4th Railway Package – Implementation of the Technical Pillar

10th PRIME Plenary Meeting, Sopron, 12 June 2017

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EUROPEAN UNION AGENCY FOR RAILWAYS

Key Elements of the Technical Pillar

The Agency will issue single **EU-wide vehicle authorisations** and **safety certificates**
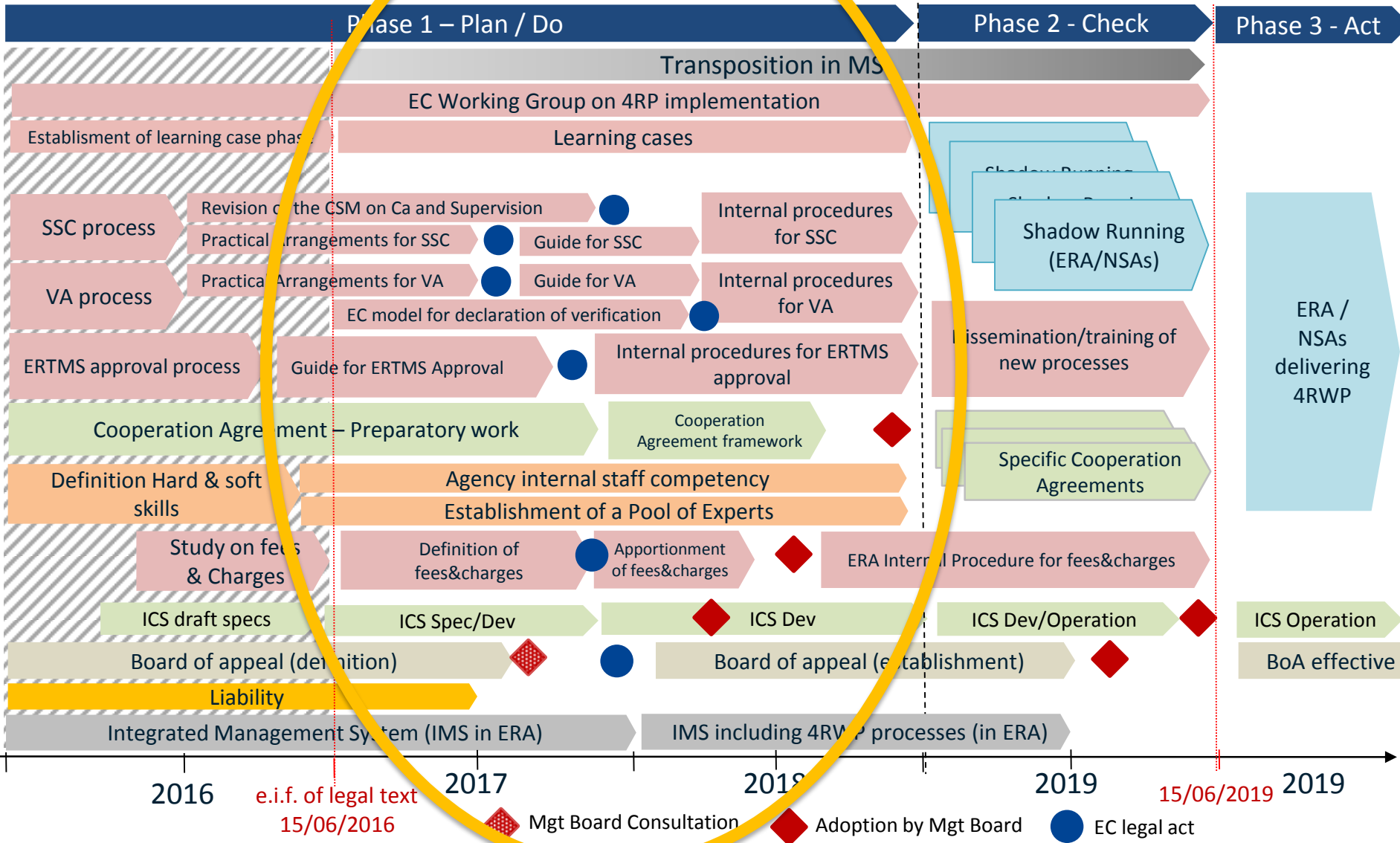to train manufacturers and railway undertakings

The Agency will be in a position to issue an **approval required for the NSA authorisation of ERTMS trackside projects**
(a binding opinion on ERTMS trackside specifications)

