

The Purpose of this document is to define specific quality requirements that may be applied to any Alpha Q, Inc. Purchase Order for subcontracted Materials, Special Processes, Parts, or Components which will be utilized ultimately against open customer orders.

This document supersedes former Quality Requirement publication QSF4.06.2.03 previously issued and shall be used wherever existing contracts remain referencing the old document as of the date of issue.

The clauses referenced below will be referenced in the body text of Alpha Q, Inc.'s purchase orders for Services and products procured with direct impact on product compliance and applied as contractual requirements appropriately as referenced.

The content of this document is the responsibility of the Quality Assurance Department at Alpha Q, Inc., and application of applicable clauses on each purchase order or purchase order line item will be performed as part of the contract review process either by maintenance of an approved database or by individual contract review.

Exceptions to the requirements of this document as referenced on the Purchase Order must be expressed at the time of contract acceptance and prior to start of processing. Any exceptions agreed upon shall be noted as exceptions in PO Amendment form. Initiation of processing of product against a Alpha Q Inc. Purchase Order constitutes acceptance of all requirements as noted.

Failure to comply with any Quality Requirement (or part thereof) referenced on the Alpha Q purchase order is cause for rejection and will delay receipt of the parts into the Alpha Q system and/or result in return of product to the supplier. Contracting of Processes to a specification or of a part number, complete to drawing, imply that all applicable referenced specifications for processing associated with the referenced document are to be complied with.

Key (Designate which supplier type applies to clause)- AQ = Alpha Q, P = Process, C = Casting, D= Detail, Dist = Distributor, RM = Raw Material

Quality Requirement Clauses:

- 001 P, C, D, Dist** Certificate of Compliance required with each shipment to include at a minimum:
- Alpha Q, Inc. Purchase Order number and Line Item
 - Quantity, Part Number, & Revision
 - Part Number and revision of any details, components, etc. used in execution of the work scope
 - Applicable Specifications with Revisions (inclusive of amendments, sections, grades etc.) as appropriate to product or service procured
 - List any applicable approved deviations/concessions/variations against product in shipment (include a copy of approved deviations with shipment)
 - Supplier Lot or Batch number
 - Serial numbers (if applicable)
 - Statement of compliance to Drawing and PO requirement and approval signature.
 - Any other specific requirements from other required Quality Clauses***
- 002 P** Copies of all material and/or special process certifications as applicable to the contracted Item shall be provided with each shipment
- 003 P, C, D, Dist** Suppliers must provide for right of access by representatives of Alpha Q, Inc., its customers, and/ or regulatory agencies to all facilities, materials, and records associated with this contract upon request.
- 004 P, C, D, Dist** Flow-down of Executive Order 13224: All suppliers will adhere to the direction provided in Executive Order (EO) 13224. Executive order on terrorist financing – blocking property and prohibiting

transactions with persons who commit, threaten, or support terrorism, effective 9-24-2001; and any subsequent changes made to it. Suppliers further agree to include this requirement in lower-tier purchase orders or subcontracts. A Statement of Compliance **MUST** appear on your CofC

