European Railway Agency

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Programming Document 2016

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Foreword by the Executive Director

Rail is a mode of transport that is environmentally friendly, energy efficient, and safe. Shifting transport volume from other modes to rail thus will be of significant benefit for the European society. The Agency's over-arching objective - to concretely contribute to improving the competitive position of the railway sector by enhancing the interoperability level and by developing a common approach to safety on the European railway system – will facilitate this modal shift. The European Railway Agency will add value in this process by making the railway system more efficient, in turn reducing cost over the whole life cycle, and increasing attractiveness. However, this objective will require sustained and coherent work to be carried out over many years. With this document we intend to describe the Agency's plan for the years 2016 to 2018, and, in particular, for 2016 in detail.

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 Railway Agency 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.

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 legal framework work in practice". It shall serve furthermore as a common reference on the planning perspective for all actors, in particular when priorities need to be adjusted.

While this Programming Document has gone through extensive consultation with stakeholders, we are striving for even more involvement of appropriate sector representatives, to ensure adequate focus on, for instance, social issues, all the while realising that the currently dynamic situation of the railway industry might initiate further prioritisation. Depending on the development in the sector and in the context of the implementation of the Fourth Railway Package, the Agency needs to ensure a sufficient level of flexibility in terms of allocation of resources and prioritising the workload.

The Technical Pillar of the Fourth Railway Package has just successfully passed the informal process in the institutions of the European Union. The subsequent formal process will most likely be concluded in the second half of 2015, under the presidency of Luxembourg. Thus, the entry-into-force date of the Technical Pillar will most probably be in 2016, it could even be as early as 1 January 2016. According to the new legal texts, some new or revised tasks and duties of the Agency will a become effective not just after a transition period of three years, but already with entry-into-force, such as the responsibility for maintaining a database of National Rules. This aspect again will require us to plan with appropriate contingency.

As a final aspect in these considerations, ERA might see further evolutions from 2017/18 onwards, depending on the entry-into-force date of the Fourth Railway Package and on the interaction with key stakeholders, in particular, the National Safety Authorities. We explain in this document how various scenarios would complement the work ongoing.

We are convinced that this first edition of the ERA Single Programming Document (combining multi-annual and annual perspectives) will strongly 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.

List of Acronyms

BoA	Board of Appeal
CSIs	Common Safety Indicators
CSMs	Common Safety Measures
CSTs	Common Safety Targets
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
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
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
TSI	Technical Specifications on Interoperability
TSI CCS	Technical Specifications on Interoperability Control Command Signalling
UNCRPD	European Act implementing the Convention on the Rights of Persons with Disabilities of the United Nations
WG	Working Group
WP	Working Party

Mission Statement

The Agency's **foundation** is strictly defined in Article 1 of Regulation (EC) No 881/2004 as amended by Regulation 1335/2008. It is:

'*to contribute, on technical matters, to the implementation of the Community legislation aimed at improving the competitive position of the railway sector by enhancing the level of interoperability of railway systems and at 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.*'

This is reflected in its vision and mission statements:

The Agency has the **vision** 'to make the railway system work better for society'.

ERA's **mission** is to contribute to the creation of an integrated European railway area where railway undertakings can run trains and organise their transport services freely, safely, effectively, and without interruption, allowing the rail transport sector to realise its inherent competitive advantages in relation to other transport modes.

The Agency defines its core **values** as:

- being a driver of improvement through innovation;
- respecting others and believing in progress through diversity;
- building an independent and transparent position based on facts.

Section I – General Context

The Agency 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 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 (as laid down in the ERA founding regulation). 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 European Commission has proposed in the Fourth Railway Package to entrust the Agency with the tasks of issuing European-wide Safety Certificates for Railway Undertakings, and authorisations for vehicles and ERTMS subsystem. This would further lower the administrative barriers that will remain after the 2nd and 3rd railway packages have been fully and properly implemented.

In 2015, the Agency started a prototype prioritisation scheme, based on an early assessment, to be deployed in 2016 for all projects in order to be able to prioritise and plan the workload and the resources, and to set deadlines. Based on these assessments, 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.

This Programming Document outlines the Agency's activities for 2016-2018. The structure of the Programming Document follows the Agency's activity-based management approach and is divided into 5 activities, each with a set of objectives, outputs and actions, expected outcomes, indicators and targets through which achievements can be monitored, measured and reported.

Section II - Multi-annual programming 2016-2018

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 and vehicle and type authorisation, 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

Regarding its different activities, the Agency therefore needs
- to further develop a common approach to Safety in the EU railway system, based on a **common 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 barriers**, to help the actors implement and apply the **scope extended TSIs** and to **complete the cleaning up of National Rules** and the **harmonisation of the vehicle authorisation processes** in the different EU Member States taking account of the changes to the process foreseen in the Fourth Railway Package. The Agency will learn from the return of experience of the application of TSIs and use this learning, **combined with a holistic and systematic economic scrutiny** as part of the revision of the TSI system, to ensure maximum added value.

- to complete the implementation of the **railway registers** and their rationalisation to reduce administrative burdens and undue costs for the Member States and stakeholders.

- to develop tools necessary to improve further quality and trust among the actors, such as an accreditation and recognition scheme for Notified Bodies.

- to prepare for the functions of the Fourth Railway Package, in cooperation with all stakeholders **participating in learning cases, assisting the commission in the developments of a the common processes and documentation for the new regime** and to prepare the **"One Stop**

Shop" database, including all supporting aids, complemented by shadow running as for the Safety Certificates.

- 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.   In addition, the Agency will **increase its role in the checking of European ERTMS infrastructure projects compliance with the specifications,** and to also establish, in collaboration with all stakeholders and concerned actors, an **optimised coordination of ERTMS development and deployment** to ensure a single transparent, stable, affordable, and interoperable ERTMS system throughout Europe. The Agency will be the natural place to bring forward, together with all actors, the **ERTMS breakthrough programme**, facilitating a platform for the relevant stakeholders.

- 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 inventory of assets foreseen to provide information for customers to ease their access to the railway system.

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.

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 our 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.

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 **focus more on our core business and output for 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 ERA 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 2016-2018

2.1 A Harmonised Approach to Safety

Overall, the Agency facilitates the development of EU railway safety specifications and drives the change to a pro-active EU railway safety culture with common safety criteria, targets, monitoring and methods. It supports the understanding and efficient application of the framework and the content, provides optimised tools and uses monitoring outputs to target areas for improvement. With a Fourth Railway Package in force, it would act as the One Stop Shop for issuing EU Single Safety Certificates.

More specifically, the Safety Regulatory Framework has been established in previous years but early feedback on how the processes were working highlighted the need for change. The European Commission's proposals in the Fourth Railway Package represent an evolution of the Safety Regulatory Framework. The Agency has therefore developed a programme plan setting out milestones to deliver a Single Safety Certificate. The safety programme not only reflects the preparatory phase but also calls for the development of a strong focus on enhanced safety performance monitoring and on the development of a shared understanding of how the framework should be applied, including the results of the Regulatory Monitoring Matrix which was established in 2014.

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 the risk acceptance criteria (RAC). This supports the technical harmonisation process delivered through TSIs.

The aim is to have the framework, 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, such as with the revision on the Common Safety Method (CSM) on Risk Assessment (RA) and Supervision (SUP). This collaborative working relationship is essential to support the increased competitiveness of rail. The current projection shows the Agency could enter the new phase of delivering Single Safety Certificates from 2017 onwards. The Fourth Railway Package preparation is further explained under 2.5 Evaluation, Management and Resources.

2.2 Removing Technical Barriers

Overall, the Agency acts as the authority for all EU railway technical specifications and 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 a Fourth Railway Package in force, it would then act as the One Stop Shop for issuing EU vehicle authorisations.

More specifically, although the European Railway system has been a system shared by many actors ever since the responsibilities for managing the system were separated out to Railway Undertakings, Infrastructure Managers and Government, in many cases the tools necessary to manage the shared system, as prescribed in the directives, are still not fully in place and old tools appropriate only for

vertically integrated single actor systems (e.g. homologation) continue to be used for a purpose they were not intended for. To finally overcome this, the Agency

- issued its recommendations for the scope extended TSIs (last scope extended TSIs became mandatorily applicable in 2015),
- started to disseminate the further guidance to complete the common understanding on "how it's all supposed to work" (Commission Recommendation 2014/897/EC "DV 29bis") and
- issued supporting templates for the EU vehicle authorisation process.

Those elements now apply to all new vehicle projects, removing almost entirely the need to apply national rules in the authorisation process for new vehicles.

The Agency will endeavour to close the remaining open points in TSIs, in a first step in 2016, and eventually within the next general revision of the TSIs which process will begin in 2017. These revisions will take on-board the changes brought by the Fourth Railway Package in the content of TSIs (eg. parameters to be checked to ensure compatibility of vehicles with the network before authorisation for placing on the market).

In parallel, its greater involvement in real authorisation projects "learning cases" in order to understand the problems will facilitate   shadow running and the migration to the Fourth Railway Package.

In order to increase the trust in the work performed by NoBos and subsequently to allow NSAs to grant authorizations for placing in service (APIS) without any further technical checks, the Agency proposed EC a harmonised sectorial accreditation scheme for the notified bodies. From 2016 onwards this will be followed by a support to national accreditation bodies and to national recognition bodies in applying the sectorial scheme via European Cooperation for Accreditation (EA). In parallel the Agency will design, implement and carry out a system to support EC in monitoring the notified bodies by data collection, auditing and inspection.

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 ERA regulation part of the Fourth Railway Package.

2.3 A Single European Train Control and Communication System

Overall, the Agency acts as the de facto system authority for the harmonized ERTMS specifications and for their coherent implementation in the railway system. It guides the understanding and efficient application of the framework and of the standards and drives improvement on the basis of progress monitoring. With a Fourth Railway Package in force, it would then assume the system authority role formally, also with a specific role in the process leading to the authorization of ERTMS implementation projects.

Building on the successful delivery of the European Train Control System (ETCS) baseline 3, of the Global System for Mobile communications — Railways (GSM-R) specifications and of the harmonized Operational Rules, the focus in the ERTMS field is progressively moving to the follow-up of the development, testing and implementation, with targeted dissemination and monitoring activities to 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 has been defining 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.

In the upcoming years, the Agency will see an increased cooperation with the European Commission and the INEA Executive Agency in evaluating specific ERTMS projects, with the aim to help ensuring that ERTMS projects receiving EU money are in conformity with the essential requirements and, indeed, contribute to the progressive deployment of a single European train control system.

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 authorization for ERTMS.

2.4 A Simplified Access for Customers

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.

More specifically in the field of simplified system access, the TSIs on telematics applications for passenger services (TAP TSI) and for freight (TAF TSI) are addressing issues related to railway customers, aiming at harmonizing the exchange of information between actors. The ERA change management conducted as 'Telematics applications system authority' in the next years will see the work to close the open points on e. g. electronic ticketing, on a transmodel of timetables and tariffs etc. and to guide, support and monitor the rail sector and Member States when implementing the telematics TSIs, including the small and medium-sized companies. The work of the Agency shall lead to an implementation of all the TAF/TAP functions among all actors as of 2017.

In the planning phase RUs need to check the compatibility of their trains with the different routes and the administrative status of the used vehicles. 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 Centralised Virtual Vehicle Register (ECVVR)
- European Register of Authorised Types of Vehicles (ERATV)
- Vehicle Keeper Marking Register (VKMR)

The Agency performs the maintenance of the tools, their continuous improvement and supports the MSs and stakeholders in their implementation and use. Beyond this, the Agency in close collaboration with the stakeholders works on the consolidation of the registers into an integrated system also taking into account the provisions of the 4th Railway Package..

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. The following chart provides an overview of the different phases over the next few years for the Agency to prepare and implement in due time of the entry into force of the Fourth Railway Package.
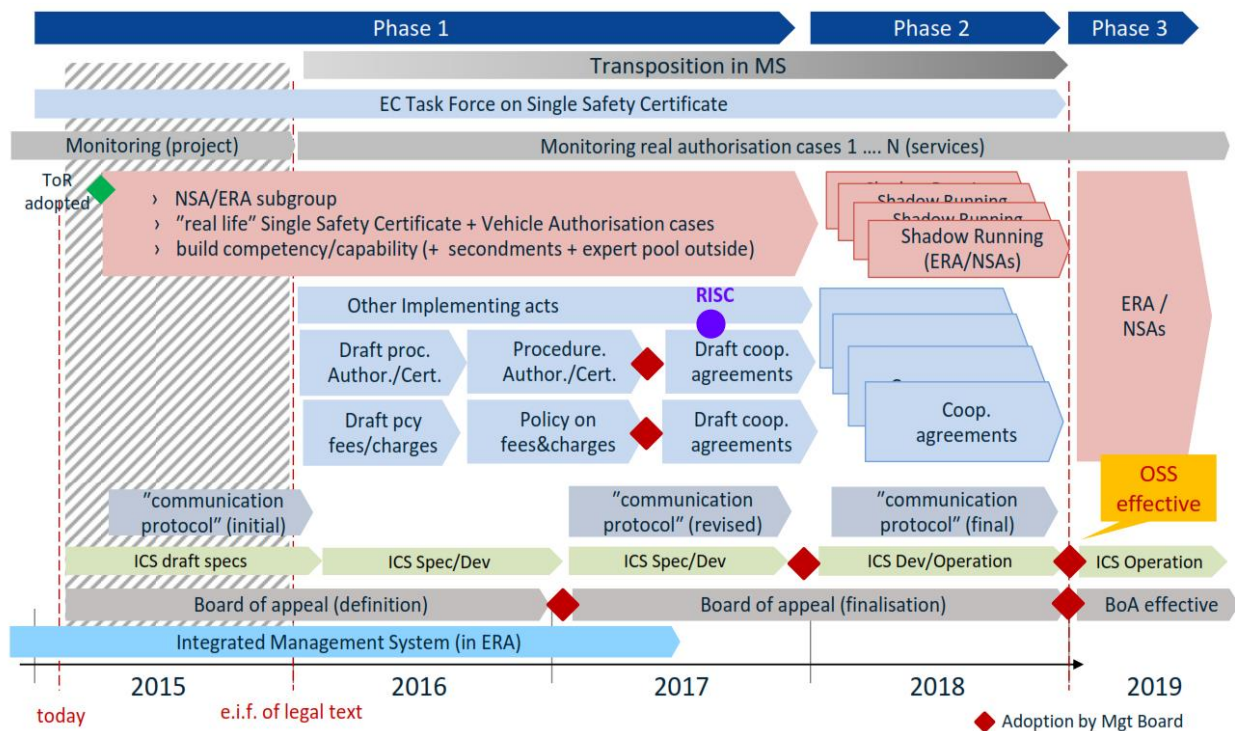
In the next 3 years, the Agency will also deploy its Communication Strategy in line with the planning, and optimise its internal horizontal processes, such as e-processes, sound financial management.

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.

