



Supplier Quality Manual

Section B – Additional Requirements for EPC/EPF/Fabricators

CC-CCW-SC-MAN-0002

Supplier Quality Manual



Section B - Additional Requirements for EPC, EPF and Fabricators

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1 INTRODUCTION

This document is intended to be applied in addition to the requirements set in the *Supplier Quality Manual Section A – General Requirements*.

1.1 Purpose

The purpose of this document is to illustrate the additional quality criteria and requirements that Carbon Clean Solutions Limited (CCSL)'s suppliers categorized as EPC, EPF and Fabricators shall meet to fulfil CCSL contractual obligations.

1.2 Scope

The scope of this Specification covers the minimum Quality Management, Quality Assurance and Quality Control requirements to be applied during the design, manufacture, fabrication, testing, inspection and supply of equipment. The requirements herein are directed toward all providers/contractors of product and services as specified in paragraph 1,1 (in this procedure referred to as "Suppliers"). The requirements shall also be considered to any related equipment, component, package and material.

1.3 Deviations

Allowance to deviate from requirements within this document is at the sole discretion of CCSL and will have to be formally agreed in advance with the CCSL Quality Assurance Manager or his/her delegates.

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2 REFERENCES

| | |
|-----------|---|
| ISO 9001 | Quality Management Systems Requirements |
| ISO 14001 | Environmental Management Systems Requirements |
| ISO 45001 | Occupational H&S Management Systems Requirements |
| ISO 17025 | General Requirements for the competence of testing and calibration laboratories |
| ISO 10005 | Quality Management Guides for Quality Plans |

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3 TERMINOLOGY

3.1 Abbreviations

| | |
|------|--|
| API | Americal Petroleum Institute |
| ASME | Americal Society of Mechanical Engineers |
| CCSL | Carbon Clean Solutions Limited |
| CR | Concession Request |
| DR | Deviation Request |
| EPC | Engineering Procurement and Construction |
| EPF | Engineering Procurement and Fabrication |
| FAT | Factory Acceptance Test |
| IA | Issuing Authority |
| IRN | Inspection Release Note |
| ISO | International Organization for Standardization |
| ITP | Inspection and Test Plan |
| KPI | Key Performance Indicator |
| MDR | Manufacturers Deliverable requirements |
| MoM | Minutes of Meeting |
| MRB | Manufacturing Record Book |
| NCR | Non-Conformance Report |
| NDE | Non-Destructive Evaluation |
| NIB | Nominated Inspection Body |
| NDT | Non-Destructive Testing |
| PMI | Positive Material Identification |
| PIB | Purchaser Inspection Body |
| PO | Purchase Order |
| PPM | Pre-production meeting |
| QA | Quality Assurance |
| QC | Quality Control |
| QMS | Quality Management System |
| T&C | Terms and Conditions |

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3.2 Definitions

| | |
|-------------------------------------|---|
| Contractor/Supplier | Company (according to the different types and categories) that provides an article or a service. For the purpose of this procedure Supplier refers to both suppliers and contractors. |
| EPC/EPF | Supplier providing design and development, procurement and construction/fabrication services to CCSL |
| Fabricator | Supplier that: Manufactures, tests and/or processes articles to drawings, 3D models, standards and/or process specifications for which they are not design responsible. The design requirements are provided by CCSL. Remarks: - Subcontractors can procure raw materials only from approved sources, unless otherwise authorized - Forging and Casting Suppliers are typically included in this category. |
| Sub-tier Supplier /Sub-tiers | For the purpose of this procedure, Sub-Tiers are considered the Suppliers of CCSL Suppliers (this can include Tier 2 suppliers and further) |
| Packaged Equipment | An equipment assembly supplied on a skid, base frame or housing that is ready for installation, hook up and operation. |

For the purpose of this procedure:

May indicates an option that is neither mandatory nor specifically recommended

Should indicates a specific recommendation where conformance is not mandatory

Shall indicates a CCSL requirement where conformance is mandatory

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4 RESPONSIBILITIES

Requirements of “Supplier Quality Manual – Section A: General Requirements” apply.

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5 SUPPLIERS CERTIFICATIONS AND MANAGEMENT SYSTEMS

In addition to requirements already stated in “*Supplier Quality Manual – Section A: General Requirements*”, the following shall apply:

- Where the PO or Contract requires equipment or material to be in compliance with International Codes and Standards, such as ASME Stamp, PD 5500, CE, PED, etc., the Supplier shall have in place a Management and Process Control System which conforms with the requirements of the respective standard/specification.
- The Supplier shall also be responsible for co-ordination with the relevant Third Party/Certification body to provide the respective certification, code data plates, stamps and final documentation necessary to meet the code requirements
- Where applicable within the Purchase order or Contract this applies to CE, UKCE marking and PED.

