

# Siemens Energy Business Quality Requirements (EBQR) for AGT Suppliers

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## Introduction

The purpose of the Siemens Energy business quality Requirements for SE AGT suppliers is to formally communicate the requirements and expectations to the global supply chain. The document is aligned with the clauses of iso 9001:2015 and Siemens Energy (SE AGT) “additional requirements are highlighted in *Italic text*”. This specification and any other associated supplier used documents are available to view and download from the supplier portal or upon request.

[www.siemens-energy.com/global/en/home/supplier/supplier-information.html#AGT-Global-tab-2](http://www.siemens-energy.com/global/en/home/supplier/supplier-information.html#AGT-Global-tab-2)

## Scope, content and applicability

This specification applies to the suppliers and their sub-tiers, who manufacture, furnish, or process product and / or the provision of services against the purchase order/schedule agreement demand of Siemens Energy AGT. For the avoidance of doubt, this scope also applies to authorized repair vendors & maintenance repair and overhaul centers (MROC's) who will be referred to as suppliers throughout the remainder of the document.

This specification is the main flow-down document and shall be invoked as the mandatory requirements for the supply into SE AGT sites and locations globally to ensure requirements are established, maintained, and implemented at all levels.

Siemens Energy AGT reserves the right to flow down additional requirements to satisfy customer and / or business requirements. Any exceptions or deviations from the requirements contained within this document must be mutually agreed in writing with SE AGT supplier quality

## Quality management system requirements

Quality management systems certification and approvals for suppliers

- Establish a documented quality management system (QMS) to iso 9001:2015 preferably that is

independently assessed and certified by a certification body. The certification body must be accredited by a recognized national accreditation body to provide audit and certification services of quality management systems.

- Work within the scope of their QMS certification, and / or their scope of approval with Siemens Energy AGT.
- Ensure SE AGT is notified should their approval be suspended or revoked or when major non-conformances (NCRs) are raised by the certifying body.
- Operate within the framework of iso 14001 and iso 45001:2018 (approval to these certification standards is preferred but non mandatory).

## Order of precedence

Order of precedence for the flow down requirements are:

- Purchase order (to include drawing, specifications) and requirements.
- Repair vendor license agreements (applicable to authorized repair vendors & MROC's only).
- Long term agreement / contractual agreement / frame agreement.
- This document (EBQR).

## Term and definitions (iso 9001:2015 clause 3)

- AGT Aeroderivative Gas Turbines.
- CFSI Counterfeit and Fraudulent Suspect Items.
- COC Certificate of Conformance.
- CEP Customer Energy Portal.
- DAR Drawing Alteration Request.
- EBQR Siemens Energy Business Quality Requirements for AGT Suppliers
- FAI(R) First Article Inspection (Report).
- ISO International Organization for Standardization.
- ITP Inspection and Test Plan.
- ITCL Industrial Turbine Company Limited.
- MROC Maintenance Repair Overhaul Centres.
- NCR Non-Conformance Report.
- NTS Notice to Suppliers.
- PFMEA Process Failure Mode and Effects Analysis.
- PP Production Permit.
- PPQ Product and Process Qualification.
- QMS Quality Management System.
- QN Quality Notification.
- REACH Registration, Evaluation, Authorisation and Restriction of Chemicals.
- RoHS Restriction of Hazardous Substances.
- RVLA Repair Vendor License Agreements.
- SC Source Change.
- SE Siemens Energy.
- SECL Siemens Energy Canada Ltd.
- TLRF Technical Liaison Request Form.

## Context of the organization (iso 9001:2015 clause 4)

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|-----|--|
| 4.1 | Understanding the organization and its context |
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| 4.2 | Understanding the needs and expectations of interested parties |
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| 4.3 | Determine the scope of the quality management |
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| 4.4 | Quality management system and its processes |
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## Leadership (iso 9001:2015 clause 5)

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|-----|---------------------------|
| 5.1 | Leadership and commitment |
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| 5.1.1 | General |
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|-------|----------------|
| 5.1.2 | Customer focus |
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## Policy (iso 9001:2015 clause 5.2)

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|-------|---------------------------------|
| 5.2.1 | Establishing the quality policy |
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| 5.2.2 | Communicating the quality policy |
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| 5.3 | Organizational roles, responsibilities & authorities |
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## Planning (iso 9001:2015 clause 6)

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### 6.1 Actions to address risks and opportunities

#### Business Continuity & Risk Management

In addition, the supplier shall:

a) Establish business continuity plans that identify, analyze, evaluate and / or mitigate risks related to business continuity that may include (but is not limited to) the following:

- Obsolescence management.
- Product, facility, or individual skill uniqueness / capacity etc.
- Access to alternative production facilities.
- Single points of failure (including sub-tier suppliers) or key processes
- Remote backup of computer data.
- Access to alternative information technology systems.
- Cybersecurity.
- Action plans and timescales for business recovery.
- Contacts, process owners and procedures to follow in the event of an emergency.
- A strategy to control, review periodically and communicate plans to all relevant personnel.

