



IRIS

Certification

INTERNATIONAL RAILWAY INDUSTRY STANDARD (IRIS) - THE NEW GLOBAL QUALITY STANDARD FOR THE RAILWAY INDUSTRY

Date & time: 22 September 2006, 10.00 - 12.00 pm

Place: InnoTrans – Messe Berlin, Hall 7, Room Europa

Organiser: UNIFE



***International Railway Industry Standard
(IRIS)***

A Quality Standard for the Railway Industry



***Andreas Heinzmann
Chairman of the IRIS Group***

- **IRIS is a common global system for the evaluation of Business Management Systems specific to the railway industry, including:**
 - One internationally recognized standard based on the key principles of ISO 9001 and specific to the railway industry.
 - A common web-based information tool.
 - One harmonized evaluation process that is supported by an audit tool and to be performed by approved certification bodies.



MANAGING RISK

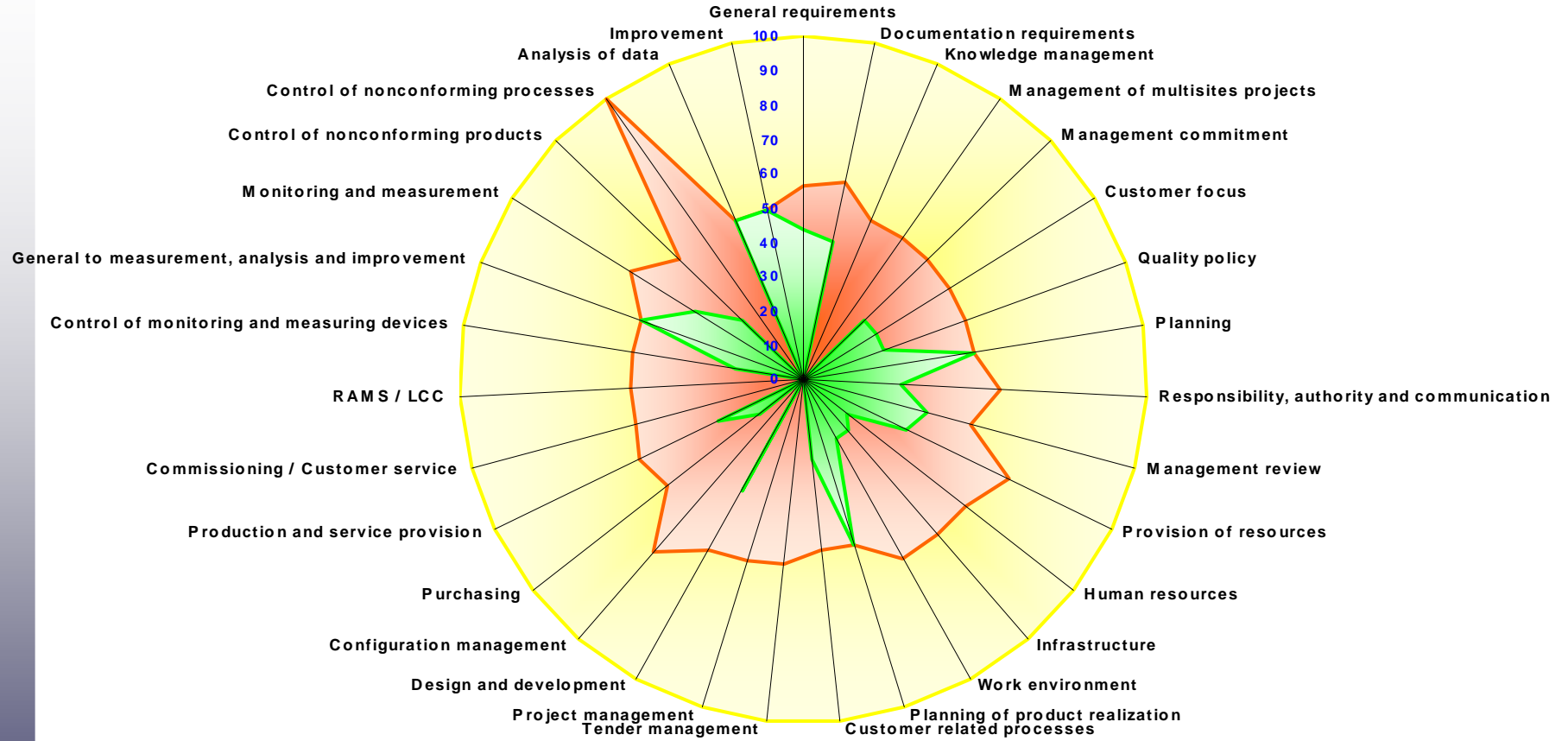


- Operators have requested improvements to the ***quality*** of the supply chain for rolling stock.