- 005 P, C, D** The supplier **MUST** advise Alpha Q, Inc. of any changes to material, part design, or processes used to manufacture or inspect contracted items which may impact the fit, form, or function of the item prior to shipment of any Item against this contract. This requirement includes the need for notification to Alpha Q with regards to non-conforming Product or suspect condition present on the product prior to shipment of said product. Any product shipped to Alpha Q shall be clearly identified as discrepant or suspect and segregated from conforming product so as to minimize the opportunity for confusion with “acceptable” product.
- 006 P, C, D, Dist** Suppliers must maintain systems compliant with requirements of AS9100 (latest revision), NADCAP, or other certifying bodies as applicable to the processes being performed under this contract.
- 007 C, DDFAR 252.225-7014** “Preference for Domestic Specialty Metals” applies to this contract and must be flowed down to any sub-tier supplier utilized during processing. A Statement of Compliance **MUST** appear on your CofC.
- 008 C, D** A First Article Inspection Record to be provided with initial shipment against this order in AS9102 format (latest revision).
- 009 P, C, D** A copy of the supplier’s Inspection records are be provided with each shipment
- 010 C, D** First Piece Inspection at the Supplier Facility required prior to shipment of first lot against this order. Please contact Alpha Q Quality Assurance to schedule.
- 011 C, D** P&WC MCS Controlled Product/Process. Parts are for Pratt & Whitney Canada end use. Supplier must be approved for MCS control per the requirements of MCL-Manual FC-17 (material & Process control) and/or FC-23 (Lab Testing) as applicable to the product or process procured and control its sources as required by P&WC MTE&Q. Lab Testing or special processes not performed on site at the supplier’s facility must be procured from P&WC approved sources and MCS requirements **MUST** be part of any contracts issued. *Note: P&W LCS requirements are sufficient to meet the requirements of P&WC MCS. Compliance per requirements of P&W LCS-Manual F-17 or F-23 may be substituted.*
- a. Certification of compliance **MUST** include:
 - i. P&WC-Canada Vendor Code
 - ii. Statement of compliance “Parts have been controlled to requirements of P&WC MCS-Manual FC-17” (FC-23) or comparable statement must be present
- 012 C, D** P&WC Laboratory Testing - Parts are for Pratt & Whitney Canada end use. All product & testing executed to this purchase order must comply with the requirements of FC-23 and supplier must be an approved lab source for P&WC. (Note: Compliance to F-23 per P&W LCS Manual requirements are acceptable to substitute.) Certification must contain a statement of compliance to MTE&Q MCS Manual section FC-23 and P&WC Vendor code, statement “Parts are for P&WC end use” or comparable statement, along with detail testing results per reference specifications. Test specimens may be either material slug or from a part scrapped for a reason which is not detrimental to the testing process. Residual test specimens are to be returned to Alpha Q, Inc. to be retained in the event that correlation testing is necessary.
- 013 P, C, D** Flight Safety Part – Sikorsky End Use – Parts associated with this contract are designated “Flight Safety Parts” which may contain critical characteristics and must be handled in compliance with Sikorsky specification SS9211 and ASQR 09.1. Suppliers performing operations which affect “Critical Characteristics” shall submit a frozen process plan to Alpha Q with the associated inspection plans for submission through frozen planning. Special Processes or Testing identified as “Critical Characteristic” may require direct submission to Sikorsky Flight Safety Review from the supplier, in this instance; the supplier

shall provide evidence of Sikorsky Flight Safety approval prior to processing or prior to any change to an approved process being put into use. No Changes to Frozen processes may be initiated without notification and approval/concurrence from Alpha Q engineering and quality. 100% inspection is required on Critical Characteristics. If the execution of this contract includes Flight Safety Characteristics, a SA5193 **MUST** be completed by the subcontractor and included with each shipment.

- a. The Certification of Compliance **MUST** include:
 - i. The statement "Flight Safety Part" and (if applicable) "Contains Critical Characteristic"
 - ii. The Frozen process number and revision (As applicable)

014 P, C, D Flight Safety Part – US Government direct procurement - Parts associated with this contract are designated "Flight Safety Parts" which contain critical characteristics and must be handled in compliance with specification QE-STD-1 (Inclusive of Record Retention requirements). Suppliers performing operations or processes which affect "Critical Characteristics" or that contain "Critical Characteristics", shall submit a frozen process plan to Alpha Q with the associated inspection plans for submission to the end customer. Upon Frozen Planning approval, no changes to frozen processes may be initiated without notification and approval/concurrence from Alpha Q engineering and quality. 100% inspection is required on Critical Characteristics. Frozen planning requirement must be flowed down to sub-tier sources utilized by the supplier

- a. The Certification of Compliance **MUST** include:
 - i. The statement "Flight Safety Part"
 - ii. The Frozen process number and revision (As applicable)

015 C, D Government Source Inspection (GSI) is required on this contract. GSI shall be performed at the supplier's facility prior to release of any shipment to Alpha Q. Evidence of GSI approval shall appear on the shipper, the CofC, or a copy of the internal inspection record for the product being released. No shipment will be accepted without evidence of GSI being present in the shipper document package sent with the parts.

