

## Electronic Supplier Quality Requirements

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## Electronic Supplier Quality Requirements

### 1.0 Purpose / Scope / Timing

This document outlines the quality requirements for the different stages of development of an electronics assembly produced for GE Energy Connections applications.

The scope of this document is to mandate the minimum requirements for all CMs manufacturing PCBAs for GE Energy Connections sites. Additional requirements can be defined by each GE Energy Connections site or business in the form of GE Engineering Technical Specifications or as notes on GE drawings. Product and process quality standards must at minimum meet per IPC 610 Class 2 and the requirements stated in this documentation, unless otherwise specified by site or drawing. The latest version applies, unless other specified.

#### 1.1 Responsibility

As described in Procedure.

In general, copies of all required documents must be submitted by email to the SQE by the Contract Manufacturer (CM).

All documents submitted to GE must be in English. Acceptable formats are Adobe PDF, Microsoft Excel or Microsoft Word.

#### 1.2 Compliance Date

The following timeline is expected from all organizations within scope:

- Full compliance at the time of issuance of this document for all PCBAs quoted with EC-SRC-0002 after April, 1<sup>st</sup>, 2013. GE Energy Connections site or business in the for of GE Engineering Technical Specification or as notes on GE drawings can apply requirements to PCBAs in production prior to April 1<sup>st</sup>, 2013.
- Any system or specification conflicts to reference in this document, the following order of precedence must apply:
  - Purchase Order
  - PCBA assembly drawing package
  - Latest Revision of this specification; 105X1009
  - Documented reference in this specification



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### 2.0 Procedure / Quality Record Requirements

#### 2.1 Supplier Approval

##### 2.1.1 Minimum Quality System Requirements

CM must maintain a documented quality system as specified and required in EC-SRC-0002. Other acceptable quality management systems for PCBA include ISO 13485, ISO 14001, ISO 16949, and AS 9100.

##### 2.1.2 Supplier Approval

In case of a NPI program requiring an approval of a new vendor or on current projects requiring approval of an alternate CM, the following three surveys must be conducted by GE Sourcing and/or GE SQE to assess PCBA manufacturer capabilities:

Business Survey, Electronics Technical Audit (also known as Commodity Assessment or Technical Survey) and depending on manufacturing site location (i.e. Low Cost Country), a SRG (EHS) survey.

CM must achieve a score of 80% or greater on the GE Business survey and 80% or greater on the GE Electronics Technical Audit. In case of a score lower than 80% in any survey, CM must present an action item list with corrective actions, implementation date and owner and a second survey must be scheduled by GE SQE in less than 180 days to validate corrective actions have been implemented and closed and survey score will be re-assessed.

An SRG/EHS audit will be required if CM Manufacturing Location is based in a region which requires an audit. CM must have no red flags on SRG/EHS audit to be approved as GE Supplier.

On NPI programs these surveys should be conducted by GE Energy Connections Sourcing and/or Supplier Quality personnel prior to awarding a contract.

GE Energy Connections SQE will define frequency of future audits and surveys on the Supplier Surveillance Plan for the specific GE Energy Connections manufacturing location or Commodity.

#### 2.2 Qualification of Sourced PCBA and HLA.

##### 2.2.1 Control of Process

###### a) Conformal Coating

- When Conformal Coating is required by GE Energy Connections:
  - i. When technically feasible, the preferred application method is automated spray or dispense machine, unless otherwise stated in GE drawing.



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- ii. The preferred coating should be per masking drawing or BOM or if not specified, Dow Corning 3-1953 should be used.
  - iii. PCBAs must be clean of any flux residue and meet Ionic Chromatography limitation level in GE Specification Table 1 in Section 2.4 B or as specified by GE Engineering per part drawing or per GE specific site board cleanliness specification before Conformal Coating process. If Ionic Chromatography limitation levels are higher than Table 1, then a cleaning step is recommended to meet cleanliness specification prior to conformal coating.
  - iv. Other coatings can be proposed at the beginning of the NPI program. To be considered, alternate conformal coating materials recommended must meet the following conditions:
    1. Be UL or IPC 630 approved.
    2. Have a cost advantage to preferred coating.
- b) Washing PCBA
- When GE Energy Connections does not explicitly specify use of wash process or when there are no process limitations due to solder paste/flux combination, it is preferred that PCBA are built using a process that does not require washing the final assembly. However, if after a review of the process a wash step is required, it must meet the following requirements:
    - i. De-ionized water is mandatory, Tap water is not acceptable. De-ionized water resistivity level must be greater than ten mega ohms per centimeter (>10 Mohms/cm) after recharge or regeneration.
    - ii. The equipment must be capable of continuously monitoring the wash water as well as waste water and have the capability to automatically turn off or trip alarm if cleanliness limits of the wash water or final waste water fall below four mega ohms per centimeter (>4 Mohms/cm)
    - iii. If saponifier is needed to meet the cleanliness requirement in Section 7.11, Care must be taken to specify the correct saponifier by CM. The residues that are to be removed must be analyzed and understood in order to select the correct saponifier and the appropriate concentration.



