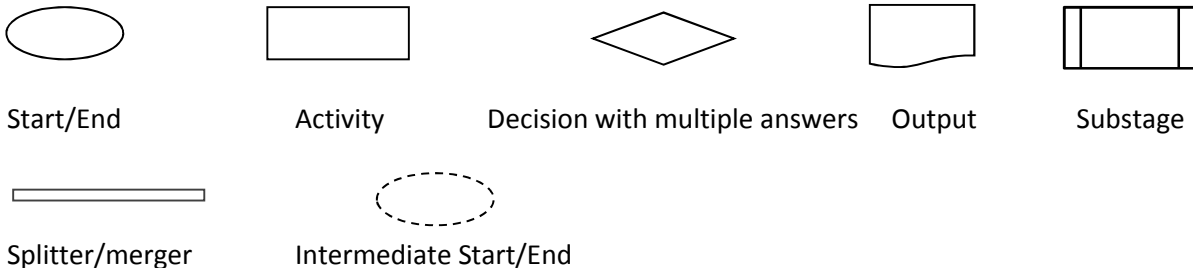


## Section 4 Flowcharts

### How to read the flowcharts

#### Symbols

Standard flowchart that describes the authorisation process, using 6 Unified Modelling Language symbols:



#### Principles

- › The symbols are linked with directed arrows.
- › It is indicated on the merger symbol if parallel arrows are considered as “And” or “Or”.
- › Splitter symbol is always considered as “And”.
- › The flowchart starts and ends with the same symbol.
- › An activity is an action that requires the use of a verb, e.g. Request, Provide, Modify.
- › A decision is often an answer to a question. The answer is often binary Yes/ No but may be also multiple alternatives.
- › An output is the result of an action and is often a document either paper based or electronic based.
- › Outputs are placed with the recipient.
- › The role indicated in the flowchart is to be understood as the role responsible for the activity. Other actors might be supporting but are not specified in the flowchart.
- › If there is a time frame defined in the legislation this is indicated where it starts in the activity/ decision/ output by a: (\*).
- › The activities/ decisions/ outputs have been colour coded to indicate if it is:
  - Green = Recommended practice; and
  - Purple = Mandatory according to EU legislation.
- › References to legislation are placed next to the relevant activity/ decision/ output in a yellow box.
- › The following abbreviations are used for the legal references:
  - ID – Interoperability Directive (EU) 2016/797
  - IR – Regulation (EU) 2018/545
  - AIR – Regulation (EU) 2016/796
  - CSM – Regulation (EU) 402/2013
  - REG – Regulation (EU) 2019/250

#### List of flowcharts

Stage 1 – Preparation of the application

Stage 1 – Substage 1.1 – Identification of the relevant authorisation

Stage 1 – Substage 1.2 – Processing of the notification

Stage 2 – Pre-engagement

Stage 3 – Conformity assessment

Stage 4 – Submitting the application

Stage 5 – Processing the application

Stage 5 – Substage 5.1 – Arbitration

Stage 5 – Substage 5.2 – Review and appeal

Stage 6 - Final documentation

End of Stage 3 where:

- To correct a non conformity, there is a need to change the design, or request a non-application of TSIs and/or national rules; or
- CSM on risk assessment outcomes for requirements capture are not ok and the applicant agrees

