

4th Railway Package – Vehicle Authorisation

Copenhagen, 16 January 2020

Eduardo Del Rio, Technical Coordinator Vehicle
Authorisation



The Technical Pillar of the 4th Railway Package



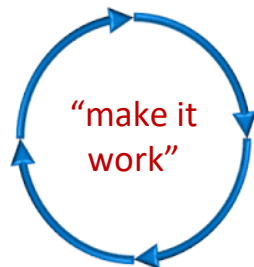
Entry into Force:
15 June 2016



EUROPEAN
UNION
AGENCY
FOR RAILWAYS

Completion of the **Single European Railway Area**

- **Avoid multiple applications** in the case of operations beyond one single Member State (time & costs reduction)
- Create a "**One-Stop Shop**" : single entry point for all such applications using **harmonised** authorisations & certification **processes**
- **Reduce** the large number of remaining **national rules**
- Ensure smooth implementation of **European Rail Traffic Management System**



- ✓ Enhance the level of **interoperability** of railway
- ✓ Promote harmonised framework for **safety** on the European railway system

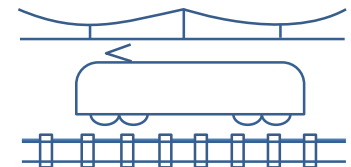
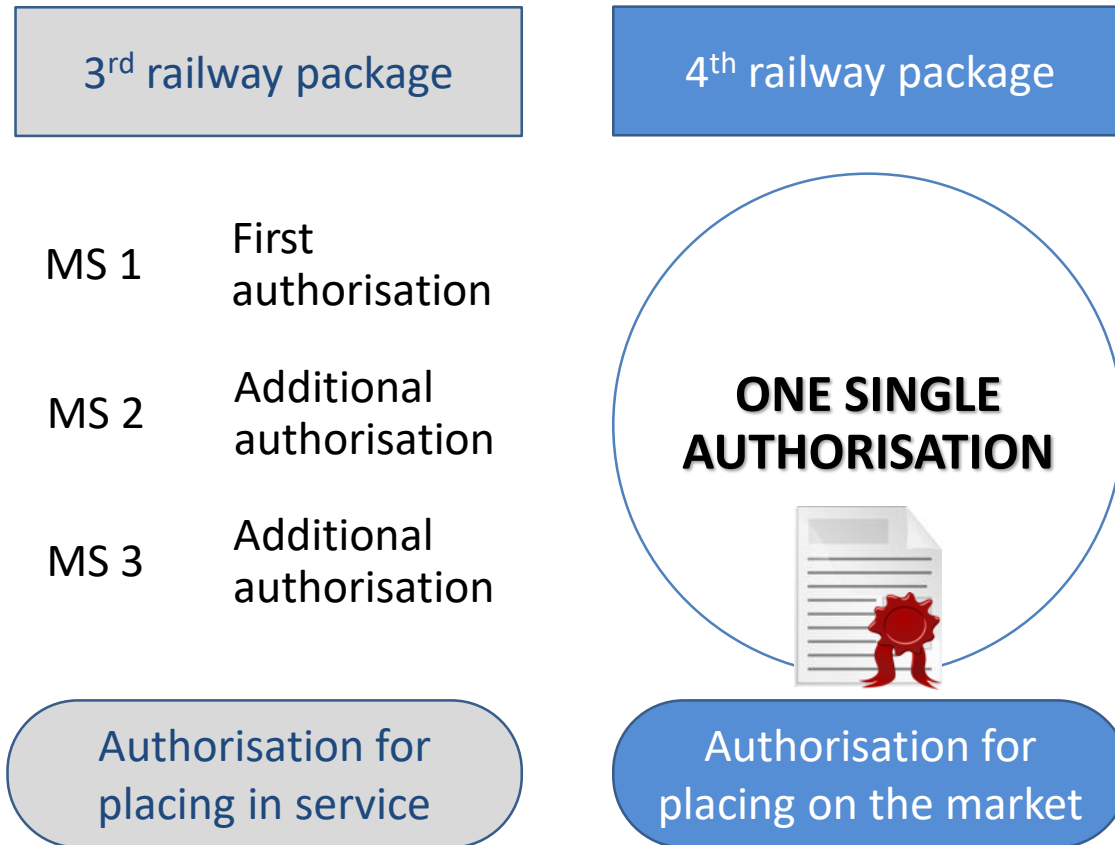


What's new?

