

# **EP-QC-1159**

## **Supplier's General Requirements**

### **Revision AJ**

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**EaglePicher Technologies, LLC**

**Revision Page**

Revision Symbol	Description	Date
A	References to EP-QC-1151 Deleted	3/16/70
B	Paragraph 3.7, Page 3, Rewritten	9/13/71
C	Paragraph 3.9.3 & 3.9.4, Added last sentence	5/25/77
D	Add Paragraph to 3.14; and Add Paragraph 3.19	5/24/79
E	Added last sentence to Paragraph 3.12	10/1/82
F	Paragraph 1.3.2, Added last sentence	9/10/87
G	Added Paragraph 1.3.4. Revised Paragraph 3.15.2	7/23/92
H	Added Paragraph 3.20	6/4/93
J	Added ** to paragraph 3.9.2	9/16/93
K	Revised per EO 64940	9/28/01
L	Revised per E.O. 67885.	03/19/03
M	Revised per E.O. 68514	08/04/03
N	Revised per E.O. 71832	11/04/04
P	Revised per E.O. 73087	11/15/05
R	Revised per E.O. 75239	4/20/06
T	Revised per E.C.O. 80412	1/3/07
U	Revised per E.C.O. 80679	4/6/07
V	Revised per E.C.O. 81608	3/25/09
W	Revised per ECR 1870	11/25/09
Y	Revised per ECR 2690	3/4/09
AA	Revised per ECR 3864	11/17/10
AB	Revised per ECR 4609	7/5/11
AC	Revised per ECR 5374	3/5/12
AD	Revised per ECR 8708	4/8/13
AE	Revised per ECR 9942	10/2/13
AF	Revised per ECR 13322	4/27/15
AG	Revised per ECR 17514	6/1/16
AH	Revised per ECR 20019	05/09/17
AJ	Revised per ECR 22147	03/16/18

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## 1.0 **SCOPE**

This document defines EaglePicher Technologies (EPT) supplier's requirements to plan and control parts, materials, and services in order to assure that all specifications and contractual requirements are met.

## 2.0 **SUPPLIER LEVELS**

Supplier levels are assigned to each EPT supplier based on the level of critically of products supplied. See below table for supplier levels.

<b>LEVEL 1</b>	<b>LEVEL 2</b>	<b>LEVEL 3</b>
<i>Suppliers providing Special Processes or Critical Items for parts, materials, or services utilized in product related items.</i>	<i>Suppliers providing parts, materials, or services not classified Level 1, but are utilized in product related items.</i>	<i>Suppliers providing non-product related materials and supplies.</i>
Include, but are not limited to: 1. Fasteners (Screws, Nuts, Bolts, Washers, etc.) with Special Processes. 2. Headers (Glass-to-Metal Seals) 3. Containers / Cell Cases 4. Chemical Processing 5. Welding 6. Soldering 7. Nondestructive Testing 8. Plating 9. Heat Treating 10. Sole Source Suppliers 11. Electronic Components 12. OEM / OEM-Authorized / Franchised distributor of Electronic Component Parts.	Include, but are not limited to: 1. Machined Products 2. Molded Products 3. Raw Materials (Metals, Chemicals, Powders, etc.). 4. COTS Fasteners (Screws, Nuts, Bolts, Washers, etc.) 5. Solder and Flux 6. Labels 7. Shrink Tubing 8. Wire 9. Potting & Adhesive Material 10. Insulating & Separating Components 11. Electrodes 12. Tubing 13. COTS items 14. Machined tooling, acceptance gages and/or dies used to control product (form, fit or function) related items. 15. Calibration Service Providers. 16. Testing Service providers other than Nondestructive Testing.	Include, but not limited to: 1. Janitorial Supplies 2. Office Supplies 3. Computer/Copier Supplies 4. Gloves 5. Cotton Wadding/Balls 6. Packaging 7. Cardboard Boxes 8. All machining/metal fabricated items other than those listed for Level 1 or Level 2. (Non-Product Related).

### **3.0 SUPPLIER QUALITY ASSURANCE REQUIREMENTS**

Suppliers shall maintain at a minimum, a documented Quality Management System that meets the requirements herein.

In addition to the below quality system requirements, any Supplier providing Level 1 products / services per section 2 shall maintain a quality system certified to ISO 9001. Registration with or certification by an independent third party certification or registrar is required, evidence of such registration or certification to this quality standard shall be provided to EPT upon request.

In addition to the below quality system requirements, any Supplier performing calibration services shall maintain a quality system certified to ISO 17025. Registration with or certification by an independent third party certification or registrar is required, evidence of such registration or certification to this quality standard shall be provided to EPT upon request. However, if providing calibration services as the manufacture, the Supplier shall only meet the quality requirements listed below.

