GRB Assessment of the ERA 2015 Annual Work Programme

Date: 27.06.2014

Reference Document: European Railway Agency – Draft Work Programme 2015 – Draft 3 – 06.06.2014

Author(s): The Group of Representative Bodies (GRB)

The Group of Representative Bodies (GRB) welcomes the ERA prioritisation of outputs. Building on this proposed prioritisation, the GRB recommends to classify further outputs as "significant". These activities identified as "Top priority" or "High priority" are recommended to be quickly developed and implemented, and appropriately resourced.

GRB would like to take this opportunity to reaffirm its support to develop a multi-annual work programme taking into account the tasks and responsibilities of the Agency as outlined in the 4th Railway Package's Technical Pillar.

GRB pleads to sufficiently reflect the preparation of the implementation of the technical part of the 4th Railway Package with the European Railway Agency becoming the one-stop-shop for vehicle authorisation and safety certification.

Prioritisation

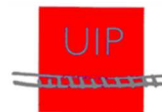| WP-Project	GRB Priority Indication
01.01 EC Task Force for a Single Safety Certificate	**Top Priority**
01.02 Networks and information exchange	High Priority
01.03 Safety Monitoring	Medium Priority
01.04 Audit & Assessment programme	High Priority
01.05 Improving Safety Performance	Medium Priority
01.06 Promoting transparency and reduction of National Safety Rules	High Priority
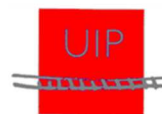
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01.07 Freight	Medium Priority
02.01 Harmonized EU rules for vehicles (including all structural TSIs)	High Priority
02.02 Harmonized EU rules for networks (including all structural TSIs)	High Priority
02.03 Cleaning up of National Technical Rules	**Top Priority**
02.04 Implementation of Interoperability Directive (including interoperability report, activities related to conformity assessment and NB-Rail, opinions and advices)	High Priority
02.05 Authorisation of Railway Vehicles	**Top Priority**
02.06 Monitoring the application of EU rules related to Vehicle Authorisation in the European Union	High Priority
02.07 Provision of tools & IT services related to Authorisation of Railway Vehicles	Medium Priority
02.08 Dissemination (incl. training) and communication of information related to Authorisation to railway sector (including Member State authorities, RU, IM, Manufacturers, DeBo, NoBo …)	High Priority
02.09 Cooperation with Standardisation Bodies	Medium Priority
02.10 Harmonized EU framework for operation (TSI OPE) and workers performing safety critical tasks (including train drivers)	High Priority
02.11 Support to the preparation of calls for proposals and evaluation of Interoperability projects in cooperation with the Commission and INEA (Innovation and Networks Executive Agency)	Medium Priority

03.01 Change Control Management for ETCS and GSM-R	**Top Priority**
03.02 Development of the requirement for the evolution of the railway communication system	High Priority
03.03 Sharing best practices in implementations and promotion of engineering guidelines and operation	High Priority
03.04 Support to the evaluation of ERTMS projects in cooperation with the Commission and INEA	High Priority
03.05 Promotion and facilitation of testing, certification and authorisation for ERTMS	High Priority
04.01 Database of interoperability and safety (ERADIS)	Low Priority
04.02 Registers for vehicles (ECVVR, ERATV…)	High Priority
04.03 Register of infrastructure (RINF) and PRM inventory of assets	**Top Priority**
04.04 Telematics applications Passengers and Telematics applications Freight	Medium Priority
05.01 Outcome KPI monitoring and ex-post reporting per operational activity	High Priority
05.02 Prioritisation scheme and early assessments	High Priority
05.03 Strategic ex ante assessments (incl. support to operational activity)	High Priority
05.04 Data analysis & methodologies (incl. assessment tools)	Low Priority
05.05 International relations	Low Priority
05.06 Stakeholder management	High Priority
05.07 Co-ordination and monitoring of research activities in the field of railway transport	Medium Priority
05.08 Opinions and advice	High Priority
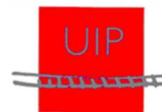
ERA Work Programme	GRB Change Request
05.09 Quality Management and audit/control	Compulsory (no GRB comment)
05.10 Strategy and Business Planning	Compulsory (no GRB comment)
05.11 Legal Affairs	Compulsory (no GRB comment)
05.12 Communications	Compulsory (no GRB comment)
05.13 Resources (human and financial)	Compulsory (no GRB comment)
05.14 Information Technology and Facilities	Compulsory (no GRB comment)

