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Approved: SCOTT CARROLL  
Director of Quality

Reviewed: DARRIN CAIN  
Director of Supply Chain
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<td>6</td>
<td>26 MAR 15</td>
<td>SAM BAJARI</td>
<td>Revised Para 3.1.1 to add (e) “Sub-tier Requirements for GE Components”</td>
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<td>Added Para 6.0 (and sub paras) “Dock to Stock Suppliers Requirements”</td>
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<td>Added Para 5.1.1 f (1-2), 5.9.4</td>
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<td>Added paragraph in section 5.10.4</td>
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<td>Revised paragraph 5.5.3</td>
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ATTACHMENTS

Appendix A – Supplier Rating System
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Our Suppliers

Northstar Aerospace Milton (NAM) recognizes the imperative role our Suppliers play in the value we offer our customers. As an extension of our own operations, we rely on our Suppliers to provide material, products and services which meet all of the quality requirements of our contracts, specifications and our quality management system.

This manual applies to all Suppliers providing NAM with materials, products and related services, and when applicable, to Supplier sub-tier sources. The general requirements outlined herein do not supersede conflicting requirements in the contract, or drawing, including applicable engineering specifications and process specifications, or applicable long term agreement(s). This document is referenced on all purchase orders.

1.0 APPLICABILITY

This manual outlines the core expectations regarding Supplier quality management systems (QMS), design requirements and manufacturing process controls required for supplying to NAM. It also provides the guidelines Suppliers are required to follow to ensure that all requirements and expectations are met.

2.0 ASSOCIATED DOCUMENTS

2.1 Associated Specifications

Documents referenced in this manual may be applicable to the extent specified by NAM in the contract. Copies may be obtained from the sources shown. It is the Supplier’s responsibility to obtain these documents and to ensure that current revisions are used.

<table>
<thead>
<tr>
<th>Document</th>
<th>Title</th>
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<tr>
<td>B13A</td>
<td>Canadian Border Service Agency (CBSA) B13A Export Declaration</td>
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<td>ISO 9001</td>
<td>Quality Management Systems Requirements (General)</td>
<td><a href="http://www.ansi.org">www.ansi.org</a></td>
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<td>SAE AS9102</td>
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<td>SAE AS9120</td>
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<td>SAE AS9131</td>
<td>Quality Systems Non-conformance Documentation</td>
<td><a href="http://www.sae.org">www.sae.org</a></td>
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<td>SAE ARP9134</td>
<td>Supply Chain Risk Management Guidelines</td>
<td><a href="http://www.sae.org">www.sae.org</a></td>
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<tr>
<td>SAE ARP9162</td>
<td>Aerospace Operator Self-Verification Programs</td>
<td><a href="http://www.sae.org">www.sae.org</a></td>
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2.2 Associated Forms

Electronic versions of these forms may be obtained from NAM.

<table>
<thead>
<tr>
<th>Form Number</th>
<th>Title</th>
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<tbody>
<tr>
<td>NAM 6502</td>
<td>Engineering Change Request</td>
</tr>
<tr>
<td>NAM 8302-07</td>
<td>Corrective Action Request</td>
</tr>
<tr>
<td>NAM 9305</td>
<td>Supplier Non-Conforming Product Notification Form</td>
</tr>
</tbody>
</table>
3.0 **DEFINITIONS**

3.1 **First Article Inspection (FAI)** – Provides objective evidence that engineering, design and specification requirements are understood, fulfilled, verified and recorded.

3.2 **May** – Described action is permissible or discretionary.

3.3 **Repair** – Alternative manufacturing techniques, methods, materials, or processes which may not bring product into full compliance with applicable drawings and specifications.

3.4 **Rework** – Additional operations that are not part of the basic production process flow. These additional operations will achieve full compliance to the product with applicable drawings and specifications.

3.5 **Shall** – Described action is mandatory.

3.6 **Should** – Described action is necessary and expected with some flexibility allowed.

3.7 **Sub-Tier Suppliers** — Also known as sub-suppliers or subcontract suppliers.

4.0 **ACRONYMS**

AVL – Approved Vendors List  
CAR – Corrective Action Request  
CBSA – Canadian Border Service Agency  
C OF C – Certificate of Conformance  
CDR – Critical Design Review  
CGP – Controlled Goods Program  
COTS – Commercial off the Shelf Supplier  
DDTC – Directorate of Defence Trade Controls  
DTS – Dock-to-Stock  
ECR – Engineering Change Request  
EEI – Electronic Export Information  
FAI – First Article Inspection  
FAIR – First Article Inspection Report  
FAR – Failure Analysis Report  
FIFO – First-in, First-out  
FMEA – Failure Mode Effects Analysis  
FOD – Foreign Object Debris / Damage  
ITAR – International Traffic in Arms Regulation  
MRB – Material Review Board  
NAM – Northstar Aerospace Milton  
NCR – Non-Conformance Report  
NN – Notice of Non-Conformance  
OSV – Operator Self Verification  
PDR – Preliminary Design Review  
PO – Purchase Order  
QMS – Quality Management System  
RCCA – Root Cause and Corrective Action  
SDR – System Design Review
5.0 INSTRUCTIONS

5.1 Quality System Requirements

5.1.1 General

Supplier shall maintain a QMS suitable to the products and services provided to NAM that is certified by an accredited third-party certification body to one or more of the following, as applicable:

- ISO 9001 - Quality Management System Requirements;
- AS/EN/SJAC 9100 - QMS Requirements (Aerospace);
- AS/EN 9120 - Quality Management System Requirements (Distributors/Stockists).