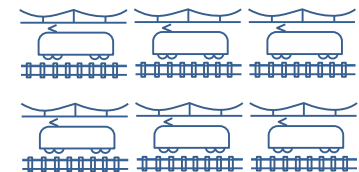
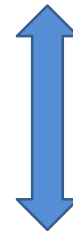
The new process

NEWS

Vehicle to be used in 3 Member States


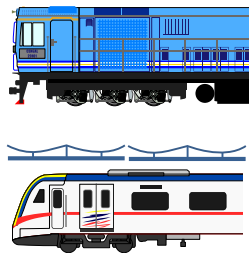
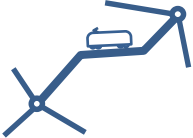


Vehicle type
+variant & version



Vehicles

Vehicle authorisation within context

Activity		>1 MS	Only 1 MS
1	<p>Placing on the market of mobile subsystems</p> <ul style="list-style-type: none"> • Essential Requirements • No need for authorisation of the mobile subsystem • EC Declaration of Verification 	Applicant	
2	<p>Vehicle authorisation for placing on the market / Vehicle type authorisation</p> <ul style="list-style-type: none"> • Technical compatibility of the subsystems within the vehicle • Safe integration of the subsystems within the vehicle • Technical compatibility of the vehicle with the network in the area of use 	<p>The Agency in collaboration with NSAs</p>	<p>The Agency or NSA (Applicant's choice)</p>
		One-Stop Shop	
3	<p>Check before the use of authorized vehicle</p> <p>Route compatibility on the basis of the Register of Infrastructure (RINF) and national rules</p> 	Railway Undertaking	
4	<p>Supervision</p> <p>In case of non-compliance to essential requirements noticed during operation by Railway undertakings or ultimately by NSA and inducing safety risks (e.g. during supervision activities) authorisation can be <u>suspended, revoked or amended.</u></p>	NSA(s)	

The authorising entity in the vehicle authorisation process

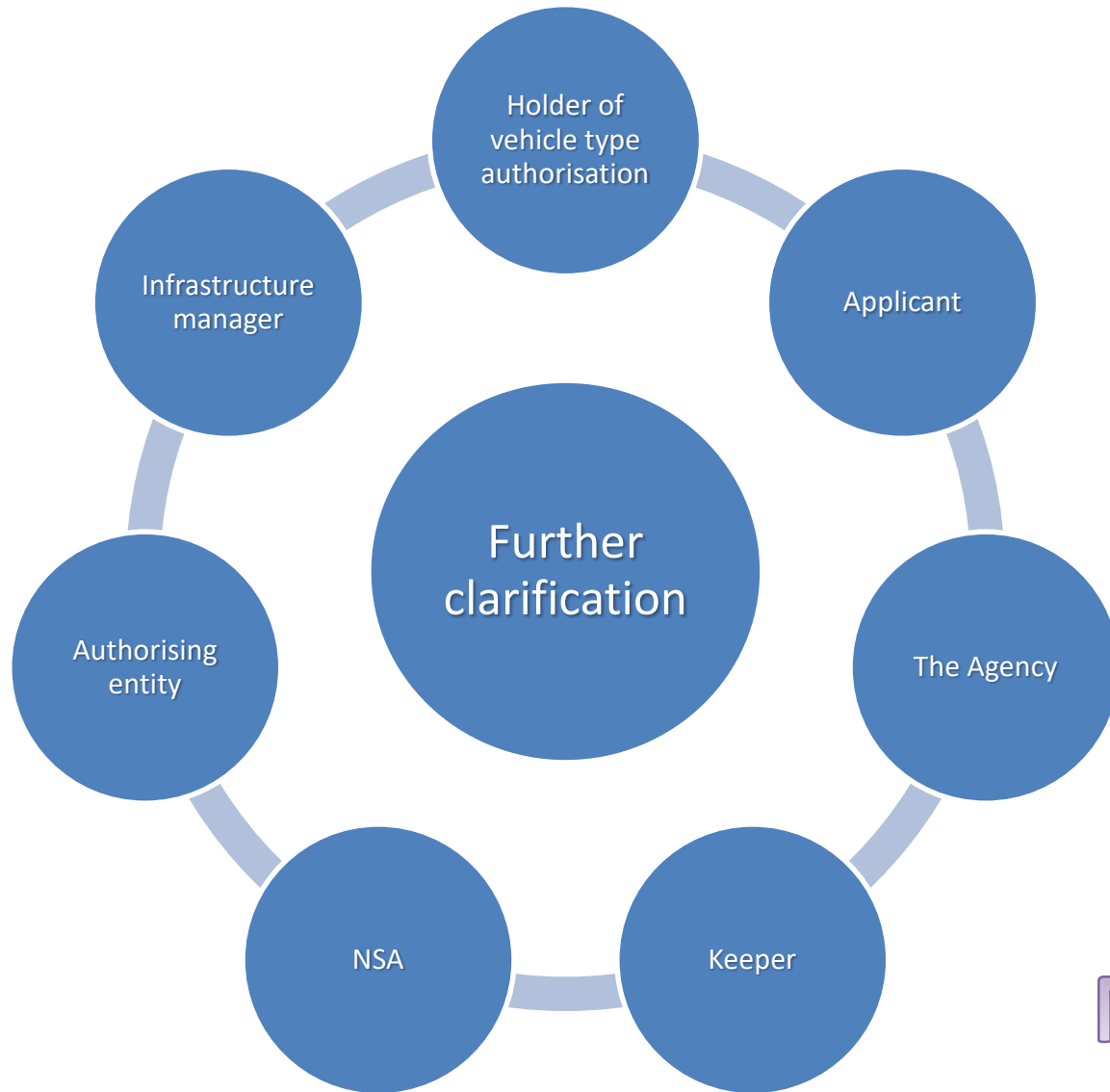
The authorising entity depends on the area of use