5.1 Quality Management System

Requirements of “Supplier Quality Manual – Section A: General Requirements” apply.

5.2 Health, Safety and The Environment

In addition to requirements already stated in “*Supplier Quality Manual – Section A: General Requirements*”, the Supplier, when operating as a subcontractor and undertaking activities on behalf of Carbon Clean, shall report any hazards, risks and incidents promptly to the designated project manager via email.

Where relevant, the supplier might be required to provide the below documentation:

- Risk assessments and safe systems of work
- Training records
- Occupational health & safety performance in the workplace
- Material safety data sheets
- Certificates of conformity
- Calibration records
- Contractor permits
- Any other documentation deemed relevant by Carbon Clean to the activity being carried out”

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5.3 Policies Compliance

Requirements of “Supplier Quality Manual – Section A: General Requirements” apply.

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6 GENERAL REQUIREMENTS

6.1 Communication with Carbon Clean

Requirements of “Supplier Quality Manual – Section A: General Requirements” apply.

6.2 Language

Requirements of “Supplier Quality Manual – Section A: General Requirements” apply.

6.3 Right of Access

Requirements of “Supplier Quality Manual – Section A: General Requirements” apply.

6.4 Contingency Planning

Requirements of “Supplier Quality Manual – Section A: General Requirements” apply.

6.5 Sub-tier Suppliers Requirements

In addition to requirements already stated in “Supplier Quality Manual – Section A: General Requirements”, the Supplier **shall**:

- submit for CCSL review and approval a listing of proposed sub-tier suppliers and subcontractors indicating the portions of the work that the supplier intends to sub-contract, together with a justification for proposing the list.
- verify that Sub-supplier(s) comply with the latest version of ISO 9001. For critical equipment CCSL reserves the right to require a certified Sub-supplier Quality Management system.
- Upon request, provide records of sub-Supplier evaluation and approval.

CCSL may nominate sub-tier Supplier(s) in the PO/Contract, depending on the equipment and materials being purchased. Although nominated by CCSL, the Supplier shall still be deemed responsible for the performance of such sub-tier suppliers.

Sub-tier suppliers proposed for the supply of “major or critical” material or equipment **may** be subject to a formal assessment process by and CCSL, including site visits, as deemed necessary.

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6.6 Organization and Competence

In addition to requirements already stated in “*Supplier Quality Manual – Section A: General Requirements*”, where requested by CCSL, suppliers shall submit to CCSL for approval the CVs of any SENIOR QA/QC personnel (as a minimum the Quality Manager and Senior QC personnel) involved in CCSL work packages.

CCSL reserves the right to interview any QA/QC Personnel prior to giving approval to commencing a position on CCSL work.

Where requested, suppliers shall also submit for approval any specialist sub-tier supplier QA/QC resources/contracts they have in place or intend to use to support procurement, fabrication and construction activities.

6.6.1 Inspectors' Qualifications

Suppliers shall ensure that all their inspectors possess the appropriate level of qualification, which, as a minimum, shall be:

- ◆ Accredited welding Inspectors: CSWIP or equivalent.
- ◆ NDT Inspectors: CSWIP, PCN, British Gas or equivalent.
- ◆ Coating Inspectors: NACE, British Gas, ICORR or equivalent.
- ◆ Painting Inspectors: NACE, British Gas or equivalent
- ◆ Cathodic Protection: NACE or equivalent.
- ◆ Electrical Inspectors: COMPEX Certified or Company agree equivalent.

ASNT is acceptable where provided for the individuals with a backup of training records for review. Such review should be carried out at a local level at the site but could be assessed by CCSL as deemed necessary.

6.7 Control of Measuring and Testing Equipment

Requirements of “Supplier Quality Manual – Section A: General Requirements” apply.

6.8 Prevention of Counterfeit Articles

Requirements of “Supplier Quality Manual – Section A: General Requirements” apply.

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6.9 Supplier laboratories and external laboratories

Requirements of “Supplier Quality Manual – Section A: General Requirements” apply.

6.10 Supplier change management

Requirements of “Supplier Quality Manual – Section A: General Requirements” apply.

6.11 Supplier Quality Plan

In addition to requirements already stated in “Supplier Quality Manual – Section A: General Requirements”, a work scope-specific Quality Plan (QP) **shall** be prepared by the Supplier and submitted to CCSL for approval in conformance with the MDR.

The QP **shall** describe quality management processes throughout all stages of design, manufacture, fabrication, assembly, inspection, testing and final release, as well as the activities for the management of sub-tier suppliers.

Content may be based upon Contractor /Supplier standard quality system processes; however, it **shall** be specific for the PO/Contractual scope of work post award and capture general CCSL requirements specified in this document and the PO/Contractual specific requirements.

The Contractor/Supplier **shall** submit typical Examples QP’s for a similar scope from a previous Contract as part of their RFQ submissions.