#### **3.1 Contract Review**

Supplier shall review all requirements related to the product which includes all flow down requirements prior to accepting any EPT purchase order to ensure the Supplier has the ability to meet the requirements.

Records of contract reviews shall be maintained.

### **3.2     Supplier Management**

Supplier's purchasing process shall provide for the flow down of EPT technical and quality requirements to their suppliers.

Supplier shall verify that purchased product meets specified drawing and purchase order requirements.

Supplier shall have a system to select, evaluate and re-evaluate their suppliers.

Supplier shall maintain an approved supplier list.

### **3.3     Control of Documents & Records**

Supplier shall ensure applicable drawings, specifications, procedures, and instructions to support EPT purchase orders are used and controlled for procurement, fabrication, inspection, and acceptance. Supplier shall ensure obsolete documents are promptly withdrawn from use.

Supplier shall establish and maintain records to provide evidence of conformity to purchase order requirements. Records shall remain legible, readily identifiable, and retrievable. EPT shall be provided records upon request. These records shall be retained for a minimum of 7 years or as required by the purchase order. Prior to any destruction of EPT records, EPT shall be notified for the disposition of those records to be destroyed.

### **3.4     Control of Non-Conforming Product**

Supplier shall identify, segregate, and disposition articles that do not conform to purchase order requirements. Supplier shall provide prompt notification to EPT if nonconforming product is identified after shipment to EPT and take immediate containment and

corrective actions. When non-conforming material is corrected, it shall be subject to re-verification to demonstrate conformity to the requirements.

The Supplier does not have MRB Authority and cannot use dispositions of “use as is” or “repair” without written authorization EPT using Figure 1 – Supplier Change / Deviation / Waiver Request Form. The Supplier shall flow this requirement to any sub-tiers performing work for EPT.

Returned product back to the Supplier shall be reworked or replaced using the same standard manufacturing processes utilized initially when qualified. Any rework that requires non-standard work to correct returned product must first be approved by EPT by submitting Figure 1 – Supplier Change / Deviation / Waiver Request along with the proposed rework procedure. All returned product reworked or replaced shall be identified as such on the Certificate of Compliance.

### **3.5 Control of Monitoring & Measuring Equipment**

Supplier shall have in place a system to control, calibrate, and maintain all inspection, measuring and test equipment that has the potential to affect EPT product quality.

All calibration must be traceable to the National Institute of Standards and Technology (NIST).

All items calibrated shall be identified in such a way that indicates the calibration date and the due date.

The Supplier shall maintain a list of inspection equipment which shows the calibration due date and the location of each piece of equipment.

If any gauge or equipment is found to be out of tolerance during a normal scheduled calibration, the Supplier shall determine if any product built and delivered to EPT has

been negatively impacted. If so, the Supplier shall notify EPT immediately of the potential for a dimensionally nonconforming tool, fixture, or gauge.

### **3.6 Corrective Actions**

Supplier shall have a process to review non-conformances, determine the cause of non-conformances, and provide corrective action to prevent recurrence.

When non-conforming materials are found at EPT, the Supplier may be issued a corrective action request. The Supplier shall take prompt action to ensure the nonconforming product is contained, root cause of the problem is identified, and proper actions are put in place to prevent recurrence in the process. An adequate corrective action plan shall be submitted to EPT within 10 business days, including responsibilities and planned completion dates. EPT will track completion of the action plan with the supplier.

### **3.7 Manufacturing Control & Inspection**

Supplier shall implement, document, and maintain procedures and work instructions, as necessary, for all employees having responsibilities for the operation of the processes that impact product quality.

Supplier shall establish a training program to train any personnel whose job function affects product quality.

When special processes are used by the Supplier, the Supplier will assure specification requirements, adequate facilities, appropriate procedures, and certified / qualified personnel and equipment are in place to support those special processes.

Supplier shall provide for in-process and final inspection and testing to assure that manufactured product complies with EPT purchase order requirements.

When the Supplier elects to use statistical methods for the acceptance of products or processes, such methods shall be in accordance with the latest revision of ANSI/ASQ Z1.4 with the criteria of lot acceptance at zero ( $C = 0$ ).

Supplier shall have a lot identification system that distinguishes one lot from another when shipping finished product. All lots shall be traceable back to the raw or component materials lots used in the manufacturing of the finished product.