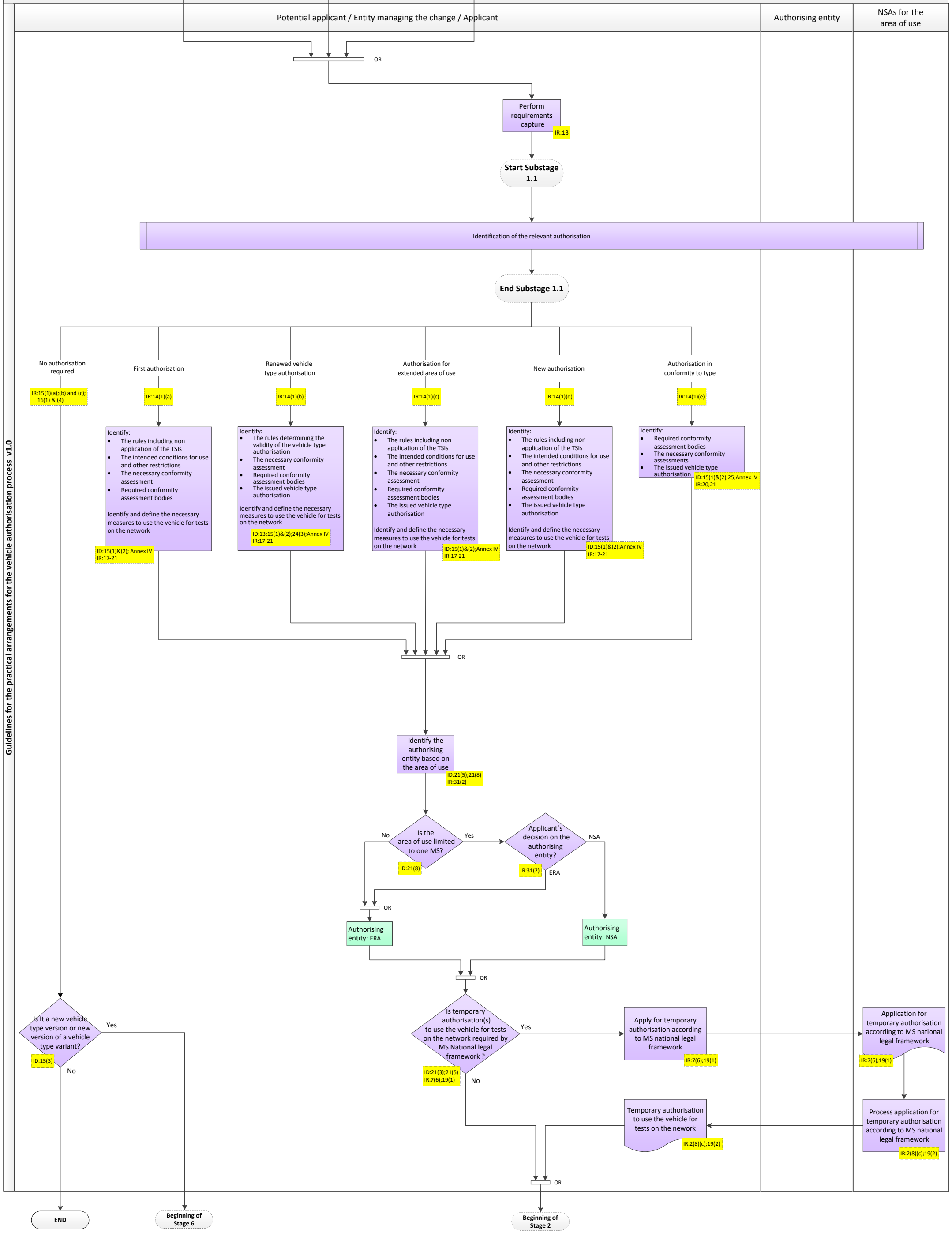
End of Stage 5 where:

- The application is not complete, or
- There is a negative appeal decision, or
- There is a need to perform additional assessments

