

## [<sup>F1</sup>SCHEDULE 10

### System of certification of entities in charge of maintenance in respect of Great Britain

#### Textual Amendments

- F1** Schs. 8-11 inserted (31.12.2020) by [The Rail Safety \(Amendment etc.\) \(EU Exit\) Regulations 2019 \(S.I. 2019/837\)](#), reg. 1, **Sch. para. 1** (as amended in Sch. 11 paras. 14, 16, 17 by S.I. 2019/1310, reg. 1(2)(c), **Sch. 1 paras. 2, 3, 4**); 2020 c. 1, Sch. 5 para. 1(1)

## PART 4

### Requirements and assessment criteria for organisations applying for a UK-issued ECM certificate or for a certificate in respect of maintenance functions outsourced by an entity in charge of maintenance

#### SECTION 2

##### *Requirements and assessment criteria for the maintenance development function*

**30.** The organisation must have a procedure to identify and manage all maintenance activities affecting safety and safety-critical components.

**31.** The organisation must have procedures to guarantee conformity with the essential requirements for interoperability, including updates throughout the lifecycle, by—

- (a) ensuring compliance with the specifications related to the basic parameters for interoperability as set out in the relevant [<sup>F2</sup>NTSNs];
- (b) verifying in all circumstances the consistency of the maintenance file with the authorisation of placing-in-service, including the requirements of a safety authority or the safety authority for the tunnel system, the declarations of conformity to [<sup>F2</sup>NTSNs], the declarations of verification, and the technical file;
- (c) managing any substitution in the course of maintenance in compliance with the requirements of the relevant [<sup>F2</sup>NTSNs];
- (d) identifying the need for risk assessment regarding the potential impact of the substitution in question on the safety of the railway system;
- (e) managing the configuration of all technical changes affecting the system integrity of the vehicle.

#### Textual Amendments

- F2** Word in Sch. substituted (31.12.2020 immediately before IP completion day) by [The Railways \(Safety, Access, Management and Interoperability\) \(Miscellaneous Amendments and Transitional Provision\) \(EU Exit\) Regulations 2019 \(S.I. 2019/1310\)](#), regs. 1(2)(c), **7(8)(a)**; 2020 c. 1, Sch. 5 para. 1(1)

**32.** The organisation must have a procedure to design and to support the implementation of maintenance facilities, equipment and tools specifically developed and required for maintenance delivery. The organisation must have a procedure to check that these facilities, equipment and tools are used, stored and maintained according to their maintenance schedule and in conformity with their maintenance requirements.

- 33.** When freight wagons start operations, the organisation must have procedures to—
- (a) obtain the initial documentation and to collect sufficient information on planned operations;
  - (b) analyse the initial documentation and to provide the first maintenance file, also taking into account the obligations contained in any associated guarantees;
  - (c) ensure that the implementation of the first maintenance file is done correctly.
- 34.** To keep the maintenance file updated throughout the lifecycle of a freight wagon, the organisation must have procedures to—
- (a) collect at least the relevant information in relation to—
    - (i) the type and extent of operations effectively performed, including, but not limited to, operational incidents with a potential to affect the safety integrity of the freight wagon;
    - (ii) the type and extent of operations planned;
    - (iii) the maintenance effectively performed;
  - (b) define the need for updates, taking into account the limit values for interoperability;
  - (c) make proposals for and approve changes and their implementation, with a view to a decision based on clear criteria, taking into account the findings from risk assessment;
  - (d) ensure that the implementation of changes is done correctly.
- 35.** When the competence management process is applied to the maintenance development function, at least the following activities affecting safety must be taken into account—
- (a) assessment of the significance of changes for the maintenance file and proposed substitutions in the course of maintenance;
  - (b) engineering disciplines required for managing the establishment and the changes of maintenance file and the development, assessment, validation and approval of substitutions in the course of maintenance;
  - (c) joining techniques, including welding and bonding, brake systems, wheel sets and draw gear, non-destructive testing techniques and maintenance activities on specific components of freight wagons for the transport of dangerous goods such as tanks and valves.
- 36.** When the documentation process is applied to the maintenance development function, the traceability of at least the following elements needs to be guaranteed—
- (a) the documentation relating to the development, assessment, validation and approval of a substitution in the course of maintenance;
  - (b) the configuration of vehicles, including, but not limited to, components related to safety;
  - (c) records of the maintenance performed;
  - (d) results of studies concerning return on experience;
  - (e) all the successive versions of the maintenance file, including risk assessment;
  - (f) reports on the competence and supervision of maintenance delivery and fleet maintenance management;
  - (g) technical information to be provided to support keepers, railway undertakings and infrastructure managers.]

**Changes to legislation:**

There are currently no known outstanding effects for the The Railways and Other Guided Transport Systems (Safety) Regulations 2006, Cross Heading: SECTION 2.