

Making the
railway system
work better for
society.

Draft Programming Document 2019

Draft 2.1 – 25.01.2018

Draft 2.1

Contents

Foreword by the Executive Director.....	4
List of acronyms.....	6
Section I – General context	9
Section II - Multi-annual programming 2019-2021	13
1. Multi-annual objectives.....	13
2. Multi-annual programme 2019-2021.....	14
2.1 Activity 1 – Contributing to shaping target reference and global reference for the EU rail system .	14
2.2 Activity 2 – Developing the harmonised regulatory SERA technical framework	16
2.3 Activity 3 – Implementing the harmonised regulatory SERA technical framework (under 4RP).....	19
2.4 Activity 4 – Monitoring, evaluating and reporting	21
2.5 Activity 5 – Delivering efficient and effective services.....	22
3. Human and financial resource outlook for the years 2019-2021.....	24
3.1 Overview of the past and current situation	24
3.2 Resource programming for the years 2019-2021	24
Section III - Annual Work Programme 2019	27
4. Executive summary.....	27
5. Activities	29
5.1 Activity 1 – Contributing to shaping target reference and global reference for the EU rail system .	29
5.2 Activity 2 – Developing the harmonised regulatory SERA technical framework	42
5.3 Activity 3 – Implementing the harmonised regulatory SERA technical framework (under 4RP).....	55
5.4 Activity 4 – Monitoring, evaluating and reporting	65
5.5 Activity 5 – Delivering efficient and effective services.....	73
Annexes	79
Annex I: Resource allocation	79
Annex II: Financial Resources 2019-2021	80
Table 1 – Expenditure.....	80
Table 2 – Revenue	81
Table 3 – Budget outturn and cancellation of appropriations	84
Annex III: Human Resources 2019-2021	85
Table 1 – Staff population and its evolution; Overview of all categories of staff	85
Table 2 – Multi -annual staff policy plan 2019-2021	86
Annex IV.....	88

A. Engagement policy	88
B. Appraisal of performance and reclassification/promotions	92
C. Mobility policy	95
D. Gender and geographical balance.....	96
E. Schooling.....	101
Annex V: Buildings	102
Annex VI: Privileges and immunities	104
Annex VII: Risks 2019 (indicative).....	105
Annex VIII: Procurement plan 2019 (indicative) [to be updated in a later draft – some information not available yet]	136
Annex IX: Organisation chart.....	137
Annex X: Overview of objectives in 2019	138

Draft 2.1

Foreword by the Executive Director

It is with great pleasure that I present you with the European Union Agency for Railways' Single Programming Document 2019-2021 which will guide us through the years that mark the transition for the Agency to become the European authority in terms of issuing vehicle authorisations and safety certificates, and of granting pre-approval for ERTMS infrastructure across the whole EU.

The European Union Agency for Railways is the EU agency tasked with establishing a single European railway area without borders, facilitating the development of a genuine European railway culture, driving the change to a pro-active railway safety culture with common criteria, targets and methods at EU level, advancing the single European Train Control and Communication System (ERTMS), and promoting a simplified access for customers of the European rail system. The activities of the Agency shall contribute to a high level of railway safety and interoperability, while improving the competitive position of the railway sector.

With the entry into force of the Technical Pillar of the Fourth Railway Package (4RP) in 2016, the European Union Agency for Railways' mandate has been extended by making it the main body responsible for issuing vehicle authorisations and safety certificates, and granting trackside approval across the whole EU. In the final stages of a programme launched already in 2015, in the first half of 2019, the Agency will have concluded its preparatory phase, transforming the entire organisation and enabling it to perform the Agency's new role, in particular as decision makers in the Single European Railway Area (SERA). The second half of 2019 will then be concentrated on the implementation of the regulatory SERA framework. It is important to note here that the spectre of uncertainty is casting its shadow over the Agency's activities in 2019 and 2020 – it will only be in December 2018 that the Member States have to formally declare as to when (between June 2019 and June 2020) each Member State will have transposed the Technical Pillar into the respective National law. The Agency's planning assumption is that the vast majority of significant Member States will have transposed by June 2019.

As the railway sector is facing fierce competition, not only from other transport sectors (for instance automotive, aviation and maritime), but also from competition within the railway sector itself (for instance from the Far East), the railway sector in Europe would need to embrace the evolution of digital technology. However digital solutions might also cause new issues for interoperability and other transport modes might be quicker to make any digital transitions. Taking these opportunities and challenges into account, we believe that the European Union Agency for Railways may contribute to strengthen the competitiveness of rail in the context of a multi-modal, integrated transport system.

With this document, we intend to describe the Agency's work programme for the years 2019 to 2021, and for 2019 in detail. The multi-annual part is envisaged to be a rolling document, and as such, it has been reviewed in light of the new challenges facing us in 2019. In order to anticipate the entry-into-force of the 4RP and a corresponding re-organisation of the Agency, the activities describing the work of the Agency have been updated. I would also like to note that while this programming document explains the key activities mainly in the operational areas of work, the day-to-day tasks especially in more supporting functions are not fully covered and detailed. Please note that with the new role of the Agency as European authority, the Agency needs to become agile, as applications for vehicle authorisation or safety certification will emerge in a rather unpredictable manner, and the Agency needs to respond within the legal deadlines.

With thorough planning and efficient use of resources as set out in the 5 activities of this document, we trust to meet the agreed objectives. The deadlines to reach these are very ambitious and can only be respected if the necessary resources are made available to carry out sustained and coherent work over many years.

We keep working closely with our stakeholders in the European Institutions and in the railway sector in order to face the future challenges and to achieve our main goal of making the railway system work better for society. Together, we will make it happen.

Josef Doppelbauer

Draft 2.1

List of acronyms

4RP	Fourth Railway Package
AsBo	Assessment Body
ATO	Automatic Train Operation
BoA	Board of Appeal
CCS	Control command and signalling
CEF	Connecting Europe Facility
COR	Common Occurrence Reporting
CSIs	Common Safety Indicators
CSMs	Common Safety Methods
CSTs	Common Safety Targets
DG MOVE	Directorate-General for Mobility and Transport
DG NEAR	Directorate-General for Neighbourhood and Enlargement Negotiations
EB	Executive Board
ECM	Entity in Charge of Maintenance
ECVVR	European Centralised Virtual Vehicle Register
ERADIS	ERA Database on Interoperability and Safety
ERATV	European Register of Authorised Types of Vehicles
ERTMS	European Rail Traffic Management System
ETCS	European Train Control System
GSM R	Global System for Mobile Communications (Railway)
ICS	Internal Control Standards
ISC	Inter-service Consultation
IM	Infrastructure Manager
INEA	The Innovation and Networks Executive Agency
IoA	Inventory of Assets

JTI	Joint Technology Initiative
KPI	Key Performance Indicator
L3	Level 3 - conceptual phase
MB	Management Board
NIBs	National Investigation Bodies
NLF	National Legal Frameworks
NOTIF-IT	Notifications using Information Technology
NRD	National Reference Documents
NRV	National Reference Values
NSAs	National Safety Authorities
NVR	National Vehicle Register
OSJD	Organisation for Cooperation of Railways
OSS	One-stop-shop
OTIF	Organisation for International Carriage by Rail
PRIME	Platform for Railway Infrastructure Managers in Europe
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
RU	Railway Undertakings
SAIT	Safety Alert IT tool
SERA	Single European railway area
SMS	Safety Management System
SPC	Single Point of Contact

SteCo	Steering Committee
TDD	Train Drivers' Directive
TRAMOS	Transport Monitoring System
TRIS	Transport Information System
TSI	Technical Specifications on Interoperability
UNCRPD	European Act implementing the Convention on the Rights of Persons with Disabilities of the United Nations
WG	Working Group
WP	Working Party

Draft

Section I – General context

The objective of the European Union Agency for Railways is to contribute, on technical matters, to the implementation of the European Union legislation aimed at creating a European railway area without frontiers and guaranteeing a high level of safety, by:

- developing a common approach to safety on the European railway system,
- improving the competitive position of the railway sector by enhancing the level of interoperability of railway systems.

As a result, the Agency contributes to develop an efficient internal market, helping to ensure a competitive EU position in the global market in relation to removing technical and operational barriers in the railway system, fostering harmonisation and standardisation, and issuing certifications and authorisations.

Competition helps to improve quality and efficiency, to foster innovation, and to drive cost down. Shifting traffic from other modes of transport to rail requires, among other measures, a much more competitive EU railway system, enabling rail finally to deploy its advantages in environmental protection and energy efficiency.

As the Agency has consistently worked towards this goal, the next years will be characterised by:

- complementing further the work done up to now (“make it work”);
- in parallel, preparing the Agency and the railway stakeholder environment for the Agency’s new functions of EU-wide safety certification, vehicle type authorisation and authorisation to place vehicles on the market, and ERTMS trackside installation, as foreseen in the Technical Pillar of the Fourth Railway Package;
- supporting the Commission vision of a European railway system that is a world leader in railway safety and technical development;
- pursuing the benefits of standardisation by contributing to the evolving Global References for railway technical and safety regulation (e.g. ISO/IEC standards, OTIF rules).

Even though the railway sector is traditionally more hesitant towards innovation, the Agency has been progressing in the area of digital technologies (such as ETCS, ATO), IT tools (such as OSS, databases and registers), and telematics applications (such as TAF and TAP).

Our mission is *“to make the railway system work better for society”*. To achieve this, the Agency carries out its activities, by implementing its policy:

1. Stakeholder Focus

- › We all are committed to offer excellent products and services to our stakeholders. This is to meet their needs and expectations in order to enhance their level of satisfaction.
- › For that, we all strive to encourage permanent cooperation with our stakeholders. We look for a common understanding of priorities and the building of consensus solutions through our independent and transparent position based on facts.

2. Ethical Values Commitment

- › In striving to gain our stakeholders’ confidence, we all act with professionalism, impartiality, objectivity, independence, transparency and proportionality. We all show respect for others and believe in progress through diversity.

3. Legal Compliance

- › As a European Union Agency, we all act according to the law and apply the rules and procedures laid down in applicable legislation and regulations.

4. Staff involvement and development

- › People are our most valuable resource. We commit to maintain a fair and open culture and a spirit of cooperation with the staff and recognise the need to provide good working conditions. When necessary, this includes making available the resources to develop their competence and skills.

5. Everybody's Commitment to Quality

- › We are all committed to quality principles and responsible for complying with all the applicable requirements for delivering value to our stakeholders.
- › All managers at the Agency are responsible for taking the lead, setting objectives and demonstrating their commitment to Quality.

6. Continuous Improvement

- › It is our objective to continually improve the effectiveness of our Integrated Management System as well as our processes. By doing so, we all will be able to meet our challenges successfully and proactively.

7. Business Continuity

- › Our success relies on the preservation of our business critical activities. These ensure our continued efficient operation in a manner which maintains adequate standards of service provision to our stakeholders.

8. Information Governance

- › We all ensure the availability of information preserving its confidentiality and integrity.

9. A Culture of Sustainability

- › We all act in a responsible and sustainable manner.

The Agency also works in a wider framework as covered by the European Commission White Paper on Transport and its policy objectives for railways. A subset of the White Paper objectives is the creation of a "Single European railway area" (SERA) through improved technical interoperability and a common approach to safety on the EU railway system. The 2015 mid-term review of this White Paper has concluded that a significant gap exists between the objectives of the White Paper and the means by which they might be achieved and financed. The Report calls for an enhanced research and technology agenda for the transport sector, bearing in mind that priority should be given to projects to decarbonise transport, increase the transparency of the supply chain, enhance transport safety and security, improve traffic management and reduce administrative burdens.

These aspects have led the Agency to the definition of four strategic activities for the improved functioning of the railway system:

- (1) Contributing to shaping target reference and global reference for the EU rail system;
- (2) Developing the harmonised regulatory SERA technical framework;
- (3) Preparing and implementing the harmonised regulatory SERA technical framework (under 4RP);
- (4) Monitoring, evaluating and reporting;

these being complemented by a horizontal activity

- (5) Delivering efficient and effective services.

Railway actors will benefit in the first place from the Agency's work on harmonised conditions for the development of a Single European railway area: through easier operation, simplified vehicle and network subsystem authorisation, opening of the market for railway products and services, harmonised control/command systems and easier access to and exchange of information. The harmonisation of environmental management – such as noise – contributes, both in a positive effect for the EU Citizens, and in the removal of unequal operating boundary conditions in EU Member States. All these harmonised conditions aim to improve the competitive position of the railway sector.

This harmonised framework is aimed at strongly supporting an easier market entry for railway undertakings (both new to the sector and/or new to a particular Member State) and enhanced competition between them. Additionally, through the competition between manufacturers, an easier access to rolling stock for these railway undertakings is possible and the market for the supply of railway products and services is opened to the benefit of all actors. Such enhanced competition leads finally, as demonstrated by the positive examples in the different EU Member States that have made good progress in the implementation of the framework, to the benefits of an open, shared system for the end EU railway customers: more transport choices, better quality of services, easier cross-border services, enhanced travel information, simplified system access, reduced prices.

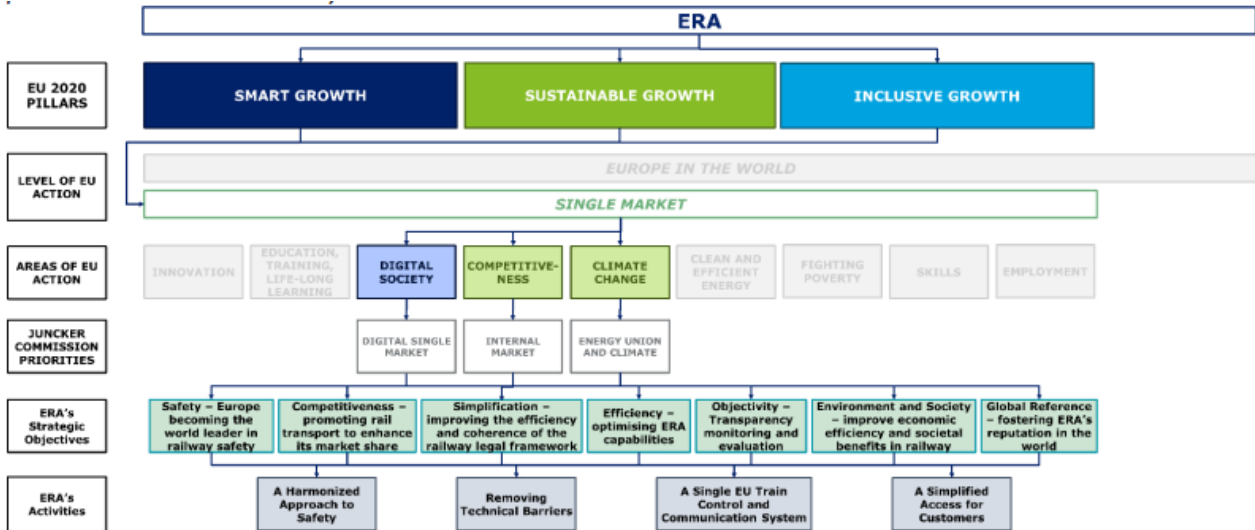
As a logical next step, complementing the Agency's current and future work, the Fourth Railway Package entrusts the Agency with the new tasks of issuing European-wide Safety Certificates for Railway Undertakings, authorisations for placing on the market for rail vehicles, and approval of ERTMS trackside systems. These new competencies will further lower the administrative barriers that will remain after the Second and Third Railway Packages have been fully and properly implemented.

Following a prototype prioritisation scheme, based on an early assessment, which was deployed in 2016 for all projects in order to be able to prioritise and to plan the workload and the resources, and to set deadlines, the Agency could regularly make proposals for the (re-) prioritisation and (re)scheduling of outputs/projects, which, after agreement, become part of the ongoing change management process of the work programme. In line with article 52 of the Regulation (EU) 2016/796 of the European Parliament and of the Council of 11 May 2016 on the European Union Agency for Railways, the Management Board shall, if necessary, amend the adopted programming document when a new task is assigned to the Agency, subject to an analysis of the human and budgetary resources implications.

In this context, the Agency developed a set of strategic objectives:

1. Europe becoming the world leader in railway safety
2. Promoting rail transport to enhance its market share
3. Improving the efficiency and coherence of the railway legal framework
4. Optimising the Agency's capabilities
5. Transparency, monitoring and evaluation
6. Improve economic efficiency and societal benefits in railways
7. Fostering the Agency's reputation in the world

The below graph visualises how the Agency’s operational activities and objectives feed into the EU 2020 pillars and the Juncker Commission agenda¹.



This Programming Document outlines the Agency’s activities for 2019-2021. The structure of the Programming Document follows the Agency’s activity-based management approach and is divided into the 5 activities mentioned above, each with a set of objectives, outputs and actions, expected outcomes, indicators and targets through which achievements can be monitored, measured and reported.

Draft

¹ Source: Deloitte Study, November 2016 (the study refers to the Agency’s previous structure of its Activities)

Section II - Multi-annual programming 2019-2021

1. Multi-annual objectives

The 2019-2021 programming period has a significant importance for the Agency, as it involves the transition towards becoming the EU-wide authority for safety certification, vehicle authorisation and ERTMS trackside approval, as foreseen in the Technical Pillar of the Fourth Railway Package.

This transition is marked by a degree of uncertainty as regards the transposition of the legal provisions by the Member States by June 2019, also considering their legal possibility to ask for an extended transposition by one year. This may mean varying workload for the Agency, with the probability to have limited number of applications followed by peaks of requests in the next periods.

In its new role of EU-wide authority, the Agency will anyway have to be ready to respond within legal deadlines to the applications received for safety certificates and vehicle authorisations, while continuing its work for ensuring a high level of railway safety and interoperability in the EU.

Agency's work programme, working methods and resources will be based on the assumption that the vast majority of the Member States will have transposed the Fourth Railway Package by June 2019. With no prejudice to that and taking into consideration the above-mentioned uncertainties, the Agency will put in place an agile system of managing its work and resources. In order to best cope with financial uncertainty, a prioritisation process and associated contingency criteria will be put in place in 2019 and will further drive the next SPDs.

Agency's activities are now organized according to the Plan-Do-Check-Act cycle:

- › Activity 1 – Contributing to shaping target reference and global reference for the EU rail system
- › Activity 2 – Developing the harmonised regulatory SERA technical framework
- › Activity 3 – Preparing and implementing the harmonised regulatory SERA framework (under 4RP)
- › Activity 4 – Monitoring, evaluating and reporting
- › Activity 5 – Delivering efficient and effective services

Activity 1 covers the strategic direction of the Agency and the shaping of the target and global reference. **Activity 2** contains the development of the legal instruments and the technical specifications, the establishment of the communication backbone for railways and the dissemination of the EU framework. The main work and attention for the Agency is the preparation (until mid-2019) and the implementation (as of mid-2019) of the Fourth Railway Package and the fee-funded activities, which are described in **Activity 3**. Starting 2020, the title of Activity 3 will change to Implementing the harmonised regulatory SERA framework. Internal and external monitoring, evaluating and reporting are covered in **Activity 4**, which includes a prioritised efficient portfolio, the Annual Activity Report, the impact assessments, and the monitoring of the regulatory and assessment bodies. **Activity 5** covers the more horizontal tasks to deliver efficient and effective services and to improve the organisational performance, such as legal tasks, secretariat of the Executive Board and Management Board, internal control, business planning, communication, human resources, finance and procurement management, facilities and ICT.

The first four activities will be run through multi-annual programmes, using projects to systematically approach step-by-step the programme objectives. Projects and their respective outputs for 2019 form the annual part of the work programme.

2. Multi-annual programme 2019-2021

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

a) Aligning research and international standards with SERA and ERA objectives

Key strategic objectives of the Agency will be

- *providing support to relevant Commission services and representative bodies including the task of promoting innovation aimed at improving railway safety and interoperability, particularly the use of new information technologies, timetable information and tracking and tracing systems.*
- *integrating research results into the regulatory framework/work of standardization.*
- *input to research in terms of ensuring compliance with the EU regulatory provisions as well as propose research objectives, identified through core activities of the Agency*

The Agency will support other entities involved in transport related research affecting railways to ensure the objectives of EU transport policy (e.g. “greening” of transport, rail as the backbone of mobility) may be most efficiently met elaborating proposals as required.

The Agency has a key role in supporting the Shift²Rail Joint Undertaking (S²R) with railway expertise by:-

- *proposing, guide- lines 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;*
- *reviewing project activities and results with a view to ascertaining their relevance to the objectives identified and to guaranteeing the interoperability and safety of research results.*
- *specifying research needs for Agency activities (e.g. to close TSI “Open points”)*

The Agency will continue to contribute to and support standardization activities coordinated by the RASCOP (chaired by the Commission) with the aim of simplifying and promoting the EU Acquis.

With the full application of the Common Safety Method (CSM) for Safety Management Systems (SMSs) be deployed in 2019/20 experience shows that there is a need to ensure a shared understanding of SMSs requirements. This has a primary focus within the Union but as SMSs are more widely applied in the rail sector there will be a need to consider global approaches.

b) Strengthening global cooperation

The outputs of the International Relations strategy is mainly to support EC activities in promotion of the European approach to states and international organisations outside of Europe and to import best practice where appropriate.

In this context the Agency will continue with both the long-standing IPA initiative to support safe and interoperable railway transport in and between the Accession States and the EUMEDRail project started in 2017 and financed by Directorate-General for Neighbourhood and Enlargement Negotiations (DG NEAR) to support safe and interoperable railway transport in and between the EC neighbourhood of the South Mediterranean region.