**Legal route**  
 ID: Interoperability Directive (EU) 2016/797  
 IR: Implementing Regulation (EU) 2018/545

**Non mandatory / Common practice**

**Stage 1 – Preparation of the application**

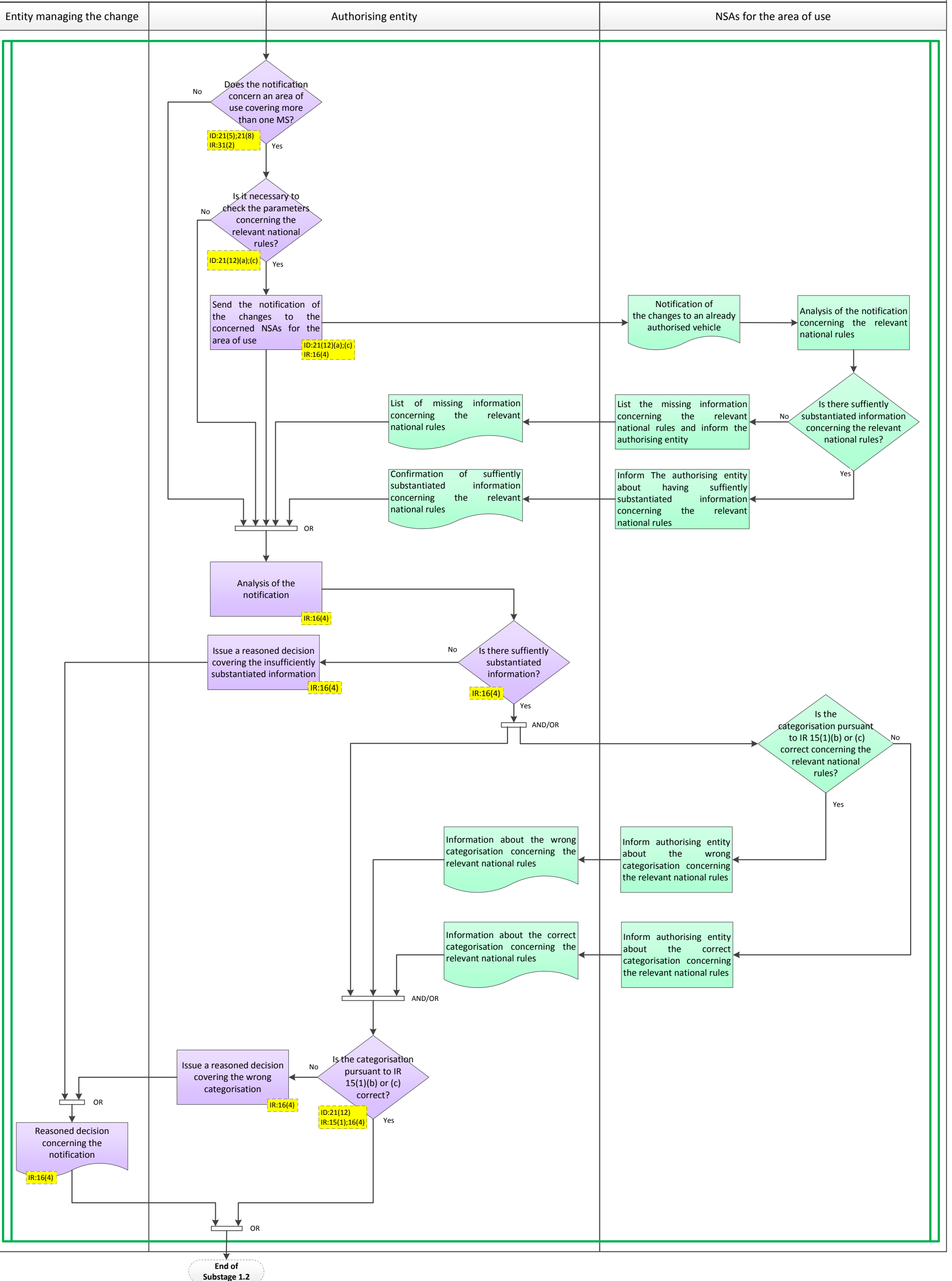


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# Stage 1 – Preparation of the application – Substage 2: Processing of the notification

Guidelines for the practical arrangements for the vehicle authorisation process v1.0



