



## Supplier Quality Manual

GKN Aerospace Alabama  
Tallahassee, Alabama, United States

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<b>Supersedes</b>	Supplier Quality Manual, Rev. W
<b>Function</b>	Supplier Quality
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### Introduction

At GKN Aerospace, we strive to be the most trusted and sustainable partner in the sky by continuously ensuring the quality of our products and services to meet customer expectations.

GKN Aerospace shall procure compliant and conforming products and services from our supply base to facilitate provision of compliant and conforming products and services to our customers within quality, delivery and cost parameters. To this end, GKN Aerospace shall evaluate, re-evaluate, improve, develop, monitor and support supplier compliance to requirements, risk mitigation, and continued performance. Through these activities, and by conducting ourselves and our business activities in accordance with (IAW) GKN Aerospace's "Five Principles" (see below), GKN Aerospace intends to establish and maintain data-driven, performance-based, symbiotic partnerships worldwide to the benefit of GKN Aerospace, our end users, our customers and our suppliers. GKN Aerospace anticipates establishing and maintaining a data-driven, performance-based, symbiotic partnership with your organization.

GKN Aerospace reminds suppliers they shall comply with all requirements within any individual GKN Aerospace written agreement, arrangement and / or purchase order including, but not limited to, GKN Aerospace requirements, GKN Aerospace customer requirements, requirements of applicable international standards and all applicable government regulations and statutes. This Supplier Quality Manual (SQMAN) is supplemental to, and does not supersede, requirements found within any GKN Aerospace written agreement, arrangement and / or purchase order agreed between GKN Aerospace and the supplier.

### The Five Principles of GKN Aerospace



Safe



Open & Honest



Respect & Care



Innovative



Ownership

## Revision History

Revision	Summary	Approval	Effectivity
A – L	See Supplier Portal (S.P.) archives	See S.P. archives	See S.P. archives
M	Added 9100.8.4.1 ¶ 15 and #.8.7, including internal SQMAN references.	Christopher P. Irvine	May 20, 2024
N	Format updates; add OFAC regulation and ¶ 125 in 8.5.4.	Christopher P. Irvine	July 1, 2024
O	Not used; skipped to “P”.	Not Applicable	Not Applicable
P	Grammatical updates throughout; revised Introduction, removed “from their direct customer” in ¶ 46, added ¶ 118, ¶ 119, ¶ 137, ¶ 138 (other paragraph numbers updated) and “and associated FAIRs for the first shipment of product at a configuration” to ¶ 139 and a NOTE.	Christopher P. Irvine	July 22, 2024
Q	Not used; skipped to “R”.	Not Applicable	Not Applicable
R	Revise ¶ 133 to include special process CoCs. Converted NOTE to ¶ 140. APMS documents now “GKNA-” from “GKN-”.	Christopher P. Irvine	September 2, 2024
S	Not used; skipped to “T”.	Not Applicable	Not Applicable
T	Separated ¶ 133 into ¶ 133 for special process documentation and ¶ 134 for special process information. Added “results” to ¶ 135, removed Rev. R ¶ 140.	Christopher P. Irvine	September 10, 2024
U	Referenced unused revisions, added ¶s 29 – 30, ¶ 143, removed ¶ 69, ¶ 164 and obsoleted forms, converted ¶ 68 to NOTE, matured ASL-related verbiage from “removal” / “return” to “approve”, “unapproved”, “reapprove”, indented NOTEs.	Christopher P. Irvine	November 8, 2024
V	Added ¶ 119; updated ¶ 157 from (3) business days to (2) business days.	Christopher P. Irvine	January 13, 2025
W	Clarified and updated FAI, and FAIR, requirements in 8.5.1; added ¶ 136 and ¶s 168 – 171.	Christopher P. Irvine	February 17, 2025
X	Not used; skipped to “Y”.	Not Applicable	Not Applicable
Y	Added ¶ 126; renumbered ¶s accordingly.	Christopher P. Irvine	March 5, 2025

## Table of Contents

Reference Information.....	4
SQMAN Format.....	6
4.2 Understanding the Needs and Expectations of Interested Parties .....	7
4.3 Determining the Scope of the Quality Management System .....	7
4.4 Quality Management System and Its Processes .....	8
5.3 Organizational Roles, Responsibilities, and Authorities .....	8
6.1 Actions to Address Risks and Opportunities.....	9
7.1.2 People .....	9
7.1.3 Infrastructure .....	10
7.1.5 Monitoring and Measuring Resources .....	10
7.1.6 Organizational Knowledge .....	10
7.2 Competence.....	10
7.5.2 Creating and Updating .....	11
7.5.3 Control of Documented Information .....	11
8.1.3 Product Safety.....	11
8.1.4 Prevention of Counterfeit Parts.....	12
8.2.1 Customer Communication .....	12
8.2.3 Review of the Requirements for Products and Services .....	13
8.3.1 General .....	13
8.3.2 Design and Development Planning.....	13
8.3.3 Design and Development Inputs.....	13
8.3.4 Design and Development Controls .....	14
8.3.5 Design and Development Outputs .....	14
8.4.1 General .....	14
8.4.2 Type and Extent of Control .....	17

8.4.3	Information for External Providers .....	18
8.5.1	Control of Production and Service Provision .....	25
8.5.2	Identification and Traceability .....	27
8.5.4	Preservation .....	28
8.6	Release of Products and Services .....	29
8.7	Control of Nonconforming Outputs .....	30
9.2	Internal Audit .....	30
9.3.2	Management Review Inputs .....	31
10.1	General .....	31
10.2	Nonconformity and Corrective Action .....	31
	Costing .....	32
	Suppliers of Services Not Associated with Production of Aircraft Products .....	33

## Reference Information

### Definitions and Revisions

Terms and Definitions within ISO 9000, 9100 / 9110 / 9120, 13100, GKN Aerospace customer documents, applicable government regulations and statutes, as well as the definitions below, apply within SQMAN.

Mechanism a process, system, technique or tool

Information marked as “NOTE:” is for guidance and / or assistance with meeting the associated requirement(s). References to documents and requirements are always to the latest revisions of the same.

### Aerospace Policy Management System (APMS) Reference Documentation

SQMAN maintains association with, and may refer to, the following GKN Aerospace APMS documentation:

GKNA-ETQ-248	Quality Matters – Global Standards
GKNA-SCM-050	Global Sourcing Committee
GKNA-SCM-062	Indirect Materials & Services Global Sourcing Process
GKNA-SCM-067	Supplier Classification and Supplier Management