Suppliers shall comply with one or more of the following requirements:

a) **Distributors/Stockists** - Shall establish and maintain a QMS that is in compliance with AS/EN 9120, AS/EN/SJAC 9100 or ISO 9001.

b) **Calibration Laboratories** - Shall establish and maintain a QMS and measurement management system that is in compliance with ISO 9001 and ISO/IEC 17025 General requirements for the competence of testing and calibration laboratories.

c) **COTS** - Suppliers that provide commercial products shall establish a QMS in compliance with ISO 9001, or equivalent.

d) **Manufacturers Of Build-To-Print And Supplier-Controlled Designs** - Shall establish and maintain QMS that is in compliance with AS/EN/SJAC 9100.

e) **Sub-tier Requirements for GE Components**
   - GE – S1000 (Quality System)
   - GE – S1002 (Characters Accountability. FAI)
   - GE – S1001 Source Substantiation, VSE.
   - GE – S400 Lab (Material Testing)

f) **Sub-tier Requirements for Boeing Components**
   1) Suppliers of Boeing components are required to review on a monthly basis and conform to the latest revision of Boeing D1-4426 Appendix D “Purchase Order Flow Down Requirements.”
   2) Suppliers of Boeing components are required to review and conform to the latest revision of BDS Seller Special Tooling Requirements (Document number D950-11059-1).
      http://www.boeingsuppliers.com/quality/D950-11059-1%20Rev%20D.PDF
   3) Suppliers manufacturing product under fixed product planning are required to comply to the latest revision of EPB17-119 for flight safety components and EPB6-128 for non-flight safety components.

Suppliers registered in accordance with AS 9104 shall be listed in the SAE OASIS database.
5.2 Quality Manual

The Supplier’s current QMS Manual shall be provided to NAM, upon request. The Supplier’s QMS manual shall include the following:

- QMS manual content approval by Supplier’s management;
- Reference to related documents;
- Quality policy;
- Quality objectives and measurements.

The Supplier shall promptly notify NAM of any significant changes to the Supplier’s QMS or key personnel.

5.3 Supplier Approval

5.3.1 Supplier Status

All Suppliers shall be listed on the NAM AVL prior to the issuance of contract or PO, regardless of approvals by customers or other entities.

Supplier status levels:

a) **Approved**: Compliant with all NAM expectations.

b) **Probation**: May continue on existing contracts, only.

c) **Not Approved**: Shall be removed from the NAM AVL.

5.3.2 Export Control and Government Regulations

Certain Purchase Contracts issued to Suppliers may relate to the production or procurement of defence articles (export controlled goods) as identified in the ITAR US Munitions List, or the CGP Export Control List. The Supplier in possession of export controlled goods is responsible for their compliance with all applicable export controls and government regulations. Suppliers shall maintain current registration with either the CGP, if a Canadian supplier, or the DDTC, if a US Supplier. Suppliers shall notify NAM immediately of any change in their registrations status.

5.3.3 Approval Process

a) **Initial Assessment**

The Supplier may provide a copy of their valid, third party QMS certificate and/or complete a self-assessment which includes the following business capabilities:

- Quality;
- Delivery;
- Technology;
- Cost;
- Continual improvement objectives and measurements.

b) **Documentation Audit**

If a Supplier’s QMS has not been certified by an accredited certification body, NAM will request a copy of the Supplier’s QMS Manual, procedures and relevant supporting documents to determine if the Supplier’s QMS meets NAM requirements.
c) On-Site Assessment

NAM and/or its customers, due to product/process complexity or criticality, may elect to conduct a supplier on-site assessment. This assessment may include:

A) **Product And Process Capability** – Effectively functioning QMS to one or more applicable standards.

B) **Business And Manufacturing Operations** – Financial resources, production capacity, and other business resources needed to fulfill volume production needs and continuity of supply.

C) **Continual Improvement Initiative** – Culture, methods and skills present to actively pursue continual improvement.

D) **Technology Assessment** - Including production and inspection equipment, facilities, engineering resources, etc.

E) **Sub-Tier Supplier Control** – Management processes to ensure that products or services procured from sub-tier sources conform to all applicable requirements.

5.3.4 Probation

Any rated supplier not meeting the performance requirements for six (6) consecutive calendar months with no improvement trend, may result in the supplier being removed from the AVL.

Other Northstar facilities and customer specified sources are exempt from removal from the AVL.

5.4 General Requirements

5.4.1 Compliance to Contractual Arrangements

All documents, drawings and specifications, regardless of origin, referenced in the contract are required to be used at all levels of the supply chain. Unless otherwise specified in the contract, the document revision in effect on the date of issue of the contract takes precedence.

The Supplier is responsible to provide acceptable products or services that conform to all contractual requirements. The Supplier is not relieved from such responsibility before, during or after delivery to NAM or the customer. Audits, surveillance, inspection or tests of product performed by NAM or representatives at NAM do not relieve the supplier of said responsibility.
5.4.2 Control of Sub-Tier Suppliers

The Supplier is responsible for all work performed by the Supplier's sub-tier suppliers. The Supplier shall provide all of the applicable technical and quality requirements contained in the NAM contract to its sub-tier sources. This information shall include:
- QMS requirements;
- Regulatory requirements;
- Documenting and controlling Key Characteristics and Special Requirements;
- Providing certifications and test reports, as required.