- Railway Equipment Manufacturers have requested rationalization of the ***quantity*** of different requirements and audits from Rolling Stock manufacturers.



IRIS
is the solution
to your
requests



ISO 9001 Requirements

Min. IRIS requirements

Max. IRIS requirements

1. Prerequisites for Certification

- Detailed pre-assessment of the K.O. questions

| 7.5.8 | First article inspection | | | | |
|-------|---|--|---|--|--|
| | <p>Does the organization's system provide a documented procedure defining inspection, verification, and documentation of a representative item from the first serial production run of a new part, or following any subsequent change that invalidates the previous first article inspection result?</p> <p>“K.O.” question</p> | | <p>Documented procedure defining inspection, verification, and documentation of a representative item from the first serial production run of a new part, or following any subsequent change that invalidates the previous first article inspection result</p> <p>NOT scored</p> | | |

- Cross reference check against

- IRIS documented procedures
- IRIS required processes

2. Assessment methodology (maturity levels & scoring)

| Question | POOR | DEFINED | QUALIFIED | OPTIMIZED |
|---|--|--|---|--|
| Tender management | | | | |
| <p>How are risks related to the product reviewed? Does the organization have a multidisciplinary approach prior to commitment to start the quotation process?</p> <p>“Open” question</p> | <p>- Process defined and implemented. - multi-disciplinary approach, prior to the submission of the quotation and records maintained</p> | <p>Plus: - formal review and defined process available - risks are continuously monitored, updated</p> | <p>Plus: The effectiveness of the risk assessment was analysed on a regular basis</p> <p>3</p> | <p>Plus: Continuous improvement of the risk assessment process including tools</p> |
| <p>As a minimum, are project / product requirements identified, controlled and validated?</p> <p>“Closed” question</p> | | <p>Identification of requirements as before formal validation process- formal approval process</p> <p>2</p> | | |

Σ of points / max points \geq Threshold (~50 %)

3. Corrective or improvement actions

| Compliance | Level | Actions requested | |
|---------------|---------------------|---|---|
| | | open question | closed question |
| Compliant | <i>optimized</i> | no specific action expected | |
| | <i>qualified</i> | improvement action <u>might</u> be expected | |
| | <i>defined</i> | improvement action requested; to be <u>closed within 12 months</u> | no specific action expected |
| Non Compliant | <i>poor</i> | corrective action requested; to be <u>closed within 90 days</u> | |
| | <i>insufficient</i> | corrective action requested; to be <u>re-audited within 90 days</u> | corrective action requested; to be <u>re-audited within 90 days</u> |

4. Compensative and rewarding approach

Once certified, the client has to undergo “surveillance” audits at least once per year, but ...

if the global score $\geq 75\%$ than it depends:

The better the result, the less time you will need to spend in audits over time.

| if main clauses scored: 75- 80% | if main clauses scored: $\geq 80\%$ |
|---|---|
| Main clauses will be only partially audited. Purpose to improve the related processes in order to achieve score $\geq 80\%$ | Main clauses will be dealt with only during the re-certification process (each 3rd year); but could be audited on Client's demand. |

5. Requirements to auditors (experiences/examination)

Auditors shall:

- have a minimum of 3 years railway industry experience
→ in the respective scopes,
- have participated in at least 4 certification audits or for a minimum of 20 audit days,
- have passed the IRIS training and examination, First level
(in accordance with TSI)
- speak the local language, plus English.