b) It is required that a supplier inform their SE AGT supplier quality contact immediately regarding the following:

- Changes to third party or other party certification including lapse / withdrawal / major audit findings.
- Change of the nominated quality representative.
- Significant change to the quality management system.
- Change in ownership or discontinuation of business activities.
- Risks that could impact upon the continuity of the supplier's business / operations.
- Risks with the supply of substances used in the production or physical make-up of products, due to laws and regulations concerning the control or use of such substances.

c) Comply with statutory legislation including CE Marking and UKCA Marking requirements.

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d) Submit risk register and contingency plans to SE AGT on request.

- Contingency plans can be requested at any time; not just during audits and/or assessments.

e) Maintain documented information of risk management.

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**6.2** Quality objectives and planning to achieve them

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**6.3** Planning of changes

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## Support (iso 9001:2015 clause 7)

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|--------------|---|
| <b>7.1</b>   | Resources   |
| <b>7.1.1</b> | General   |
| <b>7.1.2</b> | People  |
| <b>7.1.3</b> | Infrastructure  |
| <b>7.1.4</b> | <p>Environment of the operation of processes</p> <p><u>Lighting</u></p> <p>In addition, the supplier shall:</p> <p>a) Ensure product verification / inspection activities requiring accurate visual verification are performed under sufficient lighting conditions that provide a recommended white light intensity of not less than 500 Lux.</p>  |
| <b>7.1.5</b> | <p>Monitoring and measuring resources</p> <p><u>Eye examination</u></p> <p>In addition, the supplier shall:</p> <p>a) Establish a documented procedure to ensure that eye examinations, including “visual acuity and colour vision, as applicable” are administered by a professionally qualified optometrist, to all individuals performing visual inspection and/or other product acceptance activities that require visual acuity.</p> <ul style="list-style-type: none"> <li>• Intervals shall not exceed two years.</li> <li>• Individuals shall be tested, either corrected or uncorrected.</li> <li>• Colour Perception testing intervals should not exceed 5 years. Individuals shall be capable of adequately distinguishing and differentiating colours used in the method for which certification is required, the process being performed or inspection activity.</li> </ul> <p>b) Documentation shall be retained for each individual performing:</p> <ul style="list-style-type: none"> <li>• Visual inspection (i.e., calibration, non-weld, in- process and final, layout, dimensional).</li> <li>• Visual Inspections on Welds.</li> <li>• Non-destructive testing (NDT).</li> </ul> |
| <b>7.1.6</b> | Organizational knowledge  |

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|-------|-----------------------------------|
| 7.2   | Competence                        |
| 7.3   | Awareness                         |
| 7.4   | Communication                     |
| 7.5   | Documented information            |
| 7.5.1 | General                           |
| 7.5.2 | Creating and updating             |
| 7.5.3 | Control of documented information |

In addition, the supplier shall:

- Comply with the current revision of documents / specifications referenced on the product definition or purchase order / contract.
- Take appropriate action when document changes cannot be implemented prior to the shipment of the product.
- Flow down SE AGT documents / specifications to sub-tier suppliers (when applicable).
- Translate SE AGT documents. If there are deviations between the English version and translated versions, the English version is the applicable one.

Ensure that corrections to work Instruction or QMS documents are recorded and traceable to the originator (e.g. signature, stamp, etc.) in ink or other permanent marking method with the original data being legible after the change.

- Access and changes to documented information will only be performed by persons authorized to do so.

In addition, the supplier shall:

Control documented information related to AGT products in a manner that will allow the recovery of a readable version of any documented information (including electronic documented information) by ensuring that:

- Documented information is retrievable on request within 24 hours.
- Data requiring authorization by SE is written in the English language or dual language i.e., the supplier's national language plus an accurate English translation made from the original document / record (see also Control of documents).
- Documented information created by and / or retained by subcontractors / sub-tier suppliers are appropriately controlled in accordance with these requirements.

**Note:** Electronically scanned files are permissible in lieu of storing hardcopies. All electronic documented information must be controlled, retained and retrievable per the same requirements identified for hard copy documented information. For electronic documented information that is transferred from computer files, the storage media must be capable of maintaining the data integrity for the full retention period.

Retention of documented information

In addition, the supplier shall:

Retain the documented information for the minimum periods as below:

- When the product definition specifies “fixed process control”: retained permanently or until SE AGT has instructed the supplier to dispose of the documented information.
- All other parts documentation must be retained for 6 years minimum commencing from the date product was delivered to AGT SE. The supplier can dispose of documented information at the end of this specific period.