- If the area of use = more than one Member State, then:
 - **The Agency is the authorising entity** and issues the vehicle authorisation for placing on the market and/or the vehicle type authorisation
 - The Agency collaborates with the concerned NSAs, the collaboration is structured in the cooperation agreements
- If Area of use = one Member State only, then:
 - **The applicant can choose** the Agency or the concerned NSA

In both cases the application is to be submitted through the One-Stop Shop (OSS)

Vehicle authorisation process

New/amended roles and responsibilities



NEWS

The legal framework

4RP : Applicable legislation and related documents

Directives

2016/797 - Interoperability directive

2016/798 - Safety directive

Regulations

2016/796 - Agency regulation

Regulation (EU) 2018/545 - Practical arrangements for VA process

Regulation (EU) 250/2019 - EC declaration of verification

Draft - Classification of National Rules

Regulation (EU) 2018/764 - Fees & Charges

Regulation (EU) 2018/867 Board of Appeal

Guidance

ERA-PRG-005/02_361 - Practical arrangements - VA process

ERA-PRG-005/02_374 - Catalogue of examples

Guidance to the IA EC declaration of verification

Agreements

Cooperation agreements between the Agency and the NSAs

Other Legal texts

402/2013 - CSM for risk evaluation and assessment
Decision 2010/713/EU conformity assessment modules
Regulation (EU) 1300/2014 PRM TSI

Revised TSIs (the package)

LOC&PAS, WAG, CCS, SRT, INF, ENE : Reg.(EU) 2019/776
OPE: Regulation (EU) 2019/773
NOI: Regulation (EU) 2019/774

Other

Decision (EU) 2018/1614 EVR specification
Regulation (EU) 2019/777 Revised RINF specification
Regulation (EU) 2019/776 Revised ERATV specification
RDD: decision 2011/155/EU on the reference document
RDD: ERA/GUI/XA v3.0 Part 1 reference document
Guidances to TSIs and Registers

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ERA > Applicants > Applications for vehicle (type) authorisations

Applications for vehicle (type) authorisations

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APPLICANTS

Applications for single safety certificates

Applications for vehicle (type) authorisations

Applications for ERTMS approval

Legal framework

- Commission Implementing Regulation (EU) 2018/545 of 4 April 2018 establishing practical arrangements for the railway vehicle authorisation and railway vehicle type authorisation process
- Commission Implementing Regulation (EU) 2019/250 of 12 February 2019 on the templates for 'EC' declarations and certificates for railway interoperability constituents and subsystems, on the model of declaration of conformity [...]
- Commission Implementing Regulation (EU) 2018/764 of 2 May 2018 on the fees and charges payable to the European Union Agency for Railways and their conditions of payment
- Commission Implementing Regulation (EU) 2018/867 of 13 June 2018 laying down the rules of procedure of the Board(s) of Appeal of the European Union Agency for Railways

Related guidance

- Practical arrangements for the vehicle authorization process – Guidelines (3.11 MB)
- Practical arrangements for the vehicle authorization process – Guidelines (pdf exported from word version) (5.72 MB) [Other languages](#)
- Practical arrangements for the vehicle authorisation process - Guidelines - Annex XVIII flowcharts (high-res) (1.89 MB)
- Practical arrangements for the vehicle authorisation process - Examples (170.19 KB)
- Clarification on authorisation of wagons in conformity with point 7.1.2 of the WAG TSI.pdf (211.47 KB)
- Clarification on the use of the One-Stop Shop between the 16th of February 2019 and the 16th of June 2019 (208.31 KB)
- ERA1209-001 Clarification about points 18.4 and 18.5 of Annex I of Regulation 2018-545.pdf (186.32 KB)

