

Addendum as per 18th May 2006

to the

IRIS booklet, revision 00, March 2006

The aim of this addendum is to inform you about improvements/clarifications in the IRIS booklet, revision 00, March 2006.

As per decision of the IRIS Steering Committee the next official revision of the *IRIS booklet will be conducted in 2007*. The feedback received by auditors, clients, etc. during the implementation phase will be analysed by the IRIS Group and communicated to all interested parties via the present addendum. The addendum is provided in each IRIS booklet or can be accessed via the IRIS Portal (<http://www.iris-rail.org/>).

Modifications are marked ***bold italic***.

COVER SHEET

The official language for the IRIS documentation is English. In any case of conflict, the English original shall be considered as the mandatory one.

CHAPTER 1: IRIS CERTIFICATION PROCESS

4.2 Evaluation process; page 15

IRIS requirements main clauses mean:

- Quality management system (see chapter 3, clause 4)
- Management responsibility (see chapter 3, clause 5)
- ***Resource management*** (see chapter 3, clause 6)
- Product realization (see chapter 3, clause 7)
- Measurement, analysis and improvement (see chapter 3, clause 8)

4.3 Award of certificates; page 15

After an IRIS audit has been passed the certification body is entitled to certify the client. ***The certification body shall issue an IRIS certificate revealing the results of the evaluation process.*** Form and structure of the IRIS certificate are given by the IRIS Management Centre.

CHAPTER 2: IRIS ASSESSMENT GUIDELINE

1 Review of the audited organization's documentation; page 18

In addition to the review of the business management manual, the quality policy ***and the organization charts***, the following must be carried out to ascertain the client's readiness for the audit:

CHAPTER 3: IRIS REQUIREMENTS

0.2 Process approach; page 26

Whenever this standard refers to “a process”, this process **shall** be documented **and should be** controlled by appropriate key performance indicators.

0.4 Compatibility with other management systems; page 26/27

NOTE 1.....

...All processes shall be integrated in the business management system **and should be** controlled through appropriate key performance indicators (KPIs) and continuously improved.

5.6.2 Review input; page 34

As a minimum the following KPIs shall be reviewed:

- customer on time delivery performance, and
- **Non conformities raised by the customer** throughout the entire product life cycle.

7.7.4 Verification of purchased product; page 47

Verification activities **of the organization** shall include:

- a) obtaining objective evidence of the quality of the product from suppliers (e.g., accompanying documentation, certificate of conformity, test reports, statistical records, process control),
- b) review of the required documentation,**
- c) inspection of products upon receipt.**

The organization shall define activities accordingly in case of delegation of verification to the supplier, or supplier certification.

Verification activities of the organization should also include inspection and audit at supplier's premises,

8.2.3 Monitoring and measurement of processes; page 52

Each process identified as such in these requirements **should** be supported by key performance indicators and targets.

8.3.2 Customer waiver; page 53

Material shipped, which is subject to such a concession, **shall be clearly and appropriately identified**. This applies equally to purchase product.

8.4 Control of nonconforming processes; page 53

In the event of process **variation**, the organization shall have a process in place to:

- a) identify and record the variation, and if the process is non conform to take appropriate action to correct the non conforming process,**
- b) evaluate whether the process **variation** has resulted in product non conformity, and
- c) identify and control the non conforming product in accordance with clause 8.3.1.

CHAPTER 4: IRIS QUESTIONNAIRE

The purpose of the questionnaire printed in the IRIS Booklet revision 00 is only to show the principles of the assessment methodology, including maturity levels.

The content presents a former version of the IRIS questionnaire. Due to the received feedback during the validation phase some of the questions and assessment criteria might be revised.

The mandatory/valid IRIS questionnaire is programmed in the IRIS Audit-Tool, to be used during the certification process.

ANNEX 1: IRIS scopes of certification

The table contains level 1 and 2 of the rolling stock structure as specified in the current version (PBS MODTRAIN V4 [1].9-18MAY05) of the technical specifications for interoperability (TSI). The certification is based on the first level.