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- iv. The PCBA bill of materials (BOM) must be analyzed to ensure that components will not be damaged.
  - v. All PCBAs that have been Aqueous Washed are required to have a minimum baking time of 1 hour at 65C unless otherwise waived by GE Supplier Quality organization.
- c) Electrostatic Discharge (ESD) Protection
- CM must establish an ESD control program in accordance with ANSI/ESD S20.20.
  - An internal ESD audit schedule must be executed and corrective actions must be planned and closed in a timely manner in case of any finding.
  - ESD audits may be performed by certified ANSI/ESD S20.20 external agency, if internal audits are not performed.
  - Specific information on how to handle ESD sensitive devices is in JEDEC JESD625-A.
  - The use of gloves or finger cots is required to prevent contamination of parts and assemblies. Gloves and finger cots must be carefully chosen to maintain ESD protection. Handling with clean hands by board edges using full ESD protection is acceptable when approved by GE Energy Connections.
  - ESD protection must be worn by all persons on GE dedicated lines at CM site.
  - PCBAs must not be subjected to stress or strain beyond the limits specified in IPC-JEDEC-9704, Appendix A.
- d) Thermal Processes
- Each CM's production line and/or revised combination of solder and cleaning process must be qualified. Any change in type or modification of soldering or cleaning equipment (reflow oven, wave solder, wash, hand solder, rework, etc.) or change in materials used in these processes must require re-qualification. Because the thermal profile, amount of flux, and wash efficiency, (if washed) vary, material manufacturer's test data is not acceptable.
  - Profiles should be established for each GE PCBA to insure the flux is properly activated, components are not thermally stressed, and proper solder joint formation is achieved. The appropriate number of thermocouples or temperature labels must be applied to the top and bottom of the PCBA to insure these requirements are met. Infrared sensors could also be used.



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- Where multiple reflow ovens or wave solder machines are used in a work cell, an individual profile must be qualified on each machine.
- Changes to the PCBA design, the reflow oven, wave solder machine or processes, must require the Supplier to review the profile to insure the requirements as stated are met.
- Profiles must be archived for at a minimum of three (3) years and available for GE review upon request. The data record must define all applicable machine parameters and serial numbers, thermocouple locations, PCBA part number and revision, date, and the person performing the profile.
- All soldering materials (solder paste, wire, bars, and fluxes) must be compatible with other materials used.

e) Lot Traceability

- CM must have systems supporting lot traceability which includes SMT component lot traceability, as well as electrical testing, rework and packaging processes traceability. Each PCBA must be serialized at the start of the assembly process with a unique number label (i.e. labeled, inkjet marked or laser etched) to help trace the assembly through the entire manufacturing process. Specific requirements on identification of serial numbers must be provided by each GE Energy Connections business or site. At minimal each serial number must include a code indicating the manufacturer name and location and a date code indicating the serialization date.
- Each serial number must have the following information associated with it:
  - i. Date and time of serialization
  - ii. Manufacturer part number and date code of each component, including PCB, on the PCBA
  - iii. Each MAC address allocated to the unit (when applicable)
  - iv. Date and time of each successful product quality conformance test
- Records of each serial number and the associated information must be kept for at least three years.
- In case a top level assembly (parent) is directly sold to GE and is conformed of two or more sub-assemblies (children), information must be available to allow traceability to the sub-assemblies serial numbers.



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- In case of a CM or sub-tier supplier quality issue, CM must be able to provide the following information in less than 24 hours:
  - i. Shipments and Invoices # affected (shipping tracking numbers).
  - ii. Specific Pallets affected within affected shipments. (if applicable)
  - iii. Specific Boxes where suspect material was shipped.
  - iv. Specific Range of Serial Numbers of PCBAs affected based on specific date codes or lot numbers of suspect components.
  - v. Test historical data (at minimum ICT and FCT) of Serial Numbers affected.
- f) Component Material Handling and Purchasing
  - Per EC-SRC-0009, all components must be sourced directly from OEM or OEM Authorized Distributors. Buying from individual brokers (Spot Buy) is not allowed and a Supplier Deviation request must be submitted to GE for approval in case components are urgently needed and there is no other feasible option to obtain parts from authorized channels.
  - Material shelf life must follow active and passive component shelf life Specification (when specifically defined by GE Engineering or defined in the GE drawing) or component datasheet, whichever is less.
  - Passive and Active Components over two (2) years old and less than five (5) years old must be tested for solderability per IPC/EIA/JEDEC J-STD-002 prior to use. Any use of parts older than 5 years requires the written approval of GE.
  - Material storage conditions (recommended: Ambient temperature of 23 C +/-5C at 35% + 15%/- 15% relative humidity) must be properly controlled; incoming material must be stored/sealed in the manufacturer original package; resealed reels and open package material must follow the material floor life and moisture sensitivity level guidelines defined by J-STD-033.
  - For Last-Time-Buy (LTB) material requiring long term storage, the LTB material must be stored in proper condition (i.e. vacuum sealed moisture barrier bag) to limit the impact of material reliability and solderability.



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- In case shelf life of material has been exceeded or improper storage conditions, material must be tested for solderability according to Wetting Balance or Reflow simulation J-STD-002 test procedures and components with MSL >2 must be handled according to J-STD-033. In addition, Reliability tests (i.e. Temperature cycling, Autoclave, etc.) might be required depending on the application and GE specific requirements for the project in question.
- A written and approved deviation from GE via eSDR (Supplier Deviation Request) in ClearOrbit system should be obtained in order to process:
  - i. LTB material exceeding its shelf life.
  - ii. Sub-tier supplier ECN/EOL notifications
  - iii. Spot Buys
  - iv. Use of components or bare PCBs exceeding material shelf life.

### g) Rework and Repair Process

- Rework process must be fully compatible to guidelines on IPC 7711/7721 Rework, Repair and Modification of Electronic Assemblies.
- Rework area must have clearly marked areas for storing any WIP which is classified as non-conforming material. Material flow must be controlled to prevent any mixing of good and suspected/rejected parts.
- Full traceability is mandatory in rework area. CM must be able to trace any serial number that has been reworked, identify failure mode and have rework action stored in database as well as time and date when board was released from rework area.
- Rework equipment must follow calibration schedule.
- Operators in rework / touch-up areas must have specialized training on IPC 7711/7721 or compatible standard and must be evaluated before working in mass production. Annual internal recertification program must be conducted.
- Except for BGA, QFN and hidden solder joints, every reworked solder joint or touch-up operation must be inspected using magnification aid (i.e. Microscope) according to J-STD-001. Rework of BGA or QFN and similar packages with hidden solder joints must be inspected with X-ray equipment and Electrical test (i.e.: ICT or FCT) prior to release to next manufacturing step.





