

# Railway applications — Track — Qualification system for railway trackwork contractors

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ICS 03.120.10; 93.100

## National foreword

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## Railway applications - Track - Qualification system for railway trackwork contractors

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Bahnanwendungen - Oberbau - Qualifizierungssystem für Gleisbauunternehmen

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## Foreword

This document (EN 14969:2006) has been prepared by Technical Committee CEN/TC 256 "Railway applications", the secretariat of which is held by DIN.

This European Standard shall be given the status of a national standard, either by publication of an identical text or by endorsement, at the latest by February 2007, and conflicting national standards shall be withdrawn at the latest by February 2007.

According to the CEN/CENELEC Internal Regulations, the national standards organizations of the following countries are bound to implement this European Standard: Austria, Belgium, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, Switzerland and the United Kingdom.

## 1 Scope

This European Standard specifies the definitions, procedures, criteria and their assessment as well as the respective documentation related to a qualification system of trackwork contractors, which relates to the Directive 2004/17/EC<sup>1)</sup>. This qualification system identifies trackwork contractors that can be invited for tendering trackwork contracts.

Evaluation of the contractors applying for parts of the contract, which are not trackwork, is not covered by this standard.

This European Standard may also be used for a qualification system of trackwork contractors applying for contracts with a value below the minimum limit as defined in the Directive 2004/17/EC.

## 2 Normative references

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

EN 13231 (series), *Railway applications – Track – Acceptance of works*

prEN 13803 (series), *Railway applications – Track alignment design parameters – Track gauges 1435 mm and wider*

EN 13848-1, *Railway applications – Track – Track geometry quality – Part 1: Characterization of track geometry*

EN 13848-2, *Railway applications – Track – Track geometry quality – Part 2: Measuring devices – Track recording vehicles*

EN 13848-5, *Railway applications – Track – Track geometry quality – Part 5: Geometric quality assessment*

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1) DIRECTIVE 2004/17/EC OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 31 March 2004 coordinating the procurement procedures of entities operating in the water, energy, transport and postal services sectors

prEN 14587 (series), *Railway applications – Track – Flash butt welding of rails*

EN 14730 (series), *Railway applications – Track – Aluminothermic welding of rails*

### 3 Terms and definitions

For the purposes of this document, the following terms and definitions apply:

#### 3.1

##### **qualification system**

system having rules of procedure and management for evaluating applicants according to the criteria set out in this European Standard

#### 3.2

##### **railway infrastructure**

all installations required for the running of railway vehicles (e.g. tracks, crossings, catenaries, signals etc.).

#### 3.3

##### **infrastructure manager**

any public body or undertaking responsible in particular for establishing and maintaining railway infrastructure, as well as for operating the control and safety systems

NOTE An incomplete list of Infrastructure Managers is given in Annex A for information.

#### 3.4

##### **railway trackwork contractor**

any company or association of companies legally recognized as a company which has a determined activity as defined in this European Standard

NOTE Establishments of the Infrastructure Manager owner are not trackwork contractors within the meaning of this standard.

#### 3.5

##### **maintenance**

includes: - plain line tamping  
- switch and crossing tamping  
- ballast cleaning

#### 3.6

##### **track laying/renewal**

includes: - laying or renewal of ballasted track  
- laying or renewal of ballasted switch and crossing  
- plain track tamping  
- switch and crossing tamping  
- ballast cleaning

#### 3.7

##### **rail welding**

in-track flash butt welding or aluminothermic welding

#### 3.8

##### **rail grinding and milling**

rail grinding and milling on plain line and/or switches and crossings is understood as:  
– continuous rail planing

– continuous rail reprofiling

**3.9**

**high speed lines**

lines which fall under the Technical Specifications for Interoperability (T.S.I.) relating to the Infrastructure Subsystem of the Trans-European High-Speed Rail System

**3.10**

**conventional lines**

all lines other than high speed lines

**3.11**

**applicant**

contractor capable of executing trackwork contracts by whatever means, seeking to obtain/retain a qualification document from a Qualification Body

**3.12**

**validity period of qualification document**

period within which the qualification document is valid

**3.13**

**total assets**

total of the balance sheet

**3.14**

**net capital**

sum of paid capital, retained earnings and net income of the year

**3.15**

**gross performance**

results of activities of an organization or investment over a given period of time (before anything is deducted)

**3.16**

**tangible fixed assets**

a long-term, tangible asset held for business use and not expected to be converted to cash in the current or next fiscal year, such as real estate or plant

**3.17**

**annual net income**

or net profit: gross sales minus taxes, interest, depreciation and other expenses

**3.18**

**cash flow**

cash receipts minus cash payments over a given period of time, or equivalently, net profit plus amounts charged off for depreciation, depletion and amortization

**3.19**

**legal representative**

person nominated by the contractor to act officially on his behalf

**3.20**

**qualification**

procedure based on a set of rules leading to the formal assessment of an applicant by a Qualification Body against set obligations, including administrative, legal, financial, safety, quality, environmental and technical aspects



**3.21****Qualification Body**

private or public body being part of either an Infrastructure Manager's organization or an independent organization recognized by the Infrastructure Managers, an association of Infrastructure Managers or national railway authority in the same or different countries, structured in accordance with the Directive 2004/17/EC

**3.22****railway authority**

either the railway regulator or the owner of a railway infrastructure or the custodian with delegated responsibility for railway infrastructure

**3.23****application documents**

necessary documents completed by the applicant that give all the necessary evidence for the qualification process

**3.24****qualification document**

document provided by the Qualification Body once the qualification is completed (see Annex B)

**3.25****qualification committee**

committee within the Qualification Body which is responsible for establishing qualification

**3.26****qualification process period**

period within which the Qualification Body examines and decides upon an application for qualification and notifies the applicant of the result

**3.27****qualification register**

register in which the Qualification Body records applications for qualification and qualification documents issued

**3.28****qualified contractor**

contractor qualified according to this European Standard

**4 Nomenclature of railway trackwork activities**

An applicant shall submit his qualification request for one or more of the trackwork activities listed in Table 1.

NOTE This qualification by activities allows, if needed, different criteria at national level to make the difference between trackwork contractors for work on conventional and high-speed lines.

Table 1 — Nomenclature of railway trackwork activities

Railway trackwork activities	Trackwork on conventional lines	Trackwork on high-speed lines
Maintenance	1.1	1.2
Track laying or renewal	2.1	2.2
In-track welding	3.1	3.2
Continuous rail planing (grinding and miling)	4.1	4.2
Continuous rail reprofiling (grinding and miling)	5.1	5.2

## 5 Qualification bodies

### 5.1 General

The Qualification Body shall satisfy the requirements of a qualification system related to Directive 2004/17/EC in order to be recognized as competent and reliable in the operation of a qualification system for trackwork contractors.

### 5.2 General requirements

Every Qualification Body shall grant equal access to all suitable applicants. The procedures under which the Qualification Body operates shall be administered in a transparent and non-discriminatory manner.

### 5.3 Documentation and records

The Qualification Body shall maintain a system for the control of all documentation relating to the qualification.

All records shall be safely stored for a minimum of one year after the qualification expires, held secure and in confidence to the applicant, unless otherwise required by national legislation.

### 5.4 Access to documentation and records

The Qualification Body shall, upon request, grant every applicant or qualified contractor access to all the documentation and records pertaining to his application and qualification.

### 5.5 Confidentiality

The Qualification Body shall make adequate arrangements to ensure confidentiality of the information obtained in the course of its qualification activities at all levels of its organization, unless otherwise required by national legislation. Commercial use by the Qualification Body of documents or related information provided by applicants or qualified contractors is strictly forbidden.

Where there is a requirement for information to be disclosed to a third party, the applicant or the qualified contractor shall agree to this disclosure as permitted by local legislation. Failure to do so may result in loss of qualification.

