



Nederland

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## **Application for an EC conformity assessment by the Notified Body TÜV SÜD Nederland B.V., No 0941 according to directive (EU) 2016/797 of the European Parliament and the Council of 11 May 2016 on the interoperability of the rail system within the European Union**

To be filled out by the applicant or his authorised representative within the EU.

Please fill out this form and send it back to the above given address. This document is part of the contract on EC certification with Notified Body TÜV SÜD Nederland.

### **1 TÜV SÜD Nederland Project number (see quotation):**

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### **2 Information on the Applicant**

The project breakdown structure detailing the name and address of each involved entity for production, final inspection and serial testing. This shall include all project related sites, main sub-suppliers, and where this is not otherwise known to the CAB, the number of staff involved in the project at the sites;



**2.1 Name and address of the applicant or “if applicable” the authorised representative**

Name of the applicant or if applicable its authorised representative:

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Address of the applicant or if applicable its authorised representative:

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Contact details of the physical person acting as contact point for the applicant or for the authorised representative:

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**2.2 Company name and address of the involved production site/s**

Name and address of the manufacturer(s)

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For Type 4 and 8.4 certificates (If modules CD, SD, CH1 or SH1 are involved)

Project breakdown structure detailing the name and the address of each involved entity for production, final inspection and serial testing. This shall include all project related sites, main sub-suppliers and the number of staff involved in the project at the sites

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For H-type modules only

Name and address of the designer(s), testing body(ies) and verification and validation body(ies)

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### 3 Technical Specification(s) for Interoperability to be applied (incl. version)

Note: By default, the version at the time of application applies. If other versions shall apply, please indicate the version below the table.

#### 3.1 Subsystem Rolling Stock

Conventional and High Speed		
<input type="checkbox"/>	<b>LOC&amp; PAS</b>	<b>Regulation (EU) 1302/2014 as amended Rolling stock – locomotives and passenger rolling stock</b>
<input type="checkbox"/>	<b>PRM</b>	<b>Regulation (EU) 1300/2014 as amended Persons of Reduced Mobility</b>
<input type="checkbox"/>	<b>SRT</b>	<b>Regulation (EU) 1303/2014 as amended Safety in Railway Tunnels</b>
Conventional Rail		
<input type="checkbox"/>	<b>WAG</b>	<b>Regulation (EU) 321/2013/EU as amended Rolling stock – freight wagons</b>
<input type="checkbox"/>	<b>NOI</b>	<b>Regulation (EU) 1304/2014 as amended Rolling Stock – Noise</b>

In case the applicant or his/her authorized representative requires a certification according to a withdrawn TSI or to a TSI with a different set of amendments than the actual one please list the corresponding TSI here:

\*\*\*\*\*

The applicant or his/her authorized representative is aware about the fact that either special conditions of the actual valid TSI related the use of a withdrawn TSI shall be fulfilled or a derogation of the authority has to be required by the applicant or his/her authorized representative.

### 3.2 Subsystem Infrastructure

Conventional and High Speed		
<input type="checkbox"/>	INF	Regulation (EU) 1299/2014 as amended Infrastructure
<input type="checkbox"/>	SRT	Regulation (EU) 1303/2014 as amended Safety in Railway Tunnels
<input type="checkbox"/>	PRM	Regulation (EU) 1300/2014 as amended Persons of Reduced Mobility

In case the applicant or his/her authorised representative requires a certification according to a withdrawn TSI or to a TSI with a different set of amendments than the actual one please list the corresponding TSI here:

\*\*\*\*\*

The applicant or his/her authorised representative is aware about the fact that either special conditions of the actual valid TSI related the use of a withdrawn TSI shall be fulfilled or a derogation of the authority has to be required by the applicant or his/her authorised representative.

### 3.3 Subsystem Energy

Conventional and High Speed		
<input type="checkbox"/>	ENE	Regulation (EU) 1301/2014 as amended Energy
<input type="checkbox"/>	SRT	Regulation (EU) 1303/2014 as amended Safety in Railway Tunnels

In case the applicant or his/her authorised representative requires a certification according to a withdrawn TSI or to a TSI with a different set of amendments than the actual one please list the corresponding TSI here:

\*\*\*\*\*

The applicant or his/her authorised representative is aware about the fact that either special conditions of the actual valid TSI related the use of a withdrawn TSI shall be fulfilled or a derogation of the authority has to be required by the applicant or his/her authorised representative.

### 3.4 Subsystems Control-Command and Signalling

Conventional and High Speed		
<input type="checkbox"/>	CCS	Regulation (EU) 2016/919 Control-Command and Signalling as amended
<input type="checkbox"/>	CCS	Set of specifications # 1 (according to Regulation (EU) 2016/919)
<input type="checkbox"/>	CCS	Set of specifications # 2 (according to Regulation (EU) 2016/919)
<input type="checkbox"/>	CCS	Set of specifications # 3 (according to Regulation (EU) 2016/919)

In case the applicant or his/her authorised representative requires a certification according to a withdrawn TSI or to a TSI with a different set of amendments or a different set of specifications than the actual one please list the corresponding TSI here:

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The applicant or his/her authorised representative is aware about the fact that either special conditions of the actual valid TSI related the use of a withdrawn TSI shall be fulfilled or a derogation of the authority has to be required by the applicant or his/her authorised representative.

Please provide any available derogations or list the expected derogations.

