EUROPEAN UNION AGENCY FOR RAILWAYS

Making the railway system
work better for society.

European Union Agency for Railways

Single Programming Document 2020-2022

Contents

Foreword

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

The following aspects are key for the proposed multi-annual (2020-2022) and annual (2020) programming document:

(1) The 2020-2022 programming period marks the **full-fledged implementation** of the new tasks arising from the technical pillar of the 4th Railway Package together with the regular tasks in the field of railway safety and interoperability, as started in 2019.

(2) By 16 June 2020, all Member States will have transposed the provisions of the technical pillar of the 4th Railway Package, thus increasing the **precision of the Agency's forecasted volume and timing of work.** The Agency will continue to use a **flexible system** of managing its work and resources, based on a (re)prioritisation process, which was set up in 2018.

(3) The Agency will continue to work around the established **Plan-Do-Check-Act cycle** and ensure stability of its activities and multi-annual objectives based on this cycle, with the aim of increasing effectiveness and efficiency of its work programme. For several topic areas, as identified in coordination with the European Commission, **multi-annual roadmaps** will continue to be developed and serve as reference.

(4) As anticipated in 2019, the Agency has made efforts in order to fit in the SPD 2020 some projects from its "**reserve list**". This includes e.g. delivering the CSM for assessing the safety level and the safety performance of railway operators at national and Union level (as a follow up of the Common Occurrence Reporting system and the development of the Single Rules Database (SRD).

(5) The Agency will pay significant attention to **a regular monitoring of the SPD implementation** in terms of outputs, resource consumption and revenues, which can allow for possible adaptation of its work programme during the year. This has helped identifying additional budget pressure during 2019 and will continue to be performed in the framework of the current SPD. The Agency will strive to balance a difficult budget situation with a wide range of activities, including responding to priority requests.

(6) Should there be a final decision on granting additional budget to the Agency compared to the planned budget for 2020, the Agency will submit a proposal to the Management Board for deciding on the categories of expenditure and projects to which these resources could be allocated.

The Agency has a good understanding of the predicted transposition timeframe by the Member States and can quantify the volume and complexity of the projects for vehicle authorisation (VA) and safety certification (SSC) which cover the period from the second half of 2019 until mid-2020. However, it is not possible to quantify the volume and complexity for all the VA and SSC projects that will be covered in 2020. Therefore the estimates on the revenues, expenditure and associated inflows/outflows related to the fees and charges activities have to be regarded as conservative estimates, which are likely to be fine-tuned in the course of 2020. Should the volume of work for fees and charges related activities require resources which exceed the boundaries of its establishment plan, the Agency will resort to the pools of experts in order to cover the gap of resources.

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

Josef Doppelbauer

List of acronyms

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

Mission statement

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

With the entry into force of the **Fourth Railway Package technical pillar**, the role of the Agency is substantially extended. As of 16 June 2019, the Agency has become the EU authority responsible for issuing authorisations for placing railway vehicles on the market, single safety certificates for railway undertakings and ERTMS trackside approvals (initially for eight Member States, with the remaining ones following by 16 June, 2020).

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

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

Through its mission and actions, ERA is committed and contributes to the **EU 2020 agenda** and the areas of action related to competitiveness, digital agenda and, indirectly, to the ones related to climate change, by promoting a "green" mode of transport[1].
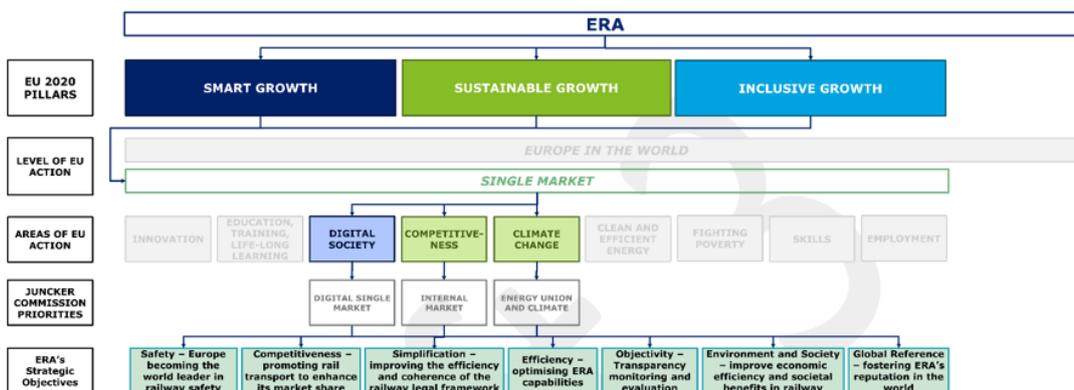
The Agency will closely follow any new developments in line with the EU agenda beyond 2020, which are closely linked to its mission and mandate, in particular any initiatives launched by the new European Commission.

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[1] EU Agencies Study, Deloitte, November 2016

Section 1.   General context

The Agency will continue to work in close cooperation with the EC in order to address, through multi-annual roadmaps, the main **EC policy priorities**. The 2020-2022 programming period has a significant importance for the Agency, as it involves **the full-fledged performance of its tasks** as EU-wide authority for safety certification, vehicle authorisation and ERTMS trackside approval, in addition to the existing tasks in the field of railway safety and interoperability as foreseen in the Technical Pillar of the Fourth Railway Package. With all the new legal instruments and structures for the technical pillar's legislative framework put in place and the One Stop Shop application available, the Agency has started to perform its role of authority for VA and SSC from June 2019.

As already highlighted starting with SPD 2019, the Agency will continue in 2020 to be in a start-up phase for the new stream of work related to the technical pillar of the 4th Railway Package, **with a high uncertainty regarding its financial impact**. In fact, only part of the Member States have transposed in 2019. Moreover, based on the projects received in the second half of 2019, it is not possible to accurately estimate the volume and timing of work for VA, SSC and ERTMS trackside approval requests in 2020. Therefore, the Agency keeps a conservative estimate of the revenues, expenditure and associated inflows/outflows related to the fees and charges activities. The probability to charge the maximum potential amounts is particularly uncertain, and the Agency will find itself in the situation of delivering the work in advance, while the fees will be received with a time lag of several months.

Taking into consideration the above-mentioned uncertainties, the Agency has put in place **a flexible** system of managing its work and resources, based on a **prioritization process and associated contingency criteria** and will continue to work under conservative financial management assumptions, as started in 2018. The Agency will continue in 2020 to put significant effort for prioritising its work and outputs in order to cope with **a limited budget compared to the needs**, considering the package of new tasks envisaged for the Agency compared to the past years (delivering safety certifications, vehicle authorisations and ERTMS trackside approvals; monitoring of NSAs; of NoBos; maintenance of One Stop Shop etc.). Should additional budget become available for 2020, the Agency will subject to the Management Board's decision a list of topics and categories of expenditure from its reserve list.

As anticipated in 2019, the Agency is ready to finance from the 2020 budget envelope projects which were kept in a reserve list in 2019, such as delivering the CSM for assessing the safety level and the safety performance of railway operators at national and Union level (as a follow up of the Common Occurrence Reporting system) and the development of the Single Rules Database.

The Agency will pay significant attention to a regular monitoring of the SPD implementation in terms of outputs, resource consumption and revenues, which can allow for agile responses and possible adaptation of its work programme during the year. The Agency will work together with the pool of experts for the mutual benefit of the cooperation between the Agency and the NSAs. This cooperation may also help the Agency in cases of capacity shortages.

Section 2. Multi-annual programming 2020-2022

2.1.   Structure of the multi-annual programme 2020-2022

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

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

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

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

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

2.2.   Content of the multi-annual programme 2020-2022

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

› **Objective 1.1 Strengthening global cooperation in rail**

For the period 2020-2022, the Agency shall support the European Commission's international strategy and policy objectives. According to Art. 43 and 44 of the ERA Regulation the Agency will promote European experiences, regulations and standards to 3rd parties and may establish respective administrative arrangements, such as the Administrative Arrangement concluded between the Agency and the Transport Community Treaty (TCT) Permanent Secretariat. The Agency will continue to support the strengthening of cooperation at a European level through the work with the European and international standardisation organisations, with OTIF and OSJD. The multi-annual planning of the activities related to global cooperation is to be covered by a dedicated roadmap, taking into account the EC priorities (see Objective 1.2).

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

› **Objective 1.2 Strategic Development**

The Agency, together with the European Commission, will continue to develop multi-annual roadmaps on several topics, in line with the EC policy objectives. These roadmaps are likely to strengthen the multi-annual view from the incoming programming documents of the Agency. In 2019 roadmaps have been started for priority topics endorsed by the Management Board related to safety and operations and harmonised technical specifications, whose findings are reflected in the annual chapter of the current SPD. The roadmap on data and digitalization was started in 2019 and will continue in 2020 with two pilot cases, which will further inform the work programme of the Agency in the field of data. For 2020 onwards, the Agency would like to explore together with the EC a roadmap on railway freight. Moreover, attention will be given to strengthening the multi-annual planning for the global cooperation (see Objective 1.1), as well as to the topic related to deployment of innovation in a cost-effective manner, taking into consideration the integrated vehicle-trackside-operations impacts.

› **Objective 1.3 Enhancing Railway Safety through positive safety culture and integration of human and organisational factors**

In order to continuously improve railway safety across Europe in a smart way, there is a need to consider both rules-based and behaviour-based safety. Promoting the integration of human and organisational factors expertise early in the design stage is key. In addition, a better understanding of workplace reality as influenced by human and organisational factors is needed. Therefore, lessons learned from accidents need to be systematically shared and a positive safety culture needs to be developed. In coming years all players will need to understand and adapt to new responsibilities, in particular linked to the gradual automation of human functions and its associated risks. This work shall be used in supporting and evaluating the ongoing research projects linked to automation and which

could deliver significant operational innovations for the freight sector at European level, such as train driver-less operation or removing the language barrier.

› **Objectives 1.4 Implementing the EUMedRail Project and 1.5 Implementing the IPA Project**
Both grants aim at increasing awareness and understanding of the EU regulatory framework outside the EU area. The current EUMedRail grant is due to finish end 2020. The Agency is therefore planning to conclude the work under this contract and is discussing with the EC about the possible actions in this field for 2021 onwards. The Agency has applied for a new grant under the IPA programme, with a budget of 450 000 euro over the period 2020-2022.

Activity 2 - Developing the harmonised regulatory SERA technical framework

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

To be able to anticipate adverse situations in the best possible way and to be able to implement rules and means to deal with them in a safe way, there is need for a sound understanding of risk management and the proper deployment of safety management systems. To achieve "smart safety" all available data on the performance of the railway system will have to be used to allow for better informed decision making. This will be supported by common safety methods for assessing the safety level and the safety performance of railway operators, that will be developed in 2020, as a follow up to the previous work on COR.

A top-down system approach is required if further harmonization of railway operations is envisaged at European level. It is considered important to identify a realistic target for which migration is considered economically feasible.

The Agency will continue to contribute to the risk management stream of work, including the risk assessment methodologies for the transport of dangerous goods, as well as to the stream of work on inspection, maintenance and repair of rolling stock through an accreditation scheme for ECMs.

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

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

Overall, the Agency acts as the reference point for all EU railway technical specifications (in partnership with EU standardisation organisations) and is becoming the reference point for EU-wide authorisation processes of railway vehicles. Feedback from the authorization activities will be a valuable input to the drafting and maintenance of more effective and efficient specifications. The focus on the cleaning up of the national technical rules, in particular of the vehicle-related ones, but also those for fixed installations which risk to detrimentally impact the successful implementation of the 4th Railway Package, remains key for the Agency and will be prioritized according to the expected benefits and impact on railway business.

Beginning of 2020, the Agency should receive from the European Commission a request regarding the next revision of the TSIs planned for 2022. This request will focus to address the strategic objectives a European Green Deal, an economy that works for people, a Europe fit for digital age and a stronger Europe in the world.

The revision and maintenance of the TSIs will be governed through the change control management process, which will also entail a prioritization of the change requests, depending on the magnitude of the issues to be solved and the added value for the stakeholders. The transparent and flexible change control management mechanism will enable the Agency to modulate workload as necessary with the demands on Vehicle Authorisation.

The Agency will further develop its coordination with the European Standardisation Bodies in order to enhance the efficiency, transparency and legal certainty of the EU mandatory (TSIs) and voluntary (ENs) framework. If necessary, within the scope of the EC request on Harmonised Standard, the Agency could issue detailed guidance according to Article 19(i) of the Interoperability Directive.

The continued service to support the Joint Network Secretariat will ensure emerging situations and issues are tackled in a responsive manner to safeguard the overall interoperability goal.

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

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

supported by the ERTMS Platform stakeholders. The 2022 revision of the CCS TSI will deliver the managed evolution of ERTMS, to include the identified game changers (e.g. ATO, Level 3, new radio system, security, and enhanced localisation) in a coherent way and investigate further opportunities in defining an overall future proof/modular CCS system architecture respecting the key principles of compatibility and protection of investments. The TSI OPE Appendix A will be amended for the integration of the game changers, focusing on ETCS L2/L3 for ERTMS alone networks and integration of ATO GoA 1 and 2.

With the project of the managed radio evolution, the Agency will prepare for the replacement of GSM-R enabling ETCS communications on IP based radio technologies, and to consolidate the requirements for the evolution of voice radio. The target is to deliver a proposal to the Commission on the definition of the new radio communication systems addressing the functional, technological, spectrum and migration aspects for the 2022 revision.

› **Objective 2.4 Disseminating and Training to support implementation of the EU framework**
The main expected outcome is to support the harmonized implementation of the EU framework and to strengthen the level of awareness through dissemination and training activities. With the significant changes brought by the 4th Railway Package, there is a need to disseminate the requirements and processes linked to SSC and VA. 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.

To this end, the Agency has already started in 2019 the setting up of the ERA Academy for dissemination and training purposes; 2020 will be the year of implementing the e-learning tools. This will make all the training and dissemination material publicly available to the stakeholders.

Activity 3 - Implementing the harmonised regulatory SERA technical framework

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› **Objective 3.1 Support to the Fourth Railway Package implementation**
The Agency will continue its role as the sole body responsible for issuing multi-Member State vehicle authorisations and safety certificates across the whole EU and approving ERTMS trackside. The new legal instruments and structures envisaged to complete the technical pillar's legislative framework are now in place, most notably: the practical arrangements on vehicle authorisations, on safety certificates, the recommendation on ERTMS trackside approval, a scheme for fees and charges, a Board of Appeal and its rules of procedure, common safety methods and the reviewed technical specifications for interoperability. The One Stop Shop release one is now in production and used for the VA, SSC and ERTMS Trackside approval applications. Further releases will be put in production at regular basis in order to support additional functionalities like e.g. the full integration with ERATV, to improve the performance of the tool or, if any, to correct bugs identified when using the OSS in production.
In addition, in 2020, this objective will focus on finalizing the negotiation of the cooperation agreements with the NSAs of Member States having notified their transposition for 2020 and on the effective maintenance of the necessary processes and procedures for the delivery of the 4th Railway Package Tasks (mainly the revisions of guides and procedures and the organisation of the business helpdesk).

