

# QUALITY NOTES

## Quality Note 1 - FIRST ARTICLE INSPECTION REQUIREMENTS:

Supplier shall complete a First Article Inspection Report IAW AS9102 Latest Revision in English. Standard SAE AS9102 can be obtained from SAE International at following URL address: <<http://www.sae.org/>>.

For Thales, supplier must complete QCI-F-IFE-039 E forms 1, 2 & 3, and submit with the first production lot shipment. The First Article Inspection (FAI) package shall include all material and process certifications, and certificates of conformance applicable in the fabrication of product supplied to APT. The product may include, but not limited to, detail parts, assemblies, sub-assemblies, casting and forgings. All certificates submitted for material process and certificates of conformance shall indicate traceability by linking to a purchase order, suppliers name, part number, serial number (if applicable), lot number, packing slip number etc. to establish a positive traceability to the applicable part, assembly or sub-assemblies. Common commercial (e.g. parts from distributors or catalogs) are exempt from this requirement. However a certificate of conformance is required to be maintained and kept on file by the supplier and shall be provided to APT upon request.

For a supplemental or partial First Article Inspection, only the changed or affected characteristics are required to be inspected/verified. The FAI requirement may be satisfied on a new part by similarity on a previously approved FAI performed on identical characteristics or similar parts produced by identical means. The partial or supplemental first article report should identify the previously approved similar FAI on AS9102 form 1. Only relevant applicable certificates are required to be submitted with the partial or supplement FAI.

## Quality Note 2 - CERTIFICATION OF CONFORMANCE:

Supplier shall certify that all items shipped against this Purchase Order conform to the approved design, applicable specifications and Purchase Order requirements. Supplier's Certificate of Conformance (C of C) shall indicate: Date of C of C, supplier's name and address, Purchase Order number, Part Number, Revision, Quantity, Manufacturing Date Code/Lot Number, Serial Number (if applicable) and signature of responsible Quality representative. Supplier shall submit separate material certification, process certification, and acceptance test procedure data sheets, when specifically requested on the P.O., with each shipment.

- Supplier acknowledges responsibility for and control of the evaluation, approval, and /or inspection of their sub-tier suppliers', used in the fulfillment of this Purchase Order, and that applicable APT order requirements have been flowed down to sub-tier suppliers.
- Supplier affirms that no changes in materials, Approved Vendor List (AVL), configuration (form, fit, function, and interchangeability), fabrication processes, outside processing, or place of manufacture has occurred in the fulfillment of this Purchase Order.
- Supplier affirms that no repairs (welding, brazing, soldering, adhesives, or other) of materials, components, or final product have occurred in the fulfillment of this Purchase Order, unless specifically authorized in writing by APT.
- Upon re-submittal of returned parts, the supplier shall clearly indicate that the parts have either been reworked or replaced and meet the P.O. and drawing requirements.
- When applicable, all military QPL parts and materials must be supplied with the manufactures certificate of compliance and shall list the manufactures QPL certification number of the cert. parts and materials will not be accepted without such documents.
- *Certificate of compliance is to be maintained and traceable to the Manufacturer/OCM/OEM.*

# QUALITY NOTES

## **Quality Note 3 - RIGHT OF ACCESS:**

On-site verification of Supplier's Quality Management System, manufacturing process, and product may be subject to surveillance or inspection by APT Electronics Inc., APT customer or agencies, i.e. FAA, and shall be allowed access to Supplier's facility upon reasonable notification. The supplier shall flow down this right of access requirement to its sub tier suppliers. APT Electronics Inc., APT customer or agencies, i.e. FAA, shall be allowed access to sub tier supplier upon reasonable notification.

