

# ERA Webinar

## Certification, Authorisation, and Approval

16 June 2020

Josef Doppelbauer, Executive Director

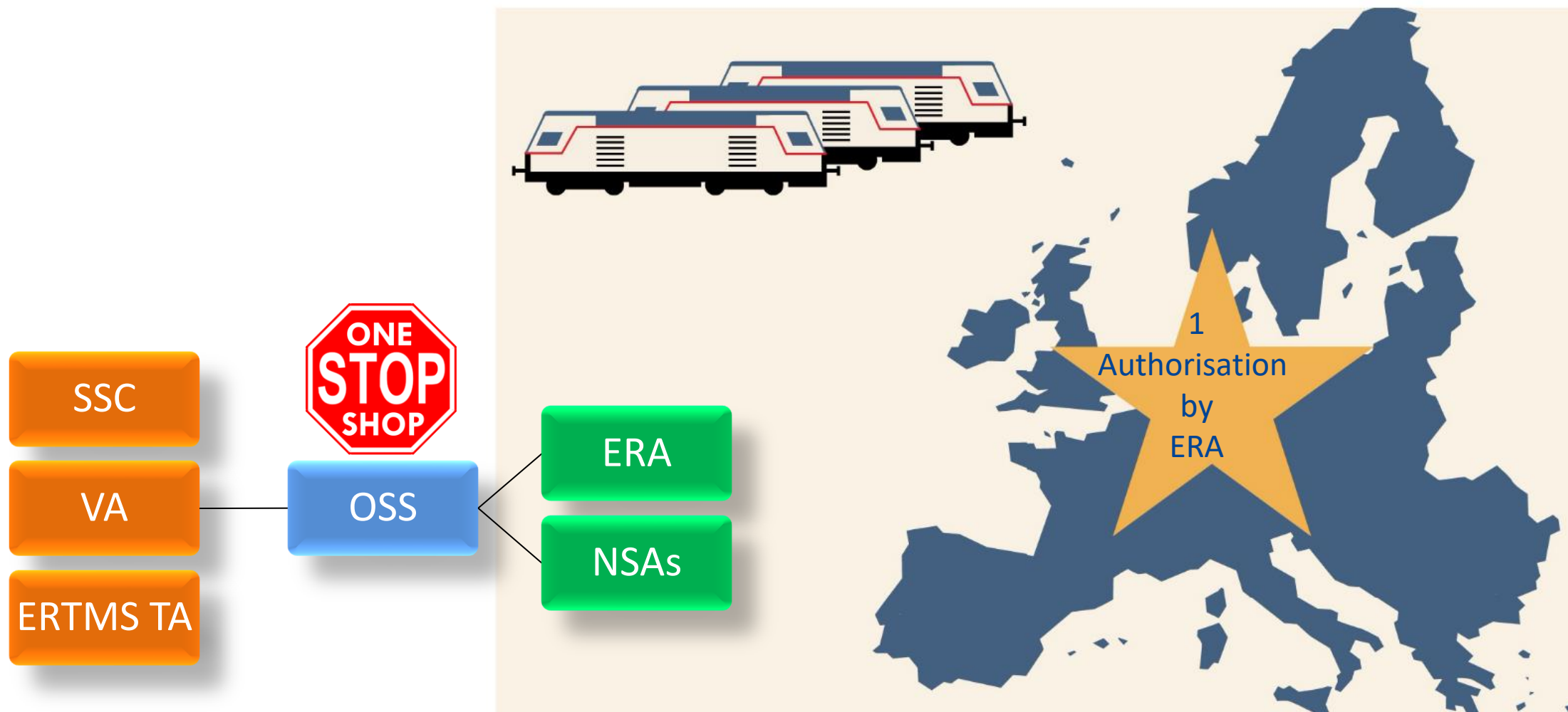
Thierry Breyne, Head of PAD Unit



- › **Agency measures for COVID-19**
- › **Achievements in our first year**
- › **Lessons learned**