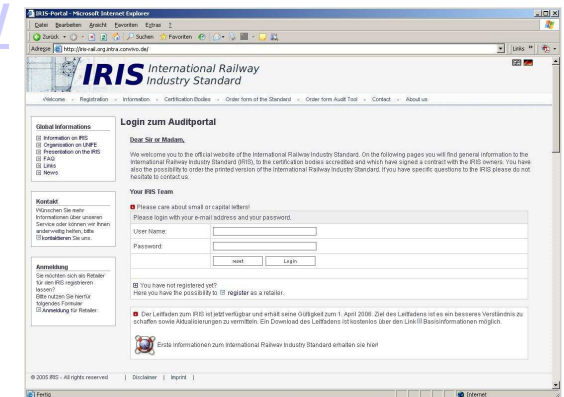
| | |
|--------------------------------------|----------------------------------|
| 1 Car body | 10 Passenger Information Systems |
| 2 Car body fittings | 11 Communication systems |
| 3 Guidance (Bogies and running gear) | 12 Cabling and Cabinets |
| 4 Power System | 13 Door System |
| 5 Propulsion | 14 HVAC |
| 6 Auxiliary systems | 15 Tilt System |
| 7 Braking System | 16 Lighting |
| 8 Interiors | 17 Coupler |
| 9 On board vehicle control | |

6. Availability / maintenance of information

- IRIS web portal <http://www.iris-rail.org/>

provides valuable information like:

- IRIS approved Certification Bodies
- IRIS certified Companies
- Audit results ¹⁾
- Auditor performance ¹⁾



¹⁾ access restricted

and supports sales/distribution of IRIS booklet.

- IRIS audit tool

contains the IRIS questionnaire, supports audit execution and reporting, and automatically transfers audit results into the Portal.

On May 18th 2006 IRIS went live (Phase 1)

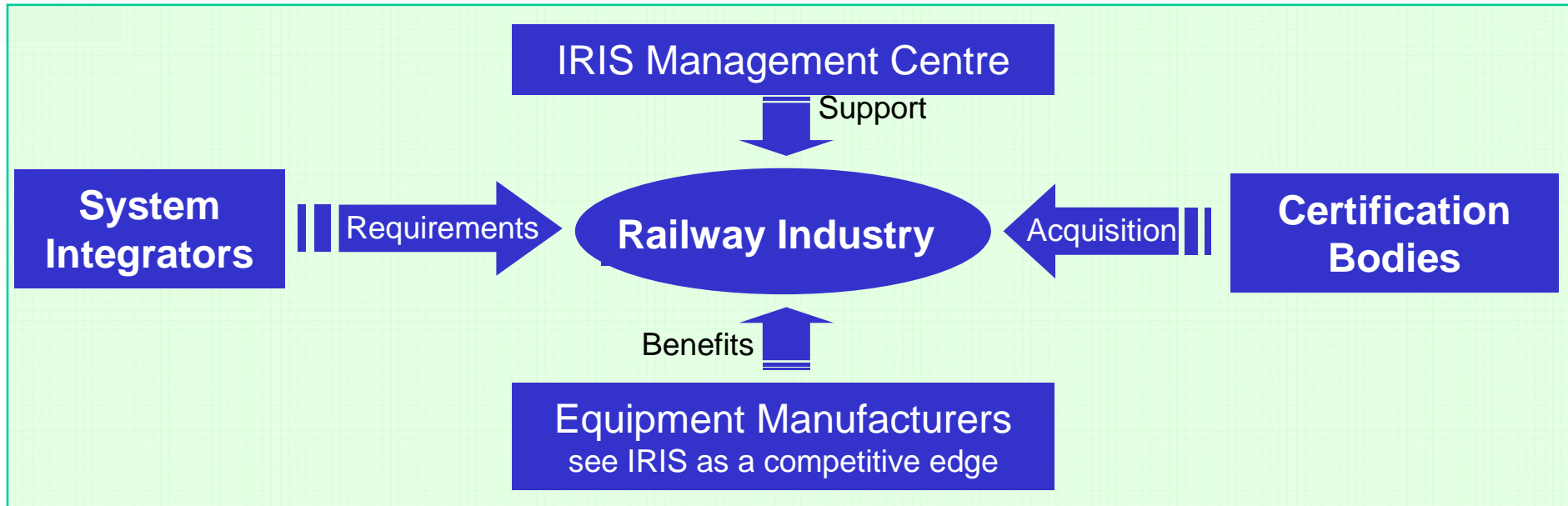
IRIS Certification Scheme is available.

The IRIS Management Centre in Brussels is in operation.

Rolling stock equipment manufacturers can apply for IRIS Certification at IRIS approved certification bodies.