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- A supervisor or second operator must re-inspect every reworked PCBA.
- PFMEA must include all rework and touch-ups operations in the product assembly line.

### 2.2.2 Process Specific Requirement

#### a) Solder wave:

- Configuration of the measurement process
- Pallet configuration
- Location of temperature sensor
- Certificate of calibration of temperature sensor used for Profile board
- Acquisition data system
- Temperature Profile of following Key Characteristic's:
- Preheat ramp rate top & bottom PCB & comp (°C/sec)
- Preheat temperature top & bottom – PCB (°C)
- Solder contact dwell time (sec)
- Bottom side component temperature delta (preheat to solder immersion) (C°)
- Velocity of Carrier
- Solder bar configuration (composition)
- Wave configuration (lambda/chip)
- Identification of the profile board
- Storage conditions of the profile board
- X ray inspection (if applicable)
- Solder Wave Machine Reference Number
- Maintenance plan
- Solder Bath Analysis Reporting (minimum of monthly per machine)

#### b) Reflow oven:

- Configuration of the measurement process



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- Frame configuration
  - Location of temperature sensor
  - Certificate of calibration of temperature sensor
  - Acquisition data system
  - Temperature Profile of following Key Characteristic's:
    - Maximum Temperature (°C)
    - TAL (sec)
    - Temperature Ramp rates (°C/sec)
    - Liquidous temperature (°C)
    - Velocity of Carrier
  - Solder paste configuration (composition, thickness)
  - Identification of the profile board
  - Storage conditions of the profile board
  - X ray inspection (if applicable)
  - Oven Reference Machine Number
  - Maintenance plan
- c) Hand solder:
- The solder must be minimum qualified according to supplier training plan based on IPC-A-610 standard.
  - Solders dedicated to rework operations must be qualified according to IPC-7711/21.
- d) Pick & Place
- Standard PCBA as tool description
  - Standard Program
  - Pick & Place Reference Machine Number
  - Maintenance plan
- e) Coating
- Environment conditions (housing, temperature, humidity, compressed air)
  - ESD compliance



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- Cleaning Procedure and Material
  - Curing Process
  - Masking procedure
  - Varnish preparation (composition of components)
  - Varnish application with records of Key Characteristics
  - Adherence test (per manufacturing requirement)
  - Thickness measurement
- f) Bow & Twist Dimensional Inspection
- Through-hole component only PCBA: Bow and Twist must not exceed 1.5% (0.015 inch per inch) as measured on the diagonal. Measured per IPC-TM-650, Method 2.4.22.
  - SMT or Mixed Technology PCBA: Bow and Twist must not exceed 0.75% (0.0075 inch per inch) as measured on the diagonal. Measured per IPC-TM-650, Method 2.4.22.
  - Dimensional inspection according to mechanical drawing is required.
- g) Solder Paste Print Inspection
- CM must have process controls to measure solder paste area and volume applied on PCB solder pads. Techniques available, but not limited to, are:
    - i. Automatic 2D or 3D inspection on solder printing machine.
    - ii. Off-line solder paste height measurement with specialized equipment.
    - iii. In-line Automatic Optical Inspection for solder paste printing (recommended for fine pitch components, QFN and BGAs pads).
- h) Solder Joint and Component Placement Inspection
- GE Energy Connections recommends use of Automatic Optical Inspection (AOI) equipment after reflow to inspect quality of solder joints, component polarity and placement.
  - GE Energy Connections recommends use of Automatic Visual Inspection (AVI) equipment after wave to inspect quality of solder joints, component polarity and placement.



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- In case of BGAs, QFN or other package type where solder joint is hidden below component body, X-ray inspection is required. Automatic X-ray Inspection is recommended for high volume projects or very critical parts where QFNs or BGAs are present. An individual ball must not have overall void area of 25% and total component's voids must be less than 10% of covered surface area.
- The need of above equipment is based on Coverage Report analysis using the PCOLA-SOQ method.

### 2.2.3 First Piece Part Qualification

Prior to Purchase Order for First Piece Samples, GE SQE or GE Buyer will inform CM of First Piece Qualification Requirements, sample quantity and due dates. Prior to shipping Pre-Production parts, a First Piece Qualification Report must be electronically submitted via email to GE SQE for analysis and consideration of approval. At minimum, FPQ Reports require 5 samples and the following requirements to be completed:

- a) Measurement of all dimensions specified on the GE released drawings (i.e. Gerber files, bare PCB drawing, Assembly drawing, etc.).
- b) Verification that all components match the vendor and part number listed on the GE master or approved Bill of Material /Approved Vendor List (BOM/AVL).
- c) Verification that all drawing notes are in compliance
- d) Verification of the correct software revision with checksum if applicable.
- e) When requested by GE SQE, a Capability study with Gage Repeatability Reproducibility (GRR) study on Critical to Quality (CTQ) parameters as specified on the drawings.
- f) Process yield at all major manufacturing steps with Pareto of defects and applicable corrective actions.
- g) Complete and up to date manufacturing process plan (MPP)
- h) Complete and up to date product quality plan (PQP).
- i) Complete and up to date process Failure Mode Effects Analysis (PFMEA)
- j) Ionic Chromatography test results that meet the IC limits.
- k) Packaging Plan that been approved by the GE receiving site.
- l) Inspection procedures must be in accordance with IPC-A-610, Class 2 or as specified by GE site.



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- m) Any changes affecting the form, fit, function, or manufacturing process and procedures must require new first piece reports and samples to be submitted.