Detailed comments (Change Request) – Draft 3.0 – 06.06.2014

ERA Work Programme	GRB Change Request
Page 6 – List of the Agency's KPIs	
[Void]	*12 - Rationalisation of registers*
[Void]	*13 - Running a one stop shop in order to facilitate first pilot applications requiring authorisations of vehicles and subsystems in more than 1 MS*
[Void]	*14 - Ex-post assessment reports (including analysis of data on the KPIs). [Project 5.1]*

ERA Work Programme	GRB Change Request
Project 2.6 Monitoring the application of EU rules related to Vehicle Authorisation in the European Union	
	The Cross - Audit programme for NSAs and the NIB assessment programme is a core part of the Agency work to harmonise the interoperability regulatory framework. This

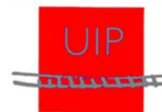|	
	programme will see Cross Audits and NIBs assessments. Alongside the programme the Agency will maintain the training programme for auditors for both Agency staff and NSA/NIB staff. This should ensure that the audit and assessment teams can be properly resourced.
Following the Agency documentation of the authorisation processes in 2012/2013 of all the National Legal Frameworks of the Member States, the Agency will update and maintain the relevant information in the Agency Database, as well as ensuring its good functioning,. Taking into account the different approaches, the Agency will produce further clarification on authorisation process in order to converge to a common approach. The Agency completed the initial evaluation of the transposition of the Interoperability Directive for the European Commission in 2013. As of 2014, the work will primarily involve, on request of the commission, the follow up of the original evaluation and the revision of real case studies in order to understand practical implementation and related issues that might arise. This will include feedback from applicants. In cooperation with the NSA network, an NSA cross-audit programme is running. The Agency is developing and maintaining the approach for this programme, supporting the cross-audit committee, providing ongoing training for the pool of auditors and participating in the mixed teams that are performing the audits. From 2103, the programme foresees a 5-year audit cycle to assess the performance of all NSAs. In addition, an annual report on the implementation of this project will be presented to the RISC.	Following the Agency documentation of the authorisation processes in 2012/2013 of all the National Legal Frameworks of the Member States, the Agency will update and maintain the relevant information in the Agency Database, as well as ensuring its good functioning,. Taking into account the different approaches, the Agency will produce further clarification on authorisation process in order to converge to a common approach. The Agency completed the initial evaluation of the transposition of the Interoperability Directive for the European Commission in 2013. As of 2014, the work will primarily involve, on request of the commission, the follow up of the original evaluation and the revision of real case studies in order to understand practical implementation and related issues that might arise. This will include feedback from applicants. In cooperation with the NSA network, an NSA cross-audit programme is running. The Agency is developing and maintaining the approach for this programme, supporting the cross-audit committee, providing ongoing training for the pool of auditors and participating in the mixed teams that are performing the audits. From 2103, the programme foresees a 5-year audit cycle to assess the performance of all NSAs. In addition, an annual report on the implementation of this project will be presented to the RISC.

| ERA Work Programme	GRB Change Request
Project 1.7 Freight	
The Agency recognises that the freight sector has some unique challenges and where they are of a general nature will use the Freight focus group to bring the actors together to find solutions. For the ECM work the Agency will continue to support the certification and accreditation work. In the field of Dangerous Goods the Agency will continue to play an active role supporting the Commission in the fields of interest described in Art. 12 of the Administrative Agreement with OTIF. In particular one of the objectives is to reduce the number of inconsistencies between COTIF and EU legislation.	The Agency recognises that the freight sector has some unique challenges and where they are of a general nature will use the Freight focus group to bring the actors together to find solutions. For the ECM work the Agency will continue to support the certification and accreditation work. In the field of Dangerous Goods the Agency will continue to play an active role supporting the Commission in the fields of interest described in Art. 12 of the Administrative Agreement with OTIF. In particular one of the objectives is to reduce the number of inconsistencies between COTIF and EU legislation. ***The follow-up of the questionnaire about the certification of freight wagons ECM launched in 2014 is part of this activity.***

