

railway approvals

G E R M A N Y

Photos: Mathew Schwatz, unsplash



Customer information
Railway Approvals Germany GmbH

Contents

- 1. Expertise and portfolio**
- 2. How to apply**
- 3. Use of subcontractors**
- 4. Conformity assessment:**
- 5. Supporting documents**
- 6. Certificates and verifications**
- 7. Fees and financing**
- 8. Complaints and appeals**

Railway Approvals Germany GmbH

Expertise & portfolio

Expertise

Railway Approvals Germany GmbH (RAG) is a young company but benefits as part of Deutsche Bahn AG from a long railway history. RAG staff have many years of experience of inspection and certification in the railway sector. And these activities are based not least on the comprehensive know-how of experienced experts who have previously worked within the DB Group.

Portfolio (I/II)

Railway Approvals Germany is a conformity assessment body and carries out conformity assessments pursuant to Directives (EU) 2016/797 on the basis of its recognition by the German Federal Railway Authority as a Notified Body (NoBo) and a Designated Body (DeBo) .

Railway Approvals Germany GmbH

Expertise & portfolio

Portfolio (II/II)

Conformity assessment activities as Notified Body (NoBo) and Designated Body (DeBo):

- **Rolling stock** subsystem: TSI LOC&PAS, TSI WAG & TSI NOI
- **Infrastructure** subsystem: TSI INF
- **Energy** subsystem: TSI ENE
- **CCS** subsystem: TSI CCS
- **Across** subsystems: PRM TSI & SRT TSI
- **NNTR** for Germany

Railway Approvals Germany GmbH

How to apply

Application (I/II)

Prior to the start of the certification procedure, the customer must submit an application for conformity assessment according to EN ISO/IEC 17065 to RAG, the Notified Body or Designated Body. The applicant must use the appropriate form provided by RAG. In addition to general information such as name, address and type of company, information on the product to be certified must also be provided. This information must indicate which subsystem or components are involved, whether EC verification and/or NNTR verification is to be carried out and, where appropriate, on the basis of which TSI and according to which module or combination of modules the assessment is to be made.

RAG is at your disposal for advance coordination of the module selection. By submitting an application, the customer accepts RAG's Verification and Certification Rules (VCR), which form the basis for certification.

Railway Approvals Germany GmbH

How to apply

Application (II/II)

RAG will examine the application and ensure that there is consensus with the applicant regarding the application. It will also check whether it is able to provide the required certification service. If these conditions are met, RAG will accept the application and conclude a contract with the customer.

Railway Approvals Germany GmbH

How to apply

Rights and Duties

By submitting the application for certification, the customer (applicant) acknowledges the conditions of conformity assessment under Directive (EU) 2016/797. The customer is obliged to provide RAG with all the evidence and information required for the conformity assessment and, if necessary, to grant auditors of the conformity assessment body access to the production facilities. The customer is also obliged to comply with the certification requirements at all times, including the implementation of appropriate changes, and to ensure that the certified product meets the product requirements throughout the entire production period. By submitting the application, the customer acknowledges the Verification and Certification Rules (VCR) and undertakes to use the product certification for legitimate purposes only, in a manner that is not detrimental to RAG and only in the area for which it was granted.

In case of discrepancies, the customer is free to make use of his right of appeal against RAG. The certification body must allow all providers non-discriminatory and unconditional access to the certification service. If the applicant so requests, the certification body must provide him with additional information.

Railway Approvals Germany GmbH

Use of subcontractors

Expertise

As a subsidiary of Deutsche Bahn AG, RAG generally relies on its own expertise for the entire certification process. Under the Directives (EU) 2016/797, the subcontracting of certain steps in the certification process is also permitted with the consent of the customer. As part of conformity assessment, RAG is entitled to commission testing and inspection bodies to test products or parts of products in order to provide the greatest possible expertise. Subcontractors are always commissioned and deployed in coordination with the contractor.

Railway Approvals Germany GmbH

Conformity assessment

EC conformity assessment (I/IV)

The conformity assessment is dependent on the module or module combination. The relevant TSIs specify, for each subsystem and interoperability component, the modules or combinations of modules authorised to carry out an EC conformity assessment. The applicant decides which module or module combination is to be used for the evaluation. The description of the modules can be found in Commission Decision (EU) 2010/713. There are basically three main differences:

- pure product tests (type or individual tests)
- pure assessments of the production quality assurance system
- combination of product testing (type) and assessment of the quality assurance system.

Railway Approvals Germany GmbH

Conformity assessment

EC conformity assessment (II/IV)

The EC conformity assessment is carried out in different phases depending on the product, the TSI to be applied and the chosen module or combination of modules:

- Design testing
- Type testing
- Product (production) monitoring
(in the form of product testing or assessment of quality assurance system)
- Validation (evaluation of suitability - only certain cases)

Railway Approvals Germany GmbH

Conformity assessment

EC conformity assessment (III/IV)

The assessment is carried out by the conformity assessment body on the basis of a checklist containing all the requirements of the TSI relating to the product. The list also specifies the type of evidence and possible supporting documents. The list is also used to document the assessment results, so that the assessment status can be seen from the list. If assessments do not have a positive result, the applicant will be informed.

The accompanying of required examinations and tests by the conformity assessment body is not mandatory and must be determined on a case-by-case basis. In this regard, we refer to RFU-STR-022.

Certain modules or combination of modules provide for recognition of the quality assurance system. In this case, the quality assurance system is assessed on the basis of on-site audits.