- ERA1209-003 Clarification about responsibilities for populating ERADIS (131.89 KB)
- ERA 1209-006 Clarification about transitory measure for the uploading of EC Certificates and ISV information to ERADIS (217.62 KB)
- ERA1209-036 Clarification about applicability of phase A in LOCPAS and WAG TSI for extension of the area of use (139.17 KB)
- ERA1209-037 Clarification about the case to apply for changes (not extension) in the area of use (184.43 KB)
- ERA1209-047 LTT clarification about authorisations issued by CH during the transitory period (345.43 KB)

Related documents

- OSS User Guide for Applicants (3.48 MB)
- Overview of applicable legal framework (VA) (247.9 KB)
- OSS Training guidelines (233.44 KB)

Related links

- One-Stop Shop (OSS)
- ERATV database
- ERADIS database
- Technical Specifications for Interoperability
- National rules
- Conformity Assessment
- FAQ



A single VA process

A single VA process

The Vehicle Authorisation process

Stage 1



Preparation of the application

Stage 2



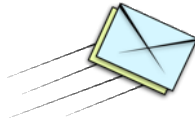
Pre-engagement

Stage 3



Conformity assessment

Stage 4



Submitting the application

Stage 5



Processing the application

Stage 6

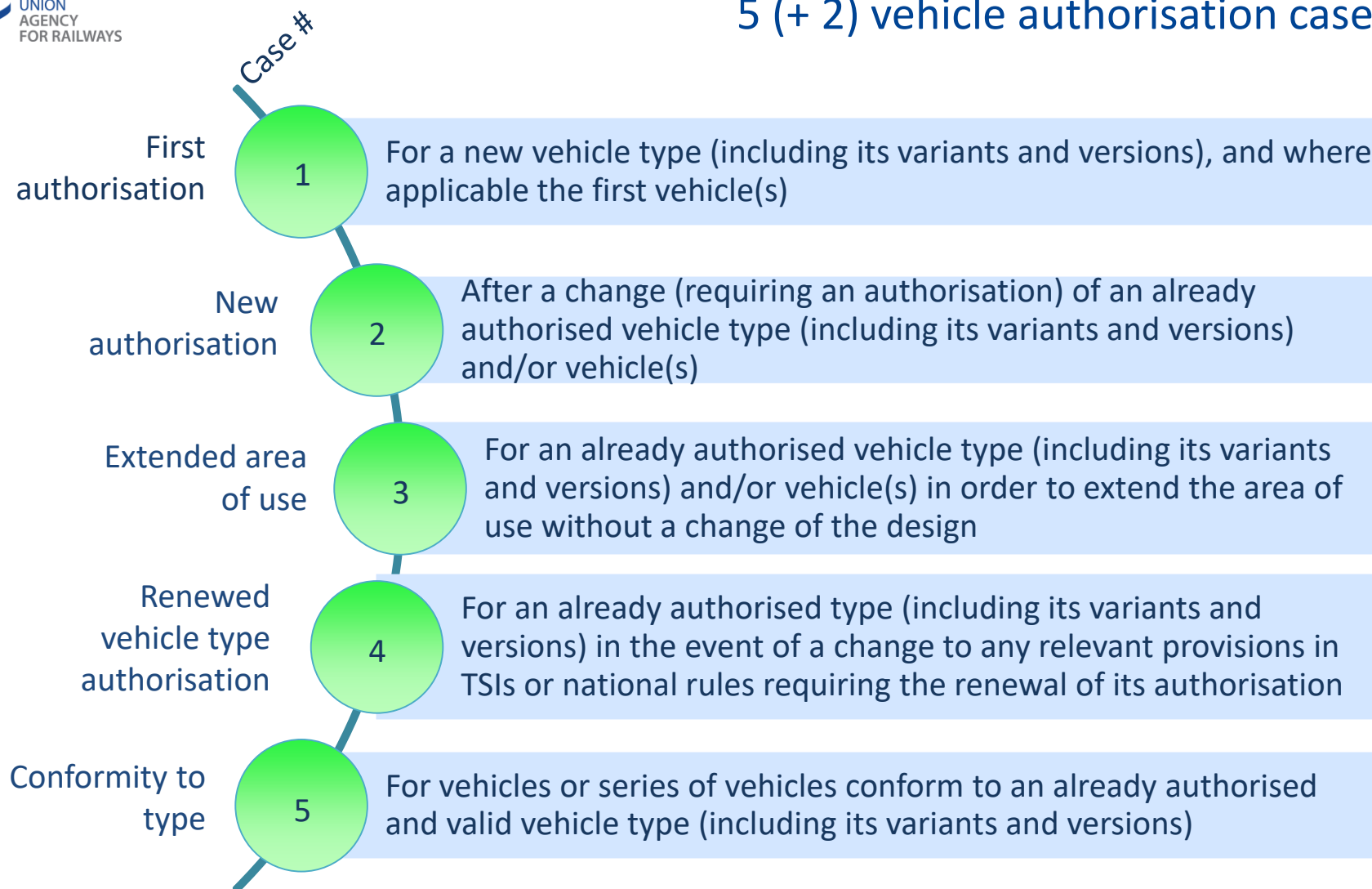


Final documentation

 Suspension, revocation or amendment of an issued authorisation

EU HARMONISED PROCESS

5 (+ 2) vehicle authorisation cases

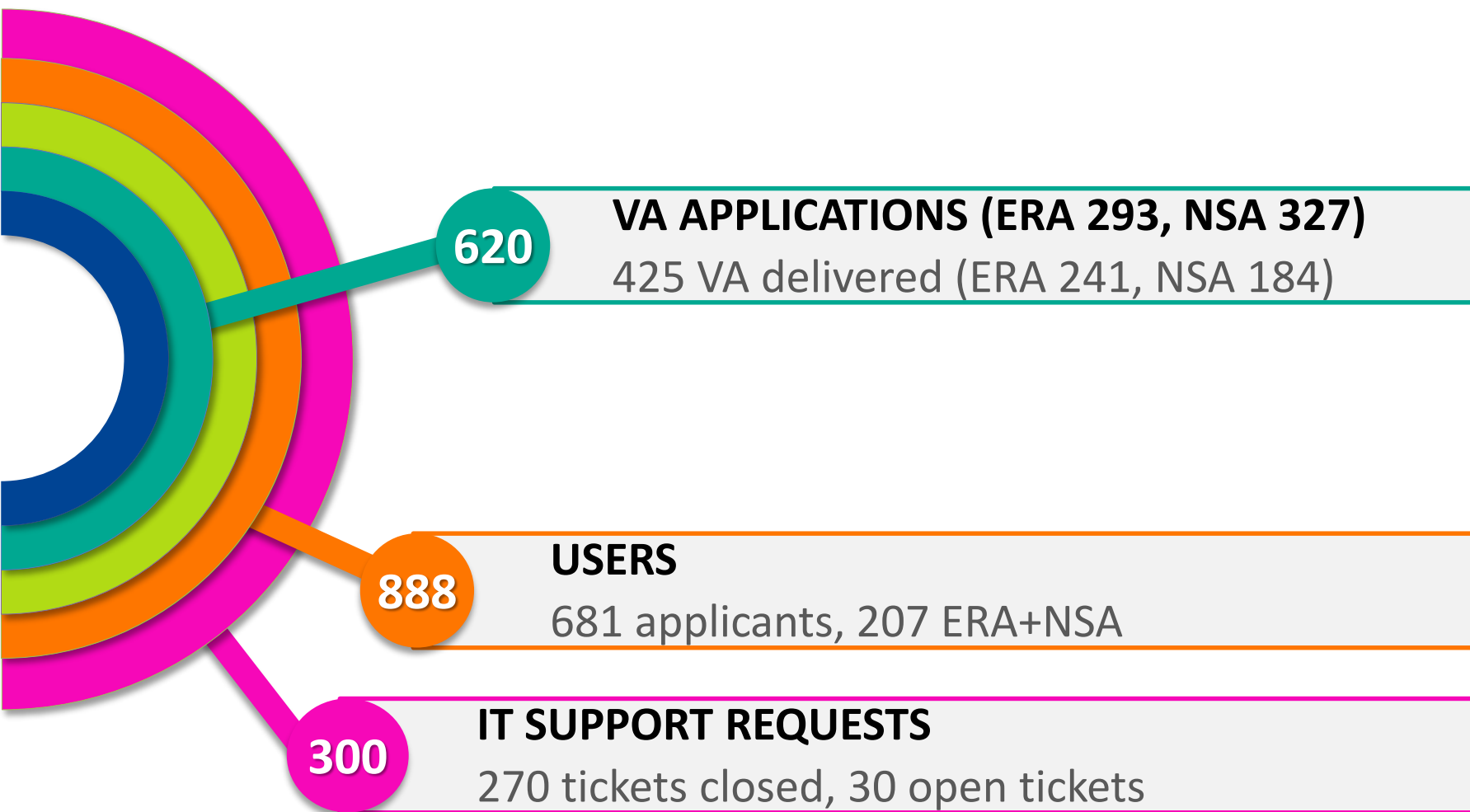


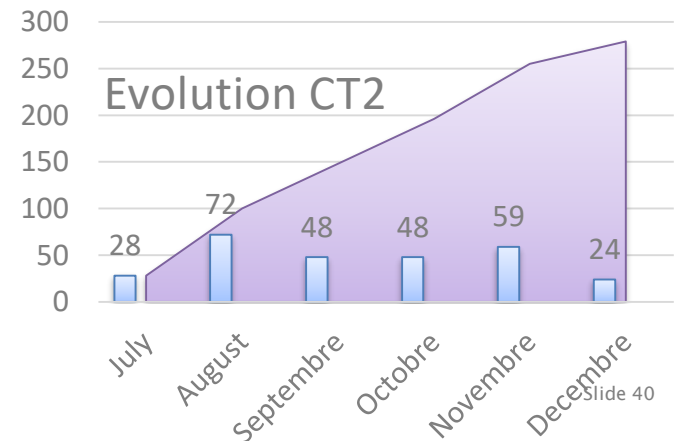
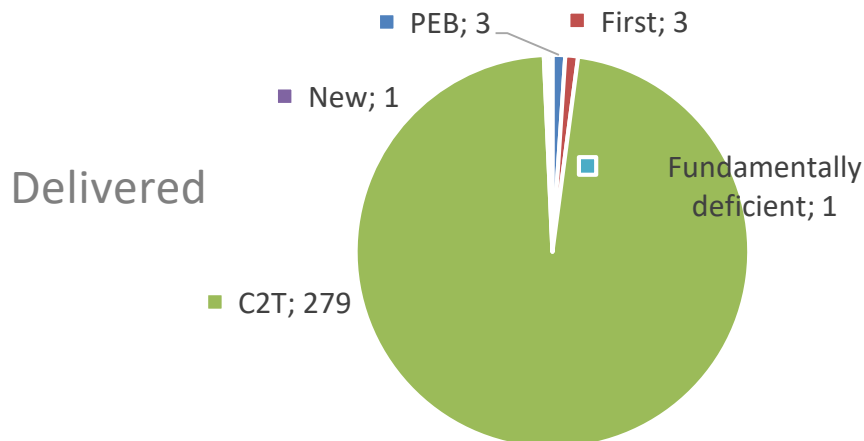
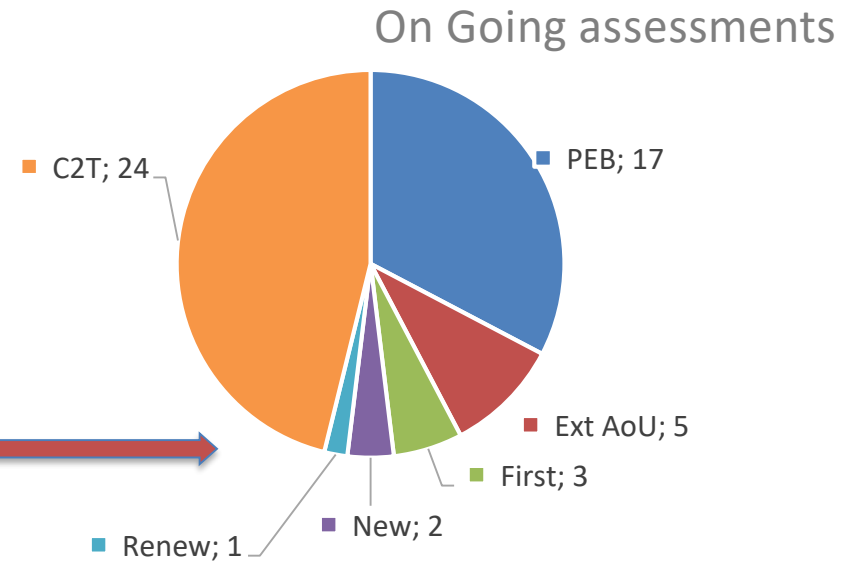
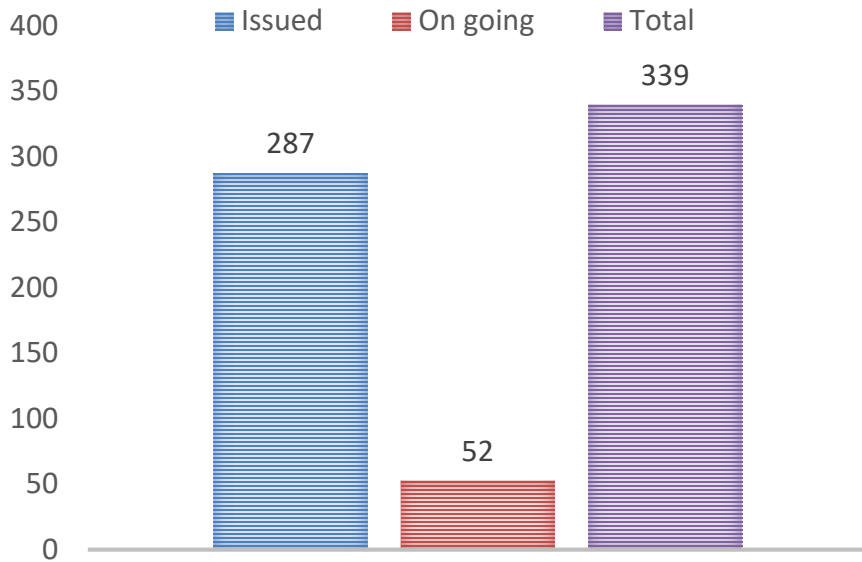
Or combinations:

- 6. 'First authorisation + Conformity to type', or
- 7. 'New authorisation + extension of area of use

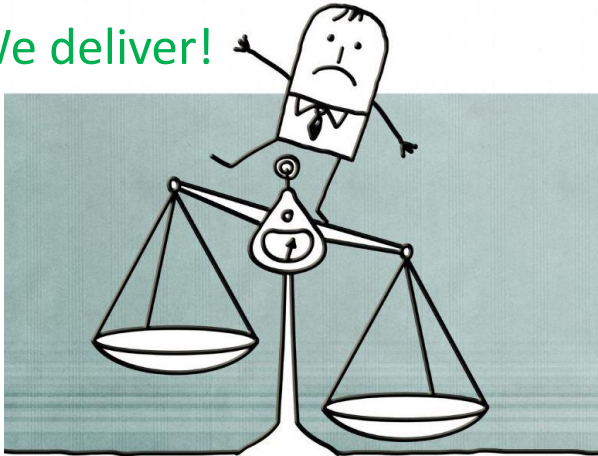
Return of Experience since June 2019

Return of Experience





We deliver!

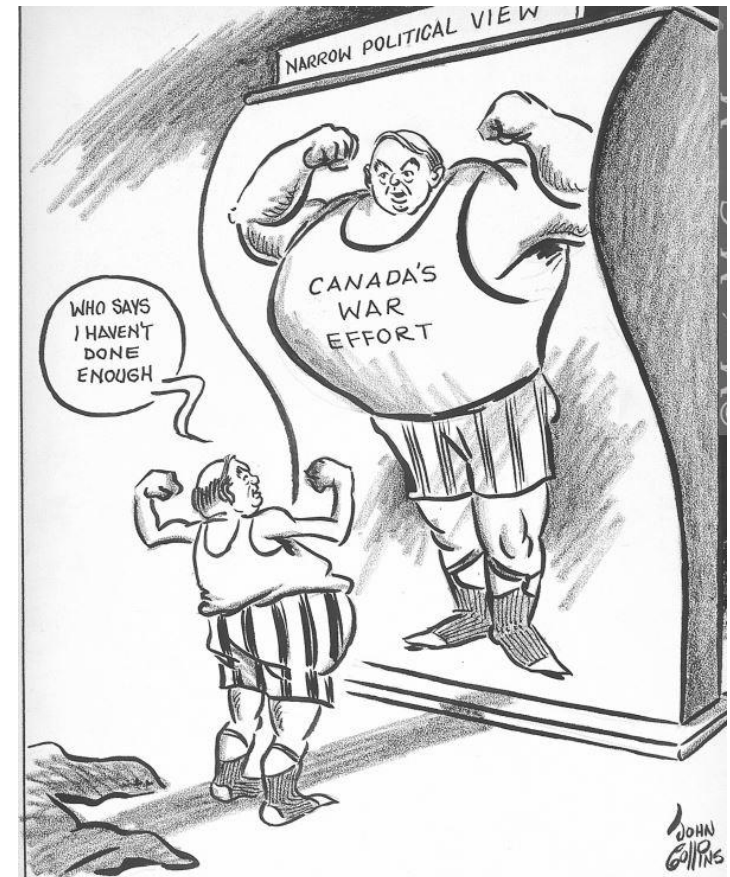


Majority of Conformity to Type (C2T)
Wagons (compliant §7.1.2. TSI 321/2013)
« Low complex » cases

Too long !



