EUROPEAN
UNION
AGENCY
FOR RAILWAYS

Making the railway system
work better for society.

Single Programming Document 2017

Adopted version

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Foreword by the Executive Director

The European Union Agency for Railways faces a difficult situation in terms of low and stagnating market share, both for freight and passengers, it suffers from significantly higher production costs than competing modes of transport, and it shows poor customer satisfaction. As a mitigation, European legislation and the activities of the European Railway Agency intend to actively contribute to improving this situation.

The Fourth Railway Package is the single most important set of legal acts on railways in Europe for decades and it will have a decisive impact on the realisation of the Single European Railway Area, in particular by driving down costs and thereby improving the competitiveness of the rail system. Thus, by facilitating a shift of transport volume to rail, this package will also enable the rail sector to make an important contribution to the emission targets of the EU.

The European Union Agency for Railways will play a decisive role in the implementation of the Fourth Railway Package. In close coordination with Directorate-General for Mobility and Transport (DG MOVE), the Agency has developed a very significant preparation programme which between now and 2019 will transform the entire organisation to enable us to perform our new role, in particular as decision makers in the Single European Railway Area. The deadlines are very ambitious and can only be respected if the necessary resources are made available to carry out sustained and coherent work over many years. With this document, we intend to describe the Agency's plan for the years 2017 to 2019, and, in particular, for 2017 in detail.

This Programming Document is the first annual work programme after the entry into force of the Fourth Railway Package in 2016, which the Agency has been preparing since 2015. This document is intended to support the implementation of the work underway and to point out how the different developments fit together to make the above-mentioned legal framework work in practice, also in view of the additional challenges from the strengthened focus on internationalisation and digitalisation. It shall serve furthermore as a common reference on the planning perspective for all actors, in particular when priorities need to be adjusted. Depending on the development in the sector and in the context of the implementation of the Fourth Railway Package in the next couple of years, the Agency needs to ensure a sufficient level of flexibility in terms of allocation of resources and prioritising the workload.

In order to give a full picture of the building blocks required for the achievement of an integrated EU railway system, it is necessary to put the envisaged key outputs of the Agency into a multi-annual perspective over the next three years, in particular their expected effect on the railway system (railway system outcomes), the related resource needs, and explanations about the foreseen implementation and deployment approach in the Member States (the "how to"). This work programme is in turn supported by a description of the necessary developments within the European Union Agency for Railways that will be crucial for these achievements, including the demanding economic perspective with resource and budget constraints - the Agency is faced with the challenge that while more and more tasks are demanded, the matching resources and budget are not always provided at the same time.

The work described in this Programme is extensive and ambitious and meeting the objectives will be very demanding. We are convinced that the execution will further contribute to enabling better co-operation of all the stakeholders in the European Institutions and in the railway sector, in order to achieve our ultimate goal: "to make the railway system work better for society". Together, we will make it happen.

Josef Doppelbauer

List of Acronyms

4RP	Fourth Railway Package
ATO	Automatic Train Operation
BoA	Board of Appeal
CCS	Control command and signalling
CSIs	Common Safety Indicators
CSMs	Common Safety Methods
CSTs	Common Safety Targets
DG MOVE	Directorate-General for Mobility and Transport
ECM	Entity in Charge of Maintenance
ECVVR	European Centralised Virtual Vehicle Register
ERADIS	ERA Database on Interoperability and Safety
ERATV	European Register of Authorised Types of Vehicles
ERTMS	European Rail Traffic Management System
ETCS	European Train Control System
GSM R	Global System for Mobile Communications (Railway)
ICS	Internal Control Standards
ISC	Inter-service Consultation
IM	Infrastructure Manager
INEA	The Innovation and Networks Executive Agency
IoA	Inventory of Assets
JTI	Joint Technology Initiative
KPI	Key Performance Indicator
L3	Level 3 - conceptual phase
NIBs	National Investigation Bodies
NLF	National Legal Frameworks
NOTIF-IT	Notifications using Information Technology
NRD	National Reference Documents
NRV	National Reference Values
NSAs	National Safety Authorities
NVR	National Vehicle Register
OSJD	Organisation for Cooperation of Railways
OSS	One-stop-shop

OTIF	Organisation for International Carriage by Rail
PRIME	Platform for Railway Infrastructure Managers in Europe
PRM	Persons with reduced mobility
RDD	Reference Document Database
RFC	Rail Freight Corridors
RISC	Railway Interoperability and Safety Committee
RINF	Register of Infrastructures
RU	Railway Undertakings
SMS	Safety Management System
SPC	Single Point of Contact
SteCo	Steering Committee
TDD	Train Drivers' Directive
TRAMOS	Transport Monitoring System
TRIS	Transport Information System
TSI	Technical Specifications on Interoperability
UNCRPD	European Act implementing the Convention on the Rights of Persons with Disabilities of the United Nations
WG	Working Group
WP	Working Party

Section I – General Context

The objective of the European Union Agency for Railways is to contribute, on technical matters, to the implementation of the European Union legislation aimed at:

- improving the competitive position of the railway sector by enhancing the level of interoperability of railway systems,
- developing a common approach to safety on the European railway system, in order to contribute to creating a European railway area without frontiers and guaranteeing a high level of safety.

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

1. Stakeholder Focus

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

2. Ethical Values Commitment

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

3. Legal Compliance

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

4. Staff involvement and development

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

5. Everybody's Commitment to Quality

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

6. Continuous Improvement

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

7. Business Continuity

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

8. Information Governance

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

9. A Culture of Sustainability

   › We all act in a responsible and sustainable manner.

The Agency also works in a wider framework of the European Commission White Paper on transport and its policy objectives for railways:

- Improving competitiveness of rail with other modes in order to increase the market share of the safest and most environment-friendly mode of transport
- Spending public money more efficiently on public rail transport services
- Opening domestic rail passenger transport to competition
- Encouraging market entry by reducing administrative and technical barriers and ensuring non – discrimination through a better governance of the infrastructure

A subset of these objectives is the creation of a “Single European railway area” through improved technical interoperability and a common approach to safety on the EU railway system. In the mid-term, this has led the Agency to the definition of four strategic operational -activities for improved functioning of the railway system, complemented by a horizontal activity:

1) A Harmonised Approach to Safety
2) Removing technical barriers
3) A single European train control and communication system (ERTMS)
4) A simplified access for customers
5) Evaluation, management and resources

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

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

quality of services, easier cross-border services, enhanced travel information, simplified system access, reduced prices.

As a logical next step, complementing the Agency's current and future work, the Fourth Railway Package entrusts the Agency with the tasks of issuing European-wide Safety Certificates for Railway Undertakings, and authorisations for vehicles and ERTMS subsystems. This would further lower the administrative barriers that will remain after the Second and Third Railway Packages have been fully and properly implemented.

Following a prototype prioritisation scheme, based on an early assessment, which was deployed in 2016 for all projects in order to be able to prioritise and plan the workload and the resources, and to set deadlines, the Agency will make proposals for the (re-) prioritisation and (re)scheduling of projects, which, after agreement, become part of the Ongoing change management process of the work programme.

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

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

This Programming Document outlines the Agency's activities for 2017-2019. The structure of the Programming Document follows the Agency's activity-based management approach and is divided into five activities, each with a set of objectives, outputs, expected outcomes, indicators and targets through which achievements can be monitored, measured and reported

Section II - Multi-annual programming 2017-2019

1. Multi-annual objectives

Shifting traffic from other modes of transport to rail requires, among other measures, a much more competitive EU railway system, enabling rail finally to deploy its advantages in environmental protection and energy efficiency.

In the past 10 years, the Agency has consistently worked towards this goal. The next 3 years will be characterised by

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

Regarding its different activities, the Agency therefore needs:

- to further develop a common approach to Safety in the EU railway system, based on a shared understanding of roles and responsibilities and a **common approach to Safety Culture** with a focus on learning, improvement and prevention, as an essential base for the successful EU wide introduction of the Safety Management System regime and hence for the efficient harmonised processes leading to **Safety Certification**. The Agency will work in partnership with all stakeholders to promote and establish an environment where the actors have trust in the functioning of the system, backed by an enhanced monitoring of the real underlying problems and barriers and by a focused approach on where to act in light of the evidence gathered.

  This work all feeds into the preparation together with the stakeholders, essentially the NSAs, in view of **delivering a Single Safety Certificate** in cooperation between the Agency, NSAs and actors from the entry into force of the Fourth Railway Package onwards. This cooperation will be tested in a shadow running even before taking over the new functions.

- to continue to support the **removal of technical and operational barriers**, to help the actors implement and apply the **scope extended TSIs,** to **complete the cleaning up of National Rules,** to **develop and migrate to the common vehicle authorisation process** foreseen in the Fourth Railway Package. The Agency will learn from the return of experience of the existing authorisation processes including the practical learning case and the application of TSIs and exploiting the simplification benefits that come from the new framework. In particular, the further development of OPE TSI will set up a core of harmonised operational principles with the aim of reducing the need of national rules. In order to ensure consistent application of the framework within the Agency and between the Agency and its partners the Agency will also develop a series of "common understandings" on key concepts of the framework.

- to continue supporting the implementation of the European train driver certification scheme in cooperation with NSAs and the sector. In particular, the Agency will concentrate on drafting a

common examination scheme for the train driver licence and on supporting the Commission in preparing a first general revision of the Train Drivers' Directive. More generally, national safety rules on staff competence, fitness or other job access criteria, applicable to staff performing safety relevant work, will be evaluated with the aim of reducing national rules and recommending appropriate European measures where necessary. This activity will be prepared in close coordination with DG MOVE with the revision of the Train Drivers' Directive (TDD) to ensure the most efficient and effective procedure.

- to complete the implementation of the **railway databases and registers** and their rationalisation to improve usefulness, usability and data quality while reducing administrative burdens and undue costs for the Member States and stakeholders. In particular, the Agency will work on the specifications and the implementation of the European Vehicles Register.

- to develop tools necessary to improve further quality and trust among the actors, such as a scheme for the monitoring of Notified Bodies and further steps towards audits and inspections of NoBos as foreseen by the Fourth Railway Package. Furthermore, the Agency will develop a common approach for all assessment bodies aimed at better consistency, proportionality and simplification.

- to prepare for the functions of the Fourth Railway Package, in cooperation with all stakeholders **continuing to participate in learning cases, assisting the Commission in the developments of the common processes and documentation for the new regime** and to prepare the **"One Stop Shop" database,** including all supporting aids, followed up by shadow running as for the Safety Certificates and ERTMS trackside approval.

- to secure the success of ERTMS by applying **strong ERTMS version management and a strengthened system authority role** to prevent any diversification of the Single EU Train Control and Command system. This is supported by the **increased role in the checking European ERTMS infrastructure projects compliance with the specifications,** and to also establish, in collaboration with all stakeholders and concerned actors in the ERTMS Stakeholders Platform, an **optimised coordination of ERTMS development and deployment** to ensure a single transparent, stable, affordable, and interoperable ERTMS system throughout Europe in line with the commitments of the Memorandum of Understanding on ERTMS signed in 2016. The Agency will be coordinating with Shift²Rail on the relevant aspects to ensure the economic benefits of innovation, and promote the harmonized systemas a reference on the worldwide scene.

- to continue, in the field of **simplified access for customers**, the development and change management of the different Telematics TSIs, of the TSI for accessibility for persons with reduced mobility and of the registers and the inventory of assets foreseen to provide information on the implementation of the PRM TSI also to the customers.

All these activities will be accompanied by an **enhanced monitoring** to identify where the Agency should act specifically to improve its actions, and by a **continued full focus on dissemination, training and communication** among the stakeholders to explain and fully implement EU framework for the railway system.

The Agency will continue to develop a set of common positions to ensure consistency of understanding across the Agency on the framework for interoperability and safety.

In parallel and in all our activities we will seek to further **improve the relations with our stakeholders** to enhance the atmosphere of mutual trust and develop even more fruitful cooperation, establishing **the Agency as the heart of the Single European Railway Area** and as the natural partner for all railway actors to work together to improve the shared railway system.

The Agency will also have to **define its place in the world of technical regulators, international railway standardisation and research coordination** and seek the best way of cooperating with other world regions and bodies involved in railway technical and safety regulation to develop common visions of the global reference.

Internally, the Agency will **gain further efficiency** through the full implementation of the **Integrated Management System with the necessary IT support in the processes** to be able to **better focus our core business and maximise the impact of the Agency's output on the sector**. The Agency will develop further internal **processes necessary as a prerequisite for implementing the Fourth Railway Package** such as management and traceability of working documents, competency profiles, prioritisation of the Agency's projects and activities, establishing a scheme for managing fees and charges, and establishing the required governance (e. g. appeal boards) etc**.**

The Agency is convinced that it needs to put in place a programme that can be delivered in strong collaboration with all our stakeholders, a programme best suited to support our overall joint objective: **a more competitive railway system, making the railway system work better for society.**

2. Multi-annual programme 2017-2019

2.1 A Harmonised Approach to Safety

The requirements in the Fourth Railway Package represent an evolution of the Safety Regulatory Framework and in response, the Agency has developed a programme plan setting out milestones to be ready to deliver a Single Safety Certificate. Whilst harmonisation of the legal framework is a necessary precursor, it is clear that there is a need to bring about a more fundamental cultural change in the field of safety if the objective of a single European railway area is to be realised. Many of the barriers that exist represent the historically different approaches to safety across Europe. The world is changing and that change is reflected in rail, changes in technology bring new benefits and changed risks. The focus in safety is shifting to reflect both the need to rely on risk assessment and risk management and the growing understanding of the impact of human performance. The safety programme not only reflects the preparatory phase for the single safety certificate but also calls for the development of a strong focus on enhanced safety performance, through a positive safety culture and supported by better data and monitoring.

An important part of establishing a Single European Railway Area is defining an acceptable level of risk for technical systems and the Agency will continue working with stakeholders to establish practical guidance on the revised regulation for risk assessment, including the use of design targets.

The aim is to establish a positive safety culture, to have roles and responsibilities understood and working among the actors in the next years and to build a strong working relationship with NSAs based on shared processes, shared understanding and trust. This collaborative working relationship is essential to support the increased competitiveness of rail and to achieve the objective of making Europe's railway system the world leader for safety.

Main outputs 2017	**Main outputs 2018**	**Main outputs 2019**
Revision of CSMs conformity assessment (CA) and supervision (SP); delivery of Agency recommendations. Learning cases with NSAs. Application guides to support the CSMs CA and SP and the Implementing Act on practical arrangements for the Single Safety Certificate.	Shadow running Dissemination	Ready to receive applications for Safety Certificates.
Revision of ECM scheme; Development of recommendation	Revision of ECM scheme: Implementing act adopted	Dissemination & guidance on revised scheme
NSA monitoring according to article 33 of Agency Regulation 2016/796: Implementation of monitoring scheme, audits and inspections	Delivery of audits and inspections	Delivery of audits and inspections

Main outputs 2017	Main outputs 2018	Main outputs 2019
Proposal for European Safety Management Data Reporting CSM to monitor safety performance mandate proposal if appropriate	Initiation of Working Party to develop the recommendation, functional specification and user guidance.	Delivery of recommendation
Communication plan of activities on Safety Culture, including Agency event Eurocontrol programme to support Just culture, working with national prosecutors Guidance on CSMs (SP and CA) to include Safety Culture and Human Factors	Feasibility assessment for Agency led programme for the measurement and improvement of safety culture Just culture programme, working with national prosecutors, in parallel with Eurocontrol	Biennial review of stakeholder activities on safety culture Safety Culture added to NSA Monitoring programme for audit cycle 2020-2022

2.2 Removing Technical Barriers

Overall, the Agency acts as the focus for all EU railway technical specifications and authorisation processes for vehicles and infrastructure in partnership with EU standardisation organisations. It supports the understanding and efficient application of the framework and the content, provides optimised tools and drives improvement on the basis of progress monitoring. With the Fourth Railway Package in force, it will, in partnership with NSAs, issue all multi-Member State vehicle authorisations and, on request from applicants, national vehicle authorisations. All vehicle authorisations will be managed using the One-Stop-Shop IT system to be set up by the Agency considering the need to alleviate administration burden for the applicants. The Agency will involve in this process positive experiences from existing authorisation processes in the member states like pre-engagement and the principle, that necessary tests to ensure technical compatibility and safe integration of the vehicle are part of the authorisation procedure.[1]

This streamlined vehicle authorisation will rest on comprehensive TSIs and a reduced set of national rules.

To this aim, the next revision of the TSIs will include the closure of the remaining open points (where appropriate), the addition of the elements introduced by the Fourth Railway Package (including procedures and parameters to check vehicle-network compatibility), the correction to possible deficiencies and any development needed to take into account the technologic, economic and social evolution (including e.g. new relevant standards).

Furthermore, the Agency will continue providing guidance for the national rules cleaning-up carried out by Member States.

In parallel, the Agency will work in collaboration with NSAs on vehicle authorisation learning cases to facilitate successful implementation of the Fourth Railway Package. A similar task will be developed to support

[1] *WIth the entry into force of the 4RP, the Commission is required to draft a delegated act where this needs to be considered.*

national bodies for accreditation and recognition of assessement bodies according to CSM 402/2013 on risk assessment.

In order to increase the trust in the work performed by NoBos and subsequently to allow NSAs to grant authorisations for placing on the market without any further technical checks, in 2016 the Agency proposed to the European Commission a harmonised sectorial accreditation scheme for the notified bodies. After endorsement by the European Commission and Member States through RISC, the Agency will support national accreditation and recognition bodies in applying the agreed harmonised sectorial scheme via European Cooperation for Accreditation (EA). The Agency will also continue working on a harmonised approach (including accreditation) for all assessment bodies, to increase their reliability and in order to respect the principles of consistency and proportionality and to simplify the legislative framework.

In parallel the Agency has started to design, implement and carry out a system to support EC in monitoring the notified bodies by audits and inspections. This will deliver valuable information to further increase trust in the work performed by notified bodies and, if needed, improve the harmonised sectorial accreditation scheme.

In addition the allocation of modules in the TSIs on the one hand and the modules themselves in the Decision 2010/713/EU will be reviewed to identify and exploit possible simplification and cost savings for the sector.

The Agency will continue its cooperation with European Standardisation Organisations (ESO) in order to ensure coordination between the development of TSIs and the standardisation activities. From 2017 onwards this task will be complemented by the identification of possible standardisation activities relating to interchangeable spare parts, as required by the revised Agency Regulation part of the Fourth Railway Package.

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

Main outputs 2017	**Main outputs 2018**	**Main outputs 2019**
Intermediate report on TSIs revision	Recommendations on TSIs revision	Follow-up of the application of revised TSIs
Implementation of the monitoring system for NoBos	Monitoring system for NoBos in place Recommendation on revised Decision on modules submitted to EC	Revision of harmonised sectorial accreditation scheme for NoBos started
Final proposals for Implementing Act on practical arrangements on Vehicle Authorisation and internal processes for vehicle authorisation		Agency responsible for issuing vehicle authorisations

Main outputs 2017	Main outputs 2018	Main outputs 2019
Structured plan for cleaning up national technical rules and TSIs for vehicles completed	Structured plan for cleaning up national technical rules and TSIs for fixed installations completed	
Submission of a recommendation concerning a common examination scheme for train driver licences		

2.3 A Single European Train Control and Communication System

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

Building on the successful and stable Baseline 3 of the European Train Control System (ETCS), and on the Global System for Mobile communications — Railways (GSM-R), the Agency will ensure the managed maintenance and evolution of the specifications, improving their quality, including the harmonized operational principles following the longer term perspective. The benefits from the identified game changers (ATO, L3, braking performance, security, etc.) will be leveraged respecting the key principles of compatibility and protection of investments. The Agency will encourage the harmonised application of the standard system, with dedicated attention to early implementation to ensure timely examination of the return on experience, both in technical and operational aspects.

In the field of railway communications, the Agency will deliver the roadmap enabling ETCS communications on IP based radio technologies, and on the consolidation of the requirements for the evolution of voice radio in view of the planned GSM-R life expectancy, aiming at a definition of the new radio communication systems in 2018.

The increasing focus on follow-up of ERTMS deployment, facilitated by the synergy with the Deployment Management Team, and by the coordination with INEA on EU funded projects is instrumental in ensuring the readiness of the Agency to take up responsibilities in authorisation for ERTMS.