Refer to GE Energy Connections Supplier Quality Requirements EC-SRC-0002 for additional Qualification requirements available at the following link:

<http://www.geenergyconnections.com/supplier-quality>

### 2.2.4

CM is responsible to provide access and to support Agency Approvals (UL, CE, etc.) certifications at a certified agency lab in case they are required by GE Energy drawing.

When requested by GE Energy Connections or specified in drawing, CM must present convincing evidence (MSDS, Chemical Composition Tables or equivalent) that the CM's Process non-AVL and MRO Materials is complying with EU ROHS and/or REACH regulations. When a part requires having ROHS and/or REACH certification, a written approval in eSMS Qualification form 6.2.3A from GE Energy Connections must be granted to the CM before starting any kind of production of sellable parts.

The CM must complete and submit IPC Form IPC 1752-2, Class 1 or 5, or equivalent statement and provide a Reach Supplier Declaration Letter on their company letter head for all non-AVL and MRO Material that include but not limited to:

- n) Solder Paste
- o) Solder Bar
- p) Solder Wire
- q) Flux
- r) Adhesive/Tape
- s) Conformal Coating
- t) CM selected PCB Supplier

### 2.2.4 Subtier Suppliers Requirement

- a) Printed Circuit Boards (Bare Boards/PCB):
  - Only GE Energy Connections approved PCB suppliers may be used for circuit board assemblies.



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- Other PCB suppliers can be proposed at the beginning of the project. To be considered, alternate PCB suppliers must meet the following conditions:
    - i. Become an approved and qualified PCB supplier for GE Energy Connections.
    - ii. May have a cost advantage to other qualified vendors listed on AVL.
  - The PCB must comply with IPC-A-600 Class 2. The Qualification of PCB must comply with following requirements:
    - i. Base Material Certificate
    - ii. 100% inspection report including:
    - iii. Boards edges
    - iv. Holes and plated through holes
    - v. Printed contacts
    - vi. Thickness of metallic coating
    - vii. Holes diameters
    - viii. Bow & Twist
    - ix. Peel Strength
    - x. Electrical Test (Continuity, Insulation)
    - xi. Solder mask characteristics
    - xii. Process Flow chart
    - xiii. Control Plan
    - xiv. PFMEA if required from the dedicated check-list
    - xv. Solderability test as per IPC-J-STD-002
    - xvi. Ionic Chromatography test according to Section 2.2.11
- b) Process Consumables:
- MSDS are required for all process materials including:
    - i. Solder material, flux, adhesives, conformal coating.
    - ii. Other chemicals used in the manufacturing process.
    - iii. Flame retardants - detailed chemical composition is required for all components using Flame retardants.



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### 2.2.5 Manufacturing Process Plan (MPP)

In addition to requirements for MPP by EC-SRC-0002, MPP must contain the following information:

- a) Include detailed description of equipment including make and model.
- b) Describe equipment layout and factory arrangement. Include description of manufacturing and inspection steps. Include high level documentation number for each process step.
- c) CM is required to provide latest IPC form IPC-1720 for submission in the First Piece Qualification.

### 2.2.6 Product Quality Plan (PQP)

In addition to requirements for PQP by EC-SRC-0002, MPP must contain the following information:

- a) The following processes must be controlled using Statistical Process Control :
  - Solder Paste Height and Volume (Continuous variable)
  - Deionized Water Washing (Continuous variable)
  - PCBA Process Cleanliness (Discrete variable)

### 2.2.7 Characteristic Accountability and Verification (CAV)

- a) When requested by GE, a Gage R&R study using ANOVA method is required for critical operations (i.e. visual inspection, test, dimensional checks, etc.).
- b) When requested by GE, Capability studies are required to be performed for each Critical to Quality (CTQ) specifications.
- c) Critical Internal process (CTP) parameters can also be considered as CTQ on SPC system when requested by GE SQE.
- d) The minimum sample size for computing the capability (Cpk) must consist of 30 parts made up of 6 logical subgroups of 5 consecutively made parts each. Subgroups are selected in a way as to maximize the exposure to varying conditions.

### 2.2.8 Process Failure Mode and Effects Analysis (FMEA)

- a) CM must conduct and present a process FMEA. All high-risk FMEA items must be addressed in the Product Quality Plan.
- b) There must exist, an internal best practice document and communication process that is utilized in the PFMEA development. The process must include documentation and data which explains how the PFMEA numbers/rankings were developed. In case CM needs some guidance on how to develop PFMEA rankings, please



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contact GE SQE or use as reference the following Table of PFMEA Rankings for Electronics (PCBA) manufacturing.

- c) This process must be reviewed periodically for effectiveness and must include continuous improvement and lessons learned.
- d) All PFMEA concerns must have descriptions of current controls and recommended actions.
- e) The PFMEA is a living document and must be traceable to process changes. These documents must contain the special Product/Process characteristics agreed to and identified by the Qualification Team.
- f) The Process FMEA must reflect the entire manufacturing process from receiving through shipping.
- g) The CM must ensure all failure modes observed during pre-production runs are captured on the PFMEA.
- h) The CM must ensure failure occurrence and the detection ability of these failures, observed during pre-production runs correlate with the occurrence and detection numbers documented on the FMEA. CM may use their current RPN chart or GE Proposed RPN chart in Chart 1, for PFMEA Scoring.