## **Quality Note 4 - MARKING AND PACKAGING REQUIREMENTS**

The Supplier shall mark all parts (unless bag and tag is indicated) in accordance with applicable notes on APT or APT customer's drawings, specifications, or procurement instructions as provided by APT. Verify compliance of revisions used to those noted on the APT Purchase Order. Where specific packaging instructions or documentation is not provided by APT the Supplier shall use best commercial packaging and identify the parts using MIL-STD-130, as appropriate. Supplier shall package separately by lot/date code with label indicating APT or APT customer's part number, revision, lot/date code number, and quantity. Printed Circuit Board (PCB) is required to be vacuum sealed in moisture barrier bag with desiccant/humidity indicator card.

## **Quality Note 5 - ELECTROSTATIC DEVICE (ESD) PROTECTION PROGRAM:**

Where the product requires electrostatic protection, the Supplier shall have an ESD control program that complies with the requirements of ANSI/EIA-625-1994. Non-manufacturing Distributors shall handle, store, package, and identify such items under an ESD program that ensures continuation of the manufacturers ESD program. Shipping containers and packaging slips shall have prominent marking that clearly identifies contents as ESD sensitive.

## **Quality Note 6 - CONTROL OF NONCONFORMING MATERIAL:**

Any departure from drawing specification or other Purchase Order requirements must be documented by the Supplier and submitted to APT for approval. A copy of the approval must accompany each affected shipment.

## **Quality Note 7 - MOISTURE SENSITIVE DEVICES:**

Where non-hermetic surface mounted devices are subjected to bulk solder reflow processes during PCB assembly, the Supplier shall provide standardized methods for handling, packaging, and shipping to prevent exposure to moisture. Refer to IPC/JEDEC J-STD-033 for packing and labeling requirements. Printed Circuit Board (PCB) is required to be vacuum sealed in moisture barrier bag with desiccant/humidity indicator card.

## **Quality Note 8 - TEST REPORTS:**

The Supplier shall submit a copy of the test report(s) with the delivered end items or assemblies with the following information included, as minimum: Part Number, description, revision letter, BOM and drawing, purchase order number, lot number/ serial number (if applicable), parameters/requirements tested, test data (ATP if applicable), date of test, signature of supplier's inspection/test representative. Supplier shall retain all records of test reports and certifications for a period of ten (10) years from the date the order shipped to APT.

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## Quality Note 9 - SAFETY DATASHEET (SDS):

The supplier shall include a copy of the current Safety Datasheet "SDS" in the shipping documents of the chemicals provided to APT under the following conditions:

- With the first shipment of a particular chemical
- With the first shipment after the SDS has been updated.
- Upon request by APT.

## Quality Note 10 - PROCESS/PRODUCT CONTROL:

The supplier shall implement a specific system to control processes and product to assure compliance in meeting all Purchase Order requirements and specifications. Identification of Key Characteristics where indicated on the APT/APT customer's drawing shall be used by the supplier to formulate Process Control Plan for documentation process capability values, monitoring variation and repeatability. The approval of the Process Control Plan may be required from APT/APT customer's Quality. Any changes in the approval process and other changes like tooling, machines, method of inspection; facility relocation etc. shall be immediately reported to APT procurement.

## Quality Note 11 - SPECIAL PROCESSES:

When a process specification is noted on the drawing, the supplier must be able to show evidence that the Special Process is controlled and validated. APT/APT's customers may review validation processes during an on-site survey. Supplier is responsible for the control of Special Processes at their sub-tier suppliers. Special processes are any operations involving:

- Surface Treatments (plating, conformal coating, painting, chem.-film, etc.)
- Thermal Treatments (hardening, annealing, tempering, surface hardening, etc.)
- Testing, Destructive/Non-Destructive (physical, x-ray, magnetic particle, ultrasonic, etc.)
- Re-tinning to lead solder process for gold mitigation
- Copies of all applicable Special Process Certifications shall be supplied with each product shipment.

