

Making the railway system
work better for society.

Consolidated Annual Activity Report of the EU Agency for Railways

2020

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Management Board's analysis and assessment

The Annual Activity Report 2020 of the EU Agency for Railways is prepared in line with the provisions of the Agency Regulation (EU) No. 796/2016 and those of the Commission Delegated Regulation (EU) 2019/715 of 18 December 2018 on the framework financial regulation.

The report describes the Agency's performance, together with financial and management information for the year 2020. The above-mentioned regulations also require the Management Board to adopt the Annual Activity Report and forward it by 1 July to the European Parliament, the Council, the Commission and the Court of Auditors, and to make it available to the general public.

The Agency has made the necessary efforts to align the content of the current report to the provisions of the Communication from the Commission on the strengthening of the governance of Union Bodies under Art. 70 of the Financial Regulation 2018/1046 and on the guidelines of the Consolidated Annual Activity Report, issued in April 2020.

Assessment by the Agency's Management Board

The year 2020 has significantly differed from previous years, as the world endured a global pandemic. As COVID-19 spread throughout Europe, policy makers sought new solutions to safeguard the health of citizens and imposed various restrictions, which have heavily impacted, among others, the rail sector.

In the same year, the European Commission published an important and ambitious strategy, the EU Strategy for Sustainable and Smart Mobility, building on the European Green Deal, which was published in 2019. These strategies detail the long-term expectations and targets the rail sector must eventually reach.

2020 also saw the ending of the transition period granted to the United Kingdom for an orderly departure from the Union. The consequences of this step have been felt by many sectors, including railways.

With this broader context in mind, the Board has assessed the Executive Director's report on the Agency's achievements and results for 2020. The Board acknowledges the Agency's performance and notes the following key aspects:

(1) The Management Board takes note of the Agency's timely and adequate response to the COVID-19 pandemic consequences, in relation to both its staff/working arrangements and to the railway sector.

The Management Board adopted the necessary decisions to ensure Agency's business continuity during the pandemic, including the necessary decision making arrangements for teleworking for Agency's staff and all the digital support needed for effective remote work. The Agency has put in place a task force for timely monitoring the pandemic situation and for taking real time decisions in order to safeguard staff's health and safety at work, while preserving their well-being and efficiency. Regular general assembly meetings have been put in place to keep staff informed and involved during this period.

The Management Board have been themselves regularly informed on the Agency's responses to the various phases of the pandemic. The Management Board was particularly satisfied with the resilience of the Agency's staff, which continued working efficiently almost entirely remotely.

In relation to the railway sector, the Agency prepared guidance documents and EU COVID-19 roadmaps for public transport by rail, which have been positively received by the railway stakeholders.

The Agency has made efficient and effective use of the remote meetings to preserve a high level of involvement for its external stakeholders. After the start of the pandemic, all the meetings with external stakeholders, including Management Board meetings, Executive Board meetings and working party meetings, have been organised remotely. For the purpose of the Management Board decision making, an online voting tool has been deployed.

The pandemic also created some budget availability due to the cancelling of different missions planned abroad. This budget was effectively put to good use to ensure the good continuity of the Agency's tasks, which were put under very tight budgetary constraint.

(2) Following a successful start of its new role in 2019, the Agency has continued in 2020 to perform its role of EU authority responsible for issuing authorisations for placing railway vehicles on the market, single safety certificates for railway undertakings and ERTMS trackside approvals, as stated in the legal framework of the 4th Railway Package. 2020 was an important milestone for the 4th Railway Package implementation, with the transition milestone of 16 June 2020 finally moved to the end of October 2020, marking the moment by which all Member States have transposed the technical pillar.

The Board expresses its satisfaction by noting that in the first 18 months of its new mandate, the Agency has been effectively performing its role of EU-wide authority. It also welcomes the transparency proven by the Agency in sharing up-to-date data on the number of applications and requests received and processed for its authority tasks. The delay of transition by four months has created additional challenges for the planning and resulted in exceptionally high workload towards the end of the year.

In addition, the Board notes the Agency's effective maintenance of the One-Stop Shop (OSS) as well as the upgrade of other registers, to fulfil the needs arising from the 4th Railway Package.

Furthermore, the Management Board expresses its satisfaction regarding the good continuation of the steering group activities which started 2019, allowing the Board to get reports about the Agency's preparedness for the 4th Railway Package and to address early issues linked to its implementation in a constructive manner.

(3) The Board notes that the Agency has continued to successfully deliver its tasks in the field of EU rail interoperability and safety.

The Board welcomes the continuous commitment from the Agency to the objective of creating a Single European Railway Area and its sustained work in key areas such as reducing national rules and ensuring the maturity of its technical specifications. More specifically, the Agency focused on identifying the priorities and establishing multi-annual plans to achieve the revision of the complete TSI package by 2022, as requested by the European Commission. The Board is content with the collaborative work between the Agency and the sector, which led to the adoption of the Change Control Management process and the Change Request tool. These are pre-requisites to ensure a coherent approach and maximize efficiency and accountability. In addition, the Board is content with the Agency's active contribution to the TWG Freight. The result of the work carried in the framework of TWG Freight would need to be channelled through the right regulatory approach.

The Board is pleased with the advancements made to develop ERTMS long-term evolution, through for instance the issuance of its ERTMS Opinion service pack 3 on the handling of change requests. The work to establish a European Vehicle Register (EVR) on the basis of the current ECVVR progressed in view of the official launching of the EVR in 2021. In addition, the Board welcomes the Agency's work and publications on safety culture. In this regard, the Board has itself started in 2020 a reflexion on how to promote safety culture in the context of its own decisions.

(4) The Management Board notes with satisfaction that despite the pandemic and the suspension of travels and on-site inspections and audits, the Agency has performed its tasks in the field of NSA monitoring, in line with the targeted scope, as well as the NoBo monitoring tasks.

The Management Board deems these activities significant to support the tasks related to issuing the VA and SSC, as well as for the TSI revision process; the Board therefore encourages the Agency to keep a sustained rhythm for these activities in the future. The Agency has also performed its important work on accident/incident analysis and NIB reporting.

(5) The Management Board appreciates the Agency's presence in relevant EU and international fora as well as its facilitating role in the context of the NSA, NIB and NRB cooperation.

While the approach to meetings representation was heavily affected by the COVID-19 pandemic, the Management Board acknowledges Agency's continued contribution in the framework of the RASCOP platform, CEN/CENELEC, OSJD, OTIF, NSA, NIB and NRB cooperation, as well as its key role played with the IPA and EuMedRail projects.

(6) The Management Board recognises the Agency's efforts to strengthen its strategic development in coordination with the European Commission and in relation to the Executive Board strategic agenda.

The Management Board welcomes Agency's efforts to ensure a strategic response to the emerging topic on data interoperability with an important milestone being represented by the adoption of the linked data mainstreaming, following the successful pilots presented to the Management Board. The Management Board was pleased to note the launch of the Better Together Project, addressing the need for cultural change in the organisation now that it has undergone a significant change in role and building on the structural changes introduced in 2018. The project successfully advanced in 2020, despite the COVID-19 related constraints. The Management Board acknowledges the Agency's presence in the context of the EC initiatives related to Women in Transport and encourages strengthening it in the future.

The MB appreciates the SPD 2022 workshop organised in 2020 in full remote mode and encourages the Agency to continue using a comparable concept for future workshops. Moreover, the Agency introduced in 2020 a new approach for the SPD 2022 onwards, following the guidance from the network of EU Agencies, as well as the recommendations by the European Court of Auditors. This entails a shift from the pure output-based performance monitoring to the outcome and impact oriented performance measurement, including the concept of accountability ceiling to delimit Agency's responsibilities in the larger context of stakeholders' involvement.

(7) The Management Board acknowledges the level of transparency of Agency's reporting on the SPD outputs achievement and on the budget execution, respectively.

In 2020, the Agency provided the Management Board with a regular monitoring of the outputs achievement, including early warning on indicators which might have faced a risk of not being achieved, in particular due to the exceptional situation of the pandemic and its impact on the regulatory calendar. This allowed both the Management Board and the Agency to have a pro-active approach in relation to the achievement of the SPD targets. Several updates of the SPD document have been adopted by the Management Board in 2020.

The Management Board acknowledges the Agency's efforts to make the budget execution as transparent as possible through regular reports. The Board is aware of the fact that the COVID-19 constraints, in particular in relation to meetings, have had an impact on the spending pattern and takes note of Agency's efforts to redeploy any mission and meeting related savings for urgent needs during the year.

(8) The Management Board acknowledges the efforts made by the Agency to respond to the emerging IT security needs. The Agency is maintaining a close cooperation with the EC and CERT-EU to ensure a proper IT security coverage for its operations, and appreciates the additional financial support by the Commission for this purpose.

(9) The Management Board notes Agency's continued work on complying with internal control standards and the constructive approach to the observations from the Internal Audit Service and the European Court of Auditors.

In addition, the Agency maintained its ISO 9001 certificate and extended the certification scope to the delivery process. The Management Board encourages the Agency to complement the assurance and compliance activities with initiatives related to increasing efficiency and performance, in line with the European Commission's recommendations.

(10) The Management Board welcomes the continued efforts of the Agency in terms of strengthening communication, adapted to the COVID-19 context, marked by the successful organisation of its first webinars, which gathered up to 1500 participants. The Agency also prepared several publications and videos, which have been positively perceived by the Agency's stakeholders. In addition, the Agency organized various training sessions and workshops throughout the year.

Conclusions and recommendations

(1) The information provided in the Annual Activity Report 2020 gives the Management Board sufficient assurance that the resources assigned have been used for their purpose in accordance with principles of sound financial management. In addition, the control procedures put in place provide the necessary guarantees concerning the legality and regularity of the transaction underlying the accounts.

(2) The Board witnesses a satisfactory degree of achievement of Agency's targets for the various outputs, as well as a satisfactory degree of achievement for its set of KPIs in 2020, while taking the global COVID-19 context and constraints into consideration. The Management Board encourages the Agency to continue the regular monitoring of budget spending and outputs achievement and to keep a standing agenda item on these aspects on the occasion of the Management Board meetings. The Management Board encourages the Agency to provide a regular monitoring of the operations related to its fees and charges related activities, in addition to the traditional ones linked to the EU subsidy.

(3) The Management Board recognises that the Agency has shown its preparedness to cope with the authority tasks in 2020 and encourages the Agency to increase its level of performance for the years to come. The Management Board will continue its close involvement in this with the help of the Steering Group.

(4) The Management Board strongly recommends to the Budget Authority to dedicate sufficient resources to the EU Agency for Railways, in line with the expected prioritisation of tasks. The envisaged budget and human resources constraints for 2021 onwards constitute an element of major concern for the Agency's Management Board. The implementation of the 4th Railway Package in particular and the European Year of Rail 2021 have identified a number of areas where more resources are required to deliver to the policy objectives for sustainable transport and mobility.

(5) The Management Board has effectively played its role in full remote mode in 2020. All the necessary decisions have been taken, ensuring the Agency proper governance. The Management Board has unfortunately still not managed in 2020 to decide on a language arrangement for the Agency.

(6) The Management Board will continue to monitor the satisfactory implementation of a proper budget management, of the internal control standards, of the IAS and ECA recommendations, respectively. In addition to strengthening its compliance and assurance activities, the Management Board encourages the Agency to address the efficiency and performance gains, in line with the European Commission recommendations.

(7) The Management Board appreciates Agency's efforts to strengthen the strategic planning of its activities in coordination with the European Commission and in line with the Executive Board's strategic agenda and encourages the Agency to continue these efforts in the future.

(8) The Management Board acknowledges Agency's proven efforts to ensure business continuity in this challenging period. Flexibility is needed now more than ever in order to effectively cope with the COVID-19 crisis impacts. In this context, the Management Board already notes Agency's efforts to ensure continuity of its operations and to accompany the railway sector in facing the related challenges.

(9) The Management Board adopts the Annual Activity Report by written procedure. In the light of the above analysis and assessment, the Management Board requests to forward this Report, together with this analysis, to the European Commission, the European Parliament, the Council, the Permanent representatives of the Member States and the Court of Auditors.

29/06/2021

Clio Liégeois,
Chairwoman of the Management Board

Executive summary

The Consolidated Annual Activity Report for 2020 provides an overview of the activities and achievements against the work programme of the Agency. It follows the guidelines established by the European Commission, and as such takes into account the main internal and external factors which have influenced the work of the Agency. Of course, the biggest and most impactful external factor in 2020 was the COVID-19 pandemic. The Agency adapted quickly and operated remotely for most of 2020. It embraced digital changes allowing for the continuity of business as usual, while keeping or, in some instances, increasing its efficiency. Some activities carried out by the Agency had to be cancelled, especially those involving event organisations and meeting with partners. However, overall, the Agency has been quite successful in achieving its milestones and delivering on its core mission throughout the year.

The Agency's **main achievements** of 2020 can be summarised as follows:

- › A successful performance in the Agency's role of authority within the framework of the 4th Railway Package technical pillar. 2020 was an important milestone for the 4th Railway Package implementation, with the transition milestone of 16 June 2020 eventually moved to the end of October 2020, marking the moment by which all Member States have transposed the technical pillar;
- › Upgrading of ERADIS to better support the issuing of Single Safety Certificates in OSS and their publication in ERADIS;
- › Upgrading of ERADIS ECM module to allow relevant actors to submit and publish ECM certificates according to schemas as defined in the Commission Implementing Regulation (EU) 2019/779 of 16 May 2019;
- › Finalising the signature of the Cooperation Agreements with the NSAs;
- › Supporting the Commission in the ambition to deliver a revision of the whole TSI package in less than two years by putting in place a new approach and new tools to support the experts in their revision and related deliverables;
- › Monitoring successfully and efficiently NSAs and NoBos based on the schemes defined in the previous years and the learning acquired in the pilot phase;
- › Delivering the Opinion on the ERTMS error correction - service pack 3 and focusing on the improvement of ERTMS robustness against cyber threats, and strengthening the cooperation with EC and ENISA aiming at developing a coherent approach at EU level;
- › Contributing successfully to promoting the Risk Management Framework for the Transport of Dangerous Goods;
- › Starting up the workstream on the development of a CSM on Assessment of Safety Levels and Safety Performance (ASLP), with delivery of a "Big Picture" document, setting the scene for further discussion and development;
- › Progressing with the safety culture model and with attracting more organisations to sign the safety declaration;
- › Recommending to the Commission elements leading to a full revision of the TAP TSI focused on facilitating ticketing and multi-modal travel at national and domestic level;
- › Keeping as much as possible, within the COVID-19 context, an active presence in EU and international fora (CEN/CENELEC, RASCOP, OTIF, OSJD) and playing an active role in the implementation of the IPA and EUMedRail projects;
- › Strengthening the strategic development in coordination with the European Commission and in relation to the Executive Board strategic agenda. The Agency responded, among others to the emerging need of mainstreaming the linked data approach, following the successful implementation of the linked data pilots together with the sector;
- › Using available IT tools to digitalise the Agency's workflows. This improvement has enabled remote work during the pandemic and support the reduction of the Agency's carbon footprint. It has to be noted that the One-Stop Shop proved to be working extremely well under the pandemic supporting full business continuity for the authority tasks;
- › Preparing the content for training modules on VA, SSC and OSS and delivering successful training sessions, which are an important enabler for the delivery of its authority tasks;
- › Establishing the European Vehicle Register (EVR), which has been available for testing. The EVR will be put in production in 2021, when it will be considered stable by the community of registration entities;
- › Maintaining a strong presence in the media, with an increase of LinkedIn posts of 318% compared with the previous year. The Agency has also organised several webinars, with audiences reaching close to 1500 participants.

The Agency ensured a high level of transparency by regularly monitoring and sharing with the Management Board the level of achievement of its SPD outputs and the level of its budget execution, respectively. This also allowed for a quick

redeployment of any savings due to the cancelation of meetings and missions to cover urgent needs during the year, on the background of a persisting under-financing of the Agency's activities. The work on the efficiency gains and performance was initiated and will impact future SPDs and CAARs, in line with the European Commission's requirements and recommendations. This work is particularly important within the context of the Agency's resource constraints.

The Report reveals a satisfactory degree of achievement of Agency's targets for the various outputs, as well as a satisfactory degree of achievement for its set of KPIs. The Agency acknowledges that there is always room for continuous improvement and strives to continuously increase the rate of achievement of its objectives and targets. The report confirms a sound management of the budget, financial- and human resources. The Agency is properly following the audit results and audit recommendations received. The Agency's Management assurance is provided with no reservations.



Part 1 - Achievements of 2020

This part of the report records:

- › the main achievements for the Agency's activities against SPD 2020
- › the achievement of Agency's KPIs, as defined in SPD 2020

All the annual achievements reported below are supporting the multi-annual objectives defined in SPD 2020.

A source of information is envisaged for the deliverables, which might refer to the Agency's Intranet, Extranet or website. Please note that some of the links might not have open access. A justification column is envisaged to explain the reasons for non-achievement or partial achievement, where the case.

In **Activity 1** the work has been dedicated to strategic development, focusing on topics such as strengthening of the EU framework outside of the EU, the mainstreaming of interoperable data, the organisation's culture change and the Women in Transport project. In parallel, the Agency continued to organise the meetings of the NSA Network, the NRB management and coordination and the NIB cooperation, respectively, by adjusting to the COVID-19 context and re-orienting towards remote meetings. The work related to the EUMedRail project and the IPA project has been substantially impacted by the travel and meeting restrictions. Agency's work in the field of safety culture has successfully continued in 2020.