3. Human and financial resource outlook for the years 2016-2018

3.1 Overview of the past and current situation

3.1.1 Staff population overview for 2014

Activity	Unit Staff		% planned vs actual
	FTE planned	FTE 31/12/14	
Developing a harmonised safety regulatory framework	7.35	6.35	86%
Monitoring the railway safety	12.39	12.39	100%
Facilitating the improvement of the safety regulatory framework	16.08	15.08	94%
Developing a harmonised framework of technical specifications and their application for vehicle authorisation	24.05	23.05	96%
Monitoring the framework implementation and performance for vehicle authorisation	6.18	6.18	100%
Facilitating the improved performance of the framework for vehicle authorisation	16.68	16.68	100%
Developing ERTMS (as System Authority)	5.42	5.42	100%
Monitoring and Facilitating ERTMS implementation and performance	6.64	6.64	100%
Developing, Monitoring and Facilitating improved system access	8.65	8.65	100%
Operational activities across several strategic priorities	9.55	8.55	90%
Corporate Services	33.00	32.00	97%
Agency Management	10.03	10.03	100%
Grand Total	**156**	**151**	**97%**

The gap between the planned FTE number (156) and the staff employed at the end of 2014 (151) resulted from the open vacancies due to natural fluctuation and vacancies which could not be filled in 2014. At the end of 2014, 8 offers were sent to candidates to take up a post early 2015.

3.1.2 Expenditure for 2014

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

As compared to 2013 the total amount of administrative expenses has slightly increased, mainly due to the purchase of additional office supplies and other services provided.

The **operational expenditure** includes expenses related to the operational activities of the Agency. They show a decrease of 10% as compared to last year.

The decrease of 10% is a combination of:

› A decrease of 15% of the amount paid for the reimbursement of staff mission expenses and reimbursements done to experts participating in working groups organised by the Agency. The latter is primarily due to a significant decrease in the number of meetings organised in the course of 2014.

› A decrease of 9% in the IT-expenses to support the operations. This decrease can mainly be explained a lower amount for IT-development costs.

› An increase of almost 300% of the information and communication costs primarily related to the costs linked to the participation to the Innotrans conference in Berlin and the costs linked to the quality management project.

3.2 Resource programming for the years 2016-2018

3.2.1 Financial 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, 00 Mio€ (without the EFTA contribution) with 134 TA, meaning a further reduction of 3 posts compared to 2015. Additional information can be found in Annex I and II.

3.2.2 Human resources

A) New tasks

Overall, in the next few years, the Agency will need to continue finalising the full scope of TSI and Common Safety Method (CSM), the next maintenance release of the European Rail Traffic Management System (ERTMS) and the essential of the work in the Cross Acceptance field, while also dedicating important means to communication, dissemination and training.   These activities and projects will take the Agency well beyond cruising speed in the coming years. The 165 FTEs planned for 2015 will therefore at least continue to be required in 2016. The regular evolution in the tasks can, as explained below, be absorbed through efficiency gains with the following exceptions:

In 2016, there will be particularly increased demands on the Agency in the following two areas which will require a review of the staff planning:

- the preparatory work enabling ERA to take up the new tasks under the Fourth Railway Package has to be intensified;
- in the area of ERTMS, ERA is required to increase its involvement in the deployment phase;

With the entry into force of the Fourth Railway Package, ERA will become important and entirely new tasks such as issuing safety certificates and vehicle authorisations. The skills profiles required for these tasks will be similar to those currently existing at ERA (e.g. engineers/project officers, lawyers…) and used for the preparatory work. The start of these activities depends on the political decision making process which is ongoing. In the original planning the new tasks were provisionally foreseen as of 2017. Still, the very significant work required to prepare the Agency for these tasks has repeatedly been underlined by the legislator and will have to be intensified in 2016 involving all important stakeholders (in particular the National Safety Authorities and the Commission). However, with the reduction by two posts for Temporary Agents in 2016 (to be reintroduced in 2017) proposed in the Commission's planning, this preparatory work cannot be intensified as needed considering the Agency's existing tasks under the present legislation.

For ERTMS, the ambitious Breakthrough Programme of the European Coordinator, together with the requests of the Commission, consistently demand to the Agency:

- to reinforce the follow up of implementation projects, notably delivering technical evaluations to INEA and DG MOVE on funded projects, which will be significantly expanded with the CEF programme to include also Cohesion Funds;
- to support activities of the European Deployment Manager;
- to support the Commission with the revision of the ERTMS Deployment Plan;
- to accelerate the work on national rules relevant for ERTMS and on the harmonization of related engineering and operational rules for cross border traffic;
- in addition, the Agency will facilitate the ERTMS Stakeholders Platform.

As a consequence of the above, this plan proposes two measures:

- to increase the number of Contract Agents by six (to 30) from 2016; and
- to advance the introduction of one post for Temporary Agents original foreseen for 2017 to 2016.

For the years 2017 and 2018 it is proposed to stay with the number of posts for Temporary Agents proposed by the Commission in its Communication from 2013.

Following a political agreement on the Fourth Railway Package, staff numbers are foreseen to increase in 2017 and 2018 in line with the figures in Annex III.

B) Growth of existing tasks

Under the general Agency's objective of developing an EU Interoperability and Safety framework, the Agency is focussing its tasks in the next years (horizon 2020) on implementing four operational activities:

1. A harmonised approach to Safety
2. Removing technical barriers
3. A single European Train Control and Communication System
4. Simplified access for customers.

For the 1st activity, the main developments ended in 2012 (less than 10% of the available staff for this priority still working on development) so that a high transfer of staff to the monitoring and facilitating tasks is taking place over the next years.

For the 2nd activity, the main developments have come to an end at the end of 2014, using approximately 60% of the resources in this domain. Since 2014, a similar shift to the monitoring and facilitating tasks takes place.

For the 3rd activity, the balance slowly moves from a 50% development still in 2014 to higher levels in monitoring/facilitating in the years after 2014 (monitoring of ERTMS investment projects and others).

As the Fourth activity is relatively new as a focal domain (the priority was set in 2012), the development work took around 50% of the available resources over the last 1-2 years, then moved to a higher allocation of staff to monitoring and facilitating.

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 mainly carried out by the Resources and Support Unit, the Corporate Management and Evaluation Unit, international activities and research related activities (including support to Shift²Rail).

In the 1st and 2nd activity, the preparation for the future tasks under the Fourth Railway Package has required resources since 2014.

C) Efficiency gains

The Agency has started in 2012 with the development and the implementation of an Integrated Management System (IMS) in line with ISO 9001 requirements. IMS has been providing and will continue to do so, according to a programme planning, the necessary basis to ERA staff for clear and better defined processes, procedures, standards, templates and some others including the necessary training which are the indispensable basis for efficiency gains.

In 2014, the Agency documented its planning, monitoring and reporting process with the start of the development of an appropriate IT tool, which will enable ERA to further support its operational and horizontal activities.

As of 1 January 2014 the weekly working time has increased from 37.5 hours up to 40 hours and this additional time has been contributing to efficiency gains.

The Agency has realised a 5% reduction in posts (from 144 in 2012 to 137 in 2015) for Temporary Agents through efficiency gains without having to deny major tasks.

D) Negative priorities/Decrease of existing tasks

Please see the explanations in section 5.2 (new tasks). The evolution of the downsizing activities follows the inverse logic of the increasing tasks.

The development tasks are most likely to decrease over time to a "maintenance level" (where applicable, see section 5.2).

Staff carrying out these tasks will evolve more in the direction of monitoring and especially facilitating tasks to be able to really implement what has been developed and to close the feedback loop into necessary amendments of the developments. The advantage of this principle is that the know-how regarding the aim of the developments (what has been their objective?) is fully known among the concerned staff and leads to a high work efficiency in the facilitation area and in the feedback into the functioning.

E) Redeployment of resources in view of budgetary constraints

The distribution of staff on the 4 EU operational activities and the horizontal activity, including the types of tasks as described above, is under constant prioritisation discussion with the Commission and other stakeholders (such as Member States, Railway Sector,…).

The prioritization criteria used for defining the right allocations of staff in the work programme have been (still on a more qualitative basis):

- contribution of a task to a strategic priority   (strategic compliance)
- economic impact of a task compared to other tasks   (importance of the task in the overall task portfolio)
- political/stakeholder necessity to perform the task   (urgency)
- tangible planning and sensible resource use   (efficiency)

Those criteria will be developed and refined further in the future regular discussions for allocating the resources at the right place, especially to filter out the tasks with the lowest added value to cope with the required efficiency gains. In 2014, resources were rather stretched to the fullest, and additional tasks without extra resources would most likely result in re-prioritising and possibly discarding existing tasks which can also be expected for 2015 onwards.

Consequence of the above on the number of staff in the Agency for the next 3 years:

Most of the main needs of the following years can be covered by existing means through the mentioned prioritisation and further efficiency gains.

Still, ERA intends to hire six additional contract agents in 2016 to help the agency manage the new tasks related to the 4th Railway Package. The additional staff will be financed within the limits of the financial resources for 2016 foreseen for ERA in the Commission's communication from July 2013 on the programming of resources for decentralised agencies 2014-2020.

In addition, it is proposed to advance the introduction of one Temporary Agent post for work in relation to the Fourth Railway Package from 2017 till 2016. In 2016, this staff will mainly be involved in the preparatory work enabling ERA to fulfil its role under the Fourth Railway Package. Later, they will become part of the team actually implementing the Fourth Railway Package.

Section III - Annual Work Programme 2016

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 in 2016 further develop and implement a programme for the Single Safety Certificate, broaden the scope of the Monitoring Matrix, support the improvements of the Train Drivers' Directive (TDD), amongst others. 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 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. The Agency will also further simplify the process for authorisation by publishing and aligning the Member States' national legal frameworks (NLF) and national reference documents (NRD). 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 implement and improve the railway registers and to support the stakeholders in their use.

Concerning notified bodies the Agency will follow up the implementation of the sectorial accreditation scheme and design the system for monitoring.

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 2016 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 Quality Management (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 Package, the Agency has set out an implementation programme, detailing the different phases over the next year, focusing in 2016 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 2016:

	Key Performance Indicators 2016	Activity
1	90% achievement of all outputs using financial and human resource planning 2016	ERA
2	95% timely delivery of issuing reports, advice and opinions	ERA
3	Successful implementation of the initial activities after entry-into-force of the 4th Railway Package, delivery of the first mock-up version of the Information and Communication System implementing the One-Stop Shop	ERA
4	95% implementation of the establishment plan	Evaluations, Management and Resources
5	100% delivery of the priority countries programme to key milestones 2016 and to programme 2017 to contribute to the improved safety performance of those countries	Harmonised Approach to Safety
6	100% delivery of an information system to facilitate exchange of safety defects/issues between RUs/IMs/ECMs and Manufacturers	Harmonised Approach to Safety
7	Regular progress monitoring of the implementation of the plan (Concrete Actions) for the Agency to assist MS to fully "clean up" and formally notify in NOTIF-IT their National Technical Rules to reflect the scope extended TSIs	Removing Technical Barriers
8	Creation and 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	90% execution of payment vs. committed appropriations (average all types of appropriations)	Evaluations, Management and Resources
12	No financial loss, business disruption, or reputational risk	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 common safety culture. 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 Commission proposals in the Fourth Package already show the need for cooperation agreements in the fields of safety certification and authorisation for placing in service 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 2016 also continue developing and implementing the Single Safety Certificate programme, broaden the scope of the Monitoring Matrix, and support the improvements of the Train Drivers' Directive (TDD).

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

#	Link to multi-annual objective	Objective	Main outputs/actions/deliverables	Indicator	Achieved in 2015	Target in 2016	Expected outcome
1	An Harmonised approach to Safety	Preparation of the Single Safety Certificate	Delivery of the part of the fourth Railway package program related to the Single Safety Certificate As presented to the Board and to the EC TF for the 4th Railway package	Milestones from the fourth Railway package program achieved	Revision of the plan to take into account the last version of 4RWP text.	Cooperation arrangement framework between NSAs and ERA for delivering Single Safety Certificate (target mid 2017)	Simpler, harmonised system for railway safety certification.
						Single Safety Certificate delivery process	
						Business needs for the One Stop Shop development (Single Safety Certificate part)	
						ERA Application guide for Single Safety Certificate (target may 2017)	
						Learning cases on Safety Certification with selected NSAs	
			Revision of the Common Safety methods on Conformity Assessment (Commission Regulations n°1158/2010/EU and 1169/2010/EU)	CSM recommendation issued	4 Working Party meetings	Prepare final recommendation to EC (target May 2017)	Common approach to assessment of safety certificate applications.
					Delivery of the final Working papers and guidance before consultation		
			Revision of the Common Safety method on Supervision (Commission Regulation n°1077/2012/EU)	CSM recommendation issued	4 Working Party meetings	Prepare final recommendation to EC (target May 2017)	Common approach to supervision by NSAs and cooperation

					Delivery of the final Working papers and guidance before consultation		between NSAs and ERA, consistency for sector. Convergence of NSA maturity levels
			Development of a framework for a pool of NSA experts in line with the implementation of the 4RWP.	Pool is created and active.	Participation to NSA Sub-group on cooperation	Contract framework between ERA and NSA's for delivering expertise in the field of Safety Certification (target 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.
			Revision of Commission Regulation (EC) No 653/2007 for the development and adoption of common templates and forms	Recommendation issued	Delivery of a Working paper to EC	Proposal to EC on the Practical arrangements for delivery of the Single Safety certificate (EC Implementing Act)	Clearer, simpler process for safety certification

2	An Harmonised approach to Safety	Learning for better Safety	Support the development of a system for NIB peer review	Support provided	NIB's establish a peer review system.	Provide support to the NIB network for developing the processes, requirements and assessment criteria for peer review	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	Network Engagement survey - closure of issues raised.	3 NSA network meeting + 3 NIB network meeting + 3 meetings of Freight focus Group + 3 meetings of cooperation of ECM certification bodies+ 3 meetings of JNS	3 NSA network meeting + 3 NIB network meeting + 3 meetings of cooperation of ECM certification bodies+ 3 meetings of JNS and 3 meetings of Freight focus Group;	Greater consistency of approach by National bodies and sector.
				JNS issues raised and closed			
				Reviewed procedures		Fusion of JNS and Freight Focus Group including revision of procedures.	