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RATING	DEGREE OF SEVERITY	LIKELIHOOD OF OCCURRENCE		ABILITY TO DETECT	
1	Customer will not notice the adverse effect or it is insignificant. (No Impact on Form, Fit, or Function)	Likelihood of occurrence is remote	1 PPM	Sure that the potential failure will be found or prevented before reaching the next customer. (Defect is Obvious and can be kept from affecting the customer.)	100%
3	Customer will experience annoyance due to the slight degradation of performance. (Customer will need to conduct Rework or Sorting.)	Low failure rate without supporting documentation	100 PPM	Low likelihood that the potential failure will reach the next customer undetected. (Automated inspection built into process, such as a machine-based vision system. Or, process control monitoring is established. )	95%
5	Customer is made uncomfortable or their productivity is reduced by the continued degradation of the effect. (Customer will need to scrap parts or be subject to warranty costs)	Relatively moderate failure rate with supporting documentation	200 PPM	Moderate likelihood that the potential failure will reach the next customer. (Manual inspection built into process. This includes human-based visual inspections.)	85%
7	High degree of customer dissatisfaction due to component failure without complete loss of function. Productivity impacted by high scrap or rework levels.	Relatively high failure rate with supporting documentation	500 PPM	Poor likelihood that the potential failure will be detected or prevented before reaching the next customer. (Audit and/or Sampling Plan established.)	70%
10	Customer endangered due to the adverse effect on safe system performance without warning before failure or violation of governmental regulations	Assured of failure based on warranty data or significant DV testing	1,000 PPM	Absolute certainty that the current controls will not detect the potential failure. (Not Detectable)	< 50 %

**Chart 1: GE Default RPN Scale recommendation**

### 2.2.9 Detailed Drawing, Manufacturing, and Producability Review

In addition to requirements by EC-SRC-0002, Review must contain the following information:

- a) The CM should present a complete Design for Manufacturing (DFM) report for PCBA and PCB Layout. Specific design guidelines required in order for designs to be built in the CM factory. Specify any limitations such as PCB trace line width, maximum PCB sizes, component sizes the equipment can handle.
- b) The CM should present a complete Design for Testability (DFT) report, include Test and evaluation capabilities (i.e. number of test chambers,



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capacity, and temperature/humidity capabilities, availability of electrical testers/fixtures like ICT and/or Flying Probe and/or FCT, etc.).

### 2.2.10 Packaging and Preservation Requirements

In addition to requirements by EC-SRC-0002, the following requirements applied:

- a) A package sample must be delivered to the receiving site for approval prior to Pilot build.
- b) Packaging must adequately protect parts and satisfactorily meet Ship Test requirements per Fed Ex test as defined in Cycle II, Schedule C (FedEx).
- c) Packages should have dividers inside to separate individual PCBAs
- d) Individual PCBAs must be stored in an ESD-safe package. ESD-safe packages (i.e. Dissipative Metallized Shielding Bags/Conductive Cardboard) must have a surface resistivity value of less than  $1 \times 10^{11}$  ohms @100 volts or per GE Engineering Site Specification. When qualifying Anti-static Shielding bags type III, these must be tested according to MIL-B-81705C standard.
- e) When Pallets (set of boxes) are requested, palletizer plastic must cover 100% of the area of the pallet to avoid water damage to packages and PCBAs.
- f) Individual package weight maximum is 35 pounds or as per GE EC site requirements.
- g) Packages are to be palletized (GE preferred method) and shipped on pallets made from materials approved by the materials manager of the GE receiving site.
- h) Refer to EC-SRC-0005 – Marking Packaging Preservation and Shipping Requirements latest revision or specific GE site specific Packaging Requirements.
- i) Each package must at a minimum be labeled as specified by EC-SRC-0002.

### 2.2.11 Ionic Chromatography

Incoming PCB and CM processed board cleanliness levels must be proven to meet the specifications of Ionic Chromatography limitation in GE Specification Table 1 in Section 2.4 or as specified by GE Engineering per part drawing or per GE specific site board cleanliness specification. Ionic Chromatography test



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must be performed at a GE approved laboratory site per IPC-TM-650 2.3.28. Refer to Section 2.4 for limitation level are defined and test results analysis.

- a) Five (5) Bare Board directly from PCB supplier.
- b) Five (5) Processed PCB from PCBA CM, run through all soldering processes and after wash process if applicable without conformal coating.
- c) Whole bag extraction for Ionic Chromatography test procedure is defined per IPC-TM-650 2.3.28.
- d) Localized extraction at six (6) locations or less, as agreed upon by GE SQE, for Ionic Chromatography can be performed using the C3 tester equipment as per Foresite C3 operation manual to secure test solution. Test solution will be process per Ionic Chromatography test procedure as defined per IPC-TM-650 2.3.28.
- e) Ionic Chromatography limitation levels are defined and test results analysis is define in section 2.4.

### 2.2.12 Qualification Sign-Off

In addition to requirements by EC-SRC-0002, EC qualification team must have Electronic Quality Review signed off and released approval.

## 2.3 Supplier Performance Management

### 2.3.1 Process Capability Checks

In addition to requirements by EC-SRC-0002, the following requirements applied:

- a) For those CTQs identified on the drawings, data must be entered into SPQ/Statistica system in accordance with the sampling plan setup defined by GE SQE in the SPQ/Statistica system if available. Link to SupplierNet SPQ System is here:
  - a. <https://is-snet.ge-energy.com/SNet/Dispatcher>
- b) Internal Process CTQs (i.e. solder paste volume) at CM production line must be monitored with control charts and those can be audited and requested by GE at any given time for Engineering or Quality reviews. Control Charts must be reviewed by Process or Quality Engineer every shift and corrective actions should be taken and documented in case any SPQ/Statistica rule is violated.



