



**INTEROPERABILITY UNIT**

**TAP TSI ANNEX B.62  
TAP MASTER PLAN**

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ERA/TD/2012-14/INT Annex B.62 of TAP TSI

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## **1. Table of contents**

<b>1.</b>	<b>Table of contents</b>	<b>3</b>
<b>2.</b>	<b>Introduction</b>	<b>5</b>
<b>3.</b>	<b>List of abbreviations</b>	<b>6</b>
<b>4.</b>	<b>Purpose</b>	<b>7</b>
4.1	Project deliverables for Masterplan	7
<b>5.</b>	<b>Masterplan summary</b>	<b>9</b>
5.1	Plan overview	9
5.2	Milestone plan	11
<b>6.</b>	<b>Phase two transition</b>	<b>13</b>
6.1	Plan	13
6.2	Tasks	13
6.3	Resources	14
<b>7.</b>	<b>Governance entity formation</b>	<b>16</b>
7.1	Plan	16
7.2	Tasks	16
7.3	Resources	16
<b>8.</b>	<b>Computer services procurement</b>	<b>17</b>
8.1	Plan	17
8.2	Tasks	17
8.3	Resources	18
<b>9.</b>	<b>Retail technical services procurement</b>	<b>19</b>
9.1	Plan	19
9.2	Tasks	19
9.3	Resources	19
<b>10.</b>	<b>RU/IM technical services procurement</b>	<b>20</b>
10.1	Plan	20
10.2	Tasks	20
10.3	Resources	20
<b>11.</b>	<b>Administrative services procurement</b>	<b>21</b>
11.1	Plan	21
11.2	Tasks	21

# European Railway Agency

ERA/TD/2012-14/INT Annex B.62 of TAP TSI

11.3	Resources	21
<b>12.</b>	<b>Individual RU and IM implementations</b>	<b>22</b>
12.1	Plan	22
12.2	Tasks	23
12.3	Resources	23
<b>13.</b>	<b>Governance entity operation</b>	<b>24</b>
13.1	Plan	24
13.2	Tasks	24
13.3	Resources	24
<b>14.</b>	<b>Development and operations funding</b>	<b>25</b>
14.1	Phase Two and Governance overview	25
14.2	Phase Two costs	26
14.3	Governance entity staff costs	27
14.4	Operational computer service costs	28
14.5	Retail and RU/IM technical service costs	29
14.6	Administrative service costs	29
<b>15.</b>	<b>Risks</b>	<b>30</b>
15.1	Implementation of regulatory obligations	30

## **2. Introduction**

The present document belongs to the set of Technical Documents described in Annex V „LIST OF TECHNICAL DOCUMENTS FOR RETAIL ARCHITECTURE, GOVERNANCE AND MASTER PLAN“ of the COMMISSION REGULATION (EU) No 1273/2013.

## European Railway Agency

ERA/TD/2012-14/INT Annex B.62 of TAP TSI

### 3. List of abbreviations

3.1.1 The following abbreviations are used in the text.

Abbreviation	Meaning
BP	Basic Parameter
DG MOVE	European Commission Directorate-General for Transport
ERA	European Railway Agency
GM	General Manager
IM	Infrastructure Manager
ITT	Invitation to Tender
LCC	Life Cycle Costs
PSO	Public Service Obligation
RU	Railway Undertaking
SB	Supervisory Board
SMG	Service Management Group
TAF CCM	Telematics Applications for Freight Change Control Management
TAF TSI	Commission Regulation (EU) No 328/2012 of 17 April 2012 amending Regulation (EC) No 62/2006 concerning the technical specification for interoperability relating to the telematic applications for freight subsystem of the trans-European conventional rail system
TAP CCM	Telematics Applications for Passengers Change Control Management
TAP TSI	Commission Regulation (EU) No 454/2011 on the technical specifications for interoperability - Telematics Applications for Passenger Services
UIC	Union Internationale des Chemins de Fer
WG	Working Group

### 4. Purpose

#### 4.1 Project deliverables for Masterplan

4.1.1 This document forms the Masterplan of the final TAP TSI Phase One Implementation project deliverable.

4.1.2 The masterplan contents shown below are those defined in the current version of the TAP TSI Regulation. The Regulation proposes:

- The identification of the activities necessary to achieve the implementation of the system
- A migration plan which includes a set of phases that is conducive to intermediate and verifiable tangible results, from the current framework of stakeholders' information and communication systems to the system itself
- A detailed milestone plan
- A risk assessment of the crucial phases of the master plan
- An assessment of the total lifecycle costs (LCC) associated with the deployment and operation of the system, together with a subsequent investment plan and the relevant cost-benefit analysis.

4.1.3 The activities have been defined as a set of requirements. The detailed requirements and rules of the governance entity are in chapter 7 of the Governance report. The detailed requirements for the operational computer services are in chapters 9 to 11 of the TAP TSI Retail Architecture report. The detailed requirements for the technical and administrative services are in chapter 9 of the TAP TSI Governance report. The masterplan provides the plan for forming the governance entity and for procuring these regulatory services.

4.1.4 The document provides an assessment of the total lifecycle costs associated with the deployment and operation of the system, together with a funding plan. The cost-benefit analysis for the regulatory operational computer services can be found in the Retail Architecture report.

4.1.5 The following sections provide more detailed plans of the components that make up the overall masterplan. Each section identifies major risks to the masterplan and these risks and possible mitigations are summarised in the section on risks in chapter **Error! Reference source not found.** The document contains the following sections:

- Masterplan summary
- Phase two transition
- Governance entity formation
- Computer services procurement
- Retail technical services procurement
- RU/IM technical services procurement
- Administrative services procurement
- Individual RU and IM implementations
- Governance entity operation
- Development and operations funding

