

Network Certification Body

Scheme rules for assessment of Entities in Charge of Maintenance in accordance with requirements of ECM Regulation EU 445/2011

Introduction and Purpose of Document

This document describes the general rules for the client and for NCB to follow to allow compliance by both parties with the relevant processes mandated by the ECM Regulations and in BS-EN-ISO-17065. These rules will be enforced through contract, as required under BS-EN-ISO-17065.

This document sets out a minimum framework: NCB adopts a flexible approach to client requirements, and is able to agree a scope of certification appropriate to client needs provided that the rules specified by this document are adhered to. Under the regulations NCB is able to offer ECM certification services for an entity or organisation taking on one or more maintenance functions of an entity in charge of maintenance (maintenance development, fleet maintenance management, maintenance delivery) or parts of them and maintenance workshops. Please speak to your NCB contact, or email us via our website, to enable us to tailor our services to your needs.

Contents

Contents.....	3
1 Normative references.....	5
1.1 EU and National legislation, accreditation and certification standards	5
1.2 Technical Specifications for Interoperability	5
1.3 Notified national technical rules.....	6
2 Terms and definitions.....	7
3 General requirements	8
3.1 Certification agreement.....	8
3.2 Management of impartiality	8
3.3 Liability and financing.....	8
3.4 Fees charged to applicants and clients	8
3.5 Non-discriminatory conditions	8
3.6 Confidentiality.....	8
4 Initial application for ECM assessment	9
4.1 Initial application for ECM assessment.....	9
4.2 Acknowledgement of receipt of application	9
4.3 Quality management system	9
5 Application review	10
6 Assessment and evaluation	10
6.1 Initial assessment.....	10
6.2 Planning.....	10
6.3 Assessment team members.....	11
6.4 Assessment process	11
6.5 Progressive feedback.....	12
6.6 Reporting	12
6.6.1 Reporting of a successful assessment	12
6.6.2 Reporting of an un-successful first assessment	12
6.7 Surveillance.....	13
7 Certification	14
7.1 Records.....	14
7.2 Review by the certifier	14
7.3 Certification decision	14
7.3.1 Decision to award certification.....	14
7.3.2 Non-issue of certificate	15

7.4	Certification documentation.....
7.5	Directory of certificated ECMs.....	15
8	Claims for certification.....	16
8.1	Use of certification marks.....	16
9	Nonconformity, complaints and appeals	17
9.1	Nonconformity.....	17
9.2	Appeals.....	17
9.3	Complaints to NCB.....	17
9.4	Complaints about the customer.....	17
9.4.1	Customer system.....	17
9.4.2	NCB system.....	18
10	Change management.....	19
10.1	Changes affecting certification	19
10.2	Additions or alterations by certificated ECMs.....	19
11	Revoking certification	20
11.1	Termination or withdrawal of certification.....	20

1 Normative references

1.1 EU and National legislation, accreditation and certification standards

Note: The following are referenced from ECM Regulation 445/2011 and associated documents, but some have been superseded or updated. This is stated where applicable. Please also see section 10.

- ECM 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).*
- **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.
- **Commission Regulation (EC) n° 352/2009** of 24 April 2009 *on the adoption of a common safety method on risk evaluation and assessment as referred to in Article 6(3)(a) of Directive 2004/49/EC of the European Parliament and of the Council.*
 - Superseded by Commission Implementing Regulation (EU) No 402/2013 of 30 April 2013 on the common safety method for risk evaluation and assessment
- EU Directive 2008/57/EC on the interoperability of the rail system within the Community
- The Railway (Interoperability) Regulations
- ISO/IEC 17065 Conformity assessment - requirements for bodies certifying products, processes and services
- ISO 9001 Quality management systems — Requirements
- **EN 45011:1998** General requirements for bodies operating product certification systems (ISO/IEC Guide 65:1996)
 - Withdrawn. ISO/IEC 17065 now used.
- **EN ISO/IEC 17007:2009** Conformity assessment -- Guidance for drafting normative documents suitable for use for conformity assessment
- **EN ISO/IEC 17021:2011** Conformity assessment -- Requirements for bodies providing audit and certification of management systems
- **EN ISO/IEC 17050-1:2010** Conformity assessment -- Supplier's declaration of conformity -- Part 1: General requirements
- **EN ISO/IEC 17050-2:2004** Conformity assessment -- Supplier's declaration of conformity -- Part 2: Supporting documentation
- **IAF MD 1:2007** Certification of Multiple Sites Based on Sampling
- **IAF MD 2:2007** Transfer of Accredited Certification of Management Systems
- **AF MD 5: 2009** Duration of QMS and EMS Audits
- **ERA ECM guide**(ERA-GUI-100) and associated application guide.
- **RID** – Regulations concerning the carriage of dangerous goods

