



**TÜVRheinland**®  
Precisely Right.

**CERTIFICATE**

**01 202 USA/Q-20 2792**

**Audit Report as per**

**STANDARD**

**PED 2014/68/EU Annex I § 4.3**

**for**

**Aluminum Castings Company LLC**

**340 S. Kellogg St., Galesburg, IL 61401 USA**

| Client                        | Standard(s)                            | Certification Number(s) | Audit Type          |
|-------------------------------|--|-------------------------|---------------------|
| Aluminum Castings Company LLC | Directive 2014/68/EU:<br>Annex I § 4.3 | 01 202 USA/Q-20 2792    | Certification Audit |

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**Audit Leader** : Stephen Norris

**Audit Team** : N/A

**Client's representative** : Scott Kelsey

**Audit Date** : 1<sup>st</sup> & 2<sup>nd</sup> December 2020

## 1 Audit result

Management system effectiveness was verified on site by means of random sampling by an appropriately selected audit team. This applies in particular to the compliance of workflows with standard requirements and the descriptions in management system documentation. The special features of the organization's business activities, the applicable statutory and regulatory requirements and the requirements set forth in other generally applicable documents were also taken into account. This was done by means of a sampling approach, by conducting interviews and reviewing the appropriate documentation. Audit findings and recommendations regarding opportunities for improvement have been set forth in Sections 4 of this report.

|                                     |  |                          |
|-------------------------------------|--|--------------------------|
| <input checked="" type="checkbox"/> | The current audit revealed the following nonconformities:<br>Standard(s): Directive 2014/68/EU<br>Annex I § 4.3  | No. of nonconformity - 0 |
| <input checked="" type="checkbox"/> | The organization has established and maintains an effective system to ensure compliance with its policy and objectives. The audit team confirms in line with the audit targets that the organization's management system complies with, adequately maintains and implements the requirements of the stand- |                          |

The auditor therefore recommends:

|                                     |                           |
|-------------------------------------|---------------------------|
| <input checked="" type="checkbox"/> | Award of New Certificate. |
|-------------------------------------|---------------------------|

## 2 Scope

### 2.1 Description of the organization

Manufacture of Aluminum Sand Casting, as per Scope to certificate 01 202 USA/Q-20 2792, with a Headquarters and manufacturing facility in Galesburg, Illinois. Effective headcount, as per attached audit calculation.

### 2.2 Scope of certification

|  |                                       |
|--|---------------------------------------|
| Scope of certification: (per standard):    | Manufacture of Aluminum Sand Castings |
| Directive 2014/68/EU Material manufacturer | Annex I § 4.3                         |

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The following sites and their scopes are included in the scope of certification:

| Site No. (CN ext.) | Sites included in cert. Name/address of site | No. of emp. | Scope and processes                  | Stand-ard(s)  | Au-dited                            |
|--------------------|--|-------------|--------------------------------------|---------------|-------------------------------------|
| 01                 | 340 S. Kellogg St. Galesburg IL 61401        | 35          | Headquarters and Production Facility | Annex I § 4.3 | <input checked="" type="checkbox"/> |

### 3 Changes in the management system / Contract review

This is a Certification Audit, so there are no changes required at this stage

The scope of the Certificate was drawn up during the course of this audit.

The audit plan was not updated during the audit.

### 4 Audit findings

The audit findings related to the audited standards are listed in the Annexes to this report.

All information gained during the audit will be treated with strict confidentiality by the auditor and the certification body. In view of the sampling approach applied to the audit, weaknesses and nonconformities may still exist which have not been identified during the audit.

The following recommendations and opportunities for improvement provided by the auditor are intended to contribute to the continuous improvement of the management system.

| No. | Unit/Department Site    | Recommendations and opportunities for improvement   |
|-----|-------------------------|---|
| 1   | Contract Review         | Look at documenting contract review / feasibility studies formally  |
| 2   | Org Chart               | Revise Org. chart to include VP of Operations & line of communication to Vice President of the company                                    |
| 3   | Job descriptions        | Look at having employees acknowledge their job descriptions by signing them off and add the signed document to their Personnel files.     |
| 4   | Standards & Regulations | Ensure that current editions of standards are available in-house e.g ASTM B26/26M – current edition is 2018                               |
| 5   | Subcontractors          | Ensure that ACC maintain Heat Treat Furnace Surveys and calibration Records from their Heat Treat subcontractor                           |
| 6   | Calibration             | Set up individual files for each equipment that is calibrated, and maintain history of each calibration in each file.                     |
| 7   | Quality Manual          | Ensure Quality Manual is formally revised and approved, after additions/amendments made during this audit.                                |
| 8   | EN 10204 Certs          | Ensure to include the Edition of the ASTM standard that the material is manufactured in accordance with, on the EN 10204 3.1 Certificate. |

# Audit Report



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## 5 Dates

**Due Date for the next audit** 2021-Dec-02 (Surveillance FU1)

**Agreed date for the next audit** 2021-Nov (early)

02-Dec-2020

Date

Audit Leader / Auditor(s)

Further applicable documents:

|                                     |                      |
|-------------------------------------|----------------------|
| <input checked="" type="checkbox"/> | Audit Plan           |
| <input type="checkbox"/>            | Nonconformity Report |

