VERGABEUNTERLAGEN
Qualification system

Qualification system (Sector Ordinance)

2017002500 − Qualification system − supply of modern metering devices

AUFTRAGGEBER
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VERFAHRENSINFORMATIONEN
Qualification system

Verfahren: 2017002500 − Qualification system − supply of modern metering devices

INFORMATION ABOUT VERIFICATION SYSTEM

With this publication, Stromnetz Berlin GmbH intends to call on applicants to tender for the supply of modern metering devices according to the Measuring Station Operation Law (*Messstellenbetriebsgesetz*) dated 2 September 2016, hereinafter referred to as "mMe". Detailed information is available in the participation documents and the technical descriptions made available by the issuing agency. Applicants questions will be submitted to the issuing agency via the question and answer forum placed in the electronic tender assistant (see below).

This contract notice allows the option of an invitation to tender at a later date. Furthermore, Stromnetz Berlin GmbH intends to contract only those suppliers for prospective mMe delivery orders who have previously qualified in the procedure for this verification system.

INFORMATION

GENERALLY

Project Number	2017002500
Header Title	B26 − Rogawski
Title	Qualification system − supply of modern metering devices
Info	With this publication, Stromnetz Berlin GmbH intends to call on applicants to tender for the supply of modern metering devices according to the Measuring Station Operation Law (Messstellenbetriebsgesetz) dated 2 September 2016, hereinafter referred to as "mMe". Detailed information is available in the participation documents and the technical descriptions made available by the issuing agency. Applicants questions will be submitted to the issuing agency via the question and answer forum placed in the electronic tender assistant (see below).

PROCEDURE

Contracting Authority Name	Stromnetz Berlin GmbH
Sponsor	Sector buyer
Place of Delivery	Berlin
ActivityType	Supply contract
AwardingType	Qualification system (Sector Ordinance)

PROCESS PROPERTIES

Classification

Code	Name
38550000−5	Zähler
38551000−2	Stromzähler
38554000−3	Elektrizitätszähler

PARTICIPATION APPLICATION

Allowed SubmissionTypes	The submission of tenders/requests to participate must be submitted electronically
Participation Url	https:// portal. deutsche− evergabe. de

DATES

GENERALLY

Advanced Information	No
Special Priority	No

PUBLICATION

Publication	27/07/2017
Advanced Information	

PARTICIPATION AND EVALUATION

Bidding Period	Unlimited period
Binding Period	

ELECTRONIC PARTICIPATION

Please register at the announcement platform
https:// portal. deutsche− evergabe. de
with your username and password.

If you are not yet registered in the system, you can do this on the platform.
Registration is free of charge.

Afterwards, you can search for the direct search as search keyword. Then follow the instructions in the system to participate in the procedure.

BIDDER QUESTIONS

Bidders' questions should be found in the questions / answers forum of the eVergabe bid assistant at https://portal. deutsche−evergabe.de. All Answers are also examined there. Questions on other communication channels, such as telephone, written or e−mail inquiries were not answered.

Note: Replies to bid questions are also sent by e−mail immediately after their replies, but they are only used for notification of the presence of answers in the question / answer forum. Attachments that have been replies are not included in the e−mail notification. Therefore, all answers to bidders' questions in the question / answer forum must be examined and their knowledge confirmed.

With this publication, Stromnetz Berlin GmbH intends to call on applicants to tender for the **supply of modern metering devices according to the Measuring Station Operation Law (*Messstellenbetriebsgesetz*) dated 2 September 2016**, hereinafter referred to as "mMe". Detailed information is available in the participation documents and the technical descriptions made available by the issuing agency. Applicants questions will be submitted to the issuing agency via the question and answer forum placed in the electronic tender assistant (see below).

The qualification system has no time limit. Applications with a participation application are possible at any time. The application has to include:

- a scripted formal cover letter
- the answer to the questions from the suitability criteria
- the required proof of the questions posed by the suitability criteria

The exact examination and approval process is described under "Long texts of the EU publication of the test system Delivery of modern measuring equipment mMe"\ 2.2.III.1.9) Qualification for the system.

Instructions for your application

1. Please read the following instructions carefully.
The applicant must submit a formal participation request for the verification system in the German language, signed by the authorised persons and in electronic format as a PDF file via https://root.deutsche–evergabe.de/portal/ with a specific file name.
All proof of compliance with the conditions of participation has to be uploaded to the appropriate point (section "Eigene Anlagen") and with a descriptive filename. The corresponding filenames must begin with the company name, then designate the relevant register from the suitability criteria, and include a corresponding abbreviation for the content.
A file name length of 60 characters and a size of 20 MB cannot be exceeded. (Example: "sample applicant_Reg_A_ cover letter").

2. The application must be structured according to the numbering or designation of the suitability criteria and must contain the requested information in the respective headings.
The contracting entity reserves the right to disregard information not contained in the sections specifically provided for this purpose.

References to previous tenders will not suffice for the purpose of verification.
"K.O. criteria" are minimum conditions to be fulfilled, "mandatory" must be specified.

II.2.4) Description of procurement / verification system

This contract notice serves to provide information about the existence of a verification system (according to Sector Ordinance (SektVO) 2016, section 37).

With this publication, Stromnetz Berlin GmbH intends to call on applicants to tender for the supply of modern metering devices according to the Measuring Station Operation Law (*Messstellenbetriebsgesetz*) dated 2 September 2016, hereinafter referred to as "mMe". Detailed information is available in the participation documents and the technical descriptions made available by the issuing agency. Applicants' questions will be submitted to the issuing agency via the question and answer forum placed in the electronic tender assistant (see below).

This contract notice allows the option of an invitation to tender at a later date. Furthermore, Stromnetz Berlin GmbH intends to contract only those suppliers for prospective mMe delivery orders who have previously qualified in the procedure for this verification system.

With the request to send samples for sample inspection the supplier will be informed about the concrete mounting form incl. handover of the corresponding technical specification.

The exact testing and approval process is described in the appendix "Process Description for the Use of Modern Metering Devices in Verification Systems".

Applicants who have passed the qualification process according to the appendix will be added to the "List of approved suppliers for mMe" by Stromnetz Berlin GmbH. The issuing agency will then invite those applicants directly to tender for any future tenders or competitions.

Approved suppliers will be subject to a supplier follow-up, as it is also described in the appendix "Process Description for the Use of Modern Metering Devices in Verification Systems".

The qualification approval is unlimited. Approved suppliers will lose the approval if:

- they have not supplied Stromnetz Berlin GmbH with any modern metering devices in the past five years,
- or for whose approval was withdrawn due to the results of the supplier follow-up,

In both cases the supplier must reapply for supplier approval.

1 Participation application – Legal, economic, financial and technical information

The applicant must submit a formal participation request for the verification system in the German language, signed by the authorised persons and in electronic format as a PDF file via https://root.deutsche–evergabe.de/portal/ (section: "Own plants") with a specific file name.

As part of the participation application, the questions regarding capacity and performance listed in the section entitled "***Suitability requirements"*** are to be answered and, insofar as required, verified with the relevant documents (in the section entitled "own plants").

References to previous tenders will not suffice for the purpose of verification.
"K.O. criteria" are minimum conditions to be met, while items marked "Mandatory" must be entered.

The issuing agency asks the applicants to send a separate E-Mail to daniel.rogawski@vattenfall.de after complete submission of the application.

2 Qualification check

All questions must be answered and, insofar as required, supplemented with the relevant proof. The issuing agency checks the legal, economic, financial and technical information provided by the applicant and assess the information given in terms of capacity and performance.

If one or more declarations and proofs are not (sufficiently) provided, and despite requests from the issuing agency, cannot be plausibly explained by the applicant, both the applicant will be rejected and further checks will be carried out.

Should all information be plausible and the capacity and performance proven, the applicant shall get informed about this and proceed to the next stage of the qualification process.

3 Extended questionnaire – Technical checklist

With publication of this verification system the applicant has access to the "Extended questionnaire – Technical checklist" for informative reasons. If the qualification check is successfully finished the applicant will get the request to send the answered questionnaire to the issuing agency.

