

ECM certification

Application guide with additional explanations

Sectoral Accreditation Scheme

Version: 1.2.
Date: 23/02/2012
Status: final document
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File: ERA-GUI-10-2011-SAF- ECM certification – guide Sectoral Accreditation Scheme v1
2.pdf

Change Control

Version No	Changed Section	Date	Description of Change
0.1	All new	22/12/2010	
0.2	All	23/02/2011	Comments of ECM working group and Safe Cert sector ERA internal working doc only. Not for dissemination.
0.3	All	25/05/2011	Separation ECM certification scheme ERA internal working doc only Not for dissemination.
0.4	3.2.	01/06/2011	After EA informal consultation (COFRAC)
0.5	All	14/06/2011	After ECM working group meeting ERA internal document only. Not for dissemination.
0.6	All	12/07/2011	Draft for consultation
1.0	All	28/10/2011	Final document after consultation
1.1	3.4	20/02/2012	Integration of EA comment ERA internal document only. Not for dissemination.
1.2	3.4.	23/02/2012	Integration of EA comment

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Sectoral accreditation scheme

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A. Preliminaries

This document contains guidelines to be used by National Accreditation Bodies when assessing certification bodies performing ECM certification in conformity with the ECM Regulation.

Additional comments explaining this application guide further are presented in blue throughout the document.

B. Guidelines

1. INTRODUCTION

This document aims at providing to the National Accreditation Bodies the necessary common rules to accredit Certification Bodies who will deliver the certification of the entities in charge of Maintenance (ECM certification) against the specified requirements of the Commission Regulation *445/2011 of 10/05/2011 on a system of certification of the entity in charge of maintenance for freight wagons and amending Regulation (EC) No 653/2007* (ECM regulation).

The Sectoral (ECM) Accreditation scheme shall be compliant with the Regulation n° 765/2008 of the European Parliament and of the Council of 9 July 2008 *setting out the requirements for accreditation and market surveillance relating to the marketing of products and repealing Regulation (EEC) No 339/93*.

2. REFERENCE DOCUMENTS AND DEFINITIONS

2.1. Reference documents

2.1.1. Legal texts

1) 'Safety Directive' means the *Directive 2004/49/EC OF the European Parliament and of the Council of 29 April 2004 on safety on the Community's railways and amending Council Directive 95/18/EC on the licensing of railway undertakings and Directive 2001/14/EC on the allocation of railway infrastructure capacity and the levying of charges for the use of railway infrastructure and safety certification and all amendments.*

Note: It includes of course all the amendments published until the date of this document.

2) 'ECM regulation' means the *Regulation 445/2011 of 10/05/2011 on a system of certification of entities in charge of maintenance for freight wagons and amending Regulation (EC) No 653/2007 (ECM regulation).*

Note: It includes of course all the amendments published until the date of this document.

3) *Regulation n° 765/2008 of the European Parliament and of the Council of 9 July 2008 setting out the requirements for accreditation and market surveillance relating to the marketing of products and repealing Regulation (EEC) No 339/93.*

Note: It includes of course all the amendments published until the date of this document.

4) 'Interoperability Directive' means *DIRECTIVE 2008/57/EC OF the European Parliament and of the Council of 17 June 2008 on the interoperability of the rail system within the Community (Recast)*

2.1.2. Other reference documents

1) **EN 45011:1998** General requirements for bodies operating product certification systems (ISO/IEC Guide 65:1996)

2) **EN ISO/IEC 17021:2011** Conformity assessment -- Requirements for bodies providing audit and certification of management systems

3) **ISO/IEC 17007:2009** Conformity assessment -- Guidance for drafting normative documents suitable for use for conformity assessment

4) **EA 2/11:** EA Policy, Criteria and Procedure for the Evaluation and Recognition of sectoral Conformity Assessment Schemes for inclusion in the EA MLA

5) Application guide :**ECM certification scheme** (version 1.0 of 21/10/2011)

6) Application guide: **Maintenance Workshop certification scheme** (version 1.0 of 21/10/2011)

Explanation

Specific certification schemes addressing other separate maintenance functions than maintenance workshops certification will be provided by ERA in 2012. They shall in any case apply the principles stated in article 8 and annex I of the ECM Regulation, which can be used by national accreditation bodies for the certification of separate maintenance functions before these specific schemes are available.