016 C, D Government Direct Contract General Requirements – GSI required at each operation on initial Run of any part. Requirements of FAR 52.246-2, Inspection of Supplies, apply to this contract and must be flowed down to any sub-tier utilized by the supplier along with all specific government contract requirements. In the event that a supplier utilizes further sub-tier subcontractors, the supplier is responsible for flow-down of all customer requirements. CofC **MUST** include the applicable Government contract number as flowed down by Alpha-Q, Inc.

017 P, C, D Honeywell general procurement requirements – all suppliers will comply with SPOC 002 requirements for supplier's without design authority (inclusive of Record Retention requirements). Additionally, NDT Suppliers **MUST** Comply with SPOC 165. Certification and Training on Nondestructive Personnel. In the event that a supplier utilizes further sub-tier subcontractors, the supplier is responsible for flow-down of all customer requirements. All Suppliers must utilize sources approved by Honeywell as noted in the latest revision of Honeywell APSL at time of contracting. CofC **MUST** include the statement "Parts are for Honeywell End Use" Certification must clearly state conformance to all specifications in their entirety including type, class, grade, and material hardness (for heat treat processes) exactly as described from the drawing or process sheet.

018 C, D Sikorsky General Procurement Requirements – Suppliers shall comply to the latest requirements of SSQR-01 (inclusive of Record Retention requirements). In the event that a supplier utilizes further sub-tier subcontractors, the supplier is responsible for flow-down of all customer requirements. All Suppliers must utilize sources approved by Sikorsky per the latest Approved Source listing. CofC **MUST** contain the statement "Parts are for Sikorsky End Use". With exception of raw material certifications, **Original Certifications** (multi-page "carbon copies" from original certs are acceptable, NO photocopies) for components and processes are required with each shipment for Sikorsky end use product.

- 019 C, D** Pratt & Whitney – Canada General Requirements – shall comply to the latest requirements of ASQR-01 (inclusive of Record Retention requirements). CofC **MUST** contain the statement “Parts are for Pratt & Whitney Canada End Use”. In the event that a supplier utilizes further sub-tier subcontractors, the supplier is responsible for flow-down of all customer requirements. All Suppliers must utilize sources approved by P&WC as noted in the latest revision of P&WC Approved Source listings.
- 020 P** The process for this operation is a fixed process per Rolls Royce Specification # RRES 90000. Suppliers performing this process must comply with the requirements of RRES 90000. These requirements may be obtained on the RR Global Supplier Portal (<https://suppliers.rolls-royce.com/GSPWeb>) or contact Alpha Q for a copy. Suppliers must submit to Alpha Q documented process instructions for submittal to Rolls Royce for approval. All subsequent changes to the process must be handled w/in the guidelines of RRES 90000. The process instructions must be identified with a Fixed Process number and special notations for EC and MEC operations. Contact Alpha Q for detailed instructions. Certification of Compliance **MUST** reference the fixed planning number and revision.
- 021 P, C, D, Dist** Rolls Royce Corp. general procurement requirements - Suppliers shall comply to the latest requirements of SABRe document (inclusive of record retention periods) available on the RR Global Supplier portal (<https://suppliers.rolls-royce.com/GSPWeb>). The Certification of Compliance **MUST** contain the statement “Parts are for Rolls Royce Corporation end use” or comparable statement. In the event that a supplier utilizes further sub-tier subcontractors, the supplier is responsible for flow-down of all customer requirements. All Suppliers must utilize sources approved by Rolls Royce with the exception of raw material or standard components.
- 022 P, C, D** Vericor Power Systems General Procurement requirements. Supplier shall comply with the current issue of QA-0001 (VQPD Manual) during the Manufacturing or Processing of these parts. Certificate of Compliance shall state “Parts are for Vericor Power Systems End Use” or comparable statement. In the event that a supplier utilizes further sub-tier subcontractors, the supplier is responsible for flow-down of all customer requirements. Only Sources Approved by Vericor Power Systems are to be used in execution of this order.
- 023 P** Vericor Power Systems Frozen Planning requirements per VQPD104 apply to this contract and processes. The Attached MFF form(s) must be completed and submitted with appropriate documentation to VPS for Approval prior to shipment of product against this order. Once approved any revision must subsequently be submitted and approved prior to shipment of product. A copy of the Approved MFF Form must be kept on file at AQI and the Supplier of origin. Planning may be submitted through Alpha Q Quality Assurance or direct to VPS.
- 024 P, C, D, Dist** Pratt & Whitney America– APU General Requirements – shall comply to the latest requirements of ASQR-01 (inclusive of Record Retention requirements). See ASQR-01 to identify supplier type and applicable document sections. CofC **MUST** contain the statement “Parts are for Pratt & Whitney End Use”. In the event that a supplier utilizes further sub-tier subcontractors, the supplier is responsible for flow-down of all customer requirements. All Suppliers must utilize special process or material sources approved by P&W as noted in the latest revision of P&W APU Source Qualification List (SQL).
- 025 Dist, RM** Pratt & Whitney America– APU Requirements per PW-QA-6102– Metallic Raw Materials require original mill certification or copy of original Mill certification traceable to raw material lot or bath numbers. Converted billet/ingot by a distributor not allowed.
- 026 D, AQ** Pratt & Whitney America– APU Requirements per PW-QA-6102 – Testing Requirements, Metallic Raw Materials – Wrought materials (e.g., bar stock, plate, sheet, extrusions, tubes, etc.) shall have laboratory analysis on the first receipt and shall be performed once per year, per supplier/raw material distributor thereafter. This testing shall be performed on any one alloy, regardless of alloy type. The

