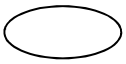
Section 4 Flowcharts

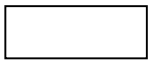
How to read the flowcharts

Symbols

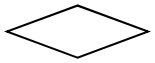
Standard flowchart that describes the authorisation process, using 6 Unified Modelling Language symbols:



Start/End

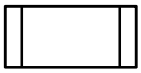


Activity



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 – Regulation (EU) 2018/545
  - AIR – Regulation (EU) 2016/796
  - CSM – Regulation (EU) 402/2013
  - REG – Regulation (EU) 2019/250

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

End of Stage 3 where:
- To correct a non conformity,there is a need to change the design or request a non-application of TSIs and/or national rules;or
- CSM on risk assessment outcomes for requirements capture are not ok and the applicant agrees

Start

End of Stage 5 where:
- The application is not complete, or
- There is a negative appeal decision, or
- There is a need to perform additional assessments

Legal route

Non mandatory / Common practice

ID: Interoperability Directive (EU) 2016/797
IR: Implementing Regulation (EU) 2018/545

Stage 1 – Preparation of the application

Guidelines for the practical arrangements for the vehicle authorisation process v1.0

Potential applicant / Entity managing the change / Applicant	Authorising entity	NSAs for the area of use

OR

Perform requirements capture — IR:13

Start Substage 1.1

Identification of the relevant authorisation

End Substage 1.1

No authorisation required — IR:15(1)(a);(b) and (c); 16(1) & (4)

First authorisation — IR:14(1)(a)

Identify:
- The rules including non application of the TSIs
- The intended conditions for use and other restrictions
- The necessary conformity assessment
- Required conformity assessment bodies

Identify and define the necessary measures to use the vehicle for tests on the network

ID:15(1)&(2); Annex IV IR:17-21

Renewed vehicle type authorisation — IR:14(1)(b)

Identify:
- The rules determining the validity of the vehicle type authorisation
- The necessary conformity assessment
- Required conformity assessment bodies
- The issued vehicle type authorisation

Identify and define the necessary measures to use the vehicle for tests on the network

ID:13;15(1)&(2);24(3);Annex IV IR:17-21

Authorisation for extended area of use — IR:14(1)(c)

Identify:
- The rules including non application of the TSIs
- The intended conditions for use and other restrictions
- The necessary conformity assessment
- Required conformity assessment bodies
- The issued vehicle type authorisation

Identify and define the necessary measures to use the vehicle for tests on the network

ID:15(1)&(2);Annex IV IR:17-21

New authorisation — IR:14(1)(d)

Identify:
- The rules including non application of the TSIs
- The intended conditions for use and other restrictions
- The necessary conformity assessment
- Required conformity assessment bodies
- The issued vehicle type authorisation

Identify and define the necessary measures to use the vehicle for tests on the network

ID:15(1)&(2);Annex IV IR:17-21

Authorisation in conformity to type — IR:14(1)(e)

Identify:
- Required conformity assessment bodies
- The necessary conformity assessments
- The issued vehicle type authorisation

ID:15(1)&(2);25;Annex IV IR:20;21

OR

Identify the authorising entity based on the area of use — ID:21(5);21(8) IR:31(2)

Is the area of use limited to one MS? — ID:21(8)
- No
- Yes

Applicant's decision on the authorising entity? — IR:31(2)
- NSA
- ERA

OR

Authorising entity: ERA

Authorising entity: NSA

OR

Is temporary authorisation(s) to use the vehicle for tests on the network required by MS National legal framework ? — ID:21(3);21(5) IR:7(6);19(1)
- Yes
- No

Apply for temporary authorisation according to MS national legal framework — IR:7(6);19(1)

Application for temporary authorisation according to MS national legal framework — IR:7(6);19(1)

Process application for temporary authorisation according to MS national legal framework — IR:2(8)(c);19(2)

Temporary authorisation to use the vehicle for tests on the nework — IR:2(8)(c);19(2)

OR

Is it a new vehicle type version or new version of a vehicle type variant? — ID:15(3)
- Yes
- No

END

Beginning of Stage 6

Beginning of Stage 2

Timeline starts from:
(*) 4 months, IR article 16(4)

Legal route

ID: Interoperability Directive (EU) 2016/797
IR: Implementing Regulation (EU) 2018/545
IRD: Implementing Regulation EC Declaration of Verification
CSM: Implementiong Regulation (EU) 402/2013

Stage 1 – Preparation of the application – Substage 1: Identification of the relevant authorisation

Guidelines for the practical arrangements for the vehicle authorisation process v1.0

Potential applicant / entity managing the change | Applicant | Entity managing the change | Authorising entity | NSAs for the area of use

Start Substage 1.1

Is it an already authorised vehicle/ vehicle type? (IR:14) — Yes / No

Are there changes to the design of the authorised vehicle/ vehicle type? (IR: 15&16) — Yes / No

Analysis of the case of authorisation (based on the requirements capture where applicable) (IR:13;14(b),(c)&(e))

What case of authorisation is applicable? (IR:14(b),(c),(e))

Is it a change in the framework of maintenance of an authorised vehicle? (IR:16(1)) — Yes / No