1.2 Technical Specifications for Interoperability

- Energy
- Infrastructure

- Persons with Reduced Mobility
- Safety in Railway Tunnels
- Rolling Stock (Locomotives and Passenger Carriages)
- Rolling Stock (Noise)
- Rolling Stock (Wagons)
- Control, Command and Signalling

1.3 Notified national technical rules

The Department for Transport maintains a list of notified national technical rules. At the time of publication listed [here](#). These form the basis of the designated body assessment carried out by NCB.

Note: All normative references are the latest editions unless otherwise specified. In the event of changes to directives, regulations or standards these scheme rules will be reviewed and updated. Changes will be notified to scheme participants as outlined in section 10.

2 Terms and definitions

Assessor

An NCB resource who has been identified as having relevant competence in order to evaluate the supplied evidence against the required assessment standard.

Certifier

An NCB resource who has been identified as having relevant competence in order to review the Assessor's work and authorise the appropriate certification.

Customer

The term 'customer' is used throughout this document as equivalent to: applicant ECM or applicant ECM for the Maintenance workshop ; all terms used in EU Directives and UK regulations.

Certification committee

The committee established by the NCB for delivering a decision on certification. NCB also refers to this as the Internal Technical Review (ITR).

Maintenance workshop or workshop

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.

Nonconformity

A deficiency where the product or process does not conform to requirements or where there is doubt about the ability of the customer's management system to consistently reproduce product or a process that conforms to ECM regulation requirements.

Separate maintenance function

Refers to entities performing a limited scope of maintenance activities as considered in the ECM regulation article 8 ,annex I

Site

A maintenance facility that operates to a management system. This can also include an HQ office function for ECM functions I, II & III. For maintenance workshops (ECM function IV), it may also include a mobile maintenance unit i.e man in a van facility.

Requirements

Conditions with which the applicant ECM or applicant ECM workshop must conform.

3 General requirements

3.1 Certification agreement

NCB agrees a contract with each customer outlining ECM assessment requirements and referencing these scheme rules. The contract defines ECM assessment scope and is the ECM certification agreement between NCB and the customer. The contract and these scheme rules outline expectations on both parties to enable ECM or workshop certification on an individual basis. ECM Assessment liability is as agreed in the contract and may not be varied subsequently without further negotiation. NCB does not accept any consequential liability arising from delay on the part of the customer to respond to the contract proposed by NCB to the customer.

3.2 Management of impartiality

As an independent, impartial provider of ECM assessment services, NCB undertakes to advise prospective customers of any potential impartiality issues affecting the application for ECM assessment or the delivery of the ECM assessment service by NCB or a third party provider contracted by NCB. If a customer perceives any threats to impartiality they should notify NCB as they occur. Failure to manage risks to impartiality has the potential to invalidate any ECM Assessment or at least require additional assessment and mitigation activities with potential cost implications for one or both parties.

3.3 Liability and financing

NCB operates as a financially viable business on a cost recovery basis with the aim to operate at a small operating profit and meet strategic shareholder objectives, NCB business plans and legal and accreditation requirements.