### 5.6 Appeals

Appropriate procedures for appeals against decisions of the Qualification Body (including inactivity or refusal to start or to continue the qualification) shall be established according to Annexes C and D.

## **6 Application, assessment and review procedures**

### **6.1 General**

Clause 6 specifies the application, assessment and review procedures that it is necessary to follow for the qualification of trackwork contractors. These procedures shall be operated by each Qualification Body.

### **6.2 Application procedure**

#### **6.2.1 Language of application**

The application shall be made in the language of the country of the Qualification Body.

#### **6.2.2 Request for application documents**

The applicant shall ask the Qualification Body in writing (including fax, mail or e-mail), and request the documents which are necessary to apply for qualification.

#### **6.2.3 Supply of application documents**

Upon request, the Qualification Body shall send the application form to the applicant within 10 working days (see Annex E) together with the guidance notes which apply to the qualification procedure.

#### **6.2.4 Formal application for qualification**

The application (see Annex E) shall be signed by a person duly authorized to commit the applicant.

#### **6.2.5 Registration of application**

Upon receipt of the application, the Qualification Body shall immediately record the application in the qualification register.

#### **6.2.6 Completeness of application**

Upon receipt of the application, the Qualification Body shall check its completeness. If the application is incomplete, the Qualification Body shall, within 30 working days from receipt of the application, ask for the missing information/documentation required for qualification.

The Qualification Body can specify an adequate time limit for completion of the application. The time limit shall be more than 30 working days starting from the applicant's receipt of the Qualification Body's request. An extension can be granted to the applicant upon request.

If the applicant does not fulfil the request to complete the application within due time, the application is no longer valid and shall be cancelled in the qualification register. A new application can be submitted.

#### **6.2.7 Submission of inaccurate information**

The applicant shall produce valid and accurate information.

#### **6.2.8 Qualification process period**

The qualification process period starts as soon as the Qualification Body has received a complete application. The qualification process period shall not exceed six months.

## 6.3 Assessment procedure

### 6.3.1 Assessment of application and decision of the Qualification Body

The Qualification Body shall examine the conformity of the application to the criteria set out in Clauses 7 to 9 of this European Standard. The examination shall result in a decision by the Qualification Body.

When the assessment of the individual qualification criteria described in Clause 9 results in a potentially different class of qualification, the qualification awarded shall be based on the lowest class on attainment of the individual criteria.

### 6.3.2 Notification of intended decision

On the basis of the decision indicated in 6.3.1, the qualification committee shall consider the application within 30 working days... The applicant shall be informed in advance about the decision the qualification committee intends to take (see Annex F). The applicant shall have the opportunity of giving his comments, within 10 working days of receipt of the notification, before the final decision is taken.

### 6.3.3 Award/rejection of qualification

If the application is approved, the Qualification Body shall record the qualification in the qualification register without delay.

If the application is rejected, the Qualification Body shall notify (see Annex G) the applicant in writing of the decision within 5 working days. The respective notification shall give the reasons for the decision and inform the applicant about the appeal procedure.

A new application can be submitted.

### 6.3.4 Qualification document validity period

The qualification document is valid for five years.

## 6.4 Review procedure

### 6.4.1 General provisions

The qualification document, once issued, shall be subject to an annual review of the updated documentation for administrative criteria and legal and financial obligations.

The technical competence can be reviewed at any time on the initiative of the Qualification Body who issued the qualification document or upon request of either the qualified contractor or an Infrastructure Manager. A report from this Infrastructure Manager will be needed to support the request to the Qualification Body. Quality index records (see Annex H) can be used as a way of evaluating the performance of the contractors or any other supplier assessment procedure may be used.

The qualification shall be reviewed before expiry of the qualification document validity upon request of the contractor.

In accordance with qualification application and assessment procedures, the Qualification Body shall review the qualification document and shall decide either:

- a) to maintain the qualification document;
- b) to upgrade the class of qualification;
- c) to downgrade the class of qualification;

- d) to cancel the qualification document.

#### **6.4.2 Change of relevant circumstances**

Within the validity period of the qualification document, the qualified contractor shall notify (see Annex I) the Qualification Body without delay, if:

- a) changes have occurred to his professional/trade registration, or to his legal representative(s);
- b) ISO certification, if any, has been withdrawn;
- c) he gives up trackwork activities for which qualification has been granted;
- d) he is bankrupt or in a similar situation, arising from national insolvency proceedings.

Upon notification of a), the Qualification Body shall review the qualification document; upon notification of c) or d), the qualification document shall be cancelled.

#### **6.4.3 Infringements relating to qualification**

An application shall be rejected or a qualification document cancelled if it can be proved that an applicant/qualified contractor is guilty of one of the following infringements:

- a) fraudulent behaviour during the qualification;
- b) false information or documentation concerning fulfilment of the qualification criteria;
- c) falsification of the qualification document.

A new application can be made by the contractor after one year.

#### **6.4.4 Annual review**

After review, the qualification document can be maintained or cancelled if financial criteria, administrative and legal obligations are not met.

#### **6.4.5 Technical review**

For the purposes of the technical review, the qualified contractor shall provide recent reference forms according to Annex E.6 for the works completed, as well as the corresponding letters of acceptance or declarations of completion, or attestations of satisfactory execution.

When this review is requested by an Infrastructure Manager, the reference forms shall relate to projects or parts of projects different from the ones used for qualification.

After this review, the qualification document can be maintained or upgraded if activities of the applicant have increased according to Table 1 and/or Table 3, or downgraded, if the activities of the applicant have decreased or been cancelled.

In the case of cancellation, it is permanently pronounced. After a minimum of 6 months, the contractor shall be allowed to apply for a new qualification.

#### 6.4.6 Review decision

On the basis of the decision referred to in 6.4.1, the qualification committee shall investigate the conclusions of the review procedure within 30 working days. The contractor shall be informed in advance about the decision the qualification committee intends to take (see Annex F). The contractor shall have the opportunity of giving his comments before the decision is taken, within 10 working days, upon receipt of the notification.

#### 6.5 Access to documentation and records

Upon request, every applicant or qualified contractor shall have access to all the documentation and records pertaining only to its application or qualification.

Upon request, the Qualification Body shall provide the applicant or qualified contractor with a copy of their respective documentation and records. The related costs shall be reimbursed.

### 7 Evidence of meeting administrative and legal obligations

#### 7.1 General

Clause 7 specifies the administrative and legal obligations required to be demonstrated for the purpose of qualification. It also specifies the documentation to be provided by the applicant.

#### 7.2 Administrative and legal data

The applicant shall provide the following data to the Qualification Body:

- a) name of the Company, registered address and, if different, the address for administrative correspondence, telephone and fax number(s) and e-mail address of the head office, VAT registration or national fiscal number, according to the legal obligations of the country(ies) in which the applicant is registered;
- b) legal status of the applicant and year it was founded;
- c) registration number according to national law;
- d) proof that Social Security requirements are being met;
- e) proof that tax scheme requirements are being met;
- f) information concerning the legal representative(s):
  - full name;
  - business address, telephone and fax numbers, e-mail address;
  - position in the company.

#### 7.3 Documentation to be provided by the applicant

**7.3.1** Company letterhead according to the legal obligations of the country in which the applicant is registered.

**7.3.2** A certified copy of the company registration issued by relevant authority.

**7.3.3** A document issued by the competent national authority stating the applicant status and stating that the applicant has not suspended his business activities, that he is not the subject of national insolvency proceedings and that he is not bankrupt or in a similar situation arising from national insolvency proceedings.

If the country in which the applicant is registered does not issue this document, it shall be replaced by a declaration on oath or, in countries where there is no provision for a declaration on oath, by a solemn declaration made by the representative(s) of the applicant concerned, before a judicial or administrative authority, a notary or a professional or trade body.

**7.3.4** A document of compliance with the payment of social security contributions given by the social security organization of the country in which the applicant is registered.