2.2. Definitions

The definitions of the Safety Directive and the ECM Regulation are applicable. The definitions of EN ISO 9000:2005 are applicable.

To ensure a good and clear understanding of this document, the following definitions are repeated here:

(a) Accreditation

means accreditation as defined in Article 2(10) of Regulation (EC) No 765/2008 of the European Parliament and of the Council

(b) Certification committee

means the Committee established by the certification body for delivering an opinion on which the certification decision is taken by the certification body.
(ECM certification scheme-Maintenance workshop certification scheme)

(c) Certification decision

Granting, continuing, expanding the scope of, and reducing the scope of, suspending, restoring, withdrawing or refusing certification.

NOTE A certification scheme can utilize some or all of these types of certification decisions.

(ISO)

(d) Certification scheme

According to ISO, certification scheme means certification system related to specified products, to which the same specified requirements, specific rules and procedures apply. According to EN 45011:1998, products must be understood as manufactured products, services or processes.

(e) Certification scheme owner

Individual or organisation which is responsible for developing and maintaining a certification scheme.

NOTE 1 The certification scheme owner can be the certification body itself, a governmental authority or other.

(ISO)

NOTE 2 For accreditation, the scheme owner is ERA

(f) Certification system

Rules, procedures, and management for carrying out certification.
(ISO)

(g) Conformity assessment system

Rules, procedures and management for carrying out conformity assessment

NOTE Conformity assessment systems may be operated at international, regional, national or sub-national level.

(ISO)

(h) Conformity assessment scheme - Conformity assessment programme

Conformity assessment system related to specified objects of conformity assessment, to which the same specified requirements, specific rules and procedures apply
(ISO)

(i) European Co-operation for accreditation (EA)

means the European association of national accreditation bodies recognised against the European Regulation 765/2008. All Member states of the European Union are members of EA.

(www.european-accreditation.org)

(j) EA Multi-Lateral Agreement (EA MLA)

means the agreement signed between the EA accreditation body members to recognise the equivalence, reliability and therefore acceptance of accredited certifications, inspections, calibration certificates and test reports across Europe.

(k) Entity in charge of maintenance (ECM)

means an entity in charge of maintenance of a vehicle, and registered as such in the national vehicle register.

(ECM regulation)

(k) European Identification Number

Means the number for which the structure is ruled by Appendix 2 of COMMISSION DECISION 2007/756 (EC) of 9 November 2007 adopting a common specification of the national vehicle register provided for under Articles 14(4) and (5) of Directives 96/48/EC and 2001/16/EC (including amendments)

(l) European Railway Agency (ERA)

means the European Institution providing the EU Member States and the Commission with technical assistance in the fields of railway safety and interoperability.

ERA is established and ruled by the Regulation (EC) No 881/2004 of the European Parliament and of the Council of 29 April 2004 establishing a European Railway Agency (including all amendments)

(m) Freight wagon

means a non-self-propelled vehicle designed for the purpose of transporting freight or other materials to be used for activities such as construction or infrastructure maintenance
(ECM regulation)

(n) Maintenance workshop

means a mobile or fixed entity composed of staff, including those with management responsibility, tools and facilities organised to deliver maintenance on vehicles, parts, components or sub-assemblies of vehicles (ECM regulation).

(o) National safety authority (NSA)

means a safety authority as defined in Article 3(g) of Directive 2004/49/EC;

(p) Process

Set of interrelated or interacting activities which transforms inputs into outputs. (ISO)

(q) Product

Result of a process.

