Single Programming Document 2019-2021

EUROPEAN UNION AGENCY FOR RAILWAYS

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Foreword

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

The following are key for the proposed multi-annual (2019-2021) and annual (2019) programming document:

(1) The 2019-2021 programming period has a significant importance for the Agency, as it involves the **transition towards incorporating the new tasks** in addition to the regular tasks in the field of railway safety and interoperability. For several topic areas, the need to build multi-annual roadmaps has been identified in coordination with the European Commission.
(2) While the Agency is finalising all the necessary **preparatory steps** for the new role, the transition remains marked by a degree of **uncertainty** as regards the transposition of the legal provisions by the Members States by June 2019, also considering their legal possibility to decide to transpose in June 2020.
(3) For the Agency, this has important **consequences** in the context of the planning of its activities, human and financial resources, in particular for the years 2019 and 2020.
(4) Success will be based upon an integrated **Plan-Do-Check-Act cycle**. The Agency has therefore set the structure of its activities and multi-annual objectives based on this cycle, with the aim of ensuring an increased effectiveness and efficiency of its work programme.
(5) In order to balance this with possible actual variations, the Agency has designed an **agile system** of managing its work and resources, based on a prioritization process. Thus, should the actual requests for vehicle authorisations, single safety certificates and trackside approvals not be in line with the assumptions, the Agency is ready to activate a mechanism of reprioritisation.
(6) For 2019, significant effort has been put by the Agency for prioritising its work and outputs in order to cope with a **limited budget compared to the needs**, considering the package of new tasks envisaged for the Agency compared to the past years (delivery of the 4th Railway Package; monitoring of NSAs; of NoBos; One Stop Shop, including interfaces with ERATV and ERADIS; the European Vehicle Register etc.). The proposed work programme reflects the result of the prioritisation exercise and lists all the priority outputs which fit into the budget and the human resources envelope for the year.
(7) In addition to the 4th Railway Package related tasks, in 2019 the Agency will continue its work for the cleaning up of national technical and operational rules, will ensure the maintenance of TSIs according to prioritised needs, will further support the route compatibility check through the necessary parameters in RINF and will ensure the necessary interfaces between OSS, ERADIS and ERATV. Moreover, it will start its monitoring activities for NSAs and NoBos.
(8) Certain valuable projects which could not fit in the resource envelope are kept in **a reserve list**, which may be activated during the year, if the intensity of requests for the 4th Railway Package tasks is lower than assumed (e.g. NIB peer review funding; preparing the CSM for assessing the safety level and the safety performance of railway operators at national and Union level - Common Occurrence Reporting; certain streams of the work in international relations; the study on 5G in the context of ERTMS; UN legal work for the European Commission; the full development of the Single Rules Database etc.).

The Agency will continue to work closely with its staff and stakeholders in order to ensure the successful implementation of this challenging multi-annual programme.

Josef Doppelbauer
Executive Director

List of acronyms

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

Mission statement

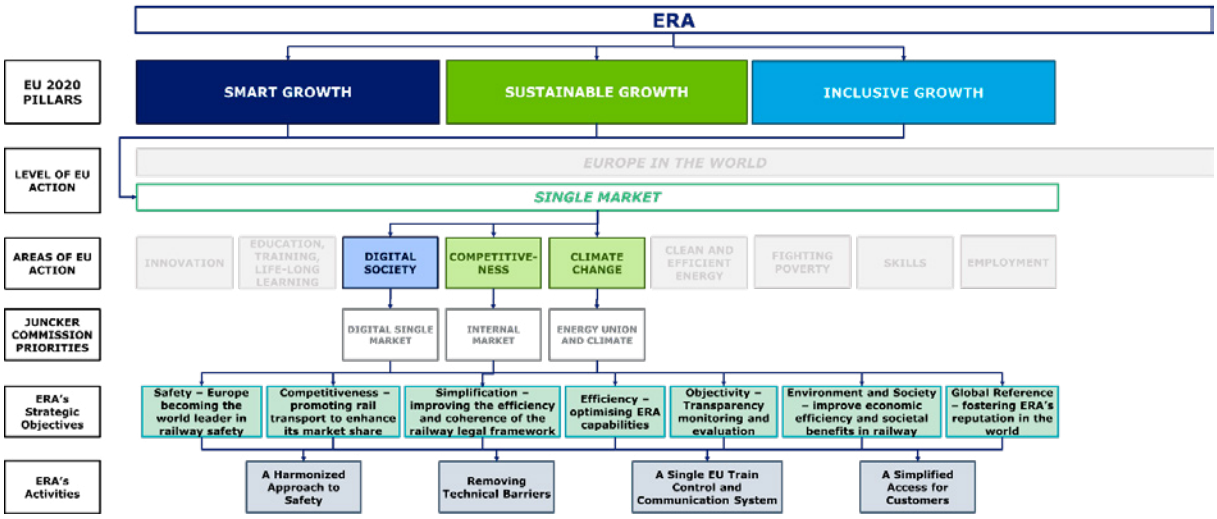
The Agency contributes to the further development and effective functioning of a single European railway area without frontiers, by guaranteeing a **high level of railway safety and interoperability**, while improving the competitive position of the railway sector, as envisaged by the **Agency Regulation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

With the entry into force of the **Fourth Railway Package technical pillar**, the role of the Agency is substantially extended. As of 16 June 2019, the Agency will become the EU authority responsible for issuing authorisations for placing railway vehicles on the market, single safety certificates for railway undertakings and ERTMS trackside approvals.

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

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

Through its mission and actions, ERA is committed and contributes to the **EU 2020 agenda** and the areas of action related to competitiveness, digital agenda and, indirectly, to the ones related to climate change, by promoting a "green" mode of transport ([1]).



([1]) EU Agencies Study, Deloitte, November 2016

Section I —
General context

Section I — General context

The 2019-2021 programming period has a significant importance for the Agency, as it involves **the transition** towards becoming the EU-wide authority for safety certification, vehicle authorisation and ERTMS trackside approval, as foreseen in the Technical Pillar of the Fourth Railway Package, in addition to the traditional tasks in the field of railway safety and interoperability. The new legal instruments and structures envisaged to complete the technical pillar's legislative framework are now in place, most notably: the practical arrangements on vehicle authorisations, and on safety certificates, a scheme for fees and charges, a Board of Appeal and its rules of procedure, as well as the common safety methods. Moreover, the set of reviewed technical specifications for interoperability is planned to be adopted in the beginning of 2019. The One Stop Shop application is still under development and scheduled to be available in the first half of 2019.

This transition is marked by a degree of **uncertainty** as regards the transposition of the legal provisions by the Members States by June 2019, also considering their legal possibility to ask for an extended transposition by one year. This may mean varying workload for the Agency, with the probability to have limited number of applications followed by peaks of requests in the next periods. In its new role of EU-wide authority, the Agency will anyway have to be **ready** to respond within legal deadlines to the applications received for safety certificates, vehicle authorisations and ERTMS trackside approvals, while continuing its work for ensuring a high level of railway safety and interoperability in the EU. Further information will be formally available in December 2019, based on Member States' notifications to the European Commission. Based on this, the Agency will be able to refine its estimates regarding the workload, as well as regarding the expected fees and charges.

Taking into consideration the above-mentioned uncertainties, the Agency has put in place **an agile** system of managing its work and resources, based on a **prioritization process and associated contingency criteria**. For 2019, significant effort has been put by the Agency for prioritising its work and outputs in order to cope with **a limited budget compared to the needs**, considering the package of new tasks envisaged for the Agency compared to the past years (delivery of the 4th Railway Package; monitoring of NSAs; of NoBos; One Stop Shop, including interfaces with ERATV, EVR and ERADIS; the European Vehicle Register etc.). Moreover, the budget estimated for the One Stop Shop in 2019 was not approved in the financial envelope. The proposed work programme reflects the result of the prioritisation exercise and lists all the priority outputs which fit into the budget and the human resources envelope for the year.

Certain valuable projects which could not fit in the resource envelope are kept in **a reserve list**, which may be activated during the year, depending on the intensity of requests for the 4th Railway Package tasks. This may require regular revision cycles of the work programme in order to reflect the actual needs for the 4th Railway Package activities during the year and free resources, if the case, for additional outputs from the reserve list (e.g. NIB peer review funding, preparing the CSM for Common Occurrence Reporting, certain streams of the work in international relations, the study on 5G in the context of ERTMS, UN legal work for the European Commission, the full development of the Single Rules Database, of the PRM TSI Inventory of Assets and of SAIT etc.).

Moreover, in order to cope with the budget limitations, the Agency envisages a set of **solutions**, such as: providing reimbursements to participants only for the Management Board meetings and for a couple of specific cases such as the persons with reduced mobility attending the PRM TSI work; ceasing the translations for the NIB and NSA annual reports; issuing the work programme and the annual activity report only in electronic format. The Agency draws attention on the fact that in 2019 and 2020, there is the risk that not enough SSC and VA projects will have been started to cover the costs for the staff envisaged to be covered from fees and charges (9 temporary agents and 3 contract agents). In such situation, support from the European Commission will be requested to cover the budget gap.

Section 2 — Multi-annual programming 2019-2021

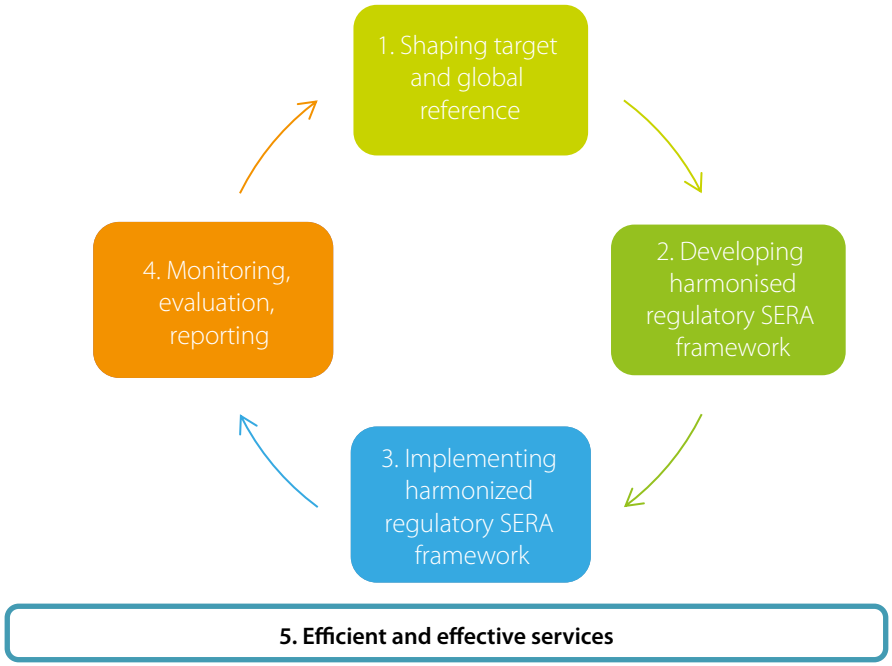
Section 2 — Multi-annual programming 2019-2021

1. Structure of the multi-annual programme 2019-2021

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

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

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



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

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

2. Content of the multi-annual programme 2019-2021

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

› Objective 1.1 Strengthening global cooperation in rail

For the period 2019-2021, the Agency shall support the European Commission's international strategy. For that, the Agency identified the need to set up and implement, in coordination with the EC, a roadmap for engagement in the global development of regulations and standards. The benefits of making the EU railway standards a global reference will be analysed in the context of such a multi-annual planning. Moreover, in the framework of this objective, the Agency is interested to foster a structured approach to the clarification, simplification and evolution of the existing EU railway framework (incl. common positions), in coordination with the EC. In order to cope with the budget constraints for 2019 and until the multi-annual roadmap is agreed with the EC, the Agency will limit some streams of the international work.

The Agency will continue to support the strengthening of cooperation at a European level through the work of the networks that involve partner organisations and coordination meetings with various certification bodies. The Agency will support the use of the Joint Network Secretariat as a mechanism to allow the interested parties to find the best solution.

› Objective 1.2 Strategic Development

The Agency, together with the European Commission, have identified the need for building multi-annual roadmaps on several topics, including but not limited to: global cooperation; further improvement of the railway technical system specifications, based on identified needs and issues, including the coordination between the TSIs revisions cycle and the standards revision cycle; the strategic coordination with the EC and Shift2Rail in the field of research and innovation; railway data and information management etc. These roadmaps are likely to strengthen the multi-annual view from the incoming programming documents of the Agency.

The Agency will contribute to requests of the EC in the development of the strategic programming of new areas/interventions, taking into account the upcoming challenges (e.g. multimodality, digitalization incl. the expected migration from trackside functions towards on-board functions).

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

In order to continuously improve railway safety across Europe in a smart way, there is a need to consider both rules-based and behaviour-based safety. Promoting the integration of human and organisational factors expertise early in the design stage is key, to systematically share lessons learned from accidents and to develop a just culture. In coming years all players will need to understand and adapt to new responsibilities, in particular linked to the gradual automation of human functions and its associated risks. To achieve this "smart safety" though there needs to be a sound understanding of risk management, the proper deployment of safety management systems and sound data to allow for better informed decision making. Due to budget constraints in 2019, the Agency will address the use of safety operational data, including COR, as part of a multi-annual roadmap.

› Objective 1.4 Implementing the EUMedRail Project and 1.5 Implementing the IPA Project

The Agency will continue with both the long-standing IPA initiative to support safe and interoperable railway transport in and between the Accession States and the EUMEDRail project financed by DG NEAR to support safe and interoperable railway transport in and between the EC neighbourhood of the South Mediterranean region.

Activity 2 - Developing the harmonised regulatory SERA technical framework

› Objective 2.1 Harmonised Railway Operations and Management Systems

The removal of existing operational barriers will focus on avoiding time losses at cross-border sections caused by different national operating and safety rules, and on further reducing training costs for cross-border operating staff by optimising the operational communication and processes, including the work on the issues log of the Railway Freight Corridors.

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

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

Overall, the Agency acts as the reference point for all EU railway technical specifications (in partnership with EU standardisation organisations) and is becoming the reference point for EU-wide authorisation processes of railway vehicles. With a substantial package of TSIs revisions planned for January 2019, targeted at ensuring the consistency with the provisions of the 4th Railway Package, the TSIs are entering an era of stability. The maintenance of the TSIs will be governed through the change control management process, which will also entail a prioritization of the change requests, depending on the magnitude of the issues to be solved and the added value for the stakeholders.

The focus on the cleaning up of the national technical rules, in particular of the vehicle-related ones, but also those for fixed installations which risk to detrimentally impact the successful implementation of the 4th Railway Package, remains key for the Agency.

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

The Agency will continue to support with its technical expertise the implementation of the relevant steps from the EC Staff Working Document "Delivering an effective and interoperable ERTMS – the way ahead", while relying on the commitments from the Memorandum of Understanding on ERTMS (2016) and benefiting from the support of the ERTMS Platform stakeholders. The benefits from the identified game changers (ATO, L3, braking performance, security, etc.) will be leveraged respecting the key principles of compatibility and protection of investments.

In the field of railway communications, the Agency will develop 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 the definition of the new radio communication systems which includes a functional, technology, spectrum and migration work stream.

The TSIs on telematics applications (TAP and TAF TSIs) are addressing issues related to railway customers, aiming at harmonizing the exchange of information between actors.