› **Objective 3.2 Issuing Single Safety Certificates**
The Agency will issue Single Safety Certificates, as part of its role of EU-wise authority enforced by the 4th Railway Package in close cooperation with the NSA concerned by the areas of operation. All single Safety Certificates will be managed using the Agency's One Stop Shop IT system.

› **Objective 3.3 Issuing Vehicle Authorisations, including ERTMS on-board assessments**
The Agency will issue Vehicle Authorisations, as part of its role of EU-wise authority enforced by the 4th Railway Package in close cooperation with the NSA concerned by the areas of use. All vehicle authorisations will be managed using the Agency's One Stop Shop IT system.

› **Objective 3.4 Issuing ERTMS trackside approvals**
The Agency will issue ERTMS Trackside approval, as part of its role of EU-wise authority enforced by the 4th Railway Package, taking into account, if any, the opinions of the NSA concerned by the trackside. These approvals will be managed using the Agency's One Stop Shop IT system.

› **Objective 3.5 Railway system data**
The Agency strives for providing timely and quality data for identified use cases (internal and external) e.g. to facilitate route compatibility testing, authorization processes, planning and operational purposes and to monitor the implementation of SERA.
Once the multi-annual roadmap on data and digitalization will deliver the outcomes from the two pilot cases (Automating the checks in RINF and ERATV for route compatibility check with the help of an external IT reference/interface; working on a standardised railway network topology, with a higher granularity than RINF, and a standardised way for sharing it), those will be taken into account in the planning for Objective 3.5.
In 2020 particular attention will be given to RINF (short-term legal requirements of the RINF regulation), ERADIS (interface with OSS and legal obligations concerning publication of documents and ECM), ERATV (integration with OSS), and EVR (development and implementation).
Lastly, the development of the core functionalities of the Single Rule Database will continue to enable the starting of the migration of data from Notif-IT by September 2020.

Activity 4 - Monitoring, evaluating and reporting

› **Objective 4.1 Collect and analyse evidence for decision making**
The Agency carries out economic evaluations (ex-ante impact assessment, ex-post evaluations) in order to provide decision-makers with a robust estimate of the effects of Agency recommendations. In particular, in a multi-annual perspective increased emphasis will be given to ex-post evaluations in order to identify improvement areas which can be taken forward in Agency work streams. For 2020 it is foreseen to undertake two ex-post evaluations and this number is planned to increase in the following years (2021 and 2022). The other main priority will be to continue and expand the successful use of ESG Task Forces (TF) to examine in-depth a specific area. In 2020 it is foreseen to set up one ESG TF focusing on the development of a coherent framework for migration and implementation requirements across all TSIs with particular reference to new requirements and innovations. For 2021 and 2022 additional ESG TFs are foreseen.

› **Objective 4.2 Monitoring**
The Agency's monitoring activities are aimed at contributing to improving overall EU safety and interoperability by increasing quality of and the trust in the work performed by NSAs, NIBs, NoBos and risk assessment bodies for an effective and efficient implementation of the 4RP provisions.
Due to limited budgetary resources, the scheme to monitor NSAs is implemented in 2020 according to a targeted scope, focusing on the priority needs from the perspective of the 4th Railway Package (supervision and competence management framework). Moreover, follow-up visits of some NSAs already audited will take place in order to monitor the status of implementation of the action plans developed by those NSAs to address the audit findings. At the end of the first 3 years of implementation of the NSA monitoring, the Agency with the NSAs and the European Commission will evaluate the performance of the NSA monitoring programme taking into consideration the return of experience to further improve the programme. For that purpose, the Agency will address a report to the Agency Management Board in September 2021. After having implemented in 2019 a monitoring system for notified conformity assessment bodies, in 2020 the Agency will run fully the NoBos monitoring process by performing audits and inspections to notified conformity assessment bodies, cooperating with the national notifying authorities and national accreditation bodies, as appropriate.
The Agency will perform qualitative analyses of the NIB accident investigation reports in order to extract meaningful conclusions. To the extent to which the limited resources allow, the Agency will continue to take part, as observer, to the peer review activities for NIBs

› **Objective 4.3 Identifying research needs for the target rail system and supporting the partner organisations in research and innovation**
The Agency contributes to railway research activities at the Commission's request or on its own initiative. The Agency supports the Commission services, representative bodies and the Shift2Rail Joint Undertaking with railway expertise (this will include the possible successor for the Shift2Rail programme, subject to policy making decisions).
The Agency contributes to the definition and implementation of the Shift2Rail Master Plan[2] by: proposing possible amendments to the Shift2Rail Master Plan and to the annual work plans, in particular to ensure that research needs relating to the realisation of the SERA are covered; proposing, after consultation with the stakeholders, guidelines for research and development activities leading to technical standards with a view to guaranteeing the interoperability and safety of results; reviewing the common developments for the future system and contributing to defining target systems in regulatory requirements, and reviewing project activities and results with a view to ascertaining their relevance to the Shift2Rail general objectives and to guaranteeing the interoperability and safety of research results.

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[2] https://ec.europa.eu/transport/sites/transport/files/modes/rail/doc/2015-03-31-decisionn4-2015-adoption-s2r-masterplan.pdf

› **Objective 4.4 Reporting on the Railway System**
The Agency is monitoring the progress on railway interoperability and safety. Priority in 2020 will be given to the preparation of the biennial Report on Railway Interoperability and Safety as well as the annual assessment of achievement of safety targets (CSTs assessment report).
In a multi-annual perspective, the Agency will develop the capability to provide an overview of the safety and interoperability level of the Union rail system in accordance with Article 35(6) of the Agency Regulation. As an additional value-added element it is envisaged to undertake targeted studies, ad-hoc surveys and data analyses in order to provide up-to-date reports on the railway system with particular focus on SERA monitoring data. For 2020 two studies are under consideration: 1) examination of trends in level crossing accidents; 2) analysis of trends for authorized TSI-compliant vehicles.

Activity 5 - Delivering efficient and effective services

› **Objective 5.1 Ensure good corporate governance**
This activity covers overall corporate governance including: the Agency's legal and accounting activities, the internal control coordination and ethics function, the preparation, regular monitoring and reporting of the Agency's work programme, the support for the Management and Executive Board, the process-based Integrated Management System (ISO 9001:2015 certified in June 2017) supporting ERA operations while maintaining quality standards, as well as the information security activities.

› **Objective 5.2 Ensuring sound management of the Agency's human and financial resources and building facilities**
The main focus of the specific objective is to ensure an effective management of the Agency's needs linked to the additional tasks of the Fourth Railway Package and its impact on human and financial resources and building facilities, within the limit of the allocated resources.

› **Objective 5.3 Supporting business delivery through IT-systems**
The Agency will continue to develop and maintain core business applications and infrastructures for the benefit of the Agency's stakeholders, in line with its ICT strategy. It also ensures ICT business continuity, disaster recovery, information security activities and support to users of ICT systems and services, within the limit of the allocated resources.

› **Objective 5.4 Communicating effectively through website and social media**
The Agency will continue to build on its successful new website and develop further the effective deployment of social media.

› **Objective 5.5 Ensuring efficient and effective communication (internal and corporate)**
The Agency will continue to develop the necessary internal communication systems to ensure efficient delivery of its new tasks acknowledging the new role of the Agency in issuing vehicle authorisations, single safety certificates and ERTMS trackside approvals.
The Agency will maintain a collaborative and pro-active relationship with the media.
It will also continue to be engaged in the Women in Transport Platform for Change.

2.3.   Resources outlook 2020-2022

The budget for 2020 is based on an EU contribution of 27.56 mill €, while the budget figures for 2021-2022 are for the time being provisional until the new MFF will be adopted. The Agency will keep close dialogue with the EC to follow progress on the new MFF.

	2020	**2021**	**2022**
Expenditure	30764883	33830502	35022023
EU contribution	27560000	30500000	31000000
EFTA contribution	672283	747250	759500
Fees and charges	2532600	2583252	3262523
Full Time Equivalents (FTE)	188	200	204
Temporary Agents (TA)	148	154	158
Contract Agents (CA)	36	42	42
Seconded National Experts (SNE)	4	4	4

Section 3.   Annual Work programme 2020

In **Activity 1**, the roadmaps developed in 2019 (CCS principles framework, safety & operations and rolling stock & fixed installations), were used as discussion papers with DGMove, facilitating the preparation of the detailed scope of next TSI packages and as such feed the multi-annual content of the activity 2. The basic building blocks for a deeper, harmonised understanding of the importance of a positive safety culture and human and organisational factors will be defined and tested with target stakeholders.

The Agency will develop in 2020 further on the roadmap on data and digitalization, in particular through two pilot cases (Automating the checks in RINF and ERATV for route compatibility check with the help of an external IT reference/interface; Working on a standardised railway network topology, with a higher granularity than RINF) and decide on the new roadmaps to be developed.

In parallel, the ongoing activities shall be maintained for the coordination of networks and implementation of the IPA and EU MedRail projects.

In **Activity 2**, after the alignment of the TSIs with the 4RWP in 2019, the development of the TSIs will mainly be dedicated to the EC request on digital age and green freight to be delivered by 2022. The EC request covering all the TSIs, the Agency will organise its revision plan by horizontal topic on not by subsystem. This will include the correlation between the TSIs revision cycle and the standards revision cycle. The first SSC applications started to be addressed in 2019, which provides a view on the sector's maturity in understanding and implementing safety management systems. In parallel, a strong focus shall be maintained on the cleaning up of the remaining national technical and safety rules which are the main contributor for the achievement of the SERA, taking account of the Issue Log for RFCs. The Agency will continue the coordination of activities to focus on standardisation of the On-Board Units (and to proceed towards a future proof design enabling the use of state of the art technology) in parallel to the integration of the ERTMS game changers. The Agency will continue with their activity (started in 2019) of analysing the ESC and RSC types with the final goal to make this kind of tests obsolete.

In **Activity 3**, the Agency will issue single safety certificates, vehicle authorisations and ERTMS trackside approvals. The Agency shall release and maintain the One Stop Shop (OSS) and upgrade the other registers according the needs with a priority towards the implementation of the Fourth Railway Package needs. The Agency will also finalise the signature of the Cooperation Agreements with the NSA of the Member States having notified their transposition in 2020. In addition, the Agency will also provide support to its applicants with the services offered by its business helpdesk.

In **Activity 4**, the Agency shall continue implementing in 2020 the NSAs and NoBos monitoring schemes and maintain its activities on accident/incident analysis and NIB reporting. The analysis tasks linked to impact assessment of recommendations and opinions shall be maintained along with increased attention to ex-post assessment of legislation linked to Agency recommendations. Regular reporting on the railway system in terms of progress on safety and interoperability will be further developed and customised. The research activities shall continue to focus on the identification of research needs linked to the SERA needs and the management of the integration and follow-up of these needs within the relevant research programmes (mainly linked to the cooperation with Shift2Rail).

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

The annual work programme 2020 is organised according to the same standard structure implemented with SPD 2019. The budget figures quoted in each of the following fiches (except for Objectives 1.4, 1.5, 3.2, 3.3, 3.4, 5.2 and 5.3) refer to direct costs under Title 3 - Chapter 30 of the budget. They are recapped in a separate column under Annex I, Table 2. All indirect costs, namely Title 1, Title 2 and Title 3 – Chapter 31 of the budget are recorded and distributed proportionally per activity under the Indirect costs in Annex I, Table 2.

The following table lists the main Key Performance Indicators (KPIs) for 2020:

	Key Performance Indicators 2020
1	100% decisions taken according to the legal framework deadlines for issuing SSC (for completeness and assessment phases)
2	100% decisions taken according to the legal framework deadlines for issuing VA (for completeness and assessment phases)
3	100% decisions taken according to the legal framework deadlines for issuing Trackside approvals (for completeness and assessment phases)
4	95% of the recommendations and opinions issued within the deadlines
5	98% implementation of the establishment plan
6	Less than 5% of staff turnover
7	98 % of the annual appropriations committed
8	95% execution of carry over payment appropriations
9	95% payments made by contractual deadline
10	98% availability of the core ICT systems
11	95% achievement rate for the SPD outputs

3.1.   Activity 1 Contributing to shaping target and global reference

Objective 1.1 Strengthening global cooperation in rail

Expected outcome	Effective EU railway framework Strengthen the EU railway framework as the global reference Continued engagement and coordination with the stakeholders Promotion of European experiences to and establishment of administrative arrangements with 3rd parties
Outcome indicator	EU railway framework effectiveness Number of Member States outside EU implementing (partially or totally) the EU railway framework
Pre-conditions for achieving the outcome	Readiness to cooperate internationally Agreement with EC on the relevant roadmaps
Progress towards outcome in 2020	Setting up the envisaged roadmaps and starting implementation accordingly

Expected resource envelope
   -    Human resources
   -    Financial resources
	
	4.65 FTE
	144 212€

Fee-based	No

List of the main projects/services	Output indicator	Target for 2020
Coordination of international relations	› Collaboration with OSJD and OTIF › Engagement with other international regulation bodies (Platform of regulators) › Support to EC in wider international engagement	Ensured
Networks	› NSA Network › NRB management and coordination › NIB cooperation	Organised

Objective 1.2 Strategic development

Expected outcome	Agency's strategic planning responding to legal requirements, as well as to emerging problems and opportunities within the transport/railway sector
Outcome indicator	Fit for purpose multi-annual programmes (External stakeholders' positive assessment)
Pre-conditions for achieving the outcome	Regular coordination with the external stakeholders on the strategic agenda topics, including the EC
Progress towards outcome in 2020	Develop multi-annual roadmaps for identified priority topics in line with agreed priorities
Expected resource envelope - Human resources - Financial resources	 4 FTE 8 958€
Fee-based	No

List of the main projects/services	Output indicator	Target for 2020
Agency's strategic development	Number of multi-annual roadmaps developed for priority topics from the programming document	At least 2*, published on website

* Potential topics for multi-annual roadmaps subject to confirmation of priorities: data and digitalization (pilot cases); global cooperation etc.