laboratory analysis report shall contain semi-quantitative spectrographic analysis for elements specified maximum and or/ minimum amounts. In addition, maximum composite levels of impurity elements as allowed by material specification shall be in shown in the report.

- 027** **D, AQ** Pratt & Whitney America– APU Requirements per PW-QA-6102– Material Testing, when required, the use of any commercial materials testing laboratory (metallic or non-metallic) shall be performed by an approved facility as listed in the APU Source Qualification List (Appendix B or C). In addition, this facility shall maintain current accreditation certificate deemed appropriate by P&W (i.e., Nadcap, A2LA, ILAC or P&W approval).
- 028** **Dist** Pratt & Whitney America– APU Requirements per PW-QA-6102– Distributor Responsibilities– If a distributor does not have franchised/approved/authorized status for the specified part, the distributor must adhere to the Trusted/Approved Independent Distributor section of PW-QA-6102. Unbroken full chain of custody traceability must be maintained per the record retention policy of ASQR-01.
- 029** **D** Pratt & Whitney America– APU Requirements per PW-QA-6103– Full FAI is required on detail parts from non QSL suppliers. If a supplier is on the QSL, an inspection record is acceptable for AS9102 Form 1 column 18, but a FAI must still be kept on file for review upon P&W's discretion.
- 030** **P, C, D** Pratt & Whitney America– APU Requirements per PW-QA-6088– Subcontractors' facilities, contracted products, procedures and records shall be made available to P&W and as required, P&W's customers. P&W shall have the option to conduct post-award and periodic audits/surveys of all suppliers and their subcontractors' MRB systems to ensure continued compliance to quality system and product specifications.
- 031** **C, D** Pratt & Whitney America– APU Requirements per ASQR-01 section 4.3.4 requiring compliance to UTCQR-09.1 section 3.1.1 and 3.1.2. This requires members of the supply chain to be compliant with AS13004 and AS13006.
- 032** **P** As applicable to AESQ, Engine Manufacturing Suppliers, one of three possible statements must appear on the C of C. All tests and inspections have been performed and results meet requirements, All tests and inspections and have been performed and meet requirements except____, All tests and inspection have been performed meet requirements except _____ which was not performed. This is per section 8.4.2.3 of AS13100.
- 033** **P, C, D** As applicable to AESQ, Engine Manufacturing Suppliers, the supplier organization shall have proper QMS Certification, FOD Prevention, Counterfeit Part Prevention and reporting, QMS Change Reporting, Risk Analysis and Mitigation per section 8.4.2.1 of AS13100.
- 034** **P, C, D** As applicable to AESQ, Engine Manufacturing Suppliers, the supplier organization shall allow Alpha Q to review the Supplier's internal Audits and the supplier shall follow AESQ RM13005 Quality Audit Requirements per section 8.4.2.5 of AS13100.
- 035** **P, C, D** As applicable to AESQ, Engine Manufacturing Suppliers, the supplier organization shall follow AESQ RM13007 Sub-Tier Management per section 8.4.3.1 of AS13100.
- 036** **P** Raytheon Quality Note B6-7 requires that Alpha Q flow down any one or more of the following as incorporated in the purchase order- Drawings/Specifications, Statement of Work, Terms and Conditions, Quality Notes, Purchase Order Line Item, DD Form 254, DPAS rating. Also, Alpha Q must monitor sub-tier performance including notification to Raytheon of any Government Corrective Action Requests (GCAR).
- 037** **C** Please confirm that all operations have been completed and that all quality, inspection, marking and packaging requirements have been met. Please provide 2 copies of Packing Slip and C of C with DQR