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- c) Confirmed defects shall be recorded for each unit of PCBA. Each Defect Record shall include the following information, and shall be kept for at least 5 years:
- Manufacturing location
  - Manufacturing line
  - GE product identifier
  - GE product revision code
  - Unit serial number
  - Defect category according to IPC-9261 or equivalent
  - Defect description
  - Component reference designator (CRD) for component, placement, and termination defects
  - GE component part number for component, placement, and termination defects
  - Defect quantity for termination defects
- d) CM to provide a Product Defect Report and Process Yield Report shall be provided on a minimal quarterly basis of critical process steps;
- Paste Printing
  - Placement
  - Reflow
  - AOI (if applicable).
  - X-ray (if applicable)
  - Manual Insertion
  - Wave solder
  - Selective soldering
  - In-circuit Test
  - Functional Test

### 2.3.2 Cost of Failure (COF) and Recovery

In addition to requirements by EC-SRC-0002, the following requirements applied:



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- a) CM is required to maintain a rolling three month quality level of less than 1000 defective parts per million (PPM) at each GE Energy Connections production site.
- b) PPM is defined as CM responsible PCBA rejected from GE Energy Connections production lines divided by PCBA used on GE Energy Connections production line used in same time period multiplied by one

$$PPM = \frac{\# \text{ of CM responsible Rejected PCBA}}{\# \text{ of PCBA used on GE Production Line}} \times 1,000,000$$

million.

- c) GE SQE to provide CM their PPM level periodically with a maximum timeframe of quarterly per year.
- d) CM has the first six months of a new PCBA production intent volume to established PPM baseline and plan of actions to reduce rolling three month PPM to 1000 PPM within the first year of production intent volume.
- e) CM is responsible for additional screens on internal production line to reduce identify defects caused by CM at GE production line until corrective actions are implemented.
- f) For defects that CM suspects to be related to GE Energy Connections production processes or designs, CM must submit RFI in ClearOrbit system with detail of defect and impact on PPM in total and percentage defect per month for GE SQE to review. If approved by GE SQE, the GE SQE will initiate an audit finding into Gensuite or GE site approved audit tracker for Root Cause and Corrective Action tracking. GE SQE is responsible for updating CM's PPM data to reflect defects that are only attributable to CM.
- g) If CM does not show plan of actions, effective implementation of actions on CM production line and at a minimum 20% improvement year over year on PPM value, GE Energy Connections can take effective actions against CM as stated in the GE Supplier Agreement with CM.
- h) CM internal quality targets at critical process steps listed below must support the 1000 PPM GE Energy Connections target. Internal quality targets must be reviewed at a maximum every 3 months to demonstrate continuous improvement.
- Paste Printing
  - Placement
  - Reflow
  - AOI (if applicable).



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- X-ray (if applicable)
  - Manual Insertion
  - Wave solder
  - Selective soldering
  - In-circuit Test
  - Functional Test
- i) CM has the first six months of a new PCBA production intent volume to established First Pass Yield baseline of 95% for each critical process step and plan of actions to improve First Pass Yield within the first year of production intent volume to 97%.
- j) Each year, the CM and GE Energy Connections SQE will review first pass yield data and established first pass yield goal for each process for each of the GE Energy Connections Production site.

### 2.3.3 Root Cause Analysis (RCA)/Corrective Action and Preventative Action (CAPA)

In addition to requirements by EC-SRC-0002, the following requirements applied:

- a) The CM is required to have a well implemented Return Material Authorization (RMA) system in order to approve and track rejected material returns from GE Energy Connections. CM is responsible for shipping and analysis (laboratory) expenses for all rejects being returned for failure analysis on confirmed rejects. The CM must provide the return procedure for GE to follow to ensure tracking of all failures. It is important that this procedure works quickly and smoothly.
- b) The CM is required to have a defined and working failure analysis and corrective action system. Failures identified at GE manufacturing facilities will be returned to the CM for analysis and corrective action. Each failure returned to CM or agreed to have repaired must be tracked, analyzed, and have a corrective action implemented before closing the report.
- c) Failure analysis laboratory must have adequate equipment to perform:
- Autopsy Analysis Level 1: To confirm that the suspect PCBA is defective.
  - Autopsy Analysis Level 2: To confirm which component or process is causing the assembly to be defective.
- d) In case of subtier supplier quality issue, CM must send defective components to subtier supplier or 3rd party external laboratory if failure



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rate is above one percent (1%) of total failure returned in RMA shipment for:

- Autopsy Analysis Level 3: To confirm root cause of component malfunction.

### 2.3.4 Production Reliability Audit Testing (PRAT)

Production Reliability Audits (PRAT) Testing Specification requirements must be followed in cases where GE Energy Connections requests per the drawing. Test methods and detailed specifications of PRAT testing will be provided by GE Engineering team in charge of the project.

### 2.3.5 Production Cleanliness Audit Testing

Bare PCB Ionic Chromatography or C3 Test cleanliness report is required on each PCB shipment lot to CM and results archived by CM for minimum three years.

Daily cleanliness audit testing is required using Ionic Chromatography, Static ROSE (i.e.: Omegameter or Ionograph), or C3 Testing, at minimum every four hours or once per production build if less than eight hours.

Quarterly Ionic Chromatography testing is required by the PCBA CM at the GE approved laboratory site. In cases where there are multiple part families, alternate samples from varying part families each quarter, so that all part families are tested at a minimum annually with an equal number of samples each quarter. Part Families are defined as having the same GE PCB part number. If CM is currently Ionic Chromatography testing or C3 testing for daily cleanliness monitoring on a part family, quarterly auditing monitoring is not necessary.

This must be documented in the Product Quality Plan for the production of PCBA family and approved by GE Energy Connections SQE during qualification.

- a) One (1) Processed PCB per part family from PCBA CM, run through each soldering processes and after wash process if applicable without conformal coating
- b) Whole bag extraction for Ionic Chromatography test procedure is defined per IPC-TM-650 2.3.28.
- c) Localized extraction at three (3) locations or less, for Ionic Chromatography can be performed using the C3 tester equipment as per Foresite C3 operation manual to secure test solution. Test solution will be process per Ionic Chromatography test procedure as defined per IPC-TM-650 2.3.28.
- d) The static ROSE method is fully described in IPC-TM-650 2.3.25 and 2.3.25.1.