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

The main expected outcome is to support the harmonized implementation of the EU framework and to strengthen the level of awareness through dissemination and training activities. With the significant changes brought by the 4th Railway Package, there will be a need to disseminate the requirements and processes linked to Safety Certification and Vehicle Authorisation. Experience from previous legislative changes indicates that this dissemination framework will need to continue for a number of years to ensure it is widely understood and applied. To this end, the Agency will start in 2019 the setting up of the ERA Academy for dissemination and training purposes.

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

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

Conforming to the technical pillar of the Fourth Railway Package, the Agency will be the sole body responsible for issuing multi-Member State vehicle authorisations and safety certificates across the whole EU and approving ERTMS trackside. The new legal instruments and structures envisaged to complete the technical pillar's legislative framework are now in place, most notably: the practical arrangements on vehicle authorisations, on safety certificates, the recommendation on ERTMS trackside approval, a scheme for fees and charges, a Board of Appeal and its rules of procedure, as well as the common safety methods. Moreover, the set of reviewed technical specifications for interoperability is planned to be adopted in the beginning of 2019. The One Stop Shop application is still under development and scheduled to be available in the first half of 2019.

For 2019, this will focus on delivering the technical programme for SSC and VA Training (first round of training modules, while the following rounds of training will be transferred to the ERA Academy); the continuation of learning cases; the negotiation of the cooperation agreements with the NSAs; the finalization of OSS development; the establishment of the Board of Appeal and the setting up of the business helpdesk. Once the preparation phase is closed in 2019, this objective will ensure the effective maintenance of the necessary processes and tool for the delivery of the 4th Railway Package Tasks (revision of guides and procedures; OSS releases, business helpdesk).

› Objective 3.2 Issuing Single Safety Certificates

The Agency will issue Single Safety Certificates from 16 June 2019, as part of its role of EU-wise authority, enforced by the 4th Railway Package. Single Safety Certificates will be managed using the Agency's One Stop Shop IT system.

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

With the Fourth Railway Package in force, the Agency will issue all multi-Member State vehicle authorisations and, on request from applicants, national vehicle authorisations. All vehicle authorisations will be managed using the Agency's One Stop Shop IT system.

› Objective 3.4 Issuing ERTMS trackside approvals

The Agency is the system authority for the harmonised ERTMS specifications and for their coherent implementation in the railway system. Its role in vehicle authorisation and ERTMS trackside approval allows a strengthened leadership in the efficient application of the framework and of the standards.

Common remark for Objectives 3.2-3.3-3.4: The uncertainty related to the rate of transposition in 2019 and 2020, respectively, and therefore the unpredictable number and complexity of applications raises the need for ERA to have an agile work programme and allocation of resources.

› Objective 3.5 Railway system data

The Agency strives, with a multi-annual perspective, for providing timely and quality data for identified use cases (internal and external) e.g. to facilitate route compatibility testing, authorization processes, planning and operational purposes and to monitor the implementation of SERA. In 2019 particular attention will be given to updating RINF in accordance to specifications for route compatibility check, updating ERATV for alignment with 4RP requirements, ensuring the OSS –ERADIS interface for SSC and enabling the new ECM certificate structure in ERADIS. The Single Rules Database will be addressed in a multi-annual perspective, given the limited resources for 2019. Depending on the availability of resources, the work on the PRM TSI Inventory of Assets (IoA) may continue.

Activity 4 - Monitoring, evaluating and reporting

› Objective 4.1 Collect and analyse evidence for decision making

The Agency carries out economic evaluations (ex-ante impact assessment, ex-post evaluations) as a feature common to all activities of the Agency in order to avoid any decrease of the competitiveness of railway transportation, and in order to provide decision-makers with a fair estimate of the effects of Agency recommendations.

› Objective 4.2 Monitoring

The Agency's monitoring activities are aimed at contributing to improving overall EU safety and interoperability by increasing quality of and the trust in the work performed by NSAs, NIBs, NoBos and recognised assessment bodies for an effective and efficient implementation of the 4RP provisions. Following the piloting of the scheme to monitor National Safety Authorities in 2018, the years 2019 – 2021 will see the scheme running at full operation. However, due to limited budgetary resources in 2019, the Agency asks the Management Board to endorse a targeted monitoring activity for the NSAs, focused on the priority needs from the perspective of the 4th Railway Package (supervision and competence management framework).

In order to increase the trust in the work performed by NoBos and in the certification procedure as a whole, the Agency has already developed a set of harmonised requirements for conformity assessment bodies (applicable within both accreditation and recognition environment) and a proposal for an EU harmonised monitoring system for notified conformity assessment bodies, which will start to be implemented in 2019.

The Agency will perform qualitative analyses of the NIB accident investigation reports in order to extract meaningful conclusions. To the extent to which the limited resources allow, the Agency will continue to take part, as observer, to the peer review activities for NIBs and CSM Risk Assessment Recognition bodies. However, for 2019, due to the budget constraints, the Agency will not be able to fund the NIB peer review.

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

The Agency contributes to railway research activities at the Commission's request or on its own initiative. It supports the Commission services, representative bodies and the Shift2Rail Joint Undertaking with railway expertise and contributes to the definition and implementation of the Shift2Rail Master Plan by: proposing possible amendments to the Shift2Rail Master Plan and to the annual work plans, in particular to ensure that research needs relating to the realisation of the Single European Railway Area are covered; proposing, after consultation with the stakeholders, guidelines for research and development activities leading to technical standards with a view to guaranteeing the interoperability and safety of results; reviewing the common developments for the future system and contributing to defining target systems in regulatory requirements, and reviewing project activities and results with a view to ascertaining their relevance to the Shift2Rail general objectives and to guaranteeing the interoperability and safety of research results.

› Objective 4.4 Reporting on the Railway System

The Agency is monitoring the progress on railway interoperability and safety. Priority in 2019 will be given to providing an annual overview for the Report in Railway Interoperability and Safety (to be issued in 2020) and the annual assessment of achievement of safety targets (CSTs assessment report). In a multi-annual perspective, the Agency will explore the requirements for a tool that can provide an overview of the safety and interoperability level of the Union rail system in accordance with Article 35(6) of the Agency Regulation. Moreover, the multi-annual planning can also incorporate the further development of the Railway System Data Inventory.

Activity 5 - Delivering efficient and effective services

› **Objective 5.1 Ensure good corporate governance**

This activity covers overall corporate governance including: the Agency's legal and accounting activities, the internal control coordination and ethics function, the business planning and reporting, the support for the Management and Executive Board, the process-based Integrated Management System (ISO 9001:2015 certified in June 2017) supporting Agency's operations while maintaining quality standards, as well as the information security activities.

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

The main focus of the specific objective is to ensure a an effective management of the Agency's needs linked to the additional tasks of the Fourth Railway Package and its impact on human and financial resources and building facilities.

› **Objective 5.3 Supporting business delivery through IT-systems**

The Agency will continue to develop and maintain core business applications and infrastructures for the benefit of the Agency's stakeholders. It also ensures ICT business continuity, disaster recovery and support to users of systems and services.

› **Objective 5.4 Communicating effectively through website and social media**

The Agency has updated its website in 2018 and will continue to maintain its website and develop further its social media means. The need to consolidate our presence on the web, by stabilizing and improving the new website (and contents) and increase our social media participation become increasingly important.

To all this, a proper management of the stakeholders (via the SRM tool) can contribute by increasing the number of website visitors.

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

The Agency will develop the necessary communication management linked to the implementation of the 4th Railway Package and continue to organise the necessary conferences for its main activities (e.g. CCRCC Conference). The Agency has limited its communication to fit into the budget constraints in 2019.

3. Resources outlook 2019-2021

The following tables give a high level overview of the resource needs (financial resources and human resources) for the period 2019-2020.

The details are included in Annexes 1, 2 and 3 to the present document.

The budget figures in the following table are indicative until the budget will be formally adopted by the Budget Authority.

	2019	2020	2021
Expenditure*	27,139,347	28,139,347	28,139,347
EU contribution**	26,500,000	27,489,347	27,489,347
EFTA contribution	639,347	650,000	650,000
Fees and charges***	pm	pm	pm
FTEs	190	188	188
TAs	148	148	148
CAs****	38	36	36
SNEs	4	4	4

* The Agency draws attention that the cost of the activities created under the 4th Railway Package were not properly factored in the MFF. In order to cover this expenditure, the Agency will deprioritise other categories of expenditure in 2019. For 2020 and 2021, it is crucial that this amount be covered in the budget.

** The amount for 2020 is higher than the one envisaged. This is needed to cover the maintenance costs for OSS, as well as the costs for the entire package of new tasks compared to the past (NSA monitoring, NoBo monitoring, EVR, interface OSS-ERADIS, OSS-EVR and OSS-ERATV etc.). In 2019 an effort was made to fit in the envelope of the EU contribution of 26.5 mill € by deprioritizing some of the other expenditure. This effort is not sustainable for 2020.

*** Given the uncertainty on transposition by Member States in 2019 and 2020, respectively, as well as the uncertainty as regards the volume and timing of work for VA, SSC and ERTMS trackside approval requests, the Agency is not in the position to give an estimate of the revenues, expenditure and associated inflows/outflows related to the fees and charges activities. The Agency is at this stage asking the MB to agree for Title 4 to be created in the budget, while the actual revenues, expenditure and cash flow figures, included any support needed from EC, will be brought to attention later in 2019, once sufficient data is available.

**** The Agency would like to preserve a number of 38 CAs to ensure the stability of its workforce as of 2020. The Agency may come back during 2019 for requesting 2 additional CAs for 2020 onwards, which are needed. A thorough justification will be provided together with the request.

Section 3 — Annual Work programme 2019

Section 3 — Annual Work programme 2019

As indicated in the multi-annual program, 2019 is the transition year when the Agency will have moved towards becoming the EU-wide authority for safety certification, vehicle authorisation and ERTMS trackside approval, as foreseen in the Technical Pillar of the Fourth Railway Package. With the 4th Railway Package preparation getting to an end in 2019 and the actual delivery starting, the Agency intends to create a climate of stability for its activities and thus the structure of the annual work programme follows the 5 activities and the 23 objectives described in the multi-annual structure.

The Agency has implemented in 2018 a re-organisation in which new teams are created for the achievement of the 5 activities and the 23 underlying objectives. The structure of the work programme is agnostic to the organigram, therefore resulting in a matrix structure aimed at increasing the effectiveness and efficiency of the Agency's activities.

In **Activity 1**, in 2019 there will be a focus on defining the strategic direction for the Agency focusing on how to strengthen the EU framework outside the EU and prepare roadmaps for new upcoming strategic challenges (e.g. multi-modality, digitalisation and migration of trackside functions towards on-board functions). These roadmaps shall be built in close cooperation with the EC. In parallel, the ongoing activities shall be maintained for the coordination of networks and implementation of the IPA and EU MedRail project.

In **Activity 2**, in 2019 the necessary revisions of the TSIs linked to the 4th Railway Package are expected to be voted beginning of 2019, after which a period of stability of TSIs is envisaged. The first year after these revisions shall mainly be dedicated to identify the priorities and establishing of a multi-annual planning for potential future revisions, including the correlation between the TSIs revision cycle and the standards revision cycle. In parallel, a strong focus shall be maintained on the cleaning up of the remaining national technical and safety rules which are the main contributor for the achievement of the SERA.

In **Activity 3**, the Agency will start in 2019 to issue single safety certificates, vehicle authorisations and trackside approvals. In parallel, the Agency shall release and maintain the One Stop Shop (OSS) and upgrade the other registers according the needs with a priority towards the implementation of the requirements linked to route compatibility checks (RINF and rolling stocks registers).

In **Activity 4**, the Agency shall implement in 2019 the NSA-monitoring scheme and maintain its activities on accident/incident analysis and NIB reporting. The analysis tasks linked to impact assessment of recommendations and opinions shall be maintained and an additional analysis shall be made on the registers in order to define the potential future options to optimise the business value of the existing registers. The research activities shall continue to focus on the identification of research needs linked to the SERA needs and the management of the integration and follow-up of these needs within the relevant research programmes (mainly linked to the cooperation with Shift2Rail).

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

The annual work programme 2019 is organised in a standard structure displaying, for each of the 23 objectives: the outcomes (added value of the objective, including the link to the multi-annual view); the main pre-conditions for achieving the outcome; the resource envelope for the year (FTE and budget); the intended outputs for 2019, together with indicators and realistic targets. This information will support the prioritisation process needed in 2019, described in detail under the General context section. The budget per SPD objective is an estimate based on the tasks envisaged and should not be read as a precise measure.

The budget figures quoted in each of the following fiches refer to direct costs under Title 3 - Chapter 30 of the budget. They are recapped in a separate column under Annex I, Table 2 (page 44).

All indirect costs, namely Title 1, Title 2 and Title 3 – Chapter 31 of the budget, are not recorded in the individual fiches. They are however recorded and distributed proportionally per activity under the indirect costs in Annex I, Table 2 (page 44).

The following table lists the main Key Performance Indicators (KPIs) for 2019:

	Key Performance Indicators 2019
1	100% decisions taken according to the legal framework deadlines for issuing SSC (for completeness and assessment phases)
2	100% decisions taken according to the legal framework deadlines for issuing VA (for completeness and assessment phases)
3	100% decisions taken according to the legal framework deadlines for issuing Trackside approvals (for completeness and assessment phases)
4	95% of the recommendations and opinions issued within the legal deadlines
5	100% Member States having their vehicle-related NTRs cleaned up
6	Positive surveillance audit on ISO 9001 certification for the Agency
7	98% implementation of the establishment plan
8	Less than 5% of staff turnover
9	98 % of the annual appropriations committed
10	Carry-over of <10% of payment appropriations for Title 1, <20% for Title 2, and <30% for Title 3
11	95% execution of carry over payment appropriations
12	95% payments made by contractual deadline
13	98% availability of the core ICT systems

1. Activity 1
Contributing to shaping target and global reference

Objective 1.1
Strengthening global cooperation in rail

Expected outcome	Effective EU railway framework Strengthen the EU railway framework as the global reference Continued engagement and coordination with the stakeholders
Outcome indicator	EU railway framework effectiveness Number of Member States outside EU implementing (partially or totally) the EU railway framework
Pre-conditions for achieving the outcome	Readiness to cooperate internationally Agreement with EC on the relevant roadmaps
Progress towards outcome in 2019	Setting up the envisaged roadmaps and starting implementation accordingly
Expected resource envelope › Human resources › Financial resources	 5.75 FTE 218.49 K€
Fee-based	No

List of the main projects/services	Output indicator	Target for 2019
Coordination of the international relations based on Roadmap for engagement in the global development of regulations and standards	Report on priority needs according to roadmap for global development addressed within international relations (support to EC on international relations; ISO/IEC/ITU; OTIF; OSJD; workshops with supervisory authorities, international organisations and administrations of third countries)	Delivered to the Management Board
Coordination of SERA needs with external stakeholders	Report on priority needs for EU railway framework addressed within European and international organisations › CEN/CENELEC/ETSI (alignment of standards with EU regulation, incl. RASCOP) › Support of EC regarding standards › NSA Network › NIB and NRB management and coordination › UIC cooperation	Delivered to the Management Board

Objective 1.2
Strategic development

Expected outcome	Agency's strategic planning responding to legal requirements, as well as to emerging problems and opportunities within the transport/ railway sector
Outcome indicator	Fit for purpose multi-annual programmes (External stakeholders' positive assessment)
Pre-conditions for achieving the outcome	Regular coordination with the external stakeholders on the strategic agenda topics, including the EC
Progress towards outcome in 2019	Develop multi-annual roadmaps for identified priority topics in line with agreed priorities
Expected resource envelope › Human resources › Financial resources	 4 FTE 9.26 K€
Fee-based	No

List of the main projects/services	Output indicator	Target for 2019
Agency's strategic development	Number of multi-annual roadmaps developed for priority topics from the programming document	At least 3*, published on website
	No. of intermediate strategic planning reports issued for new emerging topics	1**

* Proposals of topics for multi-annual roadmaps subject to confirmation of priorities: global cooperation; single vision of target rail system; improvement of the railway technical system specifications, based on identified needs and issues, including the coordination between the TSIs revisions cycle and the standards revision cycle; railway data and information management, including the use of databases and registers etc.