5.4.3 Right of Access

The supplier shall provide access to NAM personnel, government and civil aviation authorities, and customers to their facilities, personnel and records, when requested. This access will be required for QMS reviews, product/process validation evaluations or investigations, subject to proprietary considerations. This access is also a requirement to all of the Supplier’s sub-tier suppliers.

5.4.4 Risk Management

The Supplier shall establish a risk management program in accordance with the guidelines established by SAE ARP9134 (or equivalent). A copy of the Supplier’s risk management program shall be provided to NAM upon request.

5.4.5 Material Substitutions

Material substitutions are **not** allowed unless authorized by engineering drawing, material specification, NAM MRB disposition, or superseding of a material specification.

a) **Counterfeit Parts** – Counterfeit or unapproved parts are not deliverable to NAM or customers.

b) **Standard Components** - Suppliers of standard hardware shall maintain traceability to actual manufacturer and manufacturing lot. Suppliers shall ensure the standard hardware conforms to the latest specification or configuration requirements.

c) **Offload / Transfer of Work** - Suppliers shall ensure the capability of all offload sub-tiers and the quality of all product. No Supplier shall subcontract work to another supplier without having first obtained the written consent of NAM. Permitted exceptions include:
- Suppliers issuing their own statement of conformity under a manufacturer certificate;
- Equivalent document issued by a foreign state with which Canada has an airworthiness agreement or similar arrangement;
- Distributors of standard components.

Suppliers may request a material substitution by completing an NAM ECR (NAM 6502) or other convenient media of equivalent content, and submitting to NAM for review.
5.4.6 Revision Control

Suppliers shall have a defined process to review and incorporate drawing revisions / changes. Suppliers shall update the revision levels and document when changes occur.

5.4.7 Control and Release of NAM Documents

Documents provided by NAM to the Supplier are solely for the purpose of conducting business with NAM. The Supplier is responsible for controlling and maintaining such documents to prevent improper use, loss, damage, alteration and/or deterioration.

Unless authorized by NAM in writing, the Supplier may not transmit or make available documents or copies to anyone outside the Supplier's organization, except a sub-tier source used to perform work on a NAM contract.

The Supplier will return to NAM, or purge electronic copies of all proprietary documents with the last delivery of products or services on the contract. The Supplier may be required to provide objective evidence or certification that proprietary documents have been purged including a purge of documents at all sub-tier sources.

5.4.8 Electronic Documents

The accuracy and authenticity of electronic documents and forms submitted to NAM is of highest importance. The use of electronic forms and signatures shall be described in and governed by the Supplier’s documented procedures. The following rules apply and may be subject to review by NAM at Suppliers’ facilities:

a) The issue of electronic documents and application of electronic signatures shall be under the direct control of the individual whose name appears on the electronic document.

b) Electronic signatures may only be applied by the said individual. The individual shall have direct access and responsibility for the products or services described in the electronic document.

c) The application of the electronic signature certifies that the signature (individual) represents an authorized company official.

5.4.9 Record Retention

Refer to Appendix C for program specific record retention requirements. Prior to discarding, transferring or destruction of records, the Supplier and sub-tier supplier shall notify NAM in writing and provide opportunity to obtain records.

In case of takeover, transfer of ownership or joint venture, Suppliers shall maintain responsibility of record archiving, including possible transfer to the owner.

In case of bankruptcy, the Supplier shall ensure that archived records are made accessible to customers and Regulatory authorities.
5.4.9.1 Record Categories

All the records subject to contractual retention requirements are grouped in the following categories:

<table>
<thead>
<tr>
<th>Record category</th>
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<tbody>
<tr>
<td><strong>a) Receiving Records</strong> (A)</td>
</tr>
<tr>
<td>• Certificate of Conformance</td>
</tr>
<tr>
<td>• Material Certifications</td>
</tr>
<tr>
<td>• Inspection Reports</td>
</tr>
<tr>
<td>• Test Reports</td>
</tr>
<tr>
<td>• Shot Peen Certifications</td>
</tr>
<tr>
<td><strong>b) Quality Control &amp; Manufacturing Records</strong> (A)</td>
</tr>
<tr>
<td>• Manufacturing Work Orders</td>
</tr>
<tr>
<td>• Release Notes</td>
</tr>
<tr>
<td>• Statistical Process Control Charts</td>
</tr>
<tr>
<td>• Lab Reports</td>
</tr>
<tr>
<td>• All Charts for Heat Treatment Processes [Furnace &amp; Freezer]</td>
</tr>
<tr>
<td>• Inspection Planning</td>
</tr>
<tr>
<td>• First Article Inspection Reports</td>
</tr>
<tr>
<td>• Dynamic Balancing Records</td>
</tr>
<tr>
<td>• Gear Lab Inspection Reports</td>
</tr>
<tr>
<td>• (NCM) Electronic Forms</td>
</tr>
<tr>
<td><strong>c) Quality Assurance Records</strong> (B)</td>
</tr>
<tr>
<td>• Internal and External Audit Reports</td>
</tr>
<tr>
<td>• Product Audits</td>
</tr>
<tr>
<td>• Corrective Action Reports</td>
</tr>
<tr>
<td>• Management Review</td>
</tr>
<tr>
<td><strong>d) Radiographic Film</strong> (B)</td>
</tr>
<tr>
<td><strong>e) Administrative Records</strong> (B)</td>
</tr>
<tr>
<td><strong>f) Miscellaneous Records</strong> (B)</td>
</tr>
<tr>
<td>• Engineering Change Notices (Responsibility of Engineering Department)</td>
</tr>
<tr>
<td>• Purchaser Orders (Responsibility of Purchasing Department)</td>
</tr>
<tr>
<td>• Survey Documents</td>
</tr>
</tbody>
</table>
5.4.10 Business Continuity

The Supplier’s business continuity plan should allow for safeguarding, storage and recovery of engineering drawings, electronic media, and production tooling in the event of damage or loss.

