

# UIC Code

# 898

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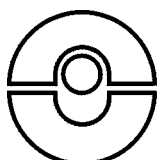
2nd edition, June 1999

*Translation*

## **Provision of services relating to the quality of railway products: General framework**

*Fournitures de prestations de services relatives à la qualité des produits ferro-  
viaires : Cadre général*

*Erbringung von Dienstleistungen in Bezug auf die Qualität der Produkte für  
den Bahnbereich allgemeiner Rahmen*



*Union Internationale des Chemins de fer  
Internationaler Eisenbahnverband  
International Union of Railways*

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# UIC



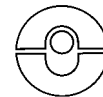
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**Leaflet to be classified in Section :**

VIII - Technical Specifications

**Application :**

With effect from 1st January 1999  
All UIC Members



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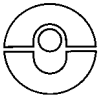
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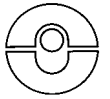
# Contents

<b>Summary .....</b>	<b>1</b>
<b>1 - Purpose of the leaflet .....</b>	<b>2</b>
<b>2 - Definitions .....</b>	<b>3</b>
<b>3 - Services subject to a contract.....</b>	<b>4</b>
<b>4 - Rules for the use of a table.....</b>	<b>6</b>
<b>5 - Additional provisions to be contained in service contracts.....</b>	<b>7</b>
5.1 - Provision of documents needed to perform a service .....	7
5.2 - Translation of documents .....	7
5.3 - Duration and scope of the service contract.....	7
5.4 - Contact persons .....	7
<b>6 - Provisions governing handling of requests for a service .....</b>	<b>8</b>
<b>7 - Provision of a service.....</b>	<b>9</b>
7.1 - Amendment or termination of a contract .....	9
7.2 - Liability of parties to a contract.....	9
7.3 - Confidentiality.....	9
7.4 - Marking .....	10
<b>8 - Provisions for dealing with non-compliance .....</b>	<b>11</b>
<b>9 - Invoicing.....</b>	<b>12</b>
<b>Appendix A - Definition of terms used in the table.....</b>	<b>13</b>
<b>Appendix B - Services provided between railways .....</b>	<b>17</b>
<b>Appendix C - .....</b>	<b>20</b>
<b>Appendix D - Non-compliance report form .....</b>	<b>21</b>
<b>Appendix E - Method of defining bilateral settlements of payment for mutual     exchanges of services .....</b>	<b>24</b>
E.1 -Payment for expenses incurred.....	24



E.2 -Payment on a percentage basis of the value of an order .....	24
E.3 -Payment per item .....	25
E.4 -Payment based on a set amount.....	25
E.5 -Minimum payment .....	25

<b>Bibliography .....</b>	<b>32</b>
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# Summary

UIC Leaflet 898 R sets a general framework designed to facilitate the mutual provision of services relating to the quality of railway products between "railway undertakings" (in the broadest sense of the term).

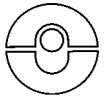
Whenever this leaflet is used, it is recommended that a bilateral application contract be drawn up.

The leaflet:

- gives a precise definition of all the terms used (See "Definition of terms used in the table", on page 13),
- lists the different service provision scenarios (See "Services provided between railways", on page 17), giving details of:
  - the type of service to be provided,
  - the mode or nature of the service provider's involvement,
  - the contractual documents to be used,
  - the proof of conformity to be given on completion of the service.
- indicates the additional provisions that may be included in the service contract,
- offers provisions in the following areas:
  - handling of requests for services,
  - the execution of the service itself,
  - dealing with irregularities.

The leaflet also includes two preprinted forms, each in three languages, to cover:

- individual requests for services between "railway undertakings",
- the reporting of any irregularities.



# 1 - Purpose of the leaflet

This UIC Leaflet sets out the procedures governing exchanges of services performed by UIC member railways at manufacturers' plants.

These procedures also concern:

- assessment, qualification or supervision of manufacturers,
- inspection of products to be used in railway operations.

Product qualification and technical approval procedures are not dealt with in this leaflet; they are governed by other documents (2 +2 document under preparation).

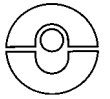
Exchanges of services between two railway undertakings shall be defined in a service contract concluded between the two parties.

This leaflet defines the general framework governing provision of these services, specifies the details to be included in service contracts and contains specimen contracts.

The term "service provider" denotes the railway undertaking providing a service; the term "customer" denotes the party requesting a service.

The term "railway undertaking" is used for both infrastructure managers and any railway undertaking providing transport services.

This leaflet also applies to railway undertakings providing maintenance services.

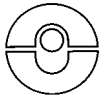


## 2 - Definitions

The quality management terms used in this leaflet are those defined in *ISO Standard 8402* (See “*ISO standard 8402 "Quality Management and Quality Assurance - Vocabulary", 1994*”, on page 32) and *ISO/IEC Guide No. 2*. (See “*ISO/IEC Guide No. 2 "Standardisation and Related Activities - General Vocabulary", 1996*”, on page 32)

Terms not contained in the above-mentioned standard are defined in Appendix A (See “*Definition of terms used in the table*”, on page 13).





### 3 - Services subject to a contract

The scope of services covered by a contract shall be adapted to various requirements, for example:

- single one-off service provided at a given manufacturing plant,
- service provided for a specified period of time at a given manufacturing plant,
- service provided for a specified period of time at the plants of several manufacturers of the same family of products,
- service provided for an unspecified period of time for a product or family of products at the plants of all manufacturers concerned.