Analysis of the change (based on the requirements capture) (ID:21(12) IR:11;15(1);16(2) CSM: Annex I)

Will the change introduce a deviation from the technical files accompanying the EC DoV? (IR:15(1)(a),(b);16(2)) — Yes / No

May the change adversely affect the overall safety level of the vehicle? (ID: 21(12)(b) IR: 15(13)(d);16(2)) — Yes / No

Will the change have an impact on the basic design characteristics? (ID: 21(12)(a),(c) IR: 15(1); 16(2)) — Yes / No

Does the change impacting the basic design characteristis trigger a new authorisation? (ID: 21(12)(a),(c) IR: 15(1); 16(2)) — Yes / No

Is the entity managing the change the holder of the vehicle type authorisation? (IR:14(2);15(4)) — Yes / No

Request to the applicant(s) for the purpose of Article 15 of Directive (EU) 2016/797 to:
- perform the assessments (including tests and on track tests where necessary) against applicable rules (including TSIs, national rules and other EU law);and
- provide evidence of the assessments (including a new EC Declaration of Verification where needed)

(ID:15;Annex IV IR:15(1)(b);15(2);16(2);25;26(1) IRD)

Request to the applicant(s) for the purpose of Article 15 of Directive (EU) 2016/797 to:
- perform the assessments (including tests and on track tests where necessary) against applicable rules (including TSIs, national rules and other EU law);and
- provide evidence of the assessments (including a new EC Declaration of Verification where needed)

(ID:15;Annex IV IR:15(13)(c);15(2);15(3);16(2);25;26(1) IRD)

Is the entity managing the change the holder of the vehicle type authorisation? (IR:14(2);15(4);16(4)) — Yes / No

Is the entity managing the change the holder of the vehicle type authorisation? (IR:14(2);15(4);16(4)) — Yes / No

Notify the changes to the vehicle to the authorising entity (IR:16(4))

Is it a change to an already authorised vehicle or to an already authorised vehicle type and vehicle(s)? (IR:14(2);15(4)) — Vehicle(s) / Vehicle type only or Vehicle type and vehicle(s)

Table case 11a | Table case 11b

Is it a change to an already authorised vehicle or to an already authorised vehicle type? (IR:14(2);15(4)) — Vehicle(s) / Vehicle type only or Vehicle type and vehicle(s)

Table case 9a | Table case 9b

OR

Table case 7

Table cases 9b/11b | Table cases 9a bis/11a bis

OR

Table case 6 — Decision on authorisation case: **New authorisation** (new vehicle type and/or vehicle authorisation, or variant of an existing vehicle type and/or vehicle authorisation) (IR: 14(1)(d))

Table case 2a/2b — Decision on authorisation case: **Authorisation in conformity to type** (IR:14(1)(e))

Table case 3 — Decision on authorisation case: **Renewed vehicle type authorisation** (IR:14(1)(b))

Decision on authorisation case: **First authorisation** (IR:14(1)(a)) — Table case 1a/1b

Decision on authorisation case: **New authorisation** (new vehicle type and/or vehicle authorisation) (IR: 14(1)(d)) — Table cases 7, 9 (a bis/ b) & 11(a bis/b)

Decision on authorisation case: **Authorisation for extended area of use** (IR:14(1)(c)) — Table case 4

OR

Decision on the authorisation case (IR:14;15;16)

OR

End Substage 1.1

Table case 8 — Create new vehicle type version or a new version of a vehicle type variant (IR:15(1))

Notification of the changes to an already authorised vehicle (*) (IR:16(4))

Start Substage 1.2

Processing of the notification

Has the authorising entity requested an application for authorisation within four months of the notification? (IR:16(4)) — Yes / No

End Substage 1.2

Keep available the relevant information upon request of the authorising entity and/or the NSAs for the area of use (IR:15(2))

Provide the relevant information to the authorising entity for registering the new vehicle type version or a new version of a vehicle type variant in ERATV (IR:15(3))

The relevant information for registering the new vehicle type version or a new version of a vehicle type variant in ERATV (IR:15(3))

Table case 13 — Decision on authorisation case: **No authorisation required (substitution in the framework of maintenance of vehicles)** (IR:16(1))

Table case 12 — Decision on authorisation case: **No authorisation required** (IR:15(1)(a))

Table case 10 — Decision on authorisation case: **No authorisation required** (IR:15(1)(b))

Decision on authorisation case: **No authorisation required (Create a new vehicle type version or a new version of a vehicle type variant)** (IR:15(1)(c))

Decision on authorisation case: **No authorisation required (substitution in the framework of maintenance of vehicles)** (IR:16(1))

Decision on authorisation case: **No authorisation required** (IR:15(1)(a))

Decision on authorisation case: **No authorisation required** (IR:15(1)(b))

Decision on authorisation case: **No authorisation required (Create a new vehicle type version or a new version of a vehicle type variant)** (IR:15(1)(c))

Register the new vehicle type version or a new version of a vehicle type variant in ERATV (IR:15(3))

OR

Configuration management of the vehicle(s) (IR:16(5))

Configuration management of the vehicle type (IR: 5)

Table cases 9a/11a — Configuration management of the vehicle(s), taking into account the information provided by the authorising entity (ID:47(1) IR:15;16(5))