**Note:** MROC's and repair vendors must comply with the latest revision of repair schemes supplied directly by SE AGT. When working on behalf of SE AGT, use associated documentation stored on the Customer Energy Portal. (For CEP access contact your local SE AGT Account Manager / Commercial Manager).

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## Operation (iso 9001:2015 clause 8)

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### 8.1 Operational planning and control

#### Prevention of counterfeit parts

In addition, the supplier shall:

Establish a CFSI controlled process to prevent the use of counterfeit, or suspect counterfeit items, all parts shall be controlled to prevent entry into the supply chain.

- Only source catalogue items directly from the original manufacturers (or their authorized agents) who have been given prior approval within the suppliers QMS.
- In the event of any CFSI being discovered within the supply chain, the supplier must inform SE AGT immediately.
  
- Any CFSI items which are discovered within the supply chain must be quarantined, reported immediately to SE AGT, destroyed, and scrapped with documented information.

#### Material compliance

In addition, the supplier Shall:

All suppliers of goods and services provided directly to Siemens Energy must ensure that the statutorily imposed restrictions and/or information requirements for both those substances and mixtures shall have the requisite authorisations as laid out within, but not limited to, REACH and RoHS and these details shall be supplied to Reach.agt@siemens-energy.com prior to the supply of those goods or services. It is the responsibility of the supplier of those goods and services that they keep themselves up to date for the latest chemicals that are affected by these and future legislations.

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### 8.2 Requirements for products and services

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#### 8.2.1 Customer Communication

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#### 8.2.2 Determining the requirements for products and services

Applicable to suppliers and their sub-contractors working at Siemens Energy sites and their customers sites: \*

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- The Service provider, and their sub-contractors, as appropriate, shall at all times co-ordinate their activities to ensure that work is carried out safely.
- After confirmation of order and before any mobilisation of personnel, they shall agree instructions (including method statements and risk assessments to establish a safe system of work).
- The supplier shall at all times whilst attending or working on any site familiarise itself and fully comply with all relevant health, safety and environmental laws, rules, regulations and procedures, the SE (and the SE's customers) health and safety policies, and any other requirements which may reasonably be notified to them.

\*Not applicable to SECL where defined as indirect suppliers.

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**8.2.3** Review of requirements for products and services

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**8.2.4** Changes to requirements for products and services

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**8.3** Design and development of products and services

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**8.3.1** General

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**8.3.2** Design and development planning

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**8.3.3** Design and development inputs

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**8.3.4** Design and development controls

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**8.3.5** Design and development outputs

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**8.3.6** Design and development changes

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**8.4** Control of externally provided processes, products and services

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**8.4.1** General

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**8.4.2** Type of extent and control

Control of work transfers (source change)

Applicable to gas turbine engine components only, suppliers shall:

Control of work transfers (source change) is applicable to suppliers planning the temporary or permanent transfer of work and is used to control and verify that the product conforms to requirements during and after the following types of transfers:

- From one supplier's facility to another supplier facility.
  - From the supplier's facility to a subcontractor / sub-tier supplier.
  - From a subcontractor / sub-tier supplier to the supplier's facility.
-

- From one subcontractor / sub-tier supplier to another subcontractor / sub-tier supplier.
- Any transfer of work within the supplier's current facility that could have an effect upon the continuity of supply of product.

Control of work transfers (source change) is not applicable to:

- Purchased standard catalogue hardware or deliverable software.
- A proposed source that holds a current valid First Article Inspection Report (FAIR) or PPQ for the product.
- Raw material purchased from a stockist / distributor.
- SE AGT global indirect contracts.

In addition, the supplier shall:

A) Establish a documented procedure for the control of work transfers (source change) to plan, control and verify the conformity to specified requirements during the temporary or permanent transfer of work. The procedure shall contain (but not be limited to):

- Formal notification to all stakeholders before any change commences.
- Risk assessment and mitigation.
- Transfer plan.
- Demonstration of capacity at the in-loading area to protect customer delivery.
- Demonstration that generation of buffer stocks are built into load and capacity plans to protect customer delivery.

Complete and submit the form(s) associated with this activity to their SE AGT purchasing contact (see link below).

[https://p3.aprimocdn.net/siemensenergy/446d6055-4cf4-4764-a6f4-b05600855ce0/source-and-method-change-form-xlsx\\_Original%20file.xlsx](https://p3.aprimocdn.net/siemensenergy/446d6055-4cf4-4764-a6f4-b05600855ce0/source-and-method-change-form-xlsx_Original%20file.xlsx)

B) Proceed with the work transfer (source change) only when a response has been received from their SE AGT purchasing contact and they comply with requirements specified in the response.

C) Ensure that work transfer (source change) documentation / information is communicated along the purchase order cascade.

D) Ensure delivery performance is protected prior to any work transfer (source change).

E) Maintain documented information of work transfers (source change).

