Compliance Assessment:
Simplification through harmonization for multi-national options

NAPCORE Mobility Data Days

November 9th, 2023

Agenda

Session Time: 10:15 – 11:30

Moderation: *Marinda Hall*

1. **Introduction** *(Damaris Anna Gruber, AustriaTech)*
   - Compliance Assessment: Context and Scope
2. **Input presentation** *(Wolfgang Kernstock, ASFINAG)*
   - Experiences, propositions and requirements based on the pilot trial carried out for Compliance Assessment
3. **Input presentation** *(Timo Hoffmann, Bundesanstalt für Straßenwesen)*
   - International Self-Declarations (and Compliance Assessment)
4. **Interactive work / Q&A with the audience**

Compliance Assessment: Context and Scope

Damaris Anna Gruber (AustriaTech)

National Access Points

- Different levels of service
- Overview of existing mobility data
- Data searchable, filterable and accessible
- Interoperability via common meta-data catalogue and use of common exchange formats
- Data/service description & description of quality
- No assessment of data foreseen

National Body/ Competent Authorities

- Responsible for compliance assessment
- Should collect self-declaration forms from all data/service providers
- Can address the stakeholders directly
- Can enforce data provision to the NAPs

Harmonisation in regard to compliance assessment / National Bodies

Achievements

- Developed (harmonized) maturity levels for National Bodies/Competent Authorities and rating
- Developed process for compliance assessment & random inspection
- Defined quality & evaluation criteria for compliance assessment and added to compliance assessment forms
- Refined, overworked, newly developed self-declaration forms for all Delegated Regulations
- Developed templates/forms for compliance assessment
- Developed templates for accompanying documents to collection information on registered data/services
- Started to identify strategies and actions to address relevant organisations to provide data on the NAPs
- Developed first draft of National Body Reference Architecture

Compliance Assessment Pilot Trial

Participants: 8 countries

Duration: Q2/2023

Coverage: all Delegated Regulations

Outcome:

- Process and Forms is well suited
- Activity remains to be a complex task
- All countries and participating organisations could complete the trial
- Feedback was incorporated and lead to a new set of documents

Harmonisation in regard to compliance assessment / National Bodies

Plans

- Implement strategies and actions to motivate data/service providers to register on the NAPs (showcase benefits)
- Contact and inform multi-national stakeholders in regard to the requirements of the delegated regulations
- Develop recommendations for national stakeholder engagement (e.g. FAQs, …)
- Develop options for multi-national submission of self-declarations
- Increased cooperation between the National Bodies/Competent Authorities for multi-national compliance assessment to ease up processes for data/service providers
- Work out non-compliance process (step-wise approach)
- Define multi-national enforcement measures in case of continuous non-compliance

Overarching objective/vision:

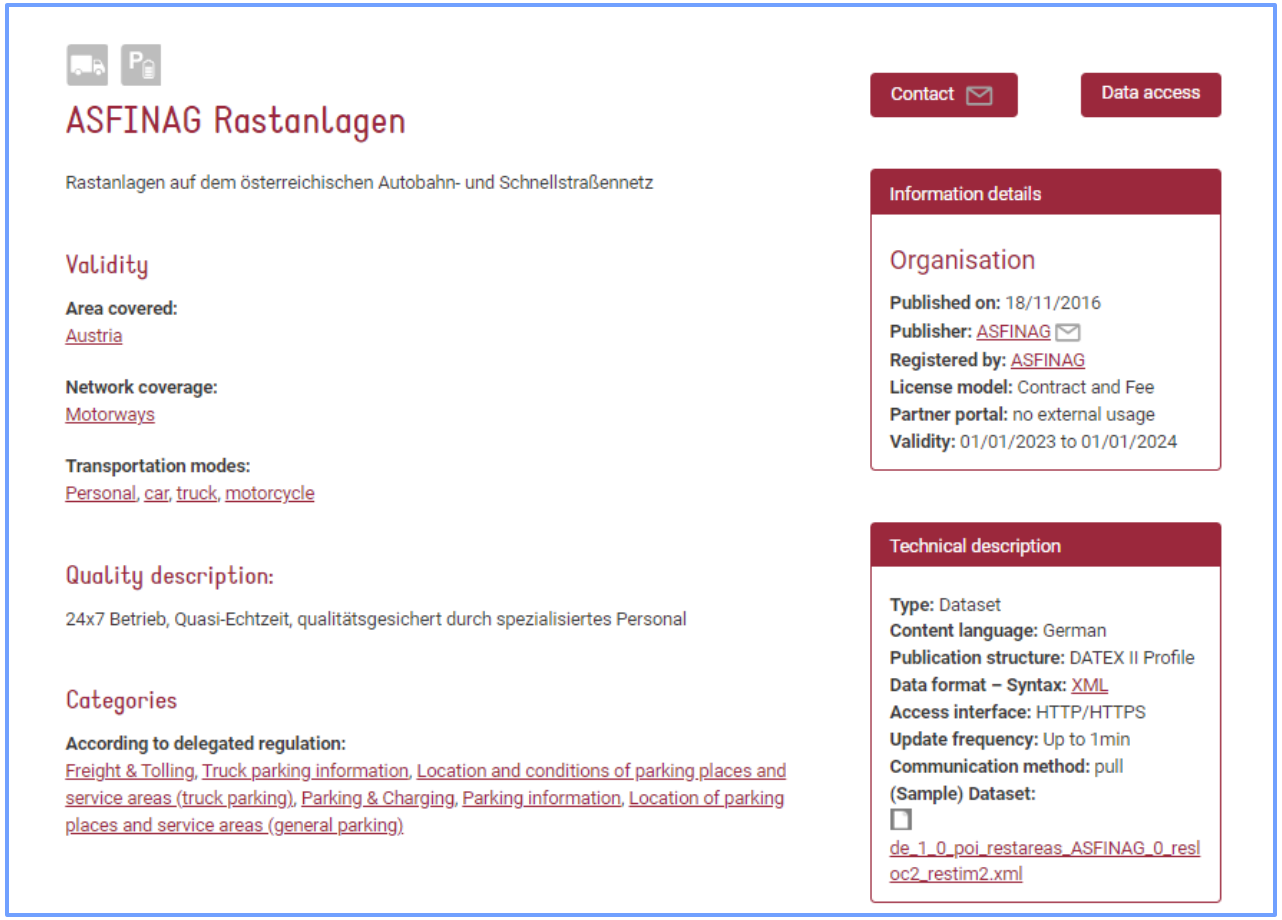
ensuring access to interoperable (data exchange formats!) and comparable (quality!) mobility data as basis and for the development of mobility services for users