## Standards, Regulations and Statutes

5553 (AS)	Counterfeit EEE Parts; Avoidance, Detection, Mitigation and Disposition
6174 (AS)	Counterfeit Materiel; Assuring Acquisition of Authentic and Conforming Materiel
7004 (AC)	Nadcap Audit Criteria for Aerospace Quality System
9102 (AS/EN/SJAC)	First Article Inspection Requirements
9103 (AS/EN/SJAC)	QMS – Variation Management of Key Characteristics
9100 (AS/EN/JISQ)	QMS – Requirements for Aviation, Space and Defense Organizations
9110 (AS/EN/SJAC)	QMS – Requirements for Aviation Maintenance Organizations
9120 (AS/EN/SJAC)	QMS – Requirements for Aviation, Space and Defense Distributors
9138 (AS/EN/SJAC)	QMS – Statistical Product Acceptance Requirements
9145 (AS/EN/SJAC)	Requirements for APQP and PPAP
9146 (AS/EN/SJAC)	Foreign Object Damage (FOD) Prevention Program
9162 (AS/EN/SJAC)	Aerospace Operator Self-Verification (OSV) Programs
9163 (AS/EN)	Certificate of Conformity Requirements
9117 (AS/EN/SJAC)	Delegated Product Release Verification (DPRV)
13001 (AS)	Delegated Product Release Verification Training Requirements
13100 (AS)	QMS Requirements for Aero Engine Design and Production Organizations
9001 (ISO)	Quality Management Systems – Requirements [including Amendment 1]
14001 (ISO)	Environmental management systems
45001 (ISO)	Occupational Health and Safety Management Systems
10012 (ISO)	Requirements for Measurement Processes and Measuring Equipment
17025 (ISO/IEC)	General Requirements for the Competence of Testing and Calibration Labs
S20.20 (ANSI/ESD)	ESD Control Program for Electrical / Electronic Parts, Assemblies, Equipment
41 USC 423	<i>Commonly Known As (c.k.a.)</i> Procurement Integrity Act
10 USC 271	Truthful Cost or Pricing Data <i>c.k.a.</i> Truth in Negotiations Act (TINA)
15 CFR 700	Defense Priorities and Allocations System (DPAS)
DoDI 5200.48	Department of Defense Instruction on Controlled Unclassified Information (CUI)
14 CFR 21	Certification Procedures for Products and Articles <i>c.k.a.</i> FAR 21
48 CFR Chapter 1	Federal Acquisition Regulation (FAR)
48 CFR Chapter 2	Defense Acquisition Regulations System (DFARS)
22 CFR 120 – 30	International Traffic in Arms Regulations (ITAR)
15 CFR 730 – 80	Export Administration Regulations (EAR)
31 CFR 500 – 99	Office of Foreign Assets Control (OFAC), Department of the Treasury
29 CFR 1910	Occupational Safety and Health Administration (OSHA)
49 CFR 100 – 10	Hazardous Materials and Oil Transportation
49 CFR 171 – 85	Hazardous Materials Regulations
14 CFR	Aviation and Space – Federal Aviation Administration (FAA)
EASA Part 21	European Union Aviation Safety Agency – Initial Airworthiness
EASA Part 145	European Union Aviation Safety Agency – Continued Airworthiness
ICAO Annex 16	International Civil Aviation Organization – Environmental Protection
IATA DGR	International Air Transport Association – Dangerous Goods Regulations

## Forms and Records

PUR 1.3.3.1	Supplier Production Information: Supplier Technical Support Request (STSR)
PUR 1.3.4.1	Supplier Quality Assurance Information: Supplier Concession Request
PUR 1.9.1.5	Annual Supplier Registration Information: Representations and Certifications
PUR 1.9.1.6	Annual Supplier Registration Information: Add / Modify Profile Information
PUR 1.9.1.7	Annual Supplier Registration Information: 9100-Series Compliance Survey
PUR 1.9.1.8	Supplier Assessment Information: Product / Service Risk Evaluation

## SQMAN Format

SQMAN follows a standard format. With few exceptions, section headers follow the common section outline of 9100 / 9110 / 9120 and 13100, followed by sections for costing and for suppliers of services not associated with production of aircraft products. SQMAN may utilize additional subsection headers to facilitate the effective and efficient communication of requirements.

When SQMAN references any particular, common section, suppliers shall reference the particular, common section referenced, as well as all subsections within the particular, common section referenced, in the applicable international standard(s).

SQMAN does not reference all sections of 9100 / 9110 / 9120 and 13100. For unreferenced sections, the supplier shall comply with GKN Aerospace requirements, GKN Aerospace customer requirements, requirements of their direct customer, requirements of applicable international standards and all applicable government regulations and statutes.

### ##

Requirements common to all suppliers immediately follow these section headers within SQMAN, where “##” represents section numbers of the applicable international standards.

### Requirement(s) Derived from 13100

Requirements within these subsection headers are best practices derived from 13100; suppliers not required to be compliant to 13100 shall comply with all applicable requirements within these subsections, while suppliers required to be compliant to 13100 shall not comply with the requirements of these subsections, and shall refer to the associated sections of 13100 for their applicable requirements.

### Deviation(s) from 13100

Requirements within these subsection headers are deviations from 13100 to which suppliers required to be compliant to 13100 shall comply.

### Additional Reference(s) for 13100 Suppliers

These subsection headers within subsections 8.4.3a – 8.4.3k contain additional references suppliers required to be compliant to 13100 shall consider.

## 4.2 Understanding the Needs and Expectations of Interested Parties

- 1 Suppliers shall identify GKN Aerospace Alabama as (1) of its interested parties.
- 2 Suppliers, including all applicable sub-tiers, shall consider the SQMAN subsection “Standards, Regulations and Statutes” when determining applicable Quality Management System requirements.
- 3 Suppliers, including all applicable sub-tiers, shall retrieve copies of the most-recent revisions of the documents within the SQMAN subsection “Standards, Regulations and Statutes” as appropriate.
- 4 Suppliers, including all applicable sub-tiers, shall retain objective evidence that includes justification for the inapplicability of any document, document section, or individual requirement referenced within any written agreement, arrangement and / or purchase order from their direct customer or GKN Aerospace.
- 5 Suppliers, including all applicable sub-tiers, may coordinate facility access with a Supplier Quality representative.

### Requirement(s) Derived from 13100

- 6 Suppliers, including all applicable sub-tiers, shall ensure their direct customer, GKN Aerospace, our customers, government and regulatory agencies, and appointed third parties have access to applicable areas of their facilities, sub-tier facilities, partner facilities and documented information, as well as the ability to conduct audits, review quality investigations, verify products, processes and services.
- 7 Suppliers, including all applicable sub-tiers, shall ensure their direct customer, GKN Aerospace, our customers, government and regulatory agencies, and appointed third parties have access necessary to fulfill our mandate in the event access is restricted due to export control or intellectual property concerns.
- 8 Suppliers, including all applicable sub-tiers, shall provide language translation services to their direct customer, GKN Aerospace, our customers, government and regulatory agencies, and appointed third parties as appropriate to the access required to fulfill our mandate.

## 4.3 Determining the Scope of the Quality Management System

- 9 Suppliers required to be compliant with 9100 / 9110 / 9120 shall provide objective evidence of compliance to the applicable international standard to GKN Aerospace every (6) months.

NOTE: Suppliers required to be compliant with 9100 / 9110 / 9120 may provide a completed copy of *Biannual Supplier Registration Information: 9100-Series Compliance Survey* (PUR 1.9.1.7), or equivalent, as objective evidence of compliance to 9100 / 9110 / 9120.

- 10 Suppliers that only provide special processes shall provide a 7004 accreditation certificate in lieu of a completed copy of *Biannual Supplier Registration Information: 9100-Series Compliance Survey* (PUR 1.9.1.7).
- 11 Suppliers required to be certified to 9100 / 9110 / 9120 shall operate IAW the applicable international standard and provide objective evidence of certification to the applicable international standard to GKN Aerospace within (10) business days of receiving initial certification and recertification certificates from a Certifying Body.
- 12 Suppliers required to be certified to 9100 / 9110 / 9120 shall notify GKN Aerospace within (10) business days of any change in certification status, and provide objective evidence of compliance to the applicable international standard within (10) business days if their certification is no longer active.
- 13 Suppliers required to be certified to 9100 / 9110 / 9120 whose certification is no longer active shall continue to provide objective evidence of compliance to the applicable international standard to GKN Aerospace every (6) months until the supplier provides GKN Aerospace with objective evidence of recertification.

NOTE: Suppliers pending recertification to 9100 / 9110 / 9120 may provide a completed copy of *Biannual Supplier Registration Information: 9100-Series Compliance Survey* (PUR 1.9.1.7), or equivalent, as objective evidence of compliance to 9100 / 9110 / 9120.

#### 4.4 Quality Management System and Its Processes

Requirement(s) Derived from 13100

- 14 Suppliers, including all applicable sub-tiers, shall include the sharing of mistakes without fear of retribution and consideration of human factors during investigations and improvement plan creation within their Quality Management System processes.
- 15 Suppliers, including all applicable sub-tiers, shall include the training of employees on human factors within their Quality Management System processes.

