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
Guidelines for the practical arrangements for the vehicle authorisation process

Vehicle type

1?

No

ID

Are there changes to the design of the vehicle type?

Yes

ID

Analysis of characteristics capture where applicable

13

(1

(1

Yes

ID

Does the change the holder of the EC Declaration of Verification undertake to carry out the necessary changes to the vehicle and to perform tests and on-track tests where necessary?

New authorisation or a new version of a vehicle type variant

New authorisation

Decision on authorisation case

Table case

11

11

a

b

Decision on authorisation case

Table case

OR

Preparation of the application

Area of use

Substage 1

Timeline starts from four months of the identification of the relevant authorisation

R15

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

Entity managing the change

Authorising entity for registering the vehicle

Configuration management

Registration of the vehicle

Interoperability Directive

EC Declaration of Verification

Implementing Regulation

Table cases

5

5

15

10

15

1

s

6

5

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

Entity managing the change

Authorising entity

NSAs for the area of use

Start Substage 1.2

- Open the notification concerning an area of use covering more than one MS?
  - Yes
  - No: Send the notification of the changes to the concerned NSAs for the area of use

Is it necessary to collect the parameters concerning the relevant national rules?
- Yes
  - No: Send the notification of the changes to the concerned NSAs for the area of use

Analysis of the notification

- Is there sufficiently substantiated information?
  - Yes
    - No: Issue a reasoned decision covering the insufficiently substantiated information
  - Analysis of the notification

- Analysis of the notification concerning the relevant national rules

Is the categorisation pursuant to IR 15(1)(b) or (c) correct concerning the relevant national rules?
- Yes
  - No: Issue a reasoned decision covering the wrong categorisation

Reasoned decision concerning the notification

End of Substage 1.2
## 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>
</table>
| Check the validity of the existing vehicle type authorisation | 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 | 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 |
| Prepare and compile the application for authorisation and the file accompanying the application for authorisation | Application for authorisation and file accompanying the application for authorisation |
| Select the authorising entity based on the area of use | Submit the application for authorisation and the file accompanying the application for authorisation to the selected authorising entity through the one-stop shop |
| Is it necessary to check the application concerning the relevant national rules? | Yes |

**Guidelines for the practical arrangements for the vehicle authorisation process v.0.1**

**Legal route**

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

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

**End of Stage 3 for all other cases**
Stage 5 - Processing the application

Substage 1: Initiation

- Submit the application for authorisation along with the necessary documents.
- Check the submission of the application for authorisation.
- Acknowledge receipt of the application.
- Check the completeness of the submission.
- Perform a preliminary check of the application.
- If necessary, call for additional information.
- Finalise the preliminary check.
- Start the assessment stage.

Substage 2: Assessment

- Assess the application.
- Include the assessment in the application.
- Prepare the assessment file.
- Address any deficiencies identified in the application.
- Issue the assessment file.
- Submit the assessment to the competent regulatory body.

Substage 3: Review and appeal

- Review the assessment.
- Address any deficiencies identified in the assessment.
- Issue the final decision.
- Appeal process.

Substage 4: Decision

- Make the decision.
- Notify all parties concerned.
- Ensure the decision is implemented.

End of Stage 5
Guidelines for the practical arrangements for the vehicle authorisation process

<table>
<thead>
<tr>
<th>Stage 5 - Processing the application – Substage 2: Review and appeal</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Applicant</strong></td>
</tr>
<tr>
<td>Request the review of the decision through the one-stop shop</td>
</tr>
<tr>
<td>Conclusion of the review process</td>
</tr>
<tr>
<td></td>
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<tr>
<td>Is the authorising entity the Agency or a NSA?</td>
</tr>
<tr>
<td>Submit an appeal request to the Board of Appeal through the one-stop shop</td>
</tr>
</tbody>
</table>

Timeline starts from:
- [*] 2 months, ID 2(11), IR 3(7)
- [**] 3 months, AIR 62

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

Non mandatory / Common practice
Legal route

Guidelines for the practical arrangements for the vehicle authorisation process, V1.0

Start Substage 5.2

Submit an appeal to the competent authority

Examine the appeal request

Remit the case to the NSA as authorising entity

Examine the appeal request

Remit the case to the NSA as authorising entity

End Substage 5.2

End Substage 5.2

IR: ID 46 21(8)
AIR: ID 60 21(3)
EU: 2012/34/EC
ID 46 21(8)
### Stage 6 – Final documentation

<table>
<thead>
<tr>
<th>Applicant</th>
<th>Holder of the vehicle type authorisation</th>
<th>Authorising entity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Update ERADIS as appropriate</td>
<td>Provide the necessary information to create a new vehicle type variant or a new version of a vehicle type variant in ERATV</td>
<td>Does the authorisation cover an authorisation for placing on the market only?</td>
</tr>
<tr>
<td>Missing information in ERADIS</td>
<td>Complete draft ERATV register for the parts for which it has access</td>
<td>Inform the applicant about the missing information in ERADIS</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Has ERADIS been updated as appropriate?</td>
</tr>
<tr>
<td></td>
<td>Complete draft ERATV register for the parts for which it has access</td>
<td>Information necessary to create a new vehicle type variant or a new version of a vehicle type variant in ERATV</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Is it a new vehicle type version or a new version of a vehicle type variant?</td>
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<tr>
<td></td>
<td></td>
<td>Yes</td>
</tr>
<tr>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td></td>
<td>Complete draft ERATV register for the parts for which it has access</td>
<td>Check consistency of the data provided by the applicant / holder of the vehicle type authorisation</td>
</tr>
<tr>
<td></td>
<td>Complete the registration in ERATV using the information provided by the applicant / holder of the vehicle type authorisation</td>
<td>Check consistency of the data provided by the applicant / holder of the vehicle type authorisation in the draft ERATV registration</td>
</tr>
<tr>
<td></td>
<td></td>
<td>No</td>
</tr>
<tr>
<td></td>
<td>Fill in ERATV entry using the information provided by the applicant / holder of the vehicle type authorisation</td>
<td>Yes</td>
</tr>
<tr>
<td></td>
<td>Make the ERATV entry available to the public</td>
<td>Registration in ERATV available to the public</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Yes</td>
</tr>
<tr>
<td></td>
<td>Establish and submit to the applicant the forms for:</td>
<td>Is it a new vehicle type version or a new version of a vehicle type variant?</td>
</tr>
<tr>
<td></td>
<td></td>
<td>No</td>
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<td>Yes</td>
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<tr>
<td>Forms for:</td>
<td>Vehicle authorisation for placing on the market; and/or</td>
<td>Vehicle authorisation for placing on the market; and/or</td>
</tr>
<tr>
<td></td>
<td>• Vehicle type authorisation</td>
<td>• Vehicle type authorisation</td>
</tr>
<tr>
<td>Form for vehicle authorisation for placing on the market</td>
<td>Establish and submit to the applicant the form for vehicle authorisation for placing on the market</td>
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