Main outputs 2017	Main outputs 2018	Main outputs 2019
ERTMS Conference	Future Radio System – release of system definition	Longer Term Perspective implementation (Game Changers)
Ad hoc trackside projects selected for 4RP principle application	Shadow running ERTMS Trackside	First ERTMS Trackside Approval based on Applicants request

Main outputs 2017	Main outputs 2018	Main outputs 2019
Requirements for cyber-security measures on ERTMS		
ATO project planning, ATO definition up to GoA4, S2R agreed specifications: User requirements (GoA1-4) and detailed specifications for GoA2. S2R Cenelec phase 1 and 2 for GoA3/4 specifications.	ATO – specifications agreed at level of Agency CCM working groups for GoA2: SS125,126,130 Endorsement of specifications at S2R level: Ss139, 140, 132, 141 Note: GoA3/4 planning is still under discussion	Consolidated and approved specification (GoA2), ready for Recommendation for TSI CCS Annex A and voluntary standards ready for Application Guide. Note: GoA3/4 planning is still under discussion
Publication of CR solutions for ETCS and GSM R	Publication of CR solutions for ETCS and GSM R	Publication of CR solutions for ETCS and GSM R

2.4 A Simplified Access for Customers

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

Railway Undertakings need to check the administrative status of their vehicles and the compatibility of their trains with the different routes. The following interoperability registers facilitate this task by making the relevant infrastructure- and vehicle-related data available:

- Register of Infrastructure (RINF, expected to be completed by 2019)
- European Vehicle Register (EVR)
- European Register of Authorised Types of Vehicles (ERATV)
- Vehicle Keeper Marking Register (VKMR)

The Agency, acting as an authority maintaining railway registers and databases, will continue to work on the their development, their continuous improvement and will support the MSs and stakeholders in their implementation and use. Beyond this, the Agency in close collaboration with the stakeholders works on the consolidation of the vehicle-related registers into an integrated system also taking into account the provisions of the Fourth Railway Package.

Furthermore, the Agency will develop and implement the Single Rules Database (SRD) to provide public access to national rules and support the notification process as envisaged by the Fourth Railway Package. The SRD is intended to replace the current TRIS, NOTIF-IT and RDD databases.

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

In fact, society is also strongly demanding an improved access of stations and trains for persons with reduced mobility and persons with disabilities (PRM). For this purpose, according to articles 7 and 8 of Regulation 1300/2014 (TSI PRM), this regulation will be revised, a tool for informing the public and monitoring progress will be specified and implemented (Inventory of Assets), and an EU strategy will be developed.

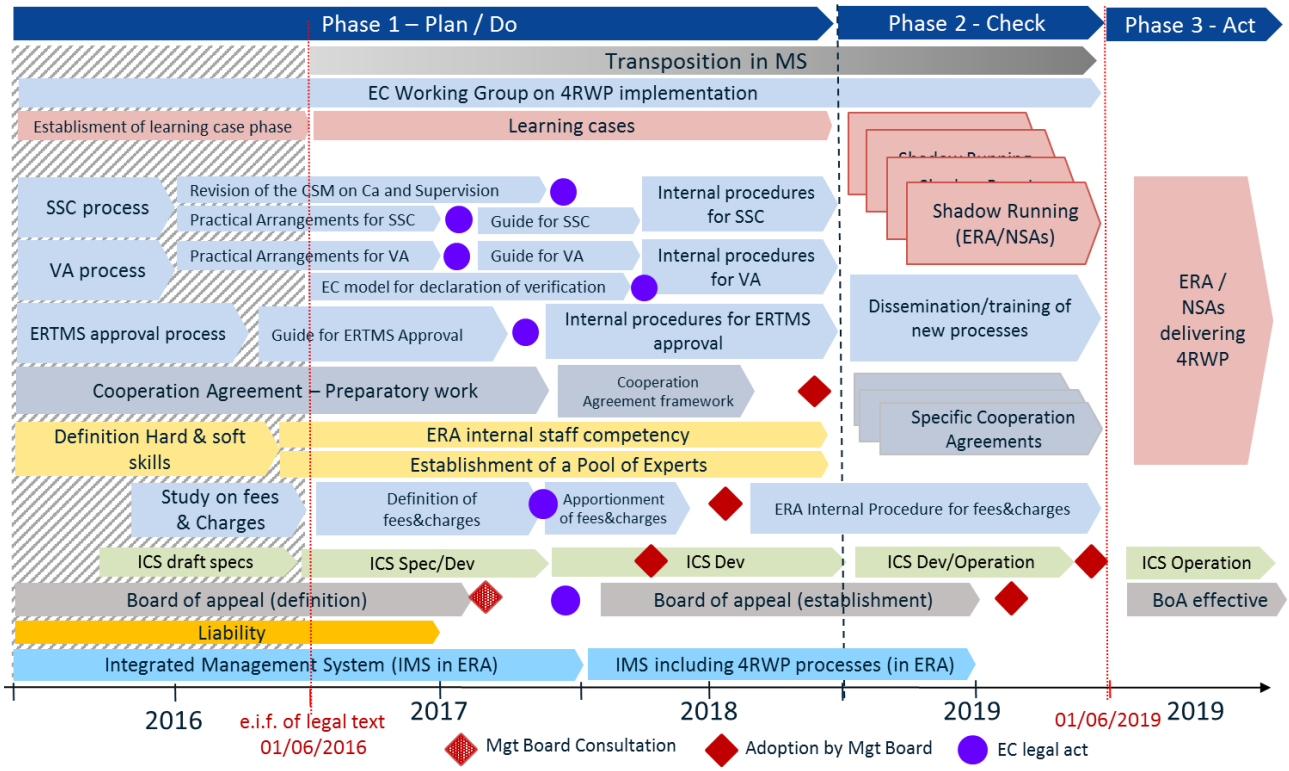
Furthermore, in the field of simplified system access, the TSIs on telematics applications for passenger services (TAP TSI) and for freight (TAF TSI) are addressing issues related to railway customers, aiming at harmonizing the exchange of information between actors. The Agency, acting as 'Telematics applications system authority' will lead the closure of the remaining open points and continue to guide, support and monitor the rail sector and Member States when implementing the telematics TSIs, including the small and medium-sized companies. The Agency may evaluate the possibility to manage logistic challenges taking into account.

Main outputs 2017	**Main outputs 2018**	**Main outputs 2019**
Recommendation on EVR specification submitted to EC	Revision of ERATV specification started	Recommendation of revised ERATV specification submitted to EC
Inventory of Assets specifications included in draft revised PRM TSI	Recommendation for revision of the PRM TSI	Inventory of Assets implementation
OSS ready for shadow running	OSS ready when the Agency is delivering its Fourth Railway Package new tasks	OSS used by all involved parties in production
Reference Document Database completed and specification for the Single Rules Database completed		Single Rules Database in operation
Report on TAP implementation. Monitoring Report on TAF implementation. Monitoring TAP revision Intermediate report TAF/TAP CCM baseline	Report on TAP implementation and monitoring Report on TAF implementation and monitoring	Report on TAP implementation. Monitoring Report on TAF implementation. Monitoring TAP revision Intermediate report TAF/TAP CCM baseline

2.5 Evaluation, Management and Resources

This activity covers horizontal and cross-unit projects, such as international relations, stakeholder management and also the preparation for the implementation of the Fourth Railway Package, even though specific components can be allocated to operational Activities.

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



In the next 3 years, the Agency will also deploy its Communication Strategy in line with the planning, and optimise its internal horizontal processes, such as e-processes, sound financial management.

A key strategic objective of the Agency will be to develop its capability to define the needs for and to monitor support the implementation of railway research and development. The Agency has a key role in supporting the Shift²Rail Joint Undertaking (S²R) with railway expertise by:-

- Contributing to and reviewing the Master Plan and annual work programmes
- Reviewing submissions to the joint undertaking with particular reference to their compatibility with the framework of and contribution to the vision for Single European Railway Area

› In consultation with Stakeholders specifying research needs for the Agency's activities (e.g. to close TSI "Open points"

The Agency will continue to place increasing emphasis on developing its relationships with non-EU partners and world standardisation bodies in order to:-

› Learn from other entities carrying out similar roles
› Contribute to the facilitation of market opening for rail products and services
› Where requested by the EC, develop, enhance and exploit the possibilities for mutual (i.e. reciprocal) recognition of standards, certifications and authorisations
› Support the dissemination of the EU aquis and influence global references for future railway technical and safety standards and associated processes.

This will covered by the International Relations Strategy to be. adopted by the Management Board as envisaged in the new Agency Regulation (EU) 2016/796. The Agency is also developing a set of railway indicators to identify the impact on the railway sector. This will also contribute to an optimised environment for data mining and data reliability. In addition, each project to be introduced in the Agency will be accompanied by an early impact assessment, leading to (re)prioritisation of tasks and resources.

Main outputs 2017	**Main outputs 2018**	**Main outputs 2019**
Contribution to the development of ongoing research projects (incl. S²R)	Contribution to the development of ongoing research projects (incl. S²R)	Contribution to the development of ongoing research projects (incl. S²R)
Evaluations of submissions on request (S²R)	Evaluations of submissions on request (S²R)	Evaluations of submissions on request (S²R)
Evolution of International relations and contribution to global standardisation	Evolution of International relations and contribution to global standardisation	Evolution of International relations and contribution to global standardisation
Early assessment reports, impact assessment reports and ex-post evaluations	Early assessment reports, impact assessment reports and ex-post evaluations	Early assessment reports, impact assessment reports and ex-post evaluations
(Issuing a railway system report, including the railway indicators)	Issuing a railway system report, including the railway indicators	(Issuing a railway system report, including the railway indicators)
Further implementation of the communication strategy	Further implementation of the communication strategy	Review of the implementation of the communication strategy
Documenting and implementing processes and procedures, and continuously reviewing related improvements; ISO Certification	Maintaining an ISO certified IMS	Maintaining and reviewing an ISO certified IMS
Preparatory work for the cooperation agreements in the context of the 4RP	Cooperation agreement framework	Specific cooperation agreements
Definition of fees and charges	Apportionment of fees and charges	The Agency's internal procedure on fees and charges

3. Human and financial resource outlook for the years 2017-2019

3.1 Overview of the past and current situation

3.1.1 Staff population overview for 2015

Activity	Unit Staff		
	FTE planned in 2015	**FTE 31/12/2015**	**% planned vs actual**
Harmonized Safety Framework	39.60	36,60	92,4%
Removing Technical Barriers	40.80	40,80	100,0%
Single EU Train Control and Communication System	22.50	21,50	95,6%
Simplified Access for Customers	16.20	16,20	100,0%
Evaluation, Management and Resources	45.90	41,90	91,3%
Grand Total	165.00	157,00	95,2%

The gap between the planned FTE number (165) and the staff employed at the end of 2015 (157) resulted from the open vacancies due to natural fluctuation and vacancies which could not be filled in 2015.

3.1.2 Expenditure for 2015

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

The total expenditure per Title in 2015 was:

- 16,91 Mio€ committed in Title 1
- 2,60 Mio€ committed in Title 2
- 6,58 Mio€ committed in Title 3

The overall commitment rate is 99,10% and the overall level of payment execution is 89,70 %.

3.2 Resource programming for the years 2017-2019

3.2.1 Financial resources

Title 1 will amount to 18,37 Mio € to cover the extra-posts requested (17,48 Mio € in 2016) and Title 2 will slightly increase to 2,75 Mio € (2,59 Mio € in 2016).

The **operational expenditure** includes expenses related to the operational activities of the Agency. Title 3 will increase from 7,47 Mio € in 2016 to 9,61 Mio € in 2017. This important increase is mainly due to carry out new tasks that were not known in 2013 when the EC Communication was drafted and therefore not budgeted for (see details in Annex I, point 2)

3.2.2 Human resources

In its communication COM (2013)519 of 10/07/2013 on the programming of human and financial resources for decentralised agencies 2014-2020, the Commission foresaw an EU contribution of 26 Mio € (without the EFTA contribution) with 139 TA, meaning an increase of 4 posts compared to 2016. Additional information can be found in Annex I and II.

Following the entry-into-force of the Fourth Railway Package in 2016, the implementing work would need to be intensified. The Agency will do so by improving on the efficiency of internal resources, by re-allocating staff to 4RP tasks, and by fully implementing the Integrated Management System focusing on the Agency's core business and outputs. In addition, the Agency will overall aim to continuously improve its efficiency and effectiveness by, for instance, increasing the use of paperless processes, extending the teleworking rules, etc. The Agency will continue to bear in mind the conclusions of the Common Approach regarding governance, management and efficiency. In this respect, the Agency already benefits from common services provided by other EU institutions (EC, PMO, EPSO), benchmarks with other Agencies (the EU Agencies Network) and shares resources (Accounting Officer shared with ESMA).

Experience has shown that it is practically impossible for the Agency to attract well-qualified SNEs. With the arrival of the Fourth Railway Package, all signs are that in particular national authorities will become even more reluctant to allow their qualified staff to come to work for the Agency as SNEs. It is therefore not considered a valid option to increase the number of SNEs to help meet the 2017 staff needs.

The EC's budget proposal for 2017, including the EFTA contribution, is 30,73 Mio € with 139 TAs, 42 CAs and 4 SNEs.

As of 2016, the appraisal and reclassification system is aligned with the adoption of the new implementing rules on appraisals and reclassification for TAs and CAs. The Agency will strive towards the implementation in relation to the new implementing rules.

Section III - Annual Work Programme 2017

4. Executive summary

Although the Safety Regulatory Framework has been established for several years, the need for a harmonised approach was identified in order to ensure the highest possible safety level in the railway sector. In order to support a harmonised approach to Safety, the Agency will, amongst other actions, in 2017 further develop and implement a programme for the Single Safety Certificate, work with stakeholders to promote a positive safety culture and support in revising the Train Drivers' Directive (TDD). The Agency will continue to work close and have strong working relationships with its stakeholders and other railway actors, in order to foster a common approach to safety culture across the EU.

As the European railway system is being shared by many actors, it is imperative to have a common understanding of the system, processes, rules and responsibilities. In this context, the Agency will continue to implement the process for vehicle authorisation and the scope extended TSIs, leading to the closing of open points and the reduction of national rules. In addition, more focus will be placed on training and dissemination activities and on the migration to a single database for railway rules.

The Agency will continue to work on the implementation of the railway databases and registers and their rationalisation to improve usefulness, usability and data quality while reducing administrative burdens and undue costs for the Member States and stakeholders. In particular, the Agency will work on the specifications and the implementation of the European Vehicles Register.

Concerning notified bodies the Agency will follow up the implementation of the sectorial scheme for accreditation and recognitionand design the system for monitoring, including a forum for exchange of experiences for assessment bodies according to CSM 402/2013. The Agency will also continue supporting harmonisation for accreditation and recognition criteria of all checking bodies.

As the system authority for the ERTMS specifications, the Agency is responsible for the management of these specifications and the delivery of the next maintenance releases, within the framework of the longer term perspective for the specification management. Upon request, the Agency will also in 2017 provide its advice and opinion in relation to technical matters of ERTMS, and proposals and recommendations to e.g. INEA.

In order to improve the efficiency of the railway system, accessibility by all stakeholders and exchange of information needs to be further developed. In this respect, the Agency will continue working on a harmonised protocol for exchanging information between railway actors, and on an improved access of stations and trains, for instance, for persons with reduced mobility.

In addition to the 4 operational activities, the Agency groups its horizontal and support functions and tasks under the activity "Evaluation, Management and Resources" covering the work in relation to economic evaluations and assessments, business planning and reporting, Integrated Management System (IMS), the provision of legal advice, international relations, stakeholder management, research coordination, human and financial resources, information technologies and facilities. This Activity also covers project such as Shift²Rail and the Fourth Railway Package.

In preparation of the implementation of the Fourth Railway Package, the Agency has set out an implementation programme, detailing the different phases over the next year, focusing in 2017 on defining the Board of Appeal, the draft procedure for the Single Safety Certificate and the authorisation of Vehicle Authorisation, the draft policy on fees and charges, a set of implementing acts, the road to ISO certification, amongst others.

The following table lists a set of Key Performance Indicators (KPIs) for 2017:

	Key Performance Indicators 2017	**Activity**
1	90% achievement of all outputs using financial and human resource planning 2017	The Agency
2	95% timely delivery of issuing reports, advice and opinions	The Agency
3	Successful implementation of the initial activities after entry-into-force of the Fourth Railway Package, delivery of the first mock-up version of the Information and Communication System implementing the One-Stop Shop	The Agency
4	95% implementation of the establishment plan	Evaluations, Management and Resources
5	100% delivery of the priority countries programme to key milestones 2017 and to programme follow-up activities in 2018 to contribute to the improved safety performance of those countries	Harmonised Approach to Safety
6	30% of eligible railway actors registered to use Safety Alerts IT tool (SAIT)	Harmonised Approach to Safety
7	Assistance to MS and progress monitoring on the “cleaning-up” of national technical and safety rules	Removing Technical Barriers
8	Effective operation of the ERTMS Stakeholder Platform	A Single European Train Control and Comms System
9	More than 80% of Railway Indicators measured	Evaluations, Management and Resources
10	Documenting processes and procedures, and internal audit reports 100% in line with the roadmaps, programmes and timetables	Evaluations, Management and Resources
11	Carry-over of <10% of payment appropriations for Title 1, <20% for Title 2, and <30% for Title 3	Evaluations, Management and Resources
12	95% of ICT services disruption recovered within the recovery targets defined in the Business Continuity Plan	Evaluations, Management and Resources

5. Activities

5.1 A Harmonized Approach to Safety

5.1.1 Overview of Activity 1 Harmonized Approach to Safety - overview

The Agency Regulation identifies the need for a harmonised approach to safety that, supports the Commission vision of a European railway system that leads the world on safety performance. Over recent years the legislative framework to support safety has been progressively developed and the Fourth Railway Package will adapt the framework to further support the development of a single safety area. The legislative framework is an essential element but is not enough. Safety has to be delivered on the ground in a harmonised way and that can only be achieved if there is a shared vision of safety, and cultures that are positive about safety . Underpinning this safety culture there need to be processes for monitoring safety performance and safety maturity. Without prejudice to the rules of confidentiality relating to investigations, there will need to be greater transparency in the sharing of information so that lessons learnt can be shared and each actor can take the responsibility for the part of safety that is theirs. Railway safety is not isolated from other parts of the system or from society and the factors that act as barriers to safety harmonisation and safety improvements need to be understood. The Agency is part of a team of National Safety Authorities (NSAs), National Investigation Bodies (NIBs), Railway companies, and Ministries that will need to work collaboratively to deliver safety.

The requirements in the Fourth Railway Package already show the need for cooperation agreements in the fields of safety certification and authorisation for placing on the market of vehicles but in fact all of the safety initiatives are necessarily delivered through partnership and collaboration.

In addition to working closely with its stakeholders and other actors of the railway sector, the Agency will in 2017 also continue developing and implementing the Single Safety Certificate programme, broaden the scope of the Monitoring Matrix.

5.1.2 Activity 1 - Harmonized Approach to Safety - Objectives, Indicators, expected outcomes and outputs

2017	Objective	Main outputs/actions	Indicator	Achieved in 2016/New task	Target in 2017	Expected outcome
1	Preparing for the Single Safety Certificate	Delivery of the part of the 4RP program related to the Single Safety Certificate as presented to the Board and to the EC TF for the Fourth Railway package Cooperation arrangement framework between NSAs and the Agency for delivering Single Safety Certificate (target mid 2017).	Milestones from the 4RP program achieved.	First draft of business needs for one stop shop (Single Safety Certificate)- Feb 2017. Workshops with stakeholders on practical arrangements and OSS Specifications. Completion of first phase of learning cases on Safety Certification.	All milestones achieved	Simpler, harmonised system for railway safety certification.
		Single Safety Certificate delivery process.	Status of process		Process approved by Management team	
		Business needs for the One Stop Shop development (Single Safety Certificate part).	Status of business needs documentation		Fully completed	
		The Agency Application guide for Single Safety Certificate (target may 2017).	Status of guide		Cleared for publication by June 2017	
		Learning cases on Safety Certification with selected NSAs.	Status of learning cases programme		Programme fully developed, cases cover full range and agreed with NSAs	
		Revision of the Common Safety Methods on Conformity Assessment (Commission	CSM recommendation status	Project progess on time.	Complete by May 2017	Common approach to assessment of

2017	Objective	Main outputs/actions	Indicator	Achieved in 2016/New task	Target in 2017	Expected outcome
		Regulations n°1158/2010/EU and 1169/2010/EU).				safety certificate applications.
				Delivery of the draft recommendation before consultation.		
		Revision of the Common Safety Method on Supervision (Commission Regulation n°1077/2012/EU).	CSM recommendation status	Progress according to project plan.	Complete by May 2017	Common approach to supervision by NSAs and cooperation between NSAs and the Agency, consistency for sector. Convergence of NSA maturity levels.
				Delivery of the draft recommendation before consultation.		
		Development of a framework for a pool of NSA experts in line with the implementation of the 4RP.	Status of pool of framework contract.	Participation to NSA Sub-group on cooperation.	Agreed by December 2017	Common approach to assessment of safety certificate applications. Ability to deliver in time and quality the Single Safety Certificates from 2018 and onwards. Closer Agency/NSA collaboration.