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## Annex 1.1 – Directive 2014/68/EU Material manufacturer - Basis of the audit

| Item                            | Audit content  |                          |                                     |  |                                     |                                     |   |                          |                                     |
|---------------------------------|--|--------------------------|-------------------------------------|--|-------------------------------------|-------------------------------------|---|--------------------------|-------------------------------------|
| <b>Audit basis:</b>             |  |                          |                                     |  |                                     |                                     |   |                          |                                     |
| <b>Audit basis:</b>             | <input checked="" type="checkbox"/> Directive<br>2014/68/EU<br>Annex I 4.3 | <input type="checkbox"/> | EN 764-5                            | <input type="checkbox"/>                   | AD 2000 W0                          |                                     |   |                          |                                     |
| <b>Processes:</b>               |  |                          |                                     |  |                                     |                                     |   |                          |                                     |
| <b>Prozess</b>                  |  |                          |                                     |  |                                     |                                     |   |                          |                                     |
| <b>Herstellung:</b>             |  |                          |                                     |  |                                     |                                     |   |                          |                                     |
|                                 |  |                          |                                     | <b>Internal</b>                            | <b>External</b>                     | <b>NA</b>                           |   |                          |                                     |
| Melting: Process:               |  |                          |                                     | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input type="checkbox"/>            |   |                          |                                     |
| Forging: Process:               |  |                          |                                     | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |   |                          |                                     |
| Rolling                         |  |                          |                                     | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |   |                          |                                     |
| Pressing                        |  |                          |                                     | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |   |                          |                                     |
| Straightening                   |  |                          |                                     | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |   |                          |                                     |
| Heat treatment                  |  |                          |                                     | <input type="checkbox"/>                   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |   |                          |                                     |
| Welding                         |  |                          |                                     | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |   |                          |                                     |
| Shaping:                        |  |                          |                                     | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |   |                          |                                     |
| other:                          |  |                          |                                     | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |   |                          |                                     |
| other:                          |  |                          |                                     | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |   |                          |                                     |
| <b>Non-destructive testing:</b> |  |                          |                                     |  |                                     |                                     |   |                          |                                     |
|                                 | <b>Test regulation:<br/>ISO Standards</b>                                  |                          |                                     | <b>Test regulation:<br/>ASME Standards</b> |                                     |                                     | <b>Test regulation:<br/>other Standards</b> |                          |                                     |
|                                 | Internal   | External                 | NA                                  | Internal                                   | External                            | NA                                  | Internal                                    | External                 | NA                                  |
| ET                              | <input type="checkbox"/>   | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/>                    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| MT                              | <input type="checkbox"/>   | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/>                    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| PT                              | <input type="checkbox"/>   | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/>                    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| RT                              | <input type="checkbox"/>   | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/>                    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| UT                              | <input type="checkbox"/>   | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/>                    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| other:                          | <input type="checkbox"/>   | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/>                    | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| <b>Internal External NA</b>     |  |                          |                                     |  |                                     |                                     |   |                          |                                     |
| Leak tightness test             |  |                          |                                     | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |   |                          |                                     |
| other:                          |  |                          |                                     | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |   |                          |                                     |
| other:                          |  |                          |                                     | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |   |                          |                                     |