The summary table below (See “Services exchanged between railways”, on page 5) shows the different types of services that may be subject to a contract, the types of work that may be requested and the documents to be used or provided.

To avoid any misinterpretation, the meaning of a number of terms used in the table is given in Appendix A. (See “Definition of terms used in the table”, on page 13)

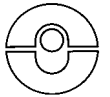
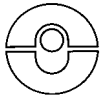


Table 1 : Services exchanged between railways

A	B	C	D
Type of service to be provided	Type of work involved	Contractual documents used	Proof of conformity provided on completion of the service
For definition of terms (See "Definition of terms used in the table", on page 13)			
1. inspection/testing of mass-produced items	1. individual inspection of products prior to delivery	1. plans, diagrams, drawings	1. inspection/testing certificate
2. inspection/testing at start of manufacture	2. inspection by sampling prior to delivery	2. inspection/testing instructions or guidelines	2. conformity certificate
3. Mass production quality assurance	3. periodical intervention	3. check list	3. quality assurance
4. Quality assurance at start of manufacture	4. quality audit	4. assessment questionnaire or guide	4. assessment/qualification report
5. technical qualification of a manufacturer		5. technical standards or specifications	5. audit report
6. assessment of a manufacturer's quality organisation		6. quality plan, inspection/testing plan	6. other documents (to be specified in the contract)
7. assessment of a manufacturer's quality control of a contract			7. stamping, marking
8. qualification of manufacturing or inspection processes for a given product			8. no specific requirements
9. verification of staff qualifications			
10. other services	10. special provisions	10. special provisions	10. special provisions



## 4 - Rules for the use of a table

Column A of the Table 1 lists the type(s) of services that may be covered by a contract, while Columns B, C and D indicate the details that must be specified in the contract for the service to be performed (See “Services exchanged between railways”, on page 5).

The nature of the service requested is defined by combining the elements in the various columns.

Details in each of the columns are numbered to help the applicant to state clearly the services requested when drawing up a contract.

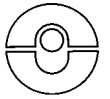
Examples: (See “Services exchanged between railways”, on page 5)

- A1, B2, C1, D2 : inspection of mass production by sampling prior to each delivery, based on plans, diagrams, drawings, and resulting in issue of a conformity certificate.
- A5, B4, C4 and C5, D4 : technical qualification of a manufacturer through a quality audit, based on an assessment questionnaire and technical specifications or standards, resulting in a qualification report.
- A3, B3, C6, D3 : monitoring of mass production according to a programme of periodical inspections, based on application of a quality plan, resulting in a quality assurance.
- A7, B4, C6, D5 : assessment of quality control of a contract by a manufacturer by means of a product quality audit based on a quality plan or an inspection plan, followed by an audit report.

Some combinations in the table are not possible, e.g. :

- A1, B4, C2, D5,
- A3, B2, C5, D4,
- A2, B3, C4, D3, etc.

Appendix B (See “Services provided between railways”, on page 17) contains a specimen contract form which can be used for simple ad hoc services not requiring any special provisions; Appendix C contains an example of a service contract.



## 5 - Additional provisions to be contained in service contracts

When necessary, the following provisions shall be specified in the contract: (See “Services provided between railways”, on page 17)

### 5.1 - Provision of documents needed to perform a service

The contract shall specify the documents provided by the customer and those provided by the manufacturer.

### 5.2 - Translation of documents

The arrangements for translation of the documents needed for the services shall be specified in the service contract.

Translation into the language of the country in which the service is provided, of documents or excerpts from documents strictly necessary for services involving inspection of manufactured products and quality surveillance (in particular of contracts), shall be provided by the manufacturer to the service provider if the latter so requests; the manufacturer shall be informed of these provisions.

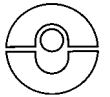
### 5.3 - Duration and scope of the service contract

The service contract should contain at least the following information:

- the order in accordance with Appendix B (See “Services provided between railways”, on page 17),
- contract duration (for example, an annual contract),
- details about the number of manufacturers, business sectors or families of products concerned,
- lead times and quantity of products involved,
- other necessary details.

### 5.4 - Contact persons

In order to facilitate contacts between the customer and the service provider, it is recommended that the contract specify the names and contact details (address, telephone and fax number) of the customer's representatives who can be contacted regarding the contract itself, the order with the manufacturer, or for dealing with non-conformity matters.



## 6 - Provisions governing handling of requests for a service

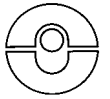
The service provider shall submit an estimate for all services requested by a customer.

The service provider may propose changes in the contract for a given service and depending on the his/her knowledge of the manufacturer (for example: carry out periodical surveillance of manufacture instead of batch inspection).

If the service provider considers that because of the type of service requested by the customer, it is not possible to ensure quality of the service, it shall inform the customer (Appendix D) (See “Non-compliance report form”, on page 21).

In the event of a request for an ad hoc service, the form in Appendix B (See “Services provided between railways”, on page 17) may be used by the service provider to confirm acceptance of the contract and the charge for the service to the customer (See “Invoicing”, on page 12).

The customer shall inform the manufacturer of the contract signed with the service provider.



## 7 - Provision of a service

Documents required to perform the service shall be sent to the service provider by the customer; for a service relating to a supply contract, the customer shall send two copies of excerpts from the contract to the service provider.

If the customer has no special requirements regarding the manner in which the service is to be performed, the service provider shall carry out the work on the manufacturer's premises according to the provisions it applies customarily for its own purposes.