The Agency will further support the Commission with its technical and administrative know-how and experiences in trade negotiation with other states e.g. Japan. To become the global reference for railway safety and interoperability the Agency will continue to organise bi-lateral meetings with its partner organisations outside the EU and as far as possible engage itself in “platform” meetings with regulatory agencies.

Strengthening global cooperation needs to be built on strong cooperation in the European Union. The Agency will continue to support the strengthening of cooperation at a European level through the work of the Networks that involve partner organisations and coordination meetings with various certification bodies. Where coordinated action is needed across the Union the Agency will support the use of the Joint Network Secretariat as a mechanism to allow the interested parties to find the best solution.

c) Contributing to the digital agenda (including facilitating access to data and benefitting from Big data)

In view of the digitalisation of railways, the Agency’s IT tools, registers and databases have the opportunity to play a pivotal role in the data management of the future development of the European Railway.

It is therefore of the utmost importance that the Agency takes steps to prepare itself to meet these challenges as soon as possible. In this context, two key areas of actions have been identified:

1. Lay a sound foundation for future multimodal data management requirements by consolidating Agency IT tools, registers and databases through measures such as: single access point, use of a reference data set, interlinking registers and databases, monitoring data quality and change control management.
2. Become a change engine in the field of European multimodal transport data management through proactively identifying opportunities in which the Agency plays the role of a facilitator, engaging with European railway stakeholders and external interested parties to explore future needs, requirements and new business use cases so as to provide guidance towards the best practices, standards and solutions in data management found in the sector.

d) Enhancing and managing the security and safety interface

In recent years there has been a change in the risk level and profile faced by the rail sector. Increasingly security issues are highlighted. There is a recognition that there are clear overlaps in the management of safety and the management of security but there are also some tensions between the two needs such as when a rapid security patch is needed for safety critical software but safety validation of the change is also needed. The Agency will increasingly need to reflect on how to manage the processes for safety issues and support the Commission and Member States, where appropriate, on the interfaces with security issues. This has the potential to impact on work that covers safety management systems, certification and authorisation, technical specifications for Interoperability and national rules.

e) Enhancing Safety through better risk management, positive safety culture and integrating human and organisational factors

To continuously improve railway safety across Europe in a smart way and one that facilitates innovation there is a need to consider the two aspects of safety: Rule based safety, designed to give consistency and behaviour-based safety to manage the unexpected. To integrate these two complementary aspects of safety it is essential to promote the integration of human and organisational factors expertise early in the design stage, to systematically share lessons learned from accidents and to develop a just culture. In coming years all players will need to understand and adapt to new roles and responsibilities. The collaborative working relationship between the Agency and National Safety Authorities is essential to support the increased competitiveness of rail, to develop positive railway safety cultures and to achieve the objective of making Europe's railway system the world leader for safety.

There is evidence from different sectors that the right focus on safety improves business performance and does not create unnecessary costs. To achieve this "smart safety" though there needs to be a sound understanding of risk management, the proper deployment of safety management systems and sound data to inform better decision making. The Agency in 2019 will continue to support the development of competence in these key areas, including specifically the risk management issues associated with Dangerous Goods, alongside the continued development of tools that support the sharing of safety data and occurrence reporting.

2.2 Activity 2 – Developing the harmonised regulatory SERA technical framework

a) Developing new and revised legal instruments (operation and management systems)

The program of removing operational barriers will focus on avoiding time losses at cross-border sections caused by different national operating rules, on reducing training costs for cross-border operating staff by optimizing the operational communication and operational processes and evaluate the impact of automation on the operational framework (identifying the need to change operational processes and responsibilities of organizations and staff).

b) Developing new and revised technical specifications (fixed installations, telematics, operation and vehicles)

Overall, the Agency acts as the focus for all EU railway technical specifications (in partnership with EU standardisation organisations) and authorisation processes for railway vehicles and infrastructure. It supports the understanding and efficient application of the framework and the content, provides optimised tools and drives improvement on the basis of progress monitoring.

In particular, the Agency will continue its cooperation with European Standardisation Organisations (ESO) in order to ensure coordination between the development of TSIs and the standardisation activities. Subject to prioritisation, the Agency will also identify possible standardisation activities relating to interchangeable spare parts.

The new streamlined vehicle authorisation will rest on comprehensive TSIs, related to the rolling stock, and on reduced set of national rules. Also TSIs related to the fixed installations will contribute to the simpler and easier authorisation process, although the authorisation will still remain in hands of the NSAs.

To this aim, the next revision of the TSIs will include the closure of the remaining open points (where appropriate), the addition of the elements introduced by the Fourth Railway Package (including procedures and parameters to check vehicle-network compatibility, as well as criteria to decide on a need for authorization after upgrade/renewal). The next revision of TSIs will also include correction of possible

deficiencies and any development needed to take into account the technologic, economic and social evolution (including e.g. new relevant standards).

The Agency will also optimise the allocation of assessment modules within the conformity assessment (chapter 6 in the TSIs) in order to keep the procedures as efficient as possible.

At the same time, the Agency will recommend to the Commission solutions on how to revise railway modules (Decision 2010/713/EU) for an improved clarity and the alignment with the most recent legislation.

The Agency will ensure the consistency of remaining national rules with the EU legal framework, and will prepare their publication in the Single Rule Database required by the 4th RP.

In parallel, the Agency will work in collaboration with NSAs on vehicle authorisation learning cases and shadow running to facilitate successful implementation of the Fourth Railway Package. A similar task will be developed to support national bodies for accreditation and recognition of assessment bodies according to CSM 402/2013 on risk assessment.

To help removing the barriers to a single European railway area the Agency will make a recommendation on the selection and training of appropriate staff and the improved implementation of a European scheme for train driver certification.

The Agency will continue its efforts in the removal of operational barriers, with specific focus on operational communication and processes, ATO, multimodal operation and railway digitalisation. This will be endeavoured also by enlarging the business cases and the users' bases of the current tools, such as telematics applications and registers (see also Activity 4), taking into account the strategies developed in 2018. To this end, the Agency will also promote and support the use on a voluntary basis of appropriate, transparent and freely available acceptable means of compliance.

c) Developing new and revised technical specifications (signalling, ERTMS system authority)

Building on the successful and stable Baseline 3 of the European Train Control System (ETCS), and on the Global System for Mobile communications — Railways (GSM-R), the Agency will ensure the managed maintenance and evolution of the specifications, improving their quality, including harmonised operational principles as defined in the longer term perspective. The benefits from the identified game changers (ATO, L3, braking performance, security, etc.) will be leveraged respecting the key principles of compatibility and protection of investments.

The Agency will exploit the commitments expressed in the Memorandum of Understanding on ERTMS signed in 2016 and with the help of the Stakeholders in the ERTMS Platform will ensure disciplined, compliant implementation of the harmonised system, implementing the relevant action defined in the Commission staff working document "Delivering an effective and interoperable ERTMS" .d) *Establishing and improving the communication backbone for railways*

In the field of railway communications, the Agency will develop the roadmap enabling ETCS communications on IP based radio technologies, and on the consolidation of the requirements for the evolution of voice radio in view of the planned GSM-R life expectancy, aiming at the definition of the new radio communication systems: the Agency with the Sector will develop proposals for spectrum harmonization towards the ECC/CEPT on one hand, and to influence 3GPP standards to cover railway communication needs on the other.

e) Disseminating the EU framework

With the significant changes brought by the 4th Railway Package there will be a need to disseminate the requirements and processes linked to Safety Certification and Vehicle Authorisation. This work will build on the guides published in 2018 and the feedback from the learning cases work. Experience from previous legislative changes indicates that this dissemination framework will need to continue for a number of years to ensure it is widely understood and applied.

The Agency will also continue performing dissemination activities for telematics as to ensure that aforementioned small and medium-sized companies will be able to implement telematics TSIs. In addition, the Agency will launch the preparatory works conducting to grant access to the rail freight customers and to allow the use of TAF TSI data for safety-related purpose (interface ERTMS – TAF). An additional functional modification will be considered in order to use the Consignment Note as a multimodal transport document.

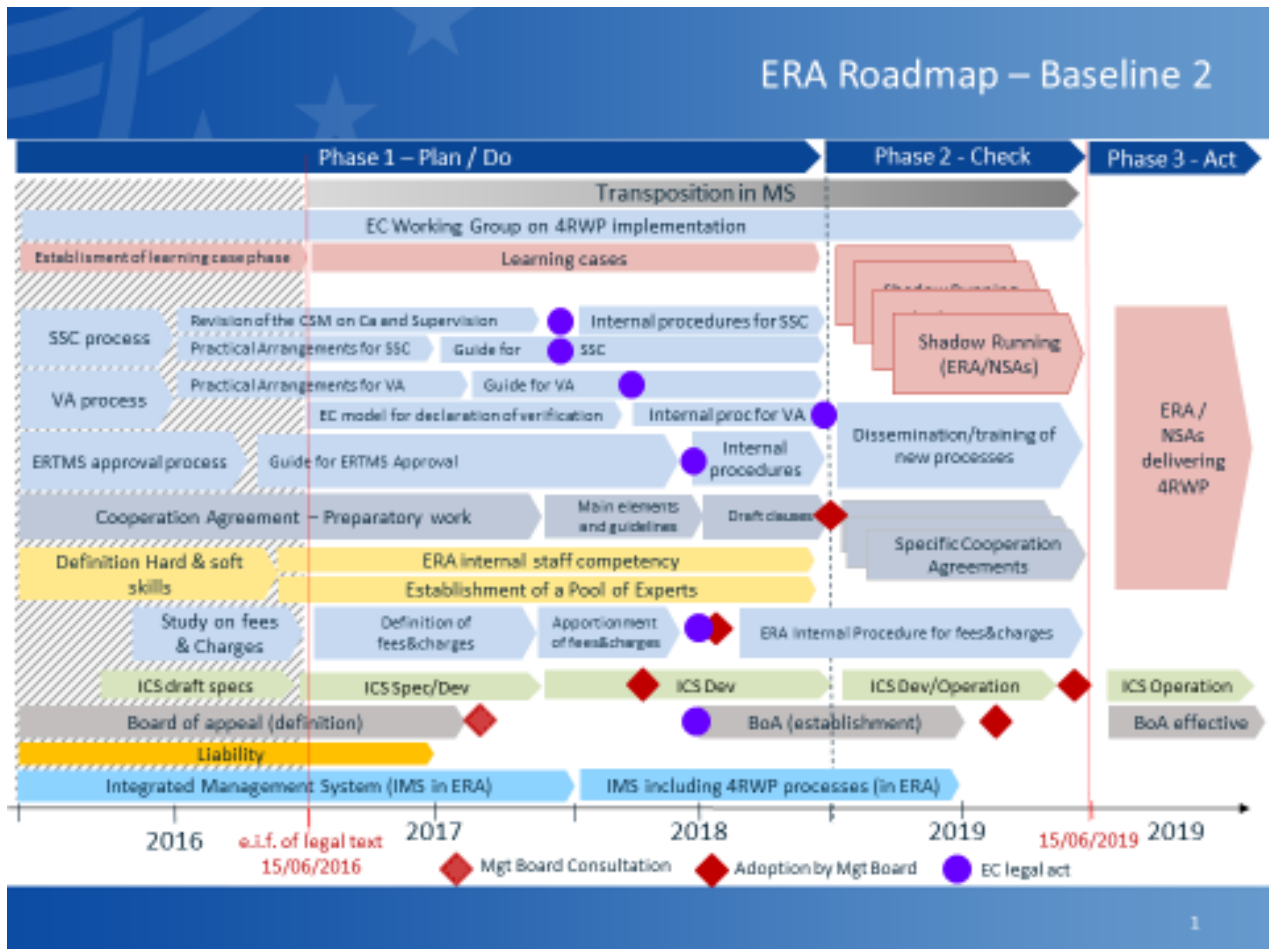
The Agency will continue providing technical advice to INEA in the framework of granting funds for TAF/TAP TSI Implementation. In addition, the Agency will draft the appropriate specification based on TAF TSI to collect safety related data serving for the purpose of the Common Occurrence Reporting and Transport Dangerous Goods Risk Assessment Processes.

Draft

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

a) Ensuring the coordination of the Fourth Railway Package implementation

Conforming to the technical pillar of the Fourth Railway Package, the Agency will be the sole body responsible for issuing vehicle authorisations and safety certificates across the whole EU and approving ERTMS trackside. The following chart provides an overview of the different phases over the next few years for the Agency to prepare and implement in due time of the entry into force of the Fourth Railway Package.



b) Preparing and implementing Single Safety Certificates

The Fourth Railway Package represent an evolution of the Safety Regulatory Framework and in response, the Agency has developed a programme plan setting out milestones to be ready to deliver a Single Safety Certificate.

c) Preparing and implementing Vehicle Authorisation, including ERTMS on-board assessments

With the Fourth Railway Package in force, the Agency will issue all multi-Member State vehicle authorisations and, on request from applicants, national vehicle authorisations. All vehicle authorisations will be managed using the “One-Stop-Shop” IT system to be set up by the Agency considering the need to alleviate administration burden for the applicants. The Agency will involve in this process positive experiences from existing authorisation processes in the member states like pre-engagement and the principle that necessary

tests to ensure technical compatibility and safe integration of the vehicle are part of the authorisation procedure.

d) Preparing and implementing trackside approvals

The Agency is the system authority for the harmonised ERTMS specifications and for their coherent implementation in the railway system. Its role in vehicle authorisation and trackside ERTMS approval allows a strengthened leadership in the efficient application of the framework and of the standards. The Agency drives improvement on the basis of user requirements and progress monitoring.

e) Preparing, operating and maintaining a One-Stop-Shop (OSS) for certification and authorisation

As part of the implementation of the Fourth Railway Package, the Agency must develop a common Information and Communication System with a virtual One Stop Shop (OSS) functionality with the aim of keeping the Agency and NSAs informed about all applications for vehicle authorisations, for single safety certificates and for the check of technical solutions of ERTMS Trackside projects, stages of these procedures and their outcomes. If appropriate, this development needs to be based on the existing applications and registers. The OSS is the single entry point where the applicants shall submit its application files. The OSS will provide the applicants information on the stages and the outcomes of their applications and, where applicable, the requests and the decision of the Board of Appeal. The OSS will also implement an “early warning system” functionality able to identify at early stage the needs for coordination between the decisions to be taken by national safety authorities and the Agency in the case of different applications requesting similar vehicle authorisations or safety certifications.

f) Facilitating users' access to relevant data (registers)

Railway Undertakings need to check the administrative status of their vehicles and the compatibility of their trains with the different routes. The Agency will continue working on the development and implementation of the relevant infrastructure and vehicle registers:

- *Register of Infrastructure (RINF, 2014 RINF Decision implementation expected to be completed by 2019)*
- *European Centralised Virtual Register (ECCVVR)/ European Vehicle Register (EVR) to be operational by June 2021*
- *European Register of Authorised Types of Vehicles (ERATV)*
- *Vehicle Keeper Marking Register (VKMR)*

More specifically in the field of simplified system access, the TSIs on telematics applications for passenger services (TAP TSI) and for freight (TAF TSI) are addressing issues related to railway customers, aiming at harmonizing the exchange of information between actors. The Agency, acting as ‘Telematics applications system authority’ will lead the closure of the remaining open points and continue to guide, support and monitor the rail sector and Member States when implementing the telematics TSIs, including the small and medium-sized companies. The Agency will continue performing the maintenance of the TAF/TAP technical documents, delivering every year an updated set of technical documents that will remain under its responsibility due to the role of system authority. These documents will become legally binding once they will be published on the Agency website without further intervention of the RISC or the EC.

From another perspective, society is also strongly demanding an improved access of stations and trains for persons with reduced mobility and persons with disabilities (PRM). For this purpose, according to articles 7 and 8 of Regulation 1300/2014 (TSI PRM), this regulation will be revised on the basis of the recommendation

drafted by the Agency in 2017, a tool for informing the public and monitoring progress will be implemented (Inventory of Assets), and an EU strategy will be developed, considering national implementation plans.

The Agency performs the maintenance of the tools, their continuous improvement and supports the MSs and stakeholders in their implementation and use. Beyond this, the Agency in close collaboration with the stakeholders works on the consolidation of the vehicle-related registers into an integrated system also taking into account the provisions of the Fourth Railway Package.

Furthermore, the Agency will ensure the consistency of remaining national rules with the EU legal framework, will implement the Single Rules Database envisaged by the Fourth Railway Package, and will continue providing guidance for the publication in this common database of remaining national rules by Member States.

Overall, the Agency acts as the specifier for other rail regulation - in particular for simplified access to the railway system and ticketing protocols - in partnership with other organisations and provides optimised tools for customer access. It is the lead trainer for the understanding and efficient application of the framework and the content and drives improvement on the basis of progress monitoring.

2.4 Activity 4 – Monitoring, evaluating and reporting

a) Ensuring a prioritised efficient portfolio of the Agency's activities, using an evidence-based decision-making for the benefit of the railway system and customers

The Agency carries out economic evaluations as an essential feature common to all activities of the Agency in order to avoid any decrease of the competitiveness of railway transportation, and in order to provide decision-makers with a fair estimate of the effects of Agency recommendations.

As an economic evaluation is more than an “accountant’s” vision of the railway system, the Agency takes into account, as far as possible, its qualitative aspects and its potential for development, i.e. the long-term interests of railway clients and third parties.

b) Monitoring and reporting on the Agency's outputs, outcomes and impacts

The Agency is performing impact assessments for its recommendations and opinions and is monitoring a set of railway indicators to identify the impact of its work on the railway sector. This will also contribute to an optimised environment for data mining and data reliability. In addition, early impact assessments are developed for the Agency's strategies in view of setting up the SPD.

c) Monitoring regulatory bodies (NSA/NIB)

Following the piloting of the scheme to monitor National Safety Authorities in 2018, the years 2019 – 2021 will see the scheme running at full operation culminating in a report to the Management Board on the strengths and weaknesses of the scheme.

In 2017 the Agency initiated a meeting with National Safety Authorities to review emerging safety issues and share best practice. The Agency continues to see this collaboration with National Safety Authorities as an essential part of improving safety.

For National Investigation Bodies there is no monitoring role by the Agency but occasionally and only on request the Agency will maintain the ability to assess an Investigation Body. The primary model for

monitoring National Investigation bodies is peer review. The Agency has supported the development of a peer review scheme and in 2019 – 2021 will continue to provide the necessary secretariat support.

d) Monitoring assessment bodies (NoBo, AsBo, ECM Certification, recognition bodies, a.o.)

In order to increase the trust in the work performed by NoBos and in the certification procedure as a whole, the Agency has already developed a set of harmonised requirements for conformity assessment bodies (applicable within both accreditation and recognition environment) and a proposal for an EU harmonised monitoring system for notified conformity assessment bodies.

In 2018, after endorsement by the Agency Management Board, the Agency will start the application of the monitoring system with on-site visits to NoBos in Member States as well as the support to national accreditation bodies and appropriate entities for recognition. The number of the visits will be determined by the factual necessity and the available resources.

In the period 2018 – 2019 the Agency, after having developed practical experience on monitoring activities, will optimise the NSA and NoBo monitoring activities to have a single centralised network of monitoring staff.

2.5 Activity 5 – Delivering efficient and effective services

a) Ensuring good corporate governance (including legal, Board, appeals, arbitration, business planning, auditing, a.o.)

This activity covers overall corporate governance including the Agency's legal activities, its business planning and reporting, the Board of Appeals and arbitration.

b) Ensuring further implementation of the Agency's Integrated Management System (IMS)

The Agency received ISO 9001:2015 certification in 2017. IMS is the Agency's system ensuring continuous improvement and customer satisfaction while keeping a high level of compliance. It is designed to ensure that EU requirements (i.e. internal control standards) are taken into account.

The IMS is being implemented in the Agency:

- Based on ERA Management Standards adopted on the 16th of June 2015,
- Certified in accordance with the ISO 9001 standard requirements,
- Covering all the Agency activities

c) Ensuring sound management of the Agency's human and financial resources, ICT services and facilities

The Agency will continue to optimise its internal horizontal processes, such as e-processes and sound financial management. There will be a continuous attention on and assessment of its needs to develop the relevant competences, and consequently further strengthen its ability to adapt to evolving EU challenges and priorities, and to better support its stakeholders.

As both human and financial resources are scarce, they will be assigned to the most relevant activities, which in the next couple of years will be, as of mid-2019, the implementation of the Fourth Railway Package.

The Agency will continue to develop and maintain core business applications and infrastructures for the benefit of the Agency's stakeholders. It also ensures ICT business continuity, disaster recovery and support to users of systems and services.

This objective also covers any services in relation to the building maintenance and management, both in Valenciennes and in Lille, the provision of external facilities (e.g. interpretation, audio and visual, catering, travel, postal, office equipment and supplies), health and safety, security and reception.

d) Ensuring efficient and effective communication (internal and corporate)

Over the next couple of years, the Agency will continue to deploy and optimise its Communication Strategy in line with the multi-annual planning.

Draft 2.1

3. Human and financial resource outlook for the years 2019-2021

3.1 Overview of the past and current situation

3.1.1 Staff population overview for 2017

Activity	Unit Staff		% planned vs actual
	FTE planned in 2017	FTE 31/12/2017	
Harmonised Safety Framework	48	41	85,42%
Removing Technical Barriers	50	44	88,00%
Single EU Train Control and Communication System	28	24	85,71%
Simplified Access for Customers	14	11	78,57%
Evaluation, Management and Resources	52	44	84,62%
Grand Total	192	164	85,42%

The gap between the planned FTE number (192) and the staff employed at the end of 2017 (164) resulted from the open vacancies due to natural fluctuation and vacancies which could not be filled in 2017.

3.1.2 Expenditure for 2017

The administrative expenditure includes staff expenses, costs relating to intangible assets and property, plant and equipment (mainly depreciation) and other expenses.

