

## Annex 1 - Organizational and Technical Specifications (OTS)

### 1. Certifications and requirements required for the contractor

The maintenance activities on the Wheelsets as per this agreement are to be carried out:

- ❖ In full possession of all the requisites required by current legal, tax, social security and welfare provisions;
- ❖ In full possession of the authorisation to execute the maintenance measures on the Wheelsets and their components;
- ❖ In full possession of the requisites, qualifications and procedures envisaged by EU Regulation 445/2011, Annex I, Art. 2 and Annex III, of the voluntary certification pursuant to Art. 8 EU Regulation 445/2011;
- ❖ In complete observance of the Maintenance Plans and the technical documentation provided by the Customer and already in possession of the contractor;
- ❖ In full possession of the VPI qualification for wheelsets light maintenance;
- ❖ In full possession in general of the requisites required by the Customer for carrying out the maintenance and repair measures envisaged and by means of the equipment in line with the applicable provisions in force also after the agreement is entered into force but within the validity deadlines of the same;
- ❖ Availing of specific areas dedicated to the storage and safe custody of at least 150 Wheelsets of the Customer and of a warehouse for the necessary spare parts;
- ❖ Subject to the drawing up of a Quality Plan in accordance with the UNI ISO 9001:2015 and UNI ISO 10005:2007 standards, and which will have to have as target the specific application to the subject of the Contract envisaged in the Quality Management Systems and in the Maintenance System for which the Contractor is certified;
- ❖ Subject to the drawing up of a Check and Repair Plan (CRP) in accordance with the UNI ISO 10005:2007 standard for each Maintenance Plan in force and personalised for each incoming Wheelset;
- ❖ With full expertise on light maintenance activity on wheelsets of the same type of those assigned with the present Service Agreement.

The minimum certifications required are listed below:

- EU 445/2011 for function “d” execution of the fleet maintenance;
- UNI EN ISO 9001:2015;
- VPI qualification for Wheelset light maintenance;
- OHSAS 18001:2007;
- UNI EN 15085-2 CL. 1.

The following aspects will have to be specified in the Quality Plan:

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- The responsibilities assigned for the accomplishment of the Work Order (WO) and the interfaces designated for the dealings with the customer, with indication of the respective spheres;
- The requisites to be guaranteed;
- The handling of the documentation inherent to the work order, including the technical operational documents of the Contractor;
- The control of the registrations, which will have to be directly linked each to a specific WO and that have to be prepared in a clear, complete, pertinent, fully available and readable version for the period of time indicated in Annex 2 (Operational procedure);
- The availability and the care of the appropriate resources, constantly maintained;
- The methods of communication with the Customer and the documentation to be exchanged and the method for exchanging it;
- The procurement methods;
- The control of the maintenance services;
- The identification and the traceability of the used materials, especially serialised, and all the other elements which influence the outcome of the services and of which mention will be made with regard to the typological CRPs;
- The formalities and the responsibilities for dealing with the Non-Compliances which, subject to the full reinstatement of the compliance, will always have to be communicated to the Customer, for the final decision, absolutely excluding direct dealings between the Contractor and the Customer's suppliers;
- The care of the Customer's property, including intellectual;
- The conservation of the product until delivery;
- The monitoring and the measurements, for which exclusively equipment calibrated and systematically subject to metrological confirmation with reading of the measurement uncertainty must be used; these must be used in such a manner so that said uncertainty is always compatible with the tolerance of the measurement to be made.

The CRP will have to envisage:

- The identification of the document, the type of wheelset dealt with and the individual wheelset to which they are applied for certification purposes;
- The reference documents and all the documents and registrations associated with the same, including any specific documents of elements processed apart;
- The acceptability criteria for checking the compliance of the processing, controls and measurements;
- The state of the processing and the outcome of the same, the controls and the measurements;
- The traceability of the operators who have carried out operations on the safety components or in the critical processes;
- The traceability of the equipment used;
- The traceability of the registrations and the materials/components used;

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- Evidence of the positive conclusion of the entire process for the work on the wheelset.

In any event the Customer reserves itself the possibility to carry out any audit on the Contractor, in order to check the progress of the service object of the Contract and the observance of the contractual requirements or those inherent to the Quality Plan and the documents referred to in the same. Advance notice of two days will be given for the performance of this Audit, disclosing the related program.

## 2. Activity of light maintenance on Wheelsets

With regard to the Wheelset maintenance activities object of the Contract, these are divided into 3 main types:

- IS1, according to VPI guidelines and Customer Operative Instructions (OI).
- IS1+IL, referred to as IS1 and IL according to VPI guidelines and Customer OI.
- IS2 – according to VPI guidelines and Customer OI.

Additional activities complementary to those listed are:

- Overhaul of Wheelset components (axle box / bearing / etc).
- Drafting and forwarding of the technical documentation such as certificates, CRPs and EWT data (in the format of Annex 6 – EWT format) which must be sent by the end of the day when the WO activities are completely performed.

### a) Production capacity

The minimum guaranteed capacity for the activities is as follows (provided that the Wheelsets are at disposal of the Contractor):

- a) 4 working days from the date of the receipt of a WO for IS1;
- b) 5 working days from the date of receipt of a WO for IS1+IL;
- c) 6 working days from the date of receipt of a WO for IS2.

In any case, the minimum granted capacity is the take in charge of 50 activities of light maintenance on Wheelsets per week.

The Contractor commits to dedicate, free of charge, an area for the storage up to 150 wheelsets.

In case of non-standard repairs or other reasons that prevent the Contractor to respect the above defined deadlines, the Contractor is free to ask for a different term of execution of the activity. The new term of execution shall be agreed between the two Parties.

## 3. Spare Parts

The Contractor undertakes to store into its own warehouses, at its own diligence and expense, a suitable stock of spare parts in order to guarantee the minimum capacity expressed here above. The Contractor ensures that the parts provided by itself comply with the requirements fixed by the ECM of which it declares it is aware. The Contractor also ensures the traceability of the same spare parts.

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The Customer also ensures to keep its stock of spare parts in such a quantity to guarantee the respect of the minimum capacity expressed here above.

The Contractor may require that the purchase of the spare parts for which the Customer is responsible for (Annex 5 - Customer list of spare parts) are made by the Contractor, in full or in part. In case the Customer agrees, the spare parts will be resold by the Contractor to the Customer at the agreed price and, once they have become the property of the latter, they will be kept at the diligence and expense of the Contractor.

The Contractor, in any event, undertakes to:

- i. check that the spare parts delivered correspond to those effectively ordered. In the event of failure to detect any discrepancies between that ordered and that delivered, within 7 days of receipt of the materials, the Contractor undertakes responsibility vis-à-vis the Customer for the aforesaid discrepancies;
- ii. store the parts according to the directives provided by the manufacturer of said spare parts and the ECM;
- iii. keep the certificates of conformity of the parts;
- iv. keep suitable warehouse accounts according to the instructions and the indications which will be provided by the Customer. In particular, the Contractor must keep an updated register of the loading and unloading of spare parts which are the Customer's property, and must send any update to the Customer as described in Annex 2 (Operational procedure);
- v. ensure the traceability of the parts which are the Customer's property.