6.12 Supplier measurement, analysis and improvement

Requirements of “Supplier Quality Manual – Section A: General Requirements” apply.

6.13 Manufacturing records

Requirements of “Supplier Quality Manual – Section A: General Requirements” apply.

6.14 Control of Product Information

Requirements of “Supplier Quality Manual – Section A: General Requirements” apply.

6.14.1 Manufacturing Records

Requirements of “Supplier Quality Manual – Section A: General Requirements” apply.

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6.14.2 Inspection and Testing Documentation

In addition to requirements already stated in “*Supplier Quality Manual – Section A: General Requirements*”, any CCSL Quality Requirements indicated within CCSL Engineering Specifications refer to the minimum level of surveillance and inspection activity to be performed by the Supplier for the purchased material or equipment, and form part of the Contract/PO requirements terms and conditions.

Any eventual CCSL surveillance and inspection activity **shall** be considered in addition to the standard surveillance and inspection requirements to be executed by the Supplier and **shall** not remove the Supplier from any of their quality, inspection and surveillance responsibilities.

Any exceptions and clarifications with respect to CCSL Quality Requirements at Bid/Tender Stage shall be identified by the Supplier, communicated to CCSL, and resolved prior to PO/Contract award.

Any deviations from requirements identified prior or during/after production, within contractual activities, **shall** require the Supplier to submit a Concessions Request (CR) or Deviation Request (DR) to CCSL for approval, as per par 7.6 of Section A – General Quality Requirements “management of change”.

The Contractor/Supplier **shall** submit typical Examples ITP’s for a similar scope from a previous Contract as part of their RFQ submissions.

The Contractor /Supplier **shall** develop specific Inspection and Test Plans (ITPs) post award for the work which include:

- ◆ A detailed chronological breakdown of the scope of work (from design to release);
- ◆ Acceptance criteria, specifications, codes and standards;
- ◆ Control procedures to be used to complete those specific activities;
- ◆ Record(s) produced to demonstrate conformance;
- ◆ Intervention points (i.e. hold, witness, review, surveillance points- see table below) performed for the work by Contractor ,Supplier, Sub-supplier, CCSL and Authority, when applicable;
- ◆ Reference to any Sub-supplier scope of work, where applicable.
- ◆ If required, the Supplier **shall** verify that the sub-Supplier develops and implements separate ITP(s) for applicable work;
- ◆ Provision should be made for the individual surveillance points to be ‘signed off’ by Supplier/CCSL/Authority, as required.

| CCSL ITP definitions | | |
|----------------------|------|--|
| H | Hold | Point in the chain of activities, defined in agreed documented information, that requires the approval of the CCSL or designated authority before proceeding. Written agreement required to waive this point. Formal Notification Required by Supplier |

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| R | Review | Point for determination of the suitability, adequacy or effectiveness of documented information by CCSL or designated Authority to verify conformance to agreed requirements and obligations |
| M/S | Monitor/Surveillance | Point for the periodic observation or monitoring by the CCSL or designated authority of an activity, operation, process or documented information at Supplier's or Sub-supplier's premises. No formal Notification required by Supplier |
| W | Witness | Point in the chain of activities, in which the CCSL or designated authority can witness the operation or process within an agreed timeframe after notification by supplier |

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7 SUPPLIERS PERFORMANCE

7.1 Supplier monitoring and performance review

In addition to requirements already stated in “Supplier Quality Manual – Section A: General Requirements” , a set of KPI’s will be agreed between Supplier, Contractor and CCSL.

The list below is to be considered as an indication of possible KPIs, and it should be noted that further milestone KPIs might be agreed within the Contract.

Typical Fabrication EPC and Design KPI’s

| KPI Description | AREA | TARGET/ LEVEL | ACCEPTANCE | Report Frequency |
|--|--|--|------------|------------------|
| Number Of submitted Documents Rejected | Engineering/Quality | Equal to or less than 5% | | Weekly/Monthly |
| Number of Critical reviews carried out against Planned | Engineering/Quality Hazop’s ,design reviews ,model reviews | To be agreed against Schedule, | | Monthly |
| Outstanding Hazop actions | Engineering | No Cleared in that month (to be agreed) | | Monthly |
| Outstanding Actions Tracking | All Disciplines | No actions more than 30 days old ,(without a mitigation plan) | | Monthly |
| Number of RFI/RFQ issued against Plan | EPC Procurement/ | Less than 5% Outstanding against plan | | Monthly |
| Weld repair Rates | Piping – Fabrication and Construction | Equal too or less than 5% of joints tested. Total number joint completed in the month against number of Welds rejected | | Monthly |
| | Structural Fabrication and Construction | Equal to or less than 5% of joints tested. Total linear length welded that month against linear length rejected. | | Monthly |
| NDT Backlog | Fabrication and Construction | Equal too or less than 50 joints by NDT Method | | Weekly |
| Audit Completion | All depts /Quality | Number of Audits Executed against Planned-More than 80% | | Monthly |
| Number of Punch List Items at MC | Construction .Fabrication | Less than 10 per system | | Weekly |