## Quality Note 12 - SUPPLIER RECORD MANAGEMENT:

Supplier affirms that records shall be kept on file, and made available to APT and regulatory agencies upon request. Retention of quality records shall be for a period of ten (10) years from the date order is shipped to APT (unless otherwise specified):

- Certificate of Conformance (to include C of C's from sub-tier Supplier parts)
- First Article Inspection Reports (include FAIRS on fabricated, sub-tier Supplier parts)
- Acceptance Test Data Sheets (if ATP is performed)
- Material Safety Data Sheet (Only for Shelf Life items)
- Material / Process Certification documents
- ICT Test Results (if applicable)
- Inspection and Nonconformance Records

- Build History/Manufacturing Records
- Configuration Management & Quality System Document Control
- Design and Development Records (if applicable)
- Control of Measuring & Test Equipment
- Corrective & Preventive Actions
- PCB: Impedance Test and Cross Section Report

### **Quality Note 13 - INTERNATIONAL TRAFFIC ARMS AND REGULATION (ITAR) COMPLIANCE:**

The supplier or service provider and its sub-contractors shall adhere to the ITAR requirements in accordance with ITAR 22 C.F.R. 120-130 International Traffic in Arms Regulation and APT Electronics Inc. document W-4-109. All documents identified as ITAR controlled shall be identified, maintained and segregated from non-ITAR documents. Documents identified as ITAR controlled shall be viewed only by a U.S. PERSON. A U.S. PERSON means an entity that is: a U.S. Citizen or a Legal Resident, or U.S. organization incorporated to do business in the United States. This ITAR requirement shall be flowed down through your supply chain per the requirements of Federal Regulation and APT document W-4-109 as applicable.

### **Quality Note 13A - ITAR REQUIREMENT FOR STENCIL ORDER**

All applicable requirements of Quality Note 13 and the following: Original data files are to be destroyed once stencil check plots have been finally approved. Vendor is to record and log this action internally for history purpose if audited by APT. Confirmation of the data being destroyed is to be stated on the vendors packing slip with the date, time, and signed by the engineer or manager. The check plots made from the original data files are acceptable to be kept by vendor for order history and data retention, since the data created no longer holds any important information to ITAR controlled products. Any modification or other requests for stencils, original files need to be resent for approval.

### **Quality Note -14 COUNTERFEIT PREVENTION REQUIREMENT**

Counterfeit Item is defined to include, but is not limited to:

- An item that is an illegal or unauthorized or substitute of an Original Equipment Manufacturer (OEM) or Original Component Manufacturer (OCM) item.
- An item that does not contain the proper external or internal materials or components required by the OEM or OCM or that is not constructed in accordance with OEM or OCM design, but is represented as such.
- An item that has not successfully passed all OEM or OCM required testing, verification, screening and quality control but that Seller represented as having met or passed such requirement.
- An item with label or other marking intended, or reasonably, likely, to mislead a reasonable person into believing anon-OEM or OCM item is a genuine OEM or OCM item when it is not.

Authorized (Franchised) Distributor/Supplier is a distributor with OEM or OCM contractual agreement to stock, repackage, sell and distribute OEM or OCM product lines. Seller is not authorized to deliver any item procured from sources other than OEM or OCM without prior written authorization.

# QUALITY NOTES

Document Control No

**FM-7-206 Rev. P**

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Seller shall maintain Counterfeit Risk mitigation process internally with suppliers using AS5553/ARP6328/AS6081, as a guide.

Non-Authorized(Non Franchised)/Broker, is a type of independent distributor that does not have any contractual agreement and/or obligation with OEM/OCM.

- When procuring from a Broker/Non-Franchised/Independent Distributor with customer approval, Seller shall submit the following:  
Results of authentication test and analysis conducted using AS5553/ARP6328/AS6081 guidance's.
- Unbroken chain of contractual documentation (Certifications, supply chain traceability information, manufacturer data sheet, internal parts specification, packing slips etc.) tracing the movement of parts back to the OEM/OCM and certification that the parts have not been salvaged, reclaimed, otherwise used, or previously rejected for any reason.

