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TÜV SÜD Nederland B.V.
Wiltonstraat 38A

3905 KW Veenendaal

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Application for a conformity assessment by the Designated Body TÜV SÜD Nederland B.V., No 2019-31587, according to the Dutch Spoorwegwet, valid from June 16, 2019

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 certification with Designated Body (Nederland) 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 and, if applicable, his authorised

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representative

Name of the applicant and, if applicable, his authorised representative:

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Address of the applicant and, if applicable, his 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 Regeling Indienstelling Spoorvoertuigen (RIS) (incl. version)

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

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Note:

In case the applicant or his authorised representative requires a certification according to a withdrawn RIS version than the actual one please indicate the corresponding RIS version here:

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☐The applicant or his authorised representative is aware about the fact that either special conditions of the actual valid RIS related the use of a withdrawn RIS shall be fulfilled or a “Permission for Non Application” of the Dutch National Safety Authority “Inspectie Leefomgeving en Transport” has to be acquired by the applicant or his authorised representative.

3.1 Non Application of RIS or parts of it

☐The applicant and his authorised representative is aware about the fact that either special conditions of the actual valid RIS related the use of a withdrawn RIS shall be fulfilled or a “Permission for Non Application” of the Dutch National Safety Authority “Inspectie Leefomgeving en Transport” has to be acquired by the applicant or his authorised representative.

Please provide any available “Permission for Non Application” or list the expected “Permissions for Non Application”.

4 Required certification:

☐Complete certification of Railway Vehicle

☐Certification of upgrade or renewal of Railway Vehicle

☐Re-certification of the QMS Approval only (in case of choice of modules CD, SD, SH1, CH/CH1)

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(In case of several QMS being related to the subsystem, please specify the breakdown structure of the QMS related to the single part of the sub-system.)

☐ Intermediate Statement of Verification (ISV), please specify the scope and the extent of the RIS items to be certified:

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5 Choice of modules for verification (Module / Module combination):

5.1 For Subsystems

Module	**Rolling Stock Subsystem**	
SB	☐	EC-type examination
SD	☐	EC verification based on quality management system of the production process
SF	☐	EC verification based on product verification
SG	☐	EC verification based on unit verification
SH1	☐	EC verification based on full quality management system plus design examination

Module	**On-board Control-Command and Signalling Subsystem**	
SB	☐	EC-type examination
SD	☐	EC verification based on quality management system of the production process
SF	☐	EC verification based on product verification
SG	☐	EC verification based on unit verification
SH1	☐	EC verification based on full quality management system plus design examination

5.2 For Interoperability Constituents

Modules	**Interoperability Constituents**	
CA1	☐	Internal production control plus product verification by individual examination (here: product verification by Designated Body)

CA2	☐	Internal production control plus product verification at random intervals (here: product verification by Designated Body)
CB	☐	EC-type examination
CD	☐	Conformity to type based on quality management system of the production process
CF	☐	Conformity to type based on product verification
CH	☐	Conformity based on full quality management system
CH1	☐	Conformity based on full quality management system plus design examination
CV	☐	Type validation by in-service experience (suitability for use)

6 Scope of verification process

6.1 Rolling Stock Subsystem

☐ Interoperability constituent

☐ Subsystem

6.2 On-board Control-Command and Signalling Subsystem

☐ Interoperability constituent

☐ Group of interoperability constituents (GoIC)

☐ Subsystem

In case of upgrade or renewal please specify the extent:

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7 Information about the product for verification

7.1 Product name / type / version:

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

7.2 Interoperability Constituents included in the Group of Interoperability Constituents or in the Subsystem (see section 5 of the respective TSIs):

7.3 Operation in Multiple:

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

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8 Acceptance of publication of certificate

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

☒ Yes

9 The contracting entity or his authorised representative within the Community confirms correctness of given information. The Applicant confirms that an application for verification of the Railway Vehicle has not been sent to any other Designated Body

☒ Yes

10 Any already available certificate, NoBo File, DeBo File, technical documentation, which can be used for this certification process

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

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11 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 his product certification in such a manner as to bring the certification body into disrepute and does not make any statement regarding his product certification that the certification body may consider misleading or unauthorised;

f) upon suspension, withdrawal, or termination of certification, the Applicant discontinues his 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 his 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 his

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, organisational status or ownership;
- organisation 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 and, if applicable, of his authorised representative in the EU.