4 Feasibility study of the "Extended questionnaire – Technical checklist"

The issuing agency evaluates the questions answered, as well as any documents submitted, in according to the documents made available.
Should the applicant achieve a response score of less than 90%, this shall lead to a suspension or an exclusion from the verification system.
Furthermore the issuing agency reserves the right to invite the applicant to a technical discussion at the Berlin office to discuss and proof the results from the extended questionnaire.

Answers, which are still not feasible for the issuing agency after the technical discussion, will be considered to be not achievable and/or insufficiently described in terms of content, or no answer is given and shall lead to a suspension or an exclusion from the verification system.

Should all information be plausible and proven, the applicant shall get informed about this and proceed to the next stage of the qualification process.

5 Sample inspection

With the request to send samples for sample inspection the applicant will be informed about the concrete mounting form incl. handover of the corresponding technical specification.
The applicant shall also supply Stromnetz Berlin GmbH with two sample devices, free of charge, which meet the requirements set out in the latest version of "Technical Specifications – User-friendly Electricity Meters – Modern Metering Devices" in their most recent version at the time of application. The conditions set out in section 2 " Sample inspection" of the “GSSS” are to be respected.

The sample devices serve to test during the sample inspection whether all requirements set out in the technical specifications can be met in reality.

The subsequently supplied item must be an exact copy of the sample devices (same type description). Only devices successfully tested may later – with this proprietary type description – be the subject of negotiation and a contract later.

Applicants who have already supplied the issuing agency with equivalent sample devices for previous supply contracts, do not need to supply new sample devices. If these have been approved by issuing agency. The issuing agency shall inform the applicant in such a case.

Should the sample devices fail to meet the requirements even after a repeated sample inspection or lack the associated documents or certificates are still missing despite a subsequent request, the qualification process shall end and the applicant shall be blocked from the verification system for six months.

6 Optional factory audit

The issuing agency reserves the right to carry out, during a previously agreed appointment, a factory audit in the applicant's production plant to check the information and statements provided in the participation application and the "Extended questionnaire – Technical checklist" at random. Among other things, this includes presenting the manufacturer and supplier's processes, expanding on the submitted documents (e.g. drawings, photos, testing protocols, etc.), inspection and evaluation of the production plant, testing laboratory and logistics.
A factory audit takes approximately two days.

7 Qualification decision

The issuing agency shall, either after the completed sample inspection and at the latest after completing the factory audit, inform the applicant about the results of the tests within a defined time frame.

7.1 Duration of the qualification validity

Applicants who have passed the qualification process will be added to the "List of approved suppliers for mMe" by Stromnetz Berlin GmbH. The issuing agency can invite these applicants directly to tender for any future tenders or competitions.

The qualification approval is unlimited. Approved suppliers will lose the approval if:

- they have not supplied Stromnetz Berlin GmbH with any modern metering devices in the past five years,
- or for whose approval was withdrawn due to the results of the supplier follow-up,

In both cases the supplier must reapply for supplier approval. A supplier who is deemed to be deviating from the quality standard in the third level (see section 8) may only reapply after a period of one year after losing approval has passed.

7.2 Information obligation on approved suppliers

Should significant changes be made over time to the tasks carried out by the approved supplier, the supplier is obliged to share these with the issuing agency immediately and in writing. Significant changes cover changes to the

- company form,
- ownership structures,
- company locations or
- information regarding fundamental and economic reliability.

In addition, the following supporting documents are to be submitted unasked to the issuing agency:

- Annual declaration of mandatory facultative exclusion criteria within the meaning of Sections 123 and 124 of the Act against Restraints on Competition (GWB), Section 21 of the Act on Posting of Workers (AEntG) and Section 19 of the Minimum Wage Act (MiLoG).
- Newly attained certificates for quality, environmental and work safety management

8 Qualification follow-up on approved suppliers

The suppliers listed will be monitored and assessed based on the following categories and quality features within the framework of the qualification follow-up:

8.1 Quality categories and definitions:

- ***"Product"*** (Deviation from Technical Specifications and General Supply and Service Specifications)
- ***"Logistics"*** (Deviation from General Supply and Service Specifications)
- ***"Reliability"*** (Deviation from/delays to General Supply and Service Specifications and contract)
- ***"eLs"*** (Deviation from/delays to General Supply and Service Specifications and contract)
- ***"Commerce"*** (Deviation from the contractual terms and conditions)

8.2 Supplier quality status (QS)

- Green = approved
- Yellow = limited approval
- Red = approval terminated

8.3 Quality levels

- First level – QS green
  Approval status fully completed
  Any minor deviations are eliminated within the agreed time frame.

- Second level – QS yellow
  Approval status lowered
  Supplier action plan required for elimination within the agreed time frame.

- Third level – QS red
  Approval lost
  Supplier can reapply after a period of one year.

8.4 Changes to quality status (QS)

In principle, an approved supplier starts with the quality status green.
Should a change in the quality categories *"Product"*, *"Logistics"*, *"Reliability"*, *"eLs"* or *"Commerce"* be determined by the issuing agency during subsequent fulfilment of the contract, the supplier's quality status will change.
Should the supplier propose suitable corrective measures (action plan) that are acceptable to the issuing agency, the quality status will change from green to yellow.
Should the proposed corrective measures not be acceptable to the issuing agency (e.g. due to unsuitability for achieving the contractually agreed quality), the quality status will change to red.

A supplier with the quality status yellow who once again meets all the contractually agreed conditions during the next delivery will be set to the quality status green once more.
A supplier with the quality status yellow who again shows a deficiency in the same quality category during the next delivery will be set to the quality status red.

A supplier with the quality status yellow who shows a deficiency in another quality category during the next delivery will also be set to the quality status yellow for that category. The subsequent delivery must then be completely error-free so that the supplier can regain the quality status green. Any deficiency (irrespective of the quality category) shall lead the supplier to be given the quality status red.

A supplier with the quality status green who presents defects in more than two quality categories during the next delivery will be set to the quality status red.

A supplier who is given the quality status red shall lose their approval for this verification system and may only reapply after a period of one year after losing approval has passed.

Example 1:
A supplier with the quality status green who delivers the next contract late will be set to the quality status yellow.

Quality category	"QS green" Approved	"QS yellow" Action plan required	"QS red" Approval terminated
Product	X		
Logistics	X		
Reliability	X →	X	
eLs	X		
Commerce	X		

Example 2:
A supplier who already has the quality status yellow due to a previous late delivery and who once again meets all the contractually agreed conditions during the next delivery will be set back to the quality status green once more.

Quality category	"QS green" Approved	"QS yellow" Action plan required	"QS red" Approval terminated
Product	X		
Logistics	X		
Reliability	X	X	
eLs	X		
Commerce	X		

Example 3:
A supplier who already has the quality status yellow due to a previous late delivery and who once again delivers late during the next delivery will be set to the quality status red. The approval granted in the verification system is removed.

Quality category	"QS green" Approved	"QS yellow" Action plan required	"QS red" Approval terminated
Product	X		
Logistics	X		
Reliability		X	X
eLs	X		
Commerce	X		

Example 4:
A supplier who, due to a previous late delivery, already has the quality status yellow in the quality category "Reliability" and who shows deviations in the quality category "Product" during the next delivery will also be set to the quality status yellow in this category.
The supplier then has the status yellow in two quality categories.

Quality category	"QS green" Approved	"QS yellow" Action plan required	"QS red" Approval terminated
Product	X	X	
Logistics	X		
Reliability		X	
eLs	X		
Commerce	X		

Example 5:
A supplier who, due to previous deliveries, has the quality status yellow in two quality categories and who once again meets all the contractually agreed conditions during the next delivery will be set to the quality status green in both categories once more.

Quality category	"QS green" Approved	"QS yellow" Action plan required	"QS red" Approval terminated
Product	X	X	
Logistics	X		
Reliability	X	X	
eLs	X		
Commerce	X		

Example 6:

A supplier who, due to previous deliveries, has the quality status yellow in two quality categories and who fails to meet all the contractually agreed conditions during the next delivery (irrespective of the quality category) will be set to the quality status red. The approval granted in the verification system is removed.

Quality category	"QS green" Approved	"QS yellow" Action plan required	"QS red" Approval terminated
Product	X	X	
Logistics	X		
Reliability	X	X	
eLs	X		
Commerce	X		X

Example 7:

A supplier with the quality status green who fails to meet the conditions in more than two quality categories during the next contract will be set to the quality status red. The approval granted in the verification system is removed.