# European Railway Agency

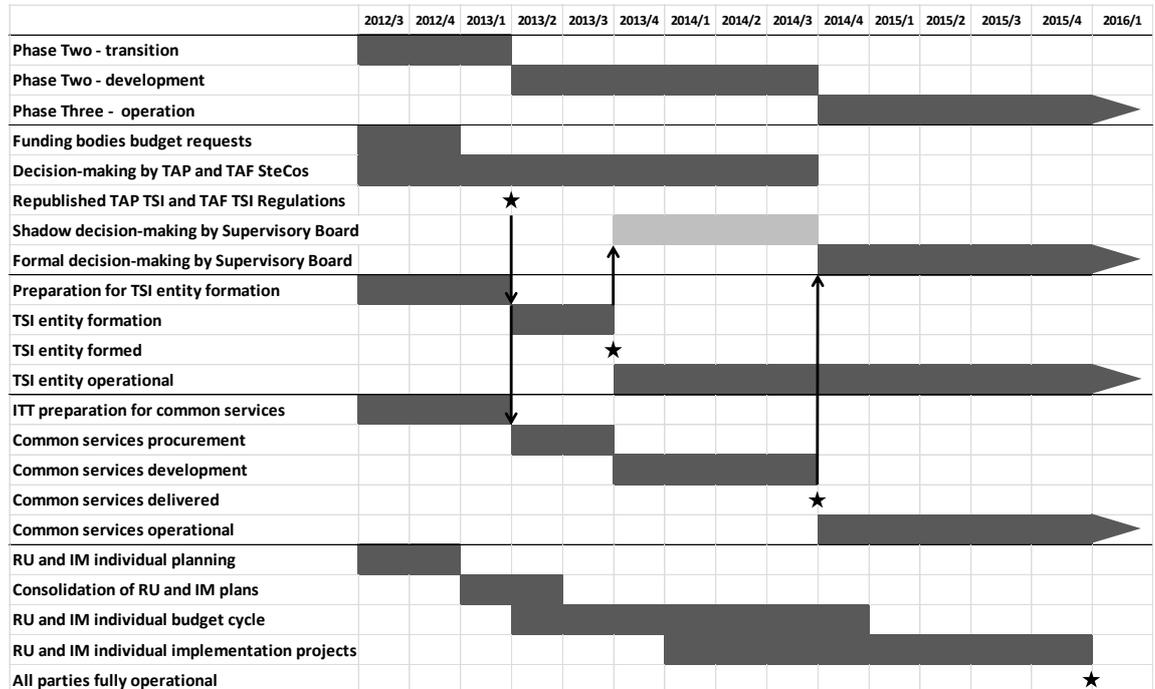
## ERA/TD/2012-14/INT Annex B.62 of TAP TSI

- Issues and risks
  - Revised Chapter 7 text
- 4.1.6 The best estimate of individual stakeholder plans is in chapter 12, Individual RU and IM implementation plans. As described in chapter 6 of the Governance report, ticket vendors will not be required to prepare implementation plans as they have no regulatory obligations.
- 4.1.7 Detailed requirements for the team needed to manage the implementation and operation of the TAP TSI governance entity and for the procurement of all the regulatory services are in chapter 6, Phase Two Transition.
- 4.1.8 Regulatory service implementation plans are in the various sections on service procurement. Stakeholder implementation plans are in the section on Individual RU and IM implementation plans.
- 4.1.9 Operational plans are in the section on governance entity operation.
- 4.1.10 The consolidation of cost estimates is in chapter 13.3.4, Development and Operations Funding. Note that this document makes estimates only for costs incurred by the governance entity as needed to provide the regulatory services. The costs for individual RUs and IMs are not known and are likely to be commercially sensitive and therefore never available in a public document.
- 4.1.11 Overall, the document provides the master plan as defined in chapter 7 of the TAP TSI Regulation 454/2011. Recommendations for updates to the re-published Regulation are in Chapter **Error! Reference source not found.**

## 5. Masterplan summary

### 5.1 Plan overview

5.1.1 The overview of the TAP TSI masterplan is shown in the following chart<sup>1</sup>:



5.1.2 The masterplan, as summarised above, identifies all the activities necessary to achieve the implementation of the TAP TSI sub-system as required by the Regulation.

5.1.3 The masterplan has five main components:

- Oversight through the project phases and into full operation
- Phase two transition tasks
- Entity formation project
- Common services procurement projects
  - Operational computer services
  - Retail technical services
  - RU/IM technical services
  - Administrative services
- Individual RU and IM implementation planning and projects.

5.1.4 Each of these components is described in the following sections.

5.1.5 In summary, the plan starts with the Phase Two Transition project. This project will start once the Phase One delivery is approved by the ERA and DG MOVE. Until this approval is in place the project will not start. In addition, if the approval is delayed then the

<sup>1</sup> The spreadsheets from which the charts in this report are derived may be found in the project extranet (<http://tap-tsi.uic.org>).

# European Railway Agency

## ERA/TD/2012-14/INT Annex B.62 of TAP TSI

stakeholder funding process will be subject to postponement or cancellation and the execution of the masterplan will be subject to significant delays of at least one year. To achieve the dates set out in this masterplan there must be approval of the Phase One project delivery according to the timetable in the current Chapter 7 of the Regulation. This is a significant risk is mentioned again in the later chapter on risks.

- 5.1.6 The Phase Two Transition project runs from the end of the Phase One project to the date of TAP TSI re-publication, assumed to be the second quarter of 2012. The transition project team will prepare the tender documents needed for the procurement of the governance entity and the regulatory services. It will continue the Phase One activities related to the securing of funding. This activity will ensure that all procurements can be launched immediately the TAP TSI is re-published. The team will also identify the personnel and secure the budget for the Phase Two Development team which will carry out the procurements. Upon re-publication, the Phase Two Development team will be formed and will take over all activities from the Transition team.
- 5.1.7 Decisions needed for the Phase Two Transition team will be made by the current TAP TSI Steering Committee. Decisions needed for the Phase Two Development Team will also be made by the current TAP TSI Steering Committee until such time as the governance entity exists and is effective and both parties agree to pass decision-making to the governance entity. At that time the TAP TSI Steering Committee can disband.
- 5.1.8 The first procurement by the Phase Two Development team will be the creation of the governance entity. This is expected to take six months, ending last quarter 2013. Once it exists, Stakeholder Group Associations will be asked to provide nominations for the Supervisory Board and the Service Management Groups (SMGs). Once these nominations are complete, the Board and the SMGs can become informed of the work of the Phase Two Development team, decision-making still resting in the TAP TSI Steering Committee. Members of the Supervisory Board could, if approved by the Steering Committee, become observers at the Steering Committee during the overlap.
- 5.1.9 At the earliest date that can be agreed by both parties, decision-making will transfer from the Steering Committee to the Supervisory Board and the project supervision will pass to the SMGs. It is essential that the Supervisory Board is in a position to approve the various regulatory service contracts and hand-overs, once procured by the Phase Two Development team.
- 5.1.10 During the six months of entity formation, the Phase Two Development team will issue the tenders for the regulatory services and will assess the bidders. The Phase Two Development team will recommend the preferred bidder and the Steering Committee will endorse the recommendation. Authority for the governance entity to enter into the development contracts will be given jointly by the Steering Committee and by the Supervisory Board. In this way it can be clear that the Supervisory Board has explicitly agreed to accept the delivered service provision contracts.
- 5.1.11 It will not be legal for the Supervisory Board to agree to the contracts until it has sufficient commitment from stakeholders to guarantee all the payments that will fall due from the service contracts, recognising that some payments can be avoided if needed through early termination. The figures are presented in more detail in Chapter 13.3.4, but the minimum commitment will be in the order of 30 stakeholders agreeing to a payment of €20,000 each. This sum corresponds to five years advance payment of €4,000 per annum (cf figure of €3,900 in section 14.1 based on an eventual conservative membership estimate of 350). This is a vital dependency for the proposed masterplan.
- 5.1.12 Once the development contracts are signed, development will start under the supervision of the Phase Two Development team and run, according to the plan, until the last quarter of 2014. The Phase Two Development team will keep the SMGs up to

# European Railway Agency

## ERA/TD/2012-14/INT Annex B.62 of TAP TSI

date with progress so that the results of the procurements will be acceptable to the SMGs. The regulatory services once operational, including contracts and assets, will be handed over formally to the governance entity to be taken into service and managed by the SMGs. The hand over will include document assets created in the TAP TSI Phase One project such as the IT specifications and the Architecture descriptions. In this way, the governance entity will acquire ownership in the document resources it needs and that will be subject to its control as described in the governance proposal.

