



Supplier Quality Management



Jenbacher & Waukesha
gas engines

Supplier Quality Requirements SQR-0001-B

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B	Signature page chapt.1 Add 16949 as a recognized QMS Add chapt 3.5.2 Innio incoming inspection Add chapt 3.5.12, TRS + template for mill certificates	Wild	17.10.2019

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1. SCOPE & Agreement

This specification provides the General Quality Requirements for all INNIO external direct material suppliers. This specification applies to all purchased direct material and services used in INNIO delivered goods and services.

The supplier agrees to comply with the requirements of this document.

Date

Signature

2. APPLICABLE DOCUMENTS

Unless otherwise indicated, the latest document revision shall apply.

2.1. INNIO standards

Part marking - JWN 489489

Packing guideline - JWN 890110

Cleanliness – JWN 890115 for Jenbach and STD-02-0860 for Waukesha

2.2. International standards

ISO 9001 Quality Management Systems Requirements

IATF 16949

2.3. Hierarchy of documents

The Purchase Order is the governing document, which transmits INNIO's requirements to the Supplier.

In the event of a conflict between documents, the order of precedence from highest to lowest is as follows:

-
1. Purchase Order (unless by note, the drawing specifically defers to a specification as the overriding document)

 2. Drawing

 3. Part Specification

 4. Process Specification

 5. Material Specification

 6. General Requirements Specifications

3. Requirements

3.1. Introduction

INNIO wants to be the preferred partner for gas engines around the world. With their products, INNIO suppliers play an important part in achieving this objective.

One of the main factors in reaching this goal is the quality INNIO demands of itself, its products, services, and business processes. To meet this quality standard, all INNIO products must undergo a clearly defined qualification process before they are launched or when they are changed.

The same applies to supplier products.

INNIO aims at establishing a close partnership with its suppliers. The cooperation is centered on the following objectives:

- Continuous increase of customer satisfaction
- Continuous shortening of market launch periods
- Targeted improvement of the product and process quality
- Reduction of development and manufacturing costs

The requirements set forth herein will ensure a consistent, quality-based relationship between INNIO and all its direct material suppliers.

3.1.1. Purpose

The purpose of this Guidelines is to communicate the expectations of INNIO regarding the product and process qualification to suppliers and to establish a set of procedures and practices.

3.1.2. General Guideline

Independent of inspections, tests and audits performed by INNIO and any counselling given by INNIO experts suppliers are fully responsible for the products they supply and for their qualification process.

It is the responsibility of the supplier to define and implement a detailed quality system that ensures all products supplied to INNIO are of the highest quality possible by conforming to INNIO applicable specifications and meeting all the requirements set forth in this document.

Any applicable industry standards (such as ISO, ASME, ANSI, etc.) must also be incorporated into the system. This system must be made available to INNIO for review upon request.

3.1.3. Communication

The INNIO purchase order designates the Sourcing Representative who is the primary contact with the supplier for commercial issues.

The SQE is the primary quality and technical contact and will be assigned by Sourcing Quality management as appropriate.

Changes to purchase order requirements shall not be accepted by the supplier without a formal purchase order change.

3.2. Quality System

3.2.1. Minimum Quality System Requirements

The supplier must maintain a documented quality system to ensure control and conformance to the requirements of INNIO's specifications following a 0-failure strategy and to take all necessary measures for quality assurance.

INNIO requires that this quality management system meet the requirements of the current ISO 9001 (Quality management systems - Requirements) standard or an equivalent applicable standard (e.g. IATF 16949)

Compliance to this requirement must be demonstrated if requested by INNIO by either of the following:

- Provision of a copy of a current certification(s) if requested, or
- Successful completion of a quality management systems audit to the current requirements of ISO 9001. INNIO reserves the right to require this audit to be conducted by a third-party service designated by INNIO. The supplier will be responsible for all costs of the audit directly to the auditing party.

3.2.2. Special Processes

A process by which results cannot be fully verified through subsequent nondestructive inspection and testing of the product and where processing deficiencies may become apparent only after the product is in use is per definition named "special process".