#### **4.0 SUPPLIER QUALITY ASSURANCE PROCUREMENT PROVISIONS**

##### **4.1 First Article Inspection (FAI)**

A First Article Inspection (FAI) is required to initially qualify a first time build of a part. A new FAI is required whenever any of the following events occur:

- A change in design affecting fit, form, or function of the part.
- A change in manufacturing source(s), process(es), inspection method(s), location of manufacture, tooling or materials, that can potentially affect fit, form, or function.
- A change in numerical control program or translation to another media that can potentially affect fit, form, or function.
- A natural or man-made event, which may adversely affect the manufacturing process.
- A lapse in production for two years or as specified by the Purchase Order.

FAI reports require that all features and characteristics on the design specification are to be inspected and verified prior to production. Actual measured values shall be recorded as opposed to general statements of conformance or other notations simply indicating acceptance. FAI shall be performed in accordance with AS9102.

#### **4.2 Certificate Of Compliance**

Supplier shall include a Certificate of Compliance (C of C) with each shipment to EPT.

The C of C shall include at a minimum:

- Statement of conformance to purchase order, applicable specifications, and drawing requirements with signature of authorized representative.
- Supplier's name, address, and contact information.
- Purchase order number.
- EPT part number & drawing revision.
- Statement that test results or documents verifying the conformity of product is available for review by the purchaser

Copies of all Materials Certifications shall be submitted with the C of C

Supplier shall include a Certificate of Analysis (C of A) for any raw material manufactured for EPT.

#### **4.3 Raw Material Certification**

A physical / chemical test report for each raw material used shall be submitted with each shipment identifying the conforming specification, actual chemical composition and physical properties, melt, heat, batch, or lot number.

#### **4.4 Special Processes**

Suppliers performing special processes shall have their special process approved by either EPT, our Customer, or maintain NADCAP approval.

Supplier shall only use NADCAP approved sub-tiers for any subcontracted special process unless directed otherwise by EPT Purchase Order. Examples of special processes

include, but are not limited to; passivation, anodizing, chemical films, plating, soldering, non-destructive testing, welding, brazing, and heat treating.

#### **4.5     Special Process Certification**

Where special processes are required per EPT drawing requirements, a special process certificate shall be issued with each shipment which includes at a minimum:

- Special process specification of the special process(es) performed.
- A certification stating the special process was performed per the applicable drawing / specification requirements.
- The processing organization's name and address.
- The certificate shall contain the signature of an authorized representative.

#### **4.6     Change Control**

Supplier shall not make any changes to their processes, manufacturing location, equipment, material, product design (or any change which may affect product design or function), sub-tier suppliers, or any purchase order requirements without specific written approval from EPT.

If changes are deemed necessary from the Supplier, Figure 1 – Supplier Change / Deviation / Waiver Request Form, shall be submitted to EPT Buyer for proper distribution and approvals. If approval is granted, this form shall accompany supplier's Certificate of Compliance (C of C) with each shipment the request form applies to.

#### **4.7     Shelf Life Control**

For any item that is considered age sensitive by the product's manufacture, the shipping documents shall state: a) cure or manufacturing date, (b) expiration date or shelf life, (c) lot or batch number, and d) when applicable, any special handling or storage

requirements. The supplier shall assure that a minimum of 75% of the shelf life is remaining at time of receipt at EPT.

#### **4.8 DFAR Specialty Metal Clause**

If your organization is issued a purchase order from EPT Defense & Space Power Division, compliance is as follows:

- Applicable Specialty Metals must be acquired from the United States or from a qualifying country per DFARS Specialty Metal Clause 252.225.7009.
- If a distributor or other supplier is the source of your material, the DFARS Specialty Metal Clause 252.225.7009 shall be flowed down.
- Supplier's Quality Assurance personnel, or personnel responsible for inspecting incoming material where in-coming material and certifications are verified, shall be trained to the DFARS Specialty Metal Clause 252.225.7009 requirements. These personnel should ensure that no foreign melted specialty metals are utilized for EPT product unless they are melted in a qualifying country.
- Material certification with Country of Origin for specialty metals shall accompany the Certificate of Compliance with each shipment as objective evidence of compliance to the DFARS Specialty Metal Clause.

#### **4.9 Counterfeit Parts**

- Counterfeit part is an unauthorized copy, imitation, substitute, or modified part, which is knowingly misrepresented as a specified genuine part of the manufacturer.
- Authorized Distributor is defined as a distributor with which the OEM has a contractual agreement to stock, repackage, sell and distribute its product lines. Authorized distributors normally offer the product for sale with full manufacturer flow-through warranty.