2017	Objective	Main outputs/actions	Indicator	Achieved in 2016/New task	Target in 2017	Expected outcome
		Recommendation issued on the Revision of Commission Regulation (EC) No 653/2007 for the development and adoption of common templates and forms. Agreed by RISC.	Outcome of RISC vote	Delivery of a proposal to EC on the Practical arrangements for delivery of the Single Safety certificate (EC Implementing Act) to EC.	Positive opinion	Clearer, simpler process for safety certification.
2	Learning for better Safety	Support the development of a system for NIB peer review.	Status of peer review programme	NIB's started to establish a peer review system.	System operational	Harmonisation of NIB performance and approach.
		Support for the NSA/NIB/Human Factors Networks, the ECM certification bodies, CSM RA recognised assessment bodies, Freight Focus group and Joint Network Secretariat. Cooperation of ECMs: new procedure for development of RFU and CQ remote (without meetings).	Engagement levels	3 NSA network meeting + 3 NIB network meeting + 2 HF Network meetings + 3 meetings of Freight focus Group + 3 meetings of cooperation of ECM certification bodies+ 3 meetings of JNS.	Meeting records show broader engagement from those attending, low rate of outstanding actions, increased sense of ownership. HF Network deliverables on safety culture and automation according to plan. 3 NSA network meetings + 3 NIB network meetings + 1 meeting of cooperation of ECM	Greater consistency of approach by National bodies and sector.

2017	Objective	Main outputs/actions	Indicator	Achieved in 2016/New task	Target in 2017	Expected outcome
					certification bodies+ 3 meetings of JNS. Cooperation of ECM certification bodies: New procedure operational	
		Definition and evaluation of a system allowing sharing of data and information on reported occurrences in Member States. Including the sharing of safety alerts. Impact assessment on proposed system. Project review: decisions on project scope and existing or new systems. Review project and plan development of system specifications, supporting guidance and IT developments. Close study on innovative data collection and analysis methods for rail.	Level of Commitment of stakeholders to a Common Occurrence Reporting system. Availability and reliability of temporary Safety alert system.	Temporary Safety alert system implemented. Study launched on innovative data collection and analysis methods for rail. Suite of policy papers supported by workshops and consultations.	Consensus achieved on a system for safety management data sharing with Representative bodies and NSAs and if appropriate a mandate for a CSM to support Common Occurrence Reporting proposed	The Agency, NSAs, RUs, IMs and NIBs can consult occurrence reports to enhance risk based decision-making at all levels.
3	Monitoring Safety performance	NSA Cross-audits.	Final audit reports to programme deadlines.	Completion: Lithuania, Slovak Republic, Latvia & France.	Program cancelled. Replaced by NSA monitoring (see below)	Harmonisation of NSA performance and approach. Cross-audit program

2017	Objective	Main outputs/actions	Indicator	Achieved in 2016/New task	Target in 2017	Expected outcome
						improvement for better efficiency.
		NIB Assessments.	Assessment reports to programme deadlines.	Completion of assessments of Lithuania, Latvia & Slovak Republic.	Program cancelled. Replaced by peer review (see above)	Harmonisation of NIB performance and approach.
		Collection, management and anaysis of safety statistics	Report status.	2016 Safety Performance Report, Sheets, Thematic reports.	Safety overview published of 2015 data. CSI collection campaign of 2016 data. Annual assessment of achievements of Safety Targets. Support to Eurostat, European Commission and Parliament to achieve alignment of CSI/CST legislation with Regulation (EC) No 91/2003 of the European Parliament and of the Council of 16 December 2002 on rail transport statistics.	Consistent, reliable safety performance data drives better policy decision-making.
		Mandate and recommendation for the revision of CSM for CSTs,.	Mandate status	Priority Countries assessment programme completed	New mandate for revision of CSM issued to Agency and	Better measurement of Safety performance driving

2017	Objective	Main outputs/actions	Indicator	Achieved in 2016/New task	Target in 2017	Expected outcome
		Review of CSM taking into account revised Railway Safety Directive, priority countries programme and state of the art of Safety performance measurement.			recommendation delivered	better Safety decision making.
		Advice to the Commission on Railway Safety for 6 Priority Countries.	Advice delivered to timescales, support provided.	Completion: Croatia, Romania, Estonia In progress: Slovak Republic, Latvia, Lithuania. Program management: Review the evaluation processes for developing the advice after the three first priority countries.	Completion : Slovak Republic, Latvia, Lithuania Implementation of IMS procedures for monitoring of follow-up of improvement plans issued by Priority Countries. Issue a report to EC by end 2017 on improvements undertaken by the Priority Countries .	Rate of convergence of safety performance is increased.
		Functioning system for registration of safety certificates, licences and ECM data.	Number of valid and accessible records in the database.	Upgraded versions published	Review of ERADIS functionality and user satisfaction to improve data quality and output	Published and accurate information supports an open, European rail sector, including NSA cross

2017	Objective	Main outputs/actions	Indicator	Achieved in 2016/New task	Target in 2017	Expected outcome
						border supervision and assessment.
		"Monitoring of the performance and decision-making of national safety authorities" (NSA audit according to the Agency Reg. Art. 31). Audit protocols and program established. Training program set up. Pool of experts established.	Status of audit programme	Review Pilot and address identified issues. Implement revised concept. Policy, working methods, procedures and practical arrangements approved by the Management board.	Operational: Implementation of IMS procedure and audits of 9 NSAs	Closer Agency/NSA collaboration. Enhanced Audits.
4	Improving Safety performance	Promoting a positive safety culture to ensure a high level of safety without increasing the regulatory burden on the sector, through a communication programme, specific requirements for NSAs and rail actors, targeted projects to promote Just Culture and reporting.	. Support for Agency / sector initiatives, including PRIME twinning programme	Project plan published and communicated. Inclusion of Safety Culture in revised CSMs. Planning and initiation of project with Eurocontrol working with national prosecutors.	Communication plan of activities on Safety Culture, including Agency event for stakeholders and internal training and awarenesss events Eurocontrol programme to support Just culture, working with national prosecutors Guidance on CSMs (SP and CA) to include Safety Culture and Human Factors	Common understanding and awareness of Safety Culture and its benefits. Increasingly mature understanding of Safety Management Systems.

2017	Objective	Main outputs/actions	Indicator	Achieved in 2016/New task	Target in 2017	Expected outcome
		Targeted dissemination on SMS issues identified by the Matrix results and Sector feedback.	Number of dissemination events	Quick review of the Matrix assessments carried out to date. The results as an input in the development of a broad dissemination programme based on practical case studies.	1 or more for each Priority Country Run a pilot comprehensive training program in HU	
		Organising/Attending workshops. Support to the Commission on railway matters in relation with third party organisations (OSJD, OTIF, UNECE) and Dangerous Goods.	Level of support provided. Status of Dangerous Goods Guide	Participation to meetings organised by commission or OTIF. Around 10/year and 3 workshops organised on Transport of dangerous goods management - Establishment of the Agency Transport of Dangerous Goods extranet.	Participation to meetings organised by commission or OTIF. Around 10/year 3 workshops organised on Transport of dangerous goods management - Publication of guide- Technical mission in USA and Canada to promote the guide Set up of working group to manage requests for modification of TSIs and CSMs in relation to TDG	Greater harmonisation across Member States, beyond EU borders. Greater harmonisation of approach across modes for dangerous goods.

2017	Objective	Main outputs/actions	Indicator	Achieved in 2016/New task	Target in 2017	Expected outcome
		Support for implementation of CSM Risk Assessment and CSM on monitoring. Provision of training and guidance.	% of bodies trained.	CSM Risk Assessment (assessment bodies art 14(2) of 402/2013): 1 session training for accreditation and recognition bodies.	Proposal for a more comprehensive risk assessment training module developed for wider range of stakeholders	Clearer, more robust application of CSM Risk Assessment and CSM on monitoring.
			Provision of guidance.	CSM Risk Assessment: Guidance: Development of a guideline to support CSM RA (design targets and assessment bodies).	Issue guide on practical application of CSM RA in the framework of VA.	
		Development of scheme for peer review of assessment bodies including procedures, requirements and assessment criteria (article 14(1) of Regulation 402/2013).	Provision of a scheme.	Initiation: development of scheme for peer review of assessment bodies including procedures, requirements and assessment criteria (article 14(1) of Regulation 402/2013).	Scheme for peer review approved and made publicly available	
		Implementation of new IPA program. Delivery of programme of IPA 2 contract. Provision of a final report to EC.	% of programme delivered	Delivery of programme of IPA 2 contract year one.	100%	Better and quicker implementation of the EU railway approach and legislation within countries on the way to accession.
5	Managing Maintenance risks	Development of the recommendation. Delivery of the full impact assessment.	Status of ECM regulation amendment.	Get revised mandate. Policy paper for issues raised by NSAs.	70% complete Issue draft recommendation for public consultation	Greater Harmonisation of Rolling Stock Maintenance.

2017	Objective	Main outputs/actions	Indicator	Achieved in 2016/New task	Target in 2017	Expected outcome
					and organise public consultation (planned end of consultation = end January 2018).	
		Safety Critical components (4RP - article 17 of Agency Regulation - article 28 of Recast Safety Directive).	Report status	Draft Agency report on requirements to define the safety critical components, traceability, marking and maintenance.	Completion of the Agency report.	Greater Harmonisation of Rolling Stock Maintenance.

5.1.3 Activity 1 - Harmonized Approach to Safety – Resources

FTE	Budget Title 3 (Operational)	Total budget
45	2,305,897	7,443,730

5.2 Removing Technical Barriers

5.2.1 Overview of Activity 2 - Removing Technical Barriers - Overview

For newly authorised vehicles, the application of the scope-extended TSIs which entered into force in 2015, reduced the need of national rules to TSI open points, specific cases not described in the TSI, and legacy interfaces (such as Class B Control command and signalling (CCS)). On this basis, in 2017 the Agency will continue to facilitating and monitoring Member States' "cleaning up" of their national rules, including operational rules (type 4 safety rules) and rules on competencies (type 6 safety rules). This is an important contribution to the Agency's activities for futher facilitating mutual recognition of vehicle authorisations. The Agency will also work in the field of classification of the remaining national rules to facilitate their cross-acceptance. These activities will be supported and reinforced with adequate dissemination and communication.

The Agency will continue facilitating and monitoring the implementation of the scope-extended TSIs, closing the remaining open points in TSIs and updating and further developing the TSIs as required by the Fourth Railway Package.

Regarding vehicle authorisation, the Agency will work with the Member States to facilitate the migration of their National Legal Frameworks to the European Legal Framework envisaged in the Fourth Railway Package and will report the Member States progress to the Commission. The Agency will also build on the experience of the Real Authorisation Cases work in 2014 and 2015 to participate in "Learning Cases" of vehicle authorisation. The objective will be to understand existing practices from both the applicants and NSA view and build upon those a proposal to the Commission on detailed rules for vehicle authorisation to be adopted as an implementing act, considering experiences like pre-engagement, fixing of rules at the beginning of the authorisation process and the involvement of all necessary tests to ensure techncila compatibility and safe integration within the vehicle and between the vehicle and te infrastructure in te authorisation process.

In order to increase the trust in the work performed by NoBos, the Agency will further support the implementation of the scheme for accreditation and recognitionand starting the monitoring of NoBos. The Agency will also continue working on templates for the EC certificates and EC declarations of verification.

In addition to working closely with its stakeholders and other actors of the railway sector, the Agency will in 2017 also continue developing a European scheme for train driver certification for removing technical barrier and to support the improvements of the Train Drivers' Directive (TDD). This activity will be coordinated with the revision of the TDD to ensure the most efficient and effective procedure.

5.2.2 Activity 2 - Removing Technical Barriers - Objectives, Indicators, expected outcomes and outputs

#	Objective	Main outputs/actions/deliverables	Indicator	Achieved in 2016/New task	Target in 2017	Expected outcome
6	Preparing for Vehicle Authorisation under the Fourth Railway Package	Proposal for Implementing Acts on Vehicle Authorisation	Status of the proposal for implementing act relative to the 4RP program plan	Agreement with the Commission supported by stakeholders on the structure and core content of Implementing Acts for Vehicle Authorisation	All program plan milestones achieved	Simplified process for vehicle authorisation
		Recruitment plan for the staff required to carry out Vehicle Authorisation	Recruitment plan progress	Specification of the number and competency of staff based on the practical arrangements for Vehicle Authorisation	Recruitments according to the recruitment plan and budget adopted by the Board	Adequate resources in place
		Preparing templates for EC declaration of verification	Templates available	Draft templates available	Final templates available	Facilitating authorisation process
7	Removing technical barriers	Loc&Pas TSI	Delivery of intermediate report	Closure of open points linked to ENE, INF and CCS TSI	Intermediate report on the TSI revision to include elements from the 4RP	Replacement of national rules by TSI requirements, where applicable
		WAG TSI	Delivery of intermediate report	Final recommendation on revision of WAG TSI to close open points	Intermediate report on the TSI revision to include elements from the 4RP	Replacement of national rules by TSI requirements, where applicable

#	Objective	Main outputs/actions/deliverables	Indicator	Achieved in 2016/New task	Target in 2017	Expected outcome
		SRT TSI	Delivery of intermediate report	Programme TSI SRT revision	Intermediate report on the TSI revision to include elements from the 4RP	Replacement of national rules by TSI requirements, where applicable
		Noise TSI	Delivery of draft recommendation	Technical Opinion/Advice for Noise following EC Communication taking nto account possible mandatory application for existing RST. Programme for Noise TSI revision	Draft recommendation to revise Noise TSI	Simplified requirements for vehicle authorisation and operation
		ENE TSI	Delivery of intermediate report and ex-post evaluation report	Open point closed	Intermediate report on the TSI revision to include elements from the 4RP. Ex-Post evaluation report	Replacement of national rules by TSI requirements, where applicable
		INF TSI	Delivery of intermediate report and ex-post evaluation report	5 additional open points closed	Intermediate report on the TSI revision to include elements from the 4RP. Ex-Post Evaluation report	Replacement of national rules by TSI requirements, where applicable
		PRM TSI	Completion of revision work	Revision launched	Intermediate report revision PRM TSI available	PRM updated, IoA specified

#	Objective	Main outputs/actions/deliverables	Indicator	Achieved in 2016/New task	Target in 2017	Expected outcome
		TSI application guides	% planned revision of application guides delivered	Ongoing	80 % planned revision completed	TSIs correctly implemented
		Support to INEA	number of INEA calls supported by the Agency	Ongoing	agreed support in the year completed by the Agency	Efficient and effective allocation of EU funds
		Cleaning-up of national technical and safety rules	Deliverables	Remaining technical rules for vehicle authorisation on top of RST TSIs available in RDD	Remaining technical rules for ERTMS and GSM-R on top of TSIs (on-board) available in RDD OPE TSI Appendix B developed Report on type 6 national safety rules	Substitution of national rules by TSI requirements
		Cooperation with European Standardisation Bodies (CEN/CENELEC/ETSI)	% of needs for Request for Standards (RfS) addressed	Issuing RfS as needed e.g. to close open points in TSIs. Revised MoU between the European Union Agency for Railways and CEN/ CENELEC/ETSI	Issuing RfS as needed e.g. to close open points in TSIs Target: address by emission of RFS at least 80% of the needs raised by stakeholders in the year	Adequate coverage of interoperability issues by EU standards

#	Objective	Main outputs/actions/deliverables	Indicator	Achieved in 2016/New task	Target in 2017	Expected outcome
		Cooperation with ISO/IEC	Liaison agreed	ISO Liaison A agreed	IEC Liaison A agreed	Better involvement of the Agency on international standardisation
		Cooperation with OTIF	alignment EU/OTIF rules achieved	Alignment TSI /UTP Ongoing Alignment of OTIF legislation with the 4RP	Alignment TSI /UTP Ongoing Alignment of OTIF legislation with the 4RP	Promotion and use of EU railway regulation outside EU (extending interoperability beyond the EU)
		Cooperation with OSJD		Ongoing	Ongoing	Promotion and use of EU railway regulation outside EU (extending interoperability beyond the EU)
		Support to the Commission to set up international agreements to facilitate rail transport at EC borders, including ENI programme.	% of ENI project delivered	On demand for general support, ENI agreement signed.	On demand for general support. For ENI 100% of planned activities for 2017 delivered.	Promotion and use of EU railway regulation outside EU (extending interoperability and safety beyond the EU)
		The Agency taking active role in assisting RFC in removal of technical barriers, especially in implemeting ERTMS with priority to 2020/2022 corridors	Number of Agency contributions	Agency attendance to RFC meeting on demand	Agency attendance to RFC meeting on demand	Removal of national rules; constructive suggestions to TSI WP
8	Removing operational barriers	OPE TSI	Delivery of final draft recommendation	Draft recommendation for OPE TSI revision, including 50 % of new	Final draft recommendation for OPE TSI revision	Replacement of national operational rules by TSI

#	Objective	Main outputs/actions/deliverables	Indicator	Achieved in 2016/New task	Target in 2017	Expected outcome
				Appendix B and draft revised appendix C		requirements, where applicable
		Developing examination scheme for Driver Licence	WP/deliverable	WP for Developing examination scheme for Driver License launched (activity to be coordinated with TDD revision to ensure efficiency and effectiveness)	Draft recommendation for Examination scheme for Driver License	Recommendation and accompanying report for amending the TDD
9	Ensuring efficient and effective conformity assessment	Accreditation/recognition scheme for NoBos and AsBos	Recommendations/reports delivered	Accreditation/recognition scheme agreed with EC and MS	Accreditation scheme follow-up implementation and update	Increased NoBos work quality and trust
		Monitoring the quality of works performed by NoBos	Recommendations/reports delivered	Target scheme to support EC in NOBOs monitoring agreed with EC and MSs	Implementation of the monitoring scheme First steps towards NoBos audits and inspections	Increased NoBos work quality and trust
		Participation in NB-Rail strategy, plenary and subgroup meetings	relevant meetings attended	Ongoing	Ongoing	Increased NoBos work quality and trust
		Preparing templates for EC certificates	Templates available	Draft templates available	Final templates available	Facilitating application for authorisation

5.2.3 Activity 2 - Removing Technical Barriers – Resources

FTE	Budget Title 3 (Operational)	Total budget
46,5	1,252,761	6,561,854

5.3 A Single EU Train Control and Communication System

5.3.1 Overview of Activity 3 - A Single EU Train Control and Communication System

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

2017 will see the Agency improving the framework for the long term, regular management of the specifications implemented in 2016, with a comprehensive timetable to ensure error correction when critical issues are identified, and to deliver on cost/value-added game changers (ATO, L3, braking curves, IP communication, satellite positioning). The harmonised specifications alone will not deliver the full set of benefits expected from ERTMS. It is necessary to ensure their coordinated applications, also by promoting best practices and proven approaches with engineering rules and operational concepts, achieving cost effective verification and authorisation, and having pro-active discussions with the railsector (for instance in the context of developing the key principles of ATO). The Stakeholders Platform will be instrumental to enable those objectives, in parallel with the progressive implementation of the Fourth Railway Package roles of the Agency in vehicle authorisation and trackside ERTMS approval. The Agency will increase direct contact and seek feedback from real implementations, preparing for the shadow running. The Agency will apply de facto the principles of the Fourth Railway Package approval to trackside projects. The Agency will cooperate with DG Move leveraging on the cost/value-added of the ERTMS Deployment Manager, in particular focusing on the compliance of trackside ERTMS implementations, and providing support to the INEA Executive Agency regarding projects for which an application for Community financial aid has been submitted. The Agency will further investigate the threats and opportunities, and develop requirements for cyber-security related to safety critical software and communication systems. The Agency will prepare the definition of the future communication system for decision in 2018. The Agency provides technical support to the ERTMS Coordinator in its work and initiatives, such as the deployment of ERTMS along the Core Network Corridors.