Suppliers must have specific, documented and controlled procedures for each special process which they perform. They shall establish process CTPs/CTQs and monitor and document them.

Only qualified/certified personnel shall be assigned to perform a special process.

The supplier must develop a specific training plan and check the performance of the individual associate on a regular basis.

For all welding operations the supplier shall provide WPSs, WPQRs and valid welder certifications based on ISO standard. It is the duty of the supplier to provide evidence for welding quality by NDT as requested by INNIO.

For all NDT operations the supplier shall provide NDT instructions and valid NDT personal certificates.

The supplier is responsible to provide these documents also from sub-tiers who are doing welding or NDT operations.

3.2.3. Record Retention

The supplier shall have a written procedure for the documentation and retention of quality and product records for products supplied to INNIO. The record retention period shall be a minimum of ten (10) years unless otherwise specified by INNIO.

Records shall include, but are not limited to, product quality or inspection and test plans and results, material specifications, qualification documentation and certificates of conformance.

Specific component record requirements may be specified in INNIO purchase orders, contracts or specification. It is the responsibility of the supplier to determine the appropriate storage means to meet the retention requirement and allow for timely retrieval of records.

3.3. Supplier Approval

To receive a INNIO production purchase order, a supplier must be approved per INNIO Sourcing Quality Management System procedures.

Criteria for approval could include, but is not limited to, the following:

- properly executed Mutual Non-Disclosure Agreement (MNDA)
- acknowledgement of compliance with INNIO integrity guidelines
- completion and passing of required business and technical surveys
- a documented quality system
- technical capability
- EHS compliance/employment/security practices
- financial viability
- customer service aptitude
- strategic value

The supplier approval process is performed prior to a purchase order being issued to the supplier. When the approval process has been successfully completed, a supplier code will be issued to the supplier.

3.4. Supplier Qualification

3.4.1. General Requirements

A supplier must become qualified for each specific production process to produce a part or commodity family. Parts are classified by INNIO engineering based on risk to class-A, class-B, and class-C parts.

Through the qualification process, the supplier demonstrates ability to provide parts in accordance with the specified requirements and quality expectations of INNIO.

The production of qualification parts shall be done under serial conditions. The INNIO qualification team decides if the qualification may be done with a First part qualification or may include a Pilot lot qualification.

The Qualification requirements are defined by the INNIO qualification team. The supplier is required to perform the qualification using the qualification requirements as communicated by the SQE.

A Qualification **is required** in, but not limited to the following cases:

-
1. A new or existing supplier is producing and shipping material for the first time for INNIO

 2. A design or process change has occurred at the supplier or at INNIO, changing the processing, form or function of the product

 3. An existing supplier or critical sub-tier supplier changes its manufacturing location, unless formal exception is granted by the SQE

 4. Quality issues arise at the supplier, putting current qualifications into question

 5. After more than 3 years without producing the specific part

A Qualification is **not required** in the following cases:

-
1. Prototypes and samples ...in that case the supplier must provide evidence for conformity with the applicable specifications (dimensional reports, material reports, etc.)
-

-
2. Standard or catalogue parts
-
3. Project specific parts or assemblies if they are controlled and inspected by the supplier and/or INNIO.
-
4. Service parts if they are
 - a. part of a qualified assembly
 - b. sporadic needed and inspected and controlled by the supplier
-

The final decision if a FPQ is needed is made by the INNIO SQE.

3.4.2. Drawing-, Manufacturing- and Producibility Review

Prior to part manufacturing, the supplier may be required to participate in a detailed drawing and design review with the INNIO Qualification Team to ensure suppliers' thorough understanding of drawing requirements and specifications including specified TRS (Technical Regulations and/or Standards) during the qualification process.

3.4.3. Supplier Deviation Matrix

The supplier shall establish a specification deviation matrix to line out all criteria where the INNIO specification cannot be completed by the supplier. This matrix must be reviewed and approved with and by INNIO.