ERA Work Programme	GRB Change Request
Project 2.1 Harmonized EU rules for vehicles (including all structural TSIs)	
Further to the entry into force of the full set of TSIs related to vehicle authorization, the Agency will now endeavour to develop provisions in Loc&Pas TSI for a unique authorisation valid for the entire network according to Article 23(1) of ID. It will also provide guidance for ensuring technical compatibility between routes and trains. At the request of many stakeholders, one of the key tasks in 2015 will be the definition of a common approach to determine the scale of the change of parameters which triggers the requirement for a new APS for vehicles upgraded or renewed. The task of closing remaining open points in the TSIs (mainly for other track gauges than 1435) will continue. In order to achieve	Further to the entry into force of the full set of TSIs related to vehicle authorization, the Agency will now endeavour to develop provisions in Loc&Pas TSI for a unique authorisation valid for the entire network according to Article 23(1) of ID. ***The focus will be on the work for the unique authorisation of vehicles covered by the TSI Loc&Pas. The ERA-OTIF WP will focus on drafting the equivalent of §7.1.2 and of appendix C of the WAG TSI for coaches.*** It will also provide guidance for ensuring technical compatibility between routes and trains. At the request of many stakeholders, one of the key tasks in 2015 will be the definition of a common approach to determine the scale of the change of
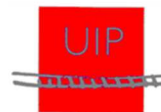
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this, a number of dedicated studies will be carried out and the result of research programmes will be taken into account. With a view to support the sector in the implementation of the TSIs, the Agency will draft the corresponding application guides and undertake dissemination activities at the request of relevant actors of the railway sector.
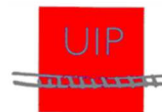
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ERA Work Programme	GRB Change Request
Project 2.2 Harmonized EU rules for networks (including all structural TSIs)	
The Agency will work on closing the remaining open points in TSIs. For this purpose, a number of dedicated studies will be carried out and the result of research programmes will be taken into account. The new or revised standards, elaborated upon the Agency's requests will also contribute to this task. The completion (e.g. closing of open points) or fine-tuning of existing TSI requirements according to the conclusions of these studies will become an important input to the progress of Interoperability, providing rules that will facilitate the achievement of interoperability from the technical and the economic points of view. With a focus on the series of European rail corridors, a long term strategy for the technical harmonisation of the EU networks (fixed installations) will be developed with focus on: main aspects underpinning the current situation, foreseen/ required performance level, revision of existing rules (for design, operation, maintenance, etc.), , involvement of the research institutions, new materials and technologies, etc. Specification of the parameters to be used for checking	The Agency will work on closing the remaining open points in TSIs *based on the findings of the NRB Roadmap "Closure of open points and allocation of tasks".* For this purpose, a number of dedicated studies will be carried out and the result of research programmes will be taken into account. The new or revised standards, elaborated upon the Agency's requests will also contribute to this task. The completion (e.g. closing of open points) or fine-tuning of existing TSI requirements according to the conclusions of these studies will become an important input to the progress of Interoperability, providing rules that will facilitate the achievement of interoperability from the technical and the economic points of view. With a focus on the series of European rail corridors, a long term strategy for the technical harmonisation of the EU networks (fixed installations) will be developed with focus on: main aspects underpinning the current situation, foreseen/ required performance level, revision of existing rules (for design, operation, maintenance, etc.), ,

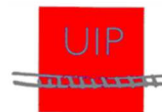|	
compatibility between trains and routes will be developed with consideration of the registers. Dissemination of the knowledge related to TSIs and their application will be an important part of this project.	involvement of the research institutions, new materials and technologies, etc. Specification of the parameters to be used for checking compatibility between trains and routes will be developed with consideration of the registers. Dissemination of the knowledge related to TSIs and their application will be an important part of this project.

ERA Work Programme	GRB Change Request
Project 2.3 Cleaning up of National Technical Rules	
The Agency will facilitate the updating and "cleaning up" of national rules to reflect the EU framework and TSI scope extension. TSI scope extension in itself should remove the need for the majority of national rules for new vehicle authorization. *Only* rules covering TSI open points and legacy systems should remain for new vehicles. National variations on the Target System will be covered in the TSIs as Specific Cases. The Agency will also clarify which parameters are to be checked at additional authorisation (i.e. those relating to compatibility with the additional network). The Agency will also facilitate, where possible, the convergence to common rules for groups of Member States. The Agency will also facilitate a common approach to national rules on difficult technical issues which contributes to TSI reviews and amendments in particular the closure of difficult open points. Finally, the Agency will facilitate and disseminate a common approach to the management and evolution of national rules among the Member States. The Agency will support EC and EFTA Authorities regarding Notification of NTRs via pre-evaluation of NTRs in 2015, organising and participating in workshops with MS authorities on cleaning up and notification of rules,	The Agency will facilitate the updating and "cleaning up" of national rules to reflect the EU framework and TSI scope extension ***based on a roadmap for the cleaning-up***. TSI scope extension in itself should remove the need for the majority of national rules for new vehicle authorization. ***Exclusively*** rules covering TSI open points, ***specific cases*** and legacy systems should remain for new vehicles. National variations on the Target System will be covered in the TSIs as Specific Cases. The Agency will also clarify which parameters are to be checked at additional authorisation (i.e. those relating to compatibility with the additional network). The Agency will also facilitate, where possible, the convergence to common rules for groups of Member States. The Agency will also facilitate a common approach to national rules on difficult technical issues which contributes to TSI reviews and amendments in particular the closure of difficult open points. Finally, the Agency will facilitate and disseminate a common approach to the ***transparent*** management and evolution of national rules among the Member States. The Agency will support EC and EFTA Authorities regarding Notification of NTRs via pre-evaluation of NTRs in 2015, organising and participating in