In **Activity 2**, the year 2020 was mainly dedicated to identifying the priorities and to establishing a multi-annual planning for the revision of the complete TSI package by 2022, as requested by the EC mandate. To ensure a coherent approach across the diverse technical domains, and to maximise efficiency and accountability, the Agency and the Sector adopted the Change Control Management process and the Change Request tool, with a renewed organisation which includes Working Party and Topical Working Groups. In parallel, a strong focus was maintained on the cleaning up of the remaining national technical, safety and operational rules constituting obstacles to smooth rail operations.

In **Activity 3**, the Agency continued to effectively perform its role of authority responsible for issuing authorisations for placing railway vehicles on the market (VA), single safety certificates (SSC) for railway undertakings and ERTMS trackside approvals. 2020 was an important milestone for the 4th Railway Package implementation, with the transition milestone of 16 June 2020 eventually moved to the end of October 2020, marking the moment by which all Member States have transposed the technical pillar. The Agency maintained the OSS and upgraded other registers, so as to fulfil the needs arising from SSC, to comply with ECM Regulation (EU)2019/779, to receive notifications of national safety rules, and to enable the exchange of data between RINF and stakeholder' systems. The work to establish an European Vehicle Register (EVR) on the basis of the current ECVVR has progressed in view of the official launching of the EVR in 2021.

In **Activity 4**, the Agency continued in 2020 its NSA and NoBos monitoring activities, which were carried out remotely due to the COVID-19 pandemics. Furthermore, the Agency continued its activities on accident/incident analysis and NIB reporting. The analytical tasks linked to the impact assessment of recommendations and opinions were maintained, as well as ad-hoc ex-post evaluations, the reporting of progress on safety and interoperability, and the annual assessment of safety targets achievements. The research activities focused on the identification of SERA research needs taking into account the return of experience, and the management of their integration and their follow-up into the relevant rail research programmes, which were mainly linked to the cooperation under Shift2Rail. Additionally, the Agency has developed 'A compelling vision for the target rail system' and communicated it to the public through different means, including a video and a webinar.

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

1.1 Activity 1. Contributing to shaping target and global reference

Objective 1.1 - Strengthening global cooperation in rail

<i>Main projects/services</i>	<i>Output indicator</i>	<i>Target 2020</i>	<i>Achievements in 2020</i>	<i>Source of information</i>	<i>Justification for partly/ not achieved targets</i>
Coordination of international relations	Collaboration with OSJD and OTIF	Ensured	Achieved	OTIF: Link OSJD: Link	NA
	Engagement with other international regulation bodies (Platform of regulators)		Partly achieved	NA	Due to the COVID-19 pandemic, no meeting of the platform of rail regulatory bodies could be organized. However, exchange of emails ensured continuity of contacts, as well as virtual meetings with other international regulation bodies.
	Support to EC in wider international engagement		Achieved	NA	NA
Networks	NSA Network	Organised	Achieved	Extranet: Link	NA
	NRB management and Coordination		Achieved	Extranet: Link	NA
	NIB cooperation		Achieved	Extranet: Link	NA

Objective 1.2 – Strategic Development

<i>Main projects/services</i>	<i>Output indicator</i>	<i>Target 2020</i>	<i>Achievements in 2020</i>	<i>Source of information</i>	<i>Justification for partly/ not achieved targets</i>
Agency's strategic development	Number of multi-annual roadmaps developed for priority topics from the programming document	At least 2*, published on website	Achieved	Website: Link	NA

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

<i>Main projects/services</i>	<i>Output indicator</i>	<i>Target 2020</i>	<i>Achievements in 2020</i>	<i>Source of information</i>	<i>Justification for partly/ not achieved targets</i>
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	Partly achieved	Website: Link	Draft final CSM text under consultation instead of final recommendation sent to EC.
Integrate human and organisational factors	Report on integrating HOF risks in Automation	Delivered	Achieved	Extranet: Link	NA
	No. sector HOF experts reached through virtual network	40 active participants if adequate platform available	Not achieved	NA	Due to the Covid-19 situation, it was decided to integrate it in the overall ERA platform. As an alternative, the desired outcome of raising awareness on and supporting stakeholders with the integration of HOF was reached through a virtual event.
Develop safety culture	European Safety Culture Model and assessment method: - Guides of safety culture assessment	Delivered	Achieved	Website: link	NA
	Process for evaluation of Safety Culture at EU level	Process developed and tested	Achieved	Extranet: link	NA

Objective 1.4 – Implementing the EUMedRail Project

<i>Main projects/services</i>	<i>Output indicator</i>	<i>Target 2020</i>	<i>Achievements in 2020</i>	<i>Source of information</i>	<i>Justification for partly/ not achieved targets</i>
Workshops and technical visits	No. of national workshops involving one beneficiary	6	Not achieved Only 1 workshop could be organised before the COVID-19 pandemic: 25-26/02/2020 in Algeria.	SPD 2020 amendment/intranet: link	Due to COVID-19 impact on travel between Europe and the region, the planned national workshops as well as bilateral meetings could not take place in 2020. The use of alternative and remote means is actively considered by the Agency with our partners but the quality and availability of IT systems/equipment varies amongst the stakeholders and in some cases does not allow an effective exchange.
	No. of regional workshops involving more than one beneficiary	2	Partly achieved 02/03/2020 – Belgrade/Serbia 22/05/2020 - Online 19/05/2020 - ERA webinar “Safety Culture” online	Intranet: link	
	EUMEDRAIL annual conference	Delivered	Not achieved	NA	The event planned to take place on 3&4/11/20 in Lille had to be cancelled because of COVID-19 travel restrictions.
Traineeship arrangements for experts of the region	No. of trainees from the beneficiaries at the Agency	6	Partly achieved	SPD amendment: link	Due to COVID-19 impact on travel between Europe and the region, the planned traineeships could not be fully organised.
	All beneficiaries represented	Yes	Not achieved	SPD amendment: link	
Experts participation to meetings organized by the Agency Support to Cooperation with DG NEAR / UfM	No. of meetings/events organized by the Agency, where the experts from the region attend No. of UfM working group meetings attended	6 All (est: 3)	Not achieved	SPD amendment: link	Due to COVID-19, the technical visits are postponed to a later date. UfM meetings are set up by UfM and EC - no UfM meeting had been arranged.
Experts participation to meetings organized by the Agency	Evaluation of UfM documents related to rail transport	Performed	Not achieved	SPD amendment: link	UfM meetings are set up by UfM and EC - no UfM meeting had been arranged.

Objective 1.5 – Implementing the IPA Project

<i>Main projects/services</i>	<i>Output indicator</i>	<i>Target 2020</i>	<i>Achievements in 2020</i>	<i>Source of information</i>	<i>Justification for partly/ not achieved targets</i>
Dissemination packages including an overview of the legislation	Prepared	Yes	Not achieved	NA	Dissemination on site was not possible due to Corona-Pandemic; online dissemination not accessible to all beneficiaries. The use of alternative and remote means is actively considered by the Agency with our partners but the quality and availability of IT systems/equipment varies amongst the stakeholders and in some cases does not allow an effective exchange.
	Delivered	1	Not achieved	NA	
Training course on Risk Management	Prepared	Yes	Not achieved	NA	The training course will only be delivered in 2021 due to safety staff shortage.
	Delivered	1	Not achieved	NA	
Training course on Safety Management System	Prepared	Yes	Not achieved	NA	The training course will be delivered in 2021 due to safety staff shortage.
	Delivered	1	Not achieved	NA	
E-learning	Deployed	Yes	Achieved	Extranet: link	NA
Technical support for analysis of national rules	Satisfied requests	100%	Achieved	Extranet: link	NA
Participation of IPA reps to NSA network meetings and NIB plenaries	No. of reps invited	7	Partly achieved	Intranet: link	This target was achieved for the NSA-Network (55th NSA Network Meeting).
Participation of IPA professionals to NSA Monitoring and NIB peer-review	No. of reps invited	7	Partly achieved		1 expert from Kosovo* followed ERA's Monitoring of NSA Poland as an observer. The NIB Peer review meetings 2020 have been rescheduled for 2021 (due to COVID-19 travel restrictions).
IPA Project management	Project documentation	Issued	Achieved	Intranet: link	NA
	Interim reports to EC	Issued	Achieved	Extranet: link	

1.2 Activity 2. Developing the harmonised regulatory SERA technical framework

Objective 2.1 - Harmonised Railway Operations and Management Systems

<i>Main projects/services</i>	<i>Output indicator</i>	<i>Target 2020</i>	<i>Achievements in 2020</i>	<i>Source of information</i>	<i>Justification for partly/ not achieved targets</i>
Harmonised Operational rules	Priorities for MS projects identified.	Priorities agreed	Achieved	Extranet: link	NA
	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).	Solutions discussed with RFC and published, in priority the Train Braking solution	Achieved	Intranet: restricted access due to confidentiality Romania: OPI-2020-9 Bulgaria: OPI-2020-8	NA
		June 2020: first AMOC delivered in relation to ILB priority 1 and 2	Not achieved	NA	Meeting scheduled for February 2021
Risk management	Workshops on risk analysis and Management	Workshop developed	Not achieved	NA	The workshop had to be cancelled because of the pandemic and its impact on the availability of the required trainers.
Activities related to Risk Management for transport of dangerous goods	Output indicator: - EUDG meetings - Prototype(s) - development of the Risk Management Platform with a cloud based environment	2 meetings 1 workshop Feedback on these activities to specialised TDG meetings	Achieved	Extranet: link Link to webinar Extranet: Link to RMP	NA

Objective 2.2 - Harmonised Technical specifications (fixed installations and vehicles)

<i>Main projects/services</i>	<i>Output indicator</i>	<i>Target 2020</i>	<i>Achievements in 2020</i>	<i>Source of information</i>	<i>Justification for partly/ not achieved targets</i>
TSIs revision package	Achievement of the 2022 TSI revision Package	Process in place	Achieved	NA	NA
		CR planning agreed	Not achieved	NA	No evidence available to support the agreement on the CR planning.
		100% CRs delivered according to the planning	Achieved	NA	NA
	Report on operation of composite brake blocks in winter conditions	Report issued	Achieved	Extranet: link	NA
National Technical Rules management	Agency internal procedure on NRs management applied	95% of the files respecting the deadlines of the procedure and without nonconformity	Partly achieved	Extranet: link	Target difficult to assess, the indicator will be reconsidered for the next planning cycles.
	Assessment on NRs for FI	95% of the assessment delivered on time	Partly achieved	Extranet: link	Target difficult to assess, the indicator will be reconsidered for the next planning cycles.
Joint Network Secretariat	Agency internal procedure on JNS applied	100% of the cases follow the plan agreed by the secretariat	Achieved	Extranet: link	NA

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

<i>Main projects/services</i>	<i>Output indicator</i>	<i>Target 2020</i>	<i>Achievements in 2020</i>	<i>Source of information</i>	<i>Justification for partly/ not achieved targets</i>
Manage Radio Communication evolution	Agency document on definition of new radio communication system, as input for EC report	Agency doc. provided by Q4 2020	Achieved	Extranet: link / link	NA
Manage ERTMS long term evolution	ERTMS Opinion service pack 3 for handling of Change Requests	Issued by Q4 2020	Achieved	ERA website: link	NA
	TSI CCS 2022 revision	Progress report issued on CRs closed/initiated Q4 2020	Achieved	Extranet: link	NA
	Agency Report assessing the ESC/RSC types	Issued by Q2 2020	Achieved	ERA website: link	NA
Manage the evolution of Telematics application for passengers (TAP TSI)	Change requests included in TAP technical appendices, according to the CCM process TAP TSI application guides revise	Technical appendices published on Agency's website by Q2 2020 TAP TSI application guides published on ERA's website Q2 2020	Not achieved	NA	The intermediate report on the TAP TSI revision was sent to EC in Jan 2021. The updated technical documents were published in December 2020 on the ERA website . Due to the integration of the TAP TSI in the TSI revision package 2022, the revision of the text of the TSI has a higher priority than the application guides.
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	Partly achieved	NA	Recommendation shifted to Q3 2020 as result of the Social Consultation, where additional comments have been raised, resulting in additional WP meetings.
	Change requests included in TAF technical appendices, according to the CCM process	Technical appendices published on Agency's website by Q2 2020	Achieved	ERA website: link	NA

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

<i>Main projects/services</i>	<i>Output indicator</i>	<i>Target 2020</i>	<i>Achievements in 2020</i>	<i>Source of information</i>	<i>Justification for partly/ not achieved targets</i>
Creating the ERA Academy	Status of the e-learning portal	Deployed	Partly achieved	Test environment: link Extranet: link to plan for creating the production environment	The ERA Academy e-learning portal has been created for demonstration purposes only and further discussions with IT have taken place to also host Moodle internally.
Creating content for internal and external training and dissemination (FWC included)	Content for the 2020 priorities (training modules and dissemination activities)	Deployed	Not achieved	NA	This was not achieved since it would be part of the FWC deliverable. The call for tender has been cancelled due to budget constraints.
	Fine tuning for content developed in 2019	Delivered	Not achieved	NA	This was not achieved due staff members unavailability in 2020.
	Training modules on Risk Assessment & Monitoring	Training modules for E-learning are created	Not achieved	NA	This was not achieved due staff members unavailability in 2020.
Organising ERA events (Innotrans, IRSC, ETCR, Safety Conference, Maintenance Conference, HOF automation Seminar)	Events organised according to 2020 priorities	Venue and date identification for the IRSC 2022	Partly achieved	Extranet: link	The country has been identified. The event plan is under control but the Agency is awaiting a confirmation from the business partner regarding the funding. The lack of dates is a consequence of that.
Delivering dissemination through NSAs	Dissemination activities according to 2020 priorities	5 workshops delivered (2 online and 3 onsite)	Achieved	Extranet: link	NA
Delivering trainings to PoE	Dissemination activities according to 2020 priorities	3 trainings delivered	Achieved	Extranet: link	NA
Delivering training on SMS, Safety Culture, Safety Leadership and HOF	Training activities according to 2020 priorities	6 training sessions delivered	Achieved	Evidence has been checked and is available in ERA records, but cannot be disclosed publicly as it contains confidential business information.	

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

Objective 3.1 - Ensuring the coordination of the Fourth Railway Package implementation

<i>Main projects/services</i>	<i>Output indicator</i>	<i>Target 2020</i>	<i>Achievements in 2020</i>	<i>Source of information</i>	<i>Justification for partly/ not achieved targets</i>
Revision of SSC guides and procedures	Proportion of major problems detected during operation, for which solutions are proposed in the relevant document	95%	Achieved	ERA website: link	NA
Revision of VA guides and procedures	Proportion of major problems detected during operation, for which solutions are proposed in the relevant document	95%	Achieved	ERA website: link	NA
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%	Achieved	Intranet: link	NA
OSS releases	Proportion of significant problems detected during operation for which solutions are available in a next release.	95%	Achieved	Extranet: link	NA
Negotiation of the Cooperation Agreements with NSAs	Proportion of signed Cooperation Agreements by 31/10/2020	100%	Achieved	Extranet: link	NA
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%	Achieved	Intranet: link	NA

Objective 3.2 - Issuing Single Safety Certificates

<i>Main projects/services</i>	<i>Output indicator</i>	<i>Target 2020</i>	<i>Achievements in 2020</i>	<i>Source of information</i>	<i>Justification for partly/ not achieved targets</i>
Issuing Single Safety Certificates	Proportion of decisions taken according to the legal framework deadlines (for completeness and assessment phases)	100%	Achieved	Intranet: link	NA

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

<i>Main projects/services</i>	<i>Output indicator</i>	<i>Target 2020</i>	<i>Achievements in 2020</i>	<i>Source of information</i>	<i>Justification for partly/ not achieved targets</i>
Issuing Vehicle Authorisation, including ERTMS on-board assessments	Proportion of decisions taken according to the legal framework deadlines (for completeness and assessment phases)	100%	Achieved	Intranet: link	NA

Objective 3.4 - Issuing ERTMS trackside approvals

<i>Main projects/services</i>	<i>Output indicator</i>	<i>Target 2020</i>	<i>Achievements in 2020</i>	<i>Source of information</i>	<i>Justification for partly/ not achieved targets</i>
Issuing Approvals	Proportion of decisions taken according to the legal framework deadlines (for completeness and assessment phases)	100%	Achieved	Intranet: link Evidence can be found in OSS. No approvals delivered in 2020. As far as it is a restricted environment, this PPT file offers an extract of the ongoing approvals.	NA

Objective 3.5 - Railway system data

<i>Main projects/services</i>	<i>Output indicator</i>	<i>Target 2020</i>	<i>Achievements in 2020</i>	<i>Source of information</i>	<i>Justification for partly/ not achieved targets</i>
ERADIS (development and operation)	Compliance with ECM regulation 2019/779	Released by December 2020	Achieved	ERADIS: link , link , link	NA
	Update of OSS/ERADIS APIs to fulfill the minimum needs arising from SSC	Released by December 2020	Achieved	ERADIS: link Extranet: link	NA
	% of safety certificates and of licenses published on time	98%	Achieved	Intranet: link , link	NA
	No of workshops/ trainings organized for ERADIS users from NSA staff and NoBos if needed	4	Not achieved	NA	In the absence of relevant requests, no workshop needed to be organized in 2020.
SRD (development)	A first limited version of SRD available in 2020	SRD able to receive notifications of safety rules by August 2020	Partly achieved	ERA website: link	SRD version able to receive notification of safety rules was deployed to production on 05/11/2020 instead of August 2020.
		Migration from Notif-IT to SRD will start from September 2020	Not achieved	NA	In the Workshop with RISC the Agency presented the templates and the user manual. The EC requested the MSs to provide the Agency with the filled-in templates. The Agency is working on the assessment of the rules and once this is finalized, the rules will be migrated to SRD.
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 SRD development	Achieved	Extranet: link	NA
	% System availability for RDD	98%	Achieved	Intranet: link	NA
ERATV (development and operation)	OSS/ERATV integration ready in test environment	Ready for testing by November 2020	Not achieved	NA	The change request for ERATV OSS integration was scoped out due to

					prioritization of resources. It will be reconsidered in 2021.
	% of change requests that will form the scope of the ERATV release implemented	100%	Achieved	Extranet: link ERATV: link	NA
	% System availability	98%	Achieved	Intranet: link	NA
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	October 2020	Partly achieved	Extranet: link	First version of the RINF future data architecture study has been presented to the sector.
	APIs development to enable exchange of data between RINF and stakeholders' systems (machine to machine communication)	Release by December 2020	Partly achieved	RINF: link	
	% System availability	98%	Achieved	Intranet: link , link	
VKMR (operation)	% VKM published	100%	Achieved	ERA website: link	NA
Establishing an EVR on the basis of the current ECVVR	Migration of local NVRs to EVR	Started	Not achieved	NA	EVR migration procedures have been drafted but the official launch of EVR is scheduled for June 2021.
	Connection of decentralized NVR to EVR	Started	Not achieved	NA	
	% system availability	98%	Not achieved	NA	
Organisation's codes (development, harmonisation of the different ERA databases)	% of ERA databases using data on organisations identified	100%	Achieved	ERA website: link	NA
	Roadmap for harmonization of company codes in the different ERA databases	Defined by December 2020	Not achieved	NA	Specifications for the code allocation tool and Application Guide are published. The principles to harmonise the company codes with the delivery of organisation codes were specified in the EVR Guidelines. The Agency still needs to clarify the list of category of organisations.