NOTE 1 Four generic product categories are noted in ISO 9000:2005: services (e.g. transport); software (e.g. computer program, dictionary); hardware (e.g. engine, mechanical part); processed materials (e.g. lubricant).

Many products comprise elements belonging to different generic product categories. Whether the product is then called service, software, hardware or processed material depends on the dominant element.

NOTE 2 Products include results of natural processes such as growth of plants and formation of other natural resources.

(ISO)

(r) Separate maintenance function

refers to entities performing limited scope of maintenance activities as considered in the ECM Regulation (in particular article 8 and annex I)

2.3. Abbreviations

CSM	Common Safety Methods
EA	European Co-Operation for Accreditation
EA (MLA)	EA Multi-Lateral Agreement
ECM	Entity in Charge of Maintenance
EN	European Norm
ERA	European Railway Agency (scheme owner)
GCU	General Contract of Use
IAF	International Accreditation Forum
(IAF) MD	Mandatory document of IAF
IM	Infrastructure Manager
ISA	Independent Safety Assessment Body
ISO	International Organization for standardization
NDT	Non-Destructive Test

NVR	National vehicle Register
OTIF	Intergovernmental Organisation for International Carriage by Rail
RID	Regulation concerning the International Carriage of Dangerous Goods by Rail
RU	Railway undertaking

3. SECTORAL ACCREDITATION SCHEME

The European Railway Agency (ERA) is the scheme owner in consistency with the rules of EA.

Explanation

The scheme owner is the entity who requests for sectoral accreditation scheme against the EA rules.

According to the article 13(2a.) of regulation n° 765/2008, the European Commission should be the scheme owner.

In relation to the ECM regulation, ERA proposes to be the scheme owner on behalf of the European Commission.

As stated in article 13(2a), ERA shall address scheme proposals to the EU Commission (DG MOVE) for presentation to relevant Committees (at least RISC- Railway Interoperability and Safety Committee).

This section considers:

- The objectives of the accreditation
- The scope of the accreditation
- The requirements for accreditation

3.1. Objectives of the accreditation

The accreditation aims at ensuring the competence of certification bodies to perform certification activities¹ stated in the ECM Regulation. Competence of certification bodies is not limited to technical competence but includes also non-technical competence and other elements stated in annex II of the ECM Regulation, necessary to perform the assessment and delivery of certification stated in the ECM Regulation and in the ECM certification scheme.

Explanation

The technical competence is related to the railway technical domain relevant to the maintenance of freight wagons.

The non-technical competence is related to the certification aspects such as methods to organise and conduct assessments including audits and inspections.

The other elements stated in annex II of the ECM Regulation are independence, impartiality, responsibility, openness, confidentiality, responsiveness to complaints and aspects linked to documented organisation, liability and financing.

The accreditation aims also at supporting the equivalence between certificates delivered according to the ECM regulation.

¹ It includes the certification of ECM, maintenance workshops and separate maintenance functions delivered in conformity with the ECM Regulation.

This ECM accreditation scheme shall be applied in all countries where the EA MLA is in force.

Explanation

According to EA rules, a sectoral accreditation scheme validated by EA shall be applied in all countries who signed the EA MLA. For ECM certification against the ECM Regulation, the sectoral accreditation scheme is called '*ECM accreditation scheme*'

3.2. Scope of the accreditation

The accreditation addresses the two kinds of certification defined in the ECM Regulation:

- the certification of Entity in Charge of Maintenance; and
- the certification of Separate Maintenance Function including the certification of Maintenance Workshop

These two kinds of certification are described in detailed manner in the ECM certification scheme (version 1.0 of 28/10/2011).and in the maintenance workshop certification scheme (version 1.0 of 28/10/2011).

The certification body may choose to be accredited for one or several kinds of certification. The accreditation related to the certification of Entity in Charge of Maintenance covers automatically the certification of separate maintenance functions.