5.3.2 Activity 3 - A Single EU Train Control and Communication System - Objectives, Indicators, expected outcomes and outputs

#	Objective	Main outputs/actions/deliverables	Indicator	Achieved in 2016/New task	Target in 2017	Expected outcome
10	Increasing the Agency's role in the checking of ERTMS projects compliance with the specifications, onboard and trackside	Procedure for the ERTMS trackside approval process; Definition of pool of expert/framework contract		New Task	Terms of reference defined	
		Ad Hoc application of the approval process to selected projects	Number of projects assessed	New Task	1	Harmonized implementation of ERTMS fostering SERA
11	Ensuring interoperable and stable ERTMS	Integration of priority game changers (ATO, L3, braking curves, satellite positioning)	Formalization of project(s)	New Task	ATO documents published	Ensure managed evolution preserving stability and compatibility
		Publication of CR solutions on ETCS + GSM-R as output of the CCM process	Number of CR		Technical Opinion on error corrections	Ensuring compliance of ERTMS products on the market
		Ad hoc meeting NoBo WG	Number of meetings		3	Ensuring compliance of ERTMS products on he market
		Cyber-security – SWOT analysis and identification of feasible/necessary measures for ERTMS and the future			Cyber-security requirements related to ETCS and GSM-R - report	Preserve interoperability and standarization with improved resilence aainst security hazards
		Stakeholder Platform fully functional ERTMS Conference CCRCC		Platform operational	CCRCC Conference organized	Ensuring quality of ERTMS products and systems

#	Objective	Main outputs/actions/deliverables	Indicator	Achieved in 2016/New task	Target in 2017	Expected outcome
12	Establishing and improving communication backbone for railways	Catalogue of feasible options Migration strategy options		Results of studies on migration and spectrum re-use	Final definition	Allowing EU railways to prepare for technological/business evolution

5.3.3 Activity 3 - A Single EU Train Control and Communication System – Resources

FTE	Budget Title 3 (Operational)	Total budget
26,1	993,420	3,973,363

5.4 A simplified access for customers

5.4.1 Overview of Activity 4 - A simplified access for customers

The functional and technical specifications for the OSS which will be put in production when the Agency has to effectively deliver vehicle authorisations and single safety certificates and check the technical solutions of ERTMS tenders will be finalised beginning 2017. These specifications will have to be adopted by the Agency's Management Board by mid of 2017 which will allow to finalise the OSS development by the end of 2017. This release of the OSS will be used in shadow running. The business needs for the vehicle authorisation part of the OSS database has been developed in 2016 with particular attention on the requirement to include an "early warning" system to identify at an early stage the needs for coordination between decisions to be taken by national safety authorities and the Agency in the case of different applications requesting similar authorisations.

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

Railway Undertakings need to check the administrative status of their vehicles and the compatibility of their trains with the different routes. The following interoperability registers facilitate this task by making the relevant infrastructure- and vehicle-related data available:

- Register of Infrastructure (RINF, expected to be completed by 2019)
- European Vehicle Register (EVR)
- European Register of Authorised Types of Vehicles (ERATV)
- Vehicle Keeper Marking Register (VKMR)

In 2017 the Agency, acting as an authority maintaining railway registers and databases, will continue working on their maintenance, development and continuous improvement and will support the MSs and stakeholders in their implementation and use. Beyond this, the Agency in close collaboration with the stakeholders, works on the consolidation of the vehicle-related registers into an integrated system also taking into account the provisions of the Fourth Railway Package.

The Agency will also continue working on the specification and development of the "Single Rules Database" (SRD) to provide public access to national rules and support the notification process as envisaged by the Fourth Railway Package. The SRD is intended to replace the current TRIS, NOTIF-IT and RDD databases.

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

In the field of telematic applications, the deployment of harmonised protocols and processes for exchanging information between railway actors will enable RUs and IMs to permanently locate freight trains and exchange documents related to the carried goods. The deployment of similar harmonised protocols and processes will allow the issue by travel agents of seamless tickets covering several RUs in several countries

and the exchange of additional traveling information between stakeholders / customers according to the European Rail Passengers' Rights Regulation. Above deployment of those harmonised protocols and processes will be done in a multimodal environment where special attention will be paid to aspects such as information exchange towards emergency systems in freight or connection to other modes of transport in passenger transport. The Agency will in this context continue to monitor the implementation of above harmonised protocols / processes and issue implementation progress report to EC. In addition, focus will be placed on dissemination activities vis-à-vis the RUs, IMs and other impacted actors in form of regional workshops.

Moreover, in order to ensure the TSI compliant deployment of the Telematics Subsystems, the Agency could check upon request the level of compliance of the developed IT applications against:

- the interfaces as described in the Technical Documents listed in the Appendices of the TAP and TAF TSIs
- the processes as described in chapter 4 of the TAP and TAF TSIs.

5.4.2 Activity 4 - A simplified access for customers - Objectives, Indicators, expected outcomes and outputs

#	Objective	Main outputs/actions/deliverables	Indicator	Achieved in 2016/New task	Target in 2017	Expected outcome
13	Preparing a One-Stop-Shop (OSS) for certification and authorisation under the Fourth Railway Package	Functional and technical specifications Adoption of Agency's MB OSS in production for shadow running	Specifications submitted to and adopted by the Board	First sets of specifications Mock-up	Specifications covering 100% of the essential functionalities of the OSS, to be adopted by the Board	Tool ready for shadow running
		Definition of the vehicle authorisation requirements for the One Stop Shop		Development of the specification based on the evolution of the practical arrangements defined in the proposals for the Implementing Acts	Finalisation and implementation of the specification for use in shadow running	Definition of the vehicle authorisation requirements for the One Stop Shop
14	Facilitating users' access to relevant data	RINF	% completed, Monitoring reports issued	30% of RINF database completed	Improved completeness of database, revision of RINF decision taking into account feedback from users, report on monitoring and implmentation of RINF issued	Availability of reliable information concerning railway fixed installations

#	Objective	Main outputs/actions/deliverables	Indicator	Achieved in 2016/New task	Target in 2017	Expected outcome
		Vehicle-related registers (ECVVR, ERATV, ERADIS, VKMR, EVR)	Issuing recommendation	Draft recommendation on amendments of vehicle-related Registers submitted to EC	Recommendation for EVR Specifications	EVR fully operational in 2021
		PRM inventory of assets (IoA)	Completion of specifications	Detailed IoA specifications IT development 1st phase	IoA specifications included in draft revised PRM TSI	Availability to the public of information of PRM TSI implementation
		Single Rules Database	Completion of specifications	Specification process started	Specifications completed and development process started	Transparency of rules
	TAF TSI	% deliverables available	Implementation reports Dissemination work shops Baseline drafted Online reference database available at the Agency's website	Implementation reports Recommendation for new baseline issued to EC Compliance report on developed IT applications	TAF TSI updated and implemented	Availability of relevant and reliable information for freight operation
	TAP TSI	% deliverables available	Implementation report Baseline drafted	Implementation reports	TAP TSI updated and implemented	Availability of relevant and reliable information for passenger operation

#	Objective	Main outputs/actions/deliverables	Indicator	Achieved in 2016/New task	Target in 2017	Expected outcome
			Closing of open points WP launched Online reference database available at the Agency website	Draft recommendation for new baseline Closing of open points inter-mediate report issued to EC Compliance report on developed IT applications		

5.4.3 Activity 4 - A simplified access for customers – Resources

FTE	Budget Title 3 (Operational)	Total budget
14,9	2,417,508	4,118,702

5.5 Evaluation, Management and Resources

5.5.1 Overview of Activity 5 - Evaluation, Management and Resources

The horizontal activities supporting the Executive Director and the Agency are strategy and business planning and reporting, the Integrated Management System (IMS), deployment of the communications strategy, and providing legal advice. This activity also covers areas such as human resources, procurement, finance, accounting, ICT and facilities. In addition, there are the transversal tasks of economic evaluations (including early assessments and impact assessment, monitoring of railway indicators and comprehensive policy evaluations), international relations management, railway research coordination (in particular the provision of support for Shift²Rail), establishing common understandings, stakeholder management (e.g the networks of Representative Bodies, NSAs, NIBs) and the preparation of the implementation of the Fourth Railway Package .

In the framework of the Fourth Railway Package, in addition to the projects already described in the previous activities, the Agency has to develop other projects which also need to be finalised to enable it to deliver its tasks from the Fourth Railway Package. These projects are related to:

- Cooperation agreements. By mid-2017, the cooperation arrangement framework will be finalised for adoption by the Board by the end-2017.
- Fees and charges. By the end of 2017, based on a proposal made by the Agency, the Board will adopt the principle on how the fees and charges will be apportioned between the NSAs and the Agency.
- Board of Appeal. At the beginning of 2017, the Agency will finalise its proposal to the Commission on the rules and procedures for the Board of Appeal. The Agency will also propose to its Management Board, criteria for conflict of interest for the members of the Board of Appeal to be adopted by the Board.
- Competence management. Based on the hard and soft skills necessary for its new tasks, the Agency will have to ensure by recruitment or by training to have the necessary staff on board. In addition to this recruitment and training, the Agency is also establishing a pool of external experts which will support the Agency for its new tasks. The establishment of this pool of experts is discussed with the NSA in the framework of the NSA network. By the end of 2017 in order to be able to follow projects during the shadow running phase, the Agency will have finalised the recognition scheme for the Pool of Experts and establish the pool of experts.

As a result of the ongoing work of IEC on electrical equipment and systems for railways and following the creation of an ISO committee on railway standards, railway specifications are becoming global documents in increasing number.

To take account of this and to reflect the status of the TSIs, CSMs and other Agency outputs, with their equivalents around the world, the Agency will further develop and promote its international relations strategy. This will be done through appropriate partnership agreements with relevant organisations (e.g. OTIF, ISO, IEC) “partner” Agencies.

Stakeholder relations will be further developed using the networks envisaged by Article 38 of the draft ERA regulations

5.5.2 Activity 5 - Evaluation, Management and Resources - Objectives, Indicators, expected outcomes and outputs

#		Objective	Main outputs/actions/deliverables	Indicator	Achieved in 2016/New task	Target in 2017	Expected outcome
15		Ensuring the coordination of the Fourth Railway Package implementation	Cooperation arrangement framework adopted by the Board	Board or EC adoption or approval	According to programme plan	80% (final proposal to the MB by Feb 2018) Supporting processes in place for the shadow running phase	Agency ready to perform shadow running
			Agreeing on a Seat Agreement	Signed Seat Agreement	NT	Signed Seat Agreement (depending on the decision of the host state)	
			Apportionment of fees and charges adopted by the Board		According to programme plan	100%	
			Establishment of the pool of experts		According to programme plan	100%	
			Proposal to the EC on the rules and procedures for the BoA	Board or EC adoption or approval	According to programme plan	100%	All inputs for establishing the BoA available

#		Objective	Main outputs/actions/deliverables	Indicator	Achieved in 2016/New task	Target in 2017	Expected outcome
			Conflict of interest for members of the BoA adopted by the Board	Board or EC adoption or approval	According to programme plan	100%	All inputs for establishing the BoA available
16		Ensuring a prioritised portfolio of the Agency activities	Early assessment for all new objectives/outputs in the activities	% of new objectives/outputs covered by an early assessment report	100%	100%	Agency focusing on those objectives/outputs with the highest cost/added-value for the railway sector
			Impact assessments for selected outputs	Number of impact assessments per Agency activity (distinguishing between light and full impact assessments)	According to the Work Programme 2016	According to the Work Programme 2017	To facilitate the decision-making focusing on those outputs with the highest added value for the railway sector
			Ex-post evaluations for selected areas	% of ex-post evaluations	100%	100%	To facilitate the decision-making focusing on those with the highest added value for the railway sector
17		Monitoring, evaluating and reporting on the performance and outcomes/impacts	Issuing a railway system report, including the railway indicators	% published in line with the roadmap	New Task (previously interoperability	100%	To ensure transparency on the situation in order to identify progress

#		Objective	Main outputs/actions/deliverables	Indicator	Achieved in 2016/New task	Target in 2017	Expected outcome
		of the Agency's activities			report and safety report)		and areas for improvement
18		Ensuring efficient and effective communication	Further implementation of the communication strategy	% satisfaction in line with the roadmap		100%	A better outreach of the Agency's activities and deliverables.
			Communication/dissemination plan 2017	% delivered		100%	
19		Ensuring the implementation of the Agency's Integrated Management System (IMS)	Documenting and implementing processes and procedures, and continuously reviewing related improvements	% in line with the relevant roadmaps, programmes and timetables	100%	100%	Agency as a reliable and trustworthy business partner for all stakeholders
20		Ensuring legality of Agency's activities	Legal advice and opinions	% legal advice and opinions delivered in time according to the process or procedure	100%	100%	Ensuring compliance of the Agency's activities with the relevant legal frameworks at national and European level
21		Ensuring that railway research is aligned with the objectives of the EC for the creation of the SERA.	Assisting the Shift2Rail Joint Undertaking and other entities involved in research projects . affecting the rail sector.	Agency's interest in the research projects identified	Classification of S2R research projects according to Agency's interest	100% of S2R projects classified Follow up of research projects of high	S2R main documents aligned with the objectives of the EC for the creation of the SERA in a balanced way taking account

#		Objective	Main outputs/actions/deliverables	Indicator	Achieved in 2016/New task	Target in 2017	Expected outcome
			Contribution to the S2R Master Plan, Multi Annual Action Plan & Annual Work Plan. Providing specific expertise for the evaluation of the submissions to S2R.	% of requests answered by the Agency for specific expertise in the evaluation of submissions to S2R	100%	interest for the Agency 100%	of stakeholders' needs.
22		Support to the dissemination to the EU acquis	Programme of actions based on the Agency International Relations Strategy to be agreed with DG MOVE and Management Board in 2017.	Work plan agreed with DG MOVE & stakeholders	Contribution to the DG MOVE draft strategy on international relations 6 non-EU railway regulators participated at the 1st meeting of the	Agency strategy on international relations (based on the DG MOVE strategy) agreed	Agency strategy implementation Removal of technical barriers to trade

#		Objective	Main outputs/actions/deliverables	Indicator	Achieved in 2016/New task	Target in 2017	Expected outcome
					platform of rail Agencies	Establish a work programme to implement the strategy	
			Portfolio of Agency position on issues requiring common understanding	Number of issues solved vs Number of issues planned / identified	7 fiches agreed	Establish and implement the procedure and service relating to the common understandings	"One position" within and from the Agency Harmonised implementation of interoperability and safety within the EU.
23		Ensuring sound management of the Agency's human and financial resources, ICT services and facilities	Number of selection procedures planned and carried out in a year	% implementation of the establishment plan X months as an average length[1] of a selection procedure		95% 3 months	Full use of the available and planned human resources
			Average number of training days per staff member (formal training and language courses)	Min. average number of training days per staff member		8	Continuous improvement of staff skills and knowledge

#		Objective	Main outputs/actions/deliverables	Indicator	Achieved in 2016/New task	Target in 2017	Expected outcome
			Annual budget executed as planned	% of the annual appropriations committed % carry-over of payment appropriations % of execution of C8 payment appropriations		95% <10% for T1; <20% for T2; <30% for T3 95%	Efficient use of financial resources
			Secured ICT environment	Number of security incidents causing loss of data, business disruption or public embarrassment		0 incidents	Secure working environment

5.5.3 Activity 5 - Evaluation, Management and Resources – Resources

FTE	Budget Title 3 (Operational)	Total budget
52,5	2,640,214	8,634,351

Annexes

Annex I: Resource allocation

1. *Multi-annual resource allocation*

The Communication from the Commission to the European Parliament and the Council on the programming of human and financial resources for decentralised agencies 2014-2020 (COM(2013) 519) contains the following planning for the European Union Agency for Railways:

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

2. *Resource allocation 2017*[2]

Activity	Unit Staff	DIRECT COSTS	INDIRECT COSTS		TOTAL BUDGET 2017 PER ACTIVITIES
		CHAPTER 30	CHAPTER 31	TITLE 1 & TITLE 2	
	FTE	ACTIVITIES			
Harmonized Safety Framework	45.00	1,800,000	505,897	5,137,832	7,443,730
Removing Technical Barriers	46.50	730,000	522,761	5,309,094	6,561,854
Single EU Train Control and Communication System	26.10	700,000	293,420	2,979,943	3,973,363
Simplified Access for Customers	14.90	2,250,000	167,508	1,701,193	4,118,702
Evaluation, Management and Resources	52.50	2,050,000	590,214	5,994,138	8,634,351
Grand Total	**185.00**	**7,530,000**	**2,079,800**	**21,122,200**	**30,732,000**

The Fourth Railway Package is the single most important set of legal acts on railways for decades and it will have a decisive impact on the realisation of the Single European Railway Area by driving down costs and thereby improving the competitiveness of the rail system. Thus, the package will also enable the rail sector to make an important contribution to the emission targets of the EU. The European UnionAgency for Railways will play a decisive role in the implementation of the Fourth Railway Package. This will constitute a major departure from the Agency's current role as a technical body delivering outputs mainly to the Commission to being a truly European authority with direct impact on third parties.

The technical pillar of the Fourth Railway Package which includes Regulation (EU) 2016/796 of the European Parliament and of the Council of 11 May 2016 on the European Union Agency for Railways and repealing Regulation (EC) No 881/2004 entered into force in June 2016. The agreed text provides for a three-year-transition phase for certain parts before the Agency takes up its full role as European authority in 2019.

In close coordination with DG MOVE, the Agency has developed a very significant preparation programme which between now and 2019 will transform the entire Agency to enable us to perform our new role, in particular as decision makers in the Single European Railway Area. The deadlines are very ambitious and can only be respected if the necessary resources are made available. The preparation programme is designed to ensure that after the entry into force of the new Agency Regulation, the Agency will be ready to shadow-run

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

the treatment of real applications for safety certificates and vehicle (type) authorisations from 2018, and to take over the full responsibility for treating such applications from 2019.

The Commission Communication from 2013

The European Union Agency for Railways' budgets for 2014, 2015 and 2016 have all been in line with the Commission's communication on the programming of human and financial resources for decentralized agencies 2014-2020 from July 2013 - with the only exception that for 2016, the Commission agreed to frontload one new post only foreseen for 2017 already in the 2016 budget. This frontloading was included in the draft budget adopted by the budgetary authority in December 2015.

According to the communication, the Agency's 2017 budget will include 139 posts.

The EC's budget proposal for 2017, including the EFTA contribution, is 30,73 Mio € with 139 TAs, 42 CAs and 4 SNEs.

One Stop Shop (Article 11a of the Regulation on the European Union Agency for Railways)

As a completely new feature, the Fourth Railway Package provides for the Agency to establish and later run an information and communication system with a virtual One Stop Shop (OSS) functionality. In the future, all applications (regardless of whether they will be treated by the Agency or by a national safety authority) for a single safety certificate, a vehicle (type) authorisation or an ERTMS trackside specification approval must be treated through this new system. The system shall also cater for the interfacing with all the different actors in the processes. It must become operational in 2018 for the shadow running. The One Stop Shop is a precondition for the good functioning of the truly European approach of the Fourth Railway Package.

It is a legal requirement for the Agency to develop and maintain the One Stop Shop.

The development costs for the One Stop Shop have been estimated as follows:

2015		2016		2017		2018		Total	
Budget[3]	FTE	Budget	FTE	Budget	FTE	Budget	FTE	Budget	FTE
0.05M	0.3	0.7M	2.4	2.0M	3.0	1.95M	3.1	5.8M	8.8

For 2015, the resources were found through reprioritisation within the given budget as nothing was originally foreseen. In the 2016 also nothing is foreseen as the budget was prepared before the One Stop Shop idea was even launched. The Agency has been reviewing to what extent the needed resources can be freed up by delaying or discontinuing activities planned for 2016. In agreement with DG MOVE and DG BUDG, 700 k€ have been frontloaded in 2016 to partially cover the costs linked to the development of the One-Stop-Shop.

