Annex XVIII Flowcharts

How to read the flowcharts

Symbols

Standard flowchart that describes the authorisation process, using 6 Unified Modelling Language symbols:

- **Start/End**
- **Activity**
- **Decision with multiple answers**
- **Output**
- **Substage**
- **Splitter/merger**
- **Intermediate Start/End**

Principles

› The symbols are linked with directed arrows.
› It is indicated on the merger symbol if parallel arrows are considered as “And” or “Or”.
› Splitter symbol is always considered as “And”.
› The flowchart starts and ends with the same symbol.
› An activity is an action that requires the use of a verb, e.g. Request, Provide, Modify.
› A decision is often an answer to a question. The answer is often binary Yes/No but may be also multiple alternatives.
› An output is the result of an action and is often a document either paper based or electronic based.
› Outputs are placed with the recipient.
› The role indicated in the flowchart is to be understood as the role responsible for the activity. Other actors might be supporting but are not specified in the flowchart.
› If there is a time frame defined in the legislation this is indicated where it starts in the activity/decision/output by a: (*).
› The activities/decisions/outputs have been colour coded to indicate if it is:
   - Green = Recommended practice; and
   - Purple = Mandatory according to EU legislation.
› References to legislation are placed next to the relevant activity/decision/output in a yellow box.
› The following abbreviations are used for the legal references:
   - ID – Interoperability Directive (EU) 2016/797
   - IR – Commission Implementing Regulation (EU) 2018/545
   - AR – Commission Regulation (EU) 2016/796
   - IRD – Commission Implementing Regulation (EU) yyyy/nnn (on EC declaration of verification)
   - CSM – Commission Implementing Regulation (EU) 402/2013

List of flowcharts

Stage 1 – Preparation of the application
Stage 1 – Substage 1.1 – Identification of the relevant authorisation
Stage 1 – Substage 1.2 – Processing of the notification
Stage 2 – Pre-engagement
Stage 3 – Conformity assessment
Stage 4 – Submitting the application
Stage 5 – Processing the application
Stage 5 – Substage 5.1 – Arbitration
Stage 5 – Substage 5.2 – Review and appeal
Stage 6 - Final documentation
### Guidelines for the practical arrangements for the vehicle authorisation process

#### Version of a vehicle

- **IR**:
  - It is a new vehicle type variant
  - Required assessment

  - **No**
    - **IR**
      - End of Stage 5 where:
        - The application is not complete, or
        - There is negative appeal decision, or
        - There is need to perform additional assessments

  - **Yes**
    - **IR**
      - Start Substage 1.1
      - Perform requirements capture
      - **IR**
        - Start Substage 1.1
        - Identification of the relevant authorisation
      - End of Substage 1.1

- **END**

#### Identification of the relevant authorisation

- **No**
  - Applicant's decision on the authorising entity

- **END**

#### Substage 1.1

- **No**
  - Applicant's decision on the authorising entity

- **END**

### Potential applicant / Entity managing the change / Applicant

- **Authorising entity**

### NSA for the area of use

**Legal route**: Interoperability Directive (EU) 2016/797 and Implementing Regulation (EU) 2018/834

### Common practice

**Stage 1 – Preparation of the application**

- **Non mandatory**
  - Create application for vehicle type and other restrictions
  - Required conformity assessment bodies
  - Identify and define the necessary measures to use the vehicle for tests on the network

- **Mandatory**
  - Identify the authorising entity based on the area of use
  - Authorising entity: 
    - MS
    - NSA

- **IR**
  - End Substage 1.1

- **END**

### Requirements

- **NSA**
  - Perform temporary authorisation according to MS national legal framework

### Process application for temporary authorisation

- **NSA**
  - Application for temporary authorisation according to MS national legal framework

### Regulation 2016/797

- **NSA**
  - Implementing Regulation (EU) 2018/834

### Appendix IV

- **NSA**
  - National rules for use of the network
  - National legal framework
  - Authorising entity