The total expenditure per Title in 2017 was:

- 18 329 Mio€ committed in Title 1
- 2 716 Mio€ committed in Title 2
- 9 686 Mio€ committed in Title 3

The overall commitment rate is 100% and the overall level of payment execution is 87%.

3.2 Resource programming for the years 2019-2021

3.2.1 Financial resources

Title 1 will amount to 19.892.000 € (18.790.000 Mio € in 2018) and Title 2 will remain 2.750.00 as in 2018).

The operational expenditure includes expenses related to the operational activities of the Agency. Title 3 will increase to 9.572.290 € (7.253.243 € in 2018).

3.2.2 Human resources

In its communication COM (2013)519 of 10/07/2013 on the programming of human and financial resources for decentralised agencies 2014-2020, the Commission foresaw an EU contribution of 26.500.000 € (without the EFTA contribution) with 148 TAs, meaning a status-quo compared to 2017. Additional information can be found in Annex I and II.

With the entry into force of the Fourth Railway Package, the Agency has been facing an additional challenge to attract Seconded National Experts (SNEs). It is therefore not considered a valid option to increase the number of SNEs to help meet the 2019 staff needs.

Since the entry-into-force of the Fourth Railway Package in 2016, the preparation of the Package has intensified and will be implemented as of mid-2019. Following on from 2016, the Agency will continue to improve on the efficiency of internal resources, by re-allocating staff to Fourth Railway Package tasks, and by fully maintaining the Integrated Management System, which has been ISO 9001 certified in 2017, focusing on the Agency's core business and outputs.

In addition, the Agency will overall aim to continuously improve its efficiency and effectiveness by, for instance, increasing the use of paperless processes, running of working groups (TSI, CSM), etc. Following the conclusions of the Common Approach regarding governance, management and efficiency, the Agency already benefits from common services provided by other EU institutions (EC, PMO, EPSO), benchmarks with other Agencies (the EU Agencies Network), joined procurement procedures and shares resources (Accounting Officer shared with ESMA, sharing the ICT back-up facilities with CdT).

The budget allocation for 2019 provides for sufficient cover of the activities planned in this work programme. However, the transition to the Fourth Railway Package entails some uncertainties, especially in relation to the number of authorisations and certifications the Agency will receive as of mid-2019 and beyond. At this point, it is also unclear if all Member States will transpose the Fourth Railway Package in due time. The Agency, however, assumes that most will and will assign its resources accordingly. The Agency is developing as part of the Integrated Management System and using the MS Project IT tool, a process for prioritising staff and resource allocation. In future prioritisation, account will be taken of the following topic areas/topics collected in the SPD 2018 Management Board consultation workshop that were suggested for a negative priority:

- › Reduce support for NIB peer review to a minimum as this is an obligation on the Member States.
- › Common Occurrence Reporting and development of the tool
- › Revision of CSTs
- › Study to establish a methodology and baseline, via pilot programme, for safety culture evaluation
- › Development of a "leadership" workshop to support a positive safety culture
- › SRT TSI, Noise TSI
- › Cooperation ISO/IEC
- › Scheme for European Driver's License
- › Participation to NB-Rail

- › PRM IoA
- › TAP/TAF TSIs dissemination events
- › Communication activities limited to 4RP
- › No maintenance for ISO 9001 Certification
- › Limited to no resources for S²R and standardisation

As well as task by task prioritisation the Agency envisages to make savings in the following fields, should it be needed to cover the activities foreseen under the new Founding Regulation:

- › Reduction of number of missions and related costs
- › Reduction of number of meetings or meetings days
- › Reduction of number of experts to be reimbursed
- › No provision of interpretation services (NSA meetings)
- › No provision of support (NIB meetings)
- › Reduction of translated documents

The Agency is identifying deployment opportunities by analysing the above mentioned efficiency gains, by implementing a competence framework in the near future and by following-up on a functional review which will take place in the course of 2018. In addition, the Agency might improve on the current organisational structure by mid-2018 depending on the said framework and review.

The Agency's budget for 2019, including the EFTA contribution, is 32.214.290 € € with 148 TAs, 38 CAs and 4 SNEs.

Section III - Annual Work Programme 2019

4. Executive summary

2019 is the transition year when the Agency will have moved towards becoming the EU-wide authority for safety certification, vehicle authorisation and ERTMS trackside approval, as foreseen in the Technical Pillar of the Fourth Railway Package.

As the Agency will have to manage its resources in unclear conditions, the planning for 2019 will be based on the assumption that the vast majority of critical Member States will have transposed the Fourth Railway Package by mid-2019, and resources will be planned accordingly. However, this may vary, considering their legal possibility to ask for an extended transposition by one year. Independent from the transposition rate, the Agency will be ready in 2019 to respond within legal deadlines to the applications received for safety certificates and vehicle authorisations, while continuing its work for ensuring a high level of railway safety and interoperability in the EU.

In order to cope with the probability that there will be varying intensity of the applications for single safety certificates and vehicle authorisations, the Agency will put in place an agile system of managing its work and resources and will put in place a prioritisation process and associated contingency criteria in 2019.

If any changes occur during the year, the planning will be amended as such. The possibility for amending the Programming Document is foreseen in the Agency's Regulation (art 52).

At the Agency, we aim for continuous improvement while ensuring continuity. The Activities, which were stable during the past years, have been updated and improved in light of the implementation of the Fourth Railway Package, following the Plan-Do-Check-Act cycle. The new structure is also independent of and not driven by the Agency's organisational set-up.

The Agency's 2019 work programme contains a set of 5 activities cascaded down into objectives and outputs, based on the goals and objectives outlined in the multi-annual programming section, and fully consistent with the approach described in Section II above:

- › Activity 1 – Contributing to shaping target reference and global reference for the EU rail system
- › Activity 2 – Developing the harmonised regulatory SERA technical framework
- › Activity 3 – Preparing and implementing the harmonised regulatory SERA framework (under 4RP)
- › Activity 4 – Monitoring, evaluating and reporting
- › Activity 5 – Delivering efficient and effective services

For 2019 in particular, Activity 3 also includes the closing of the preparation phase for the Fourth Railway Package.

Activity 1 covers the strategic direction of the Agency and the shaping of the target and global reference. **Activity 2** contains the development of the legal instruments and the technical specifications, the establishment of the communication backbone for railways and the dissemination of the EU framework. The main work and attention for the Agency is the preparation (until mid-2019) and the implementation (as of mid-2019) of the Fourth Railway Package and the fee-funded activities, which are described in **Activity 3**. Starting 2020, the title of Activity 3 will change to Implementing the harmonised regulatory SERA framework. Internal and external monitoring, evaluating and reporting are covered in **Activity 4**, which includes a prioritised efficient portfolio, the Annual Activity Report, the impact assessments, and the monitoring of the

regulatory and assessment bodies. **Activity 5** covers the more horizontal tasks to deliver efficient and effective services and to improve the organisational performance, such as legal tasks, secretariat of the Executive Board and Management Board, internal control, business planning, communication, human resources, finance and procurement management, facilities and ICT.

The Agency implements an activity based approach in terms of planning, budgeting and reporting. Annex I provides an overview and indication for both human and financial resources for 2019.

The following table lists a set of Key Performance Indicators (KPIs) for 2019:

<i>Key Performance Indicators 2019</i>	
1	100% completion of issuing SSCs and Vas within the legal deadline
2	90% achievement of SPD outputs
3	90% timely delivery of recommendations, opinions and advice
4	90% operational and technical rules published
5	Future communication system for rail operation released for consultation
6	100% operational ERTMS Stakeholder Platform
7	100% of the objectives for SPD 2020 prioritised based on evidence
8	90% delivery on 2019 milestones of the priority countries programme for improved safety performance
9	Positive surveillance audit on ISO certification
10	Carry-over of <10% of payment appropriations for Title 1, <20% for Title 2, and <30% for Title 3
11	95% of ICT services disruption recovered within the recovery targets defined in the Business Continuity Plan
12	95% implementation of the establishment plan

5. Activities

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

5.1.1 Overview of Activity 1 – Contributing to shaping target reference and global reference for the EU rail system

In many subject areas of Agency activity (e.g. Safety Management, Control Command Signalling (ERTMS) the EU regulatory framework leads the world and is the “Global Reference” copied by many other countries. Activity 1 programmes projects and services will continue to maintain and enhance this position by:-

- a) *Supporting Commission initiatives outside the EU. (e.g. trade talks, IPA and EUMEDRAIL projects, dialogue with OTIF, OSJD and other similar entities) in the promotion the EU Acquis outside the EU*
- b) *Ensuring the EU Acquis represents best practice, where appropriate (e.g. freight) “importing” best practice from outside the EU*
- c) *Working with international organisations (e.g. OTIF, OSJD) and standardisation bodies to maintain and further develop alignment between the EU and international regulatory frameworks, particularly in areas of new development (e.g. multi-modality, security, digitalisation) and associated research*
- d) *Cooperating with supervisory authorities, international organisations and the administrations of third countries competent in matters covered by Agency activities in order to keep up with scientific and technical developments and to ensure promotion of the Union railways legislation and standards;*

5.1.2 Activity 1 – Contributing to shaping target reference and global reference for the EU rail system - Objectives, Indicators, expected outcomes and outputs

<i>Objective 1.1 - Aligning research and international standards with SERA and ERA objectives</i>					
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2018/New task</i>	<i>Target 2019</i>	<i>1st half 2019²</i>	<i>Expected outcome</i>
Assisting the S ² R JU & other entities involved in research projects affecting the rail sector according to the Agency Research & Innovation Strategy	Agency's interest in research projects identified Identification of Research & Innovation initiatives with high	100% of S ² R projects classified Follow up of research projects of high interest for the Agency	Provide 100% of the support requested Useable results from the projects of high interest		S ² R main documents aligned with the objectives of the EC and ERA for the creation of the SERA in a balanced way taking account of the stakeholders' needs

² i.e. output to be delivered/implemented/reached/completed in the first half of 2019.

	potential of market uptake	Implement the Agency Research & Innovation strategy	Strategy fully implemented		Strengthen the system approach to Research & Innovation in Rail
<p>Contribute to the definition and implementation of the S²R Master Plan, in particular by performing the following advisory tasks:</p> <p>(a) proposing possible amendments to the S²R Master Plan and to the annual work plans, in particular to ensure that research needs relating to the realisation of the Single European Railway Area are covered;</p> <p>(b) 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;</p> <p>(c) reviewing the common developments for the future system and contributing to defining target systems in regulatory requirements;</p>	<p>% research projects which are in full compliance with the EU regulatory provisions</p> <p>% of TSIs open points closed with support from the S²R projects</p> <p>% of research outcomes incorporated in EU regulatory texts</p>	<p>Push for a single, clear and long term “Big picture” of railway research & innovation needs.</p> <p>Contribute to the simplification of the S²R Master plan</p> <p>Strengthen and monitor the interface between regulatory provisions, standards and Research and Innovation within the framework of the S²R programme</p>	<p>“Big Picture” complete and published.</p> <p>S2R research, ERA regulation and standardisation activities fully aligned</p>		<p>1 single, clear, long term vision shared and endorsed by the railway actors (possibly extended at global/international level)</p>

(d) reviewing project activities and results with a view to ascertaining their relevance to the S ² R objectives and to guaranteeing the interoperability and safety of research results.					
Providing specific expertise for the evaluation of the submissions to S ² R	% of requests answered by the Agency for specific expertise in the evaluation of the submissions to S ² R	100%	100% requests answered		
Working with the Commission, EU stakeholders and standardisation bodies within and outside the EU to ensure optimal development of standards and their alignment with mandatory rules and regulations			Standards within and outside the EU aligned with SERA needs		Structured coherent framework of regulation and standards. Gaps, overlaps and inconsistencies addressed.
Investigate diversity in Safety Management Systems and promote the CSM on SMS outside SERA and in other industries	Use of the new SMS wheel Hit rate factor of the SMS wheel App	Publication of the new CSM for SMS and guides	Contribute to make CSM on SMS a wider-than-European Standard		Common understanding on the approach to managing safety

Objective 1.2 - Strengthening global cooperation					
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2018/New task</i>	<i>Target 2019</i>	<i>1st half 2019</i>	<i>Expected outcome</i>
Support for the NSA Network, NIB Network, Joint Network secretariat, ECM Certification Bodies, CSM RA AsBos	NSA/NIB/ECM/CSM RA 1) Number of organised meetings 2) closing the issues submitted to the Agency : number of issues closed/number of issues submitted 3) closing the issues submitted to the NSA/NIB/ECM Certification bodies cooperation/CSM RA AsBo coordination: number of issues closed/number of issues submitted	NSA network : Organise 3 NSA network meetings including 3 NSA-NIB common meetings NIB network : Organise 3 NIB network meetings including 3 NSA-NIB common meetings ECM certification bodies cooperation: Organise 1 meeting. CSM RA AsBos coordination: Organise 3 meetings JNS (S): Organise meetings upon needs	- NSA network (S): Organise 3 NSA network meetings including 3 NSA-NIB common meetings - NIB network (S): Organise 3 NIB network meetings including 3 NSA-NIB common meetings - ECM certification bodies cooperation (S): Organise 3 meetings. - CSM RA AsBos coordination (S): Organise 3 meetings - JNS (S): Organise meetings upon needs expressed by NSAs and RBs.		Greater consistency and convergence of approach by National bodies and conformity assessment bodies Enhanced collaboration spirit between bodies

		expressed by NSAs and RBs.			
	Procedures established and implemented.		Implementation of procedures in NSA network and NIB network to develop, agree and publish recommendation for use and clarification questions		Align with processes in place in ECM certification bodies cooperation and CSM risk assessment bodies coordination. This tool will facilitate the administration of collaboration between NSAs
	JNS issues raised and closed : number of issues closed/number of issues submitted	Progress and close the raised issues	Progress and close the raised issues		
Transport of Dangerous Goods: Assistance to EC Support to the Commission and railway sector on railway matters in relation with third party organisations (OTIF, UNECE) and Dangerous Goods.	Closing the issues submitted to the Agency : Number of issues closed/number of issues submitted	Support the EC in relation to meetings at UNECE or OTIF.	Support for the EC in relation to meetings at UNECE or OTIF.		Greater harmonisation across Member States, beyond EU borders. Greater harmonisation of approach across modes for dangerous goods.
Foster the effective share of information between NSAs regarding their Supervision activities	Information submitted in OSS to feed the SSC issuing process	OSS ready			Greater harmonisation across Member States; increased trust among NSAs

Objective 1.3 - Contributing to the digital agenda (including facilitating access to data and benefitting from Big data)					
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2018/New task</i>	<i>Target 2019</i>	<i>1st half 2019</i>	<i>Expected outcome</i>
Consolidating existing Agency IT tools, registers and databases	Number of updates made in the registers and databases	NT	Create single access point, use of a reference data set, interlink registers and databases, monitor data quality and change control management.		Facilitate the use of registers and databases
Become a change engine in the field of European multimodal transport data management	Report provided on the opportunities identified	NT	Proactively identify opportunities in which the Agency plays the role of a facilitator		Strengthen the Agency's role in digitalisation in the EU.

Objective 1.4 - Enhancing and managing the security and safety interface					
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2018/New task</i>	<i>Target 2019</i>	<i>1st half 2019</i>	<i>Expected outcome</i>
Security strategy	Definition and setting up of Agency's project(s) needed to implement the strategy	Adoption of the strategy on security for railways	Specific project(s)/WP(s) consistent with the strategy defined in 2018		To ensure that security aspects are considered to ensure the achievement of Agency strategic objectives

					for safety and interoperability
--	--	--	--	--	---------------------------------

Objective 1.5 - Enhancing Safety through better risk management, positive safety culture and integrating influencing human and organisational factors					
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2018/New task</i>	<i>Target 2019</i>	<i>1st half 2019</i>	<i>Expected outcome</i>
Development of risk management Training for a wide range of stakeholders	Number of individuals/bodies trained for each MS	Development of training on Risk management : - Develop the training materials in collaboration with 5 selected universities - Start to run the training	Run the training		Clearer, more robust application of CSM Risk Assessment and CSM on monitoring
Transport of Dangerous Goods (TDG): Roadmap 2018-2020 Dissemination and monitoring of implementation of the risk assessment developed methodologies	- Number of developed examples - Number of successful application of methodologies/MSs	TDG Roadmap 2018-2020 - Setting up of dedicated website - Initiate the development of a risk estimation engine, aligned with	TDG Roadmap 2018-2020: - Progress the development of a risk estimation engine, - One workshop organised on guide for risk assessment in Transport of dangerous goods		Methodologies adopted by the railway sector and the authorities as a useful tool for supporting decision making. Enhanced collaboration spirit between bodies

		<p>the development of COR</p> <ul style="list-style-type: none"> - 2 workshops organised on guide for risk assessment in Transport of dangerous goods - Working group for developing examples of application – 	<ul style="list-style-type: none"> - Working group for developing/improving examples of application. Publication of examples - Survey for monitoring the use of risk assessment methodologies 		<p>Enhanced trust of society in the way transport of dangerous goods is under safety control</p>
<p>Improve Railway Safety culture</p>	<p>Number of dissemination activities/products</p>	<p>Development of a new dissemination workshop concept</p> <p>Development of a strategy to improve safety culture</p> <p>Dissemination of safety culture fundamentals</p>	<p>At least 4 dissemination activities/products</p> <p>New dissemination products</p> <p>New strategy/methodology for improving railway safety culture</p>		<p>Identification of topics, methodologies, dissemination activities and products to improve railway safety culture.</p>
<p>Raise awareness on Safety culture through-communication, events, materials and tools</p>	<p>Further development of dedicated Safety Culture content for the new website</p>	<p>development of dedicated Safety Culture content for the new website</p>	<p>Further development of dedicated Safety Culture content for the new website: YES/NO</p>		<p>Raise awareness of the importance of safety culture to improve safety performance in the railway system</p>

	<p>Development of a communication campaign based on small animated videos</p> <p>Presentation in several (railway specific) fora and conference on the basic concepts of Safety Culture</p>	<p>Communication campaign</p> <p>Conferences and events</p>	<p>Development of a communication campaign based on 4 small animated videos</p> <p>Presentation in several (railway specific) fora and conference on the basic concepts of Safety Culture = 4</p>		
Enhance Just Culture-judiciary and railway experts	Number of events created to train prosecutors on just-culture	Training prosecutors and railway experts: 2 dissemination events	2 training events		Explain the importance of just-culture, also in a judiciary environment, for improving railway safety
Evaluate Railway Safety Culture	Number of tests for the model developed in 2018	Safety culture Evaluation model ready for testing	Evaluation model tested in 4 countries		Definition of state of the art methodology for analysing and evaluate the current status of Railway Safety Culture in Member States
Future COR System	<p>First draft of CSM on Safety performance including COR</p> <p>Reportable occurrences and taxonomy are defined together with the stakeholders</p>	<p>Impact assessment concluded</p> <p>Just culture and liability, risk classification papers</p>	<p>First draft of CSM on Safety performance including COR: YES/NO</p> <p>Reportable occurrences and taxonomy are defined together with the stakeholders: YES/NO</p>		Definition of a new reporting scheme to be used by the Agency and other stakeholders to improve the understanding of railway safety and propose effective actions to improve it

		<p>Mandate for CSM on Safety performance including COR</p> <p>Study on data analytics delivered</p> <p>Project review</p>	<p>Explore accident risk analysis based on data analytics and linking data approach (open data, operational databases, sensors, external datasets and crowdsourcing)</p>		
<p>Development of SMS Training for a wide range of stakeholders</p>	<p>Number of individuals/bodies trained for each MS</p> <p>Monitoring of SSC delivery to measure progress in quality of SMS application files</p>		<p>Run the training</p>		<p>Clearer, more robust application of CSM on SMS</p> <p>Harmonised Certification across EU</p>
<p>Follow up of the implementation of a SMS monitoring system across EU</p>	<p>Number of MS having implemented the Management Maturity Model promoted by the Agency</p> <p># of reports on the safety performance of the RU/IM based on the Agency</p>				<p>Greater harmonisation across Member States</p> <p>Increased monitoring of Risk</p> <p>Improved image of actual safety performance across EU</p>

	Management Maturity Model				
Human and organisational factors network	<p>Number of organised meetings</p> <p>Topic proposed by the network and developed by the task force</p>	<p>New working methodology for the Human and Organisational Factors Network</p> <p>Development of the selected topic: Automation (continuation of existing HOF activities)</p> <p>List and planning of future topics to be developed</p>	<p>1 meeting for the main network</p> <p>HOF related task forces organised according to 2018 approved planning</p>		<p>Better functioning of the HOF network, which results in more value produced by the network for the stakeholders</p>

Draft

Making the
railway system
work better for
society.

5.1.3 Activity 1 – Contributing to shaping target reference and global reference for the EU rail system – Resources

FTE	Budget Title 3 (Operational)	Total budget
29		

Draft 2.1

5.2 Activity 2 – Developing the harmonised regulatory SERA technical framework

5.2.1 Overview of Activity 2 – Developing the harmonised regulatory SERA technical framework

For newly authorised vehicles, the application of the scope-extended TSIs which entered into force in 2015, reduced the need of national rules to TSI open points, specific cases not fully described in the TSI (thus referring to the national rules), and legacy interfaces (such as Class B control command and signalling (CCS)). Also for fixed installations the new TSIs reduced the need for the national rules, although, unlike in case of vehicles, there will still be many national rules in force for the aspects not covered by the TSIs.