Contingency plans should satisfy NAM requirements in the event of significant utility interruptions, labour shortages, equipment failure and field returns.

5.4.11 Internal Quality Audits

The Supplier is responsible for monitoring compliance and effectiveness of their quality system. The method and frequency of internal audits shall be defined in documented procedures. Audits shall be performed by trained personnel independent of the function under evaluation. Findings are to be recorded, corrected and monitored to prevent recurrence.

NAM shall be notified in writing of all major non-conformances that have any impact on NAM programs, products or services.

5.4.12 Training

The Supplier shall establish a method for training, assessing and documenting the proficiency of personnel performing activities that affect quality. Recurrent training shall be conducted as needed for regulatory, technical skills and special process personnel qualification.

Training requirements shall be continually reviewed to ensure skills are upgraded to reflect changes in methods and technology advancements. Records related to training shall be retained.

5.5 Product Qualifications

5.5.1 General

The Supplier shall be able to comprehend design and specification requirements and manufacturing processes shall have the capability to consistently meet requirements.

5.5.2 Design and Development Review

Where a product is manufactured to a new design, system or application, the Supplier and NAM shall allocate responsibility to ensure performance, reliability, maintenance, and safety requirements are met.

The Supplier shall maintain a Design and Development program that includes systematic reviews at suitable stages to evaluate the results and meet requirements.
At a minimum, the program shall include:
- SDR to establish a functional baseline (system level);
- PDR to establish an allocated baseline (sub-system level and interfaces);
- CDR to establish a product baseline (full engineering release).

These reviews shall be conducted with NAM representatives and functions concerned with the design and development stage(s) being reviewed to authorize progression to the next stage. Records of the results of the reviews shall be maintained by the Supplier.

5.5.3 Production Process Verification (FAI)

To meet FAI requirements, NAM will issue an initial FAI PO to the supplier to manufacture a First Article batch demonstrating a stable process capable of producing components to design requirements. After completion of FAI documentation, the Supplier shall send the completed FAI documentation to NAM for review. It will then be approved or returned for corrections as necessary. Upon successful qualification of the FAI batch, NAM will issue PO’s for production parts. This process shall be repeated when changes occur that invalidate the original results. FAI shall be documented in accordance with AS/EN/SJAC AS 9102.

a) **New FAI** requirement:
- Twenty-four (24) month gap of time since the last production run (excess stock from previous production may not be used to satisfy FAI requirement);
- New supplier, off-load, work transfer, or new product introduced.

b) **Delta FAI** requirement:
- New revision of a part number;
- Process change affecting fit, form or function;
- Manufacturing process or inspection method change;
- Corrective action resulting from a part non-conformance.

5.5.4 Process Flow Diagram / Failure Mode Effects Analysis / Control Plan

Suppliers with build-to-print responsibility should implement the use of the following tools in their processes;

a) **Process Flow Diagram**: a visual diagram of the proposed or current process. This diagram shall clearly describe the production process steps and sequence.

b) **Process FMEA**: in accordance with SAE J1739 and AS 9100. A single Process FMEA may be applied to a family of similar parts or materials.

c) **Control Plan**: uses output from FMEA and defines all methods used for process monitoring and control of special product/process characteristics. A single control plan may apply to a group or family of products that are produced by the same process at the same source.
5.6 Process Control

5.6.1 General

The Supplier shall have documentation for processes that affect product quality and ensure they are executed in controlled conditions. This shall include:

- Suitable production and installation equipment;
- Documented work instructions;
- Suitable work environment;
- Definition of workmanship criteria and standards;
- Process equipment;
- Qualified personnel;
- Cleanliness and organization appropriate to the work being performed.

5.6.2 Work Instructions

The Supplier shall prepare documented work instructions, as necessary, for employees responsible for the operations that impact product quality. These instructions shall be maintained current and accessible for use.

5.6.3 Manufacturing Records

The Supplier and sub-tier suppliers shall maintain manufacturing records for all manufacturing and inspection operations. These records shall clearly indicate material status and acceptability and include, as a minimum:

- Part and material number;
- Document revision number;
- Part serial numbers (if serialized) or quantity of parts;
- The description and sequence of operations to achieve completed product. Shall include receiving, in-process and final inspections;
- Work Instructions shall be referenced on the Shop Traveler to denote the method used to complete an operation;
- The number of parts accepted or rejected at each operation. Shall include the date and operator stamp or initials;
- If serialization is a requirement, rejected serial numbers shall be noted at the applicable operation;
- When manufacturing lot quantities are reduced or split, the change shall be recorded on both the original and the new Shop Traveler for the applicable operation;
- For operations performed by an outside source, records shall identify the source (e.g. purchase order);
- Required rework;
- Completion of MRB disposition.
5.6.4 Control of Monitoring and Measuring Equipment

The Supplier shall determine the monitoring and measurement method and devices needed to provide evidence for conformity of product. To ensure valid results, measuring equipment shall be identified and:

- Calibrated or verified at specified intervals to international or national measurement standards. When a standard is not applicable; the method used for calibration or verification shall be recorded;
- Status identified;
- Compliant to requirements of ISO/IEC 17025.