#### 5.3 Organizational Roles, Responsibilities, and Authorities

Requirement(s) Derived from 13100



- 16 Suppliers, including all applicable sub-tiers, shall ensure persons responsible for product conformity are authorized to stop and correct quality issues.
- 17 Suppliers, including all applicable sub-tiers, shall ensure products and services are contained to prevent delivery to their direct customer if the process cannot be immediately shutdown by design.
- 18 Suppliers, including all applicable sub-tiers, shall identify accountable personnel for ensuring product conformity for products produced across multiple shifts.

## 6.1 Actions to Address Risks and Opportunities

- 19 Suppliers, including all applicable sub-tiers, shall consider how their activities, products, processes and services interact with the environment, which may include interactions with respect to air, water, land, natural resources, energy usage, energy emittance, waste or by-product generation and space usage, when assessing and identifying risks.

### Requirement(s) Derived from 13100

- 20 Suppliers, including all applicable sub-tiers, shall establish, implement and maintain at least (1) risk management mechanism that facilitates assessment of risks, including those that could threaten future performance, and ensure mitigation is in place for identified risks, appropriate to the level of risk identified.
- 21 Suppliers, including all applicable sub-tiers, shall detail identified risks in a register and conduct a review of how they manage risk at least once per calendar year.
- 22 Suppliers, including all applicable sub-tiers, shall establish, implement and maintain a crisis management and business continuity plan that facilitates informing their direct customer within (3) business days of becoming aware of any issue described below:
- any issue regarding incidents that impact their ability to meet direct customer commits
  - risks that could impact their business continuity
  - a change in the appointed Quality Manager
  - significant changes to the Quality Management System
  - a change in ownership or discontinuation of their business activities
  - significant issues of breaches of Information Technology security systems
  - procurement of substances used in production subject to laws and regulations concerning their control or use

## 7.1.2 People

- 23 Suppliers, including all applicable sub-tiers, shall determine and provide the necessary persons to facilitate the distribution of GKN Aerospace written agreement, arrangement and / or purchase order requirements to their applicable sub-tiers, verifying and / or validating compliance to the same, as appropriate.

### 7.1.3 Infrastructure

- 24 Suppliers, including all applicable sub-tiers, shall inform their direct customer and GKN Aerospace of plans to implement new plants, facilities and equipment at least (3) months prior to the start of production.

#### Requirement(s) Derived from 13100

- 25 Suppliers, including all applicable sub-tiers, shall use a cross-functional approach to develop project plans when implementing new plants, facilities, or equipment.

### 7.1.5 Monitoring and Measuring Resources

#### Requirement(s) Derived from 13100

- 26 Suppliers, including all applicable sub-tiers, shall provide the necessary persons for conducting Measurement Systems Analysis studies for identified key characteristics, as applicable, IAW 9103.

### 7.1.6 Organizational Knowledge

- 27 Suppliers, including all applicable sub-tiers, shall establish, implement and maintain at least (1) mechanism to capture undocumented organizational knowledge (i.e. "hidden factory") for processes used to produce products and services provided to GKN Aerospace.

## 7.2 Competence

#### Requirement(s) Derived from 13100

- 28 Suppliers, including all applicable sub-tiers, shall receive prior approval from their direct customer prior to delegating verification activities IAW 9117, as appropriate.
- 29 Suppliers, including all applicable sub-tiers, shall document delegated verification activities in a register that includes the scope and extent of the delegation, if they choose to delegate verification activities.
- 30 Suppliers, including all applicable sub-tiers, shall periodically monitor delegated verification activities if they choose to delegate verification activities.

- 31 Suppliers, including all applicable sub-tiers, shall ensure their DPRV personnel are trained and certified IAW 13001, as appropriate.
- 32 Suppliers, including all applicable sub-tiers, shall ensure contract or agency personnel, in addition to their employees, receive on-the-job training.
- 33 Suppliers, including all applicable sub-tiers, shall inform persons whose work can affect quality about the consequences of nonconformity to customer requirements.

## 7.5.2 Creating and Updating

Requirement(s) Derived from 13100

- 34 Suppliers, including all applicable sub-tiers, shall establish, implement and maintain at least (1) mechanism to ensure created and updated documentation is traceable to a responsible person making the change, and ensure that created or updated documentation is not altered without proper traceability of authorization of the alteration.

## 7.5.3 Control of Documented Information

Requirement(s) Derived from 13100

- 35 Suppliers, including all applicable sub-tiers, shall retain documented information related to Critical Safety Item(s) for (40) years from the date of manufacture, unless GKN Aerospace customer requirements specify a longer retention period.
- 36 Suppliers, including all applicable sub-tiers, shall retain documented information related to all other serialized and not serialized parts, as well as nondestructive evaluation / testing process-related records, for (10) years from the date of manufacture, unless GKN Aerospace customer requirements specify a longer retention period.
- 37 Suppliers, including all applicable sub-tiers, shall retain documented information related to design records for (10) years from the date of notification from GKN Aerospace of withdrawal of type certificates (civil programs), or the notification of withdrawal of support (military programs), unless GKN Aerospace customer requirements specify a longer retention period.
- 38 Suppliers, including all applicable sub-tiers, may dispose of any documented information after the duration of its respective retention period if the contract associated with the documented information is closed.

## 8.1.3 Product Safety

Requirement(s) Derived from 13100

- 39 Suppliers, including all applicable sub-tiers, shall report to their direct customer anything that may affect the safe and reliable operation of products provided to GKN Aerospace, identified at any stage in the life of the product, within (1) business day of verification.

#### 8.1.4 Prevention of Counterfeit Parts

- 40 Suppliers, including all applicable sub-tiers, shall include, within at least (1) process, a definition for fraudulent activity, potential consequences for fraudulent activity, and next actions if fraudulent activity is discovered.

#### Requirement(s) Derived from 13100

- 41 Suppliers, including all applicable sub-tiers, shall establish, implement and maintain at least (1) process to prevent counterfeit parts IAW either 5553 or 6174, as applicable.
- 42 Suppliers, including all applicable sub-tiers, shall include, within at least (1) process, a mechanism for reporting counterfeit parts to their direct customer within (24) hours of confirmation.

#### 8.2.1 Customer Communication

- 43 Suppliers shall submit a completed copy of *Supplier Production Information: Supplier Technical Support Request (STSR)* (PUR 1.3.3.1) to GKN Aerospace to request clarification of technical requirements by GKN Aerospace or GKN Aerospace customers.
- 44 Suppliers shall only accept “privileges, agreements, and instructions” related to the clarification of technical requirements from GKN Aerospace in writing via a *Supplier Production Information: Supplier Technical Support Request (STSR)* (PUR 1.3.3.1) approved by GKN Aerospace IAW PUR 1.3.3.1 form instructions.
- 45 Suppliers, including all applicable sub-tiers, shall not refuse to communicate with GKN Aerospace regarding products and services provided to GKN Aerospace, as well as their Quality Management System, so long as GKN Aerospace conduct ourselves and our business activities IAW GKN Aerospace’s “Five Principles.”
- 46 Suppliers, including all applicable sub-tiers, shall report any grievance that may result in discontinued communication with GKN Aerospace regarding products and services provided to GKN Aerospace, as well as the supplier’s Quality Management System, within (1) business day of occurrence or within (1) business day after the completion of an on-site visit by GKN Aerospace personnel.

#### Requirement(s) Derived from 13100

- 47 Suppliers shall only accept “privileges, agreements, and instructions” not related to the clarification of technical requirements from GKN Aerospace in writing via a revised written agreement, arrangement and / or purchase order for products and services provided to GKN Aerospace.
- 48 Suppliers, including all applicable sub-tiers, shall not accept solely verbal “privileges, agreements, and instructions” for products and services provided to GKN Aerospace.
- 49 Suppliers, including all applicable sub-tiers, shall provide access to data within the Online Aerospace Supplier Information System (OASIS) and Nadcap databases to their direct customer and GKN Aerospace.

### 8.2.3 Review of the Requirements for Products and Services

#### Requirement(s) Derived from 13100

- 50 Suppliers, including all applicable sub-tiers, shall establish, implement and maintain at least (1) process for the creation, modification and distribution of at least (1) document including all requirements related to individual products and services provided to GKN Aerospace (e.g. a characteristics / requirements matrix).