On this basis, in 2019 the Agency will continue to facilitating and monitoring Member States' "cleaning up" of their national rules, in particular operational rules (type 4 safety rules) and rules on competencies (type 6 safety rules), also in order to further develop the OPE TSI. In particular, the Agency will perform specific dissemination activities in relation to the new framework of OPE TSI (Fundamental Operating Principles, clear structure for type for NRs and improved links to the operational requirements in the new SMS of RUs and IMs). A particular emphasis will be given to the removal of operational barriers, with specific focus on operational communication and processes, ATO, multimodal operation and railway digitalisation.

The Agency will continue facilitating and monitoring the implementation of the scope-extended TSIs, and closing the remaining open points where needed, while at the same time updating the TSIs also on the basis of the Fourth Railway Package provisions. The revised TSIs will include the criteria for the NSAs to decide whether the new authorisation to place a vehicle on the market, and the new authorisation for placing the fixed installations in service would be necessary in case of upgrade and renewal (see Article 4.3(h) of the new Interoperability Directive 2016/797). The TSI updating will also consider the inclusion of appropriate and coherent transition provisions in the view of the new process for VA. Furthermore, the rolling-stock related TSIs will define the cases which require a new vehicle type authorisation.

Further progress is expected regarding accessibility by all stakeholders / customers of the railway system information, including rules and data related to its operation. This will result in enhanced performance and usability of the railway system, as well as the potential creation of new business opportunities.

The Agency will exert the role of System Authority for ERTMS, implementing the relevant actions of the Commission staff working document "Delivering an effective and interoperable ERTMS", and in line with the commitment of the ERTMS MoU 2016. The maintenance of the interoperable specifications will be addressed with identification of mitigation measures and corrections in view of the next version planned for 2022. That version will include the progress agreed in term of game changers for the functionality of ETCS. The definition of the future radio communication system will include the proposal for coexistence and migration to protect investments in the current GSM-R technology. The Agency will revise the ECM scheme in line with the adopted implementing act. The act is anticipated to address the question of scope extension of the ECM scheme and how, if at all, to manage safety critical components.

Finally it is clear that the need to widely disseminate the new requirements for Safety Certification and Vehicle Authorisation will still be necessary in 2019 as the new processes are implemented.

5.2.2 Activity 2 – Developing the harmonised regulatory SERA technical framework - Objectives, Indicators, expected outcomes and outputs

Objective 2.1 - Developing new and revised legal instruments (operations & management systems)					
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2018/New task</i>	<i>Target 2019</i>	<i>1st half 2019</i>	<i>Expected outcome</i>
Cooperation with OTIF	Alignment EU/OTIF rules achieved	Alignment TSI /UTP Ongoing Alignment of OTIF legislation with Fourth Railway Package	Alignment TSI /UTP Ongoing Alignment of OTIF legislation with Fourth Railway Package		Promotion and use of EU railway regulation outside EU (extending interoperability beyond the EU)
Cooperation with OSJD		Ongoing	Ongoing		Promotion and use of EU railway regulation outside EU (extending interoperability beyond the EU)
Support to the Commission to set up international agreements to facilitate rail transport at EC borders, including the European Neighbourhood Instrument (ENI) programme.	% of ENI project delivered	On demand for general support. For ENI 100% of planned activities for 2018 delivered	On demand for general support. For ENI 100% of planned activities for 2019 delivered		Promotion and use of EU railway regulation outside EU (extending interoperability beyond the EU)
The Agency taking active role in assisting RFC in removal of technical barriers,	% of Agency contributions	Agency attendance to RFC meeting on demand	Agency attendance to RFC meeting on demand		Removal of national rules; constructive suggestions to TSI WP

especially in implementing ERTMS with priority to 2020/2022 corridors					Follow-up of issue log produced by RFCs and possible solutions to be proposed in the TSI WP
Revision CSM for CSTs	To be determine in discussion with the Commission in January or February 2018	Ongoing	To be determined		Although ongoing in 2018, determine with the Commission the need for the CSTs or a more effective alternative to ensure continuing improvement in railway safety
Revision ECM Certification Implementation of new Implementing act related to ECM certification.	<ul style="list-style-type: none"> - Accreditation scheme approved by EC and EA (European co-operation of Accreditation Bodies) - Revised ECM guidelines published - Satisfaction of RBs and NSAs: no open point caused by disagreement 	Issuing recommendation including impact assessment on extension of scope to EC.	<ul style="list-style-type: none"> - Revise the accreditation scheme on the base of adopted Implementing act related to ECM certification - Finalise the ECM guidelines on the base of the adopted Implementing act related to ECM certification - Organise a conference on ECM certification and future challenges for maintenance of vehicles 		Greater Harmonisation of Vehicles Maintenance facilitating international transport

Safety Critical components	See revision ECM certification here above	Issuing a recommendation on development of a scheme for identification of safety critical components and, where appropriate, marking and trace effectively the safety critical components while ensuring economic efficiency	<ul style="list-style-type: none"> - Include, in the accreditation scheme for ECM certification and the ECM guidelines, the aspects related to the safety critical components (for vehicles) - Initiate extension of the concept of safety critical components to fixed installations 		
Developing examination scheme for Driver Licence	WP/deliverable	Final recommendation issued	Line to be removed if work actually is completed in 2018.		Recommendation and accompanying report for amending the TDD

<i>Objective 2.2 - Developing new and revised technical specifications (fixed installations, telematics, operation and vehicles)</i>					
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2018/New task</i>	<i>Target 2019</i>	<i>1st half 2019</i>	<i>Expected outcome</i>
Cooperation with European Standardisation Bodies (CEN/CENELEC/ETSI)	% of needs for Ruffs addressed	Issuing Rfs as needed e.g. to close open points in TSIs	Issuing Rfs as needed e.g. to close open points in TSIs		Assure an adequate coverage of interoperability issues by EU standards

		Target: address by emission of Rfs at least 80% of the needs raised by stakeholders in the year	Target: address by emission of RfS at least 80% of the needs raised by stakeholders in the year		
Cooperation with ISO/IEC	Liaison agreed		Liaison agreed		Better involvement of the Agency on international standardisation
Loc&Pas TSI	Delivery of (draft) recommendation/report, as applicable	Recommendation for TSI revision (4RP).	Reports as per project plan		Replacement of national rules by TSI requirements, where applicable
WAG TSI	Delivery of (draft) recommendation/report, as applicable	Recommendation for TSI revision (4RP).	Reports as per project plan		Replacement of national rules by TSI requirements, where applicable
SRT TSI	Delivery of (draft) recommendation/report, as applicable	Recommendation for TSI revision (4RP).	Reports as per project plan		Replacement of national rules by TSI requirements, where applicable
Noise TSI	Delivery of (draft) recommendation/report, as applicable	Recommendation for TSI revision covering existing freight wagons and alignment with 4RP. TSI Noise adopted in 2018.	Broader revision of the Noise TSI Reports as per project plan		Simplified requirements for vehicle authorisation and operation

ENE TSI	Delivery of (draft) recommendation/report, as applicable	Interim report on TSI revision	Reports as per project plan		Replacement of national rules by TSI requirements, where applicable
INF TSI	Delivery of (draft) recommendation/report, as applicable	Interim report on TSI revision	Reports as per project plan		Replacement of national rules by TSI requirements, where applicable
PRM TSI	Completion of revision work	Recommendation of PRM TSI (including implementation plans and mutual criteria).	Reports as per project plan		PRM TSI updated,
TSI application guides	% planned revision of application guides delivered	Complete 80 % of the revision planned to be completed in the year	Complete 80 % of the revision planned to be completed in the year		TSIs correctly implemented
Support to INEA	Number of INEA calls supported by the Agency	Agreed support in the year completed by the Agency Audits of projects granted by INEA	Agreed support in the year completed by the Agency		Efficient and effective allocation of EU funds Audits of projects granted by INEA
Cleaning-up of national technical and safety rules	Deliverables	Report on type 5 national safety rules Report on cleaning-up technical rules for vehicles. Report on cleaning-up	tbc		Substitution of national rules by TSI requirements

		technical rules for fixed installation.			
OPE TSI	Delivery of (final draft) recommendation	Final recommendation issued	Reports as per project plan		Replacement of national operational rules by TSI requirements, where applicable and where reasonably possible
Transport of Dangerous Goods: (RID-TSI-CSM coordination) Run a steering group to manage requests for modification of TSIs and CSMs	Number of requests closed	Coordination: Run an ERA steering group to manage requests for modification of TSIs and CSMs	Coordination: Run an ERA steering group to manage requests for modification of TSIs and CSMs		Greater harmonisation across Member States, beyond EU borders. Improve accessibility of stakeholders to legislations specific to the railway and specific to transport of dangerous goods

Objective 2.3 - Developing new and revised technical specifications (signalling, ERTMS system authority)					
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2018/New task</i>	<i>Target 2019</i>	<i>1st half 2019</i>	<i>Expected outcome</i>

Integration of priority game changers (ATO, L3, braking curves, satellite positioning)	Program plan for game changers	ATO (GoA2) specifications agreed at CCM level (test and validation pending S ² R planning) Game Changers managed according to program plan	ATO (GoA2) specifications agreed at CCM level (test and validation pending S ² R planning) Game Changers managed according to program plan		Ensure managed evolution preserving stability and compatibility
Publication of Change Requests solutions on ETCS + GSM-R as output of the CCM process	Number of new CR received and closed Compliance with CCM procedure	100% of the new CR received and closed Compliance with no non-conformities with the CCM procedure	100% of the new CR received and closed Compliance with no non-conformities with the CCM procedure		Ensure managed evolution preserving stability and compatibility; support technical deployment of ERTMS, including RFC cooperation
Ad hoc meeting NoBo WG	Number of meetings	3	3		Ensure managed evolution preserving stability and compatibility
Cyber-security – position paper on feasible/necessary measures for ERTMS and the future	Level of integration of security requirements in the consultation paper of the future communication system	100% of security requirements integrated in formal consultation paper for future communication system	Establish formal mechanism to report on threat levels		Ensure managed evolution preserving stability and compatibility

Stakeholder Platform fully functional and active to resolve incompatibilities on-board/trackside	Report from Stakeholders' Platform Test and Validation WG	Published report from Stakeholders' Platform Test and Validation WG	Concrete cases of incompatibilities on-board/trackside identified and addressed		Ensure managed evolution preserving stability and compatibility
CCS TSI	Recommendation for TSI revision	Delivery of intermediate report including the Recommendations	Revised TSI adopted, Application Guide updated		Ensure managed evolution preserving stability and compatibility
Processing of proposals for further harmonization of ERTMS operational rules within the Operational Harmonization working group, including input from RFCs	Proposals raised by Working Group for amendments to Appendix A to OPE TSI	100% of proposals processed for next OPE TSI	100% of proposals processed for next OPE TSI		Ensure managed evolution preserving stability and compatibility

<i>Objective 2.4 - Establishing and improving the communication backbone for railways</i>					
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2018/New task</i>	<i>Target 2019</i>	<i>1st half 2019</i>	<i>Expected outcome</i>
Consultation paper covering: <ul style="list-style-type: none"> Catalogue of feasible options Migration strategy options 	Progress according to Evolution of Railway Radio (EVORA) program plan	Proposal published, including smooth migration path for	Revised proposal taking account of consultation		Allowing EU railways to prepare for technological/business evolution

<ul style="list-style-type: none"> • Identification of potential “clients” for data channel (TAF, TAP, energy meters, Dangerous Goods,) 		<p>stakeholders consultation</p> <p>Formal position of rail sector concerning spectrum needs</p>			
--	--	--	--	--	--

Draft 2.1

Objective 2.5 - Disseminating the EU framework					
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2018/New task</i>	<i>Target 2019</i>	<i>1st half 2019</i>	<i>Expected outcome</i>
Assistance to the Commission in the promotion of European regulations and standards for railways according to the International Relations Strategy	% support requested by the Commission provided	To be defined in the programme of actions	100%		Removal of technical barriers to trade
Supporting EC in its promotion of European regulations and standards for railways, for interoperability and safety of railway transport in the Mediterranean Region	% Contractual requirements met	Study on railway development in the Southern Mediterranean region	100%		Report on railway development in the Southern Mediterranean region Requirements of DG near met
Management and Maintenance of the Portfolio of Agency Common Positions	% of Positions completed	100%	100%		Consistent and coherent approach to the “big picture” and the key concepts underpinning it with the Agency The EU framework may be easily understood by non-EU actors

Priority countries follow-up	% of requests answered.		100%		Support to Member States to improve their safety performance and to converge to EU average.
Dissemination of single safety certificate/ legal framework	Development of dissemination material	Dissemination material developed	Dissemination material updated to reflect shadow running lessons		Facilitate the transition to the new regulatory framework (4RP)
Dissemination of vehicle authorisation legal framework	Development of dissemination material	Dissemination material developed	Dissemination material updated to reflect shadow running lessons		Facilitate the transition to the new regulatory framework (4RP)

5.2.3 Activity 2 – Developing the harmonised regulatory SERA technical framework – Resources

FTE	Budget Title 3 (Operational)	Total budget
67		

Draft 2.1

5.3 Activity 3 – Implementing the harmonised regulatory SERA technical framework (under 4RP)

5.3.1 Overview of Activity 3 – Implementing the harmonised regulatory SERA technical framework (under 4RP)

In addition to working closely with its stakeholders and other actors of the railway sector, the Agency will in 2019 also continue developing and implementing the Single Safety Certificate project.

Regarding vehicle authorisation, the Agency will work with the Member States to facilitate the migration from their National Legal Frameworks to the European Legal Framework set up by the Fourth Railway Package and will report the Member States progress to the Commission. The Agency will also build on the experience of the Real Authorisation Cases work in 2014 and 2015 to participate in “Learning Cases” of vehicle authorisation. The Agency will continue to develop the guide with the help of stakeholders based on the text adopted at the end of 2017.

The European Railway Traffic Management System (ERTMS) is an important industrial project for Europe and a major step for an interoperable railway system and the progressive establishment of an open market in the sector. ERTMS is a cornerstone of a more efficient and performant railway system. The Agency is the system authority for the ERTMS specifications.

The functional and technical specifications for the OSS which will be put in production when the Agency has to effectively deliver vehicle authorisations and single safety certificates and check the technical solutions of ERTMS tenders has been finalised and adopted by the Agency’s MB in 2017. This release of the OSS has been used in the shadow running phase. The business needs for the vehicle authorisation part of the One Stop Shop Database has been developed in 2016 with particular attention on the requirement to include an “early warning” system to identify at an early stage the needs for coordination between decisions to be taken by national safety authorities and the Agency in the case of different applications requesting similar authorisations.

Subject to budget availability and project prioritisation, the Agency intends to have the “Single Rules Database” envisaged by the Fourth Railway Package ready by June 2019 to replace the current NOTIF-IT and RDD databases.

From another perspective, to improve access of stations and trains for Persons with Reduced Mobility (PRM), a tool for informing the public and monitoring progress of PRM TSI implementation will be developed (Inventory of Assets).

5.3.2 Activity 3 – Implementing the harmonised regulatory SERA technical framework (under 4RP) - Objectives, Indicators, expected outcomes and outputs

Objective 3.1 - Ensuring the coordination of the Fourth Railway Package implementation					
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2018/New task</i>	<i>Target 2019</i>	<i>1st half 2019</i>	<i>Expected outcome</i>
Cooperation arrangement in place Apportionment of fees and charges adopted by the Management Board Establishment of the pool of experts	Adoption/approval by MB/EC Adoption by the MB Pool of experts completed	Appointment decision by MB	Specific Cooperation Agreements signed with all NSAs of Member States transposing for mid-2019 Adopted by the MB 100%	X	Agency ready to deliver Single Safety Certificates and Vehicle authorisations
Appointment of the members for the BoA and appointment decision	Adoption/approval by MB/EC	Appointment decision by MB	Adopted/approved by MB/EC	X	Agency ready to establish its BoA
Monitoring of the implementation of the 4RP Measure the MS readiness regarding the mid 2020 deadline	Identification of prioritisation criteria for NSA monitoring program		100%		

Objective 3.2 - Preparing and implementing Single Safety Certificates					
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2018/New task</i>	<i>Target 2019</i>	<i>1st half 2019</i>	<i>Expected outcome</i>
Agency IMS procedures for delivering SSC	Return from experience on the procedures	Procedures approved by the Management team	Procedures used		Implementing the 4RP
Recruitment plan for the staff required to carry out Safety Certification	Recruitment plan progress	Recruitments according to the recruitment plan and budget adopted by the Board	Progress line with the recruitment plan		Implementing the 4RP
Review of training materials & guides following shadow running and first SSC cases submitted to Agency		Training materials & guides developed	Training material updated to reflect shadow running lessons		Implementing the 4RP
Issuing of SSCs	Number of SSC issued	Preparatory work for issuing single safety certificates			Implementing the 4RP

Objective 3.3 - Preparing and implementing Vehicle Authorisation, including ERTMS on-board assessments					
---	--	--	--	--	--

<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2018/New task</i>	<i>Target 2019</i>	<i>1st half 2019</i>	<i>Expected outcome</i>
Recruitment plan for the staff required to carry out Vehicle Authorisation	Recruitment plan progress	Recruitments according to the recruitment plan and budget adopted by the Board	100% compliance with recruitment plan progress	X	Implementing the 4RP
Preparing templates for EC declaration of verification	Templates available	Templates in use		X	Facilitating authorisation process
Agency IMS procedures for delivering VA	Return from experience on the procedures	Procedures approved by the Management team	Procedures used		Implementing the 4RP
Review of training materials & guides following shadow running		Training materials & guides developed	Training material updated to reflect shadow running lessons		Implementing the 4RP
Issuing of VA	Number of VA issued	Preparatory work for issuing vehicle authorisations			Implementing the 4RP
Guideline for assessing standardised ERTMS on-Board Unit	Guideline available	First proposal based on results from EC analysis of National implementation plans and ERA analysis of NTR on testing	Guideline available and used		Achieve an European ERTMS minimizing impact of class B and reducing national testing requirements by DeBos

Objective 3.4 - Preparing and implementing trackside approvals					
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2018/New task</i>	<i>Target 2019</i>	<i>1st half 2019</i>	<i>Expected outcome</i>
Application Guide for the ERTMS trackside approval process; Requirements for assessors and requirements for possible procurement	Application Guide Status of requirements for assessors and possible procurement	First version of Application Guide finalized Draft requirements for assessors and for possible procurement	Application Guide in use Contract in place for experts as needed		Harmonised implementation of ERTMS fostering SERA
Agency internal procedures for ERTMS Trackside approval	Status of the procedures	Procedures approved by the Management team	Procedures applied		Harmonised implementation of ERTMS fostering SERA
Preparing and developing procedures for advising applicants for vehicle authorisation on the compatibility between on-board and trackside ERTMS.	According to project plan	Develop Guidelines for the process of advising on the compatibility between ERTMS on-board and trackside subsystems	Guideline in use depending on requests received		Harmonised implementation of ERTMS fostering SERA
Provide technical input to the call definition, funding decision drafting and action evaluation to verify the compliance of projects with ERTMS.	Answer to all requests from INEA in a timely manner	100% of INEA requests timely processed	100% of INEA requests timely processed		Harmonised implementation of ERTMS fostering SERA

Preparation of internal process and guidance on examination of ERTMS trackside projects					
---	--	--	--	--	--

<i>Objective 3.5 - Preparing, operating and maintaining a One-Stop-Shop (OSS) for certification and authorisation</i>					
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2018/New task</i>	<i>Target 2019</i>	<i>1st half 2019</i>	<i>Expected outcome</i>
Functional and technical specifications of OSS	Specifications submitted to and adopted by the Board Tool available fulfilling approved specifications	OSS in production for shadow running Adoption by MB	Tool ready and in use for full operation	X	Tool ready for full operation
ERADIS Safety Quality Review	Non- compliances	IMS supporting documents produced	100% of non-compliances identified and tracked		Analysis of the data related to safety certificates and correction of non-compliances

Objective 3.6 - Facilitating users' access to relevant data (registers)					
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2018/New task</i>	<i>Target 2019</i>	<i>1st half 2019</i>	<i>Expected outcome</i>
Implementation and revision Register for Infrastructure (RINF)	75% completed in accordance with the 2014 Decision, Monitoring reports issued	Submission of the ERA recommendation on the revised RINF Decision Report Recurrent reporting on monitoring and implementation of RINF issued	100% for 2014 Decision implementation		Availability of reliable information concerning railway fixed installations regarding a possible future use for compatibility checks. Possibility to add partially new parameters needed for compatibility check Further progress in the population of RINF in accordance with the 2014 Decision
Development of the European Vehicle Register EVR	Implementation of the new EVR specifications started	IA adopted and implementation of the EVR specifications started (Preliminary analysis for IT development)	IT development ongoing		EVR fully operational in 2021

ERATV	Revision of the ERATV Decision and alignment with OSS started	Revision of the ERATV Decision and alignment with OSS started	Analysis for IT development done ERATV interfaced with OSS in order to support issuing of Vehicle Authorisations		Revised ERATV development started 2019
ERADIS development-Functioning system for registration of EC declarations of verification of subsystems, EC declarations of conformity of interoperability constituents, EC declarations of suitability of use of interoperability constituents, Authorisation for placing in service and RU Service quality performance reports	Number of valid and accessible records in the database. Strategic review of future of ERADIS database implemented according to planned milestones	Procedure and dedicated work instructions if needed developed. Strategic review of future of ERADIS information databases substantially complete	Analysis for IT development done ERADIS interfaced with OSS in order to support Single Safety Certificates		Published and accurate information supports an open, European rail sector, including NSA cross border supervision and assessment. Improvement of consistency of approaches regarding user's support management Future of individual databases aligned with OSS and COR
PRM inventory of assets (IoA)	Completion of specifications	IoA specifications in force.			Availability to the public of information of PRM TSI implementation

Single Rules Database (SRD)	SRD specifications finalized SRD IT development started	SRD specifications finalized SRD IT development started	SRD operational (subject to resources availability)		Transparency of rules SRD operational by June 2019
TAF TSI	% deliverables available	Intermediate report on the TAF TSI revision	New baseline available		Availability of relevant reliable information for freight operation
TAP TSI	Delivery of intermediate report TSI	Intermediate report on the TAP TSI revision	New baseline available		TAP TSI open points closed, link TAP TSI PRM IoA
Program definition for management of multimodal transport data	Programme defined	Program plan adopted	Reports as per project plan		Facilitate multimodal mobility
User support for SAIT, SIS, ERAIL and ERADIS	Number of support requests	New IMS procedures	Full support provided for the requests		

5.3.3 Activity 3 – Implementing the harmonised regulatory SERA technical framework (under 4RP) – Resources

FTE	Budget Title 3 (Operational)	Total budget
43		

Draft 2.1

5.4 Activity 4 – Monitoring, evaluating and reporting

5.4.1 Overview of Activity 4 – Monitoring, evaluating and reporting

This activity serves the “Check” function in the P-D-C-A cycle and responds to the need of collecting, using and sharing objective evidence related to the Agency’s activities in view of continuous improvement.