5.6.5 Special Requirements and Key Characteristics

The Supplier shall demonstrate conformity to special requirements designated by NAM through:

- Documentation;
- Appropriate control methods;
- Reviews;
- Identification;
- Control of other product and processes.

If a key characteristic is identified as a requirement, then the Suppliers’ variation management program shall be in compliance with requirements of AS/EN/SJAC9103.

5.6.6 Error Proofing

The Supplier should use error-proofing devices and techniques as a form of process control, for:

- Repetitive functions;
- Difficult tasks prone to error;
- Where the cost of error is high.

5.6.7 Preventive Maintenance

The Supplier should identify key process equipment and:

- Provide resources for machine / equipment maintenance activities;
- Develop an effective preventive maintenance system.

5.6.8 Shelf Life Control

The Supplier shall have data for materials or products with a limited or specified shelf life that shows:

- Cure or manufacture date;
- Expiration date or shelf life;
- Lot or batch number;
- Any special handling or storage requirements.

There shall be a minimum of 75% total shelf life remaining on all product delivered to NAM, unless otherwise specified by contract.
5.6.9 OSV

Suppliers may delegate inspection authority, product / process inspection and acceptance to qualified production operators. The Supplier’s OSV program shall comply with the requirements of SAE ARP9162. Prior to implementation of the program on products / processes scheduled for delivery to NAM, the Supplier shall request and obtain approval from NAM in writing.

5.7 Product Identification and Traceability

5.7.1 Identification Requirements

The Supplier shall provide clear identification of materials and components during all stages of storage, including:

- Receipt;
- Manufacturing;
- Assembly;
- Delivery.

The Supplier shall identify and record individual product or batches required for traceability.

The Supplier’s QMS shall include reference to perform the following:

a) Product identification shall be clearly legible after final surface coatings unless specified by engineering.

b) Parts requiring serialization be identified with unique serial numbers, which shall not be duplicated.

c) Serial numbers remain consecutive for each engineering drawing part number regardless of revision.

d) Non-serialized parts identified with date of manufacture, batch or lot number.

e) Assigned kit part number and revision level. Each item shall be identified for engineering requirements and quality acceptance of kit.

f) Final acceptance stamp on product or tag/package if product does not have adequate space for stamping.

g) Country of origin identified on all products, bags or tags for imported parts. Imported parts shall be in accordance with CBSA B13A Export Declaration.

h) Packaging identification.

5.7.2 Traceability Requirements

The Supplier’s QMS shall provide for the following:

a) Identification maintained throughout product life.

b) Traceability of all products manufactured from the same batch of raw material or from the same manufacturing batch to destination.

c) Identification of assembly components and those of the next assembly.
d) Retrievable sequential record of production for a detail part, including both assembly and sub-assembly.

5.8 Inspection and Testing

5.8.1 General
The Supplier shall provide for mandatory verifications that manufactured products meet technical requirements. Verification activities shall be carried out throughout the manufacturing cycle.

5.8.2 Receiving Inspection and Testing
Purchased product shall be verified using defined procedures. Incoming material shall be isolated and held until verification of conformity to the contractual requirements and all applicable requirements.

5.8.3 In-Process Inspection and Testing
In-process inspection and testing shall be performed using documented procedures. Results shall be maintained by the Supplier.

5.8.4 Final Inspection and Testing
Final inspection and verification of manufactured products to contractual requirements shall be conducted prior to delivery, unless written authorization has been received from NAM. Procedures for final inspection and testing activities shall be documented.

5.8.5 Inspection and Test Records
Records shall be maintained and provide objective evidence that delivered products have passed inspection and verification.
Electronic records are acceptable provided traceability, data integrity, system security, data backup and retrieval requirements are documented in the QMS.

5.8.6 Inspection and Test Authority
Documented procedures shall identify and control authorized methods for verification, certification and release of products.

5.9 Control of Document and Configuration Management

5.9.1 Control of Documents
Documentation related to products or services shall be controlled. This includes:
- All Supplier documentation and data;
- Sub-tier supplier’s documentation and data;
- Customer data provided to Suppliers by NAM.
Obsolete documents shall be removed from all points of use or controlled to prevent unintentional use.
5.9.2 Configuration Management and Change Control

The Supplier shall maintain a configuration management program. Changes to engineering and quality documentation shall comply with the Supplier’s QMS to ensure implementation. Affected personnel shall be informed of changes to documentation. Change records shall be maintained.

5.9.3 Change Authority

Suppliers shall have written approval from NAM prior to making changes to their processes, location, facilities, equipment, material, product design regarding the following:

a) Correction of a discrepancy on a previously submitted part.

b) Product modified by an engineering change to design records, specifications, or materials.

5.9.4 Supplier may submit to NAM an ECR for review and approval using Section I of NAM 6502 in Appendix E.

5.10 Control of Non-Conforming Product

5.10.1 Non-Conforming Product

Non-conforming product is defined as material that cannot be reworked into a conforming condition prior to a controlled process. Non-conforming product shall be identified and controlled to prevent its unintended use or delivery. This includes non-conforming product returned by NAM or its customers.

5.10.2 Build-to-Print Designs

Suppliers shall not perform unauthorized rework on non-conforming product. Non-conforming product that cannot be reworked within the normal drawing tolerance, applicable specification or special process shall be reported to NAM for review and disposition. Non-conforming product shall not be shipped until disposition is complete and the product is accepted through the Supplier’s QMS. Supplier Non-Conforming Product Notification Form (NAM 9305) shall accompany all non-conforming product delivered to NAM.

