

Annex 7

Framework for authorization of ERTMS on corridor A Rotterdam – Genoa

1. Introduction

Today, the authorization processes for rolling stock and infrastructure in each country are different and not transparent enough. Especially for rolling stock this is hindering cross acceptance and is a time consuming operation.

The European approach for authorization is based on the interoperability directive EC/2008/57. It is set up to facilitate cross acceptance and to apply one approach for Europe. Today, the NSA's are migrating from the national approaches to the intended European approach.

Besides all other aspects for authorization, the NSA's of corridor A were requested to put additional and particular effort on the authorization issues for ERTMS. There are several reasons for this request:

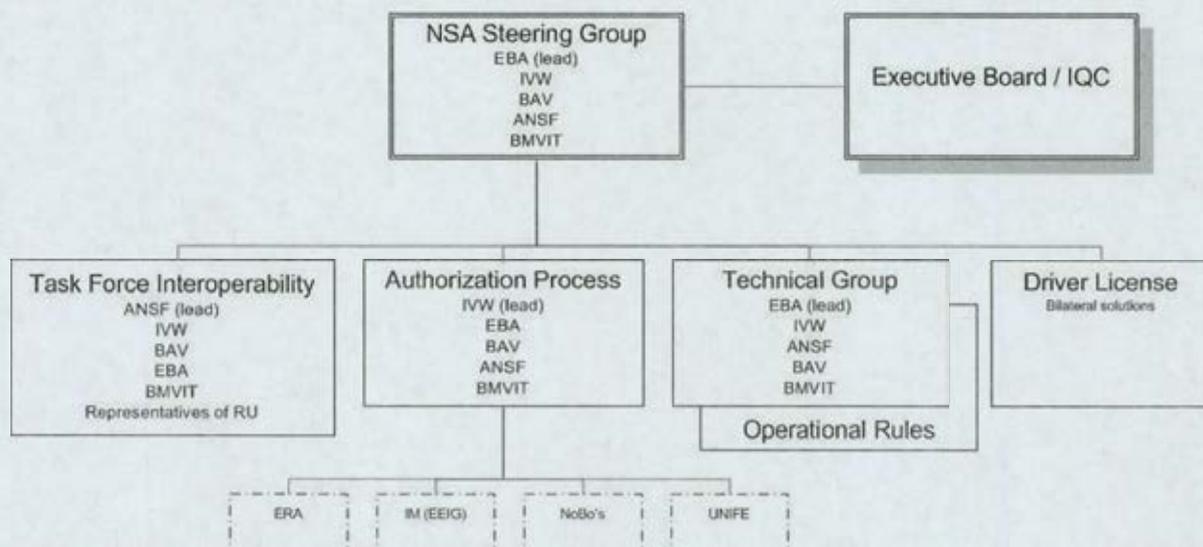
- The authorization of ETCS has to be seen in combination with the authorization of the national control command and signalling systems;
- The implementation of ETCS both trackside and on-board allows several options;
- ETCS functions can be applied different in the various projects;
- Common testing procedures and scenario's for ETCS have only been recently defined in Commission Decision 2010/79
- National Technical Rules for ETCS are not yet transparent and made available;
- Unclear roles and responsibilities between NSA's, NoBo's, DesBo's, ISA's, ECM's, applicants and manufacturers.

To cope with these issues, it was decided by the Ministries to ask the National Safety Authorities (NL, D, CH, I, and A) to develop together with EC/ERA, notified bodies, IM's and manufacturers by the end of 2010 a first common process for authorising the putting into service of ERTMS equipment on the corridor infrastructure and on rolling stock with the aim of making this efficient and transparent to all parties involved.

It was agreed to set priority to the authorization process of rolling stock because rolling stock shall use different infrastructure and shall cross borders.

The following organisation was set up by the NSA's to achieve this task:

2. Organisation



3. Planned tasks by the NSA's of corridor A

First priority is to set up the authorization process for rolling stock equipped with ERTMS.

This process shall respect the European approach to the implementation of the Directive 2008/57 in particular its provisions on cross-acceptance. The essential requirements (safety, technical compatibility, reliability and availability, environmental protection and health) must be fulfilled.

To achieve this goal, the NSA's will issue, in cooperation with ERA, a guideline for a common approach to optimise the authorization for vehicles equipped with ETCS. For this guideline it is first necessary to know and to understand the following main issues:

- The processes mentioned by the directive, roles and responsibilities as elaborated in the "common understanding" of the authorisation process developed in the DV 29 document currently under discussion at the RISC Committee.
- The today applied approval processes in each country;
- Any national requirements for the vehicles in general and for ERTMS in particular.

Furthermore it is necessary, where not covered by TSIs, to define and to elaborate:

- Common requirements for safety reliability and availability;
- Common requirements regarding safety cases and assessments;
- Common understanding how the verification of the technical compatibility has to be executed (what has to be done to get the certainty that track and train work together in a safe and interoperable way according to the directive).

Timeframe to set up this guideline is as follows:

- First draft will be issued by the end of 2010;
- During 2011 and 2012 this guideline will be improved and finalized taking into account further practical experience and feedback from the already existing projects.