If the country in which the applicant is registered does not issue this document, it shall be replaced by a declaration on oath or, in countries where there is no provision for a declaration on oath, by a solemn declaration made by the representative(s) of the applicant concerned, before a judicial or administrative authority, a notary or a professional or trade body.

**7.3.5** A document of compliance with the payment of taxes, given by the competent authority of the country in which the applicant is registered.

If the country in which the applicant is registered does not issue this document, it shall be replaced by a declaration on oath or, in countries where there is no provision for a declaration on oath, by a solemn declaration made by the representative(s) of the applicant concerned, before a judicial or administrative authority, a notary or a professional or trade body.

**7.3.6** A declaration by the applicant that he has not been convicted of criminal or fiscal offences for the last five years.

## **7.4 Assessment criteria the applicant shall comply with**

- a) he has not suspended his business activities. He is not the subject of national insolvency proceedings. He is not bankrupt or in a similar situation arising from national insolvency proceedings;
- b) he is enrolled in the companies register according to the legal provisions of the country in which he is registered;
- c) he has fulfilled its obligations relating to the payment of social security contributions according to the legal provisions of the country in which he is registered;
- d) he has fulfilled its obligations relating to the payment of taxes according to the legal provisions of the country in which he is registered;
- e) he has not been convicted of criminal or fiscal offences for the last five years, by a judgement which has the force of a final decision without any possibility of appeal.

## **8 Financial criteria for qualification**

### **8.1 General**

Clause 8 specifies the financial criteria against which the applicant is assessed for the purposes of qualification as well as the respective documentation to be supplied by the applicant.

### **8.2 Financial qualification criteria**

For the purposes of qualification, the applicant shall submit information on his financial standing in the last 3 business years concerning:

- gross performance as disclosed in profit-and-loss account (GP);
- total assets (TA);
- net capital (NC);
- tangible fixed assets (TFA);
- annual net income (ANI);
- cash flow (CF)

and the characteristics derived from this:

- capital strength (CS) calculated according to the following Table 2;
- fixed-asset intensity [in %]: TFA over TC

as well as:

- his turnover excluding taxes and excluding supplies (including stakes in joint ventures), for trackwork per category of activity for the last five business years.

**Table 2 — Calculation of capital strength (CS)**

Net capital ratio (NCR)	Return on investment (RI)	Cash flow over gross performance (CFG)	Cash flow over net capital (CFC)	Points
$NCR = 100 \times NC/TA$	$RI = 100 \times ANI/NC$	$CFG = 100 \times LD / RB$	$CFC = 100 \times LD / FP$	
$NCR \leq 0$	$RI \leq 0$	$CFG \leq 0$	$CFC \leq 0$	0
$0 < NCR \leq 5$	$0 < RI \leq 1.5$	$0 < CFG \leq 2,5$	$0 < CFC \leq 4$	0,5
$5 < NCR \leq 10$	$1.5 < RI \leq 2.5$	$2,5 < CFG \leq 4,5$	$4 < CFC \leq 6$	1
$10 < NCR \leq 20$	$2.5 < RI \leq 4$	$4,5 < CFG \leq 6$	$6 < CFC \leq 8$	1,5
$20 < NCR \leq 30$	$4 < RI \leq 5$	$6 < CFG \leq 8,5$	$8 < CFC \leq 11,5$	2
$NCR > 30$	$RI > 5$	$CFG > 8,5$	$CFC > 11,5$	2,5
Points (NCR) = <sup>a</sup>	Points (RI) = <sup>a</sup>	Points (CFG) = <sup>a</sup>	Points (CFC) = <sup>a</sup>	CS = <sup>b</sup>
<sup>a</sup> Read the points in column 5				
<sup>b</sup> CS = Points (NCR) + Points (RI) + Points (CFG) + Points (CFC)				

### 8.3 Financial assessment

8.3.1 In order to be qualified, the applicant shall have in each of the last 3 business years either:

- a capital strength of more than 4 points,
- or
- a capital strength of more than 2 points and a fixed-asset intensity of more than 10 %.



Otherwise, the application for qualification shall be refused.

**8.3.2** If a physical person(s)/legal entity has unconditional legal liability for the financial obligations of the applicant, their external financial resources can be taken into consideration to meet the requirements of 8.3.1. The financial resources shall actually be available for the purposes of qualification and shall remain available for the qualification document validity period.

#### **8.4 Documentation**

For the purposes of qualification, the applicant shall make the calculation according to Table 2 and prove his financial standing for the last three business years by submitting a financial statement of an authorized independent accountant showing the data in 8.2.

### **9 Technical criteria for qualification by activity and qualification categories**

#### **9.1 General**

Clause 9 specifies the qualification by trackwork activity and the related classifications of an applicant by technical capability and size of contracts executed. It specifies the criteria of technical capability, productivity and organization and control of the quality required of the applicant for the qualification. It also specifies the respective documentation to be supplied by the applicant.

For the purposes of qualification, contracts or parts of contract executed will be taken into consideration only if the amount of trackwork entrusted to subcontractors is under 30 % of the trackwork contract (value excluding supplies).

#### **9.2 Qualification by activity relative to the size of contracts executed**

The applicant shall provide evidence of satisfactorily-executed trackwork contracts per trackwork activity to be classified by size according to Tables 3 and evidence of a suitable organizational structure for planning and executing trackwork. This shall be submitted using Annex E.6 and shall cover:

- a single contract executed during the previous five years having a value (excluding supplies) equal to or greater than the value shown in Tables 3 for the class for which application is made,
- and
- contracts executed during the previous five years totalling a value excluding supplies equal to or greater than the value shown in the Tables 3 for the class for which application is made,
- and
- the technical capability according to 9.3.

Values of contracts executed previously or ongoing are understood as amounts of trackwork, excluding supplies and will only be taken into consideration if the amount of trackwork entrusted to subcontractors is under 30 % of the trackwork contract value, excluding supplies.

The amounts of contracts executed by a group shall be calculated proportionally to the participation of the applicant in the group.

Using these criteria, the applicant shall be classified according to Table 3a for activities 1.1, 1.2, 2.1 and 2.2.

**Table 3a — Classification by size (activities 1.1, 1.2, 2.1 and 2.2)**

Class	Value of a single contract performed during the previous five years (excl. supplies) (× 1000 €)	Total value of trackwork contracts of the previous five years (excl. supplies) (× 1000 €)
A	≥ 10 000	≥ 50 000
B	≥ 7 500	≥ 30 000
C	≥ 3 000	≥ 20 000
D	≥ 1 000	≥ 7 500

Using the same criteria as above, the applicant is classified according to Table 3b for activities 3.1, 3.2, 4.1 and 4.2.

**Table 3b — Classification by size (activities 3.1, 3.2, 4.1 and 4.2)**

Class	Value of a single contract performed during the previous five years (excl. supplies) (× 1000 €)	Total value of trackwork contracts of the previous five years (excl. supplies) (× 1000 €)
A	≥ 1 000	≥ 5 000
B	≥ 750	≥ 3 000
C	≥ 300	≥ 2 000
D	≥ 100	≥ 750

Using the same criteria as above, the applicant is classified according to Table 3c for activities 5.1, and 5.2.

**Table 3c— Classification by size (activities 5.1 and 5.2)**

Class	Value of a single contract performed during the previous five years (excl. supplies) (× 1000 €)	Total value of trackwork contracts of the previous five years (excl. supplies) (× 1000 €)
A	≥ 2000	≥ 10 000
B	≥ 1500	≥ 6 000
C	≥ 600	≥ 4 000
D	≥ 200	≥ 1 500

### 9.3 Classification by technical capability

#### 9.3.1 Qualification of personnel

##### 9.3.1.1 Health and Safety

The applicant shall employ personnel who have received training, concerning health and safety of personnel on trackwork sites including:

- a) practice of site protection measures;
- b) access conditions to infrastructure premises;
- c) understanding safe passing clearances;
- d) use of safety and protection equipment;
- e) working knowledge of signalling and warning arrangements;
- f) working knowledge of electrification isolation requirements.