3.4.4. Manufacturing Process Plan (MPP)

The **MPP** must at a minimum contain the following information:

1. A list of all applicable INNIO drawings/specifications, outline drawings, and special process documentation along with the latest revision number. For build-to-specification parts, the supplier shall provide a list of all supplier drawings and revisions.
2. Sequential listing of all operations and identification of Special Processes and associated procedures.
3. Identification of all critical sub-tier suppliers and their manufacturing locations. Critical sub-tier suppliers include but are not limited to Raw Material and any special process supplier.

4. A sequence plan of all manufacturing and inspection steps with appropriate documentation. Supplier proprietary processes/documentation may be available for inspection/review by SQE and INNIO Engineering.
5. The manufacturing location
6. MPP shall include a revision history.

When the component is qualified, the MPP shall be considered part of the production purchase order requirements.

The supplier shall use the template supplied by the SQE unless otherwise approved.

3.4.5. Product Quality Plan (PQP)

The **PQP** must, at a minimum, contain the following information:

1. Drawing number(s) and part description(s).
2. Listing of all technical documents that govern the inspection or test activity (i.e. supplier documents, INNIO specifications, industry codes/standards).
3. Identification of the test or inspection criteria in an itemized listing. Each line item must identify what is to be inspected (to the characteristic level), how it is to be inspected, what frequency it is to be inspected, when the inspection or test is to be performed (in the sense of the manufacturing process), who is to perform the inspection (e.g., Operator, Inspector, etc.), and the acceptance criteria.
4. Completion of each inspection and test will be accompanied by appropriate sign-off documentation. Each inspection and test must be signed-off during the execution of the PQP.
5. Identification and verification of CTQs and inspection methods. CTQs can be identified by purchase orders, specifications, drawings, or by the appropriate INNIO Qualification team.

The PQP may be included as part of the MPP or submitted as a separate document. In all cases, the PQP must be approved by the SQE. Further this document should be treated as a quality document and revision controlled by the supplier.

The supplier shall use the template supplied by the SQE unless otherwise approved.

3.4.6. Process and/or Product FMEA (failure mode and effect analysis)

The supplier shall perform a pFMEA for every class-A and class-B qualification. INNIO reserves the right to request and review these documents.

3.4.7. Characteristic Accountability and Verification (CAV)

When required by the qualification program, a CAV form must be completed and maintained by the supplier. The **CAV** form must include, at a minimum, the following items:

1. Identification of components
2. Characteristics and feature accountability
3. Inspection and test results
4. Production Product Acceptance Criteria

Once the level of inspection and product acceptance requirement has been determined and specified on the CAV form, it must be applied to all production components hereafter to ensure controlled processes for maintaining drawing features and characteristics.

The supplier shall use the template supplied by the SQE unless otherwise approved.

3.4.8. Sub-tier Suppliers

If a supplier is outsourcing a process, the supplier is fully responsible for qualification and surveillance of all sub-tier suppliers following INNIO requirements described in this document and notifying INNIO of this qualification.

INNIO reserves the right to

- review the supplier's process for selection, qualification, and surveillance of sub-tier suppliers
- to approve, or disapprove, sub-tier supplier qualifications
- audit and monitor the sub-tier supplier's processes and facilities when deemed necessary

This requirement also applies if the supplier is a sales representative or distributor that procures from sub-tier suppliers for manufactured parts or assemblies.

3.4.9. Qualification Report

The qualification report must contain the following information as applicable and must be supplied to the SQE before shipment of FPQ parts in electronic format.

Section #	Quality Form Name	Quality Form Description
1	INNIO Specifications	List of all INNIO Specifications and Drawings, including Revision level
2	Specification Deviation matrix	List of all deviations to the INNIO specification; INNIO approval required
3	Supplier Drawings	copy of all Supplier generated drawings, including Revision level.
4	Manufacturing Process Plan (MPP)	4.4.4.
5	Product Quality Plan (PQP)	4.4.5.
6	FMEA	4.4.6.
7	Characteristic Accountability and Verification Report (CAV)	4.4.7. Including measuring procedures
8	Material Test Reports	Provide copies of Material Test Reports
9	Component Conformance	Include Certificates of Conformance for all major components: e.g., pump curves, testing certifications, calibration certificates, and relevant data sheets
10	Functional Testing	Test reports. This should include testing procedures, documented data of all testing performed and signoffs.

