

# GUIDELINES FOR THE KEEPER'S "ECM DECLARATION"

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1.0	First version	26.10.2010
1.1	Redrafted version 1.0	09.11.2010
2.0	New Version (based on the "Keeper's Self Declaration Implementation Guide" V 1.1)	02.05.2013
2.1	Internal review UIC/UIP/ERFA	03.05.2013
2.2	Internal review by ERA	13.05.2013
2.3	Final Version (approved for publication)	20.05.2013

This version replaces all previous versions of the "**Keeper's Self Declaration Implementation Guide**"

Brussels, 22.05.2013

## 1 Definitions

ATMF	Uniform Rules concerning the Technical Admission of Railway Material used in International Traffic (Appendix G to COTIF 1999)
COTIF	Convention concerning International Carriage by Rail
EC	European Commission
ECM	Entity in Charge of Maintenance
ERA	European Railway Agency
ERADIS	European Railway Agency Database for Interoperability and Safety
EU	European Union
GCU	General Contract of Use for wagons (CUU, AVV)
MoU	Memorandum of Understanding
MS	Member State (of European Union)
NSA	National Safety Authority
NVR	National Vehicle Register
OTIF	Intergovernmental Organisation for International Carriage by Rail
RU	Railway Undertaking
SMS	Safety Management System

## 2 Scope of the document

The purpose of this document is to promote **Keeper's ECM Declaration Guidelines**.

It should be understood as a joint recommendation from the publishing Associations to their members and all other parties involved enabling them to follow the outlined provisions.

This document however, does not bear any legal responsibility and it does not replace the relevant information from the original sources, namely the respective national and international legal provisions in force.

This document is addressed to all

- **Freight Wagon Keepers** domiciled in the European Union or OTIF States for wagons belonging to them and operated in or through EU Member States and/or OTIF States;
- **Railway Undertakings** operating freight trains in or through EU Member States or OTIF States;
- **Entities in Charge of Maintenance** of freight wagons

**It must be clearly stated that all provisions made in this document shall be intermediate only. Accessible, operational and properly updated NVRs in all EU Member States and COTIF States are the target system (see for example Directive 2008/57/EC Article 33).**

### 3 Background of the Keeper's ECM Declaration

The Railway Safety Directive<sup>1</sup> requires that each vehicle shall have an Entity in Charge of Maintenance (ECM) assigned to it, and Decision 2007/756/EC of 9<sup>th</sup> November 2007 requires that this entity must be registered in the NVR<sup>2</sup>. Equivalent requirements are outlined in Appendix G of COTIF 1999<sup>3</sup>. In addition both, the Safety Directive and Appendix G of COTIF 1999, require that an ECM for a freight wagon must be certified by May 31<sup>st</sup> 2013<sup>4</sup>.

**From June 1st, 2013 RUs will need to know if a wagon allocated to a Keeper is linked to a certified ECM with a valid certificate<sup>5</sup>:**

- Articles 5 (1) of both, the Regulation EU/445/2011 and Annex A of Appendix G of COTIF 1999, require that *“Each railway undertaking or infrastructure manager shall ensure that the freight wagons it operates, before their departure, have a certified entity in charge of maintenance and that the use of the wagon corresponds to the scope of the certificate”*.

Article 12 (7) of the Regulation EU/445/2011 provides an exemption for *“Railway undertakings and infrastructure managers which are already certified in accordance with Articles 10 and 11 of Directive 2004/49/EC by no later than 31 May 2012”* that they do not *“need to apply for an ECM certificate for the original period of validity of their certificates for maintaining the wagons they are responsible for as entity in charge of maintenance”*. *Such exemption does not apply to RUs having obtained a Safety Certificate according to other provisions.*

Given the present situation there is a problem to link Wagon(number) / Keeper and certified ECM:

- At present the only valid legal base for the ECM are the EU Safety and Interoperability Directives and the equivalent provisions in COTIF 1999. NVRs, therefore, are the only official source linking the information on Wagon number, Keeper and ECM.
- Accessible and fully operational NVRs are the main legal task at hand for the NSAs and constitute the definite target system.

The GCU (or any other bilateral contract the RU has put in place for the use of a freight wagon) is a contract between RUs and Keepers. However, the GCU and the GCU Wagon Database do not provide information regarding the ECM allocated to a certain wagon.

**Therefore, in addition to the Certification of ECMs under the EU-Regulation, the COTIF provisions or the MoU, an intermediate solution needs to be established in order to preserve legally compliant interoperability of the wagons all over Europe.**

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<sup>1</sup> Article 14a (1), 2004/49/EC (amended by the directive 2008/110/EC).

<sup>2</sup> In accordance with the Railway Interoperability Directive (Article. 33 of Directive 2008/57/EC).

<sup>3</sup> ATMF, Articles 13 (Registers) and 15, § 2 (Maintenance).

<sup>4</sup> As foreseen in Article 14a (para (4) and (5)) of directive 2004/49/EC and Article 15, § 2 ATMF (Appendix G of COTIF 1999).

<sup>5</sup> Awarded according to the MoU or the Regulation EU/445/2011 or Annex A of Appendix G COITIF 1999.

## 4 Implementation of the Keeper's ECM Declaration

The Associations in cooperation with ERA developed the following solution to bridge the information gap between RUs and ECMs:

- To avoid freight rail business being severely disrupted or stopped by this problem the Sector proposes the model of a "Keeper's ECM Declaration".
  - The keeper will name in the Keeper's ECM Declaration its assigned ECM(s)
  - This declaration will be published by ERA on their webpage
  - This will make sure that the necessary information is available to the RUs.