Configuration management of the vehicle type (IR:5)

Registration of the new vehicle type version or a new version of a vehicle type variant in ERATV (IR:15(3))

OR

Non mandatory/ Common practice

ID: Interoperability Directive (EU) 2016/797
IR: Implementing Regulation (EU) 2018/545

Legal route

Stage 1 – Preparation of the application – Substage 2: Processing of the notification

Guidelines for the practical arrangements for the vehicle authorisation process v1.0

Entity managing the change	Authorising entity	NSAs for the area of use

Start Substage 1.2

Does the notification concern an area of use covering more than one MS?
ID:21(5);21(8)
IR:31(2)

No

Yes

Is it necessary to check the parameters concerning the relevant national rules?
ID:21(12)(a);(c)

No

Yes

Send the notification of the changes to the concerned NSAs for the area of use
ID:21(12)(a);(c)
IR:16(4)

Notification of the changes to an already authorised vehicle

Analysis of the notification concerning the relevant national rules

Is there suffiently substantiated information concerning the relevant national rules?

No

Yes

List the missing information concerning the relevant national rules and inform the authorising entity

List of missing information concerning the relevant national rules

Inform The authorising entity about having suffiently substantiated information concerning the relevant national rules

Confirmation of suffiently substantiated information concerning the relevant national rules

OR

Analysis of the notification
IR:16(4)

Is there suffiently substantiated information?
IR:16(4)

No

Issue a reasoned decision covering the insufficiently substantiated information
IR:16(4)

Yes

AND/OR

Is the categorisation pursuant to IR 15(1)(b) or (c) correct concerning the relevant national rules?

No

Yes

Inform authorising entity about the wrong categorisation concerning the relevant national rules

Information about the wrong categorisation concerning the relevant national rules

Inform authorising entity about the correct categorisation concerning the relevant national rules

Information about the correct categorisation concerning the relevant national rules

AND/OR

Is the categorisation pursuant to IR 15(1)(b) or (c) correct?
ID:21(12)
IR:15(1);16(4)

No

Yes

Issue a reasoned decision covering the wrong categorisation
IR:16(4)

OR

Reasoned decision concerning the notification
IR:16(4)

OR

End of Substage 1.2

Timeline starts with:
(*) 1 month, article IR 24(1)
(**) 2 months, article IR 24(2)
(***) 1 month, article IR 24(5)
(****) 82 months, article IR 22(2)

Legal route

Non mandatory / Common practice

ID: Interoperability Directive (EU) 2016/797
IR: Implementing Regulation (EU) 2018/545

End of Stage 1

Stage 2 – Pre-engagement

Applicant | Authorising entity | NSAs for area of use

Is it an application for an amendment/ update of a pre-engagement baseline? IR:24(4)

Amendment/update

Potential application

Is pre-engagement necessary? IR:22(1)

No

Yes

OR

Prepare the pre-engagement application and the accompanying file IR:22(1);23

Submit the pre-engagement application and the acompanying file through the one-stop shop IR:22(1);23

Pre-engagement application and the accompanying file (*) IR:23

Is it necessary to check the pre-engagement application and the accompanying file concerning the relevant national rules? ID:21(5);21(8) IR:31(2)

Yes

No

Send the application and the accompanying file to the concerned NSAs for the area of use IR:24(1)

Application and the accompanying file IR:24(1)

Examine the pre-engagement application concerning the relevant national rules IR:24(1)

Is the application complete concerning the relevant national rules? IR:24(1)

No

Yes

Inform the authorising entity about the completeness of the pre-engagement application concerning the relevant national rules IR:24(1)

Confirmation of the completeness of the pre-engagement application concerning the relevant national rules IR:24(1)

Examine the pre-engagement application and the accompanying file IR:24(1)

OR

List of missing information concerning the relevant national rules IR:24(1)

List the missing information concerning the relevant national rules and inform the authorising entity IR:24(1)

List of missing information IR: 24(1)

List the missing information and inform the applicant IR: 24(1)

No

Is the pre-engagement application complete ? IR: 24(1)

Yes

Acknowledgement of the complete pre-engagement application IR: 24(1)

Acknowledge the complete pre-engagement application (**) IR: 24(1)

AND/OR

Analyse the pre-engagement application concerning the relevant national rules IR:24(2)

Analyse the pre-engagement application and the accompanying file IR:24(2)

Opinion of the NSAs for the area of use concerning the relevant national rules IR:24(2)

Inform the authorising entity about approach proposed by the applicant concerning the relevant national rules IR:24(2)

Issue an opinion on the approach proposed by the applicant in the pre-engagement application IR:24(2)

Pre-engagement baseline (****) IR:24(2)

Prepare the amended and updated pre-engagement application and the accompanying file IR:24(4)

Submit the amended and updated pre-engagement application and the acompanying file through the one-stop shop IR:24(4)

Amended and updated pre-engagement application and the accompanying file (***) IR:24(4)

AND/OR

Send the updated and amended pre-engagement application and the accompanying file to the concerned NSAs for the area of use IR:24(5)

Updated and amended pre-engagement application and the accompanying file IR:24(5)

Analyse the updated and ammended pre-engagement application and the accompanying file concerning the relevant national rules IR:24(5)

Request an amended and updated pre-engagement application?