11	Product Safety Risk Assessment	in accordance with ISO 12100-2010
12	Code Compliance, TRS documents (technical regulations and standards)	Provide a copy of all documents to meet Code Compliances as required by regulations or specification. (CE, UL, Gost,...)
13	Welding Procedures	Welding Procedure Specifications and Qualifications (WPS, WPQR) welder qualification records
14	Nondestructive Testing	Testing procedures Testing personal certificates
15	Castings and Forgings	procedures, data and charts 3D casting solidification simulation
16	Mechanical Testing	Testing reports
17	Heat Treatment	Procedures and heat curves
18	Surface Preparation and Painting	Include all Metal Preparation, Prep for paint, paint procedures, signoffs, and paint specifications
19	All other Special Process Documentation	
20	Sub-tier Supplier Qualification	Reports
21	Gage R&R	Report
22	Preservation and Packaging	Provide the approved packaging description in accordance with INNIO Spec. JWN890110
23	Supplier Deviation Records	Copy of related SDRs
24	Other Documentation as requested	Any other documentation requested by the SQE or Qualification

The file name must be stated in the following fashion: INNIO part number; Purchase order number; part description; Supplier name(short version).pdf. The maximum file size should not exceed 5MB.

INNIO will not do a qualification if any of the required documents/reports are missing. Such parts will be automatically rejected.

3.4.10. Doublecheck

To insure measurement results from supplier and INNIO are comparable, the supplier shall provide a measuring procedure as a part of the qualification if requested by INNIO. This procedure shall be reviewed and agreed with the INNIO SQE.

INNIO will take a random sample of parts and will compare them with the documentation provided by the supplier.

If necessary or in case of deviations, INNIO reserves the right to collect all measurement programs, calibration data, qualification certificates etc. free of charge from the supplier.

3.4.11. Qualification Approval

INNIO reserves the right to carry out a double check.

Upon successful completion of the qualification and receipt of a written Qualification approval from the INNIO SQE, the supplier is released to fulfill subsequent purchase orders received from INNIO.

Qualification approval does not relieve the supplier of the full responsibility, on subsequent orders, to assure the manufacturing processes remain in control and the product or process supplied meets all drawing and specification requirements, unless formal, written approval for a deviation is obtained from INNIO via an SDR process.

If a requalification gets necessary due to a violation of the specification INNIO will issue all costs of the requalification to the supplier.

3.4.12. Frozen Processes

Once a qualification is approved MPP, PQP and all related documents get frozen process status and are not allowed to be changed prior INNIO SQE is granting approval using the template for frozen process change request.

3.5. INNIO Supplier Policies & Requirements

3.5.1. INNIO Policy for Specification Transmittal to Suppliers

It is incumbent upon the supplier to review with the Sourcing Representative and/or SQE the appropriate document retrieval methods that may be specific to their business. It is also the responsibility of the supplier to review specification revisions with the Sourcing Representative and/or SQE on a continuous basis to ensure that the correct revisions are being worked to. When suppliers receive a new purchase order, it is the supplier's responsibility to verify they have the latest revision of the specification called out on the drawings and purchase order.

Unless otherwise notified by INNIO, suppliers are required to implement specification revisions on all existing and future purchase orders except where parts have already entered the manufacturing process. Any exceptions to this policy must be negotiated between the supplier and INNIO sourcing representative. If the supplier does not have the latest revision of any relevant specification as described in the latest INNIO purchase order, it is the supplier's responsibility to request the latest revision of the specification.

3.5.2. INNIO incoming inspection

The Supplier is responsible to establish an appropriate final inspection which grants that only parts which complies with the specification are shipped to INNIO.

The supplier acknowledges that INNIO will not do a technical incoming inspection on all shipments but only a commercial check of volume and part number.

3.5.3. Source Inspection and Test Witness Requirements

INNIO and/or its customer may elect to inspect parts, and/or witness subassemblies at the supplier's facility during processing, testing, or at final inspection. All source inspection and test witness requirements are to be identified and coordinated through the INNIO SQE, Quality Assurance, quality representative or other designated representative.