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|------------------|---|--|--|-------------------------------------|--|-------------------------------------|-------------------------------------|---|-------------------------------------|-------------------------------------|
|                  | <b>Destructive testing:</b>                       |  |  |                                     |  |                                     |                                     |   |                                     |                                     |
|                  |   | <b>Test regulation:<br/>ISO Standards</b>            |  |                                     | <b>Test regulation:<br/>ASME Standards</b> |                                     |                                     | <b>Test regulation:<br/>other Standards</b> |                                     |                                     |
|                  |   | Internal   | External                                       | NA                                  | Internal                                   | External                            | NA                                  | Internal                                    | External                            | NA                                  |
|                  | Tensile testing                                   | <input type="checkbox"/>                             | <input type="checkbox"/>                       | <input checked="" type="checkbox"/> | <input type="checkbox"/>                   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/>                    | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
|                  | bend test   | <input type="checkbox"/>                             | <input type="checkbox"/>                       | <input checked="" type="checkbox"/> | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/>                    | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
|                  | Flattening test                                   | <input type="checkbox"/>                             | <input type="checkbox"/>                       | <input checked="" type="checkbox"/> | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/>                    | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
|                  | Ring tensile test                                 | <input type="checkbox"/>                             | <input type="checkbox"/>                       | <input checked="" type="checkbox"/> | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/>                    | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
|                  | Drift expanding test                              | <input type="checkbox"/>                             | <input type="checkbox"/>                       | <input checked="" type="checkbox"/> | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/>                    | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
|                  | Ring expanding test                               | <input type="checkbox"/>                             | <input type="checkbox"/>                       | <input checked="" type="checkbox"/> | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/>                    | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
|                  | Impact test                                       | <input type="checkbox"/>                             | <input type="checkbox"/>                       | <input checked="" type="checkbox"/> | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/>                    | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
|                  | Hardness test<br>(Brinell)                        | <input type="checkbox"/>                             | <input type="checkbox"/>                       | <input checked="" type="checkbox"/> | <input type="checkbox"/>                   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/>                    | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
|                  | Hardness test<br>(Vickers)                        | <input type="checkbox"/>                             | <input type="checkbox"/>                       | <input checked="" type="checkbox"/> | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/>                    | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
|                  | Hardness test<br>(Rockwell)                       | <input type="checkbox"/>                             | <input type="checkbox"/>                       | <input checked="" type="checkbox"/> | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/>                    | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
|                  | Chemistry:  | <input type="checkbox"/>                             | <input type="checkbox"/>                       | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/>        | <input checked="" type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/>                    | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
|                  | Corrosion:  | <input type="checkbox"/>                             | <input type="checkbox"/>                       | <input checked="" type="checkbox"/> | <input type="checkbox"/>                   | <input type="checkbox"/>            | <input checked="" type="checkbox"/> | <input type="checkbox"/>                    | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
|                  |   |  |  |                                     |  |                                     |                                     | <b>Intern</b>                               | <b>Extern</b>                       | <b>NA</b>                           |
|                  | Structural examination                            |  |  |                                     |  |                                     |                                     | <input type="checkbox"/>                    | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
|                  | Material identification by<br>other:              |  |  |                                     |  |                                     |                                     | <input type="checkbox"/>                    | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
|                  | other:  |  |  |                                     |  |                                     |                                     | <input type="checkbox"/>                    | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| <b>Products:</b> | <input checked="" type="checkbox"/> Valve housing | <input type="checkbox"/> Strip                       | <input type="checkbox"/> Sheet                 |                                     |  |                                     |                                     |   |                                     |                                     |
|                  | <input type="checkbox"/> Sheet, clad              | <input type="checkbox"/> Wide flatsteel              | <input type="checkbox"/> wire                  |                                     |  |                                     |                                     |   |                                     |                                     |
|                  | <input type="checkbox"/> Flange                   | <input type="checkbox"/> Cylinder                    | <input type="checkbox"/> Bar                   |                                     |  |                                     |                                     |   |                                     |                                     |
|                  | <input checked="" type="checkbox"/> Casting       | <input type="checkbox"/> Hollow section,<br>seamless | <input type="checkbox"/> Semifinished products |                                     |  |                                     |                                     |   |                                     |                                     |
|                  | <input type="checkbox"/> Plate                    | <input type="checkbox"/> Pressed part                | <input type="checkbox"/> Profile               |                                     |  |                                     |                                     |   |                                     |                                     |
|                  | <input type="checkbox"/> Finned tube              | <input type="checkbox"/> Tube, welded                | <input type="checkbox"/> Tube, seamless        |                                     |  |                                     |                                     |   |                                     |                                     |
|                  | <input type="checkbox"/> Fitting                  | <input type="checkbox"/> Sight glass                 | <input type="checkbox"/> Forging               |                                     |  |                                     |                                     |   |                                     |                                     |
|                  | <input type="checkbox"/> Rod                      | <input type="checkbox"/> Fastener                    | <input type="checkbox"/> Composite pipe        |                                     |  |                                     |                                     |   |                                     |                                     |
|                  | Details see annex to the certificate              |  |  |                                     |  |                                     |                                     |   |                                     |                                     |