- 5.1.13 Once the regulatory services are handed over to the governance entity, Phase Three Deployment and Operation starts. The governance of Phase Three is described in the Governance report. Note that Phase Three will exist in perpetuity – there are no provisions in either the TAP TSI Regulation or the Interoperability Directive for termination.
- 5.1.14 In parallel to all this activity associated with the regulatory services, work will take place with individual RU and IM implementation plans. Note that the work on RU/IM implementation plans will build on the plan prepared by the TAF implementation team
- 5.1.15 For the TAP TSI RU/IM and retail obligations, RUs and IMs will prepare their individual implementation plans in the second half of 2012, once the Phase One architecture is confirmed. This requires that the TAP Phase One Project deliverables are approved by the European Commission. These plans will be assembled by the Phase Two Transition team in the first half of 2013. RUs will make budget requests to their managements during calendar 2013 and 2014, depending on their own financial cycle. Implementation projects will start during 2014 and take place mainly during 2015, once the regulatory services are available at the end of 2014.
- 5.1.16 In summary, and to simplify the presentation of the life cycle costs, the plan expects that the regulatory services will be in place from the beginning of calendar 2015 onwards. It also expects that 2015 is the year in which RUs are completing their own individual implementation plans to meet the retail regulatory obligations and are testing the results. In summary, therefore, it is expected that RUs should be able to meet their retail regulatory obligations from the beginning of calendar 2016, except where already planned major upgrades or renewals, or other issues justifying a derogation, prevents them from doing so.
- 5.1.17 It is clear this is an ambitious timetable. First of all, it depends on the proper approval by the authorities of the TAP Phase One Project delivery in accordance with the Chapter 7 timetable and timely execution of the re-publication of the Regulation. Experience shows that there can be a general reluctance to finally committing to the contents of such complex proposals, but sector investments cannot be justified and authorised without certainty of the regulatory requirements.
- 5.1.18 It is likely that RUs who have been closely involved in the Phase One activities will be able to achieve the masterplan timetable if they wish to in respect of their retail obligations, assuming that funds can be made available against other demands. However, this cannot be guaranteed. In addition, there are many railways who have had no involvement in Phase One and who are unlikely to adhere to the plan unless obliged by their Member State. The Phase Two Transition and Development teams will not have powers to demand participation. These risks and mitigations that are possible are described in more detail later in the document.

## 5.2 Milestone plan

- 5.2.1 As noted in the chart above, and subject to the caveats above, there are four key milestones:
- 2013 Q2 – TAP TSI Regulation republished

## **European Railway Agency**

ERA/TD/2012-14/INT Annex B.62 of TAP TSI

- 2013 Q4 – TAP TSI governance entity formed
- 2014 Q3 – TAP TSI regulatory services operational – Phase Three starts
- 2016 Q1 – RUs meet their retail regulatory obligations.

## 6. Phase two transition

### 6.1 Plan

- 6.1.1 Phase Two Transition is defined as the period that starts with the approval of the TAP Phase One Project delivery and that finishes with the re-publication of the TAP TSI Regulation. It is followed by Phase Two Development, as set out above, which finishes once the governance entity exists and the regulatory services are operational. At this point Phase Three starts and continues without termination.
- 6.1.2 The re-published Regulation will have a replaced Chapter 7. The new chapter will contain the key findings from the project including the architecture, the method of governance and most importantly the overall implementation plan described in this masterplan document.
- 6.1.3 The purpose of the Phase Two transition project is to get prepared for the re-publication date, so that the tasks set out in the revised Chapter 7 of the Regulation can start promptly, minimising any mobilisation delay.

	2012/3	2012/4	2013/1
Phase Two - transition			
Phase Two - development			
Phase Three - operation			
Funding bodies budget requests			
Decision-making by TAP and TAF SteCos			
Republished TAP TSI and TAF TSI Regulations			▶
Shadow decision-making by Supervisory Board			
Formal decision-making by Supervisory Board			
Preparation for TSI entity formation			▶
TSI entity formation			
TSI entity formed			
TSI entity operational			
ITT preparation for common services			▶
Common services procurement			
Common services development			
Common services delivered			
Common services operational			
RU and IM individual planning			
Consolidation of RU and IM plans			
RU and IM individual budget cycle			
RU and IM individual implementation projects			
All parties fully operational			

### 6.2 Tasks

- 6.2.1 The Phase Two Transition tasks to be carried out by the Phase Two Transition team are as follows. Governance and decision-making remains with the existing TAP TSI Steering Committee.
- Create a Phase Two Preparation project team. The team does all the work in autumn 2012 through to the first quarter 2013, depending on the re-publication date of the Regulation
  - Run the 25 September 2012 (or whatever date) Masterplan meeting
  - Request and collect individual passenger RU and (updated) IM implementation plans
  - Prepare the consolidated implementation plan for the retail Basic Parameters – the existing TAF TSI master plan will be extended to prepare a consolidated implementation plan including passenger RU requirements

## European Railway Agency

### ERA/TD/2012-14/INT Annex B.62 of TAP TSI

- Review the requirements documents for the regulatory services and prepare the tender documents
- Choose from the options for the governance entity in terms of legal structure and country of registration
- Update cash-flow estimates for the entity
- Update source of working capital for the entity
- Review the governance rules and restructure them so that they can form the entity's articles of association (or whatever term applies in the country where the entity is formed)
- Determine how many seats there will be for each stakeholder group in the Supervisory Board and the Service Management Groups
- Determine the process definition for the way stakeholder groups propose and change their nominees
- Draft the contracts for the General Manager and the chairs of the Service Management Groups and the Working Groups
- Make initial proposals for the number and subjects of Working Groups and draft their responsibilities and terms of reference
- Canvass stakeholders for possible names for the General Manager and the chairs of the Service Management Groups and the Working Groups
- Submit all CRs detected during the Phase One which by agreement have not been covered in earlier ERA TAP TSI Change Control Management (CCM) working party meetings.