### 4 Language version of the TSI/s which shall be used for certification:

English       German       Dutch       other (please specify):

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### 5 Language/s of the certificate/s or ISV/s required by the applicant (single choice):

Main language (regards also the reports referenced in the certificate/s or ISV/s):

English       German       Dutch       other (please specify):

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Translation language/s of certificate/s or ISV/s (only if contractually covered):

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## 6 Choice of modules for verification (Module / Module combination):

Modules	Interoperability Constituents	
A / CA		Internal production control
A1 / CA1	<input type="checkbox"/>	Internal production control plus product verification by individual examination (here: product verification by Notified Body)
A2/ CA2	<input type="checkbox"/>	Internal production control plus product verification at random intervals (here: product verification by Notified Body)
B / CB	<input type="checkbox"/>	EC-type examination
C / CC	<input type="checkbox"/>	Conformity to type based on internal production control
D / CD	<input type="checkbox"/>	Conformity to type based on quality management system of the production process
F / CF	<input type="checkbox"/>	Conformity to type based on product verification
H1 / CH	<input type="checkbox"/>	Conformity based on full quality management system
H2 / CH1	<input type="checkbox"/>	Conformity based on full quality management system plus design examination
V / CV	<input type="checkbox"/>	Type validation by in-service experience (suitability for use)
Modules	Subsystem	
SB	<input type="checkbox"/>	EC-type examination
SD	<input type="checkbox"/>	EC verification based on quality management system of the production process
SF	<input type="checkbox"/>	EC verification based on product verification
SG	<input type="checkbox"/>	EC verification based on unit verification
SH2 / SH1	<input type="checkbox"/>	EC verification based on full quality management system plus design examination

## 7 Scope of verification process according to nomenclature of TSI

### 7.1 General:

- Interoperability constituent
- Group of interoperability constituents (GIC)
- Subsystem
  - If CCS: on-board
  - If CCS: trackside



**7.2 Upgrade, renewal or modification of an existing type:**

Please specify the details of the upgrade or modification and their relation to the TSI requirements:

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- There is an EC certificate for the original interoperability constituent or subsystem
  - If yes: The reason for the new version of the interoperability constituent or subsystem is the removal of TSI relevant deficiencies

**7.3 National specific cases / environmental conditions for the following countries:**

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**7.4 The following optional TSI requirements shall be included:**

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## 8 Information about the product for verification

### 8.1 Product name / type / version:

[Please specify the object to be certified. On the certificate we will report the same term  
Specification of an ID number of the product or sub-system is necessary]

### 8.2 Interoperability Constituents included in the Group of Interoperability Constituents or in the Subsystem (see section 5 of the corresponding TSI):

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### 8.3 Multiple operation (only for subsystem Rolling Stock):

(only with the same vehicle type or with vehicles that are simultaneously evaluated)

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## 9 Acceptance of publication of certificate

(only certificate with general specification; Notified Bodies are obliged to do so)

Yes

## 10 The contracting entity or its authorised representative within the Community confirms correctness of given information. It is guaranteed that an application for verification of the product has not been sent to any other Notified Body

Yes





## 11 Any already available certificate, technical file, technical documentation which can be used for this certification process

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Note: In case of use of ISV's: If ISV Technical Files, ISV Declaration of any preceding Modules or ISV's are not available at time of application, then the intended ISV scope and interfaces shall be precisely defined.

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## 12 By signing this Application the Applicant agrees with the following commitments:

- a) The Applicant always fulfils the certification requirements (see 3.7 DIN EN ISO/IEC 17065:2012 as far as applicable), including implementing appropriate changes when they are communicated by the certification body (see 7.10 in the aforementioned norm as far as applicable);
- b) if the certification applies to ongoing production, the certified product continues to fulfil the product requirements (see 3.8 in the aforementioned norm as far as applicable);
- c) the Applicant makes all necessary arrangements for
  - 1) the conduct of the evaluation (see 3.3 in the aforementioned norm as far as applicable) and surveillance (if required), including provision for examining documentation and records, and access to the relevant equipment, location(s), area(s), personnel, and Applicant's subcontractors;
  - 2) investigation of complaints;
  - 3) the participation of observers, if applicable;
- d) the Applicant makes claims regarding certification consistent with the scope of certification (see 3.10 in the aforementioned norm as far as applicable);
- e) the Applicant does not use its product certification in such a manner as to bring the certification body into disrepute and does not make any statement regarding its product certification that the certification body may consider misleading or unauthorized;
- f) upon suspension, withdrawal, or termination of certification, the Applicant discontinues its use of all advertising matter that contains any reference thereto and takes action as required by the certification scheme (e.g. the return of certification documents) and takes any other required measure;
- g) if the Applicant provides copies of the certification documents to others, the documents shall be reproduced in their entirety or as specified in the certification scheme;
- h) in making reference to its product certification in communication media such as documents, brochures or advertising, the Applicant complies with the requirements of the certification body or as specified by the certification scheme;
- i) as far as applicable the Applicant complies with any requirements that may be prescribed in the certification scheme relating to the use of marks of conformity, and on



- information related to the product (NOTE See also ISO/IEC 17030, ISO/IEC Guide 23 and ISO Guide 27)
- j) the Applicant keeps a record of all complaints made known to it relating to compliance with certification requirements and makes these records available to the certification body when requested, and
    - 1) takes appropriate action with respect to such complaints and any deficiencies found in products that affect compliance with the requirements for certification;
    - 2) documents the actions taken.
  - k) the Applicant informs the certification body, without delay, of changes that may affect its ability to conform with the certification requirements.
  - l) The Applicant complies with the Testing and Certification Regulations of TÜV SÜD Group ([click here for the regulations](#))

NOTE Examples of changes can include the following:

- the legal, commercial, organizational status or ownership;
- organization and management (e.g. key managerial, decision-making or technical staff);
- modifications to the product or the production method;
- contact address and production sites;
- major changes to the quality management system.

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Stamp, date and signature of applicant / authorised representative in the EU