** Proposals of topics subject to confirmation of priorities: digitalization; multimodality; migration from trackside functions towards on-board functions.

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

Expected outcome	Improved safety and overall performance of the railway system through positive safety culture, integration of human and organisational factors and the cultivation of a continuous learning environment.
Outcome indicator	The degree of understanding of all players in the railway system of how human and organisational factors (incl. safety culture) are influencing operational performance. Safety Culture evaluation possible from 2022 (to be published from 2024 onwards based on developed methodology)
Pre-conditions for achieving the outcome	Cooperation of the railway sector (EC, national authorities, duty holders, etc.)
Progress towards outcome in 2019	An increased understanding of HOF, safety culture and organisational learning, as well as the development of practical tools that help to support their integration.
Expected resource envelope › Human resources › Financial resources	 8.1 FTE 77.36 K€
Fee-based	No

List of the main projects/services	Output indicator	Target for 2019
Integrate human and organisational factors	% of topics analysed by a task force / topics proposed by the network and accepted	100% coverage according to 2018 approved planning
	Report on analysis of potential risks in automation, in particular impact on train drivers skills from ATO	Delivered
	No. sector HOF experts reached through virtual network	Min. 20 active participants
Develop safety culture	No. of National/Regional Safety Culture Declaration Signing Events in cooperation with NSAs and/or IMs	2-3
	European Safety Culture Model and assessment method V2 of European Railway Safety Culture Model (review of V1 based on pilots) Model tested (at IMs and RUs; at NSAs) Guide of safety culture assessment Guide of safety culture oversight	Released V2 test report published Published Published
	European Safety Culture evaluation process	Developed

Objective 1.4
Implementing the EU MedRail project

Expected outcome	Technical Assistance in railways with a view on further developing an integrated, safe and efficient transport system in the South Mediterranean Region Alignment of railway regulations in the Southern Mediterranean Neighborhood with EU regulations Improvement of safe railway transport and services in and between the beneficiaries
Outcome indicator	Number of NSA and NIBs set up in the region Number of regulations of beneficiaries aligned with European regulations
Pre-conditions for achieving the outcome	Readiness to cooperate internationally Available resources at EU side
Progress towards outcome in 2019	In accordance to the grant agreement for 2019
Expected resource envelope › Human resources › Financial resources	 3 FTE EU grant
Fee-based	No

List of the main projects/services	Output indicator	Target for 2019
Workshops	No. of national workshops involving one beneficiary	6
	No. of regional workshops involving more than one beneficiary	2
	No. of international workshops including EUMEDRAIL annual conference	4
Traineeship arrangements for experts of the region	No. of trainees from the beneficiaries at the Agency	9
Technical visits	No. of technical visits for specified subjects in Europe	2
	No. of technical (field) visits in the region	5
Experts participation to meetings organized by the Agency	No. of meetings/events organized by the Agency, where the experts from the region attend	2
Support to DG NEAR / UfM	No. of UfM working group meetings attended	3
	Evaluation of UfM documents related to rail transport	Performed

Objective 1.5
Implementing the IPA project

Expected outcome	Adaptation of national legislation to EU regulations in the pre-accession countries addressed Support to NSAs and NIBs from the countries addressed according to EU legal framework
Outcome indicator	Number of NSAs and NIBs set up in the region % of rail related legal acts aligned with EU legal framework
Pre-conditions for achieving the outcome	Readiness to cooperate internationally Available resources at EU side
Progress towards outcome in 2019	In accordance to the grant agreement for 2019
Expected resource envelope › Human resources › Financial resources	 1 FTE EU grant
Fee-based	No

List of the main projects/services	Output indicator	Target for 2019
Workshops	No of IPA workshops with beneficiaries of Western Balkans	4
Sharing best practices among beneficiaries of the Western Balkans via peer review	No. of peer review activities	2
Experts participation to meetings organized by the Agency	No. of meetings/events organized by the Agency, where the IPA beneficiaries attended	4
Traineeship arrangements for IPA beneficiaries	No. of trainees from the IPA beneficiaries at the Agency	2
Support to the beneficiaries on request	No. of requests addressed	2
IPA report and support to EC	IPA report	Issued
	No. of days/month support to EC	0.5

2. Activity 2
Developing the harmonised regulatory SERA technical framework

Objective 2.1
Harmonised Railway Operations and Management Systems

Expected outcome	Improved operational safety and overall operational performance of the railway system through the management of major railway operational risks
Outcome indicator	Degree of harmonisation of railway operations and management systems throughout Europe
Pre-conditions for achieving the outcome	Cooperation of the railway sector (EC, national authorities, duty holders, etc.)
Progress towards outcome in 2019	Progress with OPE TSI revision, removing operational barriers for RFCs, follow up on risk management for transport of dangerous goods, ECM accreditation scheme
Expected resource envelope › Human resources › Financial resources	 7.25 FTE 51.78 K€
Fee-based	No

List of the main projects/services	Output indicator	Target for 2019
Operational rules	Recommendation for OPE TSI	Delivered
	Proposals of solutions for priority issues from the issues log in the context of contribution to RFC activities: 1. Train composition 2. Technical checks 3. Train Braking	Solutions discussed with RFC and published
	Areas for further harmonisation and identification of national operating rules (by standards or by TSI requirements depending on the outcome of the TSI OPE text)	Identified as part of a multi-annual roadmap
Risk management	Progress report on Transport of Dangerous Goods (TDG) risk assessment road map: ##workshop organised on guide for risk assessment in Transport of dangerous goods; ##examples of application published ##survey for monitoring the use of risk assessment methodologies	Published
Inspection, maintenance and repair of rolling stock - ECM certification	ECM accreditation scheme approved by EC and EA (European co-operation of Accreditation Bodies)	Implementing act voted
		ECM guidelines published

Objective 2.2
Harmonised technical specifications (fixed installations and vehicles)

Expected outcome	Removing technical barriers and opening the market for railway products through a Single European Railway Area
Outcome indicator	Evolution of the no. of applicable national technical rules (NTRs) Non-application of vehicles related TSIs Trackside infrastructure conforming to TSIs (via RINF)
Pre-conditions for achieving the outcome	Cooperation from MSs on cleaning up NTRs
Progress towards outcome in 2019	Maintenance of TSIs that includes closing of urgent open points, alignment with European standards, alignment with reduction on NTRs, specific cases, TSI consistency Cleaning up of National Technical Rules
Expected resource envelope › Human resources › Financial resources	 ##11 FTE ##116.67 K€
Fee-based	No

List of the main projects/services	Output indicator	Target for 2019
Fixed Installations TSIs maintenance	CCM process	CCM process operational
	Prioritization of the change requests (CRs) by the Core Team (including open points)	90% of CRs prioritised
Rolling Stock TSIs maintenance	CCM process	CCM process operational
	Prioritization of the change requests (CRs) by the Core Team (including open points)	90% of CRs prioritised
National Technical Rules management	No of MSs having their NTRs cleaned Implementing Act for cross-acceptance of NTRs, including procedures on how to cover the rules not agreed by ERA	Achieved in all MS for vehicles Delivered to EC

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

Expected outcome	Contribute to the EU harmonized implementation of train control systems and telematics, as part of the digitalization agenda for railways: ##Coherent deployment of the ERTMS and Automatic Train Operation to increase savings in implementation cost, operation cost and the environmental footprint. ##Integrated ticketing and multi-modal travel information and reservation systems. ##Exchange of wagons, combined or multi-modal transport, the development of the rail freight corridors, taking into account the evolution of technological elements and innovation programs.
Outcome indicator	Core network equipped with ETCS and GSM-R; Maturity of ETCS specifications; Proportion of Telematics TSI functions implemented compared to the Masterplan
Pre-conditions for achieving the outcome	##Effective collaboration with the railway sector; S2R;GSA, standardisation bodies; ##Usable deliverables from S2R; ##Effective collaboration with the TAP Governance body to accelerate the implementation of the TAP TSI.
Progress towards outcome in 2019	Manage Radio Communication evolution, handle change requests for CCS TSI, manage the evolution of TAF/TAP TSIs
Expected resource envelope › Human resources › Financial resources	 ##13.3 FTE ##72.1 K€
Fee-based	No, except for the issuing of advice on ERTMS compatibility (art 30 of Agency Regulation)

List of the main projects/services	Output indicator	Target for 2019
Manage Radio Communication evolution	Intermediate report on general definition of new radio communication system	Issued
Manage ERTMS long term evolution	ERTMS Opinion service pack 2 for handling of Change Requests	Issued
Manage the evolution of Telematics application for passengers (TAP TSI)	Revision of TAP TSI (to facilitate-ticketing and multi-modal travel).	Issued
Manage the evolution of Telematics application for freight (TAF TSI)	Intermediate report on the revision of TAF TSI (to facilitate better access to tracking data for customers and the development of the rail freight corridors, combined or multi-modal transport).	Issued

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

Expected outcome	Establishment of a training platform based on online and physical dissemination and training activities. This platform goes under the name of ERA Academy. The main objective is to support the harmonised implementation of the EU framework and to strengthen the level of awareness through dissemination and training activities.
Outcome indicator	Degree of awareness of the EU framework, with a focus on the 4RP. Decreasing number of issues identified in the monitoring activities based on improved knowledge e.g. implementation of CSMs, TSIs, etc.
Pre-conditions for achieving the outcome	Availability of specific expertise and budget
Progress towards outcome in 2019	Content production and the delivery for the identified training and dissemination needs; start of the process for setting up the ERA Academy. For 2019, the main focus will be on the implementation of the 4RP.
Expected resource envelope › Human resources › Financial resources	 ##6.6 FTE ##82.92 K€
Fee-based	Not for 2019. At cruise speed, the activity can be fee based. The nature and extent of the fee based will be defined in accordance with Art. 43 of the Agency Regulation.

List of the main projects/services	Output indicator	Target for 2019
Creating the ERA Academy	Terms of Reference, project plan and specifications for the e-learning portal	Issued
Creating content for internal and external training and dissemination, according to priorities	Content for the 2019 priorities including at least 4RP (OSS, SSC, VA) (training modules and dissemination activities)	Developed
Delivering internal and external training and dissemination	Training modules and dissemination activities according to 2019 priorities	Delivered

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

Objective 3.1
Ensuring the coordination of the Fourth Railway Package implementation

Expected outcome	Optimized processes and tool to deliver SSC, VA and ERTMS Trackside approval
Outcome indicator	Time to propose and communicate the solution for all major changes affecting the quality of an outcome of a process or a procedure managed by the Planning and Approvals Delivery Unit in the Agency (target 2 months) Availability of releases addressing agreed change requests and addressing significant bugs (target every 3 months) Proportion of similar clauses between signed CAs (without taking into account clauses dealing with national specificities). – target 80%
Pre-conditions for achieving the outcome	Processes and tool ready by 16th of June 2019 (development phase successfully finalized) Data quality in ERADIS (for SC validity)
Progress towards outcome in 2019	PAD organization to be prepared during the first half of 2019 for implementing the CCM procedure on its processes, procedures and tools.
Expected resource envelope › Human resources › Financial resources	 ##17.3 FTE ##2 051,54 K€
Fee-based	No

List of the main projects/ services	Output indicator	Target for 2019
Revision of SSC guides and procedures	Proportion of major problems detected during shadow running, learning cases and trainings to ERA and PoE staff, for which solutions are proposed in the relevant document	95% by 16th of June 2019
Revision of VA guides and procedures	Proportion of major problems detected during shadow running, learning cases and trainings to ERA and PoE staff, for which solutions are proposed in the relevant document	95% by 16th of June 2019
Revision ERTMS Trackside approval guide and procedures (including the follow up of funded projects)	Proportion of major problems detected during shadow running, learning cases and trainings to ERA and PoE staff, for which solutions are proposed in the relevant document	95% by 16th of June 2019
Internal procedure for fees and charges financial tool	Proportion of major problems detected during shadow running, learning cases and trainings to ERA and PoE staff, for which solutions are proposed in the relevant document	95% by 16th of June 2019
Technical programme for SSC and VA Training – first round of training modules	Proportion of the identified experts from the ERA and the NSA from MS not having notified the transposition by 2020 who are trained	90% by 16th of June 2019
OSS releases	Proportion of significant problems detected during shadow running or user acceptance tests for which solutions are available in the release 1.0.	95% by 16th of June 2019
Establishment of the Board of Appeal	BoA established	By 16th of June 2019
Negotiation of the Cooperation Agreements with NSAs	Proportion of Cooperation Agreements signed with the NSAs of MSs not having notified the transposition in June 2020	95%
VA Learning cases	Proportion of applicants' requests for LC where the Agency is able to be engaged	80%
ERTMS trackside approval Learning cases and follow up of funded projects	Proportion of applicants' request for LC and request for follow up of funded projects where the Agency is able to be engaged	80%
SSC Learning cases	Proportion of RUs for which the Agency will take the decision and having one of their SC expiring by end of 2019 engaged in LC	80%
Business helpdesk SSC/VA/ERTMS Trackside	Business helpdesk SSC/VA/ERTMS Trackside effective	By 16th of June 2019
	Proportion of the requests on the Agency scope of work addressed to the business helpdesk answered within 10 working days	90%

Objective 3.2
Issuing Single Safety Certificates

Expected outcome	Reduced costs (time spent) for issuing Single Safety Certificates compared with the baseline established with the start of the 4th Railway Package Low rate of reviewed decisions. Very low rate of decisions brought to the Board of Appeal.
Outcome indicator	5 % of cost reduction. Less than 5 % of the decisions reviewed after applicant request for review. Less than 1 % of the decisions brought to the Board of Appeal.
Pre-conditions for achieving the outcome	##Timely transposition by MS. ##Same trend in time and cost reduction from the NSAs participating in the assessments. ##Effective cooperation agreements. ##Availability of SSC expertise.
Progress towards outcome in 2019	Baselines for the expected outcomes need first to be established from mid-2019 till end of 2020 (or end of 2021 if a lot of MS will only transpose in 2020), therefore the monitoring of the outcomes can only happen afterwards. Most of the progress towards outcomes will be visible from 2021 (or 2022 if a lot of MS will transpose in 2020).
Expected resource envelope › Human resources › Financial resources	Resources have been estimated taking into account that all MS will have transposed by mid of June 2019: ##7.5 FTE (ERA scope of work) ##Title 4
Fee-based	Entirely

List of the main projects/services	Output indicator	Target for 2019
Issuing Single Safety Certificates	Proportion of decisions taken according to the legal framework deadlines(for completeness and assessment phases)	100%