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|--|--|---|---------------------------------|---|--|-------------------------------|--|--|--|----------------------------------|---------------------------------|--|---|---|---|--|---|-------------------------------|-----------------------------|------------------------------|---|-------------------------------|-------------------------------|---|--|---|--|---|---|--|---|--------------------------------|--------------------------------|--|------------------------------|----------------------------------|-----------------------------------|
| <b>Materials:</b>  | <p>It is manufactured according to the following technical specifications:</p> <table border="0"> <tr> <td><input type="checkbox"/> 1.0460</td> <td><input type="checkbox"/> 1.4571</td> <td><input type="checkbox"/> 2K-Epoxidharz, glaverst.</td> </tr> <tr> <td><input checked="" type="checkbox"/> Aluminium and aluminium alloys</td> <td><input type="checkbox"/> Glas</td> <td><input type="checkbox"/> Graphite, impregnated</td> </tr> <tr> <td><input type="checkbox"/> Cast iron, ferritic</td> <td><input type="checkbox"/> Cast iron, austenitic</td> <td><input type="checkbox"/> Hafnium</td> </tr> <tr> <td><input type="checkbox"/> Cobalt</td> <td><input type="checkbox"/> Cobalt alloys</td> <td><input type="checkbox"/> Plastic, thermoplast</td> </tr> <tr> <td><input type="checkbox"/> Copper and Copper alloys</td> <td><input type="checkbox"/> Copper-Nickel alloys</td> <td><input type="checkbox"/> Non-Ferrous metal</td> </tr> <tr> <td><input type="checkbox"/> Nickel and Nickel alloys</td> <td><input type="checkbox"/> Niob</td> <td><input type="checkbox"/> PE</td> </tr> <tr> <td><input type="checkbox"/> PFA</td> <td><input type="checkbox"/> PFA-Re-granulate</td> <td><input type="checkbox"/> PP-H</td> </tr> <tr> <td><input type="checkbox"/> PVDF</td> <td><input type="checkbox"/> Steel, aust.-ferr.</td> <td><input type="checkbox"/> Steel, austenitic</td> </tr> <tr> <td><input type="checkbox"/> Steel, ferr.-aust.</td> <td><input type="checkbox"/> Steel, ferritic</td> <td><input type="checkbox"/> Steel casting, aust.</td> </tr> <tr> <td><input type="checkbox"/> Steel casting, aust.-ferr.</td> <td><input type="checkbox"/> Steel casting, ferritic</td> <td><input type="checkbox"/> Tantal and Tantal alloys</td> </tr> <tr> <td><input type="checkbox"/> Tital</td> <td><input type="checkbox"/> Titan</td> <td><input type="checkbox"/> Tital alloy code 12</td> </tr> <tr> <td><input type="checkbox"/> VPE</td> <td><input type="checkbox"/> Wolfram</td> <td><input type="checkbox"/> Ziconium</td> </tr> </table> | <input type="checkbox"/> 1.0460                   | <input type="checkbox"/> 1.4571 | <input type="checkbox"/> 2K-Epoxidharz, glaverst. | <input checked="" type="checkbox"/> Aluminium and aluminium alloys | <input type="checkbox"/> Glas | <input type="checkbox"/> Graphite, impregnated | <input type="checkbox"/> Cast iron, ferritic | <input type="checkbox"/> Cast iron, austenitic | <input type="checkbox"/> Hafnium | <input type="checkbox"/> Cobalt | <input type="checkbox"/> Cobalt alloys | <input type="checkbox"/> Plastic, thermoplast | <input type="checkbox"/> Copper and Copper alloys | <input type="checkbox"/> Copper-Nickel alloys | <input type="checkbox"/> Non-Ferrous metal | <input type="checkbox"/> Nickel and Nickel alloys | <input type="checkbox"/> Niob | <input type="checkbox"/> PE | <input type="checkbox"/> PFA | <input type="checkbox"/> PFA-Re-granulate | <input type="checkbox"/> PP-H | <input type="checkbox"/> PVDF | <input type="checkbox"/> Steel, aust.-ferr. | <input type="checkbox"/> Steel, austenitic | <input type="checkbox"/> Steel, ferr.-aust. | <input type="checkbox"/> Steel, ferritic | <input type="checkbox"/> Steel casting, aust. | <input type="checkbox"/> Steel casting, aust.-ferr. | <input type="checkbox"/> Steel casting, ferritic | <input type="checkbox"/> Tantal and Tantal alloys | <input type="checkbox"/> Tital | <input type="checkbox"/> Titan | <input type="checkbox"/> Tital alloy code 12 | <input type="checkbox"/> VPE | <input type="checkbox"/> Wolfram | <input type="checkbox"/> Ziconium |
| <input type="checkbox"/> 1.0460                                    | <input type="checkbox"/> 1.4571  | <input type="checkbox"/> 2K-Epoxidharz, glaverst. |                                 |   |  |                               |  |  |  |                                  |                                 |  |   |   |   |  |   |                               |                             |                              |   |                               |                               |   |  |   |  |   |   |  |   |                                |                                |  |                              |                                  |                                   |
| <input checked="" type="checkbox"/> Aluminium and aluminium alloys | <input type="checkbox"/> Glas  | <input type="checkbox"/> Graphite, impregnated    |                                 |   |  |                               |  |  |  |                                  |                                 |  |   |   |   |  |   |                               |                             |                              |   |                               |                               |   |  |   |  |   |   |  |   |                                |                                |  |                              |                                  |                                   |
| <input type="checkbox"/> Cast iron, ferritic                       | <input type="checkbox"/> Cast iron, austenitic   | <input type="checkbox"/> Hafnium                  |                                 |   |  |                               |  |  |  |                                  |                                 |  |   |   |   |  |   |                               |                             |                              |   |                               |                               |   |  |   |  |   |   |  |   |                                |                                |  |                              |                                  |                                   |
| <input type="checkbox"/> Cobalt                                    | <input type="checkbox"/> Cobalt alloys   | <input type="checkbox"/> Plastic, thermoplast     |                                 |   |  |                               |  |  |  |                                  |                                 |  |   |   |   |  |   |                               |                             |                              |   |                               |                               |   |  |   |  |   |   |  |   |                                |                                |  |                              |                                  |                                   |
| <input type="checkbox"/> Copper and Copper alloys                  | <input type="checkbox"/> Copper-Nickel alloys  | <input type="checkbox"/> Non-Ferrous metal        |                                 |   |  |                               |  |  |  |                                  |                                 |  |   |   |   |  |   |                               |                             |                              |   |                               |                               |   |  |   |  |   |   |  |   |                                |                                |  |                              |                                  |                                   |
| <input type="checkbox"/> Nickel and Nickel alloys                  | <input type="checkbox"/> Niob  | <input type="checkbox"/> PE                       |                                 |   |  |                               |  |  |  |                                  |                                 |  |   |   |   |  |   |                               |                             |                              |   |                               |                               |   |  |   |  |   |   |  |   |                                |                                |  |                              |                                  |                                   |
| <input type="checkbox"/> PFA                                       | <input type="checkbox"/> PFA-Re-granulate  | <input type="checkbox"/> PP-H                     |                                 |   |  |                               |  |  |  |                                  |                                 |  |   |   |   |  |   |                               |                             |                              |   |                               |                               |   |  |   |  |   |   |  |   |                                |                                |  |                              |                                  |                                   |
| <input type="checkbox"/> PVDF                                      | <input type="checkbox"/> Steel, aust.-ferr.  | <input type="checkbox"/> Steel, austenitic        |                                 |   |  |                               |  |  |  |                                  |                                 |  |   |   |   |  |   |                               |                             |                              |   |                               |                               |   |  |   |  |   |   |  |   |                                |                                |  |                              |                                  |                                   |
| <input type="checkbox"/> Steel, ferr.-aust.                        | <input type="checkbox"/> Steel, ferritic   | <input type="checkbox"/> Steel casting, aust.     |                                 |   |  |                               |  |  |  |                                  |                                 |  |   |   |   |  |   |                               |                             |                              |   |                               |                               |   |  |   |  |   |   |  |   |                                |                                |  |                              |                                  |                                   |
| <input type="checkbox"/> Steel casting, aust.-ferr.                | <input type="checkbox"/> Steel casting, ferritic   | <input type="checkbox"/> Tantal and Tantal alloys |                                 |   |  |                               |  |  |  |                                  |                                 |  |   |   |   |  |   |                               |                             |                              |   |                               |                               |   |  |   |  |   |   |  |   |                                |                                |  |                              |                                  |                                   |
| <input type="checkbox"/> Tital                                     | <input type="checkbox"/> Titan   | <input type="checkbox"/> Tital alloy code 12      |                                 |   |  |                               |  |  |  |                                  |                                 |  |   |   |   |  |   |                               |                             |                              |   |                               |                               |   |  |   |  |   |   |  |   |                                |                                |  |                              |                                  |                                   |
| <input type="checkbox"/> VPE                                       | <input type="checkbox"/> Wolfram   | <input type="checkbox"/> Ziconium                 |                                 |   |  |                               |  |  |  |                                  |                                 |  |   |   |   |  |   |                               |                             |                              |   |                               |                               |   |  |   |  |   |   |  |   |                                |                                |  |                              |                                  |                                   |
| <b>Scope of certification:</b>                                     | <p>The following changes have been made to the Annex to the certificate since the last audit:<br/>None</p>   |   |                                 |   |  |                               |  |  |  |                                  |                                 |  |   |   |   |  |   |                               |                             |                              |   |                               |                               |   |  |   |  |   |   |  |   |                                |                                |  |                              |                                  |                                   |