It will be the responsibility of the supplier to notify INNIO in advance, when material will be ready for inspection. The timing of this advance notification will

be at minimum 20 days (unless otherwise approved by INNIO) prior to any scheduled test/inspection/witness points.

INNIO and/or customer acceptance of product does not relieve the supplier of its obligations to supply components that meet drawing and purchase order requirements.

3.5.4. Supplier Deviation Request (SDR)

When a deviation to a requirement including a drawing, specification, MPP, packaging, or a material shortage is known, the supplier must submit a Supplier Deviation Request (SDR) as early in the process as possible to the INNIO SQE.

The supplier shall use the INNIO SDR form to request acceptance.

The supplier must not ship any deviated part before this SDR form is approved by the INNIO SQE. The supplier shall put a copy of the SDR to the shipping documents.

The SDR must contain:

- detailed description of the deviation (if necessary together with photos, reports, sketches, ...), containment, probable source / root cause and proposed remedial / corrective action (e.g. 8D Report) as part of the initial submittal
- INNIO Part No, PO-No, number of defective parts
- Serial No (if available) or lot No of the component

The supplier must send a copy of the approved SDR along with the part(s) at the time of shipment.

3.5.5. Nonconformities

A fault is defined as the nonconformance of a supplied item to legal requirements and/or to the properties required by the purchased part specification.

3.5.5.1. notification and documentation

Faults that are detected by INNIO or communicated by INNIO customers are documented by INNIO in a failure management system.

INNIO issues a complaint by sending the supplier a nonconformity notification (NCN) for internal defects or a warranty PO for external defects.

In such a case the supplier shall immediately take the necessary measures that no further part with the identified failure is sent to INNIO. If the supplier needs to stop deliveries to take that measures this must be aligned with the INNIO logistics and quality team.

3.5.5.2. 8D Report

If INNIO is requesting an 8D Report the supplier shall observe following timeline:

1. Send 8D Report with D1-D3 to the INNIO SQE within 48hours.
2. Send complete 8D Report to the INNIO SQE within 21 days.

The supplier shall use the template in the Appendix.

3.5.5.3. Handling of faulty parts

If INNIO has identified a non-conformance, INNIO Quality will decide on one of the following options, depending on the availability of materials:

- Immediate return of the entire shipment or defective products
- Selection and reworking of the faulty products on site by the supplier
- Selection and/or reworking of the faulty products on site by INNIO, at a charge

The supplier must notify the INNIO SQE within 48 hours if supplier does not agree on NC Disposition and Part status mentioned on the claim.

For any repairs or replacements, Supplier, at its cost and expense, shall perform any tests requested by Buyer to verify conformance to this Order.

3.5.5.4. Redelivery and Repair order

Do not send replacements for "Scrap" or "Rework" (see <NC-Disposition> on the NC document – page 2). We have already taken spare- / replacement parts from our warehouse to avoid downtimes in our manufacturing and assembly area. Additional material demands will be considered in our next standard purchase order.

Send replacements only in case of "RTV" (see <NC-Disposition> on the NC document – page 2).

Please refer to the <Reference Purchase Order> stated on the NC document page 2. In case of any doubt on replacements, please contact directly the responsible material planner.

Reworked parts, which exactly meet the specifications of new parts, can be redelivered with our next purchase order. The delivery quantity must correspond to the order quantity and the entire delivery must be invoiced. Reworked parts shall be delivered in the same condition as new parts (packaging, labels)

3.5.5.5. Supplier rating and Recovery

All products that were the object of a complaint by INNIO have an impact on the supplier rating;

The faults of the products are not weighted.

Supplier has to compensation all incurred cost by INNIO including claim processing fee if supplier delivered non-conforming products.