No

Yes

Is the baseline acceptable for the applicant?

No

OR

Updated and amended pre-engagement baseline IR:24(5)

Issue an opinion on the approach proposed by the applicant concerning the amended and updated pre-engagement application IR:24(5)

Analyse the amended and updated pre-engagement application and the accompanying file IR:24(5)

Opinion of the NSAs for the area of use concerning the relevant national rules IR:24(5)

Inform the authorising entity about approach proposed by the applicant concerning the relevant national rules IR:24(5)

OR

Beginning of Stage 3

Guidelines for the practical arrangements for the vehicle authorisation process v1.0

Legal route

Non mandatory/ Common practice

ID: Interoperability Directive (EU) 2016/797
IR: Implementing Regulation (EU) 2018/545
IRD: Implementing Regulation EC Declaration of Verification
CSM: Implementing Regulation (EU) 402/2013
REG: Regulation 201/2011

Stage 3 – Conformity assessment

Applicant | Applicant(s) for the purpose of Article 15 of Directive (EU) 2016/797 (mobile subsystems) | Assessment body (CSM RA)

End of Stage 2

Initiate the conformity assessments according to the:
- requirements capture
- identified conformity assessments
- pre-engagement baseline, if any

ID:21(3) IR:13;17;21;26(1)

Is it an authorisation in conformity to an already authorised type?
ID:25 IR:14(1)(e)

No → Are there safety related aspects, including safe integration between subsystems?
IR:13(3)

Yes → OR

No → Does the applicant apply Annex I of CSM as the methodology for requirements capture of other essential requirements than safety?
IR:13(3)

Yes → OR

Produce evidence related to the requirements capture process, applying Annex I of CSM
IR:13 CSM: Annex I

Evidence of the requirements capture process according to Annex I of CSM
IR:13 CSM: Annex I

Request to the assessment body (CSM RA) to:
- perform the assessment of the requirements capture process; and
- provide evidence of the verifications

ID:21(3) IR:13(3);26;Annex I CSM:15;Annex I

Request from applicant to perform the assessment of the requirements capture process and provide evidence
IR:13;25;Annex I CSM:15;Annex I

No → Perform the relevant verifications (including test and on track tests where necessary) against applicable rules (including TSIs, national rules and other EU law), establish evidence and request to the applicant(s) for the purpose of Article 15 of Directive (EU) 2016/797 to:
- perform the assessments (including tests and on track tests where necessary) against applicable rules (including TSIs, national rules and other EU law);and
- provide evidence of the assessments

ID:21(3);Annex IV IR:21;25;26(1);Annex I

Request to perform the assessments against applicable rules and provide evidence of the assessments
ID:15;21(3);Annex IV IR:25;26(1);27

Perform assessments (including tests and on track tests where necessary) against applicable rules (including TSIs, national rules and other EU law), and establish evidence
ID:15;21(3);41(1);Annex IV IR:25;26(1);27 IRD

Evidence on the completion of the relevant assessments (including tests and on track tests where necessary) against applicable rules (including TSIs, national rules and other EU law)
ID:21(3);Annex IV IR:26(1) IRD

Modify the vehicle to conform with the authorised type

Perform verifications according to the verification procedures of the relevant TSIs or the modules B+D, B+F and H1 where TSIs do not apply, establish evidence and request to the applicant(s) for the purpose of Article 15 of Directive (EU) 2016/797 to:
- perform assessments according to the verification procedures of the relevant TSIs or modules B+D, B+F and H1 where TSIs do not apply; and
- provide evidence of the assessments

ID:24(5) IR:26(1)

Request from applicant to perform assessments according to the verification procedures of the relevant TSIs or modules B+D, B+F and H1 where TSIs do not apply and provide evidence
ID:24(5);Annex IV

No ← Are the assessment results ok?

Yes → Establish the declaration of conformity to an already authorised type
ID:24(5) REG IRD

Declaration of conformity to an already authorised type
ID:24(5) REG IRD

Evidence of the completion of the relevant assessments following the procedures of the relevant TSIs or the modules B+D, B+F and H1 where TSIs do not apply
ID:24(5);41(1);Annex IV IR:26(1) IRD

Perform assessments according to the verification procedures of the relevant TSIs or modules B+D, B+F and H1 where TSIs do not apply and provide evidence
ID:24(5);41(1);Annex IV

Yes ← Are the verification and assessment results ok?
ID:13(1);15;20(1) IR:3;27;Annex I

No → Has a non-application of TSIs and/or national rules been granted?
ID:7 IR:27(1)

No → AND/OR → Decision on the remedial action to correct the non-conformity?
IR:27(1),(2)

Establish conditions for use and other restrictions

Establish additional conditions for use and other restrictions and submit to conformity assessment bodies
IR:27(2)(b);27(3)

Additional conditions of use and/or other restrictions
IR:27.2(b);27(3)

Non-application of TSIs and/or national rules

Change in the design

Yes ← Has a non-application of TSIs and/or national rules been granted?