Objective 1.3 Enhancing Railway Safety through positive safety culture and integration of human and organisational factors

Expected outcome	Improved safety and overall performance of the railway system through positive safety culture, integration of human and organisational factors and the cultivation of a continuous learning environment.
Outcome indicator	The degree of understanding of all players in the railway system of how human and organisational factors (incl. safety culture) are influencing operational performance. Safety Culture evaluation possible from 2022 (to be published from 2024 onwards based on developed methodology)
Pre-conditions for achieving the outcome	Cooperation of the railway sector (EC, national authorities, duty holders, etc.)
Progress towards outcome in 2020	An increased understanding of HOF, safety culture and organisational learning, as well as the development of practical tools that help to support their integration – including a CSM on safety levels/ safety performance.
Expected resource envelope - Human resources - Financial resources	 8.1 FTE 88 951€
Fee-based	No

List of the main projects/services	Output indicator	Target for 2020
Use of operational data	Recommendation for CSM on assessment of safety level and safety performance (considering COR results, but not including IT specifications)	Sent to EC
Integrate human and organisational factors	Report on integrating HOF risks in Automation	Delivered
	No. sector HOF experts reached through virtual network	40 active participants if adequate platform available
Develop safety culture	European Safety Culture Model and assessment method: - Guides of safety culture assessment	Delivered
	Process for evaluation of Safety Culture at EU level	Process developed and tested

Objective 1.4 Implementing the EU MedRail project

Expected outcome	Technical Assistance in railways with a view on further developing an integrated, safe and efficient transport system in the South Mediterranean Region. Support the implementation of the Regional Transport Action Plan actions related to rail transport, by promoting convergence with EU and international standards, facilitating interoperability, and increasing beneficiaries' participation in the activities of ERA
Outcome indicator	Awareness on the EU regulatory framework Exchange of best practices Implementation of the EU approach in the railway system
Pre-conditions for achieving the outcome	Readiness to cooperate internationally Available resources at EU side
Progress towards outcome in 2020	In accordance to the grant agreement for 2020
Expected resource envelope - Human resources - Financial resources	 3 FTE EU grant
Fee-based	No

List of the main projects/services	Output indicator	Target for 2020
Workshops and technical visits	No. of national workshops involving one beneficiary	6
	No. of regional workshops involving more than one beneficiary	2
	EUMEDRAIL annual conference	Delivered
Traineeship arrangements for experts of the region	No. of trainees from the beneficiaries at the Agency	6
	All beneficiaries represented	Yes
Experts participation to meetings organized by the Agency Support to Cooperation with DG NEAR / UfM	No. of meetings/events organized by the Agency, where the experts from the region attend	6
	No. of UfM working group meetings attended	All (est: 3)
Experts participation to meetings organized by the Agency	Evaluation of UfM documents related to rail transport	Performed

Objective 1.5 Implementing the IPA project

Expected outcome	Strengthening the regional cooperation between beneficiaries and their ability to fulfil the (future) obligations, deriving from the EU railway regulatory framework. Support politic reforms to enable the integration of the beneficiaries' railways systems into the Single European Railway Area.
Outcome indicator	› Increase awareness, understanding and implementation capacity in relation to the EU railway regulatory framework › Reduction of national rules and cross-border arrangement harmonisation › Create the right culture and environment within the national administration to set up bodies required by the EU legislation.
Pre-conditions for achieving the outcome	Commitment of beneficiaries to cooperate and participate Beneficiaries' government support and commitment. Security environment in beneficiaries allowing smooth organization of events.
Progress towards outcome in 2020	In accordance with the grant agreement for 2020
Expected resource envelope - Human resources - Financial resources	 2 FTEs EU grant of 450 000 euro for 2020-2022
Fee-based	No

List of the main projects/services	Output indicator	Target for 2020
Dissemination packages including an overview of the legislation	Prepared	Yes
	Delivered	1
Training course on Risk Management	Prepared	Yes
	Delivered	1
Training course on Safety Management System	Prepared	Yes
	Delivered	1
E-learning	Deployed	Yes
Technical support for analysis of national rules	Satisfied requests	100%
Participation of IPA reps to NSA network meetings and NIB plenaries	No. of reps invited	7
Participation of IPA professionals to NSA Monitoring and NIB peer-review	No. of reps invited	7
IPA Project management	Project documentation	Issued
	Interim reports to EC	Issued

3.2.   Activity 2 Developing the harmonised regulatory SERA technical framework

Objective 2.1 Harmonised Railway Operations and Management Systems

Expected outcome	Improved operational safety and overall operational performance of the railway system through the management of major railway operational risks
Outcome indicator	Degree of harmonisation of railway operations and management systems throughout Europe
Pre-conditions for achieving the outcome	Cooperation of the railway sector (EC, national authorities, duty holders, etc.)
Progress towards outcome in 2020	Improved understanding and implementation of SMS and risk management, progress in removing operational barriers for RFCs, follow up on risk management for transport of dangerous goods
Expected resource envelope - Human resources - Financial resources	 7.25 FTE 53 215€
Fee-based	No

List of the main projects/services	Output indicator	Target for 2020
Harmonised Operational Rules	Priorities for MS projects identified. Examination of draft national operating rules and national operating rules according to Article 25 and Article 26 on Agency Regulation 2016/796 (including issuing Technical Opinions, where appropriate), with focus on priorities from RFC activities (e.g. Train composition, Technical Checks and Train Braking).	Priorities agreed Solutions discussed with RFC and published, in priority the Train Braking solution June 2020: first AMOC delivered in relation to ILB priority 1 and 2
Risk management Activities related to Risk Management for transport of dangerous goods	Workshops on risk analysis and management Output indicator: - EUDG meetings - Prototype(s) - development of the Risk Management Platform with a cloud based environment	Workshop developed a 2 meetings 1 workshop Feedback on these activities to specialised TDG meetings

Objective 2.2 Harmonised technical specifications (fixed installations and vehicles)

Expected outcome	Removing technical barriers and opening the market for railway products through a Single European Railway Area
Outcome indicator	Evolution of the no. of applicable national technical rules (NTRs) No. of vehicles compliant with TSIs Trackside infrastructure conforming to TSIs (via RINF)
Pre-conditions for achieving the outcome	Cooperation from MSs on cleaning up NTRs and support from EC
Progress towards outcome in 2020	Initiate the TSI revision package 2022 based on the EC request that includes digitalization, clean freight, remove most impacting remaining barriers, regular maintenance and alignment with European Standards. Initiate the Classification of National Rules for vehicles authorization and assessment of National Rules for fixed installations. Continued support to Joint Network Secretariat

Expected resource envelope
   -   Human resources
   -   Financial resources
	
	11 FTE
	72 592€

Fee-based	No

List of the main projects/services	Output indicator	Target for 2020
TSIs revision package	Achievement of the 2022 TSI revision Package	Process in place CR planning agreed 100% CRs delivered according to the planning
	Report on operation of composite brake blocks in winter conditions	Report issued
National Technical Rules management	Agency internal procedure on NRs management applied	95% of the files respecting the deadlines of the procedure and without non-conformity
	Assessment on NRs for FI	95% of the assessment delivered on time
Joint Network Secretariat	Agency internal procedure on JNS applied	100% of the cases follow the plan agreed by the secretariat

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

Expected outcome	Contribute to the EU harmonised implementation of train control systems and telematics, as part of the digitalisation agenda for railways: › Coherent deployment of the ERTMS and Automatic Train Operation over ETCS (GoA2) to increase savings in implementation cost, operation cost and the environmental footprint. › Integrated ticketing and multi-modal travel information and reservation systems. › Exchange of wagons, combined or multi-modal transport, the development of the rail freight corridors, taking into account the evolution of technological elements, and innovation programs.
Outcome indicator	Maturity of ERTMS specifications Telematics TSI functions implemented in accordance to the Masterplan
Pre-conditions for achieving the outcome	› Usable and timely deliverables from external sources, such as: S2R; ETSI, UIC, EUG, CEN/CENELEC, CEPT… › Coordination between the different activities of the internal and external workgroups. › Definition of ESC/RSC delivered by IMs through RINF; › Effective collaboration with the TAP Governance body to accelerate the implementation of the TAP TSI.
Progress towards outcome in 2020	Progressive consensus on Radio Communication and ETCS evolution, proposal for a modular CCS architecture, integration of the ATO GoA2 function and interface with the rolling stock. Manage TAF/TAP TSIs evolution
Expected resource envelope - Human resources - Financial resources	 13.3 FTE 85 027 €
Fee-based	No, except for the issuing of advice on ERTMS compatibility (art 30 of Agency Regulation)

List of the main projects/services	Output indicator	Target for 2020
Manage Radio Communication evolution	Agency document on definition of new radio communication system, as input for EC report	Agency document provided by Q4 2020
Manage ERTMS long term evolution	ERTMS Opinion service pack 3 for handling of Change Requests	Issued by Q4 2020
	TSI CCS 2022 revision	Progress report issued on CRs closed/initiated Q4 2020

	Agency Report assessing the ESC/RSC types	Issued by Q2 2020
Manage the evolution of Telematics application for passengers (TAP TSI)	Change requests included in TAP technical appendices, according to the CCM process	Technical appendices published on Agency's website by Q2 2020
	TAP TSI application guides revised	TAP TSI application guides published on ERA's website Q2 2020
Manage the evolution of Telematics application for freight (TAF TSI)	Revision of TAF TSI performed (to facilitate better access to tracking data for customers, combined or multi-modal transport).	Recommendation issued by Q1 2020
	Change requests included in TAF technical appendices, according to the CCM process	Technical appendices published on Agency's website by Q2 2020

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

Expected outcome	The main outcome of this objective is to support the harmonized implementation of the EU framework and to strengthen the level of awareness through dissemination and training activities.
Outcome indicator	Degree of awareness of the EU framework, with a focus on the 4RP, HOF, Safety Culture and Safety Leadership. Decreasing number of issues identified in the monitoring activities based on improved knowledge e.g. implementation of CSMs, TSIs, etc.
Pre-conditions for achieving the outcome	Availability of specific expertise and budget
Progress towards outcome in 2020	Fine tuning of the dissemination material Deployment of the e-learning tool for the ERA Academy
Expected resource envelope - Human resources - Financial resources	8.5 FTEs 895 254 €
Fee-based	The nature and extent of the fee based will be defined in accordance with Art. 43 of the Agency Regulation and the relevant MB decisions.

List of the main projects/services	Output indicator	Target for 2020
Creating the ERA Academy	Status of the e-learning portal	Deployed
Creating content for internal and external training and dissemination (FWC included)	Content for the 2020 priorities (training modules and dissemination activities)	Developed
	Fine tuning for content developed in 2019	Delivered
	Training modules on Risk Assessment & Monitoring	8 training sessions delivered (max. number of requests fulfilled)
Organising ERA events (Innotrans, IRSC, ETCR, Safety Conference, Maintenance Conference, HOF automation Seminar)	Events organised according to 2020 priorities	6 events organised (according to budget estimation), venue and date identification for the IRSC 2022
Delivering dissemination through NSAs	Dissemination activities according to 2020 priorities	15 workshops delivered (according to budget estimation, depending on the NSA requests)
Delivering trainings to PoE	Dissemination activities according to 2020 priorities	6 trainings delivered (according to budget estimation, depending on the number of attendees)
Delivering training on SMS, Safety Culture, Safety Leadership and HOF	Training activities according to 2020 priorities	6 training sessions delivered and 1 summer school (max. number of requests fulfilled)

3.3.   Activity 3 Implementing the harmonised regulatory SERA technical framework

Objective 3.1 Support to the Fourth Railway Package implementation

Expected outcome	Optimized processes and tool to deliver SSC, VA and ERTMS Trackside approval
Outcome indicator	Time to propose and communicate the solution for all major changes affecting the quality of an outcome of a process or a procedure managed by the Planning and Approvals Delivery Unit in the Agency (target 2 months) Availability of releases addressing agreed change requests and addressing significant bugs (target every 3 months) Proportion of similar clauses between signed CAs (without taking into account clauses dealing with national specificities). – target 80%
Pre-conditions for achieving the outcome	None
Progress towards outcome in 2020	Effective CCM procedure on processes, procedures and tools for achieving the expected outcome.
Expected resource envelope - Human resources - Financial resources	 7.6 FTE 1 283 326€
Fee-based	No

List of the main projects/services	Output indicator	Target for 2020
Revision of SSC guides and procedures	Proportion of major problems detected during operation, for which solutions are proposed in the relevant document	95%
Revision of VA guides and procedures	Proportion of major problems detected during operation, for which solutions are proposed in the relevant document	95%
Revision ERTMS Trackside approval guide and procedures (including the follow up of funded projects)	Proportion of major problems detected during operation, for which solutions are proposed in the relevant document	95%
OSS releases	Proportion of significant problems detected during operation for which solutions are available in a next release.	95%
Negotiation of the Cooperation Agreements with NSAs	Proportion of signed Cooperation Agreements by June 2020	100%
Business helpdesk SSC/VA/ERTMS Trackside	Proportion of the requests on the Agency scope of work addressed to the business helpdesk answered within 10 working days	90%

Objective 3.2 Issuing Single Safety Certificates

Expected outcome	Reduced costs (time spent) for issuing Single Safety Certificates compared with the baseline established with the start of the 4th Railway Package Low rate of reviewed decisions. Very low rate of decisions brought to the Board of Appeal.
Outcome indicator	5 % of cost reduction. Less than 5 % of the decisions reviewed after applicant request for review. Less than 1 % of the decisions brought to the Board of Appeal.
Pre-conditions for achieving the outcome	› Timely transposition by MS. › Same trend in time and cost reduction from the NSAs participating in the assessments. › Effective cooperation agreements. › Availability of SSC expertise.
Progress towards outcome in 2020	Baselines for the expected outcomes need first to be established until the end of 2021, therefore the monitoring of the outcomes can only happen afterwards. Most of the progress towards outcomes will be visible from 2022.
Expected resource envelope - Human resources - Financial resources	 8 FTE Title 4 (562 800 €)
Fee-based	Entirely

List of the main projects/services	Output indicator	Target for 2020
Issuing Single Safety Certificates	Proportion of decisions taken according to the legal framework deadlines(for completeness and assessment phases)	100%

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

Expected outcome	Reduced costs (time spent) for issuing vehicle (type) authorization compared with the baseline established with the start of the 4th Railway Package. Low rate of reviewed decisions. Very low rate of decisions brought to the Board of Appeal. Reduced time for authorization in conformity to type
Outcome indicator	5 % of cost reduction. Less than 5 % of the decisions reviewed after applicant request for review. Less than 1 % of the decisions brought to the Board of Appeal. 95% of the authorization in conformity to type in less than one week
Pre-conditions for achieving the outcome	› Timely transposition by MS. › Same trend in time and cost reduction from the NSAs participating in the assessments. › Effective cooperation agreements. › Availability of VA expertise.
Progress towards outcome in 2020	Baselines for the expected outcomes need first to be established until the end of 2021, therefore the monitoring of the outcomes can only happen afterwards. Most of the progress towards outcomes will be visible from 2022.
Expected resource envelope - Human resources - Financial resources	23 FTE, out of which only 17.4 FTE fit into the Establishment Plan. In order to cover the difference of 5.6 FTEs, the Agency is likely to resort to the Pools of Experts. Title 4 (1 618 050 €)
Fee-based	Entirely

List of the main projects/services	Output indicator	Target for 2020
Issuing Vehicle Authorisation, including ERTMS on-board assessments	Proportion of decisions taken according to the legal framework deadlines (for completeness and assessment phases)	100%

Objective 3.4 Issuing ERTMS trackside approvals

Expected outcome	Reduction of interoperability issues in ERTMS trackside projects Very low rate of decisions brought to the Board of Appeal.
Outcome indicator	Continuous reduction of interoperability issues in ERTMS trackside projects. Less than 1 % of the decisions brought to the Board of Appeal.
Pre-conditions for achieving the outcome	Timely transposition by MS. Availability of technical experts. Tendering process not closed before 15th of June 2019
Progress towards outcome in 2020	Baselines for the expected outcomes need first to be established until the end of 2021, therefore the monitoring of the outcomes can only happen afterwards. Most of the progress towards outcomes will be visible from 2022.