The national railway authority or, if delegated, an Infrastructure Manager of the country of application shall recognize the training programme and the corresponding certificates.

##### 9.3.1.2 Technical competence of personnel

To satisfy the Qualification Body, the applicant shall fulfil the following requirements:

- have adequate personnel with technical knowledge of the work procedures and objectives to be attained in the field of trackwork;
- provide documented evidence of the competence of the qualified personnel. This competence certificate can be the subject of an internal procedure of the contractor, a national regulation, a requirement of a standard or of an Infrastructure Manager. This competence certificate can be issued, depending on the case, by authorized national organizations, Infrastructure Managers, or by the applicant. For all these various possibilities, the Infrastructure Manager(s) of the country of application shall be the competent body(ies) to recognize the certificate;
- ensure that the technical supervision personnel, technical engineers and specialized machine operators have a sufficient knowledge of the standards relevant to their speciality: prEN 13803 series, EN 13231 series, EN 13848 series, prEN 14587 series and EN 14730 series.

##### 9.3.1.3 Number of qualified personnel

The minimum number of qualified personnel shall be in accordance with Tables 4a to 4c.

**Table 4a — Classification by number of qualified personnel (activities 1.1, 1.2, 2.1 and 2.2)**

Class	Number of specialized workers <sup>a</sup>	Number of engineers or technical engineers <sup>b</sup>
A	≥ 75	≥ 10
B	≥ 60	≥ 6
C	≥ 30	≥ 4
D	≥ 15	≥ 2

<sup>a</sup> Personnel directly related to railway trackwork activity  
<sup>b</sup> Engineers or technical engineers related to railway trackwork activity

**Table 4b — Classification by number of qualified personnel (activities 3.1 and 3.2)**

Class	Number of specialized workers <sup>a</sup>	Number of engineers or technical engineers <sup>b</sup>
A	≥ 12	≥ 2
B	≥ 9	≥ 2
C	≥ 6	≥ 1
D	≥ 3	≥ 1

<sup>a</sup> Personnel directly related to railway trackwork activity  
<sup>b</sup> Engineers or technical engineers related to railway trackwork activity

**Table 4c — Classification by number of qualified personnel (activities 4.1, 4.2, 5.1 and 5.2)**

Class	Number of specialized workers <sup>a</sup>	Number of engineers or technical engineers <sup>b</sup>
A	≥ 3	≥ 1
B	≥ 3	≥ 1
C	≥ 3	≥ 1
D	≥ 3	≥ 1

<sup>a</sup> Personnel directly related to railway trackwork activity  
<sup>b</sup> Engineers or technical engineers related to railway trackwork activity

### **9.3.2 Management and operation of equipment**

#### **9.3.2.1 General**

The applicant shall demonstrate experience supported by references in E.6 in the management and operation of a minimum number of items heavy trackwork equipment for the activity and class of qualification as indicated in Table 5.

Either the items of equipment shall be owned by the applicant or the applicant shall prove that they will be available to him throughout the period of validity of the qualification, for example, by producing an undertaking by those entities to make the necessary resources available to him.

#### **9.3.2.2 Minimum number of items of heavy equipment per trackwork activity**

The equipment shall have running and working approval issued by the relevant railway authority.

Table 5 — Minimum number of items of heavy equipment per activity

	Class A	Class B	Class C	Class D
Trackwork activity	Number	Number	Number	Number
Type of equipment				
<u>1. Maintenance</u>				
Plain line tamping machines	3	2	1	1
Ballast regulators	2	2	1	1
Switch and crossing tamping machines	2	1	-	-
Ballast cleaners	1	1	-	-
<u>2. Track laying/renewal</u>				
Track laying/renewal equipment <sup>a</sup>	2	2	1	1
Road-rail excavator/loaders with attachments	4	3	2	1
Plain line tamping machines	3	2	1	1
Ballast regulators	2	2	1	1
Equipment for laying S&C <sup>b</sup>	2	1	-	-
Switch and crossing tamping machines	2	1	-	-
Ballast cleaners	1	1	-	-
Rail positioning/changing equipment	3	2	1	1
Special devices for loading/unloading long rails	3	2	1	-
Equipment for loading rails	3	2	1	1
<u>3 In-track welding</u>				
In-track flash butt welding machines and/or set of equipment for aluminothermic welding	4	3	2	1
<u>4 Continuous rail planing (grinding and milling)</u>				
Continuous rail planing machines	1	1	1	1
<u>5 Continuous rail reprofiling (grinding and milling)</u>				
Continuous rail reprofiling machines	1	1	1	1
<sup>a</sup> Includes e.g. track laying or renewal trains, portal gantries, laying beams, cranes				
<sup>b</sup> Includes e.g. cranes, special mobile gantries, twin-jib cranes				

### 9.3.2.3 Additional requirements of the Infrastructure Manager

The Infrastructure Manager shall indicate for each contract any specific technical requirements.

It is recognized that there can be specific requirements such as track gauge and loading gauge that can be different from one infrastructure to another and they cannot be considered in the qualification system. It is necessary for the Infrastructure Managers to detail any such specific requirements in the tender documentation so that contractors who are otherwise qualified but do not have the specific equipment required may make arrangements to procure this equipment.

It is further recognized that contracts awarded by Infrastructure Managers vary from country to country and specific items of machinery not required by this standard may be deemed essential by some Infrastructure Managers. These should therefore be specified in the tender documents.

The Infrastructure Managers can require knowledge of the country language for some categories of personnel in order to meet safety requirements.

### **9.3.3 Quality, safety and environment**

The applicant shall have an organization for Quality, Safety and Environmental management relevant to the risks of railway work sites.

The procedures for identifying specific hazards on the railway shall also include environmental hazards.

NOTE It is recommended that this requirement be satisfied by a quality system in accordance with EN ISO 9001 and an environmental management system in accordance with EN ISO 14001.

## **9.4 Documentation**

Corresponding to the activity(ies) for which qualification is sought, the applicant shall provide three reference forms according to E.6 for works completed during the previous five years as well as the corresponding letters of acceptance or declarations of completion or attestations of satisfactory execution.

The applicant shall provide a formal statement of the average annual manpower directly employed as well as of the average annual number of technical staff.

This formal statement shall be given according to Annex E.

**Annex A.**  
(informative)

**List of Infrastructure Managers**

**Table A.1 — List of Infrastructure Managers**

	Country	Infrastructure Managers
AT	Austria	ÖBB Geschäftsbereich Fahrweg AT-1010 Vienna
BE	Belgium	INFRABEL rue Bara 110 B-1070 Brussels
CH	Switzerland	To follow
CY	Cyprus	Not available
CZ	Czech Republic	CD, DDC 11015 Prague, Nabr. L. Svobody 12
DE	Germany	DB AG Köthener Straße 2-4, 10785 Berlin 10785 Berlin
DK	Denmark	Danish National Railways Agency Amerika Plads 15 DK-2100 Copenhagen Ø
EE	Estonia	As Eesti Raudtee Pikk 36 15073 Tallinn
ES	Spain	ADIF (outlook) Av. Pio XII 110 28036 Madrid
FI	Finland	Finnische Staatsbahnen Zentrale P.F. 488, FIN - 00101 Helsinki
FR	France	RFF 92, avenue de France 75648 Paris cedex 13
GB	Great Britain	Network Rail 40 Melton Street London NW1 2EE
GR	Greece	Hellenic Railways Organisation (OSE) 1-3 Karolou Street GR-10437 Athens
HU	Hungary	Hungarian State Railways Co Ltd (MÁV) Magyar Államvasutak Rt Andrássy út 73-75 H-1940 Budapest
IE	Ireland	Iarnród Éireann (IE) Connolly Station Amiens Street Dublin-1
IS	Iceland	Not available