Conditions for
measuring the benefits
of 4th Railway Package
(simplification &
acceleration of the
process to deliver VA)
not yet in place





- Reinforced collaboration between VA experts NSAs vs ERA
- Workshops (Pool of Experts Trainings)
- Dissemination exercises
- Clarification Notes (Line To Take)
- Recognised ERA reactivity by applicants and NSAs



First steps – first difficulties

4RP Intrinsic new features :

- Applicant increased responsibility
- Authorisation cases
- Requirement capture
- One-Stop Shop – OSS
- ERA as new actor in VA

Collateral obstacles :

- Transitional period June 2019 - June 2020
- Derogation process (non-application of TSI's)
- TSI's still evolving
- Discussions UE - CH



4th Railway Package : surprise-package ?

Vehicle Types not registered in ERATV

Certificates & EC Declarations missing in ERADIS

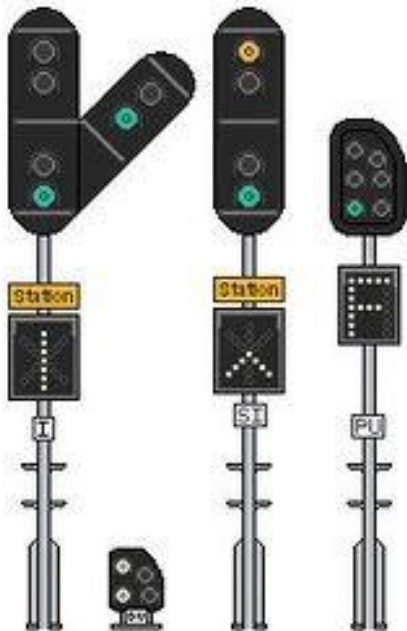
ERA management of Databases

Legal timeframes <> operationnal deadlines

Serie authorisation

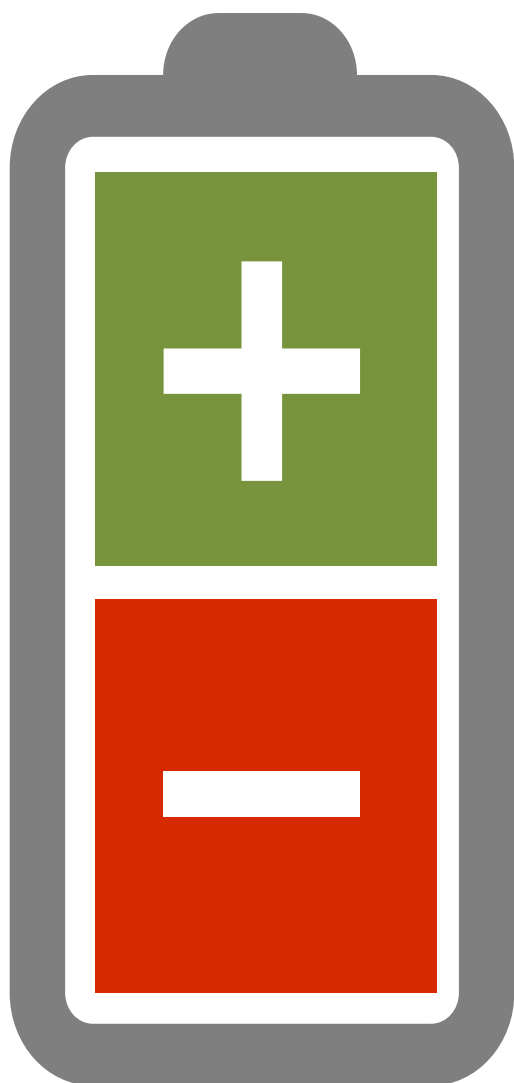
Lack of prepareness to legal framework change





- Network definition at Member State level
AoU => defined geographically rather than via technical parameters
- National Rules reduction – RDD
Impact on Pre-Engagement
- National requirements regarding language
- Administrative rules
- Border stations versus Area of Use





- Submitting VA application
 - Staff appointment and access control management
 - Issuing Vehicle authorisations (VAs)
-
- Ergonomy
 - Library (export, configuration management)
 - Notifications
 - Dashboard
 - Web forms
 - Application update via Issue Log

- Keep on clarifying and stabilizing the legal framework
- Prepare the transition with applicants and NSAs in Member States 2020
- Improve operational cooperation between NSAs & ERA
- Improve OSS
- Support applicants in preparing transition to 4RP
- Set up the management of return on experience (Art. 8 of 2018/545)
- Set up the notification process (Art, 16 (4) of 2018/545)





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