Expected resource envelope
  -    Human resources
  -    Financial resources
	
	5 FTE
	Title 4 (351 750 €)

Fee-based	Entirely

List of the main projects/services	Output indicator	Target for 2020
Issuing Approvals	Proportion of decisions taken according to the legal framework deadlines (for completeness and assessment phases)	100%

Objective 3.5 Railway System Data

Expected outcome	Provide timely and quality data for identified use cases (internal and external) e.g. to facilitate route compatibility testing, authorization processes, planning and operational purposes, sharing of railway licences' information and to monitor the implementation of SERA.
Outcome indicator	Fulfilment of use cases by registers and databases Usability of the Agency's IT tools for registers and databases Data completeness in Agency's registers and databases
Pre-conditions for achieving the outcome	Business part: Clear definition of users' needs based on stakeholders' expectations and feedback IT part: Availability of IT expertise Data: Good level of quality for the data inputs from external stakeholders
Progress towards outcome in 2020	Machine to machine interface services (Application Programming Interface, API) enabling exchange of data between RINF and stakeholders' systems. ERADIS update to comply with legal obligations stemming from ECM Regulation 2019/779. RINF update to start complying with legal obligations. Basic ERATV and ERADIS integration with OSS to allow issuing of VA and SSC. Development steps of EVR allowing its placing in operation in the course of 2021. Development steps of SRD core functionalities allowing the start of data migration from Notif-IT by September 2020.
Expected resource envelope - Human resources - Financial resources	 8 FTEs 846 543€
Fee-based	No

List of the main projects/services	Output indicator	Target for 2020
ERADIS (development and operation)	Compliance with ECM regulation 2019/779	Released by December 2020
	Update of OSS/ERADIS APIs to fulfil the minimum needs arising from SSC.	Released by December 2020
	% of safety certificates and of licenses published on time	98%
	No of workshops/ trainings organized for ERADIS users from NSA staff and NoBos if needed	4
SRD (development)	A first limited version of SRD available in 2020.	SRD able to receive notifications of safety rules by August 2020; Migration from Notif-IT to SRD will start

		from September 2020.
RDD (development and operation)	% of change requests in scope of the release of RDD implemented	100% of minimal changes for facing the delay of the development of SRD
	% System availability for RDD	98%
ERATV (development and operation)	OSS/ERATV integration ready in test environment	Ready for testing by November 2020
	% of change requests that will form the scope of the ERATV release implemented	100%
	% System availability	98%
RINF (development and operation)	Analysis on the way to display the accurate geometry and to allow IMs to directly update their data and decision on the future RINF architecture	July 2020
	APIs development to enable exchange of data between RINF and stakeholders' systems (machine to machine communication)	Release by December 2020
	% System availability	98%
VKMR (operation)	% VKM published	100%
Establishing an EVR on the basis of the current ECVVR	Migration of local NVRs to EVR Connection of decentralized NVR to EVR	Started
	% system availability	98%
Organisation's codes (development, harmonisation of the different ERA databases)	% of ERA databases using data on organisations identified	100%
	Roadmap for harmonization of company codes in the different ERA databases	Defined by December 2020

3.4. Activity 4 Monitoring, evaluating and reporting

Objective 4.1 Collect and analyse evidence for decision making

Expected outcome	Support decision making with better evidence and knowledge
Outcome indicator	Proportion of Agency's project portfolio for which relevant, coherent and clear evidence is available
Pre-conditions for achieving the outcome	Reliable, consistent and comprehensive (by country / stakeholder) data for decision-making including IAs, ex-post evaluation and other pertinent analyses. Integrated data management (reference and master data, data quality, data warehousing and business intelligence).
Progress towards outcome in 2020	Economic Steering Group Task Forces will examine in-depth evidence on the outcomes of the various objectives (topics) from the Agency's work programme. In particular, at least one ESG Task Force will be organised in 2020. In addition, in line with the Agency Regulation (Article 8(3)), priority will be assigned to complete particular ex post assessments of legislation based on Agency recommendations in order to determine any potential for optimisation. It is planned that at least two ex post assessments will be completed in 2020. In accordance with Article 8(1) of the Agency Regulation it will be ensured that all RECs and OPIs issued in 2020 are accompanied by impact assessments, thereby supporting evidence-based decision-making.
Expected resource envelope - Human resources - Financial resources	2.5 FTE 11 640 €
Fee-based	No

List of the main projects/services	Output indicator	Target for 2020
Impact assessments for recommendations and opinions	% of issued recommendations and opinions accompanied by an impact assessment	100%
Ex post assessment for selected topics	Number of completed ex-post evaluations	At least 2
Economic Steering Group and task forces	Task Force Report endorsed by ESG	Delivered by December 2020

Objective 4.2 Monitoring

Expected outcome	Contribute to improving overall EU safety and interoperability by increasing quality of and the trust in the work performed by NSAs, NIBs, NoBos and recognised assessment bodies for an effective and efficient implementation of the 4RP provisions.
Outcome indicator	Perception of stakeholders (baseline for 2019 and progress report in 3-5 years' time).
Pre-conditions for achieving the outcome	› audit team will have to follow trainings on audits on management system › timely access to NIB reports › NSA, NoBos, AsBos commitment and availability
Progress towards outcome in 2020	2020 will see the full running of both the NSAs and NoBos Monitoring schemes, schemes that have been endorsed by the Agency Management Board, including the follow up of some of the NSAs audited in 2018-2019 to verify the status of implementation of their action plan.
Expected resource envelope - Human resources - Financial resources	 10.3 FTE 322 851€
Fee-based	No

List of the main projects/services	Output indicator	Target for 2020
NSA Annual Safety report analysis	Qualitative analysis of NSA Annual Safety reports to be presented at the NSA annual performance review Workshop	1 summary analysis presented at the workshop
NSA monitoring	No. of audit reports finalized No. of follow – up audits	10 At least 2
Support the NIB Peer review system	Information report by ERA as observer to the NIB Peer Review task force	At least 3 NIBs Peer-reviewed by Q4
Review of NIB accident investigation reports	Qualitative analysis of NIB accident investigation reports	1 summary analysis delivered
NoBos monitoring	No. of reports for NoBos audit/inspection	6

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

Expected outcome	Influence EU research and innovation programmes / projects to support the policies and framework of a SERA
Outcome indicator	SERA needs addressed by EU research and innovation programmes /projects (closure of open points, projects outputs incorporated in EU regulatory texts).
Pre-conditions for achieving the outcome	› Visibility of the Research Steering Group activities in the Agency › Steady coordination with all stakeholders EC, ERRAC, GRB and S2R
Progress towards outcome in 2020	SERA needs taken into account in 2020 in the influenced research and innovation programmes / projects
Expected resource envelope - Human resources - Financial resources	 4 FTE 8 875€
Fee-based	No

List of the main projects/services supporting the objective	Output indicator	Target for 2020
Technological Watch	Service reviewed considering the results of the report of 2019	Second report done in 2020
Support to S2R as requested by the S2R regulation Cooperation with other research bodies (ERRAC, EASA, other)	Research projects of interest for ERA identified, followed and monitored ERA 2021 needs for research identified	100% of S2R projects analysed and projects of interest for ERA identified 50% of projects of interest for ERA monitored according to available resources ERA 2021 needs for research fed in time to the relevant EU bodies (ERRAC, S2R, EC) Up to 2 Research Steering Group (RSG) meetings per quarter; 2 internal communication sessions on the Technological Watch (in Q1 and Q3)

Objective 4.4 Reporting on the Railway System

Expected outcome	Transparency on the progress towards the achievement of the SERA framework (progress with safety, interoperability and efficiency of the Union railway system) in order to identify the need for value-added measures
Outcome indicator	Number of internal and external users of Agency datasets and reports on the railway system
Pre-conditions for achieving the outcome	Availability and access to relevant / harmonized data (internal and external), incl. IT tools, where needed Availability of relevant IT-tools for data analysis and visual display (e.g. SPSS, GIS etc.)
Progress towards outcome in 2020	Emphasis in 2020 will be placed on the preparation of the biennial Report on Railway Safety and Interoperability and on the annual assessment of achievement of safety targets. Furthermore, the Agency will develop the capability to provide an overview of the safety and interoperability level of the Union rail system in accordance with Article 35(6) of the Agency Regulation. As an additional value-added element it is envisaged to undertake in-depth targeted studies, ad-hoc surveys and data analyses in order to provide up-to-date reports on the railway system with particular focus on SERA monitoring data re. safety and interoperability aspects. In particular, two studies are under consideration in 2020: 1) examination of trends in level crossing accidents; 2) analysis of trends for authorized TSI-compliant vehicles.
Expected resource envelope - Human resources - Financial resources	 2.4 FTEs 6 522 €
Fee-based	No

List of the main projects/services	Output indicator	Target for 2020
Report on progress with safety and interoperability in SERA (AR, Art. 35(4))	Report on Railway Safety and Interoperability	Available by end of October 2020
Annual assessment of achievement of safety targets (CSTs assessment report) SAD (Art.7) on the basis of gathered CSIs + support to Eurostat	Annual assessment report on achievements of CSTs	31/03/2020
	Support for the EC report to the European Parliament and to the Council on the implementation of the Safety Directive	Provided by Q4 2020

3.5. Activity 5 Delivering efficient and effective services

Objective 5.1 Ensure good corporate governance

Expected outcome	Legal and quality compliance Effective and efficient corporate governance of the Agency compliant with ERA management standards based on quality management standard ISO 9001:2015 and the Internal Control Framework
Outcome indicator	Degree of compliance to the legal, quality and information security requirements Effectiveness and efficiency gains for the Agency Effective EB and MB organisation
Pre-conditions for achieving the outcome	Cultural change towards a greater emphasis on effectiveness and efficiency gains with explicit efficiency targets
Progress towards outcome in 2020	Legal and quality compliance Starting a task on effectiveness and efficiency gains in the Agency

Expected resource envelope
   -   Human resources
   -   Financial resources
	
	23 FTE
	188 860€

Fee-based	No

List of the main projects/services	Output indicator	Target for 2020
Issuing and updating SPD and AAR	SPD 2021	Adopted by MB
	AAR 2019	Adopted by MB
Supporting EB and MB meetings	% of mandatory decision topics for 2020 covered by the EB/MB meetings	100%
ICC services	% of nonconformities identified for which corrective/preventive actions are established	100%
	Agency' most significant risks identified and assessed. Remedial actions plans	Documented and reported in AAR
	% of ERA staff re-trained on antifraud and ethics	at least 25%
	% of updated declarations of interest of staff submitted	100%
Legal support	% of legal acts issued by ERA, as defined by the Agency regulation, for which legal advice was provided	100%
Accounting	Opinion in the CoA annual report on reliable Agency accounts	Positive
Integrated Management System	Rate of closing pre-2020 audits findings	100%
	ISO 9001 certification	ISO 9001 certificate maintained and extended to the

		delivery processes
Management, control and support of Agency's portfolio of projects and services	Monthly reports for Agency's projects and services	Min 75% of project and service reports collected and analysed

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

Expected outcome	Ensure effective and efficient functioning of the Agency through sound management of human resources, budget and building facilities
Outcome indicator	No business disruptions (related to IT systems for finance, staff and building availability) jeopardizing the fulfilment of the critical functions of the Agency All activities foreseen in the SPD and in particular those linked to the 4RP are effectively implemented Budget used for the intended purpose, respecting the sound financial management principle. Budget discharge granted Increase digital and paperless processes in the administrative area (financial/HR)
Pre-conditions for achieving the outcome	Stability of EC IT tools and possibility for customization Availability of resources – projects on hold: dedicated meeting rooms for Planning and Approvals Delivery Unit (4Railway Package related activities), no replacement of outdated building installations
Progress towards outcome in 2020	Progress with paperless processes Continuous support in terms of HR, budget and building facilities, especially considering the forecasted increase of the 4th Railway Package activities
Expected resource envelope - Human resources - Financial resources	26 FTE 1 304 750 €* * Title 2 and Title 3 non-operational (Chapter 31)
Fee-based	No

List of the main projects/services	Output indicator	Target for 2020
Selection, Engagement, Learning and Development	% implementation of the establishment plan	98%
	% of staff turnover	≤ 5%
Annual budget execution	% of the annual appropriations committed	98 %
	% of carry-over of payment appropriations	<10% for T1, <20% for T2 and <30% for T3
	% of execution of C8 payment appropriations	95 %
	% payments made by contractual deadline	>95%