Explanation

1) The ECM maintenance system contains the four functions described in the article 4 of the ECM regulation.

The ECM internal maintenance functions, - i.e. maintenance development, fleet maintenance management and maintenance delivery-, may perform activities only for their own ECM or may also provide services to other ECMs

For providers of separate maintenance functions, it is reasonable to consider that they intend to provide services to several ECMs.

The certification bodies have to take into account, within their assessments, this additional complexity of providing services to several entities leading to additional risks for safety. Additional risks are related to multiplication of different channels for exchanging information and to the coverage of various different customers' requirements.

Nevertheless the certification processes remain similar in all cases.

To conclude, the applicant has to define with precision for which scope of activities he wants to be certified against the ECM Regulation. The certification body has to take care to this requested scope.

Consequently the national accreditation body has also to integrate the complexity mentioned here above in its assessment of the certification body. But the assessment processes implemented by the accreditation body remain similar in all cases.

Therefore it is reasonable to consider that a certification body accredited to deliver certifications to ECMs is also capable to take care of the complexity related to certifications of separate maintenance functions.

2) Separate maintenance functions include also the management function applied to the scope of activities of the applicant in conformity with article 8 and annex I of the ECM Regulation.

3.3. Requirements for accreditation

Having considered the ECM regulation and the ECM certification scheme, the certification body shall be accredited against EN 45011:1998 with the following specific requirements:

- 1) a) For the certification of Entity in Charge of Maintenance, the certification process shall be compliant with the ECM certification scheme (version 1.0 of 28/10/2011). Therefore the certification process is also compliant with section 9 of EN ISO/IEC 17021:2011.
 - b) For the certification of Separate Maintenance Functions including the certification of maintenance workshop, the certification process shall be compliant with the applicable sections of the ECM certification scheme (version 1.0 of 28/10/2011) and the Maintenance workshop certification scheme (version 1.0 of 28/10/2011). Therefore the certification process is also compliant with section 9 of EN ISO/IEC 17021:2011.
- 2) The section 7 of EN ISO/IEC 17021:2011 related to requirements addressing the competences of persons shall be applied in addition to the section 3.4 of this document.

3.4. Specific competences requirements

The specific requirements describes in this section address the personnel involved in:

- the **management and performance of assessment** (assessment team of the certification body performing the certification of Entities in Charge of Maintenance and/or Separate Maintenance Functions); and
- the **certification** (Certification Committee of the certification body performing the certification of Entities in charge of maintenance and/or Separate Maintenance Functions).

These specific requirements complete the requirements addressed in the section 7 including the annex A of EN ISO/IEC 17021:2011

3.4.1. Assessment team of the certification body performing the certification of Entities in Charge of Maintenance and/or Separate Maintenance Functions

3.4.1.1. Knowledge of the European railway sector

The members of the assessment team shall have basic knowledge of the European railway legal framework including safety and interoperability aspects.

In particular they shall have knowledge on:

- Safety Directive and Interoperability Directive;

- CSMs compliant with the article 6 of the Railway Safety Directive;
- ECM Regulation;
- technical specifications for interoperability according to the Interoperability Directive; and
- European legislation applicable to transport of dangerous goods
[Explanation: For instance RID.](#)

They shall also have knowledge of documents which are used to support this European railway legal framework

[Explanation](#)

[For instance, ERA publications, implementation guides, guidelines, International standards relevant to maintenance of freight wagons and risk assessment.](#)

It is not required that each member of the assessment team has a deep knowledge of the European railway sector as mentioned here above but the composition of the assessment team shall be well balanced to ensure its competence for performing assessment in consistency with the ECM Certification Scheme and/or the Maintenance workshop Certification Scheme.

In case the certification body cannot ensure that the deep knowledge of European railway sector as mentioned here above is met by the assessment team, it shall identify and implement the necessary support activities to assure that the assessment team is competent. To achieve this, the certification body shall have procedures.