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

Expected outcome	Reduced costs (time spent) for issuing vehicle (type) authorization compared with the baseline established with the start of the 4th Railway Package. Low rate of reviewed decisions. Very low rate of decisions brought to the Board of Appeal. Reduced time for authorization in conformity to type
Outcome indicator	5 % of cost reduction. Less than 5 % of the decisions reviewed after applicant request for review. Less than 1 % of the decisions brought to the Board of Appeal. 95% of the authorization in conformity to type in less than one week
Pre-conditions for achieving the outcome	##Timely transposition by MS. ##Same trend in time and cost reduction from the NSAs participating in the assessments. ##Effective cooperation agreements. ##Availability of VA expertise.
Progress towards outcome in 2019	Baselines for the expected outcomes need first to be established from mid-2019 till end of 2020 (or end of 2021 if a lot of MS will only transpose in 2020), therefore the monitoring of the outcomes can only happen afterwards. Most of the progress towards outcomes will be visible from 2021 (or 2022 if a lot of MS will transpose in 2020).
Expected resource envelope › Human resources › Financial resources	Resources have been estimated taking into account that all MS will have transposed by mid of June 2019: ##12.5 FTE (ERA scope of work) ##Title 4
Fee-based	Entirely

List of the main projects/services	Output indicator	Target for 2019
Issuing Vehicle Authorisation, including ERTMS on-board assessments	Proportion of decisions taken according to the legal framework deadlines (for completeness and assessment phases)	100%
Services related to facilitation measures, at the request of the applicants and the NSAs, to support smooth transition between the current legal framework and the new one under the 4th Railway Package (in accordance with Art. 55 and 56 of the Implementing Act on the practical arrangements for VA)	Services provided	Upon request

Objective 3.4
Issuing ERTMS trackside approvals

Expected outcome	Reduction of interoperability issues in ERTMS trackside projects Very low rate of decisions brought to the Board of Appeal.
Outcome indicator	Continuous reduction of interoperability issues in ERTMS trackside projects. Less than 1 % of the decisions brought to the Board of Appeal.
Pre-conditions for achieving the outcome	Timely transposition by MS. Availability of technical experts. Tendering process not closed before 15th of June 2019
Progress towards outcome in 2019	Baselines for the expected outcomes need first to be established from mid-2019 till end of 2020 (or end of 2021 if a lot of MS will only transpose in 2020), therefore the monitoring of the outcomes can only happen afterwards. Most of the progress towards outcomes will be visible from 2021 (or 2022 if a lot of MS will transpose in 2020).
Expected resource envelope › Human resources › Financial resources	 ##1.1 FTE ##Title 4
Fee-based	Entirely

List of the main projects/services	Output indicator	Target for 2019
Issuing Approvals	Proportion of decisions taken according to the legal framework deadlines (for completeness and assessment phases)	100%

Objective 3.5
Railway System Data

Expected outcome	Provide timely and quality data for identified use cases (internal and external) e.g. to facilitate route compatibility testing, authorization processes, planning and operational purposes and to monitor the implementation of SERA.
Outcome indicator	Fulfilment of use cases by registers and databases Usability of the Agency's IT tools for registers and databases Data completeness in Agency's registers and databases
Pre-conditions for achieving the outcome	Business part: Clear definition of users' needs based on stakeholders' expectations and feedback IT part: Availability of IT expertise Data: Good level of quality for the data inputs from external stakeholders
Progress towards outcome in 2019	Updates to RINF in accordance to specifications for route compatibility check Updates to ERATV for alignment with 4RP requirements OSS –ERADIS interface established for SSC New ECM certificate structure enabled in ERADIS.
Expected resource envelope › Human resources › Financial resources	 ##8 FTEs ##633.77 K€
Fee-based	No

List of the main projects/services	Output indicator	Target for 2019
ERADIS (users support - validation and publication of safety certificates, licenses and ECM certificates, specific training of users - maintenance and development)	(Development) New interface with OSS	Released by June 2019
	(Development) New use cases and interface implemented for ECM certificates	Released by December 2019
	(Operations / maintenance / support) % of safety certificates published on time	98%
	(Operations / maintenance / support) No of ERADIS users from NSA staff trained	2 workshops/ trainings organised for users
RDD maintenance	(Development) % of change requests in scope of the release of RDD	100% implemented by end of 2019
	(Operations / maintenance / support): % System availability for RDD	98%
ERATV (Development according specifications for alignment for 4RP requirements, development of an interface with OSS,maintenance and users support)	(Development) % of published vehicle type authorizations issued under 4RP	100% from mid-2019
	(Development) % Analysis of the interface started in coordination with OSS	100% in 2019
	(Operations / maintenance / users support): % System availability	98%
RINF (new parameters and development of core functionalities for supporting the Route Compatibility check by RUs, monitoring of Implementation by MS, maintenance and users support)	(Development) RINF updated with new parameters and core functionalities in operation	June 2019
	Application Programming Interface (API)	Ready by end 2019
	Definition of indicators: Monitoring of data imported by MS; provision of reports	100% One report published by end of 2019
	(Operations / maintenance / support): System availability	98%
VKMR	% VKM published	100%
Establishing an EVR on the basis of the current ECVVR	(Development): EVR specifications for the implementation of the interfaces with the decentralized registration function available (Development): Specific changes to the core architecture of previous ECVVR	95% Released by end 2019 before testing
	(ECVVR Operations / maintenance / support): % system availability	98%

4. Activity 4 Monitoring, evaluating and reporting

Objective 4.1
Collect and analyse evidence for decision making

Expected outcome	Support decision making with better evidence and knowledge
Outcome indicator	Proportion of Agency's project portfolio for which relevant, coherent and clear evidence is available
Pre-conditions for achieving the outcome	Reliable, consistent and comprehensive (by country / stakeholder) data for decision-making including IAs, ex-post evaluation and other pertinent analyses. Integrated data management (reference and master data, data quality, data warehousing and business intelligence).
Progress towards outcome in 2019	After a pilot phase, in 2019 Economic Steering Group Task Forces will examine in-depth evidence on the outcomes of the various objectives (topics) from the Agency's work programme. In particular, an ESG Task Force on operational registers is foreseen in order to determine a multi-annual road map in this area. In addition, in line with the Agency Regulation (Article 8(3), priority will be assigned to complete particular ex post assessments of legislation based on Agency recommendations in order to determine any potential for optimisation. It is planned that at least one ex post assessment will be completed in 2019. In accordance with the Article 8(1) of the Agency Regulation will ensure that all RECs and OPIs issued in 2019 are accompanied by impact assessments, thereby supporting evidence-based decision-making.
Expected resource envelope › Human resources › Financial resources	 ##2.5 FTEs ##6.85 K€
Fee-based	No

List of the main projects/services	Output indicator	Target for 2019
Impact assessments for recommendations and opinions	% of issued recommendations and opinions accompanied by an impact assessment	100%
Ex post assessment for selected topics	Number of completed ex-post evaluations	1
Economic Steering Group and task forces	Report on business analyses for Agency databases and registers endorsed by ESG	Delivered by Q3 2019

Objective 4.2
Monitoring

Expected outcome	Contribute to improving overall EU safety and interoperability by increasing quality of and the trust in the work performed by NSAs, NIBs, NoBos and recognised assessment bodies for an effective and efficient implementation of the 4RP provisions.
Outcome indicator	Perception of stakeholders (baseline for 2019 and progress report in 3-5 years' time).
Pre-conditions for achieving the outcome	##audit team will have to follow a certified IRCA course on audits on management system ##timely access to NIB reports ##NSA, NoBos, AsBos commitment and availability
Progress towards outcome in 2019	After a pilot phase, 2019 will be the start of the NSAs Monitoring schemes. Moreover, in 2019 the NoBos Monitoring scheme will be implemented. As requested by the Agency Regulation (Art. 33 and 34), both schemes have been endorsed by the Management Board.
Expected resource envelope › Human resources › Financial resources	 ##10.3 FTEs ##462.79 K€
Fee-based	No

List of the main projects/services	Output indicator	Target for 2019
NSA Annual Safety report analysis	Qualitative analysis of NSA Annual Safety reports to be presented at the NSA annual performance review Workshop	1 summary analysis presented at the workshop
NSA monitoring	No. of recommendations/audit reports delivered	8
Support the NIB Peer review system	Information report by ERA as observer to the NIB Peer Review task force	Delivered
Review of NIB accident investigation reports	Qualitative analysis of NIB accident investigation reports	1 summary analysis delivered
CSM Risk Assessment Recognition bodies peer review	Information report by ERA as observer to the CSM RA recognition body peer review system	Delivered
NoBos monitoring	No. of reports for NoBos audit/ inspection (Agency supporting the Accreditation Bodies/National Authorities)	4

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

Expected outcome	Influence EU research and innovation programmes / projects to support the policies and framework of a SERA
Outcome indicator	SERA needs addressed by EU research and innovation programmes / projects (closure of open points, projects outputs incorporated in EU regulatory texts).
Pre-conditions for achieving the outcome	##Visibility of the Research Steering Group activities in the Agency ##Steady coordination with all stakeholders EC, ERRAC, GRB and S2R
Progress towards outcome in 2019	SERA needs taken into account in 2019 in the influenced research and innovation programmes / projects
Expected resource envelope › Human resources › Financial resources	 ##4 FTEs ##43.24 K€
Fee-based	No

List of the main projects/services	Output indicator	Target for 2019
Technological Watch	Service running	Criteria to measure the use of the service identified and a 1st survey done end 2019
Support to S2R as requested by the S2R regulation Cooperation with other research bodies (ERRAC, EASA, other)	Research projects of interest for ERA identified, followed and monitored ERA 2020 needs for research identified	100% of S2R projects analysed and projects of interest for ERA identified ERA 2020 needs for research fed in time to the relevant EU bodies (ERRAC, S2R, EC)

Objective 4.4
Reporting on the Railway System

Expected outcome	Transparency on the progress towards the achievement of the SERA framework (progress with safety, interoperability and efficiency of the Union railway system) in order to identify the need for value-added measures
Outcome indicator	Number of internal and external users of Agency datasets and reports on the railway system
Pre-conditions for achieving the outcome	Availability and access to relevant / harmonized data (internal and external), incl. IT tools, where needed Availability of relevant IT-tools for data analysis and visual display (e.g. SPSS, GIS etc.)
Progress towards outcome in 2019	Emphasis in 2019 will be placed on the annual overviews for the Report on Railway Safety and Interoperability (next edition to be published in 2020) and on the annual assessment of achievement of safety targets.
Expected resource envelope › Human resources › Financial resources	 ##2.4 FTEs ##4.73 K€
Fee-based	No

List of the main projects/services	Output indicator	Target for 2019
Report on progress with safety and interoperability in SERA (AR, Art. 35(4))	Annual overviews available on time	Annual overview 2019 available by Dec. 2019
Annual assessment of achievement of safety targets (CSTs assessment report) SAD (Art.7) on the basis of gathered CSIs + support to Eurostat	Annual assessment report on achievements of CSTs	31/03/2019

5. Activity 5 Delivering efficient and effective services

Objective 5.1
Ensure good corporate governance

Expected outcome	Legal, quality and information security compliance Effective and efficient corporate governance of the Agency
Outcome indicator	Degree of compliance to the legal, quality and information security requirements Effectiveness and efficiency gains for the Agency Effective EB and MB organisation
Pre-conditions for achieving the outcome	Cultural change towards effectiveness and efficiency gains
Progress towards outcome in 2019	Legal, quality and information security compliance Starting a task on effectiveness and efficiency gains in the Agency
Expected resource envelope › Human resources › Financial resources	 ##20.5 FTE ##139.69 K€
Fee-based	No

List of the main projects/services	Output indicator	Target for 2019
Issuing and updating SPD and AAR	SPD 2020	Adopted by MB
	AAR 2018	Adopted by MB
Supporting EB and MB meetings	% of mandatory decision topics for 2019 covered by the EB/MB meetings	100%
ICC services	% of nonconformities identified in the IMS Review report and ex-ante/ ex post controls, for which corrective/ preventive actions are established	100%
	Agency risk assessment	Documented and reported in the AAR
	% of ERA staff made aware of antifraud and ethics	75% cumulated
	% of declarations of conflict of interest of staff published in the conflict of interest register	100%
Legal support	% of legal acts issued by ERA, as defined by the Agency regulation, for which legal advice was provided	100%
Accounting	Opinion in the CoA annual report on reliable Agency accounts	Positive
Integrated Management System	Rate of closing pre-2019 audits findings	100%
	ISO 9001 certification Preliminary audit for the extension of the ISO 9001 certification to the delivery process	ISO 9001 certification maintained Implemented
SECURIS (SECURe Information Systems)	% of SECURIS rules and procedures developed in IMS	100%
	% of Information assets identified	75%
	% of Information assets inventoried	10%

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

Expected outcome	Ensure effective and efficient functioning of the Agency through sound management of human resources, budget and building facilities
Outcome indicator	No business disruptions (related to IT systems for finance, staff and building availability) jeopardizing the fulfilment of the critical functions of the Agency All activities foreseen in the SPD and in particular those linked to the 4RP are effectively implemented Budget used for the intended purpose, respecting the sound financial management principle. Budget discharge granted Increase digital and paperless processes in the administrative area (financial/HR)
Pre-conditions for achieving the outcome	Stability of EC IT tools and possibility for customization
Progress towards outcome in 2019	Progress with paperless processes Continuous support in terms of HR, budget and building facilities, especially considering the start of the 4th Railway Package delivery
Expected resource envelope › Human resources › Financial resources	 ##26 FTEs ##1435 K€[1]
Fee-based	No

List of the main projects/services	Output indicator	Target for 2019
Selection, Engagement, Learning and Development	% implementation of the establishment plan	98%
	% of staff turnover	≤ 5%
	% of time spent for learning and development out of total working time	N.a.
Annual budget execution	% of the annual appropriations committed	98 %
	% of carry-over of payment appropriations	<10% for T1, <20% for T2 and <30% for T3
	% of execution of C8 payment appropriations	95 %
	% payments made by contractual deadline	>95%

1 For fiche 5.2, the amount mentioned refers to Title 2 (indirect costs).

Objective 5.3
Supporting business delivery through IT systems

Expected outcome	Use cloud computing services, aiming at exploiting standard functionality and infrastructure, embedding manageability and security, and applying greater automation of the build and run processes, in terms of agility and cost optimization benefits. Meet common business needs through shared solutions available amongst the EUIs. Vendor independence to widen the choice of solutions, interoperability, reduce total cost of ownership, business continuity.
Outcome indicator	Availability of ICT core services: 98% 70 % of users satisfied with the quality of service desk response in "Very Good/Excellent" rate
Pre-conditions for achieving the outcome	Availability of resources
Progress towards outcome in 2019	
Expected resource envelope › Human resources › Financial resources	 ##12 FTEs ##2400.3 K€ ([1])
Fee-based	No