3.4 Fees charged to applicants and clients

Applicants requesting ECM certification services from NCB will be offered a proposal and associated cost estimate. The fees will be based on an assessment of the man-days required and the charge out rates applicable to the expertise and competence of staff involved. Charge out rates are set as consistent with section 3.3.

3.5 Non-discriminatory conditions

NCB operates its policies and procedures in order to not discriminate, impede or inhibit access by customers for assessment and certification services. NCB accepts contract work from all appropriate parties, without prejudice.

3.6 Confidentiality

Except as required by law or these certification scheme rules, information gained in the course of ECM certification activities about a particular site, product or customer is not disclosed to any other party. Where the law may require information to be disclosed to another party, the customer is informed of information provided as permitted by law. Customer confidentiality is achieved through:

- Inclusion of a confidentiality clause within the contract between the NCB and the customer
- Inclusion of a confidentiality clause within the contract between the NCB and any sub-contractor that it employs

- NCB employees and sub-contractors are required to sign a confidentiality agreement prior to undertaking any assessment, or certification activity.

4 Initial application for ECM assessment

4.1 Initial application for ECM assessment

Customers who wish to apply to NCB for ECM Accreditation or ECM Workshop accreditation are requested to complete form NCB_SF_107 or NCB_SF_108 respectively and submit to ncbenquiries@networkrail.co.uk.

The submission of this information, which shall be treated confidentially in compliance with NCB data management, will initiate the formal ECM application process. Information to be submitted, either with the application, or post contract includes maintenance files, maintenance records, annual SMS reports, applicable NIRs of relevance to the ECM maintained vehicles and sites, audit reports and information about vehicles maintained at each site.

It is recommended that the completed form is submitted to NCB as early as possible in advance of the required assessment date to allow for organisation and co-ordination of the assessment activity.

Where the customer does not have all of the required information at the time of application NCB will identify any information required to progress the application and work with the customer to ensure these gaps are filled. It remains the customer responsibility to identify requirements for the scope of certification.

4.2 Acknowledgement of receipt of application

Upon receipt of request for ECM assessment services, NCB enters the details of the request into the Customer Relationship Management (CRM) system.

An acknowledgement of receipt will be provided to the customer together with details of the requisite standard application forms to be completed by the customer (if not already submitted). Or alternatively, if the completed application form has been received then NCB will check forms to ensure correctness and commence treatment of the enquiry in accordance with standard NCB procedures.

4.3 Quality management system

In support of an ECM application, the customer may provide evidence of having implemented a quality system including the following:

- Details of any accredited third party quality certification including a copy of certificate and scope statement
- Uncontrolled copy of relevant quality manual(s)
- A copy of the most recent third party audit for each site relevant to the intended ECM certification

Where the customer is intending to rely on certification for a separate maintenance function they may provide a copy of any relevant evidence of having implemented a quality management system as above.

5 Application review

NCB assesses the application form as well as other documentation provided by the customer and provides feedback regarding preparation and scheduling for the ECM or ECM workshop assessment.

Review of the application shall be undertaken without prejudice to the customer. Orders will be treated equally from UK and non-UK customers.

Upon receipt of a request for ECM Certification from an applicant ECM, an assessment shall be undertaken of the applicant's size of planned ECM operations, taking into consideration the number of maintenance sites, scale of operations, geographical locations and diversity and size of proposed fleets to be maintained. This will provide an understanding of resource requirements to deliver the ECM certification service in accordance with customers expectations and requirements of the certification scheme. An understanding of the customer's timescale expectations will also be taken into account.

An initial proposal shall be submitted to the customer together with timescale for delivery.

If the customer is in agreement with the preliminary proposal, then additional work shall be undertaken to progress with the final proposal and begin co-ordinating and organising internal or external supplier resources.

6 Assessment and evaluation

6.1 Initial assessment

Criteria against which an ECM or workshop is evaluated are selected from relevant requirements in Annex 3 of the ECM Regulation. These are limited to those directly concerned with the certification scope provided by the customer (section 4.1 above).