| Client                        | Standard(s)                            | Certification Number(s) | Audit Type          |
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| Aluminum Castings Company LLC | Directive 2014/68/EU:<br>Annex I § 4.3 | 01 202 USA/Q-20 2792    | Certification Audit |

## Annex 1.2 – Directive 2014/68/EU - Material Manufacturer – Audit results

| Item  | Audit result   | Rating*/<br>NCR     |
|---|--|---------------------|
| <b>Management processes/quality assurance system</b>                                      |  |                     |
| <b>Quality management system:</b><br>EN 764-5: 4.2<br>AD 2000 W0: 3.1.2                   | The company has a valid certification according ISO 9001<br><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No<br>By whom: TRNA   | Rating: 1<br>NCR: - |
|   | The company operates a documented quality management system and a factory production control system for the manufacturing of materials. The quality objectives have been set and the organisational structure, as well as management's responsibilities and competencies, are clearly defined. The implementation of the QM system complies with the requirements of the directive, regulation and standards both in terms of documentation and implementation in practice.<br>The responsibility, authority and the relationship between personnel that manages, performs or verifies work affecting product constancy, are defined.<br>The following key changes have been introduced to the structure of the organization since the previous audit:<br>None | Rating: 1<br>NCR: - |
|   | <b>Responsible person for the works inspection:</b><br>The person(s) named below is / are each individually authorised to do the final inspection on behalf of the Manufacturer:<br>Joe Pitman   | Rating: 1<br>NCR: - |
|   | <b>Responsible supervisor for non-destructive testing:</b><br>The following supervisor(s) for non-destructive testing has(have) been named. The qualification requirements of the standards are fulfilled.<br>NDT not required by Application Standard   | Rating: 4<br>NCR: - |
|   | <b>Responsible Welding coordinator(s):</b><br>The following welding coordinator(s) has(have) been named. The qualification requirements of the standards are fulfilled.<br>No welding  | Rating: 4<br>NCR: - |
|   | <b>Responsible supervisor for transfer of stamping:</b><br>The following supervisor for transfer of stamping has(have) been named.:<br>Steve Nemeck  | Rating: 1<br>NCR: - |
| <b>Subcontracted processes:</b><br>EN 764-5: 4.2.1<br>AD 2000 W0: 3.1.2                   | The requirements of subcontractors for subcontracted processes are defined and appropriate supporting documents are available.   | Rating: 1<br>NCR: - |
| <b>Process instructions / process description:</b><br>EN 764-5: 4.2.1<br>AD 2000 W0 3.1.2 | The company has implemented the requirements of the QM system and the Directive and regulation in the form of process instructions and process descriptions. The company's employees have access to the instructions and have received appropriate training.<br>Process instructions and descriptions are available for the following areas of production:<br><input type="checkbox"/> Design <input checked="" type="checkbox"/> Manufacture <input checked="" type="checkbox"/> Testing <input checked="" type="checkbox"/> Final product inspection<br>The following key changes have been introduced since the previous audit:<br>None   | Rating: 1<br>NCR: - |