No	Description – 1 st level	No	Description – 2 nd level
1	Car body	1.1	Car body shell
		1.2	Under frame
		1.3	Floor
		1.4	Crash structure
		1.5	Windows
		1.6	Insulation
		1.7	Painting and Sound damping
		1.8	Fixing / connecting elements
2	Car body fittings	2.1	Front/End car body fittings
		2.2	Roof car body fittings
		2.3	Under frame car body fittings
		2.4	Lateral car body fittings
3	Guidance	3.1	Motor bogie
		3.2	Trailer bogie
4	Power System	4.1	Power supply
		4.2	Power generation
		4.3	Power conversion
		4.4	Power dissipation
		4.5	Power storage
5	Propulsion	5.1	Traction Control Unit (TCU)
		5.2	Gear box
		5.3	Traction motor
		5.4	Mechanical transmission
		5.5	Power converter
6	Auxiliary systems	6.1	Air supply system
		6.2	Hydraulic system
		6.3	Auxiliary electric system
		6.4	Main Auxiliary Converter equipment
		6.5	Low Voltage Power Supply / Battery Charger
		6.6	Special Aux. converter equipment
		6.7	Battery equipment
		6.8	External supply system
		6.9	Cooling unit for power and drive systems
		6.10	Fire protection system
		6.11	Sanding equipment
		6.12	Horn
		6.13	Flange lubrication device
7	Braking System	7.1	Brake control system
		7.2	Friction brake equipment
		7.3	WSP equipment
		7.4	Magnetic track brake equipment
		7.5	Emergency brake equipment
		7.6	Eddy current brake equipment

No	Description – 1st level	No	Description – 2nd level
8	Interiors	8.1	Interior architecture
		8.2	Interior equipment
		8.3	Toilet system
		8.4	Engine room
		8.5	Catering system
9	On board vehicle control	9.1	ETCS
		9.2	TCMS
		9.3	Heritage ATP unit
		9.4	ATO unit
		9.5	Fault data logger
		9.6	Heritage juridical recorder unit
		9.7	Voice recorder
		9.8	System, capture unit
		9.9	Video surveillance
		9.10	Electronic rear mirror
10	Passenger Information System	10.1	Public Address System
		10.2	Safety Alarm Systems
		10.3	Central PIS unit
		10.4	MMI for train/travel information
		10.5	Seat reservation
		10.6	Ticketing machine
		10.7	Entertainment
11	Communication systems	11.1	Train to wayside communication system
		11.2	Onboard communication system
12	Cabling and Cabinets	12.1	Cabling
		12.2	Cabinets
13	Door System	13.1	External doors
		13.2	Internal doors
14	HVAC	14.1	HVAC control unit
		14.2	Air conditioning system
		14.3	Heating system
		14.4	Air ventilation and distribution System
		14.5	Air intake
		14.6	Exhaust air unit
		14.7	Pressure protection system
15	Tilt System	15.1	Tilt Control Unit
		15.2	Actuating System
		15.3	Pantograph tilt system
		15.4	Tilt monitoring and detection
16	Lighting	16.1	Emergency lighting system
		16.2	Exterior lighting system
		16.3	Interior lighting system
17	Coupler	17.1	Front coupler
		17.2	Intermediate coupler
		17.3	Emergency coupler (Towing coupler)
18	Deleted		

ANNEX 3: Processes/activities to be documented in procedures

The thirteen (13) mandatory required documented procedures¹⁾ are listed below. The right column identifies the mandatory ones required by ISO 9001:2000.

Procedure	Clause	Processes/activities to be documented in procedures	
1	4.1	Transfer / outsourcing of contract activities	
2	4.2.3	Control of documents	ISO 9001
3	4.2.4	Control of records	ISO 9001
4	6.1	Provision of resources	
5	6.2.2.2	Training	
6	7.5.6	Design and development validation (test procedures)	
7	7.5.8	First article inspection (FAI)	
8	7.8.2.3	Maintenance for equipment and tools	
9	7.10	RAMS	
10	8.2.2	Internal audit	ISO 9001
11	8.3.1	Control of nonconforming product	ISO 9001
12	8.6.2	Corrective action	ISO 9001
13	8.6.3	Preventive action	ISO 9001

¹⁾ In respect of the business needs of a client, please note that the coverage of the processes mentioned above could differ from the titles in the table.

ANNEX 6: Terms and definitions for the railway industry

Term	Definition
<i>Outsourcing</i>	<i>Outsourcing is the <u>temporary</u> delegation of tasks or activities from internal product realization to an external entity (3rd party). Outsourcing is the procurement of up to now self performed services, whereas the <u>duration</u> and the <u>subject of matter</u> are contractually fixed.</i>