Technical documentation provided by the customer in the course of the assessment shall be reviewed to satisfy the requirements (Section 4.1 above) and cover, as far as is relevant to the scope of the ECM assessment: the Management function, Maintenance Department function, Fleet Maintenance Management function and Maintenance delivery function. This documentation constitutes the evidence assessed by NCB as the basis for any certification decision.

Details of wagon types and any wagons used for transport of dangerous goods should be included at this stage.

This Initial assessment, which will be a desktop review, is intended to ensure the submitted application and documentary evidence provided fulfils the relevant requirements of Annex 3 of the ECM Regulations and also provides sufficient confidence for the certification assessment plan to be prepared in the next stage of the process.

6.2 Planning

NCB produces an ECM accreditation assessment plan detailing the activities and

processes required to be fulfilled by the applicant ECM or applicant ECM workshop in accordance with the applicable assessment requirements. This includes:

- The primary assessment criteria as outlined in Annex 3 of the ECM regulations.
- Definition of the applicable standards (e.g. ENs) against which compliance is being assessed, together with the assessment activities necessary
- Details on when the expected compliance evidence is expected from the customer
- Details on what audits will be undertaken
- Details on what is required at each stage, for example, at maintenance sites and workshops.
- Resources who will undertake the assessment and certification
- The milestones by when various activities need to have been satisfactorily completed in order for certification to be successfully issued.

In the event of any conflict or inconsistency with applicable EN standards, the ECM Regulations Annex 3 shall prevail.

6.3 Assessment team members

NCB allocates assessors to carry out the evaluation activities, and to produce the certificates and reports. NCB allocates a certifier to separately review the work of the assessors, and to sign the documentation.

NCB operates a competence management and resource allocation system, ensuring that all staff allocated to ECM assessment have sufficient and relevant competence to undertake the necessary assessments of compliance by applicant ECMs or workshop with ECM requirements. Where applicable, at least one person in the team has competence in:

- quality management systems assessment
- understanding of ECM workshop practises
- understanding of ECM regulations and obligations of ECMs in accordance with the requirements of ENISO/IEC 17065:2012 and ENISO/IEC 17021:2011 Section 9
- experience in the maintenance of freight wagons

6.4 Assessment process

The assessment process follows the assessment plan produced in accordance with section 6.2. The auditor shall communicate to the auditee the standards they are being assessed against. The ECM or workshop assessment will take the form of document review, site inspections, process audits and other activities. At each site to be visited, the applicant will need to make available personnel, facilities, documents, and vehicles to be inspected.

In the event that on the day or dates of assessment, restrictions arise such that access to either documentation, facilities, staff or vehicles within the allocated time for the assessment is not possible and is due to factors attributable to the applicant ECM, NCB reserves the right to inform the applicant ECM of the need for an extension of the current visit or a revisit in order to complete the ECM assessment process in its entirety.

Compliance evidence is captured against clause numbers of Annex 3 of the ECM Regulation: this is often completed in checklists, and summarised in a report, which forms the overview of assessment. The auditor shall ensure that during the closing meeting any

findings are referenced to the governing standards.

6.5 Progressive feedback

If at any point in the ECM assessment process NCB identifies a non-conformity with requirements that will lead to a delay in certification being made then the assigned Lead Assessor will raise the issue with the customer at the earliest possible time

At all on-site assessments the team holds opening and closing meetings with the customer's management. At the closing meeting, the assessment team:

- explains assessment findings and provides opportunity for questions
- provides documented evidence of findings or a date by which documented findings will be available
- summarises any assessment follow-up activities
- explains any certification process requirements and follow up activities

6.6 Reporting

6.6.1 Reporting of a successful assessment

Following completion of the assessment, a formal report of the assessment shall be completed composed of the initial audit report, the initial inspection report and detailing the following points:

- The list of the assessment team members with their scope of activity
- The identification data of the ECM after verification of data indicated in the application form
- The scope of the certification
- The list of the sites under the scope of the certification with indication of type of activities performed (management, maintenance development, fleet maintenance management or maintenance delivery)
- The scope of the assessment
- The assessment programme
- The assessment synthesis – list of requirements examined for each site and non-conformities
- Details of timescales agreed with the ECM applicant to respond to any identified non-conformances. As a general rule, a maximum period of 20 working days* shall be permitted for closure of any minor non-conformances.
- The assessment conclusions (justification on certification decision)
- Recommendation proposed to the Certification committee

6.6.2 Reporting of an un-successful first assessment

Following completion of the assessment, a formal report of the assessment shall be completed composed of the initial audit report, the initial inspection report and detailing the following points:

- The list of the assessment team members with their scope of activity
- The identification data of the ECM after verification of data indicated in the application form

- The scope of the certification
- The list of the sites under the scope of the certification with indication of type of activities performed (management, maintenance development, fleet maintenance management or maintenance delivery)
- The scope of the assessment
- The assessment program
- The assessment synthesis – List of requirements examined for each site and non-conformities
- Details of Timescales agreed with the ECM applicant to respond to any identified major non- conformances. As a general rule, a maximum period of 5 working days* shall be permitted for closure of any major non-conformances.
- The assessment conclusions (justification on certification decision)
- Date proposed to the ECM applicant for a revisit and reassessment

Examples of a Major non- conformance may be:

- Failure to comply with a mandatory inspection requirement that is of a safety critical nature and which may import significant risk to the running railway e.g Process failure such as incorrect assembly of bearing components on wheelset
- Failure to identify safety critical dimensional non-conformance which may result in release of non- compliant product into service. E.g Product non-conformance such as incorrectly machined wheel profiles

* The timeframe supplied is purely for guidance purposes. The length of time given to close non-conformances is dependent on the nature of the non-conformance identified and the practicalities of achieving closure.

6.7 Surveillance

The ECM is required to provide an annual SMS report to to their Certification Body.

Surveillance audits are required and will be undertaken annually to include:

- Review of SMS annual reporting
- Review of NIRs
- Review of applicable NIRs relating to the fleets being maintained

Extraordinary surveillance measures may also be implemented as a result of identified major non-conformances that require further investigation or monitoring as described in section 11.

7 Certification

7.1 Records

NCB gathers evidence of compliance as the basis for the decision. Records are managed in accordance with NCB's management system procedures. Certification decisions are based on records of evidence of conformance with requirements in accordance with legislation and standards in Section 1.

7.2 Review by the certifier

Where records and evidence provided indicate major non-conformity with requirements NCB assessment personnel will decide not to award a certificate. NCB will inform the applicant ECM the reasons for this and will provide a report outlining the major non-conformances. Examples of major non conformance are indicated in Section 6.6.

Once the certifier is clear that all aspects of the assessment have been completed satisfactorily and that all aspects of the relevant standards have been met, including being in receipt of any required deviations and accepted certification limitations, the certificate can be generated, including any appropriate limitations and details of the deviations gained.

7.3 Certification decision

The Certification Decision is taken by an "Internal Technical Review" (ITR), or "Certification Committee" as referred to in the ECM Regulations.

The person(s) conducting the ITR (and the certifier) must have sufficient knowledge and experience to understand:

- maintenance requirements of freight wagons including dangerous goods
- any report(s) and their findings
- any additional risk arising from multiple findings
- scheme requirements
- test requirements, methods and data
- nonconformity significance and impact
- conditions significance and impact

The NCB assessment team makes recommendation to the ITR whether certification should be awarded and, if so, any conditions required by the appropriate standards are detailed on the certification. The ITR makes the decision on whether to issue the certification, and if not, advise what further work is required before certification can be re-considered.