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### 8.4.3 Information for external providers

### Purchasing / Subcontracting

In addition, the supplier shall:

- Communicate and flow down the supplier's (purchaser's) requirements and SE AGT requirements (including applicable SE AGT Supplier Requirements) to subcontractors / sub-tier suppliers.
- Ensure NDAs are in place when sharing any SE propriety information.
- Note: The Authorised Repair Vendors or MROCs shall not subcontract any part of Repair Scheme or any related Repair Work without the prior written consent of SE AGT. Additionally, where parts or components are required in the performance of repair and overhaul work, such parts must only be purchased from Siemens Energy.

In addition, the supplier shall:

A) Only purchase from a source holding appropriate certification unless agreed with SE AGT Supplier Quality [1].

B) Specify, as applicable, any critical items, during purchasing / subcontracting, product design and development and production design and development, including any key characteristics, and specific actions to be taken for these items [1].

C) Unless otherwise noted from SE AGT, only purchase from an SE AGT designated source, unless the supplier (purchaser) is purchasing [1]:

- SE AGT material specifications from a material stockist / distributor and with traceability to the raw material manufacturer.
  - Non SE AGT material specifications only purchase raw material directly from the raw material manufacturer;
- OR
- Non SE AGT material specifications only purchase from a material stockist / distributor where the material is tested to specification by a certified inspection and testing laboratory.

**Note 1:** Only applicable to all suppliers involved in or associated with:

- Classified components (critical and sensitive) new & repair.
- Procurement of castings and forgings.

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## **8.5** Production and service provision

### **8.5.1** Control of production and service provision

#### Preventative maintenance [2]

In addition, the supplier shall:

Identify key process equipment and provide resources for machine / equipment maintenance and develop an effective planned total preventive maintenance system that includes the following:

- Planned maintenance activities (including the identification of critical spares).
- Packaging, protection and preservation of equipment, tooling, and gauging.
- Availability of replacement parts for key production equipment.
- Documenting, evaluating, and improving maintenance objectives.
- Identification and control of all safety-critical plant and equipment.
- Loss to available capacity related to planned maintenance activities.

**Note 2:** Only applicable to the equipment and processes utilized to fulfil SE AGT demand.

#### Work instructions

In addition, the supplier shall:

- a) Prepare documented work instructions for personnel having the responsibility for the operation of processes that impact product quality.
- b) Ensure work instructions are accessible for use at the workstation.
  
- c) Ensure work instructions are derived and cross referenced to sources such as the PFMEA and / or the control plan (as applicable).

NB: Work instructions can include process flow diagrams, production documents such as production plans, travelers, routers, work orders, process cards and inspection documents.

#### Control of equipment, tools and software programs

Production equipment, tools, and software programs used to automate, and control/monitor product realisation processes shall be validated by the supplier prior to release for production and are maintained. Storage requirements, including periodic preservation/condition checks, are defined for production equipment or tooling in storage.

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### 8.5.2

#### Identification and traceability

In addition, the supplier shall:

- a) Identify raw material / product by suitable means throughout production activities  
Identification to be maintained throughout the product life.

- b) Maintain the traceability for all product during production/repair and overhaul (including product quantities, split orders, nonconforming product, and scrap).

- c) Control the unique and serialized parts identification of the product when specified in the SE AGT product definition and / or purchase order / contract.
  - d) Establish a method to differentiate between an unfinished / incomplete product during subcontract /sub-tier supplier processing activities and a finished / completed product.
  - e) For an assembly the ability to trace its components to the assembly and then to the next higher assembly.
  - f) Maintain documented information of product identification, traceability, and serialization.
  - g) For a product, a sequential record of its production (manufacture, assembly, inspection/ verification) to be retrievable including repair.
  - h) The ability to trace all products manufactured from the same batch of raw material, or from the same manufacturing batch to the destination (e.g., delivery, scrap).
- NB: Not applicable to standard catalogue hardware or deliverable software.

**8.5.3** Property belonging to customers or external providers

**8.5.4** Preservation

Foreign Object Debris (FOD) Prevention

In addition, the supplier shall:

- Establish a method for the prevention, detection, and removal of Foreign Object Debris.
- The method should contain the following elements as a minimum:
  - i) Physical entry control into FOD critical areas (where applicable).
  - ii) Inspection for foreign objects prior to closing apertures and compartments during assembly. Ensure that all incidents of actual or potential FOD is reported and investigated.
  - iii) Include appropriate employee awareness training.

Storage and inventory

In addition, the supplier shall:

- A) Provide secure storage facilities for product, equipment, tools, and material, that are suitable for long term storage of components. The areas used for long term storage shall be maintained at a minimum temperature of 15 degrees Celsius, 59 degrees Fahrenheit, 288.15 Kelvin, and a maximum relative humidity RH of 75%.
- B) Ensure the conditions of storage prevent deterioration and damage of stored items.
- C) Assess the condition of product in stock at appropriate planned intervals in order to detect deterioration.