### 8.3.1 General

#### Requirement(s) Derived from 13100

- 51 Suppliers, including all applicable sub-tiers, shall have a design and development process compliant with 9145 if they design and develop products and services on behalf of GKN Aerospace.
- 52 Suppliers, including all applicable sub-tiers, shall have an appointed person (or equivalent) who is responsible for coordinating all design and development activities, and functions as a single point of contact for GKN Aerospace if they design and develop products and services on behalf of GKN Aerospace.

### 8.3.2 Design and Development Planning

#### Requirement(s) Derived from 13100

- 53 Suppliers, including all applicable sub-tiers, shall configure and plan design reviews appropriate to the design project, and include the dates of planned design reviews in the design and development plan, which shall be shared with their direct customer if they design and develop products and services on behalf of GKN Aerospace.

### 8.3.3 Design and Development Inputs

#### Requirement(s) Derived from 13100

- 54 Suppliers, including all applicable sub-tiers, shall identify and review lessons learned / best practices from previous design projects and previous manufacturing projects, as well as personal experiences from team members, for consideration during new design projects if they design and develop products and services on behalf of GKN Aerospace.
- 55 Suppliers, including all applicable sub-tiers, shall conduct an appropriate risk assessment against new or novel technologies and identify mitigating actions prior to implementation into a new design project if they design and develop products and services on behalf of GKN Aerospace.

#### 8.3.4 Design and Development Controls

- 56 Suppliers, including all applicable sub-tiers, shall provide test specimens for design approval upon request by their direct customer or GKN Aerospace if they design and develop products and services on behalf of GKN Aerospace.

##### Requirement(s) Derived from 13100

- 57 Suppliers, including all applicable sub-tiers, shall conduct design reviews IAW the design and development plan if they design and develop products and services on behalf of GKN Aerospace.
- 58 Suppliers, including all applicable sub-tiers, shall utilize a “Design for ‘X’” (DFX) approach during product design and development, which may include considering ‘X’ factors such as Manufacturing (DFM), Assembly (DFA), Cost (DFC), Quality (DFQ), Inspection (DFI), Service (DFS), Procurement (DFP), etc., as appropriate if they design and develop products and services on behalf of GKN Aerospace.

#### 8.3.5 Design and Development Outputs

##### Requirement(s) Derived from 13100

- 59 Suppliers, including all applicable sub-tiers, shall create and retain comprehensive technical documented information of all aspects that influenced the design through its development (e.g. alternative designs, meeting minutes, notes and other communications where key decisions are made, problems encountered along with resolutions, etc.) if they design and develop products and services on behalf of GKN Aerospace.

#### 8.4.1 General

- 60 Suppliers, including all applicable sub-tiers, shall notify their direct customer and GKN Aerospace of any change with respect to purchase types, business structure, business classifications, payment terms, commodity codes, country codes, etc. within (10) business days of the effectivity date, as applicable.

61 Suppliers shall provide completed copies of the following documentation to be added to the GKN Aerospace Approved Supplier List (ASL):

- *Annual Supplier Registration Information: Representations and Certifications* (PUR 1.9.1.5)
- *Annual Supplier Registration Information: Supplier Profile Add / Modify Information* (PUR 1.9.1.6)
- *Conflict Minerals Reporting Template (CMRT)*
- any supplemental certification or accreditation certificate as applicable
- a W-9 (or international equivalent)
- Banking / Remittance Information on official letterhead

NOTE: GKN Aerospace may request a supplier to complete a Non-Disclosure Agreement (NDA) prior to adding the supplier to the GKN Aerospace ASL.

NOTE: Suppliers may utilize *CMRT* revisions including the last major revision and all subsequent revisions.

62 Suppliers shall provide objective evidence of a risk assessment to their direct customer for any product or service they provide upon request.

NOTE: Suppliers may provide a completed copy of *Supplier Assessment Information: Product / Service Risk Evaluation* (PUR 1.9.1.8), or equivalent, as objective evidence of a risk assessment for any product or service.

63 Suppliers shall provide updated copies of PUR 1.9.1.5, PUR 1.9.1.6 and *CMRT* at least once every (12) months, as well as comply with the appropriate requirements within SQMAN section 4.3, to remain approved on the GKN Aerospace ASL.

NOTE: Suppliers may utilize *CMRT* revisions including the last major revision and all subsequent revisions.

64 Suppliers shall maintain acceptable performance ratings (detailed below) to remain approved on the GKN Aerospace ASL.

65 Suppliers shall maintain a quality performance rating of at least 99%; calculated as shown.

$$R_Q = \frac{Pieces_{Accepted}}{(Pieces_{Accepted} + Pieces_{Rejected})} \times 100\%$$

- 66 Suppliers shall maintain a discrete delivery performance rating of at least 97%, calculated as shown; deliveries made more than (10) business days before the On-Dock Date (ODD) are “early,” and deliveries made more than (2) business days after the ODD are “late.”

$$R_D^D = \frac{(Pieces_{Accepted} + Pieces_{Rejected} - Pieces_{Early} - Pieces_{Late})}{(Pieces_{Accepted} + Pieces_{Rejected})} \times 100\%$$

- 67 Suppliers shall maintain a “min / max” delivery performance rating of 100% for each of “min / max” product they provide, where the supplier achieves a 100% delivery performance rating by remaining within the min / max parameters (i.e. “band”).

NOTE: For “min / max” product(s), delivery performance outside of the “band” results in a delivery performance rating of 0% for the associated product(s).

- 68 Suppliers shall maintain a delivery performance rating of 97% for products under “blanket” agreements, arrangements and / or purchase orders, calculated as shown, where “| x |” represents absolute value.

$$R_D^B = \frac{Pieces_{Planned} - |Pieces_{Planned} - Pieces_{Actual}|}{Pieces_{Planned}} \times 100\%$$

- 69 Suppliers shall maintain a delivery performance rating of 100% for each service under “blanket” agreements, arrangements and / or purchase orders (i.e. Outside Vendor Operation (OVO)), where a delivery performance rating is calculated by evaluating the clocking of associated work order sequence(s).

NOTE: Suppliers achieve a 100% delivery performance rating by ensuring OVO products are returned within (30) days; OVO products left unreturned for either (30) days or more results in a delivery performance rating of 0% for the associated service(s).

NOTE: Suppliers may receive more than one delivery performance rating, as appropriate.

NOTE: Suppliers may receive a blended rating, where the quality rating is weighted 50%, the delivery rating is weighted 30%, and the corrective action rating, calculated as shown below, is weighted 20%.

$$R_{CA} = 100\% - \left( (CA_{Created} \times 1\%) + (CA_{Late Response} \times 2\%) \right)$$



NOTE: Suppliers may request an opportunity to calibrate supplier performance data with a GKN Aerospace Supplier Quality representative.

- 70 GKN Aerospace may make any supplier on the GKN Aerospace ASL unapproved for failing to meet any GKN Aerospace requirement (including requirements in SQMAN), GKN Aerospace customer requirement, applicable international standard, applicable government regulation or statute.

NOTE: GKN Aerospace may pursue options outside of making a supplier unapproved on its ASL to resolve unfavorable performance trends.

- 71 Suppliers, including all applicable sub-tiers, shall retain objective evidence that the recipient of any issued agreement, arrangement and / or purchase order is listed on the approved source list(s) of both the supplier and the Original Equipment Manufacturer (OEM) affiliated with the product, process and / or service definition on the date and at the time of issue, as applicable.

#### Requirement(s) Derived from 13100

- 72 Suppliers, including all applicable sub-tiers, shall notify their direct customer and GKN Aerospace of any change in quality leadership personnel, reporting structure, scope, name, address, or special process accreditation status within (10) business days of the effectivity date.