3.5.5.6. Supplier Statement

The supplier must notify the INNIO SQE immediately but no longer than 10 working days after receiving the complaint in a written statement of the results of the fault analysis. This statement shall use the 8D-Report format. (Appendix)

3.5.6. Root Cause Analysis

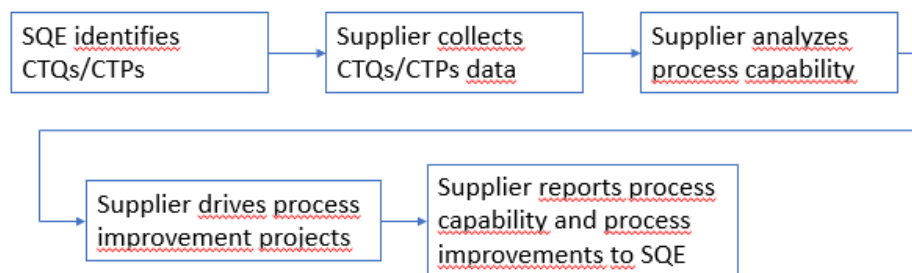
When requested by the INNIO SQE, the supplier shall perform a formal root cause analysis following the DMAIC process and identify correction, containment, root cause, corrective, and preventive actions. The supplier shall use Six Sigma tools for identifying the Root Cause. The supplier shall nominate a RCA-leader as a contact person for the INNIO SQE.

-
1. The correction shall describe the necessary action to repair, rework or replace the detected nonconformance, defect or other.
-

-
2. The containment shall define all necessary (Temporary) action taken to minimize risk for customer and INNIO.
-
3. Root Cause
-
4. The corrective action shall define all action taken to eliminate the cause(s) of an existing nonconformance, defect or other to prevent recurrence.
-
5. The preventive action shall define all action taken to eliminate the cause(s) of a potential nonconformance or undesirable potential situation to prevent occurrence.
-

3.5.7. Process Capability Checks

The supplier must as a minimum, measure and record data for all CTQ / CTP identified on the drawings, specifications and by INNIO SQE. The required data to be collected will be documented in the Product Quality Plan (PQP). The supplier must regularly analyze the required data for process capability and supply periodic reports to the SQE. Under the direction of the SQE, the supplier may be requested to execute improvement projects based on the process capability analysis. Suppliers who receive Purchase Orders from INNIO are responsible to communicate and execute this requirement to sub-tiers if applicable.



3.5.8. General requirements for measuring instruments

Measuring instruments must be calibrated and tested in accordance with the standards applicable to them.

The factor 10 rule must be used for accuracy of the measuring instruments. The accuracy of the display must be less than 10% of the tolerances to be measured. The reproducible accuracy as per the test certificate must have a Cg/CgK value > 1.33. The nominal calibration must be measured 25 times without user influence. Measuring inaccuracy after the gauge R&R <20%.

If required, all the documentation on the checks and tests referred to above must be provided to INNIO. Reference checks may be used more than once.

Standards to be observed	
Metrology laboratory requirements	Final check on cast components in accordance with VDI 2627, 4 and above
Form/position tolerances	DIN VDE 2631
Surfaces	DIN EN ISO 4287: 2010
Retention period	10 years unless otherwise agreed between INNIO and the supplier

General measuring conditions	
The supplier must develop a quality strategy and agree it with the INNIO SQE/QE and leave a written copy. Changes may only be made with the consent of INNIO.	
The supplier must keep a written record in tabular form and submit it to INNIO on request. The certifications of the used measuring equipment must be available.	
Threads can be checked with monitored thread gauges unless something else is specifically requested	

3.5.9. Preventive Maintenance

The supplier shall establish and implement a preventive maintenance program for all product specific (INNIO funded) tooling. This shall include cleaning, inspection, repair and small refurbishment (spotting, cleanup of parting lines, replacement of damaged tool components, etc.).

Major repairs and tool replacement are to be handled on a case-by-case base by INNIO purchaser.

3.5.10. Supplier Score Card

The Supplier Scorecard is a tool that is used to get visibility on supplier performance and to rank suppliers. The rating is done separately for the three areas Commercial, Logistics and Quality and it is done for the top 100 suppliers only.

Each supplier will get rated in the single categories according to hard and soft facts, which will add up to a total score.