### 6.3 Resources

6.3.1 The details of the resource calculations can be found in Chapter 13.3.4.

6.3.2 Some assumptions have been used to generate the person-days for each of the Phase Two tasks.

Phase Two Transition task name	Resource assumption
Phase Two transition Project management	10% of direct project person-days
Request individual RU and IM plans, support RUs and IMs, prepare consolidated RU and IM plans	About one FTE half time – based on TAF masterplan experience
Select a governance legal option	Assume some learning is possible from CCG discussions, but four-person weeks assumed plus €10,000 preliminary legal fees
Review cash-flow estimates, review source of working capital	Limited activity
Review governance rules	Limited activity to check how rules can fit into selected legal option
Determine nomination rules for SB, determine stakeholder nominee process	Limited activity following an agreement by TAF and TAP stakeholders that a combined governance is required

## European Railway Agency

### ERA/TD/2012-14/INT Annex B.62 of TAP TSI

Confirm proposal for Working Groups	Limited activity, but including drafting the standard terms of reference
Project management of continuing RU/IM works	Person-days based on outputs from RU/IM Phase One project Work Stream
Project management of continuing Full Service Model (FSM) works	Person-days based on outputs from FSM Phase One project Work Stream
Submit all remaining Phase One CRs	Limited activity
Prepare service tenders (not contracts/SLAs)	An average of five days per tender is assumed. The work excludes contract and SLA work but includes the preparation of the requirements specifications documents, instructions to tenderers, etc
Start discussions with potential suppliers	Limited activity
Set up Phase Two implementation team	Limited activity

<b>Phase Two Development task name</b>	<b>Resource assumption</b>
Phase Two Implementation Project Management	10% of direct project person-days
Create governance entity	Four person-weeks to supervise a €50,000 legal contract to create the entity
Project management of continuing RU/IM works	Person-days based on outputs from RU/IM Phase One project Work Stream
Organise nominations for Supervisory Board (SB) and Service Management Groups (SMGs)	Limited activity
Draft service contracts and Service Level Agreements (SLAs)	An average of five days per service is assumed. The draft contract and SLA will be developed from an existing stakeholder version
Procure and supervise the delivery of the regulatory services	Varies between 20 and 50 person-days per service over an 18 month period to cover procurement, provider selection, contract signing, supervision and acceptance
Bring regulatory services into operation, pass control to entity	Limited activity to cover project team to governance entity handover

6.3.3 The completion of above plan and tasks will be assessed by the European Railway Agency (ERA) and documented in a progress monitoring report. This report will be sent by ERA to the European Commission at least twice per year.

## 7. Governance entity formation

### 7.1 Plan

7.1.1 The formation of the entity can start once the Regulation is re-published and there is certainty as to the legal requirements. In the chart below this is assumed to be at the beginning of 2013 quarter 2.

7.1.2 Given the preparatory work in Phase Two transition, including lessons learned from TAF TSI and the Common Components Group (CCG), it is assumed that the legal work can be carried out in six months and that the entity will therefore exist at the beginning of 2013 quarter 4.

7.1.3 Details of the planning once the entity exists can be found in chapter 12.3.2.

	2012/3	2012/4	2013/1	2013/2	2013/3
Preparation for TSI entity formation					
TSI entity formation					
TSI entity formed					
TSI entity operational					

### 7.2 Tasks

7.2.1 The formation of the entity will be undertaken by the Phase Two Development team and requires the following tasks:

- Formalise the governance rules as a set of articles of association (or whatever term applies in the country where the entity is formed)
- Instruct lawyers to create the entity using the legal structure and country of registration as determined in the Phase Two transition project
- Organise nominations for the Supervisory Board and the Service Management Groups on the basis of the allocations agreed in the Phase Two transition project
- Shortlist suitable candidates for the General Manager (either as a secondee from a stakeholder or as a direct contractor) and Service Management Group chairs so that appointments can be made immediately upon entity formation.

### 7.3 Resources

7.3.1 The details of the resource calculations can be found in Chapter 13.3.4. The legal costs of entity formation are included in the Phase Two implementation project costs.

7.3.2 The completion of above plan and tasks will be assessed by the European Railway Agency (ERA) and documented in a progress monitoring report. This report will be sent by ERA to the European Commission at least twice per year.

## 8. Computer services procurement

### 8.1 Plan

8.1.1 The tender documents for the operational computer services will be prepared in the Phase Two transition project. The contracts and SLAs will be drafted in the Phase Two implementation project, once re-publication has taken place.

8.1.2 Contracts are needed for the following services:

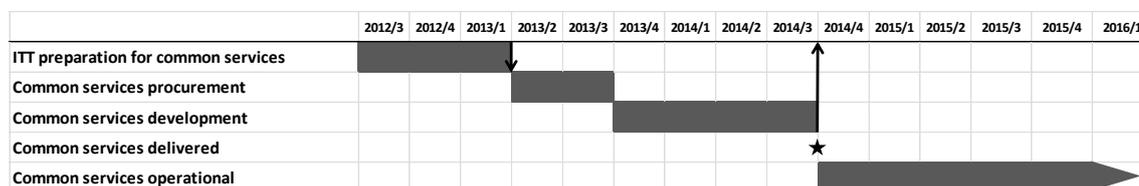
- Membership administrative service
- Reference data service
- Notification/registry service
- Data quality service.

8.1.3 Once the Regulation has been re-published, and there is certainty as to the legal architecture and requirements, the procurement of the operational computer services can start. The procurement will be carried out by the Phase Two Development team. It will run over six months in parallel to the formation of the governance entity.

8.1.4 Once the governance entity exists, and sufficient funds have been guaranteed by stakeholders (see paragraph 5.1.11), all the operational computer service contracts can be signed by one of the nominated signatories of the entity. The development work then starts, supervised by the Phase Two Development team. It is assumed that the development work will take 12 months. Decision making for the entity will start with the current Steering Committee and pass to the Supervisory Board during the 12 months, at a date agreed together.

8.1.5 In parallel, as the operational computer SMG is formed and starts working, it will monitor the development projects through reports from the Phase Two Development team. Each operational service will require final sign-off by both the Phase Two Development team and the operational computer SMG, primarily to ensure that the SMG takes responsibility for services it has approved.

8.1.6 The operational computer services should all be ready by quarter 4 2104 and individual RUs, IMs and others can start using the services from then on. As they will need to run tests before going live it can be expected that quarter 1 2015 will be the earliest that any live use will happen.



### 8.2 Tasks

8.2.1 The procurement of the regulatory services will be undertaken by the Phase Two Development team and requires the following tasks:

- Procure the regulatory services needed by the governance entity using tender documents from Phase Two Transition
- Prepare the contracts and SLAs for the regulatory services for the governance entity nominees to sign

# European Railway Agency

## ERA/TD/2012-14/INT Annex B.62 of TAP TSI

- Supervise the service provision contracts and align it with the retail technical services and RU/IM technical services contracts.
- Oversee bringing contracts into operation, including testing and the start of the service management activity
- Pass control of (the now operational) regulatory services across to Service Management Group chairs.