			Definition and evaluation of a system allowing sharing of data and information on reported occurrences in Member States. Including the sharing of safety alerts. The Agency will take into account the SIS system and the need to ensure coherence and efficiency.	Commitment of stakeholders to use the COR. Number of Reported Occurrences shared in the system.	Study on national reporting systems and analysis of results, including an impact assessment. Study on safety alerts. Study on existing risk models.	System and regime development, to ensure practical tool, which is targeted to users who are ready and willing to use it, that is coherent and efficient across both reporting purposes. Scope and procure build of system, including complementary risk model, through 2016 and 2017. Recommendation on need for additional legislation.	NSAs, RUs, IMs and NIBs can consult occurrence reports submitted by other actors, to enhance risk management and risk analyses, in the context of the development of a common occurrence reporting scheme
3	An Harmonised approach to Safety	Monitoring Safety performance	NSA Cross-audits	Final audit reports to programme deadlines.	Completion: Romania, Austria, Norway, Denmark, Italy & Croatia	Completion: Lithuania, Slovak Republic, Latvia & France	Harmonisation of NSA performance and approach. Cross-audit program improvement for better efficiency.
					Start: Lithuania, Slovak Republic, Latvia & France		
			NIB Assessments	Assessment reports to programme deadlines.	Assessments of Spain, Croatia, Romania & Estonia	Assessments of NIBs Lithuania, Latvia & Slovak Republic.	Harmonisation of NIB performance and approach.
			Matrix evaluations & revision of matrix tool	New version delivered.	Completion: Croatia, Estonia, Romania	Complete: France, Lithuania, Latvia, Slovak Republic	Harmonisation of regulatory structures and performance at Member State level.
				Matrix evaluations completed against plan.	In Progress: France, Lithuania, Latvia, Slovak Republic		
			Safety overview,	Report accuracy	Gathered and	Agency report.	Consistent,

			Safety Performance Report, Sheets, Thematic reports		analysed Common Safety Indicators data, including safety overview publication.		reliable safety performance data drives better policy decision-making.
			Annual assessment of achievements of Safety Targets.	Annual Assessment accuracy	Recommendation on revision of CSM/ CSTs delivered to EC.	Delivered annual assessments.	Consistent, reliable safety performance data drives better policy decision-making.
			Alignment of general statistics EU legislation with CSI/CST legislation (Regulation (EC) No 91/2003 of the European Parliament and of the Council of 16 December 2002 on rail transport statistics).	Absence of double reporting and of the use of non-harmonized definitions.	Support to European Commission and European Parliament in legislative processes.	More coherent and higher quality of rail safety data	Eurostat/EC and Agency published data are consistent and robust.
			Coordination with EC, Eurostat, PRIME (Platform for Railway Infrastructure Managers in Europe), RMMS			More coherent and higher quality of rail safety data. Achieving a better understanding of criteria definition application	
			Methods and approaches for assessing safety performance, including safety maturity.	Produced methodologies, catalogues of indicators and their use.	First methodological drafts.	PRIME KPIs, aligned with Agency indicators, that drive decision-making and performance consistent with European Commission rail policy objectives	Policy coherence

			Advice to the Commission on Railway Safety for 6 Priority Countries. Monitoring of any National Action Plans	Advice delivered to timescales, support provided	Countries in Progress: Croatia, Romania, Slovak Republic, Lithuania, Latvia, Estonia	Countries in Progress: Croatia, Romania, Slovak Republic, Lithuania, Latvia, Estonia,	Rate of convergence of safety performance is increased.
						Issue the advice to the Commission for Croatia, Estonia and Romania.	
						Program management: Review the evaluation processes for developing the advice after the three first priority countries and develop the processes for follow-up support (working with Priority Countries on improvements)	
			Functioning system for registration of safety certificates, licenses and ECM data	Number of valid and accessible records in the database	New functionality for assessment bodies and ECM Certification Bodies recommendations. Ongoing maintenance, support and improvement.	Specify functionality for safety certificates in accordance with CSM revision. Ongoing maintenance, support and improvement.	Published and accurate information supports an open European rail sector, including NSA cross border supervision and assessment

			To prepare the 4th RWP package on "Monitoring of the performance and decision-making of national safety authorities" (NSA audit according to ERA Reg. Art. 31) To support the audit programme To facilitate peer to peer coaching.	Management board approves the proposed approach to auditing of NSAs	Prepare the evolution from current Cross-audit program to "Art. 31 audit" program	Review Pilot and address identified issues. Implement revised concept. Policy, working methods, procedures and practical arrangements approved by the Management board. Audit protocols and program established. Training program set up. Pool of experts established.	Closer Agency/NSA collaboration. Enhanced Audits.
4	An Harmonised approach to Safety	Improving Safety performance	Promoting a positive safety culture to ensure a high level of safety without increasing the regulatory burden on the sector.	Targeted dissemination	Scope and methodology established. Initiated. Dissemination programme established. Delivery initiated.	Delivery of the report by June 2016	Harmonised approach to safety increasingly mature understanding of Safety Management Systems.
			Deliver a programme of activities to raise awareness of the benefits and promotion of safety culture amongst European authorities and organisations			Implementation of the programme.	
			Targeted dissemination on SMS issues identified by the Matrix results and Sector feedback.			Follow up Matrix assessments for Pilot Countries.	
			Organising/Attending workshops. Support to the Commission on railway matters in relation with third	Support provided	Participation to meetings organised by commission or OTIF. Around 10/year and	Participation to meetings organised by commission or OTIF. Around 10/year and	Greater harmonisation across Member States, beyond EU borders. Greater

			party organisations (OTIF, UNECE) and Dangerous Goods.		3 workshops organised on Transport of dangerous goods management - Establishment of ERA Transport of Dangerous Goods extranet	3 workshops organised on Transport of dangerous goods management -	harmonisation of approach across modes for dangerous goods.
			Support for implementation of CSM Risk Assessment and CSM on monitoring. Provision of training, guidance and establishing a peer review process	% of bodies trained	CSM Risk Assessment (assessment bodies art 14(2) of 402/2013): 1 session training for accreditation and recognition bodies.	CSM Risk Assessment (assessment bodies, art 14(2) of 402/2013): 2 sessions training for accreditation and recognition bodies.	Clearer, more robust application of CSM Risk Assessment and CSM on monitoring.
					CSM Risk Assessment: Recommendation on revision of Regulation 402/2013 addressed to COM (Design Targets). Revised Regulation on CSM RA (2015/1136) adopted		
				Provision of guidance	CSM Risk Assessment: Guidance: Development of a guideline to support CSM RA (design targets and	CSM Risk Assessment: Guidance: Publication of a guideline to support CSM RA (design targets and assessment bodies)	

				assessment bodies)		
			Provision of a scheme		Development of scheme for peer review of assessment bodies including procedures, requirements and assessment criteria (article 14(1) of Regulation 402/2013)	
			Provision of report		Establishment of system of monitoring of implementation of CSM on monitoring.	
					Issue report on implementation of CSM on monitoring (Article 5 of Regulation 1078/2012)	
			Integrating human factors into railway operations. Focus on developing a mature approach to the way the human contribution to safe technical and operational systems are designed and managed.	Spread of good practice to senior rail industry leaders, together with usable and practical measures for effective and wider application.	Delivery of agreed work programme, leading to Workshop to disseminate results.	1 seminar network meeting 4th quarter 2016 followed by implementation of measures to support industry.	Better integration of human factors into railway operations.

			Implementation of new IPA program	Support provided	New contract signed.	Provide dissemination activities to neighbouring countries	Better and quicker implementation of the EU railway approach and legislation within countries on the way to accession.
5	An Harmonised approach to Safety	Managing Maintenance risks	Extension of ECM Scheme to all Rolling Stock and certification of maintenance workshops.	ECM regulation amended	Implementation report addressed to EU commission in March 2015 and Mandate for extension agreed in June 2015	Obtain revised mandate for an extension of scope of ECM certification and certification of maintenance workshops based on the requirements in the revised legal text.	Greater Harmonisation of Rolling Stock Maintenance
	An Harmonised approach to Safety		Safety Critical components (4th railway package - article 17 of Agency Regulation - article 28 of Recast Safety Directive)	Report provided		Agency report on requirements to define the safety critical components, traceability, marking and maintenance	Greater Harmonisation of Rolling Stock Maintenance

5.1.3 Activity 1 - Harmonized Approach to Safety – Resources

FTE	Budget Title 3 (Operational)	Total budget
40.50	1,581,805	6,405,577

5.2 Removing Technical Barriers

5.2.1 Overview of Activity 2 - Removing Technical Barriers - Overview

Since the responsibilities for managing the system were separated out to railway undertakings, infrastructure managers and government, the European railway system has been a system shared by many actors. In many cases the tools necessary to manage the shared system, as prescribed in the directives, are not fully in place. Instead, old tools appropriate only for vertically integrated single actor systems (e.g. homologation) continue to be used for a purpose they were not intended. This is one of the reasons why the process of vehicle authorisation appears to be rather difficult and expensive in some Member States; many diverging designs continue to be produced and authorised specifically for individual RUs rather than vehicle types being placed on the market already authorised for several Member States. The Agency has been working hard to help the Member States move to a more satisfactory situation and in 2016 the implementation of the scope extended TSIs will continue. The application of the scope extended TSIs has removed the need to apply national rules in the authorisation process for new vehicles for all parameters except those related to legacy interfaces, specific cases not described in the TSI and TSI open points. The Agency as part of a rules strategy will in 2016 continue, , with the structured approach to facilitate and monitor the Member States "cleaning up" of their national rules to remove redundant national rules to reflect the scope extended TSIs. The target will be for the Member States to have completed the cleaning up and notification of their national rules by end of 2016. The Agency will complement this with the reporting and tracking facility introduced in 2015 to allow the sector to address "questionable" rules to the Agency in order that it may follow them up with the NSAs/Member States and where necessary the Commission. It will follow up / prioritise the "Top 10 barriers" and their economic effect highlighted by the sector representative bodies.

In 2016 the Agency will continue facilitating and monitoring the implementation of the scope extended TSIs. The Agency will also endeavour to close some of the remaining open points, to specify conditions for mutual recognition of the first authorisation of the rolling stock sub-system and to deal with issues arising from the implementation in field of the TSIs (recommendation for limited revision of the TSIs "freight wagons" and "Locomotives and passenger rolling stock").

Many of the problems relating to vehicle authorisation derive from a lack of a common understanding of the European process, rules, roles and responsibilities. During previous years, the Agency developed and published a common template flow chart of the European authorisation process so that Member State could document and publish their National Legal Frameworks (NLF) that implement the EU process for authorisation. This has been updated to reflect the clarifications of Recommendation 2014/897/EC ("DV29bis"). With the implementation of the 4th Railway Package leading to both ERA and NSAs issuing authorisations, it is essential that all actors migrate fully to the common process. A priority for the Agency in 2016 will be to develop a proposal for the Implementing Act and associated guidance that describes the practical arrangements for authorisation. This will specify how the requirements for the vehicle authorisation shall be fulfilled by the applicant and will list the documents required, the details and stages of the process and how the requirements laid down shall be complied with by the Agency and the national safety authority through the different stages of the application and authorisation process.

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 4th Railway Package and will report the Member States progress to the Commission. It will start preparation for the publication of the Members States frameworks for authorisation of fixed equipment as envisaged by the 4th Railway Package

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 NA view, give advice on the EU framework and identify and follow-up problems discovered with the framework.

As part of the rules strategy the Agency introduced and continues to help the Member States populate the Reference Document Database (RDD) containing all the national rules for vehicle authorisation and their cross-acceptance equivalence classifications in form of National Reference Documents (NRD). The Agency also assists the Member States to formally notify their national rules in the NOTIF-IT database set up by the Commission.

In 2016 to complement the Implementing Act on Vehicle authorisation, building upon the work done on cross acceptance and the existing EC Decision on the Management and Maintenance of the Reference Document Database, the Agency will develop proposals for the implementing act on mutual recognition / cross acceptance envisaged by the 4th Railway Package.

 . In 2016 the Agency will commence development of the "Single Rules Database" envisaged by the Fourth Railway Package to replace the current TRIS, NOTIF-IT and RDD databases. To promote and facilitate the common approach in the "real world", the Agency will, carry out a considerably higher number of training and dissemination activities in a structured manner.

The business needs for the vehicle authorisation part of the One Stop Shop Database will be 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.

A key element in the cost of vehicles and their authorisation and leading to the poor competitive position of rail is the diversity of networks both between Member States and, in some cases, within Member States, which according to an assessment by the Agency accounts for about 50 % of the cost of vehicle authorisation. The Agency will increase its efforts to influence the development of the networks in MS in order to avoid further increase of network diversity and to promote harmonisation. In consequence the Agency will analyse further the possibility to make the processes for authorisation of network components transparent and to facilitate cross-acceptance / cross-authorisation also for components currently not considered by TSIs.

In order to increase the trust in the work performed by NoBos and subsequently to allow NSAs to grant authorizations for placing in service (APIS) without any further technical checks, the Agency proposed EC a harmonised sectorial accreditation scheme for the notified bodies. In 2016 the Agency will support EC in the technical debate for the endorsement of the proposed accreditation scheme. Afterwards the Agency will establish a practical procedure with European Cooperation for Accreditation (EA) to support national accreditation bodies and national recognition bodies in applying the sectorial scheme. In parallel the Agency will in a first phase design a system to support EC in monitoring the notified bodies.

Following the creation of an ISO (International standards organisation) committee on railway standards, railway specifications are becoming global documents in increasing number. To take account of this and to reflect the unique status of ERA, the TSIs, CSMs and other Agency outputs the Agency, with its equivalents around the world, will further develop its international relations strategy.

The Agency will further develop its international relations strategy to promote the use of TSIs, CSMS and other Agency outputs as global reference standards through appropriate partnership agreements with relevant organisations (e.g. OTIF, ISO). International relations and stakeholder management is further covered under Activity 5 "Evaluation, Management and Resources".

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

#	Link to multi-annual objective	Objective	Main outputs/actions/deliverables	Indicator	Achieved in 2015	Target in 2016	Expected outcome
6	To continue to support the removal of technical barriers	Developing and reviewing TSIs	Closure of open points in INF TSI, and provisions applicable in case of upgrading and renewal	Number of open points closed	2 open points closed in 2015	Close 5 additional open points	Substitution of national rules by TSI requirements for vehicles covered by application of TSI
			Closure of open points in ENE TSI, and provisions applicable in case of upgrading and renewal	Number of open points closed	progress in activity towards closing the open point	Open point closed	Substitution of national rules by TSI requirements for vehicles covered by application of TSI
			Revision of OPE TSI (taking also into account RFC feedback) mainly :	Number of National Rules harmonised	N/A	Draft recommendation of OPE TSI revision with:	Substitution of national rules by TSI requirements for operation (2017)
			-the harmonisation of relevant National rules to be included in Appendix B.			50 % Appendix B and Appendix C	
			- Updating the Appendix C			Revised	

			TSI LOC&PAS 'Unique Authorisation' and closure of open points, and additional EC verification in case of modification to a type	Recommendation issued	Draft recommendation	Final recommendation	Substitution of national rules by TSI requirements for vehicles covered by application of TSI
							Simplified process for rolling stock authorisation
			TSI WAG closure of open points, and additional EC verification in case of modification to a type	Recommendation issued	Draft recommendation	Final recommendation	Substitution of national rules by TSI requirements for vehicles covered by application of TSI
							Simplified process for rolling stock authorisation
			TSI Noise follow-up – Program of revision taking into account EC communication on Noise of 2015	Revision program issued	N/A	Program of NOI TSI revision. ERA advice on NOI TSI to submit to the Commission.	Simplified requirements for vehicles authorisation and operation
			TSI SRT follow-up – Program of revision	Revision program issued		Program of revision	
							Updating of the evacuation procedures

			Revision of CCS TSI and closing open points	Recommendation issued	Recommendation on revision of TSI CCS	Agreed solution to close Reliability Open point;	Avoidance of national rules
						proposal on the inclusion of mandatory and voluntary standards in the TSI	
			Follow-up of deficiencies in TSIs	Number of deficiencies detected and corrected		Relevant Recommendations/Opinions/Advices	Improve TSIs
7	To continue to support the removal of technical barriers	Support the implementation of TSIs	Update of TSIs application guides, including guidelines for EC verification procedure	Number of guides updated	Possibly 10, but will depend on the number of requests received		Correct implementation of TSIs
8	To continue to support the removal of technical barriers	Supporting the development of EU standards and international rules/agreements	Cooperation with CEN/CENELEC in the development of EN standards	Number of standards reviewed	6 standards reviewed	6 standards reviewed	Fostering interoperability and the single railway area and the single market of rail products
				Number of request for standards	2 requests for standard	2 requests for standard	