Objective 5.3 Supporting business delivery through IT systems

Expected outcome	Implement the ICT strategy Information security compliance Use cloud computing services, aiming at exploiting standard functionality and infrastructure, embedding manageability and security, improving reliability of data and applying greater automation of the build and run processes, in terms of agility and cost optimization benefits. Meet common business needs through shared solutions available amongst the EUIs. Vendor independence to widen the choice of solutions, interoperability, reduce total cost of ownership, business continuity.
Outcome indicator	Availability of ICT core services: 98% 70 % of users satisfied with the quality of service desk response in "Very Good/Excellent" rate
Pre-conditions for achieving the outcome	Availability of resources: no laptop fleet renewal, no investment in audio-visual equipment, no tool to manage information assets (security and GDPR compliance)
Progress towards outcome in 2020	Migration to Windows 10 and Office 365. Deployment of Office online, pending GDPR compliant agreement with supplier Information security compliance
Expected resource envelope - Human resources - Financial resources	 12 FTE 2 222 947 €* * Title 2 and Title 3 non-operational (Chapter 31)
Fee-based	No

List of the main projects/services	Output indicator	Target for 2020
Workplace modernisation	No of current paper based process becoming fully digital	At least 1
	% of available processes updated	At least 60%
Cloud computing services	ICT systems are made available through cloud services	Implemented
	MS Lync – SharePoint integration, Office 365	Deployed
Disaster Recovery	Mean elapsed time to restore applications at the alternate site	6 working hours
Support stakeholders	% of users satisfied with the quality of IT service delivery in "Very Good/Excellent" rate.	70%
ICT infra management and maintenance	Availability of the core ICT systems	Min 98%
ICT infrastructure renewal (Project)	Rate of renewal of ICT infrastructure	30% of the back-office

List of the main projects/services	Output indicator	Target for 2020
Extranet and intranet management and maintenance	Availability of Extranet is 98%	98%
End-point computing environment	Rate of update for the fleet of the devices	10%
	Number of updates deployed by year	4
Office automation tools and ERP licensing, consultancy and support	EU tools and off-the-shelf software	Made available
Telecom services	Fixed and mobile telephony, internet, Testa access	Made available
Audio-visual management and maintenance	Audio-visual equipment	Made available
SECURIS (SECURe Information Systems)	% of Information assets identified and inventoried	100%

Objective 5.4 Communicating effectively through website and social media

Expected outcome	The website and the social media channel are increasingly gaining consensus amongst the Agency's stakeholders and these are the outcomes of the objective 5.4. The Agency has currently a website, a LinkedIn page, a Twitter profile and a YouTube channel.
Outcome indicator	Social media presence Website visitors Stakeholder feedback
Pre-conditions for achieving the outcome	Resources, content and qualified staff
Progress towards outcome in 2020	Maintain and improve website (e.g. indexing of search engines, etc.) Feeding the YouTube channel with technical contents, LinkedIn page as a further external communication tool. Social media listening, press monitoring and Web Analytics Stakeholders communication management
Expected resource envelope - Human resources - Financial resources	 1.5 FTE 198 804€
Fee-based	No

List of the main projects/services supporting the objective	Output indicator	Target for 2020
Website/online	Website availability	> 97% (excluding maintenance)
	% of internal accepted change requests implemented	100%
	Twitter number of followers	At least 5% more
	LinkedIn presence	2 posts per month
	LinkedIn number of followers	At least 5% more

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

Expected outcome	Boosting the reputation of the Agency by building trust among stakeholders and acting professionally. Establish the image of ERA as European authority, which efficiently performs the new tasks set out under the Fourth Railway Package. This is supported by media campaigns, publications, press work, and delivery of key events, which all contribute to achieving the strategic objectives of the Agency. Initiate campaigns that give a voice to the sector, and support its modernization and transformation – including the Women in Transport project that will have a particular positive impact on the Agency reputation.
Outcome indicator	Increase visibility Reputation Management Stakeholder feedback Internal Communications Processes established Strategy updated
Pre-conditions for achieving the outcome	Access to technical, human and financial resources to deliver the relevant activities
Progress towards outcome in 2020	Maintenance and improvement of a crisis management process Publications Women in transport activity Communication plan (required by the Agency Regulation)
Expected resource envelope - Human resources - Financial resources	 2.5 FTE 21856€
Fee-based	

List of the main projects/services supporting the objective	Output indicator	Target for 2020
Crisis and reputation management	Reputational damages resulting in written complaints from the stakeholders	None
	Reputational damages resulting in legal actions against the Agency	None
	A training session with 4-5 staff members	Delivered in Q1 2020
	Crisis communication integrated in the Business Resilience Plan of the Agency	Achieved in Q1 2020
Women in transport	Scholarship set up and awarded Gender audit carried, recommendations collected and action plan set up with priorities	Achieved

	Revised recruitment process to address the gender balance needs	
Publication management	% of planned publications delivered	100%
Event management	No. of events delivered with positive feedback from the stakeholders	3
	% of events with overall positive feedback	100%
Internal communication lifecycle	Survey on quality of internal communication	Delivered by Q1
	Action plan	Defined by Q1
Provisions, strategy and plans for an effective and efficient communication	Communication plan	Drafted and approved by Q1

The following table displays, for each of the objectives, the FTE and budget numbers.

As already mentioned, the budget figures quoted in the SPD fiches (except for Objectives 1.4, 1.5, 3.2, 3.3, 3.4, 5.2 and 5.3) refer to direct costs under Title 3 - Chapter 30 of the budget.

All those costs are recapped in a separate column under Annex I, Table 2. All indirect costs, namely Title 1, Title 2 and Title 3 – Chapter 31 of the budget are recorded and distributed proportionally per activity under the Indirect costs in Annex I, Table 2.

SPD Objective	FTEs	Budget – Title 3 – Chapter 30 (except for the cells greyed out)
1.1	4.65	144212
1.2	4.00	8958
1.3	8.10	88951
1.4	3.00 (on top of the Establishment plan)	EUMedRail grant
1.5	2.00 (1 in the Establishment plan and 1 on top)	IPA grant
2.1	7.25	53215
2.2	11.00	72592
2.3	13.30	85027
2.4	8.50	895254
3.1	7.60	1283326
3.2	8.00	Title 4
3.3	23.00	Title 4
3.4	5.00	Title 4
3.5	8.00	846543
4.1	2.50	11640
4.2	10.30	322851
4.3	4.00	8875
4.4	2.40	6522
5.1	23.00	188860
5.2	26.00	Title 2 and Title 3-Chapter 31 (1304750)
5.3	12.00	Title 2 and Title 3-Chapter 31 (2222947)
5.4	1.50	198804
5.5	2.50	21856

* The total number displayed in the FTE column includes: 188 posts, as displayed in Annex III – Table 1 (148 TAs, 36 CAs, 4 SNEs) + 3 additional FTEs for EUMedRail grant (objective 1.4) + 1 additional FTE for the IPA grant (objective 1.5) + 5.6 FTEs which will be covered from the Pools of Experts (see explanation in the fiche for Objective 3.3)

Annexes[3]

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€)	25007	25007	25613	26000	26000	26250	26500	27560
Establishment Plan (TAs)	143	140	137	134	139	148	148	148

The new Multi-annual Financial Framework (MFF) 2021-2027 is still under discussions. The Council and the European Parliament shall adopt the MFF before the end of 2020. Due to the financial constraints, the Agency expects a stability of the EC subsidy but would need additional staff to cope with the new and increasing activities stemming from the new regulation for the European Union Agency for Railways. This additional staff should be covered by the Fees and Charges levied from the applicants. The planned evolution is as follows:

Year	2021	2022	2023	2024	2025	2026	2027
Budget (Mio€)	30500	31000	31600	32200	32800	33400	34000
Establishment Plan (TAs)	154	158	161	163	163	163	163

2.   Resource allocation 2020

Activity	Unit Staff	DIRECT COSTS		INDIRECT COSTS			TOTAL BUDGET 2020 PER ACTIVITY
		Title 3 - CHAPTER 30	TITLE 4	TITLE 1	TITLE 2	TITLE 3 - CHAPTER 31	
	FTE						
1. Contributing to shaping the target and global reference	17.85	242,121		1,943,286	220,595	114,349	2,520,350
2. Developing the Harmonised Regulatory SERA Technical Framework	38.15	1,106,088		4,153,297	471,467	244,393	5,975,245
3. Implementing the Harmonised Regulatory SERA Technical Framework (under 4RP)	48.40	2,129,869	2,532,600.00	5,269,190	598,139	310,055	8,307,253
4. Monitoring, Evaluating and Reporting	19.20	349,888		2,090,257	237,278	122,997	2,800,420
5. Delivering efficient and effective services	64.40	409,520		7,011,070	795,871	412,553	8,629,014
Grand total	188.00	4,237,486	2,532,600.00	20,467,100	2,323,350	1,204,347	30,764,883
				20,467,100	2,323,350	1,204,347	

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[3]Note: the Budget authority has granted an additional 530KEUR for 2019 although this amount is not included in the relevant budget columns for 2019 throughout the document.

Annex II: Financial Resources 2020-2022

The budget figures for 2021-2022 are for the time being provisional until the new MFF will be adopted. The Agency will keep close dialogue with the EC to follow progress on the new MFF.

Table 1 – Expenditure

Expenditure	2019		2020	
	Commitment appropriations	Commitment appropriations	Commitment appropriations	Payment appropriations
Title I	19014047	19014047	20467100	20467100
Title II	2510000	2510000	2323350	2323350
Title III	5615300	5615300	5441833	5441833
Title IV			2532600	2532600
Total expenditure	**27139347**	**27139347**	**30764883**	**30764883**

Item	EXPENDITURE	Budget 2019	Draft budget 2020		VAR N+1/N %	Envisaged 2021	Envisaged 2022
			Agency request	Budget forecast			
TITLE 1	EXPENDITURE RELATING TO PERSONS WORKING WITH THE ERA						
Chap. 11	Staff in active employment	18444000	19949100	19949100	8.16	20348082	20755044
Chap.13	Missions and travel	140000	100000	100000	-28.57	100000	100000
Chap. 14	Socio-medical infrastructure	225047	225000	225000	-0.02	225000	225000
Chap. 15	Staff exchanges between the ERA and the public sector	200000	190000	190000	-5.00	200000	200000
Chap. 17	Entertainment and representation expenses	5000	3000	3000	-40.00	3000	3000
Chap. 19	Pensions and pension subsidies	-	-	-		-	-
TITLE 1	TOTAL TITLE 1	19014047	20467100	20467100	7.64	20876082	21283044
TITLE 2	BUILDING, EQUIPMENT AND MISCELLANEOUS OPERATING EXPENDITURE						
Chap. 20	Investments in immovable property, rental of buildings and associated cost	1320000	1222000	1222000	-7.42	1322000	1322000
Chap. 21	Data processing	700000	778600	778600	11.23	778600	778600
Chap. 22	Movable property and associated costs	190000	90250	90250	-52.50	90250	90250
Chap. 23	Current administrative expenditure	115000	47500	47500	-58.70	47500	47500
Chap. 24	Post and telecommunications	185000	185000	185000	0.00	185000	185000
TITLE 2	TOTAL TITLE 2	2510000	2323350	2323350	-7.44	2423350	2423350
TITLE 3	EXPENSES RELATING TO PERFORMANCE OF SPECIFIC MISSIONS						
Chap. 30	Operational Activities directly linked to the Regulation n°2016/796	4290000	4237486	4237486	-1.22	6743471	6848759
Chap. 31	Operational expenditures	1325300	1204347	1204347	-9.13	1204347	1204347
TITLE 3	TOTAL TITLE 3	5615300	5441833	5441833	-3.09	7947818	8053106
TITLE 4	EXPENDITURE RELATING TO FEE-RELATED ACTIVITIES						
Chap. 40	Staff in active employment	pm	1609650	1609650		2583252	3262523
Chap. 41	Costs of services provided by service providers	pm	922950	922950		pm	pm
TITLE 4	TOTAL TITLE 4	pm	2532600	2532600		2583252	3262523
	GRAND TOTAL	27139347	30764883	30764883	13.36	33830502	35022023

Table 2 – Revenue

Revenues	2019	2020
EU contribution	26500000	27560000
Other revenue – EFTA	639347	672283
Fees and charges	pm	2532600
Total revenues	**27139347**	**30764883**

REVENUES	2018 Executed Budget	2019 Revenues estimated by the agency	2020 Agency request	2020 Budget forecast	VAR 2020 /2019 %	Envisaged 2021	Envisaged 2022
1 REVENUE FROM FEES AND CHARGES	0	pm	2532600	2532600		2583252	3262523
2. EU CONTRIBUTION*	28135398	26500000	27560000	27560000	4.00	30500000	31000000
of which assigned revenues deriving from previous years' surpluses	387214	80722	119879	119879	48.51		
3 THIRD COUNTRIES CONTRIBUTION (incl. EFTA and candidate countries)	657845	639347	672283	672283	5.15	747250	759500
of which EFTA	657845	639347	672283	672283	5.15	747250	759500
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	**28793243**	**27139347**	**30764883**	**30764883**	13.36	**33830502**	**35022023**

Table 3 – Budget outturn and cancellation of appropriations

Budget outturn	2016	2017	2018
Reserve from the previous years' surplus (+)	357 347	378 215	80 722
Revenue actually received (+)	27 784 591	31 930 147	28 850 412
Payments made (-)	- 25 481 829	-27 143 336	- 26 386 114
Carry-over of appropriations (-)	- 2 221 313	- 4 948 422	- 3 509 588
Cancellation of appropriations carried over (+)	111 021	64 813	122 715
Adjustment for carry over of assigned revenue appropriations from previous year (+)	187 333	179 832	1 045 234
Exchange rate differences (+/-)	- 1 588	- 2 312	- 2 780
Adjustment for negative balance from previous year (-)	- 357 347	-378 215	- 80 722
Total	378 215	80 722	119 879

Annex III: Human Resources 2020-2022

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

Staff population		Staff population in voted Budget 2017	Staff population in voted Budget 2018	Staff population at 31/12/2018	Staff population in EU Budget 2019	Staff population envisaged in 2020	Staff population envisaged in 2021	Staff population envisaged in 2022
Officials	AD							
	AST							
	AST/SC							
TA	AD	103	111	97	113	113	119	122
	AST	36	37	35	35	35	35	36
	AST/SC	0	0	0	0	0	0	0
Total TA		135	148	132	148	148	154	158
CA GFIV		15	19	13	17	15	21	21
CA GF III		5	8	8	8	8	8	8
CA GF II		7	10	7	10	10	10	10
CA GFI		3	3	3	3	3	3	3
Total CA*		30	40	31	38	36	42	42
SNE		4	4	2	4	4	4	4
Structural service		7	15	14	15	13	14	8
Total		**176**	**207**	**179**	**205**	**201**	**214**	**212**
External staff for occasional replacement								

Table 2 – Multi- annual staff policy plan 2020-2022

Function group and grade	2018 Authorised under the EU Budget		2018 Staff population at 31/12/2018	2019 Authorised under the EU Budget		2020 Authorised under the EU Budget		2021 Request of the Agency		2022 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		1		1		1
AD 14		1	1		1		0		0		0
AD 13											
AD 12		2			4		4		4		4
AD 11		6	2		7		7		10		10
AD 10		18	15		19		19		24		24
AD 9		32	22		32		32		32		32
AD 8		22	19		21		21		24		24
AD 7		15	22		15		15		12		12
AD 6		15	16		14		14		6		9
AD 5									6		6
AD TOTAL		111	97		113		113		119		122
AST 11											
AST 10											
AST 9		3	1		2		2		3		3
AST 8		5	1		5		5		7		7
AST 7		4	3		5		5		7		7
AST 6		3	3		2		2		6		6
AST 5		8	6		8		8		9		9
AST 4		9	6		9		9		1		1
AST 3		4	13		4		4		0		1
AST 2		1	2						0		0
AST 1											
AST TOTAL		37	35		35		35		35		36
AST/SC 6											
AST/SC 5											
AST/SC 4											
AST/SC 3											
AST/SC 2											
AST/SC 1											
AST/SC TOTAL			0								
TOTAL		148	132		148		148		154		158

Annex IV

A. Engagement policy

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

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

b) Temporary and Contract Agents are as far as possible treated 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 CAST lists for Contract Agents established by EPSO.