All applications to the above processes will be handled by the so-called **One-Stop-Shop** developed by the Agency
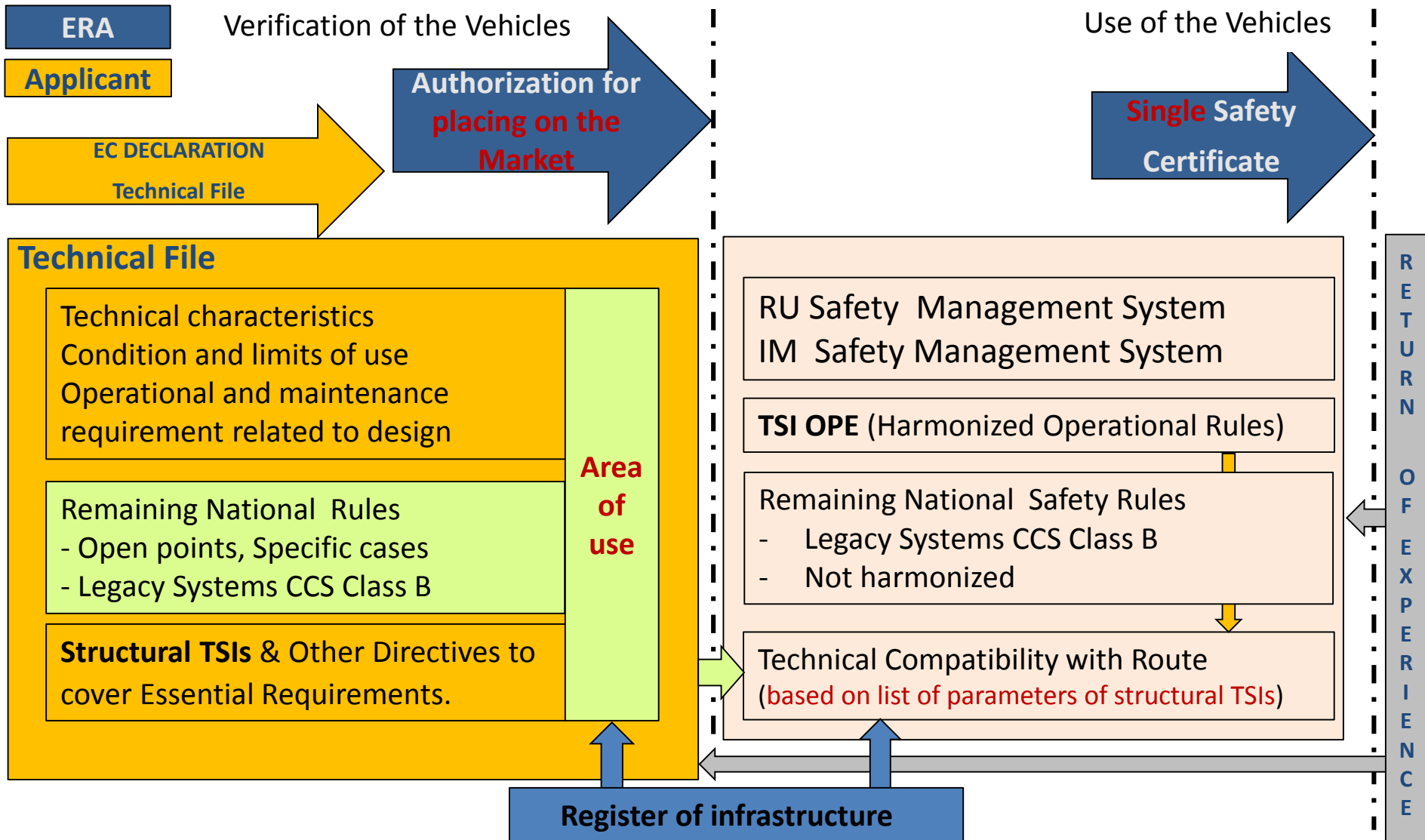
- Covering applications at the