Railway Approvals Germany GmbH

Conformity assessment

EC conformity assessment (IV/IV)

If all assessments are completed positively and a positive certification decision has been made, RAG as the Notified Body, will issue the corresponding certificates and hand them over to the customer together with the technical file and the associated documentation. On the basis of this certification, the customer is then entitled to issue a corresponding EC declaration of conformity for the product in question.

Railway Approvals Germany GmbH

Conformity assessment

Conformity assessment NNTR

The assessment is based on the Notified National Technical Rules. A distinction must be made here between the additional national rules which must be observed in addition to EC verification, and the NNTR for non-TSI conform vehicles.

The assessment by the conformity assessment body is based on a checklist which contains all NNTR to be fulfilled in relation to the product. The list also specifies the type of evidence and possible supporting documents. The list is also used to document the assessment results, so that the assessment status can be seen from the list. If assessments do not have a positive result, the applicant will be informed.

The accompanying of examinations and tests by the conformity assessment body is not mandatory and must be determined on a case-by-case basis.

If all assessments show a positive result and the subsequent coherence check is concluded positively, RAG, as the designated body, will issue the corresponding certificate of conformity and hand it over to the customer together with the file and the related documentation.

Railway Approvals Germany GmbH

Supporting documents

Type and scope of supporting documents

The type and scope of the documentation to be supplied by the applicant depends on the requirements of the relevant TSI or NNTR. Compliance with all requirements must be fully evidenced by the documents to be provided. Usually, these are drawings, calculations and test reports providing proof of conformity. In the case of the EC conformity assessment, certain modules or combination of modules provide for recognition of the quality assurance system. In this case, the submission of documentation on the manufacturer's quality assurance system is also required. If production takes place at more than one site, these documents will be provided for all relevant sites.

The format of the documents (drawings, reports, files, etc.) and their language must be agreed in advance. The documents should generally be submitted in German or English. Other languages may be agreed on a case-by-case basis.

Railway Approvals Germany GmbH

Certificates and verifications

Content and scope

Where the assessment body determines that a product conforms with the requirements of the applicable TSI or NNTR, it will issue a corresponding certificate of conformity and, where appropriate, a certificate of verification and approval of the quality assurance system.

The scope of application is limited to the area requested by the customer.

If the application only concerns parts of a subsystem or stages of the verification procedure, an intermediate statement of verification may be issued.

If no conformity is found, the customer will be informed in writing, with reasons.

Railway Approvals Germany GmbH

Certificates and verifications

Period of validity

The period of validity of the certificates and verifications may be limited or unlimited according to the applicable TSI or EU directives. If necessary, the time limit of a certificate can be extended on the basis of monitoring and, if applicable, taking account of requirements that have changed in the meantime.

For the entire period of validity of the certificate, the holder is obliged to examine and document any changes affecting the product as regards its effect on the requirements assessed in the conformity assessment. If such an effect cannot be ruled out, the assessment body must be informed immediately.

The assessment body will evaluate the change with respect to conformity and adjust the certificate if necessary or withdraw the certificate in case of non-conformity.

Railway Approvals Germany GmbH

Certificates and verifications

Loss of validity (I/II)

A certificate expires e.g.:

- on expiry of the period of validity specified in the certificate;
- if the customer permanently ceases its business operations;
- if the subject matter of the certificate is taken off the market;
- if the customer fails to pay the agreed remuneration;
- if the certificate holder breaches its obligations under the Verification and Certification Rules (VCR) or violates those rules in any other not inconsiderable way;
- by order of the competent authority;
- if the subject matter no longer corresponds to the description on the certificate or the subject matter no longer meets the certification conditions despite action to remedy the situation;
- if the certificate has been falsified or improperly used outside its scope of application.

Railway Approvals Germany GmbH

Certificates and verifications

Loss of validity (II/II)

A certificate expires e.g.:

- if the Client gave false information or concealed important facts, during the certification procedure, that were relevant for issuing the certificate;
- if safety defects arise after certification which cannot be rectified immediately and use of the subject matter gives rise to a hazard.

Railway Approvals Germany GmbH

Certificates and verifications

Monitoring

If a module or a combination of modules, selected for the conformity assessment procedure, provides for regular surveillance, this will be carried out by RAG. Surveillance is normally carried out in annual or biennial audits in accordance with the requirements of the relevant TSI.

Railway Approvals Germany GmbH

Fees and financing

Costs

Fees are charged for the activities of the assessment body. These are laid down in the offer as a fixed price or will be invoiced according to time spent, based on the applicable hourly rate. If it is necessary to commission another body that has not already been included in the offer, the customer will be invoiced separately for the associated costs. In this case, the customer will be informed of the anticipated costs before the body is commissioned.

Financing

RAG supports itself from the proceeds of its activities. The fees enable the certification body to operate on a break-even basis. This is ensured by continuous financial controlling.

Railway Approvals Germany GmbH

Complaints and appeals

Procedure

The customer can lodge an appeal against certification decisions and file a complaint relating to the implementation of procedures.

Appeals and complaints must be submitted in writing or text form to RAG. Complaints and appeals must be substantiated and, where necessary, accompanied by evidence to enable an objective review by RAG.

If the complaint or appeal against RAG is justified, the result will be communicated. If no formal decision on the complaint has been made within three months of the date of acknowledgement of receipt, the appellant will receive a progress report.

Third can lodge a complaint about a product certified by RAG.

The holder of the certificate must document all complaints relating to the product and their rectification and present them to the assessment body on request.

Do you have questions about **Railway Approvals Germany?**

Railway Approvals Germany GmbH

Certification Body

Pionierstrasse 10

32423 Minden, Germany

Tel.: +49 (0) 571 393 2020

E-mail: kontakt@railwayapprovals.com