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Hayes Bolt & Supply

QP-843 *Information for External Providers*

QP-843 Approval

On File

Kelly Cole
Vice President/COO

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INFORMATION FOR EXTERNAL PROVIDERS – REQUIREMENTS

1. PURPOSE

1.1 General

Hayes Bolt & Supply (HBS) established this Quality Procedure (QP) in order to document the flow down of additional requirements listed in the purchase order to external providers for products and/or services to be procured.

1.2 Application

This QP applies to all HBS's procurement documents issued to external providers that provide products and/or services that are either modified to achieve compliance to, or manufactured in accordance with drawings and specifications to be used in, or for the processing of products eventually sold by HBS.

1.3 Responsibility for Implementation

- a) HBS Management Team
- b) Purchasing Process
- c) Inspection Process
- d) Applicable External providers

1.4 Definitions

External Provider: Provider that is not part of the organization and provides a product and/or service to HBS. External providers were previously referred to as suppliers.

2. PROVISIONS

2.1 General

As applicable, the following numbered purchase order provisions (letter 'P' plus 'number') are a requirement of the procurement document.

In the event that a provision cannot be met, HBS shall be notified immediately prior to processing of the purchase order.

P1 Flow Down of Requirements


External provider shall flow down all applicable purchase order provisions to the supply chain, including its direct and sub-tier external providers, to ensure requirements are met.

P2 Quality Managements Systems (QMS)

External provider should maintain a QMS in compliance with an International Organization for Standardization (ISO), Aerospace Standard (AS) or Military Standard-equivalent QMS acceptable to HBS for the items covered herein. Widely recognized government or industry quality management system standards should be used as guidelines.

P3 Changes Notification

External provider shall notify HBS of changes to processes, products, or services, including changes of their external providers or location of manufacture, and where required, obtain HBS approval.

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P4 Quality Planning

External provider shall plan and develop the processes needed for product realization. As appropriate, the external provider shall determine, at a minimum, the requirements for approval of product, procedures and equipment.

P5 Qualification of Personnel

Personnel performing work affecting conformity to product requirements shall be competent on the basis of appropriate education, training, skills and experience, including awareness of the following:

- Their contribution to product or service conformity
- Their contribution to product safety
- The importance of ethical behavior

When applicable, external provider shall only use certified personnel. External provider shall maintain the expected level of competence, training and awareness for all work performed for HBS.

P6 Sampling Plans

When utilizing sampling inspection as a means of product acceptance, the sampling plan shall be justified on the basis of recognized statistical principles and appropriate for use (e.g.: matching the sampling plan to the criticality of the product and to the process capability). Acceptable Quality Levels (AQL) shall be $A_c = 0$; $R_e = 1$

P7 Identification and Traceability

Where traceability is a requirement, the external provider shall control the unique identification of the product. Where appropriate, the external provider shall identify the product by suitable means throughout product realization maintain the identification of the configuration in order to identify any differences between the actual configuration and the procured configuration.

All items manufactured under the applicable purchase order shall be traceable to raw materials used. Traceability and inspection records shall be available upon request. Identification of raw materials used, shall include, as applicable, but not limited to, lot numbers, material types, specifications number, etc. In any case, external provider shall record sufficient identification information to adequately identify all material in such a manner that full traceability of raw materials used is included.


P8 Control of Monitoring and Measuring Resources

The external provider shall maintain a calibration system in compliance with ANSI/NCSL Z540, ISO 10012 or the equivalent.

HBS shall be notified when the equipment is found not to conform to requirements. The external provider shall assess and record the validity of the previous measuring results and shall take appropriate action on the equipment and any product affected.

P9 Preservation of Product

The external provider shall preserve the product during internal processing and when delivery to HBS in order to maintain conformity to requirements.

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As applicable, preservation shall include identification, handling, packaging, storage and protection. Preservation of product shall also include, where applicable in accordance with product specifications and applicable statutory and regulatory requirements, provisions for:

- Cleaning
- Prevention, detection and removal of foreign objects
- Special handling for sensitive products
- Marking and labeling including safety warnings
- Shelf life control and stock rotation
- Special handling for hazardous materials

P10 External Provider Performance

External providers are reviewed periodically for both conformity (of product, process, and/or service) and on-time delivery. When applicable, external providers not meeting external provider performance will be issued a corrective action and may be relegated to "not active", "quality suspended" or "evaluation" status.