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

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

› AST 1 to AST 4 for the function group AST

› AD 5 to AD8 for the function group AD

For managerial posts or highly specialised posts, the Agency can engage Temporary Agents at grades AD 8 and AD10 or at grade AD12 for Heads of Department and at grade AD 13 for Advisers. However, except for the post as Executive Director, no post has so far been filled at a level above AD11.

In the TA '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 a two-year period and any further renewal is for an indefinite period. For staff on short-term employment, the duration of the contract depends on the duration of the tasks to be carried out.

a. Temporary agents

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

The decision to renew contracts of employment of Temporary Agents occupying a long-term post 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 (long-term) tasks, such as:
›   Administrative and Logistician Support Agents
›   Assistants
›   Project Officers

c.   Seconded national experts[4]

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

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

SNEs assist the Agency staff and cannot perform middle management duties. The initial period of secondment may not be less than six months or more than two years. It may be renewed once or more up

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4. SNEs are not employed by the Agency.

to a total period not exceeding four years. Exceptionally, the Agency's Executive Director may authorise one more extension of the secondment for the maximum duration of one year at the end of the four year period. Each secondment and extension is subject to an exchange of letters. An SNE may be seconded once again provided that the conditions of secondment still exist and a period of at least six years has elapsed between the end of the previous secondment and the new secondment unless the previous secondments lasted for less than four years.

d.   Trainees

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

e.   Structural service providers[5]

Staff FTE	Tasks	Description	PD per Year	Total PD per Year	Framework Contract	Expiring
4	Service Desk	User support and assistance	220	880	ESMA/2018 /02 signed in October 2018	Date of signature, 2+1+1 Y
2	Business Analyst	Writing/maintenance/prototy ping of applications that reflect the specifications.	220	440	ESMA/2018 /02 signed in October 2018	Date of signature, 2+1+1 Y
2	UX/UI Specialist	Creation and staging of automated solutions based on ERA tools	220	440	ESMA/2018 /02 signed in October 2018	Date of signature, 2+1+1 Y
1	Business Analyst	Creation and staging of automated solutions based on ERA tools	220	220	ESMA/2018 /02 signed in October 2018	Date of signature, 2+1+1 Y
1	Business Analyst	Design and development OSS	220	220	ESMA/2018 /02 signed in October 2018	Date of signature, 2+1+1 Y
1	Senior Analyst Developer	Creation and staging of automated solutions based on ERA tools	220	220	ESMA/2018 /02 signed in October 2018	Date of signature, 2+1+1 Y
1	System Administrator	Support the IT infrastructures operations	220	220	ESMA/2018 /02 signed in October 2018	Date of signature, 2+1+1 Y
1	Receptionist	3 shifts per day	220	220	ERA 2016 08 FWC	Date of signature, 1+1+1+1 Y

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[5]. Structural service providers are not employed by the Agency.

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 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.

Table 1 - Reclassification of temporary staff

Category and grade	Staff in activity at 01.01.2018		How many staff members were promoted / reclassified in 2018		Average number of months in grade of reclassified staff members
	officials	TA	officials	TA	
AD 16					
AD 15					
AD 14		1			
AD 13					
AD 12					
AD 11		2			
AD 10		15			
AD 9		22		3	75
AD 8		17		4	72.5
AD 7		22		5	44.4
AD 6		14		1	52
AD 5					
Total AD		93		13	
AST 11					
AST 10					
AST 9					
AST 8		1			
AST 7		3			
AST 6		3		1	58
AST 5		6			
AST 4		6			
AST 3		13		1	58
AST 2		2		3	58
AST 1					
Total AST		34		5	
Total				18	

Table 2 - Reclassification of contract staff

Category and grade	Staff in activity at 01.01.2018		How many staff members were promoted / reclassified in 2018		Average number of years in grade of reclassified/promoted staff members
	officials	CA	officials	CA	
FG I		3			
FG II		7		1	69
FG III		5		1	49
FG IV		8			
Total CA		23		2	

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 advertised externally. A supplementary agreement in accordance with Article 10 of the CEOS will be concluded as required if existing staff get a new job.

2.   Mobility between Union Agencies

With the new implementing rules for 2(f) Temporary Agents, the Inter-Agency Job Market is no longer applicable. The implementing rules for 2(f) Temporary Agents define the scope of mobility between Union Agencies.

A very limited number of the support staff who have left the Agency in previous years have accepted Temporary/Contract Agent positions in other Agencies/Institutions.   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, in previous years (but not in 2018) some staff members who took up long-term Temporary Agent positions at the Agency come from other EU Agencies

3.   Mobility between the agencies and the institutions

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

4.   Tables for 2018 (Temporary agents, contract agents and SNE's)

	2018	
	(New) staff	Departing staff
Mobility within the agency	9	
Mobility among agencies		
Mobility between the agencies and the institutions		4
Other	10	4
Total	19	8

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.

The Agency has been systematically monitoring the gender distribution for its selection procedures. In general, the gender balance at the Agency has been stable over recent years.
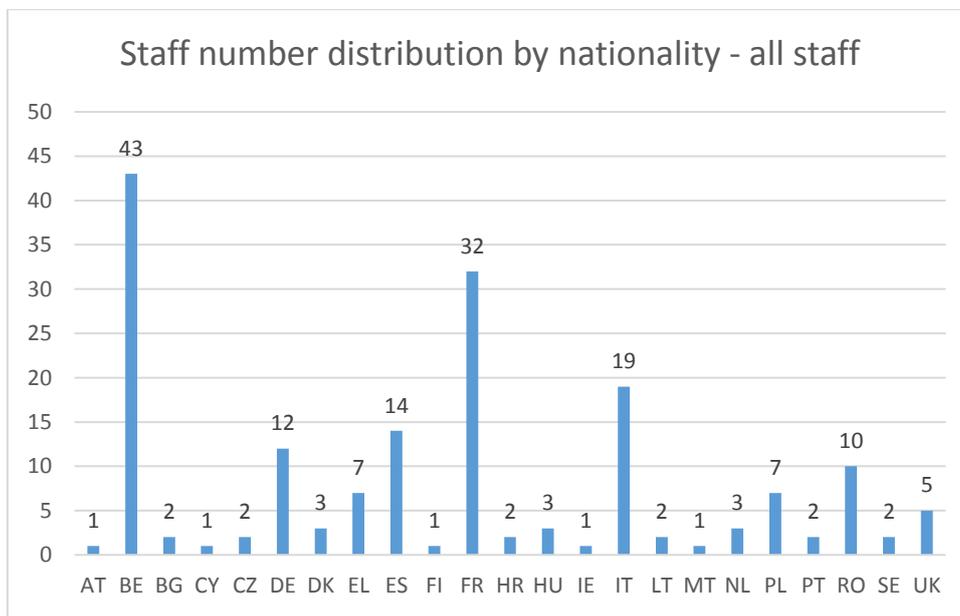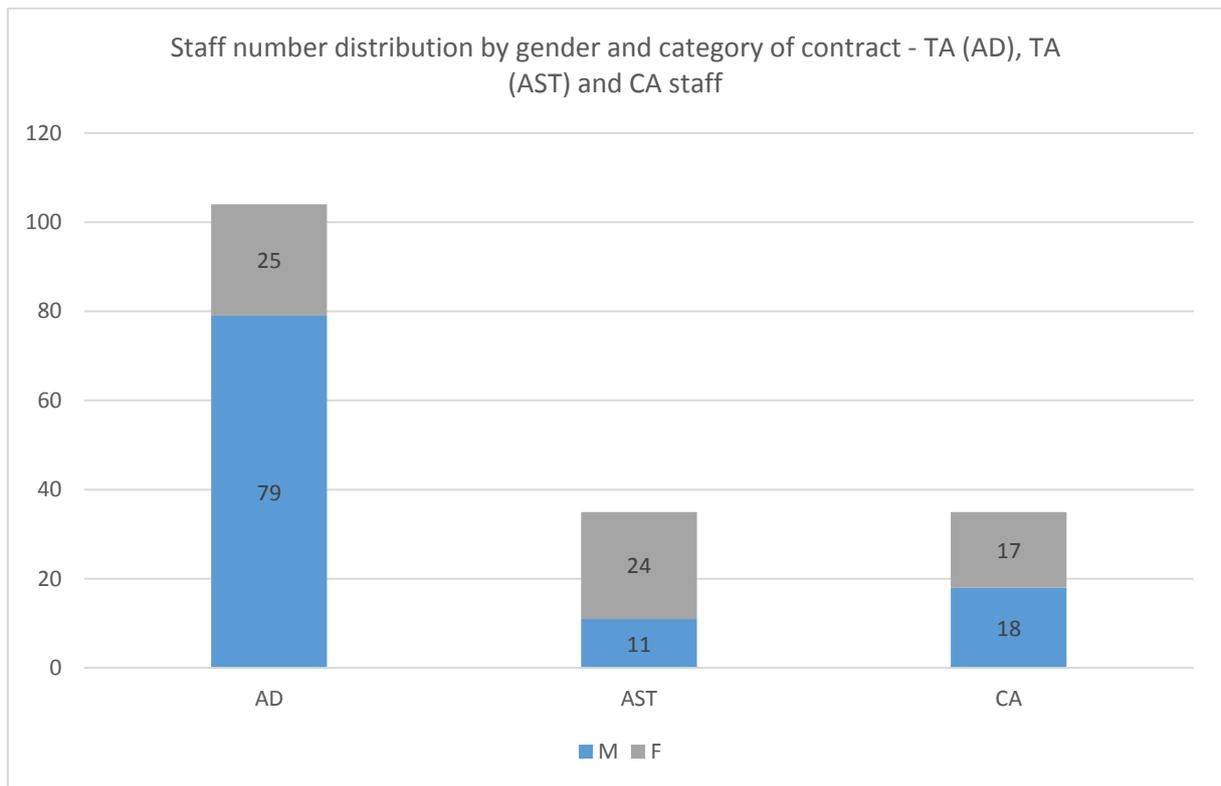
Even though, the specific business area and technical labour market may be the main reasons for overrepresentation of men in the Agency, in every call for applications, the Agency underlines its commitment to promote equal opportunities, including gender balance and diversity, as also stated in the Agency's Human Resources strategy. The same applies to the Member States' representatives in the Management Board.
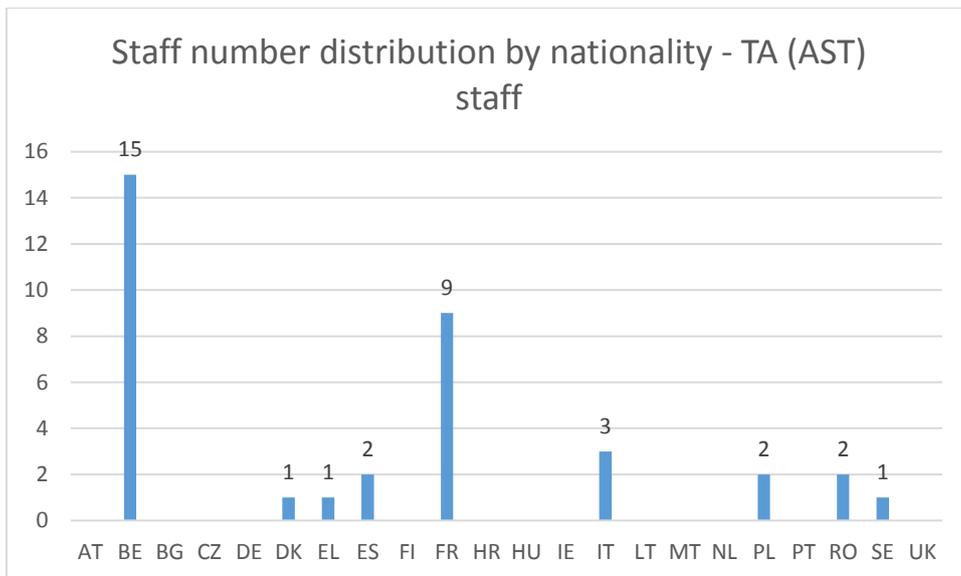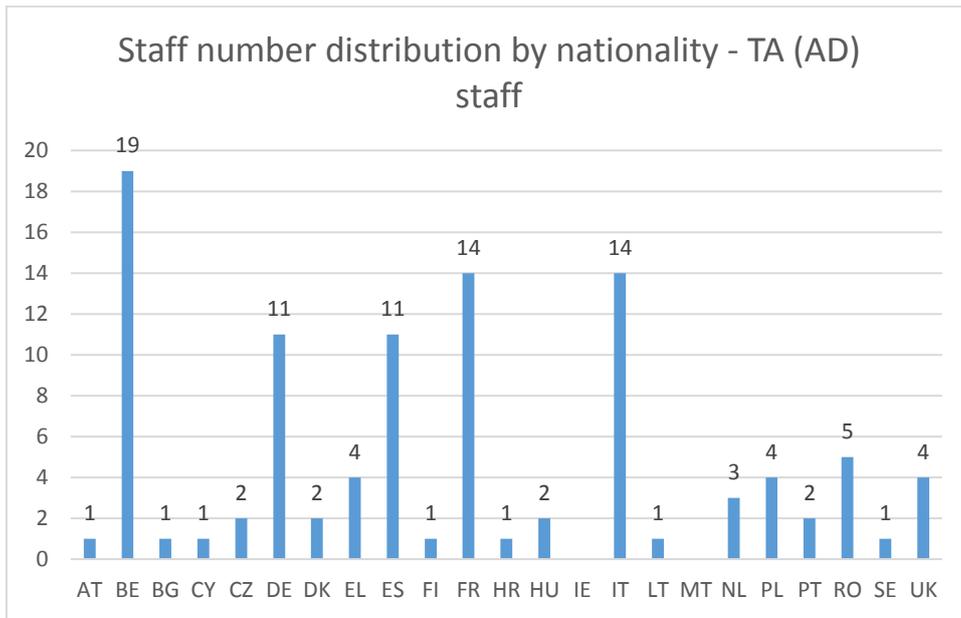
The Agency is participating to the EU "Platform for change", initiated by the European Economic and Social Committee which was launched in 2017, to address gender equality in transport. The Agency further actively supports initiatives to increase the attractiveness of the railway sector for women, and promotes gender diversity.