Check additional conditions for use and other restrictions
IR:27(2)(b);27(3)

No ← Are the additional conditions for use and other restrictions ok?
IR:27(2)(b);27(3)

Yes → AND/OR

Change the design of the vehicle and/or vehicle type
IR:27(2)(a)

Request a non-application of TSIs and/or national rules
ID:7 IR:27(1)

AND/OR

AND/OR

No ← Has the applicant already involved an assessment body (CSM RA) for the requirements capture?
IR:13(3)

Yes → Collate and submit the evidence of the performed assessments and verifications
ID:21(3) IR:3;13;26;27;Annex I CSM:15

Evidence of the performed assessments and verifications
IR:13;25;Annex I CSM:15

AND

Perform assessment of the requirements capture process
IR:13;25;Annex I CSM:15;Annex I

Establish evidence from assessment of the requirements capture process: CSM on risk assessment safety assessment report(s)
IR:13;25;Annex I CSM:15

Evidence of the requirements capture process CSM on risk assessment safety assessment report(s)
IR:13;25;Annex I CSM:15

Yes ← Are the results of the CSM on risk assessment safety assesment reports ok?
CSM:15(1)

No → Does the applicant agree on the outcomes of the risk assessment safety assessment report(s)?
CSM:15(1)

Yes → OR

No → Justify and document the part of the safety assessment report for which the applicant disagrees
CSM:15(1)

Justification and documentation of the part of the safety assessment report for which the applicant disagrees
CSM:15(1)

AND/OR

Collate the performed assessments and the supporting evidence
ID:21(3) IR:13;28;Annex I CSM:15

Establish the risk declaration at vehicle level
ID:21(3) IR:13;28;Annex I CSM:16

Risk declaration at vehicle level
ID:21(3) IR:13;28;Annex I CSM:16

Beginning of Stage 4

Beginning of Stage 4

Beginning of Stage 1

Guidelines for the practical arrangements for the vehicle authorisation process v1.0

End of Stage 3 for authorisation in conformity to an authorised type

End of Stage 3 for all other cases

Legal route

ID: Interoperability Directive (EU) 2016/797
IR: Implementing Regulation (EU) 2018/545

Stage 4 – Submitting the application

Guidelines for the practical arrangements for the vehicle authorisation process v1.0

Applicant	Authorising entity	NSAs for the area of use

Check the validity of the existing vehicle type authorisation

ID:24(3)
IR:14(1)(e);29(2)

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

ID:24(3);25
IR:14;29;30;Annex I

Identify the format and the content of the application for authorisation and the file accompanying the application for authorisation:

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

ID:21(3);21(13)
IR:29;30;Annex I

OR

Prepare and compile the application for authorisation and the file accompanying the application for authorisation

ID:21(3)
IR:29;30;Annex I

Application for authorisation and file accompanying the application for authorisation

ID:21(3)
IR:29;30;Annex I

Select the authorising entity based on the area of use

ID:21(5);21(8)
IR:31(2)

Submit the application for authorisation and the file accompanying the application for authorisation to the selected authorising entity through the one-stop shop

ID:21(3);24(1)
IR:31

Application for authorisation and file accompanying the application for authorisation

ID:21(3)
IR:29;30;31;Annex I

Is it necessary to check the application concerning the relevant national rules?

ID:21(5);21(8)
IR:31(2);31(3)

No

Yes

Refer the application for authorisation and the file accompanying the application for authorisation to the concerned NSAs for the area of use

ID:21(5)(b)
IR:31(4)

ID:21(3);21(5)(b)
IR:29;30;31(4);Annex I

Application for authorisation and file accompanying the application for authorisation

OR

Beginning of Stage 5

Timeline starts with:
(*) 1 month, ID 21(6) & 21(8);IR 34(1)
(**) 1 month, ID 21(6) & 21(8);IR 34(3)
(***) 4 months, ID 21(6);IR 34(2)
(****) 1 month, ID 21(7)
(*****) 1 month, ID 21(11)

Non mandatory / Common practice

Legal route

ID: Interoperability Directive (EU) 2016/797
AIR: Implemening Regulation (EU) 2016/796
IR: Implementing Regulation (EU) 2018/545

Stage 5 - Processing the application

Guidelines for the practical arrangements for the vehicle authorisation process v1.0

Applicant | Authorising entity | NSAs for area of use | MS regulatory body | Board of Appeal

End of Stage 4

Acknowledge the receipt of the application for authorisation and the file accompanying the application for authorisation (*) — IR:33

Acknowledgement of the receipt of the application for authorisation and the file accompanying the application for authorisation — IR:33

Is it necessary to check the application and the accompanying file concerning the relevant national rules? — ID:21(5);21(8) IR:31(2)

Yes

No

Check the completeness of the application for authorisation and the file accompanying the application for authorisation concerning the relevant national rules — ID:21(5);21(8) IR:32(2);34(1);Annex I & III

Is the application complete concerning the relevant national rules? — ID:21(5);21(8) IR:32(2);34(1);Annex I & III

No

Yes

Inform the authorising entity about the completeness of the application concerning the relevant national rules — ID:21(5);21(8) IR:34(1)

Confirmation of the completeness of the application concerning the relevant national rules — ID:21(5);21(8) IR:34(1)

