

Appendix A to Exhibit 13 – United Technologies ASQR-02 Rev. 1

QA Review

| Page | Section | Note | Comments |
|------|---------|---------|---|
| 1 | 2.2 | Comment | Ensure this Specification is flowed down to any Subcontractors. |
| 2 | 3.1 | Note | The definition of certificated supplier is one that holds a current certificate from an appropriate CAA. |
| 3 | 4.4 | Comment | AAR's AS9120 certificate and associated audits / findings can be accessed via OASIS as outlined in 4.2.2. Government Services is not a part of AAR's AS9120 certificate |
| 3 | 4.8 | Comment | This paragraph pertains to AAR Government Services. Because Government Services is a distributor, they MAY be registered to AS9100 series standards, but it is no required. |
| 4 | 4.9 | Comment | C of C or CAA Form certificate is required. |
| | | | |
| | | | |
| | | | |



TITLE

Supplier Quality System Requirements for Maintenance Services Organizations

WARNING

This document is the property of United Technologies Corporation (UTC). You may not possess, use, copy or disclose this document or any information in it, for any purpose, including without limitation to design, manufacture, or repair parts, or obtain FAA or other government approval to do so, without UTC's express written permission. Neither receipt nor possession of this document alone, from any source, constitutes such permission. Possession, use, copying or disclosure by anyone without UTC's express written permission is not authorized and may result in criminal and/or civil liability.

1. PURPOSE AND SCOPE

This document defines the quality system requirements for suppliers who provide maintenance services.

2. APPLICATION

- 2.1** Supplier quality requirements defined in this document are agreed upon by and applicable to the following UTC Aerospace Business Entities (also known as Members):

| | |
|---|-----------|
| UTC Aerospace Systems— Aircraft Systems | UTAS-AS |
| UTC Aerospace Systems – Power Control & Sensing Systems | UTAS-PCSS |
| Pratt & Whitney | PW |
| Pratt & Whitney Canada | P&WC |
| Sikorsky Aircraft | SIK |

- 2.2** This specification applies to aerospace suppliers and their subcontractors who furnish product, material, processes, or services (as a maintenance provider) to any of the above Members as a contract requirement regardless of supplier's industry, regulatory accreditation, or certification status.
- 2.3** Members reserve the right to flow down additional requirements to satisfy specific customer and / or business requirements that will apply only to the Member.



3. DEFINITIONS

- 3.1 Certificated Supplier:** A supplier that holds a valid and current certificate from an appropriate Civil Aviation Authority (CAA). The supplier holds a valid and current certificate from the aviation authorities required for the part or article subcontracted for maintenance service, and is appropriately rated.
- 3.2 Civil Aviation Authority:** May also be referred to as National Aviation Authority (NAA). This is the governing body of each respective country, or union of countries, which establishes rules, laws, guidance and other requirements of all things related to commercial aviation, including maintenance and overhaul of commercial aircraft registered in the respective country.
- 3.3 Maintenance Services:** Work performed per approved technical data as required by customer or regulatory requirements.
- 3.4 Non-Certificated Supplier:** A supplier that either holds no certificates from a Civil Aviation Authority (CAA) or does not hold one from the CAA needed for the part or article or is not appropriately rated.
- 3.5 Subcontractor / Supplier:** An entity including Members' business units that provide products or services to a contract.

4. REQUIREMENTS

- 4.1** Suppliers and their subcontractors shall understand and comply with applicable Member Quality Management System (QMS) requirements.
- 4.2** Certificated suppliers shall comply with applicable QMS requirements. Supplier Certificate(s) of Registration to applicable QMS assessments shall be issued by a Certification Body (CB).
- 4.2.1** The CB must be accredited under the control of the International Aerospace Quality Group (IAQG) certification/registration schemes, as recognized by the Aerospace Standard SAE AS 9104. Reference the [IAQG website](#) for a listing of accredited CBs.



- 4.2.2** Suppliers shall permit Member access to all data in the Online Aerospace Supplier Information Center (OASIS) data base including registration documentation, certification, audit reports, findings, corrective actions, etc. Members reserve the right to input significant and/or frequent escape data and major audit findings regarding suppliers into the relevant OASIS data base records for those suppliers.
- 4.3** Non-certificated suppliers shall comply with the Member requirements. Non-certificated suppliers may be subject to QMS audits by Members and required to reimburse the Member company for the cost of conducting these audits until certification / registration / accreditation is achieved.
- 4.4** Suppliers shall provide the Member with notification of any changes in the certification / registration / accreditation/ transfer of work or major audit findings within 2 business days of receiving notification of the change or finding. Examples of changes in registration include new certification, suspension, or expiration.
- 4.5** Each Member, its representatives, its customers, and its customer's governmental agencies or regulatory agencies shall have the right of entry into a supplier's facility or that of their subcontractors. Entry shall provide for access to quality system documentation, quality records as well as the ability to conduct audits, verify product and processes.
- 4.6** Suppliers shall comply with applicable commercial, military and customer requirements.
- 4.7** Suppliers shall comply with Civil Aviation Authorities requirements(s) including but not limited to:
- Airworthiness Standards
 - Airworthiness Directives
 - Maintenance, Preventive Maintenance, Rebuilding, and Alteration Repair Stations
- 4.8** Distributors or organizations carrying out the purchase, storage, splitting and sale of products without affecting product conformance may be registered to the SAE AS/EN/JISQ 9100 series.
Non-certificated distributors shall comply with the Member requirements.



- 4.9 Parts must be certified using a Certificate of Conformance or Civil Aviation Authority Form release certificate as required by Member or customer requirements.

5. RECORDS/FORMS

Completed Quality records generated electronically or on paper shall be retained per Member or Civil Aviation Authority requirement whichever is greatest.

6. REFERENCES

It is the responsibility of the supplier to obtain copies of non-UTC documents specified herein. These include, but may not be limited to the following:

| Document | Title |
|------------|--|
| SAE AS9100 | Quality Management Systems –Requirements for Aviation, Space and Defense Organizations |
| SAE AS9104 | Requirements for Aviation, Space, and Defense Quality Management System Certification Programs |
| SAE AS9110 | Quality Management Systems – Requirements for Aviation Maintenance Organizations |
| SAE AS9120 | Quality Management Systems – Requirements for Aviation, Space and Defense Distributors |

7. NATURE OF CHANGE

This document has been completely revised.

*** End of Document ***