As a continuation of 2018, the Agency will be making progress in substantiating each programme through an impact assessment driven logic, starting from the problems/needs, the objectives, possible options, leading to the proposed list of projects, with their respective ordering in time and the overall envisaged financial envelope.

A prioritisation process will be put in place in 2019. This will take into consideration the requests driven by legislation, as well as the evidence collected, at program level, on the expected impacts for the railway sector (fast track B/C) and the estimated financial envelope needed.

The prioritisation process will involve criteria/keys at the level of the Agency in case of insufficient resources or changing priorities, mainly based on optimizing the resource use at project level, while taking into consideration the overall impacts of the programmes. The prioritisation process will be made transparent to external stakeholders and will involve the Management Board through a dedicated workshop.

Activity 4 will also facilitate the collection of evidence for performing the impact assessment for individual decisions (recommendations, opinions) and for ex post evaluations, as required.

An important component of activity 4 is linked to the monitoring of outputs, outcomes and impacts, which will be reflected in several reports.

This activity also covers the monitoring of actors, and in particular regulatory bodies and assessment bodies.

In order to increase the trust in the work performed by NoBos, the Agency will further support the implementation of the scheme for accreditation and recognition and progressively put in place the monitoring of NoBos. At the same time, the Agency will carry out a study on conformity assessment modules.

Following the pilot for NSA monitoring in 2018 the Agency will be operating the NSA monitoring scheme fully in 2019. This will be an important element in developing shared understanding of the processes and framework across the Union.

It is anticipated that the NIB peer review scheme will also be fully operational in 2019 and the Agency will continue to provide secretarial support for the scheme.

In order to ensure that we extract the maximum learning from the work of the National Investigation Bodies the Agency will continue the work initiated in 2018 to systematically review the investigation reports so that we can see what lessons can be shared at a European level.

5.4.2 Activity 4 – Monitoring, evaluating and reporting - Objectives, Indicators, expected outcomes and outputs

Objective 4.1 - Ensuring a prioritised efficient portfolio of the Agency's activities, using an evidence-based decision-making for the benefit of the railway system and customers					
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2018/New task</i>	<i>Target 2019</i>	<i>1st half 2019</i>	<i>Expected outcome</i>
ERA programme assessment in view of prioritisation	% of ERA programmes assessed in view of prioritisation	NT	75%		Agency focusing on those objectives/programs with the highest positive impact for the railway sector
Impact assessments for recommendations and opinions	% of issued recommendations and opinions accompanied by an impact assessment	100%	100%		Agency delivering recommendations and opinions with the highest positive impact for the railway sector
Ex post evaluations for selected topics	No. of ex post evaluations performed	According to the needs identified			Better understanding of the legislation's actual impacts and potential underlying drivers
Economic Steering Group and Task Forces	Number of Task Force reports used for substantiating the fast track B/C assumptions	1	1		Agency focusing on those objectives/programs with the highest positive

					impact for the railway sector
Study on main categories of costs related to safety of railway	Study on main costs supported by the railway stakeholders related to their management of safety.	NT	Study delivered according to specifications		Agency focusing on those objectives/programs with the highest positive impact for the railway sector

Objective 4.2 - Monitoring and reporting on the Agency's outputs, outcomes and impacts					
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2018/New task</i>	<i>Target 2019</i>	<i>1st half 2019</i>	<i>Expected outcome</i>
Railway system data inventory (RSDI)	Fully functional RSDI	100%	100%		Traceable and harmonised evidence for decision-making
CSI Gathering and Maintenance	CSI analysis	CSI collection	Annual CSI analysis delivered timely		Better informed decision-making based on CSIs analysis
CSTs Assessment	Timely delivery of report	Annual assessment report delivered	Annual assessment report timely delivered		Better informed decision-making based on CSTs analysis
Safety performance report	Timely delivery of report	Safety report 2017	Better informed decision-making based on CSIs analysis		Better understanding of safety performance

Support to Eurostat	% of request of info/data on CSIs addressed	Delivery of 2017 CSI data for Eurostat Statistics Portal as per the MoU by 12/2018 plus ad hoc requests	100% of requests addressed		MoU with Eurostat respected as regards CSI data transfer
Safety briefing development	% of safety briefing requests from DG MOVE addressed	Methodology developed, including an interface with the Member States in order to gather information to be used in the notes.	100% of requests addressed		DG MOVE requests addressed

Objective 4.3 - Monitoring regulatory bodies (NSA/NIB)					
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2018/New task</i>	<i>Target 2019</i>	<i>1st half 2019</i>	<i>Expected outcome</i>
Annual Safety Performance review meetings with NSAs following feedback from NSAs					
Support the development of a system for the NIB Peer review	Closing the issues submitted to the Agency : number of issues closed/number of issues submitted	<ul style="list-style-type: none"> - Support the pilot program managed and undertaken by NIBs (2 or 3 pilot peer reviews) - Develop and implement the IMS procedure for 	<ul style="list-style-type: none"> - Support the running of peer review by providing advices upon requests - Secretary tasks in accordance with the 		Harmonisation of NIB performance and approach by an increased confidence on investigation reports and recommendations. Those reports and

		ensuring support in 2019.	implemented IMS procedure.		recommendations being deemed effective for providing inputs to railway actors for ensuring the lessons learning.
Systematic review of NIB Accidents investigation reports	No. of 2017 final reports uploaded in ERAIL / reports analysed	Building methodology Building analytical capability Testing methodology on 2016 reports. Functional specification for a supportive IT tool	100%		Specific report including the result of the analysis
"Monitoring of the performance and decision-making of national safety authorities" (NSA audit according to Agency Reg. Art. 33). Delivery of NSA Audits within 3-years cycle 2019-2021	% of audits delivered.	Test and training prior to implementation of the scheme - Training of auditors - Running 2 or 3 pilots audits with voluntary NSAs - Evaluation of the pilots and adjustment of IMS processes	10 audits		Closer Agency/NSA collaboration.

<i>Objective 4.4 - Monitoring assessment bodies (NOBO, ASBO, ECM Certification, recognition bodies, a.o.)</i>					
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2018/New task</i>	<i>Target 2019</i>	<i>1st half 2019</i>	<i>Expected outcome</i>
Accreditation/recognition scheme for NoBos and CSM RA AsBos	Recommendations/reports delivered	Accreditation scheme follow-up implementation and update	Accreditation scheme follow-up implementation and update		Increased NoBos work quality and trust
Monitoring the quality of works performed by NoBos	Recommendations/reports delivered	Audit and inspections ongoing			Increased NoBos work quality and trust
CSM Risk assessment: Support to implementation As support for a more effective implementation of CSM Risk Assessment, facilitate the establishment and operation of a peer evaluation of recognition bodies according to the art 14 of the Regulation 402/2013. This peer evaluation aims at providing an increased assurance on the capabilities of recognised assessment bodies through the evaluation of the	Delivery of peer evaluation reports.	Test and training prior to implementation of the scheme, which has been developed in 2017: - Training of peer evaluators - Running of 2 pilots peer reviews - Evaluation of the pilots and adjustment of procedures - Develop and implement the IMS procedure for	Running of peer evaluation - Support the running of peer review by providing advices upon requests - Secretary and cooperation tasks in accordance with the implemented IMS procedure.		Establishment of a stable peer evaluation to ensure harmonisation between accreditation and recognition as required by Reg. (EU) 402/2013. Therefore this will create confidence on recognised assessment bodies

control of the recognition bodies put in place by the MS.		ensuring support in 2019.			
---	--	---------------------------	--	--	--

Draft 2.1

5.4.3 Activity 4 – Monitoring, evaluating and reporting – Resources

FTE	Budget Title 3 (Operational)	Total budget
20		

Draft 2.1

5.5 Activity 5 – Delivering efficient and effective services

5.5.1 Overview of Activity 5 – Delivering efficient and effective services

The horizontal activities supporting the Executive Director and the Agency are ensuring good governance, further implementing and maintaining the Integrated Management System (IMS), and deploying the communications strategy. This activity also covers areas such as human resources, procurement, finance, accounting, ICT and facilities.

These horizontal actions and services support in general the Agency as a whole, and more particularly, the core business in increasing the efficiency in outputs.

Draft 2.1

5.5.2 Activity 5 – Delivering efficient and effective services

Objective 5.1 - Ensuring good corporate governance (including legal, Board, appeals, arbitration, business planning, auditing, a.o.)					
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2018/New task</i>	<i>Target 2019</i>	<i>1st half 2019</i>	<i>Expected outcome</i>
Legal advice and opinions	% legal advice and opinions delivered in time according to the process or procedure	100%	100%		Ensuring compliance of the Agency's activities with the relevant legal frameworks at national and European level
Planning, monitoring and reporting	Timely delivery of the SPD, quarterly reports and AAR	100%	100%	X AAR	Transparency on the outcomes/impacts of Agency's work in the railway system

Objective 5.2 - Ensuring further implementation of the Agency's Integrated Management System (IMS)					
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2018/New task</i>	<i>Target 2019</i>	<i>1st half 2019</i>	<i>Expected outcome</i>

Documenting, implementing, reviewing processes and procedures, and continuously reviewing related improvements. Maintaining the ISO 9001 Certification	% in line with the relevant roadmaps including 3 rd party audit implementation plan	100%	100%		Agency as a reliable and trustworthy business partner for all stakeholders
---	--	------	------	--	--

<i>Objective 5.3 - Ensuring sound management of the Agency's human and financial resources, ICT services and facilities</i>					
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2018/New task</i>	<i>Target 2019</i>	<i>1st half 2019</i>	<i>Expected outcome</i>
Number of selection procedures planned and carried out in a year	% implementation of the establishment plan	96%	96%		Full use of the available and planned human resources
	X months as an average length of a selection procedure	3 months	3 months		
Average number of training days per staff member (formal training and language courses)	Min. average number of training days per staff member	8	8		Continuous improvement of staff skills and knowledge

Annual budget executed as planned	% of the annual appropriations committed	95%	95%	Efficient use of financial resources
	% carry-over of payment appropriations	<10% for T1; <20% for T2; <30% for T3	<10% for T1; <20% for T2; <30% for T3	
	% of execution of C8 payment appropriations	95%	95%	
Secured ICT environment	Number of security incidents causing loss of data, business disruption or public embarrassment	0 incidents	0 incidents	Secure working environment

Objective 5.4 - Ensuring efficient and effective communication (internal and corporate)					
<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Achieved in 2018/New task</i>	<i>Target 2019</i>	<i>1st half 2019</i>	<i>Expected outcome</i>
Further implementation of the communication strategy	% deployment according to the 2019 plan	95%	95%		A better outreach of the Agency's activities and deliverables
Communication/dissemination plan 2019	% delivered to MB in January 2020	100%	100%		A better outreach of the Agency's activities and deliverables

5.5.3 Activity 5 – Delivering efficient and effective services – Resources

FTE	Budget Title 3 (Operational)	Total budget
31		

Draft 2.1

Annexes

Annex I: Resource allocation

1. Multi-annual resource allocation

The communication COM (2013)519 of 10/07/2013 on the programming of human and financial resources for decentralised agencies 2014-2020 contains the following planning for the Agency:

Year	2013	2014	2015	2016	2017	2018	2019	2020
Budget (Mio€)	25,007	25,007	25,613	26,000	26,000	26,250	26,500	26,750
Establishment Plan (TAs)	143	140	137	134	139	148	148	148

2. Resource allocation 2019³ (indicative⁴)

Activity	Unit Staff	DIRECT COSTS		INDIRECT COSTS		TOTAL BUDGET 2019 PER ACTIVITIES
	FTE	CHAPTER 30	CHAPTER 31	TITLE 1 & TITLE 2		
Activity 1 – Contributing to shaping target reference and global reference for the EU rail system	29,00					
Activity 2 – Developing the harmonised regulatory SERA technical framework	67,00					
Activity 3 – Preparing and implementing the harmonised regulatory SERA framework (under 4RP)	43,00					
Activity 4 – Monitoring, evaluating and reporting	20,00					
Activity 5 – Delivering efficient and effective services	31,00					
Grand Total	190,00	-	-	22.642.000		32.214.290

³ General disclaimer: the Agency's final budget is subject to the adoption by the Budgetary Authority of the general EU budget.

⁴ The details which are not yet available mid-January, will be added in a later draft, idem for Annex II.

Annex II: Financial Resources 2019-2021

Table 1 – Expenditure

<i>Expenditure</i>	<i>2018</i>		<i>2019</i>	
	<i>Commitment appropriations</i>	<i>Payment appropriations</i>	<i>Commitment appropriations</i>	<i>Payment appropriations</i>
Title I	18 790 000	18 790 000	19 892 000	19 892 000
Title II	2 750 000	2 750 000	2 750 000	2 750 000
Title III	7 253 243	7 253 243	9 572 290	9 572 290
Total expenditure	28 793 243	29 793 243	32 214 290	32 214 290

Table 2 – Revenue

<i>Revenues</i>	2018	2019
	Revenues estimated by the agency	Budget Forecast
EU contribution	28 135 398	27 780 722
Other revenue	657 845	4 433 568
Total revenues	28 793 243	32 214 290

<i>REVENUES</i>	2017	2018	2019		VAR 2019 /2018	Envisaged 2020	Envisaged 2021
	Executed Budget	Revenues estimated by the agency	As requested by the agency	Budget Forecast			
1 REVENUE FROM FEES AND CHARGES			3 775 165				
2. EU CONTRIBUTION		27 757 184	27 780 722				
of which Administrative (Title 1 and Title 2)							
of which Operational (Title 3)							

of which assigned revenues deriving from previous years' surpluses		387 214	80 722				
3 THIRD COUNTRIES CONTRIBUTION (incl. EFTA and candidate countries)		657 845	658 403				
of which EFTA		657 845	658 403				
of which Candidate Countries							
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		28 793 243	32 214 290				

Draft 2.1

Table 3 – Budget outturn and cancellation of appropriations

<i>Budget outturn</i>	<i>2015</i>	<i>2016</i>	<i>2017</i>
Reserve from the previous years' surplus (+)	787 016	357 347	378 214
Revenue actually received (+)	26 592 262	27 784 591	31 930 148
Payments made (-)	-23 733 926	- 25 481 829	-27 143 336
Carry-over of appropriations (-)	-2 642 337	- 2 221 313	- 4 948 422
Cancellation of appropriations carried over (+)	93 602	111 021	64 812
Adjustment for carry over of assigned revenue appropriations from previous year (+)	50 175	187 333	179 832
Exchange rate differences (+/-)	-2 429	- 1 588	- 2 312
Adjustment for negative balance from previous year (-)	-787 016	- 357 347	-378 214
Total	3 57 347	378 215	80 722

Annex III: Human Resources 2019-2021

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

Staff population		Staff population in voted Budget 2016	Staff population in voted Budget 2017	Staff population in Draft EU Budget 2018	Staff population envisaged in 2019	Staff population envisaged in 2020	Staff population envisaged in 2021
Officials	AD						
	AST						
	AST/SC						
TA	AD	99	103	111	111	111	111
	AST	36	36	37	37	37	37
	AST/SC	0	0	0	0	0	0
Total TA		135	139	148	148	148	148
CA GFIV		15	21	19	17	17	17
CA GF III		5	8	8	8	8	8
CA GF II		7	10	10	10	10	10
CA GF I		3	3	3	3	3	3
Total CA		30	42	40	38	38	38
SNE		4	4	4	4	4	4
Structural service		7	10	10	10	10	10
Total		176	195	202	200	200	200
External staff for occasional replacement							

⁵. This category is not included in the breakdown of staff presented in 3.2 of this Programming Document.

Table 2 – Multi-annual staff policy plan 2019-2021

Function group and grade	2017		2018		2019		2020		2021	
	Authorised under the EU Budget		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										
AD 15						0		0		0
AD 14		1		1		1		1		1
AD 13										
AD 12		1		2		4		4		4
AD 11		5		6		7		8		10
AD 10		18		18		19		20		24
AD 9		33		32		32		34		32
AD 8		21		22		21		25		22
AD 7		14		15		15		10		12
AD 6		10		15		12		9		6
AD 5										
AD TOTAL		103		111		111		111		111
AST 11										
AST 10										
AST 9		3		3		3		2		3
AST 8		5		5		5		6		7
AST 7		4		4		5		6		7
AST 6		3		3		3		5		6
AST 5		8		8		8		9		9
AST 4		9		9		9		7		3
AST 3		3		4		4		2		0
AST 2		1		1						0
AST 1										

Function group and grade	2017		2018		2019		2020		2021	
	Authorised under the EU Budget		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
AST TOTAL		36		37		37		37		37
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		135		148		148		148		148

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. The main exceptions used to be for tasks where it is not clear that they are of a long term nature, tasks which do not require the post holder to have completed secondary education and situations where budgetary constraints do not allow for employing Temporary Agents. However, with the reduction in the number of posts for temporary Agents, there will be very limited scope for engaging staff for secretarial tasks (and increasingly also for assistant tasks) as Temporary Agents. It is therefore likely that most new staff in this area will be engaged as contract agents rather than using the new category AST or AST/SC;
- b) Temporary and Contract Agents are as far as possible treated in the same way.

In addition, it should be noted that the Agency does not employ officials. However, there are cases where EU officials have been seconded at their own request and have therefore acquired the status of Temporary Agent.

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 Temporary Agents and Contract Agents, the Financial Regulation (European Commission and the Agency), the Code of Good Administrative Behaviour and the data protection rules.

As nationals of Norway, Iceland and Liechtenstein are eligible for working for the Agency, it only exceptionally makes use of the general reserve lists established by EPSO.

The selection procedures for the recruitment 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. The General Implementing Provisions on the procedures governing the engagement and use of Contract staff at the European Railway Agency (N° 340/11.2010) was adopted on the 9th November 2010 and are expected to be replaced in the course of 2017.

The procedure on the selection of Temporary Agents and Contract Agents may be summarised as follows:

- *The drafting, translation⁶ and publication of a call for applications fixing amongst other specifications, whether the post is for short-term or long-term employment, eligibility and selection criteria, type and duration of contract and engagement FG and grade, references to the selection procedure (including participation to other assessment process if applicable, e.g. assessment centres for managerial posts). The Agency publishes the call for applications (as well as the names and roles in the selection committee⁷) on its website, IntraComm and the EPSO website. Calls for applications are also sent to other EU agencies, members of the Administrative Board, the permanent representations of Member States to the EU and*

⁶. Was introduced in the course of 2016.

⁷. *Id.*

national railway organisations. Calls for applications are also promoted through specialised press, when appropriate.

- *Applications are received only by e-mail and to be sent to a dedicated functional mailbox.*
- *A selection committee is nominated by the Executive Director and is composed of at least three members including the Head of Unit concerned, a representative from the Resources & Support Unit (usually from the HR Sector) and a representative nominated by the Staff Committee. In specific situations experts from outside the Agency are invited to be members of a selection committee. The role of the selection committee is to prepare the list of questions and the written test, to select on the basis of eligibility and selection criteria the candidates to be short listed or put on a reserve list, to conduct the interviews and written tests, to evaluate the replies and integrate the results of all related assessment, to decide on the suitability of applicants and make a recommendation to the Executive Director on the applicant (s) to be included in the shortlist or reserve list of successful candidates. As a general rule, all members of the selection committee will have followed the relevant training offered by DG HR.*
- *The compliance with impartiality, confidentiality and transparency of procedures is monitored by the HR Sector and deviances are transmitted to the Executive Director. For example: all members of the selection committee complete a 'declaration of confidentiality and conflict of interest' form.*
- *Interviews, written tests and, where applicable, additional assessment are organised by the HR Sector which provides logistic and administrative support including the scheduling of interviews/test(s), sending invitations to the applicants and responding to queries from invited applicants.*
- *Recommendations of the selection committee are prepared summarising the results of the assessment and drawing up a list of applicants considered suitable for the post. The evaluation sheets signed by the members of the Committee are annexed to the written recommendation.*
- *The Executive Director decides on the candidates to be entered on the shortlist or reserve list, appoints the successful candidate to fill a vacancy and offers the contract of employment.*
- *All candidates are informed of the result of their application.*
- *There is access to information regarding all stages of the selection procedure for candidates who so request it. Documents are kept by the HR Sector in accordance with the guidelines of the European Data Protection Supervisor.*
- *A candidate who considers that a mistake has been made regarding the eligibility of his/her application has 20 days to launch an appeal procedure. The selection committee has 45 calendar days to reply to requests for appeal.*
- *Data is processed in accordance with Regulation (EC) N°45/2001 of the European Parliament and of the Council of 18 December 2000 on the protection of individuals with regard to the processing of personal data by the Community institutions and bodies on the free movement of such data.*
- *The engagement procedure consists of telephone contact with the candidate, confirmation, by e-mail, and exchange of information using the personal data form to make an initial simulation of the monthly salary. The candidate is also required to complete a declaration of conflict of interest. The step at engagement level is calculated, a salary simulation is made, and the job offer is sent by post. An invitation for a pre-engagement medical check-up is sent together with a request for the necessary supporting document proving the successful candidate meets all provisions to be engaged. A contract of employment is then issued following the receipt of all relevant documentation and a medical 'fit to work' certificate to be signed by the AACC (by delegation from the MB) and the to be engaged staff member.*

A simplified procedure for the selection of Seconded National Experts is in the pipeline.