OR

List the missing information concerning the relevant national rules and inform the authorising entity — ID:21(5);21(8) IR:32(2);34(1)

List(s) of missing information concerning the relevant national rules — ID:21(5);21(8) IR:32(2);34(1)

Check the completeness of the application for authorisation and the file accompanying the application for authorisation — ID:21(6);21(8) IR:32(1);34(1);Annex I

Collate and submit the missing information — ID:21(3) IR:29;30;Annex I

The missing information submitted by the applicant — ID:21(3) IR:29;30;Annex I

Check the missing information submitted by the applicant — ID:21(6);21(8) IR:32(1);34(1);Annex I

OR

Does the missing information render the application complete? — ID:21(6);21(8) IR:32(3);34(1)

No

Yes

Is the application complete? — ID:21(6);21(8) IR:32(3);34(1)

Yes

No

Is the application fundamentally deficient? — IR:34(4)

Yes

No

Letter stating the fundamentally deficient application — IR:34(4)

Letter stating:
- the incomplete application
- the missing information
- the deadline to supply the missing information

ID:21(6);21(8) IR:34(3)

Is it necessary to perform additional assessments? — ID:21(3) IR:13;17;21;26(1)

No

Yes

Acknowledge receipt of the complete file — ID:21(6) IR:34(1)

Acknowledgement of receipt of complete file (**) (***) — ID: 21.6 IR: 34.2

Assess the application for authorisation and the file accompanying the application for authorisation — ID:21(5);21(8) IR:38;39;41;42;Annex II

Does the area of use include stations in the neighbouring MS(s)? — ID:21(8) IR:4(8)

No

Yes

AND/OR

It is necessary to check the application and the accompanying file concerning the relevant national rules

Assess the application for authorisation and the file accompanying the application for authorisation concerning the relevant national rules and issue the assessment file(s) covering the result of the assessments. — ID:21(5);21(8) IR:38,40

Assessment file(s) issued by the NSAs for the area of use concerning the relevant national rules — IR:40(6)

Consult the concerned NSA(s) of the neighbouring MS(s) if the relevant notified national rules and the obligations pertaining to the relevant cross-border agreements are met — IR:4(8)

It is not necessary to check the application and the accompanying file concerning the relevant national rules

Check the assessment(s) performed by the NSAs for the area of use concerning the relevant national rules — ID:21(7) IR:43

OR

Issue an assessment file covering the result of the assessments — IR:39(5)

Assessment file covering the result of the assessments — IR:39(5)

Conclude the assessment of the application — IR:45

Assessment file covering the conclusion of the assesment of the application — IR:45(4);45(5)

Decide whether to issue or to refuse the authorisation — IR:46

Decision to issue or to refuse the authorisation — IR:46

Does the authorising entity disagree with assessment(s) by the NSAs for the area of use? — ID:21(7) IR:43(7) AIR:61

No

Yes

Inform the NSA(s) for the area of use about the disagreement, giving reasons for its disagreement. — ID:21(7)

Information concerning the disagreement and the reasons for the disagreement (****) — ID:21(7)

Start Substage 5.1

Substage 1: Arbitration

Substage 1: Arbitration

End Substage 5.1

Mutually acceptable agreement reached between the Agency and the NSA(s) for the area of use

The Agency disagrees with a positive assessment by the NSA(s) for the area of use

The Agency disagrees with a negative assessment by the NSA(s) for the area of use and:
- the Board of Appeal confirms the draft decision taken by the Agency; or
- the NSA(s) for the area of use do not appeal to the Board of Apeal

The Agency disagrees with a negative assessment by the NSA(s) for the area of use and the Board of Appeal confirms the decision by the NSA(s) for the area of use

The authorisation will reflect the results of the mutually acceptable agreement reached — ID:21(7)

The authorisation will exclude the parts of the network which received a positive assessment by the NSAs for the area of use for which the Agency disagrees — ID:21(7)

The authorisation will include the parts of the network which received a negative assessment by the NSAs for the area of use — ID:21(7)

The authorisation will exclude the parts of the network which received a negative assessment by the NSAs for the area of use — ID:21(7) AIR:62(3)

OR

Amend the decision and the documentation related to the decision, taking into account the outcomes of the arbitration pr — ID:21(7) IR:46 AIR:62(3)

Amended decision and documentation related to the decision, taking into account the outcomes of the arbitration process — ID:21(7) IR:46 AIR:62(3)

OR

Is it a decision to issue or to refuse (including different conditions and restrictions for use) the authorisation? — IR:46

Refuse / different conditions and restrictions for use

Issue

Communicate to the applicant through the one-stop shop the:
- Decision to issue the authorisation
- Assessment file covering the conclussion of the assessment of the application
- Assessment file covering the result of the assessments

IR:46(7)

Communicate to the applicant through the one-stop shop the:
- Decision to refuse the authorisation or to include different conditions for use and other restrictions when compared to the application, including the justification
- Assessment file covering the conclusion of the assessment of the application
- Assessment file covering the result of the assessments

IR:46(7)

- Decision to issue the authorisation
- Assessment file covering the conclussion of the assessment of the application
- Assessment file covering the result of the assessments

IR:46(7)