#### 8.4.2 Type and Extent of Control

- 73 Suppliers, including all applicable sub-tiers, shall notify, and obtain the approval of, their direct customer for any change to processes, products or services affecting products and services provided to GKN Aerospace.
- 74 Suppliers, including all applicable sub-tiers, shall notify their direct customer and GKN Aerospace of any change of sub-tiers or any manufacturing location change, affecting products and services provided to GKN Aerospace.
- 75 Suppliers shall establish, implement and maintain at least (1) process that covers work transfers between sub-tier facilities, between sub-tiers, between the supplier and any sub-tier, and between supplier facilities.
- 76 Suppliers, including all applicable sub-tiers, shall receive approval from their direct customer prior to commencing any work transfer activity, and shall keep their direct customer and GKN Aerospace informed of the progress of the work transfer from the beginning of work transfer activity until the work transfer is completed.

- 77 Suppliers shall keep GKN Aerospace informed of any work transfer activity within their supply chains that may affect products and services provided to GKN Aerospace.
- 78 Suppliers, including all applicable sub-tiers, shall provide test specimens for inspection, verification, investigation and / or audit purposes upon request by their direct customer or GKN Aerospace.
- 79 Suppliers, including all applicable sub-tiers, shall facilitate on-site verification and / or validation audits of performance, products, processes and services by their direct customer and / or GKN Aerospace.
- 80 Suppliers, including all applicable sub-tiers, shall ensure personnel are available for the duration of the audits, and that direct customer and / or GKN Aerospace personnel are provided an opportunity to privately collate the results of the audits prior to sharing.

#### Requirement(s) Derived from 13100

- 81 Suppliers, including all applicable sub-tiers, shall notify their direct customer of any significant change in their Quality Management System or normal business operations.
- 82 Suppliers, including all applicable sub-tiers, shall notify their direct customer of unacceptable performance by their customer-designated and / or customer-directed suppliers.

NOTE: Unacceptable performance by customer-designated and / or customer-directed suppliers, including all applicable sub-tiers, may be escalated to a GKN Aerospace customer to resolve open issues.

#### Deviation(s) from 13100

- 83 GKN Aerospace replaces paragraph (4) of 13100 section 8.4.2.1 with the following for suppliers, including all applicable sub-tiers, required to be compliant to 13100:

*The supplier shall ensure that the counterfeit part prevention process includes a mechanism for reporting counterfeit parts to the organization's purchasing representative within 24 hours of it being confirmed.*

### 8.4.3 Information for External Providers

- 84 Suppliers, including all applicable sub-tiers, shall refer to GKN Aerospace written agreements, arrangements and / or purchase orders to understand holistic GKN Aerospace requirements for any individual product or service. GKN Aerospace written agreements, arrangements and / or purchase orders include all GKN Aerospace requirements, all GKN Aerospace customer

requirements, all international standard requirements and all applicable government regulatory and statutory requirements.

#### 8.4.3a

- 85 Suppliers, including all applicable sub-tiers, shall refer to written agreements, arrangements and / or purchase orders of their direct customer for specific requirements for processes, products and services, including any applicable specification, drawing, process or work instruction requirement.

#### 8.4.3b

- 86 Suppliers, including all applicable sub-tiers, may consider any product, service, method, process or equipment to be “approved” if all applicable requirements within the applicable GKN Aerospace written agreement, arrangement and / or purchase order are fulfilled.

- 87 Suppliers, including all applicable sub-tiers, shall refer to the following for specific requirements regarding the release of products and services:

- 9100 / 9110 / 9120 section 8.6
- GKN Aerospace customer requirements regarding 9100 / 9110 / 9120 section 8.6
- SQMAN section 8.6
- direct customer requirements regarding 9100 / 9110 / 9120 section 8.6

#### Additional Reference(s) for 13100 Suppliers

- 13100 section 8.6
- GKN Aerospace customer requirements regarding 13100 section 8.6
- direct customer requirements regarding 13100 section 8.6

#### 8.4.3c

- 88 Suppliers, including all applicable sub-tiers, shall refer to the following for specific requirements regarding competence, including any required qualification of persons:

- 9100 / 9110 / 9120 section 7.2
- GKN Aerospace customer requirements regarding 9100 / 9110 / 9120 section 7.2
- SQMAN sections 7.2 and 8.5.1
- direct customer requirements regarding 9100 / 9110 / 9120 section 7.2

#### Additional Reference(s) for 13100 Suppliers

- 13100 section 7.2
- GKN Aerospace customer requirements regarding 13100 section 7.2
- direct customer requirements regarding 13100 section 7.2

## 8.4.3d

89 Suppliers, including all applicable sub-tiers, shall refer to the following for specific requirements regarding their interactions with their customers:

- 9100 / 9110 / 9120 section 8.2.1
- GKN Aerospace customer requirements regarding 9100 / 9110 / 9120 section 8.2.1
- SQMAN section 8.2.1
- direct customer requirements regarding 9100 / 9110 / 9120 section 8.2.1

Additional Reference(s) for 13100 Suppliers

- 13100 section 8.2.1
- GKN Aerospace customer requirements regarding 13100 section 8.2.1
- direct customer requirements regarding 13100 section 8.2.1

## 8.4.3e

90 Suppliers, including all applicable sub-tiers, shall refer to the following for specific requirements regarding the control and monitoring of their performance:

- 9100 / 9110 / 9120 sections 8.4.1 and 8.4.2
- GKN Aerospace customer requirements regarding 9100 / 9110 / 9120 sections 8.4.1 and 8.4.2
- SQMAN sections 8.4.1 and 8.4.2
- direct customer requirements regarding 9100 / 9110 / 9120 sections 8.4.1 and 8.4.2

Additional Reference(s) for 13100 Suppliers

- 13100 sections 8.4.1 and 8.4.2
- GKN Aerospace customer requirements regarding 13100 sections 8.4.1 and 8.4.2
- direct customer requirements regarding 13100 sections 8.4.1 and 8.4.2

## 8.4.3f

91 Suppliers, including all applicable sub-tiers, shall refer to the following for specific requirements regarding verification and validation activities intend to perform at their facilities:

- 9100 / 9110 / 9120 section 8.4.2
- GKN Aerospace customer requirements regarding 9100 / 9110 / 9120 section 8.4.2
- SQMAN section 8.4.2
- direct customer requirements regarding 9100 / 9110 / 9120 section 8.4.2

Additional Reference(s) for 13100 Suppliers

- 13100 section 8.4.2
- GKN Aerospace customer requirements regarding 13100 section 8.4.2
- direct customer requirements regarding 13100 section 8.4.2

#### 8.4.3g

92 Suppliers, including all applicable sub-tiers, shall refer to the following for specific requirements regarding design and development control:

- 9100 / 9110 / 9120 sections 8.3.1 through 8.3.6
- GKN Aerospace customer requirements regarding 9100 / 9110 / 9120 sections 8.3.1 through 8.3.6
- SQMAN sections 8.3.1 through 8.3.5
- direct customer requirements regarding 9100 / 9110 / 9120 sections 8.3.1 through 8.3.6

#### Additional Reference(s) for 13100 Suppliers

- 13100 sections 8.3.1 through 8.3.6
- GKN Aerospace customer requirements regarding 13100 sections 8.3.1 through 8.3.6
- direct customer requirements regarding 13100 sections 8.3.1 through 8.3.6

#### 8.4.3h

93 Suppliers, including all applicable sub-tiers, shall refer to the following for specific requirements regarding special requirements, critical items, or key characteristics:

- 9100 / 9110 / 9120 section 8.5.1
- GKN Aerospace customer requirements regarding 9100 / 9110 / 9120 section 8.5.1
- SQMAN section 8.5.1
- direct customer requirements regarding 9100 / 9110 / 9120 section 8.5.1

#### Additional Reference(s) for 13100 Suppliers

- 13100 section 8.5.1
- GKN Aerospace customer requirements regarding 13100 section 8.5.1
- direct customer requirements regarding 13100 section 8.5.1

