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APPLICATION OF ASSESSMENT MODULES

PRACTICAL CASE RAISED IN CTE 9

Discussion paper

1. QUESTION

At CTE 9, a question regarding a practical case in applying the assessment on modules for subsystems was raised.

RS and BA asked whether it would be permitted/possible within the legal framework for an assessing entity to issue a UTP certificate of verification (module SD) to manufacturer B, whilst the type examination certificate (module SB) was issued for the technical design from another applicant (manufacturer A) in another State.

- A type examination certificate based on module SB had been issued for a new freight wagon type to manufacturer A,
- Manufacturer B in another Contracting State would be producing this type of freight wagon,
- Manufacturer B received the technical documentation from manufacturer A so that it could produce the wagon according to the type,
- Each freight wagon produced would be certified according to module SD.

In other words, could a manufacturer of a type of wagon use a type examination certificate (module SB) previously issued to another manufacturer?

2. CONTEXT

2.1. MODULE SB: TYPE EXAMINATION

The applicant lodges an application for the type examination from a single assessing entity (in EU: Notified Body).

The assessing entity assesses the technical design and examines a specimen (e.g. a prototype, or first production model). The result is a type examination certificate issued by the assessing entity to the applicant. The certificate attests that the technical design meets the applicable specifications.

The type examination certificate is not sufficient for the admission of a vehicle; for this, it needs to be completed by either module SD or module SF (in this case module SD).

2.2. MODULE SD: QUALITY MANAGEMENT OF THE PRODUCTION PROCESS

Module SD describes the process for assessing and certifying that a subsystem (in this case a freight wagon) is in conformity with the type described in the type examination certificate based on the quality management system (QMS) of a manufacturer.

The applicant lodges an application for the assessment of its QMS with a single assessing entity of his choice. This assessing entity assesses the QMS to be used for the production of the freight wagon and performs periodic audits in order to survey the QMS. The QMS ensures that the freight wagon is manufactured in conformity with the type described in the type examination certificate.

3. OBSERVATIONS AND ELEMENTS FOR DISCUSSION

3.1. OBSERVATIONS

1. Modules SB and SD are separate modules and neither of them requires the applicant or assessing entity for one module to be the same as for the other (unlike a vehicle assessed under SH1).
2. In module SB the responsibilities are split between the applicant and the assessing entity. The applicant could be an entity that is not involved in the production; e.g. a design bureau/engineering company. In such a case, the applicant would have to outsource, under his full responsibility, the construction/assembly of the specimen mentioned under point 2 (production type).
3. In module SD the responsibilities are again split between the applicant and the assessing entity. The applicant has several responsibilities linked to the production process and the QMS. For example, the applicant is responsible for applying the QMS to production, inspection and testing (point 2 of module SD) and the applicant must allow the assessing entity access to the manufacturing site (point 7.2 of module SD). It is therefore most likely that for module SD the manufacturer is the applicant.
4. Modifications to the type cannot be assessed under module SD. This means that if changes have to be made to the type during the production run, module SB needs to be (re)applied.
5. Point 8 of module SB requires the applicant (e.g. manufacturer) to inform the assessing entity that issued the type examination certificate of modifications to the type. The modifications require additional approval and an addition to/modification of the original type examination certificate.
6. Point 5.2 of module SD requires the assessing entity to check the validity of the type examination certificate. The assessing entity for module SD may only continue its work if a valid type examination certificate is available.

3.2. ELEMENTS FOR DISCUSSION

Modules SB and SD are separate modules, each indicating responsibilities for the applicant and for the assessing entity. There is no provision in either of the modules preventing a wagon from being designed by one applicant and being built by another. This also means that the applicants referred to in modules SB and SD respectively can be located in different States.

It will be essential that the assessing entity for module SD can check the validity of the type examination certificate issued under module SB. If it cannot check this validity, it may not issue a certificate of verification.

If the applicant for the type examination certificate (under module SB) and the manufacturer of the series (under module SD) are not the same entity, it must be ensured that the latter has all the relevant documentation related to the design type and production type.

In case of changes to the design, the type examination certificate issued under module SB needs to be updated. It is hard to imagine how this could be done without coordination between both applicants (for SB and for SD).