The goal is to show each supplier where they stand according to the INNIO requirements and is criteria to drive supplier improvement plans (SIP) where it is needed.

The supplier scorecard gets generated and sent out to the suppliers in a quarterly rhythm.

If a supplier plans to phase out a product the supplier must inform INNIO no longer than 6 months before the phase out date and no longer than 4 months before a last buy option.

3.5.11. Packing

The packaging of supplied material shall ensure that parts are shipped to be used as is without any additional handling (cleaning etc.) in the sequential processing at a INNIO production line. Parts shall be free of oil and grease, machining residuals, any kind of dirt and free of corrosion.

If special cleanliness requirements are defined per INNIO specification the supplier is responsible that the packaging is capable to guarantee the cleanliness until unpacking at INNIO.

The supplier shall inform INNIO about the minimum period of storability which is guaranteed by the packaging.

The supplier shall observe all requirements which are defined in JWN890110. The supplier shall request approval from the INNIO SQE for all deviations to that standard.

During the qualification of the specific part the supplier shall provide a packaging proposal.

3.5.12. Technical Regulations and Standards (TRS)

US Market Requirements

INNIO has strong relationship with US Customer market and therefore has to import supplier delivered goods into the USA: Due to US Customs Federal Regulation's import requirement (19 C.F.R. § 141.89, see below), Supplier has to deliver all parts classifiable in headings 72* and 7301*-7307* of the Harmonized Tariff System, with filled in and signed template "Statement from Supplier on chemical composition of delivered Goods", available in appendix 3.5.12.3.

This scope contains but is not limited to the following part groups:

- Semi-finished products of iron or non-alloy steel & stainless steel.
- Flat-rolled products of iron or non-alloy steel, of any width, hot-rolled / clad / plated / coated.
- Bars and rods of iron or non-alloy steel, hot-rolled, in irregularly wound coils.
- Angles, shapes and sections of iron or non-alloy steel.
- Wire of iron or non-alloy steel & stainless steel, in coils.
- Tubes, pipes and hollow profiles, of cast iron, iron or non-alloy steel & stainless steel.
- Tube- or pipe fittings "e.g. couplings, elbows, sleeves, screw-plugs", of iron or non-alloy steel & stainless steel.

"Additional information for certain classes of merchandise:

[...]Invoices for the following classes of merchandise, classifiable under the Harmonized Tariff Schedule of the United States (HTSUS), shall set forth the additional information specified: [...]

Iron or steel classifiable in Chapter 72 or headings 7301 to 7307, HTSUS [...] Statement of the percentages by weight or carbon and any metallic elements contained in the articles, in the form of a mill analysis or mill test certificate."

Source: 19 C.F.R. § 141.89.


For certification please use the template in the appendix or a equivalent form.

3.5.13. Phase out


If a supplier plans to phase out a product the supplier must inform INNIO no longer than 1 year before the phase out date and no longer than 6 months before a last buy option date.

3.5.14. Appendix

3.5.14.1. 8D Form

		8D Report	
Lieferant (Supplier)		Lieferanten Nr: (Supplier no:)	
Beanstandungsgrund: (Concern Title)			
Fehlermeldung - Nr. (Ref.No.)		8D-Bericht Nr: (Report No)	
Beanstandete Menge: (Scrapped parts)		8D-Start-Datum: (Start Date)	
Teilebezeichnung: (Part Name)		Zeichnungs-Nr. Index (Part No. Index)	
1 Team: Name, Abteilung (Name, Department)		Teamleitung (Headed by)	
2 Problembeschreibung (Problem Description)		Fehlercharakter (Problem Profile Data)	
3 Sofortmaßnahmen (Containment, Action(s))		% Wirkung (Effect)	Einführungsdatum (Implem.date)
4 Fehlerursache(n) (Root Cause(s))		% Anteile (Contribution)	
5 Geplante Abstellmaßnahme(n) (Chosen Permanent Corrective Action(s))		Wirksamkeitsprüfung (Verification)	
6 Eingeführte Abstellmaßnahme(n) (Implemented Permanent Corrective Action(s))		Einsatztermin (Implement.date)	Ergebniskontrolle (Controls)
7 Fehlerwiederholungen verhindern (Action(s) to Prevent Recurrence) Implementation in		Einführtermin (Implement.date)	verantwortlich (Responsible)
<input type="checkbox"/> Product FMEA <input type="checkbox"/> Process FMEA <input type="checkbox"/> Control Plan <input type="checkbox"/> Procedure			
8 Kundenfeedback erhalten (customer feedback ok)		Abschlussdatum (Close Date)	Verantwortlich (Responsible)
			Tel., Fax-Nr. (Tel., Fax-No.)