- Rule for determining safety stock levels.
- Method to guarantee inventory accuracy and stock rotation.
- Key performance indicators to monitor inventory.
- Method to monitor, review and action slow-moving work in progress.
- Control of shelf-life product [3].

D) Ensure segregation of serviceable product, equipment, tools and material from unserviceable product, equipment, tools and material.

**Note 3:** Products supplied to SE AGT subject to shelf-life restrictions shall be supplied with a minimum of 85% of their shelf-life period remaining from the date of manufacture unless specifically agreed with the SE AGT Supplier Quality Representative.

Packaging and Labelling Definition

In addition, the supplier shall:

- A) Ensure that products are packaged to a standard that provides adequate protection against damage, deterioration and tampering during shipment, storage, and distribution.
- B) Ensure that the product packaging is labelled to a standard that provides adequate identification and traceability of the product.
- C) Comply with the “Protection Packaging and Labelling Guidelines” [4].

**Note 4:** Protection Packaging and Labelling Guidelines is available to view and download from the supplier portal:

[https://p3.aprimocdn.net/siemensenergy/d0d816fa-1e30-4970-abef-b05600861b9a/Packaging-and-labelling-requirements-V2-pdf\\_Original%20file.pdf](https://p3.aprimocdn.net/siemensenergy/d0d816fa-1e30-4970-abef-b05600861b9a/Packaging-and-labelling-requirements-V2-pdf_Original%20file.pdf)

**8.5.5** Post-delivery activities

CE / UKCA Marking

In addition, the supplier shall:

- Purposes of CE / UKCA Marking Technical Directives provide for the CE marking of products. The use of the CE mark implies that the manufacturer has complied with all Directives relating to the product.
- The European Union (EU) rules apply everywhere in the European Economic Area (EEA), so products complying with these requirements and bearing CE marking may be supplied anywhere in the EEA. The person or legal entity (e.g., a company) who affixes the CE

marking on the product is legally responsible for the claimed compliance with the appropriate Directives. Normally that person would be resident in Europe and in the case of equipment manufactured outside the EEA; the agent who places the product on the market becomes responsible.

- The CE marking will not be recognised in Great Britain. However, a product bearing the CE marking would still be valid for sale in the UK so long as it was also UKCA marked and complied with the relevant UK rules. Where required, products supplied shall be dual marked with both the CE and the UKCA part marking.
- The UKCA marking applies to most goods previously subject to the CE marking. Technical requirements ('essential requirements') – and the conformity assessment processes and standards which can be used to demonstrate conformity – are largely the same as they were for the CE marking but are subject to change and should be confirmed.

[www.gov.uk/guidance/using-the-ukca-marking](http://www.gov.uk/guidance/using-the-ukca-marking)

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#### **8.5.6** Control of changes

Source & method control

Applicable to authorized repair vendors and MROC's only, they shall:

- Ensure source and method control approval is within a 2-year validity date.

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#### **8.6** Release of products and services

In addition, the supplier shall:

- The supplier shall provide in writing all data, instructions, and warnings as are required to comply with applicable legislation relating to health, safety, and the environment.
- If any of the goods to be supplied under the contract contain any hazardous substances or require any special precautions to be taken to ensure safety in handling, transport, storage or use and for the protection of the environment, the supplier shall prior to their delivery furnish the purchaser with written details of the nature of those substances and the precautions to be taken.
- The supplier shall ensure that before dispatching appropriate instructions and warnings are clearly and prominently marked on the goods or securely attached to them and on any containers into which they are packed.

Certificates of Conformance and Release documentation

In addition, the supplier shall:

A) Provide separate release documentation with each delivery to SE AGT [5].

B) Ensure that the release documentation:

- Is written in English or in a language specified by SE AGT.
- Refers to a single purchase order / schedule.
- Refers to a single part number.
- Is legible and protected from damage / deterioration.
- Is attached to the outside of the secondary packaging and one copy included within the packaging with the product.

C) Contains the following information as a minimum:

- Unique traceable document reference number.
- Supplier's name, address, and telephone number.
- Country of origin.
- Delivery address.
- SE AGT purchase order number (including purchase order item number).
- SE AGT plant and storage location (when specified).
- Description of the product (as referenced on the SE AGT purchase order).
- Part number (as referenced on the SE AGT purchase order).
- Kit number (when applicable) – plus a list of part numbers, quantities, serial numbers.
- Traceable reference (serial, batch, lot, heat, cast numbers - as applicable).
- Quantity.
- Any applicable Concession/production permit references.
- Quality plan number (if applicable).
- Date of dispatch.
- Conformance / compliance statement [6].
- Signature of person authorized to release the product to the customer.