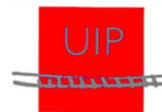| ERA Work Programme	GRB Change Request
providing information and training to MS to notify rules raising motivation & engagement of MS to clean up and notify rules and providing feedback to MS on rules submitted for notification.	workshops with MS authorities on cleaning up and notification of rules, providing information and training to MS to notify rules raising motivation & engagement of MS to clean up and notify rules and providing feedback to MS on rules submitted for notification.

ERA Work Programme	GRB Change Request
Project 2.4 Implementation of Interoperability Directive (including interoperability report, activities related to conformity assessment and NB-Rail, opinions and advices)	
The Agency has the responsibility to monitor the progress with railway interoperability in the European Union. This includes the follow up to the original evaluation of the transposition/monitoring the implementation of the Interoperability Directive in the different Member States, of the work of the National Safety Authorities (NSAs). The report will be structured around a set of indicators to assess the development of the legal and institutional framework as well as the progress of introduction of interoperability constituents and TSI-compliant vehicles and lines in the railway market. The report will also examine the data available in ERA registers. The purpose of the report is to provide up-to-date data and to analyse the trends by comparison with the data from previous reports. The report may be presented simultaneously with the biannual report on Safety performance.

The Agency will continue developing an accreditation scheme for NoBos based on Annex VIII of Directive 2008/57/EC. The Agency will further set up a system to routinely monitor the quality of the work performed by the NoBos. The two projects aim at improving the confidence in the EC verification process. | The Agency has the responsibility to monitor the progress with railway interoperability in the European Union. This includes the follow up to the original evaluation of the transposition/monitoring the implementation of the Interoperability Directive in the different Member States, of the work of the National Safety Authorities (NSAs). The report will be structured around a set of indicators to assess the development of the legal and institutional framework as well as the progress of introduction of interoperability constituents and TSI-compliant vehicles and lines in the railway market. The report will also examine the data available in ERA registers *and in the National Vehicle Registers*. *The Agency will pave the way to ensure full consistency between the EVR and the NVRs.* The purpose of the report is to provide up-to-date data and to analyse the trends by comparison with the data from previous reports. The report may be presented simultaneously with the biannual report on Safety performance.

The Agency will continue developing an accreditation scheme for NoBos based on Annex VIII of Directive 2008/57/EC. The Agency will further set up a system to routinely |

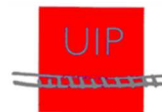|	
Furthermore, the Agency will attend all meetings of the notified body coordination group as observer. Subject to a relevant Commission mandate, the Agency will revise Decision 2010/713/EU on modules e.g. to include modules for the assessment with reference to notified national technical rules (NNTRs). As appropriate, the Agency will organise and chair meetings of the conformity survey group in order to provide consistency between the chapters 6 on the EC conformity assessment of the different TSIs.	monitor the quality of the work performed by the NoBos. The two projects aim at improving the confidence in the EC verification process. Furthermore, the Agency will attend all meetings of the notified body coordination group as observer. Subject to a relevant Commission mandate, the Agency will revise Decision 2010/713/EU on modules e.g. to include modules for the assessment with reference to notified national technical rules (NNTRs). As appropriate, the Agency will organise and chair meetings of the conformity survey group in order to provide consistency between the chapters 6 on the EC conformity assessment of the different TSIs.