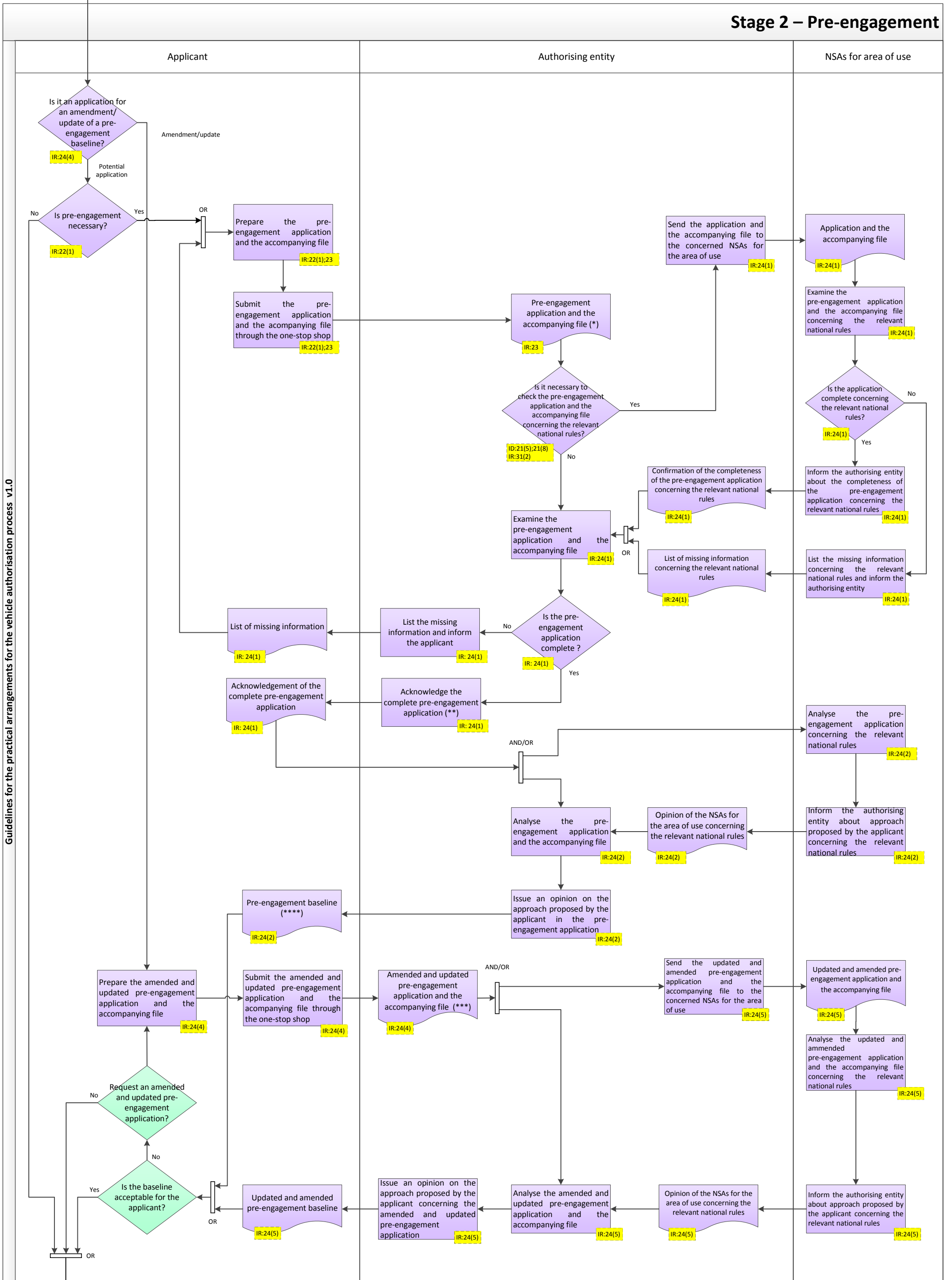
End of Substage 1.2

Timeline starts with:  
 (\*) 1 month, article IR 24(1)  
 (\*\*) 2 months, article IR 24(2)  
 (\*\*\*) 1 month, article IR 24(5)  
 (\*\*\*\*) 82 months, article IR 22(2)

**Legal route**  
**Non mandatory / Common practice**

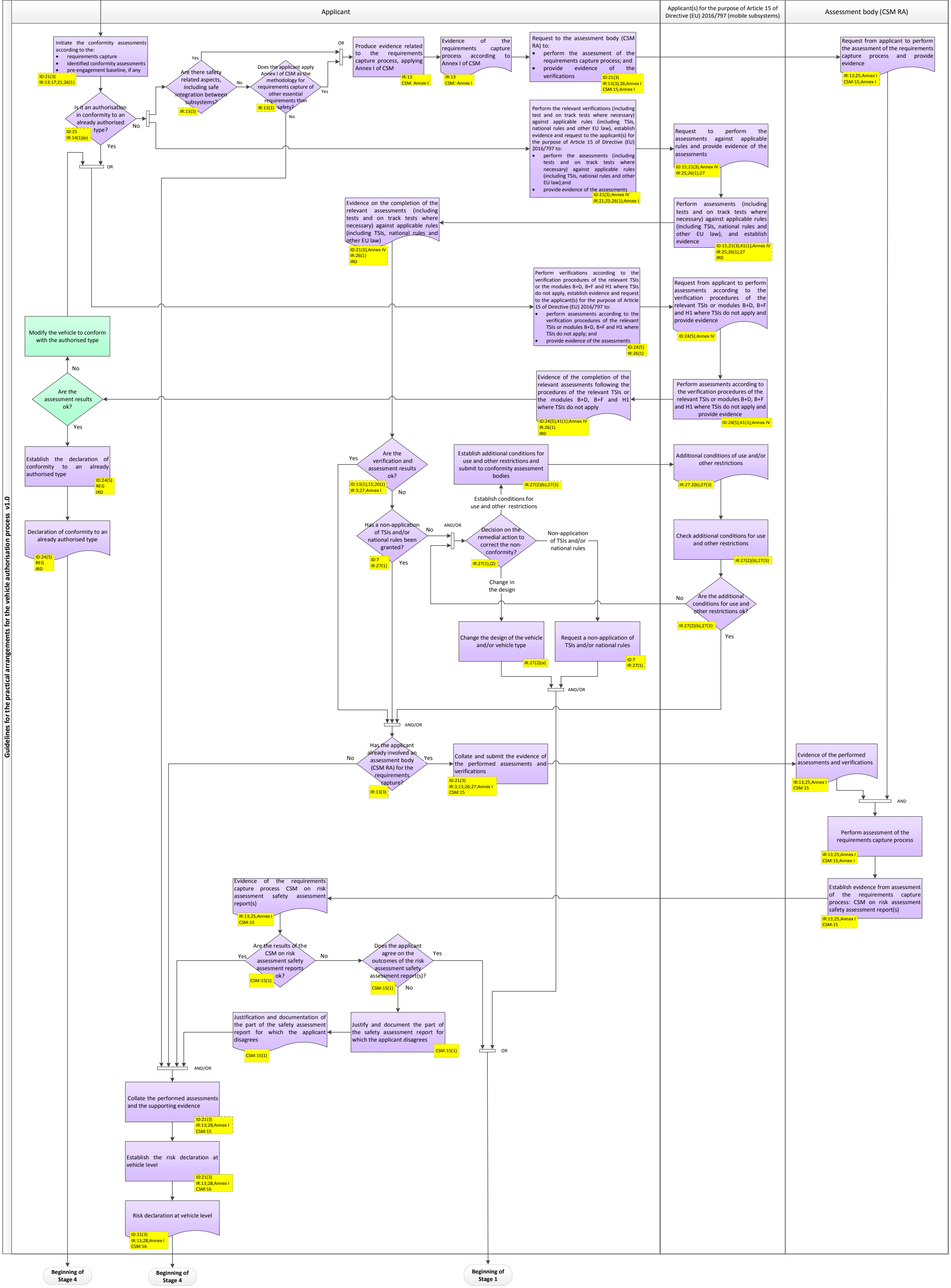
ID: Interoperability Directive (EU) 2016/797  
 IR: Implementing Regulation (EU) 2018/545

