

99159014006003

# Anerkennung als BS, BSt, UBS, ECMZ Genehmigung als UBS

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<https://fimportal.de/xzufi-services/104219439/B100019>

Modul	Sachverhalt
Leistungsschlüssel	99159014006003
Leistungsbezeichnung I	Anerkennung als BS, BSt, UBS, ECMZ Genehmigung als UBS
Leistungsbezeichnung II	Apply for recognition as an Independent Valuation Body (UBS)
Typisierung	1 - Bund: Regelung und Vollzug
Quellredaktion	Bund
Freigabestatus Katalog	fachlich freigegeben (gold)
Freigabestatus Bibliothek	unbestimmter Freigabestatus
Begriffe im Kontext	
Leistungstyp	Leistungsobjekt mit Verrichtung
Leistungsgruppierung	
Verrichtungskennung	Genehmigung (6)
SDG-Informationsbereich	Erlangung von Lizenzen, Genehmigungen oder Zulassungen im Hinblick auf die Gründung und Führung eines Unternehmens

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Lagen Portalverbund	Erlaubnisse und Genehmigungen (2010400), Prüfung und Nachweise für Sachkunde und Sicherheit (2120300)
Einheitlicher Ansprechpartner	Nein
Fachlich freigegeben am	22.10.2024
Fachlich freigegeben durch	Federal Ministry for Digital and Transport Affairs (BMDV)
Handlungsgrundlage	<a href="https://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ%3AL%3A2013%3A121%3A0008%3A0025%3Ade%3APDF">https://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ%3AL%3A2013%3A121%3A0008%3A0025%3Ade%3APDF</a> <a href="https://www.gesetze-im-internet.de/aeg_1994/_5.html">https://www.gesetze-im-internet.de/aeg_1994/_5.html</a>
Teaser	If your company is active in the railroad sector and would like to work as a so-called Independent Assessment Body (UBS), it needs to be recognized by the Federal Railway Authority (EBA).
Volltext	<p>Would you like to assessment body in the rail sector? Then you must from the Federal Railway Authority (EBA) as an Independent Assessment Body (UBS). In your application, you can also limit yourself to a selection of the areas of activity and expertise listed below.</p> <p>Independent assessment body (UBS)</p> <p>Independent assessment bodies assess the processes and results of risk management procedures in the rail sector. Risk management procedures are carried out in accordance with the European safety method for risk assessment. UBS prepare safety assessment reports.</p> <p>UBS reviews the documents and then carries out an independent assessment of suitability. The assessment focuses on both the application and the results of the risk management process in the following areas:</p> <ul style="list-style-type: none"> <li>• Rail vehicles, for example, running gear, wheelset, braking equipment, vehicle structure / strength.</li> <li>• Infrastructure, for example building construction, structural engineering and level crossings.</li> </ul>

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- Energy, e.g. traction current switchgear, track straightening stations, converter stations, catenary systems.
- Train control / train protection and signaling, for example level crossing technology, radio systems, signal box technology.
- Operation e.g. rules for operation and legal obligations, operation of infrastructure, organizational requirements.
- Maintenance of railroad vehicles (ECM), e.g. legal standards and maintenance regulations, environmental protection, joining technology and NDT.

Recognition as a UBS

UBSs can be both natural persons and organizations.

The following, for example, can apply for recognition as a UBS

- Rail transport companies,
- Railroad infrastructure companies,
- manufacturers.

Recognition as a UBS is valid for a maximum of 5 years. They can extend it for a further 5 years. Recognition as a UBS is reported by the EBA to the European Railway Agency (ERA) and published in the database of the European Union Agency for Railway Interoperability and Safety (ERADIS).

Recognized UBSs are regularly monitored by the EBA.

## Erforderliche Unterlagen

- a description of your activities in the context of the assessment, your procedures within the framework of the assessment procedures and the structural areas (infrastructure, energy supply, train control/command and signaling (CCS), rolling stock, operation, maintenance of railroad vehicles) that you cover
- Completed form "F10b" checklist in accordance with DIN EN ISO/IEC 17020
- Depending on the field of activity for which you wish to be recognized, in addition to application form F09c: Form "F09c1" - Rail vehicle expertise Form "F09c2" - Infrastructure expertise Form "F09c3" - Specialist

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competence in energy Form "F09c4" - Professional competence ZZS Form "F09c5" - Operational expertise Form "F09c6" - Maintenance of railroad vehicles (ECM)

- If applicable, current certificate of accreditation according to DIN EN ISO/IEC 17020
- If applicable, current certificate of certification in accordance with ISO 9001
- If applicable, confirmation of appointment as railroad operations manager (EBL) in accordance with EBV In addition: documents on relevant further training in the past years (at least 3 years)
- If applicable, current certificate of ECM certification in accordance with Regulation (EU) 445/2011 or Regulation (EU) 2019/779
- If applicable, evidence as an EBA-approved expert person
- If applicable, current certification certificate of the CSM-SMS in accordance with Regulation (EU) 2018/7622
- Proof of safety approval (SiGe), if applicable
- Other proof of competence

## Voraussetzungen

To be recognized as a UBS, you must

- have your registered office in the Federal Republic of Germany.
- have the number of employees with specialist knowledge and sufficient relevant experience specified in European law.
- have the relevant descriptions of procedures according to which the assessment is carried out in order to ensure transparency and the possibility of applying these procedures.
- have appropriate policies and procedures in place that distinguish between the tasks you carry out as an IAB and other activities.
- have appropriate procedures for carrying out your activities. The procedures shall take into account The size of your business, the sector in which you operate, your company structure and the degree of complexity of the product technology in question
- have the necessary resources to carry out the technical and administrative tasks associated with the assessment in an appropriate manner. In addition, you must have access to any equipment or facilities

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required.

