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| ECM Ex-post Evaluation – Questionnaire | |
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| Version: | Final (version 1.0) |
| Reference: |  |
| Date: | 18/03/2014 |
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| Author | Safety Unit & Economic Evaluation Unit |

# DOCUMENT INFORMATION

## Amendment Record

| **Version**  **Date** | **Author(s)** | **Modification Description** |
| --- | --- | --- |
| 0.1 | Iliana Ilieva  Nathalie Duquenne  Torben Holvad | First version of document distributed for comments to Freight Focus Group (January 2014) |
| 1.0 | Iliana Ilieva  Nathalie Duquenne | Amendments to take into account comments from Freight Focus Group and others |
| 1.1 | Iliana Ilieva  Nathalie Duquenne  Torben Holvad | Minor editorial modifications + inclusion of introductory pages |

## Reference Documents

| **{Ref. N°} Title** | **References** | **Version** |
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| 1. COMMISSION REGULATION (EU) No 445/2011 of 10 May 2011 on a system of certification of entities in charge of maintenance for freight wagons and amending Regulation (EC) No 653/2007 (Text with EEA relevance) |  | Official Journal of the European Union, 11 May 2011 (L 122/27) |
| 1. Guide for the application of the Art 14 (a) of the Safety Directive and Commission Regulation (EU) No 445/2011 on a system of certification of entities in charge of maintenance for freight wagons | ERA-GUI-100 VERSION 1.0 | 30 August 2013 (Version 1.0) |
| 1. ECM Implementation Documents | Implementation of Regulation 445/2011/EU | 15 June 2012 |

# INTRODUCTION TO QUESTIONNAIRE

The certification of ECMs has been implemented in the EU since May 2011 when the Commission Regulation 445/2011/EU entered into force.  Now we are requested by the European Commission and the Mss  to assess this implementation and the added value regarding  railway developments. To gather feedback from all railway  actors regarding  the implementation of regulation 445/2011 but also to get information for the extension of this regulation to other vehicles, the Agency  launches a questionnaire to the railway actors.  In particular, this questionnaire will support the planned ex-post evaluation of the ECM framework undertaken by the Agency in cooperation with the concerned stakeholders.

This feedback will facilitate better informed decisions throughout the legislative process and provide valuable inputs for the revision of Regulation 445/2011.

The legal base states in Article 14(a) (7) of the Safety Directive, *“The Agency shall evaluate the certification process implemented in accordance with paragraph 5 by submitting a report to the Commission, no later than three years after the entry into force of the relevant measure”*

Below, a series of questions are put forward and your answers to these would be much appreciated. Please note that if there are questions you cannot answer you can still submit the questionnaire with your responses to the remaining questions included (with some questions unanswered).

The questionnaire contains both factual oriented questions as well as attitudinal ones. It includes both closed and open-ended questions. As far as possible ‘check-boxes’ are used to facilitate completion of the questionnaire. For most questions ‘text-boxes’ are included in order for the respondent to provide explanations concerning their answers given.

Could you  answer to this questionnaire and disseminate it among your national railway actors (RUs, keepers, ECMs, ...) asking them to answer directly to the Agency?

Please send the completed questionnaire or any enquiries regarding the questionnaire, preferably by e-mail before **25 April 2014**, to:

Contact point: **Nathalie Duquenne ([nathalie.duquenne@era.europa.eu](mailto:nathalie.duquenne@era.europa.eu))**

The European Railway Agency would like to thank the respondents for taking the time to answer the questionnaire.

## Terms and Abbreviations

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| ***Table: Terms*** | | |
| **Term** | | **Definition** |
| Agency | | The European Railway Agency (ERA) |
| Working Party | | Working group which follows the composition rules of Art3. of the Regulation 881/2004 |
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| ***Table : Abbreviations*** | | |
| **Abbreviation** | **Definition** | |
| CBA | Cost Benefit Analysis | |
| CR | Conventional Rail | |
| EC | European Commission | |
| ECM | Entity in Charge of Maintenance | |
| EE | Economic Evaluation | |
| IA | Impact assessment | |
| IM | Infrastructure Manager | |
| MS | Member State | |
| MW | Maintenance Workshop | |
| NSA | National Safety Authority | |
| RU | Railway Undertaking | |
| WP | Working Party | |