P11 Nonconforming Product

External provider shall ensure that product which does not conform to product requirements is identified and controlled to prevent its unintended use or delivery. A documented procedure shall be established to define the controls and related responsibilities and authorities for dealing with nonconforming product.

P12 Nonconforming Product Disposition

External provider shall make certain that reworked product which does not conform to product requirements has no adverse effect on safety, performance, interchangeability or reliability, and within applicable requirements.

Product dispositioned for scrap shall be conspicuously and permanently marked, or positively controlled, until physically rendered unusable.

External provider shall not use dispositions of use-as-is or repair, unless specifically authorized by HBS's Quality Team Lead, if the nonconformity results in a departure from the contract requirements.


When applicable, upon disposition of nonconforming product, involved parties shall be notified within 72 hours. Involved parties can include HBS's Quality Team Lead, supply chain and regulatory authorities.

P13 Corrective Action

When applicable, the external provider shall eliminate the causes of nonconformities in order to prevent recurrence. External provider shall determine and implement actions needed, and reviewing the effectiveness of the corrective action taken.

P14 Certificate of Conformance

External provider shall provide a Certificate of Conformance with each shipment including, when applicable, certifications issued by sub-tier external providers. The certifications and test reports

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supplied as evidence of purchase order fulfillment must be in English and, at a minimum, shall contain:


- The products and/or services supplied
- HBS purchase order number
- Part number
- Configuration level (same as revision level) of product supplied and/or specifications/standards of special processes processed
 - The external provider may opt to not include the configuration level of the product and/or specifications/standards when the one utilized/processed is the latest revision at the time of production. However, HBS encourages all external providers to enter the applicable configuration levels on all certificates of conformance.
 - The external provider is required to include the configuration level of the product and/or specifications/standards processed when the one utilized is not the latest revision at the time of production.
- Quantity
- Traceability number (e.g., lot number, heat number, job number, etc.)
- When applicable, test/inspection parameters
- Signature and date from an authorized external provider representative acknowledging that supplied products and/or services met all applicable requirements

P15 Retention of Documented Information

Unless otherwise stated, external provider shall control the established documented information to provide evidence of conformity to requirements and retain them for a minimum period of ten (10) years. The external provider shall address the following activities, as applicable, for the control of documented information:

- Distribution, access, retrieval, and use
- Storage and preservation, including preservation of legibility
- Control of changes (e.g., version control)
- Disposition
 - HBS shall be notified prior to destruction of any documented information and offered the option to transfer to HBS if disposition will occur before the required retention period
- Prevention of the unintended use of obsolete documented information by removal or by application of suitable identification or controls if kept for any purpose.

Documented information retained as evidence of conformity shall be protected from unintended alterations.

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When documented information is managed electronically, data protection processes shall be defined (e.g., protection from loss, unauthorized changes, unintended alteration, corruption, physical damage).

P16 Right of Access

External provider's system shall include right of access by HBS, their customer and regulatory authorities to all applicable areas of all facilities and to applicable documented information, at any level of the supply chain, involved in the order.

P17 DFARS Compliance

When applicable, external provider is subject to the requirements of DFARS 252.225-7003, 252.225-7008, 252.225-7009 and 252.225-7010.

A statement certifying compliance to DFARS 252.225-7003, 252.225-7008, 252.225-7009 and 252.225-7010 shall be included for each shipment of item delivered. This statement may be included as a part of the Certificate of Conformance. The statement shall identify the material or item by lot, date of manufacture, and/or serial number, revision date and/or grade, as applicable.

DFARS requirements may be found at

<http://www.acq.osd.mil/dpap/dars/dfars/html/current/252225.htm>

P18 First Article Inspection

The external provider shall use a representative item from the first production run of a new part or assembly to verify that the production processes, production documentation and tooling are capable of producing parts and assemblies that meet requirements. This process shall be repeated when changes occur that invalidate the original results (e.g., engineering changes, manufacturing process changes, tooling changes). First article inspection may be accomplished in accordance with the requirements of AS9102 or equivalent.

P19 Source Inspection


When required, HBS and/or its customers or government representatives will inspect the products submitted on the applicable purchase order at the external provider's facility.