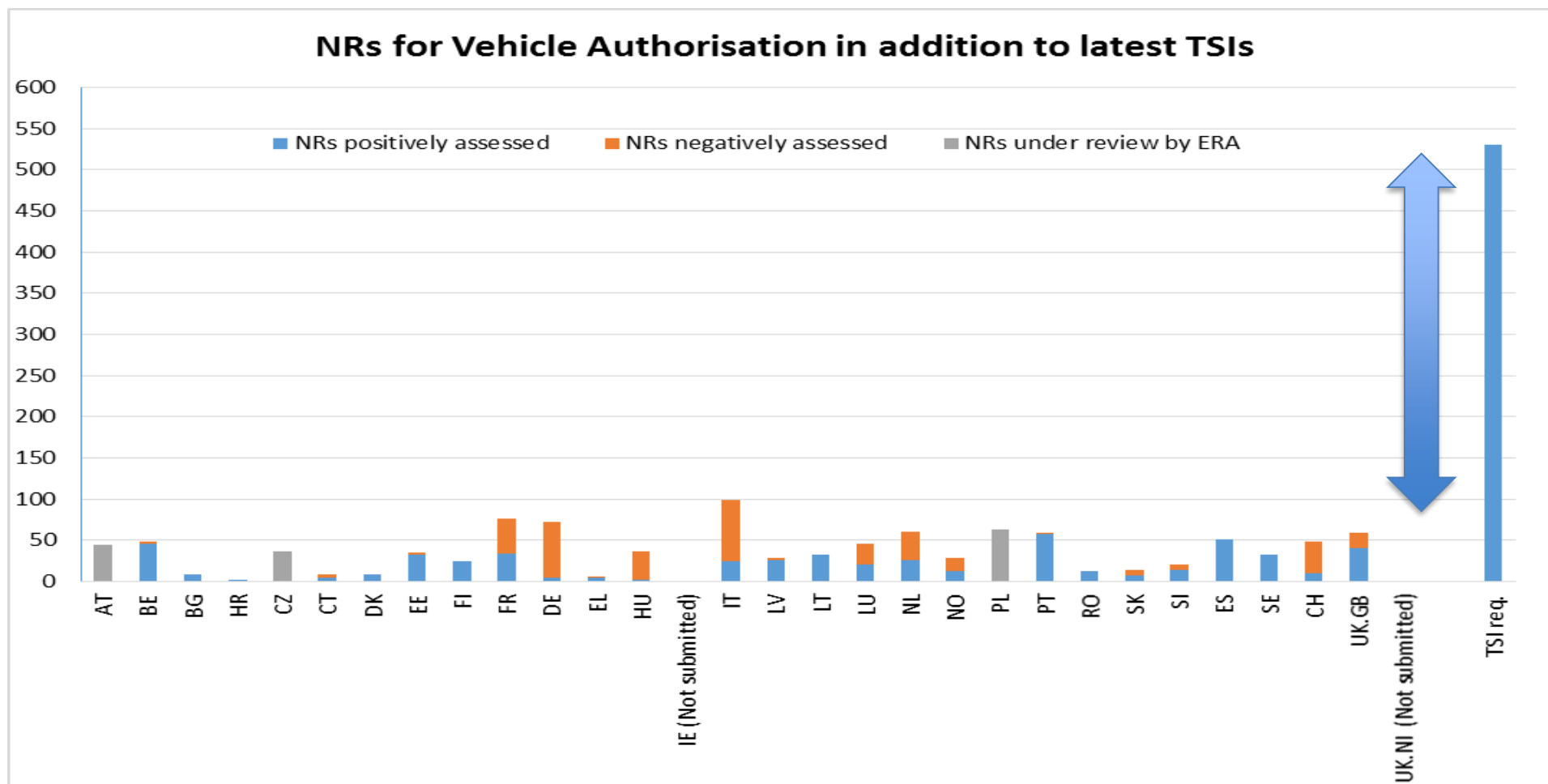


- › **Areas of improvements**
- › **And the future evolution**



## The Precondition: Reduction of National Rules

- Starting point **14 312** at 01/2016
- Now **1 061** (September 2019)