Dispositions of use-as-is or repair shall only be used after approval by NAM. Product disposition for scrap shall be conspicuously and permanently marked, or positively controlled until physically rendered unusable.

5.10.3 Product Returned to the Supplier for Repair, Rework or Modification

Product returned for repair, rework or modification shall be returned to NAM in condition compliant to the contract and applicable requirements. Instructions for rework, including re-inspection requirements shall be made accessible and used by the Supplier. All rework shall be documented and accepted by Supplier Quality. Repairs are not permitted without written approval from NAM.
5.10.4 Disclosure

The Supplier shall promptly provide written notification to NAM within one (1) business day when a noncompliance is discovered in the Supplier’s processes or components for a product already delivered to NAM. All affected product shall be disclosed to NAM for proper evaluation and disposition. Written notification shall include as a minimum:

- Affected process or product number and name;
- Concise description of discrepancy (what it is and what it should be);
- Parts and serial numbers;
- Lot numbers;
- Delivered quantities;
- Delivered dates;
- Purchase order/Invoice number.

Upon discovery of non-conforming product, Supplier Non-Conforming Product Notification Form NAM 9305 in Appendix D shall be used to notify NAM of the discrepancy and request a NAM Engineering disposition prior to product delivery. Non-conforming product shall not be delivered to NAM without prior NAM engineering disposition. Supplier Non-Conforming Product Notification Form and NAM NCR containing NAM engineering disposition shall accompany all non-conforming product delivered to NAM.

5.10.5 Supplier Containment

The Supplier shall provide documented evidence with subsequent shipments that product has been inspected and meets all applicable requirements for all NAM identified non-conformances.

5.11 Handling, Storage, Preservation and Shipping

5.11.1 Chemical Substance Control

Suppliers shall take all reasonable action to comply with laws related to environmental manufacturing practices.

5.11.2 FOD Control

Suppliers shall have a written procedure for the prevention, detection and removal of FOD (reference NAS 412). This shall include a training program for proper material handling, part preservation, housekeeping and work to prevent FOD. This requirement shall also apply to sub-tier suppliers.

5.11.3 Preservation

The condition of product in stock should be assessed at appropriate planned intervals. The Supplier should use an inventory management system to optimize inventory turnover time and stock rotation, such as FIFO.
5.11.4 **Packaging**

The Supplier shall provide adequate packaging to prevent product contamination, deterioration or loss and shipping damage. Suppliers should provide expendable packaging or returnable containers, where appropriate. Expendable materials and packaging shall meet local and national standards for safe disposal or recycling.

5.11.5 **Delivery**

The Supplier shall inform NAM of any delay in delivery of product and provide a new dispatch date. The Supplier is responsible for additional transport costs due to delays. The following documents shall accompany each shipment to NAM:

- Packing Slip;
- C of C;
- Export Declaration including country of origin identified in accordance with CBSA B13A;
- NAM disposition NCR’s with clear evidence of completion.
- US suppliers in possession of ITAR controlled goods shall provide to NAM their ITAR registration number prior to shipment of ITAR controlled goods from their premises. The ITAR registration number is required for the purpose of filing EEI in the automated commerce environment formerly “AES” by either the US Supplier or a 3rd party designated by NAM.

The C of C shall be authorized by the Supplier’s Head of Quality (or authorized delegate) that all products and/or services delivered are compliant with contract requirements. Title of signatory shall accompany signature. Electronic format with electronic signatures is acceptable. All C of C’s shall be in English. The C of C shall include:

- Supplier name and address;
- Part number and drawing revision level;
- NAM PO number;
- Quantity delivered;
- Lot number (if applicable);
- Serial number (if applicable);
- Shelf life expiry date (if applicable).

FAI delivered product shall include:

- A copy of the AS9102 completed forms;
- Uniquely identified (bubbled) engineering drawing(s);
- Material and process certifications;
- Applicable test records.

Additional required certifications or test reports will be specified on the purchase order. Suppliers are required to maintain all applicable inspection records and certifications in such a manner that they may easily be retrieved and provided, upon request from NAM.
5.11.6 Drop Shipments

When authorized by NAM PO, Suppliers can ship directly to NAM customers. The Supplier shall provide a completed packing slip, C of C and applicable certification per contract requirements.

5.12 Improvement

5.12.1 CAR

NAM shall issue a CAR to the Supplier when:
- Non-conforming material, components, assemblies are received at NAM and determined to be supplier liability;
- Audit findings
- Quality score card performance (Para 5.13.3)

If liability cannot be determined for a product Non-Conformance then a Notice of Non-Conformance (NN) may be issued to the supplier as awareness. No RCCA is required for NN’s.

When a formal reply for a CAR is requested, the Supplier shall use CAR Form (NAM 8302-07) or other convenient media of equivalent content.

The following are minimum requirements in response to a request for corrective action:
- Reference to NAM CAR number;
- Part number, serial number, rejection date and quantity;
- Problem definition;
- Containment action and timeline;
- Root cause;
- Corrective actions and timelines;
- Preventive actions and timelines;
- Verification plan and timeline.

The containment response is due in three business days and the corrective action plan is due within 10 business days unless an extension request is granted.