D) Provide additional information (when applicable):

- Approved PPQ/First Article Inspection Report (FAIR) front sheet.
- Modification, repair scheme, or service bulletins.
- Hazardous substances / safety data sheet (safety data sheet to be provided).
- Shelf life (cure date, batch, group) – no mixed cure dates / batches [3].

- Virus-free declaration (computer software).
  - Cross reference to the original raw material manufacturer's name (stockists / distributors).
  - Cross reference to customer name and purchase order (material processors).
- E) Provide a certificate of analysis or raw material manufacturer's certificate with the shipment of raw material that contains the following:
- Traceable reference to batch, lot, heat, cast numbers.
  - Chemical analysis including constituent elements and percentages.
  - Physical analysis, i.e., stress strain data, and temper.
- F) Maintain documented information [7] of release documentation as category 'A' when the product definition specifies. Fixed Process Control. All other documented information will be maintained as category 'B'.
- Note 5:** Electronically generated release documentation is acceptable without the physical signatures provided controls are in place at the supplier of un-intended use of authorized person credentials.
- Note 6:** Typical compliance statement: "certified that the whole of supplies hereon has been inspected /tested and unless otherwise stated, conform in all respects to specification, drawing and purchase order requirements".
- Note 7:** Documented information of release documentation held electronically shall contain all of the information shown on the original document and a traceable reference to the person authorized to release the product to customer.

## 8.7

### Control of nonconforming outputs

In addition, the supplier shall:

- A) Establish a method of detection and feedback of product / service nonconformities or process noncompliance.
- B) Take necessary actions to contain the effect of the nonconformity on other processes or products and services i.e. work in progress, stores stock, shipping area, in transit, sub-tier subcontract activities, similar products, dispatched / delivered to customer (within 48 hours).
- C) Stop shipment of product when notified of non-conformance by Siemens Energy AGT, until appropriate corrective action has been established.
- D) Clearly identify and control product that has been deemed scrap.
- E) Verbal agreements or instructions shall under no circumstances be construed as approval or

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authorization to deliver such parts.

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## Performance evaluation (iso 9001:2015 clause 9)

|              |   |
|--------------|---|
| <b>9.1</b>   | Monitoring, measurement, analysis, and evaluation |
| <b>9.1.1</b> | General   |
| <b>9.1.2</b> | Customer satisfaction                             |
| <b>9.1.3</b> | Analysis and evaluation                           |
| <b>9.2</b>   | Internal audit                                    |
| <b>9.3</b>   | Management review                                 |
| <b>9.3.1</b> | General   |
| <b>9.3.2</b> | Management review inputs                          |
| <b>9.3.3</b> | Management review outputs                         |

## Improvement (iso 9001: 2015 clause 10)

|             |   |
|-------------|---|
| <b>10.1</b> | General   |
| <b>10.2</b> | <p>Nonconformity and corrective action</p> <p>Production permit / concessions, In addition the supplier shall:</p> <p>A) Complete and submit the form(s) associated with this activity to their SE AGT SQ contact or supplier portal for concessions.</p> <p>B) Take appropriate corrective action.</p> <p>C) If required, mark the product as indicated on the deviation permit / concession, including (but not limited to) the relevant concession category and concession number allocated by SE AGT. In accordance with the applicable identification marking method (and location) specified in the product definition.</p> <p>D) Ensure concession is approved prior to the shipment of a product which does not conform to specified requirements [8].</p> <p>E) Maintain documented information of deviation permits / concessions as category 'A' retention of documented information.</p> <p><b>Note 8:</b> Cost of non-quality claims.</p> <p>Applicable to SE AGT reserves the right to recover non-conformance costs, the following amount may be claimed as a standard charge (Euros) by Siemens Energy for Quality Notifications in declared and undeclared categories [9].</p> <ul style="list-style-type: none"> <li>• Concessions submissions (new, revised and rejects): €600</li> <li>• Rejects at receipt: €800</li> <li>• Rejects as a result of assembly/test complaints: €1000</li> <li>• Rejects as a result of customer/operator complaints: €1650</li> </ul> <p><b>Note 9:</b> The claim amount will be charged according to the PO currency.</p> <p>Applicable to authorized repair vendors and MROC's only: in addition, they shall:</p> <ul style="list-style-type: none"> <li>• Ensure local repairs are fully approved, either by local approval (if granted) or TLRF approval.</li> <li>• Ensure TLRF's are referenced within manufacturing documentation.</li> </ul> |
| <b>10.3</b> | Continuous Improvement  |

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Quality and delivery performance

In addition, the supplier shall:

- A) Monitor quality and delivery performance using key performance indicators. Where SE AGT has provided the supplier with a scorecard, the supplier will use the targets noted in the scorecard as Key Performance Indicators (KPI).
  - B) Take appropriate corrective action when quality or delivery performance is not or will not be achieved.
  - C) Inform SE AGT purchasing contact immediately when delivery schedules are not, or will not be, achieved and submit a recovery plan to their SE AGT purchasing contact.
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## Additional requirements and clarifications