List of the main projects/services	Output indicator	Target for 2019
Workplace modernisation	No of current paper based process becoming fully digital	At least 1
	% of available processes updated	At least 60%
Cloud computing services	ICT systems are made available through cloud services	Implemented
	MS Lync – SharePoint integration, Office 365	Deployed
Disaster Recovery	Mean elapsed time to restore applications at the alternate site	RTO: 6 working hours
Support stakeholders	% of users satisfied with the quality of IT service delivery in "Very Good/ Excellent" rate.	70%
ICT infra management and maintenance	Availability of the core ICT systems	Min 98%
ICT infrastructure renewal (Project)	Rate of renewal of ICT infrastructure	30% of the back-office
Extranet and intranet management and maintenance	Availability of Extranet is 98%	98%
End-point computing environment	Rate of update for the fleet of the devices	10%
	Number of updates deployed by year	4
Office automation tools and ERP licensing, consultancy and support	EU tools and off-the-shelf software	Made available
Telecom services	Fixed and mobile telephony, internet, Testa access	Made available
Audio-visual management and maintenance	Audio-visual equipment	Made available

([1]) For fiche 5.3, the amount mentioned refers to indirect costs under Title 2 (1075 K€) and Title 3 – Chapter 31 (1325.3 K€)

Objective 5.4
Communicating effectively through website and social media

Expected outcome	Starting June 2019 the Agency will strengthen even further its role of active player of the railways system, with crucial task. The public approaches the Agency using online channels. The need to consolidate our presence on the web, by stabilizing and improving the new website (and contents) and increase our social media participation become increasingly important. To all this, a proper management of the stakeholders (via the SRM tool) can contribute by increasing the number of website visitors.
Outcome indicator	Social media presence Website visitors Stakeholder feedback
Pre-conditions for achieving the outcome	Being an activity related essentially to external communication, the risk of reputational damages due to potential miscommunication practices is high, consequently the feasibility of the activities is strictly linked to the availability of media contents and qualified staff.
Progress towards outcome in 2019	Consolidating the SRM (internal training and add-ons) the new website, feeding the YouTube channel with technical contents, using a LinkedIn page.
Expected resource envelope › Human resources › Financial resources	 ##1.5 FTEs ##107.93 K€
Fee-based	No

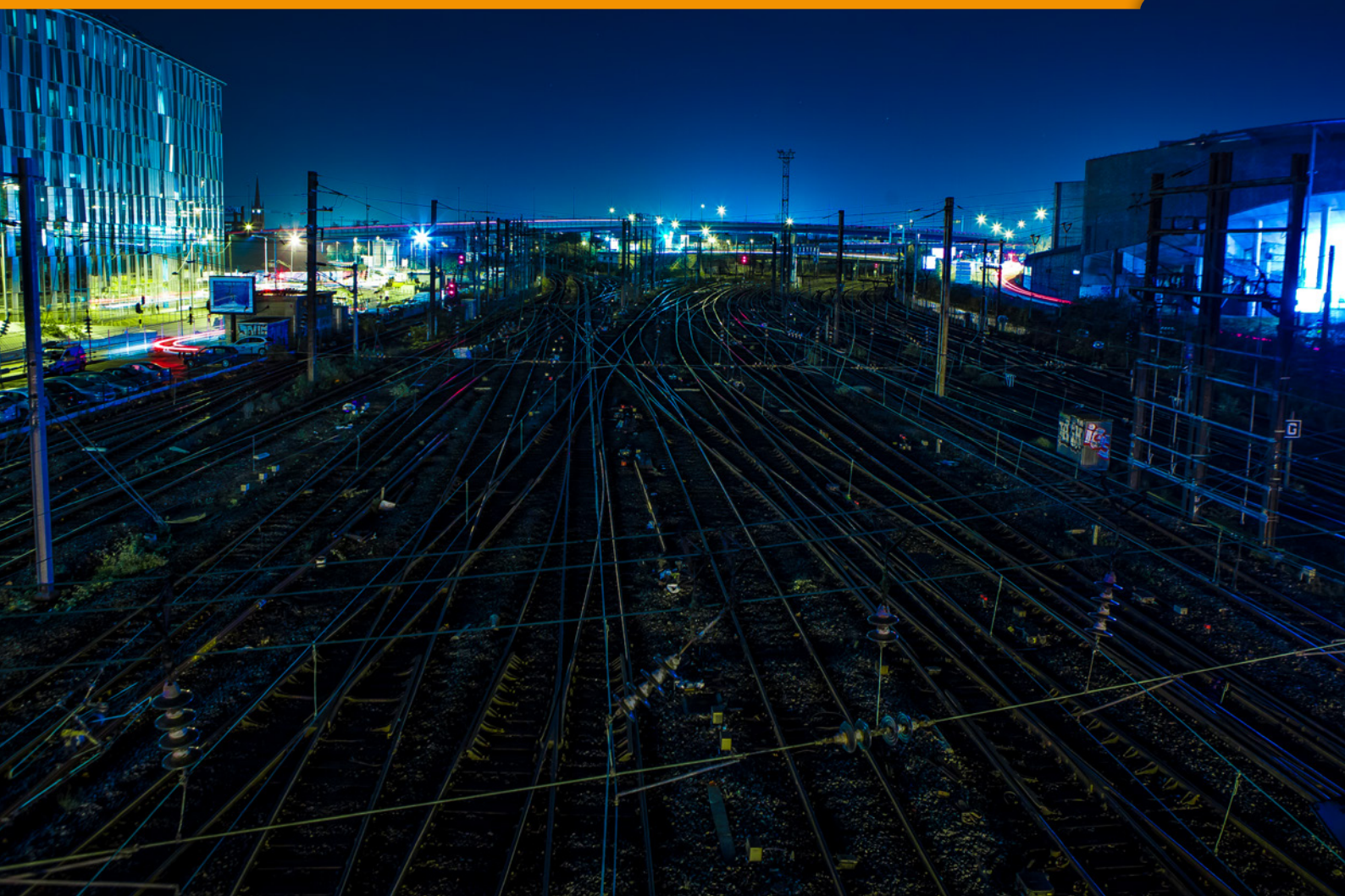
List of the main projects/services	Output indicator	Target for 2019
Stakeholder Relation Management tool	Training sessions on Comms functions	10
	Add-on	Implemented
	ERA staff requests addressed	100%
Website/online	Website visitors	Increasing trend
	% of internal change requests implemented	100%
	Number of followers	Increasing trend
	LinkedIn	1 article a month

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

Expected outcome	Support the new role of the Agency by creating and implementing a Crisis communication process (useful when the Agency will issue SSCs and VAs), will promote the work done in the field of safety and interoperability by mean of publications (paper and digital versions). Events are also part of the process with recurrent seminars and conferences with important speakers and contributors. The Women in Transport project will have a particular positive impact on the Agency reputation.
Outcome indicator	Events management Stakeholders feedback Timely publication Process established
Pre-conditions for achieving the outcome	Access to technical, human and financial resources to deliver the relevant activities
Progress towards outcome in 2019	Establishment of a crisis management process Publications Events management and stakeholders feedback Women in transport activity Communication plan (required by the Agency Regulation)
Expected resource envelope › Human resources › Financial resources	 ##4.4 FTEs ##210.9 K€
Fee-based	No. There is no legal basis for charging events participants.

List of the main projects/services	Output indicator	Target for 2019
Development and implementation of a crisis management capability (including a briefing system)	Process deployment and implementation	IMS documentation produced
	Training staff	delivered
Women in transport	Project plan and actions	Approved
Publication management	% of planned publications delivered	100%
Event management	Event organized, delivered with positive feedback from the stakeholders	At least 2 (CCRCC, multimodal)
Provisions, strategy and plans for an effective and efficient communication	Communication plan	Drafted and approved

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 the Agency:

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 2019

Activity	Unit Staff	DIRECT COSTS		INDIRECT COSTS			TOTAL BUDGET 2019 PER ACTIVITY
		Title 3 - CHAPTER 30	TITLE 4	TITLE 1	TITLE 2	TITLE 3 - CHAPTER 31	
	FTE						
1. Contributing to shaping the target and global reference	21.85	305,109		2,186,615	288,650	152,410	2,932,784
2. Developing the Harmonised Regulatory SERA Technical Framework	38.15	323,469		3,817,820	503,982	266,106	4,911,377
3. Implementing the Harmonised Regulatory SERA Technical Framework (under 4RP)	46.40	2,685,307	pm	4,643,430	612,968	323,652	8,265,358
4. Monitoring, Evaluating and Reporting	19.20	517,602		1,921,419	253,642	133,925	2,826,589
5. Delivering efficient and effective services	64.40	458,513		6,444,761	850,758	449,207	8,203,239
Grand total	190.00	4,290,000	pm	19,014,047	2,510,000	1,325,300	27,139,347
				19,014,047	2,510,000	1,325,300	

Annex II: Financial Resources 2019-2021

Table 1 – Expenditure

Expenditure	2018		2019	
	Commitment appropriations	Payment appropriations	Commitment appropriations	Payment appropriations
Title I	18 790 000	18 790 000	19 014 047	19 014 047
Title II	2 750 000	2 750 000	2 510 000	2 510 000
Title III	7 253 243	7 253 243	5 615 300	5 615 300
Title IV*			pm	pm
Total expenditure	**28 793 243**	**28 793 243**	**27 139 347**	**27 139 347**

* Given the uncertainty on transposition by Member States in 2019 and 2020, respectively, as well as the uncertainty as regards the volume and timing of work for VA, SSC and ERTMS trackside approval requests, the Agency is not in the position to give an estimate of the revenues, expenditure and associated inflows/outflows related to the fees and charges activities.

The Agency is at this stage asking the MB to agree for Title 4 to be created in the budget, while the actual revenues, expenditure and cash flow figures, included any support needed from EC, will be brought to attention later in 2019, once sufficient data is available.

Item	EXPENDITURE	Budget 2018	Draft budget 2019		VAR N+1/N	Envisaged 2020	Envisaged 2021
			Agency request	Budget forecast			
TITLE 1	**EXPENDITURE RELATING TO PERSONS WORKING WITH THE ERA**						
Chap. 11	Staff in active employment	18 115 000	19 160 000	18 444 000	1.8%	18 444 000	18 444 000
Chap.13	Missions and travel	140 000	140 000	140 000	0.0%	140 000	140 000
Chap. 14	Socio-medical infrastructure	370 000	387 000	225 047	-39.2%	225 047	225 047
Chap. 15	Staff exchanges between the ERA and the public sector	160 000	200 000	200 000	25.0%	200 000	200 000
Chap. 17	Entertainment and representation expenses	5 000	5 000	5 000	0.0%	5 000	5 000
Chap. 19	Pensions and pension subsidies	-	-	-		-	-
TITLE 1	**TOTAL TITLE 1**	**18 790 000**	**19 892 000**	**19 014 047**	1.2%	**19 014 047**	**19 014 047**
TITLE 2	**BUILDING, EQUIPMENT AND MISCELLANEOUS OPERATING EXPENDITURE**						
Chap. 20	Investments in immovable property, rental of buildings and associated cost	1 350 000	1 350 000	1 320 000	-2.27%	1 320 000	1 320 000
Chap. 21	Data processing	700 000	700 000	700 000	0.0%	700 000	700 000
Chap. 22	Movable property and associated costs	295 000	295 000	190 000	-35.6%	190 000	190 000
Chap. 23	Current administrative expenditure	220 000	220 000	115 000	-47.7%	115 000	115 000
Chap. 24	Post and telecommunications	185 000	185 000	185 000	0.0%	185 000	185 000
TITLE 2	**TOTAL TITLE 2**	**2 750 000**	**2 750 000**	**2 510 000**	-8.7%	**2 510 000**	**2 510 000**
TITLE 3	**EXPENSES RELATING TO PERFORMANCE OF SPECIFIC MISSIONS**						
Chap. 30	Operational Activities directly linked to the Regulation n°881/2004	5 613 000		4 290 000*	-23.6%	5290000	5290000
Chap. 31	Operational expenditures	1 640 243		1 325 300	-19.2%	1 325 300	1 325 300
TITLE 3	**TOTAL TITLE 3**	**7 253 243**	**9 572 290**	**5 615 300**	-22.6%	**6 615 300**	**6 615 300**
TITLE 4	**EXPENDITURE RELATING TO FEE-RELATED ACTIVITIES**						
Chap. 40	SSC	-	pm	pm		pm	pm
Chap. 41	VA	-	pm	pm		pm	pm
Chap. 42	ERTMS Trackside approvals	**-**	pm	pm		pm	pm
Chap. 43	Assistance provided to MS, candidate countries and other stakeholders	**-**	pm	pm		pm	pm
TITLE 4	**TOTAL TITLE 4**	**-**	**pm**	**pm**		**pm**	**pm**
	GRAND TOTAL	**28 793 243**	**32 214 290**	**27 139 347**	**-5.7%**	**28 139 347**	**28 139 347**

*The Agency draws attention that the cost of the activities created under the 4th Railway Package were not properly factored in the MFF. In order to cover this expenditure, the Agency will deprioritise other categories of expenditure in 2019. For 2020 and 2021, it is crucial that this amount be covered in the budget.

Breakdown of Title 3 - Chapter 30 (Operational expenditure) for 2019

These amounts are the ones from the individual objective fiches from the annual section of the programming document

Activity 1 - Contributing to shaping target reference and global reference for the EU rail system		***305,109***
3000	Strengthening global cooperation in rail	*218,491*
3001	Strategic development	*9,260*
3002	Enhancing Railway Safety through positive safety culture and integrating influencing human and organisational factors	*77,358*
3003		*pm*
3004		*pm*
Activity 2 – Developing the harmonised regulatory SERA technical framework		***323,469***
3010	Harmonised Railway Operations and Management Systems	*51,781*
3011	Harmonised technical specifications (fixed installations and vehicles)	*116,669*
3012	Harmonised Train Control System and telematics (communications, signalling, ERTMS system authority, telematics system authority)	*72,098*
3013	Disseminating and Training to support implementation of the EU framework	*82,921*
Activity 3 - Implementing the harmonised regulatory SERA technical framework (under 4RP)		***2,685,307***
3020	Ensuring the coordination of the Fourth Railway Package implementation	*2,051,536*
3022	Railway system data (Registers; e.g. RINF, ERADIS, ERATV, EVR, ECVVR, SAIT, RDD)	*633,771*
Activity 4 - Monitoring, evaluating and reporting		***517,602***
3030	Collect and analyse evidence for decision making	*6,849*
3031	Monitoring	*462,787*
3032	Identifying research needs for the Target Rail System and supporting partner organisations in research and innovation	*43,235*
3033	Reporting on the Railway System	*4,731*
	Total article	
Activity 5 – Delivering efficient and effective services		***458,513***
3040	Ensure good corporate governance	*139,686*
3041	Communicating effectively through website and social media	*107,931*
3042	Ensuring efficient and effective communication (internal and corporate)	*210,896*
3043		*pm*
3044		*pm*
3045		*pm*
3046		*pm*

Table 2 – Revenue

Revenues	2018	2019
EU contribution	28 135 398	26 500 000
Other revenue – EFTA	657 845	639 347
Fees and charges*		pm
Total revenues	**28 793 243**	**27 139 347**

* Given the uncertainty on transposition by Member States in 2019 and 2020, respectively, as well as the uncertainty as regards the volume and timing of work for VA, SSC and ERTMS trackside approval requests, the Agency is not in the position to give an estimate of the revenues, expenditure and associated inflows/outflows related to the fees and charges activities. The Agency is at this stage asking the MB to agree for Title 4 to be created in the budget, while the actual revenues, expenditure and cash flow figures, included any support needed from EC, will be brought to attention later in 2019, once sufficient data is available.