For services performed in accordance with this leaflet, the service provider shall take the same care as it for its own purposes.

### 7.1 - Amendment or termination of a contract

The contract between the service provider and the customer may be amended or terminated at the request of one or the other of the two parties if:

- the actual supply contract has been modified (duration, quantity, etc.) or terminated,
- the service is not satisfactory to the customer,
- the service provider considers that the service requested is not suitable or cannot be performed.

An exchange of letters shall authenticate the agreement of the two parties, set out the conditions of amendment or termination and specify the reasons.

### 7.2 - Liability of parties to a contract

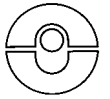
The contract signed between the customer railway undertaking and the manufacturer shall specify that all the services carried out on the manufacturer's premises shall not relieve the latter of its liability in respect of the customer.

Authorisation issued to a manufacturer to deliver products shall not imply automatic acceptance of these products by the customer railway undertaking.

Contractual acceptance of products on order shall be declared solely by the customer railway undertaking.

### 7.3 - Confidentiality

The service provider is bound by the obligation to observe confidentiality in respect of the findings made or of information collected during the work carried out on manufacturers' premises

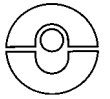


## 7.4 - Marking

If requested by the customer in the contract, the service provider may be required to mark or stamp:

- samples or test pieces used for tests,
- all pieces which it considers comply with the documents relating to fulfilment of the order. For parts ordered in large numbers and delivered grouped together in packaging or with an inviolable binding, the marking shall be placed on a label attached to each package and inseparable from the latter,
- documents attesting to the conformity of products in the supply contract or authorising their despatch.

If no marking is possible, the service provider shall inform the customer accordingly.



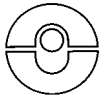
## 8 - Provisions for dealing with non-compliance

If the service provider notes that the requirements specified by the customer are not met by the manufacturer, it shall immediately inform the customer, which shall decide on the action to be taken (See "Non-compliance report form", on page 21).

When non-compliance concerns product manufacture, the service provider may refuse to allow despatch of the products pending the customer's final decision.

When parts monitored or inspected by the service provider are recognised by the recipient as failing to comply with the conditions set out in the order, the service provider shall carry out the same work for the replacement supplies at no extra cost, except in the case that the parts have been damaged during transport.

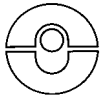




## 9 - Invoicing

It is recommended to arrange for payment of services through bilateral agreements between the service provider and the customer. Appendix E (See “[Method of defining bilateral settlements of payment for mutual exchanges of services](#)”, on page 24) describes methods for defining payment for services provided mutually.

In the event of joint procurement of basic supplies, in-plant quality assurance shall generally be provided free of charge by the railway undertaking of the country of manufacture. For more complex cases, the provisions shall be examined on a case-by-case basis.



# Appendix A - Definition of terms used in the table

The following definitions are used to describe the work performed by the service provider. They are supplementary to ISO Standard 8402 of January 1994: Quality Management and Quality Assurance - Vocabulary.

## **A1 - Inspection/testing of mass-produced items:**

Mass-produced items are inspected or tested by the manufacturer. The service provider is present during these inspections/tests and takes part when it considers that this is necessary.

## **A2 - Inspection/testing at start of manufacture:**

Inspections or tests are performed by the manufacturer on the first products of this type produced. The service provider is present during these inspections/tests and takes part when it considers that this is necessary.

## **A3 - Mass production quality assurance**

Monitoring of mass production covers a broader area than product inspection/testing (See “A1 - Inspection/testing of mass-produced items:”, on page 13). It involves continual (constant or periodical) supervision and verification of the condition of products manufactured and analysis of records in order to ensure that specified requirements are met.

When the service provider performs these services for its own purposes at the manufacturing plant, the monitoring action requested by the customer is included in the service provider's own activities unless the customer has any specific requirements.

## **A4 - Quality assurance at start of manufacture:**

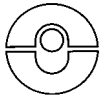
Quality assurance at the start of mass production covers a broader area than inspection/testing of products at the start of manufacture (See “A2 - Inspection/testing at start of manufacture:”, on page 13). It is designed to ensure control over the manufacturing and inspection process and that specified requirements are met on the first mass-produced items. Quality assurance at the start of manufacture should also make it possible to guarantee that specified requirements will be maintained throughout mass production.

## **A5 - Technical qualification of a manufacturer:**

Assessment of the organisation and of the production and inspection resources of a manufacturer in order to ascertain whether it is capable of manufacturing products complying with contractual requirements. Technical qualification must generally be performed prior to signature of a contract.

## **A6 - Assessment of a manufacturer's quality organisation:**

Systematic examination of the quality organisation set up by a manufacturer throughout its company to ensure quality control of products manufactured.



The quality control assessment is performed separately from any contract, for example for the purpose of selecting a manufacturer.

**A7 - Assessment of a manufacturer's quality control of a contract:**

Examination of the quality provisions applied by a manufacturer within the framework of a given contract to manufacture a product complying with contractual requirements; these provisions also concern control by the manufacturer of its own sub-contractors.

**A8 - Qualification of manufacturing or inspection processes for a given product:**

Action carried out at a manufacturing plant to show that a manufacturing or inspection process is able to meet specified requirements (for example: qualification of a welding, heat treatment or non-destructive test process, etc.). The process must guarantee that the product is manufactured in accordance with specified requirements.

**A9 - Verification of staff qualifications:**

Action carried out among a manufacturer's staff to check that its employees have the ability to meet specified requirements (example: welders, NDT operators, etc.) or that it uses qualified outside staff.