- Seller shall not deliver counterfeit parts to EPT.
- Seller shall purchase product directly from the Original Component Manufacturer (OCM)/Original Equipment Manufacturer (OEM), or through an OCM/OEM authorized distributor chain.
- If the Seller provides EEE parts then the Seller shall have a counterfeit program that complies with SAE AS5553 – Counterfeit Electrical, Electronic, and Electromechanical (EEE) Parts ; Avoidance, Detection, Mitigation, and Disposition and DFARS 252.246-7007 – Contractor Counterfeit Electronic Part Detection and Avoidance System.
- Seller shall disclose in writing to EPT when the Seller is not authorized for the EEE parts they are supplying.
- Seller shall immediately notify EPT with the pertinent facts if seller becomes aware or suspects that it has furnished Counterfeit Items. When requested by EPT, seller shall provide OCM/OEM documentation that authenticates traceability of the affected items to the applicable OCM/OEM.

#### **4.10 Foreign Object Damage / Debris (FOD)**

The Supplier shall ensure that Foreign Objects and subsequent Foreign Object Damage (FOD) are eliminated from all parts prior to shipment. Suppliers are to maintain a FOD free environment during machining, manufacturing, assembly, maintenance, inspection, storage, packaging and shipping.

Suppliers are responsible for flow down of these requirements to their sub-tier suppliers to ensure FOD free products.

#### **4.11 Right Of Entry**

The Supplier shall provide access to EPT representatives, their customer and regulatory authorities (accompanied by EPT), if required, to all facilities involved in the order including Suppliers' sub-tier suppliers. Supplier shall provide all applicable procedures, records or other objective evidence as requested for review by EPT. This right of access shall be flowed down to sub-tier suppliers.

#### **4.12 Packaging & Shipping Requirements**

Packaging shall conform to all the requirements specified on the drawing, specifications, and purchase order. Packaging designed to prevent product contamination, deterioration or loss, and to preclude any shipping damage.

Certificate of Compliance (C of C) and/or Certificate of Analysis (C of A) is required with each shipment to EPT and shall be packaged and sent with the product.

Copies of all Materials Certifications used shall be submitted with the C of C.

#### **4.13 Supplied Property Control**

##### **Government Furnished Property**

When the Government, in support of EPT purchase orders, furnishes property the Supplier shall maintain a system for the inspection, protection, and control of this property. Supplier will report to the applicable Government representative any Government furnished property (GFP) found damaged, malfunctioning, or otherwise unsuitable for use. Supplier will protect deficient GFP to prevent further damage or additional repair costs.

## **EPT Furnished Material & Tooling**

When the Supplier uses materials or tooling furnished by EPT, the Supplier shall:

- Verify identity, quantity, and completeness.
- Examine to detect damage from transit.
- Identify for inspection status.
- Protect from improper use or disposition.
- Promptly notify EPT when material or tooling is found damaged, malfunctioning, or otherwise unsuitable for use.
- Assure modification or repair of material or tooling is not performed without EPT written approval.

### **4.14 Parts Obsolescence**

When the Supplier determines that one or more parts or materials involved in the production of any of the requirements contained in EPT purchase orders becomes obsolete or is in danger of being discontinued, the Supplier shall provide written notification to EPT as soon as possible. This notification shall include a “Last Time Buy Notice” prior to any action to discontinue any item on EPT purchase orders.

### **4.15 Solder Applications**

Solder applications shall be in accordance with drawing or specification per the latest revision in effect of IPC J-STD-001. The applicable requirements of the IPC standard (including product class – see 1.3) (D1 D2 D3) shall be imposed (See 1.9) on all applicable subcontracts, assembly drawing(s), documentation, and purchase orders. Unless otherwise specified, the requirements of this standard are not imposed on the procurement of commercial-off-the-shelf (COTS) or catalogue assemblies or sub-assemblies.

#### **4.16 Responses to Industry Alerts**

Supplier shall promptly respond to all of EPT requests for information regarding EPT investigation into Industry Alerts.

### **5.0 SUPPLIER EVALUATION & RE-EVALUATIONS**

- A. For initial supplier evaluations, each Level 1 and 2 Supplier will complete an EPT Supplier Evaluation form.
- B. The results of this evaluation will determine EPT's initial supplier disposition and approval status.
- C. New Level 1 Suppliers may be required to have an initial on-site assessment.
- D. Suppliers will be re-evaluated every three years by completing a Supplier Re-Evaluation form.