1.4 Activity 4. Monitoring, evaluating and reporting

Objective 4.1 - Collect and analyse evidence for decision making

<i>Main projects/services</i>	<i>Output indicator</i>	<i>Target 2020</i>	<i>Achievements in 2020</i>	<i>Source of information</i>	<i>Justification for partly/ not achieved targets</i>
Impact assessments for recommendations and opinions	% of issued recommendations and opinions accompanied by an impact assessment	100%	Partly achieved	Intranet: link	The very light impact assessment is contained in the Technical Opinion OPI2020-1. A formal impact assessment was not necessary as it does not provide any additional elements to the Opinion.
Ex post assessments for selected topics	Number of completed ex post evaluations	At least 2	Achieved	Intranet: link	NA
Economic Steering Group and task forces	Task Force Report endorsed by ESG	Delivered by December 2020	Achieved	Intranet: link	NA

Objective 4.2 – Monitoring

<i>Main projects/services</i>	<i>Output indicator</i>	<i>Target 2020</i>	<i>Achievements in 2020</i>	<i>Source of information</i>	<i>Justification for partly/ not achieved targets</i>
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 or delivered to NSAs in case of impossibility to hold the workshop	Achieved	Extranet: link	NA
NSA monitoring	No. of audit reports finalized	At least 5	Achieved	Restricted access to reports pursuant to MB Decision n°161	NA
	No. of follow – up audits	At least 1	Achieved		

Support the NIB Peer review system	ERA to attend as observer to the NIB Peer Reviewed	Attend at least remotely, if possible, at least 2/3 of the NIBs Peer review meetings by Q4	Not achieved	NA	The unfavorable development of the COVID-19 pandemic during July and August 2020 has resulted in travel restrictions across the EU. As a result, the NIB Peer Review Task Force has concluded that the on-site visits could not be carried out as planned and have to be postponed to the year 2021.
Review of NIB accident investigation reports	Qualitative analysis of NIB accident investigation reports	Draft summary analysis delivered (publication will be done in Q1 2021)	Achieved	Extranet: link	NA
NoBos monitoring	No. of reports for NoBos audit/inspection	4	Achieved	Extranet: link	NA

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

<i>Main projects/services</i>	<i>Output indicator</i>	<i>Target 2020</i>	<i>Achievements in 2020</i>	<i>Source of information</i>	<i>Justification for partly/ not achieved targets</i>
Technological Watch	Service reviewed considering the results of the report of 2019	Second report done in 2020	Achieved	Intranet: link	NA
Support to S2R as requested by the S2R regulation	Research projects of interest for ERA identified, followed and monitored	100% of S2R projects analysed and projects of interest for ERA identified	Achieved	Intranet: link	NA
Cooperation with other research bodies (ERRAC, EASA, other)	ERA 2021 needs for research identified	50% of projects of interest for ERA monitored according to available resources	Partly achieved	Intranet: link	Lack of available resources

		ERA 2021 needs for research fed in time to the relevant EU bodies (ERRAC, S2R, EC)	Achieved	Intranet: link	NA
		Up to 2 Research Steering Group (RSG) meetings per quarter; 2 internal sessions on the Technological Watch (in Q1 and Q3)	Achieved	Intranet: link to RSG meetings link to TechWatch library	NA

Objective 4.4 - Reporting on the Railway System

<i>Main projects/services</i>	<i>Output indicator</i>	<i>Target 2020</i>	<i>Achievements in 2020</i>	<i>Source of information</i>	<i>Justification for partly/ not achieved targets</i>
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	Achieved	ERA website: link	NA
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	Achieved	ERA website: link	NA
	Support for the EC report to the European Parliament and to the Council on the implementation of the Safety Directive	Provided by Q4 2020	Achieved	Intranet: Link to request for Agency inputs; Link to annex setting content of Agency inputs; Link to Agency inputs	NA

1.5 Activity 5. Delivering efficient and effective services

Objective 5.1 - Ensure good corporate governance

<i>Main projects/services</i>	<i>Output indicator</i>	<i>Target 2020</i>	<i>Achievements in 2020</i>	<i>Source of information</i>	<i>Justification for partly/ not achieved targets</i>
Issuing and updating SPD and AAR	SPD 2021	Adopted by MB	Achieved	ERA website: link	NA
	CAAR 2019	Adopted by MB	Achieved	ERA website: link	NA
Supporting EB and MB meetings	% of mandatory decision topics for 2020 covered by the EBMB meetings	100%	Achieved	ERA website: link	NA
ICC services	% of nonconformities identified for which corrective/ preventive actions are established	100%	Achieved	Intranet: link	NA
	Agency' most significant risks identified and assessed. Remedial actions plans	Documented and reported in AAR	Achieved	ERA website: link (section 3, page 54) Intranet: link	NA
	% of ERA staff re-trained on antifraud and ethics	at least 15%	Partly achieved (16,4% for Antifraud training; 7.2% for Ethics training; average: 11,8%)	EU Learn: Training tool for ERA staff	Due to COVID-19, classroom training had to be cancelled and replaced by remote trainings (the contractor could not adjust on time to the new requirements).
	% of updated declarations of interest of staff submitted	90%	Achieved (94.38%)	Restricted access (Data protection)	NA
Legal support	% of legal acts issued by ERA, as defined by the Agency regulation, for which legal advice was provided	100%	Achieved	No link available	NA
Accounting	Opinion in the CoA annual report on reliable Agency accounts	Positive	Achieved	ERA website: link	NA

Integrated Management System	Rate of closing pre-2020 audits findings	100%	Partly achieved (67%)	Intranet: link	A plan for closure has been developed that extends into 2021.
	ISO 9001 certification	ISO 9001 certificate maintained and extended to the delivery processes	Achieved	Intranet: link	NA
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	Partly achieved	Intranet: link	ERA Portfolio Dashboard shows for each month in 2020 the percentage of reports collected. The average calculated is 85% for 2020, however, too little evidence of the analysis of the report was available to reach an "achieved" status.

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

<i>Main projects/services</i>	<i>Output indicator</i>	<i>Target 2020</i>	<i>Achievements in 2020</i>	<i>Source of information</i>	<i>Justification for partly/ not achieved targets</i>
Selection, Engagement, Learning and Development	% implementation of the establishment plan	98 %	Partly achieved (97,1 %)	Internal e-HR data, available upon request.	144 TA as of 31/12/2020 vs 148 Establishment Plan
	% of staff turnover	< 5 %	Achieved (4,25 %)	Internal e-HR data, available upon request.	NA
Annual budget execution	% of the annual appropriations committed	98%	Achieved	Intranet: link	NA
	% of carry-over of payment appropriations	<10% for T1, <20% for T2 and <30% for T3	Partly achieved T1: 0,16%; T2: 17,15%; T3: 51,94 %; Overall: 10,70%	Intranet: link	Target not achieved in regards to T3 appropriations. The Agency has not met the recommended target, mainly given the special circumstances related to the COVID-19 context.
	% of execution of C8 payment appropriations	95%	Achieved	Intranet: link	NA

			T1: 93,02% ; T2: 97,39% ; T3: 94,77% ; Overall 95,05%		
	% payments made by contractual deadline	>95%	Achieved (95,39%)	Intranet: link	NA

Objective 5.3 - Supporting business delivery through IT-systems

Main projects/services	Output indicator	Target 2020	Achievements in 2020	Source of information	Justification for partly/ not achieved targets
Workplace modernisation	No of current paper based process becoming fully digital	At least 1	Achieved	Intranet: link	NA
	% of available processes updated	At least 60%	Not achieved	NA	The target is not measurable and will be re-defined for the next planning cycle.
Cloud computing services	ICT systems are made available through cloud services	Implemented	Partly achieved	No link can be provided	Exchange migration completed, deployment Teams completed and integrated to the IT environment.
	MS Lync – SharePoint integration, Office 365	Deployed	Achieved	No link can be provided - O365 deployed with MS Teams and SharePoint on premises, SharePoint and SRM migration to the cloud started, integration SRM-OSS	NA
Disaster Recovery	Mean elapsed time to restore applications at the alternate site	6 working hours	Not achieved	NA	Disaster recovery exercise not done in 2020.
Support stakeholders	% of users satisfied with the quality of IT service delivery in "Very Good/Excellent" rate.	70%	Achieved	No link can be provided Q1: 96%, Q2: 96%, Q3: 82%, Q4 not yet available	NA
ICT infra management and maintenance	Availability of the core ICT systems	Min 98%	Partly achieved	Link available upon request.	Data sources derived from monitoring system (SCOM) and availability report provided by Testa-ng.

					SharePoint public: 95,82%, due to application shutdown following security incidents.
ICT infrastructure renewal (Project)	Rate of renewal of ICT infrastructure	30% of the backoffice	Partly achieved	Link available upon request	Replacement of CheckPoint NextGen, Infobloc Trinzic, Wifi Access point, tape library.
Extranet and intranet management and maintenance	Availability of Extranet is 98%	98%	Partly achieved	Link available upon request	Data sources derived from monitoring system (SCOM) and availability report provided by Testa-ng SharePoint public: 95,82%, due to application shutdown following security incidents.
End-point computing environment	Rate of update for the fleet of the devices	10%	Partly achieved	Link available upon request: procurement area	Only renewal of end-user computing equipment was concerned.
	Number of updates deployed by year	4	Achieved	Link available upon request. 1 update per month during 2020.	NA
Office automation tools and ERP licensing, consultancy and support	EU tools and off-the-shelf software	Made available	Achieved	Link available upon request.	NA
Telecom services	Fixed and mobile telephony, internet, Testa access	Made available	Achieved	No link can be provided	NA
Audiovisual management and maintenance	Audiovisual equipment	Made available	Achieved	No link can be provided	NA
SECURIS (SECURE Information Systems)	% of Information assets identified and inventoried	100%	Not achieved	NA	Limited availability of staff resources

Objective 5.4- Communicating effectively through website and social media

<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Target 2020</i>	<i>Achievements in 2020</i>	<i>Source of information</i>	<i>Justification for partly/ not achieved targets</i>
Website/online	Website availability	> 97% (excluding maintenance)	Achieved	Intranet: link	NA
	% of internal change requests implemented	100%	Partly achieved (90%)	Intranet: link	3 requests could not be finalised and have been postponed to 2021 due to heavy workload.
	Twitter number of followers	At least 5% more	Achieved (28,2% increase compared to 2019)	Extranet: link	NA
	LinkedIn presence	2 posts per month	Achieved (140 posts, compared to 44 posts in 2019)	Extranet: link	NA
	LinkedIn number of followers	At least 5% more	Achieved (70,9% increase compared to 2019)	Extranet: link	NA

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

<i>Main outputs/actions</i>	<i>Indicator</i>	<i>Target 2020</i>	<i>Achievements in 2020</i>	<i>Source of information</i>	<i>Justification for partly/ not achieved targets</i>
Crisis and reputation management	Reputational damages resulting in written complaints from the stakeholders	None	Achieved	No formal complaint received by the ED	NA
	Reputational damages resulting in legal actions against the Agency	None	Achieved	No legal action faced.	NA
	A training session with 4-5 staff members	Delivered in Q1 2020	Achieved	EU Learn: Training tool for ERA staff	NA
	Crisis communication integrated in the Business Resilience Plan of the Agency	Achieved in Q1 2020	Not achieved	NA	Deprioritised due to limited resources
Women in transport	Scholarship set up and awarded	Achieved	Not achieved	NA	Ongoing research on how to implement this task. No prior experience in the Agency or in other agencies contacted. The implementation is for 2021.
	Gender audit carried, recommendations collected and action plan set up with priorities.	Achieved	Not achieved	NA	The originally allocated budget was not sufficient for a full scope audit. It was decided to postpone the audit to 2021 rather than having one with a limited scope.
	Revised recruitment process to address the gender balance needs	Achieved	Not achieved	NA	The task is postponed to 2021.
Publication management	% of planned publications delivered	100%	Achieved	Agency's website	NA

Event management¹	No. of events delivered with positive feedback from the stakeholders	3	Achieved	NA	NA
	% of events with overall positive feedback	100%	Achieved	NA	
Internal communication lifecycle	Survey on quality of internal communication	Delivered by Q1	Not achieved	NA	Deprioritised due to human resources constraints
	Action plan	Defined by Q1	Not achieved	NA	
Provisions, strategy and plans for an effective and efficient communication	Communication plan	Drafted and approved by Q1	Achieved	ERA website: link	NA

¹ For the next planning cycles, this output will be addressed as part of Objective 2.4.

Part 2 – Management

2.1 Management Board

The Management Board (MB) continued to follow closely strategic initiatives developed in the Executive Board, and the impact of the Fourth Railway Package tasks on the Agency's work and organisation.

Highlights in 2020 include:

- Guidance documents on the EU COVID-19 road maps for public transport by rail
- Decision-making procedures (1) to ensure business continuity during the COVID-19 crisis and (2) to delegate the Executive Director's decision for Vehicle Authorisations, Single Safety Certifications and ERTMS Trackside Approvals
- Appointment of two members and two alternates to the Executive Board
- Agency action plan based on the second steering group on the Fourth Railway Package readiness assurance

The Management Board has as of yet not agreed to a linguistic regime for the Agency.

The Management Board met 3 times in 2020 and was assisted by the Executive Board (EB), in particular by preparing the decisions to be adopted by it and by ensuring an adequate follow up to the findings and recommendations after investigations and internal/external audits. The Executive Board also supported and advised the Executive Director on the implementation of the Management Board decisions, with a view to reinforcing supervision of administrative and budgetary management.

In 2020, the Executive Board supervised the efforts of the management to deal with the budgetary issues and especially to improve the budget implementation by respecting the principle of annuality, to ensure an appropriate execution of the budget and to follow the Internal Audit Service recommendations and the Court of Auditor's observations. The Executive Board also closely followed the key performance indicators which have been included in the Programming Document 2020, the activity-based budgeting, and the impact assessment of the activities and tasks of the Agency. It also paid attention to the integrated management system, and the communication plan for the year. Together with the Management Board, the Executive Board ensured adequate follow-up to the findings and recommendations stemming from the various internal or external audit reports and evaluations, including by means of appropriate actions taken by the Executive Director.

The Executive Board met 3 times in 2020.

The Agency's Management has, beside the Management Board meetings and Executive Board meetings, regular meetings with the Chair, the Vice-Chair of the Management Board, and the Vice-Chair of the Executive Board. As in previous years, an MB workshop was organised in June 2020 in order to start the preparation of the Single Programming Document 2022.