**A10 - Other services:**

This heading encompasses sundry and infrequent types of services : sampling, monitoring of sub-contractors or tests in an outside laboratory, etc.

**B1 - Individual inspection of products prior to delivery:**

**Primary field of use:** Products ready to be delivered for which inspection by sampling is not suitable (high-cost product or product involving risks) and for which the results obtained from sampling will not yield sufficiently reliable conclusions regarding the quality of the order as a whole.

Prior to any delivery, the service provider is present at inspections/tests performed by the manufacturer on the products to be delivered.

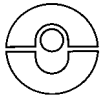
**B2 - Inspection by sampling prior to delivery:**

**Primary field of use:** Products or partial quantities ready to be delivered for which the quantity manufactured is such that sufficiently reliable conclusions can be drawn regarding the quality of the order as a whole from the result obtained on a representative sampling.

Prior to any delivery, the service provider is present at inspections/tests performed by the manufacturer on a number of items selected by sampling from the total quantity to be delivered. The items subject to inspection/tests are selected by the service provider. If the number of items to be included in the sample is not specified in the relevant technical specifications or standards, the customer must indicate this to the service provider in the service contract.

**B3 - Periodical intervention:**

**Primary field of action:** Manufacturer awarded contracts for large or numerous orders for which manufacture takes place practically continuously. The service provider does not intervene prior to each delivery.



The service provider monitors the manufacturing and inspection process at regular intervals; these monitoring activities are programmed according to the number and frequency of contracts, the products concerned and the confidence placed in the manufacturer by the service provider. The customer may quantify the service requested for periodical intervention (e.g. number of checks in a given period, maximum volume in terms of time, etc.).

## **B4 - Quality audit:**

Depending on the type of service requested, the audit performed may be a:

- quality system audit,
- product quality audit,
- process quality audit.

## **C2 - Inspection/testing instructions or guidelines:**

Specific inspection/testing provisions requested by the customer of the service provider in the service contract. These provisions must also be contained in the supply contract signed with the manufacturer by the customer and cannot contradict them.

## **C3 - Check list:**

List of inspection/testing operations to be performed.

## **C4 - Assessment questionnaire or guide:**

Support document used by the service provider to perform a service; this guide may be standard or specific to the service performed.

## **C6 - Quality plan, inspection/testing plan:**

The quality plan shall include or refer to an inspection/testing plan.

The quality plan may be drawn up by the manufacturer:

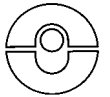
- within the framework of contracts awarded customarily by the service provider,
- within the framework of the order specific to the customer.

In the latter case, it must be accepted by the customer prior to any monitoring action. This acceptance may then be renewed for any subsequent contract relating to the products obtained under the same conditions.

## **D1 - inspection/testing certificate:**

Document in which the service provider attests that it has verified the results of the manufacturer's inspection/testing action in accordance with the conditions set out in the service contract. Product inspection documents drawn up by the manufacturer's authorised staff, independently of manufacture on the basis of the technical specifications for the order, are appended to the inspection certificate.

The inspection certificate is used to authorise delivery of the products on order. This authorisation is given in the appropriate manner by the service provider according to its own provisions.



## **D2 - Conformity certificate:**

Document in which the service provider attests, without stating the outcome of its work, that it has performed the service requested by the customer in accordance with the requirements set out in the service contract.

This certificate is used to authorise delivery of the supplies on order under a given contract.

This authorisation is given in the appropriate manner by the service provider according to its own provisions.

**Note:** Headings used in the D1 and D2 forms will be printed in the three official UIC languages: English, French, German.

## **D3 - Quality assurance:**

Document drawn up on completion of quality assurance. The service provider records therein all the information needed to identify the order and the products monitored; it specifies the monitoring activities performed, the findings, its observations or remarks on the manufacturer's actions and on the products and sets out its conclusions.

## **D4 - Assessment/qualification report:**

Detailed report on the assessment or qualification activity performed by the service provider together with the conclusions reached.



# Appendix B - Services provided between railways

Customer's name: \_\_\_\_\_ Name of service provider: \_\_\_\_\_  
 Address : \_\_\_\_\_ Address: \_\_\_\_\_  
 \_\_\_\_\_  
 Contact person: \_\_\_\_\_  
 Tel./Fax: \_\_\_\_\_ Tel./Fax: \_\_\_\_\_

Nature of the service (See "Services exchanged between railways", on page 5)  
 Specific requirements regarding provision of the service in accordance with Section 7 of UIC Leaflet 898 (See "Provision of a service", on page 9)  
 Appended documents

A  B  C  D   
 Yes  No   
 Yes  No

Manufacturer and product: \_\_\_\_\_  
 Description of the item(s) supplied: \_\_\_\_\_  
 Quality: \_\_\_\_\_  
 Contract identification (number and date): \_\_\_\_\_   
 Specifications mentioned in the supply contract and documents required to perform the service (Standards, UIC leaflets, drawings, etc): \_\_\_\_\_

Name of company and address of production and testing site:  
 Name: \_\_\_\_\_ 2 copies of the supply contract enclosed   
 Address: \_\_\_\_\_ Date:  Signature (name): \_\_\_\_\_  
 Contact person: \_\_\_\_\_ Tel./Fax: \_\_\_\_\_

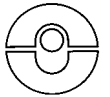
Confirmation of the order by the service provider (See "Method of defining bilateral settlements of payment for mutual exchanges of services", on page 24)