### **8.3 Resources**

- 8.3.1 The details of the resource calculations can be found in Chapter 13.3.4.
- 8.3.2 The governance entity will have the minimum capital needed when it is formed to meet its obligations. In order to minimise the requirement for stakeholder funding it is assumed that the development funds needed in all service contracts will be provided by the service provider.
- 8.3.3 A funding charge of 20% has therefore been applied, assuming 7% funds cost being paid by the service provider over a five year duration. A further 20% has been added as contingency.
- 8.3.4 The Supervisory Board may change this approach if it can obtain access to capital sums on more attractive terms than those passed on through the service provision contracts.
- 8.3.5 Service costs comprise the annual repayment of the development cost, the cost to run the computer service and the cost of service management and customer support.
- 8.3.6 The completion of above plan and tasks will be assessed by the European Railway Agency (ERA) and documented in a progress monitoring report. This report will be sent by ERA to the European Commission at least twice per year.

## 9. Retail technical services procurement

### 9.1 Plan

9.1.1 Once the Regulation has been re-published, and there is certainty as to the legal architecture and requirements, the procurement of the retail technical service can start. The procurement will be carried out by the Phase Two Development team. It will run over six months in parallel to the formation of the governance entity.

9.1.2 Once the governance entity exists, and sufficient funds have been guaranteed by stakeholders (see paragraph 5.1.11), the retail technical service contract can be signed by one of the nominated signatories of the entity. The (limited) development work then starts, supervised by the Phase Two Development team. It is assumed that the development work will take a maximum of 12 months, in line with the operational computer services. Decision making for the entity will start with the current Steering Committee and pass to the Supervisory Board during the 12 months, at a date agreed together.

9.1.3 In parallel, as the retail technical SMG is formed and starts working, it will monitor the work of the service provider through reports from the Phase Two Development team. The service will require sign-off by both the Phase Two Development team and the retail technical SMG, primarily to ensure that the SMG takes responsibility for service it has approved.

	2012/3	2012/4	2013/1	2013/2	2013/3	2013/4	2014/1	2014/2	2014/3	2014/4	2015/1	2015/2	2015/3	2015/4	2016/1
ITT preparation for common services	█			↓						↑					
Common services procurement				█											
Common services development						█									
Common services delivered									★						
Common services operational											█				

### 9.2 Tasks

9.2.1 The procurement of the regulatory services will be undertaken by the Phase Two Development team and requires the following tasks:

- Procure the retail technical service needed by the governance entity using tender documents from Phase Two Transition
- Prepare the contract and SLA for the service for the governance entity nominees to sign
- Supervise the service provision contract and align it with the operational computer services contract (see 8.2.1)
- Oversee bringing the contract into operation, including the start of the service management activity
- Pass control of (the now operational) regulatory service across to the Service Management Group chair.

### 9.3 Resources

9.3.1 The details of the resource calculations can be found in Chapter 13.3.4. A small annual sum has been included for a document management system.

9.3.2 The completion of above plan and tasks will be assessed by the European Railway Agency (ERA) and documented in a progress monitoring report. This report will be sent by ERA to the European Commission at least twice per year.

## 10. RU/IM technical services procurement

### 10.1 Plan

- 10.1.1 Once the Regulation has been re-published, and there is certainty as to the legal architecture and requirements, the procurement of the RU/IM technical service can start. The procurement will be carried out by the Phase Two Development team. It will run over six months in parallel to the formation of the governance entity.
- 10.1.2 Once the governance entity exists, and sufficient funds have been guaranteed by stakeholders (see paragraph 5.1.11), the RU/IM technical service contract can be signed by one of the nominated signatories of the entity. The (limited) development work then starts, supervised by the Phase Two Development team. It is assumed that the development work will take a maximum of 12 months, in line with the operational computer services. Decision making for the entity will start with the current Steering Committee and pass to the Supervisory Board during the 12 months, at a date agreed together.
- 10.1.3 In parallel, as the RU/IM technical SMG is formed and starts working, it will monitor the work of the service provider through reports from the Phase Two Development team. The service will require sign-off by both the Phase Two Development team and the RU/IM technical SMG, primarily to ensure that the SMG takes responsibility for service it has approved.

	2012/3	2012/4	2013/1	2013/2	2013/3	2013/4	2014/1	2014/2	2014/3	2014/4	2015/1	2015/2	2015/3	2015/4	2016/1
ITT preparation for common services	█			↓											
Common services procurement				█	█	█	█	█	█						
Common services development						█	█	█	█	█					
Common services delivered									★						
Common services operational										█	█	█	█	█	█

### 10.2 Tasks

- 10.2.1 The procurement of the regulatory services will be undertaken by the Phase Two Development team and requires the following tasks:
- Procure the RU/IM technical service needed by the governance entity using tender documents from Phase Two Transition
  - Prepare the contract and SLA for the service for the governance entity nominees to sign
  - Supervise the service provision contract and align it with the operational computer services contract (see 8.2.1)
  - 13.3.4Oversee bringing the contract into operation, including the start of the service management activity
  - Pass control of (the now operational) regulatory service across to the Service Management Group chair.

### 10.3 Resources

- 10.3.1 The details of the resource calculations can be found in Chapter 13.3.4. A small annual sum has been included for a document management system.
- 10.3.2 The completion of above plan and tasks will be assessed by the European Railway Agency (ERA) and documented in a progress monitoring report. This report will be sent by ERA to the European Commission at least twice per year.

## 11. Administrative services procurement

### 11.1 Plan

11.1.1 Once the Regulation has been re-published, and there is certainty as to the legal architecture and requirements, the procurement of the administrative services can start. The procurement will be carried out by the Phase Two Development team. It will run over six months in parallel to the formation of the governance entity.

11.1.2 Once the governance entity exists, and sufficient funds have been guaranteed by stakeholders (see paragraph 5.1.11), the administrative service provision contract can be signed by one of the nominated signatories of the entity. The (limited) development work then starts, supervised by the entity's General Manager. It is assumed that the development work will take a maximum of 12 months, in line with the operational computer services. Decision making for the entity will start with the current Steering Committee and pass to the Supervisory Board during the 12 months, at a date agreed together.

	2012/3	2012/4	2013/1	2013/2	2013/3	2013/4	2014/1	2014/2	2014/3	2014/4	2015/1	2015/2	2015/3	2015/4	2016/1
ITT preparation for common services	█			↓											
Common services procurement				█											
Common services development					█										
Common services delivered									★						
Common services operational										█					

### 11.2 Tasks

11.2.1 The procurement of the regulatory services will be undertaken by the GM and requires the following tasks:

- Procure the administrative services needed by the governance entity using tender documents from Phase Two Transition
- Prepare the contract and SLA for the service for the governance entity nominees to sign
- Supervise the service provision contract
- Oversee bringing the contract into operation, including the start of the service management activity.