#### 8.4.3i

94 Suppliers, including all applicable sub-tiers, shall refer to the following for specific requirements regarding test, inspection and verification (including production process verification):

- 9100 / 9110 / 9120 section 8.5.1
- GKN Aerospace customer requirements regarding 9100 / 9110 / 9120 section 8.5.1
- SQMAN section 8.5.1

- direct customer requirements regarding 9100 / 9110 / 9120 section 8.5.1

Additional Reference(s) for 13100 Suppliers

- 13100 section 8.5.1
- GKN Aerospace customer requirements regarding 13100 section 8.5.1
- direct customer requirements regarding 13100 section 8.5.1

#### 8.4.3j

95 Suppliers, including all applicable sub-tiers, shall refer to the following for specific requirements regarding the use of statistical techniques for product acceptance and related instructions:

- 9100 / 9110 / 9120 sections 7.1.5 and 8.5.1
- GKN Aerospace customer requirements regarding 9100 / 9110 / 9120 sections 7.1.5 and 8.5.1
- SQMAN sections 7.1.5 and 8.5.1
- direct customer requirements regarding 9100 / 9110 / 9120 sections 7.1.5 and 8.5.1

Additional Reference(s) for 13100 Suppliers

- 13100 sections 7.1.5 and 8.5.1
- GKN Aerospace customer requirements regarding 13100 sections 7.1.5 and 8.5.1
- direct customer requirements regarding 13100 sections 7.1.5 and 8.5.1

#### 8.4.3k

96 Suppliers, including all applicable sub-tiers, shall refer to the following for specific requirements regarding implementation of a quality management system:

- 9100 / 9110 / 9120 section 4.4
- GKN Aerospace customer requirements regarding 9100 / 9110 / 9120 section 4.4
- SQMAN section 4.4
- direct customer requirements regarding 9100 / 9110 / 9120 section 4.4

Additional Reference(s) for 13100 Suppliers

- 13100 section 4.4
- GKN Aerospace customer requirements regarding 13100 section 4.4
- direct customer requirements regarding 13100 section 4.4

97 Suppliers, including all applicable sub-tiers, shall refer to the following for specific requirements regarding customer-designated, customer-directed or approved external providers:

- 9100 / 9110 / 9120 section 8.4.1

- GKN Aerospace customer requirements regarding 9100 / 9110 / 9120 section 8.4.1
- SQMAN section 8.4.1
- direct customer requirements regarding 9100 / 9110 / 9120 section 8.4.1

Additional Reference(s) for 13100 Suppliers

- 13100 section 8.4.1
- GKN Aerospace customer requirements regarding 13100 section 8.4.1
- direct customer requirements regarding 13100 section 8.4.1

98 Suppliers, including all applicable sub-tiers, shall refer to the following for specific requirements regarding notification of nonconforming processes, products and services:

- 9100 / 9110 / 9120 section 8.7
- GKN Aerospace customer requirements regarding 9100 / 9110 / 9120 section 8.7
- SQMAN section 8.7
- direct customer requirements regarding 9100 / 9110 / 9120 section 8.7

Additional Reference(s) for 13100 Suppliers

- 13100 section 8.7
- GKN Aerospace customer requirements regarding 13100 section 8.7
- direct customer requirements regarding 13100 section 8.7

99 Suppliers, including all applicable sub-tiers, shall refer to the following for specific requirements regarding preventing the use of counterfeit parts:

- 9100 / 9110 / 9120 section 8.1.4
- GKN Aerospace customer requirements regarding 9100 / 9110 / 9120 section 8.1.4
- SQMAN section 8.1.4
- direct customer requirements regarding 9100 / 9110 / 9120 section 8.1.4

Additional Reference(s) for 13100 Suppliers

- 13100 section 8.1.4
- GKN Aerospace customer requirements regarding 13100 section 8.1.4
- direct customer requirements regarding 13100 section 8.1.4

100 Suppliers, including all applicable sub-tiers, shall refer to the following for specific requirements regarding notification and approval of changes to processes, products and services:

- 9100 / 9110 / 9120 section 8.5.1
- GKN Aerospace customer requirements regarding 9100 / 9110 / 9120 section 8.5.1

- SQMAN section 8.5.1
- direct customer requirements regarding 9100 / 9110 / 9120 section 8.5.1

Additional Reference(s) for 13100 Suppliers

- 13100 section 8.5.1
- GKN Aerospace customer requirements regarding 13100 section 8.5.1
- direct customer requirements regarding 13100 section 8.5.1

NOTE: 9100 section 8.5.1, subsection 8.5.1.3, is for Product Process Validation, which points to First Article Inspection, to be completed IAW 9102; 9102 is the vehicle for obtaining GKN Aerospace approval for changes to processes, products and services, and section 4.6.f.2 of 9102 specifically mentions the verbiage from 9100 / 9110 / 9120 section 8.4.3k.

101 Suppliers, including all applicable sub-tiers, shall ensure the flow-down of all applicable requirements, including GKN Aerospace requirements, GKN Aerospace Customer requirements, as well as government regulations and statutes, including DPAS order ratings as applicable, to all sub-tiers that support their production of products and services provided to GKN Aerospace.

102 Suppliers, including all applicable sub-tiers, shall refer to the following for specific requirements regarding the provision of test specimens for design approval, inspection / verification, investigation and auditing:

- 9100 / 9110 / 9120 sections 8.3.4 and 8.4.2
- GKN Aerospace customer requirements regarding 9100 / 9110 / 9120 sections 8.3.4 and 8.4.2
- SQMAN sections 8.3.4 and 8.4.2
- direct customer requirements regarding 9100 / 9110 / 9120 sections 8.3.4 and 8.4.2

Additional Reference(s) for 13100 Suppliers

- 13100 sections 8.3.4 and 8.4.2
- GKN Aerospace customer requirements regarding 13100 sections 8.3.4 and 8.4.2
- direct customer requirements regarding 13100 sections 8.3.4 and 8.4.2

103 Suppliers, including all applicable sub-tiers, shall refer to the following for specific requirements regarding the retention of documented information:

- 9100 / 9110 / 9120 section 7.5.3
- GKN Aerospace customer requirements regarding 9100 / 9110 / 9120 section 7.5.3
- SQMAN section 7.5.3
- direct customer requirements regarding 9100 / 9110 / 9120 section 7.5.3



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Additional Reference(s) for 13100 Suppliers

- 13100 section 7.5.3
- GKN Aerospace customer requirements regarding 13100 section 7.5.3
- direct customer requirements regarding 13100 section 7.5.3

8.4.3k – Requirement(s) Derived from 13100

- 104 Suppliers, including all applicable sub-tiers, shall ensure the flow-down of all applicable requirements, including GKN Aerospace requirements, GKN Aerospace Customer requirements, as well as government regulations and statutes, by all sub-tiers to all sub-tiers within their respective supply chains that support production of products and services provided to GKN Aerospace.
- 105 Suppliers, including all applicable sub-tiers, shall ensure all sub-tiers within their respective supply chains understand all applicable requirements, including GKN Aerospace requirements, GKN Aerospace customer requirements, as well as government regulations and statutes.

8.4.3l

- 106 Suppliers, including all applicable sub-tiers, shall refer to GKN Aerospace written agreements, arrangements, and / or purchase orders, GKN Aerospace customer requirements, SQMAN section 4.2, and direct customer requirements regarding the right of access to the applicable areas of facilities and to applicable documented information, at any level of the supply chain.

8.4.3m

- 107 Suppliers, including all applicable sub-tiers, shall refer to the following for specific requirements regarding awareness of persons' contributions to product conformity, service conformity and product safety, as well as the importance of ethical behavior:
- 9100 / 9110 / 9120 section 7.3
  - GKN Aerospace customer requirements regarding 9100 / 9110 / 9120 section 7.3
  - direct customer requirements regarding 9100 / 9110 / 9120 section 7.3

Additional Reference(s) for 13100 Suppliers

- 13100 section 7.3
- GKN Aerospace customer requirements regarding 13100 section 7.3
- direct customer requirements regarding 13100 section 7.3

8.5.1 Control of Production and Service Provision

- 108 Suppliers, including all applicable sub-tiers, shall establish, implement and maintain an Electrostatic Discharge (ESD) control program IAW S20.20 or equivalent, as appropriate.