7.3.1 Decision to award certification

Following completion of the ECM assessment, production of the final report and upon final agreement of the Certification Committee to award an ECM certificate, NCB undertakes the following:

- Issues the new ECM certificate to the ECM
- Informs the NSA of the decision to confer the ECM certificate to the applicant ECM
- Registers the new certificate details on the ERA website
- Notifies the customer of the final decision

7.3.2 Non-issue of certificate

Following completion of the ECM assessment and the decision taken not to issue a certificate to the applicant ECM, NCB undertakes the following:

- Formally records the non-conformances on the assessment form
- Informs the NSA of the decision not to confer the ECM certificate to the applicant ECM
- Notifies the customer of the final decision

7.4 Certification documentation

NCB's certificates comply with requirements of the ECM certification scheme the ECM Regulation Annex 5 and 6.

For new ECMs, who have not undertaken ECM activity previously, the period of validity of new certificates will be for a maximum duration of 1 year. The certificate will state Newcomer ECM - application of certification scheme section 3.2.4

For existing ECMs the period of validity of new certificates may be up to a maximum period of 5 years.

For existing ECMs who have demonstrated need for significant improvement at audit, the validity period of the new certificate may be reduced to 1 year and subject to audit at the end of that period.

7.5 Directory of certificated ECMs

NCB maintains records of ECMs certificated under these scheme rules. This directory is maintained internally but is replicated through notification requirements to the National Safety Authority.

8 Claims for certification

Customers may make no claims of ECM certification until a certificate has been issued by NCB.

After a certificate is issued customers should ensure that relevant information is complete and accurate. Information included on the certificate should be used where its absence could be misleading.

Any certificate conditions should be referenced in any claims for certification unless they have been resolved following certification. Where post certification activities identify potential nonconformity with requirements the customer shall prevent further active claims to holding certification until the situation is resolved. Section 9, 10 and 11 refer.

8.1 Use of certification marks

All NCB certification documents and marks remain the property of NCB. Where marks may be useful to the customer in claiming and advertising conformance with scheme requirements use of these marks shall be in accordance with NCB published product marking guidance circulated with scheme rules. In the event marking guidance changes NCB will notify affected customers and these changes will be managed in accordance with section 10 of these scheme rules.

9 Nonconformity, complaints and appeals

9.1 Nonconformity

For any initial or surveillance assessment NCB informs customers of names of members of the assessment team with sufficient notice to appeal against appointment of any team member.

All queries raised during assessment and evaluation (Section 6) are managed using the nonconformity process in this section. At all on-site assessments the team holds opening and closing meetings with the customer's representatives and includes any reports on current state of nonconformity with requirements.

Where a nonconformity cannot be resolved and it affects confidence that an applicant satisfies requirements the certification decision will normally be not to certify (Section 7.3) or to withdraw / terminate certification (Section 11).

9.2 Appeals

Where a customer believes a nonconformity has been incorrectly raised or a certification decision is incorrect they are encouraged to use NCB's appeals process. All NCB personnel will be able to provide further information on how to initiate an appeal. Where a customer wishes to raise a confidential appeal they may direct it to the NCB independent Finance and Commercial team using the enquiries@net-cert.co.uk e-mail address or via the 'Contact us' page on NCB's web site www.net-cert.co.uk or using the general enquiries telephone number 01908 784002.

All appeals are handled independently in accordance with NCB's management system up to and including access to NCB's Certification Advisory Committee and the NCB Board. In the event an appeal remains unresolved then NCB will direct a customer to the regulatory appeals process.

9.3 Complaints to NCB

NCB maintains a customer complaint system related to the service provided and independent of the appeals process. All NCB personnel will be able to provide further information on how to initiate a complaint. Where a customer wishes to raise a complaint confidentially, they may direct it to the independent NCB Finance and Commercial team using the enquiries@net-cert.co.uk e-mail address or via the 'Contact us' page on NCB's web site www.net-cert.co.uk or using the general enquiries telephone number 01908 784002.

All complaints are handled independently in accordance with NCB's management system up to and including access to NCB's Certification Advisory Committee and the NCB Board. In the event a complaint remains unresolved then customers may complain to UKAS, the accreditation body for this scheme, again NCB personnel will be able to provide further information on how to do this.