As the rules stipulate, before the secondment of an SNE is formalised, the Agency sends a letter to his/her employer requesting written approval of the secondment and also of the period of secondment concerned (Exchange of letters).

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, AD10, AD11 or on an exceptional basis, at grade AD12. However, except for the post as Executive Director, no post has so far been filled at a level above AD11.

In the Assistant function group, engagement at a grade higher than the one provided for 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 two year period and any further renewal will be 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 shall be 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

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 engaged Contract Agents for other tasks, such as:

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

Following the general principle stating that Temporary and Contract Agents are as far as possible treated in the same way, the distinction between short-term and long-term jobs for Contract Agents will follow the same logic as the one for Temporary Agents. As well, the initial contract will normally be for four years unless the duration of the foreseen tasks is shorter.

c. Seconded national experts⁸

SNEs are seconded from their national employer to the Agency's operational units on the basis of their specific competenc(i)es and technical expertise in the railway domain.

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.

In 2009, the Agency adopted a decision on the policy and the procedures governing the recruitment and use of seconded national experts in the Agency consolidating and simplifying the existing rules (Decision N° 237/2009). 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.

Types of key function:

- *Project Officer*

d. Trainees

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

⁸. SNEs are not employed by the Agency.

e. Structural service providers⁹

Staff FTE	Tasks	Description	PD per Year	Total PD per Year	Framework Contract	Expiring
6	Service Desk	User support and assistance	220	1320	ESP/EISD5 signed in May 2015	Date of signature, 3+1 Y
7	Senior Analyst Programmer	Writing/maintenance/prototyping of applications that reflect the specifications.	220	1540	ESP/EISD5 signed in May 2015	Date of signature, 3+1 Y
1	Webmaster	Creation and staging of web site	220	220	ESP/EISD5 signed in May 2015	Date of signature, 3+1 Y
1	Application Architect Designer	Design and development OSS	220	220	ESP/EISD5 signed in May 2015	Date of signature, 3+1 Y

B. Appraisal of performance and reclassification/promotions

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 applied for the first time for the appraisal and reclassification exercise taking place in 2016.

The 11th reclassification exercise took place in 2017 and 13 members of staff were reclassified. The present reclassification policy complies with the principles established in the Commission's model decision on reclassification of Temporary Agents. Since 2016, the Agency adopted rules for the reclassification of Contract Agents.

⁹ Structural service providers are not employed by the Agency.

Table 1 - Reclassification of temporary staff/promotion of officials

Category and grade	Staff in activity at 01.01.2017		How many staff members were promoted / reclassified in 2017 ¹⁰		Average number of years in grade of reclassified/promoted staff members
	officials	TA	officials	TA	
AD 16					
AD 15					
AD 14		1			
AD 13					
AD 12					
AD 11		3		1	5 years 1 month
AD 10		12		1	3 years 10 months
AD 9		25		2	5 years 2 months
AD 8		16		1	3 years 8 months
AD 7		20		3	5 years
AD 6		20			
AD 5					
Total AD		97			
AST 11					
AST 10					
AST 9		2			
AST 8		1			
AST 7		1		1	6 years 1 month
AST 6		3			
AST 5		7		1	4 years 5 months
AST 4		6			
AST 3		10		1	4 years 10 months
AST 2		6			
AST 1					

¹⁰. Reclassification decision 2018 to be taken in January 2019.

Total AST		36			
Total		133			

Table 2 - Reclassification of contract staff

Category and grade	Staff in activity at 01.01.2017		How many staff members were promoted / reclassified in 2017 ¹¹		Average number of years in grade of reclassified/promoted staff members
	officials	CA	officials	CA	
FG I		3			
FG II		6		2	5 years 2 months
FG III		9			
FG IV		12			
Total CA		30			

¹¹. *Reclassification decision 2017 to be taken in January 2018.*

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) enshrines two scenarios for internal mobility for TA 2(f). These are reassignment in the interest of the service and mobility following the internal publication of a post.

The Agency actively promotes internal mobility 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 that are 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 among agencies (Inter-agency Job Market)*

A number of the support staff who have left the Agency in previous years have accepted Temporary Agent positions in other agencies. In addition, the recent establishment of a number of new Joint Undertakings in Brussels has led to staff leaving and candidates refusing job offers from the Agency. On the other hand, many staff members who took up long-term Temporary Agent positions at the Agency come from other EU Agencies.

With the new implementing rules for 2(f) Temporary Agents, the Inter-Agency Job Market is no longer applicable.

3. *Mobility between the agencies and the institutions*

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

4. *Tables for 2017 (Temporary agents, contract agents and SNE's)*

	2017	
	New staff	Departing staff
Mobility within the agency	2	2
Mobility among agencies	0	2
Mobility between the agencies and the institutions	0	1
Other		
Total	2	5

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 recruitment 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.

ERA 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. As can be seen from the “All Staff” pie chart, the figures, based on the situation in 2017, are 62% male staff and 38% female staff.

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.

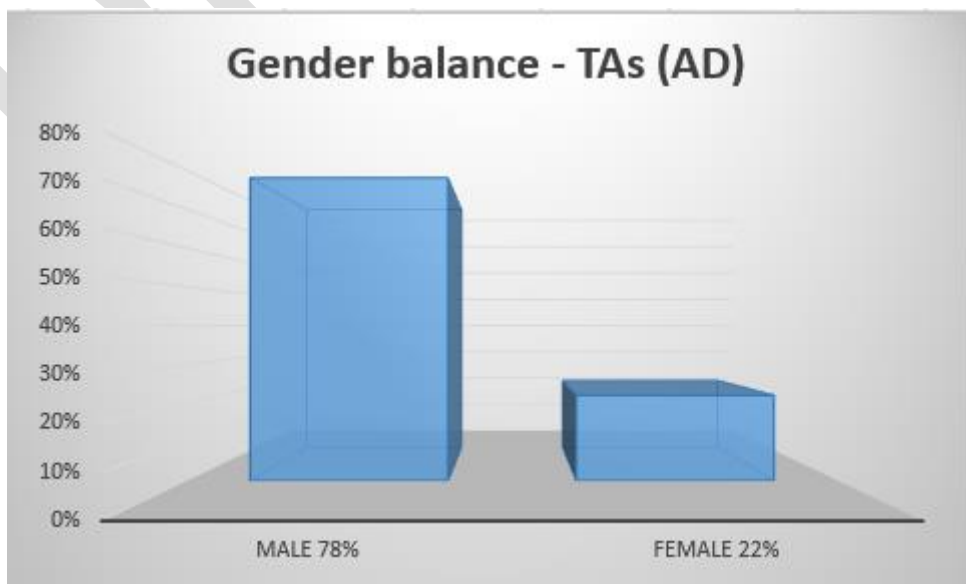
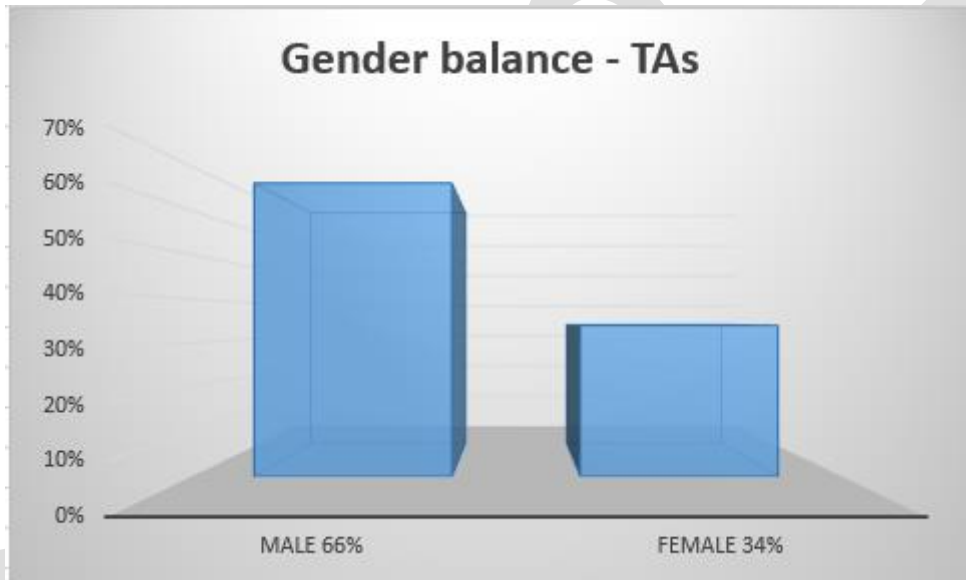
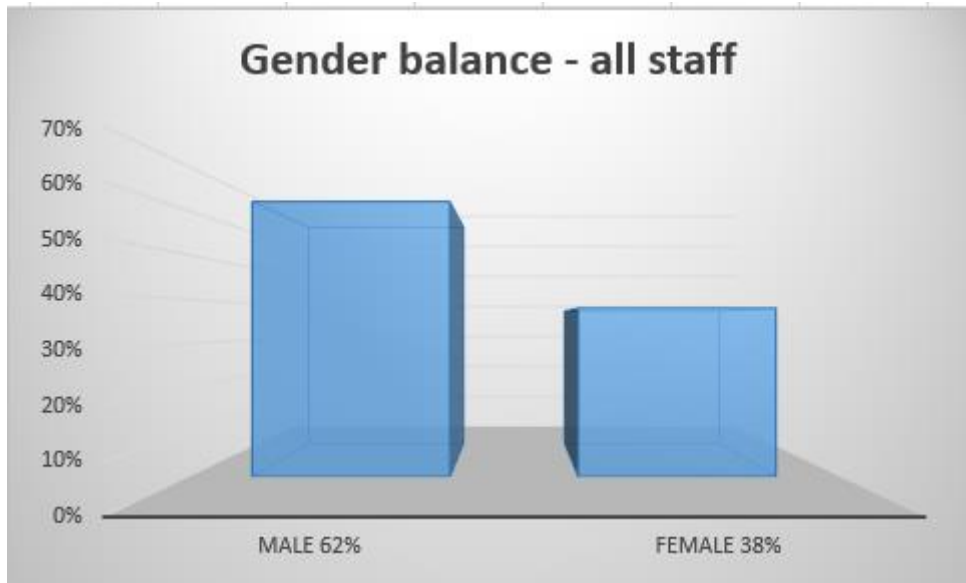
The Agency welcomes the European Commission’s new Diversity and Inclusion strategy in order to reach at least 40% women in its management by 1 November 2019. However, this strategy is not applicable to the Agency due to its size, type of contract (long-term) and limited possibility of mobility. The Agency nevertheless keeps this target for its entire staff and not only for its Management.

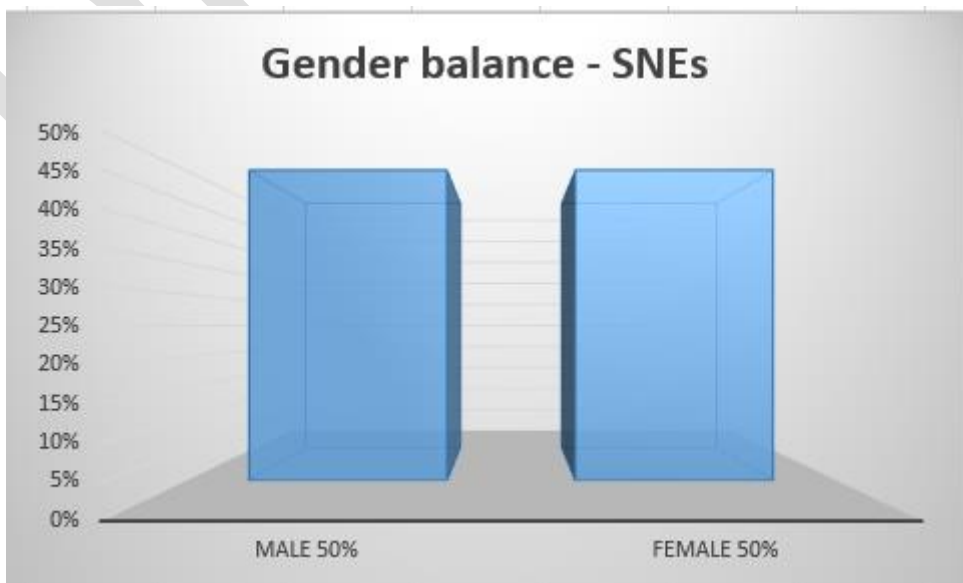
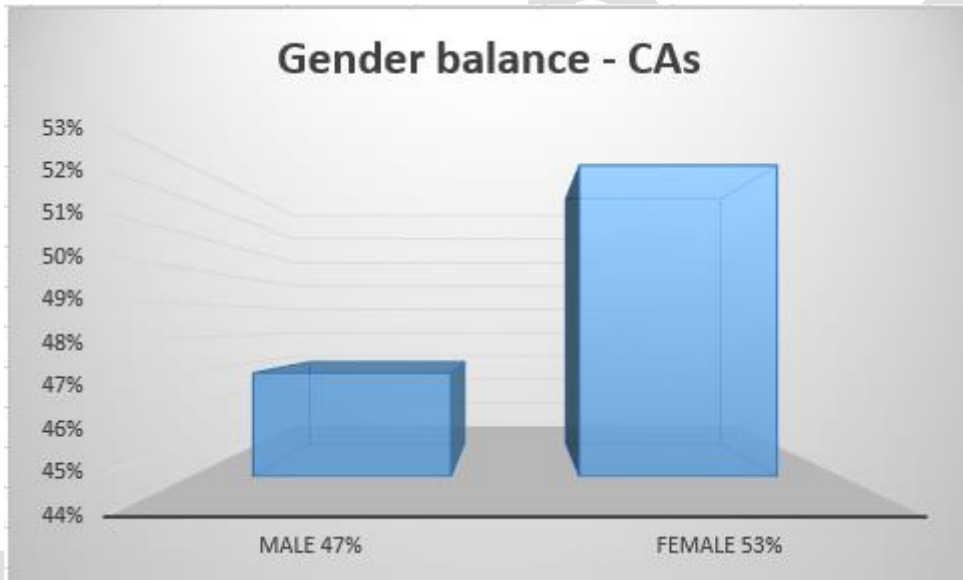
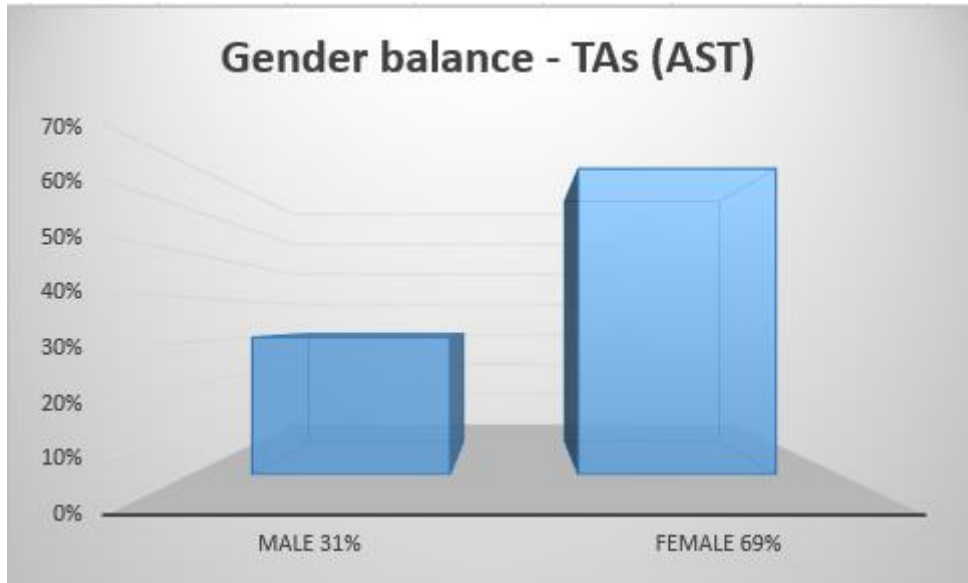
As gender balance across all staff is a concern for many Agencies, we expect a debate at the Network of Agencies in the near future.

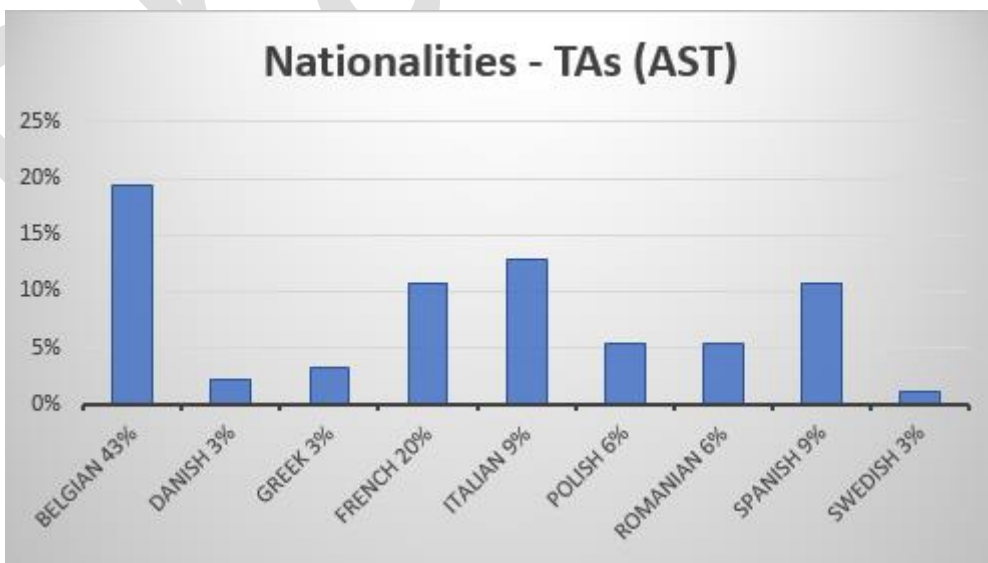
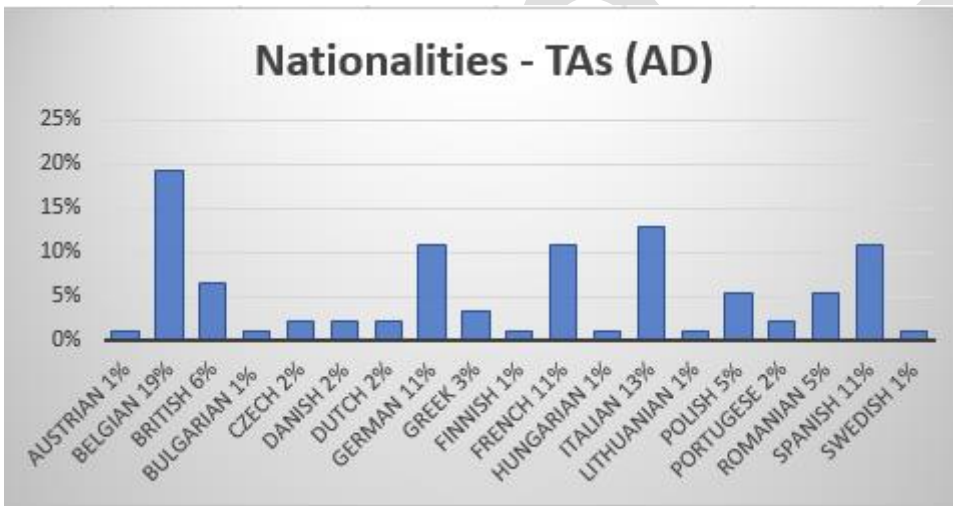
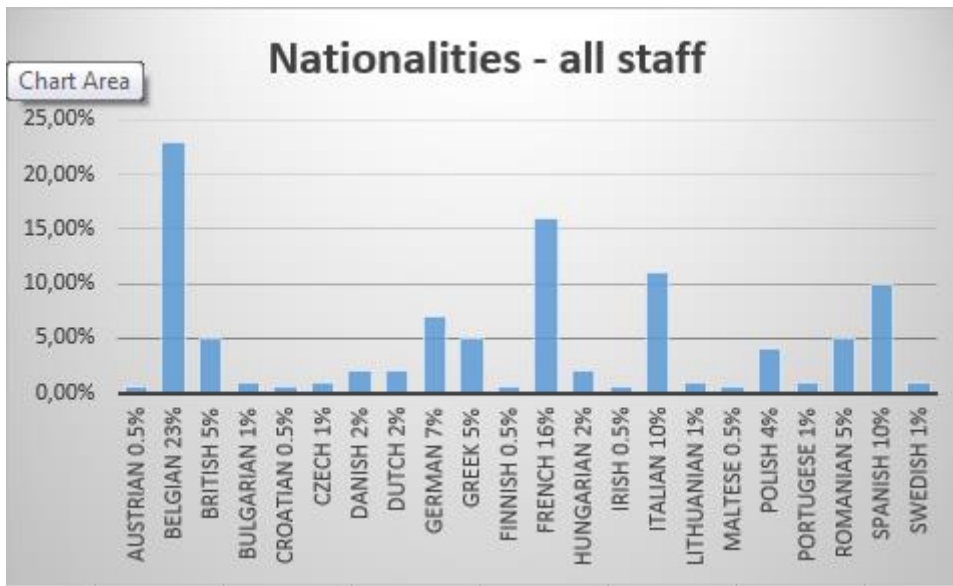
The Agency is participating to the EU “Platform for change”, initiated by the European Economic and Social Committee which was launched in 2017, to address gender equality in transport.