A summary of the Management Board decisions in 2020 is provided below:

- › **52nd meeting – 23 January 2020**
 - DECISION n° 222 of the Management Board of the European Union Agency for Railways adopting the Statement of estimates 2021 and endorsing the Single Programming Document 2021
 - DECISION n° 223 of the Management Board of the European Union Agency for Railways adopting the annual communications plan 2020
 - DECISION n° 224 of the Management Board of the European Union Agency for Railways repealing Decision 151 of 31 January 2017 and Decision 197 of 8 April 2019 of the Management Board appointing two reporting officers for the appraisal exercise of the Executive Director
 - DECISION n° 225 of the Management Board of the European Union Agency for Railways appointing a member and two alternates of the Executive Board

› **53rd meeting – 17 June 2020**

- DECISION n° 229 of the Management Board of the European Union Agency for Railways adopting an Opinion on the Annual Accounts 2019
- DECISION n° 230 of the Management Board of the European Union Agency for Railways adopting the consolidated annual activity report 2019
- DECISION n° 231 of the Management Board of the European Union Agency for Railways adopting the revision of the Management Board's Rules of Procedure
- DECISION n° 232 of the Management Board of the European Union Agency for Railways adopting the working methods for Waiving Immunity
- DECISION n° 233 of the Management Board of the European Union Agency for Railways amending the Single Programming Document 2020 (amendment n° 1)
- DECISION n° 234 of the Management Board of the European Union Agency for Railways amending MB Decision n°194 establishing procedures for decision-making by the Executive Director in relation to authorisations for placing vehicles on the market, single safety certificates, and ERTMS track-side approvals

› **54th meeting – 25 November 2020**

- DECISION n° 243 of the Management Board of the European Union Agency for Railways adopting the Single Programming Document 2021
- DECISION n° 244 of the Management Board of the European Union Agency for Railways amending DECISION n° 161 of the Management Board of the European Union Agency for Railways adopting the policy on monitoring the performance and decision-making of National Safety Authorities (NSAs) adopted on 29 November 2017
- DECISION n° 245 of the Management Board of the European Union Agency for Railways amending MB Decision n° 189 and n° 213 on the practical modalities relating to recovery of costs incurred by the Agency for its assistance to Member States, candidate countries and stakeholders on training and other appropriate activities
- DECISION n° 246 of the Management Board of the European Union Agency for Railways adopting the budget and establishment plan 2021
- DECISION n° 247 of the Management Board of the European Union Agency for Railways adopting the statement of estimates 2022 and endorsing the Single Programming Document 2022
- DECISION n° 248 of the Management Board of the European Union Agency for Railways appointing a reporting officer for the appraisal of the Executive Director
- DECISION n° 249 of the Management Board of the European Union Agency for Railways extending the derogation from the application of Annex to the Decision n° 141 on the implementation of Telework, as a measure pertaining to the Corona virus
- Amended DECISION n° 162 of the Management Board of the European Union Agency for Railways adopting rules for the prevention and management of conflicts of interest in respect of the members of the Management Board of the European Union Agency for Railways
- DECISION n° 250 of the Management Board of the European Union Agency for Railways adopting the roadmap of the Data and Digitalization Phase 2 – linked data mainstreaming
- DECISION n° 251 of the Management Board of the European Union Agency for Railways appointing a member of the Executive Board

In addition, the Management Board adopted by written procedure:

- DECISION n°226 of the Management Board of the European Union Agency for Railways on the application by analogy of Commission Decision C(2019) 7822 of 30.10.2019 amending Commission Decision C(2004) 1318 of 7 April 2004 on the duties of Commission drivers

- DECISION n°227 of the Management Board of the European Union Agency for Railways establishing procedures for decision-making in relation to ensure business continuity during COVID-19 pandemic crisis for higher management
- [Repealed by n° 249] DECISION n°228 of the MB of the Agency for Railways on the derogation from the application of Annex to the Decision n° 141 (on the implementation of Telework) as an ERA re-entry measure pertaining to the Corona virus
- DECISION n°235 of the Management Board of the European Union Agency for Railways amending the Single Programming Document 2020 (amendment n°2)
- DECISION n°236 of the Management Board of the European Union Agency for Railways amending the Establishment Plan 2019 in MB Decision n° 190 (Annex 2) and MB Decision n° 192 (Annex 2)
- DECISION n°237 of the Management Board of the European Union Agency for Railways adopting by analogy of Commission Decision C(2020)1559 of 16 March 2020 amending Decision C(2013)9051 of 16 December 2013 on leave
- DECISION n°238 of the Management Board of the European Union Agency for Railways adopting Commission Decision C(2019)6855 of 4.10.2019 on procedures for dealing with professional incompetence by analogy
- DECISION n°239 of the MB on the adoption of Commission Decision C(2011)1278 of 3 March 2011 on the general implementing provisions for Articles 11 and 12 of Annex VIII to the Staff Regulations on the on the transfer of pension rights by analogy
- DECISION n°240 of the Management Board of the European Union Agency amending the Single Programming Document 2020 (amendment n°3)
- DECISION n° 241 of the Management Board of the European Union Agency amending the Single Programming Document 2020 (amendment n°4)
- DECISION n° 242 of the Management Board of the European Union Agency (confidential)

2.2 Major Developments

In 2020, the COVID-19 pandemic heavily impacted the work and functioning of the Agency. Thanks to an agile and flexible project management approach to deliver its mission, the Agency adapted very quickly to ensure the Agency's business continuity during the pandemic, including the necessary decision making arrangements on teleworking for Agency's staff and all the digital support needed for an effective remote work. The Agency has put in place a task force for timely monitoring the pandemic situation and for taking real time decisions in order to safeguard staff's health and safety at work, while preserving their well-being and efficiency. Regular general assembly meetings have been put in place to keep staff informed and involved during this period.

The Management Board has also been regularly informed and updated on the Agency's responses to the various stages of COVID-19 infections and national restrictions.

The Agency prepared guidance documents and EU COVID-19 roadmaps for public transport by rail, which have been positively received by the railway stakeholders. The Agency has made efficient and effective use of the remote meetings to preserve a high level of involvement for its external stakeholders. After the start of the pandemic, all the meetings with external stakeholders have been organised remotely.

Despite the challenging context, the Agency has continued in 2020 to perform its role of EU authority responsible for issuing authorisations for placing railway vehicles on the market, single safety certificates for railway undertakings and ERTMS trackside approvals, as stated in the legal framework of the 4th Railway Package. 2020 was an important milestone for the 4th Railway Package implementation, with the transition milestone of 16 June 2020 finally moved to the end of October 2020, marking the moment by which all Member States have transposed the technical pillar.

The delay of transition by four months has created additional challenges for the planning and resulted in exceptionally high workload towards the end of the year.

2.3 Budgetary and financial management

2.3.1 Revenues

The initial 2020 ERA budget was of € 30 764 883, including the own revenues from fees and charges of € 2 532 600, the Commission's subsidy of € 27 560 000 (including assigned revenue for € 119 879) and the EFTA contribution of € 672 283.

In addition the Agency received in 2020 "C4 fund source assigned revenues" for an amount of € 110.834,82 coming from different sources:

- BL 1100: € 41.429,31 received for the provision of accounting services to ESMA in the frame of the Service Level Agreement between ESMA and ERA;
- BL 1178: € 3.014,00 received as reimbursement on advance payment regularisation;
- BL 2020: € 36,14 received as reimbursement on invoices' regularisation;
- BL 2100: € 336,17 received as compensation from insurance company for broken/stolen laptops;
- BL 2101: € 19.589,94 received as liquidated damages by IT –suppliers;
- BL 3013: € 20.746,80 received as reimbursement on advance payment for services that were cancelled due to COVID-19 crisis;
- BL 3042: € 7.668,40 received as reimbursement on VAT previously rejected;
- BL 3110: € 18.014,06 received as liquidated damages in accordance with SLA provisions.

The Agency had "2020 C5 fund source assigned revenues" for an amount of € 111.641,73 coming from the carry-over of the 2019 C4 fund source assigned revenues in 2019:

- BL 2100: € 21.586,73 used for the maintenance of IT infrastructure;
- BL 2101: € 1.000,00 used for the renewal of software licences;
- BL 3002: € 2.325,00 not used and the amount is lost,
- BL 3012: € 1.000,00 not used and the amount is lost;
- BL 3013: € 70.550,00 used for the payment of venues' reservation fees related to 2021 events (Safety days);
- BL 3110: € 15.180,00 used for contracting IT services.

Following its new activities, the Agency invoiced a total amount of € 2 064 840,31, out of which € 1 957 889,31 was cashed in 2020. From the total cashed revenue € 127 600 relates to outstanding 2019 recovery orders and € 1 830 289,31 to recovery orders issued in 2020. In addition, the Agency received € 10.000,00 from Switzerland as fee for the use of the OSS. In the course of 2020, the Agency has also received a contribution from the Commission of €450 000 in relation to the IPA project covering the period 2020-2022.

An overview of the revenues for 2020 is presented below:

REVENUES		
	Initial Budget 2020	Final Budget 2020
1. REVENUE FROM FEES AND CHARGES	€ 2,532,600	€ 1,957,889
2. EU CONTRIBUTION	€ 27,560,000	€ 27,560,000
- <i>Of which assigned revenues deriving from previous years' surpluses</i>		€ 119,879
3. THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	€ 672,283	€ 672,283
- <i>Of which EEA/EFTA (excl. Switzerland)</i>		€ 672,283
- <i>Of which candidate countries</i>		
4. OTHER CONTRIBUTIONS		
5. ADMINISTRATIVE OPERATIONS		
- <i>Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 61)</i>		
6. REVENUES FROM SERVICES RENDERED AGAINST PAYMENT		€ 120,835 (1)
7. CORRECTION OF BUDGETARY IMBALANCES		
8. ADDITIONAL EU FUNDING FROM GRANT AGREEMENTS –IPA and EUMedRail		€ 450,000 (2)
TOTAL	€ 30,764,883	€ 30,761,007

(1) The number includes: € 10,000 for the use of OSS by Switzerland, and € 110,834.82 of miscellaneous revenues in 2020

(2) The executed budget for 2020 is € 308,517.88 and includes: € 26,304.28 for new IPA and € 282,213.6 for EUMedRail

2.3.2 Expenditure and financial KPIs

The detailed breakdown of expenditure by Title and by budget line is included in Annex II, table II.1.1.

› *Commitments using the appropriations for 2020 budget year (C1 Commitments):*

Overall, in 2020, the level of commitments for C1 appropriations was 99.98%. The breakdown by title is as follows:

Title 1 - Staff expenditure

The level of commitments was 100% (100% for the same period in 2019).

Title 2 – Infrastructure and operating expenditure

The level of commitments was 100% (99.78% for the same period in 2019).

Title 3 – Operational expenditure

The level of commitments was 99.91% (99.97% for the same period in 2019).

The minimum level of commitments set by the EC in its yearly budget circular is 95 % of the total appropriations. This target was achieved in 2020.

› *Payments using the appropriations for 2020 budget year (C1 Payments):*

Overall, in 2020, the level of payments for C1 committed appropriations was 89.3%. The breakdown by title is as follows:

Title 1 - Staff expenditure

The level of payments was 99.84% (99.72% for the same period in 2019).

Title 2 – Infrastructure and operating expenditure

The level of payments was 82.85% (87.33% for the same period in 2019).

Title 3 – Operational expenditure

The level of payments was 52.35% (65.36% for the same period in 2019).

In line with the recommendation of the Court of Auditors, the minimum level of payment execution is 90% for Title 1, 80% for Title 2 and 70 % for Title 3 compared with the total appropriations. For Title 3, the Agency has not met the recommended target, mainly given the special circumstances related to the COVID-19 context.

› *Payments using the appropriations for 2019 budget year carried-over to 2020 (C8 payments):*

The minimum level of payments set by the EC in its yearly budget circular is 95 % of the total appropriations carried over. The global payment rate for the Agency in 2020 was 95.05 % (see Annex II – Table II.1.2).

According to Implementing Regulation (EU) 2018/ 764 Art.8 (4), the Agency shall include in the annual report referred to in Article 51(1)(a) of Regulation (EU) 2016/796 (i.e. the CAAR) information on the elements serving as a basis for the hourly rate, the financial results and the forecasts. These elements in relation to 2020 are included in Annex II.1.6.

2.3.3 Budget transfers

During the budget year 2020, 37 credit operations have been initiated. These credit operations were validated by the Executive Director within each Title and in compliance with Article 26.1 of the Agency Financial Regulation (appropriations transferred from one chapter to another and from one article to another).

2.3.4 Internal control of budget implementation

Regarding budget implementation, the Agency has put in place two different workflows in order to reach effectiveness, efficiency and economy of operations. In 2020, ERA validated 1.168 payment orders, with an average of 0,63 day (target 3 days) for payments' validation by the Authorising Office / Authorising Officer by Delegation, an average of 0,29 day (target 2 days) for the payments' validation by the Accounting Officer, and an average of 1,32 day (target 2 days) for bank execution. 95,55% of all 2020 payments other than mass payments for missions, experts and interviews have been paid within the time limit.

The reliability of the reports on the financial transactions is ensured by means of automatic extraction of data from the ABAC financial system and regular daily publication of the reports in a specific budget reporting intranet site.

The assets and related information are tracked on yearly basis and all the assets' records are available in ABAC Asset. In order to prevent, detect, correct and follow up fraud and irregularities, the Agency implements best international practices and Internal Control Standards based on the Commission's guidelines. The segregation of tasks in the expenditures' life cycle is enforced and regularly audited.

2.4 Delegation and sub-delegation of the powers of budget implementation to agency's Staff

As Authorising Officer of the Agency, the Executive Director (ED) grants yearly financial delegations to the Heads of Unit/Department for their own areas of responsibility. Corresponding ED decisions are signed every year. These decisions are materialized by the "Local Profile Manager" in the financial tool used at the Agency (ABAC).

During the year, temporary sub-delegation are agreed between Heads of Unit/Department under the supervision of the Executive Director in order to ensure business continuity. The process has been digitalized in 2019 and the active delegations are displayed as a calendar view on the intranet. The Financial Verifying Agents check that the delegations are valid when controlling the financial transactions. Any identified improvement is proposed in compliance with the Agency's Integrated Management System provisions.

The ICC audits on a yearly basis the financial rights granted in the financial tools, consulting the relevant reports that are automatically generated by the ABAC system. This is also checked by the European Court of Auditors.

2.5 Human resources management

While the implementation of the 4th RP activities has already found its rhythm, some further fine-tuning in the re-allocation of staff and a re-organisation of the EXO unit were carried out. The Agency is gently moving towards its matrix approach in order to ensure the execution of its mandate. This did not however bring changes to the establishment plan, nor to existing HR policies.

The COVID-19 pandemic obliged HR to embark on remote selection procedures which were smoothly executed. The success story of multi-field calls for applications continued in 2020 leading to the establishment of substantial reserve lists in different areas of operational expertise and multiple offers of contracts of employment towards the end of 2020.

The HR related data protection notifications were updated in order to comply with the new GDPR rules and its accompanying templates.

The further preparation to the migration of SYSPER II is well on its way with an anticipated implementation by the end of 2021.

Article 29(3) of the Agency Financial Regulation sets out the obligation for the Agency to carry out an annual benchmarking exercise, and more specifically a job screening focusing on the efficiency of internal resources.

The purpose of the job screening is:

- › To identify any scope for reducing staffing levels in administrative support and coordination functions and
- › To facilitate the reallocation of resources from overhead to operational frontline activities.

All jobs inside the Agency received one screening value:

- › "Operational" – serving frontline activities and directly implementing the mandate of the Agency;
- › "Administrative support and coordination" – ensure support to the operational functions, such as HR, IT, Facilities;
- › "Neutral" - same as above in the areas of Finance and Control.

The ERA Job Screening Exercise (JSE) JSE exercise was carried out in 2021 for the year 2020 and its results can be found in annex IV.2. On 31 December 2020, the Agency employed 144 temporary agents (TA), 32 contract agents (CA) and 1 seconded national experts (SNE). A breakdown of resources is provided in Annexe IV.

Comparing the 2020 JSE results with those from 2019, the Agency reached the following conclusions:

- › *The total FTEs in 2020 decreased by 3 FTE compared to 2019 due to the decrease of Structural Service Providers in 2020; the budget situation did not allow to contract the expected level of IT consultants compared to 2019.*
- › *For the job type “administrative support and coordination” there is a decrease of 3.8 FTE.*
- › *For the job type “operational” there’s an increase of 1.4 FTE. The Agency started involving administrative staff into operational activities. This trend shall continue in 2021.*
- › *For the job type “neutral” the figures in the area of finance/control, the decrease of 0,6 FTE is neglectable.*

HR executed the necessary ED Decisions and managed all administrative spin-off projects. The following implementing provisions were adopted by the Agency’s Management Board in line with the Art. 110 procedure:

- › DECISION n°239 of the MB on the adoption of Commission Decision C(2011)1278 of 3 March 2011 on the general implementing provisions for Articles 11 and 12 of Annex VIII to the Staff Regulations on the on the transfer of pension rights by analogy:
 - › *Annex : Commission Decision C(2020) 4818 of 20.7.2020 amending the Commission Decision C(2011)1278 of 3 March 2011 on the general implementing provisions for Articles 11 and 12 of Annex VIII to the Staff Regulations on the transfer of pension right*
- › Decision n°238 of the MB on the adoption of Commission Decision C(2019)6855 of 4.10.2019 on procedures for dealing with professional incompetence by analogy:
 - › *Annex 1 - Commission Decision (2019)6855 of 4.10.2019 on procedures for dealing with professional incompetence*
- › Decision n°237 of the MB on the adoption by analogy of Commission Decision C(2020)1559 of 16 March 2020 amending Decision C(2013)9051 of 16 December 2013 on leave.

2.6 Strategy for efficiency gains

The Agency has prepared in 2020 the initiation of a new service – the Integrated Performance Management, which has become part of Agency’s portfolio starting 2021.

