

Certification of entities in charge of maintenance

Summary guide for applicants



Introduction

The revised Railway Safety Directive requires that for freight wagons, an ECM must obtain an ECM certificate from a certification body. ORR will act as a certification body for ECM's for an initial two year period. The ECM certificate provides evidence that an ECM has established a maintenance system as set out in the European Regulation 445/2011 (the ECM Regulation) which ensures that the freight wagons for which it is responsible for are safe to operate. Once issued, an ECM certificate is valid throughout the European Union.

Purpose of document

This document sets out briefly, what an applicant for an ECM certificate has to provide ORR and outlines the assessment process which ORR will undertake.

What should an applicant send?

Applicants should provide the following documents as part of its application for an ECM certificate:

- Completed application form (<http://www.rail-reg.gov.uk/server/show/nav.2628>).
- Application summary document demonstrating how the criteria listed in Annex III of the ECM Regulation are met. This should be presented in a recognised format (Word / PDF) and arrive either as a hard copy or electronic.
- Audits that are company-wide and provide details of the management system (e.g. ISO, RISAS, PWRA, other industry bodies).
- Any other supplementary documentation that the assessors request to perform the assessment of the application.

Where does the application have to be sent?

Applications should be addressed to:

Directorate Support Unit
Railway Safety Directorate
Office of Rail Regulation
1 Kemble Street
London
WC2B 4AN

E-mail address if sending electronically is:
rsdadmin@orr.gsi.gov.uk

ECM certificate assessment process

The application will be assessed by an inspector in ORR's freight team who will act as lead assessor concentrating on the management functions (Annex III, Part I) and a specialist rail vehicles engineer who will assess the engineering aspects of the application (Annex III, Parts II – IV).

The assessors decide which elements of the application they want to look at in more detail based on prior knowledge of an applicant and the content of the application documents. Further details on this are available in the ECM assessment & guidance manual which is available at <http://www.rail-reg.gov.uk/server/show/nav.2628>

The lead assessor will forward an assessment plan to the applicant listing the areas that have been chosen for documentary review and any on-site inspection. The applicant should then forward the requested documents to enable the documentary review to be carried out and make arrangements for any on-site inspection.

Following the documentary review and on-site inspection, the assessors will prepare an assessment report and send it to the applicant. A meeting may be needed to discuss the content of the report and timescales for rectifying any non-conformities found during the assessment. In some cases, non-conformities may have to be rectified before a certificate can be issued.

The assessment period is four months from receipt of the application (and after all further information subsequently requested has been received).

Certification Decision & Issue

ORR will issue a certificate if the evidence provided is satisfactory and a plan for

closing non-conformities has been agreed between the applicant and assessors. The Head of Inspection will review the assessment process by ORR.

The certificate will normally be valid for five years and will be accepted across the European Union. If an organisation is new to taking on ECM duties, the certificate may be issued for a lesser period than the five years.

Surveillance

This will be carried out by ORR's inspectors during the validity period of the certificate and will be based on any non-conformities identified prior to the certificate being awarded or any information obtained (during surveillance assessments). Surveillance assessments may consist of documentary reviews or on-site inspections.

A report will be produced following surveillance activity and will include any non-conformities found. The inspectors may meet with the ECM certificate holder to discuss timescales for closing out non-conformities.

Appealing ORR decisions

Applicants who want to appeal an ORR decision should write, within 42 days of receipt of the decision, to the Secretary of State at:

Department for Transport
Great Minster House
33 Horseferry Road
London
SW1P 4DR

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