Table A.1 — List of Infrastructure Managers

	Country	Infrastructure manager
IT	Italy	Rete Ferroviaria Italiana S.p.A. Piazza della Croce Rossa 1, 00161 Rome
LT	Lithuania	Lithuania Railways Mindaugo Str 12/14 LT-2650 Vilnius Lithuania
LU	Luxembourg	CFL Service MT/T L-1803 Lukem/Boveg
LV	Latvia	Latvia Railways 3 Gogala street Riga, LV 1547 Latvia
MT	Malta	Not available
NL	Netherlands	ProRail De erkenningscommissie Postbus 2038 NL-3500 GA Utrecht
NO	Norway	Jernbaneverket P.O. Box 1162 - Sentrum N0 – 0107 Oslo
PL	Poland	PKP Polskie Koleje Panstwowe S.A ul. Szczesliwicka 62 00-973 Warsaw
PT	Portugal	REFER Rede Ferroviaria Nacional Estação de St Apolonia PT – 1100 – 105 Lisbon
RO	Romania	CFR S.A. 38, Dinicu Golescu Bv. Sector 1 010873 Bucharest, Romania
SE	Sweden	Banverket S-78185 Borlänge
SI	Slovenia	Holding Slovenske zeleznic, d.o. Kolodvorska 11 1506 Ljubljana
SO	Slovakia	Zeleznice Slovenskej Republiky Klemensova 8 81 361 Bratislava

**Annex B**  
(normative)

**Qualification document**

<b>LOGO OF THE QUALIFICATION BODY, ADDRESS</b>
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**QUALIFICATION DOCUMENT according to EN 14969**

- (1) Name of the qualified trackwork contractor: \_\_\_\_\_  
 (2) Head office address: \_\_\_\_\_

Telephone No: \_\_\_\_\_      Telefax No.: \_\_\_\_\_

E-mail: \_\_\_\_\_

- (3) Legal status: \_\_\_\_\_  
 (4) Date of foundation (established): \_\_\_\_\_  
 (5) Professional/trade/company registration number (if applicable): \_\_\_\_\_

- (6) Voluntary membership of professional or trade association(s):  
 \_\_\_\_\_  
 name of the association - address  
 \_\_\_\_\_  
 name of the association - address

- (7) Qualification(s) awarded:

Qualification document number	Trackwork activity	Class	Validity date

Date of issue (day/month/year): \_\_\_\_\_  
 Signature of the legal representative of the Qualification Body: \_\_\_\_\_

**Annex C**  
(normative)

**Appeal form**

**LOGO OF THE QUALIFICATION  
BODY, ADDRESS**

**APPEAL FORM according to EN 14969**

(1) Name of the applicant/qualified trackwork contractor

\_\_\_\_\_

(2) Head office address: \_\_\_\_\_

Telephone No.: \_\_\_\_\_ Telefax No.: \_\_\_\_\_

E-mail: \_\_\_\_\_

(3) In the case of an application for qualification, application registration number: \_\_\_\_\_

(4) In the case of a qualified contractor, qualification document number: \_\_\_\_\_

(5) Appealed decision: \_\_\_\_\_

\_\_\_\_\_

(6) Date of decision: \_\_\_\_\_

(7) Reference number of decision (if available): \_\_\_\_\_

(8) Appeal documents (enclosed):

<b>Contents</b>	<b>Enclosures</b>	<b>Number of pages</b>
Reasons for appeal	_____	_____
Legal documents	_____	_____
Financial documents	_____	_____
	_____	_____
Technical documents	_____	_____
	_____	_____
	_____	_____
	_____	_____
Other documents	_____	_____
	_____	_____
	_____	_____

**EN 14969:2006 (E)**

(9) Representative of the applicant/qualified contractor for the appeal procedure:

Name: \_\_\_\_\_

Business address: \_\_\_\_\_

Telephone No.: \_\_\_\_\_ Telefax No.: \_\_\_\_\_

E-mail: \_\_\_\_\_

Relationship with the applicant/qualified contractor:  
\_\_\_\_\_

I confirm the authenticity of the documents enclosed and that the information given in this form and the enclosures is true and accurate. I declare that I have the power to commit the applicant and enclose my authorization to do so.

Place: \_\_\_\_\_ Date (day/month/year): \_\_\_\_\_

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

## Annex D (normative)

### Notification of appeal decision

**LOGO OF THE QUALIFICATION BODY,  
ADDRESS AND NOTIFICATION NUMBER**

#### NOTIFICATION OF APPEAL DECISION according to EN 14969

- (1) Name of the applicant/qualified trackwork contractor: \_\_\_\_\_
- (2) Head office address \_\_\_\_\_  
\_\_\_\_\_
- Telephone No.: \_\_\_\_\_      Telefax No.: \_\_\_\_\_
- E-mail: \_\_\_\_\_
- (3) In the case of an application for qualification, application registration number: \_\_\_\_\_
- (4) In the case of a qualified contractor, qualification document number: \_\_\_\_\_
- (5) Appealed decision: \_\_\_\_\_  
\_\_\_\_\_
- (6) Date of decision: \_\_\_\_\_
- (7) Reference number of decision (if available): \_\_\_\_\_
- (8) Final decision: \_\_\_\_\_
- (9) Reasons: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- (10) Date of decision: \_\_\_\_\_
- Place: \_\_\_\_\_      Date (day/month/year): \_\_\_\_\_
- Signature of the chairman of the Qualification Body: \_\_\_\_\_
- and stamp of the Qualification Body: \_\_\_\_\_

## Annex E (normative)

### Application for qualification

#### E.1 General data

**LOGO OF THE QUALIFICATION  
BODY, ADDRESS**

**APPLICATION FOR QUALIFICATION according to EN 14969**

(1) Name of the applicant: \_\_\_\_\_

(2) Head office address: \_\_\_\_\_

Telephone No.: \_\_\_\_\_ Telefax No.: \_\_\_\_\_

E-mail: \_\_\_\_\_

(3) A short description of the organization of the applicant and the name of the technical and senior management, including directors, together with their duties and responsibilities, shall be enclosed.

(4) Qualification applied for:

Reference number of activities (see Table 1)	Type of trackwork activities (see Clause 4)	Class (see Tables 3)

(5) When an applicant is already qualified, please state:

Qualification Body and qualification document number	Type of trackwork activities and reference number	Class

(6) Application documents (enclosed):

Contents	Enclosures	Number of pages
Legal (see E.2)	_____	_____
	_____	_____
	_____	_____
	_____	_____
	_____	_____
Financial (see E.3)	_____	_____
	_____	_____
	_____	_____
	_____	_____
Technical (see E.4, E.5 and E.6)	_____	_____
	_____	_____
	_____	_____
	_____	_____
	_____	_____

(7) Representative of the applicant for the application procedure:

Name: \_\_\_\_\_

Business address: \_\_\_\_\_

Telephone No.: \_\_\_\_\_ Telefax No.: \_\_\_\_\_

E-mail: \_\_\_\_\_

Relationship with the applicant: \_\_\_\_\_

I confirm the authenticity of the documents enclosed and that the information given in this form and the enclosures is true and accurate. I declare that I have the power to commit the applicant and enclose my authorization to do so.