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### 11.1 Product and Process Qualification (PPQ)

In addition, the supplier shall:

For those suppliers and their subcontractors participating in the PPQ Process (as advised by SE AGT) additional requirements can be found using the filepath:

[https://p3.aprimocdn.net/siemensenergy/13a98f8c-dad4-45df-9c8c-b210007865a5/Annex-1-to-001901---PPQ-Elements-definition-and-supplier-information-pdf\\_Original%20file.pdf](https://p3.aprimocdn.net/siemensenergy/13a98f8c-dad4-45df-9c8c-b210007865a5/Annex-1-to-001901---PPQ-Elements-definition-and-supplier-information-pdf_Original%20file.pdf)

### Definition Alteration Request (DAR)

DAR is applicable to gas turbine engine components only, and applies to:

- Changes that do not affect fit, form or function.
- Changes (Source and method change) that impact upon SE AGT requirements.
- Changes that require a decision by SE AGT Engineering.

The supplier shall:

A) Complete and submit the form(s) associated with this activity to their SE AGT procurement contact [10] [11].

*DAR FORM:*

[https://p3.aprimocdn.net/siemensenergy/f530c3d5-86ab-4c75-af8a-b0560085faeb/DAR-form-V5-pdf\\_Original%20file.pdf](https://p3.aprimocdn.net/siemensenergy/f530c3d5-86ab-4c75-af8a-b0560085faeb/DAR-form-V5-pdf_Original%20file.pdf)

*DAR GUIDELINES:*

[https://p3.aprimocdn.net/siemensenergy/71aeebc6-6129-492e-819c-b0560085fde1/DAR-supplier-guidelines-pdf\\_Original%20file.pdf](https://p3.aprimocdn.net/siemensenergy/71aeebc6-6129-492e-819c-b0560085fde1/DAR-supplier-guidelines-pdf_Original%20file.pdf)

B) Maintain documented information for definition alteration requests defined as category “A”.

**Note 10:** Evidence of repeated concessions/ production permit’s acceptance on same feature and same deviation shall result in a DAR submission requesting updates to the drawings.

**Note 11:** Cost of non-quality claims (see Production Permit / Concessions) is not applicable for production permit applications if DAR is submitted to SE AGT.

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## Annex A1

### Correlation Matrix

| <b>Iso 9001:2015</b>  | <b>Clause References</b> | <b>Clause References</b> | <b>Content Change</b> | <b>Content Change</b> |
|---|--------------------------|--------------------------|-----------------------|-----------------------|
| Clause References:<br>Iso 9001:2015,<br>EBQR v3 2022                          | EBQR v1<br>(2014)        | EBQR v2<br>(2020)        | EBQR v3<br>(2022)     | EBQR v4<br>(2024)     |
| 0 Introduction  |                          |                          | x                     |                       |
| 1 Scope,<br>Content &<br>Applicability  | A1.1, A1.2               | A1.1, A1.2               | x                     |                       |
| 2 Order of<br>Precedence  |                          |                          | x                     | x                     |
| 3 Terms and<br>Definitions  |                          |                          | x                     |                       |
| 4 Context of the<br>organization  |                          |                          |                       |                       |
| 4.1<br>Understanding<br>the<br>organization<br>and its context                |                          |                          |                       |                       |
| 4.2<br>Understanding<br>needs and<br>expectations of<br>interested<br>parties |                          |                          |                       |                       |
| 4.3<br>Determining<br>the scope of<br>the quality<br>management<br>system     |                          |                          |                       |                       |
| 4.4 Quality<br>management<br>system and its<br>processes                      |                          |                          |                       |                       |
| 5 Leadership  | A2.2                     |                          |                       |                       |

|  |            |      |   |
|--|------------|------|---|
| 5.1 Leadership and commitment                              |            |      |   |
| 5.1.1 General  | A2.1       |      |   |
| 5.1.2 Customer focus                                       |            |      |   |
| 5.2 Policy   |            |      |   |
| 5.2.1 Establishing the quality policy                      |            |      |   |
| 5.2.2 Communicating the quality policy                     |            |      |   |
| 5.3 Organizational roles, responsibilities and authorities |            |      |   |
| 6 Planning   |            |      |   |
| 6.1 Actions to address risks and opportunities             | A3.4       |      | x |
| 6.2 Quality objectives and planning to achieve them        |            |      |   |
| 6.3 Planning of changes                                    |            |      |   |
| 7 Support  |            |      |   |
| 7.1 Resources  |            |      |   |
| 7.1.2 People   |            |      |   |
| 7.1.3 Infrastructure                                       |            |      |   |
| 7.1.4 Environment for the operation of processes           | A3.2, B4.1 |      | x |
| 7.1.5 Monitoring and measuring resources                   | A2.1       | A2.2 | x |