ERA Work Programme	GRB Change Request
Project 2.9 Cooperation with Standardisation Bodies	
In order to support the development of TSIs and ensure their efficient implementation, the Agency coordinates its TSI-related activities with the European Standardisation Organisations (ESOs). The Agency, taking into account the opinion of the relevant working parties, issues requests for European standards when needed for TSIs. The Agency is represented on the two technical committees for rail (TC256 and TC9X) which coordinate the development of ENs related to railways. Cooperation with research organisations is covered under point 5.6.	In order to support the development of TSIs and ensure their efficient implementation, the Agency coordinates its TSI-related activities with the European Standardisation Organisations (ESOs). The Agency, taking into account the opinion of the relevant working parties, *acknowledging the need for reducing LCC of the rail subsystem through the definition and description of function interfaces*, issues requests for European standards when needed for TSIs. The Agency is represented on the two technical committees for rail (TC256 and TC9X) which coordinate the development of ENs related to railways. Cooperation with research organisations is covered under point 5.6.

ERA Work Programme	GRB Change Request

Project 3.3 Sharing best practices in implementations and promotion of engineering guidelines and operation	
The Agency continues, where appropriate, to produce harmonised guidelines (with the support of the sector and the involvement of the ERTMS MoU Steering Committee). Harmonise the principles and rules for operation within the ETCS and GSM R systems together with the engineering rules; definition of opportunities for cost-efficiency measures in the frame of standardised approaches to the training of the drivers for ERTMS; define of common principles applicable to operational rules used in the calculation of safety-related parameters for ERTMS; adjustment of the system based on operational feedback.	The Agency continues, where appropriate, to produce harmonised guidelines (with the support of the sector and the involvement of the ERTMS MoU Steering Committee) *and monitors the introduction of national rules for the implementation of ERTMS in order to prevent any obstacle to interoperability.* Harmonise the principles and rules for operation within the ETCS and GSM R systems together with the engineering rules; definition of opportunities for cost-efficiency measures in the frame of standardised approaches to the training of the drivers for ERTMS; define of common principles applicable to operational rules used in the calculation of safety-related parameters for ERTMS; adjustment of the system based on operational feedback.

ERA Work Programme	GRB Change Request
Project 3.5 Promotion and facilitation of testing, certification and authorisation for ERTMS	
In the preparation phase for future enlarged responsibilities, the Agency will take a more active and pragmatic approach in reacting to questions from stakeholders related to the application of the TSI CCS. The Agency will support the European Commission in the follow up of the EU deployment plan for ERTMS and coordinating the installations along corridors; activities contributing to the Steering Committee and Corridor Group set up by the European coordinator for ERTMS. Support to other Units in the field of ERTMS; disseminate of the principles of the harmonised approach to all parties involved in the ERTMS deployment, in particular to IM, RU, manufacturers and	In the preparation phase for future enlarged responsibilities, the Agency will take a more active and pragmatic approach in reacting to questions from stakeholders related to the application of the TSI CCS. The Agency will support the European Commission in the follow up of the EU deployment plan for ERTMS and coordinating the installations along corridors; activities contributing to the Steering Committee and Corridor Group set up by the European coordinator for ERTMS. Support to other Units in the field of ERTMS; disseminate of the principles of the harmonised approach to all parties involved in the ERTMS deployment, in particular to IM, RU, manufacturers and

laboratories. The Agency regularly surveys with the ad hoc group of Notified Bodies any difficulty or problematic situation which could arise in the process of certification and verification for ERTMS ICs and subsystems, with the aim to offer guidance and allow harmonised approaches. The Agency also addresses those issues with the NSAs in the ERTMS focus group, with the aim of identifying at an early stage possible difficulties and thus allowing open discussion and resolution among NSAs. To ensure the viability of regular updates of the complex software based system, the Agency will analyse in cooperation with the National Safety Authorities, the possible options to ensure efficient application of the EU railway legislation to software updates. The findings and results of the activities are reported in the documents concerned, Guidelines/Checklists (especially common checklist for TSI CCS) will be elaborated where necessary.	laboratories *as well as keepers and owners of locomotives and EMUs/DMUs.* The Agency regularly surveys with the ad hoc group of Notified Bodies any difficulty or problematic situation which could arise in the process of certification and verification for ERTMS ICs and subsystems, with the aim to offer guidance and allow harmonised approaches. The Agency also addresses those issues with the NSAs in the ERTMS focus group, with the aim of identifying at an early stage possible difficulties and thus allowing open discussion and resolution among NSAs. To ensure the viability of regular updates of the complex software based system, the Agency will analyse in cooperation with the National Safety Authorities, the possible options to ensure efficient application of the EU railway legislation to software updates. The findings and results of the activities are reported in the documents concerned, Guidelines/Checklists (especially common checklist for TSI CCS) will be elaborated where necessary.