Information exchange and participation in activities of mutual interest aiming at equivalent technical specifications at EU- and OTIF level		UTPs aligned with TSIs with extended scope	Further alignment of UTPs with the ongoing progress of TSIs	Harmonisation between EU and OTIF railway legislation
Cooperation with OSJD aimed at facilitation of the TSI revision progress	Drafting ERA-OSJD working documents according to ERA-OSJD work plan	3 ERA-OSJD working documents	2 ERA-OSJD working documents	Facilitation of TSI revisions
Cooperation with ISO aimed at observing risks due to diverging standards between CEN and ISO	ERA/ISO cooperation	First contacts with ISO aimed at an ERA/ISO cooperation (e.g. Liaison A)	Roadmap for an ERA/ISO cooperation established	Higher level of harmonisation between EU and non-EU railway standards
Support to the Commission in works on application of non-EU standardisation	Exchange of information, participation in dedicated meetings	Exchange of information, participation in dedicated meetings	Exchange of information, participation in dedicated meetings	Fostering the single market of rail products
Support to the Commission to set up international agreements to facilitate rail transport at EC borders.	Participation in relevant meetings	Participation in relevant meetings	Participation in relevant meetings	Higher level of harmonisation between EU and non-EU railway legislation

9	To continue to support the removal of technical barriers	Supporting the implementation of EU legislation	Participation in NB-rail subgroup, strategy and plenary meetings	Number of meetings	ERA in all NBrail meetings represented	ERA in all NBrail meetings represented		Increase competitiveness of railways by facilitating the authorisation for placing into service
			Issuing technical opinions and advices on various subjects (TSIs, RfU, Q&C, derogations, projects, etc.)	Number of TO/ADV	Possibly 10, but will depend on the number of requests received	Possibly 10, but will depend on the number of requests received		Fostering the single railway area and the single market of rail products
			Actions for dissemination of TSIs (workshops, conferences, publications)	Number of actions	10 actions completed	10 actions completed		Better application of the EU legal framework
			Improvement of the sectorial accreditation and recognition scheme for NoBos	Support EC in the debate for the endorsement of the proposed accreditation scheme	ERA advice submitted to EC	Accreditation scheme agreed with EC and MSs		Increase trust in the work performed by in NoBos
			Monitoring the quality of work performed by accredited/recognised NoBos	Design of a target system to support EC in monitoring the notified bodies	Analysis of the existing monitoring of NoBos	draft scheme for NoBos audits and inspections	Target system to support EC in monitoring the notified bodies agreed with EC and MSs	Increase trust in the work performed by in NoBos

10	To continue to support the removal of technical barriers	Implementation of a Rules Strategy and action plan	Regular progress monitoring of the implementation of the action plan for the Agency to assist MS to fully "clean up" and formally notify in NOTIF-IT their National Technical Rules to reflect the scope extended TSIs	Regular reporting on progress in MS		Report to each RISC on progress in each MS	Technical rules applied in MS for legacy system will be consistent with EU legal framework
			Collection and publication of National Technical Rules applicable in complement to TSIs with extended scope (i.e. open points, specific cases, legacy systems)	Strategy for a structured approach to cleaning up the rules (incl. evaluation of rules comparison with TSIs etc.)	Strategy applied	Member States fully cleaned up achieved by end of 2016	Technical rules applied in MS for legacy system will be consistent with EU legal framework Technical rules covering same requirements as TSI will be removed
			Portal for following up "questionable" rules	Number of rules investigated and resolved	Portal set up	All rules submitted investigated	Unnecessary or redundant rules will be removed
			Pre-evaluation of National Technical Rules submitted to EC for notification	% of National Technical Rules submitted by MS to EC for notification evaluated	All of National Technical Rules submitted to ERA evaluated	100 % of National Technical Rules submitted by MS to EC evaluated	Notified National Technical Rules

			Task	Baseline	Milestone	Target	Outcome
			Classification of equivalences of National Technical Rules applied in conjunction with Authorisations	Organisation & participation in XYZ meetings with NSAs to classify equivalences of National Technical Rules	Agreements of NORDIC and CE-S Group on equivalence of rules agreed, signed and publically available	TBA - derives from the strategic plan	Increase of A classified rules, reduction of proofs to be submitted in case of authorisation for vehicle in more than 1 MS
			Publishing the National Technical Rules via the Reference Document Database in the Notif-IT / single national rules database	National Technical Rules published via the Reference Document Database	National Technical Rules for XX MS published in the Reference Document Database	National Technical Rules for remaining MS published in the Reference Document Database	Improving public access to NTRs applied in conjunction with vehicle authorisation
			Support to MS and monitoring of progress with the cleaning up and notification of operational rules		National rules required to ensure safe operation in MS notified by MS to EC	National rules required to ensure safe operation in MS notified by MS to EC	Reduction of operational barriers
			Publishing equivalence of National Technical Rules via the Reference Document Database	Classification of National Technical Rules published via the Reference Document Database	Classification of National Technical Rules for 3 MS published in the Reference Document Database	Classification of National Technical Rules for further 10 MS published in the Reference Document Database	Reduction of proofs of compliance to NTRs for vehicle requiring authorisation in more than 1 MS
11	To continue to support the removal of technical barriers	Developing and implementing the framework for Vehicle Authorisation	Preparation of proposal for an implementing act on vehicle and vehicle type authorisation and associated guidance	Proposal made	Contents of IA and Guidance established to cover i)how the requirements for	Proposal made to the Commission in agreed timescale	Proposal adopted

					the vehicle authorisation shall be fulfilled by the applicant and listing the documents required ii)the details of the authorisation process, such as procedural stages iii)how the requirements shall be complied with by the Agency and the national safety authority through the different stages of the application and authorisation process		
			Publication of the Member States existing National Legal Frameworks for vehicle authorisation and preparation for publication of Member States framework for authorisation of fixed equipment	Number of MS NLF published in RDD	X MS published in RDD	All MS NLF published in RDD	Transparency of authorisation process in each MS

			Facilitating and monitoring MS migration to the EU legal framework	Level of MS conformity with EU legal framework	Pilots with one or two MS	Development and implementing a procedure and plan to facilitate MS migration to the EU legal framework	Facilitation of MS to apply the harmonised European legal Framework, Reduction of administrative burdens for applicants requiring authorisations for placing into service
			Development of proposals for an Implementing Act on Mutual Recognition/cross acceptance	Proposals ready	Table of contents of IA and guidance established	Proposal submitted to EC in time	Common understanding and application of Mutual Recognition under the 4RWP
			Learning cases	Target number of learning cases carried out	Report on real authorisation cases. Terms of Reference for Learning Cases Agreed	i) Understanding existing practices ii) Giving advice on the EU framework iii) identifying and resolving issues /problems with the framework	Reduction of administrative burdens for applicants requiring authorisations for placing into service

12	To continue to support the removal of technical barriers	Simplification of the Authorisation of Railway Vehicles	Development of commons structure and templates for documentation supporting the application and granting of authorisations in preparation for the Fourth Railway Package	Templates developed and published for existing framework	Harmonised European templates for applying for authorisation agreed and published	Structure of supporting documentation for application for authorisation (content of "application file") elaborated and published for existing framework and proposals for 4rth RP drafted	Reduction of administrative burden, reduction of cost for required translations, reduction of costs for elaboration of documentation to be supplied
				Templates for new framework prepared for Implementing Acts			
13	To continue to support the removal of technical barriers	Facilitating the Authorisation of Railway Vehicles	Development of a the specification for the vehicle authorisation part of the One Stop Shop and Early Warning System	Specification in place	First outline of scope of table of contents and functionality based on first draft of contents table of IAs on VA and XA and flow chart	Specification complete	Tool that implements a common approach to the processing of authorisations
14	To continue to support the removal of technical barriers	Provision of tools & IT services related to Authorisation of Railway Vehicles	Operation of Reference Document Database	Satisfaction of RDD users	Inclusion of registered requests in RDD functionality,	RDD in full operation	Facilitation of access to National Technical rules and processes

					Inclusion of different catalogues (List of parameters) for the publication of National Technical Rules		
		Provision of tools & IT services related to Authorisation of Railway Vehicles	Merging different EU and ERA databases for National Rules into the single rules database required by the 4RWP	Single Rules Database developed and in operation	Specification of a single rules database in elaboration	Specification for a single rules database developed	Reduction of time and costs for the publication of National Rules, Facilitation of access to National Rules for interested parties
15	To continue to support the removal of technical barriers	Dissemination (incl. training) and communication of information related to Vehicle Authorisation	Information on rules and processes applied to get a vehicle or structural subsystem authorised	Participation in conferences and seminars, organisation of E-Learning courses and presence courses	Structured dissemination program published	Participation in conferences in MS	Improvement of understanding of the European Way to Authorisation of railway vehicles and structural subsystems
						Realisation of Training courses in ERA and MS	

16	To continue to support the removal of technical barriers	Dissemination (incl. training) and communication of information related to Network and Infrastructure Authorisation	Clarification of National legal framework for Network and Infrastructure components not covered by TSIs	National legal framework for Network and Infrastructure components not covered by TSIs published	Analysis of advantages to publish national legal frameworks for network and Infrastructure components not covered by TSIs	Assuming a positive reply and support by EC and railway sector for the activity publication of National legal frameworks for Network and Infrastructure components not covered by TSIs	Reducing the time and efforts required for the authorisation of Network components
		Dissemination (incl. training) and communication of information related to Network and Infrastructure components	Clarification of advantages of mutual recognition of authorisations issued by MS authorities for Network and Infrastructure components	Cross acceptance authorisations issued by MS authorities for Network and Infrastructure components	Analysis of advantage on cross acceptance authorisations issued by MS authorities for Network and Infrastructure components	Assuming a positive reply and support by EC and railway sector starting cross acceptance procedure for authorisations issued by MS authorities for Network and Infrastructure components	Reducing the time and efforts required for the authorisation of Network components
17	To continue to support the removal of technical barriers	Supporting the deployment of the Single Railway Area	Assistance in the formulation, evaluation and implementation of INEA calls	Number of calls prepared/proposals evaluated/projects followed	5 proposals evaluated	10 proposals evaluated	EU funds better spent
						Participation in one project	

18	To help the actors implement and apply the scope extended TSI work	Supporting the implementation of TSIs	Update of TSIs application guides	Updated TSIs application guides issued	Almost all TSIs application guides updated	Further updating of the TSIs application guides, as needed	Correct implementation of the scope extended TSIs

5.2.3 Activity 2 - Removing Technical Barriers – Resources

FTE	Budget Title 3 (Operational)	Total budget
42.00	1,186,687	6,189,117

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.

The Agency will have developed in 2015 the framework for the long term, regular management of the specifications, with a comprehensive timetable to deliver the contents, and will implement and deliver accordingly in 2016. The project management will implement the delivery of the next maintenance release, with clear estimation of resources and milestones; the Agency will provide the project management function for all involved partners. When requested by the European Commission, the Agency will provide its technical advice and opinions in the field of ERTMS. 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, and achieving cost effective verification and authorisation. The Agency will increase direct contact and seek feedback from real implementations, also involving the appropriate organisations and experts to capture feedback from ERTMS operations. The Agency will cooperate with DG Move leveraging on the added value 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 support the Commission on task 7 related to economic assistance and financial plan for ERTMS. When requested by the European Commission, the Agency will provide its technical opinions on derogations. The Agency provides technical support to the ERTMS Coordinator in its work and initiatives.

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

#	Link to multi-annual objective	Objective	Main outputs/actions/deliverables	Indicator	Achieved in 2015	Target in 2016	Expected outcome
20	To apply strong ERTMS version management and a strengthened system authority role	Maintain the harmonized specifications for ETCS and GSM-R, Applying the change control management process	Efficient processing of CRs; Recommendation on maintenance release;	Number of CR processed per year; Timely delivery of new maintenance release	40 CR processed;	50 CR processed to implement the agreed objectives of the longer term perspective document	Deployment of ERTMS
			Long term strategy for system upgrades		Recommendation on ETCS Baseline 3 2015 release.		
21	To apply strong ERTMS version management and a strengthened system authority role	Future of railway communication system	Define the roadmap for the evolution, migration and coexistence of the system after the expected end of life of GSM-R	Degree of definition and acceptance of roadmap	Result of study released and comments from sector taken into account	Roadmap agreed with the sector	Maintain interoperability allowing smooth transition to future telecom systems(s) after 2025
22	To apply strong ERTMS version management and a strengthened system authority role	Promote best practices for engineering and operations with ERTMS	Guidance on GSM-R interference.		Frequently Asked Question (FAQ) on Website	Update Application Guide, Engineering Guidelines	Reduce cost and complexity of deployment
			Updated application guide and related documents for ERTMS				

23	To increase the Agency's role in the checking of ERTMS projects compliance with the specifications, onboard and trackside	Support to ERTMS deployment program and the evaluation of ERTMS projects	Provide technical input to the call definition, funding decision drafting and action evaluation to verify the compliance of projects with Interop Directive and ERTMS standard Preparation of internal process and guidance on examination of ERTMS trackside projects	Number of funded projects evaluated by ERA on technical matters	30 projects evaluated with the use of external contractor	30 projects evaluated using the ERTMS Deployment Manager Team set up by DG MOVE	ensure that EU money is invested in projects delivering interoperability and market objectives
24	To apply strong ERTMS version management and a strengthened system authority role	Support and facilitate implementation, testing and certification for ERTMS Support NSAs and NoBos with answers and advices to promote uniform and correct application of the TSI CCS	Formalized requirement apportionment Guidance on tracing of software/hardware versions	Documents produced	result of initial study on formalized apportionment of requirements	Promote use of template and apportioned requirements in SRS	reduce cost and complexity of conformity demonstration, testing and certification
			Template for operational scenarios	Templates			
25		Launch preparatory work to clarify scope of study/investigation on how to reconcile security and interoperability in the specific ERTMS field	Preserve interoperability and single market vis a vis growing security concerns			Terms of reference for study	

26		To develop and deliver officially the Baseline Compatibility Analysis for B3R2. ERA will collect the findings of the BCA analysis from the Sector, and publish and update the agreed harmonised mitigation measures so that 2.3.0.d infrastructure will be interoperable.			BCA for B3 Release 2	Update BCA with findings and harmonized mitigation measures	
27		An ERA organization involving the appropriate organisations and experts should be in place to capture feedback from ERTMS operation and continue operation harmonisation					

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

FTE	Budget Title 3 (Operational)	Total budget
23.10	1,015,177	3,766,514

5.4 A simplified access for customers

5.4.1 Overview of Activity 4 - A simplified access for customers

Accessibility by all stakeholders / customers of the system itself and of information related to its operation is an area where significant progress is expected, which will result in enhanced efficiency and image of the railway system as a whole. The deployment of a harmonised protocols and processes for exchanging information between railway actors will enable RUs to permanently locate freight trains and exchange documents related to the carried goods. The deployment if 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. Furthermore, RUs need to check the compatibility of their trains with the different networks and the administrative status of the used vehicles. 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 Centralised Virtual Vehicle Register (ECVVR)
- European Register of Authorised Types of Vehicles (ERATV)
- Vehicle Keeper Marking Register (VKMR)

In 2016 the Agency performs the maintenance of the tools, their continuous improvement and supports the MSs and stakeholders in their implementation and use. Beyond this, the Agency in close collaboration with the stakeholders works on the consolidation of the registers into an integrated system also taking into account the provisions of the 4th Railway Package. From another perspective, society is also strongly demanding an improved access of stations and trains for Persons with Reduced Mobility (PRM), ranging from disabled or impaired people to prams and heavy luggage carriers. All improvements in this matter would benefit not only the PRMs, but also all passengers and the system itself by improving passengers' flow and increase in global efficiency. This latter aspect is enhanced by the European Act implementing the Convention on the Rights of Persons with Disabilities of the United Nations (UNCRPD), which quotes the TSI PRM as a tool for its implementation.