9.4 Complaints about the customer

9.4.1 Customer system

As part of its management system, customers are expected to have a process to identify, capture and resolve complaints relating to certification and requirements. The customer should keep records of any complaints it is aware of that relate to compliance with scheme requirements including any actions taken to resolve any nonconformity.

9.4.2 NCB system

Where NCB receives a complaint relating to ECM certification, we acknowledge receipt of the complaint and investigate by gathering necessary information to enable a decision to be made independently on the complaint validity.

NCB will notify the complainant of the result of their complaint and of any follow up activity (subject to confidentiality requirements). In the event the complainant is not satisfied NCB will advise them of routes to appeal or escalate the complaint and will manage or co-operate with subsequent stages.

In the event the complaint requires action with NCB's customer and / or ECM application then NCB will manage this process respecting any confidentiality requirements.

10 Change management

10.1 Changes affecting certification

NCB's ECM certification process has been based around normative references (Section 1). In the event requirements change these scheme rules will be reviewed by NCB and, if necessary, updated. Similarly in the event of changes to NCB processes referenced in these scheme rules or to scheme rules themselves NCB reviews potential impact on applicant ECMs and notifies affected applicant ECMs at the time of the change. Any necessary transition arrangements are notified at the same time.

Transition arrangements may include modifications to existing assessment applications, additional audits or extended audit surveillance.

In the event that existing customers are unwilling or unable to meet additional scheme requirements including transition arrangements then NCB will work with the customer to terminate the ECM assessment without incurring further cost to either NCB or the customer. However NCB reserves the right to recover any costs committed to date in preparation for the ECM assessment.

10.2 Additions or alterations by certificated ECMs

Certificated ECMs and organisations responsible for Certificated ECM workshops have a duty of care to ensure changes to their intended operations or scope of operations comply with the requirements of applicable ECM legislation. Where there is potential non-compliance with the previous ECM certification issued by NCB the customer shall advise NCB of planned changes and controls to be implemented to manage the change and agree a plan of evaluation for the change as required by the applicable legislation.

Examples of significant changes may include:

Variables	Change
Workshops	Additions of new workshops
Work flow arrangements	Major changes or deviations to approved safety procedures and processes
New maintainers	Introduction of additional maintainers/suppliers
Personnel with safety responsibility	Organisational changes to key personnel responsible for Safety

Note that significant organisational change or a location change can impact some of the above variables, and so could be considered significant changes in this context.

Failure to assess and implement appropriate measures in response to significant change may invalidate existing NCB certification.

11 Revoking certification

11.1 Termination or withdrawal of certification

Where identified nonconformity of major safety significance or complaint from external parties reveal that an ECM certificated by the NCB is no longer compliant with the requirements of the ECM legislation and there may be significant safety concerns to the industry NCB will take appropriate action, including but not limited to:

- extraordinary surveillance assessment (in accordance with Section 6)
- Re-evaluation of the certification decision (Section 7)

The findings from the above actions are handled in accordance with section 9 above. In addition, in the event that NCB decides that amendment, suspension or withdrawal of certification is appropriate, if this is due to an immediate safety risk, no notice will be given: otherwise NCB will give one month's notice in order to provide the customer an opportunity to provide additional information for NCB's consideration before taking the action determined.

Where a customer terminates certification or if NCB suspends or withdraws certification, all certificates and certification documents shall be returned to NCB. The customer shall cease to make any claims to certification (Section 8) and cease use of NCB marks (Section 8). NCB will contact relevant public and regulatory bodies and withdraw any references to continuing customer certification.

In the event certification is suspended NCB will appoint and communicate to the customer a named NCB employee who will work with the customer during any suspension period. NCB will make clear what is required to end suspension and restore ECM certification.

All NCB and customer actions including evaluation and assessment (Section 6) in support of certification reinstatement shall be carried out in compliance with these scheme rules.