# Technical Pillar Transposition Dates/COVID-19 Impact

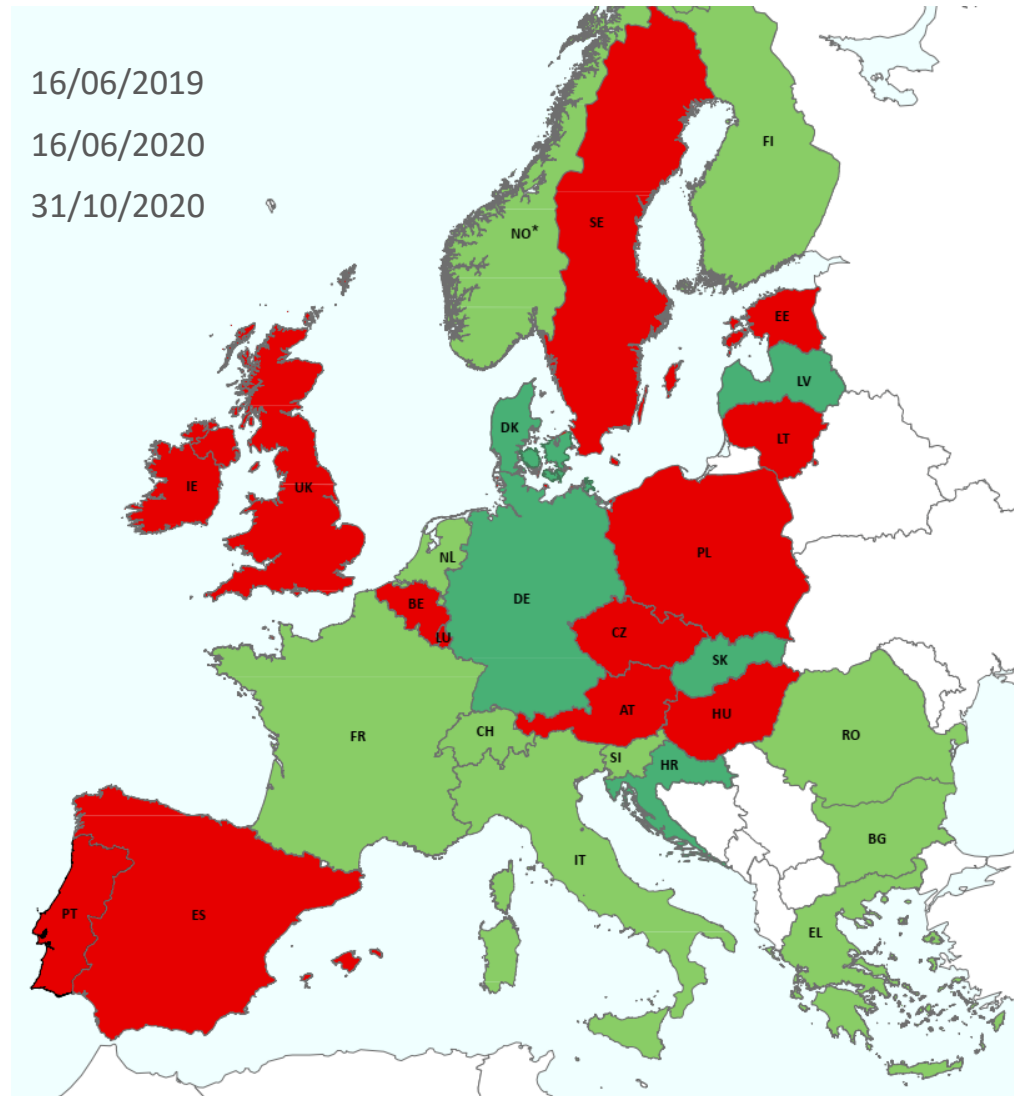
## DIRECTIVES

DIRECTIVE (EU) 2020/700 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL  
of 25 May 2020  
amending Directives (EU) 2016/797 and (EU) 2016/798, as regards the extension of their  
transposition periods  
(Text with EEA relevance)

REGULATION (EU) 2020/698 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL  
of 25 May 2020  
laying down specific and temporary measures in view of the COVID-19 outbreak concerning the  
renewal or extension of certain certificates, licences and authorisations and the postponement of  
certain periodic checks and periodic training in certain areas of transport legislation  
(Text with EEA relevance)