5.12.2 FAR

When product is returned to the Supplier for evaluation, the Supplier shall generate a FAR for repaired units within 30 days of receipt, including the following items:
- Summary of work performed, including minor adjustment;
- Summary of repairs;
- List of replaced parts;
- Alteration done;
- Tests performed;
- Approved documentation referenced.
5.12.3 Continual Improvement
Suppliers should define a process for continual improvement. A copy of the Supplier’s continual improvement program shall be provided upon request.

5.13 Supplier Performance

5.13.1 General
NAM’s evaluation system uses the following to determine the Supplier’s performance rating:

- Quality;
- On-Time Delivery;
- Documentation;
- Service.

This rating will serve as an objective measurement to determine if expectations are being met. (Refer to Appendix A)

A scorecard for key Suppliers will be issued on a quarterly basis.

5.13.2 Supplier Performance Measures

a) Quality Performance:
   - Product Acceptance Rate
     This metric defines the acceptable product shipped using the formula below. Quality performance specific to non-conforming product is rated on a 12 month rolling and 3 month rolling scale.

     \[
     \text{Quality Acceptance Rate} = \frac{\text{Number of Parts Accepted}}{\text{Number of Parts Received}}
     \]

     - Quality System Status
     - Corrective Action Status

b) On-Time Delivery Performance:
   This metric defines delivery performance rating using the formula below. The definition of “On-time” is the total number of parts (PO line items) received on, or prior to, the PO need date.

   On-Time Delivery Performance is rated on a 12 month rolling and 3 month rolling scale.

   \[
   \text{Delivery} = \frac{\text{Number of Parts (PO line items) Received On-time}}{\text{Number of Parts Received}}
   \]

c) Documentation:
   This metric defines the quality of certification documentation being provided with the delivery of each NAM purchased product. It is calculated as a percentage of rejected C of C packages against quantity of parts delivered on a monthly basis. This metric is monitored on a 12 month rolling scale.

d) Responsiveness Performance:
This metric defines the overall responsiveness across the Supplier’s organization with NAM (e.g. requesting quotes, placing orders, response to changes and other requests).

### Quality Performance Rating

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<tr>
<th>Level</th>
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<th>NAM Action</th>
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<tbody>
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### Delivery Performance Rating

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### Overall Performance Rating

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<td>2</td>
<td>&lt; 60</td>
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6.0 DTS Suppliers

It is preferred by NAM that our Suppliers have sufficient control over their processes so that receiving inspection at NAM is not required. By providing proof of quality in inspection data, proof of process controls and historical proof of quality, NAM can allow for non-flight safety / non-flight critical build-to-print components to go from the receiving dock directly to the stock used for production.

6.1 Qualification for DTS Certification

In order to be considered for DTS certification a supplier shall achieve the following minimum requirements:

1) No open RCCA for last three consecutive months;
2) AS9100 quality management system implemented and in good standing
3) Supplier achieved 12 month rolling quality score of 40 or better for three consecutive months;
4) Evidence of a documented final inspection process and record retention process providing traceability to each NAM PO.

6.2 DTS Certification

The following shall be met in order to become a certified DTS Supplier:

1) An approved FAIR for each part under consideration for DTS status;
2) 10 consecutive shipments accepted and accompanied by final inspection reports demonstrating full conformance to PO requirements.

6.3 NAM Receiving of DTS Certified Product

NAM DTS certified product will be directly received into stock after verification of quantity and identification. Lots received defect free and on time will automatically receive a 100% performance rating on the supplier scorecard.

Final inspection reports do not need to be sent with product that is NAM DTS certified but shall be retained on file and be available for review upon request.

6.4 De-Certification from DTS Status

Parts will be removed from DTS certified status if a non-conformance is discovered. Re-instatement of DTS certified status can be achieved by a closed RCCA and 10 consecutive shipments delivered on time without defects.
## APPENDIX A

### Supplier Rating System

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</table>

### Quality System

- ISO 9001 Certified: 5 Points
- ISO 9001 Certified: Not certified in file: 3 Points

### ROCA Activity

- 1: 5 Points
- 2: 3 Points
- 3: 1 Point

### On-Time Delivery (22 points)

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### Certification Documentation (25 points)

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### 12 Month Rolling Certification Package First Time Acceptance

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<td>95.4% and below</td>
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### Service (10 points)

- Supplier consistently communicates proactively about issues that could impact Northstar: 10 Points
- Supplier is usually proactive with communication: 8 Points
- Supplier is not consistently proactive with communication: 6 Points
- Supplier does not consistently communicate to Northstar about issues: 4 Points
- Supplier does not communicate information: 2 Points

### Responsiveness

- Supplier does not demonstrate customer service as a priority: 10 Points
- Supplier demonstrates customer service as a priority: 8 Points
- Supplier does not communicate information: 6 Points
- Supplier communicates information: 4 Points

**TOTAL SCORE:** 0
## APPENDIX B

### Supplier Performance Summary

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<tr>
<th>Section</th>
<th>Total Points Available</th>
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<td>Service</td>
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</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>100</strong></td>
<td><strong>9</strong></td>
</tr>
</tbody>
</table>

**Performance Level:**
- **Level One:** 80 - 100
  - Northstar will seek out areas to grow with supplier. Supplier has opportunity to quote all new opportunities within capability.
- **Level Two:** 70 - 79
  - Supplier in good standing with Northstar. Potential for growth opportunities.
- **Level Three:** 60 - 69
  - Performance improvement needed. Limited opportunity for growth with Northstar.
- **Level Four:** < 60
  - Improvement required to sustain current business.

