
Changes to legislation: *There are outstanding changes not yet made to Commission Regulation (EU) No 1078/2012. Any changes that have already been made to the legislation appear in the content and are referenced with annotations. (See end of Document for details) View outstanding changes*

ANNEX

THE MONITORING PROCESS

4. **Drawing up of an action plan**
- 4.1. For identified instances of non-compliance that are considered unacceptable, an action plan shall be drawn up. This shall:
 - (a) lead to the enforcement of correctly implemented processes, procedures, technical, operational and organisational risk control measures as specified; or
 - (b) improve existing processes, procedures, technical, operational and organisational risk control measures; or
 - (c) identify and implement additional risk control measures.
- 4.2. The action plan shall in particular include the following information:
 - (a) objectives and results expected;
 - (b) corrective, preventive or both types of measures required;
 - (c) person responsible for implementing actions;
 - (d) dates by which actions are to be implemented;
 - (e) person responsible for evaluating the effectiveness of the action plan measures in accordance with Section 6;
 - (f) a review of the impact of the action plan on the monitoring strategy, priorities and plan(s).
- 4.3. For managing safety at interfaces the railway undertaking, infrastructure manager or entity in charge of maintenance shall decide, in agreement with the other actors involved, who shall be in charge of implementing the required action plan or parts of it.

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Changes and effects yet to be applied to the whole legislation item and associated provisions

- Signature words omitted by [S.I. 2019/837 reg. 15\(5\)](#)
- Signature words omitted by [S.I. 2019/837 reg. 20\(5\)](#)
- Art. 1(2)(a) words substituted by [S.I. 2019/837 reg. 15\(2\)](#)
- Art. 1(2)(a) words substituted by [S.I. 2019/837 reg. 20\(2\)](#)