... plus revision of Implementing and Delegated Acts

16/06/2019  
16/06/2020  
31/10/2020



# Mitigation of COVID-19 Impact on Authority Activities

- Vehicle Authorisation
  - ERA has issued on 3 April 2020 a “**Clarification note on Temporary measures adopted by the European Union Agency for Railways for delivering authorisations in the framework of the restrictions related to the COVID-19 pandemic**”\*, as Notified Bodies (NoBos) may be temporarily prevented from efficiently carrying out planned evaluation activities
  - ERA has endorsed an **NB RAIL Recommendation for Use**, [RFU-STR-704](#), for the remote performance of NoBo activities originally intended to be performed ‘on-site’
- Single Safety Certification
  - ERA has **drafted\*** a **Clarification note**, covering temporary constraints on the safety certification body side (including an inability to carry out visits, inspections or audits), limited capacity of an applicant to develop, internally agree, and submit the relevant evidence, limited possibility for NSAs to perform supervision activities as normal, either because of a lack of access to a specific railway undertaking or because of resourcing or other problems within the NSA
- Entities in Charge of Maintenance (ECM)
  - The certification bodies already accredited or recognised or NSAs acting as **ECM certification bodies** for the scope of freight wagons, shall be allowed to perform the activity of certification also for the scope of other types of vehicles until they are accredited or recognised in accordance with the new sectoral accreditation scheme once adopted and in force and at the latest by 16 June 2021

\*) Clarification notes available on [ERA website](#)

Vehicle Authorisations	Single Safety Certificates	ERTMS Trackside Approvals
<p><b>638</b> delivered* representing in total <b>7800</b> vehicles</p>	<p><b>11</b> delivered</p>	<p><b>6</b> applications</p>
<p><b>56</b> projects ongoing</p>	<p><b>7</b> projects ongoing</p>	<p><b>13</b> initial engagements from which 5 closed</p>
<p>Delivery of conformity-to-type authorisations within an average time of 9,5 calendar days</p>		<p>One initial engagement can end in several approvals</p>
<p>*) 599 conformity-to-type decisions; 18 pre-engagement baseline opinions; 16 decisions on vehicle type authorisation; 5 rejected applications.</p>		

## What Makes us Proud of Our Child ?



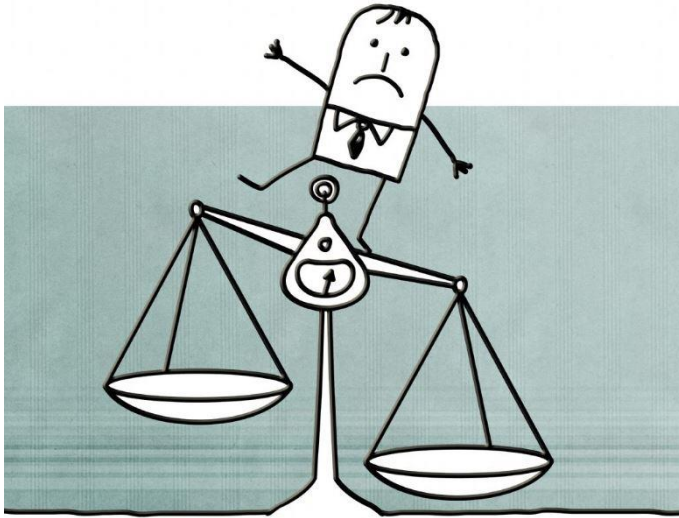
- Robust processes – no major shortcomings
- Good and recognised expertise in the Agency
- Enhanced collaboration between NSAs and ERA experts
- Training workshops (Pool of Experts and OSS user Trainings)
- Dissemination
- Clarification notes (LTT)

[https://www.era.europa.eu/applicants\\_en](https://www.era.europa.eu/applicants_en)