## Stage 2 – Pre-engagement



Beginning of Stage 3

### Stage 3 – Conformity assessment



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Beginning of Stage 4

Beginning of Stage 4

Beginning of Stage 1



End of Stage 3 for authorisation in conformity to an authorised type

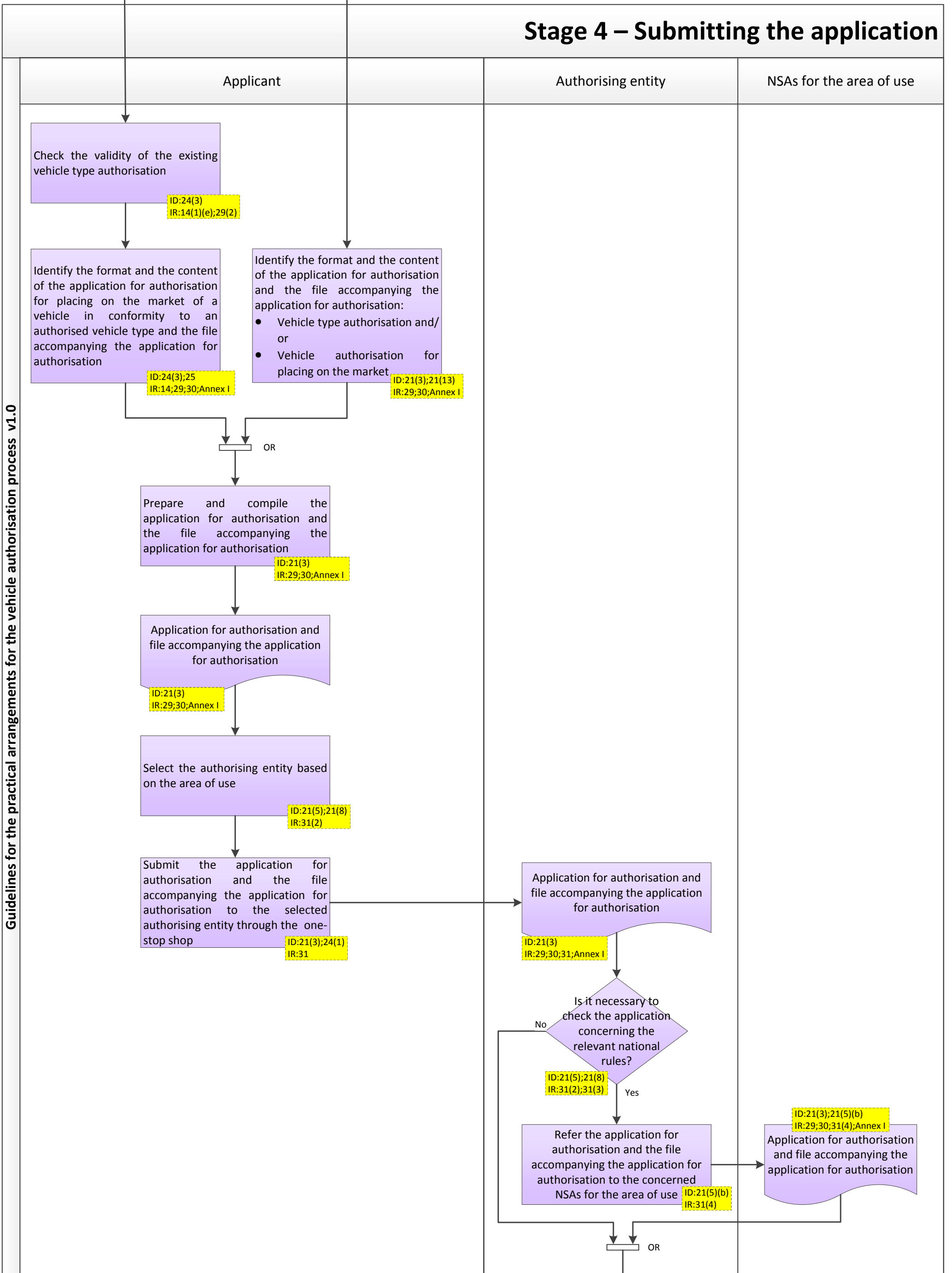