REVENUES	2017	2018	2019		VAR 2019 /2018	Envisaged 2020	Envisaged 2021
	Executed Budget	Revenues estimated by the agency	Agency request	Budget forecast			
1 REVENUE FROM FEES AND CHARGES	0	0	pm	pm	N.a.	pm	pm
2. EU CONTRIBUTION*	30 000 000	28 135 398	26 500 000	26 500 000	-5.8%	27 489 347	27 489 347
of which assigned revenues deriving from previous years' surpluses	391 224	387 214	80 722	80 722	N.a.	N.a.	N.a.
3 THIRD COUNTRIES CONTRIBUTION (incl. EFTA and candidate countries)	732 000	657 845	639 347	639 347	-2.8%	650 000	650 000
of which EFTA	732 000	657 845	639 347	639 347	-2.8%	650 000	650 000
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	**30 732 000**	**28 793 243**	**27 139 347**	**27 139 347**	**-5.7%**	**28 139 347**	**28 139 347**

* The amount for 2020 is higher than the one envisaged. This is needed to cover the maintenance costs for OSS, as well as the costs for the entire package of new tasks compared to the past (NSA monitoring, NoBo monitoring, EVR, interface OSS-ERADIS, OSS-EVR and OSS-ERATV etc.). In 2019 an effort was made to fit in the envelope of the EU contribution of 26.5 mill € by deprioritizing some of the other expenditure. This effort is not sustainable for 2020.

Table 3 – Budget outturn and cancellation of appropriations

Budget outturn	2015	2016	2017
Reserve from the previous years' surplus (+)	787 016	357 347	378 214
Revenue actually received (+)	26 592 262	27 784 591	31 930 148
Payments made (-)	-23 733 926	- 25 481 829	-27 143 336
Carry-over of appropriations (-)	-2 642 337	- 2 221 313	- 4 948 422
Cancellation of appropriations carried over (+)	93 602	111 021	64 812
Adjustment for carry over of assigned revenue appropriations from previous year (+)	50 175	187 333	179 832
Exchange rate differences (+/-)	-2 429	- 1 588	- 2 312
Adjustment for negative balance from previous year (-)	-787 016	- 357 347	-378 214
Total	**3 57 347**	**378 215**	**80 722**

Annex III: Human Resources 2019-2021

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

Staff population		Staff population in voted Budget 2016	Staff population in voted Budget 2017	Staff population at 31/12/2017	Staff population in EU Budget 2018	Staff population envisaged in 2019	Staff population envisaged in 2020	Staff population envisaged in 2021
Officials	AD							
	AST							
	AST/SC							
TA	AD	99	103	93	111	1131	113	113
	AST	36	36	35	37	35	35	35
	AST/SC	0	0	0	0	0	0	0
Total TA		135	139	128	148	148	148	148
CA GFIV		15	21	15	19	17	15	15
CA GF III		5	8	9	8	8	8	8
CA GF II		7	10	7	10	10	10	10
CA GFI		3	3	3	3	3	3	3
Total CA*		30	42	34	40	38	36	36
SNE		4	4	2	4	4	4	4
Structural service providers		7	10	10	15	15	15	15
Total		**176**	**195**	**174**	**207**	**205**	**203**	**203**
External staff for occasional replacement								

* The Agency would like to preserve a number of 38 CAs to ensure the stability of its workforce as of 2020. The Agency may come back during 2019 for requesting the 2 additional CAs which are needed as of 2020. A thorough justification will be provided together with the request.

Table 2 – Multi- annual staff policy plan 2019-2021

Function group and grade	2017		2017	2018		2019		2020		2021	
	Authorised under the EU Budget		Staff population at 31/12/2017	Authorised under the EU Budget		Authorised under the EU Budget		Request of the Agency		Request of the Agency	
	Permanent posts	Temporary posts		Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts	Permanent posts	Temporary posts
AD 16											
AD 15							0		0		0
AD 14		1	1		1		1		1		1
AD 13											
AD 12		1	0		2		4		4		4
AD 11		5	2		6		7		8		10
AD 10		18	14		18		19		20		24
AD 9		33	20		32		32		34		32
AD 8		21	16		22		21		25		24
AD 7		14	23		15		15		12		12
AD 6		10	17		15		14		9		6
AD 5											
AD TOTAL		**103**	**93**		**111**		**113**		**113**		**113**
AST 11											
AST 10											
AST 9		3	1		3		2		2		3
AST 8		5	1		5		5		6		7
AST 7		4	1		4		5		6		7
AST 6		3	5		3		2		5		6
AST 5		8	5		8		8		9		9
AST 4		9	6		9		9		7		1
AST 3		3	10		4		4		0		0
AST 2		1	6		1						0
AST 1											
AST TOTAL		**36**	**35**		**37**		**35**		**35**		**35**
AST/SC 6											
AST/SC 5											
AST/SC 4											
AST/SC 3											
AST/SC 2											
AST/SC 1											
AST/SC TOTAL											
TOTAL		**139**	**128**		**148**		**148**		**148**		**148**

Annex IV

A. Engagement policy

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

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

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

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

Selection and engagement procedures:

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

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

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

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

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

For managerial posts or highly specialised posts, the Agency can engage Temporary Agents at grades AD 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 AD11.

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

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

a. Temporary agents

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

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

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

b. Contract agents

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

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

- Administrative tasks;
- Coping with temporary peaks in workloads;
- Launching projects or new activities for which long-term commitment in terms of staffing is unclear;
- Replacing staff on long-term absences such as maternity leave, long-term sick leave or unpaid leave;
- Unforeseen deficits in staffing levels and budgetary restrictions in overcoming this problem by engaging Contract Agents.

However, increasingly ERA has also engaged Contract Agents for other (long-term) tasks, such as:

- Administrative and Logistician Support Agents
- Assistants
- Project Officers

c. Seconded national experts[1]

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

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

SNEs assist the Agency staff and cannot perform middle management duties. The initial period of secondment may not be less than six months or more than two years. It [anchor - check ms]may be renewed once or more up to a total period not exceeding four years. Exceptionally, the Agency's Executive Director may authorise one more extension of the secondment for the maximum duration of one year at the end of the four year period.

1 SNEs are not employed by the Agency.

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

d. Trainees

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

e. Structural service providers[1]

Staff FTE	Tasks	Description	PD per Year	Total PD per Year	Framework Contract	Expiring
8	Service Desk	User support and assistance	220	1760	ESP/EISD5 signed in May 2015	Date of signature, 3+1 Y
4	Senior Analyst Programmer	Writing/maintenance/prototyping of applications that reflect the specifications.	220	880	ESP/EISD5 signed in May 2015	Date of signature, 3+1 Y
1	Front End Developer	Creation and staging of Stakeholder Relationship Management tool	220	220	ESP/EISD5 signed in May 2015	Date of signature, 3+1 Y
1	Application Architect Designer	Design and development OSS	220	220	ESP/EISD5 signed in May 2015	Date of signature, 3+1 Y
1	Receptionist	3 shifts per day				

1 Structural service providers are not employed by the Agency.

B. Appraisal of performance and reclassification/promotions

The Agency applies Decision N° 132 of the Administrative Board of the European Railway Agency on the general provisions for implementing Article 43 of the Staff Regulations and implementing the first paragraph of Article 44 of the Staff Regulations for temporary staff and Decision N° 133 of the Administrative Board of the European Railway Agency on the general provisions for implementing Article 87(1) of the Conditions of Employment of Other Servants of the European Union and implementing the first paragraph of Article 44 of the Staff Regulations. They were applied for the first time for the appraisal and reclassification exercise taking place in 2016. The 11th reclassification exercise took place in 2017 and 13 members of staff were reclassified. The present reclassification policy complies with the principles established in the Commission's model decision on reclassification of Temporary Agents. Since 2016, the Agency adopted rules for the reclassification of Contract Agents.

Table 1 - Reclassification of temporary staff/promotion of officials

Category and grade	Staff in activity at 01.01.2017		How many staff members were promoted / reclassified in 2017[1]		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		3		1	5 years 1 month
AD 10		12		1	3 years 10 months
AD 9		25		2	5 years 2 months
AD 8		16		1	3 years 8 months
AD 7		20		3	5 years
AD 6		20			
AD 5					
Total AD		**97**			
AST 11					
AST 10					
AST 9		2			
AST 8		1			
AST 7		1		1	6 years 1 month
AST 6		3			
AST 5		7		1	4 years 5 months
AST 4		6			
AST 3		10		1	4 years 10 months
AST 2		6			
AST 1					
Total AST		**36**			
Total		**133**			

1 Reclassification decision 2018 to be taken in January 2019.

Table 2 - Reclassification of contract staff

Category and grade	Staff in activity at 01.01.2017		How many staff members were promoted / reclassified in 2017		Average number of years in grade of reclassified/promoted staff members
	officials	CA	officials	CA	
FG I		3			
FG II		6		2	5 years 2 months
FG III		9			
FG IV		12			
Total CA		30			

C. Mobility policy

1. Mobility within the agency

Decision N° 121 of the Administrative Board of the European Railway Agency laying down the general implementing provisions on the procedure governing the engagement and use of temporary staff under Article 2(f) of the CEOS (adopted on 25.11.2016) enshrines two scenarios for internal mobility for TA 2(f). These are reassignment in the interest of the service and mobility following the internal publication of a post.

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

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

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

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

With the new implementing rules for 2(f) Temporary Agents, the Inter-Agency Job Market is no longer applicable.

3. Mobility between the agencies and the institutions

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

4. Tables for 2017 (Temporary agents, contract agents and SNE's)

	2017	
	New staff	Departing staff
Mobility within the agency	2	2
Mobility among agencies	0	2
Mobility between the agencies and the institutions	0	1
Other		
Total	2	5

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.

ERA has been systematically monitoring the gender distribution for its selection procedures. In general, the gender balance at the Agency has been stable over recent years. As can be seen from the "All Staff" pie chart, the figures, based on the situation in 2017, are 62% male staff and 38% female staff.

Even though, the specific business area and technical labour market may be the main reasons for overrepresentation of men in the Agency, in every call for applications, the Agency underlines its commitment to promote equal opportunities, including gender balance and diversity, as also stated in the Agency's Human Resources strategy. The same applies to the Member States' representatives in the Management Board.

The Agency welcomes the European Commission's new Diversity and Inclusion strategy in order to reach at least 40% women in its management by 1 November 2019. However, this strategy is not applicable to the Agency due to its size, type of contract (long-term) and limited possibility of mobility. The Agency nevertheless keeps this target for its entire staff and not only for its Management.

As gender balance across all staff is a concern for many Agencies, we expect a debate at the Network of Agencies in the near future.

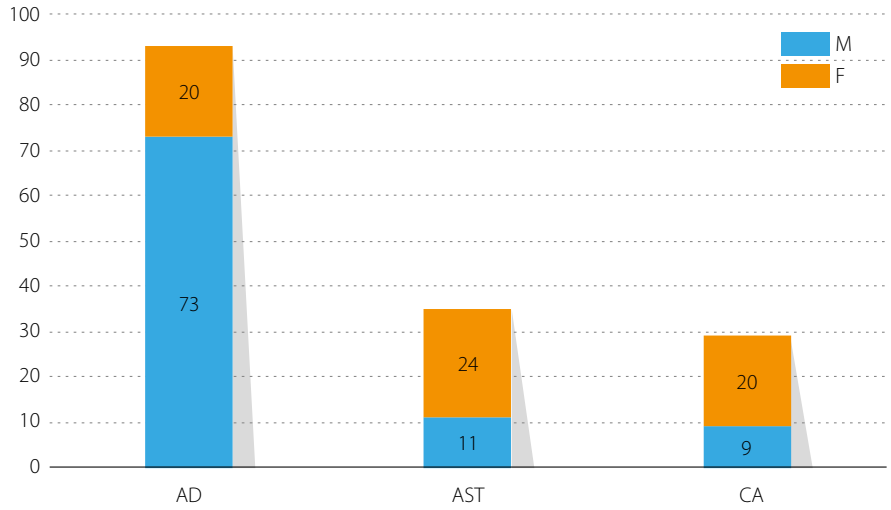
The Agency is participating to the EU "Platform for change", initiated by the European Economic and Social Committee which was launched in 2017, to address gender equality in transport. The Agency further actively supports initiatives to increase the attractiveness of the railway sector for women, and promotes gender diversity. The current flexi-time policy and the Decision on teleworking of the Agency are designed to facilitate an improved work-life balance.

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

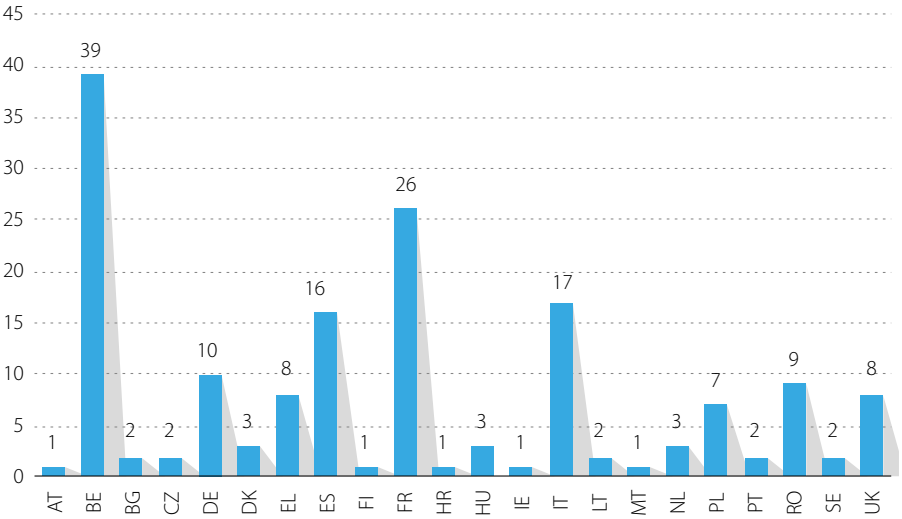
Considering the low number of SNEs (2 persons), this is counted in the overall staff figures, but no breakdown is provided for this category.

The values in the graphs are based on the existing numbers of staff at the end of 2017.