- Decision to refuse the authorisation or to include different conditions for use and other restrictions when compared to the application, including the justification
- Assessment file covering the conclussion of the assessment of the application
- Assessment file covering the result of the assessments

(*****) — ID:21(11) IR:46(7);46(8)

Is there a request for review? — ID:21(11) IR:46(8);51 AIR:60

No

Yes

Start Substage 5.2

Substage 2: Review and appeal

End Substage 5.2

Appeal refused

Applicant satisfied or appeal granted

OR

Amend accordingly the decision and the documentation related to the decision, taking into account the outcomes of the review process — ID:21(11) IR:46(8) AIR:62(3)

Amended decision and documentation related to the decision, taking into account the outcomes of the review process — ID:21(11) IR:46(8) AIR:62(3)

OR

Is it a refusal or an authorisation with different conditions for use and other restrictions? — ID:21(11) IR:46(7);46(8)

Different conditions for use and other restrictions

Refusal

OR

OR

Beginning of Stage 1

Beginning of stage 6

END

Timeline starts from:
(*) 1 month, ID 21(7)

Non mandatory / Common practice

Legal route

ID: Interoperability Directive (EU) 2016/797
IR: Implementing Regulation (EU) 2018/545
AIR: Implementing Regulation (EU) 2018/796

Stage 5 - Processing the application – Substage 1: Arbitration

Guidelines for the practical arrangements for the vehicle authorisation process v1.0

Applicant | Authorising entity | NSAs for area of use | Board of Appeal

Start Substage 5.1

Consult the NSAs for the area of use about the need to suspend the assessment during the cooperation to achieve a mutually acceptable agreement — IR:44

Consultation about the need to suspend the assessment during the cooperation to achieve a mutually acceptable agreement — IR:44

Answer to the authorising entity on the need to suspend the assessment during the cooperation to achieve a mutually acceptable agreement — IR:44

Answer from the NSAs for the area of use concerning the need to suspend the assessment during the cooperation to achieve a mutually acceptable agreement — IR:44

Is there a need to suspend the assesment? — IR:44

Yes

Suspend the assessment and inform the applicant about the reasons for the suspension — IR:44

Information about the suspension of the assessment and the reasons — IR:44

No

OR

Cooperate with the NSAs for the area of use to achieve a mutually acceptable assessment — ID:21(7) IR:44

Cooperate with the authorising entity to achieve a mutually acceptable assessment — ID:21(7) IR:44

Is it necessary to involve the applicant? — ID:21(7)

Yes

Involve the applicant in the cooperation process — ID:21(7)

No

Cooperate with the authorising entity and the NSAs for the area of use in the process of achieving a mutually acceptable assessment — ID:21(7)

Is it necessary to involve the applicant? — ID:21(7)

No

Yes

AND/OR

Conclude the outcomes of the cooperation process — ID:21(7) IR:44

Outcomes of the cooperation process between the authorising entity and the NSAs for the area of use — ID:21(7) IR:44

In case of suspended assesment, resume the assessment and inform the applicant about the continuation of the assessment and the outcomes of the cooperation process

Information about the resuming of the assessment (in case of a previous suspension) and the outcomes of the cooperation process

Mutually acceptable assessment agreed? — ID:21(7) IR:43(7);44

No

Is the disagreement concerning a negative or a positive assessment by NSAs for the area of use? — ID:21(7) IR:43(7)

Negative

Positive

Yes

Inform NSAs for the area of use about the decision to include in the area of use the networks for which the NSAs have issued a negative assessment — ID:21(7)

Information by the authorising about the decision to include the networks for which the NSAs have issued a negative assessment — ID:21(7)

Refer the matter to the Board of Appeal? — ID:21(7) IR:43(7);44 AIR:61

No

Yes

Inform the Agency about the referral of the matter to the Board of Appeal — IR:44

Refer the matter to the Board of Appeal — ID:21(7) IR:43(7);44 AIR:61

Information concerning the disagreement between the authorising entity and the NSAs for the area of use (*) — ID:21(7) IR:43(7);44 AIR:61

Take decision concerning the disagreement between the authorising entity and the NSAs for the area of use and remit the case to the Agency — ID:21(7) IR:43(7);44 AIR:62

Information about the appeal filed by the NSAS for the area of use — IR:21(7);44

Inform the applicant about the appeal filed by the NSAs for the area of use — IR:21(7);44

Information about the referral of the matter to the Board of Appeal — IR:44

AND

Findings of the Board of Appeal concerning the disagreement between the authorising entity and the negative opinion by the NSAs for the area of use — ID:21(7) IR:43(7);44 AIR:62

Inform the applicant and the NSAs for the area of use about the findings of the Board of Appeal — IR:44 AIR:62(3)

Information about the findings of the Board of Appeal — IR:44 AIR:62(3)

Information about the findings of the Board of Appeal — IR:44 AIR:62(3)

OR

End Substage 5.1

Timeline starts from:
(*) 2 months, ID 21(11), IR 51(7)
(**) 3 months, AIR 62

Non mandatory / Common practice

Legal route

ID: Interoperability Directive (EU) 2016/797
IR: Implementing Regulation (EU) 2018/545
AIR: Regulation (EU) 2016/796

