

TRACEABILITY SUPPLIER SPECIFICATION LIFT DIRECTIVE



(TS)	TS001[WHQ-IMS-013]	WHQ	QUA	00.A	2017-03-31	EN
Technical specification	Code	Belonging	Process	Edition	Issue date	Language

PURPOSE

This document define traceability requirements for safety components under Lift Directive 2014/33/EU, purchased by Wittur.

SCOPE

All Group suppliers of Wittur - Components listed in Annex 1

REFERENCE

§§ 8.5.2-ISO 9001:2015
Lift Directive 2014/33/EU
The Lifts regulations 2016 No 1093 (UK only)
Blue Guide

RESPONSIBILITY

PROCESS OWNER

Corporate

Corporate Purchasing Manager

QHSE Corporate Department shall verify the correct application of the technical specification. **Corporate SQD Department** is in charge to all the activities concerning to the supplier requirements verification (stress test, audit, management of non-conformity and deliverables).

Corporate Purchasing Department submits and agree with suppliers the traceability suppliers technical specification, and received agreement.

Local

Purchasing Department submit and agree with suppliers the traceability suppliers technical specification.

In case of local supplier, instead of Corporate SQD Department, **local SQD Department (or the reference Department, in case of Trading company)** is in charge to all the activities concerning the supplier requirements verification (stress test, audit, management of non-conformity and deliverables) under the supervision and support of Wittur Corporate SQD Department.

Supplier

Wittur's supplier is responsible to be compliant to legal requirements and Wittur's requirements.

RELATED DOCUMENTS

Procedures
Instructions
Forms

WHQ-IMS-013 Traceability Suppliers

n.a.

n.a.

Other

Annex 1-List of Safety components

Annex 2-Serial/batch number outside the component packaging and using a QR Code

Issue history

First

Date	Ed.	Description of change	Editor	Approvers
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0. TERMS AND DEFINITIONS

Traceability: is the ability to verify the history, location or application of an item by means of documented recorded identification.

Safety components: are all the components included in the LD 2014/33/EU (see Annex 1).

Economic operators¹: means the installer, the manufacturer, the authorized representative, the importer and the distributor.

Installer: means the natural or legal person who takes responsibility for the design, manufacture, installation and placing on the market of the lift.

Manufacturer: means any natural or legal person who manufactures a safety component for lifts or has a safety component for lifts designed or manufactured, and markets it under his name or trademark.

Authorized representative: means any natural or legal person established within the EU who has received a written mandate from an installer or a manufacturer to act on his behalf in relation to specified tasks.

Importer: means any natural or legal person established within the Union who places a safety component for lifts from a third country on the Union market.

Distributor: means any natural or legal person in the supply chain, other than the manufacturer or the importer, who makes a safety component for lifts available on market.

Order number:

- **Customer Order number:** code or number identifying the material order according to the customer codification system, received by Wittur.
- **Intercompany Order number:** code or number identifying the material order between two companies.
- **Production Order number:** code or number identifying the material order used to produce the goods.

Serial/Batch number: code or number used to identify the single safety component or the batch of components.

¹ In accordance with LD 2014/33/EU, referred to EU market (or any other country adopting the Lift Directive 2014/33/EU).

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1. FOREWORD

This specification defines traceability mandatory requirements for any of Wittur's supplier, located in EU and Extra EU. The requirements have been defined in order to:

- **EU market (or any other country adopting the Lift Directive 2014/33/EU)**

Ensure the purchasing of compliant safety components to LD 2014/33/EU: the supplier is responsible for its internal traceability (see legal requirements above) and Wittur is responsible that products made available on the European market are conform to the LD 2014/33/EU and is also responsible to verify that the related requirements are met along the complete supply chain (see Wittur requirements in chapter 2).

