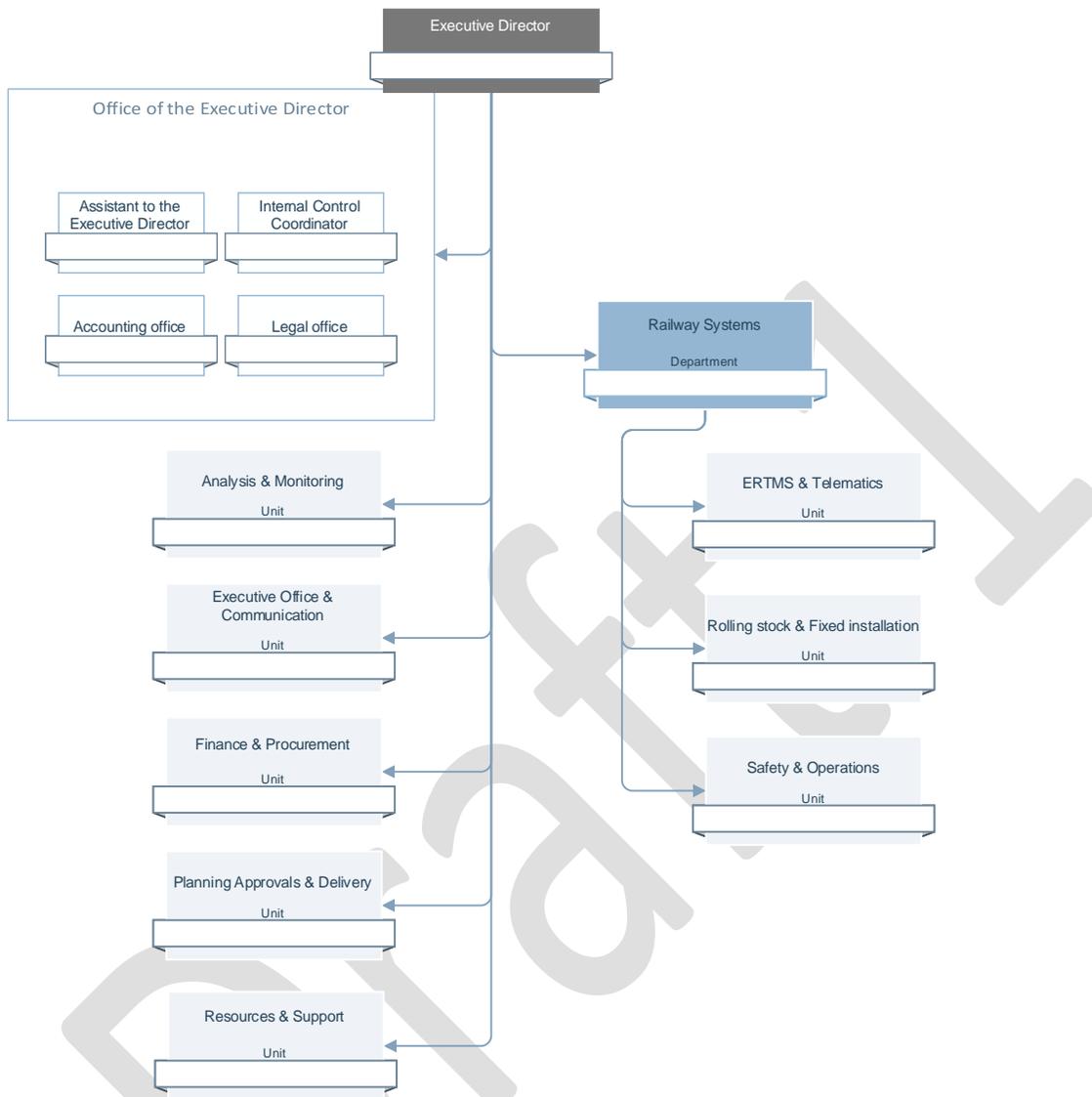
Number	Title	Risk description Consequence/Cause		Activity/Objective 2020	Residual risk	Measures to achieve acceptable risk for management
			<p>b) Insufficient competent and skilled staff to perform the monitoring activities (from both sides_ auditors and auditees)</p> <p>c) Unavailability of Agency staff reallocated to other priorities (e.g. regulatory tasks)</p>			
18	Potential limited cooperation from relevant stakeholders (RU, industry, manufacturers) contributing to impact assessment / ex-post evaluations negatively impacting the reliability of the process of economic evaluation	<p>'May lead to:</p> <ul style="list-style-type: none"> - Unreliable data and information to perform the impact assessment resulting in poor cost benefit analysis of Agency products/services and ineffective use of resources - Limited trust in the activities the Agency must perform re. impact assessment and should be perform re. ex-post evaluation (Article 8 of AR) 	<p>May be caused by:</p> <p>'Possible refusal to provide documents, data and participate in meetings of importance for developing and delivering the analyses.</p>	Activity 4: Monitoring, evaluating and reporting Objective 4.1. Collect and analyse evidence for decision-making	Medium (6)	N/A

Annex VIII: Procurement plan 2021

The procurement plan 2021 is under preparation.

Draft 1

Annex IX: Organisation chart



Last update 01/10/2019

Draft 1