Furthermore, at the demand of the Commission, and subject to priorities and available resources, ERA might be involved in the Digital Transport and Logistics Forum.

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

#	Link to multi-annual objective	Objective	Main outputs/actions/deliverables	Indicator	Achieved in 2015	Target in 2016	Expected outcome
28	To complete the implementation and rationalisation of railway registers	Complete the implementation of RINF	European Railway Infrastructure Register fully in operating state	% of RINF database completed	Common User Interface (CUI) available to stakeholders 15% of RINF database completed	30% of RINF database completed	Facilitating interoperability and the opening of the rail market for passengers and freight
29		Consolidate and integrate registers, simplify their use, improve data quality	Vehicle-related registers (ECVVR, ERATV…) fully rationalised	Compliance with the time schedule agreed with EC and MSs	Intermediate report issued. Set of rationalisation actions agreed with EC and MSs	Draft recommendation for amendments of registers specifications submitted to EC.	Facilitating interoperability and the opening of the rail market for passengers and freight
30		Provide operating tools for the implementation of PRM TSI	PRM inventory of assets (IoA): specification and IT development	Specification issued	Recommendation to DG-Move on IoA specification	Detailed specification; advisory board; IT development 1st phase	Legal provision from DG-Move on IoA (mid-2016), giving visibility and common objectives to the whole sector

31	To continue the deployment, development and change control management of the different Telematics TSIs	Supporting the implementation of TAP/TAF TSIs	Monitoring deployment of TAP and TAF TSIs: WG and tool	Number of reports sent to EC (and documented in dedicated monitoring database(s))	2 for TAF TSI	2 for TAF and 1 for TAP TSI	EC and National Contact Points (NCPs) will be aware about the real implementation degree and coverage of TAF and TAP functions.
			Support the European Commission in TAP and TAF Steering Committees (SteCo)	Number of meetings attended of TAF SteCo, TAP SteCo (or later TAP TSGB)	5	5	The outcome of TAF SteCo, TAP SteCo (or later TAP TSGB) facilitates the real implementation of TAF and TAP TSIs.
			Report on the implementation of TAP and TAF TSIs	Number of TAF and TAP dissemination campaigns held (and documented in dedicated dissemination database)	8 (432 pers. Reached). 400 pers. TAF 380 pers. TAP	10	At the end of the disseminations it will be documented how many, stakeholders have been reached with which TSI content.
			TAP and TAF CCM baselines	Baseline delivered to EC	1 for TAF and 1 for TAP TSI	1 for TAF and 1 for TAP TSI	Technical documents of TAF and TAP TSIs will be updated and published in OJ and ERA website and be ready for implementation

			Support to small RUs, ticket vendors and customers.	Number of TAF and TAP dissemination campaigns held (and documented in dedicated dissemination database)	4	4	At the end of the disseminations it will be documented how many, smaller/new stakeholders have been reached with which TSI content.
			TAP/TAF reference files	Files updated and available	Files updated and available on the ERA website	Files updated and available on the ERA website	The reference files' data will be available to the public so that TAF and TAP TSIs can be implemented and operated
			Amending chapter 4 of the TAP TSI according CEN deliverable	Number of ERA WPs held and recommendation sent to EC	2	7	Open points for i) electronic ticketing, ii) connection to other modes of transport and iii) tariff data for domestic sales in TAP TSI chapter 4 can be closed.
			Assess conformity of IT solutions developed for TAF and TAP implementation	Number of assessments done	1 for TAF and 1 for TAP TSI	1 for TAF and 1 for TAP TSI	Developed IT solutions will be assessed so that it will be documented that they support the implementation of TAF and TAP TSIs.
			Published reports on quality level of actors for	Number of reports published	70	80	Quality performance of the passenger service will be

			TAP and Passenger Rights' Regulation 1371/2007 Article 28					transparently documented
32		Report on the implementation of conditions of carriages (PRM; bikes; car; luggage) submitted	Report sent to Commission	RUs per report	30 RUs reported	60 RUs reported	Implementation level of those conditions will be transparently documented to the Commission
33		Full functioning network of National Contact Point (NCP)	Participation of NCPs. To TAF Implementation Monitoring Cooperation Group (TAF IMCG).	Number of NCPs participation	N/A	2 TAF IMCG	Improve NCP functioning and insure commitment of > 80% NCPs for TAF implementation
			2 Multi Regional NCPs workshop			2 Multi Regional WS.	
34		Support innovation in the Single Railway Area	Contribution to the coordination of the Agency's needs on research and support to the EC services for R&D	Number of R&D projects supported	Support to 4 R&D projects	Support to 4 R&D projects	Promote the competitiveness of the European Rail Industry and meet the changing EU transport needs
				R&D proposals evaluated	10 proposals evaluated	10 proposals evaluated	

5.4.3 Activity 4 - A simplified access for customers – Resources

FTE	Budget Title 3 (Operational)	Total budget
16.90	965,000	2,977,883

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), stakeholder management and the preparation of the implementation of the Fourth Railway Package.   As fas as the transition towards the 4RWP is concerned, the Agency will continue to develop and implement all the ERA tasks identified within its work programme plan "Preparation and implementation of the 4th Railway Package at ERA" and monitor that all the interfaces with external stakeholders will be ready to allow the Agency to effectively deliver its new tasks 3 years after the entry into force of the 4RWP .

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

#	Link to multi-annual objective	Objective	Main outputs/actions/deliverables	Indicator	Achieved in 2015	Target in 2016	Expected outcome
35	To provide a framework for ensuring the Agency measures contribute to a more competitive railway sector through a set of interrelated economic evaluation tasks	Establishing a cost-effective, value-adding portfolio of the Agency projects through early assessments	Early assessment reports for all new projects in the activities	% of new projects covered by an early assessment report		100%	Agency focusing on those projects with the highest added value for the railway sector
36	To provide a framework for ensuring the Agency measures contribute to a more competitive railway sector through a set of interrelated economic evaluation tasks	Establishing a cost-effective, value-adding portfolio of the Agency projects through impact assessments	Impact assessments for selected projects as required according to the early assessment reports	Number of impact assessments per Agency activity (distinguishing between light and full impact assessments)		According to the Work Programme 2016	To facilitate the decision-making focusing on those projects with the highest added value for the railway sector

37	To provide a framework for ensuring the Agency measures contribute to a more competitive railway sector through a set of interrelated economic evaluation tasks	Monitoring and evaluating the impact and effectiveness of the Agency's activities in the railway sector	Published values for the Railway Indicators	% of Railway Indicators measured		More than 80%	Improved overview of challenges (barriers) faced by the stakeholders and system, and subsequently of the actions that have to be taken in order to remove those barriers
			Ex-post comprehensive evaluation based on agreed Railway Indicators	Number of ex-post comprehensive evaluation reports		Ex-post comprehensive evaluations for 1 of the Agency's activities	
			Monitoring data stored in TRAMOS database (managed by DG MOVE)	% of Railway Indicators and common safety indicators		100%	Better analysis and reporting via improved availability and accessibility of monitoring data.
38		Support to the ERTMS Work Plan of the European Coordinator	Define the roadmap for the specification and develop a methodology to introduce the retained CRs	degree of definition and acceptance of roadmap	roadmap agreed with the sector	Implementation	Develop a structured and disciplined approach and bring stability to the specification

39	To ensure the Agency's impact on the railway sector through external and internal communication processes	Further implementation of the Communications strategy	Optimisation of messages, channels and tools	Satisfaction and effectiveness surveys on all Agency communications		According to plan (targets set in each area)	A better outreach of the Agency's activities and deliverables.
			Evaluation of the Agency communication				An improved understanding and implementation of the Agency's outputs in the railway sector
40	To gain further efficiency through the full implementation of an Integrated Management System	Efficient and effective management of the Agency through further implementation of the Agency's Integrated Management System (IMS) (including audit, data protection, governance, business planning and reporting)	Documenting processes and procedures, and internal audit reports	% in line with the roadmaps, programmes and timetables		100%	Agency as a reliable and trustworthy business partner for all stakeholders

			Deployment of the processes and procedures	% compliance with processes and procedures		100%	
41	To implement and promote good corporate governance through transparency, accountability and commitment to the Agency's values and ethics	Providing legal opinions and advice to the Agency	Legal advice and opinions	% legal advice and opinions delivered in time according to the process or procedure		100%	Ensuring compliance of the Agency's activities with the relevant legal frameworks at national and European level

42	To safeguard European technological developments in the international railway market	Support the Commission and Shift²Rail Joint Technology Initiative (JTI) in the development and implementation of EU rail research ensuring that research is aligned with the EU framework and the Agency's research needs are met	Make proposals to the Commission for inclusion in the Shift²Rail Master plan and other EU research. Propose guidelines for research leading to technical standards guaranteeing interoperability and safety	Proposals delivered on time	Update and Implement ERA policy on research and studies	Proposals delivered on time	Ensuring that the 920bn euros of funding to Shift²Rail and other research is fully in line with the and supports the most efficient evolution of the Single European Railway Area
			Contribute to defining the evolution of the target system				
			Assist the Commission in reviewing proposals and outputs	Reviews fully carried out on time	Assessments of Founder and Associate Members Submissions	90%	
			Facilitate the understanding of the actors involved in research of the EU framework	Proposals in line with EU framework		100%	

43	To continue to support the removal of technical barriers	Support innovation in the Single Railway Area	Contribution to the coordination of the Agency's needs on research and support to Shift2 Rail and the EC services for R&D	Number of R&D projects supported/ R&D proposals evaluated	Support to 4 R&D projects	4	Promote the competitiveness of the European Rail Industry and meet the changing EU transport needs
					10 proposals evaluated	10	
44	To continue to support the removal of technical barriers	Monitoring and report the progress towards the Single Railway Area	Publishing the report on progress in Interoperability and Safety	Timely delivery of the report	N/A	Delivery of the report, including updated maps	Fostering the single railway area
45	To define the Agency's place in the world of technical regulators, international standardisation and research coordination	ERA takes its place as one of the world's pre-eminent safety and technical regulatory bodies	Work with other similar entities to share experience and best practice.an influence the development of International Railway Standards with the common objective of helping to make railways more competitive.	To be elaborated in international relations strategy during 2015	Development and implementation an International Relations strategy	Fully Implement the strategy	Increasing convergence of technical and safety regulations and accompanying standards in order to make rail more competitive. .
					MOU with Gulf Cooperation Council	MoU(s) with one or more other Technical and Safety Regulatory bodies outside Europe	
						First steps in being part of a world network of Technical and Safety Regulatory	

						Bodies	
46	To implement and promote good corporate governance through transparency, accountability and commitment to the Agency's values and ethics	Ensure suitable conditions for efficient management of the available and planned human resources	Number of selection procedures planned and carried out in a year	% implementation of the establishment plan;		95%	Full use of the available and planned human resources
				X months as an average length[1] of a selection procedure		3 months	
			Average number of training days per staff member (formal training and language courses)	Min. average number of training days per staff member		8	Continuous improvement of staff skills and knowledge
			CDR reports signed and the annual individual objectives set on time	% of CDR reports signed on time by both parties;		95%	Appropriate performance management
				% of the annual individual objectives agreed on time		95%	
47	To implement and promote good corporate governance through transparency, accountability and commitment to the Agency's values and ethics	Implement sound, efficient and legitimate financial management framework	Annual budget executed as planned	% of the annual appropriations committed		95%	Efficient use of financial resources
				% carry-over of payment appropriations		<10% for T1; <20% for T2; <30% for T3	
				% of execution of C8 payment appropriations		95%	

			Number of financial transactions carried out in respect of the legal framework and within the set deadlines	% of commercial invoices executed with the regulatory time limits		95%	Sustained reputation of the Agency
			Number of launched and completed procurement procedures	% or procurement procedures launched and completed against plan		100%	Efficient use of financial resources
				Number of months as an average length of open procurement procedures		5	
49	To implement and promote good corporate governance through transparency, accountability and commitment to the Agency's values and ethics	Ensure provision of safe and business oriented ICT and facilities services	Secured ICT environment	Number of security incidents causing loss of data, business disruption or public embarrassment	0 incidents	0	Secure working environment
			Number of Health & Safety (H&S) and environment-friendly initiatives undertaken	Number of H&S initiatives		2	Improvement of staff well-being
				Number of EMAS measures adopted		1	
			ICT and facilities services provided to ERA staff	% of ERA users satisfied with the quality of ITFM services in "Very		80%	Continuous increase of services efficiency and quality

				good" rate			

5.5.3 Activity 5 - Evaluation, Management and Resources – Resources

FTE	Budget Title 3 (Operational)	Total budget
46.50	1,871,331	7,409,735

Annexes

Annex I: Resource allocation

1. Multi-annual resource allocation

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

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 2016

Activity	Unit Staff	TITLE 3						TITLE 1 & TITLE 2	
		DIRECT COSTS				INDIRECT COSTS			
		CHAPTER 30			ART 311	CHAPTER 31 - ART 311	TITLE 1 & TITLE 2		TOTAL BUDGET 2016 PER ACTIVITIES
	FTE	ACTIVITIES	STUDIES	TRANSLATIONS, INTERPRETATION					
Harmonized Safety Framework	40,50	550 000	235 000	450 000	215 000	131 805	4 811 083		6 392 888
Removing Technical Barriers	42,00	600 000	35 000	250 000	165 000	136 686	4 989 272		6 175 958
Single EU Train Control and Communication System	23,10	350 000	400 000	-	190 000	75 178	2 744 099		3 759 277
Simplified Access for Customers	16,90	250 000	-	80 000	580 000	55 000	2 007 588		2 972 588
Evaluation, Management and Resources	46,50	200 000	120 000	-	1 400 000	151 331	5 523 837		7 395 168
Grand Total	169,00	1 950 000	790 000	780 000	2 550 000	550 000	20 075 879		26 695 879
						6 620 000	20 075 879		26 695 879

Annex II: Financial Resources 2016-2018[1]

Table 1 – Expenditure

Expenditure	2015		2016	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title 1	17 000 000	17 000 000	17 483 879	17 483 879
Title 2	2 645 000	2 645 000	2 592 000	2 592 000
Title 3	6 700 000	6 700 000	6 620 000	6 620 000
Total expenditure	**26 345 000**	**26 345 000**	**26 695 879**	**26 695 879**

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[1] Details for 2017 and 2018 to be discussed and decided during the budgetary procedure (to be finalized in January 2016 for 2017).