### 11.3 Resources

11.3.1 The details of the resource calculations can be found in Chapter 13.3.413.3.4.

11.3.2 An allowance is noted in the resource calculations for the costs of providing meeting rooms for the Supervisory Board, SMGs and Working Groups (WGs), the travel expenses of SMF members in addition to the chair, plus occasional room rental for the General Manager.

11.3.3 The completion of above plan and tasks will be assessed by the European Railway Agency (ERA) and documented in a progress monitoring report. This report will be sent by ERA to the European Commission at least twice per year.

## 12. Individual RU and IM implementations

### 12.1 Plan

- 12.1.1 This document provides an expectation of RU and IM implementation plans, based on Project Teams (Phase Two transition and Phase Two development ones) knowledge and experience. Once the European Commission has approved the TAP TSI Phase One Implementation project, and there a stable text that will become the revised TAP TSI Regulation, individual RUs and IMs will be able to start preparing their own implementation plans.
- 12.1.2 On the assumption of a stable text, work will start after the summer 2012 break with a TAP TSI Masterplan meeting, the complement to the TAF TSI meeting held in Brussels on 26 January 2012. The Phase Two Transition team will present the project and request individual RUs and IMs to execute their own implementation study projects and provide a summary report to the project team in a common template. Individual RUs and IMs will provide their own migration plan that describes how they will meet each of the obligations that apply to them, as defined in the Basic Parameters of the Regulation.
- 12.1.3 Note that the project team will have no powers to direct individual RUs and IMs. The project team will provide some support to RUs and IMs while their projects take place and will integrate the results into a consolidated plan in the first quarter of 2013, again following the model set by TAF TSI. If the Phase Two Transition project does not receive any input from an RU or IM, it will advise the relevant Member State. It will be the responsibility of the Member State to force the RU or IM to carry out its implementation plan project.
- 12.1.4 The plan to meet the retail obligations will need to be developed by RUs. For the RU/IM planning the individual passenger RUs and IMs will be asked to check the TAF TSI plan and build upon that existing RU/IM timeline, rather than doing something independently.
- 12.1.5 Once the consolidated plan exists, individual RUs and IMs will be requested to adapt their plans to match the consolidated plan and to make requests to their managements for implementation project funds. The timing for this process is determined by their normal company budget cycles. Requests for funds are expected to happen during in 2013 but mainly in 2014, depending on individual circumstances. As a result, the earliest any implementation projects will take place is in 2014 but the bulk can be expected in 2015.
- 12.1.6 For this reason, if the whole plan can be executed to schedule, RUs can be expected to meet their retail regulatory obligations from 2016 onwards. This is dependent on the Regulation being re-published on time in early 2013. Delays to this will lead to significant masterplan delays as RUs will miss any chance to apply for implementation project funds in the budget planning for 2014.

	2012/3	2012/4	2013/1	2013/2	2013/3	2013/4	2014/1	2014/2	2014/3	2014/4	2015/1	2015/2	2015/3	2015/4	2016/1
RU and IM individual planning															
Consolidation of RU and IM plans															
RU and IM individual budget cycle															
RU and IM individual implementation projects															
All parties fully operational															★

- 12.1.7 The plan expects all parties to be compliant by the beginning of 2016. There are significant risks to the plan, including those from a delayed re-publishing of the Regulation. These risks are all noted in chapter **Error! Reference source not found.**

# European Railway Agency

## ERA/TD/2012-14/INT Annex B.62 of TAP TSI

### 12.2 Tasks

12.2.1 The tasks needed for individual planning are as follows and will be carried out by the relevant Phase Two project team:

- Masterplan meeting on 25 September 2012 plus follow-up
- Member State direction of individual RUs and IMs
- Communication and support for individual RUs and IMs
- Production of the consolidated retail BP implementation plan
- Communication and support during regulatory service development
- Provision of test and training facilities – these are obligations that need to be written into the functional requirements for service providers.

12.2.2 The preparation of the consolidated plan will assume that Member States will use their regulatory powers to oblige all RUs and IMs to prepare a plan and to adhere to the consolidated plan. Despite this, there is a risk that the Phase Two Transition team may not receive plans from all implicated companies. For example, there are under-financed UIC members (will not do anything as they have no money), non-UIC members (consider the Regulation does not apply to them), PSO contractors (who execute rather than determine the service they provide) and small railways (who consider they are too small to worry about).

12.2.3 In each of these cases, the Phase Two Transition team will plan on the basis of proposed mitigations and actions that ensure those companies meet their obligations according to the masterplan consolidated timetable. In the general case, the mitigation is expected to be to request the Member State to oblige the RU to act in a timely manner.

12.2.4 The Phase Two Development team will disband once the regulatory services are available for use. The governance entity will provide support for the testing and bringing into use of its services by members.

12.2.5 During their implementation projects there will be no external financial support for RUs and IMs. This adds another risk to the overall masterplan where the RU or IM is not able or willing to use its own funds for this purpose.

### 12.3 Resources

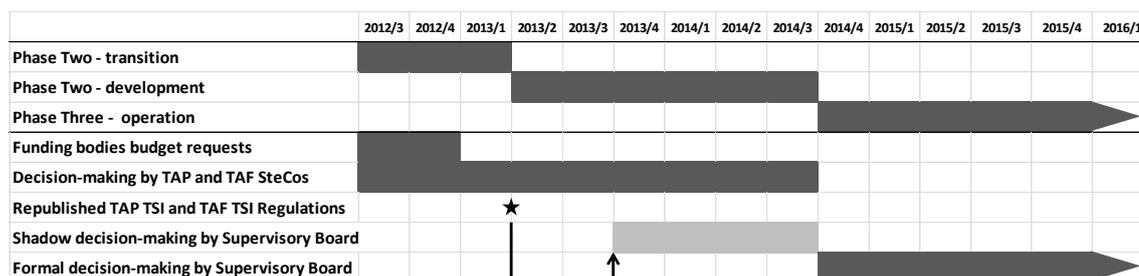
12.3.1 The details of the resource calculations can be found in Chapter 13.3.4.

12.3.2 The completion of above plan and tasks will be assessed by the European Railway Agency (ERA) and documented in a progress monitoring report. This report will be sent by ERA to the European Commission at least twice per year.

## 13. Governance entity operation

### 13.1 Plan

- 13.1.1 The governance entity is scheduled to be operational in quarter 4 2013.
- 13.1.2 During the following months, members of the Supervisory Board and the SMGs will be nominated. Decision making will be passed to the Supervisory Board from the Steering Committee at a date agreed by all parties. This is shown in the light grey bar in the following chart.
- 13.1.3 The General Manager of the entity is appointed immediately on formation.



### 13.2 Tasks

- 13.2.1 The responsibilities of the General Manager are defined in the Governance report. An early task will be to prepare for the business and first meetings of the Supervisory Board, the SMGs and the WGs. S/he will procure the administrative services and monitor the procurement of the other services by the Phase Two Development team.
- 13.2.2 S/he will be responsible for bringing the operational service contracts and the regulatory resources into the control of the entity once delivered by the Phase Two Development team.