Agency, but all national applications for Safety Certification, Vehicle authorisation, and trackside/infrastructure authorisation as well
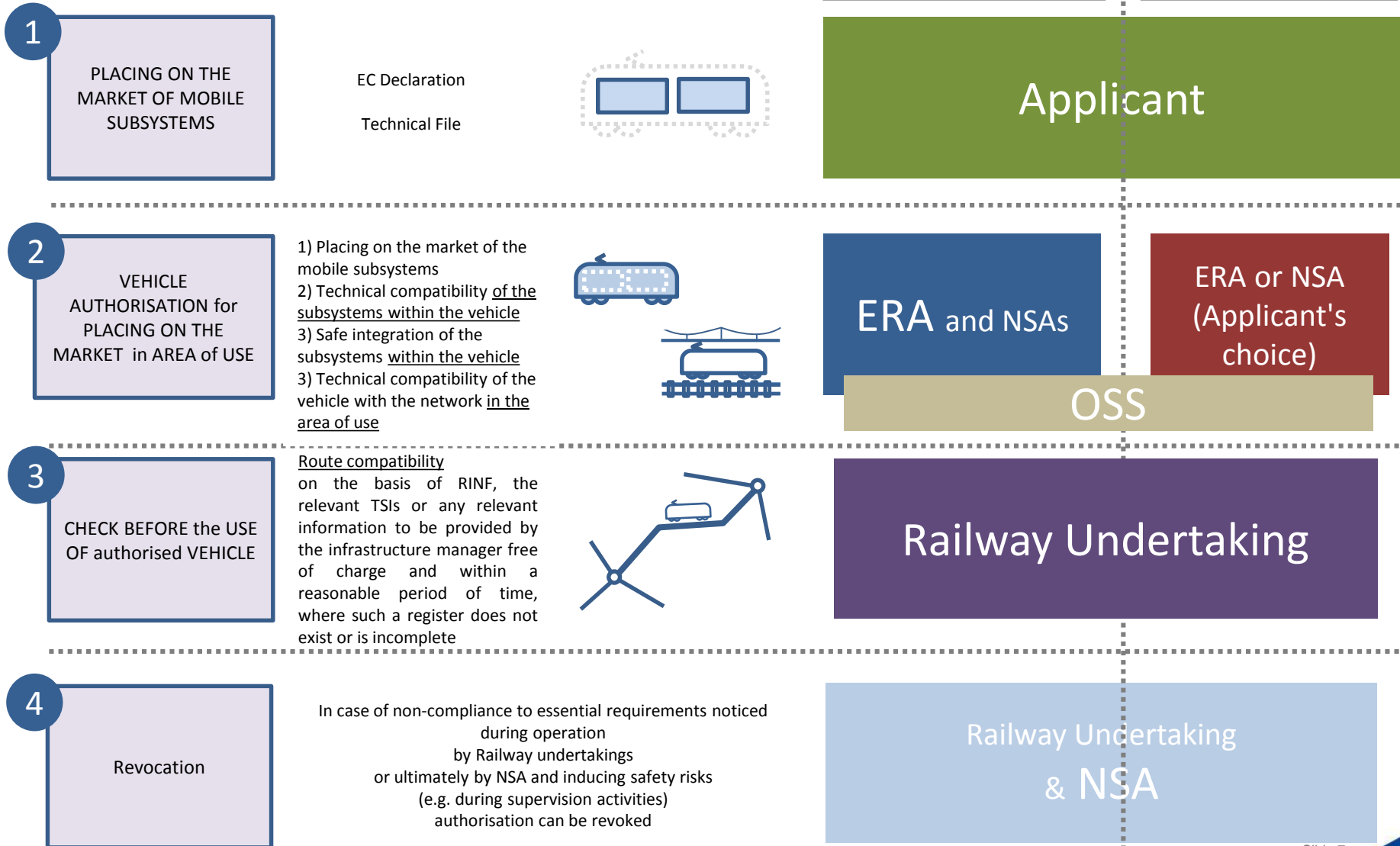
Timeline