EXPENDITURE	Commitment appropriations						
	Executed Budget 2014	Budget 2015	Draft Budget 2016		VAR 2016 / 2015 (%)	Envisaged in 2017	Envisaged 2018
			Agency request	Budget Forecast			
Title 1 **Staff Expenditure**	**16 396 553**	**17 000 000**	**17 536 826**	**17 483 879**	**2.85%**		
11 Salaries & allowances	15 476 825	15 990 000	16 526 826	16 526 826	3.36%		
- of which establishment plan posts	*14 634 483*	*14 790 000*	*14 766 826*	*14 743 879*	-0.31%		
- of which external personnel	*842 342*	*1 200 000*	*1 760 000*	*1 710 000*	42,5%		
12 Expenditure relating to Staff recruitment	274 925	300 000	300 000	310 000	3.33%		
13 Mission expenses	147 937	130 000	130 000	140 000	7.69%		
14 Socio-medical infrastructure	35 481	35 000	35 000	35 000	0.00%		
15 Training	236 168	300 000	300 000	300 000	0.00%		
16 External Services	221 867	240 000	240 000	240 000	0.00%		
17 Receptions and events	3 350	5 000	5 000	5 000	0.00%		
Title 2 **Infrastructure and operating expenditure**	**2 710 257**	**2 645 000**	**2 592 000**	**2 592 000**	**-2.00%**		
20 Rental of buildings and associated costs[2]	1 175 565	1 365 000	1 315 000	1 315 000	-3.66%		
21 Information and communication technology	1 001 422	620 000	669 000	669 000	7.90%		
22 Movable property and associated costs	84 444	260 000	212 000	212 000	-18,46%		
23 Current administrative expenditure	171 245	195 000	191 000	191 000	-2.05%		
24 Postage / Telecommunications	139 103	205 000	205 000	205 000	0.00%		
25 Meeting expenses	138 478						
26 Running costs in connection with operational activities							
27 Information and publishing							

Details to be decided during the budget procedure (to be finalized in January 2016 for 2017)

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[2] Including possible repayment of interest; detailed information as regards building policy provided in Table in Annex III

28 Studies							
Title 3 **Operational expenditure**	**5 923 072**	**6 700 000**	**6 620 000**	**6 620 000**	**-1.19%**		
to be specified by chapter							
TOTAL EXPENDITURE	**25 029 882**	**26 345 000**	**26 748 826**	**26 695 879**	**1.33%**	**26 000 000**	**26 250 000**

Table 2 – Revenue

Revenues	**2015**	**2016**
	Revenues estimated by the agency	Budget Forecast
EU contribution	25 613 000	26 000 000
Other revenue	732 000	7695 879
Total revenues	**26 345 000**	**26 695 879**

REVENUES	**2014**	**2015**	**2016**		**VAR 2017 /2016**	**Envisaged 2017**	**Envisaged 2018**
	Executed Budget	Revenues estimated by the agency	As requested by the agency	Budget Forecast			
1 REVENUE FROM FEES AND CHARGES							
2. EU CONTRIBUTION	25 007 400	25 613 000	26 000 000	26 000 000	1.51%	26 000 000	26 250 000
of which Administrative (Title 1 and Title 2)							
of which Operational (Title 3)							
of which assigned revenues deriving from previous years' surpluses	1 434 336	954 000	787 000	787 000	-17.51%		
3 THIRD COUNTRIES CONTRIBUTION (incl. EFTA and candidate countries)	708 200	732 000	772 000	695 879	-4.93%		
of which EFTA	708 200	732 000	772 000	695 879	-4.93%		

Details to be decided during the budget procedure (to be finalized in January 2016 for 2017)

of which Candidate Countries						
4 OTHER CONTRIBUTIONS						
of which delegation agreement, ad hoc grants						
5 ADMINISTRATIVE OPERATIONS						
6 REVENUES FROM SERVICES RENDERED AGAINST PAYMENT						
7 CORRECTION OF BUDGETARY IMBALANCES						
TOTAL REVENUES	**25 715 600**	**26 345 000**	**26 772 000**	**26 695 879**	**1.33%**	

Table 3 – Budget outturn and cancellation of appropriations

Budget outturn	2012	2013	2014
Reserve from the previous years' surplus (+)	136 683	1 434 346	954 287
Revenue actually received (+)	25 914 424	25 894 214	25 772 443
Payments made (-)	-22 168 162	-22 842 514	-22 075 957
Carry-over of appropriations (-)	-2 436 439	-2 221 823	-2 984 698
Cancellation of appropriations carried over (+)	126 326	87 293	69 599
Adjustment for carry over of assigned revenue appropriations from previous year (+)		37 697	6 395
Exchange rate differences (+/-)	-1 803	-581	-766
Adjustment for negative balance from previous year (-)	-136 683	-1 434 346	-954 287
Total	1 434 346	954 286	787 016

Annex III: Human Resources 2016-2018

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

Staff population		Staff population actually filled in 31.12.2013	Staff population envisaged in EU Budget 2014	Staff population actually filled at 31.12.2014	Staff population in voted EU Budget 2015	Staff population in Draft EU Budget 2016	Staff population envisaged in 2017	Staff population envisaged in 2018
Officials	AD							
	AST							
	AST/SC							
TA	AD	96	102	96$^{(*)}$	104	99	102	111
	AST	40	38	39$^{(+)}$	33	36	37	37
	AST/SC	0	0	0	0	0	0	0
Total TA		**136**	**140**	**135**	**137$^{(***)}$**	**135**	**139**	**148**
CA GFIV		2	5	6	6	15	15	15
CA GF III		1	1	4	4	5	5	5
CA GF II		4	6	7	7	7	7	7
CA GFI		3	3	3	3	3	3	3
Total CA		**12**	**15**	**20$^{(**)}$**	**16$^{(****)}$**	**30**	**30**	**30**
SNE		3	6	4	8$^{(****)}$	4	4	4
Structural service providers$^{(*****)}$		7	7	7	7	7	7	7
Total		**158**	**168**	**168**	**168**	**176**	**180**	**189**
External staff for occasional replacement								

(*) 3 offer letters sent in 2014 are counted as posts filled

(+) 39 AST were present at ERA on 31/12/2014 and 2 left on 01/01/2015 (retirement and resignation)

(**) 5 offer letters sent in 2014 are counted as posts filled

(***) The breakdown AD/AST shall have to be adjusted in the course of 2015 in light of the staff actually present.

(****) The Work Programme for 2015 foresees 24 Contract Agents (137 TA + 24 CA + 4 SNE = 165 FTE). In the MASPP 2015-2017 adopted in March 2014 the figures were 138 TA + 16 CA + 8 SNE equalling 162 FTE

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

Table 2 – Multi -annual staff policy plan 2016-2018

Category and grade	Establishment plan in EU Budget 2014		Modifications in 2014 in application of flexibility rule		Establishment plan in voted EU Budget 2015		Modifications in 2015 in application of flexibility rule		Establishment Draft EU Budget 2016		Establishment plan 2017		Establishment plan 2018	
	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA	officials	TA
AD 16		-		-		-				-		-		-
AD 15				-		-				-		-		-
AD 14		1		-		1				1		1		1
AD 13		-		-		-				-		-		-
AD 12		-		-		-				-		1		2
AD 11		4		-		5				6		5		5
AD 10		11		-		11				14		16		15
AD 9		29		-		29				31		33		33
AD 8		21		-		21				21		20		24
AD 7		12		-		13				13		14		14
AD 6		24		-		24		-4		14		12		17
AD 5		-		-		-				-		-		-
Total AD		**102**		**0**		**104**		**-4**		**99**		**102**		**111**
AST 11		-		-		-				-		-		-
AST 10		-		-		-				-		-		-
AST 9		2		-		2				3		3		3
AST 8		3		-		3		1		4		5		5
AST 7		3		-		3				4		4		4
AST 6		2		-		2		1		3		3		3
AST 5		5		-		5				7		8		8
AST 4		7		-		6		1		7		9		9
AST 3		8		-		7				6		4		4
AST 2		8		-		5		1		3		1		1
AST 1		-		-		-				-		-		-
Total AST		**38**		**0**		**33**		**4**		**36**		**37**		**37**
AST/SC 6		-		-		-		-		-		-		-
AST/SC 5		-		-		-		-		-		-		-
AST/SC 4		-		-		-		-		-		-		-
AST/SC 3		-		-		-		-		-		-		-
AST/SC 2		-		-		-		-		-		-		-
AST/SC 1		-		-		-		-		-		-		-
Total AST/SC		**-**		**-**		**-**		**-**		**-**		**-**		**-**
TOTAL		**140**		**0**		**137**		**0**		**135**		**139**		**148**

A. Recruitment policy

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

a) As a general rule tasks are carried out by Temporary Agents. The main exceptions are 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 continuing reduction in the number of TA/AST posts, there will be very limited scope for recruiting staff for secretarial tasks as temporary agents. It is therefore most likely that new staff in this area will be recruited as contract agents rather than using the new category AST/SC;

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

c) In all vacancy notices, job offers and employment contracts the type of post shall be mentioned whether long-term or short-term (as described in point 6.1 a).

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 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 ERA), the Code of Good Administrative Behaviour and the data protection rules.

As nationals of Norway, Iceland and Liechtenstein are eligible for working for ERA, the Agency cannot directly make use of the general reserve lists established by EPSO.

The selection procedures for the recruitment of **Temporary Agents**

are carried out in accordance with ERA Decision ERA-ED-DEC-677-2013 adopted on the 11th of November 2013 on Temporary Agents in the European Railway Agency amending Decision N°251/11. 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.

The selection procedure is currently being 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[3] and publication of a **vacancy notice** 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). ERA publishes the vacancy notice (as well as the names and roles in the selection committee[4]) on its website, IntraComm and the EPSO website[5]. Vacancies 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. Vacancies 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 ERA 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 then 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.

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[3] Will be introduced in the course of 2015.
[4] id.
[5] ERA is also party to the agreement on the Inter-Agency Job Market but has so far not made any use of the possibility to recruit staff this way. Once the new rules for 2f Temporary Agents are in place there should be more scope for staff mobility between ERA and other EU agencies.

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 ERA;
- 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, ERA 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.

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 holding a short-term post, the duration of the contract depends on the duration of the tasks to be carried out.

a. Temporary agents

In accordance with the Agency Regulation, TA shall be engaged to occupy a post pre-defined as short-term or long-term depending on the duration of the tasks related to it. Each vacancy notice shall indicate whether the post is short-term or long-term:

1) *Short-term posts* are posts involving tasks of a definite duration not exceeding the period stipulated in Art. 24(3), first indent, of the Agency Regulation. A TA assigned to a short-term post shall not occupy that particular post for longer than the said period.

TA engaged to occupy a short-term post shall be engaged for the duration of the tasks related to it. The contract may be renewed only once and only if required for the completion of these tasks. However the cumulative duration of contracts shall not exceed the maximum length of the period stipulated in the first indent of Article 24(3) of the Agency Regulation.

2) *All other posts are long-term* posts which can be occupied for an indefinite period.

The following list of long-term posts which entail continuous tasks and which can be occupied for an indefinite period is established as below:

Heads of Unit
Head of the Executive Director's office
Heads of Sector
In the Executive Director's office:
     Administrators and Assistants
     Secretaries
In the Resources and Support Unit:
     HR Administrators and HR Assistants
     Financial Administrators and Financial Assistants
     IT&FM Administrators and IT&FM Assistants
     Accounting Officer and Accounting Assistant
     Secretaries
In the operational units:
     Project Officer Administrators and Project Officer Assistants
     Advisers
     Data base Administrators and data base Assistants
     Secretaries

The decision to renew contracts of employment of Temporary Agents occupying a long-term post shall be taken by the Executive Director based on 2 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, increasingly ERA will most likely also have to engage Contract Agents for other tasks.

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.

Types of key functions:
- Administrative and Logistician Support Agents
- Secretaries/assistants
- Project Officers

c. Seconded national experts[6]

In 2009, ERA adopted a decision on the policy and the procedures governing the recruitment and use of seconded national experts in ERA consolidating and simplifying the existing rules (Decision N° 237/2009). SNEs assist ERA 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 ERA does not pay any allowances or cover any of the expenses related to the performance of their duties during their secondment although ERA 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, ERA's Executive Director may authorise one more extension of the secondment for the maximum duration of one year at the end of the four year period[7]. Each secondment and extension is subject to an exchange of letters. An SNE may be seconded once again provided that the conditions of secondment still exist and a period of at least six years has elapsed between the end of the previous secondment and the new secondment unless the previous secondments lasted for less than four years.

Types of key function:
- Project Officer

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[6] NB SNEs are not employed by the agency.
[7] Article 24(3) of the Agency Regulation limits periods of secondment to a maximum of five years.

d. Trainees

Professional traineeships last between three and five months in accordance with ERA's Decision N°06.2006/2009. Professional traineeships are organised once or twice per year, depending on budget availability.

e. Structural service providers[8]

Staff FTE	Tasks	Description	PD per Year	Total PD per Year	Framework Contract	Expiring
4	Service Desk	User support and assistance	220	880	ESP/EISD5 to be signed in May 2015	Date of signature, 3+1 Y
2	Senior Analyst Programmer	Writing/maintenance/prototyping of applications that reflect the specifications.	220	440	ESP/EISD5 to be signed in May 2015	Date of signature, 3+1 Y
1	Webmaster	Creation and staging of web site	220	220	ESP/EISD5 to be signed in May 2015	Date of signature, 3+1 Y

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[8] NB Structural service providers are not employed by the agency.

B. Appraisal of performance and reclassification/promotions

The Agency applies ERA Decision N°118/04.2008 on "Staff Performance Appraisal at the European Railway Agency" and N°119/06.2008 on "Staff Reclassification at the European Railway Agency". The seventh reclassification exercise took place in 2014 and 34 members of staff were reclassified.

The Agency's reclassification policy complies with the principles established in the Commission's model decision on reclassification of Temporary Agents. In 2014 there were still no rules in place for the reclassification of Contract Agents.

Nevertheless, the Agency shall adopt new Decisions on performance appraisal and promotion/reclassification as soon as the models have been adopted by the Commission. The draft models of the new Decisions will entail a system without points and will include the reclassification of Contract Agents. The new rules will be applied for the first time for the appraisal and reclassification taking place in 2016.

Table 1 - Reclassification of temporary staff/promotion of officials

Category and grade	Staff in activity at 01.01.2013		How many staff members were promoted / reclassified in 2014		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				2	4y10m
AD 10		6			
AD 9		24		5	6y
AD 8		24		3	5y
AD 7		2			
AD 6		36		10	4y2m
AD 5		1		1	3y10m
Total AD		**94**		**19**	
AST 11					
AST 10					
AST 9					
AST 8		2		1	4y7m
AST 7		1		1	4y8m
AST 6		4			
AST 5		5		1	4y10m
AST 4		5		1	4y
AST 3		6		2	3y8m
AST 2		12		5	4y1m
AST 1		5		4	3y9m
Total AST		**40**		**15**	
Total		**134**		**34**	

Table 2 - Reclassification of contract staff

ERA does not have an implementing rule in place for the reclassification of CA so no CA has yet been reclassified at ERA.

Table 2 - Reclassification of contract staff

C. Mobility policy

1.   Mobility within the agency

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.

In April 2014, an "ad interim decision on Internal Mobility at the ERA (ERA-ED-DEC-766-2014) describing the internal mobility scenarios as well as the procedure for publication, application, screening, interviewing and selection of interested internal applicants was put in place. If a staff member has applied and is found qualified (s)he will be transferred to the vacant post. In addition, the Agency has an annual procedure for promoting internal mobility among secretaries.