Bombardier Transportation, Alstom Transport, Siemens Transportation Systems and AnsaldoBreda will recognize IRIS Certificates.

In future, it might become a win - win situation also for Operators & Nobo's, sharing the benefits of IRIS within the whole supply chain!



Success factors

active System Integrators

- Communication to suppliers
- Reduction of Auditing

active Railway Corporations

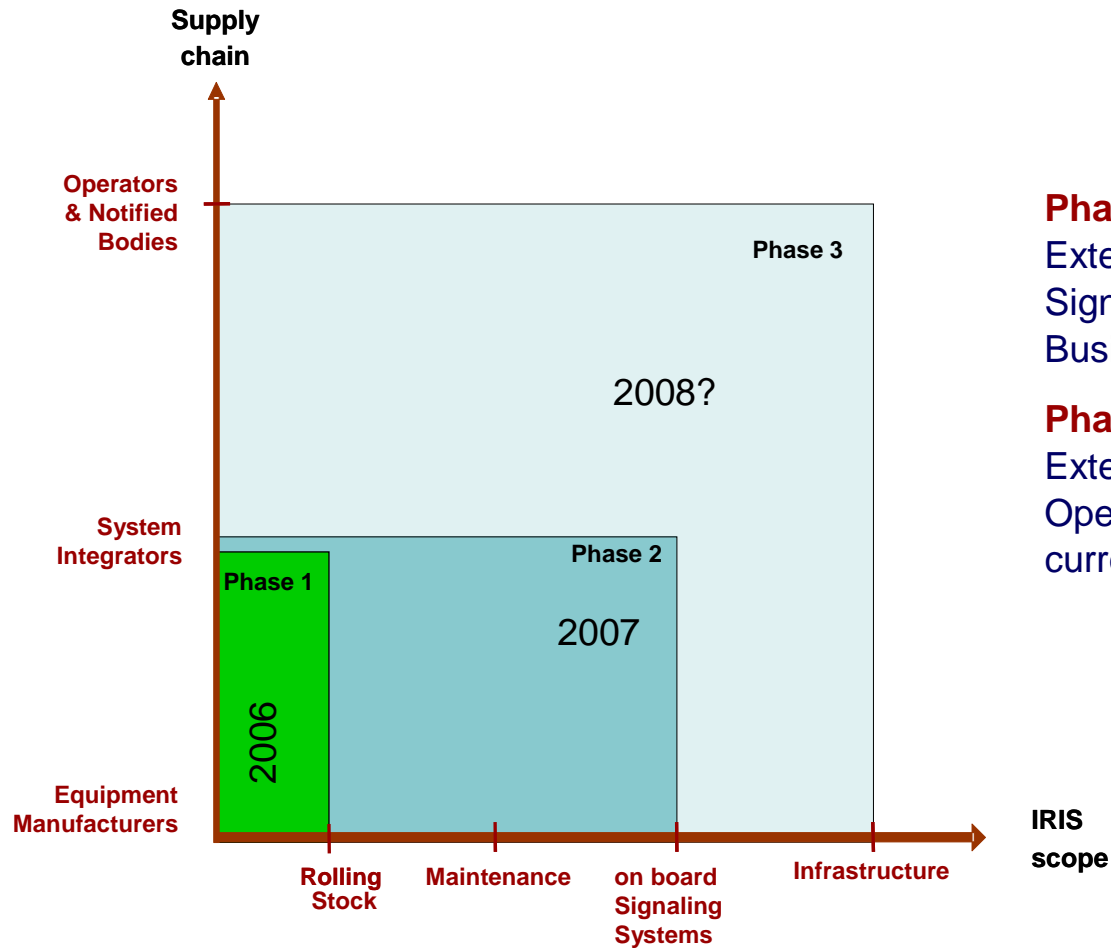
- Training and Gap Closure
- Improvements dominate efforts

active Certification Bodies

- Market awareness
- Performance of Auditors

supportive Management Centre

- Responsiveness
- Learning



Phase 2 (2006-07):

Extension of IRIS scope for on-board Signalling Systems and Maintenance Business.

Phase 3:

Extension to Notified Bodies and Operators planned; Infrastructure is currently under discussion.

further information may be obtained from:

IRIS Management Centre

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Thank you for your attention !