**ECM ex-post evaluation: Questionnaire**

## Note: Please answer only questions that are relevant to your functions and experience.

## Please specify the following:

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| --- | --- | --- |
| Reporting country | Organization Name |  |
|  |  |  |
| Contact name | E-mail | Office ‘phone number |
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Are you:

A National Safety Authority

A National Safety Authority acting as an ECM Certification Body

An Accredited ECM Certification Body

A Recognised ECM Certification Body

A Railway Undertaking

An ECM for railway freight wagons

An ECM for thermal and/or electric traction units (locomotives and shunter)

An ECM for self-propelling thermal and/or electric trains (train set, EMU, DMU, railcar)

An ECM for passenger carriages and other related cars (coach, van, driving coach, driving van, car carrier, fixed rake of coaches)

An ECM for mobile railway infrastructure construction & maintenance equipment (OTMs and Infrastructure inspection vehicles)

A Maintenance Workshop (MW)

A Leasing company

An Infrastructure Manager

A Manufacturer

A Component Manufacturer

A Component Maintainer

A Vehicle Keeper

A Sector Organization (please specify)

Other (Please specify)

Do you use the ERADIS database to input ECM information?

Yes

No

Do you use the ERADIS database to interrogate ECM information?

Yes

No

Have you already had a direct experience with the ECM system and if so, in what way?

Yes

No

*Please use the following textbox for your answer*

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## SWOT (Strengths, weaknesses, opportunities and threats)

*Please, use your answers to compare against your experience with previous certification.*

Q1 - What do you see as the main strengths of ECM certification and why?

*Please use the following textbox for your answer*

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Q2 - What do you perceive as the main weaknesses of ECM certification and why?

*Please use the following textbox for your answer*

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Q3 - What do you think are the main opportunities arising from ECM certification and why?

*Please use the following textbox for your answer*

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Q4 - What are the main threats arising from ECM certification and why?

*Please use the following textbox for your answer*

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## Overall perceptions / experiences of the ECM system

*Q5a/b and Q6a/b concern perceived influences on railway operation.*

Q5a – Could you outline the main problems that your company / members of your sector organisation were facing in terms of maintenance tasks for wagons before the introduction of ECM certification?

*Please use the following textbox for your answer*

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Q5b – How do you perceive that the introduction of ECM certification has influenced these problems?

*(please tick one of the boxes below as appropriate)*

Strongly positive

Weakly positive

Weakly negative

Strongly negative

No influence

Don’t know

*Please use the following textbox to explain your answer*

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Q6a – Could you outline the main problems that your company / members of your sector organisation were facing in terms of maintenance control/supervision for wagons before the introduction of ECM certification?

*Please use the following textbox for your answer*

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Q6b – How do you perceive that the introduction of ECM certification has influenced these problems?

(please tick one of the boxes below as appropriate)

Strongly positive

Weakly positive

Weakly negative

Strongly negative

No influence

Don’t know

*Please use the following textbox to explain your answer*

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Q7 – How do you perceive that the introduction of ECM certification has influenced railway safety?

*(please tick one of the boxes below as appropriate)*

Strongly positive

Weakly positive

Weakly negative

Strongly negative

No influence

Don’t know

*Please use the following textbox to explain your answer*

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Q8 – Do you perceive that any changes / adjustments to the current Regulation 445/2011 need to be done?

*(please tick one of the boxes below as appropriate)*

Yes

No

Don’t know

*Please use the following textbox for your answer*

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Q9 – Do you consider a scope extension of the ECM scheme to other types of vehicles as an advantage? Please specify the type (e.g. locomotives, etc.).

Yes, strongly in favour (*please specify the type*)

Yes, weakly in favour (*please specify the type*)

No, weakly against (*please specify the type*)

No, strongly against (*please specify the type*)

Neither in favour or against

Don’t know

*Please use the following textbox to explain your answer*

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Q10 – How do you perceive the changes in time and resources that you require as a customer to search and select a suitable ECM?