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| Client                        | Standard(s)                            | Certification Number(s) | Audit Type          |
|-------------------------------|--|-------------------------|---------------------|
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| Item  | Audit result  | Rating*/<br>NCR                            |
|---|---|--|
| <b>Marketing / Sale</b>   |   |  |
| <b>Feasibility:</b><br>EN 764-5: 4.2.1<br>AD 2000 W0: 3.1.2                                       | The requirements of Directive 2014/68/EU and other standards are taken into account and implemented in the course of the contract review.   | Rating: 2<br>NCR: -                        |
| <b>Purchasing</b>   |   |  |
| <b>Steel making process:</b><br>EN 764-5: 4.2.1<br>AD 2000 W0: 3.1.2<br>AD 2000 W7 2.1            | The raw materials are ordered according the requirements of the harmonized standard.<br>Free cutting steel are not be used for the manufacture of bolts and nuts.   | Rating: 4<br>NCR: -<br>Rating: 4<br>NCR: - |
| <b>Initial material.:</b><br>2000 W0 3.1.2  | In the orders to the initial material manufacturers, the requirements of the standards are considered and implemented.  | Rating: 1<br>NCR: -                        |
| <b>Manufacturing:</b>   |   |  |
| <b>Tracking the materials during manufacturing:</b><br>EN 764-5: 4.2.1 / 6.2<br>AD 2000 W0: 3.1.2 | The traceability of the material during the manufacturing processes is defined and assure.  | Rating: 1<br>NCR: -                        |
| <b>Manufacturing:</b><br>EN 764-5: 4.2.1<br>AD 2000 W0: 3.1.2                                     | The company possesses the manufacturing equipment required for manufacturing the materials / products.<br>The quality assurance documents such as control reports, testing and calibration data have been reviewed.<br>Changes to important equipment and processes to the previous inspection:<br>No | Rating: 1<br>NCR: -                        |
| <b>Permanent joinings:</b><br>EN 764-5: 4.2.1<br>AD 2000 W0: 3.1.2                                | Adequate Weld Procedure Qualifications, to cover production welding, were submitted to the audit team. The manufacture submitted list of Welders and/or Welding Operators, along with their applicable certificates.  | Rating: 4<br>NCR: -                        |
| EN 764-5: 7.2<br>AD 2000 HP2/1  | For material, which forms part of pressure equipment in categories II, III and IV, the qualification of welding procedures and welder qualifications shall also be approved by a competent third party, which can be either a notified body (PED) or a recognized third-party organization (PED).     | Rating: 4<br>NCR: -                        |
| <b>Heat treatment:</b><br>EN 764-5: 4.2.1<br>AD 2000 W0: 3.1.2                                    | Suitable heat treatment equipment is available for carrying out heat treatment either internally or externally.<br>Internal quality assurance documents such as inspection re-ports, test and calibration data were examined.   | Rating: 1<br>NCR: -                        |
| <b>Testing</b>  |   |  |
| <b>Non-destructive testing:</b><br>EN 764-5: 4.2.1<br>AD 2000 W0: 3.1.2                           | The equipment for NDT are available. Qualified personnel are conducting the non-destructive testing.<br>The internal quality assurance documents such as control reports, testing and calibration data have been reviewed.  | Rating: 4<br>NCR: -                        |
| EN 764-5: 7.3<br>AD 2000 W0: 3.1.2  | For material, which forms part of pressure equipment in categories III, and IV, non-destructive testing shall be carried out by personnel approved by a recognized third party organization (PED).  | Rating: 4<br>NCR: -                        |
| AD 2000 W0: 3.1.2   | The test equipment shall first be checked by qualified personnel of the manufacturer and evaluated by the audit team.   | Rating: 4<br>NCR: -                        |
| <b>Destructive testing:</b><br>EN 764-5: 4.2.1<br>AD 2000 W0: 3.1.2                               | The equipment for Destructive testing are available, externally Internal for Chemistry)<br>The quality assurance documents such as control reports, testing and calibration data have been reviewed.  | Rating: 1<br>NCR: -                        |