Experiences, propositions and requirements based on the pilot trial carried out for Compliance Assessment

Wolfgang Kernstock (ASFINAG)

ASFINAG Data on the Austrian NAP

- First data sets published in 2016
- Currently more than 10 data sets (published by ASFINAG) on the NAP available (e.g. SRTI, roadworks, rest areas…)



ASFINAG Rastanlagen

Contact | Data access

Rastanlagen auf dem österreichischen Autobahn- und Schnellstraßennetz

Validity

Area covered:
Austria

Network coverage:
Motorways

Transportation modes:
Personal, car, truck, motorcycle

Quality description:

24x7 Betrieb, Quasi-Echtzeit, qualitätsgesichert durch spezialisiertes Personal

Categories

According to delegated regulation:
Freight & Tolling, Truck parking information, Location and conditions of parking places and service areas (truck parking), Parking & Charging, Parking information, Location of parking places and service areas (general parking)

Information details

Organisation

Published on: 18/11/2016
Publisher: ASFINAG
Registered by: ASFINAG
License model: Contract and Fee
Partner portal: no external usage
Validity: 01/01/2023 to 01/01/2024

Technical description

Type: Dataset
Content language: German
Publication structure: DATEX II Profile
Data format – Syntax: XML
Access interface: HTTP/HTTPS
Update frequency: Up to 1min
Communication method: pull
(Sample) Dataset:
de_1_0_poi_restareas_ASFINAG_0_resloc2_restim2.xml

Pilot Trail (ASFINAG)

- Pilot Trail related to the ASFINAG data took place in April/May – Following data sets were used:
  - SSTP (Delegated Regulation (EU) No. 885/2013) – published 18/11/2016
  - SRTI (Delegated Regulation (EU) No. 886/2013) – published 09/01/2023
  - RTTI (Delegated Regulation (EU) 2015/962) – published 08/01/2020
- Process:
  - Access to the data sets (Request to get the data via the NAP)
  - Questionnaire(s) to ASFINAG from Austrian NB related to the data
  - NB analysed the information on the NAP with the available ASFINAG data
  - Feedback from NB to ASFINAG (including recommendations)

Results and Findings

- Current process sometimes complex – not clear what is meant (Examples might help – e.g. filled in questionnaire(s))
- Completeness of information for some data sets currently not available ➔ Improvements necessary
- Some data sets were published >5 years ago, possible changes were not updated on the NAP (e.g. licence model) ➔ Reminder (yearly) "Is the information related to your data still valid?"
- Problems to our content portal (https://contentportal.asfinag.at/) were highlighted. Internal improvement process started based on the pilot trail.

International Self-Declarations (and Compliance Assessment)

Timo Hoffmann (Bundesanstalt für Straßenwesen)

Self-Declarations / Compliance Assessments of the National Bodies in Europe

- Self-Declarations (SD) are to be submitted to the National Bodies of those Member States in which the data provider makes data availbable (or a service provider is active)
- The Compliance Assessment (CA) process is handled by the National Bodies individually
- Is this really the way this should work?