*(please tick one of the boxes below as appropriate)*

Substantial increase

Small increase

Substantial decrease

Small decrease

No influence

Don’t know

*Please use the following textbox to explain your answer*

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Q11 – Did you make use of the possibility provided by Regulation 445/2011 <http://www.era.europa.eu/Document-Register/Pages/ECM-Regulation.aspx>

to change your ECM and did you profit from this change?

*Please use the following textbox for your answer*

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## Cost and time efficiency

Q12a – Did you experience any changes in the ongoing resources linked to maintenance management such as staff, etc. following the introduction of the ECM framework?

I/We experienced an increase in resources linked to maintenance management

I/We experienced no change

I/We experienced a decrease in resources linked to maintenance management

*Please use the following textbox to further explain your answer (specify against which certification scheme you were previously certified)*.

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Q12b – Did you experience any improvement in the efficiency of the operation due to the harmonised management system introduced by Regulation No 445/2011?

I/We experienced an increase in efficiency linked to the harmonised management system

I/We experienced no change

I/We experienced a decrease in efficiency linked to the harmonised management system

*Please use the following textbox to further explain your answer*

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Q12c - Did you experience any changes in the certification costs compared to before the introduction of the ECM framework? Please specify against which certification scheme you were previously certified

I/We experienced an increase in the certification costs compared to before the introduction of the ECM framework

I/We experienced no change in the certification costs compared to before the introduction of the ECM framework

I/We experienced a decrease in the certification costs compared to before the introduction of the ECM framework

*Please use the following textbox to further explain your answer*

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Q13a - How much was your workload (in terms of days) for initial preparation (documentation, setting up of a maintenance management process, etc.) in order to enter the *process of certification* *(as specified in Q13b)* for obtaining an ECM certificate or a maintenance function certificate? Please specify the type of certificate.

I/We experienced an increase in workload (in terms of days) for initial preparation (documentation, setting up of a maintenance management process, etc.)

I/We experienced no change in workload (in terms of days) for initial preparation (documentation, setting up of a maintenance management process, etc.)

I/We experienced a decrease in workload (in terms of days) for initial preparation (documentation, setting up of a maintenance management process, etc.)

*Please use the following textbox to further explain your answer*

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Q13b - How much time was required for issuing the ECM certificate?

*Please consider as a starting point the initial application review as indicated on page 28 in the Guide for the application of the Art 14 (a) of the Safety Directive and Commission Regulation (EU) No 445/2011 on a system of certification of entities in charge of maintenance for freight wagons.*

*(please tick one of the boxes below as appropriate)*

Less than 4 months

4 months

Other (please specify)

*Please use the following textbox for your answer*

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Q14 – How many days were needed or planned during the ECM certification process?

For the part “Assessment of the maintenance system”

For the part “Inspections on selected processes”

*Please use the following textbox for your answer*

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# *Structure of the ECM*

Q15 – Does your ECM use an internal or an external Maintenance Workshop (MW)? Please explain your reasons behind the choice of working with internal and/or external MW.

Internal

External

Other (please specify)

*Please use the following textbox for your answer*

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Q16 – Is the MW certified according to Regulation 445/2011?

Yes

Yes, certification in progress

No

In case the MW is not certified against Regulation 445/2011, which type of assessment / certification do you have? Against which requirements?

*Please use the following textbox for your answer*

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1. ***Market***

Q17a - How many maintenance providers in your country have closed operations since the introduction of the ECM certification? What do you consider to be the main reason for the closure?

*Please use the following textbox for your answer*

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Q17b - How many maintenance providers in your country have started operations since the introduction of the ECM certification? What do you consider to be the main reason for the start-up?

*Please use the following textbox for your answer*

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Q17c - How many maintenance providers in your country have changed their business setup (merging with other companies, selling divisions, etc.) since the introduction of the ECM certification? What do you consider to be the main reason for that?

*Please use the following textbox for your answer*

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Q18: Is your business of exchanging wagons or renting wagons short term / long term affected by the Regulation 445/2011?

Yes, positively

Yes, negatively

No influence

*Please use the following textbox for your answer*

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Q19: Does the ECM Regulation provide you with a competitive advantage to market your products and/or services?

*Please use the following textbox for your answer*

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