This includes the definition of actions to improve effectiveness and efficiency of the Agency operations. In particular, this will be achieved with a two folded approach:

1. *Identification, sharing and agreement of short-terms measures for penny-pinching and quick wins.*
2. *Design and deployment of long terms, data driven, structural solutions to increase efficiency. This includes the definition of an Efficiency Strategy by the end of 2021.*

The service will be monitored according to the Agency project-management framework and critical risks and issues will be brought to the attention of the Management Team and the Management Board, if needed.

2.7 Assessment of audit and ex-post evaluation results during the reporting year

2.7.1. Internal Audit Service (IAS)

IAS finalised in 2020 the audit on *Information management and Information security* which started in December 2019. The IAS final report, issued in September 2020, included five recommendations:

1. *Recommendation no 1: data governance framework (including definition of strategy, architecture, framework on data and security policies) – ranked as ‘very important’.*
2. *Recommendation no 2: improvement of data interoperability and quality for the registers and databases managed by the Agency – ranked as ‘very important’.*
3. *Recommendation no 3: Data and IT security (implement IT security measures for all relevant services) – ranked as ‘very important’.*
4. *Recommendation no 4: IT continuity and physical security (implement business continuity plans and recovery arrangements for relevant information systems) ranked as ‘very important’.*

5. *Recommendation no 5: Data and IT operations (improve the management of IT support and the execution of IT contracts) ranked as 'important'.*

The Agency submitted an action plan in November 2020, which was approved by IAS. Implementation already started and will continue until full implementation according to the agreed action plan (up until 2022).

In parallel, the Agency continued the implementation of the last audit recommendation stemming from the Audit on PPSM (related to the effective use of MS project). The recommendation was implemented and closed by IAS.

2.7.2. Internal Audit Capability (IAC) (where applicable)

N.a.

2.7.3. European Court of Auditors (ECA)

The European Court of Auditors report on the annual accounts of the European Union Agency for Railways for the financial year 2020 is not available yet.

For the financial year 2019, the European Court of Auditors expressed the following opinions:

Opinion on the reliability of the accounts

In the Court's opinion, the accounts of the Agency for the year ended 31 December 2019 present fairly, in all material respects, the financial position of the Agency at 31 December 2019, the results of its operations, its cash flows, and the changes in net assets for the year then ended, in accordance with its Financial Regulation and with accounting rules adopted by the Commission's accounting officer. These are based on internationally accepted accounting standards for the public sector.

Opinion on the legality and the regularity of the transactions underlying the accounts

In the Court's opinion, the transactions underlying the annual accounts of the Agency for the financial year which ended 31 December 2019, are legal and regular in all material respects.

The ECA Report for the financial year 2019 included 3 observations, which ERA has closely followed:

- "At the end of 2018 ERA launched a call for tenders with an estimated market value of 720 000 euros for assistance in the approval process for the European Rail Traffic Management System. In 2019, as a result of this procurement procedure, the agency signed separate four-year framework contracts "in cascade" with three companies. The aim of this type of contract is that, if one company proves unable to perform the work set out in the contract, the work can be passed to the other contractors in succession. The Financial Regulation stipulates that this can be done without reopening the tendering procedure, as long as the framework contract precisely sets out all of the terms governing the provision of the works, supplies or services concerned. In this case, the framework contract is not sufficiently specific. Also, the bidders' financial offers were based only on a daily rate for a day of work, without considering important elements such as worker profiles or the complexity of the work. The use of this sort of framework contract was not appropriate considering the level of detail available on the work to be performed. Nor was the financial data sufficiently detailed to ensure that the work was performed as economically as possible."
- "For one procurement procedure concerning the provision of catering services, with a ceiling of 500 000 euros, one member of the evaluation committee was never formally appointed. The member's participation in the evaluation committee without being officially appointed is an internal weakness which detracts from the transparency of the procurement procedure".
- "The European Commission, under a service level agreement, invoiced ERA for the provision of different IT services. This included a fee of 26 400 euros for hosting an IT system, charged for on the basis of the number of users. The number of users used as a basis for the invoice was incorrect. The Commission therefore overcharged the Agency by 4 675 euros. The Agency approved the invoice and made the payment to the European Commission without noticing the error. This indicates weaknesses in the internal controls of the Agency: it demonstrated that no check was made as to whether the invoiced amount corresponded to the actual terms of the service level agreement."

The Agency has taken specific measures to avoid the occurrence of these issues in the future.

In its 2019 Annual Report, ECA considers the first two observations as already implemented by the Agency.

For the last one, the Agency has enhanced the controls in the process of monitoring the contract execution. More specifically, before the annual payment is executed, the operational agent giving 'certified correct' shall carry out

controls, which for instance include verifying the exact number of users in the IT system. Evidence of this control shall be provided to the Authorising Officer by Delegation.

2.8a Follow up of recommendations and action plans for audits and evaluations

European Court of Auditors:

- › The European Court of Auditors made a desk review from 30 November to 04 December 2020 in relation to the budget year 2020; the European Court of Auditors informed the Agency that the work did not lead to any preliminary findings.
- › In the meantime, a financial audit on budget year 2020 was performed by an external auditor (Bakertilly) leading to no findings nor recommendations; Bakertilly's opinion is that the provisional annual accounts of the Agency present fairly, in all material aspects, its financial position as at December 31, 2020.
- › Follow-up of outstanding recommendations from previous years:

Observation 1 (2013): "The Agency is located in Lille and Valenciennes. It is likely that costs could be reduced if all operations were centralised in one location.

Follow up: The largest majority of the Agency's operations have been concentrated in the Valenciennes seat, while Lille premises have been over the past years mainly used for meetings requiring the participation of external stakeholders."

While the legal decision on the double seat is out of Agency's control, the Agency is currently implementing several measures to reduce the cost of operations in Lille (ie. missions and travel expenses for staff and external stakeholders have been significantly reduced and this trend shall continue on mid term; the cleaning and maintenance contract for the space in Lille has been stopped over the pandemic period). Also due to significant budget constraints, the intention of the Agency is to reduce the costs related to the rental of the space in Lille i.e. as soon as the current rental contract for the space in Lille expires, the Agency's intention is not to renew it. The Agency will explore, together with the Management Board members, the options related to the future organisation of physical meetings, once these will be resumed in the post-pandemic context. The item is planned in the agenda of the MB November 2021 meeting. Cost-effectiveness is one of the criteria which will be taken into account in the analysis.

Observation 2 (2018): "In 2019, the Agency will start collecting fees and charges for certification tasks. The new Regulation required that the specific needs of small and medium-sized enterprises (SME) must be taken into account. The Agency should introduce effective controls to check the SME status of applicants.

Up to date, no specific request was received from the applicants as regards specific conditions of payment linked to the SME status. The Agency is in the process of reassessing its current internal procedures to introduce specific checks to verify the actual status of the SME.

2.8b Follow up of recommendations issued following investigations by the European Anti-Fraud Office (OLAF)

N.a.

2.9 Follow up of observations from the Discharge authority

The Agency has taken the following measures to reply to European Parliament observations related to the discharge for 2018, as follows:

- › *The Agency has put in place and is using a time recording system based on MS Project in order to register the time spent on each activities. Based on the MS Project report, the Agency invoices the number of hours spent by the staff when managing any application received through the One-Stop Shop. The fees and charges' revenues are accounted on the dedicated Title 4 of ERA budget.*
- › *The Agency maintains its strong commitment to the objective of creating a single European railway area and the successes in a number of key areas such as the very significant reduction of national rules and the maturity of the technical specifications show this commitment is having a practical commitment. In addition the Agency has successfully taken on its new role in vehicle authorisation and safety certification.*

- › *The Agency is making constant efforts to enhance data interoperability for the data concepts in the remit of its activities, which is a key prerequisite for the modern logistics and mobility chains. The Agency has made significant progress in 2020 to pilot the linked data approach, by documenting existing data models, establishing a common data vocabulary and by successfully testing data integration solutions based on the linked data approach. To this end, the Agency has adopted a roadmap on data and digitalisation setting a linked data multi-annual programme, with linked data as a mainstreamed approach starting 2021.*
- › *The Agency has developed and communicated to the public 'A compelling vision for the target rail system'. The following dissemination activities were performed: publication of the document 'A compelling vision' by the EU Office of publication; publication of a video on the Compelling vision on the Agency website; free webinar on the Compelling vision with 1500 participants.*

The Agency will pay close attention to the Discharge Authority observations linked to the 2019 discharge and will report in its next CAAR.

2.10 Environment management

The Agency is committed to promoting sustainability. The Agency prepared a document which guides ERA staff regarding sustainable development. Concern for the environment and promoting a broader sustainability agenda are integral to ERA's professional activities and the management of the organisation.

The Agency's aim is to follow and to promote good sustainability practice, to reduce the environmental impacts of its activities and to help its stakeholders to do the same. The Agency's principles are implemented in different goals:

- › Green building, (Certification HQE - "Haute Qualité Environnementale" for the new building project),
- › Transportation,
- › Climate protection,
- › Waste reduction and recycling,
- › Environmental preferable purchasing (e.g. Ongoing procurement for green electricity),
- › Sustainable resource management.

2.11 Assessment by management

2.11.1. Implementation of the budget

The 2020 budget was subject to close and regular monitoring to ensure optimal and sound management of the Agency's financial resources.

The level of commitment execution reached almost 100 % of the available appropriations (99,98%). As regards the payment appropriations, the Agency paid 89,30 % of the committed appropriations. The indicative ceilings used by the Court of Auditors to assess the budget execution at the level of the carry-overs are 10% for Title 1, 20% for Title 2 and 30% for Title 3. These targets were reached for Title 1 and Title 2.

As regards Article 77 of the Agency Financial Regulation on the time limits, 95,55% of all 2020 payments other than mass payments for missions, experts and interviews have been paid within time limit. The target of 95% was therefore achieved.

2.11.2. Legality and regularity

Depending on the risk level of the transaction, the Agency has two workflows: one complete workflow model for high-risk transactions and one light workflow model for low-risk transactions (amount < € 1.000). These differentiated workflows only apply to payments. An ex-ante financial verification is processed for high-risk transactions while in the simplified, low-risk workflow, the financial verifying agent has been removed (in case there is no ex-ante verification carried out by a separate person, the authorising officer plays also the role of verifying agent) and an ex-post control for this particular expenditure is carried out.

Accordingly, in 2020 ex-post controls continued to be carried out, focusing on payments related to staff missions, candidates from selection procedures invited to interviews, cost claims from experts invited to the working parties and commercial invoices of less than 1.000 euros using the same methodology as in the past, namely half yearly reports, sampling, detailed findings, and reports with recommendations. The results of the controls showed that no issue about legality or regularity of the transactions was reported. The error rate identified was: 0,22% (first semester) and 1,33% (second semester) below the acceptable threshold of 2%. It should be noted that the sample of transactions selected for control was higher than usual in the 2nd semester in order to compensate for the very low level of financial transactions occurred (ie. restrictions due to COVID-19 for staff missions, invitation of experts/candidates for selection procedures etc). It should also be noted that in 2020, due to COVID-19 restrictions, the overall volume of expenditure subject to ex-ante controls was much lower than in the previous year.

A simplified Annual Activity Report has been signed by all Delegated Authorising Officers (AODs) who have to formally endorse the responsibility of the financial transactions validated in the course of 2020 and to declare any conflict and/or fraud of which they might be aware. The simplified AAR is integrated in the CAAR of the Executive Director. In addition to that, the Court of Auditors who yearly checks the legality and regularity of transactions has so far not found any transactions not respecting these principles.

2.11.3. Validation of the accounting system

No update of the validation of the accounting system was performed in 2020 since there were no significant changes.

2.11.4. Procurement procedures

The original procurement plan which had approved by the Management Board as part of the Single Programming Document 2020 and which is used as the Agency's financing decision had to be modified throughout the year in order to meet the operational requirements and budgetary constraints. In fact, three procedures had to be cancelled:

- › Monitoring training (€ 430k),
- › Multimedia content production (€ 22.5k),
- › Communication services - 3 Lots (€ 1.4M).

Here is the summary of the procedures actually carried out in 2020:

- › 4 Open call for tenders,
- › 4 Negotiated procedures (low value procedures and negotiated procedures without publication of a contract notice).

One of these negotiated procedures, whose value was about € 950k, was awarded to support the off-site development of the railways operational system.

2.11.5. Registration of non-conformities

In accordance with the Agency's management standard 9, each deviation from an established process or procedure is documented, justified and approved at the appropriate management level. They are then registered in the Nonconformity Register. In line with Agency procedures, corrective and/or preventive actions are established when repetitive exceptions events or a critical hazard to any process performance arise. Actions are recorded and reviewed in order to identify trends. In view of increasing the effectiveness of its processes and following the certification of the Agency against ISO 9001 standard for quality management system, the Agency is encouraging staff to report any type of non-conformities, including non-financial.

In 2020, 33 nonconformities (NC) have been registered. They can be segregated by type: 8 ex-ante nonconformities (exceptions) and 25 ex-post nonconformities (non-compliances).

The areas of exceptions concern contract management and payments (modifications of contract provisions for cleaning service due to COVID-19 pandemic, extension of the duration of an IT contract to mitigate business continuity issues, exceptional exceeding of the threshold for hotel allowances), human resources (extension of temporary appointments in middle management positions) while the areas of non-compliances relate mainly to administrative rules (ie missions,

leaves, teleworking), ex-post commitments, contract management and payments (extension of contracts), compliance with the internal financial circuits, compliance with internal procedures of non-financial nature.

It should be noted that the area of exceptions are not of systemic nature. Corrective measures have been put in place regarding the non-compliance events and awareness has been raised to the financial actors in order to avoid these events in the future. The most relevant measures are the following: revision of the internal contract management procedure to clarify the roles and responsibilities, introduction of a system for close monitoring of contract deadlines, continuing the monthly monitoring of the progress of the procurement plan, automation of controls, simplification of internal financial checklists.

2.11.6. Fraud prevention and detection

The Agency continued to implement the measures prescribed by the *Framework for Good Administrative behaviour a key element of the Antifraud Strategy* which includes mandatory submission of declaration of interests from staff members and independent experts with specific information to be provided for facilitating the assessment and the implementation of mitigating measures if need be, rules for managing gifts and hospitality and the use of Social media.

The declaration of interests of staff with decision making powers pursuant to the provisions of [MB DEC 199](#) and [MB DEC 258](#) are published on the Agency's website.

The Agency continued the training on Ethics and Antifraud which are mandatory for all staff. The Agency is implementing a 4 year cycle of trainings (2020-2023) with the purpose of reaching 100% participation at the end of the cycle. The overall rate of participation in 2020 was 16% for Antifraud and 7.8% for Ethics. The training on Ethics is focused on staff obligations pursuant to the provisions of the Staff Regulations. Both trainings are tailor made in line with the Agency risk environment.

The intranet page of the Agency was updated with information related to ethics.

In order to further enhance the transparency of its actions, the Agency is publishing on the website the list of all meetings held by the Executive Director with organisations or self-employed individuals².

No cases of suspicion of fraud has been transmitted by the Agency to OLAF.



² Any organisation or individual, irrespective of their legal status, engaged in activities carried out with the objective of directly or indirectly influencing the formulation or implementation of policy and the decision-making processes of the Agency.

Part 3 – Assessment of the effectiveness of the internal control systems

3.1 Effectiveness of internal control systems

Following the Commission revision of the Internal Control Framework, the Agency has integrated the new principles of the Internal Control Framework, into its ERA management standards to ensure consistency (via MB DEC 191). It should be noted that these new principles were in vast majority already implemented in the Agency before the formal integration. ERA is also using ISO 9001 standards applicable to all its processes as a mean to contribute to the further development and effective functioning of a Single European Railway area without frontiers. The Agency is in the process of defining the internal control monitoring criteria as indicated by the methodology established in the 'Implementation Guide of the internal control framework of the Commission'. In the meanwhile, the Agency is already using the output and indicators for monitoring the achievement of SPD objectives.

The assessment of the internal control system relies also on the tools described in section 2 of the report: reported nonconformities, results of the audits, ex-post controls as well as the results of the risk assessment exercise.

In 2020, the Agency has carried out two risks assessment exercises aligned with the annual strategic planning of the Agency. Both exercises covered all areas/activities of the Agency (bottom-up approach). The Agency risk register is fully updated and includes the most significant risks of the Agency stemming not only from the projects/services but also risks associated with the strategic objectives linked with the delivery of the new tasks, business objectives of continuity, reputational risks.

The major challenge was the inclusion in the risk management exercise of the the COVID-19 pandemic (an event outside the realm of expectations) which had a negative impact on the business operations and impeded in the ability to deliver the products and services. It should be stressed that the impact of the pandemic on the railway sector is not known and this may have a long term impact especially on the delivery process for certification and authorisation.

The most significant risks of the Agency are :

- › *ERA priorities changed or not fully developed because of financial uncertainties and external events outside the realm of expectations;*
- › *Risk of peak of workload demands associated with the applications requests for authorisation/renewal of SSCs, VAs (especially vehicle type requests) and TSA not adequately managed;*
- › *Information assets security risk (insufficient protection of information assets both Agency and third party) in the context of the need to carefully manage and protect the confidentiality and integrity of significant sensitive information/data.*

In spite of the mitigating measures put in place by the Agency, it should be pointed out that the risk of absence of a working language regime in the Agency is no longer considered a risk but an issue. In order to minimise the negative effects, priority will be given to activities related to the 4RP (eg. priority on translations, selection/allocation of staff with specific language skills).