Stamp with each shipment. Please reference SCOP DQR below as applicable to your product and processes.

Pratt & Whitney America– APU Requirements per SCOP DQR. DQR at second-tier supplier shall; 1) Review the adequacy of inspection instructions for operations, tests or processes performed. 2) Review the first-tier's acceptance (e.g., detail symbol, COC), if applicable. 3) Ensure compliance to P&W -U.S. SA/PO packaging requirements (e.g., POP -1614 etc.) 4) Apply an inspection symbol, if necessary, to parts and packing slips (or other transfer documents) as required by this document for shipment to P&W -U.S. 5) Ensure packing slips and certifications are forwarded with the shipment to P&W -U.S. designated source with copies to; P&W -U.S. Procurement organization that issued the original P&W -U.S. SA/PO, if applicable. The supplier who holds the P&W -U.S. SA/PO.

- 038 P, C, D, RM** Sikorsky General Procurement Requirements – Suppliers shall comply to the latest requirements of Procure-2-011 (inclusive of Record Retention requirements). In the event that a supplier utilizes further sub-tier subcontractors, the supplier is responsible for flow-down of all customer requirements. All Suppliers must utilize sources approved by Sikorsky per the latest Approved Source listing. CofC **MUST** contain the statement “Parts are for Sikorsky End Use”. With exception of raw material certifications, **Original Certifications** (multi-page “carbon copies” from original certs are acceptable, NO photocopies) for components and processes are required with each shipment for Sikorsky end use product.

Revision	Date	Section	Paragraph	Summary of change	Authorized by
A	04/19/2013	All	All	Supersedes QSF4.06.2.03. Renumbered/reformatted for new AQI DC System, Clarified record retention requirements in customer general requirements in clauses 014, 017, 018, 019, & 021	EPS-QM
B	6/18/2013	As noted	022,023	Added Vericor Power Systems Quality Requirements (Para 022, 023)	EPS-QM
C	4/19/19	Clause 017	017	Added additional specification requirements type, class, grade, material hardness, etc added	BG-QM
D	7/29/2020	Clause 024-030	024-030	Created these clauses for PWA requirements for new APU work	BG-QM
E	4/28/2021	Clause 031	031	Added AS13004 & AS13006 Flow-down from PWA	BG-QM
F	10/3/2022	Clause 032-035	032-035	Added AS13100 Supplemental Requirements	BG-QM

		Clause 018	018	ASQR-01 became SSQR-01	
		Clause 036	036	Raytheon requirements added	
G	6/7/2023	Clauses 037, 038	037, 038	Added additional PWA requirement 037 Procure-2-011 on new Sikorsky orders and flow downs 038	BG-QM
H	8/18/2023	All	All Clauses	Added Key for Supplier Type Codes	BG-QM