Place: \_\_\_\_\_ Date (day/month/year): \_\_\_\_\_

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

<p><b>DATE OF RECEIPT OF THE APPLICATION:</b></p>   <p>To be completed by the Qualification Body</p>	<p><b>APPLICATION REGISTRATION NUMBER:</b></p>   <p>To be completed by the Qualification Body</p>	<p><b>DATE OF COMPLETION OF THE APPLICATION:</b></p>   <p>To be completed by the Qualification Body</p>
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## E.2 Documentation concerning legal standing

LOGO OF THE QUALIFICATION  
BODY, ADDRESS

### DOCUMENTATION CONCERNING LEGAL STANDING according to EN 14969

(1) Name of the applicant: \_\_\_\_\_

(2) Head office address: \_\_\_\_\_

Telephone No.: \_\_\_\_\_ Telefax No.: \_\_\_\_\_

E-mail: \_\_\_\_\_

(3) Date of application: \_\_\_\_\_

(4) Legal status: \_\_\_\_\_

(5) Date of foundation (established): \_\_\_\_\_

(6) Professional/trade/company registration numbers (if applicable): \_\_\_\_\_

(7) National VAT registration/fiscal number (if applicable): \_\_\_\_\_

(8) Legal representatives:

Name:

Business address: \_\_\_\_\_

Telephone No.: \_\_\_\_\_ Telefax No.: \_\_\_\_\_

E-mail: \_\_\_\_\_

Relationship with the applicant: \_\_\_\_\_

(9) Mandatory enclosures:

- copy or extract of the professional, trade or company register;
- national authority document stating that business activities have not been suspended, the applicant is not bankrupt nor subject to national insolvency proceedings;
- national social security organization document stating compliance with the payments of social security contribution;
- national tax administration document stating compliance with the payment of taxes;
- declaration by the legal representative(s) that he/they has/have not been convicted in the last five years of an offence concerning professional conduct by a judgement which has the force of a final decision without possibility of appeal;



10) Non-mandatory enclosures:

- Voluntary membership of professional or trade associations:

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name of the association - address

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name of the association - address

### E.3 Documents concerning financial criteria

<b>LOGO OF THE QUALIFICATION BODY, ADDRESS</b>
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#### DOCUMENTS CONCERNING FINANCIAL CRITERIA according to EN 14969

(1) Name of the applicant: \_\_\_\_\_

(2) Head office address: \_\_\_\_\_

Telephone No.: \_\_\_\_\_ Telefax No.: \_\_\_\_\_

E-mail: \_\_\_\_\_

(3) Date of application: \_\_\_\_\_

(4) Included with this annex are:

— the statement by the applicant of turnover excluding VAT and excluding supplies, for trackwork per category of activity for the last five business years (see 8.2);

and,

— either, a financial statement of an authorized independent accountant, that shows for the applicant the data listed in 8.2.in order to meet the financial requirements for qualification (see Clause 8);

— or, the annual accounts of the applicant for the previous three financial years together with a note of the authorized independent accountant giving the calculation of the financial strength of the applicant (see Clause 8);

and (if applicable),

— evidence of the existence and actual availability of external financial resources to meet the financial requirements for qualification (see 8.3.2).

## E.4 Complete list of specialized personnel employed by the applicant

Table E.1 — List of applicant's personnel

Occupational group	Applicant's personnel (number)
<b>1 – Engineers and technical engineers</b>	
Project management	
Designer (construction design)	
Production planner	
Engineer	
Gang leader	
Foreman	
Operators for heavy trackwork equipment	
Machine for lining, levelling and tamping track	
Machine for lining, levelling and tamping switches and crossings	
Machine for clearing ballast	
Track laying/track renewal machine	
Switch & crossing laying machine	
Hauling of works trains by locomotives	
Flash butt welding machine	
Grade improvement machine	
Concrete pouring train	
Grinding machine	
Other engineers or technical engineers	
<b>2- Specialized workers</b>	
Laying of railway tracks	
Laying of switches & crossings	
Ballastless track laying	
Aluminothermic welding	
Stress equalization of rails	
Other specialized workers	

**E.5 Complete list of heavy equipment owned by the applicant**

**Table E.2 — List of applicant's heavy equipment**

Type of equipment	Number	Working approval	Running approval
Plain line tamping machine		<input type="checkbox"/>	<input type="checkbox"/>
Ballast regulator		<input type="checkbox"/>	<input type="checkbox"/>
Switch and crossing tamping machine		<input type="checkbox"/>	<input type="checkbox"/>
Ballast cleaner		<input type="checkbox"/>	<input type="checkbox"/>
Track laying/renewal equipment		<input type="checkbox"/>	<input type="checkbox"/>
Road-rail excavator/loader with attachments		<input type="checkbox"/>	<input type="checkbox"/>
Switch and crossing laying equipment		<input type="checkbox"/>	<input type="checkbox"/>
Rail positioning/changing equipment		<input type="checkbox"/>	<input type="checkbox"/>
Special device for loading/unloading long rails		<input type="checkbox"/>	<input type="checkbox"/>
Equipment for loading rails		<input type="checkbox"/>	<input type="checkbox"/>
In-track flash butt welding machines and/or set of equipment for aluminothermic welding		<input type="checkbox"/>	<input type="checkbox"/>
Continuous rail planing machine		<input type="checkbox"/>	<input type="checkbox"/>
Continuous rail reprofiling machine		<input type="checkbox"/>	<input type="checkbox"/>
Other:		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>

**E.6 Documentation concerning technical criteria: references for trackworks**

<b>LOGO OF THE QUALIFICATION BODY, ADDRESS</b>
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**DOCUMENTATION CONCERNING TECHNICAL CRITERIA according to EN 14969****E.6.1 Project**

Identification of the project:  Client :  Contact with the client (name and telephone):  Company:
---

*(Form to be filled in by the applicant and signed by his client; a different form will be required for each project)*

Mark type of trackwork with a cross

<b>Trackwork activities</b>	<b>Conventional lines</b>	<b>High-speed lines</b>
Maintenance	1.1 <input type="checkbox"/>	1.2 <input type="checkbox"/>
Track laying or renewal	2.1 <input type="checkbox"/>	2.2 <input type="checkbox"/>
In-track welding	3.1 <input type="checkbox"/>	3.2 <input type="checkbox"/>
Continuous rail planing (grinding and milling)	4.1 <input type="checkbox"/>	4.2 <input type="checkbox"/>
Continuous rail reprofiling (grinding and milling)	5.1 <input type="checkbox"/>	5.2 <input type="checkbox"/>

**E.6.2 Contract volume**

Enter the contract value excluding taxes, related to trackwork only, excluding supplies:	Currency
--	----------

Value of trackwork delivered by the applicant::	Currency
Value of applicant's sub-contracts:	Currency

**E.6.3 Period of performance of the trackwork**

Beginning		End	
Month	Year	Month	Year

If work is still in progress, please indicate percentage of completion: .....%

**E.6.4 Handing over of works**

Have the trackworks been handed over to the Client?  yes  no

NOTE Please specify which technical specifications for the works were adopted:

- technical specifications of the national Infrastructure Manager  yes  no
- other technical specifications  yes  no

*If yes, please enclose a list of the applied specifications*

**E.6.5 General description of the trackwork carried out**

Describe the works carried out on the railway tracks:

At least, details on:

- design speed of the line;
- length of the altered section;
- route planning parameters (smallest radius, form of transition curves, maximum cant);
- type of track;
- special features (platform tracks, bridge, clearance and completion of ballast grade improvement etc.)

*Note. If there is not enough space, please enclose a separate sheet*

**E.6.6 Boundary conditions of the railway traffic**

Under which boundary conditions were the construction works carried out?