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| Item                         | Audit result   |  |  | Rating*/NCR                                 |
|------------------------------|--|--|--|---|
|                              | The internal and external equipment fulfil the following calibration standards:  |  |  |   |
|                              |  | <b>Test regulation:<br/>ISO Standards</b>  | <b>Test regulation:<br/>ASME Standards</b>                           | <b>Test regulation:<br/>Other Standards</b> |
|                              | <b>Tensile test:</b>   |  |  |   |
| Calibration of the equipment | <input type="checkbox"/> EN ISO 7500-1<br><input type="checkbox"/>   | <input checked="" type="checkbox"/> ASTM E4 /<br>ASTM E83<br><input type="checkbox"/>  | <input type="checkbox"/><br><input type="checkbox"/>                 |   |
| Testing acc.                 | <input type="checkbox"/> EN ISO 6892-1<br>room<br>temperature<br><input type="checkbox"/> EN ISO 6892-2<br>hot tensile test<br><input type="checkbox"/> EN ISO 898-1 | <input checked="" type="checkbox"/> ASTM A370<br>(RTT)<br><input checked="" type="checkbox"/> ASTM E8 /<br>E8M<br><input type="checkbox"/> ASTM E21<br>(ETT) | <input type="checkbox"/><br><input type="checkbox"/>                 |   |
|                              | <b>Chemistry Analysis</b>  |  |  |   |
| Testing acc.                 | <input checked="" type="checkbox"/> E415   | <input type="checkbox"/> A751<br><input type="checkbox"/> E350<br><input checked="" type="checkbox"/> E415   | <input type="checkbox"/> MIL Std                                     |   |
|                              | <b>Corrosion Testing</b>   |  |  |   |
| Testing acc.                 | <input type="checkbox"/>   | <input type="checkbox"/> ASTM A262   | <input type="checkbox"/>   |   |
|                              | <b>Bend test</b>   |  |  |   |
| Calibration of the equipment | <input type="checkbox"/><br><input type="checkbox"/> Norm  | <input type="checkbox"/><br><input type="checkbox"/>   | <input type="checkbox"/><br><input type="checkbox"/>                 |   |
| Testing acc.                 | <input type="checkbox"/> EN ISO 5173<br><input type="checkbox"/>   | <input type="checkbox"/> ASTM E190<br><input type="checkbox"/> ASTM E290   | <input type="checkbox"/><br><input type="checkbox"/>                 |   |
|                              | <b>Flattening test</b>   |  |  |   |
| Testing acc.                 | <input type="checkbox"/> EN ISO 8492<br><input type="checkbox"/>   | <input type="checkbox"/> ASTM A370<br><input type="checkbox"/>   | <input type="checkbox"/> MIL-T (if Rq'd)<br><input type="checkbox"/> |   |
|                              | <b>Ring tensile test</b>   |  |  |   |
| Testing acc.                 | <input type="checkbox"/> EN ISO 8496<br><input type="checkbox"/>   | <input type="checkbox"/> ASTM A370<br><input type="checkbox"/>   | <input type="checkbox"/><br><input type="checkbox"/>                 |   |
|                              | <b>Drift expanding test</b>  |  |  |   |
| Testing acc.:                | <input type="checkbox"/> EN ISO 8493<br><input type="checkbox"/>   | <input type="checkbox"/><br><input type="checkbox"/>   | <input type="checkbox"/><br><input type="checkbox"/>                 |   |
|                              | <b>Ring expanding test</b>   |  |  |   |
| Testing acc.                 | <input type="checkbox"/> EN ISO 8495<br><input type="checkbox"/>   | <input type="checkbox"/><br><input type="checkbox"/>   | <input type="checkbox"/><br><input type="checkbox"/>                 |   |
|                              | <b>Impact test</b>   |  |  |   |
| Calibration of the equipment | <input type="checkbox"/> EN ISO 148-2<br><input type="checkbox"/>  | <input type="checkbox"/> E23<br><input type="checkbox"/>   | <input type="checkbox"/><br><input type="checkbox"/>                 |   |
| Testing acc.:                | <input type="checkbox"/> EN ISO 148-1  | <input type="checkbox"/> ASTM A370   | <input type="checkbox"/>   |   |