- **END**
### Stage 4 – Submitting the application

<table>
<thead>
<tr>
<th>Applicant</th>
<th>Authorising entity</th>
<th>NSAs for the area of use</th>
</tr>
</thead>
<tbody>
<tr>
<td>Check the validity of the existing vehicle type authorisation</td>
<td>Identify the format and the content of the application for authorisation and the file accompanying the application for authorisation</td>
<td>Refer the application for authorisation and the file accompanying the application for authorisation to the concerned NSAs for the area of use</td>
</tr>
<tr>
<td>Identify the format and the content of the application for authorisation for placing on the market of a vehicle in conformity to an authorised vehicle type and the file accompanying the application for authorisation</td>
<td></td>
<td>Is it necessary to check the application concerning the relevant national rules?</td>
</tr>
<tr>
<td>Prepare and compile the application for authorisation and the file accompanying the application for authorisation</td>
<td>Submit the application for authorisation and the file accompanying the application for authorisation to the selected authorising entity through the one-stop shop</td>
<td>No</td>
</tr>
<tr>
<td>Application for authorisation and file accompanying the application for authorisation</td>
<td>Select the authorising entity based on the area of use</td>
<td>Yes</td>
</tr>
<tr>
<td></td>
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<tr>
<td></td>
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<td></td>
</tr>
</tbody>
</table>
| | | | Refer the application for authorisation and the file accompanying the application for authorisation to the concerned NSAs for the area of use | | | Begin of Stage 5
Stage 5 - Processing the application – Substage 2: Review and appeal

**Guidelines for the practical arrangements for the vehicle authorisation process**

**Applicant**
- Request the review of the decision through the one-stop shop
- Submit an appeal to the competent authority

**Authorising entity**
- Is the authorising entity the Agency or a NSA?
- Submit request for appeal to the Board of Appeal through the one-stop shop
- Communicate the conclusion of the review process to the applicant through the one-stop shop
- Is the applicant satisfied with the reply of the authorising entity?

**NSAs for the area of use**
- Refer the request for review of the decision to the NSAs for the area of use
- Communicate the conclusion of the review process concerning the relevant national rules
- Review the decision following the request from the applicant

**MS regulatory body**
- Request for review of the decision
- Communicate the conclusion of the review process concerning the relevant national rules

**Board of Appeal**
- Request for appeal to the Board of Appeal
- Examine the appeal request
- Remit the case to the NSA as authorising entity
- Examine the appeal
- Remit the case to the Agency as authorising entity
- Findings of the Board of Appeal
- Findings of the regulatory body referred to in article 55 of Directive 2012/34/EU
- Findings of the regulatory body referred to in article 55 of Directive 2012/34/EU
- Findings of the Board of Appeal

Timeline starts from:
- [1] 2 months, IR 21 [13], IR 51 [7]
- [**] 3 months, AIR 62

**Legal route**
- Interoperability Directive (EU) 2016/797
- Implementing Regulation (EU) 2016/545
- Regulation (EU) 2016/796
Stage 6 – Final documentation

Applicant

Update ERADIS as appropriate

Missing information in ERADIS

Inform the applicant about the missing information in ERADIS

Has ERADIS been updated as appropriate?

Yes

No

Hold the vehicle type authorisation

Information necessary to create a new vehicle type version or a new version of a vehicle type variant in ERATV

Check consistency of the data provided by the applicant / holder of the vehicle type authorisation

Fill in ERATV using the information provided by the applicant / holder of the vehicle type authorisation

Complete the registration in ERATV

Does the authorisation cover an authorisation for placing on the market only?

Yes

No

Authorising entity

Does the authorisation cover an authorisation for placing on the market only?

Yes

No

Complete draft ERATV register for the parts for which it has access

Complete draft ERATV register for the parts for which it has access

Check consistency of the data provided by the applicant / holder of the vehicle type authorisation

Check consistency of the data provided by the applicant / holder of the vehicle type authorisation

Complete the registration in ERATV

Make the ERATV entry available to the public

Registration in ERATV available to the public

Establish and submit to the applicant the forms for:

• Vehicle authorisation for placing on the market and/or
• Vehicle type authorisation

Establish and submit to the applicant the form for vehicle authorisation for placing on the market

END

END

Forms for:

• Vehicle authorisation for placing on the market
• Vehicle type authorisation