Without influence on railway traffic  yes  no

**E.6.7 Contract content and own activities**

- |    |                                       |                              |
|----|---------------------------------------|------------------------------|
| As | Sole contractor:                      | <input type="checkbox"/> yes |
|    | Partner in a temporary group          | <input type="checkbox"/> yes |
|    | Technical leader in a temporary group | <input type="checkbox"/> yes |

Indicate contract contents in the following table and mark the activities which your company performed by itself and state the percentage performed:

Contract activities	Own activities	% performed
<b>General trackwork contract activities</b>		
Construction design	<input type="checkbox"/>	%
Coordination of activities	<input type="checkbox"/>	%
Self-supervision of works	<input type="checkbox"/>	%
Survey of tracks	<input type="checkbox"/>	%
<b>Specific trackwork activities</b>		
Track tamping	<input type="checkbox"/>	%
Switch & crossing tamping	<input type="checkbox"/>	%
Ballast cleaning by heavy ballast cleaners	<input type="checkbox"/>	%
Laying of ballasted track	<input type="checkbox"/>	%
Renewal of ballasted track	<input type="checkbox"/>	%
Laying of ballasted switches & crossings	<input type="checkbox"/>	%
Renewal of ballasted switches & crossings	<input type="checkbox"/>	%
In-track aluminothermic welding of rails	<input type="checkbox"/>	%
In-track flash butt welding of rails	<input type="checkbox"/>	%
Replacement of rails by specialized train	<input type="checkbox"/>	%
Rehabilitation of track formation by specialized equipment	<input type="checkbox"/>	%
Ballastless track laying	<input type="checkbox"/>	%
Continuous rail planing (grinding and milling)	<input type="checkbox"/>	%
Continuous rail reprofiling (grinding and milling)	<input type="checkbox"/>	%

### E.6.8 Personnel employed on the works

State number of personnel that employed on this site by your company and the number of external personnel.

Occupational group	Applicant's personnel (number)	External personnel (number)
<b>1 – Engineers and technical engineers</b>		
Project management		
Designer (construction design)		
Production planner		
Engineer		
Gang leader		
Foreman		
Operators for heavy trackwork equipment		
Machine for lining, levelling and tamping track		
Machine for lining, levelling and tamping switches & crossings		
Machine for clearing of ballast		

Occupational group	Applicant's personnel (number)	External personnel (number)
Track laying/track renewal machine		
Switch & crossing laying machine		
Hauling of works trains by locomotives		
Flash butt welding machine		
Grade improvement machine		
Concrete pouring train		
Grinding machine		
Other engineers and technical engineers		
<b>2 – Specialized workers</b>		
Laying of railway tracks		
Laying of switches & crossings		
Ballastless track laying		
Aluminothermic welding		
Stress equalization of rails		
Other specialized workers		

**E.6.9 Heavy equipment**

Indicate the number of items of heavy equipment for each activity used in the project by your organization:

Trackwork activity/type of equipment	Number
<u>1. Maintenance</u>	
Plain line tamping machines	
Ballast regulators	
Switch and crossing tamping machines	
Ballast cleaners	
<u>2. Track laying/renewal</u>	
Track laying/renewal equipment	
Road-rail excavator/loaders with attachments	
Plain line tamping machines	
Ballast regulators	
Equipment for laying S&C	
Switch tamping machines	
Ballast cleaners	
Rail positioning/changing equipment	
Special devices for loading/unloading long rails	
Equipment for loading rails	
<u>3 In-track welding</u>	



In-track flash butt welding machines and/or set of equipment for aluminothermic welding	
<u>4 Continuous rail planing (grinding and milling)</u>	
Continuous rail planing machines	
<u>5 Continuous rail reprofiling (grinding and milling)</u>	
Continuous rail reprofiling machines	
6 Additional equipment used in the project (specify)	

#### E.6.10 Quality Assurance (QA)

Did a quality assurance plan exist for the project site?

yes  no

Was there a person responsible for QA on the project site?

yes  no

#### E.6.11 Reference certificate from the Client

The services provided in the contract were

— produced competently

yes  no

— produced completely

yes  no

— finished on schedule

yes  no

Place and date:

Signature of the Client's Representative and stamp:

**Annex F**  
(normative)

**Notification of intended decision**

LOGO OF THE QUALIFICATION  
BODY, ADDRESS

**NOTIFICATION OF INTENDED DECISION according to EN 14969**

(1) Name of the applicant/qualified contractor:

\_\_\_\_\_

(2) Head office address: \_\_\_\_\_

Telephone No.: \_\_\_\_\_ Telefax No.: \_\_\_\_\_

E-mail: \_\_\_\_\_

(3) In the case of an application for qualification, application registration number: \_\_\_\_\_

(4) In the case of a qualified contractor, qualification document number: \_\_\_\_\_

(5) Intended decision: \_\_\_\_\_

\_\_\_\_\_

(6) Reasons: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

(7) Date decision will be taken: \_\_\_\_\_

(8) The applicant/qualified contractor may, within 10 working days of receipt of this notification, give his comments in writing to the Qualification Body.

Place: \_\_\_\_\_

Date (day/month/year): \_\_\_\_\_

Signature of the legal representative of the Qualification Body  
and stamp of the Qualification Body:

## Annex G (normative)

### Notification of decision

**LOGO OF THE QUALIFICATION  
BODY, ADDRESS**

#### NOTIFICATION OF DECISION according to EN 14969

(1) Name of the applicant/qualified contractor: \_\_\_\_\_

(2) Head office address: \_\_\_\_\_  
\_\_\_\_\_

Telephone No.: \_\_\_\_\_      Telefax No.: \_\_\_\_\_

E-mail: \_\_\_\_\_

(3) In the case of an application for qualification, application registration number: \_\_\_\_\_

(4) In the case of a qualified contractor, qualification document number: \_\_\_\_\_

(5) Decision: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(6) Reasons: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(8) Appeal procedure:

- the decision may be appealed within two months of receipt of this notification;
- the appeal shall be sent in writing (by telefax or mail) to the Qualification Body and should preferably use the appeal form (see Annex C);
- the decision of the Qualification Body will be taken within two months of the receipt of the appeal.

Place: \_\_\_\_\_

Date (day/month/year): \_\_\_\_\_

Signature of the legal representative of the Qualification Body  
and stamp of the Qualification Body:

:

## **Annex H** (informative)

### **Procedure for the establishment of the Quality Index of Qualified Contractors**

#### **H.1 Scope**

The scope of this procedure is to define the continuous monitoring system for services of trackwork contractors. This procedure establishes the Quality Index of qualified contractors used to determine their reliability.

The continuous monitoring system for trackwork contractors' services is based on an objective evaluation of activities or activity complexes executed by contractors. The evaluation follows a systematic review of the efficiency and effectiveness of the contractor for the execution of work.

It is planned to have an annual review per contract, generally at the end of the contract execution.

Reviews will be carried out by the Infrastructure Manager or his representative.

#### **H.2 Documentation**

For each contract subject to this procedure, an evaluation form shall be completed by the Infrastructure Manager site representative in order to gather data for the monitoring of the contractor's work.

In the case of temporary associations of contractors, an evaluation form shall be completed for each member of the association.

The evaluation form is in I.5.

#### **H.3 Evaluation of the services**

The Infrastructure Manager, or his representative, compiles on the form the evaluations made during each review in the columns corresponding to the monitored activity. Activities are evaluated according to criteria which include mainly organization, management, quality, safety and environmental aspects.

The review shall consider that the job may not be completed and make appropriate allowances for this.

The evaluation of the work is based on the application of the evaluation criteria in the enclosed review form.

The evaluation on each activity level or on a set of activities shall be expressed by one of the following grades:

- good: 4
- adequate: 3
- inadequate: 2
- bad: 1

For each activity, a coefficient is assigned to the attributed mark in order to take into consideration the priority and importance of the activity to attain the Infrastructure Manager requirements.

The evaluation of each activity is defined by the multiplication of the mark and the coefficient. The services are evaluated by the weighted average of the evaluation of each activity.

$$E = \frac{\sum (K_i \times P_i)}{\sum K_i}$$

The average is rounded to the next highest unit when the decimal is equal to or higher than 0,5, to the next lowest unit in the other instances.

However, the following restrictions apply:

- when four investigated areas are graded 1 or 2, the evaluation of the work cannot exceed 2;
- when three investigated areas are graded 2, the evaluation of the work cannot exceed 2;
- when one investigated area is graded 2, the evaluation of the work cannot exceed 3.

The Infrastructure Manager site representative notifies the Contractor and his internal quality assurance organization within 15 days of the evaluation.

#### H.4 Quality index (Iq) of the Contractor

The quality index of the contractor is determined at least once a year. It is the average of all evaluations of the previous year.