Quality category	"QS green" Approved	"QS yellow" Action plan required	"QS red" Approval terminated
Product	X		X
Logistics	X		X
Reliability	X		X
eLs	X		
Commerce	X		

Formalities applying to tenders

1. The bid must be submitted in German and in written form electronically at: https://root.deutsche-evergabe.de/portal/.
Use of the portal deutsche-evergabe.de is free of charge for applicants and bidders of Vattenfall projects. Requests to participate can be submitted there. Requests to participate by post, fax or e-mail will not be accepted.

2. The bid is to be divided in accordance with the numbering in Section III.1. and should contain the information requested in the respective sections. The contracting entity reserves the right to disregard information not contained in the sections specifically provided for this purpose. References to previous tenders will not suffice for the purpose of verification.

3. The term "current" in Section III.1. means that the date of issue of the third-party confirmation in question must not be longer than 3 months prior to the date of publication in the Official Journal of the EU.

4. The obligation to submit third-party confirmation does not apply if and insofar as no such register is kept or registration is unnecessary. The onus is on the applicant to prove and explain this.

5. For the purposes of Point 4 above, foreign applicants are still required to submit such third-party confirmation. Their equivalence must be proven. To this end, exhaustive presentation is expected. It should be pointed out here that the entire tender must be written in German, including the respective evidence and annexes. If an official document, reference information, etc. are not written in German, a literal translation by a sworn translator must be submitted.

6. The contracting entity provides the documents voluntarily in English. In case of an ambiguous understanding of the documents, which may result from translation errors, the German contract shall primarily be governed by the "German Language" (see Section "P").

7. The contracting entity reserves the right – without being required to do so – to demand declarations and evidence (including for the minimum requirements) at a later date. Moreover, the contracting entity reserves the right to demand a personal introduction to an applicant or to inspect the applicant's business or a reference project, e.g. in order to verify the validity of the self-declarations. The applicant is not entitled to make any additional demands or demand a personal introduction.

8. The contracting entity reserves the right – without being required to do so – following the selection of applicants and submission of tenders, if the situation so justifies, to carry out an audit of individual bidders in the form of sustainability risk assessments. Justification for this includes a situation where the bidder is based in a CSR high-risk country or its production facilities are situated there. A list of high-risk countries can be found under:

"CSR Country risk classification“
http://corporate.vattenfall.de/uber-uns/beziehungen-zu-lieferanten/

If it is discovered in the course of such an audit that self-declarations issued by the bidder in the course of the tendering process are inaccurate, the contracting entity is entitled to exclude the bidder from further competition.

9. The contracting entity reserves the right to exclude applications which do not meet the minimum requirements and/or deadlines from the further process, without further checks.

10. Questions are to be submitted exclusively via the eVergabe question-and-answer tool. The contracting entity will endeavour to answer promptly.

11. If and to the extent to which it is permitted by law, qualification criteria may also be demonstrated using a standard European self-declaration.

milestones – plan for tender 2018

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Stromnetz Berlin

Note:
From 1st of January 2018 the procurement for supply of modern measuring devices, mMe of the Stromnetz Berlin GmbH, is carried out exclusively by already prequalified suppliers. Suppliers who wish to participate in the tender at this time will be asked to submit their application for the PQ procedure

latest by 31st of August 2017.

This results in the following milestones for the **qualification process:**

- Input of extended questionnaire technical checklist — approximately 39 st cw. 2017
- Input sample devices including documents — approximately 47 th cw. 2017
- **Qualification decision** — approximately **03 rd cw. 2018**

This results in the following milestones for the **award procedure 2018:**

- Request to listed suppliers — approximately 05 th cw. 2018
- Awarding negotiations — approximately 11 th cw. 2018
- **Award** — approximately **15 th cw. 2018**

Stromnetz Berlin

Fragenkomplexe / *Subject*	**Fragen / *Questions***	**Beantwortete Fragen / *Questions answered***		**Unbeantwortete Fragen /Questions without answer**	
	Anzahl / *Number*	**Anzahl / *Number***	**%**	**Anzahl / *Number***	**%**
Allgemein / *General*	8	0	0,0	0	0,0
Qualitätspolitik / *Quality policy*	14	0	0,0	0	0,0
Sicherheits- und Gesundheitsschutz / *Health and safety*	15	0	0,0	0	0,0
Umwelt / *Environment*	9	0	0,0	0	0,0
Ressourcen / *Resources*	11	0	0,0	0	0,0
Produktrealisierung / *Product achievement*	46	0	0,0	0	0,0
Messung, Analyse, Verbesserung / *Readings, analysis, improvement*	42	0	0,0	0	0,0
∑	**145**	**0**	0,0	**0**	0,0

(durch AG mit "X" zu bewerten) / *(To be mar*

Produktspezifische Anforderungen / *Product-specific requirements*		**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer
1	Wer erstellt den elektronischen Lieferschein V1.1 und V2.0? / *Who generates the electronic delivery note V1.1 and V2.0?*			

(durch AG mit "X" zu bewerten) / *(To be mar*

Qualitätspolitik / *Quality policy*		**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer
9	Welche konkreten Ziele Sind festgelegt? / *Which concrete goals have been set out?*			
10	Wer legt diese Ziele fest? / *Who sets these goals?*			
11	Berücksichtigen sie rechtliche Anforderungen, Gefährdungen und Risiken, technische, finanzielle und betriebliche Möglichkeiten und Ansichten interessierter Parteien? / *Are the legal requirements, dangers and risks, technical, financial and operational possibilities and views of interested parties considered?*			
12	Wie werden sie In die Organisation kommuniziert? / *How are they communicated within the organisation?*			
13	Sind sie messbar? Wie wird das Erreichen der Ziele dokumentiert und überwacht? / *Can they be measured? How is achieving the goals documented and monitored?*			
14	In welcher Form tritt die oberste Führung als Multiplikator für die Ziele der Qualitätspolitik auf? / *In which form does senior management act as disseminator for the quality policy goals?*			

(durch AG mit "X" zu bewerten) / *(To be mar*

Planung / *Scheduling*		**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer
15	Existiert ein Verfahren zur Prozessplanung? Wie ist es strukturiert? (Verfahren, Dokumentation, Aktualisierung, Angemessenheit, Abgleich mit den Zielen) / *Does a procedure for process scheduling exist? How is it structured? (Procedures, documentation, updates, suitability, comparison with goals)*			
16	Wie werden rechtliche Anforderungen berücksichtigt? (Ermittlung, Beschaffung und Aktualisierung) / *How are legal requirements taken into account? (Determination, procurement, updates)*			
17	Welche qualifizierten Prozesse exisitieren? Wie sind sie strukturiert? Wie werden diese Prozesse gesteuert und überwacht? Wie werden diese Prozesse angepasst/geändert? Wie werden diese Prozesse eingeführt und in die Organisation kommuniziert? / *Which qualified processes are in place? How are they structured? How will these processes be controlled and monitored? How will these processes be modified/changed? How will these processes be implemented and communicated within the organisation?*			

(durch AG mit "X" zu bewerten) / *(To be mar*

Qualitätsmanagement und -sicherung / *Quality management and safety*		**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer
18	Werden sämtliche Fertigungprozesse im QM-Prozess überwacht und dokumentiert? / *Will all production processes be monitored and documented in the quality management process?*			

(durch AG mit "X" zu bewerten) / *(To be ma*

Planung / *Scheduling*		**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer
23	Existiert ein Verfahren zur Gefährdungsermittlung und Risikobeurteilung? Wie ist es strukturiert? (Verfahren, Dokumentation, Aktualisierung, Angemessenheit, Abgleich mit den Zielen, Umfänglichkeit hinsichtlich nicht-routinemäßiger Tätigkeiten und Berücksichtigung aller Zutrittsberechtigten Personen) / *Is there a procedure for hazard identification and risk assessment? How is it structured? (Procedure, documentation, updates, suitability, comparison with goals, scope regarding non-routine activities and consideration of all authorised persons)*			
24	Wie werden rechtliche Anforderungen berücksichtigt? (Ermittlung, Beschaffung und Aktualisierung) / *How are legal requirements taken into account? (Determination, procurement, updates)*			
25	Welche Programme exisitieren? Wie sind sie strukturiert? (Maßnahmen, Umfänglichkeit, Verantwortlichkeiten, Mittel, Zieltermine, Überprüfung und Aktualisierung) / *Which programmes exist? How are they structured? (Measures, scope, responsibilities, method, deadlines for achieving goals, checks and updates)*			