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- e) C3 test procedure is defined per Foresite operation manual at three (3) locations or less, as agreed upon by GE SQE.
- f) Ionic Chromatography, Static Rose, and C3 limitation level are defined and test results analysis is define in section 2.4.

### 2.4 Cleanliness

#### 2.4.1 Purpose

This section outlines GE Energy Connections Printed Circuit Board Assembly (PCBA) Cleanliness testing requirements, PCB/PCBA sample testing to be conducted, the data collection procedure, the method of analysis, definition of specification limits of each ion of concern and direction on action to take when levels are exceeded. In the event of conflict between the requirements of this document and the referenced applicable documents listed below, this document governs and takes precedence. This test is required when starting a new assembly line, switching to a new printed circuit board supplier, changing a PCB supplier process or materials, or moving to a new contract manufacturer. The test should be performed quarterly to ensure the CM has maintained the quality of work.

Ionic Chromatography measures the amount of ionic contamination that is present on the surface of the printed circuit board. Ionic contamination concerns GE due to the relationship between high contamination levels and failure of the printed circuit board due to electromigration. This document defines the data collection procedure, the recommend method of analysis, the specification limits of each ion of concern and finally the direction on what action to take when ionic levels exceed the specified limits.

#### 2.4.2 Approved laboratories

Foresite  
1982 S. Elizabeth St.  
Kokomo IN 46902  
(765) 457-8095  
FAX (765) 457-9033  
[www.Residues.com](http://www.Residues.com)





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### 2.4.3 Test Results Analysis

Analysis of the Ionic Chromatography report as conducted by the Qualification team and/or CM. In case the average ionic values of individual ion of tested boards exceed the max limit for a given region or whole board of the PCBA, and/or any individual ionic value exceed 1.5x the max limit of a particular ion, and/or the WOA values exceed the limits in the below table (table 1):

- If qualifying a new PCB Manufacturer or a new PCBA Contact Manufacturer or a process/material change at current CM, then the qualification is rejected. Status is rejected until corrective action is implemented and proven effective through subsequent testing.
- If during audit testing of current product, then the production lots of printed circuit boards associated with the failed board must be placed into non-conforming material. Two additional boards must be selected from affected lot and tested. If both boards pass, lot is released. If another failure is observed, CM must follow Supplier Deviation process for GE disposition.

Analysis of the C3 report as conducted by the Qualification team and/or CM. In case the individual reading is above 250uA @ 120 seconds:

- If taken during qualifying a new PCB Manufacturer or a new PCBA Contact Manufacturer or a process/material change at current CM, then the C3 sample is recommend to be sent for Ionic Chromatography testing to understand potential cause of test result. C3 testing during qualification is only recommended for the development of processes at CM.
- If during audit testing of current product, then the production lots of printed circuit boards associated with the failed board must be placed into non-conforming material. Two additional boards must be selected from affected lot and tested. If both boards pass, lot is released. If another failure is observed, CM must follow Supplier Deviation process for GE disposition and C3 sample is to be sent for Ionic Chromatography testing to understand potential cause of test results.



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### 2.4.4 Specification Limits

C3 Specification Limits: Localized extraction will be performed using the C3 tester equipment as per Foresite C3 operation manual. C3 current leakage must not exceed the normal standard reliability of 120 seconds at 250uA of leakage current.

**Table 1: Ionic Chromatography Specification Limits**

Contaminants		PCB ( $\mu\text{g}/\text{in}^2$ )	PCBA with No Wash ( $\mu\text{g}/\text{in}^2$ )	PCBA with Wash ( $\mu\text{g}/\text{in}^2$ )
Sodium	Na <sup>+</sup>	<3	<3	<3
Potassium	K <sup>+</sup>	<3	<3	<3
Calcium	Ca <sup>+2</sup>	<1	<1	<1
Magnesium	Mg <sup>+2</sup>	<0.5	<1	<1
Ammonium	NH <sub>4</sub> <sup>+</sup>	<2	<2.5	<2.5
Acetate	CH <sub>3</sub> CO O <sup>-</sup>	<2.5	<3	<3
Formate	HCOO <sup>-</sup>	<2.5	<3	<3
Bromide	Br <sup>-</sup>	<3	<6	<6
Chloride	Cl <sup>-</sup>	<2.5	<3.5	<3.5
Fluoride	F <sup>-</sup>	<0.5	<1	<1
Nitrate	NO <sub>3</sub> <sup>-</sup>	<2	<3	<3
Nitrite	NO <sub>2</sub> <sup>-</sup>	<2	<3	<3
Lithium	Li	<0.5	<1	<1
Sulfates	SO <sub>4</sub> <sup>-2</sup>	<3	<3	<3
Citrate		<0.5	<2	<2
Phosphate	PO <sub>4</sub> <sup>-3</sup>	<2	<3	<3
WOA	WOA - SMT	N/A	25	25
	WOA- WAVE	N/A	150	25



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**Table 2:** Static Rose (Omegameter) levels must not exceed the following levels:

Contaminants		Bare Board ( $\mu\text{g}/\text{in}^2$ )	Processed Board ( $\mu\text{g}/\text{in}^2$ )
Sodium Chloride	NaCl	<5	<5

### 3.0 Definitions, Acronyms and References

To improve the clarity of the requirements stated in this document, selected words, phrases and acronyms are defined below.