### 13.3 Resources

- 13.3.1 The details of the resource calculations can be found in Chapter 13.3.413.3.4.
- 13.3.2 The General Manager, plus the chairs of the SMGs and WGs, correspond to about 4.0 Full Time Equivalents. This is made up of a large set of part time chairs. This ensures that the chairs are experts in the subject area of the SMG or WG, rather than simply being administrative experts.
- 13.3.3 The Phase One Project Team considers that the use of expert WG chairs is essential in order to provide the required technical leadership to the unpaid experts participating in WG meetings.
- 13.3.4 The completion of above plan and tasks will be assessed by the European Railway Agency (ERA) and documented in a progress monitoring report. This report will be sent by ERA to the European Commission at least twice per year.



# European Railway Agency

## ERA/TD/2012-14/INT Annex B.62 of TAP TSI

14.1.8 Stakeholders who have regulatory obligations will have to pay the participation fee from the latest of 2015 or the date they become subject to the Regulation, irrespective of when they actually meet their regulatory obligations. This is needed to avoid encouraging members to delay meeting their regulatory obligations.

### 14.2 Phase Two costs

14.2.1 The cost breakdown for Phase Two is shown in the following chart.

		2012	2013	2014
<b>Phase Two transition</b>				
Project management	Days	10	10	
Request individual RU and IM plans		20		
Support RUs and IMs		15	15	
Prepare consolidated RU and IM plans			30	
Validate governance legal options		20		
Validate cash-flow estimates		5		
Validate source of working capital		5		
Validate governance rules		10		
Determine nomination rules for SB			5	
Determine stakeholder nominee process			5	
Confirm proposal for Working Groups			5	
Project management of continuing RU/IM works		50	35	
Project management of continuing FSM works		20	5	
Submit all remaining Phase One CRs		10		
Prepare service tenders			50	
Start discussions with potential suppliers			10	
Set up Phase Two implementation team			5	
<b>Phase Two Implementation</b>				
Project Management	Days		20	20
Project management of continuing RU/IM works			40	
Create entity			20	
Organise nominations for SB and SMGs			10	
Draft service contracts and SLAs			50	
Procure and supervise the delivery of these services				
- Membership service			10	5
- Retail reference data service			30	20
- RU/IM reference data service			30	20
- CRD repository service			10	10
- Notification/registry service			30	30
- Data quality service			20	20
- Retail technical service			20	10
- RU/IM technical service			20	10
- Administrative service			10	5
Bring services into operation				20
Pass control to entity				5
Total days per year	Days	165	495	175
Daily rate including expenses	€	850	850	900
Cost at daily rate		140,250	420,750	157,500
Legal, etc costs		10,000	50,000	0
Cost including contingency	20%	180,300	564,900	189,000
Total days Phase Two transition	340			
Total cost Phase Two transition	358,800			
Total days Phase Two implementation	495			
Total cost Phase Two implementation	575,400			
Total days overall	835			
Total cost overall	934,200			

14.2.2 The assumptions behind the proposed task days can be found in section 6.36.3.

# European Railway Agency

## ERA/TD/2012-14/INT Annex B.62 of TAP TSI

### 14.3 Governance entity staff costs

14.3.1 The cost breakdown for the governance entity staff costs is shown in the following chart.

	% time		2012	2013	2014	2015	2016	2017
<b>Contracted staff</b>								
General Manager €800 + €100/day expenses	100%					1.00	1.00	1.00
Less travel on average than SMG and WG chairs								
SMG chairs €700 + €200/day expenses								
- Operational computer services	25%					0.25	0.25	0.25
- Retail technical services	25%					0.25	0.25	0.25
- RU/IM technical services	75%					0.75	0.75	0.75
WG chairs €700 + €200/day expenses								
- Path request	20%					0.20	0.20	0.20
- IT and reference data	20%					0.20	0.20	0.20
- Train status	20%					0.20	0.20	0.20
- Timetable	20%					0.20	0.20	0.20
- Tariffs	20%					0.20	0.20	0.20
- Reservation	30%					0.30	0.30	0.30
- Fulfilment and after-sales	20%					0.20	0.20	0.20
Total contracted FTEs						3.75	3.75	3.75
Daily rate € including €200/day expenses	220	working days per year				900	925	950
Annual rate € including expenses per FTE						198,000	203,500	209,000
Total contracted staff expenditure						742,500	763,125	783,750
<b>Free sector supply of SB, SMG and WG members</b>								
<i>Supervisory Board</i>								
Meets two times a year - 15 people - €1,200 a day including expenses						36,000	36,000	36,000
<i>Service Management Groups</i>								
Each SMG meets three times a year - 12 people - 1 day work a month in addition - 15 days per person per year	3					486,000	499,500	513,000
<i>Working groups</i>								
Each WG meets three times a year - 12 people - 0.5 day a month in addition - 9 days per person per year	7					680,400	699,300	718,200
Total free sector staff supply						1,202,400	1,234,800	1,267,200
<b>Existing costs transferred to governance entity</b>								
Stakeholder WG chairs now paid by TAP governance	3					0.75	0.75	0.75
Half of WG chair activity escaped by stakeholders								
Total existing costs transferred						148,500	152,625	156,750

14.3.2 There are three sections in the staff costs chart. The first section shows the direct costs to the governance entity of the various WG and SMG chairs, plus the cost of the GM. The daily rates for the chairs reflects the fact that these people will be experts and valued by their companies, who will therefore require a market rate for making them available. The rate for expenses reflects the experience of the expert group meetings in the TAP TSI Phase One project. The GM expenses rate is lower as proportionately less travel will be required for someone working full time.

14.3.3 The second section gives an estimation of the time costs of the experts and others in the SMGs and WGs, together with the costs of the members of the Supervisory Board. All this will be provided free by stakeholders, as is the case today in CEN, the UIC and similar standards-making organisations. Only the chairs are paid, for reasons explained in the text.

14.3.4 The final section makes an estimate of costs that are currently paid by stakeholders directly but which will now be paid by the governance entity. This includes, for example, the chairs of the UIC Technical Group sub-groups such as TAP-MD and TAG.

