

## Documentation, Retention Obligation and Obsolescence Management Annex 2 to the GTC for the Procurement of Rolling Stock Components (GTC-RKomp)

### 1 Scope of application, purpose and content

This Annex shall apply to all rolling stock components. It describes the minimum requirements in terms of their documentation, the company's retention obligation, and obsolescence management. It shall supplement the provisions of the relevant legislation, in particular with respect to rail interoperability and railway and product safety at locations where rolling stock is operated, and also regarding ISO 9001, IRIS Standard Version 2, RAMS standards (EN 50126, EN 50128 and EN 50129) and requirements specific to the customer and operating site.

### 2 Documentation

2.1 No later than the first component delivery the company shall provide SBB with technical documentation for the proper use of its supplies. Such documentation shall be complete, concise, fully copyable, legally unobjectionable and liability-proof, its content clear, meeting the requirements in this Annex, in the official Swiss languages of the place of performance, on paper and on a data carrier in electronic form, in the Portable Document Format (PDF) as a PDF/A pursuant to ISO 19005-1, and in the original editable data format.

2.2 The documentation shall include all information on the products and services of the company and of third parties appointed by it. Such information must be legible throughout the useful life of the rolling stock. It must be kept updated so that it corresponds at all times to the rolling stock, subsystems and components currently in operation. The extent, degree of detail and form of the documentation must meet the requirements of skilled technical personnel and must enable SBB at any time to install, operate, maintain, recondition, replace and re-order subsystems and components, to operate, retrofit, renovate, repair and maintain rolling stock, and to conduct the necessary training itself or have it conducted by third parties without involving the company.

2.3 The documentation must contain at least the following information on said subsystems and components:

- a general description of the component (form, function, strength, fitting accuracy, assembly capability, useful life, safety)
- category (subsystem, interoperable component, safety-relevant component, operations-relevant components)
- all design drafts, manufacturing drawings and plans, together with descriptions and explanations necessary for an understanding of such drawings and plans and the function (including operating conditions), operation, use and maintenance of the components, including technical documentation relating to the approved prototype
- conditions for the integration of the component into its system environment (subassembly, assembly, subsystem), including interface details and installation documentation
- conditions for the use of the components (durability, restrictions on operating life or distances to be covered, wear limits, other critical limit values, etc.)
- maintenance documentation containing the information in section 2.5
- work products as set out in section 6 of the GTC-RKomp
- storage guidelines
- index of the manufacturers involved in the production, assembly and installation of the subsystems and components
- all the technical requirements set out in the relevant legislation / TSI / standards that must be met in operation, use and maintenance.

2.4 Parts lists must contain the following:

- technical descriptions of the components (exchangeable units) and their references
- all parts subject to the proviso that their replacement is subject to certain conditions or is necessary in the event of an electrical or mechanical malfunction, or that are known in advance to need replacing following any accidental damage (e.g. windscreens)
- interoperable components must be identified as such, with references to their respective statements of conformity
- references to the safety certificates of safety-relevant parts and software must be given
- for all parts: estimates of the expected availability of the components in the form of a report; if the components listed feature items for which notice of discontinuation has already been given, possible alternatives should be proposed
- any special statutory requirements applying to parts or systems must be listed.

2.5 The minimum content requirements for maintenance documentation shall be as follows:

- information as set out in sections 2.3 and 2.4
- maintenance conditions and technical maintenance documentation (with overview and detail drawings)
- maintenance intervals, overhauls
- fault finding list (error code table)
- function tests

2.6 Documentation must give the DIN code in accordance with DIN EN 15380-2 (formerly DIN 25002-2), including the third stage if SBB states this as a requirement. The DIN code must appear not only on drawings, but also in indexes and product structures.

2.7 For the other components (UE) the company shall deliver in any case the product information according to Art. 3 THG.

2.8 For all subsystems and components SBB must be provided with the documentation specified in section 1.4 of the Annex on Logistical Guidelines.

### 3 Update obligation

3.1 The company shall continually update the documentation, including the source code, with respect to the fulfilment of the contract and until the end of the limitation period (free of charge in the context of defect rectification) and following prior consultation with SBB, especially for care and maintenance work, the extension of existing installations and systems, because adjustment work has been carried out or defects rectified, in line with the nature and form of existing documentation within eight weeks of determining the final applicable solutions and shall submit such documentation to SBB. The company shall ensure that documentation originating from third parties appointed by it is updated in accordance with the requirements of this Annex.