[Explanation](#)

[All the knowledge of the European railway sector required may lead to set-up an assessment team composed of too many members. This could impair the economic sustainability of the ECM certification.](#)

[Therefore the certification body has two choices:](#)

- [the assessment team is composed of a number of persons sufficient to cover the list here above; or](#)
- [the certification body provides the necessary support to the assessment team to mitigate insufficient knowledge of assessment team.](#)

[In both cases, the certification body has to have documented procedures.](#)

3.4.1.2. Knowledge and skills addressing the maintenance of freight wagons

1) Base training and professional experience

Each member of the assessment team shall comply with one of the four following requirements related to base training and professional experience:

- Professional experience minimum 9 years; or
- Secondary school degree in mechanical and professional experience minimum 7 years; or
- Bachelor² degree in engineering and professional experience minimum 5 years; or
- Master³ degree in engineering, sciences or business management and professional experience minimum 3 years

² *Bologna process terminology*

The professional experience required here above shall be at least 3 years in one of the following areas:

- maintenance of railway freight wagons or (other) railway vehicles in maintenance development, fleet maintenance management or maintenance delivery; or
- design and manufacturing of railway vehicles⁴; or
- assessment of maintenance system, staff or processes in other sectors such as automotive, civil aviation, energy, building technical equipments, industrial mechanical equipments, ...; or
- assessment or management of welding activities or non-destructive tests activities;

At least one member of the assessment team has a strong proven professional experience of 3 years in maintenance of railway vehicles (management and engineering) among which 1 year in maintenance of freight wagons.

At least one member of the assessment team has a strong proven professional experience of 1 year in risk management.

When required, the remaining period of professional experience in addition to the 3 years mentioned here above should be in positions related to:

- design and manufacturing of railway vehicles; or
- design, manufacturing or maintenance in automotive industry; or
- design, manufacturing or maintenance in civil aviation; or
- design, manufacturing or maintenance in steel industry (industrial equipments); or
- design, manufacturing or maintenance of energy production plant; or
- design, manufacturing or maintenance of technical equipments in building sector; or
- design, manufacturing or maintenance in other mechanical industry

Explanation.

This last § doesn't apply to persons who have a Master degree in engineering, sciences or business management for which the experience criteria is limited to 3 years.

2) Knowledge on maintenance

The members of the assessment team shall have deep knowledge of

- ECM activities:
 - Existing rules and relevant documents specific for assessing and delivering certificates to ECMs
 - Transitional measures such as certification against the MoU *establishing the basic principles of a common system of certification of entities in charge of maintenance for freight wagons of 14 May 2009* and industry's self declaration framework.

³ Bologna process terminology

⁴ A railway vehicle is a composition of several structural subsystem according to the Interoperability Directive.

- Guides, recommendations and main maintenance plans which may be used as reference in order to set up an ECM maintenance file

Explanation

For instance: VPI recommendation, NSA publications, former RU maintenance plan when RU acted as registering entity imposing maintenance, railway vehicles EN standards).

- Welding rules and good practises, particularly standard EN 15085, or equivalent, such as EN 287,
- Non Destructive Tests rules and good practises, including standard EN 473 or equivalent
- Braking system: technology, design rules and maintenance including international or industry standards
- Wheelset, running gear and draw gear technology, design rules and maintenance including international or industry standards

It is not required that each member of the assessment team has this deep knowledge as mentioned here above but the composition of the assessment team shall be well balanced to ensure its competence for performing assessment and delivery of relevant assessment reports as stated in the ECM certification scheme.

In case the certification body cannot assure that the full knowledge as mentioned here above is met by the assessment team, it shall identify and implement the necessary support activities to ensure that the assessment team is competent. To achieve this, the certification body shall have procedures.