- ALT - Accelerated Life Test
- AVL - Approved Vendor List
- BOM - Bill of Materials
- CM - Contract Manufacturer
- DFM - Design for Manufacturing
- DFX - Design for Manufacturing and Testability Excellence
- EAU - Estimated Annual Usage
- EQ - Electronics Quality
- ESD - Electrostatic Discharge
- FPQ - First Piece Qualification
- HLA - High Level Assembly
- MPP - Manufacturing Process Plan
- NCA - Non-Conformance Assessment
- OEM - Original Equipment Manufacturer
- PCB - Printed Circuit Board
- PCBA - Printed Circuit Board Assembly
- PFMEA - Process Failure Mode Effects Actions
- PQP - Product Quality Plan
- PRAT - Product Reliability Audit Testing
- QMS - Quality Management System
- RCA - Root Cause Analysis



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- RPN - Risk Priority Number
- SPQ - Supplier Process Quality System
- SQE - Supplier Quality Engineer
- SRG - Supplier Responsibility Guidelines
- TRS - Technical, Regulatory, and Standards

Traceability – The ability to determine the history, location, application, processing conditions and/or composition of a product by means of documented recorded identification.

Record – Document stating achieved results or providing evidence of performed activities.

Audit – Independent review and examination of records and activities to assess the adequacy of system controls, to ensure compliance with established policies and operational procedures, and to identify deficiencies in controls, policies or procedures for corrective and preventive action.

Audit Criteria – Set of policies, procedures, work instruction or requirement used as a reference.

Audit Finding – Result of the evaluation of the collected audit evidence against audit criteria. Audit findings can indicate either conformance or nonconformance with audit criteria or opportunities for improvement.

Containment – Actions taken to minimize the GE Energy Connections and customer risk associated with a nonconformance. Containment actions apply to product, process or material in which the nonconformance was detected as well as similar products or product families in which the nonconformance may occur.

Continuous Improvement – Recurring activity to increase the ability to fulfill requirements. The process of establishing objectives and finding opportunities for improvement is a continuous process.

Correction – Actions to repair rework or replace the detected nonconformance, defect or other non-desirable situation.

Corrective Action – Action taken to eliminate the cause(s) of an existing nonconformance, defect or other non-desirable situation to prevent recurrence.

Procedure – Documented statement of QMS process requirements. Unlike a Work Instruction, a procedure does not state how the process must be performed.

Process – Set of interrelated activities which transform inputs into outputs.

Product – The result of a process. Whenever the term “product” occurs, it can also mean “service”, or any deliverable associated with fulfillment of a contract.



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Quality Management System – Management system to direct and control an organization with regard to quality.

Requirement – Need or expectation that is stated, generally implied or obligatory.

Root Cause – A cause of an incident, which, if it had not occurred, would have prevented the incident.

Through this document the term Contract Manufacturer (CM) and the term Supplier are used indistinctively and are considered of equivalent meaning.



GE Energy Connections  
 Quality Management System  
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References:

The most recent revision of the referenced documents applies:

<b>Test Methods</b>	
IPC-TM-650	Test Methods Manual
<b>Printed Circuit Board</b>	
IPC-A-600	Acceptability of Printed Circuit Board
<b>Acceptance</b>	
IPC-A-610	Acceptability of Electronic Assemblies
<b>Assembly</b>	
J-STD-001	Requirements for Soldered Electrical and Electronic Assemblies
IPC-7912	Calculation of DPMO and Manufacturing Indices for Printed Wiring Assemblies
IPC-9261	In-Process DPMO and Estimated Yield for PWAs
<b>Solderability</b>	
J-STD-002	Solderability Testes for Components Leads, Terminations, Lugs, Terminals and Wires
J-STD-003	Solderability Tests for Printed Boards
<b>Assembly Support</b>	
J-STD-609	Marking and Labeling of Components, PCBs and PCBAs to Identify Lead (Pb) Pb-Free and Other Attributes and Devices
IPC-7711/7721	Rework, Repair and Modification of Electronic Assemblies
<b>Flux/Solder</b>	
J-STD-004	Requirements for Soldering Fluxes
J-STD-005	Requirements for Soldering Pastes
J-STD-006	Requirements for Electronic Grad Solder Alloys and Fluxed and Non-Fluxed Solid Solders for Electronic Soldering Applications
<b>Adhesives</b>	
IPC-SM-817	General Requirements for Dielectric Surface Mounting Adhesives
IPC-CA-821	General Requirements for Thermally Conductive Adhesives
<b>Conformal Coating</b>	
IPC-CC-830	Qualification and Performance of Electronic Insulating Compound for Printed Board Assemblies
<b>Components</b>	
J-STD-020	Moisture/Reflow Sensitivity Classification of Plastic Surface Mount Devices
J-STD-033	Packaging and Handling of Moisture Sensitive Non-hermetic Solid State Surface Mount Devices
<b>Regulatory</b>	
IPC-1751	Generic Requirements for Declaration Process Management
IPC-1752	Material Declaration Management
<b>Handling</b>	
JS625-A	Requirements for Handling ESDs Devices
ANSI/ESD S20.20	Electrostatic Discharge Control Program Standard
<b>Qualification</b>	
EM-SRC-0002	Supplier Quality Requirements
EM-SRC-0005	Marking, Packaging, Preservation, and Shipping Requirements
EM-SRC-0009	Contract Manufacturer Counterfeit Part Avoidance Requirements



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### 4.0 Document Revisions and Approvals

The following chart lists the revisions made to this document tracked by version. Use this to describe the changes and additions each time this document is re-published. The description should include as many details of the changes as possible.

Records of Reviewers and Approvers may be found within the DMS (Document Management System).

Version	Section Modified and Revision Description	Date	Author
8.0	Re-Issued in EM QMS Format. Simplified. Replaces ESQR 105X1007 REV7.	11/02/2015	Danner, Charles; Holder, Tim
9.0	Updated Energy Management to Energy Connections	07/08/2016	Arianto Lawardi

Title: Electronic Supplier Quality Requirements  
Reference: 105X1009  
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