(durch AG mit "X" zu bewerten) / *(To be ma*

Umsetzung / *Implementation*		**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer
26	Wie wird das SGMS strukturell umgesetzt? (Verantwortlichkeiten, Befugnisse, Qualifikation, Unterstützung, Ressourcen, Beauftragter der obersten Leitung) / *How will the SGMS be implemented on a structural level? (Responsibilities, capacities, qualification, support, resources, senior management representative)*			

27	Welche Schulungen werden durchgeführt? Wie werden Bewusstsein und Befähigung für das SGMS entwickelt? (Verfahren, Schulungssystem, Sensibilisierung, Dokumentation, Szenarien/Maßnahmenpläne, Schulungsmaterial) / *Which training courses will be carried out? How will awareness and aptitude for the SGMS be developed?* *(Procedures, training system, awareness, documentation, scenarios/measures, training material)*			
28	Welche Verfahren zur Beratung und Kommunikation exisitieren? (intern/extern, systematische Einbeziehung, Wahrung gesetzlicher Informationspflichten) / *Which procedures are in place for advice and communication?* *(Internal/external, systematic inclusion, ensuring legal obligation of providing information)*			
29	Wie erfolgt die Dokumentationdes SGMS? Wie werden Dokumente und Daten gelenkt? (Vollständigkeit, Dokumenten- und Datenlenkung, Änderungsdienst, Aufbewahrung/Archivierung) / *How is the SGMS documentation carried out? How will documents and data be managed?* *(Completeness, document and data management, change management, storage/archiving)*			
30	Welche Notfallszenarien werden berücksichtigt? Existieren systematische Präventionsmaßnahmen? (Verfahren, Notfallkonzepte, Test/Verifizierung, Präventionsmaßnahmen) / *Which emergency scenarios are being taken into account? Are systematic preventative measures in place?* *(Procedures, emergency plans, test/verification, preventative measures)*			

(durch AG mit "X" zu bewerten) / *(To be ma*

Kontroll- und Korrekturmaßnahmen / *Checking and corrective measures*		**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer
31	Welche Kontroll- und Korrekturmaßnahmen exisitieren? Wie sind diese strukturiert? (Leistungsmessung und -überwachung, Untersuchung von Unfällen, Beinahe-Unfällen und Vorkommnissen, Einleitung von Korrekturmaßnahmen, Dokumentation, Management von Aufzeichnungen, Datensicherheit) / *Which checking and corrective measures are in place? How are these structured?* *(Performance measurement and monitoring, investigation of accidents, near misses and incidents, implementation of corrective measures, documentation, management of records, data security)*			

(durch AG mit "X" zu bewerten) / *(To be ma*

Fremdfirmenmanagement / *External company management*		**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer
32	Welche Dienstleistungen werden beauftragt (Eichabfertigungsstelle, Spedition,…)? / *Which services are being commissioned (verification centre, forwarding, etc.)?*			
33	Wie erfolgt die Auswahl und Überwachung der Dienstleister? / *How are service providers selected and monitored?*			
34	Bestehen Verfahren zum Umgang mit Fremdfirmen und Subunternehmen? / *Are there procedures for dealing with external companies and subcontractors?*			
35	Werden betriebsfremde Personen bei Schulungsmaßnahmen berücksichtigt? / *Will external persons be considered for training courses?*			
36	Wie wird der Nachweis der Qualifizierung der Auftragnehmer erbracht? (z.B. Stichproben) / *How will proof of the contractor's qualifications be issued? (Random tests, for example)*			
37	Wie werden Fremdfirmen/Auftragnehmer über Änderungen informiert? / *How will external companies/contractors be informed of any changes?*			

(durch AG mit "X" zu bewerten) / *(To be mar*

Planung / *Scheduling*		**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer
38	Existiert ein Verfahren zur Umweltverträglichkeitsprüfung und Folgenabschätzung? Wie ist es strukturiert? (Verfahren, Dokumentation, Aktualisierung, Angemessenheit, Abgleich mit den Zielen, Umfänglichkeit hinsichtlich nicht-routinemäßiger Tätigkeiten) / *Is there a procedure for an environmental impact assessment as well as impact assessments? How is it structured? (Procedure, documentation, updates, suitability, comparison with goals, scope regarding non-routine activities)*			
39	Wie werden rechtliche Anforderungen berücksichtigt? (Ermittlung, Beschaffung und Aktualisierung) / *How are legal requirements taken into account? (Determination, procurement, updates)*			
40	Welche Programme exisitieren? Wie sind sie strukturiert? (Maßnahmen, Umfänglichkeit, Verantwortlichkeiten, Mittel, Zieltermine, Überprüfung und Aktualisierung) / *Which programmes exist? How are they structured? (Measures, scope, responsibilities, method, deadlines for achieving goals, checks and updates)*			

(durch AG mit "X" zu bewerten) / *(To be mar*

Umsetzung / *Implementation*		**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer
41	Wie wird das UMS strukturell umgesetzt? (Verantwortlichkeiten, Befugnisse, Qualifikation, Unterstützung, Ressourcen, Beauftragter der obersten Leitung) / *How will the UMS be implemented on a structural level? (Responsibilities, capacities, qualification, support, resources, senior management representative)*			

42	Welche Schulungen werden durchgeführt? Wie werden Bewusstsein und Befähigung für das UMS entwickelt? (Verfahren, Schulungssystem, Sensibilisierung, Dokumentation, Szenarien/Maßnahmenpläne, Schulungsmaterial) / *Which training courses will be carried out? How will awareness and aptitude for the UMS be developed?* *(Procedures, training system, awareness, documentation, scenarios/measures, training material)*			
43	Welche Verfahren zur Beratung und Kommunikation exisitieren? (intern/extern, systematische Einbeziehung, Wahrung gesetzlicher Informationspflichten) / *Which procedures are in place for advice and communication?* *(Internal/external, systematic inclusion, ensuring legal obligation of providing information)*			
44	Wie erfolgt die Dokumentation des UMS? Wie werden Dokumente und Daten gelenkt? (Vollständigkeit, Dokumenten- und Datenlenkung, Änderungsdienst, Aufbewahrung/Archivierung) / *How is the UMS documentation carried out? How will documents and data be managed?* *(Completeness, document and data management, change management, storage/archiving)*			
45	Welche Notfallszenarien werden berücksichtigt? Existieren systematische Präventionsmaßnahmen? (Verfahren, Notfallkonzepte, Test/Verifizierung, Präventionsmaßnahmen) / *Which emergency scenarios are being taken into account? Are systematic preventative measures in place?* *(Procedures, emergency plans, test/verification, preventative measures)*			

(durch AG mit "X" zu bewerten) / *(To be mar.*

Kontroll- und Korrekturmaßnahmen / *Checking and corrective measures*	**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer

46	Welche Kontroll- und Korrekturmaßnahmen exisitieren? Wie sind diese strukturiert? (Leistungsmessung und -überwachung, Untersuchung von Vorkommnissen, Einleitung von Korrekturmaßnahmen, Dokumentation, Management von Aufzeichnungen) / *Which checking and corrective measures are in place? How are these structured?* *(Performance measurement and monitoring, investigation of incidents, implementation of corrective measures, documentation, management of records)*			

(durch AG mit "X" zu bewerten) / *(To be mar*

Infrastruktur / *Infrastructure*		**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer
47	Welche Automatisierungstiefe kommt zur Anwendung? / *Which degree of automation is used?*			
48	Welche Maschinen stehen zur Verfügung? / *Which machines are available?*			
49	Wie werden die Maschinen überwacht und gewartet / *How will the machines be monitored and maintained?*			
50	Welche Aufzeichnungen und Dokumente werden abgelegt? / *Which records and documents will be stored?*			
51	Wer ist für die Einführung neuer Technologien verantwortlich? / *Who is responsible for introducing new technologies?*			
52	Wer ist für die Verpackung und den Versand verantwortlich? / *Who is responsible for packaging and shipping?*			
53	Wie erfolgt der Transport? / *How is transport carried out?*			
54	Wie wird sichergestellt, dass die hergestellten Produkte dem jeweiligen Kunden korrekt zugeordnet werden? / *How will it be guaranteed that the manufactured products are correctly assigned to the relevant end customer?*			