Acceptance of Financial responsibility - Supplier may be liable for remedial costs associated with provision of counterfeit product. APT is not under obligation to return suspect or confirmed counterfeit product. APT may request proof of financial responsibility such as a product liability/completed operations certificate of insurance. APT may also request evidence of professional liability and/or product recall insurance with limits from the supplier if the cost is commercially feasible for the supplier.

Length of Obligation - APT will notify supplier of the specific time period for which the responsibility applies, which allow for a reasonable time period for APT to detect, quarantine, and confirm/suspect counterfeit or substandard product. APT will perform a level of inspection or test sufficient to detect gross or common indications of counterfeiting before the times expires.

Penalties associated with fraud - Supplier may be liable for potential penalties associated with fraud and falsification.

## **Quality Note 15 - SHELF LIFE**

Where product requires shelf life control, the supplier shall be responsible for labeling Shelf Life items. At least 75% of the original Shelf Life must remain at the time of receipt, unless otherwise specified on the Purchase Order.

## **Quality Note 16 - AGE CONTROL**

All component must be new and unused. The age of all components shipped to APT shall not exceed 2 years from the component manufacture date.

## **Quality Note - 17 CALIBRATION REQUIREMENTS**

Calibration shall be performed with NIST standards in full compliance with ANSI Z540-1. Full and complete data shall be recorded on the certificate of calibration provided to APT. Supplier shall retain copies of all calibration records for ten (10) years. All calibration labels must include supplier's control number. Data results shall be recorded and formal notification need to be submitted to APT if instrument is found to be out of tolerance.

The calibration service shall perform the calibration and provide a Certificate of Calibration containing the following minimum information:

- Customer (APT)
- Report/Certificate #

# QUALITY NOTES

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- Equipment manufacturer
  - Equipment model #
  - Description
  - Equipment serial #
  - Record of calibration results "as-received" and "as-left" showing calibration through full measurement range.
  - Statement that the instrument was or was not received in tolerance.
  - Date calibrated
  - Next calibration due date
  - Standards used to perform calibration, including; traceability to international or national standards body, ID/Asset #, manufacturer, model #, description and calibration expiration
  - Calibration Tolerance
  - Name of company or person performing the calibration

A calibration label shall be attached to each piece of equipment containing the following minimum information:

- Control Number (Equipment Identification).
- Calibrator.
- Calibration Date.
- Next Calibration Due Date.

## Quality Note 18 - DPAS RATING

This is a "DPAS RATED" order certified for National Defense use, and you are required to follow all the provisions of the Defense Priorities and Allocations System Regulation (15 CFR 700 ET SEQ.). All "DPAS RATED" orders must be accepted or rejected as follows:

- "DO" rated POs must be accepted or rejected in writing (hard copy), or in electronic format, within 15 working days after order receipt
- "DX" rated POs must be accepted or rejected in writing (hard copy), or in electronic format, within 10 working days after order receipt
- Rejection of "DO" or "DX" orders must be in writing (hard copy), or in electronic format. Giving the specific reason for the rejection.
- If, after acceptance of this order, seller subsequently finds that shipment or performance will be delayed, seller must notify the buyer immediately in writing (hard copy), or in electronic format, give the reason for the delay, and advise of a new shipment or performance date.

If both DPAS rated and unrated PO quantities are reflected in this order, you are only required to follow the DPAS regulations as it pertains to the DPAS rated quantities.

## Quality Note 19 - IDENTIFICATION & TRACEABILITY REQUIREMENT

All certificates submitted for material process, test reports and certificates of conformance shall indicate traceability by linking to a purchase order, suppliers name, part number, serial number (if applicable), lot number, packing slip number etc. to establish a positive traceability to the applicable part, components, assembly or sub-assemblies etc. supplied.

## **Quality Note 20 - Requirements Flow Down**

The Supplier (your organization) shall flow down relevant APT purchase order requirements to their sub-tier supplier (your suppliers) who provide, materials, products and services that will be used to fulfill the requirements of our purchase order.