End of Stage 3 for all other cases

Legal route

ID: Interoperability Directive (EU) 2016/797  
IR: Implementing Regulation (EU) 2018/545

## Stage 4 – Submitting the application

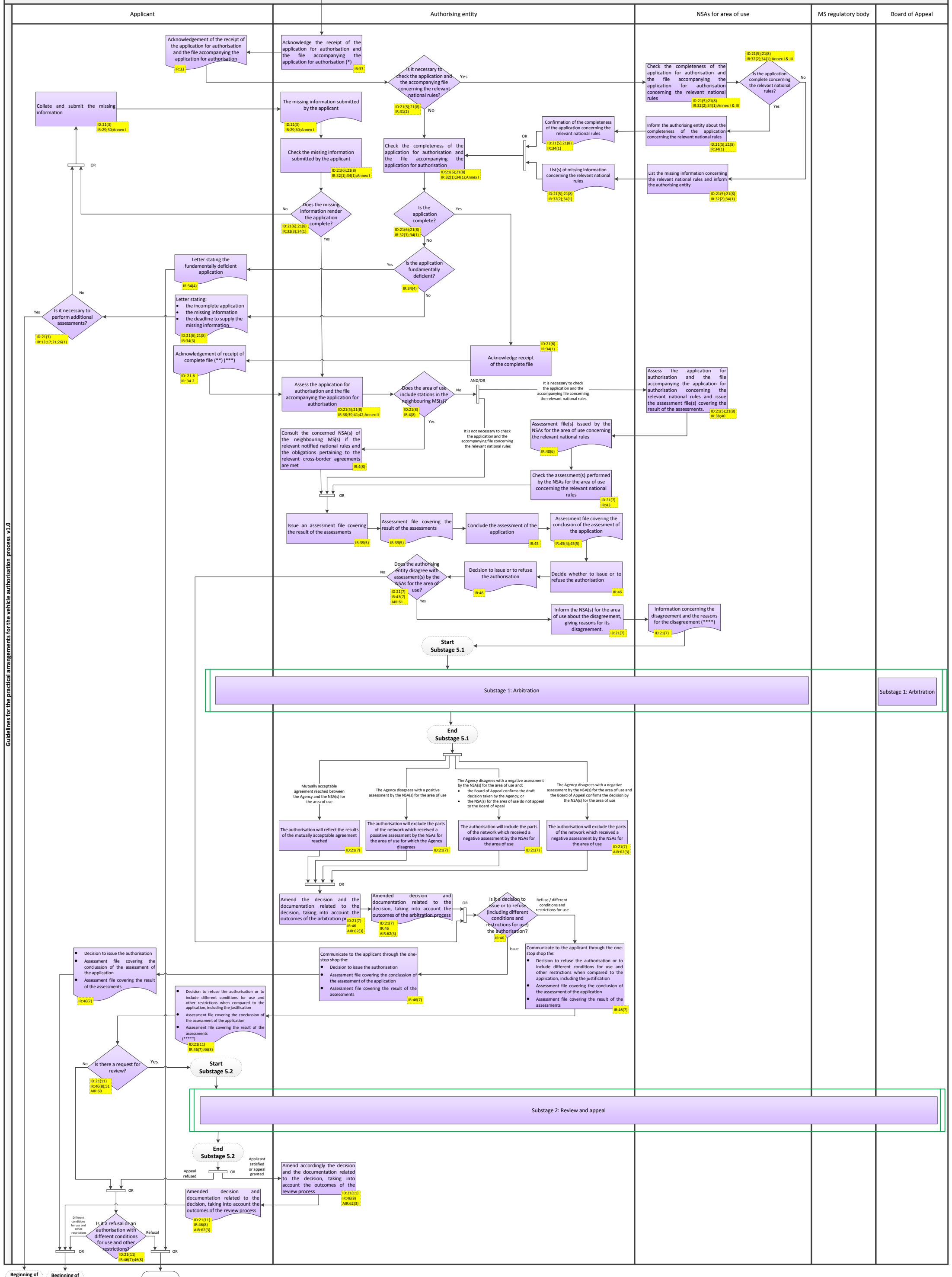
Guidelines for the practical arrangements for the vehicle authorisation process v1.0