**Summary Comments:**

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UNCONTROLLED DOCUMENT IF PRINTED
APPENDIX C

BOEING PHILADELPHIA  
BOEING MESA &  
COLUMBIA HELICOPTERS

INITIAL RECORD RETENTION  
IN Q.C OFFICE CATEGORIES  
(A) (B)

CRITICAL PARTS  
BOEING PHILADELPHIA  
COLUMBIA HELICOPTERS

RECORD CATEGORY (A)  
ARCHIVE  
RETENTION PERIOD  
50 YEARS  
PER D210-11000  
PARA-11.4.2  
06-RDE-0116-1  
PARA 9.8

FLIGHT SAFETY  
(BOEING MESA)  
& ALL OTHER PARTS

RECORD CATEGORY  
(A)(B)  
ARCHIVE  
RETENTION PERIOD  
5 YEARS  
AFTER PROGRAM  
CEASES  
REF EPB 17-119
APPENDIX C (continued)

GENERAL ELECTRIC

INITIAL RECORD RETENTION IN Q.C OFFICE CATEGORIES (A) (B)

1. SERIALIZED ROTATING PARTS (such as Discs, Spools, Spacers, Seals, Torque Ring, etc.)
2. NDE RECORDS PER P3TF45, CL-A
3. REPAIR & OVERHAUL PARTS
   RECORD CATEGORY (A)
   ARCHIVE RETENTION PERIOD PERMANENTLY OR UNTIL PART IS RETIRED FROM SERVICE

1. SERIALIZED PARTS (such as, Frames, Casting, Pressure Vessel Structure and Engine mounts)
2. ALL ENGINE BEARINGS
   RECORD CATEGORY (A)
   ARCHIVE RETENTION PERIOD 25 YEARS

BLADE, FAN COMPRESSOR & TURBINE (Serialized & Non-Serialized)
   RECORD CATEGORY (A)
   ARCHIVE RETENTION PERIOD 10 YEARS

NON-serialized PARTS
   RECORD CATEGORY (A)
   ARCHIVE RETENTION PERIOD 7 YEARS

RECORD CATEGORY (B) FOR ALL PARTS
   ARCHIVE RETENTION PERIOD 7 YEARS
AGUSTA WESTLAND

INITIAL RECORD RETENTION IN Q.C OFFICE CATEGORIES (A) (B)

VITAL PARTS RECORD CATEGORY (A)
ARCHIVE RETENTION PERIOD LIFE OF COMPONENT

CONTACT:
WESTLAND HELICOPTER LIMITED QUALITY DEPARTMENT FOR DISPOSAL INSTRUCTIONS

ALL NON-VITAL PARTS PLUS VITAL PARTS RECORD CATEGORY (B)
ARCHIVE RETENTION PERIOD 7 YEARS

APPENDIX C (continued)
APPENDIX C (continued)

SIKORSKY & CANADIAN COMMERCIAL CORPORATION

INITIAL RECORD RETENTION IN Q.C OFFICE CATEGORIES
(A) (B)

FLIGHT SAFETY PARTS

RECORD CATEGORY
(A)

ARCHIVE RETENTION PERIOD
40 YEARS

ALL OTHER PARTS PLUS FLIGHT SAFETY PARTS

RECORD CATEGORY
(B)

ARCHIVE RETENTION PERIOD
10 YEARS
APPENDIX C (continued)

BELL
HELIICOPTER - TEXTRON

INITIAL RECORD RETENTION
IN QC, PURCHASING OR
ENGINEERING OFFICE
CATEGORIES
(A) (B)

NON-CLASSIFIED PARTS
QPS200 SECTION 5.3

RECORD CATEGORY
(A)
ARCHIVE RETENTION
PERIOD
MINIMUM 7 YEARS

CLASSIFIED PARTS QPS
300 SECTION 14.0

RECORD CATEGORY
(A)
ARCHIVE RETENTION
PERIOD
12 YEARS
# APPENDIX D

## SUPPLIER NON-CONFORMING PRODUCT NOTIFICATION FORM

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<th>Date</th>
<th>Northstar Purchase Order Number</th>
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<td>Supplier Name</td>
<td>Northstar Work order number</td>
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<tr>
<td>Part Number</td>
<td>Non-conforming serial number(s)</td>
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<tr>
<td>Drawing Revision</td>
<td>Northstar NCR Number</td>
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<tr>
<td>Parts List Revision</td>
<td>Northstar Authorization Number</td>
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**Description of Non-Conformance**

---

**Instructions (Northstar Engineering Only)**

1. Allowed to continue. No VQ, required
2. Allowed to continue. VQ required
3. Return to Northstar with no work done
4. Other (please provide below)

---

**Engineering Approval**

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**Quality Approval**

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*Forms (PUR) NAM 9305 Rev.1 Dated: 16NOV15*
**APPENDIX E**

### ENGINEERING CHANGE REQUEST

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#### SECTION I – ENGINEERING CHANGE PROPOSAL (ECP) *(To be completed by the Originator)*

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<th>8. JUSTIFICATION</th>
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#### SECTION II – ENGINEERING PRE-SCREENING *(To be Completed by Engineering)*

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<th>9. CATEGORY OF CHANGE</th>
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<th>☐ MINOR, if MINOR, go to Section VI (ECO)</th>
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<th>☐ REJECTED</th>
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Forms (ENG) NAM 6502 Rev.8 Dated: 10Aug2016

UNCONTROLLED DOCUMENT IF PRINTED