The average is rounded to the next highest unit when the decimal is equal to or higher than 0,5; to the next lowest unit in all other instances.

The value of the Quality Index as determined above determines for each Contractor:

- his capacity to satisfy the requirements of the Infrastructure Manager;
- his ability to improve quality.

The value of the Quality Index determines the classification of each Contractor in a class of reliability indicated in the following table:

**Table H.1 — Class of reliability of contractors**

Quality Index	Class of reliability of the contractor	Comments on the organization and services of the contractor
Iq = 4	Very reliable contractors	Contractors who, in their relationship with the Infrastructure Manager, have shown evidence of substantially better organization and services that more than satisfy all contract requirements.
Iq = 3	Reliable contractors	Contractors who, in their relationship with the Infrastructure Manager, have shown evidence of organization and services that generally satisfy all contract requirements.
Iq = 2	Scarcely reliable contractors	Contractors who, in their relationship with the Infrastructure Manager, have shown evidence of deficient organization or services that do not satisfy all contract requirements.
Iq = 1	Unreliable contractors	Contractors who, in their relationship with the Infrastructure Manager, have shown evidence of inability to manage quality influencing activities, organization and unsatisfactory services.

**H.5 Evaluation form**

**H.5.1 Contract identification**

**Table H.2 — Contract identification**

Contractor identification		
Name of Contractor:		
Address:		
Post code:		Town:
Single performer <input type="checkbox"/> or in Temporary Association <input type="checkbox"/>		
If in association, indicate type:		
Name of associated contractors		
Contract identification		
Contract:		
Contract duration:		
Start date and planned completion date of the work:		
Percentage of work done at the time of review:		
Contract form number:		
Work site Manager:		
Date:	Work site Manager:	Contractor:
Comments and supporting information:		

**H.5.2 Review form**

**Table H.3 — Review form**

Activity	Evaluated elements	Criteria	K	Points	KxP
Work planning	Organization definition for execution of the contract, responsibilities, site installations	4 = Good 3 = Correct in contract delivery time 2 = Correct after intervention of the Infrastructure Manager 1 = Inadequate	10		
Project	Detailed project of planning, project documentation, efficiency of project methodologies and necessary equipment	4 = Adequate 3 = Adequate after intervention of the Infrastructure Manager 2 = Small anomalies 1 = Inadequate	5		
Execution	Compliance with technical specifications, operating procedures and planning documentation of the client	4 = Total conformity 3 = Non-conformity without consequences 2 = Non-conformity with consequences 1 = Non-conformity, unacceptable	15		
Management of subcontractors and suppliers	Qualification of the subcontractors and suppliers, supervision of the subcontractors and suppliers	4 = Good 3 = Control deficiency without consequences 2 = Control deficiency with consequences 1 = Absence of control	10		
Quality control	Organisation of quality control interventions of own work carried out and subcontracted, of supplies, compliance with verification and control procedures, quality assurance records according to EN ISO 9001	4 = Compliance 3 = Need for reminders 2 = Inadequate control 1 = Absence of control	15		
Personnel management	Qualification, training and competence of personnel, quality of resources, if required authorization of competences,	4 = Good 3 = Done in contract time 2 = Some quality and quantity inadequacy 1 = Inadequate	10		

Organization of technical equipment	Quality of calibration equipment, adequate means for the site conditions, satisfaction of the requirements	4 = Good 3 = Adequate after reminder 2 = Frequent reminders 1 = Inadequate	10		
Safety management	Training on railway risks and on the application of safety procedures	4 = Satisfying standard requirements 3 = Satisfying requirements after reminder 2 = Frequent reminders 1 = Suspension of the works	15		
Management of non-conformities	Capacity to note irregularities and to deal rapidly with non-conformities, capacity to take corrective actions in order to prevent repetition of non-conformities	4 = Adequate management, efficient action 3 = Acceptable management, efficient action 2 = Inadequate management, not very efficient action 1 = Very inefficient management, inefficient action	10		
Contract and schedule management	Meeting of partial and total deadlines, keeping to traffic interruption times, capacity to adapt to any requirements if the Infrastructure Manager, size and nature of penalties incurred	4 = Satisfying all deadlines 3 = Presence of small deficiencies 2 = Presence of deficiencies and penalties 1 = Frequent disputes followed by contentious matter	15		
Environment management	Application of the environmental policy submitted with the qualification request	4 = Satisfying the policy 3 = In conformity after reminder 2 = Frequent reminders 1 = Suspension of the works	5		
<b>Evaluation of services:</b> $E = \frac{\sum (K_i \times P_i)}{\sum K_i}$		$\Sigma =$			
<p><b>NOTE 1</b> The average is rounded to the next highest unit when the decimal is equal to or higher than 0,5, to the next lowest unit in the other instances.</p> <p><b>NOTE 2</b> The following restrictions apply:</p> <ul style="list-style-type: none"> <li>— when four investigated areas are graded 1 or 2, the evaluation of the work cannot exceed 2;</li> <li>— when three investigated areas are graded 2, the evaluation of the work cannot exceed 2;</li> <li>— when one investigated area is graded 2, the evaluation of the work cannot exceed 3.</li> </ul>					
Signature of the Client's site Representative					
Comments from Contractor					
Date					
Signature of Contractor					

**Annex I**  
(normative)

**Notification of change of contractor characteristics**

**LOGO OF THE QUALIFICATION  
BODY, ADDRESS**

**NOTIFICATION OF CHANGE OF CONTRACTOR CHARACTERISTICS according to EN 14969**

(1) Name of the qualified contractor: \_\_\_\_\_

(2) Head office address : \_\_\_\_\_

Telephone No.: \_\_\_\_\_                      Telefax No.: \_\_\_\_\_

E-mail : \_\_\_\_\_

(3) Qualification document No.: \_\_\_\_\_

(4) Date of issue: \_\_\_\_\_

(5) Change(s) to take into account (including date of change): \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(6) Change notification documents (enclosed):

Contents	Enclosures	Number of pages
Legal (see E.2)	_____	_____
	_____	_____
	_____	_____
	_____	_____
Financial (see E.3)	_____	_____
	_____	_____
Technical (see E.4, E.5 and E.6)	_____	_____
	_____	_____
	_____	_____
	_____	_____
	_____	_____
	_____	_____



(7) Representative of the qualified contractor for the review procedure:

Name: \_\_\_\_\_

Business address: \_\_\_\_\_

Telephone No.: \_\_\_\_\_

Telefax No.: \_\_\_\_\_

E-mail : \_\_\_\_\_

Relationship with the applicant:

\_\_\_\_\_

I confirm the authenticity of the documents enclosed and that the information given in this form and the enclosures is true and accurate. I declare that I have the power to commit the applicant and enclose my authorization to do so.

Place: \_\_\_\_\_

Date (day/month/year): \_\_\_\_\_

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

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- [1] EN 13977, *Railway applications – Track – Safety requirements for portable machines and trolleys for construction and maintenance*
- [2] prEN 14033-1 *Railway applications – Track – Technical requirements for railbound construction and maintenance machines – Part 1: Running of railbound machines*
- [3] prEN 14033-2 *Railway applications – Track – Technical requirements for railbound construction and maintenance machines – Part 2: Technical requirements for working*
- [4] prEN 14033-3: *Railway applications – Track – Technical requirements for railbound construction and maintenance machines – Part 3: General safety requirements*
- [5] prEN xxxxx, *Railway applications – Track – Restoration of rails by electric arc welding*
- [6] prEN xxxxx, *Railway applications – Track – Road/rail machines and their associated equipment – Part 1: Technical requirements for running and working*
- [7] prEN xxxxx, *Railway applications – Track – Road/rail machines and their associated equipment – Part 2: General safety requirements*
- [8] EN ISO 9001, *Quality management systems – Requirements (ISO 9001:2000)*
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- [10] TSI 12.09.2002, *Technical Specification for Interoperability relating to the Trans-European High-Speed Rail System*
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