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| Phase 1 – Plan / Do | Phase 2 - Check | Phase 3 - Act |

Transposition in MS

EC Working Group on 4RP implementation

Establishment of learning case phase / Learning cases

SSC process
- Revision of the CSM on Ca and Supervision
- Practical Arrangements for SSC — Guide for SSC — Internal procedures for SSC

VA process
- Practical Arrangements for VA — Guide for VA — Internal procedures for VA
- EC model for declaration of verification

ERTMS approval process — Guide for ERTMS Approval — Internal procedures for ERTMS approval

Shadow Running (ERA/NSAs)

Dissemination/training of new processes

ERA / NSAs delivering 4RWP

Cooperation Agreement – Preparatory work — Cooperation Agreement framework

Specific Cooperation Agreements

Definition Hard & soft skills — Agency internal staff competency — Establishment of a Pool of Experts

Study on fees & Charges — Definition of fees&charges — Apportionment of fees&charges — ERA Internal Procedure for fees&charges

ICS draft specs — ICS Spec/Dev — ICS Dev — ICS Dev/Operation — ICS Operation

Board of appeal (definition) — Board of appeal (establishment) — BoA effective

Liability

Integrated Management System (IMS in ERA) — IMS including 4RWP processes (in ERA)

2016 2017 2018 2019 2019

e.i.f. of legal text
15/06/2016

15/06/2019

◆ Mgt Board Consultation   ◆ Adoption by Mgt Board   ● EC legal act

Member States are encouraged to appoint their own programme managers

4

- ERA recommendation on the revision of the **CSM for assessing conformity** with the requirements for obtaining a railway safety authorization – Delegated Act
  — Final consultation July 2017

- ERA proposal for Implementing Act **Practical Arrangements on Vehicle Authorisation** sent to the EC by mid of March 2017
  — Vote at RISC expected in November 2017

  – Clear distinction between Vehicle Authorisation for Placing on the Market and Route Compatibility

  – IM involvement limited to identify and provide
    - operational conditions to be applied for the use of the vehicle for tests on the network
    - any necessary measures to be taken on the infrastructure side to ensure safe and reliable operation during the tests on the network
    - any necessary measures in the infrastructure installations to perform the tests on the network.

  – The infrastructure manager shall
    - participate in the pre-engagement upon the applicant's request and support the applicant for the conditions to use the vehicle for tests on the network;
    - provide information on the infrastructure in a non-discriminatory way for using the vehicle for tests on the network, and
    - identify and provide conditions and measures to use the vehicle for tests on the network within the given timeframe

Authorisation for Placing on the Market & Single Safety Certificate

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ERA

Applicant

Verification of the Vehicles

Use of the Vehicles

EC DECLARATION

Technical File

Authorization for placing on the Market

Single Safety Certificate

Technical File

Technical characteristics
Condition and limits of use
Operational and maintenance requirement related to design

Area of use

Remaining National Rules
- Open points, Specific cases
- Legacy Systems CCS Class B

Structural TSIs & Other Directives to cover Essential Requirements.

RU Safety Management System
IM Safety Management System

TSI OPE (Harmonized Operational Rules)

Remaining National Safety Rules
- Legacy Systems CCS Class B
- Not harmonized

Technical Compatibility with Route
(based on list of parameters of structural TSIs)

Register of infrastructure

RETURN OF EXPERIENCE

Roles & Responsibilities

	>1 MS	Only 1 MS

1 — PLACING ON THE MARKET OF MOBILE SUBSYSTEMS

EC Declaration

Technical File

Applicant

2 — VEHICLE AUTHORISATION for PLACING ON THE MARKET in AREA of USE

1) Placing on the market of the mobile subsystems
2) Technical compatibility of the subsystems within the vehicle
3) Safe integration of the subsystems within the vehicle
3) Technical compatibility of the vehicle with the network in the area of use

ERA and NSAs

ERA or NSA (Applicant's choice)

OSS

3 — CHECK BEFORE the USE OF authorised VEHICLE

Route compatibility
on the basis of RINF, the relevant TSIs or any relevant information to be provided by the infrastructure manager free of charge and within a reasonable period of time, where such a register does not exist or is incomplete