Acceptance of the service contract Ref No.: \_\_\_\_\_ Contact person: \_\_\_\_\_  
 Method of payment: E.1  E.2  E.3  E.4  E.5   
 Currency: \_\_\_\_\_ Minimum payment: \_\_\_\_\_ Amount paid in advance: \_\_\_\_\_  
 Other details concerning payment: \_\_\_\_\_

\_\_\_\_\_ Appended documents: \_\_\_\_\_  
 Additional information requested concerning: \_\_\_\_\_  
 Translation to be requested from the manufacturer: Yes  No   
 It is not possible to execute the service contract for the following reasons: \_\_\_\_\_

Date:  Signature (name): \_\_\_\_\_

For the trilingual form (See "Services provided between railways / Prestation de services entre entreprises de chemin de fer / Dienstleistung zwischen Bahnbetrieben", on page 26)



**Echange de prestations entre entreprises de chemin de fer / Austausch von Dienstleistungen zwischen Bahnbetrieben / Services Exchanged Between Railways**

Definitions of Terms: / Définition des termes / Definition der Begriffe: (See "Definition of terms used in the table", on page 13)

	A Type de prestations à assurer Art der übernommenen Dienstleistung Type of service to be provided	B Mode ou nature d'intervention Art oder Umfang der Prüfung Type of work involved	C Documents contractuels à utiliser Zu verwendende Vertrag- sunterlagen Contractual documents used	D Preuve de conformité à fournir Mitzuliefernde Konformität- snachweise Proof of conformity provid- ed on completion of the service
1	Contrôle de fabrications de série Prüfung von Serienproduktionen Inspection/testing of mass-produced items	Contrôle unitaire des produits Stückprüfung vor Auslieferung Individual inspection of prod- ucts prior to delivery	Plans, schéma, dessins Pläne, Schema, Zeichnun- gen Plans, diagrams, drawings	Certificat d'inspection Prüfzertifikat Inspection/testing certificate
2	Contrôle de début de fabrication Prüfung von Erstmustern Inspection/testing at start of manufac- ture	Contrôle par échantillonnage Stichprobenweise Prüfung vor Auslieferung Inspection by sampling prior to delivery	Instructions ou directives de contrôle Prüfanweisungen oder -vor- gaben Inspection/testing instruc- tions or guidelines	Attestation de conformité Konformitätsbescheinigung Conformity certificate
3	Surveillance de la qualité des fabrica- tions de série Qualitätsüberwachung der Serien- produktionen Mass production quality assurance	Intervention périodique Periodische Intervention Periodical intervention	Liste de contrôle Checkliste Check list	Rapport de surveillance Überwachungsbericht Quality assurance report
4	Surveillance de début de fabrication Qualitätsüberwachung der Erstmuster Quality assurance at start of manufac- ture	Audit qualité Qualitätsaudit Quality audit	Questionnaire ou guide d'évaluation Fragenkatalog oder Bewer- tungsleitfaden Assessment questionnaire or guide	Rapport d'évaluation/de qual- ification Bewertungs-/Qualifizierungs- bericht Assessment/qualification report
5	Qualification technique d'un fabricant Technische Qualifizierung eines Herstel- lers Technical qualification of a manufac- turer		Normes ou spécifications techniques Normen oder technische Spezifikationen Technical standards or specifications	Rapport d'audit Auditbericht Audit report
6	Evaluation de l'organisation qualité d'un fabricant Bewertung der Qualitätsorganisation eines Herstellers Assessment of a manufacturer's quality organisation		Plan qualité, plan de con- trôle QM-Plan Prüfplan Quality plan Inspection/testing plan	Autres documents (à préciser au contrat) Sonstige Unterlagen Other documents (to be specified in the contract)
7	Evaluation de la maîtrise qualité d'un contrat par un fabricant Beurteilung der durch einen Herstel- ler sichergestellten Qualitätslenkung eines Vertrages Assessment of a manufacturer's quality control of a contract			Poinçonnage, marquage Markierung, Kennzeichnung Stamping, marking



## Echange de prestations entre entreprises de chemin de fer / Austausch von Dienstleistungen zwischen Bahnbetrieben / Services Exchanged Between Railways

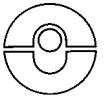
Definitions of Terms: / Définition des termes / Definition der Begriffe: (See "Definition of terms used in the table", on page 13)

	A Type de prestations à assurer Art der übernommenen Dienstleistung Type of service to be provided	B Mode ou nature d'intervention Art oder Umfang der Prüfung Type of work involved	C Documents contractuels à utiliser Zu verwendende Vertrag- sunterlagen Contractual documents used	D Preuve de conformité à fournir Mitzuliefernde Konformität- snachweise Proof of conformity provid- ed on completion of the service
8	Qualification de procédés de fabrication ou de contrôle Qualifizierung der Produktions- oder Prüfverfahren für ein bestimmtes Produkt Qualification of manufacturing or inspection processes for a given product			Pas d'exigences particulières Keine besonderen Forderungen No specific requirements
9	Vérification de la qualification de personnel Nachweis der Personalqualifikation Verification of staff qualifications			
10	Autres prestations Sonstige Dienstleistungen Other services	Dispositions spéciales Spezielle Festlegungen Special provisions	Dispositions spéciales Spezielle Festlegungen Special provisions	Dispositions spéciales Spezielle Festlegungen Special provisions

Liste des modes de rémunération - Liste der Abrechnungsarten - List of types of payment:

- E.1 Rémunération aux frais réels - Abrechnung nach Aufwand - Payment for expenses incurred
- E.2 Rémunération selon pourcentage de la valeur des fournitures - Abrechnung nach Prozentsatz vom Lieferwert - Payment on a percentage basis of the value of an order
- E.3 Rémunération par montant à l'unité - Abrechnung nach Betrag pro Einheit - Payment per item
- E.4 Rémunération selon montant fixe - Abrechnung nach Festbetrag - Payment based on a set amount
- E.5 Paiement minimum - Angabe eines Mindestbetrags - Minimum payment





# Appendix C -

To be completed



# Appendix D - Non-compliance report form

Customer's name: _____	Name of service provider: _____
Address: _____ _____	Address: _____ _____
Contact person: _____	Contact person: _____
Tel.: _____	Tel.: _____
Fax.: _____	Fax.: _____
Service contract No.: _____	Nature of the service: A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D <input type="checkbox"/>
Manufacturer and product: _____	
Description of product: _____	Quantity: _____
Identification No. and date of supply contract: _____	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Other identification details (e.g. drawing number, delivery note no.) _____	

*In the event of faulty delivery  
by sub-contractors, indicate:*

Name of company and address of the main contractor:	Name of company and address of the sub-contracting manufacturer:
Name: _____	Name: _____
Address: _____ _____	Address: _____ _____
Contact person: _____	Contact person: _____
Tel.: _____	Tel.: _____
Fax.: _____	Fax.: _____





## Consequences of faults

- |  |  |   |                              |
|--|--|---|------------------------------|
| <input type="checkbox"/> Safety risk                               | <input type="checkbox"/> High  | <input type="checkbox"/> Medium                                   | <input type="checkbox"/> Low |
| <input type="checkbox"/> Unfit for operation                       | <input type="checkbox"/> Does not correspond to maintenance requirements | <input type="checkbox"/> Reduced life cycle likely                |                              |
| <input type="checkbox"/> Insufficient reliability                  | <input type="checkbox"/> Inadequate interchangeability                   | <input type="checkbox"/> Inadequate availability                  |                              |
| <input type="checkbox"/> Risk that lead times will not be observed | <input type="checkbox"/> Delivery authorised in present condition        | <input type="checkbox"/> Customer agreement required for delivery |                              |

- Detailed description of the problem
- Details about the lead time situation
- Corrective measures introduced:

- Other information:
- Company information:

Place, date: \_\_\_\_\_

Signature: \_\_\_\_\_

Copy to:

For the trilingual form (See “Fiche d'information d'anomalies/Meldung von Abweichungen/Non-compliance report form”, on page 28).



## Appendix E - Method of defining bilateral settlements of payment for mutual exchanges of services

In all bilateral agreements, the currency used to be must be specified.

It is recommended to agree on the type of payment for the services performed, on the basis of the procedure set out below.

The breakdown of calculations of the amount charged for the service provided should be sent to the customer at the latter's request.

The service provider must send its invoice no later than three months following provision of each service.

### E.1 - Payment for expenses incurred

The following must be agreed:

- the hourly or daily rate (mandatory),
- the number of hours or days required (optional),
- ancillary expenses to be paid (optional : transport, hotel accommodation, etc.).

E.1 payment arrangements may be considered for services categories listed in Table 1 (See "Services exchanged between railways", on page 5).

### E.2 - Payment on a percentage basis of the value of an order

The following must be specified:

- the value of the order placed (mandatory),
- the percentage to be applied (mandatory),
- the percentage increment (optional).

The E.2 scale may be used for payment for:

- inspection/verification of mass production deliveries.



## **E.3 - Payment per item**

The following must be specified:

- the type of item (mandatory; e.g.: length, weight, number of items, etc.)
- the amount per item,
- increments in the scale depending on the number of items.

The E.3 scale may be used for payment for inspection/verification of mass production deliveries.

## **E.4 - Payment based on a set amount**

The following must be specified:

- the set amount (mandatory),
- ancillary expenses to be paid (optional; e.g.: transport, travel, hotel accommodation, etc.)

The E.4 scale may be used as a basis for payment for all types of service.

## **E.5 - Minimum payment**

A minimum amount for a service may be specified for categories E.1, E.2 and E.3.

The minimum amount may be specified (optional).

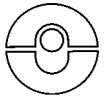


Table 1 : Services provided between railways / Prestation de services entre entreprises de chemin de fer / Dienstleistung zwischen Bahnbetrieben