- Proactive support from ERA staff recognised by applicants and NSA

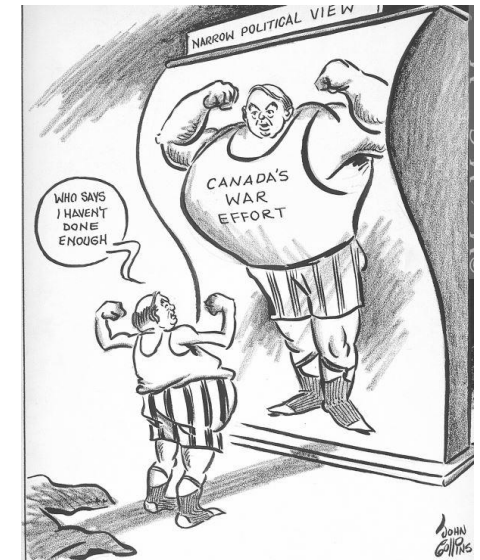






- Experience only on limited number of cases
- Not the complete TA process
- Majority are Conformity to Type & Wagons (conformity to §7.1.2. TSI 321/2013)

All conditions for having the full benefit of a single unified process not yet in place - e.g. area with only 8 Member States



## His First Steps and ... Difficulties (1)



### Novelties

- ERA as new actor
- New process and authorisation cases
- Increased responsibility for the applicant
- « New » requirements - safety culture and human factors, requirement capture
- One-Stop Shop



## His First Steps and ... Difficulties (2)

Lack of familiarity with the new legal framework

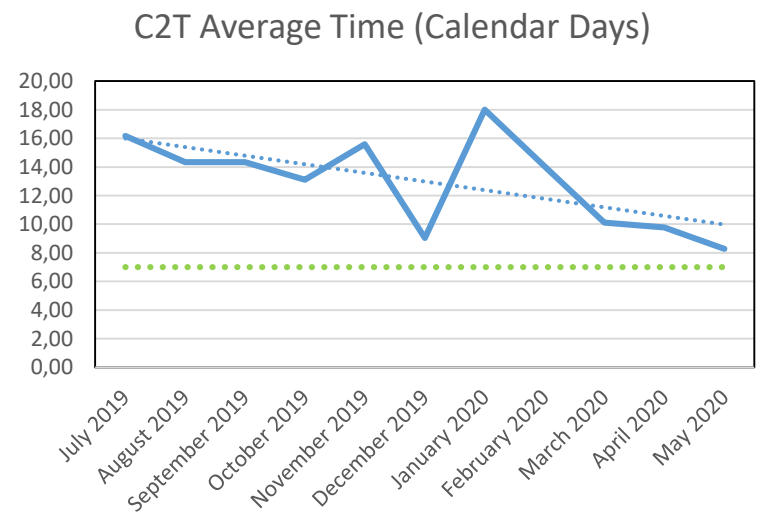
Accuracy of the information in the registers

Cleaning up of national rules

Interface with national procedural rules

Status of the cross-border agreements

Time to deliver C2T not in accordance with sector expectations





- Submission of the applications
- Process for assigning teams and providing access rights
- Use of Web forms for SSC applications
- The upload mechanisms for reports and decisions

- Need for improving ergonomoy
- Revision of notifications
- Dashboard
- Web forms for VA

Continuous improvement based on return of experience



Reinforce operational collaboration with the 2020 NSAs (taking into account the two transpositions dates)

Continue to fine-tune processes and OSS, based on the return of experience, in order to improve the efficiency

Continue to inform the stakeholders on the legal framework via different channels (on line meetings, e-training, conferences, dedicated trainings)

Continue to clarify the legal framework via Clarification Notes and updates of guides



And Now, What Next ...

Improvement of the quality of the application files, based on first applications return of experience (e.g. publication in ERADIS)

Improvement of the planning aspects by the applicants

Early contacts with the Agency via chargeable service or pre-engagement – very good return on investment

Contribution from the sector on topics where the exchange of best practices would be very valuable like e.g. requirements capture



Less cost (one process with one authority)



Better transparency (one harmonized procedure with clear rules)



Better predictability (clear requirements, known at pre-engagement)



Reduced risk on project timeline (transparency/early engagement)



Straight forward extension of Area of Use/Area of Operation



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