The above Decision is "ad interim" as the Agency is awaiting the pending adoption by the Commission of the new implementing provisions on the use and engagement of temporary agents 2(f) in EU agencies, which will impact on the internal mobility for temporary agents 2(f).

Furthermore, members of ERA 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 ERA 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 ERA. On the other hand, many staff members who took up long-term Temporary Agent positions at ERA come from other EU Agencies. Although ERA has joined the Interagency Job Market, no tangible effect is evident.   With the new implementing rules for 2(f) Temporary Agents the situation will change significantly.

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. There have also been departures due to a staff member passing competition and attaining the status of official (i.e. 2 in 2013).

4.   Tables for 2014 (Temporary agents, contract agents and SNE's)

	2014	
	New staff	**Departing staff**
Mobility within the agency	9	9
Mobility among agencies	1	-
Mobility between the agencies and the institutions	4	-
Others	5	7
Total	**19**	**16**

D. Gender and geographical balance

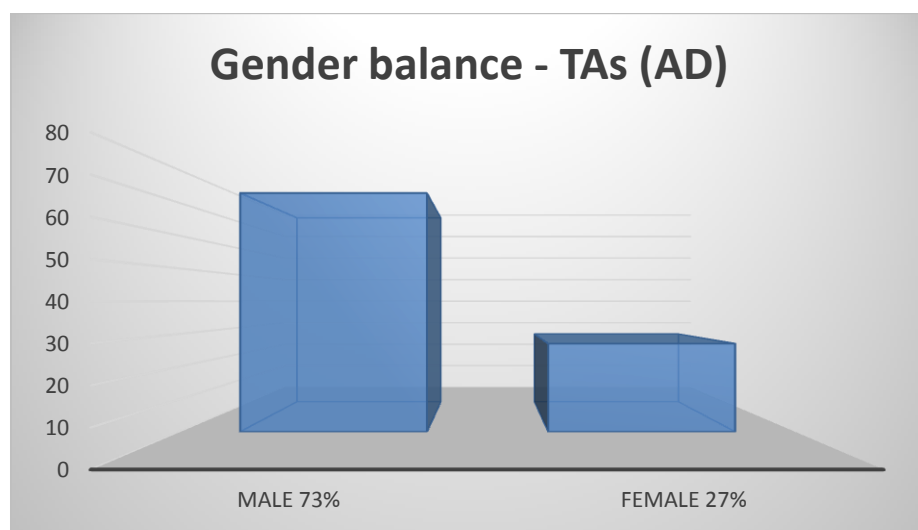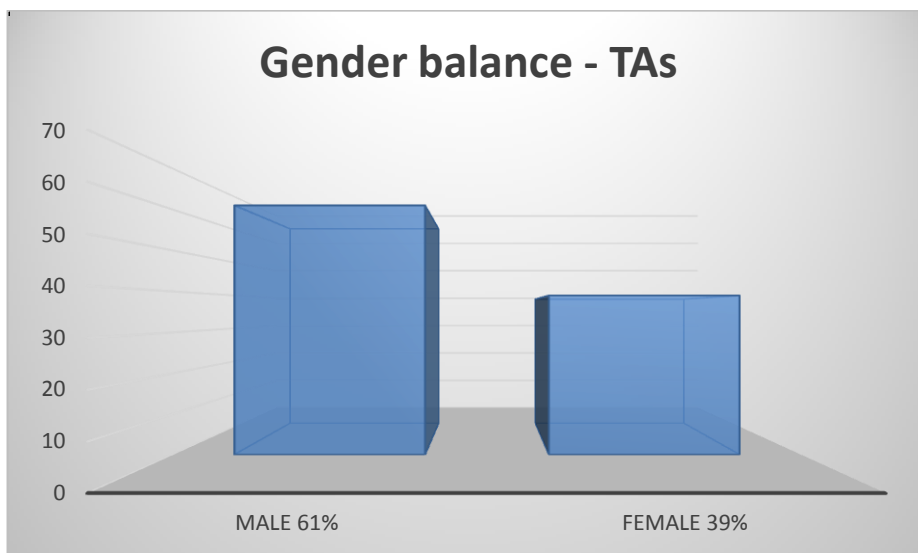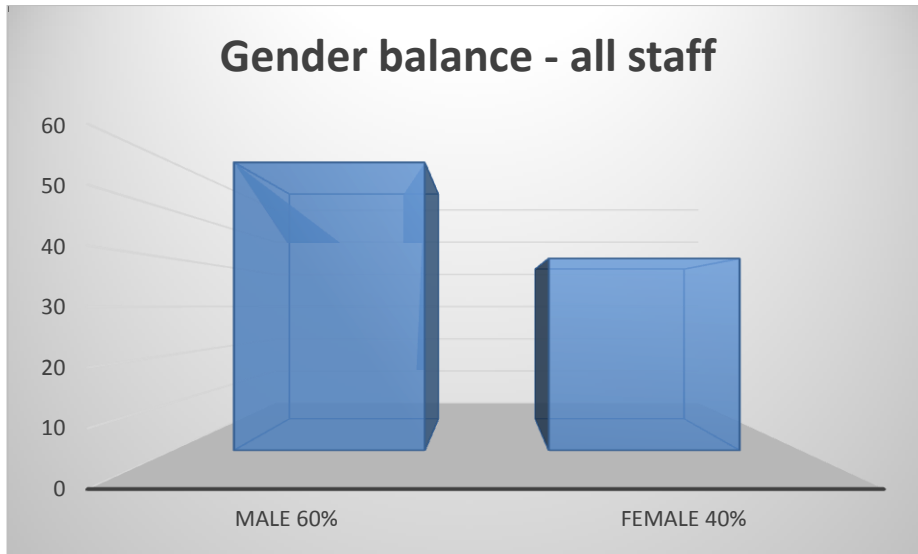The following non-discrimination notice is included in all vacancy notices:

"Equal opportunities: The European Union takes great care to avoid any form of discrimination in its recruitment procedures".
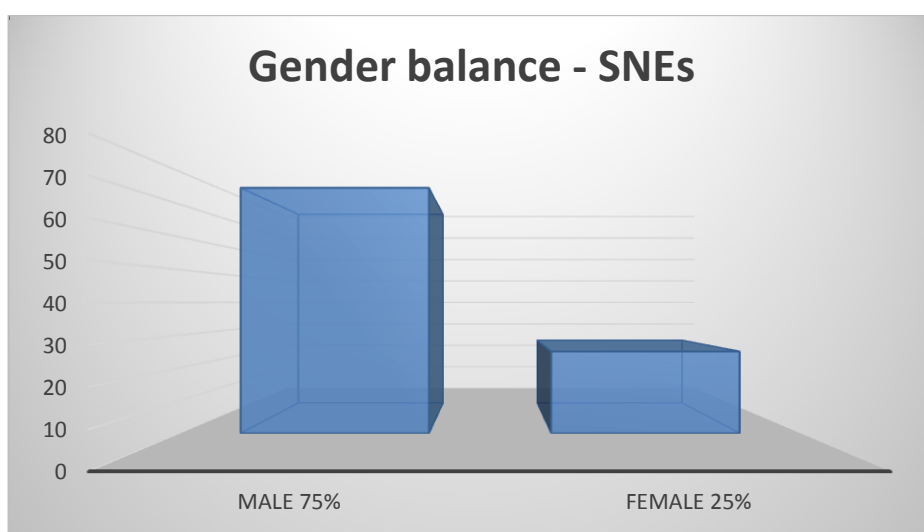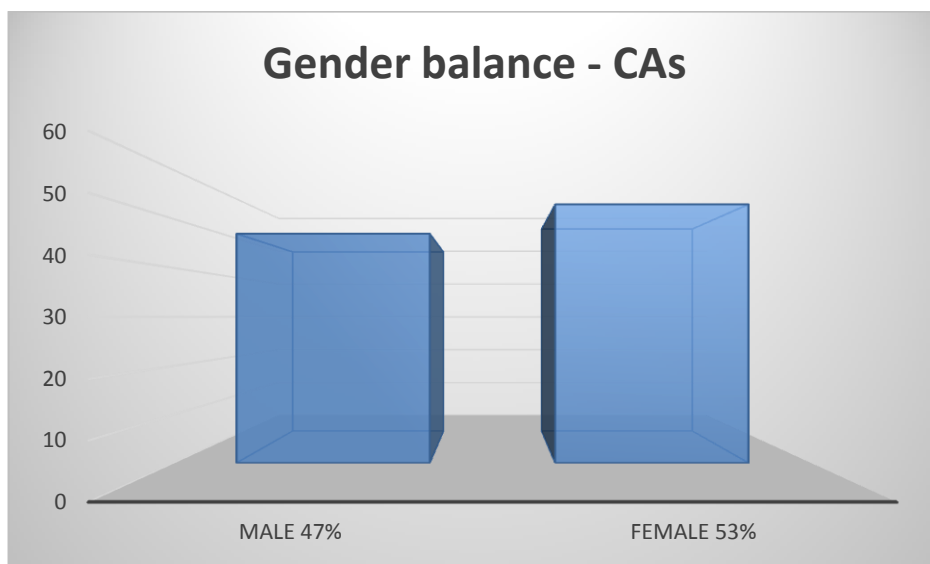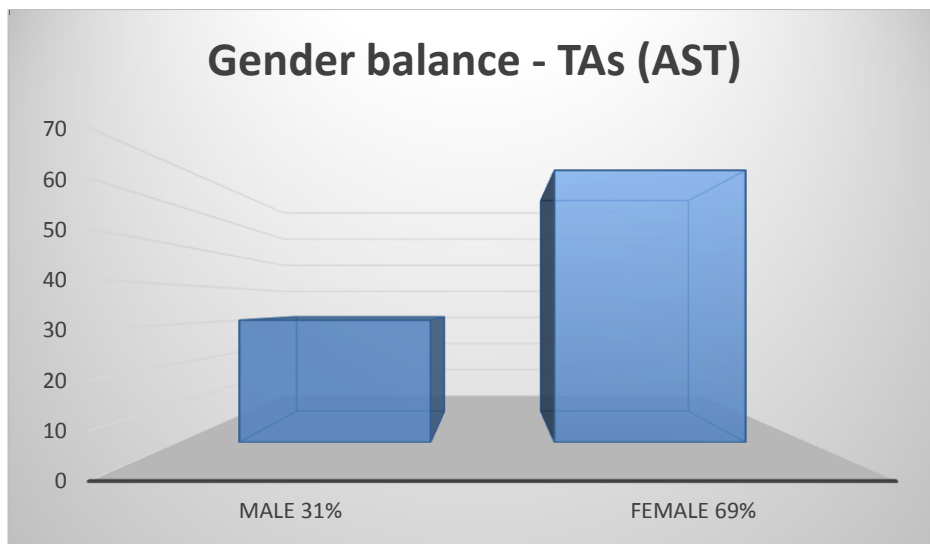
Applications are encouraged from all candidates and facilities management is prepared to accommodate people with disabilities. A positive discrimination policy however has not been put in place.
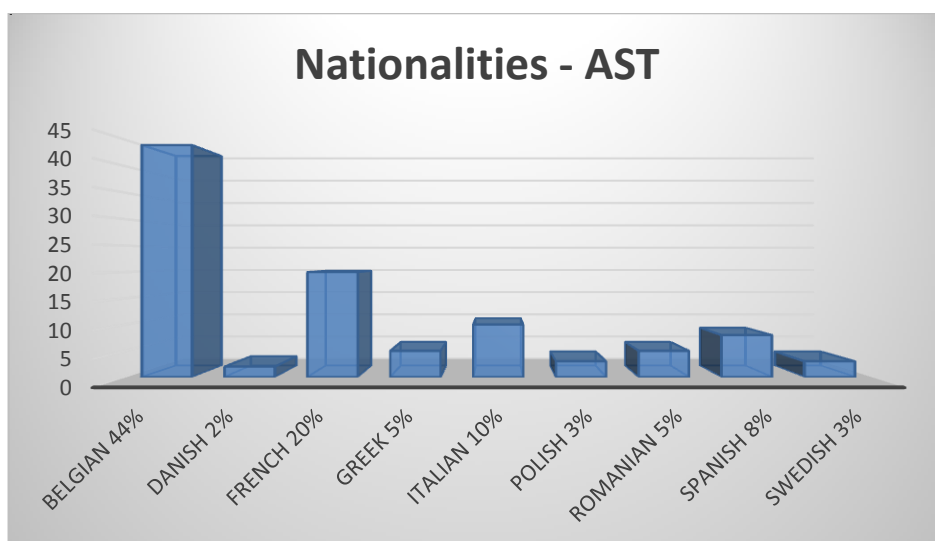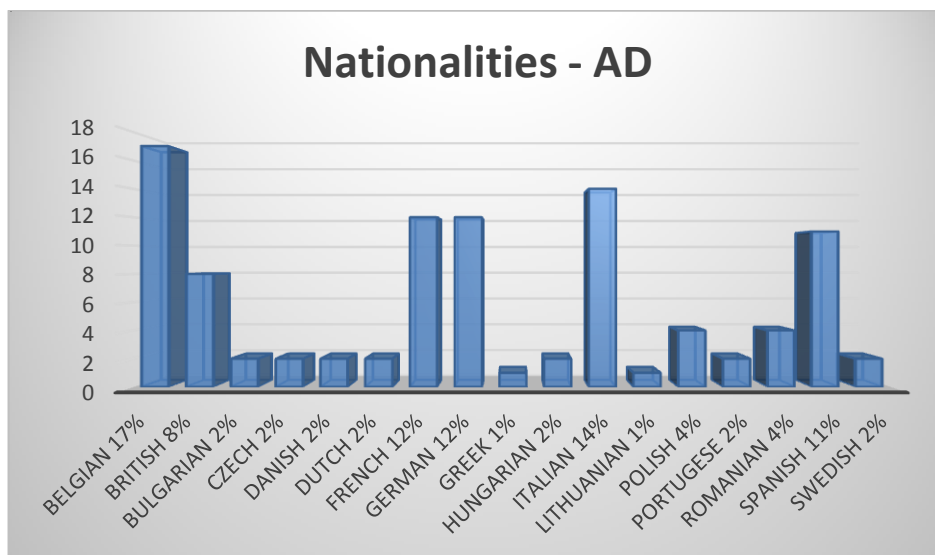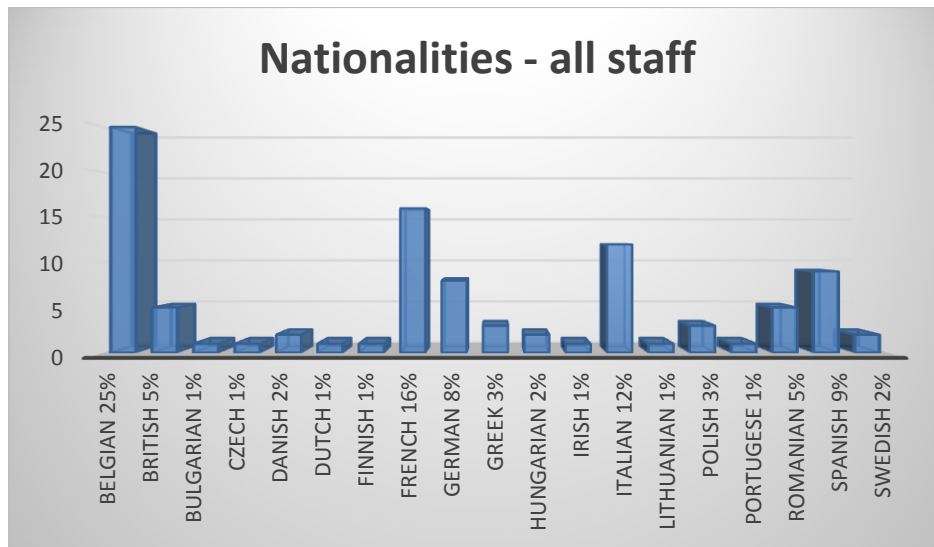
In general, the gender balance at ERA has been stable over recent years. As can be seen from the "All Staff" pie chart, the current figures are 60% male staff and 40% female staff (figures based on the situation in 2014).