Source inspection acceptance by HBS and/or its customers or government representatives shall not constitute final acceptance of the items procured, nor shall it relieve the external provider of their responsibility to furnish acceptable product.

As applicable, external provider shall notify HBS Quality Team Lead 48 hours in advance when order is ready for source inspection.

P20 Conflict Minerals "The Dodd-Frank Wall Street and Consumer Act"

The Security and Exchange Commission (SEC) has imposed that publicly traded companies report of any product containing Tantalum (and all its derivatives), Tin, Tungsten or Gold from the Democratic Republic of Congo, Angola, Burundi, Central African Republic, Rwanda, Tanzania, South Sudan, Uganda and Zambia. HBS is expecting you as a external provider to perform a due diligence effort to make these determinations. It will be required that you do not knowingly supply any product that contains these minerals from the above listed countries based on the concerns that the revenues obtained from the mining and transport of conflict minerals aid in financing the ongoing conflict in the Democratic Republic of Congo (DRC) and the surrounding countries.

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P21 Counterfeit Materiel Prevention

External provider shall establish and maintain a Counterfeit Materiel Prevention and Control Plan per AS6174 (Section 3) to ensure counterfeit parts are not delivered to HBS. Counterfeit materiel prevention program should consider:

- Training of appropriate persons in the awareness and prevention of counterfeit parts
- Application of a parts obsolescence monitoring program
- Verification and test methodologies to detect counterfeit parts
- Monitoring of counterfeit parts reporting from external sources
- Quarantine of suspect or detected counterfeit parts

External provider shall:


- Ensure that counterfeit materiel has not been delivered and shall ensure that only new and authentic materials are used in materiel delivered to HBS.
- Only purchase materiel directly from original or authorized manufacturers, authorized distributors, or other approved sources
- Maintain a method of commodity and item level traceability for assuring traceability of parts and components to their original or authorized manufacturers, authorized distributors, or other approved sources
- Immediately notify HBS with the pertinent facts if external provider becomes aware or suspects that it has furnished counterfeit materiel. When requested, the external provider shall provide documentation that authenticates traceability of the affected items to an original manufacturer or authorized distributor chain that identifies the name and location of all the supply chain intermediaries from the part manufacturer to the direct source of the product.

HBS will take all necessary actions to prevent reentry into the supply chain if counterfeit materiel is determined to be received, including physically rendering the counterfeit materiel unusable.

P22 REACH/RoHS Compliance

If applicable, External provider shall ensure the following requirements are met if REACH and/or RoHS compliance is called out on the purchase order.

- REACH
(Registration, Evaluation, Authorization, and Restriction of Chemicals) in accordance with European Union Regulation (EC) 1907/2006
 - Substances of Very High Concern (SVHC): No substances identified in the Candidate List of SVHC are present in articles above a concentration of 0.1% weight by weight (w/w):
 - Candidate List of SVHC
<https://echa.europa.eu/candidate-list-table>

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- Restricted Substances: No substances identified in the Annex XVII of restricted substances are present in articles outside the consequent restriction conditions:
 - Annex XVII of Restricted Substances
<https://echa.europa.eu/substances-restricted-under-reach>
- RoHS, RoHS2 & RoHS3
 (Restriction of Hazardous Substances Directive) in accordance with EU Directive 2002/95/EC (RoHS) & Directive 2011/65/EU (RoHS2), respectively and Commission Delegated Directive (EU) 2015/863
 - No restricted substances identified below are to be present in homogeneous materials above the listed concentration values by weight:
 - Cadmium (0.01 %)
 - Lead (0.1 %)
 - Mercury (0.1 %)
 - Hexavalent chromium (0.1 %)
 - Polybrominated biphenyls (PBB) (0.1 %)
 - Polybrominated diphenyl ethers (PBDE) (0.1 %)
 - Bis (2-ethylhexyl) phthalate (DEHP) (0.1 %)
 - Butyl benzyl phthalate (BBP) (0.1 %)
 - Dibutyl phthalate (DBP) (0.1 %)
 - Diisobutyl phthalate (DIBP) (0.1 %)

3. REVISION HISTORY

Revision	Date	Revision Record
A	03/20/2020	Initial issue.
B	08/12/21	Updated P10 for status to not active, suspended or evaluation