The risk of workload peaks associated with the applications requests for authorisation/renewal of SSCs, VAs, which is inherent in the business model of the Agency (limited resources, recurrent need of reprioritisation, strict legal deadlines etc.) occasionally materialised, in particular towards year-end 2020 as a result of circumstances inherent in the development of the Agency and the uncontrolled external environment.

The update of the risk register resulted in changes that do not lead to the identification of a reservation in the CAAR.

The Agency continued to implement the internal control measures necessary to reach compliance with the requirements of the management standards.

3.2 Conclusions of assessment of internal control systems

The Agency conducted the annual assessment of the ERA management standards. The assessment was based on the revised version of the standards incorporating ISO and the new ICF. The conclusion of this assessment is that the Agency is compliant with the management standards.

With regards to potential improvements identified in this exercise, a consolidated list of actions was established corresponding to each ERA management standard which will be monitored throughout the year 2021. The list of actions is based on multiple sources including: nonconformity reports, Agency risk register, stakeholders feedback analysis, measurement of process performance, monthly management reports on the implementation of projects and services in the Agency.

It should be noted that the Agency was subject to a re-certification audit to certify that the delivery process applied since 2019 is complying with the ISO requirements. No non-conformities were identified by the certification body.



Part 4 – Management assurance

4.1. Review of the elements supporting assurance

The information reported in Parts 2 and 3 stems from:

- › the assurance given by the Agency management (via the annual management review of the internal control system, the monthly internal reports provided by the HoD/HoUs to the Executive Director regarding the internal controls put in place to mitigate the main risks and issues);
- › the results of the IMS review;
- › the results of the Commission's services and Court of Auditors' audits and implementation of the measures to address weaknesses identified;
- › the reporting on nonconformities and preventive/corrective actions implemented;
- › the mitigated actions implemented following the annual risk assessment exercise;
- › the ex-ante and ex-post controls.

From the information available from ex-ante controls conducted in the area of financial transactions assessed with high level of risks (all commitments and payments higher than 1.000 €), there were no significant issues that would need to be raised in this report. This approach results in an adequate coverage of the Agency budget and provides sufficient guarantees of the completeness and reliability of the information reported.

Ex-post controls conducted for financial transactions assessed with low level of risks (i.e. payments lower than 1.000 € i.e. staff missions and experts attending working parties) detected an overall error rate lower than the control objective. The financial impact represents less than 1% of the Agency payments made during 2020.

This approach provides sufficient guarantees as to the completeness and reliability of the information reported and results in a complete coverage of the budget delegated to the Executive Director of the Agency.

Concerning the overall state of the IMS, management has reasonable assurance that, generally, the Agency has suitable controls in place that are working as intended, risks are being mitigated and/or monitored and improvements and reinforcements are being made. No systematic weakness came to the attention of management that would have an impact on the declaration of assurance; neither were elements identified that could seriously damage the reputation of the Agency.

In conclusion, management has reasonable assurance that, overall, suitable controls are in place and working as intended; risks are being appropriately monitored and mitigated; and necessary improvements and reinforcements are being implemented.

The Agency has systematically examined the available control results and indicators as well as the observations and recommendations issued by internal auditors and the European Court of Auditors. These elements have been assessed to determine their impact on the management's assurance as regards the achievement of control objectives.

4.2 Reservations

On the basis of the information and the materiality criteria provided above, no reservation is expressed.

Part 5 – Declaration of assurance**Declaration of Assurance**

I, the undersigned, Executive Director of the EU Agency for Railways,

In my capacity as authorising officer,

Declare that the information contained in this report gives a true and fair view.

State that I have reasonable assurance that the resources assigned to the activities described in this report have been used for their intended purpose and in accordance with the principles of sound financial management, and that the control procedures put in place give the necessary guarantees concerning the legality and regularity of the underlying transactions.

This reasonable assurance is based on my own judgement and on the information at my disposal, such as the results of the self-assessment, ex-post controls, the observations of the Internal Audit Service and the lessons learnt from the reports of the Court of Auditors for years prior to the year of this declaration.

Confirm that I am not aware of anything not reported here which could harm the interests of the agency.

Valenciennes, 29/06/2021



Josef Doppelbauer

Annexes

Annex I – Core business statistics

	<i>Key Performance Indicators set up in SPD 2020</i>	<i>Level of achievement</i>
1	100% decisions taken according to the legal framework deadlines for issuing SSC (for completeness and assessment phases)	Achieved
2	100% decisions taken according to the legal framework deadlines for issuing VA (for completeness and assessment phases)	Achieved
3	100% decisions taken according to the legal framework deadlines for issuing Trackage approvals (for completeness and assessment phases)	Achieved
4	95% of the recommendations and opinions issued within the legal deadlines	Achieved
5	100% Member States having their vehicle-related NTRs cleaned up	67%
6	Positive surveillance audit on ISO 9001 certification for the Agency	Achieved
7	98% implementation of the establishment plan	94 % (9 TAs vacant posts out of 148)
8	Less than 5% of staff turnover	3,3 % (5 TAs leaving the Agency)
9	98 % of the annual appropriations committed	99,98%
10	Carry-over of <10% of payment appropriations for Title 1, <20% for Title 2, and <30% for Title 3	Title 1: 0,16% Title 2: 17,15% Title 3: 47,65%
11	95% execution of carry over payment appropriations	95,05%
12	95% payments made by contractual deadline	95,55%
13	98% availability of the core ICT systems	99,96 % (intranet and extranet)

Annex II – Statistics on financial management**II.1. Implementation of the budget 2020****II.1.1. Budget implementation 2020 (C1 funds)**

Fund Source : C1				TARGET 95%		TARGET 90%	RAL Amount
Budget lines	Description	Appropriation (1)	Committed (2)	% Committed (3=2/1)	Paid (6)	% Paid (7=6/2)	RAL Balance Payment (8=2-6)
A01100	BASIC SALARY	17 949 479,34	17 949 479,34	100,00 %	17 949 479,34	100,00 %	0,00
A01110	CONTRACT AGENTS	2 080 350,82	2 080 350,82	100,00 %	2 080 350,82	100,00 %	0,00
A01172	TRAINEESHIPS	58 000,00	58 000,00	100,00 %	56 353,15	97,16 %	1 646,85
A01178	EXTERNAL SERVICES (P	201 254,89	201 254,89	100,00 %	186 212,89	92,53 %	15 042,00
A01180	SUNDRY RECRUITMENT E	43 865,10	43 865,10	100,00 %	43 865,10	100,00 %	0,00
	CHAPTER 11	20 332 950,15	20 332 950,15	100,00 %	20 316 261,30	99,92 %	16 688,85
A01300	MISSION EXPENSES, DU	6 000,00	6 000,00	100,00 %	5 233,06	87,22 %	766,94
	CHAPTER 13	6 000,00	6 000,00	100,00 %	5 233,06	87,22 %	766,94
A01430	MEDICAL SERVICE	28 117,88	28 117,88	100,00 %	27 770,00	98,76 %	347,88
A01440	INTERNAL TRAINING &	122 346,11	122 346,11	100,00 %	108 220,41	88,45 %	14 125,70
	CHAPTER 14	150 463,99	150 463,99	100,00 %	135 990,41	90,38 %	14 473,58
A01520	SECONDED NATIONAL EX	22 131,99	22 131,99	100,00 %	22 131,99	100,00 %	0,00
	CHAPTER 15	22 131,99	22 131,99	100,00 %	22 131,99	100,00 %	0,00
A01700	ENTERTAINMENT AND RE	200,00	200,00	100,00 %	200,00	100,00 %	0,00
	CHAPTER 17	200,00	200,00	100,00 %	200,00	100,00 %	0,00
	TITLE 1	20 511 746,13	20 511 746,13	100,00 %	20 479 816,76	99,84 %	31 929,37

Budget lines	Description	Appropriation (1)	Committed (2)	% Committed (3=2/1)	Paid (6)	% Paid (7=6/2)	RAL Balance Payment (8=2-6)
				TARGET 95%		TARGET 80%	
A02000	RENTALS BUILDINGS AN	538 460,19	538 460,19	100,00 %	538 460,19	100,00 %	0,00
A02010	INSURANCE ON BUILDIN	16 488,43	16 488,43	100,00 %	16 488,43	100,00 %	0,00
A02020	WATER, GAS, ELECTRIC	130 000,00	130 000,00	100,00 %	127 541,55	98,11 %	2 458,45
A02030	CLEANING AND MAINTEN	183 952,33	183 952,33	100,00 %	132 921,71	72,26 %	51 030,62
A02040	FITTING-OUT OF PREMI	103 244,65	103 244,65	100,00 %	26 612,46	25,78 %	76 632,19
A02050	SECURITY AND SURVEIL	212 581,11	212 581,11	100,00 %	173 451,43	81,59 %	39 129,68
	CHAPTER 20	1 184 726,71	1 184 726,71	100,00 %	1 015 475,77	85,71 %	169 250,94
A02100	DATA-PROCESSING EQUI	265 674,40	265 674,40	100,00 %	97 770,10	36,80 %	167 904,30
A02101	SOFTWARE DEVELOPMENT	586 974,27	586 974,27	100,00 %	542 015,72	92,34 %	44 958,55
	CHAPTER 21	852 648,67	852 648,67	100,00 %	639 785,82	75,04 %	212 862,85
A02200	TECHNICAL INSTALLATI	29 991,55	29 991,55	100,00 %	29 885,54	99,65 %	106,01
A02210	FURNITURE	1 661,40	1 661,40	100,00 %	1 661,40	100,00 %	0,00
A02250	LIBRARY STOCK, PURCH	226,89	226,89	100,00 %	226,89	100,00 %	0,00
	CHAPTER 22	31 879,84	31 879,84	100,00 %	31 773,83	99,67 %	106,01
A02300	STATIONERY AND OFFIC	9 626,75	9 626,75	100,00 %	8 754,96	90,94 %	871,79
A02320	BANK CHARGES	19 586,14	19 586,14	100,00 %	19 586,14	100,00 %	0,00
A02330	LEGAL EXPENSES	456,00	456,00	100,00 %	456,00	100,00 %	0,00
A02350	MISCELLA. INSURANCE	3 635,70	3 635,70	100,00 %	3 635,70	100,00 %	0,00
A02352	INTERNAL MEETINGS	532,48	532,48	100,00 %	532,48	100,00 %	0,00
A02354	DEPART. REMOVALS	13 980,00	13 980,00	100,00 %	12 438,00	88,97 %	1 542,00
A02355	PETTY EXPENSES	5 152,96	5 152,96	100,00 %	5 152,96	100,00 %	0,00
A02360	PUBLICATIONS	4 123,98	4 123,98	100,00 %	4 123,98	100,00 %	0,00
	CHAPTER 23	57 094,01	57 094,01	100,00 %	54 680,22	95,77 %	2 413,79
A02400	CORRESPOND. & COURIE	4 578,00	4 578,00	100,00 %	4 521,39	98,76 %	56,61
A02410	TELECOMS' SUBSCRIPTI	123 140,32	123 140,32	100,00 %	121 368,42	98,56 %	1 771,90
	CHAPTER 24	127 718,32	127 718,32	100,00 %	125 889,81	98,57 %	1 828,51
	TITLE 2	2 254 067,55	2 254 067,55	100,00 %	1 867 605,45	82,85 %	386 462,10

Budget lines	Description	Appropriation (1)	Committed (2)	% Committed (3=2/1)	Paid (6)	% Paid (7=6/2)	RAL Balance Payment (8=2-6)
				TARGET 95%		TARGET 70%	
B03000	STRENGTHENING GLOBA	30 646,97	28 720,63	93,71 %	19 480,03	67,83 %	9 240,60
B03001	STRATEGIC DEVELOPMEN	456 501,86	456 501,86	100,00 %	9 875,00	2,16 %	446 626,86
B03002	ENHANCING RAILWAY SA	70 791,52	70 791,52	100,00 %	45 873,52	64,80 %	24 918,00
B03010	HARMONISED RAILWAY O	8 412,17	7 694,16	91,46 %	7 694,16	100,00 %	0,00
B03011	HARMONISED TECHNICAL	6 366,73	4 969,43	78,05 %	4 969,43	100,00 %	0,00
B03012	HARMONISED TRAIN CON	45 166,59	45 166,59	100,00 %	14 041,59	31,09 %	31 125,00
B03013	DISSEMINATING AND TR	268 753,49	268 753,49	100,00 %	78 617,61	29,25 %	190 135,88
B03020	ENSURING THE COORDIN	1 211 756,71	1 210 833,46	99,92 %	521 267,25	43,05 %	689 566,21
B03022	RAILWAY SYSTEM DATA	888 671,45	888 671,45	100,00 %	473 946,43	53,33 %	414 725,02
B03030	COLLECT AND ANALYSE	165,80	165,80	100,00 %	165,80	100,00 %	0,00
B03031	MONITORING	128 450,44	128 450,44	100,00 %	119 055,44	92,69 %	9 395,00
B03032	IDENTIFYING RESEARCH	8 406,12	8 406,12	100,00 %	536,12	6,38 %	7 870,00
B03033	REPORTING ON THE RAI	678,12	678,12	100,00 %	678,12	100,00 %	0,00
B03040	ENSURE GOOD CORPORAT	85 679,17	85 679,17	100,00 %	85 679,17	100,00 %	0,00
B03041	COMMUNICATING EFFECT	140 655,00	140 655,00	100,00 %	116 335,00	82,71 %	24 320,00
B03042	ENSURING EFFICIENT A	10 234,06	10 234,06	100,00 %	248,94	2,43 %	9 985,12
	CHAPTER 30	3 361 336,20	3 356 371,30	99,85 %	1 498 463,61	44,65 %	1 857 907,69
B03100	BOOKS, NEWSPAPERS, M	27 952,55	27 952,55	100,00 %	27 510,92	98,42 %	441,63
B03110	IT OPERATIONS'SYSTEM	2 077 180,57	2 077 180,57	100,00 %	1 333 363,18	64,19 %	743 817,39
	CHAPTER 31	2 105 133,12	2 105 133,12	100,00 %	1 360 874,10	64,65 %	744 259,02
	TITLE 3	5 466 469,32	5 461 504,42	99,91 %	2 859 337,71	52,35 %	2 602 166,71
	TOTAL TITLES	28 232 283,00	28 227 318,10	99,982 %	25 206 759,92	89,30 %	3 020 558,18

II.1.2. Appropriations carried over 2019/2020 (C8 funds)

Budget lines	Description	Appropriation (1)	Paid (2)	% Paid (3=2/1)	RAL Balance Payment (4=1-2)
A01180	SUNDRY RECRUITMENT E	29 633,90	29 633,90	100,00 %	0,00
	CHAPTER 11	29 633,90	29 633,90	100,00 %	0,00
A01300	MISSION EXPENSES, DU	6 949,04	6 949,04	100,00 %	0,00
	CHAPTER 13	6 949,04	6 949,04	100,00 %	0,00
A01440	INTERNAL TRAINING &	17 942,00	13 988,00	77,96 %	3 954,00
A01441	SOCIAL EVENTS	2 120,40	2 120,40	100,00 %	0,00
	CHAPTER 14	20 062,40	16 108,40	80,29 %	3 954,00
	TITLE 1	56 645,34	52 691,34	93,02 %	3 954,00
A02020	WATER, GAS, ELECTRIC	17 031,25	16 713,14	98,13 %	318,11
A02030	CLEANING AND MAINTEN	83 068,28	81 458,19	98,06 %	1 610,09
A02040	FITTING-OUT OF PREMI	54 065,56	54 065,56	100,00 %	0,00
A02050	SECURITY AND SURVEIL	24 740,89	24 740,89	100,00 %	0,00
	CHAPTER 20	178 905,98	176 977,78	98,92 %	1 928,20
A02100	DATA-PROCESSING EQUI	3 253,14	3 253,14	100,00 %	0,00
A02101	SOFTWARE DEVELOPMENT	14 681,53	14 592,86	99,40 %	88,67
	CHAPTER 21	17 934,67	17 846,00	99,51 %	88,67
A02200	TECHNICAL INSTALLATI	15 255,84	11 508,95	75,44 %	3 746,89
	CHAPTER 22	15 255,84	11 508,95	75,44 %	3 746,89
A02300	STATIONERY AND OFFIC	3 568,84	3 568,84	100,00 %	0,00
A02350	MISCELLA. INSURANCE	1 746,31	971,14	55,61 %	775,17
A02354	DEPART. REMOVALS	1 575,00	1 575,00	100,00 %	0,00
A02355	PETTY EXPENSES	3 327,68	3 138,63	94,32 %	189,05
A02360	PUBLICATIONS	1 908,00	1 908,00	100,00 %	0,00
	CHAPTER 23	12 125,83	11 161,61	92,05 %	964,22
A02400	CORRESPOND. & COURIE	417,34	417,34	100,00 %	0,00
A02410	TELECOMS' SUBSCRIPTI	5 396,71	5 341,48	98,98 %	55,23
A02411	TELECOMS' EQUIPMENT	30 350,00	30 350,00	100,00 %	0,00
	CHAPTER 24	36 164,05	36 108,82	99,85 %	55,23
	TITLE 2	260 386,37	253 603,16	97,39 %	6 783,21
B03000	STRENGTHENING GLOBA	7 863,17	7 502,63	95,41 %	360,54
B03001	STRATEGIC DEVELOPMEN	81 090,20	81 090,20	100,00 %	0,00
B03002	ENHANCING RAILWAY SA	4 788,73	4 723,49	98,64 %	65,24
B03010	HARMONISED RAILWAY O	5 254,97	4 955,60	94,30 %	299,37
B03011	HARMONISED TECHNICAL	13 030,17	9 818,49	75,35 %	3 211,68
B03012	HARMONISED TRAIN CON	4 960,98	4 940,28	99,58 %	20,70
B03013	DISSEMINATING AND TR	8 163,98	7 330,58	89,79 %	833,40
B03020	ENSURING THE COORDIN	958 917,71	912 815,81	95,19 %	46 101,90
B03022	RAILWAY SYSTEM DATA	143 735,62	135 003,38	93,92 %	8 732,24
B03030	COLLECT AND ANALYSE	1 791,57	1 431,35	79,89 %	360,22
B03031	MONITORING	47 541,37	45 877,47	96,50 %	1 663,90
B03032	IDENTIFYING RESEARCH	1 033,15	524,52	50,77 %	508,63
B03033	REPORTING ON THE RAI	512,79	512,79	100,00 %	0,00
B03040	ENSURE GOOD CORPORAT	17 629,07	15 502,20	87,94 %	2 126,87
B03041	COMMUNICATING EFFECT	13 200,00	13 200,00	100,00 %	0,00
B03042	ENSURING EFFICIENT A	72 556,46	46 456,78	64,03 %	26 099,68
	CHAPTER 30	1 382 069,94	1 291 685,57	93,46 %	90 384,37
B03100	BOOKS, NEWSPAPERS, M	1 107,43	1 059,97	95,71 %	47,46
B03110	IT OPERATIONS'SYSTEM	446 097,30	440 948,29	98,85 %	5 149,01
	CHAPTER 31	447 204,73	442 008,26	98,84 %	5 196,47
	TITLE 3	1 829 274,67	1 733 693,83	94,77 %	95 580,84
	TOTAL TITLES	2 146 306,38	2 039 988,33	95,05 %	106 318,05