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

Considering the low number of SNEs (2 persons), this is counted in the overall staff figures, but no breakdown is provided for this category.

The values in the graphs are based on the existing numbers of staff at the end of 2018.

Staff number distribution by gender and category of contract - TA (AD), TA (AST) and CA staff

Category	M	F
AD	79	25
AST	11	24
CA	18	17

Staff number distribution by nationality - all staff

AT	BE	BG	CY	CZ	DE	DK	EL	ES	FI	FR	HR	HU	IE	IT	LT	MT	NL	PL	PT	RO	SE	UK
1	43	2	1	2	12	3	7	14	1	32	2	3	1	19	2	1	3	7	2	10	2	5

Staff number distribution by nationality - TA (AD) staff

AT	BE	BG	CY	CZ	DE	DK	EL	ES	FI	FR	HR	HU	IE	IT	LT	MT	NL	PL	PT	RO	SE	UK
1	19	1	1	2	11	2	4	11	1	14	1	2		14	1		3	4	2	5	1	4

Staff number distribution by nationality - TA (AST) staff

AT	BE	BG	CZ	DE	DK	EL	ES	FI	FR	HR	HU	IE	IT	LT	MT	NL	PL	PT	RO	SE	UK
	15				1	1	2		9				3				2		2	1	

Staff number distribution by nationality - CA staff

AT	BE	BG	CZ	DE	DK	EL	ES	FI	FR	HR	HU	IE	IT	LT	MT	NL	PL	PT	RO	SE	UK
	9	1		1		2	1		9	1	1	1	2	1	1	1	2		3		1

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

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 'baccalaureat' awarded by the French Ministry of Education. There are also facilities for international schooling in Lille but many staff members prefer to send their children to the European School in Brussels (and for that reason choose to live in Brussels and commute from there). Since 2018 there are ongoing developments for establishing a European School in Lille which will gradually launch a full curriculum over the next years. The Agency is fostering a cooperative relationship with the relevant authorities.

Annex V: Buildings

5.1.1 Current building(s)

	Name, location and type of building	Other Comment
Information to be provided per building:	ERA HQ, Valenciennes, 120 rue Marc Lefrancq	1. ERA is the only tenant of the building
Surface area (in square metres) Of which office space Of which non-office space	5.250 M² de Surface Hors Oeuvre Nette (S.H.O.N)	
Annual rent (in EUR)	In 2019: EUR 449.535,76 HT/year	The new INSEE indicator has been published during the 1st Quarter 2019.
Type and duration of rental contract	1 year with tacit renewal	
Host country grant or support	No	
Present value of the building	If the Agency owns the building	

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

	Name, location and type of building	Other Comment
Information to be provided per building:	ERA meeting premises, 299, Boulevard de Leeds – Lille	
Surface area (in square metres)	602,62 M²	
Annual rent (in EUR)	In 2019: EUR 110.433,96 HT/year	The new INSEE indicator has been published during the 1st Quarter 2019.
Type and duration of rental contract	Contract will end on 31/12/2023.	
Host country grant or support	No	
Present value of the building	If the Agency owns the building	

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

5.1.2   *Building project in the planning phase*

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

Annex VI: Privileges and immunities

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

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

Annex VII: Risks 2020

Number	Title	Risk description Consequence/Cause		Activity/Objective 2020	Residual risk	Measures to achieve acceptable risk for management
1	Risk of peak of workload demands associated with the applications requests for authorisation/renewal of SSCs and VAs (especially vehicle type requests)	Serious and immediate direct consequences on the timeline for delivering the new tasks, which may also result in non-compliance with applicable rules and regulations as well as financial losses and reputational damages for the Agency and its stakeholders	May be caused by: a) Temporary shortage of experts for assessing applications related to VAs and SSCs b) Difficulties to estimate the moment and intensity of the peak workload c) Inherent cyclical nature of submission of VAs applications	Activity 3: Implementing the harmonised regulatory SERA technical framework Objective 3.2 Issuing Safety Certificates Objective 3.3 Issuing Vehicle Authorisation, including ERTMS on-board assessments Objective 3.4 Issuing ETCS trackside approvals	Critical (20)	Formal prioritisation of SPD objectives to optimise allocation of resources Review the classification of critical and essential functions of the Agency in view of limiting the impact of disruption on the Agency's main services and products Establishment of a communication network between the Agency and NSA to cope with crisis situations
2	Inconsistent/ incorrect transposition of the 4th RWP legislation	• Major shortcomings in the project planning (delays and possible complaints from stakeholders) • Low quality of deliverables (VAs, Safety certificates-SC) which might lead to increase number of appeals to Agency decisions • Low political support/ stakeholders' reluctance to support the 4RP Package • Delay in the transposition; Member States within different area of use might be in a different state of transposition and/or different level of understanding, leading to unclarity in the process, exclusion of respective Member States from the area of use might represent a reputational risk for the Agency perceived as main responsible for issuing VA and SC across EU + the success of the Agency as European Authority depends on cooperation with MS + negative impact on the rail market	May be caused by : • Insufficient preparedness of the Member States (e.g. roles, responsibilities, working methods) involved in delivering the key processes (i.e. issuing vehicle authorisation, safety certificates, checking ERTMS trackside files) to the specific requirements • New processes/systems of work (i.e. revised CSM, new practical arrangements, relevant guides) not applied in a consistent manner by all concerned actors (NSAs and the Agency) • insufficient level of awareness regarding the changes introduced by the 4RP Legal framework • lack of clarity/ misinterpretation of the 4RP legal framework by the Member States	Activity 3: Implementing the harmonised regulatory SERA technical framework Objective 3.2 Issuing Single Safety Certificates Objective 3.3 Issuing Vehicle Authorisation, including ERTMS on-board assessments Objective 3.4 Issuing ERTMS trackside approvals	High (16)	a) Participation of the Agency in learning case phase b) Development of clear guides for each of the 3 new tasks c) Support the Commission to enhance communication towards governments

Number	Title	Risk description Consequence/Cause		Activity/Objective 2020	Residual risk	Measures to achieve acceptable risk for management
3	Liability risk for the Agency and its staff for an act or an omission especially in relation to decision making process for authorisations for VAs, SSC and ERTMS	Financial damages for the Agency and its stakeholders; Reputational damage (lack of trust in Agency's capacity to manage the responsibilities under the 4th Railway Package); Staff member liability at stake.	(may be caused by): Mistakes in issuing authorisations/certifications under the 4th Railway Package (e.g. leading to train accidents) Non-compliance with applicable rules and procedures; Inadequate technical expertise	Activity 3: Implementing the harmonised regulatory SERA technical framework Objective 3.2 Issuing Single Safety Certificates Objective 3.3 Issuing Vehicle Authorisation, including ERTMS on-board assessments Objective 3.4 Issuing ERTMS trackside approvals	Low (5)	Competency framework including operational tasks related to 4RP
4	Information security risk ((insufficient protection of information both Agency and third party)	• Temporary suspension, slowing down or delay on operational activities/services • Loss of information • Material financial loss • Data breach and liability for losses resulting from a data breach	In the context of: - increase visibility of the Agency following the starting of the new tasks (making the Agency more a potential added value target); - various threats affecting the Agency information security system (i.e. cyber-attacks, phishing, disclosure of information or passwords etc.) and - considering the insufficient and ineffective mitigating measures put in place (i.e. lack of an Information security management system, insufficient awareness on the issue at Agency level)	Activity 5: Delivering efficient and effective services Objective 5.1. Ensure good corporate governance	Medium (8)	Develop and deploy an Information Security Management System (Securis@ERA) to allow the Agency to guarantee that Information Assets under its responsibility have their confidentiality, integrity and availability protected at required level - Milestone 1: information assets valuable to the Agency are identified, ownership is allocated and security classification is decided
5	Misaligned ERA rail registers data and service not fitting into the purpose	a) VAs and SSCs delivery processes not supported by quality data b) Synergies between the various databases managed by the Agency and the delivery of new tasks not achieved c)Not delivering complete and accurate products/services d) Impose administrative burden to the rail sector	May be caused by : • Low quality of data input from external stakeholders • Lack of automatic internal consistency checks due to inadequate silo approach design of Agency registers	Activity 4: Monitoring, evaluating and reporting Objective 4.1 Collect and analyse evidence for decision making	Medium (9)	a) Incremental improvement the Railway registers based on a day by day business cases (including terms of use) b) Pilots on linking data between the different registers (3 pilots) c) Roadmap on railway data and digitalisation (ACT XXX)

Number	Title	Risk description Consequence/Cause		Activity/Objective 2020	Residual risk	Measures to achieve acceptable risk for management
		e) Differ measures to tackle issues of the Railway system f) More substantial and ad-hoc effort for Agency to obtain the required data for analyses	• Lack of harmonised legal framework imposing parameters sometime not interoperable)			
6	Security requirements create new barriers for interoperability	• Delays or limits to the implementation of key objectives in the field of interoperability (i.e. removal of technical barriers, cleaning up of national rules) • Member States could impose additional measures contradicting TSI or ERTMS specifications (e.g. KMS, ..) (even if the risk is outside the control of the Agency it may entail: - adverse reputation due to the perception the Agency is the main responsible for implementation of interoperability and -a higher workload (unplanned))	May be caused by : • Potential occurrence of malicious acts affecting the rail sector • Increase of (cyber) security attacks leads to development of additional security measure • Security is an area under the competence of MS which may develop national rules hindering interoperability	Activity 2: Developing the harmonised regulatory SERA technical framework Objective 2.2 Harmonised technical specifications (fixed installations and vehicles)	Medium (9))	a) Follow-up developments and assess the potential impact on the different activities of the Agencies and on the respective stakeholders b) (This action is not formalised; it is not meant to be carried out over a certain period of time, consuming resources and producing specific outputs)
7	EU priorities changed or not fully developed.	• Agency prioritization may not be effective in achieving desired (but unclear/unknown objectives) • Less efficient deployment of resources. • Disjointed approach to issues	May be caused by : • Change in Commission • Geopolitical shifts, requiring an EU adjustment. (wars, trade wars, climate change	Activity 1: Contributing to shaping target and global reference Objective 1.1 Strengthening global cooperation in rail Objective 2.1 Strategic development	Medium (9)	• Close collaboration with Commission (DG MOVE) to ensure Agency approach aligns with EC policy objectives. • Regular Liaison meetings with Commission and sector on emerging International issues • Regular updating of Agency Roadmaps so that teams understand what they are aiming at and what approach to take. • Updates to International strategy adopted by the Board. • Agency application of ISO 9000 management systems to monitor and manage changes.

Number	Title	Risk description Consequence/Cause		Activity/Objective 2020	Residual risk	Measures to achieve acceptable risk for management
8	Loss of interoperability after GSM-R	• Obsolescence of GSM-R technology (e.g. IMs or RUs decide to procure communication systems (replacing GSM-R) incompatible with target solution) • The Agencies Program on evolution of radio does not deliver timely (in 2022) new standards as replacement for GSM-R in the CCS TSI • Member state may decide on an allocation of radio spectrum incompatible with target solution	May be caused by : • No consensus on functionality, technical solution, migration strategy of the communication system • No suitable radio spectrum available, in particular for the transitional period • Low level of contribution by stakeholders to the Agency project (i.e. definition of new communication system), so that results of studies and standards are not sufficiently representative	Activity 2: Developing the harmonised regulatory SERA technical framework Objective 2.3 Harmonised Train Control System and telematics	High (15)	Define and implement a new system to replace GSM-R • Report to the EC on the definition of the new system a1) First intermediate report a2) Second intermediate report • Provide recommendation to the EC for changes in CCS TSI b1) First report b2) Second report Ensure continuation of the current GSM-R as long as possible (at least until the manufacturers will not support the system) (This action is not formalised)
9	Process of One Stop Shop not supporting adequately the business needs	Difficulties in the implementation of the Agency new tasks	May be caused by : - OSS Business specifications not in line with the real needs - Bugs in the OSS development - potential disruption of business or system failures - unsuccessful timely completion of the necessary procurement procedures for the maintenance services	Activity 3: Implementing the harmonised regulatory SERA technical framework (under 4 RP) Objective 3.2 Issuing Single Safety Certificates Objective 3.3 Issuing Vehicle Authorisation, including ERTMS on-board assessments Objective 3.4 Issuing ERTMS trackside approvals	High (12)	a. Change management process applied regularly for the OSS and the processes in order to be able to prioritise the change requests (ACT 2019-68) b. Regular releases/revisions c. Identification of acceptable workarounds before changes are implemented in a production release or an approved versions of the process d. Reinforcement of the involvement of the business in the UAT