### **6.0 SUPPLIER PERFORMANCE**

#### **6.1 Overall Supplier Rating (OSR)**

Supplier performance will be measured monthly by the Overall Supplier Rating (OSR). The OSR is a combined rating based upon the quality and delivery rating.

$$\text{OSR} = (\text{Quality Rating} \times 60\%) + (\text{Delivery Rating} \times 40\%)$$

$$\text{Quality Rating} = 100 - (Q1 + Q2 + Q3)$$

$$Q1 = \text{Hardware Acceptance Rate}$$

$$(\text{Rejected Pieces} / \text{Pieces Received}) \times 100)$$

Q2 = Corrective Action Requests (CARs)  
(# of CARs Issued x 2 pts)

Q3 = CAR Responsiveness  
(# of Late CAR Responses x 5 pts)

Delivery Rating = (Pieces On-Time / Pieces Received) X 100, where On-Time Pieces are up to 4 days late.

To maintain approved Supplier status, suppliers must maintain an Overall Supplier Rating > 85. Any supplier who has a 12 month rolling average score below this level during a bi-annual supplier rating review will be required to develop a corrective action / improvement plan to address performance issues and could have a Quality audit scheduled. See Table 1 for the rating scale.

Supplier performance will be communicated to select critical suppliers via a Supplier Scorecard.

Table 1  
Overall Supplier Rating (OSR)

Category	Supplier Rating
Excellent	98 - 100 %
Acceptable	92 - 98%
Marginal	85 - 92%
Unacceptable	< 85%

**Figure 1**  
Supplier Change / Deviation / Waiver / Request Form

SUPPLIER CHANGE / DEVIATION / WAIVER / REQUEST FORM		Request # _____ <small>(To be completed by EP)</small>
Date of Request: _____ Supplier Name: _____ Originators Name: _____ Originators Phone No. _____	EaglePicher (EP) P.O. / RFQ No. _____ EP Drawing Number: _____ EP Drawing Revision Level: _____ Supplier Tracking No.: _____	
<b><u>Type of Request: (Please Check One)</u></b> <div style="display: flex; margin-top: 5px;"> <input style="width: 40px; margin-right: 5px;" type="checkbox"/> <b>Change</b> Request:           <span style="color: red; font-size: small; margin-left: 10px;">An alteration in the configuration of an item, delivered, to be delivered, or under development, after formal establishment of its configuration identification. Requires Drawing Revision Change.</span> </div> <div style="display: flex; margin-top: 5px;"> <input style="width: 40px; margin-right: 5px;" type="checkbox"/> <b>Deviation</b> Request:           <span style="color: red; font-size: small; margin-left: 10px;">A specific written authorization, granted <u>prior to</u> the manufacture of an item, to depart from a particular performance or design requirement of a specification, drawing or other document, for a specific number of units, or period of time for the above listed Purchase Order.</span> </div> <div style="display: flex; margin-top: 5px;"> <input style="width: 40px; margin-right: 5px;" type="checkbox"/> <b>Waiver</b> Request:           <span style="color: red; font-size: small; margin-left: 10px;">A written authorization to accept an item which during production (<u>Parts in-process or after having been submitted for inspection</u>) is found to depart from specified requirements, but nevertheless considered suitable for "USE AS IS" or after "REWORK" by an approved method.</span> </div> <div style="display: flex; margin-top: 5px;"> <input style="width: 40px; margin-right: 5px;" type="checkbox"/> <b>Other</b> Request:           <span style="color: red; font-size: small; margin-left: 10px;">A specific request that is in the form of a recommendation and/or pertaining to needed clarification.</span> </div>		
<b><u>Details of Request:</u></b>		
<b><u>EP Engineering Approval:</u></b> Yes <input style="width: 40px;" type="checkbox"/> Yes, with Conditions (Explain) <input style="width: 100px;" type="text"/> No <input style="width: 40px;" type="checkbox"/> <small>(Explain Details if Needed)</small>		
<div style="display: flex; justify-content: space-between; margin-top: 20px;"> <div>           EP Engineer: _____            E.O. # (Engineering Order)  <small>(If applicable)</small> </div> <div>           Date: _____            ECD: _____         </div> </div>		
<b><u>Effectivity:</u></b> Item Serial No. / Lot No: _____    Production Effectivity Date: _____ <b>Disposition of Existing Product:</b> <input style="width: 40px;" type="checkbox"/> N/A <input style="width: 40px;" type="checkbox"/> Use As Is <input style="width: 40px;" type="checkbox"/> Re-Inspect <input style="width: 40px;" type="checkbox"/> Scrap		
<b><u>Approvals:</u></b> <small>(Signatures Required if engineering approval is granted)</small> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div>           EP QA Representative: _____            EP SCM Representative: _____            Customer Approval (If Required): _____         </div> <div>           Date: _____            Date: _____            Date: _____         </div> </div>		