Legal traceability requirements:

1. component labelling requirements: any safety component must be labelled with name, registered trade name/mark of the manufacturer, its postal address and a type, batch or serial number or other element allowing their identification;
2. record keeping requirements: in case the safety component provided by Wittur is purchased from a third party, records of the supplier of the safety component must be kept for at least 10 years. This requirement applies for every supplier of safety component all along the supply chain. This means that if you buy the safety component from another supplier, same traceability requirement applies;
3. if manufacturer discovers any non-conformity for the safety components that he has made available in the market, he must immediately take necessary corrective measures to bring that safety component into conformity, to withdraw it or recall it, if appropriate. In addition, if the safety components present a risk, manufacturers must immediately inform the national authorities where they have made the safety components available and give details of the non-conformity and any corrective measures taken.

- **Extra EU market**

Establish a traceability system for the whole group's suppliers, based on the LD 2014/33/EU. In case there are more restrictive legal requirements instead of Lift Directive the supplier shall integrate them.

Any non-conformity caused by the supplier and raising any recall or retrofit campaign due to deviations from the Lift Directive requirements will be under supplier's responsibility according to the EU Directive 2014/33/EU relating to Lifts and Safety Components for Lifts².

² Valid only for the EU market.

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2. WITTUR REQUIREMENTS TO THE SUPPLIERS

The supplier is responsible to meet Wittur's requirements, which are:

1. to establish a traceability system having as minimum requirement the link between production batch number or serial number and Wittur purchase order;
2. to indicate serial/batch number of the safety component on the order documentation (order confirmation, or delivery note); as option, the supplier might indicate the serial/batch number also outside the component packaging and if is possible using a QR Code (view Annex 2);

MANDATORY	OPTION ³
Serial/batch number of the safety component on the order documentation (order confirmation, delivery note, or through annexes).	Serial/batch number also outside the component packaging.
	Serial/batch number also outside the component packaging and using a QR Code.

In case this requirement is not satisfied, the order will not be accepted and will be resent to the supplier, in accordance with Wittur management of supplier non-conformity as described in "*Supplier Quality Manual*" and "*Quality agreement*".

3. to have an internal traceability system on the critical sub-component used to produce the delivered assembly to Wittur; at least the sub-component/sub-tiers batch should be traced and stored, and linked to the component batch number/serial number delivered to Wittur;
4. supplier traceability data shall be kept for at least 10 years from the date of delivery to Wittur;
5. a change management system should be put in place between supplier and Wittur and between supplier and sub-supplier. Any modification to material, manufacturing site, process, design, and supply chain should be notified to Wittur for approval in a time adequate to react without infringing the continuity of the business and of the Wittur technical specifications. The change management should be traced and agreed with Wittur in terms of implementation date;
6. evidence of traceability capability any time required by Wittur, from finished product to raw material and vice versa through stress tests (feedback expected within three working days) and audit, made by Wittur;
7. in case of non-conformity a joint failure analysis will be performed by the Parties. If the failure is attributed to the components delivered by the Supplier, Wittur shall be entitled to ask the reimbursement of all direct costs incurred for the removal and replacement of the failed Components such as: Material Cost, Labour cost, transportation cost to sustain a recall or retrofit campaign.

³ To be agree locally based on Wittur company needs.

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3. DELIVERABLES

- Supplier shall provide the code and date of the following deliverable, which will be verified during the Wittur audits: a document describing their internal traceability system, including:
 - the list of critical sub-components based on an internal analysis (DFMEA, PFMEA, risk assessment, etc...);
 - the batch quantity, the type of traceability (batch or serial, bar code, QR code, serial number, etc..), the traceability storing method of the final product and its sub-components.
- Supplier shall provide a recovery plan, in case of non-compliance to Wittur requirements.
- Supplier shall provide an example of order confirmation/delivery note reporting the serial/batch number.
- Supplier shall provide an example of label (only for EU market).
- Supplier shall perform, in case of a negative results of the stress test (no feedback provided within three working days and/or list required not completed) the following actions:
 - identification of the reasons (by the supplier, with Wittur support);
 - identification of the corrective actions in the short term and long term (by the supplier, with Wittur support);
 - identification of who is responsible for the corrective actions and the deadline (define by supplier and communicated to Wittur).

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ANNEX 1 - LIST OF SAFETY COMPONENTS

Hereby all the safety components affected by the present procedure are listed.