3.4.1.3. Knowledge and skills addressing assessment principles, practise and techniques and knowledge of specific standards

The members of the assessment team shall have knowledge and skills in

- Assessment and certification of management systems as ruled by international standards and/or industry standards relevant to railway

Explanation

International standards such as EN ISO/IEC 9001:2008 or EN ISO/IEC 14001:2004.
Industry standard such as IRIS developed by UNIFE.
EN 50126:1999E, EN 50128:2001E, EN 50129:2003E

- Inspections as ruled by international standards

Explanation

For instance, EN ISO/IEC 17020:1998

It is required that each member of the assessment team has a basic knowledge of at least one of the following standards: ISO 9001:2008, ISO14001:2004 and ISO 17020:1998.

But It is not required that each member of the assessment team has deep knowledge and skills mentioned here above but the composition of the assessment team shall be well balanced to ensure its competence for performing assessment and delivery of relevant assessment reports as stated in the ECM certification scheme.

3.4.1.4. Language skills

Each member of the assessment team shall have the necessary language skills in consistency with the ECM certification scheme.

Each member of the assessment team has a B2 level for at least one of the agreed languages for the assessment in consistency with the ECM Certification Scheme or the Maintenance Workshop Certification Scheme

The composition of the assessment team shall be well balanced to assure its competence in all languages agreed for the assessment.

Explanation

B2 is described in the European classification related to language skills developed by the European Institutions.

This B2 level may be assessed by a third party. For instance the European Commission qualifies assessment centres for assessing and delivering languages certificates in conformity with the European classification.

The B2 level may be directly evaluated by the certification body against documented procedures.

3.4.2. Certification Committee

3.4.2.1. Knowledge of the European railway sector

At least one member of the Certification Committee has a deep knowledge of the European railway legal framework.

3.4.2.2. Knowledge and skills addressing the maintenance of freight wagons

At least one member of the Certification Committee has a strong proven professional experience of 7 years in maintenance of railway vehicles (management or engineering) among which 5 years in maintenance of freight wagons are required.

3.4.2.3. Knowledge and skills addressing assessment principles, practise

At least one member of the Certification Committee has a strong proven experience in management and/or product certification preferably in industrial sectors.

3.4.1.3. Language skills

For each submitted dossier, the members of the Certification Committee have sufficient language skills to understand all assessment reports. B2 level⁵ in reading skill is required.

⁵ B2 level according to the European classification.

4. Identification

The Accreditation Body shall identify each decision on accreditation, i.e. delivery, revocation or suspension, in conformity with the European Identification Number (EIN)

The EIN structure is ruled by Appendix 2 of COMMISSION DECISION of 9 November 2007 adopting a common specification of the national vehicle register provided for under Articles 14(4) and (5) of Directives 96/48/EC and 2001/16/EC (including amendments)

Structure of EIN

The EIN is structured as **XY/ab/cdef/ghij** where

The identification of the certificate includes the identification of the certification body.

The decision on accreditation will be identified by an EIN and delivered by the accreditation body.

'**XY**' = Country Code of the accreditation body.

'**ab**' = '30'

'**cd**' = counter that identifies the accredited body. From '01' to '99'

'**ef**' = year when the decision on accreditation is taken by the accreditation body (delivery, revocation, suspension). Example 2011: 'ef' = '11'

'**ghij**' = counter (4 digits). From '0001' to '9999'

Example:

FR/30/0211/0001: Accreditation decision '0001' taken in '2011' by the French Accreditation body (COFRAC) related to the certification body '02'.

Explanation

The identification of ECM certificates and separate functions certificates is, notwithstanding the changes in this section, compliant with the provisions of appendix 2 of annex to the COMMISSION DECISION 756/2007 of 9 November 2007 *adopting a common specification of the national vehicle register provided for under Articles 14(4) and (5) of Directives 96/48/EC and 2001/16/EC* (OJ L305/44 of 23/11/2007 (including amendments published until the date of this document)).

It is also applicable to decisions made by National Accreditation Bodies when applying the ECM Regulation..