[3] *The budget figures do not include the staff costs.*

For 2017, the Agency will at least need two additional posts for a Contract Agent. It will also be necessary to increase the subsidy by € 2.0M (plus staff costs) instead of the 2.7M initially foreseen thanks to the 700 k€ frontloaded in 2016.

From 2019, the annual running and maintenance costs are estimated at € 1.2M plus 1.2 FTE.

Occurrence reporting (Article 18 of the Regulation on the European Union Agency for Railways)

The Commission white paper objective of the European railway system as the world leader for safety is underpinned by the new tasks for the Agency set out in the Fourth Railway Package. In particular, to support a risk-based approach to regulation there is a clear need to develop organisational cultures that are truly positive about safety. Commitment to this positive safety culture will support the safe reduction of significant numbers of national rules and the removal of virtual barriers to the Single European Railway Area[4]. This work includes working with national prosecuting authorities as a new work stream and the development of new IT tools, explicitly referenced in Article 4(5) of the Railway Safety Directive, to record and share occurrences and safety information. Currently no tool exists for this at a European level. The reduction of national rules and development of occurrence reporting is a priority of the Commission in this area.

The development of the new safety culture work is estimated at 3 FTE (contract agent), even if we can work through national partners.

Based on the experience of the European Organisation for the Safety of Air Navigation (Eurocontrol), our Agency has anestimated budget of € 120k for the engagement work, such as workshops and training. This engagement will support the Agency contribution to joint work with national prosecutors in the field of rail.

Other new tasks

As mentioned a number of new tasks materialised already at beginning of 2016. In particular in relation to the preparation for the new governance and appeal boards and for administrative support 2 additional Contract Agents will be needed as of 2017.

For the approval of ERTMS track-side equipment projects tasks also a Contract Agent will be needed.

Ramping up for the shadow running

However, as part of the preparation programme it was decided that the Agency must be able to start shadow running from 2018, i.e. to treat in parallel real applications submitted to National Safety Authorities for safety certificates and vehicle (type) authorisations. Through this shadow-running, it will be verified that the Agency is fully prepared to take up its new responsibilities in this area from 2019. In order to be able to do the shadow running and to be involved with preparing procedures, templates, cooperation agreements etc. staff

[4] *1) New obligation for the Agency under Article 4(2) of the Railway Safety Directive (RSD) to ensure safety at a European level. 2) New obligation on actors to develop systems that support positive safety culture Article 9(2). Without some harmonisation at European level these might generate more national barriers and therefore run counter to requirements in RSD Article 1(f).*

with the right competences will have to be brought in gradually beginning early 2017. For this reason, four contract agents should be added to the eight posts requested above.

Temporary subsidy financing

It should be noted that as the legal text stands now, there will be no revenue from fees and charges in 2017 (and 2018). Only when the Agency will take over the full responsibility for handling applications in 2019 will the Agency generate revenue in terms of fees and charges. Thus, the entire preparation process will have to be financed through an extraordinary subsidy. In 2017 (and 2018), this extraordinary subsidy has been calculated at€ 0.9M considering that it will not be practically possible to have all staff in place from the beginning of the year.

Budget needs for 2017

Considering the above, the 2017 resource needs for Contract Agents will increase from 30 in 2016 to 42 in 2017.

Experience has shown that it is practically impossible for the Agency to attract well-qualified SNEs. With the arrival of the Fourth Railway Package, all signs are that in particular national authorities will become even more reluctant to allow their good staff to come to work for the Agency as SNEs. It is therefore not considered a valid option to increase the number of SNEs to help meet the 2017 staffing needs.

The additional need for subsidy funding is € 4M.

The budget needs can be summarised as follows:

Posts for Temporary Agents

Subsidy financed tasks	
2013 Communication	139
Total	**139**

Contract Agents

2016 Budget	30
One Stop Shop	2
Occurrence reporting/Safety Culture	3
New governance and appeal boards preparation	1
Administrative support	1
ERTMS track-side preparation and stakeholder platform (fee financed task)	1
Shadow running	4
Total	**42**

Seconded National Experts

It is foreseen to keep the number at 4.

Annex II: Financial Resources 2017-2019

Table 1 – Expenditure

1. General expenditure

Expenditure	2016		2017	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1 - Staff expenditure	17 483 879	17 483 879	18 372 200	18 372 200
Title 2 - Infrastructure and operating expenditure	2 592 000	2 592 000	2 750 000	2 750 000
Title 3 - Operational expenditure	6 620 000	6 620 000	9 609 800	9 609 800
TOTAL EXPENDITURE	**26 695 879**	**26 695 879**	**30 732 000**	**30 732 000**

2. Commitment appropriations

EXPENDITURE	Commitment appropriations				
	Executed Budget 2015	Budget 2016	Draft Budget 2017		VAR 2017/2016 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	**16 913 932**	**17 483 879**	**18 372 200**	**18 372 200**	**5,08%**
Salaries & allowances	16 073 946	16 453 879	17 502 200	17 502 200	6,37%
- Of which establishment plan posts	*14 868 862*	*14 743 879*	*15 702 200*	*15 702 200*	*6,49%*
- Of which external personnel	*1 205 084*	*1 710 000*	*1 800 000*	*1 800 000*	*5,26%*
Expenditure relating to Staff recruitment	203 442	310 000	225 000	225 000	-27,41%
Mission expenses	130 000	140 000	140 000	140 000	0,00%
Socio-medical infrastructure	47 218	35 000	40 000	40 000	14,29%
Training	244 935	300 000	300 000	300 000	0,00%
External Services	211 335	240 000	160 000	160 000	-33,33%
Receptions, events and representation	3 056	5 000	5 000	5 000	0,00%
Social welfare					
Other Staff related expenditure					
Title 2 - Infrastructure and operating expenditure	**2 600 842**	**2 592 000**	**2 750 000**	**2 750 000**	**6,09%**
Rental of buildings and associated costs	1 255 230	1 315 000	1 350 000	1 350 000	2,66%
Information, communication technology and data processing	708 134	669 000	700 000	700 000	4,63%
Movable property and associated costs	229 954	212 000	295 000	295 000	39,15%

EXPENDITURE	Commitment appropriations				
	Executed Budget 2015	Budget 2016	Draft Budget 2017		VAR 2017/2016 (%)
			Agency request	Budget forecast	
Current administrative expenditure	240 169	191 000	220 000	220 000	15,18%
Postage / Telecommunications	167 355	205 000	185 000	185 000	-9,75%
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	**6 592 732**	**6 620 000**	**9 845 000**	**9 609 000**	**48,71%**
TOTAL	**26 107 506**	**26 695 879**	**30 967 200**	**30 732 000**	**15,99%**

3. *Payment appropriations*

EXPENDITURE	Commitment appropriations				
	Executed Budget 2015	Budget 2016	Draft Budget 2017		VAR 2017/2016 (%)
			Agency request	Budget forecast	
Title 1 - Staff expenditure	**16 913 932**	**17 483 879**	**18 372 200**	**18 372 200**	**5,08%**
Salaries & allowances	16 073 946	16 453 879	17 502 200	17 502 200	6,37%
- Of which establishment plan posts	*14 868 862*	*14 743 879*	*15 702 200*	*15 702 200*	*6,49%*
- Of which external personnel	*1 205 084*	*1 710 000*	*1 800 000*	*1 800 000*	*5,26%*
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Mission expenses	130 000	140 000	140 000	140 000	0,00%
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External Services	211 335	240 000	160 000	160 000	-33,33%
Receptions, events and representation	3 056	5 000	5 000	5 000	0,00%
Social welfare					
Other Staff related expenditure					
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Current administrative expenditure	240 169	191 000	220 000	220 000	15,18%
Postage / Telecommunications	167 355	205 000	185 000	185 000	-9,75%
Meeting expenses					
Running costs in connection with operational activities					
Information and publishing					
Studies					
Other infrastructure and operating expenditure					
Title 3 - Operational expenditure	**6 592 732**	**6 620 000**	**9 845 000**	**9 609 800**	**48,71%**
TOTAL	**26 107 506**	**26 695 879**	**30 967 200**	**30 732 000**	**15,99%**

Table 2 – Revenue

Revenues	2016	2017
	Revenues estimated by the agency	Budget Forecast
EU contribution	26 000 000	30 000 000
Other revenue	695 879	732 000
Total revenues	**26 695 879**	**30 732 000**

REVENUES	General revenues				
	Executed Budget 2015	Budget 2016	Draft Budget 2017		VAR 2017/2016 (%)
			Agency request	Budget forecast	
1 REVENUE FROM FEES AND CHARGES					
2 EU CONTRIBUTION	25 613 000	26 000 000	30 000 000	30 000 000	15,96%
- Of which assigned revenues deriving from previous years' surpluses	*954 000*	*787 000*	*357 000*	*357 000*	*-50,29%*
3 THIRD COUNTRIES CONTRIBUTION (incl. EEA/EFTA and candidate countries)	732 000	695 879	732 000	732 000	17,40%
- Of which EEA/EFTA (excl. Switzerland)	*732 000*	*695 879*	*732 000*	*732 000*	*17,40%*
- Of which candidate countries					
4 OTHER CONTRIBUTIONS					
5 ADMINISTRATIVE OPERATIONS					
- Of which interest generated by funds paid by the Commission by way of the EU contribution (FFR Art. 58)					
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT					
7 CORRECTION OF BUDGETARY IMBALANCES					
TOTAL	**26 345 000**	**26 695 879**	**30 732 000**	**30 732 000**	**11,59%**

Table 3 – Budget outturn[5] and cancellation of appropriations

Budget outturn	2013	2014	2015
Reserve from the previous years' surplus (+)	1 434 346	954 287	787 016
Revenue actually received (+)	25 894 214	25 772 443	26 592 262
Payments made (-)	-22 842 514	-22 075 957	-23 733 926
Carry-over of appropriations (-)	-2 221 823	-2 984 698	-2 608 459
Cancellation of appropriations carried over (+)	87 293	69 599	93 602
Adjustment for carry over of assigned revenue appropriations from previous year (+)	37 697	6 395	50 174
Exchange rate differences (+/-)	-581	-766	-2 429
Adjustment for negative balance from previous year (-)	-1 434 346	-954 287	-787 016
Total	954 286	787 016	391 224

[5] *2015 outturn is based on figures sent to DG BUDG on 07/01/2016*

Annex III: Human Resources 2017-2019

Table 1 – Staff population and its evolution

1. Overview of all categories of staff

Human Resources	2015		2016	2017
	Authorised under the EU Budget	Actually filled as of 31/12/2015	Authorised under the EU Budget	Draft Budget Request
Establishment plan posts : AD	104	98	99	103
Establishment plan posts : AST	33	36	36	36
Establishment plan posts : AST/SC				
Total Establishment plan posts	**137**	**134**	**135**	**139**
Contract Agents	16	21	30	42
Seconded National Experts	8	3	4	4
TOTAL STAFF	**161**	**158**	**169**	**185**

2. External staff

Contract Agents	Authorised 2015	Recruited as of 31/12/2015	2016 estimate	Draft Budget 2017 estimate
Function Group IV	6	6	15	21
Function Group III	3	5	5	8
Function Group II	4	7	7	10
Function Group I	3	3	3	3
TOTAL	**16**	**21**	**30**	**42**

Seconded National Experts	Authorised 2015	Recruited as of 31/12/2015	2016 estimate	Draft Budget 2017 estimate
TOTAL	**8**	**3**	**4**	**4**

Table 2 – Multi -annual staff policy plan 2017-2019

Function group and grade	2015				2016		2017			
	Authorised under the EU Budget		Actually filled as of 31/12/2015		Authorised under the EU Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16										
AD 15										
AD 14		1		1		1		1		1
AD 13										
AD 12								1		1
AD 11		5		3		6		5		5
AD 10		11		13		14		18		18
AD 9		29		26		31		33		33
AD 8		21		15		20		21		21
AD 7		13		19		13		14		14
AD 6		24		21		14		10		10
AD 5										
AD TOTAL		104		98		99		103		103
AST 11										
AST 10										
AST 9		2		2		3		3		3
AST 8		3		1		4		5		5
AST 7		3		1		4		4		4
AST 6		2		3		3		3		3
AST 5		5		7		7		8		8
AST 4		6		6		6		9		9
AST 3		7		10		6		3		3
AST 2		5		6		3		1		1
AST 1										
AST TOTAL		33		36		36		36		36
AST/SC 6										
AST/SC 5										
AST/SC 4										
AST/SC 3										

Function group and grade	2015				2016		2017			
	Authorised under the EU Budget		Actually filled as of 31/12/2015		Authorised under the EU Budget		Request of the Agency		Draft Budget Request	
	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AST/SC 2										
AST/SC 1										
AST/SC TOTAL										
TOTAL		137		134		135		139		139
GRAND TOTAL	137		134		135		139		139	

Annex IV:

A. Recruitment policy

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

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

b) Temporary and Contract Agents are as far as possible treated in the same way.

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

Selection and engagement procedures:

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

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

The selection procedures for the recruitment of **Temporary Agents** are carried out in accordance with Decision N° 121 of the Administrative Board of the European Railway Agency laying down the general implementing provisions on the procedure governing the engagement and use of temporary staff under Article 2(f) of the CEOS. The General Implementing Provisions on the procedures governing the engagement and use of **contract staff** at the European Railway Agency (N° 340/11.2010) was adopted on the 9th November 2010 and are expected to be replaced in the course of 2017.

The selection procedure has recently been reviewed based on recommendations from the Internal Audit Service, the Court of Auditors and the Decision of the European Ombudsman closing the own-initiative inquiry OI/4/2013/CK into the EU Agencies practices regarding disclosure of the names of the Selection Board members (OI-4-2013-CK-S2014-191669). The new procedure may be summarised as follows:

› The drafting, translation and publication of a **call for applications** fixing amongst other specifications, whether the post is for short-term or long-term employment, eligibility and selection criteria, type and duration of contract and recruitment grade, references to the selection procedure (including participation to other assessment process if applicable, e.g. assessment centres for managerial posts). The Agency publishes the call for applications (as well as the names and roles in the selection committee) on its website**,** IntraComm and the EPSO website. Calls for applications

are also sent to other EU agencies, members of the Administrative Board, the permanent representations of Member States to the EU and national railway organisations. Calls for applications are also promoted through specialised press, when appropriate.

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

The procedure applies by analogy to the selection of **Seconded National Experts** with the following exceptions:

- SNEs already in post at the Agency may be members of the Selection Committees for SNE selection only;
- SNEs do not necessarily have to pass written tests;

- SNEs do not need to provide the same number of supporting documents in view of their secondment to the Agency;
- SNE do not need to undergo medical examination.

Before the secondment of an SNE is formally agreed, the Agency sends a letter to his/her employer requesting written approval of the secondment and also of the period of secondment concerned (Exchange of letters).

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

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

For managerial posts or highly specialised posts, the Agency can engage Temporary Agents at grades AD 9, AD10, AD11 or on an exceptional basis, at grade AD12. However, except for the post as Executive Director, no post has so far been filled at a level above AD10.

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

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

a. Temporary Agents

The Agency Regulation (EU) 2016/796makes no distinction between posts for long term and short term employment. Still a post can, in accordance with Article 16 of Decision no. 121, be defined to be for short term employment when it involves tasks of a limited duration.

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

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

b. Contract Agents

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

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

- Secretarial tasks;
- Coping with temporary peaks in workloads;
- Launching pilot projects or new activities whose long-term commitment in terms of staffing is unclear;
- Replacing staff on long-term absences such as maternity leave, long-term sick leave or CCP;
- Unforeseen deficits in staffing levels and budgetary restrictions in overcoming this problem by recruiting Temporary Agents.

However, the Agency has also increasingly engaged Contract Agents for other tasks, such as:

- Administrative and Logistician Support Agents
- Secretaries/assistants
- Project Officers

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

c. Seconded national experts[6]

In 2009, the Agency adopted a decision on the policy and the procedures governing the recruitment and use of seconded national experts in the organisation, consolidating and simplifying the existing rules (Decision N° 237/2009). SNEs assist Agency staff and cannot perform middle management duties.

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

A possibility to recruit 'cost-free' SNEs also exists where the Agency does not pay any allowances or cover any of the expenses related to the performance of their duties during their secondment although it has no such SNEs at the moment.

The initial period of secondment may not be less than six months or more than two years. It may be renewed once or more up to a total period not exceeding four years. Exceptionally, the Executive Director may authorise one more extension of the secondment for the maximum duration of one year at the end of the four year period. Each secondment and extension is subject to an exchange of letters. An SNE may be seconded once again provided that the conditions of secondment still exist and a period of at least six years

[6] *SNEs are not employed by the Agency.*

has elapsed between the end of the previous secondment and the new secondment unless the previous secondments lasted for less than four years.

Types of key function:

- *Project Officer*

d. Trainees

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

e. Structural service providers[7]

Staff FTE	Tasks	Description	PD per Year	Total PD per Year	Framework Contract	Expiring
5	Service Desk	User support and assistance	220	1100	ESP/EISD5 signed in May 2015	Date of signature, 3+1 Y
4	Senior Analyst Programmer	Writing/maintenance/prototyping of applications that reflect the specifications.	220	880	ESP/EISD5 signed in May 2015	Date of signature, 3+1 Y
1	Webmaster	Creation and staging of web site	220	220	ESP/EISD5 signed in May 2015	Date of signature, 3+1 Y

B. Appraisal of performance and reclassification/promotions

The Agency applies Decision N° 122 of the Administrative Board of the European Railway Agency on the general provisions for implementing Article 43 of the Staff Regulations and implementing the first paragraph of Article 44 of the Staff Regulations for temporary staff and Decision N° 123 of the Administrative Board of the European Railway Agency on the general provisions for implementing Article 87(1) of the Conditions of Employment of Other Servants of the European Union and implementing the first paragraph of Article 44 of the Staff Regulations. In 2016, new decisions governing the reclassification of Temporary Agents and of Contract Agents were adopted. They have been applied for the first time for the appraisal and reclassification exercise taking place in 2016.

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

Table 1 - Reclassification of temporary staff/promotion of officials

Category and grade	Staff in activity at 01.01.2014		How many staff members were promoted / reclassified in 2015		Average number of years in grade of reclassified/promoted staff members
	officials	TA	officials	TA	
AD 16					
AD 15					
AD 14		1			
AD 13					
AD 12					
AD 11					
AD 10		6		1	4y3m
AD 9		24		4	5y10m
AD 8		24		5	4y5m
AD 7		3			
AD 6		33		8	4y2m
AD 5		1			
Total AD		**92**		**18**	
AST 11					
AST 10					
AST 9					
AST 8		2		1	5y
AST 7		1			
AST 6		4		1	5y
AST 5		5		1	4y9m
AST 4		5		3	3y7m
AST 3		6		3	3y5m
AST 2		12		4	3y6m
AST 1		5		1	3y10m
Total AST		**40**		**14**	
Total		**132**		**32**	

Table 2 - Reclassification of contract staff

The European Union Agency for Railways does not have an implementing rule in place for the reclassification of CA so no CA has yet been reclassified at the Agency.

C. Mobility policy

1. Mobility within the agency

Decision N° 121 of the Administrative Board of the European Railway Agency laying down the general implementing provisions on the procedure governing the engagement and use of temporary staff under Article 2(f) of the CEOS (adopted on 25.11.2015) enshrines 2 scenarios for internal mobility for TA 2(f). These are reassignment in the interest of the service and mobility following the internal publication of a post.

The Agency actively promotes internal mobility but due to the very specific, technical competences of a big part of the staff, internal mobility remains limited.

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

2. Mobility among agencies (Inter-agency Job Market)

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

Although the Agency has joined the Interagency Job Market, no tangible effect is evident. With the new implementing rules for 2(f) Temporary Agents, the Inter-Agency Job Market is no longer of any practical importance.

3. Mobility between the agencies and the institutions

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

4. Tables for 2015 (Temporary Agents, Contract Agents and SNE's)

	2015	
	New staff	**Departing staff**
Mobility within the agency	5	5
Mobility among agencies	1	1
Mobility between the agencies and the institutions	-	1
Other	14	7
Total	**20**	**14**

D. Gender and geographical balance

The following non-discrimination notice is included in all vacancy notices:

"Equal opportunities: The European Union takes great care to avoid any form of discrimination in its recruitment procedures".