(durch AG mit "X" zu bewerten) / *(To be mar*

Arbeitsumgebung / *Working environment*		**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer
55	Welche Aspekte fließen in die Beurteilung der Arbeitumgebung ein? / *Which aspects affect the assessment of the working environment?*			
56	Wie ist es um die allgemein Ordnung und Sauberkeit bestellt? / *How is the general housekeeping organised?*			
57	Sind die Aushänge auf dem aktuellen Stand? / *Are displays current?*			

(durch AG mit "X" zu bewerten) / *(To be mar*

Planung / *Scheduling*		**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer
58	In welcher Form werden Design- und Entwicklungsvorhaben geplant? / *In which form are design and development requirements scheduled?*			
59	Wie finden die normativen und formalen Anforderungen Eingang In die Planung der Entwicklung? / *How are the standard and formal requirements included in the development scheduling?*			
60	Wie finden die kundenspezifischen Anforderungen Eingang in die Planung der Entwicklung? / *How are the customer-specific requirements included in the development scheduling?*			
61	Wie werden die Abnahmekriterien für Entwicklungen festgelegt? / *How are the approval criteria for developments determined?*			

(durch AG mit "X" zu bewerten) / *(To be mar*

Kundenbezogene Prozesse / *Customer-specific processes*		**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer
62	Wie erfolgt die Bearbeitung eingehender Aufträge? / *How are incoming orders processed?*			
63	Wer ist für die Auftragsbearbeitung verantwortlich? / *Who is responsible for processing orders?*			
64	Wie wird sichergestellt, dass die kundenspezifischen Anforderungen erfüllt werden? / *How will it be guaranteed that the customer-specific requirements are fulfilled?*			
65	Welches Verfahren besteht für eventuell notwendige Rückrufe? / *Which procedures are in place for any necessary recalls?*			
66	Erhät der Auftraggeber eine schriftliche Bestätigung zur Umsetzung seiner geforderten Änderungen und Realsisierung? / *Does the client receive written confirmation that their desired changes have been implemented?*			

(durch AG mit "X" zu bewerten) / *(To be mar*

Entwicklung / *Development*		**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer
67	Wer ist für die Entwicklung zuständig? / *Who is responsible for development?*			
68	Wer prüft das Ergebnis der Entwicklung? / *Who verifies the result of the development?*			
69	Wer gibt es frei? / *Who approves it?*			
70	In welchem Stadium wird eine Produktvalidierung durchgeführt? / *In which phase will product validation be carried out?*			
71	Wie wird bei Designänderungen verfahren? / *What is the procedure with regards to design changes?*			
72	Wie wird sichergestellt, dass die Produkte den normativen und gesetzlichen Vorgaben entsprechen? / *How will it be guaranteed that the products meet the normative and legal requirements?*			

(durch AG mit "X" zu bewerten) / *(To be mar*

Beschaffung (Lieferanten) / *Procurement (suppliers)*		**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer
73	Wie erfolgt die Auswahl der Lieferanten? / *How are suppliers selected?*			
74	Welche Anforderungen müssen die Lieferanten erfüllen? / *What requirements must suppliers meet?*			
75	Wie werden die Lieferanten überwacht? / *How will suppliers be monitored?*			

76	In welchen Fällen werden Prüfungen von Produkten beim Lieferanten durchgeführt? / *In which cases will product tests by suppliers be carried out?*			
77	Wie wird mit gesperrten Lieferanten verfahren? Unter welchen Umständen können gesperrte Lieferanten neu aufgenommen werden? / *What is the procedure with suppliers on probation? Under which circumstances can suppliers on probation be taken on again?*			
78	Welche Teilprodukte werden zugekauft? Welche Teilprodukte werden selber hergestellt? / *Which components will be purchased? Which components will be manufactured?*			
79	Wie werden Risiken des Lieferanten hinsichtlich Produktionsausfällen minimiert? (z.B. multi-source, Diversifikation, Bevorratung) / *How will supplier risk with regards to production downtimes be minimised? (E.g. several sources, diversification, stock)*			
80	Lassen sich die Hersteller und Typen aller verbauten Betriebsmittel anhand entsprechender Materiallisten eindeutig indentifizieren? / *Can the manufacturer and type of all operational equipment used be clearly identified from the relevant bills of material?*			

(durch AG mit "X" zu bewerten) / *(To be mar*

Beschaffung (Logistik/WE-Prüfung) / *Procurement (logistics/WE verification)*		**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer
81	Wie wird sichergestellt, dass die benötigten Materialien zur Verfügung stehen? / *How will it be guaranteed that the necessary materials are available?*			
82	Ist durch entsprechende Lagerhaltung gewährleistet, dass bei einem Ausfall eines oder mehrerer Zulieferer die Produktion für mindestens 5 Tage fortgeführt werden kann? / *Thanks to the relevant stock levels, can it be guaranteed that production can continue for at least five days should one or more suppliers fail to deliver?*			
83	Wer ist für die Bereitstellung der Materialien verantwortlich? / *Who is responsible for the provision of materials?*			

84	Existiert ein Obsoleszenzmanagement? / *Is there any obsolescence management?*			
85	Wie erfolgt die Überwachung der Qualität? (WE-Prüfung/Bemusterung) Ist der Prüfstatus jederzeit erkennbar? / *How is quality monitored? (WE testing/samples) Is the test status visible at all times?*			
86	Wie wird sichergestellt, dass nur zugelieferte Materialien weiterverwendet werden, die den Qualitätsanforderungen genügen? Wie erfolgt die Trennung von geprüftem und ungeprüftem Material? / *How will it be guaranteed that only supplied materials that satisfy the quality requirements will be reused? How does the separation of checked and unchecked materials take place?*			
87	Wie wird verfahren, wenn ein zugeliefertes Produkt für eine dringende Produktion vor seiner Verifizierung freigegeben wird? / *What is the procedure for when a supplied product is urgently needed for production before it has been approved?*			
88	Existiert ein Sperrlager? Ist es eindeutig gekennzeichnet? Ist die Zutrittsberechtigung eindeutig geregelt? / *Is there a quarantine store? If so, is this clearly marked? Are access rights clear?*			
89	Liege für das eingelagerte Material unschädliche Umgebungsbedingungen (Temperatur, Feuchte, Staub) vor? Bitte darstellen. / *Are environmental conditions (temperature, moisture, dust) in storage areas suitable? Please specify.*			

(durch AG mit "X" zu bewerten) / *(To be mar*

Produktion / *Production*		**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer
90	Wie hoch ist die Fertigungstiefe und der Automatisierungsgrad? / *How high is the vertical range of manufacture and the degree of automation?*			

91	Welche Prozessparameter werden überwacht? Wie erfolgt die Überwachung? / *Which process parameters are monitored? How are they monitored?*			
92	Wie wird sichergestellt, dass nur einwandfreie, qualitätsgerechte Materialien verwendet werden? / *How will it be guaranteed that only flawless, high-quality materials are used?*			
93	Wer erstellt die notwendigen Arbeits- und Verfahrensanweisungen für den Produktionsprozess? Wer gibt diese frei? / *Who creates the necessary work and procedural instructions for the production process? Who approves these?*			
94	Wie wird sichergestellt, dass die für die jeweilige Aufgabe benötigten Dokumente in der gültigen Form vorliegen? / *How will it be guaranteed that the necessary documents are available in their valid form for every task?*			
95	Wie werden Änderungen im Produktionsprozess eingeführt? / *How will changes to the production process be implemented?*			
96	Existiert ein Verfahren zur Unterbrechung des Produktionsprozesses? Unter welchen Bedingungen wird dieses Verfahren ausgelöst? / *Is there a procedure for stopping the production process? Under which conditions will this procedure be triggered?*			