3.5.14.2. SDR-Form

 <p>Supplier Deviation Request</p>	<table border="1" style="width: 100%; border-collapse: collapse; font-family: monospace; font-size: 0.8em;"> <tr> <td>Y</td><td>Y</td><td>Y</td><td>Y</td><td>-</td><td>M</td><td>M</td><td>-</td><td>D</td><td>D</td><td>-</td><td>0</td><td>0</td><td>1</td> </tr> <tr> <td colspan="10">Date</td> <td colspan="4">Sequence #</td> </tr> </table>	Y	Y	Y	Y	-	M	M	-	D	D	-	0	0	1	Date										Sequence #			
Y	Y	Y	Y	-	M	M	-	D	D	-	0	0	1																
Date										Sequence #																			
1. THIS SECTION TO BE COMPLETED BY SUPPLIER:																													
<i>Non-Conformance: (short Description and reason for proposed change, details as backup)</i>	Supplier SDR Ref #: Buyer Name: Business Unit: # Pages Attached: Supplier Name: Supplier Contact: Supplier Site: Phone #: Email: Purchase Order #: PO Line:																												
<i>An 8D-Report has to be submitted</i>	Qty. Def #:																												
<i>Corrective Action: (verified action to prevent recurrence)</i>	Part #: Rev. #:																												
	Part Name:																												
	Associated with Open Qualification ? Y/N																												
	Qualification Number																												
	Lot/Serial #:																												
	(Casting) Serial #:																												
	Other SDRs Submitted for This Part:																												
CA implementation date:																													
2. DISPOSITION COMMENTS / SPECIAL INSTRUCTIONS																													
<input type="checkbox"/> Accept <input type="checkbox"/> Scrap/Reject <input type="checkbox"/> Rework <input type="checkbox"/> Repair	SQE Name: Secondary SQE Name: Comments:																												
3. AUTHORIZATION:																													
<u>DISTRIBUTION</u>	<u>NAME</u>	<u>OK</u>	<u>REJECT</u>	<u>SIGNATURE</u>	<u>DATE</u>																								
	Supplier Quality Engineer	<input type="checkbox"/>	<input type="checkbox"/>																										
	Design Engineer	<input type="checkbox"/>	<input type="checkbox"/>																										
	Materials Engineer	<input type="checkbox"/>	<input type="checkbox"/>																										
	Other(specify)	<input type="checkbox"/>	<input type="checkbox"/>																										
4. SDR Close Date:																													

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3.5.14.3. US mill certificates

SUPLIER LETTER HEAD

MILL TEST CERTIFICATE

Date

We, **Supplier Name**, declare, that the following products ordered by INNIO Jenbacher GmbH & Co OG, fulfill the "INNIO Engineering Part Specification to Supplier" and have the following chemical composition:

INNIO Part Number, Part Name and Part Specification:

Part Number	Part Name	Part Specification	Purchase Orders
338273	Elbow fitting	Steel galvanized, DIN 2353	All historic purchase orders and future ones until further notice.

Chemical Composition:

	C	Mn	P	Si	Cu	Ni	Cr	Mo	Al	Sn	S	V	Ti	Ca	B	N
Min. %	0,38	0,60					0,90	0,15			0,02					
Max.%	0,43	0,90	0,35	0,40	0,25	0,2	1,20	0,30		0,03	0,35					

Name, Function, Signature



Max Mustermann, Quality Leader

The supplier shall receive the templates upon request.