<b>Nom du client / Name des Kunden / Customer's name:</b> _____			
Adresse / Anschrift / Address: _____			
Interlocuteur / Ansprechpartner / Contact person: _____			
Tel.: _____		Fax: _____	
<b>Nom du prestataire / Name des Dienstleisters / Name of service provider:</b> _____			
Adresse / Anschrift / Address: _____			
Tel.: _____		Fax: _____	
Contenu de la prestation / Dienstleistungsumfang / Nature of the service	A <input type="checkbox"/>	B <input type="checkbox"/>	C <input type="checkbox"/> D <input type="checkbox"/>
Exigences spécifiques relatives à la fourniture de la prestation selon chapitre 7 de la fiche UIC 898 / Spezifische Forderungen an die Durchführung der Dienstleistung gemäß Pkt. 7 des UIC-Merkblatts 898 / Specific requirements regarding provision of the service in accordance with Section 7 of UIC Leaflet 898	Oui Ja Yes <input type="checkbox"/>	Non Nein No <input type="checkbox"/>	
Pièces jointes / Spezifische Forderungen sind beigefügt / Appended documents	Oui Ja Yes <input type="checkbox"/>	Non Nein No <input type="checkbox"/>	
Fabricant et produit / Hersteller und Produkt / Manufacturer and product: _____			
Désignation de la fourniture / Bezeichnung der Lieferung / Description of the item(s) supplied: _____			
Quantité / Menge / Quantity: _____			
Identification du contrat (numéro et date) / Identifikation des Liefervertrags (Nummer und Datum) / Contract identification (number and date)		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	
Spécifications prévues par le contrat de fournitures et documents nécessaires à la fourniture de la prestation (Normes, fiches UIC, dessins, etc.) / Im Liefervertrag vereinbarte Spezifikationen sowie zur Erbringung der Dienstleistung erforderliche Unterlagen, (z.B. Normen, UIC-Merkblätter, Zeichnungen ...) / Specifications mentioned in the supply contract and documents required to perform the service (Standards, UIC leaflets, drawings, etc.):			
_____			
_____			
<b>Nom de l'entreprise et adresse du site de production et d'essai / Firmenbezeichnung und Anschrift der Stelle für Produktion und Prüfung / Name of company and address of production and testing site:</b>			
Nom / Name / Name: _____			
Adresse / Anschrift / Address: _____			
Interlocuteur / Ansprechpartner / Contact person: _____			
Tel.: _____		Fax: _____	
2 exemplaires du contrat de fournitures sont joints / 2 Abschriften der Liefervertrags sind beigefügt. / <input type="checkbox"/>			
2 copies of the supply contract enclosed		Signature (nom) / Unterschrift (Name) / Signature (name): _____	
Date / Datum / Date: <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		_____	



Table 1 : Services provided between railways / Prestation de services entre entreprises de chemin de fer / Dienstleistung zwischen Bahnbetrieben

**Confirmation de commande du prestataire / Auftragsbestätigung des Dienstleisters / Confirmation of the order by the service provider**

Acceptation du contrat de prestation / Annahme des Dienstleistungsvertrags /  
Acceptance of the service contract

N° réf. / unter der Referenznummer / Ref. No.: \_\_\_\_\_

Interlocuteur / Ihr Ansprechpartner / Contact person: \_\_\_\_\_

Mode de rémunération / Vergütungsart / Method of payment: E.1  E.2  E.3  E.4  E.5

Monnaie / Währung / Currency: \_\_\_\_\_ Minimum de rémunération /  
Mindestbetrag / Minimum payment: \_\_\_\_\_

Montant prévisionnel / vsl. Auftragswert / Amount paid in advance: \_\_\_\_\_

Autres données relatives à la rémunération / sonst. Abrechnungsdaten /  
Other details concerning payment: \_\_\_\_\_

Pièces jointes : feuilles  
Erläuterungen siehe Anlage : Blätter  
Appended documents: pages

Avec prière de fournir des renseignements complémentaires sur /mit der Bitte um Angabe von ergänzenden  
Auskünften/Informationen zu / Additional information requested concerning: \_\_\_\_\_

Traduction à demander au fabricant / Übersetzung vom Hersteller gefordert /  
Translation to be requested from the manufacturer: Oui Ja  Non Nein   
Yes No

L'exécution du contrat de prestation n'est pas possible pour les raisons suivantes  
Durchführung des Dienstleistungsauftrags nicht möglich, Begründung /  
It is not possible to execute the service contract for the following reasons: \_\_\_\_\_

Date / Datum / Date:

Signature (nom) / Unterschrift (Name) / Signature (name): \_\_\_\_\_



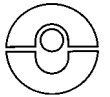


Table 2 : Fiche d'information d'anomalies/Meldung von Abweichungen/Non-compliance report form

**Nom du client / Name des Kunden / Customer's name:** \_\_\_\_\_  
Adresse / Anschrift / Address: \_\_\_\_\_

Interlocuteur / Ansprechpartner / Contact person: \_\_\_\_\_

Tel.: \_\_\_\_\_ Fax: \_\_\_\_\_

**Nom du prestataire / Name des Dienstleisters / Name of service provider:** \_\_\_\_\_

Adresse / Anschrift / Address: \_\_\_\_\_

Interlocuteur / Ansprechpartner / Contact person: \_\_\_\_\_

Tel.: \_\_\_\_\_ Fax: \_\_\_\_\_

Numéro du contrat de prestation / zu Nr. des Dienstleistungsvertrags / Contract No.: \_\_\_\_\_

Contenu de la prestation / Dienstleistungsumfang / Nature of the service: \_\_\_\_\_  
A  B  C  D

**Producteur et produit / Hersteller und Produkt / Manufacturer and product:** \_\_\_\_\_

Désignation de la fourniture / Bezeichnung der Lieferung / Description of product: \_\_\_\_\_

Quantité / Menge / Quantity: \_\_\_\_\_

Identification du contrat (numéro et date) / Identifikation des Liefervertrags  
(Nummer und Datum) / Contract identification (number and date): \_\_\_\_\_

Autres données d'identification (par ex. n° de dessin, n° de bordereau de livraison /  
sonst. Daten zur Identifizierung (z.B. Zeichnungsnummer, Lieferscheinnummer) /  
Other identification details (e.g. drawing number, delivery note no.): \_\_\_\_\_

**Nom de l'entreprise et adresse du titulaire de la commande de fourniture principale / Firmenbezeichnung und  
Anschrift des Herstellers der Hauptlieferung / Name of company and address of the main contractor:**