(durch AG mit "X" zu bewerten) / *(To be mar*

Lenkung von Überwachungs- und Messmitteln / *Control of monitoring and metering devices*		**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer
97	Wie erfolgt die Auswahl und Beschaffung der Prüf- und Messmittel? / *How are testing and metering devices selected and procured?*			
98	Welche Prüf- und Messmittel stehen zur Verfügung? / *Which testing and metering devices are available?*			
99	Ist die Kennzeichnung der Prüfmittel eindeutig? / *Are testing devices clearly marked?*			

100	Wie erfolgt die Überwachung der Prüf- und Messmittel? Wer legt die Kalibierintervalle für Prüf- und Messmittel fest? / *How are testing and metering devices monitored? Who defines the calibration intervals for testing and metering devices?*			
101	Wer führt Kalibrierungen und ggf. Justagen an Prüf- und Messmitteln durch? / *Who carries out calibrations on and any adjustments to testing and metering devices?*			
102	Welche Aufzeichnungen und Dokumente werden angelegt? / *Which records and documents will be used?*			
103	Sind die Wartungspläne auf dem aktuellen Stand? / *Are maintenance schedules current?*			
			0	**0**

(durch AG mit "X" zu bewerten) / *(To be mar*

Allgemeines / *General*		**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer
104	An welchen Stellen im Produktionsprozess erfolgt eine Qualitätsüberwachung? / *At which points in the production process does quality assurance take place?*			
105	Wie und durch wen werden die durchzuführenden Messungen und deren Genauigkeit festgelegt? / *How and by whom are the readings to be carried out and their accuracy determined?*			
106	Wie wird sichergestellt, dass die Messunsicherheiten einer Messung bekannt und mit der jeweiligen Messaufgabe vereinbar sind? / *How will it be guaranteed that the reading uncertainties of a reading are known and are compatible with the relevant reading task?*			

(durch AG mit "X" zu bewerten) / *(To be mar*

Überwachung und Messung / *Monitoring and metering*		**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer
107	Welche Prozessergebnisse lassen sich nicht durch anschließende Prüfungen am Produkt verifizieren? / *Which process results cannot be verified by the relevant tests on the product?*			
108	Welche Aufzeichnungen und Dokumente werden angelegt? / *Which records and documents will be used?*			
109	Wie wird sichergestellt, dass nur einwandfreie, qualitätsgerichtete Produkte an den Kunden geliefert werden? / *How will it be guaranteed that only flawless, high-quality products are delivered to the customer?*			
110	Wie erfolgt die Prüfung neuer Produkte? / *How are new products tested?*			
111	Wird die Vollständigkeit der Prüfung überwacht? / *Is the completeness of the test monitored?*			

112	Sind Justiereinrichtungen gegen Verstellen gesichert? / *Are adjusting devices secured against adjustments?*			
113	Wie werden die Produkte als geprüft gekennzeichnet? Ist der Prüfstatus jederzeit erkennbar? / *How are products marked as tested? Is the test status visible at all times?*			
114	Wie wird bei Sonderfreigaben verfahren? / *How are special approvals processed?*			

(durch AG mit "X" zu bewerten) / *(To be mar*

Überwachung und Messung (Eichung) / *Monitoring and metering (calibration)*		**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer
115	Welche Eichprüfungen werden am Automaten vorgenommen? / *Which calibration tests are performed by machines?*			
116	Wer ist für die Überwachung der Eich-Normale zuständig? Wie erfolgt die Überwachung der Eich-Normale? / *Who is responsible for monitoring calibration standards? How are calibration standards monitored?*			
117	Wie erfolgt die Aufbewahrung der Eich-Stempel? / *How are calibration seals kept safe?*			
118	Wer darf den Eich-Prüfautomaten bedienen? / *Who can operate the calibration test machines?*			
119	Wie erfolgt die Wartung/Überwachung des Eich-Prüfautomaten? / *How are the calibration test machines maintained and monitored?*			
120	Wir wird einem Ausfall des Eich-Prüfautomaten vorgebeugt? (Präventivmaßnahmen) / *How are calibration machine outages prevented? (Preventative measures)*			
121	Welche Aufgaben hat die Eichabfertigungsstelle? / *Which tasks does the calibration verification centre have?*			
122	Wie wird mit den Produkten umgegangen, die die Eichung nicht bestehen? / *What is the procedure for products that do not pass the calibration?*			

(durch AG mit "X" zu bewerten) / *(To be mar*

Lenkung fehlerhafter Produkte / *Controlling faulty products*		**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer
123	Wie wird mit Reklamationen der Kunden umgegangen? / *What is the procedure for handling customer complaints?*			
124	Wer ist für die Bearbeitung einer Reklamation zuständig? / *Who is responsible for processing a complaint?*			
125	Was passiert mit Produkten, die der Kunde nicht angenommen hat? / *What happens to products that are not accepted by the customer?*			
126	Welche Maßnahmen werden bei festgestellten Mängeln eingeleitet? / *Which measures are introduced in the event of confirmed defects?*			
127	Wer ist dafür verantwortlich? / *Who is responsible in such a situation?*			
128	Wir werden diese Maßnahmen umgesetzt? / *How are these measures implemented?*			
129	Wie hoch ist der Anteil mangelhafter Produkte? / *How high is the number of defective products?*			
130	Wie wird mit mangelhaften Produkten umgegangen? / *What is the procedure for handling defective products?*			
131	Existiert ein Sperrlager? / *Is there a quarantine store?*			

(durch AG mit "X" zu bewerten) / *(To be mar*

Datenanalyse / *Data analysis*	**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer

132	Bei welchen Prozessen werden statistische Methoden zur Beurteilung von Prozess- oder Produktparametern eingesetzt? / *In which processes will statistical methods be used to evaluate the process or product parameters?*			
133	Wie werden diese erhoben? / *How are these collected?*			
134	Wie und wo fließen die Ergebnisse in die Produktion zurück? / *How and where will the results flow back into production?*			

(durch AG mit "X" zu bewerten) / *(To be mar*

Verbesserung / *Improvement*		**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer
135	Wann und wie werden Vorbeugungsmaßnahmen ergriffen? / *When and how will preventative measures be taken?*			
136	Welche Informationsquellen werden zur Ermittlung von Vorbeugungsmaßnahmen herangezogen? / *Which information sources will be used to determine preventative measures?*			
137	Wie werden Korrekturmaßnahmen eingeleitet? / *How will corrective measures be introduced?*			
138	Wie wird die Wirksamkeit der Maßnahmen überprüft? / *How will the effectiveness of the measures be checked?*			

(durch AG mit "X" zu bewerten) / *(To be mar*

Interne Audits / *Internal audits*		**Antwort / *Answer***	Beantwortete Fragen / Questions answered	Unbeantwortete Fragen /Questions without answer
139	Wie oft und durch wen werden interne Audits durchgeführt? / *How often and by whom are internal audits carried out?*			
140	Was ist der Auslöser für interne Audits? / *How are internal audits triggered?*			

141	Exisitiert eine systematische Auditvorbereitung? / *Is there systematic preparation for audits?*			
142	Wer sind interne Auditoren? Wie sind sie qualifiziert? Wie ist die Unparteilichkeit sichergestellt? / *Who are the internal auditors? What qualifications do they have? How is impartiality ensured?*			
143	Wie werden die internen Audits dokumentiert? / *How will the internal audits be documented?*			
144	Wie wird mit Abweichungen umgegangen? / *What is the procedure for handling anomalies?*			
145	Wie ist die oberste Leitung eingebunden? / *How is senior management involved?*			

Appendix 2

to Procurement Manual – Part II, EU Procurement

Declaration of mandatory and facultative exclusion criteria within the meaning of

Sections 123 and 124 of the Act against Restraints on Competition (GWB), Section 21 of the Act on Posting of Workers (AEntG) and Section 19 of the Minimum Wage Act (MiLoG)

Appendix to the contract notice Point III.1.1):

Declaration of mandatory and facultative exclusion criteria within the meaning of

Sections 123 and 124 of the Act against Restraints on Competition (GWB), Section 21 of the Act on Posting of Workers (AEntG) and Section 19 of the Minimum Wage Act (MiLoG)