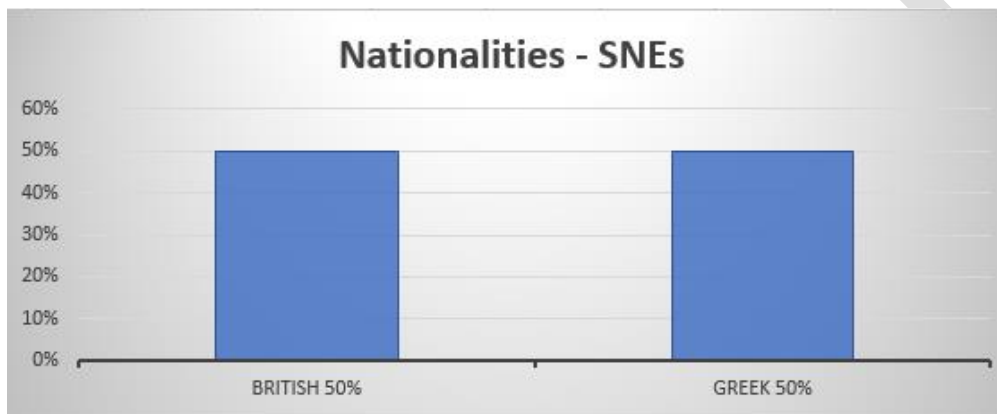
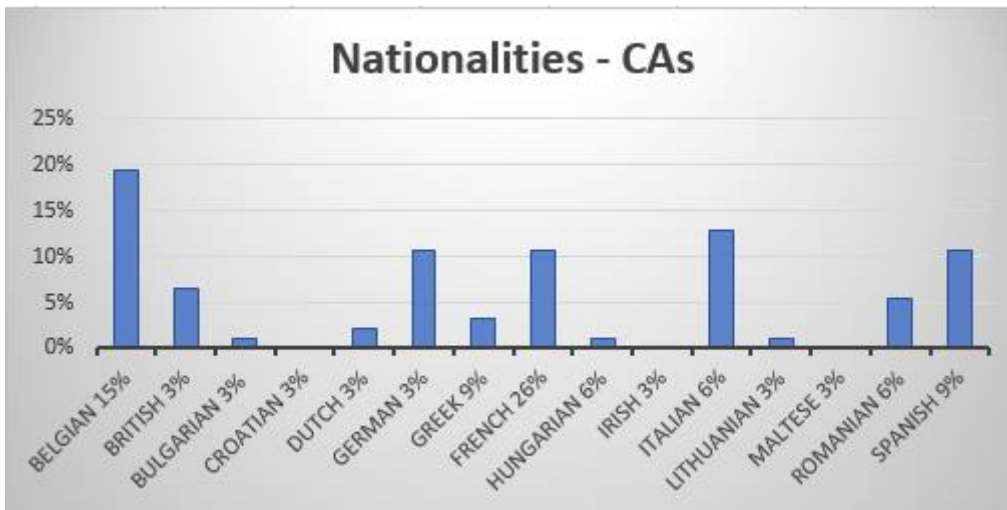
The Agency further actively supports initiatives to increase the attractiveness of the railway sector for women, and promotes gender diversity.

The current flexi-time policy and the Decision on teleworking of the Agency are designed to facilitate an improved work-life balance.









E. Schooling

There is no European School in Valenciennes where the Agency is located 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 'baccalaureate' awarded by the French Ministry of Education. There are facilities for international schooling in Lille but many staff members send their children to the European School in Brussels (and for that reason choose to live in Brussels and commute from there).

Draft 2.1

Annex V: Buildings

5.1.1 Current building(s)

	<i>Name, location and type of building</i>	<i>Other Comment</i>
Information to be provided per building:	Agency HQ, Valenciennes, 120 rue Marc Lefrancq	The Agency 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 2017: EUR 427.265,58 HT/year	
Type and duration of rental contract	1 year with tacit renewal	
Host country grant or support	No	
Present value of the building		

	<i>Name, location and type of building</i>	<i>Other Comment</i>
Information to be provided per building:	Rental of 90 parking places from SAEM Valenciennes	
Surface area (in square metres) Of which office space Of which non-office space	90 parking places	
Annual rent (in EUR)	In 2017: EUR 21.675,00 HT/year	
Type and duration of rental contract	1 year with tacit renewal	
Host country grant or support	No	
Present value of the building		

	<i>Name, location and type of building</i>	<i>Other Comment</i>
Information to be provided per building:	the Agency meeting premises, 299, Boulevard de Leeds – Lille	
Surface area (in square metres) Of which office space Of which non-office space	602,62 M ²	
Annual rent (in EUR)	In 2017: EUR 108.762,84 HT/year	

Type and duration of rental contract	Contract will end on 31/12/2023.	
Host country grant or support	No	
Present value of the building		

	<i>Name, location and type of building</i>	<i>Other Comment</i>
Information to be provided per building:	Rental of 8 parking places from Espace International	
Surface area (in square metres) Of which office space Of which non-office space	8 parking places	
Annual rent (in EUR)	In 2017: EUR 20.313,64 HT/year	
Type and duration of rental contract	Contract will end on 31/12/2023.	
Host country grant or support	No	
Present value of the building		

5.1.2 Building project in the planning phase

Since it has not yet been possible to find any alternative and viable solution for the Agency, a new lease agreement for the current Lille premises has been signed.

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. Discussions have started with Valenciennes Métropole to find alternative solutions for the headquarters.

Annex VI: Privileges and immunities

Agency privileges	Privileges granted to staff	
	Protocol of privileges and immunities / diplomatic status	Education / day care
	Not applicable	Not applicable

Draft 2.1

Annex VII: Risks 2019 (indicative¹²)

Title	Risk description Consequence/Cause		Activity/ Objective 2018	Impact (1-5)	Likelihood (1-5)	Inherent risk	Considering controls in place + effectiveness	Impact (1-5)	Likelihood (1-5)	Residual risk	Measures to achieve acceptable risk for management	Deadline	Date of origin
Inconsistent and late transposition of the 4th RWP in Member States	i) major shortcomings in the project planning (delays and possible complaints from stakeholders), ii) inadequate	(may be caused by) a) Insufficient preparedness of the Member States (e.g. roles,	Activity 1: Harmonised approach to Safety Activity 2: Removing technical barriers	5	4	Critical (20)	a) The key processes provides the possibility of different iteration in the assessment phase giving time to put in place and to have enough feedback from the audit scheme to be put	4	3	High (12)	a) Participation of the Agency in learning case phase - Identification/selection of SC and VA projects at national level with	a) June 2019 Oct 2017 c) 11/2017 for SSCs and VAs 02/2018	SPD 2016

¹² The risks identified in 2017 will be updated in the course of 2018, also to align with the new structure of the SPD. This information is currently not available.

	<p>use of resources</p> <p>iii) low quality of deliverables (VAs, Safety certificates-SC) which might lead to increase number of appeals to Agency decisions</p> <p>iv) Low political support/ stakeholders' reluctance</p> <p>V) Member States within a different area of use might be in a different state of transposition and/or different level of understanding, leading to unclarity in the process</p> <p>might represent a reputational risk for the</p>	<p>responsibilities, working methods) involved in delivering the key processes (i.e. issuing VA, safety certificates, checking ERTMS trackside files) to the specific requirements</p> <p>b) 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)</p>	<p>Objective 1: Preparing for the Single Safety Certificate under the Fourth Railway Package</p> <p>Objective 6: Preparing for Vehicle Authorisation under the Fourth Railway Package</p> <p>Objective 10: Increasing the Agency's role in the checking of ERTMS projects compliance with specifications onboard and trackside</p>				<p>in place for NSA and NOBO activities.</p> <p>b) Regular and structured meetings with the stakeholders (in particular NSAs, MSs, EC)</p> <p>c) Participation of the Agency in real cases authorisation.</p> <p>d) Monitoring MS progress towards conformity with the 4RWP</p> <p>e) Regular and structured meetings with the stakeholders(in particular NSAs, MSs, EC)</p> <p>f) A 4RWP Steering Committee involving all key stakeholders set up</p> <p>g) Coordination with NSA for detailed dissemination within each MS& organisation of dissemination workshops</p> <p>h) Communication campaigns in transport ministries</p>				<p>volunteering NSAs</p> <p>b) Development of clear guides for each of the 3 new tasks</p>	<p>for ERTMS trackside</p>	
--	---	---	--	--	--	--	---	--	--	--	--	----------------------------	--

	<p>Agency perceived as main responsible for issuing VA and SC across EU + the success of the Agency as European Authority depends on cooperation with MS + negative impact on the rail market)</p>						<p>i) Organisation of regional workshops/conferences (SERA)</p>						
--	---	--	--	--	--	--	---	--	--	--	--	--	--

<p>Secondary legislation (implementing acts) watered down by Member States</p>	<p>Insufficient legal framework for processing the applications for the SSC and VAs</p> <p>Ineffective and inconsistent implementation of the tasks regarding the 4RWP</p>	<p>(may be caused by)</p> <p>a) Agency proposal for the implementing acts on practical arrangements adopted without the essential requirements ensuring adequate implementation of the Interoperability and Safety Directives</p>	<p>Activity 1: Harmonised approach to Safety</p> <p>Activity 2: Removing technical barriers</p>	<p>5</p>	<p>4</p>	<p>Critical (20)</p>	<p>a) Regular and structured meetings with the stakeholders (in particular NSAs, MSs, EC)</p> <p>b) Participation of the Agency in real cases authorisation.</p> <p>c) Monitoring MS progress towards conformity with the 4RWP</p> <p>d) Regular and structured meetings with the stakeholders(in particular NSAs, MSs, EC)</p> <p>e) NSA's subgroups set up for developing proposals on</p>	<p>4</p>	<p>3</p>	<p>High (12)</p>	<p>a) Organising structured exchange of information with NSAs in the framework of NSA's subgroups</p> <p>b) Organising bilaterals with Member States to ensure the proposal for the implementing acts is supported by the majority of the MS</p> <p>c) Cooperate closely with the EC</p>	<p>a)-Sept 2017</p> <p>b)-d) Nov 2017</p>	<p>SPD 2017</p>
---	--	---	---	----------	----------	----------------------	--	----------	----------	------------------	--	---	-----------------



		<p>b) Due to inconsistent and late input from the NSAs on the content of the framework on cooperation agreements</p> <p>c) Inherent issues of legal translation of the 4RP technical pillar leading to a different interpretation of the meaning in different EU languages</p>	<p>Objective 1: Preparing for the Single Safety Certificate under the Fourth Railway Package</p> <p>Objective 6: Preparing for Vehicle Authorisation under the Fourth Railway Package</p>				<p>cooperation agreements</p> <p>f) Organisation of regional workshops/conferences (SERA)</p>			<p>to ensure that the intended meaning of the legal texts of the technical pillar is transposed in the implementing acts</p> <p>d) Consider proposing to the EC to escalate the matter at the level of the EU Council to promote adoption of the implementing acts</p>		
--	--	--	---	--	--	--	---	--	--	--	--	--

<p>Inadequate competences and ineffective allocation of staff</p>	<p>i) negative impact on the planning of current and future HR needs and skills requirements</p> <p>ii) lack of quality and delays of the agency current and future key outputs/objectives (e.g. implementation of railway registers, one single stop shop)</p> <p>iii) damage of the Agency reputation.</p>	<p>(may be caused by)</p> <p>a) Insufficient measures taken to ensure the necessary/right staff competences (e.g. especially for new areas of responsibilities) and</p>	<p>Activity 5: Evaluation, management and resources</p>	5	4	Critical (20)	4	2	Medium (8)	<p>a) Mid and long term - Continue the implementation of the competency management system project</p> <p>- Set-up of a pool of experts from NSAs;</p> <p>- Selection and engagement of staff with specific competences (as determined by the gap analysis)</p>	<p>a)</p> <p>06/2018 -12/2017</p> <p>-12/2017</p> <p>12/2107</p>	SPD 2016
		<p>b) Difficulty to recruit enough competent staff</p> <p>c) Not enough budget and headcount provided</p> <p>d) Insufficient information about the workload involved to</p>	<p>Objective 22: Ensuring sound management of the Agency's human and financial resources, ICT services and facilities</p>							<p>a) Competence management project ongoing (identification of competences for the VAs and SSCs; gap analysis; estimation of workload)</p> <p>b) Implementation of the simplified selection procedure</p> <p>c) Selection and engagement of CAs is ongoing</p> <p>d) Generic job description project ongoing</p>		

		perform the Agency tasks e) Insufficient resources in the HR sector									the selection and engagement process f) Workload analysis to be done, consequently reinforcement and reallocation of tasks within the HR Sector		
Corporate cyber security risk	• Temporary suspension, slowing down or delay on operational activities/services.	(May be caused by): Agency ICT application systems, including	Activity 5: Evaluation, management and resources	4	3	High (12)	Business Continuity Plan and IT Security policy in place	4	2	Medium (8)	Implementation of ICT strategy 2017-2020 with a focus on the measures regarding information	-end 4th quarter 2017-end 4th	SPD 2018

	• Loss of information	Agency registers disrupted by cyber attacks	Objective 22: Ensuring sound management of the Agency’s human and financial resources, ICT services and facilities								security governance (i.e. SECURIS @ERA).	quarter 2018	
Inappropriate data management	a) Inconsistent and unreliable datab) misinformed/uninformed management	(may be caused by) a) Inconsistent/inadequate management of external	Activity 4: A simplified access for customers	5	4	Critical (20)	• Consultants and staff member recruited to support the business owners and to develop a roadmap for further development and use of	4	3	High (12)	Implement an effective and consistent management of external data (development of a	30/12/2017	SPD 2017

	<p>decisionsc) Not delivering complete and accurate products/services d) Impose administrative burden to the rail sector</p>	<p>railway data (e.g. registers)b) Inadequate technical systems as well</p>	<p>Objective 14: Facilitating users' access to relevant data</p>				<p>Agency databases and registers;• RVRP project ongoing</p>				<p>specific program on management of railway data)</p>		
<p>Delay in reduction of national rules</p>	<ul style="list-style-type: none"> • Delay in achieving the specific requirements of interoperability • Discrimination among operators on the railway market 	<p>(May be caused by):</p> <ul style="list-style-type: none"> • Insufficient resources in the Agency and Member States (MS) to manage the process • Partial lack of cooperation from MS to contribute • Insufficient European standard framework regarding operational rules • Rules/require 	<p>Activity 2: Removing technical barriers</p>	<p>5</p>	<p>4</p>	<p>Critical (20)</p>	<ul style="list-style-type: none"> • Bilateral meetings in place with NSAs to support the clarifications of NTRs • Guidance developed under the project Notif-It • Structured approach and common criteria for cleaning up NTRs established 	<p>4</p>	<p>3</p>	<p>High (12)</p>	<p>a) Revision of the recommendation on OPE TSI</p> <p>b) Provide an user friendly tools for facilitating the notification of NTRs (i.e. creation of a single database rule)</p>	<p>a) 30/03/2018</p> <p>b) Development by end 2018</p> <p>Migration by 09/2019</p>	<p>SPD 2017</p>
			<p>Objective 7: Removing technical barriers</p>										

		ments coming from regulations outside the rail domain											
Noise reduction targets not achieved	<ul style="list-style-type: none"> Ineffective/noticeable reduction of noise generated by the rail freight wagons 	(May be caused by): <ul style="list-style-type: none"> Different/divergent 	Activity 2: Removing technical barriers	5	4	Critical (20)	<ul style="list-style-type: none"> TSIs on noise in force since 2011 Environmental Noise Directive 	4	3	High (12)	1. Cooperation with the Commission to define appropriate and reasonable	i) August 2017 ii) 2nd quarter 2018	SPD 2017



	<ul style="list-style-type: none"> Barriers to railway interoperability and EU railway market 	<p>stakeholders opinions to accommodate</p> <ul style="list-style-type: none"> Project with high economic implications for stakeholders (i.e. high costs implications) Unilateral measures taken by MSs against the reduction of railway noise (i.e. leading to barriers in interoperability) 	<p>Objective 7: Removing technical barriers</p>							<p>timescales for retrofitting of existing wagons</p> <ul style="list-style-type: none"> Adoption of delegated acts by the EC Recommendation of the Agency on revising NOI TSI 		
--	--	---	---	--	--	--	--	--	--	--	--	--

<p>Security requirements create new barriers</p>	<p>i) Delays or limits to the implementation of key objectives in the field of interoperability (i.e. removal of technical barriers, cleaning up of national rules)</p>	<p>(may be caused by)</p> <p>a) Potential occurrence of malicious acts affecting the rail sector</p>	<p>Activity 2: Removing technical barriers</p> <p>Activity 3: A single EU train control and communication system</p>									
	<p>ii) Member States could impose additional measures contradicting TSI or ERTMS specifications (e.g. KMS, ..)</p> <p>(even if reasons outside the Agency, could have negative consequences for the Agency as it increases the usual workload and affects its reputation as</p>	<p>b) Increase of (cyber) security attacks leads to development of additional security measure</p> <p>c) Security is an area under the competence of MS</p>	<p>Objectives 7: Removing technical barriers</p> <p>Objective 11: Ensuring interoperable and stable ERTMS</p>	<p>4</p>	<p>5</p>	<p>Critical (20)</p>	<p>• Safety requirements already in place</p> <p>• TSIs and CSMs are the available mechanisms to enable the implementation of an EU common approach on security</p>	<p>4</p>	<p>3</p>	<p>High (12)</p>	<p>Mapping of all the areas of interoperability that may be affected by the security issues</p>	<p>30/12/2017</p>

	the Agency is perceived as main responsible for implementation of interoperability)												
EU's railway acquis undermined as global reference	a) EU Railway Acquis not suitable for adoption by others as global reference	(may be caused by): a) EU Railway acquis unnecessarily complex	Activity 5: Evaluation, management and resources	3	4	High (12)	ISO and IEC have governance that is independent from ERA and the EC. EU Member States who are involved in ISO and IEC governance need to fulfil their obligations under	3	-3	Medium (9)	a) In the ongoing review and development of the EU interoperability and safety ensure	a) a1. first draft 12/2017 final version	SPD 2017

<p>for standardisation and regulation</p>	<p>b) • Tendency towards fragmentation of the rail sector and market for rail products; • Increased costs for rail products; • Slow innovation</p> <p>c) Europe may lose its role of leading global standardisation (e.g. products based on European standards may not accepted outside Europe) affecting the competitive position of Europe</p> <p>d) The EC and the Agency may lose their influence over standardisation'</p>	<p>and/or limited in scope</p> <p>b) Railway standards' content migrating from CEN-CENELEC to ISO IEC</p> <p>c) New emerging global standards may be influenced by stakeholders from outside Europe</p> <p>d) World trade agreements give precedence to international standards which may overrule the current EN standards</p>	<p>Objective 20: Ensuring that railway related research and International Standards are aligned with SERA and ERA objectives</p> <p>Objective 21: Support to the development and dissemination of the EU acquis</p>				<p>TBT to ensure the involvement of their rule makers (ERA and EC).</p> <p>International relations strategy and EC standards (RASCOP) platform in place at EC level</p> <p>International Strategy in place</p> <p>Agency taking a strong role in the EC Standardisation Platform (RASCOP) to ensure optimal development of standards and their alignment with mandatory rules and regulations</p>				<p>that the needs of the sector are met with the most viable and simple solutions in order that non-EU entities will be encouraged to adopt the same approach.</p> <p>a1) Develop together with the EC an Agency strategy supported by common positions for the development of the framework with a scope which is broad enough to be adopted outside EU</p> <p>a2) Contribute to railway related research activities to ensure that research needs relating to the single European railway area are covered in particular supporting S2R by reviewing</p>	<p>06/2018</p> <p>a2. according to the timescale for review of the S2R Master Plan</p> <p>b) ongoing through 2018</p> <p>c) as requested by the EC</p> <p>d) started & ongoing through 2018</p> <p>e)</p>	
--	---	---	---	--	--	--	---	--	--	--	--	---	--

	activities necessary to support the TSIs, CSMs and other EU railway regulations	referenced in or giving presumption of conformity to TSIs								developments for the future system and making proposals for the Multi-annual Plan (according to the times scale for reviewing of the Master plan)	ongoing through 2018	
										b) Actively promote the EU acquis - by developing relationships with entities outside the EU competent in matters covered by Agency activities - by managing EU instruments on behalf of the EC (e.g. IPA, EUMedrail)	Target dates	
										c) Actively assist the Commission on railway related international relations and trade negotiations disseminating and promoting the EU	a) Review of first draft by the EC and the Agency - sept. 2017	