Railway Undertaking

4 — Revocation

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)
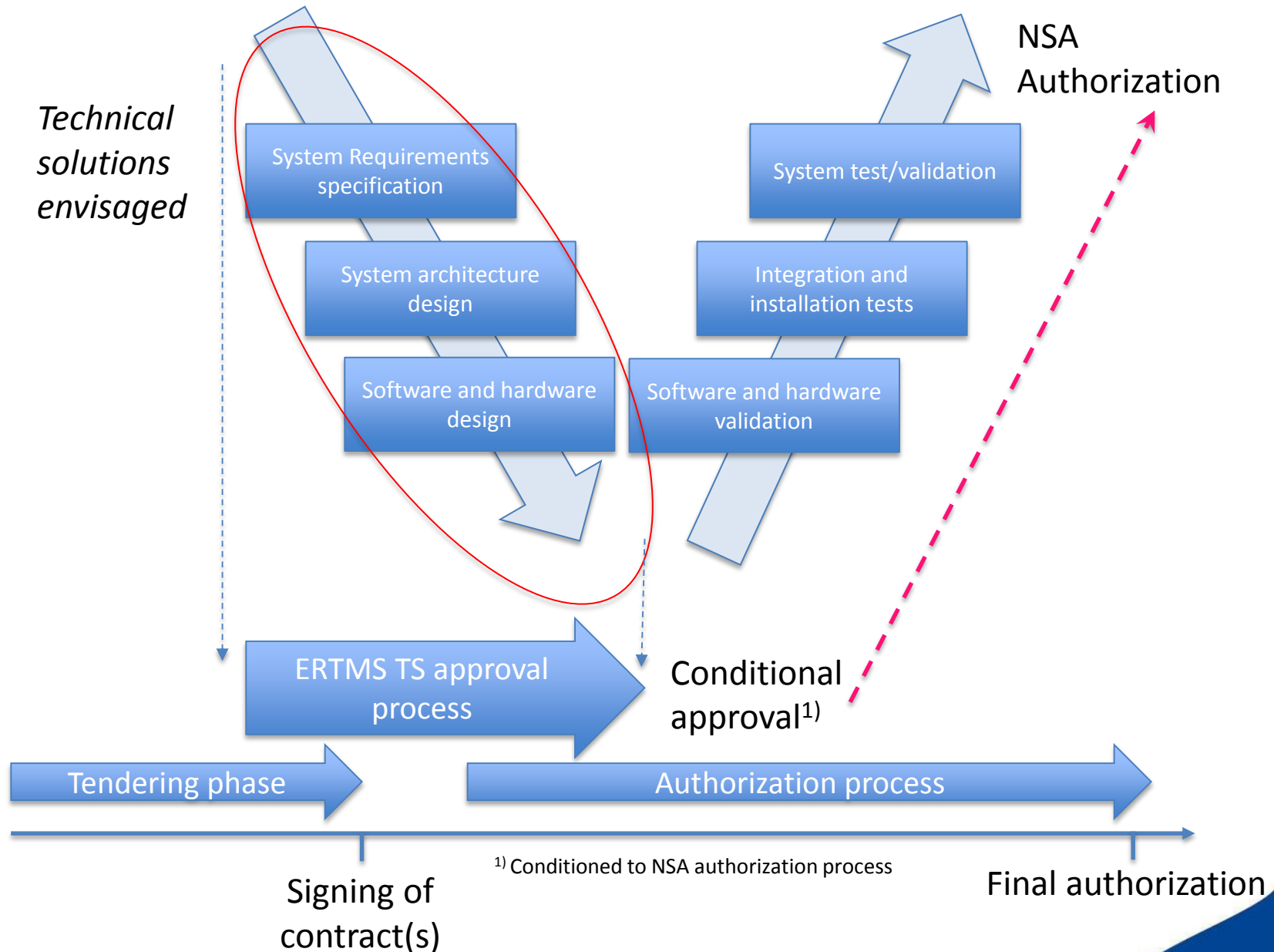authorisation can be revoked

Railway Undertaking & NSA

ERA proposal for ERTMS trackside approval

- Principles agreed with stakeholders
  - Conditional approval based on expected list of documentation and evidences for issues from the issue log (lessons learned from previous projects)
  - Proposal to be tested during learning cases
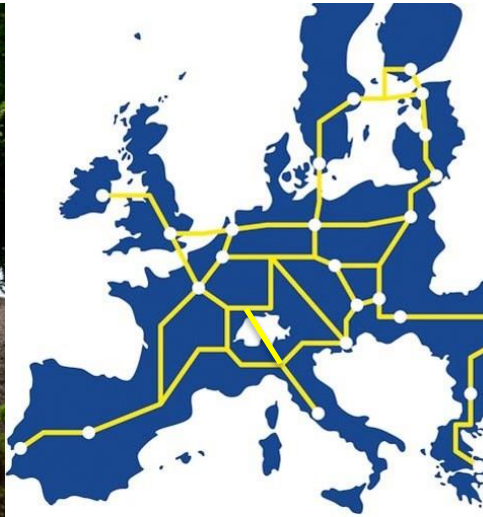- Final ERA proposal for EC recommendation (beginning of 2018)

The ERTMS trackside technical approval is based on the technical solutions envisaged

Technical solutions envisaged

System Requirements specification

System architecture design

Software and hardware design

System test/validation

Integration and installation tests

Software and hardware validation

NSA Authorization

ERTMS TS approval process

Conditional approval[1]

Tendering phase

Authorization process

Signing of contract(s)

[1] Conditioned to NSA authorization process

Final authorization

Single European Railway Area (SERA)

safe :: connected :: affordable