II.1.3. Appropriations carried over 2020/2021

	<i>Chapter</i>	<i>Amount carried over 2020/2021</i>	<i>% Amount carried over 2020/2021</i>
11	Staff in active employment	16 689	0%
13	Missions and travel	767	13%
14	Socio-medical infrastructure	14 474	10%
	Title I	31 929	0%
20	Investments in immovable property, rental of buildings and associated cost	169 251	14%
21	Data processing	212 863	25%
22	Movable property and associated costs	106	0%
23	Current administrative expenditure	2 414	4%
24	Post and telecommunications	1 829	1%
	Title II	386 462	17%
30	Operational Activities directly linked to the Regulation n°796/2016	1 857 908	55%
31	Operational expenditures	744 259	35%
	Title III	2 602 167	48%
	Total Budget	3 020 558	11%

II.1.4. Reconciliation budget and economic outturn

	2020	2019
Economic result (+ for surplus and - for deficit) of the consolidation reporting package	1 075 365	-1 138 459
Adjustment for accrual items (items not in the budgetary result but included in the economic result)		
Adjustments for Accrual Cut-off (reversal 31.12.N-1)	-1 689 888	-1 319 150
Adjustments for Accrual Cut-off (cut- off 31.12.N)	1 788 466	1 689 888
Amount from liaison account with Commission booked in the economic revenue	0	0
Unpaid invoices at year end but booked in charges (class 6)	29 939	2 536
Depreciation of intangible and tangible assets (1)	1 265 216	1 323 911
Provisions (1)	0	0
Value reductions (1)	0	6 240
Recovery Orders issued in 2020 in class 7 and not yet cashed	-256 885	-161 269
Prefinancing given in previous year and cleared in the year	0	0
Prefinancing received in previous year and cleared in the year	-244 893	-284 060
Payments made from carry over of payment appropriations	2 039 988	3 119 950
Other *)	-962 268	-9 596
Adjustment for budgetary items (item included in the budgetary result but not in the economic result)		
Asset acquisitions (less unpaid amounts)	-416 485	-985 158
New pre-financing paid in the year 2020 and remaining open as at 31.12.2020	0	0
New pre-financing received in the year 2020 and remaining open as at. 31.12.2020	537 920	334 718
Budgetary recovery orders issued before 2020 and cashed in the year	153 469	22 257

Budgetary recovery orders issued in 2019 on balance sheet accounts (not 7 or 6 accounts) and cashed	0	0
Capital payments on financial leasing (they are budgetary payments but not in the economic result)	0	0
Payment appropriations carried over to 2021	-4 097 691	-2 931 959
Cancellation of unused carried over payment appropriations from previous year	106 232	54 280
Adjustment for carry-over from the previous year of appropriations available at 31.12 arising from assigned revenue	785 738	335 358
Payments for pensions (they are budgetary payments but booked against provisions)	0	0
Palements for stocks of leave and supplementary hours (they are budgetary payments but booked against provisions)	0	0
Other **)	0	0
Budget outturn for the year	114 225	59 486

II.1.5. Budget outturn and cancellation of appropriations

Budget outturn	N-3* (2018)	N-2* (2019)	N-1* (2020)
Reserve from the previous years' surplus (+)	80 722	119 879	59 486
Revenue actually received (+)	28 850 412	28 644 227	30 761 007
Payments made (-)	- 26 386 114	- 26 041 310	- 27 440 679
Carryover of appropriations (-)	- 3 509 588	- 2 931 959	- 4 097 690
Cancellation of appropriations carried over (+)	122 715	54 280	106 232
Adjustment for carryover of assigned revenue appropriations from previous year (+)	1 045 234	335 358	785 738
Exchange rate differences (+/-)	- 2 780	- 1 110	- 383
Adjustment for negative balance from previous year (-)	- 80 722	- 119 879	- 59 486
TOTAL	119 879	59 486	114 225

*N – the year covered by the programming document drafted in N-1 (as per definition art. 32 of Commission Delegated Regulation (EU) 2019/715).

Descriptive information and justification on:

- › **Budget outturn:** the progression over the years shows improvements in the budget execution;
- › **Cancellation of commitment appropriations:** the unused C1 budget was, in 2018 5.619,00 EUR, in 2019 6.060,00 EUR and in 2020 4 965,00 EUR.
- › **Cancellation of payment appropriations for the year and payment appropriations carried over:** the C8 cancelled in 2018 3,1%, in 2019 1,71% and in 2020 4,95%. The unpaid balance of the carry-overs remained under 5% since 2011.

*II.1.6. Fees and charges revenues and expenditures*Hourly rate elements

According to Commission Implementing Regulation (EU) 2018/764, the current hourly rate of € 130 is composed of the following elements:

Direct salary costs of staff working on applications	€ 88
Estimated salary cost of staff providing supporting services (25% of direct salary costs)	€ 22
Estimated allocation of indirect costs (building, IT, translation, missions, ...)	€ 20
Total	€ 130

Based upon the 2020 time reporting the 25% currently foreseen in the hourly rate is not sufficient as the actual time spent by staff providing supporting services presented in 2020 almost 80% of the total direct time spent on the processing of the applications. This is also due to the fact that the completely new regime of the 4th Railway Package just became applicable in June 2019, with the transposition completed in October 2020, leading to learning curve effects in the Agency, the National Safety Authorities, and the sector.

Financial results 2020**Revenue**

In the table below the fee income as forecasted, established and received in 2020 can be found. These are also the figures that have been reported to the Commission in respect of the 2020 provisional accounts.

	2020 Forecasted revenue	2020 Entitlements established	2020 Revenue received	Outstanding at year-end
Fee income 2019		135 400	127 600	7 800
Fee income 2020	2 532 600	2 064 840	1 830 289	234 551
TOTAL	2 532 600	2 200 240	1 957 889	242 351

The breakdown of the entitlements established per type of application in 2020 is represented in the table below:

Type of application	Amount
VA	1 105 069
VA CTT	561 886
SSC	364 768
TA	28 438
VA notification 16.4	2 600
Other chargeable services	2 080
TOTAL	2 064 840

Out of this total of € 2 064 840 invoiced in 2020, € 1 830 289 had been cashed by year-end and was therefore available for budgetary use.

Expenditure

Although that the assigned revenue model applies to the Agency all expenditure relating to the fee activities has initially to be financed from the Commission's subsidy for the following reasons:

1. *There is no advance payment done by the applications*
2. *Payment credits only become available at the moment of the cash receipt which normally is several months after the start of work on a concrete application*

On a quarterly basis a regularisation payment takes place in order to reflect accurately in the Agency's budgetary accounts the expenditure for the fee activities. During the course of 2020 the total regularised expenditure was the following:

Type of expenditure	Amount
Staff expenditure (direct salary costs)	1 013 567
Staff expenditure (salary costs staff providing supporting services) – 25% of direct salary costs	253 393
Pension contribution 2019	31 545
Administrative expenditure	132 260
Missions, catering, translation	21 514
TOTAL	1 452 279

As regards the costs charged by the national authorities for the assessment of the national part and the costs charged by the national authorities acting in their capacity as expert on behalf of the Agency, the table below includes the amounts that have been regularised following the cashing of the recovery orders for which the applicant was charged for these costs.

Type of expenditure	Amount
SSC	54 219
VA + VA CTT	283 565
TOTAL	337 784

It is worthwhile mentioning that due to the timing difference between the moment of the cashing of the recovery order, the payment of the costs from the external service providers and the quarterly regularisation payments the interpretation of the figures mentioned above is not so straightforward. However it is obvious that the current hourly rate does neither cover the full costs of the staff providing supporting services nor the costs relating to maintaining and further enhancing the OSS IT-system. Cost for OSS maintenance have not been included in Implementing Regulation 2018/764.

II.2 Negotiated procedures

Contracts ≤ € 15 000 Contracts ≥ € 139 000 (Negotiated procedures under point 11 of Annex 1 FR)

- › Count: 3
- › Total Amount: € 165 000

II.3 Summary of procedures

(Excluding real estate contracts and contracts ≤ €15 000)

Type of contract	Count
Supply	1
Services	10
Works	0
TOTAL	11

Procedures	Count	Amount (€)
Open	5	5 515 000
Restricted	0	0
Negotiated	5	200 000
Negotiated Competing	1	264 000
Other - Reopening of competition	0	0
TOTAL	11	5 979 000

II.4 Real estate contracts

	Name, location and type of building	Other Comment
Information to be provided per building:	ERA HQ, Valenciennes, 120 rue Marc Lefrancq	1. ERA is the only tenant of the building
Surface area (in square metres) Of which office space Of which non-office space	5.250 M ² de Surface Hors Oeuvre Nette (S.H.O.N)	
Annual rent (in EUR)	In 2020: EUR 455.103,30 HT/year	The new INSEE indicator will be published during the 1st Quarter 2021.
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 SPL Valenciennes (previously SAEM)	
Surface area (in square metres) Of which office space Of which non-office space	100 parking places	
Annual rent (in EUR)	In 2020: EUR 24.083,33 HT/year	
Type and duration of rental contract	1 year with tacit renewal	
Host country grant or support	No	
Present value of the building	If the Agency owns the building	

	Name, location and type of building	Other Comment
Information to be provided per building:	ERA meeting premises, 299, Boulevard de Leeds – Lille	
Surface area (in square metres)	602,62 M ²	
Annual rent (in EUR)	In 2020: EUR 112.500,80 HT/year	The new INSEE indicator will be published during the 1st Quarter 2021.
Type and duration of rental contract	Contract will end on 31/12/2023.	

	Name, location and type of building	Other Comment
Host country grant or support	No	
Present value of the building	If the Agency owns the building	

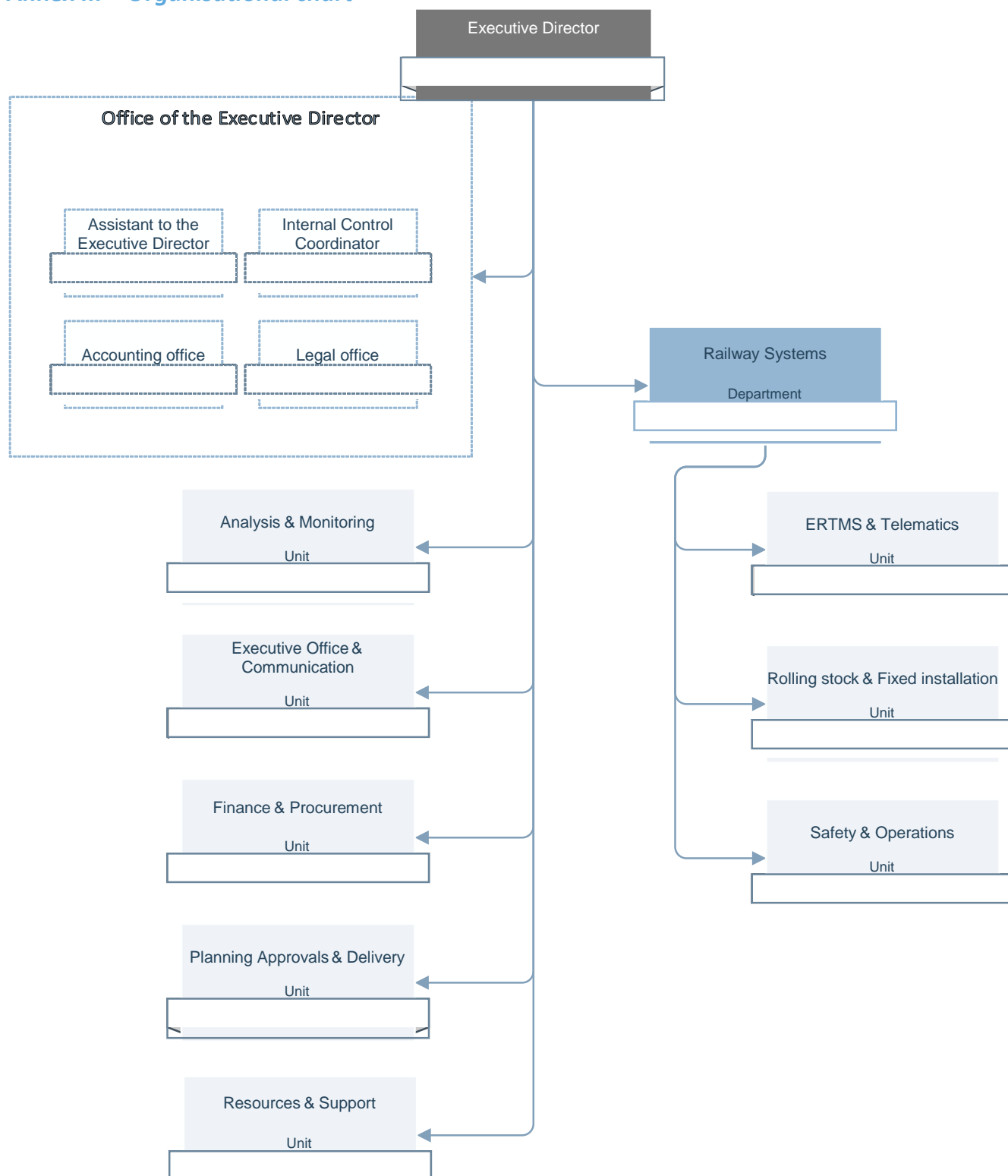
	Name, location and type of building	Other Comment
Information to be provided per building:	Rental of 1 parking place from Espace International	
Surface area (in square metres) Of which office space Of which non-office space	1 parking place	
Annual rent (in EUR)	In 2020: EUR 2.626,48 HT/year	The new INSEE indicator will be published during the 1st Quarter 2020
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	

Current building

ERA started using the current building in Valenciennes in 2009. This building was designed to accommodate about 160 headcount, where the layout of the offices privileged the use of the rooms by single occupants. Due to the new tasks in relation to the certification and authorisation's activities requiring the recruitment of additional staff, the building was fitted in order to accommodate 251 desks. The higher number of staff (desks) in the building will have an impact on the maintenance costs. In addition to the number of staff, a significant number of meetings will be organised in Valenciennes that will fully exploit all the facilities and technical services (e.g. HVAC systems) for which part of them are close to the end of operational life (12 years). The Agency estimates that about EUR 150K per year will be necessary to ensure the reliability of the technical installations at ERA headquarters. However, due to budget constraints, the Agency has decided to accept the risks posed by the end-of-life equipment.

Building project in the planning phase

The Agency and the local French Authorities started the discussions to define the requirements related to the construction of a new building. Currently, the retained option is for a 300 posts building with the possibility to add a second building of 200 posts. The Agency is also considering the integration of building green certification to the project (Certification HQE - "Haute Qualité Environnementale"). In 2020, the Agency has managed to complete the phases 2 and 4 of the Study aiming at completing the technical file. This technical file will be required for elaborating both, the technical and financial dossier to be formally address to the EU Budgetary Authority for the financing of a new building. This technical file will also be the base for the selection of architects in the Phase 3 of the Study. It is expected that the Agency will submit a budget request to the Budget Authority during the year 2021.