|   |            |                     |   |   |
|---|------------|---------------------|---|---|
| 7.1.6<br>Organizational<br>knowledge  |            |                     |   |   |
| 7.2<br>Competence   | A3.1       | A2.1                |   |   |
| 7.3 Awareness   |            |                     |   |   |
| 7.4<br>Communication  |            |                     |   |   |
| 7.5<br>Documented<br>information  |            |                     |   |   |
| 7.5.1 General   |            |                     |   |   |
| 7.5.2 Creating<br>and updating  |            |                     |   |   |
| 7.5.3 Control of<br>documented<br>information                               | A1.3, A1.4 | A1.3, A1.4,<br>A1.5 | x | x |
| 8 Operation   |            |                     |   |   |
| 8.1 Operational<br>planning and<br>control                                  |            |                     | x | x |
| 8.2<br>Requirements<br>for and<br>services                                  |            |                     |   |   |
| 8.2.1 Customer<br>communication   |            |                     |   |   |
| 8.2.2<br>Determining<br>the<br>requirements<br>for products<br>and services |            |                     | x |   |
| 8.2.3 Review of<br>requirements<br>for products<br>and services             |            |                     |   |   |
| 8.2.4 Changes<br>to requirements<br>for products<br>and services            |            |                     |   |   |
| 8.3 Design and<br>development of<br>products and<br>services                |            |                     |   |   |

|   |                  |             |  |   |   |
|---|------------------|-------------|--|---|---|
| 8.3.1 General   |                  |             |  |   |   |
| 8.3.2 Design and development planning                             | B2.1, B3.1       |             |  |   |   |
| 8.3.3 Design and development inputs                               |                  |             |  |   |   |
| 8.3.4 Design and development controls                             | B3.3, B3.4       |             |  |   |   |
| 8.3.5 Design and development outputs                              |                  |             |  |   |   |
| 8.3.6 Design and development changes                              | B2.2             |             |  |   |   |
| 8.4 Control of externally provided processes, products & services |                  |             |  |   |   |
| 8.4.1 General   | A4.4, A4.5       |             |  |   |   |
| 8.4.2 Type and extent of control                                  | A4.2             | A3.2        |  | x |   |
| 8.4.3 Information for external providers                          | B1.2, A4.1, A4.3 | A3.1, A.3.3 |  | x | x |
| 8.5 Production and service provision                              |                  |             |  |   |   |
| 8.5.1 Control of production and service provision                 | B3.6, A4.6, A4.7 | A3.4        |  | x |   |
| 8.5.2 Identification and traceability                             | B3.8             |             |  | x |   |

|   |                    |                  |   |   |
|---|--------------------|------------------|---|---|
| 8.5.3 Property belonging to customers or external providers |                    | A3.5             |   |   |
| 8.5.4 Preservation  | A4.8, A4.10, B3.11 | A3.6, A3.7, A5.4 | x | x |
| 8.5.5 Post-delivery activities                              |                    |                  | x | x |
| 8.5.6 Control of changes                                    |                    |                  | x |   |
| 8.6 Release of products and services                        | A4.9, A5.3         | A4.1             | x |   |
| 8.7 Control of nonconforming outputs                        | A5.4, A5.6         | A4.2             | x |   |
| 9 Performance evaluation                                    |                    |                  |   |   |
| 9.1 Monitoring, measurement, analysis and evaluation        |                    |                  |   |   |
| 9.1.1 General   |                    |                  |   |   |
| 9.1.2 Customer satisfaction                                 |                    |                  |   |   |
| 9.1.3 Analysis and evaluation                               |                    |                  |   |   |
| 9.2 Internal audit  | A5.2               |                  |   |   |
| 9.3 Management review                                       |                    |                  |   |   |
| 10 Improvement  |                    |                  |   |   |
| 10.1 General  |                    |                  |   |   |
| 10.2 Nonconformity and corrective actions                   | A5.5, A5.7         | A4.3             |   |   |
| 10.3 Continual improvement                                  | A5.1               | A4.4             | x | x |

|  |                        |   |
|--|------------------------|---|
| 11 Additional Requirements & Clarifications  |                        | x |
| 11.1 Definition Alteration Request (DAR)   | A5.1                   | x |
| <b>Note:</b> 11.2 Reduced Inspection,11.3 Sample Inspection,11.4 Unclassified and Sensitive Components, 11.5 Parts with fly sheets have been omitted from v3 | A5.2, A5.3, A5.5, A5.6 |   |

## Annex A2

### Document Revisions

| Revised by              | Date       |
|-------------------------|------------|
| Anthony Duggan          | 2022-03-17 |
| Greg Hart               |            |
| Liliana Bonilla Guillen | 2024-03-19 |