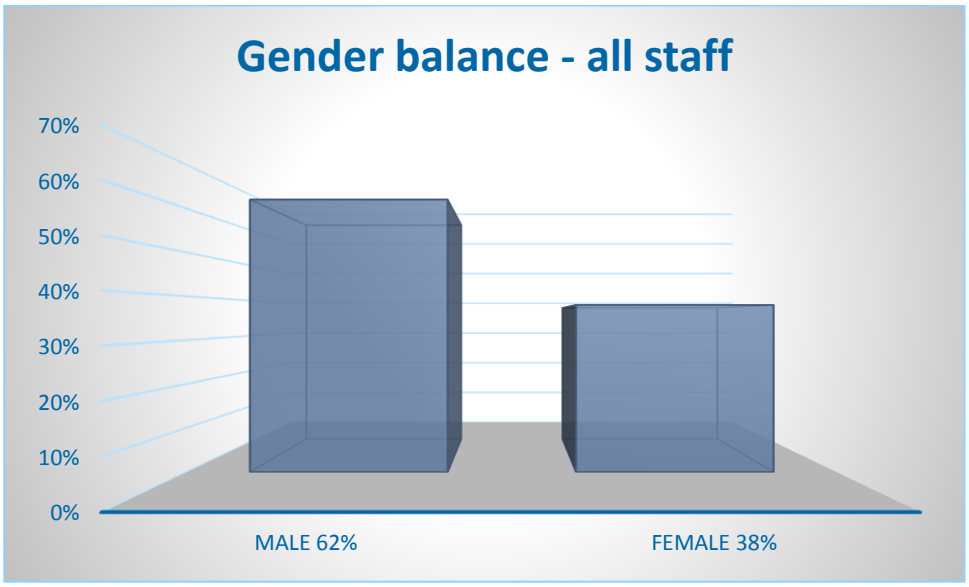
Applications are encouraged from all candidates and facilities management is prepared to accommodate people with disabilities. A positive discrimination policy however has not been put in place.

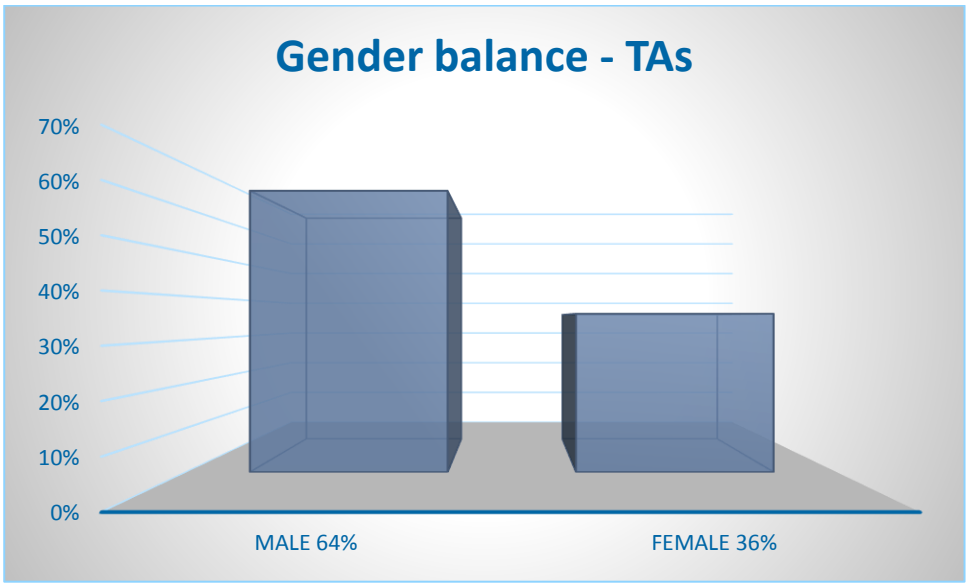
In general, the gender balance at the Agency has been stable over recent years. As can be seen from the "All Staff" pie chart, the figures, based on the situation in 2015, are 62% male staff and 38% female staff.

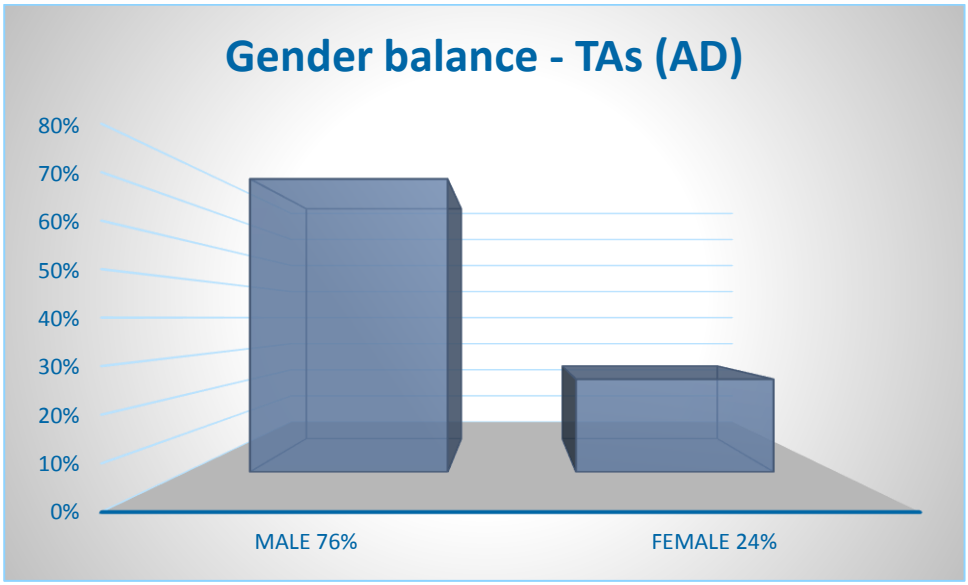
Diversity is a key priority for the Agency. Recognizing that the female representation in AD positions has slightly decreased in 2015, the Agency has been considering measures to attract more women in said positions, also taking into account that the railway sector always has been traditionally a more male-dominant world. A survey is being considered in the course of 2017 in order to identify how staff in general could better balance professional and personal life (improved facilities such as daycare in close proximity of the premises). In addition, the teleworking rules for Agency staff have been improved. The Agency will also check with the EC how the legislation in relation to vacancy notices, which currently might disadvantage women (e.g. required number of years of experience) can be improved.

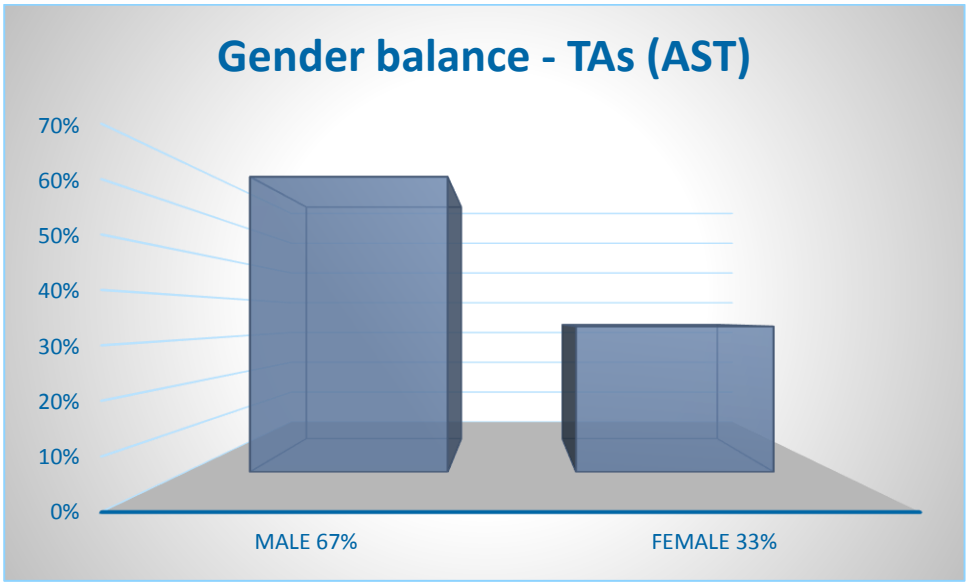
Looking at the pies by break down by contract type, 76% of the AD are male staff, and 67% of the AST are female staff. SNE figures show a 75% percent male ratio while the CA figures present an even balance.

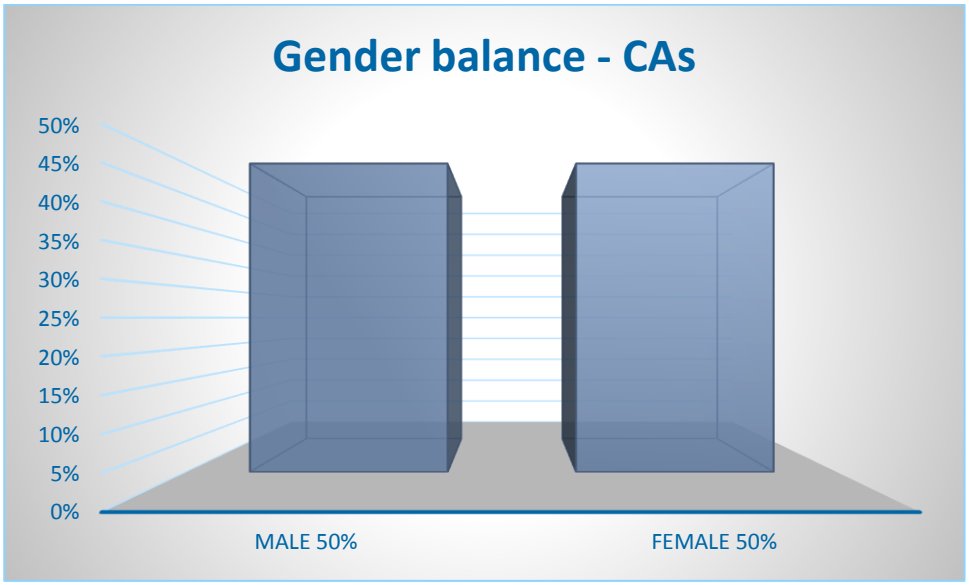
The current **flexi-time** policy and the Decision on **teleworking** of the Agency are designed to facilitate an improved work-life balance.


Gender balance - all staff
70%
60%
50%
40%
30%
20%
10%
0%
MALE 62%
FEMALE 38%


Gender balance - TAs
70%
60%
50%
40%
30%
20%
10%
0%
MALE 64%
FEMALE 36%


Gender balance - TAs (AD)
80%
70%
60%
50%
40%
30%
20%
10%
0%
MALE 76%
FEMALE 24%


Gender balance - TAs (AST)
70%
60%
50%
40%
30%
20%
10%
0%
MALE 67%
FEMALE 33%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40%
35%
30%
25%
20%
15%
10%
5%
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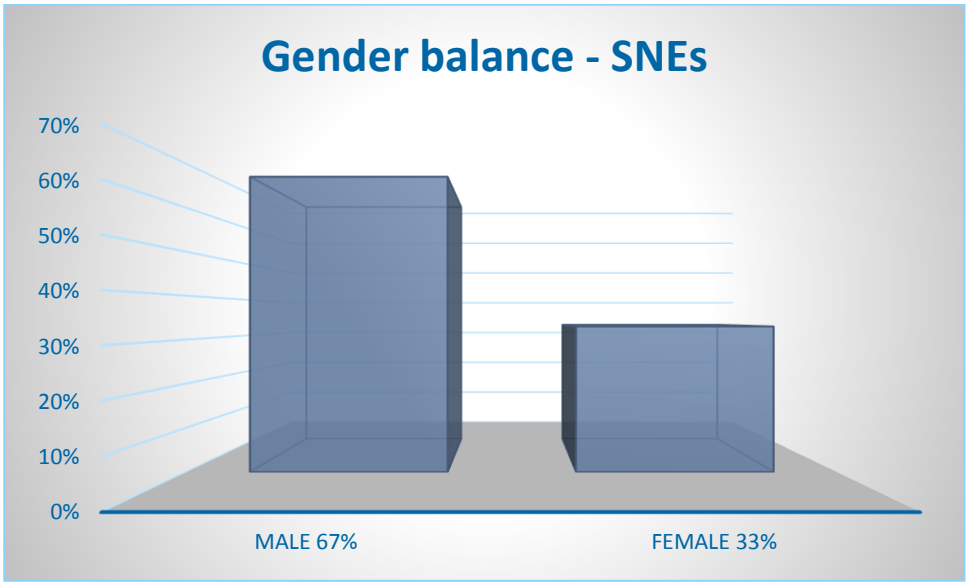
MALE 50%
FEMALE 50%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50%
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20%
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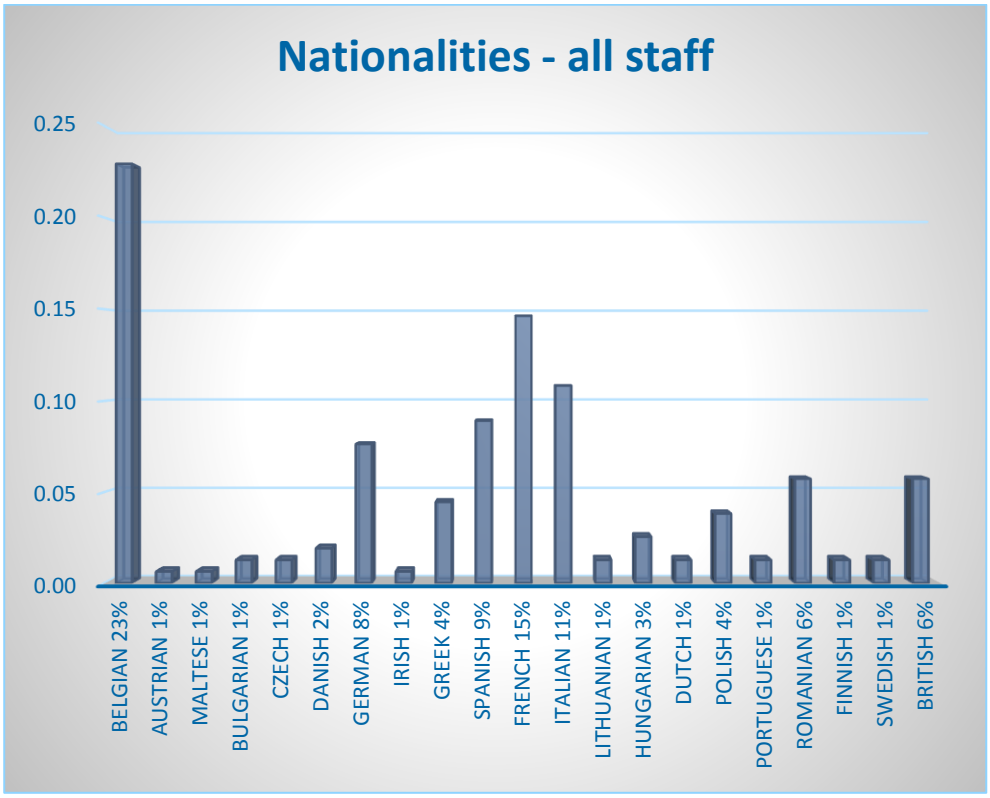
MALE 67%
FEMALE 33%


Nationalities - all staff
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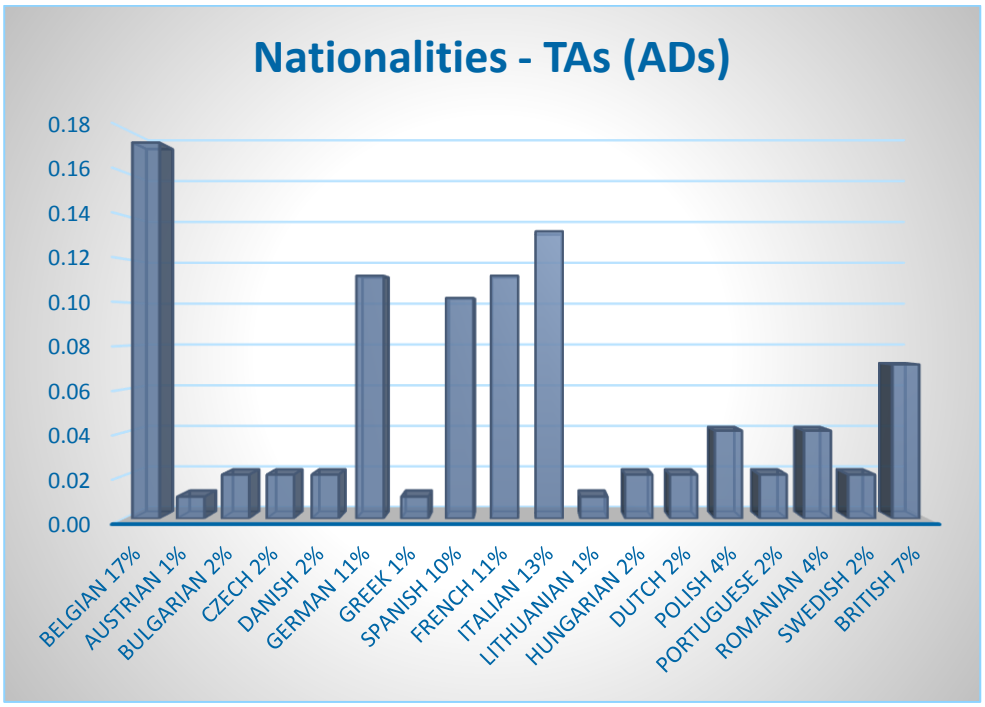
0.20
0.15
0.10
0.05
0.00
BELGIAN 23%
AUSTRIAN 1%
MALTESE 1%
BULGARIAN 1%
CZECH 1%
DANISH 2%
GERMAN 8%
IRISH 1%
GREEK 4%
SPANISH 9%
FRENCH 15%
ITALIAN 11%
LITHUANIAN 1%
HUNGARIAN 3%
DUTCH 1%
POLISH 4%
PORTUGUESE 1%
ROMANIAN 6%
FINNISH 1%
SWEDISH 1%
BRITISH 6%


