TITLE

SUPPLIER QUALITY REQUIREMENTS

1.0 SCOPE

This document defines the quality system requirements to be met by suppliers intending to provide product or services to Excelsior, Inc.

2.0 APPLICABILITY

The requirements specified herein shall apply when referenced on the Excelsior, Inc. purchase order. It is also the responsibility of the supplier to ensure that all applicable Excelsior, Inc. requirements are flowed to their sub-tier suppliers. Additional requirements per ASQR-01 are invoked, including any specific requirements listed in the note section on the associated engineering drawing, when the Excelsior, Inc. purchase order contains the statement ***"UTC member end use"***.

Note: ASQR-01 is available by contacting your applicable Excelsior Purchasing Representative.

3.0 GENERAL REQUIREMENTS

3.1 QUALITY MANAGEMENT SYSTEM

Each Excelsior, Inc. supplier is required to maintain an effective quality management system, preferably one that conforms to AS9100 "Quality Management System – Requirements for Aviation, Space and Defense Organizations". Otherwise, at a minimum, the supplier must conform to ISO 9001, unless otherwise specified in writing by Excelsior, Inc. Purchasing and/or Quality Mgr.

3.2 RIGHT OF ENTRY

Excelsior, Inc. and its customers, including government/regulatory agencies, shall have the right of entry into a supplier's facility or that of their subcontractors, suppliers and/or business partners involved in the Excelsior PO process and they have the rights to request and review all records maintained, therein.

Excelsior, Inc. understands some suppliers and/or their sub-tiers may deny access to proprietary or classified information due to the competitive sensitivity or national security regulations. If right of entry becomes appropriate to this type of supplier Excelsior, Inc. shall require the organization to provide information on which activities, programs, specifications, etc. are not accessible because of their restrictive or confidential nature.

3.3 DOCUMENTED INFORMATION

The supplier should have a process for assuring that the latest applicable drawings and/or specifications are in effect at their facility at time of purchase order receipt. Suppliers shall ensure all applicable quality requirements are flowed down to sub-tier suppliers.

3.4 RECORD RETENTION

The Supplier shall maintain adequate records of all Inspection and Tests. This information and all supporting documentation such as raw material certifications, special processing records/certifications and manufacturing records (i.e. route sheets and/or work orders) shall be retained by the Supplier in accordance with the terms of the purchase order. When the purchase order is complete, such records shall be maintained and available to the buyer on request for a period of not less than ten (10) years from the closing of the purchase order, unless stated otherwise on the purchase order.

NOTE: Documents that contain proprietary information shall be safeguarded by those efforts used, by the supplier, in the protection of its own proprietary information to prevent its disclosure to or use by third parties.

3.5 INSPECTION

Suppliers shall ensure all products provided are inspected and meet all engineering drawing dimensions, notes, specifications and purchase order requirements. All safety, critical, and key characteristics as listed on the applicable engineering drawing require 100% inspection. Inspection data shall be maintained per paragraph 3.4 and be available upon request. Excelsior requires the use of "Acceptance on Zero" sampling. "Acceptance on Zero" means that if any non-conformances are found in the sample, the lot is not accepted.

NOTE: Excelsior reserve the right for final approval and release of product at time of receipt, therefore we do not delegation acceptance authority to our suppliers or their sub-tiers.

3.6 UNBROKEN TRACEABILITY

In order to ensure traceability from the manufacturer to Excelsior, a formal C of C shall be used. If product is provided through distribution, the distributor MUST provide a C of C, as well as, a copy of all C of C's showing un-broken traceability from all intermediaries back to the original product manufacturer. However, if this is not available, a commercially acceptable packing list can be used to provide traceability, as long as, it identifies the manufacturer, distributor to whom the product was supplied, distributor purchase order number, part number, quantity and lot/batch number. Additional information, such as statement of compliance, may also be provided. If this information is not provided, is incomplete or otherwise unacceptable, the product will not be suitable for use and will be rejected.

3.7 CERTIFICATION OF COMPLIANCE (C of C)

A legible and reproducible copy of a Certificate of Compliance shall accompany each shipment, unless otherwise noted on the Excelsior, Inc. purchase order.

The certificate MUST include the following, as a minimum:

- Supplier name and address
- Part number and revision
- Material/Process description
- Serial number, if applicable
- Lot/Batch number, if not serialized
- Date of Manufacture (DOM) or cure date, if applicable
- Signature and title of authorized representative
- Date signed

The certificate of conformance shall also contain a statement that all inspection and tests have been performed as required by drawing, specification and/or purchase order or equivalent. Blanket statements of conformance are unacceptable, as are statements of belief rather than fact.

3.8 NONCONFORMING PRODUCT

The supplier shall establish and maintain a system to ensure that product that does not conform to specified requirements is prevented from unintended use or installation. This control shall provide for identification, documentation, evaluation, segregation (when practical), disposition of nonconforming product, and for notification to the functions concerned.

3.9 CORRECTIVE ACTION

Excelsior, Inc. issues a Corrective Action Request (CAR) to a supplier when non-conforming parts are found at incoming inspection, in production, in test, or by an Excelsior, Inc. customer. They can also be issued as a result of supplier performance. The supplier is required to respond by returning the CAR back to Excelsior, Inc. within the due date. The following provides a brief outline of the CAR procedure that suppliers to Excelsior, Inc. should comply with:

- Excelsior, Inc. requires that the supplier take immediate containment action upon notification of the nonconformance, this should be within 24 hours of notification.
- Within 30 days after the original notification, the supplier must report the cause of the problem, the corrective action to be taken to prevent recurrence of the problem, and the effectivity date (the date the corrective action will be implemented).

NOTE: Actions such as, “human error”, “operator re-trained”, “operator disciplined”, or “inspection increased”, are typically not acceptable corrective actions.

If Excelsior, Inc. receives no response by the due date of the corrective action, the supplier will be put on probationary status and will receive no new purchase orders until the corrective action has been received and accepted.

3.10 SPECIAL REQUIREMENTS

a) The supplier ensures that persons/employees are aware of their contribution to product conformity, safety and the importance of ethical behavior.

b) The supplier shall ensure that no conflict minerals (tin, tantalum, tungsten or gold) have been sourced from restricted regions (Democratic Republic of Congo or adjacent regions) as defined by the Dodd-Frank Act Wall Street Reform and Consumers Protection Act, section 1502.

c) The supplier shall comply with California's Office of Environmental Health Hazard Assessment (OEHHA) right-to-know law "Safe Drinking Water and Toxic Enforcement Act of 1986", also known as "Proposition 65" warning requirements.

d) The supplier ensures no counterfeit parts or counterfeit material is shipped per AS5553, AS6174 or at a minimum AS9100D, section 8.1.4.

e) If you plan to change facility locations or outsource the work, you MUST inform the responsible Excelsior Purchasing Representative in writing.

REVISION RECORD

Date	***Description of Change***	***Approval Signature***
5/16/17	Reworded section 3.1 “Quality Management System”	On file
2/1/19	Document number changed, was formally PQA-001. Completely reformatted, rearranged and some sections deleted or rewritten	On file
10/3/19	Added 2nd sentence in section 2.0, revised “Note” in section 3.5 and added e) to section 3.10	

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