# European Railway Agency

## ERA/TD/2012-14/INT Annex B.62 of TAP TSI

### 14.4 Operational computer service costs

14.4.1 The cost breakdown for the computer service costs is shown in the following chart.

Service development cost analysis						
Membership service		0				
Retail reference data service		100,000				
RU/IM reference data service		100,000				
CRD repository data service		0				
Notification service		200,000				
Data quality service		90,000				
<b>Total computer services cost of development</b>		<b>490,000</b>				
Cost of sale to service provider to fund the development	20%	98,000				
This assumes 7% interest on loan reducing over 5 years						
<b>Total development cost to service providers</b>		<b>588,000</b>				
<b>Annual service provision cost committed over 5 years contract</b>		<b>117,600</b>				
			2015	2016	2017	2018
<b>Annual service charges</b>						2019
Membership service			20,000	20,000	20,000	20,000
Retail reference data service (contracted over 5 years)			50,000	50,000	50,000	50,000
RU/IM reference data service (contracted over 5 years)			20,000	20,000	20,000	20,000
CRD repository data service (contracted over 5 years)			50,000	50,000	50,000	50,000
Notification service (contracted over 5 years)			50,000	50,000	50,000	50,000
Data quality service (contracted over 5 years)			50,000	50,000	50,000	50,000
Protocol conversion costs			Market provision - not provided by the governance entity			
CCG Common Interface costs			CCG provision - not provided by the governance entity			
Annualised service development charge contracted over 5 years			117,600	117,600	117,600	117,600
Sub-total			357,600	357,600	357,600	357,600
Contingency	15%		53,640	53,640	53,640	53,640
<b>Total operational computer services</b>			<b>411,240</b>	<b>411,240</b>	<b>411,240</b>	<b>411,240</b>
Development cost figures are taken from the Architecture workstream						
Data service costs include €33,000 service provider support and service management costs per service in addition to computer system operational cost						
RU/IM support cost included in CRD repository support charge						

14.4.2 The chart above is in two parts. The first makes the estimate of the total development cost for the service provider(s) of the operational computer systems. This adds up to €490,000.

14.4.3 In order to minimise the need for the governance entity to have capital, it has been assumed that all service providers will have to fund the capex needed to develop the operational computer services. In order to estimate the cost of capital for the service providers, it has been assumed a funding cost of sale of 20% must be added, calculated for a five year repayment at an interest rate of 7%. This adds €98,000, making a total cost of development of €588,000. As this will be charged to the governance entity as five annual payments, the cost per annum for the developed services is €117,600 per annum.

14.4.4 Each year of operation, the entity must pay the operational costs of the developed systems, plus the costs of personnel providing service management such as reporting, help desk, incident management, etc. This is in addition to the annualised charge for system development. The entity will not be responsible for any costs relating to protocol conversion or the Common Interface software development.

14.4.5 The reference data services are separated into the three parts covering retail only, RU/IM only, and common reference data.

## European Railway Agency

ERA/TD/2012-14/INT Annex B.62 of TAP TSI

### 14.5 Retail and RU/IM technical service costs

14.5.1 The service is described in chapter 9 of the Governance report. The cost breakdown for the both the retail and RU/IM technical service costs is shown in the following chart.

	2012	2013	2014	2015	2016	2017
Staff costs are covered under staff costs tab						
Document management system				10,000	10,000	10,000

14.5.2 All staff costs, for example the costs of the SMG and WG chairs, is covered under paragraph 14.3 above.

### 14.6 Administrative service costs

14.6.1 The service is described in chapter 9 of the Governance report. The cost breakdown for the administrative service costs is shown in the following chart.

	2012	2013	2014	2015	2016	2017
Admin FTEs at 220 days a year	1.0					
Daily rate including expenses				330	360	360
Administrative service provision cost				72,600	79,200	79,200
SB/SMG/WG room costs - €500/meeting Includes incidental room costs for GM	50 meetings			25,000	25,000	25,000
Travel costs for SMG members - €600/person 11 people * 3 meetings * 3 SMGs	100 times			60,000	60,000	60,000
<b>Total cost</b>				<b>157,600</b>	<b>164,200</b>	<b>164,200</b>

# European Railway Agency

ERA/TD/2012-14/INT Annex B.62 of TAP TSI

## 15. Risks

### 15.1 Implementation of regulatory obligations

15.1.1 The execution of the masterplan is subject to several risks. They have been mentioned in the text above but are summarised here together with possible mitigations and estimated impacts/probabilities.

Risk	Consequence	Mitigation	Impact	Probability
The TAP Phase One delivery is not approved according to the Chapter 7 timetable	Delay to re-publication of TAP TSI Regulation, uncertainty for RU and IMs as to the method for meeting their obligations and therefore no funds at all in 2013 for any TAP TSI Phase Two activity	Effective working in May and June 2012 by all parties to ensure approval is to the timetable	H	L
DG MOVE or ERA proposes material changes to the TAP Phase One delivery (for example as regards the architecture or governance) and the regulatory services proposed in it	Extended negotiation between DG MOVE, ERA and the stakeholders leading to uncertainty for RU and IMs as to the method for meeting their obligations and therefore no funds at all in 2013 for any TAP TSI Phase Two activity	Effective working in May and June 2012 by all parties to ensure approval is to the timetable	H	M
RUs in a bad financial state will not meet masterplan timetable	Incomplete roll-out of TAP TSI masterplan	DG MOVE and relevant Member State discuss funding options for affected RUs	L	H
RUs not involved in TAP TSI Phase One project will not meet masterplan timetable	Incomplete roll-out of TAP TSI masterplan	Member States actively ensure all implicated RUs prepare and execute their implementation plan project	L	H
RUs operating PSO contracts will not meet masterplan timetable	Incomplete roll-out of TAP TSI masterplan	Member States actively ensure all public authorities holding or entering into rail PSO contracts are aware of the need for their PSO RUs to prepare and execute an implementation plan project	H	H
RUs not involved in international business will not meet masterplan timetable	Incomplete roll-out of TAP TSI masterplan	Member States actively ensure all implicated RUs plan at least to make their timetable data available as per the Regulation	L	H
RUs and IMs have no funds to carry out implementation plan projects in second half of 2012	Incomplete roll-out of TAP TSI masterplan	Member States where necessary fund RUs to prepare and execute their implementation plan project	M	M

## European Railway Agency

### ERA/TD/2012-14/INT Annex B.62 of TAP TSI

RUs cannot fund Phase Two transition project to start in 2012	Phase Two transition starts only when stakeholder funds collected in mid 2013 leading to six to nine months delay to masterplan	Phase Two Transition team to seek goodwill from RUs and IMs to self-fund work in 2012 in anticipation of eventual project payment	M	H
Governance entity has insufficient funds on formation to conduct business	Entity does not start work and TAP TSI service procurements delayed for an extended period until funds available	Phase Two Transition team to seek 30 stakeholders who will pay five years participation fees (for 2015 to 2019 incl) during 2013 so that service development contracts can be signed	H	M
A common proposal for governance of RU/IM matters cannot be agreed with TAF TSI stakeholders	Delay to re-publication of TAP TSI and TAF TSI Regulations, uncertainty for RU and IMs as to the method for meeting their obligations and therefore no funds at all in 2013 for any TAP TSI Phase Two activity	Effective working in May and June 2012 by all parties to ensure a common proposal can be agreed by TAP TSI and TAF TSI Steering Committees	H	H
Other stakeholders as defined in the governance refrain from participation in the entity	Reduced membership and hence higher annual participation fees	Proactive communication from the governance entity to potential stakeholders and third parties	H	M