Human Environment and Transport Inspectorate
Ministry of Infrastructure and the Environment

Technical file

For the placing in service of vehicle (type) with CCS on-board (subsystem)

Additional information
088 489 00 00 | www.ilent.nl

Explanation

This document contains that part of the vehicle authorisation document which is relevant for the CCS subsystem. In the end, there will be one APS document, which comprises all subsystems.
The content is relevant, the representation is a guideline.

The complete filled in form can be sent to P.O. Box 16191, 2500 BD Den Haag, NL or sent by e-mail to nsi@ilent.nl

1 Vehicle (type)

1.1 Vehicle (e.g.: electric multi-system locomotive) |

1.2 Manufacturer of vehicle |

1.3 Type approval ☐ Yes ☐ No

1.4 Serial number(s) | | | |

| | | |

| | | |

2 Changes made to the ATP-system(s)

2.1 Which changes were made to the ATP-system(s)? (ETCS/ATB/PZB etc.)

No.	*ATP-system*	*Type of change*	
1		☐ Installation	☐ Upgrade
2		☐ Installation	☐ Upgrade
3		☐ Installation	☐ Upgrade
4		☐ Installation	☐ Upgrade
5		☐ Installation	☐ Upgrade

3 Technical characteristics of the vehicle

3.1 The changes led to the following technical characteristics of the vehicle

Subsystem or component	*Manufacturer*	*HW versions*	*SW versions*
ERTMS/ETCS on-board system			
ATP system A			
ATP system B			
Display			
GSM-R voice cab radio			
Vehicle interface system (TIU)			
Speed measuring & indicating system			
Driver's safety device			

4 Type of authorisation

4.1 Type of authorisation

> *Except for the first authorisation, refer to previous authorisations*

- ☐ First authorisation
- ☐ Additional authorisation
- ☐ Renewed authorisation
- ☐ Subsequent authorisation
- ☐ New authorisation (upgrade/renewal)

5 Final provisions

> The regulatory, technical and operational conditions and restrictions listed in the Annex are part of this authorisation file.

6 Signature

6.1 Name

6.2 Organisation

6.3 Position at the applicants organisation

6.4 Place and date

6.5 Signature

This annex is a checklist of reference required for the technical dossier, possibly supplemented by information related to the reference.

1. Authorisation file of the vehicle

Note: the following items in this table reflect the content and structure of the authorisation file

2. Declaration of EC Verification (DoV) of the on-board CCS subsystem

EC Declaration number(s)

Note 1: refer to the technical file of the EC verification (see ID Annex V), which is not to be duplicated for APS, but at least

- the brief description of the subsystem
- the conditions & constraints (e.g. SAC/SRAC)

shall be available to the NSA

Note 2: According ID 18.3 the declaration of verification has to contain "all the relevant temporary or final provisions to be complied with by the subsystems and in particular, where appropriate, any operating restrictions or conditions"

Note 3: for vehicle APS have to be available also EC verifications for RST and ENE subsystems.

3. Declaration of verification of the on-board CCS subsystem with National Rules

number – version – date

Note 1: at least the conditions & constraints must be available to the NSA

Note 2: for vehicle APS have to be available also NR verifications for RST and ENE subsystems

4. Declaration of safe integration

Note 1: based on the CSM assessment report

5. CSM safety assessment report

number – version – date

Note 1: this could also be done by producing a safety case according to CENELEC

Note 2: the CSM safety assessment report shall contain at least the following parts:
1) on the integration between the ICs of the on-board CCS subsystem (internal interfaces)
2) on the integration of the TSI Class A part of the on-board CCS subsystem with on-board Class B equipment
3) on the integration of the on-board CCS subsystem with the other subsystems of the vehicle, and with the subsystem operation (external interfaces)
4) on the integration between the on-board CCS subsystem and the trackside CCS subsystem
5) on the integration between the vehicle and the line (not specific to CCS subsystems)

Note: it is necessary to make available to the RU the constraints / requirements which have been considered within the construction and authorisation of the vehicle and which have to be checked by the RU with the RINF before operation.

6. Test reports

reports of IOP tests and track specific operational tests

Note: test reports shall indicate the trackside configurations used (manufacturer, system version, reference track), and for which part of the network their results are valid

7. Requirements on maintenance linked to the design

e.g. product documentation related to maintenance of the subsystem, like key management and requirements on minimum qualification of staff

Note: according to DV29 ch. 5.2, the authorisation file includes requirements on maintenance linked to the design. The RU shall ensure that the ECM will establish and use an adequate maintenance plan.

8. Requirements on operation linked to the design

e.g. product documentation related to operation of the subsystem, like requirements on minimum qualification of staff

Note: according to DV29 ch. 5.2, the authorisation file includes requirements on operation linked to the design. The RU shall establish and use adequate operational rules.

9. Other documents

e.g. production plan and control (quality plan)

Note: according to DV29bis the technical file shall include all parameters needed by RU/IM for checking after the authorisation the compatibility between network and trains

Observations, conditions and obligations
Note: conditions/restrictions should always be based on the relevant observations

9. Technical compatibility

Note: under this paragraph is indicated the part of the network for which the subsystem has been validated, based on the functional scope of the track-train integration tests (see test reports above). It does not cover the route suitability requirements that shall be maintained by the SMS of the RU.

"the subsystem has been tested under the functional and operational conditions given by the following set of test cases / test scenarios:"

- Validation tests line A
- Validation tests line B
- Netzzugangstests NBS
- Netzzugangstests LBL
- Prorail RLN 295
- ...

Indicate the used test cases / test scenarios.
Condition:
The subsystem may be operated with ETCS only on lines with the functional and operational conditions tested by the above-mentioned set of test cases / test scenarios

10. Type of operation

Type 1: "track-train integration testing"
Operational conditions:
No passengers/goods, safety to be ensured by operational means (written orders, "grüne Welle", 2nd driver, ...)

OR
Type 2: "safety quality test under commercial conditions" **
Note: also known as "safety acceptance test", "Sicherheitserprobung", "pre-operation", etc.

Operational conditions:
No passengers/goods, safety to be ensured by ETCS, special observation and reporting to NSA

OR
Type 3: "passenger/goods operation under commercial conditions"
Operational conditions:
(if any)

11. Safety critical events and observations

the CSM report requires that a process will be installed to notify any safety critical event and observation to the NSA
Condition:
installation and report about the installed process to the NSA within 3 months
Note: any issues based on SRAC/SAC of the subsystem shall be mentioned in this table

12. Maintenance (if applicable)

(specific observation)
Condition: ...

13. Operations

(specific observation)
Condition: ...

14. Training

(specific observation)
Condition: ...

** *ERA comment 02/2012: "mixing NSA role with the role of the contracting entity that accepts the products" ---> tbd*

Examples for other conditions

15. Modes

the subsystem does not indicate the speed in mode "XY", this requires specific operational measures in mode "XY"
Condition:
The relevant operational measures have to be communicated to the vehicle holder

15. DMI

the DMI shows wrong messages in case of XY
Condition:
The DMI Software has to be upgraded within 12 months

16. Train length

the system does not correctly calculate the braking curves for trains longer than 400m
Condition:
The system shall be used only on trains <400m