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Typical PO KPI'S

| KPI | AREA | TARGET/ LEVEL | ACCEPTANCE | Report Frequency |
|--|----------------------|---------------------------|------------|----------------------------|
| Number Of submitted Documents Rejected | Engineering/Quality | Equal to or less than 5% | | Weekly/Monthly |
| Number of late submitted Documents | Projects | Equal to or less than 90% | | Monthly |
| On Time Delivery, (measured against approved project schedule) | Projects/Procurement | Equal to or less than 90% | | Monthly |
| Number of Concessions/Deviations Submitted post PO placement | Quality | Less than 5 | | Weekly Monitoring |
| CCSL raised Non Conformance Close out (closed within due date) | Quality | 90% | | Monthly |
| Non-repetition of NCR Root Causes | Quality | Less than 10% | | Monthly |
| Number Data books submitted with in two weeks of dispatch of goods | Quality | Equal to or less than 90% | | Monthly <i>Description</i> |

Once Approved, Supplier **shall** review the KPIs with CCSL at agreed intervals. Upon request, Supplier **shall** develop and submit improvement plans for Approval, for KPIs not meeting agreed goals and/or demonstrating negative trends. Supplier **shall** promptly implement any corrective actions included in the improvement plans.

Regular performance reviews **shall** be held throughout the duration of the Purchase Order or Contract at a frequency agreed with Supplier and CCSL, depending on stage of work (e.g. design, build, test).

The reviews should typically cover the following:

- ◆ Supplier HSE performance
- ◆ Progress of engineering and manufacture against schedule
- ◆ Status of deliverables against Supplier Deliverable Requirements (MDR)
- ◆ Sub-Supplier activities
- ◆ Deviation Requests (to be raised/in-progress/closed)
- ◆ Nonconformance reports including internal Supplier and CCSL. issued NCRs (to be raised/in-progress/closed)
- ◆ Concession Requests (to be raised/in-progress/closed)
- ◆ Planning for key milestones on ITP
- ◆ Weld Repair Rates
- ◆ Bolted Joint failures during leak test

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7.2 Suppliers assessment

In addition to requirements already stated in “Supplier Quality Manual – Section A: General Requirements”

7.2.1 Audit Programme

Throughout all stages of the work, the Contractor shall develop an internal and external system and technical compliance audit program for CCSL review and approval. This will include as a minimum an audit of every section / discipline activity against the Contract requirements and the specific Project technical and quality specifications, plans and procedures.

To minimise impact and to better utilise resources, in general it is CCSL’s intention to take part in a number of these audit activities which will be joint Contractor Project Team audits. CCSL will identify which of those audits/reviews it will participate in when Contractor sets the Project specific audit program.

7.2.2 Audit/Assurance Review Reports

When requested, suppliers shall issue an audit Program/Schedule within 5 weeks of contract award and this will cover as a minimum the program for the first 6 months. A rolling program will be re-issued on a regular basis thereafter every 3 months.

Follow up audits shall be conducted at regular intervals on key areas in accordance with the agreed audit program.

Suppliers shall submit to CCSL for review all contract related audit and review reports within (5) working days from completion of audit. In the case of CCSL/Contractor audits then Contractor shall be responsible for preparing the final audit report and submitting it to CCSL for comment.

Copies of all audit reports and Corrective Action Requests (CARs) or/and Non Conformances shall be handed to CCSL in a timely manner. Where deficiencies are identified, follow up audits shall be required to address them and confirm close out/compliance.

Sub-tier suppliers shall have a compliance audit performed on them by the Supplier except where The Supplier can provide documented evidence of recent satisfactory audit or performance for CCSL review prior to award of purchase order / sub-contract.

Where a supplier proposes to sub-contract more than 25% of any stage of the actual Contract (i.e. design, procurement, manufacturing or construction activities) the same criteria as above shall be applied by the supplier, except that the audit shall be a joint exercise with the main supplier / sub-tier supplier.

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8 MANAGEMENT OF NON-CONFORMITIES

Requirements of “Supplier Quality Manual – Section A: General Requirements” apply.

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9 CONTINUOUS IMPROVEMENT

In addition to requirements already stated in “*Supplier Quality Manual – Section A: General Requirements*”, CCSL may implement a structured Continuous Improvement program based on learnings (CCSL OWLS Process) that have negatively impacted previous projects and specifying actions to eliminate those defects being repeated.

Supplier/Contractor **shall** work collaboratively with CCSL in the development and execution of a project specific continuous improvement program.