Annex III – Organisational chart

Annex IV – Establishment plan and additional information on Human Resources management

IV.1.a. Establishment plan 2020-2024

Function group and grade	2020		2020	2021		2022		2023		2024	
	Authorised under the EU Budget		Staff population at 31/12/2020	Authorised under the EU Budget		Authorised under the EU Budget		Request of the Agency		Request of the Agency	
	Permanent posts	Temporary posts		Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16		0	0		0		0		0		0
AD 15		1	0		1		1		1		1
AD 14		0	1		0		0		0		0
AD 13		0	0		0		0		0		0
AD 12		4	1		4		4		4		4
AD 11		7	5		10		10		10		10
AD 10		19	15		19		19		19		19
AD 9		32	22		29		29		29		29
AD 8		21	27		21		21		21		21
AD 7		15	17		15		15		15		15
AD 6		14	20		17		20		23		26
AD 5		0	2		0		0		0		0
AD TOTAL		113	110		116		119		122		125
AST 11		0	0		0		0		0		0
AST 10		0	0		0		0		0		0
AST 9		2	2		2		2		2		2
AST 8		5	0		5		5		5		5
AST 7		5	4		5		5		5		5
AST 6		2	7		6		6		6		6
AST 5		8	5		8		8		8		8
AST 4		9	7		9		9		9		9
AST 3		4	9		0		0		0		0
AST 2		0	0		0		0		0		0
AST 1		0	0		0		0		0		0
AST TOTAL		35	34		35		35		35		35
AST/SC 6											
AST/SC 5											
AST/SC 4											
AST/SC 3											
AST/SC 2											
AST/SC 1											
AST/SC TOTAL											
TOTAL		148	144		151		154		157		160

IV.1.b. Staff composition in 2020

Staff population		Staff population at 31/12/2020
Officials	AD	
	AST	
	AST/SC	
TA	AD	110
	AST	34
	AST/SC	0
Total TA		144
CA GF IV		17
CA GF III		5
CA GF II		7
CA GFI		3
Total CA		32
SNE		1
Structural service providers ^[1]		<ul style="list-style-type: none"> • 9 for ITFM; • 3 for AAM; • 1 for PAD.
Total		177

CA*: including 3 CA for the EUMedRail grant agreement

IV.1.c. Use of human resources for the OSS applications in 2020

Out of the numbers indicated in Tables IV.1.a. and IV.1.b, the following resource consumption was linked to the OSS applications in 2020:

Direct hours (billable)	h
VA	9,059.08
VA CTT	4,535.35
SSC	3,542.04
TA	926.40
Non-direct hours	h
Horizontal support	12,230.08
OSS operation	1,489.75
Split of hours per type of contract	h
CA contract	5,158.66
TA contract	25,941.85

FTE	
CA contract	3,97
TA contract	19.95

Note: the numbers correspond to the work encoded in MS Project for the work carried in 2020, irrespective of the billing year (2020 or 2021).

IV.2. Result of the Agency's job screening exercise

Job Type (sub) category	Year N-1 (%)	Year N (%)	Year N	Year N-1	Difference
Administrative support and coordination	19.39	17.55			
			36.5	40.3	-3.8
Administrative support	14.25	13.59	28.4	31	-2.6
Coordination	4.76	3.88	8.1	10.1	-2
Operational	69.95	71.63	149.7	148.3	1.4
Top level Operational Coordination	10.09	6.22	13	23.1	-10.1
Program Management & Implementation	47.55	52.30	109.3	100.8	8.5
Evaluation & impact assessment	4.95	4.93	10.3	11	-0.7
General operational	6.56	8.18	17.1	13.9	3.2
Neutral	11.04	10.91	22.8	23.4	-0.6
Finance/control	11.04	10.91	22.8	23.4	-0.6
Linguistics	0.00	0.00	0	0	0
Total			209	212	-3

Annex V – Human and financial resources by activity

Planned (SPD 2020)

Activity	Unit Staff	DIRECT COSTS		INDIRECT COSTS			TOTAL BUDGET 2020 PER ACTIVITY
	FTE	Title 3 - CHAPTER 30	TITLE 4	TITLE 1	TITLE 2	TITLE 3 - CHAPTER 31	
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	

Actual (CAAR 2020)³

Activity	Unit Staff	DIRECT COSTS		INDIRECT COSTS			TOTAL BUDGET 2020 PER ACTIVITIES
	FTE	TITLE 3 - CHAPTER 30	TITLE 4	TITLE 1	TITLE 2	TITLE 3 - CHAPTER 31	
1. Contributing to shaping the target and global reference	20.57	75,229		2,380,234	217,059	158,165	2,830,687
2. Developing the Harmonised Regulatory SERA Technical Framework	35.92	105,323		4,155,878	378,985	276,156	4,916,341
3. Implementing the Harmonised Regulatory SERA Technical Framework (under 4RP)	43.69	995,214	2 200 240	5,054,593	460,941	335,875	6,846,623
4. Monitoring, Evaluating and Reporting	18.08	120,435		2,091,556	190,734	138,983	2,541,708
5. Delivering efficient and effective services	58.75	202,263		6,797,556	619,886	451,694	8,071,400
Grand Total	177.00	1,498,464	2 200 240	20,479,817	1,867,605	1,360,874	25,206,760
				20,479,817	1,867,605	1,360,874	

³ The amount for title 4 includes the entitlements established for the outstanding 2019 fees and the fee income for 2020
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Annex VI – Contribution, grant and service level agreements. Financial Framework Partnership Agreements

	General information ¹					Financial and HR impacts				
	Date of signature		Duration	Counterpart	Short description		N-1	N		
Grant agreements										
1. Grant Contract 2017/391-230	04/12/2017	€ 200,000.00	24 months as of 01/01/2018	DG NEAR	Continuation of pre-accession support to the EU candidates and potential candidates (Western Balkans and Turkey) by the European Union Agency for Railways 2018-2019	Amount	CA	PA	CA	PA
						Number of CA	0		0	
						Number of SNE	0		0	
2. Grant Contract 2019/410-319	04/12/2019	€ 450,000.00	36 months as of 01/01/2020	DG NEAR	Continuation of pre-accession support to the EU candidates and potential candidates (Western Balkans and Turkey) by the European Union Agency for Railways 2020-2022	Amount			€ 450,000.00	€ 26304,28
						Number of CA	0		1	
						Number of SNE	0		0	
3. ENI/2016/359-727	16/12/2016	€ 2,000,000.00	72 months as of 01/01/2017	DG NEAR	EUMedRail - EuroMed Rail Safety and Interoperability Project	Amount	€ 689,156.01	€ 689,156.01	€ 311,824.92	€ 311,697.60
						Number of CA	3		3	
						Number of SNE	0		0	
Total grant agreements						Amount	€ 689,156.01	€ 689,156.01	€ 872,191.07	€ 439,031.85
						Number of CA	3		4	
						Number of SNE	0		0	
Contribution agreements										
Not applicable						Amount				
						Number of CA				
						Number of SNE				
Total contribution agreements						Amount				
						Number of CA				
						Number of SNE				
Service-level agreements										
SLA ESMA-ERA (ESM 1095)	20/11/2013	Not applicable	Indefinite	ESMA	Provision of accounting services by ERA's accounting officer to ESMA (40% FTE of 1 TA).	Amount	€ 50,291.00	€ 50,291.00	€ 42,953.00	€ 42,953.00
						Number of CA				
						Number of SNE				
Total service-level agreements						Amount				
						Number of CA				
						Number of SNE				
TOTAL						Amount	€ 739,447.01	€ 739,447.01	€ 915,144.07	€ 481,984.85
						Number of CA	3		4	
						Number of SNE	0		0	

¹ For on-going agreements, please provide the requested general information. For expected agreements, please provide the information available. When the information is not known, please put "not known"

Annex VII – Environment management

See information provided in Section 2.10.

Annex VIII – Final annual accounts**VIII.1. Balance sheet (assets, liabilities)**

	<i>Note</i>	<i>31/12/2020</i>	<i>31/12/2019</i>
A. NON CURRENT ASSETS			
Intangible assets	3.5.2.1	3 385 858	3 793 125
Property, plant and equipment	3.5.2.2	394 379	835 843
Land and buildings		793	1 352
Plant and equipment		1 927	5 894
Computer hardware		291 571	683 447
Furniture and vehicles		54 731	76 211
Other fixtures and fittings		45 357	68 939
Non-current receivables	3.5.2.3	31 898	31 898
TOTAL NON-CURRENT ASSETS		3 812 135	4 660 866
B. CURRENT ASSETS			
Pre-financing		0	18 824
Pre-financing with consolidated entities		0	18 824
Exchange receivables and recoverables	3.5.2.4	1 897 602	826 478
Current receivables		258 445	148 274
Sundry receivables		20 917	38 370
Current receivables with consolidated entities		398	4 675
Other receivables		0	0
Accrued income with consolidated entities		11 353	12 456
Accrued fee income		1 179 611	358 059
Deferred charges		426 879	264 644
Non - exchange receivables and recoverables	3.5.2.5	253 014	110 041
Current receivables Member States		253 014	110 041
Other receivables		0	0
Cash and cash equivalents	3.5.2.6	3 808 531	3 246 645
TOTAL CURRENT ASSETS		5 959 147	4 201 987
TOTAL ASSETS		9 771 283	8 862 854

	<i>Note</i>	<i>31/12/2020</i>	<i>31/12/2019</i>
A. NET ASSETS	3.5.2.7	7 461 409	6 386 044
Accumulated surplus/deficit		6 386 044	7 524 503
Economic result of the year-profit+/loss-		1 075 365	-1 138 459
B. NON CURRENT LIABILITIES		0	0

Pension and other employee benefits		0	0
Provisions for risks and liabilities		0	0
TOTAL NON-CURRENT LIABILITIES (A+B)		7 461 409	6 386 044
C. CURRENT LIABILITIES		2 309 873	2 476 810
Provisions for risks and liabilities	3.5.2.8	0	0
Accounts payable	3.5.2.9	623 401	801 326
Current payables		32 635	8 929
Sundry payables		0	2 071
Accounts payable with consolidated EC entities		590 766	790 326
..... <i>Pre-financing received from consolidated EC entities</i>		573 868	790 326
..... <i>Other accounts payable against consolidated EC entities</i>		16 898	0
Accrued charges and deferred income	3.5.2.10	1 686 473	1 675 484
Accrued charges		1 686 473	1 675 484
Deferred income		0	0
Other passive accruals & deferrals		0	0
Deferrals and accruals with consolidated EC entities		0	0
TOTAL CURRENT LIABILITIES		2 309 873	2 476 810
TOTAL LIABILITIES		9 771 283	8 862 854

VIII.2. Statement of financial performance

STATEMENT OF FINANCIAL PERFORMANCE	Note	31/12/2020	31/12/2019
Subsidy received	3.5.3.1	28 389 255	28 087 492
Title 1&2 ⁴		22 790 450	22 302 194
Title 3 ⁵		5 441 833	5 367 153
Part of Phare Funds subsidy used in current year		22 576	104 598
Part of EUMEDRAIL pre-financing used in current year		248 621	373 033
To be reimbursed (Budget outturn)		-114 225	-59 486
Revenue from adjustment/provisions		0	0
NON-EXCHANGE REVENUES	3.5.3.1	28 389 255	28 087 492
Fee income		2 886 392	838 739
Fixed Assets related income		0	0
Exchange rate differences gains		156	220
Bank interest		1 708	10
Income from other exchange operations (3rd parties)		72 918	118 949
Income from consolidated EU entities		43 340	42 953
EXCHANGE REVENUES	3.5.3.1	3 004 513	1 000 872
TOTAL REVENUES		31 393 768	29 088 363

⁴ Title 1 = staff expenditure and Title 2 = administrative expenditure.

⁵ Title 3 = operational expenditure

Operational expenses	3.5.3.3	4 323 217	4 529 981
Staff and Pension costs	3.5.3.2	21 769 476	20 003 919
Finance costs		29 145	983
Finance costs		0	561
Other financial expenses		29 145	422
Other expenses		4 196 564	5 691 939
Property, plant and equipment related expenses	3.5.3.2	2 442 857	2 519 672
Other Expenses	3.5.3.2	1 753 168	3 170 937
Exchange rate differences losses		539	1 330
TOTAL EXPENSES		30 318 403	30 226 822
SURPLUS (DEFICIT) FROM ORDINARY ACTIVITIES		1 075 365	-1 138 459
ECONOMIC RESULT OF THE YEAR		1 075 365	-1 138 459

VIII.3. Statement of changes in net assets

<i>Capital</i>	<i>Reserves</i>		<i>Accumulated Surplus / Deficit</i>	<i>Economic result of the year</i>	<i>Capital (total)</i>
	<i>Fair value reserve</i>	<i>Other reserves</i>			
Balance as of 31 December 2019	0	0	7 524 503	-1 138 459	6 386 044
Changes in accounting policies	0	0	0	0	0
Balance as of 1 January 2020 (if restated)	0	0	7 524 503	-1 138 459	6 386 044
Allocation of the Economic Result of Previous Year	0	0	-1 138 459	1 138 459	0
Economic result of the year	0	0	0	1 075 365	1 075 365
Balance as of 31 December 2020	0	0	6 386 044	1 075 365	7 461 409

VIII.4. Cash flow statement

	2020	2019
Cash Flows from ordinary activities		
Economic result of the year	1 075 365	-1 138 459
Operating activities		
Amortization (intangible fixed assets) +	748 453	573 030
Depreciation (tangible fixed assets) +	516 764	750 880
Increase/(decrease) in Provisions for risks and liabilities	0	0
Increase/(decrease) in Value reduction for doubtful debts	0	0
(Increase)/decrease in Stock	0	0
(Increase)/decrease in Long term Pre-financing	0	0
(Increase)/decrease in Short term Pre-financing	18 824	473 598

(Increase)/decrease in Long term Receivables	0	0
(Increase)/decrease in Short term Receivables	-1 071 125	-593 684
(Increase)/decrease in Receivables related to consolidated EC entities	-142 974	144 859
Increase/(decrease) in Other Long term liabilities	0	0
Increase/(decrease) in Accounts payable	32 624	346 560
Increase/(decrease) in Liabilities related to consolidated EC entities	-199 560	380 779
(Gains)/losses on sale of Property, plant and equipment	0	0
Extraordinary items	0	0
Net cash Flow from operating activities	978 371	937 563
Cash Flows from investing activities		
Purchase of tangible and intangible fixed assets (-)	-416 485	-985 158
Proceeds from tangible and intangible fixed assets (+)	0	0
Net cash flow from investing activities	-416 485	-985 158
Net increase/(decrease) in cash and cash equivalents	561 886	-47 595
Cash and cash equivalents at the beginning of the period	3 246 645	3 294 240
Cash and cash equivalents at the end of the period	3 808 531	3 246 645

Glossary

4th RP	4 th Railway Package
AOD	Delegated Authorising Officers
ATO	Automatic Train Operation
BoA	Board of Appeal
CAAR	Consolidated Annual Activity Report
CCM	Change Control Management
CCS	Control-Command and Signalling subsystem
CEN	European Committee for Standardisation
CENELEC	European Committee for Electro technical Standardisation
COR	Common Occurrence Reporting
CR	Change Request
CSIs	Common Safety Indicators
CSMs	Common Safety Methods
CSTs	Common Safety Targets
DG NEAR	Directorate-General for Neighbourhood and Enlargement Negotiations
EC	European Commission
ECM	Entity in charge of maintenance
ECVVR	European Centralised Virtual Vehicle Register
ENE	Energy subsystem
ERADIS	ERA Database on Interoperability and Safety
ERAIL	European Railway Accident Information Links
ERATV	European Register of Authorised Types of Vehicles
ERTMS	European Rail Traffic Management System
ETCS	European Train Control System
EU	European Union
EUMedRail	EuroMed Rail Safety and Interoperability project, funded by the EC
FAQ	Frequently Asked Questions
F&C	Fees and charges
GSM-R	Global System for Mobile Communications (Railway)
HOF	Human and Organisational Factors
HR	Human Resources
ICS	Internal Control Standards
IM	Infrastructure manager
IMS	Integrated Management System
INEA	Innovation and Networks Executive Agency
INF	Infrastructure subsystem
IPA	EC Instrument for Pre-accession Assistance
IT	Information Technology
JNS	Joint Network Secretariat
LOC	Locomotives and traction units
KPI	Key Performance Indicator
MB	Management Board
MoU	Memorandum of understanding
MS(s)	Member State(s)
NIB	National Investigation Body
NB(-)Rail	Coordination group of Notified Bodies (Rail)
NoBo(s)	Notified body(ies)
NOI	Noise (TSI)
NSA(s)	National Safety Authority(ies)
NTR(s)	National technical rule(s)
NVR	National Vehicle Register
OPE	Traffic operation and management subsystem
OSJD	Organisation for Cooperation of Railways
OSS	One-Stop Shop

OTIF	Organisation for International Carriage by Rail
PAS	Passenger vehicles (carriages)
PoE	Pool of experts
PRM	Persons with reduced mobility
RASCOP	Rail Standardisation Coordination Platform for Europe
RDD	Reference Document Database
RISC	Railway Interoperability and Safety Committee
RST	Rolling stock subsystem
RU	Railway undertaking
S2R	Shift2Rail Programme
SAIT	Safety Alert IT Tool
SMS	Safety Management System
SPD	Single Programming Document
SRD	Single Rules Database
SRT	Safety in railway tunnels
SSC	Single Safety Certificate
TAF	Telematics application for freight services
TAP	Telematics application for passenger services
TDG	Transport of Dangerous Goods
TF	Task Force
TSI	Technical Specification for Interoperability
TWG	Technical Working Group
VA	Vehicle Authorisation
VVR	Virtual Vehicle Register
WAG	Freight wagons
WG	Working Group
WP	Working Party