The Keeper's ECM Declaration solution is realised as follows:

- The Wagon Keeper declares that the maintenance of his wagons is organised by:
  - an ECM that is certified according to Regulation EU/445/2011 or the MoU
  - or
  - an ECM that is certified according to COTIF 1999, Appendix G, Annex A.
- This ECM can be:
  - either himself and/or
  - one or more certified ECMs[but of course only one ECM per wagon].

A common format for the "Keeper's ECM Declaration" is attached to this Guidelines. This Declaration will replace the "Keeper's Self Declaration" established on the basis of the Sector's Implementation Guidelines (Version 1.1, November 9<sup>th</sup> 2010).

In the case where an RU fulfils the criteria outlined in Article 12 (7) of the Regulation EU/445/2011 and wants to make use of this exemption, it must clearly make a reference to its Safety Certificate in the Declaration.

**The Sector's Associations therefore strongly recommend to ALL Keepers of freight wagons concerned to submit their "Keeper's ECM Declaration" by no later than May 31<sup>st</sup> 2013 to the ERA Safety Unit.**

## 5 TO DOs for Keepers, RUs and ERA

### ▪ Wagon Keepers:

- 1) The Keepers must complete the “Keeper’s ECM Declaration” using the template form, entering the assigned ECM(s) (either the Keepers being ECM themselves or using other certified ECM(s)) **but only after** such ECM Certificate or the RUs Safety Certificate (according to the provisions of Article 12 (7) of the Regulation EU/445/2011) is made public on ERADIS:
  - For ECM Certificate based on Certification against Regulation EU/445/2011 or Annex A of Appendix G, COTIF, see: [https://pdb.era.europa.eu/safety\\_docs/ecm/certificates/default.aspx?DocType=1](https://pdb.era.europa.eu/safety_docs/ecm/certificates/default.aspx?DocType=1) (Section ECM – Certificates – ECM Certificates - ECM Certificates Database)
  - For ECM Certificate based on Certification against the MoU, see: [https://pdb.era.europa.eu/safety\\_docs/ecm/certificates/default.aspx?DocType=2](https://pdb.era.europa.eu/safety_docs/ecm/certificates/default.aspx?DocType=2) (Section ECM – Certificates – ECM MoU Certificates – ECM MoU Certificates Database)
  - For Safety Certificate of an RU making use of the exemption outlined in Article 12 (7) of Regulation EU/445/2011, see: [https://pdb.era.europa.eu/safety\\_docs/scert/search\\_results.aspx](https://pdb.era.europa.eu/safety_docs/scert/search_results.aspx)
- 2) **The Keeper’s ECM Declaration must be sent by eMail from the Wagon Keeper as both, an EXCEL and a signed PDF file to: [keeper-ecm@era.europa.eu](mailto:keeper-ecm@era.europa.eu)**
- 3) ERA will publish the Declarations on a publicly accessible website to both, EU-MS and Non EU-MS based companies. See also:
  - <http://www.era.europa.eu/Core-Activities/Safety/Pages/Keepers-Self-Declarations.aspx>
- 4) The Keeper must immediately update its Declaration (both templates!) upon each change (e.g. change of address, change of ECM(s) for its wagons, designation of an additional ECM for part of its wagons, knowledge of limitation of scope, suspension or revocation of certificate for it(s) ECM). The documents must be sent again by email according point 2).

### ▪ Railway Undertakings (RUs):

The RUs should establish a process in their SMS to check regularly if the respective Keeper’s ECM Declaration (and the connected ECM Certificate(s), MoU Certificate(s), Safety Certificate or COTIF Certificate(s)) are published on ERADIS.

### ▪ European Railway Agency (ERA):

- 1) In case of revocation, suspension or limitation of scope of an awarded ECM certificate or of the Safety Certificate in accordance with Regulation 445/2011/EU, Article 12(7), the information regarding the validity of the certificate on ERADIS will be updated by the ECM Certification Body. The European Railway Agency (ERA) as system authority for ERADIS will get as first knowledge of the facts.
- 2) Upon receiving the information, the European Railway Agency (ERA) will
  - a) inform immediately the concerned NSA(s).
  - b) “red flag” the respective Keeper’s ECM Declaration(s) on its website.

## 6 Timeframes

It is recommended that the Keepers proceed with their Declaration immediately, but at the latest by May 31<sup>st</sup> 2013. This standard procedure for providing information on the link between Keepers and their ECMs should remain valid as long as necessary and until the common standards for data quality and data availability of NVRs have been implemented through EU MS and OTIF MS.

## 7 Further information and contact persons

For further information please contact one of the persons listed below:

- UIC: Bernard Schmitt bschmitt@uic.org
- UIP: Gilles Peterhans info@uiprail.org
- ERFA: Pierre Tonon pierre.tonon@erfa.be
  
- ERA: Nathalie Duquenne nathalie.duquenne@era.europa.eu

For sending the declaration: [keeper-ecm@era.europa.eu](mailto:keeper-ecm@era.europa.eu)

## Annexes

- WORD Template Keeper's ECM Declaration (English): sign and return as PDF
- EXCEL Template Keeper's ECM Declaration (English): complete one line per keeper