Nationalities - TAs (ADs)
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0.16
0.14
0.12
0.10
0.08
0.06
0.04
0.02
0.00
BELGIAN 17%
AUSTRIAN 1%
BULGARIAN 2%
CZECH 2%
DANISH 2%
GERMAN 11%
GREEK 1%
SPANISH 10%
FRENCH 11%
ITALIAN 13%
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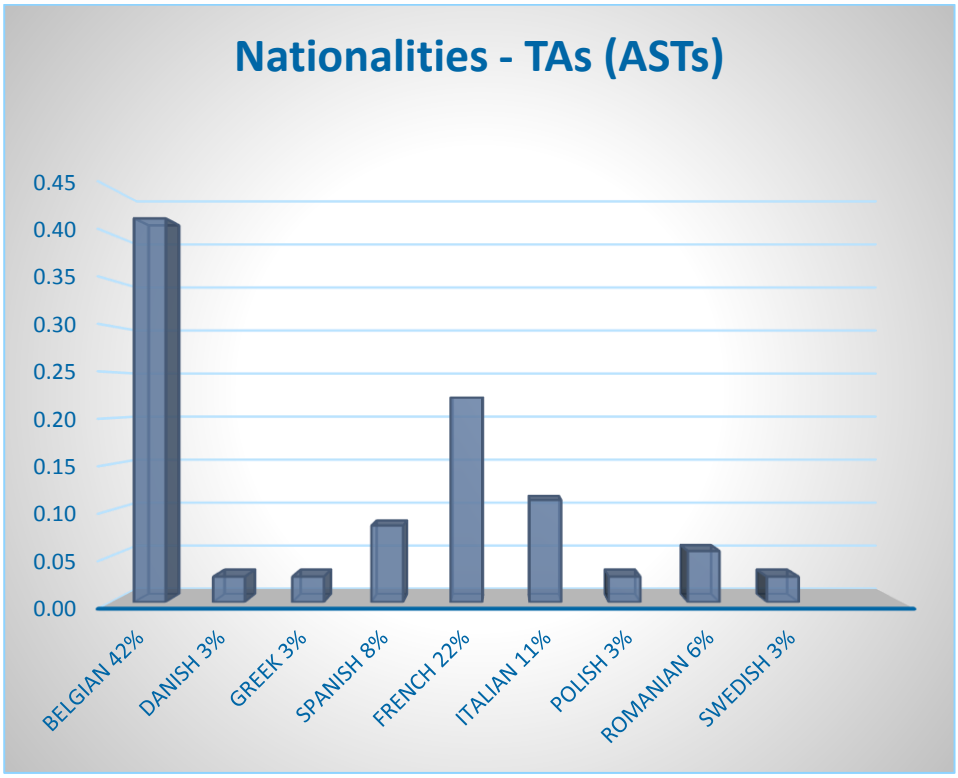
DUTCH 2%
POLISH 4%
PORTUGUESE 2%
ROMANIAN 4%
SWEDISH 2%
BRITISH 7%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0.40
0.35
0.30
0.25
0.20
0.15
0.10
0.05
0.00
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DANISH 3%
GREEK 3%
SPANISH 8%
FRENCH 22%
ITALIAN 11%
POLISH 3%
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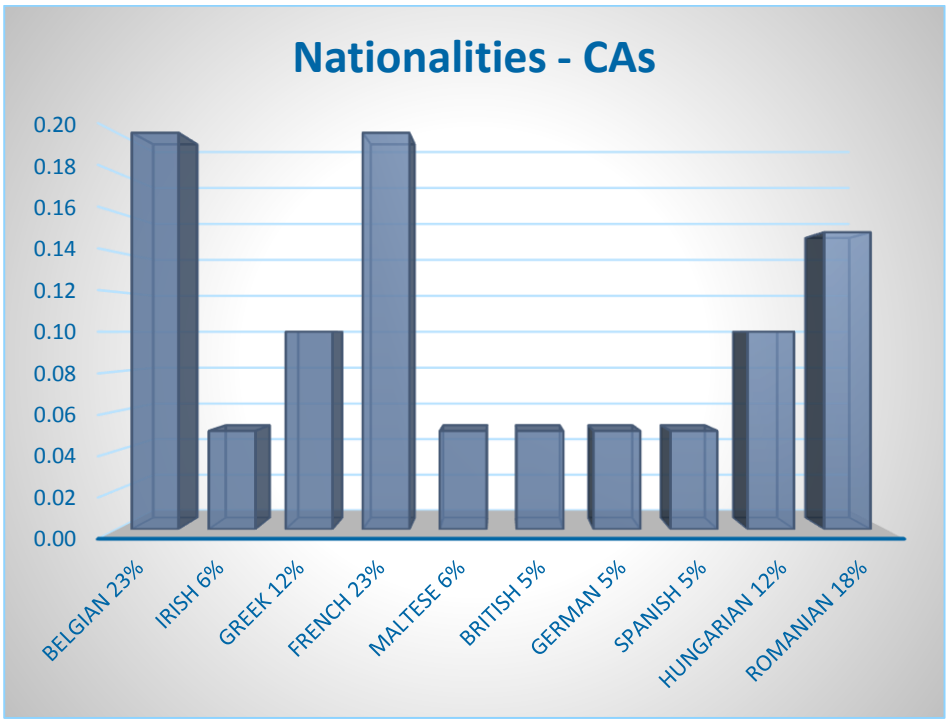
SWEDISH 3%


Nationalities - CAs
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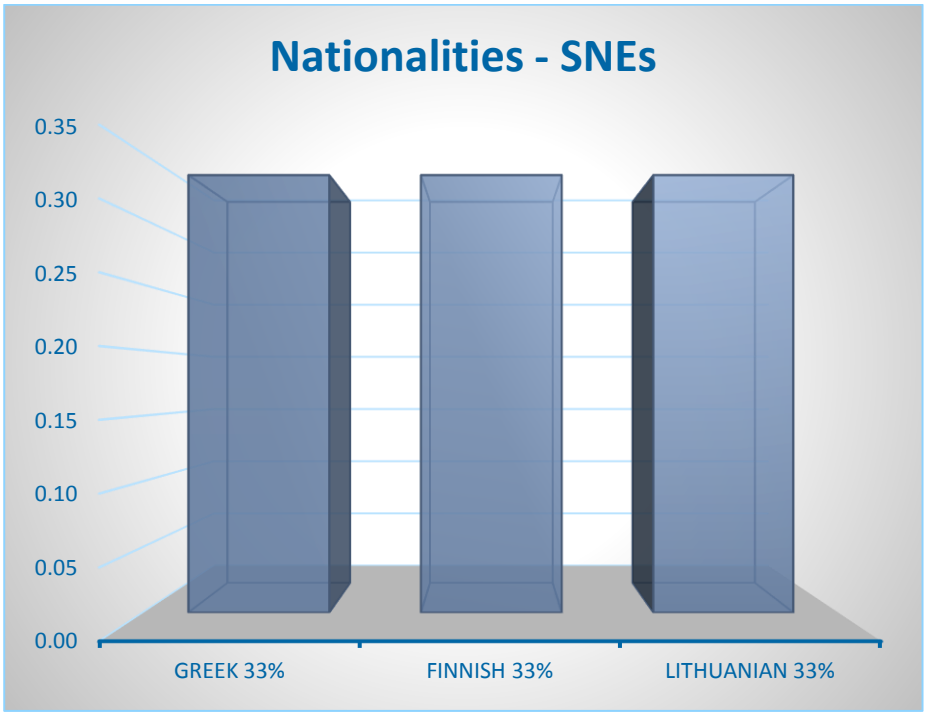
0.18
0.16
0.14
0.12
0.10
0.08
0.06
0.04
0.02
0.00
BELGIAN 23%
IRISH 6%
GREEK 12%
FRENCH 23%
MALTESE 6%
BRITISH 5%
GERMAN 5%
SPANISH 5%
HUNGARIAN 12%
ROMANIAN 18%


Nationalities - SNEs
0.35
0.30
0.25
0.20
0.15
0.10
0.05
0.00
GREEK 33%
FINNISH 33%
LITHUANIAN 33%

E. Schooling

There is no European School in Valenciennes where the Agency is located and the Agency has no arrangements with any international school in the vicinity. The local schooling system has an international section (English) at college and 'Lycée' level, but the students follow the French curriculum working towards the 'brevet' and the 'baccalaureate' awarded by the French Ministry of Education. There are facilities for international schooling in Lille but many staff members send their children to the European School in Brussels (and for that reason choose to live in Brussels and commute from there).

Annex V: Buildings

5.1.1 Current building(s)

	Name, location and type of building	Other Comment
Information to be provided per building:	HQ, Valenciennes, 120 rue Marc Lefrancq	1. The Agency is the only tenant of the building
Surface area (in square metres) Of which office space Of which non-office space	5.250 M² de Surface Hors Oeuvre Nette (S.H.O.N)	
Annual rent (in EUR)	In 2016: EUR 432 000 HT/year	The new INSEE indicator will be published during the 1st quarter 2016.
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 90 parking places from SAEM Valenciennes	
Surface area (in square metres) Of which office space Of which non-office space	90 parking places	
Annual rent (in EUR)	In 2016: EUR 22 000,00 HT/year	
Type and duration of rental contract	1 year with tacit renewal	
Host country grant or support	No	
Present value of the building	If the agency owns the building	

	Name, location and type of building	Other Comment
Information to be provided per building:	the Agency meeting premises, 299, Boulevard de Leeds – Lille	
Surface area (in square metres) Of which office space Of which non-office space	602,62 M²	
Annual rent (in EUR)	In 2016: EUR 107 512,00 HT/year	
Type and duration of rental contract	Contract will end on 31/12/2023.	
Host country grant or support	No	
Present value of the building	If the agency owns the building	

	Name, location and type of building	Other Comment
Information to be provided per building:	Rental of 8 parking places from Espace International	
Surface area (in square metres) Of which office space Of which non-office space	8 parking places	
Annual rent (in EUR)	In 2016: EUR 20 080 HT/year	
Type and duration of rental contract	Contract will end on 31/12/2023.	
Host country grant or support	No	
Present value of the building	If the agency owns the building	

5.1.2 Building project in the planning phase

Since it has not yet been possible to find any alternative and viable solution for the Agency, a new lease agreement for the current Lille premises has been signed. However, the Agency, with the support of the French Authorities, is still searching for possible new premises in Lille.

Annex VI: Privileges and immunities

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

Annex VII: Risks 2017

The most relevant risks that the agency is facing are summarised in the register below. It includes the revised risks already identified in the SPD 2016 and new identified risks. The risks are regularly monitored. For each mitigating measure, responsibilities and target dates/milestones have been assigned. The information on the implementation of the action plans shall be reported in the 2017 Annual Activity Report.

Nr. crt	Title	Risk description Consequence/Cause		Activity/Objective 2017	Impact (1-5)	Likelihood (1-5)	Inherent risk	Considering controls in place + effectiveness	Impact (1-5)	Likelihood (1-5)	Residual risk	Measures to achieve acceptable risk for management	Date of origin
1	**Inconsistent and late transposition of the 4th RWP in Member States**	i) major shortcomings in the project planning (delays and possible complaints from stakeholders),	(may be caused by) a) Insufficient preparedness of the Member	**Activity 1: Harmonised approach to Safety Activity 2: Removing technical barriers**	5	4	Critical (20)	a) The key processes provides the possibility of different iteration in the assessment phase giving time	4	3	High (12)	a) Participation of the Agency in learning case phase (ongoing with France and Germany) b)	SPD 2016

		ii) inadequate use of resources iii) low quality of deliverables (VAs, Safety certificates-SC) which might lead to increase number of appeals to Agency decisions iv) Low political support/ stakeholders' reluctance might represent a reputational risk for the Agency perceived as main responsible for issuing VA and SC across EU + the success of the Agency as European Authority depends on	States (e.g. roles, responsibilities, working methods) involved in delivering the key processes (i.e issuing vehicle authorisation, safety certificates, checking ERTMS trackside files) to the specific requirements b) New processes/systems of work (i.e. revised CSM, new practical arrangements, relevant guides) not applied in a consistent	Objective 1: Preparing for the Single Safety Certificate Objective 6: Preparing for Vehicle Authorisation under the Fourth Railway Package				to put in place and to have enough feedback from the audit scheme to be put in place for NSA and NOBO activities. b) Regular and structured meetings with the stakeholders (in particular NSAs, MSs, EC) c) Participation of the Agency in real cases authorisation. d) Monitoring MS progress towards conformity with the 4RWP e) Regular and structured meetings with the stakeholders (in particular NSAs, MSs, EC)				Communication campaigns in transport ministries c) A 4RWP Steering Committee involving all key stakeholders shall be set up as soon as the technical pillar has entered into force. d) Regular review of progress at transport ministries e) Use pre-engagement to identify and resolve issues f) Development of clear guides for each of the 3 new tasks	

		cooperation with MS + negative impact on the rail market)	manner by all concerned actors (NSAs and the Agency)									g) Organisation of dissemination workshops by ERA. h) Coordination with NSA for detailed dissemination within each MS.	

2	**Secondary legislation (implementing acts) watered down by Member States**	Ineffective and inconsistent implementation of the tasks regarding the 4RWP	(may be caused by) Agency proposal for the implementing acts on practical arrangements adopted without the essential requirements ensuring adequate implementation of the Interoperability and Safety Directives	**Activity 1: Harmonised approach to Safety Activity 2: Removing technical barriers** Objective 1: Preparing for the Single Safety Certificate Objective 6: Preparing for Vehicle Authorisation under 4RP	5	4	Critical (20)	a) Regular and structured meetings with the stakeholders (in particular NSAs, MSs, EC) b) Participation of the Agency in real cases authorisation. c) Monitoring MS progress towards conformity with the 4RP d) Regular and structured meetings with the stakeholders (in particular NSAs, MSs, EC)	4	3	High (12)	Providing additional explanations provided to MS via organization of regional workshops	New

3	**Inadequate competence and ineffective allocation of staff**	i)negative impact on the planning of current and future HR needs and skills requirements ii) lack of quality and delays of the agency current and future key outputs/objectives (e.g. implementation of railway registers, one single stop shop) iii) damage of the Agency reputation.	(may be caused by) a) Insufficient measures taken to ensure the necessary/right staff competences (e.g. especially for new areas of responsibilities) and b) Difficulty to recruit enough competent staff c) Not enough budget and headcount provided	**Activity 5: Evaluation, management and resources** Objective 24: Ensuring sound management of the Agency's human and financial resources, ICT services and facilities	5	4	Critical (20)	a) Competence management project ongoing b) Implementation of the selection procedure c) Selection and engagement of CAs is ongoing (see ATS)	4	3	High (12)	a) Mid and long term - Continue the implementation of the competency management system project (e.g. identifying competenc(i)es for the 4RWP, gap analysis, selection of pool of experts) b) Development of a generic framework on competenc(i)es for ERA staff c) Advertise the Agency as an attractive organisation through organising international events/seminars; developing social media	SPD 2016

												etc d) Strategy for staff recruitment and development e) Strengthen the process of HR and Competency management by revising the Selection procedure as well as recruiting anew HoS RU	
4	**Ineffective support system**	Temporary suspension, slowing down or delay on operational activities/services.	(May be caused by):Agency ICT application systems, procurement	**Activity 5: Evaluation, management and resources**	4	3	High (12)	• ABAC management of rights' procedure (possibility to delegate financial powers)• Budget meetings review •	4	3	High (12)	a) Workstream to develop a clear business specification and implementation for Agency	New

			services/procedures do not reflect current or future operational needs, especially in urgent situations (e.g. remote approvals in ABAC, launch procurement of new services on urgent request when competence in-house is not available)	Objective 24: Ensuring sound management of the Agency's human and financial resources, ICT services and facilities				Procurement planning for year n (set –up in the year n-1)• collaborative e-procurement environment for elaboration of complete tender and contract documentation• eProcurement platform•deployment of the Service desk platform				registers (data management)b) Workstream to develop a clear business specification and implementation for internal Agency IT systemsc) Review of IT strategy d) Implementation of the new Agency Programme, Project and Service management framework	
5	**Inappropriate data management**	a) Inconsistent and unreliable data b) misinformed/un	(may be caused by) Inconsistent/ inadequate	**Activity 4: A simplified access for customers**	5	4	Critical (20)	• Consultants and staff member recruited to support the business owners and to develop a	4	3	High (12)	Implement an effective and consistent management	New

		informed management decisions c) Not delivering complete and accurate products/services d) Impose administrative burden to the rail sector	management of external railway data (e.g. registers)	Objective 14: Facilitating users' access to relevant data				roadmap for further development and use of Agency databases and registers; • RVRR project ongoing				of external data (development of a specific program on management of railway data)	
6	**Delay in reduction of national rules**	• Delay in achieving the specific requirements of interoperability • Discrimination among operators on the railway market	(May be caused by): • Insufficient resources in the Agency and Member States (MS) to manage the process • Partial lack of cooperation from MS to contribute	**Activity 2: Removing technical barriers** Objective 7: Removing technical barriers	5	4	Critical (20)	• Bilateral meetings in place with NSAs to support the clarifications of NTRs • Guidance developed under the project Notif-It	4	3	High (12)	a) Establishment of a common approach/position and criteria for cleaning up NTRs b) Provide an user friendly tools for facilitating the notification of NTRs (i.e creation of a single database rule)	New

7	**Noise reduction targets not achieved**	• Ineffective/ noticeable reduction of noise generated by the rail freight wagons • Barriers to railway interoperability and EU railway market	(May be caused by): • Different/divergent stakeholders opinions to accommodate • Project with high economic implications for stakeholders (i.e. high costs implications) • Unilateral measures taken by MSs against the reduction of railway noise (i.e. leading to barriers in interoperability)	**Activity 2: Removing technical barriers** Objective 7: Removing technical barriers	5	4	Critical (20)	• TSis on noise in force since 2011 • Environmental Noise Directive	4	3	High (12)	1. Cooperation with the Commission to define appropriate and reasonable timescales for retrofitting of existing wagons i) Adoption of delegated acts by the EC (2nd quarter 2017) ii) Recommendation of the Agency on revising NOI TSI (12/2017) 2. Adoption of an approach that will allow to keep TSI's generic while moving specific, higher noise requirements	New

												in route compatibility	
8	**Security requirements create new barriers**	i) Delays or limits to the implementation of key objectives in the field of interoperability (i.e. removal of technical barriers, cleaning up of national rules) ii) Member	(may be caused by)a) Potential occurrence of malicious acts affecting the rail sectorb) Increase of (cyber) security attacks leads to	**Activity 2: Removing technical barriersActivity 3: A single EU train control and communication system**	4	5	Critical (20)	• Safety requirements already in place• TSIs and CSMs are the available mechanisms to enable the implementation of an EU common approach on security	4	3	High (12)	Developing the Agency position on rail security issues, such as including:* Impact of security issues in interoperability * Extension of the existing interoperability	SPD 2016

		States could impose additional measures contradicting TSI or ERTMS specifications (e.g. KMS, ..)(even if reasons outside the Agency, could have negative consequences for the Agency as it increases the usual workload and affects its reputation as the Agency is perceived as main responsible for implementation of interoperability)	development of additional security measurec) Security is an area under the competence of MS	Objectives 7: Removing technical barriers Objective 11: Ensuring interoperable and stable ERTMS								and safety requirements within EU legislation to address security hazards* emergence of new threats (e.g. Cyber-security)	
9	**Obsolescence of ERTMS Change**	• unavailability of the Change Request database;	(May be caused by) Current IT	**Activity 3: A single EU train control and**	4	3	High (12)	Up to present: no satisfactory	4	3	High (12)	Analyse possible other IT tools that can replace the	New

	Management tools	• ad hoc solutions needed implying high workload, impact on the quality of the service delivered; • visible dissatisfaction to the Agency's stakeholders (users of the service).	system is becoming obsolete and could stop functioning after updates (e.g., at the moment the reporting function of the tool requires MS Word 2007)	**communication system** Objective 11: Ensuring interoperable and stable ERTMS				replacement solution found				current IT tool used for the change control management process (ClearQuest) and procure the selected IT	
10	**Lost opportunity to influence global standardisation in railway**	a) • Tendency towards fragmentation of the rail sector and market for rail products; • Increased costs	a) New emerging global standards influenced by actors outside	**Activity 5: Evaluation, management and resources**	3	4	High (12)	ISO and IEC have governance that is independent from ERA and the EC. EU Member States who are involved in ISO and IEC	3	4	High (12)	a) Develop International Relations Strategy (ERA and EC)b) Take a leading role in the EC	New

		for rail products;• Slow innovationb) Europe may have competitive disadvantages at global levelc) Europe may lose its role of leading global standardisation and foster the development of railway industry	Europe (i.e. under world trade agreements) may overrule the current standards in place (i.e. ISO and IEC) which are underpinning the TSIsb) Products based on European standards not accepted outside Europec) The Agency may not effectively influence and drive the process of standardisation in Europe	Objective 22: Contributing to the creation of a worldwide market				governance have not fulfilled their obligations under TBT to ensure the involvement of their rulemakers (ERA and EC).				Standardisation Platform) ERA to significantly increase its influence in standardisation bodies in EU and world level. In particular with respect to their strategic direction and choice of priority subjects. d) ERA to promote the European way (e.g. 3rd party certification) to partner bodies and support their adoption . e) ERA to act as coordinator for the "Platform of Rail Agencies" f) ERA "representatives" to	

												participate in IEC/ISO standards g) ERA as part of strategy for Technical and Safety Harmonisation to consider how much to concentrate on global references (and refer to them in TSIs) v Drafting TSIs and influencing so that they will be copied into global standards	
11	**Ineffective contribution to innovation in the Sector**	a) Agency fails to deliver in its role as "orchestrator" of innovation in	a) Agency fails to identify and promote the right targets	**Activity 5: Evaluation, management and resources**	4	4	High (16)	Research steering group within the Agency to ensure consistency of approach Agency	4	3	High (12)	a) Implement the research strategy b) Set and implement strategies for	SPD 2016

		the shared systemb) Agency acts as a barrier to innovation by not adapting TSIs or being over-conservative in the authorisation process	for researchb) Agency fails to ensure rail is integrated into the transport research agenda (including multi-modal solutions)c) Agency fails to promote innovation adapted from outside the rail sectord) Agency misses the "big picture" target in the development of its acts by continuing fragmented, bottom up approach to the development of TSIs etc	Objective 21: Ensuring that railway research is aligned with the needs of the SERA				Research strategy to set the high level direction and prioritiesBased on the above the Agency provides rail expertise to the European Commission and other actors (S2R, etc) on matters related to Single European railway Area				the development of Technical and Safety regulation. To include both i) identification of subject areas for innovation to make rail safer and more competitive and ii) identification of where forced cooperation is necessary to make the shared system work c) Work with EC units, S2R to ensure consistency of direction/approach	