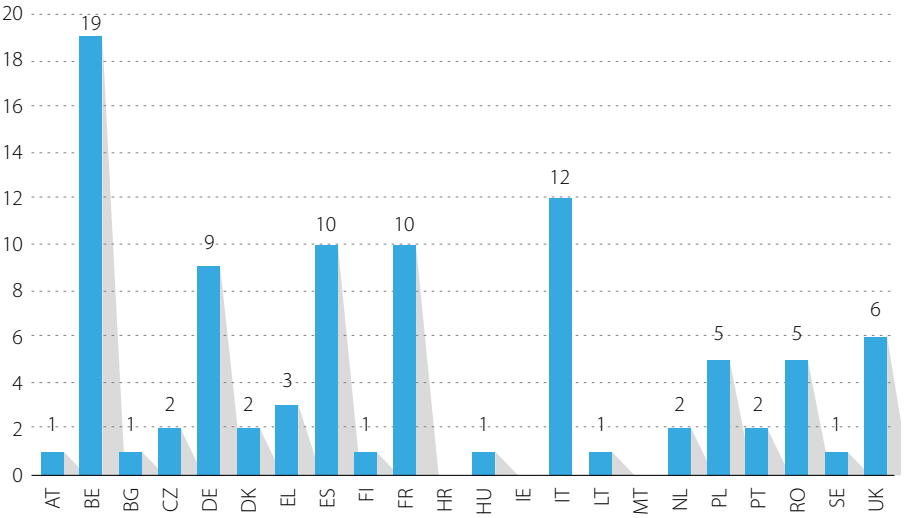
Staff number distribution by gender and category of contract – TA (AD), TA (AST) and CA staff



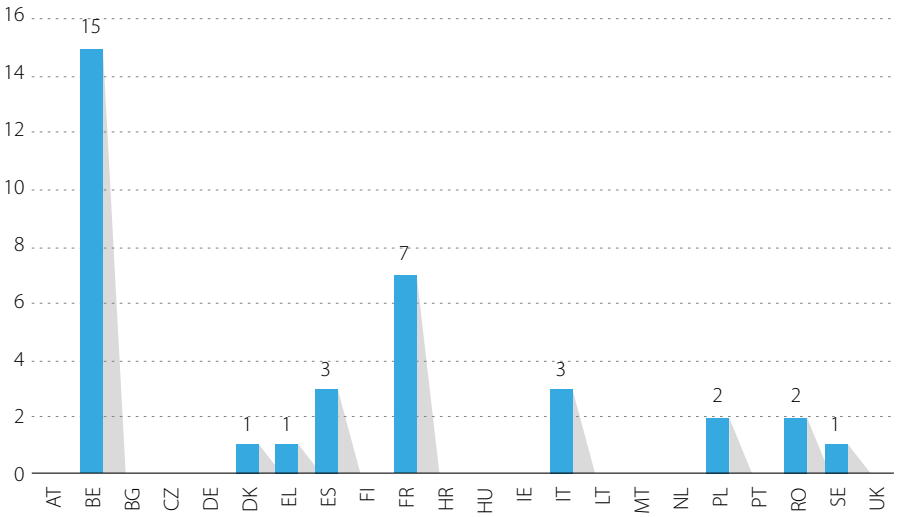
Staff number distribution by nationality – all staff



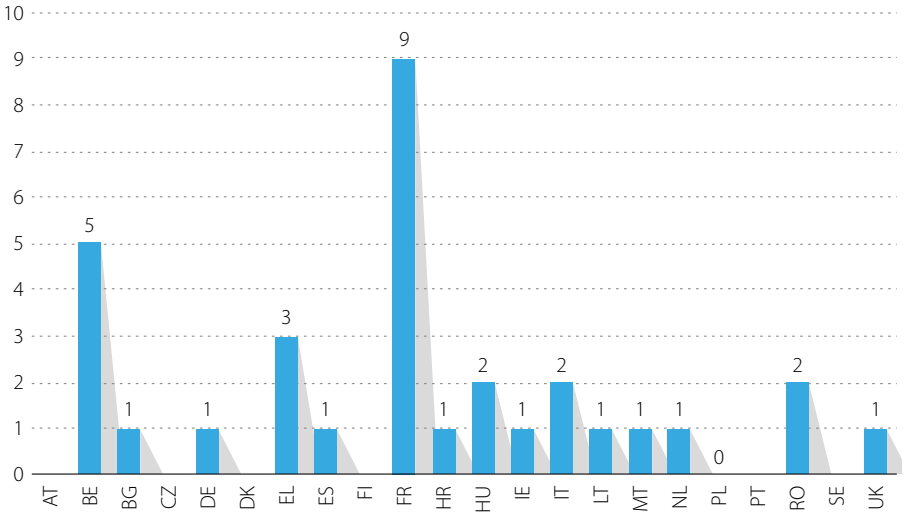
Staff number distribution by nationality – TA (AD) staff



Staff number distribution by nationality – TA (AST) staff



Staff number distribution by nationality – CA staff



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

There is no European School in Valenciennes where the Agency is located and the Agency has no arrangements with any international school in the vicinity. The local schooling system has an international section (English) at college and 'Lycée' level, but the students follow the French curriculum working towards the 'brevet' and the 'baccalaureat' awarded by the French Ministry of Education. There are 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 M^2 de Surface Hors Oeuvre Nette (S.H.O.N)	
Annual rent (in EUR)	In 2018: EUR 434 659,96 HT/year	The new INSEE indicator will be published during the 1st Quarter 2019.
Type and duration of rental contract	1 year with tacit renewal	
Host country grant or support	No	
Present value of the building	If the Agency owns the building	

	Name, location and type of building	Other Comment
Information to be provided per building:	Rental of 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 2018: EUR 24.175,00 HT/year	
Type and duration of rental contract	1 year with tacit renewal	
Host country grant or support	No	
Present value of the building	If the Agency owns the building	

	Name, location and type of building	Other Comment
Information to be provided per building:	ERA meeting premises, 299, Boulevard de Leeds – Lille	
Surface area (in square metres)	602,62 M^2	
Annual rent (in EUR)	In 2017: EUR 110.433,96 HT/year	The new INSEE indicator will be published during the 1st Quarter 2018.
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 2017: EUR 20 625.72 HT/year	The new INSEE indicator will be published during the 1st Quarter 2019
Type and duration of rental contract	Contract will end on 31/12/2023.	
Host country grant or support	No	
Present value of the building	If the Agency owns the building	

5.1.2 Building project in the planning phase

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

Annex VI: Privileges and immunities

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

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

Annex VII: Risks 2019

Number	Title	Risk description Consequence/Cause		Activity/Objective 2019	Residual risk	Measures to achieve acceptable risk for management
1	**Higher number of applications (SC, VA) than planned**	› Increase of workload › Lower quality on deliverables › Impact on effective planning allocation of resources (staff included) › Potential delays	May be caused by: › Higher number of Member States transposing the technical pillar into national law by 2019/2020 than expected › Railway sector priority chooses Agency vs NSA for national activities	**Activity 3: Implementing the harmonised regulatory SERA technical framework (under 4RP)** Objective 3.2 Issuing Single Safety Certificates Objective 3.3 Issuing Vehicle Authorisation, including ERTMS on-board assessments Objective 3.4 Issuing ERTMS trackside approvals	High (16)	a) Support to the Agency and its staff to be prepared for the new responsibilities by participating with the support of several NSAs to authorisation process the NSA are currently planning (i.e. Learning Cases) b) Implementation of the new organisation structure c) Implementation of a workload analysis at Unit and activity level d) Implementation of the Agency competency framework in place including the skills and competences required for carrying out the new responsibilities e) Implement a crisis management procedure f) Selection and training of a pool of external experts to cover the gap between the estimated workload needs and the shortlisted staff members
2	**Lower number of applications (SC, VA) than planned**	› Lower workload than expected › Fees and taxes estimated income not achieved › Inefficient planning & allocation of resources	May be caused by: › Lower number of Member States transposing the technical pillar into national law by 2019/2020 than expected › Railway sector priority chooses NSA vs Agency for national activities	**Activity 3: Implementing the harmonised regulatory SERA technical framework (under 4RP)** Objective 3.2 Issuing Single Safety Certificates Objective 3.3 Issuing Vehicle Authorisation, including ERTMS on-board assessments Objective 3.4 Issuing ERTMS trackside approvals	High (16)	a) Support to the Agency and its staff to be prepared for the new responsibilities by participating with the support of several NSAs to authorisation process the NSA are currently planning (i.e. Learning Cases) b) Implementation of the new organisation structure c) Implementation of a workload analysis at Unit and activity level d) Implementation of the Agency competency framework in place including the skills and competences required for carrying out the new responsibilities e) Implement a crisis management procedure (ATS 2016-202) f) Selection and training of a pool of external experts to cover the gap between the estimated workload needs and the shortlisted staff members

Number	Title	Risk description Consequence/Cause		Activity/Objective 2019	Residual risk	Measures to achieve acceptable risk for management
3	**Inconsistent/incorrect transposition of the 4th RWP legislation**	› Major shortcomings in the project planning (delays and possible complaints from stakeholders) › Inadequate use of resources › Low quality of deliverables (VAs, Safety certificates-SC) which might lead to increase number of appeals to Agency decisions › Low political support/ stakeholders' reluctance › Member States within different area of use might be in a different state of transposition and/or different level of understanding, leading to unclarity in the process might represent a reputational risk for the Agency perceived as main responsible for issuing VA and SC across EU + the success of the Agency as European Authority depends on cooperation with MS + negative impact on the rail market	May be caused by: › Insufficient preparedness of the Member States (e.g. roles, responsibilities, working methods) involved in delivering the key processes (i.e. issuing vehicle authorisation, safety certificates, checking ERTMS trackside files) to the specific requirements › New processes/systems of work (i.e. revised CSM, new practical arrangements, relevant guides) not applied in a consistent manner by all concerned actors (NSAs and the Agency)	**Activity 3: Implementing the harmonised regulatory SERA technical framework** Objective 3.2 Issuing Single Safety Certificates Objective 3.3 Issuing Vehicle Authorisation, including ERTMS on-board assessments Objective 3.4 Issuing ERTMS trackside approvals	High (12)	a) Participation of the Agency in learning case phase b) Development of clear guides for each of the 3 new tasks c) Support the Commission to enhance communication towards governments
4	**Information security risk**	› Temporary suspension, slowing down or delay on operational activities/ services › Loss of information	May be caused by: › Cyberattacks disrupting Agency ICT application systems, including Agency registers	**Activity 5: Delivering efficient and effective services** Objective 5.1. Ensure good corporate governance	Medium (8)	a) Implementation of ICT strategy 2017-2020 with a focus on the measures regarding information security governance (i.e. SECURIS @ERA) Allocate resources to fulfil the function of IT Security Officer

Number	Title	Risk description Consequence/Cause		Activity/Objective 2019	Residual risk	Measures to achieve acceptable risk for management
5	**Unreliable data in the registers**	› Misinformed/under informed management decisions › Not delivering complete and accurate products/ services › Impose administrative burden to the rail sector	May be caused by: Different/divergent stakeholders opinions to accommodate › Actual technical problems with technical solution Composite Brake Blocks (CBB) › Project with high economic implications for stakeholders (i.e. high costs implications) › Unilateral measures taken by MSs against the reduction of railway noise (i.e. leading to barriers in interoperability)	**Activity 4: Monitoring, evaluating and reporting** Objective 4.1 Collect and analyse evidence for decision making	Medium (9)	a) Implement an effective and consistent management of external data based on Agency Information Management strategy and related implementing program
6	**Noise reduction targets not achieved**	› Ineffective/ noticeable reduction of noise generated by the rail freight wagons › Public opinion in Member states turning against rail projects › Barriers to railway interoperability and EU railway market	May be caused by: › Different/divergent stakeholders opinions to accommodate › Actual technical problems with technical solution Composite Brake Blocks (CBB) › Project with high economic implications for stakeholders (i.e. high costs implications) › Unilateral measures taken by MSs against the reduction of railway noise (i.e. leading to barriers in interoperability)	**Activity 2: Developing the harmonised regulatory SERA technical framework** Objective 2.2 Harmonised technical specifications (fixed installations and vehicles)	Medium (4)	a) Active participation in identifying and rectifying technical issues with CBB

Number	Title	Risk description Consequence/Cause		Activity/Objective 2019	Residual risk	Measures to achieve acceptable risk for management
7	**Security requirements create new barriers**	› Delays or limits to the implementation of key objectives in the field of interoperability (i.e. removal of technical barriers, cleaning up of national rules) › Member States could impose additional measures contradicting TSI or ERTMS specifications (e.g. KMS,..) (even if the risk is outside the control of the Agency it may entail: - adverse reputation due to the perception the Agency is the main responsible for implementation of interoperability and -a higher workload (unplanned))	May be caused by: › Potential occurrence of malicious acts affecting the rail sector › Increase of (cyber) security attacks leads to development of additional security measure › Security is an area under the competence of MS	**Activity 2: Developing the harmonised regulatory SERA technical framework** Objective 2.2 Harmonised technical specifications (fixed installations and vehicles)	High (12)	a) The Agency has started in 2018, a collaboration with the Commission, ENISA and stakeholders in the field of cyber security. The strategy shall be updated during 2018 and include a plan for implementation
8	**EU's railway acquis undermined as global reference for standardisation and regulation**	› European Framework for Railway regulation and standardisation loses its place as the 'de facto global reference' › Tendency towards fragmentation of the rail sector and market for rail products › Increased costs for rail products › Slow innovation compared to other modes of transport	May be caused by: › EU Railway acquis unnecessarily complex and/or limited in scope therefore not suitable for adoption by others as global reference › Railway standards' content migrating from CEN-CENELEC to ISO IEC, under the influence of political powers outside the EU	**Activity 1: Contributing to shaping target and global reference** Objective 1.1 Strengthening global cooperation in rail	Medium (9)	a) Contribute to the Commission's action to promote EU acquis by providing specific targeted dissemination on the railway regulatory and standards framework by fulfilling EU Medrail and IPA contracts and participating in other ad-hoc initiatives organised by the EC (e.g. workshop in India spring 2019) - PM - continuous b) Implement an action plan of targeted engagement with out of EU entities (e.g. GCC, FRA, MILT) in order to keep up with scientific and technical developments and to promote the EU legislation and standards -PM =Action plan adopted by end 11/2018 c) Develop and promote together with the EC a Railway System strategy supported by common positions for the future development of the framework d) Develop proposals for research targeted at the future target railway system (the big picture) according to the ERA Research Strategy e) Involve non-EU entities in the development of ERA proposals line with Adm. Arrangement with OSJD/OTIF/ that the EU Regulation on standards meets the needs and is adopted by these organisations –continuous f) On request, provide Commission with the required support on railway related international relations and trade negotiations disseminating and promoting the EU acquis (e.g. Technical working group envisaged by the Japanese trade agreement talks) (ACT 2017-76) g) To make proposals for mechanisms through RASCOP to ensure that standards development delivers the most viable solutions and that the needs of the EU SERA (e.g. interoperability) are met by international standards (ACT 2017-89)

Number	Title	Risk description Consequence/Cause		Activity/Objective 2019	Residual risk	Measures to achieve acceptable risk for management
	Loss of interoperability after GSM-R	› Obsolescence of GSM-R technology (e.g. IMs or RUs decide to procure communication systems (replacing GSM-R) incompatible with target solution) › The Agencies Program on evolution of radio does not deliver timely (in 2022) new standards as replacement for GSM-R in the CCS TSI › Member state may decide on an allocation of radio spectrum incompatible with target solution	May be caused by: › No consensus on functionality, technical solution, migration strategy of the communication system › No suitable radio spectrum available, in particular for the transitional period › Low level of contribution by stakeholders to the Agency project (i.e. definition of new communication system), so that results of studies and standards are not sufficiently representative	**Activity 2: Developing the harmonised regulatory SERA technical framework** Objective 2.3 Harmonised Train Control System and telematics	High (12)	Define and implement a new system to replace GSM-R › Report to the EC on the definition of the new system a1) First intermediate report a2) Second intermediate report › Provide recommendation to the EC for changes in CCS TSI b1) First report b2) Second report
10	**Unsatisfactory process for ERTMS pre-approval**	› Dissatisfaction to NSAs and Infrastructure managers (IMs), possibly causing shortfall to the Agency (i.e. refusal of IMs to pay the fees for ERTMS Trackside approval if the service provided by the Agency is not considered as value for money) › Loss of credibility for the Agency and – in a worst case scenario - possible intervention from European Commission	May be caused by: Inability: › Commission Recommendation on harmonised implementation of ERTMS does not satisfy stakeholders. › to source resources to carry out process	**Activity 2: Developing the harmonised regulatory SERA technical framework** Objective 2.3 Harmonised Train Control System and telematics	High (12)	a) Set up of a pool of experts (via a framework contract)
11	**Delay in the availability of the mature One Stop Shop product**	› Delay in the implementation of the Agency new tasks –i.e. granting safety certificates and issuing vehicle authorisation	May be caused by: › The operational availability of the 'One stop shop' tool is delayed (i.e. development lifecycle, business requirements v1.0 not delivered according to plan, disagreement Agency/NSAs), practical arrangements documents not agreed by the end of 2016	**Activity 3: Implementing the harmonised regulatory SERA technical framework (under 4 RP)** Objective 3.2 Issuing Single Safety Certificates Objective 3.3 Issuing Vehicle Authorisation, including ERTMS on-board assessments Objective 3.4 Issuing ERTMS trackside approvals	Medium (5)	a) Develop a Business Continuity Plan that can be activated in case the OSS is not operational by the scheduled date