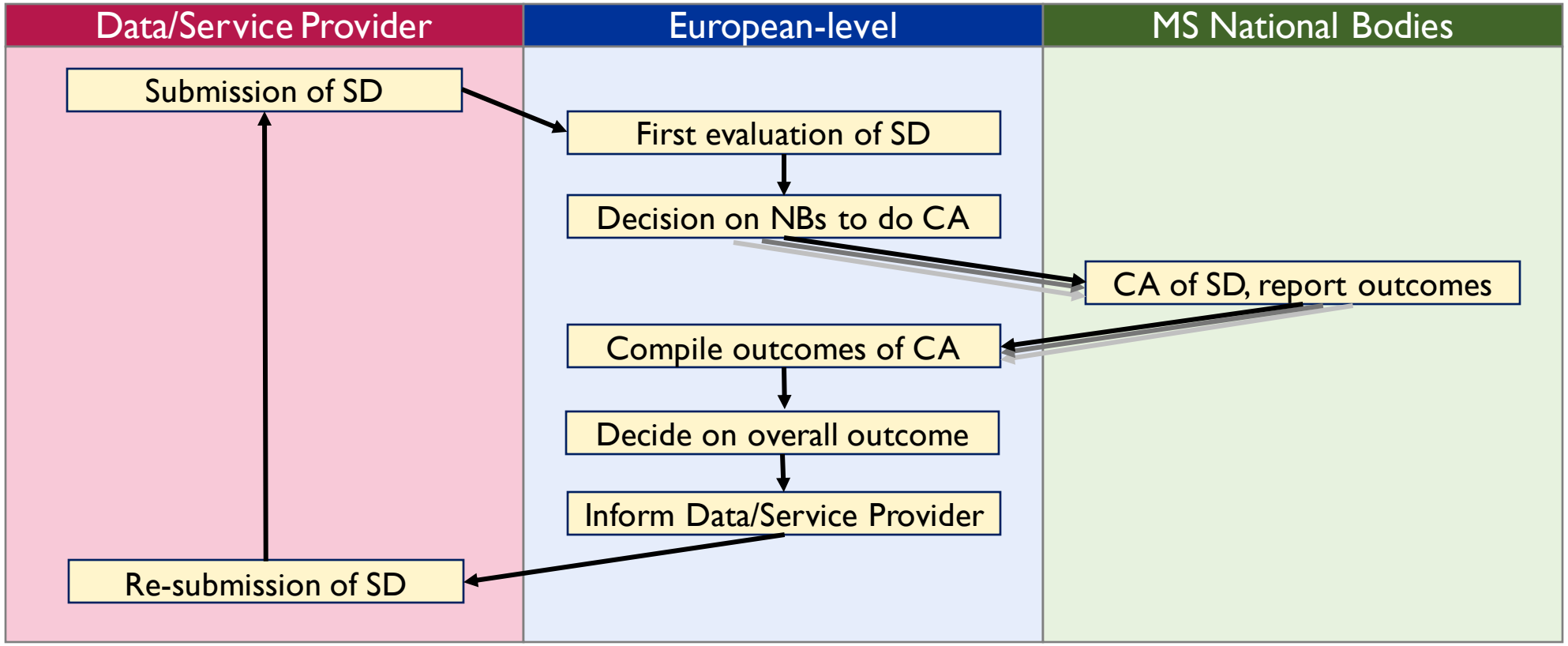
Dimensions to consider

- How does the data look like:
  - Individual data sets per Member State?
  - One, international data set covering multiple Member States?
- Where is the data made available:
  - At each National Access Point?
  - At one place only with references at each of the NAPs?
  - At a European Access Point?

Dimensions to consider

- Where should the self-declaration be submitted?
  - At each National Body the data covers?
  - At one National Body (e.g. where the HQ of the organisation is)?
  - At a European Body?
- Who should do the compliance assessments:
  - Each National Body individually?
  - One National Body as lead, others can make us of outcome?
  - A European Body?

Potential European-level SD & CA



- To consider and discuss!
- Still legal, organisational and technical challenges!

Interactive work / Q&A with the audience

- Digital process for Compliance Assessment and Self-Declaration
  - How would stakeholders imagine a system to submit Self-Declarations and the communication with the National Body?
  - How to cooperate to ease up the process of Compliance Assessment?
  - Which opportunities and obstacles do you see of multi-national compliance assessment?
- Opportunities of Compliance Assessment
  - Which opportunities do you see regarding the Compliance Assessment by National Bodies?
  - What role do you see in future options of (European) enforcement in case of non-compliance?
  - What do you think about, putting the output of the compliance assessment as quality label in future?