Beginning of Stage 5



Stage 5 - Processing the application



Start Substage 5.1

Timeline starts from: (\*) 1 month, ID 21(7)

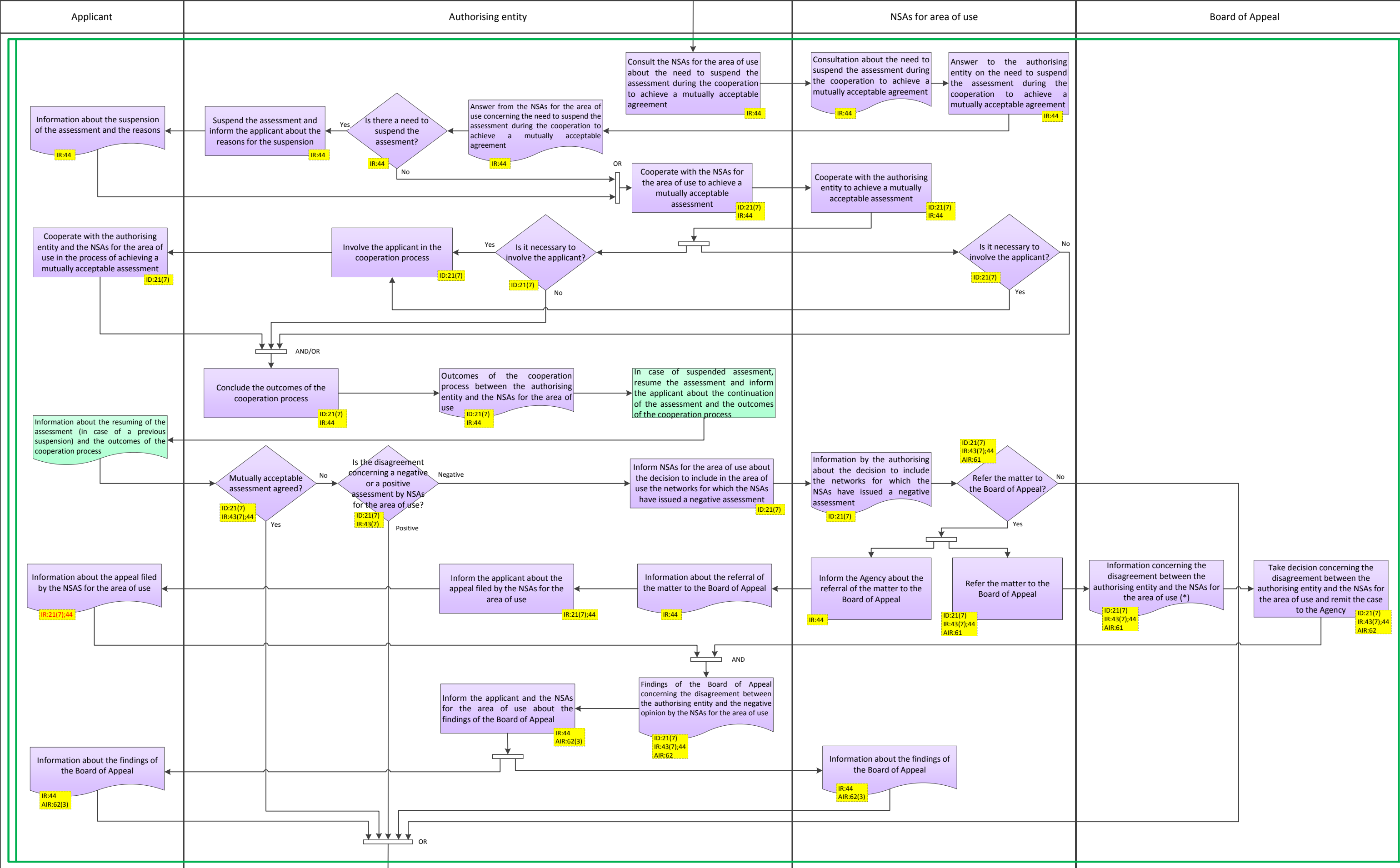
Non mandatory / Common practice

ID: Interoperability Directive (EU) 2016/797  
IR: Implementing Regulation (EU) 2018/545  
AIR: Implementing Regulation (EU) 2018/796