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- 109 Suppliers, including all applicable sub-tiers, shall establish, implement and maintain at least (1) process for controlling and monitoring identified and documented critical items (i.e. key characteristics) as applicable IAW 9103.
- 110 Suppliers, including all applicable sub-tiers, shall ensure suitable infrastructure, specifically product-specific tooling, is calibrated to appropriate NIST standards.
- 111 Suppliers, including all applicable sub-tiers, shall ensure adequate training of all persons involved in the provision of products and services provided to GKN Aerospace, including all required qualifications.
- 112 Suppliers, including all applicable sub-tiers, shall conduct an assessment, carried out by a competent person, to determine the required verification when changes occur that can invalidate a previously completed FAI, including the previously generated FAIR.
- 113 Suppliers, including all applicable sub-tiers, shall provide a completed FAIR to their direct customer for each product and / or service when a FAI is completed IAW 9102.

NOTE: This requirement is applicable for both full and partial FAIRs, including engineering updates where the product or service itself is not modified from its current production configuration.

- 114 Suppliers, including all applicable sub-tiers, shall conduct a FAI, generate, and provide a completed FAIR, IAW 9102, at the direction of their direct customer.

NOTE: This requirement is applicable for both full and partial FAIRs.

- 115 Suppliers, including all applicable sub-tiers, shall provide a copy of any completed FAIR on file at the direction of their direct customer, at no additional cost outside of the written agreement, arrangement and / or purchase order, to their direct customer.

NOTE: This requirement is applicable for both full and partial FAIRs, including when the direct customer asserts they do not have a completed FAIR in their possession.

#### Requirement(s) Derived from 13100

- 116 Suppliers, including all applicable sub-tiers, shall comply with all appropriate sections of 9145, as applicable to the provision of any particular product or service, even if they do not design and develop products and services on behalf of GKN Aerospace.

NOTE: Appropriate sections of 9145 should include sections 4.5 (i.e. Phase 3 – Process Design and Development) and 4.6 (i.e. Phase 4 – Product and Process Validation), at a minimum.

- 117 Suppliers, including all applicable sub-tiers, shall establish, implement and maintain at least (1) mechanism that ensures software has documented change history, including version and change controls, verifies inspection software test results against test results from an independent inspection method, controls access to software, analyzes risks, confirms software is identified in all applicable work instructions, and prevents undesired changes.
- 118 Suppliers, including all applicable sub-tiers, shall ensure welding operators are examined once every (2) years to American Welding Society (AWS) standard D17.1.
- 119 Suppliers, including all applicable sub-tiers, shall ensure NDT personnel have their color vision perception checked once every (5) years, shall ensure welders / welding operators have their vision checked once every (2) years, and shall ensure non-NDT inspectors have their vision checked once each year, including a one-time color vision perception check.
- 120 Suppliers, including all applicable sub-tiers, shall ensure product test and product inspection activities are conducted in an environment with lighting conditions providing at least 700 LUX, and at least 1000 LUX where accurate visual inspections are performed, unless GKN Aerospace customers specify different conditions.
- 121 Suppliers, including all applicable sub-tiers, shall establish, implement and maintain at least (1) process to conduct First Article Inspections (FAIs), and generate First Article Inspection Reports (FAIRs), IAW 9102.
- 122 Suppliers, including all applicable sub-tiers, shall conduct a FAI, and generate a FAIR, prior to ceasing production, IAW 9102.
- 123 Suppliers, including all applicable sub-tiers, may utilize an Operator Self-Verification (OSV) program, as appropriate; any OSV program utilized shall be IAW 9162.

## 8.5.2 Identification and Traceability

- 124 Suppliers, including all applicable sub-tiers, shall establish, implement and maintain at least (1) mechanism that ensures traceability is maintained for all product and service types throughout the production life cycle, including flight safety parts (FSPs) or equivalent, products with key characteristics (KCs) or equivalent, and special processes or equivalent.

125 Suppliers, including all applicable sub-tiers, shall ensure bag-and-tag labels include the batch / lot numbers of non-serialized products, and include the serial numbers of serialized products.

126 Suppliers shall ensure batch / lot numbers are clearly identified on non-serialized materials / non-serialized products provided to GKN Aerospace that do not utilize bag-and-tag labels.

#### 8.5.4 Preservation

127 Suppliers, including all applicable sub-tiers, shall ensure a Safety Data Sheet (SDS), c.k.a. Material Safety Data Sheet (MSDS), as well as a Technical Data Sheet that includes any Volatile Organic Compound (VOC) and Hazardous Air Pollutant (HAP) content, accompanies all potentially hazardous materials, IAW applicable regulations and statutes.

128 Suppliers, including all applicable sub-tiers, shall ensure that deliveries are IAW all applicable regulations and statutes at their origin and destination, as well as all pass-through geographic areas as appropriate, including:

- OSHA regulations
- European Union (EU) regulations
  - European Agency for Safety and Health at Work (EU-OSHA)
  - Registration, Evaluation, Authorization and Restriction of Chemicals (REACH)
- all other regulations and statutes, as applicable

129 Suppliers, including all applicable sub-tiers, shall consider the SQMAN subsection “Standards, Regulations and Statutes” when determining applicable regulations and statutes for deliveries.

130 Suppliers, including all applicable sub-tiers, shall ensure part and material deliveries are marked, labeled and packaged IAW applicable international, national and local regulations at the delivery origin, and shall comply with United States Department of Transport (USDOT) regulations at a minimum.

131 Suppliers, including all applicable sub-tiers, shall ensure that shipments of time-sensitive material composed of (2) pallets or less contain at least (3) temperature recorders per pallet.

132 Suppliers, including all applicable sub-tiers, shall ensure primed products are separated, having Kraft paper (or equivalent) placed between the pieces, as appropriate.

#### Requirement(s) Derived from 13100

133 Suppliers, including all applicable sub-tiers, shall establish, implement and maintain a foreign object debris (FOD) / foreign object damage (FOD) program IAW 9146.

## 8.6 Release of Products and Services

- 134 Suppliers, including all applicable sub-tiers, shall establish, implement and maintain at least (1) process to create, approve and issue Certificates of Conformance (CoCs) IAW 9163.
- 135 Suppliers, including all applicable sub-tiers, shall ensure CoCs include serial numbers for serialized products.
- 136 Suppliers, including all applicable sub-tiers, shall ensure CoCs clearly identify batch and / or lot information.
- 137 Suppliers, including all applicable sub-tiers, shall ensure CoCs include a statement similar in intent to the following if a date of manufacture (DOM) is used as a batch number or lot number within a product's part marking.
- “Supplier utilizes a product's date of manufacture (DOM) to maintain batch / lot traceability. Supplier asserts either that no more than one batch / one lot of product of the associated part number is produced per day, or that all products of the associated part number produced within one day constitute one batch / one lot.”*
- 138 Suppliers, including all applicable sub-tiers, shall ensure CoCs also include the country of origin of the manufactured articles.
- 139 Suppliers, including all applicable sub-tiers, shall ensure all applicable special process documentation – including special process CoCs, special process specifications, and special process test results – accompany CoCs.
- 140 Suppliers, including all applicable sub-tiers, shall ensure all applicable special process information – including the special process supplier's name, the special process supplier's address, and the special process supplier's purchase order number with associated line item(s) – are listed on CoCs.
- 141 Suppliers, including all applicable sub-tiers, shall ensure the acceptance test plan (ATP) number, with configuration / revision, and the material acceptance test results accompany material CoCs.
- 142 Suppliers, including all applicable sub-tiers, shall ensure tooling acceptance documentation that includes the tool number, tool material, tool design and tool electronic media, as applicable, accompany CoCs for tooling.