Number	Title	Risk description Consequence/Cause		Activity/Objective 2020	Residual risk	Measures to achieve acceptable risk for management
10	Misalignment of stakeholders' priorities and expectations	i) Inability of the Agency to expose the reality of its work and to influence the way its message is received by the stakeholders II) Difficulties: - to approach stakeholders who are resistant/reluctant/ ambivalent to support Agency objectives - in maintaining stakeholders engagement II) Low interest of stakeholders in Agency's work Iv) Inconsistency and low quality of the messages sent by the Agency V) Uncertainties regarding the message to be conveyed;	a) Poor internal communication (non-reliability of available information, delays in receiving the necessary data) as well as insufficient coordination of Agency external communication b) Unstructured and consistent stakeholder feedback to identify the weaknesses in the communication process; c) Agency communication not 'customer oriented' and/or targeting all relevant stakeholders	Activity 2: Developing the harmonised regulatory SERA technical framework Activity 5: Delivering efficient and effective services Objective 2.4 Disseminating and training to support implementation of the EU framework Objective 5.4: Communicating effectively through website and social media	Medium (8)	a) Establishment of an ERA Academy and of a library containing dissemination and training materials packages b) Establishment of digital monitoring system (i.e. Meltwater) to monitor the presence and the online reputation of the Agency in the social media c) Review the internal communication process to reduce the risk of flaws of intra-Agency communication impacting the external communication
11	Crisis management - inability to manage crisis situations	i) Increased operating (e.g. to correct the product/service) and regulatory costs (stakeholder lawsuit); ii) Loss of revenues from fees (e.g. applicants choosing another to another authority body) iii) Loss of stakeholder trust	Context: New tasks and responsibilities under the 4th Railway Package, Unforeseen internal (malfunctioning of processes; HR issues and legality risks) or external events (e.g. political, financial)	Activity 5: Delivering efficient and effective services Objective 5.4: Communicating effectively through website and social media	High (15)	a) Implement a crisis plan/process b) Implement a system which enable quick and timely access to accurate Agency information in critical situations c) Perform a crisis simulation exercise (once action a) is finalised)
12	Business Continuity risk for Agency core functions in case of staff turnover and reprioritisation of tasks	i) Loss of critical information resulting in putting at risk the performance of critical business processes ii) Failure to ensure the continuity of core functions at an acceptable pre-defined level (i.e. endangering the achievement of Agency objectives) iii) Loss of knowledge iv) Financial and reputational damage	May be caused by : • Ineffective business continuity plan (core operational functions not determined) and inadequate preparation (training; awareness) b) Ineffective handover arrangements, back up procedures, loss of knowledge not adequately managed	Activity 3: Implementing the harmonised regulatory SERA technical framework (under 4 RP) Objective 3.2 Issuing Single Safety Certificates Objective 3.3 Issuing Vehicle Authorisation, including ERTMS on-board assessments Objective 3.4 Issuing ERTMS trackside approvals Activity 5: Delivering effective and efficient services	Medium (8)	a) Conduct a Business Impact Analysis (BIA) on the impact of a disruption to the functions (i.e. activities, services, infrastructure, human resources) that support the delivery of Agency key objectives

Number	Title	Risk description Consequence/Cause		Activity/Objective 2020	Residual risk	Measures to achieve acceptable risk for management
				Objective 5.2 Ensuring sound management of the Agency's human and financial resources and building facilities		
13	Risk of absence of a working language regime in the Agency	• Financial consequences -Translation costs impacting Agency budget • Legal consequences - Translation that can be contested in Court (increase number of litigations) and non-compliance with legal deadlines for delivering the Agency outputs • Reputational consequences	May be caused by: • Failure of the MS representatives in the Agency Management Board to agree on an implementing rule for the linguistic regime of the Agency • Increasing demands in translation in the context of the 4RWP tasks • Accumulation of backlogs and delays in translation • Errors/inaccurate translation of technical documents • Inappropriate implementation of art.74 of the AR on Language Arrangements	Mainly Activity 3: Implementing the harmonised regulatory SERA technical framework (under 4RP) Objective 3.1: Ensuring the coordination of the Fourth Railway Package implementation Objective 3.2 Issuing Single Safety Certificates Objective 3.3 Issuing Vehicle Authorisation, including ERTMS on-board assessments Objective 3.4 Issuing ERTMS trackside approvals	Low (5))	N/A
14	Risk of misalignment between S2R activities and regulatory provisions	• Regulatory provisions on railway interoperability & safety are not considered • European financial assistance not spend in most effective manner •missing access to available documents	• Due to potential different interests between the railway industry and railway service providers (e.g. railway undertakings), the Agency's research needs might not be taken into account under S2R projects (especially for developing ERTMS solutions)	Activity 4: Monitoring, evaluating and reporting Objective 4.3. Identifying research needs for the Target Rail System and supporting partner organisations in research and innovation	Medium (6)	Coordinate with S2R and the EC to ensure that the research needs identified by the Agency are properly taken into account under S2R projects at two levels: - Head of Unit level - Executive Director level

Number	Title	Risk description Consequence/Cause		Activity/Objective 2020	Residual risk	Measures to achieve acceptable risk for management
15	Gap in Agency Competencies (languages)	• Agency struggles to deliver statutory obligations • Dissemination activities are less effective. • Disruption to the wider activities of the Agency because of constant adjustment to project teams.	Caused by; • The Agency needs to process applications for VA and SSC in a very wide range of languages • Specific gaps in language skills (especially German)	All Agency Activities but primarily 3.2 & 3.3	Medium (8)	• Adjustment of recruitment to target language gaps • Use of pools of Experts • Use of regional workspaces
16	Risk of not compliance with the Data Protection Regulation 1725/2018	Consequences on confidentiality and integrity of the personal data giving effect to: i) Potential legal challenges (i.e. infringement of EU regulation, law suits); ii) Potential financial consequences (i.e. penalties from EDPS); iii) Potential reputation consequences (in the current context of the new tasks the outside perception could be that the Agency is unable to protect stakeholder data)	May be caused by: a) Insufficient resources to implement the necessary systems and processes to manage the data collected by the Agency b) Inadequate knowledge and poor understanding of the Data Protection regulation in a context of a technological (digital) environment with high degree of interconnectivity and interdependency and a variety of possible threats and vulnerabilities	Activity 5 Delivering efficient and effective services All objectives	Low (5)	Effective integration and implementation of the new GDPR framework including awareness about the roles and responsibilities
17	Potential limited cooperation from the stakeholders (e.g. NSAs, NoBos, NAs,etc.) involved in the monitoring process negatively impacting the monitoring activities of the Agency	'May lead to: Limited trust in the activities the Agency have to perform Potential negative consequence on VAs and SSCs delivery processes	'May be caused by: a) Unwillingness to be audited, possible refusal to provide documents, the planning of the audits, to exchange the development of audit plans, etc. (e.g. For the NSA monitoring, deadline of September 2021 to report to the MB could be compromised);	Activity 4: Monitoring, evaluating and reporting Objective 4.2. Monitoring	Medium (6)	

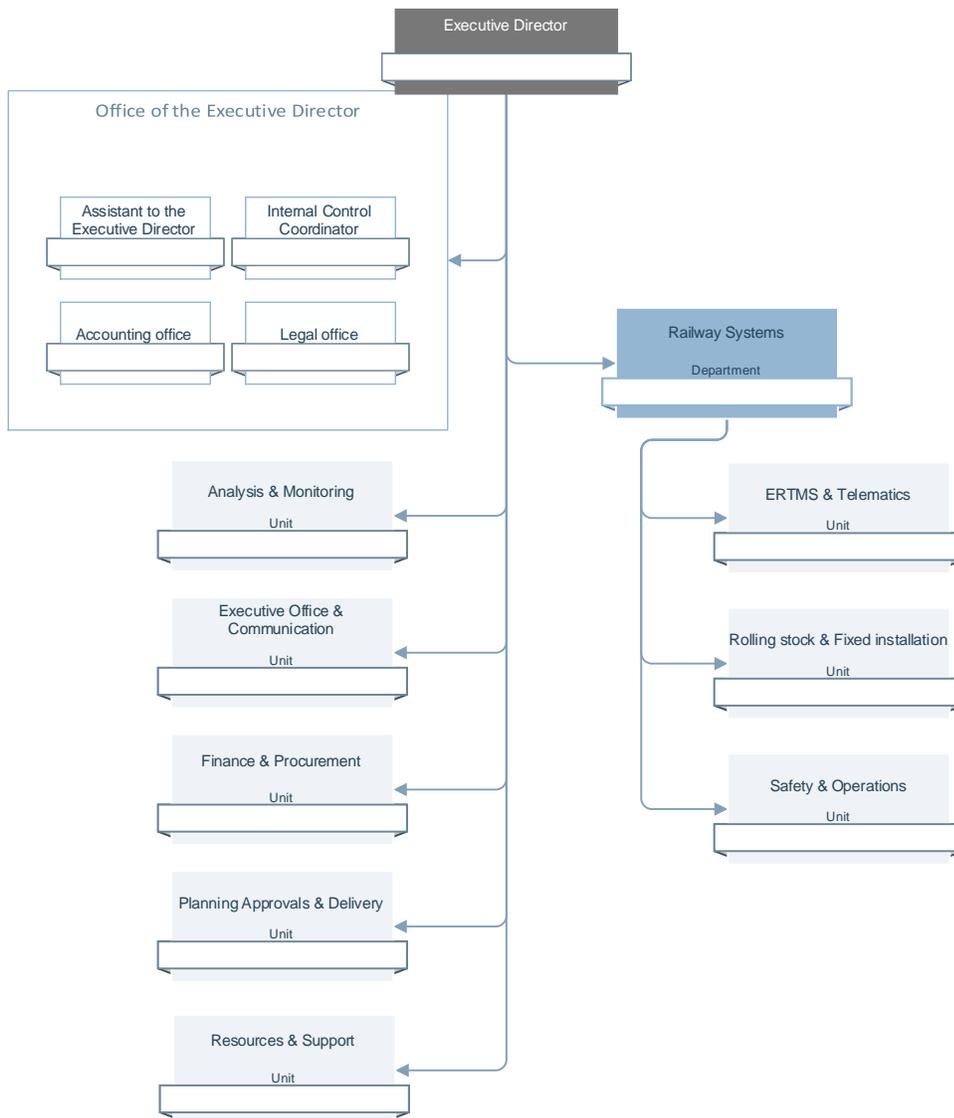| Number	Title	Risk description Consequence/Cause		Activity/Objective 2020	Residual risk	Measures to achieve acceptable risk for management
			b) Insufficient competent and skilled staff to perform the monitoring activities (from both sides _ auditors and auditees) c) Unavailability of Agency staff reallocated to other priorities (e.g. regulatory tasks)			
18	Potential limited cooperation from relevant stakeholders (RU, industry, manufacturers) contributing to impact assessment / ex-post evaluations negatively impacting the reliability of the process of economic evaluation	'May lead to: - Unreliable data and information to perform the impact assessment resulting in poor cost benefit analysis of Agency products/services and ineffective use of resources - Limited trust in the activities the Agency must perform re. impact assessment and should be perform re. ex-post evaluation (Article 8 of AR)	May be caused by: 'Possible refusal to provide documents, data and participate in meetings of importance for developing and delivering the analyses.	Activity 4: Monitoring, evaluating and reporting Objective 4.1. Collect and analyse evidence for decision-making	Medium (6)	N/A

Annex VIII: Procurement plan 2020

Calls for tenders to be launched

Activity	Title	Description	Indicative timeframe	Estimated amount to be committed in 2020	Market ceiling	Type of Contract
Activity 1	Development, revision and delivery of disseminations, trainings (EU Railway Regulatory framework)	The aim of the FWC is to help the Agency to support the implementation of the EU Railway Regulatory framework by : - revising the existing training materials - developing new dissemination and training materials - supporting the delivery of dissemination and trainings	Q1	50,000.00 €	600,000.00 €	Framework Contract
Activity 2	ICSI Membership 2020-2023	ICSI training material and consultancy for the members. Becoming a member will allow the Agency to participate in working groups and receive support on request.	Q1	46,000.00 €	46,000.00 €	Direct contract
Activity 5	Fourniture de réseaux de télécommunications de données nationaux et internationaux et services assoc	Fourniture de réseaux de télécommunications de données nationaux et internationaux et services associés afin d'interconnecter les différents sites de l'agence (Valenciennes (FR), Lille (FR) et Kayl (LU)) et si nécessaire une interconnexion avec Microsoft ExpressRoute	Q1	50,000.00 €	350,000.00 €	Framework Contract
Activity 5	Fourniture de réseaux de télécommunications d'accès à Internet et services associés	Fourniture de réseaux de télécommunications d'accès à Internet et services associés afin de connecter le site principal de l'agence pour les différentes connections existantes (corporate, guest et management)	Q1	50,000.00 €	350,000.00 €	Framework Contract
Activity 5	Safety conference in Valenciennes	Conference organisation to support the development of the Railway Safety Summit	Q1	240,000.00 €	240,000.00 €	Direct contract

Use of existing Framework contracts

Local Identifier	Description	Amount to be committed in 2020
ERA 2016 06 FWC (Lot 1)	FRAMEWORK SERVICE CONTRACT N° ERA 2016 06 FWC - COMMUNICATION SERVICES - LOT 1	45,000.00 €
ERA 2016 06 FWC (Lot 2)	FRAMEWORK SERVICE CONTRACT N° ERA 2016 06 FWC - COMMUNICATION SERVICES - LOT 2	80,000.00 €
ESMA_2018_02-1 IT Consultancy	ESP- EISD - IT CONSULTANCY (On-site IT services)	1,500,000.00 €
ERA 2019 02 FWC-01	SERVICES D'INTERPRÉTATION POUR L'AGENCE FERROVIAIRE EUROPÉENNE	100,000.00 €
ERA 2016 06 OP	CONTRAT-CADRE DE SERVICE - INTERNET ACCESS SERVICES	20,000.00 €
ERA 2016 03 OP	CONTRAT-CADRE DE SERVICE - DATA LINK SERVICES	30,000.00 €
FWC ERA 2017 39 ERA 2018 27 FWC	SERVICES TRAITEUR ET RESTAURATION RAPIDE POUR L'AGENCE DE L'UE POUR LES CHEMINS DE FER (Valenciennes et Lille)	150,000.00 €
ERA 2018 36 FWC	ERA 2018 36 FWC-01 ASSISTANCE ERTMS TRACKSIDE APPROVAL	250,000.00 €
ERA 2015 01 FWC + ERA 2019 06 FWC	Extra muros IT support, development and maintainance	980,000.00 €
DG DIGIT Framework contracts	Maintenance, softwares and licenses	610,000.00 €
DG DIGIT Framework contract	Microsoft support	250,000.00 €
EFSA Framework contract	Cloud services	100,000.00 €
PMO Framework contract	Travel Agency	200,000.00 €
FWC DI07720	Media monitoring service	25,000.00 €
DG SCIC - SCIC/C1/2018/FWC/02	Event management	215,000.00 €

Annex IX: Organisation chart

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                              Executive Director


   Office of the Executive Director


     Assistant to the        Internal Control
     Executive Director        Coordinator


       Accounting office        Legal office
                                                        Railway Systems
                                                          Department


         Analysis & Monitoring                       ERTMS & Telematics
                 Unit                                        Unit


         Executive Office &                      Rolling stock & Fixed installation
          Communication
                 Unit                                        Unit


         Finance & Procurement                       Safety & Operations
                 Unit                                        Unit


       Planning Approvals & Delivery
                 Unit


         Resources & Support
                 Unit
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