Legal route

### Stage 5 - Processing the application – Substage 1: Arbitration

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End Substage 5.1

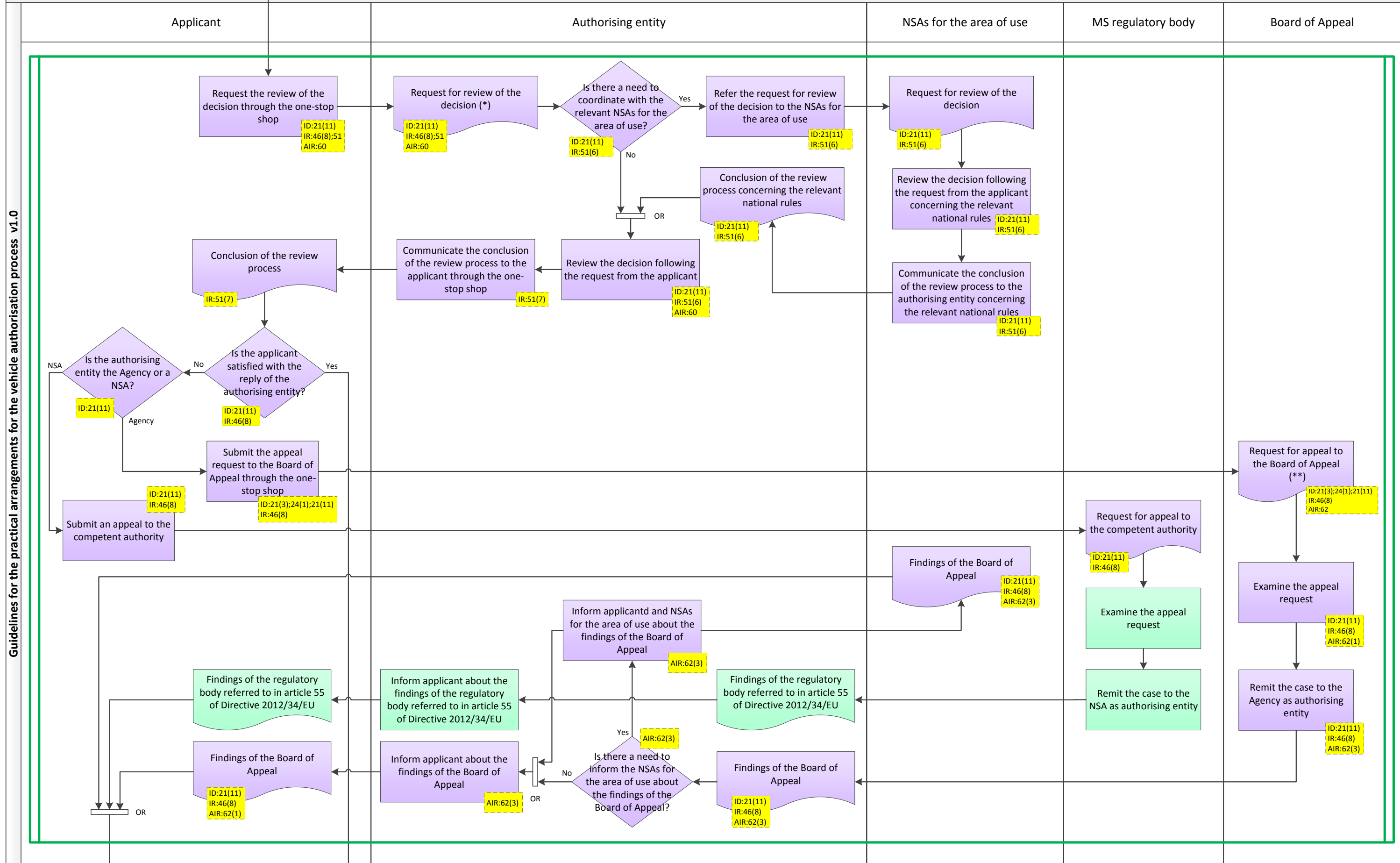
Timeline starts from:  
 (\*) 2 months, ID 21(11), IR 51(7)  
 (\*\*) 3 months, AIR 62

**Non mandatory / Common practice**  
**Legal route**

ID: Interoperability Directive (EU) 2016/797  
 IR: Implementing Regulation (EU) 2018/545  
 AIR: Regulation (EU) 2016/796

### Stage 5 - Processing the application – Substage 2: Review and appeal

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End Substage 5.2

End Substage 5.2

**Non mandatory / Common practice**  
**Legal route**

ID: Interoperability Directive (EU) 2016/797  
 IR: Implementing Regulation (EU) 2018/545  
 REG: Regulation 201/2011

End of Stage 1

End of Stage 5

**Stage 6 – Final documentation**

Guidelines for the practical arrangements for the vehicle authorisation process v1.0