On behalf of and with the full authority of the company - i.e. the applicant, member of the bidding consortium or a subcontractor that is the subject of "borrowed capacity" within the meaning of Section 47 SektVO - (hereinafter referred to as the "company"), the questions below are answered as follows:

		yes	no
(a)	Have persons whose conduct has been attributed to the company been convicted by a final judgement owing to the violation of a regulation listed in the set of regulations below, or owing to the violation of comparable regulations in other states? Only convictions that are less than five years old (calculated from the day on which the conviction took legal effect) need to be taken into account. The conduct of a person is attributable to a company in this sense if this person was responsible for the management of the company; this includes overseeing management or otherwise exercising authority in an executive position.	O	O
(b)	Has the company been fined in a final adjudication in accordance with Section 30 of the Code of Administrative Offences (Gesetz über Ordnungswidrigkeiten) - or comparable regulations in other states - owing to the violation of a regulation listed in the set of regulations below? Only convictions that are less than five years old (calculated from the day on which the conviction took legal effect) need to be taken into account.	O	O
(c)	Has the company failed to meet its obligations to pay taxes, duties and social insurance contributions?	O	O
(d)	Has the company violated applicable obligations according to environmental, social or labour legislation during the performance of public contracts? Only incidents that date back less than three years need to be taken into account.	O	O
(e)	Do any/several of the following circumstances exist? • Insolvency of the company • Initiation of or application for insolvency proceedings over the assets of the company or similar proceedings • Rejection of the request for such proceedings to be opened on the grounds of insufficient assets • Company is in liquidation • Company activity has ceased	O	O

(f)	Has the company been guilty of grave professional misconduct which has called into question the integrity of the company? Only incidents that date back less than three years need to be taken into account.	O	O
(g)	Has the company fulfilled an essential requirement very inadequately or to a consistently inadequate standard during the performance of an earlier public contract or concession contract and has this led to premature termination, compensation or a similar legal consequence? Only incidents that date back less than three years need to be taken into account.	O	O
(h)	Has the company violated the provisions of the AEntG (Section 21) or the MiLoG (Section 19)?	O	O

If the answer to any of these questions was "yes" then further details of the violation by the company must be provided in each case on a separate page. In particular, the violation must be described in more detail and placed within the specific chronological context. The date of a conviction by a final judgement / imposition of a fine and the penalty / fine amount must be specified. Any measures taken - including any self-cleaning measures within the meaning of Section 125 GWB - must be described and substantiated in full.

The relevant statutory regulations are applied in the case of violations. This means in particular that if there are compelling grounds for exclusion within the meaning of Section 123 GWB, applicants will be excluded from the tendering process. Subcontractors that are the subject of "borrowed capacity" within the meaning of Section 47 SektVO and that demonstrate such grounds for exclusion must be replaced.

_____

Place, date

_____ _____

Company: Signature

<u>Regulations</u> <u>(Section 123 (1) GWB)</u>

- Section 129 of the Criminal Code (forming criminal organisations), Section 129a of the Criminal Code (forming terrorist organisations) or Section 129b of the Criminal Code (criminal and terrorist organisations abroad),
- Section 89c of the Criminal Code (terrorist financing) or if, owing to participation in such an act or owing to the provision or raising of funds in the knowledge of such an act, these funds are used or are intended for use, in full or in part, to commit an act according to Section 89a (2) No. 2 of the Criminal Code,
- Section 261 of the Criminal Code (money laundering; hiding unlawfully obtained financial benefits),
- Section 263 of the Criminal Code (fraud), where the criminal offence is committed against the budget of the European Union or against budgets that are administered by the European Union or on its behalf,
- Section 264 of the Criminal Code (subsidy fraud), where the criminal offence is committed against the budget of the European Union or against budgets that are administered by the European Union or on its behalf,
- Section 299 of the Criminal Code (taking and giving bribes in commercial practice),
- Section 108e of the Criminal Code (taking and giving bribes from/to elected representatives),
- Sections 333 and 334 of the Criminal Code (granting advantages and giving bribes), in each case also in connection with Section 335a of the Criminal Code (foreign and international officials),
- Section 2(2) of the Act against International Corruption (bribing foreign elected representatives in connection with international business operations) or
- Sections 232 and 233 of the Criminal Code (human trafficking) or Section 233a of the Criminal Code (assisting in human trafficking).

Kriterienkatalog − Eignungskriterien

(falls vorhanden)

1 Suitability to pursue the professional activity including requirements

Weighting: 0.00%

1.1 Register A) Participation request [required allegation]

K.O.−criteria Yes

Register A) [MINIMUM REQUIREMENT]

Signed participation request (PDF document) presenting the company and its complete group structure (including ownership)

[ ] *Keine Angabe*
[ ] Ja
[ ] Nein

Single answer eligible

1.2 Register B) Professional or trade register [required allegation]

K.O.−criteria Yes

Register B) [MINIMUM REQUIREMENT]

Current entry in the professional or trade register of the country of origin or submission of written confirmation of this.

Optional: As an alternative to the requested proof, proof of equivalent registration with Connexio/Achilles Germany is also sufficient here.

[ ] *Keine Angabe*
[ ] Ja
[ ] Nein

Single answer eligible

1.3 Register C) Evidence from the tax authority [required allegation]

K.O.−criteria Yes

Register C) [MINIMUM REQUIREMENT]

Current evidence from the tax authority of payment of taxes or equivalent written confirmation from the country of origin or provenance.

[ ] *Keine Angabe*
[ ] Ja
[ ] Nein

Single answer eligible

1.4 Register D) Evidence from the social insurance [required allegation]

K.O.−criteria Yes

Register D) [MINIMUM REQUIREMENT]

Current evidence from the social insurance agency of payment of health insurance premiums, accident insurance premiums and pension contributions or equivalent written confirmation from the country of origin or provenance.

Optional: As an alternative to the requested proof, proof of equivalent registration with Connexio/Achilles Germany is also sufficient here.

[ ] *Keine Angabe*
[ ] Ja
[ ] Nein

Single answer eligible

1.5 Register E) Current extract Register of Companies [required allegation]

K.O.−criteria Yes

Register E) [MINIMUM REQUIREMENT]

Current extract from the Register of Companies.

[ ] *Keine Angabe*
[ ] Ja
[ ] Nein

Single answer eligible

1.6 Register F) Sections 123 and 124 of GWB [required allegation]

K.O.−criteria Yes

Register F) [MINIMUM REQUIREMENT]

Declaration of mandatory and facultative exclusion criteria within the meaning of Sections 123 and 124 of the Act against Restraints on Competition (GWB), Section 21 of the Act on Posting of Workers (AEntG) and Section 19 of the Minimum Wage Act (MiLoG). The applicant should use the form available from the contact point (see Point 1.1) for the notice.

[ ] *Keine Angabe*
[ ] Ja
[ ] Nein

Single answer eligible

1.7 Register G) Vattenfall's Code of Conduct [required allegation]

K.O.−criteria Yes

Register G) [MINIMUM REQUIREMENT]

Declaration by the bidder that they have read and understood Vattenfall's Code of Conduct for Suppliers. The Code can be found under

"Our Code of Conduct for suppliers"
http:// corporate. vattenfall. de/ uber− uns/ beziehungen− zu− lieferanten/

The bidder also states that he shall provide his services in compliance with the UN Global Compact Principles and undertakes to constantly monitor that his services and those of his suppliers/subcontractors shall be provided on an ongoing basis in compliance with and with due regard to these principles. The bidder states that none of the deviations from the UN Global Compact is valid for him or one of his suppliers/subcontractors used by him for the service provision.

[ ] *Keine Angabe*
[ ] Ja
[ ] Nein

Single answer eligible

2 Economic and financial ability
Weighting: 0.00%

2.1 Register H) Statement by a commercial bank [required allegation]

K.O.−criteria Yes

Register H) [MINIMUM REQUIREMENT]

Current statement by a commercial bank of the applicant concerning the financial situation (e.g. length of commercial relationship), creditworthiness (e.g. evident overindebtedness) and solvency.

[ ] *Keine Angabe*
[ ] Ja
[ ] Nein

Single answer eligible

2.2 Register I) Current credit report [required allegation]

K.O.−criteria Yes

Register I) [MINIMUM REQUIREMENT]

Submission of a current credit report.