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| Item   | Audit result  | Rating*/<br>NCR     |                    |            |    |    |    |    |    |    |    |    |    |                     |
|--|---|---------------------|--------------------|------------|----|----|----|----|----|----|----|----|----|---------------------|
|  | <input type="checkbox"/> <input type="checkbox"/> ASTM A673 <input type="checkbox"/>  |                     |                    |            |    |    |    |    |    |    |    |    |    |                     |
|  | <b>Hardness test (Brinell)</b>  |                     |                    |            |    |    |    |    |    |    |    |    |    |                     |
| Calibration of the equipment   | <input type="checkbox"/> EN ISO 6506-2 <input type="checkbox"/> ASTM E74 <input type="checkbox"/><br><input type="checkbox"/> <input checked="" type="checkbox"/> ASTM E10 <input type="checkbox"/>   |                     |                    |            |    |    |    |    |    |    |    |    |    |                     |
| Testing acc.   | <input type="checkbox"/> EN ISO 6506-1 <input checked="" type="checkbox"/> ASTM E10 <input type="checkbox"/><br><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  |                     |                    |            |    |    |    |    |    |    |    |    |    |                     |
|  | <b>Hardness test (Vickers)</b>  |                     |                    |            |    |    |    |    |    |    |    |    |    |                     |
| Calibration of the equipment   | <input type="checkbox"/> EN ISO 6507-2 <input type="checkbox"/> ASTM E384 <input type="checkbox"/><br><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  |                     |                    |            |    |    |    |    |    |    |    |    |    |                     |
| Testing acc.   | <input type="checkbox"/> EN ISO 6507-1 <input type="checkbox"/> ASTM E92 <input type="checkbox"/><br><input type="checkbox"/> <input type="checkbox"/> ASTM E384 <input type="checkbox"/>   |                     |                    |            |    |    |    |    |    |    |    |    |    |                     |
|  | <b>Hardness test (Rockwell)</b>   |                     |                    |            |    |    |    |    |    |    |    |    |    |                     |
| Calibration of the equipment   | <input type="checkbox"/> EN ISO 6508-2 <input type="checkbox"/> ASTM E18 <input type="checkbox"/><br><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>   |                     |                    |            |    |    |    |    |    |    |    |    |    |                     |
| Testing acc.   | <input type="checkbox"/> EN ISO 6508-1 <input type="checkbox"/> ASTM E18 <input type="checkbox"/><br><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>   |                     |                    |            |    |    |    |    |    |    |    |    |    |                     |
|  | <b>Micro Structure</b>  |                     |                    |            |    |    |    |    |    |    |    |    |    |                     |
| Calibration of the equipment   | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/><br><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  |                     |                    |            |    |    |    |    |    |    |    |    |    |                     |
| Testing acc.   | <input type="checkbox"/> <input checked="" type="checkbox"/> E3 <input type="checkbox"/><br><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  |                     |                    |            |    |    |    |    |    |    |    |    |    |                     |
| <b>First production of a material</b>  |   |                     |                    |            |    |    |    |    |    |    |    |    |    |                     |
| <b>First testing of the production:</b><br>EN 764-5: Anhang A<br>EN 764-4<br>AD 2000 W0: 3.1.2 | The first testing of the production fulfills the requirements of EN 764-5 chapter 4.3.1.<br>The following first testing of the production are performed by the manufacture during the last inspection interval:<br><table border="0"> <thead> <tr> <th>Material</th> <th>Delivery condition</th> <th>Dimensions</th> </tr> </thead> <tbody> <tr> <td>No</td> <td>No</td> <td>No</td> </tr> <tr> <td>No</td> <td>No</td> <td>No</td> </tr> <tr> <td>No</td> <td>No</td> <td>No</td> </tr> </tbody> </table> Details are summarized in the annex of the report. | Material            | Delivery condition | Dimensions | No | No | No | No | No | No | No | No | No | Rating: 4<br>NCR: - |
| Material   | Delivery condition  | Dimensions          |                    |            |    |    |    |    |    |    |    |    |    |                     |
| No   | No  | No                  |                    |            |    |    |    |    |    |    |    |    |    |                     |
| No   | No  | No                  |                    |            |    |    |    |    |    |    |    |    |    |                     |
| No   | No  | No                  |                    |            |    |    |    |    |    |    |    |    |    |                     |
| <b>Product testing and evaluation:</b>   |   |                     |                    |            |    |    |    |    |    |    |    |    |    |                     |
| <b>Product testing and evaluation:</b><br>EN 764-5: 4.2.3<br>AD 2000 W0: 3.1.2                 | The manufacturer has establish procedures to ensure that the stated values of the characteristics he declares are maintained.<br><br>Details are summarized in the annex of the report.   | Rating: 1<br>NCR: - |                    |            |    |    |    |    |    |    |    |    |    |                     |
| <b>Verification acc.</b><br>AD 2000 W0   | Not applicable  |                     |                    |            |    |    |    |    |    |    |    |    |    |                     |
| <b>Final inspection</b>  |   |                     |                    |            |    |    |    |    |    |    |    |    |    |                     |
| <b>Final inspection:</b><br>EN 764-5: 4.2.1<br>AD 2000 W0: 3.1.2                               | The manufacturer has established procedures for the final inspection.<br>All requirements of the harmonized standard / national standards are   | Rating: 1<br>NCR: - |                    |            |    |    |    |    |    |    |    |    |    |                     |

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| Item  | Audit result   | Rating*/NCR         |
|---|--|---------------------|
|   | considered. There is a documented visual inspection and control of dimensions and tolerances, which are necessary to fulfill the required standards.   |                     |
| <b>Marking:</b><br>EN 764-5: 4.3.3<br>AD 2000 W0: 3.1.2                                 | <ul style="list-style-type: none"> <li>• The Products shall be marked by ink marking, stamping, laser marking, bar code, permanent label, attached label with the following information:</li> <li><input checked="" type="checkbox"/> the manufacturer's name or trade mark (only if requested by customer)</li> <li><input type="checkbox"/> steel name (or number) incl. delivery condition</li> <li><input checked="" type="checkbox"/> the cast number or a code number</li> <li><input type="checkbox"/> the mark of the inspection representative (if required)</li> </ul> Remarks: Lot codes if requested by Client | Rating: 1<br>NCR: - |
| <b>Documentation</b>  |  |                     |
| <b>Inspection Certificate 3.1 acc. EN 10204</b><br>EN 764-5: 4.3.3<br>AD 2000 W0: 3.1.2 | All required information / test results are include of the 3.1 inspection certificate acc. EN 10204.   | Rating: 1<br>NCR: - |
| <b>Archiving of documents:</b><br>EN 764-5: 4.2.4<br>AD 2000 W0: ???                    | The manufacturer retains all test reports of the determination of the product-type for at least 10 years after the last date of production of product. Further, the manufacturer keeps the technical documentation and the declaration of performance for a period of 10 years after the construction product has been placed on the market.   | Rating: 2<br>NCR: - |
| <b>Non-conformities:</b><br>EN 764-5: 4.2.1<br>AD 2000 W0: 3.1.2                        | The manufacturer has written procedures, which specify how non-complying products shall be dealt with.   | Rating: 1<br>NCR: - |

- \* **Rating:**
- 1 = conforming
  - 2 = conforming but opportunities for improvement
  - 3 = failed/non-conformity (see non-conformity report)
  - 4 = not applicable