Stage 5 - Processing the application – Substage 2: Review and appeal

Guidelines for the practical arrangements for the vehicle authorisation process v1.0

Start Substage 5.2

Applicant | Authorising entity | NSAs for the area of use | MS regulatory body | Board of Appeal

Request the review of the decision through the one-stop shop — ID:21(11) IR:46(8);51 AIR:60

Request for review of the decision (*) — ID:21(11) IR:46(8);51 AIR:60

Is there a need to coordinate with the relevant NSAs for the area of use? — ID:21(11) IR:51(6)

Yes → Refer the request for review of the decision to the NSAs for the area of use — ID:21(11) IR:51(6)

Request for review of the decision — ID:21(11) IR:51(6)

Review the decision following the request from the applicant concerning the relevant national rules — ID:21(11) IR:51(6)

Communicate the conclusion of the review process to the authorising entity concerning the relevant national rules — ID:21(11) IR:51(6)

No → OR

Conclusion of the review process concerning the relevant national rules — ID:21(11) IR:51(6)

Review the decision following the request from the applicant — ID:21(11) IR:51(6) AIR:60

Communicate the conclusion of the review process to the applicant through the one-stop shop — IR:51(7)

Conclusion of the review process — IR:51(7)

Is the applicant satisfied with the reply of the authorising entity? — ID:21(11) IR:46(8)

No → Is the authorising entity the Agency or a NSA? — ID:21(11)

NSA → Submit an appeal to the competent authority — ID:21(11) IR:46(8)

Agency → Submit the appeal request to the Board of Appeal through the one-stop shop — ID:21(3);24(1);21(11) IR:46(8)

Yes → Request for appeal to the Board of Appeal (**) — ID:21(3);24(1);21(11) IR:46(8) AIR:62

Request for appeal to the competent authority — ID:21(11) IR:46(8)

Examine the appeal request — ID:21(11) IR:46(8) AIR:62(1)

Remit the case to the NSA as authorising entity

Remit the case to the Agency as authorising entity — ID:21(11) IR:46(8) AIR:62(3)

Findings of the Board of Appeal — ID:21(11) IR:46(8) AIR:62(3)

Inform applicantd and NSAs for the area of use about the findings of the Board of Appeal — AIR:62(3)

Is there a need to inform the NSAs for the area of use about the findings of the Board of Appeal? — AIR:62(3)

Yes → Inform applicant about the findings of the Board of Appeal — AIR:62(3)

No → OR

Findings of the regulatory body referred to in article 55 of Directive 2012/34/EU

Inform applicant about the 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 — ID:21(11) IR:46(8) AIR:62(1)

OR

End Substage 5.2

End Substage 5.2

Non mandatory / Common practice

Legal route

ID: Interoperability Directive (EU) 2016/797
IR: Implementing Regulation (EU) 2018/545
REG: Regulation 201/2011

End of Stage 1

End of Stage 5

Stage 6 – Final documentation

Guidelines for the practical arrangements for the vehicle authorisation process v1.0

Applicant	Holder of the vehicle type authorisation	Authorising entity

Update ERADIS as appropriate

Missing information in ERADIS

OR

Inform the applicant about the missing information in ERADIS

Has ERADIS been updated as appropriate?
No / Yes
IRA:37
IR:50(2)

Does the authorisation cover an authorisation for placing on the market only?
Yes / No
ID:22;24(7);47;48
IR:50

Provide the necesary information to create a new vehicle type version or a new version of a vehicle type variant in ERATV
IR:15(3);50(3)

Information necessary to create a new vehicle type version or a new version of a vehicle type variant in ERATV
IR:15(3);50(3)

Has the applicant/ holder of the vehicle type authorisation introduced a draft registration in ERATV?
No / Yes

Is the applicant /holder of the vehicle type authorisation requested to have access to ERATV/ does it wish to have access to ERATV?
Yes / No

Is it a new vehicle type version or a new version of a vehicle type variant
No / Yes
IR:15(1)(c);15(3)

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

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

OR

Check consistency of the data provided by the applicant / holder of the vehicle type authorisation
IR:50(1);50(3)

Check consistency of the data provided by the applicant / holder of the vehicle type authorisation in the draft ERATV registration
IR:50(1);50(3)

Fill in ERATV entry using the information provided by the applicant / holder of the vehicle type authorisation
IR:50(1);50(3)

Complete the registration in ERATV using the information provided by the applicant / holder of the vehicle type authorisation
IR:50(1);50(3)

OR

Make the ERATV entry available to the public
ID:24(7),48
IR:50(1);50(3)

Registration in ERATV available to the public
ID:24(7),48
IR:50(1);50(3)

Is it a new vehicle type version or a new version of a vehicle type variant
Yes / No
IR:15(1)(c);15(3)

Establish and submit to the applicant the forms for:
- Vehicle authorisation for placing on the market; and/or
- Vehicle type authorisation

ID:21(10);24;25
IR:47;48;49
REG

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

Forms for:
- Vehicle authorisation for placing on the market; and/or
- Vehicle type authorisation

ID:21(10);24;25
IR:47;48;49
REG

Form for vehicle authorisation for placing on the market

ID:21(10);24;25
IR:47;48;49
REG

END

END