3.2 Amendments to technical documents that do not affect exchangeability must be marked with an initialled amendment index giving the date and content of the amendment. Where changes mean that exchangeability can no longer be guaranteed, drawings must be prepared with new numbers to ensure that parts can be unambiguously identified. During construction or delivery phases these changes must be reported to SBB indicating which document they were based on. The CSM method shall be applied to changes of this sort. If the company attaches numbers of its own to documents originating from third parties appointed by it for the purpose of identification or integration into its own PDM system, such documents must also be provided with an amendment index. These documents shall therefore have two numbers and two indexes.

#### 4 Documentation inspection and approval

The company shall inspect and approve all relevant documents. The words "Inspected and approved" must always be visible, together with the document version and date. By approving external documents the company shall confirm that the subsystem and component to which the drawing relates meet the relevant requirements. Inspection of technical documents by SBB shall not release the company from its contractual obligations.

#### 5 Retention obligation

5.1 The documentation specified in this Annex shall be retained in the form in which it is protected, available and legible until the end of the retention period and cannot be amended without the amendment being recorded.

5.2 Technical documents, together with correspondence and certificates relating to them and their annexes and amendments must be properly retained in a usable condition free of charge throughout the actual useful life of the rolling stock. Commercial documents (contracts, orders, correspondence, accounting documentation, etc.) must be retained in accordance with the relevant legislation, but for no less than 13 years after the termination of this contract. SBB and the company shall reserve the right to conclude escrow agreements.

#### 6 Obsolescence management

6.1 The company shall ensure that the obsolescence (as defined in EN 62402) of products, their components and the relevant documentation (including component library, assembly-parts lists, preliminary parts lists from prototype procedures) and interfaces is treated as an integral part of the design, development, manufacture, maintenance, reconditioning and replacement of components and of the operation, retrofitting, renovation, repair and maintenance of rolling stock. To this end, the company shall implement an anticipatory, cost-effective, documented, state-of-the-art obsolescence management process of a suitable nature and extent, applying to the entire supply chain from the development stage to the end of the planned lifetime of the last product delivered. The company shall keep this process in operation, substantiating it to SBB on request.

6.2 The company's obsolescence management process must cover all coordinated activities for the control and management of an organisation with regard to obsolescence and its monitoring, and also the development of new products, the introduction of new technologies for existing products, and the support and maintenance of product inventories. Such process must comply with the delivery obligations agreed in the contract with SBB. It must take account of the need for a new system for the requalification and recertification of parts, materials and products and their approval for operation at locations where rolling stock is used, its subsystems and components, taking account of the expected / agreed useful life and reliability of the products and the validity of the pertinent attestations and certificates.

6.3 The company shall disclose to SBB its strategies for the identification and alleviation of the effects of obsolescence at all stages of the products' useful life. The company shall ensure that the form, function, strength, fitting accuracy, assembly capability, useful life and safety of the individual part or module are retained, and that all interfaces are fully specified. In this connection it shall grant SBB access to its full documentation and its complete component data.

6.4 SBB may at any time obtain information from the company about its measures to ensure the delivery and usability of the products until the end of the planned useful life of the last product delivered, and ask the company for a copy of its current obsolescence management plan and specific

plans such as management plans of electronic components.

6.5 In the case of project-specific parts and master agreements, the company shall involve SBB in its obsolescence planning from the outset to enable SBB to commence its own obsolescence management activities. The company shall assist SBB in an anticipatory manner in overcoming problems of obsolescence.

6.6 In the event of a case of obsolescence the following general conditions shall apply.

- The company shall notify SBB in writing of the discontinuation of the products. In its notification it shall provide SBB with all the information relevant to its decision (assembly affected, current order, average historical outflow, periods during which the products and their spare parts can still be delivered and supported, etc.).
- The company shall reassess the risks associated with the obsolescence and pass its findings to SBB.
- The company shall set out its planned measures, both preventive (avoiding obsolescence and reducing the likelihood of its occurrence, limiting its effects, planned system upgrades, planned bridging or terminal provisioning, etc.) and restorative (looking for replacement products, design changes, cannibalisation, etc.) and shall submit its proposals to SBB on how to proceed.
- Section 4.2 of the GTC-RComp shall apply to proposed product changes (PCN, Product Change Notification).
- In each case the company shall at an early stage offer SBB the opportunity to place a final order (last order facility), and in order to enable SBB to manufacture the components for its own requirements shall provide it free of charge with full, relevant adapted documentation with source code, together with auxiliary equipment (gauges, models, specialist tools, etc.). The company shall on request assist SBB to the best of its ability with the transfer of the production of the items concerned to SBB or a third party.