Looking at the pies by break down by contract type, 73% of the AD are male staff, and 69% of the AST are female staff. SNE figures show a 75% percent male ratio while the CA figures present the most 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

MALE 60%   FEMALE 40%

Gender balance - TAs

MALE 61%   FEMALE 39%

Gender balance - TAs (AD)

MALE 73%   FEMALE 27%

Gender balance - TAs (AST)

MALE 31% FEMALE 69%

Gender balance - CAs

MALE 47% FEMALE 53%

Gender balance - SNEs

MALE 75% FEMALE 25%

Nationalities - all staff

Nationalities - AD

Nationalities - AST

Nationalities - CA

BELGIAN 23% | FRENCH 31% | GREEK 15% | HUNGARIAN 8% | IRISH 8% | ROMANIAN 15%

Nationalities - SNE

FINNISH 25% | FRENCH 25% | GERMAN 25% | LITHUANIAN 25%

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:	ERA HQ, Valenciennes, 120 rue Marc Lefrancq	1. ERA is the only tenant of the building
Surface area (in square metres) Of which office space Of which non-office space	5.250 M² de Surface Hors Oeuvre Nette (S.H.O.N)	
Annual rent (in EUR)	In 2015: EUR 429 111 HT/year	The new INSEE indicator will be published during the 1st Quarter 2015.
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 2015: EUR 25 000,00 HT/year	Purchase of 100 daily passes (total cost of € 500,00) to accommodate the requests of the experts attending meetings in Valenciennes.
Type and duration of rental contract	1 year with tacit renewal	
Host country grant or support	No	
Present value of the building	If the agency owns the building	

	Name, location and type of building	Other Comment
Information to be provided per building:	ERA meeting premises, 299, Boulevard de Leeds – Lille	
Surface area (in square metres) Of which office space Of which non-office space	602,62 M²	
Annual rent (in EUR)	In 2015: 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 2015: 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 the French authorities did not find any alternative and viable solution for the Agency, a new lease agreement for the current Lille premises has been signed.

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 2016

Hazard (potential damage)	Risk description (cause - consequence)	Impact (1-5)	Likelihood (1-5)	Inherent risk (if no controls applied or ineffective) Critical/High/Medium/Low	Considering controls in place + effectiveness	Impact (1-5) in terms of financial and reputation	Likelihood (1-5) based on previous experiences	Residual risk (critical/ high/ medium /low)	Measures to achieve acceptable risk for management
Inconsistency/ lower quality of Agency outputs	**Root cause 1:** Too high stakeholder expectations **Root cause 2:** Workload demands exceeding allocated resources	2→5	5	High→Critical	• Communication plan/activities in place • Optimization of the setting of stakeholder message/channels already started • External Stakeholder Perception Management procedure under development	5	5	Critical	• Adoption and full implementation of the communication strategy • External Stakeholder Perception Management procedure in place
	Root cause 3: Unexpected changes of priorities/legislation	3	3		...ion plan/activities in	3	3	Medium	N/A
	Root cause 4: Inadequate internal flexibility for resource allocation **Root cause 5:** Lack of management prioritization **Root cause 6:** Unclear criteria to ensure effective resource allocation	2→5	5				3	Medium→ High	• Implementing the job screening exercise • Comprehensive policy evaluation • Adoption and full implementation of the Communication Strategy and of the decision making procedure • Work Programme management and prioritisation programme • Monitoring Key performance indicators
	Root cause 7: insufficient access to the right expertise	4	3	High	• Or... stakeholde... • Possibility to ... experts	4	3	High	Enhance cooperation with other EU Agencies
	Root cause 8: lack of quality assurance for out outputs	3→5	4	High→Critical	Ongoing development the quality management system	3→5	2	Medium→ High	Certified Integrated management system implemeted

This risk register is indicative and needs to be updated following the IMS review in Nov/Dec 2015, taking into account latest developments concerning the 4th Railway Package implementation in ERA and Member States, related resourcing issues etc. The updated risks will be formally verified by the Agency and presented to the Admin Board at a later stage.

	Root cause			Risk	Measures in place			Risk	Further action
Decreasing Agency reputation	**Root cause 1:** Unclear (doubts on usefulness) of our work	4	4	High	• Communication plan/activities in place • Optimization of the setting of stakeholder message/channels already started • External Stakeholder Perception Management procedure under development	4	3	High	• Adoption and full implementation of the communication strategy • External Stakeholder Perception Management procedure in place • Development railway indicators • Comprehensive policy evaluation
	Root cause 2: Divergent/conflicting interests of stakeholders	5	5	Critical	• Organisation of different stakeholders' networks • Stakeholder consultation workshop for the Work Programme	5	3	High	• Adoption and full implementation of the communication strategy • External Stakeholder Perception Management procedure in place
	Root cause 3: Poor perception of railway sector	3	3			3	3	Medium	N/A
	Root cause 4: Poor reputation of the agency	5	2	High	exhib...		2	High	• Adoption and full implementation of the communication strategy
	Root cause 5: Difficulties to recruit the right staff	5	1	Medium	• Employment conditions • Promotion of the Agency	5	1	Medium	Continuing implementation of the measures in place

Inefficient and lack of compliance	• **Root cause 1:** Inappropriate management tools in place (especially in IT)	4	4	High	• Ongoing development of quality management system • Project & contract management procedures • EIGC for IT • Business Continuity Plan (BCP) adopted	4	3	High	• Certified Integrated management system implemented • Work Programme Management Procedure • BCP fully implemented
	Root cause 2: Lack of mitigated measures of Conflict of Interests for staff	4	2	Medium	• Revision of agency policy on long term/short term contracts • Policy on Conflict of interest for staff • Induction training on ethics for staff	4	1	Medium	Develop and implement an Anti-fraud strategy (including revised policy on CoI for staff)
	Root cause 3: Lack of mitigated measures of Conflict of Interests for Administrative Board	4	2	Medium		4	2	Medium	Policy on Conflict of Interest for AB members (+decl. on CoI and assessment)
	Root cause 4: Mismanagement of money (sound financial management as well as intentional irregularities)	3	4	High	contr... • Supervisor, • Procurement plan... tender procedures for yea... changes must by approved by AB,		1	Low	• Develop and implement an Anti-fraud strategy • Effective implementation of the contract management procedure • External/internal audits + controls • Regularly improved budget rule forecast
	Root cause 5: Degradation of staff well being	4	2	Medium	• Employment conditions • Internal mobility policy	3	1	Low	Continuing implementation of the measures in place

	Root cause 6: Inadequate proactive service culture (internal/external)	4	4	High	Regular feedback from stakeholders/various dissemination activities	4	2	Medium	Developing feedback tools and activities
Inefficient and lack of compliance	**Root cause 7 :** Insufficent awareness on ethical conduct/ guidance on specific areas	3	3		• Conflict of interest policy for all ⌐d Administrative ⌐ics and	2	1	Low	Develop and implement an Anti-fraud strategy

This risk register is indicative and needs to be updated following the IMS review in Nov/Dec 2015, taking into account latest developments concerning the 4th Railway Package implementation in ERA and Member States, related resourcing issues etc. The updated risks will be formally verified by the Agency and presented to the Admin Board at a later stage.
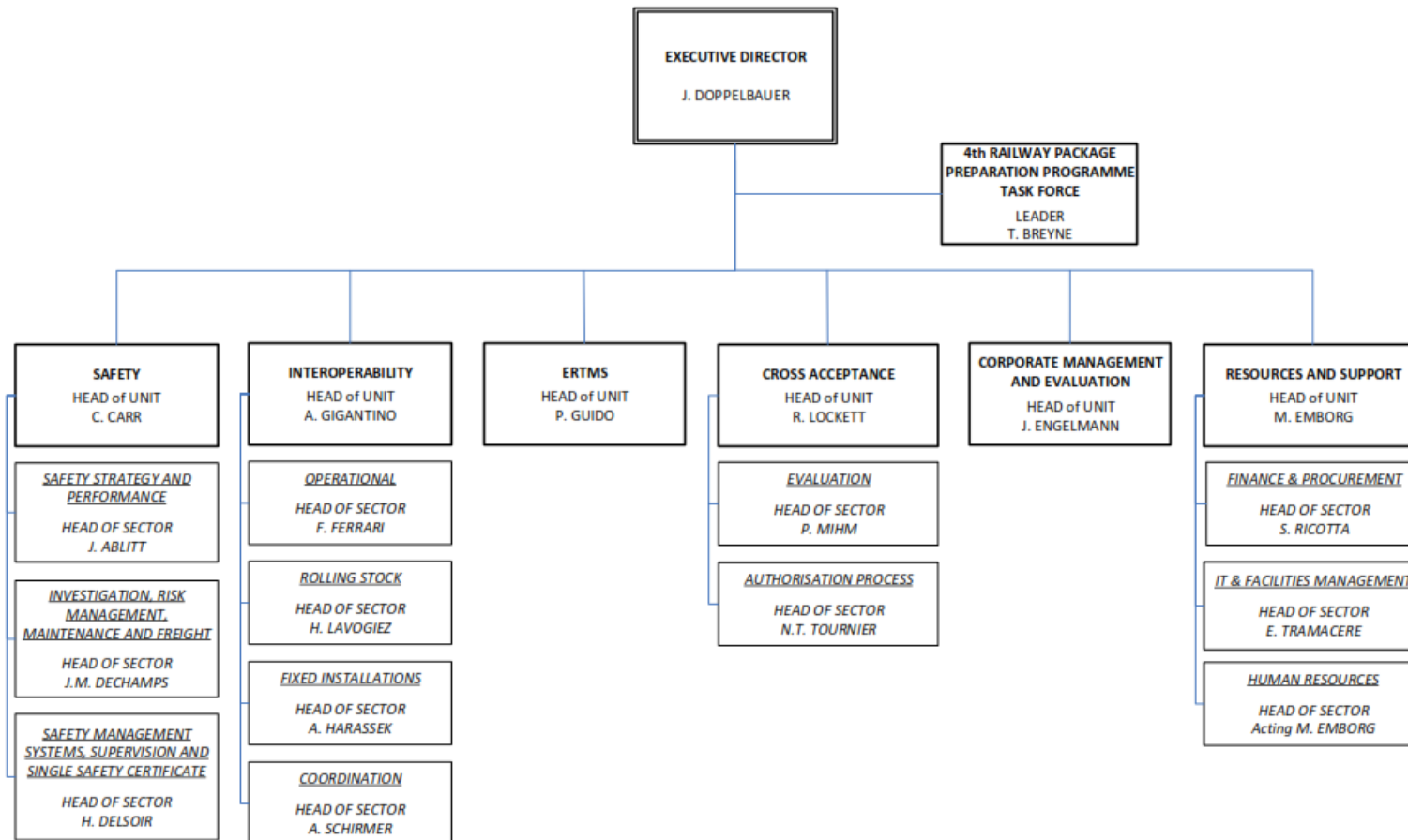
Annex VIII: Procurement plan 2016

Indicative subject	Budgetary envelope per procedure	Indicative time-frame for launching the procurement procedure	Type of contract envisaged
CRM/contact management tool	10,000.00 €	Q1-Q2 2016	Direct service contract
Internal Communication Consultant (SES)	20,000.00 €	Q1-Q2 2016	Direct service contract
Website redesign	60,000.00 €	Q1-Q2 2016	Use of EC existing FWC
4th Railway Package - Liability	60,000.00 €	Q1-Q2 2016	Direct service contract
Quality (IMS)	120,000.00 €	Q1-Q2 2016	use of ERA existing FWC
Overall Communications services (video/pictures/publications/other visuals)	200,000.00 €	Q1-Q2 2016	Framework Contract
Stand builder for Innotrans	100,000.00 €	Q1-Q2 2016	Direct service contract
International Transport Accident Investigation Conference	60,000.00 €	Q1-Q2 2016	Direct service contract
Feasibility Study - reference onboard	130,000.00 €	Q1-Q2 2016	Direct service contract
Feasibility of satellite for railway communications	120,000.00 €	Q1-Q2 2016	Direct service contract
Implications of bearer independent communication concept	150,000.00 €	Q1-Q2 2016	Framework Contract
Telecom Services	250,000.00 €	Q1-Q2 2016	Framework Contract
Provision of books, leaflets and electronic files	15,000.00 €	Q1-Q2 2016	Framework Contract
CSM on monitoring: study on implementation by RUs, IMs and ECMs	100,000.00 €	Q1-Q2 2016	Direct service contract
Building a Railway Risk Model	100,000.00 €	Q1-Q2 2016	Direct service contract
GLOBAL BUDGETARY ENVELOPE RESERVED FOR THE PROCUREMENTS DURING THE YEAR	**1,495,000.00 €**		

Annex IX: Organisation chart

EXECUTIVE DIRECTOR

J. DOPPELBAUER

4th RAILWAY PACKAGE PREPARATION PROGRAMME TASK FORCE

LEADER
T. BREYNE

SAFETY	**INTEROPERABILITY**	**ERTMS**	**CROSS ACCEPTANCE**	**CORPORATE MANAGEMENT AND EVALUATION**	**RESOURCES AND SUPPORT**
HEAD of UNIT C. CARR	HEAD of UNIT A. GIGANTINO	HEAD of UNIT P. GUIDO	HEAD of UNIT R. LOCKETT	HEAD of UNIT J. ENGELMANN	HEAD of UNIT M. EMBORG

SAFETY

SAFETY STRATEGY AND PERFORMANCE

HEAD OF SECTOR
J. ABLITT

INVESTIGATION, RISK MANAGEMENT, MAINTENANCE AND FREIGHT

HEAD OF SECTOR
J.M. DECHAMPS

SAFETY MANAGEMENT SYSTEMS, SUPERVISION AND SINGLE SAFETY CERTIFICATE

HEAD OF SECTOR
H. DELSOIR

INTEROPERABILITY

OPERATIONAL

HEAD OF SECTOR
F. FERRARI

ROLLING STOCK

HEAD OF SECTOR
H. LAVOGIEZ

FIXED INSTALLATIONS

HEAD OF SECTOR
A. HARASSEK

COORDINATION

HEAD OF SECTOR
A. SCHIRMER

CROSS ACCEPTANCE

EVALUATION

HEAD OF SECTOR
P. MIHM

AUTHORISATION PROCESS

HEAD OF SECTOR
N.T. TOURNIER

RESOURCES AND SUPPORT

FINANCE & PROCUREMENT

HEAD OF SECTOR
S. RICOTTA

IT & FACILITIES MANAGEMENT

HEAD OF SECTOR
E. TRAMACERE

HUMAN RESOURCES

HEAD OF SECTOR
Acting M. EMBORG

ERA-Organisation Chart 16-10-2015