- 143 Suppliers, including all applicable sub-tiers, shall ensure a statement affirming compliance with all applicable Qualified Product Lists (QPLs) is present on CoCs.
- 144 Suppliers, including all applicable sub-tiers, shall ensure a statement is present on CoCs that affirms completion of a First Article Inspection (FAI) at the stated configuration, and that an associated First Article Inspection Report (FAIR) IAW 9102 is on file for the stated configuration.
- 145 Suppliers, including all applicable sub-tiers, shall ensure their process to create, issue and approve CoCs includes appropriate controls to ensure only Quality Assurance personnel approve CoCs.
- 146 Suppliers, including all applicable sub-tiers, shall place paperwork associated with products provided to GKN Aerospace, including concession paperwork and associated FAIRs for the first shipment of product at a configuration, in a sealed, clear enclosure that is easily visible and easily accessible, either on the inside, or the outside, of the packaging container.
- 147 Suppliers that provide directly to GKN Aerospace customers shall supply all paperwork associated with the directly provided products to GKN Aerospace, who will supply all necessary paperwork to GKN Aerospace customers.

#### Requirement(s) Derived from 13100

- 148 Suppliers, including all applicable sub-tiers, shall consider and document risks associated with the premature release of products and services at risk (i.e. proceeding at risk).

### 8.7 Control of Nonconforming Outputs

- 149 Suppliers, including all applicable sub-tiers, shall inform their direct customer within (1) business day of realizing the possibility a nonconformity has been provided to the same direct customer (i.e. a potential escape has occurred).
- 150 Suppliers, including all applicable sub-tiers, shall provide their direct customer a written notification within (1) business day after confirming a nonconformity has been provided to the same direct customer (i.e. an escape has occurred); this written notification shall include sufficient supporting documentation to verify the occurrence of an escape.

### 9.2 Internal Audit

#### Requirement(s) Derived from 13100

- 151 Suppliers, including all applicable sub-tiers, shall establish, implement and maintain at least (1) process describing their internal audit process, including the frequency at which different types of internal audits are completed.

- 152 Suppliers, including all applicable sub-tiers, shall produce at least (1) audit report per year as objective evidence of compliance with their internal audit process frequency requirement(s).

### 9.3.2 Management Review Inputs

- 153 Suppliers, including all applicable sub-tiers, shall consider information on the performance and effectiveness of the Quality Management System with regard to products and services provided to GKN Aerospace, either in the management review, or separate reviews focused on GKN Aerospace products and services.

## 10.1 General

- 154 Suppliers, including all applicable sub-tiers, shall collaborate with their direct customer in the creation, implementation and maintenance of improvement plans developed in response to either any nonconformity or unfavorable performance trend that presents either a realized issue or unrealized risk with respect to products and services provided to GKN Aerospace discovered during evaluation, re-evaluation, or normal business operations.

## 10.2 Nonconformity and Corrective Action

- 155 Suppliers, including all applicable sub-tiers, shall ensure root cause corrective action (RCCA) analyses include containment action(s), root cause(s), corrective action(s), preventative action(s) and follow-on action(s) for both occurrence and detection.

NOTE: Suppliers may utilize BSO 10.1.0.1 and BSO 10.1.0.2 to collect and share RCCA information.

- 156 Suppliers, including all applicable sub-tiers, may conduct root cause corrective action (RCCA) analysis for nonconformities discovered within their facility associated with top drivers established, at least, every (3) months if their Quality Management System contains verbiage to this effect; records for nonconformities not related to top drivers shall reference this RCCA process.
- 157 Suppliers, including all applicable sub-tiers, shall ensure containment action(s) are established, implemented and being maintained, at most, (2) business days after they receive notification of a nonconformity discovered at their direct customer.
- 158 Suppliers, including all applicable sub-tiers, shall submit RCCA responses to their direct customer, at most, (5) business days after notification of a nonconformity discovered at their direct customer.

- 159 Suppliers may receive a nonconformity record (NCR) for any nonconformity to a written agreement, arrangement and / or purchase order requirement discovered at GKN Aerospace.
- 160 Suppliers, including all applicable sub-tiers, shall provide corrected / revised / updated paperwork, at most, (2) business days after the request is issued to avoid generating a NCR due to insufficient paperwork.
- 161 Suppliers, including all applicable sub-tiers, may receive a Supplier Corrective Action Request (SCAR) against a nonconformity grouping at the discretion of GKN Aerospace.
- 162 Suppliers, including all applicable sub-tiers, shall provide SCAR responses to GKN Aerospace, at most, (15) business days after the SCAR is issued by GKN Aerospace.
- 163 Suppliers may submit concession requests to GKN Aerospace; any concession submitted shall utilize PUR 1.3.4.1.

NOTE: GKN Aerospace may inspect products associated with concession requests at the supplier's facility prior to shipment.

- 164 Suppliers shall establish, implement and maintain at least (1) mechanism to ensure product(s) associated with PUR 1.3.4.1 records that indicate GKN Aerospace either denies or refuses a concession request are mutilated and subsequently scrapped, with objective evidence provided to GKN Aerospace upon request.
- 165 Suppliers shall ensure the packaging for products submitted under concession are clearly marked.

#### Requirement(s) Derived from 13100

- 166 Suppliers, including all applicable sub-tiers, shall utilize the 8D Problem Solving Process (i.e. from step D0 to step D8) upon request by their direct customer to analyze and document their response to a nonconformity that has occurred, and may utilize other processes (i.e. 4D) as applicable.
- 167 Suppliers, including all applicable sub-tiers, shall ensure cross-functional teams conduct root cause corrective action (RCCA) analyses, including RCCA analyses utilizing the 8D Problem Solving Process (i.e. from step D0 to step D8) and other processes (i.e. 4D) to analyze and document their response to a nonconformity that has occurred as appropriate and / or as requested by their direct customer.

#### Costing



- 168 In addition to GKN Aerospace customer-imposed, legal, repair, rework, storage and transportation costs as appropriate, GKN Aerospace may charge suppliers, at most, US\$ 1,000 for each nonconformity record (NCR) generated to document any nonconformity to requirements stated within any applicable written agreement, arrangement and / or purchase order. Applicable nonconformities include, and are not limited to, nonconformities submitted on concession, nonconformities discovered at / by GKN Aerospace, nonconformities discovered at / by GKN Aerospace customer(s), nonconformities discovered at / by government and regulatory agencies, nonconformities discovered at / by GKN Aerospace end user(s) and nonconformities discovered at / by associated third parties. This charge for generated NCRs shall increase by US\$ 100 on January 1 of each calendar year, beginning in 2025.
- 169 GKN Aerospace reserves the right to negotiate First Article Inspection (FAI), and associated First Article Inspection Report (FAIR), costs for product(s) with a unit price of less than US\$ 1,000.
- 170 GKN Aerospace reserves the right to pay no more than 25% of the unit price towards FAI, and associated FAIR, costs for product(s) with a unit price equal to, or greater than, US\$ 1,000, and less than US\$ 10,000.
- 171 GKN Aerospace reserves the right to pay no more than US\$ 2,500 towards FAI, and associated FAIR, costs for product(s) with a unit price equal to, or greater than, US\$ 10,000.
- 172 Suppliers may submit an itemized invoice reflecting costs incurred completing a FAI, and completing associated FAIR paperwork, outside of those aforementioned, after GKN Aerospace, along with a GKN Aerospace customer as applicable, has accepted the FAIR; GKN Aerospace reserves the right to negotiate the costs reflected within itemized invoices submitted by suppliers.

### Suppliers of Services Not Associated with Production of Aircraft Products

- 173 These suppliers shall provide a copy of *Supplier Registration Information: Supplier Profile Add / Modify Information* (PUR 1.9.1.6), a W-9 (or international equivalent) and Banking / Remittance Information on official letterhead to be issued a written agreement, arrangement and / or purchase order from GKN Aerospace.