## **Quality Note 21 - CONFLICT MINERALS**

Supplier commits to comply with Section 1502 of Dodd - Frank and its implementing regulations. In particular, the Supplier commits to have in place a supply chain policy and processes to undertake (1) a reasonable inquiry into the country of origin of Conflict Minerals incorporated into products it provides APT; (2) due diligence of its supply chain, as necessary, to determine if Conflict Minerals sourced from the DRC countries directly or indirectly support unlawful conflict there, (3) risk assessment and mitigation actions necessary to implement the country of origin inquiry and due diligence procedures, (4) To advise APT of any determination that the supplier either has concluded or has a reasonable basis to believe that products it currently sells or has supplied to APT are not DRC Conflict Free; (5) To maintain reviewable business records supporting the source of Conflict Minerals; and (6) from time to time, at APT's request, provide APT with information concerning the origin of Conflict Minerals included in products supplied to APT, which APT shall be entitled to use or disclose in satisfying any legal or regulatory requirements or in any customer or marketing communications, notwithstanding the terms of any confidentiality agreements that do not specifically reference this paragraph.

The Supplier shall take all other measures as are necessary to comply with the Act and its implementing regulations, as they may be amended over time.

## **Quality Note 22 - FOREIGN MILITARY FUNDED PROGRAM**

- 22.1 Government Funding Notification: Be advised that United States Government (USG) funds will be used to finance the purchase of materials from your company under this purchase order and that the acceptance of our purchase order constitutes your acknowledgement of such notification of USG financing. Guidelines for foreign military financing of direct commercial contracts are defined by the US Department of Defense Security Cooperation Agency. A copy of the guidelines are available through APT's Purchasing Department.
- 22.2 Right of Access and Examination: By acceptance of our purchase order, your company agrees that authorized representatives of the Government of the United States shall have access to and the right to examine, for a period of not less than four (4) years your companies directly pertinent books, documents, papers, or other records involving transactions related to this order.
- 22.3 Declaration and Agreement: Acceptance and implementation of our purchase order constitutes a declaration and agreement by the principal executive officers of your company that no bribes, rebates, gifts, kickbacks, or gratuities to secure this purchase order, or for favorable treatment under such agreements, or for any other purpose relating to the purchase order have been or will be directly or indirectly offered or give to, or have been or will be arranged with officers, officials or employees of APT Electronics, Inc. or its agents.
- 22.4 Point of Origin: By acceptance of this order also constitutes certification by your company that for this USG funded purchase, all materials, or components to be provided, unless otherwise identified, shall be identified with the point of origin (where the component is manufactured).

# QUALITY NOTES

Document Control No

**FM-7-206 Rev. P**

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Your company further certifies that should a non-U.S. source later be identified for supply to APT, this change will be made known to and approved by APT Electronics, Inc. prior to shipment.

**Quality Note 23 - F.O.D. (Foreign Object Debris/Damage)/F.O.E. (Foreign Object Elimination) Program**

The Supplier shall develop and maintain a Foreign Object Debris/Damage, Foreign Object Elimination (FOD/FOE) prevention program, including receiving inspection, final inspection, and the processes and controls at manufacturing areas to prevent introduction of foreign objects into any item delivered under this purchase order.

**Quality Note 24 - PWB Requirements IAW IPC 6012.**

The Supplier shall comply with the requirements of the FM-7-205 Quality Notes Appendix A document.

**Quality Note 25 - Information for External Providers IAW AS9100 Rev. D**

- The Supplier shall ensure that persons are aware of:
- Their contribution to product or service conformity;
- Their contribution to product safety;
- The importance of ethical behavior

***Quality Note 26 – Fraud and Fraudulent.***

- *The recording or document of False, Fictitious or Fraudulent or entries may be punishable as a felony under Federal Statutes including Federal law, Title 18, Chapter 47.*