Nom / Name / Name: \_\_\_\_\_

Adresse / Anschrift / Address: \_\_\_\_\_

Interlocuteur / Ansprechpartner / Contact person: \_\_\_\_\_

Tel.: \_\_\_\_\_ Fax: \_\_\_\_\_

**En cas de livraisons défectueuses de sous-contractants, indiquer / bei fehlerhaften Sublieferungen angeben /  
In the event of faulty delivery by sub-contractors, indicate:**

**Nom de l'entreprise et adresse du producteur sous-contractant / Firmenbezeichnung und Anschrift des  
Herstellers der Sublieferung / Name of company and address of the sub-contracting manufacturer:**

Nom / Name / Name: \_\_\_\_\_

Adresse / Anschrift / Address: \_\_\_\_\_

Interlocuteur / Ansprechpartner / Contact person: \_\_\_\_\_

Tel.: \_\_\_\_\_ Fax: \_\_\_\_\_

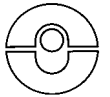


Table 3 : Anomalies - Problèmes constatés / Abweichungen/festgestellte Probleme / Faults identified

- Chez le fabricant contractuel / beim Vertragspartner / at the contractor's manufacturing plant
- Chez le sous-contractant / bei dessen Sublieferanten / at sub-contractor's facility
- Document joint (\_\_\_\_ feuilles) / Erläuterungen siehe Anlage (\_\_\_\_ Blätter) / enclosed document (\_\_\_\_ pages)
- Qualification du sous-contractant non réalisée / Qualifizierung des Sublieferanten nicht erfolgt / Sub-contractor has not undergone qualification: \_\_\_\_\_
- Absence de qualification / Fehlende Qualifikation / Qualification lacking for  du produit / des Produktes / the product  
 du procédé / der Verfahren / the manufacturing process  du personnel / des Personals / staff
- Absence de suivi de la qualité des sous-contractants par le fabricant / Keine durchgängige Qualitätssteuerung bei den Sublieferanten durch den Hersteller der Hauptlieferung / No quality assurance of sub-contractors by the manufacturer
- Absence de dispositions ou moyens de contrôle / fehlende Prüfanweisungen oder Prüfeinrichtungen / No inspection provisions or measures
- Pièces de début de fabrication / Erstmuster / Items produced at start of manufacture:  
 non conformes aux exigences / nicht konform mit den Anforderungen / do not comply with requirements  
 non contrôlées / Erstmusterprüfung nicht durchgeführt / not inspected
- Défaillance de l'autocontrôle en usine / Versagen der Selbstkontrolle im Werk / No in-plant inspection by manufacturer
- Anomalie grave dans le processus de fabrication / gravierende Mängel im Fabrikationsprozess/ Serious fault in manufacturing process \_\_\_\_\_
- Moyen de fabrication inadapté / Ungeeignete Vorrichtungen zum / Manufacturing method ill-adapted  
 soudage / Schweißen / welding  montage / Zusammenbau / assembly  
 Autres / Sonstige / other \_\_\_\_\_
- Anomalie de fonctionnement ou erreur de montage / Funktionsmangel oder Montagefehler / Operating fault or assembly error
- Produits non conformes / Ausführung nicht konform mit / Products do not comply  
 aux exigences contractuelles/spécifications techniques / den vertraglichen Anforderungen/Spezifikationen / with contractual requirements/technical specifications  
 aux dessins / den Zeichnungen / drawings
- Autres (à préciser) / Sonstiges (erläutern) / Other faults or problems (specify): \_\_\_\_\_

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**Autres événements / Sonstige Vorkommnisse / Other events**

Voir description détaillée jointe (\_\_\_\_ feuilles) Erläuterungen siehe Anlage (\_\_\_\_ Blätter) / See detailed description enclosed (\_\_\_\_ pages)

- Livraison par le sous-contractant chez le fabricant sans contrôle de la qualité par le prestataire / Lieferung ohne Güteprüfung durch den Dienstleister von Sublieferanten an den Hersteller der Hauptlieferung / Delivery by sub-contractor to manufacturer without quality inspection by service provider
- Livraison par le fabricant sans contrôle de la qualité par le prestataire / Lieferung ohne Güteprüfung durch den Dienstleister von Seiten des Herstellers der Hauptlieferung / Delivery by manufacturer without quality inspection by service provider
- Refus / Zurückweisung wegen / Rejection
- Visite inutile de l'entreprise / Vergeblicher Firmenbesuch / Visit to company not necessary
- 
-



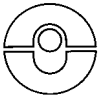


Table 4 : Conséquences des anomalies / Auswirkung des Mangels/der Mängel /  
Consequences of faults

Information relative à la situation en matière de délais / Information zur Terminsituation /  
Details about the lead time situation

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Mesures correctives mises en oeuvre / Eingeleitete Korrekturmaßnahmen / Corrective measures introduced:

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Autres informations / Sonstige Informationen / Other information:

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Informations spécifiques de l'entreprise / Firmenspezifische Informationen / Company specific information:

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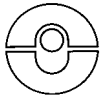
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Lieu / Ort / Place; Date / Datum / Date:

Signature / Unterschrift / Signature:

Copie à / Kopie an / Copy to:

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# Bibliography

- ISO standard 8402**                      *"Quality Management and Quality Assurance - Vocabulary",*  
1994
- ISO/IEC Guide No. 2**                      *"Standardisation and Related Activities - General*  
*Vocabulary",* 1996