<p>Ineffective contribution to innovation in the Sector</p>	<p>The Agency:a) fails to identify and promote the right targets for researchb) fails to ensure rail is integrated into the transport research agenda (including multi-modal solutions)c) fails to promote innovation adapted from outside the rail sectord) misses the "big picture" objectives for the target SERA railway system in the development of its work acts by continuing a</p>	<p>Activity 5: Evaluation, management and resources</p>													
		<p>Objective 20: Ensuring that railway related research and International Standards are aligned with SERA and ERA objectives</p>	4	4	High (16)	4	3	High (12)	<p>Implement the research strategya) contribute to the definition of the S2R multiannual plan by identifying subject areas for innovation to make rail safer and more competitiveb) develop in partnership with EC/ERRAC/Shift to Rail/ the framework conditions for the target shared railway system for 2030-2040 c) set-up with ERRAC, S2R and EC a Research and Innovation Platform of stakeholdersd) contribute to the evaluation of the deployment potential of proposed initiatives in each of the S2R calls e)</p>	<p>a) periodic review by the Governing Board of S2Rb) draft 12/2018 final version 12/2019c) end 2017d) according to S2R planninge) according to the planning of each IPf) + g) as required by the evolution of the innovations</p>	SPD 2016				

<p>Loss of interoperability after GSM-R</p>	<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 	<p>(may be caused by):</p> <p>a) No consensus on functionality, technical solution, migration strategy on the communication system</p>	<p>Activity 3: A single EU train control and communication system</p>	5	4	Critical (20)	<p>Coordination Working Group with all relevant stakeholders, that monitors:</p> <ul style="list-style-type: none"> - Technical developments (availability, suitability and sustainability of technologies) - Migration schedule (start and end dates for operations with GSM-R and other technologies, while maintaining interoperability) - Spectrum availability in EU <p>Specific studies (contracted or performed by the Agency) on key subjects, in particular on technical and spectrum matters</p> <p>Outside communication activities to create awareness of tasks and promote contributions, e.g. conferences, information on ERA website, workshops, etc.</p> <p>Development of a study on the feasibility of satcom</p>	4	3	High (12)	<p>Define and implement a new system to replace GSM-R</p>	<p>a) Report to the EC on the definition of the new system</p> <p>a1) First intermediate report</p> <p>a2) Second intermediate report</p> <p>b) Provide recommendation to the EC for changes in CCS TSI</p> <p>b1) First report</p> <p>b2) Second report</p> <p>c) Launch the study on technical architecture</p>	<p>2022</p> <p>a) 2018</p> <p>a1) end 2017</p> <p>a2) 06/2018</p> <p>b) 2021</p> <p>b1) end 2017</p> <p>b2) 06/2018</p> <p>c) Oct 2017</p>	SPD 2017
		<p>b) No suitable radio spectrum available, in particular for the transitional period</p> <p>c) Low level of contribution by stakeholders to the Agency project (i.e. definition of new communication</p>	<p>Objective 12: Establishing and improving communication backbone for railways</p>											

		on system), so that results of studies and standards are not sufficiently representativ e											
Unsatisfactory proposal on ERTMS approval	Dissatisfaction to NSAs and Infrastructure managers (IMs), possibly causing	(May be caused by) Inability: a) to reach	Activity 3: A single EU train control and communication system	4	3	High (12)	<ul style="list-style-type: none"> • Consultation with NSAs and IMs foreseen in the framework of the 4RWP • Provisional agreement reached with European 	4	3	High (12)	Apply process developed on a number of learning	01/02/2018 01/07/20	SPD 2017

	<p>shortfall to the Agency (i.e. refusal of IMs to pay the fees for ERTMS Trackside approval if the service provided by the Agency is not considered as value for money),</p> <p>Loss of credibility for the Agency and – in a worst case scenario - possible intervention from European Commission.</p>	<p>an agreement on a solution in line with legal text that satisfies both stakeholders.</p> <p>b) to source resources to carry out process</p>	<p>Objective 10: Increasing the Agency's role in the checking of ERTMS projects compliance with the specifications, onboard and trackside.</p>				<p>Commission on the scope of the ERTMS trackside approval</p> <ul style="list-style-type: none"> • Interim support from the EC Deployment Management Team acquired for Learning Cases • Workshops and bilaterals meetings to consult stakeholders (i.e. NSAs, IMs,) and update Agency proposal on ERTMS trackside approval process (Nov 2016 & Feb 2017) 			<p>cases, disseminate findings and improve process where necessary</p> <p>Set up of a pool of experts (via a framework contract)</p>	18 (FWC signed)		
<p>Authorisation and certification on workload</p>	<p>i) in case of low number of VAs applications>low fee income>negative impact on HR planning</p>	<p>(May be caused by)</p> <p>Uncertainty with regard to:</p> <p>a) the number of Vehicle</p>	<p>Activity 1: Harmonised approach to Safety</p> <p>Activity 2: Removing technical barriers</p>	5	3	Critical (15)	<p>a) Internal task force in charge of the overall coordination of the programme has been established in April 2015.</p> <p>b) Monthly progress reports to the ERA management team to identify potential</p>	5	2	High (10)	<p>a) Identification/selection of SC and VA projects at national level with volunteering NSAs</p> <p>c) 06/2018</p>	<p>a) Oct 2017</p> <p>c) 06/2018</p>	SPD 2016

	<p>ii) in case of higher number of VAs applications >legal deadlines for issuing VAs may not be met</p> <p>iii) ineffective application of 4RWP legislation (which could represent a reputational risk for the Agency perceived as main responsible for issuing VAs across EU)</p>	<p>authorisations (VAs) applications;</p> <p>b) the correct adoption and implementation of the implementing acts by the MS;</p>	<p>Objective 1: Preparing for the Single Safety Certificate</p> <p>Objective 6: Preparing for Vehicle Authorisation under the Fourth Railway Package</p>				<p>problems and decide adequate measures.</p> <p>c) Coordination meetings with the European Commission, NSAs and the AB have been put in place to ensure coherence of the programme.</p> <p>d) Survey to the manufacturer to estimate the number of VA based on the current ongoing tenders and those ones expected in the next years</p> <p>e) A 4RWP Steering Committee involving all key stakeholders set up</p>			<p>b) Mid and long term - Continue the implementation of the competency management system project</p> <ul style="list-style-type: none"> - Set-up of a pool of experts; - Selection and engagement of staff with specific competences (as determined by the gap analysis) 			
Delay in the implementation of One Stop Shop	<p>Delay- in the implementation of the Agency new tasks –i.e. granting safety certificates and issuing VA</p>	<p>(may be caused by)The operational availability of the ‘One stop shop’ tool is</p>	<p>Activity 1: Harmonised approach to Safety</p> <p>Activity 2: Removing technical barriers</p>	5	4	Critical (20)	<p>a) Application Architect Designer (ADD) appointed from September 2015b) Close cooperation between the ADD and the operational units to ensure the capture of the business</p>	5	1	Medium (5)	<p>a) Specification to be approved by the Management Board b) Develop a BCP that can be activated in case the OSS is not</p>	09/2017 06/2018	SPD 2016

		<p>delayed (i.e. development lifecycle, business requirements v1.0 not delivered according to plan, disagreement Agency/NSAs), practical arrangements documents not agreed by the end of 2016</p>	<p>Objective 1: Preparation of the Single Safety Certificate Objective 6: Preparing for Vehicle Authorisation under the Fourth Railway Package</p>			<p>needs as soon as possible) Participation of the Agency in the NSA subgroup on cooperation agreements to capture the views of the NSAs d) First set of OSS specification already available from May 2016 e) IT architecture in place allowing several iteration of specifications coming from new business needs f) Appointment of an external analyst to follow the OSS development g) Organisation of a dedicated workshops on the subject</p>				operational by the scheduled date		
<p>Agency planning and prioritisation</p>	<p>i) Need of reprioritisation of Agency objectives/project</p>	<p>(may be caused by) Unexpected external events</p>	<p>Activity 5: Evaluation, management and resources</p>	4	3	<p>High (12)</p> <ul style="list-style-type: none"> • Organisation of different stakeholders' networks • Stakeholder consultation workshop for the SPD • Prioritisation exercise ongoing; early assessment 	3	2	<p>Medium (6)</p>	<p>Implement a crisis management</p>	12/2017	<p>SPD 2016</p>

	cts ii) Delay in the implementation of Agency objectives/projects		Objective 19 Ensuring the implementation of the Agency's Integrated Management System (IMS) Objective 16: Ensuring a prioritised portfolio of the Agency activities				already started; • ERA Management Team monthly reports monitoring • Early engagement with the European Commission on the Agency strategic planning • Continue negotiation with the Commission the reviewed ERA priorities • Implementation of procedures describing the processes for planning, prioritising and reporting of Agency work				procedure		
Stakeholder alignment and	i) Inability of the Agency to expose the reality of its work and to	(may be caused by) a) Insufficient	Activity 5: Evaluation, management and resources	4	4	High (16)	• Communication plan/activities in place (e.g. organization of railway events, satisfaction surveys) • Regular feedback from	4	2	Medium (8)	a) Continue implementation of ERA	a) 12/2017	SPD 2016

Draft

<p>mobilisation</p>	<p>influence the way its message is received by the stakeholders</p> <p>ii) Difficulties:</p> <ul style="list-style-type: none"> to approach stakeholders who are resistant/reluctant/ambivalent to support Agency objectives; in maintaining stakeholders engagement <p>iv) low interest of stakeholders in Agency's work</p> <p>v) Inconsistency and low quality of the messages sent by the Agency</p>	<p>clear message and inaccurate reception of Agency message by different stakeholders concerning agency objectives/tasks)</p> <p>b) Inability to convey a common message on main Agency areas of activity</p>	<p>Objective 17: Ensuring efficient and effective communication</p>				<p>stakeholders/various dissemination activities</p> <ul style="list-style-type: none"> ERA policy in place 				<p>communication strategy action plan</p> <p>b) Establish a dashboard to monitor the processes' effectiveness and the achievement of the Agency objectives based on MS project</p> <p>c) Reinforcement of the culture by management commitment to the ERA policy (i.e. organise a satisfaction survey among participants to MT/HoS meetings and analyse the feedback)</p>	<p>b) 30/06/2017</p> <p>c) 12/2017</p>	
----------------------------	---	---	---	--	--	--	--	--	--	--	---	--	--

<p>Unjustified carry-overs higher than the acceptable levels of the CoA</p>	<p>i) Significant carry-overs of committed appropriations for operational expenditures putting annuality principles at risk (resulting in a potential negative revision of the Agency’s budget for the year n+1.) ii) Delays in the implementation of the Work Programme iii) High exposure to criticism from ECA and the Budgetary Authority (putting at risk the discharge process)</p>	<p>(may be caused by) Inappropriate and/or inadequate management of financial means, inappropriate procurement planning as well as delays in the related process</p>	<p>Activity 5: Evaluation, management and resources</p>	<p>Objective 22: Ensuring sound management of the Agency’s human and financial resources, ICT services and facilities</p>	<p>4</p>	<p>3</p>	<p>High (12)</p>	<p>4</p>	<p>2</p>	<p>Medium (8)</p>	<p>Development and implementation of a new AO/AOD reporting in the AAR to improve the monitoring of budgetary execution</p>	<p>Nov 2017</p>	<p>SPD 2016</p>
			<p>a) Continued close follow-up of the budgetary expenditure (regular budget reviews meetings); b) Databox tool for following the implementation of the WP (SPD) c) Creation of a daily budget execution with commitments and payment details available to each unit. d) Procurement and contract management procedure in place e) Assignment of yearly specific individual objectives for all HoUs in the appraisal reports related to the Agency budget execution (to be continued in 2018) including measured assessment criteria f) Draft new template of the Annual Activity Report by AO/AOD prepared by F&P and shared with ICC.</p>										

Incoherent message on Safety Culture	Incoherent message delivered to stakeholders which may cause reputational damage	(may be caused by) The work that is done by ERA, the way we do it or the way we communicate about it do not reflect a positive safety culture	Activity 1: Harmonised approach to Safety	4	3	High (12)	• Terms of Reference for the Common approach for safety • Project Plan (includes training and support for staff)	4	2	Medium (8)	Apply the Safety Culture principles across all activities of the Agency:a) Management Meeting day learning session (on safety culture)b) Detailed plan for internal staff awareness raising c) Prepare deliverables to support learning and awareness internally (communications materials, CDR objective, case studies, discussion cards) d) Safety Culture input to revision of CSMS for Supervision and Conformity Assessment, including guidance, in line with their project plan	a+b+c+d) -Nov 2017	SPD 2017
			Objective 4: Improving safety performance										

Strategic alignment of the sector in ERTMS	Damage to the reputation of ERTMS as a system which can jeopardize the full achievement of the Agency's ERTMS objectives	(May be caused by)	Activity 3: A single EU train control and communication system	4	3	High (12)	Signature of the Memorandum of Understanding (MoU) between the Agency, the EC and the European rail sector ERTMS Stakeholders Platform implemented	3	2	Medium (6)	a) Review the results of the MoU by developing an action plan with the Commission and the railway sector (carry out learning cases, refraining from specific implementation by IM and RU's, ensure all infrastructure is compatible with B3, commitment by supplier to offer error corrections in software)	a) 01/12/2017 b) 2020 (final deadline)	SPD 2017
		a) Delays in reaching milestones on cooperation (such as signing of Memorandum of Understandings),	Objective 11: Ensuring interoperable and stable ERTMS								b) Inability to have a common position on important matters (such as Automatic Train Operation).		

		implementati on											
Ethics and fraud	i) Increase of the likelihood of not compliance	(may be caused by)	Activity 5: Evaluation, management	5	2	High (10)	<ul style="list-style-type: none"> • Agency Anti-Fraud Strategy • Conflict of interest policy 	5	2	Medi	a) Implement the action plan of the Anti-fraud strategy	December 2017	SPD 2016

	with the rules regarding ethical obligations ii) Ineffective prevention and detection of potential fraud cases	a) insufficient awareness on ethical conduct/ guidance on specific areas b) Ineffective measures in place to prevent and detect fraud	and resources Objective 19: Ensuring legality of Agency's activities				for all staff ; Induction session on ethics • Code of Good Administrative behaviour • Practical guide to staff on ethics and conduct • A functional mailbox on ethical issues However, the existing rules are not promoted and measures are rarely taken to make sure that these rules are observed		um (10)	b) Maintain a fair and open culture through the application of the management commitment to the policy (i.e. ED to deliver a message to participants during the fraud prevention training to be organised in Nov 2016)		
--	---	--	---	--	--	--	---	--	------------	--	--	--

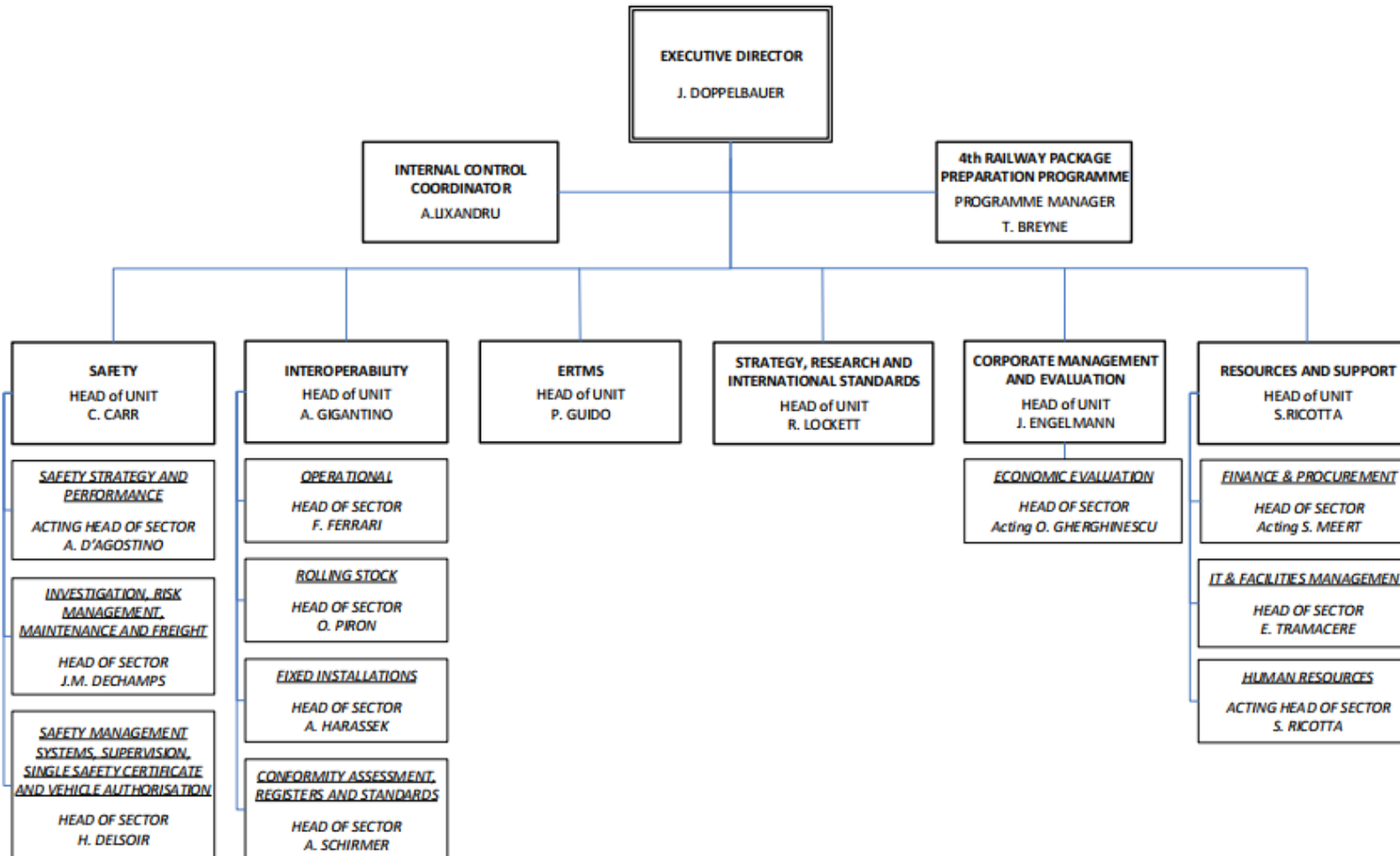
Draft

<p>Failure to meet EUMEDRA IL project objectives</p>	<ul style="list-style-type: none"> • Disruption in the implementation of project activities • Insufficient interest from the countries which will benefit of the project activities • Underspending concerning the EUMEDRA IL project funded under the European Neighbourhood Instrument - entail a reputational risk beyond the ordinary taking into account the amount involved (2 mill. Euros) and the international context 	<p>May be caused by:</p> <p>a) Shortage of staff with required knowledge and expertise to implement the project</p> <p>b) Complexity of the projects (i.e. long implementation period, diversity of stakeholders with different interests and different stages of administrative and railway development)</p>	<p>Objective 21: Support to the development and dissemination of EU acquis</p>	<p>4</p>	<p>3</p>	<p>High (12)</p>	<p>Recruitment of 3 new staff Internal redeployment of 1 & 1/2 FTE pending completion of the recruitment Programme plan in place</p>	<p>4</p>	<p>2</p>	<p>Medium (8)</p>	<p>a) Continue to redeploy Agency staff to assist in the implementation of project activities</p> <p>b) Call upon independent experts to assist the Agency in the implementation of the project</p> <p>c) Work closely with European External Action Service (EEAS) by inviting systematically to all meetings in the countries involved in the project</p>	<p>a) when needed upon Commission request</p> <p>b) 12/2018</p> <p>c) Periodic review with the EC and EEAS on the effectiveness of the measures -March & Sept 2018</p>	<p>SPD 2018</p>
---	--	--	--	----------	----------	------------------	--	----------	----------	-------------------	---	--	-----------------

Annex VIII: Procurement plan 2019 (indicative) [to be updated in a later draft – some information not available yet]

Draft 2.1

Annex IX: Organisation chart



ERA-Organisation Chart 16-11-2017

Annex X: Overview of objectives in 2019

<i>Activity 1 – Contributing to shaping target reference and global reference for the EU rail system</i>	<i>Activity 2 – Developing the harmonised regulatory SERA technical framework</i>	<i>Activity 3 – Preparing and implementing the harmonised regulatory SERA technical framework (under 4RP)</i>	<i>Activity 4 – Monitoring, evaluating and reporting</i>	<i>Activity 5 – Delivering efficient and effective services</i>
Aligning research and international standards with SERA and ERA objectives	Developing new and revised legal instruments (operation and management systems)	Ensuring the coordination of the Fourth Railway Package implementation	Ensuring a <u>prioritised efficient</u> portfolio of the Agency's activities, using an evidence-based decision-making for the benefit of the railway system and customers	Ensuring good corporate governance (including legal, Board, appeals, arbitration, business planning, auditing, <u>a.o.</u>)
Strengthening global cooperation	Developing new and revised technical specifications (fixed installations, telematics, operation and vehicles)	Preparing and implementing Single Safety Certificates	Monitoring and reporting on the Agency's outputs, outcomes and impacts	Ensuring further implementation of the Agency's Integrated Management System (IMS)
Contributing to the digital agenda (including facilitating access to data and benefitting from Big data)	Developing new and revised technical specifications (signaling, ERTMS system authority)	Preparing and implementing Vehicle Authorisation, including ERTMS on-board assessments	Monitoring regulatory bodies (NSA/NIB)	Ensuring sound management of the Agency's human and financial resources, ICT services and facilities
Enhancing and managing the security and safety interface	Establishing and improving the communication backbone for railways	Preparing and implementing trackside approvals	Monitoring assessment bodies (NOBO, ASBO, ECM Certification, recognition bodies, <u>a.o.</u>)	Ensuring <u>efficient and effective</u> communication (<u>internal and corporate</u>)
Enhancing and managing a safety culture through managing risk and influencing human and <u>organisational</u> factors	Disseminating the EU framework	Preparing, operating and maintaining a One-Stop-Shop (OSS) for certification and authorisation		
		Facilitating users' access to relevant data (registers)		