12	**Loss of interoperability after GSM-R**	• Obsolescence of GSM-R technology (e.g. IMs or RUs decide to procure communication systems (replacing GSM-R) incompatible with target solution) • The Agencies Program on evolution of radio does not deliver timely (in 2022) new standards as replacement for GSM-R in the CCS TSI • Member state may decide on an allocation of radio spectrum incompatible with target solution	(may be caused by): a) No consensus on functionality, technical solution, migration strategy on the communication system b) No suitable radio spectrum available c) Low level of contribution by stakeholders to the Agency project (i.e. definition of new communication system),	**Activity 3: A single EU train control and communication system** Objective 11: Ensuring interoperable and stable ERTMS	5	4	Critical (20)	Coordination Working Group with all relevant stakeholders, that monitors: - Technical developments (availability, suitability and sustainability of technologies) - Migration schedule (start and end dates for operations with GSM-R and other technologies, while maintaining interoperability) - Spectrum availability in EU Specific studies (contracted or performed by the Agency) on key subjects, in particular on technical and spectrum matters Outside communication	4	3	High (12)	Define and implement a new system to replace GSM-R a) Report to the EC on the definition of the new system a1) First intermediate report a2) Second intermediate report b) Provide recommendation to the EC for changes in CCS TSI b1) First report b2) Second report	New

			so that results of studies and standards are not sufficiently representati ve					activities to create awareness of tasks and promote contributions, e.g. conferences, information on ERA website, workshops, etc.					
13	**Delay in the implementation of One Stop Shop**	Delay in the implementation of the Agency new tasks –i.e. granting safety certificates and issuing vehicle authorisation	(may be caused by) The operational availability of the 'One stop shop'	**Activity 1: Harmonise d approach to Safety Activity 2: Removing technical barriers**	5	4	Criti cal (20)	a) Application Architect Designer (ADD) appointed from September 2015 b) Close cooperation	5	2	High (10)	a) Final specifications of the OSS to be provided b) Organise dedicated	SPD 2016

			tool is delayed (i.e. development lifecycle, business requirements v1.0 not delivered according to plan, disagreement Agency/NSAs), practical arrangements documents not agreed by the end of 2016	Objective 1: Preparation of the Single Safety Certificate Objective 6: Preparing for Vehicle Authorisation under the Fourth Railway PackagePackage				between the ADD and the operational units to ensure the capture of the business needs as soon as possible c) Participation of the Agency in the NSA subgroup on cooperation agreements to capture the views of the NSAs d) First set of OSS specification already available from May 2016 e) IT architecture in place allowing several iteration of specifications coming from new business needs f) Appointment of an external analyst to follow the OSS development				workshops on the subject	

14	**Authorisation and certification workload**	i) in case of low number of VAs applications>low fee income>negative impact on HR planning ii) in case of higher number of VAs applications >legal deadlines for issuing VAs may not be metiii) ineffective application of 4RWP legislation (which could represent a reputational risk for the Agency perceived as main responsible for issuing VAs across EU)	Uncertainty with regard to:a) the number of Vehicle authorisations (VAs) applications; b) the correct adoption and implementation of the implementing acts by the MS;	**Activity 1: Harmonised approach to SafetyActivity 2: Removing technical barriers** Objective 1: Preparing for the Single Safety Certificate Objective 6: Preparing for Vehicle Authorisation under the Fourth Railway Package	5	3	Critical (15)	a) Internal task force in charge of the overall coordination of the programme has been established in April 2015.b) Monthly progress reports to the ERA management team to identify potential problems and decide adequate measures.c) Coordination meetings with the European Commission, NSAs and the AB have been put in place to ensure coherence of the programme.	5	2	High (10)	a) Survey to the manufacturer to estimate the number of VA based on the current ongoing tenders and those ones expected in the next years b) Participation of the Agency in real cases authorisation and in learning case phase allowing to estimate the need in staffc) Implementation of the Competence management system (including redeployment of staff, recruiting pool of experts)d) A 4RWP Steering Committee	SPD 2016

												involving all key stakeholders shall be set up as soon as the technical pillar has entered into force.	
15	**Agency planning and prioritisation**	i) Need of reprioritisation of Agency	(may be caused by)	**Activity 5: Evaluation, management and resources**	4	3	High (12)	• Organisation of different stakeholders' networks • Stakeholder	3	2	Medium (9)	a) Implementation of procedures	SPD 2016

		objectives/projects ii) Delay in the implementation of Agency objectives/projects	Unexpected external events (i.e. unforeseen new legal requirements, rail market changes)	Objective 19: Ensuring the implementation of the Agency's Integrated Management System (IMS)				consultation workshop for the SPD • Prioritisation exercise ongoing; early assessment already started; • ERA Management Team monthly reports monitoring • Early engagement with the European Commission on the Agency strategic planning				describing the processes for planning, prioritising and reporting of Agency work b) Implement a crisis management procedure c) Negotiate with the Commission the reviewed ERA priorities	
16	**Stakeholder alignment and mobilisation**	i) Inability of the Agency to expose the reality of its work and to	(may be caused by) a) Insufficient clear message and	**Activity 5: Evaluation, management and resources**	4	4	High (16)	• Communication plan/activities in place (e.g. organization of railway events,	4	2	Medium (8)	a) Continue implementation of ERA communication strategy action	SPD 2016

		influence the way its message is received by the stakeholdersii) Difficulties:• to approach stakeholders who are resistant/reluctant/ambivalent to support Agency objectives; • in maintaining stakeholders engagement iv) low interest of stakeholders in Agency's workV) Inconsistency and low quality of the messages sent by the Agency	inaccurate reception of Agency message by different stakeholders concerning agency objectives/tasks) b) Inability to convey a common message on main Agency areas of activity	Objective 18: Ensuring efficient and effective communication				satisfaction surveys)• Regular feedback from stakeholders/various dissemination activities• ERA policy in place				planb) Development and evaluation of Agency outcomes through objective criteria (e.g. railway indicators and KPIs)c) Reinforcement of the culture by management commitment to the ERA policy (i.e organise a satisfaction survey among participants to MT/HoS meetings and analyse the feedback)	

17	**Unjustified carry-overs higher than the acceptable levels of the CoA**	i) Significant carry-overs of committed appropriations for operational expenditures putting annuality principles at risk (resulting in a potential negative revision of the Agency's budget for the year n+1.) ii) Delays in the implementation of the Work Programme iii) High exposure to criticism from ECA and the Budgetary Authority (putting at risk the discharge process)	(may be caused by) Inappropriate and/or inadequate management of financial means, inappropriate procurement planning as well as delays in the related process	**Activity 5: Evaluation, management and resources** Objective 24: Ensuring sound management of the Agency's human and financial resources, ICT services and facilities	4	3	High (12)	a) Close follow-up of the budgetary expenditure (regular budget reviews meetings); b) Databox tool for following the implementation of the WP (SPD) c) Creation of a daily budget execution with commitments and payment details available to each unit. d) Procurement and contract management procedure in place	4	2	Medium (8)	a) Enhancing the implementation of the ex-post evaluation requirement entailed in the contract management procedure by introducing an electronic application for this purpose. b) Assign specific individual objectives for all HoUs in the appraisal reports related to the Agency budget execution (to be continued in 2017) including measured assessment criteria	SPD 2016

18	**Incoherent message on Safety Culture**	Incoherent message delivered to stakeholders which may cause	(may be caused by) The work that is done by ERA, the way we do it or the way we	**Activity 1: Harmonised approach to Safety**	4	3	High (12)	• Terms of Reference for the Common approach for safety • Project Plan (includes	4	2	Medium (8)	Apply the Safety Culture principles across all activities of the Agency:a) Management Meeting day	New

		reputational damage	communicate about it do not reflect a positive safety culture	Objective 4: Improving safety performance				training and support for staff)				learning session b) Detailed plan for internal staff awareness raising c) Prepare deliverables to support learning and awareness internally (communications materials, CDR objective, case studies, discussion cards) d) Safety Culture input to revision of CSMs for Supervision and Conformity Assessment, including guidance, in line with their project plan	

19	**Agency not ISO certified as planned by June 2017**	i) Delay in the achievement of ERA objective of ISO 9001 certification by 2017 and the strategic objective - be fully ready by 2018 for the 4RWP tasks, ii) Damage ERA's reputation vis-a vis to its stakeholders (e.g. EC, Council, NSA's, sector etc.)	(may be caused by) Delays in the implementation of the IMS programme	**Activity 5: Evaluation, management and resources** Objective 19: Ensuring the implementation of the Agency's Integrated Management System (IMS)	3	3	Medium (9)	• IMS Documentation Plan implemented • Prioritisation of IMS processes development	3	2	Medium (6)	a) Implement the IMS Documentation Plan b) Update the IMS documentation Plan in order to achieve ISO certification in 2018	SPD 2016
20	**Strategic alignment of the sector in ERTMS**	Damage to the reputation of ERTMS as a system which can jeopardize the full	(May be caused by) a) Delays in reaching milestones	**Activity 3: A single EU train control and communication system**	4	3	High (12)	Signature of the Memorandum of Understanding (MoU) between the Agency, the EC and the European	3	2	Medium (6)	Review the results of the MoU	New

		achievement of the Agency's ERTMS objectives	on cooperation (such as signing of Memorandum of Understandings), b) Inability to have an common position on important matters (such as Automatic Train Operation). c) Lack of commitment from supply industry to quality and cost-effective products and disciplined implementation	Objective 11: Ensuring interoperable and stable ERTMS				rail sector ERTMS Stakeholders Platform implemented					

21	**Ethics and fraud**	i) Increase of the likelihood of not compliance with the rules regarding ethical obligations ii) Ineffective prevention and detection of potential fraud cases	(may be caused by) a) insufficient awareness on ethical conduct/ guidance on specific areas b) Ineffective measures in place to prevent and detect fraud	**Activity 5: Evaluation, management and resources** Objective 20: Ensuring legality of Agency's activities	5	2	High (10)	• Agency Anti-Fraud Strategy • Conflict of interest policy for all staff ; Induction session on ethics • Code of Good Administrative behaviour • Practical guide to staff on ethics and conduct • A functional mailbox on ethical issues However, the existing rules are not promoted and measures are rarely taken to make sure that these rules are observed	5	1	Low (5)	a) Implement the action plan of the Anti-fraud strategy b) Maintain a fair and open culture through the application of the management commitment to the policy	SPD 2016

Annex VIII: Procurement plan 2017

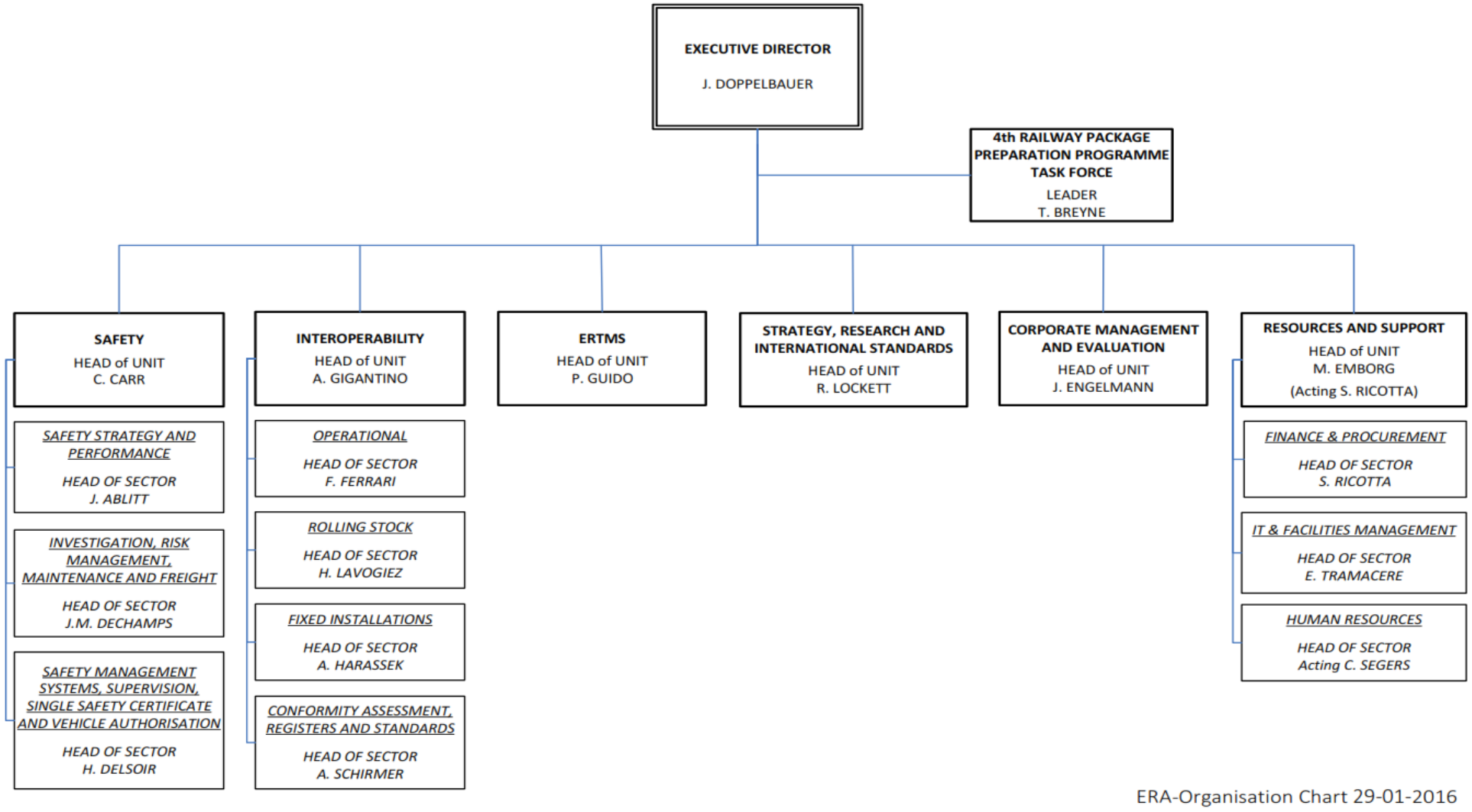
Activity	Title	Description	To be committed in 2017	Market ceiling	Type of Contract
Activity 1	Feasibility of Big Data techniques for safety management	Award by direct services	150,000.00 €	150,000.00 €	Direct contract
	Erail training REP		60,000.00 €	60,000.00 €	Direct contract
	Integration of human factors and safety culture into the safety management system	In parallel to the regulatory developments on Common Safety Methods, the Agency must develop application guides that should help users (national safety authorities, railway undertakings and infrastructure managers) in understanding and applying in a consistent manner our revised Regulations. In that respect, we are looking for human factors/safety culture experts that can help us in developing these guides.	55,200.00 €	55,200.00 €	Direct contract
Activity 2	Study for the analysis of the domestic tariffs for railways	Future the exchange of domestic rail tariffs between the railway undertakings and so-called 3rd parties (e.g. travel agencies).	60,000.00 €	60,000.00 €	Direct contract
Activity 3	Architecture of the railways communication system based on applications	Applications for both onboard and ground subsystems have to be capable to use a multiple number of communication bearers. The system architecture (ground side and onboard side) shall be studied to understand how to achieve this goal.	200,000.00 €	200,000.00 €	Direct contract

Activity	Title	Description	To be committed in 2017	Market ceiling	Type of Contract
	Feasibility study reference system ERTMS	Feasibility study definition of reference for ERTMS system - onboard with a view to improve conformity and verification processes	140,000.00 €	140,000.00 €	Direct contract
Activity 5	Promotional material	The communication office seeks a supplier that can fulfil all needs for advertising material of the Agency.	20,000.00 €	80,000.00 €	Framework Contract
	Transport of goods	Transport of brochures, goodies, roll up ... for exhibitions, seminars, conventions and conferences through Europe	10,000.00 €	40,000.00 €	Framework Contract
	Agency's advertisement	Agency's advertisement	20,000.00 €	60,000.00 €	Framework Contract
	Event SERA convention	Organisation of the events: renting rooms, materials, catering ...	60,000.00 €	60,000.00 €	Direct contract
	Event SERA Convention central	Organisation of the events: renting rooms, materials, catering ...	30,000.00 €	30,000.00 €	Direct contract
	Event SERA Convention West	Organisation of the events: renting rooms, materials, catering ...	30,000.00 €	30,000.00 €	Direct contract
	Event SERA Convention East	Organisation of the events: renting rooms, materials, catering ...	30,000.00 €	30,000.00 €	Direct contract
	Event SERA Convention South	Organisation of the events: renting rooms, materials, catering ...	30,000.00 €	30,000.00 €	Direct contract
	Event ERA Convention North-Scandic	Organisation of the events: renting rooms, materials, catering ...	30,000.00 €	30,000.00 €	Direct contract
	Event ERTMS Conference	Organisation of the events: renting rooms, materials, catering ...	90,000.00 €	90,000.00 €	Direct contract

Activity	Title	Description	To be committed in 2017	Market ceiling	Type of Contract
	Event Safety Conference	Organisation of the events: renting rooms, materials, catering ...	100,000.00 €	100,000.00 €	Direct contract
	Event Noise Conference	Organisation of the events: renting rooms, materials, catering ...	60,000.00 €	60,000.00 €	Direct contract
	Innotrans 2018 - m² booking	Renting sqm at Innotrans hall 4.2	22,500.00 €	22,500.00 €	Direct contract
	Online communication services	Online communication services	100,000.00 €	300,000.00 €	Framework Contract
	Internal comms + organisational change consultant	Internal comms + org. change consultant	50,000.00 €	200,000.00 €	Framework Contract
	Railway cost-benefit data collection	Railway cost/benefit data collection	100,000.00 €	300,000.00 €	Framework Contract
	Multi-modal comparative studies	Multi-modal comparative studies	70,000.00 €	400,000.00 €	Framework Contract
	Just Culture Eurocontrol partner programme to support state prosecutors	To implement Cooperation Agreement between Eurocontrol and the Agency	124,000.00 €	124,000.00 €	Direct contract
	Sculptures and Awards	To purchase sculptures and awards for communication purposes during events and conferences	10,000.00 €	55,000.00 €	Framework Contract
	Legal ad-hoc assistance	To contract one or more providers of legal services and assistance		300,000.00 €	Framework Contract
	Legal services related to on-going litigation for the Santiago	As the Agency has the obligation to cooperate with national judicial authorities, the Agency or some staff members might be requested to appear in court in order to give testimony in relation to the Santiago train crash. This	30,000.00 €	60,000.00 €	Framework Contract

Activity	Title	Description	To be committed in 2017	Market ceiling	Type of Contract
	train crash case in the Spanish Courts	procurement is for local Spanish legal advice and assistance to the Agency and/or staff members.			
			1,681,700.00 €		

Annex IX: Organisation chart



Annex X: Overview of objectives (23)

Activity 1	*Activity 2*	*Activity 3*	*Activity 4*	*Activity 5*
Preparing for the Single Safety Certificate under the Fourth Railway Package	Preparing for Vehicle Authorisation under the Fourth Railway Package	Increasing the Agency's role in checking ERTMS projects compliance with the specifications, onboard and trackside	Preparing a One-Stop-Shop (OSS) for certification and authorisation under the Fourth Railway Package	Ensuring the coordination of the Fourth Railway Package implementation
Learning for better Safety	Removing technical barriers	Ensuring interoperable and stable ERTMS	Facilitating users' access to relevant data	Ensuring a prioritised portfolio of the Agency activities
Monitoring Safety performance	Removing operational barriers	Establishing and improving communication backbone for railways		Monitoring, evaluating and reporting on the performance and outcomes/impacts of the Agency's activities
Improving Safety performance	Ensuring efficient and effective conformity assessment			Ensuring efficient and effective communication
Managing Maintenance risks				Ensuring the implementation of the Agency's Integrated Management System (IMS)
				Ensuring legality of Agency's activities
				Ensuring that railway research is aligned with the objectives of the EC for the creation of the SERA.
				Support to the dissemination to the EU acquis
				Ensuring sound management of the Agency's human and financial resources, ICT services and facilities