- Have liability insurance for personal injury, property damage and financial loss, with a minimum sum insured of EUR 2.5 million for each insured event and at least 2 times the cover for the entire year.
- be impartial, which means you must have no connection whatsoever with the organization or the manufacturer of the product you are evaluating if you and the organization or the manufacturer belong to the same trade or professional association: there must be no conflicts of interest whatsoever, the requirements for independence in accordance with DIN EN ISO/IEC 17020 Chapter 4.1 and Annex A apply to UBS.

## Kosten

The fees you have to pay are based on the time required to process your application:

- Hourly rate: EUR 120.00
- for every quarter of an hour or part thereof: EUR 30.00

## Verfahrensablauf

You can apply online for recognition as an Independent Assessment Body (UBS). If required, you can arrange a free information meeting with the EBA before submitting your application.

If you wish to apply for recognition as a UBS, the following steps are necessary:

- Download the application forms F09c, F09cx and F10b from the website of the Federal Railway Authority and complete them in full.
- Call up the EBA's e-Service portal.
- Log in with your user data. If you do not yet have a user account for the e-Service portal, you must register once.
- Select the procedure and the type of job.
- The application wizard will guide you step by step through the required information.
- Upload the required documents as a file and submit the application. Supported file formats: PDF, DOCX, DOC, XLSX, XLS, maximum 30 megabytes per file.
- You will receive an automated confirmation of receipt by e-mail when the application has been received.

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- If necessary, you will receive an additional request for documents still to be submitted by e-mail.
- The EBA will confirm the completeness and verifiability of your application for recognition and put together an assessment team.
- Once the content has been checked, you will receive a list of assessment questions to answer.
- Submit the answered assessment questionnaire as a follow-up submission via the e-Service.
- The EBA will check the content of the documents you have submitted.
- If the results of the review are insufficient, the EBA will carry out an on-site assessment with you.
- Once the assessment has been completed, the assessment team submits an assessment report to the Recognition Committee and makes a proposal regarding recognition.
- The recognition body at the EBA decides on recognition. If recognition is granted, the EBA will send you the draft certificate of recognition, including the annex, and ask you to submit a statement on it within 2 weeks.
- If you do not submit a statement or if the certificate of recognition has been agreed between the EBA and you as a result of the statement, the EBA will finalize the notice of recognition and the certificate and send them to you by post together with the assessment report.
- You will also receive a notification of costs, which will also be sent to you by post. Pay the fees.

**Bearbeitungsdauer**

6 - 24 Monat(e)

**Frist**

5 Jahr(e)

Recognition is valid for a maximum of 5 years and can be extended for a further 5 years.

**weiterführende Informationen**

[https://www.eba.bund.de/SharedDocs/Downloads/DE/Bewertungsstelle/D02\\_UBS\\_Handbuch\\_Anerkennungsv erfahren.pdf](https://www.eba.bund.de/SharedDocs/Downloads/DE/Bewertungsstelle/D02_UBS_Handbuch_Anerkennungsv erfahren.pdf)  
[https://www.eba.bund.de/DE/Themen/Bewertungsstellen/bewertungsstellen\\_node.html](https://www.eba.bund.de/DE/Themen/Bewertungsstellen/bewertungsstellen_node.html)

**Hinweise**

There are no indications or special features.

**Rechtsbehelf**

- Contradiction. Detailed information on how to lodge

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	<p>an objection can be found in the notification.</p> <ul style="list-style-type: none"> <li>• Administrative court action.</li> </ul>
Kurztext	<ul style="list-style-type: none"> <li>• Recognition as BS, BSt, UBS, ECMZ Approval as UBS</li> <li>• Independent assessment bodies (UBS) in the railroad sector carry out safety assessments</li> <li>• Recognition as an Independent Assessment Body (UBS) is required in order to be able to act as an independent assessment body</li> <li>• Fees are calculated according to time spent: Hourly rate EUR 120.00 EUR 30.00 per quarter of an hour or part thereof</li> <li>• Application: online</li> <li>• Deadlines: none</li> <li>• Processing time usually between 6 months and 2 years</li> <li>• Responsible: Federal Railway Authority (EBA)</li> </ul>
Ansprechpunkt	
Zuständige Stelle	
Formulare	<p>Forms available: Yes</p> <p>Written form required: No</p> <p>Informal application possible: No</p> <p>Personal appearance necessary: No</p> <p>Online services available: Yes</p>
Ursprungsportal	<p>Anerkennung als BS, BSt, UBS, ECMZ Genehmigung als UBS, Anerkennung als BS, BSt, UBS, ECMZ Genehmigung als UBS</p>