[ ] No selection made
[ ] Yes
[ ] No

Single answer eligible

2.3 Register J) Existence of liability insurance [required allegation]

K.O.−criteria Yes

Register J) [MINIMUM REQUIREMENT]

Proof of the existence of liability insurance with a minimum limit of indemnity of EUR 1 million for property damage and a minimum limit of indemnity of EUR 250,000 for financial loss.

[ ] No selection made
[ ] Yes
[ ] No

Single answer eligible

2.4 Register K) Company's turnover [required allegation]

K.O.−criteria Yes

Register K) [MINIMUM REQUIREMENT]

Specifying the requested comparison performance of the company's turnover in the last three full financial years, including the share of contracts completed together with other companies.

[ ] *Keine Angabe*
[ ] Ja
[ ] Nein

Single answer eligible

2.5 Register L) Confirmation to provide guarantees [required allegation]

K.O.−criteria Yes

Register L) [MINIMUM REQUIREMENT]

Confirmation to the effect that, should they be awarded the contract, the applicant is willing and able to provide guarantees

a) amounting to at least 10% of the value of the contract in the form of a contract performance guarantee

b) for all advance payments
c) amounting to at least 5% of the value of the contract in the form of a warranty bond

issued by a bank with a minimum rating of BBB (Standard & Poor's) or Baa2 (Moody's). For the purposes of the qualification check, the phrase "value of the contract" shall mean the full agreed net remuneration of the future contractor, disregarding any subsequent adjustments to such remuneration, which may arise from the performance or amendment of the contract.

If in the case of group companies the applicant wishes to refer to its parent company as proof of its financial ability, he must provide a declaration from the parent company that, if the contract is awarded, the parent company is willing and able to provide a guarantee for the entire scope of services of its subsidiary (group guarantee).

[ ] *Keine Angabe*
[ ] Ja
[ ] Nein

Single answer eligible

2.6 Register M) Financial statements [required allegation]

K.O.−criteria Yes

Register M) [MINIMUM REQUIREMENT]

Submission of the complete consolidated financial statements (or similar) including annexes, audit opinions and notes for the last 3 financial years covering the income statement (specifically EBIT), the balance sheet (specifically equity) and cash flow.

If group companies wish to rely on the financial ability of the parent company (cf. also VI.3. point 6 of this contract notice), the consolidated accounts of the parent company for the last 3 financial years must also be submitted.

[ ] *Keine Angabe*
[ ] Ja
[ ] Nein

Single answer eligible

3 Technical and professional capacity
Weighting: 0.00%

3.1 Register N) Supplier self−assessment [required allegation]

K.O.−criteria No

Register N) [MANDATORY REQUIREMENT]

Proof of the introduction and implementation through procedures of quality management, occupational health and safety and environmental management systems by means of valid certificates.
To this end, the "Supplier self−assessment" form supplied with the notice should be completed in full and signed. The document may not be older than three months after publication of the notice.

[ ] No selection made (0)
[ ] Yes (0)
[ ] No (0)

Single answer eligible

3.2 Register O) Quality management system [required allegation]

K.O.−criteria Yes

Register O) [MINIMUM REQUIREMENT]

Proof of a quality management system according to DIN EN ISO 9001 by providing a copy of the certificate. Equivalent certificates from other member states will also be recognised as proof of equivalent quality assurance measures. In the latter case, a detailed description of the quality assurance measures in place at the company is required, from which the equivalence with a quality management system in the sense of DIN EN ISO 9001 must be ascertained.

[ ] *Keine Angabe*
[ ] Ja
[ ] Nein

Single answer eligible

3.3 Register P) German language [required allegation]

K.O.−criteria Yes

Register P) [MINIMUM REQUIREMENT]

Confirmation by the applicant by self−declaration, that they are able to
a) perform the contract, including all documentation and correspondence, in German;
b) make available a technical contact person who speaks German for the whole term of the project.

[ ] *Keine Angabe*
[ ] Ja
[ ] Nein

Single answer eligible

3.4 Register Q) GSSS self−declaration [required allegation]

K.O.−criteria Yes

Register Q) [MINIMUM REQUIREMENT]

Self−declaration made by the applicant that they fully acknowledge the "General Supply and Service Specifications for the Supply of Electronic Meters, Transducers, Communication Units and Auxiliary Equipment" published with the notice (in their current form at the time

of application; hereinafter referred to as "GSSS") and that they recognise them as the foundation for the supplier contracts to be awarded. Updates to the GSSS shall take place within the framework of the verification system.

[ ] *Keine Angabe*
[ ] Ja
[ ] Nein

Single answer eligible

3.5 Register R) Self−declaration acceptance of audit [required allegation]

K.O.−criteria Yes

Register R) [MINIMUM REQUIREMENT]

Self−declaration by the bidder that, with regard to the verification system, the client, or those assigned by the client, reserves the right to assess the execution of the performance through a factory audit.

[ ] *Keine Angabe*
[ ] Ja
[ ] Nein

Single answer eligible

3.6 Register S) Production capacities [required allegation]

K.O.−criteria No

Register S) [MANDATORY REQUIREMENT]

Presentation of annual production capacities for mMe for the current year of the participation request and the following year divided into plug−in technique and three−point mounting.

[ ] No selection made (0)
[ ] Yes (0)
[ ] No (0)

Single answer eligible

4 Formal queries
Weighting: 0.00%

4.1 Confidentiality [MANDATORY REQUIREMENT] [required allegation]

K.O.−criteria No

If the confidentiality agreement contained in the attachment to the participation documents, according to VI.3 A 11, is legally binding signed and attached to your application / application documents?

[ ] No selection made (0)
[ ] Yes (0)
[ ] No (0)

Single answer eligible

5 Information on the application for participation
Weighting: 100.00%

5.1 Instructions for your application [required allegation]

Weighting: 100.00%
Maximum Score Value: 0

K.O.−criteria No

1. Please read the following instructions carefully.
The applicant must submit a formal participation request for the verification system in the German language, signed by the authorised persons and in electronic format as a PDF file via https:// root. deutsche−evergabe. de/ portal/ with a specific file name.
All proof of compliance with the conditions of participation has to be uploaded to the appropriate point (section "Eigene Anlagen") and with a descriptive filename. The corresponding filenames must begin with the company name, then designate the relevant register from the suitability criteria, and include a corresponding abbreviation for the content.
A file name length of 60 characters and a size of 20 MB cannot be exceeded. (Example: "sample applicant_Reg_A_ cover letter").

2. The application must be structured according to the numbering or designation of the suitability criteria and must contain the requested information in the respective headings.
The contracting entity reserves the right to disregard information not contained in the sections specifically provided for this purpose. References to previous tenders will not suffice for the purpose of verification.

"K.O. criteria" are minimum conditions to be fulfilled, "mandatory" must be specified.

3. Foreign applicants are arrested, comparable Third−party certificates. Their equivalency must be demonstrated. An exhaustive presentation is expected.
In this context, it should be noted that the entire application in German may alternatively be in English and therefore also the relevant evidence and attachments. If an official document or reference etc. is not available in German or English Language, a literal and certified translation of a Interpreter must be provided.

[ ] No selection made (0)
[ ] Yes (0)
[ ] No (0)

Single answer eligible

Kriterienkatalog − Leistungskriterien

(falls vorhanden)

Name	File name	Size	MIME−type
Declaration of conformity audit	Declaration of conformity audit.pdf	57.48 KB	application/pdf
Declaration of conformity German language	Declaration of conformity German language.pdf	42.79 KB	application/pdf
Extended questionnaire technical checklist	Extended questionnaire technical checklist.pdf	123.44 KB	application/pdf
Formular supplier questionnaire	Formular supplier questionnaire.pdf	102.19 KB	application/pdf
Self−declaration GWB, AEntG und MiLoG	Self−declaration GWB, AEntG und MiLoG.pdf	26.85 KB	application/pdf
2017− 07− 20_ GSSS_ Metering_ V1. 8	2017− 07− 20_ GSSS_ Metering_ V1. 8. pdf	941.45 KB	application/pdf
Declaration of conformity GSSS	Declaration of conformity GSSS.pdf	44.93 KB	application/pdf