1. Products influenced by the LD 2014/33/EU

- Safety components
 - Landing door locks
 - Overspeed governors
 - Hydraulic safety valves (Rupture valves)
 - Buffers (Energy accumulation/dissipation type buffer)
 - Safety gears
 - UCM devices

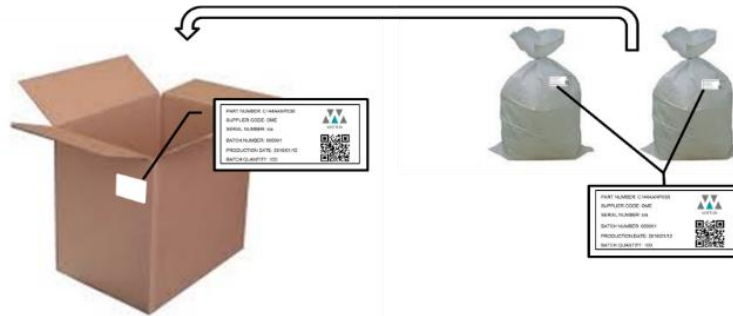
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ANNEX 2 – SERIAL/BATCH NUMBER OUTSIDE THE COMPONENT PACKAGING AND USING A QR CODE OR BARCODE

According to the type of packaging (box or bags) the label should be always visible and in case of multiple layers packaging, it should be applied on both as indicated below:



The label applied on the box should always correspond to the label applied to the bag. If the two bags are sourced from two different batches, the box should be provided with both labels.



The label must be designed according to the size and placement possibilities of the safety component or its packaging. The suppliers have the flexibility to define the traceability label size according to the specific component and production conditions, but these specifications are required:

- Label color: white or aluminum;
- Text color: black;
- Text font: Arial.

The following information must be clearly visible on the label:

DATA FIELD	NOTE
PART NUMBER	Identify the part according to Wittur
SUPPLIER CODE	Identify the supplier according to Wittur
SERIAL/BATCH NUMBER	Unique identifier assigned to the item or lot of the item

Label information

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Preferably, the label must contains a QR code or a barcode, with the following instructions.



Example of labels with QR code and barcode

QR code

- Size: the QR tag must be square with a minimum size of 20 mm x 20 mm.
- Color: the QR tag must be printed in black.
- Density: 200 dpi minimum.
- Separator: as group separator between data fields <GS> (ASCII-Code 29) must be used (for further information and syntax of group separators, see ISO/IEC 15434).
- Content: the QR tag must contain the information reporting in the following table. Keep empty data fields that have no value.

	TYPE	LENGTH (DIGITS)	NOTE	EXAMPLE TEXT ON QR TAG
QR ID	NUM	2	Identify the QR specifications document for Wittur. Fixed value: 1.	1
QR RELEASE	NUM	2	Identify the release of QUR specification document for Wittur. Fixed value: 1.	1
PART NUMBER	CHAR	35	Identify the part according to Wittur.	C144AANP03B
SUPPLIER CODE	CHAR	3	Identify the supplier according to Wittur.	OME
SERIAL NUMBER	CHAR	20	Unique identifier assigned incrementally or sequentially to the item.	
BATCH NUMBER	CHAR	20	Unique identifier assigned to a particular quantity or lot of the item.	000001
				<p>QR TAG EXAMPLE</p>


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Barcode

- Color: the barcode must be printed in black
- Codify: code 128.
- Density: 200 dpi minimum.
- Separator: as group separator between data fields <GS> (ASCII-Code 29) must be used (for further information and syntax of group separators, see ISO/IEC 15434).
- Content: the barcode must contain the following information.

	TYPE	LENGTH (DIGITS)	NOTE	EXAMPLE TEXT ON QR TAG
SUPPLIER CODE	CHAR	3	Identify the supplier according to Wittur	OME
PRODUCTION DATE (YYYYMMDD)	CHAR	8	Unique identifier assigned to the item or the lot of item	20160118
BATCH NUMBER	CHAR	6	Unique identifier assigned to the lot of item	000001
SERIAL NUMBER	CHAR	6	Unique identifier assigned to the item	000001
				 OME000001