Number	Title	Risk description Consequence/Cause		Activity/Objective 2019	Residual risk	Measures to achieve acceptable risk for management
12	**Stakeholder alignment and mobilisation**	› Inability of the Agency to expose the reality of its work and to influence the way its message is received by the stakeholders › Difficulties: - to approach stakeholders who are resistant/reluctant/ ambivalent to support Agency objectives - in maintaining stakeholders engagement › Low interest of stakeholders in Agency's work › Inconsistency and low quality of the messages sent by the Agency	May be caused by: › Insufficient clear message and inaccurate reception of Agency message by different stakeholders concerning agency objectives/tasks) › Inability to convey a common message on main Agency areas of activity	**Activity 5: Delivering efficient and effective services** Objective 5.4: Communicating effectively through website and social media	Medium (8)	a) Continue implementation of ERA communication strategy action plan b) Implement communication plan 2018 c) Define and simplify the use of MS Project d) Define reporting requirements for the MT e) Implement the action plan following the readiness questionnaire results
13	**Unjustified carry-overs higher than the acceptable levels of the CoA**	› Significant carry-overs of committed appropriations for operational expenditures putting annuality principles at risk (resulting in a potential negative revision of the Agency's budget for the year n+1.) › Delays in the implementation of the Work Programme › High exposure to criticism from ECA and the Budgetary Authority (putting at risk the discharge process)	May be caused by: › Inappropriate and/or inadequate management of financial means, inappropriate procurement planning as well as delays in the related process	**Activity 5: Delivering efficient and effective services** Objective 5.2 Ensuring sound management of the Agency's human and financial resources and building facilities	Medium (8)	N/A

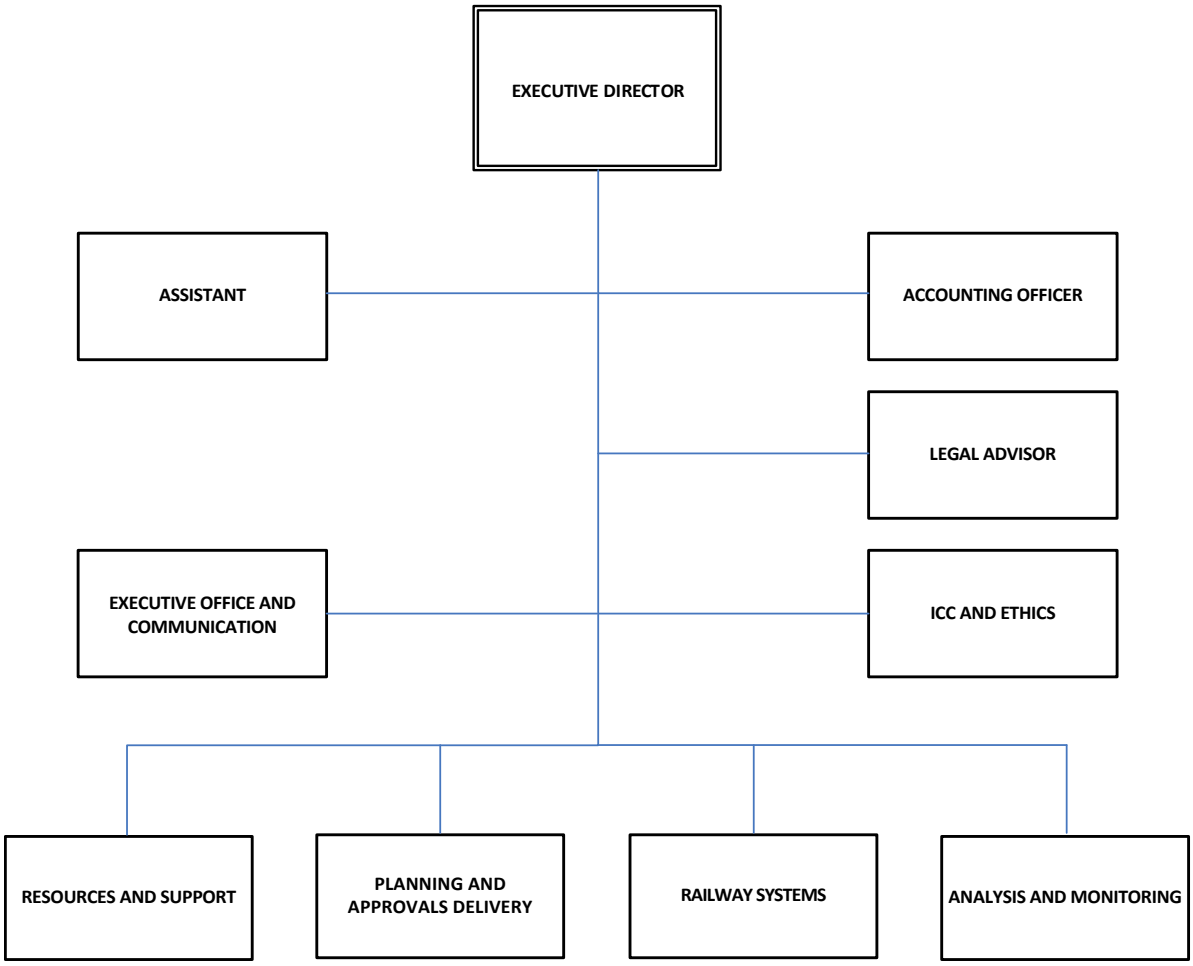
Number	Title	Risk description Consequence/Cause		Activity/Objective 2019	Residual risk	Measures to achieve acceptable risk for management
14	**Strategic alignment of the sector in ERTMS**	› Damage to the reputation of ERTMS as a system which can jeopardize the full achievement of the Agency's ERTMS objectives	May be caused by: › Delays in reaching milestones on cooperation (such as signing of Memorandum of Understandings), › Inability to have a common position on important matters (such as Automatic Train Operation). › Lack of commitment from supply industry to quality and cost-effective products and disciplined implementation	**Activity 2: Developing the harmonised regulatory SERA framework** Objective 2.3 Harmonised Train Control System and telematics	Medium (6)	a) Implement the action plan (develop KPIs for follow-up)
15	**Non-compliance with the rules on Ethics and prevention of fraud**	› Increase of the likelihood of not compliance with the rules regarding ethical obligations › Ineffective prevention and detection of potential cases of conflict of interest	May be caused by: › Insufficient awareness on ethical conduct/ guidance on specific areas › Ineffective measures on prevention and management of Conflict on interest in place to prevent and detect fraud	**Activity 5: Delivering effective and efficient services** Objective 5.1 Ensure good corporate governance	High (15)	a) Implement the action plan of the Anti-fraud strategy with a focus on the measures included in Framework on Administrative Behaviour -prevention and management of conflict of interest
16	**Business Continuity**	› Loss of critical data resulting in putting at risk the performance of critical business processes	May be caused by: › Ineffective business continuity plan and inadequate preparation	**Activity 5: Delivering effective and efficient services** Objective 5.2 Ensuring sound management of the Agency's human and financial resources and building facilities	Medium (4)	a) Conduct a Business Impact Analysis (BIA) on the impact of a disruption to the functions (i.e. activities, services, infrastructure, human resources) that support the delivery of Agency key objectives

Number	Title	Risk description Consequence/Cause		Activity/Objective 2019	Residual risk	Measures to achieve acceptable risk for management
17	**Risk of ineffective procedures for issuing authorisations related to ERTMS**	› Ineffective and inappropriate Agency response to applicants request for advice for compatibility with ERTMS subsystem	May be caused by: › Information needed from NSAs/RUs/IMs for advising on compatibility between ERTMS on-board and trackside subsystems unavailable or with insufficient required level of detail › Difficulties in finding consensus between stakeholders (NSA and the railway sector) for the procedure for advising on compatibility	**Activity 2: Developing the harmonised regulatory SERA technical framework** Objective 2.3 Harmonised Train Control System and telematics	Medium (9)	a) Develop s procedure/guidelines for the process of advising on compatibility between ERTMS on-board and trackside subsystems, compliant with CCS TSI revision and route compatibility concept -First version to be agreed with the railway sector
18	**Insufficient progress towards achieving regulatory reform and convergence with the EU railway area in the Mediterranean region**	› Disruption and delays in the implementation of project activities › Insufficient interest from the countries which will benefit of the project activities › Underspending concerning the EUMEDRAIL project funded under the European Neighbourhood Instrument - entail a reputational risk beyond the ordinary taking into account the amount involved (2 mill. Euros) and the international context	May be caused by: › Shortage of staff with required knowledge and expertise to implement the project › Complexity of the projects (i.e. long implementation period, diversity of stakeholders with different interests and different stages of administrative and railway development) › Unequal and disparate railway development/ investment, within the main beneficiaries of the project coupled with political and administrative constraints	**Activity 1: Contributing to shaping target and global reference** Objective 1.4 Implementing the EU Medrail Project	Medium (8)	a) Continue to redeploy Agency staff to assist in the implementation of project activities b) Call upon independent experts to assist the Agency in the implementation of the project c) Work closely with European External Action Service (EEAS) by inviting systematically to all meetings in the countries involved in the project
19	**Risk of absence of a working language regime in the Agency**	› Financial consequences -Translation costs impacting Agency budget › Legal consequences - Translation that can be contested in Court (increase number of litigations) and non-compliance with legal deadlines for delivering the Agency outputs › Reputational consequences	May be caused by: › Failure of the MS representatives in the Agency Management Board to agree on an implementing rule for the linguistic regime of the Agency › Increasing demands in translation in the context of the 4RWP tasks › Accumulation of backlogs and delays in translation › Errors/inaccurate translation of technical documents › Inappropriate implementation of art.74 of the AR on Language Arrangements	Mainly **Activity 3: Implementing the harmonised regulatory SERA technical framework (under 4RP)** Objective 3.1: Ensuring the coordination of the Fourth Railway Package implementation Objective 3.2 Issuing Single Safety Certificates Objective 3.3 Issuing Vehicle Authorisation, including ERTMS on-board assessments Objective 3.4 Issuing ERTMS trackside approvals	High (16)	N/A

Number	Title	Risk description Consequence/Cause		Activity/Objective 2019	Residual risk	Measures to achieve acceptable risk for management
20	**Failure to conclude bilateral cooperation agreements (as per art.76 of the AR)**	(in the absence of common elements/guidelines) › Lengthy negotiations in view of conclusion of specific (bilateral/ multilateral) agreements with NSAs which may lead to delay in the implementation of the new tasks in June 2019 › Inconsistent and inefficient approach regarding functions/ tasks/ conditions for deliverables between ERA and NSAs with potential negative consequences on smooth delivery of the new tasks by the Agency. › Uncertainties regarding the level of cooperation of NSAs (compliance with the legal deadlines for issuing authorisations; insufficient number of experts provided by NSAs)	May be caused by: › Different views of Member States on the relevance/ usefulness of concluding bilateral agreements (both legal and on the content) Some Member States insisting on specific clauses in the Cooperation Agreements	Mainly **Activity 3: Implementing the harmonised regulatory SERA technical framework (under 4RP)** Objective 3.2 Issuing Single Safety Certificates Objective 3.3 Issuing Vehicle Authorisation, including ERTMS on-board assessments	High (16)	a) Negotiate at government level in view of determining reluctant NSAs to conclude framework agreement.
21	**Risk of misalignment between S2R activities and regulatory provisions**	› Regulatory provisions on railway interoperability & safety are not considered › European financial assistance not spend in most effective manner	› Due to potential different interests between the railway industry and railway service providers (e.g. railway undertakings), the Agency's research needs might not be taken into account under S2R projects (especially for developing ERTMS solutions)	**Activity 4: Monitoring, evaluating and reporting** Objective 4.3. Identifying research needs for the Target Rail System and supporting partner organisations in research and innovation	Medium (6)	a) Coordinate with S2R and the EC to ensure that the research needs identified by the Agency are properly taken into account under S2R projects at two levels: - Head of Unit level - Executive Director level

Activity	Title	Description	Indicative Timeframe	Estimated amount to be committed in 2019	Market Ceiling	Type Of Contract
Activity 2	Training video clips on OSS, SSC and VA	To facilitate on-line training and dissemination on VA and SSC	Q3	25,000.00	400,000.00	Framework Contract
Activity 3	External Service Provision for ERA Information System Development	Development and support of information systems - Intra-muros (Registers)	Q3	600,000.00		ESMA Framework Contract
Activity 3	External Service Provision for ERA Information System Development	Development, studies and support of information systems - Extra-muros (OSS)	Q1	900,000.00		Current Framework contract
Activity 4	Monitoring training	ISO training lead auditor; ISO standard 17000 series; Tailored made training for the NSA monitoring audit tools	Q1	95,000.00	430,000.00	New Framework Contract
Activity 5	Website_design	Web design services provided by Intrasoft	Q2	50,000.00		Framework contract
Activity 5	Website_development	This activity includes the maintenance and development part of the website. New functionalities and substantial changes of the structure can be applied only by DGIT. (MoU with DGIT)	Q3	50,000.00		MoU (DGIT)
Activity 5	Conferences	Contract for the organization of CCRCC Conference	Q3	100,000.00		Direct Contract
Activity 5	Multimedia content production	Creation of contents related to daily work done at the Agency. Raise awareness, dissemination etc.	Q1	22,500.00		Direct contract
Activity 5	External Service Provision for ERA Information System Development	Development and support of information systems - Intra-muros (general IT)	Q1	800,000.00		ESMA Framework Contract
Activity 5	Maintenance, support and Licenses	Maintenance, support and Licenses	Q1	300,000.00		DIGIT Framework
Activity 5	EU-CERT	EU-CERT	Q1	70,000.00		EC
Activity 5	Back-up site	Back-up site	Q1	60,000.00		CDT
Activity 5	Microsoft Support	Microsoft support	Q1	100,000.00		DIGIT Framework
Activity 5	Communication services	4 years FWC - 3 lots: Lot 1: Photography, multimedia services, live streaming; Lot 2: Graphic design and DTP, Printing, Strategic comms, Editorial support; Lot 3: Events management.	Applicable from 2020 (no budget impact in 2019)	-	1,400,000.00	New Framework Contract (Lot 1 and 2 are currently done by Page In Extremis, exp. 2020. The idea is to have a unique FWC for the 3 type of services). In 2019 we run ONLY the procurement process.
ALL	Catering services	Catering services (meetings)	Q1	150,000.00		Current Framework contract
ALL	Travel Agency	Travel Agency (missions)	Q1	200,000.00		Current Framework contract

Annex IX: Organisation chart



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